

AMERICAN STOCK EXCHANGE  
IN THE MATTER OF ARBITRATION BETWEEN

CASE: VICTOR & JANE HAENTZE V. SHEARSON LEHMAN BROTHERS & PAUL D. BLASETTI

Case Id # 93-20

DATE FILED: 9/10/92 FIRST SCHEDULED 2/19/93 DECIDED 12/10/93

CASE SUMMARY: \* Customer v. member arbitration. Claimant alleges fraud, breach of contract, failure to supervise, unauthorized trading by the firm and broker. The firm argues that claimant authorized all trades including those involving Echo Bay Mines Stock.

CLAIMANT'S INITIALS \_\_\_\_\_ RESPONDENT'S \_\_\_\_\_ THIRD PARTY'S INITIALS \_\_\_\_\_  
S IONS: 1-8

CLAIM AND AWARD DATA:

CLAIM	<u>\$95,0000.00</u>	CC/3rd PTY	<u>N/A</u>	AWARD	<u>Denied</u>
PUNITIVE	<u>N/A</u>	PUNITIVE	<u>N/A</u>	PUNITIVE	<u>N/A</u>
ATTY FEES	<u>Requested</u>	ATTY FEES	<u>Requested</u>	ATTY FEES	<u>Denied</u>
DEPOSIT	<u>\$650.00</u>	DEPOSIT	<u>N/A</u>	DEPOSIT	
COSTS	<u>\$1,425.00</u>	COSTS	<u>\$2,075.00</u>	COSTS	<u>\$4,150.00</u>

DECISION: The undersigned arbitrators have decided and determined in full and final settlement of all claims between the parties that:\*

THE Claimants claims are denied;

All requests for attorney fees are denied;

The arbitration costs of \$4,150 shall be shared by the parties as follow:

The Claimants have already paid the sum of \$650 as their initial deposit

must remit the balance of \$1,425 directly to the American Stock Exchange.

The Respondents shall remit the sum of \$2,075 directly to the American Stock Exchange.

ATTORNEY: Dan A. Druz, Esq. - Caron & Koffler - Representing Claimant -  
Hicksville, New York.

Pauline C. Scalvino, Esq. - Stradely, Ronon, Stevens & Young -  
Representing Respondents - Philadelphia, Pennsylvania.

ARBITRATORS \*\*

JOSEPH H. BALL, CHAIRMAN

THOMAS KENNEDY

FRANK T. SALERA

CITY PHILADELPHIA STATE PENNSYLVANIA

Thomas Kennedy  
SIGNATURE

Frank T. Salera  
SIGNATURE

Joseph H. Ball  
SIGNATURE

DATE 12/10/93

\* Additional pages may be attached.

\*\* (Dissents)