

AMERICAN STOCK EXCHANGE  
IN THE MATTER OF ARBITRATION BETWEEN

CASE: CHARLES S. & JAYNE G. OWEN V. SOUTHWEST SECURITIES, INC.

Case Id # 94-08

DATE FILED: 10/29/93 FIRST SCHEDULED 4/18/94 DECIDED 10/20/94

CASE SUMMARY: \* A customer v. member arbitration where claimants are alleging  
deceptive trade practices, breach of contract, breach of  
fiduciary duty; fraud and fraudulent concealment and negligence.  
Claimants further allege damages for severe emotional distress  
and mental anguish.

CLAIMANT'S INITIALS JS RESPONDENT'S WM THIRD PARTY'S INITIALS \_\_\_\_\_

SESSIONS: Sessions 1-4

CLAIM AND AWARD DATA:

CLAIM	<u>\$100,000.00</u>	CC/3rd PTY	<u>N/A</u>	AWARD	<u>\$19,000.00</u>
PUNITIVE	<u>N/A</u>	PUNITIVE	<u>N/A</u>	PUNITIVE	<u>--</u>
ATTY FEES	<u>Requested</u>	ATTY FEES	<u>Requested</u>	ATTY FEES	<u>\$4,500.00</u>
DEPOSIT	<u>\$950.00</u>	DEPOSIT	<u>N/A</u>	DEPOSIT	<u>\$950.00</u>
COSTS	<u>\$950.00</u>	COSTS	<u>\$2,250.00</u>	COSTS	<u>\$3,200.00</u>

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

THE Claimants are awarded the sum of \$19,000 against Southwest Securities, Inc.;

THE Claimants are awarded attorney fees in the amount of \$4,500;

THE Respondent's request for attorney fees is denied;

All other claims are denied;

THAT the costs of arbitration, \$3,200, shall be borne by the Respondent Southwest  
Securities', Inc. Respondent shall remit \$950 directly to Claimants as reimbursement of  
their initial deposit and shall remit the balance of \$2,250 directly to the American Stock  
Exchange.

TORNEY: Frank K. Broyles, Esq./Representing Claimants/Goins, Underkofler, Crawford &  
Landon Dallas, Texas.

Will S. Montgomery, Esq./Representing Respondent/Jenkins & Gilchrist/Dallas, Texas

ARBITRATORS \*\*

JEFFREY E. RITTER, ESQ., CHAIRMAN

CHARLES GUITTARD, ESQ.

LAURA H. BLEY

Jeffrey E. Ritter  
SIGNATURE  
Charles Guittard  
SIGNATURE  
Laura H. Bley  
SIGNATURE

CITY DALLAS STATE TEXAS

DATE: 11-22-94

\* Additional pages may be attached.

\*\* (Dissents)