

AMERICAN STOCK EXCHANGE
IN THE MATTER OF ARBITRATION BETWEEN

E: ROBERT MATTINGLEY V. SMITH BARNEY, INC.

Case Id # 95-06

DATE FILED: 1/27/95 FIRST SCHEDULED 5/9/95 DECIDED 6/21/95

CASE SUMMARY: * Customer v. member claim. Claimant alleges that firm
did not inform him of a rights offering in U.S. Cellular
Corp stock and breached its duty to him. Firm alleges
that Claimant was timely informed of the offering but
elected not to exercise nor sell the rights.

CLAIMANT'S INITIALS _____ RESPONDENT'S _____ THIRD PARTY'S INITIALS _____
SESSIONS: DECISION BASED ON THE PLEADINGS.

CLAIM AND AWARD DATA:

| | | | | | |
|-----------|-------------------|------------|------------|-----------|-----------------|
| CLAIM | <u>\$2,988.00</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>N/A</u> | ATTY FEES | <u>N/A</u> | ATTY FEES | <u>N/A</u> |
| DEPOSIT | <u>\$125.00</u> | DEPOSIT | <u>N/A</u> | DEPOSIT | <u>\$125.00</u> |
| COSTS | _____ | COSTS | _____ | COSTS | _____ |

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

THE Claimant's claim is denied.

THE cost of the arbitration, \$125 shall be paid by the claimant who has
already submitted said sum as his initial filing deposit.

ATTORNEY: Robert Mattingley - Pro-Se - Sunnyside, WA.

Ann Parry, Esq. - Representing Respondent - Smith Barney, Inc.

New York, N.Y.

ARBITRATORS **

RANDI E. LOWITT, ESQ, CHAIRMAN


SIGNATURE

SIGNATURE

SIGNATURE

CITY NEW YORK STATE NEW YORK

DATE: 6/21/95

* Additional pages may be attached.

** (Dissents)