

AMERICAN STOCK EXCHANGE
IN THE MATTER OF ARBITRATION BETWEEN

RE: FREDERICK C. KOMPASS V. SMITH BARNEY SHEARSON INCORPORATED AND
JESSE BROMBERG

Case Id # 95-10

DATE FILED: 4/5/94 FIRST SCHEDULED 7/21/94 DECIDED 7/31/95
CASE SUMMARY: * Customer v. member claim. Claimant alleges that firm put his
IRA account into Shopco Regional Malls LP and Jones Growth
Partners LP, speculative limited partnerships. ^{and other investments} Firm argues
that funds were suitable and that all trades were
authorized.

CLAIMANT'S INITIALS SNP RESPONDENT'S SBS-MRA RESPONDENT
SESSIONS: 1-11 THIRD PARTY'S INITIALS (10)

CLAIM AND AWARD DATA:

CLAIM	<u>\$44,365.14</u>	CC/3rd PTY	<u>N/A</u>	AWARD	<u>\$21,080.80</u>
PUNITIVE	<u>N/A</u>	PUNITIVE	<u>N/A</u>	PUNITIVE	<u>N/A</u>
ATTY FEES	<u>Requested</u>	ATTY FEES	<u>N/A</u>	ATTY FEES	<u>Denied</u>
DEPOSIT	<u>\$520.00</u>	DEPOSIT	<u>N/A</u>	DEPOSIT	<u>\$520.00</u>
COSTS		COSTS	<u>\$4,000.00</u>	COSTS	<u>\$4,520.00</u>

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

The Claimant is awarded the sum of \$21,080.80 to be paid by Respondent Smith Barney;

All Claims against the Respondent Jesse Bromberg are denied;

All requests for attorney fees are denied;

The arbitration cost of \$4,520 are assessed against Respondent Smith Barney. Respondent Smith Barney should reimburse \$520 directly to Claimant as a refund of his initial filing fee. The balance of the amount owed, \$4,000 should be remitted directly to the American Stock Exchange.

ATTORNEY: Susan Perkins, Esq. - Private Practice - Representing Claimant, N.Y.
Neil Sussman, Esq. - Smith Barney, Inc., - Representing Respondent,
N.Y.
Scott Salant, Esq. - Pirro, Collier, Cohen, Crystal & Bock -
Representing Jesse Bromberg - White Plains, N.Y.

ARBITRATORS **

WILLIAM MECHMANN, ESQ., CHAIRMAN

THEODORE KIMMELMAN

DIANE CICCONE, ESQ.

William A. Mechmann
SIGNATURE

Theodore Kimmelman
SIGNATURE

Diane Ciccone
SIGNATURE

CITY NEW YORK STATE NEW YORK DATE: JULY 31, 1995

* Additional pages may be attached.

** (Dissents)