

AMERICAN STOCK EXCHANGE  
IN THE MATTER OF ARBITRATION BETWEEN

SE: MATTHEW BELKIN V. BERKELEY SECURITIES CORPORATION

AND BRIAN WALKER

Case Id # 95-11

DATE FILED: 11/23/94 FIRST SCHEDULED 4/6/95 DECIDED 8/18/95

XCASE SUMMARY: \* Customer v. member arbitration. Claimant is alleging  
member firm and broker failed to purchase shares of Grand Toys stock and  
remit proceeds to customer. Respondent member firm argues that broker  
acted without authority and that claimant willingly participated.

Note: Claimant requested sole arbitrator

XCLAIMANT'S INITIALS MB RESPONDENT'S RL THIRD PARTY'S INITIALS \_\_\_\_\_  
SESSIONS: 1

CLAIM AND AWARD DATA:

CLAIM	<u>\$17,500.00</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>\$500.00</u>	DEPOSIT		DEPOSIT	
COSTS		COSTS		COSTS	<u>\$500.00</u>

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 arbitration, \$500.00 is assessed against claimant

\* who has already submitted said sum as his initial filing deposit.

ATTORNEY: Mitchell K. Aaron, Esq, Kreinik & Aaron, NY, NY - Representing  
Phyllis Henderson, Berkeley Securities Corporation - Claimant  
Brian Walker, Pro Se Representing  
Member Firm

ARBITRATORS \*\*

Richard Lerner, Esq., Chairman and Sole Arbitrator

Richard E. Lerner  
SIGNATURE

SIGNATURE

SIGNATURE

CITY New York STATE New York DATE: 8/18/95

\* Additional pages may be attached.  
\*\* (Dissents)