

AMERICAN STOCK EXCHANGE  
IN THE MATTER OF ARBITRATION BETWEEN

CASE: DANNY LEE EMERSON V. SMITH BARNEY, INC., & ALDO DALLA-VECCHIA

Case Id # 95-18

DATE FILED: 7/14/95 FIRST SCHEDULED 11/10/95 DECIDED 12/11/95

CASE SUMMARY: \* Customer v. member claim. Claimant alleges firm failed to  
provide him with information on BELMAC and Deprany stock.  
Respondent denied the claim.

CLAIMANT'S INITIALS \_\_\_\_\_ RESPONDENT'S \_\_\_\_\_ THIRD PARTY'S INITIALS \_\_\_\_\_  
SESSIONS: HEARING BASED ON THE PLEADINGS.

FINANCIAL AND AWARD DATA:

CLAIM	<u>\$8,149.88</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>\$275.00</u>	DEPOSIT	<u>N/A</u>	DEPOSIT	<u>N/A</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;

ALL claims against Aldo Dalla-Vecchia are dismissed;

THE cost of the arbitration, \$275.00, is assessed against Claimant who has  
remitted said sum as his initial filing deposit.

ATTORNEY: Danny Lee Emerson - Claimant- Pro-Se.

Ellen Slipp, Esq. - Representing Respondent - Smith Barney - N.Y.

ARBITRATORS \*\*

CHARLES KLEINBAUM, ESQ., SOLE ARBITRATOR

  
SIGNATURE

SIGNATURE

SIGNATURE

CITY NEW YORK STATE NEW YORK

DATE: 1/31/96

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