

AMERICAN STOCK EXCHANGE
IN THE MATTER OF ARBITRATION BETWEEN

CASE: NEIL DAVIES AS EXECUTOR FOR THE ESTATE OF EDWARD W. DAVIES AND THE ESTATE OF
EDWARD W. DAVIES V. RAUSCHER, PIERCE, FENNER, INC. V. MARK PLATT

* 96-09

DATE FILED: 11/11/94 FIRST SCHEDULED 2/20/96 DECIDED 6/15/96 ^{And Individual} ~~ACCOUNT~~ ^{per}

CASE SUMMARY: * Customer v. Member arbitration claimant alleges his trust fund account
was churned, overtraded and brokerage firm engaged in unsuitable securities,
fraud and misrepresentation. respondents argue that claimant was fully
informed, transactions were suitable and that he authorized all trades.
"Denies all other allegations. Rauscher Pierce has a third-party claim
against Mark Platt." ^{per}

CLAIMANT'S INITIALS per RESPONDENT'S per THIRD PARTY'S INITIALS per
SESSIONS: 2/20/96, 2/21/96, 6/11/96, 6/12/96, 6/13/96, 6/14/96

CLAIM AND AWARD DATA:

CLAIM	\$150,000.00	RESP/3rd PTY	Mark Platt	AWARD	-0-
PUNITIVE	Requested	PUNITIVE	N/A	PUNITIVE	-0-
ATTY FEES	"	ATTY FEES	Requested	ATTY FEES	-0-
DEPOSIT	\$950.00	DEPOSIT	\$1,250.00	DEPOSIT	
COSTS		COSTS		COSTS	

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

- ① All Claims Denied
- ② Claimant (Davies et al) pays all forum fees
- ③ Each party bears their own attorney fees and expenses

ATTORNEY: J. Mitchell Clark - Representing Claimant - Private Practice - Corpus Christi, TX.
Bruce Collins, Esq. - Representing Respondent - Carrington, Coleman, Sloman &
Blumenthal - Dallas, TX.
Mark Platt - Third Party Respondent - Pro-Se - Dallas, TX.

ARBITRATORS **

DANIEL A. KILE, ESQ., CHAIRMAN

WILLIAM FELDER, IV

THOMAS HERBERT

CITY DALLAS STATE TEXAS

Additional pages may be attached.
* (Dissents)

William Felder, IV
SIGNATURE
Charles Herbert
SIGNATURE
DATE: June 15, 1996