

AMERICAN STOCK EXCHANGE
IN THE MATTER OF ARBITRATION BETWEEN

CASE: JOSEPH ALLEN-TRUSTEE, ALLEN TRUST #3, KAYWOOD, INC., V. SMITH BARNEY

97-02

DATE FILED: 10/18/95 FIRST SCHEDULED: 1/27/97 DECIDED: 1/29/97

CASE SUMMARY: Customer v. member claim. Claimant alleges breach of contract, breach of
fiduciary duty and negligence relating to Trump Castle Funding Inc. Bonds
9.5% due 1988 and Carolco Picture Bonds. Firm denies the claim and
counterclaim for breach of contract.

CLAIMANT'S INITIALS: _____ RESPONDENT'S: _____ THIRD PARTY'S INITIALS: _____

SESSIONS: #1&2

CLAIM AND AWARD DATA:

CLAIM: <u>\$40,794.42</u>	3rd PTY: <u>Counterclaim</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>\$2,658.13</u>	ATTY FEES: <u>Denied</u>
DEPOSIT: <u>\$520.00</u>	DEPOSIT: <u>\$150.00</u>	DEPOSIT: <u>\$520.00</u>
COSTS: _____	COSTS: _____	COSTS: _____

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

see attached text

AMERICAN STOCK EXCHANGE
INFORMATION CENTER

FEB 20 1997

ATTORNEY:

Daniel Allen, Esq. - Representing Claimant - Private Practice -
Columbus, Ohio.

John Bevilacqua, Esq. - Representing Respondent - Smith Barney -
New York, N.Y.

ARBITRATORS **

RICHARD H. HAAS, ESQ., CHAIRMAN

ROBERT SHIFFRA

DENNIS E. MINNI, ESQ.

Richard H. Haas
SIGNATURE
Robert Shiffra
SIGNATURE
Dennis E. Minni 2-4-97
SIGNATURE 1-29-97 1-29-97

CITY: CLEVELAND STATE: OHIO DATE: 2/18/97

Additional pages may be attached.
(Dissents)

January 29, 1997

Case: Joseph Allen - Trustee, Allen Trust #3, Kaywood, Inc. -v-Smith Barney

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

1. Each and every claim of Claimants Joseph Allen - Trustee and of Kaywood, Inc. is denied.
2. Respondent counterclaim for attorney fees is denied.
3. Respondent and Claimant shall each pay the cost (\$300.00 per conference) of one of the two pre-hearing conferences held on December 4, 1996 and January 20, 1997.
4. Respondent shall pay the Forum Fees in the amount of \$920.00. Respondent shall reimburse Claimant \$520.00 previously paid to AMEX and shall pay the \$400.00 balance to AMEX.
5. Any party requesting a transcript of the proceedings shall bear the cost of such transcription and shall provide a copy of such transcription to AMEX provided AMEX has not previously been provided with such copy.
6. The cost of the court reporter attending the hearing shall be born by the party requesting such reporter or equally by both parties if such was a joint request.

#97-02