

AMERICAN STOCK EXCHANGE
IN THE MATTER OF ARBITRATION BETWEEN

CASE: William & Ellen McGill v. Spear, Leeds & Kellogg & William Bergrath, Jr.

98-04

DATE FILED: 12/10/97 FIRST SCHEDULED: 10/1/98 DECIDED: 10/5/98

CASE SUMMARY: Customer v. member claim. Claimant allege unsuitability and churning

by ~~William Bergrath, Jr.~~ Firm alleges that Bergrath was an independent member of the Amex who was not under its supervision/control.

Bergrath denies the claim.

CLAIMANT'S INITIALS: EM RESPONDENT'S: SK THIRD PARTY'S INITIALS: WJS

SESSIONS: #1&2

CLAIM AND AWARD DATA:

CLAIM: \$25,000.00	3rd PTY: N/A	AWARD: see attached
PUNITIVE: N/A	PUNITIVE: N/A	PUNITIVE: N/A
ATTY FEES: Requested	ATTY FEES: N/A	ATTY FEES:
DEPOSIT: \$500.00	DEPOSIT: N/A	DEPOSIT: \$500.00
COSTS:	COSTS:	COSTS:

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

See Attached.

ATTORNEY: William & Ellen McGill - Claimants - Pro-Se - Roslyn Heights, New York.
Carl Hewitt, Esq. - Representing Respondents - Spear, Leeds & Kellogg - New York.
William Bergrath, Jr., - Respondent - Pro-Se - New York.

ARBITRATORS

Richard Dice, Esq., Chairman

Anthony Connolly

Robert Getman, Esq.

Richard A. Dice
SIGNATURE
Anthony Connolly
SIGNATURE
Robert Getman
SIGNATURE

C. /: New York STATE: New York DATE: 10/18/98

Additional pages may be attached.
(Dissents)

In the matter of:

William & Ellen McGill v. Spear, Leeds & Kellogg & William Bergrath, Jr.

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

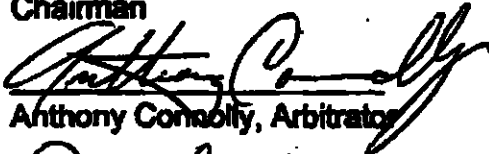
Respondent: Spear, Leeds & Kellogg shall pay the Claimants \$1,320, plus interest thereon at the New York statutory rate on judgments from May 1, 1992.

Respondent: William Bergrath, Jr. shall pay the Claimants \$2,080.

The Claimants, Respondent, Spear, Leeds & Kellogg, and Respondent, and William Bergrath, Jr. shall each pay an equal amount of the costs of the proceedings, being \$920. Since Claimants have paid \$500 they shall recover \$193.34 and the Respondents shall each pay \$306.66.



Richard A. Dice, Arbitrator
Chairman



Anthony Connolly, Arbitrator



Robert Getman, Arbitrator

October 5, 1998

* 98-04