

**New York Stock Exchange  
In the Matter of Arbitration Between**

**NYSE**

Case: Edwin J. Bertoncini v. The Caria Group, Inc., Anne Caria and The Christopher Frank Group

**Attorneys:**

**For Claimant(s):**

Marvin B. Segal Esq. - New York, NY

**For Respondent(s):**

David A. Gehn Esq. - New York, NY

Date Filed: 01/16/2001

First Scheduled: 08/14/2001

Decided: 10/24/2001

Case Summary: Claimant, a former member and lessor of a NYSE seat alleges that Respondent breached a leasing agreement and failed to pay commissions. Claimant seeks damages totaling \$54,190.32.

Product:

Market:

**Claim Data**

Claim: \$54,190.32

Punitive: \$0.00

Atty Fees: \$0.00

Deposit: \$750.00

**Award Data**

Award: \$0.00

Punitive: \$0.00

Atty Fees: \$0.00

Costs: \$0.00

Forum Fees: \$1,500.00

Decision: The undersigned arbitrators have decided and determined in full and final settlement of all claims between the parties that: All claims are denied in their entirety. Each party shall bear its own costs and attorney's fees. The New York Stock Exchange forum fees in the amount of \$1,500.00, representing two hearing sessions, are assessed against Claimant and Respondent in equal shares. All other relief not expressly granted herein is denied.

**Remarks:**

The undersigned arbitrators hereby affirm that they have executed this instrument which is their award:

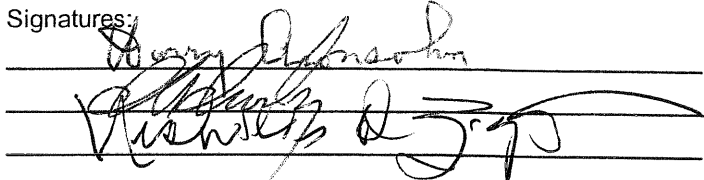
Arbitrators: (D = Dissents)

Harry Aronsohn

Thomas A. Turley

Nicholas D. Zigo

Signatures:



City: New York

State: NY

Date: 10/24/2001

Docket #: 2001-008927

Sessions: 2 Hearing Dates:

10/17/2001 (2)