

New York Stock Exchange  
In the Matter of Arbitration Between

NYSE

Case: Robert J. Sternberg v Morgan Stanley & Company, Inc. and Mark Walsh

Attorneys:

For Claimant(s):

Jeffrey L. Liddie Esq. - New York, NY

For Respondent(s):

Ronald Green Esq. - New York, NY

Date Filed: 07/05/90

First Scheduled: 02/25/91

Decided: 09/30/92

Case Summary: Registered Representative against Member Firm and Registered Representative for alleged wrongful termination; fraud; breach of contract; damage to reputation

Product: ~~COMEX~~

Market:

Claim Data

Claim: \$10,473,758.50

Punitive: Uns

Atty Fees: \$194,104.72

Deposit: \$1,000.00

Award Data

Award: \$110,000.00

Punitive: \$0.00

Atty Fees: \$0.00

Costs: \$0.00

Forum Fees: \$26,000.00

Decision: The undersigned arbitrators have decided and determined in full and final settlement of all claims between the parties that: Respondent Morgan Stanley & Co., Inc., is directed to pay Claimant Robert J. Sternberg the sum of \$110,000.00, which includes interest through 9/25/92. Each party shall bear its own costs and attorneys fees. The New York Stock Exchange Forum Fees are assessed against Claimant and Respondent, equally. All claims against Respondent Mark Walsh are dismissed in their entirety.

Remarks: Claimant seeks \$375,000 for actual compensation per contract, \$10,000,000 - for damage to reputation; \$98,758.50 liquidated damages and attorney fees, costs and pre-judgment interest of \$55,000.00. Respondents seek attorneys' fees of \$57,650.00.

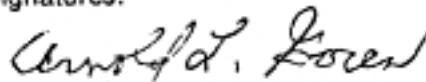
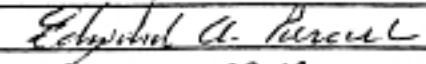
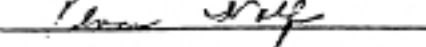
Arbitrators: (D - Dissents)

Arnold L. Goren

Edward A. Purcell

Vera Wolf

Signatures:

City: New York

State: NY

Date: 09/30/92

Docket #: 1990-001523

Sessions: 26

Hearing Dates:

05/30/91 (2)	06/02/92 (2)
08/06/91 (2)	06/03/92 (2)
01/09/92 (2)	08/11/92 (2)
01/10/92 (2)	08/13/92 (2)
01/15/92 (2)	09/25/92 (1)
01/16/92 (2)	
01/31/92 (2)	
02/18/92 (1)	
04/20/92 (2)	