

New York Stock Exchange In the Matter of Arbitration Between

NYS

Case:

Dennis M. Emrick -v- Deutsche Bank Capital Corp.
Registered Representative -v- Member Firm

Date Filed: 10/25/89 First Scheduled: 4/19/90 Decided: 11/1/90

Case Summary:

Claimant Dennis Emrick seeks damages for allegedly unjustified discharge as a Treasury Bill trader with Deutsche Bank Capital Corporation. Claimant seeks unpaid salary and unpaid bonuses allegedly guaranteed in the amount of \$281,875 plus fringe benefits, liquidated and punitive damages, interest, costs, sanctions, attorneys fees, and damages of \$1,000,000 for defamation. He also seeks a corrected U-5. Respondent denies that any sum is due and seeks costs.

Sessions:

16 SESSIONS

Claim Data		Award Data	
Claim	\$350,000.00 CC3-dPTX	Award	\$65,416.68 + int CC 3rdPTX 0
Punitive	Punitive	Punitive	0 Punitive 0
Any fees	Any fees	Any fees	0 Any fees 0
Deposit	Deposit	Costs	\$12,000 Costs 0

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

Claimant is awarded the sum of \$10,416.68 plus interest at the rate of 9% from September 7, 1989 to date. In addition, claimant is awarded the sum of \$55,000 plus interest at the rate of 9% from September 30, 1989 to date. Each party shall bear their own attorneys fees and costs of this proceeding. Forum fees of \$12,000 shall be paid by Respondent. All other claims for relief by either party are denied.

Remarks:

Arbitrators D = Dissents

Dorothy F. Gray

David N. Brainin

Arnold J. Weinberg

Signature Dorothy F. Gray
Signature David N. Brainin
Signature Arnold J. Weinberg

New York

New York

November 1, 1990

City

State

Date

*Additional Pages May be Used if Necessary

Opinion, if any, attached