Arbitration Decision Number: 2002-010192

New York Stock Exchange

In the matter of Arbitration Between:
Craig Yonon v. Merrill Lynch Pierce Fenner Smith

Attorneys:

For Claimant(s):
Randall C Place - Coral Springs, FL

For Respondent(s):
David J. Campbell - New York, NY

Date Filed: 04/26/2002 **First Scheduled:** 09/09/2003 **Decided:** 02/17/2005

Case Summary: Customer claimant alleges negligence, failure to supervise, violation of NASD and NYSE Rules, violation of Florida State Statutes including Section 517.301, breach of contract and breach of fiduciary duty regarding speculative unsuitable aggressive mutual funds with overconcentration in technology and telecomunication investments

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Product: Mutual Fund **Market:** NYSE

Claim Data

	Claim
Claim:	$360,000.00
Punitive:	UNSPECIFIED
Atty Fees:	UNSPECIFIED
Deposit:	$750.00

Award Data

	Award
Award:	$130,000 00
Punitive:	$0.00
Atty Fees:	UNSPECIFIED
Costs:	$0 00

Forum Fees: $4,950.00

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Decision: The undersigned arbitrator(s) have decided and determined that in full and final settlement of all claims between the parties that

Respondent shall pay to Claimant the sum of $130,000.00 as an award on the claim and $750 00 as a return of Claimant?s hearing deposit, a total of $130,750.00 As Claimant prevailed on his claim under Florida Statute 517 301, Claimant is therefore entitled to attorneys? fees pursuant to F.S. 517.211 in an amount to be determined by a court of competent jurisdiction Furthermore, the forum fees of $4,950 are assessed against Respondent.

Remarks:

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

Arbitrators: (D=Dissents) **Signatures:**

Arthur J. Leibell
E. Stephen Walsh
Linda M. Granata

City: Ft. Lauderdale **State:** FL **Date:** 02/17/2005 **Docket#:** 2002-010192

Sessions: 6

Hearing Dates:
02/15/2005(2)
02/16/2005(2)
02/17/2005(2)