

SRO ARBITRATION FIGURES

Three-Year Chart 1994-1996

† NYSE figures for 1994 revised from 1994 Chart at 7 SAC 9&10(14)

Year	Total Cases Received	Total Cases Concluded Including Settlements	Small Claims Received	Small Claims Concluded	Public Customer Cases Decided	Awards In Favor Of Public
AMERICAN STOCK EXCHANGE						
1994	68	46	13	9	10	3
1995	252	63	86	28	14	8
1996	81	142	49	49	8	3
*The Boston Stock Exchange received 1 new filing in '95 which concluded in '96. There were no filings in '94.						
CHICAGO BOARD OPTIONS EXCHANGE						
1994	23	24	1	3	4	1
1995	15	26	6	6	5	0
1996	19	10	6	4	1	0
*The Chicago Stock Exchange (formerly the Midwest Stock Exchange) reported 1 filing in '96, 1 in '95, 1 in '94. The Cincinnati Stock Exchange reported no filings during the three-year period.						
MUNICIPAL SECURITIES RULEMAKING BOARD						
1994	12	23	3	8	11	5
1995	9	5	1	3	1	1
1996	10	6	1	1	5	1
NATIONAL ASSOCIATION OF SECURITIES DEALERS						
1994	5,570	4,561	992	725	1,111	532
1995	6,055	5,680	994	1,159	1,523	788
1996	5,631	6,331	849	1,155	1,815	977
NEW YORK STOCK EXCHANGE						
1994†	711	795	62	74	186	80
1995†	810	784	53	61	175	74
1996	648	783	21	42	146	49
PACIFIC STOCK EXCHANGE						
1994	102	93	37	57	38	18
1995	76	166	15	118	79	39
1996	106	100	10	16	36	17
PHILADELPHIA STOCK EXCHANGE						
1994	44	37	8	6	7	4
1995	52	63	8	7	21	9
1996	14	31	2	5	3	1
1994†	6,531	5,580	1,116	882	1,367	643
1995†	7,271	6,787	1,163	1,382	1,818	919
1996	6,510	7,405	938	1,272	2,014	1,048