

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-00078

Leonard B. Stern, claimant vs. Win Capital Corporation and Jerome Feldman, respondents.

ATTORNEYS:

For Claimant, Leonard B. Stern ("Claimant"), appeared Robert J. Poulson, Jr. Esq. Cooperstown, NY.

Respondents, Win Capital Corporation and Jerome Feldman ("Respondents"), appeared through their Compliance Director, Mark Straubel, Bayville, NY.

DATE FILED: January 10, 2000

CASE SUMMARY: Claimant alleged that Respondent, Jerome Feldman, failed to sell 5,000 shares of Registry Magic, Inc. (RMAG) stock as he requested. Claimant maintained that Respondents breached their duty and were negligent in failing to sell his stock.

ARBITRATOR'S REPORT: Award is awarded on condition that: Within five (5) business days of receipt of the award, Claimant sells his 5,000 shares RMAG to Respondents (at the market price at time of delivery to Respondents). If Claimant retains his shares of RMAG then his award is zero.

Claim Data

Claim: \$20,000.00
Interest: at the rate of 9% from 5/26/99
to payment of the award.
Filing Fees: \$425.00

Award Data

Award: \$5,000.00
Interest: \$.00
Filing Fees: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondents are jointly and severally liable and shall pay to the claimant \$5,000.00. 2) All requests for interests are denied. 3) All other relief requests are denied. 4) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, Win Capital Corporation has not paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

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AFFIRMATION

I, Robert E. Bartkus, do hereby affirm, upon my oath as arbitrator that I am the individual described herein who executed this instrument, which is my oath and award.



Robert E. Bartkus

October 18, 2000

Date of award