

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-04352

Guy N. Gates, Claimant vs. LCP Capital Corp., Respondent.

ATTORNEYS:

For Claimant, Guy N. Gates ("Claimant"), appeared Kevin P. Whiteford, Esq. of the law firm Leder & Whiteford, LLP, Sacramento, CA.

For Respondent, LCP Capital Corp. ("Respondent"), appeared Charles M. O'Rourke, Esq., Woodbury, NY.

DATE FILED: October 2, 2000.

CASE SUMMARY: Claimant alleged that Respondent made two unauthorized trades on his account. Claimant further alleged that Respondent failed to follow Claimant's sale instructions when he decided to sell shares of InsiderStreet.com, Inc. from his account. As a result of Respondent's actions, Claimant suffered a financial loss.

Claim Data

Claim: \$9,081.63
Interest: \$2.49 per day from 7/27/200 until payment
Filing Fees: unspecified
Attorney fees: unspecified

Award Data

Award: \$6,093.75
Interest: \$.00
Filing Fees: \$325.00
Attorney fees: \$.00

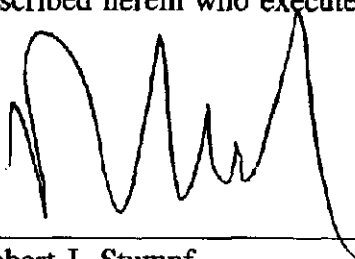
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the Claimant \$6,093.75. 2) All other relief requests are denied. 3) The \$325.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc. 4) Respondent shall pay Claimant \$325.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has not paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

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Award 00-04352

AFFIRMATION

I, Robert J. Stumpf, 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.

A handwritten signature in black ink, appearing to be 'R. Stumpf', written over a horizontal line.

Robert J. Stumpf

April 11, 2001

Date of award