

**NASD DISPUTE RESOLUTION STIPULATED AWARD**  
**NASD DISPUTE RESOLUTION**

CASE: 02-07023

Thomas J. Textor, Lawrence M. Waterhouse, Jr., Louis Giacalone and John Gavey, Claimants  
vs. Nathan Stark and Genia Stark, Respondents.

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**ATTORNEYS:**

For Claimants appeared April M. Chung, Esq., of the firm Theodore A. Krebsbach & Associates, P.C., New York, NY.

For Respondents appeared Martin J. Gofberg, J.D. of the firm Equitable Resolution Group, LLC, Malven, NY.

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DATE FILED: November 20, 2002

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**CASE SUMMARY:** Claimants and Respondents stipulate to the expungement of all reference to the Stark Arbitration NASD-DR Case No. 00-05702 from the registration records of Claimants maintained by the NASD Central Registration Depository ("CRD").

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**Claim Data**

Expungement

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**Award Data**

Award: Granted

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**AWARD:** The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The Arbitrator recommends the expungement of all reference to NASD-DR Arbitration Case No. 00-05702, Nathan Stark & Genia Stark, JTWROS v. TD Waterhouse Investor Services, Inc., Louis Giacalone, Janet Gold, Benjamin F. Bryan, Anthony Goglia and John Doe(s) 6-10, Federated Management, Inc., Stanley R. Smith, John P. Gavey, Daniel F. Librie, Eliss Whatever, Lawrence M. Waterhouse, Jr., and Thomas Textor, from the registration records of Thomas J. Textor, Lawrence M. Waterhouse, Jr., Louis Giacalone and John Gavey maintained by the NASD Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notice to Members 99-09, Claimants must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. 2) The \$1,250.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, TD Waterhouse Investors Services, Inc. has paid to NASD Dispute Resolution the \$1,500.00 Member Surcharge previously invoiced.

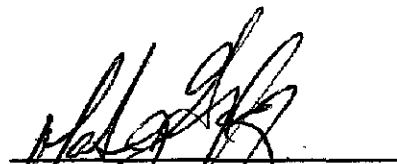
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**Parties' Signatures**



April M. Chung, Esq.  
Theodore A. Krebsbach & Associates, P.C.  
Attorneys for Claimants Thomas Textor,  
Lawrence Waterhouse, Louis Giacalone  
and John Gavey

11/15/02  
Signature Date



Martin J. Goffberg, J.D.  
Equitable Resolutions Group, LLC  
Representative for Respondents Nathan Stark  
and Genia Stark

11-13-02  
Signature Date

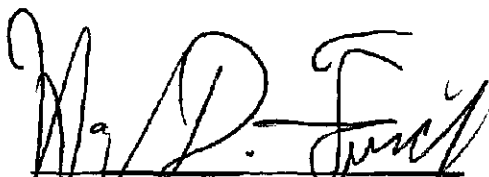
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Harry D. Frisch, Esq.

Sole Public Arbitrator

**AFFIRMATION**

I, Harry D. Frisch, Esq., do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument which is my award.

  
Harry D. Frisch, Esq.

  
Signature Date

March 28, 2003  
Date of Service (For NASD-DR office use only)