

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-03342

Lynn A. Abbate, as Executrix for the Estate of Sargent R. Tarzy, (Claimant) vs.
Westrock Advisors, Inc., (Respondent)

ATTORNEYS:

For Claimant appeared David A. Gehn, Esq., of the firm Gusrae, Kaplan, Brung &
Nusbaum, PLLC, New York, NY.

For Respondent appeared in-house counsel Andrew Shapiro, Esq., New York, NY.

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: July 17, 2006

CASE SUMMARY: Claimant alleged that Respondent accepted and processed trades but thereafter cancelled them and precluded her from obtaining the profits. Claimant maintained that due to Respondent's actions, she suffered a financial loss. Claimant's claim involved common stock.

Claim Data

Claim: \$8,792.85
Punitive: Unspecified
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$8,792.85
Punitive: \$.00
Attorney Fees: \$.00
Filing Fees: \$325.00
Other: \$.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 \$8,792.85. 2) All requests for attorney fees are denied. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$325.00 filing fee that the Claimant deposited previously. 6) Respondent is liable and shall pay Claimant \$325.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$325.00 Member Surcharge previously invoiced.

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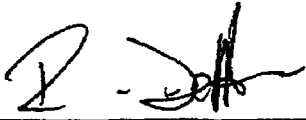
Richard D. De Vita, Esq.

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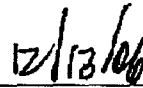
Sole Public Arbitrator

AFFIRMATION

I, Richard D. De Vita, Esq., 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.



Richard D. De Vita, Esq.



(Signature Date)

December 13, 2006

Date of Service (For NASD-DR office use only)