

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

In the Matter of the Arbitration Between

Morton Lopate

Claimant

vs.

G.K. Scott & Co., Inc.
John Kevorkian

Respondents

Case #88-00443
Award

CASE SUMMARY

Claimant alleges Respondents misrepresentation involving the purchase of 9,000 shares of Enterprise Technologies and 10,000 shares of Robotronix Corp. Respondents maintain proper disclosure and information was made available to Claimant.

RELIEF REQUESTED

Claimant requests damages of \$4,944.00. Respondents request dismissal of claim.

AWARD

On April 11, 1989, the undersigned arbitrator heard the controversy during one hearing session between the parties as set forth in submissions to arbitration signed by Claimant on February 29, 1988, and by Respondent G.K. Scott and Co., Inc. on March 21, 1988 and Respondent John Kevorkian on March 24, 1988. The initial claim was filed on March 8, 1988. The arbitration panel, having considered the pleadings, the testimony, and the evidence presented at the hearing, has determined in full and final resolution of the issues submitted for determination as follows:

1. The claim of the Claimant is hereby dismissed in all respects;
2. The parties shall each bear their respective costs including attorneys' fees;
3. Pursuant to Section 43 of the Code of Arbitration Procedure, the National Association of Securities Dealers, Inc. shall refund the \$100.00 filing fee previously deposited by the Claimant.

RECEIVED


Richard Missan

DATED: 8 JUNE 14, 1989