

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Dominick S. and Rose Marie Rocco

Claimant(s)

vs.

Stuart James Investment Bankers
and Barry Gershberg

Respondent(s)

AWARD

88-01908

The undersigned being the Arbitrator selected to review and determine a matter in controversy between the above-mentioned Claimant and Respondents, set forth in a submission to arbitration signed by the parties on June 10, 1988 and September 8, 1988, respectively;

And, that having reviewed and considered the proofs of the parties, has decided and determined that in full and final settlement of the above-captioned matter, that the claim against the Respondent shall be dismissed in its entirety;

And, that each party shall bear its own cost and expenses including attorney's fees;

And, that the \$100.00 filing fees previously deposited with the NASD, Inc. by the Claimant shall be refunded to the Claimant by the Respondent.


Robert Brunsell, Esq.