

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Irving Toplin

Claimant(s)

vs.

J.W. Gant & Associates, Inc.  
and Albert Copperstone

Respondent(s)

NOTICE OF ARBITRATION

AWARD

88-03640

CASE SUMMARY

Claimant(s) Irving Toplin alleged that Respondent(s) J.W. Gant & Associates, Inc. and Albert Copperstone used unethical high-pressure sales techniques to induce Claimant to purchase shares. Respondent(s) did not defend.

RELIEF REQUESTED

Claimant(s) Irving Toplin requested damages of Three Thousand Eight Hundred Dollars and No Cents (\$3,800.00).

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator Albert Rapoport was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant(s) on November 21, 1988 and by Respondent(s) on March 27, 1989. The Arbitrator, having considered the proofs of the parties, has determined in full and final resolution of the issue submitted for determination as follows:

That the two (2) Respondents are jointly and severally liable and will pay to the Claimant the sum of Three Thousand Eight Hundred Dollars and No Cents (\$3,800.00).

The parties shall each bear their respective costs including attorney's fees.

The \$100.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) will be refunded to the Claimant by the Respondent.

July 28, 1989