

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between
Traian J. Pop

Claimant(s)

vs.

J.W. Gant & Associates, Inc.

Respondent(s)

NOTICE OF
ARBITRATION
AWARD
89-01053

CASE SUMMARY

Claimant(s) Traian J. Pop alleged that Respondent(s) J.W. Gant & Associates, Inc. executed unauthorized transactions in Claimant's account. Respondent(s) maintain that the account executives responsible are no longer employed by Respondent and therefore explanations in response to the allegations are unavailable.

RELIEF REQUESTED

Claimant(s) Traian J. Pop requested damages of Two Thousand Nine Hundred Twenty Three Dollars and No Cents (\$2,923.00). Respondent(s) requested dismissal of claim and costs.

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Roneé C. McLaughlin, 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 March 7, 1989 and by Respondent(s) on April 30, 1989, respectively;

And, that the Arbitrator, having considered the proofs of the Parties, including any additional documentary submissions of the Claimant(s) and the Respondents(s) has decided and determined in full and final resolution of the issue submitted for determination as follows:

That the respondent is liable and will pay to the Claimant the sum of Two Thousand Nine Hundred Twenty Three Dollars and No Cents (\$2,923.00).

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

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The \$100 filing fee previously deposited with the NASD, Inc. by the Claimant(s) will be refunded to the Claimant by the Respondent.

May 10, 1990