

**N.A.S.D. REGULATION AWARD**  
**NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.**

CASE: 96-03570

Pentz Revocable Living Trust, claimant v. Lew Lieberbaum & Co., Inc., Ronald B. Dorushkin and Elliot Gayer, respondents.

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**ATTORNEYS:**

For Claimant

Through it's trustee, Northport Beach, CA.

For Respondents

Lawrence Sandor, Esq., Garden City, NY.

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**DATE FILED:** August 19, 1996

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**CASE SUMMARY:** Claimant alleged failure to execute sell order for stock and excess commissions charged.

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**Claim Data**

Claim: \$9,132.25  
Punitive: N/A  
Atty Fees: N/A  
Filing Fees: \$150.00  
Other: N/A

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**Award Data**

Award: \$5,875.00  
Punitive: \$.00  
Atty Fees: \$.00  
Filing Fees: \$150.00  
Other: \$.00

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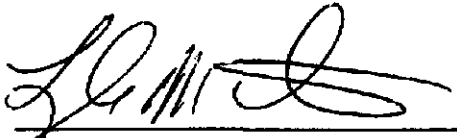
**AWARD:** The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondents, Lew Lieberbaum & Co., Inc. and Ronald B. Dorushkin, are jointly and severally liable and shall pay to the claimant \$ 5,875.00. 2) All other requests for relief are denied. 3) The \$150.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. shall be retained by NASD Regulation, Inc. Respondents, Lew Lieberbaum & Co., Inc. and Ronald B. Dorushkin, are jointly and severally liable and shall pay claimant \$150.00 as reimbursement of the filing fee.

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**OTHER ISSUES:** The Arbitrator granted Respondents' Motion to Dismiss Elliot Gayer.

**AFFIRMATION**

I, Lyle M. Weinstein, 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.

  
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Lyle M. Weinstein, Esq.

June 9, 1997  
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Date of award