

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

CASE: 96-03627

John Topp, claimant v. Emmett A. Larkin Company, Inc., Burnett, Grey & Co., Inc., and LaJolla Capital Corporation, respondents.

ATTORNEYS:

Claimant appeared Pro Se - Tupelo, MS.

For Respondent Emmett A. Larkin, Inc. appeared Melvin Peterson - San Francisco, CA.

Respondent Burnett, Grey & Co., Inc. failed to appear.

For LaJolla Capital Corporation appeared James Weaver - San Diego, CA.

DATE FILED: August 22, 1996

CASE SUMMARY: Claimant alleged unauthorized trading and failure to remit proceeds of sale.

Claim Data

Claim: \$3,287.50
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$125.00
Other: \$.00

Award Data

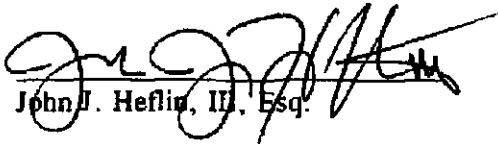
Award: \$.00
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$.00
Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant against Emmett A. Larkin Company, Inc. and LaJolla Capital Corporation are dismissed in their entirety. 2) The claims of claimant against Burnett Grey & Co. Inc. are dismissed without prejudice. 3) All other requests for relief are denied. 4) The \$125.00 filing fee previously deposited by the claimant with the National Association of Securities Dealers Regulation, Inc. shall be retained by NASD Regulation, Inc.

OTHER ISSUES: Case dismissed in its entirety as to Respondents Emmett A. Larkin Co., Inc. and LaJolla Capital Corporation, but not as to Burnett, Grey, & Co., Inc. with respect to which there was no Submission Agreement.

AFFIRMATION

I, John J. Heflin, III, 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.


John J. Heflin, III, Esq.

November 5, 1997
Date of award