

9771004

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

CASE: 96-04203

Judith A. Giampieri, claimant vs. State Street Capital Markets Corp. and Nick Lobasso, respondents.

ATTORNEYS:

Claimant appeared Pro Se - Denver, CO

For Respondents appeared Mark J. Astarita, **Esq.** and John E. Bersin, **Esq.**, New York, NY

DATE **FILED**: September 20, 1996

CASE SUMMARY: Claimant alleged that respondents refused to sell her Cable and Co. Worldwide, Inc. ("CCWW") common stock and warrants, and later cancelled the trade.

Claim Data

Claim: \$8,500.00
Interest: \$.00
Atty Fees: \$.00
Filing Fees: \$150.00
Other: \$.00

Award Data

Award: \$4,450.00
Interest: @8% per annum(See 2 below)
Atty Fees: \$.00
Filing Fees: \$150.00
Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondents State Street Capital Markets Corp. and Nick Lobasso are jointly and severally liable and shall pay to the claimant Judith Giampieri \$4,450.00. 2) Respondents are jointly and severally liable and shall pay to claimant interest at the rate of 8% per annum from the date of the award until full payment. 3) All requests for relief are denied. 4) The \$125.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. The total NASD filing fee is \$150.00. Respondents are jointly and severally liable and shall pay \$25.00 to NASD Regulation, Inc. and \$125.00 to claimant as reimbursement of the filing fee.

OTHER ISSUES: The Award dated June 5, 1997 erroneously stated "1) Respondents State Street Capital Markets Corp. and Nick Lobasso are jointly and severally liable and shall pay to the claimant Mario Giampieri \$4,450.00". This has been corrected to accurately reflect "1) Respondents State Street Capital Markets Corp. and Nick Lobasso are jointly and severally liable and shall pay to the claimant Judith A. Giampieri \$4,450.00".

57 10004

Page Two
Award 96-04203

AFFIRMATION

I, Kathryn P. Beller, 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.

Kathryn P Beller
Kathryn P. Beller, Esq.

October 7, 1997
Date of award

770554

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

CASE: 96-04203

Judith A. Giampieri, claimant vs. State Street Capital Markets Corp. and Nick Lobasso, respondents.

ATTORNEYS:

Claimant appeared Pro Se

For Responders

Mark J. Astarita, Esq. and John E. Bersin, Esq., New York, NY

DATE FILED: September 20, 1996

CASE SUMMARY: Claimant alleged that respondents refused to sell her Cable and Co. Worldwide, Inc. ("CCWW") common stock and warrants and later cancelled the trade.

Claim Data

Claim: \$8,500.00

Interest: \$.00

Atty Fees: \$.00

Filing Fees: \$.00

Other: \$.00

Award Data

Award: \$4,450.00

Interest: @8% per annum(See 2 below)

Atty Fees: \$.00

Filing Fees: \$150.00

Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondents State Street Capital Markets Corp. and Nick Lobasso are jointly and severally liable and shall pay to the claimant Mario Giampieri \$4,450.00 2) Respondents are jointly and severally liable and shall pay to claimant interest at the rate of 8% per annum from the date of the award until full payment 3) All other requests for relief are denied. 4) The \$125.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. shall be retained by NASD Regulation, Inc. The total NASD filing fee is \$150.00. Respondents are jointly and severally liable and shall pay \$25.00 to NASD Regulation, Inc. and \$125.00 to claimant as reimbursement of the filing fee.

9710004

Page Two
Award 96-04203

Page

AFFIRMATION

I, Kathryn P. Beller, 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.

Kathryn P Beller
Kathryn P. Beller, Esq.

June 5, 1997

Date of award