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

CASE: 96-04863

Ronald LaBella, claimant vs. A.S. Goldmen & Co. Inc., respondent.

ATTORNEYS:

For Claimant appeared William P. Torngren, Esq., Old Sacramento, CA.

For Respondent appeared Carole R. Bernstein, Esq., Norwalk, CT.

DATE FILED: November 1, 1996

CASE SUMMARY: Claimant alleged failure to supervise, breach of fiduciary duty and unauthorized sale of Sports Media, Inc and Winfield Capital warrants, by means of misrepresentation and omission of material facts.

Claim Data

Claim: \$8,820.00
Punitive: Unspecified
Interest: From date of each investment
Attorney Fees: Unspecified
Filing Fees: \$150.00
Other: \$.00

Award Data

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

Claim Data

Claim: \$8,820.00
Punitive: Unspecified
Interest: From date of each investment
Attorney Fees: Unspecified
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) The claims of claimant are dismissed in their entirety. 2) All requests for attorney fees are denied. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) The \$150.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc.

OTHER ISSUES: The arbitrator reviewed and considered respondent's Motion to Dismiss. The arbitrator denied the motion.

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AFFIRMATION

I, Albert L. Boasberg, 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.


Albert L. Boasberg, Esq.

August 11, 1991
Date of award