

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

CASE: 96-04972

Kurt Markstein, claimant vs. Angelo Armenta, JaneAnn Knapp and The Boston Group, respondents.

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**ATTORNEYS:**

Claimant appeared Pro Se

For Respondents

Eric S. Hutner, Esq., New York, NY

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**DATE FILED:** November 7, 1996

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**CASE SUMMARY:** Claimant alleged breach of fiduciary duty and failure to supervise regarding his investment in Genta, Inc. stock.

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**Claim Data**

Claim: \$4,343.00  
Punitive: \$.00  
Atty Fees: Unspecified  
Filing Fees: \$.00  
Other: Costs & Disbursements

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**Award Data**

Award: \$.00  
Punitive: \$.00  
Atty Fees: \$.00  
Filing Fees: \$62.50  
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) The claims of claimant Kurt Markstein are dismissed in their entirety. 2) All requests for attorney fees are denied. 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. Respondents Angelo Armenta and the Boston Group are jointly and severally liable and shall pay claimant \$62.50 as reimbursement for one half of the filing fee.

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**OTHER ISSUES:** The Arbitrator reviewed and considered all submissions regarding a) Respondents' Motion to Strike Exhibits from the Statement of Claim and Motion to Dismiss JaneAnn Knapp as a respondent. The Arbitrator denied the Motion to Strike and granted the motion to dismiss respondent JaneAnn Knapp.

**AFFIRMATION**

I, Carl H. Auer, 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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Carl H. Auer

June 5, 1997

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Date of award