

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

CASE: 96-05496

Securities of Westchester, claimant v. Audrey Lombardo, respondent.

ATTORNEYS:

For Claimant

Appeared Michael G. Shannon, Esq. - New York, NY.

Respondent did not appear.

DATE FILED: 12/11/96.

CASE SUMMARY: Claimant alleged shares purchased from respondent had been previously sold or reported lost.

Claim Data

Claim: \$3,326.92
Interest: 9% per annum on entire amount
due from August 1, 1996 until payment.
Punitive: \$.00
Atty Fees: \$600.00

Filing Fees: \$575.00
Other: \$.00

Award Data

Award: \$3,326.92
Interest: \$.00

Punitive: \$.00
Atty Fees: \$600.00 (per Account
Agreement)
Filing Fees: \$575.00
Other: \$.00

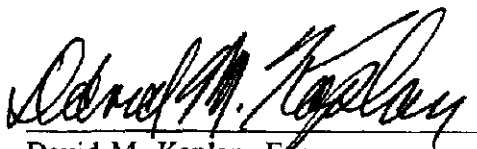
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the Claimant \$3,326.92. 2) Respondent shall pay claimant's attorney fees in the amount of \$600.00 pursuant to the Account Agreement. 3) All other requests for relief are denied. 4) The \$575.00 filing fee previously deposited by the claimant with the National Association of Securities Dealers Regulation, Inc. shall be retained by NASD Regulation, Inc. Respondent is liable and shall pay claimant \$575.00 as reimbursement for its filing fee.

ARBITRATOR'S REPORT: Respondent failed to interpose answer or file any responsive statement.

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AFFIRMATION

I, David M. Kaplan, Esq., do hereby affirm, pursuant to article 7507 of the Civil Practice law and Rules, that I am the individual described herein, and who executed this instrument which is my award.


David M. Kaplan, Esq.

June 25, 1997

Date of award