

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

**CASE: 96-05526**

**Eli Levy-Sleman, claimant vs. Tom Ishak and State Capital Markets Corp., respondents.**

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**ATTORNEYS:**

**Claimant appeared Pro Se, Brooklyn, NY.**

**For Respondent Tom Ishak, appeared Allan N. Taffet, Esq., of the law firm, Paradise & Alberts, L.L.P., New York, NY.**

**Respondent State Capital Markets Corp. did not respond to the Statement of Claim.**

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**DATE FILED: December 13, 1996**

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**CASE SUMMARY:** Claimant alleged that respondents purchased warrants without his permission, failed to execute his sell order for his Cable & Co. Worldwide, Inc. common stock and could not account funds which were missing from his account.

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**Claim Data**

**Claim: \$7,453.00**  
**Punitive: \$.00**  
**Atty Fees: \$.00**  
**Filing Fees: \$150.00**  
**Other: \$.00**

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**Award Data**

**Award: \$6,488.00 jointly & severally**  
**Punitive: \$.00**  
**Atty Fees: \$.00**  
**Filing Fees: \$150.00**  
**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) Respondents are jointly and severally liable and shall pay to the claimant \$6,488.00. 2) All other requests for relief are denied. 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. Respondents are jointly and severally liable and shall pay claimant \$150.00 as reimbursement of the filing fee.

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**OTHER ISSUES:** Pursuant to the By-Laws of NASD Regulation, the arbitrator determined that respondent, State Capital Markets Corp., was served notice of the Statement of Claim by regular mail, Overdue Notice and Notification of Arbitrator by certified mail, as evidenced by the signed signature cards on file, and is therefore bound by the arbitrator's ruling and determination.

**AFFIRMATION**

I, Fred S. Pieroni, 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.

Fred S. Pieroni  
Fred S. Pieroni

July 30, 1997

Date of Award