

**N.A.S.D. REGULATION AWARD**

**NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.**

CASE: 99-00900

Bennett Family Trust, claimant vs. First Metropolitan Securities, Inc., and Louis Sorrentino, respondents.

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**ATTORNEYS:**

Claimant appeared Pro Se, through its trustees Loring F. Bennett and Virginia E. Bennett, Rescue, CA.

Respondent First Metropolitan Securities, Inc., did not respond to the Statement of Claim.

For Respondent Louis Sorrentino, appeared Scott L. Silver, Esq., of the firm, Gusrae, Kaplan & Bruno, New York, NY.

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DATE FILED: March 1, 1999

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CASE SUMMARY: Claimant, through Loring Bennett alleged that shares of Java Centrale Inc., stock were purchased without authorization.

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**Claim Data**

Claim: \$6,478.75

Interest: \$.00

Filing Fees: \$75.00

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**Award Data**

Award: \$4,278.75

Interest: @10% per annum from  
5/29/98 to date of award

Filing Fees: \$150.00

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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) Respondent First Metropolitan Securities, Inc. is liable and shall pay to the claimant \$4,278.75. 2) Respondent First Metropolitan Securities, Inc. is liable and shall pay to the claimant interest at the rate of 10% per annum from 5/29/98 to date of award. 3) All other relief requests are denied. 4) 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. 5) Respondent First Metropolitan Securities, Inc. is liable and shall pay claimant \$150.00 as reimbursement of the filing fee.

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OTHER ISSUES: Prior to the decision on the merits and by letter dated November 23, 1999 the claimant settled claims against respondent Louis Sorrentino.

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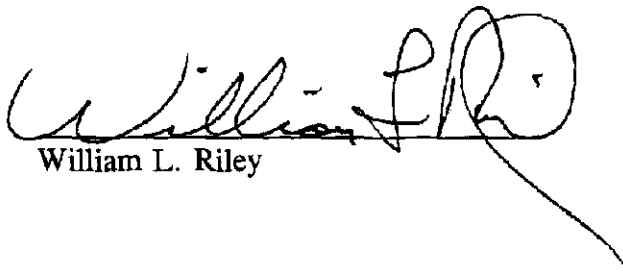
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Page Two  
Award 99-00900

**AFFIRMATION**

I, William L. Riley, 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.



William L. Riley

December 16, 1999

Date of award