

**Stipulated Award
FINRA Dispute Resolution**

In the Matter of the Arbitration Between:

Name of the Claimants

Case Number: 08-00294

**Robert Kotler, M. D., individually;
Robert Kotler, M.D., trustee for the Robert
Kotler M.D., Inc. Profit Sharing Plan;
Ronald Sheldon, individually;
Ronald Sheldon, trustee of the Ronald
Sheldon Trust;
Robert L. Lubar, D.D.S., individually;
Robert L. Lubar, D.D. S. as trustee
for the Drs. Aldilman, Katin, Lubar Ltd. Profit Sharing
Plan;
Richard Rovnick; and
Sidney Oko**

Name of the Respondents

Hearing Site: Los Angeles, California

**Westrock Advisors, Inc.;
Edward Taylor;
Michael G. Baker;
Gregory M. Martino;
Donald H. Hunter, Jr.; and
Andrew J. Shapiro**

Nature of the Dispute: Customers vs. Member and Associated Persons

REPRESENTATION OF PARTIES

Claimants, Robert Kotler, M.D., individually ("Kotler"), Robert Kotler, M.D. as trustee for the Robert Kotler, M.D., Inc. Profit Sharing Plan ("The Kotler Trust"), Ronald Sheldon, individually ("Sheldon"), Ronald Sheldon trustee of the Ronald Sheldon Trust ("The Ronald Sheldon Trust"), Robert L. Lubar, D.D.S., individually ("Lubar"), Ronald L. Lubar as trustee for the DRS. Aldilman, Katin, Lubar Ltd Profit Sharing Plan ("The Lubar Trust"), Richard Rovnick ("Rovnick") and Sidney Oko ("Oko") hereinafter referred to as "Claimants": Jonathan W. Evans, Esq., Jonathan W. Evans & Associates, Studio City, California

Respondents, Westrock Advisors, Inc. ("Westrock"), Edward Taylor ("Taylor"), Michael G. Baker ("Baker"), Gregory M. Martino ("Martino"), Donald H. Hunter, Jr. ("Hunter") and Andrew J. Shapiro ("Shapiro") hereinafter referred to as "Respondents": Robert A. Giacovas, Esq., Lazare Potter Giacovas & Kranjac LLP, New York, New York

CASE INFORMATION

Statement of Claim filed on: January 23, 2008

Kotler signed the Uniform Submission Agreement: January 1, 2008

The Kotler Trust signed the Uniform Submission Agreement: January 1, 2008

Ronald Sheldon signed the Uniform Submission Agreement: January 5, 2008

The Ronald Sheldon Trust signed the Uniform Submission Agreement: January 5, 2008

Robert L. Lubar signed the Uniform Submission Agreement: January 9, 2008

The Robert L. Lubar Trust signed the Uniform Submission Agreement: January 9, 2008

Rovnick signed the Uniform Submission Agreement: January 8, 2008

Oko signed the Uniform Submission Agreement: January 3, 2008

Statement of Answer filed by Respondents on or about: May 1, 2008

Claimants' First Amendment to the Statement of Claim filed on: June 3, 2008

Westrock signed the Uniform Submission Agreement: December 10, 2008

Taylor signed the Uniform Submission Agreement: December 15, 2008

Baker signed the Uniform Submission Agreement: December 10, 2008

Martino signed the Uniform Submission Agreement: December 10, 2008

Hunter signed the Uniform Submission Agreement: December 15, 2008

Shapiro signed the Uniform Submission Agreement: December 10, 2008

CASE SUMMARY

Claimants allege that Respondents engaged in fraud and made misrepresentations related to the purchase and/or sale of AdOne Media Promissory Notes. Claimants also allege Respondents were negligent, breached their fiduciary duties, violated Federal and State securities laws, and violated FINRA rules in connection with the sale of promissory notes.

Unless specifically admitted in the Answer, Respondents denied the allegations made in the Statement of Claim and asserted various affirmative defenses.

RELIEF REQUESTED

Claimants requested compensatory damages of \$230,000.00, which is equal to the face value of the notes, disgorgement of commissions, attorney's fees of \$4,637.067 from the engagement of previous counsel, interest, attorneys' fees, costs, and punitive damages.

Respondents requested dismissal of all claims, an award of attorneys' fees and costs, an award of expungement to all Respondents, and such other and further relief as the arbitrators may deem just and proper.

OTHER ISSUES CONSIDERED AND DECIDED

The parties resolved their disputes arising out of, and in connection with, the aforementioned Notes by entering into a Settlement Agreement in or about December 10, 2008. Pursuant to the terms of the Settlement Agreement, this Stipulated Award shall be signed by the arbitrators but no action will be taken by Claimants to enforce the Stipulated Award unless Respondents fail to comply with the payment terms of the Settlement Agreement. Should Respondent abide by the terms of the Settlement Agreement and pay Claimants the monies as agreed to, this Stipulated Award shall be deemed to be fully satisfied.

The parties also expressly agree this Stipulated Award may be confirmed by any court in the State of California, the State of New York, or other Court of competent jurisdiction.

The parties have agreed that the Stipulated Award in this matter may be executed in counterpart copies or that a handwritten, signed Stipulated Award may be entered.

AWARD

Now, in lieu of a hearing and upon Motion of both parties for an entry of a Stipulated Award and the written stipulation thereto, the Panel grants the Motion and enters this Stipulated Award granting the following relief:

1. Respondents, Westrock Advisors, Edward Taylor, Michael Glenn Baker, Gregory Marcel Martino, Donald Horton Hunter, Jr., and Andrew Shapiro are jointly and severally liable to and shall pay Claimants the sum of \$107,500.00 in compensatory damages, less any amounts paid by Respondents to Claimants, under the Settlement Agreement entered into between Claimants and Respondents in or about December 10, 2008.
2. Respondents agree to pay the costs and attorneys' fees related to Claimants having to enforce this Stipulated Award including confirmation of the award and collection activities.
3. Respondents agree that service of documents related to the confirmation of this Stipulated Award may be made on their counsel of record, Robert Giacovas, Esq. of Lazare, Potter and Giacovas at 950 Third Avenue - 15th Floor - New York, New York

10022 by overnight courier or other mutually agreeable methods.

4. Except as otherwise specified herein, each party shall bear its own costs and attorneys fees.
5. Any and all relief not specifically addressed herein, including punitive damages, is denied.

FEES

Pursuant to the Code, the following fees are assessed:

Filing Fees

FINRA Dispute Resolution assessed a filing fee* for each claim:

Initial claim filing fee = \$1,425.00

**The filing fee is made up of a non-refundable and a refundable portion.*

Member Fees

Member fees are assessed to each member firm that is a party in these proceedings or to the member firm that employed the associated persons at the time of the events giving rise to the dispute. Accordingly, Westrock Advisors, Inc. is a party:

Member surcharge = \$1,700.00

Pre-hearing process fee = \$ 750.00

Hearing process fee = \$2,750.00

Three-Day Cancellation Fees

Fees apply when a hearing on the merits is postponed or settled within three business days before the start of a scheduled hearing session:

By agreement of the parties, Respondents are jointly and severally assessed = \$ 300.00

Hearing Session Fees and Assessments

The Panel has assessed hearing session fees for each session conducted. A session is any meeting between the parties and the arbitrator(s), including a pre-hearing conference with the arbitrator(s), which lasts four (4) hours or less. Fees associated with these proceedings are:

Two (2) Pre-hearing sessions with Panel @ \$1,125.00 = \$2,250.00

Pre-hearing conferences: July 15, 2008 1 session

November 10, 2008 1 session

Total Hearing Session Fees = \$2,250.00

1. Pursuant to the agreement of the parties, \$1,125.00 of the hearing session fees are assessed to Claimants, jointly and severally.
2. Pursuant to the agreement of the parties, \$1,125.00 of the hearing session fees are assessed to Respondents, jointly and severally.

All balances are payable to FINRA Dispute Resolution and are due upon receipt.

ARBITRATION PANEL

Michael M. Hechigian - Public Arbitrator, Presiding Chairperson
Vincent J. Natoli, Jr. - Public Arbitrator
Troy C. Sumrell, CFP - Non-Public Arbitrator

Concurring Arbitrators' Signatures



Michael M. Hechigian
Public Arbitrator, Presiding Chairperson

02/06/2009
Signature Date

Vincent J. Natoli, Jr.
Public Arbitrator

Signature Date

Troy C. Sumrell, CFP
Non-Public Arbitrator

Signature Date

February 23, 2009
Date of Service (For FINRA Dispute Resolution use only)

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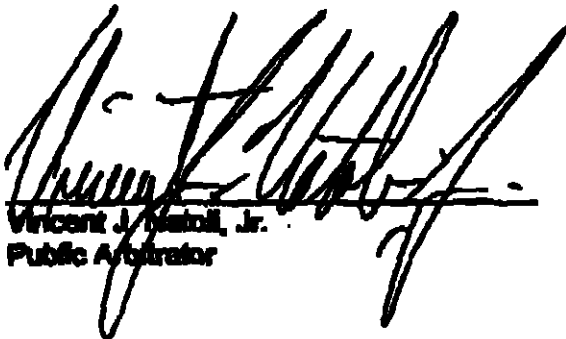
ARBITRATION PANEL

Michael M. Hochigian - Public Arbitrator, Presiding Chairperson
Vincent J. Natoli, Jr. - Public Arbitrator
Troy C. Sunrall, CFP - Non-Public Arbitrator

Concurring Arbitrators' Signatures

Michael M. Hochigian
Public Arbitrator, Presiding Chairperson

Signature Date



Vincent J. Natoli, Jr.
Public Arbitrator



Signature Date

Troy C. Sunrall, CFP
Non-Public Arbitrator

Signature Date



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ARBITRATION PANEL

Michael M. Hochstetler - Public Arbitrator, Presiding Chairperson
Vincent J. Natale, Jr. - Public Arbitrator
Troy C. Sumrell, CFP - Non-Public Arbitrator

Consenting Arbitrators' Signatures

Michael M. Hochstetler
Public Arbitrator, Presiding Chairperson

Signature Date

Vincent J. Natale, Jr.
Public Arbitrator

Signature Date

Troy Sumrell
Troy C. Sumrell, CFP
Non-Public Arbitrator

2/24/09
Signature Date

MAR 3, 2009
Date of Service (For FINRA Dispute Resolution Use only)