

**FINRA DISPUTE RESOLUTION AWARD**  
**FINRA DISPUTE RESOLUTION**

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CASE: 08-03632

Xian Jun Yang ("Claimant") vs. Westrock Advisors, Inc. ("Respondent")

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**ATTORNEYS:**

Claimant appeared *Pro se*, Flushing, NY.

For Respondent appeared Christopher R. Travis, Esq., Lazare, Potter & Giacovas LLP, New York, NY.

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**NATURE OF DISPUTE:** Customer v. Member

**DATE FILED:** October 6, 2008

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**CASE SUMMARY:** Claimant alleged that Respondent violated professional code of conduct by opening her account and buying stocks before she signed a service contract. Claimant maintained that as a result of Respondent's actions she suffered a financial loss. Claimant's claim involved common stocks.

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**Claim Data**

Claim: \$1,897.00  
Attorney's Fees: \$200.00  
Costs: \$1,696.89  
Filing Fee: \$75.00

**Award Data**

Award: \$1,696.89  
Attorney's Fees: \$.00  
Costs: \$.00  
Filing Fee: \$75.00

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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 Respondent is liable and shall pay to the Claimant \$1,696.89. 2) Claimant's requests for attorney's fees are denied. 3) All other relief requests are denied. 4) FINRA Dispute Resolution shall retain the \$75.00 filing fee that the Claimant deposited previously. 5) Respondent is liable and shall pay to the Claimant \$75.00 as reimbursement of the filing fee.

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**OTHER FEES:** Respondent has paid to FINRA Dispute Resolution the \$150.00 Member Surcharge previously invoiced.

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Award 08-03632

Denzil J. Klippel

Sole Public Arbitrator

AFFIRMATION

I, Denzil J. Klippel, 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.

  
Denzil J. Klippel

3/19/2009  
(Signature Date)

March 23, 2009

Date of Service (For FINRA-DR office use only)