

AWARD
FINRA DISPUTE RESOLUTION

CASE #: 15-03158

Michael J. Stott (Claimant) vs. Gregory T. Dean, Daniel Dvorznak, Anthony Minerva, and Michael A. Valdini (Respondents)

REPRESENTATION OF PARTIES:

Claimant Michael J. Stott: Jennifer Tarr, Cold Spring Advisory Group, New York, New York

Respondents Gregory T. Dean, Daniel Dvorznak, Anthony Minerva, and Michael A. Valdini: Ian J. Frimet, Esq., Wexler Burkhardt Hirschberg & Unger, LLP, Garden City, New York

NATURE OF DISPUTE: Customer vs. Associated Persons

Statement of Claim filed on or about: November 19, 2015

CASE SUMMARY: Claimant asserted the following causes of action: unsuitability, failure to supervise, fraud, and misrepresentation.

The causes of action relate to Claimant's investments in call options in Intuitive Surgical, Inc., Yelp, and Green Mountain Coffee, put options in Tesla and Netflix, and stock in Organovo Holdings Inc.

RELIEF REQUESTED: In the Statement of Claim, Claimant requested:

Compensatory Damages:	\$50,000.00
Other:	Unspecified

AWARD: The undersigned Arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Claimant's claims are denied in their entirety. 2) All other relief requests are denied. 3) The Office of Dispute Resolution shall retain the \$600.00 filing fee that Claimant deposited previously. 4) Respondents are jointly and severally liable for and shall pay to Claimant \$300.00 to reimburse Claimant for one-half of the filing fee previously paid to the Office of Dispute Resolution.

OTHER FEES: As Respondents Gregory T. Dean, Daniel Dvorznak, Anthony Minerva, and Michael A. Valdini's former firm, the Office of Dispute Resolution has assessed against J.D. Nicholas & Associates, Inc. the \$750.00 Member Surcharge and \$1,750.00 Member Process Fee.

OTHER ISSUES: The Arbitrator acknowledges that he has read the pleadings and other materials filed by the parties.

ARBITRATOR

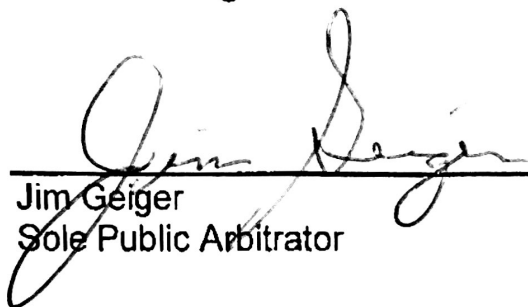
Jim Geiger

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Sole Public Arbitrator

I, the undersigned Arbitrator, do hereby affirm that I am the individual described herein and who executed this instrument which is my award.

Arbitrator's Signature



Jim Geiger
Sole Public Arbitrator



Signature Date

June 3, 2016
Date of Service (For FINRA-DR office use only)