

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION, INC.**

CASE:00-00562

Chester J. Derek & Helen D. Derek, claimant vs. Prudential Securities, Inc., respondent.

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**ATTORNEYS:**

Claimants appeared Pro Se., Saginaw, MI.

For Respondent appeared in-house counsel, Darleen Monaco, Esq., New York, NY.

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DATE FILED: February 8, 2000

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**CASE SUMMARY:** Claimant alleged that respondent churned his account through the purchase and sale of RJR Nabisco Pref. C stock. Claimant further alleged that respondent provided unsuitable investment advice with respect to the purchase of Filene's Basement shares.

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**Claim Data**

Claim: \$10,705.19  
Filing Fees: \$425.00

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**Award Data**

Award: \$.00  
Filing Fees: \$.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 claims of claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

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AFFIRMATION

I, Isadore Bernstein, 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.

Isadore Bernstein  
Isadore Bernstein

November 13, 2000  
Date of Award