

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-04629

Harvey L. Malone, Claimant vs. Prudential Securities Incorporated and Christopher S. Montgomery, Respondents.

ATTORNEYS:

Claimant, Harvey L. Malone ("Claimant"), appeared Pro Se., Metairie, LA.

For Respondents, Prudential Securities, Inc. and Christopher S. Montgomery (collectively "Respondents") appeared in-house counsel, Marci B. Gold, Esq., New York, NY.

DATE FILED: October 17, 2000

CASE SUMMARY: Claimant alleged that he had an IRA account with Respondents. Claimant further alleged that Respondents convinced him to move his IRA funds to another account which was unsuitable for his investments objectives. Claimant maintained that as a result of Respondents' actions, he suffered financial losses.

Claim Data

Claim: \$7,000
Filing Fees: \$325.00
Other: unspecified

Award Data

Award: \$.00
Filing Fees: \$.00
Other: \$.00

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 \$325.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, Prudential Securities Incorporated has paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

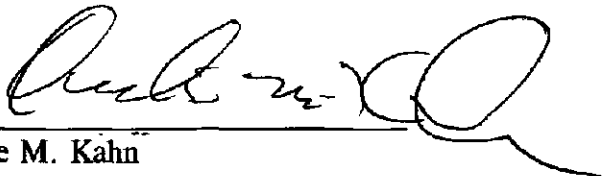
Page Two
Award 900-04629

Carlie M. Kahn


Sole Public Arbitrator

AFFIRMATION

I, Carlie M. Kahn, 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.



Carlie M. Kahn



Date of award

June 20, 2001
Date of service (for NASD office use only)