

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:01-00785

Edwin L. Goss, Executor for the Estate of Elizabeth S. Goss, Joanne G. Shirk, and James M. Goss, claimants vs. Prudential Securities Inc. and David Newman, respondents.

ATTORNEYS:

Claimants appeared Pro Se through Edwin L. Goss, Four Oaks, NC.

For Respondents appeared Marcia L. Williams, Esq., in-house counsel, New York, NY.

DATE FILED: February 5, 2001

CASE SUMMARY: Claimants alleged that after the sale of Elizabeth S. Goss' portfolio, the respondents charged claimants with excessive fees for distributing the monies in the account.

Claim Data

Claim: \$2,000.00
Punitive: \$499.00
Filing Fees: \$.00
Other: \$139.00

Award Data

Award: \$.00
Punitive: \$.00
Filing Fees: \$37.50
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 claimants are dismissed in their entirety. 2) All requests for punitive damages are denied. 3) All other relief requests are denied. 4) The \$75.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 5) Respondents shall pay claimant \$37.50 as reimbursement of one-half of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent Prudential Securities, Inc. has paid to NASD Dispute Resolution, Inc. the \$150.00 Member Surcharge previously invoiced.

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Award 01-00785

Bruce Sanders, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Bruce Sanders, Esq., 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.

Bruce Sanders
Bruce Sanders, Esq.

11-26-01
Signature Date

December 5, 2001
Date of Service (For NASD-DR office use only)