

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 01-01091

Joan Davidow-Sneed, Claimant vs. Paul Antis, Respondent.

ATTORNEYS:

Claimant, Joan Davidow-Sneed, appeared Pro Se, Pittsburgh, PA.

For Respondent, Paul Antis, appeared Gabriel Loubier, Senior Vice President, Prudential Inc., New York, NY.

DATE FILED: March 05, 2001

CASE SUMMARY: Claimant alleged that respondent was negligent in the management of her account. Claimant further alleged that respondent failed to make reasonable effort to obtain information based on claimant's financial status, tax status, or investment objectives. Claimant maintains that respondent made unsuitable investment in regards to her specific objectives and as a result of respondent's actions, she suffered financial losses.

Claim Data

Claim: \$11,450.54
Filing Fees: \$450.00
Other Costs: \$25.00

Award Data

Award: \$11,450.54
Filing Fees: \$425.00
Other Costs: \$25.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the claimant \$11,450.54. 2) Respondent is liable and shall pay to claimant \$25.00 for cost associated with bringing this claim. 3) All other relief requests are denied. 4) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc. 5) Respondent is liable and shall pay to the Claimant \$425.00 as reimbursement of the filing fee.

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

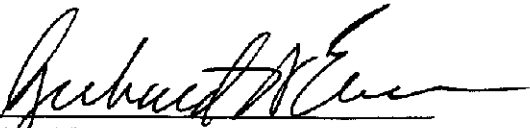
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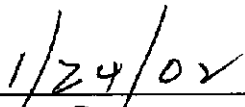
Gerhard W. Elm

Sole Public Arbitrator

AFFIRMATION

I, Gerhard W. Elm, 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.


Gerhard W. Elm


Signature Date

January 31, 2002
Date of Service (For NASD-DR office use only)