
**Award
NASD**

In the Matter of the Arbitration Between:

Name of the Claimant

Steven Sopronyi, individually and as assignee of Elizabeth Sopronyi

Case Number: 01-01427

Name of the Respondent

Prudential Securities, Inc.

Hearing Site: Boca Raton, FL

REPRESENTATION OF PARTIES

For Steven Sopronyi, individually and as assignee of Elizabeth Sopronyi, hereinafter collectively referred to as "Claimant": Jeffrey Erez, Esq. and Jeffrey Sonn, Esq., Sonn & Erez, Fort Lauderdale, FL.

For Prudential Securities, Inc., hereinafter referred to as "Respondent": Patrick Gaffney, Esq., Prudential Securities, Inc., New York, NY.

CASE INFORMATION

Statement of Claim filed on or about: March 20, 2001.

Claimant signed the Uniform Submission Agreement: March 20, 2001.

Statement of Answer filed on or about: June 4, 2001.

Respondent signed the Uniform Submission Agreement: June 11, 2001.

CASE SUMMARY

Claimant asserted the following causes of action: breach of fiduciary duty; negligence; and negligent supervision. The causes of action relate to Respondent's recommendations of the following securities: AOL, CMGI, Data Broadcasting, Heathgate Data, Vicinity, Virata, Wit Capital, and Double Click.

Unless specifically admitted in its Answer, Respondent denied all allegations made in the Statement of Claim and asserted various defenses.

RELIEF REQUESTED

Claimant requested compensatory damages in the amount of \$295,000.00, costs, interest, and any other relief deemed just and proper.

Respondent requested that the Statement of Claim be dismissed, and all costs be assessed against Claimant.

OTHER ISSUES CONSIDERED AND DECIDED

The parties have agreed that the Award in this matter may be executed in counterpart copies.

AWARD

After considering the pleadings, the testimony and evidence presented at the hearings, and the post-hearing submissions (if any), the undersigned arbitrators (the "Panel") has decided in full and final resolution of the issues submitted for determination as follows:

1. Respondent is liable for negligence and negligent supervision, and shall pay Claimant total compensatory damages in the amount of \$145,000.00.
2. All other requests for relief not specifically addressed herein are denied, including the claim for breach of fiduciary duty.

FEES

Pursuant to the NASD Code of Arbitration Procedure (the "Code"), the following fees are assessed:

Filing Fees

NASD will retain or collect the non-refundable filing fees for each claim:

Initial claim filing fee = \$ 300.00

Member Fees

Member fees are assessed to each member firm that is a party in these proceedings or to the member firm that employed the associated persons at the time of the events giving rise to the dispute. Accordingly, Respondent is assessed:

Member surcharge = \$ 1,500.00
Pre-hearing process fee = \$ 600.00
Hearing process fee = \$ 2,500.00

Adjournment Fees

Adjournment fees were not assessed in this matter.

Injunctive Relief Fees

Injunctive relief fees are assessed to each member or associated person who files for a temporary injunction in court. Parties in these cases are also assessed arbitrator travel expenses and costs when an arbitrator is required to travel outside his or her hearing location and additional arbitrator honoraria for the hearing for permanent injunction. These fees, except the injunctive relief surcharge, are assessed equally against each party unless otherwise directed by the panel.

Injunctive relief fees were not assessed in this matter.

Forum Fees and Assessments

The Arbitrator has assessed forum fees for each session conducted. A session is any meeting between the parties and the arbitrator, including a pre-hearing conference with the arbitrator, that lasts four (4) hours or less. Fees associated with these proceedings are:

One (1) Pre-hearing session with the Panel @ \$ 1,125.00 = \$ 1,125.00
Pre-hearing conference: October 23, 2001 1 session

Five (5) Hearing sessions @ \$ 1,125.00 = \$ 5,625.00
Hearing Dates: June 4, 2002 2 sessions
June 5, 2002 2 sessions
June 6, 2002 1 session

Total Forum Fees = \$ 6,750.00

1. The Panel has assessed \$3,375.00 of the forum fees to Claimant.
2. The Panel has assessed \$3,375.00 of the forum fees to Respondent.

Administrative Costs

Administrative costs are expenses incurred due to a request by a party for special services beyond the normal administrative services. These include, but not limited to, additional copies of arbitrator awards, copies of audio transcripts, retrieval of documents from archives, interpreters, and security.

Administrative costs were not incurred in this matter.

Fee Summary

1. Claimant is solely liable for:

Initial Filing Fee	= \$ 300.00
Forum Fees	= \$ 3,375.00
Total Fees	= \$ 3,675.00
Less payments	= \$ 1,525.00
Balance Due NASD	= \$ 2,150.00
2. Respondent is solely liable for:

Member Fees	= \$ 4,600.00
Forum Fees	= \$ 3,375.00
Total Fees	= \$ 7,975.00
Less payments	= \$ 3,600.00
Balance Due NASD	= \$ 4,375.00

NASD

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All balances are payable to NASD and are due upon receipt pursuant to Rule 10330(g) of the Code.

ARBITRATOR PANEL

Stuart M. Rapee, Esq.	-	Public Arbitrator, Presiding Chairperson
Steven Goerke, Esq.	-	Public Arbitrator
Sue M. Tompkins	-	Non-Public Arbitrator

Concurring Arbitrators' Signatures

/s/
Stuart M. Rapee, Esq.
Public Arbitrator, Presiding Chairperson

Signature Date

/s/
Steven Goerke, Esq.
Public Arbitrator

Signature Date

/s/
Sue M. Tompkins
Non-Public Arbitrator

Signature Date

July 10, 2002

Date of Service (For NASD office use only)

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NO. 10330

NASD
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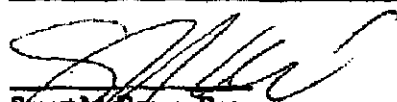
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ARBITRATION PANEL

Stuart M. Rapee, Esq.
Steven Goerke, Esq.
Sue M. Tompkins

- Public Arbitrator, Presiding Chairperson
- Public Arbitrator
- Non-Public Arbitrator

Concurring Arbitrators' Signatures



Stuart M. Rapee, Esq.
Public Arbitrator, Presiding Chairperson

5 July 02
Signature Date

Steven Goerke, Esq.
Public Arbitrator

Signature Date

Sue M. Tompkins
Non-Public Arbitrator

Signature Date

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Steven Goerke, Esq.	-	Public Arbitrator
Sue M. Tompkins	-	Non-Public Arbitrator

Concurring Arbitrators' Signatures

Stuart M. Rapee, Esq.
Public Arbitrator, Presiding Chairperson

Signature Date



Steven Goerke, Esq.
Public Arbitrator

7/4/02

Signature Date

Sue M. Tompkins
Non-Public Arbitrator

Signature Date_____
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NASD

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Award Page 4 of 4

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ARBITRATION PANEL

Stuart M. Rapee, Esq.

Steven Goerke, Esq.

Sue M. Tompkins

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Public Arbitrator, Presiding Chairperson

Public Arbitrator

Non-Public Arbitrator

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Stuart M. Rapee, Esq.

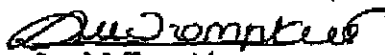
Public Arbitrator, Presiding Chairperson

Signature Date

Steven Goerke, Esq.

Public Arbitrator

Signature Date



Sue M. Tompkins

Non-Public Arbitrator

7/5/02

Signature Date

Date of Service (For NASD office use only)