

Award
NASD Dispute Resolution

In the Matter of the Arbitration Between:

Anita Della Camera (Claimant) v. Prudential Equity Group, LLC f/k/a Prudential Securities, Inc.
and Joseph M. Linta (Respondents)

Case Number: 04-00222

Hearing Site: New York, New York

Nature of the Dispute: Customer vs. Member and Associated Person.

REPRESENTATION OF PARTIES

Claimant Anita Della Camera ("Della Camera") hereinafter referred to as "Claimant": David R. Schaefer, Esq., Brenner, Saltzman & Wallman, LLP, New Haven, CT.

Respondents Prudential Equity Group, LLC f/k/a Prudential Securities, Inc. ("Prudential") and Joseph M. Linta ("Linta") hereinafter collectively referred to as "Respondents": Mark D. Vaughan, Esq., Law Offices of Joseph D'Elia, Esq., Huntington, NY.

CASE INFORMATION

Statement of Claim filed on or about: January 9, 2004.

Claimant signed the Uniform Submission Agreement: January 9, 2004.

Joint Statement of Answer filed by Respondents on or about: June 30, 2004.

Respondent Prudential signed the Uniform Submission Agreement: April 14, 2004.

Respondent Linta signed the Uniform Submission Agreement: June 10, 2004.

CASE SUMMARY

Claimant asserted the following causes of action: breach of fiduciary duty; breach of contract; negligence; breach of duty to exercise reasonable care; suitability; and misrepresentations. The causes of action relate to unspecified securities.

Unless specifically admitted in their Answer, Respondents denied the allegations made in the Statement of Claim and asserted various affirmative defenses.

RELIEF REQUESTED

Claimant requested compensatory damages in the amount of \$54,634.60; punitive damages in the

amount of \$45,000.00; pre- and post-judgment interest; costs; reasonable attorneys' fees; and such other and further relief as the Arbitrators may deem fit.

Respondents requested that the Panel dismiss Claimant's claims in their entirety, and that Claimant be required to pay all applicable fees.

OTHER ISSUES CONSIDERED AND DECIDED

The parties have agreed that the Award in this matter may be executed in counterpart copies or that a handwritten, signed Award may be entered.

AWARD

After considering the pleadings, and the testimony and evidence presented at the hearing, the Panel has decided in full and final resolution of the issues submitted for determination as follows:

1. Respondent Prudential is solely liable for and shall pay to Claimant compensatory damages in the amount of \$26,164.00.
2. Any and all relief not specifically addressed herein, including punitive damages, is denied.

FEES

Pursuant to the Code, the following fees are assessed:

Filing Fees

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

Initial claim filing fee = \$225.00

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 person at the time of the events giving rise to the dispute. Accordingly, Prudential Equity Group, LLC f/k/a Prudential Securities, Inc. is a party.

Member surcharge = \$1,100.00
Pre-hearing process fee = \$ 750.00
Hearing process fee = \$1,700.00

Forum Fees and Assessments

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

One (1) Pre-hearing session with Panel @ \$750.00 = \$ 750.00
Pre-hearing conference: August 11, 2004 1 session

Four (4) Hearing sessions @ \$750.00 = \$3,000.00

Hearing Dates:	January 4, 2005	2 sessions
	January 5, 2005	2 sessions
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Total Forum Fees		= \$3,750.00

1. The Panel has assessed \$3,750.00 of the forum fees solely against Respondent Prudential.

Fee Summary

1. Claimant is solely liable for:

<u>Initial Filing Fee</u>	= \$ 225.00
<u>Total Fees</u>	= \$ 225.00
<u>Less payments</u>	= \$ 975.00
<u>Refund Due Claimant</u>	= \$ 750.00

2. Respondent Prudential is solely liable for:

<u>Member Fees</u>	= \$3,550.00
<u>Forum Fees</u>	= \$3,750.00
<u>Total Fees</u>	= \$7,300.00
<u>Less payments</u>	= \$3,550.00
<u>Balance Due NASD Dispute Resolution</u>	= \$3,750.00

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

ARBITRATION PANEL

Arnold Wagner	-	Public Arbitrator, Presiding Chairperson
John J. Schlager	-	Public Arbitrator
James E. Howard	-	Non-Public Arbitrator

Concurring Arbitrators' Signatures

I, the undersigned arbitrator, do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein and who executed this instrument which is my award.



Arnold Wagner
Public Arbitrator, Presiding Chairperson

1/10/2005
Signature Date

John J. Schlager
Public Arbitrator

Signature Date

James E. Howard
Non-Public Arbitrator

Signature Date

January 14, 2005
Date of Service (For NASD Dispute Resolution use only)

ARBITRATION PANEL

Arnold Wagner	-	Public Arbitrator, Presiding Chairperson
John J. Schlager	-	Public Arbitrator
James E. Howard	-	Non-Public Arbitrator

Concurring Arbitrators' Signatures

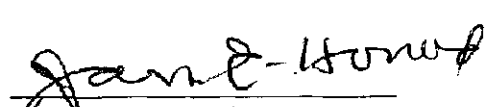
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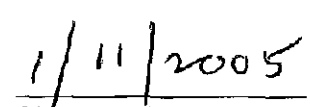
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Public Arbitrator

Signature Date



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Non-Public Arbitrator



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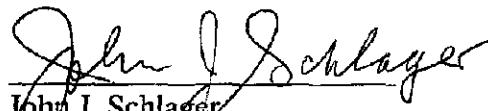
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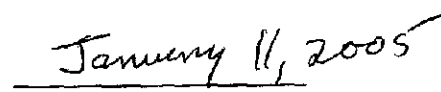
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January 14, 2005

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