

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-00532

Prudential Equity Group, L.L.C., Claimant v. Jim Amato, Respondent.

ATTORNEYS:

For Claimant, Prudential Equity Group, L.L.C., ("Claimant"), appeared Steven P. Gombert, Esq., of the firm Levenfeld Peslstein, Chicago, IL.

Respondent, Jim Amato, ("Respondent"), did not submit a response to the Statement of Claim.

NATURE OF DISPUTE: Member v. Customer

DATE FILED: January 27, 2004

CASE SUMMARY: Claimant alleged that Respondent breached the Margin Agreement signed on or about May 17, 1997, by failing to deposit funds to satisfy an unsecured debit balance. Claimant maintained that due to Respondent's actions, the corporation suffered financial losses.

Claim Data

Claim: \$25,000.00
Interest: At the rate of seven percent (7%)
per annum from 11.7.97 until date of payment
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$25,000.00
Interest: Seven percent (7%) per annum from
November 7, 1997 to November 7, 1998
Attorney Fees: \$.00
Filing Fees: \$1,050.00
Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the Claimant \$25,000.00. 2) Respondent is liable and shall pay to the Claimant interest at the rate of seven percent (7%) from November 7, 1997 to November 7, 1998. 3) All requests for attorney fees are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$1,050.00 filing fee that the Claimant deposited previously. 6) Respondent is liable and shall pay to the Claimant \$1,050.00 as reimbursement of the filing fee.

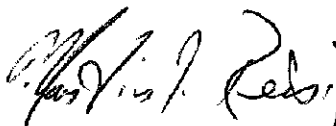
OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

ARBITRATOR

Martin I. Reisig, J.D. - Sole Public Arbitrator

AFFIRMATION

I, Martin I. Reisig, J.D., 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.



Martin I. Reisig, J.D.



Signature Date

August 25, 2004

Date of Service (For NASD-DR office use only)