

Stipulated Award
NASD Dispute Resolution

In the Matter of the Arbitration Between:

Prudential Equity Group, Inc., f/k/a Prudential Securities, Inc. and William P. Garten vs. Dave Stepanek

Case Number: 04-01433

Nature of Dispute: Member and Associated Person vs. Customer

REPRESENTATION OF PARTIES

Claimants, Prudential Equity Group, Inc. f/k/a Prudential Securities, Inc. and William P. Garten ("Claimants") appeared through Dennis J. Concilla, Esq. and Scott A. Fenton, Esq., of the firm Carlile Patchen & Murphy, LLP, Columbus, OH.

Respondent, Dave Stepanek ("Respondent") appeared through James A. DeRoche, Esq., of the firm Garson & Associates Co., L.P.A., Cleveland, OH.

CASE INFORMATION

Statement of Claim filed on or about: March 3, 2004.

CASE SUMMARY

In the Statement of Claim, Claimants seek expungement of all references to prior case between the parties captioned Dave Stepanek vs. Prudential Securities, Inc. and William P. Garten, NASD-DR case number 02-02037, from the registration records maintained by the NASD Central Registration Depository ("CRD") for respondent William P. Garten. Claimants' claim involved unspecified securities.

RELIEF REQUESTED

Claimants seek an order to expunge NASD Case No. 02-02037 from the NASD Central Registration Depository ("CRD") records of Mr. Garten.

Respondent did not object to the relief requested by Claimant.

AWARD

The parties entered into an agreement to present to the Arbitrator a Stipulated Award. Now, in lieu of a hearing and upon motion of both parties for entry of an award, the written stipulation thereto the arbitrator grants the motion and enters this award granting the following relief:

1) The Arbitrator recommends the expungement of all reference to NASD Case No. 02-02037 from Claimant William P. Garten's registration records maintained by the NASD Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notices to Members 99-09 and 99-54, Claimant William P. Garten must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive.

2) All other relief requests denied.

FEES

Pursuant to the Code, the following fees are assessed:

Filing Fees

NASD Dispute Resolution shall retain the \$1,500.00 filing fees that the Claimant deposited previously.

Member Fees

Pursuant to Rule 10333 of the Code, Prudential Equity Group, Inc. f/k/a Prudential Securities, Inc. has paid to NASD Dispute Resolution the \$1,500.00 Member Surcharge Previously invoiced.

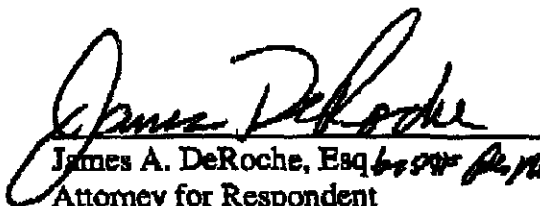
Parties' Signatures



Dennis J. Concilla, Esq.
Attorney for Claimants
Prudential Equity Group, Inc., f/k/a Prudential Securities, Inc.
and William P. Garten



Signature Date



James A. DeRoche, Esq.
Attorney for Respondent
David Stepanek



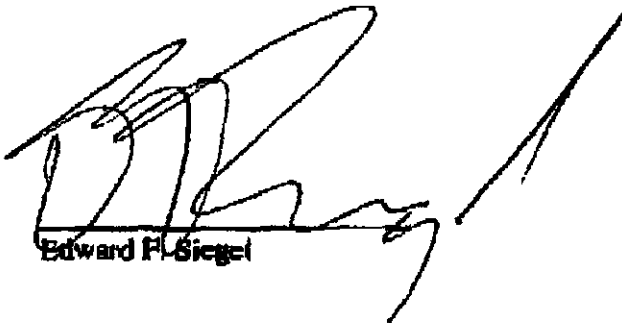
Signature Date

ARBITRATOR

Edward F. Siegel -- Sole Public Arbitrator

AFFIRMATION

I, Edward F. Siegel, 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.



Edward F. Siegel

12-14-04
Signature Date

December 15, 2004
Date of Service (For NASD office use only)