

NASD DISPUTE RESOLUTION AWARD  
NASD DISPUTE RESOLUTION

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CASE: 04-01963

Rosemarie Jennings IRA, Claimant v. Paul A. Ross and Deborah F. Sobel, Respondents.

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ATTORNEYS:

Claimant, Rosemarie Jennings, ("Claimant"), appeared *pro se*, Houston, TX.

Respondents, Paul A. Ross and Deborah F. Sobel, (collectively "Respondents"), appeared through Marcia Williams, Esq., in-house counsel for Prudential Equity Group, Inc., New York, NY.

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NATURE OF DISPUTE: Customer vs. Associated Persons.

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DATE FILED: February 23, 2004.

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CASE SUMMARY: Claimant alleged that Respondents failed to properly manage her account and made purchases that were unsuitable to her investments objectives. Claimant's claim involved mutual funds. Claimant maintained that due to Respondents' actions her account suffered losses.

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Claim Data

Claim: \$25,000.00  
Interest: 1,500.00  
Filing Fees: Unspecified  
Other: Unspecified

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Award Data

Award: \$.00  
Interest: \$.00  
Filing Fees: \$.00  
Other: \$.00

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AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of Claimant are dismissed in their entirety. 2) All requests for interest are denied. 3) All other relief requests are denied. 4) The Arbitrator waived Claimant's filing fee in the amount of \$425.00.

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OTHER FEES: Pursuant to Rule 10333 of the Code, Prudential Equity Group, Inc., the member firm that the Associated Persons were employed with at the time of this dispute has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

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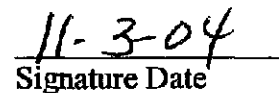
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Award 04-01963

Juanita Ray MBA, PHR - Sole-Public Arbitrator

AFFIRMATION

I, Juanita Ray MBA, PHR, 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.

  
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Juanita Ray MBA, PHR

  
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Signature Date

November 5, 2004  
\_\_\_\_\_  
Date of Service (For NASD-DR office use only)