

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-03198

David Greenhouse, Claimant v. Prudential Equity Group, LLC f/k/a Prudential Securities, Inc.,
Respondent

ATTORNEYS:

Claimant David Greenhouse ("Claimant") appeared *pro se*, Rye, NY.

For Respondent Prudential Equity Group, LLC f/k/a Prudential Securities, Inc. ("Respondent")
appeared Marcia L. Williams, Esq., in-house counsel, Prudential Equity Group, LLC, New York,
NY.

NATURE OF DISPUTE: Customer vs. Member.

DATE FILED: April 30, 2004.

CASE SUMMARY: Claimant alleged that Respondent erroneously encoded a check as payment
of estimated taxes that created a shortfall in Claimant's tax account. Claimant further alleged
that Respondent without Claimant's authorization and against his instruction remitted the correct
amount to the Internal Revenue Service from Claimant's account, which caused the check to be
returned for insufficient funds. Claimant's claim involved unspecified securities.

Claim Data

Claim: \$5,513.00
Punitive: \$5,000.00
Interest: \$143.00
Filing Fees: \$0.00

Award Data

Award: \$5,513.00
Punitive: \$0.00
Interest: \$143.00
Filing Fees: \$425.00

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
Claimant \$5,513.00. 2) Respondent is liable and shall pay Claimant interest in the amount of
\$143.00, calculated at 2% for 1 1/3 year. 3) All requests for punitive damages are denied. 4) All
other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$425.00 filing fee
that the Claimant deposited previously. 6) Respondent is liable and shall pay Claimant \$425.00
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.

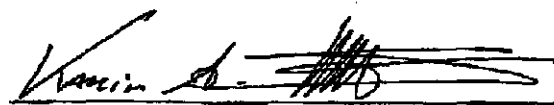
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Karin A. Schlosser, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Karin A. Schlosser, Esq., 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.



Karin A. Schlosser, Esq.

01/22/05
Signature Date

January 26, 2005
Date of Service (For NASD-DR office use only)