

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-03932

Robert J. Janoff, Claimant v. Prudential Equity Group, L.L.C. and Constance Delise,
Respondents

ATTORNEYS:

For Claimant, Robert J. Janoff, ("Claimant"), appeared Robert J. Cava, Esq. of the Law Offices
of Robert J. Cava, P.C., West Babylon, NY.

Respondent, Prudential Equity Group, L.L.C., appeared through in-house counsel Carole A.
McDonald, New York, NY.

Respondent, Constance Delise, appeared *Pro Se*, West Islip, NY.

Respondents, Prudential Equity Group, L.L.C. and Constance Delise, are hereinafter collectively
referred to as "Respondents."

NATURE OF DISPUTE: Customer v. Member and Associated Person.

DATE FILED: June 2, 2004.

CASE SUMMARY: Claimant alleged that Respondents placed his account in investments that
were unsuitable for his investment goals and objectives, by over concentrating his account in
growth stock funds such as Van Kampen Emerging Growth Fund, Putnam Investment Fund New
International, Putnam Investment Funds, Seligman Communications & Information. Claimant
further alleged that Respondent Prudential Equity Group, L.L.C. failed to adequately supervise
their inexperienced investor, Respondent Constance Delise. Claimant maintained that due to
Respondent's actions, his account suffered financial losses.

Claim Data

Claim: \$25,000.00

Interest: \$11,567.00

Filing Fees: Unspecified

Other: \$425.00

Award Data

Award: \$.00

Interest: \$.00

Filing Fees: \$212.50

Other: \$.00

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)
NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited
previously. 5) Respondent Prudential Equity Group, L.L.C. shall pay Claimant \$106.25 as
reimbursement of one-quarter of the filing fee. 6) Respondent Constance Delise shall pay
Claimant \$106.25 as reimbursement of one-quarter of the filing fee.

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


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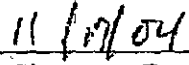
ARBITRATOR

Deborah Shapiro - Sole Public Arbitrator

AFFIRMATION

I, Deborah Shapiro, 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.


Deborah Shapiro


Signature Date

November 22, 2004
Date of Service (For NASD-DR office use only)