

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-04283

Brookman & Brookman PC Pension Plan, Claimant v. Pershing LLC/Division of DLJ Securities Corp., and Vanguard Brokerage Services, Respondents

ATTORNEYS:

Claimant Brookman & Brookman PC Pension Plan ("Claimant") appeared *pro se* through Michael D. Brookman, New York, NY.

For Respondent Pershing LLC/Division of DLJ Securities Corp. appeared Jesse Lawrence, Esq., in-house counsel, Pershing LLC/Division of BNY Securities Corp., Jersey City, NJ.

For Respondent Vanguard Brokerage Services appeared Brian Donadio, Vanguard Marketing Corporation, Malvern, PA.

Respondents Pershing LLC/Division of DLJ Securities Corp., and Vanguard Brokerage Services Pershing LLC/Division of DLJ Securities Corp. are hereinafter collectively referred to as "Respondents".

NATURE OF DISPUTE: Customer vs. Members.

DATE FILED: June 16, 2004.

CASE SUMMARY: Claimant alleged that Respondents failed to provide sufficient timely information regarding a reorganization plan. Claimant maintained that due to Respondents' actions, it suffered losses. Claimants claim involved corporate bonds.

Claim Data

Claim: \$4,999.00
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$.00
Filing Fees: \$.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) The claims of Claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$175.00 filing fee that the Claimant deposited previously.

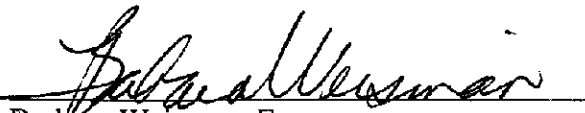
OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent Pershing LLC/Div. of DLJ Securities Corp. has paid to NASD Dispute Resolution the \$200.00 Member Surcharge previously invoiced.

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Award 04-04283

Barbara Weisman, Esq. - Sole Public Arbitrator

AFFIRMATION

I, Barbara Weisman, 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.


Barbara Weisman, Esq.

1/6/05
Signature Date

January 21, 2005
Date of Service (For NASD-DR office use only)