

NASD DISPUTE RESOLUTION STIPULATED AWARD
NASD DISPUTE RESOLUTION

CASE: 04-08192

Prudential Equity Group, LLC and Duane R. Rayburn (Claimants) v. Shelley Muffley (Respondent)

ATTORNEYS:

For Claimants Prudential Equity Group, Inc. and Duane R. Rayburn (collectively "Claimants") appeared Douglas R. Jennings, Esq., of the firm Carlile Patchen & Murphy, LLP, Columbus, OH.

For Respondent Shelley Muffley ("Respondent") appeared Thomas L. Adgate, Esq., Akron, OH.

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

DATE FILED: November 29, 2004.

CASE SUMMARY: Claimants requested expungement of a prior arbitration, NASD Dispute Resolution Arbitration No. 02-05952, from Duane R. Rayburn's CRD record. This claim does not involve securities or products.

Claim Data

Claim: Expungement

Award Data

Award: Denied

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Claimant's request for expungement of all-reference to the prior arbitration, 02-05952 is denied. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$1,500.00 filing fee that the Claimants deposited previously.

OTHER FEES: Pursuant to Rule 10333 of the Code, Claimant Prudential Equity Group, LLC has paid to NASD Dispute Resolution the \$1,500.00 Member Surcharge previously invoiced.

OTHER ISSUES: The parties agreed to waive those portions of the NASD Code of Arbitration Procedure regarding service of the Statement of Claim, filing of a Statement of Answer, and the list of arbitrators, and have agreed that this matter may be resolved solely upon the pleadings.

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Award 04-08192

James Patrick Graven, J.D.

Sole Public Arbitrator

AFFIRMATION

I, James Patrick Graven, J.D., 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.

James Patrick Graven, J.D.
James Patrick Graven, J.D.

5-13-2005
Signature Date

May 24, 2005
Date of Service (For NASD-DR office use only)