

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-00823

Ronald C. Mueller, (Claimant) vs. Prudential Equity Group, LLC, (Respondent)

ATTORNEYS:

Claimant appeared pro se, Yorba Linda, CA.

For Respondent appeared in-house counsel Carole A. McDonald, Esq., New York, NY.

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: February 11, 2005

CASE SUMMARY: Claimant alleged that Respondent placed him in investments that were unsuitable for his needs and misrepresented facts regarding said investments. Claimant further alleged negligence, failure to supervise and unauthorized, frequent trading. Claimant maintained that due to Respondent's actions, he suffered a financial loss. Claimant's claim involved mutual funds.

Claim Data

Claim: \$4,100.00
Punitive: \$800.00
Interest: \$1,400.00

Filing Fees: \$175.00
Other: \$125.00

Award Data

Award: \$2,893.43
Punitive: \$.00
Interest: granted at the rate of
5% per annum from 2/11/05
to date of payment of award.
Filing Fees: \$175.00
Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the Claimant \$2,893.43. 2) All requests for attorney fees are denied. 3) All requests for punitive damages are denied. 4) Respondent is liable and shall pay to the Claimant interest at the rate of 5% per annum from February 11, 2005 until date of payment of the award. 5) All other relief requests are denied. 6) NASD Dispute Resolution shall retain the \$175.00 filing fee that the Claimant deposited previously. 7) Respondents is liable and shall pay Claimant \$175.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$200.00 Member Surcharge previously invoiced.

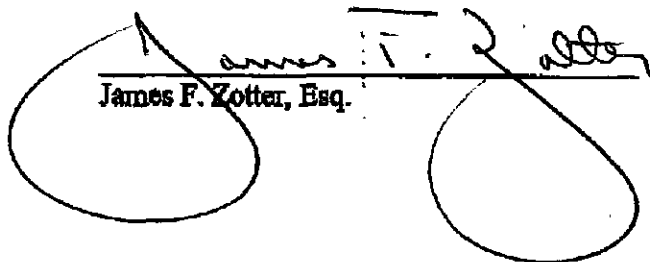
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Award 05-00823

James F. Zotter, Esq.

Sole Public Arbitrator

AFFIRMATION

I, James F. Zotter, Esq., 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 F. Zotter, Esq.

9/26/05
(Signature Date)

October 3, 2005
Date of Service (For NASD-DR office use only)