

**NASD DISPUTE RESOLUTION STIPULATED AWARD**  
**NASD DISPUTE RESOLUTION**

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**CASE: 06-02744**

**Matthew Taub, (Claimant) vs. Jerrold W. Mayfield, Colette E. Mayfield and Richard G. Washington, (Respondents)**

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**ATTORNEYS:**

**For Claimant appeared David S. Richan, Esq., of the firm Baritz & Colman, LLP, New York, NY.**

**For Respondents appeared Paul D. Flack, Esq., of the firm Nickens Keeton Lawless Farrell & Flack, LLP, Houston, TX.**

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**NATURE OF DISPUTE: Associated Person vs. Customers**

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**DATE FILED: June 6, 2006**

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**CASE SUMMARY: Claimant is seeking expungement of all reference to NASD Arbitration case number 01-03922 pursuant to the terms of a settlement agreement for that matter. All parties are in agreement and have stipulated that the expungement should be granted.**

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**Claim Data**

**Claim: \$25,000.00  
Claim: Expungement  
Punitive: Unspecified  
Attorney Fees: Unspecified  
Interest: Unspecified  
Filing Fees: Unspecified  
Other: Unspecified**

**Award Data**

**Award: \$.00  
Award: Granted  
Punitive: \$.00  
Attorney Fees: \$.00  
Interest: \$.00  
Filing Fees: \$.00  
Other: \$.00**

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**AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The monetary claims of the Claimant are dismissed in their entirety. 2) The Arbitrator recommends the expungement of all reference to NASD case number 01-03922 from Claimant Matthew Taub's registration records maintained by the Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notices to Members 04-16, Claimant Matthew Taub (CRD Number 2702398) must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. Unless specifically waived in writing by the NASD, parties seeking judicial confirmation of an arbitration award containing expungement relief must name NASD as an additional party and serve NASD with all appropriate documents. Pursuant to Rule 2130 of the NASD Code of Arbitration Procedure, the arbitration panel has made the following affirmative findings of fact: The registered person was not involved in the alleged investment-related sales practice violation, forgery, theft, misappropriation, or conversion of funds.**

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3) All requests for attorney fees are denied. 4) All requests for punitive damages are denied. 5) All requests for interest are denied. 6) All other relief requests are denied. 7) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously.

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OTHER FEES: Pursuant to Rule 10333 of the Code, Morgan Stanley DW, Inc. has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

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**Jerry C. Prestridge, Esq.**

### Sole Public Arbitrator

## AFFIRMATION

**I, Jerry C. Prestridge, 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.**

  
Jerry C. Prestridge, Esq.

January 4, 2007  
(Signature Date)

January 9, 2007

Date of Service (For NASD-DR office use only)