

N.A.S.D. AWARD

NATIONAL ASSOCIATION OF SECURITIES DEALERS

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In the Matter of the Arbitration Between

Janet Brady

Claimant

AWARD

#90-00230

Prudential-Bache Securities Inc.

Gregg Emanuel

Respondents

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**CASE SUMMARY**

Claimant alleged that the Respondents executed an authorized unsuitable options trade in her account, and she was placed in unsuitable options when she believed that she had purchased common stock. Respondents maintained that the Claimant authorized all transactions in her account despite her allegations to the contrary.

**RELIEF REQUESTED**

On July 26, 1990 in New York City, the undersigned arbitrator heard the controversy between the parties as set forth in submissions to arbitration signed by the Claimant Janet Brady on January 16, 1990, by Respondent Prudential-Bache Securities, Inc. on February 12, 1990, and by Respondent Gregg Emanuel on February 13, 1990. The arbitration panel, having considered the pleadings, the testimony, and the evidence presented at the hearing, has determined in full and final resolution of the issues submitted for determination as follows:

1. Respondent Prudential-Bache Securities, Inc. is liable and shall pay to the Claimant Janet Brady the sum of Four Thousand Three Hundred Sixty-Nine Dollars and Eighty Four Cents (\$4,369.84) plus interest at 8% from November 1, 1989 through the date of payment of this award.
2. Prudential-Bache Securities, Inc. shall bear all costs of the proceeding. All parties shall bear their respective attorneys' fees.
3. Pursuant to Section 43 of the Code of Arbitration Procedure, the National Association of Securities Dealers, Inc. shall refund the \$100.00 filing fee previously deposited by the Claimant.

Respondent Prudential Bache Securities, Inc. is assessed \$100.00 in forum fees payable to the NASD, Inc. as costs of the one hearing session in this matter.

**CONCURRING ARBITRATOR**

/s/ \_\_\_\_\_  
David N. Brainin, Esq.

Dated this 8th day of August, 1990