

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-05045

Daniel Rosenson & Irma Rosenson, claimants vs. Prudential Securities, Inc. and Louis Liberatore, respondents.

ATTORNEYS:

Claimants appeared Pro Se., Delray Beach, FL.

For Respondents appeared in-house counsel Darleen Monaco, Esq., New York, NY.

DATE FILED: November 8, 1999

CASE SUMMARY: *Claimants alleged that respondents purchased a New York City General Obligations Series H Bond without their prior authorization.*

Claim Data

Claim: \$8,974.55

Interest: \$.00

Filing Fees: \$.00

Award Data

Award: \$4,072.47 ;

Interest: @9% from
3/25/98 to date of award

Filing Fees: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent, Prudential Securities, Inc. is liable and shall pay to the claimant \$4,072.47. 2) All claims against respondent Louis Liberatore are dismissed in their entirety. 3) Respondent Prudential Securities, Inc. is liable and shall pay to the claimant interest at 9% from March 25, 1998 to date of award. 4) All other relief requests are denied. 5) The \$325.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent Prudential Securities, Inc. has paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

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Award 99-05045

AFFIRMATION

I, Jan Ulman, 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.



Jan Ulman

January 2, 2001

Date of Award