

N.A.S.D. REGULATION AWARD
NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.

CASE: 96-02104

Raleigh Amesbury, claimant v. Kevin T. Ducie, respondents.

ATTORNEYS:

For Claimant

Claimant appeared pro se - Centerville, MA.

For Respondent appeared Edward W. Larkin, Esq., New York, NY.

DATE FILED: 5/15/96

CASE SUMMARY: Claimant alleged: Unauthorized transaction and failure to execute orders for the sale of bonds and conduct in violation of NASD Rules of Fair Practice.

Claim Data

Claim: \$2,500.00

Interest: \$. 00

Punitive: \$7,000.00

Atty Fees: \$.00

Filing Fees: \$.00

Other: \$.00

Award Data

Award: \$257.80

Interest: \$8.75 per annum from
7/1/95 to 6/25/97

Punitive: \$.00

Atty Fees: \$.00

Filing Fees: \$150.00

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 \$257.80 plus interest at 8.75% per annum from 7/1/95 to 6/25/97. 2) All other requests for relief are denied. 3) The \$75.00 partial filing fee previously deposited by the claimant with the National Association of Securities Dealers Regulation, Inc. shall be retained by NASD Regulation, Inc. Claimant Raleigh Amesbury shall pay \$75.00 filing fee balance due to NASD Regulation, Inc. Respondent is liable and shall pay claimant \$75.00 as reimbursement for one half of the filing fee.

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AFFIRMATION

I, Charles F. O'Connell, 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.



Charles F. O'Connell, Esq.

August 11, 1997

Date of award