

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

CASE: 96-05614

Ruth Koretsky, claimant v. Nutmeg Securities Ltd. and Jeff Ansted, respondents.

ATTORNEYS:

For Claimant

Claimant appeared pro se - Sylvania, OH.

For respondent Nutmeg Securities, Ltd. appeared R. Sherman Jent - Westport, CT.

Respondent Jeff Ansted appeared pro se - Westport, CT.

DATE FILED: 12/18/96.

CASE SUMMARY: Claimant alleged liquidation of stock without authorization, negligence and fraud in the management of her account regarding stock in Hylsamex, Telefonos de Mexico, PIMCO, U.S. Government. Advisors, IMP Systems of Excellence, Inc and a bond fund - US Government Class A Fund. Respondent Nutmeg Securities counterclaimed alleging claimant's claim was malicious and had no basis in fact.


Claim Data	Counter Claim (Nutmeg)	Award Data
Claim: \$8,185.99	Claim: To be determined	Award: \$.00
Punitive: \$.00	Punitive: \$.00	Punitive: \$.00
Atty Fees: \$.00	Atty Fees: \$.00	Atty Fees: \$.00
Filing Fees: \$150.00	Filing Fees: \$.00	Filing Fee: See below
Other: \$.00	Other: \$.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) The claims of claimant are dismissed in their entirety. 2) Nutmeg Securities' counterclaim is dismissed in its entirety. 3) All requests for attorney fees are denied. 4) All requests for punitive damages are denied. 5) All other requests for relief are denied. 6) The \$150.00 filing fee previously deposited by the claimant with the National Association of Securities Dealers Regulation, Inc. shall be retained by NASD Regulation, Inc. Respondent Jeff Ansted is liable and shall pay claimant Ruth Koretsky \$150.00 as reimbursement of the filing fees. 7) The \$575.00 filing fee previously deposited by the Nutmeg Securities, Ltd. with the National Association of Securities Dealers Regulation, Inc. shall be retained by NASD Regulation, Inc. Respondent Jeff Ansted is liable and shall pay respondent Nutmeg Securities, Ltd. \$575.00 as reimbursement of their filing fees.

Page Two
Award 96-5614

AFFIRMATION

I, Roger W. Van Deusen, 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.



Roger W. Van Deusen, Esq.

July 9, 1997

Date of award