

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

CASE: 97-00169

Alexander Koroluk, claimant v. J.B. Oxford & Company, respondent.

ATTORNEYS:

For Claimant

Claimant appeared pro se - Herkimer, NY.

For Respondents appeared Scott G. Monson, Esq. - Beverly Hills, CA

DATE FILED: 1/13/97

CASE SUMMARY: Claimant alleged unauthorized purchase of Comparator Sys. Inc, and negligence in the management of his account.

Claim Data

Claim: \$9358.50
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$.00
Other: \$.00

Award Data

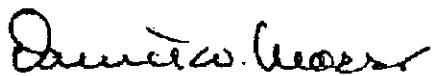
Award: \$.00
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$.00
Other: \$.00

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) All requests for attorney fees are denied. 3) All other requests for relief are denied. 4) 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.

ARBITRATOR'S REPORT: Documentary evidence shows May 10, 1996 order was properly executed in accordance with claimant's unsolicited order. Claimant admits not meeting margin call and I find respondent justified in selling out in accordance with account disclosure brochure and customer agreement.

AFFIRMATION

I, David W. Morris, Esq., do hereby affirm, pursuant to article 7507 of the Civil Practice law and Rules, that I am the individual described herein, and who executed this instrument which is my award.



David W. Morris, Esq.

June 19, 1997

Date of award