

AWARD

FINRA Office of DISPUTE RESOLUTION

CASE #: [REDACTED]

[REDACTED] (Claimant) vs. Thrivent Investment Management Inc. (Respondent)

REPRESENTATION OF PARTIES:

For Claimant [REDACTED]: Dochter Kennedy, MBA, J.D., AdvisorLaw LLC, Broomfield, Colorado.

For Respondent Thrivent Investment Management Inc.: Jason A. Kempf, Esq., Bryan Cave LLP, St. Louis, Missouri.

NATURE OF DISPUTE: Associated Person vs. Member

Statement of Claim filed on or about: February 6, 2017.

CASE SUMMARY: Claimant asserted a claim seeking expungement of customer dispute occurrence number [REDACTED] ("Underlying Claim") from his Central Registration Depository ("CRD") records.

In the Statement of Answer, Respondent advised that while it takes no position to Claimant's request for expungement, it requests that the monetary relief requested in the Statement of Claim be denied.

RELIEF REQUESTED:

In the Statement of Claim, Claimant requested:

1. Expungement of the Underlying Claim from his CRD record pursuant to FINRA Rule 2080(b)(1)(A) finding the claim, allegation or information is factually impossible or clearly erroneous;
 2. Expungement of the Underlying Claim from his CRD record pursuant to FINRA Rule 2080(b)(1)(B) finding the Claimant was not involved in the alleged investment-related sales practice violation, forgery, theft, misappropriation or conversion of funds;
 3. Expungement of the Underlying Claim from his CRD record pursuant to FINRA Rule 2080(b)(1)(C) finding the claim, allegation or information is false.
 4. An award of damages in the amount of \$1.00 for Respondent's part in contributing to Claimant's injury; and
 5. Any and all other relief that the Arbitrator deems just and equitable.
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AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Claimant's claims, including his request for expungement, are denied in their entirety. 2) Any and all claims for relief not specifically addressed herein are denied.

OTHER ISSUES: The Arbitrator acknowledges that he has read the pleadings and other materials filed by the parties.

OTHER FEES: Respondent has paid to FINRA Office of Dispute Resolution the \$150.00 Member Surcharge previously invoiced.

FINRA Dispute Resolution assessed a filing fee* for each claim:
Initial Claim Filing Fee = \$ 50.00

*The filing fee is made up of a non-refundable and a refundable portion.

Hearing Session Fees and Assessment

The Arbitrator has assessed hearing session fees for each session conducted. A session is any meeting between the parties and the arbitrator(s), including a pre-hearing conference with the arbitrator(s), that lasts four (4) hours or less. Fees associated with these proceedings are:

One (1) Pre-hearing session with a single arbitrator @ \$50.00/session = \$50.00
Pre-hearing conference: May 31, 2017 1 session

One (1) Hearing session on expungement request @ \$50.00/session = \$50.00
Hearing Date: August 07, 2017 1 session

Total Hearing Session Fees = \$100.00

The Arbitrator has assessed \$100.00 of the hearing session fees to Claimant.

All balances are payable to FINRA Office of Dispute Resolution and are due upon receipt.

ARBITRATOR

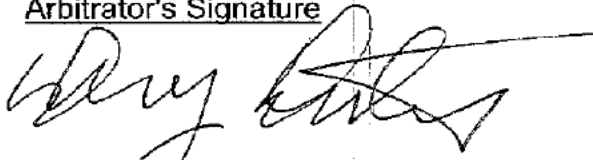
Dean J. Dietrich

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Sole Public Arbitrator

I, the undersigned Arbitrator, do hereby affirm that I am the individual described herein and who executed this instrument which is my award.

Arbitrator's Signature



Dean J. Dietrich
Sole Public Arbitrator

9-11-17

Signature Date

September 12, 2017
Date of Service (For FINRA-ODR office use only)