

Award
FINRA Office of Dispute Resolution

In the Matter of the Arbitration Between:

Claimant

████████████████████

Case Number: ██████████

vs.

Respondent

Ameriprise Financial Services, Inc.

Hearing Site: New York, New York

Nature of the Dispute: Associated Person vs. Member

REPRESENTATION OF PARTIES

For Claimant ██████████ Michael Bessette, Esq., AdvisorLaw LLC,
Broomfield, Colorado.

For Respondent Ameriprise Financial Services, Inc.: Howard M. Klausmeier, Esq.,
Ameriprise Financial Services, Inc., Minneapolis, Minnesota.

CASE INFORMATION

Statement of Claim filed on or about: February 23, 2018.

████████████████████ signed the Submission Agreement: February 23, 2018.

Statement of Answer filed by Respondent on or about: April 19, 2019

Ameriprise Financial Services, Inc. signed the Submission Agreement: April 19, 2018.

CASE SUMMARY

Claimant asserted the following cause of action: expungement.

Respondent did not object to the expungement of the subject customer complaint from the Claimant's Central Registration Depository ("CRD") record.

RELIEF REQUESTED

In the Statement of Claim, Claimant requested: expungement of Occurrence Numbers ██████████ ██████████ and ██████████ from his CRD record, compensatory damages in the amount of \$1.00 and any and all other relief that the Arbitrator deems just and equitable.

In the Statement of Answer, Respondent requested that the Arbitrator deny all requested damages against the Respondent and that all costs and fees in this matter, including member surcharges and hearing fees, be assessed solely against Claimant.

At the close of the hearing, Claimant withdrew his request for \$1.00 in compensatory damages.

OTHER ISSUES CONSIDERED AND DECIDED

The Arbitrator acknowledges that she has each read the pleadings and other materials filed by the parties.

Claimant provided FINRA Office of Dispute Resolution with proof, dated October 29, 2018, that the customers related to Occurrence Numbers [REDACTED] [REDACTED] and [REDACTED] were notified of the expungement request and of their right to participate and testify at the expungement hearing. The customers were also served with a copy of the Statement of Claim.

The Arbitrator conducted recorded telephonic hearings on November 28, 2018 and May 13, 2019 so the parties could present oral argument and evidence on [REDACTED] [REDACTED] request for expungement.

The customers did not participate in the expungement hearing and did not contest the request for expungement.

The Arbitrator reviewed the BrokerCheck® Report for [REDACTED].

With respect to Occurrence Number [REDACTED] Respondent settled with the customer. The Arbitrator did not review the settlement documents. The Arbitrator noted that the Claimant testified that his copy of the Settlement Agreement was destroyed during Hurricane Sandy and that Respondent no longer had settlement documents in their possession.

The Arbitrator noted that [REDACTED] did not previously file a claim requesting expungement of the same disclosures in the CRD.

The parties present at the hearing have agreed that the Award in this matter may be executed in counterpart copies or that a handwritten, signed Award may be entered.

AWARD

After considering the pleadings, the testimony and evidence presented at the hearing, the Arbitrator has decided in full and final resolution of the issues submitted for determination as follows:

1. Claimant [REDACTED] (CRD # [REDACTED] request for expungement of Occurrence Numbers [REDACTED] [REDACTED] and [REDACTED] from his CRD record is denied.

2. Any and all claims for relief not specifically addressed herein are denied.

FEES

Pursuant to the Code of Arbitration Procedure, the following fees are assessed:

Filing Fees

FINRA Office of 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.*

Member Fees

Member fees are assessed to each member firm that is a party in these proceedings or to the member firm that employed the associated person at the time of the events giving rise to the dispute. Accordingly, as a party, Respondent Ameriprise Financial Services, Inc., is assessed the following:

Member Surcharge	= \$ 150.00
------------------	-------------

Hearing Session Fees and Assessments

The Arbitrator has assessed hearing session fees for each session conducted. A session is any meeting between the parties and the arbitrator, including a pre-hearing conference with the arbitrator, 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: June 20, 2018	1 session

Two (2) hearing sessions @ \$50.00/session	= \$100.00
Hearing Dates: November 28, 2018	1 session
May 13, 2019	1 session

Total Hearing Session Fees	= \$150.00
----------------------------	------------

The Arbitrator has assessed the \$150.00 hearing session fees to Claimant.

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

ARBITRATOR

Keely D. Parr

-

Sole Public Arbitrator

I, the undersigned Arbitrator, 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.

Arbitrator's Signature

Keely D. Parr
Sole Public Arbitrator

Signature Date

June 12, 2019

Date of Service (For FINRA Office of Dispute Resolution office use only)