

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION, INC.**

CASE: 00-00387

Estate of Mary Kay Taylor and Mary Kay Taylor Trust, Claimant vs. US Bancorp Investments, Inc., Respondent.

---

**ATTORNEYS:**

For Claimant appeared Peter J. Mozena, Esq. Portland, OR.

For Respondent, US Bancorp Investments, Inc., appeared in-house counsel Mark S. Reed, Esq., Minneapolis, MN.

---

DATE FILED: January 31, 2000

---

**CASE SUMMARY:** Claimant alleged that Respondent failed to properly transfer the IRA account assets (Mutual Funds) to the Mary Kay Taylor Trust, thereby necessitating the commencement of probate proceedings which resulted in further financial loss.

---

**Claim Data**

Claim: \$17,922.84  
Cost: Unspecified \$.00  
Other: Unspecified

---

**Award Data**

Award: \$10,414.37  
Cost: \$.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 \$10,414.37. 2) All other relief requests are denied. 3) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc.

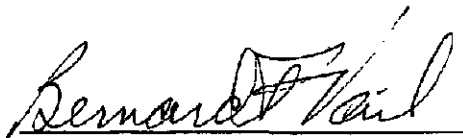
---

**OTHER FEES:** Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

Page Two  
Award 00-00387

**AFFIRMATION**

I, Bernard F. Vail, 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.

  
Bernard F. Vail

October 18, 2000  
Date of award