

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 01-01542

RaVae A. Luckhart, Claimant vs. Bryant J. Engebretson & U.S. Bancorp Piper Jaffray,
Respondents.

ATTORNEYS:

Claimant appeared Pro Se., Bellingham, WA.

Respondents appeared through their in-house counsel Brian S. Hellberg, Esq., Minneapolis, MN.

DATE FILED: March 29, 2001

CASE SUMMARY: Claimant alleged that Respondents were negligent in the management of her account. Claimant further alleged that Respondents without prior authorization or consent purchased high risk computer stocks that were unsuitable to her investment objectives.

ARBITRATOR'S ADDENDUM TO AWARD: Exhibit A

Claim Data

Claim: \$8,047.09
Interest: \$482.82
Filing Fees: \$325.00
Other: unspecified

Award Data

Award: \$.00
Interest: \$.00
Filing Fees: \$162.50
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 interest are denied. 3) All other relief requests are denied. 4) The \$325.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc. 5) Respondents are liable and shall pay Claimant \$162.50 as reimbursement of half of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent U.S. Bancorp Piper Jaffray has paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

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Kenneth J. Diamond

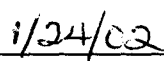
Sole Public Arbitrator

AFFIRMATION

I, Kenneth J. Diamond, 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.


Kenneth J. Diamond


Signature Date


Date of Service (For NASD-DR office use only)