

**Stipulated Award**  
**NASD Dispute Resolution**

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In the Matter of the Arbitration Between:

Brian D. Currier vs. Linda M. Nikkila and Rick A. Nikkila

Case Number: 04-02213

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Nature of Dispute: Associated Person vs. Customers

**REPRESENTATION OF PARTIES**

Claimants, Brian D. Currier ("Claimant") appeared through Harold G. Ognelodh, Esq., in-house counsel of Merrill Lynch, Pierce, Fenner & Smith, Inc. New York, NY

Respondents, Linda M. Nikkila and Rick A. Nikkila ("Respondents") appeared *pro se*, Vancouver, WA

**CASE INFORMATION**

Statement of Claim filed on or about: March 28, 2004.

Nature of Dispute: Associated Person vs. Customers

**CASE SUMMARY**

In their Statement of Claim, Claimants seek an order to expunge NASD Case No. 03-02936 from the NASD Central Registration Depository ("CRD") records of Mr. Currier.

**RELIEF REQUESTED**

Claimants seek an order to expunge NASD Case No. 03-02936 from the NASD Central Registration Depository ("CRD") records of Mr. Currier.

Respondents did not object to the relief requested by Claimant.

**OTHER ISSUES CONSIDERED AND DECIDED**

Respondents Linda M. Nikkila and Rick A. Nikkila did not file with the NASD Dispute Resolution properly executed submission agreement but are required to submit to arbitration

**AWARD**

The parties entered into and agreement to present to the Arbitrator a Stipulated Award. Now, in lieu of a hearing and upon motion of both parties for entry of an award, the written stipulation thereto the arbitrator grants the motion and enters this award granting the following relief.

1) The Arbitrator recommends the expungement of all reference to NASD Case No. 03-02936 from Claimant Brian D. Currier's registration records maintained by the NASD Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notices to Members 99-09 and 99-54, Claimant Brian D. Currier must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. 2) All other relief requests denied.

**FEES**

Pursuant to the Code, the following fees are assessed:

**Filing Fees**

NASD Dispute Resolution shall retain or collect the \$1,250.00 filing fees that the Claimant deposited previously.

**Member Fees**

Pursuant to Rule 10333 of the Code, Merrill Lynch, Pierce, Fenner & Smith, Inc. has paid to NASD Dispute Resolution the \$1,500.00 Member Surcharge Previously invoiced.

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Arbitration No. 04-02213  
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Parties' Signatures



Harold G. Oghelodh, Esq.  
Attorney for Claimant  
Brian D. Currier

11/22/04  
Signature Date

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Richard M. Layne, Esq.  
Attorney for Respondents  
Linda M. Nikkila and Rick A. Nikkila

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Signature Date

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Arbitration No. 04-02213  
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Parties' Signatures

\_\_\_\_\_  
Harold G. Ognelodh, Esq.  
Attorney for Claimant  
Brian D. Currier

\_\_\_\_\_  
Signature Date

  
\_\_\_\_\_  
Richard M. Layne, Esq.  
Attorney for Respondents  
Linda M. Nikkila and Rick A. Nikkila

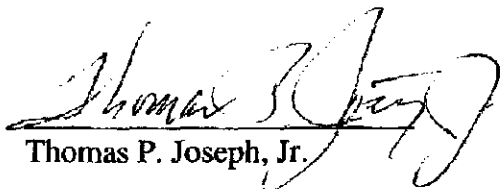
11/30/04  
Signature Date

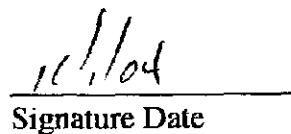
**ARBITRATOR**

Thomas P. Joseph, Jr. – Sole Public Arbitrator

**AFFIRMATION**

I, Thomas P. Joseph, Jr., 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.

  
Thomas P. Joseph, Jr.

  
Signature Date

December 7, 2004  
Date of Service (For NASD office use only)