

AWARD
FINRA DISPUTE RESOLUTION

CASE #: 15-00363

Lesleigh Root (Claimant) vs. Ameriprise Financial Services, Inc. (Respondent)

REPRESENTATION OF PARTIES:

For Claimant Lesleigh Root: Adam J. Gana, Esq., Gana LLP, New York, New York

For Respondent Ameriprise Financial Services, Inc.: Susan E. Sheely, Esq., Ameriprise Financial Center, Minneapolis, Minnesota

NATURE OF DISPUTE: Customer vs. Member

Statement of Claim filed on or about: February 12, 2015

CASE SUMMARY: Claimant asserted the following causes of action: suitability, violation of FINRA Rules 2210 and 2010, and failure to supervise.

The causes of action relate to Claimant's investments in the following real estate investment trusts: CNL Lifestyle Properties, Inc. and CB Richard Ellis.

RELIEF REQUESTED: In the Statement of Claim, Claimant requested:

Compensatory Damages:	\$40,333.81, or alternatively recessionary damages
Statutory damages:	Unspecified
Interest:	At the statutory rate
Forum fees:	Unspecified
Attorneys' fees:	Unspecified
Other:	Unspecified

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 for and shall pay to Claimant compensatory damages in the amount of \$31,156.99. 2) Respondent is liable for and shall pay to Claimant interest on the amount of \$31,156.99 at the rate of 7% per annum from March 1, 2015 until the award of \$31,156.99 is paid in full. 3) All requests for attorneys' fees are denied. 4) All other relief requests are denied. 5) FINRA Dispute Resolution shall retain the \$600.00 filing fee that Claimant deposited previously. 6) Respondent is liable for and shall pay to Claimant \$600.00 to reimburse Claimant for the filing fee previously paid to FINRA Dispute Resolution.

OTHER FEES: Respondent has paid to FINRA Dispute Resolution the \$750.00 Member Surcharge and \$1,750.00 Member Process Fee previously invoiced.

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

ARBITRATOR


Mary Margaret Bush

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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



Mary Margaret Bush
Sole Public Arbitrator

7/31/15
Signature Date

July 31, 2015
Date of Service (For FINRA-DR office use only)