

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 01-01306

Lucy I. Maurer, claimant vs. Mutual of Omaha Investor Services and Wilton D. Johnson, respondents.

ATTORNEYS:

Claimant appeared pro se, Roanoke, VA.

For Respondents appeared Christian E. Bryan, Esq., in-house counsel, Omaha, NE.

DATE FILED: March 16, 2001

CASE SUMMARY: Claimant alleged that respondents misrepresented facts about the suitability of the investments they recommended, which resulted in a loss to her account.

Claim Data

Claim: \$20,000.00

Award Data

Award: \$10,000.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondents are jointly and severally liable and shall pay to the claimant \$10,000.00. 2) The \$425.00 filing fee was previously waived by NASD Dispute Resolution, Inc. 3) Respondents are jointly and severally liable and shall pay NASD Dispute Resolution, Inc. \$425.00 as reimbursement of the filing fee.

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

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Award 01-01306

Paul Davis Pearlstein, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Paul Davis Pearlstein, Esq., 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.



Paul Davis Pearlstein, Esq.

12/17/01
Signature Date

January 22, 2002
Date of Service (For NASD-DR office use only)