

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

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In the Matter of the Arbitration Between :

Jeffrey Robinson :

Claimant :

vs. :

Amerimutual Corporation :

Respondent :  
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CASE #91-00809  
AWARD

CASE SUMMARY

Pro Se Claimant Jeffrey Robinson, in a claim filed with the National Association of Securities Dealers, Inc. on March 13, 1991, alleged that an agent of Amerimutual Corporation "cold called" him and provided misleading information concerning Guinness Capital Funding, Inc., a penny stock. He affirms that he was not sent a prospectus until after he had purchase the stock, that he was told that he could make a lot of money in a short period of time and that a few months later Amerimutual Corporation disappeared.

Respondent, Amerimutual Corporation failed to Answer the original service of the Statement of Claim sent to it on April 24, 1991. The Statement of Claim was reserved on Amerimutual Corporation on July 25, 1991 and returned by the postal service marked "refused". The Claim was reserved by regular mail on August 2, 1991 and not returned. Amerimutual Corporation failed to Answer the Statement of Claim.

RELIEF REQUESTED

Claimant requests Eight Hundred Fifteen Dollars (\$815) in damages and return of the NASD fee.

AWARD

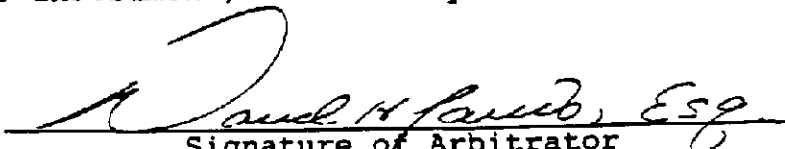
Pursuant to Section 13 of the National Association of Securities Dealers, Inc. Code of Arbitration Procedure, a single Public Arbitrator, David H. Jarvis, Esq., was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant on February 20, 1991 and not by the Respondent as required by Section 13(d) of the Code of Arbitration Procedure.

And, that the Arbitrator, having considered the proof of the Parties, has decided and determined in full and final resolution of the issues submitted for determination as follows:

1. That the Respondent Amerimutual Corporation is liable and shall pay to the Claimant Jeffrey Robinson the sum of Eight Hundred Fifteen Dollars (\$815).
2. The Thirty Dollar (\$30) filing fee previously deposited with the National Association of Securities Dealers, Inc. by the Claimant shall be retained by the NASD, Inc. and is assessed against the Respondent Amerimutual Corporation who shall pay Thirty Dollars (\$30) to Jeffrey Robinson.

AFFIRMATION

I, DAVID H. JARVIS, ESQ., do hereby affirm upon my oath as arbitrator that I am the individual described herein and who executed this instrument, which is my oath and award.

  
Signature of Arbitrator

DATED: 10/1/91