

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: #99-05293

Genevieve Lewandowski, claimant vs. Mutual of Omaha Investor Services, Inc., respondents.

ATTORNEYS:

Claimant appeared Pro Se, Southampton, NJ.

Respondent appeared through its Vice President, Finance and Treasurer, William J. Bluvas, Omaha, NE.

DATE FILED: 11/22/99

CASE SUMMARY: Claimant alleged that respondent charged a surrender fee, which was not applicable, when she requested transfer of her IRA account.

Claim Data

Claim: \$2,183.26
Filing Fees: \$.00

Award Data

Award: \$.00
Filing Fees: \$.00

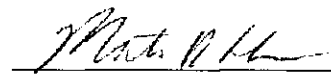
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$75.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Dispute Resolution, Inc. the \$150.00 Member Surcharge previously invoiced.

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AFFIRMATION

I, Martin Sklar, do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument which is my award.



Martin Sklar

October 9, 2000
Date of Award