

Award
FINRA Dispute Resolution Services

In the Matter of the Arbitration Between:

Claimant
Natasha Lewis Jahn

Case Number: 23-03347

vs.

Respondent
CUNA Brokerage Services, Inc.

Hearing Site: Seattle, Washington

Awards are rendered by independent arbitrators who are chosen by the parties to issue final, binding decisions. FINRA makes available an arbitration forum—pursuant to rules approved by the SEC—but has no part in deciding the award.

Nature of the Dispute: Associated Person vs. Member

The expungement hearing was conducted by videoconference.

REPRESENTATION OF PARTIES

For Claimant Natasha Lewis Jahn: Harris Freedman and Dochter Kennedy, AdvisorLaw LLC, Broomfield, Colorado.

For Respondent CUNA Brokerage Services, Inc.: Sandra D. Grannum, Esq. and Danielle Prebor, Esq., Faegre Drinker Biddle & Reath LLP, Florham Park, New Jersey.

CASE INFORMATION

Statement of Claim filed on or about: November 20, 2023.
Amended Statement of Claim filed on or about: June 25, 2024.
Claimant signed the Submission Agreement: November 20, 2023.

Statement of Answer filed by Respondent on or about: February 2, 2024.
Answer to the Amended Statement of Claim filed on or about: July 25, 2024.
Respondent signed the Submission Agreement: February 1, 2024.

CASE SUMMARY

In the Statement of Claim, as amended, Claimant asserted a claim seeking expungement of the Form U5 filed by Respondent, as a part of registration records maintained by the Central Registration Depository (“CRD”), on equitable grounds.

Unless specifically admitted in the Answer to the Amended Statement of Claim, Respondent denied the allegations made in the Statement of Claim, as amended.

RELIEF REQUESTED

In the Statement of Claim, as amended, Claimant requested:

1. Expungement of the Form U5 amendments corresponding with Occurrence Number 1826837, and those relevant portions of the Form U4, from Claimant's CRD records, to include:
 - a. amendment of the Reason for Termination entry in Section 3 of Claimant's Form U5 to read "Voluntary;"
 - b. expungement of the Termination Explanation from Claimant's Form U5;
 - c. amendment of the answer to question 7F(1) on Claimant's Form U5, from a "Yes" response to "No;"
 - d. deletion of the Termination Disclosure Detail (U5) from the CRD; and
 - e. deletion of the Termination Disclosure Reporting Pages accompanying Occurrence Number 1826837 from the CRD;
2. Damages in the amount of \$1.00 from Respondent; and
3. Any other relief as the Arbitrator deems just and equitable.

In the Answer to the Amended Statement of Claim, Respondent did not set forth a specific relief request.

At the hearing, Claimant withdrew the request for \$1.00 in damages.

OTHER ISSUES CONSIDERED AND DECIDED

The Arbitrator acknowledges having read the pleadings and other materials filed by the parties.

On June 25, 2024, Claimant submitted an unopposed Motion to Amend the Statement of Claim. On July 3, 2024, the Arbitrator granted the motion.

AWARD

After considering the pleadings, the testimony and evidence presented at the expungement hearing, the Arbitrator has decided in full and final resolution of the issues submitted for determination as follows:

1. The Arbitrator recommends the expungement of the Reason for Termination and Termination Explanation in Section 3 of Natasha Lewis Jahn's (CRD Number 2665736) Amended Form U5 filed by CUNA Brokerage Services, Inc. (CRD Number 13941) on September 30, 2015 and maintained by the Central Registration Depository ("CRD"). The Reason for Termination shall be changed to "Voluntary" and the Termination Explanation should be deleted in its entirety and shall appear blank. This directive shall apply to all references to the Reason for Termination and Termination Explanation.

The Arbitrator further recommends the expungement of the explanation for the “If amending the Reason for Termination and/or termination explanation” on the Amended Form U5 filed by CUNA Brokerage Services, Inc. on September 30, 2015 and maintained by the CRD. The response to this prompt should be deleted in its entirety and shall appear blank. This directive shall apply to all references to the “If amending the Reason for Termination and/or termination explanation” section.

The Arbitrator further recommends the expungement of all references to Occurrence Number 1826837 from the registration records maintained by the CRD for Natasha Lewis Jahn. Any “Yes” answers should be changed to “No,” as applicable.

The above recommendations are made with the understanding that the registration records are not automatically amended. Natasha Lewis Jahn must obtain confirmation of this Award from a court of competent jurisdiction, before the CRD will execute the expungement directive, and must forward a copy of the Court Order to FINRA’s Credentialing, Registration, Education and Disclosure Department for the amendments to be incorporated into the Registration Records.

- 2. Any and all claims for relief not specifically addressed herein are denied.

FEES

Pursuant to the Code of Arbitration Procedure (“Code”), the following fees are assessed:

Filing Fees

FINRA Dispute Resolution Services assessed a filing fee* for each claim:

Initial Claim Filing Fee = \$ 50.00

**The filing fee is made up of a non-refundable and a refundable portion.*

Member Fees

Member fees are assessed to each member firm that is a party in these proceedings or to the member firm that employed the associated person at the time of the event giving rise to the dispute. Accordingly, as a party, Respondent is assessed the following:

Member Surcharge = \$ 150.00

Hearing Session Fees and Assessments

The Arbitrator has assessed hearing session fees for each session conducted. A session is any meeting between the parties and the Arbitrator, including a pre-hearing conference with the Arbitrator, which lasts four (4) hours or less. Fees associated with these proceedings are:

One (1) pre-hearing session with a single Arbitrator @ \$50.00/session = \$ 50.00
Pre-Hearing Conference: March 8, 2024 1 session

One (1) hearing session @ \$50.00/session = \$ 50.00
Hearing: September 5, 2024 1 session

Total Hearing Session Fees	= \$	100.00
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The Arbitrator has assessed the total hearing session fees to Claimant.

All balances are payable to FINRA Dispute Resolution Services and are due upon receipt.

ARBITRATOR

Philip Alan Johnson

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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

Philip Alan Johnson

Philip Alan Johnson
Sole Public Arbitrator

09/12/2024

Signature Date

Awards are rendered by independent arbitrators who are chosen by the parties to issue final, binding decisions. FINRA makes available an arbitration forum—pursuant to rules approved by the SEC—but has no part in deciding the award.

September 12, 2024

Date of Service (For FINRA Dispute Resolution Services use only)