



## MUTUAL OF OMAHA INVESTOR SERVICES, INC.

CRD# 611  
SEC# 8-47290

### Main Office Location

MUTUAL OF OMAHA  
PLAZA  
OMAHA, NE 68175-1020  
Regulated by FINRA  
Kansas City Office

### Mailing Address

MUTUAL OF OMAHA  
PLAZA  
OMAHA, NE 68175-1020

### Business Telephone Number

402-351-5770

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at:

<http://www.adviserinfo.sec.gov>

## Report Summary for this Firm

The report summary provides an overview of the firm's background. The firm and securities regulators have provided the information contained in this report as part of the securities industry registration and licensing process. More detailed information for this firm can be found in the firm's report. Select "Get Detailed Report" to view more detailed information about this firm. The information contained in this report was last updated by the firm via Uniform Application for Broker-Dealer Registration (Form BD), the Uniform Request for Broker-Dealer Withdrawal (Form BDW), or a securities regulator via a Uniform Disciplinary Action Reporting Form (Form U6) on 01/14/2010.

### Firm Profile

This firm is classified as a [corporation](#).  
This firm was formed in Nebraska on 09/01/1993.  
Its fiscal year ends in December.

### Firm History

Information relating to the firm's history such as Other Business Names, Other Business, and Successions (e.g., mergers or acquisitions) can be found in the firm's full report.

### Firm Operations

#### This firm is registered with:

- the SEC
- 1 [Self-Regulatory Organization](#)
- 52 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 9 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has referral or financial arrangements with other brokers or dealers.

### Disclosure of Arbitration Awards, Disciplinary, Financial, and Regulatory Events

This section includes details regarding disclosure events reported by or about this firm to CRD as part of the securities industry registration and licensing process. Examples of such disclosure events include certain disciplinary actions initiated by regulators, certain criminal charges and/or convictions, financial disclosures such as bankruptcies, and summary information regarding arbitration awards involving securities and commodities disputes between public customers and the firm.

Are there events disclosed about this firm? **Yes**

[Get Detailed Report](#)

#### The following types of disclosures were reported:

Regulatory Event  
Arbitration  
Bond