

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-01042

Barbara J. Heidmann, Claimant vs. Paul Hoffman and Keith Peters, Respondents.

ATTORNEYS:

For Claimant, Barbara J. Heidmann, ("Claimant"), appeared Thomas J. Martell, Esq.,
Bonduel, WI.

For Respondents, Paul Hoffman and Keith Peters, (collectively "Respondents"), appeared,
Robert E. Nesemann, of Nesemann Law Office, S.C., Appleton, WI.

DATE FILED: March 9, 2000

CASE SUMMARY: Claimant alleged that respondents failure to execute her request for a
transfer of funds from American Mutual Fund and Capital Income Builder Fund to the Growth
Fund of America resulted in her financial losses.

Claim Data

Claim: \$ 5,000.00
Atty Fees: unspecified
Filing Fees: unspecified
Other: unspecified

Award Data

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

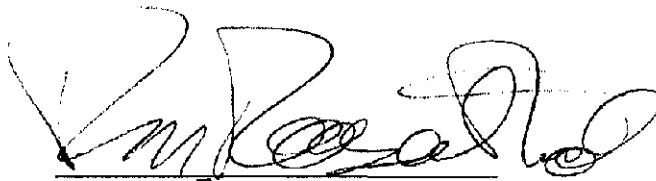
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of
the issues submitted for determination as follows: 1) The claims of Claimant are dismissed in
their entirety. 2) All requests for attorney fees are denied. 3) All other relief requests are
denied. 4) The \$175.00 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, Mutual Service Corp. has paid to NASD
Dispute Resolution, Inc., the \$200.00 Member Surcharge previously invoiced.

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Award 00-01042

AFFIRMATION

I, Robert M. Rosenthal, 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.

A handwritten signature in black ink, appearing to read 'R. M. Rosenthal', written over a horizontal line.

Robert M. Rosenthal, Esq.

February 9, 2001

Date of award