

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION, INC.**

CASE: 99-03265

PMMI Pension Trust U/A DTD 7-5-84 Robert S. Neumann, claimant vs. Lutheran Brotherhood Securities Corp., respondent.

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**ATTORNEYS:**

For claimant PMMI Pension Trust U/A DTD 7-5-84 Robert S. Neumann appeared Kevin L. Hagen Esq., of the firm, Hagen & Hagen, P.A., Hollywood, FL

For Respondent Lutheran Brotherhood Securities Corp., appeared in-house counsel, Peter E. Shifsky, Esq., Minneapolis, MN

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DATE FILED: July 19, 1999

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CASE SUMMARY: Claimant alleged respondent failed to properly and timely transfer assets and sell mutual funds needed for the purchase of Precious Metals Holdings, Inc. stock.

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**Claim Data**

Claim: \$3,399.24

Claim: \$480.90

Atty Fees: Unspecified

Filing Fees: \$0.00

Interest: \$0.00

Other: Unspecified

**Award Data**

Award: \$1,699.62

Award: \$240.45

Atty Fees: \$500.00

Filing Fees: \$175.00

Interest: @7 1/2% per annum from 8/28/98 to 1/28/99

Other: \$0.00

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AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent Lutheran Brotherhood Securities Corp., is liable and shall pay to the claimant \$1,940.07. 2) Respondent Lutheran Brotherhood Securities Corp., shall pay to claimant attorney fees in the amount of \$500.00. 3) Respondent Lutheran Brotherhood Securities Corp. is liable and shall pay to claimant interest at the rate of 7 1/2% per annum from August 28, 1998 to January 28, 1999. 4) All other relief requests are denied. 5) The \$175.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 6) Respondent Lutheran Brotherhood Securities Corp. is liable and shall pay to claimant \$175.00 as reimbursement of the filing fee.

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OTHER FEES: Pursuant to Rule 10333 of the Code, Lutheran Brotherhood Securities Corp. has paid to NASD Dispute Resolution, Inc. the \$200.00 Member Surcharge previously invoiced.

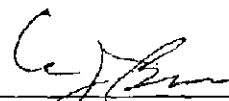
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OTHER ISSUES: Pursuant to the pleadings submitted by the claimant, the arbitrator awarded attorney fees.

Page Two  
Award: 99-03265

**AFFIRMATION**

I, Nelson J. Brous, 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.

  
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Nelson J. Brous

August 29, 2000  
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Date of award