

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-05681

Raymond, James & Associates, Inc., claimant vs. Michael Mitacek, respondent.

ATTORNEYS:

For Claimant appeared in-house counsel, Robert C. Stokes, Esq., St. Petersburg, FL.

Respondent did not respond to the Statement of Claim.

DATE FILED: September 24, 2002

CASE SUMMARY: Claimant alleged that respondent failed to repay monies owed pursuant to the terms of a Promissory Note. Claimant maintained that because of respondent's actions, the firm suffered a loss.

Claim Data

Claim: \$13,119.96
Interest: Unspecified

Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$13,119.96
Interest: 10% p.a. from 7/10/02 to
date of payment of award.

Attorney Fees: \$.00
Filing Fees: \$1,050.00
Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the claimant \$13,119.96. 2) All requests for attorney fees are denied. 3) Respondent is liable and shall pay claimant interest at the rate of 10% per annum from July 10, 2002 until date of payment of the award. 4) All other relief requests are denied. 5) The \$1,050.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution. 6) Respondent is liable and shall pay claimant \$1,050.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, claimant has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

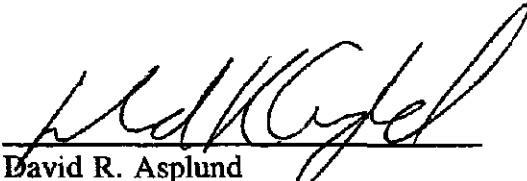
Page Two
Award 02-05681

David R. Asplund

Sole Non-Public Arbitrator

AFFIRMATION

I, David R. Asplund, 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.


David R. Asplund

5-7-03
Signature Date

May 15, 2003
Date of Service (For NASD-DR office use only)