

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-00723

Sky Capital LLC, (Claimant) vs. Andrew K. Matteson, (Respondent)

ATTORNEYS:

For Claimant appeared Sarah M. Yoho, Esq., of the firm Steel, Hector & Davis LLP, West Palm Beach, FL.

Respondent did not submit an Answer to the Statement of Claim.

NATURE OF DISPUTE: Member v. Associated Person

DATE FILED: February 8, 2005

CASE SUMMARY: Claimant alleged that Respondent breached a contract by failing to repay monies owed pursuant to the terms of a Promissory Note. Claimant maintained that due to Respondent's actions, the firm suffered a financial loss.

Claim Data

Claim: \$5,000.00
Interest: Unspecified

Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: \$2,500.00

Award Data

Award: \$5,000.00
Interest: 10% per annum from
10/18/04 to date of payment of
award.

Attorney Fees: \$.00
Filing Fees: \$.00
Other: \$2,500.00

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 \$5,000.00. 2) All requests for attorney fees are denied. 3) Respondent is liable and shall pay to the Claimant interest at the rate of 10% per annum from October 18, 2004 to the date of payment of the award. 4) Respondent is liable and shall pay Claimant \$2,500.00 for other liquidated costs pursuant to the terms of the Promissory Note. 5) NASD Dispute Resolution shall retain the \$525.00 filing fee that the Claimant deposited previously.

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

OTHER ISSUES: Pursuant to the By-Laws of NASD Dispute Resolution, the arbitrator determined that Respondent Andrew K. Matteson was served notice of the Statement of Claim and Notification of Arbitrator by regular mail, and Overdue Notice by certified mail, and is therefore bound by the arbitrator's ruling and determination.

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Bernard Finger

Sole Non-Public Arbitrator

AFFIRMATION

I, Bernard Finger, 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.

Bernard Finger
Bernard Finger

8/26/05
(Signature Date)

AUGUST 31, 2005
Date of Service (For NASD-DR office use only)