

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

CASE: 00-00650

American Fronteer Financial Corporation f/k/a RAF Financial corporation, Claimant  
vs. Kevin Dudley, Respondent.

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**ATTORNEYS:**

For Claimant, American Fronteer Financial Corporation, ("Claimant"), appeared Thomas D. Birge, Esq., and Carla B. Minckley, Esq. of the firm Birge & Minckley, P.C., Denver, CO.

Respondent, Kevin Dudley, ("Respondent"), did not respond to the Statement of Claim.

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**DATE FILED:** February 14, 2000

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**CASE SUMMARY:** Claimant alleged that Respondent failed to repay monies owed with respect to a customer trade which the customer did not pay for. Claimant further alleged that Respondent breach his Employment Agreement and currently owes \$4,095.17.

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**Claim Data**

Claim: \$4,095.17  
Interest: @ 8% from 6/1/99  
Atty Fees: Unspecified  
Filing Fees: Unspecified  
Other: Unspecified

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**Award Data**

Award: \$4,095.17  
Interest: \$.00  
Atty Fees: \$319.06  
Filing Fees: \$525.00  
Other: \$.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 is liable and shall pay to the Claimant \$4,095.17. 2) Respondent is liable and shall pay to the Claimant \$317.06 for attorney fees as per Employment Agreement. 3) All other relief requests are denied. 4) The \$525.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc. 5) Respondent is liable and shall pay claimant \$525.00 as reimbursement of the filing fee.

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

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

Claimant's Motion to Preclude answer and Motion for Entry of Award was granted by the Arbitrator.

**AFFIRMATION**

I, Evangeline Videckis, 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.

  
Evangeline Videckis

March 14, 2001  
Date of award