

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

CASE: 99-03415

American Fronteer Financial Corporation, Claimant vs. Robert Roon, Respondent.

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**ATTORNEYS:**

For Claimant American Fronteer Financial Corporation, hereinafter referred to as "Claimant":  
Thomas D. Birge, Esq. of Birge & Minckley, P.C., Denver, CO.

Respondent Robert S. Roon ("Roon") did not appear.

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**DATE FILED:** July 27, 1999.

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**CASE SUMMARY:** Claimant alleged the following: Respondent Roon was employed by Claimant. Several of Roon's accounts incurred write-offs in the total sum of \$10,855.84. Claimant demanded that Roon pay the amounts owed pursuant to Roon's employment agreement with Claimant. Respondent Roon has paid only \$4,000.00 leaving a balance due of \$6,855.84.

Respondent Roon did not file an answer to the Statement of Claim.

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**Claim Data**

Claim: \$6,855.84  
Interest: unspecified amount  
Punitive: \$.00  
Atty Fees: unspecified amount  
  
Filing Fees: unspecified amount  
Other: unspecified amount

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**Award Data**

Award: \$6,855.84  
Interest: At the legal rate in Colorado  
Punitive: \$.00  
Atty Fees: To be determined by a court of competent jurisdiction.  
Filing Fees: \$750.00  
Other: \$450.00

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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 Roon is liable and shall pay to the Claimant the sum of \$6,855.84 plus interest at the Colorado legal rate which shall accrue from November 23, 1998 until the date of payment of the Award. 2) Respondent Roon is liable and shall pay to the Claimant attorneys' fees in an amount to be determined by a court of competent jurisdiction pursuant to paragraph 6 of the employment agreement between Claimant and Respondent. 3) Respondent Roon is liable and shall pay to Claimant the sum of \$750.00 representing reimbursement of the claim filing fee previously paid by Claimant to NASD Dispute Resolution, Inc. 4) Respondent Roon is liable and shall pay to Claimant the sum of \$450.00 representing reimbursement of the hearing session deposit previously paid by Claimant to NASD Dispute Resolution, Inc.

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**OTHER FEES:** 1) Pursuant to Rule 10333 of the NASD-DR Code of Arbitration Procedure,

Claimant has paid to NASD Dispute Resolution, Inc. the \$400.00 member surcharge previously invoiced. 2) The \$750.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc. 3) The \$450.00 hearing session deposit previously deposited with NASD Dispute Resolution, Inc. by the Claimant shall be retained by NASD Dispute Resolution, Inc.

**AFFIRMATION**

I, Marc S. Dobin, 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.

/s/

March 8, 2001

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Marc S. Dobin, Esq.

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Date of Award

Claimant has paid to NASD Dispute Resolution, Inc. the \$400.00 member surcharge previously invoiced. 2) The \$750.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant. shall be retained by NASD Dispute Resolution, Inc. 3) The \$450.00 hearing session deposit previously deposited with NASD Dispute Resolution, Inc. by the Claimant shall be retained by NASD Dispute Resolution, Inc.

**AFFIRMATION**

I, Marc S. Dobin, 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.



Marc S. Dobin, Esq.

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Date of Award