

**Award**  
**FINRA Dispute Resolution Services**

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In the Matter of the Arbitration Between:

Claimant  
Shannon Sweeney

Case Number: 20-03523

vs.

Respondent  
Acorns Securities, LLC

Hearing Site: San Juan, Puerto Rico

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Awards are rendered by independent arbitrators who are chosen by the parties to issue final, binding decisions. FINRA makes available an arbitration forum—pursuant to rules approved by the SEC—but has no part in deciding the award.

Nature of the Dispute: Customer vs. Member

This matter proceeded pursuant to Rule 12800 of the Code of Arbitration Procedure (“Code”).

**REPRESENTATION OF PARTIES**

Claimant Shannon Sweeney appeared pro se.

For Respondent Acorns Securities, LLC: Jack M. McNeily, Esq., Latham & Watkins, LLP, Chicago, Illinois.

**CASE INFORMATION**

Statement of Claim filed on or about: October 13, 2020.  
Claimant signed the Submission Agreement: October 13, 2020.  
Amended Statement of Claim filed on or about: January 29, 2021.

Statement of Answer filed on or about: March 15, 2021.  
Respondent signed the Submission Agreement: March 18, 2021.

**CASE SUMMARY**

In the Statement of Claim, as amended, Claimant asserted the cause of action of execution error. The cause of action relates to Claimant’s attempts to close her account with Respondent and the withdrawal of her funds from the account.

**RELIEF REQUESTED**

In the Statement of Claim, as amended, Claimant requested damages in the amount of \$247.31 from Respondent.

### **OTHER ISSUES CONSIDERED AND DECIDED**

The Arbitrator acknowledges having read the pleadings and other materials filed by the parties.

### **AWARD**

After considering the pleadings, the Arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows:

1. Claimant's claims are denied in their entirety.
2. FINRA Dispute Resolution Services shall retain the \$75.00 filing fee that Claimant deposited previously.
3. Any and all relief not specifically addressed herein are denied.

### **FEES**

Pursuant to the Code, Claimant has paid to FINRA Dispute Resolution Services the \$25.00 non-refundable portion of the filing fee and the \$50.00 Paper Decision Fee.

Respondent has paid to FINRA Dispute Resolution Services the \$150.00 Member Surcharge previously invoiced.

All balances are payable to FINRA Dispute Resolution Services and are due upon receipt.

**ARBITRATOR**

Barth Satuloff

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Sole Public Arbitrator

I, the undersigned Arbitrator, do hereby affirm that I am the individual described herein and who executed this instrument, which is my award.

**Arbitrator's Signature**

***Barth Satuloff***

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Barth Satuloff  
Sole Public Arbitrator

**04/02/2021**

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Signature Date

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April 02, 2021

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Date of Service (For FINRA Dispute Resolution Services use only)