

Award
FINRA Dispute Resolution Services

In the Matter of the Arbitration Between:

Claimant Case Number: 21-00230
Austin Jones

vs.

Respondent Hearing Site: Washington, D.C.
TD Ameritrade, Inc.

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 Austin Jones appeared pro se.

For Respondent TD Ameritrade, Inc.: Kevin H. Lewis, Esq., TD Ameritrade, Inc., San Francisco, California.

CASE INFORMATION

Statement of Claim filed on or about: January 28, 2021.

Austin Jones signed the Submission Agreement: January 28, 2021.

Statement of Answer filed on or about: March 23, 2021.

TD Ameritrade, Inc. signed the Submission Agreement: March 23, 2021.

CASE SUMMARY

In the Statement of Claim, Claimant asserted the following causes of action: misrepresentation; non-disclosures; and breach of fiduciary duty. The causes of action relate Claimant’s purchase of two (2) options for AMC Entertainment Holdings.

Unless specifically admitted in the Statement of Answer, Respondent denied the allegations made in the Statement of Claim and asserted various affirmative defenses.

RELIEF REQUESTED

In the Statement of Claim, Claimant requested compensatory damages in the amount of

\$2,302.00.

In the Statement of Answer, Respondent requested: dismissal of Claimant's Statement of Claim in its entirety; forum fees and costs incurred in connection with the defense of this matter; and such further relief as the Arbitrator deemed just and proper.

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. Respondent is liable and shall pay to Claimant \$37.50 to reimburse Claimant for one-half of the filing fee previously paid to FINRA Dispute Resolution Services.
3. FINRA Dispute Resolution Services shall retain the \$75.00 filing fee that Claimant deposited previously.
4. Any and all relief not specifically addressed herein are denied.

FEES

Pursuant to the Code, 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

Joyce A. Mitchell - 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

Joyce A. Mitchell

Joyce A. Mitchell
Sole Public Arbitrator

07/09/2021

Signature Date

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July 09, 2021

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