

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

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In the Matter of the Arbitration Between:

Claimant  
Anthony J. Felice

Case Number: 21-00368

vs.

Respondent  
TD Ameritrade, Inc.

Hearing Site: Columbus, Ohio

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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 Anthony J. Felice (“Claimant”) appeared pro se.

For Respondent TD Ameritrade, Inc. (“Respondent”): Amanda Helm Wright, Esq., TD Ameritrade, Inc., Omaha, Nebraska.

**CASE INFORMATION**

Statement of Claim filed on or about: February 10, 2021.  
Claimant signed the Submission Agreement: February 10, 2021.

Statement of Answer filed on or about: April 2, 2021.  
Respondent signed the Submission Agreement: April 2, 2021.

**CASE SUMMARY**

In the Statement of Claim, Claimant alleged that Respondent sold a substantial number of shares in Jenex Corporation (JNXCF) stock to cover a \$24.00 account fee.

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 an award of \$30,000.00 in compensatory damages and costs.

In the Statement of Answer, Respondent requested that the Arbitrator enter an award dismissing the Statement of Claim in its entirety.

### **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 \$600.00 filing fee that Claimant deposited previously.

### **FEES**

Pursuant to the Code, Respondent has paid to FINRA Dispute Resolution Services the \$750.00 Member Surcharge and \$1,750.00 Member Process Fee previously invoiced.

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

**ARBITRATOR**

Robert J. Scafuri

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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**

***Robert J. Scafuri***

Robert J. Scafuri  
Sole Public Arbitrator

**05/28/2021**

Signature Date

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.

May 28, 2021

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