

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

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In the Matter of the Arbitration Between:

Claimant  
Nicholas Thompson

Case Number: 21-00601

vs.

Respondent  
Robinhood Financial, LLC.

Hearing Site: Indianapolis, Indiana

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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 Nicholas Thompson (“Claimant”) appeared pro se.

For Respondent Robinhood Financial, LLC (“Respondent”): Dominick F. Evangelista, Esq., Bressler, Amery & Ross, P.C., Florham Park, New Jersey.

**CASE INFORMATION**

Statement of Claim filed on or about: March 5, 2021.  
Claimant signed the Submission Agreement: March 5, 2021.

Statement of Answer filed on or about: April 26, 2021.  
Respondent signed the Submission Agreement: April 25, 2021.

**CASE SUMMARY**

In the Statement of Claim, Claimant asserted that Respondent purposefully, willfully, and knowingly removed Express, Inc. (EXPR) stock from its trading platform in the midst of an unprecedented stock rise.

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 \$24,500.00 in compensatory damages.

In the Statement of Answer, Respondent requested that the Statement of Claim be dismissed with prejudice in its entirety, its costs in defending against the Statement of Claim, and such other and further relief as may be 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. Any and all claims for relief not specifically addressed herein are denied.
3. FINRA Dispute Resolution Services shall retain the \$425.00 filing fee that Claimant deposited previously.

### **FEES**

Pursuant to the Code, Respondent has paid to FINRA Dispute Resolution Services the \$450.00 Member Surcharge previously invoiced.

**ARBITRATOR**

Gerald W. Hepp - 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**

***Gerald W. Hepp***

Gerald W. Hepp  
Sole Public Arbitrator

**06/29/2021**

Signature Date

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June 29, 2021

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