

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

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In the Matter of the Arbitration Between:

Claimant  
Richardvon Pey

Case Number: 21-00619

vs.

Respondent  
Robinhood Financial, LLC.

Hearing Site: San Francisco, California

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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 Richardvon Pey (“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 6, 2021.

Claimant signed the Submission Agreement: March 5, 2021.

Statement of Answer filed by Respondent on or about: April 27, 2021.

Respondent signed the Submission Agreement: April 25, 2021.

**CASE SUMMARY**

In the Statement of Claim, Claimant asserted the following causes of action: fraud; manipulation; omission of facts; errors; charges; clearing disputes; and execution error. The causes of action relate to GameStop Corporation stock.

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 \$50,000.00.

In the Statement of Answer, Respondent requested:

1. Dismissal of the Statement of Claim with prejudice in its entirety;
2. Costs in defending against the Statement of Claim; and
3. 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 relief not specifically addressed herein are denied.

### **FEES**

Pursuant to the Code, the following fees are assessed:

1. Respondent has paid to FINRA Dispute Resolution Services the \$750.00 Member Surcharge and \$1,750.00 Member Process Fee previously invoiced.
2. FINRA Dispute Resolution Services previously deferred Claimant's filing fee of \$600.00.\* Upon conclusion of the matter, the Arbitrator determined that \$300.00 of the filing fee should be waived. Respondent is liable for and shall pay to FINRA Dispute Resolution Services \$300.00 for one-half of the filing fee.

*\*The filing fee is made up of a non-refundable and a refundable portion.*

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

**ARBITRATOR**

Jonathan H. Krotinger

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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**

***Jonathan H. Krotinger***

Jonathan H. Krotinger  
Sole Public Arbitrator

**06/23/2021**

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.

June 23, 2021

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