

Award
FINRA Dispute Resolution Services

In the Matter of the Arbitration Between:

Claimant
Russell S. Miller

Case Number: 21-01118

vs.

Respondent
Computershare Securities Corporation

Hearing Site: Minneapolis, Minnesota

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 Russell S. Miller (“Claimant”) appeared pro se.

Respondent Computershare Securities Corporation (“Respondent”) did not appear.

CASE INFORMATION

Statement of Claim filed on or about: April 29, 2021.

Claimant signed the Submission Agreement: May 10, 2021.

Respondent did not submit a Statement of Answer and did not sign the Submission Agreement.

CASE SUMMARY

In the Statement of Claim, Claimant alleged that Respondent failed to hold and deliver 300 shares of stock in Zimmer Biomet Holdings, Inc. (ZBH) that he ordered on June 29, 2007. Claimant also alleged that Respondent ignored his documentation but did not produce any contradictory documentation.

RELIEF REQUESTED

In the Statement of Claim, Claimant requested \$49,637.96 in compensatory damages plus \$1,613.96 in taxes that were withheld.

OTHER ISSUES CONSIDERED AND DECIDED

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

Respondent did not file a properly executed Submission Agreement but is required to submit to arbitration pursuant to the Code and is bound by the determination of the Arbitrator on all issues submitted.

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. Respondent shall deliver to Claimant 300 shares of stock in ZBH or pay to Claimant \$25,467.00 in compensatory damages.
2. FINRA Dispute Resolution Services shall retain the \$600.00 filing fee that Claimant deposited previously.
3. Respondent is liable for and shall pay to Claimant \$300.00 to reimburse Claimant for one-half of the filing fee previously paid to FINRA Dispute Resolution Services.
4. Any and all relief not specifically addressed herein are denied.

FEES

Pursuant to the Code, Respondent shall pay 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

-

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

10/15/2021

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.

October 15, 2021

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