

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

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In the Matter of the Arbitration Between:

Claimant  
Jordan Ganzekaufer

Case Number: 21-01456

vs.

Respondent  
TD Ameritrade, Inc.

Hearing Site: San Diego, 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 Jordan Ganzekaufer (“Claimant”) appeared pro se.

For Respondent TD Ameritrade, Inc. (“Respondent”): Anthony L. Valenzuela, Esq., Charles Schwab & Co., Inc., San Francisco, California.

**CASE INFORMATION**

Statement of Claim filed on or about: June 6, 2021.

Claimant signed the Submission Agreement: June 6, 2021.

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

Respondent signed the Submission Agreement: July 27, 2021.

**CASE SUMMARY**

In the Statement of Claim, Claimant asserted the following causes of action: breach of fiduciary duty; misrepresentation/non-disclosures; omission of facts; and unauthorized trading. The causes of action relate to Star Peak Energy Transition Corporation and Stem, Inc. stock.

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 \$10,268.00.

In the Statement of Answer, Respondent requested:

1. Claimant's Statement of Claim be dismissed and Claimant be awarded nothing;
2. FINRA forum and hearing session fees be assessed solely to the Claimant; and
3. Such further relief as the Arbitrator deems appropriate.

### **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. Respondent is liable for and shall pay to Claimant the sum of \$3,000.00 in compensatory damages.
2. FINRA Dispute Resolution Services shall retain the \$425.00 filing fee that Claimant deposited previously.
3. Respondent is liable for and shall pay to Claimant \$212.50 to reimburse Claimant for one-half of the filing fee previously paid to FINRA Dispute Resolution Services.
4. Any and all claims for relief not specifically addressed herein are denied.

### **FEES**

Pursuant to the Code:

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

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

**ARBITRATOR**

Robert E. Jenks

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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 E. Jenks***

Robert E. Jenks  
Sole Public Arbitrator

**09/27/2021**

Signature Date

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September 27, 2021

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