

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

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In the Matter of the Arbitration Between:

Claimant  
Jackie Robinson

Case Number: 21-01507

vs.

Respondent  
E\*Trade Securities 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 case was administered under the Special Proceeding option for simplified cases.

**REPRESENTATION OF PARTIES**

Claimant Jackie Robinson (“Claimant”) appeared pro se.

For Respondent E\*Trade Securities LLC (“Respondent”): Meredith Hoffman, Esq., E\*Trade Securities LLC, Jersey City, New Jersey.

**CASE INFORMATION**

Statement of Claim filed on or about: June 14, 2021.

Claimant signed the Submission Agreement: June 14, 2021.

Statement of Answer filed by Respondent on or about: August 4, 2021.

Respondent signed the Submission Agreement: August 4, 2021.

**CASE SUMMARY**

In the Statement of Claim, Claimant asserted a cause of action for conversion. The cause of action relates to Respondent’s alleged refusal to transfer the assets in Claimant’s Securities Account held at Respondent to another brokerage firm.

Unless specifically admitted in the Statement of Answer, Respondent denied the allegations made in the Statement of Claim and stated Respondent will release the assets in question when it receives satisfactory proof of the accountholder’s identity.

### **RELIEF REQUESTED**

In the Statement of Claim, Claimant requested:

1. Compensatory damages in the amount of \$16,000.00; and
2. Respondent transfer the assets in Claimant's brokerage account to another brokerage firm.

In the Statement of Answer, Respondent requested:

1. All claims in the Statement of Claim be denied;
2. Costs and expenses of this proceeding be assessed against Claimant; and
3. Such other and further relief as the Arbitrator may deem just and necessary.

At the hearing, Claimant requested for the return of his account at its present value, estimated to be \$15,000.00 to \$18,000.00.

### **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 testimony and evidence presented at the hearing, the Arbitrator has decided in full and final resolution of the issues submitted for determination as follows:

1. Claimant's claims are denied in their entirety.
2. Respondent is to communicate with Claimant and specify, in writing, exactly what form of identification will allow Respondent to transfer the subject account to a financial entity, designated by Claimant, who will accept said transfer.
3. Any and all claims for relief not specifically addressed herein are denied.

### **FEES**

Pursuant to the Code of Arbitration Procedure ("Code"), the following fees are assessed:

#### **Filing Fees**

FINRA Dispute Resolution Services assessed a filing fee\* for each claim:

Initial Claim Filing Fee	= \$	425.00
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*\*The filing fee is made up of a non-refundable and a refundable portion.*

FINRA Dispute Resolution Services previously deferred Claimant's filing fee of \$425.00. Upon conclusion of the matter, the Arbitrator determined to assess the fee.

**Member Fees**

Member fees are assessed to each member firm that is a party in these proceedings or to the member firm(s) that employed the associated person(s) at the time of the event(s) giving rise to the dispute. Accordingly, as a party, Respondent is assessed the following:

Member Surcharge = \$ 450.00

**Hearing Session Fees and Assessments**

The Arbitrator has assessed hearing session fees for each session conducted. A session is any meeting between the parties and the Arbitrator, including a pre-hearing conference with the Arbitrator, which lasts four (4) hours or less. Fees associated with these proceedings are:

One (1) pre-hearing session with a single Arbitrator @ \$450.00/session = \$ 450.00  
Pre-Hearing Conference: September 28, 2021 1 session

One (1) hearing session @ \$450.00/session = \$ 450.00  
Hearing: November 9, 2021 1 session

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Total Hearing Session Fees = \$ 900.00

The Arbitrator has assessed \$450.00 of the hearing session fees to Claimant.

The Arbitrator has assessed \$450.00 of the hearing session fees to Respondent.

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

**ARBITRATOR**

William W. Haskell

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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**

***William W. Haskell***

William W. Haskell  
Sole Public Arbitrator

**11/11/2021**

Signature Date

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November 12, 2021

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