

Award
FINRA Dispute Resolution Services

In the Matter of the Arbitration Between:

Claimant
Raymond M. Murdoch

Case Number: 21-02172

vs.

Respondent
TD Ameritrade, Inc.

Hearing Site: Seattle, Washington

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 Raymond M. Murdoch (“Claimant”) appeared pro se.

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

CASE INFORMATION

Statement of Claim filed on or about: August 25, 2021.

Claimant signed the Submission Agreement: August 23, 2021.

Statement of Answer filed by Respondent on or about: October 22, 2021.

Respondent signed the Submission Agreement: October 22, 2021.

CASE SUMMARY

In the Statement of Claim, Claimant asserted denied opportunity to sell as the sole cause of action. The cause of action relates to Climate Change Crisis Real Impact warrants and EVgoServices, LLC.

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 \$9,700.00.

In the Statement of Answer, Respondent requested:

1. Dismissal of Claimant's Statement of Claim in its entirety;
2. Forum fees and costs incurred in connection with the defense of this matter; and
3. Such further relief as the Arbitrator deems 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. FINRA Dispute Resolution Services shall retain the \$325.00 filing fee that Claimant deposited previously.
3. Any and all relief not specifically addressed herein are denied.

FEES

Pursuant to the Code, Respondent has paid to FINRA Dispute Resolution Services the \$325.00 Member Surcharge previously invoiced.

ARBITRATOR

David J. Romanski

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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

David J. Romanski

David J. Romanski
Sole Public Arbitrator

01/27/2022

Signature Date

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January 27, 2022

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