

Title: Still Trying to DRS from TD Ameritrade - SEC Response

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Complaint:

initiated transfer out of DTCC to computer share on 10/15/2021 because of illegal market manipulation by market makers exceptions for short selling. Still have not got my shares.

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This is to confirm receipt of your complaint dated December 29, 2021, against TD Ameritrade. We have forwarded your complaint to the firm's compliance department and asked that it respond directly to you, with a copy to our office. Please allow two to three weeks for this process to take place.

Our efforts to facilitate informal resolutions of complaints frequently succeed. In some cases, however, a firm may deny wrongdoing or it may remain unclear whether any wrongdoing occurred. If that happens, we cannot act as your personal representative or attorney. Instead, it will be for you to decide whether to pursue legal action on your own. Enclosed is information on steps you may wish to consider including arbitration and mediation, and sources of potential legal assistance. Please read these documents carefully. They describe your rights and important deadlines.

If you have any questions, please contact me.

Sincerely,

Karen R. Flemming-McDowell

Investor Assistance Specialist

Office of Investor Education and Advocacy

U.S. Securities and Exchange Commission

(800) 732-0330

[www.sec.gov](<http://www.sec.gov/>)

[www.investor.gov](<http://www.investor.gov/>)

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STEPS FOR PURSUING A COMPLAINT

Know your legal rights

You should know your legal rights and be prepared to take action on your own, even while waiting for the firm's response. Federal and state securities laws allow you to start legal proceedings against those who may be engaged in wrongdoing. If you believe the firm's response is inaccurate or incomplete, consider writing a second letter to the firm, laying out the problems with the firm's response and including copies of documents that support your views.

Act promptly

Time restrictions, called “statutes of limitations,” require you to begin legal action promptly. For example, the federal securities laws require you to bring action within two years of the date you reasonably should have discovered the wrongdoing, but no later than five years from the date it occurred. If you sue any later, you may lose the right to recover. Limitations vary from state to state and may differ depending on whether you claim a violation of state law or federal law.

Use arbitration, if agreed to

When you opened your brokerage account, you probably agreed to use arbitration (and only arbitration) to settle all disputes with your broker or the firm. But even if you did not, you may choose to use arbitration to settle disputes. If you use arbitration, arbitrators will apply either a federal or state statute of limitations, depending on the nature of your claim. You generally cannot pursue an issue through arbitration if it is more than six years old. For older cases, you will probably want to consult with an attorney. When deciding whether to arbitrate — or, if it is a choice, to sue in court — bear in mind that if your broker or brokerage firm goes out of business or declares bankruptcy, you might not be able to recover your money — even if the arbitrator or court rules in your favor.

Learn about low-cost arbitration

If you use Financial Industry Regulatory Authority and your claim is \$50,000 or less, you generally will not have to appear in person at a hearing and an arbitrator will make a decision on your case by reviewing documents and written descriptions of what happened from you and your broker. You should carefully review the rules governing simplified arbitration before filing a claim. To obtain information about arbitration procedures, please go to: <http://www.finra.org/>. Again, you should weigh the costs of arbitrating against the likelihood of being able to collect any award, especially if the brokerage firm has left the industry or gone bankrupt. Firms that stay in business typically pay the arbitration awards levied against them, but defunct firms may not.

Consider Mediation

Mediation is also an option you should consider before going to arbitration. Mediation allows you to save time and money because it is quicker than arbitration and voluntary. If you can’t reach an agreement through mediation, you can still go to arbitration. To learn about mediation, please go to: <http://www.finra.org/>.

Obligatory GME - This is the way. Not financial advise, purple crayons are my favorite.