

Notice Appeal Finra Dismissal to Sec Securities and Exchange Commison



Richard W. Berry
Executive Vice President and Director
FINRA Dispute Resolution Services

Adam Strege

Sent via the DRS Party Portal and FedEx

March 7, 2024

Re: FINRA Dispute Resolution Services (“DRS”) Arbitration Case No. 24-00430, *Adam Strege vs. Fred Tomczyk*

In my capacity as the Director of FINRA Dispute Resolution Services (“Director”), I deny your request to arbitrate in FINRA’s arbitration forum the above-referenced matter (“Case No. 24-00430”) to protect the safety of the arbitrators, staff, and parties and their representatives and because the subject matter of dispute is inappropriate.

In your statement of claim in Case No. 24-00430, you reference the fact that the Securities and Exchange Commission remanded FINRA Dispute Resolution Services Arbitration Case No. 22-02722 in *In the Matter of the Application of Adam Strege*, Exchange Act Release No. 99267 (Jan. 3, 2024), and assert that FINRA “never respond[ed].” Please note that FINRA sent you a detailed letter on February 1, 2024, through the DRS Party Portal and first-class mail (copy enclosed). In this letter, I, in my capacity as the Director, exercised my discretion under FINRA Rule 12203 to protect the safety of arbitrators, staff, and parties and their representatives and denied the use of FINRA’s arbitration forum for your statement of claim in Case No. 22-02722.

As I explained in detail in my February 1, 2024 letter, your amended statement of claim in Case No. 22-02722 (copy enclosed) includes numerous references to violence and other troubling statements. For example, you assert that: (a) “FINRA has jurisdiction with [proposed respondents] conspiracy to commit a crime murdering and robing [sic];” (b) “Bank America, Charles Schwab & Co and TD Ameritrade murders its customers;” (c) “TD Ameritrade owner Bank of America try to murder me;” (d) “My roommate Gerojan Melton murder Congressman Wigley;” (e) “NAZI banks own everyone investments and hospitals and murder all earth people so get sick and mad or believe god will crucify 100% everyone.”

Your amended statement of claim in Case No. 22-02722 includes the word “murder,” or a variation thereof, at least 33 times. You state, for instance, “[REDACTED]

,” and [REDACTED]

Investor protection. [Market integrity.](#)

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Throughout your amended statement of claim in Case No. 22-02722, [REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]”

In addition to your repeated references to violence and murder in your amended statement of claim in Case No. 22-02722, [REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

On February 23, 2024, you filed a statement of claim in Case No. 24-00430 through the DRS Party Portal. Pursuant to FINRA 12203, I again deny the use of FINRA’s arbitration forum to protect the safety of arbitrators, staff, and parties and their representatives. While your statement of claim in Case No. 24-00430 contains no references to violence, it does nothing to dissuade me of my prior conclusion that you present a serious safety risk, and that risk remains ongoing. Therefore, I am exercising my discretion under FINRA Rule 12203 to protect the safety of arbitrators, staff, and parties and their representatives and deny the use of FINRA’s arbitration forum for your statement of claim for Case No. 24-00430. Just as in Case No. 22-02722, permitting you to proceed with arbitration in FINRA’s arbitration forum would pose a safety risk to arbitrators, FNRA staff, and parties and their representatives. Your amended statement of claim in Case No. 22-02722 contains myriad red flags, and your prior arrest for allegedly making a credible threat against a federal agency is alarming. Based on the consistent theme of violence in your Case No. 22-02722 statement of claim and your prior arrest, denial of the use of FINRA’s arbitration forum for Case No. 24-00430 is not only appropriate, but necessary to protect the arbitrators, staff, and parties and their representatives.

Unlike many court systems, FINRA does not have resources to manage parties who evidence violent tendencies that threaten the safety of arbitrators, parties and their representatives, and FINRA staff, and FINRA’s arbitration forum is not designed to resolve disputes between parties that may pose a serious security risk. While I have the authority as the Director to determine the location of a hearing under FINRA Rule 12213, no FINRA office is equipped with the appropriate security measures to ensure the safety of arbitrators, staff, and parties and their representatives under these circumstances. When necessary, DRS consults FINRA’s Director of Corporate Security to determine the level of security risk posed by certain individuals participating in FINRA’s arbitration forum and, as appropriate, implement measures to mitigate any potential risk. I previously consulted with the Director of Corporate Security about your prior arbitration claim in Case No. 22-02722, and he found that you present a serious threat to arbitrators, parties and their representatives, and FINRA staff based on the consistent theme of violence in your amended statement of claim. The Director of Corporate Security did not believe that any of the security measures available to FINRA is sufficient to overcome the potential danger you present to hearing attendees. I agree with this assessment.

Although I have permitted panels to hold FINRA arbitration hearings remotely, including during the COVID-19 pandemic, hearings are typically conducted in-person. Even if the hearing were to be conducted remotely, however, the security risk that you present would not be negated because of the

lack of anonymity for arbitrators, parties and their representatives, and FINRA staff. First, arbitration parties know the identity and other background information of the arbitrators because, pursuant to FINRA's Code of Arbitration Procedure, parties select their panel. Second, FINRA staff is heavily involved in coordinating and administering the arbitration process and frequently communicates with the parties. As such, FINRA staff could not remain anonymous during this process. The names and other identifying information of parties, their representatives, and witnesses would likewise necessarily be disclosed. Once you are aware of the identity of the arbitrators, staff, and parties, their representatives, or witnesses, you feasibly could locate them, which poses a credible safety risk. Accordingly, a remote hearing is not a viable option.

I have weighed the public interest in permitting customers to arbitrate claims against brokerage firms or their brokers in FINRA's arbitration forum against the dangers posed to arbitrators, staff, and parties and their representatives by allowing you to access FINRA's arbitration forum. I conclude that the safety concerns you present are extraordinary, and the unique circumstances require me to exercise my discretion under FINRA Rule 12203 to protect the safety of arbitrators, staff, and parties and their representatives. Accordingly, pursuant to FINRA Rule 12203, I deny the use of FINRA's arbitration forum for your statement of claim in Case No. 24-00430.

For independent reasons, I deny the use of FINRA's arbitration forum for your statement of claim in Case No. 24-00430 because the subject matter of the dispute is inappropriate. In Case No. 24-00430, you seek access to FINRA's arbitration forum in connection with a series of claims, some of which are difficult to understand, but several of which are similar to the claims set forth in Case No. 22-02722. Like your amended statement of claim in Case No. 22-02722, you again complain about TD Ameritrade's handling of your account. Similarly, like your prior statement of claim, you allege "ICC war crimes," "crimes against humanity and aggression," and violations of the "RICO ACT §1962," "28 U.S. Code 2671 to 2680, 42 USC 2000bb-4, 42 USCS 1983, 1985, 1986, 28 USCS 1331(a)-1334," "42 U.S.C. [§§]2000," and the "[federal] Disabilities Act." The respondent you name in Case No. 24-00430, Mr. Fred Tomczyk, also is the former Chief Executive Officer of TD Ameritrade. On February 1, 2024, I previously exercised my discretion under FINRA 12203 to deny use of FINRA's arbitration forum in Case No. 22-02722 for essentially the same claims you now assert in Case No. 24-00430. Your statement of claim in Case No. 24-00430 is an attempt to use the forum for essentially the same claims you assert in Case No. 22-02722. Accordingly, pursuant to FINRA Rule 12203, I separately and independently deny the use of FINRA's arbitration forum for your statement of claim in Case No. 24-00430 because the subject matter of the dispute is inappropriate.

Sincerely,



Richard Berry

Enclosures (February 1, 2024 Letter from R. Berry to A. Strege; Amended Statement of Claim for Case No. 22-02722 dated November 30, 2022; FBI press release dated May 17, 2019)

U.S. Securities and Exchange Commission

Adam Strege vs.

Td Ameritrade, Bank America, Charles Schwab

Case 24-00430

Notice Appeal that

Adam Strege Appeal the March 7th 2024 FINRA Dismissed Adam Case the Securities Exchange SEC Law Judge remanded the Case Back to FINRA to take Appropriate Action Letter that Adam USPS Mail to 30 FINRA office with Zero Response so FINRA Support told

Adam to open a second case to Submit the SEC Remand so FINRA Closed the 2nd Case was threatening so Adam

Filled a 3rd FINRA Case that was not threatening

FINRA Dismiss the Second Case caused TD Ameritrade and Charles Schwab to Permanently Close Adam account saying that

Adam could 100% never use TD Schwab Again then 100% no Broker can verify

Adam to open an new account it's a 100% new

Lawsuit that Adam can write that 100% never uses offence Words so FINRA should open a New Case

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 99267 / January 3, 2024

Admin. Proc. File No. 3-21253

In the Matter of the Application of

ADAM STREGE

For Review of Action Taken by

FINRA

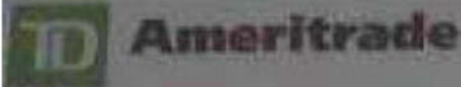
ORDER REMANDING PROCEEDING TO REGISTERED SECURITIES ASSOCIATION

On the basis of the Commission's opinion issued this day, it is

ORDERED that this proceeding is remanded to FINRA for any appropriate action consistent with such opinion.

By the Commission:

Vanessa A. Countryman
Secretary



February 23, 2024

Adam Stroop



Re: We Have Closed Your TD Ameritrade Account(s)

Dear Adam Stroop,

After careful consideration, TD Ameritrade has decided to end our business relationship with you. As a result, we have closed your account(s) ending in 279962374. You don't have to do anything. Your account no longer has a positive balance, there are no assets to distribute. You will not be able to open new TD Ameritrade accounts in the future.

We appreciate your past business and regret any inconvenience this situation may cause you.

Sincerely,

Retail Risk Management
817-493-2050

Interactive Brokers Reject the New Account Opening

The screenshot shows the Interactive Brokers website interface. At the top, the logo "InteractiveBrokers" and "IBKR PRO" are visible, along with a language dropdown set to "English" and a user ID "LH425349". Below the header is a progress bar with four stages: "Apply Now", "Regulatory", "Account Setup", and "Sign In". The "Apply Now" stage is currently active. A yellow warning banner displays a triangle icon and the text "Rejected" followed by "We are sorry but your application has been rejected. If your situation should change, we encourage you to re-apply". Below this, a blue box titled "Withdraw Funds" contains the text "Click the button to make a withdrawal" and a blue "Withdrawals" button.

OS Received 03/07/2024

Plaintiff Adam Strege alleges the Defendants Bank America, TD Ameritrade and Charles Schwab violate FINRA Laws, Sec laws, FCRA Fair Credit Reporting Act 15 U.S.C. § 1681 threw FCRA 12 U.S.C §§ 1830-1831, Whistleblower Protection Act (WPA) 5 U.S.C. 2302- 101-12 as amended, Federal Business Torts Laws, Federal Fraud Tort Laws and Federal economic tort Title VII Civil Rights Act 42 U.S.C. §§ 2000e to 2000e-17 , 42 U.S.C. §§ 12101 Americans with Disabilities Act, by Closing Brokerage Account making it Imposable to Trade and robbing People and Most all Brokers do nothing to Help poor and disabled People Trade there no Risk Control Settings a \$100,000 Margin account allows a \$450,000 Trade a Potential \$8,000 Doller Loss Everyday while 80% all Trades are made with Artificial Intelligence AI unfair disadvantage.

TD and Charles Schwab were owned by Wells Fargo Bank and Bank of America robbed \$80,000 Dollars from Adam Strege then

50 Bank Lawyers wrote its imposable to Comprehend

98% People Lose money in Stock Market so the Broker does not place the Trade so the Broker Robs all the money

3/8/2024

