



FFP Pd/8402- PAC 3-204

UNITED STATES DISTRICT COURT
WESTERN DISTRICT OF WASHINGTON

Alain Hensley

Plaintiff(s),

v.

TD AMERITRADE, INC.
TD AMERITRADE, INC.,
WATERHOUSE SECURITIES, INC.,
TD WATERHOUSE INVESTOR
SERVICES, INC., TD WATERHOUSE
INVESTOR SERVICES, INC.

GTS EQUITY PARTNERS LLC
GTS EXECUTION SERVICES LLC
GTS SECURITIES LLC
GLOBAL TRADING SYSTEMS, GTS
SECURITIES LLC, GTS MISCHLER

CHARLES SCHWAB & CO., INC.
SCHWAB HOLDINGS, INC.

FINANCIAL INDUSTRY
REGULATORY AUTHORITY
"FINRA"

And dose 1-100 Inclusive,
_____ Defendant(s)

CASE NO. 23cu 5159 DGE

[to be filed in by Clerk's Office]

COMPLAINT FOR A CIVIL CASE

Jury Trial: Yes No

THE PARTIES TO THIS COMPLAINT

A. Plaintiff(s)

Name Alain Hensley
Street Address 22 Lapsley Dr.
City and County Dupont, Pierce
State and Zip Code Washington 98327
Telephone Number (253) 431-3908

B. Defendant(s)

Defendant No. 1

Name TD AMERITRADE, INC. WATERHOUSE
SECURITIES, INC., TD WATERHOUSE
INVESTOR SERVICES, INC., TD WATERHOUSE
INVESTOR SERVICES, INC.
Job or Title (*if known*) _____
Street Address 200 SOUTH 108TH AVENUE
City and County OMAHA
State and Zip Code NE, 68154
Telephone Number 1-800-669-3900

Defendant No. 2

Name GTS SECURITIES LLC
GLOBAL TRADING SYSTEMS, GTS SECURITIES
LLC, GTS MISCHLER
Job or Title (*if known*) _____
Street Address 545 MADISON AVENUE 15th Floor
City and County New York
State and Zip Code New York, 10022
Telephone Number (212) 715-2830

1 Defendant No. 3

2 CHARLES SCHWAB & CO., INC.,
3 SCHWAB HOLDINGS, INC.

4 Name

5 Job or Title (*if known*)

6 Street Address

211 MAIN STREET

7 City and County

SAN FRANCISCO

8 State and Zip Code

CA 94105

9 Telephone Number

(415)-636-7000

10 Defendant No.4

11 FINANICAL INDUSTRY REGULATORY
12 AUTHORITY "FINRA"

13 Name

14 Job or Title (*if known*)

15 Street Address

1735 K Street, NW

16 City and County

17 State and Zip Code

Washington, DC 20006

18 Telephone Number

(202) 728-8000

19 The plaintiff Alain Hensley is a citizen of the county of Pierce within the State of
20 Washington.

21 The Defendant(s) TD AMERITRADE, INC. TD AMERITRADE, INC.,
22 WATERHOUSE SECURITIES, INC., TD WATERHOUSE INVESTOR SERVICES, INC., TD
23 WATERHOUSE INVESTOR SERVICES, INC. is incorporated under the laws of the State of
24 Delaware and has its principal place of business in the State of Nebraska.

GTS EQUITY PARTNERS LLC GTS EXECUTION SERVICES LLC GTS
SECURITIES LLC, GLOBAL TRADING SYSTEMS, GTS SECURITIES LLC, GTS

1 MISCHLER is incorporated under the laws of the State of Delaware, and has its principal place
2 of business in the State of New York

3 CHARLES SCHWAB & CO., INC. SCHWAB HOLDINGS, INC. is incorporated under
4 the laws of the State of Delaware and has its principal place of business in the State of
5 California.

6 FINRA

7 AND DOSE 1-200, INCLUSIVE

8 **Statement of Claim**

9 1. Plaintiff is a owner of Meta Materials shares ("MMAT") as well as the class A
10 preferred shares ("MMTLP"). The MMTLP shares were offered by TD Ameritrade Holding
11 Corporation, TD Ameritrade, Inc., TD Ameritrade Clearing, Inc., TD Ameritrade Investment
12 Management, LLC, or any corporate parent, corporate subsidiary, or employee of the same and
13 The Charles Schwab Corporation or any corporate parent, corporate subsidiary, or employee of
14 the same in 2022 and prior.

15 2. Plaintiff is informed, believes, and thereon alleges that Defendants were negligent and
16 failed in their fiduciary duty to Plaintiff by failing to ensure that Defendant's securities were
17 genuine registered certificates. Plaintiff also alleges, along with other parties in the Financial
18 Industry, including on information and belief GTS and Market Makers who illegally created,
19 shorted, traded, synthetic, counterfeit, unregistered, and unauthorized share certificates as well as
20 fraudulently concealing the fact that they did not have the authentic, registered share certificates
21 in their possession, MetaMaterials, Inc. had been subjected to a corporate hijacking by fraudsters
22 with the assistance of The Defendants, and that Defendants knew that the fraud had
23 compromised the DTCC depository.

24

1 They are choosing to misrepresent it and cover this up, thereby intentionally harming the
2 interests of retail investors. Plaintiff asserts a variety of federal and state, civil, and criminal
3 claims and seeks prohibitive injunctive relief, monetary settlement, and punitive damages.
4 Plaintiff requests that the Court enjoin such unethical and illegal conduct.

5 3. On about June 28, 2021, Torchlight Energy Resources merged with and
6 became MetaMaterials ("MMAT"). MMAT is the maker of nanocomposite materials.
7 Subsequently, additional shares were issued as preferred MMTLP shares which eventually
8 brought us to Next Bridge Hydrocarbons ("NBH"). Without the entity's consent, Market Makers
9 traded MMTLP and flooded the marketplace with unlawful securities. Although the
10 Approximate sum of 165,000,000 shares were to be issued in MMTLP to go into NBH, in order
11 to maximize their profits, and with the assistance and consent of Defendants knowingly, with full
12 knowledge and contrary to the law, allowed Market Makers to sell and market false, nonexistent
13 and illegal shares to the public including Plaintiff herein. The illegal shares were utilized to
14 reduce the stock price of MMTLP On, to harm the interests of retail investors and Plaintiff, and
15 to create an environment where the stock market was not operating per law or fairly.

16 4. On information and belief, Defendants and market makers, always relevant herein,
17 acted with the intention to harm retail investors. Defendant has been doing business within
18 Pierce County since the issuance of the shares and until today. Plaintiff does not know the true
19 names, capacities, or basis for liability of Defendants sued herein as Does 1-200, inclusive, as
20 each fictitiously named Defendants is in some manner liable to Plaintiff. Plaintiff will amend this
21 Complaint to allege their true names and capacities when ascertained. Plaintiff is informed and
22 believes, and thereon alleges, that at all relevant times mentioned in this Complaint, each of the
23 fictitiously named Defendants are responsible in some manner for the injuries and damages to
24

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