



# Arbitrator Experience Survey

Neutral ID: \_\_\_\_\_ Name: \_\_\_\_\_

Date: \_\_\_\_\_ Case ID: \_\_\_\_\_

Case Name: \_\_\_\_\_

This survey is an essential part of FINRA Dispute Resolution Services' effort to ensure that your fellow arbitrators continue to demonstrate the skills and abilities (required in arbitrators). This survey also helps FINRA identify best practices and tips for top quality performance and ideas useful for training. It is used exclusively by FINRA and should be completed and returned after the award has been finalized or after the case has settled or been withdrawn. This form includes features that allow you to email the form directly to Dispute Resolution Services.

We encourage you to complete this if you have had an opportunity to observe your fellow arbitrators. There is no better way to assess an arbitrator's dedication, attentiveness, and objectivity than to review the feedback from the arbitrator's fellow panelists. We are also interested in your experience with the FINRA staff and facilities.

**Your responses to this survey will be kept confidential.** The information you share with FINRA in this survey will remain anonymous and your peers will not know that you've submitted an evaluation. Your feedback is a valuable and necessary part in our efforts to serve you better.

Todd Saltzman  
Vice President - FINRA Dispute Resolution Services

**Note: Most browsers do not work properly with Adobe PDF forms.**

To avoid problems using Adobe PDF forms, please save the empty form to your computer, close your browser, and then open the form using Adobe Acrobat Reader. The form should then work as expected. You can download Adobe Acrobat Reader at no cost at:

<http://get.adobe.com/reader/>.



Please enter the name of the Arbitrators that you served with below and rate their performance. Do not rate your own performance.

**Chairperson or First Arbitrator Name:**

**Second Arbitrator Name:**

\_\_\_\_\_

1. Your overall evaluation of the above arbitrator's performance on this case is:

- |                   |                          |                          |
|-------------------|--------------------------|--------------------------|
| a) Exceptional    | <input type="checkbox"/> | <input type="checkbox"/> |
| b) Good           | <input type="checkbox"/> | <input type="checkbox"/> |
| c) Satisfactory   | <input type="checkbox"/> | <input type="checkbox"/> |
| d) Unsatisfactory | <input type="checkbox"/> | <input type="checkbox"/> |

**Professionalism:**

Please rate the arbitrators' service as panelists. There will be another opportunity to rate specific chairperson qualities.

2. The arbitrator's professional demeanor was:

- |                   |                          |                          |
|-------------------|--------------------------|--------------------------|
| a) Exceptional    | <input type="checkbox"/> | <input type="checkbox"/> |
| b) Good           | <input type="checkbox"/> | <input type="checkbox"/> |
| c) Satisfactory   | <input type="checkbox"/> | <input type="checkbox"/> |
| d) Unsatisfactory | <input type="checkbox"/> | <input type="checkbox"/> |

3. The arbitrator's ability to listen attentively and understand the materials presented was:

- |                   |                          |                          |
|-------------------|--------------------------|--------------------------|
| a) Exceptional    | <input type="checkbox"/> | <input type="checkbox"/> |
| b) Good           | <input type="checkbox"/> | <input type="checkbox"/> |
| c) Satisfactory   | <input type="checkbox"/> | <input type="checkbox"/> |
| d) Unsatisfactory | <input type="checkbox"/> | <input type="checkbox"/> |



4. The arbitrator's ability to appear unbiased, and treat parties and counsel fairly and impartially was:

- a) Exceptional
- b) Good
- c) Satisfactory
- d) Unsatisfactory

5. The arbitrator's respect for the role and opinions of other arbitrators was:

- a) Exceptional
- b) Good
- c) Satisfactory
- d) Unsatisfactory

6. The arbitrator's knowledge and understanding of the FINRA rules and procedures was:

- a) Exceptional
- b) Good
- c) Satisfactory
- d) Unsatisfactory

**Hearing Conduct:**

7. The arbitrator's ability to contribute to an efficient hearing process was:

- a) Exceptional
- b) Good
- c) Satisfactory
- d) Unsatisfactory



8. The arbitrator's preparation was:

- a) Exceptional
- b) Good
- c) Satisfactory
- d) Unsatisfactory

9. The arbitrator's ability to actively take part in the deliberation process was:

- a) Exceptional
- b) Good
- c) Satisfactory
- d) Unsatisfactory

**Chairperson:**

Please rate the chairperson only in this section. If you were the chairperson, leave this section blank.

10. The ability of the chairperson to maintain control of the hearings (for example, starting on time, maintaining order, etc.) was:

- a) Exceptional
- b) Good
- c) Satisfactory
- d) Unsatisfactory

11. The chairperson's ability to handle evidentiary issues fairly and efficiently at the hearing was:

- a) Exceptional
- b) Good
- c) Satisfactory
- d) Unsatisfactory



**Arbitrator Comments:**

12. Please provide specific comments about the performance of your co-panelists.

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**FINRA Staff:**

13. Please rate your experience with FINRA staff:

- a) Exceptional
- b) Good
- c) Satisfactory
- d) Unsatisfactory

14. Please tell us about any staff member who provided particularly good service. Supply his/her name and specific examples of how he/she excelled.

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15. Please tell us about any staff member whose level of service did not meet your expectations. Supply his/her name and specific examples of how he/she could have better met your expectations.

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**About the Hearing Room:**

16. Please provide specific comments about the room/facilities where the hearings were held.

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**Training:**

17. Please tell us about any topics that should be addressed in an upcoming Neutral Workshop or in the Neutral Corner.

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Upon completion, please return the survey to:

FINRA Dispute Resolution Services  
Department of Neutral Management  
One Liberty Plaza, 165 Broadway  
New York, NY 10006  
Email: [ArbitrationSurveys@finra.org](mailto:ArbitrationSurveys@finra.org)

**Thank you for your participation.**

**Investor protection. Market integrity.**

One Liberty Plaza  
165 Broadway  
New York, New York 10006  
[www.finra.org](http://www.finra.org)

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