



FINRA DR Portal

User Guide for Arbitration and Mediation Case Participants

July 2025

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Welcome to the FINRA DR Portal

Introduction

The FINRA Dispute Resolution Services developed this User Guide to help arbitration and mediation case participants become familiar with the Dispute Resolution Portal (DR Portal). The DR Portal is a web-based system that allows invited participants to log into a secure section of our website for self-service access to submit documents and view their case information.

The DR Portal has two parts: the **DR Party Portal** is for arbitration and mediation case participants, and the **DR Neutral Portal** is for FINRA neutrals (arbitrators and mediators) serving on the Dispute Resolution roster. This User Guide describes the DR Party Portal. A separate User Guide is available that explains the use of the DR Neutral Portal for arbitrators and mediators.

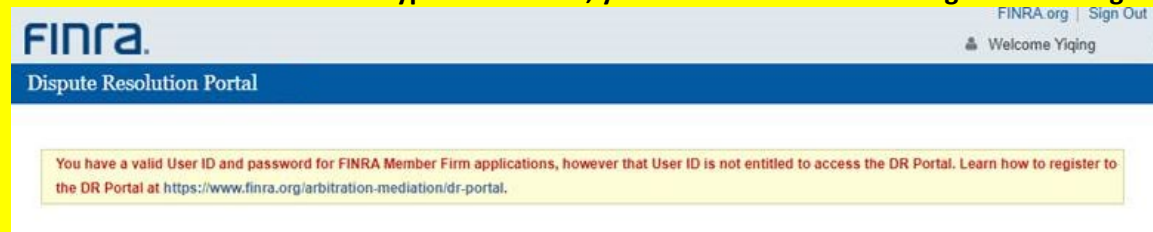
Note: Beginning in October 2023, the DR Portal is accessible to non-party case participants on certain expungement cases. Some functions on the Portal are not applicable to non-party case participants. A blue note box like this will indicate these non-applicable functions.

If you happen to be both a FINRA neutral and a participant to a case, you can register the same User ID to access both sides of the DR Portal. Case participants who are also registered neutrals may access the neutral portal by clicking on the link, “Go to Neutral Portal” found near the top of the homepage once you are logged in. Likewise, registered neutrals who are also case participants may access the party portal by clicking on the link “Go to Party Portal” from the homepage.

DR Portal Access

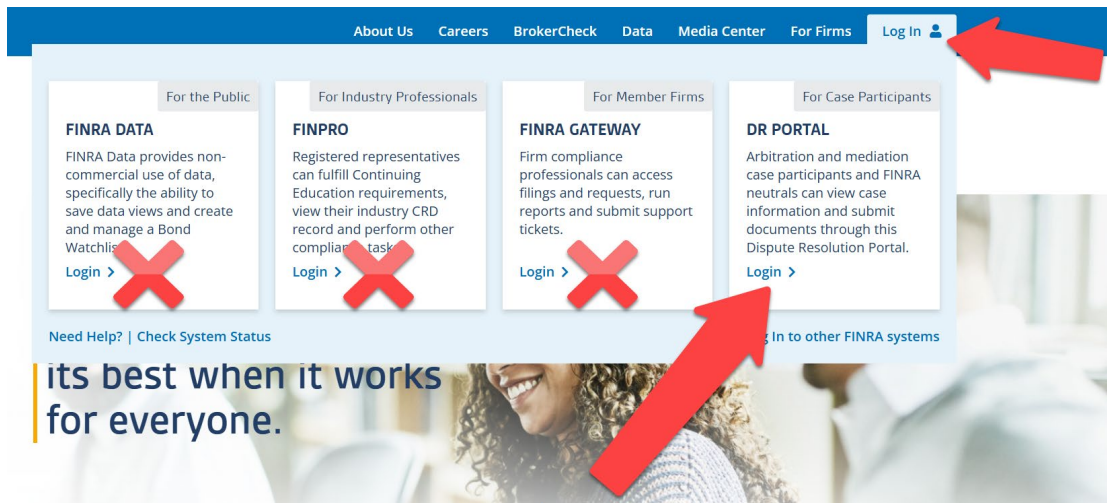
FINRA Dispute Resolution forum participants can access the DR Portal from FINRA.org after creating a DR Portal account. **For detailed information on how to create an account, see Appendix A.**

Note: you cannot use a FINRA Gateway account, Org account, or state CRD/IARD credentials on the DR Portal. You must create a separate account. If you attempt to log into the DR Portal with one of these other types of account, you will receive the following error message:



You only need one account to access all cases to which you are invited. You should NOT create a new account for each case you receive, and each account should use the unique personal email address of the user. Do not use a “group mailbox” email address when creating an account.

A direct link to the DR Portal login screen can be found on the [finra.org](https://www.finra.org) home page. In the upper-right corner, click “Log In” and then on “Login” for the fourth option under “DR Portal.”



Compatible Browsers

The DR Portal is compatible with recent versions of the following browsers: Microsoft Edge; Firefox, Google Chrome, and Safari. Microsoft Internet Explorer is no longer supported.

Mobile Devices

The DR Portal is only partially accessible with mobile devices. You can login and view case information, and depending on the device, may be able to view PDF files and rank arbitrators. You might not be able to reliably submit documents using a mobile device.

Spam Filters

You will receive automated emails coming from “drportal@finra.org” when you are invited to register for a case or when activity occurs on your case that requires your attention. To prevent your spam filter from blocking these emails, we suggest that you add this email address to the “safe senders” list in your spam filter software.

Pop-up Blockers

Some features of the portal open extra tabs in your browser or pop-up windows. We suggest that you add ***.finra.org** to your browser’s list of Trusted Sites and to your pop-up blocker’s exception list. You may also disable your pop-up blocker.

Frequently Asked Questions and How-To Videos

You can find the FAQ and some how-to videos in the **Resources** section of this page:

<https://www.finra.org/arbitration-mediation/rules-case-resources/dr-portal>

DR Portal Functionality

Home

On the FINRA DR Portal Homepage, you will see a menu of options across the top heading bar: **Home, Arbitration Cases, Mediation Cases, Arbitration Claims, and Messages**. Each of these are described in detail in other sections of this user guide.

The screenshot displays the FINRA Dispute Resolution Portal Home page. At the top, there is a navigation bar with the FINRA logo and links for 'Go to Neutral Portal', 'FINRA.org', 'Help', and 'Sign Out'. Below this is a secondary navigation bar with 'Dispute Resolution Portal' and a user greeting 'Welcome James'. The main navigation menu includes 'Home', 'Arbitration Cases', 'Mediation Cases', 'Arbitration Claims', and 'Messages (48 Unread)'. On the left, a sidebar lists various user actions under 'I want to...'. The main content area features several sections: an orange announcement banner for COVID-19 vaccine information, a blue reminder banner for a mediation session, a table of case deficiencies, and tables for upcoming arbitration hearings and mediation sessions. Red callout boxes highlight the announcement and reminder banners, and a green plus sign in the hearing table is highlighted with a callout.

The Home page displays announcements (in the orange banners near the top of the page) regarding the DR Portal or relevant FINRA Dispute Resolution Services activity, and reminders for upcoming events on your cases (in the blue box).

There is also a list of links on the left-hand side of the home page to **Receive a Case** (retrieve a served claim using a Claim Access Code that was given to you in a Claim Notification Letter), **File a New Arbitration Claim**, **File a Request for Mediation**, **Apply to be an Arbitrator**, **Change My Password**, **Change My Email Address**, and **Manage My Portal Preferences**.

Note: Receive a Case, File a New Arbitration Claim, File a Request for Mediation, and Apply to be an Arbitrator do not apply to non-party case participants.

There is also a link to the **Arbitration Awards Online** web site, as well as the **Forms and Tools** page where you can find various Adobe PDF forms used in the forum.

The Home page also displays any outstanding case deficiencies (issues to be resolved on a case) for the participant’s cases, as well as any arbitration hearings or mediation sessions scheduled within the next 14 days for cases that you are participating in.

This page does NOT display your complete list of cases. To see your cases, click on the “Arbitration Cases” tab or “Mediation Cases” tab next to the “Home” tab at the top of the page.

Note: Non-party case participants would not participate in mediation cases.

Manage My Portal Preferences

Reminders

You receive automated reminders for upcoming events and deadlines on your cases. You can control how you receive reminders using the “Manage My Portal Preferences” quick access link on the left-hand menu. Some reminders can be disabled completely, but most cannot. You can, however, choose to receive these reminders only by portal message and not by email. These portal message reminders will be automatically moved to your archived messages after 30 days.

Go to Neutral Portal | FINRA.org | Help | Sign Out
Welcome James

Dispute Resolution Portal

Home | Arbitration Cases | Mediation Cases | Arbitration Claims | Messages (48 Unread)

Manage My Portal Preferences

Reminders

Reminders	Enable	Portal Inbox	Email
<p>Case Deficiency The resolution date for a case deficiency is very close.</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<p>Case Deficiency The resolution date for a case deficiency is very close.</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<p>Resp to Small Claims Mediation Requested A response to FINRA's solicitation for a small claims mediation is requested.</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<p>Statement of Answer is Due The due date is approaching to submit a Statement of Answer.</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<p>Document(s) Published to Portal Arbitration case document(s) were published to your portal recently but</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

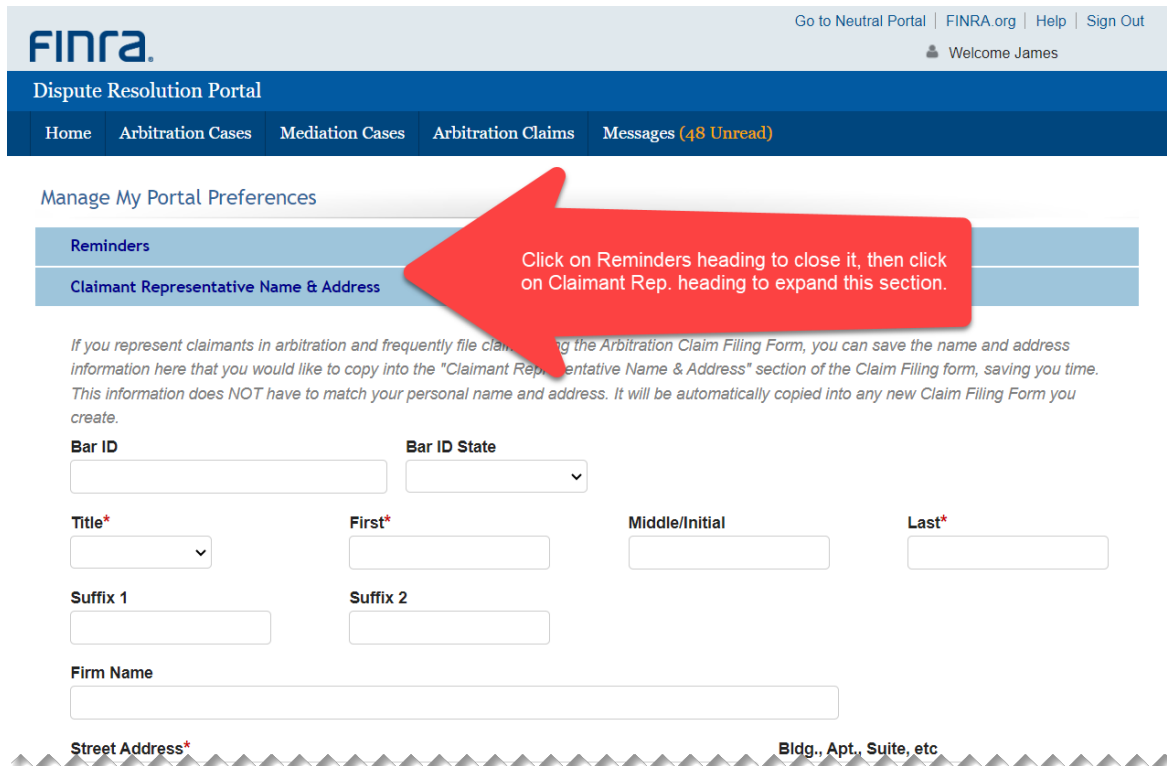
Choose how you want to receive a reminder: in your Portal Messages Inbox and/or an email. At least one choice must be selected for each enabled reminder. Note: some reminders cannot be disabled.

Click the checkbox to turn the reminder off or on. At least one box must be checked for each enabled reminder.

This reminder can be disabled.

Claimant Representative Name & Address

If you represent claimants in arbitration and frequently file claims using the Arbitration Claim Filing Form, you can save the name and address information here that you would like to copy into the “Claimant Representative Name & Address” section of the Claim Filing form, saving you time. This information does NOT have to match your personal name and address. It will be automatically copied into any new Claim Filing Form you create and not used anywhere else.



Go to Neutral Portal | FINRA.org | Help | Sign Out
Welcome James

Dispute Resolution Portal

Home | Arbitration Cases | Mediation Cases | Arbitration Claims | Messages (48 Unread)

Manage My Portal Preferences

Reminders

Claimant Representative Name & Address

If you represent claimants in arbitration and frequently file claims using the Arbitration Claim Filing Form, you can save the name and address information here that you would like to copy into the "Claimant Representative Name & Address" section of the Claim Filing form, saving you time. This information does NOT have to match your personal name and address. It will be automatically copied into any new Claim Filing Form you create.

Bar ID Bar ID State

Title* First* Middle/Initial Last*

Suffix 1 Suffix 2

Firm Name

Street Address* Bldg., Apt., Suite, etc

Accessing Case Information

New cases do NOT automatically appear in your portal when they are filed. There are two methods of gaining access to information for a new case through the DR Portal:

- Using “**Receive a Case**” and the Claim Access Code found in a [Claim Notification Letter](#) that was sent to you (only for respondents);
- Receiving an [email invitation](#) from FINRA to register with the DR Portal for access to a particular case.

Receive a Case and the Claim Notification Letter

The first way to access new case information is to use the “**Receive a Case**” link on the left-hand menu, under where it says, “**I want to...**”. You will need the Claim Notification Letter that FINRA sends by mail or email to serve claims on respondents through the DR Portal.

Note: Non-party case participants would not use the “Receive a Case” function because they will not receive a Claim Notification Letter.

The Claim Notification Letter replaces the serving of paper documents by FINRA upon the respondents of a claim. It is sent to the named respondent parties on the case after the claim has been received by FINRA. This letter notifies the respondent that they have been named in a claim and that they may retrieve the claim documents through the DR Portal using the Claim Access Code contained in the letter. You will need to enter the Claim Access Code found in the letter to access the claim documents.

Note: The Claim Access Code is ONLY used by respondents and can ONLY view the initial claim documents (called the “Claim Service Packet”) for that one case for a limited time. It also provides the ability to submit an answer and associated documents. It does NOT provide access to other cases on the DR Portal or to view other types of documents on the associated case (this is called a “Limited Case View” and is noted as such on the portal). Claimants do not receive these letters and should NOT attempt to use this Claim Access Code to access their case.

If you have been named as a respondent in a claim and receive a Claim Notification Letter from FINRA:

1. Click on the “**Receive a Case**” link, found on the left-hand menu on the portal Home page.
2. Enter the FINRA Arbitration Number (Case ID) and the Claim Access Code from the Claim Notification letter or email you received regarding this new case. If you are a person associated with a FINRA member and you are registered with FINRA (or you represent one), you must also provide the Associated Person’s date of birth.

Receive a Case

FINRA serves claims on respondents through the DR Portal using a Claim Notification Letter. You can retrieve the claim by entering the Case ID (including hyphen and leading zeros) and the Claim Access Code provided in this letter.

If the Named Respondent on the case is an Associated Person (see Rule 12100(a)/13100(a)), then the Date of Birth of the Associated Person is required below.

For cases with multiple parties, if you have received more than one Claim Notification Letter, please enter only one Claim Access Code.

Note: the Claim Access Code is ONLY used by respondents to retrieve the initial claim documents for the one associated case. It also provides the ability to submit an answer, notice of appearance, and associated documents. It does NOT provide access to other cases on the DR Portal.

All fields marked as * are mandatory.

Case ID: *

Claim Access Code: *

Associated Person Date of Birth: (Required only for Associated Person)

* I hereby attest that I am a named party or that I represent a named party in the above-referenced case and will access the DR Portal in good faith for purposes of obtaining arbitration information and to file an online answer and other documents. I declare that the above entered case number and Claim Access Code are accurate to the best of my knowledge.

If you have any questions, please contact the staff member assigned to your case provided on the Claim Notification Letter.

3. If you enter the correct information, you will be taken back to the DR Portal and provided a “Limited Case View” of this case (see “Limited Case View and Post-Case View” under Case Details for more information.) At this point, you are considered a “preliminary user” in the DR Portal for this case.

With this Limited Case View, you can:

- Retrieve the initial claim documents that were filed by the claimant (called the “Claim Service Packet”, found in the Documents tab);
- File an answer, including answers that contain cross, counter, or third party claims (press the red **Submit Documents** button to open the form);
- File amendments to your submitted answer (also using the red **Submit Documents** button).

The Claim Access Code can be used by more than one person. For example, a respondent party can use the code to retrieve a claim, and then give the code to outside counsel who may then also use it to retrieve the claim using their own Portal account. Once you use the code to access the claim, you will not need to use the code again if you log out and back into the portal. You will continue to have access to the Claim Service Packet on this one case until the code is disabled.

Note: The Claim Access Code will be disabled:

- **Once the respondent files their answer with FINRA,**
- **If the Claim Access Code is mis-typed three times when trying to retrieve the claim,**
- **If the date that the answer is due to be filed with FINRA has passed and no extension has been filed with FINRA, or**
- **If an email invitation (see below) is accepted and the participant is registered to the case.**

21-00080 John Smythe v. XYZ Brokerage, Inc.

Arbitration Case Abstract

Submit Documents

Case Status: Open Filed On Date: 06/22/2021 Office: New York Hearing Location: New York, NY	Milestones Case Received: 06/22/2021 Claim Served on Respondents: 06/23/2021	Assigned Staff Arthur Baumgartner FINRA Dispute Resolution Services Brookfield Place 200 Liberty Street New York, New York 10281 Phone: 212-858- E-mail: Arthur.Baum@finra.org
--	---	--

LIMITED CASE VIEW: YOU MUST STILL REGISTER FOR THIS CASE. An invitation to register will be emailed to the named representative once you file your answer or Notice of Appearance. See FAQ for more information.

Details Documents (1) Drafts & Submissions

Arbitrators

Arbitrators have not been assigned to this case.

Arbitration Parties

⚠ indicates that a party is not a DR Portal user.

Claimants

Party	CRD #	Agreement Date	Type	Class	Status	Represented By
John Smythe			Individual	Customer	Active	+ Pro Se

Respondents

Party	CRD #	Agreement Date	Type	Class	Status	Represented By
XYZ Brokerage, Inc.			Corporation	Non-Member	Active	+ Mr. James Schroder

Limited Case View is displayed after you use the Claim Access Code to receive a case. This view only shows these three tabs.

This indicator will disappear when the party representative uses their invitation to register this case.

Email Invitation from FINRA

The second way to access case information is by receiving an email invitation from FINRA to “register” the case with your DR Portal account. This invitation email will be sent by FINRA to the
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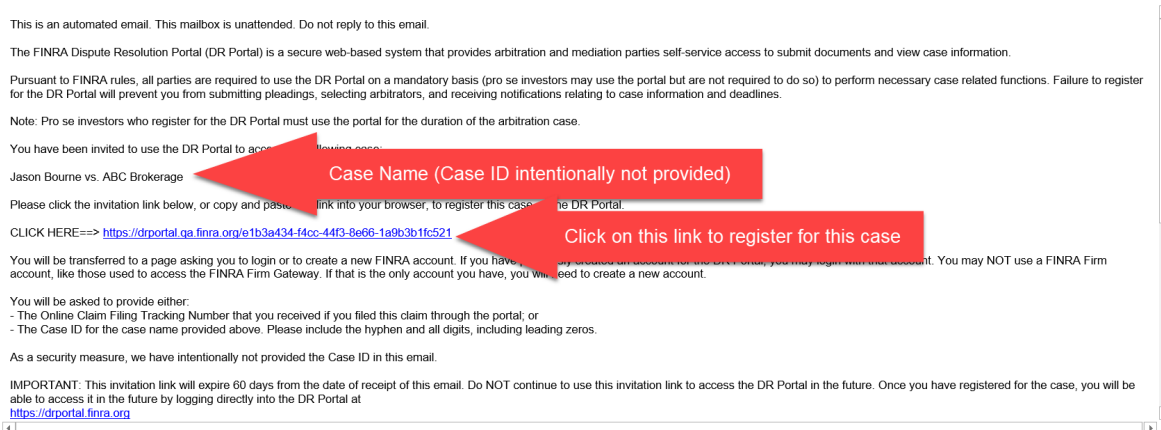
participant representatives on the case (as provided in the initial claim, answer, or Notice of Appearance), and will contain a personalized web address link that provides complete access to the case on the DR Portal. This email will typically be sent to the representative after FINRA receives initial documents related to the case and will be sent to the email address provided by the representative.

Note: This is the only way for non-party case participants to gain access to case information. If you did not receive an invitation email or need it to be re-sent, please contact FINRA DRS.

The person who uses the FINRA email invitation to register for the case is the “Portal Contact.” The Portal Contact may invite secondary users to the case. The process for inviting secondary users is described in the User Management section.

IMPORTANT: Unlike the Claim Access Code, this email invitation is personalized and can only be used ONCE by ONE recipient. It is intended for use by the participant representative. However, the representative can instead give this invitation to a delegate (e.g., support staff), who will act on the representative’s behalf for purposes of using the DR Portal. This does NOT change the participant representative. EACH CASE requires this invitation/ registration process.

FINRA will send an invitation to the named participant representative with the subject line, “FINRA Dispute Resolution Portal – Please Register Your Case on the DR Portal.” It will contain a personalized link to register for a case:



1. Click on the link in the email underneath where it says, “Please click the invitation link below to register your case.” You will be brought to the “**Welcome to Dispute Resolution**” log-in page and have the option to log into or create your FINRA account. **If you have not already created an account, see Appendix A.**
2. Log into the DR Portal by entering your **User ID** and **password**.

You will be asked for the Case ID or your Online Claim Tracking Number as a challenge question to verify your identity. You only need to provide ONE of these.

Note: Non-party case participants would not have a Claim Tracking Number. FINRA will provide you with the Case ID separately.

IMPORTANT: as a security measure, this information is intentionally not included in the invitation email.

- If you are a claimant and filed your claim online through the DR Portal, your claim was assigned a Tracking Number.
- If you mailed your initial claim to FINRA, we will have emailed you the Case ID after we received your initial claim.
- If you are the respondent, you would have received the Claim Notification Letter that included the matching case name and Case ID.
- If you are a non-party case participant, FINRA would have provided you with the Case ID separately.

Go to Neutral Portal | FINRA.org | Help | Sign Out
Welcome James

Dispute Resolution Portal

Home Arbitration Cases Mediation Cases Arbitration Claims Messages (15 Unread)

Welcome to the FINRA Dispute Resolution Portal

To access your case information, please verify that you are authorized to view this case by entering EITHER:

- the Online Claim Filing Tracking Number that you received if you filed this claim online; OR
- the Case ID for the case name provided in the invitation email. Please include the hyphen and all digits, including leading zeros.

Please provide one of the following below:

Case ID:
#####

OR

Online Claim Form Tracking Number:
#####

* I hereby attest that I am a named party or that I represent a named party in the above-referenced case and will access the DR Portal in good faith for purposes of obtaining case information or to file case documents. I declare that the answers to the above questions are accurate to the best of my knowledge.

Submit

3. If you answer the challenge question correctly, you will be taken to the DR Portal home page and be able to view the details for the case. At this point, you are considered the “**Portal Contact**” in the DR Portal for this case.

Arbitration Cases

This menu takes you to a page that lists the arbitration cases associated with the participant. Clicking on any of the green plus-signs (e.g., next to the name of the DR staff person assigned to the case) will expand the view to show more detail. Clicking on it again will hide the details.

ID	Case Name	Status	Filed On Date	Hearing Location	DR Staff
14-0	Johnathan Smith v. ABC Financial	Open	02/10/2014	New York, NY	+ A. Baumgartner
13-0	Walter Williams v. Brokers, Inc.	Open	10/21/2013	New York, NY	+ A. Baumgartner
13-0	Cal Customer v. Brokerage Corp	Open	10/18/2013	New York, NY	+ A. Baumgartner

To see the details of a particular case, click on a listed case name. This will open the Case Abstract along with a row of tabs providing additional information about the case.

Mediation Cases

This menu takes you to a page that lists the mediation cases associated with the participant.

Note: Non-party case participants do not participate in mediation cases.

ID	Case Name	Status	In Agreement Date	Hearing Location	DR Staff
15-0	Vadim Fuks-Rabinovich vs Pam Skinner	Open	03/15/2017	New York, NY	+ P. Skinner
13-0	Walter Williams v. Brokers, Inc.	Open	12/04/2013	New York, NY	+ E. Sihaga

For both Arbitration Cases and Mediation Cases, the page defaults to show only open cases. You can click on “View Closed Cases” or “View All Cases” to change what is displayed in the list. You can also click on the column headings to change the sort order of the list.

Arbitration Claims

This menu contains a list of the arbitration online claim forms you are currently drafting or have already submitted.

Note: Non-party case participants would not find information regarding their case here.

My Arbitration Claims

[Back to DR Portal](#)[File a New Arbitration Claim](#)

This page contains a list of all of the arbitration online claim forms you are currently drafting or have already submitted. To begin a new claim, click the red "File a New Arbitration Claim" button to open the form. To continue working on a previously saved draft form, click the associated Tracking Number of your draft.

Please be advised that any unsubmitted forms that have not been modified for a period of 60 days will be automatically deleted by FINRA. We strongly recommend that you occasionally access and save your form to avoid its deletion. If you believe that your form has been deleted in error, please contact the DR Portal Help Desk at 1-800-700-7065.

From: To: Claim Name: Status:

Click on the Down Arrow (v) in the column headers to perform additional filtering on that column.
Click on the column label to sort the list by that column. Click again to reverse the sort order.
Click on a Tracking Number to open the associated claim form.

Tracking Number	Claim Name	Status	Status Date	Payment Status	Payment Method	Payment Type	Case ID	
5960618		Draft	01/06/2023 01:48 PM					Delete
4790862	test 8-27-20	Submitted	08/27/2020 01:25 PM	Paid	Online	Credit Card	20-00214	

- You can search for previously submitted claims or drafts using the search fields. You can search by date range, the name you gave your draft claim, or its status (draft or submitted).
- To begin a new claim, click the red **File a New Arbitration Claim** button. This will open the Online Claim Information Form. A Tracking Number is assigned to your claim as soon as you begin your draft. This number will be used to track your claim after you submit it.
- To continue working on a previously saved draft claim, click the associated Tracking Number of your draft.
- To delete a draft claim, click the **"Delete"** link.
- If you submitted a claim but did not complete the payment process for some reason, you can click on the **"Pay"** link to complete the payment process.

Filing an Arbitration Claim

The Claim Information Form includes several sections that need to be completed. Each section can be accessed by clicking on the **Continue** and **Previous** buttons found on each page of the form. You can return to your list of draft and submitted claim forms by clicking on **"Back to My Arbitration Claims"** link.

Note: A more detailed description of how to complete the Claim Information Form and what happens after it is submitted can be found in [Appendix B](#).

My Arbitration Claims

Back to My Arbitration Claims | View Legacy Online Claim Filings

Tracking Number: 3097993

To file an arbitration claim:

1. Read the instructions provided on the form carefully.
2. Enter the required information on each of the tabs of the Claim Information Form. This information should match everything specified in your Statement of Claim. Differences between the form and your Statement of Claim can delay processing of your claim.
3. On the Documentation tab, attach your documents. Attachments can be added by clicking on the **Add Document** button. (Note that attachments must be text-searchable Adobe PDF formatted files.)

Steps to attach documents:

- Click the "Add Document" button.
- Select the appropriate Attachment Type.
- Click the "Browse" button and find your document on your computer. Select your document and click the "Open" button.
- Enter a short description for the document, if desired.
- Click the "Add" button to attach the document to the form.
- Repeat for each document you want to attach.

Statement of Claim Attachments		
Attachment Type ▾	File	Description
Add Document		0 Row(s)

Click a row to edit it.

Note: Please combine related documents (e.g., a series of exhibits) into a single text-searchable PDF attachment and select the appropriate Attachment Type. Note, however, that a single attachment cannot be larger than 2 GB in size. If your combined file would be larger than this, please submit as separate files. Unrelated documents should be submitted as separate attachments by selecting the appropriate attachment type for each.

DO NOT submit PDF “Portfolio” documents. Only “standard” PDF documents are acceptable.

4. “Sign” the Submission Agreement section of the form, or attach a scanned Adobe PDF of a signed Submission Agreement. Either method is acceptable.
5. Press the **Submit** button to submit your completed form, or press the **Save as Draft** button to save a draft of your form.
6. If you did not request a waiver of the filing fees, you will be taken to the payment page to pay the filing fee. You can pay by credit card or you can use a checking account by using the Bank Account payment option.
7. Once you complete the payment process, you can view the completed claim form.

Messages

This menu option takes you to a page showing the messages that have been sent to you regarding activity in your cases being handled through the DR Portal. You also receive these messages as email alerts. The orange number on the menu header indicates the number of unread messages.

Dispute Resolution Portal

Home Arbitration Cases Mediation Cases Arbitration Claims Messages (7 Unread)

My Current Messages [Go to Archived Messages](#)

Message Type Filter: All View All Messages View Unread Messages View Read Messages

Select All	Date	Subject	Case Name	Case ID	Case Type	
<input type="checkbox"/>	01/06/2017	FINRA has posted a new document for Arbitration Case ID 15-0 on the DR Portal	Vadim Fuks-Rabinovich vs Pam Skinner	15-0	Arbitration	Go to Documents
<input type="checkbox"/>	12/29/2016	FINRA has posted a new document for Arbitration Case ID 15-0 on the DR Portal	Vadim Fuks-Rabinovich vs Pam Skinner	15-0	Arbitration	Go to Documents
<input type="checkbox"/>	12/21/2016	FINRA DR requests your schedule availability for an Arbitration Hearing for Case ID 13-0	Cal Customer v. Brokerage Corp	13-0	Arbitration	Go to Scheduling
<input type="checkbox"/>	11/08/2016	DR Portal Submission Sent to Other Parties	John Customer v. BBB Brokerage, Inc.	16-0	Arbitration	Go to Documents

[Archive Selected Messages](#) [Prev](#) [1](#) [2](#) [Next](#)

The view defaults to showing all received messages that you have not already archived. Unread messages are displayed in bold type. You can limit the view to just your unread messages by clicking on “View Unread Messages.” You can also filter the messages to show just those relating

to certain message types that have been sent to you. Select “Documents”, “Download Documents” or “Scheduling” in the Message Type Filter drop-down menu.

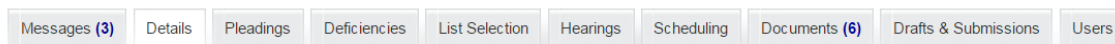
To archive messages, click on the checkbox to the left of the message to select them (or click on “Select All” to select all messages), and then click on the **Archive Selected Messages** button. To view your archived messages, click on the red **Go to Archived Messages** button. Read messages are automatically archived after 31 days.

In addition, any announcements or reminders that you deleted from the Home page (by clicking on the **X** next to the announcement) can be found on the Archived Messages page.

Messages are automatically marked as having been “read” if you perform the associated action. For example, if you get an email that there is a new document posted on the portal and you use the link in the email to go straight to the Documents tab and open the document, the message in your Messages inbox will be automatically marked as read.

Viewing Case Details

When you click on a case name from the **Arbitration Cases** or **Mediation Cases** page, the details of that case are displayed. The **Details** tab is displayed by default, but there are several more tabs that provide various information and functions.



Limited Case View and Post-Case View

There are two situations where you may only be able to see a subset of the complete list of tabs:

Note: Limited Case View and Post-Case View do not apply to non-party case participants.

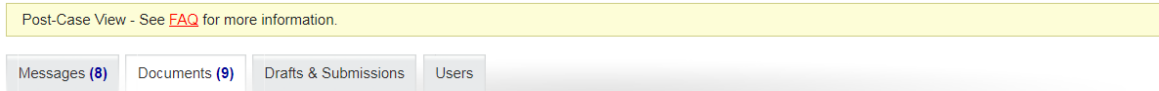
Limited Case View – As described previously under “Receive a Case”, when you access a new case that has been served on you by using a Claim Access Code, you see a Limited Case View of the case. This view provides three tabs: Details, Documents, and Drafts & Submissions.

LIMITED CASE VIEW: YOU MUST STILL REGISTER FOR THIS CASE. An invitation to register will be emailed to the named representative once you file your answer or Notice of Appearance. See FAQ for more information.



Post-Case View – You can continue to view a case in your Portal even if all of the parties you represent in the case are no longer active (e.g., settled or withdrawn), but the view is somewhat

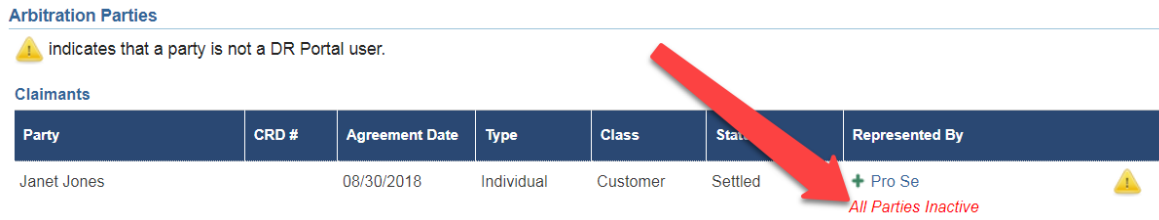
reduced. This view provides four tabs: Messages, Documents, Drafts & Submissions, and Users.



This view allows you to see the messages and documents that had been posted to your portal prior to becoming inactive. New documents that are submitted by the still active parties after this point will not be viewable to you.

In addition, you CAN still submit new documents on this case AND serve those documents on the still active parties. FINRA DRS staff CAN post a new document to you if necessary (for example, to send you a final correspondence), but other parties CANNOT serve you new documents through the Portal. The Users tab is provided so that you can change the access level or remove people you have invited to this case, but you cannot invite new users at this point.

Other parties will see an indication under your name if all of the parties you represent are no longer active on the case.



Messages

The **Messages** tab works the same as the previously described Messages menu option but is limited to showing just the messages you have received from FINRA regarding this case. The blue number indicates the number of unread messages.


To view your archived messages, click on the **Go to Archived Messages** button. You can return archived messages back to your current message page by selecting the archived messages (using the small checkbox to the left of each message) and clicking on **Unarchive Selected Messages** button. Read messages are automatically archived after 31 days.

Note: When using the "Create Merged File" button (see Documents section), a message is sent to you with a link to retrieve the compiled list of documents. This link expires after three days. To avoid confusion, these Merge File messages are automatically deleted after three days, since the link contained in them will no longer work.

Details




The **Details** tab lists the neutrals appointed to the case, as well as the names of the parties, non-party case participants and their representatives, and the assigned FINRA staff member. Contact information for each participant representative can be found here as well, in addition to the yellow warning indicator if a representative is not registered for this case on the portal.

By clicking on the representatives’ names, you can see their contact information. You can also view the names of the neutrals assigned to the case once they have been selected.


TIP: If a representative has not yet registered to use the Portal for the case, they will have a yellow warning indicator  to the right of their name. This representative will NOT receive service of documents you submit through the portal. It is recommended that you send documents to representatives not on the portal by other means to assure they receive them.

- Messages
- Details
- Pleadings
- Deficiencies
- Hearings
- Scheduling
- Documents
- Drafts & Submissions
- Users

Arbitrators

Name	Role	Type	Status	Assigned On Date	Current Disclosure Report
Mr. Thomas J. 	Chair	Public	Appointed	05/23/2023	
Mrs. Sandra Gale 	Panelist	Public	Appointed	05/23/2023	
Mr. Paul S. 	Panelist	Public	Appointed	05/23/2023	


Arbitration Parties

 indicates that a party is not a DR Portal user.



Claimants

Party	CRD #	Agreement Date	Type	Class	Status	Represented By
Andrew Smith			Individual	Associated Person	Active	+ Isonia
Jan Johnson			Individual	Associated Person	Active	+ Isonia

Respondents

Party	CRD #	Agreement Date	Type	Class	Status	Represented By
American Financial			Corporation	Non-Member	Active	+ Vadim 

Non-Parties

Name	Type	Class	Represented By
Par	Individual	Expungement Case Participant	+ James 
James	Individual	Expungement Case Participant	+ James 
Manuel	Individual	Expungement Case Participant	+ Manuel

You can click on the Current Disclosure Report icon to view the current disclosure report available for each panelist on your case.

Filing an Answer and Other Document Submissions

Once you have retrieved the claim documents using the Claim Access Code, you can file an answer or other case-related submission by clicking on the red **Submit Documents** button found

above the Case Abstract (or directly on the **Drafts & Submissions** tab. Details of how to complete the Submit Documents form can be found in the **Drafts & Submissions** section of this User Guide.

Dispute Resolution Portal

Home Arbitration Cases Mediation Cases Arbitration Claims Messages (7 Unread)

14-01111 Johnathan Smith v. ABC Financial

Arbitration Case Abstract

Submit Documents

Case Status: Open
 Filed On Date: 02/10/2014
 Office: New York
 Hearing Location: New York, NY

Milestones
 Claim Served on Respondents: 02/10/2014
 Case Received: 02/10/2014

Assigned Staff
 Arthur Baumgartner
 FINRA Dispute Resolution
 One Liberty Plaza
 165 Broadway, 27th Floor
 New York, New York 10006
 Phone: 212-858-4...
 E-mail: NEProcessingCenter@finra.org

Limited Case View - See FAQ for more information.

Details Documents Drafts & Submissions

Documents

Note: If "+ Document List" is shown in the Documents column, click on the plus sign (+) to see the list of documents.

Subject	Portal Posted Date	Documents (File Date)	Sent By
Claim Service Packet	02/10/2014	+ Document List	FINRA DR

Pleadings

The **Pleadings** tab shows a summary of the pleadings that have been entered for this case. Note that the actual pleadings filed with FINRA may contain more information than is displayed here.

Messages Details Pleadings Deficiencies List Selection Hearings Scheduling Documents (3) Drafts & Submissions Users

Pleadings

Pleading	Filed On Date	Type	Requested
Initial Claim	10/09/2013	Monetary	\$10,000.00
Counter Claim	12/16/2014	Monetary	\$15,000.00

Deficiencies

The **Deficiencies** tab shows a list of open issues to be rectified by the listed party for this case.

Messages Details Pleadings Deficiencies List Selection Hearings Scheduling Documents (3) Drafts & Submissions Users

Deficiencies

Party Name	Description	Date
Walter Williams IRA	Please provide the custodian's signature.	10/22/2014

List Selection

The **List Selection** tab allows party representatives to strike and rank arbitrators on the provided arbitrator list.

Note: Non-party case participants will not have the List Selection tab on their case.

This tab presents a list of all the ranking lists associated with this case. This includes the initial list (called the “Primary List”), as well as any secondary lists (typically “short lists” used for replacing arbitrators).

To access a ranking list, click on the List ID.

Messages (3) Details Pleadings Deficiencies List Selection Hearings Scheduling Documents (2) Drafts & Submissions Users

Arbitrator List Selection Rankings

Please click on the List ID to enter your rankings for the associated list

List ID	List Name	Due Date	Ranking Submitted	Submission Method
105674	Primary List		11/02/2020	Manual
105683	Short List - Test 1	01/19/2021	Not Submitted	

Rest assured that opposing counsel CAN NOT see the rankings you submit through the List Selection tab of the DR Portal. Your submission is only viewable by FINRA staff.

For each section of the list, strike the arbitrators that you do not wish to be on the panel, and rank the remaining arbitrators, starting at 1 for your highest ranked arbitrator in that section.

Messages (3) Details Pleadings Deficiencies List Selection Hearings Scheduling Documents (6) Drafts & Submissions Users

List Selection for List ID: 87453

Please enter ranks and strikes on this page for each arbitrator on this list under the Documents tab called Arbitrator List.

Note: Your submitted ranks and strikes will not be seen by opposing parties.

Public Chairpersons

Maximum of 4 strikes permitted.

Party Rank	Strike	Arbitrator ID	Arbitrator Name	Classification
<input type="checkbox"/>	<input type="checkbox"/>		Lise G. Butler	Public
<input type="checkbox"/>	<input type="checkbox"/>		[Redacted]	Public
<input type="checkbox"/>	<input type="checkbox"/>	A31001	Abigail [Redacted]	Public
<input type="checkbox"/>	<input type="checkbox"/>	A51000	Pamela [Redacted]	Public
<input type="checkbox"/>	<input type="checkbox"/>		Tyronne [Redacted]	Public
<input type="checkbox"/>	<input type="checkbox"/>		[Redacted]	Public
<input type="checkbox"/>	<input type="checkbox"/>	A11000	Allan E. [Redacted]	Public
<input type="checkbox"/>	<input type="checkbox"/>	A11000	Ann P. [Redacted]	Public
<input type="checkbox"/>	<input type="checkbox"/>	A11000	David I. [Redacted]	Public
<input type="checkbox"/>	<input type="checkbox"/>	A11000	Linda A. [Redacted]	Public

Note: You cannot save partially completed rankings and return to them later. You must complete your entries in one session. You can use the ranking form that is included with the disclosure reports found in the Documents tab as a worksheet for personal use until you are ready to submit your final rankings. Do not submit, email, or fax that ranking form worksheet to FINRA. ONLY use the List Selection tab in the DR Portal.

The disclosure reports for the arbitrators listed in the **List Selection** tab can be found in the **Documents** tab with the subject heading of “Arbitrator List.”

Messages (3) Details Pleadings Deficiencies List Selection Hearings Scheduling Documents (6) Drafts & Submissions Users

Documents

Note: If "+ Document List" is shown in the Documents column, click on the plus sign (+) to see the list of documents.

Subject	Portal Posted Date	Documents (File Date)	Sent By
Documents Sent by Another Party	09/27/2016	+ Document List	Pam Skinner
Arbitrator List	09/27/2016	- Document List Parties List Cover Letter.pdf (2/11/2014) Arb Ranking List ID 87453.pdf (2/11/2014)	FINRA DR
FINRA Time Sensitive Correspondence	09/22/2016	+ Document List	FINRA DR

The first page of the disclosure report is the Table of Contents, listing the names of the arbitrators contained within the report.

TIP: you can click on the name of an arbitrator to take you straight to that page of the document. You can also turn on the “bookmarks” feature in your PDF viewing program to easily jump to any page in the document.

The second page of the disclosure report is the ranking form. Do **NOT** submit this ranking form worksheet through the portal, since you will instead be ranking the arbitrators online in the **List Selection** tab. You should, however, confirm that the Case ID and List ID provided on the ranking form is the same as the List ID noted in the List Selection tab.

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ARBITRATOR RANKING FORM

DR PORTAL USERS: You must enter your rankings on the **List Selection** tab for this case in the DR Portal by the specified deadline.

NON-DR PORTAL USERS: Please complete this form and ensure it is **RECEIVED** in the appropriate FINRA office by the specified deadline.

Case ID: 17-00 **Case Name:** John v. XYZ Corp **List ID: 105181**

Public Chairpersons <small>(maximum of 4 strikes permitted)</small>	Arbitrator ID	Arbitrator Name	Party Ranking/Struck

The subsequent pages provide the arbitrators’ disclosure reports.

You can click on the Case ID in the “Publicly Available Awards” sections of the arbitrator’s disclosure report to see the award on the FINRA Arbitration Awards Online website. This simplifies the process of reviewing awards for prospective arbitrators.

PUBLICLY AVAILABLE AWARDS FOR CASES INVOLVING PUBLIC CUSTOMERS

Publicly Available Awards for Cases Involving Public Customers Section, Current as of 12/07/2021

Case ID	Case Name	Close Date	Role
16-0061	...	10/24/2016	Chair
14-0001	...	02/23/2015	Chair
05-0016	...	09/29/2009	Panelist
03-0908	...	06/06/2005	Panelist
01-0612	...	09/04/2003	Panelist
96-0537	...	02/06/1998	Panelist

Click on the Case ID to go to FINRA Arbitration Awards Online website

Once you have entered your ranks and strikes, you can then click on **Submit Ranking Sheet**. Only one ranking sheet can be submitted by a representative. If a ranking sheet was submitted in error, you should contact your FINRA case administrator assigned to the case and have them delete it so that you can re-submit.

Note: Shortly after your ranking sheet is submitted, you should receive a confirmation email. In addition, a copy of your submitted rankings can be found in the Documents tab (called "Submitted Arbitrator Ranking Sheet") so that you can verify your submission. If you do not find it, contact the Dispute Resolution case administrator assigned to your case, or send an email to claimhelp@finra.org to verify that FINRA has received your rankings.

Note that the process is the same for mediator lists and ranking.

Hearings

The **Hearings** tab shows the hearings that are scheduled or have already been held for the case. You can also view the address and phone number for a hearing location. The Hearings page also provides information about which arbitrators and FINRA staff attended a particular hearing. Click on the green plus sign to see details about the location, call in number for a conference call, or Zoom meeting information for a video conference.

- Messages (3)
- Details
- Pleadings
- Deficiencies
- List Selection
- Hearings
- Scheduling
- Documents (3)
- Drafts & Submissions
- Users

Arbitration Hearings

Date	Time	Type	Required Attendee(s)	Location	Hearing Format	Sessions	Status	Attended Hearing
06/22/2021	09:30 AM EST	Pre-hearing conference	Parties + Full Panel	+ Conference Call... + Zoom Meeting ...	Telephonic, Video	1	Open	FINRA: Arthur Baumgartner
06/21/2021	09:00 AM EST	Pre-hearing conference	Parties + Full Panel	+ Conference Call... + Zoom Meeting ...	Telephonic To be Recorded	1	Open	FINRA: Arthur Baumgartner
Hearing Purpose: Re: Motion to Dismiss								
Hearing Instructions: Please join five minutes prior to the hearing start time.								
06/18/2021	09:00 AM EST	Regular Hearing	Parties + Full Panel	+ Conference Call... + Zoom Meeting ... + FINRA Dispute Resolution...	Video, In Person To be Recorded	2	Open	FINRA: Arthur Baumgartner
Hearing Purpose: Regular hearing five days								
Hearing Instructions: Call into hearing five minutes prior to start.								

The “Hearing Purpose” and “Hearing Instructions” may be displayed underneath each hearing. Also, the “Hearing Format” column indicates whether the hearing is being held by teleconference, video conference, or in person and whether this hearing needs to be recorded.

If the hearing will be held by Zoom video conference, you can expand the “Zoom Meeting” section to see the Zoom details, including a button to take you straight to the meeting, and a link to download the Zoom meeting details to your personal calendar.

06/21/2021 09:00 AM EST Pre-hearing conference Parties + Full Panel + Conference Call... - Zoom Meeting ... Telephonic To be Recorded 1 Open FINRA: Arthur Baumgartner

Meeting ID: 384
 Meeting Password: 187
 US Toll Phone and Password: +1-646-931-... \, \, 384; ... #
 Password: 187 ... #
 US Toll Free Phone and Password: +1-833-445-... \, \, 384; ... #
 Password: 187 ... #

[Go to Zoom Meeting](#)

[Add to Calendar](#)

Scheduling

The **Scheduling** tab provides a collaborative tool that allows the participant representatives and neutrals to find mutually agreeable dates for scheduling (or rescheduling) arbitration hearings or mediation sessions.

When a hearing or session needs to be scheduled or rescheduled, FINRA staff will propose a range of dates by creating a “scheduling poll.” When FINRA staff displays a poll on the DR Portal, each of the required attendees will receive an email notification telling them to come to the DR Portal to complete the poll by providing their availability.

Click on the Poll ID to open the poll.

Messages (2) Details Pleadings Deficiencies List Selection Hearings **Scheduling** Documents (2) Drafts & Submissions Users

Arbitration Hearing Scheduling Polls
 Please click on the Poll ID to update your schedule for the associated hearing poll.

Poll ID	Hearing Type	Hearing Format	From Date	To Date	Due Date	Time Zone	Number of Days to Schedule	Poll Recipients
13051	Pre-hearing conference	Telephonic, Video	2/1/2021	2/5/2021	1/29/2021	Eastern Time Zone	1	Parties+Chair

For each date, enter your availability. Each proposed date defaults to “Not Available”. You can also enter a comment in the box by clicking on the green plus sign. Once you are finished, press the **Submit** button at the bottom of the poll. Your entries and comments will be immediately viewable by every other attendee on the case, as well as by FINRA DRS staff.

Arbitration Hearing Scheduling Polls

Poll ID: 13149

Please provide your availability no later than **5/27/2022** in the scheduling poll below.**Reschedule PHC.**

Provide your availability for each proposed date using the dropdown. You can add a comment for a specific date by clicking the plus sign (+). For example, if you are available in the afternoon starting at 1:00pm, select "Available PM", click the plus sign, and enter "Starting at 1:00pm" in the comment box. You can edit your comment by clicking the pencil next to your comment."

Date (Eastern Time Zone)	James (Respondent)	John (Claimant)
6/1/2022	Not Available +	
6/2/2022	Not Available +	
6/3/2022	Not Available +	
6/6/2022	Not Available +	



You can come back to the poll to make changes and update your comments to try and reach consensus on acceptable dates, all without having to speak in person. Press **Submit** after you make changes so that other attendees can see your latest updates.

Note that the process is the same for mediation Scheduling Polls.

Documents

The **Documents** tab shows a list of documents contained in the case file that have been made available for viewing through the portal. This includes documents you submitted to FINRA as well as documents published by FINRA staff to the portal. The blue number in parentheses on the tab indicates the number of unopened documents. The Sent By column shows who posted the document. If it was submitted by another participant and they used the "serve attachments" feature, the representative's name will be shown here. If it was posted by FINRA, it will show "FINRA DR." If a series of documents were published to the portal together in a single Subject, the Documents column will show "+ Document List." Click on the plus sign to expand the list and see the individual documents. Click on a document to view it.

There is an "Expand All" link in the Documents column heading. Clicking this link will display the list of documents contained in all of the Subjects on the page.

There is also a **Create Merged File** button that will create a single PDF containing all of the documents in the Subject, complete with a cover page listing the documents and a separator page between each individual document. When using the Create Merged File button, a message is sent to you with a link to retrieve the compiled list of documents. This link expires after three days. To avoid confusion, these Download Document messages are automatically deleted after three days, since the link contained in them will no longer work. After that, you will need to click on the Create Merged File button again to get a new link.

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Note: documents in the DR Portal are saved as Adobe PDF files. Make sure you have the latest version of Adobe Acrobat Reader installed on your computer to avoid problems opening the files. You MUST disable your pop-up blocker to view the documents.

The screenshot shows the 'Documents' tab in the portal. At the top, there are navigation tabs: Messages (5), Details, Pleadings, Deficiencies, List Selection, Hearings, Scheduling, Documents (4), Drafts & Submissions, Fees, and Users. Below these is a 'Documents' section with a header: 'In the Documents column, click "Expand All" in the column header, to see the list of documents for t'. The main table has columns: Subject, Portal Posted Date, Documents (File Date), Expand All, and Sent By. The first row is 'FINRA Correspondence' with date '03/16/2022' and document 'List Cover Letter.pdf (07/07/2021)' sent by 'FINRA DR'. The second row is 'Submitted Documents by Party' with date '02/28/2022', a green plus sign, a 'Document List', and a 'CREATE MERGED FILE' button. Below this are two documents: 'Party Case Submission Form for Tracking Number DR0 089699.pdf (02/28/2022)' and 'Statement of Answer - Copy.pdf (02/28/2022)', sent by 'James'. The third row is another 'Submitted Documents by Party' entry with date '02/28/2022', a green plus sign, a 'Document List', and 'James'. Red callout boxes with arrows point to: 'Expand All' (text: 'Click on "Expand All" to show all documents'), the 'CREATE MERGED FILE' button (text: 'Click on "Create Merged File" to create a single PDF containing all of the documents in this Subject'), the green plus sign (text: 'Click on green "plus sign" to expand list of documents'), and the first document title (text: 'Click on document to open').

ADVANCED TIP: Portal Contacts and Secondary Contacts (see “User Management” later in this Guide) receive an automated email whenever activity occurs on one of your cases. Each type of automated email has a small, identifying code word at the bottom. For example, when FINRA publishes a document on the portal for one of your arbitration cases, the automated email will include the code word “PUBADOC” at the bottom of the email. You can create “rules” in your email system to look for these code words on incoming email to automatically route the emails as you desire. Be sure that FINRA emails are not being stopped by any email spam blockers you may have.

Drafts & Submissions

The **Drafts & Submissions** tab contains a list of submissions you are currently drafting or have already sent to FINRA. Aside from arbitrator rankings that are submitted under the List Selection tab, all case-related document submissions are made through this tab.

Note: Non-party case participants do not submit arbitrator rankings.

Note: This tab displays the case-related submissions made by you to FINRA when you pressed the “Submit” button. This tab will only display your personal submissions. It will not, for example, show submissions made by a secondary contact that you have invited to assist you on the case (secondary contacts cannot see your submissions in their Drafts & Submissions tab either.) The “Documents” tab, however, displays a copy of all documents posted to the DR Portal, including those submitted by the secondary contacts that you have invited.

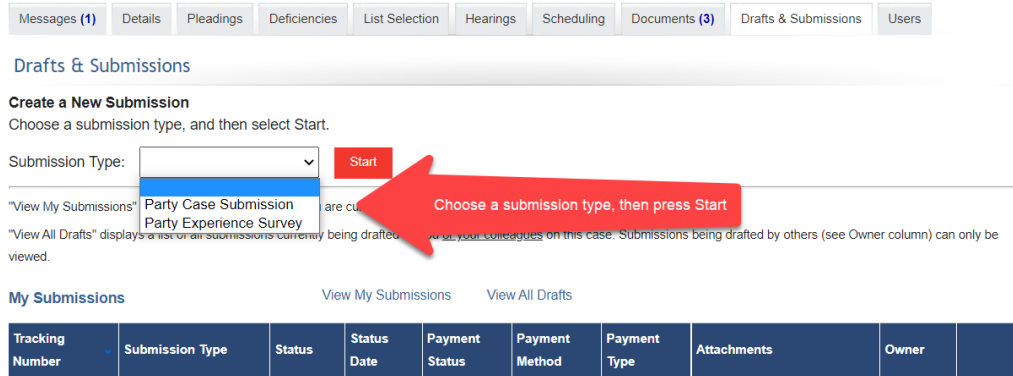
To view documents already submitted to FINRA or to continue working on a draft submission, select the associated Tracking Number. Select “Delete” to delete a draft submission.

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Submitting Case Documents

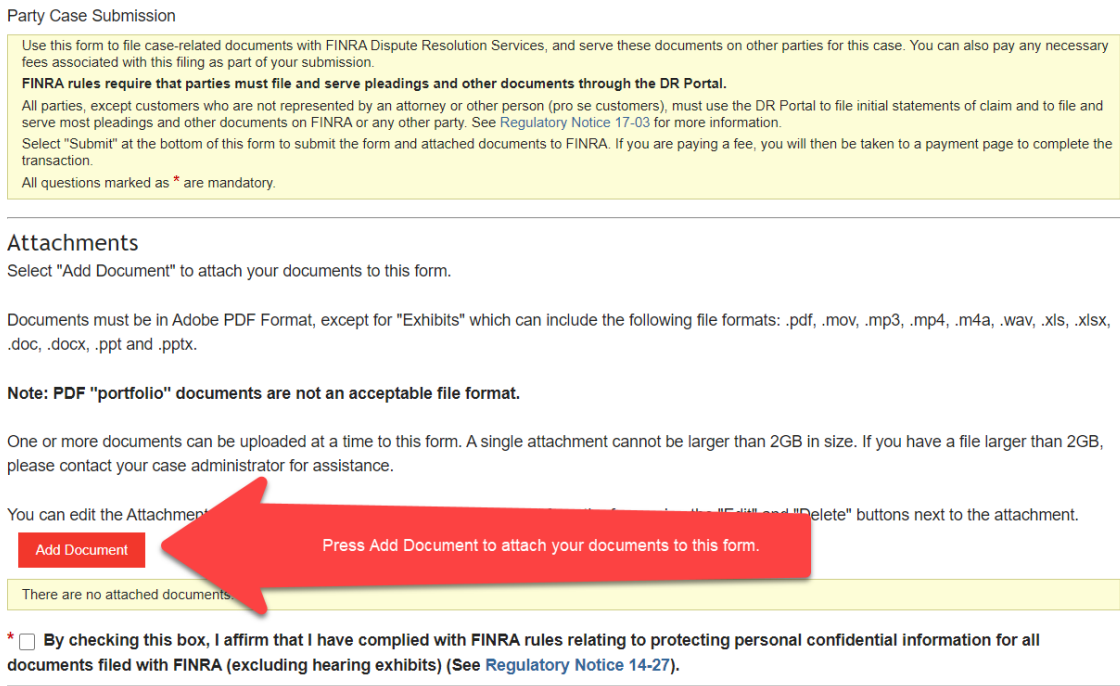
To submit case-related documents to FINRA, follow these steps:

1. Select “Party Case Submission” in the Submission Type dropdown and then press the red **Start** button to begin a new submission. The selected form will be displayed.



Note: Non-party case participants also use the “Party Case Submission” form to submit documents.

2. On the Party Case Submission form, press the red **Add Document** button to attach documents from your computer to the form.



3. Select the “Attachment Type” from the dropdown menu that describes the documents you are submitting.

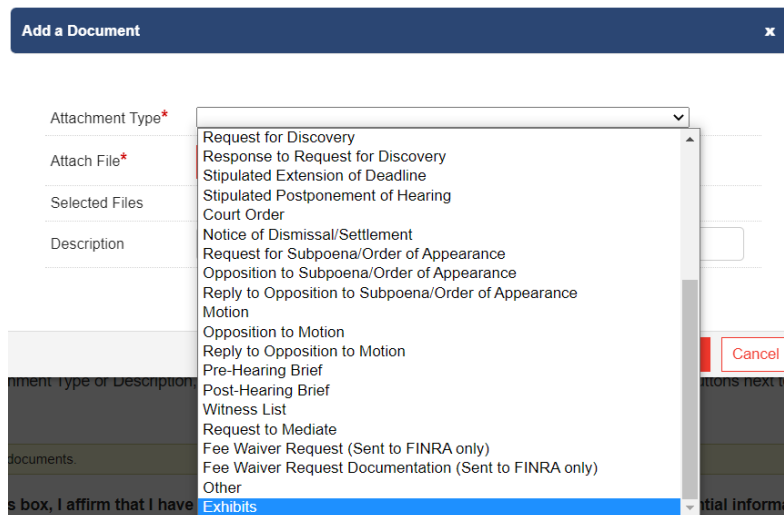
Hearing Exhibits Required for Special Proceeding Cases:

- ✓ Hearing exhibits must be provided to the arbitrator prior to the Special Proceeding arbitration hearing.
- ✓ Select the Attachment Type of “Exhibits”, and then enter “hearing exhibits” in the Description field.
- ✓ Parties should organize their PDF hearing exhibits in a single text-searchable PDF file that contains a Table of Contents labeling each hearing exhibit and corresponding page number for each exhibit the party plans to introduce at the arbitration hearing.
- ✓ Note, however, that a single attachment cannot be larger than 2 GB in size (and this will take a long time to upload). If your combined file would be larger than this, please submit as separate files as needed.

You are permitted to submit hearing exhibits in a variety of file formats, including spreadsheets and audio files. Specifically, files that have the following file extensions: .pdf, .mov, .mp3, .mp4, .m4a, .wav, .xls, .xlsx, .doc, .docx, .ppt, .pptx.

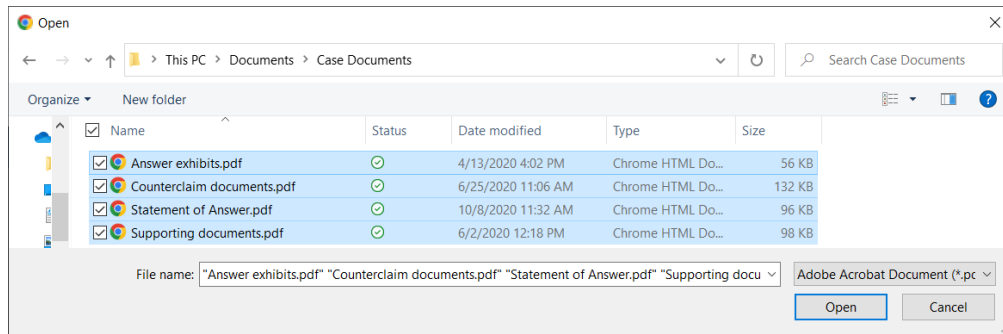
To do this, you MUST select the Attachment Type of “Exhibits” on the Party Case Submission form. File types other than PDF are ONLY permitted for exhibits. For all other attachment types, PDF is still the only permitted file type.

DO NOT submit PDF “Portfolio” documents. Only “standard” PDF documents are acceptable.



4. Press the **Choose Files** button to select the documents of your selected type that you wish to submit. Find the file(s) on your computer and select them.

You can select multiple files to attach at one time. All of the selected documents will have your selected Attachment Type associated with them, but you can edit the attachment type for any attached file afterward.



5. Enter a brief description of the document(s) in the Description field.

6. Press the **Add Document** button. Your documents are added to the list of attached documents to send to FINRA. You can edit the Attachment Type or Description by clicking on the **Edit** link, or remove the attachment from the form entirely by clicking on the **Delete** link. You can also click on the file name to see the file you attached.

Attachments

Select "Add Document" to attach your documents to this form.

Documents must be in Adobe PDF Format, except for "Exhibits" which can include the following file formats: .pdf, .mov, .mp3, .mp4, .m4a, .wav, .xls, .xlsx, .doc, .docx, .ppt and .pptx.

Note: PDF "portfolio" documents are not an acceptable file format.

One or more documents can be uploaded at a time to this form. If you have a file larger than 2GB, please contact your case administrator for assistance.

You can edit the Attachment Type or Description, or remove an attachment by clicking on the Edit or Delete links next to the attachment.

Add Document

Your documents are added to the list of documents to send to FINRA. If you want to change the attachment type or description of a particular file, press the Edit link.

Attachment Type	File	Description		
Statement of Answer that includes Cross, Counter, or 3rd Party Claim	Answer exhibits.pdf	Statement of Answer with counter claim	Edit	Delete
Statement of Answer that includes Cross, Counter, or 3rd Party Claim	Counterclaim documents.pdf	Statement of Answer with counter claim	Edit	Delete
Statement of Answer that includes Cross, Counter, or 3rd Party Claim	Statement of Answer.pdf	Statement of Answer with counter claim	Edit	Delete
Statement of Answer that includes Cross, Counter, or 3rd Party Claim	Supporting documents.pdf	Statement of Answer with counter claim	Edit	Delete

By checking this box, I affirm that I have complied with FINRA rules relating to protecting personal confidential information in documents filed with FINRA (See [Regulatory Notice 14-27](#)).

Note: Please combine related documents (e.g., a series of exhibits) into a single text-searchable PDF attachment and select the appropriate Attachment Type. Note, however, that a single attachment cannot be larger than 2 GB in size (and this will take a long time to upload). If your combined file would be larger than this, please submit as separate files. Unrelated documents should be submitted as separate attachments by selecting the appropriate attachment type for each.

DO NOT submit PDF “Portfolio” documents. Only “standard” PDF documents are acceptable.

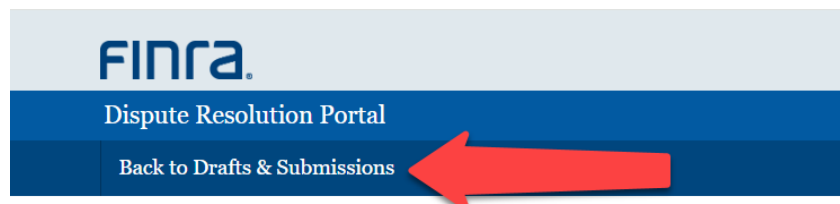
7. Check the box affirming that you have complied with FINRA rules relating to the protection of personal confidential information (PCI).
8. Some filings require the payment of fees. In the “Fees” section, specify if your filing requires the payment of fees, and if you will be paying as part of the submission or requesting a waiver of the fees. If you are making a payment, provide the payment amount and the name of the party that should receive credit for the payment.

Note: The Party Case Submission form will not have a “Fees” section when used by a non-party case participant.

9. If you are serving your submitted documents on the other participants to this case, select the “Serve Attachments on ALL Parties in This Case” button, along with the affirmation checkbox. Otherwise, select the “Do NOT Serve Attachments on Any Parties in This Case” button and its associated affirmation checkbox.

Note: For non-party case participants, if you select the “Serve Attachments on ALL Parties in This Case” option for your submission, the documents will be sent to the other case participants through the Portal.

10. Press the **Submit** button to file your submission. A few seconds after you press Submit, the form will automatically close and you will be returned to the Drafts & Submissions tab. If you are paying fees associated with this filing, you will first be taken to the Payment page to complete the transaction. Shortly after you pay, you will receive a separate email confirmation regarding the payment.
11. Alternatively, you can press the **Save Draft** button to save your draft and return to it later. To leave the draft form, press the “Back to Drafts & Submissions” link at the top of the page. If you instead press the **Cancel** button, your draft form will not be saved and you will be returned to the Drafts & Submissions tab.



Shared Draft Submissions

Your Party Case Submission form drafts are automatically shared between the Portal Contact and their associated Secondary Contacts on the case. Clicking on “View All Drafts” will let you see the case submission forms currently being drafted by you and your co-workers on the case. The “Owner” column lets you know who owns each draft. Clicking on the Tracking Number of a draft owned by a co-worker will open a read-only version for viewing. You can also click on the attachments to see what documents are currently attached. Clicking on “View My Submissions” will change the page back to displaying just your own personal drafts and your submitted forms. There is no way to collaborate within the shared draft itself, you must communicate with each other directly.

Messages (5) Details Pleadings Deficiencies List Selection Hearings Scheduling Documents (4) Drafts & Submissions Fees Users

Drafts & Submissions

Create a New Submission
Choose a submission type, and then select Start.

Submission Type:

"View My Submissions" displays a list of submissions you are currently drafting or have already sent to FINRA
"View All Drafts" displays a list of all submissions currently being drafted by you or your colleagues on this case. Submissions being drafted by others (see Owner column) can only be viewed.

All Drafts View My Submissions View All Drafts

Tracking Number	Submission Type	Status	Status Date	Payment Status	Payment Method	Payment Type	Attachments	Owner	
DR0087819	Party Case Submission	Draft	08/04/2021				Statement of Claim.pdf	James	Delete

Note: A red callout box points to the "View All Drafts" link, stating: "Clicking 'View All Drafts' displays your draft forms as well as current drafts of your co-workers. The owner of the draft is displayed under 'Owner'."

To exit viewing a co-worker’s draft, click on “Back to Drafts & Submissions” at the top of the page.

Go to Neutral Portal | FINRA.org | Help | Sign Out
Welcome James

FINRA
Dispute Resolution Portal

[Back to Drafts & Submissions](#) *Exit this view by clicking here.*

This submission is being displayed read-only. It is being shared by Manny Jimenez

21-00019 Manny Jimenez vs. J. and Company, Inc.

Party Case Submission

Use this form to file case-related documents with FINRA Dispute Resolution Services, and serve these documents on other parties for this case. You can also pay any necessary fees associated with this filing as part of your submission.
NOTE: For all arbitration cases filed on or after April 3, 2017, FINRA rules require that parties must file and serve pleadings and other documents through the DR Portal.
All parties, except customers who are not represented by an attorney or other person (pro se customers), must use the DR Portal to file initial statements of claim and to file and serve most pleadings and other documents on FINRA or any other party. See Regulatory Notice 17-03 for more information.
Select "Submit" at the bottom of this form to submit the form and attached documents to FINRA. If you are paying a fee, you will then be taken to a payment page to complete the transaction.
All questions marked as * are mandatory.

Attachments
Select "Add Document" to attach your documents, one at a time, to this form. Only documents in Adobe PDF format are acceptable. You can edit the Attachment Type or Description, or remove an attachment from the form using the "Edit" and "Delete" buttons next to the attachment. Please combine related documents (e.g., a series of exhibits) into a single **text-searchable** PDF and select the appropriate Attachment Type. Note, however, that a single attachment cannot be larger than 2 GB in size. If your combined file would be larger than this, please submit as separate files.

Attachment Type	File	Description
Bankruptcy Notice	7th Document.pdf	Test Draft

Document Service

For all arbitration cases filed on or after April 3, 2017, FINRA rules require that parties must file and serve pleadings and other documents through the DR Portal. All parties, except customers who are not represented by an attorney or other person (pro se customers), must use the DR Portal to serve most pleadings and other documents on FINRA or any other party.

Prior to this rule amendment, this feature was available in the portal, but it was called a “courtesy copy”, and you were still required to serve copies of filed documents directly on all parties to the case. For cases filed after April 3, 2017, this feature now constitutes actual service.

Note: For non-party case participants, if you chose the “Serve Attachments on ALL Parties in This Case” option for your submission, the documents will be sent to the other case participants through the Portal.

Service recipients will be notified of received documents via email as well as a message on their DR Portal. Recipients will be able see these documents in their "Documents" tab for the associated case within minutes of your submission. You will receive a confirmation email listing the party representatives that did and did not receive your service submission so that you have a record and can take appropriate action.


TIP: Some documents (such fee waiver requests) are NOT sent to other parties even if you accidentally select the “Serve Attachments...” option on your submission. However, this depends upon you choosing one of the “Fee Waiver Request...” attachment types when attaching these documents. It would be safer to select the “Do NOT Serve Attachments...” option when sending these types of documents.

For example, if you attach a fee waiver request, but incorrectly select an attachment type of “Other”, and then select the “Serve Attachments to ALL Parties in This Case” option, your fee waiver request WILL be sent to other parties on the case.

IMPORTANT: Be aware that a representative may not yet be registered for the portal on a particular case. If so, they will NOT receive any notice of the document and cannot see it in the portal. You can identify which party representatives are not yet registered by looking for the yellow exclamation mark symbol on the “Details” tab of the case.

Messages | Details | Pleadings | Deficiencies | List Selection | Hearings | Scheduling | Documents | Drafts & Submissions | Users


Arbitrators
 Arbitrators have not been assigned to this case.

Arbitration Parties
 indicates that a party is not a DR Portal user.

Claimants

Party	CRD #	Agreement Date	Type	Class	Status	Represented By
Jane Customer			Individual	Customer	Active	+ Mr. James Schroder

Respondents

Party	CRD #	Agreement Date	Type	Class	Status	Represented By
XYZ Brokerage Inc			Unknown Party Type	Non-Member	Active	+ Corporate Office 

After you click on **Submit**, you should receive a confirmation on your screen that your form was submitted successfully and you will receive a confirmation email. If your submission included payment, you will first be taken to the Payment page to complete the transaction. Shortly after you pay, you will receive a separate email confirmation regarding the payment.

You will see your submitted form in your list, with a Tracking Number and a status of Submitted. You can also click on your attachments to verify what you sent.

Drafts & Submissions

This page contains a list of submissions you are currently drafting or have already sent to FINRA. To view documents already submitted to FINRA or to continue working on a draft submission, select the associated Tracking Number. Select "Delete" to delete a draft submission.

Create a New Submission

To submit a document for this case, select Start: Start

Click on the column label to sort the list by that column. Click again to reverse the sort order. Click on a Tracking Number to open the associated submission form.

Tracking Number	Submission Type	Status	Status Date	Payment Status	Payment Method	Payment Type	Attachments
DR0005592	Party Case Submission	Submitted	03/22/2017	Paid	Online	Credit Card	Submission Agreement from Jack Customer.pdf
DR0005582	Party Case Submission	Draft	03/21/2017				Statement of Answer from BBB Brokerage.pdf Delete

Submitting a Party Experience Survey

You will be reminded to complete the Party Experience Survey after the case closes. To submit this form, follow these steps:

Note: Non-party case participants do not have access to the Party Experience Survey.

1. Choose "Party Experience Survey" on the Submission Type dropdown, and then press the red **Start** button. The form will be displayed.

- Complete all sections of the form, and then press the **Submit** button. The form will be submitted to FINRA DR. You will be automatically returned to the Drafts & Submissions tab.
- If you wish to view your submitted survey, you can click on the Tracking Number next to the submitted form. This will open a PDF document of your submission.

Case Fees

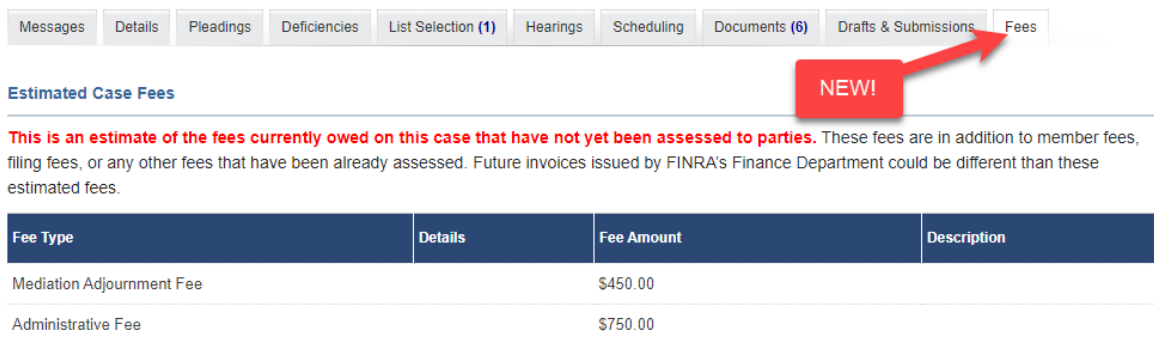
The **Fees** tab displays the case fees that have been assessed and payments that have been credited to parties that you are associated with, as well as other accumulated accrued fees for case activities have not yet been invoiced.

Note: Non-party case participants will not have the Fees tab on their case.

Estimated Case Fees

This section displays an estimate of the fees currently owed on this case that have not yet been assessed to individual parties. Once these fees are allocated to specific parties and an invoice is issued by FINRA's Finance Department, the final amounts may be different than these estimates. Once the fee is allocated to the party(ies), the estimated fee will be removed from this section and it will be displayed under the Assessed Fees and Payments section for the assessed party.

Note: Estimated Case Fees is a new feature for the DR Portal and is only available for cases filed on or after June 4, 2022. Cases filed before this date will display the assessed fees and payments (see below), but not any estimated case fees.



Messages Details Pleadings Deficiencies List Selection (1) Hearings Scheduling Documents (6) Drafts & Submissions **Fees**

Estimated Case Fees

This is an estimate of the fees currently owed on this case that have not yet been assessed to parties. These fees are in addition to member fees, filing fees, or any other fees that have been already assessed. Future invoices issued by FINRA's Finance Department could be different than these estimated fees.

Fee Type	Details	Fee Amount	Description
Mediation Adjournment Fee		\$450.00	
Administrative Fee		\$750.00	

Assessed Fees and Payments

This section displays the fees that have already been assessed and payments that have been credited to parties you are associated with. If you have not yet received an invoice from FINRA Finance for these fees, you should soon. Only parties that have fees assessed against them or were credited with payments will be listed in this section. You can see the complete list of your associated parties on the Details tab of the case.

Assessed Fees and Payments

The following parties that you are associated with have already been assessed fees or have made payments. Click "Expand All" in the column header or click the plus sign (+) next to a party name to see the details for that party.

Party	Type	Class	Status	
- Credit Securities (USA) LLC	Corporation	Member	Active	
Assessed Fees (as of 05/23/2022)				
Date	Fee Type	Fee Amount	Invoice Number	Invoice Date
11/09/2016	Member Surcharge Fee	\$1,900.00	MTX268706	11/30/2016
12/30/2016	Member Process Fee	\$3,750.00	MTX271806	12/31/2016
Total Fee Assessed		\$5,650.00		
Payments (as of 05/23/2022)				
Date	Amount	Check Number		
01/23/2017	(\$3,750.00)	A012		
04/14/2021	(\$1,725.00)	CDR		
04/14/2021	(\$825.00)	CDR		

User Management

The participant representative that used the case invitation email to register for the case is called the **"Portal Contact."** They are also sometimes called "primary contacts" by FINRA Dispute Resolution Services staff.

Note that the "Portal Contact" does not have to be the same person as the actual representative (i.e., as provided in a notice of appearance.) If the link in the DR Portal invitation email was used by someone other than the representative, that person becomes the "Portal Contact" with regard to DR Portal work for the case. This does not, however, change who is named as the representative.

It is permitted for the representative to delegate the role of Portal Contact for DR Portal work, but the representative is responsible for all submissions made.

Inviting Others to Your Case

The **Users** tab allows a Portal Contact to grant access to the DR Portal to another individual for a particular case by sending an invitation. Invited individuals are sometimes called "Secondary Contacts" in the system or by FINRA Dispute Resolution Services staff.

Messages (7) Details Pleadings Deficiencies List Selection (2) Hearings Scheduling Documents (5) Drafts & Submissions Users

Note: For security purposes, the recipient of this invitation will be asked for the Case ID of this case in order to register. Make sure they know to expect this invitation and provide them with the Case ID.

Invite New User to this Case

E-mail Description Access

Manage Current User Access for this Case

Name	Invited E-mail	Description	Registered E-mail	Registered	Access Level	
Pamela Ski	pamela.ski	Other	pamela.ski	pskinn	Full	Update Re-invite
		Other		No	Full Read	Update Re-invite

Annotations:

- Invite secondary contact here (points to E-mail field)
- Set their access level here (points to Access dropdown)
- Then click here to send invitation (points to Send Invitation button)
- See current secondary contacts for this case here (points to table)
- This person is invited but not yet registered. (points to 'No' in Registered column)

Invite New User to this Case lets the Portal Contact invite anyone they choose (such as support staff) to the case by entering the email address, a basic description, an access level, and then pressing the **Send Invitation** button.

Note: You should not send an invitation to yourself from this page. If you invite yourself and use that invitation, you will become a Secondary Contact on this case and no one will remain as the Portal Contact. This means that no one will have the ability to invite others from that point on. Correcting this situation will require assistance from Dispute Resolution staff.

ADVANCED TIP: You can enter more than one email address in the “E-mail” box. This will send multiple invitations at one time. Separate each email address with a comma or semi-colon.

The invited individual will receive an email invitation with the subject line, **“FINRA Dispute Resolution Portal – New Case Invitation”** containing a special link that will grant them the ability to register to the specific case in the DR Portal. Individuals need to be invited to each case that the Portal Contact wishes them to access. Once registered, the Secondary Contact can just log in to the DR Portal; they do not use the invitation email again.

IMPORTANT: You should notify the invitee that you will be inviting them and provide them with the Case ID. As a security measure, this information is intentionally not included in the invitation email.

Access Levels

You can set the invitee’s access to various levels:

- **Full** lets the invitee do anything the Portal Contact can do on this case, except for inviting other Secondary Contacts (only the Portal Contact has access to the Users tab).

- **Full Read** gives access to all of the case tabs, but it is for reading only; the invitee cannot submit documents, enter arbitrator ranks or strikes, or enter scheduling information.
- **Basic** only gives the high-level information about the case; they cannot access the row of tabs (Case Details, Pleadings, etc.)

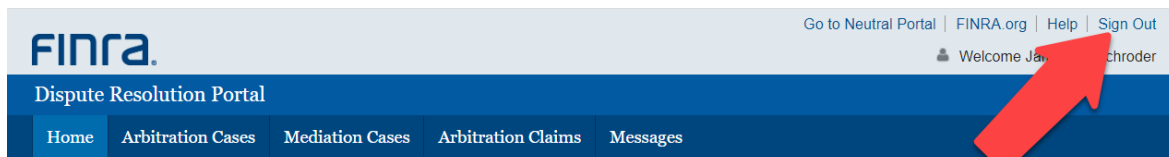
Manage Current User Access for this Case lets the Portal Contact change or remove access to previously invited individuals (Secondary Contacts), or to re-invite individuals if they lost or deleted the invitation email. To remove access for a previously invited user, just change their access level to “None” and click on the “Update” link. The invited user will no longer see this case when they log into the Portal.

IMPORTANT NOTE: The representative accepts all responsibility for the individuals they invite to maintain the confidentiality of case information, and for removing access when the invitee no longer requires access to the case. This can be done by setting their Access Level to “None”.

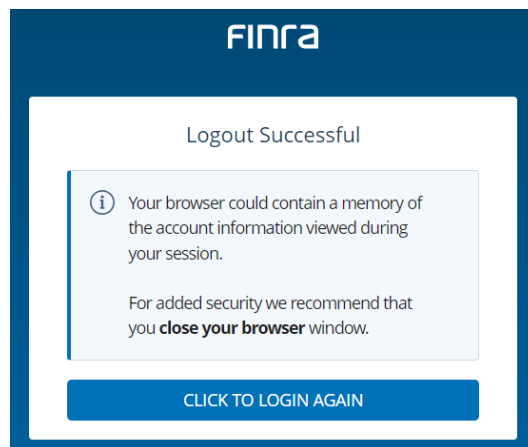
If you have invited someone to be a Secondary Contact for many of your cases and need to remove their access from them all (perhaps because they no longer work with you), please contact the Portal Help Desk at claimhelp@finra.org or call (800) 700-7065 for help removing their access all at one time.

Log Out of the Portal

You can log out of the DR Portal by clicking on the “**Sign Out**” link in the top right corner.



Once you click the “**Sign-Out**” link you will receive confirmation that your Logout was successful.

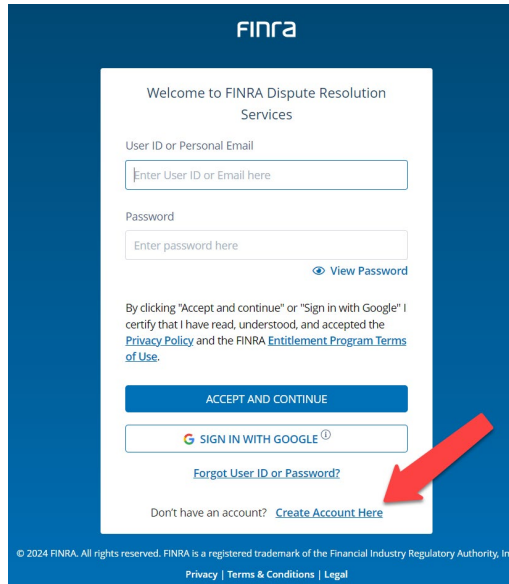


Additional Help and Providing Feedback

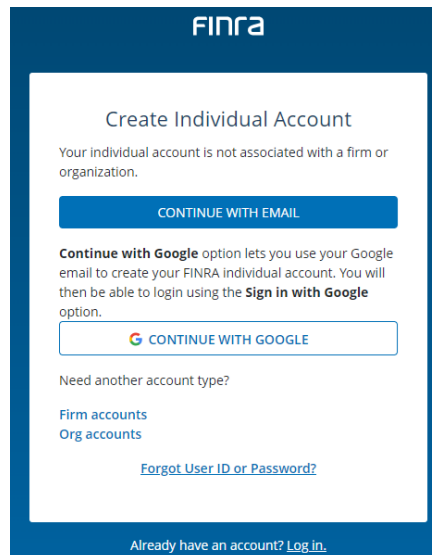
- If you have any questions about the DR Portal, please send an email to claimhelp@finra.org.
- Do NOT reply to the automated emails you receive from drportal@finra.org; these emails are not monitored.
- If you experience any difficulties creating your account or logging into the DR Portal, please contact the FINRA Call Center at **(301) 590-6500**.
- If you experience technical difficulties using the DR Portal other than issues logging in, please contact the DR Portal Help Desk at **(800) 700-7065**.
- You can find the FAQ and some how-to videos in the **Resources** section of this page: <https://www.finra.org/arbitration-mediation/dr-portal>
- If you have any suggestions for improvements you would like to see made to the DR Portal, please send your suggestions to drportalfeedback@finra.org.

Appendix A: Creating a DR Portal Account

1. Click on **“Create Account Here”** to create a new account.



2. Click on **“Continue with Email”**. Alternatively, if you are using a Google Gmail email address with your Portal account, you can choose the **“Continue with Google”** option. This will let you log into the Portal using your Google credentials. Once set up, if you are already logged into Google, you will be taken directly into the Portal. For more information regarding the Sign in with Google option, go here: <https://www.finra.org/filing-reporting/entitlement/social-login>



If you use **“Continue with Email”** now, you can link your Gmail account to your Portal account later. The following steps assume that you are choosing the **“Continue with Email”** option.

3. Enter the registration information. After you enter your first and last name, you can click on “Generate User ID” to create a User ID, or you can make up your own User ID (letters and numbers only; an email address cannot be used as your User ID). The email address that you provide in the “Primary Email” field in this initial registration form should be the email address that you provide with any case-related submissions to FINRA. Check the “I’m not a robot” checkbox, and then click on “Accept and Continue”.


FINRA

Create Account

* indicates required field.

First Name * Last Name *

Primary Email * User ID * [Generate User ID](#)

I'm not a robot  [Privacy](#) - [Terms](#)

By clicking "Accept and continue" I certify that I have read, understood, and accepted the [Privacy Policy](#) and the [FINRA Entitlement Program Terms of Use](#).

ACCEPT AND CONTINUE

Already have an account? [Log in.](#)

Note: you cannot use a FINRA Firm account, Org account, or state CRD/IARD credentials on the DR Portal. You must create a separate account. If you attempt to log into the DR Portal with one of these other types of accounts, you will receive the following error message:



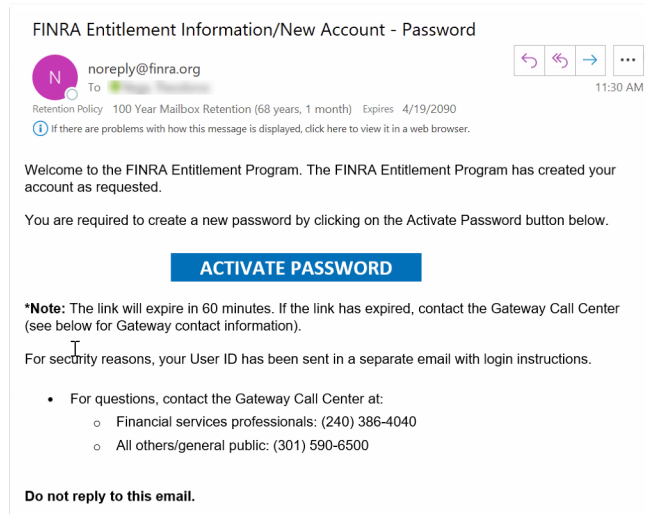
You only need one account to access all cases to which you are invited. You should NOT create a new account for each case you receive, and your account should use your unique email address. Do not use a “group mailbox” email address when creating an account.

Note: If you later need to update your email address, you will need to make this change by updating your account information using the “Change my Email” quick link menu option on the Homepage of the DR Portal. This change cannot be made by FINRA staff.

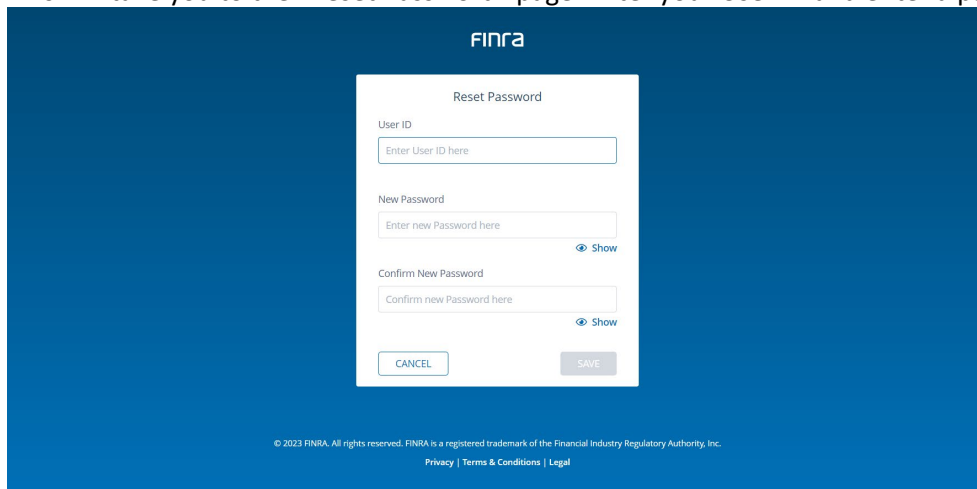
4. You will receive a “Registration Confirmation” with your User ID.



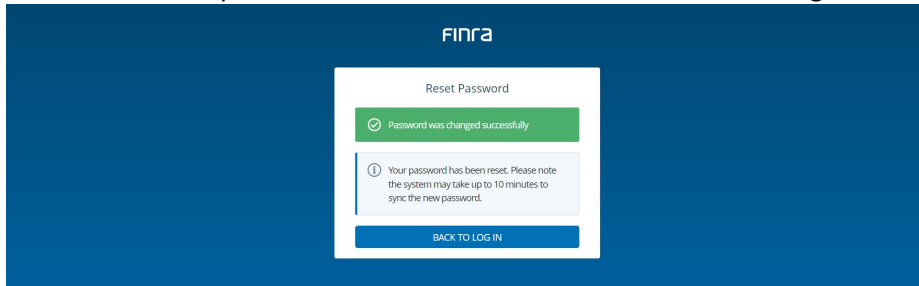
5. You will receive TWO emails: one confirms your account User ID, and the other provides a button to activate your password. Click on the “**ACTIVATE PASSWORD**” button in the second email.



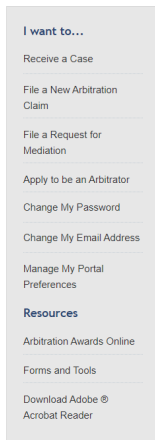
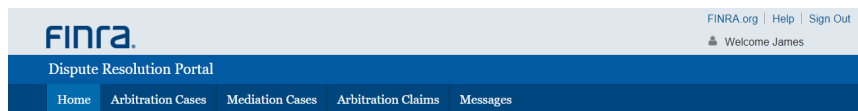
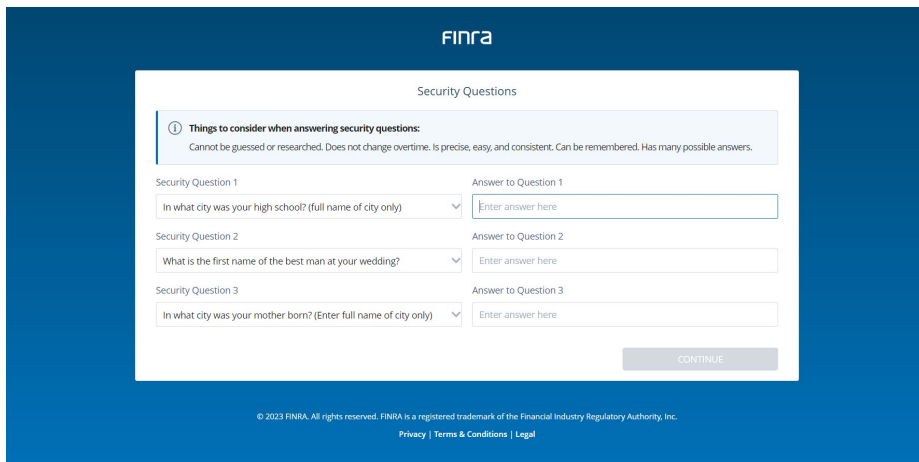
6. This will take you to the “Reset Password” page. Enter your User ID and enter a password.



7. You will receive a password reset confirmation. Click on “Back to Log In”.



8. Log in by entering your **new password**. The first time you log in you will be asked to choose three security questions and provide the answers. From time to time, the system may ask you one of these questions to confirm your identity. Once completed, you will be taken to the DR Portal.



Welcome to the DR Portal!

FINRA Dispute Resolution Services developed the DR Portal to facilitate the interactions between parties, neutrals and DR staff.

The DR Portal has two parts: one for arbitration and mediation case participants, and another for FINRA neutrals (arbitrators and mediators).

Your account is not currently associated with any arbitration or mediation cases or claims, nor is it associated with any known FINRA neutrals.

- If you are a FINRA arbitrator or mediator and need assistance, please contact the Department of Neutral Management at 212-858-3999, toll free at 855-209-1620 or email FINRADRNM@finra.org.
- If you wish to complete an application to become a FINRA arbitrator, select the “Apply to be an Arbitrator” link found in the left-hand menu.
- If you wish to file a new arbitration claim, select the “File a New Arbitration Claim” link found in the left-hand menu.
- Requests for Mediation are not currently part of the DR Portal, but if you wish to initiate a request, select the “File a Request for Mediation” link found in the left-hand menu.
- If you are a representative on an arbitration or mediation case and need assistance, please contact the Dispute Resolution staff member assigned to your case.
- You can find a detailed explanation of how the DR Portal works, as well as answers to frequently asked questions by selecting the Help link in the upper-right corner.

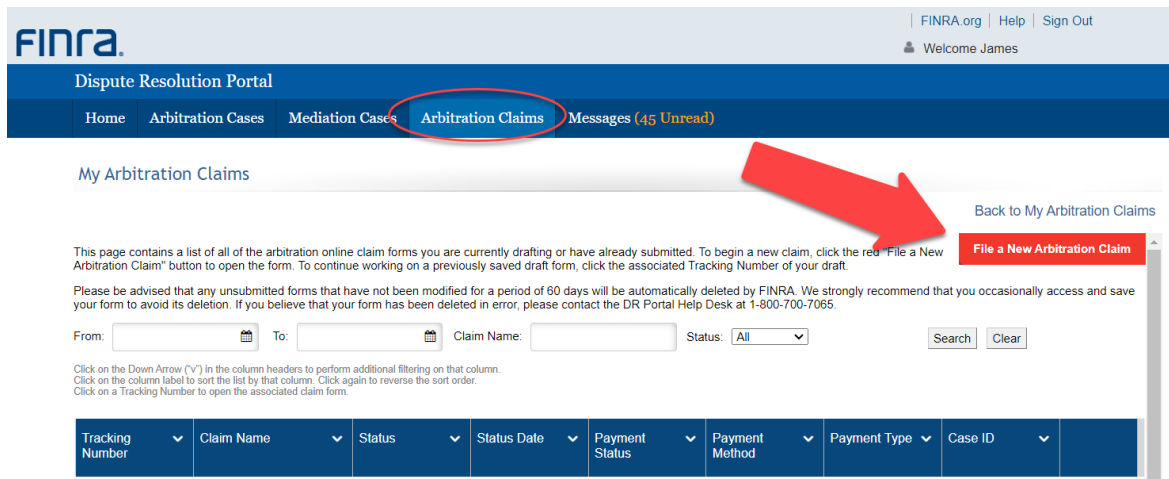
Note: As a security measure, FINRA passwords automatically expire after a set period of time. When this occurs, you will be asked to change your password when you are logging in. You cannot select a password that you used previously.

Appendix B: Completing the Online Claim Information Form

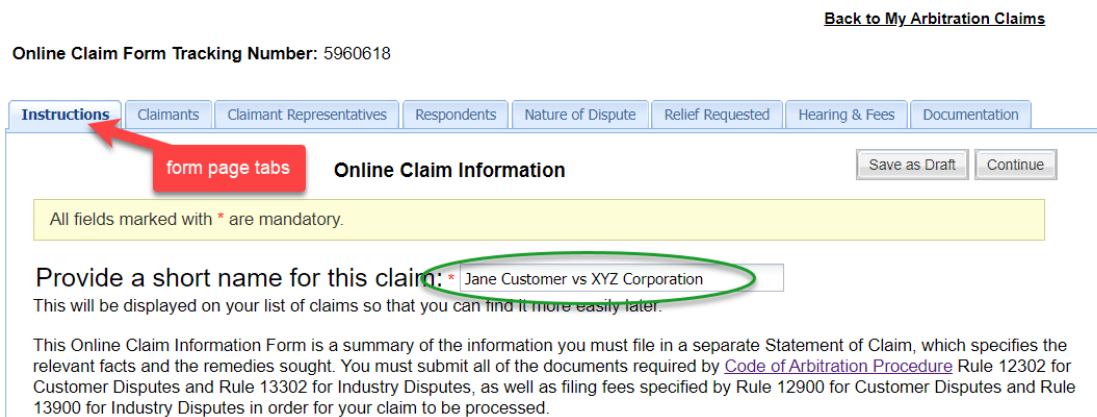
The Claim Information Form is a summary of the information contained in your Statement of Claim, which specifies the relevant facts and the remedies sought. This Claim Information Form is NOT a Statement of Claim. You must file all of the documents required by Code of Arbitration Procedure Rule 12302 for Customer Disputes and Rule 13302 for Industry Disputes, as well as filing fees specified by Rule 12900 for Customer Disputes and Rule 13900 for Industry Disputes in order for your claim to be processed.

Instructions

After creating a DR Portal account (see Appendix A) and logging into the DR Portal, click on the “Arbitration Claims” tab at the top. Then click on the “File a New Arbitration Claim” button.



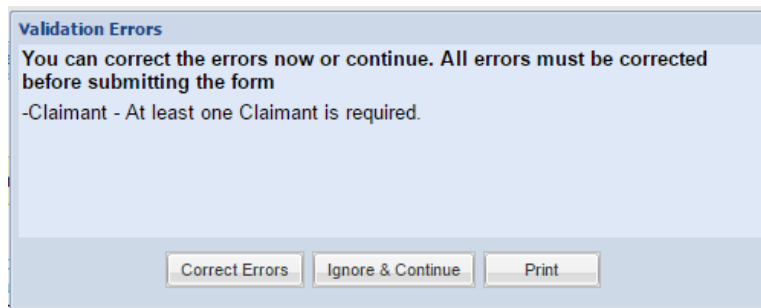
Provide a short name for your claim (e.g., the name of the claimant or respondent.) You will be able to see this name in your list of claims so that you can find it more easily later.



IMPORTANT NOTE: DO NOT use your browser’s “Back” and “Forward” buttons to move between pages of this form. The browser’s buttons do not properly save data when changing pages, nor do the form page tabs running along the top of the form. Instead, use the **Previous** or **Continue** buttons provided on each page. If you prefer

to use the form tabs to move between pages, press the **Save as Draft** button periodically. Failure to do this may lead to lost data that you will need to re-enter.

If you move between pages and you forget to complete a required field, you will receive an error message. You can press the **Correct Errors** button to return to the page, **Ignore & Continue** to ignore the error (for now) and move to the desired page, or **Print** to print out the error to save as a reminder.

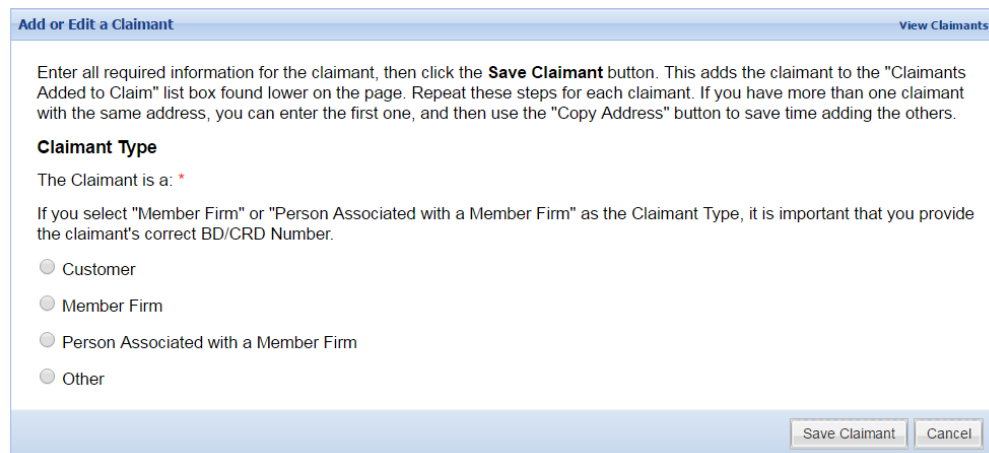


Validation Errors
You can correct the errors now or continue. All errors must be corrected before submitting the form
-Claimant - At least one Claimant is required.

Correct Errors Ignore & Continue Print

Claimants

A claimant is any individual or legal entity seeking relief. If you are claiming that another individual or firm has damaged you in some way, then **you** are the Claimant. In instances where there are multiple claimants of identical type and ownership (e.g., multiple IRA accounts owned by the same individual), treat all of the identical entities as one claimant. In instances where there are multiple claimants of identical type but different ownership (e.g. John Smith as owner of his individual accounts, John Smith as trustee for Jane Smith, etc.), treat each of the entities as different claimants.



Add or Edit a Claimant View Claimants

Enter all required information for the claimant, then click the **Save Claimant** button. This adds the claimant to the "Claimants Added to Claim" list box found lower on the page. Repeat these steps for each claimant. If you have more than one claimant with the same address, you can enter the first one, and then use the "Copy Address" button to save time adding the others.

Claimant Type

The Claimant is a: *

If you select "Member Firm" or "Person Associated with a Member Firm" as the Claimant Type, it is important that you provide the claimant's correct BD/CRD Number.

Customer
 Member Firm
 Person Associated with a Member Firm
 Other

Save Claimant Cancel

The Claimant is a: (Required)

Click on the radio button next to the type of claimant that you are entering:

Claimant Type	Description
Customer	A person or entity (not acting in the capacity of an associated person or member) that transacts business with any FINRA member firm or associated person.
Member Firm	The term "Member" means any broker or dealer admitted to membership in FINRA, whether or not the membership has been terminated or cancelled; and any broker or dealer admitted to membership in a self-regulatory organization that, with FINRA consent, has required its members to arbitrate pursuant to the Code and/or to be treated as members of FINRA for purposes of the Code, whether or not the membership has been terminated or cancelled.
Person Associated with a Member Firm (also known as an "Associated Person" or "AP")	An associated person is a natural person who is registered or has applied for registration under FINRA Rules; a sole proprietor, partner, officer, director, or branch manager of a member, or other natural person occupying a similar status or performing similar functions; or a natural person engaged in the investment banking or securities business who is directly or indirectly controlling or controlled by a member, whether or not any such person is registered or exempt from registration with FINRA.
Other	It is important that you only use "Other" after all attempts to look up a Member Firm or Associated Person on CRD have failed (see How to Perform a CRD Search below).

Further Describe The Claimant (Required for "Customer" or "Other")

If you selected a Claimant type of either "Customer" or "Other", you will be presented with a drop-down list box asking for additional descriptive information. Select the option that best describes the Claimant type from the choices in the drop-down list.

Note that only customer claimants of type "individual" and associated persons will be provided with the option to represent themselves (i.e., "pro se"). See **Claimant Represents Self** below.

Claimant Name (Required)

If you selected a Claimant type of either "Customer" or "Other", you will be required to enter the name of the Claimant.

If you selected a Claimant type of either "Member Firm" or "Person Associated with a Member Firm", you will provide the name by "searching" for the party in the CRD database. You must

either provide the claimant's FINRA Broker-Dealer ("BD") number or FINRA Central Registration Depository ("CRD") number respectively.

What is a BD Number/CRD Number?

FINRA gives each securities firm and each Associated Person (broker) a Broker-Dealer number (BD number) or Central Registration Depository number (CRD number) in the Central Registration Depository when they register with FINRA. Collectively, these numbers are sometimes called a CRD/BD number or BD/CRD number.

How to Perform a FINRA Member CRD Search

There are two methods of locating a Member on CRD:

Member Firm Look-Up

Search by Firm Name or Broker Dealer (BD) Number: *

Start typing the firm name or BD number in the search box above. If the firm is registered with FINRA, a list of matching entries will be displayed. Select the appropriate firm from the list and it will populate the boxes below. If you cannot find the firm by name or BD number, you will need to change the Claimant Type to "Other", which will allow you to enter the firm's information in the boxes below. Only select the Claimant Type of "Other" if you cannot find the firm.

NOTE: Whether you know the BD number or not, you should still be "searching" the CRD database in order to have the system add the party's information into the form.

If your search results in no names being returned, it is possible that you misspelled the name, or the name is stored in CRD with different punctuation from what you entered. Try searching again with fewer characters in your search. At least the first two letters must be entered, however.

TIP: Don't worry if the results of your search return some member firm names that seem completely different from the name you entered. CRD retains the names of firms prior to mergers and acquisitions, and typically returns the current (DBA) name of a firm that has had a name change.

TIP: If you are unsure which name is the correct one (perhaps there are several names that look similar or are identical), you can visit FINRA's Brokercheck website to see more information about each FINRA member firm.

<http://brokercheck.finra.org/>

How to Perform an Associated Person CRD Search

Searching for an Associated Person works the same way as searching for a member firm. See “How to Perform a FINRA Member CRD Search” above.

NOTE: The CRD lookup does **NOT** populate the address information for APs onto the form. The AP’s address will be determined by FINRA DRS after your claim is filed.

Current Mailing Address (Required)

Enter your current mailing address. If this is not the first claimant being entered, and the address you would enter is the same as another already entered claimant, you can click on the **Copy from Another Claimant** button to copy the address information from another claimant to the current one.

Residential Address at Time of Dispute (Required)

Enter your residential address at the time of the dispute. If your residential address at the time of the dispute is the same as your current mailing address, you can click on the **Same as current address above** checkbox. This will hide the City and Country fields so that you do not have to fill them in.

Claimant Represents Self

If you are an individual customer or an associated person, you can check this box if you do not have an attorney and will be representing yourself (“pro se”) in this arbitration. If you will be represented by an attorney, do not check this box. You will enter your attorney's information in the Claimant Representative section of the form.

If you enter a claimant type that is not an “individual”, (e.g., custodial, estate, individual retirement account, etc.), you will not be provided this option for this claimant in this section. If you will be representing your accounts pro se, you will enter yourself as the representative for these accounts on the **Claimant Representative** section of the form.

After all claimant information has been entered, press the **Save Claimant** button. This adds the claimant to the “Claimants Added to Claim” list box found lower on the page.

Claimants Added to Claim			Add a New Claimant	
Claimant Name	Claimant Type	Self		
Mrs. Jane Customer	Customer-Individual	Yes	Delete	Copy Address
1 Row(s)				

Adding, Editing, and Deleting Claimants on the Online Form

Once you have saved the information for the first claimant, there are three things you can do:

Add Another Claimant

You can go back to the top of the page and add another claimant.

TIP: If the next claimant has the same address as the first one, you can press the Copy Address button next to the claimant in the list of claimants box. This will begin a new claimant with the address from the prior one already filled in.

Delete a Claimant

You can press the Delete button next to a claimant in the list of claimants box to delete the claimant.

NOTE: You cannot delete a claimant that is currently associated with a claimant representative or named in a relief request. To delete a claimant that has no delete button, either:

- Remove this claimant from all claimant representatives and relief requests that currently name this claimant, or
- Delete all claimant representatives and relief requests that currently are associated with the claimant.

This will allow the Delete button to appear so that you can delete the claimant.

Relief requests are described below later in this Guide.

Edit Claimant Information

To edit a claimant, click on the name of a claimant in the list of claimants box. The fields above will be populated with the claimant's information. Make your edits and then press the **Update Claimant** button to save your changes.

Once you have added all of the Claimants, click on the **Continue** button.

Claimant Representatives

FINRA corresponds with the party representatives. If an attorney is representing you, enter your attorney's information here. If you do not have an attorney and are representing yourself, you would have checked the "Claimant is Representing Self" checkbox back on the Claimants page, and you would NOT enter yourself again here. If all claimants are representing themselves, you can skip this section.

Associating Representatives with Claimants

If a single representative (or co-counsel) will represent all of the claimants entered in the Claimants section (other than those claimants who are representing themselves), select the "**Only one representative will be representing all claimants on this claim**" option.

NOTE: If there are co-counsel, enter the name and address for one of the counsel below. When using the DR Portal, counsel can "invite" co-counsel to join the case, allowing all counsel full access to all documents and features of the portal.

If some claimants will be separately represented, you can enter more than one representative and select whom they represent. To do this, select the "**There are multiple claimant representatives on this claim**" option. Then, under "**Claimants Using This Representative**", select the associated claimants and press the **Save Representative** button.

Each claimant party (that is not representing themselves) must be associated with a representative, but a given claimant party cannot be associated with more than one representative.

Adding, Editing, and Deleting Claimant Representatives on the Online Form

Adding, editing, and deleting a claimant representative works the same as it does for the Claimants page.

Add Another Representative

You can go back to the top of the page and add another representative.

Delete a Representative

You can press the Delete button next to a representative claimant in the list of representatives box to delete the representative. Remember that each claimant that is not self-representing must have a representative.

Edit Representative Information

If you have only one representative, you can just edit the information on the page. If you have more than one representative, click on the name of the representative in the list of representatives box. The fields above will be populated with the representative's information. Make your edits and then press the **Update Representative** button to save your changes.

Once you have entered the information and selected the appropriate claimants for each representative, click on the **Continue** button.

Respondents

A respondent is any individual or legal entity you wish to name for purposes of seeking relief. If the claimant is a customer, then the respondent is typically a FINRA member firm or a person associated with a member firm. This section of the form works in a similar manner to the Claimants section.

The Respondent is a: (Required)

Click on the button next to the type of Respondent that you are entering.

Respondent Name (Required)

If you selected a Respondent type of either "Customer" or "Other", you will be required to enter the name of the Respondent.

If you selected "Member Firm" or "Person Associated with a Member Firm" as the respondent type, then you must provide the respondent's BD number or CRD number. You can find these numbers by using the CRD Lookup Tool. See "How to Perform a CRD Search" in the Claimants section above.

NOTE: The CRD lookup does **NOT** populate the address information for APs onto the form. FINRA maintains a separate database of addresses for Dispute Resolution correspondence. You may enter the address where you believe the AP is employed.

NOTE: Do not list "John Doe" respondents in the Respondent Name field. Doing so may delay processing of your claim.

Current Mailing Address

Enter the current mailing address of the respondent, as you know it. FINRA Dispute Resolution maintains its own database of AP addresses and may not use the one you provide. However, in case FINRA has difficulty reaching the respondent, we may attempt to reach them using the address you provide. If you do not know the AP's address, you may leave it blank.

If this is not the first respondent being entered, and the address you would enter is the same as the previous respondent, you can click on the **Copy Address** button next to the previously entered respondent to copy the address information to the current one.

Once you have entered the information for the respondent, click the **Save Respondent** button.

Adding, Editing, and Deleting Respondents on the Online Form

Just like for Claimant entry, once you have completed all of the information for the respondent, you can add another respondent, delete a respondent, or edit the information for a respondent.

Once you have added all of the Respondents, click on the **Continue** button.

Nature of Dispute

Period of Dispute

Start Date

Enter the date that the alleged dispute began. If you are unsure of the exact date, just enter the year.

End Date

Enter the date that the alleged dispute ended. If you are unsure of the exact date, just enter the year. If the activity that you are disputing is still occurring, then instead check the "Dispute is ongoing" checkbox.

NOTE: Do not check "Dispute is ongoing" if the activity is no longer occurring. This box is not intended to mean, "My dispute is ongoing, because I haven't resolved my dispute yet."

Dispute Types

Use this section to indicate the types of disputes the Claimants have with the Respondents. Select the types of disputes that apply to your claim.

NOTE: Only select dispute types that are relevant to your claim. Selection of dispute types is optional on this form, but make sure that your Statement of Claim describes

your dispute in detail. If your claim only involves a request for expungement, you do not need to select a dispute type.

Securities, Financial Instruments, and/or Investments involved in the Dispute

Use this section to indicate the types of securities that are involved in your claim. Select the types of securities that apply to your claim.

When you have finished selecting your dispute types and security types, click on the **Continue** button.

Relief Requested

On this page, you can request both monetary and non-monetary relief, as well as attorney's fees, costs, and interest. You can also request expungement, and also indicate if you are filing a claim alleging employment discrimination in violation of a statute.

Attorney's Fees, Costs, and Interest

Claimants are also permitted to request compensation for various fees or loss of interest they have incurred. To make such a request:

1. Check the box next to the applicable items that you are requesting.
2. Next to the checkbox, enter the specific amount requested, if known, or leave the associated amount blank and check the "Amount is Unspecified" box to indicate that the amount is unspecified. Do not enter zero for the amount. Be sure to explain in your Statement of Claim the fee or interest you are seeking. For example, if you are seeking 3% compounded interest for the total time that certain monies should have been in your account but were not, then state this in your Statement of Claim.

Employment Disputes with Special Provisions under the Code or Applicable Law

Claimants are permitted to file a claim alleging employment discrimination. Claimants are also permitted to request compensation for various fees or loss of interest they have incurred. To make such a request:

1. Check the appropriate box located in this section.
2. Select the appropriate radio button that appears under the checkbox (if applicable).
3. If necessary, attach a PDF document of the agreement:
 - Press the **Add Document** button,
 - Select the Attachment Type,
 - Press the Choose Files button,
 - Find the file on your computer,
 - Enter a description, if desired,
 - Press the **Add** button.

Employment Disputes with Special Provisions under the Code or Applicable Law

California Employment Disputes Subject to Armendariz

- I am filing a claim involving an employment dispute in California subject to the Armendariz rule.

Statutory Employment Discrimination Disputes

- Pursuant to Rules 13201 and 13802 of the Code of Arbitration Procedure for Industry Disputes, I am filing a claim alleging employment discrimination in violation of a statute (Please indicate which of the following applies):
- I am requesting arbitration of this claim pursuant to an agreement executed before the dispute arose, and I am attaching a copy of that agreement.
 - I am requesting arbitration of this claim pursuant to an agreement executed after the dispute arose or pursuant to court order; and I am attaching a copy of that agreement.

Pre-Dispute Attachment		
Attachment Type ▲	File	Description
Add Document		0 Row(s)

Click a row to edit it.

Expungement

You can request expungement of an entry in the CRD record of an associated person by checking the “Request expungement of CRD record” box and then completing the section that appears beneath it.

Individuals with CRD numbers can access their registration and licensing information (including their CRD number and disclosure occurrence numbers) through the Financial Professional Gateway at <http://www.finra.org/industry/finpro>

Expungement Information and Affirmations: (Required)

You must make the listed affirmations by checking the boxes.

Are you filing a claim requesting expungement of customer dispute information from CRD record? (Required)

As of September 14, 2020, you must specify whether you are requesting expungement of customer dispute information or industry dispute information. See <https://www.finra.org/rules-guidance/notices/20-25> for more information.

Select Claimant: (Required)

Select the claimant that is making the expungement request.

Select Respondent: (Required)

Choose a respondent party by checking the box next to the appropriate respondent’s name.

Enter CRD Number associated with expungement request: (Required)

Enter the CRD number of the associated person for which the expungement is being sought, then click the **Retrieve Records** button to search for expungement occurrences associated with this CRD number.

NOTE: This CRD number does NOT necessarily have to be that of the claimant selected above. For example, the claimant might be a member firm that is seeking expungement on behalf of one of their brokers. The claimant would be the member firm and the CRD number entered here would be that of the broker.

Specify which CRD occurrences should be considered for expungement: (Required)

Select the CRD occurrence that you are seeking to be expunged. If you are seeking to expunge more than one occurrence, select the first one and then repeat this process for each additional occurrence.

NOTE: If you cannot find the CRD occurrence number or one does not exist, you can select **“Occurrence Number Not Found or Not Applicable”**. Only select this option for customer dispute expungement requests if you cannot find the occurrence number, as doing so will result in a delay in case processing until you identify the occurrence number.

Underlying Case ID/Docket Number:

Enter the Case ID or Docket Number that gave rise to this occurrence, if applicable.

Then press the **Save Expungement Request** button. This will add the information to the list of expungement requests below. If you are seeking to expunge more than one occurrence, repeat this process for each additional expungement request.

Adding, Editing, and Deleting Expungement Requests on the Online Form

Just like for Claimant and Respondent entry, once you have completed all of the information for the expungement request, you can add another expungement request by filling out the “Create Expungement Request” section again, delete an expungement request by pressing the “Delete” button next to an expungement request already saved in the Expungement Requests Added to Claim box, or edit the information for an expungement request by clicking anywhere on the row of an already saved expungement request.

Monetary and Non-Monetary Relief Requests

The "amount in dispute" is the combined amount of monetary relief requested, and is used to calculate the filing fee. This amount must match the amount stated in your Statement of Claim. Attorney's fees, costs, and interest are not included in the calculation of the amount in dispute.

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Monetary Relief Categories:

Actual/ Compensatory	Monetary sum required to compensate a party for his or her loss.
Other Monetary Relief	Other monetary relief not otherwise described.
Punitive/ Exemplary Damages	Monetary amount intended to punish the wrongdoer.
Racketeer-Influenced and Corrupt Organization Act (RICO)	Includes damages pursuant to the RICO statute or damages pursuant to federal and state laws designed to prosecute organized crime. (You may want to consult with an attorney for more information regarding the RICO statute.)
Treble Damages	Damages tripled in amount, as provided by statute. (If entering a Relief Request Entry for treble damages, multiply the actual damages by two and enter that amount in the "Amount" field. For example, if you are asking for \$10,000 in actual damages and also asking for treble damages, then you would enter \$20,000 for treble damages.) (You may want to consult with an attorney for more information regarding treble damages.)

Non-Monetary Relief Categories:

Declaratory Judgment	A binding ruling on the rights and status of the parties. (You may want to consult with an attorney for more information regarding declaratory judgments.)
Specific Performance	Requires that the respondents take some kind of action, such as turning over ownership of stock.
Injunction Rule 13804	Temporary Injunctive Orders; Requests for Permanent Injunctive Relief. Applies to claims by industry parties and not customers.
Injunction	Requires that the respondents refrain from certain actions.

Other Non-Monetary Relief	Other non-monetary relief not otherwise described.
---------------------------	--

NOTE: Entering an incorrect amount or choosing "Amount is Unspecified" in the RICO or Treble Damages fields may cause an incorrect calculation of the filing fees that will need to be resolved after you file your claim. You may want to consult with an attorney for more information regarding treble damages, the RICO statute, injunctive relief, or declaratory judgment before requesting them.

There are two ways to enter your monetary and non-monetary relief requests: "Simple" and "Detailed". For most claims, the "Simple" method will work fine and is easier to use. It assumes that all claimants are seeking relief from all of the respondents. Check the box next to each type of relief being sought and enter the associated amount, or check "Amount is unspecified".

Simple method:

Monetary

<input type="checkbox"/> Actual/Compensatory	<input type="text"/>	<input type="checkbox"/> Amount is unspecified
<input type="checkbox"/> Other Monetary Relief	<input type="text"/>	<input type="checkbox"/> Amount is unspecified
<input type="checkbox"/> Punitive / Exemplary Damages	<input type="text"/>	<input type="checkbox"/> Amount is unspecified
<input type="checkbox"/> RICO	<input type="text"/>	<input type="checkbox"/> Amount is unspecified
<input type="checkbox"/> Treble Damages	<input type="text"/>	<input type="checkbox"/> Amount is unspecified

Non-Monetary

- Declaratory Judgment
- Specific Performance
- Injunction Rule 13804
- Injunction
- Other Non-Monetary Relief

Use the "Detailed" method if:

- Some of your relief is being requested by only a sub-set of your claimants, or against a sub-set of the respondents; or
- You are seeking multiple types of non-monetary relief. For example, if you want to specify two different types of non-monetary – specific performance relief, then you would need to use the detailed method of relief entry.

Detailed method:

Relief Request Entry
View Relief Requests

Check any type of relief being sought. Provide specific amounts, if known, or leave the associated amount blank and check the "Amount is unspecified" box to indicate that the amount is unspecified. Do not enter zero for the amount.

Step 1: Select the claimants for this relief request.

All Claimants

Jane Customer IRA (Customer-Individual Retirement Account)

Mrs. Jane Customer (Customer-Individual)

Step 2: Select the respondents for this relief request.

All Respondents

XYZ Corporation (Other)

Step 3: Select the type of relief being sought.
 - The "Relief Type" dropdown box will be populated with appropriate choices based on your request type selection (monetary or non-monetary).

Monetary

Non-Monetary

▼

Step 4: Enter the specific dollar amount of the request in the "Amount" field.
 - If you do not know the specific amount, you can check the "Amount is unspecified" checkbox. Do not enter zero for the amount.

Amount is unspecified

After providing the information for the relief request, click the "Save Relief Request" button to add the relief request to the lower box. Repeat these steps until all desired relief requests have been entered.

TIP: You will need to itemize each relief request in this section, as described in your Statement of Claim. It will be useful to have already completed your Statement of Claim before completing this section so that you can use it as a reference.

Adding, Editing and Deleting Relief Requests on the Online Form

If you used the "detailed" method of relief request entry, your saved relief requests will be in the Relief Requests Added to Claim box. Just like for other parts of this form, once you have completed the information for one relief request, you can add, delete, or edit another relief request.

If you have no additional relief requests to add, you can click on the **Continue** button to move to the next section of the form.

Hearing and Fees

Cases claiming \$50,000 or less in damages:

If you are claiming \$50,000 or less in total specified and unspecified damages (both actual and punitive, exclusive of interest and expenses), you may choose one of three ways to present your case to an arbitrator:

- **No Hearing - Arbitrator Decides Case After Reviewing Parties' Written Submissions**
 If no hearing is requested, an arbitrator will decide the case based on parties' pleadings and other written submissions. Please note that cases decided on papers are less expensive and are processed more quickly, on average, than cases decided by hearing.
- **Special Proceeding**
 Choose a special proceeding to present the case. Special proceedings differ from regular hearings because:

- ✓ An arbitrator will hear the case by telephone conference call unless all parties agree as to another method of appearance;
- ✓ Claimants, collectively, and respondents, collectively, each have two hours to present their cases and one-half hour for rebuttal and closing statements;
- ✓ The hearing will be completed in one day with no more than two hearing sessions;
- ✓ The parties may not question opposing parties' witnesses;
- ✓ The parties may not call an opposing party as a witness.

For detailed information about Special Proceedings, please see: Code of Arbitration Procedure Rule 12800(c) (Customer Code) and Rule 13800(c) (Industry Code).

- **Regular Hearing**

The parties and arbitrator will follow the regular provisions of the Code of Arbitration Procedure and appear at an in-person hearing. With regular hearings there are no limits on the length of a hearing, questioning an opposing party's witness or calling an opposing party as a witness.

You must also affirm that the total damages you are seeking in this claim will not exceed \$50,000 by checking the affirmation checkbox.

Cases claiming more than \$50,000 and up to \$100,000 in damages:

If you are claiming between \$50,000.01 and \$100,000 in total specified and unspecified damages, your claim will be decided by a single arbitrator after an in-person hearing.

You must also affirm that the total damages you are seeking in this claim will not exceed \$100,000 by checking the affirmation checkbox.

Cases claiming more than \$100,000 in damages, unspecified damages or requesting permanent injunctive relief:

If you are claiming \$100,000.01 or more, or are only claiming unspecified damages, or requesting permanent injunctive relief, or requesting expungement, a panel of three arbitrators will decide your case after an in-person hearing.

The form will deactivate choices that are invalid for your claim size.

NOTE: After you file your claim, you may request subsequently a different panel composition (for example, a panel of three arbitrators for a claim of \$60,000) if all parties (claimants and respondents) agree in writing.

Expedited Proceedings for Senior and Seriously Ill Parties

Upon a party's request, staff will expedite the administration of arbitration proceedings in matters involving seniors or seriously ill parties. Staff will begin the arbitrator selection process, schedule the Initial Prehearing Conference (IPHC), and serve the final award as quickly as possible. By mutual agreement, parties are also free to reduce the time requirements contained in the Customer Code. Staff will also determine promptly whether the parties are interested in mediation, which could further expedite resolution of the dispute.

Check the box to request expedited treatment, and then provide an explanation of the circumstances.

I request that staff expedite the administration of this case because at least one party is a senior citizen or is seriously ill.

Please provide a detailed explanation: *

You have 500 character(s) left.

Fee Calculation

The Code contains rules regarding the fees that must be submitted with the Statement of Claim to file an arbitration claim.

To commence an arbitration case, you must submit a filing fee along with your Statement of Claim, signed Submission Agreement and other supporting documentation. To help you determine the fee amount, a Fee Calculator is provided. The Claim Information Form interacts directly with the Fee Calculator using the information you have already entered, calculates the appropriate fees, and displays them on the Form. You cannot directly change the displayed fees.

NOTE: As of September 14, 2020, fee calculations were revised for claims that include requests for expungement of customer dispute information.

<https://www.finra.org/rules-guidance/notices/20-25>

To have the system calculate the filing fee, press the **Calculate Fees** button. The system will determine the appropriate filing fee and display it on the Form.

NOTE: If you change any information in other parts of the Form, you should come back to the Fee Calculation section and press the **Calculate Fees** button again to make sure the correct fee is determined.

Press the "Calculate Fees" button below after you have entered all of your damages on the Relief Requested page.

Calculate Fees

Actual Damages:	\$0.00
Punitive Damages:	\$0.00
Total Damages:	\$0.00

Filing Fee:	\$1,575.00
Member Surcharge:	\$0.00
Injunctive Relief Surcharge:	\$0.00
Total Fees:	\$1,575.00

Payment Information

You can pay the filing fee online by credit card or ACH bank transfer from your checking account (also known as an “electronic check”). If you are experiencing financial hardships and are not a FINRA member, then you may instead request a waiver of the filing fee. You must select one of these options to submit your claim.

Please select one method of payment.

- I will be paying online.
- I request a waiver of the filing fee.

Online Payment Information

The email address you enter below will be used to contact you for all online payment related communications.

Email address *

Confirm Email address *

- To pay online with a credit card or by ACH bank transfer, select “**I will be paying online.**” When you select this option, you will be asked to enter an email address to be used to contact you for all online payment-related communications. The email address entered here will not be used for any other correspondence.

IMPORTANT NOTE: If you select the online payment option, you will enter your payment information **AFTER** you press the Submit button to submit your claim.

See “Paying the Filing Fee Online After Submitting Your Claim” for more information.

- To request a waiver:
 1. Select, “**I request a waiver of the filing fee.**”
 2. Submit the following supporting documentation using the Payment Information box:
 - A statement summarizing your financial hardship;
 - Most recently filed tax returns (2 years);
 - Evidence of garnishments or liens;
 - Two most recent pay stubs;
 - Any other supporting documentation (e.g. affidavits, bank statements, etc.)

NOTE: If you request a fee waiver, you **MUST** submit the supporting documentation. Your claim will not be served on the respondents and will not proceed until either the waiver is approved or the filing fee is submitted.

Claimant Submitting Payment

Select one of the claimants to receive credit for the fee paid. This claimant will be assessed the initial filing fee once the claim is submitted and would also be issued any refund, if applicable, at the end of the case.

The claimant you select here will be assessed the initial filing fees and will receive any refund, if applicable, at the end of the case. Any claimants that you entered as an "Individual Retirement Account" will not be selectable from this list unless they are the only type of claimant on the claim.

Claimant Submitting Payment *

Mr. Walter (Customer-Individual)

Notes:

- Only credit cards and bank accounts associated with an address located in the United States are accepted currently.
- Cashier's checks and money orders are not acceptable forms of online payment.
- See [FAQ](#) to learn more about online payment options.

NOTE: This field will not display claimants that were identified as IRA accounts unless that was the only type of claimant that was entered. This is done to avoid potential tax problems with transactions into or out of these accounts.

Documentation

Here you can attach your Statement of Claim, signed Submission Agreement (unless you are "signing" it electronically on this form), and supporting documentation electronically. Do not mail paper copies of these documents to FINRA.

Parties and their counsel also should take steps to protect their confidential information. Parties can safeguard personal confidential information by redacting such information from pleadings, exhibits, and other documents upon agreement of the parties.

You must affirm that you have complied with FINRA rules relating to protecting personal confidential information in documents filed with FINRA (See Regulatory Notice 14-27) by checking the box on this page.

- By checking this box, I affirm that I have complied with FINRA rules relating to protecting personal confidential information in documents filed with FINRA (See Regulatory Notice 14-27).**

IMPORTANT NOTE: Except for arbitration awards, which are publicly available, the documents and information in FINRA Dispute Resolution case files are confidential. FINRA Dispute Resolution Services limits access to personal confidential information to FINRA staff members who need it to perform their job functions, and to arbitrators, mediators, or other individuals involved directly in the arbitration or mediation process. Examples of personal confidential information include social security numbers; brokerage, bank, or other financial account numbers; taxpayer identification numbers and medical records.

Attaching Your Electronic Statement of Claim

Your electronic Statement of Claim should meet the following requirements:

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- ✓ It should be submitted in Adobe Portable Document format (PDF) only. This is the only acceptable format. Software to create Adobe PDF files can be obtained online for free from several sources. Microsoft Office applications have the built-in ability to save documents as Adobe PDF as well.
- ✓ It should be preferably in a 12-point font, using Times New Roman, Helvetica, or Arial style typeface, with 1.5 -inch margins.
- ✓ Please combine the Statement of Claim and related exhibits into a single text-searchable PDF file. Note, however, that a single attachment cannot be larger than 2 GB in size. If your combined file would be larger than this, please submit as separate files.

DO NOT submit PDF “Portfolio” documents. Only “standard” PDF documents are acceptable.

If your Statement of Claim meets the above criteria, you may send it electronically by following the steps below:

1. Have your document files saved on your computer, ready to be sent.
2. Press the **Add Document** button.
3. Select the Attachment Type.
4. Press the **Choose Files** button.
5. Find the file on your computer.
6. Enter a description, if desired.
7. Press the **Add** button.

NOTE: Make sure that you have saved and closed your Statement of Claim document on your computer BEFORE you press the **Add** button. If the file is open, you will get an error and the upload may not work, or the file may not be transmitted properly.

8. After the file has been attached, it will be listed as shown below.

Statement of Claim Attachments			
Attachment Type ▲	File	Description	
Statement of Claim with Exhibits	SOC.pdf	Statement of Claim	Delete
<input type="button" value="Add Document"/> <input type="text" value="1 Row(s)"/>			

Click a row to edit it.

9. Once the file has been attached, you can edit the description or attachment type by clicking on the attachment type, delete the file by pressing the Delete button, or view your file by clicking on the file name.

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Attaching Other Supporting Documents

To attach other supporting documentation, such as a scanned image of the signed Submission Agreement, repeat steps 1 through 7 above and choose the appropriate attachment type.

Submission Agreement

The Submission Agreement is an important document to submit along with your claim. It can be provided in one of two ways:

- You can attach a scanned PDF image of a signed Submission Agreement found on finra.org.
- You can “sign” and submit the Submission Agreement electronically on this section of the form.

NOTE: If you submit a scanned image of the Submission Agreement, keep your original Submission Agreement in your files in case the validity of the signature is ever questioned. Submitting an unsigned Submission Agreement will delay processing of your claim.

If you are not attaching a scanned image of the completed Submission Agreement, then you must complete this section.

If you would like to submit your Submission Agreement as part of your online form, click the “**I will use electronic signature**” option.

By entering your electronic signature below, you are one of the following: (1) the claimant; or (2) a person with legal authority to bind the claimant; or (3) a person with firsthand knowledge of the facts and actual or implied authority to act on behalf of the claimant; or (4) an attorney who has actual or implied written or verbal power of attorney from the claimant to sign on the claimant's behalf and thus, bind the claimant to the terms of the Submission Agreement as if the claimant signed the form personally.

To use the electronic signature, you must:

- Click "Add Signature".
- Choose the claimant name that the signature is for, and sign by entering "/s/", followed by your first name, middle initial, and last name (e.g., /s/ Jane Q. Public).
- Indicate the capacity in which you are signing (e.g., individual, representative, legal counsel, executor, trustee, corporate officer).
- Enter the date that you signed the form, and then click the "Add" button to add the signature.
- Repeat for each signature you want to add.

NOTE: If you do not complete all signature block fields according to the instructions, your online filing could be considered deficient (not validly filed) until FINRA receives complete and accurate signatures.

It is permissible for some claimant(s) to use electronic signature on the form and for other claimants to submit scanned images of the Submission Agreement.

Electronic Signature on Claim				
Claimants ▲	Signature	Capacity	Date	
Mrs. Jane Customer	/s/ Jane Customer	individual	08/11/2016	Delete
<input type="button" value="Add Signature"/> <input type="text" value="1 Row(s)"/>				

Click a row to edit it.

Please note that if you do not complete all signature block fields, your online filing could be considered deficient (not validly filed) until FINRA receives complete and accurate signatures.

Congratulations! You have reached the end of the form, and now have an opportunity to review all of your entries prior to submitting your Claim Information Form to FINRA.

Previewing the Tracking Form

Once you complete all sections of the Online Claim Information Form, you can press the **Preview** button to see a summary of your Claim Information Form. Please read the instructions at the top of the Tracking Form.

NOTE: At this point, you have **NOT** yet submitted your Online Claim Information Form to FINRA.

The draft Tracking Form summarizes all of the information you have entered. This is your opportunity to review the data to be sure it is correct prior to submitting it to FINRA.


NOTE: The Preview page shows you all of the data entered on the form, but does NOT check for errors. If there are any errors on your form, you will receive an error message when you press the **Submit** button to actually file your claim.

Once you are finished reviewing the preview page, click the **“Back to Claim Information Form”** link to return to the form. You can then continue to make changes, or submit the form.

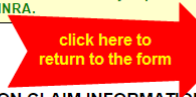
My Arbitration Claims

[Back to My Arbitration Claims](#) | [View Legacy Online Claim Filings](#)

 [Print form](#)

 This form has NOT yet been submitted to FINRA. Please review the answers you provided. You must return to the editable version of the form and press the Submit button to send this information to FINRA.

Tracking Number: 3101367



[Back to Claim Information Form](#)

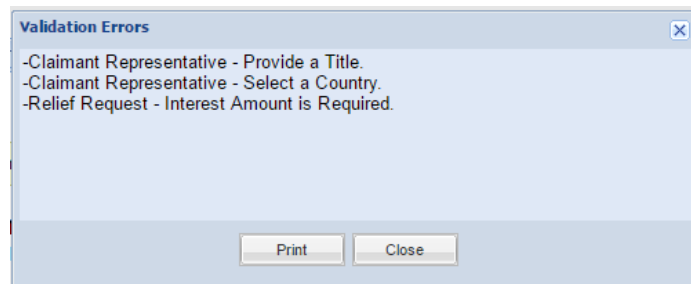
FINRA OFFICE OF DISPUTE RESOLUTION CLAIM INFORMATION TRACKING FORM

After you submit your form to FINRA, you will no longer be able to make changes to your claim online. To make any changes after you submit the form, please communicate directly with FINRA Office of Dispute Resolution.
 Once the form has been submitted, a Claim Information Tracking Form will be displayed with the form Tracking Number (Filing ID), your User Name (Submitted By), and the date you submitted this claim form. At that point, please print a copy of the Tracking Form for your records.
 Be aware that you must submit all of the documents required by Code of Arbitration Procedure [Rule 12302](#) for Customer Disputes and

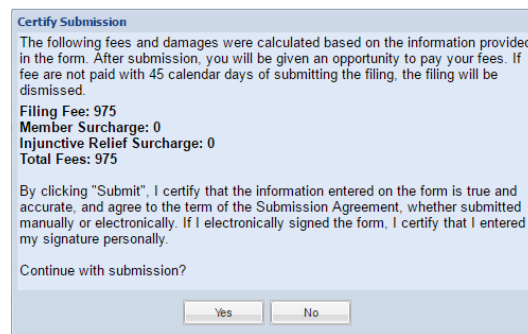
Submitting Your Claim Information Form

If you are satisfied that the information is complete and accurate, click the **Submit** button at the bottom of the form.

If there are any errors detected on your claim form, you will see an error message describing the corrections you need to make prior to submitting your form. Make the corrections and then press the **Submit** button again.





If there are no errors found, you will see a message regarding the filing fees and asking if you wish to continue. Press the **Yes** button to continue to submit the claim form.







Shortly after you submit your claim, you should receive an email confirming that your claim was received.

FINRA Online Claim Filing Confirmation (Tracking # 5960618)

 drportal@finra.org
To 

Retention Policy 100 Year Mailbox Retention (68 years, 1 month)

Expires 1/24/2091

 Reply  Reply All  Forward 

Fri 1/6/2023 2:15 PM

**** This is an automated email. Do not reply to this email. ****

An online claim filing with Tracking Number # 5960618 has been successfully submitted to FINRA Dispute Resolution Services by:

Name: 

This filing was submitted with the following attachments:
Statement of Claim.pdf (Statement of Claim with Exhibits)

Please save this email and your Tracking Number for your records.

Once this online claim filing has been processed by FINRA and a case is created, each claimant's counsel will receive an invitation email to register to the new case on the FINRA DR Portal.

If you have any questions about this claim filing, please contact FINRA via email at "claimhelp@finra.org". Please include the Tracking Number for your claim in the subject line of the email. You can also contact FINRA Dispute Resolution Services at (212) 858-4200.

Sincerely,

FINRA Dispute Resolution Services

FINRA DR: OLFASUB

Paying the Filing Fee Online After Submitting Your Claim

Once you submit your claim, you will be taken to the payment page.

My Arbitration Claims

[Back to My Arbitration Claims](#)

FINRA Dispute Resolution Services - Arbitration Online Claim Filing

The online payment option is only available for a short period of time after you complete your submission. Please submit your payment promptly.

Note: Cashier's checks and money orders are not acceptable forms of online payment.

If you have any questions, you can contact FINRA Dispute Resolution Services at (212) 858-4200 or via email at claimhelp@finra.org. Please include the Tracking Number for your claim in the subject line of the email.

Arbitration Online Claim Form Tracking Number: 6615383

Arbitration Online Claim Form submitted on: 12/14/2023 10:51 AM Eastern Time

Email address where payment status will be sent: james.schroder@finra.org

PAYMENT METHOD	CHARGES
<input type="radio"/> US Bank Checking Account <input type="radio"/> US Card	INITIAL FILING FEE - NON-REFUNDABLE \$225.00 STAT. DISCRIMINATION FILING FEE - CLAIMANT \$0.00 FILING FEE - DEPOSIT \$750.00

To pay online:

1. If you are paying by credit card, select the **"US Card"** Payment Type and enter the credit card and billing information for the owner of the credit card.
2. If you are paying by ACH bank transfer, select the **"US Bank Checking Account"** Payment Type, and enter the routing number, checking account number, and the account owner's full name, state, and zip code.

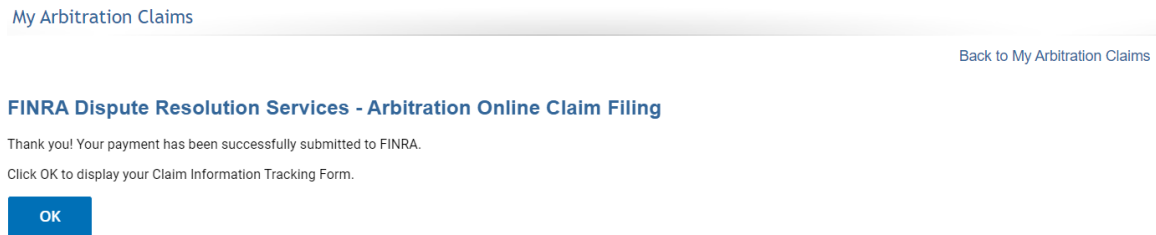
IMPORTANT NOTE: Cashier's checks and money orders are not acceptable forms of online payment.

3. You must agree to the listed Terms and Conditions regarding use of online payment. Click the checkbox next to “I agree to the Terms and Conditions”.
4. Click the “**Submit**” button.

IMPORTANT NOTE: Only credit cards associated with an address located in the United States are accepted currently. Attempting to use a credit card with a non-US address could delay processing of your claim.

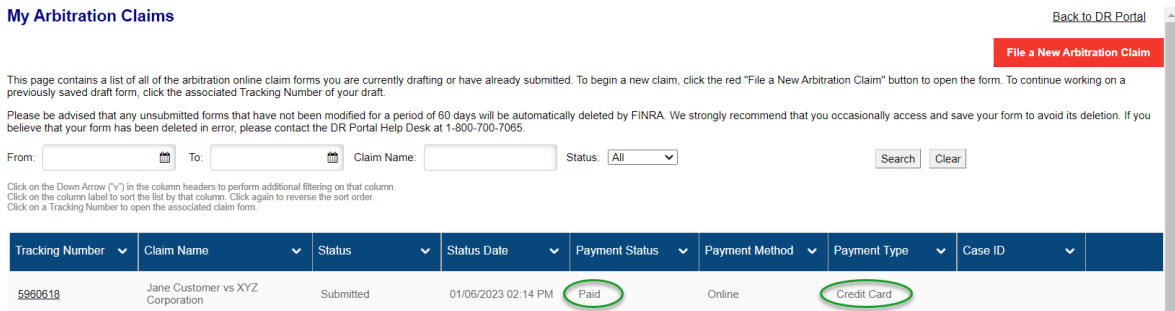
NOTE: If you need to abort making your online payment at this time, click the “**Back to My Arbitration Claims**” link instead. You will be taken back to your list of draft and submitted claim forms. You may pay the filing fee later by clicking the “**Pay**” link associated with your submitted claim.

When you submit your payment, you will get a confirmation page like this:

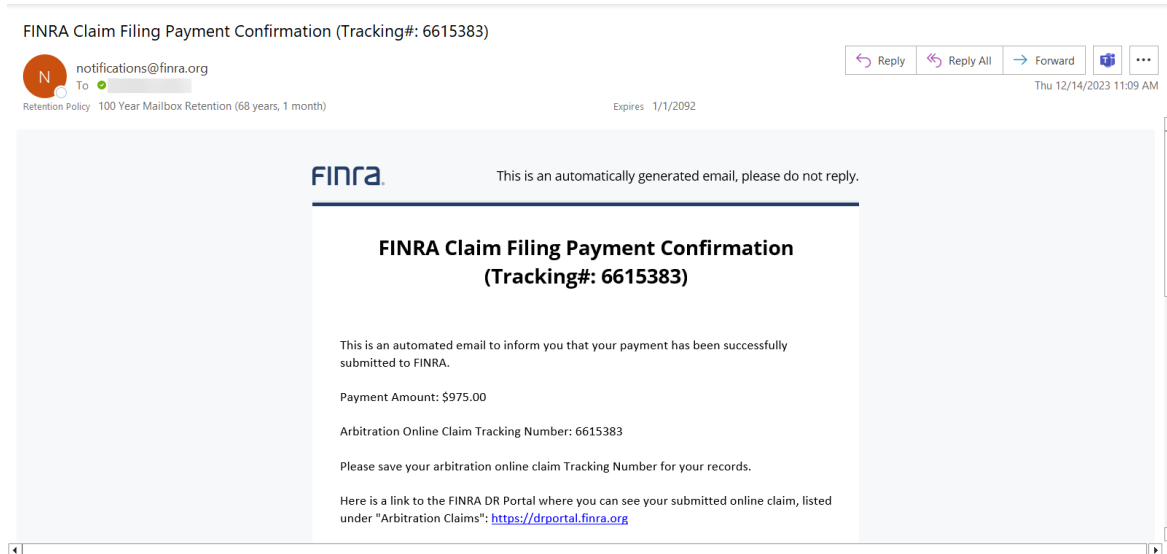


Press the **OK** button to be returned to your Tracking Form, or you can click on “**Back to My Arbitration Claims**” to see your list of draft and submitted claims.

The payment status of your online payment might not be available for a few moments and you will still see the “**Pay**” link associated with your claim. If you decide to click the “**Pay**” again, the confirmation page will again be displayed. The system will not permit you to accidentally pay the fee twice. Once the funds have been captured successfully, you will see the status of your online payment.



You will also receive an email confirmation (to the email address that you entered on the payment page of the claim form) that your payment information was received. If you requested a fee waiver, you will not receive this email.



TIP: If you do not receive the email confirmation, it is possible that it was caught in your email spam filter. Check the mail folder on your computer where potential spam mail is placed.

Processing Your Submitted Claim

After your claim is successfully submitted, FINRA staff will process your claim and assign a Case ID to the case. When this occurs, you will receive an email invitation from FINRA to register with the DR Portal for access to this case. See "Accessing Case Information – Email Invitation from FINRA" for more information on using the email invitation.

Once you are registered for the case, you will find a formatted PDF copy of your Claim Information Form, along with your submitted attachments in the Documents tab of the associated case.

If you have any issues or concerns regarding your online claim submission, contact FINRA Dispute Resolution by emailing claimhelp@finra.org or calling 800-700-7065.