



FINRA DR Portal

User Guide for Arbitrators and Mediators

April 2024

Disclaimer

These materials are for training and instructional purposes only. No part of this publication may be reproduced, stored in a retrieval system, or transmitted in any form by any means—electronic, mechanical, photocopying, recording, or otherwise—without prior written permission from FINRA.

Table of Contents

Welcome to the FINRA DR Portal.....	3
Introduction	3
Portal Access	3
Compatible Browsers.....	4
Mobile Devices	4
Spam Filters.....	4
Pop-Up Blockers	4
Frequently Asked Questions and How-To Videos	4
Completing PDF Forms	4
Portal Registration Process.....	5
DR Portal Functionality.....	6
Home	6
Reminders.....	7
Arbitration Cases and Mediation Cases.....	8
Messages.....	8
Profile Update	9
Viewing Case Details.....	9
Special Proceeding.....	10
Messages.....	10
Details	11
Hearings.....	11
Scheduling.....	12
Payments	13
Documents.....	14
Drafts & Submissions.....	15
Sharing Draft Submissions	18
Submitting an Arbitrator Experience Survey	20
Rejected Forms.....	20
Award Review.....	21
Viewing Your Disclosure Report.....	23
Viewing and Updating Your Neutral Profile.....	23

Neutral Profile Update.....	23
Personal Information	25
Contacts and Honorarium.....	26
Business Background	28
Employment History	28
Educational History.....	29
Training	29
Arbitrator Classifications (action required for arbitrators).....	30
Statutory Discrimination Qualifications.....	30
Injunctive Relief Qualification	30
Conflicts/Disclosures (action required for all neutrals)	30
Accommodations.....	31
Review and Submit	31
Log Out of Portal	32
Additional Help and Providing Feedback.....	33
Appendix A: Creating a DR Portal Account	34
Appendix B: Completing PDF Forms.....	38

Welcome to the FINRA DR Portal

Introduction

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

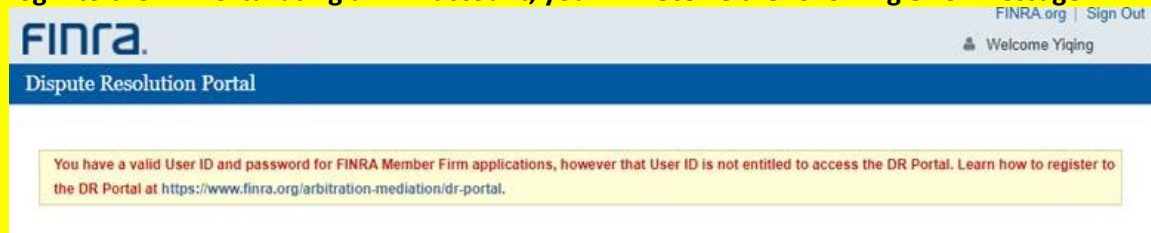
The DR Portal has two parts: the **DR Neutral Portal** is for FINRA neutrals (arbitrators and mediators) serving on the FINRA Dispute Resolution Services roster, and the **DR Party Portal** is for arbitration and mediation case participants. This user guide describes the DR Neutral Portal. A separate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

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. Registered neutrals who are also case participants may access the party portal by clicking on the link “Go to Party Portal” found near the top of the homepage once you are logged in. Likewise, case participants may access the neutral side of the DR Portal by clicking on the link “Go to Neutral Portal” from the homepage.

Portal Access

Neutrals can access the DR portal from FINRA.org after completing the initial registration step. Neutrals can also create a “favorite” or “bookmark” in their browser for easy access to the DR Portal. We recommend that you create the bookmark **AFTER** you successfully log into the portal. Do not bookmark the “login” page prior to logging into the portal, as this may lead to problems logging in.

Note: you can NOT use a FINRA Gateway account to access the DR Portal. You must create a separate account using the self-registration procedures described below. If you attempt to log into the DR Portal using a Firm account, you will receive the following error message:



You only need one account to access all of your cases; you do not need to create a new account for each case.

A direct link to the DR Portal login screen can be found on the finra.org home page:



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 complete forms. 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 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.

Note: FINRA will not complete spam filter forms that may be sent by your spam filter software. You must add the “drportal@finra.org” email address to your spam filter safe sender list to receive emails coming from the DR Portal.

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>

Completing PDF Forms

Some case processing forms, such as the Order on Request for Permanent Injunction, have not yet been incorporated into the “Drafts & Submissions” tab of the portal. These can still be found on the “Forms and Hearing Scripts” page of the finra.org website at

© 2024 Financial Industry Regulatory Authority, Inc. All rights reserved.

<https://www.finra.org/arbitration-mediation/rules-case-resources/forms-scripts>. These are **Adobe Acrobat PDF** forms that contain blank fields for you to enter information. See **Appendix B** for more information about installing Adobe Acrobat Reader on your computer and using PDF forms.

Portal Registration Process

If you are not already registered for the DR Portal, you will need to receive an invitation from FINRA Dispute Resolution Services containing a personalized link to register. Click on the link in the invitation email (or copy and paste it into your browser) to start the process:

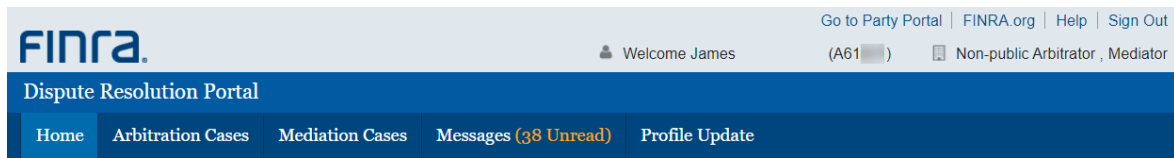
Note: If you already created an account that you intended to use for the DR Portal, you can skip these steps and just log into the portal with your existing account when you use the personalized link in your invitation email. See Appendix A for more information about creating a DR Portal account.

1. Once the FINRA "Welcome to Dispute Resolution Services" page is displayed, click on "**Create Account Here**" and follow the steps to create a new account.
2. You will receive an email with a temporary password. Follow the steps to create a personalized password.
3. Select and supply answers to the security questions.
4. The system will ask you for the last 4 digits of your Social Security number or your assigned FINRA Neutral ID.
5. Click the link that appears on the screen and view your profile.

DR Portal Functionality

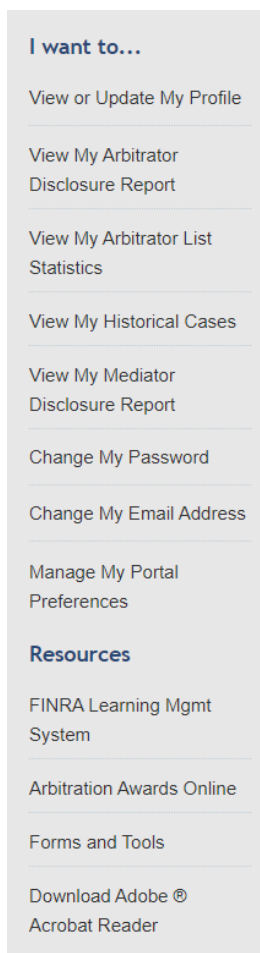
Home

On the FINRA DR Portal Homepage, you will see a menu of options across the top heading bar:



- **Home** displays your current and upcoming arbitration and mediation cases, as well as FINRA DRS announcements and recent reminders and notifications regarding your cases.
- **Arbitration Cases** displays all arbitration cases you have ever been assigned to.
- **Mediation Cases** displays all mediation cases you have ever been assigned to.
- **Messages** displays the messages that have been sent to you regarding activity on your cases being handled through the DR Portal.
- **Profile Update** is where you can view and update your neutral profile and disclosure information.

There are also quick access links to:



View or Update My Profile – takes you to the same place as the Profile menu on top.

View My Arbitrator Disclosure Report – this is the same report provided to arbitration parties during arbitrator selection.

View My Arbitrator List Statistics – shows you how often your name is appearing on arbitrator ranking lists.

View My Historical Cases – creates a report listing the names of the parties and other panelists for every case you have ever been on, to assist you when checking for conflicts.

View My Mediator Disclosure Report – this is the same report provided to mediation parties during mediator selection.

Change My Password – if you want to update your password.

Change My Email Address – if you need to change your email address.

Manage My Portal Preferences – lets you select how you would like to receive automated reminders.

As well as links to resources like the **FINRA Learning Management System**, **Arbitration Awards Online**, the Forms and Tools page on the www.finra.org website, and a link to download Adobe Acrobat Reader for viewing PDF documents and completing PDF forms.

The Home page allows neutrals to view information about their currently assigned cases. The Home page provides a display of open arbitration and mediation cases, as well as a list of the upcoming arbitration hearings and mediation sessions that neutrals are scheduled to attend.

The Home page also 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 activity on your cases (in the blue box). See “Reminders” below for more information.

Clicking on any of the green plus signs (such as the one next to the name of the DR staff person assigned to your case) will expand the view to show more details. Clicking on it again will hide the details.

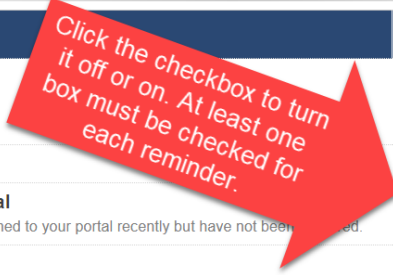
The screenshot shows the FINRA Dispute Resolution Portal interface. At the top, there is a navigation bar with 'Home', 'Arbitration Cases', 'Mediation Cases', 'Messages (42 Unread)', and 'Profile Update'. A sidebar on the left contains various user management options like 'View or Update My Profile', 'View My Arbitrator Disclosure Report', and 'Manage My Portal Preferences'. The main content area features several sections: 'Announcements' (orange banner), 'My Reminders and Notifications (2 Unread)' (blue box), 'My Current Arbitration Cases' (table), 'Upcoming Arbitration Hearings' (table), 'My Current Mediation Cases' (table), and 'Upcoming Mediation Sessions' (yellow box). Red arrows highlight the 'Announcements' banner, the 'Reminders' section, and a green plus sign next to a DR staff member's name in the 'My Current Arbitration Cases' table.

Reminders

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

Manage My Portal Preferences

Reminders	Portal Inbox	Email
<p>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.</p>		
<p>Arbitration Case</p> <p>Document(s) Published to Portal Arbitration case document(s) were published to your portal recently but have not been read.</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<p>Oath of Arbitrator is Due It is almost the due date to complete and submit your Oath of Arbitrator for a case on which you are assigned.</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<p>Hearing Scheduling Poll is Due It is almost the due date to complete an Arbitration Hearing Scheduling Poll.</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<p>Scheduled Hearing is Coming Up</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>



Arbitration Cases and Mediation Cases

These home page menus take you to a page that lists your cases. The view defaults to showing your open and inactive cases.

Go to Party Portal | FINRA.org | Help | Sign Out

Welcome James
(A619)
Non-public Arbitrator

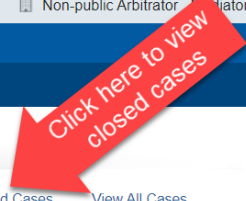
Dispute Resolution Portal

Home
Arbitration Cases
Mediation Cases
Messages (1 Unread)
Profile Update

My Arbitration Cases

Open/Inactive Cases (6)
View Open/Inactive Cases
View Closed Cases
View All Cases

Case ID	Case Name	Status	Current Milestone	Filed On Date	Role	DR Staff
20-00031	Vadim Fox vs. Capital Markets, Llc	Open	Claim Served on Respondents	04/29/2020	Panelist	+ R. Berry
19-03070	Don vs. Smither & Company Capital Markets, Llc	Open	Claim Served on Respondents	09/23/2019	Chair	+ J. Schroder
17-00929	Jane Customer v. Alpha Beta Gamma Delta Epsilon Corporation	Open	Claim Served on Respondents	06/06/2017	Chair	+ A. Baumgartner
16-01234	Alan R. vs. West Corp, LLC	Open	Claim Served on Respondents	04/25/2016	Chair	+ B. Aguda
16-01200	Robert John vs. West Corp, LLC	Open	Claim Served on Respondents	04/22/2016	Panelist	+ B. Aguda



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.

You can see every case on which you have served, regardless of whether the case resulted in an award. Clicking on the Case Name for any of these listed cases—open or closed—will display a detailed case view of the selected case.

Messages

This menu option takes you to a page showing the messages that have been sent to you regarding activity across all of your cases being handled through the DR Portal. You also receive these messages as email alerts. The number in orange indicates the number of unread messages. 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 “Award Review”, “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 **Go to Archived Messages** button.

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

My Current Messages Go to Archived Messages

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

Date	Subject	Case Name	Case ID	Case Type	Action
<input type="checkbox"/> 07/16/2020	FINRA has posted a new document for Arbitration Case ID 17-00929	Jane Customer v. Alpha Beta Gamma Delta Epsilon Corporation	17-00929	Arbitration	Go to Scheduling
<input type="checkbox"/> 10/04/2019	FINRA has posted a new document for Arbitration Case ID 17-00929	Jane Customer v. Alpha Beta Gamma Delta Epsilon Corporation	17-00929	Arbitration	Go to Documents
<input type="checkbox"/> 09/30/2019	FINRA has posted a new document for Arbitration Case ID 16-01234 on the DR Portal	Alan R. vs. West Corp, LLC	16-01234	Arbitration	Go to Documents
<input type="checkbox"/> 08/12/2019	FINRA DR requests that you review and sign the award for Arbitration Case ID 16-01234	Alan R. vs. West Corp, LLC	16-01234	Arbitration	Go to Award Review

Archive Selected Messages

Profile Update

This menu option lets you view the details of your neutral profile. See “**Viewing and Updating Your Neutral Profile**” later in this Guide for a complete description of this feature.

Viewing Case Details

By clicking on a case name listed on the Home page, Arbitration Case page or Mediation Case page, you can see the Case Abstract along with a row of tabs providing additional information about the case: “**Messages**”, “**Details**”, “**Hearings**”, “**Scheduling**”, “**Payments**”, “**Documents**”, “**Drafts & Submissions**”, and “**Award Review**”.

Dispute Resolution Portal

Home Arbitration Cases Mediation Cases Messages (1 Unread) Profile Update

17-00929 Jane Customer v. Alpha Beta Gamma Delta Epsilon Corporation
Expedited | Direct Communication Between Parties and Arbitrators Allowed

Arbitration Case Abstract

Case Status: Open
 Filed On Date: 06/06/2017
 Office: New York
 Hearing Location: New York, NY

Milestones
 Case Received: 06/06/2017
 Claim Served on Respondents: 06/08/2017

Assigned Staff
 Arthur Baumgartner
 FINRA Dispute Resolution Services
 Brookfield Place
 200 Liberty Street
 New York, New York 10281
 Phone: 212-858-
 E-mail: Arthur.L...@finra.org

Submit Documents

1 unread message

2 unopened documents

Click here to submit documents to FINRA for this case

Click on a tab to see detailed information

Messages (1) Details Hearings Scheduling Payments Documents (2) Drafts & Submissions Award Review

Arbitrators

Name	Role	Type	Status	Assigned On Date	Email	Phone
Mr. James	Chair	Non-public	Appointed	06/08/2017	james...@finra.org	212-858-

Arbitration Parties

Claimants

Party	CRD #	Agreement Date	Type	Class	Status	Represented By
Jane Customer		06/06/2017	Individual	Associated Person	Active	+ Pro Se

Respondents

Party	CRD #	Agreement Date	Type	Class	Status	Represented By
Alpha Beta Gamma Delta Epsilon Corp.		06/07/2017	Corporation	Non-Member	Active	+ Mr. Jack Johnson

Special Proceeding

This heading tag indicates if the parties have chosen “special proceeding” to present the case. Special proceedings differ from regular hearings because:

- ✓ An arbitrator will hear the case by 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).

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 number in blue 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.

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 names of your co-arbitrators, as well as the names of the parties, non-party participants and their representatives, and the assigned FINRA staff member. By clicking on the representatives’ names, you can see their contact information.

Messages (1)	Details	Hearings	Scheduling	Payments	Documents (24)	Drafts & Submissions	Award Review
Arbitrators							
Name	Role	Type	Status	Assigned On Date	Email	Phone	
Mr. James W. Schroder	Chair	Non-public	Appointed	03/11/2020	james.schroder@finra.org	212-858-4321	
Dr. Vadim Fuks-Rabinovich, I	Panelist	Public	Appointed	03/11/2020	rabinofv@finra.org		
Dr. Bobby boris Wang, I, Ph.D	Panelist	Public	Appointed	03/11/2020			
Arbitration Parties							
Claimants							
Party	CRD #	Agreement Date	Type	Class	Status	Represented By	
Jane Customer		06/06/2017	Individual	Associated Person	Active	+ Pro Se	
Respondents							
Party	CRD #	Agreement Date	Type	Class	Status	Represented By	
Alpha Beta Gamma Delta Epsilon Corp.		06/07/2017	Corporation	Non-Member		+ Mr. Jack Johnson	

Click here to see party representative details

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. If it does not expand when you click on it (the green plus just becomes a minus), then there is no information to display under that heading.

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.

Messages (1)	Details	Hearings	Scheduling	Payments	Documents (1)	Drafts & Submissions	Award Review
--------------	---------	----------	------------	----------	---------------	----------------------	--------------

Arbitration Hearings

Date	Time	Type	Required Attendee(s)	Location	Hearing Format	Sessions	Status	Attended Hearing
10/02/2023	09:00 AM EST	Regular Hearing	Parties + Full Panel	+ Zoom Meeting ... + FINRA Dispute Resolution...	Video, In Person To be Recorded	2	Open	FINRA: Bola
<p>Hearing Purpose: Regular hearing two days Hearing Instructions: Call into hearing five minutes prior to start.</p>								
04/05/2022	09:00 AM	Regular Hearing	Parties + Full Panel	+ Professional Dispute Resolutions, Inc...		1	Closed-Complete	+ FINRA: No Attendee

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
------------	--------------	------------------------	----------------------	--	------------------------------	---	------	---------------------------

Button to go to Zoom meeting → [Go to Zoom Meeting](#)

Link to download iCalendar file → [Add to Calendar](#)

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-... #

Scheduling

The **Scheduling** tab provides a collaborative tool that allows the party 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 will propose a range of dates by creating a “scheduling poll.” When FINRA displays a poll on the DR Portal, each of the required attendees will receive an email notification telling them to log into 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

Arbitration Hearing Scheduling Polls

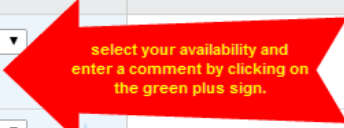
Poll ID: 10152

Please provide your availability no later than **9/30/2014** in the scheduling poll below.

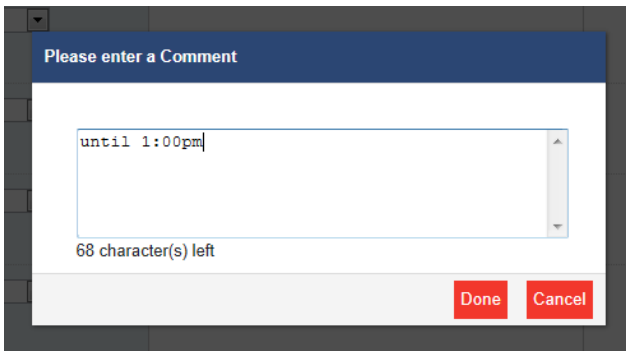
to reschedule pre-hearing conference from 9/15/14.

Enter specific details for a given date in the corresponding text box. For example, if you are available in the afternoon starting "starting at 1:00pm" in the text box.

Date (Eastern Time Zone)	Adam Arbitrator (Panelist)	Robert (Chair)
9/30/2014	Available All Day [comment icon] +	
10/1/2014	Available AM until 1:00pm [edit icon]	
10/2/2014	Not Available [comment icon] +	
10/3/2014	[dropdown] [comment icon] +	



For each date, enter your availability. You can also enter a comment in the box by clicking on the green plus sign, entering your comment, and then clicking on **Done**.



Once you are finished, click on **Submit** at the bottom of the poll. Your entries and comments will be immediately viewable by all other attendees on the case, as well as by FINRA DRS staff.

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.

Payments

The **Payments** tab shows all payments you have earned for a case as well as check dates and check numbers. If you do not see information in the Payments section for a hearing you

participated in, the system will advise you to allow time to process the payment and to check back in a few days.

Messages (1)	Details	Hearings	Scheduling	Payments	Documents (1)	Drafts & Submissions
--------------	---------	----------	------------	----------	---------------	----------------------

Arbitrator Payments

Earned Date	Type	Amount	Check Date	Check Number
03/30/2015	Initial Pre-Hearing Conference - Double	\$400.00		

If you do not see your payment, please check back in a few days. The payment process can take up to two weeks.

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 would include documents you submitted as well as documents published by FINRA staff to the portal. Case parties cannot send documents directly to neutrals through the portal. Only FINRA staff can make case documents viewable on the Neutral Portal.

Messages (3)	Details	Hearings	Scheduling	Payments	Documents (1)	Drafts & Submissions	Award Review
--------------	---------	----------	------------	----------	---------------	----------------------	--------------

Documents

In the Documents column, you can click on the column header, or click the plus sign (+) to see the list of documents.

Subject	Documents (File Date)	Expand All	Recipients
Certificate of Arbitrator Exhibits No. 1	03/29/2021	+ Document List	
Arbitrator Disclosure(s)	03/29/2021	- Document List	
		CREATE MERGED FILE Oath and Checklist for Neutral Jimenez Oath of Arbitrator for Neutral A08975 Manning pdf (03/29/2021)	

If there are multiple documents contained in a Subject, you will see a **“+ Document List”** link, which you can click to open the list of documents. There is also 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 contained in the Subject, complete with a cover page listing the documents contained within, 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 now 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.

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.

Drafts & Submissions

The **Drafts & Submissions** tab contains a list of submissions you are currently drafting or have already sent to FINRA. You can submit forms and PDF documents to FINRA through the portal. The PDF forms you use regularly (such as Orders) have been converted into interactive forms that can be completed directly in the portal.

To complete a form or submit case-related documents to FINRA, follow these steps:

1. Press the **Submit Documents** button or click on the **Drafts & Submissions** tab in the case.
2. Select a Submission Type by clicking on the drop-down menu. These interactive forms can be submitted directly from the portal, rather than using a fill-in PDF version of those forms. "Neutral Case Submission" can be used for all other types of case documents you need to send to FINRA (such as the fill-in PDF forms that have not yet been converted).
3. Press the red **Start** button to begin a new submission. The form for the selected submission type will be displayed.
4. Answer the questions as required found in each of the blue bands. The first band is open to start. Click on the subsequent bands to open them, as needed.

Messages (1)
Details
Hearings
Scheduling
Payments
Documents (1)
Drafts & Submissions
Award Review

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
Choose a submission type, and then select Start.

Submission Type:

Submission Type

- Arbitrator Experience Survey
- Award Information Sheet
- Initial Prehearing Conference Order
- Motion to Dismiss Order
- Neutral Case Submission
- Oath of Arbitrator
- Order
- Postponement Order

Start

Select a Submission Type, then press Start

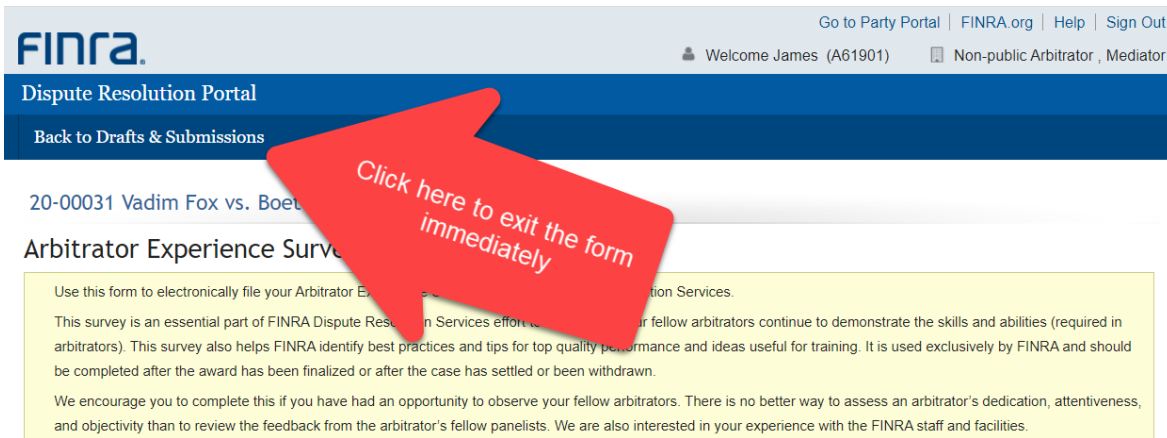
Shared Draft Submissions
These are draft submissions that are read-only.

There are no draft submissions.

My Submissions
You can share your draft with other panelists on your case by clicking "Share". Click "Unshare" to stop sharing. Only you and other panelists will have to refresh their browsers to see your latest edits after you save them.

Press Share to share your saved draft form with your co-panelists.

Tracking Number	Submission Type	Status	Status Date	Attachments		
DR0094852	Order	Draft	09/28/2023		Share	Delete
DR0094851	Neutral Case Submission	Draft	09/28/2023	Test Document.pdf	Share	Delete
DR0094371	Order	Submitted	08/18/2023			



- 5. Some forms have an Attachments section. Press the red **Add Document** button to attach a PDF document from your computer to the form.

Neutral Case Submission

Use this form to electronically file case-related documents with FINRA Dispute Resolution Services. Only use this form to submit documents for THIS CASE. To submit changes to your neutral profile, use the Update Neutral Profile form or e-mail PanelUpdate@FINRA.org.
Select "Submit" at the bottom of this page to submit this form and attached documents to FINRA.

Attachments

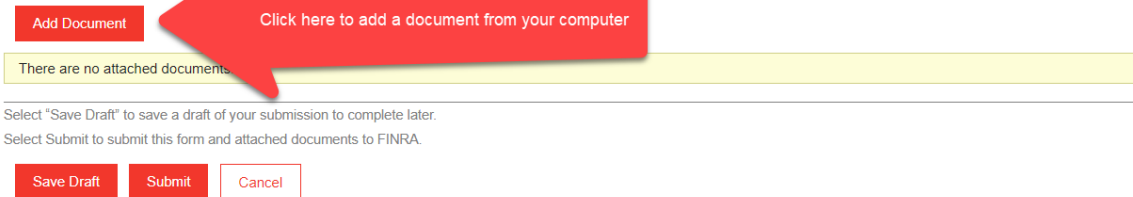
Select "Add Document" to attach your documents to this form.

Documents must be in Adobe PDF Format.

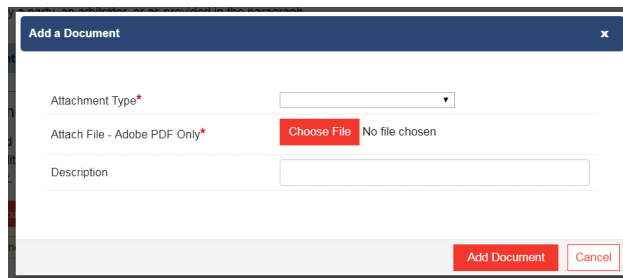
Note: PDF "portfolio" documents are not an acceptable file format.

Documents are uploaded one at a time to this form. A single attachment cannot be larger than 2GB in size. If you have a file larger than 2GB, please contact your case administrator for assistance.

You can edit the Attachments using the "Edit" and "Delete" buttons next to the attachment.



- 6. Select the "Attachment Type" from the dropdown menu that describes the document you are submitting.



7. Press the **Choose File** button to select the PDF on your computer to submit. Find the file, and double-click on it to select it. Enter a brief description of the document in the Description field.
8. Press the **Add Document** button. Your document is added to the list of attached documents you wish to send to FINRA.

Attachments

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

Documents must be in Adobe PDF Format.

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

Documents are uploaded one at a time to this form. A single attachment cannot be larger than 2GB in size. 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 a document from 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.

Add Document

Attachment Type	File	Order	Edit	Delete
Other	Test Document.pdf	1	Edit	Delete

Note: A red callout box points to the 'Edit' link with the text: "Your document is 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."

Select "Save Draft" to save a draft of your submission to complete later.

Select Submit to submit this form and attached documents to FINRA.

Save Draft **Submit** **Cancel**

Note: You can add more than one document to this form by repeating these steps.

9. To finalize your submission, press the **Submit** button.

Most forms have a **Preview Full Draft** button located at the top and bottom of the form. Pressing this button opens the entire form for you to review prior to submitting to FINRA. This makes it easier to see everything you have entered (rather than having to open each section of the form one at a time). You cannot submit the form while you are previewing it. Press the **Close Preview** button to return to edit mode and to Submit the form.

Dispute Resolution Portal

[Back to Drafts & Submissions](#)

Preview Full Draft

21-0005

Award Information Sheet

Note: A red arrow points to the 'Preview Full Draft' button.

Dispute Resolution Portal

Back to Drafts & Submissions

This read-only preview allows you to review the entirety of your draft submission. It has NOT yet been submitted to FINRA. You must return to the editable version of your draft by pressing "Close Preview" in order to make further edits or to submit this form.

Close Preview

21-0005

Award Information Sheet

After you press **Submit**, you should receive a confirmation on your screen that your form was submitted successfully. You will also receive a confirmation email.

After a few seconds, you will be returned to the Drafts & Submissions tab and 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.

Messages Details Hearings Scheduling Payments Documents (2) Drafts & Submissions

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.

You have successfully submitted documents to FINRA. **Confirmation message**

Tracking Number	Submission Type	Status	Status Date	Attachments
DR0005413	Neutral Case Submission	Submitted	03/15/2017	Order.pdf

From: drportal@finra.org
To: Schroder, James
Cc:
Subject: FINRA Attachment Form Confirmation (Form Tracking # DR0005413)

This is an automated email. This mailbox is unattended. Do not reply to this email.

Your form has been successfully submitted to FINRA.

Name: James Schroder

Form Tracking Number: DR0005413

Case ID: 13-0
Patrick Buff vs. XYZ Financial, Inc

Submitted Attachments:
Order.pdf (Order)

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

If you are not yet ready to submit your documents, you can press the **Save Draft** button. This will save an in-progress draft of this form in your "Drafts & Submissions" tab that you can return to later by clicking on the Tracking Number, or you can delete the draft by clicking on the **Delete** button.

Sharing Draft Submissions

To share your saved draft form with your co-panelists, press the **Share** button located next to your draft form. The form will be visible on the other panelists' portals on this case in the "Shared

Draft Submissions” section of this page. The other panelists will receive an email notifying them that you have shared a draft form with them. The **Share** button will change to **Unshare** that you can press to stop sharing your draft form.

Other panelists cannot edit your draft form, they can only view it. If they have comments about your draft, they will have to communicate with you directly. If you make additional edits to your draft and save them, the other panelists will have to refresh their browser page to see your latest edits.

To view a draft form being shared with you by another panelist on this case, click on the Tracking Number in the “Shared Draft Submissions” section. You can also click on any attachments to see the current documents that are attached to the draft form.

To exit this view, click on “Back to Drafts & Submissions” at the top of the page.

Messages (3) Details Hearings Scheduling Payments Documents (1) Drafts & Submissions Award Review

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
Choose a submission type, and then select Start.

Submission Type:

Shared Draft Submissions
These are draft submissions shared by other panelists on this case and are read-only.

Tracking Number	Submission Type	Status	Status Date	Attachments	Shared By
DR0088307	Award Information Sheet	Draft	09/13/2021		Manny Jimenez

My Submissions
NEW! You can share your draft with other panelists on your case by clicking "Share". Click "Unshare" to stop sharing. Only you can edit your draft. Other panelists will have to refresh their browsers to see your latest edits after you save them.

Tracking Number	Submission Type	Status	Status Date	Attachments	Share	Delete
DR0088308	Order	Draft	09/13/2021		<input type="button" value="Share"/>	<input type="button" value="Delete"/>

If other panelists on this case share a draft form, it will appear here for you to view (and show whom it was shared by).

Click here to share this draft form with the other panelists on this case.



Go to Party Portal | FINRA.org | Help | Sign Out

Welcome James W. Schroder

Non-public Arbitrator, Mediator

Dispute Resolution Portal

Back to Drafts & Submissions

Click here to exit this view.

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

21-00050

Award Information Sheet

Shows who is sharing this draft with you.

Use this form to electronically file your Award Information Sheet with FINRA Dispute Resolution Services. Select "Save Draft" at the bottom of this page to save a draft of your submission to complete later. Select "Submit" at the bottom of this page to submit this form and attached documents to FINRA. NOTE: This form is to be submitted by the chairperson (unless otherwise decided by the panel).

Submitting an Arbitrator Experience Survey

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

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

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

To submit this form, follow these steps:

Messages (3) Details Hearings Scheduling Payments Documents (1) Drafts & Submissions Award Review

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
Choose a submission type, and then select Start.

Submission Type:

My Submissions
You can share your draft with other panelists by clicking "Share". Click "Unshare" to stop sharing. Only you can edit your draft. Other panelists will have to refresh their browsers to see your latest draft.

Tracking Number	Status	Status Date	Attachments
Order			
Postponement Order			

1. Choose "Arbitrator Experience Survey" on the Submission Type dropdown, and then press the red **Start** button. The form will be displayed.
2. 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.
3. 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.

Rejected Forms

All of the "order" forms have an additional feature: The ability for a form to be sent back to your portal by FINRA staff when there is missing information or staff requires clarification. You will receive an email from staff notifying you that the form was returned and noting the problem they are having. You can find the form in the Drafts & Submissions folder of the case with a status of

© 2024 Financial Industry Regulatory Authority, Inc. All rights reserved.

“Rejected”. Just select the Tracking Number to go into the form. Your previous entries will still be there. Just make whatever changes are needed and press the Submit button again.

Messages (2) Details Hearings Scheduling Payments Documents (13) Drafts & Submissions

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, choose a submission type, and then select Start.

Submission Type: *New! You can now submit the Initial Prehearing Conference Order using this form.*

Click on the column header to sort the list. 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	Attachments	
DR0066387	Initial Prehearing Conference Order	Rejected	12/12/2018	13-03055A5842.pdf	Delete

Award Review

The “Award Review” tab allows you to review and electronically “sign” the award directly through the Portal.

Messages (6) Details Hearings Scheduling Payments Documents (1) Drafts & Submissions Award Review

Award Review

Award Draft ID: 115
Please Review the contents of this award no later than 08/09/2019.

Press on "View Award Draft" button to open the draft award PDF in your browser.
If the contents of the award are complete and accurate, check the affirmation checkbox, type your full name into the Signature box, and then press the "Sign Award" button.
If you find any errors or omissions, check the "issues" checkbox, press the "Return for Corrections" button, and then contact the FINRA Assigned Staff immediately to correct the issue.

I, the undersigned Arbitrator, do hereby affirm that I am the individual described herein and who executed this instrument which is my award.

OR

I note one or more issues with this award draft. I will contact FINRA Assigned Staff at the phone number or email address listed above.

Arbitrators

Name	Type	Award Review Status	Status Date	Email	Phone
Mr. James W. Schroder	Public	Not Started	7/30/2019	james.schroder@finra.org	212-412-2000
Mr. Richard Drey	Panelist Non-public	Not Started	7/30/2019		888-356-7890
Mr. Robert W. Shaw Jr.	Panelist Non-public	Not Started	7/30/2019		201-412-2000

When the award draft has been prepared, you will receive an email notifying you that the award is ready for your review and signature. Like other notification emails you receive, it will contain a link to the Award Review tab of the associated case in the Portal.

Press the **View Award Draft** button to open the award PDF in your browser.

If the award is completely accurate, click on the affirmation checkbox, type your full name in the Signature box, then press the **Sign Award** button. A message will pop up asking if you are sure you want to sign the award. Click **Yes** if you are sure, or **No** if you want to go back. You will see a confirmation message.

I, the undersigned Arbitrator, do hereby affirm that I am the individual described herein and who executed this instrument which is my award.

Signature: (type your full name, then press the "Sign Award" button)

James Schroder

Sign Award

OR

I note one or more issues with this award draft. I will contact FINRA Assigned Staff at the phone number or email address listed above.

Note that you CAN change your mind and remove your signature from the award. Press the **Remove Signature** button to remove your signature. You can change your mind until FINRA staff finalizes the award, which they will do after they see that all panelists have signed the award.

I, the undersigned Arbitrator, do hereby affirm that I am the individual described herein and who executed this instrument which is my award.

Signature: (type your full name, then press the "Sign Award" button)

James Schroder

Remove Signature

Alternatively, if you note any errors or omissions in the award draft, you can indicate that and then contact the FINRA staff assigned to your case so that it can be resolved. Check the second box and then press the **Return for Correction** button.

OR

I note one or more issues with this award draft. I will contact FINRA Assigned Staff at the phone number or email address listed above.

Return for Correction

Note: You MUST contact FINRA DRS immediately and explain the issue with the award.

At the bottom of the page, you can see the current award review status of all panel members.

Arbitrators

Name	Role	Type	Award Review Status	Status Date	Email	Phone
Mr. James W. Schroder	Chair	Non-public	Returned for Correction	7/30/2019	james.schroder	212-...
Mr. Richard Drey	Panelist	Non-public	Signed	7/30/2019		888-...
Mr. Robert W. Shaw Jr.	Panelist	Non-public	Not Started	7/30/2019		201-...

Viewing Your Disclosure Report



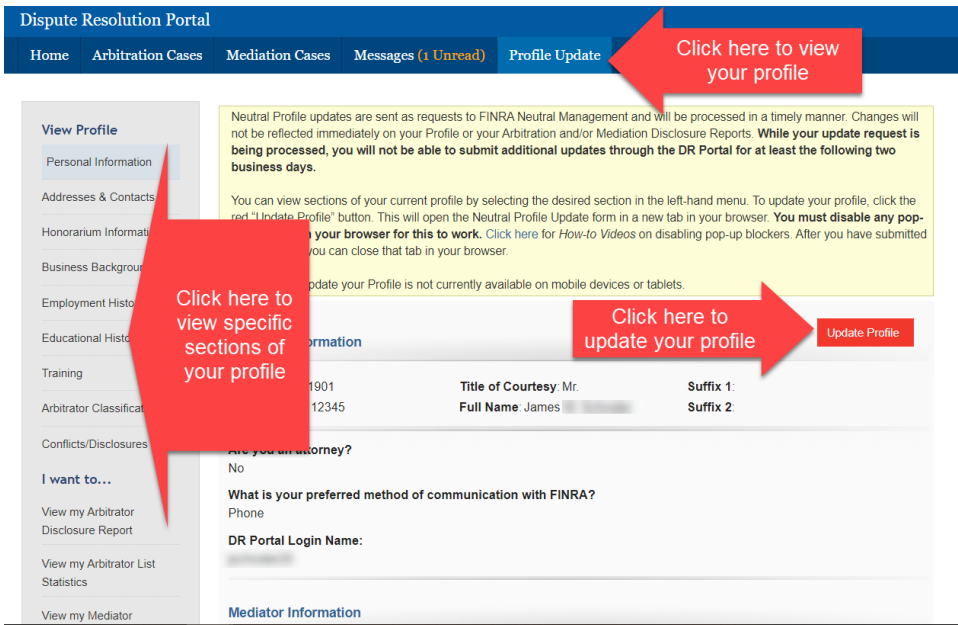
If you would like to see your current disclosure report before making updates, click on **“View My Arbitrator Disclosure Report”** or **“View My Mediator Disclosure Report”** found on the left-hand menu. You will see a PDF version of your current disclosure report. You can also choose to print the report by selecting print from your browser menu.

Note: You cannot directly edit your disclosure report. To make changes, you submit updates to your profile, and then FINRA staff process your submission to update your disclosure report.

Viewing and Updating Your Neutral Profile

You can view and submit changes to your profile information through the portal. To view your profile:

Click on **“Profile Update”** in the heading bar. The **View Profile** page will open on the **Personal Information** tab. Click on any of the headings in the left-hand menu to view the specific information in your profile.



Neutral Profile Update

Neutrals can make updates to their disclosure reports through the Portal.

Note: If you submitted an update that has not yet been processed by FINRA staff, you must wait at least two business days before trying to submit another update through the DR Portal. If you need to submit your update sooner, you can send it by email to panelupdate@finra.org.

To update your profile, do the following:

1. Click on the red **Update Profile** button.

This takes you to the DR Neutral Profile Update Form page.

This form opens in the same browser tab as the portal. If you want to exit the form before submitting changes (or after you submit), click on the "Back to DR Portal" link.

FINRA Dispute Resolution Portal

[Back to DR Portal](#)

Personal Information

Contacts and Honorarium

Business Background

Employment History *

Educational History

Training

Arbitrator Classifications *

Statutory Discrimination Qual.

Injunctive Relief Qualification

Conflicts/Disclosures *

Accommodations

Review and Submit *

INSTRUCTIONS

Neutral Profile updates are processed in a timely manner. Changes will not be reflected immediately in the Reports.

Please read the specific instructions for each section. You may wish to click on the desired section name in the left-hand menu. You do not have to complete each section if the section is not applicable to you.

NOTE: You must however, review and affirm your response to the Employment, Arbitrator Classifications and the Conflict Disclosures sections that have an asterisk (*).

Once you have made your changes, go to the "Review and Submit" section at the end of the form and press the "Submit" button.

After you have submitted your updates (or if you want to exit this form without submitting updates), click on the "Back to DR Portal" link found at the top-right corner of this form.

The ability to update your Profile is not currently available on mobile devices or tablets.

Personal Information

Please provide any updates to your personal information. All questions marked as * are mandatory.

Tracking Number
6510352

Neutral ID
A61901

Login Name

2. The Profile Update form will begin with **Personal Information**, however, you may skip to a specific section either by clicking "**Next**" at the bottom of the page, or by clicking on the section name that you want to jump to in the left-hand menu.

Personal Information	
Contacts and Honorarium	
Business Background	
Employment History *	<p style="color: red;">You must review and approve these sections every time you submit an update.</p>
Educational History	
Training	
Arbitrator Classifications *	<p style="color: red;">You must review and approve these sections every time you submit an update.</p>
Statutory Discrimination Qual.	
Injunctive Relief Qualification	
Conflicts/Disclosures *	
Accommodations	
Review and Submit *	

You do not need to complete each section or go in sequential order. However, you **must** review and affirm your responses in the Employment History, Arbitrator Classifications (if you are an arbitrator) and Conflicts/Disclosures sections **each** time you submit an update form.

Some of the profile information is for viewing only and cannot be updated directly. The system will identify what information you can and cannot modify.

Please read the specific update instructions on the top of each page. All questions with a red asterisk (*) are required.

3. Once you have made your changes, go to the “Review and Submit” section at the end of the form and press the “Submit” button.

4. After you have submitted your updates, click on the “**Back to DR Portal**” link at the top right of the form to return to the portal Home page.

Personal Information

The following information is part of your personal information section. You may update some of this information. Any sections that are view only are indicated below.

- Neutral ID (view only)
- Title
- First Name
- CRD Number (view only; you must call FINRA if there is a change to your CRD number)
- Are you an attorney?
- Preferred method of communication
- Login name to DR Portal (view only)
- Arbitration specific question: willing to serve as chairperson
- Mediator specific questions: style, mediation by phone, etc.

Personal information can be updated by entering text in the free text fields and using the drop-down options.

Please provide any updates to your personal information. All questions marked with an asterisk are required.

Personal Information	Tracking Number 3505595
Contacts and Honorarium	Neutral ID A61901
Business Background	Login Name [REDACTED]
Employment History *	Title of courtesy * Mr.
Educational History	First name * James
Training	Suffix 1 [REDACTED]
Arbitrator Classifications *	Suffix 2 [REDACTED]
Statutory Discrimination Qual.	CRD Number (if applicable) 12345
Injunctive Relief Qualification	Are you an attorney? * <input type="radio"/> Yes <input checked="" type="radio"/> No
Conflicts/Disclosures *	What is your preferred method of communication? Phone
Accommodations	E-mail Fax Mail Phone
Review and Submit *	

Please indicate the number of rooms available to you to conduct mediation.

Contacts and Honorarium

You can update your address and change which address should be the preferred address.

Email Address

Please note that you cannot change your email address by submitting a change directly on the Profile Update form. Your email address is tied to your DR Portal login. Therefore, you can only change your email address by updating your account information. Do this separately from the Profile Update form, as follows:

1. On the DR Portal Homepage, you can select the “Change My Email Address” quick link menu option to change your email address.
2. You may also use the link on the Email Address section of the update form.

The primary method of correspondence from DR Neutral Management is through email. The email address you used to register for the DR Portal is the email that DR will use to communicate with you.

The email address that FINRA DR has on file for you is: jsmith@email.com

If you wish to change your email address with FINRA DR, please update your Account information by clicking [here](#).

3. Click the pencil icon to enter your new email address, then click the check mark to save.

The screenshot shows the 'My Account' page with a 'Personal Profile' section. The email field is highlighted with a pencil icon. A red callout box points to the pencil icon with the text: 'Click the pencil to change your email address, then click the check mark to save, or the X to cancel.'

4. Close this browser tab to return to the Profile Update form.

Addresses

Click anywhere on the address line to edit it.

You can also delete any outdated addresses by using the “**delete**” button.

To add a new address, click the “**Add New**” button and enter the required fields. Be sure to designate at least one address as your preferred address. Do not enter the same address more than once.

Addresses								
Preferred	Firm/Company	Street	Apt/Sui...	City	State	Postal Code	Country	
Y		888 John Street	***	New York	NY	10006	USA	<input type="button" value="Delete"/>
<input type="button" value="Add New"/> 1 Row(s)								

Click a row to edit it.

You can make similar changes to your **telephone and fax numbers**.

Honorarium/Mediator Payment

You may change where you would like your honorarium to be sent. You may also choose to waive the honorarium at any time. Be sure to answer the required questions about honorarium.

Honorarium/Mediator Payment

Pursuant to the Code of Arbitration Procedure, if an arbitrator serves on a case, he/she will be paid an honorarium for each hearing session (including a prehearing conference). Arbitrators must not set their own rates. Arbitrators serving on FINRA's roster are bound by FINRA's honorarium rate.

Please note that if you are serving as both an arbitrator and a mediator on the FINRA roster, that any changes to your payment instructions will apply to both your arbitrator honorarium and your mediator payments.

All questions marked as * are mandatory.

Do you wish to waive your honorarium? *

Yes No

To whom do you wish your honorarium fees to be paid? *

Yourself Your Employer

Indicate which of the following addresses you prefer your honorarium to be sent *

If your preferred honorarium address is not listed, please enter it as an additional address in the Addresses section above.



123 Main Street

Business Background

You may edit your business background by typing in new text and deleting outdated information. You can make changes directly into your existing business background. You should not leave this section blank.

You will not be able to attach documents. However, you will be able to cut and paste text from a document into the business background section. We ask that you do not delete any notations entered by FINRA staff in this section.

You should review your new business background for any typos and spelling errors. Once you submit your new business background, FINRA staff will review and—barring obvious mistakes—will process the new background directly into your profile.

Personal Information	Business Background
Contacts and Honorarium	<p>ARBITRATOR BUSINESS BACKGROUND</p> <p>Please update the narrative summary of your business background in paragraph format. Please note that this narrative will appear the way you have entered it on your Arbitrator Disclosure Report to parties. If you made changes to other sections of your profile, please make corresponding changes in your business background statement. Include any experience, education or training involving securities or employment matters, including college or university courses taken or seminars attended, and any other expertise or skills involving securities, employment or dispute resolution. You may view sample business background statements  here.</p> <p>Note: This information will be made available to parties.</p> <hr/> <p>This is my background narrative. Lorem ipsum dolor sit amet, consectetur adipiscing elit. Maecenas porttitor congue massa. Fusce posuere, magna sed pulvinar ultricies, purus lectus malesuada libero, sit amet commodo magna eros quis urna. Nunc viverra imperdiet enim. Fusce est. Vivamus a tellus. Pellentesque habitant morbi tristique senectus et netus et malesuada fames ac turpis egestas. Proin pharetra nonummy pede. Mauris et orci.</p> <hr/> <p>Lorem ipsum dolor sit amet, consectetur adipiscing elit. Maecenas porttitor congue massa. Fusce posuere, magna sed pulvinar ultricies, purus lectus malesuada libero, sit amet commodo magna eros quis urna. Nunc viverra imperdiet enim. Fusce est. Vivamus a tellus. Pellentesque habitant morbi tristique senectus et netus et malesuada fames ac turpis egestas. Proin pharetra nonummy pede. Mauris et orci.</p> <p style="text-align: right;">You have 10000 character(s) left.</p> <p>MEDIATOR BUSINESS BACKGROUND</p> <p>Please update the narrative summary of your business background in paragraph format. Be sure to include any explanations about how you charge expenses in your narrative. Please note that this narrative will appear the way you have entered it on your Mediator Disclosure Report to parties. If you made changes to other sections of your profile, please make corresponding changes in your business background statement. You may view sample business background statements  here.</p>
Business Background	
Employment History *	
Educational History	
Training	
Arbitrator Classifications *	
Statutory Discrimination Qual.	
Injunctive Relief Qualification	
Conflicts/Disclosures *	
Accommodations	
Review and Submit *	

Employment History

You will only be able to add new employment information and edit existing entries. You will not be able to delete any previous employment information.

You must check the box affirming that the answers you provided in this section are accurate each time you submit an update form.

FINRA will continue to use the same rules when it comes to employment information. You cannot have an unexplained gap of more than 120 days in between employment. The system will not automatically flag your entry if it contains an unexplained gap of more than 120 days, so you must carefully review it to ensure that there are no gaps.

Retired or Unemployed

If you are retired or unemployed, please indicate this by entering an end date for your last employment and adding a new entry for your time of retirement or unemployment.

- In the list of your employment entries, click on an entry to edit it.
- Make your changes and click on the “Update Row” button (e.g., add an End Date for the date you retired.)
- Then, click on the “Add New” button to add a new entry for the start of your retirement. Enter “Unemployed” for the Firm Name and Position, and “Full-Time” for the Type.

Personal Information	<p>Employment History</p> <p>Please update your employment information if anything has changed.</p> <ul style="list-style-type: none"> • Do not submit an update with an unexplained employment gap of more than 120 days. • If you are currently unemployed, retired or on sabbatical, indicate your status by first entering the end date of your previous employment, then add a new record with your current status in the firm field with the appropriate start and end date (end date if applicable). • If you are currently retired from a position, enter the employer and the end date as the date of your retirement. • If you have ever worked in the securities industry, confirm that the information that you enter here matches the information on your CRD record. • If your employment at a company has concluded, please enter an end date. Do not delete or overwrite previous employment with new employment information. FINRA is required to maintain the complete employment history of all active neutrals. <p style="color: red;">Review your Business Background to ensure that the information is consistent with the rest of your arbitrator disclosure report. For example, when making changes to employment, make any corresponding changes to your Business Background.</p> <p>All questions marked as * are mandatory.</p>
Contacts and Honorarium	
Business Background	
Employment History *	
Educational History	
Training	
Arbitrator Classifications *	
Statutory Discrimination Qual.	
Injunctive Relief Qualification	
Conflicts/Disclosures *	
Accommodations	
Review and Submit *	

Start Date	End Date	Firm Name	Position/Title	Full/Part-time
09/2021		Abby Corp	CEO	Full-Time
07/2017	09/2019	Schroder Inc.	Owner	Full-Time
06/1987	06/2018	XYZ Corp.	Director of Operations	Full-Time
09/1983	05/1987	Gary & Co., Inc.	Operations Manager	Full-Time

Educational History

You will only be able to add new education information and edit existing entries. You will not be able to delete any previous education information. This works the same way as all grids on this form; click on a row to edit it, then click on “Add New” to add a new entry.

Training

You will only be able to add new training information and edit existing entries. You will not be able to delete any previous training information.

You will have the option to classify training as either arbitration training, mediation training, or other training.

You should enter the completion date, course, firm/school, and name of the course under the “Details” field, then click “Add Row” to add the entry.

Arbitrator Classifications (action required for arbitrators)

To ensure that arbitrators are properly classified as “public” or “non-public,” FINRA will ask you to affirm your classification. On your first visit to the update section of the portal, you will be required to answer a series of questions related to your classification.

On subsequent visits, you will be required to affirm your previous answers to these classification questions—if further modification is not necessary. However, you will not need to re-answer the same questions each time you make an update to your profile.

If you provide responses that raise a question about your classification, you will receive a message to contact FINRA.

Statutory Discrimination Qualifications

To serve as the chairperson on statutory discrimination cases, you must qualify under [Rule 13802](#) of the Code of Arbitration Procedure. If you are interested in serving in this capacity, you may answer the questions in this section of the update form. You must also provide a summary of your qualifications in this area of law.

Staff will review your responses to make sure that you qualify under the Code of Arbitration Procedure before making this update to your profile.

Injunctive Relief Qualification

To serve on cases involving injunctive relief, you must qualify under [Rule 13804](#) of the Code of Arbitration Procedure. If you are interested in serving in this capacity, you may answer the questions in this section of the update form. You must also provide a summary of your qualifications in this area of law.

Staff will review your responses to make sure that you qualify under the Code of Arbitration Procedure before making this update to your profile.

Conflicts/Disclosures (action required for all neutrals)

This section captures information that you provided in the Legal/Regulatory and Conflicts/Disclosures sections of the arbitrator application. For example, you may update or add information about your brokerage accounts, litigation (including non-securities related lawsuits), publications (including publications that appear only online), professional licenses, service as an expert witness, service on boards of directors, disclosures related to your spouse or [immediate family member](#) (definition for immediate family member is part of the definition for “public arbitrator,”), etc. This section captures any and all disclosures that may not fit neatly into another section of your disclosure profile. As an arbitrator you are under a continuing duty to update information initially provided in the application and provide new disclosures as they arise. **When in doubt, disclose.** Failure to disclose may result in vacated awards which undermine the efficiency and finality of our process. Failure to disclose may also result in removal from the roster.

You will **not** be able to delete any previous entries to this section. The only edits you may make to a previous conflict/disclosure is to update the Status field to indicate that the disclosure is no longer active or is inaccurate. You may provide a written explanation to describe any changes that you submit.

You must check the box affirming that the answers you provided in this section are accurate each time you submit an update form.

Accommodations

Please let us know if you have any special accommodations when serving as a neutral.

Review and Submit

Check for Errors Button

Before you submit your update form, click on the **Check for Errors** button to see if you have any unresolved entries in your form.

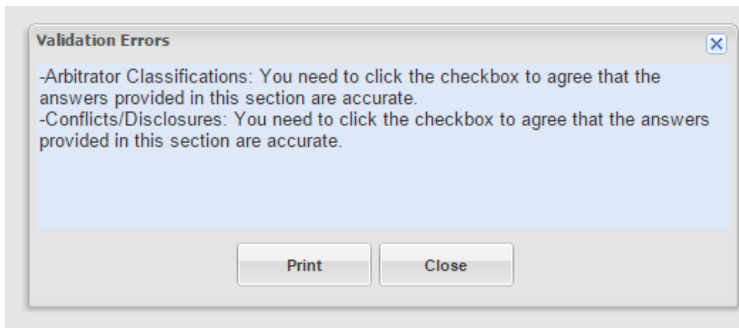
Review and Submit

All questions marked as * are mandatory.

Neutral profile updates are sent as requests to FINRA and will be manually processed in a timely manner. Changes will not be reflected immediately on your Profile or your Arbitrator and/or Mediator Disclosure Reports. While your update request is being processed, you **will not** be able to submit updates through the DR Portal for approximately five business days.

Update information is subject to review prior to acceptance by Neutral Management staff. FINRA may contact you with additional questions.

* **By selecting this checkbox, I affirm that the information I provided is true and complete to the best of my knowledge. I assume the responsibility of promptly informing FINRA of any changes to my profile information, and I understand that failure to do so may result in my immediate removal from the roster of approved arbitrators.**



Error Message

If you have any errors in your submission, the system will show you a message with the sections in which you have errors. The sections with errors will appear immediately before the colon; they will correlate with the sections that appear in the left-hand navigation menu of the form. You must correct the errors before the system accepts your update form.

To help remember what errors need to be fixed, you can select the “Print” button to print out the error message.

Submit

You must check the box affirming that the information in your profile is true and complete to the best of your knowledge.

When you submit the form successfully, you will receive a confirmation email with a tracking number to reference in case you have questions about your submission. You should also print out a copy of the form you submitted. You can then close the tab in your browser.

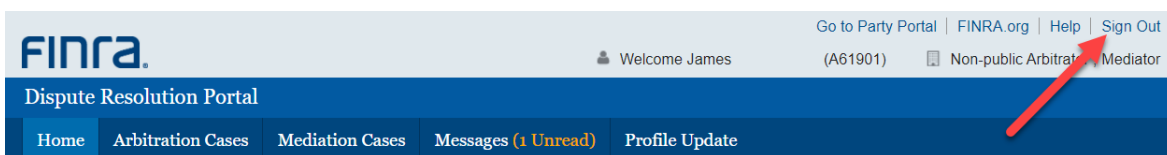
When Will the Updates Appear in Your Profile?

If you are currently serving on a case, FINRA will endeavor to make the update to your profile within one business day. If you are not currently serving on a case, FINRA will try to make the update within three to five business days. Therefore, you will not immediately see the updates in the DR Portal.

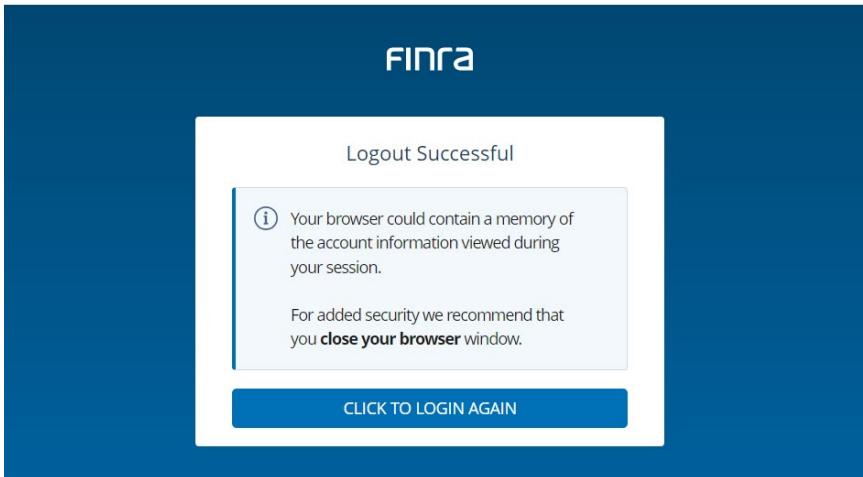
If you recently submitted an update through the Portal and we have not processed the form yet, you will not be able to submit a new update through the Portal. If it is urgent, you can send it by email to panelupdate@finra.org.

Log Out of Portal

When you are done with your session in the DR Portal, be sure to log out 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

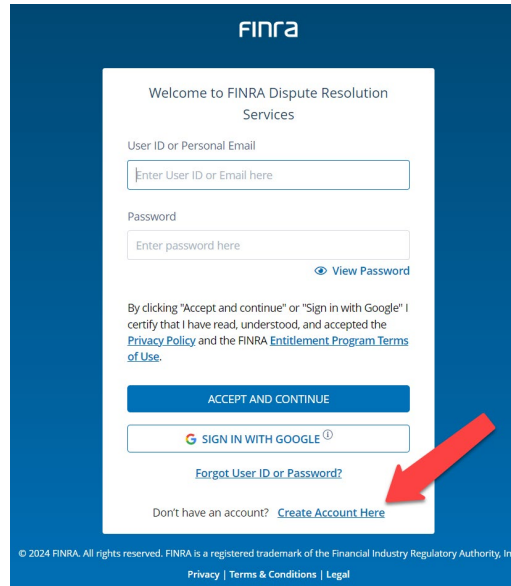
If you have any questions about the DR Portal, please contact Neutral Management Staff toll free at **(855) 209-1620** or in New York at **(212) 858-3999**. If your account is locked, call the FINRA Call Center at **(301) 590-6500**. If you are having a technical problem other than your account being locked and need immediate assistance, please call the DR Portal Help Desk at **(800) 700-7065**.

Note: If you become locked out of your account, after one hour your account will unlock and you can try your password again. If it still does not work, contact the FINRA Call Center.

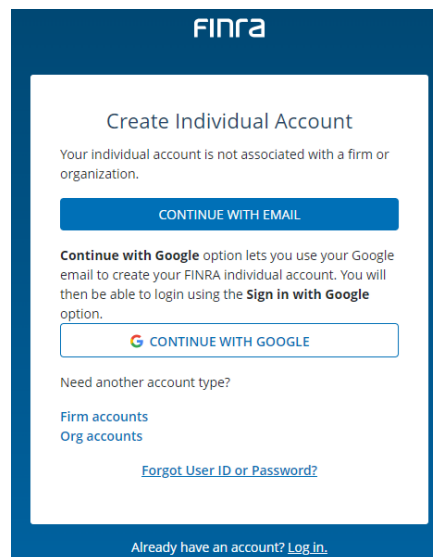
If you would like to provide feedback regarding the DR Portal or make any suggestions for possible future enhancements, please send an email to drportalfeedback@finra.org. We appreciate your thoughtful comments and suggestions.

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.

- 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.](#)

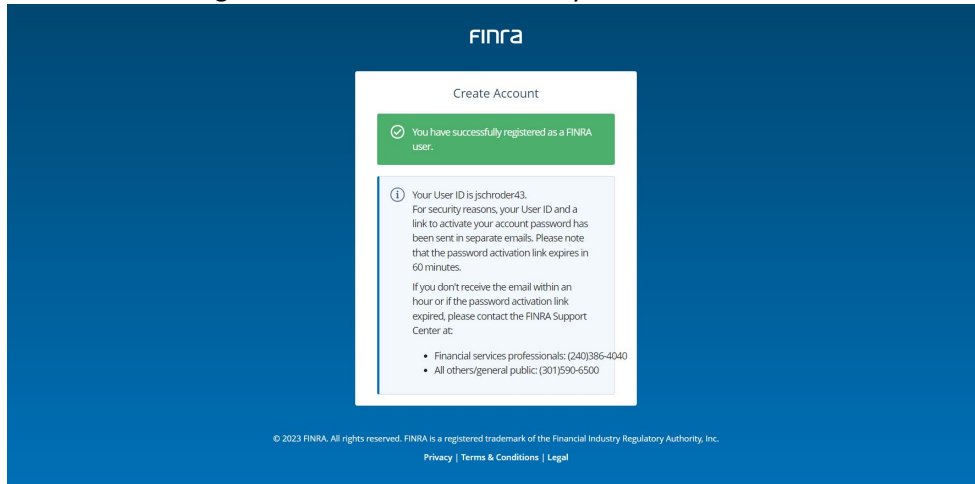
Note: you cannot use a FINRA Firm account, Org account, or state CRD/IARD credentials on the DR Portal. You must create a separate account. If you attempt to log into the DR Portal with one of these other types of accounts, you will receive the following error message:



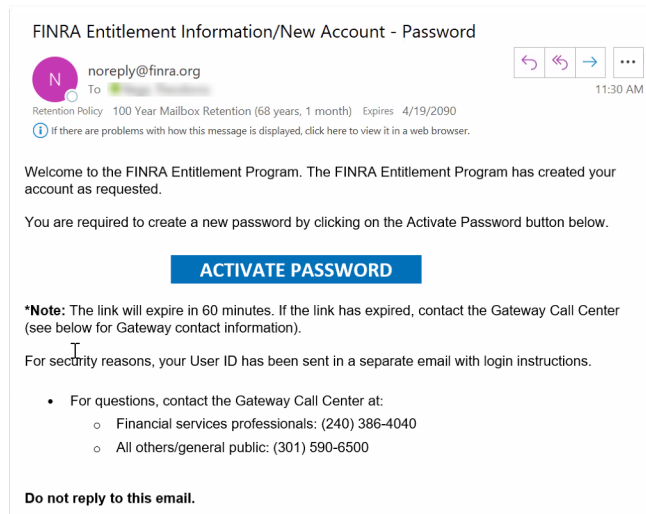
You only need one account to access all cases to which you are invited. You should NOT create a new account for each case you receive, and your account should use your unique email address. Do not use a “group mailbox” email address when creating an account.

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.

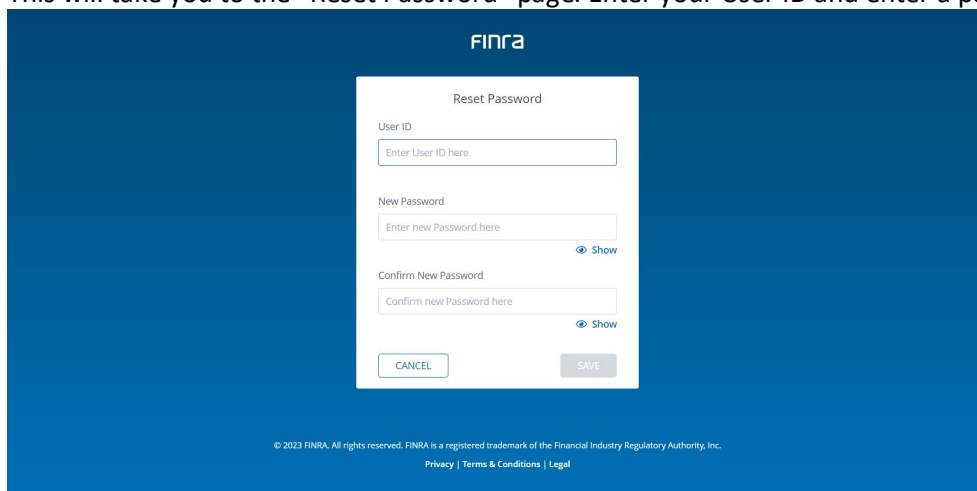
4. You will receive a “Registration Confirmation” with your User ID.



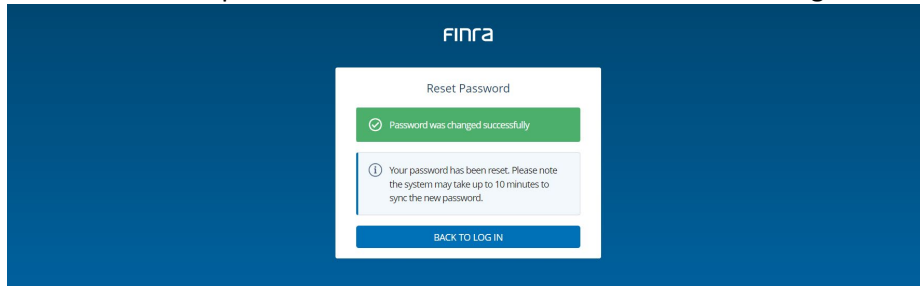
5. You will receive TWO emails: one confirms your account User ID, and the other provides a button to activate your password. Click on the “ACTIVATE PASSWORD” button in the second email.



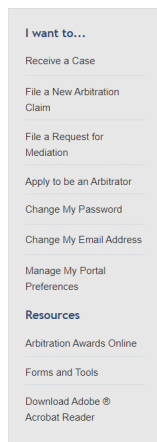
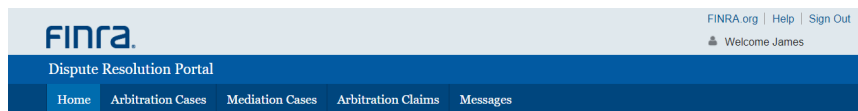
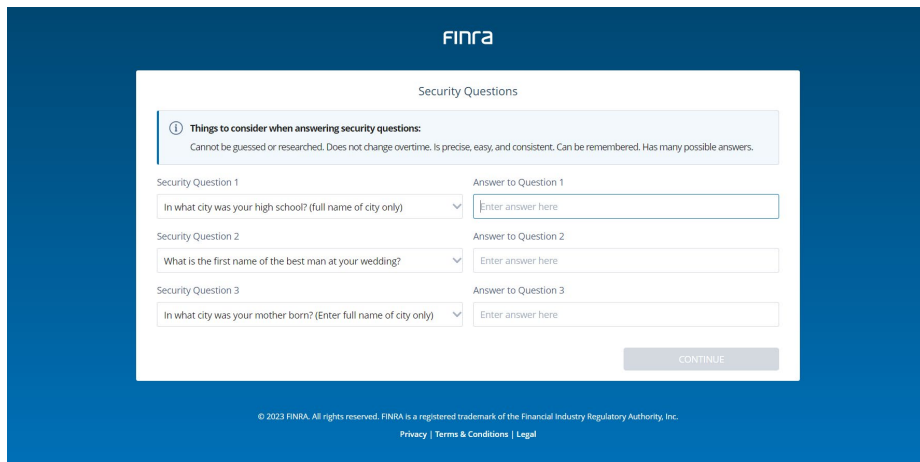
6. This will take you to the “Reset Password” page. Enter your User ID and enter a password.



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 PDF Forms

Some case processing forms, such as the Order on Request for Permanent Injunction, have not yet been incorporated into the “Drafts & Submissions” tab of the portal. These can still be found on the “Forms and Hearing Scripts” page of the finra.org website at

<https://www.finra.org/arbitration-mediation/rules-case-resources/forms-scripts>. These are **Adobe Acrobat PDF** forms that contain blank fields for you to enter information. For these forms to work properly, you **MUST** use the free Adobe Acrobat Reader program on your computer. This is **ESPECIALLY** true for Apple Mac computers. Mac computers come with a program called “Preview” that allows you to view and edit PDF forms, but it does not let you save your work consistently and will cause you difficulties. You should download Adobe Acrobat Reader from <https://get.adobe.com/reader/>

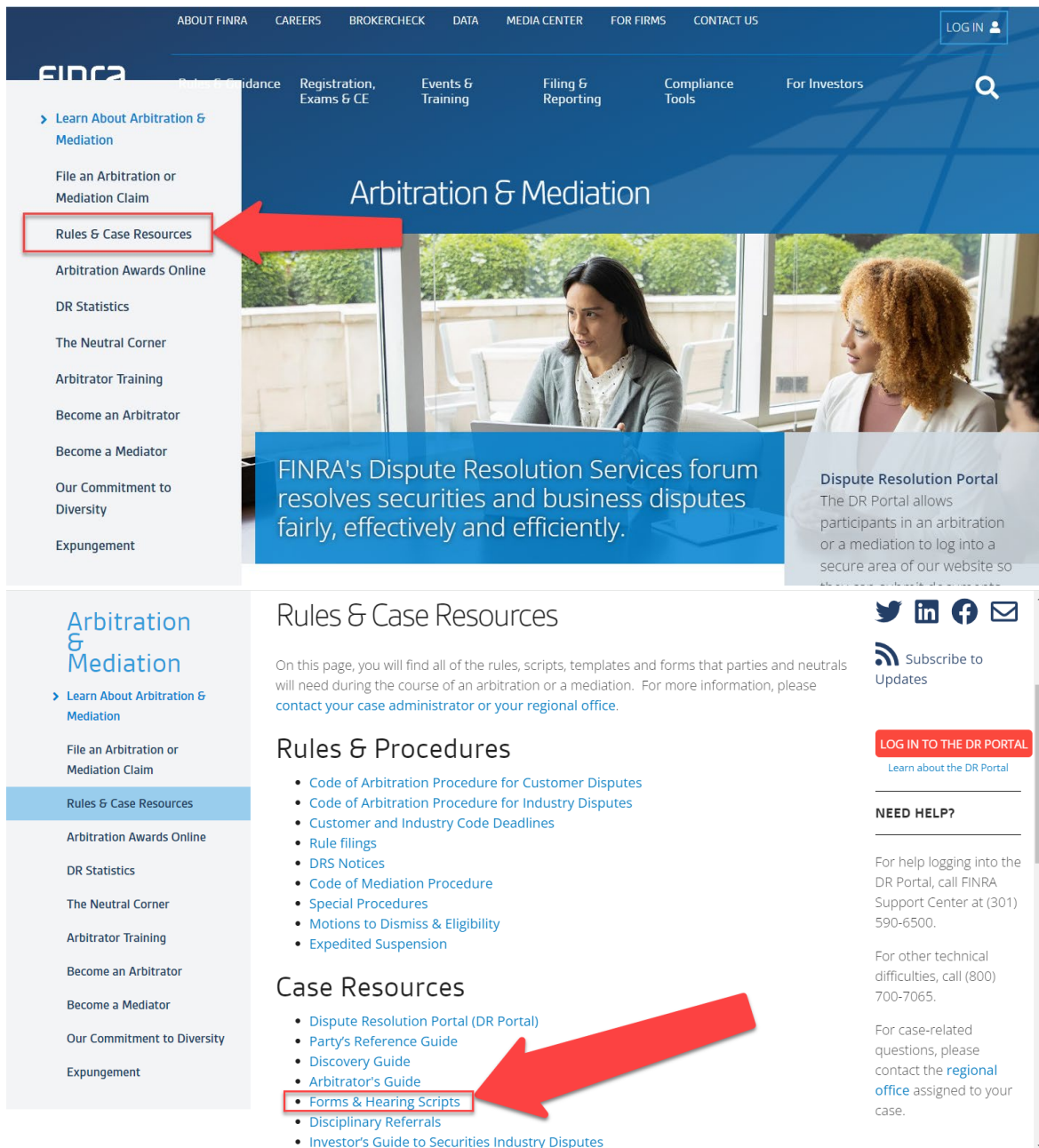
You should disable the optional offers if you do not want them, then click on “Download Acrobat Reader” and follow the instructions.

The screenshot shows the Adobe Acrobat Reader download page. The main heading is "The world's most trusted free PDF viewer". Below this, there is a "Download Acrobat Reader" button. A red arrow points to this button with the text "Click here to install on a Windows computer". Below the button, there is a section titled "Included with your download" which contains two checkboxes: "Install McAfee Security Scan Plus" and "Install McAfee Safe Connect". A red arrow points to these checkboxes with the text "Uncheck these options, unless you want them." Below this section, there is another "Download Acrobat Reader" button. A red arrow points to this button with the text "Click here to find the install option for Mac computers".

Once installed, you should make sure that your computer defaults to opening PDF documents using Acrobat Reader. Run Acrobat Reader and it should ask you if you want it to be the default program for viewing PDF files. Select Yes. You can find more information about making Adobe Reader the default PDF viewing program here: <https://helpx.adobe.com/acrobat/kb/cant-open-pdf.html>

To complete a PDF form found on the finra.org website, perform the following steps:

1. Go to the finra.org Arbitration and Mediation page <http://www.finra.org/arbitration-mediation>
2. Go to the “Rules & Case Resources” page, and then under Case Resources, click on “Forms & Hearing Scripts”.



3. Find the form you are looking for (e.g., the Order on Request for Permanent Injunction).

Portal.

Hearing Scripts

- [Initial Prehearing Conference Script - Single Arbitrator Case](#)
- [Initial Prehearing Conference Script - Three Member Panel](#)
- [Hearing Procedure Script – Single Arbitrator Case](#)
- [Hearing Procedure Script – Three Member Panel](#)
- [Hearing Procedure Script – Special Proceeding](#)

Prehearing Conference Forms

- [Initial Prehearing Conference Order \(available in the \[DR Portal\]\(#\)\)](#)
- [Prehearing Order \(available in the \[DR Portal\]\(#\)\)](#)
- [Motion to Dismiss Order \(available in the \[DR Portal\]\(#\)\)](#)
- [Postponement Order \(available in the \[DR Portal\]\(#\)\)](#)
- [Order on Request for Permanent Injunction](#)

Hearing Forms

- [Attendance List](#)
- [List of Claimant's Exhibits](#)
- [List of Respondent's Exhibits](#)
- [Award Information Sheet \(available in the \[DR Portal\]\(#\)\)](#)
- [Award Information Sheet - Sole Topic is Determination of Expungement of Customer Dispute Information \(available in the \[DR Portal\]\(#\)\)](#)
- [Wireless Internet Access Request Form](#)
- [Simplified Case Checklist](#)
- [Promissory Note Case Checklist](#)
- [Arbitrator Experience Survey \(available in the \[DR Portal\]\(#\)\)](#)

LOOKING FOR ARBITRATION AWARDS?

[Arbitration Awards](#)

4. Click on the form link, and then click on the red “Download Now” button. On some browsers, the form might just open immediately.
5. If you have a current version of Adobe Acrobat Reader installed on your computer, the form should be editable inside your browser. Otherwise, you should download the blank form to your computer, close your browser, and open the form on your computer using Adobe Acrobat.

Welcome to Acrobat

Get unlimited tool access for 7 days with a free trial.

[Start free trial](#)

Already have a plan? [Sign in](#)

CONVERT

- PDF to Word
- PDF to JPG
- PDF to Excel
- PDF to PPT
- Convert to PDF

EDIT

- Edit text & images
- Reorder pages
- Rotate PDF pages
- Delete [More tools](#)

finra.org / p009469

Download this file

FINRA

Order on Request for Permanent Injunction

At the conclusion of a hearing on a request for permanent injunction under FINRA rules¹, please complete this form.

An in-person or telephonic hearing on a request for Permanent Injunction under FINRA rules was held in the matter of:

CLAIMANT(S): _____

RESPONDENT(S): _____

CASE #: _____

The hearing was held on _____ (month/date/year).
The following individuals participated in the hearing: (list the attending individuals)

Chairperson: _____

Panelist: _____

Panelist: _____

Claimant's Representative: _____

Respondent's Representative: _____

Some actions are restricted on this document - view permissions for details. [View permissions](#)

FINRA Dispute Resolution Staff

6. Fill out the PDF form, entering the required information.
7. When you are finished, choose the File – Save menu option to save your changes. Then exit out of Adobe Acrobat.
8. Follow the steps under “Drafts and Submissions” on page 15 to submit this form through the DR Portal to FINRA Dispute Resolution Services.