



## FINRA Dispute Resolution Services: **Arbitration and Mediation**

Most business in the securities industry is conducted fairly and efficiently. But when problems arise, our neutrals stand ready to help investors, securities firms and individual registered representatives resolve securities-related disputes.

### **Why Serve?**



**Develop Skills.** By serving in our forum, you will learn the skills necessary to become a FINRA arbitrator, and acquire valuable skills that can be applied in other professional, arbitration or mediation settings.



**Give Back.** If you're looking for an opportunity to serve the public or give back to your community, serving as an arbitrator or mediator enables you to help others by applying your professional knowledge.



**Build Your Network.** Serving with other neutrals on a panel gives you the opportunity to meet and network with other professionals, including individuals who work inside and outside the securities industry.



**Earn Honoraria.** FINRA neutrals are not employees of FINRA but are independent contractors. Arbitrators receive honoraria for each telephonic prehearing conference or regular hearing session they attend. Mediators set their own hourly rate, and parties are billed for their fees, including expenses and travel.

## Interested in becoming an arbitrator or mediator?

Visit our website at [www.finra.org/ArbitrationMediation](http://www.finra.org/ArbitrationMediation) to learn more about eligibility requirements and to apply. Or contact our recruitment teams at [arbrecruitment@finra.org](mailto:arbrecruitment@finra.org) or [mediate@finra.org](mailto:mediate@finra.org).

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### About FINRA

FINRA is a not-for-profit self-regulatory organization authorized by federal law to help protect investors and ensure the fair and honest operation of securities markets. Under the oversight of the U.S. Securities and Exchange Commission (SEC), we regulate the activities of U.S. broker-dealers and monitor U.S. securities markets pursuant to our own statutory responsibility and under contract for certain exchanges.

### About FINRA Dispute Resolution Services

FINRA Dispute Resolution Services operates the largest forum in the United States specifically designed to facilitate the resolution of business and employment disputes between and among investors, securities firms and individual brokers. FINRA Dispute Resolution Services handles more than 99 percent of securities related arbitrations and mediations in the United States through its network of regional offices. We administer arbitrations and mediations in 69 hearing locations, including at least one in each state of the United States and one in San Juan, Puerto Rico. We maintain a roster of more than 8,100 arbitrators and more than 230 mediators around the country.