



**FINRA Dispute Resolution**

**PROMISSORY NOTE CASE CHECKLIST** *(Revised February 24, 2020)*

**Case Number** \_\_\_\_\_

**Case Name** \_\_\_\_\_

**Important Notice:**

Have you submitted your Arbitrator’s Oath? If not, please submit it to FINRA Office of Dispute Resolution together with the completed Promissory Note Case Checklist. Failure to provide the Oath may unnecessarily delay service of the award.

1. For cases in which a respondent has failed to submit an answer (an unresponsive party), have you reviewed the service history for that respondent? Yes\_\_\_ No \_\_\_

If yes, is service complete and sufficient upon the unresponsive party in order for you to decide the case? Yes\_\_\_ No\_\_\_

If you have any questions about service, please contact the case administrator assigned to your case.

2. Are you dismissing any respondents from this case? Yes\_\_\_ No\_\_\_

If yes, list the respondents you are dismissing:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. Are you denying claimant’s relief requests in their entirety against the remaining respondents?  
\_\_\_ Yes \_\_\_ No

4. **IF YOU ARE AWARDING DAMAGES TO THE CLAIMANT:**

a. Total compensatory damages awarded: \_\_\_\_\_

b. Are the respondents found jointly and severally liable? Yes\_\_\_ No\_\_\_

If no, list the respondents and the amount of liability against each:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. **INTEREST** (if applicable):

a. Granted \_\_\_\_\_ (if granted, please complete the sentence below.)  
Interest is awarded at the rate of \_\_\_\_\_% per annum from \_\_\_\_\_ to \_\_\_\_\_

b. Denied \_\_\_\_\_

6. **PUNITIVE DAMAGES** (if applicable)

a. Granted \_\_\_\_\_ (if granted, please supply the information requested below.)

Name(s) of respondent(s) against whom punitive damages are to be assessed and the amounts:

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Basis for punitive damage award: \_\_\_\_\_

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b. Denied \_\_\_\_\_

7. **ATTORNEY FEES** (if applicable)

a. Granted \_\_\_\_\_ (if granted, please specify amount and legal authority, if any)

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b. Denied \_\_\_\_\_

8. **COSTS** (if applicable)

a. Granted \_\_\_\_\_

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b. Denied \_\_\_\_\_

9. **FINRA DISPUTE RESOLUTION FEE OF \$300.00 FOR A DECISION ON WRITTEN SUBMISSIONS**  
(You are required to complete this section.)

Please indicate whether you wish to have the respondent(s) reimburse the claimant(s) for the \$300 paper decision fee previously paid to FINRA Office of Dispute Resolution.

\_\_\_ Yes      \_\_\_ No

10. **FILING FEES**

Please indicate whether you wish to have the respondent(s) reimburse the claimant(s) for the non-refundable portion of the filing fee previously paid to FINRA Office of Dispute Resolution.

\_\_\_ Yes      \_\_\_ No

11. You may use a separate sheet of paper to clarify or expand any part of the decision above or to indicate other types of relief.