

Dear Applicant:

FINRA Dispute Resolution (FINRA) operates the largest securities dispute resolution forum in the world. We handle more than 99 percent of all securities arbitration claims filed involving customers of brokerage firms, in addition to disputes between and among brokerage firms and their employees.

To accomplish this tremendous undertaking, FINRA relies on a diverse roster of arbitrators to maintain its fair, impartial and efficient system of dispute resolution. Our roster consists of arbitrators from various backgrounds, including educators, accountants, medical professionals and others, as well as lawyers and securities professionals. Unless waived by FINRA at its discretion, arbitrator applicants must have a minimum of five years of paid, business and/or professional experience and at least two years of college-level credits.

We recognize that our arbitrator application is lengthy and requires considerable time to complete. However, the questions we ask are necessary both to maintain the integrity of the roster and to ensure that new arbitrators are properly classified as either public or non-public upon approval. If you are accepted as an arbitrator, you will be under a continuing obligation to update your profile information.

In addition to the arbitrator application, FINRA conducts a limited background verification check using a contracted third-party vendor. Please complete, sign, date and submit the Consent to Background Search and Investigation form and the Social Security Number Verification form to authorize this background verification requirement.¹

If you have any questions, please call me at (212) 858-4351. Thank you for your interest in FINRA's arbitration program.

Sincerely,



CaTina S. Daniels
Neutral Management Supervisor

¹ FOR NEW YORK STATE RESIDENTS ONLY: New York's Fair Credit Reporting Act, Gen. Bus. Law § 380-c, requires that all entities that conduct background checks provide written notice to all consumers that are the subjects of such reports. The law requires that FINRA inform you that the report is being requested, provide the name and address of the third-party vendor (vendor) providing the report, and advise that a copy of the report may be requested by contacting that vendor. The vendor that provides the background verification services is: Pre-Employment, Inc., 8700 Crownhill, Suite 703, San Antonio, TX 78209.

Arbitrator Application

November 2014

How did you hear about us?

Thank You

for applying to **FINRA Dispute Resolution's Roster of Arbitrators**. We like to acknowledge our constituents for assisting us in reaching professionals like you to serve in our forum. Please let us know what prompted you to apply to our roster.

- FINRA Conference**

(location of conference)
- Business or Recruitment Conference**

(name and location of conference)
- FINRA Arbitrator Referral**

(name of arbitrator)
- Other Referral**

(name and occupation of source)
- FINRA Recruitment Letter**
- FINRA Email**
- FINRA Print Advertisement**

(specify publication)
- FINRA Internet Advertisement**

(specify website)
- Other (details):** _____

If we need to contact you further about this survey, please tell us how we can reach you:

Name: _____

Telephone: _____

Email: _____

<p>For FINRA Use Only</p> <p>Candidate's Name: _____</p> <p>Date: _____</p>
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Arbitrator Application Guide Instructions

Step-by-step

One | Complete and Return an Application

If, after thoroughly reviewing these materials, you are interested in becoming a FINRA Dispute Resolution arbitrator, you may proceed with **Step One** of the process. Please follow these steps carefully. Any deficiencies in the application will result in the return of the application to the sender and delay the review process.

1. Complete the FINRA Arbitrator Application.
2. Complete both pages of the Consent to Background Search and Investigation form.
3. Complete the Social Security Number Verification form.
4. When completing questions 10, 11 and 12 of the application, you must include the month and year in the “Start” and “End” fields. We will return any application with unexplained gaps in employment of more than one month.
5. On a separate sheet of paper, explain the basis for each expertise/experience field you checked in question 17 of the application. (You should rely on the expertise derived from your business, securities or employment experience, not only on your experience as an arbitrator in another forum.)
6. Return items one and two above, together with the \$80 non-refundable, verification fee. (Your check should be made out to FINRA Dispute Resolution.)

The return address is:

FINRA Dispute Resolution
Department of Neutral Management
One Liberty Plaza
165 Broadway, 27th Floor
New York, NY 10006

The application includes criteria for both temporary and permanent disqualification on page 35. If there is any possibility that you meet one or more of the disqualification standards outlined in the application, we encourage you to contact this office before proceeding further with your application.

Step One of the process requires approximately 45 days to complete upon our receipt of your application. Upon the successful completion of **Step One**, your application will proceed to **Step Two**.

Step-by-step

Two | NAMC Application Approval or Rejection

Step Two completes the application approval process and fulfills requirements set forth by the rules that govern FINRA Dispute Resolution. If your application proceeds through **Step One**, your resulting Disclosure Report will be forwarded to a Subcommittee of the National Arbitration and Mediation Committee (NAMC) for its review and approval. All applications are subject to approval to determine if your credentials match our needs.

The **Step Two** screening process generally takes another 45 days after your application is forwarded to the Subcommittee. Upon completion of this step, you will receive written notification that your application has been approved or denied. Your patience with this process is greatly appreciated.

Three | Training

After completing Steps One and Two of the application process, you are ready to start the basic arbitrator training program, which includes the following:

1. Online basic arbitrator training course, which requires successful completion of an online test.
2. Online expungement training course, which requires successful completion of an online test.
3. Live video or onsite classroom training program, which requires successful evaluation by the trainer.

To register for our online courses, please access FINRA's Learning Management System on our website (www.finra.org).

Online Basic Arbitrator Training Course

This skills course requires a thorough review of online self-study materials and successful completion of an online test. After studying the materials, you may begin the 25-question, multiple-choice test. You must correctly answer at least 20 questions (80 percent) to pass the course. The course and test take approximately eight hours to complete, and can be done over a period of 30 days from the registration date. Individuals who do not pass the online basic course will have only one additional opportunity to retake the course.

Step-by-step

Online Expungement Training Course

This mandatory course provides an overview of the expungement process. Specifically, the course explains the role of the Central Registration Depository; gives an in-depth review of FINRA Rule 2080 and Code of Arbitration Procedure Rules 12805 and 13805; and discusses the specific findings arbitrators must make for FINRA to waive its right to oppose the expungement request in court. After reviewing the course materials, you must complete the mandatory test and score at least 80 percent to pass the course. The course and test take approximately one hour to complete, and can be done over a period of 30 days from the registration date.

Live Video or Onsite Classroom Training Program

After successfully completing the online Basic Arbitrator Training and online Expungement Training courses and tests, you are ready to attend a four-hour live video or onsite classroom training program. Live video trainings are conducted via online conferencing several times each month and are available to individuals in any hearing location. Onsite classroom trainings are conducted in each of our regional offices throughout the year: Boca Raton, Chicago, Los Angeles and New York City. You may attend either program to satisfy the classroom training requirement. Please visit the Basic Arbitrator Training page of our website for schedules and registration instructions.

General Notice

Arbitrator candidates who have been approved to the roster, and who successfully pass FINRA Dispute Resolution's arbitrator training program, become eligible for case service.

Arbitrators are not employees of FINRA, and therefore are ineligible to receive any unemployment benefits or any FINRA benefits.

Forms

1. Personal Information

- a. Title of courtesy: Mr. Ms. Mrs. Miss Judge Prof. _____
- b. First name: _____
- c. Middle name: _____
- d. Last name: _____
- e. Suffix 1: I II III IV Junior Senior
- f. Suffix 2: CFA CFP CPA DDS Ed.D Esq. JD LLB LLM
 MA MD MS MBA PE Ph.D SVP VP
- g. Social Security Number (Required for IRS Form 1099 purposes): _____
- h. CRD Number¹ (if applicable): _____
- i. Are you an attorney? (If no, proceed to line (m.) below) yes no
- j. If you are an attorney, indicate the law school or authorizing institution where you obtained your Law Degree (Juris Doctor or equivalent): _____
- k. If you are an attorney, indicate the date you obtained your Law Degree (Juris Doctor or equivalent):

- l. If you are an attorney, indicate all states or jurisdictions where you are licensed to practice law/a member of the Bar (active or inactive). List your Bar ID number if applicable:
 active inactive _____
 active inactive _____
 active inactive _____
- m. What is your preferred method of communication with FINRA? phone mail fax email
- n. Have you previously served as a FINRA arbitrator? yes no
(If "yes", add identification number, if known.) _____
- o. Are you now, or have you ever been, a FINRA mediator? yes no
(If "yes", add identification number, if known.) _____

1. The Central Registration Depository (CRD) is an automated, electronic web-based system, which FINRA uses to maintain the qualification, employment and disclosure histories of member firms' registered securities employees.

FOR FINRA USE ONLY

Arbitrator Classification:

- Non-Public Disciplinary (See attached)
 Public No Disciplinary History

CRD # _____
Date _____
Arbitrator # _____

Application Received _____
Staff Approval Date _____
NAMC Approval Date _____
Welcome Packet Sent _____

2. Primary Address

Firm or Company (if applicable): _____

Street: _____ Apt/Suite/Bldg: _____

City: _____

State/Territory/Province/Foreign Region: _____

Postal Code: _____ Country: USA other (specify): _____

Is this your preferred address for mail from FINRA? yes no

Is this your: home address business address other (specify): _____

3. Secondary Address

Firm or Company (if applicable): _____

Street: _____ Apt/Suite/Bldg: _____

City: _____

State/Territory/Province/Foreign Region: _____

Postal Code: _____ Country: USA other (specify): _____

Is this your preferred address for mail from FINRA? yes no

Is this your: home address business address other (specify): _____

4. Additional Address (if any)

Firm or Company (if applicable): _____

Street: _____ Apt/Suite/Bldg: _____

City: _____

State/Territory/Province/Foreign Region: _____

Postal Code: _____ Country: USA other (specify): _____

Is this your preferred address for mail from FINRA? yes no

Is this your: home address business address other (specify): _____

5. Telephone Numbers (area code first—if the phone number is outside of the USA, provide country code; include extension number, if applicable)

a. Home: _____

b. Office: _____

c. Wireless: _____

d. Other (please specify): _____

Which is your preferred phone number for use by FINRA? home office mobile other

6. Fax Numbers (area code first—if the phone number is outside of USA, provide country code)

a. Home: _____

b. Office: _____

Which is your preferred fax number for use by FINRA? home office

7. Email Address

The primary method of correspondence from FINRA will be by the email address you provide.

8. Arbitrator Honorarium

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.

a. Do you wish to waive your honorarium? yes no

b. To whom do you wish your honorarium fees to be paid? yourself your employer

c. If honorarium is to be sent to someone other than yourself, please provide that person's/entity's name:

d. If honorarium is to be sent to someone other than yourself, please provide that person/entity's Federal Tax ID number, below: *If you do not provide a tax ID number, your payments will default to your social security number.*

e. Indicate which of the following addresses you prefer your honorarium to be sent:

address indicated in response to question 2

address indicated in response to question 3

address indicated in response to question 4

other (please provide a complete address)

10. Employment History

In order to qualify as a FINRA arbitrator, applicants must have a minimum of five years of paid business and/or professional experience (unless waived by FINRA at its discretion). Make sure to list your ENTIRE employment history below.

- Enter your present or most recent position first and proceed to list the rest of your employment history in reverse chronological order.
- If your application has an unexplained employment gap in excess of 30 days, FINRA will return it to you for additional information. Time periods where you were pursuing a degree full time are not considered employment gaps and do not need to be accounted for here. (Information regarding your education should be entered in the Education section.) If you were unemployed in excess of 30 days, you should record that time as unemployed. Periods of unemployment will not disqualify you from the roster, but must be accurately documented in your profile. If you are currently unemployed, make sure to darken the "Retired/Unemployed" circle and enter the date you stopped working.
- If you are retired (defined as receiving, or expecting to receive continuing benefits such as pension, health care, etc. from the listed business activity), list your last employer, your date of retirement and indicate whether you are (or will be) receiving benefits from that employer.
- If you have ever worked in the securities industry, confirm that the information that you enter here matches the information in your CRD record.

If necessary, please use the supplementary sheet attached to this application.

Retired as of *mm/yyyy* _____

Unemployed as of *mm/yyyy* _____

Receiving Benefits Yes No

Start Date *mm/yyyy (required)* _____ End Date *mm/yyyy or "Present" (required)* _____

Firm Name _____ Firm CRD# *(if applicable)* _____

Description of Position or Title *(required)* _____

Type *(indicate full or part-time)* _____

License Number *(if applicable, e.g., CRD, CPA license, real estate license, etc.)* _____

License Type _____

Receiving Benefits Yes No

Start Date *mm/yyyy (required)* _____ End Date *mm/yyyy or "Present" (required)* _____

Firm Name _____ Firm CRD# *(if applicable)* _____

Description of Position or Title *(required)* _____

Type *(indicate full or part-time)* _____

License Number *(if applicable, e.g., CRD, CPA license, real estate license, etc.)* _____

License Type _____

Receiving Benefits Yes No

Start Date *mm/yyyy (required)* _____ End Date *mm/yyyy or "Present" (required)* _____

Firm Name _____ Firm CRD# *(if applicable)* _____

Description of Position or Title *(required)* _____

Type *(indicate full or part-time)* _____

License Number *(if applicable, e.g., CRD, CPA license, real estate license, etc.)* _____

License Type _____

Receiving Benefits Yes No

Start Date *mm/yyyy (required)* _____ End Date *mm/yyyy or "Present" (required)* _____

Firm Name _____ Firm CRD# *(if applicable)* _____

Description of Position or Title *(required)* _____

Type *(indicate full or part-time)* _____

License Number *(if applicable, e.g., CRD, CPA license, real estate license, etc.)* _____

License Type _____

Receiving Benefits Yes No

Start Date *mm/yyyy (required)* _____ End Date *mm/yyyy or "Present" (required)* _____

Firm Name _____ Firm CRD# *(if applicable)* _____

Description of Position or Title *(required)* _____

Type *(indicate full or part-time)* _____

License Number *(if applicable, e.g., CRD, CPA license, real estate license, etc.)* _____

License Type _____

Receiving Benefits Yes No

Start Date *mm/yyyy (required)* _____ End Date *mm/yyyy or "Present" (required)* _____

Firm Name _____ Firm CRD# *(if applicable)* _____

Description of Position or Title *(required)* _____

Type *(indicate full or part-time)* _____

License Number *(if applicable, e.g., CRD, CPA license, real estate license, etc.)* _____

License Type _____

Receiving Benefits Yes No

Start Date *mm/yyyy (required)* _____ End Date *mm/yyyy or "Present" (required)* _____

Firm Name _____ Firm CRD# *(if applicable)* _____

Description of Position or Title *(required)* _____

Type *(indicate full or part-time)* _____

License Number *(if applicable, e.g., CRD, CPA license, real estate license, etc.)* _____

License Type _____

Receiving Benefits Yes No

Start Date *mm/yyyy (required)* _____ End Date *mm/yyyy or "Present" (required)* _____

Firm Name _____ Firm CRD# *(if applicable)* _____

Description of Position or Title *(required)* _____

Type *(indicate full or part-time)* _____

License Number *(if applicable, e.g., CRD, CPA license, real estate license, etc.)* _____

License Type _____

11. Educational History

In order to qualify as a FINRA arbitrator, applicants must have completed a minimum of two years of college-level credits (*e.g., 60 credits*) from an accredited institution (unless waived by FINRA, at its discretion). If you meet the above requirement, please list your educational background in reverse chronological order with the most recently attended institution first.

Start Date *mm/yyyy (Required)* _____

End Date *mm/yyyy Enter Date or "Present" (Required)* _____

School Name _____

Degree/Certificate Awarded *(if applicable)* _____

Start Date *mm/yyyy (Required)* _____

End Date *mm/yyyy Enter Date or "Present" (Required)* _____

School Name _____

Degree/Certificate Awarded *(if applicable)* _____

Start Date *mm/yyyy (Required)* _____

End Date *mm/yyyy Enter Date or "Present" (Required)* _____

School Name _____

Degree/Certificate Awarded *(if applicable)* _____

12. Training

Please describe in the space below any arbitrator, mediator and related training you have received, including the sponsoring organization, location and date(s). **Note:** If your application is accepted, you will be required to successfully complete FINRA's mandatory arbitrator training, test and evaluations.

Completion Date mm/yyyy *(Required)* _____

Course Name _____

Firm/School _____

Details (if any) _____

Hours Completed _____

Location _____

Completion Date mm/yyyy *(Required)* _____

Course Name _____

Firm/School _____

Details (if any) _____

Hours Completed _____

Location _____

Completion Date mm/yyyy *(Required)* _____

Course Name _____

Firm/School _____

Details (if any) _____

Hours Completed _____

Location _____

Completion Date mm/yyyy *(Required)* _____

Course Name _____

Firm/School _____

Details (if any) _____

Hours Completed _____

Location _____

13. Arbitrator Classifications

- a. Are you, or have you been, within the past five years²:
- | | |
|--|--|
| i. associated with, including registered through, a broker or a dealer (including a government securities broker or dealer, or a municipal securities dealer)? | <input type="radio"/> yes <input type="radio"/> no |
| ii. registered under the Commodity Exchange Act? | <input type="radio"/> yes <input type="radio"/> no |
| iii. a member of a commodities exchange or a registered futures association? | <input type="radio"/> yes <input type="radio"/> no |
| iv. associated with a person or firm registered under the Commodity Exchange Act? | <input type="radio"/> yes <input type="radio"/> no |
- b. Are you an attorney, accountant or other professional who has devoted 20 percent or more of his or her professional work, in the last two years, to clients who are engaged in any of the business activities listed in paragraph (a) above?
- c. Are you an employee of a bank or other financial institution who effects transactions in securities, including government or municipal securities, and commodities futures or options, or supervises or monitors the compliance with the securities and commodities laws of employees who engage in such activities?
- d. Have you spent a substantial part of your career engaged in any business activities listed in paragraph (a) above?
- e. Are you retired³ from a career engaged in any business activities listed in paragraph (a) above?
- f. Have you engaged in the conduct or activities described in paragraphs (a) through (c) above for a total of 20 years or more?
- g. Are you the spouse or an immediate family member⁴ of a person who is engaged in the conduct or activities described in paragraphs (a) through (c) above?
- h. Are you an attorney, accountant or other professional whose firm derived 10 percent or more of its annual revenue in the past two years from any persons or entities listed in paragraphs (a) through (c) above?
- i. Are you an attorney, accountant or other professional whose firm derived \$50,000 or more in annual revenue in the past two years from professional services rendered to any persons or entities listed in paragraph (a) above, relating to any customer disputes concerning an investment account or transaction, including but not limited to, law firm fees, accounting firm fees and consulting fees?
- j. Are you employed by, or the spouse or an immediate family member of a person who is employed by, an entity that directly or indirectly controls, is controlled by, or is under common control with, any partnership, corporation or other organization that is engaged in the securities business?
- k. Are you a director or officer of, or the spouse or an immediate family member of a person who is a director or officer of, an entity that directly or indirectly controls, is controlled by, or is under common control with, any partnership, corporation or other organization that is engaged in the securities business?

2. When calculating years, count only complete calendar years when responding to the arbitrator classification questions. For example, if you are answering in 2013, consider the five previous full calendar years, 2008–2012. If the question asks about the past two years, consider the two previous full calendar years, 2011–2012.

3. “Retired” is defined as receiving, or expecting to receive, continuing benefits (e.g., pension, health care, etc.) from the listed business activities.

4. The term “immediate family member” means: (i) a person’s parent, stepparent, child or stepchild; (ii) a member of a person’s household; (iii) an individual to whom a person provides financial support of more than 50 percent of the individual’s annual income; or (iv) a person who is claimed as a dependent for federal income tax purposes.

15. Legal or Regulatory Questions:

(Please indicate a “yes” or “no” to all of the following questions.)

If an applicant answers in the affirmative to any question contained in this section, the applicant’s explanation for the affirmative answer will be closely reviewed by the Director. The explanation for the answer may be disclosed to the parties. Please see the criteria for temporary and permanent disqualification from the roster on page 35.

Criminal Disclosure

- a. Have you ever:
- (i) been convicted of or pled guilty or nolo contendere (“no contest”) in a domestic, foreign or military court to any felony? yes no
 - (ii) been charged with any felony? yes no
- b. Based upon activities that occurred while you exercised control over it, has an organization ever:
- (i) been convicted of or pled guilty or nolo contendere (“no contest”) in a domestic or foreign court to any felony? yes no
 - (ii) been charged with any felony? yes no
- c. Have you ever been convicted of or pled guilty or nolo contendere (“no contest”) in a domestic, foreign or military court to a misdemeanor involving:
- (i) investments or an investment-related business or any fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion or a conspiracy to commit any of these offenses? yes no
 - (ii) gambling? yes no
- d. Have you ever been charged with a misdemeanor specified in 15c(i)? yes no
- e. Based upon activities that occurred while you exercised control over it, has an organization ever:
- (i) been convicted of or pled guilty or nolo contendere (“no contest”) in a domestic or foreign court to a misdemeanor specified in 15c(i)? yes no
 - (ii) been charged with a misdemeanor specified in 15c(i)? yes no

Regulatory Action Disclosure

- f. Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever:
- (i) found you to have made a false statement or omission? yes no
 - (ii) found you to have been involved in a violation of its regulations or statutes? yes no
 - (iii) found you to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked or restricted? yes no
 - (iv) entered an order against you in connection with investment-related activity? yes no
 - (v) imposed a civil money penalty on you, or ordered you to cease and desist from any activity? yes no
 - (vi) found you to have willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or found you to have been unable to comply with any provision of such act, rule or regulation? yes no

(vii) found you to have willfully aided, abetted, counseled, commanded, induced or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act or any rule or regulation under any of such acts, or any of the rules of the Municipal Securities Rulemaking Board? yes no

(viii) found you to have failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? yes no

(ix) entered an order denying, suspending or revoking your registration, or disciplined you by restricting your activities? yes no

g. Has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority ever:

(i) found you to have made a false statement or omission or been dishonest, unfair or unethical? yes no

(ii) found you to have been involved in a violation of investment-related regulation(s) or statute(s)? yes no

(iii) found you to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked or restricted? yes no

(iv) entered an order against you in connection with an investment-related activity? yes no

(v) denied, suspended or revoked your registration or license or otherwise, by order, prevented you from associating with an investment-related business or restricted your activities? yes no

h. Have you been subject to any final order of a state securities commission (or any agency or office performing like functions), state authority that supervises or examines banks, savings associations or credit unions, state insurance commission (or any agency or office performing like functions), an appropriate federal banking agency or the National Credit Union Administration, that:

(i) bars you from association with an entity regulated by such commission, authority, agency or officer, or from engaging in the business of securities, insurance, banking, savings association activities or credit union activities? yes no

(ii) constitutes a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative or deceptive conduct? yes no

i. Has any self-regulatory organization or commodities exchange ever:

(i) found you to have made a false statement or omission? yes no

(ii) found you to have been involved in a violation of its rules (other than a violation designated as a "minor rule violation" under a plan approved by the U.S. Securities and Exchange Commission)? yes no

(iii) found you to have been the cause of an investment-related business having its authorization to do business denied, suspended, revoked or restricted? yes no

- (iv) disciplined you by expelling or suspending you from membership, barring or suspending your association with its members, or restricting your activities? yes no
-
- (v) found you to have willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act or any rule or regulation under any of such acts, or any of the rules of the Municipal Securities Rulemaking Board, or found you to have been unable to comply with any provision of such act, rule or regulation? yes no
-
- (vi) found you to have willfully aided, abetted, counseled, commanded, induced or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act or any rule or regulation under any of such acts, or any of the rules of the Municipal Securities Rulemaking Board? yes no
-
- (vii) found you to have failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act or any rule or regulation under any of such acts, or any of the rules of the Municipal Securities Rulemaking Board? yes no
-
- j. Has any other professional entity or body with licensing authority denied, suspended or revoked your registration or license (*e.g., insurance, real estate, attorney, accountant, federal contractor*)? yes no
- k. Have you been notified, in writing, that you are now the subject of any:
- (i) regulatory complaint or proceeding that could result in a “yes” answer to any part of 15(f), (g), (h) or (i)? yes no
-
- (ii) investigation that could result in a “yes” answer to any part of 15(a), (b), (c), (d), (e), (f), (g), (h) or (i)? yes no
-

Civil Judicial Disclosure

- l. Has any domestic or foreign court ever:
- (i) enjoined you in connection with any investment-related activity? yes no
-
- (ii) found that you were involved in a violation of any investment-related statute(s) or regulation(s)? yes no
-
- (iii) dismissed, pursuant to a settlement agreement, an investment-related civil action brought against you by a state or foreign financial regulatory authority? yes no
-
- m. Are you named in any pending investment-related civil action that could result in a “yes” answer to any part of 15(l)? yes no
- n. Has any foreign government, court, regulatory agency, or exchange ever entered an order against you related to investments or fraud? yes no

Customer Complaint/Arbitration/Civil Litigation Disclosure

- o. Have you ever been named as a respondent/defendant in an investment-related, consumer-initiated arbitration or civil litigation which alleged that you were involved in one or more sales practice violations and which:
- | | |
|--|--|
| (i) is still pending? | <input type="radio"/> yes <input type="radio"/> no |
| (ii) resulted in an arbitration award or civil judgment against you, regardless of amount? | <input type="radio"/> yes <input type="radio"/> no |
| (iii) alleged fraud or wrongful taking of property? | <input type="radio"/> yes <input type="radio"/> no |
| (iv) was settled | <input type="radio"/> yes <input type="radio"/> no |
- p. Have you ever been the subject of an investment-related, consumer-initiated (written or oral) complaint, which alleged that you were involved in one or more sales practice violations, and which:
- | | |
|---|--|
| (i) is still pending? | <input type="radio"/> yes <input type="radio"/> no |
| (ii) resulted in an arbitration award or civil judgment against any named respondent(s)/defendant(s)? | <input type="radio"/> yes <input type="radio"/> no |
| (iii) alleged fraud or wrongful taking of property? | <input type="radio"/> yes <input type="radio"/> no |
| (iv) was settled? | <input type="radio"/> yes <input type="radio"/> no |
- q. Have you ever been the subject of an investment-related, consumer-initiated, written complaint, not otherwise reported under question 15(p) above, which:
- | | |
|---|--|
| (i) alleged that you were involved in one or more sales practice violations? | <input type="radio"/> yes <input type="radio"/> no |
| (ii) alleged that you were involved in forgery, theft, misappropriation or conversion of funds or securities? | <input type="radio"/> yes <input type="radio"/> no |
- r. Have you ever been the subject of an investment-related, consumer initiated arbitration claim or civil litigation not otherwise reported under question 15(o) above, which:
- | | |
|---|--|
| (i) alleged that you were involved in one or more sales practice violations? | <input type="radio"/> yes <input type="radio"/> no |
| (ii) alleged that you were involved in forgery, theft, misappropriation or conversion of funds or securities? | <input type="radio"/> yes <input type="radio"/> no |
- s. Has your conduct been an issue in an arbitration or litigation proceeding (other than a proceeding in which you served as an arbitrator)? For example, if your conduct as a registered representative or manager was an issue in a case, but only the broker-dealer was named as a party, your response should be "yes."
- yes no
- t. If you answered yes to 15(o), (p), (q), (r) or (s) was the claim expunged from CRD pursuant to FINRA Rule 2080? (Please note that you must disclose all relevant complaints, lawsuits or arbitration claims, even if they were later expunged from CRD.)
- yes no
- u. Have you ever been a claimant in an investment-related arbitration or civil litigation?
- yes no

Harassment and Discrimination Disclosure

- v. Have you ever been the subject of any complaint or proceeding that alleged sexual harassment or any form of discrimination? yes no
- w. Are you the subject of, or a party to, a final, adverse regulatory decision or court decision or arbitration award involving any discrimination claims, including sexual harassment, in which you were found to have directly engaged in sexual harassment or discrimination? yes no

Termination Disclosure

- x. Have you ever voluntarily resigned, been discharged or permitted to resign after allegations were made that accused you of:
- (i) violating investment-related statutes, regulations, rules or industry standards of conduct? yes no
- (ii) fraud or the wrongful taking of property? yes no
- (iii) failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct? yes no
- (iv) sexual harassment or any form of discrimination? yes no

Financial Disclosure

- y. Have you ever made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition? yes no
- z. Based upon events that occurred while you exercised control over it, has an organization ever made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition? yes no
- aa. Based upon events that occurred while you exercised control over it, has a broker or dealer ever been the subject of an involuntary bankruptcy petition, or had a trustee appointed, or had a direct payment procedure initiated under the Securities Investor Protection Act? yes no
- bb. Has a bonding company ever denied, paid out on, or revoked a bond for you? yes no
- cc. Do you have any unsatisfied judgments or liens against you, or has any lender instituted foreclosure proceedings involving you or a property owned, in whole or in part, by you, directly or indirectly? yes no

Other Disclosure

- dd. Are you now the subject of any complaint, investigation or proceeding that could result in a "yes" answer to any question in question 15, items (a) through (v)? yes no
- ee. Are you a member of any securities-related organization (*e.g.*, *North American Securities Administrators Association, Securities Industry and Financial Markets Association, etc.*) or organization of claimant's attorneys who periodically represent investors in suits against brokerage firms (*e.g.*, *Public Investors Arbitration Bar Association*)? yes no
- ff. Has your spouse or any of your immediate family members named a brokerage firm, or been named by a brokerage firm, in any civil lawsuit or arbitration? (See footnote in question 13 of this application for the definition of "immediate family member.") yes no
- gg. Have you ever been a named party in any type of civil litigation? yes no

17. Securities Disputes Expertise/Experience:

Check the types of securities-related disputes below in which you have expertise and/or experience. Arbitrator candidates need not possess specific expertise/experience in order to be approved to our roster.

a. Account Related

- Breach of Contract
- Dividends
- Margin Calls
- Transfer

b. Employment

- Age Discrimination
- Breach of Contract
- Commissions
- Compensation
- Disability Discrimination
- Employment Discrimination
- Gender Discrimination
- Libel or Slander
- Libel or Slander on Form U-5
- National Origin Discrimination
- Partnerships
- Promissory Notes
- Race Discrimination
- Recruitment Disputes
- Religious Discrimination
- Retaliation
- Sexual Harassment
- Sexual Orientation Discrimination
- Training Contracts
- Wrongful Termination

c. Executions

- Execution Price
- Limit/Stop/Market Order

d. Trading Disputes

- Amex Floor Trading
- Amex Specializing
- Buy-In
- Markups
- Other Floor Trading
- Sell Outs
- Stock Loan

e. Other

- Annuities
- Variable Annuities
- Auction Rate Securities
- Certificate of Deposit
- Clearing Disputes
- Collateralized Debt Obligations (CDOs)
- Collateralized Mortgage Obligations (CMOs)
- Commodities
- Common Stock
- Corporate Bonds
- Exchange-Traded Funds
- "Fannie Maes"
- "Freddie Macs"
- Futures (other than commodities)
- "Ginnie Maes"
- Government Securities
- Hedge Funds
- Limited Partnerships
- Municipal Bonds
- Municipal Bond Funds
- Mutual Funds
- Options
- Preferred Stock
- Private Equities
- Real Estate Investment Trusts
- Repurchase Agreements
- Reverse Convertibles
- Stock Index Futures
- Structured Products
- Underwriting
- Warrants/Rights
- Other: _____

On a separate sheet of paper, explain the basis for each expertise/experience field you check in question 17. No areas of expertise/experience in securities will be listed on the arbitrator's record without such explanation. You should rely on the expertise derived from your business, securities or employment experience, not wholly from any prior experience as an arbitrator.

18. Conflicts/Disclosures

Please list all known conflicts/disclosures and the nature of the conflict/disclosure. If accepted as an arbitrator, you will be under a continuing obligation to update this information and must disclose new relationships as they arise. You must disclose any circumstance or event that might affect your ability to serve impartially or might create an appearance of bias. This includes, but is not limited to, lawsuits (even non-investment related lawsuits); any publications (even if they appear only online); professional memberships; service on boards of directors; etc. 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.

Answer all questions that apply to you as completely as possible. If appropriate, include the member firm's CRD number in your answer. *If the space provided is insufficient to answer the question completely, please use the supplementary sheets attached at the end of the application.*

a. Securities Related Disclosures

- (i.) Have you, your spouse, or an immediate family member⁴ ever held any brokerage accounts (past or present)? Provide details: yes no

Account Held By (e.g., self, spouse, etc.)	Firm Name	Firm CRD#	Type of Account	Account is
				<input type="radio"/> open <input type="radio"/> closed
				<input type="radio"/> open <input type="radio"/> closed
				<input type="radio"/> open <input type="radio"/> closed

- (ii.) In the last five years, has your spouse or an immediate family member⁵ had a business relationship with any brokerage firms? Provide details: yes no

Relation of Family Member to You	Firm Name	Their Relationship to Firm

- (iii.) In the last five years, has your employer/firm had a business relationship with any brokerage firms (including a firm your firm clears through)? Provide details: yes no

Your Employer	Firm Name	Nature of Relationship

- (iv.) Are you currently a Shareholder of any bank or securities companies? List the companies: yes no

Firm Name	Firm CRD#

5. See question 13 footnote 4 of this application for the definition of "immediate family member."

(v.) Were you previously a Shareholder of any bank or securities companies? List the companies: yes no

Firm Name	Firm CRD#

(vi.) Have you, your spouse or immediate family member⁶ ever represented or served as counsel for a broker dealer in an arbitration, litigation, etc.? Provide details: yes no

Broker Dealer	Time Period	Action is
		<input type="radio"/> Ongoing <input type="radio"/> Concluded
		<input type="radio"/> Ongoing <input type="radio"/> Concluded
		<input type="radio"/> Ongoing <input type="radio"/> Concluded

(vii.) Have you, your spouse or immediate family member ever represented or served as counsel for a party adverse to a broker dealer in an arbitration, litigation, etc.? Provide details: yes no

Broker Dealer	Time Period	Action is
		<input type="radio"/> Ongoing <input type="radio"/> Concluded
		<input type="radio"/> Ongoing <input type="radio"/> Concluded
		<input type="radio"/> Ongoing <input type="radio"/> Concluded

(viii.) Have you, your spouse or immediate family member ever personally been a party adverse to a broker dealer in an arbitration, litigation, etc.? Provide details: yes no

Party (e.g., self, spouse, etc.)	Broker Dealer	Time Period	Action is
			<input type="radio"/> Ongoing <input type="radio"/> Concluded
			<input type="radio"/> Ongoing <input type="radio"/> Concluded
			<input type="radio"/> Ongoing <input type="radio"/> Concluded

(ix.) Have you, your firm or business partner(s) been retained as an expert or consultant **by** a broker-dealer or associate person in connect with any regulatory, arbitral, or judicial proceeding, whether or not the matter proceeded to hearing? Provide details: yes no

Expert (e.g., you, your firm, etc.)	Broker-Dealer	Time Period	Approximate No. of Cases	Service Is
				<input type="radio"/> Ongoing <input type="radio"/> Concluded
				<input type="radio"/> Ongoing <input type="radio"/> Concluded
				<input type="radio"/> Ongoing <input type="radio"/> Concluded

6. See question 13 footnote 4 of this application for the definition of "immediate family member."

- (x.) Have you, your firm or business partner(s) been retained as an expert or consultant in connection with a claim **against** a broker-dealer or associated person with respect to any regulator, arbitral or judicial proceeding, whether or not the matter proceeded to hearing? Provide details: yes no

Expert <i>(e.g., you, your firm, etc.)</i>	Broker-Dealer	Time Period	Approximate No. of Cases	Service Is
				<input type="radio"/> Ongoing <input type="radio"/> Concluded
				<input type="radio"/> Ongoing <input type="radio"/> Concluded
				<input type="radio"/> Ongoing <input type="radio"/> Concluded

- (xi.) Do you now or have you ever been employed by or associated with a brokerage firm that sold auction rate securities? yes no

Firm Name	Firm CRD#

b. Investor Relations/Conduct Disclosures

- (i.) Have you ever been named as a party by an investor in any civil lawsuit or arbitration proceeding (related to your duties as a registered representative)? Provide details: yes no

Time Period	Investor	Action Is	Indicate:
		<input type="radio"/> Ongoing <input type="radio"/> Concluded	<input type="radio"/> Arbitration <input type="radio"/> Civil Lawsuit
		<input type="radio"/> Ongoing <input type="radio"/> Concluded	<input type="radio"/> Arbitration <input type="radio"/> Civil Lawsuit
		<input type="radio"/> Ongoing <input type="radio"/> Concluded	<input type="radio"/> Arbitration <input type="radio"/> Civil Lawsuit

- (ii.) Have you ever been the subject of any Government or Self-Regulatory Organization disciplinary action? Provide details: yes no

Agency	Time Period	Disciplinary Action	Action Is
			<input type="radio"/> Ongoing <input type="radio"/> Concluded
			<input type="radio"/> Ongoing <input type="radio"/> Concluded
			<input type="radio"/> Ongoing <input type="radio"/> Concluded

- (iii.) Have you ever been the subject of any Investor Complaint, Arbitration or Suit? Provide details: yes no

(iv.) Have you ever been the subject of any non-investment related lawsuit/charge? yes no
Provide details:

c. Client⁷ Conflict Disclosures

(i.) Do you or your employer currently have any clients who would represent a conflict for you in a FINRA arbitration? Provide details: yes no

Client's Name	Is This Your Client or Your Employer's Client?
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>

(ii.) Have you or your employer previously had any clients who would represent a conflict for you in a FINRA arbitration? Provide details: yes no

Client's Name	Is This Your Client or Your Employer's Client?
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>

(iii.) Are you or your employer currently a client of any firm that would represent a conflict for you in a FINRA arbitration? Provide details: yes no

Client's Name	Is This Your Client or Your Employer's Client?
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>

(iv.) Were you or your employer previously a client of any firm that would represent a conflict for you in a FINRA arbitration? Provide details: yes no

Client's Name	Is This Your Client or Your Employer's Client?
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>

7. *Types of clients to list: Persons or firms associated with, including registered through, a broker or a dealer (including a government securities broker or dealer, or a municipal securities dealer); persons or firms registered under the Commodity Exchange Act; persons or firms that are members of a commodities exchange or a registered futures association; banks or other financial institutions who effect transactions in securities, including government or municipal securities, and commodities futures or options, or supervise or monitor the compliance with the securities and commodities laws of employees who engage in such activities; investment advisers; attorneys, accountants, other securities-related professionals.*

d. Professional Associations/Memberships/License Disclosures

(i.) Are you currently an Arbitrator in any other forum (*e.g., AAA, BBB, court system, etc.*)? yes no

List forums and provide details as appropriate:

(ii.) Were you previously an Arbitrator in any other forum (*e.g., AAA, BBB, court system, etc.*)? yes no

List forums and provide details as appropriate:

(iii.) Are you currently a Mediator in any other forum (*e.g., AAA, BBB, court system, etc.*)? yes no

List forums and provide details as appropriate:

(iv.) Were you previously a Mediator in any other forum (*e.g., AAA, BBB, court system, etc.*)? yes no

List forums and provide details as appropriate:

(v.) Are you currently an Early Neutral Evaluator in any forum (*e.g., AAA, BBB, court system, etc.*)? yes no

List forums and provide details as appropriate:

(vi.) Were you previously an Early Neutral Evaluator in any forum (*e.g., AAA, BBB, court system, etc.*)? yes no

List forums and provide details as appropriate:

(vii.) Do you currently hold any securities licenses (e.g., series 7, series 63, etc.)? yes no

Provide details:

License	Firm Name
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>

(viii.) Have you previously held any securities licenses (e.g., series 7, series 63, etc.)? yes no

Provide details:

License	Firm Name
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>

(ix.) Are you currently on the Board of Directors of any company or organization? yes no

Provide details:

Organization Name	Position (if applicable)
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>

(x.) Were you previously on the Board of Directors of any company or organization? yes no

Provide details:

Organization Name	Position (if applicable)
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>

(xi.) Are you currently a member of any professional organizations including bar associations? (Bar license information should be entered in the Personal Information section.) yes no

Provide details:

Organization Name	ID number (if applicable)
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>

(xii.) Were you previously a member of any professional organizations including bar associations? (Bar license information should be entered in the Personal Information section.) yes no

Provide details:

Organization Name	ID number (if applicable)
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>

e. Other disclosures

(i.) Are you now or have you been a judge? yes no

List courts:

(ii.) Have you been published in any medium (including print, Internet, etc.)? yes no

List all books, articles, blogs, Twitter feeds, etc.:

(iii.) Do you speak any languages other than English? yes no

Provide details:

Language

Proficiency Level

(iv.) Have you delivered any lectures (professors and teachers need not list all lectures)? yes no

Provide details:

Lectured for

Topic

(v.) Have you received any honors? yes no

Provide details:

20. If accepted to FINRA's Roster of Arbitrators, do you affirm your willingness to do the following, to the best of your ability:

- a. Maintain control over all arbitration conferences and hearings from the outset; set "ground rules" of behavior and enforce them? yes no

- b. Be familiar with, understand and be able to interpret the FINRA Code of Arbitration Procedure? yes no

- c. Be fully prepared for all conferences and hearings by reading the pertinent documents in advance, including the ABA/AAA Code of Ethics for Arbitrators in Commercial Disputes? yes no

- d. Be punctual in convening all conferences and hearings? yes no

- e. Discourage abuses of the process, such as: unreasonable requests for discovery, last-minute withdrawal from the panel, redundant evidence or testimony, or procrastination in scheduling? yes no

- f. Remember your authority if and when parties fail to comply with orders or directives? yes no

- g. Not tolerate hostile, demeaning or humiliating words in written or oral communications among lawyers, fellow arbitrators, parties, witnesses or the administrative staff? yes no

- h. Maintain focus and alertness throughout the testimony, which is generally conducted for eight hours per day over the course of several days. yes no

- i. Make all reasonable efforts to decide promptly all matters presented for decision? yes no

THE APPLICANT MUST SIGN THE FOLLOWING AFFIRMATION

I swear or affirm that I have read and understand the preceding questions, and that my answers are true and complete to the best of my knowledge, information and belief. I assume the responsibility of promptly informing FINRA of any changes to the answers to the questions contained on this form, and I understand that failure to do so may result in my immediate removal from the roster of approved arbitrators. I also agree to serve as an arbitrator in accordance with established FINRA procedures, the FINRA *Code of Arbitration Procedure*, and the provisions of the ABA/AAA *Code of Ethics for Arbitrators in Commercial Disputes*. I understand that arbitrators are generally listed for service outside the vicinity of their primary business or residence only if FINRA Dispute Resolution determines that there is a need for additional arbitrators in those hearing locations, and provided the arbitrators are willing to pay their own expenses to travel to such locations. I understand that all information submitted is subject to independent verification.

I understand that my submission of this information does not create any obligation on the part of FINRA to accept my application or to appoint me to serve on any panel of arbitrators. I also understand that FINRA reserves the right to reconsider the eligibility or appointment of arbitrators at any time and to remove arbitrators as it, in its sole judgment, deems appropriate. I acknowledge that the amount of honorarium due to me as an arbitrator is that set forth in Rule 12214 of the FINRA *Code of Arbitration Procedure*.

I understand that FINRA has adopted a “zero tolerance” sexual harassment policy. Accordingly, I will avoid comments on dress and appearance, and will treat all colleagues and associates with the same degree of respect and professionalism in manner and speech that I expect to receive in business matters.

I understand that I am an independent contractor, not an employee of FINRA. I am not eligible to receive any unemployment benefits or any FINRA employee benefits. Should I be appointed as an arbitrator, I understand that I must take precautions to safeguard the confidentiality of case-related materials.

I release FINRA and its agents and any person or entity which provides information about me from any and all liabilities, claims, or lawsuits in regard to the information obtained from any and all of the sources used by the background investigation vendor.

Signature: _____

Date: _____

Arbitrator Application Checklist

To efficiently process your application, please verify that it is complete by reviewing the following checklist.

Have you ...

- completed and signed the application?
- completed and signed the Consent to Background Search and Investigation form?
- completed and signed the Social Security Number Verification form?
- included the \$80 non-refundable verification fee?
- provided *all* dates in the education, employment and training section, using your best recollection (must be in “mm/yyyy” format)? Any unexplained gaps in the employment or education fields of 30 days or more will result in the return of your application.
- typed or clearly printed your business background for question 9? Your business background must be written in paragraph format. Do not submit your resume in lieu of completing this or other sections of the application.
- (if you checked off fields in question 17) included a written explanation pertaining to your skills/expertise?
- (if applicable) confirmed that your employment and/or disclosure information on the application matches the information in CRD? If you have questions concerning your CRD record, contact CRD directly at (301) 590-6500.
- reviewed your entire application to make sure it is legible? We do not accept scanned copies.

Sample Business Background Statements

The following contains three different sample background information statements. Your background information statement is part of the arbitrator disclosure report and will be provided to the parties. FINRA encourages you to provide a detailed background information statement.

You should use this sample only as a guide, and you should ensure your own statement is accurate, current, complete and comprehensive. A resume may not be substituted for the background information statement.

You should identify any industry members that you have represented or by whom you have been employed. If you are an attorney or an accountant, please provide details about the specific nature of your current practice.

Please remember you have a continuing obligation to provide FINRA with accurate, current and complete information. Please notify your regional office if there are any changes in your status or background.

Business and Professional

Since 2001, I have been employed as the Executive Vice President of the Capital Markets Group of XYZ, Inc. in New York City. My responsibilities include directing all aspects of equity and bond issues for XYZ's clients. I also oversee all SEC reporting requirements. Additionally, my office generates progress reports which are used by the Chief Financial Officer in his daily financial reporting. As Executive Vice President, my special projects were aimed at developing new clients.

From 1984 to 1987, I worked for ABC Brokerage as an analyst working with pharmaceutical industry stocks. At DEIF Securities from 1987 to 1990, I made buy and sell recommendations and directed the publishing of the DEIF Securities newsletter. I was promoted at DEIF to Director of Research and Information Systems in 1990. Until 1997, I personally designed and maintained all of DEIF's quantitative computer programs used by analysts and traders. From 1997 to 2001, I was Senior Vice President at Brokerage Securities where I was the Director of the Corporate Finance Department.

I was a Captain in the U.S. Army Reserves from 1982 to 1985, and I served as a Company Commander. I received an honorable discharge in 1985.

I currently hold Series 7, 63, and 24 licenses. I am a member of the Clarksville Rotary Club and am active in the local PTA. I received a bachelor's degree in Business Administration from the University of Arkansas in 1982. I obtained an MBA in Accounting and Management Information Systems from the University of Texas in 1984.

Educator

I have been a Professor of Economics at Rice University since 1992. In addition to my teaching responsibilities, I conduct research in financial market fluctuations and trends. I have published five articles in the *Journal of Economics* concerning the volatility of the market and predicting future market performance.

I was a Lecturer of Macroeconomics at California State University, Fresno, from 1982 to 1986 and a Teaching Assistant from 1980 to 1982 where I conducted classes ranging in sizes from four-student seminars to 200-student lectures. I received a research grant to study banking and finance from 1982 to 1986 during which time I compiled statistics on the financial cost of complying with the Securities Exchange Act of 1934. I served as Chief Economist at the Hastings Institute in Seattle, Washington, from 1986 to 1992 where I specialized in European Economics.

I am the author of *Macroeconomics Study Guide*, 1983; Associate Editor of *The Journal of Finance*; and the Editor of *Economics Monthly*. In 1992 I coordinated the National Organization For Women Financial Conference. I received the Faculty Excellence Award at Rice University in 1995 and in 1996, and I was presented with the Women in Business Award from the National Organization of Women.

I received a BA degree in Economics from the University of Pittsburgh in 1978 and a Ph.D. in Economics from California State University Fresno in 1982. My thesis was entitled: *Current Economic Policy: A Blueprint for Disaster*.

Attorney/Professional

Since 1997, I have worked at the Smith Bank as Vice President and General Counsel. As General Counsel, I am responsible for the Litigation Department, and all cases involving allegations of securities fraud, internal labor controversies, and allegations concerning shareholder/management disputes. My responsibilities also include supervising 44 attorneys, screening cases to determine which ones can be settled and which ones must be litigated, and delegating litigation to outside law firms. In total, I am responsible to the Board of Directors for 93% of Smith Bank's litigation.

I worked for the U.S. Securities and Exchange Commission as a Senior Staff Attorney from 1980 to 1985. I litigated insider trading cases and accounting fraud cases. In 1985, I was promoted to Assistant Director of Enforcement, and I supervised 14 attorneys and 24 examiners.

From 1986 to 1987, I worked for Sherman Stein in Jersey City, New Jersey as an Associate in the Securities Department. My duties included transactional and litigation support for the equity and bond issues. My cases primarily involved representing foreign banks in administrative hearings before various U.S. banking regulatory bodies. In 1987 I was promoted to Litigation Associate. I had primary responsibility for devising takeover defenses for major investment banks and insurance companies. I remained at Sherman Stein until 1997.

My professional activities include: Panelist for the New York Bar Association's Workshop on "Mediation and Arbitration as an Alternative Forum," April 1983; Member, American Bar Association section on Litigation, Corporation, Banking and Law; Member, the Committee on Federal Regulation of Securities; and Chairperson of the Subcommittee on Broker-Dealer Misconduct. I have been a securities arbitrator for FINRA since 1990 and have sat on five panels where the issues involved employment contracts, and allegations of wrongful discharge.

I am a 1977 graduate of Yale University, and graduated from New York University School of Law in 1980.

Arbitrator Disqualification Criteria

Criteria for Temporary Disqualification (Temporary Disqualification will result in temporary declination as to new applicants and a status of “inactive” as to already enrolled arbitrators.)

Pending Actions	Arbitrator is the subject of, or is a party to, a pending investment-related civil action or arbitration claim initiated by a customer; or, civil action or administrative complaint initiated by a regulatory body; or, a civil action or regulatory complaint alleging discrimination or sexual harassment. This provision excludes cases where the arbitrator’s conduct in his or her role as an arbitrator is at issue.
Subject of Claims or Complaints	Arbitrator is the subject of, or is a party to, three (3) or more claims or complaints (reportable on Form U-4) within the last ten (10) years regardless of outcome.
Filed a Statement of Claim or Complaint	Arbitrator is a party (excluding representatives and unnamed parties to class actions) that has filed two or more investment-related civil actions or arbitration claims within the last ten (10) years.
Final Decisions, Awards	Arbitrator is the subject of, or is a party to, a final, adverse investment-related court decision or arbitration award of \$25,000 or more within the past seven (7) years resulting from a customer-initiated complaint or claim.
Final Regulatory Action	Arbitrator is the subject of, or is a party to, any final adverse decision issued by any regulatory authority within the past seven (7) years, where the adverse decision does not involve a technical violation or does not give rise to a statutory disqualification.
Director of Arbitration’s Judgment	The Director of Arbitration may temporarily remove an arbitrator, if, in his or her sole judgment, it is determined that the arbitrator is not otherwise properly included in the list of eligible neutrals.

Criteria for Permanent Disqualification (Permanent Disqualification means the application of any new applicant will be rejected, and enrolled neutrals will be removed from the roster without possibility of reconsideration.)

Preamble	If an arbitrator answers in the affirmative to any questions contained in question 15 of the Arbitrator Application Form, the arbitrator’s explanation for the affirmative answer will be closely reviewed by the Director. If the affirmative answer does not constitute a statutory disqualification, the explanation for the answer will be disclosed to the parties unless the information is non-regulatory or does not reflect negatively on the individual’s character and is not significant to an individual’s performance as a neutral.
Misstatement/Omission	Misstatement or failure to disclose material information.
Disciplinary Actions	Final, adverse disciplinary action by any domestic or foreign regulatory or governing professional body on a finding of, including but not limited to, false statement or omissions, material violation of investment-related regulation, or the violation of a non-technical rule of such organizations or statute.
Misdemeanors	Misdemeanor conviction involving investments, investment-related activities.
Felonies	Felony conviction, or plea of guilty or nolo contendere (“no contest”), to a felony charge.
Fraud	Final adverse court decisions where there has been a finding of fraud.
Statutory Disqualifications	Statutory disqualifications not included above.
Decisions, Awards, Involving Discrimination/ Sexual Harassment	Arbitrator is the subject of, or is a party to, a final, adverse regulatory decision or court decision or arbitration award involving any discrimination claims, including sexual harassment, in which the arbitrator was found to have engaged directly in sexual harassment or discrimination.
Director of Arbitration’s Judgment	The Director of Arbitration, upon the approval of the National Arbitration & Mediation Committee, may remove an arbitrator if in his or her judgment the arbitrator is not otherwise properly included in the list of eligible neutrals.



Arbitration Program Offices

Northeast Regional Office

One Liberty Plaza
165 Broadway, 27th Floor
New York, NY 10006
Phone: (212) 858-4200
Fax: (301) 527-4873

Midwest Regional Office

55 West Monroe Street
Suite 2600
Chicago, IL 60603
Phone: (312) 899-4440
Fax: (312) 236-9239

Southeast Regional Office

Boca Center Tower 1
5200 Town Center Circle
Suite 200
Boca Raton, FL 33486
Phone: (561) 416-0277
Fax: (301) 527-4868

Western Regional Office

300 S. Grand Avenue
Suite 900
Los Angeles, CA 90071
Phone: (213) 613-2680
Fax: (213) 613-2677

Background Verification Forms

In order to insure the integrity of the roster of neutrals, we require all applicants to submit to a verification of their background information.

Make sure to complete both pages of the Consent to Background Search and Investigation form and the Social Security Number Verification form. Applications that do not contain these completed verification forms and the \$80 non-refundable verification fee will be returned to the applicant for completion. This will delay processing of the application.

Article 23-A of the New York Correction Law only applies to applicants residing in New York state.

**FINRA DISPUTE RESOLUTION ARBITRATOR APPLICANT
EMPLOYMENT CANDIDATE CONSENT TO BACKGROUND SEARCH AND INVESTIGATION**

CONSUMER NOTIFICATION: This is to inform you that a consumer report is being obtained from a consumer reporting agency for the purpose of evaluating you for inclusion on the FINRA Neutral Roster ("Roster"). The report may include, among other items, criminal background information, confirmation of your educational and employment history, and confirmation of any references provided. Pre-Employment, Inc., 8700 Crownhill, Suite 703, San Antonio, TX 78209, 800-735-9555, is the consumer reporting agency that will prepare the report. A copy of Article 23-A of the New York Correction Law accompanies this notification.

AUTHORIZATION TO OBTAIN REPORT The undersigned hereby authorizes FINRA DISPUTE RESOLUTION, INC. ("DR") and/or its agents to make an investigation of my background, references, employment, education, and criminal history record information which may be in any state or local files, including those maintained by both public and private organizations, and all public records, for the purpose of confirming the information contained in my application and/or obtaining other information which may be material to my qualifications for inclusion on the Neutral Roster. A telephone facsimile (fax) or xero-graphic copy of this consent shall be considered as valid as the original consent.

In the event of my inclusion on the Roster, this authorization shall remain in effect for as long as I remain on the Roster. If I am not selected for inclusion or am removed from the Roster as a result of any investigative report resulting from this authorization, DR will provide me a copy of that report along with a summary of my rights under the *Fair Credit Reporting Act*.

I acknowledge receipt of a copy of Article 23-A of the New York Correction Law.

Signature: _____ Date: _____

Please type or print legibly the information requested below, black ink only.

True and Complete

Legal Name: First _____ Middle _____ Last _____

Present Street

Address: _____

City: _____ County _____ State: _____ Zip: _____

Driver's License Number: _____ State of Issue: _____

Date of Birth: _____ Social Security Number: _____

Note: The above information is required to ensure positive identification and is in no manner used as qualification for employment. California, Minnesota, and Oklahoma applicants check this box if requesting copy of report be sent to address above.

For privacy policy, see FAQ tab at www.pre-employment.com.

**FINRA DISPUTE RESOLUTION REQUEST FOR PROCESSING
(FINRA use only)**

- Employment verification
- Civil records, Federal District
- Criminal history, county jurisdictions
- Criminal history, Federal District
- Criminal history, state (NY addresses only)
- Criminal & sex offender database, national
- Globalcheck
- Education verification
- Professional license verification
- SSN+, auto-search developed jurisdictions

FINRA Dispute Resolution
Requestor: CaTina Daniels
Neutral Management Supervisor

ClientID: fin.dis

FINRA Dispute Resolution Consent Form / Page 1 of 2
Name: _____

**FINRA DISPUTE RESOLUTION ARBITRATOR APPLICANT
CONSENT TO BACKGROUND SEARCH AND INVESTIGATION PART II**

EMPLOYMENT & EDUCATION HISTORY

Employment History for Past 10 Years – Begin with present; Indicate periods of unemployment or date of retirement, if applicable

1. Employer: _____ From: _____ To: _____
Employer Address: _____ Contact person: _____
Employer Telephone Number: _____
2. Employer: _____ From: _____ To: _____
Employer Address: _____ Contact person: _____
Employer Telephone Number: _____
3. Employer: _____ From: _____ To: _____
Employer Address: _____ Contact person: _____
Employer Telephone Number: _____
4. Employer: _____ From: _____ To: _____
Employer Address: _____ Contact person: _____
Employer Telephone Number: _____
5. Employer: _____ From: _____ To: _____
Employer Address: _____ Contact person: _____
Employer Telephone Number: _____

Education – Specify the Highest Levels of Academic Achievement

1. Institution Name: _____
Address (city and state): _____
Degree: _____ Major: _____ Date Granted: _____
2. Institution Name: _____
Address (city and state): _____
Degree: _____ Major: _____ Date Granted: _____

Professional License or Certification

1. Type/Title: _____ License Number: _____
Agency & state of issue: _____ Date Issued: _____
2. Type/Title: _____ License Number: _____
Agency & state of issue: _____ Date Issued: _____

**Social Security Administration
Authorization for the Social Security Administration
(SSA) To Release
Social Security Number (SSN) Verification**

Printed Name _____ Date of Birth _____ SSN _____

I am conducting the following business transaction

Seeking appointment to FINRA Neutral Roster

[Identify a specific purpose. Example - Seeking a mortgage from the Company - "Identity verification" or "Identity proof or confirmation" is not acceptable.]

With the following company ("the Company"):

Company Name _____ Address _____

Pre-Employment, Inc. 8700 Crownhill Blvd #703 San Antonio, TX 78209 (Do not change or modify this line)

I authorize the Social Security Administration to verify my name and SSN to the Company and/or the Company's Agent, if applicable, for the purpose I identified.

The name and address of the Company's Agent is:

Computer Information Development LLC 713 W. Duarte Rd. #105 Arcadia CA 91007 (Do not change or modify this line.)

I am the individual to whom the Social Security number was issued or that person's legal guardian. I declare and affirm under the penalty of perjury that the information contained herein is true and correct. I acknowledge that if I make any representation that I know is false to obtain information from Social Security records, I could be found guilty of a misdemeanor and fined up to \$5,000.

This consent is valid only for 90 days from the date signed, unless indicated otherwise by the individual named above. If you wish to change this timeframe, fill in the following:

This consent is valid for _____ days from the date signed. _____ (Please initial)

Signature _____ Date Signed _____

Contact information of individual signing authorization:

Address _____

City/State/ZIP _____

Phone Number _____

Form SSA-89(8/15/2008)

NOTICE TO NUMBER HOLDER

The Company and/or its Agent have entered into an agreement with SSA that, among other things, includes restrictions on the further use and disclosure of SSA's verification of your SSN. To view copy of the entire model agreement, visit <http://www.ssa.gov/cbsv/docs/modelAgreement11309.pdf>.

For
Upload
Only

NEW YORK CORRECTION LAW
ARTICLE 23-A

LICENSURE AND EMPLOYMENT OF PERSONS PREVIOUSLY
CONVICTED OF ONE OR MORE CRIMINAL OFFENSES

Section 750. Definitions.

751. Applicability.

752. Unfair discrimination against persons previously convicted of one or more criminal offenses prohibited.

753. Factors to be considered concerning a previous criminal conviction; presumption.

754. Written statement upon denial of license or employment.

755. Enforcement.

§750. **Definitions.** For the purposes of this article, the following terms shall have the following meanings:

(1) "Public agency" means the state or any local subdivision thereof, or any state or local department, agency, board or commission.

(2) "Private employer" means any person, company, corporation, labor organization or association which employs ten or more persons.

(3) "Direct relationship" means that the nature of criminal conduct for which the person was convicted has a direct bearing on his fitness or ability to perform one or more of the duties or responsibilities necessarily related to the license, opportunity, or job in question.

(4) "License" means any certificate, license, permit or grant of permission required by the laws of this state, its political subdivisions or instrumentalities as a condition for the lawful practice of any occupation, employment, trade, vocation, business, or profession. Provided, however, that "license" shall not, for the purposes of this article, include any license or permit to own, possess, carry, or fire any explosive, pistol, handgun, rifle, shotgun, or other firearm.

(5) "Employment" means any occupation, vocation or employment, or any form of vocational or educational training. Provided, however, that "employment" shall not, for the purposes of this article, include membership in any law enforcement agency.

§751. Applicability. The provisions of this article shall apply to any application by any person for a license or employment at any public or private employer, who has previously been convicted of one or more criminal offenses in this state or in any other jurisdiction, and to any license or employment held by any person whose conviction of one or more criminal offenses in this state or in any other jurisdiction preceded such employment or granting of a license, except where a mandatory forfeiture, disability or bar to employment is imposed by law, and has not been removed by an executive pardon, certificate of relief from disabilities or certificate of good conduct. Nothing in this article shall be construed to affect any right an employer may have with respect to an intentional misrepresentation in connection with an application for employment made by a prospective employee or previously made by a current employee.

§752. Unfair discrimination against persons previously convicted of one or more criminal offenses prohibited. No application for any license or employment, and no employment or license held by an individual, to which the provisions of this article are applicable, shall be denied or acted upon adversely by reason of the individual's having been previously convicted of one or more criminal offenses, or by reason of a finding of lack of "good moral character" when such finding is based upon the fact that the individual has previously been convicted of one or more criminal offenses, unless:

(1) There is a direct relationship between one or more of the previous criminal offenses and the specific license or employment sought or held by the individual; or

(2) the issuance or continuation of the license or the granting or continuation of the employment would involve an unreasonable risk to property or to the safety or welfare of specific individuals or the general public.

§753. Factors to be considered concerning a previous criminal conviction; presumption. 1. In making a determination pursuant to section seven hundred fifty-two of this chapter, the public agency or private employer shall consider the following factors:

(a) The public policy of this state, as expressed in this act, to encourage the licensure and employment of persons previously convicted of one or more criminal offenses.

(b) The specific duties and responsibilities necessarily related to the license or employment sought or held by the person.

(c) The bearing, if any, the criminal offense or offenses for which the person was previously convicted will have on his fitness or ability to perform one or more such duties or responsibilities.

(d) The time which has elapsed since the occurrence of the criminal offense or offenses.

(e) The age of the person at the time of occurrence of the criminal offense or offenses.

(f) The seriousness of the offense or offenses.

(g) Any information produced by the person, or produced on his behalf, in regard to his rehabilitation and good conduct.

(h) The legitimate interest of the public agency or private employer in protecting property, and the safety and welfare of specific individuals or the general public.

2. In making a determination pursuant to section seven hundred fifty-two of this chapter, the public agency or private employer shall also give consideration to a certificate of relief from disabilities or a certificate of good conduct issued to the applicant, which certificate shall create a presumption of rehabilitation in regard to the offense or offenses specified therein.

§754. Written statement upon denial of license or employment. At the request of any person previously convicted of one or more criminal offenses who has been denied a license or employment, a public agency or private employer shall provide, within thirty days of a request, a written statement setting forth the reasons for such denial.

§755. Enforcement. 1. In relation to actions by public agencies, the provisions of this article shall be enforceable by a proceeding brought pursuant to article seventy-eight of the civil practice law and rules.

2. In relation to actions by private employers, the provisions of this article shall be enforceable by the division of human rights pursuant to the powers and procedures set forth in article fifteen of the executive law, and, concurrently, by the New York city commission on human rights.



Additional Resources

For the most up-to-date version of FINRA's arbitration and mediation rules, visit www.finra.org. Our website contains an interactive HTML *Code of Arbitration Procedure*. There is also a printer-friendly version of the Code for you to conveniently download.

Please review the following items also available online:

- ▶ **The Arbitrator's Guide**
- ▶ **The Code of Ethics for Arbitrators in Commercial Disputes**
- ▶ **Arbitrator Honorarium FAQ**

Questions?

Contact FINRA Dispute Resolution:

Northeast Region	(212) 858-4200
West Region	(213) 613-2680
Southeast Region	(561) 416-0277
Midwest Region	(312) 899-4440



Thank You

FINRA Dispute Resolution appreciates your interest in joining its roster of arbitrators. We will immediately begin processing your application upon receipt.

Can you think of any colleagues, friends or family members who may also be interested in joining the roster?

If so, we would be happy to extend an invitation to them. Simply complete the candidate's information below and return this card with your application.

Yes, I would like to recommend

to FINRA Dispute Resolution's roster of arbitrators.

Please contact the candidate at:

Firm

Address

City

State

Zip

Phone

(optional)

Fax

(optional)

Email

(optional)