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Mission Statement

We publish *The Neutral Corner* to provide arbitrators and mediators with current updates on important rules and procedures within securities dispute resolution. FINRA Dispute Resolution Services' (DRS') dedicated neutrals better serve parties and other participants in the DRS forum by taking advantage of this valuable learning tool.

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Let's Get Personal: All About Arbitrator Disclosures

By Annamaria Boccia Smith*

You've heard witnesses say, "to the best of my recollection." Implicit in that phrase is the acknowledgement that memory is imperfect. Rather than relying solely on your recollection to answer the Personal Disclosure questions on the FINRA Arbitrator Disclosure Checklist (Checklist),¹ you should use the extensive information on the DR Portal to conduct a conflicts check and make required disclosures.

You've taken FINRA Dispute Resolution Services' (DRS') comprehensive arbitrator training—including training on an arbitrator's duty to disclose.² Here, we focus on the first five personal disclosure questions on the Checklist³ and the information you must disclose, and offer best practices and practical tips on how to fulfill your duty to disclose using information on the [DR Portal](#).

Background

Neutrality

One of your primary requirements as a FINRA arbitrator is to be neutral in both fact and appearance.⁴ Under [The Code of Ethics for Arbitrators in Commercial Disputes](#) (Code of Ethics), arbitrators have an obligation to disclose factors that might give rise to an appearance of partiality or bias. To comply with this requirement, an arbitrator must make timely and complete disclosures. [Rule 12405\(a\)\(2\)](#) of the FINRA Code of Arbitration Procedure (Code) requires arbitrators to disclose "[a]ny existing or past financial, business, professional, family, social, or other relationships or circumstances with any party, [or] any party's representative ... that are likely to affect impartiality or might reasonably create an appearance of partiality or bias." In industry disputes, [Rule 13408\(a\)\(2\)](#) imposes the same duty to disclose.

Oath of Arbitrator

When you accept an arbitration assignment, you take the Oath of Arbitrator (Oath), which incorporates the Code's duty to disclose.⁵ Thus, once you are appointed to serve in a case, you must complete the Oath and the Checklist and submit them on the DR Portal.⁶ When you complete the Checklist, you must make a reasonable effort to determine whether you have any relationships with the parties, lawyers, law firms and other arbitrators. If so, you must disclose them.

Information Provided by DRS

To answer the Personal Disclosure questions on the Checklist, you should familiarize yourself with the information DRS provides and where to find it.

Pre-Appointment Disclosures

Once selected for service, DRS staff contacts arbitrators about the case by email, providing case information that includes the names of the parties and their lawyers. As an arbitrator, before accepting the case, you are duty-bound to conduct a conflicts check and disclose any circumstances that might preclude an impartial determination or even create an appearance of partiality or bias. At this time, you have access to information DRS provides about other arbitration cases where you are currently—or were previously—assigned.

Arbitration Neutral Case History Report

You have access to an Arbitration Neutral Case History Report (Case History Report) for each current arbitration case (*i.e.*, open cases) and past assignments (*i.e.*, closed cases). The Case History Report contains the names of the other arbitrators assigned to the case, the parties, lawyers and their law firms.

Arbitrator Disclosure Report

Starting at the DR Portal home page, click the "View My Arbitrator Disclosure Report" link in the left-hand column; the link redirects you to your Arbitrator Disclosure Report (ADR).⁷

The ADR contains your biographical and background information. Four sections are relevant to our discussion here:

1. "Publicly Available Awards for Cases Involving Public Customers";
2. "Publicly Available Awards for Cases Not Involving Public Customers";
3. "Cases Currently Assigned Involving Public Customers"; and
4. "Cases Currently Assigned Not Involving Public Customers."

The first and second sections—"Publicly Available Awards for Cases Involving Public Customers" and "Publicly Available Awards for Cases Not Involving Public Customers"—list your arbitration cases that went to award. These two lists do not contain arbitration cases that were closed by settlement or withdrawal. In addition, these lists provide the case caption (*i.e.*, the names of the parties) but do not provide the names of the lawyers or their law firms. For these reasons, your conflicts check cannot rely solely on the information in your ADR. You also cannot respond to the Personal Disclosure questions on the Checklist by selecting "Already on Arbitrator Disclosure Report" unless the information appears on the ADR.

The third and fourth sections—"Cases Currently Assigned Involving Public Customers" and "Cases Currently Assigned Not Involving Public Customers"—list arbitration cases on which you are currently assigned. The names of the public customers are withheld and are referred to only as "Customer." Similar to sections one and two, your conflicts check cannot rely solely on the information in your ADR. You also cannot respond to the Personal Disclosure questions on the Checklist by selecting "Already on Arbitrator Disclosure Report" unless the information appears on the ADR.

Arbitration Case Abstract

Once you have accepted appointment to the case, you will also have access to the Arbitration Case Abstract (Case Abstract). The Case Abstract can be accessed from the home page in the [DR Portal](#) by clicking the case caption.

Arbitrators have access to the Case Abstract for each currently assigned case. The Case Abstract contains the names of the other arbitrators, the parties, lawyers and their law firms.

Personal Disclosures

The Checklist consists of various questions divided into categories. It begins with a series of five questions under the heading "Personal Disclosures." In these questions, DRS seeks information about personal and professional relationships or interactions with any of the parties, lawyers, law firms or arbitrators in the case, no matter how remote the relationship or interaction might seem. Arbitrators must complete and submit the Oath and Checklist through the DR Portal for case participants to view. All questions are mandatory. The answer choices on the Checklist are "yes," "no," or "Already on Disclosure Report." If you answer "yes" to any question, you must provide an explanation.

Before answering the below questions on the Checklist, arbitrators should use the information provided by DRS to conduct a conflicts check.

Question No. 1 asks whether you have had "any professional, social, or other relationships or interactions with counsel for any of the parties in this arbitration or their law firms."

To answer Question No. 1, click the "Details" tab on the Case Abstract. The "Details" tab contains the names of the arbitrators assigned to the case, the parties and lawyers. Expand the section under the heading "Represented by" by clicking the plus sign ("+") before the name of the lawyer to reveal the names of the law firms or organizations with which the lawyers are associated. This is important because responding fully to Question No. 1 requires disclosing not only a relationship or interaction, if any, between you and the lawyers, but also between you and the lawyers' law firms or organizations.

Additionally, starting at the DR Portal home page, click the "View My Historical Cases" link in the left-hand column. This link directs you to the Case History Report for each FINRA arbitration case to which you have been assigned since your acceptance to the FINRA Roster of Arbitrators. A Case History Report exists for each FINRA

arbitration case, irrespective of whether the case is open or closed. The names of the lawyers and their law firms appear in the “Party and Contact Information” section and can be easily searched. You should also check the signature block on all pleadings in the Arbitrator Case Packet found under the “Documents” tab of the Case Abstract, since it is not uncommon for more than one attorney to be signatory to a pleading. Arbitrators have the duty to disclose any prior relationship or interactions with all lawyers and their law firms.

Question No. 2 asks whether you have had “any professional, social, or other relationships or interactions with any of the parties or their employers in the arbitration.”

Recall that you were provided with the names of parties, lawyers, and their law firms when assigned to the case and should have already conducted a conflicts check before answering the questions on the Checklist. However, parties’ employers are not provided in case captions or by DRS. Therefore, it is best practice to read the pleadings as they may contain the name of a party’s employer.

To answer Question No. 2, start at the DR Portal home page and click the “View My Historical Cases” link in the left-hand column. This link redirects you to the Case History Reports for all FINRA arbitration cases—whether open or closed—to which you have been assigned since your addition to the FINRA Roster of Arbitrators. The names of the parties appear in the “Party and Contact Information” section and can be easily searched.

Question No. 3 asks whether you have had “any professional, social, or other relationships or interactions with any relative of any of the parties or counsel in the arbitration.”

While information directly responsive to Question No. 3 is not found on the DR Portal, the names of the parties and the lawyers participating in the arbitration case are readily available.

Question No. 4 asks whether you have had “any professional, social, or other relationships or interactions with any of the other arbitrators assigned to the arbitration.”

To answer Question No. 4, start at the DR Portal home page and click the “View My Historical Cases” link in the left-hand column; again, this link directs you to the Case History Reports for all FINRA arbitration cases—whether open or closed—to which you have been assigned since your addition to the FINRA Roster of Arbitrators. The names of the other arbitrators assigned to the cases appear under the section headed “Other Neutrals Assigned to This Case” and can be easily searched. If two arbitrators have previously served on a panel together, they should disclose this information.

Question No. 5 asks whether you are “presently serving as an arbitrator in another proceeding involving any of the parties or counsel in this arbitration or their employers.”

Again, you cannot rely solely upon your ADR to answer Question No. 5 because the names of the public customers are withheld (they are referred to as “Customer”). Rather, start at the DR Portal home page and click the “View My Historical Cases” link in the left-hand column; again, this link redirects you to the Case History Reports for all FINRA arbitration cases to which you have been assigned since your addition to the FINRA Roster of Arbitrators. The names of the parties, the lawyers, and the law firms appear in the “Party and Contact Information” section and can be easily searched. Because Question No. 5 asks whether an arbitrator is “presently serving,” you should disclose only open arbitration cases. The case status (*i.e.*, open or closed) of each arbitration case is noted on the top left-hand corner of each Case History Report.

Under Canon I(G) of the [Code of Ethics](#), “the ethical obligations of an arbitrator begin upon acceptance of the appointment and continue throughout all stages of the proceeding.” FINRA [Rule 12405\(b\)](#) refers to the duty to disclose as a “continuing duty.” Thus, your obligation to check for conflicts and make disclosures is ongoing for the length of your service as an arbitrator on a case. Circumstances frequently change and may require a subsequent disclosure. For example, the lawyer listed in the DR Portal may not be the same individual who

appears at the prehearing conference, or a party may change counsel during the case. These circumstances would trigger the duty to conduct an additional conflicts check and make any required disclosures.

At a prehearing conference, a lawyer may state that they were counsel of record in a case that an arbitrator was assigned to but failed to disclose. You must act. Best practices dictate that you electronically submit a supplemental disclosure through the DR Portal. This can be done by emailing the supplemental disclosure to the DRS Case Administrator or by electronically filing a Neutral Case Submission. To file a Neutral Case Submission, start on the Case Abstract, click on the "Drafts & Submissions" tab, and choose "Neutral Case Submission" from the drop-down menu of submission types.

Conclusion

Familiarizing yourself with the information provided by DRS and following these best practices and practical tips will help you fulfill your duty to disclose. Keep in mind that not every arbitrator disclosure will result in disqualification—but failing to disclose even a minor conflict may jeopardize the award. When in doubt, disclose.⁸

*Annamaria Boccia Smith has over 30 years' experience as an attorney and arbitrator. Since 1999, she has decided 12,000 cases as an administrative law judge for the New York City Department of Finance and has arbitrated almost 200 securities and business cases for FINRA. She most often serves as FINRA arbitration panel chair. She also arbitrates cases for the NFA. She can be reached at annamariabocciasmith@gmail.com.

Endnotes

1. Arbitrators receive the FINRA Arbitrator Disclosure Checklist and Oath of Arbitrator when they are assigned to an arbitration. The Checklist and Oath are available in the DR Portal.
2. FINRA DRS' training, "[Your Duty to Disclose](#)," is available on DRS' learning system and as a [PDF](#).
3. If you make a disclosure on the Checklist, the Oath requires you to affirm in Item No. 1 that you have reviewed and completed the Checklist and that you certify that you made disclosures on the Checklist.
4. *See also supra* note 2.
5. *See also supra* note 2.
6. At the Initial Prehearing Conference (IPHC), you must confirm that you have executed your Oath and Checklist and submitted them electronically on the DR Portal. An arbitrator cannot rule on any item on the IPHC agenda before executing the Oath and Checklist.
7. You have an obligation to keep your ADR current. The Oath requires you to affirm in Item No. 2 that you have carefully read, reviewed and considered your ADR and that you certify that your ADR is accurate and complete.
8. *See also supra* note 2.

DRS and FINRA News



Arbitration Case Filings and Trends 2023 Year-End Statistics

[Arbitration case filings](#) in 2023 reflect a 27 percent increase compared to cases filed in 2022 (from 2,671 cases in 2022 to 3,382 cases in 2023). Customer-initiated claims increased by 12 percent in 2023 compared to cases filed in 2022.

In 2023, the following securities were most identified in customer arbitration cases (listed in order of decreasing frequency): common stock, mutual funds, corporate bonds, real estate investment trusts, options, private equities, exchange-traded funds, variable annuities, annuities, municipal bond funds, preferred stock, limited partnerships, 401(k)s, structured products and business development companies. The top two causes of action alleged in customer arbitration cases were breach of fiduciary duty and negligence.

Statistics through February 2024

[Arbitration case filings](#) from January through February 2024 reflect a 9 percent decrease compared to cases filed during the same two-month period in 2023 (from 457 cases in 2023 to 414 cases in 2024). Customer-initiated claims decreased by 7 percent through February 2024, as compared to the same time period in 2023.

Amendments to the FINRA Codes of Arbitration Procedure and Code of Mediation Procedure to Revise and Restate the Qualifications for Representatives in Arbitrations and Mediations

On January 11, 2024, the Securities and Exchange Commission (Commission or SEC) approved a rule change that would prohibit compensated non-attorney representatives from representing parties in the DRS forum. On January 19, 2024, FINRA received [notice](#) that, pursuant to Rule 431 of the Commission's Rules of Practice, 17 CFR 201.431, the Commission will review the delegated action, thereby staying the Approval Order.

Regulatory Notice 24-03: Amendments to the Arbitration Codes to Make Various Clarifying and Technical Changes

On February 6, 2024, FINRA published [Regulatory Notice 24-03](#) to announce amendments to the Codes to make: (1) changes to the arbitrator list selection process in response to recommendations in the report of independent counsel Lowenstein Sandler LLP and (2) clarifying and technical changes to requirements in the Codes for holding prehearing conferences and hearing sessions, initiating and responding to claims, motion practice, claim and case dismissals and providing a hearing record.

The amendments are effective for arbitration cases filed on or after March 4, 2024.

Now Available: 2023 Arbitrator and Mediator Diversity Statistics

Since 2016, DRS has worked with a third-party consultant to annually survey—on an anonymous and voluntary basis—the demographics of newly added and existing neutrals and have made them available on FINRA’s website. In sharing the findings, FINRA strives to provide transparency about the current makeup of our arbitrator and mediator rosters. In 2023, we added two new questions on disability status and veteran status.

Our [2023 demographic survey results](#) show that we are on the right path and are steadily diversifying the makeup of the roster. Notably, of the new arbitrators added in 2023:

- 23% were Black or African American (20% in 2022)
- 7% were Hispanic or Latino (5% in 2022)
- 1% was American Indian or Alaska Native (0% in 2022)

While we are encouraged by these results, we recognize this is a long-term effort and remain committed toward achieving our diversity goals.

New Expungement Web Page and FAQs

Following the amendments to the Codes to modify the process relating to the expungement of customer dispute information, FINRA updated the Key Topics for [Expungement of Customer](#)

DR Portal Help

If you have any questions about logging into the DR Portal, please contact the FINRA Support Center at (301) 590-6500. If you have any other technical difficulties using the DR Portal other than issues logging in, please contact the DR Portal Help Desk at (800) 700-7065.

[Dispute Information](#) web page and published [FAQs about Expungement of Customer Dispute Information Under Rules 12800, 12805 and 13805](#).

Register for the DR Portal Today

DRS strongly encourages arbitrators and mediators to register for the [DR Portal](#). It allows you to:

- file case documents, including the electronic Oath of Arbitrator and Arbitrator Disclosure Checklist, the IPHC Scheduling Order, general orders, dismissal and postponement orders, the Award Information Sheet and the Arbitrator Experience Survey;
- access information about assigned cases, including case documents, upcoming hearings and arbitrator payment information;
- schedule hearings;
- update profile information;
- view and print the Arbitrator Disclosure Report (ADR);
- update the last affirmation date on the ADR; and
- review list selection statistics to see how often your name has appeared on arbitrator ranking lists sent to parties and how often you have been ranked or struck on those lists.

DR Portal registration is reflected on the ADRs that parties review when selecting arbitrators and mediators.

2024 American Bar Association (ABA) Dispute Resolution Spring Conference: April 10 – 13, 2024

The ABA will hold its [Dispute Resolution Spring Conference](#) in San Diego, CA. This conference will bring together cutting-edge technology and professional strategy, offering more than 50 high-impact sessions designed to immerse you in the next wave of dispute resolution advancements while also enhancing your essential dispute resolution skills. FINRA is proud to be a partnering organization for this event and encourages arbitrators and mediators to attend. At this year's conference, DRS is excited to present its own panel: What's Up with Securities Dispute Resolution – Advancements and Hot Topics, where you will hear from DRS arbitration and mediation staff and a FINRA Neutral. Please use the following discount code to receive the ABA member rate: **SDSPEC24**.

2024 FINRA Annual Conference: May 14 – 16, 2024

The [2024 FINRA Annual Conference](#) will be held in person in Washington, DC. The Annual Conference provides practitioners, peers and regulators the opportunity to exchange ideas on today's most timely compliance and regulatory topics. This year, topics will include regulatory compliance, risk management, crypto asset developments, trends and threats in financial crimes and the evolution of branch office inspections, among others.

2024 ABA Arbitration Training Institute: June 6 – 7, 2024

The ABA will hold its [Arbitration Training Institute](#) at Miles Mediation & Arbitration in Atlanta, GA. This two-day comprehensive training in advanced arbitration skills covers every stage of the arbitration process from the perspective of neutrals, advocates and in-house counsel. As a partnering organization, FINRA encourages arbitrators to consider attending this unique program. Please use the following discount code to receive the ABA member rate: **PartOrg24**.



Mediation Update

Mediation Case Filings and Trends

2023 Year-End Statistics

In 2023, parties initiated 637 mediation cases, a decrease of 15 percent from 2022. DRS also closed 617 cases during this time. Approximately 85 percent of these cases concluded with successful settlements.

Statistics through February 2024

From January through February 2024, parties initiated 78 mediation cases, a decrease of 34 percent from the same period in 2023. FINRA closed 86 cases during this time. Approximately 87 percent of these cases concluded with successful settlements.

FINRA's Mediator Summit – Save The Date

FINRA Mediation Staff will be hosting our first ever Mediator Summit, scheduled for October 15, 2024. This event will be offered in-person in our New York office and virtually, and will consist of a variety of panels and networking opportunities. Please save the date and a formal invitation with more details will be sent to our mediators over the next few months.

FINRA's Mediation Program for Small Arbitration Claims

FINRA offers parties in active arbitration cases free or low-cost virtual mediation for claims of \$100,000 or less. Deficient or inactive arbitration claims and customer expungement cases do not qualify for mediation in this program. Participation by parties is voluntary.

The program offers virtual mediation at the following rates:

- No cost for arbitration claims of \$25,000 or less.
- \$50 per hour for cases with claims of \$25,000 to \$50,000 to cover reduced mediator fees. (FINRA collects this fee which is divided equally between the parties).

- \$100 per hour for cases with claims of \$50,000 to \$100,000 to cover reduced mediator fees. (FINRA collects this fee which is divided equally between the parties). In this claim range, parties will receive a short list of three mediators to select from.

When parties mediate through this program, FINRA waives any mediation filing fees.

Please contact the [Mediation Department](#) if you have any questions about the program.

Mediator Disclosure Updates

Mediators can update their profile anytime through the [DR Portal](#). Keeping your mediator disclosure report up to date—including the number of times you have mediated cases, your success rate and the types of cases you have mediated—helps parties during selection. References who can attest to your skills and mediation style also help parties choose the most appropriate mediator for their case. Remember to include your cancellation policy if you have one.

Early this year, Mediation Staff started reaching out to the mediator roster with our yearly mediator questionnaire. This also gave mediators an opportunity to provide any updates.

Become a FINRA Mediator

Do you have experience working as a mediator? Consider joining DRS' mediator roster. Please email the [Mediation Department](#) for more information.

Questions and Answers



Motions to Compel

Question: During a case, a party filed a motion to compel discovery pursuant to FINRA [Rule 12509](#) but only provided a general statement of non-compliance. Should the moving party have included more details about the request in their motion to compel?

Answer: The party filing the motion to compel must include the disputed document request or list, a copy of any objection to the request and a description of the efforts of the moving party to resolve the issue before making the motion pursuant to Rule 12509¹. If the motion does not include this information, you may ask the party to provide the information so you can adequately rule on the motion. You may also schedule a conference call to discuss the discovery issues, raised in the motion to compel, directly with the parties.

Question: As the chairperson, should I document all discovery rulings in writing?

Answer: Yes, absolutely. You should memorialize each ruling in writing in the [DR Portal](#). The portal has a blank order form you can use to ensure that you provide all the necessary information including the specific information to be produced, how it will be produced and the deadline for production. Writing detailed rulings ensures that parties have clear direction, and if compliance becomes an issue later, the moving party can rely on the writing when considering further remedies.

Question: Does DRS provide any discovery training?

Answer: Yes, DRS has several resources on the discovery process. We have an online training course, "[Discovery, Abuses and Sanctions](#)" which is available through the [DRS learning system](#) or as a [PDE](#). Arbitrators may access either version of this training at any time. We also have discovery Information on our [website](#). For customer

cases, DRS has a [Discovery Guide](#), which includes two document production lists of presumptively discoverable documents. Recently we published an [article](#) in this publication on discovery abuse in customer cases. We also offer tips on discovery through our [Neutral Workshops](#).

Letters Closing FINRA Investigations Without Further Action

Question: Recently at a hearing, a member firm tried to introduce evidence that after FINRA investigated the firm, FINRA issued a letter stating that it had determined to close the investigation with no further action at this time. Should I permit a member firm or associated person to introduce evidence during an arbitration of FINRA's decision not to take action?

Answer: No, unless special circumstances exist. A determination by FINRA not to take action against a member firm or associated person has no evidentiary weight in any arbitration, mediation or judicial proceeding. Further, FINRA considers it to be inconsistent with just and equitable principles of trade for a member firm or associated person to attempt to introduce such a determination into evidence in any arbitration, mediation or judicial proceeding. FINRA's decision to close an investigation without further action may result from many factors unrelated to the merits of a complaint, such as jurisdictional limitations or the existence of an ongoing or completed enforcement action by another law enforcement or regulatory agency.

However, if another party to the arbitration makes a representation that is inconsistent with the closing letter—for example, stating that FINRA determined to take action against the member firm or associated person—it would be permissible for the member firm or associated person to introduce the letter, in unedited form, solely for the purpose of creating a complete factual record.

1. FINRA Rule 12509. Motions to Compel Discovery:

(a) A party may make a motion asking the panel to order another party to produce documents or information if the other party has:

- Failed to comply with Rule 12506 or 12507; or
- Objected to the production of documents or information under Rule 12508.

(b) Motions to compel discovery must be made, and will be decided, in accordance with Rule 12503. Such motions must include the disputed document request or list, a copy of any objection thereto, and a description of the efforts of the moving party to resolve the issue before making the motion.

Education and Training

Calling All Chairpersons!

DRS is looking for chairpersons in all hearing locations. Joining the chairperson roster enhances your service as a FINRA arbitrator and allows you to further develop your skills as a neutral. Well-qualified and competent chairpersons ensure the smooth administration of arbitration cases and keep hearings on track. They act on behalf of the panel to rule on discovery motions and issue subpoenas and direct appearances, among other duties. Chairpersons receive a [higher honorarium](#) for their participation in regular hearings and prehearing conferences.

If you are interested in serving on the chairperson roster but have not completed the Chairperson Training, please complete the newly developed [Chairperson Training](#).

The training was revamped to create a more engaging training experience, which now includes active graphics, narration and closed captioning throughout the course. Current chairpersons are not required to retake the course but can review it as a refresher. The Chairperson Training is available on the [DRS learning system](#).

Arbitrator Disclosure Reminder

As a reminder, arbitrators should review their disclosure reports regularly to ensure all information is accurate and current. Even if arbitrators are not currently assigned to cases, their disclosure reports may be sent to parties during the arbitrator selection process. Providing parties with the most current and complete information helps them make informed decisions when selecting their panel. Complete disclosures also minimize arbitrator challenges and delays to the case. Arbitrators should log in to the [DR Portal](#) to update their disclosure reports.

Last Affirmation Dates on Arbitrator Disclosure Reports

In 2017, DRS enhanced arbitrator disclosure reports by publishing the date that arbitrators last affirmed their accuracy. The affirmation date is displayed prominently at the top of the disclosure report that parties review during the arbitrator selection process. Parties may consider the affirmation date when making decisions about ranking and striking arbitrators.

To provide parties with the most current information, DRS asks arbitrators to review their disclosure reports regularly and affirm the information. Arbitrators can affirm their disclosures and refresh the affirmation date by submitting an update through the DR Portal or by submitting an Oath when assigned a case. Even if you do not have any changes, you can update the affirmation date through the DR Portal. If you would like to register for the DR Portal or need to reactivate a dormant account, please send an email to the [Department of Neutral Management](#) to request an invitation. Please include “request portal invitation” in the subject line.

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