

FINRA Dispute Resolution

Order

Case Number:

Case Name:

Issues Addressed: (ie., name of motion or request, by which party)

Pre-Hearing Conference Held?: Yes No (circle one)

Date/Time:

Participating in the conference were:

Chairperson: _____

Panelist: _____

Panelist: _____

Claimant's Representative: _____

#1 Respondent's Representative: _____

#2 Respondent's Representative: _____

FINRA Dispute Resolution Staff:

Decided by: Chairperson Panel (circle one)

Rulings:¹

After considering the pleadings submitted by the parties (and oral arguments, if pre-hearing conference held), the Panel/Chairperson rules as follows:

¹ If more space is needed, add additional pages.

1. _____

2. _____

3. _____

The parties should comply with this order by _____

If the parties settle this matter prior to the hearing, the forum fees for this pre-hearing conference (or discovery-related motion decided without a pre-hearing conference) are assessed as follows:

____ % to Claimant(s), jointly and severally
____ % to Respondent(s), jointly and severally
____ % assessed to _____
____ % assessed to _____
____ % assessed to _____
____ % assessed to _____

X _____
Chairperson,
On behalf of the Arbitration Panel

Date: _____