



Information for Hearings Not Held at FINRA Dispute Resolution Offices

1. All requests to proceed in a hearing location that is not one of FINRA Dispute Resolution's 71 designated hearing locations will be ruled on by the arbitrators. If the arbitrators grant this request, the parties are responsible for paying the arbitrators' travel and expenses. All travel and expense receipts should be processed through FINRA Dispute Resolution. Do not send your receipts directly to the parties. Also, if the hearing was originally scheduled to proceed in one of Dispute Resolution's four regional offices (Boca Raton, Chicago, Los Angeles, and New York), and the panelists grant the request to hold the hearing in an alternative location, then the parties are responsible for securing and paying for the conference room rental for the hearing.
2. Please contact the case administrator assigned to this case at the conclusion of the hearing to advise of the status of the case and the number of sessions conducted. Please note that a session is any meeting between parties and arbitrators that lasts four hours or less.
3. To avoid additional room charges, if the hearing concludes prior to the last scheduled hearing date, kindly notify the administrative office on site at the hotel (NOT the front desk) immediately.
4. If there are issues concerning the hearing that require staff intervention, please call the case administrator assigned to this case or any FINRA Dispute Resolution staff member. If you have any problems with the tape recorders or the room (i.e. insufficient lighting, air conditioning), please contact the front desk.
5. Even if your hearing is continuing the following day, please note that any materials left in the hearing room may be discarded. Please make sure that you take with you all important documents and/or personal belongings and inform the parties to do the same.
6. Please return one copy of all exhibits (except Arbitrator's Exhibit One) and tapes to the case administrator assigned to this case.
7. Any special requests by the parties (i.e. photocopies, facsimiles, special audio-visual equipment, phone installation charges) must be paid for by the requesting party. Charges for Party Requests May Not Be Billed to FINRA Dispute Resolution's Account.