

Request for Mediation

FINRA Dispute Resolution

Please complete this form if you are interested in having your case mediated through the FINRA Dispute Resolution Mediation Program. You may file a Request for Mediation at any time, whether or not you have already filed an arbitration claim. However, mediation is a voluntary process, and no party is required to mediate a dispute. When we receive your Request, FINRA Dispute Resolution staff will contact the other party or parties to the dispute to explain the mediation process, and seek their agreement to mediate.

The quickest way to submit your Request for Mediation is by using the online form on our Web Site at <http://www.finra.org/arbitrationmediation>. Alternatively, you may complete and submit the following form.

☐ **Note:** If represented by counsel in this matter please check here and attach the name, address, and telephone number of counsel on a separate page.

Prefix	First Name	Middle Name	Last Name
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Street Address			
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City	State	Zip
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Telephone	Fax
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E-Mail Address

Securities Account Number(s) 1. _____
(last 4 digits only) 2. _____

1. ☐ I request that my dispute be mediated by FINRA Dispute Resolution under the FINRA Mediation Rules. I request that FINRA Dispute Resolution contact the other party(ies) and seek their agreement to mediate. I ask that the mediation be held in the city of _____

2. Check One:

☐ This dispute involves a pending FINRA arbitration case.

The arbitration case is currently assigned to the regional office located in (city). _____

The case number is _____

☐ This dispute does **not** involve a pending FINRA Dispute Resolution arbitration case.

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Financial Industry Regulatory Authority

3. Please provide a brief description of the dispute. Include a summary of what occurred, the names, account numbers (last 4 digits only), and location of any securities account(s) at issue, the date(s) on which the dispute occurred, the names and titles of all individuals involved, and the relief requested (e.g., an amount of money damages or a description of other relief you seek). Please attach additional pages if necessary.

4. Please provide the following information for all parties to the dispute. If you list a brokerage firm, provide the name of a contact person at the brokerage firm who would have the most information about the dispute. Please attach additional pages if necessary.

Name of Party	Firm
Contact Person Name	Position/Title
Address	Phone/Fax
Name of Party	Firm
Contact Person Name	Position/Title
Address	Phone/Fax

Please mail, email or fax this completed form to:

Mail: FINRA
Mediation Department
One Liberty Plaza
165 Broadway, 27th Floor
New York, NY 10006

Email: mediate@finra.org

Fax: (301) 527-4914

If you need further assistance, contact: (212) 858-4730
(212) 858-5282

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