

FINRA Dispute Resolution

PROMISSORY NOTE CASE CHECKLIST

Case Number _____

Case Name _____

1. For cases in which a respondent has failed to submit an answer (an unresponsive party), have you reviewed the service history for that respondent? Yes____ No____

If yes, is service complete and sufficient upon the unresponsive party in order for you to decide the case? Yes____ No____

If you have any questions about service, please contact the case administrator assigned to your case.

2. Are you dismissing any respondents from this case? Yes____ No____

If yes, list the respondents you are dismissing:

3. Are you denying claimant's relief requests in their entirety against the remaining respondents? Yes____ No____

4. **IF YOU ARE AWARDING DAMAGES TO THE CLAIMANT:**

a. Total compensatory damages awarded: _____

b. Are the respondents found jointly and severally liable? Yes____ No____

If no, list the respondents and the amount of liability against each:

5. **INTEREST** (if applicable):

a. Granted _____ (if granted, please complete the sentence below.)
Interest is awarded at the rate of _____% per annum from _____ to _____

b. Denied _____

6. **PUNITIVE DAMAGES** (if applicable)

a. Granted _____ (if granted, please supply the information requested below.)

Name(s) of respondent(s) against whom punitive damages are to be assessed and the amounts:

Basis for punitive damage award: _____

b. Denied _____

7. **ATTORNEY FEES** (if applicable)

a. Granted _____ (if granted, please specify amount and legal authority, if any)

b. Denied _____

8. **FINRA DISPUTE RESOLUTION FEE OF \$300.00 FOR A DECISION ON WRITTEN SUBMISSIONS** (You are required to complete this section)

a. Assessed against respondent (Please specify percentage assessed against each respondent)

b. Assessed against claimant (Please specify percentage assessed against each claimant)

9. You may use a separate sheet of paper to clarify or expand any part of the decision above or to indicate other types of relief.