



# FINRA Arbitrator Application

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## User Guide

**January 2014**

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## How Do I Get Started?

The Become an Arbitrator Web pages contain information about completing the application either electronically or by paper. Instructions for both methods are provided here.

## Compatible Browsers

The online arbitrator application is compatible with the following browsers: Internet Explorer 8 and 9; Firefox 13 and higher; and Google Chrome.

If you are not sure about which version of Internet Explorer you are using, you can check this [website](#) for information.

## Pop-Up Blockers

Some features of the portal open extra tabs in your browser or pop-up windows. We suggest that you add \*.finra.org to your browser's list of Trusted Sites and to your pop-up blocker's exception list. You may also disable your pop-up blockers.

## Electronic Arbitrator Application

You will begin the application process by first registering with FINRA.

**Note: you can NOT use your FINRA Firm Gateway account to access the online application. You must create a separate account using the self-registration procedures described below.**

1. On the Become an Arbitrator page, there is an Apply Here link. Click on the link, and you will be taken to the “**Welcome to FINRA**” login page where you have the option to log into or create your FINRA account.
2. Click on “**Register Now**” to create a new user profile.

Welcome to FINRA

**New** The Login process has changed. [Learn More](#)

User ID  
 [Forgot Password?](#) [New Users, Register Now](#)

This Privacy Statement relates to the online information collection and use practices of this FINRA Entitlement Program and embedded forms and applications (this "Web site"). This Privacy Statement complements the full FINRA Privacy Policy and may be updated from time to time. Updates to FINRA's privacy policies will be posted here and/or in the full FINRA Privacy Policy, as appropriate.

To enable you to be employed in certain positions or participate in certain matters or opportunities in the securities industry in the United States, FINRA collects certain personal data from you for identity verification and regulatory purposes. Personal information may include your name, address, phone number, fingerprints, employment history and any other information that identifies or can be used to identify the person to whom such information pertains. FINRA may use your personal information submitted via this Web site for any regulatory purpose.

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By clicking the button below, I certify that I have read and understand all of the terms of the [FINRA Entitlement Program Agreement and Terms of Use](#) and intend to form a binding agreement with FINRA on those terms without modification or amendment thereto. If I am accepting this agreement on behalf of an organization, I certify that I have the authority of that organization to enter into this agreement.

If you are experiencing any difficulties logging into the system, please contact your Administrator for assistance. If you are a Super Account Administrator, contact the Gateway Call Center at 301-869-6699 for Assistance.

Do NOT bookmark this page or add it to your favorites. If you would like to create a bookmark or add this application to your favorites, please create the bookmark or add it to your favorites after successfully logging in.

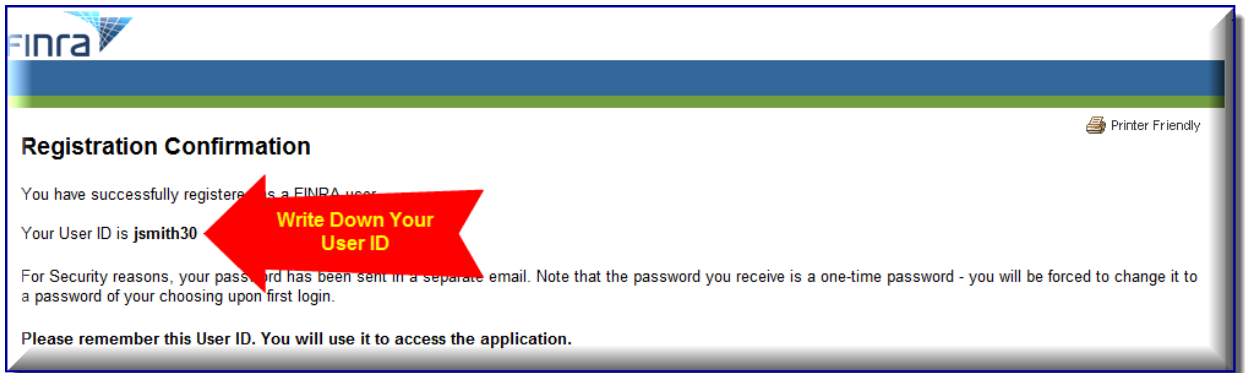
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1. Enter the registration information. You will also need to enter the characters shown in the box before submitting the information. You can click the refresh button if you need a new set of characters.

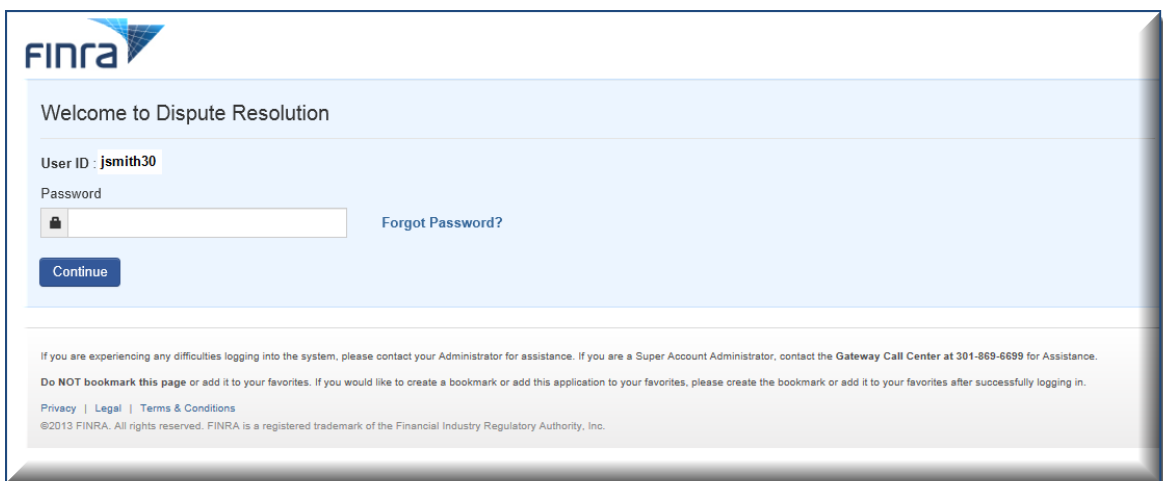
To prevent unauthorized access to this application, please enter the characters in the exact order as they appear in the box below.

3. The email address that you use in this initial registration form will be the email that is reflected as your primary email address with FINRA Dispute Resolution. If you need to update your email address with FINRA, you will need to make this change by updating your account information in the portal—this change cannot be made by FINRA staff. Once all information is entered, press **“Submit.”**

- You will receive a **“Registration Confirmation”** with your User ID. Be sure to write down your User ID and/or print this screen. If you leave this screen and cannot remember your user name, you will need to re-register.

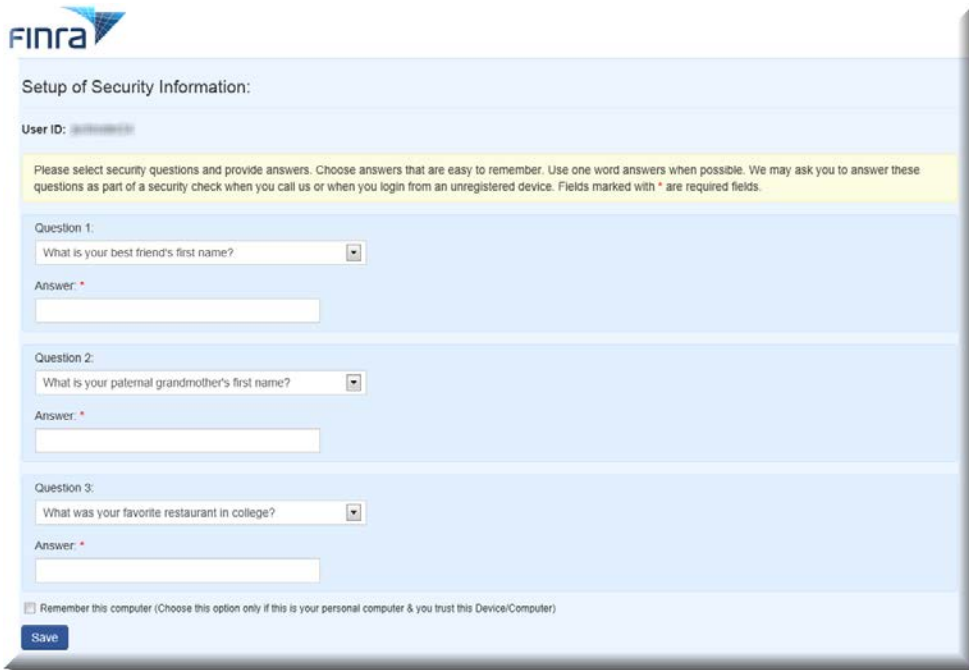


- You will be sent an email with a temporary password. Copy the password and click on the words **“this link”** in the email to change your password.
- On the **“Welcome to FINRA”** page, enter your User ID password and click **“I agree.”**
- The system will capture your User ID and prompt you to enter your password. Enter your temporary password and click **“Continue.”**



- You will be prompted to reset your password. Once you reset your password, click **“Continue.”**
- You will receive a **“Password Reset Completed”** message on the screen. Click on the **“Continue”** button to enter your new password.

10. Log into the online application by entering your **new password**. The first time you log in you will be asked to answer three security questions. From time to time, the system may ask you one of these questions to confirm your identity.



The screenshot shows the 'Setup of Security Information' page in the FINRA online application. At the top left is the FINRA logo. Below it, the page title is 'Setup of Security Information:'. A 'User ID:' field is visible. A yellow warning box contains the text: 'Please select security questions and provide answers. Choose answers that are easy to remember. Use one word answers when possible. We may ask you to answer these questions as part of a security check when you call us or when you login from an unregistered device. Fields marked with \* are required fields.' There are three security questions, each with a dropdown menu for the question and a text input field for the answer. Question 1: 'What is your best friend's first name?'. Question 2: 'What is your paternal grandmother's first name?'. Question 3: 'What was your favorite restaurant in college?'. Each answer field is marked with an asterisk (\*). At the bottom, there is a checkbox labeled 'Remember this computer (Choose this option only if this is your personal computer & you trust this Device/Computer)' and a blue 'Save' button.

11. You can access the online arbitrator application from FINRA.org after completing the initial registration step. Neutrals can also create a “favorite” or “bookmark” in their browser for easy access to the application site. We recommend that you create the bookmark **after** you successfully log into the application. You should use the following URL as the bookmark to access your application:

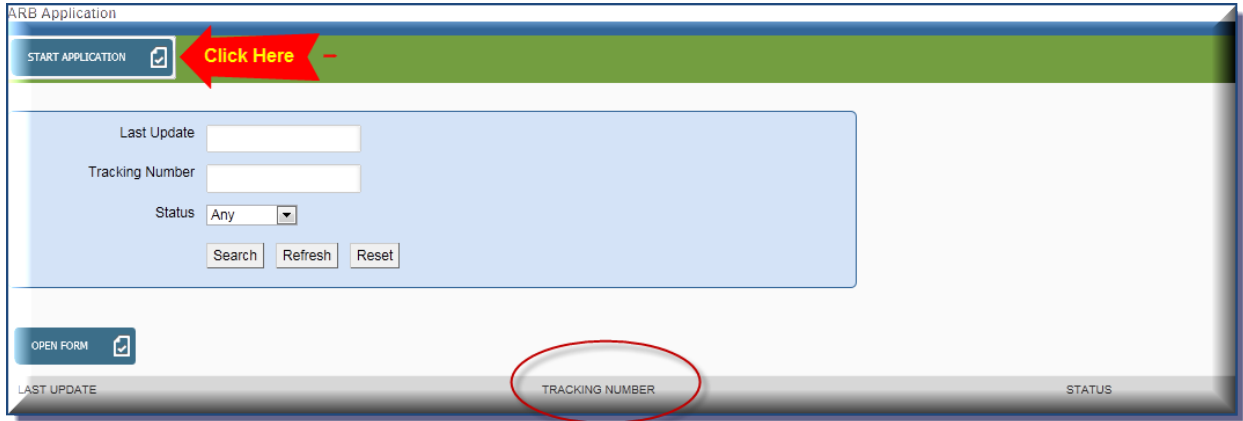
<https://www.finra.org/BecomeAnArbitrator/OnlineApplication>

## Paper Arbitrator Application

Applicants may choose to complete a paper application. The application is available on the [Arbitrator Application page](#). Applicants will need to download the PDF document and either handwrite or type the application and mail it with the necessary documents and payment.

## Getting Started With the Application

After you log into FINRA’s system, you will see the following page. To start a new application, click on **“Start Application”** and that will take you to a new application form. A new **“Tracking Number”** will be assigned to the form that you open.



## Completing the Application Form

You will need to complete each section of the application. On the left hand side, you will see a heading for each section. Each separate section will contain specific instructions at the top of the page. All questions with a red asterisk (\*) are required.

The screenshot displays the FINRA Dispute Resolution Portal interface. On the left is a vertical navigation menu with various sections. The 'Educational History' section is currently selected and highlighted in blue. The main content area shows a table with columns for 'School Name', 'Degree/Certificate Awarded', 'Start Date', and 'End Date'. Below the table are buttons for 'Add New' and 'Delete All', and a status indicator showing '0 Row(s)'. At the bottom of the form, three buttons labeled 'Save', 'Previous', and 'Next' are circled in red. A yellow informational box at the top of the 'Educational History' section provides instructions on the minimum college-level credits required for qualification as a FINRA arbitrator.

## Saving Information

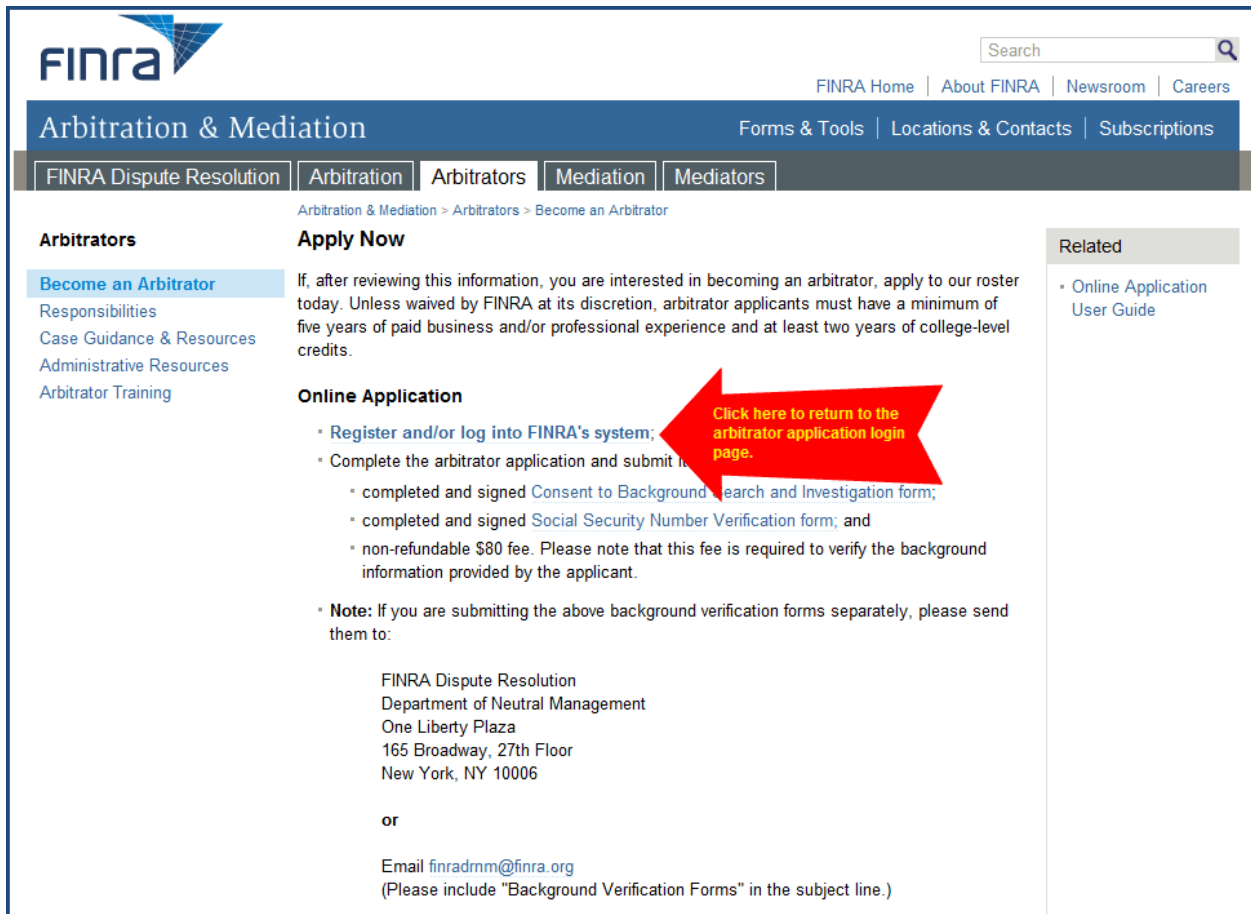
You may complete the form in any order. For example, you can fill out the Personal information and then skip to the Employment section. After you enter information for any section, be sure to **save** your progress.

You can also work through the form in the order presented. After you enter information for a section, be sure to either **save** your progress or press **NEXT** to go onto the next section. By pressing **next**, the system will automatically save your progress. The system will also save your progress if you press **previous**.



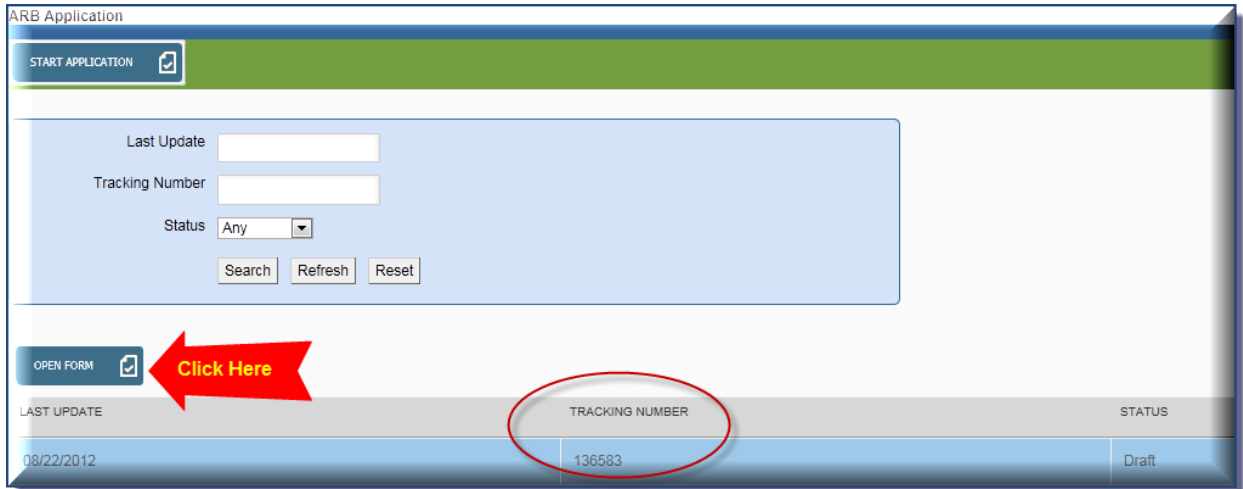
## Returning to a Previous Draft

The application is lengthy, so you may not be able to complete it one session. You have the option of saving the application with the information entered and logging back into your account to complete it at a later time. You would need to log back into FINRA’s system at [www.finra.org/BecomeAnArbitrator](http://www.finra.org/BecomeAnArbitrator) and go to the [Apply Now page](#):



The screenshot shows the FINRA website's 'Arbitration & Mediation' section. The breadcrumb trail is 'Arbitration & Mediation > Arbitrators > Become an Arbitrator'. The main heading is 'Apply Now'. Below it, a paragraph states: 'If, after reviewing this information, you are interested in becoming an arbitrator, apply to our roster today. Unless waived by FINRA at its discretion, arbitrator applicants must have a minimum of five years of paid business and/or professional experience and at least two years of college-level credits.' The 'Online Application' section contains a list of steps: 'Register and/or log into FINRA's system;', 'Complete the arbitrator application and submit it, including: completed and signed Consent to Background Search and Investigation form; completed and signed Social Security Number Verification form; and non-refundable \$80 fee. Please note that this fee is required to verify the background information provided by the applicant.' A 'Note' follows, stating: 'If you are submitting the above background verification forms separately, please send them to: FINRA Dispute Resolution, Department of Neutral Management, One Liberty Plaza, 165 Broadway, 27th Floor, New York, NY 10006'. Below this, it says 'or' and provides the email 'finradnm@finra.org' with the instruction '(Please include "Background Verification Forms" in the subject line.)'. A red arrow points to the 'Online Application' section with the text 'Click here to return to the arbitrator application login page.' The 'Related' sidebar on the right includes 'Online Application User Guide'.

When you log back into your account, you will see your “**filing cabinet.**” You should see one draft of the application that you started. To return to the application, click anywhere on the row that contains details about your draft. After the row is highlighted, click “**Open Form,**” and this will take you back to your application.



## Application: Section by Section

### Personal Information

Enter basic, personal information such as name, Social Security number, etc. You will notice that your login ID and email are already included. This information is automatically added to your application upon registering with FINRA. Once you are done entering information on this screen, click SAVE or NEXT.

### Addresses and Contacts

Enter your current addresses. You may enter more than one, for example, you can enter your home address as well as your work address. If you have multiple residences where you split your time during the year, you can add those addresses. Once you enter this information, you can designate which address should serve as your preferred address. This will be the address that FINRA sends you correspondence—both case related and general roster maintenance.

To add an address or telephone/fax, press **“Add New”**

The screenshot displays the 'Addresses and Contacts' section of the FINRA Dispute Resolution Portal. The page features a sidebar with various navigation options, including 'Personal Information', 'Addresses and Contacts', 'Arbitrator Honorarium', 'Business Background', 'Employment History', 'Educational History', 'Training', 'Arbitrator Classifications', 'Statutory Discrimination Qual.', 'Criminal Disclosures', 'Regulatory Action Disclosures', 'Civil Judicial Disclosures', 'Complaints and Legal Disclosures', 'Harassment Disclosures', 'Termination Disclosures', 'Financial Disclosures', 'Other Legal Disclosures', 'Securities Disputes Experience', 'Conflicts', 'Accommodations', 'Affirmation of Duties', 'Letters of Recommendation', and 'Background Verification'. The main content area is titled 'Addresses and Contacts' and includes a yellow warning box stating 'All questions marked as \* are mandatory.' Below this, there are two tables: 'Addresses' and 'Telephone/Fax Numbers'. The 'Addresses' table has columns for Preferred, Type, Firm/Company, Street, Apt/S..., City, State/Territory/..., Postal Code, and Country. The 'Telephone/Fax Numbers' table has columns for Preferred, Type, Phone/Fax, Country Code, Area Code, Number, and Extension. Both tables currently show 0 Row(s). A red circle highlights the 'Add New' button located below the 'Addresses' table.

When you are done entering information, click **“Add Row”** to add this information to your application.

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## Arbitration Honorarium

Arbitrators are paid an honorarium according to [Rule 12214](#) of the FINRA Code of Arbitration Procedure. Arbitrators must not set their own rates. Arbitrators serving on FINRA’s roster are bound by FINRA’s honorarium rate.

You may choose to have the honorarium paid to you or your employer. You may also choose to waive the honorarium.

## Business Background

In this section, you should include a narrative of your professional background—in paragraph format. Do not provide your resume in lieu of a narrative paragraph. You can click on the PDF icon to see sample business statements. This text is added—exactly as you submit it here—to your disclosure report that is distributed to parties during the arbitrator selection process. You can type this information directly into the free text field or cut and paste from an existing document. You will, however, NOT be able to attach a document.

The screenshot shows the 'Business Background' section of the FINRA Dispute Resolution Portal. On the left is a navigation menu with items like 'Personal Information', 'Addresses and Contacts', 'Arbitrator Honorarium', 'Business Background', 'Employment History', 'Educational History', 'Training', 'Arbitrator Classifications', 'Statutory Discrimination Qual', 'Criminal Disc', 'Regulatory', 'Civil Judicial Disclosures', 'Complaints and Legal Disclosures', 'Harassment Disclosures', 'Termination Disclosures', 'Financial Disclosures', 'Other Legal Disclosures', 'Securities Disputes Experience', and 'Conflicts'. The 'Business Background' section is active, showing a yellow warning box: 'All questions marked as \* are mandatory.' Below this is the instruction: 'Please fully describe your business or professional background in paragraph format. Do not provide your resume in lieu of a narrative paragraph. You may view sample business background statements  [here](#) . \*'. A red circle highlights the PDF icon and the word 'here'. Below the instruction is a large text area with a red border and a scroll bar. A red arrow points to this area with the text 'Free text field'. At the bottom right of the text area, it says 'You have 4000 character(s) left.' At the bottom of the page are 'Save', 'Previous', and 'Next' buttons.

## Employment History

In order to qualify as a FINRA arbitrator, applicants must have a minimum of five years of paid business and/or professional experience (unless waived by FINRA, at its discretion). Enter all employment that you have held since having completed your education. Do not leave any unexplained gaps of more than 30 days. Therefore, if you were unemployed or taking a sabbatical, you must enter those time periods as “unemployed” so there are no gaps in your work history.

1. Click “**Add New**” to add employment and complete the required fields. You must enter the month and year (format: 11/1111) of your employment.
2. Indicate if you are retired or unemployed.
3. Indicate if you continue to receive benefits from a prior employer. For example, if you are no longer employed by a firm but continue to receive benefits such as health insurance, pension, office space, administrative, services, etc., you should indicate that you continue to receive benefits.

Retired/Unemployed **Indicate if you are retired or unemployed**

Yes  No

Receiving Benefits	Start Date	End Date	Firm Name	Position/Title	Full/Part-time	License Type	License #
--------------------	------------	----------	-----------	----------------	----------------	--------------	-----------

**Add New** Delete All 0 Row(s)

Save Previous Next

## Educational History

In order to qualify as a FINRA arbitrator, applicants must have completed a minimum of two years of college-level credits (e.g., 60 credits) from an accredited institution (unless waived by FINRA, at its discretion).

1. List your educational background in reverse chronological order with the most recently attended institution first.
2. Click **“Add New”** to add education information and complete the required fields. You must enter the month and year (format: 11/1111) of your education.

### Educational History

In order to qualify as a FINRA arbitrator, applicants must have completed a minimum of two years of college-level credits (e.g., 60 credits) from an accredited institution. [In some circumstances, a candidate without the required college credits may be considered, provided the individual has relevant business/professional experience.] If you meet the above requirement, please list your educational background in reverse chronological order with the most recently attended institution first. All questions marked as \* are mandatory.

School Name ▲	Degree/Certificate Awarded	Start Date	End Date
---------------	----------------------------	------------	----------

**Add New** Delete All 0 Row(s)

Save Previous Next

## Training

Please enter any arbitration, mediation and related training you have received, including the sponsoring organization, location and date(s).

Click “**Add New**” to add training information and complete the required fields. You must enter the month and year (format: 11/1111) of your education.

### Training

Please describe any arbitrator, mediator and related training you have received, including the sponsoring organization, location and date(s). All questions marked as \* are mandatory.

Note: If your application is accepted, you will be required to successfully complete FINRA's mandatory arbitrator training, test and evaluations.

Course Name ▲	Completed Date	Firm/School Name	Details	Hours Completed	Location
0 Row(s)					

**Add New**

Save Previous Next

## Arbitrator Classifications

Arbitrators are classified as either “**Public**” or “**Non-Public**” pursuant to the FINRA Code of Arbitration Procedure [Rules 12100/13100](#) (p) and (u). Potential applicants should review these rules before applying to the roster, as some individuals may not meet the requirements for either classification and are therefore, ineligible to serve.

Answer each question and check the box to affirm the accuracy of your answers.

### Statutory Discrimination Qualifications

If you are an attorney, and if you wish to qualify to serve as chairperson for statutory employment discrimination cases, please answer each question in this section. You will also need to provide an explanation of your experience with statutory employment discrimination cases. You can type in your text in the provided space.

### Legal or Regulatory Disclosures

This section requires disclosures in the following areas:

- Criminal Disclosures
- Regulatory Action Disclosures
- Civil Judicial Disclosures
- Complaints and Legal Disclosures
- Harassment Disclosures
- Termination Disclosures
- Financial Disclosures
- Other Legal Disclosures

If you answer “yes” to any of the questions in this section, please explain the circumstances or attach a copy of the appropriate legal documentation. Provide details, including case numbers, dates, damages requested and awarded, disposition, settlement amounts, etc. Any affirmative answers will be closely reviewed by the Director. The explanation for the answer may be disclosed to the parties. Please see the [criteria for temporary and permanent disqualification](#).



## Securities Disputes Experience

Arbitrator candidates do not need to have specific securities expertise/experience in order to be approved to our roster. However, if you have a particular expertise, you may include this on your application.

You will need to explain the basis for each expertise/experience field you check. You should rely on the expertise derived from your business, securities or employment experience, not wholly from any prior experience as an arbitrator.

If you check a particular expertise, a text box will appear and you must enter an explanation. No areas of expertise/experience in securities will be listed on your record without an explanation.

**Securities Disputes Experience**

Check the types of securities-related disputes below in which you have expertise and/or experience. Arbitrator candidates do not need to have specific expertise/experience in order to be approved to our roster. You will need to explain the basis for each expertise/experience field you check. You should rely on the expertise derived from your business, securities or employment experience, not wholly from any prior experience as an arbitrator. No areas of expertise/experience in securities will be listed on your record without such explanation.

**a. Account Related**

- Breach of Contract
- Dividends
- Margin Calls
- Transfer

**b. Employment**

- Age Discrimination

Please explain the basis for this expertise/experience. You should rely on the expertise derived from your business, securities or employment experience, not wholly from any prior experience as an arbitrator. \*

Free text field to add explanation for expertise

You have 1000 character(s) left

## Conflicts

Please list all known conflicts/disclosures and the nature of the conflict/disclosure. If you are accepted as an arbitrator, you will be under a continuing obligation to update this information and must disclose new relationships as they arise. Answer all questions that apply to you as completely as possible. If appropriate, include the member firm's CRD number in your answer. When in doubt, disclose. Failure to disclose may result in vacated awards which undermine the efficiency and finality of our process. Failure to disclose may also result in removal from the roster.

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## Accommodations

Enter information about any accommodations you may require when serving as an arbitrator.

### Accommodations

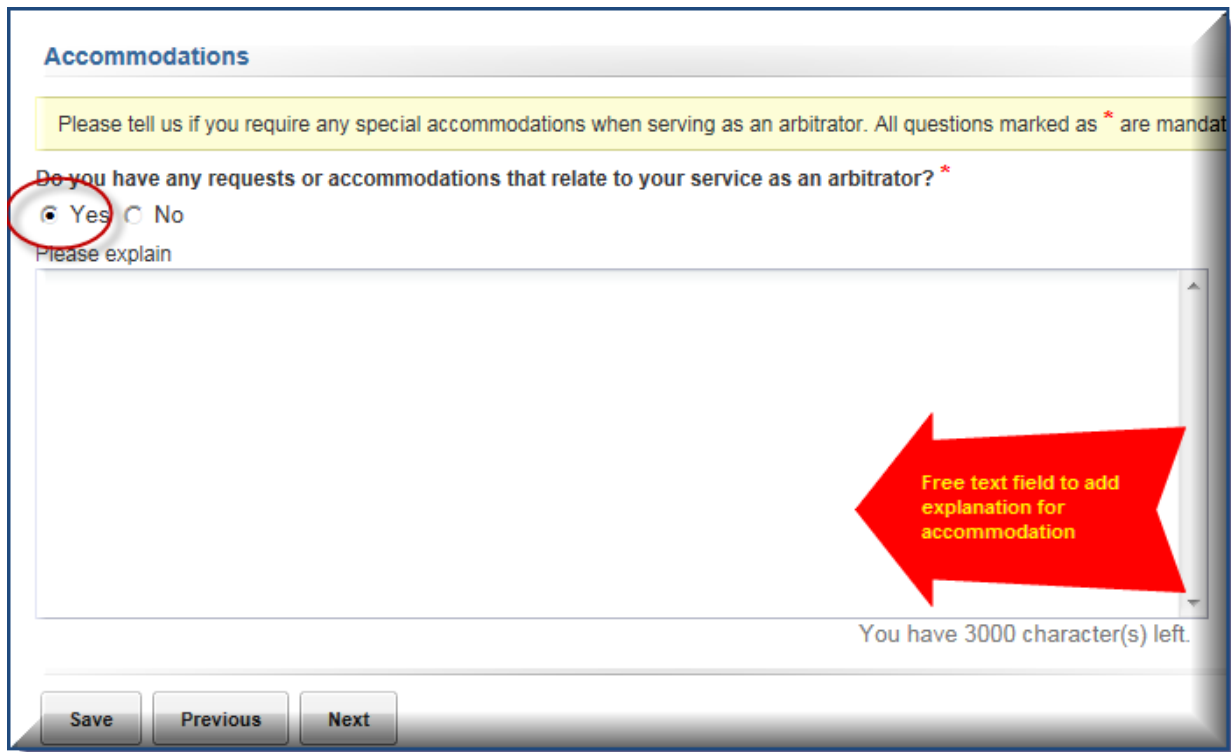
Please tell us if you require any special accommodations when serving as an arbitrator. All questions marked as \* are mandatory.

Do you have any requests or accommodations that relate to your service as an arbitrator? \*

Yes  No

Please explain

You have 3000 character(s) left.



## Affirmation of Duties

After reviewing the affirmation and the terms and conditions of serving as a FINRA arbitrator, you must answer each question in this section confirming your understanding and acceptance. In addition, you must review the [Arbitrator Honorarium FAQ](#), [Arbitrator Disqualification Criteria](#) and the definitions of a “public” arbitrator and “non-public” arbitrator in [Rule 12100\(p\) and \(u\)](#) and check the box to affirm that you understand these materials.’

## Background Verification

In order to ensure the integrity of the roster of neutrals, we require all applicants to submit to a verification of their background information. Please download the (1) background verification form and (2) the SSN verification form, complete all pages of both forms, sign and upload them to submit with your application. Note that Article 23-A of the New York Correction law only applies to applicants residing in New York state.

1. Download the (1) background verification and (2) SSN verification forms.
2. Complete all pages of both forms.
3. Sign both forms—the background verification vendor must have a “wet” signature (which can be scanned and emailed) for each form. No electronic signatures will be accepted.
4. Scan the forms and save them to your computer.
5. Attach your verification forms by clicking “**Browse**,” searching for the document in your computer and clicking “**Open**” to attach the document.
6. You may also check the box and choose to mail in the verification forms.

### Background Verification

In order to ensure the integrity of the roster of neutrals, we require all applicants to submit to a verification of their background information.

Please download the (1) Background Verification Form and (2) the Social Security Number (SSN) Verification Form. Complete all pages of both forms, sign, scan, and upload them in step 4 below. Alternatively, download and mail the completed Background Verification Form and SSN Verification Form to FINRA Dispute Resolution. If you choose to mail the verification forms to FINRA, please indicate that in step 4 below.

This application must be submitted with an \$80.00 payment for the non-refundable verification fee. You will be prompted for payment immediately after you submit your application to FINRA Dispute Resolution. Payment must be completed online by credit card or by ACH bank transfer (which is taken directly from your checking account).

Make sure to complete all fields of the Background Verification Form and SSN Verification Form. Applications that do not contain completed verification forms and the \$80 payment received in a timely manner will require additional action requested by Dispute Resolution. This will delay processing of the application.

On the Background Verification Form, note that the reference to [Article 23-A](#) of the New York Correction law only applies to applicants residing in New York state.

1



[Download Background Verification Form PDF Document](#)

Click here to download the Background Verification form.

2



[Download SSN Verification Form PDF Document](#)

Click here to download the SSN Verification form.

3

Print, Complete, Sign, and Scan Both Forms

4

Attach Both Signed Documents

Attach signed "Background Verification" - Adobe PDF Only

After saving the documents, click Browse to search for the verification forms to attach.

Attach signed "SSN Verification" - Adobe PDF Only

OR

I would like to mail the Background Verification and SSN Verification Forms

Mail to:

### How Did You Hear About Us?

Please provide information about how you became interested in FINRA. As part of our recruiting efforts, we try to keep track of how we reach arbitrators and how they learn about FINRA.

### Review and Submit

When you have completed the application and are ready to submit it, please carefully review the affirmation and sign and date the application. You may sign the form by entering your name and initials, preceded and followed by the forward slash symbol (/) (e.g., /Jane Q. Public jqp/).

When you are ready to submit your application, please click the **“Submit and Pay”** button. The system will let you know if you have not provided all required information. Assuming you have entered all the required information, you will be prompted to enter your credit card information to pay the \$80 verification fee.

### What Happens Next?

After you submit your application and fee, FINRA will start processing your application. FINRA will contact you if there are any questions regarding your submission. You should receive notice of your application status within **60 – 90 days**. FINRA conducts a preliminary review of your completed application before forwarding to a subcommittee of the National Arbitration and Mediation Committee (NAMC) for final approval.

Once the NAMC approves your application, you will receive written notice of your approval, and you will be ready to start the [Basic Arbitrator Training Program](#):

1. Online basic arbitrator training course, which requires successful completion of an online test (25 multiple choice exam that requires 80% passing score).
2. Online expungement course, which requires completion of an online test (10 True/False).
3. Live video or onsite classroom training that requires successful evaluation by the trainer.

### Additional Resources

For questions about the application, you can contact FINRA’s Department of Neutral Management at [ArbAppHelp@finra.org](mailto:ArbAppHelp@finra.org) or at (212) 858-3999 or toll free at (855) 209-1620.

For information about FINRA Dispute Resolution’s rules and procedures, you may review the following resources:

- [Code of Arbitration Procedure](#)
- [Arbitrator’s Guide](#)
- [Code of Ethics for Arbitrators in Commercial Disputes](#)