

Arbitrator Experience Survey

Neutral ID: _____ Name: _____

Date: _____ Case ID: _____

Case Name: _____

This survey is an essential part of FINRA Dispute Resolution's effort to ensure that your fellow arbitrators are qualified. It is used exclusively by FINRA Dispute Resolution and should be completed and returned after the award has been finalized or after the case has settled or been withdrawn. This form includes features that allow you to print and email the form directly to Dispute Resolution.

Note: If you are using a Macintosh computer, the default PDF viewer program, called "Preview", does not work well with Adobe PDF forms. To avoid problems using Adobe PDF forms, please open and complete the Arbitrator Experience Survey using Adobe Acrobat Reader, which you may download at no cost at: <http://get.adobe.com/reader/>.

We encourage you to complete this if you have had an opportunity to observe your fellow arbitrators. There is no better way to assess an arbitrator's dedication, attentiveness, and objectivity than to review the feedback from the arbitrator's fellow panelists. We are also interested in your experience with the FINRA staff and facilities.

Your responses to this survey will be kept confidential. Your feedback is a valuable and necessary part in our efforts to serve you better.

Todd Saltzman
Deputy Director of Case Administration

Please enter the name of the arbitrators that you served with below and rate their performance. Do not rate your own performance.

	Chairperson/First Arbitrator	Second Arbitrator
First Name:	_____	_____
Last Name:	_____	_____

1. Your overall evaluation of the above arbitrator's performance on this case is:

- | | | |
|-------------------|--------------------------|--------------------------|
| a) Exceptional | <input type="checkbox"/> | <input type="checkbox"/> |
| b) Satisfactory | <input type="checkbox"/> | <input type="checkbox"/> |
| c) Unsatisfactory | <input type="checkbox"/> | <input type="checkbox"/> |

Professionalism:

Please rate the arbitrators' service as **panelists**. There will be another opportunity to rate specific chairperson qualities.

2. The arbitrator's professional demeanor was:

- | | | |
|-------------------|--------------------------|--------------------------|
| a) Exceptional | <input type="checkbox"/> | <input type="checkbox"/> |
| b) Satisfactory | <input type="checkbox"/> | <input type="checkbox"/> |
| c) Unsatisfactory | <input type="checkbox"/> | <input type="checkbox"/> |

3. The arbitrator's ability to listen attentively, focusing on the testimony and evidence was:

- | | | |
|-------------------|--------------------------|--------------------------|
| a) Exceptional | <input type="checkbox"/> | <input type="checkbox"/> |
| b) Satisfactory | <input type="checkbox"/> | <input type="checkbox"/> |
| c) Unsatisfactory | <input type="checkbox"/> | <input type="checkbox"/> |

4. The arbitrator's ability to use clear, neutral, and understandable language was:

- | | | |
|-------------------|--------------------------|--------------------------|
| a) Exceptional | <input type="checkbox"/> | <input type="checkbox"/> |
| b) Satisfactory | <input type="checkbox"/> | <input type="checkbox"/> |
| c) Unsatisfactory | <input type="checkbox"/> | <input type="checkbox"/> |

5. The arbitrator's ability to appear unbiased, and treat both parties fairly and impartially was:

- | | | |
|-------------------|--------------------------|--------------------------|
| a) Exceptional | <input type="checkbox"/> | <input type="checkbox"/> |
| b) Satisfactory | <input type="checkbox"/> | <input type="checkbox"/> |
| c) Unsatisfactory | <input type="checkbox"/> | <input type="checkbox"/> |

Chairperson/First Arbitrator

Second Arbitrator

Last Name: _____

6. The arbitrator's ability to conduct him/herself in an unbiased objective way was:

- | | | |
|-------------------|--------------------------|--------------------------|
| a) Exceptional | <input type="checkbox"/> | <input type="checkbox"/> |
| b) Satisfactory | <input type="checkbox"/> | <input type="checkbox"/> |
| c) Unsatisfactory | <input type="checkbox"/> | <input type="checkbox"/> |

7. The arbitrator's ability to remain courteous and respectful of all parties and representatives was:

- | | | |
|-------------------|--------------------------|--------------------------|
| a) Exceptional | <input type="checkbox"/> | <input type="checkbox"/> |
| b) Satisfactory | <input type="checkbox"/> | <input type="checkbox"/> |
| c) Unsatisfactory | <input type="checkbox"/> | <input type="checkbox"/> |

8. The arbitrator's respect for the role and opinions of other arbitrators was:

- | | | |
|-------------------|--------------------------|--------------------------|
| a) Exceptional | <input type="checkbox"/> | <input type="checkbox"/> |
| b) Satisfactory | <input type="checkbox"/> | <input type="checkbox"/> |
| c) Unsatisfactory | <input type="checkbox"/> | <input type="checkbox"/> |

9. The arbitrator's sensitivity to differences of gender, ethnicity, and culture was:

- | | | |
|-------------------|--------------------------|--------------------------|
| a) Exceptional | <input type="checkbox"/> | <input type="checkbox"/> |
| b) Satisfactory | <input type="checkbox"/> | <input type="checkbox"/> |
| c) Unsatisfactory | <input type="checkbox"/> | <input type="checkbox"/> |

Ability / Knowledge:

10. The arbitrator's ability to understand the material presented was:

- | | | |
|-------------------|--------------------------|--------------------------|
| a) Exceptional | <input type="checkbox"/> | <input type="checkbox"/> |
| b) Satisfactory | <input type="checkbox"/> | <input type="checkbox"/> |
| c) Unsatisfactory | <input type="checkbox"/> | <input type="checkbox"/> |

11. The arbitrator's ability to analyze problems and identify and separate key issues was:

- | | | |
|-------------------|--------------------------|--------------------------|
| a) Exceptional | <input type="checkbox"/> | <input type="checkbox"/> |
| b) Satisfactory | <input type="checkbox"/> | <input type="checkbox"/> |
| c) Unsatisfactory | <input type="checkbox"/> | <input type="checkbox"/> |

Chairperson/First Arbitrator

Second Arbitrator

Last Name: _____

12. The arbitrator's knowledge and understanding of the FINRA rules and procedures was:

- | | | |
|-------------------|--------------------------|--------------------------|
| a) Exceptional | <input type="checkbox"/> | <input type="checkbox"/> |
| b) Satisfactory | <input type="checkbox"/> | <input type="checkbox"/> |
| c) Unsatisfactory | <input type="checkbox"/> | <input type="checkbox"/> |

Hearing Conduct:

13. The arbitrator's ability to contribute to an efficient hearing process was:

- | | | |
|-------------------|--------------------------|--------------------------|
| a) Exceptional | <input type="checkbox"/> | <input type="checkbox"/> |
| b) Satisfactory | <input type="checkbox"/> | <input type="checkbox"/> |
| c) Unsatisfactory | <input type="checkbox"/> | <input type="checkbox"/> |

14. The arbitrator's preparation at all times was:

- | | | |
|-------------------|--------------------------|--------------------------|
| a) Exceptional | <input type="checkbox"/> | <input type="checkbox"/> |
| b) Satisfactory | <input type="checkbox"/> | <input type="checkbox"/> |
| c) Unsatisfactory | <input type="checkbox"/> | <input type="checkbox"/> |

15. The arbitrator's ability to actively take part in the deliberation process was:

- | | | |
|-------------------|--------------------------|--------------------------|
| a) Exceptional | <input type="checkbox"/> | <input type="checkbox"/> |
| b) Satisfactory | <input type="checkbox"/> | <input type="checkbox"/> |
| c) Unsatisfactory | <input type="checkbox"/> | <input type="checkbox"/> |

Chairperson:

Please rate the chairperson only in this section. If you were the chairperson, leave this section blank.

16. The timeliness with which the chairperson handled prehearing discovery issues and other prehearing matters was:

- | | |
|-------------------|--------------------------|
| a) Exceptional | <input type="checkbox"/> |
| b) Satisfactory | <input type="checkbox"/> |
| c) Unsatisfactory | <input type="checkbox"/> |

17. The ability of the chairperson to maintain control of the hearings (for example, starting on time, maintaining order, etc.) was:

- a) Exceptional
- b) Satisfactory
- c) Unsatisfactory

18. The chairperson's ability to handle evidentiary issues fairly and efficiently at the hearing was:

- a) Exceptional
- b) Satisfactory
- c) Unsatisfactory

19. The chairperson's ability to remain consistent and fair in dealing with counsel on both sides was:

- a) Exceptional
- b) Satisfactory
- c) Unsatisfactory

20. The chairperson's ability to confer where appropriate with co-arbitrators was:

- a) Exceptional
- b) Satisfactory
- c) Unsatisfactory

21. The chairperson's ability to maintain a pleasant and professional atmosphere was:

- a) Exceptional
- b) Satisfactory
- c) Unsatisfactory

Arbitrator Comments:

Please provide specific comments about the performance of your co-panelists.

22. Please explain any reservations you may have about serving again with either of your co-panelists?

23. Are there any matters that staff should address with your fellow arbitrators? (Please, explain).
We will not mention your name to that arbitrator.

24. Please provide examples of any exceptionally good performance that you witnessed from your fellow panelists. Supply the panelist's name and specific examples of how he/she excelled.

FINRA Staff:

Please rate your experience with FINRA staff.

25. The administrative services provided by FINRA Dispute Resolution were:

- a) Exceptional
- b) Satisfactory
- c) Unsatisfactory

26. FINRA Dispute Resolution staff's knowledge about the process and their ability to answer my questions was:

- a) Exceptional
- b) Satisfactory
- c) Unsatisfactory

27. FINRA Dispute Resolution staff's ability to address my needs in a timely manner was:

- a) Exceptional
- b) Satisfactory
- c) Unsatisfactory

28. FINRA Dispute Resolution staff's ability to handle this case fairly and without bias was:

- a) Exceptional
- b) Satisfactory
- c) Unsatisfactory

29. Please tell us about any staff member who provided particularly good service. Supply his/her name and specific examples of how he/she excelled.

30. Please tell us about any staff member whose level of service did not meet your expectations. Supply his/her name and specific examples of how he/she could have better met your expectations.

About the Hearing Room

Please rate the room/facilities where the hearings were held.

31. Were the hearings in this case held at a FINRA office or at an offsite location?

- a) FINRA Office
- b) Offsite

32. How would you rate the facility?

- a) Exceptional
- b) Satisfactory
- c) Unsatisfactory

33. Was the hearing room properly set up in preparation of the hearing?

- a) Yes
- b) No
- c) Not sure

34. Was the hearing room the right size to accommodate all of the parties?

- a) Yes
- b) No

35. Did the staff at the facility promptly provide assistance when requested?

- a) Yes
- b) No
- c) Not applicable

36. Did the digital recorder work properly?

- a) Yes
- b) No

Training

37. Please tell us about any topics that should be addressed in an upcoming Neutral Workshop or in The Neutral Corner.

Upon completion, please return the survey to:

FINRA Dispute Resolution
Department of Neutral Management
One Liberty Plaza, 165 Broadway
New York, NY 10006
email: ArbitrationSurveys@finra.org

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Thank you for your participation.

Investor protection. Market integrity.

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