



FINRA Arbitrator Application

User Guide

January 2025

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Table of Contents

How Do I Get Started?	3
DR Portal Access.....	3
Compatible Browsers.....	3
Pop-up Blockers.....	3
Mobile Devices	3
Spam Filters.....	3
Registering an Account with FINRA.....	4
Getting Started with the Application.....	5
Completing the Application Form	5
Saving Information	6
Returning to a Previous Draft.....	6
Arbitrator Application: Section by Section.....	7
Personal Information	7
How Did You Hear About Us?.....	7
Contacts and Honorarium.....	7
Arbitration Honorarium	8
Background and Employment	8
Employment History	8
Education and Training	9
Training	9
Arbitrator Classifications.....	10
Injunctive Relief Qualification	10
Statutory Discrimination Qualifications.....	10
Legal or Regulatory Disclosures.....	10
Conflicts.....	11
Accommodations.....	11
Affirmation of Duties	11
Background Verification.....	12
Review and Submit	13
What Happens Next?.....	13

FINRA Dispute Resolution Services Arbitrator Application User Guide

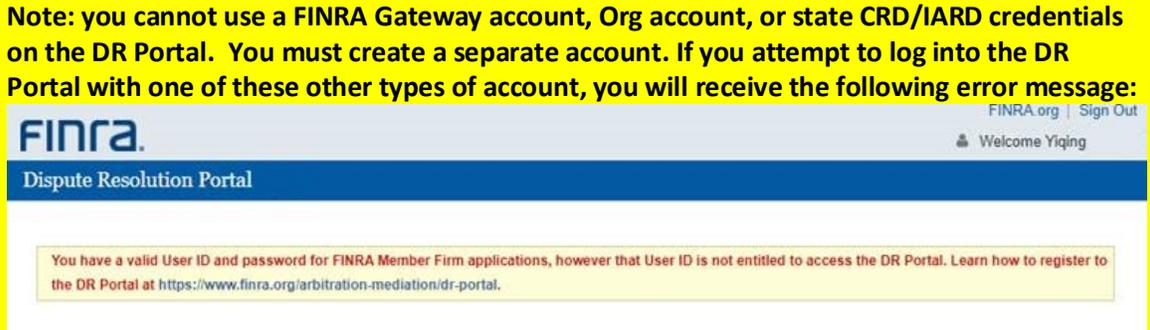
Additional Resources 13
Appendix A: Creating a DR Portal Account 14

How Do I Get Started?

DR Portal Access

FINRA Dispute Resolution forum participants can complete the Arbitrator Application after creating a DR Portal account.

Note: you cannot use a FINRA Gateway account, Org account, or state CRD/IARD credentials on the DR Portal. You must create a separate account. If you attempt to log into the DR Portal with one of these other types of account, you will receive the following error message:



Do not use a “group mailbox” email address when creating an account.

Compatible Browsers

The DR Portal is compatible with the most recent versions of the following browser: Microsoft Edge; Firefox, Google Chrome and Safari. Microsoft Internet Explorer is no longer supported.

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 blocker.

Mobile Devices

The DR Portal is only partially accessible with mobile devices. You can login and view case information, and depending on the device, and may be able to view PDF files. You cannot currently complete the Arbitrator Application form using a mobile device.

Spam Filters

You will receive automated emails coming from “drportal@finra.org” when activity occurs that requires your attention. To prevent your spam filter from blocking these emails, we suggest that you add this email address to the “safe senders” list in your spam filter software.

Note: FINRA will not complete spam filter forms that may be sent by your spam filter software. You must add the “drportal@finra.org” email address to your spam filter safe sender list to receive emails coming from the DR Portal.

Registering an Account with FINRA

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

1. On the left side of the “Arbitration & Mediation” page of [finra.org](https://www.finra.org), find the “Become an Arbitrator” link. <https://www.finra.org/arbitration-mediation/become-arbitrator>
2. Click the “Apply Now” button to log into the DR Portal.

The Neutral Corner
Arbitrator Training
Become an Arbitrator
Become a Mediator
Expungement
Coronavirus Information

Become an Arbitrator

Add a New Dimension for Your Career

FINRA arbitrators are highly engaged, dynamic individuals who aid their communities and enhance their professional lives by resolving securities-related disputes.

Develop skills, serve the community and supplement your income. No previous arbitration, securities or legal experience is required to apply—just five years of paid work experience and two years of college-level credits.

IMPORTANT: Before applying, please carefully review the [Disqualification Criteria](#) to determine if you are temporarily or permanently disqualified from serving as a FINRA arbitrator. If you have any questions about the Disqualification Criteria, and whether it applies to you, please contact the Neutral Management Department at (855) 209-1620.

Center at (301) 590-6500.
For other technical difficulties, call (800) 700-7065.

FINRA's website can be read in languages other than English, by using a [translation service](#).

Arbitration parties may request a financial hardship waiver of filing and interpretation fees.

CONTACT US

For case-related questions, please contact the [regional office](#) assigned to your case.

BECOME A MEDIATOR

FINRA's highly-qualified national roster of mediators have deep subject matter expertise and significant

Ready to apply? Let's get started...
APPLY NOW

Need additional help?
Contact [Phylicia Fletcher](#), or call (212) 858-4283.

3. You will be taken to the “**Welcome to FINRA Dispute Resolution Services**” login page where you have the option to log into or create your FINRA DR Portal account.
4. If you do not already have a DR Portal account, click on “**Create Account Here**” to create a new DR Portal account. Otherwise, login with your existing account and skip to “Getting Started with the Application” below. See Appendix A for details on creating a DR Portal account.

FINRA

Welcome to FINRA Dispute Resolution Services

User ID or Personal Email

Password
Enter password here
[View Password](#)

By clicking "Accept and continue" or "Sign in with Google" I certify that I have read, understood, and accepted the [Privacy Policy](#) and the FINRA [Entitlement Program Terms of Use](#).

ACCEPT AND CONTINUE

or

SIGN IN WITH GOOGLE

[Forgot User ID or Password?](#)

Don't have an account? [Create Account Here](#)

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[Privacy](#) | [Terms & Conditions](#) | [Legal](#)

Getting Started with the Application

After you log into the DR Portal, click on “Apply to be an Arbitrator” link on the left-hand menu.

Welcome to the DR Portal!

FINRA Dispute Resolution Services developed the DR Portal to facilitate the interactions between parties, neutrals and DR staff.

The DR Portal has two parts: one for arbitration and mediation case participants, and another for FINRA neutrals (arbitrators and mediators).

Your account is not currently associated with any arbitration or mediation cases or claims, nor is it associated with any known FINRA neutrals.

If you are a FINRA arbitrator or mediator and need assistance, please contact the Department of Neutral Management toll free at 855-209-1620 or email FINRADRN@finra.org.

To create an application to become a FINRA arbitrator, select the “Apply to be an Arbitrator” link found in the left-hand menu.

- If you wish to file a new arbitration claim, select the “File a New Arbitration Claim” link found in the left-hand menu.
- Requests for Mediation are not currently part of the DR Portal, but if you wish to initiate a request, select the “File a Request for Mediation” link found in the left-hand menu.
- If you are a representative on an arbitration or mediation case and need assistance, please contact the Dispute Resolution staff member assigned to your case.
- You can find a detailed explanation of how the DR Portal works, as well as answers to frequently asked questions by selecting the Help link in the upper-right corner.

The Arbitrator Application “cabinet” will open in a separate browser tab.

Note: if your browser has a pop-up blocker turned on, it may prevent this separate tab from opening. If this happens, turn off your pop-up blocker setting.

To start a new application, click on “Start Application” and that open a new application form. A Tracking Number will be assigned to the form that you open.

Click on the Tracking Number to open the application form.

TRACKING NUMBER	PAYMENT STATUS	FORM STATUS	FORM STATUS DATE	FORM SUBMITTED DATE
-----------------	----------------	-------------	------------------	---------------------

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 shows the 'FINRA Arbitrator Application' interface. On the left is a navigation menu with sections like 'Personal Information', 'Arbitrator Classifications', and 'Accommodations'. The 'Accommodations' section is active, displaying a question: 'Do you have any requests or accommodations that relate to your service as an arbitrator? *'. Below the question are radio buttons for 'Yes' and 'No'. At the bottom of the form are three buttons: 'Save', 'Previous', and 'Next'. A large red arrow points to the 'Save' button.

Saving Information

You may complete the form in any order. For example, you can fill out the Accommodations information and then skip to the Arbitrator Classifications 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**.

Note: Make sure you periodically save your work. The application will “time out” after a period of time if you walk away from your computer. Because the application is open in a separate browser tab from the DR Portal, you will need to close out of the application tab and the DR Portal tab, then log into the DR Portal again and then click on the “Apply to be an Arbitrator” link again to return to your draft application.

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 later. To return to a previous draft, log into the DR Portal, click on the “Apply to be an Arbitrator” link to go to the Arbitrator Application cabinet, and click on the Tracking Number of your draft application.

FINRA Arbitrator Application [Manage My Account](#) [Help](#) [FINRA.org](#) [Sign Out](#)

Click on the Tracking Number to open the application form. Welcome James

TRACKING NUMBER	PAYMENT STATUS	FORM STATUS	FORM STATUS DATE	FORM SUBMITTED DATE	
4915771 	None	Draft	09/10/2020 11:29 AM		Delete

Arbitrator 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 address are already included. This information is automatically added to your application when you created your DR Portal account. Once you are done entering information on this screen, click **Save** or **Next**.

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.

If you would like to recommend someone to us, press the **“Add New”** button and enter their contact information. Then press the **“Add Row”** button to save it.

Can you think of any colleagues, friends or family members who may also be interested in joining the roster? If so, we would be happy to extend an invitation to them. Simply complete each candidate's information below.

First Name	Last Name	Company	Street	City	Country	
<input data-bbox="203 1291 300 1333" type="button" value="Add New"/> 						<input type="text" value="0 Row(s)"/>

Click a row to edit it.

Contacts and Honorarium

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”** in the appropriate box.

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

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.

Background and Employment

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.

Background and Employment

Please fully describe your business or professional background in paragraph format.

Please also describe any experience, education or training involving securities or employment matters, including college or university courses taken or seminars attended, and any other expertise or skills involving securities, employment or dispute resolution.

Do not provide your resume in lieu of a narrative paragraph. You may view sample business background statements  [here](#).

Note: This information will be made available to parties.

You have 10000 character(s) left.

Employment History

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 120 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.

Click “Add New” to add employment and complete the required fields. You must enter the month and year (format: mm/yyyy) of your employment.

FINRA Dispute Resolution Services Arbitrator Application User Guide

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

Add New 0 Row(s)



Click a row to edit it.

Education and Training

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).

List your educational background in reverse chronological order with the most recently attended institution first.

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

Education and Training

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). In some circumstances, a candidate without the required college credits may be considered, provided the individual has significant and relevant business/professional experience. If you meet the above requirement, please list in reverse chronological order (with the most recently attended institution first) all universities/colleges you have attended and received a degree, and those where you were enrolled, but did not receive a degree. Enter all non-degree programs, certifications, trainings attended, professional designation programs, etc. in the training section, below.

Education Not Applicable

School Name	Degree (AA, BA, MBA, etc.) AND Field of Study	Start Date	Degree Received	Credits Earned	End Date	
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Add New 0 Row(s)

Click a row to edit it. Repeating Section. Can add multiple rows If start filling out a record, need to complete it or clear it.

Training

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

FINRA Dispute Resolution Services Arbitrator Application User Guide

Click **"Add New"** to add training information and complete the required fields. You must enter the month and year (format: mm/yyyy) of your training completion.

Training

Please describe any arbitrator, mediator and related training you have received, including the sponsoring organization, location and date(s).

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

Course	Completed Date	Firm/School Name	Details	Certificate Awarded	Hours Completed	Location
<input type="button" value="Add New"/>						
0 Row(s)						

Click a row to edit it. Repeating Section. Can add multiple rows if start filling out a record, need to complete it or clear it.

Arbitrator Classifications

FINRA classifies arbitrators as "Public" or "Non-Public" based on their professional experience, the nature of their employer's work, and their immediate family members' professional experience, pursuant to the FINRA Code of Arbitration Procedure Rules [12100/13100](#). The following questions allow FINRA to correctly classify you based on these factors. Potential applicants should review these rules before applying to the roster, as some individuals do not meet the requirements for either classification and are, therefore, ineligible to serve. Please contact the Department of Neutral Management at finradnm@finra.org if you have any questions. All questions marked as * are mandatory.

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

Injunctive Relief Qualification

If you are an attorney in active status and wish to be considered for injunctive relief cases under Rule [13804](#), please answer the questions in this section.

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. If you meet the minimum requirements 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

The next several sections require disclosures in the following areas:

- Regulatory Action Disclosures
- Civil Judicial Disclosures

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- Complaints and Legal Disclosures
- Harassment and Termination Disclosures
- Financial and Other Legal Disclosures

If you answer “yes” to any of the questions in these sections, 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](#).

Conflicts

Please list all known conflicts/disclosures and the nature of the conflict/disclosure. If accepted as an arbitrator, you will be under a continuing obligation to update this information and must disclose:

- new relationships as they arise,
- any circumstance or event that might affect your ability to serve impartially or might create an appearance of bias. This includes, but is not limited to:
 - lawsuits (even non-investment related lawsuits),
 - any publications (even if they appear only online),
 - professional memberships,
 - service on boards of directors.

Also, full disclosure requires arbitrators to include events and circumstances that occurred while using a former or alias name.

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.

Answer all questions that apply to you as completely as possible. If appropriate, include the member firm’s CRD number in your answer.

Accommodations

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

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 [Rules 12100\(p\) and \(u\)](#) and check the box to affirm that you understand these materials.

Background Verification

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, scan, 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 “**Choose Files**”, searching for the document on your computer and clicking “**Open**” to attach the document.

[Online Application](#)

Background Verification

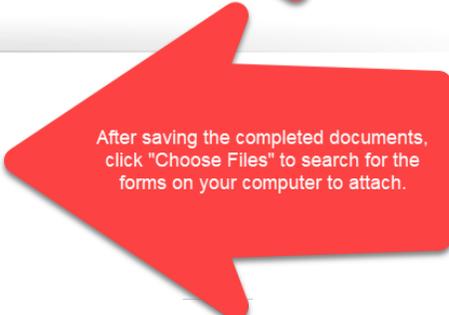
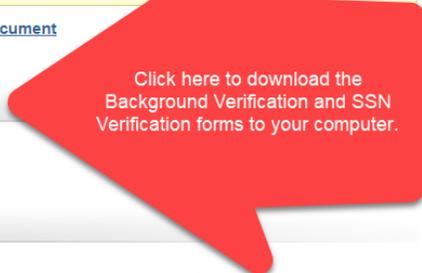
In order to ensure the integrity of the roster of neutrals, we require all applicants to submit to a verification of their background information.

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.

Make sure to complete all fields of the Background Verification Form and SSN Verification Form. Applications that do not contain completed verification forms will require additional action requested by Dispute Resolution. This will delay processing of the application.

- 1**  [Download Background Verification Form PDF Document](#)
- 2**  [Download SSN Verification Form PDF Document](#)
- 3** Print, Complete, Sign, and Scan Both Forms
- 4** **Attach Both Signed Documents**
Attach signed "Background Verification" - Adobe PDF Only
 No file chosen

Attach signed "SSN Verification" - Adobe PDF Only
 No file chosen



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, press the “**Check for Errors**” button. The system will let you know if you have not provided all required information. After you have entered all required information, press the “**Submit Application**” button.

What Happens Next?

After you submit your application and all necessary forms, 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 **120 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. The NAMC is an oversight committee that recommends rules, regulations, procedures, and amendments relating to arbitration, mediation, and other dispute resolution matters to the FINRA Board. Pursuant to [Rule 12102](#) of FINRA’s Code of Arbitration Procedure, another function of the NAMC is to “establish and maintain rosters of neutrals composed of persons from within and outside of the securities industry.”

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 exam that requires 80% passing score).
3. Live video or onsite classroom training that requires successful evaluation by the trainer.

Additional Resources

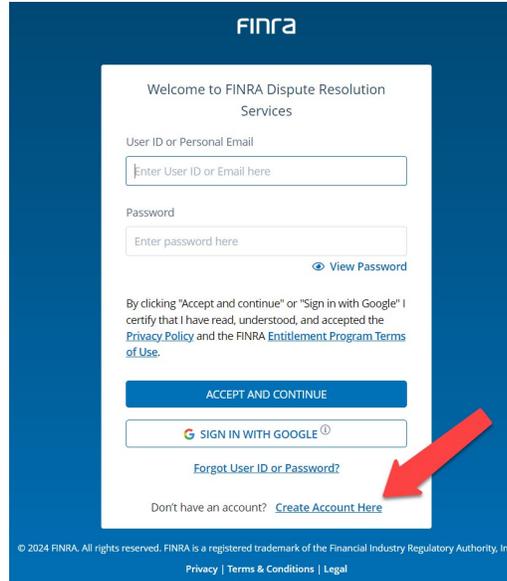
For questions about the application, you can contact FINRA’s Department of Neutral Management at ArbAppHelp@finra.org or toll free at (855) 209-1620.

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

- [Code of Arbitration Procedure](#)
- [Arbitrator’s Guide](#)

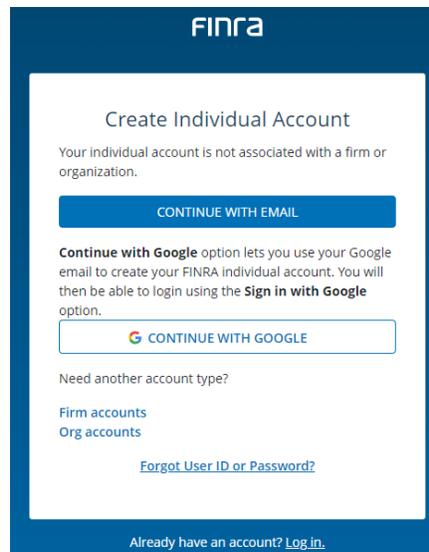
Appendix A: Creating a DR Portal Account

1. Click on **“Create Account Here”** to create a new account.



The screenshot shows the FINRA login page. At the top, it says "Welcome to FINRA Dispute Resolution Services". Below that, there are input fields for "User ID or Personal Email" and "Password". There is a "View Password" link next to the password field. Below the input fields, there is a paragraph of text: "By clicking 'Accept and continue' or 'Sign in with Google' I certify that I have read, understood, and accepted the Privacy Policy and the FINRA Entitlement Program Terms of Use." Below this text are three buttons: "ACCEPT AND CONTINUE", "SIGN IN WITH GOOGLE", and "Forgot User ID or Password?". At the bottom, there is a link "Don't have an account? Create Account Here". A red arrow points to this link. At the very bottom, there is a copyright notice: "© 2024 FINRA. All rights reserved. FINRA is a registered trademark of the Financial Industry Regulatory Authority, Inc. Privacy | Terms & Conditions | Legal".

2. Click on **“Continue with Email”**. Alternatively, if you are using a Google Gmail email address with your Portal account, you can choose the **“Continue with Google”** option. This will let you log into the Portal using your Google credentials. Once set up, if you are already logged into Google, you will be taken directly into the Portal. For more information regarding the Sign in with Google option, go here: <https://www.finra.org/filing-reporting/entitlement/social-login>



The screenshot shows the "Create Individual Account" page. At the top, it says "Create Individual Account". Below that, there is a paragraph: "Your individual account is not associated with a firm or organization." Below this paragraph is a button "CONTINUE WITH EMAIL". Below the button is a paragraph: "Continue with Google option lets you use your Google email to create your FINRA individual account. You will then be able to login using the Sign in with Google option." Below this paragraph is a button "CONTINUE WITH GOOGLE". Below the button is a paragraph: "Need another account type?". Below this paragraph are two links: "Firm accounts" and "Org accounts". Below these links is a link "Forgot User ID or Password?". At the bottom, there is a link "Already have an account? Log in.".

If you use **“Continue with Email”** now, you can link your Gmail account to your Portal account later. The following steps assume that you are choosing the **“Continue with Email”** option.

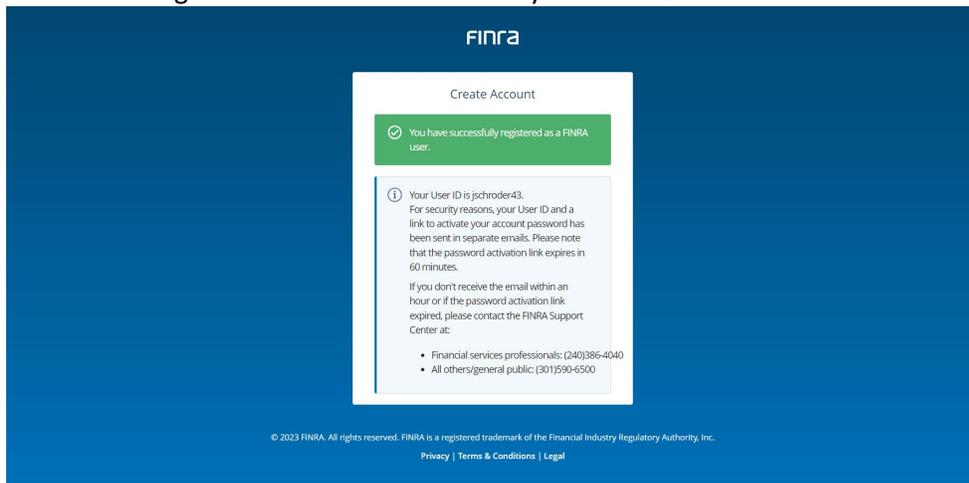
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3. Enter the registration information. After you enter your first and last name, you can click on “Generate User ID” to create a User ID, or you can make up your own User ID (letters and numbers only; an email address cannot be used as your User ID). The email address that you provide in the “Primary Email” field in this initial registration form should be the email address that you provide with any case-related submissions to FINRA. Check the “I’m not a robot” checkbox, and then click on “Accept and Continue”.

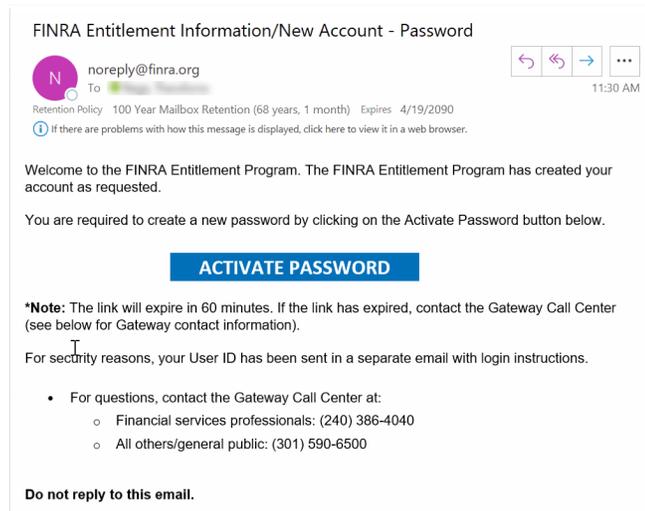
The screenshot shows the 'Create Account' form on the FINRA website. At the top, the FINRA logo is displayed. Below it, the heading 'Create Account' is followed by a note: '* indicates required field.' The form contains several input fields: 'First Name *', 'Last Name *', 'Primary Email *', and 'User ID *'. There is a 'Generate User ID' button next to the User ID field. Below the input fields is a reCAPTCHA widget with the text 'I'm not a robot' and a checkbox. At the bottom of the form, there is a blue button labeled 'ACCEPT AND CONTINUE'. Below the button, there is a link: 'Already have an account? Log in.'

Note: If you later need to update your email address, you will need to make this change by updating your account information using the “Change my Email” quick link menu option on the Homepage of the DR Portal. This change cannot be made by FINRA staff.

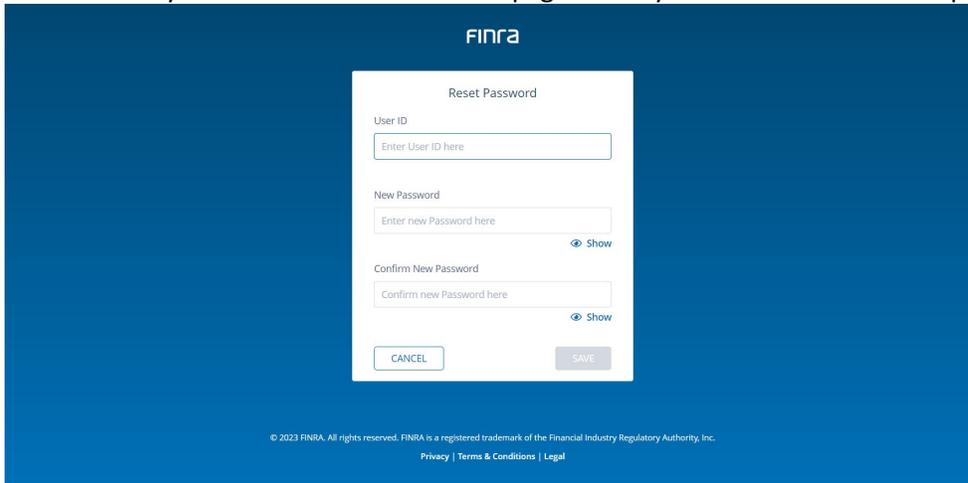
4. You will receive a “Registration Confirmation” with your User ID.



- You will receive TWO emails: one confirms your account User ID, and the other provides a button to activate your password. Click on the “**ACTIVATE PASSWORD**” button in the second email.



- This will take you to the “Reset Password” page. Enter your User ID and enter a password.



- You will receive a password reset confirmation. Click on “Back to Log In”.



- Log in by entering your **new password**. The first time you log in you will be asked to choose three security questions and provide the answers. From time to time, the system may ask you

one of these questions to confirm your identity. Once completed, you will be taken to the DR Portal.

Welcome to the DR Portal!

FINRA Dispute Resolution Services developed the DR Portal to facilitate the interactions between parties, neutrals and DR staff.

The DR Portal has two parts: one for arbitration and mediation case participants, and another for FINRA neutrals (arbitrators and mediators).

Your account is not currently associated with any arbitration or mediation cases or claims, nor is it associated with any known FINRA neutrals.

- If you are a FINRA arbitrator or mediator and need assistance, please contact the Department of Neutral Management at 212-858-3999, toll free at 855-209-1620 or email FINRADRNM@finra.org.
- If you wish to complete an application to become a FINRA arbitrator, select the "Apply to be an Arbitrator" link found in the left-hand menu.
- If you wish to file a new arbitration claim, select the "File a New Arbitration Claim" link found in the left-hand menu.
- Requests for Mediation are not currently part of the DR Portal, but if you wish to initiate a request, select the "File a Request for Mediation" link found in the left-hand menu.
- If you are a representative on an arbitration or mediation case and need assistance, please contact the Dispute Resolution staff member assigned to your case.
- You can find a detailed explanation of how the DR Portal works, as well as answers to frequently asked questions by selecting the Help link in the upper-right corner.

Note: As a security measure, FINRA passwords automatically expire after a set period of time. When this occurs, you will be asked to change your password when you are logging in. You cannot select a password that you used previously.