

**FINRA Office of Dispute Resolution  
Order on Motion to Dismiss**

Case Number:

Case Name:

Issues Addressed: (i.e., name of motion or request, by which party)

Pre-Hearing Conference Held and Recorded? ☐ Yes ☐ No

Date/Time: \_\_\_\_\_

Participating in the conference were:

Chairperson: \_\_\_\_\_

Panelist: \_\_\_\_\_

Panelist: \_\_\_\_\_

Claimant's Representative:

\_\_\_\_\_  
#1 Respondent's Representative:

\_\_\_\_\_  
#2 Respondent's Representative:

\_\_\_\_\_  
FINRA Office of Dispute Resolution Staff:

Decided by: ☐ Arbitrator ☐ Panel

Unanimous Ruling: ☐ Yes ☐ No

Rulings:

After considering the pleadings submitted by the parties (and oral arguments, if pre-hearing conference held), the Panel/Arbitrator rules as follows:

☐ The Motion to Dismiss is granted.

☐ The Motion to Dismiss is denied.

If the Motion to Dismiss is granted, please provide a written explanation for your decision.

The hearing session fees for this pre-hearing conference are assessed as follows:

\_\_\_\_\_ % to Claimant(s), jointly and severally

\_\_\_\_\_ % to Respondent(s), jointly and severally

\_\_\_\_\_ % assessed to \_\_\_\_\_

\_\_\_\_\_ % assessed to \_\_\_\_\_

\_\_\_\_\_ % assessed to \_\_\_\_\_

\_\_\_\_\_ % assessed to \_\_\_\_\_

Note: If the Panel denies the motion, the Panel must assess the hearing session fees associated with any pre-hearings on the motion to the moving party(ies).

X \_\_\_\_\_

Date: \_\_\_\_\_

Chairperson,  
On behalf of the Arbitration Panel

Sign personally by entering your name and initials, preceded by "/s/" (e.g., /s/ Jane Q. Public)