



Financial Industry Regulatory Authority

**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:

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#1 Respondent's Representative:

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#2 Respondent's Representative:

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FINRA Office of Dispute Resolution Staff:

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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 \_\_\_\_\_

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)