FINRA DR Portal

User Guide for Arbitrators and Mediators

July 2015

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Table of Contents

Welcome to the FINRA DR Portal

Introduction

FINRA Dispute Resolution developed this user guide to help neutrals become familiar with the FINRA Dispute Resolution Portal (DR Portal). The DR Portal is a web-based system that allows neutrals to log into a secure section of our website for self-service access to update their profile and view assigned case information.

The DR Portal has two parts: the **DR Neutral Portal** is for FINRA neutrals (arbitrators and mediators) serving on the Dispute Resolution roster, and the **DR Party Portal** is for arbitration and mediation case participants. This user guide describes the DR Neutral Portal. A separate user guide is available that explains the use of the DR Party Portal for case participants.

If you happen to be both a FINRA neutral and a participant to a case, you can register the same User ID to access both sides of the DR Portal. Registered neutrals who are also case participants may access the party portal by clicking on the link "Go to Party Portal" found near the top of the homepage once you are logged in. Likewise, case participants may access the neutral side of the DR Portal by clicking on the link "Go to Neutral Portal" from the homepage.

Portal Access

Neutrals can access the DR portal 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 DR Portal. We recommend that you create the bookmark **after** you successfully log into the portal. You should use the following URL as the bookmark for the portal: https://drportal.finra.org

Note: you can NOT use your FINRA Firm Gateway account to access the DR Portal. You must create a separate account using the self-registration procedures described below. You only need one account to access all of your cases; you do not need to create a new account for each case.

Compatible Browsers

The DR Portal is compatible with the following browser versions (or higher): Internet Explorer 8, Firefox 22, Google Chrome 27, and Safari 6.

Pop-Up Blockers

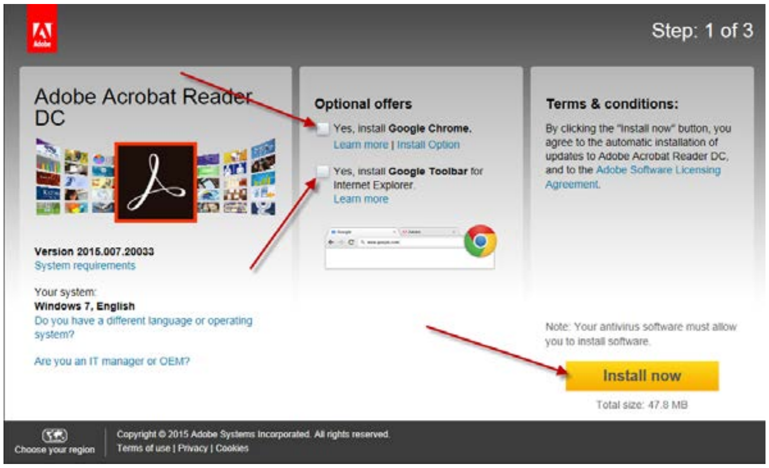
Some features of the portal open extra tabs in your browser or pop-up windows. We suggest that you add *.finra.org to your browser's list of Trusted Sites and to your pop-up blocker's exception list. You may also disable your pop-up blockers.

Editing PDF Forms

A number of PDF forms, such as the Oath of Arbitrator and the Initial Prehearing Conference Scheduling Order can be found on the "Forms and Tools" page of the finra.org website at http://www.finra.org/arbitration-and-mediation/forms-tools. These are **Adobe Acrobat PDF** forms that contain blank fields for you to enter information. In order for these forms to work properly, you MUST use the free Adobe Acrobat Reader program on your computer. This is

ESPECIALLY true for Apple Mac computers. Mac computers come with a program called "Preview" that allows you to view and edit PDF forms, but it does not let you save your work consistently and will cause you difficulties. You should download Adobe Acrobat Reader from https://get.adobe.com/reader/

You can disable the optional offers if you do not want them, then click on "Install now" and follow the instructions.



Once installed, you should make sure that your computer defaults to opening PDF documents using Acrobat Reader. You can find more information about making Adobe Reader the default PDF viewing program here: https://helpx.adobe.com/acrobat/kb/cant-open-pdf.html

Mobile Devices (coming soon)

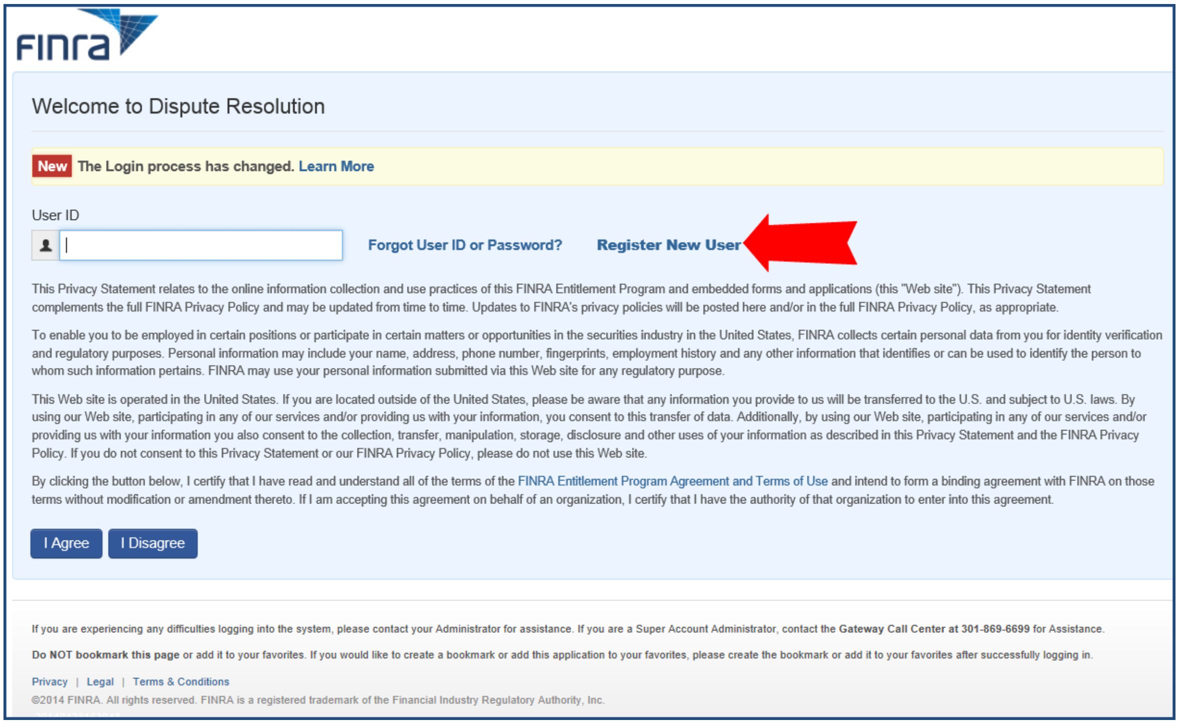
Neutrals will be able to access the DR Portal on a mobile device—such as a smartphone or tablet (e.g., iPhone, iPad)—using the same URL as you would on your computer: https://DRPortal.finra.org. Although you can view your case and profile information, you will **not** be able to update your profile using these devices. To update your profile, you will need to log into the portal using your desktop or laptop computer.

Registration Process

FINRA sent you an invitation containing a personalized link to your neutral profile. Please follow these steps to create your personal profile and register:

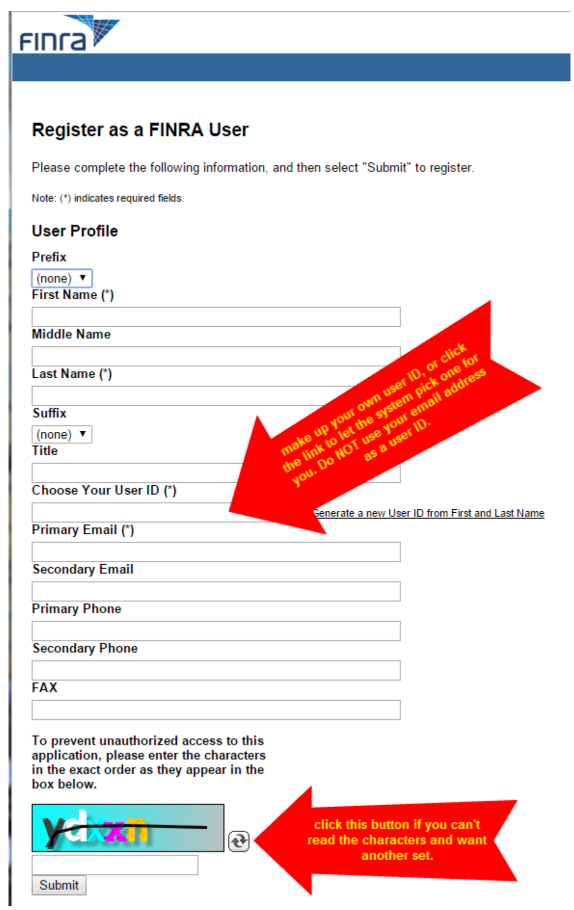
1. Click on the link in the email with the subject line **"Welcome to the FINRA Dispute Resolution Portal**." You will be brought to the "**Welcome to Dispute Resolution**" login page and have the option to log into or create your FINRA account.
   If you have already created an account, skip to step 7.

2. Click on **"Register New User"** to create a new account.

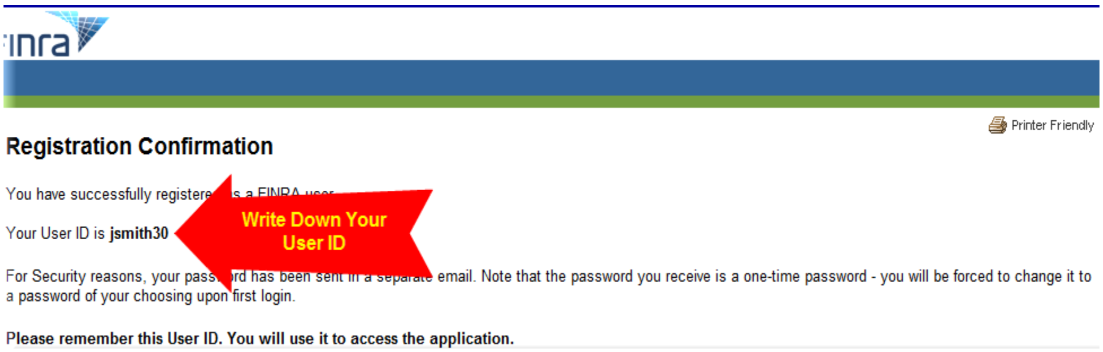


3. Enter the registration information. You can make up your own User ID (letters and numbers only; an email address cannot be used as your User ID). You will also need to enter the characters shown in the box before submitting the information. You can click the refresh button if you need a new set of characters.

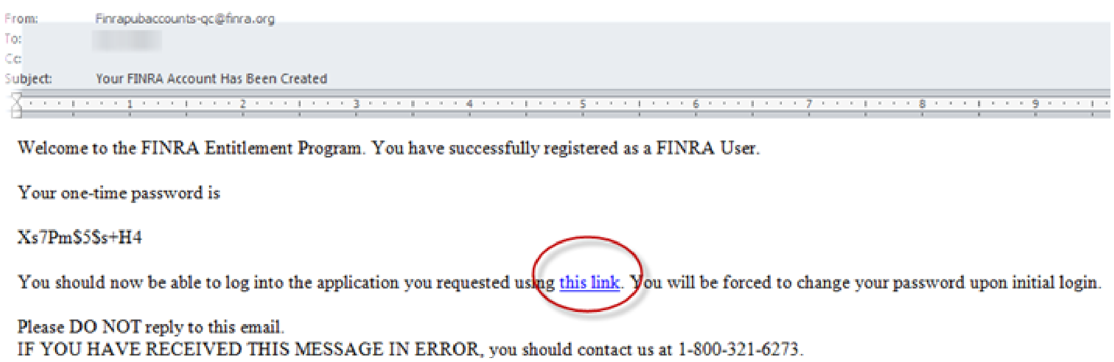
4. The email address that you provide in the "Primary Email" field in this initial registration form will be the email that is reflected as your primary email address in your neutral profile with FINRA. If you need to update your email address with FINRA, you will need to make this change by updating your account information using the "manage my account" quick link menu option on the Homepage of the DR Portal. Please see "**Email Address**" on page 24. Note that this change cannot be made by FINRA staff. Note that FINRA DR staff does not use the "Secondary Email" address.



5. You will receive a **"Registration Confirmation"** with your User ID. Be sure to write down your User ID or print this screen. If you leave this screen and cannot remember your user name, please send an email to FINRADRNM@finra.org to request a new invitation.

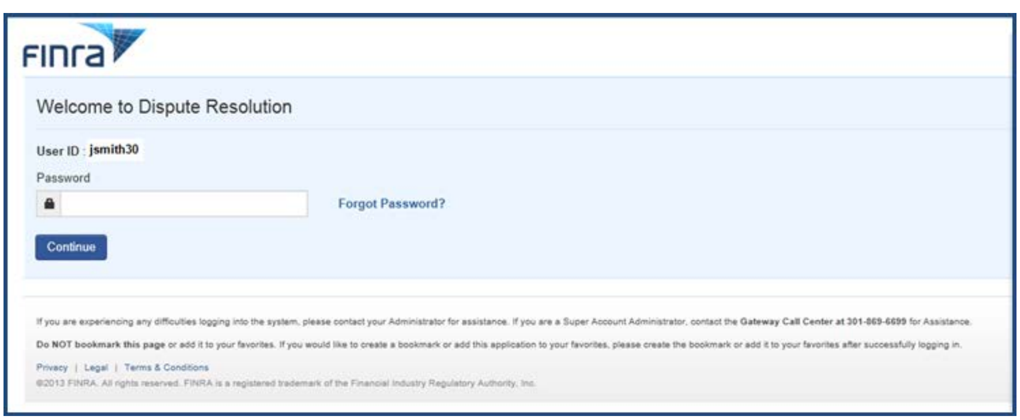


6. You will receive an email with a temporary password. Copy the password and click on the words "**this link**" in the email to log into the system so you can change your password.



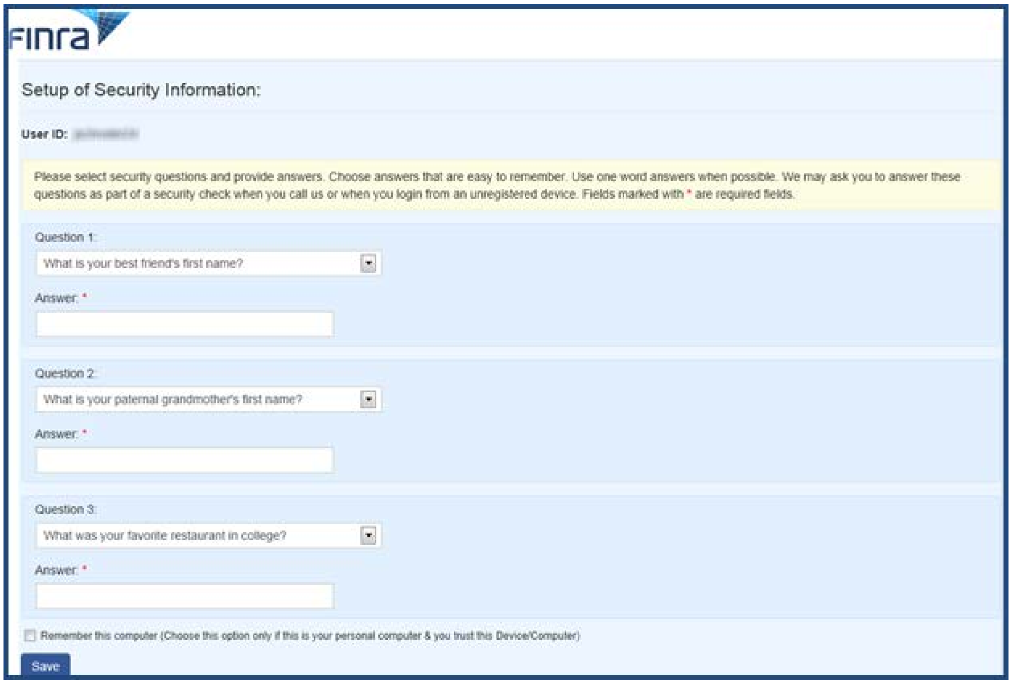
7. On the "**Welcome to Dispute Resolution**" page, enter your User ID and click "**I agree**."

8. The system will capture your User ID and prompt you to enter your password. Enter your temporary password and click **"continue."**



9. You will be prompted to reset your password. Once you reset your password click "**Continue**."

10. Log into the DR Portal by entering your **new password**. The first time you log in, you will be asked to select and answer three security questions. From time to time (especially if you use a computer that you have never used before), the system may ask you one of these questions to confirm your identity.



11. You will see a new screen with additional challenge questions to answer. You will only need to answer these questions once.

12. You will then receive a message "**Welcome to the FINRA Dispute Resolution Portal**." Click on the link to access the portal.

13. You can access the DR Portal from the DR Portal page on www.finra.org after completing the initial registration. Neutrals can also create a "favorite" or "bookmark" in their browser for easy access to the DR Portal. We recommend that you create the bookmark **after** you successfully log into the portal. You should use the following URL as the bookmark to the access the portal: https://www.drportal.finra.org

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.

DR Portal Functionality

Overview

On the FINRA DR Portal Homepage, you will see a menu of options across the top heading bar:

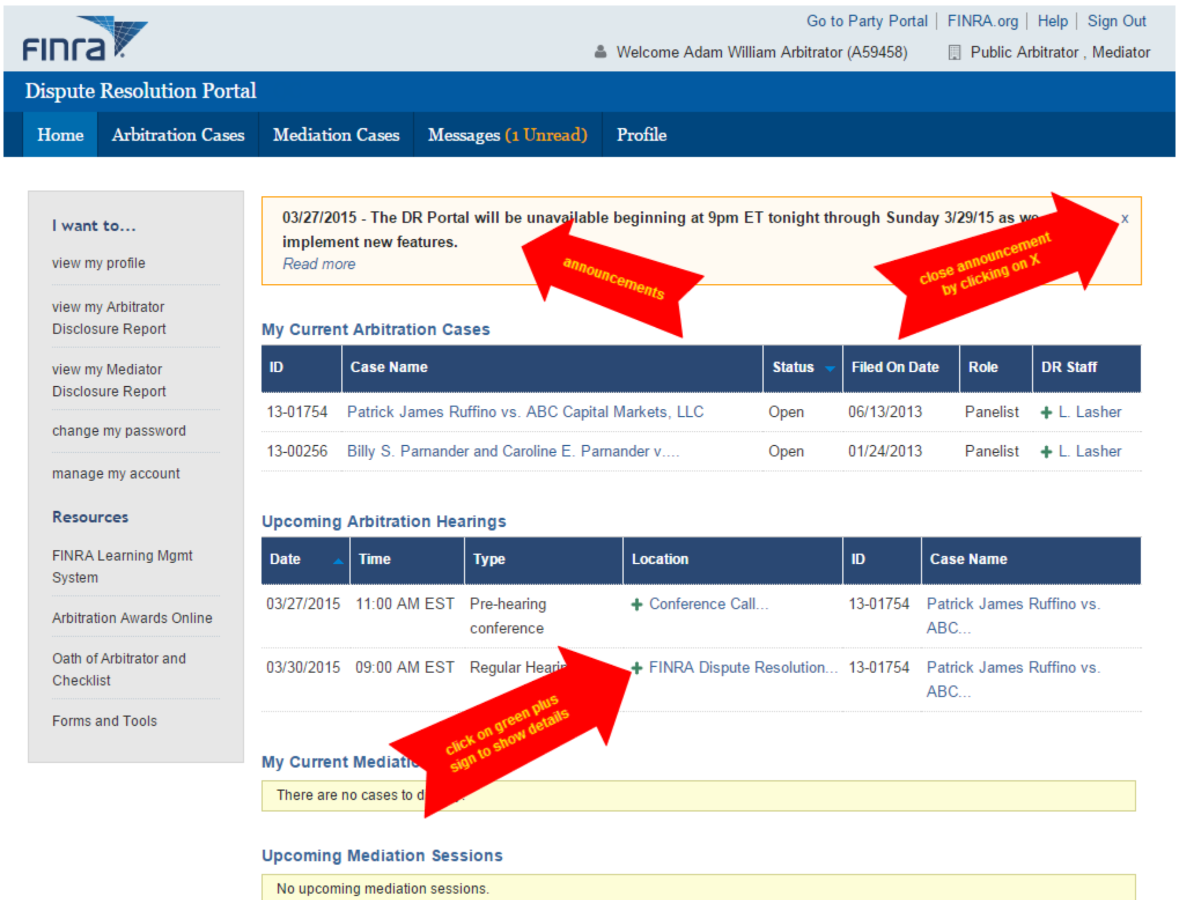
- **Home** displays your current and upcoming arbitration and mediation cases;
- **Arbitration Cases** displays all arbitration cases you have ever been assigned to;
- **Mediation Cases** displays all mediation cases you have ever been assigned to;
- **Messages** displays all of the messages that have been sent to you regarding activity on your cases being handled through the DR Portal;
- **Profile** is where you can view and update your profile information.

There are quick links to **view my profile**, **view my Arbitrator Disclosure Report, view my Mediator Disclosure Report, change my password** and **manage my account**. There are also quick access links to **Resources** like **FINRA Learning Management System** and **Arbitration Awards Online,** the **Oath of Arbitrator and Checklist** form, and the Forms and Tools page on the www.finra.org website.

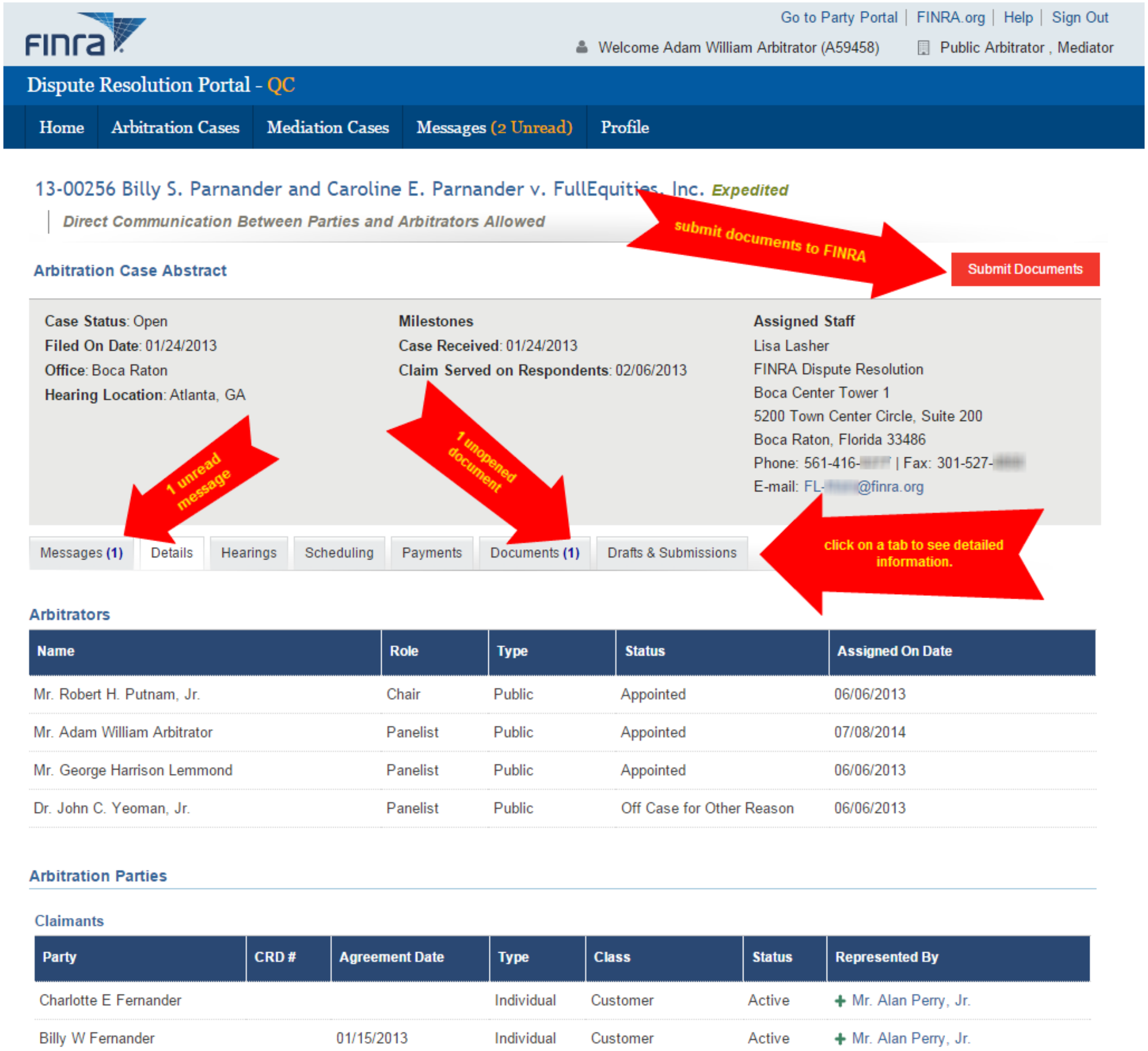
Home

The Home page allows neutrals to view information about their currently assigned cases. The Home page provides a display of open arbitration and mediation cases, as well as a list of the upcoming arbitration hearings and mediation sessions that neutrals are scheduled to attend. It also displays announcements (in the orange banners near the top of the page) regarding the DR Portal or relevant FINRA DR activity.

Clicking on any of the green plus signs will expand the view to show more details. Clicking on it again will hide the details.



By clicking on a listed case name on the Home page, Arbitration Case page or Mediation Case page, you can see the Case Abstract along with a row of tabs providing additonal information about the case.



Messages

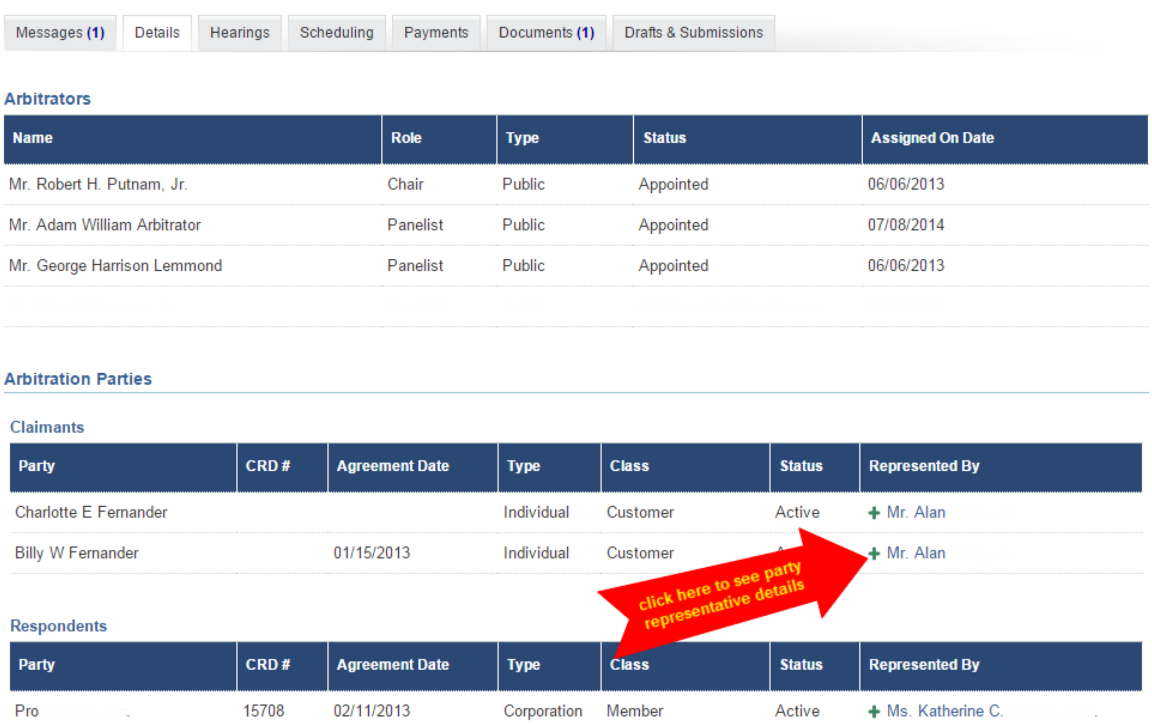
The **Messages** tab shows the messages you have received from FINRA regarding this case. The number in blue indicates the number of unread messages. The view defaults to showing all received messages for this case that you have not already archived. Unread messages are displayed in bold type. You can limit the view to just your unread messages by clicking on “View Unread Messages.”

To archive messages, click on the checkbox to the left of the message to select them (or click on “Select All” to select all messages), and then click on the **Archive Selected Messages** button.

To view you archived messages, click on the **Go to Archived Messages** button. You can return archived messages back to your current message page by selecting the archived messages (using the small checkbox to the left of each message) and clicking on **Unarchive Selected Messages** button.

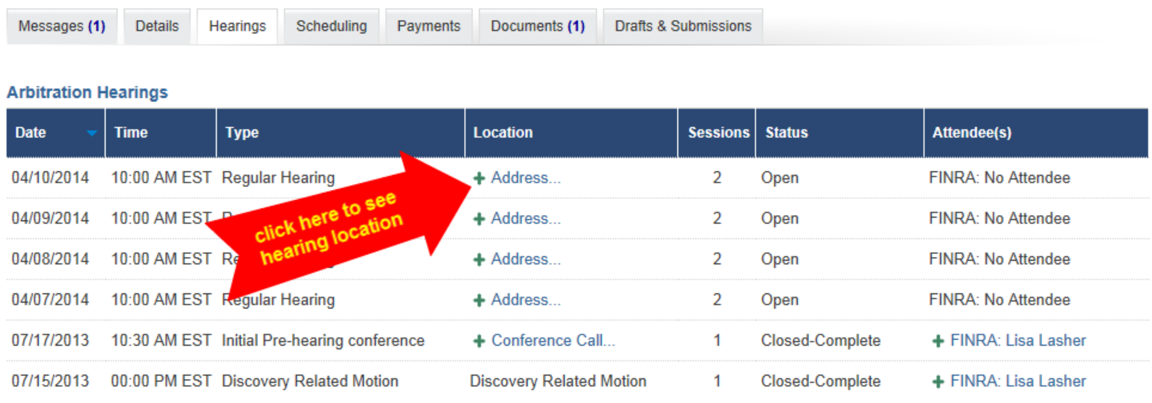
Details

You can view the names of your co-arbitrators and the assigned FINRA staff member. You can also view the names of the parties and their representatives. By clicking on the representatives' names, you can see their contact information.



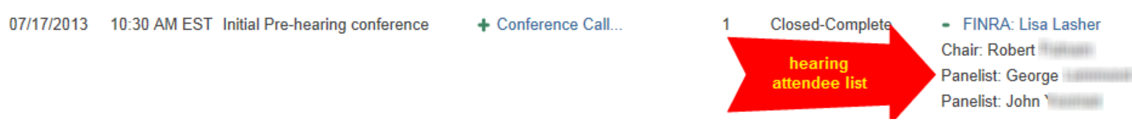
Hearings

The **"Hearings"** tab shows all of the hearings that are scheduled or have already been held for the case. You can also view the address and phone number for a hearing location.



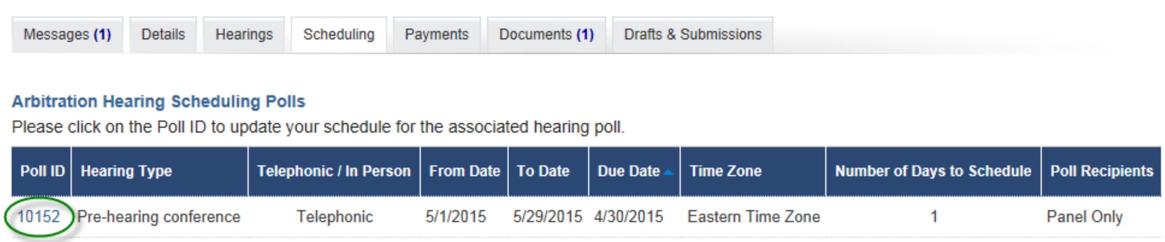
Date	Time	Type	Location	Sessions	Status	Attendee(s)
04/10/2014	10:00 AM EST	Regular Hearing	+ Address...	2	Open	FINRA: No Attendee
04/09/2014	10:00 AM EST	[illegible]	+ Address...	2	Open	FINRA: No Attendee
04/08/2014	10:00 AM EST	[illegible]	+ Address...	2	Open	FINRA: No Attendee
04/07/2014	10:00 AM EST	Regular Hearing	+ Address...	2	Open	FINRA: No Attendee
07/17/2013	10:30 AM EST	Initial Pre-hearing conference	+ Conference Call...	1	Closed-Complete	+ FINRA: Lisa Lasher
07/15/2013	00:00 PM EST	Discovery Related Motion	Discovery Related Motion	1	Closed-Complete	+ FINRA: Lisa Lasher

The Hearings page also provides information about which arbitrators and FINRA staff attended a particular hearing.



Scheduling

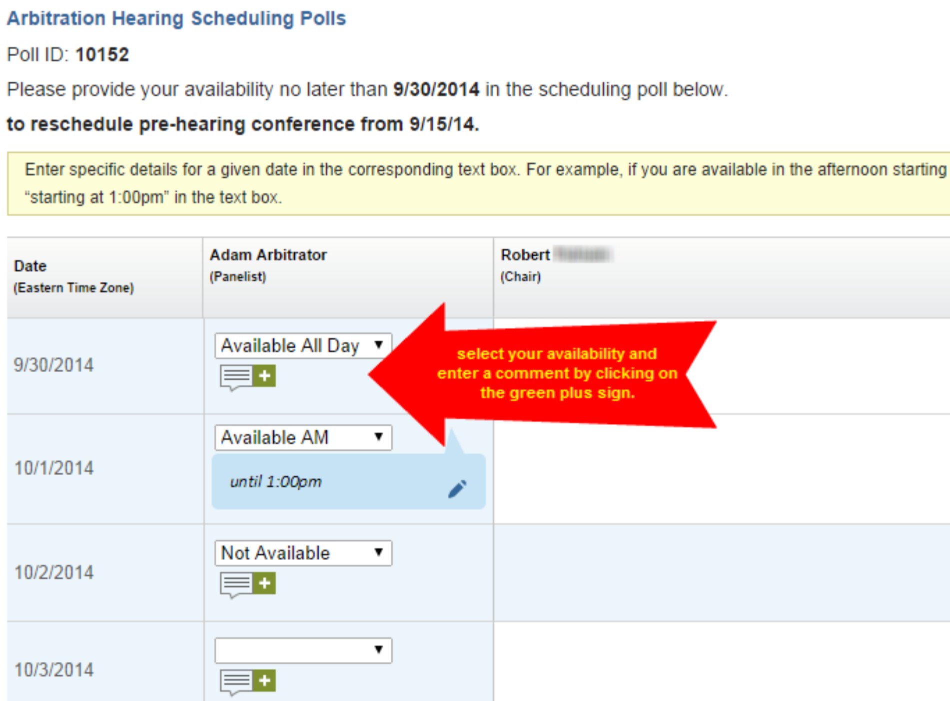
The **"Scheduling"** tab provides a collaborative tool that allows the party representatives and neutrals to find mutually agreeable dates for scheduling (or rescheduling) arbitration hearings or mediation sessions.



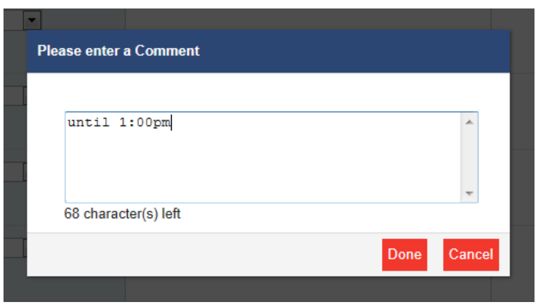
Poll ID	Hearing Type	Telephonic / In Person	From Date	To Date	Due Date	Time Zone	Number of Days to Schedule	Poll Recipients
10152	Pre-hearing conference	Telephonic	5/1/2015	5/29/2015	4/30/2015	Eastern Time Zone	1	Panel Only

When a hearing or session needs to be scheduled or rescheduled, FINRA will propose a range of dates by creating a "scheduling poll." When FINRA publishes a poll on the DR Portal, each of the required attendees will receive an email notification telling them to log into the DR Portal to complete the poll by providing their availability.

Click on the Poll ID to open the poll.



For each date, enter your availability. You can also enter a comment in the box for by clicking on the green plus sign, entering your comment, and then clicking on **Done**.



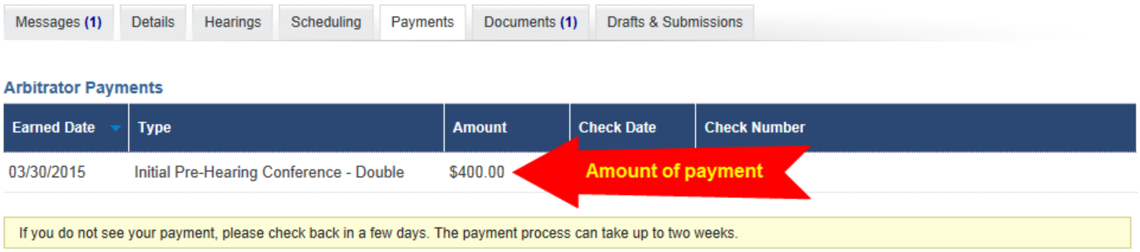
Once you are finished, click on **Save** at the bottom of the poll. Your entries and comments will be immediately viewable by all other attendees on the case, as well as by FINRA staff.

You can come back to the poll to make changes and update your comments in order to try and reach consensus on acceptable dates, all without having to speak in person. Click on **Save** after you make changes so that other attendees can see your latest updates.

Note that the process is the same for mediation scheduling polls.

Payments

The **"Payments"** tab shows all payments you have earned for a case as well as check dates and check numbers. If you do not see information in the Payments section for a hearing you participated in, the system will advise you to allow time to process the payment and to check back.

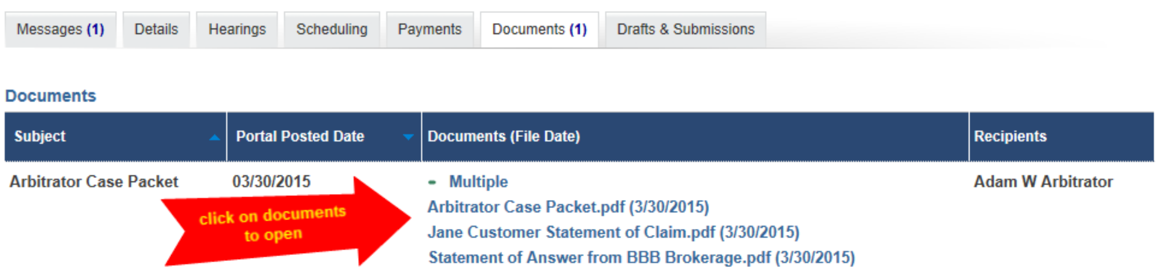


Documents

The **"Documents"** tab shows a list of documents contained in the case file that have been made available for viewing through the portal. This would include documents you submitted as well as documents published by FINRA staff to the portal.

If there are multiple documents, you will see a **"+ Multiple"** link, which you can click to open up the list of documents. You MUST disable your pop-up blockers to view the documents.

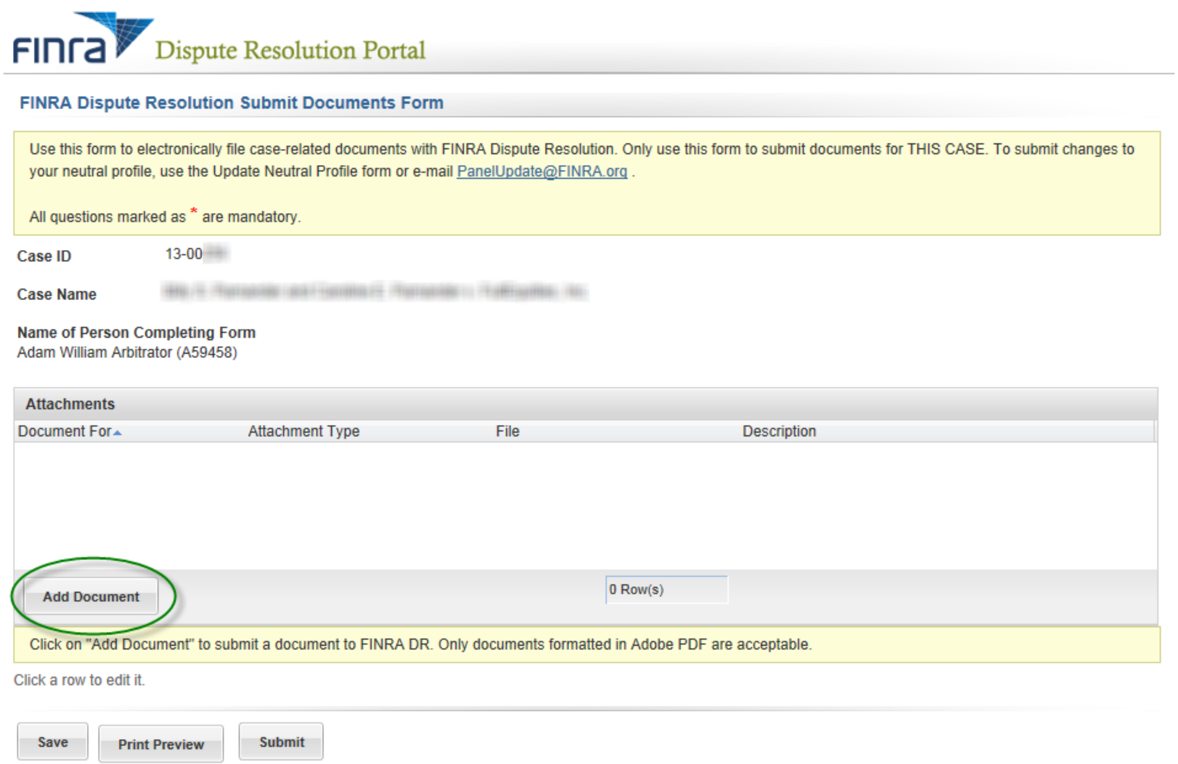
Note: all documents in the DR Portal are saved as Adobe PDF files. Make sure you have the latest version of Adobe Acrobat Reader installed on your computer to avoid problems opening the files.



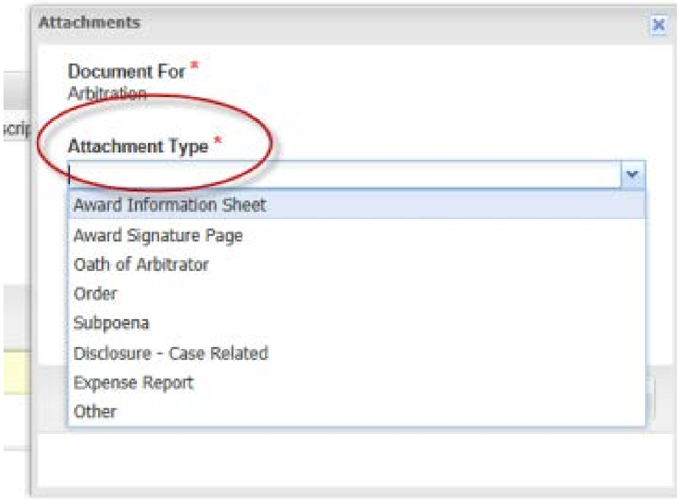
Submitting Documents

You can submit PDF documents through the portal. After selecting the case you are working on, click the **Submit Documents** button in the upper right hand corner to submit documents through the portal rather than faxing or mailing the document. This will open the Submit Documents form in a separate browser tab (although some browsers may behave differently.)

Clicking on the **Submit Documents** button should open a separate tab in your browser. You can choose the PDF(s) to submit by selecting the **Add Document** button.

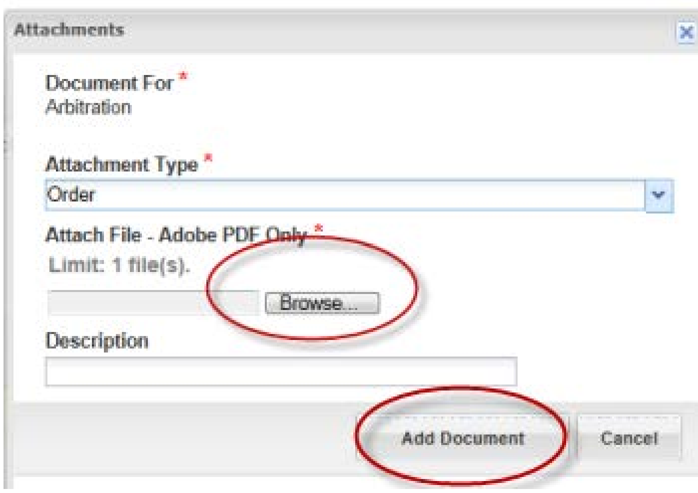


Select the “Attachment Type” from the dropdown menu that describes the document you are submitting.



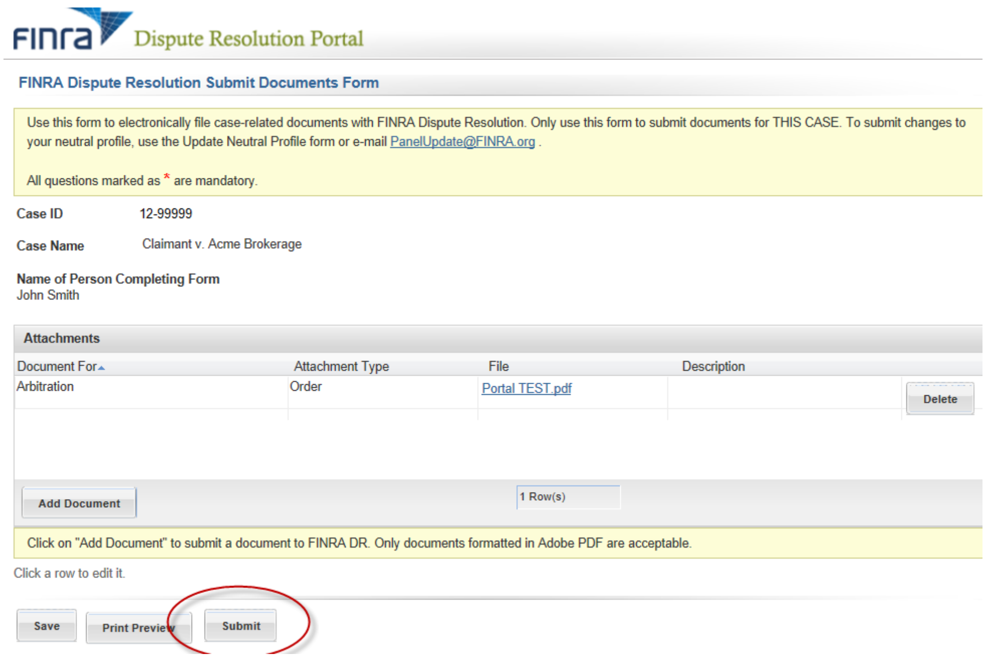
Click the **Browse** button to choose the PDF document from your computer. Enter a brief description of the file in the Description field.

After you select your document, click the **Add Document** button.

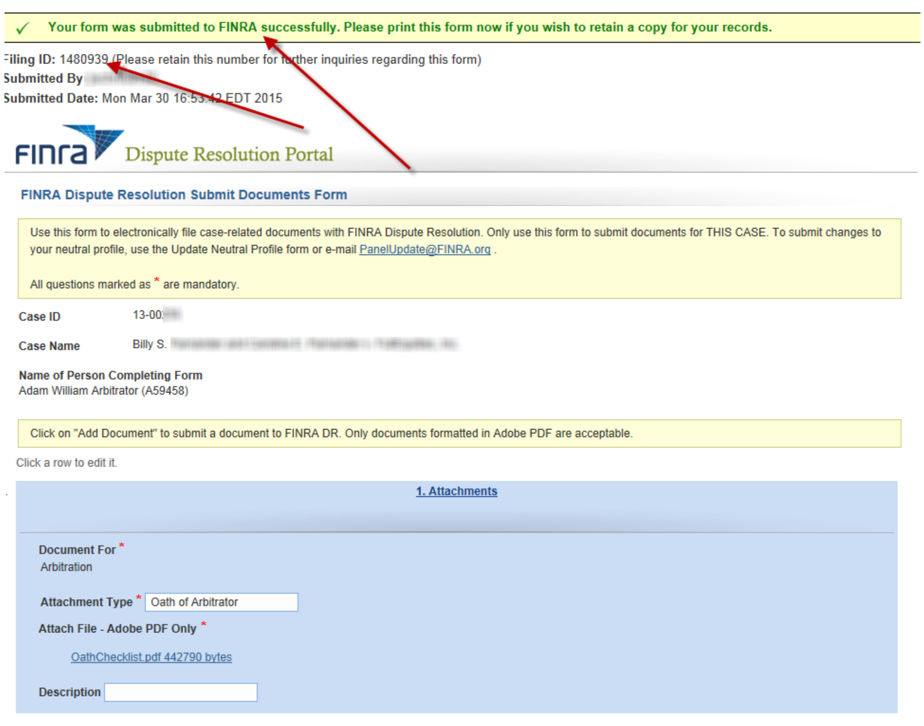


Note: you can add more than one document to this form by repeating this process.

After you attach the PDFs to submit to FINRA, you will see them listed under "Attachments." To finalize your submission, you must click the **Submit** button. If you are not yet ready to submit your documents, you can click on the **Save** button. That will save an in-progress draft of this form in your "Drafts & Submissions" tab that you can return to later.



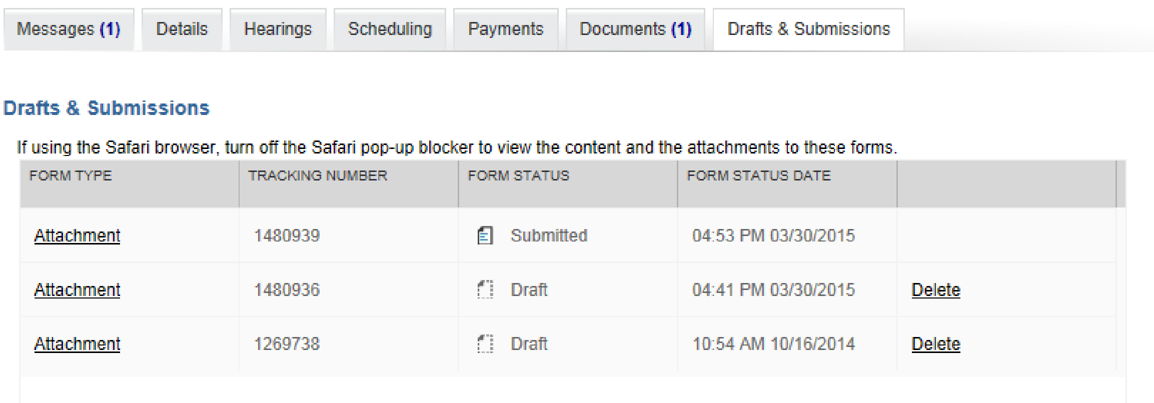
After you click on **Submit**, you should receive a confirmation on your screen that your form was submitted successfully. Once you are done, you can close this tab in your browser.



Drafts and Submissions

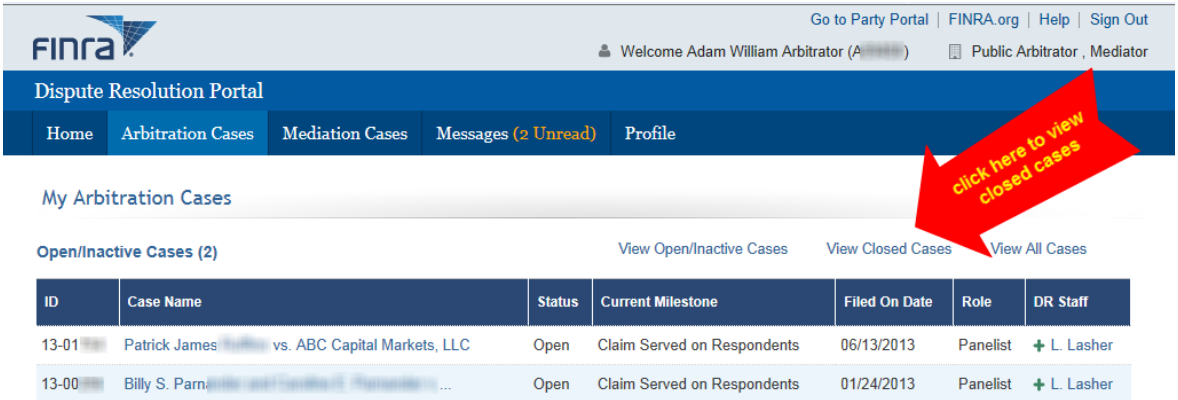
The “Drafts & Submissions” tab shows forms (with attached documents) that you save as a draft before submitting to FINRA. A draft is created the moment you click on the “Submit Documents” button. You can continue working on your draft by clicking on the “Attachment” link in the first column. A draft can be deleted by clicking on the “Delete” link in the last column.

This tab also shows forms that you successfully submitted to FINRA. You can view your submission by clicking on the “Attachment” link in the first column.



Arbitration Cases and Mediation Cases

These home page menus take you to a page that lists all of your cases.



These pages default to show only open cases. You can click on "View Closed Cases" or "View All Cases" to change what is displayed in the list. You can also click on the column headings to change the sort order of the list.

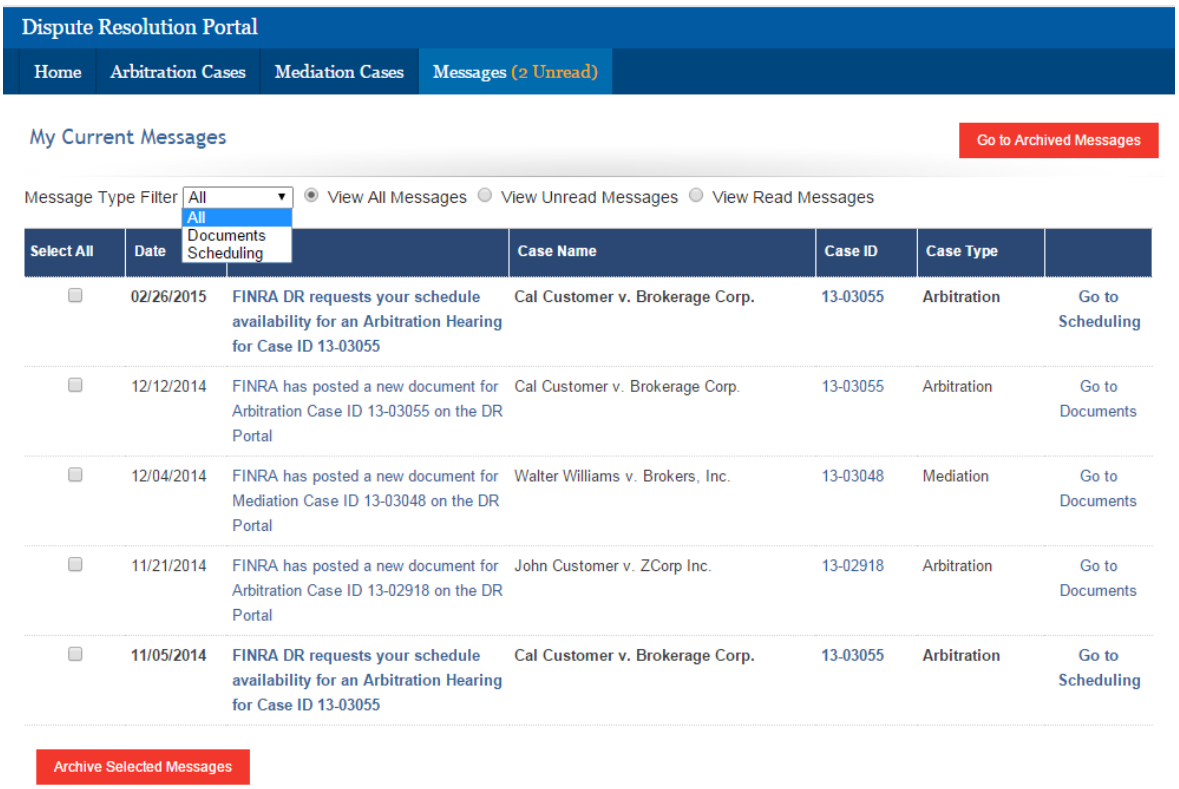
You can see every case on which you have served, regardless of whether the case resulted in an award. Clicking on any of these listed cases—open or closed—will display the same detailed case view and allow you to access the **"Messages", "Details," "Hearings," "Scheduling," "Payments," "Documents" and "Drafts and Submissions"** information.

Messages

This menu option takes you to a page showing all of the messages that have been sent to the participant regarding activity on their cases being handled through the DR Portal. The participant also receives these messages as email alerts. The number in orange indicates the number of unread messages. The view defaults to showing all received messages that you have not already archived. Unread messages are displayed in bold type. You can limit the view to just your unread messages by clicking on “View Unread Messages.” You can also filter the messages to show just those relating to documents that have been published to you on the Portal or scheduling requests. Select “Documents” or “Scheduling” in the Message Type Filter drop-down menu.

To archive messages, click on the checkbox to the left of the message to select them (or click on “Select All” to select all messages), and then click on the **Archive Selected Messages** button. To view your archived messages, click on the **Go to Archived Messages** button.

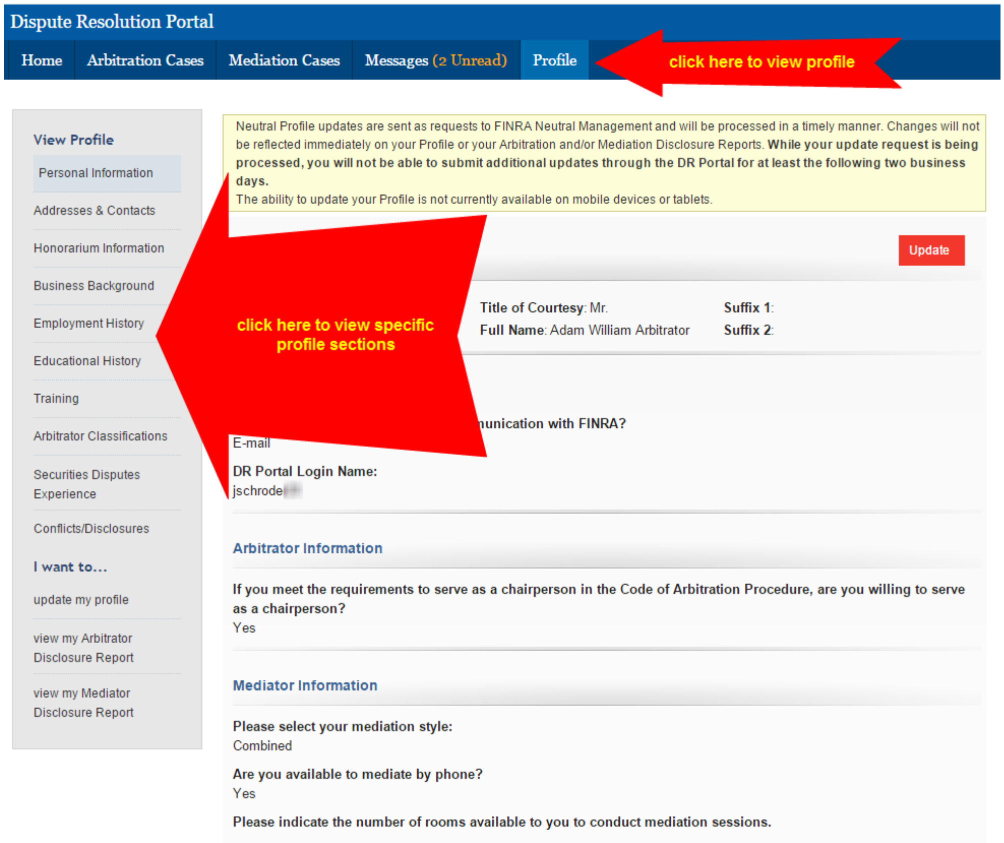
In addition, any announcements that you deleted from the Home page (by clicking on the **X** next to the announcement) can be found on the Archived Messages page.



Neutral Profile View

Neutrals will be able to view their profile information in the portal. To view your profile:

Click on **"Profile"** in the heading bar. The **Profile** page will open on the **Personal Information** tab. Click on any of the headings in the left-hand menu to view the specific information in your profile.



Viewing Your Disclosure Report

If you would like to see your current disclosure report before making updates, click on "**view my Arbitrator Disclosure Report**" or "**view my Mediator Disclosure Report**" found on the left-hand menu. You will see a PDF version of your current disclosure report. You can also choose to print the report by selecting print from your browser menu.

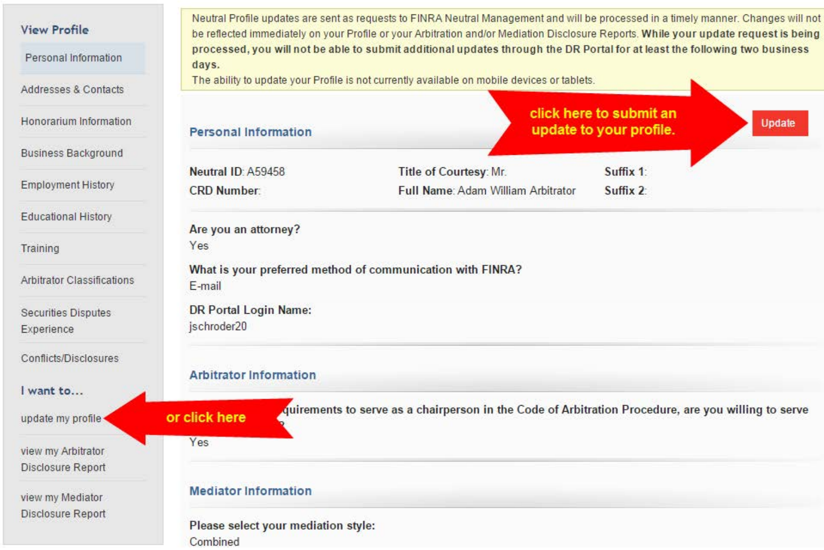
Neutral Profile Update

Neutrals can make updates to their disclosure reports through the Portal.

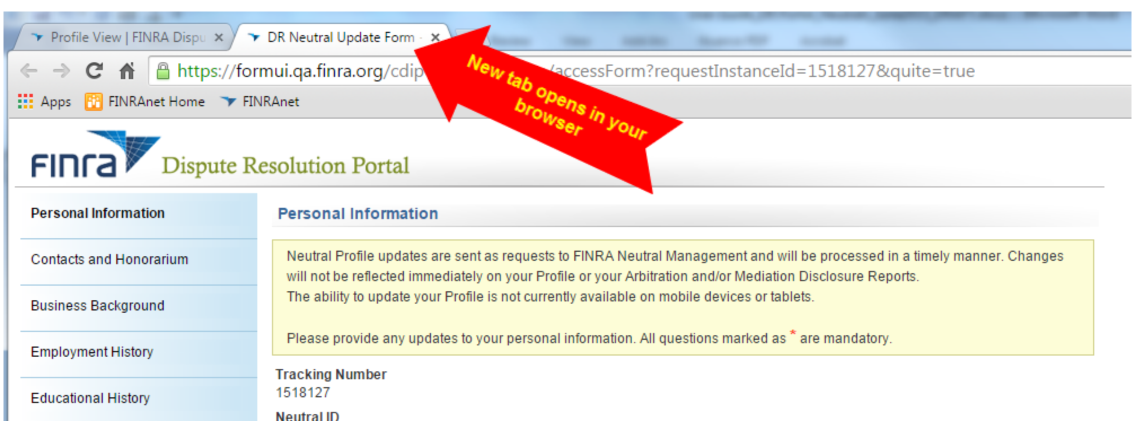
Note: If you currently have a pending update that has not yet been processed, you must wait at least two business days before trying to submit your update through the DR Portal. If you need to submit your update sooner, you can send it by email to panelupdate@finra.org.

To update your profile, do the following:

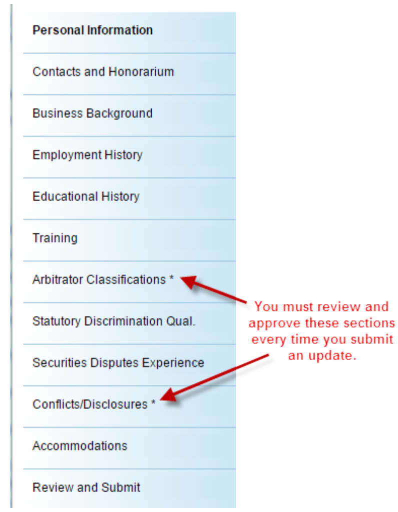
1. Click on the red **Update** button, or the "update my profile" link on the left-hand menu.



This opens the DR Neutral Profile Update Form in a new tab in your browser. You must disable any pop-up blockers in your browser for this to work.



2. The Profile Update form will begin with **Personal Information,** however, you may skip to a specific section either by clicking **"Next"** at the bottom of the page, or by clicking on the section name that you want to jump to in the left-hand menu.



You do not need to complete each section or go in sequential order. However, you **must** review and affirm your responses in the Arbitrator Classifications (if you are an arbitrator) and Conflicts/Disclosures sections **each** time you submit an update form.

Some of the profile information is view only and cannot be updated. The system will identify what information you can and cannot modify.

Please read the specific update instructions on the top of each page. All questions with a red asterisk (*) are required.

3. Once you have made your changes, go to the "Review and Submit" section at the end of the form and press the "Submit" button.

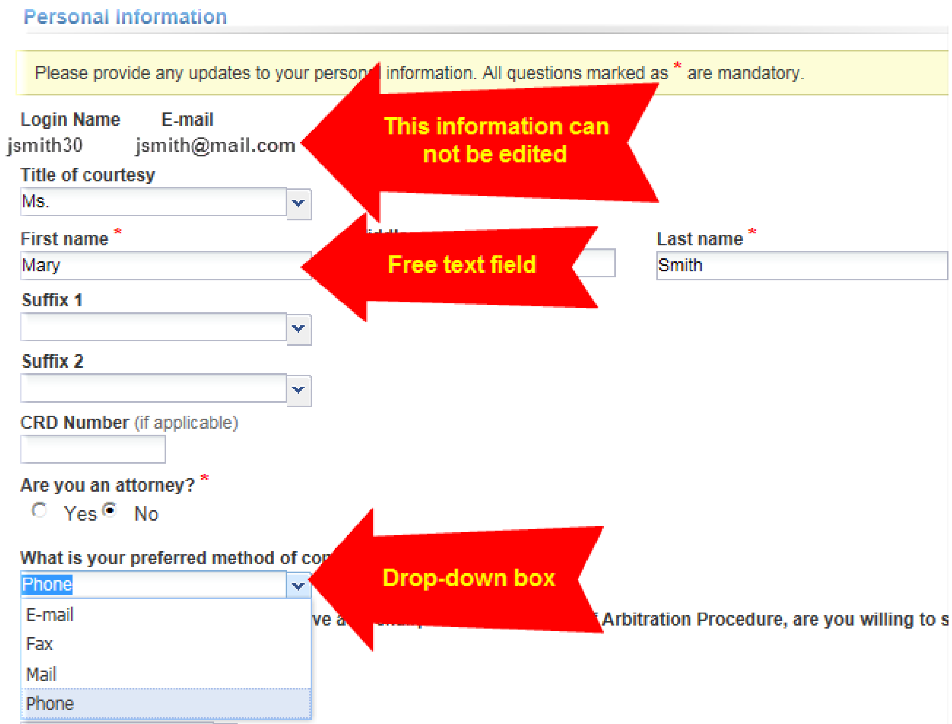
4. After you have submitted your updates, you can close the DR Neutral Profile Update Form tab in your browser.

Personal Information

The following information is part of your personal information section. You may update some of this information. Any sections that are view only are indicated below.

- Neutral ID (view only)
- Title
- First Name
- CRD Number (view only; you must call FINRA if there is a change to your CRD number)
- Are you an attorney?
- Preferred method of communication
- Login name to DR Portal (view only)
- Arbitration specific question: willing to serve as chairperson
- Mediator specific questions: style, mediation by phone, etc.

Personal information can be updated by entering text in the free text fields and using the drop-down options.



Contacts and Honorarium

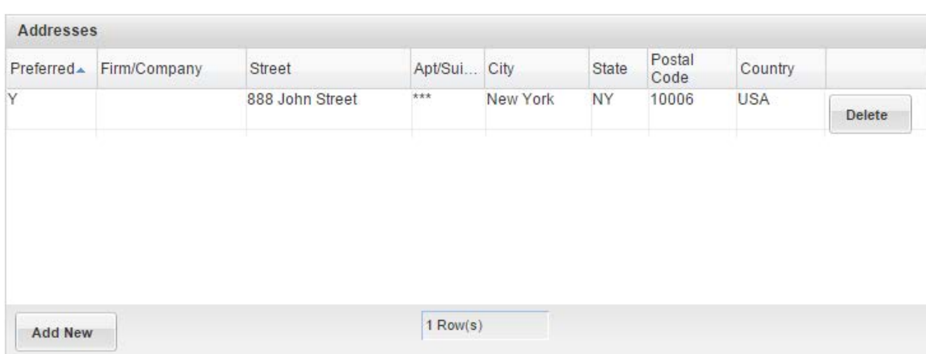
You can update your address and change which address should be the preferred address.

Addresses

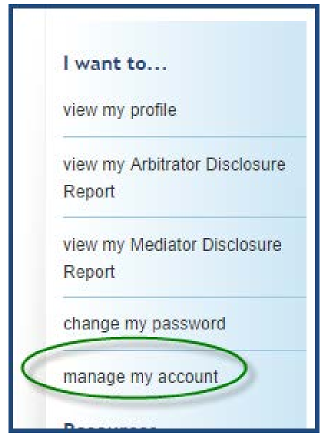
Click anywhere on the address line to edit it.

You can also delete any outdated addresses by using the "**delete**" button.

To add a new address, click the "**Add New**" button and enter the required fields. Be sure to designate at least one address as your preferred address.



You can make similar changes to your **telephone and fax numbers**.

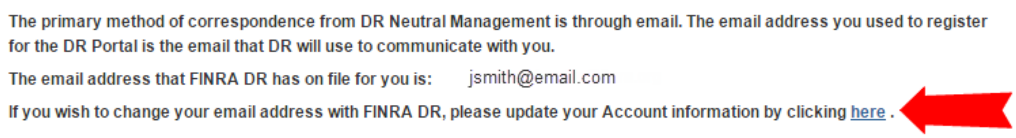


Email Address

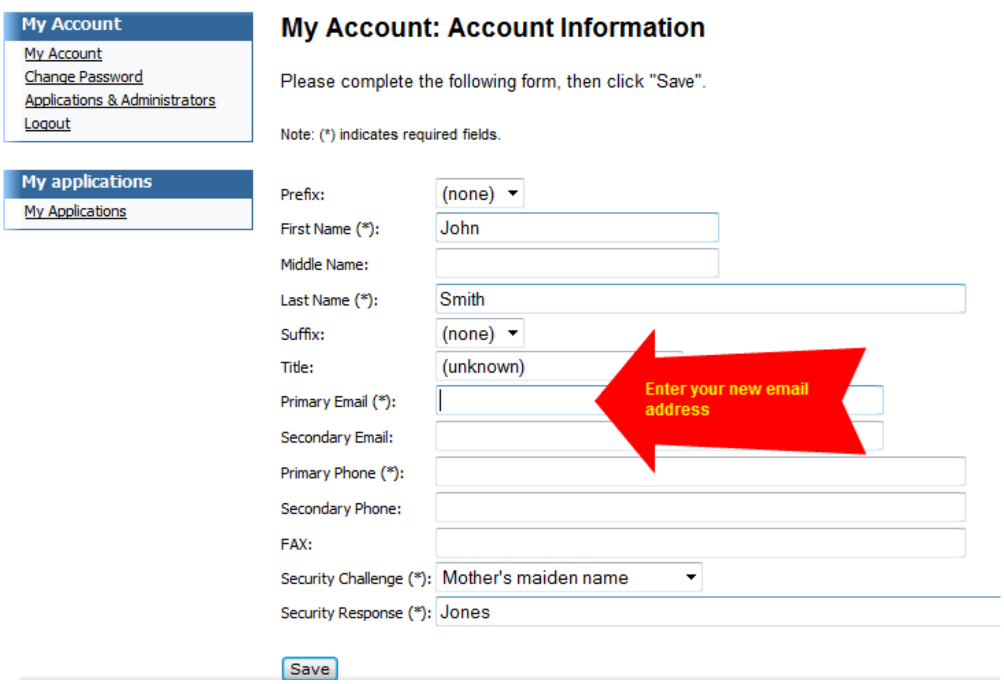
Please note that you cannot change your email address by submitting a change directly on the Profile Update form. Your email address is tied to your DR Portal login. Therefore, you can only change your email address by updating your account information.

1. On the DR Portal Homepage, you can select the "**manage my account**" quick link menu option to change your email address.

2. You may also use the **Account Information** link on the Contacts and Honorarium section of the update form.



3. Enter your new Primary Email address and click "Save."
Note: After saving your changes to your email address, you must navigate back to the "Dispute Resolution Portal" using the link under "My applications." Your email address will not be updated in your profile if you do not complete this important step.



Honorarium/Mediator Payment

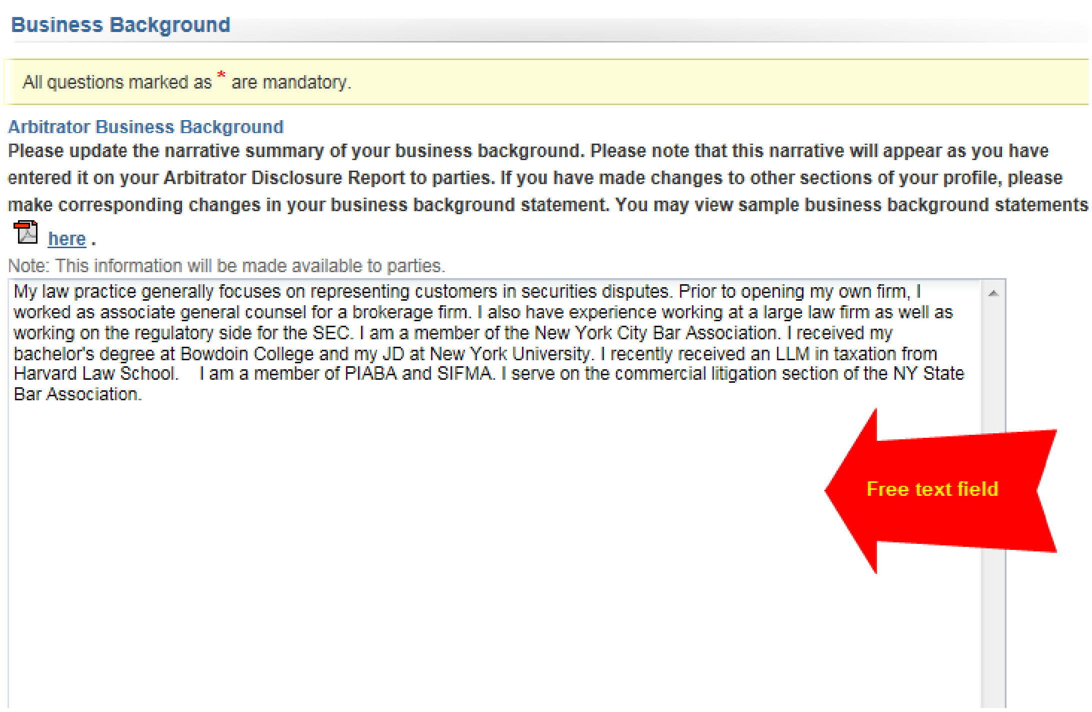
You may change where you would like your honorarium to be sent. You may also choose to waive the honorarium at any time. Be sure to answer the required questions about honorarium.

Business Background

You may edit your business background by typing in new text and deleting outdated information. You can make changes directly into your existing business background. You should not leave this section blank.

You will not be able to attach documents. However, you will be able to cut and paste a document into the business background section. We ask that you do not delete any notations entered by FINRA staff in this section.

You should review your new business background for any typos and spelling errors. Once you submit your new business background, FINRA staff will review and—barring obvious mistakes—will process the new background directly into your profile.



Employment History

You will only be able to add new employment information and edit existing entries. You will not be able to delete any previous employment information.

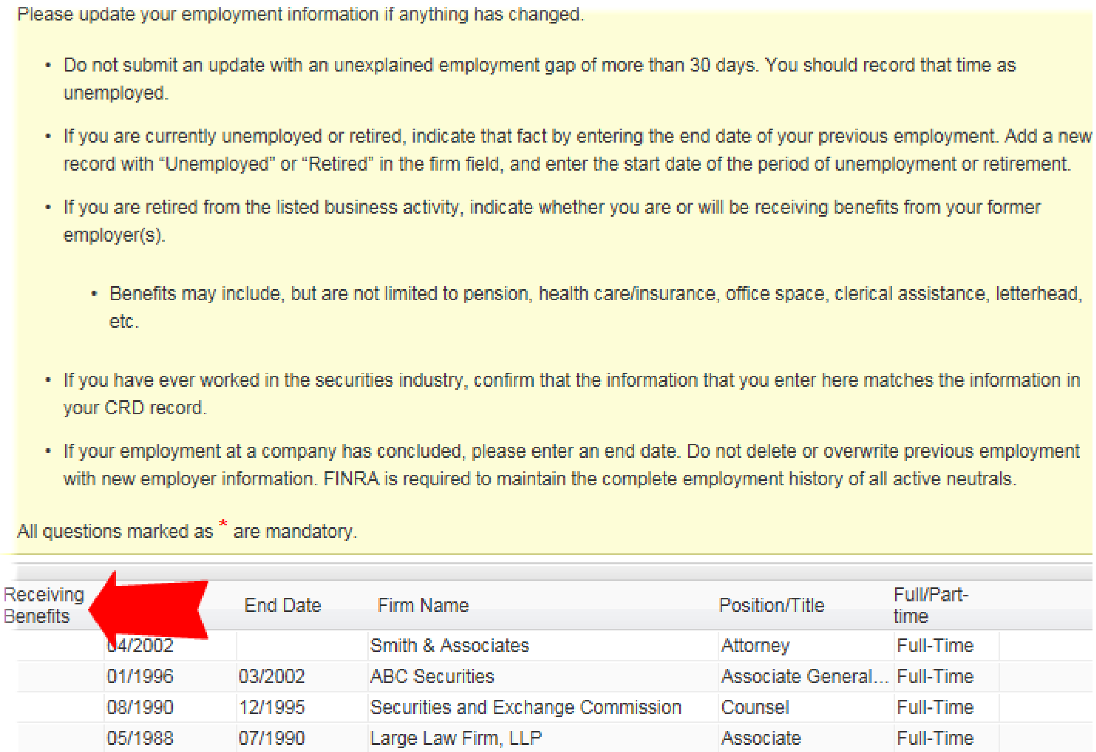
FINRA will continue to use the same rules when it comes to employment information. You cannot have an unexplained gap of more than 30 days in between employment. The system will not automatically flag your entry if it contains an unexplained gap of more than 30 days, so you must carefully review it to ensure that there are no gaps.

Continuing Benefits

You must enter information about continuing benefits from a previous employer. For example, if you are no longer employed by a firm but continue to receive benefits such as health insurance, pension, office space, use of company email and letterhead, administrative services, etc., you should indicate that you continue to receive benefits.

Retired or Unemployed

If you are retired or unemployed, please indicate this by entering an end date for your last employment and adding a new entry for your time of retirement or unemployment.



Please update your employment information if anything has changed.

- Do not submit an update with an unexplained employment gap of more than 30 days. You should record that time as unemployed.
- If you are currently unemployed or retired, indicate that fact by entering the end date of your previous employment. Add a new record with "Unemployed" or "Retired" in the firm field, and enter the start date of the period of unemployment or retirement.
- If you are retired from the listed business activity, indicate whether you are or will be receiving benefits from your former employer(s).
  - Benefits may include, but are not limited to pension, health care/insurance, office space, clerical assistance, letterhead, etc.
- If you have ever worked in the securities industry, confirm that the information that you enter here matches the information in your CRD record.
- If your employment at a company has concluded, please enter an end date. Do not delete or overwrite previous employment with new employer information. FINRA is required to maintain the complete employment history of all active neutrals.

All questions marked as * are mandatory.

Receiving Benefits		End Date	Firm Name	Position/Title	Full/Part-time
	04/2002		Smith & Associates	Attorney	Full-Time
	01/1996	03/2002	ABC Securities	Associate General...	Full-Time
	08/1990	12/1995	Securities and Exchange Commission	Counsel	Full-Time
	05/1988	07/1990	Large Law Firm, LLP	Associate	Full-Time

Educational History

You will only be able to add new education information and edit existing entries. You will not be able to delete any previous education information.

Training

You will only be able to add new training information and edit existing entries. You will not be able to delete any previous training information.

You will have the option to classify training as either arbitration training, mediation training, or other training.

You should enter the name of the course under the "Details" field.

Arbitrator Classifications (action required for arbitrators)

To ensure that arbitrators are properly classified as "public" or "non-public," FINRA will ask you to affirm your classification. On your first visit to the update section of the portal, you will be required to answer a series of questions related to your classification.

On subsequent visits, you will be required to affirm your previous answers to these classification questions—if further modification is not necessary. However, you will not need to re-answer the same questions each time you make an update to your profile.

If you provide responses that raise a question about your classification, you will receive a message to contact FINRA.

Statutory Discrimination Qualifications

In order to serve as the chairperson on statutory discrimination cases, you must qualify under Rule 13802 of the Code of Arbitration Procedure. If you are interested in serving in this capacity, you may answer the questions in this section of the update form. You must also provide a summary of your qualifications in this area of law.

Staff will review your responses to make sure that you qualify under the Code of Arbitration Procedure before making this update to your profile.

Securities Disputes Experience

You may add new securities disputes expertise to your profile. These skills are listed on your disclosure report that parties review during the arbitrator selection process. For example, if you have a particular expertise in breach of contract disputes or auction rate securities, you can add this information.

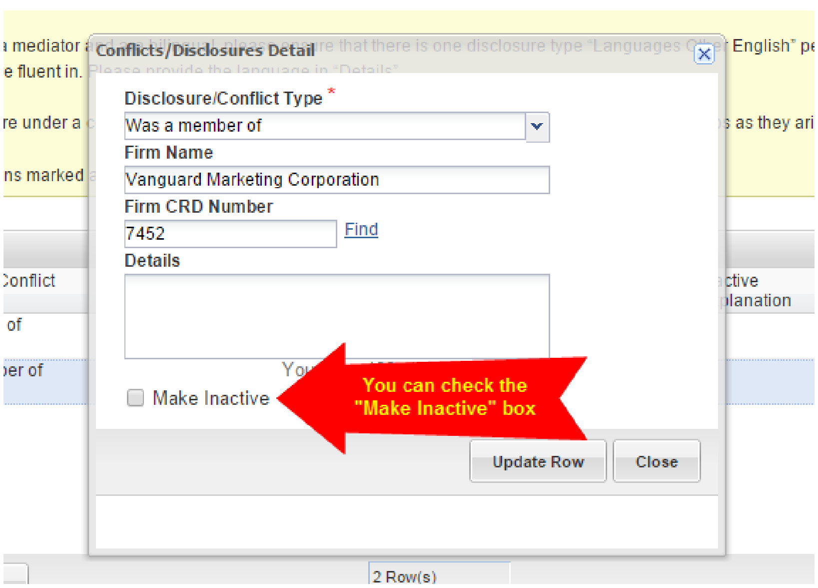
You will also need to provide a written explanation justifying your expertise. The form will require you to enter text, explaining your expertise. Staff will review this information before adding it to your profile. In some cases, staff may contact you for additional information.

Conflicts/Disclosures (action required for all neutrals)

This section captures information that you provided in the Legal/Regulatory and Conflicts/Disclosures sections of the arbitrator application. For example, you may update or add information about your brokerage accounts, litigation (including non-securities related lawsuits), publications (including publications that appear only online), professional licenses, service as an expert witness, service on boards of directors, disclosures related to your spouse or [immediate family member](#) (definition for immediate family member is part of the definition for "public arbitrator,"), etc. This section captures any and all disclosures that may not fit neatly into another section of your disclosure profile. As an arbitrator you are under a continuing duty to update information initially provided in the application and provide new disclosures as they arise. **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.

You will **not** be able to delete any previous entries to this section. The only edits you may make to a previous conflict/disclosure is to designate that it is no longer active. You may provide a written explanation to describe any changes that you submit.

You must check the box affirming that the answers you provided in this section are accurate each time you submit an update form.



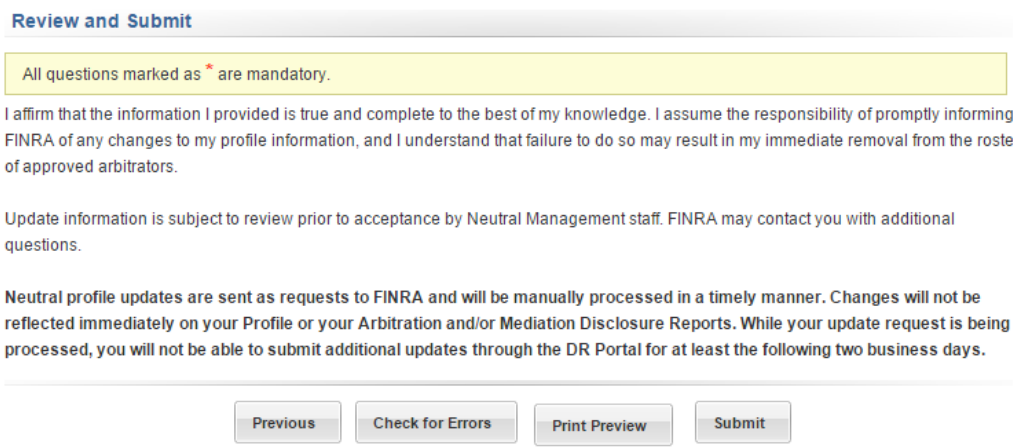
Accommodations

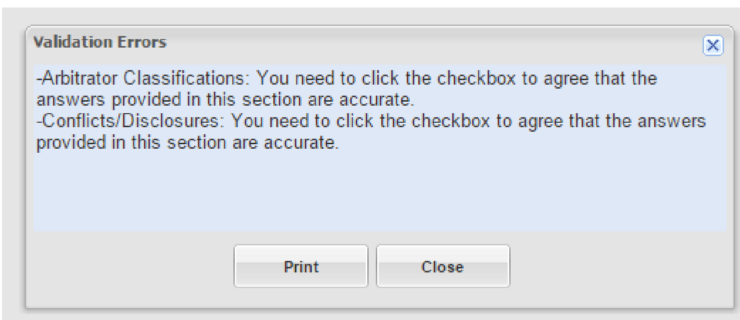
Please let us know if you have any special accommodations when serving as a neutral.

Review and Submit

Check for Errors Button

Before you submit your update form, click on the **Check for Errors** button to see if you have any unresolved entries in your form.





Error Message

If you have any errors in your submission, the system will show you a message with the sections in which you have errors. The sections with errors will appear immediately before the colon; they will correlate with the sections that appear in the left hand navigation menu of the form. You must correct the errors before the system accepts your update form.

To help remember what errors need to be fixed, you can select the “Print” button to print out the error message.

Submit

When you submit the form successfully, you will receive a confirmation email with a tracking number to reference in case you have questions about your submission. You should also print out a copy of the form you submitted.

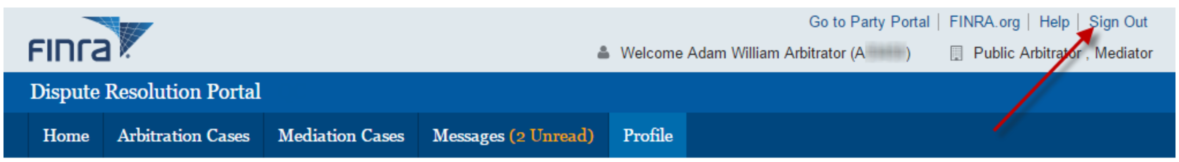
When Will the Updates Appear in Your Profile?

If you are currently serving on a case, FINRA will endeavor to make the update to your profile within one business day. If you are not currently serving on a case, FINRA will try to make the update within three to five business days. Therefore, you will not immediately see the updates in the DR Portal.

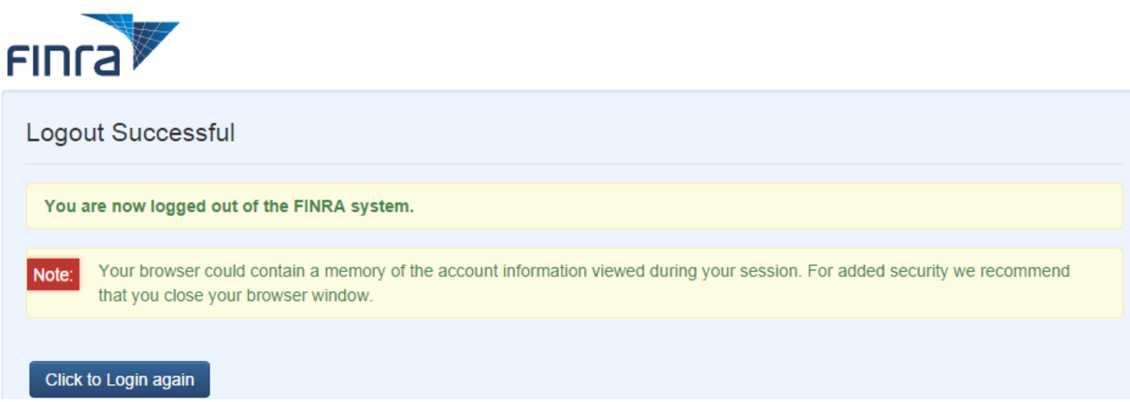
If you recently submitted an update through the Portal and we have not processed the form yet, you will not be able to submit a new update through the Portal. If it is urgent, you can send it by email to panelupdate@finra.org or fax at (301) 527-4910.

Log Out of Portal

When you are done with your session in the DR Portal, be sure to log out by clicking on the **Sign Out** link in the top right corner.



Once you click the **Sign Out** link you will receive confirmation that your Logout was successful.



Additional Help

If you have any questions about the DR Portal, please contact Neutral Management Staff toll free at **(855) 209-1620** or in New York at **(212) 858-3999.** If you are having a techncial problem or your account is locked and need immediate assistance, please call **(800) 700-7065**.

If you would like to provide feedback regarding the DR Portal or make any suggestions for possible future enhancements, please send an email to drportalfeedback@finra.org. We appreciate your thoughtful comments and suggestions.