



FINRA DR Portal

User Guide for Arbitrators and Mediators

September 2014

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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.

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.

If you are not sure about which version of Internet Explorer you are using, you can check this [website](#) for information.

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.

Mobile Devices

Neutrals can 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

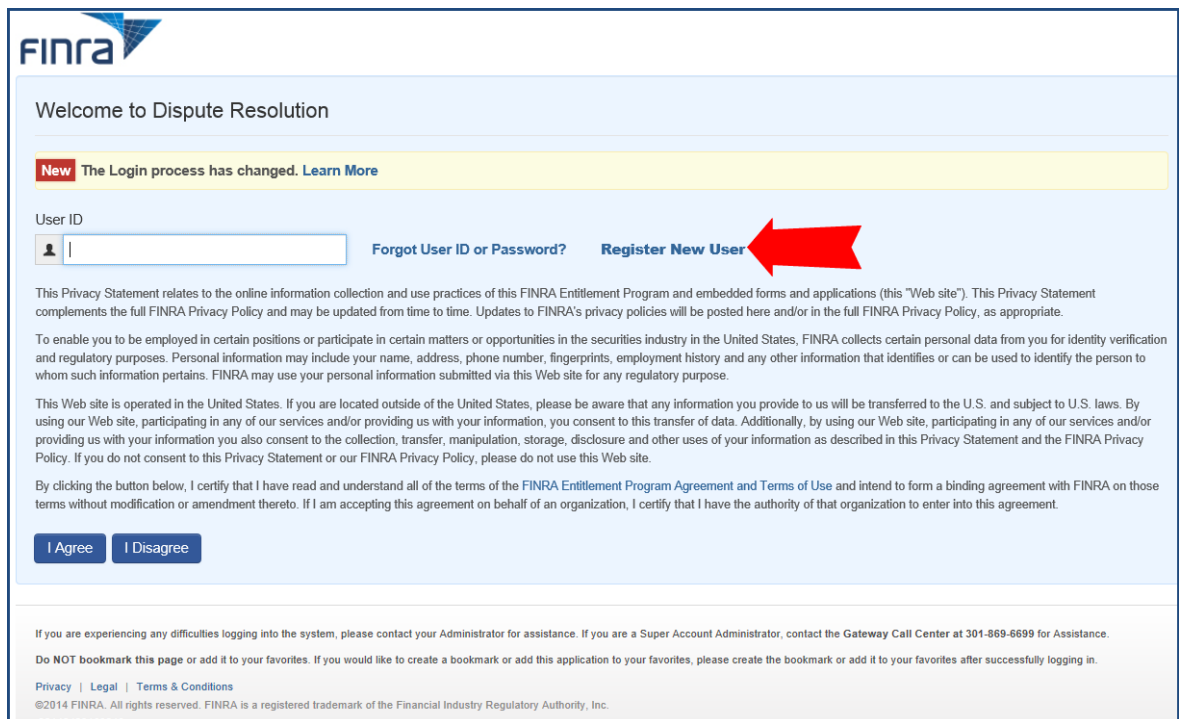
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desktop or laptop computer. Note that the Portal will default to a “Desktop View” even on your mobile device, although you can use the “Switch to Mobile View” link to get to the mobile version of the Portal.

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.
2. Click on **“Register Now”** to create a new user profile.



FINRA

Welcome to Dispute Resolution

New The Login process has changed. [Learn More](#)

User ID

[Forgot User ID or Password?](#) [Register New User](#)

This Privacy Statement relates to the online information collection and use practices of this FINRA Entitlement Program and embedded forms and applications (this “Web site”). This Privacy Statement complements the full FINRA Privacy Policy and may be updated from time to time. Updates to FINRA’s privacy policies will be posted here and/or in the full FINRA Privacy Policy, as appropriate.

To enable you to be employed in certain positions or participate in certain matters or opportunities in the securities industry in the United States, FINRA collects certain personal data from you for identity verification and regulatory purposes. Personal information may include your name, address, phone number, fingerprints, employment history and any other information that identifies or can be used to identify the person to whom such information pertains. FINRA may use your personal information submitted via this Web site for any regulatory purpose.

This Web site is operated in the United States. If you are located outside of the United States, please be aware that any information you provide to us will be transferred to the U.S. and subject to U.S. laws. By using our Web site, participating in any of our services and/or providing us with your information, you consent to this transfer of data. Additionally, by using our Web site, participating in any of our services and/or providing us with your information you also consent to the collection, transfer, manipulation, storage, disclosure and other uses of your information as described in this Privacy Statement and the FINRA Privacy Policy. If you do not consent to this Privacy Statement or our FINRA Privacy Policy, please do not use this Web site.

By clicking the button below, I certify that I have read and understand all of the terms of the [FINRA Entitlement Program Agreement](#) and [Terms of Use](#) and intend to form a binding agreement with FINRA on those terms without modification or amendment thereto. If I am accepting this agreement on behalf of an organization, I certify that I have the authority of that organization to enter into this agreement.

If you are experiencing any difficulties logging into the system, please contact your Administrator for assistance. If you are a Super Account Administrator, contact the Gateway Call Center at 301-869-6699 for Assistance.

Do NOT bookmark this page or add it to your favorites. If you would like to create a bookmark or add this application to your favorites, please create the bookmark or add it to your favorites after successfully logging in.

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

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3. Enter the registration information. 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.

Register as a FINRA User

Please complete the following information, and then select "Submit" to register.

Note: (*) indicates required fields.

User Profile

Prefix
(none) ▾

First Name (*)

Middle Name

Last Name (*)

Suffix
(none) ▾

Title
(unknown) ▾

Choose Your User ID (*)

[Generate a new User ID from First and Last Name](#)

Primary Email (*)

Secondary Email

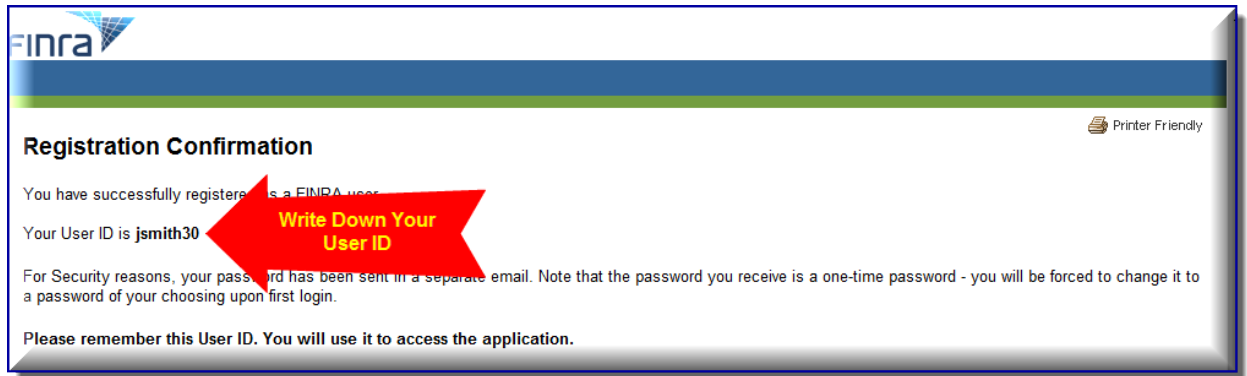
Primary Phone

Secondary Phone

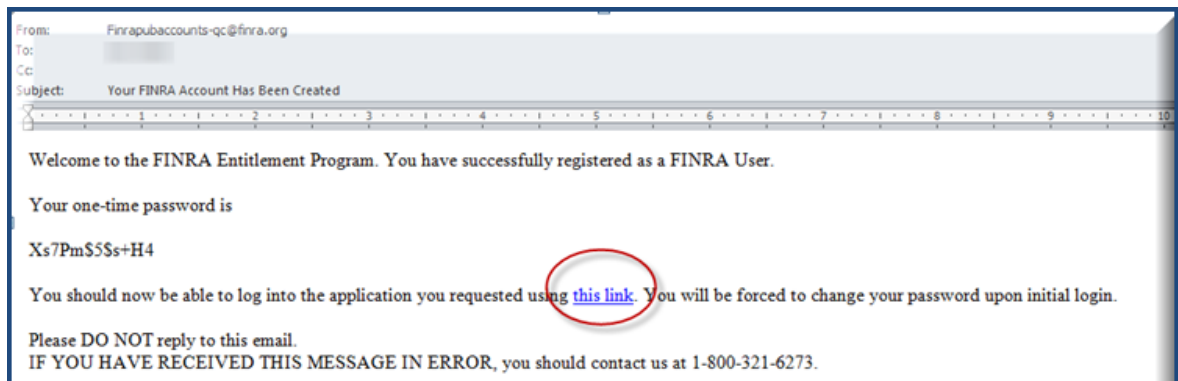
FAX

To prevent unauthorized access to this application, please enter the characters in the exact order as they appear in the box below.

4. The email address that you use in this initial registration form will be the email that is reflected as your primary email address in your disclosure 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 **"change my password"** quick link menu option on the Homepage of the portal. Please see **"Email Address"** on page 25. Note that this change cannot be made by FINRA staff.
5. You will receive a **"Registration Confirmation"** with your User ID. Be sure to write down your User ID and/or print this screen. If you leave this screen and cannot remember your user name, you will need to re-register using the same invitation link. If you no longer have the invitation link, please send an email to FINRADRNM@finra.org to request a new invitation.

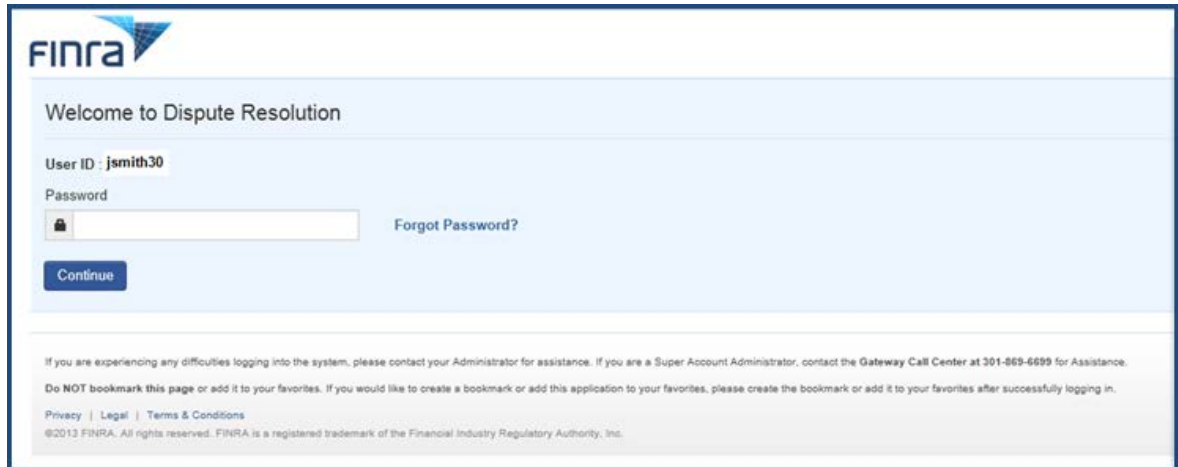


6. You will receive an email with a temporary password. Copy the password and click on the words "**this link**" in the email to change your password.



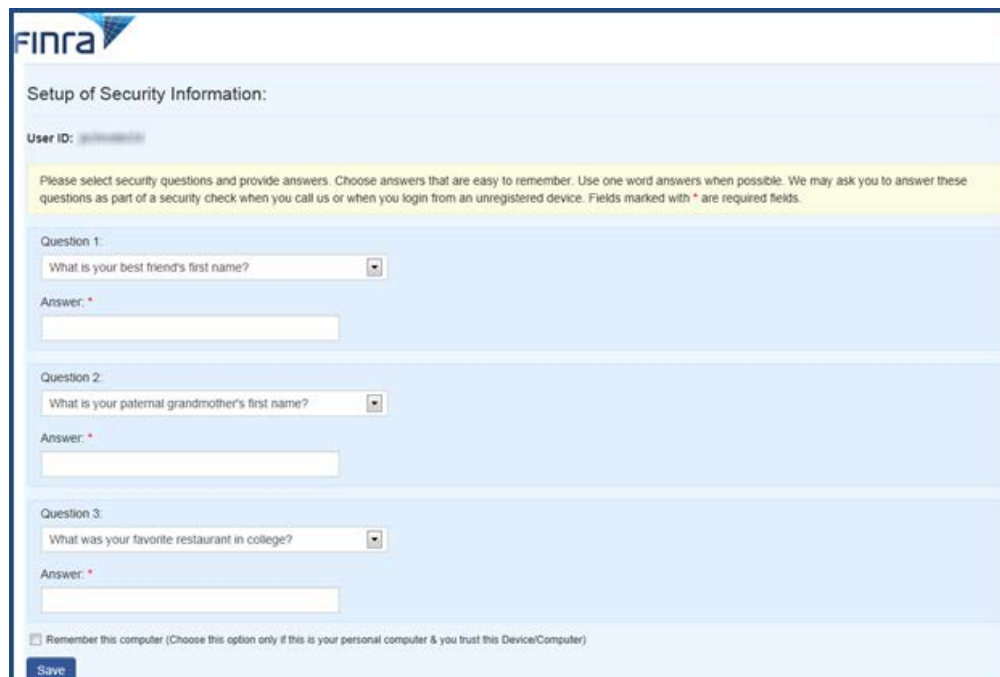
7. On the "**Welcome to Dispute Resolution**" page, enter your User ID and click "**I agree.**"

- The system will capture your User ID and prompt you to enter your password. Enter your temporary password and click **“continue.”**



The screenshot shows the login page of the FINRA Dispute Resolution Portal. At the top left is the FINRA logo. Below it, the text reads "Welcome to Dispute Resolution". The user ID is displayed as "User ID : jsmith30". There is a password field with a lock icon and a "Forgot Password?" link. A blue "Continue" button is located below the password field. At the bottom of the page, there is a footer with the following text: "If you are experiencing any difficulties logging into the system, please contact your Administrator for assistance. If you are a Super Account Administrator, contact the Gateway Call Center at 301-869-6699 for Assistance. Do NOT bookmark this page or add it to your favorites. If you would like to create a bookmark or add this application to your favorites, please create the bookmark or add it to your favorites after successfully logging in. Privacy | Legal | Terms & Conditions ©2013 FINRA. All rights reserved. FINRA is a registered trademark of the Financial Industry Regulatory Authority, Inc."

- You will be prompted to reset your password. Once you reset your password click **“Continue.”**
- 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, the system may ask you one of these questions to confirm your identity.



The screenshot shows the "Setup of Security Information" page. At the top left is the FINRA logo. Below it, the text reads "Setup of Security Information:". The user ID is displayed as "User ID: jsmith30". A yellow warning box contains the text: "Please select security questions and provide answers. Choose answers that are easy to remember. Use one word answers when possible. We may ask you to answer these questions as part of a security check when you call us or when you login from an unregistered device. Fields marked with * are required fields." There are three security questions, each with a dropdown menu for the question and a text input field for the answer. Question 1: "What is your best friend's first name?". Question 2: "What is your paternal grandmother's first name?". Question 3: "What was your favorite restaurant in college?". Each answer field is marked with an asterisk (*). At the bottom, there is a checkbox labeled "Remember this computer (Choose this option only if this is your personal computer & you trust this Device/Computer)" and a blue "Save" button.

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 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>

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 password** and **manage my account**. There are also quick access links to **Resources** like **FINRA Learning Management System** and **Arbitration Awards Online**, and the **Oath of Arbitrator and Checklist** form.

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 blue 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.

Welcome Adam William Arbitrator (A [Avatar])
Public Arbitrator, Mediator
[Go to Party Portal](#) | [Help](#) | [FINRA.org](#) | [Sign-Out](#)

Home | Arbitration Cases | Mediation Cases | Messages (1 Unread) | Profile

I want to...

- view my profile
- view my Arbitrator Disclosure Report
- view my Mediator Disclosure Report
- change my password
- manage my account

Resources

- FINRA Learning Mgmt System
- Arbitration Awards Online
- Oath of Arbitrator and Checklist

09/19/2014 - The DR Portal will be unavailable Friday, September 19th beginning 9:00pm ET for system maintenance X

My Current Arbitration Cases

ID	Case Name	Status	Filed On Date	Role	DR Staff
13-01754	Patrick James Ruffino vs. ABC Capital Markets LLC	Open	06/13/2013	Panelist	+ L. Lasher
13-00256	Billy S. Parmander and Caroline E. Parmander v....	Open	01/24/2013	Panelist	+ L. Lasher

Upcoming Arbitration Hearings

Date	Time	Type	Location	ID	Case Name
09/22/2014	11:00 AM EST	Pre-hearing conference	+ Conference Call...	13-01754	Patrick James Ruffino vs. ABC...
09/23/2014	09:00 AM EST	Regular Hearing	+ FINRA Dispute Resolution...	13-01754	Patrick James Ruffino vs. ABC...

My Current Mediation Cases

There are no cases to display.

Upcoming Mediation Sessions

No upcoming mediation sessions.

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 additional information about the case.

13-00256 Billy S. Parnander and Caroline E. Parnander v. FullEquities, Inc. Expedited
 | Direct Communication Between Parties and Arbitrators Allowed

Arbitration Case Abstract Submit Documents

Case Status: Open Filed On Date: 01/24/2013 Decision Basis: Hearing Office: Boca Raton Hearing Location: Atlanta, GA	Milestones Case Received: 01/24/2013 Claim Served on Respondents: 02/06/2013	Assigned Staff Lisa Lasher FINRA Dispute Resolution Boca Center Tower 1 5200 Town Center Circle, Suite 200 Boca Raton, Florida 33486 Phone: 561-416-0277 Fax: 301-527-4868 E-mail: FL-Main@finra.org
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Messages (1) | Details | Hearings | Scheduling | Payments | Documents | Drafts & Submissions

Arbitrators

Name	Role	Type	Status	Assigned On Date
Mr. Robert H.	Chair	Public	Appointed	06/06/2013
Mr. Adam William Arbitrator	Panelist	Public	Appointed	07/08/2014
Mr. George Harrison	Panelist	Public	Appointed	06/06/2013
Dr. John C.	Panelist	Public	Off Case for Other Reason	06/06/2013

Arbitration Parties

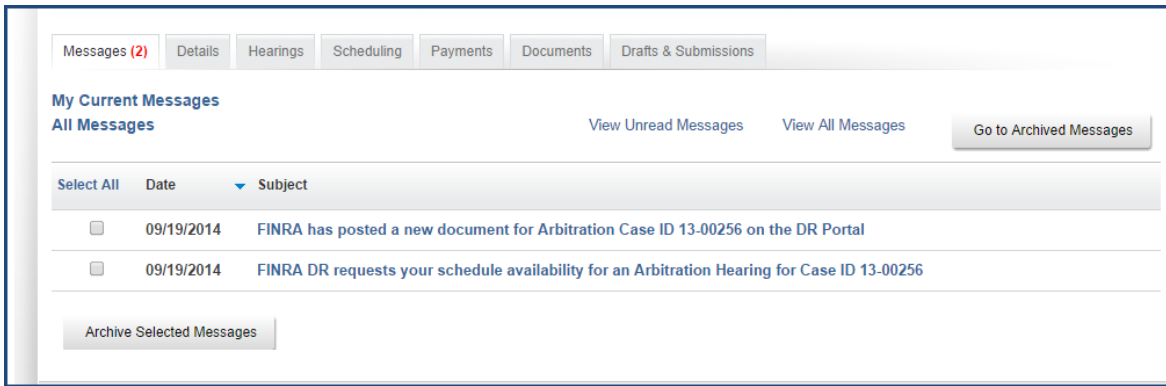
Claimants

Party	CRD #	Agreement Date	Type	Class	Status	Represented By
Charlotte E. Fernander			Individual	Customer	Active	+ Mr. Alan
Billy W. Fernander		01/15/2013	Individual	Customer	Active	+ Mr. Alan

Messages

The **Messages** tab shows the messages you have received from FINRA regarding this case. The number in red 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.”

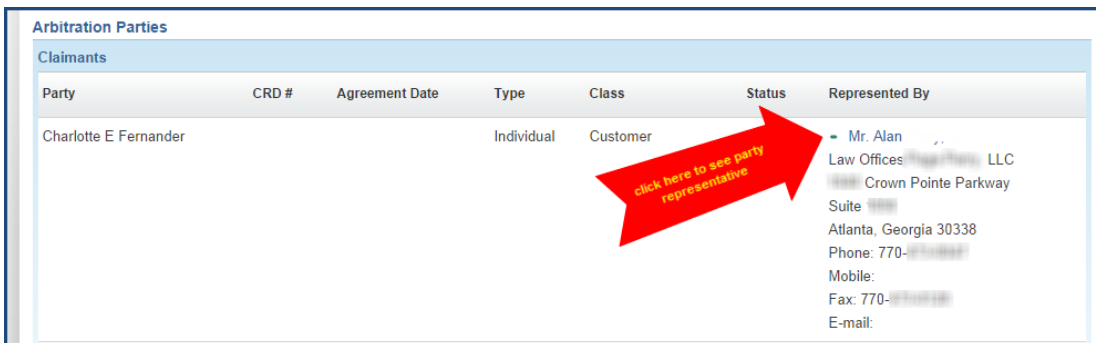
To archive messages, click on the checkbox to the left of the message to select them (or click on “Select All” to select all messages), and then click on the **Archive Selected Messages** button.



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 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)
09/23/2014	09:00 AM EST	Regular Hearing	click here to see hearing location FINRA Dispute Resolution... 5200 Town Center Circle, Suite 200 Boca Raton, Florida 33486 Phone: 561-416-...	2	Open	FINRA: No Attendee
09/22/2014	11:00 AM EST	Pre-hearing conference	+ Conference Call...	1	Open	FINRA: Lisa Lasher

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

03/05/2013	10:30 AM EST	Initial Pre-hearing conference	- Conference Call... Phone: Passcode: 12-03576	1	Closed-Complete	- FINRA: Edward Sihaga Chair: John Smith Panelist: Mary Jones Panelist: Jane Brown
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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
10009	Regular Hearing	In Person	10/24/2013	10/28/2013	10/24/2013	Alaska Time Zone	3	Parties+Full Panel

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.

Messages (1) Details Hearings Scheduling Payments Documents Drafts & Submissions		
Arbitration Hearing Scheduling Polls		
Poll ID: 10152		
Please provide your availability no later than 9/30/2014 in the scheduling poll below. to reschedule pre-hearing conference from 9/15/14.		
Enter specific details for a given date in the corresponding text box. For example, if you are available in the afternoon starting at "starting at 1:00pm" in the text box.		
Date (Eastern Time Zone)	Adam Arbitrator (Panelist)	Robert [REDACTED] (Chair)
9/30/2014	Available All Day [Green Plus Sign]	
10/1/2014	Available AM until 1:00pm [Pencil Icon]	
10/2/2014	Not Available [Green Plus Sign]	
10/3/2014	[Dropdown] [Green Plus Sign]	

Note: A red arrow points to the green plus sign in the 9/30/2014 row with the text: "select your availability and enter a comment by clicking on the green plus sign."

For each date, enter your availability. You can also enter a comment in the box by clicking on the green plus sign. 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.

Case Status: Open
Case Sub-Status: Open
Filed On Date: 10/05/2012
Decision Basis: Hearing
Office: New York
Hearing Location: Montpelier, VT

Milestones
Case Received: 10/05/2012
Claim Served on Respondents: 10/26/2012

Assigned Staff
 Edward Sihaga
 FINRA Dispute Resolution
 One Liberty Plaza
 165 Broadway, 27th Floor
 New York, New York 10006
 Phone: 212-858-4200 | Fax: 301-527-4904
 E-mail: NEProcessingCenter@finra.org

Case Details | Hearings | Scheduling | **Payments** | Case Documents | Drafts & Submissions

Arbitrator Payments

Earned Date	Type	Amount	Check Date	Check Number
06/05/2013	Discovery Pre-Hearing Conf. - Single	\$200.00		
03/05/2013	Initial Pre-Hearing Conference - Single	\$200.00	03/11/2013	

If you do not see your payment, please check back in a few days. The payment process can take up to two weeks.

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.

Messages | Details | Hearings | Scheduling | Payments | **Documents** | Drafts & Submissions

Documents

Subject	Portal Posted Date	Documents (File Date)	Recipients
Arbitrator Case Packet	03/24/2014	- Multiple PC01A-Arbitrator Case Packet.pdf (3/24/2014) Statement of Answer.pdf (11/13/2013)	Adam W Arbitrator

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 a document 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.)

Home Arbitration Cases Mediation Cases Messages (1 Unread) Profile

13-01754 Patrick James Ruffino vs. ABC Capital Markets, LLC

Arbitration Case Abstract

[Submit Documents](#)

Case Status: Open	Milestones	Assigned Staff
Filed On Date: 06/13/2013	Case Received: 06/13/2013	Lisa Lasher
Decision Basis: Hearing	Claim Served on Respondents: 06/21/2013	FINRA Dispute Resolution
Office: Boca Raton		Boca Center Tower 1
Hearing Location: Orlando, FL		5200 Town Center Circle, Suite 200
		Boca Raton, Florida 33486
		Phone: 561-416-0277 Fax: 301-527-4868
		E-mail: FL-Main@finra.org

Messages Details Hearings Scheduling Payments Documents Drafts & Submissions

After you click on the “Submit Documents” button, you can choose the PDF to submit by selecting the “Add Document” button.

FINRA Dispute Resolution Portal

FINRA Dispute Resolution Submit Documents Form

Use this form to electronically file case-related documents with FINRA Dispute Resolution. Only use this form to submit documents for THIS CASE. To submit changes to your neutral profile, use the Update Neutral Profile form or e-mail PanelUpdate@FINRA.org.

All questions marked as * are mandatory.

Case ID 11-03381

Case Name Jane and Joe Claimant v. Securities Corp.

Name of Person Completing Form
John Smith (A14473)

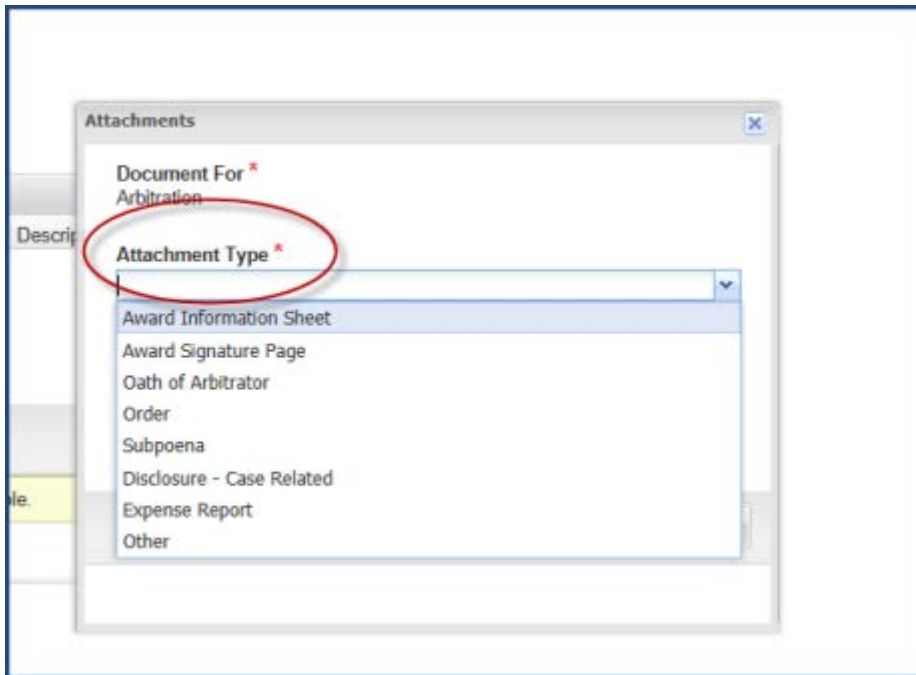
Document For	Attachment Type	File	Description
Add Document 0 Row(s)			

Click on “Add Document” to submit a document to FINRA DR. Only documents formatted in Adobe PDF are acceptable.

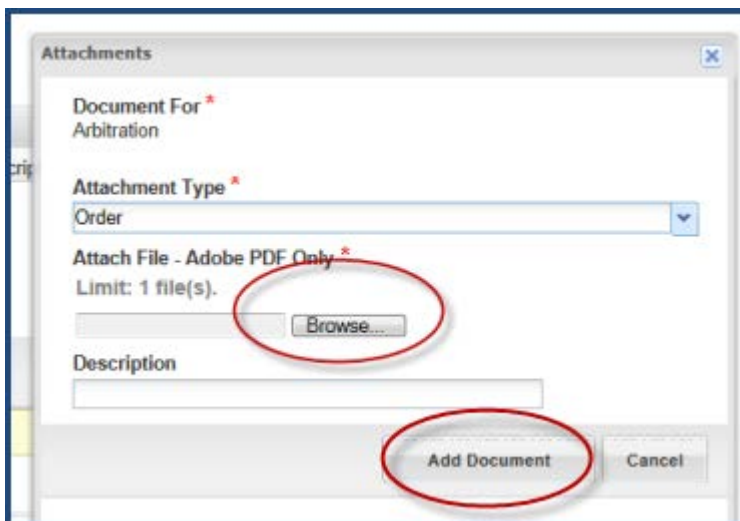
Click a row to edit it.

[Save](#) [Print Preview](#) [Submit](#)

Select the "Attachment Type" from the dropdown menu.



Click the "Browse" button to choose the PDF document from your computer. After you select your document, click the "Add Document" button.



After you attach the PDF to submit to FINRA, you will see it listed under “Attachments.” To finalize your submission, you must click the “Submit” button.

FINRA Dispute Resolution Submit Documents Form

Use this form to electronically file case-related documents with FINRA Dispute Resolution. Only use this form to submit documents for THIS CASE. To submit changes to your neutral profile, use the Update Neutral Profile form or e-mail PanelUpdate@FINRA.org.

All questions marked as * are mandatory.

Case ID: 12-99999
 Case Name: Claimant v. Acme Brokerage
 Name of Person Completing Form: John Smith

Document For	Attachment Type	File	Description
Arbitration	Order	Portal TEST.pdf	

1 Row(s)

Click on "Add Document" to submit a document to FINRA DR. Only documents formatted in Adobe PDF are acceptable.

Click a row to edit it.

Buttons: Save, Print Preview, **Submit**

After you click on “Submit,” you will receive a confirmation on your screen that your form was submitted successfully.

✓ Your form was submitted to FINRA successfully. Please print this form now if you wish to retain a copy for your records.

Filing ID: 1155631 (Please retain this number for further inquiries regarding this form)
 Submitted By: jlee10
 Submitted Date: Tue Jun 03 09:52:56 EDT 2014

FINRA Dispute Resolution Submit Documents Form

Use this form to electronically file case-related documents with FINRA Dispute Resolution. Only use this form to submit documents for THIS CASE. To submit changes to your neutral profile, use the Update Neutral Profile form or e-mail PanelUpdate@FINRA.org.

All questions marked as * are mandatory.

Case ID: 12-99999
 Case Name: Claimant v. Acme Brokerage
 Name of Person Completing Form: John Smith

Click on "Add Document" to submit a document to FINRA DR. Only documents formatted in Adobe PDF are acceptable.

Click a row to edit it.

1. Attachments

Document For *
 Arbitration

Attachment Type *
 Order

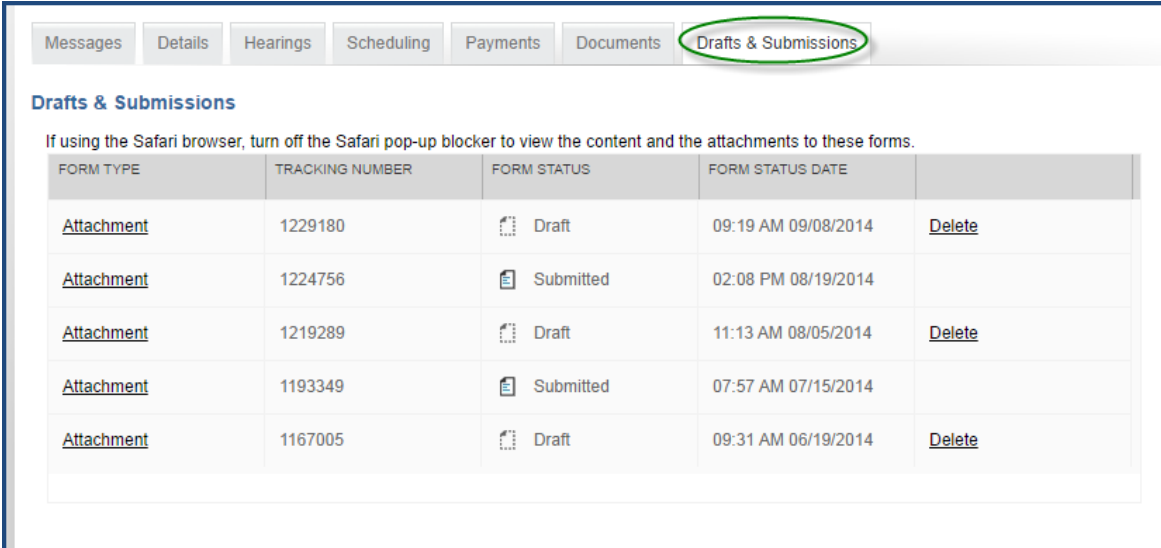
Attach File - Adobe PDF Only *
[Portal TEST.pdf 25293 bytes](#)

Description

Drafts and Submissions

The “Drafts & Submissions” tab shows documents that you save as a draft before submitting to FINRA. A draft is created the moment you click on the “Submit Documents” button. A draft can be deleted by clicking on the “Delete” link in the last column.






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



Messages Details Hearings Scheduling Payments Documents **Drafts & Submissions**

Drafts & Submissions

If using the Safari browser, turn off the Safari pop-up blocker to view the content and the attachments to these forms.

FORM TYPE	TRACKING NUMBER	FORM STATUS	FORM STATUS DATE	
Attachment	1229180	 Draft	09:19 AM 09/08/2014	Delete
Attachment	1224756	 Submitted	02:08 PM 08/19/2014	
Attachment	1219289	 Draft	11:13 AM 08/05/2014	Delete
Attachment	1193349	 Submitted	07:57 AM 07/15/2014	
Attachment	1167005	 Draft	09:31 AM 06/19/2014	Delete

Arbitration Cases and Mediation Cases

These home page menus take you to a page that lists all of the cases associated with the neutral.

The screenshot shows the 'My Arbitration Cases' page. At the top, there is a navigation bar with 'Home', 'Arbitration Cases', 'Mediation Cases', 'Messages (1 Unread)', and 'Profile'. Below this is a section for 'My Arbitration Cases' with sub-sections for 'Open/Inactive Cases (2)', 'View Open/Inactive Cases', 'View Closed Cases', and 'View All Cases'. A table lists two cases:

ID	Case Name	Status	Current Milestone	Filed On Date	Role	DR Staff
13-01754	Patrick James Ruffino vs. ABC Capital Markets, LLC	Open	Claim Served on Respondents	06/13/2013	Panelist	+ L. Lasher
13-00256	Billy S. Parmander and Caroline E. Parmander v....	Open	Claim Served on Respondents	01/24/2013	Panelist	+ L. Lasher

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.

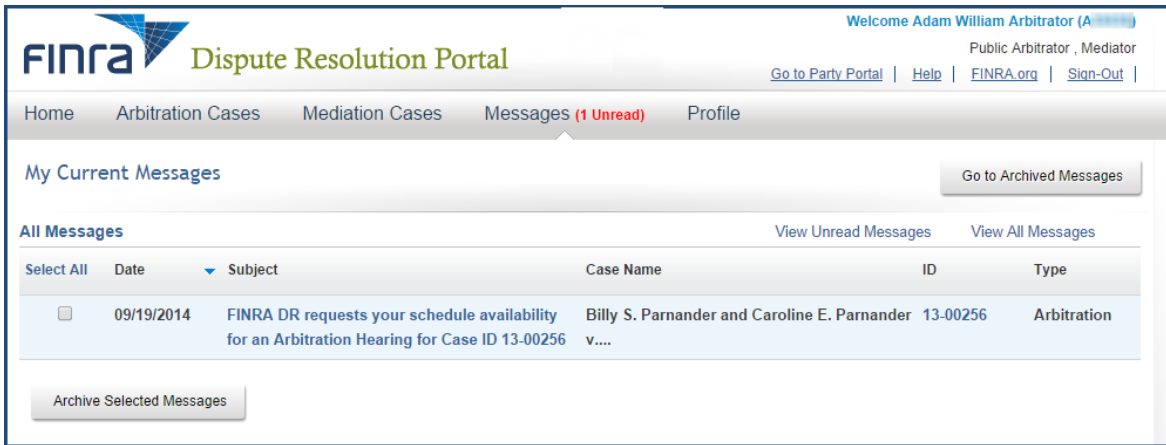
You can see every case on which you have served, regardless of whether the case resulted in an award. Clicking on any of these listed cases—open or closed—will display the same detailed case view and allow you to access the “Messages,” “Details,” “Hearings,” “Scheduling,” “Payments,” “Documents” and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

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 red 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.”

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.

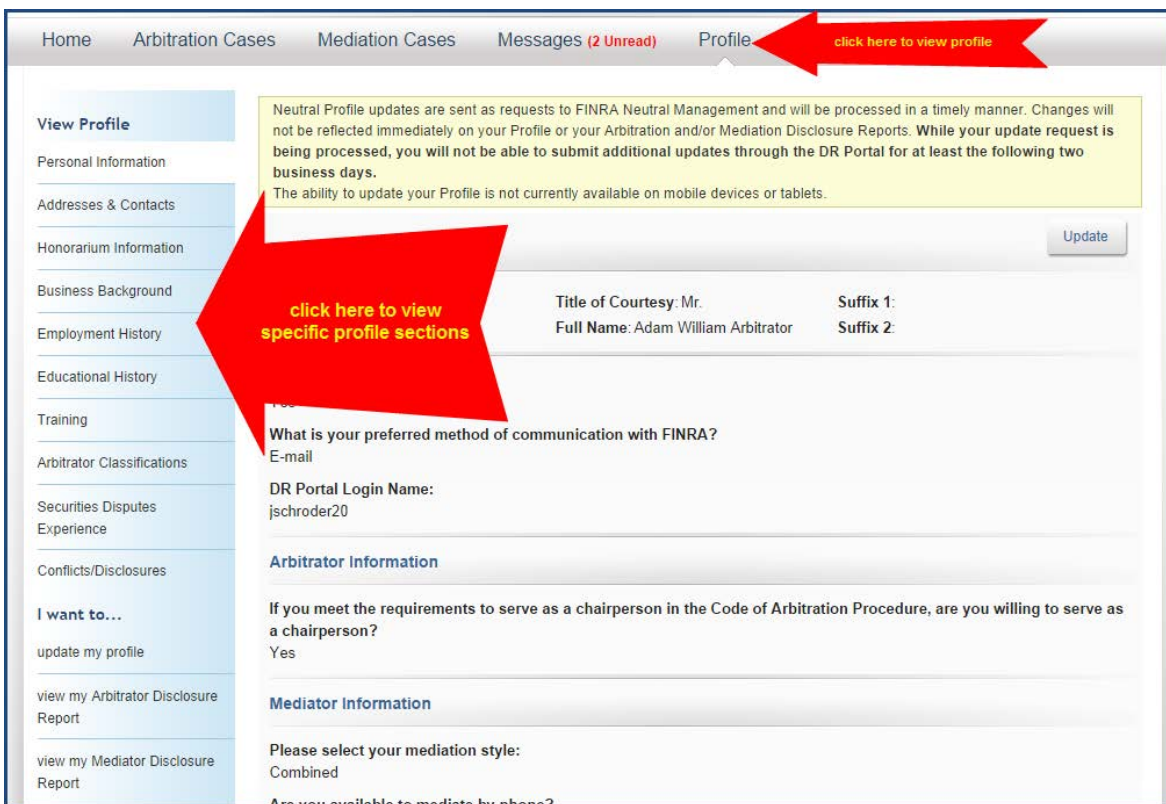
In addition, any announcements that you deleted from the Home page (by clicking on the **X** next to the announcement) can be found on the Archived Messages page.



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**.” You will see a PDF version of your disclosure report. You can also choose to print the report by selecting print from your browser menu or typing the “**control**” key and the “**p**” keys simultaneously.

The screenshot shows the user interface of the FINRA Dispute Resolution Portal. On the left, there is a sidebar with the heading "I want to..." and several menu items: "view my profile", "view my Arbitrator Disclosure Report", "view my Mediator Disclosure Report", "change my password", and "manage my account". Below this is a "Resources" section. On the right, there is a notification bar for "09/19/2014 - The DR Portal will be unavailable Friday, September...". Below that is a section for "My Current Arbitration Cases" with two entries: "13-01754 Patrick James Ruffino vs. ABC Capital Markets, LLC" and "13-00256 Billy S. Pamander and Caroline E. Pamander v....". Below that is a section for "Upcoming Arbitration Hearings" with a table:

Date	Time	Type	Location
09/22/2014	11:00 AM EST	Pre-hearing	+ Conference C

Neutral Profile Update

Neutrals can make updates to their disclosure reports through the portal. To update your profile please take the following steps:

1. Click on “**Profile**” in the heading bar.

The screenshot shows the heading bar of the FINRA Dispute Resolution Portal. It features the FINRA logo and the text "Dispute Resolution Portal". Below this is a navigation bar with the following links: "Home", "Arbitration Cases", "Mediation Cases", "Messages (2 Unread)", and "Profile". The "Profile" link is circled in green.

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 would like to submit your update sooner, you may send it by email to panelupdate@finra.org.

- The **Profile** page will open on the **Personal Information** tab. Click “**I want to....update my profile**” from the left navigation menu or the “**Update**” button. You **MUST** disable your pop-up blockers before opening the form.

Neutral Profile updates are sent as requests to FINRA Neutral Management and will be processed in a timely manner. Changes will not be reflected immediately on your Profile or your Arbitration and/or Mediation Disclosure Reports.

The ability to update your Profile is not currently available on mobile devices or tablets.

[Click here to update your profile](#)

Personal Information

Neutral ID: A12345 Title of Courtesy: Mr. Suffix 1:
 CRD Number: 0 Full Name: John Smith Suffix 2:

Are you an attorney?
 Yes

What is your preferred method of communication with FINRA?
 E-mail

DR Portal Login Name:
 jsmith

Arbitrator Information

I want to... [Click here to update your profile](#) meet the requirements to serve as a chairperson in the Code of Arbitration Procedure, are you
 update my profile [Click here to update your profile](#) to serve as a chairperson?
 view my Arbitrator Disclosure [Click here to update your profile](#) applicable

- 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 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 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.

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.

The screenshot shows a web form titled "Personal Information". At the top, a yellow banner reads: "Please provide any updates to your personal information. All questions marked as * are mandatory." Below this, the form contains several fields:

- Login Name**: jsmith30 (view only)
- E-mail**: jsmith@mail.com (view only)
- Title of courtesy**: Ms. (drop-down menu)
- First name ***: Mary (free text field)
- Last name ***: Smith (free text field)
- Suffix 1**: (drop-down menu)
- Suffix 2**: (drop-down menu)
- CRD Number (if applicable)**: (text field)
- Are you an attorney? ***: Radio buttons for Yes and No (No is selected)
- What is your preferred method of communication?**: A drop-down menu with options: Phone, E-mail, Fax, Mail, Phone.
- Comoros**: (drop-down menu)

Three red arrows point to specific fields with the following annotations:

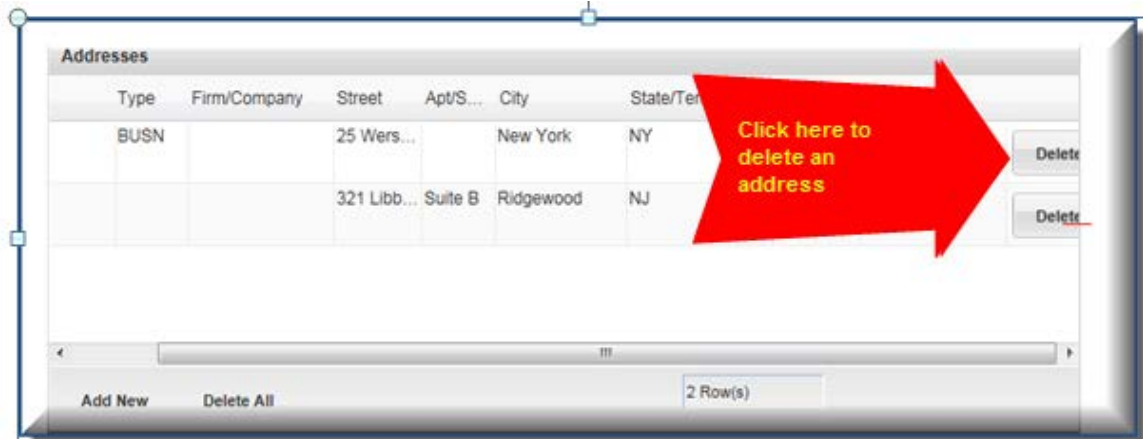
- An arrow points to the "Login Name" and "E-mail" fields with the text: "This information can not be edited".
- An arrow points to the "First name" field with the text: "Free text field".
- An arrow points to the "What is your preferred method of communication?" drop-down menu with the text: "Drop-down box".

Contacts and Honorarium

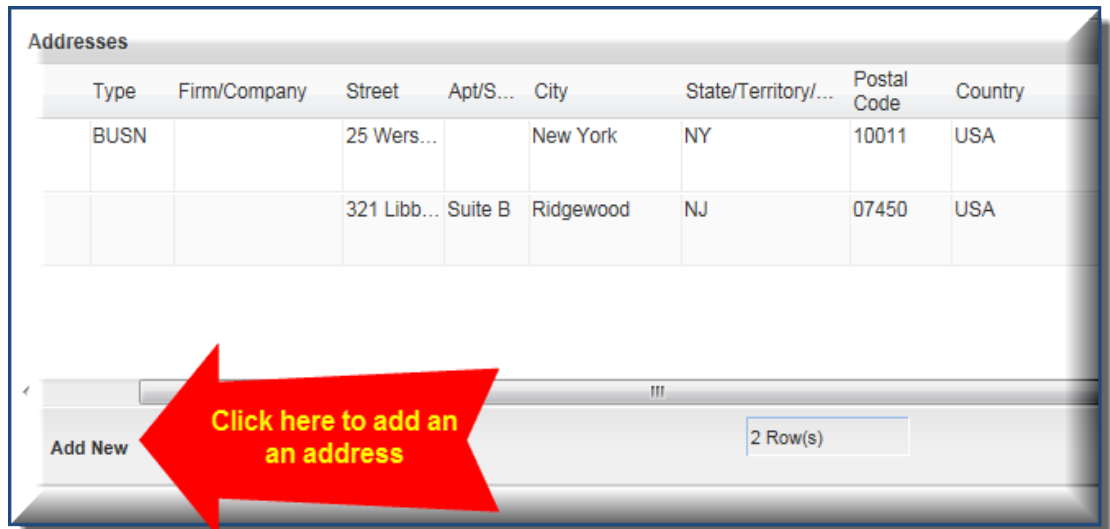
You can update your address and change which address should be the preferred address.

Addresses

1. You can also view the addresses on your list and delete any outdated addresses by using the “delete” button.



2. 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.

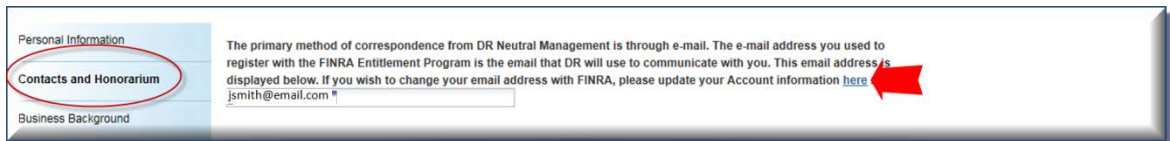


3. You can make similar changes to your **phone and fax numbers**.

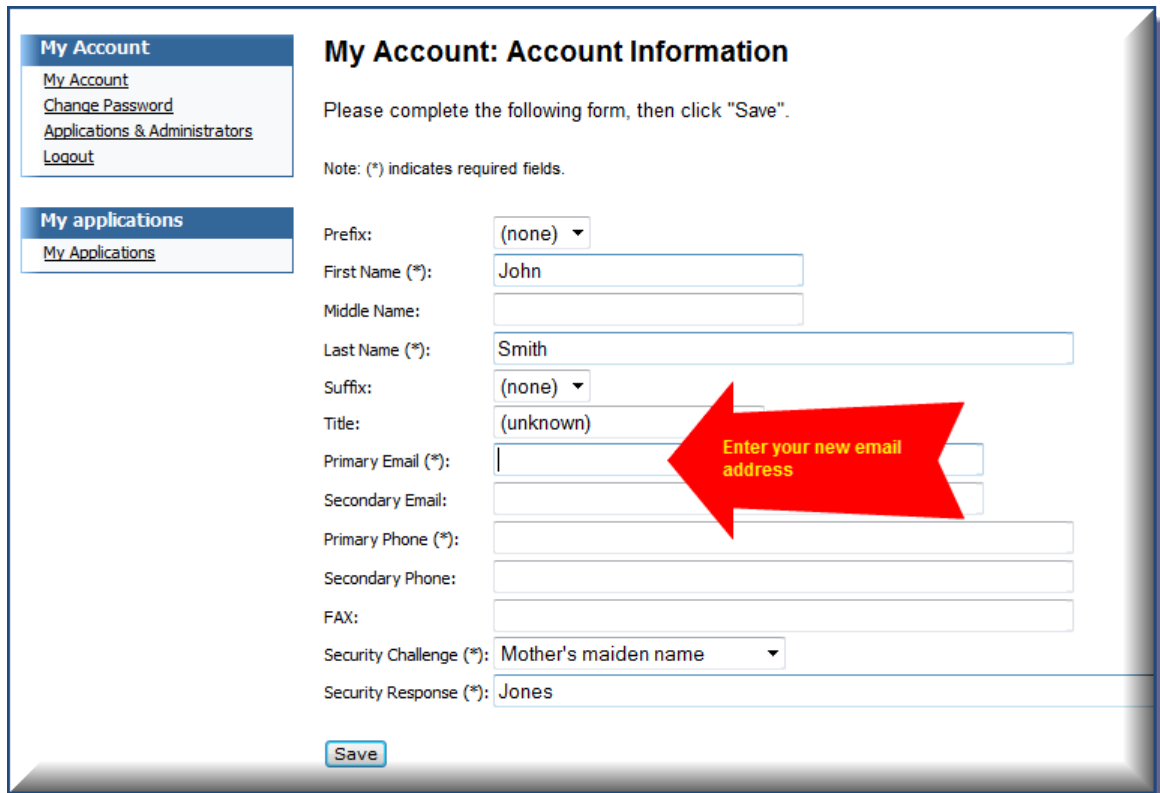
Email Address

Please note that you will not be able to change your email address by submitting a change through the portal. Your email address is tied to your FINRA portal login. Therefore, you can only change your email address by updating your account information in the portal.

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 email address and click **“Save.”**



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.

Business Background

All questions marked as * are mandatory.


Arbitrator Business Background

Please update the narrative summary of your business background. Please note that this narrative will appear as you have entered it on your Arbitrator Disclosure Report to parties. If you have made changes to other sections of your profile, please make corresponding changes in your business background statement. You may view sample business background statements  [here](#).

Note: This information will be made available to parties.

My law practice generally focuses on representing customers in securities disputes. Prior to opening my own firm, I worked as associate general counsel for a brokerage firm. I also have experience working at a large law firm as well as working on the regulatory side for the SEC. I am a member of the New York City Bar Association. I received my bachelor's degree at Bowdoin College and my JD at New York University. I recently received an LLM in taxation from Harvard Law School. I am a member of PIABA and SIFMA. I serve on the commercial litigation section of the NY State Bar Association.

You have 10000 character(s) left.



Free text field

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

Add New 4 Row(s)

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

- Arbitration;
- Mediation; or
- Other.

You should enter the name of the course under the “Details” field.

Arbitrator Classifications (action required)

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 controversies or 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.

Securities Disputes Experience

Please update or delete the types of securities-related disputes in which you have expertise and/or experience. You may add multiple entries. A text explanation is required for each addition and deletion.
You should rely on the expertise derived from your business, securities or employment experience, not wholly from any prior experience as an arbitrator. No areas of expertise/experience in securities will be listed on your record without such explanation.
All questions marked as * are mandatory.

a. Account Related


- Breach of Contract
- Dividends
- Margin Calls
- Transfer

b. Employment

- Age Discrimination

Please explain the basis for this expertise/experience. You should rely on the expertise derived from your business, securities or employment experience, not wholly from any prior experience as an arbitrator. *

You have 1000 character(s) left.



Conflicts/Disclosures (action required)

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.

Neutrals are under a continuing obligation to update this information and must disclose new relationships as they arise.
All questions marked with a yellow background are required.

Conflicts/Disclosures Detail

Disclosure/Conflict Type: Had an account with

Firm Name: XYZ Corp.

Firm CRD Number: 1234 [Find](#)

Details: ABC

Make Inactive

Explanation:
You have 3000 character(s) left.

[Add New](#) [Update Row](#) [Close](#)

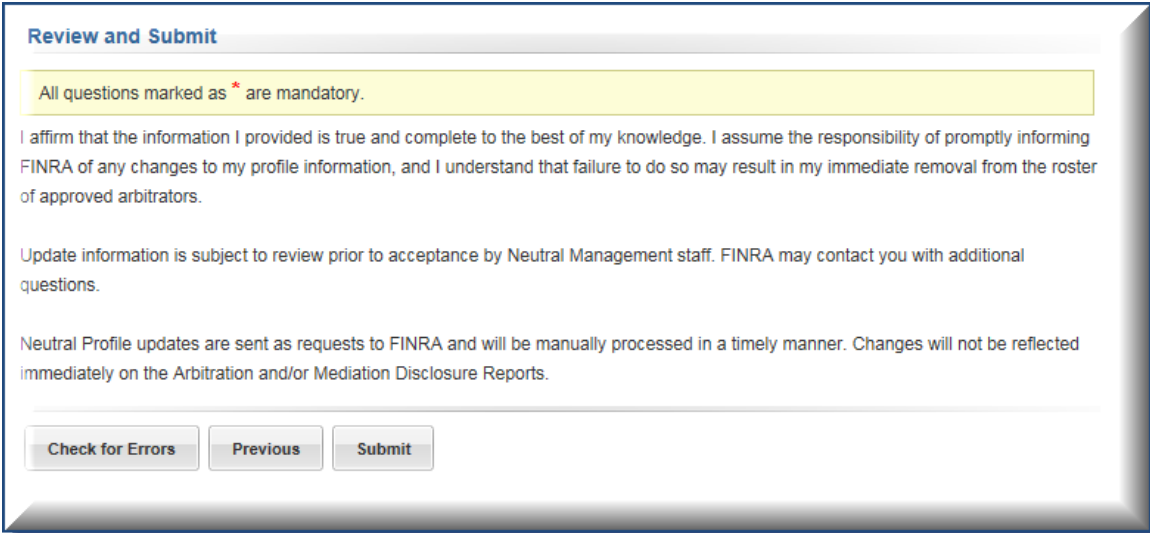
Note: A red arrow points to the 'Make Inactive' checkbox with the text: 'You can check the "Make Inactive" box.'

Accommodations

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

Review and Submit

Once you have entered your updates and provided the necessary explanations, you can submit your form by selecting the “Review and Submit” section of the form for the left hand menu. You must read the affirmation before hitting the submit button.



The screenshot shows a web form titled "Review and Submit". At the top, there is a yellow highlighted box containing the text: "All questions marked as * are mandatory." Below this, there is a paragraph of text: "I affirm that the information I provided is true and complete to the best of my knowledge. I assume the responsibility of promptly informing FINRA of any changes to my profile information, and I understand that failure to do so may result in my immediate removal from the roster of approved arbitrators." This is followed by another paragraph: "Update information is subject to review prior to acceptance by Neutral Management staff. FINRA may contact you with additional questions." Below that is a third paragraph: "Neutral Profile updates are sent as requests to FINRA and will be manually processed in a timely manner. Changes will not be reflected immediately on the Arbitration and/or Mediation Disclosure Reports." At the bottom of the form, there are three buttons: "Check for Errors", "Previous", 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. When you go back to these sections, you will see the fields to be corrected in red. You must correct the errors before the system accepts your update form.

To better help you navigate back to the form to fix your errors, you can select the “Print” button to print out the error message.

Review and Submit

All questions marked as * are mandatory.

I affirm that the information I provided is true and complete to the best of my knowledge. I assume the responsibility of promptly informing FINRA of any changes to my profile information, and I understand that failure to do so may result in my immediate removal from the roster of approved arbitrators.

Update information is subject to review prior to acceptance by FINRA management staff. FINRA may contact you with additional questions.

Neutral Profile updates are sent as requests to FINRA and are processed immediately on the Arbitration and/or Mediation Disclosure page. Updates will not be reflected.

Check for Errors Previous Submit

Validation Errors

Print

-Arbitrator Classifications: You need to click the checkbox to agree that the answers provided in this section are accurate.

-Conflicts/Disclosures: You need to click the checkbox to agree that the answers provided in this section are accurate.

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.

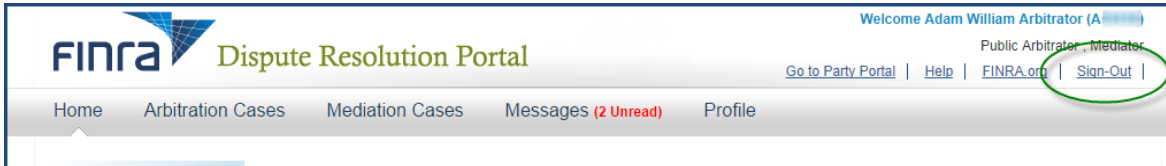
When Will the Updates Appear in Your Profile?

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.

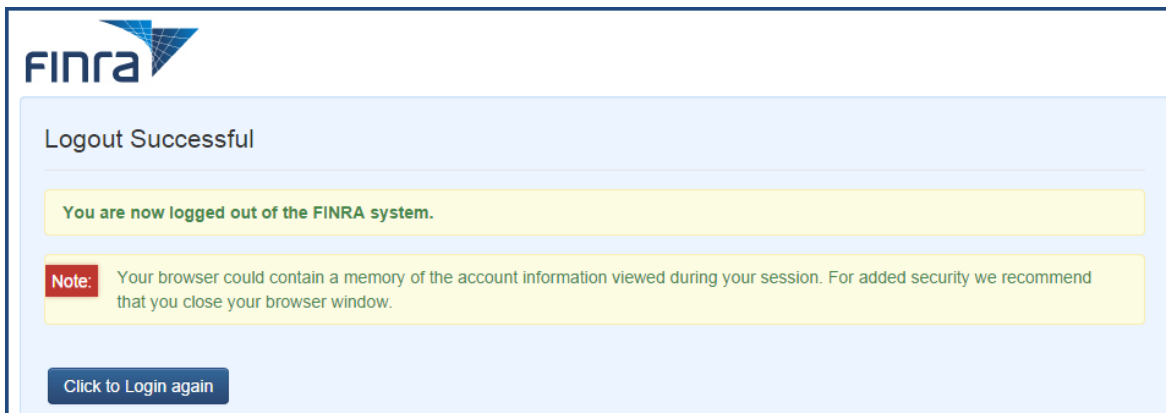
If you recently submitted an update through the portal, and we have not processed the form yet, you will not be able to submit a new update through the portal. You can send it by email to panelupdate@finra.org or fax at (301) 527-4910.

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**.