



## Order on Request for Direct Communication between Parties and Arbitrators

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### FINRA DISPUTE RESOLUTION

ORDER ON REQUEST FOR DIRECT COMMUNICATION BETWEEN PARTIES AND ARBITRATORS IN THE MATTER OF:

CASE #: \_\_\_\_\_

CLAIMANT(S): \_\_\_\_\_

RESPONDENT(S): \_\_\_\_\_

1. An in-person ☐ or telephonic conference ☐ was held on \_\_\_\_\_.
2. At that conference, all named parties requested that the Panel grant their request to (circle selection that applies):
  - a. Proceed under the Direct Communication Rule in the FINRA Codes<sup>1</sup>.
  - b. Direct party and arbitrator communication solely to alert the panel that the parties have settled the case, that the claimant has withdrawn the claim, or that the parties jointly agreed to postpone the hearings.
3. The panel (circle selection that applies):
  - a. Grants the request for direct communication between the parties and arbitrators.
  - b. Grants the request for direct party and arbitrator communication solely to alert the panel that the parties have settled the case, that the claimant has withdrawn the claim, or that the parties jointly agreed to postpone the hearings. This arrangement prevents arbitrators from unnecessarily traveling to a cancelled hearing.
4. The parties shall transmit the following correspondence directly to the arbitrators:
  - a. Motion to \_\_\_\_\_,  
including any response, reply, and sur-reply.
  - b. Briefs on \_\_\_\_\_,  
including any response, reply, and sur-reply.
  - c. Other \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_.

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<sup>1</sup> Customer Code: Rule 12211; Industry Code: Rule 13211; Old Code: Rule 10334

5. All parties are hereby instructed that they **may not** have any direct contact with the arbitrators in connection with any request to remove any member of this arbitration panel (including challenges for cause, Director's authority to disqualify challenges, or requests to arbitrator to voluntarily withdraw). Such requests should be sent to the FINRA Dispute Resolution case administrator assigned to this matter, with copies to all other parties.
6. The parties shall use the following method of transmission (e.g., facsimile, electronic mail, overnight courier, or U.S. mail): \_\_\_\_\_
7. The electronic mail/fax/mailling addresses for all named parties and all arbitrators are as follows: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
8. Parties must send documents that exceed 15 pages to FINRA Dispute Resolution only by U.S. mail or overnight courier, even if the parties agree to use the fax as the method of transmitting documents.
9. The parties shall send all correspondence identified in this Order on the same day and by the same method of transmission to all parties and arbitrators.
10. All parties agree to notify the FINRA Dispute Resolution if the party is no longer represented by counsel. If counsel no longer represents a party, this Order is automatically rescinded and all parties shall cease direct communication with the arbitrators and direct all communication to the assigned FINRA Dispute Resolution case administrator, with the appropriate number of copies for distribution to the arbitrators.
11. This Order will remain in effect unless amended by the arbitration panel, canceled upon written notice by a party or an arbitrator, or as provided in Paragraph 10.

Dated:

\_\_\_\_\_  
Chairperson  
On Behalf of the Panel

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