FINRA Dispute Resolution

Online Arbitration Claim Filing System

User Guide

May 2013

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Change History

The following is a brief summary of the changes made to this User Guide:

05/20/2013 May 2013

- Removed form template creation feature. Added ability to file Rule 13802 statutory employment discrimination claims and Rule 13804 injunctive relief claims.

07/23/2012 July 2012

- Updated text in Section 5 to support the rule change raising the limit for simplified arbitration from $25,000 to $50,000.

05/12/2012 May 2012

- Updated some website URLs for Web content that changed location.
- Added a note in Section 7 about protecting personal confidential information.
- Updated language related to online payment (page 42).

10/08/2011 October 2011

- Added My Account button at the top of the form page to allow updates to account profile information and password.

4/16/2011 April 2011

- Added ability to select the panel selection method for customer cases decided by three arbitrators (Form Section 5b).
- Added a note that only credit cards associated with an address in the United States can be used for online payment.

1/22/2011 January 2011

- Added ability to pay filing fees online by ACH bank transfer after submitting claim (Form Section 6b).
- Added ability to select which claimant party should receive credit for the filing fee payment in case of a refund.

12/18/2010 December 2010

- Changed the way self-registration works when creating a new user account (Chapter 2).

09/25/2010 September 2010

- Added ability to pay filing fees online by credit card after submitting claim (Form Section 6b).
- Other minor text changes associated with online payment.
- Added ability to indicate that hard-copy documents will be mailed to FINRA after online claim submission is complete.
- Changed system requirements to indicate that Internet Explorer 7 or Firefox 3 are supported. Older versions of these browsers are no longer officially supported.

05/24/2010 May 2010

- Significant changes to the way claimant representatives are entered (Form Section 2b).
- Simplified entry of dispute types and security types (Form Section 3).
- New Form Section 8 - Electronic Submission Agreement.

09/02/2009 Version 2.3

- Added Registered Trademark symbol to FINRA brand. No other changes made.

03/30/2009 Version 2.2

- Changed “Uniform Submission Agreement” to “Submission Agreement”.

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- Made updates to explain that all claim documents can be submitted electronically.
- Updated Chapter 4, Section 5 to comport with amendments to FINRA Rule 12401 of the Code of Arbitration Procedure for Customer Disputes and FINRA Rule 13401 of the Code of Arbitration Procedure for Industry Disputes to raise the amount in controversy for appointing a single chair-qualified arbitrator to $100,000.
- Updated screen shots and made various other minor updates to match revisions to the form pages.

09/15/2008 Version 2.1
- Revised desired format of electronic Statement of Claim attachment in Chapter 4, Section 7.

03/10/2008 Version 2.0
- Numerous updates and additions for revamped online claim form.

10/12/2007 Version 1.6
- Updated text, hyper-links and updated screen-shots for FINRA Branding.

04/1/2007 Version 1.5
- Updated to reflect changes to Form Filing Cabinet in Chapter 3.

02/01/2006 Version 1.4
- Updated Chapter 3, per Rule change to Rule 10217 of the Code of Arbitration Procedure, effective January 17, 2006. Persons Associated with Member Firms **cannot** use the Online Filing system to initiate claims for employment discrimination pursuant to Rule 10201 of the NASD Code of Arbitration Procedure (Code).

11/30/2005 Version 1.3
- Replaced all references to askNASD with FINRA Frequently Asked Questions (FAQ's). Updated Chapter 2, Figure 2.1 "Browse By Topic."
- Updated Masthead Links section in Chapter 3, and replaced Figure 3.1 with current FINRA Masthead.

05/27/2005 Version 1.2
- Removed the indication that the year of the Period of Dispute is required in Chapter 4, Section 1.
- Removed the detailed description of using the Fee Calculator in Chapter 4, Section 7a: Fee Calculation, since the Fee Calculator now automatically interacts with the Form.

10/08/2004 Version 1.1
- Added a description of the new "Pop-up Help Icons" at the beginning of Chapter 4.
- Added Chapter 5 and updated Chapter 4, Section 8 regarding the submission of a Statement of Claim file electronically via a new file upload service that replaces the former e-mail process.

08/05/2004 Version 1.0
- Initial release.

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Chapter 1: Introduction

What is FINRA Dispute Resolution?

FINRA Dispute Resolution (FINRA DR) operates the largest securities dispute resolution forum in the world. FINRA facilitates the efficient resolution of monetary, business, and employment disputes between investors, securities firms, and employees of securities firms. We offer both arbitration and mediation services through a network of offices across the United States. FINRA handles employment and business disputes within the industry, as well as a wide variety of investment disputes involving stocks, bonds, options, mutual funds and other types of securities.

Today, FINRA is known as the largest and most effective dispute resolution forum in the securities industry – handling virtually all such arbitrations and mediations in the United States. FINRA recruits, trains and manages a large roster of neutral arbitrators, mediators and administrators. FINRA DR maintains a diverse roster of approximately 6,200 arbitrators and 300 mediators who are carefully selected from a broad cross-section of people diverse in culture, profession, and background. Much more detail regarding the FINRA dispute resolution process can be found here: http://www.finra.org/ArbitrationAndMediation/FINRADisputeResolution/MoreonFINRADisputeResolution/

Overview of the Online Arbitration Claim Filing System

All claim documents can be completed using the Online Arbitration Claim Filing system (referred to as "Online Filing System" or just "Online Filing"). One document, the Claim Information Sheet, is a brief, high-level overview of your claim. When a paper Claim Information Sheet is submitted, much of the information is re-keyed by FINRA DR staff into our internal system in order to process the claim. However, when the Online Filing System is used to provide this information, it can be automatically loaded into the FINRA DR system, expediting the initial processing of the claim. Any party who wishes to submit an arbitration claim may use the online system. Using the system, a party can:

- Complete an online Claim Information Form;
- Submit a Statement of Claim, signed Submission Agreement, and other supporting documentation electronically,
- Pay the filing fee online;
- Generate a printable receipt with tracking number;
- Save multiple partially completed claims and return to them later (Note: partially completed forms must be saved at least once every 60 days or the form will automatically be deleted).

For more information regarding the online filing process, or to provide feedback on the online system, visit the FINRA Dispute Resolution website at http://www.finra.org/ArbitrationMediation/index.htm, click on the "Arbitration Online Claim Filing" link under the "Most Viewed" heading, and then click on the "Frequently Asked Questions" link.

Website Security and Configuration Requirements

The Online Filing System uses a combination of user ID/password protection and Secure Sockets Layer (SSL) encryption to protect the data that is being transferred between the client and FINRA. In order to access the Online Filing website, you must register to use the product and select a password. The minimum requirements for using the system are:

- Access to the Internet (Internet Explorer 7.0 or greater, or Firefox 3.0 or greater preferred); and
- A screen resolution of 800x600 (1024x768 preferred).

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Entering Information on the Form

Throughout this User Guide you will be instructed to enter information in several different ways. The following terms are used to describe the data-entry methods:

Textbox

A textbox (sometimes called a "field") allows you to type letters or numbers into it. Some textboxes limit you to just letters or just numbers. Pressing the **Enter** key or the **Tab** key on your keyboard will move your cursor out of the textbox. You can clear the text out of the box by using the **Delete** or **Backspace** keys on your keyboard.

Figure 1.1 – Textbox

Dropdown List

A dropdown list looks like a textbox with a small button on its right-hand edge containing an arrow pointing down. Sometimes, the textbox portion already contains information. This would be your "default selection" if you did not touch the dropdown list. Other times, the textbox will be blank or say something like "Make a selection". In these cases, click on the down-arrow button to open up a list of choices. If the list is long enough, a "scroll bar" will appear on the right-hand edge of the list, allowing you to scroll up and down to view the entire list of choices. Select one of the choices by clicking on it. The dropdown list will close and your selection will appear in the dropdown list textbox.

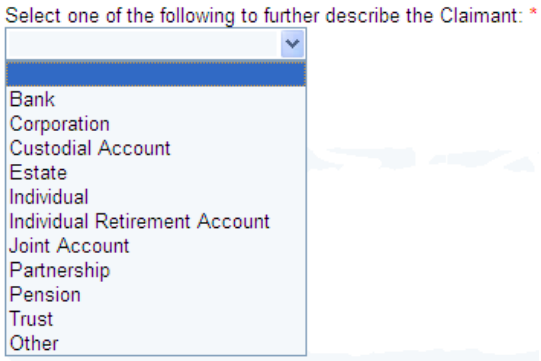

Figure 1.2 – Dropdown List

Checkbox

A checkbox allows you to select an item by clicking on the small box next to the item. When the box is "checked", it will have a small checkmark in the middle of it. You can de-select the checkbox item by clicking on the small box again, removing the checkmark. Checkboxes are typically for optional items that you can either check or leave empty. You are also able usually to select multiple checkbox items in a group of items.

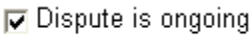

Figure 1.3 – Checkbox

Multi-Selection Control

A multi-selection control allows you to make one or more selections at a time. Items in the upper box are available for selection. Click on an item in the upper box to select it, and then click on the **Add** button to copy the item to the lower box. Items in the lower box list your current selections. Clicking on the **Add All** button copies all of the items from the upper box to the lower box; clicking **Remove All** removes them. When you have finished making selections, click the **Close** button to close the control.

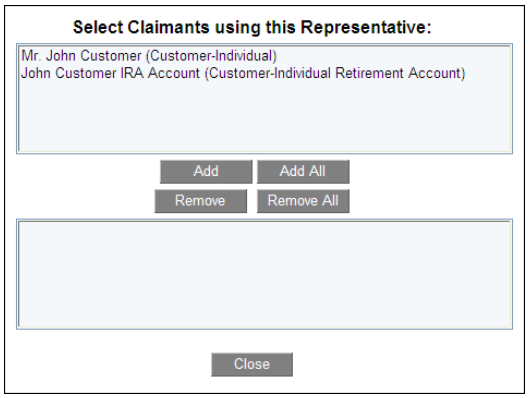

Figure 1.4 – Multi-Selection Control

Calendar Control

A calendar control allows you to enter a date either by typing directly into the text box portion of the control, or by clicking on a small pop-up calendar. You can move from month to month clicking on the **left arrow** and **right arrow** buttons, select a month by clicking on the month dropdown arrow, and select a year by clicking on the year dropdown arrow. When entering the date directly, use the mm/dd/yyyy format.

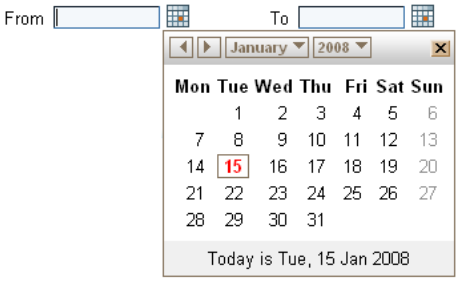

Figure 1.5 – Calendar Control

Radio Button

A radio button allows you to select an item by clicking on the small circle next to the item. When the circle is selected, a solid "dot" will appear in the middle of the circle. Usually, you can only de-select a radio button item by selecting a different item in the same list. Clicking again on the selected radio button item will not de-select it. Radio buttons are typically used for mandatory items that require you to make a single choice from among several items. You are only allowed to select one radio button item in a group of items. Selecting a different item will de-select the previously selected item.

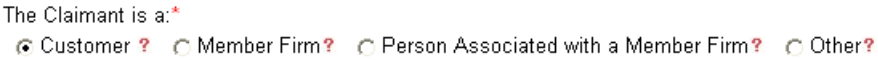

Figure 1.6 – Radio Buttons

Button

A button performs some kind of action on the form. Clicking once on the button will perform the action. Try not to "double-click" on buttons, because that sometimes causes them to perform their action twice. In this User Guide, buttons will be named in **bold text**.

Figure 1.7 – Buttons

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Chapter 2: Logging onto the Online Filing System Using Enterprise Web Security (EWS)

System Availability

The Online Filing System is available 24 hours a day, 7 days a week. However, it is possible that the system may become unavailable if maintenance is being performed.

Getting Help

Besides this User Guide, there are two ways to get help: the FINRA Help Desk and the FINRA Frequently Asked Questions list.

FINRA Help Desk

If you have a technical problem or question regarding the Online Filing System, you can call the FINRA Help Desk at (800) 321-6273. This number should be used for issues such as:

- Problems accessing the Online Filing website;
- A forgotten User ID or password; or
- Error messages received when accessing or completing the form.

This number should **NOT** be used when you have a question about the information requested on the form itself.

FINRA Frequently Asked Questions

For questions regarding the content of the form:

1. Visit the FINRA Dispute Resolution website at http://www.finra.org/ArbitrationMediation/index.htm
2. Click on the "Arbitration Online Claim Filing" link under the "Most Viewed" heading
3. Then click on the "Frequently Asked Questions" link.

If none of the current FAQ's are helpful, then you may submit your question to a FINRA subject-matter expert by emailing claimhelp@finra.org, who will respond to your inquiry as quickly as possible, typically within 24 hours. You can also contact FINRA Dispute Resolution during normal business hours by calling 212-858-4200.

Creating an Online Filing Account

In order to submit an arbitration claim online, it is necessary to register and create an account. This account can be used each time you submit a claim, or to return to the partially completed claims that you have saved. It is not necessary to register over and over for each claim.

1. Enter the FINRA Online Filing Website, http://www.finra.org/ArbitrationMediation/index.htm.
2. Click on the "Online Claim Filing" link under the "Most Viewed" heading
3. Click the purple **Login – Online Claim Filing** button to go to the Online Filing login page.

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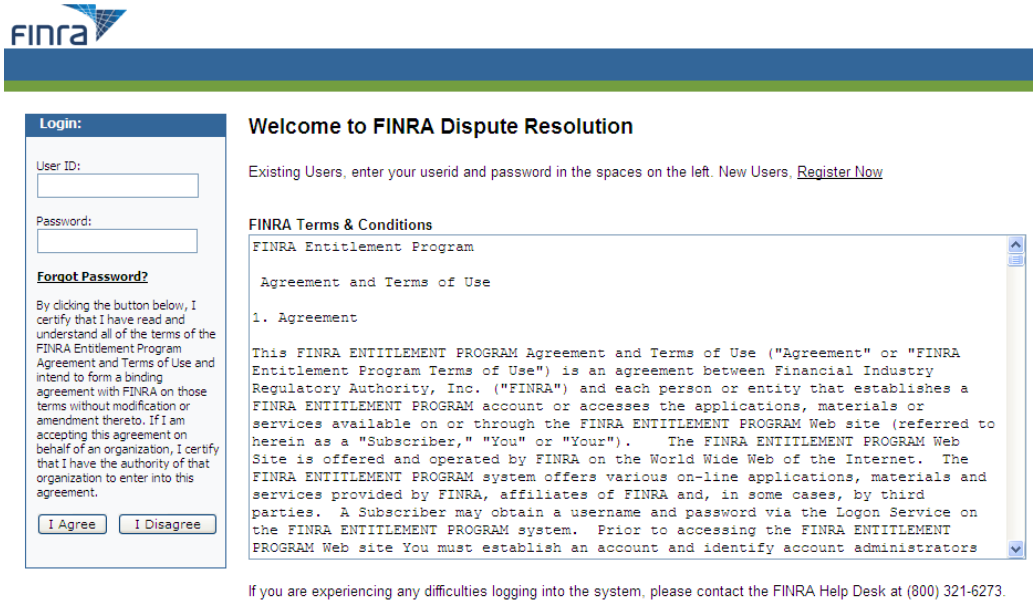

Figure 2.1 – Online Filing Login Page

4. Under the "Welcome to FINRA Dispute Resolution" heading where it reads, "Existing Users, enter your userid and password in the spaces on the left. New Users, Register Now", click on the "**Register Now**" link. This takes you to the registration page.

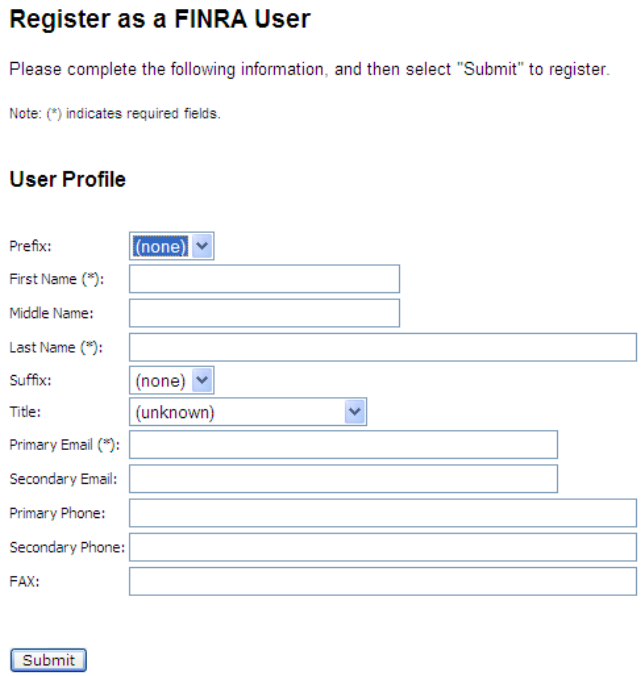

Figure 2.2 – Registration User Profile

5. Enter your personal information into the "User Profile" section and click the **Submit** button. You will be assigned a User ID. Please remember this User ID.

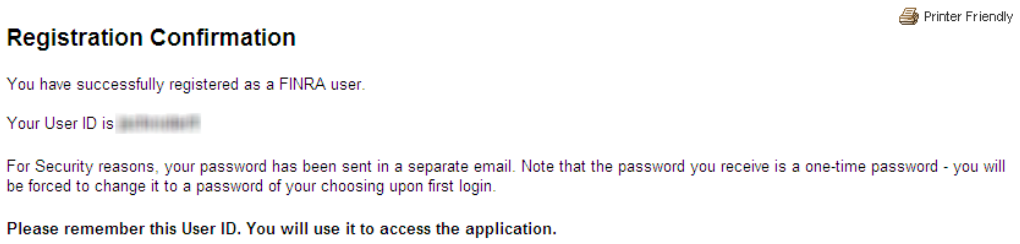

Figure 2.3 – Registration Confirmation

6. You will be sent an email to the address you entered in your profile containing a one-time password along with a link to log into your account at FINRA. Open the email and click on the link. You will be taken back to the Login page.
7. Read the FINRA Terms and Conditions text, and then enter your User ID and the one-time password in the left-hand panel.
8. If you accept the terms and conditions of the FINRA Entitlement Program Agreement and Terms of Use, click the **I Agree** button to log into the system.
9. You will be asked to reset your password. Re-enter your current one-time password in the Current password box.
10. Enter a new password that meets the listed security criteria.
11. Select a security challenge question and then enter the correct response to the question.
12. Click on the **Continue** button.
13. Your password will be reset to your new permanent password. Click the **Continue** button to log in.

On subsequent visits to the Login page, you will only be required to enter your User ID and password, and then click the **I Agree** button. Do not re-register each time you want to log in.

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Chapter 3: Using the Online Arbitration Claim Filing System

Before You Start

The Online Filing System allows you to provide FINRA Dispute Resolution with an electronic summary of information concerning your claim.

The information that you provide on the Online Claim Information Form will be subject to verification and correction based on our review of the Statement of Claim that you will also submit. Any inconsistency between the Statement of Claim and the Claim Information Form will be resolved in favor of information contained in the Statement of Claim. In certain cases, you may receive a letter or a telephone call from FINRA in order to clarify information or inconsistencies in your documents.

NOTE: When you submit an Arbitration Online Claim Information Form, your arbitration claim will be considered filed with FINRA Dispute Resolution. However, you must submit all of the documents required by Code of Arbitration Procedure Rule 12302 for Customer Disputes and Rule 13302 for Industry Disputes, as well as filing fees specified by Rule 12900 for Customer Disputes and Rule 13900 for Industry Disputes in order for your claim to be processed.

You can submit everything necessary for your claim online, including:

- The Statement of Claim
- Exhibits to the Statement of Claim
- The signed Submission Agreement
- Payment for the filing fees, or a request for a hardship waiver of the filing fees (with required documentation)

Online Filing Tool Buttons

The gray buttons underneath the FINRA masthead are accessible on each of the pages of the Online Claim Information form.

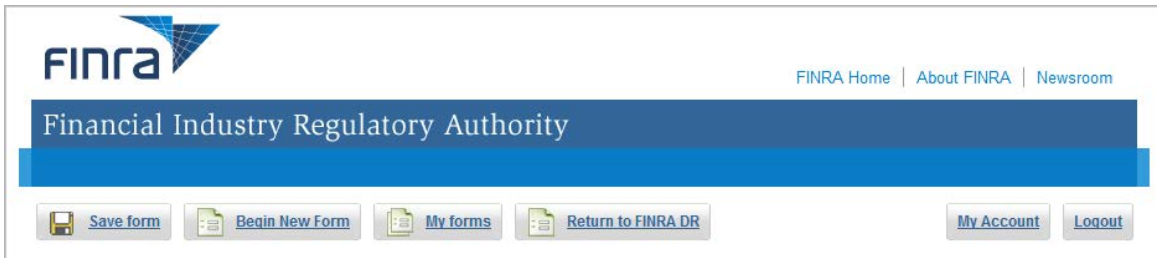

Figure 3.1 – Online Filing Tool Buttons

<u>Save form</u>
Saves your in-progress form so that you can return to it later.

<u>Begin New Form</u>
Allows you to start a new, blank form. If you are currently working on a form, you will be asked if you want to save your data before beginning a new form. You will then be prompted to provide a description of the new form you are about to create.

<u>My forms</u>
Takes you to your "Form Filing Cabinet", which lists all of your in-progress and submitted forms. If you are currently working on a form, you will be asked if you want to save your form before going on. The Form Filing Cabinet is described in more detail below.

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Return to FINRA DR
Takes you to the FINRA Dispute Resolution Home Page. You will be asked if you want to save your data before you exit the form.

My Account
Takes you to the Account Information page in a separate browser window. Here you can change your information or click on the Change Password link to update your password. When you are finished, click the **Save** button. DO NOT click the Logout link or you will be logged out of your Online Claim Filing form in your other browser window. Just close this browser window after you have saved your changes.

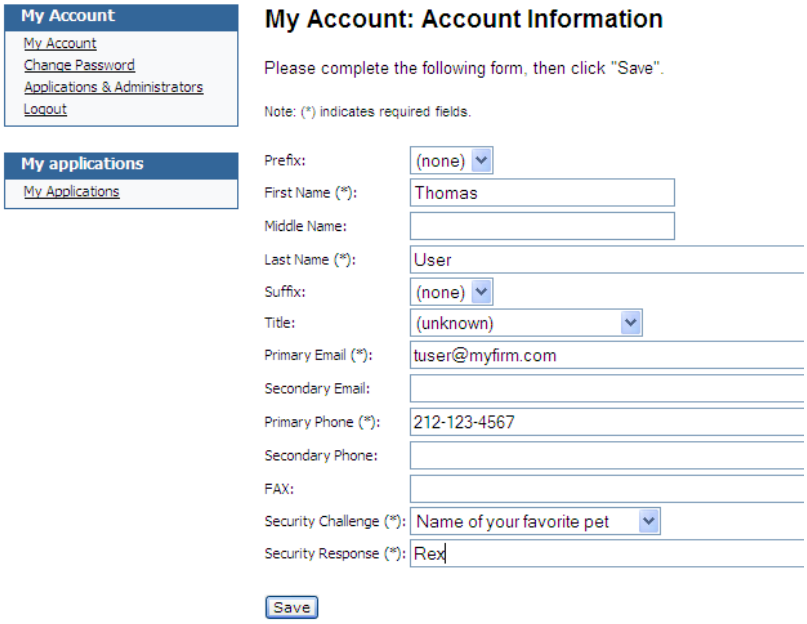

Figure 3.2 – Account Information Update Window

NOTE: The My Account button is only available while you are working on an Online Claim Filing form.

Logout
Logs you out of the Online Filing system. Clicking this link causes a window to pop up asking if you would like to save your data.

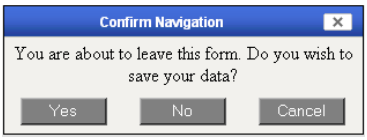

Figure 3.3 – Logout Confirmation Window

Click **Yes** to save your data and exit the form. Click **No** to exit the form without saving. Click **Cancel** to continue working on the Online Claim Information Form.

IMPORTANT NOTE: If you are logged into the system but do not perform any actions for a period of time, the system will time out and log you off automatically. If this happens, it is possible that you may lose some data if you had not saved it.

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Form Filing Cabinet

The Form Filing Cabinet stores all of your in-progress and previously submitted Claim Information Forms as well as your saved templates. You can access the Filing Cabinet by clicking on the "My forms" button at the top of the form.

TIP: The first time you use the Online Filing system, you may not see the Form Filing Cabinet. You will be taken directly to a blank Claim Information Form so that you can immediately begin completing it. In fact, you will not be automatically taken to the Form Filing Cabinet until you have more than one form currently in progress. You can get to the Filing Cabinet by clicking on the "My forms" button at the top of your form.

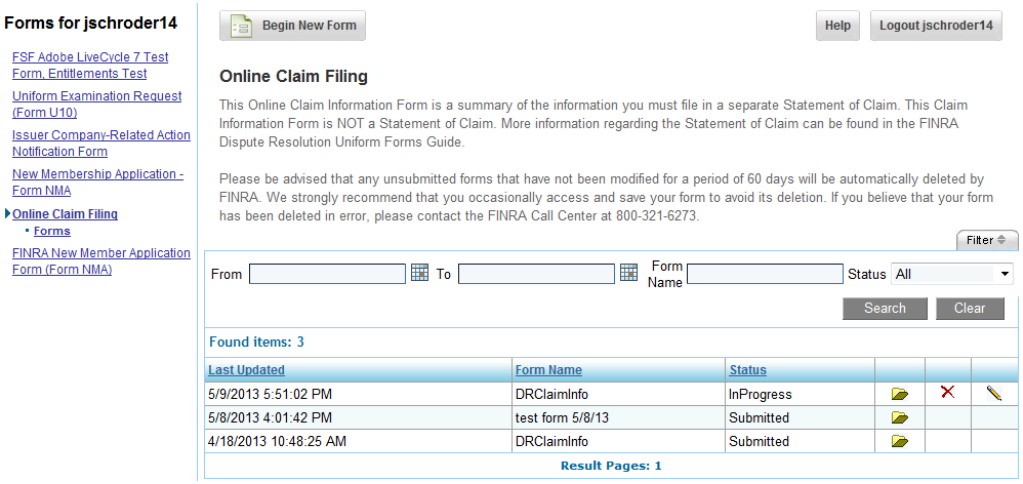

Figure 3.4 – Form Filing Cabinet Page

Forms

Clicking on the Forms left-hand menu item causes the main right-hand panel to list all of your in-progress and previously submitted forms. It lists the date and time you last worked on the form, the descriptive name you gave the form, the status of the form (in-progress or submitted), and provides three action icons:

"Folder" icon	Opens the form for editing. If the form was already submitted to FINRA, (status = Submitted), then you can only view the form, not edit it.
Red "X" icon	Deletes the form.
"Pencil" icon	Allows you to edit the form name you gave to the form. Newly created forms are defaulted to a description of "DRClaiminfo." You can change this with the pencil icon. After you change the form name, click the "Save" icon (the computer disk). If you wish to cancel your edit, click the "Cancel" icon (the pencil with the red slash through it).

NOTE: If you partially complete and save a form and then do not work on it for more than 60 days, the form will be deleted from your Filing Cabinet.

Searching for Forms in the Filing Cabinet

If you have many saved and completed forms in your Filing Cabinet, you can use the search fields to filter your list. Use the "From" Date, "To" Date, "Form Name", and "Status" fields and then click the **Search** button.

Chapter 4: Completing the Claim Information Form

Once you have logged on to the system and opened a Claim Filing Form, you may begin to enter information in the form as requested.

Pop-up Help Icons

Some of the data fields have a small "question mark" Help Icon next to their title. If you click on the Help Icon, a separate window will open, displaying some helpful text describing the field.

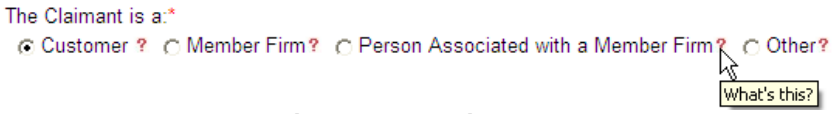

Figure 4.1 – Help Icon

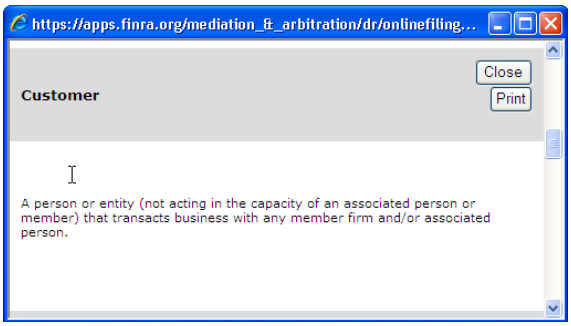

Figure 4.2 – Help Window

This window actually displays all of the help files for every described field on the Claim Information Form. Clicking on a particular Help Icon causes the system to scroll to the appropriate definition. However, you can use the scroll bar on the right-hand edge of the window to browse through all of the definitions. In addition, you can click on the **Print** button to have all of the definitions printed. Click on the **Close** button to close the help window.

Section 1: Period of Dispute

Start Date

Enter the date that the alleged dispute began. If you are unsure of the exact date, just enter the year.

End Date

Enter the date that the alleged dispute ended. If you are unsure of the exact date, just enter the year. If the activity that you are disputing is still occurring, then instead check the "Dispute is ongoing" checkbox.

> **NOTE:** Do not check "Dispute is ongoing" if the activity is no longer occurring. This box is not intended to mean, "My dispute is ongoing, because I haven't resolved my dispute yet."

Once you have entered the Start and End dates, click on the **Continue** button.

> **IMPORTANT NOTE: DO NOT use your browser's "Back" and "Forward" buttons to move between pages of this form.** The browser's buttons do not properly save data when changing pages. Instead, **ALWAYS USE** the **Previous** and **Continue** buttons provided on the form itself. Failure to do this may lead to lost data that you will have to re-enter.

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Section 2: Parties

2a: Claimants

A claimant is any individual or legal entity seeking relief. If you are claiming that another individual or brokerage firm has damaged you in some way, then **you** are the Claimant. In instances where there are multiple claimants of identical type and ownership (e.g., multiple IRA accounts owned by the same individual), treat all of the identical entities as one claimant. In instances where there are multiple claimants of identical type but different ownership (e.g. John Smith as owner of his individual accounts, John Smith as trustee for Jane Smith, etc.), treat each of the entities as different claimants.

When you begin the Claimant Entry section, "Claimant 1" is already open, waiting for you to complete. Enter all of the information for Claimant 1, beginning with Claimant Type.

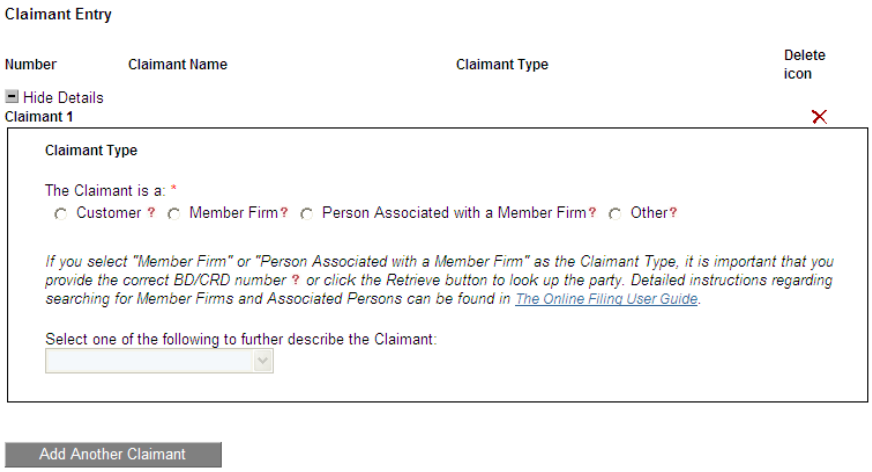

Figure 4.3 – Claimant Entry

<u>The Claimant is a: (Required)</u>

Click on the radio button next to the type of claimant that you are entering:

Claimant Type	Description
Customer	A person or entity (not acting in the capacity of an associated person or member) that transacts business with any FINRA member firm or associated person.
Member Firm	The term "Member" means any broker or dealer admitted to membership in FINRA, whether or not the membership has been terminated or cancelled; and any broker or dealer admitted to membership in a self-regulatory organization that, with FINRA consent, has required its members to arbitrate pursuant to the Code and/or to be treated as members of FINRA for purposes of the Code, whether or not the membership has been terminated or cancelled.
Person Associated with a Member Firm (also known as an "Associated Person" or "AP")	An associated person is a natural person who is registered or has applied for registration under FINRA Rules; a sole proprietor, partner, officer, director, or branch manager of a member, or other natural person occupying a similar status or performing similar functions; or a natural person engaged in the investment banking or securities business who is directly or indirectly controlling or controlled by a member, whether or not any such person is registered or exempt from registration with FINRA.
Other	It is important that you only use "Other" after all attempts to look up a Member Firm or Associated Person on CRD have failed (see How to Perform a CRD Search below).

Figure 4.4 – Claimant Types

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Further Describe The Claimant (Required for "Customer" or "Other")
If you selected a Claimant type of either "Customer" or "Other", you will be presented with a drop-down list box asking for additional descriptive information. Select the option that best describes the Claimant type from the choices in the drop-down list.

Claimant Name (Required)
If you selected a Claimant type of either "Customer" or "Other", you will be required to enter the name of the Claimant.

If you selected a Claimant type of either "Member Firm" or "Person Associated with a Member Firm", you will provide the name by "searching" for the party in the CRD database. You must either provide the claimant's FINRA Broker-Dealer ("BD") number or FINRA Central Registration Depository ("CRD") number respectively.

What is a BD Number/CRD Number?

FINRA gives each securities firm and each Associated Person (broker) a Broker-Dealer number (BD number) or Central Registration Depository number (CRD number) in the Central Registration Depository when they register with FINRA. Collectively, these numbers are sometimes called a CRD/BD number or BD/CRD number.

How to Perform a FINRA Member CRD Search

There are two methods of locating a Member on CRD:

Figure 4.5 – FINRA Member BD Number Lookup

Method 1: Enter the BD Number Directly
Enter the BD number of the Member into the text box and click the **Retrieve** button. This will perform a lookup in the CRD database by the BD number. If it is located, it will place the Member's name in the Claimant Name field for you.

Method 2: Search for Member Firm by Name
If you do not know the Claimant's BD number, then you should leave the textbox empty and click the **Retrieve** button. This will open a separate window to allow you to perform the search. Enter the name of the Claimant in the "Firm's Name" field and click on the **Search** button.

NOTE: Whether you know the BD/CRD number or not, you will still be "searching" the CRD database in order to have the system add the party's information into the Form.

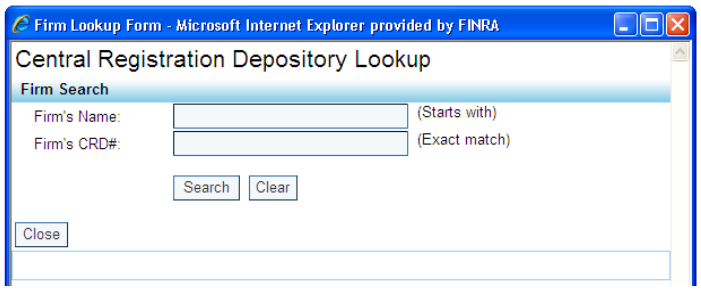

Figure 4.6 – CRD Member Lookup Window

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If your search results in no names being returned, it is possible that you misspelled the name, or the name is stored in CRD with different punctuation from what you entered. Try searching again with fewer characters in your search. At least the first three letters must be entered, however.

If you receive a message that your search returned too many records, then add a little more to the name to refine the search.

> **TIP:** Don't worry if the results of your search return some member firm names that seem completely different from the name you entered. CRD retains the names of firms prior to mergers and acquisitions, and typically returns the current name of a firm that has had a name change. For example, if you search for "Smith Barney", CRD will return "Citigroup Global Markets Inc." This is the current name of the firm for which you were searching, and the one you would select.

Once the system displays some matching CRD records, locate the Claimant's name in the list, and click on the **Select** button to the right of the name. This will place the Claimant's information into the Claim Information Form for you.

> **TIP:** If you are unsure which name is the correct one (perhaps there are several names that look similar or are identical), click on the "**plus sign**" to the left of the name to show the address associated with the name. Click on the "**minus sign**" to the left of the address to hide this information.

How to Perform an Associated Person CRD Search

There are two methods of locating an AP on CRD:

Figure 4.7 – Associated Person CRD Number Lookup

Method 1: Enter the CRD Number Directly

Enter the CRD# of the AP into the text box and click the **Retrieve** button. This will perform a lookup in the CRD database by the CRD number. If it is located, it will place the AP's name in the Claimant Name field for you.

Method 2: Search for AP by Name

If you do not know the Claimant's CRD number, then you should leave the textbox empty and click the **Retrieve** button. This will open a separate window to allow you to perform the search. Enter the name of the Claimant in the "Broker's First Name" and "Broker's Last Name" fields and click on the **Search** button.

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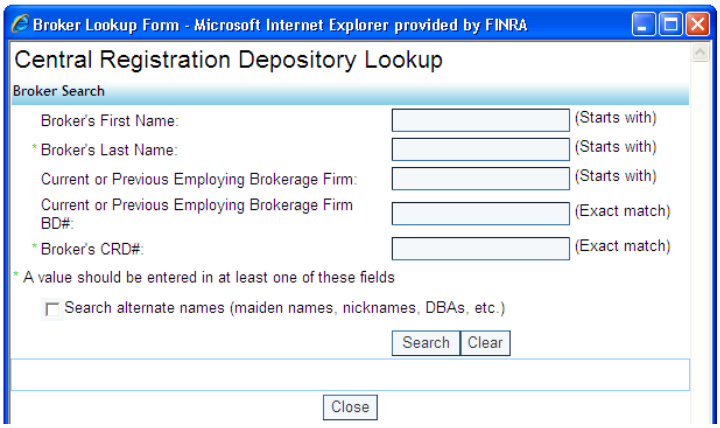

Figure 4.8 – CRD Associated Person Lookup Window

If your search results in no names being returned, it is possible that you misspelled the name, or the name is stored in CRD with different punctuation from what you entered. Try searching again with fewer characters in your search, or use just the AP's last name. At least the first three letters must be entered, however. You can also try clicking on the "Search alternate names" checkbox.

If you receive a message that your search returned too many records, then try using the "Current or Previous Employing Brokerage Firm" field to narrow the search.

Once the system displays some matching CRD records, locate the Claimant's name in the list, and click on the **Select** button to the right of the name. This will place the Claimant's information into the Claim Information Form for you.

TIP: If you are unsure which name is the correct one (perhaps there are several names that look similar or are identical), click on the "**plus sign**" to the left of the name to show the address associated with the name. Click on the "**minus sign**" to the left of the address to hide this information.

NOTE: The CRD lookup does **NOT** populate the address information for APs onto the form. FINRA maintains a separate database of addresses for Dispute Resolution correspondence. You may enter the address where you believe the AP is employed.

Current Mailing Address (Required)

Enter your current mailing address. If this is not the first claimant being entered, and the address you would enter is the same as another already entered claimant, you can click on the **Copy from Another Claimant** button to copy the address information from another claimant to the current one.

Residential Address at Time of Dispute (Required)

Enter your residential address at the time of the dispute. If your residential address at the time of the dispute is the same as your current mailing address, you can click on the **Copy from Current Mailing Address** button to copy the address information from the Current Mailing Address section to this section.

Claimant Represents Self

Check this box if you do not have an attorney and will be representing yourself in this arbitration. If you will be represented by an attorney, do not check this box. You will enter your attorney's information in the Claimant Representative section of the form, Section 2b.

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Adding, Editing, and Deleting Claimants on the Online Form

Once you have completed all of the information for Claimant 1, there are three things you can do:

Add Another Claimant

Clicking on the "**Add Another Claimant**" button will create another claimant entry (called "Claimant 2") underneath the first claimant entry. The first claimant entry (Claimant 1) will close up to make room.

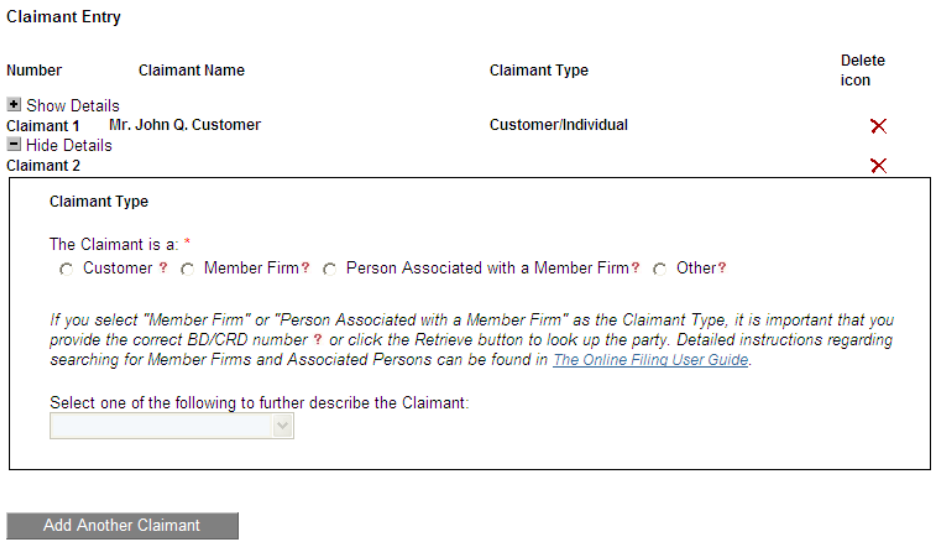

Figure 4.9 – Entering Additional Claimants

> **TIP:** Note that the first claimant entry is still visible on the form, but it has been "collapsed" down to a single line. Clicking on the little plus sign next to "Show Details" above the Claimant will "expand" that Claimant's information for viewing and editing.

Delete a Claimant

Clicking on the red "X" will delete that Claimant. You may be given a warning that there may be relief requests associated with this claimant that will need to be edited in Section 4b of the form:

Figure 4.10 – Deleting a Claimant

Relief requests are described below as part of Section 4b of the form.

Edit Claimant Information

All of the Claimants you enter can be edited at any time. If the Claimant you want to edit is "collapsed" down to a single line, click on the little plus sign next to "Show Details" to "expand" it. You may then edit the data for that Claimant.

Once you have added all of the Claimants, click on the **Continue** button.

2b: Claimant Representatives

FINRA corresponds with the party representatives. If an attorney is representing you, enter your attorney's contact information here. If you do not have an attorney and are representing yourself, then you are the representative and you should enter your contact information, even if it is the same as what you entered in the previous section. (In this case, you would have checked the "Claimant is Representing Self" checkbox in Section 2a as well.) This section of the form works in a similar manner to Section 2a.

Enter the information for the representative. If you are representing yourself, you can click on the **Copy Claimant's Name and Address** button to avoid having to re-type your information.

Associating Representatives with Claimants

Each claimant that was entered in Section 2a must be represented by someone that you will enter in Section 2b. Conversely, each representative that you enter must be associated with one or more claimants in Section 2a that he or she will represent.

If a single representative (either an attorney or you) will represent ALL of the claimants entered in Section 2a, then check the "**Only one representative will be representing all claimants on this claim**" checkbox. When you check this box, you will see at the bottom of the page that all of the claimants entered in Section 2a have been automatically associated with the representative (listed as Representative 1), even if you have not yet entered the contact details for the representative.

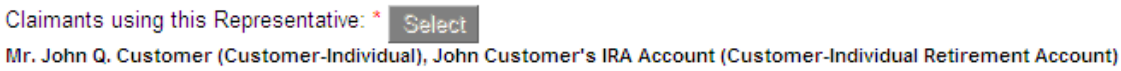

Figure 4.11 – Associating Claimants with Representatives

If you will have more than one representative, each of whom will represent some of the claimants in Section 2a, then indicate which claimant(s) this representative represents by clicking the **Select** button next to "Claimants using this Representative."

> **NOTE:** The Select button will not be active if you selected the "Only one representative will be representing all claimants on this claim" checkbox because the selection has been completed for you.

> **NOTE:** If you add another claimant in Section 2a AFTER you have checked the "**Only one representative will be representing all claimants on this claim"** checkbox, the additional claimant will not be automatically added to the "Claimants using this Representative" list at the bottom of the page. To correct this, unselect and then re-select the checkbox, and the bottom of the page will be updated.

Adding, Editing, and Deleting Claimant Representatives on the Online Form

Once you have completed all of the information for Claimant 1, there are three things you can do:

Add Another Representative

Clicking on the "**Add Another Representative**" button will create another representative entry (called "Representative 2") underneath the first representative entry. The first entry (Representative 1) will close up to make room.

Delete a Representative

Clicking on the red "X" will delete that representative. Remember that each claimant in Section 2a has to be associated with a representative in Section 2b.

Edit Representative Information

All of the representatives you enter can be edited at any time. If the representative you want to edit is "collapsed" down to a single line, click on the little plus sign next to "Show Details" to "expand" it. You may then edit the data for that representative.

Once you have entered the information and selected the appropriate claimants for each representative, click on the **Continue** button.

2c: Respondents

A respondent is any individual or legal entity you wish to name for purposes of seeking relief. If the claimant is a customer, then the respondent is typically a FINRA member firm or a person associated with a member firm (see Figure 4.1 – Claimant Types for definitions of these terms). This section of the form works in a similar manner to Section 2a.

The Respondent is a: (Required)

Click on the button next to the type of Respondent that you are entering.

Respondent Type	Description
Member Firm	The term "Member" means any broker or dealer admitted to membership in FINRA, whether or not the membership has been terminated or cancelled; and any broker or dealer admitted to membership in a self-regulatory organization that, with FINRA consent, has required its members to arbitrate pursuant to the Code and/or to be treated as members of FINRA for purposes of the Code, whether or not the membership has been terminated or cancelled.
Person Associated with a Member Firm (also known as an "Associated Person" or "AP")	An associated person is a natural person who is registered or has applied for registration under FINRA Rules; a sole proprietor, partner, officer, director, or branch manager of a member, or other natural person occupying a similar status or performing similar functions; or a natural person engaged in the investment banking or securities business who is directly or indirectly controlling or controlled by a member, whether or not any such person is registered or exempt from registration with FINRA.
Public Customer	A person or entity (not acting in the capacity of an associated person or member) that transacts business with any FINRA member firm or associated person.
Other	It is important that you only use Other after all attempts to look up a Member Firm or Associated Person on CRD have failed (see "How to Perform a CRD Search" in Claimant Section 3a above).

Figure 4.12 – Respondent Types

Respondent Name (Required)

If you selected a Respondent type of either "Customer" or "Other", you will be required to enter the name of the Respondent.

If you selected "Member Firm" or "Person Associated with a Member Firm" as the respondent type, then you must provide the respondent's BD number or CRD number. You can find these numbers by using the CRD Lookup Tool. See "How to Perform a CRD Search" in Section 3a above.

NOTE: Do not list "John Doe" respondents in the Respondent Name field. Doing so may delay processing of your claim.

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Current Mailing Address (Required)
Enter the current mailing address of the respondent, as you know it. FINRA Dispute Resolution maintains its own database of AP addresses, and may not use the one you provide. However, in case FINRA has difficulty reaching the respondent, we may attempt to reach him or her using the address you provide. If you do not know the AP's address, you may leave it blank.

If this is not the first respondent being entered, and the address you would enter is the same as the previous respondent, you can click on the **Copy from Another Respondent** button to copy the address information from a previously entered respondent to the current one.

Adding, Editing, and Deleting Respondents on the Online Form

Just like for Claimant entry, once you have completed all of the information for Respondent 1, there are three things you can do:

Add Another Respondent
Clicking on "**Add Another Respondent**" will create another respondent entry (called "Respondent 2") underneath the first respondent entry.

Delete a Respondent
Clicking on the red "X" will delete that Respondent. You may be given a warning that there may be relief requests associated with this respondent that will need to be edited in Section 4b of the form. Relief requests are described below as part of Section 4b of the form.

Edit Respondent Information
All of the Respondents you enter can be edited at any time. If the Respondent you want to edit is "collapsed" down to a single line, click on the little plus sign next to "Show Details" to "expand" it. You may then edit the data for that Respondent.

Once you have added all of the Respondents, click on the **Continue** button.

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Section 3: Claims

3a: Dispute Types

Use this section to indicate the types of disputes the Claimants (listed in Section 2a) have with the Respondents (listed in Section 2c).

Select all of the types of disputes that apply to your claim. To select the applicable disputes:

1. Click on the **Select** button to the right of where it reads, "Dispute types". A selection window will appear.
2. Scroll through the list of dispute types in the upper box.
3. When you find a dispute that applies to your claim, click on the dispute type to select it.
4. Click on the **Add** button that is located underneath the box. The dispute type will be copied to the lower box.
5. When you are finished making your selections, click the **Close** button.

NOTE: Only select dispute types that are relevant to your claim. Selection of dispute types is optional on this form, but make sure that your Statement of Claim describes your dispute in detail.

If you select the wrong dispute type, you can remove it by selecting it in the lower box and clicking the **Remove** button. This will remove the dispute from the lower box.

Clicking on the **Remove All** button will move all of your selected dispute types from the lower box.

3b: Securities, Financial Instruments, and/or Investments involved in the Dispute

Use this section to indicate the types of securities that are involved in your claim.

Select all of the types of securities that apply to your claim. To select the applicable securities:

1. Click on the **Select** button to the right of where it reads, "Security types". A selection window will appear.
2. Scroll through the list of security types in the upper box.
3. When you find a security type that applies to your claim, click on the security to select it.
4. Click on the **Add** button that is located underneath the box. The security type will be copied to the lower box.
5. When you are finished making your selections, click the **Close** button.

If you select the wrong security type, you can remove it by selecting it in the lower box and clicking the **Remove** button. This will remove the security from the lower box.

Clicking on the **Remove All** button will remove all of your selected security types from the lower box.

When you have finished selecting your dispute types and security types, click on the **Continue** button.

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Section 4: Relief Requested

A claimant can request two basic types of relief: Monetary Relief and Non-Monetary Relief. Each type of relief contains several categories:

Monetary Relief Categories:

Actual Damages	Monetary sum required to compensate a party for his or her loss.
Punitive Damages	Monetary amount intended to punish the wrongdoer.
Treble Damages	Damages tripled in amount, as provided by statute. (If entering a Relief Request Entry for treble damages, multiply the actual damages by two and enter that amount in the "Amount" field. For example, if you are asking for $10,000 in actual damages and also asking for treble damages, then you would enter $20,000 for treble damages.) (You may want to consult with an attorney for more information regarding treble damages.)
Racketeer-Influenced and Corrupt Organization Act (RICO)	Includes damages pursuant to the RICO statute or damages pursuant to federal and state laws designed to prosecute organized crime. (You may want to consult with an attorney for more information regarding the RICO statute.)
Other Monetary Relief	Other monetary relief not otherwise described.

Non-Monetary Relief Categories:

Specific Performance	Requires that the respondents take some kind of action, such as turning over ownership of stock.
Injunction Rule 13804	Temporary Injunctive Orders; Requests for Permanent Injunctive Relief. Applies to claims by industry parties and not customers.
Injunctive Relief	Requires that the respondents refrain from certain actions.
Expungement	Remove any reference to this arbitration from CRD record. (You may want to consult with an attorney for more information regarding expungements.)
Declaratory Judgment	A binding ruling on the rights and status of the parties. (You may want to consult with an attorney for more information regarding declaratory judgments.)
Other Non-Monetary Relief	Other non-monetary relief not otherwise described.

4a: Attorney's Fees, Costs, and Interest

Claimants are also permitted to request compensation for various fees or loss of interest they have incurred. To make such a request:

1. Check the box next to the applicable items that you are requesting.
2. Next to the checkbox, enter the specific amount requested, if known, or leave the associated amount blank and check the "Amount is Unspecified" box to indicate that the amount is unspecified. Do not enter zero for the amount. Be sure to explain in your Statement of Claim the fee or interest you are seeking. For example, if you are seeking 3% compounded interest for the total time that certain monies should have been in your account but were not, then state this in your Statement of Claim.

4b: Relief Requests

Relief requests are the mechanism used by the Online Filing system to keep track of the specific types of relief the claimants are seeking from the respondents. Each individual relief request contains four parts:

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Claimant(s)	The claimant (or claimants) requesting the specific relief.
Relief Type	The type of relief that is being requested (monetary or non-monetary).
Respondent(s)	The respondent (or respondents) from which the relief is being sought.
Amount/Description	If the Relief Type selected is Monetary, the amount of money being sought by the Claimant(s). If the Relief Type is Non-Monetary, a description of the relief being sought.

TIP: You will need to itemize each relief request in this section, as described in your Statement of Claim. It will be useful to have already completed your Statement of Claim before completing this section so that you can use it as a reference.

Adding, Editing and Deleting Relief Requests on the Online Form

Relief requests are added to the form in a similar manner to the way you add claimants, representatives, and respondents. The first relief request (called Relief 1) is open and ready to be used.

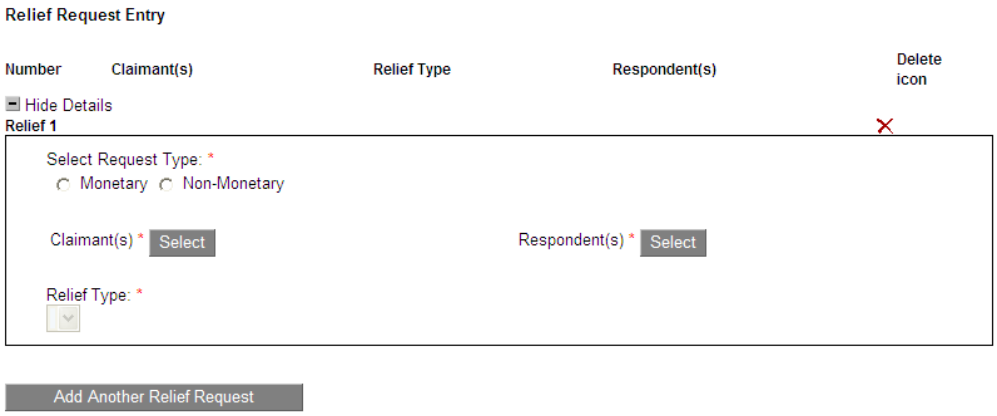

Figure 4.13 – Relief Request Entry

To enter a relief request:

1. Select the type of request (either **Monetary** or **Non-Monetary**) by clicking on the appropriate radio button under "Select Request Type".
2. Select the claimant(s) from the "Claimant" dropdown box. This box will be populated with each of the claimants you entered in Section 2a.
   - If all of the claimants are seeking this particular relief, then you should click the "Add All" button to select all of the claimants.
3. Select the respondent(s) from the "Respondent" dropdown box. This box will be populated with each of the respondents you entered in Section 2c.
   - You can target one, some, or all of the respondents for a particular relief request. If you are targeting all of the respondents for a particular relief request, then you can click the "Add All" button to select all of the respondents.
4. Select the type of relief being sought from the "Relief Type" dropdown box. This box will be populated with appropriate choices based on the type of relief request selected above (i.e., Monetary or Non-Monetary).
5. If you are entering a monetary relief request, enter the specific amount of the request in the "Amount:" field. If you do not know the specific amount, you can check the "Amount is Unspecified" checkbox.

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6. If you need to add more relief requests after the first one, click on the **Add Another Relief Request** button. This will add a new blank relief request (called Relief 2). Then repeat steps 1 to 5.

As you have done earlier, you may edit or delete a previously entered relief request.

- To edit the relief request, click on the "**plus**" button above and to the left of the relief request where it reads, "+ Show Details". This expands the relief request for editing. You can click on the "**minus**" button where it reads, "- Hide Details" to close it again.
- Clicking on the red "**X**" delete icon will delete the relief request from the Form.

4c: Statutory Employment Discrimination Disputes

Pursuant to FINRA Rules 13201 and 13802, claimants are permitted to file a claim alleging employment discrimination in violation of a statute. Claimants are also permitted to request compensation for various fees or loss of interest they have incurred. To make such a request:

1. Check the box located in this section.
2. Select the appropriate radio button that appears under the checkbox.

If you have no additional relief requests to add, you can click on the **Continue** button to move to the next section of the form.

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Section 5: Hearing Information

5a: How Case is Decided

There are three primary ways in which an arbitration case is decided:

- If you are claiming $50,000 or less in damages (both actual and punitive, exclusive of interest and expenses), you may request to have your case decided by a single arbitrator based on all of the papers that are submitted by both the claimants and respondents, or after an in-person hearing.

- If you are claiming between $50,000.01 and $100,000, your claim will be decided after an in-person hearing by a single arbitrator.

- If you are claiming $100,000.01 or more, or are claiming only unspecified damages or non-monetary relief, a panel of three arbitrators will decide your case after an in-person hearing.

For claims above $50,000, the online form will select the proper choice for you. The form will also deactivate choices that are invalid for your claim size. For claims $50,000 and below, the form will default to having your case decided on the papers, but you may select to have a hearing for your case.

NOTE: After you file your claim, you may request subsequently a different panel composition (for example, a panel of three arbitrators for a claim of $60,000) if all parties (claimants and respondents) agree in writing.

5b: Panel Selection Method for Customer Cases Decided by Three Arbitrators

In customer cases decided by three arbitrators, investors have the option of choosing an arbitration panel with two public arbitrators and one non-public arbitrator (Majority-Public Panel Rule) or a panel of all public arbitrators (Optional All-Public Panel Rule). Only customers choose the panel selection method; neither firms nor associated persons choose the selection method. The rule applies to all investor disputes but not to disputes involving only industry parties.

Customers may choose the Optional All-Public Panel Rule in their Statement of Claim or accompanying documentation. If the customer does not choose a panel selection method, FINRA will notify the customer in writing that the customer may elect the Optional All-Public Panel Rule for selecting arbitrators up to 35 days from FINRA's service of the Statement of Claim. If the customer declines to elect a panel selection method in writing by the 35-day deadline, the Majority-Public Panel Rule for selecting arbitrators will apply.

Under either panel selection option, FINRA will send the parties three lists of arbitrators-one with 10 chair qualified public arbitrators, one with 10 public arbitrators and one with 10 non-public arbitrators. However, the process for striking arbitrators on the non-public list is different for the Optional All-Public Panel Rule for selecting arbitrators. Under the Optional All-Public Panel Rule, any party may strike up to all of the names on the non-public list. Customers choosing this method can ensure that a non-public arbitrator will not serve on the case.

Additional information about the new arbitration rules is available on FINRA's website at http://www.finra.org/arbitration/allpublicpanel.

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Section 6: Fees

6a: Fee Calculation

The Code contains rules regarding the fees that must be submitted with the Statement of Claim to file an arbitration claim.

In order to commence an arbitration case, you must submit a filing fee along with your Statement of Claim, signed Submission Agreement and other supporting documentation. To help you determine the fee amount, a Fee Calculator is provided. The Claim Information Form interacts directly with the Fee Calculator using the information you have already entered, calculates the appropriate fees, and displays them on the Form. You cannot directly change the displayed fees.

To have the system calculate the filing fee, click the **Calculate Fees** button. The system will determine the appropriate filing fee and display it on the Form.

NOTE: If you change any information in other parts of the Form, you should come back to the Fees page and click the **Calculate Fees** button again to make sure the correct fee is determined.

TIP: For more information on the arbitration process and when fees are assessed, take a look at the diagram found at http://www.finra.org/ArbitrationMediation/Arbitration/ArbitrationCaseFlow/index.htm. (Note that you can click on the fees in the diagram for more detail.)

You can find additional information on the claim filing process at http://www.finra.org/ArbitrationMediation/ResourcesforParties/index.htm

TIP: If you would like to try the Fee Calculator yourself:
- Go to http://www.finra.org
- Click on Arbitration and Mediation
- Under "Arbitration" on the left-hand panel, click on the "Fees" link.
- Click on the "Estimate Cost" link, and then the "Arbitration Filing Fee Calculator" link.

You can also go directly to the Fee Calculator by going to:
http://www.finra.org/ArbitrationAndMediation/Arbitration/Fees/EstimateCost/index.htm

6b: Payment Information

You can pay the filing fee online by credit card or ACH bank transfer from your checking account (also known as an "electronic check"), or by mailing a check to FINRA. If you are experiencing financial hardships and are not a FINRA member, then you may instead request a waiver of the filing fee. You must select one of these options in order to submit your claim.

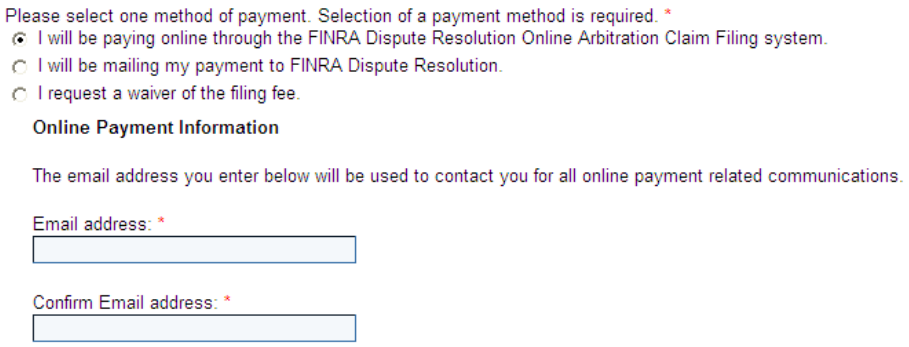

Figure 4.14 – Payment Options

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- To pay online with a credit card or by ACH bank transfer, select "**I will be paying online through the FINRA Dispute Resolution Online Arbitration Claim Filing system**." When you select this option, you will be asked to enter an email address to be used to contact you for all online payment-related communications. The email address entered here will not be used for any other correspondence.

IMPORTANT NOTE: Only credit cards associated with an address located in the United States are accepted currently. Attempting to use a credit card with a non-US address could delay processing of your claim.

IMPORTANT NOTE: If you select the online payment option, you will enter your payment information **AFTER** you click the Submit button to submit your claim. The Claim Information Tracking Form (your receipt page) will have a "**Proceed to Pay Online**" button that you will click on to go to the online payment page.

See "Paying the Filing Fee Online After Submitting Your Claim" on page 36 for more information.

- To mail your payment to FINRA, select "**I will be mailing my payment to FINRA Dispute Resolution**." Instructions about how to mail payment to FINRA will be found on the Claim Tracking Form that you will print after you submit your claim.

- To request a waiver:

  1. Select, "**I request a waiver of the filing fee**."
  2. Submit the following supporting documentation along with your Statement of Claim:
     - Most recently filed tax returns (2 years);
     - Evidence of garnishments or liens;
     - Two most recent pay stubs;
     - A statement summarizing your financial hardship; and
     - Any other supporting documentation (e.g. affidavits, bank statements, etc.)

NOTE: If you request the fee waiver, you MUST submit the supporting documentation, either electronically or in hard-copy. Your claim will not be served on the respondents and will not proceed until either the waiver is approved or the filing fee is submitted.

Claimant Submitting Payment

Select one of the claimants entered back in Section 2a of the form to receive credit for the fee paid. This claimant will be assessed the initial filing fee once the claim is submitted and would also be issued any refund, if applicable, at the end of the case.

The claimant you select here will be assessed the initial filing fees and will receive any refund, if applicable, at the end of the case. Any claimants that you entered back in Section 2a as an "Individual Retirement Account" will not be selectable from this list unless they are the only type of claimant on the claim.

Claimant Submitting Payment *

Note: Only credit cards associated with an address located in the United States are accepted currently.

Figure 4.15 – Claimant Submitting Payment Selection

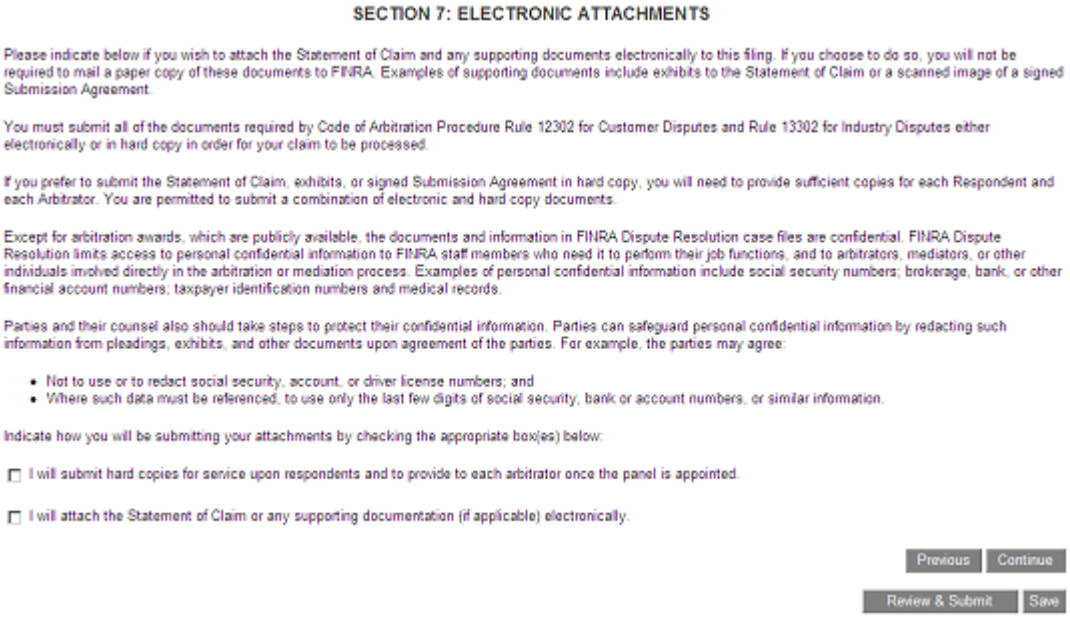
NOTE: This field will not display claimants that were identified as IRA accounts unless that was the only type of claimant that was entered. This is done to avoid potential tax problems with transactions into or out of these accounts.

Section 7: Electronic Attachments

The Online Filing System allows you to submit your Statement of Claim, signed Submission Agreement, and supporting documentation electronically. If you do so, FINRA will make copies of these documents to serve on the respondents and for the arbitrators.

IMPORTANT NOTE: Except for arbitration awards, which are publicly available, the documents and information in FINRA Dispute Resolution case files are confidential. FINRA Dispute Resolution limits access to personal confidential information to FINRA staff members who need it to perform their job functions, and to arbitrators, mediators, or other individuals involved directly in the arbitration or mediation process. Examples of personal confidential information include social security numbers; brokerage, bank, or other financial account numbers; taxpayer identification numbers and medical records.

Parties and their counsel also should take steps to protect their confidential information. Parties can safeguard personal confidential information by redacting such information from pleadings, exhibits, and other documents upon agreement of the parties.



SECTION 7: ELECTRONIC ATTACHMENTS

Please indicate below if you wish to attach the Statement of Claim and any supporting documents electronically to this filing. If you choose to do so, you will not be required to mail a paper copy of these documents to FINRA. Examples of supporting documents include exhibits to the Statement of Claim or a scanned image of a signed Submission Agreement.

You must submit all of the documents required by Code of Arbitration Procedure Rule 12302 for Customer Disputes and Rule 13302 for Industry Disputes either electronically or in hard copy in order for your claim to be processed.

If you prefer to submit the Statement of Claim, exhibits, or signed Submission Agreement in hard copy, you will need to provide sufficient copies for each Respondent and each Arbitrator. You are permitted to submit a combination of electronic and hard copy documents.

Except for arbitration awards, which are publicly available, the documents and information in FINRA Dispute Resolution case files are confidential. FINRA Dispute Resolution limits access to personal confidential information to FINRA staff members who need it to perform their job functions, and to arbitrators, mediators, or other individuals involved directly in the arbitration or mediation process. Examples of personal confidential information include social security numbers; brokerage, bank, or other financial account numbers; taxpayer identification numbers and medical records.

Parties and their counsel also should take steps to protect their confidential information. Parties can safeguard personal confidential information by redacting such information from pleadings, exhibits, and other documents upon agreement of the parties. For example, the parties may agree:

- Not to use or to redact social security, account, or driver license numbers; and
- Where such data must be referenced, to use only the last few digits of social security, bank or account numbers, or similar information.

Indicate how you will be submitting your attachments by checking the appropriate box(es) below:

☐ I will submit hard copies for service upon respondents and to provide to each arbitrator once the panel is appointed.

☐ I will attach the Statement of Claim or any supporting documentation (if applicable) electronically.

Previous Continue

Review & Submit Save

Figure 4.16 – Electronic Attachments

If you have prepared one or more of your documents using color printing, special binding, or section tabs and would prefer to submit them in hard copy, you will need to provide sufficient copies for each Respondent and each Arbitrator. Please indicate that you will be sending hard copies by selecting the checkbox next to where it says, "**I will submit hard copies for service upon respondents and to provide to each arbitrator once the panel is appointed**."

IMPORTANT NOTE: In order to expedite the processing of your claim, please submit your hard copy documents the same day you submit your online claim.

NOTE: You are permitted to submit a combination of electronic and hard copy documents.

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Attaching Your Electronic Statement of Claim

Your electronic Statement of Claim should meet the following requirements:

- ✓ It should be saved as one of the following document file types: Microsoft® Word (.DOC, .DOCX), plain ASCII text (.TXT), rich-text format (.RTF), tagged image file format (.TIF, .TIFF), and Adobe® portable-document format (.PDF).
- ✓ It should be preferably in a 12-point font, using a Times Roman, Helvetica, or Arial style typeface, with 1.5-inch margins on all sides.

TIP: For more information regarding completing your Statement of Claim, go to: http://www.finra.org/web/groups/med_arb/documents/mediation_arbitration/p007954.pdf

If your Statement of Claim meets the above criteria, you may send it electronically by following the steps below:

1. Have your document files on your computer, ready to be sent.
2. Check the box next to where it says, "**I will attach the Statement of Claim or any supporting documentation (if applicable) electronically**."
3. Click on the **Attach Statement of Claim** link that appears on the form to attach your Statement of Claim.

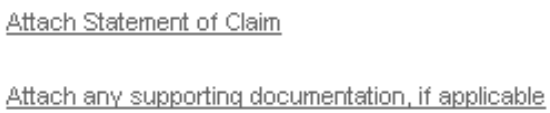

Figure 4.17 – Attach Document Links

NOTE: Do not use the Statement of Claim link to attach supporting documentation or the Supporting Documentation link to attach a Statement of Claim.

4. On the Files to Attach page, click the **Browse…** button and find your Statement of Claim document on your computer. Double-click the file to select it.
5. Enter a brief description in the Description box.
6. Click the **Attach** button. A window will appear showing your file being sent to FINRA. Click the **Close** button on the window once the file has been completely sent.

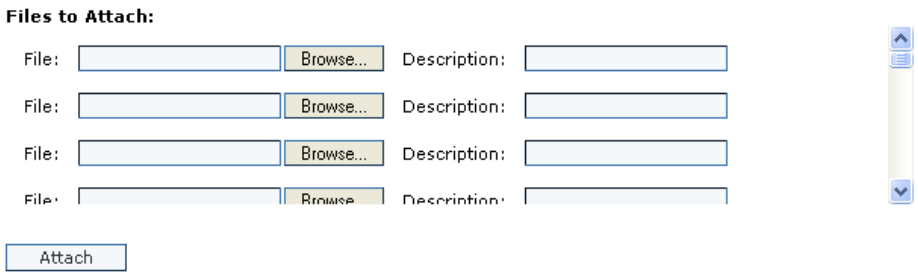

Figure 4.18 – Files to Attach

NOTE: Make sure that you have saved and closed your Statement of Claim document on your computer BEFORE you click on the **Attach** button. If the file is open, you will get an error and the upload may not work, or the file may not be transmitted properly.

7. After the file has been transferred, it will be listed as shown below.

Actions	File Name	Description	Date/Time Attached	File Size
	My SOC against XYZ Brokerage.doc	my Statement of Claim	1/29/2008 4:22:13 PM	20478

Figure 4.19 – Attached Files List

8. Once the file has been transferred, you can edit the description by clicking on the **pencil** icon, deleting the file by clicking on the **red "X"** delete icon, or view the file by clicking on the **Open File** icon.
9. Finally, click on the **"click here to return to your application"** link. This will take you back to the Electronic Attachments page of the Online Claim Form.

When you are finished, click here to return to your application.

Figure 4.20 – Return to Claim Form Link

Attaching Other Supporting Documents

To attach other supporting documentation such as exhibits or a scanned image of the signed Submission Agreement, repeat steps 1 through 9 above, but click on the link next to where it says, "**Attach any supporting documentation, if applicable**."

The Submission Agreement is an important document to submit along with your claim. It can be provided in one of several ways:

- You can attach a scanned image of the signed Submission Agreement provided in the Uniform Forms Guide in Adobe portable document format (.pdf) or tagged image file format (.tif, .tiff).
- You can mail a hard copy of the signed Submission Agreement to FINRA.
- You can sign and submit the Submission Agreement electronically on the next page of this form (see next section, Section 8).

NOTE: If you submit a scanned image of the Submission Agreement, keep your original Submission Agreement in your files in case the validity of the signature is ever questioned. Submitting an unsigned Submission Agreement will delay processing of your claim.

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Section 8: Submission Agreement and Electronic Signature

If you are not submitting a completed Submission Agreement in hard copy nor attaching a scanned image of the completed Submission Agreement in Section 7, then you must complete this Section.

If you would like to submit your Submission Agreement as part of your online form, click the "**I would like to use Electronic Signature**" checkbox.

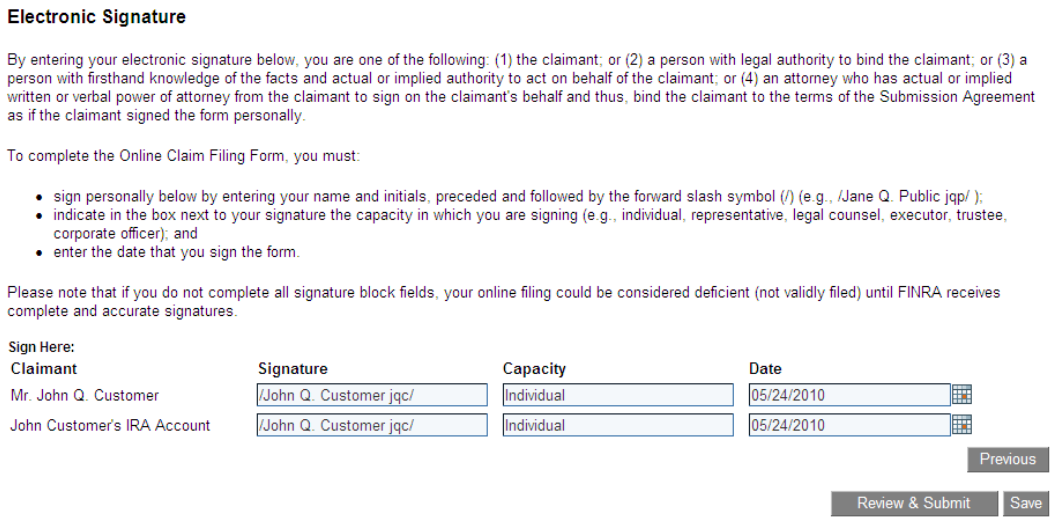
By entering your electronic signature, you are stating that you are one of the following: (1) the claimant; or (2) a person with legal authority to bind the claimant; or (3) a person with firsthand knowledge of the facts and actual or implied authority to act on behalf of the claimant; or (4) an attorney who has actual or implied written or verbal power of attorney from the claimant to sign on the claimant's behalf and thus, bind the claimant to the terms of the Submission Agreement as if the claimant signed the form personally.

To complete the Online Claim Filing Form, you must:

- Sign personally by entering your name and initials, preceded and followed by the forward slash symbol (/); For example: /Jane Q. Public jqp/
- Indicate in the box next to your signature the capacity in which you are signing (e.g., individual, representative, legal counsel, executor, trustee, corporate officer); and
- Enter the date that you sign the form.

NOTE: If you do not complete all signature block fields according to the instructions, your online filing could be considered deficient (not validly filed) until FINRA receives complete and accurate signatures.

It is permissible for some claimant(s) to use Section 8 of the form and for other claimants to submit scanned images of the Submission Agreement (in Section 7) or signed hard-copy of the Submission Agreement.



Electronic Signature

By entering your electronic signature below, you are one of the following: (1) the claimant; or (2) a person with legal authority to bind the claimant; or (3) a person with firsthand knowledge of the facts and actual or implied authority to act on behalf of the claimant; or (4) an attorney who has actual or implied written or verbal power of attorney from the claimant to sign on the claimant's behalf and thus, bind the claimant to the terms of the Submission Agreement as if the claimant signed the form personally.

To complete the Online Claim Filing Form, you must:

- sign personally below by entering your name and initials, preceded and followed by the forward slash symbol (/) (e.g., /Jane Q. Public jqp/);
- indicate in the box next to your signature the capacity in which you are signing (e.g., individual, representative, legal counsel, executor, trustee, corporate officer); and
- enter the date that you sign the form.

Please note that if you do not complete all signature block fields, your online filing could be considered deficient (not validly filed) until FINRA receives complete and accurate signatures.

Sign Here:

Claimant	Signature	Capacity	Date
Mr. John Q. Customer	/John Q. Customer jqc/	Individual	05/24/2010
John Customer's IRA Account	/John Q. Customer jqc/	Individual	05/24/2010

Previous

Review & Submit Save

Figure 4.21 – Electronic Submission Agreement Signature

Congratulations! You have reached the end of the form, and now have an opportunity to review all of your entries prior to submitting your Online Claim Information Form to FINRA. Click the **Review & Submit** button to see a summary of your Claim Information Tracking Form.

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Chapter 5: Reviewing and Submitting Your Claim

Reviewing the Tracking Form

Once you complete all sections of the Online Claim Information Form, a draft "FINRA Dispute Resolution Claim Information Tracking Form" is created. Please read the instructions at the top of the Tracking Form.

> **NOTE:** At this point, you have **NOT** yet submitted your Online Claim Information Form to FINRA.

The draft Tracking Form summarizes all of the information you have entered. This is your opportunity to review all of the data to be sure it is correct prior to submitting it to FINRA. If there is an error detected anywhere on your claim form, you will see an error message at the top of the Tracking Form describing the corrections you need to make prior to submitting your form.

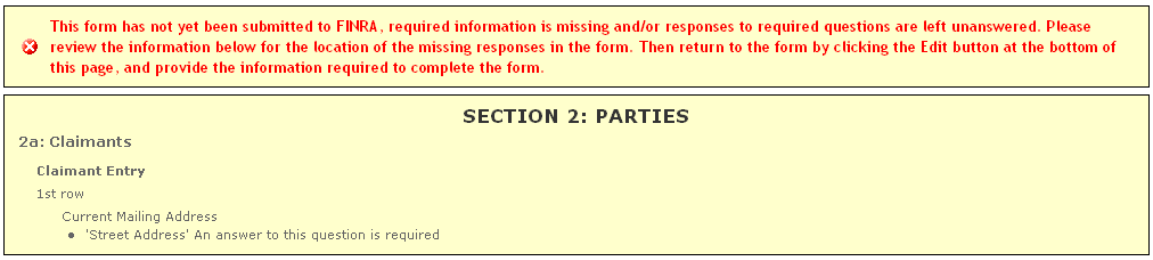

Figure 5.1 – Tracking Form Error Message

You will need to return to the section of the Claim Information Form where you originally entered the information to correct it. To edit the information:

1. Click the **Edit** button at the bottom of the Tracking Form. This will take you back to Section 8 of the Claim Information Form.
2. From there, you can go directly to any page of the form by clicking on the Section name in the left-hand panel. If a Section has a plus sign "+" next to it, then it contains sub-sections (e.g. Section 2: Parties). Click on the **plus sign** to show the sub-section names.

Figure 5.2 – Form Section Navigation

3. Make your corrections, and then click the **Review & Submit** button to return to the Tracking Form.

If your form contains no errors or omissions, you will see a notice at the top of the draft Tracking Form that you have not yet submitted your form:

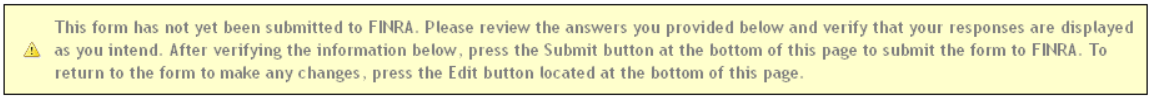

Figure 5.3 – Tracking Form Notice

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Submitting Your Claim Information Form

If you are satisfied that the information is complete and accurate, click the **Submit** button at the bottom of the form.

> **TIP:** If you are mailing any hard copy documentation or payment to FINRA, mailing instructions will be provided again after you submit your Claim Information Form.

Once the form has been successfully submitted, the "Form Tracking #", your User ID ("Submitted By"), and the "Date Submitted" will appear at the top of the form. At this point, you should do the following:

1. Take a moment to review the information on the Tracking Form, especially the instructions.
2. If you are mailing any hard copy documents or payment to FINRA, then print TWO COPIES of this Tracking Form using your Internet browser's Print function or by clicking on the link where it says, "**Click Here to Print Form**". One copy should be mailed to FINRA Dispute Resolution, and one should be retained for your records.
3. Follow the instructions on the Tracking Form regarding where hard copy documents need to be mailed to FINRA.

> **IMPORTANT NOTE:** In order to expedite the processing of your claim, please submit your hard copy documents the same day you submit your online claim.

4. If you selected the "I will be paying online through the FINRA Dispute Resolution Online Arbitration Claim Filing system" option in Section 6b, there will be a "**Proceed to Pay Online**" button on the Tracking Form. Click this button to proceed to the online payment page.

> **NOTE:** Once you have submitted your Form and attachments, you will not be able to provide any revisions through this system. At this point, you will need to communicate with FINRA directly in order to revise your Statement of Claim. Contact information will be sent to you in the correspondence you receive from FINRA. You can also contact FINRA Dispute Resolution at 212-858-4200 or via e-mail at "claimhelp@finra.org". Please include the Tracking Number for your claim in the subject line of the e-mail.

Paying the Filing Fee Online After Submitting Your Claim

AFTER you have submitted your claim, click the "**Proceed to Pay Online**" button on the Tracking Form to proceed to the online payment page.

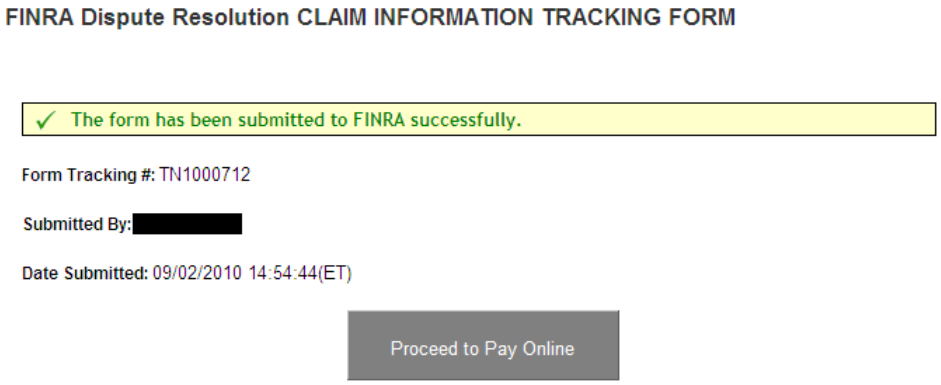
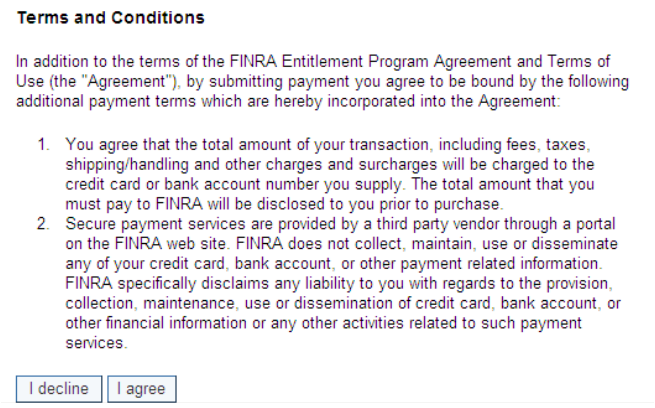


Figure 5.4 – Proceed to Pay Online Button

You must agree to the listed Terms and Conditions regarding use of online payment. Click "**I agree**" to agree to the conditions, or "**I decline**" to return to the Tracking Form.



Terms and Conditions

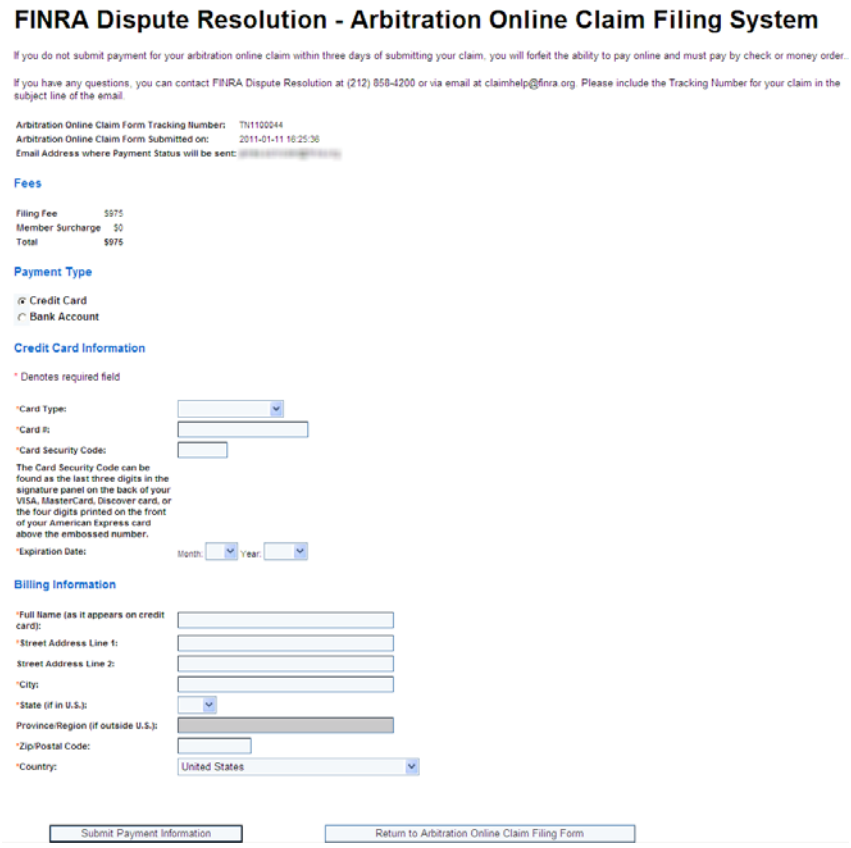
In addition to the terms of the FINRA Entitlement Program Agreement and Terms of Use (the "Agreement"), by submitting payment you agree to be bound by the following additional payment terms which are hereby incorporated into the Agreement:

1. You agree that the total amount of your transaction, including fees, taxes, shipping/handling and other charges and surcharges will be charged to the credit card or bank account number you supply. The total amount that you must pay to FINRA will be disclosed to you prior to purchase.
2. Secure payment services are provided by a third party vendor through a portal on the FINRA web site. FINRA does not collect, maintain, use or disseminate any of your credit card, bank account, or other payment related information. FINRA specifically disclaims any liability to you with regards to the provision, collection, maintenance, use or dissemination of credit card, bank account, or other financial information or any other activities related to such payment services.

I decline | I agree

Figure 5.5 – Online Payment Terms and Conditions

Once you click the "**I agree**" button, you will be taken to the payment page.



FINRA Dispute Resolution - Arbitration Online Claim Filing System

If you do not submit payment for your arbitration online claim within three days of submitting your claim, you will forfeit the ability to pay online and must pay by check or money order.

If you have any questions, you can contact FINRA Dispute Resolution at (212) 858-4200 or via email at claimhelp@finra.org. Please include the Tracking Number for your claim in the subject line of the email.

Arbitration Online Claim Form Tracking Number: TN1100044
Arbitration Online Claim Form Submitted on: 2011-01-11 10:25:36
Email Address where Payment Status will be sent:

Fees

Filing Fee $975
Member Surcharge $0
Total $975

Payment Type

Credit Card
Bank Account

Credit Card Information

* Denotes required field

*Card Type:
*Card #:
*Card Security Code:
The Card Security Code can be found as the last three digits in the signature panel on the back of your VISA, MasterCard, Discover card, or the four digits printed on the front of your American Express card above the embossed number.
*Expiration Date: Month: Year:

Billing Information

*Full Name (as it appears on credit card):
*Street Address Line 1:
Street Address Line 2:
*City:
*State (if in U.S.):
Province/Region (if outside U.S.):
*Zip/Postal Code:
*Country: United States

Submit Payment Information | Return to Arbitration Online Claim Filing Form

Figure 5.6 – Online Payment Page

To pay online:

1. If you are paying by credit card, select the "**Credit Card**" Payment Type and enter all of the credit card and billing information for the owner of the credit card.
2. If you are paying by ACH bank transfer, select the "**Bank Account**" Payment Type, and enter the ABA routing number, checking account number, and the account owner's full name.
3. Click the "**Submit Payment Information**" button.

IMPORTANT NOTE: Only credit cards associated with an address located in the United States are accepted currently. Attempting to use a credit card with a non-US address could delay processing of your claim.

NOTE: If you need to abort making your online payment at this time, click the "**Return to Arbitration Online Claim Filing Form**" button instead. You will be taken back to your submitted Tracking Form. You may return to your Tracking Form later and click the **Proceed to Pay Online** button to resume paying online.

When you submit your payment, you will get a confirmation page like this:

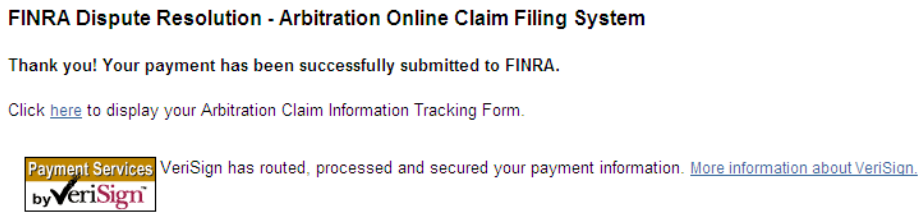


Figure 5.7 – Payment Confirmation

If you click where it says "**Click here to display your Arbitration Claim Information Tracking Form,"** you will be returned to your Tracking Form. The payment status of your online payment might not be available for a few moments and you still will see the "**Proceed to Pay Online**" button. If you decide to click the "**Proceed to Pay Online**" again, the confirmation page will again be displayed. The system will not permit you to accidentally pay the fee twice. Once the funds have been captured successfully, you will see the status of your online payment.

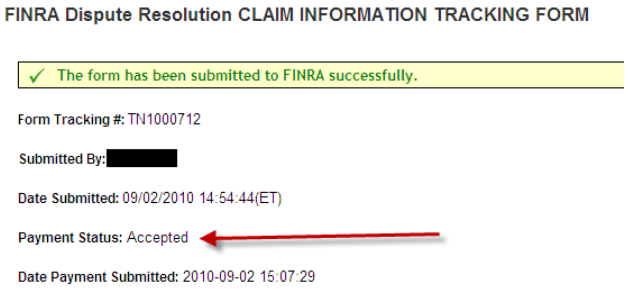


Figure 5.8 – Payment Status on Tracking Form

You will also receive an email confirmation (to the email address that you entered in Section 6b of the Form) that your payment information was received.

TIP: If you do not receive the email confirmation, it is possible that it was caught in your email spam filter. Check the mail folder on your computer where potential spam mail is placed.

NOTE: If payment has not been submitted online within three days of when you submitted your claim, the **Proceed to Pay Online** button will be disabled and the Payment Status on the Tracking Form will be listed as "Expired". It will then be necessary for you to mail in a check or money order with a copy of the submitted Tracking Form to FINRA Dispute Resolution. If the Payment Status is listed as "Failed", then an error has occurred while processing your online payment. You should contact FINRA Dispute Resolution for help with this status.

If you have any issues or concerns regarding your online claim submission, contact FINRA Dispute Resolution by emailing claimhelp@finra.org or calling 212-858-4200.