

REVISION TO UNIFORM SUBMISSION AGREEMENT

(Proposed new language underlined; deletions are bracketed.)

FINRA Arbitration  
[UNIFORM] SUBMISSION AGREEMENT

Claimant(s)

In the Matter of the Arbitration Between

Name(s) of Claimant(s)

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and

Name(s) of Respondent(s)

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1. The undersigned parties ("parties") hereby submit the present matter in controversy, as set forth in the attached statement of claim, answers, [cross claims] and all related cross claims, counterclaims and/or third-party claims which maybe asserted, to arbitration in accordance with the [Constitution,] FINRA By-Laws, Rules, [Regulations,] and[/or] Code of Arbitration Procedure [of the sponsoring organization].
2. The [undersigned] parties hereby state that they or their representative(s) have read the procedures and rules of [the sponsoring organization] FINRA relating to arbitration and the parties agree to be bound by these procedures and rules.
3. The [undersigned] parties agree that in the event a hearing is necessary, such hearing shall be held at a time and place as maybe designated by the Director of Arbitration or the arbitrator(s). The [undersigned] parties further agree and understand that the arbitration will be conducted in accordance with the [Constitution, By-Laws, Rules, Regulations, and/or] FINRA Code of Arbitration Procedure [of the sponsoring organization].
4. The [undersigned] parties [further] agree to abide by and perform any award(s) rendered pursuant to this Submission Agreement, [and] The parties further agree that a judgment and any interest due thereon, may be entered upon such award(s) and, for these purposes, the [undersigned] parties hereby voluntarily consent to submit to the jurisdiction of any court of competent jurisdiction which may properly enter such judgment.
5. The parties hereto have signed and acknowledged the foregoing Submission Agreement.

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Claimant Name (please print)

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Claimant's Signature  
State Capacity if other than individual (example: Executor, Trustee, Corporate Officer)

Date

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Claimant Name (please print)

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Claimant's Signature  
State Capacity if other than individual (example: Executor, Trustee, Corporate Officer)

Date

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**FINRA Arbitration  
[UNIFORM] SUBMISSION AGREEMENT**

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**Respondent(s)**

In the Matter of the Arbitration Between

Name(s) of Claimant(s)

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and

Name(s) of Respondent(s)

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1. The undersigned parties ("parties") hereby submit the present matter in controversy, as set forth in the attached statement of claim, answers, [cross claims] and all related cross claims, counterclaims and/or third-party claims which maybe asserted, to arbitration in accordance with the [Constitution,] FINRA By-Laws, Rules, [Regulations,] and[/or] Code of Arbitration Procedure of the sponsoring organization.

2. The [undersigned] parties hereby state that they or their representative(s) have read the procedures and rules of [the sponsoring organization] FINRA relating to arbitration and the parties agree to be bound by these procedures and rules.

3. The [undersigned] parties agree that in the event a hearing is necessary, such hearing shall be held at a time and place as maybe designated by the Director of Arbitration or the arbitrator(s). The [undersigned] parties further agree and understand that the arbitration will be conducted in accordance with the [Constitution, By-Laws, Rules, Regulations, and/or] FINRA Code of Arbitration Procedure [of the sponsoring organization].

4. The [undersigned] parties further agree to abide by and perform any award(s) rendered pursuant to this Submission Agreement. [and] The parties further agree that a judgment and any interest due thereon, may be entered upon such award(s) and, for these purposes, the [undersigned] parties hereby voluntarily consent to submit to the jurisdiction of any court of competent jurisdiction which may properly enter such judgment.

5. The parties hereto have signed and acknowledged the foregoing Submission Agreement.

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Respondent Name (please print)

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Respondent's Signature

Date

State Capacity if other than individual (example: Executor, Trustee, Corporate Officer)

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Respondent Name (please print)

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Respondent's Signature

Date

State Capacity if other than individual (example: Executor, Trustee, Corporate Officer)

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If needed, copy this page.

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