Rule 4530(g) Filings – Criminal Actions, Civil Litigations and Non-FINRA Arbitrations

Filing ID: 123456

Firm Information:
Firm Name: [ ] Firm CRD: [ ]

Contact Person Information: *
Name: __________________________ Telephone: __________________________ Email: __________________________

Party Information: *
Complainant/Plaintiff: [ ] Member Firm [ ] Non-Member Firm/Entity [ ] Associated Person [ ] Other Person
Respondent/Defendant: [ ] Member Firm [ ] Non-Member Firm/Entity [ ] Associated Person [ ] Other Person

Member firms will be prompted to provide additional information depending on the selected checkbox. For instance, if they select Member Firm, they will be prompted to provide the firm’s name and CRD number. The form also allows firms to enter additional complainants/plaintiffs and respondents/defendants.

Matter Information:
Type: [ ] Civil-Class Action [ ] Civil-Other [ ] Criminal [ ] Non-FINRA Arbitration
Court/Arbitration Case #: __________________________ Venue: __________________________
Allegation Activity Dates From: [ ] To: [ ]

If member firms select the Explanation radio button, they will be prompted to explain the activity dates.

Litigation Filing Date: * __________________________
Problem Code: *
Alleged Compensatory Damages? * [ ] Yes [ ] No
Product Code *

Additional Information:
This ID number is for illustrative purposes only. The actual ID number will be an auto-generated number. These fields will be prepopulated.

Filing: Please attach filing here. *

Attached Documents:
Member firms will be able to select the appropriate Product Code. The Product Codes will be the same as those used to report quarterly statistical and summary information regarding written customer complaints. The form also allows firms to enter additional products.

Member firms will be able to select the appropriate Problem Code. The Problem Codes will be the same as those used to report quarterly statistical and summary information regarding written customer complaints.

If member firms select the Yes radio button, they will be prompted to indicate the amount.

All fields marked with * are mandatory.

These fields will be prepopulated.

Attachment B
Data Fields and Explanations of Selected Fields in Rule 4530(g) Online Form