



Arbitrator Disciplinary Referral Form

This form is to be used by arbitrators who want to refer potential disciplinary violations to FINRA Member Regulation for investigation. Please submit the form to the attention of Todd Saltzman, Vice President of Dispute Resolution by email at todd.saltzman@finra.org or by fax at 301-527-4840. Alternatively, you can mail the referral form to Todd Saltzman at the following address:

FINRA Office of Dispute Resolution
One Liberty Plaza
165 Broadway, 27th Floor
New York, NY, 10006

In this form, you should discuss only those facts and circumstances that underlie your decision to refer this case for disciplinary investigation. You should not describe in this form the basis for your award in the arbitration case.

You should also not discuss this matter with any person, including the parties or their counsel in the arbitration proceeding. Please alert Todd Saltzman by phone at 212-858-4273 in the event anyone contacts you to discuss this referral.

Several exchanges have agreements with FINRA Office of Dispute Resolution for the use of its forum. The agreements provide that members of the exchanges and associated persons are bound by FINRA Office of Dispute Resolution's rules. If an arbitrator wants to refer for disciplinary action a party that is a member of one of these exchanges, the arbitrator should use this form. A complete list of the exchanges is available at: [Other Exchanges Using FINRA's Forum](#)

I. CASE INFORMATION

Case No.: _____ Case Administrator: _____

Case Name: _____

Hearing Date(s): _____ Location: _____

Date of Arbitration Award or Settlement/Withdrawal of Case: _____

Name of Arbitrator(s) Making Referral: _____

Arbitrator ID(s): _____

Arbitrator's Phone: _____ Fax Number: _____ E-mail: _____

Who is being referred for regulatory review? Be specific as to firms and/or associated persons, and include applicable CRD numbers (if known).

II. BASIS FOR REFERRAL

Nature of Potential Violation (check all that apply):

<input type="checkbox"/> Suitability	<input type="checkbox"/> Unauthorized trading	<input type="checkbox"/> Failure to comply with injunction
<input type="checkbox"/> Trading ahead	<input type="checkbox"/> Selling away	<input type="checkbox"/> Failure to submit to arbitration
<input type="checkbox"/> Churning	<input type="checkbox"/> Failure to supervise	<input type="checkbox"/> Failure to comply with other order of arbitrator(s)
<input type="checkbox"/> Fraud	<input type="checkbox"/> Other (please describe below)	

In what geographical location did the activity that is the basis for the referral take place? (This information is critical to determine which FINRA District will investigate the referral.)

When did the activity that is the basis of the referral take place? (It is not necessary to identify exact dates; the year and duration of the activity are sufficient.)

Please explain the reason for referral in narrative form. Provide details that would be helpful to an investigator, such as specific actions, names, dates, etc. Examples: For fraud or

misrepresentation, identify the specific nature of the fraud, any specific misrepresentations that were made, when they were made, to whom, etc. For a referral based on unsuitability, churning, unauthorized trading, etc., identify the specific securities and trades that justify the referral, including dates. Referrals that state only "the representative misrepresented something to the customer," or "there was unauthorized trading," for example, do not provide sufficient information to investigators, especially where the arbitration covered many transactions over a period of years.

Please identify any particular documents presented during the case that justify or would be useful in investigating the referral.

Please identify any person whose testimony justifies or would be useful in investigating the referral. If you know the date(s) on which they testified, please provide the date(s):

Arbitrator's Signature: _____

Date: _____