

Attachment A

12000. CODE OF ARBITRATION PROCEDURE FOR CUSTOMER DISPUTES

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12214. Payment of Arbitrators

(a) Except as provided in paragraph (b) of this Rule and in Rule 12800, FINRA will pay the panel an honorarium, as follows:

(1) No Change.

(2) an additional \$125 to the chairperson for each prehearing conference in which he or she participates;

([2]3) an additional \$[125]250 per day to the chairperson for each hearing on the merits;

([3]4) \$50 to each arbitrator for travel to a hearing session that is postponed pursuant to Rule 12601;

([4]5) \$600 to each arbitrator if a hearing session other than a prehearing conference is postponed within 10 days before a scheduled hearing session pursuant to Rules 12601(a)(1)(B), (a)(2) and (b)(2); and

(6) \$100 to each arbitrator scheduled to attend a prehearing conference that is cancelled within three business days of the prehearing conference by agreement of the parties or is requested by one or more parties within three business days of the prehearing conference and granted, pursuant to Rules 12500(d) and 12501(d).

(b) through (d) No Change.

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12900. Fees Due When a Claim Is Filed

(a) Fees for Claims Filed by Customers, Associated Persons and Other Non-Members

(1) Customers, associated persons, and other non-members who file a claim, counterclaim, cross claim or third party claim must pay a filing fee in the amount indicated in the schedule below.

Filing Fees for Claims Filed by Customers, Associated Persons, and Other Non-Members

Amount of Claim (exclusive of interest and expenses)	Filing Fee
\$.01 to \$1,000	\$50
\$1,000.01 to \$2,500	\$75
\$2,500.01 to \$5,000	\$175
\$5,000.01 to \$10,000	\$325
\$10,000.01 to \$25,000	\$425
\$25,000.01 to \$50,000	\$600
\$50,000.01 to \$100,000	\$975
\$100,000.01 to \$500,000	\$1,425
\$500,000.01 to \$1,000,000	[\$1,725] <u>1,740</u>
\$1,000,000.01 to \$5,000,000	[\$2,000] <u>2,025</u>
Over \$5,000,000	[\$2,250] <u>2,300</u>
Non-Monetary/Not Specified	[\$1,575] <u>1,600</u>

(2) If the claim does not request or specify money damages, the Director may determine that the filing fee should be more or less than the amount specified in the schedule above, but in any event, the amount of the filing fee may not be less than \$50 or more than \$[2,250]2,300.

(3) through (4) No Change.

(b) Fees for Claims Filed by Members

(1) Members filing a claim, counterclaim, cross claim, or third party claim must pay a filing fee in the amount indicated in the schedule below. Failure to pay the required amount will result in a deficiency under Rule 12307.

Fees for Claims Filed by Members

Amount of Claim (exclusive of interest and expenses)	Filing Fee
\$.01 to \$1,000	\$225
\$1,000.01 to \$2,500	\$350
\$2,500.01 to \$5,000	\$525
\$5,000.01 to \$10,000	\$750
\$10,000.01 to \$25,000	\$1,050
\$25,000.01 to \$50,000	\$1,450
\$50,000.01 to \$100,000	\$1,750
\$100,000.01 to \$500,000	\$2,125
\$500,000.01 to \$1,000,000	[\$2,550] <u>2,650</u>
\$1,000,000.01 to \$5,000,000	[\$3,400] <u>3,550</u>
Over \$5,000,000	[\$4,000] <u>4,200</u>
Non-Monetary/Not Specified	[\$1,700] <u>1,800</u>

(2) If the claim does not request or specify money damages, the Director may determine that the filing fee should be more or less than the amount specified in the schedule above, but in any event, the filing fee may not be less than \$225 or more than \$[4,000]4,200.

(c) Partial Refund of Filing Fee

(1) through (2) No Change.

(3) If FINRA notifies a customer that a member or an associated person has become inactive during a pending arbitration, as set forth in Rule 12202[(c)], and the customer withdraws the claim(s) against such member or associated person within the 60-day time period specified in the rule, FINRA will remit a full refund per the schedule in Rule 12900(a) to the customer even if the customer withdraws the claim(s) within 10 days of the date that the hearing on the merits under Rule 12600 is scheduled to begin.

(d) No Change.

12901. Member Surcharge

(a) Member Surcharge

(1) A surcharge in the amount indicated in the schedule below will be assessed against each member that:

(A) through (C) No Change.

Member Surcharge

Amount of Claim (exclusive of interest and expenses)	Surcharge
\$.01 to \$5,000	\$150
\$5,000.01–\$10,000	\$325
\$10,000.01–\$25,000	\$450
\$25,000.01–\$50,000	\$750
\$50,000.01–\$100,000	\$1,100
\$100,000.01–\$250,000	\$1,700
\$250,000.01 [to]–\$500,000	\$[1,900] <u>2,025</u>
\$500,000.01–\$1,000,000	\$[2,475] <u>2,625</u>
\$1,000,000.01–\$5,000,000	\$[3,025] <u>3,200</u>
\$5,000,000.01–\$10,000,000	\$[3,600] <u>3,850</u>

Over \$10,000,000	\$[4,025] <u>4,325</u>
Non-Monetary/Not Specified	\$[1,900] <u>2,000</u>

(2) If the claim does not request or specify money damages, the Director may determine that the member surcharge should be more or less than the amount specified in the schedule above, but in any event the amount of the member surcharge may not be less than \$150 or more than \$[4,025]4,325.

(3) through (6) No Change.

(b) No Change.

12902. Hearing Session Fees, and Other Costs and Expenses

(a) Hearing Session Fees

(1) Hearing session fees will be charged for each hearing session. The total amount chargeable to the parties for each hearing session is based on the amount in dispute, as specified in the schedule below. In the award, the panel will determine the amount of each hearing session fee that each party must pay.

Hearing Session Fees

Amount of Claim (exclusive of interest and expenses)	Hearing Session W/ One Arbitrator	Hearing Session W/ Three Arbitrators
Up to \$2,500	\$50	N/A
\$2,500.01 to \$5,000	\$125	N/A
\$5,000.01 to \$10,000	\$250	N/A
\$10,000.01 to \$25,000	\$450	N/A
\$25,000.01 to \$50,000	\$450	\$600
\$50,000.01 to \$100,000	\$450	\$750
\$100,000.01 to \$500,000	\$450	\$1,125
\$500,000.01 to \$1,000,000	\$450	\$[1,300] <u>1,325</u>
\$1,000,000.01 to \$5,000,000	\$450	\$[1,400] <u>1,435</u>

Over \$5,000,000	\$450	\$[1,500] <u>1,575</u>
Non-Monetary / Not Specified	\$450	\$[1,125] <u>1,150</u>

(2) If the claim does not request or specify money damages, the Director may determine that the hearing session fee should be more or less than the amount specified in the schedule above, but in any event the hearing session fee shall not be less than \$50 or more than \$[1,500]1,575 for each hearing session.

(3) through (5) No Change.

(b) through (e) No Change.

12903. Process Fees Paid by Members

(a) Each member that is a party to an arbitration in which more than \$25,000, exclusive of interest and expenses, is in dispute must pay a non-refundable process fee, due at the time the parties are sent arbitrator lists in accordance with Rule 12402(c) or Rule 12403(b), as set forth in the schedule below.

Process Fee Schedule

Amount of Claim (exclusive of interest and expenses)	Process Fee
\$.01–\$25,000	\$ 0
\$25,000.01–\$50,000	\$1,750
\$50,000.01–\$100,000	\$2,250
\$100,000.01–\$250,000	\$3,250
\$250,000.01–\$500,000	\$[3,750] <u>3,875</u>
\$500,000.01–\$1,000,000	\$[5,075] <u>5,225</u>
\$1,000,000.01–\$5,000,000	\$[6,175] <u>6,375</u>
\$5,000,000.01–\$10,000,000	\$[6,800] <u>7,050</u>
Over \$10,000,000	\$[7,000] <u>7,300</u>
Non-Monetary/Not Specified	\$[3,750] <u>3,850</u>

(b) through (e) No Change.

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13000. CODE OF ARBITRATION PROCEDURE FOR INDUSTRY DISPUTES

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13214. Payment of Arbitrators

(a) Except as provided in paragraph (b) of this Rule, Rule 13800, and Rule 13806(f), FINRA will pay the panel an honorarium, as follows:

(1) No Change.

(2) an additional \$125 to the chairperson for each prehearing conference in which he or she participates;

(~~2~~3) an additional \$~~125~~250 per day to the chairperson for each hearing on the merits;

(~~3~~4) \$50 to each arbitrator for travel to a hearing session that is postponed pursuant to Rule 13601;

(~~4~~5) \$600 to each arbitrator if a hearing session other than a prehearing conference is postponed within 10 days before a scheduled hearing session pursuant to Rules 13601(a)(2) and (b)(2); and

(~~6~~) \$100 to each arbitrator scheduled to attend a prehearing conference that is cancelled within three business days of the prehearing conference by agreement of the parties or is requested by one or more parties within three business days of the prehearing conference and granted, pursuant to Rules 13500(d) and 13501(d).

(b) through (d) No Change.

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13900. Fees Due When a Claim Is Filed

(a) Fees for Claims Filed by Associated Persons

(1) Associated persons who file a claim, counterclaim, cross claim or third party claim must pay a filing fee in the amount indicated in the schedule below.

Filing Fees for Claims Filed by Associated Persons

Amount of Claim (exclusive of interest and expenses)	Filing Fee
\$.01 to \$1,000	\$50
\$1,000.01 to \$2,500	\$75
\$2,500.01 to \$5,000	\$175
\$5,000.01 to \$10,000	\$325
\$10,000.01 to \$25,000	\$425
\$25,000.01 to \$50,000	\$600
\$50,000.01 to \$100,000	\$975
\$100,000.01 to \$500,000	\$1,425
\$500,000.01 to \$1,000,000	[\$1,725] <u>1,740</u>
\$1,000,000.01 to \$5,000,000	[\$2,000] <u>2,025</u>
Over \$5,000,000	[\$2,250] <u>2,300</u>
Non-Monetary/Not Specified	[\$1,575] <u>1,600</u>

(2) If the claim does not request or specify money damages, the Director may determine that the filing fee should be more or less than the amount specified in the schedule above, but in any event, the amount of the filing fee may not be less than \$50 or more than \$[2,250]2,300.

(3) through (4) No Change.

(b) Fees for Claims Filed by Members

(1) Members filing a claim, counterclaim, cross claim, or third party claim must pay a filing fee in the amount indicated in the schedule below. Failure to pay the required amount will result in a deficiency under Rule 13307.

Fees for Claims Filed by Members

Amount of Claim (exclusive of interest and expenses)	Filing Fee
\$.01 to \$1,000	\$225
\$1,000.01 to \$2,500	\$350
\$2,500.01 to \$5,000	\$525
\$5,000.01 to \$10,000	\$750
\$10,000.01 to \$25,000	\$1,050
\$25,000.01 to \$50,000	\$1,450
\$50,000.01 to \$100,000	\$1,750
\$100,000.01 to \$500,000	\$2,125
\$500,000.01 to \$1,000,000	2,550 <u>2,650</u>
\$1,000,000.01 to \$5,000,000	3,400 <u>3,550</u>
Over \$5,000,000	4,000 <u>4,200</u>
Non-Monetary/Not Specified	1,700 <u>1,800</u>

(2) If the claim does not request or specify money damages, the Director may determine that the filing fee should be more or less than the amount specified in the schedule above, but in any event, the filing fee may not be less than \$225 or more than ~~4,000~~4,200.

(c) through (d) No Change.

13901. Member Surcharge

(a) A surcharge in the amount indicated in the schedule below will be assessed against each member that:

(1) through (3) No Change.

Member Surcharge

Amount of Claim (exclusive of interest and expenses)	Surcharge
\$.01 to \$5,000	\$150
\$5,000.01–\$10,000	\$325
\$10,000.01–\$25,000	\$450
\$25,000.01–\$50,000	\$750
\$50,000.01–\$100,000	\$1,100
\$100,000.01–\$250,000	\$1,700
\$250,000.01 [to]–\$500,000	[\$1,900] <u>2,025</u>
\$500,000.01–\$1,000,000	[\$2,475] <u>2,625</u>
\$1,000,000.01–\$5,000,000	[\$3,025] <u>3,200</u>
\$5,000,000.01–\$10,000,000	[\$3,600] <u>3,850</u>
Over \$10,000,000	[\$4,025] <u>4,325</u>
Non-Monetary/Not Specified	[\$1,900] <u>2,000</u>

(b) If the claim does not request or specify money damages, the Director may determine that the member surcharge should be more or less than the amount specified in the schedule above, but in any event the amount of the member surcharge may not be less than \$150 or more than \$[4,025]4,325.

(c) through (g) No Change.

13902. Hearing Session Fees, and Other Costs and Expenses

(a) Hearing Session Fees

(1) Hearing session fees will be charged for each hearing session. The total amount chargeable to the parties for each hearing session is based on the amount in dispute, as specified in the schedule below. In the award, the panel will determine the amount of each hearing session fee that each party must pay.

Hearing Session Fees

Amount of Claim (exclusive of interest and expenses)	Hearing Session W/ One Arbitrator	Hearing Session W/ Three Arbitrators
Up to \$2,500	\$50	N/A
\$2,500.01 to \$5,000	\$125	N/A
\$5,000.01 to \$10,000	\$250	N/A
\$10,000.01 to \$25,000	\$450	N/A
\$25,000.01 to \$50,000	\$450	\$600
\$50,000.01 to \$100,000	\$450	\$750
\$100,000.01 to \$500,000	\$450	\$1,125
\$500,000.01 to \$1,000,000	\$450	[\$1,300] <u>1,325</u>
\$1,000,000.01 to \$5,000,000	\$450	[\$1,400] <u>1,435</u>
Over \$5,000,000	\$450	[\$1,500] <u>1,575</u>
Non-Monetary / Not Specified	\$450	[\$1,125] <u>1,150</u>

(2) If the claim does not request or specify money damages, the Director may determine that the hearing session fee should be more or less than the amount specified in the schedule above, but in any event the hearing session fee shall not be less than \$50 or more than [\$1,500]1,575 for each hearing session.

(3) through (4) No Change.

(b) through (e) No Change.

13903. Process Fees Paid by Members

(a) Each member that is a party to an arbitration in which more than \$25,000, exclusive of interest and expenses, is in dispute must pay non-refundable process fee, due at the time the parties are sent arbitrator lists in accordance with Rule 13403(b), as set forth in the schedule below.

Process Fee Schedule

Amount of Claim (exclusive of interest and expenses)	Process Fee
\$.01–\$25,000	\$0
\$25,000.01–\$50,000	\$1,750
\$50,000.01–\$100,000	\$2,250
\$100,000.01–\$250,000	\$3,250
\$250,000.01–\$500,000	[\$3,750] <u>3,875</u>
\$500,000.01–\$1,000,000	[\$5,075] <u>5,225</u>
\$1,000,000.01–\$5,000,000	[\$6,175] <u>6,375</u>
\$5,000,000.01–\$10,000,000	[\$6,800] <u>7,050</u>
Over \$10,000,000	[\$7,000] <u>7,300</u>
Non-Monetary/Not Specified	[\$3,750] <u>3,850</u>

(b) through (e) No Change.

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