

How to File a New Disciplinary Proceeding with OHO

Introduction

This document provides instructions for electronically filing a new disciplinary proceeding with the Office of Hearing Officers (OHO) using our user-friendly online intake form: [File a New Disciplinary Proceeding](#).

The intake form is linked to the OHO Docket Portal, the online docket and electronic filing system for participants in OHO proceedings. **You do not, however, need an OHO Docket Portal account to file a new case.** Upon receiving your filing, OHO staff will create an account for you, if you don't have one already, and you will receive an email with your user credentials from OHOSupport@finra.org.

Note: Filing a new disciplinary proceeding with OHO using the OHO Docket Portal does not effect service of a Complaint pursuant to FINRA Rules 9131 and 9134.

When you electronically file a new case with OHO using the online intake form, you will receive a confirmation email from finraoho.stagingtap@thinksmart.com.

Once a case is active in the OHO Docket Portal, you will receive notifications from noreply@teamconnect.com.

Throughout the course of the disciplinary proceeding, you will also receive email from OHODocketManager@finra.org, OHOSupport@finra.org, and the Case Administrator assigned to your case.

Add these addresses to your safe senders lists to ensure that email is not sent to spam or junk mail folders.

For assistance with the OHO Docket Portal and filing a new disciplinary proceeding, email OHOSupport@finra.org or call 202-728-8008.

Completing the Intake Form

The intake form marks system-required fields with a red asterisk. Some fields are not required because there may be cases where that information is not available. But if you have information (a respondent's email address, for example), enter it. This allows OHO to handle the intake and communicate with a respondent more efficiently.

There are four steps to filing a new case with OHO using the intake form:

1. Complete each field on the questionnaire (4 sections).
2. Attach the Complaint and other filings.
3. Complete the Captcha to verify that you are not a bot.
4. Submit the form.

See below for detailed information and instructions on completing the intake form.

Intake Form Section 1: General Information

FINRA. Office of Hearing Officers

Complainant: File New Case with OHO

Please complete all required fields and then click Submit

General Information

Your Name *

Your Email Address *

Your Role *

Please Select Table Item

Your Phone Number *

Your Mailing Address *

Do you already have an OHO Docket Portal account? *

Please Select Tabl...

Today's Date *

07/24/2025

Date Served on Respondent(s) *

07/24/2025

Complainant *

Please Select Table Item

Proceeding Number *

Types of Proceedings

FINRA Disciplinary Proceeding / FINRA Rule 9200 series: Disciplinary Proceeding filed by the Department of Enforcement against FINRA firms and individuals.
Other FINRA Proceeding / FINRA Rule 9700 series: Proceeding on Grievances Concerning the Automated Systems.
FINRA TCDO / FINRA Rule 9800 series: Temporary Cease and Desist Orders.
Regulatory Services Agreement (RSA) / Adjudication process for disciplinary proceeding initiated on behalf of non-FINRA exchanges.

What type of proceeding is this? *

Please Select Table Item

General Information is about the person submitting the new case, whether an attorney or support staff. (There is a separate section for counsel below.) You can use your tab key to move from one field to the next. The fields are ordered left to right on the screen.

Your Name	
Your Email Address	Note: When you submit the intake form, you will automatically receive a confirmation email at this address.
Your Role	Select Counsel or Support Staff.
Your Phone Number	
Your Mailing Address	

Do you already have an OHO Docket Portal account?	<p>Select Yes or No.</p> <p>Note: If you do not already have an account, OHO system administrators will create one for you and email you your username and temporary password.</p> <p>If you do not know or remember whether you already have an account, select No. OHO will check your account status and contact you by email.</p>
Today's Date	This field defaults to today's date.
Date Served on Respondent(s)	<p>Note: This field defaults to today's date, but the date you served the Complaint or other document on Respondent could be different than the day you file the case with OHO.</p>
Complainant	<p>Select Department of Enforcement or Other.</p> <p>Note: If you select Other, you will be prompted with another required text field to identify the correct Complainant in the proceeding (e.g., a different department or another SRO). See screenshot below.</p>

Complainant *

Other ▼

If other, specify *

Proceeding Number	Enter the proceeding number from the case caption on the Complaint or other document initiating the proceeding.
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Type of Proceeding	Select FINRA Disciplinary Proceeding, FINRA TCDO, Other FINRA Proceeding or Regulatory Services Agreement (RSA). Note: Definitions of the types of proceedings are listed above this field.
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Intake Form Section 2: Complainant Counsel Information

Complainant Counsel Information

Complainant Primary Counsel Name *

Complainant Primary Counsel Email Address *

Complainant Primary Counsel Phone Number *

Complainant Primary Counsel Mailing Address *

Are there additional counsel for the Complainant? *

Please Select Table Item

If you are an attorney representing the Complainant and also submitting the intake form, you must re-enter your information from above. Attorneys identified in the notice of complaint as representing Complainant in this matter should be entered on the intake form. They will be provisioned OHO Docket Portal accounts if they do not already have one and will receive an email with their user credentials from OHOSupport@finra.org.

Note: Attorneys who file a notice of appearance later in the proceeding will also be provisioned accounts if they do not already have one. You or other office staff may also request an OHO Docket Portal account by emailing OHOSupport@finra.org.

Complainant Primary Counsel Name	
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Complainant Primary Counsel Email Address	
Complainant Primary Counsel Phone Number	
Complainant Primary Counsel Mailing Address	
Are there additional counsel for the Complainant?	<p>Select Yes or No.</p> <p>Note: If you select Yes, you will be prompted to complete additional required fields with contact information for at least one other attorney. See screenshot below.</p>

The screenshot shows a web form titled "Are there additional counsel for the Complainant? *". A dropdown menu is set to "Yes". Below this, there are two columns of input fields. The left column contains "Additional 1 - Complainant Counsel Name *" (with a red asterisk and a red error message "This field is required" below it), "Additional 1 - Complainant Counsel Phone Number *", "Additional 2 - Complainant Counsel Name", and "Additional 2 - Complainant Counsel Phone Number". The right column contains "Additional 1 - Complainant Counsel Email Address *", "Additional 1 - Complainant Counsel Mailing Address *", "Additional 2 - Complainant Counsel Email Address", and "Additional 2 - Complainant Counsel Mailing Address". All fields are currently empty.

Intake Form Section 3: Respondent Information

Respondent Information

Respondent Name *

Respondent CRD Number *

Respondent Phone Number

Respondent Email Address

Is the Respondent currently registered with FINRA? *

Please Select Table Item

Residential Mailing Address as Listed in CRD *

List any additional addresses for Respondent here.

Are there additional Respondents? *

Please Select Table Item

Respondent Name	
Respondent CRD Number	
Respondent Email Address	Note: This field is not required because sometimes a respondent's email address is unknown at the time of filing a Complaint but do provide it if you have it.
Respondent Phone Number	Note: As with a respondent's email address, this field is not required because sometimes a respondent's phone number is unknown at the time of filing a Complaint but do provide it if you have it.
Is the Respondent currently registered with FINRA?	Select Yes or No.
Residential Mailing Address as Listed in CRD	

List any additional addresses for Respondent here.	Note: If you are aware of better or additional addresses for Respondent and sent copies of the Complaint or other documents to those addresses, enter them here.
Are there additional Respondents?	<p>Select Yes or No.</p> <p>Note: If you select Yes, you will be required to complete the same fields for the second Respondent. See screenshot below.</p>

Are there additional Respondents? *

Yes

Respondent 2 Name *

Respondent 2 CRD Number *

Respondent 2 Phone Number

Respondent 2 Email Address

Is Respondent 2 currently registered with FINRA? *

Please Select Table Item

Respondent 2 Mailing Address as listed in CRD *

List any additional addresses for Respondent 2 here.

Is there a Third Respondent?

Please Select Table Item

<p>Is There a Third Respondent?</p>	<p>Select Yes or No.</p> <p>Note: If you add a second respondent, you will be prompted to say whether there is a third respondent.</p> <p>If you select Yes, you will again be required to complete the same fields as above. A text box becomes available for you to enter information about additional respondents if there are more than three. See screenshot below.</p>
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Respondent 3 Name *

Respondent 3 CRD Number *

Respondent 3 Phone Number

Respondent 3 Email Address

Is Respondent 3 currently registered with FINRA? *

Please Select Table Item

Respondent 3 Mailing Address as listed in CRD *

List any additional addresses for Respondent 3 here.

If there are more than three respondents in this proceeding, list their names and contact information below.

Intake Form Section 4: Respondent Counsel Information

Respondent Counsel Information

Does any Respondent have counsel who has agreed to accept service of the Complaint? *

Please Select Table Item

If counsel has represented a Respondent and has agreed to accept service of the complaint, enter contact information in this section.

Does any Respondent have counsel who has agreed to accept service of the Complaint?	Select Yes or No. Note: If you select Yes, you will be prompted to complete additional required fields with contact information.
Respondent Primary Counsel Name	
Respondent Primary Counsel Email Address	
Respondent Primary Counsel Phone Number	
Respondent Primary Counsel Mailing Address	
Are there additional counsel for any Respondent?	Select Yes or No. If you select Yes, you will be prompted to complete additional required fields with contact information for at least one other attorney. See screenshot below.

Are there additional Counsel for any Respondent? *

Yes

Additional 1 - Respondent Counsel Name *

Additional 1 - Respondent Counsel Email *

Additional 1 - Respondent Counsel Phone Number *

Additional 1 - Respondent Counsel Mailing Address *

Additional 2 - Respondent Counsel Name

Additional 2 - Respondent Counsel Email

Additional 2 - Respondent Counsel Phone Number

Additional 2 - Respondent Counsel Mailing Address

If there are additional Respondent counsel, enter their names and contact information below.

Intake Form Section 5: Documents

Attach the Complaint and any other documents you wish to file (e.g., an index of initials used in the Complaint and the notice of complaint). Click the Select files button and browse to your documents.

Documents

Attach the Complaint and any additional filings *

Select files...

Submitting the Intake Form

When your form is complete and you have attached the documents for filing, check the Captcha "I'm not a robot" box. Complete the Captcha test and click the Submit button.

Captcha

☐ I'm not a robot

reCAPTCHA
Privacy - Terms

Submit

Upon submitting the intake form you will see a confirmation screen containing important information. You will receive identical information in an email to the address you provided in Section 1 of the intake form.

In addition to substantive information about OHO proceedings and what to expect as your case is processed, the confirmation screen and email include a confirmation number for your submission and contact information for requesting support. As mentioned above, the confirmation email will come from *finraoho.stagingtap@thinksmart.com*.

FINRA. Office of Hearing Officers

Thank you for filing a new matter with FINRA's Office of Hearing Officers. Your reference number is OHOQA-DP00000062.

You will receive the information that follows in an email notification from finra.tap@thinksmart.com. Add this address to your safe senders list to ensure that the email is not sent to a spam or junk mail folder. You may wish to print this screen for your records.

Within one business day, the Office of Hearing Officers will process your submission and add the matter to the OHO Docket Portal, OHO's electronic filing system.

You and other individuals you identified in the form will receive an email notification saying you have been added as a participant in the matter, and you will be able to access the matter immediately in the OHO Docket Portal.

Add noreply@teamconnect.com to your safe senders list to ensure that the email is not sent to a spam or junk mail folder. You can still access your matter in the OHO Docket Portal if you do not receive the email, but future notifications about new documents and important information will be sent from this address. Information about the OHO Docket Portal is available at www.finra.org/oho.

If you do not already have a user account for the OHO Docket Portal, the Office of Hearing Officers will email you your username and your temporary password. You will be prompted to change your password the first time you log into the system.

Add OHOSupport@finra.org to your safe senders list to ensure that the email is not sent to a spam or junk mail folder.

If you have questions about this proceeding, email OHODocketManager@finra.org or call the Office of Hearing Officers at 202-728-8008.

If you need technical assistance, please email OHOSupport@finra.org or call the Office of Hearing Officers at 202-728-8008.

FINRA Office of Hearing Officers
1700 K Street, NW
Washington, DC 20006
202-728-8008
www.finra.org/oho

OHO Docket Portal

When you receive the confirmation email, electronic filing of the new case is complete. OHO will triage the case and open it as a new matter in the OHO Docket Portal. You will then receive an email notification from *noreply@teamconnect.com* stating that you have been added as a participant on the matter.

This notification signifies that the case has been processed from the online forms to the OHO Docket Portal. You may now access the matter in the [OHO Docket Portal](#) using your OHO Docket Portal user account. As mentioned earlier, upon receiving your filing, OHO staff will create an account for you and you will receive an email with your user credentials from OHOSupport@finra.org.

Resources on using the OHO Docket Portal are available at www.finra.org/oho and inside the OHO Docket Portal in the Party Reference Documents widget.

For assistance with the OHO Docket Portal and filing a new disciplinary proceeding, email OHOSupport@finra.org or call 202-728-8008.