



Hardship Waiver Request Affidavit

For Use in California Cases Only

In cases with a California hearing location, pursuant to Section 1284.3 of the California Code of Civil Procedure, indigent consumers are entitled to a waiver of all arbitration fees and costs, not including arbitrator fees. An indigent consumer is a person with a gross monthly income of less than 300% of the federal poverty guidelines. Parties, who believe they meet these requirements and want to request a fee waiver, must complete this affidavit and submit it with their arbitration claim or to the FINRA staff member assigned to their case.

Case Number (if available):

Requesting Party's Name:

Requesting Party's Address:

Number of Persons in Requesting Party's Household:

Requesting Party's Monthly Gross Income:

I hereby swear that the foregoing is a true and correct statement.

Signature of Requesting Party

Date