# How to Request Access to a Proceeding in the OHO Docket Portal

## Introduction

If you are a party in an Office of Hearing Officers (OHO) disciplinary or expedited proceeding, or you represent a party in accordance with FINRA Rule 9141, you must have a user account to use the OHO Docket Portal, the secure online docket and electronic filing system for participants in OHO proceedings. You must also have access to the proceeding.

Access to the OHO Docket Portal is granted separately for each proceeding. Requirements for access are based on your role in the proceeding. To request access (Access Request), complete OHO's online interactive form: Request Access to the OHO Docket Portal. The Access Request form serves as a request for a user account and for access to your proceeding.

> **If you are counsel representing a party, an officer of a respondent firm representing the firm, or support staff requesting access for yourself or counsel, the Access Request form will indicate whether you must attach a Notice of Appearance.** The requirement depends on your role and the information you provide in the form.
>
> **Important:** Attaching a Notice of Appearance to the Access Request form allows OHO to evaluate OHO Docket Portal access, but it does not replace the requirement to file the Notice of Appearance as a Party Submission after access is granted. The Notice of Appearance does not need to be redated or re-signed when it is filed as a Party Submission. OHO will treat it as filed on the date the Access Request was submitted.

OHO will review your Access Request and respond within one business day. If access is granted and you do not already have an OHO Docket Portal user account, OHO will create one and you will receive automated emails with your username and temporary password from *notification@thinksmart.com* or *noreply@teamconnect.com*.

After your account and proceeding access are confirmed, you will receive an email stating that you have been added as a participant to the proceeding, called a "matter" in the OHO Docket Portal. You may then log in to file, serve, and receive case documents and view case information.

> **Note:** Add *notification@thinksmart.com* and *noreply@teamconnect.com* to your safe senders list so OHO Docket Portal emails are not sent to your spam or junk folder.

For assistance with the OHO Docket Portal, email *OHOSupport@finra.org* or call (202) 728-8008.

# Completing the Access Request Form

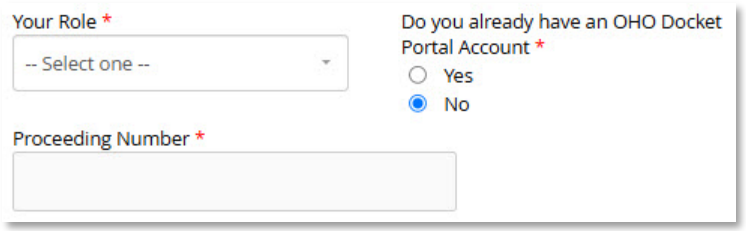
Use the Access Request form to tell OHO who you are, which proceeding you need access to, whether you already have an OHO Docket Portal account, and whether your role requires you to attach a Notice of Appearance. The sections below explain how to complete each part of the form.

## OHO Docket Portal User Account

Select the option that matches your account status, then follow the instructions for that option.

### 1. If You Do Not Have an OHO Docket Portal Account

Select the option indicating that you do not already have an OHO Docket Portal account.

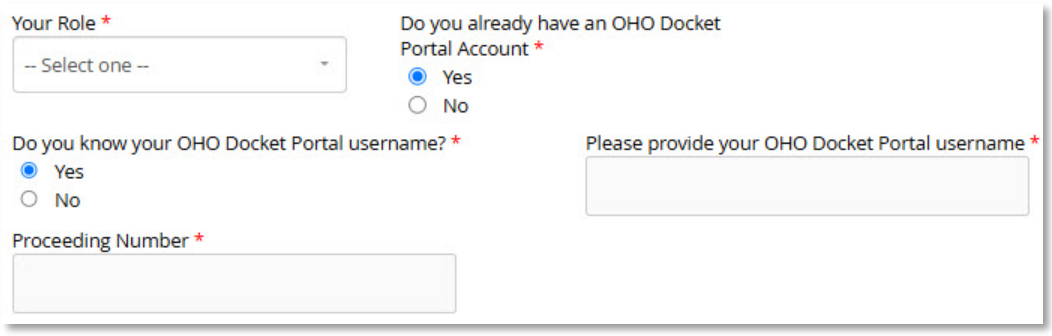



If OHO approves your request, you will receive automated emails from *notification@thinksmart.com* or *noreply@teamconnect.com* with your username and temporary password. You must change the temporary password the first time you log in.

### 2. If You Have an OHO Docket Portal Account and Remember Your Username

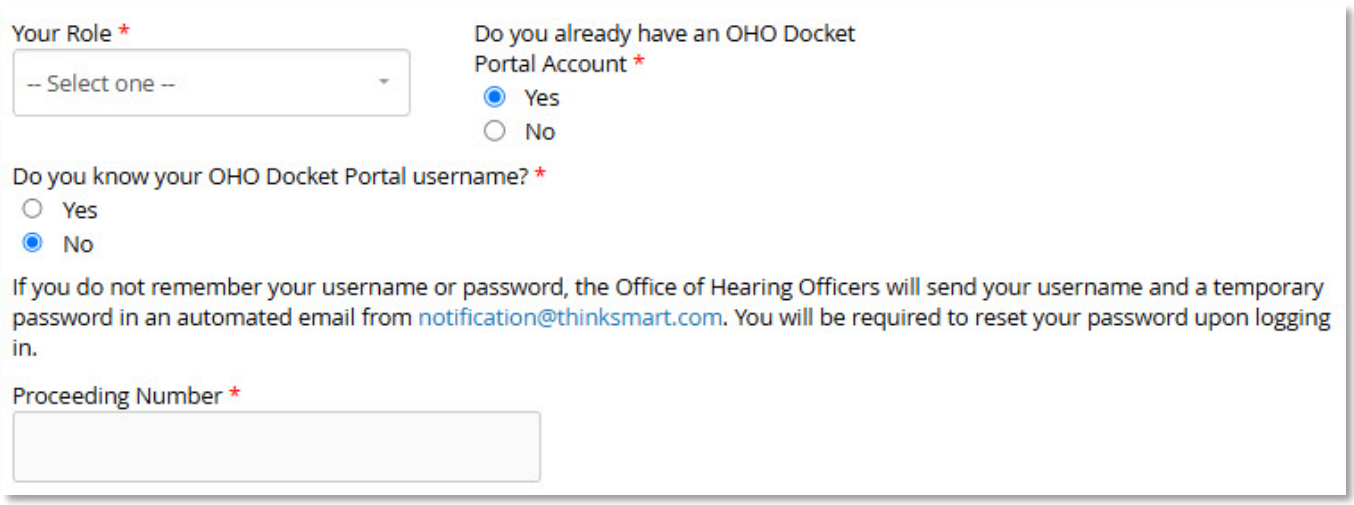
Select the option indicating that you already have an OHO Docket Portal account and provide your username.

If OHO approves your request, you can log in after you receive notification that you have been added as a participant in the proceeding.




## 3. If You Have an OHO Docket Portal Account but Do Not Remember Your Username

Select the option indicating that you already have an OHO Docket Portal account but do not remember your username. If OHO approves your request, you will receive automated emails from *notification@thinksmart.com* or *noreply@teamconnect.com* with your username and temporary password. You must change the temporary password the first time you log in.



## Determine Whether a Notice of Appearance Is Required

The Access Request form will guide you through whether a Notice of Appearance must be attached based on your role and the information you provide.

- **Counsel or firm officer:** If you are counsel representing a party or an officer of a respondent firm representing the firm, you must attach a Notice of Appearance in accordance with FINRA Rule 9141.
- **Multiple counsel:** If more than one counsel is appearing, one Notice of Appearance listing all counsel is sufficient.

The form will display different instructions for support staff depending on whether counsel has already filed a Notice of Appearance. Support staff for counsel should follow these rules:

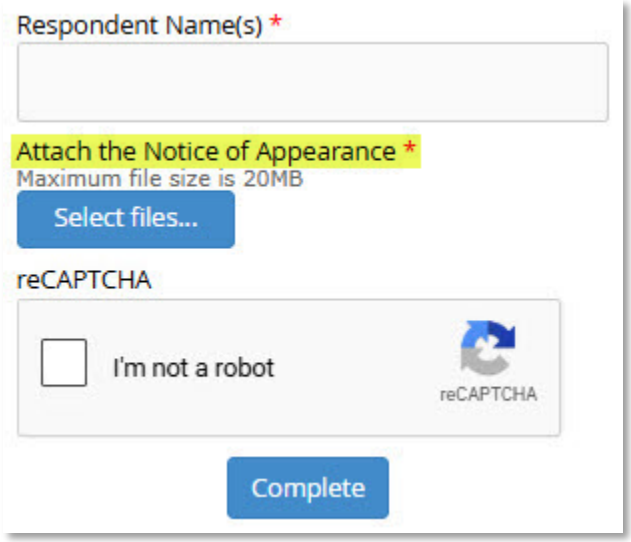
- If counsel has not yet filed a Notice of Appearance, attach counsel's Notice of Appearance to the Access Request form.
- If counsel has already filed a Notice of Appearance, request access without attaching a copy.

After you receive access to the proceeding, **you must also file the Notice of Appearance you attached to the form, and all future filings, through the Party Submissions tab in the OHO Docket Portal.** However, you may file the same Notice of Appearance without redating or re-signing it. OHO will treat it as filed on the date the Access Request was submitted.

## Submitting the Access Request Form

Before you submit the Access Request form, complete the following final checks:

- Review each field for accuracy.
- Attach any required Notice of Appearance.
- Check the "I'm not a robot" box.
- Click **Complete** to submit the form.




After submission, OHO will review your Access Request and respond within one business day.

## Using the OHO Docket Portal After Approval

After OHO approves your access, use the OHO Docket Portal to file, serve and receive case documents, and to view case information for the proceeding.

For OHO Docket Portal instructions and reference materials, visit OHO's Docket Portal website, www.finra.org/oho/ohodocketportal or open the Party Reference Documents widget inside the OHO Docket Portal.

For help using the OHO Docket Portal or filing a request for a hearing, email OHOSupport@finra.org or call (202) 728-8008.

For help with your proceeding, contact the assigned Case Administrator.