



# FINRA Arbitrator Application

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## User Guide

**September 2020**

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## How Do I Get Started?

### DR Portal Access

FINRA Dispute Resolution forum participants can complete the Arbitrator Application after creating a DR Portal account.

**Note: you can not use a FINRA Firm Gateway account on the DR Portal. You must create a separate personal account, and the account should use the unique email address of the user. Do not use a “group mailbox” email address when creating an account.**

### Compatible Browsers

The DR Portal is compatible with the following browser versions (or higher): Microsoft Edge; Firefox 22, Google Chrome 27, and Safari 6. Microsoft Internet Explorer 11 is no longer supported.

### Pop-up Blockers

Some features of the portal open extra tabs in your browser or pop-up windows. We suggest that you add \*.finra.org to your browser’s list of Trusted Sites and to your pop-up blocker’s exception list. You may also disable your pop-up blocker.

### Mobile Devices

The DR Portal is only partially accessible with mobile devices. You can login and view case information, and depending on the device, and may be able to view PDF files. You cannot currently complete the Arbitrator Application form using a mobile device.

### Spam Filters

You will receive automated emails coming from “drportal@finra.org” when activity occurs that requires your attention. In order to prevent your spam filter from blocking these emails, we suggest that you add this email address to the “safe senders” list in your spam filter software.

**Note: FINRA will not complete spam filter forms that may be sent by your spam filter software. You must add the “drportal@finra.org” email address to your spam filter safe sender list in order to receive emails coming from the DR Portal.**

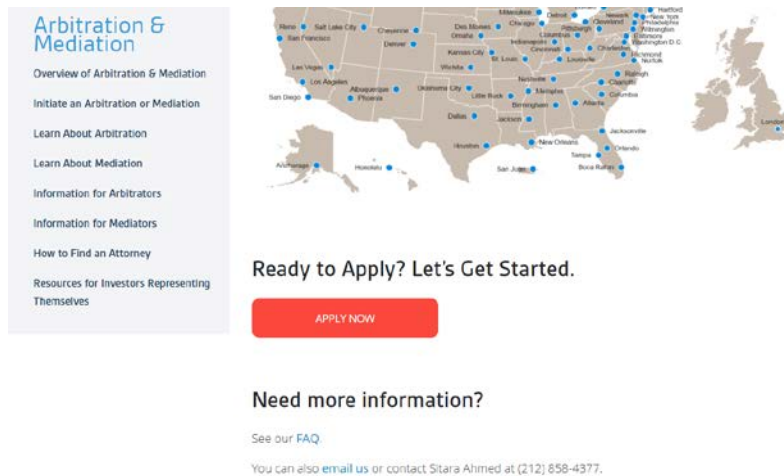
### Registering an Account with FINRA

You will begin the application process by first registering with FINRA.

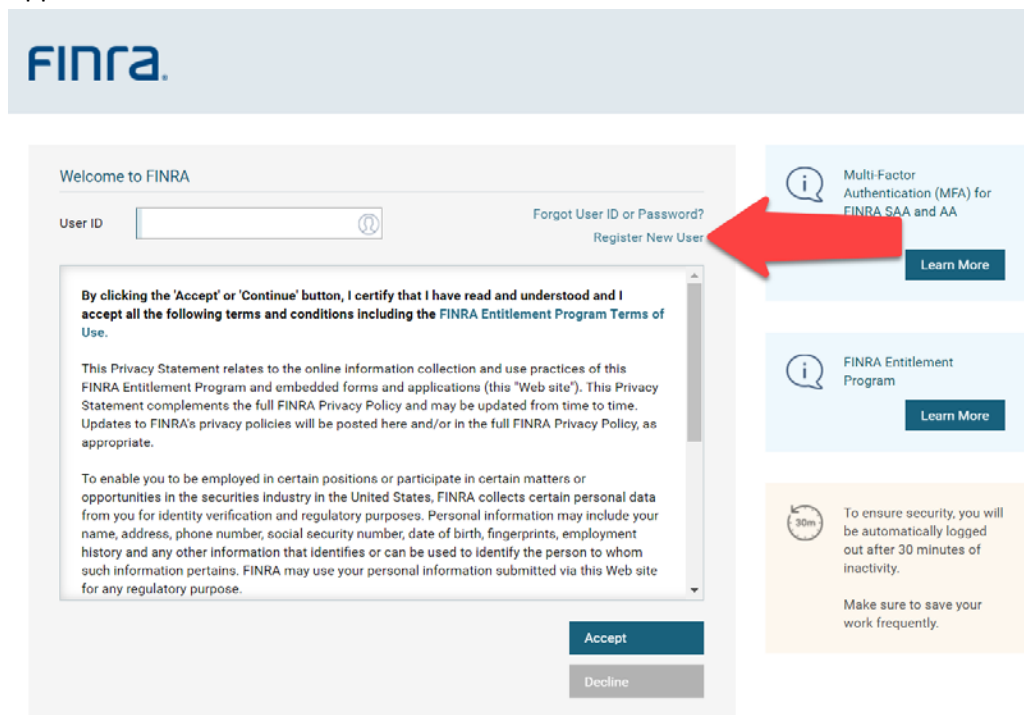
1. Under “Information for Arbitrators”, find the “Become an Arbitrator” page.  
<https://www.finra.org/arbitration-mediation/become-finra-arbitrator>
2. Click the red “Apply Now” button to log into the DR Portal Arbitrator Application form.

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## FINRA Dispute Resolution Services Arbitrator Application User Guide



3. You will be taken to the “**Welcome to FINRA**” login page where you have the option to log into or create your FINRA account.
4. If you do not already have a DR Portal account, click on “**Register New User**” to create a new FINRA account. Otherwise, login with your existing account and skip to “Getting Started with the Application” below.



5. Enter the User Profile information. Note that the email address that you provide in the Primary Email will be the email that is reflected as your primary email address with FINRA Dispute Resolution. If you need to update your email address with FINRA, you will need to make this change by updating your account information in the portal—this change cannot be made by

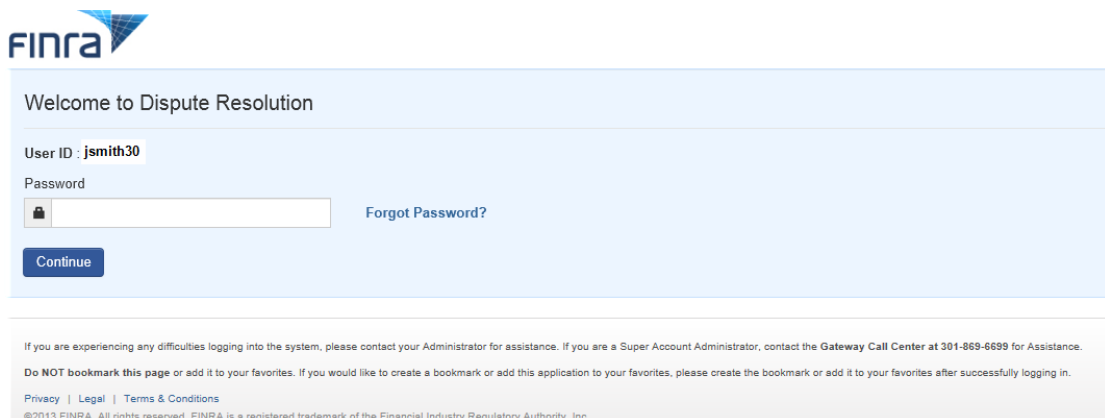
FINRA staff. FINRA Dispute Resolution Services does not make use of the “Secondary Email” field, so you can leave this blank.

6. You will also need to enter the characters shown in the box before submitting the information. You can click the small refresh button if you are having trouble reading the provided set of characters and would like a different set.

To prevent unauthorized access to this application, please enter the characters in the exact order as they appear in the box below.

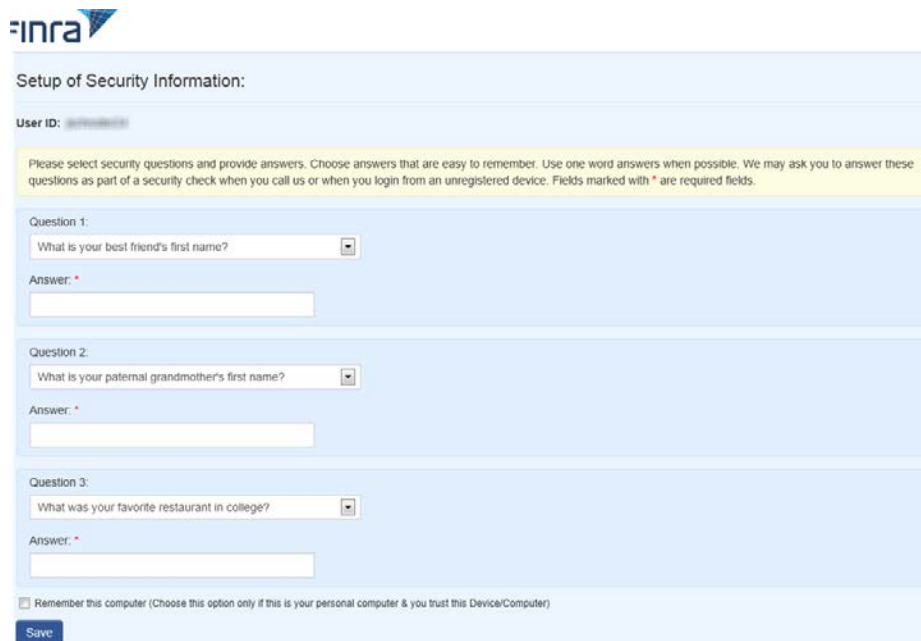


7. Once all information is entered, press “Submit”.
8. You will receive a “**Registration Confirmation**” with your User ID. Be sure to write down your User ID and/or print this screen.
9. You will be sent an email with a temporary password. Copy the password and click on the words “**this link**” in the email to change your password.
10. On the “**Welcome to FINRA**” page, enter your User ID and password and click “**I agree.**”
11. The system will capture your User ID and prompt you to enter your password. Enter your temporary password and click “**Continue.**”



12. You will be prompted to reset your password. Once you reset your password, click “**Continue.**”
13. You will receive a “**Password Reset Completed**” message on the screen. Click on the “**Continue**” button to enter your new password.

14. Log into the online application by entering your **new password**. The first time you log in you will be asked to answer three security questions. From time to time, the system may ask you one of these questions to confirm your identity.



**FINRA**

Setup of Security Information:

User ID:

Please select security questions and provide answers. Choose answers that are easy to remember. Use one word answers when possible. We may ask you to answer these questions as part of a security check when you call us or when you login from an unregistered device. Fields marked with \* are required fields.

Question 1:  
What is your best friend's first name?

Answer: \*

Question 2:  
What is your paternal grandmother's first name?

Answer: \*

Question 3:  
What was your favorite restaurant in college?

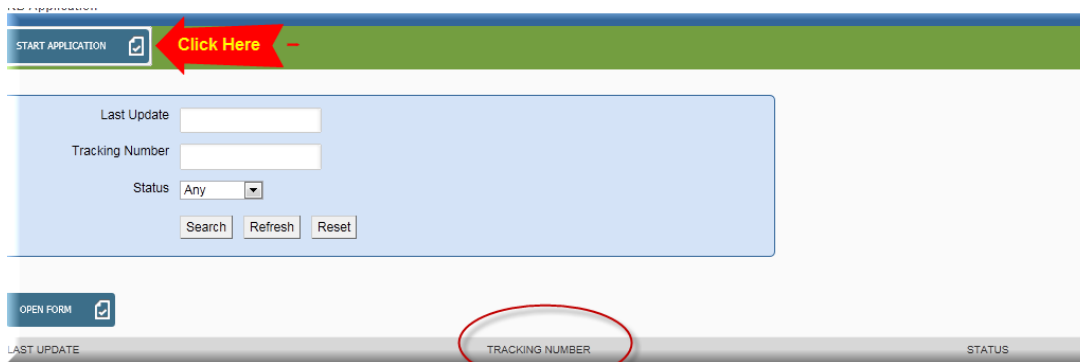
Answer: \*

☐ Remember this computer (Choose this option only if this is your personal computer & you trust this Device/Computer)

## Getting Started with the Application

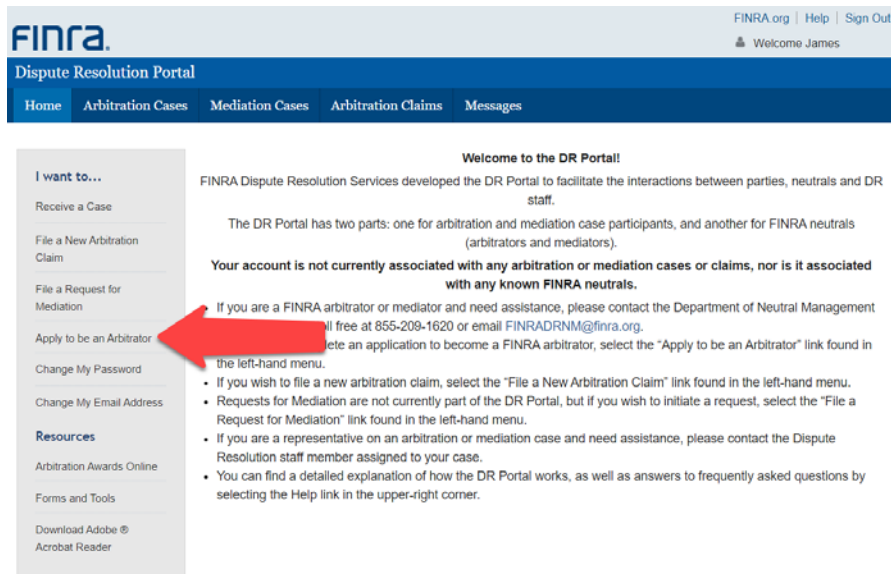
After you log into FINRA's system, you will see the following page in a separate browser tab. Note that if your browser has a pop-up blocker turned on, it may prevent this separate tab from opening.

To start a new application, click on **"Start Application"** and that will take you to a new application form. A new **"Tracking Number"** will be assigned to the form that you open.



The screenshot shows the 'Start Application' button highlighted with a red arrow and the text 'Click Here'. Below the button is a search bar with fields for 'Last Update', 'Tracking Number', and 'Status' (set to 'Any'). There are 'Search', 'Refresh', and 'Reset' buttons. At the bottom, there is a table with columns for 'LAST UPDATE', 'TRACKING NUMBER' (circled in red), and 'STATUS'. There is also an 'OPEN FORM' button.

Note that if you had logged in with a previously created DR Portal Account, you can access the Arbitrator Application from the left-hand panel by clicking on **"Apply to be an Arbitrator"**.



The screenshot shows the FINRA Dispute Resolution Portal home page. The left-hand panel has a menu with 'Apply to be an Arbitrator' highlighted by a red arrow. The main content area displays a welcome message and instructions for users. The top right corner shows 'FINRA.org | Help | Sign Out' and 'Welcome James'.

**Welcome to the DR Portal!**

FINRA Dispute Resolution Services developed the DR Portal to facilitate the interactions between parties, neutrals and DR staff.

The DR Portal has two parts: one for arbitration and mediation case participants, and another for FINRA neutrals (arbitrators and mediators).

**Your account is not currently associated with any arbitration or mediation cases or claims, nor is it associated with any known FINRA neutrals.**

If you are a FINRA arbitrator or mediator and need assistance, please contact the Department of Neutral Management at 855-209-1620 or email [FINRADRNM@finra.org](mailto:FINRADRNM@finra.org).

If you are a representative on an arbitration or mediation case and need assistance, please contact the Dispute Resolution staff member assigned to your case.

You can find a detailed explanation of how the DR Portal works, as well as answers to frequently asked questions by selecting the Help link in the upper-right corner.

## Completing the Application Form

You will need to complete each section of the application. On the left-hand side, you will see a heading for each section. Each separate section will contain specific instructions at the top of the page. All questions with a red asterisk (\*) are required.

## FINRA Dispute Resolution Services Arbitrator Application User Guide

The screenshot shows the FINRA Dispute Resolution Portal interface. On the left is a vertical navigation menu with various sections. The 'Educational History' section is highlighted in blue. The main content area is titled 'Educational History' and contains a yellow informational box at the top. Below this is a table with columns for 'School Name', 'Degree/Certificate Awarded', 'Start Date', and 'End Date'. At the bottom of the table area, there are three buttons: 'Save', 'Previous', and 'Next'. The 'Save' button is circled in red. To the right of the 'Save' button is a 'Delete All' link and a row count display showing '0 Row(s)'.

**FINRA** Dispute Resolution Portal

Personal Information  
Addresses and Contacts  
Arbitrator Honorarium  
Business Background  
Employment History  
**Educational History**  
Training  
Arbitrator Classifications  
Statutory Discrimination Qual.  
Criminal Disclosures  
Regulatory Action Disclosures  
Civil Judicial Disclosures  
Complaints and Legal Disclosures  
Harassment Disclosures  
Termination Disclosures  
Financial Disclosures  
Other Legal Disclosures  
Securities Disputes Experience  
Conflicts  
Accommodations  
Affirmation of Duties  
Letters of Recommendation  
Background Verification

**Educational History**

In order to qualify as a FINRA arbitrator, applicants must have completed a minimum of two years of college-level credits (e.g. credits) from an accredited institution. [In some circumstances, a candidate without the required college credits may be considered provided the individual has relevant business/professional experience.] If you meet the above requirement, please list your educational background in reverse chronological order with the most recently attended institution first. All questions marked as mandatory.

School Name	Degree/Certificate Awarded	Start Date	End Date
-------------	----------------------------	------------	----------

Add New Delete All 0 Row(s)

Save Previous Next

### Saving Information

You may complete the form in any order. For example, you can fill out the Personal information and then skip to the Employment section. After you enter information for any section, be sure to **Save** your progress.

You can also work through the form in the order presented. After you enter information for a section, be sure to either **Save** your progress or press **NEXT** to go onto the next section. By pressing **Next**, the system will automatically save your progress. The system will also save your progress if you press **Previous**.

### Returning to a Previous Draft

The application is lengthy, so you may not be able to complete it one session. You have the option of saving the application with the information entered and logging back into your account to complete it at a later time. You can log back into FINRA's system on the FINRA Website page with the red [Apply Now](#) button, or from the top of any FINRA Website page (using the "LOG IN" button in the upper-right corner and selecting "Dispute Resolution Portal").



## FINRA Dispute Resolution Services Arbitrator Application User Guide

The screenshot shows the FINRA website's Dispute Resolution Services page. The top navigation bar includes links for ABOUT FINRA, CAREERS, MEDIA CENTER, CONTACT US, and BROKERCHECK. A red arrow points to the 'LOG IN' button in the top right corner. Below the navigation bar, the 'FINRA Gateway' link is highlighted with a red arrow. The main content area features a sidebar on the left with links for Arbitration & Mediation, and a central section titled 'Apply Now' with a red arrow pointing to the 'Online Application' link. The 'Online Application' section contains instructions for applying and a red arrow pointing to the 'Use this link to register in FINRA's system to start your arbitrator application' link.

When you log back into your account, you will see your “**File Cabinet.**” You should see the draft of the application that you saved previously.

To return to the application, click on the Tracking Number of your draft. This will take you back to your application.

The screenshot shows the FINRA Arbitrator Application page. The page header includes the FINRA logo and the title 'Arbitrator Application'. The page content includes a table with columns for TRACKING NUMBER, PAYMENT STATUS, FORM STATUS, FORM STATUS DATE, and FORM SUBMITTED DATE. A red arrow points to the tracking number 4915771 in the first row of the table. The table also includes a 'Delete' link for each row.

TRACKING NUMBER	PAYMENT STATUS	FORM STATUS	FORM STATUS DATE	FORM SUBMITTED DATE
4915771	None	Draft	09/10/2020 11:29 AM	

## Application: Section by Section

### Personal Information

Enter basic, personal information such as name, Social Security number, etc. You will notice that your login ID and email are already included. This information is automatically added to your application when you created your online account. Once you are done entering information on this screen, click **Save** or **Next**.

### How Did You Hear About Us?

Please provide information about how you became interested in FINRA. As part of our recruiting efforts, we try to keep track of how we reach arbitrators and how they learn about FINRA.

## Contacts and Honorarium

Enter your current addresses. You may enter more than one. For example, you can enter your home address as well as your work address. If you have multiple residences where you split your time during the year, you can add those addresses. Once you enter this information, you can designate which address should serve as your preferred address. This will be the address that FINRA sends you correspondence—both case related and general roster maintenance.

To add an address or telephone/fax, press **“Add New.”**

**Contacts and Honorarium**

All questions marked as \* are mandatory.

Addresses							
Preferred	Type	Firm/Company	Street	City	State	Postal Code	Country
Y	Home		123 Main Street	Brooklyn	NY	11236	USA
<div><div>Add New</div><div>1 Row(s)</div></div>							

Click a row to edit it.

When you are done entering information, click **“Add Row”** to add this information to your application.

## Arbitration Honorarium

Arbitrators are paid an honorarium according to [Rule 12214](#) of the FINRA Code of Arbitration Procedure. Arbitrators must not set their own rates. Arbitrators serving on FINRA’s roster are bound by FINRA’s honorarium rate.

You may choose to have the honorarium paid to you or your employer. You may also choose to waive the honorarium.

## Business Background

In this section, you should include a narrative of your professional background—in paragraph format. Do not provide your resume in lieu of a narrative paragraph. You can click on the PDF icon to see sample business statements. This text is added—exactly as you submit it here—to your disclosure report that is distributed to parties during the arbitrator selection process. You can type this information directly into the free text field or cut and paste from an existing document. You will, however, NOT be able to attach a document.

FINRA

Dispute Resolution Portal

Personal Information

Addresses and Contacts

Arbitrator Honorarium

**Business Background**

Employment History

Educational History

Training

Arbitrator Classifications

Statutory Disqualification Qual

Criminal Disc

Regulatory

Civil Judicial Disclosures

Complaints and Legal Disclosures

Harassment Disclosures

Termination Disclosures

Financial Disclosures


Other Legal Disclosures

Securities Disputes Experience

Conflicts

**Business Background**

All questions marked as \* are mandatory.

Please fully describe your business or professional background in paragraph format. Do not provide your resume in lieu of a narrative paragraph. You may view sample business background statements  [here](#) . \*

Note: This information will be made available to parties.

You have 4000 character(s) left.

Save

Previous

Next

Free text field

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## Employment History

In order to qualify as a FINRA arbitrator, applicants must have a minimum of five years of paid business and/or professional experience (unless waived by FINRA, at its discretion). Enter all employment that you have held since having completed your education. Do not leave any unexplained gaps of more than 30 days. Therefore, if you were unemployed or taking a sabbatical, you must enter those time periods as “unemployed” so there are no gaps in your work history.

1. Click **“Add New”** to add employment and complete the required fields. You must enter the month and year (format: 11/1111) of your employment.
2. Indicate if you are retired or unemployed.
3. Indicate if you continue to receive benefits from a prior employer. For example, if you are no longer employed by a firm but continue to receive benefits such as health insurance, pension, office space, administrative, services, etc., you should indicate that you continue to receive benefits.

Retired/Unemployed

☐ Yes ☐ No

Indicate if you are  
retired or  
unemployed

Receiving Benefits▲	Start Date	End Date	Firm Name	Position/Title	Full/Part-time	License Type	License #
------------------------	------------	----------	-----------	----------------	----------------	--------------	--------------

<b>Add New</b>	Delete All	0 Row(s)
Save	Previous	Next

## Educational History

In order to qualify as a FINRA arbitrator, applicants must have completed a minimum of two years of college-level credits (e.g., 60 credits) from an accredited institution (unless waived by FINRA, at its discretion).

1. List your educational background in reverse chronological order with the most recently attended institution first.
2. Click “**Add New**” to add education information and complete the required fields. You must enter the month and year (format: 11/1111) of your education.

### Educational History

In order to qualify as a FINRA arbitrator, applicants must have completed a minimum of two years of college-level credits (e.g., 60 credits) from an accredited institution. [In some circumstances, a candidate without the required college credits may be considered for admission provided the individual has relevant business/professional experience.] If you meet the above requirement, please list your educational background in reverse chronological order with the most recently attended institution first. All questions marked as mandatory.

School Name ▲	Degree/Certificate Awarded	Start Date	End Date
---------------	----------------------------	------------	----------

**Add New**

Delete All

0 Row(s)

Save

Previous

Next

## Training

Please enter any arbitration, mediation and related training you have received, including the sponsoring organization, location and date(s).

Click “**Add New**” to add training information and complete the required fields. You must enter the month and year (format: 11/1111) of your education.

**Training**

Please describe any arbitrator, mediator and related training you have received, including the sponsoring organization, location date(s). All questions marked as \* are mandatory.

Note: If your application is accepted, you will be required to successfully complete FINRA's mandatory arbitrator training, test and evaluations.

Course Name▲	Completed Date	Firm/School Name	Details	Hours Completed	Location
--------------	----------------	------------------	---------	-----------------	----------

**Add New** 0 Row(s)

Save Previous Next

## Arbitrator Classifications

Arbitrators are classified as either “**Public**” or “**Non-Public**” pursuant to the FINRA Code of Arbitration Procedure [Rules 12100/13100](#) (p) and (u). Potential applicants should review these rules before applying to the roster, as some individuals may not meet the requirements for either classification and are therefore, ineligible to serve.

Answer each question and check the box to affirm the accuracy of your answers.

## Discrimination Qualifications

If you are an attorney, and if you wish to qualify to serve as chairperson for statutory employment discrimination cases, please answer each question in this section. You will also need to provide an explanation of your experience with statutory employment discrimination cases. You can type in your text in the provided space.

## Legal or Regulatory Disclosures

This section requires disclosures in the following areas:

- Criminal Disclosures
- Regulatory Action Disclosures
- Civil Judicial Disclosures
- Complaints and Legal Disclosures
- Harassment Disclosures
- Termination Disclosures
- Financial Disclosures
- Other Legal Disclosures

If you answer “yes” to any of the questions in this section, please explain the circumstances or attach a copy of the appropriate legal documentation. Provide details, including case numbers, dates, damages requested and awarded, disposition, settlement amounts, etc. Any affirmative answers will be closely reviewed by the Director. The explanation for the answer may be disclosed to the parties. Please see the [criteria for temporary and permanent disqualification](#).

## Securities Disputes Experience

Arbitrator candidates do not need to have specific securities expertise/experience in order to be approved to our roster. However, if you have a particular expertise, you may include this on your application.

You will need to explain the basis for each expertise/experience field you check. You should rely on the expertise derived from your business, securities or employment experience, not wholly from any prior experience as an arbitrator.

If you check a particular expertise, a text box will appear and you must enter an explanation. No areas of expertise/experience in securities will be listed on your record without an explanation.

### Securities Disputes Experience

Check the types of securities-related disputes below in which you have expertise and/or experience. Arbitrator candidates do not need to have specific expertise/experience in order to be approved to our roster. You will need to explain the basis for each expertise/experience field you check. You should rely on the expertise derived from your business, securities or employment experience, not wholly from any prior experience as an arbitrator. No areas of expertise/experience in securities will be listed on your record without such explanation.

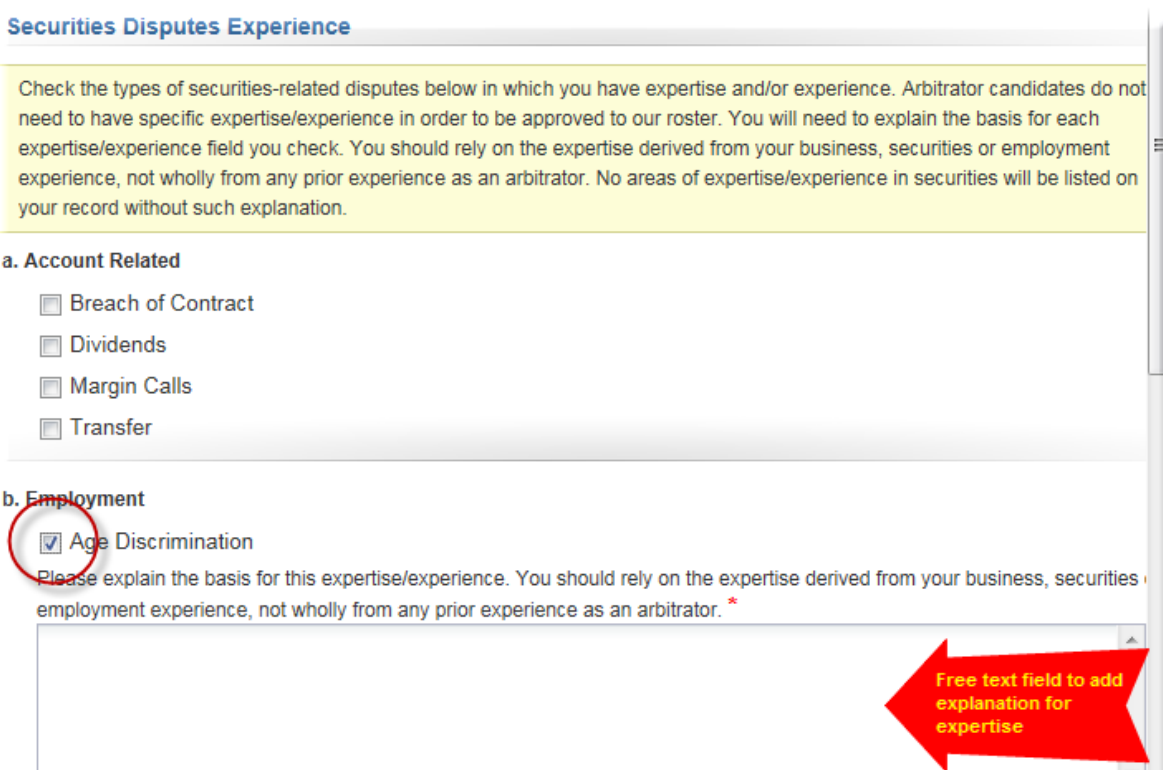
#### a. Account Related

- ☐ Breach of Contract
- ☐ Dividends
- ☐ Margin Calls
- ☐ Transfer

#### b. Employment

- ☒ Age Discrimination

Please explain the basis for this expertise/experience. You should rely on the expertise derived from your business, securities or employment experience, not wholly from any prior experience as an arbitrator. \*



Free text field to add explanation for expertise

## Conflicts

Please list all known conflicts/disclosures and the nature of the conflict/disclosure. If you are accepted as an arbitrator, you will be under a continuing obligation to update this information and must disclose new relationships as they arise. Answer all questions that apply to you as completely as possible. If appropriate, include the member firm's CRD number in your answer. When in doubt, disclose. Failure to disclose may result in vacated awards which undermine the efficiency and finality of our process. Failure to disclose may also result in removal from the roster.



## Accommodations

Enter information about any accommodations you may require when serving as an arbitrator.

**Accommodations**

Please tell us if you require any special accommodations when serving as an arbitrator. All questions marked as \* are mandatory.

Do you have any requests or accommodations that relate to your service as an arbitrator? \*

☒ Yes ☐ No

Please explain

Free text field to add explanation for accommodation

You have 3000 character(s) left.

Save Previous Next

## Affirmation of Duties

After reviewing the affirmation and the terms and conditions of serving as a FINRA arbitrator, you must answer each question in this section confirming your understanding and acceptance. In addition, you must review the [Arbitrator Honorarium FAQ](#), [Arbitrator Disqualification Criteria](#) and the definitions of a “public” arbitrator and “non-public” arbitrator in [Rules 12100\(p\) and \(u\)](#) and check the box to affirm that you understand these materials.’

## Background Verification

In order to ensure the integrity of the roster of neutrals, we require all applicants to submit to a verification of their background information. Please download the (1) background verification form and (2) the SSN verification form, complete all pages of both forms, sign and upload them to submit with your application. Note that Article 23-A of the New York Correction law only applies to applicants residing in New York state.

1. Download the (1) background verification and (2) SSN verification forms.
2. Complete all pages of both forms.
3. Sign both forms—the background verification vendor must have a “wet” signature (which can be scanned and emailed) for each form. No electronic signatures will be accepted.
4. Scan the forms and save them to your computer.
5. Attach your verification forms by clicking “**Browse**,” searching for the document in your computer and clicking “**Open**” to attach the document.
6. You may also check the box and choose to mail in the verification forms.

## Background Verification

In order to ensure the integrity of the roster of neutrals, we require all applicants to submit to a verification of their background information.

Please download the (1) Background Verification Form and (2) the Social Security Number (SSN) Verification Form. Complete all pages of both forms, sign, scan, and upload them in step 4 below. Alternatively, download and mail the completed Background Verification Form and SSN Verification Form to FINRA Dispute Resolution. If you choose to mail the verification forms to FINRA, please indicate that in step 4 below.

Make sure to complete all fields of the Background Verification Form and SSN Verification Form. Applications that do not contain completed verification forms will require additional action requested by Dispute Resolution. This will delay processing of the application.

On the Background Verification Form, note that the reference to [Article 23-A](#) of the New York Correction law only applies to applicants residing in New York state.

1



[Download Background Verification Form PDF Document](#)

Click here to download the Background Verification form.

2



[Download SSN Verification Form PDF Document](#)

Click here to download the SSN Verification form.

3

Print, Complete, Sign, and Scan Both Forms

4

Attach Both Signed Documents

Attach signed "Background Verification" - Adobe PDF Only

After saving the documents, click Browse to search for the verification forms to attach.

Attach signed "SSN Verification" - Adobe PDF Only

OR

☒ I would like to mail the Background Verification and SSN Verification Forms

Mail to:  
FINRA Dispute Resolution  
Department of Neutral Management  
One Liberty Plaza  
165 Broadway, 27th Floor  
New York, NY 10006  
[ArbAppHelp@FINRA.org](mailto:ArbAppHelp@FINRA.org)

## Review and Submit

When you have completed the application and are ready to submit it, please carefully review the affirmation and sign and date the application. You may sign the form by entering your name and initials, preceded and followed by the forward slash symbol (/) (e.g., /Jane Q. Public jqp/).

When you are ready to submit your application, select the “**Check for Errors.**” The system will let you know if you have not provided all required information. After you have entered all required information, click the “**Submit Application**” button.

## What Happens Next?

After you submit your application and all necessary forms, FINRA will start processing your application. FINRA will contact you if there are any questions regarding your submission. You should receive notice of your application status within **120 days**. FINRA conducts a preliminary review of your completed application before forwarding to a subcommittee of the National Arbitration and Mediation Committee (NAMC) for final approval. The NAMC is an oversight committee that recommends rules, regulations, procedures and amendments relating to arbitration, mediation and other dispute resolution matters to the FINRA Board. Pursuant to [Rule 12102](#) of FINRA’s Code of Arbitration Procedure, another function of the NAMC is to “establish and maintain rosters of neutrals composed of persons from within and outside of the securities industry.”

Once the NAMC approves your application, you will receive written notice of your approval, and you will be ready to start the [Basic Arbitrator Training Program](#):

1. Online basic arbitrator training course, which requires successful completion of an online test (25 multiple choice exam that requires 80% passing score).
2. Online expungement course, which requires completion of an online test (10 True/False exam that requires 80% passing score).
3. Live video or onsite classroom training that requires successful evaluation by the trainer.

## Additional Resources

For questions about the application, you can contact FINRA’s Department of Neutral Management at [ArbAppHelp@finra.org](mailto:ArbAppHelp@finra.org) or at (212) 858-3999 or toll free at (855) 209-1620.

For information about FINRA Dispute Resolution’s rules and procedures, you may review the following resources:

- [Code of Arbitration Procedure](#)
- [Arbitrator’s Guide](#)