FINRA Arbitrator Application
User Guide

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How Do I Get Started?
The Become an Arbitrator Web pages contain information about completing the application online. Instructions are provided here.

Compatible Browsers
The online arbitrator application is compatible with the following browser versions (or higher): Internet Explorer 8, Firefox 22, Google Chrome 27, and Safari 6.

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 blockers.

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

Note: you can NOT use your FINRA Firm Gateway account to access the online application. You must create a separate account using the self-registration procedures described below.

1. Under “Information for Arbitrators”, find the “Become an Arbitrator” page. Click on the “Apply Now” link. Under “Online Application, click on “Register and/or log into FINRA’s system”, and you will be taken to the “Welcome to FINRA” login page where you have the option to log into or create your FINRA account.

2. Click on “Register New User” to create a new user profile.
3. Enter the registration information. 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 need a new set of characters.

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

   ![Characters Image]

   [Submit]

4. The email address that you use in this initial registration form 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. Once all information is entered, press “Submit.”

   You will receive a “Registration Confirmation” with your User ID. Be sure to write down your User ID and/or print this screen. If you leave this screen and cannot remember your user name, you will need to re-register.

   ![Registration Confirmation Image]

   Write Down Your User ID

   For security reasons, your password has been sent in a separate email. Note that the password you receive is a one-time password - you will be forced to change it to a password of your choosing upon first login.

   Please remember this User ID. You will use it to access the application.

5. 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.

6. On the “Welcome to FINRA” page, enter your User ID password and click “I agree.”

7. The system will capture your User ID and prompt you to enter your password. Enter your temporary password and click “Continue.”
8. You will be prompted to reset your password. Once you rest your password, click “Continue.”

9. You will receive a “Password Reset Completed” message on the screen. Click on the “Continue” button to enter your new password.

10. 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.

11. You can access the online arbitrator application from FINRA.org after completing the initial registration step.
Getting Started With the Application

After you log into FINRA’s system, you will see the following page. 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.

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.
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 would need to log back into FINRA’s system at the [Apply Now page](#):
When you log back into your account, you will see your “filing cabinet.” You should see one draft of the application that you started.

To return to the application, click anywhere on the row that contains details about your draft. After the row is highlighted, click “Open Form,” and this will take you back to your application.
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 upon registering with FINRA. Once you are done entering information on this screen, click SAVE or NEXT.

Addresses and Contacts
Enter your current addresses. You may enter more than one, for example, you can enter you 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”

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.
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.
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.
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.

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.

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.

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

2. Download SSN Verification Form PDF Document

3. Print, Complete, Sign, and Scan Both Forms

4. Attach Both Signed Documents
   Attach signed "Background Verification" - Adobe PDF Only
   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 10005
   ArbAppHelp@FINRA.org

Click here to download the Background Verification form.
Click here to download the SSN Verification form.
After saving the documents, click Browse to search for the verification forms to attach.
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.

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 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

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• Code of Ethics for Arbitrators in Commercial Disputes