1. **Access to FINRA Forum**
   - Mandatory nature of arbitration; FINRA Rule 12200
   - Definition of “customer”
   - Inclusion of investment advisers/firms
   - Class action waivers
   - Cost/funding

2. **Arbitrators**
   - Disclosures; information on arbitrator disclosure reports
   - All-public panel option
   - Classification of arbitrators
   - Depth and quality of arbitrator pool
   - Evaluations
   - Assignment of arbitrators to multiple cases
   - DR Portal

3. **Case Management Issues—Substance**
   - Motions to dismiss
   - Eligibility rule

4. **Case Management Issues—Procedure**
   - Last-minute recusals; mandatory adjournment
   - Mandatory direct communication
   - Discovery issues
   - Use of technology to lower costs and improve efficiency
   - Professionalism of practitioners
   - FINRA accounting for costs

5. **Reasoned Awards**
6. **Expungement**
   - When is it appropriate to expunge information from a broker’s record?
   - How should the expungement process work?

7. **Large Claims**
   - Can the forum be made more attractive to large claims?
   - Issues of institutional investors (forum selection clauses)

8. **Small Claims**
   - Can a better process be devised to handle small claims, especially pro se claimants?
   - Costs of arbitrating small claims
   - Funding to law school clinics
   - Pro bono initiatives
   - Use of technology (e.g., telephonic hearings)

9. **Mediation**
   - Should greater use of mediation be encouraged?
   - Opt out instead of opt in

10. **Educating Participants and Public About the Arbitration Process and Transparency**
    - Arbitration awards; FINRA Rule 12904
    - Expansion of FINRA award database to include other awards (e.g., JAMS, AAA, etc.)
    - More information on FINRA website
    - How should FINRA solicit and use information from forum users on an ongoing basis?
    - Indemnification agreements/brokers’ countersuits against investors
    - Unpaid awards

11. **Motions to Vacate Arbitration Awards**
    - Are some attacks on arbitration awards frivolous?