



Inactive California Attorneys Acting as Arbitrators in California Arbitrations

FINRA Dispute Resolution Guidelines for Compliance With Rule 2.30 of the Rules and Regulations of the California State Bar

The following only affects arbitrators and mediators who are also attorneys admitted to the California State Bar. If you are not an attorney, or if you are an attorney who is admitted to a bar other than California, the following does not affect you.

On September 19, 2007, the California State Bar issued a letter advising FINRA that attorneys who are members of the State Bar must be on active status in order to act as arbitrators or mediators in California cases. The specific rule cited is Rule 2.30 of the Rules and Regulations of the State Bar, which prohibits an inactive member from working as a private arbitrator, mediator or other dispute resolution provider, law clerk, paralegal, real estate broker or CPA. The letter states that “No member practicing law, or occupying a position where he or she is called upon in any capacity to give legal advice OR examine the law or pass upon the legal effect of any act, document or law shall be enrolled as an inactive member.”

The State Bar has asked FINRA to notify arbitrators and mediators who may be affected by this opinion. Questions about the opinion, or how to comply with the applicable State Bar rules, should be directed to the following:

The State Bar of California
1149 South Hill Street
Los Angeles, CA 90015-2299
(213) 765-1000

If you are an attorney admitted in California, and are on active status with the State Bar, you need take no action. **If you are on inactive status with the State Bar, please notify Jisook Lee, Associate Director of Neutral Management, at jisook.lee@finra.org or (212) 858-5121.** Arbitrators and mediators must keep their disclosures current, including their bar status. If your bar status has changed from what is reflected on your Arbitrator and/or Mediator Disclosure Report, please contact Ms. Lee.