

**Code of Arbitration Procedure for Industry Dispute
Old-to-New Conversion Chart**

Current Industry Rule	Proposed Rule
10000. Code of Arbitration Procedure	
10101. Matters Eligible for Submission	13201. Statutory Employment Discrimination Claims
10102. National Arbitration and Mediation	13102. National Arbitration and Mediation Committee
10103. Director of Arbitration	13103. Director of Dispute Resolution
10104. Composition and Appointment of Panel	Deleted; Obsolete
<i>IM-10104. Arbitrators Honorarium</i>	13213. Payment of Arbitrators
10105. Non Waiver of Association Objects and Purposes	13104. Effect of Arbitration on NASD Regulatory Activities
10106. Legal Proceedings	13209. Legal Proceedings
10200. Industry and Clearing Controversies	
10201. Required Submissions	13200. Required Arbitration 13202. Claims Involving Registered Clearing Agencies
10202. Composition of Panels	Deleted: Obsolete
10203. Simplified Industry Arbitration	13800. Simplified Arbitration
10204. Applicability of Uniform Code	13101. Applicability of Code and Incorporation of Reference
10205. Schedule of Fees for Industry and Clearing Controversies	13900. Fees Due When a Claim is Filed 13902. Hearing Session Fees, and Other Costs and Expenses.
10210. Statutory Employment Discrimination Claims	13802. Statutory Employment Discrimination Claims
10211. Special Arbitrator Qualifications for Employment Discrimination Disputes	13802. Statutory Employment Discrimination Claims
10212. Composition of Panels	13802. Statutory Employment Discrimination Claims
10213. Discovery	13802. Statutory Employment Discrimination Claims
10214. Awards	13802. Statutory Employment Discrimination Claims
10215. Attorney's Fees	13802. Statutory Employment Discrimination Claims
10216. Coordination of Claims Filed in Court and in Arbitration	13803. Coordination of Statutory Employment Discrimination Claims Filed in Court
10300. Uniform Code of Arbitration	
10301. Required Submission	13200. Required Arbitration

Current Industry Rule	Proposed Rule
	13202. Claims Involving Registered Clearing Agencies 13203. Denial of NASD Forum and Referral to Other Forums 13204. Class Action Claims
10302. Simplified Arbitration	13800. Simplified Arbitration
10303. Hearing Requirements – Waiver of Hearing	13600. Required Hearing
10304. Time Limitation Upon Submission	13206. Time Limits
10305. Dismissal of Proceedings	13211. Sanctions 13700. Dismissal of Proceedings Prior to Award
10306. Settlements	13701. Settlement
10307. Tolling of Time Limitation(s) for the Institution of Legal Proceedings and Extension of Time Limitation(s) for Submission to Arbitration	13206. Time Limits
10308. Selection of Arbitrators	13400. Neutral List Selection System and Arbitrator Rosters 13401. Number of Arbitrators 13402. Composition of Arbitration Panels in Cases Not Involving a Statutory Discrimination Claim 13403. Generating and Sending Lists to the Parties 13404. Striking and Ranking Arbitrators 13405. Combining Lists 13406. Appointment of Arbitrators; Discretion to Appoint Arbitrators Not on List 13407. Additional Parties 13408. Disclosures Required of Arbitrators 13410. Removal of Arbitrator by Director 13411. Replacement of Arbitrators 13412. Director's Discretionary Authority
10309. Composition of Panels	Deleted; Obsolete
10310. Notice of Selection of Arbitrators	Deleted; Obsolete
10311. Preemptory Challenge	Deleted; Obsolete
10312. Disclosures Required of Arbitrators and Director's Authority to Disqualify	13408. Disclosures Required of Arbitrators
10314. Initiation of Proceedings	13300. Filing and Serving Documents 13301. Service on Persons Currently Associated with a Member

Current Industry Rule	Proposed Rule
	13302. Filing an Initial Statement Claim 13303. Answering the Statement of Claim 13304. Answering Counterclaims 13305. Answering Cross Claims 13306. Answering Third Party Claims 13308. Loss of Defenses Due to Untimely or Incomplete Answer 13207. Extension of Deadlines 13312. Multiple Claimants 13313. Multiple Respondents 13314. Combining Claims 13801. Default Proceedings
10316. Representation by Counsel	13208. Representation of Parties
10317. Attendance at Hearings	13602. Attendance at Hearings
<i>IM-10317. Closing Arguments</i>	13607. Order of Presentation of Evidence and Arguments
10318. Failure to Appear	13603. Failure to Appear
10319. Adjournments	13601. Postponement of Hearings
10320. Acknowledgement of Pleadings	12904. Awards
10321. General Provisions Governing Pre-Hearing Proceedings	13501. Other Prehearing Conferences 13505. Cooperation of Parties in Discovery 13507. Responding to Discovery Requests 13508. Objecting to Discovery; Waiver of Objection 13509. Motions to Compel Discovery 13514. Exchange of Documents and Witness Lists Before Hearing
10322. Subpoenas and power to Direct Appearances	13512. Subpoenas 13513. Authority of Panel to Direct Appearances of Witnesses and production of Documents Without Subpoenas
10323. Evidence	13604. Evidence
10324. Interpretation of Provisions of Code and Enforcement of Arbitrator Rulings	13413. Jurisdiction of Panel and Authority to Interpret the Code
10325. Determination of Arbitrators	13414. Determinations of Arbitration Panel
10326. Record of Proceedings	13606. Record of Proceedings
10327. Oaths of the Arbitrators and Witnesses	13605. Witness Oath
10328. Amendments	13309. Amending Pleadings 13310. Answering Amended Claims 13311. Amendments to Amount in Dispute

Current Industry Rule	Proposed Rule
10329. Reopening of Hearings	13609. Reopening the Records
10330. Awards	13904. Awards
10333. Member Surcharge and Process Fees	13901. Member Surcharge 13903. Process Fees Paid by Members
10335. Temporary Injunctive Order; Requests for Permanent Injunctive Relief	13804. Temporary Injunctive Orders; Requests for Permanent Injunctive Relief