



# FINRA DR Portal

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## User Guide for Arbitration and Mediation Case Participants

**April 2014**

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## Welcome to the FINRA DR Portal

### Introduction

FINRA Dispute Resolution developed this user guide to help arbitration and mediation case participants become familiar with the FINRA Dispute Resolution Portal (DR Portal). The DR Portal is a web-based system that allows invited participants to log into a secure section of our website for self-service access to submit documents and view their case information.

The DR Portal has two parts: one for FINRA neutrals (arbitrators and mediators) serving on the Dispute Resolution roster, and another part for arbitration and mediation case participants. This User Guide describes the DR Party Portal. A separate User Guide is available that explains the use of the DR Neutral Portal for arbitrators and mediators. If you happen to be both a FINRA neutral and a participant to a case, you can register the same User ID to access both sides of the DR Portal. Case participants may access the neutral side of the DR Portal by clicking on the link, “Go to Neutral Portal” found near the top of the homepage once you are logged in. Likewise, registered neutrals who are also case participants may access the party portal by clicking on the link “Go to Party Portal” from the homepage.

### Portal Access

Invited participants can access the DR Portal from FINRA.org after completing the initial registration step. Participants can also create a “favorite” or “bookmark” in their browser for easy access to the DR Portal. We recommend that you create the bookmark **after** you successfully log into the portal. You should use the following URL as the bookmark for the DR Portal:

<https://drportal.finra.org>

**Note: you can NOT use your FINRA Firm Gateway account to access the DR Portal. You must create a separate account using the self-registration procedures described below. You only need one account to access all cases to which you are invited; you do not need to create a new account for each case.**

### Compatible Browsers

The DR Portal is compatible with the following browsers: Internet Explorer 8 and higher, Firefox 22 and higher, 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.

## Mobile Devices (coming soon)

Participants can access the DR Portal on a mobile device—such as a smartphone or tablet (e.g., iPhone, iPad)—using the same URL as you would on your computer: <https://drportal.finra.org>. Although you can view your case information, you will **not** be able to submit documents using these devices. To submit documents, you will need to log into the portal using your desktop or laptop computer.

## Accessing Case Information

There are two methods of accessing case information through the DR Portal.

**Claim Notification Letter:** The first way is by receiving a Claim Notification Letter in the mail or by email from FINRA. This letter is sent to the named respondent parties on the case after the claim has been received by FINRA. This letter notifies the respondents that they have been named in a claim and that they may retrieve the claim documents through the DR Portal using a Claim Access Code and Web address contained in the letter. This Web address and Claim Access Code are only used to retrieve the claim documents on that case and submit an answer and associated documents; they do not provide access to other cases or other functionality of the DR Portal.

The Claim Access Code can be used more than once and by more than one person. For example, a respondent party can use the code to retrieve a claim, and then give it to outside counsel who may then also use the code to retrieve the same claim with their own account.

**Note: the Claim Access Code will be disabled**

- Once you file your answer with FINRA,
- If the Claim Access Code is mis-typed three times when trying to retrieve the claim,
- If the date that the answer is due to be filed with FINRA has passed and no extension has been filed with FINRA, or
- If an email invitation (see below) is accepted and the participant is registered.

**Email Invitation from FINRA DR:** The second way is by receiving an email invitation from FINRA to **register** with the DR Portal for access to a particular case. This invitation email will be sent by FINRA to the party representatives on the case, and will contain a personalized Web address link that provides broader access to the case on the DR Portal. This email will typically be sent to the representative after FINRA receives initial documents related to the case and will be sent to the email address provided by the representative. Once you are registered for the case, you have the ability to invite others into the DR Portal on a case by case basis (see User Management).

**IMPORTANT: the email invitation is personalized and can only be used by one recipient. It is intended for use by the party representative. The representative can, however, forward this invitation to a delegate who will act on the representative's behalf for purposes of using the DR Portal.**

## Using a Claim Notification Letter

If you receive a Claim Notification Letter:

1. In a web browser, enter the Web address provided in the letter.

**Note: it is important to use the Web address contained in the Claim Notification Letter when creating an account to retrieve a claim in order for the process to proceed properly.**

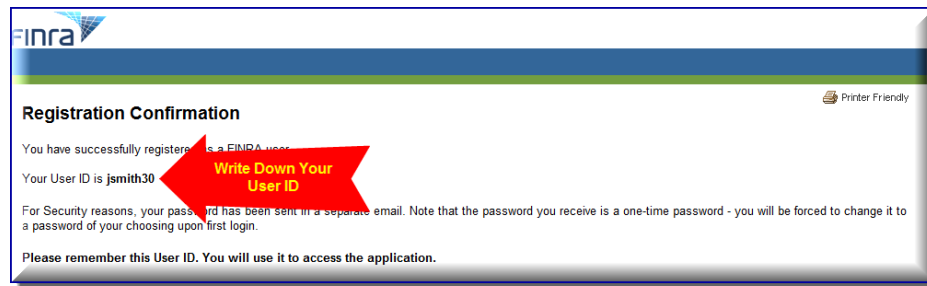
Click on the link in the email with the subject line **“Welcome to the FINRA Dispute Resolution Portal.”** You will be brought to the **“Welcome to Dispute Resolution”** login page and have the option to log into or create your FINRA account.

2. Click on **“Register Now”** to create a new user profile. If you have already created an account, skip to step 8.

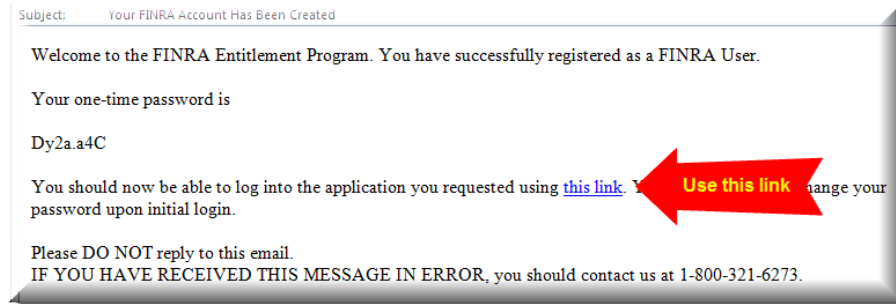
**Note: you can not use a FINRA Firm Gateway account on the DR Portal. You must create a separate account. You only need one account to access all cases to which you are invited; you do not need to create a new account for each case.**

3. Enter the registration information. The email address that you use in this initial registration form should be the email address that you provide with any case-related submissions to FINRA. If you need to update your email address, you will need to make this change by updating your account information using the “manage my account” quick link on the Homepage of the DR Portal. Note that this change cannot be made by FINRA staff.
4. 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.

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5. You will also receive an email with a temporary password. Click on the words **“this link”** in the email to change your password.



**TIP: if you use your computer mouse to “copy” the temporary password from the email so that you can “paste” it later, be very careful that you do not accidentally copy an extra space character on the end of the password. It is difficult to detect when this happens, and it will prevent the temporary password from working, which can potentially lock your account.**

6. On the **“Welcome to Dispute Resolution”** page, enter your user ID and temporary password and click **“I agree.”**
7. You will be prompted to change your password. Once you change your password, click **“Continue.”**
8. Log into the DR Portal by entering your **User ID** and new **password**. If you have not yet provided a set of challenge questions and answers, you will be prompted to do so. From time to time, the system may ask you one of these questions and ask you to provide the correct answer.

**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)

9. Enter the FINRA Arbitration Number (Case ID) and the Claim Access Code from the letter.

Welcome to the FINRA Dispute Resolution Portal

Access to the portal requires entry of the information provided to you in the claim notification letter. Please enter the following information (all fields are required). For cases with multiple parties, if you have been received more than one Claim Notification Letter, please enter only one Claim Access Code.

Case ID: \*

Claim Access Code: \*

☐ \* I hereby attest that I am a named party or that I represent a named party in the above-referenced case and will access the DR Portal in good faith for purposes of obtaining arbitration information and to file an online answer and other documents. I declare that the above entered case number and Claim Access Code are accurate to the best of my knowledge.

If you have any questions, please contact the staff member assigned to your case provided on the claim notification letter.

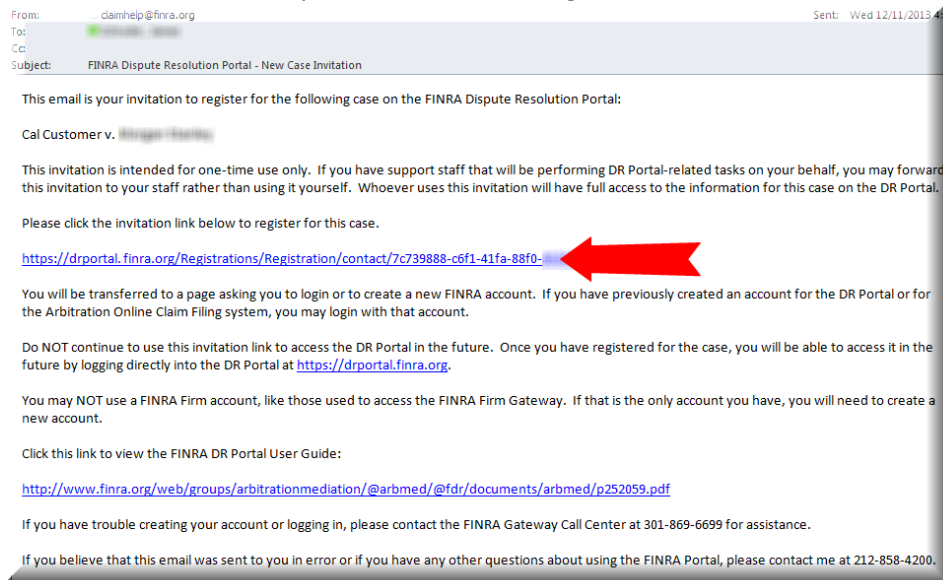
10. If you enter the correct information, you will be taken to the DR Portal and provided a limited view of the case. With this limited view, you can:

- retrieve the claim documents that were filed by the claimant;
- file an answer, including answers that contain cross, counter, or third party claims;
- file amendments to your submitted answer.

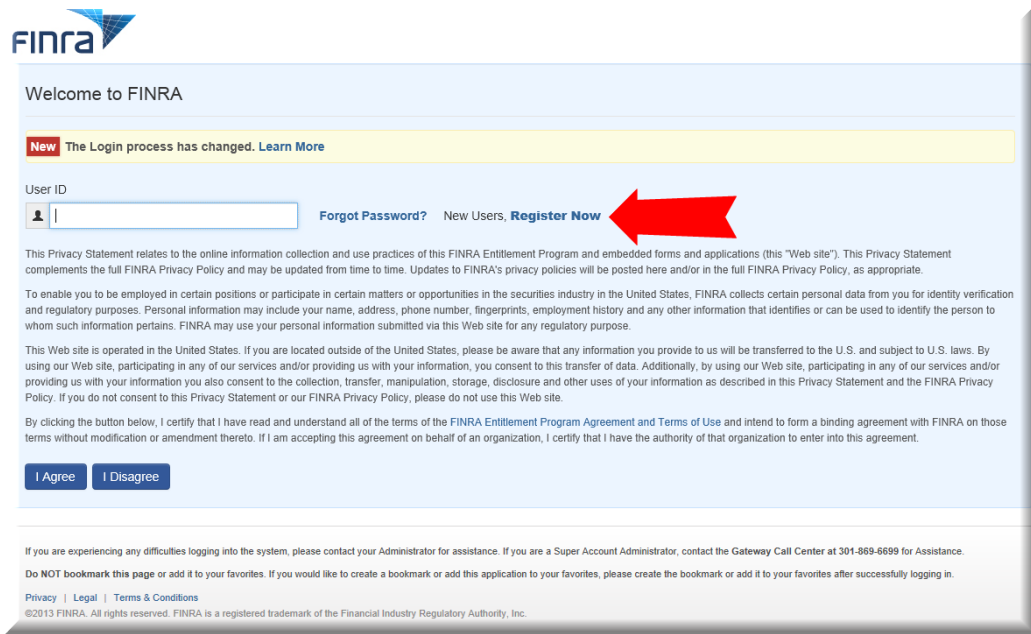
**TIP:** Once you have registered for a case in the DR Portal using an email invitation (see next section about registering for a case), you can retrieve subsequent claims directly from within the DR Portal by logging into <https://drportal.finra.org> and using the "receive a case" left-hand menu option. See "DR Portal Functionality – Overview" later in this User Guide.

## Using an Email Invitation from FINRA

FINRA may send you an invitation with the subject line, “**FINRA Dispute Resolution Portal - New Case Invitation.**” It will contain a personalized link to register for a case:



1. Click on the link in the email underneath where it says, “Please click the invitation link below to register for this case.” You will be brought to the “**Welcome to Dispute Resolution**” log-in page and have the option to log into or create your FINRA account.
2. Click on “**Register Now**” to create a new user profile. If you have already created an account, skip to step 8.

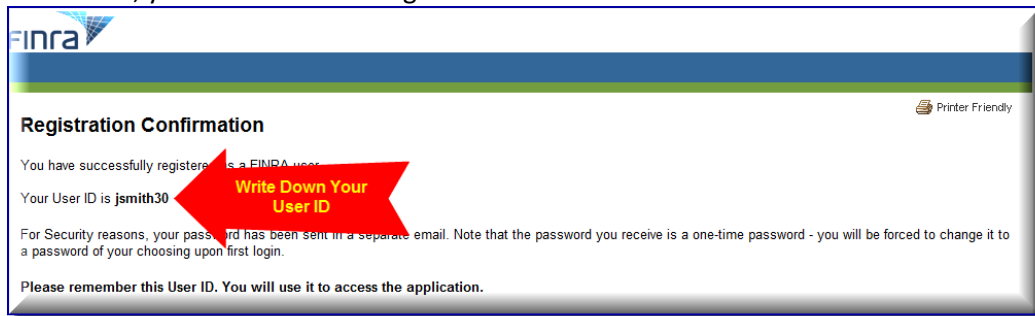


3. Enter the registration information. The email address that you use in this initial registration form should be the email address that you provide with any case-related submissions to FINRA. If you need to update your email address, you will need to make

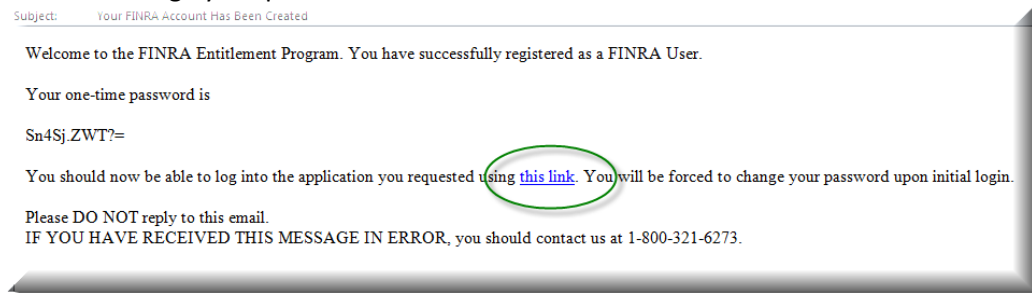


this change by updating your account information using the “manage my account” quick link on the Homepage of the DR Portal. Note that this change cannot be made by FINRA staff.

4. 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.



5. You will receive an email with a temporary password. Click on the words “**this link**” in the email to change your password.



6. On the “**Welcome to Dispute Resolution**” page, enter your user ID and temporary password and click “**I agree.**”
7. You will be prompted to reset your password. Once you reset your password click “**Continue.**”
8. Log into the DR Portal by entering your **User ID** and new **password**. You will be asked several challenge questions regarding the case to verify your identity. The Party Representative Last Name and Party Representative Postal Code that you enter should be the same as any of the representatives provided to FINRA (i.e., either the claimant’s or respondent’s counsel). Do not enter the party’s name or zip code here; it will not work.

### Welcome to the FINRA Dispute Resolution Portal

To access your case information, please verify that you are authorized to view this case by supplying the Case ID (including the hyphen and leading zeros), the last name of the attorney of record/non-attorney representative with FINRA in this case or the last name of a party appearing in this case without counsel, and that individual's postal code.

Case ID: \*

Party Representative Last Name: \*

Party Representative Postal Code: \*

☐ \* I hereby attest that I am a named party or that I represent a named party in the above-referenced case and will access the DR Portal in good faith for purposes of obtaining case information or to file case documents. I declare that the answers to the above questions are accurate to the best of my knowledge.

Please note that case documents may be visible to other counsel or parties on the case through the DR Portal. Parties and their counsel should take steps to protect their confidential information. Parties can safeguard personal confidential information by redacting such information from pleadings, exhibits, and other documents upon agreement of the parties.

9. If you answer the challenge questions correctly, you will be taken to the DR Portal and be able to view the case.

**IMPORTANT: The email invitation is personalized and can only be used once, either by the recipient, or by someone else to act on behalf of the recipient for purposes of DR Portal submissions. Once you are registered for the case, you have the ability to invite others into the DR Portal on a case by case basis to assist you (see User Management section).**

## DR Portal Functionality

### Overview

On the FINRA DR Portal Homepage, you will see a menu of options across the top heading bar:

- **Home – Dashboard** displays the participant's current and upcoming arbitration and mediation cases, as well as any outstanding deficiencies;
- **Cases – All Cases** page displays all cases the participant is currently associated with



There are quick links to **receive a case (retrieve a filed claim using a PIN code that was given to you on a Claim Notification Letter)**, **change my password**, and **manage my account**. There are also quick access links to resources like the **Arbitration Awards Online** website.

**Receive a case** – Once you have registered for a case in the DR Portal using an email invitation, you can retrieve subsequent claims directly from within the DR Portal by logging into <https://drportal.finra.org> and using the “receive a case” left-hand menu option. You can use this option rather than going to the claim service URL mentioned in the Claim Notification Letter.

### Home – Dashboard

The FINRA DR Portal allows participants to view information about their cases. The Dashboard page provides a display of open deficiencies (issues to be resolved on a case), open arbitration and mediation cases, as well as a list of the upcoming arbitration hearings and mediation sessions that have been scheduled.

Clicking on any of the green plus-signs will expand the view to show more detail. Clicking on it again will hide the details.

The screenshot shows the FINRA Dispute Resolution Portal dashboard. At the top, the FINRA logo and "Dispute Resolution Portal" are displayed. A welcome message "Welcome James Schrader" is in the top right. Navigation links include "Go to Neutral Portal", "Help", "FINRA.org", and "Sign-Out". The dashboard has a sidebar with "Home Dashboard" and "Cases All Cases". The main content area is divided into sections: "My Case Deficiencies" (no deficiencies), "My Current Arbitration Cases" (table with 1 case), "Upcoming Arbitration Hearings" (table with 2 hearings), "My Current Mediation Cases" (table with 1 case), and "Upcoming Mediation Sessions" (table with 1 session).

**My Case Deficiencies**

There are no deficiencies on any of your cases at this time.

**My Current Arbitration Cases**

ID	Case Name	Status	Filed On Date	Hearing Location	DR Staff
12-03570	John Smith v. XYZ Securities	Open	10/01/2012	New York, NY	A. Baumgartner

**Upcoming Arbitration Hearings**

Date	Time	Type	Location	ID	Case Name
05/16/2013	09:00 AM EST	Initial Pre-hearing conference	Conference Call...	12-03570	John Smith v. XYZ Securities
05/17/2013	09:00 AM EST	Regular Hearing	FINRA Dispute Resolution...	12-03570	John Smith v. XYZ Securities

**My Current Mediation Cases**

ID	Case Name	Status	In Agreement Date	Hearing Location	DR Staff
13-00291	Jane Williams v. ABC Brokerage, Inc.	Open	05/15/2013	New York, NY	E. Sihaga

**Upcoming Mediation Sessions**

Date	Time	Location	ID	Case Name
05/20/2013	09:00 AM EST	FINRA Dispute Resolution...	13-00291	Jane Williams v. ABC Brokerage, Inc.

## Cases

By clicking on a listed case name, you can see the Case Abstract. Above the Case Abstract are two buttons: File Answer and Submit Documents.

The screenshot shows the Case Abstract for case 12-03570 John Smith v. XYZ Securities. At the top, the case name is displayed. Below it, two buttons "File Answer" and "Submit Documents" are circled in green. The main content area is titled "Arbitration Case Abstract" and contains three columns of information: Case Status, Milestones, and Assigned Staff. Below the abstract, there is a navigation bar with tabs for Case Details, Pleadings, Deficiencies, List Selection, Hearings, Scheduling, Case Documents, Drafts & Submissions, and User Management. At the bottom, the word "Arbitrators" is visible.

12-03570 John Smith v. XYZ Securities

File Answer Submit Documents

**Arbitration Case Abstract**

Case Status: Open	Milestones	Assigned Staff
Case Sub-Status: Open	Case Received: 10/01/2012	Arthur Baumgartner
Filed On Date: 10/01/2012	Claim Served on Respondents: 05/15/2013	FINRA Dispute Resolution
Office: New York	Panel Selection Started: 06/28/2013	One Liberty Plaza
Hearing Location: New York, NY		165 Broadway, 27th Floor
		New York, New York 10006
		Phone: 212-858-4200   Fax: 301-527-4904
		E-mail: NEProcessingCenter@finra.org

Case Details Pleadings Deficiencies List Selection Hearings Scheduling Case Documents Drafts & Submissions User Management

Arbitrators

## Filing an Answer

Once you have retrieved the claim documents, you can file an answer by clicking on the **"File Answer"** button. This will open the Online Answer form in a separate browser tab. To submit an answer:

1. Enter all of the required information on the form.

**FINRA Dispute Resolution Online Answer Form**

By using the DR Portal, you are choosing to file electronically with FINRA Dispute Resolution your Statement of Answer and Submission Agreement. You may also file electronically any associated counterclaims, cross-claims, and third-party claims. In addition, you may pay filing fees online by credit card or ACH. FINRA rules require you to serve a copy of the Statement of Answer and Submission Agreement on all other parties to this case (pro se parties and counsel of record) by US Mail or overnight mail.

All questions marked as \* are mandatory.

Case ID: 13-00

Case Name: John Smith v. ABC Securities

Name of Person Completing Form: [Redacted]

Please note that the following email address will be used for all DR Portal emails: [Redacted]

Your Role on the Case \*

☐ Party

☐ Party Representative

Submission Type \*

☐ Statement of Answer

☐ Statement of Answer that Includes Cross, Counter, or Third-Party Claims

Attachments

2. Attach your documents. Attachments can be added by clicking on the “Add Document” button.

Attachments

Attachment Type	Attach File	Description
0 Row(s)		

**Add Document**

Click on "Add Document" to submit a document to FINRA DR. Only documents formatted in Adobe PDF are acceptable.  
Note: Please do not combine documents into a single PDF. Attach each document as a separate attachment and select the appropriate attachment type.

Click a row to edit it.

3. Select the attachment type for each attachment. (Note that attachments must be Adobe PDF formatted files.)
4. Find the file on your computer using the “Browse...” button.
5. Enter a description for the attachment, if desired.
6. Click on the **Add Document** button.

**Note: Please combine related documents into a single text-searchable PDF attachment and select the appropriate Attachment Type. Unrelated documents should be submitted as separate documents by selecting the appropriate attachment type for each.**

**Attachments**

Attachment Type \*  
Statement of Answer

Attach File - Adobe PDF Only \*  
Limit: 1 file(s).  
Browse...


Description  
XYZ Securities answer filed 12/10/13

**Add Document** Cancel

7. If you selected “Statement of Answer that includes Cross, Counter, or Third Party Claim”, enter the appropriate filing fee amount in the Fee Summary area so that you can submit payment along with your answer. Be sure to select the name of the party that should receive credit for the payment.
8. Click “**Submit**”. A Filing ID number (also known as a Tracking Number) will be assigned to your submission so that you can refer to it later.
9. You can pay the filing fee online by credit card or ACH bank transfer from your checking account (also known as an “electronic check”), or by mailing a check to FINRA. If you are experiencing financial hardships and are not a FINRA member, then you may instead request a waiver of the filing fee. You must select one of these options in order to submit your claim. If you are paying the fees online, you will be taken to the online payment system to make your payment.
10. Once you complete the payment process, you can view the completed answer form. You can then close this browser tab and go back to the DR Portal in the other tab that is still open.

When you click on the File Answer button, a draft of the form will be saved in your Drafts & Submissions tab of the case so that you can return to it later. You can delete a draft form by clicking on “Delete”. Submitted forms will also appear in the Drafts & Submissions tab, with a status of Submitted.

#### Drafts & Submissions

SUBMIT PAYMENT 					
FORM TYPE	TRACKING NUMBER	FORM STATUS	FORM STATUS DATE	PAYMENT STATUS	
<a href="#">Answer</a>	704077	 Draft	09:03 AM 08/29/2013	N/A	<a href="#">Delete</a>

## Submitting Documents

If you need to submit a document to FINRA after you have already submitted your answer, click on the “**Submit Documents**” button. This will open the Submit Documents form in a separate browser tab. To submit documents:

1. Attach your documents. Attachments can be added by clicking on the “**Add Document**” button. (Note that attachments must be Adobe PDF formatted files.)

**FINRA Dispute Resolution Submit Documents Form**

Use this form to electronically file case-related documents with FINRA Dispute Resolution. FINRA rules require you to serve a copy of these documents on parties to this case (pro se parties and counsel of record) by first class mail, overnight mail or delivery service, hand delivery, facsimile, or electronic. If you are filing an amendment to your claim or answer filing, you may also pay the corresponding filing fee online as part of this submission.

All questions marked as \* are mandatory.

Case ID: 13-03048  
Case Name: Walter Williams v. Morgan Stanley  
Name of Person Completing Form: Adam Arb

**Attachments**

Document For: Arbitration

Attachment Type: Amended Answer

Click on "Add Document" to submit a document to FINRA DR. Only one document type may be submitted at a time. Note: Please do not combine documents into a single PDF. Attachments should be submitted as separate documents by selecting the appropriate attachment type for each.

Click a row to edit it.

Save Print Preview Submit

2. Select the attachment type for each attachment.
3. Find the file on your computer using the "Browse..." button.
4. Enter a description for the attachment, if desired.
5. Click on the **Add Document** button.

**Note: Please combine related documents into a single text-searchable PDF attachment and select the appropriate Attachment Type. Unrelated documents should be submitted as separate documents by selecting the appropriate attachment type for each.**

6. If you selected "Amendment to Statement of Claim" or "Amendment to Statement of Answer", there may be additional fees due. Enter the appropriate amount in the Fee Summary area so that you can submit payment along with your amendment. Be sure to select the name of the party that should receive credit for the payment.
7. Click **"Submit"**. A Filing ID number (also known as a Tracking number) will be assigned to your submission so that you can refer to it later.

When you click on the Submit Documents button, a draft of the form will be saved in your Drafts & Submissions tab of the case so that you can return to it later. You can delete a draft form by clicking on "Delete". Submitted forms will also appear in the Drafts & Submissions tab, with a status of Submitted.

**Drafts & Submissions**

FORM TYPE	TRACKING NUMBER	FORM STATUS	FORM STATUS DATE	PAYMENT STATUS	
<a href="#">Attachment</a>	702986	Draft	03:06 PM 08/28/2013	N/A	<a href="#">Delete</a>
<a href="#">Attachment</a>	445775	Submitted	03:35 PM 05/15/2013	Pending	
<a href="#">Answer</a>	445772	Submitted	03:25 PM 05/15/2013	Paid	

## Case Details

The **Case Details** tab shows the names of the parties and their representatives, and the assigned FINRA staff member. By clicking on the representatives' names, you can see their contact information. You can also view the names of the neutrals assigned to the case.

Case Details | Pleadings | Deficiencies | List Selection | Hearings | Scheduling | Case Documents | Drafts & Submissions | User Management

**Arbitrators**

Arbitrators have not been assigned to this case.

**Arbitration Parties**

**Claimant(s)**

Party	CRD #	Agreement Date	Type	Class	Status	Represented By
John Smith			Individual	Customer	Active	+ Mr. James Schroder

**Respondent(s)**

Party	CRD #	Agreement Date	Type	Class	Status	Represented By
XYZ Securities		04/08/2013	Corporation	Non-Member	Active	Mr. Jack Ablesonman YYY Law 999 Maiden Lane New York, New York 10006 Phone: Mobile: Fax: E-mail:

click here to see details

## Pleadings

The **Pleadings** tab shows a summary of the pleadings that have been entered for this case. Note that the actual pleadings filed with FINRA may contain more information than is displayed here.

Case Details | Pleadings | Deficiencies | List Selection | Hearings | Scheduling | Case Documents | Drafts & Submissions | User Management

**Pleadings**

Pleading	Filed On Date	Type	Requested
Initial Claim	10/01/2012	Monetary	\$10,000.00

## Deficiencies

The **Deficiencies** tab shows a list of open issues to be rectified by the listed party for this case.

Case Details | Pleadings | Deficiencies | List Selection | Hearings | Scheduling | Case Documents | Drafts & Submissions | User Management

**Deficiencies**

Party Name	Description	Date
John Smith	Please provide proof that the pleading was served on all parties.	08/29/2013



## List Selection

The **List Selection** tab allows party representatives to strike and rank arbitrators on the provided arbitrator list. This ranking page replaces the use of the paper ranking form.

**Note: DO NOT submit the paper ranking form in addition to completing the online ranking sheet.**

For each section of the list, strike the arbitrators that you do not wish to be on the panel, and rank the remaining arbitrators, starting at 1 for your highest ranked arbitrator in that section.

**List Selection for List ID: 81818**  
**Public Chairpersons**

Maximum of 4 strikes permitted.

Party Rank	Strike	Arbitrator ID	Arbitrator Name	Classification
<input type="checkbox"/>	<input type="checkbox"/>	A-1111	Robert C. Brown	Public
<input type="checkbox"/>	<input type="checkbox"/>	A-1112	John D. Smith	Public
<input type="checkbox"/>	<input type="checkbox"/>	A-1113	John D. Smith	Public
<input type="checkbox"/>	<input type="checkbox"/>	A-1114	John D. Smith	Public
<input type="checkbox"/>	<input type="checkbox"/>	A-1115	John D. Smith	Public
<input type="checkbox"/>	<input type="checkbox"/>	A-1116	John D. Smith	Public
<input type="checkbox"/>	<input type="checkbox"/>	A-1117	John D. Smith	Public
<input type="checkbox"/>	<input type="checkbox"/>	A-1118	John D. Smith	Public
<input type="checkbox"/>	<input type="checkbox"/>	A-1119	John D. Smith	Public
<input type="checkbox"/>	<input type="checkbox"/>	A-1120	John D. Smith	Public

**Public Arbitrators**

Maximum of 4 strikes permitted.

Party Rank	Strike	Arbitrator ID	Arbitrator Name	Classification
<input type="checkbox"/>	<input type="checkbox"/>	A-1121	John D. Smith	Public
<input type="checkbox"/>	<input type="checkbox"/>	A-1122	John D. Smith	Public
<input type="checkbox"/>	<input type="checkbox"/>	A-1123	John D. Smith	Public
<input type="checkbox"/>	<input type="checkbox"/>	A-1124	John D. Smith	Public
<input type="checkbox"/>	<input type="checkbox"/>	A-1125	John D. Smith	Public
<input type="checkbox"/>	<input type="checkbox"/>	A-1126	John D. Smith	Public
<input type="checkbox"/>	<input type="checkbox"/>	A-1127	John D. Smith	Public

The disclosure reports for all of the arbitrators listed in the List Selection tab can be found in the Case Documents tab with the subject heading of "Arbitrator List".

The first page of the disclosure report is the ranking form. Do NOT submit this paper ranking form, since you will instead be ranking the arbitrators online in the List Selection tab. You should, however, confirm that the List ID provided on the ranking form is the same as the List ID noted in the List Selection tab. The subsequent pages provide the arbitrators' disclosure reports.

Once you have entered all of your ranks and strikes, you can enter a comment at the bottom of the page and then click on **Submit Ranking Sheet**. Only one ranking sheet can be submitted by a representative. If a ranking sheet was submitted in error, you should contact your FINRA case administrator assigned to the case and have them delete it so that you can re-submit.

Shortly after your ranking sheet is received, a copy of your submitted rankings can be found in the Case Documents tab.

**Note: You should go to the Case Documents tab and verify that you received a copy of your submitted ranking sheet. If you do not find it, contact the Dispute Resolution staff member assigned to your case, or send an email to [claimhelp@finra.org](mailto:claimhelp@finra.org) to verify that FINRA has received your rankings.**

Note that the process is the same for mediator lists and ranking.

## Hearings

The **Hearings** tab shows all of the hearings that are scheduled or have already been held for the case. You can also view the address and phone number for a hearing location. The Hearings page also provides information about which arbitrators and FINRA staff attended a particular hearing.

Case Details	Hearings	Pleadings	Deficiencies	Case Documents	Drafts & Submissions	User Management
<b>Arbitration Hearings</b>						
Date	Time	Type	Location	Sessions	Status	Attendee(s)
05/16/2013	09:00 AM EST	Initial Pre-hearing conference	Conference Call...	1	Open	FINRA: Arthur Baumgartner
05/17/2013	09:00 AM EST	Regular Hearing	FINRA Dispute Resolution... 165 Broadway One Liberty Plaza 27 Floor, New York 10006 Phone:	2	Open	FINRA: No Attendee

## Scheduling

The **Scheduling** tab provides a collaborative tool that allows the party representatives and neutrals to find mutually agreeable dates for scheduling (or rescheduling) arbitration hearings or mediation sessions.

When a hearing or session needs to be scheduled or rescheduled, FINRA staff will propose a range of dates by creating a "Scheduling Poll." When DR staff publishes a poll on the DR Portal, each of the required attendees will receive an email notification telling them to come to the DR Portal to complete the poll by providing their availability.

Click on the Poll ID to open the poll.

Case Details	Pleadings	Deficiencies	List Selection	Hearings	Scheduling	Case Documents	Drafts & Submissions	User Management
<b>Arbitration Hearing Scheduling Polls</b> <span>Expand All</span>								
Please click on the Poll ID to update your schedule for the associated hearing poll.								
Poll ID	Hearing Type	Telephonic / In Person	From Date	To Date	Due Date	Time Zone	Number of Days to Schedule	Attendees
10018	Regular Hearing	In Person	10/1/2013	10/31/2013	9/27/2013	Eastern Time Zone	5	Parties+Full Panel

For each date, enter your availability. You can also enter a comment in the box by clicking on the green plus sign. Once you are finished, click on **Save** at the bottom of the poll. Your entries and comments will be immediately viewable by every other attendee on the case, as well as by DR staff.

**Arbitration Hearing Scheduling Polls**

Poll ID: [REDACTED]

Please provide your availability no later than 12/31/2013 in the scheduling poll below.

**Reschedule of postponed hearings in November.**

Enter specific details for a given date in the corresponding text box. For example, if you are available in the afternoon starting at 1:00pm in the text box.

Date (Eastern Time Zone)	Claimant (Claimant) As of: 11/25/2013 4:43:10 PM ET	Respondent (Respondent)
1/1/2014	Available AM starting at 11:00am	
1/2/2014	Available All Day	
1/3/2014	Not Available	
1/6/2014	Available AM until 1:00pm	
1/7/2014		
1/8/2014		
1/9/2014		

*Note: A red arrow points to the 'Available AM' dropdown for 1/1/2014 with the text 'enter your availability and comments'.*

You can come back to the poll to make changes and update your comments in order to try and reach consensus on acceptable dates, all without having to speak in person. Click on **Save** after you make changes so that other attendees can see your latest updates.

Note that the process is the same for mediation Scheduling Polls.

## Case Documents

The **Case Documents** tab shows a list of documents contained in the case file that have been made available for viewing through the portal. This would include documents you submitted as well as documents published by FINRA staff to the portal.

Case Details	Pleadings	Deficiencies	List Selection	Hearings	Scheduling	Case Documents	Drafts & Submissions	User Management
<b>Case Documents</b>								
Subject	Date	Documents	Recipients					
FINRA Correspondence	08/30/2013	Submission Agreement.pdf (Executed Sub Agreement by Respondents),	+ Multiple					
Arbitrator List	08/29/2013	+ Multiple	John Smith					
Submitted Arb Ranking Sheet	08/29/2013	Claimant Ranking Sheet sent for [REDACTED] List ID 81818.pdf (Arbitrator Ranking Sheet),	John Smith					
Submitted Documents	06/11/2013	+ Multiple	John Smith					
Submitted Documents	05/15/2013	+ Multiple	John Smith					

**ADVANCED TIP: DR Portal Primary Contacts and Secondary Contacts** (see “User Management” later in this Guide) receive an automated email whenever activity occurs on one of your cases. Each type of automated email has a small, identifying code word at the bottom. For example, when FINRA publishes a document on the portal for one of your arbitration cases, the automated email will include the code word “PUBADOC”. You can create “rules” in your email system to look for these code words on incoming email to automatically route the automated emails as you desire. Be sure that FINRA emails are not being stopped by any email spam blockers you may have.

## Drafts & Submissions

The **Drafts & Submissions** tab shows a list of the forms that you are currently working on (drafts) as well as the forms you have already submitted to FINRA (submissions). Forms that have been submitted will have an assigned Tracking Number that you can refer to later. *Note that at the current time, claim filing forms submitted via the Arbitration Online Claim Filing System are NOT viewable in this tab. These forms will be integrated with the DR Portal in a future update.*

If you submitted a form that required payment (e.g. a filing fee), but did not complete the payment process at the time of submission, you can come to this tab, select the form by clicking on the row, and then click on the “Submit Payment” button to complete the payment process.

Case Details
Pleadings
Deficiencies
List Selection
Hearings
Scheduling
Case Documents
**Drafts & Submissions**
User Management

SUBMIT PAYMENT

FORM TYPE	TRACKING NUMBER	FORM STATUS	FORM STATUS DATE	PAYMENT STATUS	
<a href="#">Attachment</a>	704162	Draft	11:11 AM 08/29/2013	N/A	<a href="#">Delete</a>
<a href="#">Attachment</a>	704078	Draft	09:08 AM 08/29/2013	N/A	<a href="#">Delete</a>
<a href="#">Attachment</a>	445775	Submitted	03:35 PM 05/15/2013	Pending	
<a href="#">Answer</a>	445772	Submitted	03:25 PM 05/15/2013	Paid	

## User Management

The party representative that used the invitation email that came from FINRA to register for the case is called the “**Primary Contact**.”

**Note that the “Primary Contact” does not have to be the same person as the actual party representative (i.e., as provided in a notice of appearance.) If the DR Portal invitation email was used by someone other than the party representative, that person becomes the “Primary Contact” with regard to DR Portal work for the case.**

**It is permitted for the party representative to delegate the role of “Primary Contact” for DR Portal work, but the representative is responsible for all submissions made.**

The **User Management** tab allows a Primary Contact to grant access to the DR Portal for a particular case by sending an invitation.

Case Details | Pleadings | Deficiencies | List Selection | Hearings | Scheduling | Case Documents | Drafts & Submissions | **User Management**

**Invite New User to this Case**

E-mail:  Description:  Access: **Full**

**Manage Current User Access for this Case**

No users have been invited to this case.

**Invite and Manage Party Access for this Case**

Type	Name	E-mail	Invited	Registered	Access	
Individual	John Williams	John.Williams@...	No	No	Basic	<input type="button" value="Invite"/>

**Invite New User to this Case** lets the Primary Contact invite anyone they choose (such as support staff) to the case by entering the email address, a basic description, an access level, and then clicking the Send invitation button. Invited individuals are sometimes called “**Secondary Contacts**” in the system or by FINRA DR staff.

You can set the access level all the way up to “Full” which lets them do anything the Primary Contact can do on their behalf, except for inviting other Secondary Contacts (only the Primary Contact has access to the User Management tab). “Basic” only gives the high-level information about the case; they cannot access the row of tabs (Case Details, Pleadings, etc). “Full Read” gives access to all of the tabs, but the user cannot submit documents, enter arbitrator ranks or strikes, or enter scheduling information.

**Note that the representative accepts all responsibility for the individuals they invite in maintaining confidentiality of the case information.**

The invited individual will receive an email invitation containing a special link that will grant them the ability to access this specific case in the DR Portal. Individuals need to be invited to each case that the Primary Contact wishes them to access.

**Manage Current User Access for this Case** lets the Primary Contact change or remove access to previously invited individuals (Secondary Contacts), or to re-invite individuals if they lost or deleted the invitation email. To remove access for a previously invited user, just change their access level to “None” and click on the Update link. The invited user will no longer see this case when they log into the Portal.

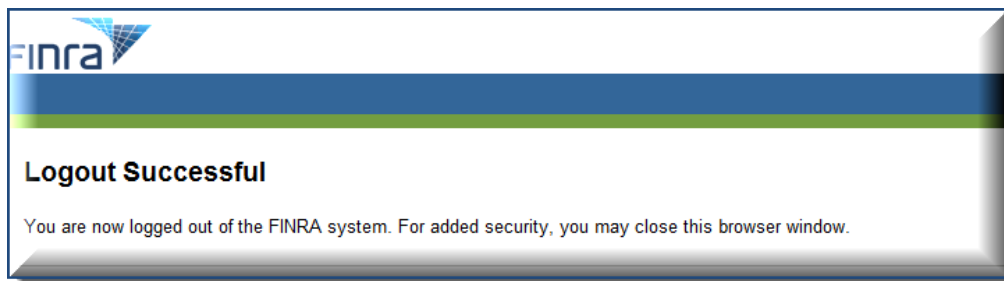
**Invite and Manage Party Case Access for this Case** works the same way as Invite New User to this Case, but is used to invite the actual parties that they represent to the case. The names of the parties associated with the representative are already listed in this section, along with the email address that FINRA has on file for this party. It cannot be entered on this screen. The invitation will be sent to that email address. If no email address has been provided to FINRA for the party, the party cannot be invited. Invited parties are not Secondary Contacts, and have a “read-only” view of the case (either Basic or Full Read); they cannot enter information or submit documents through the portal.

## Log Out of Portal

You can log out of the DR portal by clicking on the **“Sign-Out”** link in the top right corner.



Once you click the **“Sign-Out”** link you will receive confirmation that your Logout was successful.



## Additional Help

If you have any questions about the DR portal, please contact the Dispute Resolution staff member assigned to your case or email [claimhelp@finra.org](mailto:claimhelp@finra.org).

## Frequently Asked Questions

**Q:** What is the difference between accessing a case using a Claim Access Code and using the personalized link in the Invitation email to register for the case?

**A:** The Claim Access Code found in the Claim Notification Letter allows a respondent on a case to retrieve a claim from the DR Portal and file an answer. FINRA sends this letter to the named respondents on the claim, rather than serving the actual claim documents. It permits the user to access just the claim for just the one case, but it can be used multiple times by different users. For example, a respondent might receive the letter, use the Code to retrieve the claim, and then decide to hire counsel to handle the claim on their behalf. They can give the letter to the counsel

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who can also create their own DR Portal account (or use their existing account), access the claim, and then file an answer on behalf of their client. Once respondent's counsel has been established with FINRA for the case (as provided in the submitted answer or in a notice of appearance), FINRA will send an email Invitation to that counsel so that they can "register" for the case. The personalized link in this invitation will ONLY work one time, but it provides FULL access to the case, permitting them to use all of the functionality of the DR Portal described in this User Guide. The representative can give this invitation email to a delegate, rather than using it themselves, but it will only work one time. If the respondent party notifies FINRA of a change of counsel, the prior counsel will lose all access to the case, and the new counsel will be invited.

Q: What do I do if I enter my Claim Access Code wrong three times and lock myself out of the case?

A: Contact the Dispute Resolution staff member assigned to your case or send an email to [claimhelp@finra.org](mailto:claimhelp@finra.org).

Q: I'm pretty sure that I am typing my Claim Access Code correctly, but it says that the information is not correct. What am I doing wrong?

A: All of the letters in the Claim Access Code are capitalized. Capital "I" characters can look like lower-case "L" characters or the number "1". Only use capital letters when entering the code.

Q: Do I have to enter the URL in the Claim Notification Letter to retrieve a new case with the Claim Access Code?

A: No, once you create your account, you can log straight into the DR Portal using <https://drportal.finra.org> and then choose "receive a case" from the left-hand menu option and enter your Claim Access Code there. Remember that you do NOT want to create a new User ID for each case that you want to receive.

Q: What is the difference between the Case Documents and the Drafts & Submissions tab?

A: Drafts & Submissions shows the "forms" you have submitted to FINRA. There are currently two types of forms in the system; the Answer form and the Attachment form. Each of these forms permits you to attach certain types of documents. The Answer form is used to submit your answer documents to FINRA; the Attachment form is for subsequent submissions. Drafts & Submissions only shows the forms that you personally submitted. It would not, for example, show the Primary Contact something that one of their secondary contacts submitted. Parties invited to the portal with Full Read access also cannot see these submissions. That is why we publish everything back out to the Case Documents tab.

Q: On the Drafts & Submissions page, it seems that every time I click on "File Answer" or "Submit Documents" it saves a new draft. What are the criteria for how often it saves a Draft? I thought it would only save as a draft if I clicked "Save" while within the form.



A: Every time you click on either the File Answer or Submit Documents button, a new form instance (i.e. a draft) is created. One thing about Drafts and Submissions is that it only shows the forms YOU PERSONALLY submitted. It would not, for example, show the Primary Contact something that one of their secondary contacts submitted. Parties invited to the portal with Full Read access also cannot see these submissions. That is why everything is automatically re-published back out to the Case Documents tab.

Q: Can opposing counsel see my submitted rankings in the Portal?

A: No. The named representative on the case is the Primary Contact, and is in control of the case filings and providing access to case documents. The only people who can see your submitted rankings or documents are the Primary Contact and anyone she invited that is given “Full Read” or “Full” access.

Q: Do I have to use the same email address when I create an account on the DR Portal as I provided when I filed a claim or answer for a case I am representing?

A: All automated emails coming from the DR Portal will go to the email address on your DR Portal account. DR staff, however, might use the email address you provided with your initial submission. If you do not want this to happen, you should use the same email address for your account and all submissions.

Q: What is the difference between a Preliminary Contact, a Primary Contact, a Secondary Contact, and a Party with regard to the User Management tab?

A: As described under “Accessing Claim Information”, a claim can be served upon a respondent using a Claim Notification letter that contains a Claim Access Code (PIN). When this PIN is used, that user becomes a “Preliminary User.” They can only see the initial claim document for the one case that the PIN unlocks. More than one person can use the PIN; each user becomes a Preliminary User.

FINRA then sends an “invitation” email (to the claimant’s representative after they file the claim, and to the respondents’ representative after they file a notice of appearance). This invitation can only be used once. Whoever uses it (either the representative themselves or a delegate that they choose) becomes a “Primary Contact” with respect to the case on the DR Portal.

The Primary Contact has the ability (using the User Management tab) to invite other users into the Portal for a particular case to assist them with their portal work. These invited users become “Secondary Contacts.” They have a level of access as set by the Primary Contact on the User Management tab.

In addition, Primary Contact may invite the parties themselves into the DR Portal. In this case, FINRA must know in advance the email address of the party; the Primary Contact cannot enter it. Parties can have read-only access to the portal; they cannot enter any information or submit any documents.

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Q: What are the identifying codes that appear at the bottom of the emails I receive from FINRA when activity occurs on my cases?

A: DR Portal Primary Contacts and Secondary Contacts receive an automated email whenever activity occurs on one of your cases. Each type of automated email has a small, identifying code word at the bottom. You can create “rules” in your email system to look for these code words on incoming email to automatically route the automated emails as you desire. Be sure that FINRA emails are not being stopped by any email spam blockers you may have. Here is the list of codes:

- PCINVSC – Sent to the Secondary Contact when they are invited to a case on the DR Portal by the Primary Contact.
- PCRINSC – Sent to the Secondary Contact when they are re-invited to a case on the DR Portal by the Primary Contact.
- STINVPC – Invitation sent by FINRA staff to the party representative for the case on the DR Portal. Whoever uses this invitation becomes the Primary Contact for the case.
- DSPAPOL – Sent when an arbitration hearing poll is displayed on the Portal, requesting schedule availability.
- DSPMPOL – Sent when a mediation session poll is displayed on the Portal, requesting schedule availability.