

## FINRA Dispute Resolution

### Order

**Case Number:**

**Case Name:**

**Issues Addressed:** (ie., name of motion or request, by which party)

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**Pre-Hearing Conference Held?:** Yes No (circle one)

Date/Time:

Participating in the conference were:

Chairperson: \_\_\_\_\_

Panelist: \_\_\_\_\_

Panelist: \_\_\_\_\_

Claimant's Representative: \_\_\_\_\_

#1 Respondent's Representative: \_\_\_\_\_

#2 Respondent's Representative: \_\_\_\_\_

FINRA Dispute Resolution Staff:  
\_\_\_\_\_

**Decided by:** Chairperson Panel (circle one)

**Rulings:**<sup>1</sup>

After considering the pleadings submitted by the parties (and oral arguments, if pre-hearing conference held), the Panel/Chairperson rules as follows:

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<sup>1</sup> If more space is needed, add additional pages.

1. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

The parties should comply with this order by \_\_\_\_\_  
\_\_\_\_\_

If the parties settle this matter prior to the hearing, the forum fees for this pre-hearing conference (or discovery-related motion decided without a pre-hearing conference) are assessed as follows:

\_\_\_\_ % to Claimant(s), jointly and severally  
\_\_\_\_ % to Respondent(s), jointly and severally  
\_\_\_\_ % assessed to \_\_\_\_\_  
\_\_\_\_ % assessed to \_\_\_\_\_  
\_\_\_\_ % assessed to \_\_\_\_\_  
\_\_\_\_ % assessed to \_\_\_\_\_

X \_\_\_\_\_  
Chairperson,  
On behalf of the Arbitration Panel

Date: \_\_\_\_\_