FINRA Dispute Resolution

PROMISSORY NOTE CASE CHECKLIST (Revised October 11, 2016)

Case Number ___________________________________________________________

Case Name ___________________________________________________________

**Important Notice:**

Have you submitted your Arbitrator’s Oath? If not, please submit it to FINRA Office of Dispute Resolution together with the completed Promissory Note Case Checklist. Failure to provide the Oath may unnecessarily delay service of the award.

1. For cases in which a respondent has failed to submit an answer (an unresponsive party), have you reviewed the service history for that respondent? Yes___ No ___

   If yes, is service complete and sufficient upon the unresponsive party in order for you to decide the case? Yes___ No ___

   If you have any questions about service, please contact the case administrator assigned to your case.

2. Are you dismissing any respondents from this case? Yes____ No____

   If yes, list the respondents you are dismissing:
   __________________________________________________________________
   __________________________________________________________________
   __________________________________________________________________

3. Are you denying claimant’s relief requests in their entirety against the remaining respondents? _____ Yes _____ No

4. **IF YOU ARE AWARDING DAMAGES TO THE CLAIMANT:**
   a. Total compensatory damages awarded: ____________________

   b. Are the respondents found jointly and severally liable? Yes___ No____

      If no, list the respondents and the amount of liability against each:
      __________________________________________________________________
      __________________________________________________________________

5. **INTEREST** (if applicable):
   a. Granted ______ (if granted, please complete the sentence below.)

      Interest is awarded at the rate of _______% per annum from _________ to ____________

   b. Denied _______
6. **PUNITIVE DAMAGES** (if applicable)
   a. Granted ________ (if granted, please supply the information requested below.)
      Name(s) of respondent(s) against whom punitive damages are to be assessed and the amounts:
      __________________________________________________________
      __________________________________________________________
      __________________________________________________________
      __________________________________________________________
      Basis for punitive damage award: ______________________________
      __________________________________________________________
      __________________________________________________________

   b. Denied ________

7. **ATTORNEY FEES** (if applicable)
   a. Granted ________ (if granted, please specify amount and legal authority, if any)
      __________________________________________________________
      __________________________________________________________
      __________________________________________________________

   b. Denied ________

8. **COSTS** (if applicable)
   a. Granted ________
      __________________________________________________________
      __________________________________________________________
      __________________________________________________________

   b. Denied ________

9. **FINRA DISPUTE RESOLUTION FEE OF $300.00 FOR A DECISION ON WRITTEN SUBMISSIONS** (You are required to complete this section.)
   a. Assessed against respondent (Please specify percentage assessed against each respondent.)
      __________________________________________________________

   b. Assessed against claimant (Please specify percentage assessed against each claimant.)
      __________________________________________________________

10. **FILING FEES**
    Please indicate whether you wish to have the respondent(s) reimburse the claimant(s) for the non-refundable portion of the filing fee previously paid to FINRA Office of Dispute Resolution.
    _____Yes  _____No

11. You may use a separate sheet of paper to clarify or expand any part of the decision above or to indicate other types of relief.