

Request for Mediation

Please complete this form if you are interested in having your dispute mediated through FINRA's Mediation Program. Mediation is a voluntary process, and no party is required to mediate a dispute. When FINRA receives your Request for Mediation form, Dispute Resolution staff will contact the other parties and seek their agreement to mediate. You will receive copies of our communications to the other parties.

There are costs associated with mediating through FINRA's Mediation Program. Please visit our website to learn about the mediation process and anticipated costs. No fees are due until an agreement to mediate with the other parties is confirmed.

If you have questions after reviewing this information, please contact us at mediate@FINRA.org. If you do not have Internet access call or write to the FINRA office shown at the end of this document, and request a packet of information that will include an overview of the mediation process, fees and rules.

Please fill out the form completely. **Missing information may delay the processing of your request.**

If represented by counsel, please provide the representative's name and contact information:

Represented by _____

Firm Name _____

Street Address _____

City _____

State _____

Zip _____

Telephone _____

Fax _____

Email Address _____

Party:

Prefix _____

First Name _____

Middle Name _____

Last Name _____

Street Address _____

City _____

State _____

Zip _____

Telephone _____

Fax _____

Email Address _____

Securities Account Number(s) 1. _____

(last 4 digits only)

2. _____

over >>>



Financial Industry Regulatory Authority

1. I request that my dispute be mediated by FINRA's Mediation Program under the FINRA Mediation Rules. I request that FINRA Dispute Resolution contact the other party(ies) and seek their agreement to mediate.

I ask that the mediation be held in the city of _____.

2. Check One:

This dispute involves a pending FINRA arbitration case. **The case number is:**

This dispute does **not** involve a pending FINRA arbitration case.

3. Please provide a brief description of the dispute. Include a summary of what occurred, the names, account numbers (**last 4 digits only**), and location of any securities account(s) at issue, the date(s) on which the dispute occurred, the names and titles of all individuals involved, and the relief requested (*e.g.*, an amount of money damages or a description of other relief you seek).

4. Please provide the following information for all parties to the dispute. If you list a brokerage firm, provide the name of a contact person at the brokerage firm who would have the most information about the dispute. Please attach additional pages if necessary.

Name of Party Firm

Contact Person Name Position/Title

Address

Telephone Fax

Email Address

Name of Party Firm

Contact Person Name Position/Title

Address

Telephone Fax

Email Address

Please mail or email this completed form:

Mail: FINRA, Mediation Department
5200 Town Center Circle, Tower 1, Suite 200, Boca Raton, FL 33486

Email: mediate@finra.org

If you need further assistance or require a mediation information packet, please call (561) 416-0277.

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www.finra.org

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