



# FINRA Arbitrator Application

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## User Guide

**May 2022**

**Disclaimer**

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## How Do I Get Started?

### DR Portal Access

FINRA Dispute Resolution forum participants can complete the Arbitrator Application after creating a DR Portal account.

**Note: you can not use a FINRA Gateway account on the DR Portal. You must create a separate personal account, and the account should use the unique email address of the user. Do not use a “group mailbox” email address when creating an account.**

### Compatible Browsers

The DR Portal is compatible with the most recent versions of the following browser: Microsoft Edge; Firefox, Google Chrome and Safari. Microsoft Internet Explorer 11 is no longer supported.

### 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 blocker.

### Mobile Devices

The DR Portal is only partially accessible with mobile devices. You can login and view case information, and depending on the device, and may be able to view PDF files. You cannot currently complete the Arbitrator Application form using a mobile device.

### Spam Filters

You will receive automated emails coming from “drportal@finra.org” when activity occurs that requires your attention. To prevent your spam filter from blocking these emails, we suggest that you add this email address to the “safe senders” list in your spam filter software.

**Note: FINRA will not complete spam filter forms that may be sent by your spam filter software. You must add the “drportal@finra.org” email address to your spam filter safe sender list in order to receive emails coming from the DR Portal.**

### Registering an Account with FINRA

You will begin the application process by first registering with FINRA.

1. Under “Information for Arbitrators”, find the “Become an Arbitrator” page.  
<https://www.finra.org/arbitration-mediation/become-arbitrator>

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2. Click the “Apply Now” link to log into the DR Portal Arbitrator Application form.

## Become an Arbitrator



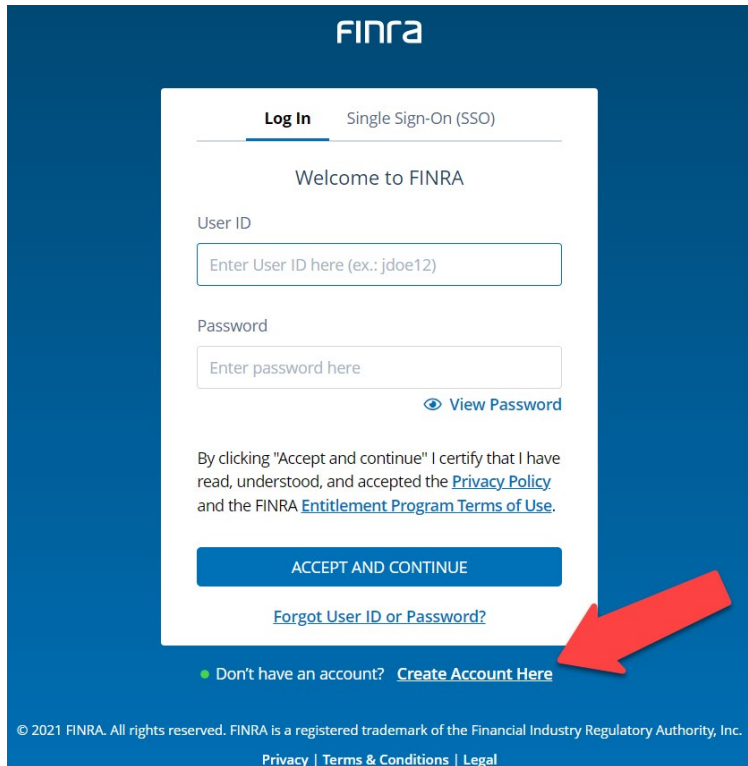
The success of securities arbitration depends on the quality of the arbitrators who hear and decide the disputes presented by the parties. If you qualify, you will join a group of dedicated individuals serving the investing public and the securities industry.

- » [FINRA Arbitrators](#)
- » [Training, Serving on a Case and Honorarium](#)
- » [Benefits of Becoming an Arbitrator](#)
- » [Hearing Locations](#)
- » [Apply Now](#) ←

View/download the

[FINRA Dispute Resolution Brochure](#)  
(PDF 796KB) for an overview of Dispute Resolution.

3. You will be taken to the “**Welcome to FINRA**” login page where you have the option to log into or create your FINRA account.
4. If you do not already have a DR Portal account, click on “**Create Account Here**” to create a new FINRA account. Otherwise, login with your existing account and skip to “Getting Started with the Application” below.



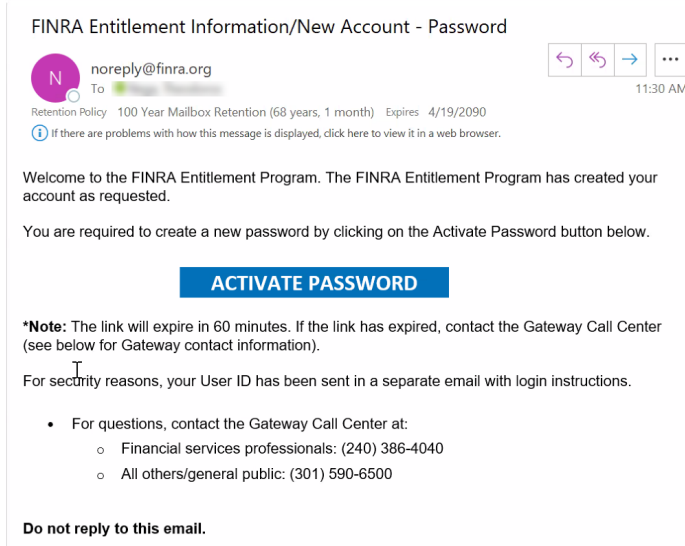
5. Enter the User Profile information. Note that the email address that you provide in the Primary Email will be the email that is reflected as your primary email address with FINRA Dispute Resolution Services. If you need to update your email address with FINRA, you will need to make this change by updating your account information in the Portal—this change cannot be made by FINRA staff. FINRA Dispute Resolution Services does not make use of the “Secondary Email” field, so you can leave this blank.
6. You will also need to enter the characters shown in the box before submitting the information. You can click the small refresh button if you are having trouble reading the provided set of characters and would like a different set.

To prevent unauthorized access to this application, please enter the characters in the exact order as they appear in the box below.



7. Once all information is entered, press “Submit”.
8. You will receive a “Registration Confirmation” with your User ID. Be sure to write down your User ID and/or print this screen. Once written down, **close all of your browser sessions.**

9. You will receive two emails: one confirms your account User ID, and the other provides a button to activate your password. Click on the “ACTIVATE PASSWORD” button in the second email.



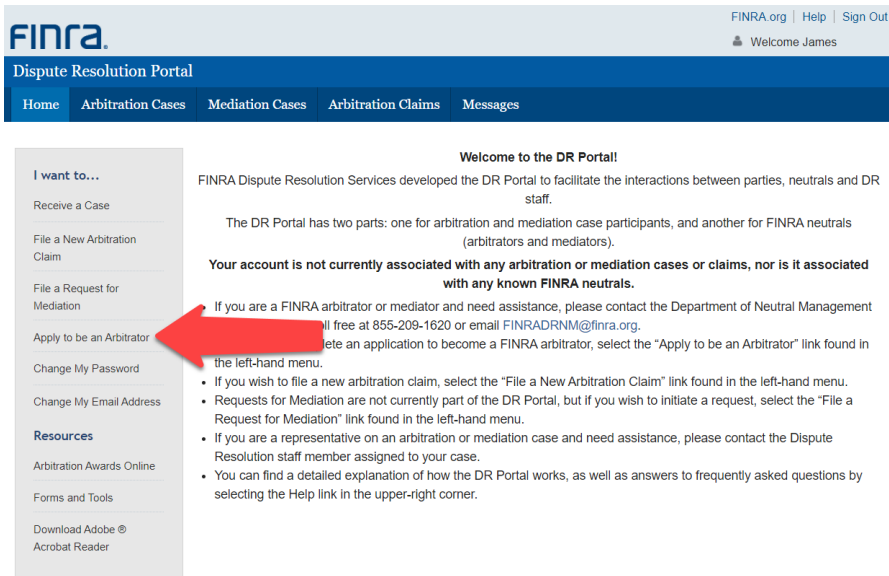
10. Once you create your new password, you can log into the online application.
11. Log into the online application by entering your **new password**. The first time you log in you will be asked to choose three security questions and provide the answers. From time to time, the system may ask you one of these questions to confirm your identity.

## Getting Started with the Application

After you log into FINRA’s system, you will see the following page in a separate browser tab. Note that if your browser has a pop-up blocker turned on, it may prevent this separate tab from opening.

To start a new application, click on **“Start Application”** and that will take you to a new application form. A new **“Tracking Number”** will be assigned to the form that you open.

Note that if you had logged in with a previously created DR Portal Account, you can access the Arbitrator Application from the left-hand panel by clicking on **“Apply to be an Arbitrator”**.



## Completing the Application Form

You will need to complete each section of the application. On the left-hand side, you will see a heading for each section. Each separate section will contain specific instructions at the top of the page. All questions with a red asterisk (\*) are required.

**FINRA** Arbitrator Application [Help](#) [Sign-Out](#) [Back to File Cabinet](#)

Personal Information  
How Did You Hear About Us?  
Contacts and Honorarium  
Background and Employment  
Education and Training  
Arbitrator Classifications  
Injunctive Relief Qualification  
Statutory Discrimination Qual.  
Regulatory Action Disclosures  
Civil Judicial Disclosures  
Complaints and Legal Disclosures  
Harassment and Termination Discl.  
Financial and Other Legal Discl.  
Conflicts  
**Accommodations**  
Affirmation of Duties  
Background Verification  
Review and Submit

**Accommodations**

Please tell us if you require any special accommodations when serving as an arbitrator. All questions marked as \* are mandatory.

Do you have any requests or accommodations that relate to your service as an arbitrator? \*

Yes  No

## Saving Information

You may complete the form in any order. For example, you can fill out the Accommodations information and then skip to the Arbitrator Classifications section. After you enter information for any section, be sure to **Save** your progress.

You can also work through the form in the order presented. After you enter information for a section, be sure to either **Save** your progress or press **NEXT** to go onto the next section. By pressing **Next**, the system will automatically save your progress. The system will also save your progress if you press **Previous**.

## Returning to a Previous Draft

The application is lengthy, so you may not be able to complete it one session. You have the option of saving the application with the information entered and logging back into your account to complete it later. You can log back into FINRA’s system on the FINRA Website page with the Apply Now link, or from the top of any FINRA Website page (using the “LOG IN” button in the upper-right corner and selecting “DR Portal”).

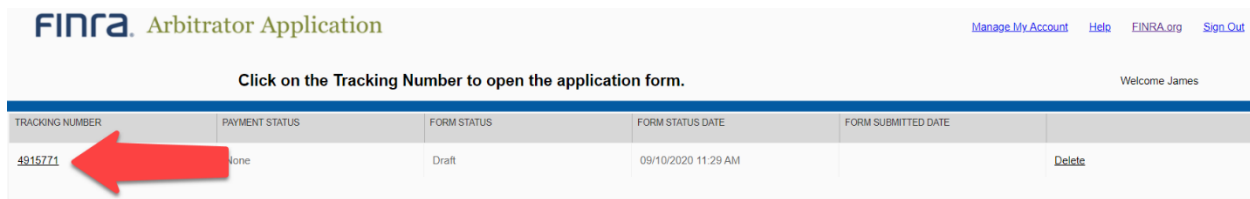


# FINRA Dispute Resolution Services Arbitrator Application User Guide



When you log back into your account, you will see your “**File Cabinet.**” You should see the draft of the application that you saved previously.

To return to the application, click on the Tracking Number of your draft. This will take you back to your application.



## Application: Section by Section

### Personal Information

Enter basic, personal information such as name, Social Security number, etc. You will notice that your login ID and email address are already included. This information is automatically added to your application when you created your online account. Once you are done entering information on this screen, click **Save** or **Next**.

### How Did You Hear About Us?

Please provide information about how you became interested in FINRA. As part of our recruiting efforts, we try to keep track of how we reach arbitrators and how they learn about FINRA.

## Contacts and Honorarium

Enter your current addresses. You may enter more than one. For example, you can enter your home address as well as your work address. If you have multiple residences where you split your time during the year, you can add those addresses. Once you enter this information, you can designate which address should serve as your preferred address. This will be the address that FINRA sends you correspondence—both case related and general roster maintenance.

To add an address or telephone/fax, press “**Add New**”.


**Contacts and Honorarium**

All questions marked as \* are mandatory.

Addresses							
Preferred	Type	Firm/Company	Street	City	State	Postal Code	Country
Y	Home		123 Main Street	Brooklyn	NY	11236	USA

**Add New** 1 Row(s)

Click a row to edit it.



When you are done entering information, click “**Add Row**” to add this information to your application.

## Arbitration Honorarium

Arbitrators are paid an honorarium according to [Rule 12214](#) of the FINRA Code of Arbitration Procedure. Arbitrators must not set their own rates. Arbitrators serving on FINRA’s roster are bound by FINRA’s honorarium rate.

You may choose to have the honorarium paid to you or your employer. You may also choose to waive the honorarium.


## Background and Employment

In this section, you should include a narrative of your professional background—in paragraph format. Do not provide your resume in lieu of a narrative paragraph. You can click on the PDF icon to see sample business statements. This text is added—exactly as you submit it here—to your disclosure report that is distributed to parties during the arbitrator selection process. You can type this information directly into the free text field or cut and paste from an existing document. You will, however, NOT be able to attach a document.

### Background and Employment

Please fully describe your business or professional background in paragraph format.

Please also describe any experience, education or training involving securities or employment matters, including college or university courses taken or seminars attended, and any other expertise or skills involving securities, employment or dispute resolution.

Do not provide your resume in lieu of a narrative paragraph. You may view sample business background statements  [here](#).

Note: This information will be made available to parties.


You have 10000 character(s) left.

## Employment History

To qualify as a FINRA arbitrator, applicants must have a minimum of five years of paid business and/or professional experience (unless waived by FINRA, at its discretion). Enter all employment that you have held since having completed your education. Do not leave any unexplained gaps of more than 120 days. Therefore, if you were unemployed or taking a sabbatical, you must enter those time periods as “unemployed” so there are no gaps in your work history.

Click “**Add New**” to add employment and complete the required fields. You must enter the month and year (format: mm/yyyy) of your employment.

Start Date▲	End Date	Firm Name	Position/Title	Full/Part-time	License Type	License #	
							0 Row(s)



Click a row to edit it.

## Education and Training

In order to qualify as a FINRA arbitrator, applicants must have completed a minimum of two years of college-level credits (e.g., 60 credits) from an accredited institution (unless waived by FINRA, at its discretion).

List your educational background in reverse chronological order with the most recently attended institution first.

Click **“Add New”** to add education information and complete the required fields. You must enter the month and year (format: mm/yyyy) of your education.

### Education and Training

In order to qualify as a FINRA arbitrator, applicants must have completed a minimum of two years of college-level credits (e.g., 60 credits) from an accredited institution (unless waived by FINRA, at its discretion). In some circumstances, a candidate without the required college credits may be considered, provided the individual has significant and relevant business/professional experience. If you meet the above requirement, please list in reverse chronological order (with the most recently attended institution first) all universities/colleges you have attended and received a degree, and those where you were enrolled, but did not receive a degree. Enter all non-degree programs, certifications, trainings attended, professional designation programs, etc. in the training section, below.

Education Not Applicable

School Name ▲	Degree/Field of Study	Start Date	Degree Received	Credits Earned	End Date	
<input type="button" value="Add New"/>						0 Row(s)

Click a row to edit it. Repeating Section. Can add multiple rows If start filling out a record, need to complete it or clear it.

## Training

Please enter any arbitrator, mediator and related training you have received, including the sponsoring organization, location and date(s).

Click **“Add New”** to add training information and complete the required fields. You must enter the month and year (format: mm/yyyy) of your education.

### Training

Please describe any arbitrator, mediator and related training you have received, including the sponsoring organization, location and date(s).

Note: If your application is accepted, you will be required to successfully complete FINRA's mandatory arbitrator training, test and evaluations.

Course ▲	Completed Date	Firm/School Name	Details	Certificate Awarded	Hours Completed	Location	
<input type="button" value="Add New"/>							0 Row(s)

Click a row to edit it. Repeating Section. Can add multiple rows If start filling out a record, need to complete it or clear it.

### **Arbitrator Classifications**

FINRA classifies arbitrators as "Public" or "Non-Public" based on their professional experience, the nature of their employer's work, and their immediate family members' professional experience, pursuant to the FINRA Code of Arbitration Procedure Rules 12100/13100. The following questions allow FINRA to correctly classify you based on these factors. Potential applicants should review these rules before applying to the roster, as some individuals do not meet the requirements for either classification and are, therefore, ineligible to serve. Please contact the Department of Neutral Management at [finradrm@finra.org](mailto:finradrm@finra.org) if you have any questions. All questions marked as \* are mandatory.

Answer each question and check the box to affirm the accuracy of your answers.

### **Injunctive Relief Qualification**

If you are an attorney in active status and wish to be considered for injunctive relief cases under Rule 13804, please answer the questions in this section.

### **Statutory Discrimination Qualifications**

If you are an attorney, and if you wish to qualify to serve as chairperson for statutory employment discrimination cases, please answer each question in this section. You will also need to provide an explanation of your experience with statutory employment discrimination cases. You can type in your text in the provided space.

### **Legal or Regulatory Disclosures**

The next several sections require disclosures in the following areas:

- Regulatory Action Disclosures
- Civil Judicial Disclosures
- Complaints and Legal Disclosures
- Harassment and Termination Disclosures
- Financial and Other Legal Disclosures

If you answer "yes" to any of the questions in these sections, please explain the circumstances or attach a copy of the appropriate legal documentation. Provide details, including case numbers, dates, damages requested and awarded, disposition, settlement amounts, etc. Any affirmative answers will be closely reviewed by the Director. The explanation for the answer may be disclosed to the parties. Please see the [criteria for temporary and permanent disqualification](#).

## Conflicts

Please list all known conflicts/disclosures and the nature of the conflict/disclosure. If accepted as an arbitrator, you will be under a continuing obligation to update this information and must disclose:

- new relationships as they arise,
- any circumstance or event that might affect your ability to serve impartially or might create an appearance of bias. This includes, but is not limited to:
  - lawsuits (even non-investment related lawsuits),
  - any publications (even if they appear only online),
  - professional memberships,
  - service on boards of directors.

Also, full disclosure requires arbitrators to include events and circumstances that occurred while using a former or alias name.

When in doubt disclose. Failure to disclose may result in vacated awards, which undermine the efficiency and finality of our process. Failure to disclose may also result in removal from the roster.

Answer all questions that apply to you as completely as possible. If appropriate, include the member firm's CRD number in your answer. All questions marked as \* are mandatory.

### **Accommodations**

Enter information about any accommodations you may require when serving as an arbitrator.

### **Affirmation of Duties**

After reviewing the affirmation and the terms and conditions of serving as a FINRA arbitrator, you must answer each question in this section confirming your understanding and acceptance. In addition, you must review the [Arbitrator Honorarium FAQ](#), [Arbitrator Disqualification Criteria](#) and the definitions of a “public” arbitrator and “non-public” arbitrator in [Rules 12100\(p\) and \(u\)](#) and check the box to affirm that you understand these materials.

## Background Verification

To ensure the integrity of the roster of neutrals, we require all applicants to submit to a verification of their background information. Please download the (1) background verification form and (2) the SSN verification form, complete all pages of both forms, sign, scan, and upload them to submit with your application. Note that Article 23-A of the New York Correction law only applies to applicants residing in New York state.

1. Download the (1) background verification and (2) SSN verification forms.
2. Complete all pages of both forms.
3. Sign both forms—the background verification vendor must have a “wet” signature (which can be scanned and emailed) for each form. No electronic signatures will be accepted.
4. Scan the forms and save them to your computer.
5. Attach your verification forms by clicking “**Choose Files**”, searching for the document on your computer and clicking “**Open**” to attach the document.

[Online Application](#)

### Background Verification

In order to ensure the integrity of the roster of neutrals, we require all applicants to submit to a verification of their background information.

Please download the (1) Background Verification Form **and** (2) the Social Security Number (SSN) Verification Form. Complete all pages of both forms, sign, scan, and upload them in step 4 below.

Make sure to complete all fields of the Background Verification Form and SSN Verification Form. Applications that do not contain completed verification forms will require additional action requested by Dispute Resolution. This will delay processing of the application.

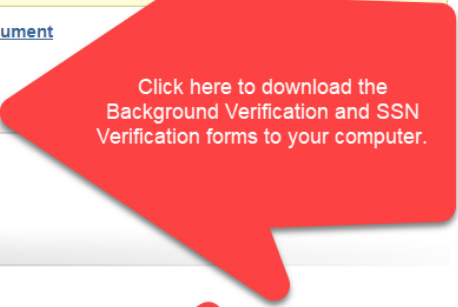
1  [Download Background Verification Form PDF Document](#)

2  [Download SSN Verification Form PDF Document](#)

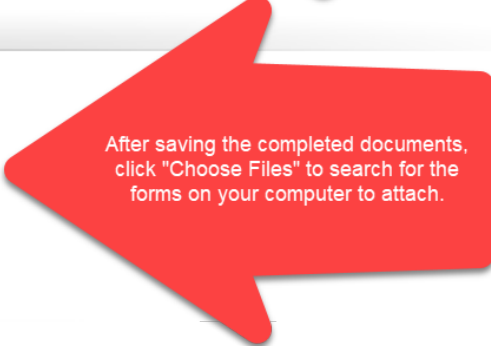
3 **Print, Complete, Sign, and Scan Both Forms**

4 **Attach Both Signed Documents**  
Attach signed "Background Verification" - Adobe PDF Only  
 No file chosen

Attach signed "SSN Verification" - Adobe PDF Only  
 No file chosen



Click here to download the Background Verification and SSN Verification forms to your computer.



After saving the completed documents, click "Choose Files" to search for the forms on your computer to attach.



## Review and Submit

When you have completed the application and are ready to submit it, please carefully review the affirmation and sign and date the application. You may sign the form by entering your name and initials, preceded and followed by the forward slash symbol (/) (e.g., /Jane Q. Public jqp/).

When you are ready to submit your application, select the “**Check for Errors.**” The system will let you know if you have not provided all required information. After you have entered all required information, click the “**Submit Application**” button.

## What Happens Next?

After you submit your application and all necessary forms, FINRA will start processing your application. FINRA will contact you if there are any questions regarding your submission. You should receive notice of your application status within **120 days**. FINRA conducts a preliminary review of your completed application before forwarding to a subcommittee of the National Arbitration and Mediation Committee (NAMC) for final approval. The NAMC is an oversight committee that recommends rules, regulations, procedures and amendments relating to arbitration, mediation and other dispute resolution matters to the FINRA Board. Pursuant to [Rule 12102](#) of FINRA’s Code of Arbitration Procedure, another function of the NAMC is to “establish and maintain rosters of neutrals composed of persons from within and outside of the securities industry.”

Once the NAMC approves your application, you will receive written notice of your approval, and you will be ready to start the [Basic Arbitrator Training Program](#):

1. Online basic arbitrator training course, which requires successful completion of an online test (25 multiple choice exam that requires 80% passing score).
2. Online expungement course, which requires completion of an online test (10 True/False exam that requires 80% passing score).
3. Live video or onsite classroom training that requires successful evaluation by the trainer.

## Additional Resources

For questions about the application, you can contact FINRA’s Department of Neutral Management at [ArbAppHelp@finra.org](mailto:ArbAppHelp@finra.org) or at (212) 858-3999 or toll free at (855) 209-1620.

For information about FINRA Dispute Resolution Services’ rules and procedures, you may review the following resources:

- [Code of Arbitration Procedure](#)
- [Arbitrator’s Guide](#)