

FINRA Mediation - Party Experience Survey

FINRA Dispute Resolution Services is dedicated to the integrity of the mediation process and satisfaction of forum participants. We strive to make the dispute resolution process understandable, efficient and fair. To ensure that we are meeting your needs, please respond to the following questions. **A comment box is provided under each question in the event that you wish to elaborate on your response.**

We will keep your responses confidential, unless you check yes to question 7 below. Your feedback is a valuable and necessary component in our efforts to serve you better. **Please fill out and return via email to Mediate@Finra.org or submit through the DR Portal.**

Case Number:

Case Name:

Mediation Session Location:

Submitted By: Claimant Claimant Attorney
 Respondent Respondent Attorney Other

Attorney / Representative Name:

Submitted Date:

Mediator:

1. Was your mediator accessible and responsive once appointed to your controversy?

Yes No

Comments:

2. Were there discussions with the mediator prior to the mediation?

Yes No

Comments:

3. How effective were those discussions?

Exceptional Good Satisfactory Unsatisfactory

Comments:

4. Did the case settle in mediation? Yes No

Comments:

5. Where you able to achieve satisfactory closure to your dispute? Yes No

Comments:

6. Your overall evaluation of the mediator's performance on this case is:

 Exceptional Good Satisfactory Unsatisfactory

Comments:

7. May we share your responses with the mediator? Yes No

Comments:

MEDIATION PROCESS

8. Please rate your overall experience about the mediation:

- | | | |
|---|-----|----|
| a. Would you use FINRA mediation again? | Yes | No |
| b. Would you recommend FINRA mediation to others? | Yes | No |
| c. The mediation process resulted in cost savings | Yes | No |
| d. The mediation process resulted in time savings | Yes | No |
| e. I was satisfied with the mediation process | Yes | No |
| f. Are there any features / services that you wish to see implemented in FINRA Mediation? | Yes | No |

Comments:

FINRA STAFF

9. The services provided by FINRA Office of Dispute Resolution staff was:

Exceptional

Good

Satisfactory

Unsatisfactory

Comments: