



FINRA DR Portal

User Guide for Arbitration and Mediation Case Participants

December 2014

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Welcome to the FINRA DR Portal

Introduction

FINRA Dispute Resolution developed this user guide to help arbitration and mediation case participants become familiar with the FINRA Dispute Resolution Portal (DR Portal). The DR Portal is a web-based system that allows invited participants to log into a secure section of our website for self-service access to submit documents and view their case information.

The DR Portal has two parts: one for FINRA neutrals (arbitrators and mediators) serving on the Dispute Resolution roster, and another part for arbitration and mediation case participants. This User Guide describes the DR Party Portal. A separate User Guide is available that explains the use of the DR Neutral Portal for arbitrators and mediators. If you happen to be both a FINRA neutral and a participant to a case, you can register the same User ID to access both sides of the DR Portal. Case participants may access the neutral side of the DR Portal by clicking on the link, “Go to Neutral Portal” found near the top of the homepage once you are logged in. Likewise, registered neutrals who are also case participants may access the party portal by clicking on the link “Go to Party Portal” from the homepage.

Portal Access

Invited participants can access the DR Portal from FINRA.org after completing the initial registration step. Participants can also create a “favorite” or “bookmark” in their browser for easy access to the DR Portal. We recommend that you create the bookmark **after** you successfully log into the portal. You should use the following URL as the bookmark for the DR Portal:

<https://drportal.finra.org>

Note: you can NOT use your FINRA Firm Gateway account to access the DR Portal. You must create a separate account using the self-registration procedures described below. You only need one account to access all cases to which you are invited; you do not need to create a new account for each case.

Compatible Browsers

The DR Portal is compatible with the following browser versions (or higher): Internet Explorer 8, Firefox 22, Google Chrome 27, and Safari 6.

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 blockers.

Mobile Devices (coming soon)

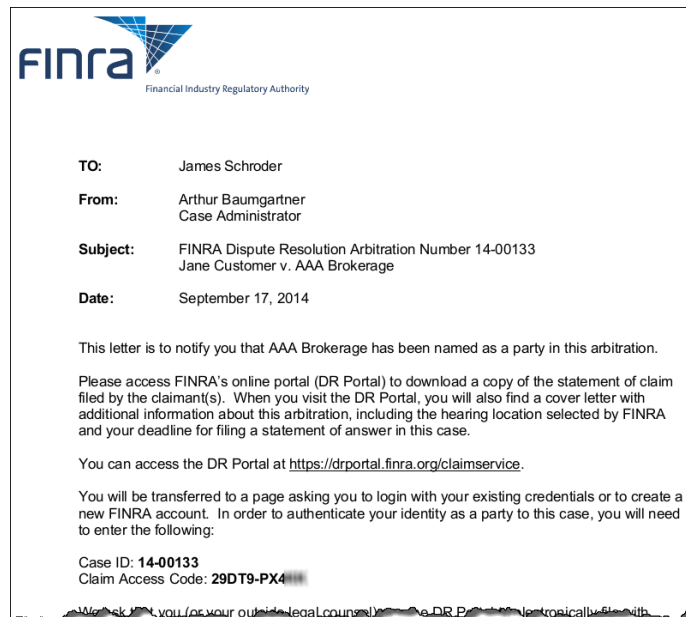
Participants can access the DR Portal on a mobile device—such as a smartphone or tablet (e.g., iPhone, iPad)—using the same URL as you would on your computer: <https://drportal.finra.org>. Although you can view your case information, you will **not** be able to submit documents using these devices. To submit documents, you will need to log into the portal using a desktop or laptop computer.

Accessing Case Information

There are two methods of accessing case information through the DR Portal.

1) Claim Notification Letter: The first way is by receiving a Claim Notification Letter in the mail or by email from FINRA.

This letter replaces the serving of paper documents by FINRA upon the respondent of a claim. It is sent to the named respondent parties on the case after the claim has been received by FINRA. This letter notifies the respondents that they have been named in a claim and that they may retrieve the claim documents through the DR Portal using a Claim Access Code and Web address contained in the letter. **This Web address and Claim Access Code are only used to retrieve the claim documents for that one case, and provides the ability to submit an answer and associated documents; they do not provide access to other cases or other functionality of the DR Portal.**



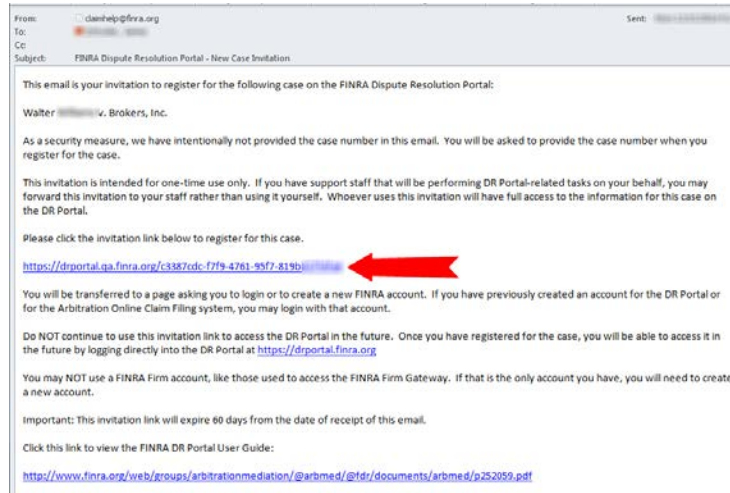
The Claim Access Code can be used more than once and by more than one person. For example, a respondent party can use the code to retrieve a claim, and then give it to outside counsel who may then also use the same code to retrieve the same claim using their own account.

Note: the Claim Access Code will be disabled

- Once the respondent files their answer with FINRA
- If the Claim Access Code is mis-typed three times when trying to retrieve the claim
- If the date that the answer is due to be filed with FINRA has passed and no extension has been filed with FINRA, or
- If an email invitation (see below) is accepted and the participant is registered.

2) Email Invitation from FINRA DR:

The second way is by receiving an email invitation from FINRA to register with the DR Portal for access to a particular case. This invitation email will be sent by FINRA to the party representatives on the case, and will contain a personalized Web address link that provides broader access to the case on the DR Portal. This email will typically be sent to the representative after FINRA receives initial documents related to the case and will be sent to the email address provided by the representative. Once you are registered for the case, you have the ability to invite others into the DR Portal on a case by case basis (see User Management).



IMPORTANT: the email invitation is personalized and can only be used by one recipient. It is intended for use by the party representative. The representative can instead give this invitation to a delegate, who will act on the representative's behalf for purposes of using the DR Portal. Whoever uses this invitation is considered the "Portal Contact" with regard to the Portal.

Using a Claim Notification Letter

If you receive a Claim Notification Letter:

1. In a web browser, enter the web address provided in the letter. You will be brought to the "**Welcome to Dispute Resolution**" login page and have the option to log into or create your FINRA account.

If you have already created an account, skip to step 8.

Note: you can not use a FINRA Firm Gateway account on the DR Portal. You must create a separate account. You only need one account to access all cases to which you are invited. You should NOT create a new account for each case you receive.

2. Click on "**Register New User**" to create a new account.

Welcome to Dispute Resolution

User ID
 [Forgot User ID or Password?](#) **Register New User**

Learn more about FINRA entitlements

This Privacy Statement relates to the online information collection and use practices of this FINRA Entitlement Program and embedded forms and applications (this "Web site"). This Privacy Statement complements the full FINRA Privacy Policy and may be updated from time to time. Updates to FINRA's privacy policies will be posted here and/or in the full FINRA Privacy Policy, as appropriate.

To enable you to be employed in certain positions or participate in certain matters or opportunities in the securities industry in the United States, FINRA collects certain personal data from you for identity verification and regulatory purposes. Personal information may include your name, address, phone number, fingerprints, employment history and any other information that identifies or can be used to identify the person to whom such information pertains. FINRA may use your personal information submitted via this Web site for any regulatory purpose.

This Web site is operated in the United States. If you are located outside of the United States, please be aware that any information you provide to us will be transferred to the U.S. and subject to U.S. laws. By using our Web site, participating in any of our services and/or providing us with your information, you consent to this transfer of data. Additionally, by using our Web site, participating in any of our services and/or providing us with your information you also consent to the collection, transfer, manipulation, storage, disclosure and other uses of your information as described in this Privacy Statement and the FINRA Privacy Policy. If you do not consent to this Privacy Statement or our FINRA Privacy Policy, please do not use this Web site.

By clicking the button below, I certify that I have read and understand all of the terms of the FINRA Entitlement Program Agreement and Terms of Use and intend to form a binding agreement with FINRA on those terms without modification or amendment thereto. If I am accepting this agreement on behalf of an organization, I certify that I have the authority of that organization to enter into this agreement.

Note: it is important to use the Web address contained in the Claim Notification Letter when creating an account to retrieve a claim in order for the process to proceed properly.

3. Enter the registration information. You can make up your own User ID (letters and numbers only; an email address cannot be used as your User ID). The email address that you provide in the “Primary Email” field in this initial registration form should be the email address that you provide with any case-related submissions to FINRA. If you need to update your email address, you will need to make this change by updating your account information using the “manage my account” quick link menu option on the Homepage of the DR Portal. Note that this change cannot be made by FINRA staff.

Register as a FINRA User

Please complete the following information, and then select “Submit” to register.

Note: (*) indicates required fields.

User Profile

Prefix
(none) ▾

First Name (*)

Middle Name

Last Name (*)

Suffix
(none) ▾

Title
(unknown) ▾

Choose Your User ID (*) Generate a new User ID from First and Last Name

Primary Email (*)


Secondary Email

Primary Phone

Secondary Phone

FAX

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



4. 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.**

FINRA

Registration Confirmation Printer Friend

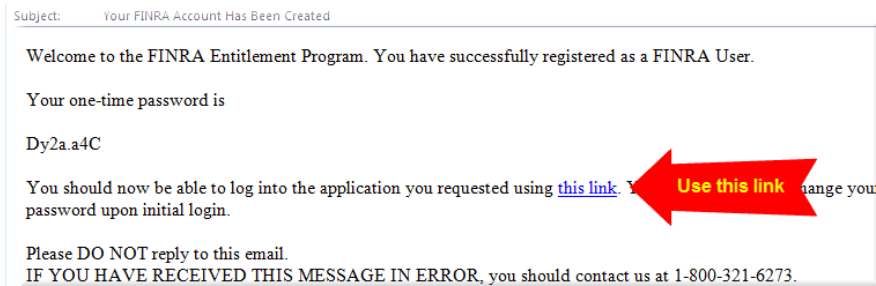
You have successfully registered as a FINRA user.

Your User ID is **jsmith30** **Write Down Your User ID**

For Security reasons, your password has been sent in a separate email. Note that the password you receive is a one-time password - you will be forced to change it to a password of your choosing upon first login.

Please remember this User ID. You will use it to access the application.

5. You will receive an email with a temporary password. Click on the words “**this link**” in the email to change your password.



6. On the **“Welcome to Dispute Resolution”** page, enter your user ID and temporary password and click **“I agree.”**
7. You will be prompted to change your password. Once you change your password, click **“Continue.”**
8. Log into the DR Portal by entering your **User ID** and new **password**. If you have not yet selected some security questions and answers to be used if you ever are locked out of your account, you will be prompted to do so. From time to time, the system may ask you one of these questions and ask you to provide the correct answer.
9. Enter the FINRA Arbitration Number (Case ID) and the Claim Access Code from the letter or email you received regarding this new case. If you are a person associated with a FINRA member and you are registered with FINRA, you must also provide your date of birth.

Welcome to the FINRA Dispute Resolution Portal

Access to the portal requires entry of the Case ID (including hyphen and leading zeros) and the Claim Access Code provided to you in the claim notification letter. All fields are required.

If the Named Respondent on the case is an Associated Person (see Rule 12100(a)/13100(a)), then the Date of Birth of the Associated Person is required below.

For cases with multiple parties, if you have received more than one Claim Notification Letter, please enter only one Claim Access Code.

Case ID: *

Claim Access Code: *

Associated Person Date of Birth: (Required only for Associated Person)

* I hereby attest that I am a named party or that I represent a named party in the above-referenced case and will access the DR Portal in good faith for purposes of obtaining arbitration information and to file an online answer and other documents. I declare that the above entered case number and Claim Access Code are accurate to the best of my knowledge.

If you have any questions, please contact the staff member assigned to your case provided on the claim notification letter.

10. If you enter the correct information, you will be taken to the DR Portal and provided a limited view of this case. At this point, you are considered a **“Preliminary User”** for this case (in DR Portal parlance).

With this limited view, you can:

- retrieve the claim documents that were filed by the claimant;

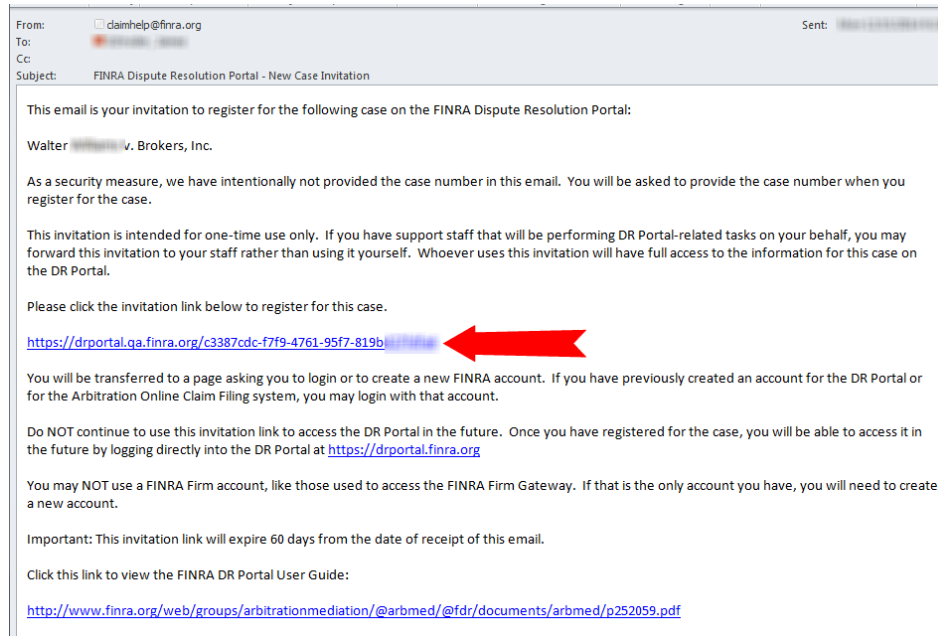
- file an answer, including answers that contain cross, counter, or third party claims;
- file amendments to your submitted answer.

The screenshot shows the FINRA Dispute Resolution Portal interface. At the top, there is a navigation bar with the FINRA logo and links for 'Go to Neutral Portal', 'FINRA.org', 'Help', and 'Sign Out'. A user greeting 'Welcome Adam William' is visible. Below the navigation bar, the case title '14-00180 Jack Customer v. BBB Brokerage' is displayed. The main content area is titled 'Arbitration Case Abstract' and includes two buttons: 'File Answer' and 'Submit Documents'. The abstract is divided into three columns: 'Case Status', 'Milestones', and 'Assigned Staff'. The 'Case Status' column shows 'Open', 'Filed On Date: 12/11/2014', 'Office: New York', and 'Hearing Location: New York, NY'. The 'Milestones' column shows 'Case Received: 12/11/2014' and 'Claim Served on Respondents: 12/12/2014'. The 'Assigned Staff' column lists 'Arthur Baumgartner' and provides contact information for the FINRA Dispute Resolution center. Below the abstract, there are tabs for 'Documents' and 'Drafts & Submissions'. The 'Documents' tab is active, showing a table with columns for 'Subject', 'Portal Posted Date', 'Documents (File Date)', and 'Recipients'. A single document entry is shown: 'Claim Service Packet' posted on '12/12/2014' with 'Multiple' documents filed for 'BBB Brokerage, Inc.'.

TIP: Once you have registered for a case in the DR Portal using an email invitation (see next section about registering for a case), you can retrieve subsequent claims directly from within the DR Portal by logging into <https://drportal.finra.org> and using the “Receive a Case” quick link menu option. See “DR Portal Functionality – Overview” later in this User Guide.

Using an Email Invitation from FINRA

FINRA will send an invitation to the named party representative with the subject line, “**FINRA Dispute Resolution Portal - New Case Invitation.**” It will contain a personalized link to register for a case:



IMPORTANT: the email invitation is personalized and can only be used by one recipient. It is intended for use by the party representative. The representative can instead give this invitation to a delegate, who will act on the representative’s behalf for purposes of using the DR Portal. Whoever uses this invitation is considered the “Portal Contact” with regard to the Portal, but this does NOT change the party representative.


1. Click on the link in the email underneath where it says, “Please click the invitation link below to register for this case.” You will be brought to the “**Welcome to Dispute Resolution**” log-in page and have the option to log into or create your FINRA account. **If you have already created an account, skip to step 3.**

Note: you can not use a FINRA Firm Gateway account on the DR Portal. You must create a separate account. You only need one account to access all cases to which you are invited. You should NOT create a new account for each case you receive.

2. Click on “**Register New User**” to create a new account. Follow the account creation steps 3 through 8 provided under “**Using a Claim Notification Letter**” on Page 4 of this User Guide, then continue below.

Welcome to Dispute Resolution

User ID

[Forgot User ID or Password?](#) [Register New User](#) 

Learn more about FINRA entitlements

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To enable you to be employed in certain positions or participate in certain matters or opportunities in the securities industry in the United States, FINRA collects certain personal data from you for identity verification and regulatory purposes. Personal information may include your name, address, phone number, fingerprints, employment history and any other information that identifies or can be used to identify the person to whom such information pertains. FINRA may use your personal information submitted via this Web site for any regulatory purpose.

This Web site is operated in the United States. If you are located outside of the United States, please be aware that any information you provide to us will be transferred to the U.S. and subject to U.S. laws. By using our Web site, participating in any of our services and/or providing us with your information, you consent to this transfer of data. Additionally, by using our Web site, participating in any of our services and/or providing us with your information you also consent to the collection, transfer, manipulation, storage, disclosure and other uses of your information as described in this Privacy Statement and the FINRA Privacy Policy. If you do not consent to this Privacy Statement or our FINRA Privacy Policy, please do not use this Web site.

By clicking the button below, I certify that I have read and understand all of the terms of the [FINRA Entitlement Program Agreement and Terms of Use](#) and intend to form a binding agreement with FINRA on those terms without modification or amendment thereto. If I am accepting this agreement on behalf of an organization, I certify that I have the authority of that organization to enter into this agreement.

- You will be asked for the case ID as a challenge question to verify your identity. Note that the case ID is intentionally not included in the invitation email as a security measure.

Welcome to the FINRA Dispute Resolution Portal

To access your case information, please verify that you are authorized to view this case by supplying the Case ID for the case provided in the invitation email. Please include the hyphen and leading zeros when entering the Case ID.

Case ID: *

* I hereby attest that I am a named party or that I represent a named party in the above-referenced case and will access the DR Portal in good faith for purposes of obtaining case information or to file case documents. I declare that the answers to the above questions are accurate to the best of my knowledge.

Please note that case documents may be visible to other counsel or parties on the case through the DR Portal. Parties and their counsel should take steps to protect their confidential information. Parties can safeguard personal confidential information by redacting such information from pleadings, exhibits, and other documents upon agreement of the parties.

If you have any questions, please contact your FINRA Dispute Resolution regional office:

Northeast Region: (212) 858-4200 or NEProcessingCenter@finra.org

Western Region: (213) 613-2680 or WPC@finra.org

Southeast Region: (561) 416-0277 or FL-Main@finra.org

Midwest Region: (312) 899-4440 or MidwestProcessingCen@finra.org

- If you answer the challenge question correctly, you will be taken to the DR Portal and be able to view all of the details for the case.

NOTE: Once you are registered for the case as the Portal Contact, you have the ability to invite others into the DR Portal on a case by case basis to assist you (see User Management section).

DR Portal Functionality

Overview

On the FINRA DR Portal Homepage, you will see a menu of options across the top heading bar: Home, Arbitration Cases, Mediation Cases, and Messages. There is also list of links on the left-hand side of the home page to **Receive a Case** (retrieve a filed claim using a PIN code that was given to you on a Claim Notification Letter), **Change my Password**, and **Manage my Account**. There is also a link to the **Arbitration Awards Online** website, as well as the Forms and Tools page where you can find various forms used in the forum.

Receive a Case – Once you have registered for a case in the DR Portal using an email invitation, you can retrieve subsequent claims directly from within the DR Portal by logging into <https://drportal.finra.org> and using the “Receive a Case” link. You can use this option rather than going to the “claim service” URL mentioned in the Claim Notification Letter.

Go to Neutral Portal | FINRA.org | Help | Sign Out
Welcome Adam William

Dispute Resolution Portal

Home Arbitration Cases Mediation Cases Messages (7 Unread)

I want to...

- Receive a Case
- Change My Password
- Manage My Account

Resources

- Arbitration Awards Online
- Forms and Tools

10/28/2014 - The DR Portal will be unavailable until 1:00pm ET for system maintenance. x

My Case Deficiencies

ID	Case Name	Party Name	Description	Date
13-03048	Walter Williams v. Brokers, Inc.	Walter Williams IRA	Please provide the custodian's signature.	10/22/2014

Upcoming Arbitration Hearings

No upcoming arbitration hearings.

Upcoming Mediation Sessions

No upcoming mediation sessions.

Home

The FINRA DR Portal allows participants to view information about their cases. The Home page displays any outstanding deficiencies (issues to be resolved on a case) for the participant’s cases, as well as any arbitration hearings or mediation sessions scheduled within the next seven days. It also displays announcements (in the orange banners near the top of the page) regarding the DR Portal or relevant FINRA DR activity.

Arbitration Cases

This menu takes you to a page that lists all of the arbitration cases associated with the participant. Clicking on any of the green plus-signs will expand the view to show more detail. Clicking on it again will hide the details.


Go to Neutral Portal | [FINRA.org](#) | [Help](#) | [Sign Out](#)

Welcome Adam William

Dispute Resolution Portal

Home
Arbitration Cases
Mediation Cases
Messages (7 Unread)

My Arbitration Cases

Open/Inactive Cases (5)
[View Open/Inactive Cases](#)
[View Closed Cases](#)
[View All Cases](#)

ID	Case Name	Status	Filed On Date	Hearing Location	DR Staff
14-00180	Jack Customer v. BBB Brokerage	Open	12/11/2014	New York, NY	+ A. Baumgartner
14-00131	Pamela Skinner vs ABC Inc.	Open	09/02/2014	New York, NY	+ P. Skinner
13-03055	Cal Customer v. Brokerage Corp.	Open	10/21/2013	New York, NY	+ A. Baumgartner
13-03048	Walter Williams v. Brokers, Inc.	Open	10/21/2013	New York, NY	+ A. Baumgartner
13-02918	John Customer v. ZCorp Inc.	Open	10/09/2013	New York, NY	+ A. Baumgartner

Mediation Cases

This menu takes you to a page that lists all of the mediation cases associated with the participant.


Go to Neutral Portal | [FINRA.org](#) | [Help](#) | [Sign Out](#)

Welcome Adam William

Dispute Resolution Portal

Home
Arbitration Cases
Mediation Cases
Messages (7 Unread)

My Mediation Cases

Open Cases (2)
[View Open Cases](#)
[View Closed Cases](#)
[View All Cases](#)

ID	Case Name	Status	In Agreement Date	Hearing Location	DR Staff
13-02918	John Customer v. ZCorp Inc.	Open	12/23/2013	New York, NY	+ E. Sihaga
13-03048	Walter Williams v. Brokers, Inc.	Open	12/04/2013	New York, NY	+ E. Sihaga

For both Arbitration Cases and Mediation Cases, the page defaults to show only open cases. You can click on “View Closed Cases” or “View All Cases” to change what is displayed in the list. You can also click on the column headings to change the sort order of the list.

By clicking on a listed case name, you can see the Case Abstract along with a row of tabs providing additional information about the case.

Messages

This menu option takes you to a page showing all of the messages that have been sent to the participant regarding activity on their cases being handled through the DR Portal. The participant also receives these messages as email alerts. The number in orange indicates the number of unread messages. The view defaults to showing all received messages that you have not already archived. Unread messages are displayed in bold type. You can limit the view to just your unread messages by clicking on “View Unread Messages.”

To archive messages, click on the checkbox to the left of the message to select them (or click on “Select All” to select all messages), and then click on the **Archive Selected Messages** button. To view your archived messages, click on the **Go to Archived Messages** button.

In addition, any announcements that you deleted from the Home page (by clicking on the **X** next to the announcement) can be found on the Archived Messages page.

Dispute Resolution Portal
Home
Arbitration Cases
Mediation Cases
Messages (6 Unread)

My Current Messages Go to Archived Messages

All Messages View Unread Messages View All Messages

Select All	Date	Subject	Case Name	ID	Type
<input type="checkbox"/>	12/12/2014	FINRA has posted a new document for Arbitration Case ID 13-03055 on the DR Portal	Cal Customer v. Brokerage Corp.	13-03055	Arbitration
<input type="checkbox"/>	12/12/2014	FINRA DR requests your schedule availability for an Arbitration Hearing for Case ID 13-03055	Cal Customer v. Brokerage Corp.	13-03055	Arbitration
<input type="checkbox"/>	12/04/2014	FINRA has posted a new document for Mediation Case ID 13-03048 on the DR Portal	Walter Williams v. Brokers, Inc.	13-03048	Mediation
<input type="checkbox"/>	11/21/2014	FINRA has posted a new document for Arbitration Case ID 13-02918 on the DR Portal	John Customer v. ZCorp Inc.	13-02918	Arbitration
<input type="checkbox"/>	11/21/2014	FINRA has posted a new document for Arbitration Case ID 13-02918 on the DR Portal	John Customer v. ZCorp Inc.	13-02918	Arbitration
<input type="checkbox"/>	11/05/2014	FINRA DR requests your schedule availability for an Arbitration Hearing for Case ID 13-03055	Cal Customer v. Brokerage Corp.	13-03055	Arbitration
<input type="checkbox"/>	09/03/2014	FINRA DR requests your schedule availability for an Arbitration Hearing for Case ID 13-03055	Cal Customer v. Brokerage Corp.	13-03055	Arbitration

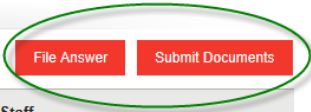
Archive Selected Messages

Filing an Answer

When you click on a case name from the Arbitration Cases page, the Case Abstract is displayed for the case. Above the Case Abstract are two buttons: **File Answer** and **Submit Documents**.

13-03055 Cal Customer v. Brokerage Corp.

Arbitration Case Abstract



Case Status: Open Filed On Date: 10/21/2013 Office: New York Hearing Location: New York, NY	Milestones Claim Served on Respondents: 10/21/2013 Case Received: 10/21/2013 Panel Selection Started: 02/11/2014	Assigned Staff Arthur Baumgartner FINRA Dispute Resolution One Liberty Plaza 165 Broadway, 27th Floor New York, New York 10006 Phone: 212-858-XXXX Fax: 301-527-XXXX E-mail: NEProcessingCenter@finra.org
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- Messages (3)
- Details
- Pleadings
- Deficiencies
- List Selection
- Hearings
- Scheduling
- Documents
- Drafts & Submissions
- User Management

Once you have retrieved the claim documents, you can file an answer by clicking on the **File Answer** button. This will open the Online Answer Form in a separate browser tab (although some browsers may behave differently.)

To submit an answer:

1. Enter all of the required information on the Answer Form.

FINRA Dispute Resolution Online Answer Form

By using the DR Portal, you are choosing to file electronically with FINRA Dispute Resolution your Statement of Answer and Submission Agreement. You may also file electronically any associated counterclaims, cross-claims, and third-party claims. In addition, you may pay filing fees online by credit card or ACH. FINRA rules require you to serve a copy of the Statement of Answer and Submission Agreement on all other parties to this case (pro se parties and counsel record) by first class mail, overnight mail or delivery service, hand delivery, facsimile, or electronic mail.

All questions marked as * are mandatory.

Case ID 13-03055

Case Name Cal Customer v. Brokerage Corp.

Name of Person Completing Form
Adam William Arbitrator

Please note that the following email address will be used for all DR Portal emails
james.schroeder@finra.org

Your Role on the Case *

Party

Party Representative

Submission Type *

Statement of Answer

Statement of Answer that includes Cross, Counter, or Third-Party Claims

2. Attach your documents. Attachments can be added by clicking on the **Add Document** button. (Note that attachments must be Adobe PDF formatted files.)

Attachments		
Attachment Type ^	Attach File	Description
<input type="button" value="Add Document"/>		<input type="text" value="0 Row(s)"/>
Click on "Add Document" to submit a document to FINRA DR. Only documents formatted in Adobe PDF are acceptable. Note: Please combine related documents into a single text-searchable PDF attachment and select the appropriate Attachment Type.		

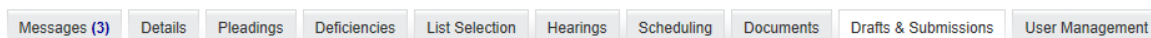
Click a row to edit it.

3. Select the attachment type for each attachment.
4. Find the file on your computer using the “Browse...” button.
5. Enter a description for the attachment, if desired.
6. Click on the **Add Document** button.

Note: Please combine related documents into a single text-searchable PDF attachment and select the appropriate Attachment Type. Unrelated documents should be submitted as separate documents by selecting the appropriate attachment type for each.

7. If you selected “Statement of Answer that includes Cross, Counter, or Third Party Claim”, enter the appropriate filing fee amount in the Fee Summary area so that you can submit payment along with your answer. Be sure to select the name of the party that should receive credit for the payment.
8. Check the boxes to indicate that you have served the documents upon the other parties to the case (if applicable), and that you have complied with FINRA policy regarding protecting personal confidential information.
9. Click **Submit**. A Filing ID number (also known as a Tracking Number) will be assigned to your submission so that you can refer to it later.
10. You can pay the filing fee online by credit card or ACH bank transfer from your checking account (also known as an “electronic check”), or by mailing a check to FINRA. If you are experiencing financial hardships and are not a FINRA member, then you may instead request a waiver of the filing fee. You must select one of these options in order to submit your claim. If you are paying the fees online, you will be taken to the online payment system to make your payment.
11. Once you complete the payment process, you can view the completed answer form. You can then close this browser tab and go back to the DR Portal in the other tab that is still open.

When you click on the File Answer button, a draft of the form will be saved in your Drafts & Submissions tab of the case so that you can return to it later. While you are working on the form you can also click on the **Save** button to save a draft of your form and return to it later. You can delete a draft form by clicking on “Delete”. Submitted forms will also appear in the Drafts & Submissions tab, with a status of Submitted.



Drafts & Submissions

If using the Safari browser, turn off the Safari pop-up blocker to view the content and the attachments to these forms.

FORM TYPE	TRACKING NUMBER	FORM STATUS	FORM STATUS DATE	PAYMENT STATUS	
Answer	1292053	Draft	10:48 AM 12/15/2014	N/A	Delete

Submitting Documents

If you need to submit a document to FINRA after you have already submitted your answer, click on the **Submit Documents** button. This will open the Submit Documents form in a separate browser tab. To submit documents:

1. Attach your documents. Attachments can be added by clicking on the **Add Document** button. (Note that attachments must be Adobe PDF formatted files.)

FINRA Dispute Resolution Submit Documents Form

Use this form to electronically file case-related documents with FINRA Dispute Resolution. FINRA rules require you to serve a copy of these documents on all other parties to this case (pro se parties and counsel of record) by first class mail, overnight mail or delivery service, hand delivery, facsimile, or electronic mail. If you are filing an amendment to your claim or answer filing, you may also pay the corresponding filing fee online as part of this submission.

All questions marked as * are mandatory.

Case ID 13-03055
Case Name Cal Customer v. Brokerage Corp.
Name of Person Completing Form Adam William Arbitrator

Document For	Attachment Type

Add Document

Click on "Add Document" to submit a document to FINRA Dispute Resolution. Note: Please combine related documents into a single text-searchable PDF attachment.

Click a row to edit it.

By checking this box, I affirm that I have served the documents upon the other parties to the case (if applicable), and that you have complied with FINRA policy regarding protecting personal confidential information.

By checking this box, I affirm that I have complied with FINRA policy regarding protecting personal confidential information in documents.

Attachments

Document For * Arbitration

Attachment Type *

- Amended Claim
- Submission Agreement
- Notice of Appearance / Change of Counsel
- Bankruptcy Notice
- Stipulated Extension of Deadline
- Stipulated Postponement of Hearing
- Court Order
- Notice of Dismissal/Settlement
- Request for Subpoena/Order of Appearance
- Opposition to Subpoena/Order of Appearance
- Reply to Opposition to Subpoena/Order of Appearance
- Motion
- Opposition to Motion
- Reply to Opposition to Motion

Save Print Preview Submit

2. Select the attachment type for each attachment.
3. Find the file on your computer using the "Browse..." button.
4. Enter a description for the attachment, if desired.
5. Click on the **Add Document** button.

Note: Please combine related documents into a single text-searchable PDF attachment and select the appropriate Attachment Type. Unrelated documents should be submitted as separate documents by selecting the appropriate attachment type for each.

6. If you selected "Amendment to Statement of Claim" or "Amendment to Statement of Answer", there may be additional fees due. Enter the appropriate amount in the Fee Summary area so that you can submit payment along with your amendment. Be sure to select the name of the party that should receive credit for the payment.
7. Check the boxes to indicate that you have served the documents upon the other parties to the case (if applicable), and that you have complied with FINRA policy regarding protecting personal confidential information.
8. Click **Submit**. A Filing ID number (also known as a Tracking number) will be assigned to your submission so that you can refer to it later.

When you click on the Submit Documents button, a draft of the form will be saved in your Drafts & Submissions tab of the case so that you can return to it later. While you are working on the form you can also click on the **Save** button to save a draft of your form and return to it later. You can delete a draft form by clicking on “Delete”. Submitted forms will also appear in the Drafts & Submissions tab, with a status of Submitted.

Drafts & Submissions

If using the Safari browser, turn off the Safari pop-up blocker to view the content and the attachments to these forms.



FORM TYPE	TRACKING NUMBER	FORM STATUS	FORM STATUS DATE	PAYMENT STATUS	
Attachment	1292059	Draft	11:52 AM 12/15/2014	N/A	Delete

Messages

The **Messages** tab shows the messages you have received from FINRA regarding this case. The number in blue indicates the number of unread messages. The view defaults to showing all received messages for this case that you have not already archived. Unread messages are displayed in bold type. You can limit the view to just your unread messages by clicking on “View Unread Messages.”

To archive messages, click on the checkbox to the left of the message to select them (or click on “Select All” to select all messages), and then click on the **Archive Selected Messages** button.

Messages (3)
Details
Pleadings
Deficiencies
List Selection
Hearings
Scheduling
Documents
Drafts & Submissions
User Management

My Current Messages

All Messages View Unread Messages View All Messages Go to Archived Messages

Select All	Date	Subject
<input type="checkbox"/>	12/12/2014	FINRA has posted a new document for Arbitration Case ID 13-03055 on the DR Portal
<input type="checkbox"/>	12/12/2014	FINRA DR requests your schedule availability for an Arbitration Hearing for Case ID 13-03055
<input type="checkbox"/>	11/05/2014	FINRA DR requests your schedule availability for an Arbitration Hearing for Case ID 13-03055
<input type="checkbox"/>	09/03/2014	FINRA DR requests your schedule availability for an Arbitration Hearing for Case ID 13-03055

Archive Selected Messages

To view you archived messages, click on the **Go to Archived Messages** button. You can return archived messages back to your current message page by selecting the archived messages and clicking on **Unarchive Selected Messages** button.

Details

The **Details** tab shows the names of the parties and their representatives, and the assigned FINRA staff member. By clicking on the representatives' names, you can see their contact information. You can also view the names of the neutrals assigned to the case.

- Messages
- Details
- Pleadings
- Deficiencies
- List Selection
- Hearings
- Scheduling
- Documents
- Drafts & Submissions
- User Management

Arbitrators

Arbitrators have not been assigned to this case.

Arbitration Parties

Claimants

Party	CRD #	Agreement Date	Type	Class	Status	Represented By
Walter Williams		10/18/2013	Individual	Customer		Mr. James Schroder ABC Law 999 Fulton Street New York, New York 10006 Phone: 212-858-4321 Mobile: Fax: E-mail: james.schroder@finra.org



Pleadings

The **Pleadings** tab shows a summary of the pleadings that have been entered for this case. Note that the actual pleadings filed with FINRA may contain more information than is displayed here.

- Messages
- Details
- Pleadings
- Deficiencies
- List Selection
- Hearings
- Scheduling
- Documents
- Drafts & Submissions
- User Management

Pleadings

Pleading	Filed On Date	Type	Requested
Initial Claim	10/21/2013	Monetary	\$109,000.00

Deficiencies

The **Deficiencies** tab shows a list of open issues to be rectified by the listed party for this case.

- Messages
- Details
- Pleadings
- Deficiencies
- List Selection
- Hearings
- Scheduling
- Documents
- Drafts & Submissions
- User Management

Deficiencies

Party Name	Description	Date
Walter Williams IRA	Please provide the custodian's signature.	10/22/2014

List Selection

The **List Selection** tab allows party representatives to strike and rank arbitrators on the provided arbitrator list. This ranking page replaces the use of the paper ranking form.

Rest assured that opposing counsel CAN NOT see the rankings you submit through the DR Portal. Your submission is only viewable by FINRA staff.

For each section of the list, strike the arbitrators that you do not wish to be on the panel, and rank the remaining arbitrators, starting at 1 for your highest ranked arbitrator in that section.

Note: You cannot save partially completed rankings and return to them later. You must complete your entries in one session. You can use the paper ranking form as a worksheet for personal use until you are ready to submit your final rankings. Do not submit this paper ranking form if you are submitting rankings through the DR Portal.

Messages Details Pleadings Deficiencies List Selection Hearings Scheduling Documents Drafts & Submissions User Management

List Selection for List ID: 87419
 Please enter ranks and strikes on this page. You can find the disclosure reports for the arbitrators on this list under the Documents tab called Arbitrator List.

Note: Your submitted ranks and strikes will not be seen by opposing parties.

Public Chairpersons

Maximum of 4 strikes permitted.

Party Rank	Strike	Arbitrator ID	Arbitrator Name	Classification
<input type="checkbox"/>	<input type="checkbox"/>	A 1000	David Thomas	Public
<input type="checkbox"/>	<input type="checkbox"/>	A 1000	David Thomas	Public
<input type="checkbox"/>	<input type="checkbox"/>	A 1000	David Thomas	Public
<input type="checkbox"/>	<input type="checkbox"/>	A 1000	David Thomas	Public
<input type="checkbox"/>	<input type="checkbox"/>	A 1000	David Thomas	Public
<input type="checkbox"/>	<input type="checkbox"/>	A 1000	David Thomas	Public
<input type="checkbox"/>	<input type="checkbox"/>	A 1000	David Thomas	Public
<input type="checkbox"/>	<input type="checkbox"/>	A 1000	David Thomas	Public
<input type="checkbox"/>	<input type="checkbox"/>	A 1000	David Thomas	Public
<input type="checkbox"/>	<input type="checkbox"/>	A 1000	David Thomas	Public

click on these boxes to strike an arbitrator

enter your rankings starting from 1 for each unstruck arbitrator

The disclosure reports for all of the arbitrators listed in the List Selection tab can be found in the Documents tab with the subject heading of “Arbitrator List.”

Messages Details Pleadings Deficiencies List Selection Hearings Scheduling Documents Drafts & Submissions User Management

Documents

Subject	Portal Posted Date	Documents (File Date)	Recipients
Submitted Documents by Party	12/09/2014	Service Letter for A1 Brokerage.pdf (12/9/2014)	+ Multiple
FINRA Correspondence	05/14/2014	Additional Correspondence.pdf (5/14/2014)	+ Multiple
FINRA Time Sensitive Correspondence	05/07/2014	Claim Notification Letter 13-03048.pdf (10/21/2013)	+ Multiple
Arbitrator List	12/19/2013	- Multiple Arbitrator Ranking Form Cover Letter for Submitter.pdf (10/21/2013) Arb Ranking List ID 87419.pdf (10/21/2013)	Walter Williams

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The first page of the disclosure report is the ranking form. Do NOT submit this paper ranking form, since you will instead be ranking the arbitrators online in the List Selection tab. You should, however, confirm that the Case DI and List ID provided on the ranking form is the same as the List ID noted in the List Selection tab. The subsequent pages provide the arbitrators' disclosure reports.

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FINRA Dispute Resolution

ARBITRATOR RANKING FORM

DR PORTAL USERS: You must enter your rankings into the FINRA DR Portal by the specified deadline. (Only submit this physical Ranking Form in situations where ranking cannot be completed through the DR Portal.)

NON-DR PORTAL USERS: Please complete this form and ensure it is RECEIVED in the appropriate FINRA office by the specified deadline.

Case ID: 13-03048

Case Name: Walter Williams v. *[Redacted]*

List ID: 87419

Public Chairpersons

Arbitrator ID

Arbitrator Name

Party Ranking/Struck

Once you have entered all of your ranks and strikes, you can enter a comment for your own personal use (you should not expect these comments to be read by FINRA staff) at the bottom of the page and then click on **Submit Ranking Sheet**. Only one ranking sheet can be submitted by a representative. If a ranking sheet was submitted in error, you should contact your FINRA case administrator assigned to the case and have them delete it so that you can re-submit.

Note: Shortly after your ranking sheet is submitted, you should receive a confirmation email. In addition, a copy of your submitted rankings can be found in the Documents tab (called "Submitted Arbitrator Ranking Sheet") so that you can verify your submission. If you do not find it, contact the Dispute Resolution staff member assigned to your case, or send an email to claimhelp@finra.org to verify that FINRA has received your rankings.

Note that the process is the same for mediator lists and ranking.

Hearings

The **Hearings** tab shows all of the hearings that are scheduled or have already been held for the case. You can also view the address and phone number for a hearing location. The Hearings page also provides information about which arbitrators and FINRA staff attended a particular hearing.

Messages (3) Details Pleadings Deficiencies List Selection **Hearings** Scheduling Documents Drafts & Submissions User Management

Arbitration Hearings

Date	Time	Type	Location	Sessions	Status	Attendee(s)
09/24/2014	12:00 PM	Regular Hearing	+ Regus...	2	Open	FINRA: Pamela Skinner
09/23/2014	01:00 PM	Regular Hearing	+ Regus...	1	Open	FINRA: Pamela Skinner
09/22/2014	02:00 PM	Regular Hearing	+ Regus...	1	Open	FINRA: Pamela Skinner
07/17/2014	01:00 PM EST	Regular Hearing	+ NASDR- Office of Dispute Resolution...	1	Closed-Complete	+ FINRA: No Attendee
04/18/2014	01:00 PM EST	Regular Hearing	+ NASDR- Office of Dispute Resolution...	1	Closed-Complete	+ FINRA: No Attendee

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Scheduling

The **Scheduling** tab provides a collaborative tool that allows the party representatives and neutrals to find mutually agreeable dates for scheduling (or rescheduling) arbitration hearings or mediation sessions.

When a hearing or session needs to be scheduled or rescheduled, FINRA staff will propose a range of dates by creating a “Scheduling Poll.” When DR staff publishes a poll on the DR Portal, each of the required attendees will receive an email notification telling them to come to the DR Portal to complete the poll by providing their availability.

Click on the Poll ID to open the poll.

Messages (3) Details Pleadings Deficiencies List Selection Hearings **Scheduling** Documents Drafts & Submissions User Management

Arbitration Hearing Scheduling Polls

Please click on the Poll ID to update your schedule for the associated hearing poll.

Poll ID	Hearing Type	Telephonic / In Person	From Date	To Date	Due Date	Time Zone	Number of Days to Schedule	Poll Recipients
10138	Regular Hearing	In Person	1/1/2015	1/30/2015	12/31/2014	Eastern Time Zone	1	Parties+Full Panel

For each date, enter your availability. You can also enter a comment in the box by clicking on the green plus sign. Once you are finished, click on **Save** at the bottom of the poll. Your entries and comments will be immediately viewable by every other attendee on the case, as well as by DR staff.

Messages (3) Details Pleadings Deficiencies List Selection Hearings **Scheduling** Documents Drafts & Submissions User Management

Arbitration Hearing Scheduling Polls
Poll ID: 10138
Please provide your availability no later than **12/31/2014** in the scheduling poll below.
Schedule a second regular hearing in January 2015.

Enter specific details for a given date in the corresponding text box. For example, if you are available in the afternoon starting at 1:00pm, select "Available PM" and then enter "starting at 1:00pm" in the text box.

Date (Eastern Time Zone)	Claimant (Claimant) As of: 12/12/2014 2:43:21 PM ET	Respondent (Respondent) As of: 12/12/2014 11:32:30 AM ET
1/2/2015	Not Available +	NA
1/5/2015	Available All Day +	AM until 1:00pm
1/6/2015	Available AM up until 2:00pm	All Day
1/7/2015	 +	NA
1/8/2015	 +	PM starting at 11:00am
1/9/2015	 +	All Day

You can come back to the poll to make changes and update your comments in order to try and reach consensus on acceptable dates, all without having to speak in person. Click on **Save** after you make changes so that other attendees can see your latest updates.

Note that the process is the same for mediation Scheduling Polls.

Documents

The **Documents** tab shows a list of documents contained in the case file that have been made available for viewing through the portal. This would include documents you submitted to FINRA as well as documents published by FINRA staff to the portal.

Messages (3)	Details	Pleadings	Deficiencies	List Selection	Hearings	Scheduling	Documents	Drafts & Submissions	User Management
Documents									
Subject	Portal Posted Date	Documents (File Date)						Recipients	
Arbitrator List	12/12/2014	+ Multiple						Cal W Customer	
Deadline Extension	11/18/2014	+ Multiple						Cal W Customer	
Submitted Arbitrator Ranking Sheet	11/05/2014	Claimant Ranking Sheet sent for James Schroder for 13-03055 List ID 87463.pdf (11/5/2014)						Cal W Customer	
FINRA Correspondence	10/02/2014	jim.pdf (3/17/2014)						Cal W Customer	
FINRA Correspondence	09/03/2014	+ Multiple						Cal W Customer	
FINRA Correspondence	09/03/2014	+ Multiple						Cal W Customer	
FINRA Correspondence	03/27/2014	Submission Agreement from Cal Customer.pdf (10/21/2013)						Cal W Customer	

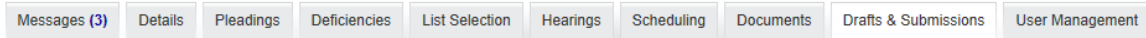
ADVANCED TIP: Portal Contacts and Secondary Contacts (see “User Management” later in this Guide) receive an automated email whenever activity occurs on one of your cases. Each type of automated email has a small, identifying code word at the bottom. For example, when FINRA publishes a document on the portal for one of your arbitration cases, the automated email will include the code word “PUBADOC”. You can create “rules” in your email system to look for these code words on incoming email to automatically route the emails as you desire. Be sure that FINRA emails are not being stopped by any email spam blockers you may have.

Drafts & Submissions

The **Drafts & Submissions** tab shows a list of the forms that you are currently working on (drafts) as well as the forms you have already submitted to FINRA (submissions). Forms that have been submitted will have an assigned Tracking Number that you can refer to later.

Note that at the current time, claim filing forms submitted via the Arbitration Online Claim Filing System are NOT viewable in this tab, although any attached documents that were submitted with the online claim filing WILL be found in the Documents tab. The online claim filing form will be integrated with the DR Portal in a future update.

If you submitted a form that required payment (e.g. a filing fee), but did not complete the payment process at the time of submission, you can come to this tab, select the form by clicking on the row, and then click on the “Submit Payment” button to complete the payment process.



Drafts & Submissions

If using the Safari browser, turn off the Safari pop-up blocker to view the content and the attachments to these forms.



FORM TYPE	TRACKING NUMBER	FORM STATUS	FORM STATUS DATE	PAYMENT STATUS	
Attachment	1275648	Draft	08:23 AM 10/31/2014	N/A	Delete
Attachment	1181683	Draft	01:43 PM 06/30/2014	N/A	Delete
Attachment	1121634	Submitted	11:07 AM 04/16/2014	N/A	
Attachment	1100593	Submitted	10:52 AM 03/27/2014	N/A	
Attachment	1087874	Submitted	11:30 AM 03/11/2014	N/A	

User Management

The party representative that used the invitation email that came from FINRA to register for the case is called the “**Portal Contact.**”

Note that the “Portal Contact” does not have to be the same person as the actual party representative (i.e., as provided in a notice of appearance.) If the DR Portal invitation email was used by someone other than the party representative, that person becomes the “Portal Contact” with regard to DR Portal work for the case. This does not, however, change who is named as the party representative.

It is permitted for the party representative to delegate the role of Portal Contact for DR Portal work, but the representative is responsible for all submissions made.

The **User Management** tab allows a Portal Contact to grant access to the DR Portal for a particular case by sending an invitation.

Messages (3) Details Pleadings Deficiencies Arbitration Selection Hearings Scheduling Documents Drafts & Submissions User Management

Invite New User to this Case

E-mail Description Full Read

Manage Current User Access for this Case

Name	Invited E-mail	Description	Registered E-mail	Registered	Access Level		
	pamela.ski@finra.org	Support Staff		No	Full Read	Update	Re-invite

Invite and Manage Party Access for this Case

Type	Name	E-mail	Invited				
Individual	Cal W Customer	cal.customer@gmail.com	No	No	Basic		invite

Invite New User to this Case lets the Portal Contact invite anyone they choose (such as support staff) to the case by entering the email address, a basic description, an access level, and then clicking the Send invitation button. Invited individuals are sometimes called “**Secondary Contacts**” in the system or by FINRA DR staff.

You can set the access level all the way up to “Full” which lets them do anything the Portal Contact can do on their behalf, except for inviting other Secondary Contacts (only the Portal Contact has access to the User Management tab). “Basic” only gives the high-level information about the case; they cannot access the row of tabs (Case Details, Pleadings, etc). “Full Read” gives access to all of the tabs, but the user cannot submit documents, enter arbitrator ranks or strikes, or enter scheduling information.

Note that the representative accepts all responsibility for the individuals they invite in maintaining confidentiality of the case information, and for removing access when the invitee no longer requires access.

The invited individual will receive an email invitation containing a special link that will grant them the ability to access this specific case in the DR Portal. Individuals need to be invited to each case that the Portal Contact wishes them to access.

Manage Current User Access for this Case lets the Portal Contact change or remove access to previously invited individuals (Secondary Contacts), or to re-invite individuals if they lost or deleted the invitation email. To remove access for a previously invited user, just change their access level to “None” and click on the “Update” link. The invited user will no longer see this case when they log into the Portal.

Invite and Manage Party Case Access for this Case works the same way as Invite New User to this Case, but is used to invite the actual parties that they represent to the case. The names of the parties associated with the representative are already listed in this section, along with the email address that FINRA has on file for this party. It cannot be entered on this screen. The invitation will be sent to that email address. If no email address has been provided to FINRA for the party,

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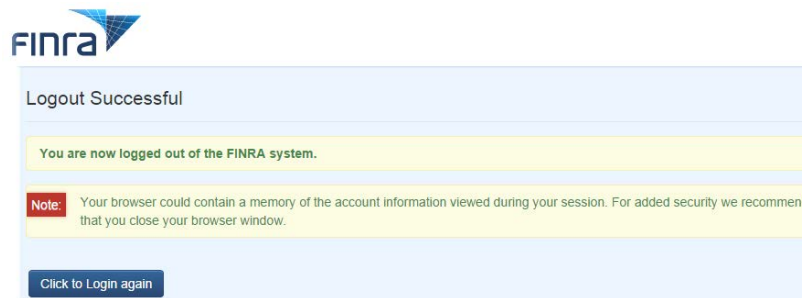
the party cannot be invited. Invited parties are not Secondary Contacts, and have a “read-only” view of the case (either Basic or Full Read); they cannot enter information or submit documents through the portal.

Log Out of Portal

You can log out of the DR portal by clicking on the “**Sign Out**” link in the top right corner.



Once you click the “**Sign-Out**” link you will receive confirmation that your Logout was successful.



Additional Help

If you have any questions about the DR portal, please contact the Dispute Resolution staff member assigned to your case or email claimhelp@finra.org.

Frequently Asked Questions

Q: What is the difference between accessing a case using a Claim Access Code and using the personalized link in the Invitation email to register for the case?

A: The Claim Access Code found in the Claim Notification Letter allows a respondent on a case to retrieve a claim from the DR Portal and file an answer. FINRA sends this letter to the named respondents on the claim, rather than serving the actual claim documents. It permits the user to access only the claim for just the one case, but it can be used multiple times by different users. For example, a respondent might receive the Claim Notification Letter, use the Code to retrieve the claim, and then decide to hire counsel to handle the claim on their behalf. They can give the letter to their counsel who can use their own DR Portal account, access the claim, and then file an answer on behalf of their client.

Once respondent's counsel has been established with FINRA for the case (as provided in the submitted answer or in a notice of appearance), FINRA will send an email Invitation to that counsel so that they can "register" for the case. The personalized link in this invitation will ONLY work one time, but it provides FULL access to the case, permitting them to use all of the functionality of the DR Portal described in this User Guide. The representative can give this invitation email to a delegate (rather than using it themselves), but it will only work one time.

Note that if a party notifies FINRA of a change of counsel, the prior counsel will lose all access to the case, and the new counsel will be invited and will need to register for the case.

Q: What do I do if I enter my Claim Access Code wrong three times and lock myself out of the case?

A: Contact the Dispute Resolution staff member assigned to your case or send an email to claimhelp@finra.org.

Q: I'm pretty sure that I am typing my Claim Access Code correctly, but it says that the information is not correct. What am I doing wrong?

A: All of the letters in the Claim Access Code are capitalized. Capital "l" characters can look like lower-case "L" characters or the number "1". Only use capital letters when entering the code.

Q: Do I have to enter the URL in the Claim Notification Letter to retrieve a new case with the Claim Access Code?

A: No, once you create your account, you can log straight into the DR Portal using <https://drportal.finra.org> and then choose "Receive a Case" from the left-hand menu option and enter your Claim Access Code there. Remember that you do NOT want to create a new User ID for each case that you want to receive.

Q: What is the difference between the Documents and the Drafts & Submissions tabs?

A: Drafts & Submissions shows the “forms” you have personally submitted to FINRA. There are currently two types of forms in the system; the Answer form and the Attachment form. Each of these forms permits you to attach certain types of documents. The Answer form is used to submit your answer documents to FINRA; the Attachment form is for subsequent submissions. Drafts & Submissions only shows the forms that you personally submitted. It would not, for example, show the Portal Contact something that one of their secondary contacts submitted. Parties invited to the portal with Full Read access also cannot see these submissions. That is why the system publishes everything that is submitted back out to the Documents tab in the case.

Q: On the Drafts & Submissions page, it seems that every time I click on "File Answer" or "Submit Documents" it saves a new draft. What are the criteria for how often it saves a Draft? I thought it would only save as a draft if I clicked "Save" while within the form.

A: Every time you click on either the File Answer or Submit Documents button, a new form instance (i.e. a draft) is created. One thing about Drafts and Submissions is that it only shows the forms YOU PERSONALLY submitted. It would not, for example, show the Portal Contact something that one of their Secondary Contacts submitted. Parties invited to the portal with Full Read access also cannot see these submissions. That is why everything is automatically re-published back out to the Documents tab in the case.

Q: Can opposing counsel see my submitted rankings in the Portal?

A: No. The Portal Contact is in control of the case filings and providing access to case documents. The only people who can see your submitted rankings or documents are the Portal Contact and anyone she invited that is given “Full Read” or “Full” access.

Q: Do I have to use the same email address when I create an account on the DR Portal as I provided when I filed a claim or answer for a case I am representing?

A: All automated emails coming from the DR Portal will go to the email address on your DR Portal account. DR staff, however, might use the email address you provided with your initial submission. If you do not want this to happen, you should use the same email address for your account and all submissions.

Q: What is the difference between a Portal Contact, a Secondary Contact, and a Party with regard to the User Management tab?

A: As described under “Accessing Claim Information, FINRA sends an “invitation” email (to the claimant’s representative after they file the claim, and to the respondents’ representative after they file an answer or notice of appearance). This invitation can only be used once. Whoever uses it (either the representative themselves or a delegate that they choose) becomes the “Portal Contact” with respect to the case on the DR Portal.

The Portal Contact has the ability (using the User Management tab) to invite other users into the Portal for a particular case to assist them with their portal work. These invited users become “Secondary Contacts.” They have a level of access as set by the Portal Contact on the User

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Management tab. Secondary Contacts do not have access to the User Management tab, so they cannot invite more Secondary Contacts.

In addition, Portal Contacts may invite the parties themselves into the DR Portal. In this case, FINRA must know in advance the email address of the party; the Portal Contact cannot enter it. Parties can have read-only access to the portal; they cannot enter any information or submit any documents.

Q: What are the identifying codes that appear at the bottom of the emails I receive from FINRA when activity occurs on my cases?

A: Portal Contacts and Secondary Contacts receive an automated email whenever activity occurs on one of your cases. Each type of automated email has a small, identifying code word at the bottom. You can create “rules” in your email system to look for these code words on incoming email to automatically route the automated emails as you desire. Be sure that FINRA emails are not being stopped by any email spam blockers you may have. Here is the list of codes:

- PCINVSC – Sent to the Secondary Contact when they are invited to a case on the DR Portal by the Primary Contact.
- PCRINSC – Sent to the Secondary Contact when they are re-invited to a case on the DR Portal by the Primary Contact.
- STINVPC – Invitation sent by FINRA staff to the party representative for the case on the DR Portal. Whoever uses this invitation becomes the Primary Contact for the case.
- PUBADOC – Sent when a new document has been published on the Portal for one of your arbitration cases. The documents will be found in the Documents tab of the respective case.
- PUBMDOC – Sent when a new document has been published on the Portal for one of your mediation cases. The documents will be found in the Documents tab of the respective case.
- DSPAPOL – Sent when an arbitration hearing poll is displayed on the Portal, requesting schedule availability. The poll can be found in the Scheduling tab of the respective case.
- DSPMPOL – Sent when a mediation session poll is displayed on the Portal, requesting schedule availability. The poll can be found in the Scheduling tab of the respective case.