



## Order on Request for Permanent Injunction

At the conclusion of a hearing on a request for permanent injunction under FINRA rules<sup>1</sup>, please complete this form.

**A hearing on a request for Permanent Injunction under FINRA rules was held in the matter of:**

CLAIMANT(S): \_\_\_\_\_

RESPONDENT(S): \_\_\_\_\_

CASE #: \_\_\_\_\_

The hearing was held on \_\_\_\_\_ (month/date/year).  
The following individuals participated in the hearing: [list the attending individuals]

Chairperson: \_\_\_\_\_

Panelist: \_\_\_\_\_

Panelist: \_\_\_\_\_

Claimant's Representative: \_\_\_\_\_

#1 Respondent's Representative: \_\_\_\_\_

#2 Respondent's Representative: \_\_\_\_\_

FINRA Dispute Resolution Staff: \_\_\_\_\_

At the hearing for permanent injunction, the following occurred:

1. Respondent \_\_\_\_\_ filed  
its answer to the statement of claim.

<sup>1</sup> Industry Code: Rule 13804; Old Code: Rule 10335

2. Respondent \_\_\_\_\_ filed its answer to the statement of claim.

3. The parties accepted the panel's composition. (If not, please explain.)

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4. In determining the request for permanent injunction, the panel used the following legal standard (Select one):

- a. Choice of law as indicated in the parties' agreement; or,
- b. The law of state where events occurred if there is no agreement.

5. On Claimant \_\_\_\_\_'s request for permanent injunction, the panel rules as follows (circle and complete all selections that apply):

- c.  Granted
- d.  Denied
- e. The permanent injunction filed by \_\_\_\_\_ shall become effective:

- i. Upon the expiration of the TRO used by the Court on month/date/year) \_\_\_\_\_ and expire on \_\_\_\_\_

- ii. Immediately and will expire on (month/date/year)

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6. On Respondent \_\_\_\_\_'s request for permanent injunction, the panel rules as follows (circle and complete all selections that apply):

- f.  Granted
- g.  Denied
- h. The permanent injunction filed by \_\_\_\_\_ shall become effective:

- iii. Upon the expiration of the TRO used by the Court on month/date/year) \_\_\_\_\_ and expire on \_\_\_\_\_

- iv. Immediately and will expire on (month/date/year)

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7. The parties are prohibited from seeking an extension of the court's order.  
Yes or No

8. The parties are directed to jointly move the court to modify or dissolve the court order. The parties shall file this motion within \_\_\_\_\_ days from the date of this order.

9. The panel has scheduled additional hearings to resolve damages and other issues as follows:

a. The next scheduled hearing session will be held on (month/date/year) \_\_\_\_\_ at \_\_\_\_\_ (time).  
The following dates have also been reserved for this hearing:

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b. The arbitrators and parties have tentatively reserved \_\_\_\_\_ (month/date/year) at \_\_\_\_\_ (time) for a Pre-hearing conference to resolve

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c. The Chairperson and parties have tentatively reserved \_\_\_\_\_ (month/day/year) at \_\_\_\_\_ (time) for a Pre-hearing conference to resolve the following discovery matters:

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d. If Pre-hearing briefs are filed, they must be filed by:

Response filed by: \_\_\_\_\_

Reply filed by: \_\_\_\_\_

e. If motions are filed, they must be filed by: \_\_\_\_\_

Response filed by: \_\_\_\_\_

Reply filed by: \_\_\_\_\_

10. Other rulings (i.e., arbitration fees, extra fees to be deposited, etc.): a.  
The parties are liable for the increased arbitrator honoraria on the hearing for the permanent injunction as follows:

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b. The parties are liable for the reasonable travel expenses of arbitrator, \_\_\_\_\_, who traveled outside his or her assigned hearing location as follows:

Claimant #1 is assessed \_\_\_\_\_

Claimant #2 is assessed \_\_\_\_\_

Respondent #1 is assessed \_\_\_\_\_

Respondent #2 is assessed \_\_\_\_\_

Respondent #3 is assessed \_\_\_\_\_

11. If the parties settle this matter with no further hearings:

a. The cost of this permanent injunction hearing and any other hearing, including initial Pre-hearing conference or Pre-hearing conference, will be borne as follows:

Claimant #1 is assessed \_\_\_\_\_

Claimant #2 is assessed \_\_\_\_\_

Respondent #1 is assessed \_\_\_\_\_

Respondent #2 is assessed \_\_\_\_\_

Respondent #3 is assessed \_\_\_\_\_

b. Is this preliminary assessment joint and several? Yes or  
No

c. If this preliminary assessment is joint and several, state below the parties against whom it is made (circle all that applies):

- i. Claimants only
- ii. Respondents only
- iii. Claimants and Respondents

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FINRA rules<sup>4</sup> provide that the parties shall jointly bear an arbitrator's reasonable travel-related costs and expenses for required travel to a hearing location other than the arbitrator's primary hearing location(s). The arbitrator may reallocate such costs and expenses among the parties in the award.

If a member firm fails to satisfy an invoice, FINRA Dispute Resolution will debit the member firm's CRD account.

This order will remain in effect unless amended by the arbitration panel.

Dated: \_\_\_\_\_

\_\_\_\_\_  
Chairperson's Name and Signature

\_\_\_\_\_  
Panelist's Name and Signature

\_\_\_\_\_  
Panelist's Name and Signature

\_\_\_\_\_

<sup>3</sup> Industry Code: Rules 13214 and 13804(b)(6)(c)

<sup>4</sup> Industry Code: Rule 13804(b)(6)(A); Old Code: Rule 10335(b)(6)(A)