

Expedited Procedures Stipulation*

Case Number:

Case Name:

The undersigned parties acknowledge their understanding that some of the time requirements set forth in the Code of Arbitration Procedure (“the Code”) may be reduced by mutual agreement of the parties as set forth below. FINRA will proceed with any shortened deadlines agreed to by all parties. The parties may agree to any or all of the following stipulations. Please check each box to indicate your agreement and return the completed Stipulation to FINRA. The parties may return the Stipulation separately. FINRA will review all returned Stipulations to determine which, if any, provisions have been agreed to.

- Answer Extensions:**
Any agreed upon extensions to answer will not delay the case, specifically the arbitrator selection process, unless FINRA is advised otherwise by the parties in writing.
- Arbitrator Ranking Deadline:**
Pursuant to the Code, rankings are due 20 days after lists have been sent to the parties. The parties agree to reduce this 20 day deadline to ___ days.
- Preferred Hearing Dates:**
The parties will provide agreed upon evidentiary hearing dates at the time rankings are due. However, FINRA cannot guarantee the parties’ preferred hearing dates. Evidentiary hearing dates will be subject to the availability of the appointed arbitrators.
- Appointment of Non-Ranked Arbitrators:**
The parties direct FINRA to appoint arbitrators who are available for the agreed upon hearing dates and understand that by doing so the parties’ ranked arbitrators may not be appointed to this case. FINRA will provide the parties’ preferred hearing dates to the appointed arbitrators at the time of paneling and ask that they hold these dates on their calendars.
- IPHC Notice:**
The Code requires that the parties must be notified of the time and place of the Initial Pre-hearing Conference (IPHC) at least 20 days before it takes place. The parties hereby waive the 20 day notice so that the IPHC may be scheduled with at least ___ days notice. An Initial Pre-Hearing Conference will be scheduled, even if the parties provide FINRA with agreed upon hearing dates, unless the parties agree to opt out and provide all required information pursuant to Rules 12500(c) and/or 13500(c) of the Code.

Please discuss this Stipulation with all parties before submitting this form. FINRA will only move forward with agreed upon provisions as demonstrated by all parties checking a provision. If the parties do not agree, the case will proceed under the Code. ***If there are any additional agreements by the parties, they must notify FINRA in writing.*** This Stipulation can be signed electronically by entering your name and initials, preceded and followed by the forward slash symbol (/) (e.g., /Jane Q. Public jqp/).

Signature

Name of Party

Date

*This Stipulation only applies to cases involving senior or seriously ill parties.