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What is Dispute Resolution?

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To assist in the resolution of monetary and business disputes between investors and securities firms, FINRA operates the largest securities dispute resolution forum in the world, including both arbitration and mediation programs.

Before initiating an arbitration or court litigation, consider mediation a natural first step in dispute resolution. Mediation is an informal, voluntary approach in which a mediator facilitates negotiations between disputing parties, helping them to find their own mutually acceptable resolution. What distinguishes mediation from other forms of dispute resolution is that the mediator does not impose the solution, but rather helps make it possible for the parties to craft and accept the solution themselves. View a [comparison of mediation and arbitration](#).

Arbitration is a dispute resolution mechanism to help determine if aggrieved parties are entitled to recover damages. In arbitration, an impartial person or panel hears all sides of the issues as presented by the parties, studies the evidence, and then decides how the matter should be resolved. Arbitration is final and binding, subject to review by a court only on a very limited basis. Both mediation and arbitration benefit parties by providing prompt, inexpensive alternatives to litigation in the courts. Parties can choose FINRA arbitrators and mediators who are carefully selected from a broad cross-section of people, diverse in culture, profession, and background.

What is FINRA Dispute Resolution?

FINRA Dispute Resolution operates the largest securities dispute resolution forum in the world. FINRA facilitates the efficient resolution of monetary, business, and employment disputes between investors, securities firms, and employees of securities firms. We offer both arbitration and mediation services through a network of offices across the United States. FINRA handles employment and business disputes within the industry, as well as a wide variety of investment disputes involving stocks, bonds, options, mutual funds and other types of securities.

Today, FINRA is known as the largest and most effective dispute resolution forum in the securities industry – handling virtually all such arbitrations and mediations in the United States. FINRA recruits, trains and manages large rosters of neutral arbitrators and mediators, with nearly 7,000 arbitrators and more than 1,000 mediators carefully selected from a diverse cross-section of professionals. These FINRA neutrals are available to arbitrate and mediate cases in 72 locations around the country and in London and Puerto Rico.

FINRA Dispute Resolution is subject to the same Securities and Exchange Commission oversight as FINRA, and it has its own President, [Linda D. Fienberg](#). The [National Arbitration and Mediation Committee](#) makes recommendations to Dispute Resolution and the Board regarding the conduct of arbitrations, mediations, and other dispute resolution matters.

FINRA Dispute Resolution pledges to provide impartial professional staff and highly trained arbitrators, mediators, and other neutrals committed to delivering fair, expeditious, and cost-effective dispute resolution services for investors, brokerage firms, and their employees. FINRA Dispute Resolution wants our customers to view us as the pre-eminent provider of dispute resolution services worldwide.

[FINRA Dispute Resolution Fact Sheet](#)

To receive more specific information about FINRA's Arbitration or Mediation programs, contact one of FINRA's [Dispute Resolution Offices](#).

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