



"FINRA Arbitration of Customer/Broker-Dealer Disputes: An Overview for the Uninitiated," American Bar Association, Commercial & Business Litigation Committee Quarterly - Winter 2020

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Commercial & Business Litigation Committee
Winter 2020, Vol.21, Issue 2*

Arbitration is the primary method by which disputes between securities customers and their broker-dealer firms are resolved. The Financial Industry Regulatory Authority (FINRA) is the principal forum for these arbitrations. FINRA arbitration is comparatively quick and costeffective. Regulatory oversight and other mechanisms provide checks to ensure that the process is fair. This article provides an overview of the FINRA arbitration process.