Fee Dispute Resolution Application

Instructions

a. **Purpose**: A CAT Reporter that disputes CAT fees charged to such CAT Reporter and that desires to have an opportunity to be heard with respect to such disputed CAT fees must file this "Fee Dispute Resolution Application". A CAT Reporter must file this Fee Dispute Resolution Application by submitting it to the FINRA CAT Helpdesk at help@finracat.com.

b. **Timing**: A CAT Reporter must file this "Fee Dispute Resolution Application" within 15 business days after being notified of the specific CAT fees it is disputing. CAT Reporters are considered to have been notified of CAT fees on the day that email notifications that invoices are available on the CAT Reporter Portal are sent.

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1. **Date of Filing of Application:**

2. **CAT Reporter Name:**

3. **CAT Reporter CRD Number:**

4. **Identification of Disputed CAT Fees:**

5. **Explanation of the Specific Reasons Why the Applicant Takes Exception to Such Disputed CAT Fees:**

6. **Relief Sought with regard to the Disputed CAT Fees:**

7. **Identification of Any Additional Documents, Statements, Arguments or Other Materials in Support of Application, and Inclusion of Such Materials with this Application:**

8.   <u>**Contact Information**</u>**:**

        Contact Name:
        Email Address:
        Phone Number: