**Arbitrator Disclosure Checklist**

Claim No. \_\_\_\_\_\_\_\_\_\_\_\_

Caption: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*Please consult Canon II of the Code of Ethics for Arbitrators in Commercial Disputes regarding your obligation to disclose any interest or relationship likely to affect impartiality or which might create an appearance of partiality. You have a continuing obligation to update this form whenever you recall or discover any information that should be disclosed.*

*Please explain any “Yes” answers in the space provided below.*

*Note: The completed form will be available to the parties to this dispute.*

**THE DISPUTE**

Prior knowledge of the dispute Yes 🞏 No 🞏

Financial interest in the outcome Yes 🞏 No 🞏

Personal interest in the outcome Yes 🞏 No 🞏

**PAST OR CURRENT RELATIONSHIPS**

Financial, business, professional, or personal relationships between you and:

• a party to this proceeding Yes 🞏 No 🞏

• a lawyer representing a party to this proceeding Yes 🞏 No 🞏

• the law firm of a lawyer in this proceeding Yes 🞏 No 🞏

• a co-arbitrator in this proceeding Yes 🞏 No 🞏

• an individual whom you have been told will be witness Yes 🞏 No 🞏

Relationships between your family or household members[[1]](#footnote-1) and:

• a party to this proceeding Yes 🞏 No 🞏

• a lawyer representing a party to this proceeding Yes 🞏 No 🞏

• the law firm of a lawyer in this proceeding Yes 🞏 No 🞏

• a co-arbitrator in this proceeding Yes 🞏 No 🞏

• an individual whom you have been told will be a witness Yes 🞏 No 🞏

Relationships between your current employer, partners, or professional or business associates[[2]](#footnote-2) and:

• a party to this proceeding Yes 🞏 No 🞏

• a lawyer representing a party to this proceeding Yes 🞏 No 🞏

• the law firm of a lawyer in this proceeding Yes 🞏 No 🞏

• a co-arbitrator in this proceeding Yes 🞏 No 🞏

• an individual whom you have been told will be a witness Yes 🞏 No 🞏

**PROSPECTIVE RELATIONSHIPS**

Discussions with a party about prospective employment or compensated service as a dispute resolution neutral Yes 🞏 No 🞏

Arrangements with a party concerning prospective employment or other compensated service as a dispute resolution neutral Yes 🞏 No 🞏

**ADDITIONAL REQUIRED DISCLOSURES**

Additional disclosures required by an agreement between the parties Yes 🞏 No 🞏

Additional disclosures required by applicable state or federal law Yes 🞏 No 🞏

**OTHER**

Additional factors that might create an actual or apparent conflict of interest Yes 🞏 No 🞏

Conditions that might impede my ability to serve Yes 🞏 No 🞏

**DETAILS REGARDING “YES” ANSWERS TO ANY OF THE QUESTIONS ABOVE**

|  |
| --- |
|  |

I hereby certify that, to the best of my knowledge, the responses provided above are complete and accurate.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Arbitrator

1. Canon II(A)(2) of The Code of Ethics for Arbitrators in Commercial Disputes requires prospective arbitrators to disclose “. . . any such relationships involving their families or household members or their current employees, partners, or professional or business associates that can be ascertained by reasonable efforts.” (Emphasis added.) [↑](#footnote-ref-1)
2. See footnote 1. [↑](#footnote-ref-2)