

ACI

A COMMERCIAL INITIATIVE
for
DISPUTE RESOLUTION

FSA Scheme for Disciplinary Cases Request for Mediation

All sections of this form must be completed. Please use continuation sheets where necessary.

To the Case Manager

We hereby request mediation under the FSA Scheme for Disciplinary Cases.

Section A: Parties to the Mediation

FSA:	Firm or individual under investigation
Case Handler:	Name:
Case Ref. No.....	Firm:
Email:	Email:
Direct Tel., No:	Tel. No:
Fax No:	Fax No:
Address:	Address:.....
.....
.....

Section B: Legal or Other Representation

FSA	Firm or individual under investigation
Name:	Name:
Firm:	Firm:
Email:	Email:
Tel. No:	Tel. No:
Fax No:	Fax No:
Address:	Address:.....
.....
.....
DX:	DX:
Ref:	Ref:

Please provide a brief summary of the nature of the matter under investigation:

.....
.....
.....

Please advise the stage of disciplinary procedure reached (eg has the Warning Notice been issued)

.....

Please confirm that FSA consent has been obtained where required and enclose a copy of the consent:

Consent Required: Yes/No
Consent Obtained: Yes/No
(please attach copy consent if relevant)

Please indicate the proposed band of mediator requested:

BAND A BAND B BAND C

ACI reserves the right to recommend a mediator from a different band to that proposed by the parties where, in the opinion of the ACI Case Manager, the nature of the matter under investigation requires a mediator from a higher band to that requested or can effectively be handled by a mediator from a lower band than that suggested by the parties. ACI will not appoint a mediator where the mediator cannot proceed with reasonable expedition, without consulting the parties, or if there is a conflict of interest.

If the hearing is not to be in London, indicate where the parties would like the hearing to take place:

.....

The Request for Mediation will not be effective unless one half of the Initial Fee is enclosed with this Request form by the firm or individual.

Signed by the Firm/individual under investigation:.....Date

If signing for a firm, please indicate status:

ACI will not appoint a Mediator until both parties have agreed to participate in the mediation.

Please return this form to:

**The Case Manger
ACI
3 Verulam Buildings
Gray 's Inn
London
WC1 5NT**

Telephone: +44 (0)20 7269 1169
Fax: +44 (0)20 7269 1186
E-mail: admin@aci-adr.com
Web: http://www.aci-adr.com