



ARBITRATION GUIDELINES

These Guidelines are the STRATA CDR, LLC (STRATA) procedures for arbitration proceedings. They have been developed to assist parties in handling arbitrations in the most efficient and cost-effective manner, and shall govern arbitrations conducted by STRATA, unless otherwise agreed by all parties. Where parties wish to amend any of these Guidelines, they may do so by a written agreement prior to the commencement of the hearing. Any such amendments shall be also subject to the approval of STRATA and the selected arbitrator.

Definition of Process:

Arbitration is a process in which a neutral arbitrator renders an award after hearing arguments and reviewing evidence. All awards are binding unless the parties agree otherwise in writing before the hearing.

Initiation of Action:

A request for arbitration is submitted by either independent or jointly-executed case submission request, on a form provided to the parties by STRATA. The submission request reflects the names and contact information of all parties and their counsel, if represented, a brief summary of the nature of the claim, and the name of the arbitrator selected by the parties. The current administrative fee is due with the filing of the case submission request.

Administrative Procedures:

If cases involve unusual complexities, or extenuating circumstances, STRATA will suggest a pre-hearing conference to be attended by a STRATA representative and by a representative of each party. At the conference, several issues will be addressed including: the appointment and qualifications of the arbitrator, compensation matters, the exchange of information and discovery needs, scheduling and time requirements, a summary of the issues and any damages claimed by each party, the filing of a joint memorandum of uncontested facts, identification and background of expert witnesses, if any, any potential conflicts between the arbitrator and any parties, and any special accommodations/facilities that may be needed.

Arbitration Process:

The hearing is conducted by the arbitrator in an impartial manner. The arbitrator discloses any circumstances that might have developed that the parties might perceive to affect his/her neutrality, and, if that is the case, a substitute arbitrator is assigned with the agreement of the parties. The arbitrator hears the controversy and makes an award based upon the evidence submitted. The arbitrator shall determine the relevancy and admissibility of the evidence, accept deposition testimony, require the submission of briefs and rule on motions. The arbitrator may also establish additional, impartial, ground rules, so long as the manner in which the hearing will be conducted allows for all parties to make a fair presentation of their positions and to present witnesses and permit cross examination.

Length of Hearing:

The time and length of hearings will depend on complexity of matter and number of parties.. Parties may elect an accelerated hearing permitting only oral testimony by party witnesses, and excluding the testimony of others. Our arbitrators may suggest methods in which to accelerate the hearing.

Attendance:

Non-party witnesses are excluded from the hearing except while testifying. The testimony of all parties and witnesses is sworn or affirmed.

Discovery:

STRATA recognizes that certain cases require discovery to insure a complete and fair process. The parties may take depositions and request documents be produced on an expedited basis, and shall be subject to the same requirements and obligations in this regard as provided by the Federal Rule of Civil Procedure.

Information Filing:

At least ten days prior to the hearing, together with the case submission request, each party will submit to the others, including STRATA, a list of documents to be offered and witnesses to be presented at the hearing. Any document or witness not so identified, may be excluded if the arbitrator so determines.

Case Default/Dismissal:

If all parties have been properly notified of a hearing and one or more parties fails to appear, the arbitrator may conduct the hearing if one or more parties are present and enter an award or grant a continuance, depending on his/her judgment. The parties may move to terminate the

arbitration without prejudice before an award is issued by filing with the arbitrator a writing to that effect signed by all parties.

Adjournment:

Once each party present has been given an opportunity to present his/her case and offer proof of claims, unless the arbitrator otherwise determines the arbitrator shall close the hearing and no further proof shall be accepted. Should the arbitrator allow the submission of documentation or briefs after the close of the hearing, the same additional time shall be offered to each party.

Award:

The arbitrator shall, within 30 days of the hearing, or later if determined by the arbitrator, deliver to STRATA a written award executed by the arbitrator. Subject to the payment of all fees, STRATA shall deliver a copy of the award to each party personally, or by registered, certified or regular mail, addressed to the party directly or in care of the party's attorney, if any. The award may include an assessment of the issues, findings of material fact and rulings of law. The arbitrator shall be guided by the principles of law in making the award. Unless the parties have agreed to the contrary in writing prior to the hearing, the award (as it may be affected after review if a review has been claimed) will bind the parties and is not subject to appeal or review by any judicial or administrative process (except as provided under applicable law). A judgment may be entered in court for the enforcement of the award (as it may have been so affected).

Multiple arbitrators:

If the parties wish to have more than one arbitrator, the provisions of the Agreement to Arbitrate and these Guidelines shall apply to all the arbitrators.