

**Association of Insurance & Reinsurance Run-Off Companies**

**ARBITRATOR and MEDIATOR REFERRAL & DISCLOSURE FORM  
(Form 3A)  
(selection administered by AIRROC)**

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**Part I: Referral to Prospective Arbitrators/Mediators  
(to be completed by parties except for name immediately below)**

To: \_\_\_\_\_

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

You have been selected at random as one of fifteen candidates being considered for appointment as arbitrator or mediator in an expedited proceeding under the (parties please select one):

\_\_\_\_\_ AIRROC Dispute Resolution Procedure

\_\_\_\_\_ AIRROC Mediation Procedure

(hereinafter the "Procedure")

You are requested to maintain the information herein in confidence.

To be considered further, within the next seven (7) days, you must complete and sign Part II of this form and return by email a scanned copy of the form with your signature to AIRROC's Executive Director, Carolyn Fahey (carolyn@airroc.org).

The referenced dispute involves:

For Claimant(s):

Name of Claimant(s): \_\_\_\_\_

Business Principal: \_\_\_\_\_

In-House Counsel (if any): \_\_\_\_\_

Outside Counsel (if any): \_\_\_\_\_

For Respondent(s):

Name of Respondent(s): \_\_\_\_\_

Business Principal: \_\_\_\_\_

In-House Counsel (if any): \_\_\_\_\_

Outside Counsel (if any): \_\_\_\_\_

**PLEASE ATTACH A LIST OF AFFILIATED COMPANIES.**

Nature of Dispute (in deciding how to complete this field for the benefit of prospective arbitrators/mediators, the parties should attach additional sheets as necessary and may incorporate Section V or other aspects of the Initiation of Proceedings Form as applicable):

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**Part II: Availability & Disclosure Statement  
(to be completed by prospective arbitrators/mediators)**

As you complete this form, please consider and disclose as required any past or present relationship with the parties or their counsel, direct or indirect, whether financial, professional, social, or of any other kind. If there has been any change in the biographical information that you previously provided to AIRROC, or if any change or potential conflict arises during the course of the arbitration, please disclose such change or potential conflict to all parties immediately. Any doubt should be resolved in favor of disclosure.

After considering the areas of disclosure below please choose one of the following:

1. I decline to serve due to conflicts or unavailability: \_\_\_\_\_

2. I am available to serve in an expedited proceeding in accordance with the Procedure and have nothing to disclose: \_\_\_\_\_

3. I am available to serve in an expedited proceeding in accordance with the Procedure and hereby disclose the following (attach additional sheets as necessary):

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Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

**AREAS FOR DISCLOSURE INCLUDE BUT ARE NOT LIMITED TO:**

- Have you ever been an employee, officer, director, shareholder, agent or consultant of any of the parties listed above, or the parties' subsidiaries, affiliates or parent companies?
- Have you ever served as an arbitrator, umpire, attorney, or expert witness in a matter involving any of the counsel or any of the parties listed above or any subsidiaries, affiliates or parent companies of such parties?
- Have you had involvement in a transaction or dispute involving any of the parties or such parties' subsidiaries, affiliates or parent companies?
- Have you had involvement in a transaction or dispute involving any contract(s) or claim(s) identified above?
- Do any of the companies with which you are presently affiliated or in which you presently have a financial interest have an ongoing business relationship with any of the parties or affiliates listed above?