



## Procedures in New York SUM Arbitration

### Greater convenience for the parties

The American Arbitration Association® (AAA®), in cooperation with the Department of Financial Services and the SUM Arbitrators, aims to provide greater uniformity, convenience and speed of resolution for SUM disputes by utilizing the following procedures for NY SUM Arbitration.

**Uniform hearing procedures.** All SUM arbitrators are required to follow the same procedures. A copy of the uniform procedures is posted in the SUM section of this AAA website.

**Pre-hearing conference calls.** A pre-hearing conference call for the parties and the arbitrator is the first step in arbitration of a new case. During the call, parties can discuss their exchange of documents, witness lists, scheduling hearing, and other preparations. Parties will receive a notice of pre-hearing telephone conference for their new cases. An Agenda to guide discussion is also posted in the SUM section of this AAA website.

**Written confirmation of hearings.** In addition to the notice of hearing sent well in advance of a hearing date, the AAA will send a written confirmation of hearing during the week prior to the hearing. During the day prior to a hearing, AAA will provide a courtesy reminder to the parties via courtesy e-mail or phone call.

**No automatic adjournments.** Hearings will proceed as scheduled unless a party makes a specific adjournment request that is approved by the arbitrator. There is NO automatic adjournment of a hearing.

If you have any questions about these procedures, please feel free to contact Maxine Cole, SUM Supervisor, at 917.438.1732 or [ColeM@adr.org](mailto:ColeM@adr.org).

We welcome your feedback and further suggestions.