

Alternative Dispute Resolution Complaint Form

Contact Information

Complainant	Name: _____ First Middle Last	Phone: () _____
	Address: _____	City State Zip Code

Neutral	Name: _____ First Middle Last	Phone: () _____
	Address: _____	City State Zip Code

Outline of Basis for Complaint

Parties Involved: _____

Date of Incident(s): _____

Was the neutral court appointed? Yes No

Please check the provision(s) of the Rule 114 Code of Ethics that you believe have been violated:

<input type="checkbox"/>	Rule I. Impartiality: The neutral did not conduct the ADR process in an impartial manner.
<input type="checkbox"/>	Rule II. Conflicts of Interest: The neutral failed to disclose conflicts of interest (e.g., the neutral had a direct or indirect financial or personal interest in the ADR process or the neutral had a current or past professional and/or personal relationship with either of the parties). OR The neutral did not withdraw from the process after failing to receive consent from both parties.
<input type="checkbox"/>	Rule III. Competence: The neutral did not have the necessary qualifications to satisfy the reasonable expectations of the parties.
<input type="checkbox"/>	Rule IV. Confidentiality: The neutral did not maintain confidentiality to the extent provided by Rule 114.08 and 114.10 and any other agreements made with the parties.
<input type="checkbox"/>	Rule V. Quality of the Process: The neutral knowingly made false statements of law or fact. AND/OR The neutral did not exert every reasonable effort to expedite the ADR process. AND/OR The neutral was late with written reports, awards, or agreements.
<input type="checkbox"/>	Rule VI. Advertising and Solicitation: The neutral was not truthful in advertising and solicitation for ADR services. AND/OR The neutral advertised as a “qualified” neutral when s/he was not on the roster. AND/OR The neutral advertised as a “certified” neutral in Minnesota.
<input type="checkbox"/>	Rule VII. Fees: The neutral failed to fully disclose and explain the basis of fees to the parties. AND/OR The neutral entered into a fee agreement that was contingent upon the outcome of the process. AND/OR The neutral violated the fee agreement.
<input type="checkbox"/>	(This rule only applies to cases where mediation was the ADR process). Mediation Rule I. Self-Determination: The parties were coerced into an involuntary mediation agreement by the neutral. AND/OR The neutral required the parties to stay in mediation against the parties’ will.

Attach copies of only relevant documents that support the allegations above, including

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| <input type="checkbox"/> Court order appointing neutral | <input type="checkbox"/> Relevant written decisions by neutral that relate to the issues in this complaint |
| <input type="checkbox"/> Fee agreements and/or agreement for services | <input type="checkbox"/> Relevant communication between you and the neutral that relate to the issues in this complaint |

If the neutral was court appointed, be sure to include the following documents with your complaint:

- Complete court order appointing neutral
- Fee agreement and/or agreement for services
- Written decisions by neutral that relate to the issues in this complaint

AVOID DUPLICATION OF EMAILS AND IRRELEVANT DOCUMENTS.

