



November 9, 2006

Catherine McGuire  
Associate Director and Chief Counsel  
Securities and Exchange Commission  
Division of Market Regulation  
100 F Street, N.E.  
Washington, DC 20549-1001

Dear Ms. McGuire:

On November 1, 2006, you asked NASD Dispute Resolution to provide you with information on the arbitrator pool for customer cases in various hearing locations. In the interest of full disclosure, we have provided this information for all United States hearing locations.

We have produced the attached report with data current as of today, showing:

1. Each hearing location (HLC) in the 50 states and the District of Columbia.
2. The number of arbitrators in that HLC who are classified as "public" under the definition found in Rule 10308(a)(5) of the NASD Code of Arbitration Procedure (Code) and in proposed Rule 12100(u) of the pending Code for Customer Disputes.<sup>1</sup>
3. The number of arbitrators in each HLC who will be designated as chair-qualified under proposed Rule 12400(c) of the pending Code revision.
4. The number of public (customer) arbitration cases that we received in the first ten months of 2006 in that HLC. This list includes both hearing and "paper" (no hearing) cases.
5. The number of public cases in which arbitrator lists were generated in that HLC in the first ten months of 2006. Please note that this includes some cases received prior to January 1, 2006 in which lists had not yet been generated.
6. The number of public cases that were closed by award in that HLC in the first ten months of 2006. Please note that some of these cases would have been filed prior to January 1, 2006.

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<sup>1</sup> We are preparing to conduct a survey of arbitrators to determine any changes in their classification that might occur as a result of a change to Rule 10308 approved by the SEC on October 16, 2006, which will become effective on January 15, 2007 (Exchange Act Release No. 54607, File No. SR-NASD-2005-094).

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In reviewing this report, please note that the number of arbitrators in columns two and three may include some duplicates. An arbitrator may have volunteered to serve in more than one hearing location (such as New York and New Jersey), and would then appear in more than one location on this chart.

I hope this information is helpful. Please feel free to contact me if you have additional questions.

Very truly yours,

A handwritten signature in cursive script, appearing to read "Linda", written in black ink.

Linda D. Fienberg

Enclosure: Arbitrator Pool Information by Hearing Location

## NASD Dispute Resolution Public Arbitrator Information

Hearing Location	Available Public Arbitrators	Available Public Chairpersons	Public Cases Received	* Public Cases - Lists Generated	Public Cases Closed by Award
			Jan-1-06 - Oct-31-06	Jan-1-06 - Oct-31-06	Jan-1-06 - Oct-31-06
Albany, NY	52	17	17	28	8
Albuquerque, NM	24	14	6	6	4
Anchorage, AK	11	4	3	1	0
Atlanta, GA	88	34	61	64	12
Augusta, ME	40	17	7	5	0
Baltimore, MD	140	46	22	29	10
Birmingham, AL	69	30	33	43	6
Bismarck, ND	44	22	1	0	0
Boca Raton, FL	309	129	227	237	61
Boise, ID	46	20	3	2	1
Boston, MA	117	40	47	53	29
Buffalo, NY	37	16	35	41	16
Charleston, WV	28	9	23	26	3
Charlotte, NC	49	22	48	62	17
Cheyenne, WY	45	26	6	8	0
Chicago, IL	202	70	85	114	37
Cincinnati, OH	19	8	13	10	6
Cleveland, OH	43	18	57	58	17
Columbia, SC	58	26	16	26	4
Columbus, OH	58	15	21	19	10
Dallas, TX	101	40	67	81	38
Denver, CO	90	38	28	32	14
Des Moines, IA	138	56	15	11	5
Detroit, MI	104	39	85	85	27
Hartford, CT	113	45	40	43	8
Helena, MT	43	20	5	4	0
Honolulu, HI	21	9	7	8	4
Houston, TX	110	44	90	94	36
Indianapolis, IN	33	11	41	41	7
Jackson, MS	42	13	8	10	2
Kansas City, MO	52	19	34	40	10
Las Vegas, NV	35	13	19	13	9
Little Rock, AR	24	8	8	7	2
Los Angeles, CA	219	116	178	170	75
Louisville, KY	26	14	24	29	11
Manchester, NH	54	22	9	8	0
Memphis, TN	23	10	12	16	5
Milwaukee, WI	49	18	35	31	8
Minneapolis, MN	73	24	53	40	8
Montpelier, VT	42	14	5	3	0
Nashville, TN	30	14	12	16	7
New Orleans, LA	45	14	83	65	20
New York, NY	677	262	260	294	106
Newark, NJ	209	102	114	111	21
Norfolk, VA	21	7	6	8	1
Oklahoma City, OK	38	15	59	19	6
Omaha, NE	21	8	7	12	4
Orlando, FL	109	68	44	51	17
Philadelphia, PA	149	67	101	131	24

\* This column includes lists that were generated for cases filed prior to Jan-1-06

NASD Dispute Resolution  
Public Arbitrator Information

Hearing Location	Available Public Arbitrators	Available Public Chairpersons	Public Cases Received	* Public Cases - Lists Generated	Public Cases Closed by Award
			Jan-1-06 - Oct-31-06	Jan-1-06 - Oct-31-06	Jan-1-06 - Oct-31-06
Phoenix, AZ	100	44	49	55	20
Pittsburgh, PA	55	10	29	38	16
Portland, OR	60	27	11	9	8
Providence, RI	69	28	6	6	1
Raleigh, NC	46	21	37	32	6
Rapid City, SD	46	21	3	4	0
Reno, NV	17	5	13	7	0
Richmond, VA	48	17	16	16	5
Salt Lake City, UT	29	12	37	36	6
San Diego, CA	84	42	38	37	19
San Francisco, CA	163	74	109	126	50
Seattle, WA	73	30	26	38	19
St. Louis, MO	52	26	47	57	16
Tampa, FL	156	84	61	64	22
Washington, DC	178	52	24	33	4
Wichita, KS	64	23	10	7	2
Wilmington, DE	123	53	15	18	1

\* This column includes lists that were generated for cases filed prior to Jan-1-06