



# SECURITIES AND FINANCE LAW SEMINAR SERIES 2014

*A Six-Part Seminar Series for Diverse Law and Business Students from New York & New Jersey Graduate Schools Featuring Leading Legal and Compliance Experts in the Financial Services Industry*

## FREQUENTLY ASKED QUESTIONS

### WHAT WILL STUDENTS GAIN FROM THIS PROGRAM?

The New York City Bar Association and the Alliance of Securities and Financial Educators (ASAFE) will conduct a six-part Seminar Series on Securities and Finance Law beginning in January 2013 for diverse students attending New York City area law schools. The sessions will be presented by leading legal and compliance practitioners (including former and current regulators). Participants will have an opportunity to learn about the nuts and bolts and cutting edge issues in securities and finance law, explore careers in securities and finance law, and develop professional networks by meeting legal and compliance practitioners. This ASAFE and New York City Bar seminar series is designed to enhance diversity and inclusion in the securities and finance industries of traditionally underrepresented groups. This includes the following categories: Black or African American, Latino or Hispanic, American Indian or Alaskan Native, Asian American, Native Hawaiian or Other Pacific Islander, Two or More Races, Women, LGBT Students, Veterans, Economically Disadvantaged Students and Students with Disabilities.

### WHEN AND WHERE WILL THE SEMINAR SERIES TAKE PLACE?

- **January 25 | Overview of Securities and Finance**
- **February 7 | The Life of a Deal, *Guggenheim Partners LLC***
- **March 21 | Enforcement**
- **March 28 | Whistleblowing, Three Roles-Plaintiff's Counsel, Regulator and In-House Counsel, *Guggenheim Partners LLC***
- **April 5 | Corporation Finance**
- **April 19 | Investment Management**

All seminar dates fall on a Friday and will be conducted from 4pm—7pm at the New York City Bar Association, located at 42 West 44th Street in New York City, unless otherwise noted. Participants are expected to attend all seminars.

### HOW CAN I GET INVOLVED?

We welcome the participation and support of practitioners, law school faculty and staff and event volunteers.

- Practitioners and law school faculty and staff can serve as student advisors and provide career strategies and networking support
- Event volunteers can assist with event orientation, event management and support
- Please let others know about this exciting six-part seminar series

If you would like to participate, please contact Clare Plunkett at [cplunkett@nycbar.org](mailto:cplunkett@nycbar.org).

**HOW WILL STUDENTS BE SELECTED TO PARTICIPATE?**

Candidates' materials will be reviewed by an Application Review team. Students are also required to submit a typewritten statement of interest. The Series is limited to 100 students.

**HOW DO STUDENTS APPLY?**

Interested students must submit an application and resume for consideration. Application materials will be available on the New York City Bar and ASAFE websites, at the following links:

<http://asafealliances.org/> and <http://www.nycbar.org/ASAFE>

The application deadline is **December 31<sup>st</sup>**.

**For more information, please contact Clare Plunkett, Administrator of Diversity Pipeline Initiatives at the City Bar at [cplunkett@nycbar.org](mailto:cplunkett@nycbar.org)**