



SECURITIES AND FINANCE LAW SEMINAR SERIES

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

FREQUENTLY ASKED QUESTIONS

SEMINAR SERIES BACKGROUND

The New York City Bar Association and the Alliance of Securities and Financial Educators (ASAFE) will for a third season conduct a dynamic six-part Seminar Series on Securities and Finance Law and Business beginning in January 2015 for diverse students attending New York City area law schools and business schools. The sessions are presented by a select group who serve as faculty made up of senior legal, business, finance and compliance experts and investment experts (including major law firm partners, in-house law and business partners and former and current Securities and Exchange Commission regulators). Participants will have an opportunity to learn from faculty about the nuts and bolts and cutting edge issues in securities and finance law and business. They will also be offered advanced analysis of niche careers in securities and finance law and financial services from innovators who have shaped these professional domains. As a compliment to the faculty, industry Advisor-Volunteers are a key part of each session, offering students access to their professional experiences, and their networks drawn from early, mid-level and senior positions.

WHAT WILL STUDENTS GAIN FROM THIS PROGRAM?

This ASAFE and New York City Bar seminar series is designed to identify and select high performing students, committed to careers in securities and finance, to deepen and accelerate technical content acumen and their executive leadership skills. This mission aims to increase the competitive strength of diverse talent advancing their long-term careers to compete for the highest levels of executive positions in the industry. Our methods include building progressive strategies for competing at all levels of jobs in the securities and finance industry, including entry-level positions. Our efforts are intended to increase diversity and inclusion in the securities and finance industries of traditionally underrepresented groups. This includes the following categories: Women, Black or African American, Latino or Hispanic, American Indian or Alaskan Native, Asian American, Native Hawaiian or Other Pacific Islander, Two or More Races, LGBT Students, Veterans and Members of their Families, First Generation Graduates, Economically Disadvantaged Students and Students with Disabilities.

WHEN AND WHERE WILL THE SEMINAR SERIES TAKE PLACE?

Seminar topics, dates and faculty are listed on the website at the following link: www.nycbar.org/asafe

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, and at mid-town locations for Morgan Stanley and Guggenheim Partners. Participants are expected to attend all seminars to earn the award of an ASAFE Certificate. There is no charge to the students, or the schools.

HOW CAN I GET INVOLVED?

We welcome the participation and support of law and business professionals, law and business school faculty and staff and event volunteers:

- Practitioners and graduate school faculty and staff engage with small groups of students at the last portion of each session. Students are encouraged to ask a variety of questions that enrich their understanding of content presented as well as career development strategies. Network currency is built with volunteers during this segment of each session as well as among student peer participants.
- Event volunteers assist with event orientation, event management and support (e.g., by assisting with registration, AV logistics and support and offering ideas for content and teaching methods for the sessions.)
- Share information about this series with your network and encourage their participation.

WHAT ARE THE TAKEAWAYS FOR ADVISOR-VOLUNTEERS?

Advisor-Volunteers will take away the following new ideas from the seminar series:

1. The value of informally and repeatedly accessing diverse talent for consideration for your company or firm—either early or later in their careers; and
2. Your own company's or firm's Diversity and Inclusion practice area innovations, as well as the opportunity to satisfy your company's or firm's requirements for demonstrating leadership and knowledge development in diversity and inclusion;
3. The opportunity to network with faculty and other AVs for one's own career development; and
4. A gratifying intellectual exchange with emerging talent who are among the future leaders of the industry—and who provide insights that bridge divides created by demographics, e.g., by generation.

Advisor-Volunteers will also have the opportunity to access cutting edge updates in the securities and finance domains from some of the most experienced and leading practitioners in the form of visual mapping and stories of highly successful transactions and compliance engagements, information that can advance your development as well.

An orientation for Advisor-Volunteers will be held at the offices of Guggenheim Partners on **January 28th** from 6pm-7pm. The orientation sessions for Advisor-Volunteers and students are key for level-setting the content, learning objectives and teaching methods for this one-of-a kind seminar series experience.

HOW DO I REGISTER TO PARTICIPATE AS AN ADVISOR-VOLUNTEER?

If you would like to participate, please fill out the Advisor Volunteer Registration Form at the following link: <http://bit.ly/17P2Oak>. Please direct any questions to Gabrielle Brown at gbrown@nycbar.org or Nate Saint Victor at nate.saintvictor@morganstanley.com.

HOW WILL STUDENTS BE SELECTED TO PARTICIPATE?

An Application Review team will review candidates' materials. The Series is limited to 100 students.

HOW DO STUDENTS APPLY?

Interested students must submit an [application and resume](#) for consideration (eligibility requirements listed on the website.) Application materials will be available on our website at <http://www.nycbar.org/ASAFE>

The student application deadline is **January 1st**.

Notification of acceptance will be conveyed by January 15th and the Student Orientation will be held on January 30th.

For more information, please contact Clare Plunkett, Diversity Coordinator at the New York City Bar at (212) 382-6772 or cplunkett@nycbar.org or Nancy Burnett, President of ASAFE nburnett@asafealliances.org.