

Study Securities Law in Washington, D.C. Securities Law Program



25 YEARS OF EXCELLENCE



- Washington, D.C., location provides unparalleled externship opportunities
- Opportunity to live and study at the center of government securities regulatory law
- Many of the nation's foremost securities law practitioners and regulators lend their expertise to CUA's Securities Law Program
- Proven track record of student and alumni success



The Catholic University Of America
Columbus School of Law

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SECURITIES LAW INSTITUTE



What does the Securities Law Program provide the participating student? At its root, the program seeks to instill in all participants certain basic core competencies. These include familiarity with a variety of substantive topics of current and enduring importance within securities regulation, an ability to interpret and apply regulatory, administrative, and judicial pronouncements to issues arising within these fields, corresponding legal writing capacities, and a degree of advocacy skills.

The successful student also gains a practical understanding of how the industry works. This is acquired by participating in one or two requisite externships. Examples include the Securities and Exchange Commission, the Commodity Futures Trading Commission, and the Financial Industry Regulatory Authority. In addition, participants gain a sophistication that comes from interacting with and developing relationships with industry personnel. This may be through classroom discussion with adjunct instructors who come from the industry, meeting with leaders in the securities field who frequently speak at the law school, learning from alumni mentors who are willing to share their career experiences, and from working within the internship programs. Finally, the program instills a confidence that comes from the knowledge that many of our alumni have already succeeded throughout the industry, and they are often willing to lend assistance to those who follow in their steps.

But why should today's student want to become a securities lawyer? Perhaps it's the knowledge that as a securities attorney, you will be in a position to sustain and advance the most sophisticated financial economy in the world. You may be stimulated by the challenge of working with the sharpest and most technically attentive minds within the legal profession. Most important, those who seek to work in securities law realize that they will be playing an integral role in supporting the capital system that manages to bring the greatest good to the most people throughout the world.

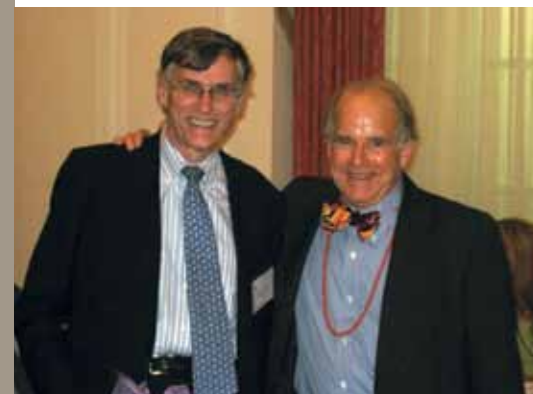
Whatever your motivation for choosing the Securities Law Program, the Columbus School of Law is committed to providing students with a comprehensive, experiential-based, motivational course of study with a proven track record. Our program has been training some of the finest securities lawyers in the country for decades. Our graduates are partners at many of the nation's top corporate/securities law firms in Washington and in many major financial centers. Our alumni hold prominent positions within a range of federal regulatory agencies, with self-regulatory authorities, and on Capitol Hill.

The program encourages hard work in a nourishing atmosphere that allows the student to preserve his or her own special identity and values while enjoying the practice of securities law.

— David A. Lipton

David A. Lipton Director, Securities Law Program

- B.A. Cornell University; M.A. Columbia University; J.D. University of Michigan law school.
- Practiced securities and corporate law with the New York firm of Debevoise & Plimpton.
- Professor, Case Western Reserve University School of Law.
- Attorney Fellow, Securities and Exchange Commission, Division of Market Regulation. Competition.
- Professional Appointments: chair and member, National Association of Securities Dealers' National Arbitration Committee; two terms on NASD's (now FINRA) National Market Regulation Committee, in addition to one term on its National Adjudicatory Committee; director, Municipal Securities Rulemaking Board where he chaired the Audit Committee; current member, Board of Advisors, SEC Historical Society; chair, vice chair, and member, Steering Committee, D.C. Bar's Section on Corporations, Finance and Securities.
- Author: *Treatise on Broker-Dealer Regulation*. This treatise is considered the standard reference guide in the securities legal community.



Keys to Success

The Securities Law Program is one of the best known certificate-granting law programs in the nation's capital. For nearly 30 years, it has seeded the ranks of key governmental and regulatory agencies, major corporate/securities law firms, and business support groups with its graduates. Program alumni occupy leadership positions in private firms as well as the Securities Exchange Commission, the Commodity Future Exchange Commission, the Financial Industry Regulatory Authority, and numerous trading systems. What is the recipe for success? In a word: people.

Faculty

The Securities Law Program attracts terrific instructors—distinguished attorneys in local securities law practice. They provide a varied course load of substantive topics essential to the emerging practitioner. They care deeply about advancing the careers of students and are committed to imparting their knowledge and skill on to the next generation. Our instructors have included:

- Former general counsel of a prominent federal financial oversight body
- Former general counsel of a national securities exchange
- Director of enforcement of a major self-regulatory body
- Several assistant directors of federal regulatory oversight bodies
- Partners in leading financial service law firms
- Founder of a thriving “boutique” securities firm

Alumni

Our graduates appreciate the professional edge that comes with a certificate from Catholic University's Securities Law Program. They seek to give back by assisting today's students in every way possible. A Securities Law Program alumnus stands ready to help with employment searches. They are mentors, career coaches, and subject experts who participate personally in our lecture panels and symposia and use their professional connections to help bring some of the foremost speakers in the Washington area.

“The Securities Law Program provided the resources and support to launch me in a career in securities law. When I started out as a summer associate, I realized that I had a background in virtually every regulatory area in this field, which allowed me to hit the ground running in the Broker-Dealer Regulatory and Compliance Group at WilmerHale.”

Elena Schwieger, Class of 2009
Associate, WilmerHale



One of our national championship teams in the Annual Irving R. Kaufman Memorial Securities Law Moot Court Competition.



Representatives from leading law firms and government regulatory agencies such as the SEC and FINRA discussed career opportunities in the securities field with D.C.-area law students.



CUA's Securities Law Program supports the SEC Historical Society with a check.



Professor Lipton is frequently tapped by national media for his expertise in securities law.

How to Apply

Students should submit an application for admission to the institute along with their application to the Columbus School of Law. Information and an application form can be found at <http://www.law.edu/clinics/institutes/instituteapps.cfm>.

Contact Information

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Recent Speaker Programs

The Flash Crash of 2010: What Happened?

Greg Berman, Senior Adviser to the Director of Trading and Markets United, SEC

Rewriting the Rules for Corporate Boardrooms

Roel Campos, Former Commissioner, SEC; Partner, Cooley LLP

Sub-primes: How Did We Get Here and How Are We Getting Ourselves Out?

Ramon de Castro, Senior Vice President for Capital Markets Mortgages, Fannie Mae

Implications of the Dodd-Frank Act

Richard Ketchum, Chairman and CEO, FINRA

Current Enforcement Issues at the SEC

Robert Khuzami, Director, Division of Enforcement, SEC

The Beginning of the Financial Crises; Loose Lending Practices and Accounting Fraud; The Investigation of New Century and KPMG

Michael Missal, CUA Law 1982, Partner, Kirkpatrick & Lockhart Preston Gates Ellis LLP

Current Issues in Securities Regulation...a Commissioner's Perspective

Troy Paredes, Commissioner, SEC

Mutual Recognition: Regulating the Global Securities Markets

Erik R. Sirri, Former Director of Market Regulation, SEC

A Symposium to Enhance Diversity of Legal Employment within the Securities and Financial Services Industry

Elisse B. Walter, Commissioner and Former Acting Chair, SEC

"Electing to participate in CUA's Securities Law Program was one of the best decisions of my legal career. The program provides an excellent, broad-based securities education, as well as real-world training and mentorship. Moreover, I have found the program's reputation to be stellar among securities law practitioners."

Paul J. Delligatti, Class of 2006
Associate Attorney, Goodwin Procter LLP, Washington, D.C.
