Students interested in pursuing a certificate in Securities Law are encouraged to apply for admission to the Securities Law Program at the same time they apply to the Law School. An application may be obtained online at law.edu/slp, by contacting the Office of Institutes and Special Programs at institutes@law.edu, or by phone at (202) 319-6081.

A Message From The Director

Why Should You Be Interested in the CUA Securities Law Program?

To be frank, that is a question that ONLY you can answer.

• Do you harbor a passion for understanding how American industry raises capital to produce the goods and services that it provides?

• Do you have an interest in working within the regulatory system that allows the United States to operate the most efficient securities market in the world?

• Do you have a desire to work hand-in-hand with perhaps the sharpest and most talented attorneys in this country in crafting our regulatory system and in litigating both for the regulators, market participants, and industry personnel in order to generate a vibrant, sophisticated and inviting securities trading market?

• Do you seek to play an integral role in supporting the capital system that manages to bring the greatest good to the most people amongst the developed economies?

If you think you can answer “yes” to any of those questions, then you might want to join dozens of your fellow students in signing up for our Securities Law Program.

What does the Program provide the participating student?

At its root, the Securities Law 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 impacting upon securities regulation; an ability to interpret and apply regulatory, administrative, and judicial holdings to issues arising within the securities field; enhanced legal writing capacities; and an enrichment of advocacy skills. The successful student also gains a practical understanding of how the securities industry works.

These competencies are acquired through classes, problem solving courses, internships, public lectures, writing requirements, and the opportunity to participate in the securities moot court competition.

In addition, participants gain a sophistication that comes from interacting and developing relationships with industry personnel. This interaction may arise through classroom discussions with industry adjunct instructors, meeting with leaders in the securities field who frequently speak at the law school, learning from alumni mentors who are eager 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 within the industry, and they frequently lend assistance to those who follow in their steps.

— David A. Lipton

Alumni Community and Employment Opportunities

The Securities Law Program has a tightly knit alumni base working in Washington, D.C., New York, Boston, and in other financial centers. Our alumni are committed to providing to those rising through the ranks of the program with the kind of assistance received when they were students at the Law School. Many alumni actively participate in the Program’s Mentor-Protégé system. Our alumni populate the SEC, the CFTC, FinRA, and virtually every major securities firm in cities throughout the United States. Graduates of the Program have served as general counsels and Assistant Directors of Securities trade associations, Securities regulatory agencies, major business corporations, the CEO of a major securities exchange, a Commissioner of the SEC, and other significant positions.

Recipe for Success: No one can promise you a job but, SLP’s track record suggests that conscientious pursuit of employment by our graduates, often with the support of alumni and the Program Director, generally leads to success in the Securities industry.

Application Process

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SEC Student Observer Program.

Externship: Becoming a Lawyer and Legal Externship: Supervised Fieldwork or at least one of which must be for three credits while concurrently enrolled in Legal Light Course, Two Externships Standard

Becoming a Lawyer or SEC Student Observer Program.

Candidates of the Securities Law Program (SLP) may select from the following Curricular Requirements

Required Courses
- Corporations
- Securities Regulation: Issuance
- Securities Regulation: Trading
- Electives (either two or three required)
- Corporate Finance Seminar
- Securities Law Practitioner
- Securities Compliance
- Derivatives Seminar
- Security Regulation
- Corporate Law
-3 Credits

Light Course, Two Externships Standard
- must enroll in the three required courses, three elective courses, two co-curricular courses, and complete one externship for 3 credits while concurrently enrolled in Legal Externship: Becoming a Lawyer and Externship: Supervised Fieldwork or SEC Student Observer Program

Curricular Requirements

The Securities Law Program offers an enhanced curriculum to students interested in gaining basic core competencies within securities regulation. The Program is committed to providing students with a comprehensive, experiential-based, motivational course of study with a proven track record.

SLP Requirements and Offerings

Faculty

The Securities Law Program attracts stunningly sharp, dedicated and caring instructors. With our Law School’s location in Washington, D.C., our faculty come from both large and boutique securities law firms, government agencies, and regulatory bodies. The instructors have reputations for their knowledge, their commitment to the students, and their ability to convey information to their classes.

Within the past decade the following courses have been taught by these talented instructors:

- Our mutual fund course has been taught by a major partner from a well-known D.C. litigation firm.
- Our unique derivatives course was founded by the head partner of a boutique derivatives and broker dealer shop (which regularly hires our graduates) along with a former general counsel of the CFTC who played a major role in drafting the derivative provisions of the Dodd-Frank Act.
- The SEC Enforcement Course is instructed by the Chief Counsel of the Division of Enforcement.
- In recent years, we initiated a well-received course in Securities Compliance taught by the former general counsel of the Municipal Securities Rulemaking Board (MSRB) who wrote the compliance procedures for that Municipal Securities regulatory agency.
- We also have notable instructors teaching Corporate Finance, Securitization of Assets, Securities Regulation Issuance, and Securities Regulation Trading.

Recent Speaker Programs

Unicorns in the Land of Securities Law

Tony A. Paradis, Former SEC Commissioner

Remote Development in the Commission's Enforcement Program

Stephanie Avakian, Co-Director, U.S. Securities and Exchange Commission's Division of Enforcement

How Decriminalization Has Led to the Rise of Computerized Trading

Chris Concannon, President & CEO of CBOE/BATS

Legal Externships and Clinics

One of the many virtues of joining the Securities Law Program is the wide variety of legal externships in the field of securities law available in and around the Capital. These externships can be taken for credit or not for credit (though at least one has to be taken for credit). Some externships are compensated. Externships are with the government, trade associations, self-regulatory authorities, or other securities industry companies.

Below are various locations in which students from the Securities Law Program have interned in recent years:

- The Securities Exchange Commission (SEC)
- The Commodity Futures Trading Commission (CFTC)
- The Financial Industry Regulatory Authority (FINRA)
- The Federal Deposit Insurance Corporation (FDIC)
- The Securities Industry and Financial Markets Association (SIFMA)
- North American Securities Administrators Association (NASAA)
- The Investment Advisor’s Associations (IIA)
- The Small Business Association (SBA)
- The London Stock Exchange (LSE) in North America
- E*Trade Financial
- The Federal Reserve Board (FRB)
- Moody’s Stock Advisor
- Investment Company Institute (ICI)
- The Consumer Financial Protection Bureau (CFPB)
- The Rock Creek Group (Global Investment Management)
- Bloomberg News (Regulation and Regulatory Issues)

David A. Lipton

Director, Securities Law Program

Recent Developments in the Commission's Enforcement Program

Stephanie Avakian, Co-Director, U.S. Securities and Exchange Commission’s Division of Enforcement

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- The Investment Advisor’s Associations (IIA)
- The Small Business Association (SBA)
- The London Stock Exchange (LSE) in North America
- E*Trade Financial
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