



June 1, 2015

To: University Career Placement Officers
Fr: Jim Toes, President & CEO, STA
Re: Screening financial firms who offer student internships with FINRA's "Broker Check".

Dear Career Placement Officer,

The Security Traders Association, ("STA")¹ is a unique trade organization of securities-industry professionals, comprising 24 affiliate organizations in the United States and Canada. We are an advocate for the financial services industry. The STA provides its members and the general public with educational content on industry issues and fosters goodwill and high standards of integrity in accord with our founding principle, Dictum Meum Pactum – "My Word is My Bond".

The purpose of this letter is to raise awareness on an industry resource which we feel is an effective tool in screening firms and individuals who offer student internships in the financial services industry. The Financial Industry Regulatory Authority, "FINRA" is the largest independent regulator for all securities firms doing business in the United States. FINRA's Broker Check² enables the public to obtain regulatory current and historic information-including regulatory actions and violations on over 600,000 registered individuals and 4,000 securities firms.

The demand for internships in the financial services industry is great. In addition, most students lack the knowledge to determine an internship which presents a good opportunity from one in which they may be exploited. We therefore encourage you, in your role as career development officers to employ FINRA's Broker Check in whatever process you currently use in screening firms and individuals who offer internships.

The STA realizes that in order for our industry to compete on a global scale it needs to attract and retain the brightest minds of this generation. Ensuring that a young person's first experience in the financial services industry is a positive one helps achieve that goal.

Please do not hesitate to contact the STA or any of our 24 affiliate organizations with any inquiries.

Sincerely yours and proud to be,

Handwritten signature of James Toes

James Toes, President & CEO

¹ STA is a trade organization founded in 1934 for individual professionals in the securities industry. STA is comprised of 24 Affiliate organizations with 4,200 individual professionals- most of who are engaged in the buying, selling and trading of securities. www.securitytraders.org

² http://brokercheck.finra.org/

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