

March 27, 2020

Good Afternoon,

Chairman
Chris Halverson
CAPIS
Dallas, TX

President & CEO
James Toes
Security Traders
Association
New York, NY

Vice Chairman
Andrew D'Amore
Virtu
Chicago, IL

Treasurer & Secretary
Ryan Kwiatkowski
INTL FCStone
Winter Park, FL

Past Chairman
Doug Clark
Toronto, Ontario

Governors

Julie Address
KeyBanc Capital
Markets
Cleveland, OH

Rizwan Awan
Toronto, Ontario

James Bohrer
Allvue Systems
Chicago, IL

David Hagen
Luminex Trading &
Analytics
Boston, MA

James Hyde
ICE NYSE Options
New York, NY

Patricia Koetzner
Siebert Williams Shank
& Co.
New York, NY

Kate McAllister
Global Liquidity
Partners
New York, NY

Chip Miller
INTL FCStone
Dallas, TX

Cass Sanford
OTC Markets
New York, NY

On behalf of the Security Traders Association (STA), a trade association that serves **individuals** employed in the financial services industry, we are reaching out to universities across North America. [STA](#) was founded in 1934, the same year the SEC was formed to regulate the issuance and sale of corporate securities to investors and bolster public confidence in the stock market. Today STA has 24 affiliates across the U.S. and Canada, all run by volunteers.

Over time and through our affiliate organizations, STA has established contacts with various academics and career placement officers. We believe now is a good time to expand these relationships with the goals of: serving students who are interested in a career in financial services, and improving communication between industry and academics. To achieve these goals, STA has created two distribution channels that include certain reports, memberships and updates. Please forward this on to appropriate colleagues within or outside of your respective university, and encourage them to contact us if they are interested in joining this community.

Academics

Academics will be added to STA's Market Structure Analyst list, receiving on average two emails per month that will include STA comment letters, talking points and other topics of interest.

Career Placement Officers

SIE Exam – In 2019, FINRA introduced the Securities Industry Essential (SIE) Exam. Unlike the Series 7, which required a broker dealer to sponsor an individual to take the exam, individuals can take the SIE on their own. We have found that students are taking the SIE to stand out when applying for internships or jobs. More information on the SIE can be found [here](#).

FINRA BrokerCheck & SEC Investor.gov

The demand for internships is great. STA recommends using FINRA's BrokerCheck and the SEC's Investor.gov portals for screening firms that recruit. Information on both can be found [here](#).

STA also offers free Student in Finance memberships. More information can be found [here](#).

We look forward to building a community with this group and the students we serve.

Warmest Regards,



Chris Halverson
Chairman of the Board



James Toes
President & CEO