March 27, 2020

Good Afternoon,

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