

**From:** Georgia State Law Investor Advocacy Clinic investoradvocacy@gsu.edu  
**Subject:** Latest Developments at Georgia State Law's Investor Advocacy Clinic  
**Date:** August 22, 2017 at 8:01 AM  
**To:** Law Faculty lawfaculty@gsu.edu



## 2016-17 Year in Review

As we begin our fifth year this fall, the Investor Advocacy Clinic reflects upon another successful year. With 12 dedicated student interns working during the 2016-17 school year, the clinic continued to advance its dual goals of investor representation and education. A few highlights of our work:

**33** Investor matters handled by student attorneys

**1,500+** Hours of legal services provided by student attorneys

**\$193,000** Dollar value of legal services provided

**120+** Student-authored investor education pieces

**9** Comment letters evaluating FINRA/SEC rules





## *Investor Advocacy Clinic, Secretary of State Office Develop Valuable Resources about Robo-Advisers*

Through its partnership with the Securities Division of the Office of the Secretary of State, Georgia State Law's [Investor Advocacy Clinic](#) (IAC) enhanced investor education with students tackling a cutting-edge technology issue that impacts the security industry – robo-advisers – and creating a resource library.

The securities division partnered with the North American Securities Administrators Association (NASAA)

to learn more about these tools, and the clinic played a critical role in evaluating the pros and cons of robo-advising. Under the direction of Nicole G. Iannarone, assistant clinical professor and clinic director, students compiled and analyzed information relating to robo-advisers, which are investment management programs that select and manage individual portfolios.

[Read More](#)



## **Clinic Helps Shape Regulations Via Comment Letters**

When the Financial Industry Regulatory Authority (FINRA) considers adopting a rule — or amending an existing one — that will



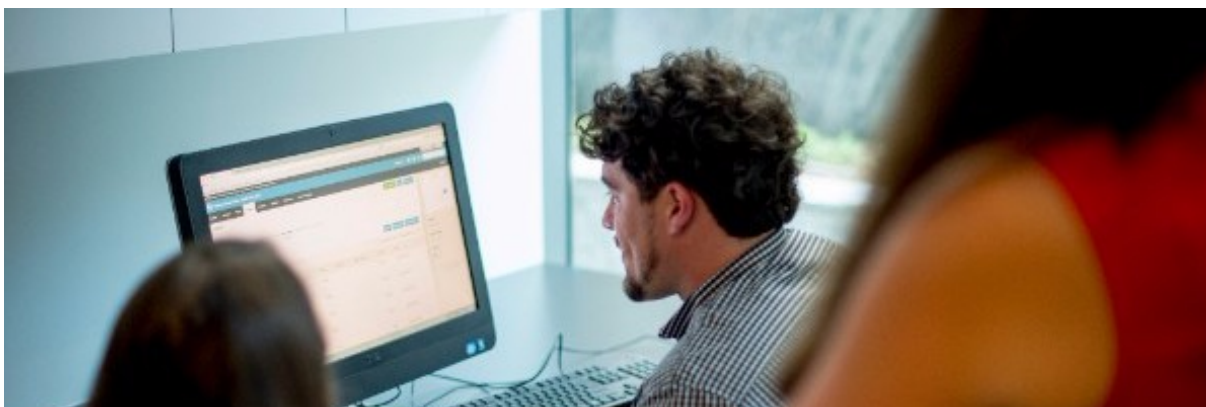
govern an aspect of the relationship between brokers and investors or their employers, it solicits comments from practitioners and the public. As part of its mission of serving regular investors, Georgia State Law's Investor Advocacy Clinic regularly evaluates FINRA rule proposals and submits comments. [Read More>>](#)

## **Investor Advocacy Clinic: Our Little Law Firm**

**By Qudsia Shafiq, Student Intern**

I entered the Investor Advocacy Clinic with the naive goal of mastering securities. While I may not have "mastered" securities, I certainly achieved my goal of learning about securities and securities-related laws...

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## **IAC Joins Comment Advocating for Financial Support of Securities Arbitration Clinics**

FINRA recently [requested comments on its engagement initiatives](#), which include investor education and outreach. In response to the request for comments, Investor Advocacy Clinic Director Nicole G. Iannarone joined with twelve other clinical professors to request that FINRA ensure its engagement programs support clinics that offer investors free legal services in disputes with their brokers. The comment letter, available in full [here](#), advocates for financial support of law school securities arbitration clinics. [Read More>>](#)



## **Clinic Comments on NASAA Proposed Policy Concerning Electronic Documents and Signatures**

Fall 2016 Clinic I intern Mary Ann Hanke (JD '17) [commented](#) on the North American Securities Administrators Association's proposed policy statement concerning electronic offering documents and signatures. Praising the policy for its intent to increase access to information, Hanke suggested that NASAA also consider issues of privacy, security, and ensuring that documents are delivered in a format that encourages them to read them.



## Clinic: My Home Away From Home

By my third semester, I had handled multiple client matters from start to finish, conducted settlement negotiations, worked with opposing counsel, drafted countless legal documents, but more importantly gained the confidence in myself and my abilities to be the kind of attorney I know I can be. [Read More>>](#)



## Clinic Comments on FINRA Proposal to Require Electronic Portal for Proceedings

Fall 2016 Clinic II intern Michael Williford (JD '17) commented on FINRA SR-2016-029, a proposal that would require all parties who are represented in a FINRA proceeding to use FINRA's electronic Party Portal. [Read More>>](#)

## Representing the Small Investor Information for Potential Clients: Are you Eligible?

Georgia State Law's Investor Advocacy Clinic provides legal services to small investors with claims against their broker-dealers who are not able to find legal representation due to the size of their claims. Law students, under the supervision of a Georgia-licensed attorney, represent investors in handling disputes with their broker-dealers that are subject to arbitration before FINRA. Are you or someone you know eligible for our services? [Learn more>>](#)



## IAC Smooths Transition from Student to Lawyer

By Majda Muhic (J.D. '17), Student Intern

I walked into the clinic my third year of law school clueless about securities law and eager to gain practical lawyering skills that, I hoped, would ease my transition from law school to practice. I will walk out of my first clinic semester with a solid understanding of FINRA arbitration and an understanding of securities and securities law that only two months ago seemed insurmountable. [Read more>>](#)

## Be an Informed Investor: Subscribe to Our Blog

Access the Investor Advocacy Clinic's investor education resources anytime and from anywhere. Our [clinic blog](#) provides tips and tricks to avoid becoming a victim of investment fraud and to learn more about investing.



## Professors Join Atlanta Bar Leadership

Members of the [Atlanta Bar Association](#) elected [Margaret Vath](#), instructor of law, as president, [Nicole G. Iannarone](#), assistant clinical professor and director of the Investor Advocacy Clinic, as vice president/president-elect, and [A. Craig Cleland](#) (J.D. '92) as treasurer. [Read More>>](#)



## Alumni and Judges Facilitate Professionalism Sessions During Orientation This Year

Each fall, the [State Bar of Georgia's Professionalism Committee](#) and the [Chief Justice's Commission on Professionalism](#), host a professionalism orientation for incoming students at all six law schools in Georgia to discuss the personally and professionally challenging nature of professionalism issues, which they may face in school and as practicing attorneys. [Nicole G. Iannarone](#), assistant clinical professor and chair of the Professionalism Committee, helped organize this year's programs including the one at Georgia State Law. [Read More>>](#)

### Spread the Word

Tell others you know about the Investor Advocacy Clinic and the services it provides. We are a resource to investors who are not otherwise able to find an attorney. Help us ensure that the community knows we are here to help and can call us if they have a problem.





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