

**From:** Georgia State Law Investor Advocacy Clinic investoradvocacy@gsu.edu  
**Subject:** Latest Developments at Georgia State Law's Investor Advocacy Clinic  
**Date:** May 31, 2018 at 4:00 PM  
**To:** Ted Afield wafield@gsu.edu



## Georgia State Law to Host SEC Town Hall

The [U.S. Securities and Exchange Commission](http://SEC.gov) (SEC) Atlanta Regional Office will host an Atlanta Investor Town Hall from 2 to 4 p.m. Wednesday, June 13, at Georgia State University College of Law, 85 Park Place NE.

All five commissioners are participating and will explain SEC initiatives aimed at helping investors and share tips on how to protect investments. Attendees will have the opportunity to hear information directly from SEC leaders and ask questions. [Read More>>](#)

## Investor Education Fair Tale: The Three Little Pigs

## Investor Education Party Tails: The Three Little Pigs

As our student lawyers develop a new vocabulary through their clinic work, they become ever more committed to sharing their new investment knowledge to others in fun and creative ways. Over the fall 2017 and spring 2018 semester, student attorneys Eric Peters, Megan Makuck, Qudsia Shafiq, Abigail Howd and Dowdy White collaborated to rewrite a classic, *The Three Little Pigs*, into an animated storybook following the three little pigs as they embark on their investing journeys. [Learn More>>](#)



### Professor Vath Hands Atlanta Bar Association Presidency Off to Professor Iannarone

In May, the [Atlanta Bar Association](#) leadership transferred from [Margaret Vath](#), senior lecturer in law, to [Nicole Iannarone](#), associate clinical professor—the first time presidents representing a law school have served in immediate succession.

Before entering academia, Iannarone was in private practice that modeled giving back and encouraged leadership as a way to do so. At Georgia State Law, she found an environment that encourages engagement with practicing lawyers.

As its president for the 2018-19 term, Iannarone wants to capitalize on the Atlanta Bar's strengths and the things that make people want to be part of the organization. [Learn More>>](#)

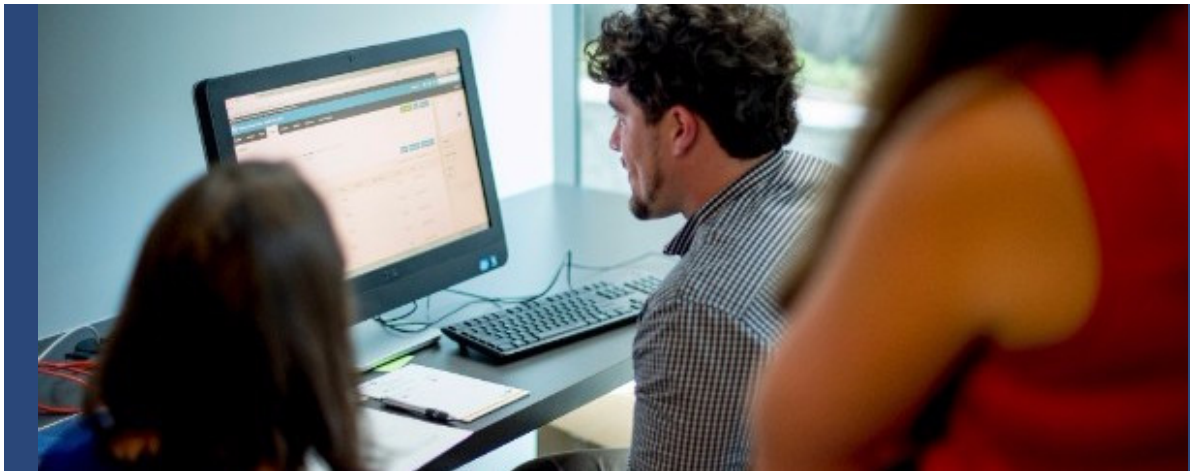


## Clinic Attorneys Monitor and Comment on Regulatory Developments Impacting Retail Investors

In addition to their work representing investors who have claims against their brokers, each semester, our Investor Advocacy Clinic student attorneys monitor proposed FINRA and SEC regulatory changes and comment on those that may impact our typical client: regular people.

- Interns Ben Dell'Orto, Esmat Hanano and Alisa Radut commented on FINRA Regulatory Notice 17-42, a proposal suggesting changes to the expungement process (comment available [here](#)) and FINRA Regulatory Notice 18-06, a proposal that would add protections for retail investors by creating a more rigorous application process for broker-dealers joining and moving between firms (comment available [here](#)).
- Interns Abigail Howd, Eric Peters, and Dowdy White worked together to comment on FINRA SR-2018-003, a proposal that would provide additional options to investors with smaller claims (comment available [here](#)) and SR-FINRA-2018-012, proposal that would eliminate the \$400 fee for explained decisions (comment available [here](#)).





## Clinic Seeks Economic Justice for Retirees

Most Americans are responsible for funding their own retirements. Many households with individuals nearing retirement age have no retirement savings, and those few that do have built an average nest egg of about \$20,000.

Through decades of hard work and saving, many entrust their savings to a stockbroker to obtain professional help and guidance. However, if something goes wrong in their securities account, even if it means their entire life savings are lost, many Americans have few places to turn. If an investor loses up to \$100,000 in a brokerage account, it is nearly impossible to find a lawyer willing to take on a lawsuit against the stockbroker or brokerage. [Read More>>](#)



**Investor Advocacy Clinic Offers Night Students Flexibility**

## Investor Advocacy Clinic Offers Night Students Flexibility and Practical Experience

Georgia State Law's program allows full- and part-time students to learn and gain practical experience while taking care of work and family commitments. The Investor Advocacy Clinic, offered in the evening, enables students with daytime responsibilities to represent people with disputes with their broker.

"Georgia State Law's student population is rich in experience and background. By holding the Investor Advocacy Clinic at night, we and our clients reap the benefit of our student body's diverse skill sets and expertise," said Nicole G. Iannarone, assistant clinical professor and clinic director.

Alisa Radut (J.D. '19) is a part-time law clerk and full-time student, who takes day and evening classes. After working for nearly nine years as an accounts manager, she realized she wanted more from work and life and decided to pursue law school. [Read More>>](#)

### What Does Your Favorite Chicken Nugget Dipping Sauce Say About What Type of Investment You Are?

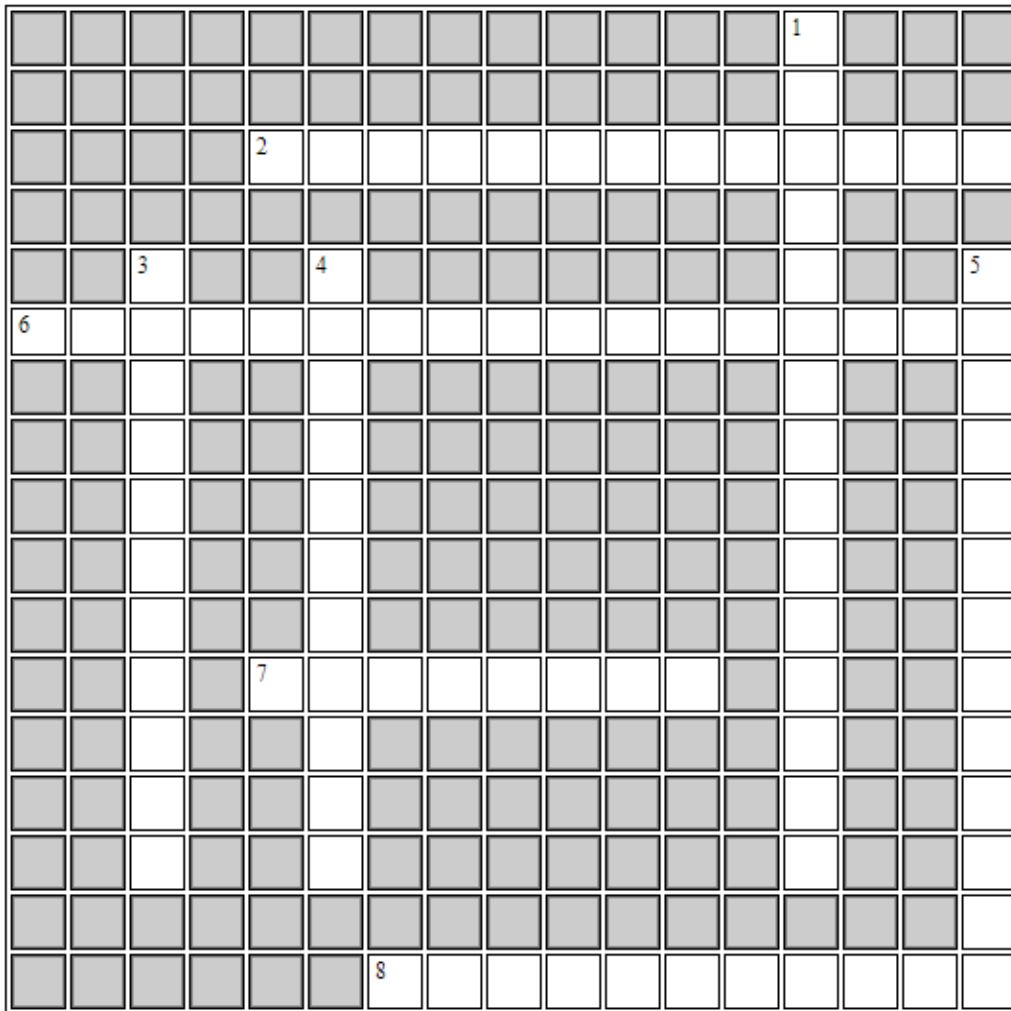
At the Investor Advocacy Clinic, we believe in making learning about investing fun. What is a more fun way to learn about investing than a BuzzFeed quiz? No, it isn't scientific, and yes, it is only for fun. But your regular life choices mirror some investments, and you might learn something about investing from this quiz created by student attorneys [Abigail Howd](#), [Eric Peters](#), and [Dowdy White](#). Click [here](#) to learn what your favorite chicken nugget dipping sauce tells us about what type of investment you might be.

## Learning and Helping Others

Our clinic helps investors from all walks of life who have smaller-dollar claims and who could not otherwise afford legal representation. They have many different reasons for investing. Some are planning for retirement, others are trying to help their children attend college, and still others are simply using investments as an additional form of income. Regardless of how much money people invest or their reasons for doing so, the important part is that whomever they entrust with their money has their best interests at heart.



[Read More>>](#)



## Investor Education Crossword Puzzles

Over the fall 2017 and spring 2018 semesters, Investor Advocacy Clinic student attorneys Lynn Mckeel, Robert Noens, Alisa Radut, Ben Dell'Orto, and Esmat Hanano developed an innovative way to help investors learn about risk and assess their new knowledge: crossword puzzles. After learning about the substantive areas of investing, test yourself. Click [here](#) to try out our first crossword puzzle, and check back with our [blog](#) for more puzzles!

# 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>>](#)

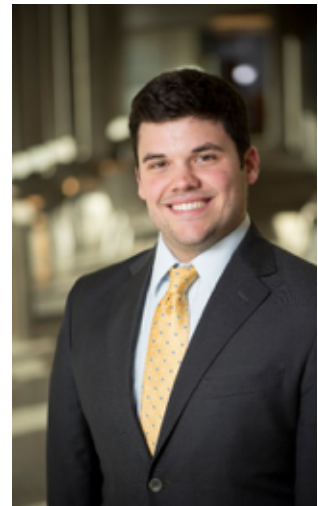


## Approaches v. Answers

It is very difficult to write a blog post about my semester in the Clinic, because if I wrote about everything I wanted to discuss it would certainly be too long. So in the interest of keeping whatever readers may stumble upon my Clinic story, I will try to boil my time in Clinic down to one distinction that has been a major takeaway for me. That distinction is being confident in your approach rather than your answer. An arbitrary distinction? Maybe, but it works for me and I think you'll see the logic behind it by the end of this post as well. [Read More>>](#)

## From Helping Farmers to Helping Investors: My Clinic Story

As an undergraduate student who studied [Agricultural Communication](#), it seems weird that I would be a law student in the Investor Advocacy Clinic, working to help clients navigate through their complicated investing schemes and work through the [FINRA arbitration](#) process, right? Well, maybe not as much as you would think. Though these two academic areas of study seem wholly unrelated, they are more alike than you could ever imagine. [Read More>>](#)



## IAC Presentations & Publications

- Nicole G. Iannarone, Computer as Confidant? Fiduciary Duty and Robo-Advisers, 93 Chi. Kent L. Rev. 141 (2018), available [here](#)

Offering, Selling, and Trading Securities: New Perspectives, Securities Regulation Section

- Offering, Selling, and Trading Securities: New Perspectives, Securities Regulation Section Program, co-sponsored by Agency, Partnership, LLCs and Unincorporated Associates and Business Associations, AALS Annual Meeting (San Diego, CA) (Jan. 5, 2018)
- Elder Investor Protection - Health, Wealth and Advocacy, Goodwin Proctor Seminar (Boston, MA) (Feb. 7, 2018)
- Ethics and Transactional Law Practice, Atlanta Bar Association Business and Financial Services Section (Atlanta, GA) (Mar. 21, 2018)
- Upcoming: Judicial Ethics and Social Media and Technology; Judicial and Attorney Professionalism Regarding Social Media and Technology; and Attorney Ethics and Social Media Technology, State Bar of Georgia Annual Meeting (Amelia Island, FL) (June 8, 2018)
- Upcoming: Persuasive Comment-Writing: Connecting with the Administrative Process and Policy Advocacy, Southeastern Association of Law Schools (SEALS) (Fort Lauderdale, FL) (Aug. 2018)



## There, There, Clinic. It's Not Really Goodbye, After All

That's a little adjustment to a quote from the story of my generation, Harry Potter. [In the scene](#), Harry is leaving school for the first time, and he comforts one of the friends he's made, reminding him he'll be back next year. The end of this semester in clinic feels the same in some ways, since I'll be coming back for Clinic II in the fall.

[Read More>>](#)

## Be an Informed Investor: Subscribe to Our Blog

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



## A Year in Clinic Ends

As my semester and year in the Clinic comes to an end, I have a lot to be thankful for. I have had the opportunity to work with an array of brilliant and engaging people who have all pushed me to become better every step of the way, and the



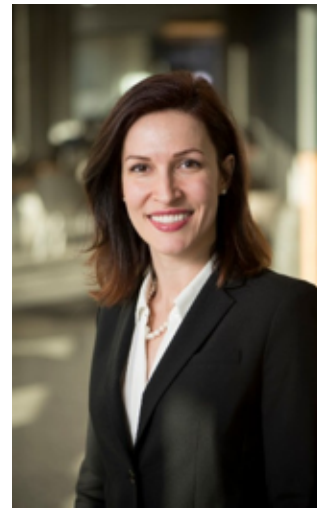


become better every step of the way, and the experience has been irreplaceable. When I first started working in the Clinic last Fall, I didn't quite know what to expect. As I quickly found out, instead of working through fact patterns and writing essays on how situations should be analyzed, as had been the norm throughout my time in law school, I was thrust into the complex and real-life practice of law. [Read More>>](#)

## So Long, Farewell, I Hate to Say "Goodbye"

For those not familiar with the song reference from the popular motion picture, *The Sound of Music*, the lyrics of the song encompass my feelings in leaving the clinic: bittersweet. My second and last semester in the clinic has come to an end. When I decided to return to the clinic, my main goal was to become an "expert" in dealing with the issues we face in helping clients. Well, that certainly did not happen. I did, however, grow in many other unexpected ways.

[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.



**Keep up with the Investor Advocacy Clinic  
Contact or Follow Us!**



*Copyright © 2018 Georgia State University College of Law, All rights reserved.*

You are receiving this email because you have requested information about Georgia State Law's Investor Advocacy Clinic in the past.

**Our mailing address is:**

Georgia State University College of Law  
85 Park Place NE  
Atlanta, GA 30303

[Add us to your address book](#)

Want to change how you receive these emails?

You can [update your preferences](#) or [unsubscribe from this list](#).