

If you considering the **Business Law (Financial Compliance)** concentration, you are preparing for practice in the following settings:

- Compliance department of a bank, investment fund, securities broker-dealer, insurance company, or other financial institution
- Law firm or consultancy advising financial industry clients on regulatory compliance matters
- Federal or state regulatory agency responsible for financial services industry

You may do any of the following in practice:

- Assure that the business practices of financial services companies are conducted in accordance with applicable laws and regulations
- Draft compliance policies and procedures for institution
- Design and conduct regulatory compliance surveillance plans, audits or investigations
- Advise on the structure of financial transactions, business units, and major asset holdings

To complete the Business Law (Financial Compliance) concentration, you must complete 7 courses in business law-related subject matter. Specifically,

1) You must take the following 4 Required Courses as early as possible:

- Corporations and Partnerships
- Corporate Finance
- Financial Services Compliance Law
- Securities Regulation **or** Securities Litigation and Enforcement

2) You must take at least 2 of the following Electives, totaling at least 5 credits:

• Accounting for Lawyers	• Interviewing, Counseling, and Negotiation
• Administrative Law	• Intro to Private Funds
• Banking Law	• Mergers and Acquisitions
• Business Planning	• Negotiation
• Creditors' Rights and Bankruptcy	• White Collar Crime
• Drafting Legal Documents	• Org. Behavior and Leadership Skills (Lubin)
• Fed Tax I (Basic)	• Global Corporate Governance (Lubin)
• Fed Tax II (Corporate Tax)	• Govt. Institutions and Business Strategy (Lubin)
• Insurance Law	• Introduction to Financial Decisionmaking (Lubin)
• International Business Transactions	

3) You must take at least 1 of the following capstone or skills courses:

- Corporate Law Externship (compliance placement)
- Guided Externship (compliance placement)
- Investor Rights Clinic

In order to qualify for the Concentration, you must achieve an average of B or better in Concentration courses, with no grade below a C. You must maintain an overall GPA of 2.5 or better. You should consult with the following faculty regarding this concentration: Prof. Andrew Lund