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

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. Darren Rosenblum.