

INSTRUCTIONS FOR APPLICATION

Applications are open from October 5 - December 16, 2022

Please submit this form as the cover page along with FINRA Foundation Dissertation Completion Fellowship Application Components and e-mail to FoundationFellows@finra.org. Use as the subject line: FINRA Foundation Dissertation Completion Fellowship 2023.

For additional information, please refer to www.finrafoundation.org.

Personal Information

Full Name: _____ Date: _____

Street Address: _____ Suite/Floor: _____

City: _____ State: _____

Email: _____

Phone: _____

Date of Birth (DD/MM/YYYY): _____

Racial/Ethnic Background: _____

Academic Institution

Department: _____

Program of Study: _____

Doctoral Program Start Year: _____

Street Address: _____ Suite/Floor: _____

City: _____ State: _____

Disclaimer and Signature

I certify that my answers are true and complete to the best of my knowledge. If this application leads to selection as a FINRA Foundation Dissertation Completion Fellow, I understand that false or misleading information in my application may result in the termination of the fellowship.

By submitting this application, the applicant represents that they have not been convicted or found in violation of any state or federal securities laws, and are not been enjoined or sanctioned by any regulatory authority for those types of violations, and is not named as a defendant in any pending federal action alleging securities laws violations.

Signature: _____ Date: _____

Applicant's Curriculum Vitae (limited to 2 pages) in PDF.

- ▶ Research and academic employment history
- ▶ Relevant graduate courses in statistics, analytics, and research methodology
- ▶ Relevant publications and presentations
- ▶ Relevant professional affiliations and/or membership

1. Abstract (300 words maximum).

2. Contribution to the Field (250 words maximum).

Briefly describe the potential contributions this research will make to the field. Statement of how this research advances the current state of knowledge in the field, substantively and/or methodologically.

3. Project Proposal (limited to 4 single-spaced pages maximum).

Please clearly elaborate on your project's scope, goal, methodology, current stage, its significance in the field, and how it relates to the philosophy of orientation. Prepare a narrative of your project scope to include the following:

- ▶ Brief literature review of relevant research/policy guiding your research project
- ▶ Theoretical or conceptual framework for the research
- ▶ Clearly defined research questions, and hypotheses to be tested
- ▶ Description of methodology including the data set(s) and justification for selecting data file to address research questions; any additional or supplemental data sample (e.g., groups used, exclusions to sample, and estimated sample size); rationale for variables, used; and specification and clarification of variables and analytic techniques.
- ▶ Plan of analysis, including the statistical programs, techniques, models, and formulas that will be used to answer each of the research questions posed.
- ▶ Discussion of conclusions that can be drawn from potential findings, as well as implications and limitations of the proposed study.
- ▶ References cited (excluded from the page limit).

4. Variables List:

A categorized list of the variables from the NFCS (National Financial Capability Survey), or other data set(s) that will be used in this research project. (2 single-spaced pages maximum)

5. Budget:

Awards for Fellowships are up to \$40,000. The FINRA Foundation encourages cost sharing from universities in the form of tuition assistance, office space, university fees, and other expenses. There is no specific template for the budget. It may be a simple two column format or a more complex spreadsheet. (No page limit.)

Please combine items 1-5 as one PDF document

Please label your file as Lastname.Firstname Items 1-5.pdf

Letters of Support:

Two letters of support are required: one from dissertation director/chair, and one from another faculty member. The letters must be sent separately, by the faculty members. A letter of support is required from the applicant's primary faculty dissertation advisor that includes an indication of the applicant's current progress toward the degree and expected date of completion, and of the student's potential for success in his or her anticipated career path.

Statement from the applicant's institution (preferably from the applicant's department chair, director of graduate studies, or dean), attesting to 1) completion of pre-dissertation requirements; and 2) the viability of the proposed timeline for completion.

If the Applicant has not yet defended his or her dissertation proposal when submitting the application, the letters of support must testify that the Fellowship applicant will do so before the time of the award.

Letters must be sent electronically, as a PDF document, including the applicant first and last name to the FINRA Foundation at FoundationFellows@finra.org. Note that applicants are responsible for ensuring that letters of support are received by the application deadline.