

# Dissertation Completion Fellowship Application

## INSTRUCTIONS FOR APPLICATION

Application Period: November 1, 2023 – January 15, 2024

Please submit this form as the cover page along with FINRA Foundation Dissertation Completion Fellowship Application Components and e-mail to [FoundationFellows@finra.org](mailto:FoundationFellows@finra.org). Use as the subject line: FINRA Foundation Dissertation Completion Fellowship 2024.

For additional information, please refer to [www.finrafoundation.org](http://www.finrafoundation.org).

### Personal Information

Full Name: \_\_\_\_\_ Date: \_\_\_\_\_

Street Address: \_\_\_\_\_ Suite/Floor: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_

Email: \_\_\_\_\_

Phone: \_\_\_\_\_

Date of Birth (DD/MM/YYYY): \_\_\_\_\_

### Academic Institution

Name and Department: \_\_\_\_\_

Program of Study: \_\_\_\_\_

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: \_\_\_\_\_

## THE APPLICATION PACKAGE MUST CONTAIN THE FOLLOWING TO BE CONSIDERED.

### 1. Cover Page

### 2. Curriculum Vitae (limited to 2 pages) in PDF.

### 3. Personal Statement (limited to 2 single-spaced pages maximum).

Discuss your background, experiences, major areas of interest, immediate and long-term goals, and life experiences that uniquely qualify you to be a FINRA Foundation Dissertation Completion Fellow.

### 4. Abstract (300 words maximum).

### 5. 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.

### 6. 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; and
- ▶ References cited (excluded from the page limit).

### 7. 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).

### 8. 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

## **Letter(s) 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](mailto:FoundationFellows@finra.org). Note that applicants are responsible for ensuring that letters of support are received by the application deadline.