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# PACE UNIVERSITY

Elisabeth Haub School of Law

**JOHN JAY LEGAL SERVICES**

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## FAIRBRIDGE INVESTOR RIGHTS CLINIC

### **CLIENT ELIGIBILITY GUIDELINES**

John Jay Legal Services, Inc. (JJLS), a not-for-profit organization operating at the Elisabeth Haub School of Law at Pace University (Pace), provides assistance to small investors in arbitrations or mediations who are unable to obtain legal representation because of the small amount of their claims. Law students, under the supervision of a faculty member, represent customers in handling their disputes with broker-dealers. JJLS and Pace are educational institutions and have no affiliation with the Financial Industry Regulatory Authority (FINRA).

JJLS has the following eligibility guidelines for the Investor Rights Clinic:

1. Your household's annual income should not exceed \$100,000.
2. Your claim should not exceed \$100,000.
3. You should not have any major assets (e.g., vacation homes, other non-retirement investments) except your home, your car, and the investments that led to the losses in dispute.
4. You should be a resident of New York State now or have been a resident of New York State when the disputed transactions occurred.

**In certain circumstances, JJLS will make an exception and consider representing investors who do not meet all of the criteria listed above.** If you have not already contacted other attorneys or a lawyer referral service, we may ask you to do so.

If you believe that you meet the guidelines and you wish to consider student representation of your claim, please complete the attached questionnaire and send it to the Investor Rights Clinic at John Jay Legal Services, Inc. If it appears that your case may be suitable for student representation, a law student will call you to learn more about your case, and to arrange an interview at the Law School. After that meeting, if both you and the Clinic agree that the Clinic may appropriately represent you in this matter, you and the Clinic will enter into an agreement authorizing the Clinic to represent you. If, based on the questionnaire, your matter does not appear suitable for the Clinic, you will be notified promptly by letter or email. General information about the securities arbitration process is available on FINRA's website at <https://www.finra.org/arbitration-mediation/overview>.

Investors are responsible for all costs, other than legal fees, incurred in an arbitration and/or mediation, such as filing and hearing fees. The client must pay these fees directly to the forum at the prescribed times. Upon demonstration of hardship, the Clinic may be able to assist in defraying costs. The Clinic does not charge legal fees for its services. Preference will be given to senior citizens.

The Clinic lacks the resources to accept every eligible case. A decision not to take your case is not a decision about the merits of your particular matter.

**FAIRBRIDGE INVESTOR RIGHTS CLINIC**  
**ELIGIBILITY QUESTIONNAIRE**

Your name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Daytime telephone: \_\_\_\_\_

Evening telephone: \_\_\_\_\_

Cellular telephone: \_\_\_\_\_

E-mail address: \_\_\_\_\_

1. Give a brief description of your dispute with your broker-dealer. You may, but need not, attach copies of any broker-dealer records that you have. (You will need these records to pursue your claim, so it is a good idea to gather them now.) If you have attempted to contact the broker or the firm to resolve this dispute, please provide information about this. (If necessary, attach additional sheets with your name at the top of each attached page.)

2. What is the amount of money that you are seeking from the broker-dealer?

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3. What is your household's annual income? (If you are invited to interview at the clinic, you will be asked to provide copies of your federal tax returns for the past two years.)

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4. Do you have any major assets other than your residence and a car? If so, please describe them and their approximate amount.

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5. Please set forth the names, addresses, and telephone numbers of any attorneys whom you have consulted about this claim and who have declined to represent you, because of the amount involved or nature of the claim, or of any attorney referral service that you consulted.

(1) \_\_\_\_\_

(2) \_\_\_\_\_

(3) \_\_\_\_\_

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6. Are you 65 or older? Yes \_\_\_ No \_\_\_

7. Where did you live when the disputed transactions occurred?

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8. How did you hear about the Clinic?

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Please mail, email, or fax the completed Questionnaire as follows:

Mail: Investor Rights Clinic  
John Jay Legal Services, Inc.  
Elisabeth Haub School of Law  
Pace University  
80 North Broadway  
White Plains, New York 10603

E-mail: [jjls@law.pace.edu](mailto:jjls@law.pace.edu)

Fax: 914.422.4391

Please call 914.422.4333 with any questions.