

July 2021

## Call for Papers

### Access and Impact: Gauging the Participation of Diverse Communities in the Capital Markets

**Submission Deadline: August 2, 2021**

The FINRA Investor Education Foundation, FINRA's Office of the Chief Economist, and NORC at the University of Chicago invite all original papers or abstracts that explore the methods and impacts of increasing access or reducing impediments to the provision of financial services to diverse communities. The goal is to facilitate discussion around important topics related to diversity issues in the capital markets. Submissions are due August 2, 2021.

Papers will be presented during a virtual conference on October 22, 2021 and will include leaders in academia, industry and the regulatory and investor communities to explore original academic and industry research and the current body of policy governing diversity, equity, and inclusion in the financial services industry.

The following are offered as examples, not limitations.

- What are the current status and trends of the industry in providing access and inclusion to diverse communities? If any, what methods have been impactful for increasing access and inclusion? Which demographics have seen the largest increase in participation in the financial markets? Which are lagging?
- What are barriers for diverse communities in accessing and investing in the capital markets? Which methods appear to be successful in addressing these challenges? How should the costs and benefits of these methods be measured?
- In what ways has the changing demographics of investors impacted the financial markets? How has it affected investors? How should the costs and benefits of these programs be measured?

Researchers are kindly invited to submit recent, original research proposals or works-in-progress consistent with the aims outlined. Papers or abstracts should be submitted to [chiefeconomist@finra.org](mailto:chiefeconomist@finra.org) for consideration by August 2, 2021.

Submissions will be evaluated on, among other criteria, innovations in methods, methodological rigor, findings, and their relevance to the public discussion of the workings and effective regulation of financial markets.

### **About FINRA**

FINRA is a not-for-profit organization dedicated to investor protection and market integrity. It regulates one critical part of the securities industry—brokerage firms doing business with the public in the United States. FINRA, overseen by the SEC, writes rules, examines for and enforces compliance with FINRA rules and federal securities laws, registers broker-dealer personnel and offers them education and training, and informs the investing public. In addition, FINRA provides surveillance and other regulatory services for equities and options markets, as well as trade reporting and other industry utilities. FINRA also administers a dispute resolution forum for investors and brokerage firms and their registered employees. [www.finra.org](http://www.finra.org)

### **About the FINRA Investor Education Foundation**

The FINRA Investor Education Foundation supports innovative research and educational projects that give underserved Americans the knowledge, skills and tools to make sound financial decisions throughout life. [www.finrafoundation.org](http://www.finrafoundation.org)

### **About NORC at the University of Chicago**

NORC at the University of Chicago is an objective, non-partisan research institution that delivers reliable data and rigorous analysis to guide critical programmatic, business, and policy decisions. Since 1941, NORC has conducted groundbreaking studies, created and applied innovative methods and tools, and advanced principles of scientific integrity and collaboration. Today, government, corporate, and nonprofit clients around the world partner with NORC to transform increasingly complex information into useful knowledge. [www.norc.org](http://www.norc.org)