

ELISSA GERMAINE
St. John's University School of Law
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ACADEMIC POSITIONS

ST. JOHN'S UNIVERSITY SCHOOL OF LAW

Associate Professor of Clinical Legal Education, September 2025-present
Assistant Professor of Clinical Legal Education, June 2023-August 2025
Co-Director, Securities Arbitration Clinic, June 2023-present
Faculty Director, Hugh L. Carey Center for Dispute Resolution, June 2024-present

Courses: Securities Arbitration Clinic

Faculty Committees: Appointments, Equity and Inclusion, Standard 303 Implementation

ELISABETH HAUB SCHOOL OF LAW AT PACE UNIVERSITY

Executive Director, John Jay Legal Services, Inc., 2019-2023
Director, Investor Rights Clinic, 2013-2023
Adjunct Professor of Law, 2010-2023

Courses: Investor Rights Clinic, Legal Skills I and II (research, writing, and oral advocacy)

NEW YORK LAW SCHOOL

Adjunct Professor of Law, 2009-2010

Courses: Legal Reasoning, Writing, and Research, Written and Oral Advocacy

SCHOLARSHIP

Publications

Securities Arbitration Case Law Update 2024-2025, with Anthony (Rivera) Francis, Practising Law Institute (PLI) Securities Arbitration 2025 Course Handbook, Chapter 14 (2025)

Securities Arbitration Case Law Updates 2023-2024, with Nikki Junda, PLI Securities Arbitration 2024 Course Handbook, Chapter 7 (2024)

Ethical Considerations for Advocates and Neutrals Regarding the Use of AI in the FINRA

Arbitration Forum, with Brent A. Burns, Lisa Roth, and Peter J. Tepley, PLI Securities Arbitration 2023 Course Handbook, Chapter 5 (2023)

The Ethics of Artificial Intelligence in Legal Advocacy, Public Investors Advocate Bar Association (PIABA) Annual Meeting Materials (2023)

Arbitration Case Law Updates 2021-2022, with Sandra D. Grannum, PLI Securities Arbitration 2022 Course Handbook, Chapter 23 (2022)

Arbitration Law Update: 2019-2020, with Scott Eichhorn, PLI Securities Arbitration 2020 Course Handbook, Chapter 15 (2020); republished, PIABA Annual Meeting Materials (2020)

Arbitration Law Update: 2018-2019, with Teresa J. Verges, PIABA Annual Meeting Materials (2019)

Arbitration Law Update: 2017-2018, with Teresa J. Verges, PIABA Annual Meeting Materials (2018)

Investor's Guide to Securities Industry Disputes: How to Prevent and Resolve Disputes with Your Broker, with Jill Gross, Pace Investor Rights Clinic and FINRA Investor Education Foundation (2017)

Lawyers' Obligations When Representing Clients with Diminished Capacity, 23 PIABA B.J. 255 (2016)

A 360 Degree View of Roles and Responsibilities Concerning Diminished Capacity: Financial Advisers' Obligations to Clients, Lawyers Representing Clients, and Lawyers Preparing Their Practices, with Nicole G. Iannarone and Teresa Verges, 23 PIABA B.J. 225 (2016)

Presentations

Elder Financial Exploitation: A Burgeoning Problem, Moderator, New York State Bar Association (NYSBA) CLE Program, Elder Financial Exploitation: What are the Laws, Claims, and Defenses? (May 14, 2026)

Staying Ahead of the Curve: Hot Topics in Securities Arbitration and Future Trends in 2025, Panelist, PLI Securities Arbitration 2025 (September 11, 2025)

Becoming a FINRA Arbitrator or Mediator, Moderator, NYSBA Securities Disputes Committee of Dispute Resolution Section (January 21, 2025)

Staying Ahead of the Curve: Hot Topics in Securities Arbitration and Future Trends in 2024, Panelist, PLI Securities Arbitration 2024 (September 12, 2024)

Clinic Directors Roundtable, Speaker, U.S. Securities and Exchange Commission (SEC) Investor Advocacy Clinic Summit (March 1, 2024)

Practical Applications for Enhancing Financial Literacy, Moderator, SEC Investor Advisory Committee Meeting Panel Discussion (December 7, 2023)

The Ethics of Artificial Intelligence for Lawyers, Presenter, PIABA Annual Meeting (October 26, 2023)

Ethical Considerations for Advocates and Neutrals in the FINRA Arbitration Forum, Moderator, PLI Securities Arbitration 2023 (September 7, 2023)

Developments in Gamification and Recreational Investing, Moderator, PIABA Securities Law Seminar (October 25, 2022)

Staying Ahead of the Curve: Hot Topics in Securities Arbitration and Future Trends in 2022, Panelist, PLI Securities Arbitration 2022 (September 8, 2022)

Reimagining Investor Protection in a Digital World: The Behavioral Design of Online Trading Platforms, Moderator, SEC Investor Advisory Committee Meeting Panel Discussion (September 9, 2021)

Case Law Round-up for the Securities Arbitration Practitioner, Presenter, PIABA Securities Law Seminar (October 20, 2020)

Staying Ahead of the Curve: Hot Topics in Securities Arbitration and Future Trends in 2020, Panelist, PLI Securities Arbitration 2020 (September 10, 2020)

Case Law Round-up for the Securities Arbitration Practitioner, Presenter, PIABA Securities Law Seminar (October 22, 2019)

Staying Ahead of the Curve: Hot Topics in Securities Arbitration and Future Trends in 2019, Panelist, PLI Securities Arbitration 2019 (September 10, 2019)

Case Law Round-up for the Securities Arbitration Practitioner, Presenter, PIABA Securities Law Seminar (October 9, 2018)

Staying Ahead of the Curve: Hot Topics in Securities Arbitration and Future Trends in 2018, Panelist, PLI Securities Arbitration 2018 (September 26, 2018)

Supervisory and Compliance Structures of Brokerage Firms: Compliance with Fiduciary Standards and the Best Interest Contract Exemption, Moderator, PIABA Securities Law Seminar (October 18, 2017)

Supervisory and Compliance Structures of Brokerage Firms: Focus on Conflicts of Interest, Moderator, PIABA Securities Law Seminar (October 26, 2016)

EDUCATION

NORTHWESTERN UNIVERSITY PRITZKER SCHOOL OF LAW, J.D., 2001

Honors: Dean's List, Student-Funded Public Interest Fellowships Program

Clinics: Children and Family Justice Center, Community Law Center

Journal: Journal of International Law and Business

DARTMOUTH COLLEGE, B.A., English, 1996

Honors: Cum Laude, Tucker Foundation Dartmouth Community Service Exemplary

Achievement Citation

LEGAL & PROFESSIONAL EMPLOYMENT

LATHAM & WATKINS LLP • San Francisco, CA

Associate, 2002-2007, Summer Associate (New York), 2000

Represented clients in securities litigation and arbitration, white collar defense and government investigations, and complex commercial litigation, with a significant commitment to pro bono work.

UNITED STATES DISTRICT COURT (S.D. CAL.) • San Diego, CA

Law Clerk (Honorable John S. Rhoades, Sr.), 2001-2002

SEVENTH CIRCUIT COURT OF APPEALS • Chicago, IL

Extern (Honorable Richard D. Cudahy), Summer 1999

SIEGEL + GALE • New York, NY

Writer and Information Analyst, 1996-1998

Drafted simplified plain English marketing and legal communications at brand strategy firm.

OTHER VOLUNTEER & PROFESSIONAL SERVICE

New York State Bar Association (NYSBA): Co-Chair of Securities Disputes Committee of Dispute Resolution Section, 2023-present; Member of Dispute Resolution Section Executive Committee, 2023-present

Public Investors Advocate Bar Association (PIABA): Co-Chair of Securities Law Seminar Planning Committee, 2018-2020; Editorial Board Member of Bar Journal, 2015-present

U.S. Securities and Exchange Commission (SEC) Investor Advisory Committee: Appointed Member, 2020-2024; Vice Chair of Investor as Purchaser Subcommittee

Financial Industry Regulatory Authority (FINRA) National Arbitration and Mediation Committee: Public Member, 2019-2023; Subcommittee service included Neutral Roster (Chair), Mediation, Rules and Procedures, Zoom Task Force

OTHER ACTIVITIES & AWARDS

Faculty Advisor, St. John's Law Dispute Resolution Society, 2024-present

New York State Part 146 Basic Mediation Training, 2023

Faculty Coach, Pace Law Team, St. John's Law-FINRA Securities Dispute Resolution Triathlon, 2013-2022

Recipient, PIABA Outstanding Service Award, 2016

BAR ADMISSIONS

New York, California (inactive), United States Supreme Court