



***The Investment Professional  
Prospectus***

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## MISSION

The *Investment Professional*, an online refereed electronic journal, published semi-annually by the New York Society of Security Analysts, Inc. (NYSSA), educates readers in the finance and banking sectors on the forces that shape their business. The journal provides unbiased coverage of industry developments, detailed analyses of current data and trends, researched applications to practical solutions, and keen insights into career management. Through factual reporting and theoretical investigations from a variety of investment schools, the *Investment Professional* establishes itself at the forefront of the investment arena, and serves as a channel for discussion and analysis among the leading voices in the financial community.

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## SCOPE AND CONTENT

Articles must be of use to practicing investment professionals and must support one or more of the journal's purposes:

- Educate investment professionals on theory and practice in securities analysis.
- Offer a forum for the latest in thought leadership in the investment industry.
- Promote discussion among various groups in the industry: professionals, regulators, private investors, company boards of directors and CEOs, students, etc.
- Supplement the programs and professional development curriculum offered by NYSSA.
- Serve as a career development resource for readers.

Content should be accessible to the general NYSSA membership, which includes portfolio managers, analysts, CEOs, CIOs, traders, investment bankers, accountants, and business students. Major criteria for acceptance are accuracy, originality, clarity, relevance, and conciseness.

The *Investment Professional* publishes peer-reviewed articles in areas of interest to investment professionals, including, but not limited to:

- Trading, markets, investments, derivatives, wealth management
- Trends and developments in the investment industry
- Evolution of US and global markets and sectors
- Regulatory and governance issues
- Risk Analysis
- Stock Valuation

- Management and leadership
- Technology
- Reviews of literature on topical issues
- Case Studies
- Book reviews

To ensure both quality of articles and unbiased reviewing, the *Investment Professional* uses a double-blind peer-review system, in which the names and affiliations of authors are not revealed to reviewers, and names and affiliations of reviewers are not revealed to authors.

The *Investment Professional* also publishes non-peer-reviewed articles on these and other topics. These articles are subject to a general review by the editorial board.

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## EDITORIAL BOARD CHARTER

The Editorial Board exists to provide guidance and expertise to NYSSA staff in relation to the publishing of *The Investment Professional*, starting as a semi-annual journal and moving to a quarterly format. Editorial Board members must become knowledgeable of the mission of the journal as well as that of NYSSA.

### **Editorial Board Roles and Responsibilities**

- Examine academic articles under a double-blind peer review system and provide feedback and suggestions for revision;
- Offer guidance to NYSSA staff regarding general content and direction of the journal;
- Aid in identifying writers; and
- Evaluate other articles as needed.

### **Time Commitment**

The Editorial Board will have four meetings per year, one per quarter. Meetings are to plan the strategic direction of each issue. Between meetings, members will receive periodic updates from NYSSA staff and will have the opportunity to participate in electronic discussion.

Board members will be sent articles to review by NYSSA staff. They should expect to review a maximum of three long academic articles per year. They should provide thoughtful, constructive, objective feedback and clear instructions for revision. They will

have three weeks to complete the assessment of each article. Review of the academic articles will be conducted under a double-blind system.

### **Editorial Board Composition**

In order to serve as a comprehensive source of knowledge, the Editorial Board will consist of leaders from diverse fields within the financial industry, with a maximum of 20 members. The Board will consist of a core group of editors. The Board, together with NYSSA staff members, will select members of a Review Panel. The Review panel will review articles as directed by the Editorial Board.

### **Board Selection and Term of Office**

Editorial board members are appointed by NYSSA executive staff.

There is no term limit. However, NYSSA reserves the right to remove a member from the Editorial Board if he or she is no longer active. "Active" is defined as

- Participating meaningfully in the shaping of content, and.
- Reviewing at least 2 articles per year.

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### **MANUSCRIPT SUBMISSION AND COPYRIGHT**

All manuscripts are considered to be the intellectual property of NYSSA from the time of submission. Should NYSSA elect not to publish the article, NYSSA releases its rights to the article at the time that you receive notification of non-publication.

By submitting a manuscript, you certify that the content has not been published previously and will not be submitted for publication elsewhere while the manuscript is under review.

NYSSA holds the copyright of all material published in the journal. If your article is accepted, you will be asked to sign a form assigning copyright to NYSSA.

If you use material that has been published elsewhere, you must obtain the permission of the earlier publisher.

You must disclose to NYSSA any potential conflicts of interest that might bias your work, including all financial support received in connection with the work. If the editors view these disclosures as material to the readers, the disclosures will be published in a note to the article.

Email is the preferred method of submission [ejournal@nyssa.org](mailto:ejournal@nyssa.org). Manuscripts should be attached and should be in .docx or .rtf format. We will not accept hard copies or PDFs.

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## ARTICLE LENGTH AND EDITING

NYSSA reserves the right to abridge your article if it exceeds the word count established by the editors. As a rule of thumb, if your text is set in 12-point Times New Roman, double-spaced, with 1-inch margins, one page will contain approximately 300 words.

NYSSA reserves the right to make stylistic changes to your article to ensure compatibility with the general tone of the journal.

After the article is copyedited, NYSSA will send you the revised article for review and approval.

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## DEADLINES

All articles for September must be received by April 1<sup>st</sup>. Articles will be turned around in eight weeks.

All articles for February must be received by October 1<sup>st</sup>.

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## AUTHOR GUIDELINES

As an author, you are permitted the following uses *without obtaining specific permission from NYSSA*:

- creation and distribution (including through e-mail) of copies of the article for your own personal (noncommercial) use, including for your own classroom teaching use or for distribution to research colleagues;
- posting of a PDF of the article on a password-protected website, electronic coursepack, e-learning system, distance learning, or e-reserve;
- creation and distribution (including through e-mail) of copies of the article to not more than 50 clients;
- posting of the working paper of the article on your internet website;
- presentation of the article at a meeting or conference and distribution of copies of such article to the attendees of the meeting;
- republication of a figure/table/excerpt from the article in a book, presentation, annual report, or brochure/pamphlet;

- inclusion of the article in full or in part in a thesis or dissertation (provided that it is not to be published commercially).

Acknowledgement of copyright permission must appear on every copy of the material, as follows: "Copyright (year), NYSSA. Reproduced and republished from the [insert publication title] with permission from NYSSA. All rights reserved."

Copyright agreements are needed for the following uses:

- posting of a PDF of the article on the internet (open access) site of author's institution/business (\$100);
- republication of the article in a book (\$10/page, not to exceed \$150);
- republication of the article in a brochure/pamphlet or annual report (\$10/page, not to exceed \$150);
- translation of the article (\$10/page, not to exceed \$150);
- republication of the article in a journal/magazine/newsletter (\$500 flat fee);
- republication of the article in an open-access electronic journal/magazine/newsletter (\$1,000 flat fee);
- republication of the article in a password-protected electronic journal/magazine/newsletter (\$500 flat fee).

For uses not listed above, please contact Jennifer Curry [jcurry@nyssa.org](mailto:jcurry@nyssa.org).

#### SCHEDULE FOR SUBMISSION

Articles due to NYSSA April 1, 2011

Articles due back to you with comments from reviewers on a rolling basis no later than June 1, 2011

Publication September 2011

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#### CONTACT INFORMATION

##### **Submit articles to:**

[ejournal@nyssa.org](mailto:ejournal@nyssa.org)

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