COURSE NAME: Securities Regulation

COURSE NUMBER: 758

PROFESSOR: Luppino

ESSENTIAL PREREQUISITES: N/A

DESIRABLE PREREQUISITES: Business Organizations

Hazen, Securities Regulation: Selected Statutes, Rules and Forms (West, Most recent edition)
Suggested: Palmiter, Securities Regulation: Examples & Explanations (Aspen law & Business)

METHOD OF GRADING & APPRAISAL OF STUDENT FOR GRADE: 3-hour final examination

SUMMARY DESCRIPTION OF COURSE: Study of the Securities Act of 1933 (focusing primarily on the issuance of securities) and certain aspects of the Securities Exchange Act of 1934 (focusing primarily on the regulation of trading transactions).

COURSE CONTENT: Course will address the registration process, exemptions from registration, restrictions on the resale of securities, disclosure and securities fraud issues, insider trading, broker-dealer regulation, takeover regulation and related matters. There will be emphasis on compliance with securities laws affecting both closely-held and publicly-traded companies.

RELEVANCY OF COURSE FOR CAREER PURPOSES: Potentially useful not only to those destined to be “business lawyers” working with business entities and/or investors, but also to those headed toward litigation which may involve claims based on securities law violations or related issues.

RELEVANCY OF COURSE FOR MO/MULTI-STATE BAR EXAMINATION: N/A per se, but will involve concepts which might refresh understanding of disciplines which are directly tested on Bar Exam.