

SECURITIES REGULATION SYLLABUS

PROFESSOR RAYMOND L. BRITTON
FALL 2013
MONDAY AND WEDNESDAY
2:30 - 4:00 P.M.

INFORMAL CLASSROOM SETTING

The class will be conducted in an informal setting similar to a seminar approach. All questions are encouraged.

ATTENDANCE

Attendance sheets will be taken at each class period. You must meet the minimum attendance requirements in order to remain in the class and receive a grade.

SEATING CHART

Add your name to the seating chart and please adhere to selection. Make no changes until we discuss the need for your request.

CLASS PARTICIPATION

You are responsible for two dates to present the assigned readings for that day. Participation is important, as it may be a grade weight factor. On your participation date you will be relied on to present if no other students participate. A sign-up sheet will be passed around for class participation dates.

ASSIGNED READINGS

I try to cover 20 pages per class depending on the content to be covered. The following syllabus is a guide to the readings I would like to cover in each class; however some changes may be made throughout the semester. Try to stay at least 20 pages ahead of where we stopped the previous day.

Class #1	Chapter 1	Introduction to Markets and Regulations, pp. 1-17
Class #2	Chapter 1	Introduction to Markets and Regulations, pp. 36-47
Class #3	Chapter 2	Materiality, pp. 48-65
Class #4	Chapter 2	Materiality, pp. 66-87
Class #5	Chapter 3&4	Materiality, pp. 87-98 & The Definition of a "Security", 99-112
Class #6	Chapter 3	The Definition of a "Security", pp. 112-130
Class #7	Chapter 3	The Definition of a "Security", pp. 130-148
Class #8	Chapter 4	The Definition of a "Security", pp. 148-168
Class #9	Chapter 4	Disclosure and Accuracy, pp. 168-188

Class #10	Chapter 4	Disclosure and Accuracy, pp. 188-206
Class #11	Chapter 4	Rule 10b-5 Antifraud, pp. 207-226
Class #12	Chapter 5	Rule 10b-5 Antifraud, pp. 239-244 & 259-283
Class #13	Chapter 5 &6	Rule 10b-5 Antifraud, pp. 295-305 & Insider Trading, pp. 336-343
Class #14	Chapter 6	Insider Trading, pp. 343-362
Class #15	Chapter 6	Insider Trading, pp. 362-382
Class #16	Chapter 6	Public Offerings, pp. 391-410
Class #17	Chapter 7	Public Offerings, pp. 410-433
Class #18	Chapter 7	Public Offerings, pp. 433-457
Class #19	Chapter 8	Civil Liability Under the Securities Act, pp. 467-481
Class #20	Chapter 8	Civil Liability Under the Securities Act, pp. 481-505
Class #21	Chapter 8	Civil Liability Under the Securities Act, pp. 513-522
Class #22	Chapter 8	Civil Liability Under the Securities Act, pp. 522-538
Class #23	Chapter 9	Exempt Offerings, pp. 539-561
Class #24	Chapter 9	Exempt Offerings, pp. 564-579
Class #25	Chapter 9	Exempt Offerings, pp. 579-598
Class #26	Chapter 10	Secondary Market Transactions, pp. 614-634
Class #27	Chapter 10	Secondary Market Transactions, pp. 634-651
Class #28	Open	Open