SECURITIES REGULATION
Semester: Fall 2014

Course Number: BCL 7021 001  Call # 000126

Professor: Arthur McMahon  
Credits: 2 Classroom  
Primary Basis for the Grade: Tentatively exam and class participation; Letter grade  
Prerequisites: Corporations I – may be taken concurrently

Enrollment: Open  
Meets the Seminar Requirement? No  
Meets the Writing Requirement? No  
Meets Client Counseling Requirement? No  
Meeting Times: Th 4:40 to 6:40 pm  
Location: 100B

COURSE DESCRIPTION:

Securities Regulation presents an overview of federal securities laws with emphasis on the registration requirements of the Securities Act of 1933 and the major exemptions from these requirements, including exemptions commonly used by small and early-stage businesses. The course also covers the reporting and disclosure requirements of the Securities Exchange Act of 1934 and the anti-fraud provisions of the Securities Act and the Exchange Act.

Prerequisite: Corporations I – may be taken concurrently.