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.