For our first class on August 25th, please read the following:

| 1. Introduction to the Securities Industry and the Regulatory Framework; | Cox pp. 1 - 24; skim pp. 91 - 105
Exchange Act §2 and §4(a) |
| 2. Foundational Definitions | Securities Act §§2(a)(1), (4) and (11)
Exchange Act §3(a)(7)
Exchange Act Rules 3b-2 and 3b-7 |