

Syllabus for Securities Regulation Spring 2024

Professor Peter Molk, pmolk@law.ufl.edu

Class: Tuesday/Wednesday, 9:00-10:25

Office Hours: Tuesday 10:30-11:30, Wednesday 1:00-2:00

COURSE OBJECTIVES AND LEARNING OUTCOMES:

This course will introduce you to fundamental principles of securities law and regulation. By the end of the course, you should be able to:

- Describe the legal and economic foundations of securities law;
- Demonstrate an understanding of the scope of transactions and behavior covered by securities law;
- Explain the interplay between federal and state securities regulation;
- Explain how policy goals have contributed to the development of securities law and related doctrines; and
- Apply strategic and practical considerations throughout the entire process of filing and litigating a securities law dispute.

COURSE MATERIALS:

Our casebook is CHOI & PRITCHARD, SECURITIES REGULATION: CASES AND ANALYSIS (5th ed. 2019). There is also a free supplement that updates portions of the casebook, as well as a statutory supplement. All of the statutes and rules we will read are available for free online. Perhaps the best source is the Securities Lawyer's Deskbook: <https://lawblogs.uc.edu/sld/>. The various forms we will study are available at the SEC's website: <http://www.sec.gov/forms>.

EXPECTATIONS:

Class will start on time and end on time. I expect you to arrive on time. If you are going to miss class, you should not notify me.

You may have access to up to two class recordings during the semester. Religious observances or medical-related absences do not count towards this total. Please email Victoria Redd (redova@law.ufl.edu) to request access.

ASSIGNMENTS:

The reading assignments are available on our course webpage. They are subject to change from time to time.

You should expect to spend approximately two hours on out-of-class preparation for every hour of in-class instruction.

EXAM AND GRADE:

Your grade will be based on your performance on an in-person final exam. To assist in your exam, you may use any non-human resources you desire, except you may not use sources that require internet access. The exam must be taken at the scheduled date and

time except in a case of family or medical emergency or accommodation made by the Office of Student Affairs.

Participation and attendance will also be factored into your final grade and will count for no more than a one-step increase or decrease in your final grade, but such adjustments will be unusual except in the case of a history of late arrivals to class.

OTHER INFORMATION

Other information about UF Levin College of Law policies, including compliance with the UF Honor Code, Grading, Accommodations, Class Recordings, and Course Evaluations, can be found

at <https://ufl.instructure.com/courses/427635/files/74674656?wrap=1>.