

SECURITIES LITIGATION

Course Number: **Call Number:**

Semester: Spring 2011

Professor: Black

Credits: 3 Classroom

Primary Basis for the Grade: Tentatively Exam.; Letter Grade

Prerequisites: Corporations I

Enrollment: Open

Meets Seminar Requirement? No

Meets Writing Requirement? No

Meets Client Counseling Requirement? No

Meeting Times: T & H 1:30 – 2:55

Location: 208

COURSE DESCRIPTION:

This course will explore the various ways in which the federal securities laws are enforced to protect investors and the public interest in a fair and open market. In the course of study, we may consider: 1) the investigation and enforcement powers of the SEC and self-regulatory organizations such as the NYSE and the NASD; 2) the criminal law provisions under which violations of the securities laws may be prosecuted; 3) litigation instituted against individual and corporate defendants by private plaintiffs such as shareholders and other investors; and 4) the development of compliance programs and codes of conduct designed to deter and prevent transgressions.

Last updated: 11-7-10 no