



LawShelf Educational Media

Securities Regulation

Course Description

The Securities Regulation course focuses on the many ways in which state and federal laws regulate how securities are introduced to the public, how they are traded, and the representations that can be made in the process of buying and selling them. It also covers laws that prohibit securities fraud and insider trading.

Course Learning Outcomes

At the completion of this course, students will be able to:

- Describe the securities laws that are most instrumental in regulating the behavior of publicly traded corporations;
- Determine which types of instruments are subject to securities laws and regulations;
- Distinguish between IPOs, exempt offerings, and re-sale of securities and discuss the rules applicable to each;
- Apply federal laws that criminalize securities fraud and insider trading.

Suggested Prerequisite

Business Organizations

Final Exam

Grades and credit recommendations are based solely on a final exam. When students are ready to take the final exam, they should register for a LawShelf account (or simply log in, for those with existing accounts). Go to the video-course page and click “Take the Final Exam” and pay the exam fee, where applicable. Students will be given instructions on how to take the exam. All exams are proctored by the Voice Proctor® proctoring system. An overview of the system is [provided here](#) and it requires no training or learning curve. Grades of 70% or above are considered passing grades and qualify for recommended transfer credit.

The final exam is based on the video course modules. Additional resources detailed in this

syllabus are helpful for background and for building greater understanding of the course materials.

Inquiries can be made through the LawShelf Contact form on our website by clicking the “email us” button that appears at the bottom of most LawShelf pages. Transcripts can be ordered via Parchment, as detailed on our website.

Case Studies

Many LawShelf video courses include case studies. These do not necessarily teach new material but are meant to demonstrate how the materials covered in the course are applied by various courts. Concepts covered in the case studies are covered on the final exam; so watching the case studies is necessary before taking the exam. However, it is unnecessary to memorize the facts and details of the cases covered in these case studies.

Self-Quizzes

Video-course modules and case studies feature self-quizzes that consist of practice questions on the materials covered in the videos. These questions are presented for the benefit of the student and are **important to review before taking the final exam** because they are similar in style and substance to the questions on the final exam. These quizzes are not graded or monitored and there is no record of how students answer these questions. Students may answer these questions as many times as they like and are encouraged to keep re-taking the quizzes until they have mastered all the questions.

Study Guide

Introductory Videos

These videos provide background to help students better understand the main parts of the course, which are the video-course modules below.

An Introduction to Corporate Compliance Programs

<https://lawshelf.com/shortvideoscontentview/an-introduction-to-corporate-compliance-programs>

History of Corporate Compliance Programs

<https://lawshelf.com/shortvideoscontentview/history-of-corporate-compliance-regulations>

Blog video: Legal Blowback After Robinhood Halts Trading of Certain Stocks

<https://lawshelf.com/blogentryview/legal-blowback-after-robinhood-halts-trading-of-certain-stocks>

Courseware Readings

These courseware readings provide background to help students better understand the main parts of the course, which are the video-course modules below.

The following sections of “Foundations of Law” courseware:

<https://lawshelf.com/coursewareview>

The following chapters under Business Law and Bankruptcy:

Securities Laws:

- [Introduction to Securities Laws](#)
- [Financing the Corporation](#)
- [The Offering Process](#)
- [The Securities Markets and Their Governance](#)
- [Insider Trading](#)

Video Course Modules

These videos constitute the main part of the course and are they sources of the questions on the final exam.

Securities Regulation Introduction

<https://lawshelf.com/videocoursescontentview/securities-regulation>

Overview of Securities Law - Module 1 of 5

<https://lawshelf.com/videocoursesmoduleview/overview-of-securities-law-module-1-of-5>

Regulated Instruments - Module 2 of 5

<https://lawshelf.com/videocoursesmoduleview/regulated-instruments-module-2-of-5>

Public and Non-Public Offerings - Module 3 of 5

<https://lawshelf.com/videocoursesmoduleview/public-and-non-public-offerings-module-3-of-5>

Securities Fraud - Module 4 of 5

<https://lawshelf.com/videocoursesmoduleview/securities-fraud-module-4-of-5>

Insider Trading - Module 5 of 5

<https://lawshelf.com/videocoursesmoduleview/insider-trading-module-5-of-5>

Supplemental Suggested Readings

These materials enable students to achieve a deeper understanding of the

course materials and in applying the course to real-life situations.

Securities Regulation & Enforcement

https://guides.library.harvard.edu/law/securities_regulation

The Laws that Govern the Securities Industry

<https://www.investor.gov/introduction-investing/investing-basics/role-sec/laws-govern-securities-industry>