

Securities Regulation Concentration

I. Foundation Courses

All students must complete Corporations. Students also must complete either Securities Regulation: Issuance or Securities Regulation: Trading. Part-time students may substitute an additional elective for the second Foundation Course requirement of Securities Regulation: Issuance or Trading.

Name of Course	Number of Credits
Corporations	3 or 4
Securities Regulation: Issuance OR	3
Securities Regulation: Trading	3

II. Electives

Students must complete at least 2 courses from the Electives listed below or, if the Externship Recommendation is not followed, 3 of the Electives listed below. The same course cannot be used to satisfy the Foundation Course Requirement and the Electives Course Requirement.

Name of Course	Number of Credits
Corporate Finance	2
Securities Regulation: Civil Litigation	2
Securities Regulation: Compliance	3
Securities Regulation: Derivatives and Their Markets	2
Securities Regulation: Enforcement Procedures & Issues	2
Securities Regulation: Issuance	3
Securities Regulation: Markets Regulation Seminar	2
Securities Regulation: Mutual Funds & Investment Advisers Act	2
Securities Regulation: Private Equity & Hedge Funds	2
Securities Regulation: Securitization of Assets: A Transactional Approach	2
Securities Regulation: Trading	3

III. Writing Requirement

Students must take 1 of these courses. A course taken to satisfy one of the two elective course requirements also satisfies the writing requirement if the student completes a Portfolio or Qualifying Course Paper for the course.

Name of Course	Number of Credits
Any Course with QCP <i>if on securities law topic</i>	
Any Securities Regulation course from the menu of electives if the student completes a Portfolio or a Qualifying Course Paper for the course	
Directed Research <i>if on securities law topic</i>	2
Law Journal Writing <i>if on securities law topic</i>	2

IV. Transition to Practice

Name of Course	Number of Credits
Securities Regulation: Compliance	3

V. Externship

All students are urged to do an Externship. Placement should be at the SEC, FINRA, PCAOB, IAA or any agency, firm, or association involved in securities law, approved in advance by the Coordinator of the Concentration. Students who do not complete an Externship may substitute an additional (third) Elective from the menu above.

VI. GPA Requirement

All students must meet the following minimum GPA requirements:

3.3 (day)/3.26 (evening) overall GPA **AND**

3.3 (day)/3.26 (evening) GPA in Corporations, Corporate Finance, and all securities regulation courses, whether or not used to satisfy the requirements of the Concentration.