**Professor Bartlett**

**Securities Regulation – Fall 2019**

**First Assignment**

Welcome to Securities Regulation. The casebook for this course is Stephen Choi & A.C. Pritchard, *Securities Regulation: Cases and Analysis* (5th. ed. 2019). In addition, we will also be using the Choi & Pritchard statutory supplement, *Securities Regulation: Statutory Supplement* (2018 ed). The class meets on Mondays, Tuesdays, and Wednesdays from 2:15 pm to 3:25 pm in Room 132.

The assignments for the first week of class are as follows:

Monday, August 19:

*Casebook*: pp. 1-16 (to “Investment Decisions”)

Tuesday, August 20:

*Casebook*: p. 22 (from “Who Provides Information to Investors?”) to p. 51 (stop before “II. The Reasonable Investor”) + skim p. 16 (“Investment Decisions”) to p. 22 (“Who Provides Information to Investors?”)

*Statutory Supplement*: Exchange Act Rules 10b-5 & Rule 12b-20

Wednesday, August 21:

*Casebook*: p. 60 (from “III. Forward-Looking Information”) to p. 80 (end of In re Merck & Co) + Hypothetical 3 for chapter 2 on pp. 89

*Statutory Supplement*: Item 303(a)(3) of Regulation S-K

For those of you needing additional time to purchase the casebook, I have placed in the “Supplemental Materials” section of our Bcourse site a PDF of the reading assignments from the casebook for the first two weeks of class. Our Bcourse site is located at: <https://bcourses.berkeley.edu/courses/1483566>.

I look forward to seeing you on Monday.