

# LAW-710: \*Broker/Dealer Regulation

This course is designed to examine the regulatory framework of brokers and dealers imposed through the federal securities laws and the regulations and rules adopted by self-regulatory organizations (SROs). The course will cover the role of the Securities and Exchange Commission ("Commission") and its oversight responsibilities with respect to SROs, with an emphasis on the Financial Industry Regulatory Authority ("FINRA"). The rules of FINRA will be examined to determine how the securities industry regulates itself. This course will also evaluate the appropriate role of securities industry organizations in the regulatory framework of the US financial markets.

**Credits:** 2

**Program:** Law