Professor Contact Information:

[Contact Information]

Office hours: By appointment

Classroom:

McDonough Hall 342

Class Schedule:

Class meets every Thursday 5:45 -7:45 p.m., Jan 21, 2016 – April 28, 2016; class does not meet February 18 or March 10. There will be a 10-minute break during each 2-hour session.

Final deadline for all papers: May 2 – NO EXTENSIONS

Reading Materials:


Financial Products in a New Regulatory Environment Volume 2 – Selected Cases and Regulatory Materials

Please prepare for each class by bringing a relevant newspaper or magazine article, op-ed piece, speech or Congressional testimony that relates to issues involving financial reform, particularly in light of Congressional and regulatory activity related to the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010, and be prepared to discuss. Supplemental and additional reading materials on current issues and events will be made available during the semester.
## Course Outline:

<table>
<thead>
<tr>
<th>Week</th>
<th>Coverage [Reading Assignment]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jan 21</td>
<td>Introduction; review of basic legal landscape [Regulatory Materials #1; Volcker Rule; Dodd-Frank, Title I,Subtitle A – Financial Stability Oversight Council]</td>
</tr>
<tr>
<td>Jan 28</td>
<td>Bank Advisory Activities [Case #10, 8, 22, 21]</td>
</tr>
<tr>
<td>Feb 4</td>
<td>Bank Brokerage Activities [Regulatory Material #4; Case #5, 4, 20]</td>
</tr>
<tr>
<td>Feb 11</td>
<td>Bank Underwriting Activities [Case #6, 23, 18, 19]</td>
</tr>
<tr>
<td>Feb 18</td>
<td>[No Thurs Classes]</td>
</tr>
<tr>
<td>Feb 25 – paper thesis due</td>
<td>Volcker Rule</td>
</tr>
<tr>
<td>March 3 – paper outline due</td>
<td>Securities Products [Case #12, 7]</td>
</tr>
<tr>
<td>March 10</td>
<td>[Spring Break]</td>
</tr>
<tr>
<td>March 17</td>
<td>Bank Products [Case #25 (Wolf), 3 (Reves), 24 (Gary Plastic)]</td>
</tr>
<tr>
<td>March 24</td>
<td>Insurance Products [Case #13 (VALIC), 11 (United Benefit)]</td>
</tr>
<tr>
<td>March 31</td>
<td>Insurance Products [Case #14 (American Equity); Harkin Amendment]</td>
</tr>
<tr>
<td>April 7 – paper draft due</td>
<td>The Courts – Cost Benefit Analysis [Case # 27 (ICI), 28 (Business Roundtable)]</td>
</tr>
</tbody>
</table>
FINANCIAL PRODUCTS IN A NEW REGULATORY ENVIRONMENT

April 14
Entity Regulation
Case #1 (Barnett), 2 (Nationsbank), 17 (Blackfeet), G-L-B

April 21
Entity Regulation
Case #26 (Pru); Regulatory Materials #5
[Regulatory Materials #2, 3; Case #15 (Financial Planners), 16 (Goldstein)]

April 28
FSOC and Money Market Fund Reform
[Regulatory Materials #7 – 11; Dodd-Frank Title I; hand-outs]
Regulatory Inclusion
[Regulatory Materials #12, 13, 14, 15; JOBS Act]

May 2 – final paper due 5 pm
No extensions

Class Requirements:

This is a discussion seminar and requires full preparation and participation. Attendance will be taken. Please contact me by email in advance if you need to miss a class or be late.

No laptops or recording equipment is permitted in class. To avoid distractions, please turn off all cell phones and electronic devices.

There will be no final exam. A research paper is required to successfully complete the class.

Evaluation Criteria and Feedback:

The final grade will be based on class attendance and participation (50%) and submission of an end-of-term paper (50%). Students will have opportunities for individual conferences with me concerning their choice of paper topic, thesis and outline and will receive written comments on papers.

Paper Requirements and Deadline:

Each paper must be a minimum of 25 double-spaced pages (about 6,000 words) in length, exclusive of footnotes. The final paper must be submitted for grading to the Office of the Registrar by 5:00 pm on May 2.

(as of January 2016)