

# **Course Syllabus**

## **FIN 6308.0W1.15U**

### **Regulation of Business & Financial Markets**

Jindal School of Management  
The University of Texas at Dallas

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#### **Course Information**

##### **Course**

Course Number Section: FIN 6308.0W1.15U

Course Title: Regulation of Business & Financial Markets

Term and Dates: Summer 2015 (May 27, 2015-August 8, 2015)

##### **Professor Contact Information**

Professor: Lisa Gibson

Email Address: [Img106020@utdallas.edu](mailto:Img106020@utdallas.edu)

Other Information: Email is the best way to get in touch with me. I check email frequently throughout the day.

##### **About the Instructor**

I attended the University of North Carolina at Chapel Hill for both undergraduate and law school. After law school, I worked as in house counsel for a bank in Raleigh, NC, handling a variety of legal and regulatory issues, with a primary focus on trusts, estates and wealth management.

My husband and I moved to Dallas in 2010 where my husband earned his PhD in International Business and Strategy at UT-Dallas and I began teaching Regulation of Business in January 2011. My husband graduated in 2013 and is now a professor at Binghamton University. We live in New York with our very energetic three-year old daughter (and, sometime in late spring, a new baby).

##### **Course Pre-requisites, Co-requisites, and/or Other Restrictions**

FIN 6301: Financial Management (Co-requisite)

##### **Course Description**

The objective of this course is to develop a student's understanding of the laws and regulations which govern businesses and financial markets. In addition, this course considers the ethical issues that financial analysts and financial planners face.

### **Student Learning Objectives/Outcomes**

Students will be able to critically analyze current and proposed regulations from a legal, economic and policy perspective.

### **Required Textbooks and Materials**

#### Required Texts

- Law, Business & Society 10th ed. (Tony McAdams, et al.).

#### Required Materials

- Cases, as assigned. Cases not in the text will be available on eLearning

### **Suggested Course Materials**

#### Suggested Readings/Texts

- Anything that keeps you up to date on current events (e.g., The New York Times, Wall Street Journal, Financial Times, etc.)

Textbooks and some other bookstore materials can be ordered online through [Off-Campus Books](#) or the [UTD Bookstore](#). They are also available in stock at both bookstores.

### **Course Policies**

#### *Make-up exams*

Make-up exams are offered at the discretion of the instructor and only for approved reasons (e.g., death of a close relative or serious illness).

#### *Extra Credit*

There is no extra credit for this course.

#### *Late Work*

Assignments are due (on eLearning) by 11:59 pm on the due date listed on the syllabus. Ten (10) points will be deducted from your grade for each day that an assignment is late; however, assignments that are more than three (3) days late will not be accepted.

#### *Class Participation*

Students are required to login regularly to the online class site. Students are required to participate in all class activities such as discussion board.

#### *Virtual Classroom Citizenship*

The same guidelines that apply to traditional classes should be observed in the virtual classroom environment. Please use proper netiquette when interacting with class members and the professor.

### *Policy on Server Unavailability or Other Technical Difficulties*

The university is committed to providing a reliable online course system to all users. However, in the event of any unexpected server outage or any unusual technical difficulty which prevents students from completing a time sensitive assessment activity, the instructor will extend the time windows and provide an appropriate accommodation based on the situation. Students should immediately report any problems to the instructor and also contact the UTD eLearning Help Desk:

<http://www.utdallas.edu/elearninghelp>, 1-866-588-3192. The instructor and the UTD eLearning Help Desk will work with the student to resolve any issues at the earliest possible time.

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## Technical Requirements

In addition to a confident level of computer and Internet literacy, certain minimum technical requirements must be met to enable a successful learning experience. Please review the important [technical requirements](#) on the [Getting Started with eLearning webpage](#).

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## Course Access and Navigation

This course was developed using a web course tool called eLearning. It is to be delivered entirely online. Students will use their UTD NetID account to login at: <http://elearning.utdallas.edu>. Please see more details on [course access and navigation information](#).

To get familiar with the eLearning tool, please see the [Student eLearning Tutorials](#).

UTD provides eLearning technical support 24 hours a day/7 days a week. The services include a toll free telephone number for immediate assistance (1-866-588-3192), email request service, and an online chat service. Please use this link to access the UTD eLearning Support Center:

<http://www.utdallas.edu/elearninghelp>.

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## Communications

This eLearning course has built-in communication tools which will be used for interaction and communication. Some external communication tools such as regular email and a web conferencing tool may also be used during the semester. For more details, please visit the [eLearning Tutorials webpage](#) for video demonstrations on numerous tools in eLearning.

### **Interaction with Instructor**

The instructor will communicate with students mainly using the Announcements and Discussions tools. Students may send personal concerns or questions to the instructor using the course email tool. The instructor will reply to student emails or Discussion board messages within 3 working days under normal circumstances.

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## **Student Resources**

The following university resources are available to students:

### **UTD Distance Learning:**

<http://www.utdallas.edu/elearning/students/cstudents.htm>

### **McDermott Library:**

Distance Learners (UTD students who live outside the boundaries of Collin, Dallas, Denton, Rockwall, or Tarrant counties) will need a UTD-ID number to access all of the library's electronic resources (reserves, journal articles, ebooks, interlibrary loan) from off campus. For UTD students living within those counties who are taking online courses, a Comet Card is required to check out materials at the McDermott Library. For more information on library resources go to <http://www.utdallas.edu/library/distance.html>.

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## **Student Assessments**

### **Grading Information**

#### *Weights*

Test 1	10%
Test 2	10%
Test 3	10%
Writing Assignment 1	25%
Writing Assignment 2	25%

Class Participation	20%
Total	100%

### *Grading Scale*

Scaled Score	Letter Equivalent
100 – 90	A
89 – 80	B
79 – 70	C
Less than 70	F

### *Grading Policy*

Your grade in this class will consist of:

Tests: (30% of the total course grade) Three (3) non-cumulative tests (10% each, for a total of 30%). The timed tests will be 50 questions (40 multiple choice, 10 true/false) and open-book, open-notes. You will have 50 minutes to complete each test.

Writing Assignments: (50% of the total course grade) Two writing assignments, each 3-4 pages in length. Details, guidelines and expectations are listed under the “Assignments” section of this syllabus.

Class Participation: (20% of the total course grade) Completion of two (2) thoughtful weekly postings to the class discussion boards are required to get full credit for class participation. More information is listed under the “Participation/Discussion” section of this syllabus.

### *Accessing Grades*

Students can check their grades by clicking “My Grades” on the course menu after the grade for each assessment task is released.

## **Assignments**

### **Writing Assignments (50% of the total course grade):**

Two writing assignments (25% of the course grade each, for a combined total of 50%). The instructions for both assignments are:

Find a current newspaper or magazine article covering the regulation of business or financial markets relating to a topic that we have discussed in class. Write a 3-4 page paper (double spaced, Times New Roman font, 12 point type, normal margins) identifying the relevant legal or regulatory issues and analyzing or explaining the subject at issue based on concepts discussed in class. If you provide a summary of the article, your summary should be brief (i.e., no more than 3 sentences).

The paper should be your own thoughts and in your own words. If you choose to quote more than three words in a row directly from the article (or any other source), the quoted language should be cited and in quotation marks. If you choose to quote directly or use ideas from any other sources, you should cite the source (including the title, date, author and publication or website). Do not plagiarize! Plagiarized work will be reported to the University's Office of Judicial Affairs. (For additional guidance on avoiding plagiarism, please see:

<http://www.utdallas.edu/library/help/PlagiarismTutorial/Textonlytutorial.htm>)

The goal of the assignment is to show that you are able to apply concepts you learned in class. Exemplary student papers will provide a scholarly analysis of the legal and regulatory issues presented, avoiding mere summarization and/or personal opinions. Examples of model student papers will be available on eLearning.

### Grading criteria:

1. An "A" paper identifies the relevant legal and/or regulatory issues discussed in the article and thoroughly discusses each aspect, incorporating concepts and materials discussed in class.
2. A "B" paper identifies the relevant legal and/or regulatory issues discussed in the article and relates those issues to concepts discussed in class, but does not thoroughly discuss each aspect.
3. A "C" or below paper merely summarizes the article and/or fails to incorporate concepts from class.
4. Papers written on a topic unrelated to business regulation or that fail to follow the assignment guidelines will receive a grade of "F".

### Turnitin eLearning Assignment Submission Instructions

The assignment(s) will be submitted and examined through the integrated plagiarism detection tool called [Turnitin](#). Please find the Turnitin assignment submission link on the designated course page and click to view it. Please follow the on-screen instruction to view the assignment information and to submit your assignment. (Note: only one single file may be submitted. Some common file types accepted are: Word, HTML, PDF, TXT and RTF.) You can go back to the Turnitin assignment page to view your submission and check the feedback when it becomes available. If instructor chooses to release the Originality Report (showing the percentage of similarity match and the sources detected), you will also be able to view it. For more information and assistance on using Turnitin, please go to:

[http://www.turnitin.com/en\\_us/support/help-center](http://www.turnitin.com/en_us/support/help-center).

### Participation/Discussions

To get full credit for class participation, you must post 2 times each syllabus week on the class discussion boards. For example, Week 1 of the syllabus is 1/12-1/17. In order to receive full credit for participation for that week, you must post 2 times between 1/12-1/17. Although you are welcome (and encouraged) to post more than 2 times a week, you will not receive extra or make up credit for additional posts in a given week.

Because some of you may forget or be unable to post at some point during the course of the semester, you may miss a combined total of up to 3 posts (at any point during the semester) and still receive full credit for class participation.

Your participation grade will be calculated out of a possible total of 28 points (2 posts per week for 14 weeks). If you enroll in the course late, it is your responsibility to inform the instructor so that you are not penalized for missing posts for weeks in which you were not enrolled in the course.

Posts should be thoughtful and relevant to the topic at hand. One word posts or posts such as "I agree", will not receive credit. University policies regarding plagiarism also apply to discussion board postings.

### Online Tests/Quizzes

Quizzes: For review purposes, there will be an untimed, ungraded self-quiz at the end of each topic. You may take the quizzes as many times as you like.

Tests: There will be a non-cumulative test at the end of each module. All three tests will be taken online. Each test will consist of 50 questions. The test questions will be 40 multiple choice and 10 true/false.

You will have 50 minutes to complete each of the exams.

**All three exams will be taken online, and will be open book and open notes, but please note you will only have 50 minutes to take the exam. This means that you will not have enough time to look everything up while taking the exam.**

You can access quizzes/exams by clicking the quiz/exam link on the designated page. Each quiz is timed, and the number of attempts allowed within a scheduled time window will be specified. Please read the on-screen instructions carefully before you click "Begin". After each quiz is graded and released, you may go to My Grades page, click the quiz and the score link of the quiz to view your graded submission.

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### Academic Calendar

WEEK / DATES	TOPIC/LECTURE	READING	ASSESSMENT / ACTIVITY	DUE DATE
0	Course Access and Self-Orientation	Syllabus	Syllabus Quiz	5/27
1 5/27- 5/30	Capitalism & the Role of the Market	p. 8-30	Lecture 1  Self-Quiz 1	5/30
2 5/31- 6/6	Business Ethics, Self-Regulation & Corporate Social Responsibility	Business Ethics: p. 72-88  CFA Code of Ethics and Standards of Professional Conduct, available online at: <a href="http://www.cfapubs.org/doi/pdf/10.2469/ccb.v2014.n6.1">http://www.cfapubs.org/doi/pdf/10.2469/ccb.v2014.n6.1</a>	Lecture 2A	6/6



	The Legal System	<p>Corporate Social Responsibility: p. 98-107, 116-124</p> <p>Intro to the Legal System: p. 146-151, 154-162</p>	<p>Lecture 2B Self-Quiz 2</p> <p>Lecture 3A</p>	
3 6/7-6/13	The Legal System (cont.) and the Constitutional Framework for Regulation	<p>Legal System &amp; Trial Process: p. 162-178 (read <i>Schwarzenegger</i> case on p. 163, but skip other cases: <i>Mayer</i>, <i>Minichiello</i>, <i>Nickels</i>)) <b>[Note:</b> Do not worry about the details of the trial process (the specifics of jurisdiction, pleadings, motions, discovery, etc.). I will review in lecture what you need to know from these materials]</p> <p>Constitutional Framework for Regulation: the First Amendment &amp; Bill of Rights p. 195-230 (skip <i>Skilling</i> case on p. 225)</p>	<p>Lecture 3B Self-Quiz 3</p> <p>Lecture 4A Lecture 4B Self-Quiz 4</p>	6/13
4 6/14-6/20	Regulation through Litigation: Business Torts & Product Liability	<p>Intro to Torts: Intentional Torts: p. 282-294 (skip <i>Gallagher</i> case on p. 289)</p> <p>Negligence &amp; Product Liability p. 294-311</p> <p>Warranties &amp; Strict Liability p. 311-325 (skip <i>Hodges</i> case on p. 314)</p> <p>Read <i>Mitchell v. Fridays</i> (available on eLearning)</p>	<p>Lecture 5A Lecture 5B</p> <p>Lecture 5C Self-Quiz 5</p>	6/20

6/18 6/20	TEST 1 available on eLearning until 6/20 at 11:59 PM CST			
5 6/21- 6/27	Commerce Clause & Administrative Agencies	Market Failure & the Commerce Power: p. 332-354 Administrative Agencies: p. 354-377 (skip <i>FCC v. Fox</i> case on p. 361)	Lecture 6A  Lecture 6B Self-Quiz 6	6/27
6 6/28- 7/4	Consumer Protection	Common Law, State and Federal Consumer Protection: p. 646-661 (skip <i>Sipe</i> case on p. 652). Read <i>GM v. Dohmann</i> (available on eLearning) Creditor/Debtor Regulation: p. 661-678 (skip <i>Williams</i> case on p. 672)	Lecture 7A  Lecture 7B Self-Quiz 7	7/4
	Writing Assignment #1 due 7/5 by 11:59 PM CST			7/5
7 7/5- 7/11	Antitrust: Restraints of Trade          Antitrust: Monopolies and Mergers	Horizontal Restraints: p. 437-450 (skip <i>Romero</i> case on p. 445) Read <i>Fears v. Wilhelmina</i> (available on eLearning) Vertical Restraints: p. 450-465 (skip <i>Rick-Mik</i> case on p. 456). Read <i>Queen City Pizza v. Domino's</i> (available on eLearning)  Monopolies & Mergers: p. 470-499 (skip <i>Christy Sports</i> case on p. 478). Read <i>PepsiCo v. Coca-Cola Co.</i> (available on eLearning)	Lecture 8A      Lecture 8B Self-Quiz 8    Lecture 9 Self-Quiz 9	7/11

7/9-7/11	<b>TEST 2 available until 7/11 at 11:59 PM CST</b>			7/11
8 7/12-7/18	Corporate Governance	Corporate Business Forms: p. 386-412	Lecture 10A	7/18
9 7/19-7/25	Securities & Financial Regulation	Securities Regulation: p. 412-432	Lecture 10B Self-Quiz 10	7/25
10 7/26-8/1	Employment Regulation: Employee Rights	Employer Liability: p. 506-516  Employee Rights: p. 516-545 (skip <i>Wait</i> case on p. 524) Read <i>Quaker Oats v. Ciba</i> (available on eLearning)	Lecture 11A  Lecture 11B Self-Quiz 11	8/1
11 8/2-8/8	Employment Regulation: Discrimination	Intro to Employment Discrimination: p. 555-569  Sex Discrimination & Affirmative Action: p. 569-597 (skip <i>Ricci</i> case on p. 586). Read <i>Reynolds v. City of Chicago</i> (available on eLearning)	Lecture 12A  Lecture 12B Self-Quiz 12	8/8
	<b>Writing Assignment #2 due 8/8 by 11:59 PM CST</b>			8/8
8/6-8/8	<b>TEST 3 available until 8/8 at 11:59 PM CST</b>			8/8

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## Academic Integrity

The University has policies and discipline procedures regarding academic dishonesty. Detailed information is available on the [UTD Judicial Affairs](#) web page. All students are expected to maintain a high level of responsibility with respect to academic honesty. Students who violate University rules on academic honesty are subject to disciplinary penalties, including the possibility of failure in the course and/or dismissal from the University. Since such dishonesty harms the individual, all students and the integrity of the University, policies on scholastic dishonesty will be strictly enforced.

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## Course Evaluation

As required by UTD academic regulations, every student must complete an evaluation for each enrolled course at the end of the semester. An online instructional assessment form will be made available for your confidential use. Please watch for the email notification at your UTD email inbox with course evaluation access information towards the end of semester.

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## University Policies

The information contained in the following link constitutes the University's policies and procedures segment of the course syllabus.

Please go to <http://go.utdallas.edu/syllabus-policies> for these policies.

***These descriptions and timelines are subject to change at the discretion of the professor.***

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