

Investment Management Regulation

Fall 2009

Assigned book and Syllabus

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1. **The reading assignments** are listed below. Because changes occur very often these days, recent developments will be covered by additional materials. IAA means Investment Advisers Act of 1940. ICA means Investment Company Act of 1940.
2. **The assigned book is:** Tamar Frankel and Clifford E. Kirsch, Investment management Regulation (3d ed. 2005).
3. **Please order the book directly** through: www.teachmutualfunds.com. Do not seek the book in the book store. If you have difficulties in ordering the book please contact me at tfrankel@bu.edu or call 617 353-3773.
4. **There will be a take-home exam.**

<u>Class/Date</u>	<u>Assigned reading. Pages</u>
1. 9.1.09	1-16.
2. 9.3.09	17-34.
3. 9.8.09	34-48.
4. 9.10.09	49-53, 61-68, and §202(a)(11) IAA.
5. 9.15.09	68-83.
6. 9.17.09	85-95.
7. 9.22.09	95-121.
8. 9.24.09	121-141.
9. 9.29.09	141-149.
10. 10.1.09	150-163.
11. 10.6.09.	Sub-Prime Asset Backed Securities.
12. 10.8.09	173-185. Registration and disclosure
13. 10.15.09	185-203.
14. 10.20.09	218-224. Disclosure. Abusive trading
15. 10.22.09	235-247. Fund-management. ADV.
16. 10.27.09	247-263.
17. 10.29.09	265-284. Fund governance. Directors.
18. 11.3.09	285-299. Fund board
11.5.09	377-408. § 17(j) ICA. Sales load
19. 11.10.09	423-437. Ch.12. ICA §17(a).
20. 11.12.09	438-451. ICA § 17(d).
21. 11.17.09	451-461. §10(f) ICA to end of chapter.
22. 11.29.09	519-544. Ethical issues.
23. 11.24.09	
25. 12.1.09	
26. 12.3.09	

