

ELECTIVE: SECURITIES LAW

Sample 1

Activity	Initial Each Selected Item
Review & Revise the following documents:	
• 10-K	
• 10-Q	
• Proxy Statement	
• 8-K	
• Registration Statement	

Sample 2

Activity	Initial Each Selected Item
Draft a PPM	
Draft a complaint with securities fraud violations	
Renew disclosures of an offering	
Identify risks	
Understand differences between Federal and Utah securities laws	

Sample 3

Activity	Initial Each Selected Item
Prepare Form 3, 4, 5 filings	
Participate in proxy drafting	
Draft current report 8-K filings	
Participate in 10-K and 10-Q filings	
Participate in bond offering memorandum drafting and associated due diligence	
Public communications—review press releases for compliance with securities regulation	
Transfer agent issues	
Issuance and disclosure of restricted stock awards under equity incentive plan	

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Sample 4

Activity	Initial Each Selected Item
Participate in drafting and reviewing PPM	
Draft complaint with securities fraud/violations	
Review disclosures of an offering	
Identify risks	
Understand differences between federal and Utah securities laws	
Draft correspondence to the Securities Division or the Division of Consumer Protection	