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This title will help you acquire an understanding of the basic content and organization of federal and state securities law. It provides a summary of an intricate regulatory system. An authoritative summary, it covers the essential background and current status of each major area, while keeping details and citations to a minimum. It discusses the regulations governing public offerings, public companies, exemptions from SEC disclosure requirements, securities broker-dealers, as well as investment companies and investment advisers. It also explores sanctions, civil liabilities, and extraterritorial application, the Dodd-Frank Act as well as the JOBS Act, including the crowdfunding and expanded Regulation A exemptions.

Securities Regulation: The Essentials is part of Aspen's new "

This Understanding treatise follows a logical sequence of analysis of a securities issue. The author begins by defining a "security" and registration exemptions, and then continues through the process for non-exempt transactions. Understanding Securities Law clearly, thoroughly, and concisely addresses the subjects covered in basic Securities Regulation courses, including: • The definition of securities exemptions from registration; • the registration framework and process; • Sarbanes-Oxley Act; • SEC Securities Act Offering Rules; • Resales and reorganizations; • Due diligence; • Liabilities and remedies; • Affirmative disclosure duties; • Insider trading; • SEC enforcement; and • Professional responsibility. The author also includes a glossary of key terms, statutes, rules, regulations and forms and schedules, and comparative charts synopsizing previously discussed materials. The text covers the regulation of public and privately held companies under the Securities Acts, SEC "fraud" concepts, civil liabilities under the securities laws, and state "Blue Sky" laws. It also discusses the Sarbanes-Oxley legislation, SEC public offering rules, SEC regulations on the resale of securities, and recent federal Supreme Court and appellate court decisions. The eBook version of this title feature links to Lexis Advance for further legal research options.

"Rev ed. of: Securities regulation in a nutshell / by David L. Ratner. 8th ed. 2005" -- Library of Congress.

This book provides you with the guidance you need to protect your clients' confidential information while facing disclosure and liability concerns under the securities laws.

Regulation of Securities: SEC Answer Book, Fifth Edition is your complete guide to understanding and complying with the day-to-day requirements of the federal securities laws that affect all public companies. Using a question-and-answer format similar to that which the SEC has embraced, this valuable desk reference provides concise, understandable answers to the most frequently asked compliance questions, and ready access to key statutes, regulations, and court decisions. Designed for both beginners and seasoned professionals, the volume contains approximately 1,400 pages organized in 23 self-contained chapters. Each chapter covers the basics before moving into the nuanced details, meeting the needs of those who seek a general understanding of a topic as well as those grappling directly with critical issues. Twice-yearly supplements keep the book current in this rapidly evolving field. Whether you are a lawyer, accountant, corporate executive, director or investor, you'll be able to quickly find concise answers to essential questions about the Dodd-Frank Act, Exchange Act registration and reporting, executive compensation disclosure, derivatives disclosure, management's discussion and analysis, audit committee responsibilities, Sarbanes-Oxley, electronic filing, interactive financial data, tender offers, proxy solicitations, insider trading, going private transactions, shareholders' rights, SEC investigations, criminal enforcement, securities class actions, and much more!

Students depend on Securities Regulation: Examples & Explanations because it gives them what they need: - coverage of key concepts, such as public offerings, exemptions from registration, liability in securities offerings, materiality, definition of security, securities fraud, insider trading, SEC enforcement, and cross-border regulation - Examples and Explanations approach that reinforces learning by combining textual material with well-written examples, questions, and explanations - assistance in navigating a complex subject, beginning with clear delineations of the basic concepts of securities regulation and then applying the concepts in specific areas - numerous examples drawn from newsworthy events - content corresponds to the topics in the leading casebooks - sound and logical organization moves from major themes to specifics - clear and straightforward writing style The Third Edition keeps pace with developments in the law: - Sarbanes-Oxley Act with comprehensive overview and developments, including new problems - new SEC rules on expanded risk disclosure, company certifications, and lawyer up the ladder reporting - new material on IPO abuses: spinning, flipping, gun-jumping - new NYSE and NASDAQ rules on corporate governance listing standards and stock analysts - new and updated cases - new and revised examples

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