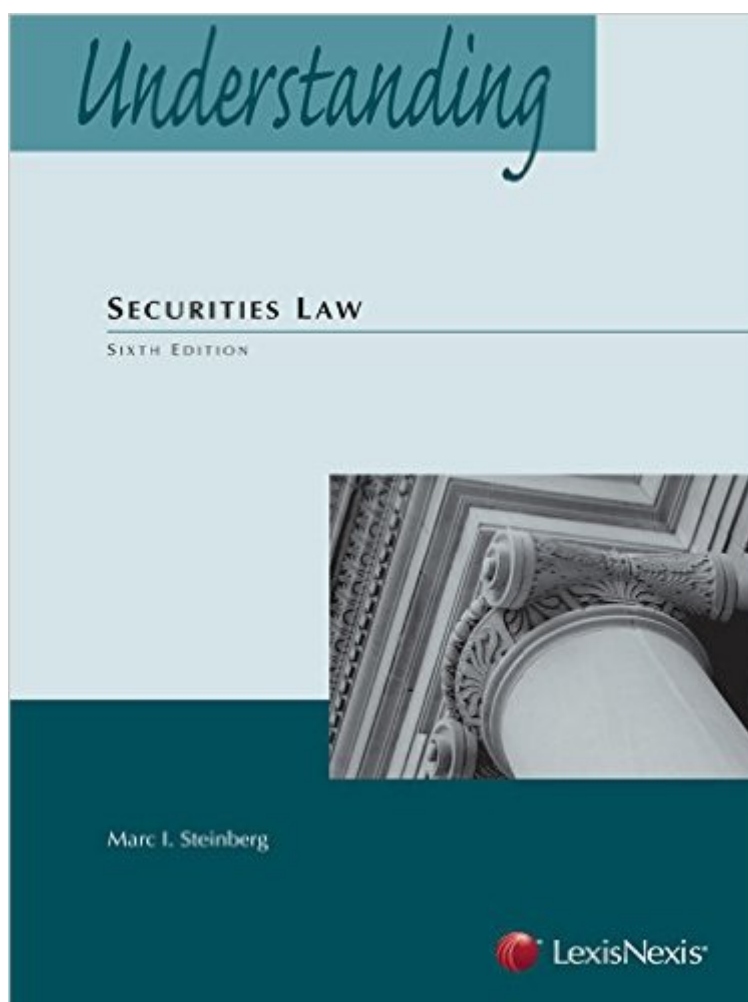


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Understanding Securities Law (2014)



Synopsis

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 synopsising 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.

Book Information

Paperback: 550 pages

Publisher: LexisNexis; Sixth edition (April 23, 2014)

Language: English

ISBN-10: 1422482227

ISBN-13: 978-1422482223

Product Dimensions: 1.2 x 6.5 x 9.2 inches

Shipping Weight: 1.8 pounds (View shipping rates and policies)

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