

Why Should I Care about Securities Laws - Anti-Fraud Provisions

Federal Law	State Law
<ul style="list-style-type: none">▪ Securities Act of 1933 §12(2)▪ Securities Act of 1933 §17(a)▪ Securities Exchange Act of 1934 §10(b)▪ Securities Exchange Act of 1934 §15(c)(1)▪ Exchange Act Rule 10b-5▪ Exchange Act Rule 15C1-2	<ul style="list-style-type: none">▪ Uniform Securities Act of 2002 §501▪ Uniform Securities Act of 1956 §101▪ Martin Act §352



The New Uniform Securities Act

James M. Bartos, Jim Bartos



The New Uniform Securities Act:

The New Uniform Securities Act Joel Seligman, 2003-01-01 This book is the only published version of the new Uniform Securities Act that includes reporter's notes Joel Seligman The reporter for this revision To The act Is a noted expert in securities regulation and provides authoritative insight throughout the book it will benefit Securities Attorneys in government and private practice who practice state securities laws state legislators and regulators corporate counsel as well as private law firm and governmental Libraries Law school faculty and libraries and self regulatory organizations Includes discussions of the seven articles covered in the New Act General Provisions Exemptions from Registration of Securities and Notice Filing of Federal Covered Securities Broker Dealers Agents Investment Advisers Investment Adviser Representatives and Federal Covered Investment Advisers Fraud and Liabilities Administration and Judicial Review Transition Also The Securities Industry Association has endorsed the New Uniform Securities Act by Joel Seligman **Commentary on the Uniform Securities Act** Louis Loss, 1976 **Regulation of Securities: SEC Answer Book, 5th Edition** Levy, 2016-01-01 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 **United States Securities Law** James M. Bartos, Jim Bartos, 2006-01-01 Capital raising mergers and acquisitions and securities trading around the world often involve some connection with the United States and implicate the US securities laws United States Securities Law A Practical Guide offers a concise overview of US securities laws from the perspective of a non US participant It is written not only for lawyers but for managers bankers and others with an interest in the topic This new edition has been significantly updated and expanded including for the SEC s recent offering reforms and corporate governance developments Praise for the Second Edition This book has been a valuable resource in effectively counselling my company in the intricacies of SEC regulation Jim with his many years of counselling foreign issuers out of his firms London

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