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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." -- Publisher.

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 synopsisizing 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.

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

The new Securities Litigation and Enforcement Nutshell focuses on an area of law that burgeoned more than a decade ago after the accounting and corporate governance scandals at Enron, WorldCom, and other large companies and then continued to expand with the 2008 financial crisis and subsequent legislation, including the Dodd-Frank Act of 2010 and the JOBS Act of 2012. The Nutshell examines private, SEC, and criminal enforcement of the federal securities laws, with an emphasis on the elements that establish securities fraud, and the doctrinal and practical issues that typically emerge in prosecuting or defending such claims. Because it focuses exclusively on securities litigation and enforcement, this Nutshell fills a gap in currently available materials and will be an essential resource not only for law students but also for attorneys (particularly those in large national law firms).

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.

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This title is designed to provide an introduction and overview of broker-dealer regulation in the securities markets. It covers broker-dealer front office and back office issues as well as market regulation generally. It gives you with an understanding of basic concepts and the underlying regulatory scheme, providing an explanation of broker-dealer regulation generally, sales practices, analysts' conflicts of interest, civil liabilities, and arbitration. This title also provides an overview of industry self-regulation under FINRA (the Financial Industry Regulatory Authority).

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