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and other derivatives); Ambit of securities research regulations (marketers of research, including hedge fund research)  
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Minimizing approval and publishing risks; Honesty and fair treatment of clients; Honesty and fair treatment of clients; Common securities-related violations cited by the SEC and FINRA of the U.S.; Regulations tightening up around the world (Hong Kong); Regulations tightening up around the world (China); Regulations tightening up around the world (Japan)  
Front-running and selective distribution of researchFront-running and selective distribution of research (huddles); Front-running of research;  
Selective distribution of research; Selective distribution of research (fact-checking); Selective distribution of research (greater conviction of view); Insider dealing and selective disclosure; Use/dissemination of price-sensitive information (general); Use/dissemination of price-sensitive information (U.S.); Use/dissemination of price-sensitive information (U.K.); Use/dissemination of price-sensitive information (Hong Kong)  
Use/dissemination of price-sensitive information (serial insider trading)  
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Use/dissemination of price-sensitive information (economists); Specific requests and proprietary information; Definition of publishing; Unfair portrayal of past recommendations; Performance of past recommendations; Conflicts of interest and disclosure of interests; Catering to investors with specific investment criteria; Shari'ah law implications for securities research analysts (stocks); Shari'ah law implications for securities research analysts (bonds)  
The virtues of a vice portfolio

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## Sommario/riassunto

The book highlights the major risks that securities analysts (and other securities professionals) face. The various laws, rules and regulations that securities analysts are subject to are broadly split into three categories: research-specific rules and regulations; market-wide laws; and society-wide laws and customs. The risks that arise out of these various levels of rules and regulations, insofar as research analysts and other securities professionals are concerned, include conflicts of interest, fair distribution/front-running of research, insider trading, spreading of rumours, not highligh

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