Record Nr. UNINA9910150250603321 Autore Hazen Thomas Lee <1947-> Titolo The law of securities regulation / / Thomas Lee Hazen Pubbl/distr/stampa St. Paul, Minnesota:,: West Academic Publishing,, 2017 ©2017 **ISBN** 1-68328-170-5 Edizione [Seventh edition.] Descrizione fisica 1 online resource (1,056 pages): illustrations Collana Hornbook series Disciplina 346.730666 Securities - United States Soggetti Lingua di pubblicazione Inglese **Formato** Materiale a stampa Livello bibliografico Monografia Nota di bibliografia Includes bibliographical references and index. The basic coverage of the securities laws -- Registration requirements Nota di contenuto of the Securities Act of 1933 -- The 1933 Act registration process and disclosure -- Exemptions from 1933 Act registration -- The theory of sale: corporate recapitalizations, reorganizations and mergers under the 1933 Act -- IPO practices: manipulation, stabilization and hot issues -- Remedies for violations of the Securities Act of 1933 (and other consequences of deficient registration statements) -- State securities laws ("blue sky" laws) -- Securities Exchange Act of 1934 : registration and reporting requirements for publicly traded companies -- Shareholder suffrage: proxy regulation -- Tender offer and takeover regulation -- Manipulation and fraud : civil liability -- Insider reporting and short-swing trading: Securities Exchange Act section 16 -- Market regulation and broker-dealer regulation -- Arbitration of broker-dealer disputes -- Civil and criminal enforcement --Jurisdictional aspects -- Debt securities and protection of bondholders : the Trust Indenture Act of 1939 -- Federal regulation of investment

companies: the Investment Company Act of 1940 -- Investment

Advisers Act of 1940 -- Special problems and overview of related laws.