

1. Record Nr.	UNINA9910831042803321
Autore	Bolland Jeremy F
Titolo	Writing securities research [[electronic resource]] : a best practice guide // Jeremy Bolland
Pubbl/distr/stampa	Singapore ; ; Hoboken, N.J., : Wiley, c2010
ISBN	0-470-82696-7 1-119-19945-X 0-470-82695-9
Edizione	[2nd ed.]
Descrizione fisica	1 online resource (350 p.)
Disciplina	332.632
Soggetti	Securities - Research Investment analysis Report writing Conflict of interests
Lingua di pubblicazione	Inglese
Formato	Materiale a stampa
Livello bibliografico	Monografia
Note generali	Previous ed.: 2007.
Nota di bibliografia	Includes bibliographical references and index.
Nota di contenuto	WRITING SECURITIES RESEARCH; Contents; Foreword; Preface; Summary points and recommendations; Background; Background to the second edition; Background to the first edition; The changing regulatory environment; Introduction; More education rather than more regulation; The need to identify investment risk; Target readership; Commercial benefits to compliance; Local differences and specific circumstances; Summary; Case studies and examples; Themes; Research coverage; Sourcing information; Reasonable basis for recommendations and risk assessment; Conflicts of interest; Writing in general Acknowledgments Abbreviations Used in This Book; Chapter 1: Principles of Research; Key points; Definition and supervision of research; Supervision and control of research; Marketing research to the U.S. by foreign broker-dealers; Stock-picking tips; Continuing education; Cheating in tests; The realm of research; Ambit of securities regulations (bonds); Ambit of securities research regulations (equity and credit research analysts); Ambit of securities regulations (swaps and other derivatives); Ambit of securities research regulations

(marketers of research, including hedge fund research)
Ambit of securities research regulations (analysts as experts on sales desks)
Ambit of securities research regulations (stock-tipping bloggers);
Ambit of securities research regulations (media commentators);
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 research
Front-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)
Use/dissemination of price-sensitive information (pillow talk);
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

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
