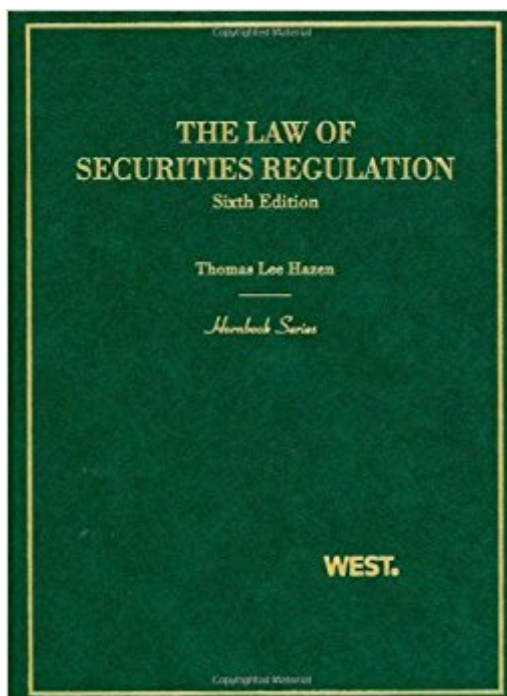


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The Law Of Securities Regulation, 6th Edition Hornbook (Hornbooks)



Synopsis

Revised to reflect the SEC's offering reform and recent Supreme Court developments, this Hornbook now is totally up to date. It is a comprehensive secondary source for any course in Securities Regulation. Coverage includes definition of security, registration and disclosure obligations under the Securities Act of 1933, exemptions from registration, reporting obligations under the Securities Exchange Act of 1934, the proxy rules, tender offer regulation, and civil liabilities. The book treats broker-dealer regulation, market regulation, and the administrative role of the SEC, as well as proxy rules, insider trading, the Investment Company Act and the Investment Advisers Act. The up-to-date discussion of market regulation includes discussion of the role of FINRA, the successor to the regulatory arms of the New York Stock Exchange and the National Association of Securities Dealers.

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Customer Reviews

This is a great reference book and primer on securities law. I initially purchased it to supplement to my securities regulation class. Since then, I have referenced it in internships and other classes. It provides a clear, cogent introduction to every aspect of securities law with extensive citations. This hornbook is the abridged version of the more exhaustive seven-volume treatise (which is available and searchable on Westlaw). Helpfully, it retains the section numbers and footnote numbering as they appear in the multi-volume version, allowing a researcher to easily consult the multi-volume version for more substance and citations. There are quite a few typos throughout, but, after

extensive use, I have only found two errors and one significant omission. Although Dodd-Frank, and recent opinions and rules have made significant changes to securities laws, this is still a very helpful primer and reference by itself. Furthermore, the multi-volume version on Westlaw has the Pocket Parts which are regularly updated. Finally, the multi-volume treatise is often cited by courts, indicating its reliability.

Although not as extensive as Hazen's treatise on securities, this hornbook is a nice starting point for many research issues. A recommended addition to any securities attorney's shelf, and an essential for students hoping to practice in securities.

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