Securities Regulation in a Nutshell (Nutshell Series)

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Securities Regulation In A Nutshell

Marc A. Rodwin

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Securities Regulation David L. Ratner, Thomas Lee Hazen, 1991 Promoting Information in the Marketplace for Financial Services Paul Latimer, Philipp Maume, 2014-11-14 This book provides a unique comparative and global analysis of the regulation of disclosure in financial securities markets. It is written by two authors who represent both the new world Australia and the old world Germany. The authors present their research in the global business context with legal and regulatory perspectives including some references from Africa Asia the Middle East and South America. After every boom and bust legislators pass new disclosure legislation often in a heated environment fuelled by politics and the media Little regard is paid to existing regulation or the lessons learned from earlier regulation. The result is the continuing enactment of redundant and overlapping disclosure laws. Since financial markets are often described as markets for information the failure to ensure disclosure is at the heart of financial services regulation. This book argues that the solution to the failure of disclosure is a brief easily understood principles based plain English safety net amendment to statute law such as you must keep the financial market fully informed a measure that would support effective mandatory continuous disclosure of information to financial markets. This book examines the reasons for disclosure regulation and how the efficient operation of

financial markets is dependent on disclosure It examines the adequacy of common law and civil law concerning broker client disclosure and concludes that industry licensing in itself fails to keep the market informed While recognizing the failures of securities commissions to achieve good disclosure in financial markets it confirms the effectiveness of coregulation of disclosure by a commission with the support of the financial markets such as the stock exchange Coregulation builds on financial market self regulation and is best described in the words of one time SEC Chairman William O Douglas who in the 1930s described it as a shotgun behind the door **Derivatives Regulation** Philip McBride Johnson, Thomas Lee Hazen, 2004-01-01 For over a quarter century Commodities Regulation has been recognized as the resource covering the derivatives marketplace Today Derivatives Regulation builds on that expertise delivering the coverage professionals and practitioners need in order to stay current with this changing topic Derivatives Regulation comprehensively covers the Commodity Exchange Act along with all other relevant aspects of the regulation of securities that have an impact on the derivatives markets Derivatives Regulation is completely updated to cover the full range of emerging regulatory reporting and legal issues surrounding derivatives and related instruments including Distinguishing between regulated and unregulated derivatives and knowing which rules to apply The significant roles of the SEC and the federal laws in regulating derivatives Meeting standards for exemption or other relief The workings of the derivatives markets and the rules applicable to trading Registration reporting and disclosure requirements applicable to commodities professionals Criteria for publicly traded futures and commodity options Rules governing unprofessional conduct including the antifraud and anti manipulation prohibitions Customer protections the CFTC s reparations program arbitration programs and private rights of action in the **Medicine, Money, and Morals** Marc A. Rodwin,1995-04-20 Conflicts of interest are rampant in the American courts medical community Today it is not uncommon for doctors to refer patients to clinics or labs in which they have a financial interest 40% of physicians in Florida invest in medical centers for hospitals to offer incentives to physicians who refer patients a practice that can lead to unnecessary hospitalization or for drug companies to provide lucrative give aways to entice doctors to use their brand name drugs which are much more expensive than generic drugs In Medicine Money and Morals Marc A Rodwin draws on his own experience as a health lawyer and his research in health ethics law and policy to reveal how financial conflicts of interest can and do negatively affect the quality of patient care He shows that the problem has become worse over the last century and provides many actual examples of how doctors decisions are influenced by financial considerations We learn how two California physicians for example resumed referrals to Pasadena General Hospital only after the hospital started paying 70 per patient their referrals grew from 14 in one month to 82 in the next As Rodwin writes incentives such as this can inhibit a doctor from taking action when a hospital fails to provide proper service and may also lead to the unnecessary hospitalization of patients We also learn of a Wyeth Ayerst Labs promotion in which physicians who started patients on INDERAL a drug for high blood pressure angina and migraines received 1000 mileage points on

American Airlines for each patient studies show that promotions such as this have a direct effect on a doctor's choice of drug Rodwin reveals why the medical community has failed to regulate conflicts of interest peer review has little authority state licensing boards are usually ignorant of abuses and the AMA code of ethics has historically been recommended rather than required He examines what can be learned from the way society has coped with the conflicts of interest of other professionals lawyers government officials and businessmen all of which are held to higher standards of accountability than doctors And he recommends that efforts be made to prohibit and regulate certain kinds of activity such as kickbacks and self referrals to monitor and regulate conduct and to provide penalties for improper conduct Our failure to face physicians conflicts of interest has distorted the way medicine is practiced compromised the loyalty of doctors to patients and harmed society the integrity of the medical profession and patients For those concerned with the quality of health care or medical ethics Medicine Money and Morals is a provocative look into the current health care crisis and a powerful prescription for change Going Public in the USA and the Valuation of IPOs Marco Petersen, 2001-10-08 Inhaltsangabe Abstract In the course of trade liberalization globalization and multi national corporations companies and private persons invest in and are financed by cross boarder transactions. There are several key trends that are globalizing the world economy and driving business to become more multinational to survive and prosper The objectives of this thesis are to give an overview of the going public procedure and the registration requirements for U S stock exchanges Hereby the paper just focuses on the major U S stock exchanges NYSE Nasdaq and the American Stock Exchange Amex Second the paper gives on overview of valuation methods However the paper emphasizes only on those valuation approaches which are used for valuing firms at IPOs the thesis discusses the economical benefits of an initial public offering on U S stock exchanges the thesis gives recommendations for potential non U S issuers that may pursue a listing on one of the U S stock exchanges Inhaltsverzeichnis Table of Contents Table of Contents III TablesIX FiguresXI List of AppendixXII AbbreviationXIII SymbolsXVII 1 Introduction 1 1 1 Relevance of the Topic 1 1 2 Objectives of the Thesis 3 1 3 Structure of the Thesis 4 2 The U S Stock Exchanges 5 2 1New York Stock Exchange 5 2 1 1Overview 5 2 1 2The New York Stock Exchange Market Data 6 2 1 3NYSE Listing Requirement 7 2 2Nasdag 11 2 2 10verview 11 2 2 2Nasdag Market Data 13 2 2 3Nasdag Listing Requirements14 2 3Amex18 2 3 1Overview18 2 3 2Amex Market Data19 2 3 3Amex Listing Requirements20 3 The U S Regulations and Authorities 21 3 1The SEC 21 3 2The NASD 23 3 2 1Profile of the NASD 23 3 2 2NASD Regulation 23 3 2 3The Nasdaq Stock Market Inc 24 3 2 4American Stock Exchange LLC24 3 2 5NASD Dispute Resolution Inc 25 3 3State Regulations 25 3 4 Securities Act of 193326 3 4 1 Registration requirements 26 3 4 2 Registration Exemption 27 3 4 3 Liabilities under the Securities Act29 3 5Securities Exchange Act of 193430 3 5 1Registration Requirements 30 3 5 2Liabilities under the Exchange Act32 4 American Depositary Receipts33 4 1Function of ADRs33 4 2Reasons for ADRs34 4 3Types of ADR Programs35 4 3 1Unsponsored versus Sponsored ADRs35 4 3 2Public versus Private ADR Programs36 4 3 3Non Capital

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