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The Official Handbook of the Securities Regulatory Commission
2008 Edition



Securities Regulatory Handbook

Lynford Graham



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[Handbook of High Frequency Trading](#) Greg N. Gregoriou,2015-02-05 This comprehensive examination of high frequency trading looks beyond mathematical models which are the subject of most HFT books to the mechanics of the marketplace In 25 chapters researchers probe the intricate nature of high frequency market dynamics market structure back office processes and regulation They look deeply into computing infrastructure describing data sources formats and required processing rates as well as software architecture and current technologies They also create contexts explaining the historical rise of automated trading systems corresponding technological advances in hardware and software and the evolution of the trading landscape Developed for students and professionals who want more than discussions on the econometrics of the modelling process The Handbook of High Frequency Trading explains the entirety of this controversial trading strategy Answers all questions about high frequency trading without being limited to mathematical modelling Illuminates market dynamics processes and regulations Explains how high frequency trading evolved and predicts its future developments

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successful criminal prosecutions or successful contested civil proceedings against corporations for insider trading and analyses the various rationales for prohibiting insider trading It reviews the insider trading regulatory regime and describes its key features using both national and international examples The book inspects a variety of criminal and civil models of corporate liability and considers the historical and theoretical basis on which corporations are subject to insider trading laws The specific elements of the insider trading offence and the manner in which they are attributed to corporations are analysed in detail Defences available to corporations such as Chinese Walls are explored and the obligations that are imposed on businesses as a result of insider trading regulation security trading policies and notifications continuous disclosure obligations and duties concerning conflicts of interest are detailed and examined The book concludes with reform proposals intended to remedy the many legal and commercial difficulties identified in order that a new regulatory regime might be adopted to better serve regulators businesses investors and the broader market This volume addresses these corporate law topics and will be of interest to researchers academics financial institution compliance officers investment bankers corporate and comparative lawyers and students and scholars in the fields of commercial law corporate law financial crime company law and white collar crime

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Market Abuse Regulation in South Africa, the United States of America and the United Kingdom Howard

Chitimira, 2018-04-01 This book provides a concise comparison of the regulation and enforcement of the anti market abuse laws insider trading and market manipulation in South Africa the United States of America USA and United Kingdom UK Bringing together a number of previously published articles the book provides a novel discussion of the challenges associated with the enforcement of market abuse laws in both developing countries such as South Africa and developed ones such as the USA and the UK This is primarily done to examine and expose the current strengths and weaknesses of market abuse laws in relation to certain aspects of the corporate securities and financial markets environments in South Africa the USA and the UK Accordingly chapters two to five of the book unpack the regulation and enforcement of market abuse laws in South Africa and the USA in a comparative perspective Thereafter chapters six to eight of the book discuss the regulation and enforcement of market abuse laws Financial Markets Act 19 of 2012 and other related statutes in South Africa and the UK The book proposes some measures that could be utilised to enhance the enforcement of anti market laws in South Africa USA and the UK New market abuse related challenges that occurred during the global financial crisis are also briefly discussed The book further provides a relatively adequate overview of the comparative analysis of the regulation of market abuse in South Africa versus two key developed and respected jurisdictions namely the USA and the UK Accordingly it is hoped that the book can aid regulatory authorities financial market participants academics students and other interested readers to understand market abuse offences and possible measures that could be employed to combat such offences **Research**

Handbook on the Regulation of Mutual Funds William A. Birdthistle, John Morley, 2018-10-26 With fifty trillion in worldwide assets the growth of mutual funds is a truly global phenomenon and deserves a broad international analysis Local political economies and legal regimes create different regulatory preferences for the oversight of these funds and academics public officials and legal practitioners wishing to understand the global investing environment will require a keen awareness of these international differences The contributors leading scholars in the field of investment law from around the world provide a current legal analysis of funds from a variety of perspectives and using an array of methodologies that consider the large fundamental questions governing the role and regulation of investment funds This volume also explores the identity and behavior of investors as well as issues surrounding less orthodox funds such as money market funds ETFs and private funds This Handbook will provide legal and financial scholars academics lawyers and regulators with a vital tool for working with mutual funds Contributors include W A Birdthistle M Bullard I H Y Chiu B Clarke Q Curtis D A DeMott J Fanto J E Fisch P Hanrahan L P Q Johnson W A Kaal A K Krug A B Laby J D Morley A Palmiter I Ramsay E D Roiter M White D A Zetsche

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