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CNMV's Fight Against Unscrupulous Financial Brokers

Securities Markets Actions Needed To Better Protect Investors Against Unscrupulous Brokers

Martin D. Weiss



Securities Markets Actions Needed To Better Protect Investors Against Unscrupulous Brokers:

Securities Markets DIANE Publishing Company,1995-07 Reviews the oversight and disciplinary actions of the Securities and Exchange Commission SEC and several of the securities industry s self regulatory organizations SRO against unscrupulous brokers individuals licensed to sell securities who have committed a significant breach of sales practice rules or have a history of repeated sales practice violations Insurance regulation : scandal highlights need for strengthened regulatory oversight : report to the Honorable John D. Dingell, ranking minority member, Committee on Commerce, House of Representatives , **Fraud in the Micro-capital Markets Including Penny Stock Fraud** United States. Congress. Senate. Committee on Governmental Affairs. Permanent Subcommittee on Investigations,1997 Insurance Regulation United States. General Accounting Office,2000 Monthly Catalogue, United States Public Documents ,1995 **Monthly Catalog of United States Government Publications** ,1995 **Indexes for Abstracts of Reports and Testimony** ,1994

The Ultimate Safe Money Guide Martin D. Weiss,2003-04-04 This comprehensive guide to senior issues covers all the financial issues that affect mature Americans including health care insurance protecting investments and retirement savings housing decisions and long term care including nursing homes **Rogue Brokers** United States. Congress. House. Committee on Energy and Commerce. Subcommittee on Telecommunications and Finance,1995 Distributed to some depository libraries in microfiche **Federal Register** ,1998-02 **Abstracts of Reports and Testimony** ,1995

Organized Crime on Wall Street United States. Congress. House. Committee on Commerce. Subcommittee on Finance and Hazardous Materials,2000 Regulating the Business of Insurance in a Federal System Joseph F. Zimmerman,2010-12-09 In *Regulating the Business of Insurance in a Federal System* Joseph F Zimmerman provides an up to date historical description and analysis of the regulation of the business of insurance in the United States He focuses on the controversial issue of whether Congress should authorize optional federal charters for insurance companies thereby establishing a dual charter system superficially similar to the dual banking system Reviewing the evidence between federal and state level regulation of the financial securities industry Zimmerman finds that federal regulation falls woefully short of its state counterpart He concludes that the current system rather than the proposed dual insurance regulatory system is the most efficient and effective **Insurance Regulation** Richard J. Hillman, Lawrence D. Cluff,2001-03 Presents an evaluation of insur regulatory oversight and info sharing in the matter of a highly publicized insur invest scam exposed in May 1999 Under indictment for embezzling more than 200 mill in insur co assets over nearly an 8 year period is Martin Frankel Mr Frankel a former securities broker who was barred from that industry in 1992 allegedly migrated to the insur industry and operated as a rogue by engaging in illegal activity This report describes the alleged scam evaluates the oversight and info sharing by insur regulators and identifies cross financial sector coord issues including those emanating from the scam

GAO Oversight and the National Academy of Public Administration Study United States. Congress. Senate.

Committee on Governmental Affairs,1998 **Report on the Activity of the Committee on Energy and Commerce for the ... Congress** United States. Congress. House. Committee on Energy and Commerce,1995 **SEC Enforcement** United States. General Accounting Office,1998 *SEC Docket* United States. Securities and Exchange Commission,1992
 Reports and Testimony ,1994 **Comptroller General's Annual Report** United States. General Accounting Office,1993

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