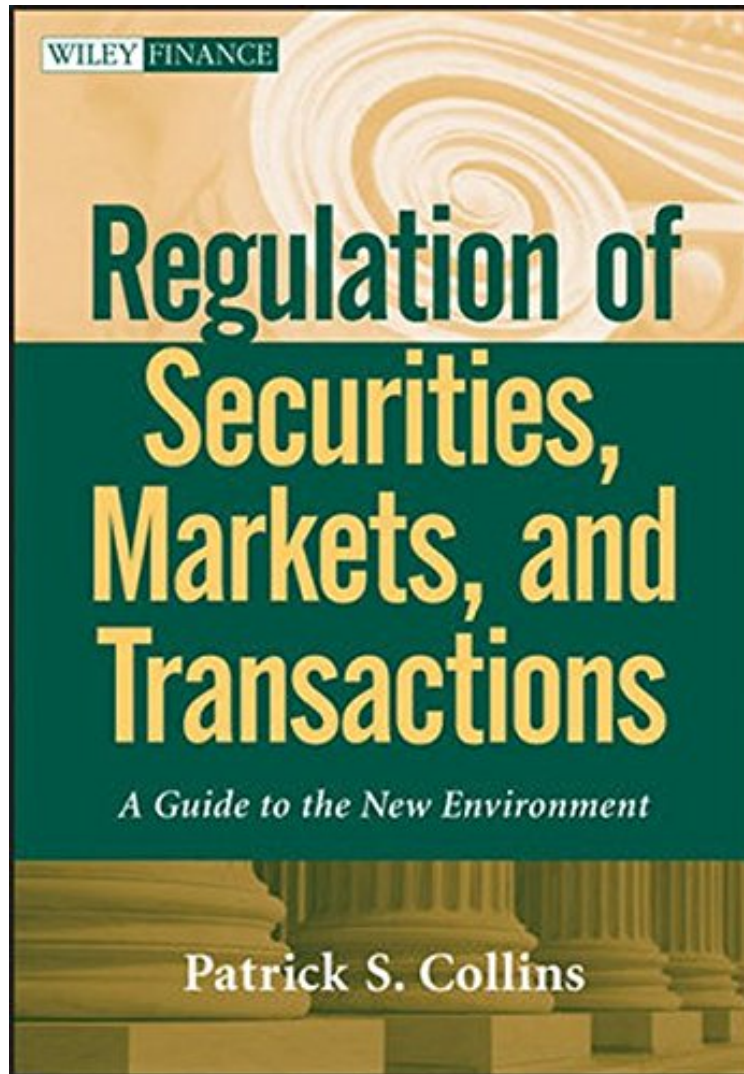


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Regulation of Securities, Markets, and Transactions: A Guide to the New Environment

Patrick S. Collins

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The ultimate guide to the current rules and regulations that govern the securities industry?including amendments in 2010 Providing readers with expert coverage of domestic securities regulation, this book fills the need for coverage of

securities regulations, defining, describing, and explaining everything professionals need to know about domestic securities regulation. Examines the current securities rules Provides an overview of the latest regulations for this industry Includes a description of the various government regulations of securities markets, and securities transactions Since the corporate scandals of 2002, this industry has seen intense scrutiny of how it is regulated. Regulation of Securities, Markets, and Transactions demystifies the new laws and regulations with straightforward, to-the-point coverage professionals need.

From the Inside Flap Regulation of Securities, Markets, and Transactions A Guide to the New Environment Securities laws, securities regulations, and the rules of self-regulatory organizations are changed often. Some of these changes are driven by the normal course of competition and innovation between and within markets, by advances in the technologies that support the operations of markets, or by the global integration of markets. Other changes, such as those that followed the banking turmoil of 2007-2008, are a response to the sudden release of pressures accumulated over a period of years. Regulation of Securities, Markets, and Transactions: A Guide to the New Environment is essential reading for professionals in the banking, insurance, or securities industries; those employed in companies that have issued publicly owned securities; and those employed by a government agency that regulates these industries. With in-depth discussion of the Financial Regulation Act of 2010, this timely resource places critical guidance of the latest regulations for this industry at your fingertips. Adding value beyond a reference, author Patrick Collins defines, describes, and explains domestic securities regulation, preparing professionals to understand the latest securities laws, with coverage of: Securities and the public interest Non-securities laws Accounting capital and regulatory capital Regulation and supervision Regulation of registered entities and persons Objectives-oriented rules for accounting and auditing A useful introductory handbook for broker-dealers, compliance officers, and accountants and attorneys who provide services to the securities industry, Regulation of Securities, Markets, and Transactions is the guide for a thorough understanding of the government regulation of securities, securities markets, and securities transactions in the United States. From the Back Cover Regulation of Securities, Markets, and Transactions: A Guide to the New Environment Regulation of Securities, Markets, and Transactions brings practical clarity to a complex topic, providing a comprehensive, logically structured approach to government regulation of securities, securities markets, and securities transactions in the United States. Informative and clear, this refreshingly readable book demonstrates author Patrick Collins's deep understanding of the current rules and regulations that govern the securities industry, most notably, the Financial Regulation Act of 2010. This timely book provides broker-dealers, compliance officers, and accountants and attorneys who provide services to the securities industry with relevant coverage of: A basic understanding of regulation How securities laws apply to entities and persons not required to be registered with the SEC How non-securities laws apply to the securities industry Why regulation is closely connected with the financial statements prepared by the issuers of securities The area of securities regulation will continue to evolve and bring about business and cultural change. Regulation of Securities, Markets, and Transactions is your must-have, must-own guide to regulation implementation and an effective tool and reference for every compliance officer. About the Author Patrick S. Collins has over thirty years' experience in domestic and foreign financial markets. He has worked in the financial futures markets and was a senior officer of securities companies in London, New York, and Hong Kong. In addition, he has been a financial markets consultant, advising banks, broker-dealers, exchanges, settlement facilities, and securities regulators in Argentina, the Czech Republic, Egypt, Hong Kong, India, Russia, South Africa, Thailand, and the United Kingdom.