

Summary of Contents

Volume 1

PART 1. BACKGROUND

- Chapter 1. Preliminaries
- Chapter 2. Latest Developments in Federal Securities Law
- Chapter 3. Origin of 10b-5 and Place Among the Fraud Provisions

PART 2. Rule 10b-5 IN OPERATION

- Chapter 4. Arrangement and Rationale of Part Two
- Chapter 5. Direct-Personal Dealing (Face-to-Face Transactions, Other than with Broker-Dealers)
- Chapter 6. Direct-Impersonal Dealing (Mergers, Tender Offers, etc.)

Volume 2

PART 2. Rule 10b-5 IN OPERATION (CONTINUED)

- Chapter 7. Indirect-Impersonal Dealing (Stock Exchange and Open-Market Trades)

Volume 3

PART 2. Rule 10b-5 IN OPERATION (CONTINUED)

- Chapter 7. Indirect-Impersonal Dealing (Stock Exchange and Open-Market Trades) (Continued)
- Chapter 8. Private Actions

Volume 4

PART 2. Rule 10b-5 IN OPERATION (CONTINUED)

- Chapter 9. Relief Available in Private Actions

- Chapter 10. SEC and Criminal Actions
- Chapter 11. Some Matters of Procedure and Jurisdiction
- Chapter 12. Other Aspects of 10b-5
- Chapter 13. Enforcement Investigations

Volume 5

PART 2. Rule 10b-5 IN OPERATION (CONTINUED)

- Chapter 14. Direct-Personal Dealing (Securities Broker-Dealers)
- Chapter 15. Arbitration
- Chapter 16. *[Reserved]*
- Chapter 17. Mutual Fund Violations
- Chapter 18. Backdating of Stock Options
- Chapter 19. Foreign Corrupt Practices Act (FCPA) and SEC Investigations
- Chapter 20. The Madoff Affair
- Chapter 21. Raj Rajaratnam—Anatomy of a Criminal Insider Trading Case
- Chapter 22. The Whistleblower Bounty Program of the Securities and Exchange Commission
- Chapter 23. Senior Investor Financial Abuse
- Chapter 24. Cryptocurrencies, Initial Coin Offerings and Blockchain—SEC Regulation

Volume 6

PART 2. Rule 10b-5 IN OPERATION (CONTINUED)

- Chapter 25. Cryptocurrencies: CFTC Jurisdiction, Regulation, and Enforcement
- Chapter 26. Cybersecurity and Securities Fraud
- Chapter 27. COVID-19 and the Federal Securities Laws
- Chapter 28. Special Purpose Acquisition Companies (SPACs)
- Chapter 29. SEC's Environmental, Social and Governance (ESG) Litigation and Proposed Regulations

APPENDICES

- APPENDIX A. SEA Rule 10b-5, 17 C.F.R. 240. 10b-5

SUMMARY OF CONTENTS

- APPENDIX B. SEA Release No. 3230
- APPENDIX C. Text of Other Main Securities Antifraud Provisions
- APPENDIX D. Ward La France Truck Corp., 13 S.E.C. 373 (1943)
- APPENDIX E. Cady, Roberts & Co., 40 S.E.C. 907 (1961)
- APPENDIX F. New York Stock Exchange Listed Company Manual, Extracts on Disclosure and Reporting Material Information and Insider Trading (Sections 2 and 3)
- APPENDIX G. California Insider Trading Provisions— Corporations Code, Corporate Securities Law of 1968, Sections 25402, 25502 (effective Jan. 2, 1969)
- APPENDIX H. Cross References—Securities Act and Securities Exchange Act to U.S.C.A.
- APPENDIX I. Cross References—Commodity Exchange Act to USCA
- APPENDIX J. Criminal Prosecutions for Insider Trading (U.S. Southern District of New York)

Table of Laws and Rules

Table of Additional Authorities

Table of Releases

Table of Cases

Bibliography

Index