

FEDERAL SECURITIES LAW

See generally, "Securities" in **Specialized Legal Research** by Leah Chanin at Ref Desk KF 240 S69 1987.

Legislative

STATUTES

Federal Core 2d Floor

Securities Act of 1933, 48 Stat. 74 (1933)	15 USC 77a-77mm
Securities Exchange Act of 1934, 48 Stat. 881 (1934)	15 USC 78a-78kk
Public Utilities Holding Company Act of 1935, 49 Stat. 803 (1935)	15 USC 79-79z
Trust Indenture Act of 1939, 53 Stat. 1149 (1939)	15 USC 77aaa-77bbb
Investment Company Act of 1940, 54 Stat. 789 (1940)	15 USC 80a-1-80a-64
Investment Advisors Act of 1940, 54 Stat. 847 (1940)	15 USC 80b-1-80b-21
Securities Investor Protection Act of 1970, 84 Stat. 1636 (1970)	15 USC 78aaa-78lll
Sarbanes-Oxley Act of 2002, P.L. 106-425, 114 Stat. 1890	15 USC 7201 nt.

Generally at **15 U.S.C. Sec. 77 to 80b-21**

Federal Securities Code, American Law Institute, 1980
proposed revision and consolidation of federal securities law. KF 1439.F42 1980

Securities Regulation, Selected Statutes, Rules & Forms (Hazen) KF 1433.99 S4 2008

LEGISLATIVE HISTORY

Federal Securities Laws: Legislative History, 1933-1982,
Federal Bar Assn., Vol. 1-4 1983/87 suppl KF 1433.8 1983

Federal Securities Exchange Act of 1934, Sommer, 2 v. KF 1068.4 G3 (2001)*

Securities Primary Law Sourcebook (1933 Act), Sommer, 5 v. KF 1068.4 S43 (2001)

"**Securities Act of 1933**", Schwartz in The Economic Regulation of Business and Industry: A Legislative History of U.S. Regulatory Agencies, v.4, KF 5407 S34 1973

LEXIS: **FEDSEC** library, **LEGIS** file has full text of House, Senate Conference reports for the Securities Act of 1933, the Securities Exchange Act of 1934, and amendments.

CISLH file has abstracted Congressional Information Service prepared Legislative Histories of U.S. Public Laws covering securities law issues from 1970-1993

WESTLAW: **FSEC-LH** contains legislative history for public laws from 1933-1989, and from 1990+ includes history for bills passed and not passed.

*(Dates in parentheses indicate cancellation date)

Administrative

*See also Databases, below

RULES AND REGULATIONS*

17 C.F.R. Parts 200-301

Proposed rules and regs in **Federal Register**

See last page for "Concordance of SEC Rules" at Table 1-1 from Chanin, supra.

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US 005 A3

US 005 A2

RELEASES*

Publications of S.E.C. rulings, rule proposals and adoptions, interpretations of statutory and regulatory requirements, and statements of policy. Releases for each act received distinctive designations (e.g., Securities Act of 1933 Release No. _____ or 33-_____.) See Chanin, supra, for table of Release Designations.

S.E.C. Docket - Official Weekly publication of full text releases

KF 1436 A2 S4

1973-81 4th Floor

1981+ Koren Center Microform

NO-ACTION LETTERS*

S.E.C. responses to private parties indicating that no action would be taken by the S.E.C. in a given fact situation.

DECISIONS* - Rulings of the S.E.C. in S.E.C. proceedings

Decisions and Reports (S.E.C.)

1934-1999 (Libraries Annex); 2000+ (v.54+) 4th floor

KF 1444 A554

Index (1967-89) KF 1444 A59 U55

S.E.C. RULES OF PRACTICE*

Securities Regulation, Selected Statutes, Rules and Forms (Hazen)

KF 1433.99 S4 2009

Judicial

S.E.C. Judicial Decisions (1934-1948)

KF 1444 A517

Secondary Sources

DATABASES

Federal Securities Law Reporter (CCH) Online in Law Library <http://libweb.lib.buffalo.edu/pdp/index.asp?ID=82>

Full text of selected releases, no-action letters, decisions, forms;

Finding Lists; Periodical articles indexed by statute section

2006 edition on 4th floor at KF 1436.5 F43

Securities Regulation and Law Report (BNA)

Online in Law Library <http://libweb.lib.buffalo.edu/pdp/index.asp?ID=67>

Summaries of selected no-action letters, court decisions, full text of selected releases

CASEBOOKS

Soderquist **Securities, Cases and Concepts Series**

KF 1440 S64 1998

TREATISES (Also check Lexis and Westlaw)

ABA **Practitioner's Guide to the Sarbanes Oxley Act**, 3 v.

KF 1446 A314 P73 2004

Bloomenthal **Securities & Federal Corporate Law**, 2nd ed., 8 v. (not updated)

KF 1439 S43 (2001)

Bromberg **Bromberg and Lowenfels on Securities Fraud & Commodities Fraud**

KF 1070 B76 (2002)

Frankel **The Regulation of Money Managers: Mutual Funds and Advisers**

KF 1078 F7 (2003)

Hazen	Treatise on the Law of Securities Regulation , 5th ed., 6 v.	KF 1439 H39 2005
Loss/Seligman	Securities Regulation 3d ed., 11 vol.	KF 1070.L62 (2003)
Olson, Pitt	Securities in the Electronic Age	KF 1439 S42 1998
Robbins	Securities Arbitration Procedure Manual , 5th	KF 1070 R63 (2002)
Sommer/Gadsby	Federal Securities Exchange Act 1934 , 2 v.	KF 1068.4 G3 (2001)
Sommer	Securities Primary Law Sourcebook , 5 v.	KF 1068.4 S43 (2001)
West	Securities Law Series: Search the Online Catalog by keyword: " <i>securities law series</i> " and <i>west</i>	Generally KF 1439 S43 (2002)

HANDBOOKS, GUIDES & NUTSHELLS

Baker	Securities Enforcement Manual , 2d ed.	KF 1439 S417 2007
Bartos	United States Securities Law , 3 rd ed.	on order
Bloomenthal	Going Public Handbook (Annual), 2 v.	KF 1432.1 B55 2006
Bloomenthal	Securities Law Handbook (Annual), 2 v.	KF 1439 B544 2008
Brown	Soderquist on the Securities Laws (PLI)	KF 1439 S63 2006
Haas	Investor Adviser Regulation in a Nutshell	Reserve KF 1072 H33 2008
Hazen	Law of Securities Regulation , 6th ed. (Hornbook)	Reserve KF 1439 H39 2009
Hazen	Securities Regulation in a Nutshell , 9 th ed.	Reserve KF 1440 R37 2006
Loss, Seligman	Fundamentals of Securities Regulation , 5th ed., Supp. 2008	KF 1439 L68 2004
Palmiter	Securities Regulation	KF 1440 P25 2008
Steinberg	Understanding Securities Law , 4 th ed.	KF 1440 S74 2007

Practising Law Institute publications:

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by keyword: "*practising law institute*" and *securities*

JOURNALS

Business Lawyer	K 2 U783 and HeinOnline
Review of Securities & Commodities Regulation	KF 1432 R48
Securities Law Review (1969-2007)	KF 1066 A32 S4
Securities Regulation Law Journal	K 23 E293

FORMS

Jacobs **Manual of Corporate Forms for Securities Practice**

KF 1439 S43 v.9

CCH **Federal Securities Law Reporter** Online in Law Library <http://libweb.lib.buffalo.edu/pdp/index.asp?ID=82>

See Chanin, *supra*, for "Concordance of SEC Forms" at App. 1-2.

UB Online [Catalog](#) SUBJECT HEADINGS

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Stock exchanges--Laws and legislation--United States

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INTERNET SOURCES

<http://law.lib.buffalo.edu/research/webguides/securities.asp>

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