

Locate laws, regulations, explanations and related documents by browsing

Federal Securities Law Reporter, organized by Act, contains laws and regulations for that Act plus related explanations, annotations, current cases and selected no-action letters and releases. Use the Browse Tree to locate the *Federal Securities Law Reporter*: click on **+Securities (Federal)**, then **+Federal Securities Law Reporter** to expand the table of contents for this publication. Click on the Act you want and drill down to the list of documents. Click on a document, and it will display on the right.

The screenshot shows the Wolters Kluwer Law & Business interface. On the left, the 'Browse' tab is selected, and the 'Browse Tree' is expanded to show 'Securities (Federal)' and 'Federal Securities Law Reporter'. The 'Federal Securities Law Reporter' is further expanded to show 'Securities Act of 1933' and 'Definitions—Sec. 2'. On the right, the document view shows 'Federal Securities Law Reporter, Notes' with a 'Laws & Regs' button circled in red. A red arrow points from this button to a text box on the right.

Related Information buttons, available on selected documents in the Reporter, provide quick access to various documents such as laws, regulations, explanations, etc., that are related to this document. The related documents will be displayed on a new Related Results tab.

Federal Securities Laws and Regulations—Browse through this publication for a streamlined version of the laws and regulations contained in the *Federal Securities Law Reporter*. This database presents all federal securities laws, SEC rules and regulations in sequential order, with Act sections in their entirety within a single document (but with no Related Information buttons, embedded links, or History Notes).

The screenshot shows the Wolters Kluwer Law & Business interface. On the left, the 'Browse' tab is selected, and the 'Browse Tree' is expanded to show 'Federal Securities Laws and Regulations' and 'Securities Laws'. The 'Securities Laws' is further expanded to show 'Securities Act of 1933' and 'Definitions—Sec. 2'. On the right, the document view shows 'Federal Securities Laws and Regulations, Sec. 2. [15 USC 77b] DEFINITIONS' with a '(a) Definitions' section.

Federal Securities Laws and Regulations, Sec. 2. [15 USC 77b] DEFINITIONS

(a) Definitions.— When used in this title, unless the context otherwise requires—

(1) [15 USC 77b(a)(1)] [Security]

The term "security" means any note, stock, treasury stock, security future, bond,

Retrieve documents by key word searching

In General

1. Search "all content" or use the Browse Tree to target publications and/or databases.

Note: Search scope automatically changes to "selected content" when you check items on the Browse Tree.



2. Type your search expression with spaces between terms to search for all terms (as if you used *and* between each term). You can also use Boolean operators (AND, OR, NOT), and/or proximity connectors (w/# , e.g., w/5 = within 5 words). You can use quotes to force a phrase which turns off the automatic Thesaurus for your search. You can use wildcards: an asterisk (*) to truncate a word and a question mark to replace one character. See Help files for more details.

3. Optional: Click **Advanced Search** to enable/disable the Thesaurus and/or include other criteria.

4. Click **Go** to get results sorted by document type with the three most relevant results displayed for each document type (this is the default setting).

Example: Target the entire **Securities (Federal)** library and search for the phrase "demand note"
Then reduce your search results by:

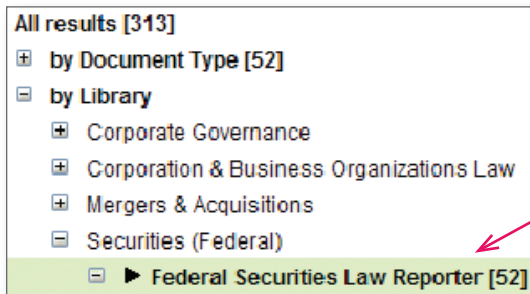
- Searching within the results: change search scope to "within results" and type new search term(s) in the search box, e.g., "family resemblance" and click **Go**.

AND/OR

- Using the Document Categories on the Search Results to narrow the results by Document Type



or use the filters on the left to narrow your results by Library.



Drill down into the Library, select one publication to filter the list for the documents in that publication or database.

Case Searching

The *Federal Securities Law Reporter* contains full text cases from 2002 plus Annotations of the cases contained in the Transfer Binders (1993-2001) and Cases Archive (1941-1993) databases.

1. Target the Reporter and the Transfer Binders. Conduct a search.



2. Click "**View all ###**" on Cases blue bar to view results in Relevance order. Then click **Most Recent** to view the list of cases in reverse chronological order.

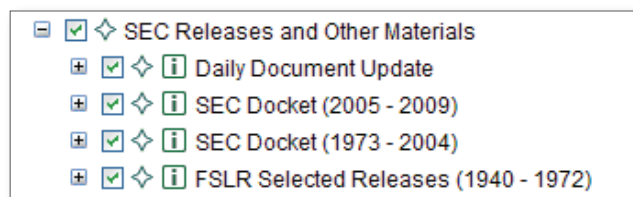
Sort by: **Relevance** | Most Recent

3. Use **by Court** filter and choose specific court(s) from the list.

Finding SEC Releases

A complete subscription includes selected releases from 1940-1972 and all releases (including SRO rulemaking releases) from 1973-current. Open **SEC Releases and Other Materials** to display the content for your subscription.

Target SEC Releases

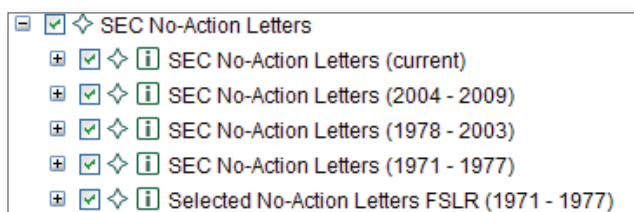


Examples—To Find:

- Final rule dealing with recent amendments to the “best price rule” type in the search field:
action w/2 “final rule” and “best price rule”
- Releases citing a rule or act, include the rule or act name in the search phrase: *rule 144 and . . .*
- Proposed rule, include in the search phrase: *proposed w/2 rul**
- Exemptive Orders example: *exempt* w/3 order w/par Section 16*
- To search by date, include the date in the search phrase: *exempt*! w/3 order and date after 2004*
- To view the search results in reverse chronological order, uncheck “Sort results by Document type” and click Most Recent

Finding SEC No-Action Letters

You can retrieve an *SEC No-Action Letter (NAL)* by searching for keyword, date, the act/reg/rule that the NAL concerns, by category, or a combination of these. Target *SEC No-Action Letters*.



- Company name and/or Keyword:** Type *Procter & Gamble* or more specifically, type *“public availability” or re w/15 procter*
- Name and specific date:** *“merrill lynch” on february 2008*

You can also use **Advanced Search** to select the date

- Specific rule and add key words and date:** *“rule 14a-8” directors on 2009*
- WSB Subject Category:** (NALs) are assigned subject Categories based on the subject matter. You can use these Categories to restrict your search to specific NALs. For example, Rule 14a-8 NALs could have one or more of these categories assigned: Category 73: Timely submissions; Category 74: Other procedural exclusions; Category 75: Substantive exclusions: exec. comp.; Category 76: Substantive exclusions: director elections; Category 77: Other substantive exclusions

To use the category for director elections (76) to find NALs dealing with this issue after 2009, enter in the search field: *category w/4 (076 or 76) after 2009*.

Note: Always include a 3-digit number when searching for a subject category.

SEC No-Action Letters (current), Patriot Scientific Corp. (Recon.), Securities and Exchange Commission, (Oct. 18, 2010)

Public Availability Date: October 18, 2010

WSB File No. 1025201003

WSB Subject **Category: 76**

Category	Act, Section, Rule	Category	Act, Section, Rule
1	Employee Stock Ownership Plans	34	1933 Act Sec. 3(a)(2) Other Governmental Obligations
2	Other Employee Benefit Plans	35	1933 Act Sec. 3(a)(2) Banks
3	Dividend Reinvestment Plans	36	1933 Act Sec. 3(a)(2) Other
4	Regulation S-K	37	1933 Act Sec. 3(a)(3) "Current Transactions"
5	Accounting Rules, Independence Letters and Regulation S-X	38	1933 Act Sec. 3(a)(3) Other
6	1933 Act Rule 144(a)	39	1933 Act Sec. 3(a)(4) Charitable Organizations
7	1933 Act Rule 144(c)	40	1933 Act Sec. 3(a)(9)
8	1933 Act Rule 144(d)(4)	41	1933 Act Sec. 3(a)(10) Mergers/Acq./Reorgs./ Bankruptcies
9	1933 Act Rule 144(d)(other)	42	1933 Act Sec. 3(a)(10) Other
10	1933 Act Rule 144(e)	43	1933 Act Sec. 3(a)(other)
11	1933 Act Rule 144(k)	44	1933 Act Sec. 3(other)
12	1933 Act Rule 144 Mergers/Acquisitions/ Reorganizations	45	1933 Act Sec. 4(1)
13	1933 Act Rule 144—other	46	1933 Act Sec. 4(2)
14	1933 Act Rule 145 Reclassif./Mergers/ Consolidations/Transfers of Assets	47	1933 Act Sec. 4(other)
15	1933 Act Rule 145 Change of Domicile	48	1933 Act Sec. 5 Issues Outside the U.S.
16	1933 Act Rule 145 Other	49	1933 Act Sec. 5 Liquidations/Spin Offs
17	1933 Act Rule 147(c)(2)	50	1933 Act Sec. 5 Other
18	1933 Act Rule 147 Other	51	1933 Act Sec. 10
19	1933 Act Rule 414	52	1933 Act Form S-3
20	1933 Act Rule 415	53	1933 Act Form S-8
21	Other 400 Series Rules	54	1933 Act Forms Other
22	1933 Act Rule 501	55	Other 1933 Act Sections
23	1933 Act Rule 502	56	1934 Act Sec. 3(a)(4)
24	1933 Act Regulation D Other (500 Series Rules)	57	1934 Act Sec. 3(a)(10)
25	Other 1933 Act Rules	58	1934 Act Sec. 3(a)(12)
26	1933 Act Sec. 2(1) Condominiums	59	1934 Act Sec. 3(other)
27	1933 Act Sec. 2(1) Other Real Estate	60	1934 Act Sec. 10(a)
28	1933 Act Sec. 2(1) Livestock	61	1934 Act Sec. 10(b) Rule 10b-6 Cash Tender Offers
29	1933 Act Sec. 2(1) Other	62	1934 Act Sec. 10(b) Rule 10b-6 Exchange Offers
30	1933 Act Sec. 2(3) Mergers/Acquisitions/ Reorganizations	63	1934 Act Sec. 10(b) Rule 10b-6 Other Purchases by Issuer
31	1933 Act Sec. 2(3) Other	64	1934 Act Sec. 10(b) Rule 10b-6 Purchases by Control Persons
32	1933 Act Sec. 2(other)	65	1934 Act Sec. 10(b) Rule 10b-6 Purchases by Underwriters, Brokers
33	1933 Act Sec. 3(a)(2) Govts: Industrial Dev. and Other Revenue Bonds	66	1934 Act Sec. 10(b) Rule 10b-6 Amendments & Extensions

Category	Act, Section, Rule	Category	Act, Section, Rule
67	1934 Act Sec. 10(b) Rule 10b-6 Other	102	Other 1934 Act Sections and Rules
68	1934 Act Sec. 10(b) Rule 10b-13	103	All PUHCA
69	1934 Act Sec. 10(b) Other Rules	104	1939 Act Sec. 304(a)(4) Other
70	1934 Act Sec. 12	105	1939 Act Sections
71	1934 Act Sec. 13(e) Rule 13e-4	106	All Bankruptcy Act Sections
72	1934 Act Sec. 13(other)	107	Investment Advisers Act Sec. 202(a)(11) Pubs./ Charts/Newsletters
73	1934 Act Sec. 14(a) Rule 14a-8 Timely submissions	108	Investment Advisers Act Sec. 202(a)(11) Incidental to Regular Business
74	1934 Act Sec. 14(a) Rule 14a-8 Other Procedural exclusions	109	Investment Advisers Act Sec. 202(a)(11) Other
75	1934 Act Sec. 14(a) Rule 14a-8 Substantive exclusions: exec. comp.	110	Investment Advisers Act Sec. 202(other)
76	1934 Act Sec. 14(a) Rule 14a-8 Substantive exclusions: director elections	111	Investment Advisers Act Sec. 203 Form ADV
77	1934 Act Sec. 14(a) Rule 14a-8 Other Substantive exclusions	112	Investment Advisers Act Sec. 203 Other
78	1934 Act Sec. 14(a) Other	113	Investment Advisers Act Sec. 204
79	1934 Act Sec. 14(other)	114	Investment Advisers Act Sec. 205
80	1934 Act Sec. 15(a) Securities Sales by An Issuer's Employees	115	Investment Advisers Act Sec. 206(4) Rule 206(4)-1
81	1934 Act Sec. 15(a) Other	116	Investment Advisers Act Sec. 206(4) Other
82	1934 Act Sec. 15(b)	117	Investment Advisers Act Sec. 206(other)
83	1934 Act Sec. 15B Municipal Securities Issues	118	Other Investment Advisers Act Sections and Rules
84	1934 Act Sec. 15(c) Rule 15c3-1(a)	119	Investment Company Act Sec. 2(a)(32)
85	1934 Act Sec. 15(c) Rule 15c3-1(c)	120	Investment Company Act Sec. 2(a)(36)
86	1934 Act Sec. 15(c) Rule 15c3-1(other)	121	Investment Company Act Sec. 2(other)
87	1934 Act Sec. 15(c) Rule 15c3-3(k)(2)(A)	122	Investment Company Act Sec. 3(a)
88	1934 Act Sec. 15(c) Rule 15c3-3 Reserve Formula Computation	123	Investment Company Act Sec. 3(b)
89	1934 Act Sec. 15(c) Rule 15c3-3 Other	124	Investment Company Act Sec. 3(c)(1)
90	1934 Act Sec. 15(c) Other	125	Investment Company Act Sec. 3(c)(5)
91	1934 Act Sec. 15C Government Securities Issues	126	Investment Company Act Sec. 3(c)(other)
92	1934 Act Sec. 15(d)	127	Investment Company Act Sec. 6
93	1934 Act Sec. 16(a)	128	Investment Company Act Sec. 8
94	1934 Act Sec. 16(b)	129	Investment Company Act Sec. 17(f)
95	1934 Act Sec. 17(a) Rule 17a-5 Extensions	130	Investment Company Act Sec. 17(other)
96	1934 Act Sec. 17(a) Rule 17a-5 Audit Date Changes	131	Investment Company Act Sec. 18
97	1934 Act Sec. 17(a) Rule 17a-5 Other Exemptions	132	Investment Company Act Sec. 22(d)
98	1934 Act Sec. 17(a) Other	133	Investment Company Act Sec. 22(other)
99	1934 Act Sec. 17A	134	Other Investment Company Act Sections and Rules
100	1934 Act Sec. 17(other)	135	All Government Securities Act of 1986 Sections and Rules
101	1934 Act Forms	136	Other Statutes


Retrieving documents within section/subsections of the Browse Tree

There are two ways to retrieve all the documents in a section or sub-section of the Browse Tree without drilling down through multiple menu levels:

- Using Show Document List
- Using a "*" search

Using Show Document List

Browse through a treatise, such as *Securities Regulation*, by Loss, Seligman and Paredes.

1. Check the box to target a chapter
2. Click the Show document list at the top of the Browse Tree. 
All the documents from the targeted section will display in right panel, in publication order, for easy saving or printing.
3. Change the # of items that display per page of results to maximize the documents you can save/print at once.

200  Items per page

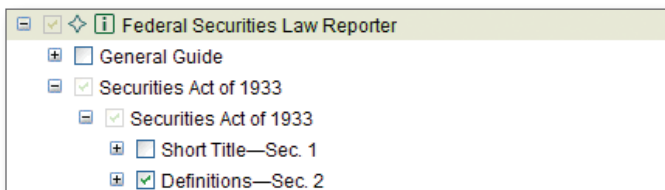
4. You can now check "Select all on page" to either Print all items or Save as single PDF or RTF file or save to a Research Folder.

*Note: you can do this same process if you want all the documents in a Section of an Act.
For example: Open the Federal Securities Law Reporter, open Securities Act of 1933,
target a Section, click Show Document List. Now you can Print or Save.*

Using a "*" search



To retrieve all documents in a section of one of the Securities Acts as a search list in order to filter by Document Type:

1. Open the Browse Tree to locate the *Federal Securities Law Reporter*. Open the Reporter, then the Act. Target the Section you want.



2. Conduct an "*" search to retrieve all the documents in the targeted section as a Search Results list which you can filter by document type and then choose the document management options for items on the list.

Search/Browse:

selected content  *  **Go**

☒ **by Document Type [945]**

- Explanations [15]
- ☒ Laws [20]
- ☒ Regulations [20]

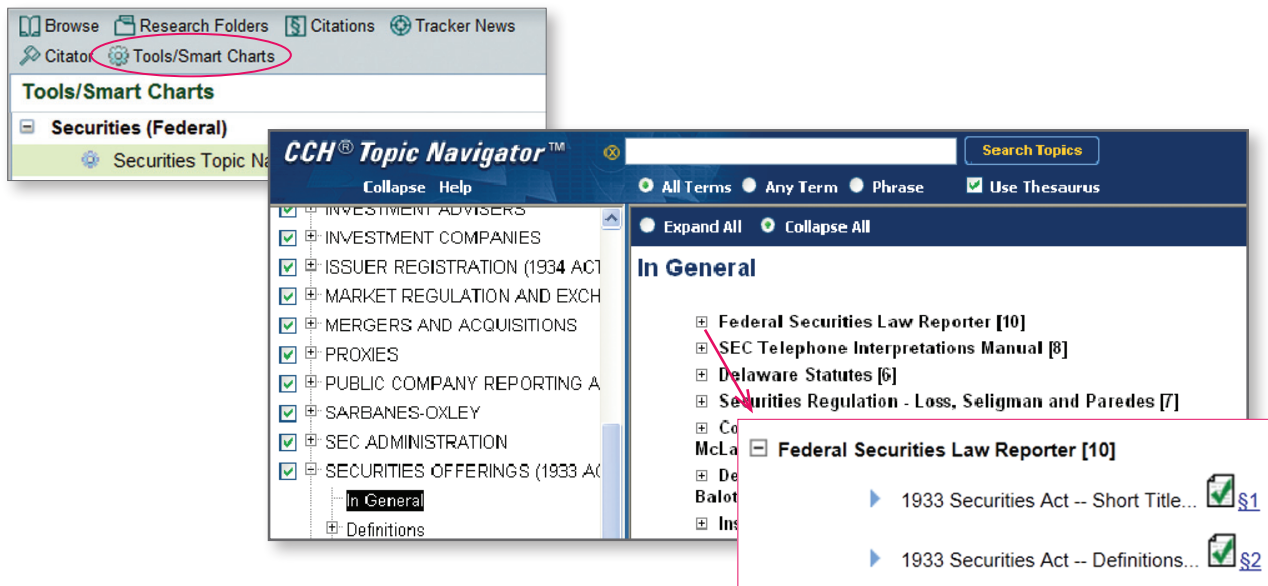
Note: This can also be done for a treatise section: Open the treatise, target the **chapter or** subsection, e.g., Loss Seligman, target Chapter 10, then conduct the "*" search.

At the top of the Browse Tree, click **Titles A-Z**. Type *securities* in the open Title Finder field to view a list of all the titles in your subscription containing the word *securities*. When you click on a title, it will be located and expanded within the Browse Tree. Example: Select *Securities Regulation* by Loss, Seligman and Paredes on the list on the right and the Browse Tree moves to that publication and opens it to display the first level of the contents. You can also type an author's name.



Use Topic Navigator to locate material in multiple publications

Click on **Tools/Smart Charts** on the Tool Bar. Click **+Securities (Federal)**. Click **Securities Topic Navigator**. Within Topic Navigator, scroll on the left menu and expand Topics and subtopics using the "+." At final subtopic a listing of publications will appear in the right window. Expand a publication (clicking the "+") to see links to pertinent documents. (Note: the lack of green check mark next to the link indicates the material is outside the scope of your subscription and unavailable.) You can also search through the Topics.



Use Indexes & Tables to locate information

There is an **Indexes & Tables** menu item at the bottom of the Securities (Federal) section. It provides additional resources, such as case tables and topical indexes, and can be used to locate specific items within selected publications. Other publications, e.g., *SEC Compliance and Disclosure Interpretations*, contain their own internal tables and index.



Retrieve document(s) by citation

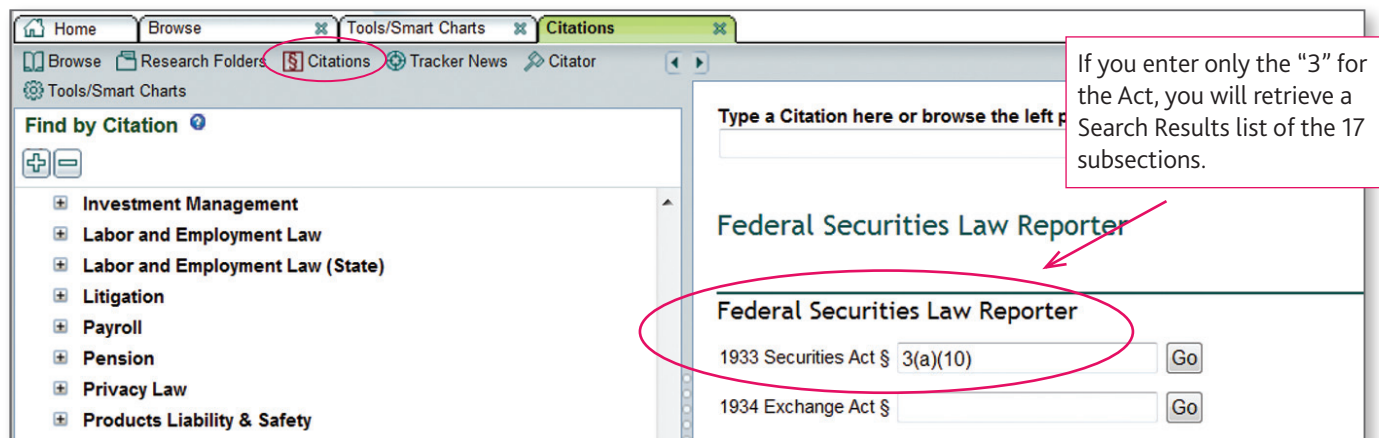
Two ways to retrieve specific document(s) using a citation reference within IntelliConnect:

- Citations template
- Citations search scope

Using the Citations template to retrieve a document by citation:

1. Click **Citations** on the tool bar.
2. Click + to expand a library within the Find by Citation panel on the left, e.g., **Securities (Federal)**.
3. Click a database title, e.g., **Federal Securities Law Reporter**
4. Enter the citation in appropriate field on the template on the right
5. Click the **Go** button on the line with the citation

Example: Retrieve Section 3(a)(10) of the 1933 Securities Act.



Document Path command appears at the top of every document. It shows the location of this document within the subscription content. It lists the menu levels through your subscription to this document. You can click on any level of this path to go directly to that location within the Browse Tree. This is useful in navigating to other documents within the context of a publication, e.g., *Federal Securities Law Reporter* and treatises such as *Securities Regulation by Loss, Seligman, Paredes*.



Other examples of document types using the Citations template:

Rule:	Rule or Item	10b-5	Go
Case:	89-90	CCH Decs., FSLR ¶ 94939	Go
SEC Release:	Release No.	34 - 58462	Go
Regulation	Regulation	SK Item/Rule 906	Go

Using the citations Search Scope to retrieve documents

Note: This approach works primarily for Federal primary source materials—laws, regulations and cases. See the following list for specific citation examples in different content areas. You can also retrieve these primary source materials on your mobile device if you download the IC Mobile app.

To retrieve a document by its citation, set the Search Scope to citations. Type in the full citation in the Search Expression Box. Click **Go**.

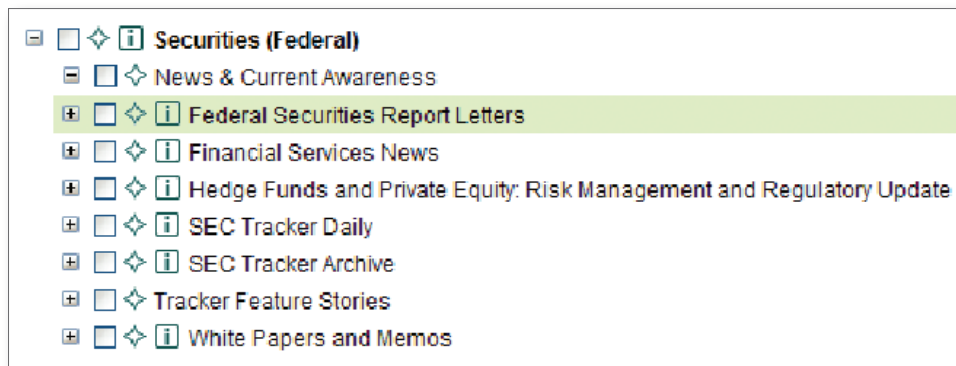
Search for

Examples . . .

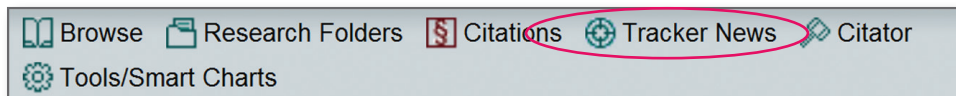
When citing to a document type . . .	Use the following citation format . . .	To retrieve content from the publication
Explanation, Annotation, etc.	FSLR P#### (P is for Paragraph number, e.g., FSLR P3550)	<i>Federal Securities Law Reporter</i>
1933 Act	Securities Act sec.3(2) Securities Act Section 10(a) Section 4(2) of the Securities Act of 1933 Section 7(b) of the Securities Act	<i>Federal Securities Law Reporter</i>
1934 Act	34 Securities Exchange Act, sec. 9(a) 34 Act s9(a)(1) Exchange Act sec.15A(b)(6) Securities Exchange Act of 1934	<i>Federal Securities Law Reporter</i>
1940 Act (IC)	Investment Company Act sec. 12(a) Investment Company Act Section 38(a) section 8 of the Investment Company Act of 1940	<i>Federal Securities Law Reporter</i>
1940 Act (IA)	40 Investment Advisers Act, § 202(a) Investment Advisers Act Section 201 Section 203A of the Advisers Act	<i>Federal Securities Law Reporter</i>
SEC Forms	SEC Form 1 SEC Form 10 SEC Form 10-SB SEC Form 12b-25	<i>Federal Securities Law Reporter</i> (links to documents within "Text of Forms" sections. Forms are also in "Description of Forms" sections.)
Securities Regs (gen)	SEC Regulation G SEC Item No. 144A SEC Regulation T Reg. S-K, Item 1123 Regulation S-K Item 10	<i>Federal Securities Law Reporter</i>
SAB	SAB No. 40 SAB Number 1 SAB Number 101B	<i>Federal Securities Law Reporter</i>
SOX	2002 Sarbanes-Oxley Act, § 404 Sarbanes-Oxley 404 Sarbanes-Oxley 404(a)(1)	<i>Federal Securities Law Reporter</i>
Laws and Regs using West cites	15 United States Code, 77b(a)(1) 15 U.S.C. 78j-1(a)(1) 15 U.S. Code 78fff-2(a)(1) 17CFR 229.301	<i>Federal Securities Law Reporter</i>
SEC Releases	Release No. 33-7881 SEC Release No. 33-8177A Securities Act Release No. 5306 Release No. 34-11481 Investment Advisers Act Release No. 2044 Investment Company Act Release No. 25657	<i>SEC Releases and Other Materials</i> (AKA - SEC Docket)

Staying current with News and Trackers

News on the Browse Tree: Open News & Current Awareness under Securities (Federal). News contains Federal Securities Report Letters, which update the Reporter, weekly and other newsletters and journals, plus the SEC Tracker databases for Daily and Archived items.




Tracker News: Tracker News helps you keep on top of current developments two ways: with customized Tracker searches and with automatic delivery of E-Newsletters/Report Letters. Click Tracker News on the tool bar.



Trackers: Set up custom searches specific to your area of interest and access results within IntelliConnect, in email or RSS feed.

You have no Trackers configured.
Click [here](#) to configure Trackers.

1. If no Trackers exist, click the "Click **here**" link, or if you already have Trackers, click "Add/Modify Trackers" to view list of available Trackers
2. Optional: Click the target icon  to restrict a Tracker search
3. Check the Tracker's selection box
4. Click Add Trackers
5. Select Delivery Options at the top to set up email or RSS feed

Trackers will be delivered via single email first thing in the morning.

E-Newsletters/Report Letters: Sign up to receive selected news items in their entirety automatically via email or RSS feed.

[Sign up for E-Newsletters/Report Letters](#)

1. Click Sign up for E-Newsletters/Report Letters
2. Select the items you want to receive
3. Click Add
4. Email delivery: Enter an email address, check box to deliver via email and click Apply Changes
5. For RSS feed: Click the "Click here to view available RSS Feeds" and follow directions on the page

Each Newsletter/Report Letter will be sent individually

You can receive Report Letters and Trackers on your mobile device if you download IC Mobile app.

Wolters Kluwer
Law & Business

Search/Browse:

Document Tray [0] | History | Saved S

Home Browse

Browse Research Folders Citations Tracker News Citator Tools/Smart Charts

Browse Tree View | Library

Clear All Titles A-Z

- [-] [v] [i] Securities (Federal)
 - [+] [v] [i] News & Current Awareness
 - [+] [v] [i] Capital Markets Handbook - Burch and Foerster
 - [+] [v] [i] CD&A Smart Charts - Compare Executive Compensation Disclosure
 - [+] [v] [i] Corporate Finance and the Securities Laws - McLaughlin and Johnson
 - [+] [v] [i] Dodd-Frank Wall Street Reform and Consumer Protection Act: Law, Explanation and Analysis
 - [+] [v] [i] European Securities Regulation - Warren
 - [+] [v] [i] Federal Securities Law Reporter
 - [+] [v] [i] Federal Securities Law Reporter - Transfer Binders (1993 - 2001)
 - [+] [v] [i] Federal Securities Cases Archive - Selected cases (1941 - 1993)
 - [+] [v] [i] Federal Securities Laws and Regulations
 - [+] [v] [i] Federal Securities QuickCharts - Dodd-Frank Act
 - [+] [v] [i] Financial Accounting Standards Board (FASB)
 - [+] [v] [i] Insights: The Corporate & Securities Law Advisor - Goodman
 - [+] [v] [i] International Securities Law Handbook - Soulier & Best
 - [+] [v] [i] IPO Vital Signs
 - [+] [v] [i] Jumpstart Our Business Startups Act: Law, Explanation and Analysis
 - [+] [v] [i] Practical Compliance and Risk Management for the Securities Industry
 - [+] [v] [i] Practical Guide to Broker-Dealer Regulation
 - [+] [v] [i] Raising Capital: Private Placement Forms & Techniques - Brown and Max
 - [+] [v] [i] Regulation of Securities: SEC Answer Book - Levy
 - [+] [v] [i] Reports, Speeches and Manuals
 - [+] [v] [i] Sarbanes-Oxley Act of 2002: Law & Explanation
 - [+] [v] [i] Sarbanes-Oxley Act: Planning and Compliance - Ambler, Massaro and Stewart
 - [+] [v] [i] SEC Accounting Rules
 - [+] [v] [i] SEC Compliance and Disclosure Interpretations
 - [+] [v] [i] SEC Enforcement Actions
 - [+] [v] [i] SEC Laws
 - [+] [v] [i] SECnet
 - [+] [v] [i] SEC No-Action Letters
 - [+] [v] [i] SEC Releases and Other Materials
 - [+] [v] [i] SEC Staff Comment Letters
 - [+] [v] [i] Securities and Derivatives Reform in 2010: A Guide to the Legislation
 - [+] [v] [i] Securities Litigation Smart Charts
 - [+] [v] [i] Securities Litigation Under the PSLRA - Perino
 - [+] [v] [i] Securities Regulation - Loss, Seligman and Paredes
 - [+] [v] [i] Securities Regulation in Cyberspace - Friedman
 - [+] [v] [i] Securities Topic Navigator - Search by Topic
 - [+] [v] [i] Staff Accounting Bulletins
 - [+] [v] [i] Staff Legal Bulletins
 - [+] [v] [i] U.S. Regulation of the International Securities and Derivatives Markets - Greene, Beller, Rosen, Silverman, Braverman, Sperber and Grabar
 - [+] [v] [i] Indexes & Tables

Where can I find:

Laws and Regulations	Browse > Securities (Federal) > <i>Federal Securities Law Reporter</i> Also Browse > Securities (Federal) > <i>Federal Securities Laws and Regulations</i>
Commentary on the laws and regulations or background information	Browse > Securities (Federal) > <i>Federal Securities Law Reporter</i> Also Browse > Securities (Federal) > <i>Securities Regulation—Loss, Seligman & Paredes</i> Also Browse > Securities (Federal) > News & Current Awareness > <i>White Papers and Memos—Federal Securities</i> Search: Securities (Federal) then review Explanation and Treatise Document Types. Depending on your subscription, you may also find the following useful: <i>Corporate Finance and the Securities Laws</i> (McLaughlin & Johnson); <i>Regulation of Securities: SEC Answer Book</i> (Levy).
Securities forms	Browse > Securities (Federal) > <i>Federal Securities Law Reporter</i> . Click on the specific Act to find the forms under that Act. The forms include editorial cautions and amendment history lines, as well as arrow lines that delineate old vs. new language. The SEC posts its forms on sec.gov, but often does not update them promptly with amendments. This requires users to check the final rulemaking releases for amendments on point, then compare against the latest version of the form. Wolters Kluwer tracks amendments and integrates them into the form text with each weekly update to <i>Federal Securities Law Reporter</i> .
SEC No-Action Letters	Browse > Securities (Federal) and find <i>SEC No Action Letters</i> database in the alphabetical listing.
SEC Releases	Browse > Securities (Federal). Find <i>SEC Releases and Other Materials</i> database in the alphabetical listing.
SEC Staff Comment Letters	Browse > Securities (Federal). Find <i>SEC Staff Comment Letters</i> database in the alphabetical listing. This database is organized into sub-topics by date range and then type of filings.
Key Word Searching Rules	Help>Searching IntelliConnect Content
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