

CHAPTER OVERVIEW

14: Securities Regulation

Learning Objectives

After reading this chapter, you should understand the following:

- The nature of securities regulation
- The Securities Act of 1933 and the Securities Exchange Act of 1934
- Liability under securities laws
- What insider trading is and why it's unlawful
- Civil and criminal penalties for violations of securities laws

Both the registration and the trading of securities are highly regulated by the Securities and Exchange Commission (SEC). A violation of a securities law can lead to severe criminal and civil penalties. But first we examine the question, Why is there a need for securities regulation?

[14.1: The Nature of Securities Regulation](#)

[14.2: Liability under Securities Law](#)

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