

# **Download Mergers A Guide To The Procedures Under The Fair Trading Act 1973**

D. Brokers and Dealers Generally Must Register with the SEC. Section 15(a)(1) of the Act generally makes it unlawful for any broker or dealer to use the mails (or any other means of interstate commerce, such as the telephone, facsimiles, or the Internet) to "effect any transactions in, or to induce or attempt to induce the purchase or sale of, any security" unless that broker or dealer is ...The Investment Company Act of 1940 ("Investment Company Act") generally requires registered investment companies ("funds") to use market values to value portfolio securities for which market quotations are readily available.<sup>1</sup> The treatment of dividend (or interest) reinvestment and stock purchase plans is addressed in Rule 102(c) of Regulation M. (See Part V.A.6, below.)<sup>2</sup> Section 9(a) prohibits particular manipulative practices regarding securities registered on a national securities exchange. Section 10(b) is a broad "catch-all" provision that prohibits the use of "any manipulative or deceptive device or ...The Bureau of Consumer Financial Protection is amending Regulation X, which implements the Real Estate Settlement Procedures Act of 1974, and implementing a commentary that sets forth an official interpretation to the regulation. The final rule implements provisions of the Dodd-Frank Wall Street...