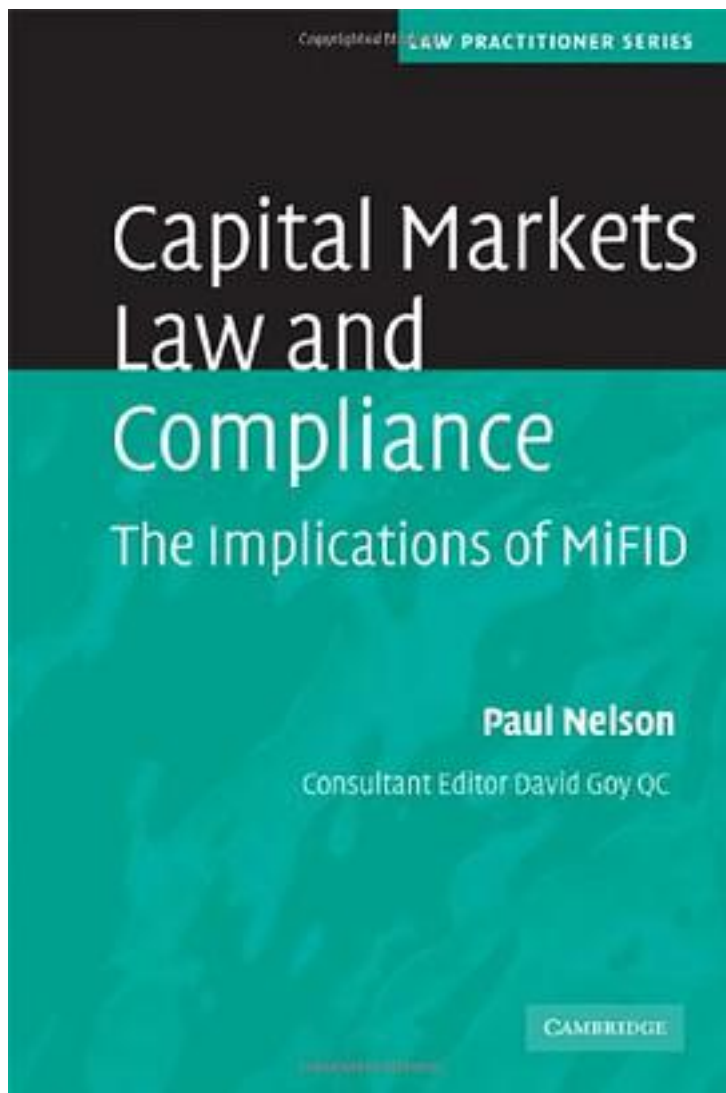


Capital Markets Law and Compliance



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This book was first published in 2008. The Markets in Financial Instruments Directive (MiFID) is a detailed re-writing of the regulation of capital markets. To the extent those rules permit, the Financial Services Authority (FSA) is also introducing high-level 'principles-based regulation'. In response to this, Paul Nelson presents practical guidance on the regulation of the capital markets, ranging from new issues and IPOs to investment banking, broker-dealing and asset management. All laws and rules relevant to the regulation of the capital markets are explained and put into context within the economic operation of markets, institutions and products, the European Single Market, the FSA's policies and objectives, the historical evolution of the regulations and the general civil and criminal law. Drawing on 30 years' experience as a practitioner, and referring to a vast range of supporting materials, the author provides an insightful analysis and critique of the rules, the rule makers and the institutions.

作者介绍:

目录:

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