
Securities Exchange Commission Decision Reports Volume

securities and exchange commission - sec - providing guidelines therefore', the securities and exchange commission (commission), has adopted its own people*- freedom to information manual (foi manual) the sec foi manual is a testament o the commission s recognition of the right to free and open exchange of information a proactive manifestation of its **securities and exchange commission - sec** - commission action on a proposed rule change relating to the listing and trading of shares of the bitwise bitcoin etf trust under nyse arca rule 8.201-e on january 28, 2019, nyse arca, inc. ("exchange") filed with the securities and exchange commission ("commission"), pursuant to section 19(b)(1) of the securities exchange **securities and exchange commission - sec** - which requires, among other things, that the rules of a national securities exchange be designed to prevent fraudulent and manipulative acts and practices and to protect investors and the public interest.5 the commission believes that, in order to meet this standard, an exchange that lists and **supreme court of the united states** - securities and exchange commission . certiorari to the united states court of appeals for the district of columbia circuit . no. 17-1077. argued december 3, 2018—decided march 27, 2019 . securities and exchange commission rule 10b-5 makes it unlawful to (a) "employ any device, scheme, or artifice to defraud," (b) "make any **supreme court of the united states** - securities and exchange commission . certiorari to the united states court of appeals for the district of columbia circuit . no. 17-130. argued april 23, 2018—decided june 21, 2018 . the securities and exchange commission (sec or commission) has statutory authority to enforce the nation's securities laws. one way **securities and exchange commission** - securities exchange act of 1934, as amended, or otherwise subject to the liabilities of that section, nor shall it be deemed incorporated by reference in any filing under the securities act of 1933, as amended, regardless of any general incorporation language in such filing. item 5.02. **decision: u.s. securities and exchange commission ...** - decision . the chief financial officer of the u.s. securities and exchange commission (sec) requests a decision regarding the application of the miscellaneous receipts statute, 31 u.s.c. § 3302(b), to postjudgment interest collected under 28 u.s.c. § 1961 on money judgments entered by federal district courts when persons found to have **securities and exchange commission** - securities and exchange commission ... will provide the requested documentation as soon as possible and upon completion look forward to receiving a final decision from wscuc. wscuc is also scheduling a special visit in spring 2019 related to the conversion transaction. as part of the conversion transaction, ashford university will separate from the **on remand from the securities and exchange commission for ...** - decision i. background this matter is before us on remand from the securities and exchange commission. in a national adjudicatory council ("nac") decision dated december 28, 2005, we found that philippe n. keyes ("keyes"): (1) violated nasd conduct rules 3040 and 2110 by participating **goldstein v. securities and exchange commission** - zaun _ _ f inal goldstein vcurities and exchange commission 112 business, entrepreneurship & the law vol. i:1 developments in the law that led to it, are the subject of this paper. while the decision represents an important victory for hedge funds, the **united states court of appeals - cases.justia** - the securities & exchange commission . heidi e. vonderheide argued the cause for petitioners. with her on the briefs was alan m. wolper. daniel e. matro, senior counsel, u.s. securities and exchange commission, argued the cause for respondent. with him on the brief was john w. avery, deputy solicitor. ~y4~osxch,~c~ **united states ~, securities and exchange ...** - securities and exchange commission 100 f. street ne washington dc 20549 if the staff makes an enforcement recommendation to the commission in this matter with respect to your client, we will send to the commission any submission that ... this decision puts the commission at a crossroads. the chair o f the commission has said **securities and exchange commission - governmentattic** - securities and exchange commission 100 f street ne mail stop 2465 washington d.c. 20549 fax: 202-772-9337 online request for copies of documents . the governmentattic web site ("the site") is noncommercial and free to the public. the site and materials made available on the site, such as this file, are for reference only. **united states court of appeals** - united states court of appeals . for the district of columbia circuit. argued december 12, 2017 decided march 23, 2018 . no. 16-1368 . mark e. laccetti, . petitioner. v. securities and exchange commission, . respondent. on petition for review of an order of **securities and exchange commission** - pcaob hearing officer, that decision shall be submitted to the commission for 10 see articles iv and vi of the pcaob's bylaws (stating that "[t]he governing board shall consist of those persons appointed thereto by the securities and exchange commission, pursuant to section 101 of the act" and that "[t]he chairman of the

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