

Limited Offering Exemptions: Regulation D, 2013-2014 ed. (Securities Law Handbook Series)

J. William Hicks

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With a state-by-state analysis, Limited Offering Exemptions: Regulation helps you keep abreast of the myriad regulations, key definitions, and trends relating to Regulation D. It includes a collection of charts and comparisons to help you evaluate the fast-changing regulatory patterns for securities offerings, determine exemptions, and coordinate registration procedures as required by the SEC and NASAA. Coverage includes: Rule 501: Common Definitions; Rule 502: General Conditions; Rule 503: Filing of Notice of Sales; Rule 504: Exemption for Sales Not Exceeding \$1 Million; Rule 505: Exemption for Limited Offers and Sales Not Exceeding \$5 Million; Rule 506: Exemption for Limited Offers and Sales Without Regard to Dollar Amount of Offering; Rules 507 and 508: Violations; and Coordination and Compatibility: A Survey of State Blue Sky Laws



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