This is your new

Insider Trading Law and Compliance Answer Book
2017 Edition

Schulte Roth & Zabel LLP
Edited by Harry S. Davis

Insider Trading Law and Compliance Answer Book is an easy-to-use guide to the reach of the insider trading laws, the specifics that must be proved in court, the available defenses, the penalties, the current approaches taken by the SEC and the Department of Justice to insider trading violations, and the best compliance policies and procedures for firms to enact to minimize the chances of a violation.

More than two dozen experts at Schulte Roth & Zabel LLP share their knowledge in clear and succinct question-and-answer format. Updated and expanded, the book provides timely and practical information for investors, corporate insiders, professional traders, investment adviser, broker-dealers, and other participants in the securities industry, as well as insights and analysis for the lawyers who advise and represent them.

New and expanded for the 2017 Edition: Brand new chapter 23: Insider Trading Law in the United Kingdom covers the sources of civil and criminal insider trading law in the United Kingdom, the types of securities covered, the elements of insider trading, “tipper-tippee” liability, territorial scope, defenses, and penalties. In addition, every chapter of the book has been fully updated with the latest information you need to know to answer hundreds of fundamental questions like these: Who is an insider? • Could the prohibition against insider trading apply to me if I do not trade in any securities? • How can the SEC and the Department of Justice help provide compensation to the victims of insider trading? • What is insider trading under the misappropriation theory? • What are the pros and cons of adopting a Rule 10b5-1 plan? • How significant is “hindsight bias” in materiality determinations? • Is there a clear distinction between public and nonpublic information? • What parties have standing to bring an insider trading claim under the classical theory?

(continued on reverse)

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• What compliance procedures should I put in place when dealing with consultants to protect against insider trading liability? • Is knowledge of an upcoming PIPE offering material per se? • What kind of material nonpublic information would likely be obtained in a bankruptcy case or restructuring? • Who typically uses Big Boy letters, and why? • What policies and procedures relating to insider trading should a broker-dealer have?

Thank you for purchasing *Insider Trading Law and Compliance Answer Book*. If you have questions about this product, or would like information on our other products, please contact customer service at (800) 260-4PLI.