



US SECURITIES TRANSACTIONAL FORMS

Access to the forms you need for Security Transactions

REUTERS/Jairo Castilla

SARBANES-OXLEY ACT IN PERSPECTIVE (SEC-SOAP)

Full text of Sarbanes-Oxley Act in Perspective, an in-depth analysis of the Sarbanes-Oxley Act of 2002 (otherwise known as the Corporate Responsibility Act).

MASTER INDEX: SECURITIES LAW SERIES (BLUE BOOKS) (SECMASINDX)

Full text of the Master Index to West's Securities Law Series, which contains the indexes from all treatises in the series.

MANUAL OF CORPORATE FORMS FOR SECURITIES PRACTICE (SEMCORPF)

Text of the Manual of Corporate Forms for Securities Practice, which provides access to the information and procedural guidance needed to undertake a variety of securities and corporate law projects. The manual contains a collection of practice-tested forms selected from the author's own work product that will guide you through compliance and due diligence matters and aid in establishing standard operating procedures. The forms can also serve as the starting point for drafting representations, employment contracts, stockholders' agreements, and escrow agreements.

OPINION LETTERS IN SECURITIES MATTERS: TEXTS-CLAUSES-LAW (SECOPINION)

Text of Opinion Letters in Securities Matters: Texts-Clauses-Law, which covers the structuring and drafting of opinion letters, including the negotiation of opinions, use of local or special counsel, backup opinions, and peer review.

SECURITIES REGULATION FORMS (SECREGFRM)

Full text of Securities Regulation Forms, which provides a wealth of annotated sample forms and documents accompanied by expert commentary to help you draft critical forms, memoranda, and agreements needed for any securities offering, including public and nonpublic offerings, as well as resales of restricted securities.

REGULATION OF INVESTMENT ADVISERS (SECREGINA)

Text of Regulation of Investment Advisers, which covers the registration and regulation of investment advisers under the Investment Advisers Act of 1940 and related legislation, including compliance with SEC reporting requirements, Treasury Department regulations, and Labor Department regulations; state and federal investment restrictions; conflict of interest issues; and advertising restrictions.

Your account manager can supply you with the complete, current list.

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