

This book addresses securities enforcement under state and federal statutes and the rules of self-regulatory organizations and provides practical advice for attorneys handling investigations by the SEC, the Department of Justice, and FINRA. Several chapters also cover the nuances of handling internal investigations. Internationally, cross-border regulation and anti-bribery statutes are addressed. These examples are meant to illustrate the wealth of secondary sources available to securities law researchers. Many more treatises and handbooks can be found through the securities law practice pages The SEC filing is a financial statement or other formal document submitted to the U.S. Securities and Exchange Commission (SEC). Public companies, certain insiders, and broker-dealers are required to make regular SEC filings. Investors and financial professionals rely on these filings for information about companies they are evaluating for investment purposes. Many, but not all SEC filings are available online through the SEC's EDGAR database. Scuderi Sec Filings - Free download as PDF File (.pdf), Text File (.txt) or read online for free. Between 2004 and 2011, Scuderi Group sold more than \$80 million worth of securities through offerings that were not registered with the Commission and did not qualify for any of the exemptions from the Securities Acts registration requirement. The companys private placement memoranda informed investors that Scuderi Group intended to use the proceeds from its offerings for general corporate purposes, including working capital. Merchant Banking-Black Book Project. Uploaded by. Harsh Doshi. SEC Filings. Breadcrumb. Home. For Investors. SEC Filings. SEC Filings. SEC Filing Keyword Search. Group. 3,4,5 Annual Filings Current Reports Mergers & Acquisitions Other Proxy Filings Quarterly Filings Registration Statements. Filing year. - Any - 2021 2020 2019 2018 2017 2016 2015 2014. Filing date. Report of foreign issuer rules 13a-16 and 15d-16 of the Securities Exchange Act. Current Reports. 0001193125-21-142718.rtf. Registration of securities of foreign private issuers pursuant to section 12(b) or (g). Annual Filings. 0001193125-21-119536.rtf. 0001193125-21-119536.xls.