**SECURITY REGULATIONS**

Throughout the 1800’s, trade in securities was not monitored by any organizations outside the stock exchanges. As a result, dishonest securities dealers often provided investors with misleading or false information.

THE SEC:

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| Securities Act  of 1933 | Securities Exchange Act  of 1934 | Investment Company Act  of 1940 |
| Investment Advisers Act  of 1940 | Insider Trading Sanctions Act  of 1984 | Sarbanes Oxley Act  of 2002 |

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