1984

Bibliography: State Securities Regulation

Gary David Raffel
University of Baltimore School of Law

Follow this and additional works at: http://scholarworks.law.ubalt.edu/ublr

Part of the Securities Law Commons

Recommended Citation
Available at: http://scholarworks.law.ubalt.edu/ublr/vol13/iss3/9

This Article is brought to you for free and open access by ScholarWorks@University of Baltimore School of Law. It has been accepted for inclusion in University of Baltimore Law Review by an authorized administrator of ScholarWorks@University of Baltimore School of Law. For more information, please contact snolan@ubalt.edu.
This Bibliography compiles periodical literature on state securities regulation from 1976 to the present. It does not include books, annotations, legislative studies, or judicial opinions. The most recent comprehensive bibliography was published in 1976 in L. Loss, A COMMENTARY ON THE UNIFORM SECURITIES ACT (1976), hence the starting date of this bibliography.

The principal sources used in compiling this Bibliography include the Index to Legal Periodicals (through Vol. 77, No. 8, May 1984), and Legal Resource Index (through May 1984).

Each category in this Bibliography contains a listing by states (if applicable), and is further listed in reverse chronological order. The Bibliography is organized as follows:

I. Security Defined
II. Conflict of Law and Jurisdictional Issues
III. Merit Regulation and Other Registration Aspects
IV. State Limited and Private Offering Exemptions
V. Other State Exemptions
VI. Enforcement and Civil Liabilities
VII. Regulation of Broker-Dealers and Other Securities Professionals
VIII. State Takeover Regulation
IX. Canadian Blue Sky Law
X. Overview of State Statutes and Miscellaneous

I. SECURITY DEFINED

Arkansas


California


Colorado

Georgia


In General


II. CONFLICT OF LAW AND JURISDICTIONAL ISSUES

In General


III. MERIT REGULATION AND OTHER REGISTRATION ASPECTS

California


Illinois


Kansas


Massachusetts

Oklahoma


Texas


In General

Mofsky & Tollison, Demerit in Merit Regulation, 60 MARQ. L. REV. 367 (1977).
Schoeman, Subscription Advisors, Blue Sky Registration and the First Amendment, 33 BUS. LAW. 249 (1977).
Davis, Developments in Real Property Syndication, 39 TEX. B.J., July 1976, at 616.
Goodkind, Is There Merit in Merit Requirements?, 1976 WIS. L. REV. 79.

IV. STATE LIMITED AND PRIVATE OFFERING EXEMPTIONS

Alabama


California


**Delaware**


**Illinois**


**Iowa**


**Maryland**


**Massachusetts**


**Missouri**


**New Mexico**


**Oklahoma**

Note, *Securities Regulation: Hidden Danger of Indirect Remunera-

Oregon


Utah


Virginia


In General


V. OTHER STATE EXEMPTIONS

California


Iowa


In General


VI. ENFORCEMENT AND CIVIL LIABILITIES

Florida


Georgia


Oregon


Texas


Washington


In General


VII. REGULATION OF BROKER-DEALERS AND OTHER SECURITIES PROFESSIONALS

Oklahoma

Note, Securities Regulation: Hidden Danger of Indirect Remunera-

VIII. STATE TAKEOVER REGULATION

Arkansas


Delaware


Idaho

Recent Decision, Securities Law—Tender Offers—Idaho State Take-Over Law is Preempted by the Williams Act and is an Impermissible Burden on Interstate Commerce, 47 GEO. WASH. L. REV. 630 (1979).

Note, Securities Regulation—The Idaho Takeover Statute is an Unconstitutional Burden on Interstate Commerce and is Preempted by the Williams Act, 53 TUL. L. REV. 984 (1979).


Illinois


Indiana


Iowa

Maine


Michigan


Missouri

Jefferies, Tender Offers and the New Missouri Takeover Bid Disclosure Act, 35 Mo. B.J., Mar. 1979, at 123.

New York


North Carolina


Ohio


Pennsylvania


Utah

Virginia


Wisconsin


In General


Sparks, State Law Developments Concerning Defensive Techniques, 14 INST. ON SEC. REG. 225 (1983).


Securities Regulation/State Takeover Acts: A State's Power to Regulate Corporate Takeovers is Limited to Regulation that Maintains a Neutral Stance Between the Target Company and the Offeror and Does Not Excessively Burden Interstate Securities


Veaszy, State Takeover Statutes, 13 INST. ON SEC. REG. 85 (1982).


Pozen, Rule 14d-2(b) Under the '34 Act and State Regulation of Takeover Bids, 12 INST. ON SEC. REG. 227 (1981).


Royalty, State Takeover and Blue Sky Law Developments, 10 INST. ON SEC. REG. 301 (1979).

Comment, Cash Tender Offers in the Corporate Supermarket, 10 CUM. L. REV. 93 (1979).


Note, Preemption and the Constitutionality of State Tender Offer Legislation, 54 NOTRE DAME LAW. 725 (1979).


Note, Overtaking State Take-over Statutes, 32 Sw. L.J. 689 (1978).


Recent Decision, Securities Regulation—Preemption—A State “Fiduciary Approach” Tender Offer Statute is Invalid Under the Commerce Clause and Because it Conflicts with the Accomplishment of Federal Regulatory Objectives is Preempted by the Williams Act, 13 GA. L. REV. 265 (1978).


IX. CANADIAN BLUE SKY LAW


X. OVERVIEW OF STATE STATUTES AND MISCELLANEOUS

Massachusetts


Michigan


Nebraska


Ohio


South Dakota


Texas


Utah


In General


*Bibliography compiled by Gary D. Raffel*