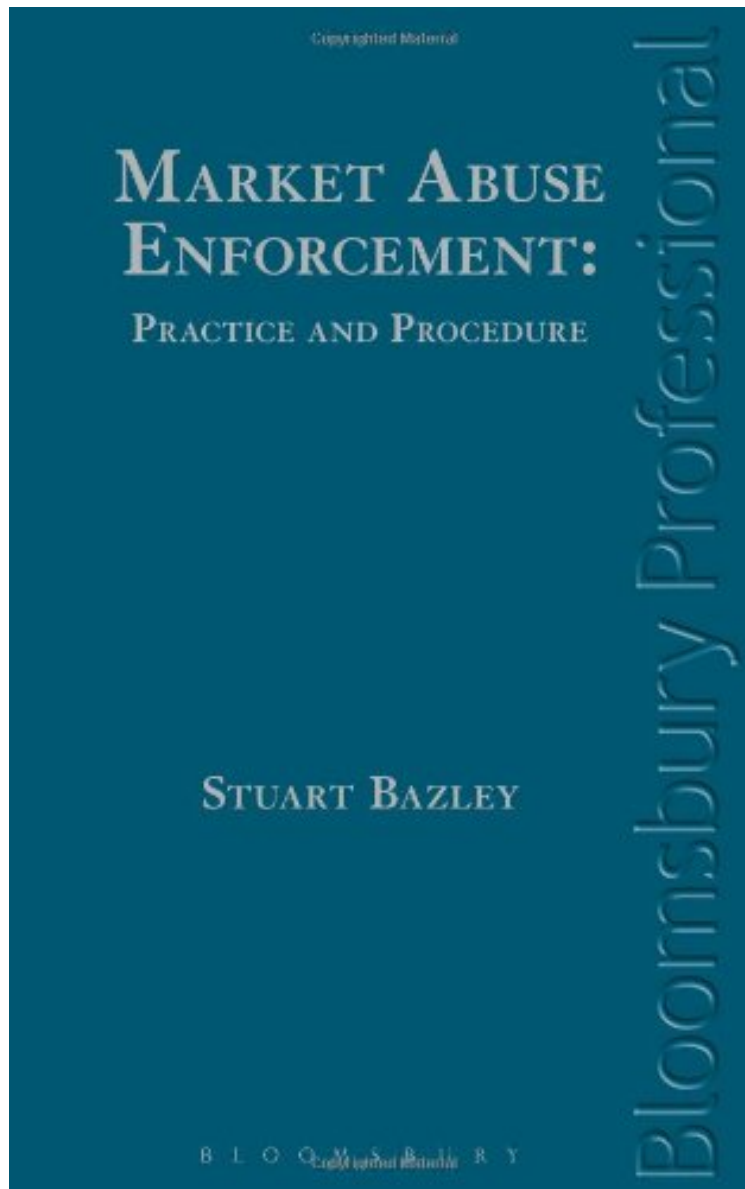


(Download pdf ebook) Market Abuse Enforcement: Practice and Procedure

Market Abuse Enforcement: Practice and Procedure

Stuart Bazley

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Stuart Bazley : Market Abuse Enforcement: Practice and Procedure before purchasing it in order to gage whether or not it would be worth my time, and all praised Market Abuse Enforcement: Practice and Procedure:

This book is concerned with the interplay between the UK Financial Services Authority's (FSA) statutory powers to impose administrative law sanctions on persons that have engaged in abuse in the financial markets and the statutory system of Tribunal accountability provided by the UK's Financial Services and Markets Act 2000. The book provides a thorough analysis and assessment of both the law of market abuse and the operation of the Financial Services and Markets Tribunal (FSMT) and the Upper Tribunal (Tax and Chancery) (UT), following the implementation of the Tribunal, Courts and Enforcement Act 2007 in April 2010 when, as part of an improved and unified system of statutory Tribunals, the functions of the FSMT were transferred to the UT. The book captures the resulting changes to the Tribunal's governance and rules of procedure. It sets out to question whether the Tribunal has effectively held the FSA's enforcement decision-making to account and whether its individual case decision-making has provided a wider contribution to the law on market abuse. It includes an historical analysis of the law concerning market manipulation and insider dealing regulation. It also explores the relationship between the statutory definitions of behavior constituting market abuse and the source of the FSA's enforcement powers, together with those policy issues that shape how such powers are deployed. Additionally, the book offers a general analysis of concepts of accountability, allowing an appreciation of the framework of accountability within the Act, as well as the benefits and deficiencies of accountability provided by the courts when compared to those provided by a specialist Tribunal.

About the Author Stuart Bazley has worked in the financial services industry for over 25 years and is currently a consultant. He has also lectured and written extensively on financial services regulation and enforcement