**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:

|  |  |  |
| --- | --- | --- |
| 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 |

Visit www.sec.gov