Securities Law

DATABASES

Canadian Securities Law Reporter
Widely regarded as the most comprehensive and up-to-date resource for Canadian securities law, the Canadian Securities Law Reporter covers all aspects of securities law in all provinces and helps practitioners, law librarians, researchers, and securities regulators stay up to date and in compliance with the securities landscape across Canada. The product includes all relevant securities instruments and other documents from securities commissions, recent case law, commentary, statutes, and regulations from across Canada.
Available online via CCH Online

Federal Securities Law Reporter
Federal Securities Law Reporter is a comprehensive resource covering the federal laws and rules that regulate the issuance and trading of securities, corporate disclosure, insider reporting, broker-dealer requirements and duties, self-regulatory organizations, investment companies, investment advisers, and accountants and attorneys practicing before the Securities and Exchange Commission.

It provides the full text of the Securities Act of 1933, the Securities Exchange Act of 1934, Investment Company Act of 1940, Investment Advisers Act of 1940, the Sarbanes-Oxley Act of 2002, the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010, and other federal securities laws, as well as the regulations and forms of the SEC.

It also includes the full text of court opinions deciding issues of federal securities law, all SEC rulemaking releases and other selected SEC releases and no-action letters. It is organized by act, with SEC rules, CCH explanations, and other materials located among the act sections to which they relate. Cases are the current year’s only but the Law Library also subscribes to the “Archives” database.
Available online via Intelliconnect

WestlawNext Canada: Securities Source
SecuritiesSource has information from securities commissions or their equivalents, stock exchanges, and other self-regulating organizations. This information is organized by jurisdiction, issuing body and document type. It also contains the securities acts, related regulations and forms from all Canadian jurisdictions, commentary from the Securities Law and Practice looseleaf service, the Securities Newsletter, and all precedents found in Canadian Securities Law Precedents. Securities-related case law dates back to 1855.

LexisNexis Quicklaw
LNQ has Securities Law folders [under Source Directory – Area of Law] – Securities. Resources include administrative boards and tribunals, citators and digests, cases, commentary and legislation. Other sources within LNQ include Halsbury’s Laws of Canada - Securities (Vaughn MacLellan) and Personal Property and Secured Transactions (Bruce MacDougall).
Access is restricted to Law faculty, staff and students, who receive a personal password as part of an educational agreement between the Law School and LexisNexis Canada. Western Libraries also subscribes to LexisNexis Academic for non-law users (content may differ).

Business Source Complete
Business Source Complete ... [provides] full text for over 10,000 scholarly business journals and other sources, including full text for more than 1,150 peer-reviewed business publications. Coverage includes virtually all subject areas related to business. This database provides full text (PDF) for more than 350 of the top scholarly journals dating as far back as 1922. This database is updated on a daily basis via EBSCOhost.
Includes:
Journal of Securities Compliance (2008-current)
also known as : Journal of Securities Law Regulation & Compliance and Journal of Securities Operations & Custody

TREATISES

Securities Regulation in Canada
KF1070 .G54 2007
Now in its third edition Securities Regulation in Canada, addresses a wide range of topics, among them: the legal environment in which business finance in Canada operates; up-to-date references to statutes, regulations and policy statements; and a review of the current
policy discussions underway across the country.
Author: Mark R. Gillen

**Canadian Securities Regulation**
KF1439.J635 2014
Now in its 5th edition, this text covers everything from the historical underpinnings of the Canadian securities system to the practical ramifications of its administration and enforcement.

Includes analysis of all aspects of securities regulation, commentary outlining recent developments and their impact, relevant caselaw, and insight into regulatory reform and the likely future path of securities regulation.

Author: David L. Johnston, Kathleen Rockwell, and Cristie Ford.

**Securities Law**
KF1439 .M256 2002
Canadian securities law comprises a unique mix of enduring basic principles and constantly-changing technical details. This text provides a solid introduction to both and includes a survey of all of the “usual” securities law topics—basic definitions, the public and exempt markets for securities, insider trading, continuous disclosure, and take-over and issuer bids. But the discussion of these and other specific topics is interwoven with a careful consideration of larger public policy issues. The authors thus help guide the reader through the complex labyrinth of modern securities regulation by constantly highlighting the unifying thread of fundamental principles. Print and e-book versions available.

Author: Jeffrey G. MacIntosh and Christopher C. Nicholls

**Securities Law and Practice**
KF1439 .S437
This work, organized according to the Ontario Securities Act, provides extensive commentary that follows each section, and interprets and explains the practical implications of the provision, in the light of rulings of the Ontario Securities Commission and court decisions from across Canada, as well as U.S. decisions. It also includes comparisons to equivalent Acts of Alberta, British Columbia and Quebec. Comprehensive securities-related primary material from every province and territory, including legislation, securities commission regulatory and policy materials, makes this an essential work for practitioners and securities regulators in all provinces. Supplemented Looseleaf

Editor-in-Chief Paul G. Findlay

**Halsbury’s Laws of Canada**
Halsbury’s Laws of Canada - Securities - contributed by Vaughn MacLellan
KE180.H346S438 2013
This volume explains the regulatory framework governing securities in every Canadian jurisdiction from a variety of sources: provincial and territorial securities statutes, regulations and rules, national and multilateral instruments and policy statements, notices and decisions of securities regulatory authorities, court decisions, and rules, policies and by-laws of stock exchanges and self-regulatory organizations. Topics covered include: insider reporting and trading, take-over and issuer bids, stock exchanges, and corporate governance and audit committees.

Halsbury’s Laws of Canada - Personal Property and Secured Transactions - contributed by Bruce MacDougall
KE180 .H346 P477 2013
This volume provides a national, organized summary of the legislation and case law in the common law jurisdictions that govern the rights of creditors and debtors when personal property is used as collateral to secure the payment of a debt, as well as the creation, perfection, and enforcement of security in personal property. Topics covered include: choses in possession and choses in action, infringements on personal property interests, development of the personal property security acts and U.S. law, and transactions excluded from the Personal Property Security Act.

**JOURNAL ARTICLES**

**OSC Bulletin**
K15 .S445
The OSC Bulletin is the official record of the activities of the Ontario Securities Commission. This weekly publication is available in print in the Law Library (some older issues may be in storage). As the official publisher of the OSC Bulletin, Carswell has included it in SecuritiesSource in WestlawNext Canada.

**University of Pennsylvania Journal of International Law**
Previously: Journal of Comparative Corporate Law and Securities Regulation

This journal is a forum dedicated to the discussion of timely issues in the field of international economic law. The Journal defines international economic law as a multi-disciplinary approach that includes, but is not limited to private international transactions, national governmental regulation, and international intergovernmental regulation. It provides an interdisciplinary and comparative focus through the contributions of academics, government officials, and practitioners.
Available online via HeinOnline
Securities Regulation Law Journal
K23 .E488
Featuring articles by noted practitioners and scholars in the field of securities regulation law, Securities Regulation Law Journal provides in-depth coverage of significant trends in legislative, judicial, and regulatory activity. This quarterly journal is a great source for:

- Securities specialists
- Corporate compliance experts
- Attorneys and accountants representing public companies
- Securities brokers and dealers
- Investment bankers and advisors

The text helps you stay up-to-date on topics such as takeovers, restricted stock plans, corporate disclosure, accountants' liability, SEC practice, and arbitration.

Available online via WestlawNext Canada

Securities Law Review
K23 .E477
This work solves the problem of staying in touch with the latest shifts in securities law by collecting articles about securities law from the past year and compiling them in one volume. Every article in this collection contributes to your understanding of the evolving framework of securities law and practice. Helps you stay on top of current critical thinking in securities regulation, as well as recent judicial, legislative and regulatory decisions.

- Summary of Contents
- Securities Disclosure
- The Securities Act of 1933
- Litigation under Rule 10b-5
- Regulation of the Securities Industry

Available online via WestlawNext Canada

Securities Litigation Journal
American Bar Association
Provides information about securities litigation, arbitration and regulatory enforcement matters.

Online via Academic Search Complete 2009-

Journal of Business & Securities Law
The Journal of Business & Securities Law (JBSL) is a prominent law journal produced by Michigan State University College of Law students. The Journal provides insight into legal issues surrounding the business community through legal analysis and other types of publications such as articles, personal narratives, and commentary.

Available online via HeinOnline

LexisNexis Securities Regulation NetLetter
The LexisNexis Securities Regulation NetLetter is an electronic current awareness service covering recent judicial developments involving the acquisition and disposition of securities as well as regulation of the individuals and entities involved. Cases discussing the jurisdiction and powers of regulatory commissions are included in this NetLetter, and may also be included in the LexisNexis® Administrative Law Netletter(TM). Topics addressed include trades (including insider trading), prospectuses, mergers and acquisitions, offences, and punishments. Cases involving professional responsibilities of stock brokers may also be included in the LexisNexis® Professional Responsibility Netletter(TM).

Available online via LexisNexis Quicklaw and LexisNexis Academic

General Full-Text and Periodical Indexes

HeinOnline
Contains more than 1,620 law and law-related periodicals. Coverage is from the first issue published for all periodicals and goes through the most-currently published issues allowed based on contracts with publishers. Search by article title, author, subject, state or country published, full text, and narrow by date.

Index to Canadian Legal Literature
KE173.C664
The Index to Canadian Legal Literature is a bibliographic index to Canadian law journals, books, articles, government publications, audio-visual materials, continuing legal education materials, and case comments. Published in association with the Canadian Association of Law Libraries, ICLL receives contributions from law libraries across Canada.

The print set is kept in the law library and electronic versions are found in LexisNexis Academic and WestlawNext Canada and, for Law Faculty and students, LexisNexis Quicklaw. 1985-current

Scott Index to Canadian Legal Periodical Literature
KF8.I52
Named after Marianne Scott (first woman to be appointed as National Librarian of Canada). The index is available electronically through the library catalogue of CAIJ (Centre d’accès à l’information juridique), an organization related to the Barreau du Québec. Search interface is in French only but English search terms can be used. The Law Library holds print copies of the index from 1961-2006.

LegalTrac
LegalTrac on InfoTrac Web provides indexing for more than 1,500 major law reviews, legal newspapers, specialty publications, Bar Association journals and international legal journals, including more than 250 titles in full text. Search results link to available multimedia — images, video and podcasts. 1980-present.

Index to Legal Periodicals & Books
The ILP&B is available through EbscoHost and indexes some 1400 monographs as well as citing articles from more than 850 legal periodicals. Periodical coverage includes law reviews, bar association journals, university publications, yearbooks, institutes, and government
publications. Index to Legal Periodicals & Books covers all areas of jurisprudence, including recent court decisions, new legislation, and original scholarship. The periodicals indexed, which regularly publish legal articles of high quality and permanent reference value, include law reviews, bar association journals, and university and government publications from the United States, Puerto Rico, Canada, Great Britain, Ireland, Australia, and New Zealand. Online updated daily. 1981-; full-text 1994-present

Earlier coverage is found in the Index to Legal Periodicals & Books: Retrospective (1908-2007)

Index to Foreign Legal Periodicals
K33.I53
Available through HeinOnline, the Index to Foreign Legal Periodicals (IFLP) is produced by the American Association of Law Libraries and indexes articles and book reviews appearing in over 500 legal journals published worldwide. It provides in-depth coverage of public and private international law, comparative and foreign law, and the law of all jurisdictions other than the United States, the U.K., Canada, and Australia. IFLP also analyzes the contents of approximately eighty individually published collections of legal essays, Festschriften, Mélanges, and congress reports each year. Check under the Subjects tab to see securities law and secured transaction law topics. 1985 to date. Print covers the period 1960-2007

STATUTES

Bank Act
Cite as: Bank Act, SC 1991, c 46.

Canada Business Corporations Act
Cite as: Canada Business Corporations Act, RSC 1985, c C-44.

Securities Act
Cite as: Securities Act, RSO 1990, c S-5.

Sarbanes-Oxley Act

Securities Exchange Act

WEB SITES

Ontario Securities Commission
http://www.osc.gov.on.ca/
The Ontario Securities Commission (OSC) is an independent Crown corporation that is responsible for regulating the capital markets in Ontario. The statutory mandate of the OSC is to provide protection to investors from unfair, improper or fraudulent practices and to foster fair and efficient capital markets and confidence in capital markets.

SEDAR
http://www.sedar.com/
The System for Electronic Document Analysis and Retrieval (SEDAR) is a filing system developed for the Canadian Securities Administrators. The website is the official site that provides access to most public securities documents and information filed by public companies and investment funds with the thirteen provincial and territorial securities regulatory authorities ("Canadian Securities Administrators" or "CSA") in the SEDAR filing system.

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