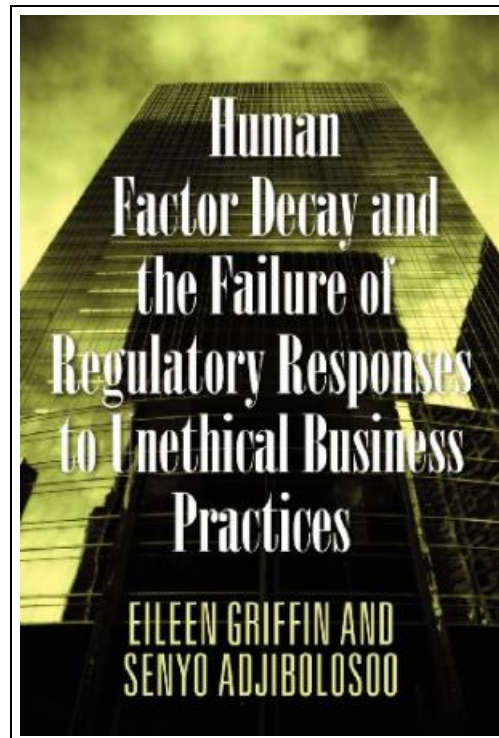


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Outskirts Press, United States, 2012. Paperback. Condition: New. Language: English . Brand New Book ***** Print on Demand *****. With the end of World War I and the prosperity that followed, the securities industry saw a large increase in the number of investors participating in the stock market. During the 1920s, approximately 20 million people became shareholders, expecting the amassing of more wealth with little or no consideration of the risk of potential loss. But of the \$50 billion in securities that was amassed during this time, approximately half disappeared during the stock market crash of 1929 (retrieved 2/23/2010). As a result of the crash and the significant loss of confidence investors now had in the stock market, Congress decided it was time to play a role. With the Securities Act of 1933 and the Securities and Exchange Act of 1934, initial legislation was activated and the Securities and Exchange Commission (SEC) was born. With the securities-related law, Congress stepped into the industry and since then has never taken a step back. This book begins with a review of the history of legislation enacted to control the brokerage business in the United States. The historical perspective establishes a trend of legislators creating laws, establishing bureaucracies and multiple layers of oversight that have been largely useless and definitely costly. There are significant costs tied to the maintenance of a system that simply accepts and works with the understanding that the players in the industry pursue corrupted, greedy, and unethical practices. Rather than making the effort to correct the problems that face the system by improving the attitudinal and behavioral practices of industry players, government officials currently provide ineffective regulatory remedies to correct the system. Congress has created a number of laws with such burdensome requirements that some brokerage firms have...

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