

**BALLANTINE, A. A.**

**Amending the Federal Securities Act, 20 American  
Bar Association Journal 85, February, 1934.**

**Securities regulation**

**BANE, B. B.**

**The Securities Act of 1933. Proceedings, 16th  
Annual Convention, National Association of Securities  
Commissioners, 1933.**

**Securities Regulation**

**BATES, G. E.**

**The Federal Securities Act and the English  
Companies Act, HARVARD BUSINESS SCHOOL ALUMNI  
BULLETIN, November, 1933.**

**BERLE, A. A., Jr.**

**High Finance: Master or Servant, YALE REVIEW,  
Autumn, 1933.**

**Securities Regulation**

M

Securities act of 1933

Brownell, George A

The Federal securities act of 1933, how it was adopted, how it operates and what some of its effects may be. (In: Barron's, July 10, 1933, p. 1, 9)

Clipped and filed in v.f. Securities act of 1933

**BULLOCK, C. J.**

**The Securities Act of 1933, REVIEW OF ECONOMIC  
STATISTICS, January 15, 1934.**

CHERRINGTON, Homer V.

THE INVESTOR AND THE SECURITIES ACT.

Washington: American Council on Public Affairs,  
1942. Pp. x, 253.

Review:

by Rudolph L. Weissman, AMERICAN ECONOMIC  
REVIEW, XXXII, June, 1942, pp. 386-87.

SEC

**DEAN, Arthur H.**

**The Federal Securities Act: Legal Opinion  
and Effects, FORTUNE,  
August, 1933.**

**Securities Regulation**



M

v.f. Securities act of 1933  
Securi- Dean, Arthur H.  
ties act Economic and legal aspects of the securities  
of 1933 act of 1933. (In: Investment Banking, Oct. 7, 1933,  
p. 18-31)

An address before the 16th annual convention  
of the National Association of Securities Commis-  
sioners, in Milwaukee, Wis., on Sept. 19, 1933.

Clipped and filed in v.f.

**DEAN, Arthur H.**

**Economic and Legal Aspects of the Federal Securities Act of 1933, PROCEEDINGS, 16th Annual Convention, National Association of Securities Commissioners, 1933.**

**DOUGLAS, W. O.**

**Protecting the Investor, YALE REVIEW,  
Spring, 1934.**

DOUGLAS,                      and BATES,

Some Effects of the Securities Act upon  
Investment Banking, 1 University of Chicago Law  
Review 283, November, 1933.

DOUGLAS,                      and BATES,

The Federal Securities Act of 1933, 43 YALE  
LAW JOURNAL 171, December, 1933.

**DULLES, John Foster**

**The Securities Act and Foreign Lending, FOREIGN  
AFFAIRS,**

**October, 1933.**

M

Securities act of 1933

Dulles, John Foster

The securities act and foreign lending. (In:  
Foreign Affairs, October 1933, p.33-45.)

Suggesting that a comparison of yeilds between foreign and domestic bonds leads to the conclusion that foreign bond holders have really suffered more loss than domestic holders.

**EDWARDS, G. W.**

**Control of the Security Investment System,  
HARVARD BUSINESS REVIEW,  
October, 1933.**



FELDMAN, G. J.

The new Federal Securities Act, 14 BOSTON  
UNIVERSITY LAW REVIEW 1, January, 1934.

**FERGUSON, G. A., Jr.**

**The Federal Securities Act of 1933, 1 FEDERAL  
BAR ASSOCIATION JOURNAL, 23, October, 1933.**

Flexner, Bernard

The fight on the Securities'  
Act, ATLANTIC MONTHLY  
Feb. 1934.

M

v.f.

Securities act of 1933

Sec.Exch. Flynn, John T.

act of  
1934

The marinessland in Wall street. (In:  
Harper's magazine, July 1935, p.148-155)

1935  
24  
1935

Mr.Eugene Black,Messrs.Pecora,Corcoran and  
Cohen and a few others went into conference about  
the revision of the Securities Exchange act of  
1934 and took out of the bill almost all of its  
teeth.

Clipped and filed in v.f.

M

Securities exchange act of 1934

v.f.

Flynn, John T.

Sec. Exch

act of

1934

The marines land in Wall street.

(In:

Harper's magazine, July 1935, p.148-155)

Mr. Eugene Black, Messrs. Pecora, Corcoran and Cohen and a few others went into conference about the revision of the Securities Exchange act of 1934 and took out of the bill almost all of its teeth.

Clipped and filed in v.f.

**FRANKFURTER, E.**

**The Federal Securities Act: Social Consequences,  
FORTUNE,**

**August, 1933. Reprinted 78 CONGRESSIONAL  
RECORD, 907.**

M

v.f.            Securities act of 1933  
Guaranty Trust Company of New York  
Business recovery and the securities act. (In:  
Guaranty Survey, November 27, 1933.)

Filed in v.f. Securities act of 1933

Analysis and criticism of the act

HANNA, J. and TURLINGTON, E.

The Securities Act of 1933, 28 ILLINOIS LAW  
REVIEW 482, December, 1933.



HERLANDS, W. B.

Criminal Law Aspects of the Securities Act of  
1933, 9 SCRAPS 1, August 26, 1933; reprinted  
67 UNITED STATES LAW REVIEW 562, November, and  
December, 1933.

**ISAACS, N.**

**The Securities Act and the Constitution,  
43 YALE LAW JOURNAL 218, December, 1933.**

**LANDIS, J. M.**

**Landis Interprets Securities Act, WALL STREET  
JOURNAL, November 1, 1933.**

**MacIntyre, M. A.**

**Criminal Provisions of the Securities Act and  
Analogies to Similar Criminal Statutes, 43 YALE  
LAW JOURNAL 254, December, 1933.**

**MAY, George O.**

**The Position of Accountants under the Securities  
Act, JOURNAL OF ACCOUNTANCY,  
January, 1934.**

McFARLAND, W.B., Jr.

National Securities Act of 1933. NEW MEXICO  
BUSINESS REVIEW,  
November, 1933.  
Pp. 15.

MEAD, J.

**Amend the Securities Act! ECONOMIC FORUM,  
Autumn, 1933.**

M

v.f. Securities Act of 1933  
Sec. Exch. Meyer, Charles H.  
act 1934 The Investor's Sword is Sharpened. (In:  
Economic Forum, Winter, 1935, p.437-448)

Investors have not yet realized the extensive nature of the rights which the Act confers on them. Until its provisions become more generally known, litigation under it is likely to be light.

Clipped and filed in v.f.

---

Securities Exchange Act, 1934



POWELL, T. R.

Unconstitutionality, HARVARD BUSINESS SCHOOL  
ALUMNI BULLETIN,  
July, 1933.

M

v.f. Securities act of 1933  
Security Richmond, Henry  
act of  
1933

Exchanges come under Federal control, how  
new margin requirements and other regulatory provisions affect: the investor, trader, broker,  
listed company business. (In: Mag. of Wall St.,  
May 26, 1934, p. 117-119.

Sketchy estimate of the effects of the act  
Clipped and filed in v.f.

---

no author ed.

## M

### Securities act of 1933

As amended the federal securities act...a legal opinion upon the requirements of this amended legislation, whose success is vital to the American capital market, by Arthur H. Dean...(In: Fortune ,nSeptember 1934,p.80-82.)

Index at end of article

**M**

**Securities act of 1933**

**The securities act; an interim report. (In:  
Fortune, December 1933,p.24-5 )**

**Some comparisons between the American act and  
the British Companies act.**

Shaffner, F. I.

The Problem of Investment. New York:

John Wiley & Sons, 1936 Pp. viii, 352.

Review: by Albert S. Keister So. Econ.

Journal Vol. III no 2 Oct 1936 pp 225-7

plight of modern investor  
promising use of govt power  
Fed. Sec. Act & SEC

**SHULMAN, H.**

**Civil Liability and the Securities Act, 43  
YALE LAW JOURNAL 227, December, 1933.**

THOMPSON, H.

Regulation of the Sale of Securities in Inter-  
state Commerce, 9 AMERICAN BAR ASSOCIATION JOURNAL 157,  
March, 1933.

Tucker, R. S.

Government control of investments and speculation. (In: American Economic Review, suppl. March, 1935, p. 140-155.)

Discussion and criticism of the Securities act of 1933. The author recommends that investment should be made by investor's own money and not provided by bank funds.

---

Securities act of 1933.



## M

### Securities act of 1933

Tucker, R.S.

Government control of investments and speculation. (In: American Economic Review, suppl. March 1935, p.140-155.)

Discussion and criticism of the Securities act of 1933. The author recommends that investment should be made by investor's own money and not provided by bank funds.

Untermeyer, Samuel

"Federal Regulation of the Stock  
Exchange." Address before the Law  
Alumni of the University of Southern  
California, March 8, 1933.

Pamphlet.