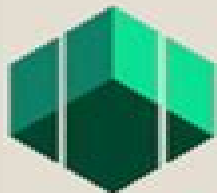


Fundamentals of Securities Regulation

Regulation of Market
Institutions and Professionals



Securities and
Exchange
Commission
ESTABLISHED 1934

Objectives of Securities Regulation

- Protect the Investors
- Ensure that the markets are fair, efficient and transparent
- Reduce systemic risk



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The Pyramid of Regulation

SEC

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