

9 Summary of California Law (10th), Corporations

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(b) [§422] Transactions Exempt From Issuer, Recapitalization, and Reorganization Requirements.

(c) [§423] Transactions Exempt From Nonissuer Requirements.

(d) [§424] Transactions Exempt by Commissioner's Rule.

5. Procedure for Qualification.

(a) [§425] In General.

(b) Particular Transactions.

(1) [§426] Issuer Transactions.

(2) [§427] Nonissuer Transactions.

(3) [§428] Recapitalizations and Reorganizations.

(c) Authority of Commissioner.

(1) [§429] Denial of Permit.

- (2) [§430] Stop Order.
- (3) [§431] Conditions of Qualification.
- (4) [§432] Reports and Records.
- (5) [§433] Miscellaneous Powers.

C. Regulation of Agents, Broker-Dealers, and Investment Advisers.

- 1. Licensing of Broker-Dealers.
 - (a) [§434] In General.
 - (b) [§435] Certificate.
 - (c) [§436] Particular Transactions.
- 2. Licensing of Investment Advisers.
 - (a) [§437] In General.
 - (b) [§438] Certificate.
 - (c) [§439] Investment Advisory Contract.
- 3. [§440] Discontinuance of Activities and Administrative Penalties.

D. Advertising Securities.

- 1. [§441] Filing Copy Before Publication.
- 2. [§442] Notice Not To Publish.

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- 1. [§443] Creating False Market.
- 2. [§444] Fraud or Misrepresentation in Purchase or Sale.
- 3. [§445] Purchase or Sale by Insider.
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- 5. [§447] Assisting in Violation or Obstruction of Enforcement.
- 6. [§448] Offer or Sale of Fractional Interest of Local Agency Obligation.

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- 1. Civil Liability.
 - (a) [§449] In General.
 - (b) [§450] Statute of Limitations.
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 - (a) [§451] Actions.
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XII. RELATED INVESTMENT LAWS

A. Franchise Investment Law.

- 1. [§456] In General.
- 2. [§457] Franchises Regulated.
- 3. [§458] Exemptions.
- 4. [§459] Regulatory Provisions.

B. Capital Access Company Law.

- 1. [§460] In General.
- 2. [§461] Licensing.
- 3. [§462] Organization.
- 4. [§463] Nature and Scope of Business.

5. [§464] Ownership.
C. [§465] California Commodity Law of 1990.