

Second Edition

# WRITING SECURITIES RESEARCH

A Best Practice Guide



A Post-Crisis  
Look at the Risks  
that Analysts Face

Jeremy Bolland

# Writing Securities Research A Best Practice Guide

**Jeremy Bolland**



## **Writing Securities Research A Best Practice Guide:**

**Writing Securities Research** Jeremy Bolland, 2010-09-21 The book highlights the major risks that securities analysts and other securities professionals face The various laws rules and regulations that securities analysts are subject to are broadly split into three categories research specific rules and regulations market wide laws and society wide laws and customs The risks that arise out of these various levels of rules and regulations insofar as research analysts and other securities professionals are concerned include conflicts of interest fair distribution front running of research insider trading spreading of rumours not highlighting investment risks including corporate governance issues as well as defamation and copyright issues We see that if an analyst puts a company in play a regulator would instantly assume that the analyst is trading on inside information especially if the information turns out to be true or is spreading a rumour especially if it turns out to be false However we also see that there is a third option that the analyst might just have come to his or her conclusion through some good research based on verifiable facts and reasonable assumptions Definitions of research from around the world are examined After all research is generally defined by its content not by the author s job description As such non Research securities professionals such as brokers and marketers of research as well as investors journalists and even bloggers and twitterers need to understand what constitutes research so that they don t fall into the regulators purview As regards the risks to investment views that analysts need to highlight to their investors the book not only examines economic and financial risks but also examines corporate governance issues such as executive compensation equal treatment of shareholders related party transactions and risk management To demonstrate the risks that analysts securities professionals and investors face the book draws on many cases and examples from around the world including many from the global financial crisis of 2007 2009 From these cases we see how penalties for those involved in the securities markets have become more serious over the years They range from fines to imprisonment and even to execution in some markets To give a light hearted angle many of these cases are accompanied by Alex cartoons

**Writing Securities Research** Jeremy Bolland, 2010-12-01 The book highlights the major risks that securities analysts and other securities professionals face The various laws rules and regulations that securities analysts are subject to are broadly split into three categories research specific rules and regulations market wide laws and society wide laws and customs The risks that arise out of these various levels of rules and regulations insofar as research analysts and other securities professionals are concerned include conflicts of interest fair distribution front running of research insider trading spreading of rumours not highlighting investment risks including corporate governance issues as well as defamation and copyright issues We see that if an analyst puts a company in play a regulator would instantly assume that the analyst is trading on inside information especially if the information turns out to be true or is spreading a rumour especially if it turns out to be false However we also see that there is a third option that the analyst might just have come to his or her conclusion through some good research based on verifiable facts and

reasonable assumptions Definitions of research from around the world are examined After all research is generally defined by its content not by the author s job description As such non Research securities professionals such as brokers and marketers of research as well as investors journalists and even bloggers and twitterers need to understand what constitutes research so that they don t fall into the regulators purview As regards the risks to investment views that analysts need to highlight to their investors the book not only examines economic and financial risks but also examines corporate governance issues such as executive compensation equal treatment of shareholders related party transactions and risk management To demonstrate the risks that analysts securities professionals and investors face the book draws on many cases and examples from around the world including many from the global financial crisis of 2007 2009 From these cases we see how penalties for those involved in the securities markets have become more serious over the years They range from fines to imprisonment and even to execution in some markets To give a light hearted angle many of these cases are accompanied by Alex cartoons

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**Human Aspects of Information Security, Privacy, and Trust** Theo Tryfonas, Ioannis Askoxylakis, 2015-07-20 This book constitutes the proceedings of the Third International Conference on Human Aspects of Information Security Privacy

and Trust HAS 2015 held as part of the 17th International Conference on Human Computer Interaction HCII 2015 held in Los Angeles CA USA in August 2015 and received a total of 4843 submissions of which 1462 papers and 246 posters were accepted for publication after a careful reviewing process These papers address the latest research and development efforts and highlight the human aspects of design and use of computing systems The papers thoroughly cover the entire field of Human Computer Interaction addressing major advances in knowledge and effective use of computers in a variety of application areas The 62 papers presented in the HAS 2015 proceedings are organized in topical sections as follows authentication cybersecurity privacy security and user behavior security in social media and smart technologies and security technologies

**Security Metrics, A Beginner's Guide** Caroline Wong, 2011-10-06 Security Smarts for the Self Guided IT Professional An extraordinarily thorough and sophisticated explanation of why you need to measure the effectiveness of your security program and how to do it A must have for any quality security program Dave Cullinane CISSP CISO VP Global Fraud Risk Security eBay Learn how to communicate the value of an information security program enable investment planning and decision making and drive necessary change to improve the security of your organization Security Metrics A Beginner's Guide explains step by step how to develop and implement a successful security metrics program This practical resource covers project management communication analytics tools identifying targets defining objectives obtaining stakeholder buy in metrics automation data quality and resourcing You'll also get details on cloud based security metrics and process improvement Templates checklists and examples give you the hands on help you need to get started right away Security Metrics A Beginner's Guide features Lingo Common security terms defined so that you're in the know on the job IMHO Frank and relevant opinions based on the author's years of industry experience Budget Note Tips for getting security technologies and processes into your organization's budget In Actual Practice Exceptions to the rules of security explained in real world contexts Your Plan Customizable checklists you can use on the job now Into Action Tips on how why and when to apply new skills and techniques at work Caroline Wong CISSP was formerly the Chief of Staff for the Global Information Security Team at eBay where she built the security metrics program from the ground up She has been a featured speaker at RSA ITWeb Summit MetriCon the Executive Women's Forum ISC2 and the Information Security Forum

**Information Security Management Handbook, Fifth Edition** Harold F. Tipton, Micki Krause, 2003-12-30

**Certified Information Systems Security Professional (CISSP) Exam Guide** Ted Jordan, Ric Daza, Hinne Hettema, 2024-09-20 If you're preparing for the CISSP exam this book is a must have It clearly covers all domains in a structured way simplifying complex topics The exam focused approach ensures you're targeting the right areas while practical examples reinforce your learning The exam tips and readiness drills at the end of each chapter are particularly valuable Highly recommended for CISSP aspirants Bill DeLong CISSP CISM CISA IT Cybersecurity Specialist DCMA Cybersecurity Advisor US Coast Guard Key Features Explore up to date content meticulously aligned with the latest CISSP exam objectives Understand the value of governance risk

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Building an Effective Security Program for Distributed Energy Resources and Systems Mariana Hentea, 2021-04-06 Building an Effective Security Program for Distributed Energy Resources and Systems Build a critical and effective security program for DERs Building an Effective Security Program for Distributed Energy Resources and Systems requires a unified approach to establishing a critical security program for DER systems and Smart Grid applications The methodology provided integrates systems security engineering principles techniques standards and best practices This publication introduces engineers on the design implementation and maintenance of a security program for distributed energy resources DERs smart grid and industrial control systems It provides security professionals with understanding the specific requirements of industrial control systems and real time constrained applications for power systems This book Describes the cybersecurity needs for DERs and power grid as critical infrastructure Introduces the information security principles to assess and manage the security and privacy risks of the emerging Smart Grid technologies Outlines the functions of the security program as well as the scope and differences between traditional IT system security requirements and those required for industrial control systems such as SCADA systems Offers a full array of resources cybersecurity concepts frameworks and emerging trends Security Professionals and Engineers can use Building an Effective Security Program for Distributed Energy Resources and Systems as a reliable resource that is dedicated to the essential topic of security for distributed energy resources and power grids They will find standards guidelines and recommendations from standards organizations such as ISO IEC NIST IEEE ENISA ISA ISACA and ISF conveniently included for reference within chapters

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