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Chapter 8

SECURITIES LAW CONSIDERATIONS WHEN OBTAINING VENTURE FINANCING

FOCUS

In this chapter we introduce several major legal aspects of fundraising for the new venture. We discuss the central role of the Securities Act of 1933 and the exemptions available to ventures seeking to issue securities without having to register them with the Securities and Exchange Commission.

LEARNING OBJECTIVES

1. Identify five relevant components of the federal securities laws.
2. Explain what is meant by “blue sky” laws.
3. Define “security” according to the Securities Act of 1933 and explain why such a designation matters.
4. Describe what is involved in registering securities with the Securities and Exchange Commission (SEC).
5. Identify some of the securities that are exempt from registration with the SEC.
6. Identify some transaction exemptions granted under the Securities Act of 1933.
7. Describe and discuss how the SEC’s Regulation D serves as a securities registration “safe harbor”.
8. Explain how Rules 504, 505, and 506 of Regulation D differ from one another.
9. Describe Regulation A and explain how and when it is used.

Entrepreneurial Finance 5th Edition Answers

Richard Bailey



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