

La Science de La Civilisation Prolegomenes Et Bases Pour La Philosophie de L'Histoire Et La Sociologie



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RareBooksClub. Paperback. Book Condition: New. This item is printed on demand. Paperback. 228 pages. Original publisher: Washington : U. S. G. P. O. , 2008. LC Number: KF27 . B5 2008x OCLC Number: (OCoLC)316043439 Subject: Securities -- United States. Excerpt: . . . 11 and the Massachusetts and Texas securities authorities announced settlements in principle with Citigroup and UBS. In pertinent part, both firms agreed to offer to purchase frozen auction rate securities from retail customers, small businesses, and charitable organizations at 100 cents on the dollar. Both firms also made whole any losses sustained by customers who sold their auc-tion rate securities at less than par after the market had frozen and both will offer no-cost-loan programs to eligible customers with immediately liquidity needs. The settlements also provide a mechanism through FINRA for customers to participate in a special arbitration process to pursue consequential damages. As for larger institutional investors, UBS has agreed to offer to purchase auction rate securities at par over a longer timeframe, while Citigroup has agreed to use its best ef-forts to provide liquidity solutions for its institutional customers. The proposed settlements contemplate that the Commission will defer imposing financial penalties on the settling firms in order to evaluate, among other things, their performance under the settle-ments. The SEC staff is now finalizing the settlement terms with the firms which it will then recommend to the Commission for ap-proval. In addition to the first settlements with UBS and Citigroup, the SEC staff and others have reached settlements in principle with Wachovia and Merrill Lynch. And our efforts are continuing. I would like to thank you for this opportunity to discuss the Commissions efforts with respect to the auction rate securities markets, and I would be happy to answer any questions. Thank you very much. The...

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