

Investor protection, a comparative study of the securities laws in Manitoba (Canada) and the Russian Federation

Abstract

This thesis presents a comparative analysis of securities regulations in Manitoba and Russia. In Manitoba, the regulation is imposed through 'The Securities Act' (Manitoba) and in Russia, through 'The Federal Law of the Russian Federation' "On Securities Markets". The scope of this analysis is limited to the substantive provisions in the securities laws and regulations that relate to investor protection. This analysis deals with corporate securities only. In light of the most recent economic crisis in Russia in the autumn of 1998 and the ensuing implosion of their securities markets, this comparison will be instructive from a number of points of view. I have restricted my focus to the differences and similarities between certain aspects of securities regulation in Manitoba and Russia. These include: (1) licensing and registration of professional participants in the securities market; (2) registration of securities and disclosure (which include requirements to file a prospectus, provisions on continuous disclosure, timely disclosure obligations and requirements for proxy and information circulars); (3) take-over bid provisions; (4) provisions with respect to insider trading; (5) enforcement provisions; and, (6) self-regulation. (Abstract shortened by UMI.)

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