

THE REVIEW OF SECURITIES & COMMODITIES REGULATION

AN ANALYSIS OF CURRENT LAWS AND REGULATIONS
AFFECTING THE SECURITIES AND FUTURES INDUSTRIES

2000 – 2017 CUMULATIVE ARTICLE INDEX

Notes

Articles are listed in reverse chronological order with their authors.

	Vol.-No.:Pg		Vol.-No.:Pg
2017			
Richard M. Kosnik Recent Law Firm Publications Capital Markets	50-22:272	Anne P. Ray Navigating Conflicts of Interest in Securities Class Actions	50-14:161
Wenchi Hu Technology Outsourcing by National Securities Exchanges and Registered Clearing Agencies	50-22:263	Jeffrey P. Taft, Lawrence R. Hamilton, Stephen Lilley, and Matthew Bisanz The New York State DFS Cybersecurity Regulation: Preparing for Compliance	50-13:153
Mary P. Hansen, James G. Lundy, and Antoinette M. Snodgrass CFTC Enforcement: Best Practices and Recent Developments	50-21:251	Elizabeth P. Gray and Catherine E. Fata Increased Use of Big Data in SEC Enforcement	50-12:145
Maia Gez The New Pay Ratio Disclosure	50-20:245	Sean M. Murphy, Robert C. Hora, and Michael E. Mirdamadi The So-Called “Fiduciary Exception” to the Attorney-Client Privilege in Section 36(b) Cases	50-11:133
Arthur H. Kohn and Julia M. Rozenblit Executive Compensation Litigation Update	50-20:235	Scott B. McBride <i>Salman V. United States</i> and Its Impact on Insider-Trading Enforcement	50-10:125
Hillel T. Cohn The New Fiduciary Standard for Broker-Dealers	50-19:229	John M. Hillebrecht, Jessica Masella, and Adam Steene Managing a Global Regulatory Investigation — Unique Challenges in Cross-Border Investigations	50-9:109
Brian A. Jacobs and Priya Raghavan The Impact of <i>Salman V. United States</i> on Downstream Tippee Prosecutions	50-19:223	Ronald S. Borod Esoteric ABS: Pushing the Envelope	50-8:93
Colin Lloyd and Christian Artmann Re-Examining the CFTC’s Regulation of Cross-Border Swaps Clearing and Trading Activities	50-18:211	Julian E. Hammar, David B. Lichtstein, and Robert J. Dilworth The SEC’s Long-Awaited Security-Based Swaps Rules May Be Approaching	50-7:77
Timothy D. Belevetz Cybersecurity Breaches: Avoiding Pitfalls	50-17:207	Willa Cohen Bruckner and Matthew Barringer Margin for Uncleared Swaps: Practical Considerations for the Buy-Side	50-6:67
Jason E. Brown, Eva Ciko Carman, and Nicole Krea SEC Priorities for Private Equity and Real Estate Advisers	50-17:199	Rose F. DiMartino, Jay Spinola, Ryan P. Brizek, and James W. Hahn The SEC’s “Swing Pricing” Rule	50-6:61
Tanuja Dehne, Anne Meyer, and Katayun Jaffari CEO Succession and Crisis Management	50-16:191	David Mortlock and Nikki M. Cronin Economic Sanctions Enforcement: Recent Trends and Lessons Learned	50-5:57
Richard Marshall Supreme Court Imposes a Five-Year Statute of Limitations on SEC Disgorgement Claims	50-16:181	Lisa Prager, Lara Covington, and Michael Court DOJ’s New Guidance for Voluntary Self-Disclosures of Willful Export Controls and Sanctions Violations	50-5:53
Nathaniel Lalone and Christopher Collins Market Structure: An Evolution from MiFID I to MiFID II	50-15:169		

2000 – 2017 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Tamer Tullgren		Robert Sichel, Kristina Zanotti, and Ruth Delaney	
The SBIC Advisers Relief Act.....	50-4:47	The Department of Labor’s New Conflict-of-Interest Regulations ..	49-13:163
Abby F. Rudzin, R. Scott Widen, Matthew T. Murphy		Trevor N. McFadden and Maria McMahon	
From Chancery Court to Federal Court: The Obstacles to a Post- <i>Trulia</i> Migration	50-4:41	Reluctant Handmaidens: The Role of Judiciary in Corporate Settlement Agreements	49-12:159
Glen Schleyer		Frederick H. Alexander	
2016 Shareholder Activism Review and Analysis	50-3:25	Public Benefit Corporations	49-12:155
Rose F. DiMartino, Jay Spinola, Ryan P. Brizek, and James W. Hahn		Joan E. Meyer	
The New SEC Liquidity Rule	50-2:13	The Evolving Calculus of Corporate Voluntary Disclosure in Foreign Corrupt Practices Act Cases	49-12:149
Sarah L. Cave		Mary Eaton, Amelia Cottrell, Elizabeth Gray, Ben Haskin, Jim Anderson, and Juliet Mun	
The Impact of <i>Omnicare</i> on Auditor Liability under the Federal Securities Laws.....	50-1:9	Context Makes a Difference: SEC Loses Controversial Case	49-11:139
Lisa C. Wood and Matthew Miller		Lisa R. Bugni and Courtney Quirós	
Recent Trends in SEC Enforcement Actions against Auditors.....	50-1:1	Preserving and Controlling the Attorney-Client Privilege in M&A Deals	49-11:129
2016		Nicole Erb, Sara Nordin, and Tanya Hanna	
Stephen P. Wink and Brett M. Ackerman		Reconciling US and EU Sanctions: Iran and Cuba	49-10:121
Crowdfunding under the SEC’s New Rules.....	49-22:267	Ajay Kuntamukkala, Adam J. Berry, and Timothy J. Ford	
Sharon Cohen Levin, Elizabeth J. Hogan, and Tamar Kaplan-Marans		The Iran Nuclear Deal: Possibilities and Pitfalls for U.S. and Non-U.S. Companies.....	49-10:113
Anti-Money Laundering Enforcement: The Rise of Individual Liability for Compliance Professionals	49-21:255	Amy R. Doberman	
Michael P. Daly and Richard M. Haggerty		SEC Proposal on Investment Company Use of Derivatives – A Solution in Search of a Problem?.....	49-9:101
Background Checks and the FCRA: How Employers Can Mitigate One Risk without Creating Another’	49-20:243	Mary J. Mullany	
Stephanie Yonekura and Deepak Singh		Shareholder Approval of Equity Plans – Current Considerations	49-8:93
The New Focus on Individuals Responsible for Corporate Misconduct	49-19:235	Jason A. Jones	
Mariza McKee and Robert Ahrenholz		FCPA Best Practices: Implementation and Utilization of Third-Party Audits	49-7:89
Concurrent Regulation D and Regulation S Offerings in EB-5 Financings	49-18:229	Jason M. Halper and Jeremy D. Erickson	
Matthew T. Martens, Arian M. June, and Caroline Schmidt		SEC Pay Ratio Rules – A Recipe for Compliance and Model Disclosure.....	49-7:81
Four Key SEC Whistleblower Trends – and How Companies Can Prepare for Them.....	49-18:225	Christian J. Mixter	
Todd S. Fishman		The SEC’s Administrative Law Enforcement Record	49-6:69
The SEC’s Renewed Focus on Gatekeepers	49-17:219	Paul St. Lawrence	
Tom A. Paskowitz, Daniel A. McLaughlin, and Benjamin F. Burry		Esoteric Asset-Backed Securities	49-5:63
Transactions in Un-sponsored American Depositary Receipts.....	49-17:211	Kay Georgi and Valentin Povarchuk	
Thomas H. Bentz, Jr.		Planning after Export Controls or Economic Sanctions Violations Have Been Discovered	49-5:53
Tips for Strong Cyber Liability Insurance	49-16:203	Dan M. Berkovitz and Gail C. Bernstein	
Lawrence Zweifach, Arthur Long, Joel Cohen, Robert Trenchard, Jeffrey Steiner, and Amy Mayer		Swap Dealer Chief Compliance Officer Requirements – Recent Developments.....	49-4:41
Developments and Trends in CFTC Enforcement	49-15:189	Sarah A. Good and Ildiko Duckor	
Anastasia Rockas		The CCO – The SEC’s Target – or Ally in Examinations and Enforcement?	49-3:33
2015: A Year in Review for Investment Advisers.....	49-14:179		
David A. Kotler, Joanna Barry, and Catherine Wigglesworth			
Recent Developments in Mutual Fund Fee Litigation.....	49-13:171		

2000 – 2017 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Anahita Thoms and Bettina Stepanek Capital Market Instruments Targeted by EU Sanctions against Russia.....	49-3:25	Jamie Fleckner ERISA Litigation Involving Retirement Plan Investments	48-13:159
Sarah L. Cave and Malik Havalic Subject Matter Jurisdiction under the FAA	49-2:19	Matthew L. Mustokoff and Stacey M. Kaplan Damages and Predominance in Securities Class Actions after <i>Comcast</i>	48-12:149
Marcus A. Asner and Alexandra L. Mitter Keeping Internal Investigations on Track and under Control	49-2:13	Marc E. Elovitz SEC Examinations of Private Fund Advisers	48-12:143
David Woodcock and Allison Fuller A Prosecutor’s Approach to SEC Enforcement (and What It Means for Smaller Companies).....	49-1-1	Choo Lye Tan The Shanghai-Hong Kong Stock Connect.....	48-11:137
2015			
Kim Strosnider and Stephen Bartenstein U.S. Trade Controls Considerations During M&A and Transactional Due Diligence	48-22:291	Kelli L. Moll, Gwyneth Rees, Neil Koren, and Peter D. Astleford Current Trends in Hedge Funds	48-11:127
Chad E. Silverman and David Zornow Manipulation under the CEA and the Defense of Self-Defense.....	48-21:287	F. Daniel Bell, III, Andrea L. Seidt, and Pamela P. Epting State Securities Regulatory Update.....	48-10:115
Gerald S. Sachs, Ryan A. Chiachiere, Alexandra L. Anderson, and Lauren Kelly D. Greenbacker Virtual Currency and Regulation.....	48-21:275	Douglas Davison, Matthew Martens, Nicole Rabner, John Valentine, and Natalie Rastin Litigating With – and At – the SEC	48-9:103
Alan Brudner, Wendy Cohen, Gary DeWaal, David Dickstein, Doron Goldstein, and Dina Wegh Cyber-Attacks and Developments in Cybersecurity	48-20:261	Robert E. Plaze Understanding the Investment Adviser Custody Rule: Part II – Safekeeping Requirements.....	48-8:87
Douglas I. Koff and Julian Rainero Dark Pools: Recent Enforcement Actions	48-19:253	David B. Anders Ethical Considerations for Defense Lawyers in SEC Proceedings	48-7:77
Leslie Silverman, Nicolas Grabar, and Andrea Basham New SEC Staff Guidance on General Solicitation.....	48-19:247	Ralph C. Ferrara and Rachel O. Wolkinson Managing Corporate Crises: A Brief Case Study	48-7:71
Geoffrey S. Goodman, Esq. Safe Harbor Rights and Protections for FCMs and Swap Dealers in Customer Bankruptcies	48-18:239	Cyrus Amir-Mokri, Mark D. Young, Maureen A. Donley, and Patrick Brandt Cross-Border Requirements for Derivatives in the U.S. and EU	48-6:67
Liisa Thomas Handling Big Data in the Financial Services Sector	48-18:231	Robert E. Plaze Understanding the Investment Adviser Custody Rule: Part I – Determining Custody	48-6:59
Stephen Heifetz and Kaitlin Cassel CFIUS: A Potential Cause of Deal Delay.....	48-17:225	A. Neil Hartzell The Perils of Non-Accounting Services Provided by Accounting Firms.....	48-5:55
Pamela Hughes, Tim Phillips, and Raees Nakhuda Regulation A+ from a Canadian Perspective.....	48-17:219	Stephan E. Becker U.S. Sanctions on Russia	48-5:47
James Burns and Justin Browder Asset Managers and the Regulatory Debate over Systemic Risk.....	48-16:205	Maeve L. O’Connor and Elliot Greenfield Lower Court Decisions in the Wake of <i>Halliburton II</i>	48-4:41
Stacie R. Hartman, Kenneth W. McCracken, and Jacob L. Kahn Disruptive Trading and the Search for Wrongful Intent	48-15:191	Deborah A. Monson and Jeremy A. Liabo NFA Inspections – Practical Guidance for CPOs and CTAs	48-4:35
Matthew E. Fishbein The DOJ’s New Position on Corporate Cooperation.....	48-14:185	Richard C. Smith, Sam Eastwood, Kelly Thorman, and Kate Hunter Deferred Prosecution and Non-Prosecution Agreements in the United States, England, and Wales	48-3:25
Gregory G. Ballard, Kevin A. Burke, and Neil D. Corcoran Law and Practice under Rule 102(e)	48-14:175	Jeffrey S. Hochman Back to Principles – MD&A as a Model for Effective Disclosure	48-2:19
Sergio J. Galvis Latin America: Lessons on Shareholder Activism from a U.S. Perspective.....	48-13:171	Marc J. Fagel and Leslie A. Wulff Private Funds: Preparing for Another Year in the SEC Crosshairs.....	48-2:13

2000 – 2017 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Dana S. Douglas and Kathleen M. Przywara The Outside Contractor as Whistleblower	48-1:9	Matthew E. Kaplan and Steven J. Slutzky Advance Planning for Sponsor-Backed IPOs	47-10:123
Laura D. Richman and Michael L. Hermsen Shareholder Engagement and the Proxy Season	48-1: 1	John Servidio, Peter Tucker, and Ryan Taylor Time for a 2014 ISDA Master Agreement.....	47-9:99
2014			
Jason M. Halper, Michael Delikat, Renee B. Phillips, Justin Bagdady, and Hannah M. Junkerman Corporate Whistleblowing – Key Issues in Responding to Possible Violations	47-22:291	Rex S. Heinke, Julia I. De Beers, and Elias Dabaie The Effect of Arbitration Agreements on Class Actions	47-9:91
Sean M. Murphy and Matthew J. Laroche <i>Halliburton</i> and the Fraud-on-the-Market Theory	47-21:283	Jeanine P. McGuinness U.S. Sanctions on Iran: The Joint Plan of Action for Containing Iran’s Nuclear Program	47-8:79
Brent J. McIntosh Judicial Review of SEC Consent Judgments.....	47-21:275	Herbert F. Janick III and John Lupton The SEC’s Policies on Civil Penalties and Admissions in Settlements	47-7:85
Jack W. Murphy, Stephen T. Cohen, Brenden P. Carroll, and Justin A. Goldberg Overview of SEC’s Recent Money Market Fund Reforms	47-20:263	Richard M. Phillips, Jeffrey L. Bornstein, and Leanne E. Hartmann The SEC’s New Enforcement Program	47-7:79
Joel M. Cohen, Mary Kay Dunning, Darcy Harris and Genevieve Quinn <i>SEC v. Obus</i> : A Case Study on Taking the Government to Trial and Winning	47-19:247	Paul R. Berger, Kenneth J. Berman, Robert B. Kaplan, Jonathan R. Tuttle, Lee A. Schneider, and Ryan M. Kusmin Compliance and Legal Personnel: Potential Supervisory Liability	47-6:75
Jessica Perry Corley and David W. Gouzoules Developments in Appraisal Litigation	47-18:241	Deanna Kirkpatrick The JOBS Act and IPOs	47-6:71
Frank Aquila and Melissa Sawyer Perfect Pill, Imperfect Defense	47-18:231	Rose F. DiMartino and Ryan P. Brizek Investment Company Performance: The Board’s Oversight Role.....	47-5:65
George Wang and Andrew Winerman Sanctions Developments in 2014.....	47-17:223	Roberta A. Kaplan and Jacob H. Hupart Credit Rating Agency Litigation.....	47-5:59
Deborah S. Birnbach and Morgan R. Mordecai Disclosure Hot Topics in M&A Litigation.....	47-16:211	Richard Hall SEC Developments in M&A	47-4:55
Owen Pell, Gregory Stamer, Kim Haviv, and Joshua Elmore City of Pontiac: Second Circuit Further Limits When U.S. Securities Laws May Reach Non-U.S. Securities and Issuers.....	47-15:207	Michael M. Farhang and Chris Jung The Interplay Between Government Investigations and Civil Securities Litigation	47-4:43
Dan M. Berkovitz and Gail Bernstein Swap Dealer Chief Compliance Officer Requirements – First Year in Review	47-15:195	Elissa J. Preheim and Bret A. Finkelstein Preparing an Effective PCAOB Statement of Position	47-3:37
Alan R. Gedrich and Christopher J. Zimmerman Alternative Funds in the Registered Fund Marketplace	47-14:183	Erica Schohn and Joe Penko Executive Compensation Issues: Planning for the Coming Proxy Season	47-3:31
Marc R. Ponchione, Heath P. Tarbert, and Gordon L. Miller Private Equity Funds and the Volcker Rule	47-13:171	Daniel Nathan and Justin Kletter Preparing for and Enduring a FINRA Exam.....	47-2:25
Stephen M. Gill, Kai Haakon E. Liekefett, and Leonard Wood Structural Defenses to Shareholder Activism.....	47-12:151	Marc J. Fagel Reassessing the SEC Wells Submission	47-2:17
Abby F. Rudzin, R. Scott Widen, and Brad M. Elias Protecting Financial Advisors in M&A Litigation	47-11:143	Kelley A. Howes Advisers Act Marketing Considerations for Real Estate Fund Managers.....	47-1:9
Mary P. Hansen and William L. Carr Employer Liability for Insider Trading	47-11:135	Marc Wolinsky and Ben Schireson Deal Litigation Run Amok: Diagnosis and Prescriptions.....	47-1:1
Matthew Kluchenek and James Schwartz The CFTC’s Cross-Border Application of the Dodd-Frank Act.....	47-10:129	2013	
		Robert Hubbell Regulators Renew Focus on Auditor Independence.....	46-22:293

2000 – 2017 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Charles F. Walker and Katherine V. Lesker Practicing Before the SEC: Ethical Considerations for Counsel.....	46-22:281	Willa Cohen Bruckner A Guide to Dodd-Frank for Users of Swaps.....	46-8:87
William Kane and Gillian Whittlesey SEC Investment Adviser Examinations.....	46-21:269	Michael H. Margolis and Howard S. Suskin The Use of Sarbanes-Oxley Certifications to Plead Scienter.....	46-7:83
Jonathan E. Pickhardt The ACA Case: A New Standard for Reasonable Reliance?.....	46-20:263	Anna T. Pinedo and Jay G. Baris Structured Products: Investment Company Act and Investment Advisers Act Considerations.....	46-7:75
Peter W. LaVigne Know Your Customer Inquiries and Suitability Determinations under the Updated FINRA Rules.....	46-20:253	Meredith Rathbone and Anthony Rapa A Primer on Internal Corporate Investigations.....	46-6:69
William S. Freeman Regulation FD in the Twitter Age.....	46-19:245	F. Joseph Warin and Maura M. Logan Disclosing Pending FCPA Investigations.....	46-6:61
Ethan Silver and Jayun Koo FINRA’s Regulation of its Members’ Use of Social Media.....	46-19:237	James H. Mutchnik and Micah C. Osgood Documents Hosted Overseas and Grand Jury Subpoenas.....	46-5:53
David Bayless and Tammy Albarrán Concluding an Internal Investigation.....	46-18:233	Philip Urofsky FCPA 2012: Lessons Learned and Open Issues.....	46-5:41
Paul M. Tyrell Recent AML Enforcement Cases.....	46-18:227	Cary J. Meer and Kathy K. Ingber Preparing to be a Commodity Pool Operator: NFA Compliance Obligations.....	46-4:33
Paula Howell Anderson “Win-Win” Scenarios for Shareholders in M&A Transactions.....	46-17:217	Richard D. Bernstein and Zheyao Li SEC Rule 412: What is Said Now Trumps What was Said Before.....	46-3:27
Melissa Sawyer and Rebecca Crosby Deal Protections in Tender Offers.....	46-17:211	Jill Crawley Grisct Predictive Coding: Silver Bullet or Pandora’s Box?.....	46-3:21
Brian Korn and David P. Russo Resales of Restricted and Control Securities under Rule 144.....	46-16:199	Jacqueline D. Shinfield Canadian AML and ATF Regime: The Changing Landscape.....	46-2:13
Stephen P. Wink, Stefan Paulovic, and Michael Shaw Dually Registered Brokers and Advisers.....	46-15:191	F. Amanda DeBusk Update on U.S. Sanctions against Iran.....	46-1:1
Donald R. Crawshaw Recharacterization of Payments by Mutual Funds and Advisers to Distributors.....	46-15:183	2012	
Adam M. Givertz and Brad D. Goldberg Anti-Corruption Due Diligence in Mergers and Acquisitions.....	46-14:171	Rajib Chanda and Robert Shapiro Board Oversight of Fair Valuation.....	45-22:263
A. Robert Pietrzak, Tom A. Paskowitz, and Benjamin F. Burry Securities Fraud Litigation against China-Based Companies in the United States.....	46-13:157	Ioannis Tzouganatos, Jack P. Huntington, and Bruce Treff ETF Regulatory and Operational Considerations.....	45-21:251
Matthew L. Mustokoff and Margaret E. Onasch Proving Securities Fraud Damages at Trial.....	46-12:145	Rudolph Koch and Jason J. Rawnsley Section 162 (M) Litigation: What We Know So Far.....	45-20:243
Stephen A. Keen Money Market Fund Reform from a Risk Management Perspective.....	46-11:129	Bruce B. Fekrat CFTC’s Large Trader Reporting Rules.....	45-20:239
Patricia O. Vella and Jessica C. Pearlman Confidentiality and Standstill Agreements: Recent Delaware Law Developments.....	46-10:121	Edward R. McNicholas and Elisa K. Jillson Extending Compliance to the Cloud.....	45-19:227
Blake Rohrbacher and Christopher H. Lyons Disclosure of Management Projections under Delaware Law.....	46-10:113	Thomas C. Bogle Anti-Money Laundering Regulation of Investment Advisers.....	45-18:219
Linda L. Griggs The Increasing Focus on Audit Committees.....	46-9:99	Norman S. Poser Janus Revisited: The Lower Courts Wrestle with a Troubling Supreme Court Decision.....	45-17:211
		Guy P. Lander Foreign Private Issuers: Status and Exchange Act Registration.....	45-16:205

2000 – 2017 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Jay G. Baris Fallout from the Dodd-Frank Zone: Lessons and Challenges for Investment Advisers	45-16:195	Sofia E. Biller and Howard S. Suskin When is the Statute of Repose Period for Federal Securities Fraud Claims Triggered?	45-4:45
Ivonne Mena King, Jaime Guerrero, and Lauren L. Valiente FCPA Internal Investigations in Latin America	45-15:185	Marc Folladori and Ryan Valenza Developments in Shareholder Proposals.....	45-4:33
John H. Walsh The Time Has Come to Reconsider the <i>Gutfreund</i> Standard.....	45-15:177	Mitchell E. Nichter and Patrick W. Dennis Duties Imposed by the Investment Advisers Act of 1940	45-3:27
Barbara Stettner, Charles Borden, Sam Brown, and Claire Rajan Non-U.S. Issuers Selling Fund Interests in the United States.....	45-14:165	Jay G. Baris and Andrew J. Donohue SEC Concept Release Tackles Investment Company Use of Derivatives	45-3:19
John M. Vasily and Michael J. Rosenthal The Impact of <i>Morrison</i> on Cross-Border M&A	45-13:157	Bruce A. Machmeier and Andrew J. Neuharth Pre-Releases of Financial Information.....	45-2:11
Heather Traeger and Jennifer Prospa Fixed-Income Markets in 2012.....	45-13:145	Boris Feldman Shareholder Litigation after the Fall of an Iron Curtain.....	45-1:7
Paul C. Gluckow and David B. Edwards Recent Trends Regarding the Use of Confidential Witnesses in Securities Litigation.....	45-12:141	Elizabeth K. Derbes The SEC’s Large Trader Reporting Rule.....	45-1:1
Robert H. Hotz, Jr. and Harry Sandick Search Warrants in White-Collar Crime Cases	45-12:133	2011	
Matthew F. Kluchenek and Jacob L. Kahn The Dodd-Frank Act’s Prohibition of Disruptive Trading Practices	45-11:127	Bradley A. Jacobson, Robert E. Puopolo, and Daniel J. Blanchard Capital Formation Reform.....	44-22:285
Robert A. Skinner and Tyler A. Young Recent Developments in Securities Litigation against Mutual Funds.....	45-11:117	Sarah L. Cave and Jesse L. Jensen Federal Securities Claims against Auditors Following the Subprime Meltdown	44-22:277
Robert E. Puopolo, Bradley A. Jacobson, and Stephen T. Adams The JOBS Act: Improving Access to Capital Markets for Smaller Companies	45-10:109	John F. Grossbauer and Pamela L. Millard Stockholder Rights Plans in Negotiated Mergers: Issues of Delaware Law	44-21:269
Melissa Sawyer Advising Buyers in Controlling Stockholder Transactions	45-9:97	Jonathan R. Tuttle and Ada Fernandez Johnson The SEC Sharpens its Talons in No-Fault Clawback Actions.....	44-20:261
Laura Ariane Miller and B. Patrice Clair The Proverbial Gun in the Corporate Defense World	45-8:91	Michael S. Sackheim Professional Responsibility Issues for Swaps Lawyers under Dodd-Frank	44-20:253
Sean M. Murphy and James G. Cavoli Fund Profitability in Mutual Fund Fee Litigation	45-8:81	John Kolada, Stefan Timms, and Michael Hickey Cross-Border Public M&A in Canada	44-19:245
Jeffrey W. Coverdell, Brian L. Rubin, and Andrew M McCormick SEC and FINRA: Priorities and Enforcement Trends	45-7:75	F. Martin Fox, Jack P. Huntington, and Bruce Treff Use of Social Media by Investment Advisers	44-19:237
Michele D. Johnson and Colleen C. Smith The Future of Say-On-Pay Derivative Litigation	45-7:69	Laurence S. Lese and Michael E. Clark Insights into the SEC’s Whistleblower Program.....	44-18:225
Alex C. Lakatos Extraterritorial Section 10(B) Class Actions after <i>Morrison</i>	45-6:61	Jason E. Brown and Joel A. Wattenbarger Implementing the Private Fund Investment Advisers Registration Act of 2010.....	44-17:213
Tracey A. Zaccone The PIPES Market: Outlook for 2012.....	45-5:57	Norman S. Poser The Supreme Court’s <i>Janus Capital</i> Case	44-16:205
Thomas W. Kellerman and Jeffrey R. Wolters Corporate Governance for Venture-Backed Companies	45-5:49	Joel M. Cohen and Adam P. Wolf Private Equity Investment and the FCPA	44-16:197
		John Mark Zeberkiewicz and Tiffany N. Piland Valid Issuance of Capital Stock.....	44-15:191

2000 – 2017 CUMULATIVE ARTICLE INDEX

Vol.-No.:Pg.	2010	Vol.-No.:Pg.
<p>Donald W. Glazer and Michael J. Kendall Old Opinion Forms on Sales of Securities..... 44-15:187</p> <p>Tracy L. Gerber FINRA Arbitration in the Modern Era: A Defense Practitioner’s Perspective..... 44-14:181</p> <p>Stephen Fishbein, Philip Urofsky, and Richard Kelly The UK Bribery Act 2010..... 44-14:171</p> <p>James M. Cain, Warren N. Davis, Ann M. Battle, Doyle R. Campbell, and Raymond A. Ramirez Dodd-Frank Necessitates New Legal Documentation for Cleared and Uncleared Swaps..... 44-13:155</p> <p>Elizabeth P. Gray and Jessica L. Matelis PCAOB Foreign Inspections – A Chinese Conundrum 44-12:145</p> <p>Allison Lurton and Mark Herman CFTC Regulation of Derivatives under Dodd-Frank: Challenges for Compliance Officers..... 44-12:139</p> <p>Robert W. Helm, Douglas P. Dick, and Gared S. Schneberger Investments in Derivatives by U.S. and European Mutual Funds 44-11:129</p> <p>Deanna L. Kirkpatrick Negotiating Comfort Letters 44-10:121</p> <p>Jared L. Kopel and Maulik Shah The Core Operations Inference 44-9:113</p> <p>Linda L. Griggs Disclosures about Loss Contingencies 44-8:107</p> <p>Pravin Rao and Assad Clark Changing Landscape of Swap Regulation 44-8:97</p> <p>Jason E. Brown Application of the Investment Advisers Act to Private Equity Advisers 44-7:83</p> <p>Giselle M. Barth and Daniel M. Rossner Dodd-Frank Securitization Reforms..... 44-6:67</p> <p>Laura D. Richman The Impact of the Dodd-Frank Act on the Proxy and Annual Report Season 44-5:55</p> <p>Ralph C. Ferrara; Jonathan E. Richman; and William C. Horn Fraud? Foreign Purchase? Forget It! “Foreign-Cubed” and Other Foreign-Issuer Cases after <i>Morrison</i> 44-4:47</p> <p>Michael E. Clark The Dodd-Frank Act’s Bounty Hunter Provisions..... 44-3:31</p> <p>Donna L. Wilson and John W. McGuinness Investor-Driven Litigation against the Credit Rating Agencies 44-2:27</p> <p>Marc D. Powers Insider Trading: The SEC Gets Tough 44-2:21</p> <p>Mark A. Borges The Executive Compensation Provisions of the Dodd-Frank Act..... 44-1:1</p>	<p>Stephanie Nicolas and Leigh Thompson Outsourcing Back-Office and other Functions 43-22:301</p> <p>Roberta S. Karmel A New Regulatory World for Hedge Funds 43-22:295</p> <p>Jack Murphy, Julien Bourgeois, and Lisa Price How a Fund Dies 43-21:283</p> <p>John Mark Zeberkiewicz and Megan W. Shaner An Overview of Delaware-Specific Issues for Stockholders’ Meetings 43-20:275</p> <p>James R. Doty and J. Bradley Bennett Independent Consultants in SEC Enforcement Proceedings..... 43-19:259</p> <p>Jared L. Kopel and Jacob T. Veltman Tolling the Statute of Limitations in SEC Proceedings, Part 2 43-18:251</p> <p>Ki P. Hong and Matthew Bobys The SEC’s New Pay-to-Play Rule for Investment Advisers 43-18:247</p> <p>Jared L. Kopel and Jacob T. Veltman The Statutes of Limitations in SEC Proceedings, Part 1..... 43-17:235</p> <p>F. Joseph Warin and Jill M. Pfenning Chinese Anti-Bribery Regulatory and Enforcement Landscape 43-16:227</p> <p>Michael J. Sharp, Bruce H. Newman, and Christie Farris Öberg Seller Beware: Regulators Dissect Retail Sales of Structured Products 43-16:219</p> <p>David B. Anders Handling a Regulatory Investigation in Light of the SEC’s New Cooperation Guidelines..... 43-15:207</p> <p>Stephen A. Keen 2010 Money Market Fund Regulatory Reforms..... 43-14:191</p> <p>Kay A. Gordon Regulation of Short Selling in the U.S. 43-13:179</p> <p>William M. Lafferty and Bradley D. Sorrels Anatomy of a Busted (Up) Deal..... 43-12:173</p> <p>Stephen E. Roth and Mary Thornton Payne Navigating the SEC Framework for Registered Non-Variable Annuity Products 43-12:161</p> <p>Todd W. Beauchamp The Evolution of Private Equity Investment in Failed Institutions .. 43-11:149</p> <p>Andrew M. Ross Acquisitions by Chinese Companies in the United States 43-10:137</p> <p>Owen D. Nee, Jr. Foreign Management of Private Equity in China 43-10:127</p> <p>Mark D. Perlow and C. Dirk Peterson SEC Revisits Equity Market Structure in Concept Release and Rule Proposals 43-9:115</p>	

2000 – 2017 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Mari-Anne Pissari		Mark A. Borges	
The New Landscape of Investment Adviser Custody	43-8:103	The TARP Executive Compensation Standards – A Sign of Things to Come?	42-15:197
Jeffrey A. Smith, Matthew Morreale, and Kimberley Drexler		Daniel R. Waldman and Ahmad M. Hajj	
The SEC Interpretive Release on Climate Change Disclosure	43-7:95	CFTC’s Supervision Rule Expanded?	42-14:193
Gerald J. Russello		Thomas W. White and Nia M. Monroe	
FINRA AML Enforcement: Early Lessons	43-6:85	The Mark-To-Market Accounting Controversy	42-14:181
Brynn D. Peltz and Matthew J. Chase		W. Thomas Conner and James M. Cain	
M & A Transactions for Investment Advisers in an Age of Scrutiny	43-6:79	Exchange-Traded Funds	42-13:167
Ronald Wood, Travis Brennan, and Courtney Devon Taylor		Julien Bourgeois, Michael Sherman, and Philip Hinkle	
Post-Madoff SEC Reforms: Implications for Hedge Funds	43-5:67	SEC Examination of Investment Advisers	42-12:155
Marsha Z. Gerber, Elaine L. Lawson, and Cristina K. Lunders		Joel M. Cohen, Mark A. Kirsch, Mary K. Dulka, and Sarah Blackman	
Voluntary Disclosure of FCPA Violations	43-4:55	Mutual Fund Litigation Triggered by the Credit Crisis	42-11:145
Howard E. Berkenblit and Jonathan M. Vaas		Pamela Rogers Chepiga and Lanier Saperstein	
SEC Passes Enhanced Proxy Disclosures	43-4:47	Trends in Global Securities Litigation	42-11:139
Mary J. Mullany and Jill M. Stadelman		Donald B. Henderson Jr. and Allison J. Tam	
Compensation Committees – The New Gatekeepers	43-3:37	Overview of the Life Settlement Market	42-10:123
Doreen E. Lilienfeld and Veronica M. Wissel		Joseph R. Fleming, John V. O’Hanlon, and Hila Shamir	
Emerging Trends in Compensation Regulation	43-3:31	The Future of Money Market Funds: Implications of the Recent Turmoil	42-9:107
Rebekah J. Poston, David A. Saltzman, and Gregory W. Bates		Seth Aronson, Amy Jane Longo, and Stephanie Noble	
FCPA Due Diligence in Acquisitions	43-2:13	A Decade in Review: The Securities Litigation Uniform Standards Act	42-8:95
Barbara J. Endres and Kersti Hanson		David B. Harms	
“At-the-Market” Offerings – Implications under Regulation M	43-1:1	When Public Companies Raise Private Capital: Managing the Disclosure and Publicity Issues	42-7:83
2009		W. Hardy Callcott and Abigail C. Slonecker	
Jaclyn Liu		A Review of Recent SEC Actions against Lawyers	42-6:71
The NYSE’s Amendment of Rule 452: Practical Tips for Public Companies	42-22:279	Mary J. Mullany and Ellen Jerrehian	
Stacie R. Hartman		2009 Annual Disclosure Documents	42-5:61
Changes in the Culture of Waiver	42-21:271	Scott W. Muller and Chiawen C. Kiew	
Victor Peterson		Responding to Multi-Jurisdictional Investigations: Issues and Considerations	42-4:47
Recent Developments in the Misappropriation Theory of Insider Trading	42-20:265	Ronald E. Wood, Jeffery Gross, and Travis Brennan	
Soo J. Yim, Andre E. Owens, Gail C. Bernstein, and Cristie L. March		SEC’s Fiscal 2008 Focus on Hedge Funds	42-3:39
The SEC’s Proposed Ban of Flash Orders	42-20:259	Pravin B. Rao and Jade R. Lambert	
Anand S. Raman, Darren M. Welch, and Emily C. Helms Williams		Revenue Recognition in Troubled Times	42-3:31
The Servicemembers Civil Relief Act	42-19:251	Jonathan S. Sack	
Elizabeth V. Tanis and Jennifer D. Fease		Knight’s Saga: A Court Rejects the SEC’s Theory of “Best Execution”	42-2:25
Emerging Issues in Deepening Insolvency Claims	42-18:239	Tanya L. Forsheit	
John Mark Zeberkiewicz and Joseph L. Christensen		Privacy, Data Security, and Outsourcing: Domestic and International Regulation	42-2:13
The Delaware and SEC Proxy Access Regimes	42-17:233	Norman S. Poser	
Lawrence R. Bard, David M. Lynn, and Alfredo B. Silva		Securities Fraud and the Common Law	42-1:1
XBRL is Now Mandatory – A Primer for Securities Lawyers	42-17:227		
Marc H. Morgenstern			
Crisis Bridge Financings – 2009	42-16:213		

2000 – 2017 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
2008			
Stephen D. Bohrer The SEC’s Amendments to the Cross-Border Rules: Right Direction but Off-Target	41-22:289	Gary DiBianco and Wendy E. Pearson Anti-Corruption Due Diligence in Corporate Transactions: How Much Is Enough?	41-11:125
Blake Rohrbacher and John Mark Zeberkiewicz The Right Protection: More on Advancement and Indemnification	41-21:283	Stuart H. Gelfond, Valerie Ford Jacob, David A. Kanarek, and Michael A. Levitt Key Considerations in Drafting a Registration Rights Agreement from the Company’s Perspective	41-10:113
James T. Lidbury and Andrew J. Terry SEC Issues Guidance on the Use of Company Web Sites to Disseminate Investor Information	41-21:279	Randall J. Fons and Stephanie L. Forbes Securities Regulators Take the Initiative in Protecting Older Investors	41-9:105
Amelia Toy Rudolph The <i>In Pari Delicto</i> Defense in Federal Securities Claims and Accountant Liability Actions	41-20:263	Alan L. Beller, Michael D. Dayan, Leslie N. Silverman, and James D. Small SEC Adopts Amendments to Rules 144 and 145	41-9:97
Jessica Forbes and Terrance O’Malley A Review of Principal Transactions under the Advisers Act	41-19:249	Stacy L. Fuller The Evolution of Actively Managed Exchange-Traded Funds	41-8:89
Paul R. Berger and Erin W. Sheehy The Globalization of SEC Enforcement Activities	41-18:243	Kimberley S. Drexler and Paul Michalski A Snapshot of the SEC and Global Security Risk Disclosure Today	41-8:81
Eric A. Hirsch and Steven M. Witzel Liability and Consequences for Failing to Supervise Employees Who Engage in Fraudulent Trading	41-18:233	Bruce Luna, Ed O’Connell, and John White An Overview of CDO Transactions	41-7:73
Brandon Gay and Keir Gumbs The 2008 Shareholder Proxy Season in Review	41-17:217	Daniel L. Goelzer What Audit Committees Should Know about the Work of the Public Company Accounting Oversight Board	41-6:61
Scott J. Carpenter and Thomas V. Sjoblom Parallel Government Proceedings in Complex Securities Cases	41-16:201	George P. Attisano Investment Company Board Oversight of Subadvised Relationships	41-5:49
Jack P. Drogin and Howard L. Kramer Fraud in Markups: An Unusual SEC Decision	41-15:195	Larry E. Bergmann and Matthew B. Comstock Amended Rule 105 of Regulation M: A Fuzzy “Bright Line”	41-4:43
Tommaso Bencivenga, Mia C. Korot, and Sean M. Murphy Securities Plaintiffs Turn to Class Actions under ERISA	41-15:185	Margaret E. Tahyar and Richard D. Truesdell, Jr. Increasing the Attractiveness of U.S. Capital Markets to Foreign Private Issuers	41-4:37
Wendy B. Hart and Michael K. Wolensky Designing an Effective Retail Surveillance Program	41-14:179	Joseph J. Muscatiello and Brynn D. Peltz Hedge Fund Stock Exchange Listings: Considerations and Developments	41-3:25
Lina Braude and Jonathan Nelms FCPA Compliance in Russia	41-14:169	Rose F. DiMartino and Paul F. Schlichting Soliciting over the Internet: The New E-Proxy Rules in the Investment Company Context	41-2:17
Sarah R. Davidoff, Gary L. Granik, and Rachel E. Meyer Side Pockets on the Rise – Issues, Analysis, and Impact	41-13:161	Jeffrey A. Smith Disclosure of Climate Change Risks and Opportunities	41-1:1
Christopher D. Christian, Joseph R. Fleming, and Maureen Magner The Rise and U.S. Invasion of Sovereign Wealth Funds: A Growing Source of Concern	41-13:153	2007	
Brian T. Casey and Thomas D. Sherman State Broker-Dealer Registration Pitfalls for Life Settlement Brokers	41-12:147	Jonathan M. Hoff and Gregory Zimmer The Evolution of Class Certification Standards	40-22:255
John C. Kelly The U.S. Supreme Court Decides <i>Hall Street</i> : Challenging an Arbitration Award Just Got Tougher	41-12:141	Marcela L. Cuadrado and Thomas L. Taylor III The Future of Fee-Based Brokerage Programs	40-21:247
Gregory S. Bruch and Jessica L. Matelis FCPA Compliance Monitors – A Buyer’s Guide	41-11:133	Patryk J. Chudy and Richard A. Martin Collateral Estoppel & Foreign Parallel Proceedings: The Risks of Preclusion in U.S. “Follow-On” Litigation	40-20:239

2000 – 2017 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Christopher F. Chase and Christopher M. Salter Short Selling and Naked Shorts in the Regulation SHO Environment	40-20:231	Jeffrey D. Karpf and Leslie N. Silverman When Time-of-Sale Disclosure Turns Out to Be Wrong: Reforming the Securities Sale Contract	40-4:35
William E. Donnelly and Robert P. Howard, Jr. Brokers Beware: Elder Law Issues Become Increasingly Significant to Securities Firms	40-19:215	Gary DiBianco and Andrew M. Lawrence Investigation and Reporting Obligations under Section 10A of the Securities Exchange Act	40-3:25
Jennifer Corinis and Steven W. Hansen Judicial Views of “Collective Scierter” in a Section 10(b) Case	40-18:207	Brian T. Casey and Eric L. Marhoun Broker-Dealer Participation in Life Settlements of Variable Insurance Policies.....	40-2:21
Deborah G. Heilizer and Brian L. Rubin What’s in a Name? Enforcement Trends and Possible Implications for FINRA.....	40-17:199	Jessica A. Clarke and Jacqueline C. Wolff Liability under the Foreign Corrupt Practices Act	40-2:13
Jon A. Jacobson and Bradford D. Kaufman Appellate Review of Arbitration Decisions	40-16:185	Thomas Kuczajda and Sharon Rose Supervising Sales of 529 Plans: Not as Easy as 1-2-3	40-1:1
2006			
Margaret Jacobs and Betty Santangelo Mutual Fund Compliance and the Anti-Money Laundering Regulatory Regime (Part II).....	40-15:171	Matthew Farley Arbitrating with People Who Are Not Parties to the Agreement	39-22:245
Carey A. Kotula, Geoffrey M. Sigler, and F. Joseph Warin Audit Committee Oversight of a Major Independent Investigation	40-14:161	David Seide Compelled Waivers of the Attorney-Client Privilege	39-21:235
Adam W. Glass The Section 3(a)(2) Exemption for Equity Index-Linked Notes	40-13:149	Cristina Alger and Lori A. Martin State Regulators and the Mutual Fund Industry	39-20:219
Patrick M. Norton FCPA Compliance in China.....	40-12:137	Mark D. Young Policing Energy Price Manipulation: Whose Beat? What Rules?	39-19:207
Hector Gonzalez and Claudius O. Sokenu Pitfalls of Attempts to Cooperate with Enforcement Agencies	40-11:127	Rebecca F. Ebert and Barry W. Rashkover SEC Enforcement in the Cox Era	39-18:185
Ann H. Mathews and Edwin G. Schallert Market Timing in Variable Annuities: Trends in Regulatory Enforcement	40-10:123	Thomas A. Hanusik Sarbanes-Oxley: Broader Statutes, Bigger Penalties.....	39-17:177
C. Stephen Bigler and Pamela H. Sudell Delaware Law Developments: Stock Option backdating And Spring-Loading	40-10:115	Kathleen Fuentes and Domenick Pugliese Role of Electronic Media and the Use of the Internet under the Federal Securities Laws	39-16:169
Hector Gonzalez and Claudius O. Sokenu The Current Enforcement Environment and the Corporate Response	40-9:99	Seth Aronson, Kristina Hersey, and Amy Longo Preemption of “Holder” Class Actions under SLUSA	39-15:163
Larry E. Bergmann Soft-Dollar Arrangements under Section 28(e) of the Securities Exchange Act	40-8:87	Brynn D. Peltz Investment Advisers of Offshore Funds	39-15:153
Mark Perlow Managing Hedge Fund Conflicts of Interest	40-7:75	Susan C. Ervin and Matthew F. Kluchenek Possible Breakthrough to Expanded Use of Futures by Investment Companies.....	39-14:151
Margaret Jacobs and Betty Santangelo The Anti-Money Laundering Regime for the Futures Industry	40-6:59	LizabethAnn R. Eisen Role of Underwriters’ Counsel in Complying with the NASD’s Corporate Financing Rule.....	39-14:141
Marc H. Folladori, Michael Hermsen, and Saul R. Laureles SEC Overhauls Executive Compensation Disclosure Rules.....	40-5:47	Gregory S. Bruch and Jessica L. Matelis Enforcement Practice Before the PCAOB.	39-13:131
Alice F. Yurke Developments Affecting Commodity-Linked Security Products	40-4:41	Glen Barrentine and Thomas Kuczajda Equity-Indexed Annuities: Regulatory Trouble for the Unwary.	39-12:119
		Anna T. Pinedo Legal and Regulatory Developments Relating to Structured Products.	39-11:109

2000 – 2017 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.
William E. Donnelly and Jerry A. Isenberg Lawyers as Gatekeepers: An SEC Enforcement Perspective.....	39-10:97
Robert B. Robbins and Philip L. Rothenberg Writing Risk Factor Disclosure in Exchange Act Reports.....	39-9:87
Nicolas Grabar New Form 20-F Requirements for 2006.....	39-8:79
Inez H. Friedman-Boyce and Carl E. Metzger Defending Venture Capital Firms in Securities Litigation.....	39-8:63
John H. Eickemeyer SEC Actions against Accountants under Section 10A of the Exchange Act.....	39-7:53
Marc Recht and Dennis J. White Sarbanes-Oxley’s Continuing Impact on Middle-Market M&A.....	39-7:47
Daniel L. Goelzer and Marilyn Weimer Inspecting the Watchdogs — An Overview of the PCAOB’s Inspection Program.....	39-6:35
Christopher L. Padurano and Charles A. Ross Resolving Criminal Securities Fraud Cases.....	39-5:23
Jack Weinberg Books and Records Retention and Disclosure in the Electronic Age...39-4:15	
Terri Seligman Email Marketing: Legal Overview and Compliance Guidelines.....	39-3:9
Janet L. Fisher and Leslie N. Silverman Director Due Diligence after WorldCom.....	39-2:1
Lorraine Bellard and Jeffrey Plotkin Act-of-Production Privilege in SEC Proceedings.....	39-1:289
2005	
Behnam Dayanim and Kristine A. Rembach Notice of Data Theft: States and the Congress Jump on the California Bandwagon.....	38-22:281
James N. Benedict, Sean M. Murphy, and Andrew W. Robertson Aftermath of the Mutual Fund Crisis.....	38-21:261
Lawrence M. Gill International Financial Reporting Standards.....	38-20:251
Richard L. Gallagher and Robert P. Varian Loss Causation in Securities Class Actions after <i>Dura</i>	38-19:241
Norman S. Poser Regulation NMS.....	38-18:229
Christopher S. Petito and Angela R. Thompson Practical Tips for Handling Regulatory Inspections.....	38-17:215
Margaret Jacobs and Betty Santangelo Mutual Fund Compliance and the Anti-Money Laundering Regulatory Regime.....	38-16:201
Peter D. Cripps, Ian A. Hartman, and William G. Lawlor Doing Public M&A Deals in Pennsylvania: Minesweeper Required.....	38-15:191
Paul B. Uhlenhop Critical Elements of an Effective Supervisory Structure.....	38-14:173
Bradley C. Faris and Mark D. Gerstein Special Negotiating Committees.....	38-13:157
Kathleen K. Clarke and Paul M. Miller New Mutual Fund Redemption Fee Rule.....	38-12:151
Timothy B. Parker Soft Dollars Reconsidered, Again.....	38-12:141
Matthew C. Baltay, John H. Henn, and Brandon F. White Anonymous Sources in Securities Class Action Complaints.....	38-11:131
Mark A. Borges FASB’s New Accounting Standard for Stock-Based Compensation.....	38-10:115
Tracy A. Nichols and Stephen P. Warren Aiding and Abetting Liability under Section 10(B).....	38-9:105
Mari-Anne Pisarri Raising the Bar: Investment Adviser Codes of Ethics.....	38-8:97
Sarah E. McCallum and Warren R. Stern The Private Securities Litigation Reform Act: Ten Years after.....	38-7:89
Jeffrey D. Karpf and Leslie N. Silverman The SEC’s Securities Offering Reform Proposals: Will This Ship Sail?.....	38-6:63
Michael Delikat, Renee B. Phillips, and Jill L. Rosenberg Whistleblowing Claims under Sarbanes-Oxley.....	38-5:51
Kenneth J. Berman and Elizabeth N. Kaplan The New Fund Governance Standards.....	38-4:33
Vincent J. Badolato and Dennis J. Lawson Identifying and Managing Conflicts of Interest.....	38-3:25
Daniel Aronowitz The New Rescission Rules for D&O Insurance Policies.....	38-2:13
Steven B. Caruso Arbitrator Training in the Securities Dispute Arena.....	38-1:8
Paul W. Goldstein, Rochelle S. Hall, and Thomas J. McGonigle Risk Management for Broker-Dealers.....	38-1:1
2004	
Kevin D. Finger, The Honorable Erwin I. Katz, and Robert W. Lannan Sarbanes-Oxley and Publicly Traded Corporations in the Zone of Insolvency.....	37-22:262
Emily M. Zeigler New CFTC Rules for CPOS and CTAS.....	37-22:257

2000 – 2017 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Marc Morgenstern and Peter Nealis The Impact of Sarbanes-Oxley on Mid-Cap Issuers.....	37-21:245	Kit Chaskin, Venus S. McGhee, Neil B. Posner, Carolyn H. Rosenberg, and Duane F. Sigelko Negotiating D&O Policies: Key Terms and Conditions.....	37-4:31
Michael L. Cypers, William H. Forman, and John M. Landry The Future of Loss Causation	37-20:235	Kathleen K. Clarke and Paul M. Miller Compliance Programs of Registered Investment Advisers and Investment Companies	37-3:26
Thomas J. Sherrard What Is a Security – Revisited.....	37-19:227	Stephen P. Younger Damages in Securities Litigation.....	37-3:19
Donald W. Glazer and Keith F. Higgins Securities Exchange Act Section 16: Short Answers to Quick Questions under the New Rules and Forms	37-18:207	Marc Morgenstern Off-Balance Sheet Disclosures in MD&A	37-2:9
Helene T. Glotzer Recent Trends in SEC Enforcement Remedies	37-17:185	Paul R. Bessette, Blair C. Hedges, and Steven S. Kaufhold Defending Securities Class Actions Involving Accounting Restatements	37-1:1
Gary Simon New Audit Committee Rules	37-16:167	2003	
Jeffrey C. Blockinger and Rebecca M. Palmer Hedge Fund Managers in the Era of Heightened Regulatory Scrutiny	37-15:159	Sylvia M. Mahaffey, Lilyanna L. Peyser, and Robert B. Robbins Regulation D Offerings and the Internet.....	36-22:259
Michael S. Sackheim False Reporting of OTC Energy Transactions	37-14:149	Philip H. Harris and Wei-Li F.X. Tjong Regulatory Issues in Private Placements of Hedge Fund Securities	36-21:249
Robert R. Stauffer, Seth A. Travis, and Anton R. Valukas Enforcement Actions in the Post-Enron World: Zero Tolerance in the White-Collar Arena.....	37-13:133	Vincent R. Cappucci Securities Class Actions: Settlements	36-20:243
Richard W. Helm and Frederick B. Lohr European Regulation of Investment Funds	37-12:121	William E. Donnelly and Thomas J. McGonigle Research Analysts’ Conflicts: The Regulatory Response	36-20:235
Allan Horwich New Form 8-K and Real-Time Disclosure.....	37-11:109	Terrance J. O’Malley The SEC Revises and Modernizes the Advisers Act Custody Rule	36-19:225
Jennifer L. Chunias and Carl E. Metzger Two Years after Sarbanes-Oxley: Assessing the Impact on D&O Liability Insurance	37-10:99	James C. Hartman, Jennifer S. Martinez, and Mark D. Pollack Recent SEC Enforcement Cases	36-18:213
Kelly H. Zinser New Issues Are the New Hot Issues — An Overview of NASD Rule 2790.....	37-9:94	James N. Benedict and Christopher M. Joraleman Primary Liability of Secondary Actors in Securities Fraud Cases.....	36-17:205
John H. Henn, Kalun Lee, and Stephen C. Warneck The Lead Plaintiff and Lead Counsel Provisions of the PSLRA: A Defense Perspective.....	37-9:83	Inez H. Friedman-Boyce and Brian E. Pastuszynski Defending Outside Directors in Securities Litigation	36-16:191
Daniel L. Goelzer and Marilyn Weimer An Audit of Internal Control over Financial Reporting — The New PCAOB Standard	37-8:71	Gerald Audant, Sara B. Brody, James E. Burns, and Robert P. Varian Trying Securities Class Actions in the Post-Enron Era.....	36-15:177
Roberto M. Braceras Late Trading and Market Timing	37-7:61	Jay G. Baris Anti-Money Laundering: Rules for Investment Companies.....	36-14:165
Seth Aronson and Amy J. Longo Current Issues under the Securities Litigation Uniform Standards Act.....	37-6:51	Steven Drachman The SEC’s Company Act and Advisers Act Agenda	36-13:149
Steven B. Nadel U.S. Regulation of Private Investment Funds	37-5:45	Paul Ferrillo and Erin J. Law Class Certification and the ‘Most Adequate’ Plaintiff	36-12:141
		Ira H. Jolles Sarbanes-Oxley: The New Audit Committee and the Exercise of Due Care	36-11:133

2000 – 2017 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Mari-Anne Pisarri		Craig E. Chapman	
SEC Adopts New Proxy Voting Rules	36-11:127	Underwriters' Due Diligence Revisited	35-17:207
William D. Edick		Dean J. DiPilato, Brian E. Pastuszynski, and Christopher F. Robertson	
For Accountants, a Brave New World.....	36-10:119	Loss Causation in Securities Litigation: A Defense Strategy Whose Time Has Come	35-16:194
Kelly H. Zinser		Jeffrey C. Blockinger and Prufesh R. Modhera	
Why 'Best Execution' Is in Your 'Best' Interest	36-9:113	Selecting the Appropriate Type of Hedge Fund	35-16:185
Martin F. Doublesin and Marc H. Folladori		C. Evan Stewart	
Developments in Executive Compensation Disclosures	36-8:107	Liability for Securities Lawyers in the Post-Enron Era	35-15:171
Michael L. Cypers		Jerry A. Isenberg	
Trial of an Accountant Liability Case: A Defendants' Attorney's Perspective	36-7:100	The <i>Seaboard</i> Section 21(A) Report: Promises and Perils	35-14:164
N. Robert Stoll		James N. Benedict and Mary K. Dulka	
Trial of an Accountant Liability Case: A Plaintiff Lawyer's Tips	36-7:91	Recent Developments in Litigation under the Investment Company Act of 1940.....	35-14:151
James J. Junewicz		Michael Berenson and Christopher D. Menconi	
The SEC's Recent Enforcement Actions under Regulation FD.....	36-6:83	To Boldly Go Where No Securities Offering Has Gone Before: Paperless	35-13:137
David A. Bell and Richard L. Dickson		Elizabeth Knoblock	
Dilutive Venture Capital Financings of Distressed Companies	36-5:73	Investment Advisory Sales: Best Practices	35-12:129
John J. Huber and Thomas J. Kim		Martin Budd and Shawn Wooden	
The Sarbanes-Oxley Act of 2002 and Commission Rulemaking – Part II	36-4:51	Analysts' Conflicts of Interest.....	35-12:119
John J. Huber and Thomas J. Kim		Paul B. Uhlenhop	
The Sarbanes-Oxley Act of 2002 and Commission Rulemaking – Part I	36-3:27	Anti-Money Laundering Provisions for Broker-Dealers	35-11:107
Gregory V. Varallo		Paul B. Uhlenhop	
Funding Directors' Litigation Costs	36-2:22	Security Futures – A New Frontier	35-10:97
Kathleen H. Moriarty and David W. Selden		Caroline Krass Levy and Betty Santangelo	
Developments in Exchange-Traded Funds	36-2:11	New Anti-Money Laundering Rules for the Futures Industry	35-9:85
Julien Bourgeois and George J. Mazin		Peter M. Casey, Christian M. Hoffman, and Stephen C. Warneck	
Preparing for an SEC Examination	36-1:1	The SEC's New MD&A 'Suggestions'	35-8:73
2002			
Mari-Anne Pisarri		Daniel J. Kramer and Megan Elizabeth Murray	
When Two Worlds Collide: The Interplay Between Broker-Dealer and Investment Adviser Regulation.....	35-22:271	Extraterritorial Application of United States Securities Laws to Punish Insider Trading	35-7:65
S. Mark Hurd		Robert B. Robbins	
Indemnification of Directors and Officers under Delaware Law	35-21:262	The Fiduciary Duties of Directors of Corporate General Partners: Ten Years after <i>USACAFES</i>	35-6:57
Stuart M. Grant and Megan D. McIntyre		James C. Creigh and Michael S. Dorf	
Class Certification and Section 18 of the Exchange Act.....	35-21:255	Earn-Outs and Other Deferred Consideration Rights	35-5:49
Allan Horwich		Michael S. Caccese	
New Requirements for Disclosure of Financial Condition under the Federal Securities Laws.....	35-20:243	Revised Performance Presentation Standards.....	35-4:39
Guy P. Lander		Jeffrey C. Blockinger and Stephanie M. Monaco	
Using the Internet to Reduce the Costs of Securities Practice	35-19:237	Operating a Hedge Fund in a Regulated Environment	35-3:27
Peter J. Anderson and Alana Rae Black		Jonathan M. Hoff and Jake P. Yanchar	
Accountants' Liability after Enron	35-18:227	Developments in Pleading under the PSLRA	35-2:13

2000 – 2017 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Jonathan M. Rich Antitrust Enforcement in the Securities and Commodities Markets.....	35-1:1	Sandra Folsom Kinsey Foreign Private Issuers	34-8:79
2001			
Paul B. Uhlenhop and Michael Wise Managing Regulatory Investigations and Examinations for Cause	34-22:271	Jeffrey O. Himstreet and Neal E. Sullivan Investment Adviser Trading Issues.....	34-7:69
David B. Harms Integration under the 1933 Act: The SEC Provides New Safe Harbors.....	34-21:259	Kenneth B. Winer and Samuel J. Winer Effective Representation in the SEC Wells Process.....	34-6:59
E. Paul Quinn Due Diligence in Private M&A Transactions	34-20:253	Christian J. Mixer Web-Based Investment Advisers and Commodity Trading Advisors	34-5:47
Susan C. Ervin Single Stock Futures.....	34-19:243	Steven B. Boehm and Cynthia M. Krus The Business Development Company Solution.....	34-4:39
Mark Bonham and Craig Norris Recent Legal and Accounting Issues in Initial Public Offerings	34-18:233	David E. Webb High Yield Offerings in the U.S. & Europe	34-3:27
Leo F. Orenstein The NASD and the Constitutional Right to Remain Silent	34-17:225	Peter Q. Bassett and Kelly C. Wilcove State Court Securities Litigation after the Uniform Standards Act	34-2:15
Richard F. Jackson and James T. McHale Financial Privacy and Regulation S-P: An Analysis of Selected Issues	34-17:217	Alan L. Dye and Peter J. Romero The SEC’s New Insider Trading Rules.....	34-1:1
2000			
Jonathan L. Lewis and Howard J. Roin Due Diligence Investigations: A Litigator’s Perspective	34-16:209	A. Robert Pietrzak and Andrew W. Stern Standard Form Agreements in the Securities Field.....	33-22:259
Rose F. DiMartino and Niral P. Kalaria Investment Adviser Code of Ethics.....	34-16:197	Patricia A. Gomez and Thomas L. Taylor III Recent Trends in “Failure to Supervise” Cases.....	33-21:251
Ethan D. Corey Display and Execution of Customer Limit Orders	34-15:185	Lawrence C. Tondell Disclosure Risks in Private Placements of Structured and Equity-Linked Repackagings.....	33-21:245
Kenneth J. Berman and Shannon Conaty Disclosure of Mutual Fund after-Tax Returns.....	34-14:172	James J. Junewicz The SEC Raises the Stakes in Issuer-Analyst Communications.....	33-20:237
Rochelle S. Hall, Thomas J. McGonigle, and M. Elizabeth Parks NASDR Examinations: Priorities and Procedures	34-14:165	Raymond D. Agran, John N. Ake, and Martha J. Hays Investment Company Act Pitfalls for Public Venture-Capital Companies.....	33-19:231
Daniel S. Drosman and Jordan Eth The Private Securities Litigation Reform Act: Five Years Young.....	34-13:153	Robert A. Robertson Board Oversight of Mutual Fund Compliance Operations.....	33-18:220
Jay G. Baris The New Fund Governance Standards.....	34-12:135	Edward L. Pittman, Alan J. Reed, and Richard Y. Roberts Confusion in Cyberspace.....	33-18:213
Margaret A. Jacobs, Daniel J. Kramer, and Betty Santangelo Suitability in Cyberspace.....	34-11:123	Michael S. Sackheim Ethical Standards for New York Brokerage House Attorneys	33-17:199
Tuuli-Ann Ristkok Exchange-Traded Funds	34-10:109	Matthew A. Chambers Web Compliance Issues for Investment Advisers.....	33-16:187
Michael S. Sackheim and Jane Kang Thorpe Equity Derivatives under the Commodity Futures Modernization Act.....	34-9:103	Alan L. Dye and Peter J. Romero Developments under Section 16: (Part 2 of Two Parts)	33-15:171
Mark D. Young The Commodity Futures Modernization Act of 2000: Twenty Questions on the Commodity Futures Modernization Act.....	34-9:89	Alan L. Dye and Peter J. Romero Developments under Section 16: (Part 1 of Two Parts)	33-14:155

2000 – 2017 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Mari-Anne Pisarri		Kenneth B. Winer	
Personal Trading by Advisory Personnel:		Securities Firms and the Foreign Corrupt Practices Act.....	33-6:61
The Seven Deadly Sins	33-13:143	Jay W. Eisenhofer and Stuart M. Grant	
Patrice M. Pitts		Institutional Investors and Section 18 of the Exchange Act	33-5:54
Using Electronic Media to Offer and Sell Securities	33-12:135	Jesse A. Finkelstein, Peter B. Ladig, and Srinivas M. Raju	
Neil S. Lang and Mark D. Perlow		Attorney-Client Privilege: Potential Dangers of Having Corporate	
Earnings Management: Swept Away?	33-11:123	General Counsel Perform Multiple Roles.....	33-5:49
David B. Bayless and John A. Kelley		Pamela J. Wilson	
The Changing Role and Composition of Audit Committees.....	33-10:109	Mutual Fund Advertising	33-4:31
Joran Eth and Christopher A. Patz		Gregory N. Bressler	
Securities Litigation and the Outside Director.....	33-9:95	Amendments to the Code of Ethics Rule under the Investment	
Stanley Keller		Company Act.....	33-3:19
Securities Law Considerations in Negotiated Acquisitions	33-8:83	Jonathan S. Adler, Stuart H. Gelfond, Valerie Ford Jacob,	
Julie Allecta and Thoa H. Ngo		and Michael A. Levitt	
The SEC's Soft Dollar Release	33-7:75	Financial Statement Requirements for Acquisitions in Registered	
Satish M. Kini		Public Offerings.....	33-2:9
Impact of the 1999 Financial Modernization Act on Investment		James C. McMillin	
Advisers and Investment Companies.....	33-7:69	Recent Developments in Litigation	
		under the Securities Act of 1933	33-1:1