

THE REVIEW OF SECURITIES & COMMODITIES REGULATION

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

2000 – 2018 CUMULATIVE ARTICLE INDEX

Notes

Articles are listed in reverse chronological order with their authors.

	Vol.-No.:Pg		Vol.-No.:Pg
2018			
Benjamin D. Singer and David R. Fitzgerald International Financial Fraud Enforcement Trends in a Globalized World.....	51-22:271	Paul M. Dudek Current SEC Initiatives Impacting Foreign Private Issuers	51-15:179
Tracey Salmon-Smith and Jennifer Chawla Form U-5 Requirements for FINRA Member Firms	51-21:265	Katherine Cooper Proposed Swap Dealer Capital Requirements: The CFTC’s Long Path Towards a More Risk-Based Approach.....	51-14:173
Anna T. Pinedo Modernizing the Regulatory Framework for BDCs.....	51-21:259	Gretchen Scott EU General Data Protection Regulation: Is the U.S. Funds Industry Ready?.....	51-14:167
Brian A. Jacobs How Institutional Dynamics Have Shaped Insider Trading Law	51-20:247	Deborah Festa and Andrew Keller U.S. Risk Retention Rules: What Constitutes an Open-Market CLO?	51-13:159
Jay A. Dubow and Ying Zeng The Watchdogs Are Being Watched	51-19:241	Charles A. Sweet The <i>LSTA</i> Case and the Future of Credit Risk Retention for Securitizations.....	51-13:151
Michael D. Allen and Robert B. Greco <i>Investors Bancorp</i> : Structuring and Approving Non-Executive Director Compensation to Avoid Judicial Review.....	51-19:235	William Ridgway, Jonathan Marcus, and Alexander Kasparie The Futures Industry and Cybersecurity	51-12:143
Gwendolyn A. Williamson, Matthew S. Williams, and Thomas M. Ahmadifar Developments in the Regulation of Fiduciary Investment Advice...51-18:215	51-18:215	Sean M. Murphy, Robert J. Liubicic, and Lisa M. Northrup Mutual Funds and Securities Class Actions: A Square Peg in a Round Hole.....	51-12:135
Kara Brockmeyer and Ada Fernandez Johnson Inside the Role of Brazil’s CVM in Anti-Corruption Cases	51-17:211	Kurt Wolfe <i>Digital Realty</i> and the Narrowing of Whistleblower Protections.....	51-11:123
Warren T. Allen II and B. Michelle Bosworth Multi-Jurisdictional Anti-Corruption Investigation and Enforcement Trends and Developments.....	51-17:203	Susan Gault-Brown Structuring Options for Retail Crypto Fund Products.....	51-10:117
Michele D. Johnson, Blair Connelly, and Janet J. Hsu The Shift in Delaware Appraisal Litigation.....	51-16:197	Lawrence D. Finder and Lindsay Wright Brett T, G, and E under the FCPA: How Much Is Too Much?.....	51-10:111
John C. Partigan Going Public Without an IPO	51-16:191	Matt Herrington, Jonathan Drimmer, and Brady Cassis FCPA Compliance: The Role of Data Collection and Analysis.....	51-9:105
Peter Lichtenbaum and Eric Sandberg-Zakian Reducing Third-Party Trade Compliance Risks	51-15:187	Claire N. Rajan The New Department of Justice FCPA Corporate Enforcement Policy.....	51-9:99

2000 – 2018 CUMULATIVE ARTICLE INDEX

Vol.-No.:Pg.	Vol.-No.:Pg.
<p>Benjamin Galdston Shareholder Litigation for Waste of Corporate Assets in Internal FCPA Investigations..... 51-8:93</p> <p>John Mark Zeberkiewicz and Robert B. Greco Determining and Disclosing the Effect of Broker Non-Votes..... 51-8:87</p> <p>Jay G. Baris and Joshua Ashley Klayman Blockchain Basics for Investment Managers: A Token of Appreciation..... 51-6/7:67</p> <p>Mary J. Mullany Virtual-Only Shareholder Meetings – Are They a Good Idea for Your Company?..... 51-5:63</p> <p>Michael Philipp, Akshay Belani, Christine Lombardo, and Sarah Riddell Recordkeeping: Recent Rule Amendments and Other Developments 51-5:55</p> <p>Jeff Blumberg and Brian Jacobson Advertising and Social Media for Investment Advisers..... 51-4:49</p> <p>Maeve L. O’Connor and Elliot Greenfield Cyan and the Future of Securities Class Actions in State Court..... 51-4:43</p> <p>Christopher S. Petito Recent Staff Guidance on the Custody Rule under the Investment Advisers Act of 1940..... 51-3:37</p> <p>Sarah L. Cave Caught in <i>Traffic</i>: The Scope of the SEC’s Extraterritorial Authority..... 51-3:31</p> <p>Sean Kane Iran Sanctions: Where Are We Now?..... 51-2:23</p> <p>Paula Anderson The Changing Tide of Delaware Deal Litigation..... 51-2:15</p> <p>Eric Simanek Regulatory Developments Relating to Actively Managed ETFs..... 51-1:7</p> <p>Michael H. Huneke and Ashley R. Hodges FCPA Update: Third-Party Risks and Enforcement Actions..... 51-1:1</p>	<p>Brian A. Jacobs and Priya Raghavan The Impact of <i>Salman V. United States</i> on Downstream Tippee Prosecutions50-19:223</p> <p>Colin Lloyd and Christian Artmann Re-Examining the CFTC’s Regulation of Cross-Border Swaps Clearing and Trading Activities.....50-18:211</p> <p>Timothy D. Belevetz Cybersecurity Breaches: Avoiding Pitfalls50-17:207</p> <p>Jason E. Brown, Eva Ciko Carman, and Nicole Krea SEC Priorities for Private Equity and Real Estate Advisers.....50-17:199</p> <p>Tanuja Dehne, Anne Meyer, and Katayun Jaffari CEO Succession and Crisis Management`.....50-16:191</p> <p>Richard Marshall Supreme Court Imposes a Five-Year Statute of Limitations on SEC Disgorgement Claims50-16:181</p> <p>Nathaniel Lalone and Christopher Collins Market Structure: An Evolution from MiFID I to MiFID II50-15:169</p> <p>Anne P. Ray Navigating Conflicts of Interest in Securities Class Actions.....50-14:161</p> <p>Jeffrey P. Taft, Lawrence R. Hamilton, Stephen Lilley, and Matthew Bisanz The New York State DFS Cybersecurity Regulation: Preparing for Compliance.....50-13:153</p> <p>Elizabeth P. Gray and Catherine E. Fata Increased Use of Big Data in SEC Enforcement..... 50-12:145</p> <p>Sean M Murphy, Robert C. Hora, and Michael E. Mirdamadi The So-Called “Fiduciary Exception” to the Attorney-Client Privilege in Section 36(b) Cases50-11:133</p> <p>Scott B. McBride <i>Salman V. United States</i> and Its Impact on Insider-Trading Enforcement50-10:125</p> <p>John M. Hillebrecht, Jessica Masella, and Adam Steene Managing a Global Regulatory Investigation — Unique Challenges in Cross-Border Investigations50-9:109</p> <p>Ronald S. Borod Esoteric ABS: Pushing the Envelope.....50-8:93</p> <p>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</p> <p>Willa Cohen Bruckner and Matthew Barringer Margin for Uncleared Swaps: Practical Considerations for the Buy-Side.....50-6:67</p> <p>Rose F. DiMartino, Jay Spinola, Ryan P. Brizek, and James W. Hahn The SEC’s “Swing Pricing” Rule50-6:61</p> <p>David Mortlock and Nikki M. Cronin Economic Sanctions Enforcement: Recent Trends and Lessons Learned50-5:57</p>
2017	
<p>Richard M. Kosnik Recent Law Firm Publications Capital Markets..... 50-22:272</p> <p>Wenchi Hu Technology Outsourcing by National Securities Exchanges and Registered Clearing Agencies..... 50-22:263</p> <p>Mary P. Hansen, James G. Lundy, and Antoinette M. Snodgrass CFTC Enforcement: Best Practices and Recent Developments 50-21:251</p> <p>Maia Gez The New Pay Ratio Disclosure 50-20:245</p> <p>Arthur H. Kohn and Julia M. Rozenblit Executive Compensation Litigation Update..... 50-20:235</p> <p>Hillel T. Cohn The New Fiduciary Standard for Broker-Dealers..... 50-19:229</p>	

2000 – 2018 CUMULATIVE ARTICLE INDEX

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

2000 – 2018 CUMULATIVE ARTICLE INDEX

Vol.-No.:Pg.	Vol.-No.:Pg.
<p>Dan M. Berkovitz and Gail C. Bernstein Swap Dealer Chief Compliance Officer Requirements – Recent Developments..... 49-4:41</p> <p>Sarah A. Good and Ildiko Duckor The CCO – The SEC’s Target – or Ally in Examinations and Enforcement?..... 49-3:33</p> <p>Anahita Thoms and Bettina Stepanek Capital Market Instruments Targeted by EU Sanctions against Russia 49-3:25</p> <p>Sarah L. Cave and Malik Havalic Subject Matter Jurisdiction under the FAA..... 49-2:19</p> <p>Marcus A. Asner and Alexandra L. Mitter Keeping Internal Investigations on Track and under Control..... 49-2:13</p> <p>David Woodcock and Allison Fuller A Prosecutor’s Approach to SEC Enforcement (and What It Means for Smaller Companies) 49-1-1</p>	<p>Matthew E. Fishbein The DOJ’s New Position on Corporate Cooperation48-14:185</p> <p>Gregory G. Ballard, Kevin A. Burke, and Neil D. Corcoran Law and Practice under Rule 102(e).....48-14:175</p> <p>Sergio J. Galvis Latin America: Lessons on Shareholder Activism from a U.S. Perspective48-13:171</p> <p>Jamie Fleckner ERISA Litigation Involving Retirement Plan Investments48-13:159</p> <p>Matthew L. Mustokoff and Stacey M. Kaplan Damages and Predominance in Securities Class Actions after <i>Comcast</i>.....48-12:149</p> <p>Marc E. Elovitz SEC Examinations of Private Fund Advisers48-12:143</p> <p>Choo Lye Tan The Shanghai-Hong Kong Stock Connect48-11:137</p> <p>Kelli L. Moll, Gwyneth Rees, Neil Koren, and Peter D. Astleford Current Trends in Hedge Funds.....48-11:127</p> <p>F. Daniel Bell, III, Andrea L. Seidt, and Pamela P. Epting State Securities Regulatory Update48-10:115</p> <p>Douglas Davison, Matthew Martens, Nicole Rabner, John Valentine, and Natalie Rastin Litigating With – and At – the SEC.....48-9:103</p> <p>Robert E. Plaze Understanding the Investment Adviser Custody Rule: Part II – Safekeeping Requirements48-8:87</p> <p>David B. Anders Ethical Considerations for Defense Lawyers in SEC Proceedings.....48-7:77</p> <p>Ralph C. Ferrara and Rachel O. Wolkinson Managing Corporate Crises: A Brief Case Study.....48-7:71</p> <p>Cyrus Amir-Mokri, Mark D. Young, Maureen A. Donley, and Patrick Brandt Cross-Border Requirements for Derivatives in the U.S. and EU48-6:67</p> <p>Robert E. Plaze Understanding the Investment Adviser Custody Rule: Part I – Determining Custody.....48-6:59</p> <p>A. Neil Hartzell The Perils of Non-Accounting Services Provided by Accounting Firms48-5:55</p> <p>Stephan E. Becker U.S. Sanctions on Russia.....48-5:47</p> <p>Maeve L. O’Connor and Elliot Greenfield Lower Court Decisions in the Wake of <i>Halliburton II</i>.....48-4:41</p> <p>Deborah A. Monson and Jeremy A. Liabo NFA Inspections – Practical Guidance for CPOs and CTAs.....48-4:35</p>
2015	
<p>Kim Strosnider and Stephen Bartenstein U.S. Trade Controls Considerations During M&A and Transactional Due Diligence..... 48-22:291</p> <p>Chad E. Silverman and David Zomow Manipulation under the CEA and the Defense of Self-Defense 48-21:287</p> <p>Gerald S. Sachs, Ryan A. Chiachiere, Alexandra L. Anderson, and Lauren Kelly D. Greenbacker Virtual Currency and Regulation 48-21:275</p> <p>Alan Brudner, Wendy Cohen, Gary DeWaal, David Dickstein, Doron Goldstein, and Dina Wegh Cyber-Attacks and Developments in Cybersecurity..... 48-20:261</p> <p>Douglas I. Koff and Julian Rainero Dark Pools: Recent Enforcement Actions..... 48-19:253</p> <p>Leslie Silverman, Nicolas Grabar, and Andrea Basham New SEC Staff Guidance on General Solicitation 48-19:247</p> <p>Geoffrey S. Goodman, Esq. Safe Harbor Rights and Protections for FCMs and Swap Dealers in Customer Bankruptcies..... 48-18:239</p> <p>Liisa Thomas Handling Big Data in the Financial Services Sector..... 48-18:231</p> <p>Stephen Heifetz and Kaitlin Cassel CFIUS: A Potential Cause of Deal Delay 48-17:225</p> <p>Pamela Hughes, Tim Phillips, and Raees Nakhuda Regulation A+ from a Canadian Perspective 48-17:219</p> <p>James Burns and Justin Browder Asset Managers and the Regulatory Debate over Systemic Risk 48-16:205</p> <p>Stacie R. Hartman, Kenneth W. McCracken, and Jacob L. Kahn Disruptive Trading and the Search for Wrongful Intent..... 48-15:191</p>	

2000 – 2018 CUMULATIVE ARTICLE INDEX

Vol.-No.:Pg.	Vol.-No.:Pg.
<p>Richard C. Smith, Sam Eastwood, Kelly Thorman, and Kate Hunter Deferred Prosecution and Non-Prosecution Agreements in the United States, England, and Wales48-3:25</p> <p>Jeffrey S. Hochman Back to Principles – MD&A as a Model for Effective Disclosure.....48-2:19</p> <p>Marc J. Fagel and Leslie A. Wulff Private Funds: Preparing for Another Year in the SEC Crosshairs.....48-2:13</p> <p>Dana S. Douglas and Kathleen M. Przywara The Outside Contractor as Whistleblower.....48-1:9</p> <p>Laura D. Richman and Michael L. Hermsen Shareholder Engagement and the Proxy Season.....48-1: 1</p> <p style="text-align: center;">2014</p> <p>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</p> <p>Sean M. Murphy and Matthew J. Laroche <i>Halliburton</i> and the Fraud-on-the-Market Theory47-21:283</p> <p>Brent J. McIntosh Judicial Review of SEC Consent Judgments47-21:275</p> <p>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</p> <p>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</p> <p>Jessica Perry Corley and David W. Gouzoules Developments in Appraisal Litigation.....47-18:241</p> <p>Frank Aquila and Melissa Sawyer Perfect Pill, Imperfect Defense.....47-18:231</p> <p>George Wang and Andrew Winerman Sanctions Developments in 201447-17:223</p> <p>Deborah S. Birnbach and Morgan R. Mordecai Disclosure Hot Topics in M&A Litigation47-16:211</p> <p>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 Issuers47-15:207</p> <p>Dan M. Berkovitz and Gail Bernstein Swap Dealer Chief Compliance Officer Requirements – First Year in Review47-15:195</p> <p>Alan R. Gedrich and Christopher J. Zimmerman Alternative Funds in the Registered Fund Marketplace.....47-14:183</p> <p>Marc R. Ponchione, Heath P. Tarbert, and Gordon L. Miller Private Equity Funds and the Volcker Rule.....47-13:171</p>	<p>Stephen M. Gill, Kai Haakon E. Liefkefett, and Leonard Wood Structural Defenses to Shareholder Activism.....47-12:151</p> <p>Abby F. Rudzin, R. Scott Widen, and Brad M. Elias Protecting Financial Advisors in M&A Litigation47-11:143</p> <p>Mary P. Hansen and William L. Carr Employer Liability for Insider Trading47-11:135</p> <p>Matthew Kluchenek and James Schwartz The CFTC’s Cross-Border Application of the Dodd-Frank Act47-10:129</p> <p>Matthew E. Kaplan and Steven J. Slutzky Advance Planning for Sponsor-Backed IPOs47-10:123</p> <p>John Servidio, Peter Tucker, and Ryan Taylor Time for a 2014 ISDA Master Agreement47-9:99</p> <p>Rex S. Heinke, Julia I. De Beers, and Elias Dabaie The Effect of Arbitration Agreements on Class Actions47-9:91</p> <p>Jeanine P. McGuinness U.S. Sanctions on Iran: The Joint Plan of Action for Containing Iran’s Nuclear Program.....47-8:79</p> <p>Herbert F. Janick III and John Lupton The SEC’s Policies on Civil Penalties and Admissions in Settlements.....47-7:85</p> <p>Richard M. Phillips, Jeffrey L. Bornstein, and Leanne E. Hartmann The SEC’s New Enforcement Program.....47-7:79</p> <p>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</p> <p>Deanna Kirkpatrick The JOBS Act and IPOs.....47-6:71</p> <p>Rose F. DiMartino and Ryan P. Brizek Investment Company Performance: The Board’s Oversight Role47-5:65</p> <p>Roberta A. Kaplan and Jacob H. Hupart Credit Rating Agency Litigation47-5:59</p> <p>Richard Hall SEC Developments in M&A.....47-4:55</p> <p>Michael M. Farhang and Chris Jung The Interplay Between Government Investigations and Civil Securities Litigation.....47-4:43</p> <p>Elissa J. Preheim and Bret A. Finkelstein Preparing an Effective PCAOB Statement of Position47-3:37</p> <p>Erica Schohn and Joe Penko Executive Compensation Issues: Planning for the Coming Proxy Season.....47-3:31</p> <p>Daniel Nathan and Justin Kletter Preparing for and Enduring a FINRA Exam47-2:25</p>

2000 – 2018 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Marc J. Fagel Reassessing the SEC Wells Submission	47-2:17	Matthew L. Mustokoff and Margaret E. Onasch Proving Securities Fraud Damages at Trial.....	46-12:145
Kelley A. Howes Advisers Act Marketing Considerations for Real Estate Fund Managers	47-1:9	Stephen A. Keen Money Market Fund Reform from a Risk Management Perspective	46-11:129
Marc Wolinsky and Ben Schireson Deal Litigation Run Amok: Diagnosis and Prescriptions.....	47-1:1	Patricia O. Vella and Jessica C. Pearlman Confidentiality and Standstill Agreements: Recent Delaware Law Developments.....	46-10:121
2013			
Robert Hubbell Regulators Renew Focus on Auditor Independence.....	46-22:293	Blake Rohrbacher and Christopher H. Lyons Disclosure of Management Projections under Delaware Law.....	46-10:113
Charles F. Walker and Katherine V. Lesker Practicing Before the SEC: Ethical Considerations for Counsel	46-22:281	Linda L. Griggs The Increasing Focus on Audit Committees	46-9:99
William Kane and Gillian Whittlesey SEC Investment Adviser Examinations	46-21:269	Willa Cohen Bruckner A Guide to Dodd-Frank for Users of Swaps	46-8:87
Jonathan E. Pickhardt The ACA Case: A New Standard for Reasonable Reliance?	46-20:263	Michael H. Margolis and Howard S. Suskin The Use of Sarbanes-Oxley Certifications to Plead Scierer	46-7:83
Peter W. LaVigne Know Your Customer Inquiries and Suitability Determinations under the Updated FINRA Rules	46-20:253	Anna T. Pinedo and Jay G. Baris Structured Products: Investment Company Act and Investment Advisers Act Considerations	46-7:75
William S. Freeman Regulation FD in the Twitter Age.....	46-19:245	Meredith Rathbone and Anthony Rapa A Primer on Internal Corporate Investigations	46-6:69
Ethan Silver and Jayun Koo FINRA’s Regulation of its Members’ Use of Social Media.....	46-19:237	F. Joseph Warin and Maura M. Logan Disclosing Pending FCPA Investigations	46-6:61
David Bayless and Tammy Albarrán Concluding an Internal Investigation.....	46-18:233	James H. Mutchnik and Micah C. Osgood Documents Hosted Overseas and Grand Jury Subpoenas	46-5:53
Paul M. Tyrell Recent AML Enforcement Cases.....	46-18:227	Philip Urofsky FCPA 2012: Lessons Learned and Open Issues.....	46-5:41
Paula Howell Anderson “Win-Win” Scenarios for Shareholders in M&A Transactions.....	46-17:217	Cary J. Meer and Kathy K. Ingber Preparing to be a Commodity Pool Operator: NFA Compliance Obligations	46-4:33
Melissa Sawyer and Rebecca Crosby Deal Protections in Tender Offers	46-17:211	Richard D. Bernstein and Zheyao Li SEC Rule 412: What is Said Now Trumps What was Said Before	46-3:27
Brian Korn and David P. Russo Resales of Restricted and Control Securities under Rule 144	46-16:199	Jill Crawley Griset Predictive Coding: Silver Bullet or Pandora’s Box?	46-3:21
Stephen P. Wink, Stefan Paulovic, and Michael Shaw Dually Registered Brokers and Advisers	46-15:191	Jacqueline D. Shinfield Canadian AML and ATF Regime: The Changing Landscape.....	46-2:13
Donald R. Crawshaw Recharacterization of Payments by Mutual Funds and Advisers to Distributors.....	46-15:183	F. Amanda DeBusk Update on U.S. Sanctions against Iran.....	46-1:1
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

2000 – 2018 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Rudolph Koch and Jason J. Rawnsley Section 162 (M) Litigation: What We Know So Far	45-20:243	Sean M. Murphy and James G. Cavoli Fund Profitability in Mutual Fund Fee Litigation.....	45-8:81
Bruce B. Fekrat CFTC's Large Trader Reporting Rules	45-20:239	Jeffrey W. Coverdell, Brian L. Rubin, and Andrew M McCormick SEC and FINRA: Priorities and Enforcement Trends	45-7:75
Edward R. McNicholas and Elisa K. Jillson Extending Compliance to the Cloud.....	45-19:227	Michele D. Johnson and Colleen C. Smith The Future of Say-On-Pay Derivative Litigation	45-7:69
Thomas C. Bogle Anti-Money Laundering Regulation of Investment Advisers	45-18:219	Alex C. Lakatos Extraterritorial Section 10(B) Class Actions after <i>Morrison</i>	45-6:61
Norman S. Poser <i>Janus</i> Revisited: The Lower Courts Wrestle with a Troubling Supreme Court Decision	45-17:211	Tracey A. Zaccone The PIPES Market: Outlook for 2012	45-5:57
Guy P. Lander Foreign Private Issuers: Status and Exchange Act Registration.....	45-16:205	Thomas W. Kellerman and Jeffrey R. Wolters Corporate Governance for Venture-Backed Companies.....	45-5:49
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
2011			
Robert H. Hotz, Jr. and Harry Sandick Search Warrants in White-Collar Crime Cases.....	45-12:133	Bradley A. Jacobson, Robert E. Puopolo, and Daniel J. Blanchard Capital Formation Reform	44-22:285
Matthew F. Kluchenek and Jacob L. Kahn The Dodd-Frank Act's Prohibition of Disruptive Trading Practices.....	45-11:127	Sarah L. Cave and Jesse L. Jensen Federal Securities Claims against Auditors Following the Subprime Meltdown.....	44-22:277
Robert A. Skinner and Tyler A. Young Recent Developments in Securities Litigation against Mutual Funds	45-11:117	John F. Grossbauer and Pamela L. Millard Stockholder Rights Plans in Negotiated Mergers: Issues of Delaware Law	44-21:269
Robert E. Puopolo, Bradley A. Jacobson, and Stephen T. Adams The JOBS Act: Improving Access to Capital Markets for Smaller Companies	45-10:109	Jonathan R. Tuttle and Ada Fernandez Johnson The SEC Sharpens its Talons in No-Fault Clawback Actions	44-20:261
Melissa Sawyer Advising Buyers in Controlling Stockholder Transactions.....	45-9:97	Michael S. Sackheim Professional Responsibility Issues for Swaps Lawyers under Dodd-Frank.....	44-20:253
Laura Ariane Miller and B. Patrice Clair The Proverbial Gun in the Corporate Defense World.....	45-8:91	John Kolada, Stefan Timms, and Michael Hickey Cross-Border Public M&A in Canada.....	44-19:245

2000 – 2018 CUMULATIVE ARTICLE INDEX

Vol.-No.:Pg.	Vol.-No.:Pg.
<p>F. Martin Fox, Jack P. Huntington, and Bruce Treff Use of Social Media by Investment Advisers 44-19:237</p> <p>Laurence S. Lese and Michael E. Clark Insights into the SEC’s Whistleblower Program 44-18:225</p> <p>Jason E. Brown and Joel A. Wattenbarger Implementing the Private Fund Investment Advisers Registration Act of 2010..... 44-17:213</p> <p>Norman S. Poser The Supreme Court’s <i>Janus Capital</i> Case 44-16:205</p> <p>Joel M. Cohen and Adam P. Wolf Private Equity Investment and the FCPA..... 44-16:197</p> <p>John Mark Zeberkiewicz and Tiffany N. Piland Valid Issuance of Capital Stock 44-15:191</p> <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 Provisions44-3:31</p> <p>Donna L. Wilson and John W. McGuinness Investor-Driven Litigation against the Credit Rating Agencies44-2:27</p> <p>Marc D. Powers Insider Trading: The SEC Gets Tough44-2:21</p> <p>Mark A. Borges The Executive Compensation Provisions of the Dodd-Frank Act.....44-1:1</p> <p style="text-align: center;">2010</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 Proceedings43-19:259</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 Advisers43-18:247</p> <p>Jared L. Kopel and Jacob T. Veltman The Statutes of Limitations in SEC Proceedings, Part 143-17:235</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 Guidelines43-15:207</p> <p>Stephen A. Keen 2010 Money Market Fund Regulatory Reforms43-14:191</p> <p>Kay A. Gordon Regulation of Short Selling in the U.S.....43-13:179</p>

2000 – 2018 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
William M. Lafferty and Bradley D. Sorrels Anatomy of a Busted (Up) Deal.....	43-12:173	Victor Peterson Recent Developments in the Misappropriation Theory of Insider Trading	42-20:265
Stephen E. Roth and Mary Thornton Payne Navigating the SEC Framework for Registered Non-Variable Annuity Products	43-12:161	Soo J. Yim, Andre E. Owens, Gail C. Bernstein, and Cristie L. March The SEC’s Proposed Ban of Flash Orders.....	42-20:259
Todd W. Beauchamp The Evolution of Private Equity Investment in Failed Institutions ..	43-11:149	Anand S. Raman, Darren M. Welch, and Emily C. Helms Williams The Servicemembers Civil Relief Act.....	42-19:251
Andrew M. Ross Acquisitions by Chinese Companies in the United States	43-10:137	Elizabeth V. Tanis and Jennifer D. Fease Emerging Issues in Deepening Insolvency Claims.....	42-18:239
Owen D. Nee, Jr. Foreign Management of Private Equity in China	43-10:127	John Mark Zeberkiewicz and Joseph L. Christensen The Delaware and SEC Proxy Access Regimes	42-17:233
Mark D. Perlow and C. Dirk Peterson SEC Revisits Equity Market Structure in Concept Release and Rule Proposals	43-9:115	Lawrence R. Bard, David M. Lynn, and Alfredo B. Silva XBRL is Now Mandatory – A Primer for Securities Lawyers	42-17:227
Mari-Anne Pisarri The New Landscape of Investment Adviser Custody	43-8:103	Marc H. Morgenstern Crisis Bridge Financings – 2009	42-16:213
Jeffrey A. Smith, Matthew Morreale, and Kimberley Drexler The SEC Interpretive Release on Climate Change Disclosure.....	43-7:95	Mark A. Borges The TARP Executive Compensation Standards – A Sign of Things to Come?.....	42-15:197
Gerald J. Russello FINRA AML Enforcement: Early Lessons	43-6:85	Daniel R. Waldman and Ahmad M. Hajj CFTC’s Supervision Rule Expanded?.....	42-14:193
Brynn D. Peltz and Matthew J. Chase M & A Transactions for Investment Advisers in an Age of Scrutiny.....	43-6:79	Thomas W. White and Nia M. Monroe The Mark-To-Market Accounting Controversy	42-14:181
Ronald Wood, Travis Brennan, and Courtney Devon Taylor Post-Madoff SEC Reforms: Implications for Hedge Funds.....	43-5:67	W. Thomas Conner and James M. Cain Exchange-Traded Funds	42-13:167
Marsha Z. Gerber, Elaine L. Lawson, and Cristina K. Lunders Voluntary Disclosure of FCPA Violations	43-4:55	Julien Bourgeois, Michael Sherman, and Philip Hinkle SEC Examination of Investment Advisers	42-12:155
Howard E. Berkenblit and Jonathan M. Vaas SEC Passes Enhanced Proxy Disclosures.....	43-4:47	Joel M. Cohen, Mark A. Kirsch, Mary K. Dulka, and Sarah Blackman Mutual Fund Litigation Triggered by the Credit Crisis	42-11:145
Mary J. Mullany and Jill M. Stadelman Compensation Committees – The New Gatekeepers.....	43-3:37	Pamela Rogers Chepiga and Lanier Saperstein Trends in Global Securities Litigation.....	42-11:139
Doreen E. Lilienfeld and Veronica M. Wissel Emerging Trends in Compensation Regulation	43-3:31	Donald B. Henderson Jr. and Allison J. Tam Overview of the Life Settlement Market.....	42-10:123
Rebekah J. Poston, David A. Saltzman, and Gregory W. Bates FCPA Due Diligence in Acquisitions.....	43-2:13	Joseph R. Fleming, John V. O’Hanlon, and Hila Shamir The Future of Money Market Funds: Implications of the Recent Turmoil.....	42-9:107
Barbara J. Endres and Kersti Hanson “At-the-Market” Offerings – Implications under Regulation M.....	43-1:1	Seth Aronson, Amy Jane Longo, and Stephanie Noble A Decade in Review: The Securities Litigation Uniform Standards Act.....	42-8:95
2009			
Jaclyn Liu The NYSE’s Amendment of Rule 452: Practical Tips for Public Companies	42-22:279	David B. Harms When Public Companies Raise Private Capital: Managing the Disclosure and Publicity Issues.....	42-7:83
Stacie R. Hartman Changes in the Culture of Waiver	42-21:271	W. Hardy Callcott and Abigail C. Slonecker A Review of Recent SEC Actions against Lawyers	42-6:71

2000 – 2018 CUMULATIVE ARTICLE INDEX

Vol.-No.:Pg.	Vol.-No.:Pg.
Mary J. Mullany and Ellen Jerrehian 2009 Annual Disclosure Documents..... 42-5:61	Wendy B. Hart and Michael K. Wolensky Designing an Effective Retail Surveillance Program.....41-14:179
Scott W. Muller and Chiawen C. Kiew Responding to Multi-Jurisdictional Investigations: Issues and Considerations 42-4:47	Lina Braude and Jonathan Nelms FCPA Compliance in Russia41-14:169
Ronald E. Wood, Jeffery Gross, and Travis Brennan SEC’s Fiscal 2008 Focus on Hedge Funds 42-3:39	Sarah R. Davidoff, Gary L. Granik, and Rachel E. Meyer Side Pockets on the Rise – Issues, Analysis, and Impact41-13:161
Pravin B. Rao and Jade R. Lambert Revenue Recognition in Troubled Times..... 42-3:31	Christopher D. Christian, Joseph R. Fleming, and Maureen Magner The Rise and U.S. Invasion of Sovereign Wealth Funds: A Growing Source of Concern41-13:153
Jonathan S. Sack Knight’s Saga: A Court Rejects the SEC’s Theory of “Best Execution” 42-2:25	Brian T. Casey and Thomas D. Sherman State Broker-Dealer Registration Pitfalls for Life Settlement Brokers.....41-12:147
Tanya L. Forsheit Privacy, Data Security, and Outsourcing: Domestic and International Regulation 42-2:13	John C. Kelly The U.S. Supreme Court Decides <i>Hall Street</i> : Challenging an Arbitration Award Just Got Tougher41-12:141
Norman S. Poser Securities Fraud and the Common Law 42-1:1	Gregory S. Bruch and Jessica L. Matelis FCPA Compliance Monitors – A Buyer’s Guide.....41-11:133
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 Funds41-8:89
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 Today41-8:81
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 Board41-6:61
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 Relationships41-5:49
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	

2000 – 2018 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Margaret E. Tahyar and Richard D. Truesdell, Jr. Increasing the Attractiveness of U.S. Capital Markets to Foreign Private Issuers	41-4:37	Ann H. Mathews and Edwin G. Schallert Market Timing in Variable Annuities: Trends in Regulatory Enforcement.....	40-10:123
Joseph J. Muscatiello and Brynn D. Peltz Hedge Fund Stock Exchange Listings: Considerations and Developments	41-3:25	C. Stephen Bigler and Pamela H. Sudell Delaware Law Developments: Stock Option backdating And Spring-Loading	40-10:115
Rose F. DiMartino and Paul F. Schlichting Soliciting over the Internet: The New E-Proxy Rules in the Investment Company Context	41-2:17	Hector Gonzalez and Claudius O. Sokenu The Current Enforcement Environment and the Corporate Response.....	40-9:99
Jeffrey A. Smith Disclosure of Climate Change Risks and Opportunities	41-1:1	Larry E. Bergmann Soft-Dollar Arrangements under Section 28(e) of the Securities Exchange Act.....	40-8:87
2007			
Jonathan M. Hoff and Gregory Zimmer The Evolution of Class Certification Standards.....	40-22:255	Mark Perlow Managing Hedge Fund Conflicts of Interest.....	40-7:75
Marcela L. Cuadrado and Thomas L. Taylor III The Future of Fee-Based Brokerage Programs.....	40-21:247	Margaret Jacobs and Betty Santangelo The Anti-Money Laundering Regime for the Futures Industry	40-6:59
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	Marc H. Folladori, Michael Hermesen, and Saul R. Laureles SEC Overhauls Executive Compensation Disclosure Rules	40-5:47
Christopher F. Chase and Christopher M. Salter Short Selling and Naked Shorts in the Regulation SHO Environment.....	40-20:231	Alice F. Yurke Developments Affecting Commodity-Linked Security Products.....	40-4:41
William E. Donnelly and Robert P. Howard, Jr. Brokers Beware: Elder Law Issues Become Increasingly Significant to Securities Firms	40-19:215	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
Jennifer Corinis and Steven W. Hansen Judicial Views of “Collective Scientist” in a Section 10(b) Case	40-18:207	Gary DiBianco and Andrew M. Lawrence Investigation and Reporting Obligations under Section 10A of the Securities Exchange Act	40-3:25
Deborah G. Heilizer and Brian L. Rubin What’s in a Name? Enforcement Trends and Possible Implications for FINRA	40-17:199	Brian T. Casey and Eric L. Marhoun Broker-Dealer Participation in Life Settlements of Variable Insurance Policies	40-2:21
Jon A. Jacobson and Bradford D. Kaufman Appellate Review of Arbitration Decisions	40-16:185	Jessica A. Clarke and Jacqueline C. Wolff Liability under the Foreign Corrupt Practices Act.....	40-2:13
Margaret Jacobs and Betty Santangelo Mutual Fund Compliance and the Anti-Money Laundering Regulatory Regime (Part II)	40-15:171	Thomas Kuczajda and Sharon Rose Supervising Sales of 529 Plans: Not as Easy as 1-2-3	40-1:1
2006			
Carey A. Kotula, Geoffrey M. Sigler, and F. Joseph Warin Audit Committee Oversight of a Major Independent Investigation.....	40-14:161	Matthew Farley Arbitrating with People Who Are Not Parties to the Agreement.....	39-22:245
Adam W. Glass The Section 3(a)(2) Exemption for Equity Index-Linked Notes	40-13:149	David Seide Compelled Waivers of the Attorney-Client Privilege.....	39-21:235
Patrick M. Norton FCPA Compliance in China	40-12:137	Cristina Alger and Lori A. Martin State Regulators and the Mutual Fund Industry	39-20:219
Hector Gonzalez and Claudius O. Sokenu Pitfalls of Attempts to Cooperate with Enforcement Agencies	40-11:127	Mark D. Young Policing Energy Price Manipulation: Whose Beat? What Rules?....	39-19:207
		Rebecca F. Ebert and Barry W. Rashkover SEC Enforcement in the Cox Era.....	39-18:185

2000 – 2018 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Thomas A. Hanusik Sarbanes-Oxley: Broader Statutes, Bigger Penalties	39-17:177	Lorraine Bellard and Jeffrey Plotkin Act-of-Production Privilege in SEC Proceedings	39-1:289
2005			
Kathleen Fuentes and Domenick Pugliese Role of Electronic Media and the Use of the Internet under the Federal Securities Laws	39-16:169	Behnam Dayanim and Kristine A. Rembach Notice of Data Theft: States and the Congress Jump on the California Bandwagon	38-22:281
Seth Aronson, Kristina Hersey, and Amy Longo Preemption of “Holder” Class Actions under SLUSA	39-15:163	James N. Benedict, Sean M. Murphy, and Andrew W. Robertson Aftermath of the Mutual Fund Crisis	38-21:261
Brynn D. Peltz Investment Advisers of Offshore Funds	39-15:153	Lawrence M. Gill International Financial Reporting Standards	38-20:251
Susan C. Ervin and Matthew F. Kluchenek Possible Breakthrough to Expanded Use of Futures by Investment Companies	39-14:151	Richard L. Gallagher and Robert P. Varian Loss Causation in Securities Class Actions after <i>Dura</i>	38-19:241
LizabethAnn R. Eisen Role of Underwriters’ Counsel in Complying with the NASD’s Corporate Financing Rule	39-14:141	Norman S. Poser Regulation NMS	38-18:229
Gregory S. Bruch and Jessica L. Matelis Enforcement Practice Before the PCAOB.	39-13:131	Christopher S. Petito and Angela R. Thompson Practical Tips for Handling Regulatory Inspections	38-17:215
Glen Barrentine and Thomas Kuczajda Equity-Indexed Annuities: Regulatory Trouble for the Unwary.	39-12:119	Margaret Jacobs and Betty Santangelo Mutual Fund Compliance and the Anti-Money Laundering Regulatory Regime	38-16:201
Anna T. Pinedo Legal and Regulatory Developments Relating to Structured Products	39-11:109	Peter D. Cripps, Ian A. Hartman, and William G. Lawlor Doing Public M&A Deals in Pennsylvania: Minesweeper Required	38-15:191
William E. Donnelly and Jerry A. Isenberg Lawyers as Gatekeepers: An SEC Enforcement Perspective.	39-10:97	Paul B. Uhlenhop Critical Elements of an Effective Supervisory Structure	38-14:173
Robert B. Robbins and Philip L. Rothenberg Writing Risk Factor Disclosure in Exchange Act Reports.	39-9:87	Bradley C. Faris and Mark D. Gerstein Special Negotiating Committees	38-13:157
Nicolas Grabar New Form 20-F Requirements for 2006.	39-8:79	Kathleen K. Clarke and Paul M. Miller New Mutual Fund Redemption Fee Rule	38-12:151
Inez H. Friedman-Boyce and Carl E. Metzger Defending Venture Capital Firms in Securities Litigation.	39-8:63	Timothy B. Parker Soft Dollars Reconsidered, Again	38-12:141
John H. Eickemeyer SEC Actions against Accountants under Section 10A of the Exchange Act	39-7:53	Matthew C. Baltay, John H. Henn, and Brandon F. White Anonymous Sources in Securities Class Action Complaints	38-11:131
Marc Recht and Dennis J. White Sarbanes-Oxley’s Continuing Impact on Middle-Market M&A	39-7:47	Mark A. Borges FASB’s New Accounting Standard for Stock-Based Compensation	38-10:115
Daniel L. Goelzer and Marilyn Weimer Inspecting the Watchdogs — An Overview of the PCAOB’s Inspection Program	39-6:35	Tracy A. Nichols and Stephen P. Warren Aiding and Abetting Liability under Section 10(B)	38-9:105
Christopher L. Padurano and Charles A. Ross Resolving Criminal Securities Fraud Cases.	39-5:23	Mari-Anne Pisarri Raising the Bar: Investment Adviser Codes of Ethics	38-8:97
Jack Weinberg Books and Records Retention and Disclosure in the Electronic Age ..	39-4:15	Sarah E. McCallum and Warren R. Stern The Private Securities Litigation Reform Act: Ten Years after	38-7:89
Terri Seligman Email Marketing: Legal Overview and Compliance Guidelines	39-3:9	Jeffrey D. Karpf and Leslie N. Silverman The SEC’s Securities Offering Reform Proposals: Will This Ship Sail?	38-6:63
Janet L. Fisher and Leslie N. Silverman Director Due Diligence after WorldCom	39-2:1		

2000 – 2018 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Michael Delikat, Renee B. Phillips, and Jill L. Rosenberg Whistleblowing Claims under Sarbanes-Oxley	38-5:51	Kelly H. Zinser New Issues Are the New Hot Issues — An Overview of NASD Rule 2790	37-9:94
Kenneth J. Berman and Elizabeth N. Kaplan The New Fund Governance Standards	38-4:33	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
Vincent J. Badolato and Dennis J. Lawson Identifying and Managing Conflicts of Interest	38-3:25	Daniel L. Goelzer and Marilyn Weimer An Audit of Internal Control over Financial Reporting — The New PCAOB Standard	37-8:71
Daniel Aronowitz The New Rescission Rules for D&O Insurance Policies	38-2:13	Roberto M. Braceras Late Trading and Market Timing	37-7:61
Steven B. Caruso Arbitrator Training in the Securities Dispute Arena	38:1-8	Seth Aronson and Amy J. Longo Current Issues under the Securities Litigation Uniform Standards Act	37-6:51
Paul W. Goldstein, Rochelle S. Hall, and Thomas J. McGonigle Risk Management for Broker-Dealers.....	38-1:1	Steven B. Nadel U.S. Regulation of Private Investment Funds	37-5:45
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	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
Emily M. Zeigler New CFTC Rules for CPOS and CTAS	37-22:257	Kathleen K. Clarke and Paul M. Miller Compliance Programs of Registered Investment Advisers and Investment Companies.....	37-3:26
Marc Morgenstern and Peter Nealis The Impact of Sarbanes-Oxley on Mid-Cap Issuers	37-21:245	Stephen P. Younger Damages in Securities Litigation	37-3:19
Michael L. Cypers, William H. Forman, and John M. Landry The Future of Loss Causation	37-20:235	Marc Morgenstern Off-Balance Sheet Disclosures in MD&A	37-2:9
Thomas J. Sherrard What Is a Security – Revisited	37-19:227	Paul R. Bessette, Blair C. Hedges, and Steven S. Kaufhold Defending Securities Class Actions Involving Accounting Restatements	37-1:1
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	2003	
Helene T. Glotzer Recent Trends in SEC Enforcement Remedies.....	37-17:185	Sylvia M. Mahaffey, Lilyanna L. Peyser, and Robert B. Robbins Regulation D Offerings and the Internet	36-22:259
Gary Simon New Audit Committee Rules	37-16:167	Philip H. Harris and Wei-Li F.X. Tjong Regulatory Issues in Private Placements of Hedge Fund Securities	36-21:249
Jeffrey C. Blockinger and Rebecca M. Palmer Hedge Fund Managers in the Era of Heightened Regulatory Scrutiny.....	37-15:159	Vincent R. Cappucci Securities Class Actions: Settlements	36-20:243
Michael S. Sackheim False Reporting of OTC Energy Transactions	37-14:149	William E. Donnelly and Thomas J. McGonigle Research Analysts’ Conflicts: The Regulatory Response.....	36-20:235
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	Terrance J. O’Malley The SEC Revises and Modernizes the Advisers Act Custody Rule	36-19:225
Richard W. Helm and Frederick B. Lohr European Regulation of Investment Funds	37-12:121	James C. Hartman, Jennifer S. Martinez, and Mark D. Pollack Recent SEC Enforcement Cases.....	36-18:213
Allan Horwich New Form 8-K and Real-Time Disclosure	37-11:109	James N. Benedict and Christopher M. Joraleman Primary Liability of Secondary Actors in Securities Fraud Cases ...	36-17:205
Jennifer L. Chunias and Carl E. Metzger Two Years after Sarbanes-Oxley: Assessing the Impact on D&O Liability Insurance.....	37-10:99		

2000 – 2018 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.
Inez H. Friedman-Boyce and Brian E. Pastuszynski Defending Outside Directors in Securities Litigation.....	36-16:191
Gerald Audant, Sara B. Brody, James E. Burns, and Robert P. Varian Trying Securities Class Actions in the Post-Enron Era	36-15:177
Jay G. Baris Anti-Money Laundering: Rules for Investment Companies.....	36-14:165
Steven Drachman The SEC’s Company Act and Advisers Act Agenda	36-13:149
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
Mari-Anne Pisarri SEC Adopts New Proxy Voting Rules.....	36-11:127
William D. Edick For Accountants, a Brave New World	36-10:119
Kelly H. Zinser Why ‘Best Execution’ Is in Your ‘Best’ Interest	36-9:113
Martin F. Doublesin and Marc H. Folladori Developments in Executive Compensation Disclosures	36-8:107
Michael L. Cypers Trial of an Accountant Liability Case: A Defendants’ Attorney’s Perspective.....	36-7:100
N. Robert Stoll Trial of an Accountant Liability Case: A Plaintiff Lawyer’s Tips.....	36-7:91
James J. Junewicz The SEC’s Recent Enforcement Actions under Regulation FD	36-6:83
David A. Bell and Richard L. Dickson Dilutive Venture Capital Financings of Distressed Companies.....	36-5:73
John J. Huber and Thomas J. Kim The Sarbanes-Oxley Act of 2002 and Commission Rulemaking – Part II.....	36-4:51
John J. Huber and Thomas J. Kim The Sarbanes-Oxley Act of 2002 and Commission Rulemaking – Part I.....	36-3:27
Gregory V. Varallo Funding Directors’ Litigation Costs	36-2:22
Kathleen H. Moriarty and David W. Selden Developments in Exchange-Traded Funds.....	36-2:11
Julien Bourgeois and George J. Mazin Preparing for an SEC Examination	36-1:1

	Vol.-No.:Pg.
2002	
Mari-Anne Pisarri When Two Worlds Collide: The Interplay Between Broker-Dealer and Investment Adviser Regulation.....	35-22:271
S. Mark Hurd Indemnification of Directors and Officers under Delaware Law	35-21:262
Stuart M. Grant and Megan D. McIntyre Class Certification and Section 18 of the Exchange Act	35-21:255
Allan Horwich New Requirements for Disclosure of Financial Condition under the Federal Securities Laws	35-20:243
Guy P. Lander Using the Internet to Reduce the Costs of Securities Practice	35-19:237
Peter J. Anderson and Alana Rae Black Accountants’ Liability after Enron	35-18:227
Craig E. Chapman Underwriters’ Due Diligence Revisited	35-17:207
Dean J. DiPilato, Brian E. Pastuszynski, and Christopher F. Robertson Loss Causation in Securities Litigation: A Defense Strategy Whose Time Has Come.....	35-16:194
Jeffrey C. Blockinger and Prufesh R. Modhera Selecting the Appropriate Type of Hedge Fund.....	35-16:185
C. Evan Stewart Liability for Securities Lawyers in the Post-Enron Era.....	35-15:171
Jerry A. Isenberg The <i>Seaboard</i> Section 21(A) Report: Promises and Perils.....	35-14:164
James N. Benedict and Mary K. Dulka Recent Developments in Litigation under the Investment Company Act of 1940.	35-14:151
Michael Berenson and Christopher D. Menconi To Boldly Go Where No Securities Offering Has Gone Before: Paperless.....	35-13:137
Elizabeth Knoblock Investment Advisory Sales: Best Practices	35-12:129
Martin Budd and Shawn Wooden Analysts’ Conflicts of Interest	35-12:119
Paul B. Uhlenhop Anti-Money Laundering Provisions for Broker-Dealers	35-11:107
Paul B. Uhlenhop Security Futures – A New Frontier	35-10:97
Caroline Krass Levy and Betty Santangelo New Anti-Money Laundering Rules for the Futures Industry.....	35-9:85

2000 – 2018 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Peter M. Casey, Christian M. Hoffman, and Stephen C. Warneck The SEC’s New MD&A ‘Suggestions’	35-8:73	Rochelle S. Hall, Thomas J. McGonigle, and M. Elizabeth Parks NASDR Examinations: Priorities and Procedures.....	34-14:165
Daniel J. Kramer and Megan Elizabeth Murray Extraterritorial Application of United States Securities Laws to Punish Insider Trading	35-7:65	Daniel S. Drosman and Jordan Eth The Private Securities Litigation Reform Act: Five Years Young	34-13:153
Robert B. Robbins The Fiduciary Duties of Directors of Corporate General Partners: Ten Years after <i>USACAFES</i>	35-6:57	Jay G. Baris The New Fund Governance Standards	34-12:135
James C. Creigh and Michael S. Dorf Earn-Outs and Other Deferred Consideration Rights	35-5:49	Margaret A. Jacobs, Daniel J. Kramer, and Betty Santangelo Suitability in Cyberspace	34-11:123
Michael S. Caccese Revised Performance Presentation Standards	35-4:39	Tuuli-Ann Ristkok Exchange-Traded Funds	34-10:109
Jeffrey C. Blockinger and Stephanie M. Monaco Operating a Hedge Fund in a Regulated Environment.....	35-3:27	Michael S. Sackheim and Jane Kang Thorpe Equity Derivatives under the Commodity Futures Modernization Act	34-9:103
Jonathan M. Hoff and Jake P. Yanchar Developments in Pleading under the PSLRA	35-2:13	Mark D. Young The Commodity Futures Modernization Act of 2000: Twenty Questions on the Commodity Futures Modernization Act	34-9:89
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. Mixter 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		

2000 – 2018 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
James J. Junewicz The SEC Raises the Stakes in Issuer-Analyst Communications.....	33-20:237	Joran Eth and Christopher A. Patz Securities Litigation and the Outside Director.....	33-9:95
Raymond D. Agran, John N. Ake, and Martha J. Hays Investment Company Act Pitfalls for Public Venture-Capital Companies.....	33-19:231	Stanley Keller Securities Law Considerations in Negotiated Acquisitions.....	33-8:83
Robert A. Robertson Board Oversight of Mutual Fund Compliance Operations.....	33-18:220	Julie Allecta and Thoa H. Ngo The SEC’s Soft Dollar Release.....	33-7:75
Edward L. Pittman, Alan J. Reed, and Richard Y. Roberts Confusion in Cyberspace.....	33-18:213	Satish M. Kini Impact of the 1999 Financial Modernization Act on Investment Advisers and Investment Companies.....	33-7:69
Michael S. Sackheim Ethical Standards for New York Brokerage House Attorneys.....	33-17:199	Kenneth B. Winer Securities Firms and the Foreign Corrupt Practices Act.....	33-6:61
Matthew A. Chambers Web Compliance Issues for Investment Advisers.....	33-16:187	Jay W. Eisenhofer and Stuart M. Grant Institutional Investors and Section 18 of the Exchange Act.....	33-5:54
Alan L. Dye and Peter J. Romero Developments under Section 16: (Part 2 of Two Parts).....	33-15:171	Jesse A. Finkelstein, Peter B. Ladig, and Srinivas M. Raju Attorney-Client Privilege: Potential Dangers of Having Corporate General Counsel Perform Multiple Roles.....	33-5:49
Alan L. Dye and Peter J. Romero Developments under Section 16: (Part 1 of Two Parts).....	33-14:155	Pamela J. Wilson Mutual Fund Advertising.....	33-4:31
Mari-Anne Pisarri Personal Trading by Advisory Personnel: The Seven Deadly Sins.....	33-13:143	Gregory N. Bressler Amendments to the Code of Ethics Rule under the Investment Company Act.....	33-3:19
Patrice M. Pitts Using Electronic Media to Offer and Sell Securities.....	33-12:135	Jonathan S. Adler, Stuart H. Gelfond, Valerie Ford Jacob, and Michael A. Levitt Financial Statement Requirements for Acquisitions in Registered Public Offerings.....	33-2:9
Neil S. Lang and Mark D. Perlow Earnings Management: Swept Away?.....	33-11:123	James C. McMillin Recent Developments in Litigation under the Securities Act of 1933.....	33-1:1
David B. Bayless and John A. Kelley The Changing Role and Composition of Audit Committees.....	33-10:109		