

THE REVIEW OF SECURITIES & COMMODITIES REGULATION

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

2000 – June 2019 CUMULATIVE ARTICLE INDEX

Notes

Articles are listed in reverse chronological order with their authors.

	Vol.-No.:Pg		Vol.-No.:Pg
2019			
Gary O. Cohen SEC Proposes Summary Prospectus for Variable Insurance Products	52-12:143	George Zornada, Pablo Man, and Lindsay Grossman Interval Funds Have Turned 25 and Are Increasingly Popular	52-4:39
Joseph A. Hall <i>Howey, Ralston Purina</i> and the SEC’s Digital Asset Framework.....	52-12:137	Melissa Sawyer and Emily Lichtenheld From Influential Stockholders to De Facto Controlling Stockholders: Recent Trends and Updates in Delaware.....	52-4:33
Vincent E. Lazar and William A. Williams Cleared Derivatives Markets — Customer Protection and Resolution Tools	52-11:125	Brian Neil Hoffman Implications and Opportunities of <i>Lucia v. SEC</i>	52-3:27
Sarah F. Warren Maintaining Privilege Protection of Internal Investigations.....	52-10:119	Marc J. Fagel, Mark K. Schonfeld, and Dan Li SEC Enforcement Division Issues its 2018 Report Card.....	52-3:21
Cheryl L. Haas and Alex M. Madrid Regulatory Developments for Dual Registrants	52-10:113	Dwight C. Smith and Randy Benjenk Changes in Bank Regulation: The Economic Growth, Regulatory Relief, and Consumer Protection Act	52-1/2:1
William D. Semins and Jared Kephart The Growing Importance of Fully Integrated Compliance Programs	52-9:105	2018	
Corin R. Swift, Benjamin L. Nager, and Jordan S. Schwartz Regulatory Focus on “High-Risk” Registered Representatives and Recidivism	52-9:97	Benjamin D. Singer and David R. Fitzgerald International Financial Fraud Enforcement Trends in a Globalized World.....	51-22:271
Meredith Kotler and Mark McDonald Developments in M&A Litigation.....	52-8:85	Tracey Salmon-Smith and Jennifer Chawla Form U-5 Requirements for FINRA Member Firms	51-21:265
Brian L. Rubin and Rebekah R. Runyon Hiring and Using Compliance Consultants.....	52-7:77	Anna T. Pinedo Modernizing the Regulatory Framework for BDCs	51-21:259
Martin L. Seidel and Mary Eaton The Supreme Court’s <i>Cyan</i> Decision: Implications for Securities Class Actions	52-7:69	Brian A. Jacobs How Institutional Dynamics Have Shaped Insider Trading Law.....	51-20:247
David Woodcock and Alexandra Stanley Issuer Reporting and Disclosure: The State of SEC Enforcement	52-6:57	Jay A. Dubow and Ying Zeng The Watchdogs Are Being Watched	51-19:241
Avi Gesser, Matthew Kelly, and Samantha Pfothenauer The Expanding Role of Lawyers in Addressing Cyber Risk at Financial Firms	52-5:45	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
		Gwendolyn A. Williamson, Matthew S. Williams, and Thomas M. Ahmadifar Developments in the Regulation of Fiduciary Investment Advice... ..	51-18:215

2000 – June 2019 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Kara Brockmeyer and Ada Fernandez Johnson Inside the Role of Brazil’s CVM in Anti-Corruption Cases.....	51-17:211	John Mark Zeberkiewicz and Robert B. Greco Determining and Disclosing the Effect of Broker Non-Votes.....	51-8:87
Warren T. Allen III and B. Michelle Bosworth Multi-Jurisdictional Anti-Corruption Investigation and Enforcement Trends and Developments	51-17:203	Jay G. Baris and Joshua Ashley Klayman Blockchain Basics for Investment Managers: A Token of Appreciation.....	51-6:7:67
Michele D. Johnson, Blair Connelly, and Janet J. Hsu The Shift in Delaware Appraisal Litigation	51-16:197	Mary J. Mullany Virtual-Only Shareholder Meetings – Are They a Good Idea for Your Company?	51-5:63
John C. Partigan Going Public Without an IPO	51-16:191	Michael Philipp, Akshay Belani, Christine Lombardo, and Sarah Riddell Recordkeeping: Recent Rule Amendments and Other Developments.....	51-5:55
Peter Lichtenbaum and Eric Sanderberg-Zakian Reducing Third-Party Trade Compliance Risks.....	51-15:187	Jeff Blumberg and Brian Jacobson Advertising and Social Media for Investment Advisers.....	51-4:49
Paul M. Dudek Current SEC Initiatives Impacting Foreign Private Issuers	51-15:179	Maeve L. O’Connor and Elliot Greenfield <i>Cyan</i> and the Future of Securities Class Actions in State Court	51-4:43
Katherine Cooper Proposed Swap Dealer Capital Requirements: The CFTC’s Long Path Towards a More Risk-Based Approach	51-14:173	Christopher S. Petito Recent Staff Guidance on the Custody Rule under the Investment Advisers Act of 1940.....	51-3:37
Gretchen Scott EU General Data Protection Regulation: Is the U.S. Funds Industry Ready?.....	51-14:167	Sarah L. Cave Caught in <i>Traffic</i> : The Scope of the SEC’s Extraterritorial Authority	51-3:31
Deborah Festa and Andrew Keller U.S. Risk Retention Rules: What Constitutes an Open-Market CLO?.....	51-13:159	Sean Kane Iran Sanctions: Where Are We Now?.....	51-2:23
Charles Sweet The <i>LSTA</i> Case and the Future of Credit Risk Retention for Securitizations	51-13:151	Paula Anderson The Changing Tide of Delaware Deal Litigation.....	51-2:15
William Ridgway, Jonathan Marcus, and Alexander Kasparie The Futures Industry and Cybersecurity	51-12:143	Eric Simanek Regulatory Developments Relating to Actively Managed ETFs.....	51-1:7
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	Michael H. Huneke and Ashley R. Hodges FCPA Update: Third-Party Risks and Enforcement Actions	51-1:1
2017			
Kurt Wolfe <i>Digital Realty</i> and the Narrowing of Whistleblower Protections	51-11:123	Richard M. Kosnik Recent Law Firm Publications Capital Markets.....	50-22:272
Susan Gault-Brown Structuring Options for Retail Crypto Fund Products	51-10:117	Wenchi Hu Technology Outsourcing by National Securities Exchanges and Registered Clearing Agencies.....	50-22:263
Lawrence D Finder and Lindsay Wright Brett T, G, and E under the FCPA: How Much is Too Much?.....	51-10:111	Mary P. Hansen, James G. Lundy, and Antoinette M. Snodgrass CFTC Enforcement: Best Practices and Recent Developments	50-21:251
Matt Herrington, Jonathan Drimmer, and Brady Cassis FCPA Compliance: The Role of Data Collection and Analysis	51-9:105	Maia Gez The New Pay Ratio Disclosure.....	50-20:245
Claire N. Rajan The New Department of Justice FCPA Corporate Enforcement Policy	51-9:99	Arthur H. Kohn and Julia M. Rozenblit Executive Compensation Litigation Update	50-20:235
Benjamin Galdston Shareholder Litigation for Waste of Corporate Assets in Internal FCPA Investigations.....	51-8:93	Hillel T. Cohn The New Fiduciary Standard for Broker-Dealers	50-19:229
		Brian A. Jacobs and Priya Raghavan The Impact of <i>Salman V. United States</i> on Downstream Tippee Prosecutions	50-19:223

2000 – June 2019 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Colin Lloyd and Christian Artmann Re-Examining the CFTC’s Regulation of Cross-Border Swaps Clearing and Trading Activities	50-18:211	Tamer Tullgren The SBIC Advisers Relief Act	50-4:47
Timothy D. Belevetz Cybersecurity Breaches: Avoiding Pitfalls	50-17:207	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
Jason E. Brown, Eva Ciko Carman, and Nicole Krea SEC Priorities for Private Equity and Real Estate Advisers	50-17:199	Glen Schleyer 2016 Shareholder Activism Review and Analysis.....	50-3:25
Tanuja Dehne, Anne Meyer, and Katayun Jaffari CEO Succession and Crisis Management`	50-16:191	Rose F. DiMartino, Jay Spinola, Ryan P. Brizek, and James W. Hahn The New SEC Liquidity Rule	50-2:13
Richard Marshall Supreme Court Imposes a Five-Year Statute of Limitations on SEC Disgorgement Claims.....	50-16:181	Sarah L. Cave The Impact of <i>Omnicare</i> on Auditor Liability under the Federal Securities Laws	50-1:9
Nathaniel Lalone and Christopher Collins Market Structure: An Evolution from MiFID I to MiFID II	50-15:169	Lisa C. Wood and Matthew Miller Recent Trends in SEC Enforcement Actions against Auditors.....	50-1:1
Anne P. Ray Navigating Conflicts of Interest in Securities Class Actions	50-14:161	2016	
Jeffrey P. Taft, Lawrence R. Hamilton, Stephen Lilley, and Matthew Bisanz The New York State DFS Cybersecurity Regulation: Preparing for Compliance.....	50-13:153	Stephen P. Wink and Brett M. Ackerman Crowdfunding under the SEC’s New Rules	49-22:267
Elizabeth P. Gray and Catherine E. Fata Increased Use of Big Data in SEC Enforcement	50-12:145	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
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	Michael P. Daly and Richard M. Haggerty Background Checks and the FCRA: How Employers Can Mitigate One Risk without Creating Another`	49-20:243
Scott B. McBride <i>Salman V. United States</i> and Its Impact on Insider-Trading Enforcement.....	50-10:125	Stephanie Yonekura and Deepak Singh The New Focus on Individuals Responsible for Corporate Misconduct	49-19:235
John M. Hillebrecht, Jessica Masella, and Adam Steene Managing a Global Regulatory Investigation — Unique Challenges in Cross-Border Investigations	50-9:109	Mariza McKee and Robert Ahrenholz Concurrent Regulation D and Regulation S Offerings in EB-5 Financings.....	49-18:229
Ronald S. Borod Esoteric ABS: Pushing the Envelope	50-8:93	Matthew T. Martens, Arian M. June, and Caroline Schmidt Four Key SEC Whistleblower Trends – and How Companies Can Prepare for Them	49-18:225
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	Todd S. Fishman The SEC’s Renewed Focus on Gatekeepers.....	49-17:219
Willa Cohen Bruckner and Matthew Barringer Margin for Uncleared Swaps: Practical Considerations for the Buy-Side	50-6:67	Tom A. Paskowitz, Daniel A. McLaughlin, and Benjamin F. Burry Transactions in Un-sponsored American Depositary Receipts	49-17:211
Rose F. DiMartino, Jay Spinola, Ryan P. Brizek, and James W. Hahn The SEC’s “Swing Pricing” Rule.....	50-6:61	Thomas H. Bentz, Jr. Tips for Strong Cyber Liability Insurance.....	49-16:203
David Mortlock and Nikki M. Cronin Economic Sanctions Enforcement: Recent Trends and Lessons Learned	50-5:57	Lawrence Zweifach, Arthur Long, Joel Cohen, Robert Trenchard, Jeffrey Steiner, and Amy Mayer Developments and Trends in CFTC Enforcement.....	49-15:189
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
		David A. Kotler, Joanna Barry, and Catherine Wigglesworth Recent Developments in Mutual Fund Fee Litigation	49-13:171

2000 – June 2019 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Robert Sichel, Kristina Zanotti, and Ruth Delaney The Department of Labor’s New Conflict-of-Interest Regulations .	49-13:163	Anahita Thoms and Bettina Stepanek Capital Market Instruments Targeted by EU Sanctions against Russia.....	49-3:25
Trevor N. McFadden and Maria McMahon Reluctant Handmaidens: The Role of Judiciary in Corporate Settlement Agreements.....	49-12:159	Sarah L. Cave and Malik Havalic Subject Matter Jurisdiction under the FAA.....	49-2:19
Frederick H. Alexander Public Benefit Corporations.....	49-12:155	Marcus A. Asner and Alexandra L. Mitter Keeping Internal Investigations on Track and under Control.....	49-2:13
Joan E. Meyer The Evolving Calculus of Corporate Voluntary Disclosure in Foreign Corrupt Practices Act Cases	49-12:149	David Woodcock and Allison Fuller A Prosecutor’s Approach to SEC Enforcement (and What It Means for Smaller Companies)	49-1-1
2015			
Mary Eaton, Amelia Cottrell, Elizabeth Gray, Ben Haskin, Jim Anderson, and Juliet Mun Context Makes a Difference: SEC Loses Controversial Case	49-11:139	Kim Strosnider and Stephen Bartenstein U.S. Trade Controls Considerations During M&A and Transactional Due Diligence.....	48-22:291
Lisa R. Bugni and Courtney Quirós Preserving and Controlling the Attorney-Client Privilege in M&A Deals.....	49-11:129	Chad E. Silverman and David Zornow Manipulation under the CEA and the Defense of Self-Defense	48-21:287
Nicole Erb, Sara Nordin, and Tanya Hanna Reconciling US and EU Sanctions: Iran and Cuba	49-10:121	Gerald S. Sachs, Ryan A. Chiachiere, Alexandra L. Anderson, and Lauren Kelly D. Greenbacker Virtual Currency and Regulation	48-21:275
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	Alan Brudner, Wendy Cohen, Gary DeWaal, David Dickstein, Doron Goldstein, and Dina Wegh Cyber-Attacks and Developments in Cybersecurity	48-20:261
Amy R. Doberman SEC Proposal on Investment Company Use of Derivatives – A Solution in Search of a Problem?.....	49-9:101	Douglas I. Koff and Julian Rainero Dark Pools: Recent Enforcement Actions.....	48-19:253
Mary J. Mullany Shareholder Approval of Equity Plans – Current Considerations.....	49-8:93	Leslie Silverman, Nicolas Grabar, and Andrea Basham New SEC Staff Guidance on General Solicitation	48-19:247
Jason A. Jones FCPA Best Practices: Implementation and Utilization of Third-Party Audits	49-7:89	Geoffrey S. Goodman, Esq. Safe Harbor Rights and Protections for FCMs and Swap Dealers in Customer Bankruptcies	48-18:239
Jason M. Halper and Jeremy D. Erickson SEC Pay Ratio Rules – A Recipe for Compliance and Model Disclosure.....	49-7:81	Liisa Thomas Handling Big Data in the Financial Services Sector	48-18:231
Christian J. Mixter The SEC’s Administrative Law Enforcement Record.....	49-6:69	Stephen Heifetz and Kaitlin Cassel CFIUS: A Potential Cause of Deal Delay	48-17:225
Paul St. Lawrence Esoteric Asset-Backed Securities.....	49-5:63	Pamela Hughes, Tim Phillips, and Raees Nakhuda Regulation A+ from a Canadian Perspective	48-17:219
Kay Georgi and Valentin Povarchuk Planning after Export Controls or Economic Sanctions Violations Have Been Discovered	49-5:53	James Burns and Justin Browder Asset Managers and the Regulatory Debate over Systemic Risk	48-16:205
Dan M. Berkovitz and Gail C. Bernstein Swap Dealer Chief Compliance Officer Requirements – Recent Developments.....	49-4:41	Stacie R. Hartman, Kenneth W. McCracken, and Jacob L. Kahn Disruptive Trading and the Search for Wrongful Intent.....	48-15:191
Sarah A. Good and Ildiko Duckor The CCO – The SEC’s Target – or Ally in Examinations and Enforcement?.....	49-3:33	Matthew E. Fishbein The DOJ’s New Position on Corporate Cooperation	48-14:185
		Gregory G. Ballard, Kevin A. Burke, and Neil D. Corcoran Law and Practice under Rule 102(e).....	48-14:175

2000 – June 2019 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Sergio J. Galvis		Jeffrey S. Hochman	
Latin America: Lessons on Shareholder Activism from a U.S. Perspective.....	48-13:171	Back to Principles – MD&A as a Model for Effective Disclosure	48-2:19
Jamie Fleckner		Marc J. Fagel and Leslie A. Wulff	
ERISA Litigation Involving Retirement Plan Investments	48-13:159	Private Funds: Preparing for Another Year in the SEC Crosshairs.....	48-2:13
Matthew L. Mustokoff and Stacey M. Kaplan		Dana S. Douglas and Kathleen M. Przywara	
Damages and Predominance in Securities Class Actions after Comcast	48-12:149	The Outside Contractor as Whistleblower.....	48-1:9
Marc E. Elovitz		Laura D. Richman and Michael L. Hermsen	
SEC Examinations of Private Fund Advisers	48-12:143	Shareholder Engagement and the Proxy Season.....	48-1: 1
Choo Lye Tan		2014	
The Shanghai-Hong Kong Stock Connect.....	48-11:137	Jason M. Halper, Michael Delikat, Renee B. Phillips, Justin Bagdady, and Hannah M. Junkerman	
Kelli L. Moll, Gwyneth Rees, Neil Koren, and Peter D. Astleford		Corporate Whistleblowing – Key Issues in Responding to Possible Violations	47-22:291
Current Trends in Hedge Funds	48-11:127	Sean M. Murphy and Matthew J. Laroche	
F. Daniel Bell, III, Andrea L. Seidt, and Pamela P. Epting		<i>Halliburton</i> and the Fraud-on-the-Market Theory.....	47-21:283
State Securities Regulatory Update	48-10:115	Brent J. McIntosh	
Douglas Davison, Matthew Martens, Nicole Rabner, John Valentine, and Natalie Rastin		Judicial Review of SEC Consent Judgments.....	47-21:275
Litigating With – and At – the SEC	48-9:103	Jack W. Murphy, Stephen T. Cohen, Brenden P. Carroll, and Justin A. Goldberg	
Robert E. Plaze		Overview of SEC’s Recent Money Market Fund Reforms.....	47-20:263
Understanding the Investment Adviser Custody Rule: Part II – Safekeeping Requirements	48-8:87	Joel M. Cohen, Mary Kay Dunning, Darcy Harris and Genevieve Quinn	
David B. Anders		<i>SEC v. Obus</i> : A Case Study on Taking the Government to Trial and Winning	47-19:247
Ethical Considerations for Defense Lawyers in SEC Proceedings	48-7:77	Jessica Perry Corley and David W. Gouzoules	
Ralph C. Ferrara and Rachel O. Wolkinson		Developments in Appraisal Litigation.....	47-18:241
Managing Corporate Crises: A Brief Case Study	48-7:71	Frank Aquila and Melissa Sawyer	
Cyrus Amir-Mokri, Mark D. Young, Maureen A. Donley, and Patrick Brandt		Perfect Pill, Imperfect Defense	47-18:231
Cross-Border Requirements for Derivatives in the U.S. and EU	48-6:67	George Wang and Andrew Winerman	
Robert E. Plaze		Sanctions Developments in 2014	47-17:223
Understanding the Investment Adviser Custody Rule: Part I – Determining Custody	48-6:59	Deborah S. Bimbach and Morgan R. Mordecai	
A. Neil Hartzell		Disclosure Hot Topics in M&A Litigation.....	47-16:211
The Perils of Non-Accounting Services Provided by Accounting Firms.....	48-5:55	Owen Pell, Gregory Stamer, Kim Haviv, and Joshua Elmore	
Stephan E. Becker		City of Pontiac: Second Circuit Further Limits When U.S. Securities Laws May Reach Non-U.S. Securities and Issuers	47-15:207
U.S. Sanctions on Russia.....	48-5:47	Dan M. Berkovitz and Gail Bernstein	
Maeve L. O’Connor and Elliot Greenfield		Swap Dealer Chief Compliance Officer Requirements – First Year in Review.....	47-15:195
Lower Court Decisions in the Wake of <i>Halliburton II</i>	48-4:41	Alan R. Gedrich and Christopher J. Zimmerman	
Deborah A. Monson and Jeremy A. Liabo		Alternative Funds in the Registered Fund Marketplace.....	47-14:183
NFA Inspections – Practical Guidance for CPOs and CTAs	48-4:35	Marc R. Ponchione, Heath P. Tarbert, and Gordon L. Miller	
Richard C. Smith, Sam Eastwood, Kelly Thorman, and Kate Hunter		Private Equity Funds and the Volcker Rule	47-13:171
Deferred Prosecution and Non-Prosecution Agreements in the United States, England, and Wales	48-3:25	Stephen M. Gill, Kai Haakon E. Liekefett, and Leonard Wood	
		Structural Defenses to Shareholder Activism.....	47-12:151

2000 – June 2019 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
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	
Matthew E. Kaplan and Steven J. Slutzky Advance Planning for Sponsor-Backed IPOs.....	47-10:123	Robert Hubbell Regulators Renew Focus on Auditor Independence.....	46-22:293
John Servidio, Peter Tucker, and Ryan Taylor Time for a 2014 ISDA Master Agreement.....	47-9:99	Charles F. Walker and Katherine V. Lesker Practicing Before the SEC: Ethical Considerations for Counsel	46-22:281
Rex S. Heinke, Julia I. De Beers, and Elias Dabaie The Effect of Arbitration Agreements on Class Actions	47-9:91	William Kane and Gillian Whittlesey SEC Investment Adviser Examinations	46-21:269
Jeanine P. McGuinness U.S. Sanctions on Iran: The Joint Plan of Action for Containing Iran’s Nuclear Program.....	47-8:79	Jonathan E. Pickhardt The ACA Case: A New Standard for Reasonable Reliance?	46-20:263
Herbert F. Janick III and John Lupton The SEC’s Policies on Civil Penalties and Admissions in Settlements	47-7:85	Peter W. LaVigne Know Your Customer Inquiries and Suitability Determinations under the Updated FINRA Rules	46-20:253
Richard M. Phillips, Jeffrey L. Bornstein, and Leanne E. Hartmann The SEC’s New Enforcement Program	47-7:79	William S. Freeman Regulation FD in the Twitter Age	46-19:245
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	Ethan Silver and Jayun Koo FINRA’s Regulation of its Members’ Use of Social Media.....	46-19:237
Deanna Kirkpatrick The JOBS Act and IPOs	47-6:71	David Bayless and Tammy Albarrán Concluding an Internal Investigation.....	46-18:233
Rose F. DiMartino and Ryan P. Brizek Investment Company Performance: The Board’s Oversight Role.....	47-5:65	Paul M. Tyrell Recent AML Enforcement Cases	46-18:227
Roberta A. Kaplan and Jacob H. Hupart Credit Rating Agency Litigation.....	47-5:59	Paula Howell Anderson “Win-Win” Scenarios for Shareholders in M&A Transactions.....	46-17:217
Richard Hall SEC Developments in M&A	47-4:55	Melissa Sawyer and Rebecca Crosby Deal Protections in Tender Offers	46-17:211
Michael M. Farhang and Chris Jung The Interplay Between Government Investigations and Civil Securities Litigation.....	47-4:43	Brian Korn and David P. Russo Resales of Restricted and Control Securities under Rule 144	46-16:199
Elissa J. Preheim and Bret A. Finkelstein Preparing an Effective PCAOB Statement of Position.....	47-3:37	Stephen P. Wink, Stefan Paulovic, and Michael Shaw Dually Registered Brokers and Advisers	46-15:191
Erica Schohn and Joe Penko Executive Compensation Issues: Planning for the Coming Proxy Season	47-3:31	Donald R. Crawshaw Recharacterization of Payments by Mutual Funds and Advisers to Distributors.....	46-15:183
Daniel Nathan and Justin Kletter Preparing for and Enduring a FINRA Exam	47-2:25	Adam M. Givertz and Brad D. Goldberg Anti-Corruption Due Diligence in Mergers and Acquisitions	46-14:171
Marc J. Fagel Reassessing the SEC Wells Submission	47-2:17	A. Robert Pietrzak, Tom A. Paskowitz, and Benjamin F. Burry Securities Fraud Litigation against China-Based Companies in the United States.....	46-13:157
		Matthew L. Mustokoff and Margaret E. Onasch Proving Securities Fraud Damages at Trial.....	46-12:145

2000 – June 2019 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Stephen A. Keen Money Market Fund Reform from a Risk Management Perspective.....	46-11:129	Edward R. McNicholas and Elisa K. Jillson Extending Compliance to the Cloud.....	45-19:227
Patricia O. Vella and Jessica C. Pearlman Confidentiality and Standstill Agreements: Recent Delaware Law Developments	46-10:121	Thomas C. Bogle Anti-Money Laundering Regulation of Investment Advisers.....	45-18:219
Blake Rohrbacher and Christopher H. Lyons Disclosure of Management Projections under Delaware Law	46-10:113	Norman S. Poser <i>Janus</i> Revisited: The Lower Courts Wrestle with a Troubling Supreme Court Decision	45-17:211
Linda L. Griggs The Increasing Focus on Audit Committees.....	46-9:99	Guy P. Lander Foreign Private Issuers: Status and Exchange Act Registration	45-16:205
Willa Cohen Bruckner A Guide to Dodd-Frank for Users of Swaps.....	46-8:87	Jay G. Baris Fallout from the Dodd-Frank Zone: Lessons and Challenges for Investment Advisers.....	45-16:195
Michael H. Margolis and Howard S. Suskin The Use of Sarbanes-Oxley Certifications to Plead Scienter.....	46-7:83	Ivonne Mena King, Jaime Guerrero, and Lauren L. Valiente FCPA Internal Investigations in Latin America	45-15:185
Anna T. Pinedo and Jay G. Baris Structured Products: Investment Company Act and Investment Advisers Act Considerations	46-7:75	John H. Walsh The Time Has Come to Reconsider the <i>Gutfreund</i> Standard.....	45-15:177
Meredith Rathbone and Anthony Rapa A Primer on Internal Corporate Investigations	46-6:69	Barbara Stettner, Charles Borden, Sam Brown, and Claire Rajan Non-U.S. Issuers Selling Fund Interests in the United States.....	45-14:165
F. Joseph Warin and Maura M. Logan Disclosing Pending FCPA Investigations.....	46-6:61	John M. Vasily and Michael J. Rosenthal The Impact of <i>Morrison</i> on Cross-Border M&A.....	45-13:157
James H. Mutchnik and Micah C. Osgood Documents Hosted Overseas and Grand Jury Subpoenas	46-5:53	Heather Traeger and Jennifer Prosba Fixed-Income Markets in 2012	45-13:145
Philip Urofsky FCPA 2012: Lessons Learned and Open Issues	46-5:41	Paul C. Gluckow and David B. Edwards Recent Trends Regarding the Use of Confidential Witnesses in Securities Litigation	45-12:141
Cary J. Meer and Kathy K. Ingber Preparing to be a Commodity Pool Operator: NFA Compliance Obligations.....	46-4:33	Robert H. Hotz, Jr. and Harry Sandick Search Warrants in White-Collar Crime Cases	45-12:133
Richard D. Bernstein and Zheyao Li SEC Rule 412: What is Said Now Trumps What was Said Before.....	46-3:27	Matthew F. Kluchenek and Jacob L. Kahn The Dodd-Frank Act's Prohibition of Disruptive Trading Practices.....	45-11:127
Jill Crawley Griset Predictive Coding: Silver Bullet or Pandora's Box?.....	46-3:21	Robert A. Skinner and Tyler A. Young Recent Developments in Securities Litigation against Mutual Funds	45-11:117
Jacqueline D. Shinfield Canadian AML and ATF Regime: The Changing Landscape	46-2:13	Robert E. Puopolo, Bradley A. Jacobson, and Stephen T. Adams The JOBS Act: Improving Access to Capital Markets for Smaller Companies	45-10:109
F. Amanda DeBusk Update on U.S. Sanctions against Iran	46-1:1	Melissa Sawyer Advising Buyers in Controlling Stockholder Transactions.....	45-9:97
2012		Laura Ariane Miller and B. Patrice Clair The Proverbial Gun in the Corporate Defense World.....	45-8:91
Rajib Chanda and Robert Shapiro Board Oversight of Fair Valuation	45-22:263	Sean M. Murphy and James G. Cavoli Fund Profitability in Mutual Fund Fee Litigation.....	45-8:81
Ioannis Tzouganatos, Jack P. Huntington, and Bruce Treff ETF Regulatory and Operational Considerations	45-21:251	Jeffrey W. Coverdell, Brian L. Rubin, and Andrew M McCormick SEC and FINRA: Priorities and Enforcement Trends	45-7:75
Rudolph Koch and Jason J. Rawnsley Section 162 (M) Litigation: What We Know So Far	45-20:243		
Bruce B. Fekrat CFTC's Large Trader Reporting Rules	45-20:239		

2000 – June 2019 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Michele D. Johnson and Colleen C. Smith The Future of Say-On-Pay Derivative Litigation.....	45-7:69	Jason E. Brown and Joel A. Wattenbarger Implementing the Private Fund Investment Advisers Registration Act of 2010.....	44-17:213
Alex C. Lakatos Extraterritorial Section 10(B) Class Actions after <i>Morrison</i>	45-6:61	Norman S. Poser The Supreme Court’s <i>Janus Capital</i> Case	44-16:205
Tracey A. Zaccone The PIPES Market: Outlook for 2012.....	45-5:57	Joel M. Cohen and Adam P. Wolf Private Equity Investment and the FCPA	44-16:197
Thomas W. Kellerman and Jeffrey R. Wolters Corporate Governance for Venture-Backed Companies	45-5:49	John Mark Zeberkiewicz and Tiffany N. Piland Valid Issuance of Capital Stock.....	44-15:191
Sofia E. Biller and Howard S. Suskin When is the Statute of Repose Period for Federal Securities Fraud Claims Triggered?	45-4:45	Donald W. Glazer and Michael J. Kendall Old Opinion Forms on Sales of Securities.....	44-15:187
Marc Folladori and Ryan Valenza Developments in Shareholder Proposals.....	45-4:33	Tracy L. Gerber FINRA Arbitration in the Modern Era: A Defense Practitioner’s Perspective	44-14:181
Mitchell E. Nichter and Patrick W. Dennis Duties Imposed by the Investment Advisers Act of 1940	45-3:27	Stephen Fishbein, Philip Urofsky, and Richard Kelly The UK Bribery Act 2010	44-14:171
Jay G. Baris and Andrew J. Donohue SEC Concept Release Tackles Investment Company Use of Derivatives	45-3:19	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
Bruce A. Machmeier and Andrew J. Neuharth Pre-Releases of Financial Information.....	45-2:11	Elizabeth P. Gray and Jessica L. Matelis PCAOB Foreign Inspections – A Chinese Conundrum	44-12:145
Boris Feldman Shareholder Litigation after the Fall of an Iron Curtain	45-1:7	Allison Lurton and Mark Herman CFTC Regulation of Derivatives under Dodd-Frank: Challenges for Compliance Officers	44-12:139
Elizabeth K. Derbes The SEC’s Large Trader Reporting Rule	45-1:1	Robert W. Helm, Douglas P. Dick, and Gared S. Schneberger Investments in Derivatives by U.S. and European Mutual Funds	44-11:129
2011			
Bradley A. Jacobson, Robert E. Puopolo, and Daniel J. Blanchard Capital Formation Reform.....	44-22:285	Deanna L. Kirkpatrick Negotiating Comfort Letters.....	44-10:121
Sarah L. Cave and Jesse L. Jensen Federal Securities Claims against Auditors Following the Subprime Meltdown	44-22:277	Jared L. Kopel and Maulik Shah The Core Operations Inference.....	44-9:113
John F. Grossbauer and Pamela L. Millard Stockholder Rights Plans in Negotiated Mergers: Issues of Delaware Law.....	44-21:269	Linda L. Griggs Disclosures about Loss Contingencies.....	44-8:107
Jonathan R. Tuttle and Ada Fernandez Johnson The SEC Sharpens its Talons in No-Fault Clawback Actions.....	44-20:261	Pravin Rao and Assad Clark Changing Landscape of Swap Regulation	44-8:97
Michael S. Sackheim Professional Responsibility Issues for Swaps Lawyers under Dodd-Frank	44-20:253	Jason E. Brown Application of the Investment Advisers Act to Private Equity Advisers	44-7:83
John Kolada, Stefan Timms, and Michael Hickey Cross-Border Public M&A in Canada	44-19:245	Giselle M. Barth and Daniel M. Rossner Dodd-Frank Securitization Reforms.....	44-6:67
F. Martin Fox, Jack P. Huntington, and Bruce Treff Use of Social Media by Investment Advisers	44-19:237	Laura D. Richman The Impact of the Dodd-Frank Act on the Proxy and Annual Report Season.....	44-5:55
Laurence S. Lese and Michael E. Clark Insights into the SEC’s Whistleblower Program.....	44-18:225		

2000 – June 2019 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
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	Stephen E. Roth and Mary Thornton Payne Navigating the SEC Framework for Registered Non-Variable Annuity Products	43-12:161
Michael E. Clark The Dodd-Frank Act’s Bounty Hunter Provisions.....	44-3:31	Todd W. Beauchamp The Evolution of Private Equity Investment in Failed Institutions..	43-11:149
Donna L. Wilson and John W. McGuinness Investor-Driven Litigation against the Credit Rating Agencies	44-2:27	Andrew M. Ross Acquisitions by Chinese Companies in the United States	43-10:137
Marc D. Powers Insider Trading: The SEC Gets Tough	44-2:21	Owen D. Nee, Jr. Foreign Management of Private Equity in China	43-10:127
Mark A. Borges The Executive Compensation Provisions of the Dodd-Frank Act.....	44-1:1	Mark D. Perlow and C. Dirk Peterson SEC Revisits Equity Market Structure in Concept Release and Rule Proposals	43-9:115
2010			
Stephanie Nicolas and Leigh Thompson Outsourcing Back-Office and other Functions	43-22:301	Mari-Anne Pisarri The New Landscape of Investment Adviser Custody.....	43-8:103
Roberta S. Karmel A New Regulatory World for Hedge Funds	43-22:295	Jeffrey A. Smith, Matthew Morreale, and Kimberley Drexler The SEC Interpretive Release on Climate Change Disclosure	43-7:95
Jack Murphy, Julien Bourgeois, and Lisa Price How a Fund Dies	43-21:283	Gerald J. Russello FINRA AML Enforcement: Early Lessons	43-6:85
John Mark Zeberkiewicz and Megan W. Shaner An Overview of Delaware-Specific Issues for Stockholders’ Meetings	43-20:275	Brynn D. Peltz and Matthew J. Chase M & A Transactions for Investment Advisers in an Age of Scrutiny.....	43-6:79
James R. Doty and J. Bradley Bennett Independent Consultants in SEC Enforcement Proceedings.....	43-19:259	Ronald Wood, Travis Brennan, and Courtney Devon Taylor Post-Madoff SEC Reforms: Implications for Hedge Funds.....	43-5:67
Jared L. Kopel and Jacob T. Veltman Tolling the Statute of Limitations in SEC Proceedings, Part 2	43-18:251	Marsha Z. Gerber, Elaine L. Lawson, and Cristina K. Lunders Voluntary Disclosure of FCPA Violations	43-4:55
Ki P. Hong and Matthew Bobys The SEC’s New Pay-to-Play Rule for Investment Advisers.....	43-18:247	Howard E. Berkenblit and Jonathan M. Vaas SEC Passes Enhanced Proxy Disclosures.....	43-4:47
Jared L. Kopel and Jacob T. Veltman The Statutes of Limitations in SEC Proceedings, Part 1	43-17:235	Mary J. Mullany and Jill M. Stadelman Compensation Committees – The New Gatekeepers.....	43-3:37
F. Joseph Warin and Jill M. Pfenning Chinese Anti-Bribery Regulatory and Enforcement Landscape	43-16:227	Doreen E. Lilienfeld and Veronica M. Wissel Emerging Trends in Compensation Regulation.....	43-3:31
Michael J. Sharp, Bruce H. Newman, and Christie Farris Öberg Seller Beware: Regulators Dissect Retail Sales of Structured Products	43-16:219	Rebekah J. Poston, David A. Saltzman, and Gregory W. Bates FCPA Due Diligence in Acquisitions.....	43-2:13
David B. Anders Handling a Regulatory Investigation in Light of the SEC’s New Cooperation Guidelines.....	43-15:207	Barbara J. Endres and Kersti Hanson “At-the-Market” Offerings – Implications under Regulation M.....	43-1:1
2009			
Stephen A. Keen 2010 Money Market Fund Regulatory Reforms	43-14:191	Jaelyn Liu The NYSE’s Amendment of Rule 452: Practical Tips for Public Companies	42-22:279
Kay A. Gordon Regulation of Short Selling in the U.S.	43-13:179	Stacie R. Hartman Changes in the Culture of Waiver	42-21:271
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

2000 – June 2019 CUMULATIVE ARTICLE INDEX

Vol.-No.:Pg.	Vol.-No.:Pg.
Soo J. Yim, Andre E. Owens, Gail C. Bernstein, and Cristie L. March The SEC's Proposed Ban of Flash Orders 42-20:259	Ronald E. Wood, Jeffery Gross, and Travis Brennan SEC's Fiscal 2008 Focus on Hedge Funds42-3:39
Anand S. Raman, Darren M. Welch, and Emily C. Helms Williams The Servicemembers Civil Relief Act 42-19:251	Pravin B. Rao and Jade R. Lambert Revenue Recognition in Troubled Times42-3:31
Elizabeth V. Tanis and Jennifer D. Fease Emerging Issues in Deepening Insolvency Claims 42-18:239	Jonathan S. Sack Knight's Saga: A Court Rejects the SEC's Theory of "Best Execution"42-2:25
John Mark Zeberkiewicz and Joseph L. Christensen The Delaware and SEC Proxy Access Regimes 42-17:233	Tanya L. Forsheit Privacy, Data Security, and Outsourcing: Domestic and International Regulation42-2:13
Lawrence R. Bard, David M. Lynn, and Alfredo B. Silva XBRL is Now Mandatory – A Primer for Securities Lawyers 42-17:227	Norman S. Poser Securities Fraud and the Common Law42-1:1
Marc H. Morgenstern Crisis Bridge Financings – 2009 42-16:213	2008
Mark A. Borges The TARP Executive Compensation Standards – A Sign of Things to Come? 42-15:197	Stephen D. Bohrer The SEC's Amendments to the Cross-Border Rules: Right Direction but Off-Target41-22:289
Daniel R. Waldman and Ahmad M. Hajj CFTC's Supervision Rule Expanded? 42-14:193	Blake Rohrbacher and John Mark Zeberkiewicz The Right Protection: More on Advancement and Indemnification41-21:283
Thomas W. White and Nia M. Monroe The Mark-To-Market Accounting Controversy 42-14:181	James T. Lidbury and Andrew J. Terry SEC Issues Guidance on the Use of Company Web Sites to Disseminate Investor Information.....41-21:279
W. Thomas Conner and James M. Cain Exchange-Traded Funds 42-13:167	Amelia Toy Rudolph The <i>In Pari Delicto</i> Defense in Federal Securities Claims and Accountant Liability Actions.....41-20:263
Julien Bourgeois, Michael Sherman, and Philip Hinkle SEC Examination of Investment Advisers 42-12:155	Jessica Forbes and Terrance O'Malley A Review of Principal Transactions under the Advisers Act41-19:249
Joel M. Cohen, Mark A. Kirsch, Mary K. Dulka, and Sarah Blackman Mutual Fund Litigation Triggered by the Credit Crisis 42-11:145	Paul R. Berger and Erin W. Sheehy The Globalization of SEC Enforcement Activities41-18:243
Pamela Rogers Chepiga and Lanier Saperstein Trends in Global Securities Litigation 42-11:139	Eric A. Hirsch and Steven M. Witzel Liability and Consequences for Failing to Supervise Employees Who Engage in Fraudulent Trading.....41-18:233
Donald B. Henderson Jr. and Allison J. Tam Overview of the Life Settlement Market..... 42-10:123	Brandon Gay and Keir Gumbs The 2008 Shareholder Proxy Season in Review41-17:217
Joseph R. Fleming, John V. O'Hanlon, and Hila Shamir The Future of Money Market Funds: Implications of the Recent Turmoil..... 42-9:107	Scott J. Carpenter and Thomas V. Sjoblom Parallel Government Proceedings in Complex Securities Cases41-16:201
Seth Aronson, Amy Jane Longo, and Stephanie Noble A Decade in Review: The Securities Litigation Uniform Standards Act 42-8:95	Jack P. Drogin and Howard L. Kramer Fraud in Markups: An Unusual SEC Decision41-15:195
David B. Harms When Public Companies Raise Private Capital: Managing the Disclosure and Publicity Issues..... 42-7:83	Tommaso Bencivenga, Mia C. Korot, and Sean M. Murphy Securities Plaintiffs Turn to Class Actions under ERISA41-15:185
W. Hardy Callcott and Abigail C. Slonecker A Review of Recent SEC Actions against Lawyers 42-6:71	Wendy B. Hart and Michael K. Wolensky Designing an Effective Retail Surveillance Program41-14:179
Mary J. Mullany and Ellen Jerrehian 2009 Annual Disclosure Documents..... 42-5:61	Lina Braude and Jonathan Nelms FCPA Compliance in Russia41-14:169
Scott W. Muller and Chiawen C. Kiew Responding to Multi-Jurisdictional Investigations: Issues and Considerations 42-4:47	Sarah R. Davidoff, Gary L. Granik, and Rachel E. Meyer Side Pockets on the Rise – Issues, Analysis, and Impact41-13:161

2000 – June 2019 CUMULATIVE ARTICLE INDEX

Vol.-No.:Pg.	Vol.-No.:Pg.
<p>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</p> <p>Brian T. Casey and Thomas D. Sherman State Broker-Dealer Registration Pitfalls for Life Settlement Brokers..... 41-12:147</p> <p>John C. Kelly The U.S. Supreme Court Decides <i>Hall Street</i>: Challenging an Arbitration Award Just Got Tougher 41-12:141</p> <p>Gregory S. Bruch and Jessica L. Matelis FCPA Compliance Monitors – A Buyer’s Guide 41-11:133</p> <p>Gary DiBianco and Wendy E. Pearson Anti-Corruption Due Diligence in Corporate Transactions: How Much Is Enough? 41-11:125</p> <p>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</p> <p>Randall J. Fons and Stephanie L. Forbes Securities Regulators Take the Initiative in Protecting Older Investors..... 41-9:105</p> <p>Alan L. Beller, Michael D. Dayan, Leslie N. Silverman, and James D. Small SEC Adopts Amendments to Rules 144 and 145 41-9:97</p> <p>Stacy L. Fuller The Evolution of Actively Managed Exchange-Traded Funds 41-8:89</p> <p>Kimberley S. Drexler and Paul Michalski A Snapshot of the SEC and Global Security Risk Disclosure Today 41-8:81</p> <p>Bruce Luna, Ed O’Connell, and John White An Overview of CDO Transactions 41-7:73</p> <p>Daniel L. Goelzer What Audit Committees Should Know about the Work of the Public Company Accounting Oversight Board..... 41-6:61</p> <p>George P. Attisano Investment Company Board Oversight of Subadvised Relationships..... 41-5:49</p> <p>Larry E. Bergmann and Matthew B. Comstock Amended Rule 105 of Regulation M: A Fuzzy “Bright Line” 41-4:43</p> <p>Margaret E. Tahyar and Richard D. Truesdell, Jr. Increasing the Attractiveness of U.S. Capital Markets to Foreign Private Issuers 41-4:37</p> <p>Joseph J. Muscatiello and Brynn D. Peltz Hedge Fund Stock Exchange Listings: Considerations and Developments 41-3:25</p>	<p>Rose F. DiMartino and Paul F. Schlichting Soliciting over the Internet: The New E-Proxy Rules in the Investment Company Context 41-2:17</p> <p>Jeffrey A. Smith Disclosure of Climate Change Risks and Opportunities..... 41-1:1</p> <p style="text-align: center;">2007</p> <p>Jonathan M. Hoff and Gregory Zimmer The Evolution of Class Certification Standards 40-22:255</p> <p>Marcela L. Cuadrado and Thomas L. Taylor III The Future of Fee-Based Brokerage Programs..... 40-21:247</p> <p>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</p> <p>Christopher F. Chase and Christopher M. Salter Short Selling and Naked Shorts in the Regulation SHO Environment 40-20:231</p> <p>William E. Donnelly and Robert P. Howard, Jr. Brokers Beware: Elder Law Issues Become Increasingly Significant to Securities Firms 40-19:215</p> <p>Jennifer Corinis and Steven W. Hansen Judicial Views of “Collective Scierter” in a Section 10(b) Case..... 40-18:207</p> <p>Deborah G. Heilizer and Brian L. Rubin What’s in a Name? Enforcement Trends and Possible Implications for FINRA 40-17:199</p> <p>Jon A. Jacobson and Bradford D. Kaufman Appellate Review of Arbitration Decisions..... 40-16:185</p> <p>Margaret Jacobs and Betty Santangelo Mutual Fund Compliance and the Anti-Money Laundering Regulatory Regime (Part II)..... 40-15:171</p> <p>Carey A. Kotula, Geoffrey M. Sigler, and F. Joseph Warin Audit Committee Oversight of a Major Independent Investigation 40-14:161</p> <p>Adam W. Glass The Section 3(a)(2) Exemption for Equity Index-Linked Notes 40-13:149</p> <p>Patrick M. Norton FCPA Compliance in China..... 40-12:137</p> <p>Hector Gonzalez and Claudius O. Sokenu Pitfalls of Attempts to Cooperate with Enforcement Agencies 40-11:127</p> <p>Ann H. Mathews and Edwin G. Schallert Market Timing in Variable Annuities: Trends in Regulatory Enforcement..... 40-10:123</p> <p>C. Stephen Bigler and Pamela H. Sudell Delaware Law Developments: Stock Option backdating And Spring-Loading 40-10:115</p>

2000 – June 2019 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Hector Gonzalez and Claudius O. Sokenu The Current Enforcement Environment and the Corporate Response	40-9:99	Brynn D. Peltz Investment Advisers of Offshore Funds	39-15:153
Larry E. Bergmann Soft-Dollar Arrangements under Section 28(e) of the Securities Exchange Act	40-8:87	Susan C. Ervin and Matthew F. Kluchenek Possible Breakthrough to Expanded Use of Futures by Investment Companies.....	39-14:151
Mark Perlow Managing Hedge Fund Conflicts of Interest	40-7:75	LizabethAnn R. Eisen Role of Underwriters' Counsel in Complying with the NASD's Corporate Financing Rule.....	39-14:141
Margaret Jacobs and Betty Santangelo The Anti-Money Laundering Regime for the Futures Industry	40-6:59	Gregory S. Bruch and Jessica L. Matelis Enforcement Practice Before the PCAOB.	39-13:131
Marc H. Folladori, Michael Hermsen, and Saul R. Laureles SEC Overhauls Executive Compensation Disclosure Rules.....	40-5:47	Glen Barrentine and Thomas Kuczajda Equity-Indexed Annuities: Regulatory Trouble for the Unwary.	39-12:119
Alice F. Yurke Developments Affecting Commodity-Linked Security Products	40-4:41	Anna T. Pinedo Legal and Regulatory Developments Relating to Structured Products.	39-11:109
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 Jerry A. Isenberg Lawyers as Gatekeepers: An SEC Enforcement Perspective.	39-10:97
Gary DiBianco and Andrew M. Lawrence Investigation and Reporting Obligations under Section 10A of the Securities Exchange Act	40-3:25	Robert B. Robbins and Philip L. Rothenberg Writing Risk Factor Disclosure in Exchange Act Reports.	39-9:87
Brian T. Casey and Eric L. Marhoun Broker-Dealer Participation in Life Settlements of Variable Insurance Policies	40-2:21	Nicolas Grabar New Form 20-F Requirements for 2006.	39-8:79
Jessica A. Clarke and Jacqueline C. Wolff Liability under the Foreign Corrupt Practices Act	40-2:13	Inez H. Friedman-Boyce and Carl E. Metzger Defending Venture Capital Firms in Securities Litigation.	39-8:63
Thomas Kuczajda and Sharon Rose Supervising Sales of 529 Plans: Not as Easy as 1-2-3.....	40-1:1	John H. Eickemeyer SEC Actions against Accountants under Section 10A of the Exchange Act	39-7:53
2006			
Matthew Farley Arbitrating with People Who Are Not Parties to the Agreement.....	39-22:245	Marc Recht and Dennis J. White Sarbanes-Oxley's Continuing Impact on Middle-Market M&A	39-7:47
David Seide Compelled Waivers of the Attorney-Client Privilege	39-21:235	Daniel L. Goelzer and Marilyn Weimer Inspecting the Watchdogs — An Overview of the PCAOB's Inspection Program.....	39-6:35
Cristina Alger and Lori A. Martin State Regulators and the Mutual Fund Industry	39-20:219	Christopher L. Padurano and Charles A. Ross Resolving Criminal Securities Fraud Cases.	39-5:23
Mark D. Young Policing Energy Price Manipulation: Whose Beat? What Rules? ...	39-19:207	Jack Weinberg Books and Records Retention and Disclosure in the Electronic Age ...	39-4:15
Rebecca F. Ebert and Barry W. Rashkover SEC Enforcement in the Cox Era	39-18:185	Terri Seligman Email Marketing: Legal Overview and Compliance Guidelines	39-3:9
Thomas A. Hanusik Sarbanes-Oxley: Broader Statutes, Bigger Penalties.....	39-17:177	Janet L. Fisher and Leslie N. Silverman Director Due Diligence after WorldCom.....	39-2:1
Kathleen Fuentes and Domenick Pugliese Role of Electronic Media and the Use of the Internet under the Federal Securities Laws	39-16:169	Lorraine Bellard and Jeffrey Plotkin Act-of-Production Privilege in SEC Proceedings	39-1:289
Seth Aronson, Kristina Hersey, and Amy Longo Preemption of "Holder" Class Actions under SLUSA	39-15:163	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

2000 – June 2019 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Lawrence M. Gill		Steven B. Caruso	
International Financial Reporting Standards	38-20:251	Arbitrator Training in the Securities Dispute Arena.....	38-1:8
Richard L. Gallagher and Robert P. Varian		Paul W. Goldstein, Rochelle S. Hall, and Thomas J. McGonigle	
Loss Causation in Securities Class Actions after <i>Dura</i>	38-19:241	Risk Management for Broker-Dealers.....	38-1:1
Norman S. Poser		2004	
Regulation NMS	38-18:229	Kevin D. Finger, The Honorable Erwin I. Katz, and Robert W. Lannan	
Christopher S. Petito and Angela R. Thompson		Sarbanes-Oxley and Publicly Traded Corporations in the Zone	
Practical Tips for Handling Regulatory Inspections	38-17:215	of Insolvency	37-22:262
Margaret Jacobs and Betty Santangelo		Emily M. Zeigler	
Mutual Fund Compliance and the Anti-Money Laundering		New CFTC Rules for CPOS and CTAS.....	37-22:257
Regulatory Regime	38-16:201	Marc Morgenstern and Peter Nealis	
Peter D. Cripps, Ian A. Hartman, and William G. Lawlor		The Impact of Sarbanes-Oxley on Mid-Cap Issuers.....	37-21:245
Doing Public M&A Deals in Pennsylvania: Minesweeper		Michael L. Cypers, William H. Forman, and John M. Landry	
Required	38-15:191	The Future of Loss Causation	37-20:235
Paul B. Uhlenhop		Thomas J. Sherrard	
Critical Elements of an Effective Supervisory Structure	38-14:173	What Is a Security – Revisited	37-19:227
Bradley C. Faris and Mark D. Gerstein		Donald W. Glazer and Keith F. Higgins	
Special Negotiating Committees	38-13:157	Securities Exchange Act Section 16: Short Answers to Quick	
Kathleen K. Clarke and Paul M. Miller		Questions under the New Rules and Forms.....	37-18:207
New Mutual Fund Redemption Fee Rule	38-12:151	Helene T. Glotzer	
Timothy B. Parker		Recent Trends in SEC Enforcement Remedies	37-17:185
Soft Dollars Reconsidered, Again	38-12:141	Gary Simon	
Matthew C. Baltay, John H. Henn, and Brandon F. White		New Audit Committee Rules	37-16:167
Anonymous Sources in Securities Class Action Complaints	38-11:131	Jeffrey C. Blockinger and Rebecca M. Palmer	
Mark A. Borges		Hedge Fund Managers in the Era of Heightened Regulatory	
FASB's New Accounting Standard for Stock-Based		Scrutiny.....	37-15:159
Compensation	38-10:115	Michael S. Sackheim	
Tracy A. Nichols and Stephen P. Warren		False Reporting of OTC Energy Transactions.....	37-14:149
Aiding and Abetting Liability under Section 10(B).....	38-9:105	Robert R. Stauffer, Seth A. Travis, and Anton R. Valukas	
Mari-Anne Pisarri		Enforcement Actions in the Post-Enron World: Zero Tolerance	
Raising the Bar: Investment Adviser Codes of Ethics	38-8:97	in the White-Collar Arena.....	37-13:133
Sarah E. McCallum and Warren R. Stern		Richard W. Helm and Frederick B. Lohr	
The Private Securities Litigation Reform Act: Ten Years after	38-7:89	European Regulation of Investment Funds	37-12:121
Jeffrey D. Karpf and Leslie N. Silverman		Allan Horwich	
The SEC's Securities Offering Reform Proposals:		New Form 8-K and Real-Time Disclosure.....	37-11:109
Will This Ship Sail?	38-6:63	Jennifer L. Chunias and Carl E. Metzger	
Michael Delikat, Renee B. Phillips, and Jill L. Rosenberg		Two Years after Sarbanes-Oxley: Assessing the Impact on	
Whistleblowing Claims under Sarbanes-Oxley	38-5:51	D&O Liability Insurance	37-10:99
Kenneth J. Berman and Elizabeth N. Kaplan		Kelly H. Zinser	
The New Fund Governance Standards	38-4:33	New Issues Are the New Hot Issues — An Overview of	
Vincent J. Badolato and Dennis J. Lawson		NASD Rule 2790.....	37-9:94
Identifying and Managing Conflicts of Interest	38-3:25	John H. Henn, Kalun Lee, and Stephen C. Warneck	
Daniel Aronowitz		The Lead Plaintiff and Lead Counsel Provisions of the PSLRA:	
The New Rescission Rules for D&O Insurance Policies	38-2:13	A Defense Perspective	37-9:83
		Daniel L. Goelzer and Marilyn Weimer	
		An Audit of Internal Control over Financial Reporting —	
		The New PCAOB Standard	37-8:71

2000 – June 2019 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Roberto M. Braceras		Paul Ferrillo and Erin J. Law	
Late Trading and Market Timing	37-7:61	Class Certification and the ‘Most Adequate’ Plaintiff	36-12:141
Seth Aronson and Amy J. Longo		Ira H. Jolles	
Current Issues under the Securities Litigation Uniform Standards		Sarbanes-Oxley: The New Audit Committee and the Exercise	
Act.....	37-6:51	of Due Care	36-11:133
Steven B. Nadel		Mari-Anne Pisarri	
U.S. Regulation of Private Investment Funds	37-5:45	SEC Adopts New Proxy Voting Rules	36-11:127
Kit Chaskin, Venus S. McGhee, Neil B. Posner, Carolyn H. Rosenberg, and		William D. Edick	
Duane F. Sigelko		For Accountants, a Brave New World	36-10:119
Negotiating D&O Policies: Key Terms and Conditions.....	37-4:31	Kelly H. Zinser	
Kathleen K. Clarke and Paul M. Miller		Why ‘Best Execution’ Is in Your ‘Best’ Interest	36-9:113
Compliance Programs of Registered Investment Advisers and		Martin F. Doublesin and Marc H. Folladori	
Investment Companies.....	37-3:26	Developments in Executive Compensation Disclosures	36-8:107
Stephen P. Younger		Michael L. Cypers	
Damages in Securities Litigation	37-3:19	Trial of an Accountant Liability Case: A Defendants’	
Marc Morgenstern		Attorney’s Perspective.....	36-7:100
Off-Balance Sheet Disclosures in MD&A	37-2:9	N. Robert Stoll	
Paul R. Bessette, Blair C. Hedges, and Steven S. Kaufhold		Trial of an Accountant Liability Case: A Plaintiff Lawyer’s Tips	36-7:91
Defending Securities Class Actions Involving Accounting		James J. Junewicz	
Restatements.....	37-1:1	The SEC’s Recent Enforcement Actions under Regulation FD	36-6:83
2003		David A. Bell and Richard L. Dickson	
Sylvia M. Mahaffey, Lilyanna L. Peysner, and Robert B. Robbins		Dilutive Venture Capital Financings of Distressed Companies	36-5:73
Regulation D Offerings and the Internet	36-22:259	John J. Huber and Thomas J. Kim	
Philip H. Harris and Wei-Li F.X. Tjong		The Sarbanes-Oxley Act of 2002 and Commission Rulemaking –	
Regulatory Issues in Private Placements		Part II	36-4:51
of Hedge Fund Securities.....	36-21:249	John J. Huber and Thomas J. Kim	
Vincent R. Cappucci		The Sarbanes-Oxley Act of 2002 and Commission Rulemaking –	
Securities Class Actions: Settlements	36-20:243	Part I.....	36-3:27
William E. Donnelly and Thomas J. McGonigle		Gregory V. Varallo	
Research Analysts’ Conflicts: The Regulatory Response	36-20:235	Funding Directors’ Litigation Costs	36-2:22
Terrance J. O’Malley		Kathleen H. Moriarty and David W. Selden	
The SEC Revises and Modernizes the Advisers Act		Developments in Exchange-Traded Funds	36-2:11
Custody Rule	36-19:225	Julien Bourgeois and George J. Mazin	
James C. Hartman, Jennifer S. Martinez, and Mark D. Pollack		Preparing for an SEC Examination.....	36-1:1
Recent SEC Enforcement Cases	36-18:213	2002	
James N. Benedict and Christopher M. Joraleman		Mari-Anne Pisarri	
Primary Liability of Secondary Actors in Securities Fraud Cases... ..	36-17:205	When Two Worlds Collide: The Interplay Between Broker-Dealer	
Inez H. Friedman-Boyce and Brian E. Pastuszynski		and Investment Adviser Regulation.....	35-22:271
Defending Outside Directors in Securities Litigation.....	36-16:191	S. Mark Hurd	
Gerald Audant, Sara B. Brody, James E. Burns, and Robert P. Varian		Indemnification of Directors and Officers under Delaware Law	35-21:262
Trying Securities Class Actions in the Post-Enron Era	36-15:177	Stuart M. Grant and Megan D. McIntyre	
Jay G. Baris		Class Certification and Section 18 of the Exchange Act.....	35-21:255
Anti-Money Laundering: Rules for Investment Companies.....	36-14:165	Allan Horwich	
Steven Drachman		New Requirements for Disclosure of Financial Condition under	
The SEC’s Company Act and Advisers Act Agenda	36-13:149	the Federal Securities Laws	35-20:243

2000 – June 2019 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Guy P. Lander		Jonathan M. Hoff and Jake P. Yanchar	
Using the Internet to Reduce the Costs of Securities Practice	35-19:237	Developments in Pleading under the PSLRA	35-2:13
Peter J. Anderson and Alana Rae Black		Jonathan M. Rich	
Accountants' Liability after Enron	35-18:227	Antitrust Enforcement in the Securities and Commodities Markets	35-1:1
Craig E. Chapman		2001	
Underwriters' Due Diligence Revisited.....	35-17:207	Paul B. Uhlenhop and Michael Wise	
Dean J. DiPilato, Brian E. Pastuszewski, and Christopher F. Robertson		Managing Regulatory Investigations and Examinations	
Loss Causation in Securities Litigation: A Defense Strategy Whose		for Cause.....	34-22:271
Time Has Come	35-16:194	David B. Harms	
Jeffrey C. Blockinger and Prufesh R. Modhera		Integration under the 1933 Act: The SEC Provides	
Selecting the Appropriate Type of Hedge Fund	35-16:185	New Safe Harbors.....	34-21:259
C. Evan Stewart		E. Paul Quinn	
Liability for Securities Lawyers in the Post-Enron Era	35-15:171	Due Diligence in Private M&A Transactions	34-20:253
Jerry A. Isenberg		Susan C. Ervin	
The <i>Seaboard</i> Section 21(A) Report: Promises and Perils	35-14:164	Single Stock Futures	34-19:243
James N. Benedict and Mary K. Dulka		Mark Bonham and Craig Norris	
Recent Developments in Litigation under		Recent Legal and Accounting Issues in Initial Public Offerings	34-18:233
the Investment Company Act of 1940.....	35-14:151	Leo F. Orenstein	
Michael Berenson and Christopher D. Menconi		The NASD and the Constitutional Right to Remain Silent.....	34-17:225
To Boldly Go Where No Securities Offering Has Gone		Richard F. Jackson and James T. McHale	
Before: Paperless.....	35-13:137	Financial Privacy and Regulation S-P:	
Elizabeth Knoblock		An Analysis of Selected Issues	34-17:217
Investment Advisory Sales: Best Practices	35-12:129	Jonathan L. Lewis and Howard J. Roin	
Martin Budd and Shawn Wooden		Due Diligence Investigations: A Litigator's Perspective	34-16:209
Analysts' Conflicts of Interest.....	35-12:119	Rose F. DiMartino and Niral P. Kalaria	
Paul B. Uhlenhop		Investment Adviser Code of Ethics.....	34-16:197
Anti-Money Laundering Provisions for Broker-Dealers.....	35-11:107	Ethan D. Corey	
Paul B. Uhlenhop		Display and Execution of Customer Limit Orders	34-15:185
Security Futures – A New Frontier	35-10:97	Kenneth J. Berman and Shannon Conaty	
Caroline Krass Levy and Betty Santangelo		Disclosure of Mutual Fund after-Tax Returns	34-14:172
New Anti-Money Laundering Rules for the Futures Industry	35-9:85	Rochelle S. Hall, Thomas J. McGonigle, and M. Elizabeth Parks	
Peter M. Casey, Christian M. Hoffman, and Stephen C. Warneck		NASDR Examinations: Priorities and Procedures.....	34-14:165
The SEC's New MD&A 'Suggestions'	35-8:73	Daniel S. Drosman and Jordan Eth	
Daniel J. Kramer and Megan Elizabeth Murray		The Private Securities Litigation Reform Act:	
Extraterritorial Application of United States Securities Laws to		Five Years Young	34-13:153
Punish Insider Trading.....	35-7:65	Jay G. Baris	
Robert B. Robbins		The New Fund Governance Standards	34-12:135
The Fiduciary Duties of Directors of Corporate General Partners:		Margaret A. Jacobs, Daniel J. Kramer, and Betty Santangelo	
Ten Years after <i>USACAFES</i>	35-6:57	Suitability in Cyberspace	34-11:123
James C. Creigh and Michael S. Dorf		Tuuli-Ann Ristkok	
Earn-Outs and Other Deferred Consideration Rights	35-5:49	Exchange-Traded Funds	34-10:109
Michael S. Caccese		Michael S. Sackheim and Jane Kang Thorpe	
Revised Performance Presentation Standards.....	35-4:39	Equity Derivatives under the Commodity Futures	
Jeffrey C. Blockinger and Stephanie M. Monaco		Modernization Act	34-9:103
Operating a Hedge Fund in a Regulated Environment.....	35-3:27		

2000 – June 2019 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Mark D. Young The Commodity Futures Modernization Act of 2000: Twenty Questions on the Commodity Futures Modernization Act.....	34-9:89	Matthew A. Chambers Web Compliance Issues for Investment Advisers.....	33-16:187
Sandra Folsom Kinsey Foreign Private Issuers	34-8:79	Alan L. Dye and Peter J. Romero Developments under Section 16: (Part 2 of Two Parts)	33-15:171
Jeffrey O. Himstreet and Neal E. Sullivan Investment Adviser Trading Issues.....	34-7:69	Alan L. Dye and Peter J. Romero Developments under Section 16: (Part 1 of Two Parts)	33-14:155
Kenneth B. Winer and Samuel J. Winer Effective Representation in the SEC Wells Process.....	34-6:59	Mari-Anne Pisarri Personal Trading by Advisory Personnel: The Seven Deadly Sins.....	33-13:143
Christian J. Mixter Web-Based Investment Advisers and Commodity Trading Advisors	34-5:47	Patrice M. Pitts Using Electronic Media to Offer and Sell Securities	33-12:135
Steven B. Boehm and Cynthia M. Krus The Business Development Company Solution	34-4:39	Neil S. Lang and Mark D. Perlow Earnings Management: Swept Away?	33-11:123
David E. Webb High Yield Offerings in the U.S. & Europe	34-3:27	David B. Bayless and John A. Kelley The Changing Role and Composition of Audit Committees.....	33-10:109
Peter Q. Bassett and Kelly C. Wilcove State Court Securities Litigation after the Uniform Standards Act	34-2:15	Joran Eth and Christopher A. Patz Securities Litigation and the Outside Director.....	33-9:95
Alan L. Dye and Peter J. Romero The SEC's New Insider Trading Rules	34-1:1	Stanley Keller Securities Law Considerations in Negotiated Acquisitions.....	33-8:83
2000			
A. Robert Pietrzak and Andrew W. Stern Standard Form Agreements in the Securities Field	33-22:259	Julie Allecta and Thoa H. Ngo The SEC's Soft Dollar Release.....	33-7:75
Patricia A. Gomez and Thomas L. Taylor III Recent Trends in "Failure to Supervise" Cases.....	33-21:251	Satish M. Kini Impact of the 1999 Financial Modernization Act on Investment Advisers and Investment Companies.....	33-7:69
Lawrence C. Tondell Disclosure Risks in Private Placements of Structured and Equity-Linked Repackagings.....	33-21:245	Kenneth B. Winer Securities Firms and the Foreign Corrupt Practices Act	33-6:61
James J. Junewicz The SEC Raises the Stakes in Issuer-Analyst Communications.....	33-20:237	Jay W. Eisenhofer and Stuart M. Grant Institutional Investors and Section 18 of the Exchange Act.....	33-5:54
Raymond D. Agran, John N. Ake, and Martha J. Hays Investment Company Act Pitfalls for Public Venture-Capital Companies	33-19:231	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
Robert A. Robertson Board Oversight of Mutual Fund Compliance Operations	33-18:220	Pamela J. Wilson Mutual Fund Advertising.....	33-4:31
Edward L. Pittman, Alan J. Reed, and Richard Y. Roberts Confusion in Cyberspace.....	33-18:213	Gregory N. Bressler Amendments to the Code of Ethics Rule under the Investment Company Act	33-3:19
Michael S. Sackheim Ethical Standards for New York Brokerage House Attorneys.....	33-17:199	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
		James C. McMillin Recent Developments in Litigation under the Securities Act of 1933.....	33-1:1