

THE REVIEW OF SECURITIES & COMMODITIES REGULATION

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

2000 – 2023 CUMULATIVE ARTICLE INDEX

Notes

Articles are listed in reverse chronological order with their authors.

	Vol.-No.:Pg		Vol.-No.:Pg
2023			
<p>Kenny S. Terrero, Matthew J. Kutner, and Bernie Zamichow Registered Investment Companies Look to Blockchain and Digital Securities to ‘Pull-Forward’ and Modernize Offerings.....</p>	56-22:313	<p>Paul M. Dudek The Unique Impact of Recent SEC Rules on Foreign Private Issuers</p>	56-16:227
<p>Daryl B. Robertson New Exemption From Federal Broker-Dealer Registration for M&A Brokers</p>	56-22:307	<p>Paula D. Shaffner and Brandon M. Riley Key Regulatory and Compliance Considerations for Small and Regional Broker/Dealers</p>	56-15:223
<p>Claire Rajan and Ayyan Zubair The Use of Data Analytics in Enforcement and Corporate Compliance</p>	56-21:301	<p>Matthew A. Schwartz and Aaron J. Blake Ethical Issues Arising From Client Deposition Perjury</p>	56-15:215
<p>Michelle N. Tanney and Edward J. Jacobs Federal Regulators Sharpen Focus on Personal Device Use and Off-Channel Communications.....</p>	56-21:295	<p>Rizwan A. Qureshi and Justin Angotti Solving Corporate Problems: Enforcement and Independent Investigation Under the Biden Administration</p>	56-14:209
<p>Christopher D. Christian and Katie Carter Finding Gold in Europe in Green While Maintaining Regulatory Compliance</p>	56-20:281	<p>Vadim Avdeychik and Emily Picard The Rise of Mutual Fund Alternatives: Collective Investment Trusts and Retail Separately Managed Accounts</p>	56-14:199
<p>Zachary Goldman, Zack Kessler, Lester Ross, and Kenneth Zhou Navigating Cross-Border Economic Sanctions: Ensuring Compliance and Mitigating Risks</p>	56-19:275	<p>Terri L. Chase, David Peavler, and Alexander J. Wilson Dealing with (And How Not to Deal with) Whistleblowers</p>	56-13:191
<p>Mark Cianci, Stefan Schropp, Antonia Miller, and Deborah Pabon Cifuentes Emerging Issues in Digital Asset Litigation: Discovery and Beyond.....</p>	56-19:265	<p>Elanit A. Snow and Peter T. Martin The SEC’s Proposed Rule for Reporting Large Security-Based Swap Positions</p>	56-13:183
<p>Christopher B. Horn and Jon A. Schlotterback Conflicts of Interest in Asset-Backed Securitization: An Analysis of Proposed Rule 192</p>	56-18:249	<p>Jenny Hochenberg, Madlyn Gleich Primoff, and Aashim Usgaonkar End-of-Life Options for Ex-SPACs</p>	56-12:175
<p>James Hu, Andrew Hammond, and Melissa Curvino Preparing the “Background of the Merger” Section in Merger Proxy Statement</p>	56-17:243	<p>Jennifer S. Leete, Elad Roisman, and Lisa M. Kohl SEC Regulatory and Enforcement Developments: What Boards of Directors and Audit Committees Need to Know</p>	56-12:167
<p>Dan Kahn U.S. Department of Justice’s Revised Compliance Guidance: DOJ Tackles Clawbacks and Ephemeral Messaging</p>	56-17:239	<p>Lianna Whittleton Recent Developments in Private Company Financing Trends.....</p>	56-11:163
		<p>Matthew L. Mustokoff Disaggregating the Causes of Stock Drops in Securities Fraud Cases.....</p>	56-11:157

2000 – 2023 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Michael L. Arnold and Lisa M. Kohl The SEC’s New 10B5-1 Rules and Emerging Insider Trading Policy Best Practices	56-11:151	Neal E. Kumar Under a Proposed Act, CFTC Would Have Laser Eyes to Regulate Crypto Spot Markets.....	56-1:1
2022			
Susan Gault-Brown Responding to the SEC Staff on the Custody of Digital Assets Under the 1940 Act.....	56-10:143	Benjamin Daniels, Arila Zhou, and Sabrina Galli Buzzfeed Case Highlights New Trends in SPAC Litigation	55-22:265
Lara C. Thyagarajan, Kathryn L. Alessi, and Allison R. Ferraris Regulation Best Interest: Emerging Arbitration, Regulatory, and Enforcement Developments.....	56-10:135	Corey F. Rose, Matthew E. Barsamian, Austin G. McComb, and Nadeea R. Zakaria The SEC’s Proposed Changes to Its Names Rule	55-22:257
James M. Koukios, Ruti Smithline, and Heather Han How Do Chief Compliance Officers Prepare for DOJ’s New Compliance Certification Policy?	56-9:127	Daniel Kahn DOJ’s New Guidance on Corporate Criminal Enforcement and the Impact on Securities and Commodities Cases	55-21:251
Lance C. Dial, Amy McDonald, and Jonathan Nowakowski SEC Modernizes Content and Delivery Requirements for Mutual Fund Shareholder Reports	56-9:119	Brian T. Casey and Ryan J. Last State Securities Acts Compliance Issues for Tertiary Market Life Settlement Policy Traders	55-21:243
Adam Aderton and Melissa Taustine SEC Enforcement Sweeps: Implications for Agency and Industry ...	56-8:113	Anne C. Choe, Benjamin B. Allensworth, and Matthew Haddadin Significant Proposed SEC Rules for Advisers to Private Funds.....	55-20:231
William D. Semins and Julie F. Rizzo Building an Effective ESG Program	56-8:103	Matthew Bisanz, Matt Kluchenek, and Anna Easter The ABCs of LEIs – And What You May Not Know.....	55-19:225
Brian A. Jacobs and A. Dennis Dillon Use and Knowing Possession: An Old Debate Gains New Relevance Amidst the Government’s Latest Insider Trading Enforcement Push.....	56-7:91	Betty Santangelo, Melissa G.R. Goldstein, and Hannah Thibideau AML Recent Developments: What Practitioners Need to Know	55-19:219
Scott Walker and Neel Maitra Crypto Asset Custody by Investment Advisers after the SEC’s Proposed Safeguarding Rule.....	56-6:75	Michael M. Farhang and Jeamine Lemker Flagging FCPA Misconduct in Virtual Work Environments	55-18:213
John C. Browne and Lauren A. Ormsbee Section 11’s Tracing Doctrine Goes Up to the Supreme Court	56-5:67	Anita Bandy and Christopher Herlihy FCPA Enforcement Trends: Increased Risk Profile and Considerations for Corporate Gatekeepers.....	55-18:203
Zane David Memeger The Monaco Memo and Evaluating the Benefits and Risks of Voluntary Self-Disclosures.....	56-5:59	Eric Goldberg The CFPB’s Authority to Regulate Cryptocurrency Products and Services	55-17:191
Alyse A. Sagalchik and Lawrence D. Levin 2023 Proxy Season Updates	56-4:55	Jina Choi and Christin Hill ESG Litigation: SEC Enforcement and Private Actions	55-16:185
Derek Steingarten and Aaron Russ Adapting to Change in Proxy Voting Duties of Investment Advisers and Registered Investment Companies	56-4:45	Leo Tsao and Kenneth Herzinger Non-Fungible Tokens: Compliance Risks and Beyond	55-16:175
Robert Johnston, Matthew Boxer, Rachel Maimin, and Alessandra Moore Compliance Monitors are Once Again “In Vogue”.....	56-3:37	Erin E. Martin, Sarah V. Riddell, Steven Lightstone, Jacob Minne, and Christina Wlodarczyk Investing in Crypto Asset Startups: Regulatory Considerations in an Ever-Evolving Market	55-15:163
Harris L. Kay, William E. Walsh, and Alexandra J. Marinzell Futures Markets Enforcement Trends	56-3:29	Rebecca Boon and Brittney Balser Five Years after #MeToo Goes Mainstream	55-14:159
John Rizio-Hamilton, Jesse L. Jensen, and Jasmine Cooper-Little 2022 Developments for Auditor Regulation Under the U.S. Securities Laws.....	56-2:21	Brandon M. Hammer and Kathryn Witchger Facilitating Cross-Margining: Treasury Market Trades and Interest Rate Futures	55-14:151
Andrew Ceresney, Kristin Snyder, Charu Chandrasekhar, and Stephen Petraeus The SEC’s Use of Data Analytics in Examinations and Enforcement Investigations.....	56-2:13	Brian J. Baltz and John V. Ayanian Broker-Dealer and Investment Adviser Account Recommendations	55-13:139

2000 – 2023 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Matthew A. Schwartz and Austin P. Mayron Ethical Issues in the Use of Private Investigators and Confidential Witnesses	55-12:133	Eric M. Diamond The Volcker Rule: New Exclusion for Qualifying Venture Capital Funds	54-21:261
Richard Hall and Daniel K. Zach Antitrust Developments in M&A	55-12:123	Victoria S. Forrester, Udi Grofman, and Matthew B. Goldstein Life after the End of the Life of a Private Fund.....	54-21:255
Albert Stieglitz, Paul Monnin, and Alicia Badley Post-COVID Corporate Anti-Corruption Enforcement: Ready for Liftoff?.....	55-11:113	Thomas Firestone and Terence Gilroy Criminal Proceeds: When Does the “Taint” Expire?.....	54-20:251
Kenneth K. Dort and Mitchell S. Noordyke The California Privacy Rights Act Leads the Way on Wave of State Privacy Legislation	55-10:107	Andrew Fabens, Julia Lapitskaya, and Matthew Dolloff Key Governance Considerations in Initial Public Offerings.....	54-20:241
Ryan Fayhee, Tyler Grove, and Anna Hamati Recent United States Sanctions on Russia.....	55-10:101	Jay G. Baris A Divided SEC (Finally) Adopts Sweeping Rule Governing Fund Use of Derivatives	54-19:229
Sean M. Murphy, Jed M. Schwartz, and Gary A. Crosby II Recent Developments Regarding Books and Records Demands to Mutual Funds	55-9:85	Brian O’Bleness, Matthew A. Lafferan, Meagan A. Edmonds Cross-Border Investigations in a “Flat” Investigation World	54-18:217
James M. Koukios, Victor Lopez, and Ruti Smithline Anti-Corruption Enforcement Trends in Latin America: Look Back to Look Ahead.....	55-8:79	Paulita Pike and David M. Geffen Fund Directors’ Oversight of Investments in Cryptocurrencies and Other Digital Assets.....	54-17:211
David A. Herman and Allysha Hall Enforcement of Third-Party Releases Ordered by Foreign Courts.....	55-7:71	Kelley A. Howes Preparing for and Managing an SEC Examination of a Registered Investment Adviser	54-17:205
Gail Weinstein, Scott B. Luftglass, Steve Epstein, and Phil Richter Recent Developments in Delaware M&A Disclosure.....	55-6:59	Jeffrey A. Letalien SPAC Business Combinations: An Alternative to Traditional IPOs	54-16:197
Christopher J. Cestaro and Jon C. Weingart Recent Developments Under the Accounting Provisions of the FCPA	55-5:53	Silpa Maruri and Owen Roberts Recurring Themes in COVID-19 “Busted Deal” Litigation	54-16:189
Christina M. Thomas De-Listing of Foreign Companies – Legislative and SEC Developments	55-5:49	Robert L. Hickok, Jay A. Dubow, and Kaitlin L. Meola The SEC’s Whistleblower Program – The Amended Rules and Post- Amendment Developments	54-15:185
Jenny Hochenberg and Justin C. Clarke SPAC Litigation: Current State and Beyond	55-4:33	Sergio Alvarez-Mena and Carly Roessler AMLA for Broker-Dealers: A New Paradigm	54-15:177
James G. Lundy, Nicholas A.J. Wendland, and David Yoshimura The Evolution of Spoofing Enforcement and ... Avoidance	55-3:25	Robert G. Houck, David Yeres, Benjamin Peacock, and Brendan Stuart Developments in Commodities Law 2020 – An Uncommon Year in Review	54-14:165
Anne M. Termine and Annie Willett CFTC Enforcement Program 2020-2021: The Swaps Market Under Review	55-2:13	Darshak Dholakia and Melissa Duffy Status of U.S. Sanctions and Other Trade Restrictions on China	54-13:153
Ranah Esmaili and Ryan Parchment The SEC’s Scrutiny of Insider Trading in an Era of Alternative Data.....	55-1:1	Douglas K. Yatter, Sohom Datta, and Cameron J. Sinsheimer Insider Trading in Commodities Markets: An Evolving Enforcement Priority.....	54-12:143
2021		Tyler J. Leavengood, Jaclyn C. Levy, and Justin T. Hymes The Duty of Disclosure for Corporate Officers: Avoiding Liability in the Face of Growing Litigation Trend.....	54-12:133
Paul M. Architzel and Aaron Friedman Swap Execution Facilities	54-22:275	Neal Kumar The CFTC (Finally) Adopts Speculative Position Limits.....	54-11:123
Amy J. Greer and Gavin M. Meyers Preparing for Regulatory Examinations Evaluating the Digitization of Trading and Investment Advice	54-22:269	Lyle Roberts The Ninth Circuit’s Recent Decisions on the Pleading of Loss Causation in Securities Fraud Cases.....	54-10:117

2000 – 2023 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Peter K.M. Chan, Amy J. Greer, and Kristal D. Petrovich SEC Enforcement Will Expand Its Policing of Public Companies Under the Biden Administration	54-10:111	Nathan Briggs and Timothy Parrington Closed-End Fund Offering Reform: The Short-Form Registration Process	53-19:227
H. Gregory Baker, Rachel Maimin, Andrew Reidy, and Joseph Saka Novel Securities Liabilities From the Coronavirus and Utilizing Insurance to Manage the Risk.....	54-9:107	Gayle E. Littleton, Charles D. Riely, Philip B. Sailer, and Grace C. Signorelli-Cassady Practical Implications of Supreme Court’s Decision Related to SEC’s Disgorgement Remedy	53-18:223
Bryan Brown, Eryn Roberts, and Michael Vance Exchange Act Disclosure in a COVID-19 Pandemic Environment...	54-9:101	Stephanie A. Capistrone, Jeremy I. Senderowicz, and Aiman Tariq Recent Developments in ETF Regulation	53-18:215
Laura D. Richman and Christine M. McDevitt MD&A Tune-Up	54-8:89	Deborah Festa and Andrew Keller Volcker Rule Amendments: Back to the Future for CLOs?	53-17:211
Kathryn King Sudol and Michael Chao The Effects of COVID-19 on Negotiated M&A Transactions	54-7:77	Anne M. Termine, Uttara Dukkupati, and B. Graves Lee Managing the Risk: An Overview of CFTC Swap Dealer Enforcement Actions under Dodd-Frank	53-17:201
Julien Bourgeois, Nicholas Di Lorenzo, and Christopher Dotson Environmental, Social, and Governance Investing Considerations in the U.S. and the EU	54-6:65	Jeffrey T. Scott SEC Enforcement Priorities and Trends	53-16:189
Alex M. Madrid and Natasha S. Cooper Turbulent Seas Ahead: New Arbitration Issues for Broker- Dealers.....	54-5:55	Philip T. Hinkle and Audrey Wagner Recent Developments Affecting Commodity Pool Operators and Commodity Trading Advisors	53-15:179
Jose Martin Anti-Corruption Compliance and FCPA Enforcement in Latin America.....	54-4:49	Ann Sultan, Matteson Ellis, and Andrew T. Wise Addressing and Deterring Corporate Misconduct During and After COVID-19	53-14:175
Judith Alison Lee, Adam M. Smith, Stephanie Connor, Jesse Melman, Scott Toussaint, Samantha Sewall, and Audi K. Syarief Sanctions Enforcement Trends in the Era of COVID-19	54-4:41	Paul M. Architzel, Elizabeth L. Mitchell, and Matthew Beville CFTC Enforcement and Regulatory Developments.....	53-14:167
Daren R. Domina and Timothy J. Piscatelli Examining and Managing Risks Associated with Outsourcing Compliance Functions	54-3:33	Roger A. Cooper, Jared Gerber, Mark E. McDonald, and Leslie N. Silverman Delaware Supreme Court Green Lights Federal-Forum Charter Provisions.....	53-13:161
Richard D. Marshall and Mark D. Goldstein SEC Enforcement Actions Against Fund Advisers.....	54-3:25	Stephen E. Roth, Dodie C. Kent, and Ronald D. Coenen, Jr. SEC Adopts Groundbreaking Disclosure Improvements for Variable Insurance Contracts.....	53-13:151
Ronald C. Machen and Cadene Russell Brooks When “Gatekeepers” Become Whistleblowers: A Focus on Compliance Professionals in SEC Enforcement Actions	54-2:13	Andrew J. Pitts, D. Scott Bennett, Michael E. Mariani, and Melanie R. Cook Direct Listings: Going Public without an IPO	53-12:139
Daniel Nathan, Heather Sussman, and Colleen Hespeler Regulatory Expectations for Cybersecurity Practices at Broker- Dealers.....	54-1:1	Amy D. Roy, Jonathan R. Ference-Burke, and Hannah C. Vail Refocusing the <i>Jones</i> Analysis: New Trends in Excessive Fee Litigation.....	53-11:131
2020			
Sean M. Murphy, Robert J. Liubicic, and Ayana Sumiyasu Judicial Deference to Mutual Fund Boards: Lessons From Post- <i>Jones</i> Excessive Fee Litigation.....	53-22:267	Robert A. Cohen and Angela W. Guo The SEC and FINRA’s Use of Big Data in Investigations . . . and the Implications for Defense Counsel.....	53-11:125
Kelli L. Moll and Omoz Osayimwese Key Considerations and Tactics in Negotiating Side Letters for Private Funds.....	53-21:259	Gregory A. Markel and Sarah A. Fedner Two Areas for Reform in Securities Litigation.....	53-10:113
Amy Doberman, Phillip Gillespie, and Seth Davis SEC Proposes New Framework for Fund Valuation Practices.....	53-21:251	Tai Park and Thomas Eninger Global Anti-Corruption Enforcement: American Style.....	53-9:101
Susan Schroeder Predicting Regulation Best Interest Enforcement Priorities	53-20:239	James G. Tillen and Chervonne Colón Stevenson Managing FCPA Risk While Fulfilling Local Content Requirements	53-8:95

2000 – 2023 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Roger Cooper, Jared Gerber, and Les Silverman The Latest in the Toshiba Securities Litigation: Perils for Foreign Issuers	53:8-89	Richard D. Marshall and Mark D. Goldstein SEC Focus on Private Equity: It's Back!	52-18:213
Jennifer Wisinski and Rachael Apfel Current Trends in Indemnification Provisions in Acquisition Agreements	53-7:81	Jeremy Kuester Structured Finance Special Purpose Vehicles and FinCEN's CDD Rule	52-17:205
Brian A. Jacobs and Joshua Bussen Sentencing in Recent Insider Trading Cases: What Judges Have Said and Done	53-7:73	Kathleen S. McArthur and Daniel J. Lasko CFTC Enforcement Advisory on Foreign Corrupt Practices	52-17:201
Baris, Jay G. Derivatives Redux: A Historical Perspective as the SEC Proposes Rules Governing Investment Company Use of Derivatives	53-6:57	Neal R. Marder and Kelly Handschumacher Legal Ethics Considerations in Class Action Litigation	52-16:195
Tom Hanusik, Rebecca Monck Ricigliano, and Nimi Aviad The Rise of Insider Trading as a Title 18 Offense	53-5:49	Adam Lurie, Doug Davison, and Sean Solomon Corporate Compliance Programs Take Center Stage in 2019 with New Guidance From the DOJ and OFAC	52-16:189
Jennifer D. Riddle and Peter S. Larson FCPA Risks in M&A Transactions	53-4:43	Hillary H. Holmes and Jordan G. Rex Updates to the Public Company Disclosure Rulebook	52-15:173
Maeve O'Connor, Elliot Greenfield, and Tristan M. Ellis <i>Caremark</i> Claims: "Mission Critical" Compliance Risks and a Board's Duty to Monitor	53-4:37	Phyllis G. Korff and Candace R. Jackson Preparing 2019 Registration Statements and Annual Reports: What Foreign Private Issuers and their Counsel Need to Know	52-14:167
Brian Neil Hoffman Cybersecurity Considerations for Public Company Auditors	53-3:31	Issa Hanna Broker-Dealers Selling Annuities: Preparing for the Best-Interest Standard	52-14:161
Fatema Merchant and Reid Whitten The Impacts of Foreign Investment Regulation on Venture Capital	53-3:25	Ralph C. Ferrara, Erica Taylor Jones, and Corey I. Rogoff SEC Breakthrough Brings Déjà Vu: <i>Lorenzo</i> Court Reclaims Expansive Scope of Federal Securities Laws	52-13:157
Julian E. Hammar SEC Adopts Recordkeeping and Reporting Rules for Security-Based Swaps	53-2:13	Stephen P. Wink, Naim Culhaci, and Deric Behar Digital Advice Platforms: Compliance and Legal Challenges	52-13:149
Stephen P. Wink, Witold Balaban, John J. Sikora, Jr., and Miles P. Jennings Digital Asset Regulation: <i>Howey</i> Evolves	53-1: 1	Gary O. Cohen SEC Proposes Summary Prospectus for Variable Insurance Products	52-12:143
2019		Joseph A. Hall <i>Howey</i> , <i>Ralston Purina</i> and the SEC's Digital Asset Framework ...	52-12:137
Vadim Avdeychik Responsible Investing: Legal and Compliance Considerations for Asset Managers	52-22:271	Vincent E. Lazar and William A. Williams Cleared Derivatives Markets — Customer Protection and Resolution Tools	52-11:125
Christopher D. Carlson Consecutive Private and Public Offerings for Registered Funds	52-21:261	Sarah F. Warren Maintaining Privilege Protection of Internal Investigations	52-10:119
Charles R. Mills and Stacie R. Hartman The CFTC's Enforcement Manual: Key Content and Use for Practitioners in CFTC Investigations	52-21:255	Cheryl L. Haas and Alex M. Madrid Regulatory Developments for Dual Registrants	52-10:113
Frank Zarb When Passive Hedge Funds Decide to Become Activist	52-20:247	William D. Semins and Jared Kephart The Growing Importance of Fully Integrated Compliance Programs	52-9:105
Matthew A. Schwartz and Michael R. Mayer Issues and Trends in Event-Driven Securities Class Actions	52-20:239	Corin R. Swift, Benjamin L. Nager, and Jordan S. Schwartz Regulatory Focus on "High-Risk" Registered Representatives and Recidivism	52-9:97
C. Edward Dobbs Dealing with Emotions in the Resolution of Business Disputes	52-19:227	Meredith Kotler and Mark McDonald Developments in M&A Litigation	52-8:85
Jason H. Smith Goodwill under Scrutiny: How the SEC is Increasingly Targeting Goodwill Impairments and Ways to Reduce Risk	52-18:221		

2000 – 2023 CUMULATIVE ARTICLE INDEX

	Vol.-No.:	Pg.		Vol.-No.:	Pg.
Brian L. Rubin and Rebekah R. Runyon			Michele D. Johnson, Blair Connelly, and Janet J. Hsu		
Hiring and Using Compliance Consultants	52-7:	77	The Shift in Delaware Appraisal Litigation	51-16:	197
Martin L. Seidel and Mary Eaton			John C. Partigan		
The Supreme Court’s <i>Cyan</i> Decision: Implications for Securities			Going Public Without an IPO.....	51-16:	191
Class Actions.....	52-7:	69	Peter Lichtenbaum and Eric Sanderberg-Zakian		
David Woodcock and Alexandra Stanley			Reducing Third-Party Trade Compliance Risks	51-15:	187
Issuer Reporting and Disclosure: The State of SEC Enforcement.....	52-6:	57	Paul M. Dudek		
Avi Gesser, Matthew Kelly, and Samantha Pfothenauer			Current SEC Initiatives Impacting Foreign Private Issuers.....	51-15:	179
The Expanding Role of Lawyers in Addressing Cyber Risk at			Katherine Cooper		
Financial Firms.....	52-5:	45	Proposed Swap Dealer Capital Requirements: The CFTC’s Long		
George Zornada, Pablo Man, and Lindsay Grossman			Path Towards a More Risk-Based Approach	51-14:	173
Interval Funds Have Turned 25 and Are Increasingly Popular.....	52-4:	39	Gretchen Scott		
Melissa Sawyer and Emily Lichtenheld			EU General Data Protection Regulation: Is the U.S. Funds		
From Influential Stockholders to De Facto Controlling Stockholders:			Industry Ready?.....	51-14:	167
Recent Trends and Updates in Delaware	52-4:	33	Deborah Festa and Andrew Keller		
Brian Neil Hoffman			U.S. Risk Retention Rules: What Constitutes an Open-Market		
Implications and Opportunities of <i>Lucia v. SEC</i>	52-3:	27	CLO?.....	51-13:	159
Marc J. Fagel, Mark K. Schonfeld, and Dan Li			Charles Sweet		
SEC Enforcement Division Issues its 2018 Report Card.....	52-3:	21	The <i>LSTA</i> Case and the Future of Credit Risk Retention for		
Dwight C. Smith and Randy Benjenk			Securitizations	51-13:	151
Changes in Bank Regulation: The Economic Growth, Regulatory			William Ridgway, Jonathan Marcus, and Alexander Kasparie		
Relief, and Consumer Protection Act.....	52-1/2:	1	The Futures Industry and Cybersecurity	51-12:	143
2018			Sean M. Murphy, Robert J. Liubicic, and Lisa M. Northrup		
Benjamin D. Singer and David R. Fitzgerald			Mutual Funds and Securities Class Actions: A Square Peg in a		
International Financial Fraud Enforcement Trends in a Globalized			Round Hole	51-12:	135
World	51-22:	271	Kurt Wolfe		
Tracey Salmon-Smith and Jennifer Chawla			<i>Digital Realty</i> and the Narrowing of Whistleblower Protections	51-11:	123
Form U-5 Requirements for FINRA Member Firms.....	51-21:	265	Susan Gault-Brown		
Anna T. Pinedo			Structuring Options for Retail Crypto Fund Products	51-10:	117
Modernizing the Regulatory Framework for BDCs	51-21:	259	Lawrence D Finder and Lindsay Wright Brett		
Brian A. Jacobs			T, G, and E under the FCPA: How Much is Too Much?	51-10:	111
How Institutional Dynamics Have Shaped Insider Trading Law	51-20:	247	Matt Herrington, Jonathan Drimmer, and Brady Cassis		
Jay A. Dubow and Ying Zeng			FCPA Compliance: The Role of Data Collection and Analysis	51-9:	105
The Watchdogs Are Being Watched.....	51-19:	241	Claire N. Rajan		
Michael D. Allen and Robert B. Greco			The New Department of Justice FCPA Corporate Enforcement		
<i>Investors Bancorp</i> : Structuring and Approving Non-Executive			Policy	51-9:	99
Director Compensation to Avoid Judicial Review	51-19:	235	Benjamin Galdston		
Gwendolyn A. Williamson, Matthew S. Williams, and			Shareholder Litigation for Waste of Corporate Assets in Internal		
Thomas M. Ahmadifar			FCPA Investigations.....	51-8:	93
Developments in the Regulation of Fiduciary Investment Advice ..	51-18:	215	John Mark Zeberkiewicz and Robert B. Greco		
Kara Brockmeyer and Ada Fernandez Johnson			Determining and Disclosing the Effect of Broker Non-Votes.....	51-8:	87
Inside the Role of Brazil’s CVM in Anti-Corruption Cases.....	51-17:	211	Jay G. Baris and Joshua Ashley Klayman		
Warren T. Allen III and B. Michelle Bosworth			Blockchain Basics for Investment Managers: A Token of		
Multi-Jurisdictional Anti-Corruption Investigation and Enforcement			Appreciation.....	51-6/7:	67
Trends and Developments	51-17:	203			

2000 – 2023 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.
Mary J. Mullany Virtual-Only Shareholder Meetings – Are They a Good Idea for Your Company?	51-5:63
Michael Philipp, Akshay Belani, Christine Lombardo, and Sarah Riddell Recordkeeping: Recent Rule Amendments and Other Developments	51-5:55
Jeff Blumberg and Brian Jacobson Advertising and Social Media for Investment Advisers	51-4:49
Maeve L. O'Connor and Elliot Greenfield Cyan and the Future of Securities Class Actions in State Court	51-4:43
Christopher S. Petito Recent Staff Guidance on the Custody Rule under the Investment Advisers Act of 1940	51-3:37
Sarah L. Cave Caught in <i>Traffic</i> : The Scope of the SEC's Extraterritorial Authority	51-3:31
Sean Kane Iran Sanctions: Where Are We Now?	51-2:23
Paula Anderson The Changing Tide of Delaware Deal Litigation.....	51-2:15
Eric Simanek Regulatory Developments Relating to Actively Managed ETFs	51-1:7
Michael H. Huneke and Ashley R. Hodges FCPA Update: Third-Party Risks and Enforcement Actions	51-1:1
2017	
Richard M. Kosnik Recent Law Firm Publications Capital Markets	50-22:272
Wenchi Hu Technology Outsourcing by National Securities Exchanges and Registered Clearing Agencies	50-22:263
Mary P. Hansen, James G. Lundy, and Antoinette M. Snodgrass CFTC Enforcement: Best Practices and Recent Developments	50-21:251
Maia Gez The New Pay Ratio Disclosure.....	50-20:245
Arthur H. Kohn and Julia M. Rozenblit Executive Compensation Litigation Update	50-20:235
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
Colin Lloyd and Christian Artmann Re-Examining the CFTC's Regulation of Cross-Border Swaps Clearing and Trading Activities	50-18:211
Timothy D. Belevetz Cybersecurity Breaches: Avoiding Pitfalls.....	50-17:207
Jason E. Brown, Eva Ciko Carman, and Nicole Krea SEC Priorities for Private Equity and Real Estate Advisers	50-17:199
Tanuja Dehne, Anne Meyer, and Katayun Jaffari CEO Succession and Crisis Management`	50-16:191
Richard Marshall Supreme Court Imposes a Five-Year Statute of Limitations on SEC Disgorgement Claims.....	50-16:181
Nathaniel Lalone and Christopher Collins Market Structure: An Evolution From MiFID I to MiFID II.....	50-15:169
Anne P. Ray Navigating Conflicts of Interest in Securities Class Actions	50-14:161
Jeffrey P. Taft, Lawrence R. Hamilton, Stephen Lilley, and Matthew Bisanz The New York State DFS Cybersecurity Regulation: Preparing for Compliance	50-13:153
Elizabeth P. Gray and Catherine E. Fata Increased Use of Big Data in SEC Enforcement	50-12:145
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
Scott B. McBride <i>Salman v. United States</i> and Its Impact on Insider-Trading Enforcement.....	50-10:125
John M. Hillebrecht, Jessica Masella, and Adam Steene Managing a Global Regulatory Investigation — Unique Challenges in Cross-Border Investigations	50-9:109
Ronald S. Borod Esoteric ABS: Pushing the Envelope	50-8:93
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
Willa Cohen Bruckner and Matthew Barringer Margin for Uncleared Swaps: Practical Considerations for the Buy-Side	50-6:67
Rose F. DiMartino, Jay Spinola, Ryan P. Brizek, and James W. Hahn The SEC's "Swing Pricing" Rule.....	50-6:61
David Mortlock and Nikki M. Cronin Economic Sanctions Enforcement: Recent Trends and Lessons Learned	50-5:57
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
Tamer Tullgren The SBIC Advisers Relief Act	50-4:47
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

2000 – 2023 CUMULATIVE ARTICLE INDEX

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

2000 – 2023 CUMULATIVE ARTICLE INDEX

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

2000 – 2023 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
2014			
Jason M. Halper, Michael Delikat, Renee B. Phillips, Justin Bagdady, and Hannah M. Junkerman Corporate Whistleblowing – Key Issues in Responding to Possible Violations	47-22:291	John Servidio, Peter Tucker, and Ryan Taylor Time for a 2014 ISDA Master Agreement.....	47-9:99
Sean M. Murphy and Matthew J. Laroche <i>Halliburton</i> and the Fraud-on-the-Market Theory	47-21:283	Rex S. Heinke, Julia I. De Beers, and Elias Dabaie The Effect of Arbitration Agreements on Class Actions	47-9:91
Brent J. McIntosh Judicial Review of SEC Consent Judgments.....	47-21:275	Jeanine P. McGuinness U.S. Sanctions on Iran: The Joint Plan of Action for Containing Iran’s Nuclear Program	47-8:79
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	Herbert F. Janick III and John Lupton The SEC’s Policies on Civil Penalties and Admissions in Settlements	47-7:85
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	Richard M. Phillips, Jeffrey L. Bornstein, and Leanne E. Hartmann The SEC’s New Enforcement Program	47-7:79
Jessica Perry Corley and David W. Gouzoules Developments in Appraisal Litigation	47-18:241	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
Frank Aquila and Melissa Sawyer Perfect Pill, Imperfect Defense	47-18:231	Deanna Kirkpatrick The JOBS Act and IPOs	47-6:71
George Wang and Andrew Winerman Sanctions Developments in 2014.....	47-17:223	Rose F. DiMartino and Ryan P. Brizek Investment Company Performance: The Board’s Oversight Role.....	47-5:65
Deborah S. Birnbach and Morgan R. Mordecai Disclosure Hot Topics in M&A Litigation.....	47-16:211	Roberta A. Kaplan and Jacob H. Hupart Credit Rating Agency Litigation.....	47-5:59
Owen Pell, Gregory Stamer, Kim Haviv, and Joshua Elmore <i>City of Pontiac</i> : Second Circuit Further Limits When U.S. Securities Laws May Reach Non-U.S. Securities and Issuers.....	47-15:207	Richard Hall SEC Developments in M&A	47-4:55
Dan M. Berkovitz and Gail Bernstein Swap Dealer Chief Compliance Officer Requirements – First Year in Review	47-15:195	Michael M. Farhang and Chris Jung The Interplay Between Government Investigations and Civil Securities Litigation	47-4:43
Alan R. Gedrich and Christopher J. Zimmerman Alternative Funds in the Registered Fund Marketplace	47-14:183	Elissa J. Preheim and Bret A. Finkelstein Preparing an Effective PCAOB Statement of Position	47-3:37
Marc R. Ponchione, Heath P. Tarbert, and Gordon L. Miller Private Equity Funds and the Volcker Rule	47-13:171	Erica Schohn and Joe Penko Executive Compensation Issues: Planning for the Coming Proxy Season	47-3:31
Stephen M. Gill, Kai Haakon E. Liekefett, and Leonard Wood Structural Defenses to Shareholder Activism.....	47-12:151	Daniel Nathan and Justin Kletter Preparing for and Enduring a FINRA Exam.....	47-2:25
Abby F. Rudzin, R. Scott Widen, and Brad M. Elias Protecting Financial Advisors in M&A Litigation	47-11:143	Marc J. Fagel Reassessing the SEC Wells Submission	47-2:17
Mary P. Hansen and William L. Carr Employer Liability for Insider Trading	47-11:135	Kelley A. Howes Advisers Act Marketing Considerations for Real Estate Fund Managers.....	47-1:9
Matthew Kluchenek and James Schwartz The CFTC’s Cross-Border Application of the Dodd-Frank Act.....	47-10:129	Marc Wolinsky and Ben Schireson Deal Litigation Run Amok: Diagnosis and Prescriptions.....	47-1:1
Matthew E. Kaplan and Steven J. Slutzky Advance Planning for Sponsor-Backed IPOs.....	47-10:123	2013	
		Robert Hubbell Regulators Renew Focus on Auditor Independence.....	46-22:293
		Charles F. Walker and Katherine V. Lesker Practicing Before the SEC: Ethical Considerations for Counsel	46-22:281

2000 – 2023 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
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 Scienter.....	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 Grisct 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
Adam M. Givertz and Brad D. Goldberg Anti-Corruption Due Diligence in Mergers and Acquisitions.....	46-14:171	2012	
A. Robert Pietrzak, Tom A. Paskowitz, and Benjamin F. Burry Securities Fraud Litigation Against China-Based Companies in the United States.....	46-13:157	Rajib Chanda and Robert Shapiro Board Oversight of Fair Valuation.....	45-22:263
Matthew L. Mustokoff and Margaret E. Onasch Proving Securities Fraud Damages at Trial.....	46-12:145	Ioannis Tzouganatos, Jack P. Huntington, and Bruce Treff ETF Regulatory and Operational Considerations.....	45-21:251
Stephen A. Keen Money Market Fund Reform From a Risk Management Perspective.....	46-11:129	Rudolph Koch and Jason J. Rawnsley Section 162 (M) Litigation: What We Know So Far.....	45-20:243
Patricia O. Vella and Jessica C. Pearlman Confidentiality and Standstill Agreements: Recent Delaware Law Developments.....	46-10:121	Bruce B. Fekrat CFTC’s Large Trader Reporting Rules.....	45-20:239
Blake Rohrbacher and Christopher H. Lyons Disclosure of Management Projections under Delaware Law.....	46-10:113	Edward R. McNicholas and Elisa K. Jillson Extending Compliance to the Cloud.....	45-19:227
Linda L. Griggs The Increasing Focus on Audit Committees.....	46-9:99	Thomas C. Bogle Anti-Money Laundering Regulation of Investment Advisers.....	45-18:219
		Norman S. Poser Janus Revisited: The Lower Courts Wrestle with a Troubling Supreme Court Decision.....	45-17:211
		Guy P. Lander Foreign Private Issuers: Status and Exchange Act Registration.....	45-16:205

2000 – 2023 CUMULATIVE ARTICLE INDEX

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

2000 – 2023 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
John Mark Zeberkiewicz and Tiffany N. Piland Valid Issuance of Capital Stock	44-15:191	Mark A. Borges The Executive Compensation Provisions of the Dodd-Frank Act	44-1:1
2010			
Donald W. Glazer and Michael J. Kendall Old Opinion Forms on Sales of Securities.....	44-15:187	Stephanie Nicolas and Leigh Thompson Outsourcing Back-Office and other Functions	43-22:301
Tracy L. Gerber FINRA Arbitration in the Modern Era: A Defense Practitioner’s Perspective.....	44-14:181	Roberta S. Karmel A New Regulatory World for Hedge Funds.....	43-22:295
Stephen Fishbein, Philip Urofsky, and Richard Kelly The UK Bribery Act 2010.....	44-14:171	Jack Murphy, Julien Bourgeois, and Lisa Price How a Fund Dies	43-21:283
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	John Mark Zeberkiewicz and Megan W. Shaner An Overview of Delaware-Specific Issues for Stockholders’ Meetings	43-20:275
Elizabeth P. Gray and Jessica L. Matelis PCAOB Foreign Inspections – A Chinese Conundrum	44-12:145	James R. Doty and J. Bradley Bennett Independent Consultants in SEC Enforcement Proceedings.....	43-19:259
Allison Lurton and Mark Herman CFTC Regulation of Derivatives under Dodd-Frank: Challenges for Compliance Officers.....	44-12:139	Jared L. Kopel and Jacob T. Veltman Tolling the Statute of Limitations in SEC Proceedings, Part 2.....	43-18:251
Robert W. Helm, Douglas P. Dick, and Gared S. Schneberger Investments in Derivatives by U.S. and European Mutual Funds.....	44-11:129	Ki P. Hong and Matthew Bobys The SEC’s New Pay-to-Play Rule for Investment Advisers.....	43-18:247
Deanna L. Kirkpatrick Negotiating Comfort Letters	44-10:121	Jared L. Kopel and Jacob T. Veltman The Statutes of Limitations in SEC Proceedings, Part 1.....	43-17:235
Jared L. Kopel and Maulik Shah The Core Operations Inference	44-9:113	F. Joseph Warin and Jill M. Pfenning Chinese Anti-Bribery Regulatory and Enforcement Landscape	43-16:227
Linda L. Griggs Disclosures about Loss Contingencies	44-8:107	Michael J. Sharp, Bruce H. Newman, and Christie Farris Öberg Seller Beware: Regulators Dissect Retail Sales of Structured Products	43-16:219
Pravin Rao and Assad Clark Changing Landscape of Swap Regulation	44-8:97	David B. Anders Handling a Regulatory Investigation in Light of the SEC’s New Cooperation Guidelines.....	43-15:207
Jason E. Brown Application of the Investment Advisers Act to Private Equity Advisers	44-7:83	Stephen A. Keen 2010 Money Market Fund Regulatory Reforms.....	43-14:191
Giselle M. Barth and Daniel M. Rossner Dodd-Frank Securitization Reforms.....	44-6:67	Kay A. Gordon Regulation of Short Selling in the U.S.	43-13:179
Laura D. Richman The Impact of the Dodd-Frank Act on the Proxy and Annual Report Season	44-5:55	William M. Lafferty and Bradley D. Sorrels Anatomy of a Busted (Up) Deal.....	43-12:173
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 D. Perlow and C. Dirk Peterson SEC Revisits Equity Market Structure in Concept Release and Rule Proposals	43-9:115

2000 – 2023 CUMULATIVE ARTICLE INDEX

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

2000 – 2023 CUMULATIVE ARTICLE INDEX

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

2000 – 2023 CUMULATIVE ARTICLE INDEX

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

2000 – 2023 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Anna T. Pinedo Legal and Regulatory Developments Relating to Structured Products	39-11:109	Margaret Jacobs and Betty Santangelo Mutual Fund Compliance and the Anti-Money Laundering Regulatory Regime	38-16:201
William E. Donnelly and Jerry A. Isenberg Lawyers as Gatekeepers: An SEC Enforcement Perspective.....	39-10:97	Peter D. Cripps, Ian A. Hartman, and William G. Lawlor Doing Public M&A Deals in Pennsylvania: Minesweeper Required	38-15:191
Robert B. Robbins and Philip L. Rothenberg Writing Risk Factor Disclosure in Exchange Act Reports.....	39-9:87	Paul B. Uhlenhop Critical Elements of an Effective Supervisory Structure	38-14:173
Nicolas Grabar New Form 20-F Requirements for 2006.....	39-8:79	Bradley C. Faris and Mark D. Gerstein Special Negotiating Committees	38-13:157
Inez H. Friedman-Boyce and Carl E. Metzger Defending Venture Capital Firms in Securities Litigation.....	39-8:63	Kathleen K. Clarke and Paul M. Miller New Mutual Fund Redemption Fee Rule	38-12:151
John H. Eickemeyer SEC Actions Against Accountants under Section 10A of the Exchange Act.....	39-7:53	Timothy B. Parker Soft Dollars Reconsidered, Again.....	38-12:141
Marc Recht and Dennis J. White Sarbanes-Oxley's Continuing Impact on Middle-Market M&A.....	39-7:47	Matthew C. Baltay, John H. Henn, and Brandon F. White Anonymous Sources in Securities Class Action Complaints.....	38-11:131
Daniel L. Goelzer and Marilyn Weimer Inspecting the Watchdogs — An Overview of the PCAOB's Inspection Program	39-6:35	Mark A. Borges FASB's New Accounting Standard for Stock-Based Compensation	38-10:115
Christopher L. Padurano and Charles A. Ross Resolving Criminal Securities Fraud Cases.....	39-5:23	Tracy A. Nichols and Stephen P. Warren Aiding and Abetting Liability under Section 10(B).....	38-9:105
Jack Weinberg Books and Records Retention and Disclosure in the Electronic Age...	39-4:15	Mari-Anne Pisarri Raising the Bar: Investment Adviser Codes of Ethics.....	38-8:97
Terri Seligman Email Marketing: Legal Overview and Compliance Guidelines.....	39-3:9	Sarah E. McCallum and Warren R. Stern The Private Securities Litigation Reform Act: Ten Years after	38-7:89
Janet L. Fisher and Leslie N. Silverman Director Due Diligence after WorldCom.....	39-2:1	Jeffrey D. Karpf and Leslie N. Silverman The SEC's Securities Offering Reform Proposals: Will This Ship Sail?	38-6:63
Lorraine Bellard and Jeffrey Plotkin Act-of-Production Privilege in SEC Proceedings	39-1:289	Michael Delikat, Renee B. Phillips, and Jill L. Rosenberg Whistleblowing Claims under Sarbanes-Oxley	38-5:51
2005			
Behnam Dayanim and Kristine A. Rembach Notice of Data Theft: States and the Congress Jump on the California Bandwagon	38-22:281	Kenneth J. Berman and Elizabeth N. Kaplan The New Fund Governance Standards	38-4:33
James N. Benedict, Sean M. Murphy, and Andrew W. Robertson Aftermath of the Mutual Fund Crisis.....	38-21:261	Vincent J. Badolato and Dennis J. Lawson Identifying and Managing Conflicts of Interest	38-3:25
Lawrence M. Gill International Financial Reporting Standards	38-20:251	Daniel Aronowitz The New Rescission Rules for D&O Insurance Policies	38-2:13
Richard L. Gallagher and Robert P. Varian Loss Causation in Securities Class Actions after <i>Dura</i>	38-19:241	Steven B. Caruso Arbitrator Training in the Securities Dispute Arena.....	38-1:8
Norman S. Poser Regulation NMS	38-18:229	Paul W. Goldstein, Rochelle S. Hall, and Thomas J. McGonigle Risk Management for Broker-Dealers.....	38-1:1
2004			
Christopher S. Petito and Angela R. Thompson Practical Tips for Handling Regulatory Inspections	38-17:215	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

2000 – 2023 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Emily M. Zeigler		Kit Chaskin, Venus S. McGhee, Neil B. Posner, Carolyn H. Rosenberg, and Duane F. Sigelko	
New CFTC Rules for CPOS and CTAS.....	37-22:257	Negotiating D&O Policies: Key Terms and Conditions.....	37-4:31
Marc Morgenstern and Peter Nealis		Kathleen K. Clarke and Paul M. Miller	
The Impact of Sarbanes-Oxley on Mid-Cap Issuers.....	37-21:245	Compliance Programs of Registered Investment Advisers and Investment Companies	37-3:26
Michael L. Cypers, William H. Forman, and John M. Landry		Stephen P. Younger	
The Future of Loss Causation	37-20:235	Damages in Securities Litigation.....	37-3:19
Thomas J. Sherrard		Marc Morgenstern	
What Is a Security – Revisited.....	37-19:227	Off-Balance Sheet Disclosures in MD&A.....	37-2:9
Donald W. Glazer and Keith F. Higgins		Paul R. Bessette, Blair C. Hedges, and Steven S. Kaufhold	
Securities Exchange Act Section 16: Short Answers to Quick Questions under the New Rules and Forms	37-18:207	Defending Securities Class Actions Involving Accounting Restatements	37-1:1
Helene T. Glotzer			
Recent Trends in SEC Enforcement Remedies	37-17:185	2003	
Gary Simon		Sylvia M. Mahaffey, Lilyanna L. Peyser, and Robert B. Robbins	
New Audit Committee Rules	37-16:167	Regulation D Offerings and the Internet.....	36-22:259
Jeffrey C. Blockinger and Rebecca M. Palmer		Philip H. Harris and Wei-Li F.X. Tjong	
Hedge Fund Managers in the Era of Heightened Regulatory Scrutiny	37-15:159	Regulatory Issues in Private Placements of Hedge Fund Securities	36-21:249
Michael S. Sackheim		Vincent R. Cappucci	
False Reporting of OTC Energy Transactions	37-14:149	Securities Class Actions: Settlements	36-20:243
Robert R. Stauffer, Seth A. Travis, and Anton R. Valukas		William E. Donnelly and Thomas J. McGonigle	
Enforcement Actions in the Post-Enron World: Zero Tolerance in the White-Collar Arena.....	37-13:133	Research Analysts’ Conflicts: The Regulatory Response	36-20:235
Richard W. Helm and Frederick B. Lohr		Terrance J. O’Malley	
European Regulation of Investment Funds	37-12:121	The SEC Revises and Modernizes the Advisers Act Custody Rule.....	36-19:225
Allan Horwich		James C. Hartman, Jennifer S. Martinez, and Mark D. Pollack	
New Form 8-K and Real-Time Disclosure.....	37-11:109	Recent SEC Enforcement Cases.....	36-18:213
Jennifer L. Chunias and Carl E. Metzger		James N. Benedict and Christopher M. Joraleman	
Two Years after Sarbanes-Oxley: Assessing the Impact on D&O Liability Insurance	37-10:99	Primary Liability of Secondary Actors in Securities Fraud Cases.....	36-17:205
Kelly H. Zinser		Inez H. Friedman-Boyce and Brian E. Pastuszewski	
New Issues Are the New Hot Issues — An Overview of NASD Rule 2790.....	37-9:94	Defending Outside Directors in Securities Litigation	36-16:191
John H. Henn, Kalun Lee, and Stephen C. Warneck		Gerald Audant, Sara B. Brody, James E. Burns, and Robert P. Varian	
The Lead Plaintiff and Lead Counsel Provisions of the PSLRA: A Defense Perspective.....	37-9:83	Trying Securities Class Actions in the Post-Enron Era.....	36-15:177
Daniel L. Goelzer and Marilyn Weimer		Jay G. Baris	
An Audit of Internal Control over Financial Reporting — The New PCAOB Standard	37-8:71	Anti-Money Laundering: Rules for Investment Companies.....	36-14:165
Roberto M. Braceras		Steven Drachman	
Late Trading and Market Timing	37-7:61	The SEC’s Company Act and Advisers Act Agenda	36-13:149
Seth Aronson and Amy J. Longo		Paul Ferrillo and Erin J. Law	
Current Issues under the Securities Litigation Uniform Standards Act.....	37-6:51	Class Certification and the ‘Most Adequate’ Plaintiff	36-12:141
Steven B. Nadel		Ira H. Jolles	
U.S. Regulation of Private Investment Funds	37-5:45	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

2000 – 2023 CUMULATIVE ARTICLE INDEX

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

2000 – 2023 CUMULATIVE ARTICLE INDEX

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

2000 – 2023 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Alan L. Dye and Peter J. Romero		Kenneth B. Winer	
Developments under Section 16: (Part I of Two Parts).....	33-14:155	Securities Firms and the Foreign Corrupt Practices Act.....	33-6:61
Mari-Anne Pisarri		Jay W. Eisenhofer and Stuart M. Grant	
Personal Trading by Advisory Personnel:		Institutional Investors and Section 18 of the Exchange Act	33-5:54
The Seven Deadly Sins	33-13:143	Jesse A. Finkelstein, Peter B. Ladig, and Srinivas M. Raju	
Patrice M. Pitts		Attorney-Client Privilege: Potential Dangers of Having Corporate	
Using Electronic Media to Offer and Sell Securities	33-12:135	General Counsel Perform Multiple Roles.....	33-5:49
Neil S. Lang and Mark D. Perlow		Pamela J. Wilson	
Earnings Management: Swept Away?	33-11:123	Mutual Fund Advertising	33-4:31
David B. Bayless and John A. Kelley		Gregory N. Bressler	
The Changing Role and Composition of Audit Committees.....	33-10:109	Amendments to the Code of Ethics Rule under the Investment	
Joran Eth and Christopher A. Patz		Company Act	33-3:19
Securities Litigation and the Outside Director.....	33-9:95	Jonathan S. Adler, Stuart H. Gelfond, Valerie Ford Jacob,	
Stanley Keller		and Michael A. Levitt	
Securities Law Considerations in Negotiated Acquisitions	33-8:83	Financial Statement Requirements for Acquisitions in Registered	
Julie Allecta and Thoa H. Ngo		Public Offerings.....	33-2:9
The SEC's Soft Dollar Release	33-7:75	James C. McMillin	
Satish M. Kini		Recent Developments in Litigation	
Impact of the 1999 Financial Modernization Act on Investment		under the Securities Act of 1933	33-1:1
Advisers and Investment Companies.....	33-7:69		