

THE REVIEW OF SECURITIES & COMMODITIES REGULATION

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

2000 – 2024 CUMULATIVE ARTICLE INDEX

Notes

Articles are listed in reverse chronological order with their authors.

	Vol.-No.:Pg		Vol.-No.:Pg
2024			
Elizabeth Davis and Michael McDonald CFTC Enforcement Trends from FY 2024.....	57-22:247	Palmina M. Fava, Mia Wolosky, and Daniel Fisher FCPA: An Overview on Compliance and Enforcement	57-16:165
Vadim Avdeychik and Emily Picard Accessing Private Markets: Distribution Considerations for Asset Managers.....	57-22:241	Rebecca E. Boon and Mathews R. de Carvalho 2024 Proxy Season Roundup – Environmental Proposals Still a Focus for Investors.....	57-15:161
Derek Zaba, Kai H.E. Liekefett, and Leonard Wood Universal Proxy and Trends in Shareholder Activism: Corporations Must Still Beware and Take Care.....	57-21:233	Matthew Bisanz, Adam Kanter, Brad Resnikoff, Dylan Platt, and Kelly Truesdale SEC and FinCEN Propose Customer Identification Program Requirements for Certain Investment Advisers.....	57-15:155
Courtney Quirós, Timothy Fitzmaurice, Madeleine Juszynski Davidson, and Carissa Lavin The Supreme Court’s Rulings on Shareholders’ Burdens and Defendants’ Constitutional Rights.....	57-21:227	Laura Deegan, Annie Cho, and Igor Dos Santos Navigating Securities Prohibitions in U.S. Sanctions.....	57-15:149
Jan M. Folea and Samantha B. Kats Fraud in the Technology Age: Strategies for Detection, Prevention, and Navigating Regulatory Inquiries	57-20:221	Jennifer Songer and Lindsey L. Wiersma Navigating the ESG Landscape as a Private Fund Adviser	57-14:145
Jonathan S. Sack and Christian B. Ronald Duty Bound: A Comparison of Insider Trading Law in the United States and the European Union.....	57-20:213	Paul M. Dudek FPIs in SPAC Land – Considerations for Foreign Private Issuers in Connection with SPACs.....	57-14:137
Jennifer D. Morton The Use of AI in the Securities Industry: U.S. Regulatory Considerations for Broker-Dealers and SEC-Registered Investment Advisers	57-19:203	Daniel S. Kahn The Impact of DOJ’s New Individual Disclosure and Whistleblower Programs on Enforcement.....	57-13:133
Lindsay B. Jackson, Daniel R. Kleinman, and Natalie R. Wengroff How to Navigate the Evolving Standards of Care for Retail Investment Advice	57-18:191	David R. Fredrickson What Nominating/Governance Committees Should Know About Recent SEC Rulemaking.....	57-13:125
Lisa R. Jacobs, Lori S. Smith, David J. Winkowski, and John M. Baker Navigating the Corporate Transparency Act and the Future of Beneficial Ownership Reporting	57-17:177	Joshua B. Deringer and Kellilyn Greco The Rise of Interval and Tender-Offer Unlisted Closed-End Funds	57-12:119
Laura Perkins, Michael DeBernardis, and Katherine Taylor Suspect Corrupt Payments? How to Navigate a Potential Corporate Crisis	57-16:171	Ilan Graff, Nicole R. Love, and Eamon O’Neill Issues in Internal Investigations	57-12:113
		John Rizio-Hamilton, Jesse L. Jensen, and Thomas Sperber 2023 Developments for Auditor Regulation Under the U.S. Securities Laws	57-11:107

2000 – 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
William J. Hochul, Jr. DOJ Disclosure and Whistleblower Programs Demand ‘Prudent’ Companies Adopt an Effective Internal Investigations Strategy	57-11:101	Zachary Goldman, Zack Kessler, Lester Ross, and Kenneth Zhou Navigating Cross-Border Economic Sanctions: Ensuring Compliance and Mitigating Risks	56-19:275
Katherine Ashley, David Wales, and Erik Elsea Addressing Regulatory Risk in M&A Agreements	57-10:93	Mark Cianci, Stefan Schropp, Antonia Miller, and Deborah Pabon Cifuentes Emerging Issues in Digital Asset Litigation: Discovery and Beyond	56-19:265
Tiffany J. Smith, Joseph Toner, and Joshua Nathanson The Decade-Long War for a Spot Bitcoin ETP Approval and the Next Battle.....	57-9:81	Christopher B. Horn and Jon A. Schlotterback Conflicts of Interest in Asset-Backed Securitization: An Analysis of Proposed Rule 192	56-18:249
Meredith Kotler and Nicholas A. Caselli Trends in M&A and Fiduciary Duty Litigation	57-8:73	James Hu, Andrew Hammond, and Melissa Curvino Preparing the “Background of the Merger” Section in Merger Proxy Statement	56-17:243
Joni S. Jacobsen, Angela M. Liu, Timothy Spangler, and Vishan J. Patel Cryptocurrency Securities Class Action Litigation: 2023 Year in Review.....	57-7:65	Dan Kahn U.S. Department of Justice’s Revised Compliance Guidance: DOJ Tackles Clawbacks and Ephemeral Messaging	56-17:239
Frederick L. Block, Alyse J. Rivett, Sarah V. Riddell, and Madeleine Ayer <i>SEC v. The Crypto Industry</i> – Tracking the SEC’s Ongoing Litigation Against Digit Asset Exchanges.....	57-6:57	Paul M. Dudek The Unique Impact of Recent SEC Rules on Foreign Private Issuers	56-16:227
Tiffany J. Smith and Kyle P. Swan Potential Impact of the SEC’s Rulemaking Agenda on Crypto	57-5:47	Paula D. Shaffner and Brandon M. Riley Key Regulatory and Compliance Considerations for Small and Regional Broker/Dealers	56-15:223
Alyse A. Sagalchik and Lawrence D. Levin 2024 Proxy Season Updates	57-4:43	Matthew A. Schwartz and Aaron J. Blake Ethical Issues Arising From Client Deposition Perjury	56-15:215
Brian Finch, David Oliwenstein, and Sarah Madigan Navigating the SEC’s New Cybersecurity Disclosure Regime	57-4:37	Rizwan A. Qureshi and Justin Angotti Solving Corporate Problems: Enforcement and Independent Investigation Under the Biden Administration	56-14:209
Kenneth E. Burdon Closed-End Fund Activism: How to Level the Playing Field	57-3:25	Vadim Avdeychik and Emily Picard The Rise of Mutual Fund Alternatives: Collective Investment Trusts and Retail Separately Managed Funds.....	56-14:199
Brian A. Jacobs, Thomas A. McKay, and A. Dennis Dillon How Recent Crypto Prosecutions May Crack the U.S. Code.....	57-2:13	Terri L. Chase, David Peavler, and Alexander J. Wilson Dealing with (And How Not to Deal with) Whistleblowers	56-13:191
Christine A. Schleppegrell and Thomas J. Crociata Collateral Consequences: What Does the Expanding Advisers Act Regulatory Regime Mean for Private Fund Managers?	57-1:1	Elanit A. Snow and Peter T. Martin The SEC’s Proposed Rule for Reporting Large Security-Based Swap Positions.....	56-13:183
2023			
Kenny S. Terrero, Matthew J. Kutner, and Bernie Zamichow Registered Investment Companies Look to Blockchain and Digital Securities to “Pull-Forward” and Modernize Offerings	56-22:313	Jenny Hochenberg, Madlyn Gleich Primoff, and Aashim Usgaonkar End-of-Life Options for Ex-SPACs.....	56-12:175
Daryl B. Robertson New Exemption From Federal Broker-Dealer Registration for M&A Brokers.....	56-22:307	Jennifer S. Leete, Elad Roisman, and Lisa M. Kohl SEC Regulatory and Enforcement Developments: What Boards of Directors and Audit Committees Need to Know.....	56-12:167
Claire Rajan and Ayyan Zubair The Use of Data Analytics in Enforcement and Corporate Compliance.....	56-21:301	Lianna Whittleton Recent Developments in Private Company Financing Trends	56-11:163
Michelle N. Tanney and Edward J. Jacobs Federal Regulators Sharpen Focus on Personal Device Use and Off-Channel Communications	56-21:295	Matthew L. Mustokoff Disaggregating the Causes of Stock Drops in Securities Fraud Cases	56-11:157
Christopher D. Christian and Katie Carter Finding Gold in Europe in Green While Maintaining Regulatory Compliance.....	56-20:281	Michael L. Arnold and Lisa M. Kohl The SEC’s New 10B5-1 Rules and Emerging Insider Trading Policy Best Practices	56-11:151

2000 – 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
		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. Maritzel Futures Markets Enforcement Trends	56-3:29	Rebecca Boon and Brittney Balsler 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
Neal E. Kumar Under a Proposed Act, CFTC Would Have Laser Eyes to Regulate Crypto Spot Markets	56-1:1	Matthew A. Schwartz and Austin P. Mayron Ethical Issues in the Use of Private Investigators and Confidential Witnesses	55-12:133
		Richard Hall and Daniel K. Zach Antitrust Developments in M&A.....	55-12:123

2000 – 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
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. Lafferman, 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
Eric M. Diamond The Volcker Rule: New Exclusion for Qualifying Venture Capital Funds.....	54-21:261	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
Victoria S. Forrester, Udi Grofman, and Matthew B. Goldstein Life after the End of the Life of a Private Fund	54-21:255	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

2000 – 2024 CUMULATIVE ARTICLE INDEX

Vol.-No.:Pg.	Vol.-No.:Pg.
<p>Bryan Brown, Eryn Roberts, and Michael Vance Exchange Act Disclosure in a COVID-19 Pandemic Environment ... 54-9:101</p> <p>Laura D. Richman and Christine M. McDevitt MD&A Tune-Up..... 54-8:89</p> <p>Kathryn King Sudol and Michael Chao The Effects of COVID-19 on Negotiated M&A Transactions..... 54-7:77</p> <p>Julien Bourgeois, Nicholas Di Lorenzo, and Christopher Dotson Environmental, Social, and Governance Investing Considerations in the U.S. and the EU..... 54-6:65</p> <p>Alex M. Madrid and Natasha S. Cooper Turbulent Seas Ahead: New Arbitration Issues for Broker- Dealers 54-5:55</p> <p>Jose Martin Anti-Corruption Compliance and FCPA Enforcement in Latin America 54-4:49</p> <p>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</p> <p>Daren R. Domina and Timothy J. Piscatelli Examining and Managing Risks Associated with Outsourcing Compliance Functions..... 54-3:33</p> <p>Richard D. Marshall and Mark D. Goldstein SEC Enforcement Actions Against Fund Advisers 54-3:25</p> <p>Ronald C. Machen and Cadene Russell Brooks When “Gatekeepers” Become Whistleblowers: A Focus on Compliance Professionals in SEC Enforcement Actions..... 54-2:13</p> <p>Daniel Nathan, Heather Sussman, and Colleen Hespeler Regulatory Expectations for Cybersecurity Practices at Broker- Dealers 54-1:1</p>	<p>Stephanie A. Capistrone, Jeremy I. Senderowicz, and Aiman Tariq Recent Developments in ETF Regulation 53-18:215</p> <p>Deborah Festa and Andrew Keller Volcker Rule Amendments: Back to the Future for CLOs? 53-17:211</p> <p>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</p> <p>Jeffrey T. Scott SEC Enforcement Priorities and Trends..... 53-16:189</p> <p>Philip T. Hinkle and Audrey Wagner Recent Developments Affecting Commodity Pool Operators and Commodity Trading Advisors..... 53-15:179</p> <p>Ann Sultan, Matteson Ellis, and Andrew T. Wise Addressing and Deterring Corporate Misconduct During and After COVID-19..... 53-14:175</p> <p>Paul M. Architzel, Elizabeth L. Mitchell, and Matthew Beville CFTC Enforcement and Regulatory Developments 53-14:167</p> <p>Roger A. Cooper, Jared Gerber, Mark E. McDonald, and Leslie N. Silverman Delaware Supreme Court Green Lights Federal-Forum Charter Provisions 53-13:161</p> <p>Stephen E. Roth, Dodie C. Kent, and Ronald D. Coenen, Jr. SEC Adopts Groundbreaking Disclosure Improvements for Variable Insurance Contracts 53-13:151</p> <p>Andrew J. Pitts, D. Scott Bennett, Michael E. Mariani, and Melanie R. Cook Direct Listings: Going Public without an IPO..... 53-12:139</p> <p>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</p> <p>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</p> <p>Gregory A. Markel and Sarah A. Fedner Two Areas for Reform in Securities Litigation 53-10:113</p> <p>Tai Park and Thomas Ening Global Anti-Corruption Enforcement: American Style 53-9:101</p> <p>James G. Tillen and Chervonne Colón Stevenson Managing FCPA Risk While Fulfilling Local Content Requirements . 53-8:95</p> <p>Roger Cooper, Jared Gerber, and Les Silverman The Latest in the Toshiba Securities Litigation: Perils for Foreign Issuers..... 53-8:89</p> <p>Jennifer Wisinski and Rachael Apfel Current Trends in Indemnification Provisions in Acquisition Agreements..... 53-7:81</p>
2020	
<p>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</p> <p>Kelli L. Moll and Omoz Osayimwese Key Considerations and Tactics in Negotiating Side Letters for Private Funds 53-21:259</p> <p>Amy Doberman, Phillip Gillespie, and Seth Davis SEC Proposes New Framework for Fund Valuation Practices 53-21:251</p> <p>Susan Schroeder Predicting Regulation Best Interest Enforcement Priorities..... 53-20:239</p> <p>Nathan Briggs and Timothy Parrington Closed-End Fund Offering Reform: The Short-Form Registration Process..... 53-19:227</p> <p>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</p>	

2000 – 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:		Pg.
Brian A. Jacobs and Joshua Bussen		Kathleen S. McArthur and Daniel J. Lasko	
Sentencing in Recent Insider Trading Cases: What Judges Have Said and Done		CFTC Enforcement Advisory on Foreign Corrupt Practices.....	52-17:201
	53-7:		73
Baris, Jay G.		Neal R. Marder and Kelly Handschumacher	
Derivatives Redux: A Historical Perspective as the SEC Proposes Rules Governing Investment Company Use of Derivatives	53-6:	Legal Ethics Considerations in Class Action Litigation.....	52-16:195
	6:57		
Tom Hanusik, Rebecca Monck Ricigliano, and Nimi Aviad		Adam Lurie, Doug Davison, and Sean Solomon	
The Rise of Insider Trading as a Title 18 Offense	53-5:	Corporate Compliance Programs Take Center Stage in 2019 with New Guidance From the DOJ and OFAC.....	52-16:189
	5:49		
Jennifer D. Riddle and Peter S. Larson		Hillary H. Holmes and Jordan G. Rex	
FCPA Risks in M&A Transactions.....	53-4:	Updates to the Public Company Disclosure Rulebook.....	52-15:173
	4:43		
Maeve O'Connor, Elliot Greenfield, and Tristan M. Ellis		Phyllis G. Korff and Candace R. Jackson	
Caremark Claims: "Mission Critical" Compliance Risks and a Board's Duty to Monitor	53-4:	Preparing 2019 Registration Statements and Annual Reports: What Foreign Private Issuers and their Counsel Need to Know	52-14:167
	4:37		
Brian Neil Hoffman		Issa Hanna	
Cybersecurity Considerations for Public Company Auditors.....	53-3:	Broker-Dealers Selling Annuities: Preparing for the Best-Interest Standard	52-14:161
	3:31		
Fatema Merchant and Reid Whitten		Ralph C. Ferrara, Erica Taylor Jones, and Corey I. Rogoff	
The Impacts of Foreign Investment Regulation on Venture Capital ...	53-3:	SEC Breakthrough Brings Déjà Vu: <i>Lorenzo</i> Court Reclaims Expansive Scope of Federal Securities Laws.....	52-13:157
	2:25		
Julian E. Hammar		Stephen P. Wink, Naim Culhaci, and Deric Behar	
SEC Adopts Recordkeeping and Reporting Rules for Security-Based Swaps	53-2:	Digital Advice Platforms: Compliance and Legal Challenges	52-13:149
	2:13		
Stephen P. Wink, Witold Balaban, John J. Sikora, Jr., and Miles P. Jennings		Gary O. Cohen	
Digital Asset Regulation: <i>Howey</i> Evolves	53-1:	SEC Proposes Summary Prospectus for Variable Insurance Products.....	52-12:143
	1:1		
2019			
Vadim Avdeychik		Joseph A. Hall	
Responsible Investing: Legal and Compliance Considerations for Asset Managers	52-22:	<i>Howey</i> , <i>Ralston Purina</i> and the SEC's Digital Asset Framework.....	52-12:137
	271		
Christopher D. Carlson		Vincent E. Lazar and William A. Williams	
Consecutive Private and Public Offerings for Registered Funds.....	52-21:	Cleared Derivatives Markets — Customer Protection and Resolution Tools	52-11:125
	261		
Charles R. Mills and Stacie R. Hartman		Sarah F. Warren	
The CFTC's Enforcement Manual: Key Content and Use for Practitioners in CFTC Investigations	52-21:	Maintaining Privilege Protection of Internal Investigations.....	52-10:119
	255		
Frank Zarb		Cheryl L. Haas and Alex M. Madrid	
When Passive Hedge Funds Decide to Become Activist.....	52-20:	Regulatory Developments for Dual Registrants.....	52-10:113
	247		
Matthew A. Schwartz and Michael R. Mayer		William D. Semins and Jared Kephart	
Issues and Trends in Event-Driven Securities Class Actions	52-20:	The Growing Importance of Fully Integrated Compliance Programs	52-9:105
	239		
C. Edward Dobbs		Corin R. Swift, Benjamin L. Nager, and Jordan S. Schwartz	
Dealing with Emotions in the Resolution of Business Disputes.....	52-19:	Regulatory Focus on "High-Risk" Registered Representatives and Recidivism	52-9:97
	227		
Jason H. Smith		Meredith Kotler and Mark McDonald	
Goodwill under Scrutiny: How the SEC is Increasingly Targeting Goodwill Impairments and Ways to Reduce Risk.....	52-18:	Developments in M&A Litigation.....	52-8:85
	221		
Richard D. Marshall and Mark D. Goldstein		Brian L. Rubin and Rebekah R. Runyon	
SEC Focus on Private Equity: It's Back!	52-18:	Hiring and Using Compliance Consultants.....	52-7:77
	213		
Jeremy Kuester		Martin L. Seidel and Mary Eaton	
Structured Finance Special Purpose Vehicles and FinCEN's CDD Rule.....	52-17:	The Supreme Court's <i>Cyan</i> Decision: Implications for Securities Class Actions.....	52-7:69
	205		

2000 – 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
David Woodcock and Alexandra Stanley Issuer Reporting and Disclosure: The State of SEC Enforcement	52-6:57	Paul M. Dudek Current SEC Initiatives Impacting Foreign Private Issuers	51-15:179
Avi Gesser, Matthew Kelly, and Samantha Pfothenauer The Expanding Role of Lawyers in Addressing Cyber Risk at Financial Firms	52-5:45	Katherine Cooper Proposed Swap Dealer Capital Requirements: The CFTC’s Long Path Towards a More Risk-Based Approach.....	51-14:173
George Zornada, Pablo Man, and Lindsay Grossman Interval Funds Have Turned 25 and Are Increasingly Popular	52-4:39	Gretchen Scott EU General Data Protection Regulation: Is the U.S. Funds Industry Ready?	51-14:167
Melissa Sawyer and Emily Lichtenheld From Influential Stockholders to De Facto Controlling Stockholders: Recent Trends and Updates in Delaware	52-4:33	Deborah Festa and Andrew Keller U.S. Risk Retention Rules: What Constitutes an Open-Market CLO?	51-13:159
Brian Neil Hoffman Implications and Opportunities of <i>Lucia v. SEC</i>	52-3:27	Charles Sweet The <i>LSTA</i> Case and the Future of Credit Risk Retention for Securitizations.....	51-13:151
Marc J. Fagel, Mark K. Schonfeld, and Dan Li SEC Enforcement Division Issues its 2018 Report Card	52-3:21	William Ridgway, Jonathan Marcus, and Alexander Kasparie The Futures Industry and Cybersecurity	51-12:143
Dwight C. Smith and Randy Benjenk Changes in Bank Regulation: The Economic Growth, Regulatory Relief, and Consumer Protection Act	52-1/2:1	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
2018			
Benjamin D. Singer and David R. Fitzgerald International Financial Fraud Enforcement Trends in a Globalized World.....	51-22:271	Kurt Wolfe <i>Digital Realty</i> and the Narrowing of Whistleblower Protections.....	51-11:123
Tracey Salmon-Smith and Jennifer Chawla Form U-5 Requirements for FINRA Member Firms	51-21:265	Susan Gault-Brown Structuring Options for Retail Crypto Fund Products.....	51-10:117
Anna T. Pinedo Modernizing the Regulatory Framework for BDCs.....	51-21:259	Lawrence D Finder and Lindsay Wright Brett T, G, and E under the FCPA: How Much is Too Much?	51-10:111
Brian A. Jacobs How Institutional Dynamics Have Shaped Insider Trading Law	51-20:247	Matt Herrington, Jonathan Drimmer, and Brady Cassis FCPA Compliance: The Role of Data Collection and Analysis.....	51-9:105
Jay A. Dubow and Ying Zeng The Watchdogs Are Being Watched	51-19:241	Claire N. Rajan The New Department of Justice FCPA Corporate Enforcement Policy.....	51-9:99
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	Benjamin Galdston Shareholder Litigation for Waste of Corporate Assets in Internal FCPA Investigations	51-8:93
Gwendolyn A. Williamson, Matthew S. Williams, and Thomas M. Ahmadifar Developments in the Regulation of Fiduciary Investment Advice...51-18:215	51-18:215	John Mark Zeberkiewicz and Robert B. Greco Determining and Disclosing the Effect of Broker Non-Votes	51-8:87
Kara Brockmeyer and Ada Fernandez Johnson Inside the Role of Brazil’s CVM in Anti-Corruption Cases	51-17:211	Jay G. Baris and Joshua Ashley Klayman Blockchain Basics for Investment Managers: A Token of Appreciation	51-6/7:67
Warren T. Allen III and B. Michelle Bosworth Multi-Jurisdictional Anti-Corruption Investigation and Enforcement Trends and Developments.....	51-17:203	Mary J. Mullany Virtual-Only Shareholder Meetings – Are They a Good Idea for Your Company?.....	51-5:63
Michele D. Johnson, Blair Connelly, and Janet J. Hsu The Shift in Delaware Appraisal Litigation.....	51-16:197	Michael Philipp, Akshay Belani, Christine Lombardo, and Sarah Riddell Recordkeeping: Recent Rule Amendments and Other Developments 51-5:55	51-5:55
John C. Partigan Going Public Without an IPO	51-16:191	Jeff Blumberg and Brian Jacobson Advertising and Social Media for Investment Advisers	51-4:49
Peter Lichtenbaum and Eric Sanderberg-Zakian Reducing Third-Party Trade Compliance Risks	51-15:187		

2000 – 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Maeve L. O'Connor and Elliot Greenfield <i>Cyan</i> and the Future of Securities Class Actions in State Court.....	51-4:43	Nathaniel Lalone and Christopher Collins Market Structure: An Evolution From MiFID I to MiFID II	50-15:169
Christopher S. Petito Recent Staff Guidance on the Custody Rule under the Investment Advisers Act of 1940.....	51-3:37	Anne P. Ray Navigating Conflicts of Interest in Securities Class Actions.....	50-14:161
Sarah L. Cave Caught in <i>Traffic</i> : The Scope of the SEC's Extraterritorial Authority	51-3:31	Jeffrey P. Taft, Lawrence R. Hamilton, Stephen Lilley, and Matthew Bisanz The New York State DFS Cybersecurity Regulation: Preparing for Compliance.....	50-13:153
Sean Kane Iran Sanctions: Where Are We Now?.....	51-2:23	Elizabeth P. Gray and Catherine E. Fata Increased Use of Big Data in SEC Enforcement.....	50-12:145
Paula Anderson The Changing Tide of Delaware Deal Litigation	51-2:15	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
Eric Simanek Regulatory Developments Relating to Actively Managed ETFs.....	51-1:7	Scott B. McBride <i>Salman V. United States</i> and Its Impact on Insider-Trading Enforcement	50-10:125
Michael H. Huneke and Ashley R. Hodges FCPA Update: Third-Party Risks and Enforcement Actions.....	51-1:1	John M. Hillebrecht, Jessica Masella, and Adam Steene Managing a Global Regulatory Investigation — Unique Challenges in Cross-Border Investigations	50-9:109
2017			
Richard M. Kosnik Recent Law Firm Publications Capital Markets.....	50-22:272	Ronald S. Borod Esoteric ABS: Pushing the Envelope.....	50-8:93
Wenchi Hu Technology Outsourcing by National Securities Exchanges and Registered Clearing Agencies.....	50-22:263	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
Mary P. Hansen, James G. Lundy, and Antoinette M. Snodgrass CFTC Enforcement: Best Practices and Recent Developments	50-21:251	Willa Cohen Bruckner and Matthew Barringer Margin for Uncleared Swaps: Practical Considerations for the Buy-Side.....	50-6:67
Maia Gez The New Pay Ratio Disclosure	50-20:245	Rose F. DiMartino, Jay Spinola, Ryan P. Brizek, and James W. Hahn The SEC's "Swing Pricing" Rule	50-6:61
Arthur H. Kohn and Julia M. Rozenblit Executive Compensation Litigation Update.....	50-20:235	David Mortlock and Nikki M. Cronin Economic Sanctions Enforcement: Recent Trends and Lessons Learned	50-5:57
Hillel T. Cohn The New Fiduciary Standard for Broker-Dealers.....	50-19:229	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
Brian A. Jacobs and Priya Raghavan The Impact of <i>Salman V. United States</i> on Downstream Tippee Prosecutions	50-19:223	Tamer Tullgren The SBIC Advisers Relief Act.....	50-4:47
Colin Lloyd and Christian Artmann Re-Examining the CFTC's Regulation of Cross-Border Swaps Clearing and Trading Activities.....	50-18:211	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
Timothy D. Belevetz Cybersecurity Breaches: Avoiding Pitfalls	50-17:207	Glen Schleyer 2016 Shareholder Activism Review and Analysis	50-3:25
Jason E. Brown, Eva Ciko Carman, and Nicole Krea SEC Priorities for Private Equity and Real Estate Advisers.....	50-17:199	Rose F. DiMartino, Jay Spinola, Ryan P. Brizek, and James W. Hahn The New SEC Liquidity Rule.....	50-2:13
Tanuja Dehne, Anne Meyer, and Katayun Jaffari CEO Succession and Crisis Management	50-16:191	Sarah L. Cave The Impact of <i>Omnicare</i> on Auditor Liability under the Federal Securities Laws	50-1:9
Richard Marshall Supreme Court Imposes a Five-Year Statute of Limitations on SEC Disgorgement Claims	50-16:181		

2000 – 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
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			
Stephen P. Wink and Brett M. Ackerman		Nicole Erb, Sara Nordin, and Tanya Hanna	
Crowdfunding under the SEC’s New Rules	49-22:267	Reconciling US and EU Sanctions: Iran and Cuba.....	49-10:121
Sharon Cohen Levin, Elizabeth J. Hogan, and Tamar Kaplan-Marans		Ajay Kuntamukkala, Adam J. Berry, and Timothy J. Ford	
Anti-Money Laundering Enforcement: The Rise of Individual Liability for Compliance Professionals.....	49-21:255	The Iran Nuclear Deal: Possibilities and Pitfalls for U.S. and Non-U.S. Companies	49-10:113
Michael P. Daly and Richard M. Haggerty		Amy R. Doberman	
Background Checks and the FCRA: How Employers Can Mitigate One Risk without Creating Another	49-20:243	SEC Proposal on Investment Company Use of Derivatives – A Solution in Search of a Problem?	49-9:101
Stephanie Yonekura and Deepak Singh		Mary J. Mullany	
The New Focus on Individuals Responsible for Corporate Misconduct.....	49-19:235	Shareholder Approval of Equity Plans – Current Considerations.....	49-8:93
Mariza McKee and Robert Ahrenholz		Jason A. Jones	
Concurrent Regulation D and Regulation S Offerings in EB-5 Financings.....	49-18:229	FCPA Best Practices: Implementation and Utilization of Third-Party Audits	49-7:89
Matthew T. Martens, Arian M. June, and Caroline Schmidt		Jason M. Halper and Jeremy D. Erickson	
Four Key SEC Whistleblower Trends – and How Companies Can Prepare for Them	49-18:225	SEC Pay Ratio Rules – A Recipe for Compliance and Model Disclosure.....	49-7:81
Todd S. Fishman		Christian J. Mixer	
The SEC’s Renewed Focus on Gatekeepers	49-17:219	The SEC’s Administrative Law Enforcement Record	49-6:69
Tom A. Paskowitz, Daniel A. McLaughlin, and Benjamin F. Burry		Paul St. Lawrence	
Transactions in Un-sponsored American Depositary Receipts	49-17:211	Esoteric Asset-Backed Securities	49-5:63
Thomas H. Bentz, Jr.		Kay Georgi and Valentin Povarchuk	
Tips for Strong Cyber Liability Insurance	49-16:203	Planning after Export Controls or Economic Sanctions Violations Have Been Discovered.....	49-5:53
Lawrence Zweifach, Arthur Long, Joel Cohen, Robert Trenchard, Jeffrey Steiner, and Amy Mayer		Dan M. Berkovitz and Gail C. Bernstein	
Developments and Trends in CFTC Enforcement	49-15:189	Swap Dealer Chief Compliance Officer Requirements – Recent Developments	49-4:41
Anastasia Rockas		Sarah A. Good and Ildiko Duckor	
2015: A Year in Review for Investment Advisers	49-14:179	The CCO – The SEC’s Target – or Ally in Examinations and Enforcement?.....	49-3:33
David A. Kotler, Joanna Barry, and Catherine Wigglesworth		Anahita Thoms and Bettina Stepanek	
Recent Developments in Mutual Fund Fee Litigation	49-13:171	Capital Market Instruments Targeted by EU Sanctions Against Russia	49-3:25
Robert Sichel, Kristina Zanotti, and Ruth Delaney		Sarah L. Cave and Malik Havalic	
The Department of Labor’s New Conflict-of-Interest Regulations ..	49-13:163	Subject Matter Jurisdiction under the FAA	49-2:19
Trevor N. McFadden and Maria McMahon		Marcus A. Asner and Alexandra L. Mitter	
Reluctant Handmaidens: The Role of Judiciary in Corporate Settlement Agreements	49-12:159	Keeping Internal Investigations on Track and under Control	49-2:13
Frederick H. Alexander		David Woodcock and Allison Fuller	
Public Benefit Corporations	49-12:155	A Prosecutor’s Approach to SEC Enforcement (and What It Means for Smaller Companies).....	49-1-1
Joan E. Meyer		2015	
The Evolving Calculus of Corporate Voluntary Disclosure in Foreign Corrupt Practices Act Cases	49-12:149	Kim Strosnider and Stephen Bartenstein	
Mary Eaton, Amelia Cottrell, Elizabeth Gray, Ben Haskin, Jim Anderson, and Juliet Mun		U.S. Trade Controls Considerations During M&A and Transactional Due Diligence	48-22:291
Context Makes a Difference: SEC Loses Controversial Case.....	49-11:139		

2000 – 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Chad E. Silverman and David Zornow Manipulation under the CEA and the Defense of Self-Defense	48-21:287	Douglas Davison, Matthew Martens, Nicole Rabner, John Valentine, and Natalie Rastin Litigating With – and At – the SEC.....	48-9:103
Gerald S. Sachs, Ryan A. Chiachiere, Alexandra L. Anderson, and Lauren Kelly D. Greenbacker Virtual Currency and Regulation	48-21:275	Robert E. Plaze Understanding the Investment Adviser Custody Rule: Part II – Safekeeping Requirements	48-8:87
Alan Brudner, Wendy Cohen, Gary DeWaal, David Dickstein, Doron Goldstein, and Dina Wegh Cyber-Attacks and Developments in Cybersecurity.....	48-20:261	David B. Anders Ethical Considerations for Defense Lawyers in SEC Proceedings.....	48-7:77
Douglas I. Koff and Julian Rainero Dark Pools: Recent Enforcement Actions.....	48-19:253	Ralph C. Ferrara and Rachel O. Wolkinson Managing Corporate Crises: A Brief Case Study.....	48-7:71
Leslie Silverman, Nicolas Grabar, and Andrea Basham New SEC Staff Guidance on General Solicitation	48-19:247	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
Geoffrey S. Goodman, Esq. Safe Harbor Rights and Protections for FCMs and Swap Dealers in Customer Bankruptcies.....	48-18:239	Robert E. Plaze Understanding the Investment Adviser Custody Rule: Part I – Determining Custody.....	48-6:59
Liisa Thomas Handling Big Data in the Financial Services Sector.....	48-18:231	A. Neil Hartzell The Perils of Non-Accounting Services Provided by Accounting Firms	48-5:55
Stephen Heifetz and Kaitlin Cassel CFIUS: A Potential Cause of Deal Delay	48-17:225	Stephan E. Becker U.S. Sanctions on Russia.....	48-5:47
Pamela Hughes, Tim Phillips, and Raees Nakhuda Regulation A+ From a Canadian Perspective	48-17:219	Maeve L. O'Connor and Elliot Greenfield Lower Court Decisions in the Wake of <i>Halliburton II</i>	48-4:41
James Burns and Justin Browder Asset Managers and the Regulatory Debate over Systemic Risk	48-16:205	Deborah A. Monson and Jeremy A. Liabo NFA Inspections – Practical Guidance for CPOs and CTAs.....	48-4:35
Stacie R. Hartman, Kenneth W. McCracken, and Jacob L. Kahn Disruptive Trading and the Search for Wrongful Intent.....	48-15:191	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
Matthew E. Fishbein The DOJ's New Position on Corporate Cooperation	48-14:185	Jeffrey S. Hochman Back to Principles – MD&A as a Model for Effective Disclosure	48-2:19
Gregory G. Ballard, Kevin A. Burke, and Neil D. Corcoran Law and Practice under Rule 102(e).....	48-14:175	Marc J. Fagel and Leslie A. Wulff Private Funds: Preparing for Another Year in the SEC Crosshairs	48-2:13
Sergio J. Galvis Latin America: Lessons on Shareholder Activism From a U.S. Perspective	48-13:171	Dana S. Douglas and Kathleen M. Przywara The Outside Contractor as Whistleblower	48-1:9
Jamie Fleckner ERISA Litigation Involving Retirement Plan Investments.....	48-13:159	Laura D. Richman and Michael L. Hermsen Shareholder Engagement and the Proxy Season	48-1: 1
Matthew L. Mustokoff and Stacey M. Kaplan Damages and Predominance in Securities Class Actions after <i>Comcast</i>	48-12:149	2014	
Marc E. Elovitz SEC Examinations of Private Fund Advisers.....	48-12:143	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
Choo Lye Tan The Shanghai-Hong Kong Stock Connect	48-11:137	Sean M. Murphy and Matthew J. Laroche <i>Halliburton</i> and the Fraud-on-the-Market Theory	47-21:283
Kelli L. Moll, Gwyneth Rees, Neil Koren, and Peter D. Astleford Current Trends in Hedge Funds.....	48-11:127	Brent J. McIntosh Judicial Review of SEC Consent Judgments	47-21:275
F. Daniel Bell, III, Andrea L. Seidt, and Pamela P. Epting State Securities Regulatory Update.....	48-10:115		

2000 – 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.	
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	
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	
Jessica Perry Corley and David W. Gouzoules Developments in Appraisal Litigation.....	47-18:241	
Frank Aquila and Melissa Sawyer Perfect Pill, Imperfect Defense.....	47-18:231	
George Wang and Andrew Winerman Sanctions Developments in 2014	47-17:223	
Deborah S. Birnbach and Morgan R. Mordecai Disclosure Hot Topics in M&A Litigation	47-16:211	
Owen Pell, Gregory Stamer, Kim Haviv, and Joshua Elmore City of Pontiac: Second Circuit Further Limits When U.S. Securities Laws May Reach Non-U.S. Securities and Issuers	47-15:207	
Dan M. Berkovitz and Gail Bernstein Swap Dealer Chief Compliance Officer Requirements – First Year in Review	47-15:195	
Alan R. Gedrich and Christopher J. Zimmerman Alternative Funds in the Registered Fund Marketplace	47-14:183	
Marc R. Ponchione, Heath P. Tarbert, and Gordon L. Miller Private Equity Funds and the Volcker Rule.....	47-13:171	
Stephen M. Gill, Kai Haakon E. Liekefett, and Leonard Wood Structural Defenses to Shareholder Activism	47-12:151	
Abby F. Rudzin, R. Scott Widen, and Brad M. Elias Protecting Financial Advisors in M&A Litigation.....	47-11:143	
Mary P. Hansen and William L. Carr Employer Liability for Insider Trading	47-11:135	
Matthew Kluchenek and James Schwartz The CFTC’s Cross-Border Application of the Dodd-Frank Act	47-10:129	
Matthew E. Kaplan and Steven J. Slutzky Advance Planning for Sponsor-Backed IPOs	47-10:123	
John Servidio, Peter Tucker, and Ryan Taylor Time for a 2014 ISDA Master Agreement	47-9:99	
Rex S. Heinke, Julia I. De Beers, and Elias Dabaie The Effect of Arbitration Agreements on Class Actions	47-9:91	
Jeanine P. McGuinness U.S. Sanctions on Iran: The Joint Plan of Action for Containing Iran’s Nuclear Program	47-8:79	
Herbert F. Janick III and John Lupton The SEC’s Policies on Civil Penalties and Admissions in Settlements.....	47-7:85	
	Vol.-No.:Pg.	
	Richard M. Phillips, Jeffrey L. Bornstein, and Leanne E. Hartmann The SEC’s New Enforcement Program..... 47-7:79	
	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	
	Deanna Kirkpatrick The JOBS Act and IPOs..... 47-6:71	
	Rose F. DiMartino and Ryan P. Brizek Investment Company Performance: The Board’s Oversight Role	47-5:65
	Roberta A. Kaplan and Jacob H. Hupart Credit Rating Agency Litigation	47-5:59
	Richard Hall SEC Developments in M&A.....	47-4:55
	Michael M. Farhang and Chris Jung The Interplay Between Government Investigations and Civil Securities Litigation	47-4:43
	Elissa J. Preheim and Bret A. Finkelstein Preparing an Effective PCAOB Statement of Position	47-3:37
	Erica Schohn and Joe Penko Executive Compensation Issues: Planning for the Coming Proxy Season.....	47-3:31
	Daniel Nathan and Justin Kletter Preparing for and Enduring a FINRA Exam	47-2:25
	Marc J. Fagel Reassessing the SEC Wells Submission.....	47-2:17
	Kelley A. Howes Advisers Act Marketing Considerations for Real Estate Fund Managers	47-1:9
	Marc Wolinsky and Ben Schireson Deal Litigation Run Amok: Diagnosis and Prescriptions	47-1:1
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
	William Kane and Gillian Whittlesey SEC Investment Adviser Examinations	46-21:269
	Jonathan E. Pickhardt The ACA Case: A New Standard for Reasonable Reliance?.....	46-20:263
	Peter W. LaVigne Know Your Customer Inquiries and Suitability Determinations under the Updated FINRA Rules	46-20:253
	William S. Freeman Regulation FD in the Twitter Age.....	46-19:245
	Ethan Silver and Jayun Koo FINRA’s Regulation of its Members’ Use of Social Media	46-19:237

2000 – 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
David Bayless and Tammy Albarrán		Philip Urofsky	
Concluding an Internal Investigation	46-18:233	FCPA 2012: Lessons Learned and Open Issues.....	46-5:41
Paul M. Tyrell		Cary J. Meer and Kathy K. Ingber	
Recent AML Enforcement Cases.....	46-18:227	Preparing to be a Commodity Pool Operator: NFA Compliance	
Paula Howell Anderson		Obligations.....	46-4:33
“Win-Win” Scenarios for Shareholders in M&A Transactions.....	46-17:217	Richard D. Bernstein and Zheyao Li	
Melissa Sawyer and Rebecca Crosby		SEC Rule 412: What is Said Now Trumps What was Said Before	46-3:27
Deal Protections in Tender Offers	46-17:211	Jill Crawley Griset	
Brian Korn and David P. Russo		Predictive Coding: Silver Bullet or Pandora’s Box?.....	46-3:21
Resales of Restricted and Control Securities under Rule 144	46-16:199	Jacqueline D. Shinfield	
Stephen P. Wink, Stefan Paulovic, and Michael Shaw		Canadian AML and ATF Regime: The Changing Landscape.....	46-2:13
Dually Registered Brokers and Advisers	46-15:191	F. Amanda DeBusk	
Donald R. Crawshaw		Update on U.S. Sanctions Against Iran.....	46-1:1
Recharacterization of Payments by Mutual Funds and Advisers to		2012	
Distributors.....	46-15:183	Rajib Chanda and Robert Shapiro	
Adam M. Givertz and Brad D. Goldberg		Board Oversight of Fair Valuation	45-22:263
Anti-Corruption Due Diligence in Mergers and Acquisitions	46-14:171	Ioannis Tzouganatos, Jack P. Huntington, and Bruce Treff	
A. Robert Pietrzak, Tom A. Paskowitz, and Benjamin F. Burry		ETF Regulatory and Operational Considerations.....	45-21:251
Securities Fraud Litigation Against China-Based Companies in		Rudolph Koch and Jason J. Rawnsley	
the United States.....	46-13:157	Section 162 (M) Litigation: What We Know So Far.....	45-20:243
Matthew L. Mustokoff and Margaret E. Onasch		Bruce B. Fekrat	
Proving Securities Fraud Damages at Trial.....	46-12:145	CFTC’s Large Trader Reporting Rules.....	45-20:239
Stephen A. Keen		Edward R. McNicholas and Elisa K. Jillson	
Money Market Fund Reform From a Risk Management		Extending Compliance to the Cloud.....	45-19:227
Perspective	46-11:129	Thomas C. Bogle	
Patricia O. Vella and Jessica C. Pearlman		Anti-Money Laundering Regulation of Investment Advisers	45-18:219
Confidentiality and Standstill Agreements: Recent Delaware Law		Norman S. Poser	
Developments.....	46-10:121	Janus Revisited: The Lower Courts Wrestle with a Troubling Supreme	
Blake Rohrbacher and Christopher H. Lyons		Court Decision.....	45-17:211
Disclosure of Management Projections under Delaware Law.....	46-10:113	Guy P. Lander	
Linda L. Griggs		Foreign Private Issuers: Status and Exchange Act Registration	45-16:205
The Increasing Focus on Audit Committees	46-9:99	Jay G. Baris	
Willia Cohen Bruckner		Fallout From the Dodd-Frank Zone: Lessons and Challenges for	
A Guide to Dodd-Frank for Users of Swaps	46-8:87	Investment Advisers	45-16:195
Michael H. Margolis and Howard S. Suskin		Ivonne Mena King, Jaime Guerrero, and Lauren L. Valiente	
The Use of Sarbanes-Oxley Certifications to Plead Scienter	46-7:83	FCPA Internal Investigations in Latin America.....	45-15:185
Anna T. Pinedo and Jay G. Baris		John H. Walsh	
Structured Products: Investment Company Act and Investment		The Time Has Come to Reconsider the <i>Gutfreund</i> Standard	45-15:177
Advisers Act Considerations.....	46-7:75	Barbara Stettner, Charles Borden, Sam Brown, and Claire Rajan	
Meredith Rathbone and Anthony Rapa		Non-U.S. Issuers Selling Fund Interests in the United States	45-14:165
A Primer on Internal Corporate Investigations.....	46-6:69	John M. Vasily and Michael J. Rosenthal	
F. Joseph Warin and Maura M. Logan		The Impact of <i>Morrison</i> on Cross-Border M&A	45-13:157
Disclosing Pending FCPA Investigations	46-6:61	Heather Traeger and Jennifer Prospa	
James H. Mutchnik and Micah C. Osgood		Fixed-Income Markets in 2012.....	45-13:145
Documents Hosted Overseas and Grand Jury Subpoenas	46-5:53		

2000 – 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Paul C. Gluckow and David B. Edwards Recent Trends Regarding the Use of Confidential Witnesses in Securities Litigation	45-12:141	Elizabeth K Derbes The SEC's Large Trader Reporting Rule	45-1:1
2011			
Robert H. Hotz, Jr. and Harry Sandick Search Warrants in White-Collar Crime Cases.....	45-12:133	Bradley A. Jacobson, Robert E. Puopolo, and Daniel J. Blanchard Capital Formation Reform	44-22:285
Matthew F. Kluchenek and Jacob L. Kahn The Dodd-Frank Act's Prohibition of Disruptive Trading Practices.....	45-11:127	Sarah L. Cave and Jesse L. Jensen Federal Securities Claims Against Auditors Following the Subprime Meltdown.....	44-22:277
Robert A. Skinner and Tyler A. Young Recent Developments in Securities Litigation Against Mutual Funds	45-11:117	John F. Grossbauer and Pamela L. Millard Stockholder Rights Plans in Negotiated Mergers: Issues of Delaware Law	44-21:269
Robert E. Puopolo, Bradley A. Jacobson, and Stephen T. Adams The JOBS Act: Improving Access to Capital Markets for Smaller Companies	45-10:109	Jonathan R. Tuttle and Ada Fernandez Johnson The SEC Sharpens its Talons in No-Fault Clawback Actions	44-20:261
Melissa Sawyer Advising Buyers in Controlling Stockholder Transactions.....	45-9:97	Michael S. Sackheim Professional Responsibility Issues for Swaps Lawyers under Dodd-Frank.....	44-20:253
Laura Ariane Miller and B. Patrice Clair The Proverbial Gun in the Corporate Defense World.....	45-8:91	John Kolada, Stefan Timms, and Michael Hickey Cross-Border Public M&A in Canada.....	44-19:245
Sean M. Murphy and James G. Cavoli Fund Profitability in Mutual Fund Fee Litigation.....	45-8:81	F. Martin Fox, Jack P. Huntington, and Bruce Treff Use of Social Media by Investment Advisers.....	44-19:237
Jeffrey W. Coverdell, Brian L. Rubin, and Andrew M McCormick SEC and FINRA: Priorities and Enforcement Trends	45-7:75	Laurence S. Lese and Michael E. Clark Insights into the SEC's Whistleblower Program	44-18:225
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		

2000 – 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
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 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
		Marsha Z. Gerber, Elaine L. Lawson, and Cristina K. Lunders Voluntary Disclosure of FCPA Violations	43-4:55

2000 – 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Howard E. Berkenblit and Jonathan M. Vaas SEC Passes Enhanced Proxy Disclosures.....	43-4:47	Pamela Rogers Chepiga and Lanier Saperstein Trends in Global Securities Litigation.....	42-11:139
Mary J. Mullany and Jill M. Stadelman Compensation Committees – The New Gatekeepers.....	43-3:37	Donald B. Henderson Jr. and Allison J. Tam Overview of the Life Settlement Market.....	42-10:123
Doreen E. Lilienfeld and Veronica M. Wissel Emerging Trends in Compensation Regulation.....	43-3:31	Joseph R. Fleming, John V. O’Hanlon, and Hila Shamir The Future of Money Market Funds: Implications of the Recent Turmoil.....	42-9:107
Rebekah J. Poston, David A. Saltzman, and Gregory W. Bates FCPA Due Diligence in Acquisitions.....	43-2:13	Seth Aronson, Amy Jane Longo, and Stephanie Noble A Decade in Review: The Securities Litigation Uniform Standards Act.....	42-8:95
Barbara J. Endres and Kersti Hanson “At-the-Market” Offerings – Implications under Regulation M.....	43-1:1	David B. Harms When Public Companies Raise Private Capital: Managing the Disclosure and Publicity Issues.....	42-7:83
2009			
Jaclyn Liu The NYSE’s Amendment of Rule 452: Practical Tips for Public Companies.....	42-22:279	W. Hardy Callcott and Abigail C. Slonecker A Review of Recent SEC Actions Against Lawyers.....	42-6:71
Stacie R. Hartman Changes in the Culture of Waiver.....	42-21:271	Mary J. Mullany and Ellen Jerrehian 2009 Annual Disclosure Documents.....	42-5:61
Victor Peterson Recent Developments in the Misappropriation Theory of Insider Trading.....	42-20:265	Scott W. Muller and Chiawen C. Kiew Responding to Multi-Jurisdictional Investigations: Issues and Considerations.....	42-4:47
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 Funds.....	42-3:39
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 Times.....	42-3:31
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 Regulation.....	42-2:13
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 Law.....	42-1:1
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-Target.....	41-22:289
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 Indemnification.....	41-21:283
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 Act.....	41-19:249
Joel M. Cohen, Mark A. Kirsch, Mary K. Dulka, and Sarah Blackman Mutual Fund Litigation Triggered by the Credit Crisis.....	42-11:145		

2000 – 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
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
Gary DiBianco and Wendy E. Pearson Anti-Corruption Due Diligence in Corporate Transactions: How Much Is Enough?.....	41-11:125	Christopher F. Chase and Christopher M. Salter Short Selling and Naked Shorts in the Regulation SHO Environment.....	40-20:231
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	William E. Donnelly and Robert P. Howard, Jr. Brokers Beware: Elder Law Issues Become Increasingly Significant to Securities Firms.....	40-19:215
Randall J. Fons and Stephanie L. Forbes Securities Regulators Take the Initiative in Protecting Older Investors	41-9:105	Jennifer Corinis and Steven W. Hansen Judicial Views of “Collective Scierter” in a Section 10(b) Case	40-18:207
Alan L. Beller, Michael D. Dayan, Leslie N. Silverman, and James D. Small SEC Adopts Amendments to Rules 144 and 145.....	41-9:97	Deborah G. Heilizer and Brian L. Rubin What’s in a Name? Enforcement Trends and Possible Implications for FINRA.....	40-17:199
Stacy L. Fuller The Evolution of Actively Managed Exchange-Traded Funds.....	41-8:89	Jon A. Jacobson and Bradford D. Kaufman Appellate Review of Arbitration Decisions	40-16:185

2000 – 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.	2006	Vol.-No.:Pg.
Margaret Jacobs and Betty Santangelo			
Mutual Fund Compliance and the Anti-Money Laundering Regulatory Regime (Part II).....	40-15:171	Matthew Farley	
		Arbitrating with People Who Are Not Parties to the Agreement.....	39-22:245
Carey A. Kotula, Geoffrey M. Sigler, and F. Joseph Warin		David Seide	
Audit Committee Oversight of a Major Independent Investigation.....	40-14:161	Compelled Waivers of the Attorney-Client Privilege.....	39-21:235
Adam W. Glass		Cristina Alger and Lori A. Martin	
The Section 3(a)(2) Exemption for Equity Index-Linked Notes.....	40-13:149	State Regulators and the Mutual Fund Industry	39-20:219
Patrick M. Norton		Mark D. Young	
FCPA Compliance in China.....	40-12:137	Policing Energy Price Manipulation: Whose Beat? What Rules?....	39-19:207
Hector Gonzalez and Claudius O. Sokenu		Rebecca F. Ebert and Barry W. Rashkover	
Pitfalls of Attempts to Cooperate with Enforcement Agencies	40-11:127	SEC Enforcement in the Cox Era.....	39-18:185
Ann H. Mathews and Edwin G. Schallert		Thomas A. Hanusik	
Market Timing in Variable Annuities: Trends in Regulatory Enforcement.....	40-10:123	Sarbanes-Oxley: Broader Statutes, Bigger Penalties	39-17:177
C. Stephen Bigler and Pamela H. Sudell		Kathleen Fuentes and Domenick Pugliese	
Delaware Law Developments: Stock Option backdating And Spring-Loading.....	40-10:115	Role of Electronic Media and the Use of the Internet under the Federal Securities Laws.....	39-16:169
Hector Gonzalez and Claudius O. Sokenu		Seth Aronson, Kristina Hersey, and Amy Longo	
The Current Enforcement Environment and the Corporate Response	40-9:99	Preemption of "Holder" Class Actions under SLUSA	39-15:163
Larry E. Bergmann		Brynn D. Peltz	
Soft-Dollar Arrangements under Section 28(e) of the Securities Exchange Act.....	40-8:87	Investment Advisers of Offshore Funds.....	39-15:153
Mark Perlow		Susan C. Ervin and Matthew F. Kluchenek	
Managing Hedge Fund Conflicts of Interest.....	40-7:75	Possible Breakthrough to Expanded Use of Futures by Investment Companies.	39-14:151
Margaret Jacobs and Betty Santangelo		LizabethAnn R. Eisen	
The Anti-Money Laundering Regime for the Futures Industry	40-6:59	Role of Underwriters' Counsel in Complying with the NASD's Corporate Financing Rule	39-14:141
Marc H. Folladori, Michael Hermsen, and Saul R. Laureles		Gregory S. Bruch and Jessica L. Matelis	
SEC Overhauls Executive Compensation Disclosure Rules	40-5:47	Enforcement Practice Before the PCAOB.....	39-13:131
Alice F. Yurke		Glen Barrentine and Thomas Kuczajda	
Developments Affecting Commodity-Linked Security Products.....	40-4:41	Equity-Indexed Annuities: Regulatory Trouble for the Unwary.....	39-12:119
Jeffrey D. Karpf and Leslie N. Silverman		Anna T. Pinedo	
When Time-of-Sale Disclosure Turns Out to Be Wrong: Reforming the Securities Sale Contract.....	40-4:35	Legal and Regulatory Developments Relating to Structured Products.....	39-11:109
Gary DiBianco and Andrew M. Lawrence		William E. Donnelly and Jerry A. Isenberg	
Investigation and Reporting Obligations under Section 10A of the Securities Exchange Act.....	40-3:25	Lawyers as Gatekeepers: An SEC Enforcement Perspective.....	39-10:97
Brian T. Casey and Eric L. Marhoun		Robert B. Robbins and Philip L. Rothenberg	
Broker-Dealer Participation in Life Settlements of Variable Insurance Policies	40-2:21	Writing Risk Factor Disclosure in Exchange Act Reports.....	39-9:87
Jessica A. Clarke and Jacqueline C. Wolff		Nicolas Grabar	
Liability under the Foreign Corrupt Practices Act	40-2:13	New Form 20-F Requirements for 2006.....	39-8:79
Thomas Kuczajda and Sharon Rose		Inez H. Friedman-Boyce and Carl E. Metzger	
Supervising Sales of 529 Plans: Not as Easy as 1-2-3	40-1:1	Defending Venture Capital Firms in Securities Litigation.....	39-8:63
		John H. Eickemeyer	
		SEC Actions Against Accountants under Section 10A of the Exchange Act.....	39-7:53

2000 – 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.
Marc Recht and Dennis J. White Sarbanes-Oxley's Continuing Impact on Middle-Market M&A	39-7:47
Daniel L. Goelzer and Marilyn Weimer Inspecting the Watchdogs — An Overview of the PCAOB's Inspection Program	39-6:35
Christopher L. Padurano and Charles A. Ross Resolving Criminal Securities Fraud Cases.	39-5:23
Jack Weinberg Books and Records Retention and Disclosure in the Electronic Age ..	39-4:15
Terri Seligman Email Marketing: Legal Overview and Compliance Guidelines	39-3:9
Janet L. Fisher and Leslie N. Silverman Director Due Diligence after WorldCom	39-2:1
Lorraine Bellard and Jeffrey Plotkin Act-of-Production Privilege in SEC Proceedings	39-1:289
2005	
Behnam Dayanim and Kristine A. Rembach Notice of Data Theft: States and the Congress Jump on the California Bandwagon	38-22:281
James N. Benedict, Sean M. Murphy, and Andrew W. Robertson Aftermath of the Mutual Fund Crisis	38-21:261
Lawrence M. Gill International Financial Reporting Standards	38-20:251
Richard L. Gallagher and Robert P. Varian Loss Causation in Securities Class Actions after <i>Dura</i>	38-19:241
Norman S. Poser Regulation NMS	38-18:229
Christopher S. Petito and Angela R. Thompson Practical Tips for Handling Regulatory Inspections	38-17:215
Margaret Jacobs and Betty Santangelo Mutual Fund Compliance and the Anti-Money Laundering Regulatory Regime	38-16:201
Peter D. Cripps, Ian A. Hartman, and William G. Lawlor Doing Public M&A Deals in Pennsylvania: Minesweeper Required	38-15:191
Paul B. Uhlenhop Critical Elements of an Effective Supervisory Structure	38-14:173
Bradley C. Faris and Mark D. Gerstein Special Negotiating Committees	38-13:157
Kathleen K. Clarke and Paul M. Miller New Mutual Fund Redemption Fee Rule	38-12:151
Timothy B. Parker Soft Dollars Reconsidered, Again	38-12:141
Matthew C. Baltay, John H. Henn, and Brandon F. White Anonymous Sources in Securities Class Action Complaints	38-11:131
Mark A. Borges FASB's New Accounting Standard for Stock-Based Compensation	38-10:115
Tracy A. Nichols and Stephen P. Warren Aiding and Abetting Liability under Section 10(B)	38-9:105
Mari-Anne Pisarri Raising the Bar: Investment Adviser Codes of Ethics	38-8:97
Sarah E. McCallum and Warren R. Stern The Private Securities Litigation Reform Act: Ten Years after	38-7:89
Jeffrey D. Karpf and Leslie N. Silverman The SEC's Securities Offering Reform Proposals: Will This Ship Sail?	38-6:63
Michael Delikat, Renee B. Phillips, and Jill L. Rosenberg Whistleblowing Claims under Sarbanes-Oxley	38-5:51
Kenneth J. Berman and Elizabeth N. Kaplan The New Fund Governance Standards	38-4:33
Vincent J. Badolato and Dennis J. Lawson Identifying and Managing Conflicts of Interest	38-3:25
Daniel Aronowitz The New Rescission Rules for D&O Insurance Policies	38-2:13
Steven B. Caruso Arbitrator Training in the Securities Dispute Arena	38-1:8
Paul W. Goldstein, Rochelle S. Hall, and Thomas J. McGonigle Risk Management for Broker-Dealers	38-1:1
2004	
Kevin D. Finger, The Honorable Erwin I. Katz, and Robert W. Lannan Sarbanes-Oxley and Publicly Traded Corporations in the Zone of Insolvency	37-22:262
Emily M. Zeigler New CFTC Rules for CPOS and CTAS	37-22:257
Marc Morgenstern and Peter Nealis The Impact of Sarbanes-Oxley on Mid-Cap Issuers	37-21:245
Michael L. Cypers, William H. Forman, and John M. Landry The Future of Loss Causation	37-20:235
Thomas J. Sherrard What Is a Security – Revisited	37-19:227
Donald W. Glazer and Keith F. Higgins Securities Exchange Act Section 16: Short Answers to Quick Questions under the New Rules and Forms	37-18:207
Helene T. Glotzer Recent Trends in SEC Enforcement Remedies	37-17:185
Gary Simon New Audit Committee Rules	37-16:16

2000 – 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Jeffrey C. Blockinger and Rebecca M. Palmer Hedge Fund Managers in the Era of Heightened Regulatory Scrutiny.....	37-15:159	Philip H. Harris and Wei-Li F.X. Tjong Regulatory Issues in Private Placements of Hedge Fund Securities.....	36-21:249
Michael S. Sackheim False Reporting of OTC Energy Transactions.....	37-14:149	Vincent R. Cappucci Securities Class Actions: Settlements.....	36-20:243
Robert R. Stauffer, Seth A. Travis, and Anton R. Valukas Enforcement Actions in the Post-Enron World: Zero Tolerance in the White-Collar Arena.....	37-13:133	William E. Donnelly and Thomas J. McGonigle Research Analysts’ Conflicts: The Regulatory Response.....	36-20:235
Richard W. Helm and Frederick B. Lohr European Regulation of Investment Funds.....	37-12:121	Terrance J. O’Malley The SEC Revises and Modernizes the Advisers Act Custody Rule.....	36-19:225
Allan Horwich New Form 8-K and Real-Time Disclosure.....	37-11:109	James C. Hartman, Jennifer S. Martinez, and Mark D. Pollack Recent SEC Enforcement Cases.....	36-18:213
Jennifer L. Chunias and Carl E. Metzger Two Years after Sarbanes-Oxley: Assessing the Impact on D&O Liability Insurance.....	37-10:99	James N. Benedict and Christopher M. Joraleman Primary Liability of Secondary Actors in Securities Fraud Cases ...	36-17:205
Kelly H. Zinser New Issues Are the New Hot Issues — An Overview of NASD Rule 2790.....	37-9:94	Inez H. Friedman-Boyce and Brian E. Pastuszewski Defending Outside Directors in Securities Litigation.....	36-16:191
John H. Henn, Kalun Lee, and Stephen C. Warneck The Lead Plaintiff and Lead Counsel Provisions of the PSLRA: A Defense Perspective.....	37-9:83	Gerald Audant, Sara B. Brody, James E. Burns, and Robert P. Varian Trying Securities Class Actions in the Post-Enron Era.....	36-15:177
Daniel L. Goelzer and Marilyn Weimer An Audit of Internal Control over Financial Reporting — The New PCAOB Standard.....	37-8:71	Jay G. Baris Anti-Money Laundering: Rules for Investment Companies.....	36-14:165
Roberto M. Bracerias Late Trading and Market Timing.....	37-7:61	Steven Drachman The SEC’s Company Act and Advisers Act Agenda.....	36-13:149
Seth Aronson and Amy J. Longo Current Issues under the Securities Litigation Uniform Standards Act.....	37-6:51	Paul Ferrillo and Erin J. Law Class Certification and the ‘Most Adequate’ Plaintiff.....	36-12:141
Steven B. Nadel U.S. Regulation of Private Investment Funds.....	37-5:45	Ira H. Jolles Sarbanes-Oxley: The New Audit Committee and the Exercise of Due Care.....	36-11:133
Kit Chaskin, Venus S. McGhee, Neil B. Posner, Carolyn H. Rosenberg, and Duane F. Sigelko Negotiating D&O Policies: Key Terms and Conditions.....	37-4:31	Mari-Anne Pisarri SEC Adopts New Proxy Voting Rules.....	36-11:127
Kathleen K. Clarke and Paul M. Miller Compliance Programs of Registered Investment Advisers and Investment Companies.....	37-3:26	William D. Edick For Accountants, a Brave New World.....	36-10:119
Stephen P. Younger Damages in Securities Litigation.....	37-3:19	Kelly H. Zinser Why ‘Best Execution’ Is in Your ‘Best’ Interest.....	36-9:113
Marc Morgenstern Off-Balance Sheet Disclosures in MD&A.....	37-2:9	Martin F. Doublesin and Marc H. Folladori Developments in Executive Compensation Disclosures.....	36-8:107
Paul R. Bessette, Blair C. Hedges, and Steven S. Kaufhold Defending Securities Class Actions Involving Accounting Restatements.....	37-1:1	Michael L. Cypers Trial of an Accountant Liability Case: A Defendants’ Attorney’s Perspective.....	36-7:100
	2003	N. Robert Stoll Trial of an Accountant Liability Case: A Plaintiff Lawyer’s Tips.....	36-7:91
Sylvia M. Mahaffey, Lilyanna L. Peyser, and Robert B. Robbins Regulation D Offerings and the Internet.....	36-22:259	James J. Junewicz The SEC’s Recent Enforcement Actions under Regulation FD.....	36-6:83
		David A. Bell and Richard L. Dickson Dilutive Venture Capital Financings of Distressed Companies.....	36-5:73

2000 – 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
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		Daniel J. Kramer and Megan Elizabeth Murray Extraterritorial Application of United States Securities Laws to Punish Insider Trading	35-7:65
Mari-Anne Pisarri When Two Worlds Collide: The Interplay Between Broker-Dealer and Investment Adviser Regulation	35-22:271	Robert B. Robbins The Fiduciary Duties of Directors of Corporate General Partners: Ten Years after <i>USACAFES</i>	35-6:57
S. Mark Hurd Indemnification of Directors and Officers under Delaware Law.....	35-21:262	James C. Creigh and Michael S. Dorf Earn-Outs and Other Deferred Consideration Rights.....	35-5:49
Stuart M. Grant and Megan D. McIntyre Class Certification and Section 18 of the Exchange Act	35-21:255	Michael S. Caccese Revised Performance Presentation Standards	35-4:39
Allan Horwich New Requirements for Disclosure of Financial Condition under the Federal Securities Laws	35-20:243	Jeffrey C. Blockinger and Stephanie M. Monaco Operating a Hedge Fund in a Regulated Environment	35-3:27
Guy P. Lander Using the Internet to Reduce the Costs of Securities Practice	35-19:237	Jonathan M. Hoff and Jake P. Yancher Developments in Pleading under the PSLRA	35-2:13
Peter J. Anderson and Alana Rae Black Accountants’ Liability after Enron.....	35-18:227	Jonathan M. Rich Antitrust Enforcement in the Securities and Commodities Markets.....	35-1:1
Craig E. Chapman Underwriters’ Due Diligence Revisited	35-17:207	2001	
Dean J. DiPilato, Brian E. Pastuszewski, and Christopher F. Robertson Loss Causation in Securities Litigation: A Defense Strategy Whose Time Has Come	35-16:194	Paul B. Uhlenhop and Michael Wise Managing Regulatory Investigations and Examinations for Cause	34-22:271
Jeffrey C. Blockinger and Prufesh R. Modhera Selecting the Appropriate Type of Hedge Fund.....	35-16:185	David B. Harms Integration under the 1933 Act: The SEC Provides New Safe Harbors	34-21:259
C. Evan Stewart Liability for Securities Lawyers in the Post-Enron Era.....	35-15:171	E. Paul Quinn Due Diligence in Private M&A Transactions	34-20:253
Jerry A. Isenberg The <i>Seaboard</i> Section 21(A) Report: Promises and Perils.....	35-14:164	Susan C. Ervin Single Stock Futures.....	34-19:243
James N. Benedict and Mary K. Dulka Recent Developments in Litigation under the Investment Company Act of 1940.....	35-14:151	Mark Bonham and Craig Norris Recent Legal and Accounting Issues in Initial Public Offerings.....	34-18:233
Michael Berenson and Christopher D. Menconi To Boldly Go Where No Securities Offering Has Gone Before: Paperless	35-13:137	Leo F. Orenstein The NASD and the Constitutional Right to Remain Silent	34-17:225
Elizabeth Knoblock Investment Advisory Sales: Best Practices	35-12:129	Richard F. Jackson and James T. McHale Financial Privacy and Regulation S-P: An Analysis of Selected Issues	34-17:217

2000 – 2024 CUMULATIVE ARTICLE INDEX

Vol.-No.:Pg.	Vol.-No.:Pg.
<p>Jonathan L. Lewis and Howard J. Roin Due Diligence Investigations: A Litigator’s Perspective 34-16:209</p> <p>Rose F. DiMartino and Niral P. Kalaria Investment Adviser Code of Ethics 34-16:197</p> <p>Ethan D. Corey Display and Execution of Customer Limit Orders..... 34-15:185</p> <p>Kenneth J. Berman and Shannon Conaty Disclosure of Mutual Fund after-Tax Returns 34-14:172</p> <p>Rochelle S. Hall, Thomas J. McGonigle, and M. Elizabeth Parks NASDR Examinations: Priorities and Procedures 34-14:165</p> <p>Daniel S. Drosman and Jordan Eth The Private Securities Litigation Reform Act: Five Years Young 34-13:153</p> <p>Jay G. Baris The New Fund Governance Standards 34-12:135</p> <p>Margaret A. Jacobs, Daniel J. Kramer, and Betty Santangelo Suitability in Cyberspace 34-11:123</p> <p>Tuuli-Ann Riskok Exchange-Traded Funds..... 34-10:109</p> <p>Michael S. Sackheim and Jane Kang Thorpe Equity Derivatives under the Commodity Futures Modernization Act 34-9:103</p> <p>Mark D. Young The Commodity Futures Modernization Act of 2000: Twenty Questions on the Commodity Futures Modernization Act 34-9:89</p> <p>Sandra Folsom Kinsey Foreign Private Issuers 34-8:79</p> <p>Jeffrey O. Himstreet and Neal E. Sullivan Investment Adviser Trading Issues 34-7:69</p> <p>Kenneth B. Winer and Samuel J. Winer Effective Representation in the SEC Wells Process 34-6:59</p> <p>Christian J. Mixer Web-Based Investment Advisers and Commodity Trading Advisors 34-5:47</p> <p>Steven B. Boehm and Cynthia M. Krus The Business Development Company Solution..... 34-4:39</p> <p>David E. Webb High Yield Offerings in the U.S. & Europe 34-3:27</p> <p>Peter Q. Bassett and Kelly C. Wilcove State Court Securities Litigation after the Uniform Standards Act..... 34-2:15</p> <p>Alan L. Dye and Peter J. Romero The SEC’s New Insider Trading Rules 34-1:1</p>	<p style="text-align: center;">2000</p> <p>A. Robert Pietrzak and Andrew W. Stern Standard Form Agreements in the Securities Field 33-22:259</p> <p>Patricia A. Gomez and Thomas L. Taylor III Recent Trends in “Failure to Supervise” Cases 33-21:251</p> <p>Lawrence C. Tondell Disclosure Risks in Private Placements of Structured and Equity-Linked Repackagings 33-21:245</p> <p>James J. Junewicz The SEC Raises the Stakes in Issuer-Analyst Communications 33-20:237</p> <p>Raymond D. Agran, John N. Ake, and Martha J. Hays Investment Company Act Pitfalls for Public Venture-Capital Companies 33-19:231</p> <p>Robert A. Robertson Board Oversight of Mutual Fund Compliance Operations 33-18:220</p> <p>Edward L. Pittman, Alan J. Reed, and Richard Y. Roberts Confusion in Cyberspace 33-18:213</p> <p>Michael S. Sackheim Ethical Standards for New York Brokerage House Attorneys 33-17:199</p> <p>Matthew A. Chambers Web Compliance Issues for Investment Advisers 33-16:187</p> <p>Alan L. Dye and Peter J. Romero Developments under Section 16: (Part 2 of Two Parts)..... 33-15:171</p> <p>Alan L. Dye and Peter J. Romero Developments under Section 16: (Part 1 of Two Parts)..... 33-14:155</p> <p>Mari-Anne Pisarri Personal Trading by Advisory Personnel: The Seven Deadly Sins 33-13:143</p> <p>Patrice M. Pitts Using Electronic Media to Offer and Sell Securities 33-12:135</p> <p>Neil S. Lang and Mark D. Perlow Earnings Management: Swept Away? 33-11:123</p> <p>David B. Bayless and John A. Kelley The Changing Role and Composition of Audit Committees 33-10:109</p> <p>Joran Eth and Christopher A. Patz Securities Litigation and the Outside Director 33-9:95</p> <p>Stanley Keller Securities Law Considerations in Negotiated Acquisitions 33-8:83</p> <p>Julie Allecta and Thoa H. Ngo The SEC’s Soft Dollar Release 33-7:75</p> <p>Satish M. Kini Impact of the 1999 Financial Modernization Act on Investment Advisers and Investment Companies 33-7:69</p>

2000 – 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Kenneth B. Winer		Gregory N. Bressler	
Securities Firms and the Foreign Corrupt Practices Act.....	33-6:61	Amendments to the Code of Ethics Rule under the Investment Company Act	33-3:19
Jay W. Eisenhofer and Stuart M. Grant		Jonathan S. Adler, Stuart H. Gelfond, Valerie Ford Jacob, and Michael A. Levitt	
Institutional Investors and Section 18 of the Exchange Act	33-5:54	Financial Statement Requirements for Acquisitions in Registered Public Offerings	33-2:9
Jesse A. Finkelstein, Peter B. Ladig, and Srinivas M. Raju		James C. McMillin	
Attorney-Client Privilege: Potential Dangers of Having Corporate General Counsel Perform Multiple Roles	33-5:49	Recent Developments in Litigation under the Securities Act of 1933.....	33-1:1
Pamela J. Wilson			
Mutual Fund Advertising.....	33-4:31		