

THE REVIEW OF SECURITIES & COMMODITIES REGULATION

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

2000 – JUNE 2024 CUMULATIVE ARTICLE INDEX

Notes

Articles are listed in reverse chronological order with their authors.

	Vol.-No.:Pg		Vol.-No.:Pg
2024			
Joshua B. Deringer and Kellilyn Greco The Rise of Interval and Tender-Offer Unlisted Closed-End Funds	57-12:119	Kenneth E. Burdon Closed-End Fund Activism: How to Level the Playing Field.....	57-3:25
Ilan Graff, Nicole R. Love, and Eamon O’Neill Issues in Internal Investigations	57-12:113	Brian A. Jacobs, Thomas A. McKay, and A. Dennis Dillon How Recent Crypto Prosecutions May Crack the U.S. Code	57-2:13
John Rizio-Hamilton, Jesse L. Jensen, and Thomas Sperber 2023 Developments for Auditor Regulation Under the U.S. Securities Laws	57-11:107	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
2023			
William J. Hochul, Jr. DOJ Disclosure and Whistleblower Programs Demand ‘Prudent’ Companies Adopt an Effective Internal Investigations Strategy.....	57-11:101	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
Katherine Ashley, David Wales, and Erik Elsea Addressing Regulatory Risk in M&A Agreements	57-10:93	Daryl B. Robertson New Exemption From Federal Broker-Dealer Registration for M&A Brokers	56-22:307
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	Claire Rajan and Ayyan Zubair The Use of Data Analytics in Enforcement and Corporate Compliance.....	56-21:301
Meredith Kotler and Nicholas A. Caselli Trends in M&A and Fiduciary Duty Litigation	57-8:73	Michelle N. Tanney and Edward J. Jacobs Federal Regulators Sharpen Focus on Personal Device Use and Off-Channel Communications	56-21:295
Joni S. Jacobsen, Angela M. Liu, Timothy Spangler, and Vishan J. Patel Cryptocurrency Securities Class Action Litigation: 2023 Year in Review	57-7:65	Christopher D. Christian and Katie Carter Finding Gold in Europe in Green While Maintaining Regulatory Compliance.....	56-20:281
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	Zachary Goldman, Zack Kessler, Lester Ross, and Kenneth Zhou Navigating Cross-Border Economic Sanctions: Ensuring Compliance and Mitigating Risks	56-19:275
Tiffany J. Smith and Kyle P. Swan Potential Impact of the SEC’s Rulemaking Agenda on Crypto	57-5:47	Mark Cianci, Stefan Schropp, Antonia Miller, and Deborah Pabon Cifuentes Emerging Issues in Digital Asset Litigation: Discovery and Beyond.....	56-19:265
Alyse A. Sagalchik and Lawrence D. Levin 2024 Proxy Season Updates	57-4:43		
Brian Finch, David Oliwenstein, and Sarah Madigan Navigating the SEC’s New Cybersecurity Disclosure Regime.....	57-4:37		

2000 – JUNE 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Christopher B. Horn and Jon A. Schlotterback Conflicts of Interest in Asset-Backed Securitization: An Analysis of Proposed Rule 192	56-18:249	James M. Koukios, Ruti Smithline, and Heather Han How Do Chief Compliance Officers Prepare for DOJ’s New Compliance Certification Policy?	56-9:127
James Hu, Andrew Hammond, and Melissa Curvino Preparing the “Background of the Merger” Section in Merger Proxy Statement.....	56-17:243	Lance C. Dial, Amy McDonald, and Jonathan Nowakowski SEC Modernizes Content and Delivery Requirements for Mutual Fund Shareholder Reports	56-9:119
Dan Kahn U.S. Department of Justice’s Revised Compliance Guidance: DOJ Tackles Clawbacks and Ephemeral Messaging.....	56-17:239	Adam Aderton and Melissa Taustine SEC Enforcement Sweeps: Implications for Agency and Industry	56-8:113
Paul M. Dudek The Unique Impact of Recent SEC Rules on Foreign Private Issuers.....	56-16:227	William D. Semins and Julie F. Rizzo Building an Effective ESG Program.....	56-8:103
Paula D. Shaffner and Brandon M. Riley Key Regulatory and Compliance Considerations for Small and Regional Broker/Dealers.....	56-15:223	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
Matthew A. Schwartz and Aaron J. Blake Ethical Issues Arising From Client Deposition Perjury.....	56-15:215	Scott Walker and Neel Maitra Crypto Asset Custody by Investment Advisers after the SEC’s Proposed Safeguarding Rule.....	56-6:75
Rizwan A. Qureshi and Justin Angotti Solving Corporate Problems: Enforcement and Independent Investigation Under the Biden Administration.....	56-14:209	John C. Browne and Lauren A. Ormsbee Section 11’s Tracing Doctrine Goes Up to the Supreme Court.....	56-5:67
Vadim Avdeychik and Emily Picard The Rise of Mutual Fund Alternatives: Collective Investment Trusts and Retail Separately Managed Funds	56-14:199	Zane David Memeger The Monaco Memo and Evaluating the Benefits and Risks of Voluntary Self-Disclosures.....	56-5:59
Terri L. Chase, David Peavler, and Alexander J. Wilson Dealing with (And How Not to Deal with) Whistleblowers.....	56-13:191	Alyse A. Sagalchik and Lawrence D. Levin 2023 Proxy Season Updates	56-4:55
Elanit A. Snow and Peter T. Martin The SEC’s Proposed Rule for Reporting Large Security-Based Swap Positions	56-13:183	Derek Steingarten and Aaron Russ Adapting to Change in Proxy Voting Duties of Investment Advisers and Registered Investment Companies	56-4:45
Jenny Hochenberg, Madlyn Gleich Primoff, and Aashim Usgaonkar End-of-Life Options for Ex-SPACs	56-12:175	Robert Johnston, Matthew Boxer, Rachel Maimin, and Alessandra Moore Compliance Monitors are Once Again “In Vogue”	56-3:37
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	Harris L. Kay, William E. Walsh, and Alexandra J. Maritzel Futures Markets Enforcement Trends.....	56-3:29
Lianna Whittleton Recent Developments in Private Company Financing Trends	56-11:163	John Rizio-Hamilton, Jesse L. Jensen, and Jasmine Cooper-Little 2022 Developments for Auditor Regulation Under the U.S. Securities Laws	56-2:21
Matthew L. Mustokoff Disaggregating the Causes of Stock Drops in Securities Fraud Cases	56-11:157	Andrew Ceresney, Kristin Snyder, Charu Chandrasekhar, and Stephen Petraeus The SEC’s Use of Data Analytics in Examinations and Enforcement Investigations	56-2:13
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
Susan Gault-Brown Responding to the SEC Staff on the Custody of Digital Assets Under the 1940 Act.....	56-10:143	2022	
Lara C. Thyagarajan, Kathryn L. Alessi, and Allison R. Ferraris Regulation Best Interest: Emerging Arbitration, Regulatory, and Enforcement Developments.....	56-10:135	Benjamin Daniels, Arila Zhou, and Sabrina Galli Buzzfeed Case Highlights New Trends in SPAC Litigation	55-22:265
		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

2000 – JUNE 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Daniel Kahn DOJ’s New Guidance on Corporate Criminal Enforcement and the Impact on Securities and Commodities Cases	55-21:251	Ryan Fayhee, Tyler Grove, and Anna Hamati Recent United States Sanctions on Russia.....	55-10:101
Brian T. Casey and Ryan J. Last State Securities Acts Compliance Issues for Tertiary Market Life Settlement Policy Traders	55-21:243	Sean M. Murphy, Jed M. Schwartz, and Gary A. Crosby II Recent Developments Regarding Books and Records Demands to Mutual Funds	55-9:85
Anne C. Choe, Benjamin B. Allensworth, and Matthew Haddadin Significant Proposed SEC Rules for Advisers to Private Funds	55-20:231	James M. Koukios, Victor Lopez, and Ruti Smithline Anti-Corruption Enforcement Trends in Latin America: Look Back to Look Ahead	55-8:79
Matthew Bisanz, Matt Kluchenek, and Anna Easter The ABCs of LEIs – And What You May Not Know	55-19:225	David A. Herman and Allysha Hall Enforcement of Third-Party Releases Ordered by Foreign Courts	55-7:71
Betty Santangelo, Melissa G.R. Goldstein, and Hannah Thibideau AML Recent Developments: What Practitioners Need to Know	55-19:219	Gail Weinstein, Scott B. Luftglass, Steve Epstein, and Phil Richter Recent Developments in Delaware M&A Disclosure	55-6:59
Michael M. Farhang and Jeamine Lemker Flagging FCPA Misconduct in Virtual Work Environments	55-18:213	Christopher J. Cestaro and Jon C. Weingart Recent Developments Under the Accounting Provisions of the FCPA	55-5:53
Anita Bandy and Christopher Herlihy FCPA Enforcement Trends: Increased Risk Profile and Considerations for Corporate Gatekeepers.....	55-18:203	Christina M. Thomas De-Listing of Foreign Companies – Legislative and SEC Developments	55-5:49
Eric Goldberg The CFPB’s Authority to Regulate Cryptocurrency Products and Services.....	55-17:191	Jenny Hochenberg and Justin C. Clarke SPAC Litigation: Current State and Beyond	55-4:33
Jina Choi and Christin Hill ESG Litigation: SEC Enforcement and Private Actions	55-16:185	James G. Lundy, Nicholas A.J. Wendland, and David Yoshimura The Evolution of Spoofing Enforcement and ... Avoidance	55-3:25
Leo Tsao and Kenneth Herzinger Non-Fungible Tokens: Compliance Risks and Beyond	55-16:175	Anne M. Termine and Annie Willett CFTC Enforcement Program 2020-2021: The Swaps Market Under Review	55-2:13
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	Ranah Esmaili and Ryan Parchment The SEC’s Scrutiny of Insider Trading in an Era of Alternative Data	55-1:1
Rebecca Boon and Brittney Balsler Five Years after #MeToo Goes Mainstream.....	55-14:159	2021	
Brandon M. Hammer and Kathryn Witchger Facilitating Cross-Margining: Treasury Market Trades and Interest Rate Futures	55-14:151	Paul M. Architzel and Aaron Friedman Swap Execution Facilities	54-22:275
Brian J. Baltz and John V. Ayanian Broker-Dealer and Investment Adviser Account Recommendations	55-13:139	Amy J. Greer and Gavin M. Meyers Preparing for Regulatory Examinations Evaluating the Digitization of Trading and Investment Advice	54-22:269
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
		Jay G. Baris A Divided SEC (Finally) Adopts Sweeping Rule Governing Fund Use of Derivatives	54-19:229

2000 – JUNE 2024 CUMULATIVE ARTICLE INDEX

Vol.-No.:Pg.	Vol.-No.:Pg.
<p>Brian O’Bleness, Matthew A. Lafferman, Meagan A. Edmonds Cross-Border Investigations in a “Flat” Investigation World 54-18:217</p> <p>Paulita Pike and David M. Geffen Fund Directors’ Oversight of Investments in Cryptocurrencies and Other Digital Assets..... 54-17:211</p> <p>Kelley A. Howes Preparing for and Managing an SEC Examination of a Registered Investment Adviser..... 54-17:205</p> <p>Jeffrey A. Letalien SPAC Business Combinations: An Alternative to Traditional IPOs..... 54-16:197</p> <p>Silpa Maruri and Owen Roberts Recurring Themes in COVID-19 “Busted Deal” Litigation..... 54-16:189</p> <p>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</p> <p>Sergio Alvarez-Mena and Carly Roessler AMLA for Broker-Dealers: A New Paradigm 54-15:177</p> <p>Robert G. Houck, David Yeres, Benjamin Peacock, and Brendan Stuart Developments in Commodities Law 2020 – An Uncommon Year in Review..... 54-14:165</p> <p>Darshak Dholakia and Melissa Duffy Status of U.S. Sanctions and Other Trade Restrictions on China 54-13:153</p> <p>Douglas K. Yatter, Sohom Datta, and Cameron J. Sinsheimer Insider Trading in Commodities Markets: An Evolving Enforcement Priority..... 54-12:143</p> <p>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</p> <p>Neal Kumar The CFTC (Finally) Adopts Speculative Position Limits..... 54-11:123</p> <p>Lyle Roberts The Ninth Circuit’s Recent Decisions on the Pleading of Loss Causation in Securities Fraud Cases 54-10:117</p> <p>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</p> <p>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</p> <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 Transactions54-7:77</p> <p>Julien Bourgeois, Nicholas Di Lorenzo, and Christopher Dotson Environmental, Social, and Governance Investing Considerations in the U.S. and the EU54-6:65</p> <p>Alex M. Madrid and Natasha S. Cooper Turbulent Seas Ahead: New Arbitration Issues for Broker- Dealers54-5:55</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-1954-4:41</p> <p>Daren R. Domina and Timothy J. Piscatelli Examining and Managing Risks Associated with Outsourcing Compliance Functions54-3:33</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 Actions54-2:13</p> <p>Daniel Nathan, Heather Sussman, and Colleen Hespeler Regulatory Expectations for Cybersecurity Practices at Broker- Dealers54-1:1</p> <p style="text-align: center;">2020</p> <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 Priorities53-20:239</p> <p>Nathan Briggs and Timothy Parrington Closed-End Fund Offering Reform: The Short-Form Registration Process53-19:227</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 Remedy53-18:223</p> <p>Stephanie A. Capistrone, Jeremy I. Senderowicz, and Aiman Tariq Recent Developments in ETF Regulation53-18:215</p>

2000 – JUNE 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Deborah Festa and Andrew Keller Volcker Rule Amendments: Back to the Future for CLOs?.....	53-17:211	Baris, Jay G. Derivatives Redux: A Historical Perspective as the SEC Proposes Rules Governing Investment Company Use of Derivatives	53-6:57
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	Tom Hanusik, Rebecca Monck Ricigliano, and Nimi Aviad The Rise of Insider Trading as a Title 18 Offense.....	53-5:49
Jeffrey T. Scott SEC Enforcement Priorities and Trends.....	53-16:189	Jennifer D. Riddle and Peter S. Larson FCPA Risks in M&A Transactions	53-4:43
Philip T. Hinkle and Audrey Wagner Recent Developments Affecting Commodity Pool Operators and Commodity Trading Advisors.....	53-15:179	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
Ann Sultan, Matteson Ellis, and Andrew T. Wise Addressing and Deterring Corporate Misconduct During and After COVID-19.....	53-14:175	Brian Neil Hoffman Cybersecurity Considerations for Public Company Auditors	53-3:31
Paul M. Architzel, Elizabeth L. Mitchell, and Matthew Beville CFTC Enforcement and Regulatory Developments.....	53-14:167	Fatema Merchant and Reid Whitten The Impacts of Foreign Investment Regulation on Venture Capital....	53-3:25
Roger A. Cooper, Jared Gerber, Mark E. McDonald, and Leslie N. Silverman Delaware Supreme Court Green Lights Federal-Forum Charter Provisions	53-13:161	Julian E. Hammar SEC Adopts Recordkeeping and Reporting Rules for Security-Based Swaps.....	53-2:13
Stephen E. Roth, Dodie C. Kent, and Ronald D. Coenen, Jr. SEC Adopts Groundbreaking Disclosure Improvements for Variable Insurance Contracts	53-13:151	Stephen P. Wink, Witold Balaban, John J. Sikora, Jr., and Miles P. Jennings Digital Asset Regulation: <i>Howey</i> Evolves.....	53-1: 1
2019			
Andrew J. Pitts, D. Scott Bennett, Michael E. Mariani, and Melanie R. Cook Direct Listings: Going Public without an IPO.....	53-12:139	Vadim Avdeychik Responsible Investing: Legal and Compliance Considerations for Asset Managers.....	52-22:271
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	Christopher D. Carlson Consecutive Private and Public Offerings for Registered Funds	52-21:261
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	Charles R. Mills and Stacie R. Hartman The CFTC's Enforcement Manual: Key Content and Use for Practitioners in CFTC Investigations	52-21:255
Gregory A. Markel and Sarah A. Fedner Two Areas for Reform in Securities Litigation	53-10:113	Frank Zarb When Passive Hedge Funds Decide to Become Activist.....	52-20:247
Tai Park and Thomas Eninger Global Anti-Corruption Enforcement: American Style	53-9:101	Matthew A. Schwartz and Michael R. Mayer Issues and Trends in Event-Driven Securities Class Actions.....	52-20:239
James G. Tillen and Chervonne Colón Stevenson Managing FCPA Risk While Fulfilling Local Content Requirements .	53-8:95	C. Edward Dobbs Dealing with Emotions in the Resolution of Business Disputes	52-19:227
Roger Cooper, Jared Gerber, and Les Silverman The Latest in the Toshiba Securities Litigation: Perils for Foreign Issuers	53-8:89	Jason H. Smith Goodwill under Scrutiny: How the SEC is Increasingly Targeting Goodwill Impairments and Ways to Reduce Risk	52-18:221
Jennifer Wisinski and Rachael Apfel Current Trends in Indemnification Provisions in Acquisition Agreements	53-7:81	Richard D. Marshall and Mark D. Goldstein SEC Focus on Private Equity: It's Back!	52-18:213
Brian A. Jacobs and Joshua Bussen Sentencing in Recent Insider Trading Cases: What Judges Have Said and Done.....	53-7:73	Jeremy Kuester Structured Finance Special Purpose Vehicles and FinCEN's CDD Rule	52-17:205
		Kathleen S. McArthur and Daniel J. Lasko CFTC Enforcement Advisory on Foreign Corrupt Practices	52-17:201

2000 – JUNE 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Neal R. Marder and Kelly Handschumacher Legal Ethics Considerations in Class Action Litigation	52-16:195	Avi Gesser, Matthew Kelly, and Samantha Pfothenauer The Expanding Role of Lawyers in Addressing Cyber Risk at Financial Firms.....	52-5:45
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	George Zornada, Pablo Man, and Lindsay Grossman Interval Funds Have Turned 25 and Are Increasingly Popular	52-4:39
Hillary H. Holmes and Jordan G. Rex Updates to the Public Company Disclosure Rulebook	52-15:173	Melissa Sawyer and Emily Lichtenheld From Influential Stockholders to De Facto Controlling Stockholders: Recent Trends and Updates in Delaware	52-4:33
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 Implications and Opportunities of <i>Lucia v. SEC</i>	52-3:27
Issa Hanna Broker-Dealers Selling Annuities: Preparing for the Best-Interest Standard.....	52-14:161	Marc J. Fagel, Mark K. Schonfeld, and Dan Li SEC Enforcement Division Issues its 2018 Report Card	52-3:21
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	Dwight C. Smith and Randy Benjenk Changes in Bank Regulation: The Economic Growth, Regulatory Relief, and Consumer Protection Act	52-1/2:1
2018			
Stephen P. Wink, Naim Culhaci, and Deric Behar Digital Advice Platforms: Compliance and Legal Challenges	52-13:149	Benjamin D. Singer and David R. Fitzgerald International Financial Fraud Enforcement Trends in a Globalized World	51-22:271
Gary O. Cohen SEC Proposes Summary Prospectus for Variable Insurance Products.....	52-12:143	Tracey Salmon-Smith and Jennifer Chawla Form U-5 Requirements for FINRA Member Firms.....	51-21:265
Joseph A. Hall <i>Howey</i> , <i>Ralston Purina</i> and the SEC's Digital Asset Framework ...	52-12:137	Anna T. Pinedo Modernizing the Regulatory Framework for BDCs	51-21:259
Vincent E. Lazar and William A. Williams Cleared Derivatives Markets — Customer Protection and Resolution Tools.....	52-11:125	Brian A. Jacobs How Institutional Dynamics Have Shaped Insider Trading Law	51-20:247
Sarah F. Warren Maintaining Privilege Protection of Internal Investigations	52-10:119	Jay A. Dubow and Ying Zeng The Watchdogs Are Being Watched.....	51-19:241
Cheryl L. Haas and Alex M. Madrid Regulatory Developments for Dual Registrants	52-10:113	Michael D. Allen and Robert B. Greco <i>Investors Bancorp</i> : Structuring and Approving Non-Executive Director Compensation to Avoid Judicial Review	51-19:235
William D. Semins and Jared Kephart The Growing Importance of Fully Integrated Compliance Programs	52-9:105	Gwendolyn A. Williamson, Matthew S. Williams, and Thomas M. Ahmadifar Developments in the Regulation of Fiduciary Investment Advice ...	51-18:215
Corin R. Swift, Benjamin L. Nager, and Jordan S. Schwartz Regulatory Focus on “High-Risk” Registered Representatives and Recidivism.....	52-9:97	Kara Brockmeyer and Ada Fernandez Johnson Inside the Role of Brazil’s CVM in Anti-Corruption Cases.....	51-17:211
Meredith Kotler and Mark McDonald Developments in M&A Litigation	52-8:85	Warren T. Allen III and B. Michelle Bosworth Multi-Jurisdictional Anti-Corruption Investigation and Enforcement Trends and Developments	51-17:203
Brian L. Rubin and Rebekah R. Runyon Hiring and Using Compliance Consultants	52-7:77	Michele D. Johnson, Blair Connelly, and Janet J. Hsu The Shift in Delaware Appraisal Litigation	51-16:197
Martin L. Seidel and Mary Eaton The Supreme Court’s <i>Cyan</i> Decision: Implications for Securities Class Actions.....	52-7:69	John C. Partigan Going Public Without an IPO.....	51-16:191
David Woodcock and Alexandra Stanley Issuer Reporting and Disclosure: The State of SEC Enforcement.....	52-6:57	Peter Lichtenbaum and Eric Sanderberg-Zakian Reducing Third-Party Trade Compliance Risks	51-15:187
		Paul M. Dudek Current SEC Initiatives Impacting Foreign Private Issuers.....	51-15:179

2000 – JUNE 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Katherine Cooper Proposed Swap Dealer Capital Requirements: The CFTC’s Long Path Towards a More Risk-Based Approach	51-14:173	Christopher S. Petito Recent Staff Guidance on the Custody Rule under the Investment Advisers Act of 1940	51-3:37
Gretchen Scott EU General Data Protection Regulation: Is the U.S. Funds Industry Ready?	51-14:167	Sarah L. Cave Caught in <i>Traffic</i> : The Scope of the SEC’s Extraterritorial Authority	51-3:31
Deborah Festa and Andrew Keller U.S. Risk Retention Rules: What Constitutes an Open-Market CLO?	51-13:159	Sean Kane Iran Sanctions: Where Are We Now?	51-2:23
Charles Sweet The <i>LSTA</i> Case and the Future of Credit Risk Retention for Securitizations	51-13:151	Paula Anderson The Changing Tide of Delaware Deal Litigation	51-2:15
William Ridgway, Jonathan Marcus, and Alexander Kasparie The Futures Industry and Cybersecurity	51-12:143	Eric Simanek Regulatory Developments Relating to Actively Managed ETFs	51-1:7
Sean M. Murphy, Robert J. Liubicic, and Lisa M. Northrup Mutual Funds and Securities Class Actions: A Square Peg in a Round Hole	51-12:135	Michael H. Huneke and Ashley R. Hodges FCPA Update: Third-Party Risks and Enforcement Actions	51-1:1
		2017	
Kurt Wolfe <i>Digital Realty</i> and the Narrowing of Whistleblower Protections	51-11:123	Richard M. Kosnik Recent Law Firm Publications Capital Markets	50-22:272
Susan Gault-Brown Structuring Options for Retail Crypto Fund Products	51-10:117	Wenchi Hu Technology Outsourcing by National Securities Exchanges and Registered Clearing Agencies	50-22:263
Lawrence D Finder and Lindsay Wright Brett T, G, and E under the FCPA: How Much is Too Much?	51-10:111	Mary P. Hansen, James G. Lundy, and Antoinette M. Snodgrass CFTC Enforcement: Best Practices and Recent Developments	50-21:251
Matt Herrington, Jonathan Drimmer, and Brady Cassis FCPA Compliance: The Role of Data Collection and Analysis	51-9:105	Maia Gez The New Pay Ratio Disclosure	50-20:245
Claire N. Rajan The New Department of Justice FCPA Corporate Enforcement Policy	51-9:99	Arthur H. Kohn and Julia M. Rozenblit Executive Compensation Litigation Update	50-20:235
Benjamin Galdston Shareholder Litigation for Waste of Corporate Assets in Internal FCPA Investigations	51-8:93	Hillel T. Cohn The New Fiduciary Standard for Broker-Dealers	50-19:229
John Mark Zeberkiewicz and Robert B. Greco Determining and Disclosing the Effect of Broker Non-Votes	51-8:87	Brian A. Jacobs and Priya Raghavan The Impact of <i>Salman V. United States</i> on Downstream Tippee Prosecutions	50-19:223
Jay G. Baris and Joshua Ashley Klayman Blockchain Basics for Investment Managers: A Token of Appreciation	51-6/7:67	Colin Lloyd and Christian Artmann Re-Examining the CFTC’s Regulation of Cross-Border Swaps Clearing and Trading Activities	50-18:211
Mary J. Mullany Virtual-Only Shareholder Meetings – Are They a Good Idea for Your Company?	51-5:63	Timothy D. Belevetz Cybersecurity Breaches: Avoiding Pitfalls	50-17:207
Michael Philipp, Akshay Belani, Christine Lombardo, and Sarah Riddell Recordkeeping: Recent Rule Amendments and Other Developments	51-5:55	Jason E. Brown, Eva Ciko Carman, and Nicole Krea SEC Priorities for Private Equity and Real Estate Advisers	50-17:199
Jeff Blumberg and Brian Jacobson Advertising and Social Media for Investment Advisers	51-4:49	Tanuja Dehne, Anne Meyer, and Katayun Jaffari CEO Succession and Crisis Management	50-16:191
Maeve L. O’Connor and Elliot Greenfield <i>Cyan</i> and the Future of Securities Class Actions in State Court	51-4:43	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

2000 – JUNE 2024 CUMULATIVE ARTICLE INDEX

Vol.-No.:Pg.	2016	Vol.-No.:Pg.
<p>Anne P. Ray Navigating Conflicts of Interest in Securities Class Actions 50-14:161</p> <p>Jeffrey P. Taft, Lawrence R. Hamilton, Stephen Lilley, and Matthew Bisanz The New York State DFS Cybersecurity Regulation: Preparing for Compliance 50-13:153</p> <p>Elizabeth P. Gray and Catherine E. Fata Increased Use of Big Data in SEC Enforcement 50-12:145</p> <p>Sean M Murphy, Robert C. Hora, and Michael E. Mirdamadi The So-Called “Fiduciary Exception” to the Attorney-Client Privilege in Section 36(b) Cases 50-11:133</p> <p>Scott B. McBride <i>Salman V. United States</i> and Its Impact on Insider-Trading Enforcement 50-10:125</p> <p>John M. Hillebrecht, Jessica Masella, and Adam Steene Managing a Global Regulatory Investigation — Unique Challenges in Cross-Border Investigations..... 50-9:109</p> <p>Ronald S. Borod Esoteric ABS: Pushing the Envelope..... 50-8:93</p> <p>Julian E. Hammar, David B. Lichtstein, and Robert J. Dilworth The SEC’s Long-Awaited Security-Based Swaps Rules May Be Approaching 50-7:77</p> <p>Willa Cohen Bruckner and Matthew Barringer Margin for Uncleared Swaps: Practical Considerations for the Buy-Side..... 50-6:67</p> <p>Rose F. DiMartino, Jay Spinola, Ryan P. Brizek, and James W. Hahn The SEC’s “Swing Pricing” Rule 50-6:61</p> <p>David Mortlock and Nikki M. Cronin Economic Sanctions Enforcement: Recent Trends and Lessons Learned..... 50-5:57</p> <p>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</p> <p>Tamer Tullgren The SBIC Advisers Relief Act..... 50-4:47</p> <p>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</p> <p>Glen Schleyer 2016 Shareholder Activism Review and Analysis 50-3:25</p> <p>Rose F. DiMartino, Jay Spinola, Ryan P. Brizek, and James W. Hahn The New SEC Liquidity Rule..... 50-2:13</p> <p>Sarah L. Cave The Impact of <i>Omnicare</i> on Auditor Liability under the Federal Securities Laws..... 50-1:9</p> <p>Lisa C. Wood and Matthew Miller Recent Trends in SEC Enforcement Actions Against Auditors..... 50-1:1</p>	<p>Stephen P. Wink and Brett M. Ackerman Crowdfunding under the SEC’s New Rules.....49-22:267</p> <p>Sharon Cohen Levin, Elizabeth J. Hogan, and Tamar Kaplan-Marans Anti-Money Laundering Enforcement: The Rise of Individual Liability for Compliance Professionals49-21:255</p> <p>Michael P. Daly and Richard M. Haggerty Background Checks and the FCRA: How Employers Can Mitigate One Risk without Creating Another`49-20:243</p> <p>Stephanie Yonekura and Deepak Singh The New Focus on Individuals Responsible for Corporate Misconduct.....49-19:235</p> <p>Mariza McKee and Robert Ahrenholz Concurrent Regulation D and Regulation S Offerings in EB-5 Financings49-18:229</p> <p>Matthew T. Martens, Arian M. June, and Caroline Schmidt Four Key SEC Whistleblower Trends – and How Companies Can Prepare for Them.....49-18:225</p> <p>Todd S. Fishman The SEC’s Renewed Focus on Gatekeepers49-17:219</p> <p>Tom A. Paskowitz, Daniel A. McLaughlin, and Benjamin F. Burry Transactions in Un-sponsored American Depositary Receipts.....49-17:211</p> <p>Thomas H. Bentz, Jr. Tips for Strong Cyber Liability Insurance49-16:203</p> <p>Lawrence Zweifach, Arthur Long, Joel Cohen, Robert Trenchard, Jeffrey Steiner, and Amy Mayer Developments and Trends in CFTC Enforcement49-15:189</p> <p>Anastasia Rockas 2015: A Year in Review for Investment Advisers49-14:179</p> <p>David A. Kotler, Joanna Barry, and Catherine Wigglesworth Recent Developments in Mutual Fund Fee Litigation.....49-13:171</p> <p>Robert Sichel, Kristina Zanotti, and Ruth Delaney The Department of Labor’s New Conflict-of-Interest Regulations ..49-13:163</p> <p>Trevor N. McFadden and Maria McMahon Reluctant Handmaidens: The Role of Judiciary in Corporate Settlement Agreements49-12:159</p> <p>Frederick H. Alexander Public Benefit Corporations49-12:155</p> <p>Joan E. Meyer The Evolving Calculus of Corporate Voluntary Disclosure in Foreign Corrupt Practices Act Cases49-12:149</p> <p>Mary Eaton, Amelia Cottrell, Elizabeth Gray, Ben Haskin, Jim Anderson, and Juliet Mun Context Makes a Difference: SEC Loses Controversial Case49-11:139</p> <p>Lisa R. Bugni and Courtney Quirós Preserving and Controlling the Attorney-Client Privilege in M&A Deals49-11:129</p>	

2000 – JUNE 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Nicole Erb, Sara Nordin, and Tanya Hanna Reconciling US and EU Sanctions: Iran and Cuba.....	49-10:121	Gerald S. Sachs, Ryan A. Chiachiere, Alexandra L. Anderson, and Lauren Kelly D. Greenbacker Virtual Currency and Regulation	48-21:275
Ajay Kuntamukkala, Adam J. Berry, and Timothy J. Ford The Iran Nuclear Deal: Possibilities and Pitfalls for U.S. and Non-U.S. Companies	49-10:113	Alan Brudner, Wendy Cohen, Gary DeWaal, David Dickstein, Doron Goldstein, and Dina Wegh Cyber-Attacks and Developments in Cybersecurity	48-20:261
Amy R. Doberman SEC Proposal on Investment Company Use of Derivatives – A Solution in Search of a Problem?	49-9:101	Douglas I. Koff and Julian Rainero Dark Pools: Recent Enforcement Actions	48-19:253
Mary J. Mullany Shareholder Approval of Equity Plans – Current Considerations	49-8:93	Leslie Silverman, Nicolas Grabar, and Andrea Basham New SEC Staff Guidance on General Solicitation.....	48-19:247
Jason A. Jones FCPA Best Practices: Implementation and Utilization of Third-Party Audits.....	49-7:89	Geoffrey S. Goodman, Esq. Safe Harbor Rights and Protections for FCMs and Swap Dealers in Customer Bankruptcies	48-18:239
Jason M. Halper and Jeremy D. Erickson SEC Pay Ratio Rules – A Recipe for Compliance and Model Disclosure	49-7:81	Liisa Thomas Handling Big Data in the Financial Services Sector.....	48-18:231
Christian J. Mixer The SEC’s Administrative Law Enforcement Record	49-6:69	Stephen Heifetz and Kaitlin Cassel CFIUS: A Potential Cause of Deal Delay.....	48-17:225
Paul St. Lawrence Esoteric Asset-Backed Securities	49-5:63	Pamela Hughes, Tim Phillips, and Raees Nakhuda Regulation A+ From a Canadian Perspective.....	48-17:219
Kay Georgi and Valentin Povarchuk Planning after Export Controls or Economic Sanctions Violations Have Been Discovered.....	49-5:53	James Burns and Justin Browder Asset Managers and the Regulatory Debate over Systemic Risk.....	48-16:205
Dan M. Berkovitz and Gail C. Bernstein Swap Dealer Chief Compliance Officer Requirements – Recent Developments	49-4:41	Stacie R. Hartman, Kenneth W. McCracken, and Jacob L. Kahn Disruptive Trading and the Search for Wrongful Intent	48-15:191
Sarah A. Good and Ildiko Duckor The CCO – The SEC’s Target – or Ally in Examinations and Enforcement?	49-3:33	Matthew E. Fishbein The DOJ’s New Position on Corporate Cooperation.....	48-14:185
Anahita Thoms and Bettina Stepanek Capital Market Instruments Targeted by EU Sanctions Against Russia.....	49-3:25	Gregory G. Ballard, Kevin A. Burke, and Neil D. Corcoran Law and Practice under Rule 102(e)	48-14:175
Sarah L. Cave and Malik Havalic Subject Matter Jurisdiction under the FAA	49-2:19	Sergio J. Galvis Latin America: Lessons on Shareholder Activism From a U.S. Perspective.....	48-13:171
Marcus A. Asner and Alexandra L. Mitter Keeping Internal Investigations on Track and under Control	49-2:13	Jamie Fleckner ERISA Litigation Involving Retirement Plan Investments.....	48-13:159
David Woodcock and Allison Fuller A Prosecutor’s Approach to SEC Enforcement (and What It Means for Smaller Companies).....	49-1-1	Matthew L. Mustokoff and Stacey M. Kaplan Damages and Predominance in Securities Class Actions after <i>Comcast</i>	48-12:149
2015		Marc E. Elovitz SEC Examinations of Private Fund Advisers	48-12:143
Kim Strosnider and Stephen Bartenstein U.S. Trade Controls Considerations During M&A and Transactional Due Diligence	48-22:291	Choo Lye Tan The Shanghai-Hong Kong Stock Connect.....	48-11:137
Chad E. Silverman and David Zornow Manipulation under the CEA and the Defense of Self-Defense.....	48-21:287	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

2000 – JUNE 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Douglas Davison, Matthew Martens, Nicole Rabner, John Valentine, and Natalie Rastin Litigating With – and At – the SEC	48-9:103	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
Robert E. Plaze Understanding the Investment Adviser Custody Rule: Part II – Safekeeping Requirements	48-8:87	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
David B. Anders Ethical Considerations for Defense Lawyers in SEC Proceedings	48-7:77	Jessica Perry Corley and David W. Gouzoules Developments in Appraisal Litigation	47-18:241
Ralph C. Ferrara and Rachel O. Wolkinson Managing Corporate Crises: A Brief Case Study	48-7:71	Frank Aquila and Melissa Sawyer Perfect Pill, Imperfect Defense	47-18:231
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	George Wang and Andrew Winerman Sanctions Developments in 2014	47-17:223
Robert E. Plaze Understanding the Investment Adviser Custody Rule: Part I – Determining Custody	48-6:59	Deborah S. Birnbach and Morgan R. Mordecai Disclosure Hot Topics in M&A Litigation	47-16:211
A. Neil Hartzell The Perils of Non-Accounting Services Provided by Accounting Firms	48-5:55	Owen Pell, Gregory Stamer, Kim Haviv, and Joshua Elmore City of Pontiac: Second Circuit Further Limits When U.S. Securities Laws May Reach Non-U.S. Securities and Issuers	47-15:207
Stephan E. Becker U.S. Sanctions on Russia	48-5:47	Dan M. Berkovitz and Gail Bernstein Swap Dealer Chief Compliance Officer Requirements – First Year in Review	47-15:195
Maeve L. O’Connor and Elliot Greenfield Lower Court Decisions in the Wake of <i>Halliburton II</i>	48-4:41	Alan R. Gedrich and Christopher J. Zimmerman Alternative Funds in the Registered Fund Marketplace	47-14:183
Deborah A. Monson and Jeremy A. Liabo NFA Inspections – Practical Guidance for CPOs and CTAs	48-4:35	Marc R. Ponchione, Heath P. Tarbert, and Gordon L. Miller Private Equity Funds and the Volcker Rule	47-13:171
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	Stephen M. Gill, Kai Haakon E. Liekefett, and Leonard Wood Structural Defenses to Shareholder Activism	47-12:151
Jeffrey S. Hochman Back to Principles – MD&A as a Model for Effective Disclosure	48-2:19	Abby F. Rudzin, R. Scott Widen, and Brad M. Elias Protecting Financial Advisors in M&A Litigation	47-11:143
Marc J. Fagel and Leslie A. Wulff Private Funds: Preparing for Another Year in the SEC Crosshairs	48-2:13	Mary P. Hansen and William L. Carr Employer Liability for Insider Trading	47-11:135
Dana S. Douglas and Kathleen M. Przywara The Outside Contractor as Whistleblower	48-1:9	Matthew Kluchenek and James Schwartz The CFTC’s Cross-Border Application of the Dodd-Frank Act	47-10:129
Laura D. Richman and Michael L. Hermesen Shareholder Engagement and the Proxy Season	48-1: 1	Matthew E. Kaplan and Steven J. Slutzky Advance Planning for Sponsor-Backed IPOs	47-10:123
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
		Herbert F. Janick III and John Lupton The SEC’s Policies on Civil Penalties and Admissions in Settlements	47-7:85

2000 – JUNE 2024 CUMULATIVE ARTICLE INDEX

Vol.-No.:Pg.	Vol.-No.:Pg.
<p>Richard M. Phillips, Jeffrey L. Bornstein, and Leanne E. Hartmann The SEC’s New Enforcement Program 47-7:79</p> <p>Paul R. Berger, Kenneth J. Berman, Robert B. Kaplan, Jonathan R. Tuttle, Lee A. Schneider, and Ryan M. Kusmin Compliance and Legal Personnel: Potential Supervisory Liability 47-6:75</p> <p>Deanna Kirkpatrick The JOBS Act and IPOs 47-6:71</p> <p>Rose F. DiMartino and Ryan P. Brizek Investment Company Performance: The Board’s Oversight Role 47-5:65</p> <p>Roberta A. Kaplan and Jacob H. Hupart Credit Rating Agency Litigation 47-5:59</p> <p>Richard Hall SEC Developments in M&A 47-4:55</p> <p>Michael M. Farhang and Chris Jung The Interplay Between Government Investigations and Civil Securities Litigation 47-4:43</p> <p>Elissa J. Preheim and Bret A. Finkelstein Preparing an Effective PCAOB Statement of Position 47-3:37</p> <p>Erica Schohn and Joe Penko Executive Compensation Issues: Planning for the Coming Proxy Season 47-3:31</p> <p>Daniel Nathan and Justin Kletter Preparing for and Enduring a FINRA Exam 47-2:25</p> <p>Marc J. Fagel Reassessing the SEC Wells Submission 47-2:17</p> <p>Kelley A. Howes Advisers Act Marketing Considerations for Real Estate Fund Managers 47-1:9</p> <p>Marc Wolinsky and Ben Schireson Deal Litigation Run Amok: Diagnosis and Prescriptions 47-1:1</p>	<p>David Bayless and Tammy Albarrán Concluding an Internal Investigation 46-18:233</p> <p>Paul M. Tyrell Recent AML Enforcement Cases 46-18:227</p> <p>Paula Howell Anderson “Win-Win” Scenarios for Shareholders in M&A Transactions 46-17:217</p> <p>Melissa Sawyer and Rebecca Crosby Deal Protections in Tender Offers 46-17:211</p> <p>Brian Korn and David P. Russo Resales of Restricted and Control Securities under Rule 144 46-16:199</p> <p>Stephen P. Wink, Stefan Paulovic, and Michael Shaw Dually Registered Brokers and Advisers 46-15:191</p> <p>Donald R. Crawshaw Recharacterization of Payments by Mutual Funds and Advisers to Distributors 46-15:183</p> <p>Adam M. Givertz and Brad D. Goldberg Anti-Corruption Due Diligence in Mergers and Acquisitions 46-14:171</p> <p>A. Robert Pietrzak, Tom A. Paskowitz, and Benjamin F. Bury Securities Fraud Litigation Against China-Based Companies in the United States 46-13:157</p> <p>Matthew L. Mustokoff and Margaret E. Onasch Proving Securities Fraud Damages at Trial 46-12:145</p> <p>Stephen A. Keen Money Market Fund Reform From a Risk Management Perspective 46-11:129</p> <p>Patricia O. Vella and Jessica C. Pearlman Confidentiality and Standstill Agreements: Recent Delaware Law Developments 46-10:121</p> <p>Blake Rohrbacher and Christopher H. Lyons Disclosure of Management Projections under Delaware Law 46-10:113</p> <p>Linda L. Griggs The Increasing Focus on Audit Committees 46-9:99</p> <p>Willa Cohen Bruckner A Guide to Dodd-Frank for Users of Swaps 46-8:87</p> <p>Michael H. Margolis and Howard S. Suskin The Use of Sarbanes-Oxley Certifications to Plead Scienter 46-7:83</p> <p>Anna T. Pinedo and Jay G. Baris Structured Products: Investment Company Act and Investment Advisers Act Considerations 46-7:75</p> <p>Meredith Rathbone and Anthony Rapa A Primer on Internal Corporate Investigations 46-6:69</p> <p>F. Joseph Warin and Maura M. Logan Disclosing Pending FCPA Investigations 46-6:61</p> <p>James H. Mutchnik and Micah C. Osgood Documents Hosted Overseas and Grand Jury Subpoenas 46-5:53</p>
2013	
<p>Robert Hubbell Regulators Renew Focus on Auditor Independence 46-22:293</p> <p>Charles F. Walker and Katherine V. Lesker Practicing Before the SEC: Ethical Considerations for Counsel 46-22:281</p> <p>William Kane and Gillian Whittlesey SEC Investment Adviser Examinations 46-21:269</p> <p>Jonathan E. Pickhardt The ACA Case: A New Standard for Reasonable Reliance? 46-20:263</p> <p>Peter W. LaVigne Know Your Customer Inquiries and Suitability Determinations under the Updated FINRA Rules 46-20:253</p> <p>William S. Freeman Regulation FD in the Twitter Age 46-19:245</p> <p>Ethan Silver and Jayun Koo FINRA’s Regulation of its Members’ Use of Social Media 46-19:237</p>	

2000 – JUNE 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Philip Urofsky		Paul C. Gluckow and David B. Edwards	
FCPA 2012: Lessons Learned and Open Issues	46-5:41	Recent Trends Regarding the Use of Confidential Witnesses in Securities Litigation	45-12:141
Cary J. Meer and Kathy K. Ingber		Robert H. Hotz, Jr. and Harry Sandick	
Preparing to be a Commodity Pool Operator: NFA Compliance Obligations	46-4:33	Search Warrants in White-Collar Crime Cases	45-12:133
Richard D. Bernstein and Zheyao Li		Matthew F. Kluchenek and Jacob L. Kahn	
SEC Rule 412: What is Said Now Trumps What was Said Before	46-3:27	The Dodd-Frank Act's Prohibition of Disruptive Trading Practices	45-11:127
Jill Crawley Grisct		Robert A. Skinner and Tyler A. Young	
Predictive Coding: Silver Bullet or Pandora's Box?	46-3:21	Recent Developments in Securities Litigation Against Mutual Funds	45-11:117
Jacqueline D. Shinfield		Robert E. Puopolo, Bradley A. Jacobson, and Stephen T. Adams	
Canadian AML and ATF Regime: The Changing Landscape	46-2:13	The JOBS Act: Improving Access to Capital Markets for Smaller Companies	45-10:109
F. Amanda DeBusk		Melissa Sawyer	
Update on U.S. Sanctions Against Iran	46-1:1	Advising Buyers in Controlling Stockholder Transactions	45-9:97
2012		Laura Ariane Miller and B. Patrice Clair	
Rajib Chanda and Robert Shapiro		The Proverbial Gun in the Corporate Defense World	45-8:91
Board Oversight of Fair Valuation	45-22:263	Sean M. Murphy and James G. Cavoli	
Ioannis Tzouganatos, Jack P. Huntington, and Bruce Treff		Fund Profitability in Mutual Fund Fee Litigation	45-8:81
ETF Regulatory and Operational Considerations	45-21:251	Jeffrey W. Coverdell, Brian L. Rubin, and Andrew M McCormick	
Rudolph Koch and Jason J. Rawnsley		SEC and FINRA: Priorities and Enforcement Trends	45-7:75
Section 162 (M) Litigation: What We Know So Far	45-20:243	Michele D. Johnson and Colleen C. Smith	
Bruce B. Fekrat		The Future of Say-On-Pay Derivative Litigation	45-7:69
CFTC's Large Trader Reporting Rules	45-20:239	Alex C. Lakatos	
Edward R. McNicholas and Elisa K. Jillson		Extraterritorial Section 10(B) Class Actions after <i>Morrison</i>	45-6:61
Extending Compliance to the Cloud	45-19:227	Tracey A. Zaccone	
Thomas C. Bogle		The PIPES Market: Outlook for 2012	45-5:57
Anti-Money Laundering Regulation of Investment Advisers	45-18:219	Thomas W. Kellerman and Jeffrey R. Wolters	
Norman S. Poser		Corporate Governance for Venture-Backed Companies	45-5:49
<i>Janus</i> Revisited: The Lower Courts Wrestle with a Troubling Supreme Court Decision	45-17:211	Sofia E. Biller and Howard S. Suskin	
Guy P. Lander		When is the Statute of Repose Period for Federal Securities Fraud Claims Triggered?	45-4:45
Foreign Private Issuers: Status and Exchange Act Registration	45-16:205	Marc Folladori and Ryan Valenza	
Jay G. Baris		Developments in Shareholder Proposals	45-4:33
Fallout From the Dodd-Frank Zone: Lessons and Challenges for Investment Advisers	45-16:195	Mitchell E. Nichter and Patrick W. Dennis	
Ivonne Mena King, Jaime Guerrero, and Lauren L. Valiente		Duties Imposed by the Investment Advisers Act of 1940	45-3:27
FCPA Internal Investigations in Latin America	45-15:185	Jay G. Baris and Andrew J. Donohue	
John H. Walsh		SEC Concept Release Tackles Investment Company Use of Derivatives	45-3:19
The Time Has Come to Reconsider the <i>Gutfreund</i> Standard	45-15:177	Bruce A. Machmeier and Andrew J. Neuharth	
Barbara Stettner, Charles Borden, Sam Brown, and Claire Rajan		Pre-Releases of Financial Information	45-2:11
Non-U.S. Issuers Selling Fund Interests in the United States	45-14:165	Boris Feldman	
John M. Vasily and Michael J. Rosenthal		Shareholder Litigation after the Fall of an Iron Curtain	45-1:7
The Impact of <i>Morrison</i> on Cross-Border M&A	45-13:157		
Heather Traeger and Jennifer Prospa			
Fixed-Income Markets in 2012	45-13:145		

2000 – JUNE 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Elizabeth K Derbes		Allison Lurton and Mark Herman	
The SEC’s Large Trader Reporting Rule	45-1:1	CFTC Regulation of Derivatives under Dodd-Frank: Challenges for Compliance Officers.....	44-12:129
2011			
Bradley A. Jacobson, Robert E. Puopolo, and Daniel J. Blanchard		Robert W. Helm, Douglas P. Dick, and Gared S. Schneberger	
Capital Formation Reform	44-22:285	Investments in Derivatives by U.S. and European Mutual Funds....	44-11:129
Sarah L. Cave and Jesse L. Jensen		Deanna L. Kirkpatrick	
Federal Securities Claims Against Auditors Following the Subprime Meltdown.....	44-22:277	Negotiating Comfort Letters	44-10:121
John F. Grossbauer and Pamela L. Millard		Jared L. Kopel and Maulik Shah	
Stockholder Rights Plans in Negotiated Mergers: Issues of Delaware Law	44-21:269	The Core Operations Inference	44-9:113
Jonathan R. Tuttle and Ada Fernandez Johnson		Linda L. Griggs	
The SEC Sharpens its Talons in No-Fault Clawback Actions	44-20:261	Disclosures about Loss Contingencies	44-8:107
Michael S. Sackheim		Pravin Rao and Assad Clark	
Professional Responsibility Issues for Swaps Lawyers under Dodd-Frank.....	44-20:253	Changing Landscape of Swap Regulation.....	44-8:97
John Kolada, Stefan Timms, and Michael Hickey		Jason E. Brown	
Cross-Border Public M&A in Canada.....	44-19:245	Application of the Investment Advisers Act to Private Equity Advisers.....	44-7:83
F. Martin Fox, Jack P. Huntington, and Bruce Treff		Giselle M. Barth and Daniel M. Rossner	
Use of Social Media by Investment Advisers	44-19:237	Dodd-Frank Securitization Reforms.....	44-6:67
Laurence S. Lese and Michael E. Clark		Laura D. Richman	
Insights into the SEC’s Whistleblower Program	44-18:225	The Impact of the Dodd-Frank Act on the Proxy and Annual Report Season.....	44-5:55
Jason E. Brown and Joel A. Wattenbarger		Ralph C. Ferrara; Jonathan E. Richman; and William C. Horn	
Implementing the Private Fund Investment Advisers Registration Act of 2010	44-17:213	Fraud? Foreign Purchase? Forget It! “Foreign-Cubed” and Other Foreign-Issuer Cases after <i>Morrison</i>	44-4:47
Norman S. Poser		Michael E. Clark	
The Supreme Court’s <i>Janus Capital</i> Case.....	44-16:205	The Dodd-Frank Act’s Bounty Hunter Provisions	44-3:31
Joel M. Cohen and Adam P. Wolf		Donna L. Wilson and John W. McGuinness	
Private Equity Investment and the FCPA	44-16:197	Investor-Driven Litigation Against the Credit Rating Agencies	44-2:27
John Mark Zeberkiewicz and Tiffany N. Piland		Marc D. Powers	
Valid Issuance of Capital Stock	44-15:191	Insider Trading: The SEC Gets Tough.....	44-2:21
Donald W. Glazer and Michael J. Kendall		Mark A. Borges	
Old Opinion Forms on Sales of Securities.....	44-15:187	The Executive Compensation Provisions of the Dodd-Frank Act	44-1:1
Tracy L. Gerber		2010	
FINRA Arbitration in the Modern Era: A Defense Practitioner’s Perspective.....	44-14:181	Stephanie Nicolas and Leigh Thompson	
Stephen Fishbein, Philip Urofsky, and Richard Kelly		Outsourcing Back-Office and other Functions	43-22:301
The UK Bribery Act 2010.....	44-14:171	Roberta S. Karmel	
James M. Cain, Warren N. Davis, Ann M. Battle, Doyle R. Campbell, and Raymond A. Ramirez		A New Regulatory World for Hedge Funds	43-22:295
Dodd-Frank Necessitates New Legal Documentation for Cleared and Uncleared Swaps.....	44-13:155	Jack Murphy, Julien Bourgeois, and Lisa Price	
Elizabeth P. Gray and Jessica L. Matelis		How a Fund Dies	43-21:283
PCAOB Foreign Inspections – A Chinese Conundrum	44-12:145	John Mark Zeberkiewicz and Megan W. Shaner	
		An Overview of Delaware-Specific Issues for Stockholders’ Meetings	43-20:275
		James R. Doty and J. Bradley Bennett	
		Independent Consultants in SEC Enforcement Proceedings.....	43-19:259

2000 – JUNE 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:	Pg.		Vol.-No.:	Pg.
Jared L. Kopel and Jacob T. Veltman Tolling the Statute of Limitations in SEC Proceedings, Part 2.....	43-	18:251	Howard E. Berkenblit and Jonathan M. Vaas SEC Passes Enhanced Proxy Disclosures	43-	4:47
Ki P. Hong and Matthew Bobys The SEC’s New Pay-to-Play Rule for Investment Advisers.....	43-	18:247	Mary J. Mullany and Jill M. Stadelman Compensation Committees – The New Gatekeepers	43-	3:37
Jared L. Kopel and Jacob T. Veltman The Statutes of Limitations in SEC Proceedings, Part 1	43-	17:235	Doreen E. Lilienfeld and Veronica M. Wissel Emerging Trends in Compensation Regulation	43-	3:31
F. Joseph Warin and Jill M. Pfenning Chinese Anti-Bribery Regulatory and Enforcement Landscape.....	43-	16:227	Rebekah J. Poston, David A. Saltzman, and Gregory W. Bates FCPA Due Diligence in Acquisitions	43-	2:13
Michael J. Sharp, Bruce H. Newman, and Christie Farris Öberg Seller Beware: Regulators Dissect Retail Sales of Structured Products.....	43-	16:219	Barbara J. Endres and Kersti Hanson “At-the-Market” Offerings – Implications under Regulation M	43-	1:1
David B. Anders Handling a Regulatory Investigation in Light of the SEC’s New Cooperation Guidelines	43-	15:207	2009		
Stephen A. Keen 2010 Money Market Fund Regulatory Reforms.....	43-	14:191	Jaclyn Liu The NYSE’s Amendment of Rule 452: Practical Tips for Public Companies.....	42-	22:279
Kay A. Gordon Regulation of Short Selling in the U.S.....	43-	13:179	Stacie R. Hartman Changes in the Culture of Waiver.....	42-	21:271
William M. Lafferty and Bradley D. Sorrels Anatomy of a Busted (Up) Deal	43-	12:173	Victor Peterson Recent Developments in the Misappropriation Theory of Insider Trading	42-	20:265
Stephen E. Roth and Mary Thornton Payne Navigating the SEC Framework for Registered Non-Variable Annuity Products	43-	12:161	Soo J. Yim, Andre E. Owens, Gail C. Bernstein, and Cristie L. March The SEC’s Proposed Ban of Flash Orders	42-	20:259
Todd W. Beauchamp The Evolution of Private Equity Investment in Failed Institutions..	43-	11:149	Anand S. Raman, Darren M. Welch, and Emily C. Helms Williams The Servicemembers Civil Relief Act	42-	19:251
Andrew M. Ross Acquisitions by Chinese Companies in the United States.....	43-	10:137	Elizabeth V. Tanis and Jennifer D. Fease Emerging Issues in Deepening Insolvency Claims	42-	18:239
Owen D. Nee, Jr. Foreign Management of Private Equity in China.....	43-	10:127	John Mark Zeberkiewicz and Joseph L. Christensen The Delaware and SEC Proxy Access Regimes	42-	17:233
Mark D. Perlow and C. Dirk Peterson SEC Revisits Equity Market Structure in Concept Release and Rule Proposals	43-	9:115	Lawrence R. Bard, David M. Lynn, and Alfredo B. Silva XBRL is Now Mandatory – A Primer for Securities Lawyers	42-	17:227
Mari-Anne Pisarri The New Landscape of Investment Adviser Custody	43-	8:103	Marc H. Morgenstern Crisis Bridge Financings – 2009.....	42-	16:213
Jeffrey A. Smith, Matthew Morreale, and Kimberley Drexler The SEC Interpretive Release on Climate Change Disclosure	43-	7:95	Mark A. Borges The TARP Executive Compensation Standards – A Sign of Things to Come?	42-	15:197
Gerald J. Russello FINRA AML Enforcement: Early Lessons	43-	6:85	Daniel R. Waldman and Ahmad M. Hajj CFTC’s Supervision Rule Expanded?	42-	14:193
Brynn D. Peltz and Matthew J. Chase M & A Transactions for Investment Advisers in an Age of Scrutiny	43-	6:79	Thomas W. White and Nia M. Monroe The Mark-To-Market Accounting Controversy	42-	14:181
Ronald Wood, Travis Brennan, and Courtney Devon Taylor Post-Madoff SEC Reforms: Implications for Hedge Funds	43-	5:67	W. Thomas Conner and James M. Cain Exchange-Traded Funds	42-	13:167
Marsha Z. Gerber, Elaine L. Lawson, and Cristina K. Lunders Voluntary Disclosure of FCPA Violations.....	43-	4:55	Julien Bourgeois, Michael Sherman, and Philip Hinkle SEC Examination of Investment Advisers.....	42-	12:155
			Joel M. Cohen, Mark A. Kirsch, Mary K. Dulka, and Sarah Blackman Mutual Fund Litigation Triggered by the Credit Crisis.....	42-	11:145

2000 – JUNE 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Pamela Rogers Chepiga and Lanier Saperstein		Paul R. Berger and Erin W. Sheehy	
Trends in Global Securities Litigation.....	42-11:139	The Globalization of SEC Enforcement Activities.....	41-18:243
Donald B. Henderson Jr. and Allison J. Tam		Eric A. Hirsch and Steven M. Witzel	
Overview of the Life Settlement Market.....	42-10:123	Liability and Consequences for Failing to Supervise Employees Who Engage in Fraudulent Trading	41-18:233
Joseph R. Fleming, John V. O’Hanlon, and Hila Shamir		Brandon Gay and Keir Gumbs	
The Future of Money Market Funds: Implications of the Recent Turmoil	42-9:107	The 2008 Shareholder Proxy Season in Review.....	41-17:217
Seth Aronson, Amy Jane Longo, and Stephanie Noble		Scott J. Carpenter and Thomas V. Sjoblom	
A Decade in Review: The Securities Litigation Uniform Standards Act.....	42-8:95	Parallel Government Proceedings in Complex Securities Cases	41-16:201
David B. Harms		Jack P. Drogin and Howard L. Kramer	
When Public Companies Raise Private Capital: Managing the Disclosure and Publicity Issues.....	42-7:83	Fraud in Markups: An Unusual SEC Decision	41-15:195
W. Hardy Callcott and Abigail C. Slonecker		Tommaso Bencivenga, Mia C. Korot, and Sean M. Murphy	
A Review of Recent SEC Actions Against Lawyers	42-6:71	Securities Plaintiffs Turn to Class Actions under ERISA.....	41-15:185
Mary J. Mullany and Ellen Jerrehian		Wendy B. Hart and Michael K. Wolensky	
2009 Annual Disclosure Documents	42-5:61	Designing an Effective Retail Surveillance Program	41-14:179
Scott W. Muller and Chiawen C. Kiew		Lina Braude and Jonathan Nelms	
Responding to Multi-Jurisdictional Investigations: Issues and Considerations.....	42-4:47	FCPA Compliance in Russia.....	41-14:169
Ronald E. Wood, Jeffery Gross, and Travis Brennan		Sarah R. Davidoff, Gary L. Granik, and Rachel E. Meyer	
SEC’s Fiscal 2008 Focus on Hedge Funds.....	42-3:39	Side Pockets on the Rise – Issues, Analysis, and Impact.....	41-13:161
Pravin B. Rao and Jade R. Lambert		Christopher D. Christian, Joseph R. Fleming, and Maureen Magner	
Revenue Recognition in Troubled Times	42-3:31	The Rise and U.S. Invasion of Sovereign Wealth Funds: A Growing Source of Concern.....	41-13:153
Jonathan S. Sack		Brian T. Casey and Thomas D. Sherman	
Knight’s Saga: A Court Rejects the SEC’s Theory of “Best Execution”	42-2:25	State Broker-Dealer Registration Pitfalls for Life Settlement Brokers	41-12:147
Tanya L. Forsheit		John C. Kelly	
Privacy, Data Security, and Outsourcing: Domestic and International Regulation.....	42-2:13	The U.S. Supreme Court Decides <i>Hall Street</i> : Challenging an Arbitration Award Just Got Tougher.....	41-12:141
Norman S. Poser		Gregory S. Bruch and Jessica L. Matelis	
Securities Fraud and the Common Law.....	42-1:1	FCPA Compliance Monitors – A Buyer’s Guide	41-11:133
2008			
Stephen D. Bohrer		Gary DiBianco and Wendy E. Pearson	
The SEC’s Amendments to the Cross-Border Rules: Right Direction but Off-Target	41-22:289	Anti-Corruption Due Diligence in Corporate Transactions: How Much Is Enough?.....	41-11:125
Blake Rohrbacher and John Mark Zeberkiewicz		Stuart H. Gelfond, Valerie Ford Jacob, David A. Kanarek, and Michael A. Levitt	
The Right Protection: More on Advancement and Indemnification	41-21:283	Key Considerations in Drafting a Registration Rights Agreement From the Company’s Perspective.....	41-10:113
James T. Lidbury and Andrew J. Terry		Randall J. Fons and Stephanie L. Forbes	
SEC Issues Guidance on the Use of Company Web Sites to Disseminate Investor Information	41-21:279	Securities Regulators Take the Initiative in Protecting Older Investors	41-9:105
Amelia Toy Rudolph		Alan L. Beller, Michael D. Dayan, Leslie N. Silverman, and James D. Small	
The <i>In Pari Delicto</i> Defense in Federal Securities Claims and Accountant Liability Actions	41-20:263	SEC Adopts Amendments to Rules 144 and 145	41-9:97
Jessica Forbes and Terrance O’Malley		Stacy L. Fuller	
A Review of Principal Transactions under the Advisers Act.....	41-19:249	The Evolution of Actively Managed Exchange-Traded Funds.....	41-8:89

2000 – JUNE 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Kimberley S. Drexler and Paul Michalski A Snapshot of the SEC and Global Security Risk Disclosure Today	41-8:81	Margaret Jacobs and Betty Santangelo Mutual Fund Compliance and the Anti-Money Laundering Regulatory Regime (Part II)	40-15:171
Bruce Luna, Ed O’Connell, and John White An Overview of CDO Transactions	41-7:73	Carey A. Kotula, Geoffrey M. Sigler, and F. Joseph Warin Audit Committee Oversight of a Major Independent Investigation	40-14:161
Daniel L. Goelzer What Audit Committees Should Know about the Work of the Public Company Accounting Oversight Board	41-6:61	Adam W. Glass The Section 3(a)(2) Exemption for Equity Index-Linked Notes	40-13:149
George P. Attisano Investment Company Board Oversight of Subadvised Relationships	41-5:49	Patrick M. Norton FCPA Compliance in China	40-12:137
Larry E. Bergmann and Matthew B. Comstock Amended Rule 105 of Regulation M: A Fuzzy “Bright Line”	41-4:43	Hector Gonzalez and Claudius O. Sokenu Pitfalls of Attempts to Cooperate with Enforcement Agencies	40-11:127
Margaret E. Tahyar and Richard D. Truesdell, Jr. Increasing the Attractiveness of U.S. Capital Markets to Foreign Private Issuers	41-4:37	Ann H. Mathews and Edwin G. Schallert Market Timing in Variable Annuities: Trends in Regulatory Enforcement	40-10:123
Joseph J. Muscatiello and Brynn D. Peltz Hedge Fund Stock Exchange Listings: Considerations and Developments	41-3:25	C. Stephen Bigler and Pamela H. Sudell Delaware Law Developments: Stock Option backdating And Spring-Loading	40-10:115
Rose F. DiMartino and Paul F. Schlichting Soliciting over the Internet: The New E-Proxy Rules in the Investment Company Context	41-2:17	Hector Gonzalez and Claudius O. Sokenu The Current Enforcement Environment and the Corporate Response	40-9:99
Jeffrey A. Smith Disclosure of Climate Change Risks and Opportunities	41-1:1	Larry E. Bergmann Soft-Dollar Arrangements under Section 28(e) of the Securities Exchange Act	40-8:87
2007			
Jonathan M. Hoff and Gregory Zimmer The Evolution of Class Certification Standards	40-22:255	Mark Perlow Managing Hedge Fund Conflicts of Interest	40-7:75
Marcela L. Cuadrado and Thomas L. Taylor III The Future of Fee-Based Brokerage Programs	40-21:247	Margaret Jacobs and Betty Santangelo The Anti-Money Laundering Regime for the Futures Industry	40-6:59
Patryk J. Chudy and Richard A. Martin Collateral Estoppel & Foreign Parallel Proceedings: The Risks of Preclusion in U.S. “Follow-On” Litigation	40-20:239	Marc H. Folladori, Michael Hermsen, and Saul R. Laureles SEC Overhauls Executive Compensation Disclosure Rules	40-5:47
Christopher F. Chase and Christopher M. Salter Short Selling and Naked Shorts in the Regulation SHO Environment	40-20:231	Alice F. Yurke Developments Affecting Commodity-Linked Security Products	40-4:41
William E. Donnelly and Robert P. Howard, Jr. Brokers Beware: Elder Law Issues Become Increasingly Significant to Securities Firms	40-19:215	Jeffrey D. Karpf and Leslie N. Silverman When Time-of-Sale Disclosure Turns Out to Be Wrong: Reforming the Securities Sale Contract	40-4:35
Jennifer Corinis and Steven W. Hansen Judicial Views of “Collective Scierter” in a Section 10(b) Case	40-18:207	Gary DiBianco and Andrew M. Lawrence Investigation and Reporting Obligations under Section 10A of the Securities Exchange Act	40-3:25
Deborah G. Heilizer and Brian L. Rubin What’s in a Name? Enforcement Trends and Possible Implications for FINRA	40-17:199	Brian T. Casey and Eric L. Marhoun Broker-Dealer Participation in Life Settlements of Variable Insurance Policies	40-2:21
Jon A. Jacobson and Bradford D. Kaufman Appellate Review of Arbitration Decisions	40-16:185	Jessica A. Clarke and Jacqueline C. Wolff Liability under the Foreign Corrupt Practices Act	40-2:13
		Thomas Kuczajda and Sharon Rose Supervising Sales of 529 Plans: Not as Easy as 1-2-3	40-1:1

2000 – JUNE 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
2006			
Matthew Farley Arbitrating with People Who Are Not Parties to the Agreement	39-22:245	Marc Recht and Dennis J. White Sarbanes-Oxley's Continuing Impact on Middle-Market M&A.....	39-7:47
David Seide Compelled Waivers of the Attorney-Client Privilege.....	39-21:235	Daniel L. Goelzer and Marilyn Weimer Inspecting the Watchdogs — An Overview of the PCAOB's Inspection Program	39-6:35
Cristina Alger and Lori A. Martin State Regulators and the Mutual Fund Industry.....	39-20:219	Christopher L. Padurano and Charles A. Ross Resolving Criminal Securities Fraud Cases.	39-5:23
Mark D. Young Policing Energy Price Manipulation: Whose Beat? What Rules?....	39-19:207	Jack Weinberg Books and Records Retention and Disclosure in the Electronic Age...	39-4:15
Rebecca F. Ebert and Barry W. Rashkover SEC Enforcement in the Cox Era	39-18:185	Terri Seligman Email Marketing: Legal Overview and Compliance Guidelines	39-3:9
Thomas A. Hanusik Sarbanes-Oxley: Broader Statutes, Bigger Penalties	39-17:177	Janet L. Fisher and Leslie N. Silverman Director Due Diligence after WorldCom	39-2:1
Kathleen Fuentes and Domenick Pugliese Role of Electronic Media and the Use of the Internet under the Federal Securities Laws.....	39-16:169	Lorraine Bellard and Jeffrey Plotkin Act-of-Production Privilege in SEC Proceedings.....	39-1:289
2005			
Seth Aronson, Kristina Hersey, and Amy Longo Preemption of "Holder" Class Actions under SLUSA.....	39-15:163	Behnam Dayanim and Kristine A. Rembach Notice of Data Theft: States and the Congress Jump on the California Bandwagon	38-22:281
Brynn D. Peltz Investment Advisers of Offshore Funds	39-15:153	James N. Benedict, Sean M. Murphy, and Andrew W. Robertson Aftermath of the Mutual Fund Crisis	38-21:261
Susan C. Ervin and Matthew F. Kluchenek Possible Breakthrough to Expanded Use of Futures by Investment Companies.	39-14:151	Lawrence M. Gill International Financial Reporting Standards	38-20:251
LizabethAnn R. Eisen Role of Underwriters' Counsel in Complying with the NASD's Corporate Financing Rule	39-14:141	Richard L. Gallagher and Robert P. Varian Loss Causation in Securities Class Actions after <i>Dura</i>	38-19:241
Gregory S. Bruch and Jessica L. Matelis Enforcement Practice Before the PCAOB.....	39-13:131	Norman S. Poser Regulation NMS	38-18:229
Glen Barrentine and Thomas Kuczajda Equity-Indexed Annuities: Regulatory Trouble for the Unwary.....	39-12:119	Christopher S. Petito and Angela R. Thompson Practical Tips for Handling Regulatory Inspections	38-17:215
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

2000 – JUNE 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Matthew C. Baltay, John H. Henn, and Brandon F. White Anonymous Sources in Securities Class Action Complaints.....	38-11:131	Jeffrey C. Blockinger and Rebecca M. Palmer Hedge Fund Managers in the Era of Heightened Regulatory Scrutiny	37-15:159
Mark A. Borges FASB's New Accounting Standard for Stock-Based Compensation	38-10:115	Michael S. Sackheim False Reporting of OTC Energy Transactions	37-14:149
Tracy A. Nichols and Stephen P. Warren Aiding and Abetting Liability under Section 10(B)	38-9:105	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
Mari-Anne Pisarri Raising the Bar: Investment Adviser Codes of Ethics.....	38-8:97	Richard W. Helm and Frederick B. Lohr European Regulation of Investment Funds	37-12:121
Sarah E. McCallum and Warren R. Stern The Private Securities Litigation Reform Act: Ten Years after.....	38-7:89	Allan Horwich New Form 8-K and Real-Time Disclosure	37-11:109
Jeffrey D. Karpf and Leslie N. Silverman The SEC's Securities Offering Reform Proposals: Will This Ship Sail?.....	38-6:63	Jennifer L. Chunias and Carl E. Metzger Two Years after Sarbanes-Oxley: Assessing the Impact on D&O Liability Insurance	37-10:99
Michael Delikat, Renee B. Phillips, and Jill L. Rosenberg Whistleblowing Claims under Sarbanes-Oxley.....	38-5:51	Kelly H. Zinser New Issues Are the New Hot Issues — An Overview of NASD Rule 2790	37-9:94
Kenneth J. Berman and Elizabeth N. Kaplan The New Fund Governance Standards.....	38-4:33	John H. Henn, Kalun Lee, and Stephen C. Warneck The Lead Plaintiff and Lead Counsel Provisions of the PSLRA: A Defense Perspective.....	37-9:83
Vincent J. Badolato and Dennis J. Lawson Identifying and Managing Conflicts of Interest	38-3:25	Daniel L. Goelzer and Marilyn Weimer An Audit of Internal Control over Financial Reporting — The New PCAOB Standard.....	37-8:71
Daniel Aronowitz The New Rescission Rules for D&O Insurance Policies.....	38-2:13	Roberto M. Braceras Late Trading and Market Timing	37-7:61
Steven B. Caruso Arbitrator Training in the Securities Dispute Arena.....	38:1-8	Seth Aronson and Amy J. Longo Current Issues under the Securities Litigation Uniform Standards Act.....	37-6:51
Paul W. Goldstein, Rochelle S. Hall, and Thomas J. McGonigle Risk Management for Broker-Dealers	38-1:1	Steven B. Nadel U.S. Regulation of Private Investment Funds	37-5:45
2004			
Kevin D. Finger, The Honorable Erwin I. Katz, and Robert W. Lannan Sarbanes-Oxley and Publicly Traded Corporations in the Zone of Insolvency	37-22:262	Kit Chaskin, Venus S. McGhee, Neil B. Posner, Carolyn H. Rosenberg, and Duane F. Sigelko Negotiating D&O Policies: Key Terms and Conditions.....	37-4:31
Emily M. Zeigler New CFTC Rules for CPOS and CTAS.....	37-22:257	Kathleen K. Clarke and Paul M. Miller Compliance Programs of Registered Investment Advisers and Investment Companies	37-3:26
Marc Morgenstern and Peter Nealis The Impact of Sarbanes-Oxley on Mid-Cap Issuers.....	37-21:245	Stephen P. Younger Damages in Securities Litigation.....	37-3:19
Michael L. Cypers, William H. Forman, and John M. Landry The Future of Loss Causation	37-20:235	Marc Morgenstern Off-Balance Sheet Disclosures in MD&A	37-2:9
Thomas J. Sherrard What Is a Security – Revisited.....	37-19:227	Paul R. Bessette, Blair C. Hedges, and Steven S. Kaufhold Defending Securities Class Actions Involving Accounting Restatements	37-1:1
Donald W. Glazer and Keith F. Higgins Securities Exchange Act Section 16: Short Answers to Quick Questions under the New Rules and Forms	37-18:207	2003	
Helene T. Glotzer Recent Trends in SEC Enforcement Remedies	37-17:185	Sylvia M. Mahaffey, Lilyanna L. Peyser, and Robert B. Robbins Regulation D Offerings and the Internet.....	36-22:259
Gary Simon New Audit Committee Rules	37-16:167		

2000 – JUNE 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Philip H. Harris and Wei-Li F.X. Tjong Regulatory Issues in Private Placements of Hedge Fund Securities	36-21:249	John J. Huber and Thomas J. Kim The Sarbanes-Oxley Act of 2002 and Commission Rulemaking – Part II	36-4:51
Vincent R. Cappucci Securities Class Actions: Settlements.....	36-20:243	John J. Huber and Thomas J. Kim The Sarbanes-Oxley Act of 2002 and Commission Rulemaking – Part I	36-3:27
William E. Donnelly and Thomas J. McGonigle Research Analysts’ Conflicts: The Regulatory Response	36-20:235	Gregory V. Varallo Funding Directors’ Litigation Costs	36-2:22
Terrance J. O’Malley The SEC Revises and Modernizes the Advisers Act Custody Rule.....	36-19:225	Kathleen H. Moriarty and David W. Selden Developments in Exchange-Traded Funds	36-2:11
James C. Hartman, Jennifer S. Martinez, and Mark D. Pollack Recent SEC Enforcement Cases.....	36-18:213	Julien Bourgeois and George J. Mazin Preparing for an SEC Examination	36-1:1
James N. Benedict and Christopher M. Joraleman Primary Liability of Secondary Actors in Securities Fraud Cases ...	36-17:205	2002	
Inez H. Friedman-Boyce and Brian E. Pastuszewski Defending Outside Directors in Securities Litigation	36-16:191	Mari-Anne Pisarri When Two Worlds Collide: The Interplay Between Broker-Dealer and Investment Adviser Regulation	35-22:271
Gerald Audant, Sara B. Brody, James E. Burns, and Robert P. Varian Trying Securities Class Actions in the Post-Enron Era.....	36-15:177	S. Mark Hurd Indemnification of Directors and Officers under Delaware Law	35-21:262
Jay G. Baris Anti-Money Laundering: Rules for Investment Companies	36-14:165	Stuart M. Grant and Megan D. McIntyre Class Certification and Section 18 of the Exchange Act	35-21:255
Steven Drachman The SEC’s Company Act and Advisers Act Agenda.....	36-13:149	Allan Horwich New Requirements for Disclosure of Financial Condition under the Federal Securities Laws	35-20:243
Paul Ferrillo and Erin J. Law Class Certification and the ‘Most Adequate’ Plaintiff	36-12:141	Guy P. Lander Using the Internet to Reduce the Costs of Securities Practice	35-19:237
Ira H. Jolles Sarbanes-Oxley: The New Audit Committee and the Exercise of Due Care.....	36-11:133	Peter J. Anderson and Alana Rae Black Accountants’ Liability after Enron.....	35-18:227
Mari-Anne Pisarri SEC Adopts New Proxy Voting Rules	36-11:127	Craig E. Chapman Underwriters’ Due Diligence Revisited	35-17:207
William D. Edick For Accountants, a Brave New World.....	36-10:119	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
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

2000 – JUNE 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Martin Budd and Shawn Wooden Analysts' Conflicts of Interest	35-12:119	Jonathan L. Lewis and Howard J. Roin Due Diligence Investigations: A Litigator's Perspective	34-16:209
Paul B. Uhlenhop Anti-Money Laundering Provisions for Broker-Dealers	35-11:107	Rose F. DiMartino and Niral P. Kalaria Investment Adviser Code of Ethics	34-16:197
Paul B. Uhlenhop Security Futures – A New Frontier	35-10:97	Ethan D. Corey Display and Execution of Customer Limit Orders	34-15:185
Caroline Krass Levy and Betty Santangelo New Anti-Money Laundering Rules for the Futures Industry	35-9:85	Kenneth J. Berman and Shannon Conaty Disclosure of Mutual Fund after-Tax Returns	34-14:172
Peter M. Casey, Christian M. Hoffman, and Stephen C. Warneck The SEC's New MD&A 'Suggestions'	35-8:73	Rochelle S. Hall, Thomas J. McGonigle, and M. Elizabeth Parks NASDR Examinations: Priorities and Procedures	34-14:165
Daniel J. Kramer and Megan Elizabeth Murray Extraterritorial Application of United States Securities Laws to Punish Insider Trading	35-7:65	Daniel S. Drosman and Jordan Eth The Private Securities Litigation Reform Act: Five Years Young	34-13:153
Robert B. Robbins The Fiduciary Duties of Directors of Corporate General Partners: Ten Years after <i>USACAFES</i>	35-6:57	Jay G. Baris The New Fund Governance Standards	34-12:135
James C. Creigh and Michael S. Dorf Earn-Outs and Other Deferred Consideration Rights	35-5:49	Margaret A. Jacobs, Daniel J. Kramer, and Betty Santangelo Suitability in Cyberspace	34-11:123
Michael S. Caccese Revised Performance Presentation Standards	35-4:39	Tuuli-Ann Ristkok Exchange-Traded Funds	34-10:109
Jeffrey C. Blockinger and Stephanie M. Monaco Operating a Hedge Fund in a Regulated Environment	35-3:27	Michael S. Sackheim and Jane Kang Thorpe Equity Derivatives under the Commodity Futures Modernization Act	34-9:103
Jonathan M. Hoff and Jake P. Yanchar Developments in Pleading under the PSLRA	35-2:13	Mark D. Young The Commodity Futures Modernization Act of 2000: Twenty Questions on the Commodity Futures Modernization Act	34-9:89
Jonathan M. Rich Antitrust Enforcement in the Securities and Commodities Markets	35-1:1	Sandra Folsom Kinsey Foreign Private Issuers	34-8:79
2001			
Paul B. Uhlenhop and Michael Wise Managing Regulatory Investigations and Examinations for Cause	34-22:271	Jeffrey O. Himstreet and Neal E. Sullivan Investment Adviser Trading Issues	34-7:69
David B. Harms Integration under the 1933 Act: The SEC Provides New Safe Harbors	34-21:259	Kenneth B. Winer and Samuel J. Winer Effective Representation in the SEC Wells Process	34-6:59
E. Paul Quinn Due Diligence in Private M&A Transactions	34-20:253	Christian J. Mixer Web-Based Investment Advisers and Commodity Trading Advisors	34-5:47
Susan C. Ervin Single Stock Futures	34-19:243	Steven B. Boehm and Cynthia M. Krus The Business Development Company Solution	34-4:39
Mark Bonham and Craig Norris Recent Legal and Accounting Issues in Initial Public Offerings	34-18:233	David E. Webb High Yield Offerings in the U.S. & Europe	34-3:27
Leo F. Orenstein The NASD and the Constitutional Right to Remain Silent	34-17:225	Peter Q. Bassett and Kelly C. Wilcove State Court Securities Litigation after the Uniform Standards Act	34-2:15
Richard F. Jackson and James T. McHale Financial Privacy and Regulation S-P: An Analysis of Selected Issues	34-17:217	Alan L. Dye and Peter J. Romero The SEC's New Insider Trading Rules	34-1:1

2000 – JUNE 2024 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
2000			
A. Robert Pietrzak and Andrew W. Stern Standard Form Agreements in the Securities Field.....	33-22:259	David B. Bayless and John A. Kelley The Changing Role and Composition of Audit Committees	33-10:109
Patricia A. Gomez and Thomas L. Taylor III Recent Trends in “Failure to Supervise” Cases	33-21:251	Joran Eth and Christopher A. Patz Securities Litigation and the Outside Director	33-9:95
Lawrence C. Tondell Disclosure Risks in Private Placements of Structured and Equity-Linked Repackagings	33-21:245	Stanley Keller Securities Law Considerations in Negotiated Acquisitions	33-8:83
James J. Junewicz The SEC Raises the Stakes in Issuer-Analyst Communications	33-20:237	Julie Allecta and Thoa H. Ngo The SEC’s Soft Dollar Release	33-7:75
Raymond D. Agran, John N. Ake, and Martha J. Hays Investment Company Act Pitfalls for Public Venture-Capital Companies	33-19:231	Satish M. Kini Impact of the 1999 Financial Modernization Act on Investment Advisers and Investment Companies	33-7:69
Robert A. Robertson Board Oversight of Mutual Fund Compliance Operations.....	33-18:220	Kenneth B. Winer Securities Firms and the Foreign Corrupt Practices Act.....	33-6:61
Edward L. Pittman, Alan J. Reed, and Richard Y. Roberts Confusion in Cyberspace	33-18:213	Jay W. Eisenhofer and Stuart M. Grant Institutional Investors and Section 18 of the Exchange Act	33-5:54
Michael S. Sackheim Ethical Standards for New York Brokerage House Attorneys	33-17:199	Jesse A. Finkelstein, Peter B. Ladig, and Srinivas M. Raju Attorney-Client Privilege: Potential Dangers of Having Corporate General Counsel Perform Multiple Roles.....	33-5:49
Matthew A. Chambers Web Compliance Issues for Investment Advisers	33-16:187	Pamela J. Wilson Mutual Fund Advertising	33-4:31
Alan L. Dye and Peter J. Romero Developments under Section 16: (Part 2 of Two Parts).....	33-15:171	Gregory N. Bressler Amendments to the Code of Ethics Rule under the Investment Company Act	33-3:19
Alan L. Dye and Peter J. Romero Developments under Section 16: (Part 1 of Two Parts).....	33-14:155	Jonathan S. Adler, Stuart H. Gelfond, Valerie Ford Jacob, and Michael A. Levitt Financial Statement Requirements for Acquisitions in Registered Public Offerings.....	33-2:9
Mari-Anne Pisarri Personal Trading by Advisory Personnel: The Seven Deadly Sins	33-13:143	James C. McMillin Recent Developments in Litigation under the Securities Act of 1933	33-1:1
Patrice M. Pitts Using Electronic Media to Offer and Sell Securities	33-12:135		
Neil S. Lang and Mark D. Perlow Earnings Management: Swept Away?	33-11:123		