

THE REVIEW OF SECURITIES & COMMODITIES REGULATION

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

2000 – JUNE 2025 CUMULATIVE ARTICLE INDEX

Notes

Articles are listed in reverse chronological order with their authors.

	Vol.-No.:Pg		Vol.-No.:Pg
2025			
Reid S. Hooper and Justin A. Kisner Historical Shareholder Engagement Practices Put Under Microscope Due to Mid-Proxy Season Guidance From SEC.....	58-12:157	Jesse Jensen, Thomas Sperber, and Sarah Schmidt 2024 Developments for Auditor Regulation Under the U.S. Securities Laws	58-6:69
Ilan Graff, C. Dabney O’Riordan, Daniel Liberman, and Lydia Saltzbart Into the Breach: State Regulators, Private Litigants, and Securities Enforcement.....	58-12:149	Rizwan A. Qureshi and Jay K. Simmons The Value of Engaging Outside Counsel in Internal Corporate Investigations.....	58-5:57
Sarah Riddell, Cheryl Isaac, Rich Kerr, and Joshua Durham Tokenizing Traditional Markets.....	58-11:137	Elliot J. Gluck, Bissie K. Bonner, and Vanessa C. Richardson Closed-End Fund Governing Documents: The Defense Against Shareholder Activism.....	58-4:51
Angela Dunning, David Lopez, Daniel Ilan, and Synne Chapman Generative AI: Practical Considerations for Companies and Boards.....	58-10:129	Brian A. Jacobs, Thomas A. McKay, and Jessica Salley Shadow Trading Theory and Congress	58-4:41
Michelle M. Stasny SEC Adopts Rules That Change Edgar Filer Access and Account Management: An Overview of Edgar Next	58-9:123	Ryan J. Adams Shareholder Proposals in the 2024 Proxy Season.....	58-3:35
Olivia S. Choe Who, What, When, Where, and Why: Lessons Learned From the <i>Solarwinds</i> Litigation	58-9:113	Aaron J. Russ and Kelley A. Howes Tracking the Performance of the Advisers Act Marketing Rule Since its Inception	58-3:25
Jimmy Fokas and Nikita Mistry Recent SEC Accounting and Financial Reporting Enforcement Actions and What to Expect Under Trump 2.0.....	58-8:107	Philip T. Hinkle, Corey F. Rose, Dale C. Beggs, and Austin G. McComb Addressing Questions Under the Amended Registered Fund Names Rule.....	58-2:9
Joel H. Trotter Is the SEC Clawback Rule Unlawful?.....	58-8:97	Kelly Hagedorn, Isabelle De Smedt, Albert B. Stieglitz, Jr., Katherine Doty Hanniford, and Andrew Rice Auld Lang Syne: Global Investigations in 2024.....	58-1:1
Alejandra Montenegro Almonte, Matteson Ellis, and Katie Cantone-Hardy 2024 Anti-Corruption Trends in Latin America: A Dynamic Environment for Enforcement and Compliance.....	58-7:91	2024	
Sarah Eichenberger Gatekeeping and the Ethical Dilemma of Securities Lawyers	58-7:81	Elizabeth Davis and Michael McDonald CFTC Enforcement Trends from FY 2024.....	57-22:247
Julia L. Petty, Michael J. Albano, Ariel Adler, and Wil Armand Steeb Focus on SEC Executive Compensation Disclosure Obligations in 2025: Security Costs and New Item 402(X).....	58-6:77	Vadim Avdeychik and Emily Picard Accessing Private Markets: Distribution Considerations for Asset Managers	57-22:241
		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

2000 – JUNE 2025 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.
Courtney Quirós, Timothy Fitzmaurice, Madeleine Juszyński Davidson, and Carissa Lavin The Supreme Court’s Rulings on Shareholders’ Burdens and Defendants’ Constitutional Rights	57-21:227
Jan M. Folena and Samantha B. Kats Fraud in the Technology Age: Strategies for Detection, Prevention, and Navigating Regulatory Inquiries	57-20:221
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
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
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
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
Laura Perkins, Michael DeBernardis, and Katherine Taylor Suspect Corrupt Payments? How to Navigate a Potential Corporate Crisis	57-16:171
Palmina M. Fava, Mia Wolosky, and Daniel Fisher FCPA: An Overview on Compliance and Enforcement	57-16:165
Rebecca E. Boon and Mathews R. de Carvalho 2024 Proxy Season Roundup – Environmental Proposals Still a Focus for Investors	57-15:161
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
Laura Deegan, Annie Cho, and Igor Dos Santos Navigating Securities Prohibitions in U.S. Sanctions	57-15:149
Jennifer Songer and Lindsey L. Wiersma Navigating the ESG Landscape as a Private Fund Adviser	57-14:145
Paul M. Dudek FPIs in SPAC Land – Considerations for Foreign Private Issuers in Connection with SPACs	57-14:137
Daniel S. Kahn The Impact of DOJ’s New Individual Disclosure and Whistleblower Programs on Enforcement	57-13:133
David R. Fredrickson What Nominating/Governance Committees Should Know About Recent SEC Rulemaking	57-13:125
Joshua B. Deringer and Kellilyn Greco The Rise of Interval and Tender-Offer Unlisted Closed-End Funds	57-12:119

	Vol.-No.:Pg.
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
William J. Hochul, Jr. DOJ Disclosure and Whistleblower Programs Demand ‘Prudent’ Companies Adopt an Effective Internal Investigations Strategy	57-11:101
Katherine Ashley, David Wales, and Erik Elsea Addressing Regulatory Risk in M&A Agreements	57-10:93
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
Meredith Kotler and Nicholas A. Caselli Trends in M&A and Fiduciary Duty Litigation	57-8:73
Joni S. Jacobsen, Angela M. Liu, Timothy Spangler, and Vishan J. Patel Cryptocurrency Securities Class Action Litigation: 2023 Year in Review	57-7:65
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
Tiffany J. Smith and Kyle P. Swan Potential Impact of the SEC’s Rulemaking Agenda on Crypto	57-5:47
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
Kenneth E. Burdon Closed-End Fund Activism: How to Level the Playing Field	57-3:25
Brian A. Jacobs, Thomas A. McKay, and A. Dennis Dillon How Recent Crypto Prosecutions May Crack the U.S. Code	57-2:13
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

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
Daryl B. Robertson New Exemption From Federal Broker-Dealer Registration for M&A Brokers	56-22:307
Claire Rajan and Ayyan Zubair The Use of Data Analytics in Enforcement and Corporate Compliance	56-21:301
Michelle N. Tanney and Edward J. Jacobs Federal Regulators Sharpen Focus on Personal Device Use and Off-Channel Communications	56-21:295

2000 – JUNE 2025 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Christopher D. Christian and Katie Carter		Michael L. Arnold and Lisa M. Kohl	
Finding Gold in Europe in Green While Maintaining Regulatory Compliance	56-20:281	The SEC's New 10B5-1 Rules and Emerging Insider Trading Policy Best Practices.....	56-11:151
Zachary Goldman, Zack Kessler, Lester Ross, and Kenneth Zhou		Susan Gault-Brown	
Navigating Cross-Border Economic Sanctions: Ensuring Compliance and Mitigating Risks	56-19:275	Responding to the SEC Staff on the Custody of Digital Assets Under the 1940 Act.....	56-10:143
Mark Cianci, Stefan Schropp, Antonia Miller, and Deborah Pabon Cifuentes		Lara C. Thyagarajan, Kathryn L. Alessi, and Allison R. Ferraris	
Emerging Issues in Digital Asset Litigation: Discovery and Beyond.....	56-19:265	Regulation Best Interest: Emerging Arbitration, Regulatory, and Enforcement Developments	56-10:135
Christopher B. Horn and Jon A. Schlotterback		James M. Koukios, Ruti Smithline, and Heather Han	
Conflicts of Interest in Asset-Backed Securitization: An Analysis of Proposed Rule 192	56-18:249	How Do Chief Compliance Officers Prepare for DOJ's New Compliance Certification Policy?	56-9:127
James Hu, Andrew Hammond, and Melissa Curvino		Lance C. Dial, Amy McDonald, and Jonathan Nowakowski	
Preparing the "Background of the Merger" Section in Merger Proxy Statement	56-17:243	SEC Modernizes Content and Delivery Requirements for Mutual Fund Shareholder Reports.....	56-9:119
Dan Kahn		Adam Aderton and Melissa Taustine	
U.S. Department of Justice's Revised Compliance Guidance: DOJ Tackles Clawbacks and Ephemeral Messaging	56-17:239	SEC Enforcement Sweeps: Implications for Agency and Industry....	56-8:113
Paul M. Dudek		William D. Semins and Julie F. Rizzo	
The Unique Impact of Recent SEC Rules on Foreign Private Issuers	56-16:227	Building an Effective ESG Program	56-8:103
Paula D. Shaffner and Brandon M. Riley		Brian A. Jacobs and A. Dennis Dillon	
Key Regulatory and Compliance Considerations for Small and Regional Broker/Dealers	56-15:223	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		Scott Walker and Neel Maitra	
Ethical Issues Arising From Client Deposition Perjury	56-15:215	Crypto Asset Custody by Investment Advisers after the SEC's Proposed Safeguarding Rule	56-6:75
Rizwan A. Qureshi and Justin Angotti		John C. Browne and Lauren A. Ormsbee	
Solving Corporate Problems: Enforcement and Independent Investigation Under the Biden Administration	56-14:209	Section 11's Tracing Doctrine Goes Up to the Supreme Court	56-5:67
Vadim Avdeychik and Emily Picard		Zane David Memeger	
The Rise of Mutual Fund Alternatives: Collective Investment Trusts and Retail Separately Managed Funds	56-14:199	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		Alyse A. Sagalchik and Lawrence D. Levin	
Dealing with (And How Not to Deal with) Whistleblowers	56-13:191	2023 Proxy Season Updates.....	56-4:55
Elanit A. Snow and Peter T. Martin		Derek Steingarten and Aaron Russ	
The SEC's Proposed Rule for Reporting Large Security-Based Swap Positions.....	56-13:183	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		Robert Johnston, Matthew Boxer, Rachel Maimin, and Alessandra Moore	
End-of-Life Options for Ex-SPACs	56-12:175	Compliance Monitors are Once Again "In Vogue"	56-3:37
Jennifer S. Leete, Elad Roisman, and Lisa M. Kohl		Harris L. Kay, William E. Walsh, and Alexandra J. Marinzel	
SEC Regulatory and Enforcement Developments: What Boards of Directors and Audit Committees Need to Know	56-12:167	Futures Markets Enforcement Trends	56-3:29
Lianna Whittleton		John Rizio-Hamilton, Jesse L. Jensen, and Jasmine Cooper-Little	
Recent Developments in Private Company Financing Trends.....	56-11:163	2022 Developments for Auditor Regulation Under the U.S. Securities Laws	56-2:21
Matthew L. Mustokoff		Andrew Ceresney, Kristin Snyder, Charu Chandrasekhar, and Stephen Petraeus	
Disaggregating the Causes of Stock Drops in Securities Fraud Cases	56-11:157	The SEC's Use of Data Analytics in Examinations and Enforcement Investigations.....	56-2:13

2000 – JUNE 2025 CUMULATIVE ARTICLE INDEX

Vol.-No.:Pg.	Vol.-No.:Pg.
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 Witnesses55-12:133
2022	
Benjamin Daniels, Arila Zhou, and Sabrina Galli Buzzfeed Case Highlights New Trends in SPAC Litigation 55-22:265	Richard Hall and Daniel K. Zach Antitrust Developments in M&A55-12:123
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	Albert Stieglitz, Paul Monnin, and Alicia Badley Post-COVID Corporate Anti-Corruption Enforcement: Ready for Liftoff?55-11:113
Daniel Kahn DOJ’s New Guidance on Corporate Criminal Enforcement and the Impact on Securities and Commodities Cases..... 55-21:251	Kenneth K. Dort and Mitchell S. Noordyke The California Privacy Rights Act Leads the Way on Wave of State Privacy Legislation.....55-10:107
Brian T. Casey and Ryan J. Last State Securities Acts Compliance Issues for Tertiary Market Life Settlement Policy Traders 55-21:243	Ryan Fayhee, Tyler Grove, and Anna Hamati Recent United States Sanctions on Russia.....55-10:101
Anne C. Choe, Benjamin B. Allensworth, and Matthew Haddadin Significant Proposed SEC Rules for Advisers to Private Funds..... 55-20:231	Sean M. Murphy, Jed M. Schwartz, and Gary A. Crosby II Recent Developments Regarding Books and Records Demands to Mutual Funds55-9:85
Matthew Bisanz, Matt Kluchenek, and Anna Easter The ABCs of LEIs – And What You May Not Know..... 55-19:225	James M. Koukios, Victor Lopez, and Ruti Smithline Anti-Corruption Enforcement Trends in Latin America: Look Back to Look Ahead.....55-8:79
Betty Santangelo, Melissa G.R. Goldstein, and Hannah Thibideau AML Recent Developments: What Practitioners Need to Know ... 55-19:219	David A. Herman and Allysha Hall Enforcement of Third-Party Releases Ordered by Foreign Courts.....55-7:71
Michael M. Farhang and Jeamine Lemker Flagging FCPA Misconduct in Virtual Work Environments..... 55-18:213	Gail Weinstein, Scott B. Luftglass, Steve Epstein, and Phil Richter Recent Developments in Delaware M&A Disclosure55-6:59
Anita Bandy and Christopher Herlihy FCPA Enforcement Trends: Increased Risk Profile and Considerations for Corporate Gatekeepers 55-18:203	Christopher J. Cestaro and Jon C. Weingart Recent Developments Under the Accounting Provisions of the FCPA55-5:53
Eric Goldberg The CFPB’s Authority to Regulate Cryptocurrency Products and Services 55-17:191	Christina M. Thomas De-Listing of Foreign Companies – Legislative and SEC Developments.....55-5:49
Jina Choi and Christin Hill ESG Litigation: SEC Enforcement and Private Actions..... 55-16:185	Jenny Hochenberg and Justin C. Clarke SPAC Litigation: Current State and Beyond.....55-4:33
Leo Tsao and Kenneth Herzinger Non-Fungible Tokens: Compliance Risks and Beyond..... 55-16:175	James G. Lundy, Nicholas A.J. Wendland, and David Yoshimura The Evolution of Spoofing Enforcement and ... Avoidance.....55-3:25
Erin E. Martin, Sarah V. Riddell, Steven Lightstone, Jacob Minne, and Christina Włodarczyk Investing in Crypto Asset Startups: Regulatory Considerations in an Ever-Evolving Market 55-15:163	Anne M. Termine and Annie Willett CFTC Enforcement Program 2020-2021: The Swaps Market Under Review.....55-2:13
Rebecca Boon and Brittney Balser Five Years after #MeToo Goes Mainstream 55-14:159	Ranah Esmaili and Ryan Parchment The SEC’s Scrutiny of Insider Trading in an Era of Alternative Data55-1:1
Brandon M. Hammer and Kathryn Witchger Facilitating Cross-Margining: Treasury Market Trades and Interest Rate Futures..... 55-14:151	2021
Brian J. Baltz and John V. Ayanian Broker-Dealer and Investment Adviser Account Recommendations 55-13:139	Paul M. Architzel and Aaron Friedman Swap Execution Facilities54-22:275
	Amy J. Greer and Gavin M. Meyers Preparing for Regulatory Examinations Evaluating the Digitization of Trading and Investment Advice54-22:269

2000 – JUNE 2025 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Eric M. Diamond		Peter K.M. Chan, Amy J. Greer, and Kristal D. Petrovich	
The Volcker Rule: New Exclusion for Qualifying Venture		SEC Enforcement Will Expand Its Policing of Public Companies	
Capital Funds	54-21:261	Under the Biden Administration	54-10:111
Victoria S. Forrester, Udi Grofman, and Matthew B. Goldstein		H. Gregory Baker, Rachel Maimin, Andrew Reidy, and Joseph Saka	
Life after the End of the Life of a Private Fund.....	54-21:255	Novel Securities Liabilities From the Coronavirus and Utilizing	
Thomas Firestone and Terence Gilroy		Insurance to Manage the Risk	54-9:107
Criminal Proceeds: When Does the “Taint” Expire?.....	54-20:251	Bryan Brown, Eryn Roberts, and Michael Vance	
Andrew Fabens, Julia Lapitskaya, and Matthew Dolloff		Exchange Act Disclosure in a COVID-19 Pandemic Environment... 54-9:101	
Key Governance Considerations in Initial Public Offerings	54-20:241	Laura D. Richman and Christine M. McDevitt	
Jay G. Baris		MD&A Tune-Up.....	54-8:89
A Divided SEC (Finally) Adopts Sweeping Rule Governing Fund		Kathryn King Sudol and Michael Chao	
Use of Derivatives.....	54-19:229	The Effects of COVID-19 on Negotiated M&A Transactions.....	54-7:77
Brian O’Bleness, Matthew A. Lafferman, Meagan A. Edmonds		Julien Bourgeois, Nicholas Di Lorenzo, and Christopher Dotson	
Cross-Border Investigations in a “Flat” Investigation World	54-18:217	Environmental, Social, and Governance Investing Considerations	
Paulita Pike and David M. Geffen		in the U.S. and the EU.....	54-6:65
Fund Directors’ Oversight of Investments in Cryptocurrencies and		Alex M. Madrid and Natasha S. Cooper	
Other Digital Assets	54-17:211	Turbulent Seas Ahead: New Arbitration Issues for Broker-	
Kelley A. Howes		Dealers.....	54-5:55
Preparing for and Managing an SEC Examination of a Registered		Jose Martin	
Investment Adviser	54-17:205	Anti-Corruption Compliance and FCPA Enforcement in	
Jeffrey A. Letalien		Latin America	54-4:49
SPAC Business Combinations: An Alternative to Traditional		Judith Alison Lee, Adam M. Smith, Stephanie Connor, Jesse Melman,	
IPOs	54-16:197	Scott Toussaint, Samantha Sewall, and Audi K. Syarief	
Silpa Maruri and Owen Roberts		Sanctions Enforcement Trends in the Era of COVID-19.....	54-4:41
Recurring Themes in COVID-19 “Busted Deal” Litigation	54-16:189	Daren R. Domina and Timothy J. Piscatelli	
Robert L. Hickok, Jay A. Dubow, and Kaitlin L. Meola		Examining and Managing Risks Associated with Outsourcing	
The SEC’s Whistleblower Program – The Amended Rules and Post-		Compliance Functions.....	54-3:33
Amendment Developments	54-15:185	Richard D. Marshall and Mark D. Goldstein	
Sergio Alvarez-Mena and Carly Roessler		SEC Enforcement Actions Against Fund Advisers	54-3:25
AMLA for Broker-Dealers: A New Paradigm.....	54-15:177	Ronald C. Machen and Cadene Russell Brooks	
Robert G. Houck, David Yeres, Benjamin Peacock, and Brendan Stuart		When “Gatekeepers” Become Whistleblowers: A Focus on Compliance	
Developments in Commodities Law 2020 – An Uncommon Year		Professionals in SEC Enforcement Actions	54-2:13
in Review	54-14:165	Daniel Nathan, Heather Sussman, and Colleen Hespeler	
Darshak Dholakia and Melissa Duffy		Regulatory Expectations for Cybersecurity Practices at Broker-	
Status of U.S. Sanctions and Other Trade Restrictions on China.....	54-13:153	Dealers.....	54-1:1
Douglas K. Yatter, Sohom Datta, and Cameron J. Sinsheimer			
Insider Trading in Commodities Markets: An Evolving Enforcement			
Priority	54-12:143		
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		
Neal Kumar			
The CFTC (Finally) Adopts Speculative Position Limits	54-11:123		
Lyle Roberts			
The Ninth Circuit’s Recent Decisions on the Pleading of Loss			
Causation in Securities Fraud Cases	54-10:117		

2020

Sean M. Murphy, Robert J. Liubicic, and Ayana Sumiyasu	
Judicial Deference to Mutual Fund Boards: Lessons From Post-Jones	
Excessive Fee Litigation	53-22:267
Kelli L. Moll and Omoz Osayimwese	
Key Considerations and Tactics in Negotiating Side Letters for	
Private Funds	53-21:259
Amy Doberman, Phillip Gillespie, and Seth Davis	
SEC Proposes New Framework for Fund Valuation Practices	53-21:251
Susan Schroeder	
Predicting Regulation Best Interest Enforcement Priorities.....	53-20:239

2000 – JUNE 2025 CUMULATIVE ARTICLE INDEX

Vol.-No.:Pg.	Vol.-No.:Pg.
Nathan Briggs and Timothy Parrington Closed-End Fund Offering Reform: The Short-Form Registration Process 53-19:227	Roger Cooper, Jared Gerber, and Les Silverman The Latest in the Toshiba Securities Litigation: Perils for Foreign Issuers53:8-89
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	Jennifer Wisinski and Rachael Apfel Current Trends in Indemnification Provisions in Acquisition Agreements53-7:81
Stephanie A. Capistrone, Jeremy I. Senderowicz, and Aiman Tariq Recent Developments in ETF Regulation 53-18:215	Brian A. Jacobs and Joshua Bussen Sentencing in Recent Insider Trading Cases: What Judges Have Said and Done53-7:73
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 Derivatives53-6:57
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 Offense53-5:49
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 Monitor53-4:37
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 Capital53-3:25
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 Swaps53-2:13
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> Evolves53-1: 1
Andrew J. Pitts, D. Scott Bennett, Michael E. Mariani, and Melanie R. Cook Direct Listings: Going Public without an IPO 53-12:139	2019
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	Vadim Avdeychik Responsible Investing: Legal and Compliance Considerations for Asset Managers52-22:271
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	Christopher D. Carlson Consecutive Private and Public Offerings for Registered Funds.....52-21:261
Gregory A. Markel and Sarah A. Fedner Two Areas for Reform in Securities Litigation..... 53-10:113	Charles R. Mills and Stacie R. Hartman The CFTC’s Enforcement Manual: Key Content and Use for Practitioners in CFTC Investigations.....52-21:255
Tai Park and Thomas Endering Global Anti-Corruption Enforcement: American Style..... 53-9:101	Frank Zarb When Passive Hedge Funds Decide to Become Activist52-20:247
James G. Tillen and Chervonne Colón Stevenson Managing FCPA Risk While Fulfilling Local Content Requirements. 53-8:95	Matthew A. Schwartz and Michael R. Mayer Issues and Trends in Event-Driven Securities Class Actions52-20:239
	C. Edward Dobbs Dealing with Emotions in the Resolution of Business Disputes.....52-19:227
	Jason H. Smith Goodwill under Scrutiny: How the SEC is Increasingly Targeting Goodwill Impairments and Ways to Reduce Risk52-18:221

2000 – JUNE 2025 CUMULATIVE ARTICLE INDEX

Vol.-No.:Pg.	Vol.-No.:Pg.
Richard D. Marshall and Mark D. Goldstein SEC Focus on Private Equity: It's Back!..... 52-18:213	Brian L. Rubin and Rebekah R. Runyon Hiring and Using Compliance Consultants 52-7:77
Jeremy Kuester Structured Finance Special Purpose Vehicles and FinCEN's CDD Rule 52-17:205	Martin L. Seidel and Mary Eaton The Supreme Court's <i>Cyan</i> Decision: Implications for Securities Class Actions 52-7:69
Kathleen S. McArthur and Daniel J. Lasko CFTC Enforcement Advisory on Foreign Corrupt Practices 52-17:201	David Woodcock and Alexandra Stanley Issuer Reporting and Disclosure: The State of SEC Enforcement 52-6:57
Neal R. Marder and Kelly Handschumacher Legal Ethics Considerations in Class Action Litigation 52-16:195	Avi Gesser, Matthew Kelly, and Samantha Pfothenhauer 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
Stephen P. Wink, Naim Culhaci, and Deric Behar Digital Advice Platforms: Compliance and Legal Challenges 52-13:149	2018
Gary O. Cohen SEC Proposes Summary Prospectus for Variable Insurance Products 52-12:143	Benjamin D. Singer and David R. Fitzgerald International Financial Fraud Enforcement Trends in a Globalized World 51-22:271
Joseph A. Hall <i>Howey</i> , <i>Ralston Purina</i> and the SEC's Digital Asset Framework 52-12:137	Tracey Salmon-Smith and Jennifer Chawla Form U-5 Requirements for FINRA Member Firms 51-21:265
Vincent E. Lazar and William A. Williams Cleared Derivatives Markets — Customer Protection and Resolution Tools 52-11:125	Anna T. Pinedo Modernizing the Regulatory Framework for BDCs 51-21:259
Sarah F. Warren Maintaining Privilege Protection of Internal Investigations 52-10:119	Brian A. Jacobs How Institutional Dynamics Have Shaped Insider Trading Law 51-20:247
Cheryl L. Haas and Alex M. Madrid Regulatory Developments for Dual Registrants 52-10:113	Jay A. Dubow and Ying Zeng The Watchdogs Are Being Watched 51-19:241
William D. Semins and Jared Kephart The Growing Importance of Fully Integrated Compliance Programs 52-9:105	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
Corin R. Swift, Benjamin L. Nager, and Jordan S. Schwartz Regulatory Focus on “High-Risk” Registered Representatives and Recidivism 52-9:97	Gwendolyn A. Williamson, Matthew S. Williams, and Thomas M. Ahmadifar Developments in the Regulation of Fiduciary Investment Advice... 51-18:215
Meredith Kotler and Mark McDonald Developments in M&A Litigation 52-8:85	Kara Brockmeyer and Ada Fernandez Johnson Inside the Role of Brazil's CVM in Anti-Corruption Cases 51-17:211
	Warren T. Allen III and B. Michelle Bosworth Multi-Jurisdictional Anti-Corruption Investigation and Enforcement Trends and Developments 51-17:203

2000 – JUNE 2025 CUMULATIVE ARTICLE INDEX

Vol.-No.:Pg.	Vol.-No.:Pg.
Michele D. Johnson, Blair Connelly, and Janet J. Hsu The Shift in Delaware Appraisal Litigation 51-16:197	Mary J. Mullany Virtual-Only Shareholder Meetings – Are They a Good Idea for Your Company?51-5:63
John C. Partigan Going Public Without an IPO 51-16:191	Michael Philipp, Akshay Belani, Christine Lombardo, and Sarah Riddell Recordkeeping: Recent Rule Amendments and Other Developments.....51-5:55
Peter Lichtenbaum and Eric Sanderberg-Zakian Reducing Third-Party Trade Compliance Risks..... 51-15:187	Jeff Blumberg and Brian Jacobson Advertising and Social Media for Investment Advisers.....51-4:49
Paul M. Dudek Current SEC Initiatives Impacting Foreign Private Issuers 51-15:179	Maeve L. O'Connor and Elliot Greenfield <i>Cyan</i> and the Future of Securities Class Actions in State Court51-4:43
Katherine Cooper Proposed Swap Dealer Capital Requirements: The CFTC's Long Path Towards a More Risk-Based Approach 51-14:173	Christopher S. Petito Recent Staff Guidance on the Custody Rule under the Investment Advisers Act of 1940.....51-3:37
Gretchen Scott EU General Data Protection Regulation: Is the U.S. Funds Industry Ready?..... 51-14:167	Sarah L. Cave Caught in <i>Traffic</i> : The Scope of the SEC's Extraterritorial Authority51-3:31
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 Litigation51-2:15
William Ridgway, Jonathan Marcus, and Alexander Kasparic The Futures Industry and Cybersecurity 51-12:143	Eric Simanek Regulatory Developments Relating to Actively Managed ETFs51-1:7
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 Actions51-1:1
Kurt Wolfe <i>Digital Realty</i> and the Narrowing of Whistleblower Protections 51-11:123	2017
Susan Gault-Brown Structuring Options for Retail Crypto Fund Products 51-10:117	Richard M. Kosnik Recent Law Firm Publications Capital Markets.....50-22:272
Lawrence D Finder and Lindsay Wright Brett T, G, and E under the FCPA: How Much is Too Much?..... 51-10:111	Wenchi Hu Technology Outsourcing by National Securities Exchanges and Registered Clearing Agencies.....50-22:263
Matt Herrington, Jonathan Drimmer, and Brady Cassis FCPA Compliance: The Role of Data Collection and Analysis 51-9:105	Mary P. Hansen, James G. Lundy, and Antoinette M. Snodgrass CFTC Enforcement: Best Practices and Recent Developments50-21:251
Claire N. Rajan The New Department of Justice FCPA Corporate Enforcement Policy 51-9:99	Maia Gez The New Pay Ratio Disclosure50-20:245
Benjamin Galdston Shareholder Litigation for Waste of Corporate Assets in Internal FCPA Investigations..... 51-8:93	Arthur H. Kohn and Julia M. Rozenblit Executive Compensation Litigation Update50-20:235
John Mark Zeberkiewicz and Robert B. Greco Determining and Disclosing the Effect of Broker Non-Votes..... 51-8:87	Hillel T. Cohn The New Fiduciary Standard for Broker-Dealers50-19:229
Jay G. Baris and Joshua Ashley Klayman Blockchain Basics for Investment Managers: A Token of Appreciation 51-6/7:67	Brian A. Jacobs and Priya Raghavan The Impact of <i>Salman V. United States</i> on Downstream Tippee Prosecutions50-19:223
	Colin Lloyd and Christian Artmann Re-Examining the CFTC's Regulation of Cross-Border Swaps Clearing and Trading Activities.....50-18:211
	Timothy D. Belevetz Cybersecurity Breaches: Avoiding Pitfalls50-17:207

2000 – JUNE 2025 CUMULATIVE ARTICLE INDEX

Vol.-No.:Pg.	Vol.-No.:Pg.
Jason E. Brown, Eva Ciko Carman, and Nicole Krea SEC Priorities for Private Equity and Real Estate Advisers 50-17:199	Glen Schleyer 2016 Shareholder Activism Review and Analysis..... 50-3:25
Tanuja Dehne, Anne Meyer, and Katayun Jaffari CEO Succession and Crisis Management’ 50-16:191	Rose F. DiMartino, Jay Spinola, Ryan P. Brizek, and James W. Hahn The New SEC Liquidity Rule 50-2:13
Richard Marshall Supreme Court Imposes a Five-Year Statute of Limitations on SEC Disgorgement Claims..... 50-16:181	Sarah L. Cave The Impact of <i>Omnicare</i> on Auditor Liability under the Federal Securities Laws 50-1:9
Nathaniel Lalone and Christopher Collins Market Structure: An Evolution From MiFID I to MiFID II 50-15:169	Lisa C. Wood and Matthew Miller Recent Trends in SEC Enforcement Actions Against Auditors 50-1:1
Anne P. Ray Navigating Conflicts of Interest in Securities Class Actions 50-14:161	2016
Jeffrey P. Taft, Lawrence R. Hamilton, Stephen Lilley, and Matthew Bisanz The New York State DFS Cybersecurity Regulation: Preparing for Compliance..... 50-13:153	Stephen P. Wink and Brett M. Ackerman Crowdfunding under the SEC’s New Rules 49-22:267
Elizabeth P. Gray and Catherine E. Fata Increased Use of Big Data in SEC Enforcement 50-12:145	Sharon Cohen Levin, Elizabeth J. Hogan, and Tamar Kaplan-Marans Anti-Money Laundering Enforcement: The Rise of Individual Liability for Compliance Professionals..... 49-21:255
Sean M. Murphy, Robert C. Hora, and Michael E. Mirdamadi The So-Called “Fiduciary Exception” to the Attorney-Client Privilege in Section 36(b) Cases..... 50-11:133	Michael P. Daly and Richard M. Haggerty Background Checks and the FCRA: How Employers Can Mitigate One Risk without Creating Another’ 49-20:243
Scott B. McBride <i>Salman V. United States</i> and Its Impact on Insider-Trading Enforcement..... 50-10:125	Stephanie Yonekura and Deepak Singh The New Focus on Individuals Responsible for Corporate Misconduct 49-19:235
John M. Hillebrecht, Jessica Masella, and Adam Steene Managing a Global Regulatory Investigation — Unique Challenges in Cross-Border Investigations 50-9:109	Mariza McKee and Robert Ahrenholz Concurrent Regulation D and Regulation S Offerings in EB-5 Financings..... 49-18:229
Ronald S. Borod Esoteric ABS: Pushing the Envelope 50-8:93	Matthew T. Martens, Arian M. June, and Caroline Schmidt Four Key SEC Whistleblower Trends – and How Companies Can Prepare for Them 49-18:225
Julian E. Hammar, David B. Lichtstein, and Robert J. Dilworth The SEC’s Long-Awaited Security-Based Swaps Rules May Be Approaching..... 50-7:77	Todd S. Fishman The SEC’s Renewed Focus on Gatekeepers..... 49-17:219
Willa Cohen Bruckner and Matthew Barringer Margin for Uncleared Swaps: Practical Considerations for the Buy-Side 50-6:67	Tom A. Paskowitz, Daniel A. McLaughlin, and Benjamin F. Burry Transactions in Un-sponsored American Depositary Receipts 49-17:211
Rose F. DiMartino, Jay Spinola, Ryan P. Brizek, and James W. Hahn The SEC’s “Swing Pricing” Rule..... 50-6:61	Thomas H. Bentz, Jr. Tips for Strong Cyber Liability Insurance..... 49-16:203
David Mortlock and Nikki M. Cronin Economic Sanctions Enforcement: Recent Trends and Lessons Learned 50-5:57	Lawrence Zweifach, Arthur Long, Joel Cohen, Robert Trenchard, Jeffrey Steiner, and Amy Mayer Developments and Trends in CFTC Enforcement..... 49-15:189
Lisa Prager, Lara Covington, and Michael Court DOJ’s New Guidance for Voluntary Self-Disclosures of Willful Export Controls and Sanctions Violations..... 50-5:53	Anastasia Rockas 2015: A Year in Review for Investment Advisers 49-14:179
Tamer Tullgren The SBIC Advisers Relief Act 50-4:47	David A. Kotler, Joanna Barry, and Catherine Wigglesworth Recent Developments in Mutual Fund Fee Litigation 49-13:171
Abby F. Rudzin, R. Scott Widen, Matthew T. Murphy From Chancery Court to Federal Court: The Obstacles to a Post- <i>Trulia</i> Migration..... 50-4:41	Robert Sichel, Kristina Zanotti, and Ruth Delaney The Department of Labor’s New Conflict-of-Interest Regulations.. 49-13:163
	Trevor N. McFadden and Maria McMahon Reluctant Handmaidens: The Role of Judiciary in Corporate Settlement Agreements 49-12:159

2000 – JUNE 2025 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Frederick H. Alexander Public Benefit Corporations.....	49-12:155	David Woodcock and Allison Fuller A Prosecutor's Approach to SEC Enforcement (and What It Means for Smaller Companies)	49-1-1
Joan E. Meyer The Evolving Calculus of Corporate Voluntary Disclosure in Foreign Corrupt Practices Act Cases	49-12:149	2015	
Mary Eaton, Amelia Cottrell, Elizabeth Gray, Ben Haskin, Jim Anderson, and Juliet Mun Context Makes a Difference: SEC Loses Controversial Case	49-11:139	Kim Strosnider and Stephen Bartenstein U.S. Trade Controls Considerations During M&A and Transactional Due Diligence.....	48-22:291
Lisa R. Bugni and Courtney Quirós Preserving and Controlling the Attorney-Client Privilege in M&A Deals.....	49-11:129	Chad E. Silverman and David Zornow Manipulation under the CEA and the Defense of Self-Defense	48-21:287
Nicole Erb, Sara Nordin, and Tanya Hanna Reconciling US and EU Sanctions: Iran and Cuba	49-10:121	Gerald S. Sachs, Ryan A. Chiachiere, Alexandra L. Anderson, and Lauren Kelly D. Greenbacker Virtual Currency and Regulation	48-21:275
Ajay Kuntamukkala, Adam J. Berry, and Timothy J. Ford The Iran Nuclear Deal: Possibilities and Pitfalls for U.S. and Non-U.S. Companies.....	49-10:113	Alan Brudner, Wendy Cohen, Gary DeWaal, David Dickstein, Doron Goldstein, and Dina Wegh Cyber-Attacks and Developments in Cybersecurity	48-20:261
Amy R. Doberman SEC Proposal on Investment Company Use of Derivatives – A Solution in Search of a Problem?.....	49-9:101	Douglas I. Koff and Julian Rainero Dark Pools: Recent Enforcement Actions.....	48-19:253
Mary J. Mullany Shareholder Approval of Equity Plans – Current Considerations.....	49-8:93	Leslie Silverman, Nicolas Grabar, and Andrea Basham New SEC Staff Guidance on General Solicitation	48-19:247
Jason A. Jones FCPA Best Practices: Implementation and Utilization of Third-Party Audits	49-7:89	Geoffrey S. Goodman, Esq. Safe Harbor Rights and Protections for FCMs and Swap Dealers in Customer Bankruptcies	48-18:239
Jason M. Halper and Jeremy D. Erickson SEC Pay Ratio Rules – A Recipe for Compliance and Model Disclosure.....	49-7:81	Liisa Thomas Handling Big Data in the Financial Services Sector	48-18:231
Christian J. 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(c).....	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
		Matthew L. Mustokoff and Stacey M. Kaplan Damages and Predominance in Securities Class Actions after <i>Comcast</i>	48-12:149
		Marc E. Elovitz SEC Examinations of Private Fund Advisers	48-12:143

2000 – JUNE 2025 CUMULATIVE ARTICLE INDEX

Vol.-No.:Pg.	Vol.-No.:Pg.
	2014
Choo Lye Tan The Shanghai-Hong Kong Stock Connect.....48-11:137	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
Kelli L. Moll, Gwyneth Rees, Neil Koren, and Peter D. Astleford Current Trends in Hedge Funds48-11:127	Sean M. Murphy and Matthew J. Laroche <i>Halliburton</i> and the Fraud-on-the-Market Theory..... 47-21:283
F. Daniel Bell, III, Andrea L. Seidt, and Pamela P. Epting State Securities Regulatory Update48-10:115	Brent J. McIntosh Judicial Review of SEC Consent Judgments..... 47-21:275
Douglas Davison, Matthew Martens, Nicole Rabner, John Valentine, and Natalie Rastin Litigating With – and At – the SEC48-9:103	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 Requirements48-8:87	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 Proceedings48-7:77	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 Study48-7:71	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 EU48-6:67	George Wang and Andrew Winerman Sanctions Developments in 2014 47-17:223
Robert E. Plaze Understanding the Investment Adviser Custody Rule: Part I – Determining Custody48-6:59	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 CTAs48-4:35	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 Wales48-3:25	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
	John Servidio, Peter Tucker, and Ryan Taylor Time for a 2014 ISDA Master Agreement 47-9:99

2000 – JUNE 2025 CUMULATIVE ARTICLE INDEX

Vol.-No.:Pg.	Vol.-No.:Pg.
Rex S. Heinke, Julia I. De Beers, and Elias Dabaie The Effect of Arbitration Agreements on Class Actions 47-9:91	Jonathan E. Pickhardt The <i>ACA</i> Case: A New Standard for Reasonable Reliance?46-20:263
Jeanine P. McGuinness U.S. Sanctions on Iran: The Joint Plan of Action for Containing Iran's Nuclear Program..... 47-8:79	Peter W. LaVigne Know Your Customer Inquiries and Suitability Determinations under the Updated FINRA Rules46-20:253
Herbert F. Janick III and John Lupton The SEC's Policies on Civil Penalties and Admissions in Settlements 47-7:85	William S. Freeman Regulation FD in the Twitter Age46-19:245
Richard M. Phillips, Jeffrey L. Bornstein, and Leanne E. Hartmann The SEC's New Enforcement Program 47-7:79	Ethan Silver and Jayun Koo FINRA's Regulation of its Members' Use of Social Media.....46-19:237
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	David Bayless and Tammy Albarrán Concluding an Internal Investigation.....46-18:233
Deanna Kirkpatrick The JOBS Act and IPOs 47-6:71	Paul M. Tyrell Recent AML Enforcement Cases46-18:227
Rose F. DiMartino and Ryan P. Brizek Investment Company Performance: The Board's Oversight Role..... 47-5:65	Paula Howell Anderson "Win-Win" Scenarios for Shareholders in M&A Transactions.....46-17:217
Roberta A. Kaplan and Jacob H. Hupart Credit Rating Agency Litigation..... 47-5:59	Melissa Sawyer and Rebecca Crosby Deal Protections in Tender Offers46-17:211
Richard Hall SEC Developments in M&A 47-4:55	Brian Korn and David P. Russo Resales of Restricted and Control Securities under Rule 14446-16:199
Michael M. Farhang and Chris Jung The Interplay Between Government Investigations and Civil Securities Litigation..... 47-4:43	Stephen P. Wink, Stefan Paulovic, and Michael Shaw Dually Registered Brokers and Advisers46-15:191
Elissa J. Preheim and Bret A. Finkelstein Preparing an Effective PCAOB Statement of Position..... 47-3:37	Donald R. Crawshaw Recharacterization of Payments by Mutual Funds and Advisers to Distributors.....46-15:183
Erica Schohn and Joe Penko Executive Compensation Issues: Planning for the Coming Proxy Season 47-3:31	Adam M. Givertz and Brad D. Goldberg Anti-Corruption Due Diligence in Mergers and Acquisitions46-14:171
Daniel Nathan and Justin Kletter Preparing for and Enduring a FINRA Exam 47-2:25	A. Robert Pietrzak, Tom A. Paskowitz, and Benjamin F. Burry Securities Fraud Litigation Against China-Based Companies in the United States.....46-13:157
Marc J. Fagel Reassessing the SEC Wells Submission 47-2:17	Matthew L. Mustokoff and Margaret E. Onasch Proving Securities Fraud Damages at Trial.....46-12:145
Kelley A. Howes Advisers Act Marketing Considerations for Real Estate Fund Managers 47-1:9	Stephen A. Keen Money Market Fund Reform From a Risk Management Perspective46-11:129
Marc Wolinsky and Ben Schireson Deal Litigation Run Amok: Diagnosis and Prescriptions..... 47-1:1	Patricia O. Vella and Jessica C. Pearlman Confidentiality and Standstill Agreements: Recent Delaware Law Developments.....46-10:121
2013	Blake Rohrbacher and Christopher H. Lyons Disclosure of Management Projections under Delaware Law.....46-10:113
Robert Hubbell Regulators Renew Focus on Auditor Independence..... 46-22:293	Linda L. Griggs The Increasing Focus on Audit Committees46-9:99
Charles F. Walker and Katherine V. Lesker Practicing Before the SEC: Ethical Considerations for Counsel 46-22:281	Willa Cohen Bruckner A Guide to Dodd-Frank for Users of Swaps46-8:87
William Kane and Gillian Whittlesey SEC Investment Adviser Examinations 46-21:269	

2000 – JUNE 2025 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
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. Rosenthall	
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 Prosba	
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	Paul C. Gluckow and David B. Edwards	
Philip Urofsky		Recent Trends Regarding the Use of Confidential Witnesses in	
FCPA 2012: Lessons Learned and Open Issues	46-5:41	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		Search Warrants in White-Collar Crime Cases	45-12:133
Obligations.....	46-4:33	Matthew F. Klucheneck and Jacob L. Kahn	
Richard D. Bernstein and Zheyao Li		The Dodd-Frank Act's Prohibition of Disruptive Trading	
SEC Rule 412: What is Said Now Trumps What was Said Before.....	46-3:27	Practices.....	45-11:127
Jill Crawley Griset		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	
Jacqueline D. Shinfield		Funds	45-11:117
Canadian AML and ATF Regime: The Changing Landscape	46-2:13	Robert E. Puopolo, Bradley A. Jacobson, and Stephen T. Adams	
F. Amanda DeBusk		The JOBS Act: Improving Access to Capital Markets for Smaller	
Update on U.S. Sanctions Against Iran	46-1:1	Companies	45-10:109
		Melissa Sawyer	
2012		Advising Buyers in Controlling Stockholder Transactions.....	45-9:97
Rajib Chanda and Robert Shapiro		Laura Ariane Miller and B. Patrice Clair	
Board Oversight of Fair Valuation	45-22:263	The Proverbial Gun in the Corporate Defense World.....	45-8:91
Ioannis Tzouganatos, Jack P. Huntington, and Bruce Treff		Sean M. Murphy and James G. Cavoli	
ETF Regulatory and Operational Considerations	45-21:251	Fund Profitability in Mutual Fund Fee Litigation.....	45-8:81
Rudolph Koch and Jason J. Rawnsley		Jeffrey W. Coverdell, Brian L. Rubin, and Andrew M McCormick	
Section 162 (M) Litigation: What We Know So Far	45-20:243	SEC and FINRA: Priorities and Enforcement Trends	45-7:75
Bruce B. Fekrat		Michele D. Johnson and Colleen C. Smith	
CFTC's Large Trader Reporting Rules	45-20:239	The Future of Say-On-Pay Derivative Litigation	45-7:69
Edward R. McNicholas and Elisa K. Jillson		Alex C. Lakatos	
Extending Compliance to the Cloud.....	45-19:227	Extraterritorial Section 10(B) Class Actions after <i>Morrison</i>	45-6:61
Thomas C. Bogle		Tracey A. Zaccane	
Anti-Money Laundering Regulation of Investment Advisers	45-18:219	The PIPES Market: Outlook for 2012	45-5:57
Norman S. Poser		Thomas W. Kellerman and Jeffrey R. Wolters	
<i>Janus</i> Revisited: The Lower Courts Wrestle with a Troubling Supreme		Corporate Governance for Venture-Backed Companies.....	45-5:49
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	
Foreign Private Issuers: Status and Exchange Act Registration.....	45-16:205	Claims Triggered?.....	45-4:45
Jay G. Baris		Marc Folladori and Ryan Valenza	
Fallout From the Dodd-Frank Zone: Lessons and Challenges for		Developments in Shareholder Proposals	45-4:33
Investment Advisers.....	45-16:195		

2000 – JUNE 2025 CUMULATIVE ARTICLE INDEX

Vol.-No.:Pg.	Vol.-No.:Pg.
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 201044-14:171
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 Swaps44-13:155
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 Conundrum44-12:145
Boris Feldman Shareholder Litigation after the Fall of an Iron Curtain 45-1:7	Allison Lurton and Mark Herman CFTC Regulation of Derivatives under Dodd-Frank: Challenges for Compliance Officers44-12:139
Elizabeth K. Derbes The SEC’s Large Trader Reporting Rule 45-1:1	Robert W. Helm, Douglas P. Dick, and Gared S. Schneberger Investments in Derivatives by U.S. and European Mutual Funds44-11:129
2011	Deanna L. Kirkpatrick Negotiating Comfort Letters44-10:121
Bradley A. Jacobson, Robert E. Puopolo, and Daniel J. Blanchard Capital Formation Reform 44-22:285	Jared L. Kopel and Maulik Shah The Core Operations Inference44-9:113
Sarah L. Cave and Jesse L. Jensen Federal Securities Claims Against Auditors Following the Subprime Meltdown 44-22:277	Linda L. Griggs Disclosures about Loss Contingencies44-8:107
John F. Grossbauer and Pamela L. Millard Stockholder Rights Plans in Negotiated Mergers: Issues of Delaware Law 44-21:269	Pravin Rao and Assad Clark Changing Landscape of Swap Regulation44-8:97
Jonathan R. Tuttle and Ada Fernandez Johnson The SEC Sharpens its Talons in No-Fault Clawback Actions 44-20:261	Jason E. Brown Application of the Investment Advisers Act to Private Equity Advisers44-7:83
Michael S. Sackheim Professional Responsibility Issues for Swaps Lawyers under Dodd-Frank 44-20:253	Giselle M. Barth and Daniel M. Rossner Dodd-Frank Securitization Reforms44-6:67
John Kolada, Stefan Timms, and Michael Hickey Cross-Border Public M&A in Canada 44-19:245	Laura D. Richman The Impact of the Dodd-Frank Act on the Proxy and Annual Report Season44-5:55
F. Martin Fox, Jack P. Huntington, and Bruce Treff Use of Social Media by Investment Advisers 44-19:237	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
Laurence S. Lese and Michael E. Clark Insights into the SEC’s Whistleblower Program 44-18:225	Michael E. Clark The Dodd-Frank Act’s Bounty Hunter Provisions44-3:31
Jason E. Brown and Joel A. Wattenbarger Implementing the Private Fund Investment Advisers Registration Act of 2010 44-17:213	Donna L. Wilson and John W. McGuinness Investor-Driven Litigation Against the Credit Rating Agencies44-2:27
Norman S. Poser The Supreme Court’s <i>Janus Capital</i> Case 44-16:205	Marc D. Powers Insider Trading: The SEC Gets Tough44-2:21
Joel M. Cohen and Adam P. Wolf Private Equity Investment and the FCPA 44-16:197	Mark A. Borges The Executive Compensation Provisions of the Dodd-Frank Act44-1:1
John Mark Zeberkiewicz and Tiffany N. Piland Valid Issuance of Capital Stock 44-15:191	2010
Donald W. Glazer and Michael J. Kendall Old Opinion Forms on Sales of Securities 44-15:187	Stephanie Nicolas and Leigh Thompson Outsourcing Back-Office and other Functions43-22:301
Tracy L. Gerber FINRA Arbitration in the Modern Era: A Defense Practitioner’s Perspective 44-14:181	Roberta S. Karmel A New Regulatory World for Hedge Funds43-22:295

2000 – JUNE 2025 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Jack Murphy, Julien Bourgeois, and Lisa Price		Brynn D. Peltz and Matthew J. Chase	
How a Fund Dies	43-21:283	M & A Transactions for Investment Advisers in an Age of Scrutiny.....	43-6:79
John Mark Zeberkiewicz and Megan W. Shaner		Ronald Wood, Travis Brennan, and Courtney Devon Taylor	
An Overview of Delaware-Specific Issues for Stockholders' Meetings	43-20:275	Post-Madoff SEC Reforms: Implications for Hedge Funds.....	43-5:67
James R. Doty and J. Bradley Bennett		Marsha Z. Gerber, Elaine L. Lawson, and Cristina K. Lunders	
Independent Consultants in SEC Enforcement Proceedings.....	43-19:259	Voluntary Disclosure of FCPA Violations	43-4:55
Jared L. Kopel and Jacob T. Veltman		Howard E. Berkenblit and Jonathan M. Vaas	
Tolling the Statute of Limitations in SEC Proceedings, Part 2	43-18:251	SEC Passes Enhanced Proxy Disclosures.....	43-4:47
Ki P. Hong and Matthew Bobys		Mary J. Mullany and Jill M. Stadelman	
The SEC's New Pay-to-Play Rule for Investment Advisers	43-18:247	Compensation Committees – The New Gatekeepers.....	43-3:37
Jared L. Kopel and Jacob T. Veltman		Doreen E. Lilienfeld and Veronica M. Wissel	
The Statutes of Limitations in SEC Proceedings, Part 1	43-17:235	Emerging Trends in Compensation Regulation.....	43-3:31
F. Joseph Warin and Jill M. Pfenning		Rebekah J. Poston, David A. Saltzman, and Gregory W. Bates	
Chinese Anti-Bribery Regulatory and Enforcement Landscape	43-16:227	FCPA Due Diligence in Acquisitions.....	43-2:13
Michael J. Sharp, Bruce H. Newman, and Christie Farris Öberg		Barbara J. Endres and Kersti Hanson	
Seller Beware: Regulators Dissect Retail Sales of Structured Products	43-16:219	“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		
Stephen A. Keen			
2010 Money Market Fund Regulatory Reforms	43-14:191		
Kay A. Gordon			
Regulation of Short Selling in the U.S.	43-13:179		
William M. Lafferty and Bradley D. Sorrels			
Anatomy of a Busted (Up) Deal.....	43-12:173		
Stephen E. Roth and Mary Thornton Payne			
Navigating the SEC Framework for Registered Non-Variable Annuity Products	43-12:161		
Todd W. Beauchamp			
The Evolution of Private Equity Investment in Failed Institutions ..	43-11:149		
Andrew M. Ross			
Acquisitions by Chinese Companies in the United States	43-10:137		
Owen D. Nee, Jr.			
Foreign Management of Private Equity in China	43-10:127		
Mark D. Perlow and C. Dirk Peterson			
SEC Revisits Equity Market Structure in Concept Release and Rule Proposals	43-9:115		
Mari-Anne Pisarri			
The New Landscape of Investment Adviser Custody	43-8:103		
Jeffrey A. Smith, Matthew Morreale, and Kimberley Drexler			
The SEC Interpretive Release on Climate Change Disclosure.....	43-7:95		
Gerald J. Russell			
FINRA AML Enforcement: Early Lessons	43-6:85		

2009

Jaelyn Liu	
The NYSE's Amendment of Rule 452: Practical Tips for Public Companies	42-22:279
Stacie R. Hartman	
Changes in the Culture of Waiver	42-21:271
Victor Peterson	
Recent Developments in the Misappropriation Theory of Insider Trading	42-20:265
Soo J. Yim, Andre E. Owens, Gail C. Bernstein, and Cristie L. March	
The SEC's Proposed Ban of Flash Orders.....	42-20:259
Anand S. Raman, Darren M. Welch, and Emily C. Helms Williams	
The Servicemembers Civil Relief Act.....	42-19:251
Elizabeth V. Tanis and Jennifer D. Fease	
Emerging Issues in Deepening Insolvency Claims.....	42-18:239
John Mark Zeberkiewicz and Joseph L. Christensen	
The Delaware and SEC Proxy Access Regimes.....	42-17:233
Lawrence R. Bard, David M. Lynn, and Alfredo B. Silva	
XBRL is Now Mandatory – A Primer for Securities Lawyers	42-17:227
Marc H. Morgenstern	
Crisis Bridge Financings – 2009	42-16:213
Mark A. Borges	
The TARP Executive Compensation Standards – A Sign of Things to Come?.....	42-15:197
Daniel R. Waldman and Ahmad M. Hajj	
CFTC's Supervision Rule Expanded?.....	42-14:193
Thomas W. White and Nia M. Monroe	
The Mark-To-Market Accounting Controversy	42-14:181

2000 – JUNE 2025 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
W. Thomas Conner and James M. Cain		James T. Lidbury and Andrew J. Terry	
Exchange-Traded Funds	42-13:167	SEC Issues Guidance on the Use of Company Web Sites to	
		Disseminate Investor Information.....	41-21:279
Julien Bourgeois, Michael Sherman, and Philip Hinkle		Amelia Toy Rudolph	
SEC Examination of Investment Advisers	42-12:155	The <i>In Pari Delicto</i> Defense in Federal Securities Claims and	
		Accountant Liability Actions.....	41-20:263
Joel M. Cohen, Mark A. Kirsch, Mary K. Dulka, and		Jessica Forbes and Terrance O'Malley	
Sarah Blackman		A Review of Principal Transactions under the Advisers Act	41-19:249
Mutual Fund Litigation Triggered by the Credit Crisis	42-11:145		
		Paul R. Berger and Erin W. Sheehy	
Pamela Rogers Chepiga and Lanier Saperstein		The Globalization of SEC Enforcement Activities	41-18:243
Trends in Global Securities Litigation	42-11:139		
		Eric A. Hirsch and Steven M. Witzel	
Donald B. Henderson Jr. and Allison J. Tam		Liability and Consequences for Failing to Supervise Employees	
Overview of the Life Settlement Market.....	42-10:123	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		The 2008 Shareholder Proxy Season in Review	41-17:217
Turmoil.....	42-9:107		
		Scott J. Carpenter and Thomas V. Sjoblom	
Seth Aronson, Amy Jane Longo, and Stephanie Noble		Parallel Government Proceedings in Complex Securities Cases	41-16:201
A Decade in Review: The Securities Litigation Uniform			
Standards Act	42-8:95	Jack P. Drogin and Howard L. Kramer	
		Fraud in Markups: An Unusual SEC Decision	41-15:195
David B. Harms			
When Public Companies Raise Private Capital: Managing the		Tommaso Bencivenga, Mia C. Korot, and Sean M. Murphy	
Disclosure and Publicity Issues.....	42-7:83	Securities Plaintiffs Turn to Class Actions under ERISA	41-15:185
W. Hardy Callcott and Abigail C. Slonecker		Wendy B. Hart and Michael K. Wolensky	
A Review of Recent SEC Actions Against Lawyers.....	42-6:71	Designing an Effective Retail Surveillance Program.....	41-14:179
Mary J. Mullany and Ellen Jerrehian		Lina Braude and Jonathan Nelms	
2009 Annual Disclosure Documents.....	42-5:61	FCPA Compliance in Russia	41-14:169
Scott W. Muller and Chiawen C. Kiew		Sarah R. Davidoff, Gary L. Granik, and Rachel E. Meyer	
Responding to Multi-Jurisdictional Investigations: Issues and		Side Pockets on the Rise – Issues, Analysis, and Impact.....	41-13:161
Considerations	42-4:47		
		Christopher D. Christian, Joseph R. Fleming, and Maureen Magner	
Ronald E. Wood, Jeffery Gross, and Travis Brennan		The Rise and U.S. Invasion of Sovereign Wealth Funds:	
SEC's Fiscal 2008 Focus on Hedge Funds	42-3:39	A Growing Source of Concern	41-13:153
Pravin B. Rao and Jade R. Lambert		Brian T. Casey and Thomas D. Sherman	
Revenue Recognition in Troubled Times.....	42-3:31	State Broker-Dealer Registration Pitfalls for Life Settlement	
		Brokers	41-12:147
Jonathan S. Sack		John C. Kelly	
Knight's Saga: A Court Rejects the SEC's Theory of "Best		The U.S. Supreme Court Decides <i>Hall Street</i> : Challenging an	
Execution"	42-2:25	Arbitration Award Just Got Tougher	41-12:141
Tanya L. Forsheit		Gregory S. Bruch and Jessica L. Matelis	
Privacy, Data Security, and Outsourcing: Domestic and International		FCPA Compliance Monitors – A Buyer's Guide.....	41-11:133
Regulation	42-2:13		
		Gary DiBianco and Wendy E. Pearson	
Norman S. Poser		Anti-Corruption Due Diligence in Corporate Transactions: How	
Securities Fraud and the Common Law	42-1:1	Much Is Enough?	41-11:125
		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

2008

Stephen D. Bohrer	
The SEC's Amendments to the Cross-Border Rules: Right Direction	
but Off-Target.....	41-22:289
Blake Rohrbacher and John Mark Zeberkiewicz	
The Right Protection: More on Advancement and	
Indemnification.....	41-21:283

2000 – JUNE 2025 CUMULATIVE ARTICLE INDEX

Vol.-No.:Pg.	Vol.-No.:Pg.
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 14541-9:97	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 Funds41-8:89	Jon A. Jacobson and Bradford D. Kaufman Appellate Review of Arbitration Decisions..... 40-16:185
Kimberley S. Drexler and Paul Michalski A Snapshot of the SEC and Global Security Risk Disclosure Today41-8:81	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 Transactions41-7:73	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 Issuers41-4:37	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 Developments41-3:25	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 Context41-2:17	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 Opportunities41-1:1	Larry E. Bergmann Soft-Dollar Arrangements under Section 28(c) of the Securities Exchange Act..... 40-8:87
2007	Mark Perlow Managing Hedge Fund Conflicts of Interest..... 40-7:75
Jonathan M. Hoff and Gregory Zimmer The Evolution of Class Certification Standards.....40-22:255	Margaret Jacobs and Betty Santangelo The Anti-Money Laundering Regime for the Futures Industry 40-6:59
Marcela L. Cuadrado and Thomas L. Taylor III The Future of Fee-Based Brokerage Programs.....40-21:247	Marc H. Folladori, Michael Hermsen, and Saul R. Laureles SEC Overhauls Executive Compensation Disclosure Rules..... 40-5:47
Patryk J. Chudy and Richard A. Martin Collateral Estoppel & Foreign Parallel Proceedings: The Risks of Preclusion in U.S. “Follow-On” Litigation40-20:239	Alice F. Yurke Developments Affecting Commodity-Linked Security Products..... 40-4:41
Christopher F. Chase and Christopher M. Salter Short Selling and Naked Shorts in the Regulation SHO Environment.....40-20:231	Jeffrey D. Karpf and Leslie N. Silverman When Time-of-Sale Disclosure Turns Out to Be Wrong: Reforming the Securities Sale Contract..... 40-4:35
William E. Donnelly and Robert P. Howard, Jr. Brokers Beware: Elder Law Issues Become Increasingly Significant to Securities Firms40-19:215	Gary DiBianco and Andrew M. Lawrence Investigation and Reporting Obligations under Section 10A of the Securities Exchange Act 40-3:25

2000 – JUNE 2025 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Brian T. Casey and Eric L. Marhoun		Nicolas Grabar	
Broker-Dealer Participation in Life Settlements of Variable Insurance Policies	40-2:21	New Form 20-F Requirements for 2006.	39-8:79
Jessica A. Clarke and Jacqueline C. Wolff		Inez H. Friedman-Boyce and Carl E. Metzger	
Liability under the Foreign Corrupt Practices Act	40-2:13	Defending Venture Capital Firms in Securities Litigation.	39-8:63
Thomas Kuczajda and Sharon Rose		John H. Eickemeyer	
Supervising Sales of 529 Plans: Not as Easy as 1-2-3.....	40-1:1	SEC Actions Against Accountants under Section 10A of the Exchange Act	39-7:53
2006		Marc Recht and Dennis J. White	
Matthew Farley		Sarbanes-Oxley's Continuing Impact on Middle-Market M&A	39-7:47
Arbitrating with People Who Are Not Parties to the Agreement.....	39-22:245	Daniel L. Goelzer and Marilyn Weimer	
David Seide		Inspecting the Watchdogs — An Overview of the PCAOB's Inspection Program.....	39-6:35
Compelled Waivers of the Attorney-Client Privilege	39-21:235	Christopher L. Padurano and Charles A. Ross	
Cristina Alger and Lori A. Martin		Resolving Criminal Securities Fraud Cases.....	39-5:23
State Regulators and the Mutual Fund Industry	39-20:219	Jack Weinberg	
Mark D. Young		Books and Records Retention and Disclosure in the Electronic Age ...	39-4:15
Policing Energy Price Manipulation: Whose Beat? What Rules? ...	39-19:207	Terri Seligman	
Rebecca F. Ebert and Barry W. Rashkover		Email Marketing: Legal Overview and Compliance Guidelines	39-3:9
SEC Enforcement in the Cox Era	39-18:185	Janet L. Fisher and Leslie N. Silverman	
Thomas A. Hanusik		Director Due Diligence after WorldCom	39-2:1
Sarbanes-Oxley: Broader Statutes, Bigger Penalties.....	39-17:177	Lorraine Bellard and Jeffrey Plotkin	
Kathleen Fuentes and Domenick Pugliese		Act-of-Production Privilege in SEC Proceedings	39-1:289
Role of Electronic Media and the Use of the Internet under the Federal Securities Laws	39-16:169	2005	
Seth Aronson, Kristina Hersey, and Amy Longo		Behnam Dayanim and Kristine A. Rembach	
Preemption of "Holder" Class Actions under SLUSA	39-15:163	Notice of Data Theft: States and the Congress Jump on the California Bandwagon.....	38-22:281
Brynn D. Peltz		James N. Benedict, Sean M. Murphy, and Andrew W. Robertson	
Investment Advisers of Offshore Funds.....	39-15:153	Aftermath of the Mutual Fund Crisis	38-21:261
Susan C. Ervin and Matthew F. Kluchenek		Lawrence M. Gill	
Possible Breakthrough to Expanded Use of Futures by Investment Companies.....	39-14:151	International Financial Reporting Standards.....	38-20:251
LizabethAnn R. Eisen		Richard L. Gallagher and Robert P. Varian	
Role of Underwriters' Counsel in Complying with the NASD's Corporate Financing Rule.....	39-14:141	Loss Causation in Securities Class Actions after <i>Dura</i>	38-19:241
Gregory S. Bruch and Jessica L. Matelis		Norman S. Poser	
Enforcement Practice Before the PCAOB.	39-13:131	Regulation NMS.....	38-18:229
Glen Barrentine and Thomas Kuczajda		Christopher S. Petito and Angela R. Thompson	
Equity-Indexed Annuities: Regulatory Trouble for the Unwary.	39-12:119	Practical Tips for Handling Regulatory Inspections	38-17:215
Anna T. Pinedo		Margaret Jacobs and Betty Santangelo	
Legal and Regulatory Developments Relating to Structured Products.....	39-11:109	Mutual Fund Compliance and the Anti-Money Laundering Regulatory Regime.....	38-16:201
William E. Donnelly and Jerry A. Isenberg		Peter D. Cripps, Ian A. Hartman, and William G. Lawlor	
Lawyers as Gatekeepers: An SEC Enforcement Perspective.	39-10:97	Doing Public M&A Deals in Pennsylvania: Minesweeper Required	38-15:191
Robert B. Robbins and Philip L. Rothenberg		Paul B. Uhlenhop	
Writing Risk Factor Disclosure in Exchange Act Reports.	39-9:87	Critical Elements of an Effective Supervisory Structure.....	38-14:173

2000 – JUNE 2025 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Bradley C. Faris and Mark D. Gerstein		Donald W. Glazer and Keith F. Higgins	
Special Negotiating Committees	38-13:157	Securities Exchange Act Section 16: Short Answers to Quick	
		Questions under the New Rules and Forms.....	37-18:207
Kathleen K. Clarke and Paul M. Miller			
New Mutual Fund Redemption Fee Rule	38-12:151	Helene T. Glotzer	
		Recent Trends in SEC Enforcement Remedies	37-17:185
Timothy B. Parker			
Soft Dollars Reconsidered, Again	38-12:141	Gary Simon	
		New Audit Committee Rules	37-16:16
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	
Mark A. Borges		Scrutiny.....	37-15:159
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	
Mari-Anne Pisarri		in the White-Collar Arena.....	37-13:133
Raising the Bar: Investment Adviser Codes of Ethics	38-8:97		
		Richard W. Helm and Frederick B. Lohr	
Sarah E. McCallum and Warren R. Stern		European Regulation of Investment Funds	37-12:121
The Private Securities Litigation Reform Act: Ten Years after	38-7:89		
		Allan Horwich	
Jeffrey D. Karpf and Leslie N. Silverman		New Form 8-K and Real-Time Disclosure.....	37-11:109
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	
Michael Delikat, Renee B. Phillips, and Jill L. Rosenberg		D&O Liability Insurance	37-10:99
Whistleblowing Claims under Sarbanes-Oxley	38-5:51		
		Kelly H. Zinser	
Kenneth J. Berman and Elizabeth N. Kaplan		New Issues Are the New Hot Issues — An Overview of	
The New Fund Governance Standards	38-4:33	NASD Rule 2790.....	37-9:94
Vincent J. Badolato and Dennis J. Lawson		John H. Henn, Kalun Lee, and Stephen C. Warneck	
Identifying and Managing Conflicts of Interest	38-3:25	The Lead Plaintiff and Lead Counsel Provisions of the PSLRA:	
		A Defense Perspective	37-9:83
Daniel Aronowitz			
The New Rescission Rules for D&O Insurance Policies	38-2:13	Daniel L. Goelzer and Marilyn Weimer	
		An Audit of Internal Control over Financial Reporting —	
Steven B. Caruso		The New PCAOB Standard	37-8:71
Arbitrator Training in the Securities Dispute Arena	38-1:8		
		Roberto M. Braceras	
Paul W. Goldstein, Rochelle S. Hall, and Thomas J. McGonigle		Late Trading and Market Timing	37-7:61
Risk Management for Broker-Dealers.....	38-1:1		
		Seth Aronson and Amy J. Longo	
		Current Issues under the Securities Litigation Uniform Standards	
		Act	37-6:51
		Steven B. Nadel	
		U.S. Regulation of Private Investment Funds	37-5:45
		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
		Kathleen K. Clarke and Paul M. Miller	
		Compliance Programs of Registered Investment Advisers and	
		Investment Companies.....	37-3:26
		Stephen P. Younger	
		Damages in Securities Litigation	37-3:19

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

2000 – JUNE 2025 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Marc Morgenstern		Michael L. Cypers	
Off-Balance Sheet Disclosures in MD&A	37-2:49	Trial of an Accountant Liability Case: A Defendants’	
		Attorney’s Perspective.....	36-7:100
Paul R. Bessette, Blair C. Hedges, and Steven S. Kaufhold			
Defending Securities Class Actions Involving Accounting		N. Robert Stoll	
Restatements.....	37-1:1	Trial of an Accountant Liability Case: A Plaintiff Lawyer’s Tips	36-7:91
2003		James J. Junewicz	
Sylvia M. Mahaffey, Lilyanna L. Peyser, and Robert B. Robbins		The SEC’s Recent Enforcement Actions under Regulation FD	36-6:83
Regulation D Offerings and the Internet	36-22:259		
Philip H. Harris and Wei-Li F.X. Tjong		David A. Bell and Richard L. Dickson	
Regulatory Issues in Private Placements		Dilutive Venture Capital Financings of Distressed Companies	36-5:73
of Hedge Fund Securities.....	36-21:249		
Vincent R. Cappucci		John J. Huber and Thomas J. Kim	
Securities Class Actions: Settlements	36-20:243	The Sarbanes-Oxley Act of 2002 and Commission Rulemaking –	
		Part II	36-4:51
William E. Donnelly and Thomas J. McGonigle			
Research Analysts’ Conflicts: The Regulatory Response	36-20:235	John J. Huber and Thomas J. Kim	
		The Sarbanes-Oxley Act of 2002 and Commission Rulemaking –	
Terrance J. O’Malley		Part I.....	36-3:27
The SEC Revises and Modernizes the Advisers Act			
Custody Rule	36-19:225	Gregory V. Varallo	
James C. Hartman, Jennifer S. Martinez, and Mark D. Pollack		Funding Directors’ Litigation Costs	36-2:22
Recent SEC Enforcement Cases	36-18:213		
James N. Benedict and Christopher M. Joraleman		Kathleen H. Moriarty and David W. Selden	
Primary Liability of Secondary Actors in Securities Fraud Cases... ..	36-17:205	Developments in Exchange-Traded Funds	36-2:11
Inez H. Friedman-Boyce and Brian E. Pastuszenski		Julien Bourgeois and George J. Mazin	
Defending Outside Directors in Securities Litigation.....	36-16:191	Preparing for an SEC Examination.....	36-1:1
Gerald Audant, Sara B. Brody, James E. Burns, and Robert P. Varian		2002	
Trying Securities Class Actions in the Post-Enron Era	36-15:177	Mari-Anne Pisarri	
		When Two Worlds Collide: The Interplay Between Broker-Dealer	
Jay G. Baris		and Investment Adviser Regulation.....	35-22:271
Anti-Money Laundering: Rules for Investment Companies.....	36-14:165		
		S. Mark Hurd	
Steven Drachman		Indemnification of Directors and Officers under Delaware Law	35-21:262
The SEC’s Company Act and Advisers Act Agenda	36-13:149		
Paul Ferrillo and Erin J. Law		Stuart M. Grant and Megan D. McIntyre	
Class Certification and the ‘Most Adequate’ Plaintiff.....	36-12:141	Class Certification and Section 18 of the Exchange Act.....	35-21:255
Ira H. Jolles		Allan Horwich	
Sarbanes-Oxley: The New Audit Committee and the Exercise		New Requirements for Disclosure of Financial Condition under	
of Due Care	36-11:133	the Federal Securities Laws	35-20:243
Mari-Anne Pisarri		Guy P. Lander	
SEC Adopts New Proxy Voting Rules.....	36-11:127	Using the Internet to Reduce the Costs of Securities Practice	35-19:237
William D. Edick		Peter J. Anderson and Alana Rae Black	
For Accountants, a Brave New World	36-10:119	Accountants’ Liability after Enron	35-18:227
Kelly H. Zinser		Craig E. Chapman	
Why ‘Best Execution’ Is in Your ‘Best’ Interest	36-9:113	Underwriters’ Due Diligence Revisited	35-17:207
Martin F. Doublesin and Marc H. Folladori		Dean J. DiPilato, Brian E. Pastuszenski, and Christopher F. Robertson	
Developments in Executive Compensation Disclosures	36-8:107	Loss Causation in Securities Litigation: A Defense Strategy Whose	
		Time Has Come.....	35-16:194
		Jeffrey C. Blockinger and Prufesh R. Modhera	
		Selecting the Appropriate Type of Hedge Fund.....	35-16:185
		C. Evan Stewart	
		Liability for Securities Lawyers in the Post-Enron Era.....	35-15:171

2000 – JUNE 2025 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
Jerry A. Isenberg		Susan C. Ervin	
The <i>Seaboard</i> Section 21(A) Report: Promises and Perils	35-14:164	Single Stock Futures	34-19:243
James N. Benedict and Mary K. Dulka		Mark Bonham and Craig Norris	
Recent Developments in Litigation under		Recent Legal and Accounting Issues in Initial Public Offerings	34-18:233
the Investment Company Act of 1940	35-14:151	Leo F. Orenstein	
Michael Berenson and Christopher D. Menconi		The NASD and the Constitutional Right to Remain Silent.....	34-17:225
To Boldly Go Where No Securities Offering Has Gone		Richard F. Jackson and James T. McHale	
Before: Paperless.....	35-13:137	Financial Privacy and Regulation S-P:	
Elizabeth Knoblock		An Analysis of Selected Issues	34-17:217
Investment Advisory Sales: Best Practices	35-12:129	Jonathan L. Lewis and Howard J. Roin	
Martin Budd and Shawn Wooden		Due Diligence Investigations: A Litigator's Perspective	34-16:209
Analysts' Conflicts of Interest.....	35-12:119	Rose F. DiMartino and Niral P. Kalaria	
Paul B. Uhlenhop		Investment Adviser Code of Ethics.....	34-16:197
Anti-Money Laundering Provisions for Broker-Dealers.....	35-11:107	Ethan D. Corey	
Paul B. Uhlenhop		Display and Execution of Customer Limit Orders	34-15:185
Security Futures – A New Frontier	35-10:97	Kenneth J. Berman and Shannon Conaty	
Caroline Krass Levy and Betty Santangelo		Disclosure of Mutual Fund after-Tax Returns.....	34-14:172
New Anti-Money Laundering Rules for the Futures Industry	35-9:85	Rochelle S. Hall, Thomas J. McGonigle, and M. Elizabeth Parks	
Peter M. Casey, Christian M. Hoffman, and Stephen C. Warneck		NASDR Examinations: Priorities and Procedures.....	34-14:165
The SEC's New MD&A 'Suggestions'	35-8:73	Daniel S. Drosman and Jordan Eth	
Daniel J. Kramer and Megan Elizabeth Murray		The Private Securities Litigation Reform Act:	
Extraterritorial Application of United States Securities Laws to		Five Years Young.....	34-13:153
Punish Insider Trading.....	35-7:65	Jay G. Baris	
Robert B. Robbins		The New Fund Governance Standards	34-12:135
The Fiduciary Duties of Directors of Corporate General Partners:		Margaret A. Jacobs, Daniel J. Kramer, and Betty Santangelo	
Ten Years after <i>USACAFES</i>	35-6:57	Suitability in Cyberspace	34-11:123
James C. Creigh and Michael S. Dorf		Tuuli-Ann Ristkok	
Earn-Outs and Other Deferred Consideration Rights	35-5:49	Exchange-Traded Funds	34-10:109
Michael S. Caccese		Michael S. Sackheim and Jane Kang Thorpe	
Revised Performance Presentation Standards.....	35-4:39	Equity Derivatives under the Commodity Futures	
Jeffrey C. Blockinger and Stephanie M. Monaco		Modernization Act	34-9:103
Operating a Hedge Fund in a Regulated Environment.....	35-3:27	Mark D. Young	
Jonathan M. Hoff and Jake P. Yanchar		The Commodity Futures Modernization Act of 2000: Twenty Questions	
Developments in Pleading under the PSLRA	35-2:13	on the Commodity Futures Modernization Act.....	34-9:89
Jonathan M. Rich		Sandra Folsom Kinsey	
Antitrust Enforcement in the Securities and Commodities Markets	35-1:1	Foreign Private Issuers	34-8:79
2001		Jeffrey O. Himstreet and Neal E. Sullivan	
Paul B. Uhlenhop and Michael Wise		Investment Adviser Trading Issues	34-7:69
Managing Regulatory Investigations and Examinations		Kenneth B. Winer and Samuel J. Winer	
for Cause.....	34-22:271	Effective Representation in the SEC Wells Process	34-6:59
David B. Harms		Christian J. Mixter	
Integration under the 1933 Act: The SEC Provides		Web-Based Investment Advisers and Commodity	
New Safe Harbors	34-21:259	Trading Advisors	34-5:47
E. Paul Quinn		Steven B. Boehm and Cynthia M. Krus	
Due Diligence in Private M&A Transactions	34-20:253	The Business Development Company Solution	34-4:39

2000 – JUNE 2025 CUMULATIVE ARTICLE INDEX

	Vol.-No.:Pg.		Vol.-No.:Pg.
David E. Webb		Patrice M. Pitts	
High Yield Offerings in the U.S. & Europe	34-3:27	Using Electronic Media to Offer and Sell Securities	33-12:135
Peter Q. Bassett and Kelly C. Wilcove		Neil S. Lang and Mark D. Perlow	
State Court Securities Litigation after the Uniform		Earnings Management: Swept Away?	33-11:123
Standards Act	34-2:15	David B. Bayless and John A. Kelley	
Alan L. Dye and Peter J. Romero		The Changing Role and Composition of Audit Committees	33-10:109
The SEC's New Insider Trading Rules	34-1:1	Joran Eth and Christopher A. Patz	
2000		Securities Litigation and the Outside Director	33-9:95
A. Robert Pietrzak and Andrew W. Stern		Stanley Keller	
Standard Form Agreements in the Securities Field	33-22:259	Securities Law Considerations in Negotiated Acquisitions.....	33-8:83
Patricia A. Gomez and Thomas L. Taylor III		Julie Allecta and Thoa H. Ngo	
Recent Trends in "Failure to Supervise" Cases.....	33-21:251	The SEC's Soft Dollar Release.....	33-7:75
Lawrence C. Tondell		Satish M. Kini	
Disclosure Risks in Private Placements of Structured and		Impact of the 1999 Financial Modernization Act on Investment	
Equity-Linked Repackagings.....	33-21:245	Advisers and Investment Companies	33-7:69
James J. Junewicz		Kenneth B. Winer	
The SEC Raises the Stakes in Issuer-Analyst		Securities Firms and the Foreign Corrupt Practices Act	33-6:61
Communications.....	33-20:237	Jay W. Eisenhofer and Stuart M. Grant	
Raymond D. Agran, John N. Ake, and Martha J. Hays		Institutional Investors and Section 18 of the Exchange Act	33-5:54
Investment Company Act Pitfalls for Public Venture-Capital		Jesse A. Finkelstein, Peter B. Ladig, and Srinivas M. Raju	
Companies	33-19:231	Attorney-Client Privilege: Potential Dangers of Having Corporate	
Robert A. Robertson		General Counsel Perform Multiple Roles	33-5:49
Board Oversight of Mutual Fund Compliance Operations	33-18:220	Pamela J. Wilson	
Edward L. Pittman, Alan J. Reed, and Richard Y. Roberts		Mutual Fund Advertising.....	33-4:31
Confusion in Cyberspace	33-18:213	Gregory N. Bressler	
Michael S. Sackheim		Amendments to the Code of Ethics Rule under the Investment	
Ethical Standards for New York Brokerage House Attorneys.....	33-17:199	Company Act	33-3:19
Matthew A. Chambers		Jonathan S. Adler, Stuart H. Gelfond, Valerie Ford Jacob,	
Web Compliance Issues for Investment Advisers	33-16:187	and Michael A. Levitt	
Alan L. Dye and Peter J. Romero		Financial Statement Requirements for Acquisitions in Registered	
Developments under Section 16: (Part 2 of Two Parts)	33-15:171	Public Offerings	33-2:9
Alan L. Dye and Peter J. Romero		James C. McMillin	
Developments under Section 16: (Part 1 of Two Parts)	33-14:155	Recent Developments in Litigation	
Mari-Anne Pisarri		under the Securities Act of 1933.....	33-1:1
Personal Trading by Advisory Personnel:			
The Seven Deadly Sins	33-13:143		