IPO Sponsors and Prospectus Liability: The Bridge Too Far?

Syren Johnstone*, Antonio Da Roza** and Nigel Davis***

The Working Paper (and Appendices 1 to 3) can be found at:

APPENDICES 4-7

Contents:

Appendix 4 – Hits returned from case law searches (see Section 3.2.5 for methodology)

Appendix 5 – Relevant statutory analogues (see Section 3.2.6 for methodology)

Appendix 6 – Hits returned from search for ‘sanction’ in Hong Kong Ordinances

Appendix 7 – Hits returned from journal searches (see Section 3.2.7 for methodology)

* Adjunct Associate Professor, Faculty of Law, University of Hong Kong; Fellow, Asian Institute of International Financial Law

** Research Assistant Professor, Faculty of Law, University of Hong Kong; Barrister-at-law

*** Principal Lecturer, Dept of Professional Legal Education; Fellow, Asian Institute of International Financial Law; Former Member of the Listing Committee (2010 to 2014).
Appendix 4 – Hits returned from case law searches (see 3.2.5 for methodology)

LexisNexis: 183 Results


115. **In re Computer Sciences Corp. Erisa Litigation**, 635 F.Supp.2d 1128, 47 Employee Benefits Cas. 1542, C.D.Cal., July 13, 2009 (NO. CV 08-02398 SJO JWJX, CV 08-02409 SJO JWJX)

116. **Lingis v. Motorola, Inc.**, 649 F.Supp.2d 861, 47 Employee Benefits Cas. 1099, N.D.Ill., June 17, 2009 (NO. 03C5044)


149. In re WorldCom, Inc., 263 F.Supp.2d 745, 30 Employee Benefits Cas. 2035, S.D.N.Y., June 17, 2003 (NO. 02 CIV.4816 DLC)
158. **Krauth v. Executive Telecard, Ltd.**, 890 F.Supp. 269, S.D.N.Y., June 20, 1995 (NO. 95 CIV. 3967 (RWS))


186. **Deckert v. Independence Shares Corp.**, 27 F.Supp. 763, E.D.Pa., May 18, 1939 (NO. 218)

Cases from Westlaw HK: 10 Results
1. China Metal Recycling (Holdings) Ltd (No 3) Court of First Instance, 9 March 2015
2. Securities and Futures Commission v CL Management Services Ltd Magistrates' Court, 11 June 2014
3. Securities and Futures Commission v Ernst & Young Court of First Instance, 23 May 2014
4. Lily Chiang District Court, 7 June 2011 at 10.09 am
5. HKSAR v Fu Chu Kan Court of Appeal, 24 July 2009
6. Riverhill Holdings Ltd Court of First Instance, 30 May 2007
7. RE INTERNATIONAL CAPITAL NETWORK HOLDINGS LTD Court of First Instance, 25 March 2003
8. YICKO GA NETWORK SECURITIES LTD v ORIENTAL PATRON ASIA LTD Court of First Instance, 2 December 2002
9. WING ON METAL CO LTD v CHOW WING KEE & ANOTHER District Court, 13 March 2002
10. STANDARD CHARTERED SECURITIES LIMITED (formerly known as ChinTung Limited), Plaintiff v ARTHUR LAI, 1st Defendant, RAYMOND LAI, 2nd Defendant, PETER MOU, 3rd Defendant, WONG PUI KUM, 4th Defendant, MANDARIN DEVELOPMENT LIMITED, 5th Defendant, WEALTHCORP INVESTMENT LIMITED, 6th Defendant, POCKO LIMITED, 7th Defendant, NICE FORTUNE INVESTMENT LIMITED, 8th Defendant Supreme Court, 7 March 1995
## Appendix 5 – Relevant statutory analogues (see 3.2.6 for methodology)

<table>
<thead>
<tr>
<th>Ordinance</th>
<th>Relevant Paragraphs</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td><strong>CAP 571 Securities and Futures Ordinance</strong> s 102 <em>Interpretation of Part IV</em></td>
</tr>
<tr>
<td>2</td>
<td><strong>CAP 571 Securities and Futures Ordinance</strong> s 108 <em>Civil liability for inducing others to invest money in certain cases</em></td>
</tr>
<tr>
<td>3</td>
<td><strong>CAP 571 Securities and Futures Ordinance</strong> s 276 <em>Disclosure of information about prohibited transactions</em></td>
</tr>
<tr>
<td>4</td>
<td><strong>CAP 571 Securities and Futures Ordinance</strong> s 277 <em>Disclosure of false or misleading information inducing transactions</em></td>
</tr>
<tr>
<td>5</td>
<td><strong>CAP 571 Securities and Futures Ordinance</strong> s 297 <em>Offence of disclosure of information about prohibited transactions</em></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>6</td>
<td>CAP 571 Securities and Futures Ordinance s 298 Offence of disclosure of false or misleading information inducing transactions</td>
</tr>
<tr>
<td>7</td>
<td>CAP 571 Securities and Futures Ordinance s 301 Offence of disclosure of false or misleading information inducing others to enter into leveraged foreign exchange contracts</td>
</tr>
<tr>
<td>8</td>
<td>CAP 571 Securities and Futures Ordinance s 308 Interpretation of Part XV</td>
</tr>
<tr>
<td>9</td>
<td>CAP 622 Companies Ordinance, s 791 Company must deliver return for registration in case of change of certain particulars</td>
</tr>
<tr>
<td>10</td>
<td>CAP 622 Companies Ordinance s 792 Non-Hong Kong company must state names, place of incorporation, etc.</td>
</tr>
<tr>
<td>11</td>
<td>CAP 562 Broadcasting Ordinance s 6 Unauthorized decoders</td>
</tr>
<tr>
<td>12</td>
<td>CAP 562 Broadcasting Ordinance s 6 Unauthorized decoders</td>
</tr>
<tr>
<td>Page</td>
<td>Title</td>
</tr>
<tr>
<td>------</td>
<td>-------</td>
</tr>
</tbody>
</table>
| 13   | CAP 123 Buildings Ordinance | s 40 |  | (2B) *Any person (whether or not an authorized person, ...) directly concerned with any prescribed inspection, site formation works, piling works, foundation works or other form of building works who –*  
(a) carries out or has carried out such inspection or works, or *authorizes* or permits or *has authorized* or permitted such inspection or works to be carried out, in such manner that it causes injury to any person or damage to any property; or  
(b) carries out or has carried out such inspection or works, or *authorizes* or permits or *has authorized* or permitted such inspection or works to be carried out, in such manner as is likely to cause a risk of injury to any person or damage to any property,  
shall be guilty of an offence and shall be liable on conviction -  
(c) in the case of a prescribed inspection (other than a prescribed inspection in respect of a window in a building), or site formation works, piling works, foundation works or other form of building works (other than minor works), to a fine of $1000000 and to imprisonment for 3 years; or  
(d) in the case of a prescribed inspection in respect of a window in a building, or site formation works, foundation works or other form of building works that are minor works, to a fine of $500000 and to imprisonment for 18 months. |
| 14   | CAP 140 AIR PASSENGER DEPARTURE TAX ORDINANCE | s 15 |  | (2) *Any person who *authorizes* or permits a passenger liable to pay the tax to embark on an aircraft, unless the passenger has previously paid the tax, commits an offence and is liable to a fine at level 4 and to imprisonment for 6 months. |
| 15   | CAP 112 Inland Revenue Ordinance | s 82 |  | (1) *Any person who willfully with intent to evade or to assist any other person to evade tax -*  
(f) prepares or maintains or *authorizes* the preparation or maintenance of any false books of account or other records or falsifies or *authorizes* the falsification of any books of account or records; or  
... commits an offence. |
Appendix 6 – Hits returned from search for ‘sanction’ in Hong Kong Ordinances

Search for ‘sanction’ (this phrase search of Hong Kong Ordinances, HKLII) – 175 hits
1. CAP 537 UNITED NATIONS SANCTIONS ORDINANCE s 2 Interpretation
2. CAP 537 UNITED NATIONS SANCTIONS ORDINANCE Long title
3. CAP 537 UNITED NATIONS SANCTIONS ORDINANCE s 1 Short title
4. CAP 537 UNITED NATIONS SANCTIONS ORDINANCE s 3 Regulations shall give effect to relevant instructions
5. CAP 200 CRIMES ORDINANCE s 51 Sanction of Secretary for Justice
6. CAP 200 CRIMES ORDINANCE s 51 Sanction of Secretary for Justice
7. CAP 112 Inland Revenue Ordinance s 84 Prosecutions, sanction of Commissioner
8. CAP 622 Companies Ordinance s 673 Court may sanction arrangement or compromise
9. CAP 112 Inland Revenue Ordinance s 84 Prosecutions, sanction of Commissioner
10. CAP 112 Inland Revenue Ordinance s 84 Prosecutions, sanction of Commissioner
11. CAP 41 Insurance Companies Ordinance s 24 Sanction of Court of First Instance for transfer of long term business
12. CAP 41 Insurance Companies Ordinance s 24 Sanction of Court of First Instance for transfer of long term business
13. CAP 41 Insurance Companies Ordinance s 24 Sanction of Court of First Instance for transfer of long term business
14. CAP 8 EVIDENCE ORDINANCE s 19AA Evidence of signature or fiat, etc.
15. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 251 Powers and duties of liquidator in voluntary winding up
16. CAP 8 EVIDENCE ORDINANCE s 19AA Evidence of signature or fiat, etc.
17. CAP 285 MINING ORDINANCE s 6 Saving of sacred areas, trees and other objects of veneration
18. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 251 Powers and duties of liquidator in voluntary winding up
19. CAP 290 ADOPTION ORDINANCE s 22 Prohibition of certain payments
20. CAP 33 CO-OPERATIVE SOCIETIES ORDINANCE s 23 Restriction of membership in society
21. CAP 131 TOWN PLANNING ORDINANCE s 15 Expenses of the Board
22. CAP 174 BIRTHS AND DEATHS REGISTRATION ORDINANCE s 16 Restriction on removal of dead body
23. CAP 253 VARIATION OF TRUSTS ORDINANCE Long title
24. CAP 622 Companies Ordinance s 675 Court’s additional powers to facilitate reconstruction or amalgamation
25. CAP 346 TRADING WITH THE ENEMY ORDINANCE s 11 False statements and obstruction
26. CAP 290 ADOPTION ORDINANCE s 22 Prohibition of certain payments
27. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 199 Powers of liquidator
28. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 199 Powers of liquidator
29. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 199 Powers of liquidator
30. CAP 346 TRADING WITH THE ENEMY ORDINANCE s 7 Transfer of negotiable instruments and choses in action by enemies
31. CAP 346 TRADING WITH THE ENEMY ORDINANCE s 7 Transfer of negotiable instruments and choses in action by enemies
32. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance Sched 1
33. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance Sched 1
34. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance Sched 1
35. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance Sched 1
36. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance Sched 1
37. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance Sched 1
38. CAP 131 TOWN PLANNING ORDINANCE s 15 Expenses of the Board
39. CAP 106 Telecommunications Ordinance s 32N Appeals to Appeal Board
40. CAP 622 Companies Ordinance Sched 10
41. CAP 619 COMPETITION ORDINANCE s 154 Appeal to Court of Appeal
42. CAP 106 Telecommunications Ordinance s 32N Appeals to Appeal Board
43. CAP 106 Telecommunications Ordinance s 32N Appeals to Appeal Board
44. CAP 320 POST SECONDARY COLLEGES ORDINANCE s 8 Name of College
45. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 199
46. Powers of liquidator
47. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 232
Avoidance of transfers, &c., after commencement of voluntary winding up
48. CAP 131 TOWN PLANNING ORDINANCE s 15 Expenses of the Board
49. CAP 29 TRUSTEE ORDINANCE s 101 Voluntary winding-up or disposal may be restrained
50. CAP 136 MENTAL HEALTH ORDINANCE s 61 Amendment of orders
51. CAP 33 CO-OPERATIVE SOCIETIES ORDINANCE s 56 Prohibition of the use of the word "co-operative"
52. CAP 33 CO-OPERATIVE SOCIETIES ORDINANCE s 56 Prohibition of the use of the word "co-operative"
53. CAP 241 EMERGENCY REGULATIONS ORDINANCE s 3 Penalties
54. CAP 117 STAMP DUTY ORDINANCE s 58 Defacement of adhesive stamps
55. CAP 6 BANKRUPTCY ORDINANCE s 86 Allowance and taxation of costs
56. CAP 29 TRUSTEE ORDINANCE s 101 Voluntary winding-up or disposal may be restrained
57. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 235
Power of company to appoint and fix remuneration of liquidators
58. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 244
Fixing of liquidators’ remuneration and cesser of directors’ powers
59. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 244
Fixing of liquidators’ remuneration and cesser of directors’ powers
60. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 246
Application of section 237 to a creditors’ voluntary winding up
61. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 246
Application of section 237 to a creditors’ voluntary winding up
62. CAP 106 Telecommunications Ordinance s 32L Interpretation
63. CAP 106 Telecommunications Ordinance s 32L Interpretation
64. CAP 571 Securities and Futures Ordinance s 403 General provisions for approvals by Commission
65. CAP 117 STAMP DUTY ORDINANCE s 58 Defacement of adhesive stamps
66. CAP 117 STAMP DUTY ORDINANCE s 58 Defacement of adhesive stamps
67. CAP 346 TRADING WITH THE ENEMY ORDINANCE s 8 Transfer and allotment of securities
68. CAP 346 TRADING WITH THE ENEMY ORDINANCE s 8 Transfer and allotment of securities
69. CAP 346 TRADING WITH THE ENEMY ORDINANCE s 8 Transfer and allotment of securities
70. CAP 361 STOCK EXCHANGES UNIFICATION ORDINANCE s 34
71. CAP 361 STOCK EXCHANGES UNIFICATION ORDINANCE s 34 77. CAP 361 STOCK EXCHANGES UNIFICATION ORDINANCE s 34
72. CAP 571 Securities and Futures Ordinance s 23 Rules by recognized exchange company
79. CAP 571 Securities and Futures Ordinance s 23 Rules by recognized exchange company
80. CAP 571 Securities and Futures Ordinance s 403 General provisions for approvals by Commission
81. CAP 622 Companies Ordinance Sched 11 Transitional and Saving Provisions
82. CAP 1109 THE CHINESE UNIVERSITY OF HONG KONG ORDINANCE Sched 1 Statutes of The Chinese University of Hong Kong
83. CAP 1109 THE CHINESE UNIVERSITY OF HONG KONG ORDINANCE Sched 1 Statutes of The Chinese University of Hong Kong
84. CAP 1109 THE CHINESE UNIVERSITY OF HONG KONG ORDINANCE Sched 1 Statutes of The Chinese University of Hong Kong
85. CAP 1109 THE CHINESE UNIVERSITY OF HONG KONG ORDINANCE Sched 1 Statutes of The Chinese University of Hong Kong
86. CAP 1109 THE CHINESE UNIVERSITY OF HONG KONG ORDINANCE Sched 1 Statutes of The Chinese University of Hong Kong
87. CAP 1109 THE CHINESE UNIVERSITY OF HONG KONG ORDINANCE Sched 1 Statutes of The Chinese University of Hong Kong
88. CAP 1109 THE CHINESE UNIVERSITY OF HONG KONG ORDINANCE Sched 1 Statutes of The Chinese University of Hong Kong
89. CAP 1109 THE CHINESE UNIVERSITY OF HONG KONG ORDINANCE Sched 1 Statutes of The Chinese University of Hong Kong
90. CAP 1109 THE CHINESE UNIVERSITY OF HONG KONG ORDINANCE Sched 1 Statutes of The Chinese University of Hong Kong
91. CAP 1109 THE CHINESE UNIVERSITY OF HONG KONG ORDINANCE Sched 1 Statutes of The Chinese University of Hong Kong
92. CAP 1109 THE CHINESE UNIVERSITY OF HONG KONG ORDINANCE Sched 1 Statutes of The Chinese University of Hong Kong
93. CAP 1109 THE CHINESE UNIVERSITY OF HONG KONG ORDINANCE Sched 1 Statutes of The Chinese University of Hong Kong
94. CAP 1109 THE CHINESE UNIVERSITY OF HONG KONG ORDINANCE Sched 1 Statutes of The Chinese University of Hong Kong
95. CAP 1109 THE CHINESE UNIVERSITY OF HONG KONG ORDINANCE Sched 1 Statutes of The Chinese University of Hong Kong
96. CAP 1109 THE CHINESE UNIVERSITY OF HONG KONG ORDINANCE Sched 1 Statutes of The Chinese University of Hong Kong
97. CAP 1109 THE CHINESE UNIVERSITY OF HONG KONG ORDINANCE Sched 1 Statutes of The Chinese University of Hong Kong
98. CAP 1109 THE CHINESE UNIVERSITY OF HONG KONG ORDINANCE Sched 1 Statutes of The Chinese University of Hong Kong
99. CAP 1109 THE CHINESE UNIVERSITY OF HONG KONG ORDINANCE Sched 1 Statutes of The Chinese University of Hong Kong
100. CAP 1109 THE CHINESE UNIVERSITY OF HONG KONG ORDINANCE Sched 1 Statutes of The Chinese University of Hong Kong
101. CAP 1109 THE CHINESE UNIVERSITY OF HONG KONG ORDINANCE Sched 1 Statutes of The Chinese University of Hong Kong
102. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 63A Application of Ordinance to small winding up
103. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 227F Application of Ordinance to small winding up
104. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 227F Application of Ordinance to small winding up
105. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 227F Application of Ordinance to small winding up
106. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 226 Delegation to liquidator of certain powers of court
107. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 226 Delegation to liquidator of certain powers of court
108. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 64
109. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 64
110. CAP 70 THE HONGKONG AND SHANGHAI BANKING CORPORATION LIMITED ORDINANCE Schedule
111. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 63A
112. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 63A
113. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 57
114. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 57
115. CAP 106 Telecommunications Ordinance s 36C Authority or court may impose financial penalties
116. CAP 106 Telecommunications Ordinance s 36C Authority or court may impose financial penalties
117. CAP 106 Telecommunications Ordinance s 36C Authority or court may impose financial penalties
118. CAP 106 Telecommunications Ordinance s 32L Interpretation
119. CAP 106 Telecommunications Ordinance s 32L Interpretation
120. CAP 70 THE HONGKONG AND SHANGHAI BANKING CORPORATION LIMITED ORDINANCE Schedule
121. CAP 33 CO-OPERATIVE SOCIETIES ORDINANCE s 42 Liquidator's power
122. CAP 33 CO-OPERATIVE SOCIETIES ORDINANCE s 34 Disposal of profits
123. CAP 33 CO-OPERATIVE SOCIETIES ORDINANCE s 34 Disposal of profits
124. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 237 Power of liquidator to accept shares, &c. as consideration for sale of property of company
125. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 237 Power of liquidator to accept shares, &c. as consideration for sale of property of company
126. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 237 Power of liquidator to accept shares, &c. as consideration for sale of property of company
127. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 235 Power of company to appoint and fix remuneration of liquidators
128. CAP 288 CORRUPT AND ILLEGAL PRACTICES ORDINANCE s 25
129. CAP 290 ADOPTION ORDINANCE s 8 Functions of Court as to adoption orders
130. CAP 41 Insurance Companies Ordinance s 46 Continuation of long term business of insurer in liquidation
131. CAP 41 Insurance Companies Ordinance s 46 Continuation of long term business of insurer in liquidation
132. CAP 132 PUBLIC HEALTH AND MUNICIPAL SERVICES ORDINANCE Sched 7 FORMS
133. CAP 622 Companies Ordinance Sched 9 Consequential and Related Amendments to Companies Ordinance (Cap 32) and its Subsidiary Legislation
134. CAP 132 PUBLIC HEALTH AND MUNICIPAL SERVICES ORDINANCE Sched 7 FORMS
135. CAP 1074 HOSEINEE SOCIETY OF HONG KONG INCORPORATION ORDINANCE SCHEDULE
136. CAP 1035 MATILDA AND WAR MEMORIAL HOSPITAL ORDINANCE SCHEDULE
137. CAP 1035 MATILDA AND WAR MEMORIAL HOSPITAL ORDINANCE SCHEDULE
138. CAP 1053 UNIVERSITY OF HONG KONG ORDINANCE SCHEDULE
139. CAP 1053 UNIVERSITY OF HONG KONG ORDINANCE SCHEDULE 140. CAP 1053 UNIVERSITY OF HONG KONG ORDINANCE SCHEDULE
141. CAP 1053 UNIVERSITY OF HONG KONG ORDINANCE SCHEDULE
142. CAP 1053 UNIVERSITY OF HONG KONG ORDINANCE SCHEDULE
143. CAP 1053 UNIVERSITY OF HONG KONG ORDINANCE SCHEDULE
144. CAP 1053 UNIVERSITY OF HONG KONG ORDINANCE SCHEDULE
145. CAP 106 Telecommunications Ordinance s 32O Procedure and powers of Appeal Board, etc.
146. CAP 132 PUBLIC HEALTH AND MUNICIPAL SERVICES ORDINANCE Sched 7 FORMS
147. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 322
148. CAP 290 ADOPTION ORDINANCE s 8 Functions of Court as to adoption orders
149. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 228A
Special procedure for voluntary winding up of company in case of inability to continue its business
150. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 228A
Special procedure for voluntary winding up of company in case of inability to continue its business
151. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 228A
Special procedure for voluntary winding up of company in case of inability to continue its business
152. CAP 106 Telecommunications Ordinance s 32O Procedure and powers of Appeal Board, etc.
153. CAP 159 LEGAL PRACTITIONERS ORDINANCE s 73D Power of Council of Society of Notaries to make rules
154. CAP 1053 UNIVERSITY OF HONG KONG ORDINANCE SCHEDULE
155. CAP 1053 UNIVERSITY OF HONG KONG ORDINANCE SCHEDULE
156. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 228A
Special procedure for voluntary winding up of company in case of inability to continue its business
157. CAP 1053 UNIVERSITY OF HONG KONG ORDINANCE SCHEDULE
158. CAP 1053 UNIVERSITY OF HONG KONG ORDINANCE SCHEDULE
159. CAP 1053 UNIVERSITY OF HONG KONG ORDINANCE SCHEDULE
160. CAP 482 MERCHANT SHIPPING (LINER CONFERENCES) ORDINANCE Sched 1
161. CAP 482 MERCHANT SHIPPING (LINER CONFERENCES) ORDINANCE Sched 2
MERCHANT SHIPPING (LINER CONFERENCES) (MANDATORY PROVISIONS) REGULATIONS
162. CAP 482 MERCHANT SHIPPING (LINER CONFERENCES) ORDINANCE Sched 2
MERCHANT SHIPPING (LINER CONFERENCES) (MANDATORY PROVISIONS) REGULATIONS
163. CAP 500 CARRIAGE BY AIR ORDINANCE s 22 Power to make regulations
164. CAP 115 IMMIGRATION ORDINANCE s 37U Interpretation of Part VIIC
165. CAP 1053 UNIVERSITY OF HONG KONG ORDINANCE SCHEDULE
166. CAP 1053 UNIVERSITY OF HONG KONG ORDINANCE SCHEDULE
167. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance Sched 7
168. CAP 555 EXCHANGES AND CLEARING HOUSES (MERGER) ORDINANCE s 2
169. CAP 555 EXCHANGES AND CLEARING HOUSES (MERGER) ORDINANCE s 2
170. CAP 559 TRADE MARKS ORDINANCE Sched 3 COLLECTIVE MARKS
171. CAP 1053 UNIVERSITY OF HONG KONG ORDINANCE SCHEDULE
172. CAP 1053 UNIVERSITY OF HONG KONG ORDINANCE SCHEDULE
173. CAP 106 Telecommunications Ordinance s 32O Procedure and powers of Appeal Board, etc.
174. CAP 1053 UNIVERSITY OF HONG KONG ORDINANCE SCHEDULE
175. CAP 32 Companies (Winding Up and Miscellaneous Provisions) Ordinance s 228A
Special procedure for voluntary winding up of company in case of inability to continue its business
Appendix 7 – Hits returned from journal searches (see 3.2.7 for methodology)

Journals from LexisNexis: 646 Results


41. Copyright (c) 1989 Minnesota Law Review Minnesota Law Review, April, 1989, 73 Minn. L. Rev. 1023, 12768 words, ARTICLE: Civil RICO, Foreign Defendants, and "ET" *, Michael Goldsmith ** and Vicki Rinne ***


43. Copyright (c) 1990 Chicago-Kent College of Law Chicago-Kent Law Review, 1990, 66 Chi.-Kent L. Rev. 903, 26821 words, NOTE: STATE TAXATION OF PUERTO RICAN OBLIGATIONS: AN INTEREST(ING) QUESTION, KENDA K. TOMES *


47. Copyright (c) 1991 New York University School of Law Tax Law Review, SPRING, 1991, 46 Tax L. Rev. 299, 33902 words, ARTICLE: Legislative Proposal to Expand the REMIC Provisions of the Code to Include Nonmortgage Assets, AMERICAN BAR ASSOCIATION SECTION OF TAXATION COMMITTEE ON FINANCIAL TRANSACTIONS SUBCOMMITTEE ON ASSET SECURITIZATION *

48. Copyright (c) 1991 Iowa University Iowa Law Review, May, 1991, 76 Iowa L. Rev. 701, 15987 words, ARTICLE: Copyrights and State Liability +, Beryl R. Jones *


55. Copyright (c) 1992 Syracuse Law Review Syracuse Law Review, 1992, 43 Syracuse L. Rev. 523, 12510 words, ARTICLE: Real Property and Real Estate Transactions, Robert L. Sweeney *


62. Copyright (c) 1993 Wake Forest Law Review Association, Inc. Wake Forest Law Review, 1993, 28 Wake Forest L. Rev. 61, 16285 words, ARTICLE: Some Challenges to Underwriters and Their Counsel in the Modern Capital Markets Environment, Joseph McLaughlin *


65. Copyright (c) 1993 Fordham University School of Law Fordham International Law Journal, 1993, 17 Fordham Int'l L.J. 48, 14506 words, AMERICAN DEPOSITARY RECEIPTS: AN INTRODUCTION TO U.S. CAPITAL MARKETS FOR FOREIGN COMPANIES, Mark A. Saunders *

66. Copyright (c) 1993 Publications Council of the College of William and Mary William & Mary Bill of Rights Journal, WINTER, 1993, 2 Wm. & Mary Bill of Rts. J. 305, 19264 words, ARTICLE: LIMITATIONS ON CORPORATE SPEECH: PROTECTION FOR SHAREHOLDERS OR ABRIDGMENT OF EXPRESSION?, ALAN J. MEENE *

67. Copyright (c) 1993 University of Florida Florida Tax Review, 1993, 1 Fla. Tax Rev. 263, 17312 words, ARTICLE: Selected Issues In The Taxation Of Swaps, Structured

82. Copyright (c) 1994 University of Cincinnati Law Review. University of Cincinnati, Spring 1994, 62 U. Cin. L. Rev. 1282, 33939 words, ARTICLE: TRUTH IN SAVINGS AND THE FAILURE OF LEGISLATIVE METHODOLOGY, Eric J. Gouvin *


84. Copyright (c) 1994 New York University School of Law Tax Law Review, SPRING, 1994, 49 Tax L. Rev. 419, 33202 words, ARTICLE: Investment Trusts in the Age of Financial Derivatives, James M. Peaslee *

85. Copyright (c) 1994 Rutgers University, The State University of New Jersey Rutgers Law Review, Spring, 1994, 46 Rutgers L. Rev. 1213, 38439 words, WE CAN WORK IT OUT: THE INTERACTION OF BANKRUPTCY AND SECURITIES REGULATION IN THE WORKOUT CONTEXT *, Richard E. Mendales **


88. Copyright (c) 1994 Arizona State Law Journal; Arizona State Law Journal, Spring, 1994, 26 Ariz. St. L.J. 293, 8994 words, LEGISLATIVE REVIEW: RICO Litigation; Damages, Jennifer B. Wuamett *


90. Copyright (c) 1994 Pace University Law Review Pace Environmental Law Review, Spring, 1994, 11 Pace Envtl. L. Rev. 517, 28046 words, ARTICLE: Regulation of Medical Waste in the United States, Laura Carlan Battle *


93. Copyright (c) 1994 The University of Toledo Toledo Law Review, FALL, 1994, 25 U. Tol. L. Rev. 673, 17417 words, ARTICLE: TAXABLE CORPORATE ACQUISITIONS: A PRIMER FOR BUSINESS AND THE NON-SPECIALIST, Matthew A. Melone *

94. Copyright (c) 1994 The Board of Trustees of Leland Stanford Junior University Stanford Law Review, November, 1994, 47 Stan. L. Rev. 85, 17512 words, NOTE:
Regulating Rollups: General Partners' Fiduciary Obligations in Light of the Limited Partnership Rollup Reform Act of 1993, John Geschke


99. Copyright (c) 1995 Case Western Reserve Law Review. Case Western Reserve University, SPRING, 1995, 45 Case W. Res. 705, 52455 words, ARTICLE: A View to the Future of Judicial Federalism: "Neither Out Far Nor In Deep", Thomas E. Baker *


102. Copyright (c) 1995 Delaware Law School of Widener University, Inc. Delaware Journal of Corporate Law, WINTER, 1995, 20 Del. J. Corp. L. 341, 14089 words, UNREPORTED CASE: GLOSSER v. CELLCOR INC., No. 12,725, ALLEN, Chancellor


105. Copyright (c) 1995 Fordham Law Review Fordham Law Review, April, 1995, 63 Fordham L. Rev. 1511, 10840 words, SYMPOSIUM: NEW YORK STOCK EXCHANGE, INC. SYMPOSIUM ON ARBITRATION IN THE SECURITIES INDUSTRY: PRE-DISPUTE ARBITRATION AGREEMENTS


107. Copyright (c) 1995 Duke Journal of Comparative & International Law Duke Journal of Comparative & International Law, Spring, 1995, 5 Duke J. Comp. & Int'l L.
108. **Stock Exchange aims high for alternative investments**
   The Lawyer, April 25, 1995, CITY; Vol.9, No.17; Pg.6, 1694 words, Tim Steadman


111. **Copyright (c) 1995 Duke Journal of Comparative & International Law Duke Journal of Comparative & International Law**, Fall, 1995, 6 Duke J. Comp. & Int'l L. 197, 13978 words, OTHER INTERNATIONAL ISSUES: LONDON CALLING?: A COMPARISON OF LONDON AND U.S. STOCK EXCHANGE LISTING REQUIREMENTS FOR FOREIGN EQUITY SECURITIES

112. **A tryst with a trust**
The Lawyer, October 17, 1995, FOCUS: CAYMAN ISLANDS; Pg.19, 2080 words


118. **Copyright (c) 1996 Seton Hall University School of Law Seton Hall Law Review**, 1996, 26 Seton Hall L. Rev. 597, 16367 words, ARTICLES: SUSPENSION AND DISBELIEF (OR, HOW MANAGED SHOULD A MARKET BE?), Caroline Bradley *


120. **Copyright (c) 1996 Iowa University Iowa Law Review**, March, 1996, 81 Iowa L. Rev. 527, 29055 words, ARTICLE: Banking on Entrepreneurs: Wetlands, Mitigation Banking, and Takings, Royal C. Gardner *

121. **Copyright (c) 1996 Southern Methodist University SMU Law Review**, March / April, 1996, 49 SMU L. Rev. 579, 20789 words, COMMENT: A Primer on the Trade and Regulation of Derivative Instruments, Joseph L. Motes III

REGULATION OF A PAN-EUROPEAN SECURITIES MARKET: APPLYING THE RECOMMENDATIONS OF THE RUDMAN REPORT TO EASDAQ, Maria A. Volarich *


132. Copyright (c) 1996 George Mason Law Review George Mason Law Review, Fall, 1996, 5 Geo. Mason L. Rev. 101, 21481 words, CASENOTE: GETTING OUT OF "HARM'S" WAY: BABBITT V. SWEET HOME CHAPTER OF COMMUNITIES FOR A GREAT OREGON, Christopher F. Tate *

SYMPOSIUM: ARTICLE: Toward a Cohesive International Approach to Cross-Border Takeover Regulation, Edward F. Greene, Andrew Curran and David A. Christman *


150. Copyright (c) 1997 Yale University Yale Journal on Regulation, Spring, 1997, 14 Yale J. on Reg. 279, 50000 words, ARTICLE: The Political Dynamics of Derivative Securities Regulation, Roberta Romano *


152. Copyright (c) 1997 The Catholic University of America Conmlaw Conspexitus, Summer, 1997, 5 Conmlaw Conspexitus 305, 15953 words, COMMENT: Who Needs Wall Street? The Dilemma of Regulating Securities Trading in Cyberspace, Christina K. McGlosson


154. Copyright (c) 1997 Southern Methodist University SMU Law Review, September / October, 1997, 51 SMU L. Rev. 195, 18109 words, COMMENT: Limited Partner, Maximum Effect: Rethinking the Risk of Investing in Delaware Limited Partnerships, J. Brooke Hern*

155. Copyright (c) 1997 Saint Louis University School of Law Saint Louis University Law Journal, Fall, 1997, 41 St. Louis L.J. 1157, 37760 words, ARTICLE: CIVIL PROCEDURE IN TWENTIETH-CENTURY NEW YORK, WILLIAM E. NELSON*


158. Copyright (c) 1998 University of Maryland School of Law Maryland Law Review, 1998, 57 Md. L. Rev. 1400, 35768 words, ARTICLE: THE LIMITS OF CHARITY FIDUCIARY LAW, Evelyn Brody *


162. Copyright (c) 1998 Emory University School of Law Emory Law Journal, Winter, 1998, 47 Emory L.J. 1, 33360 words, ARTICLE: THE FUTURE OF CORPORATE DISCLOSURE: THE INTERNET, SECURITIES FRAUD, AND RULE 10b-5, Robert A. Prentice *


168. Copyright (c) 1998 University of Iowa (The Journal of Corporation Law) The Journal of Corporation Law, Spring, 1998, 23 Iowa J. Corp. L. 541, 12681 words, NOTE: Watch your Mouth: Section 12(a)(2) Liability for Oral Statements Made at Road Shows, Jaikaran Singh


FINANCIAL CRISIS AND THE DEREGULATION AND LIBERALIZATION OF THAILAND'S FINANCIAL SERVICES SECTOR: BARBARIANS AT THE GATE, Aphisit John Sutham *


176. Copyright (c) 1998 by the Case Western Reserve University School of Law Case Western Reserve Journal of International Law, Spring / Summer, 1998, 30 Case W. Res. J. Int'l L. 489, 7826 words, COMMENT: Securities Fraud Over the Internet: The Flies in the Ointment and a Hope of Fly Paper, Kevin Mason *

177. Copyright (c) 1998 The Regents of the University of Wisconsin Wisconsin International Law Journal, Summer, 1998, 16 Wis. Int'l J.L. 529, 13780 words, NOTE AND COMMENT: RUSSIA'S FEDERAL LAW ON ADVERTISING: PERMANENT SOLUTION OR PROVISIONAL STOPGAP?, KEVIN TROST


181. Copyright (c) 1998 Case Western Reserve Law Review Case Western Reserve University, Fall, 1998, 49 Case W. Res. 105, 29325 words, ARTICLE: We're All Capitalists Now: The Importance, Nature, Provision and Regulation of Investor Education, James A. Fanto +


Neutrality +, Henry T. C. Hu *


225. Copyright (c) 2000 The Dickinson School of Law, Carlisle, PA Dickinson Journal of Environmental Law & Policy, Spring, 2000, 9 Dick. J. Env. L. Pol. 103, 21209 words, ARTICLE: Wetlands Protection: Regulators Need to Give Credit to Mitigation Banking, Lisa M. Schenck *


227. Copyright (c) 2000 University of Pennsylvania University of Pennsylvania Journal of International Economic Law, Fall, 2000, 21 U. Pa. J'Int'l Econ. L. 585, 32820 words, ARTICLE: JURISDICTION IN CYBERSPACE: WHICH LAW AND FORUM APPLY TO SECURITIES TRANSACTIONS ON THE INTERNET?, Denis T. Rice*


229. Copyright (c) 2000 The Board of Trustees of Leland Stanford Junior University Stanford Law Review, December, 2000, 53 Stan. L. Rev. 607, 32328 words, ARTICLE: Currencies and the Commodification of Environmental Law, James S. Salzman* and J.B. Ruhl **


233. Copyright (c) 2001 University of Oregon Oregon Law Review, Winter, 2001, 80 Or. L. Rev. 1301, 43106 words, ARTICLE: Orphan of Invention: Why the Gramm-Leach-Billey Act Was Unnecessary, KEITH R. FISHER*

234. Copyright (c) 2001 Drake University Drake Law Review, 2001, 49 Drake L. Rev. 513, 32318 words, INSURANCE LAW ANNUAL: RESTRUCTURING MUTUAL LIFE INSURANCE COMPANIES: A PRACTICAL GUIDE THROUGH THE PROCESS , James A. Smallenberger*


236. Copyright (c) 2001 Suffolk University Suffolk University Law Review, 2001, 34
Suffolk U. L. Rev. 347, 10939 words, NOTE: Cyber Games?: Regulation of Internet Gambling in the United States, John J. Savilia


238. Copyright (c) 2001 Delaware Law School of Widener University, Inc. Delaware Journal of Corporate Law, 2001, 26 Del. J. Corp. L. 605, 110862 words, UNREPORTED CASE: COOKE v. OOLIE


241. Copyright (c) 2001 Fordham University School of Law Fordham Journal of Corporate & Financial Law, 2001, 7 Fordham J. Corp. & Fin. L. 21, 35972 words, ARTICLE: THE HOT IPO PHENOMENON AND THE GREAT INTERNET BUST, Andres Rueda*


245. Copyright (c) 2001 Fordham University School of Law Fordham Journal of Corporate & Financial Law, 2001, 6 Fordham J. Corp. & Fin. L. 421, 23738 words, ARTICLE: THE SEC'S "FAIR VALUE" STANDARD FOR MUTUAL FUND INVESTMENT IN RESTRICTED SHARES AND OTHER ILLIQUID SECURITIES*, Dr. Janet Kiholm Smith,** Dr. Richard L. Smith,*** and Dr. Karyn Williams****

246. Copyright (c) 2001 The Clayton Center for Entrepreneurial Law, University of Tennessee College of Law Transactions: The Tennessee Journal of Business Law, Spring, 2001, 2 Transactions 1, 17372 words, ARTICLE: A Primer on Real Estate Trusts: The Legal Basics of Reits, By Jack H. McCall *


and Bill C-91, Christopher Scott Harrison


251.  Copyright (c) 2001 Texas Review of Law & Politics Texas Review of Law & Politics, Spring, 2001, 5 Tex. Rev. Law & Pol. 343, 20176 words, ARTICLE: Internet Domain Names and ICANN Arbitration: The Emerging "Law" of Domain Name Custody Disputes, Robert A. Badgley*


258.  Copyright (c) 2001 University of Michigan Law School Michigan Journal of International Law, Fall, 2001, 23 Mich. J. Int'l L. 31, 27544 words, ARTICLE: IS INTERNATIONAL BANKRUPTCY POSSIBLE?, Frederick Tung*

259.  Copyright (c) 2001 The Vanderbilt University School of Law Vanderbilt Journal of Transnational Law, November, 2001, 34 Vand. J. Transnat'l L. 1219, 29865 words, ARTICLE: An Institutional Analysis of Consumer Law, A. Brooke Overby*

260.  Copyright (c) 2002 Law and Policy in International Business Law and Policy in International Business, WINTER 2002, 33 Law & Pol'y Int'l Bus. 283, 39986 words, ARTICLE: Demutualization of Organized Securities Exchanges in Hong Kong: The Great Leap Forward, Betty M. Ho *


265. Copyright (c) 2002 Yeshiva University Cardozo Law Review, March, 2002, 23 Cardozo L. Rev. 1419, 29546 words, ARTICLE: MUTUAL FUND VOTING OF PORTFOLIO SHARES: WHY NOT DISCLOSE?, Alan R. Palminter*


269. Copyright (c) 2002 Rutgers University, The State of New Jersey Rutgers Law Review, Fall, 2002, 55 Rutgers L. Rev. 1, 26588 words, ARTICLE: Form Over Substance?: Officer Certification and the Promise of Enhanced Personal Accountability under the Sarbanes-Oxley Act, Lisa M. Fairfax*

270. Copyright (c) 2002 Duquesne University Duquesne Law Review, Fall, 2002, 41 Duq. L. Rev. 69, 35767 words, ARTICLE: Enron: The Final Straw & How to Build Pensions of Brick, Sharon Reece *

271. Copyright (c) 2002 The University of Chicago Chicago Journal of International Law, Fall, 2002, 3 Chi. J. Int'l L. 369, 9380 words, ARTICLE: EXPLORING THE NEED FOR INTERNATIONAL HARMONIZATION: Passports, Private Choice, and Private Interests: Regulatory Competition and Cooperation in Corporate, Securities, and Bankruptcy Law, Frederick Tung *


275. Copyright (c) 2003 Kentucky College of Law Kentucky Law Journal, Fall 2003 /
2003, 35 Conn. L. Rev. 915, 33412 words, SYMPOSIUM: CRISIS IN CONFIDENCE: CORPORATE GOVERNANCE AND PROFESSIONAL ETHICS POST-ENRON SPONSORED BY WIGGIN & DANA: The Sarbanes-Oxley Yawn: Heavy Rhetoric, Light Reform (And It Just Might Work), LAWRENCE A. CUNNINGHAM *

289. Copyright (c) 2003 Columbia Journal of Asian Law Columbia Journal of Asian Law, Spring, 2003, 16 Colum. J. Asian L. 303, 24760 words, ARTICLE: The Role of Securities Regulation in the Development of the Thai Stock Market, John Fagan*

290. Copyright (c) 2003 University of North Carolina School of Law Banking Institute North Carolina Banking Institute, April, 2003, 7 N.C. Banking Inst. 177, 9280 words, NOTES & COMMENTS: II. Professional Responsibility and Liability in a Post-Enron World: Accounting for and Disclosure of Special Purpose Entities by Financial Holding Companies: Lessons from PNC Financial Services, Joyita R. Basu


293. Copyright (c) 2003 University of Denver Transportation Law Journal, Spring / Summer, 2003, 30 Transp. L. J. 235, 78117 words, ARTICLE: Transportation: A Legal History+, Paul Stephen Dempsey*


296. Copyright (c) 2003 Loyola University Chicago School of Law Loyola University Chicago Law Journal, Fall, 2003, 35 Loy. U. Chi. L.J. 341, 21857 words, ARTICLE: Website Access: The Case for Consent, David McGowan*


ROADMAP TO GOING PRIVATE, Joshua M. Koenig*


305. Copyright (c) 2004 Rutgers School of Law - Camden Rutgers Law Journal, Winter, 2004, 35 Rutgers L. J. 569, 27623 words, ARTICLE: The Problems and Challenges of Lawyering in Developing Societies, Okechukwu Oko *

306. Copyright (c) 2004 Seton Hall University School of Law Seton Hall Law Review, 2004, 34 Seton Hall L. Rev. 775, 14812 words, ARTICLE: Implied Private Actions Under Sarbanes-Oxley, Lewis D. Lowenfels and Alan R. Bromberg*


313. Copyright (c) 2004 Vanderbilt University Vanderbilt Law Review, April, 2004, 57 Vand. L. Rev. 1125, 20464 words, NOTE: Bucking the Trend: The Unsupportability of Index Providers' Imposition of Licensing Fees for Unlisted Trading of Exchange Traded Funds, Peter N. Hall*
Common Form for Like-Kind Exchanges and its Impact on Lenders, ALEX R. PEDERSON*

326. Copyright (c) 2005 Pepperdine University School of Law Pepperdine Law Review, 2005, 32 Pepp. L. Rev. 671, 26468 words, COMMENT: It's Payback Time, or Is It?: An Argument to Apply Universal Heightened Standards to All Employee Stock-Based Individual Account Programs in the Post-Enron Era and Why Sarbanes-Oxley's Preventive Measures Do Not Adequately Protect Employee Investor Interests, Sarah Y. Rifaat n345


330. Copyright (c) 2005 University of Nebraska Nebraska Law Review, 2005, 83 Neb. L. Rev. 979, 32708 words, ARTICLE: "Ain't No Glory in Pain": n1 How the 1994 Republican Revolution and the Private Securities Litigation Reform Act Contributed to the Collapse of the United States Capital Markets, andre douglas pond cummings*


332. Copyright (c) 2005 Chicago-Kent College of Law Chicago-Kent Law Review, 2005, 80 Chi.-Kent L. Rev. 903, 13948 words, THE LOUIS JACKSON NATIONAL STUDENT WRITING COMPETITION: ERISA SECTION 404(C) AND INVESTMENT ADVICE: WHAT IS AN EMPLOYER OR PLAN SPONSOR TO DO?, Stefanie Kastrinsky*

333. Copyright (c) 2005 The Trustee of Indiana University Indiana Law Review, 2005, 38 Ind. L. Rev. 817, 20294 words, NOTE: Directors' Liability for Corporate Mismanagement of 401(K) Plans: Achieving the Goals of ERISA in Effectuating Retirement Security , Kimberly Lynn Weiss*

334. Copyright (c) 2005 Seton Hall University School of Law Seton Hall Law Review, 2005, 35 Seton Hall L. Rev. 1029, 31861 words, ARTICLE: Who Pays the Auditor Calls the Tune?: Auditing Regulation and Clients' Incentives, Amy Shapiro*


341. Copyright (c) 2005 New York University School of Law Tax Law Review, Summer, 2005, 58 Tax L. Rev. 327, 30136 words, ARTICLE: The Great American Jobs Act Caper, CHARLES I. KINGSON*


343. Copyright (c) 2005 St. John's University St. John's Journal of Legal Commentary, Summer, 2005, 19 St. John's J.L. Comm. 637, 14848 words, NOTE: THE PROPER EXTENT OF LIABILITY A CONDOMINIUM UNIT OWNER SHOULD HAVE FOR INJURIES CAUSED BY A LIMITED COMMON ELEMENT, DANIEL L. STANCO


347. Copyright (c) 2005 Yeshiva University Cardozo Journal of International and Comparative Law, Fall, 2005, 13 Cardozo J. Int'l & Comp. L. 563, 15451 words, NOTE: SEC HEDGE FUND REGULATORY IMPLICATIONS ON ASIAN EMERGING MARKETS: BOTTOM LINE OR BUST, Sherry M. Shore*


349. Copyright (c) 2005 Fordham University School of Law Fordham International Law Journal, December, 2005, 29 Fordham Int'l L.J. 127, 20552 words, ARTICLE: PRIVATE INTERNATIONAL LAW-MAKING FOR THE FINANCIAL MARKETS, Caroline Bradley *

363. Copyright (c) 2006 Virginia Law Review Association Virginia Law Review, March, 2006, 92 Va. L. Rev. 149, 14750 words, NOTE: INFORMATION MARKETS: USING MARKET PREDICTIONS TO MAKE ADMINISTRATIVE DECISIONS, Matthew Einbinder*


366. Copyright (c) 2006 Florida Journal of International Law Florida Journal of International Law, April, 2006, 18 Fla. J. Int'l L. 359, 23276 words, NOTE: HEDGE FUNDS: REGULATORY, TAX, AND ORGANIZATIONAL CONSIDERATIONS, Jay Crenshaw*

367. Copyright (c) 2006 Iowa University Iowa Law Review, July, 2006, 91 Iowa L. Rev. 1395, 24877 words, ARTICLE: The Best Puffery Article Ever, David A. Hoffman*

368. Copyright (c) 2006 University of Cincinnati Law Review University of Cincinnati Law Review, Summer, 2006, 74 U. Cin. L. Rev. 1265, 16332 words, ARTICLE: THE VISIBLE HAND IN GOVERNMENT-SPONSORED FINANCIAL SERVICES: WHY STATES SHOULD NOT BE ALLOWED TO OFFER 529 PLANS, Mercer E. Bullard*


words, NOTE: SPECIAL PURPOSE ACQUISITION COMPANIES: SPAC AND SPAN, OR BLANK CHECK REDUX?, Daniel S. Riemer*


376. Copyright (c) 2007 by The University of Texas School of Law The Review of Litigation, Symposium 2007, 26 Rev. Litig. 799, 21908 words, ARTICLE: SOME ISSUES ON CROSS-BORDER STOCK EXCHANGE MERGERS, By Ioannis Kokkoris* & Rodrigo Olivares-Caminal**


378. Copyright (c) 2007 Board of Trustees of the University of Illinois The Elder Law Journal, 2007, 15 Elder L.J. 323, 24407 words, ARTICLE: Uncovering and Understanding Hidden Fees in Qualified Retirement Plans + 3d Edition - Published Fall 2007, Matthew D. Hutcheson, MS, CPC, AIFA(R), CRC(R)


381. Copyright (c) 2007 Fordham University School of Law Fordham Journal of Corporate & Financial Law, 2007, 12 Fordham J. Corp. & Fin. L. 685, 15882 words, ARTICLE: COMPENSATION PRACTICES FOR RETAIL SALE OF MUTUAL FUNDS: n1 THE NEED FOR TRANSPARENCY AND DISCLOSURE, John Howat, PhD, Associate Professor of Finance, University of Wisconsin-Whitewater, Linda Reid, JD, Assistant Professor of Law, University of Wisconsin-Whitewater


385. Copyright (c) 2007 University of Notre Dame Notre Dame Law Review, April, 2007, 82 Notre Dame L. Rev. 1343, 33015 words, ARTICLE: PREDICTION MARKETS FOR CORPORATE GOVERNANCE, Michael Abramowicz* and M. Todd Henderson +

386. Copyright (c) 2007 Rutgers University, The State University of New Jersey
in Corporate Law, Securities Regulation, and Accounting, Lawrence A. Cunningham*

399. Copyright (c) 2007 Florida State University Law Review Florida State University Law Review, Fall, 2007, 35 Fla. St. U.L. Rev. 1, 32855 words, ARTICLE: EMOTIONAL PATERNALISM, Jeremy A. Blumenthal*

400. Copyright (c) 2007 Board of Trustees of Southern Illinois University Southern Illinois University Law Journal, Fall, 2007, 32 S. Ill. U. L. J. 145, 8989 words, ARTICLE: The First Restatements and the Vision of the American Law Institute, Then and Now, Michael Traynor*


404. PRIVATE EQUITY: Best of both worlds
The Lawyer, December 3, 2007, Pg. 24, 1131 words


407. Copyright (c) 2008 Baylor Law Review Baylor Law Review, Winter, 2008, 60 Baylor L. Rev. 73, 33399 words, ARTICLE: Fairness is in the Eyes of the Beholder, William B. L. Little*

408. Copyright (c) 2008 University of Maine School of Law Maine Law Review, 2008, Maine Law Review, 60 Me. L. Rev. 97, 17298 words, ARTICLE: LEGAL FORMALISM MEETS POLICY-ORIENTED JURISPRUDENCE: A MORE EUROPEAN APPROACH TO FRAME THE WAR ON TERROR, Julien Cantegreil*


words, RECENT DEVELOPMENTS IN TEXAS AND UNITED STATES ENERGY LAW

448.  Copyright (c) 2009 Texas Tech University School of Law Texas Tech Law Review, Spring, 2009, Texas Tech Law Review, 41 Tex. Tech L. Rev. 897, 47856 words, Survey Article: Deja vu All Over Again: Will the Supreme Court's ERISA Decisions Prompt the Fifth Circuit to Revise Its Standards? , Jayne Zanglein and Janet Ford*


450.  Copyright (c) 2009 Transportation Law Journal Transportation Law Journal, Spring, 2009, Transportation Law Journal, 36 Transp. L. J. 47, 16719 words, Article: High Speed Rail: Planning and Financing the Next Fifty Years of American Mobility, Joshua D. Prok*


452.  Copyright (c) 2009 University of Iowa (Journal of Corporation Law) The Journal of Corporation Law, Spring, 2009, THE JOURNAL OF CORPORATION LAW, 34 Iowa J. Corp. L. 843, 32708 words, ARTICLE: ABLE BUT NOT WILLING: THE FAILURE OF MUTUAL FUND ADVISERS TO ADVOCATE FOR SHAREHOLDERS' RIGHTS, Jennifer S. Taub*


454.  Copyright (c) 2009 Pacific Rim Law & Policy Association Pacific Rim Law & Policy Journal, April, 2009, Pacific Rim Law & Policy Journal, 18 Pac. Rim L. & Pol'y J. 347, 11872 words, ARTICLE: MODERNIZING CHARITY LAW IN CHINA, Rebecca Lee+


456.  Copyright (c) 2009 The Virginia Tax Review Association Virginia Tax Review, Summer, 2009, VIRGINIA TAX REVIEW, 29 Va. Tax Rev. 29, 25053 words, ARTICLE: WHY DO VENTURE CAPITAL FUNDS BURN RESEARCH AND DEVELOPMENT DEDUCTIONS?, Calvin H. Johnson*

457.  Copyright (c) 2009 The University of Texas School of Law The Review of Litigation, Summer, 2009, The Review of Litigation, 28 Rev. Litig. 845, 29421 words, Article: Choice of Forum in Securities Class Actions: Confronting "Reform" of the Securities Act of 1933, Matthew O'Brien*

MUTUAL FUNDS: A COMPARATIVE LEGAL AND ECONOMIC ANALYSIS, John C. Coates IV

459. Copyright (c) 2009 University of Southern California Southern California Law Review, September, 2009, SOUTHERN CALIFORNIA LAW REVIEW, 82 S. Cal. L. Rev. 1075, 30887 words, ARTICLE: REWRITING FRANKENSTEIN CONTRACTS: WORKOUT PROHIBITIONS IN RESIDENTIAL MORTGAGE-BACKED SECURITIES, Anna Gelpern* and Adam J. Levitin+


461. Copyright (c) 2009 Trustees of Indiana University Indiana Law Journal, Fall, 2009, Indiana Law Journal, 84 Ind. L.J. 1449, 13849 words, Note: Recasting Carried Interest: An Examination of Recent Tax Reform Proposals , Marguerite Racher Snyder*

462. Copyright (c) 2009 Loyola University New Orleans College of Law Loyola Law Review, Fall, 2009, Loyola Law Review, 55 Loy. L. Rev. 559, 13934 words, COMMENT: ARE SECURITIES ACT OF 1933 CLAIMS FILED IN STATE COURT REMOVABLE UNDER THE CLASS ACTION FAIRNESS ACT OF 2005? A PROPOSED RESOLUTION TO A STATUTORY CONFLICT, Trevor M. Cutaiar*


466. Copyright (c) 2009 SMU Dedman School of Law Law and Business Review of the Americas, Fall, 2009, Law and Business Review of the Americas, 15 Law & Bus. Rev. Am. 713, 15731 words, Perspective: The 2008 Bankruptcy of Literacy - A Legal Analysis of the Subprime Mortgage Fiasco, Bernhard Grossfeld and Hansjoerg Heppe*

467. Copyright (c) 2009 Northwestern University School of Law Northwestern Journal of Law and Social Policy, Fall, 2009, Northwestern Journal of Law and Social Policy, 4 Nw. J. L. & Soc. Pol'y 360, 22595 words, ARTICLE: Ending Jim Crow Life Insurance Rates, Mary L. Heen*

468. Copyright (c) 2010 The Board of Trustees of the University of Illinois University of Illinois Law Review, 2010, University of Illinois Law Review, 2010 U. Ill. L. Rev. 311, 28313 words, NOTE: DON'T JUST CHECK "YES" OR "NO": THE NEED FOR BROADER CONSIDERATION OF OUTSIDE INVESTMENT IN THE LAW, Heather A. Miller*

words, ARTICLE: BREAKING BUCKS IN MONEY MARKET FUNDS, William A. Birdthistle*


481.  Copyright (c) 2010 Brooklyn Journal of International Law Brooklyn Journal of International Law, 2010, Brooklyn Journal of International Law, 36 Brooklyn J. Int'l L. 123, 38891 words, ARTICLE: JUSTIFYING COMPENSATION BY THE INTERNATIONAL CRIMINAL COURT'S VICTIMS TRUST FUND: LESSONS FROM DOMESTIC COMPENSATION SCHEMES, Frederic Megret, PhD *


490.  Copyright (c) 2010 Columbia Journal of Asian Law Columbia Journal of Asian Law, Spring, 2010, Columbia Journal of Asian Law, 23 Colum. J. Asian L. 357, 12944 words, NOTE: LISTING DESTINATION OF CHINESE COMPANIES: NEW YORK OR HONG KONG?, KING FUNG TSANG *

the Implications for D&O Liability: The United States and Australia, JOAN T.A. GABEL* and NANCY R. MANSFIELD** and PAUL VON NESSEN*** and AUSTIN W. HALL**** and ANDREW JONES*****


497.  Copyright (c) 2010 Boston Bar Association Boston Bar Journal, Summer, 2010, 54 B.B.J. 6, 948 words, DEPARTMENT: CASE FOCUS: SEC V. TAMBONE: WHAT IT MEANS TO "MAKE" A STATEMENT TO INVESTORS, By Ian Roffman


501.  Copyright (c) 2010 Saint Louis University School of Law Saint Louis University Law Journal, Fall, 2010, Saint Louis University Law Journal, 55 St. Louis L.J. 47, 37571 words, CRITICAL ISSUES IN COMPARATIVE & INTERNATIONAL TAXATION: THE CULTURE OF TAX AVOIDANCE, HENRY ORDOWER*

ACT OF 1933, Joan MacLeod Heminway* and Shelden Ryan Hoffman**


528. Copyright (c) 2011 Hofstra Law Review Association Hofstra Law Review, Fall, 2011, Hofstra Law Review, 40 Hofstra L. Rev. 177, 27409 words, ARTICLE: SPECIAL PURPOSE VEHICLES IN BANKRUPTCY LITIGATION, John A. Pearce II* and Ilya A. Lipin**


534. Copyright (c) 2012 The Board of Trustees of the University of Illinois University of Illinois Law Review, 2012 University of Illinois Law Review, 2012 U. Ill. L. Rev. 1003, 25573 words, ARTICLE: A Floating Nav for Money Market Funds: Fix or Fantasy?, Jill Fisch* and Eric Roiter**

535. Copyright (c) 2012 University of Cincinnati University of Cincinnati Law Review, Winter, 2012, University of Cincinnati Law Review, 81 U. Cin. L. Rev. 601, 29281 words, Twenty-Fifth Annual Corporate Law Symposium: Implementing Dodd-Frank Wall Street Reform and Consumer Protection Act: Article: Risky Mail: Concerns in Confidential Attorney-Client Email, Rebecca Bolin*


549. Copyright (c) 2012 Yeshiva University Cardozo Law Review, February, 2012, Cardozo Law Review, 33 Cardozo L. Rev. 1019, 31151 words, ARTICLE: Is the Third Time the Charm? Janus and the Proper Balance Between Primary and Secondary Actor Liability Under Section 10(b), Elizabeth Cosenza*


551. Review, 85 S. Cal. L. Rev. 917, 20170 words, NOTE: ISN'T THIS WHERE WE CAME IN?: AN EXAMINATION OF THE TURBULENT HISTORY AND DIVERGENT ECONOMICS UNDERLYING SECTION 36(B) OF THE INVESTMENT COMPANY ACT OF 1940 AND A PROPOSAL TO FINALLY PUT THE LAW TO USE, John Baumann*


557. Copyright (c) 2012 Yeshiva University Cardozo Law Review, April, 2012, Cardozo Law Review, 33 Cardozo L. Rev. 1733, 28832 words, ARTICLE: Stimulating Long-Term Shareholding, Emeka Duruigbo*


FAVOR DEREGULATION?, Carolyn Sissoko*

571. Copyright (c) 2013 Curators of the University of Missouri Missouri Law Review, Winter, 2013, Missouri Law Review, 78 Mo. L. Rev. 171, 26966 words, ARTICLE: The Currently Mandated Myopia of Rule 10b-5: Pay No Attention to That Manager Behind the Mutual Fund Curtain, Kelly S. Kibbie*


575. Copyright (c) 2013 Emory Law Journal Emory Law Journal, 2013, Emory Law Journal, 63 Emory L.J. 175, 21919 words, COMMENT: REGULATION X: A NEW DIRECTION FOR THE REGULATION OF MORTGAGE SERVICERS, Margaret R.T. Dewar*


577. Copyright (c) 2013 University of Notre Dame Journal of Legislation, 2013 - 2014, Journal of Legislation, 40 J. Legis. 1, 20665 words, ARTICLE: Hiding in Plain Sight: "CONSPICUOUS TYPE" STANDARDS IN MANDATED COMMUNICATION STATUTES, Mary Beth Beazley*

578. Copyright (c) 2013 Delaware Law School of Widener University, Inc. Delaware Journal of Corporate Law, 2013, Delaware Journal of Corporate Law, 37 Del. J. Corp. L. 849, 40192 words, ARTICLE: Exit, Voice, and Reputation: The Evolution of SPACs, By Usha Rodrigues and Mike Stegemoller*


581. HK misses a chance to reform The Lawyer, January 14, 2013, OPINION; Stuart Rubin and Angus Ross, partners, Ashurst, 524 words


ARTICLE: PRICING DISINTERMEDIATION: CROWDFUNDING AND ONLINE AUCTION IPOS, Christine Hurt*

ARTICLE: THE BROKEN BUCK STOPS HERE: EMBRACING SPONSOR SUPPORT IN MONEY MARKET FUND REFORM *, JILL E. FISCH **

ARTICLE: SECURITIES LITIGATION IN THE ROBERTS COURT: AN EARLY ASSESSMENT, John C. Coates IV *

ARTICLE: THE SEPARATION OF INTELLIGENCE AND CONTROL: RETIREMENT SAVINGS AND THE LIMITS OF SOFT PATERNALISM, JACOB HALE RUSSELL *

ARTICLE: INCORPORATING LEGAL CLAIMS, Maya Steinitz*

ARTICLE: Tontine Pensions, Jonathan Barry Forman+ and Michael J. Sabin++

ARTICLE: LEGAL IGNORANCE AND INFORMATION-FORCING RULES, J.H. VERKERKE *

NOTE: Nobody Goes to Jail: The Economics of Criminal Law, Securities Fraud, and the 2008 Recession, Tristan R. Brown*

ARTICLE: “ONE COUNTRY TWO SYSTEMS” AS BEDROCK OF HONG KONG’S CONTINUED SUCCESS: FICTION OR REALITY?, HORACE YEUNG * FLORA HUANG **
Direction? Hong Kong Lawyer


Journals from Westlaw: 276 Results

1. **38 B.C. Int'l & Comp. L. Rev. 191**
   Boston College International and Comparative Law Review Spring, 2015 Article “ONE COUNTRY TWO SYSTEMS” AS BEDROCK OF HONG KONG’S CONTINUED SUCCESS: FICTION OR REALITY? Horace Yeung Flora Huang

2. **41 New Eng. J. on Crim. & Civ. Confinement 343**

3. **67 Fla. L. Rev. 649**
   Florida Law Review March, 2015 Article PRINCIPLES FOR PUBLICNESS Onnig H. Dombalagian

4. **57 Ariz. L. Rev. 1**
   Arizona Law Review 2015 Business Litigation in the Roberts Court SECURITIES LITIGATION IN THE ROBERTS COURT: AN EARLY ASSESSMENT John C. Coates IV

5. **103 Ky. L.J. 1**
   Kentucky Law Journal 2014-2015 Articles SUBPRIME SCRIVENERS Milan Markovic

6. **2015 U. Ill. L. Rev. 217**
   University of Illinois Law Review 2015 Article PRICING DISINTERMEDIATION: CROWDFUNDING AND ONLINE AUCTION IPOs Christine Hurt

7. **89 Tul. L. Rev. 125**

8. **11 N.Y.U. J. L. & Bus. 397**
   NYU Journal of Law & Business Fall 2014 Student Note MISMATCHED REGULATORY REGIMES: HOW CHINESE REVERSE MERGERS -- AND CHINA MEDIAEXPRESS HOLDINGS, INC. -- EVADED SCRUTINY THROUGH REGULATORY CONFLICTS AND LOOPHOLES Teresa A. Teng

9. **79 Brook. L. Rev. 1233**

10. **67 Vand. L. Rev. 307**
11.34 Pace L. Rev. 349
Pace Law Review Winter 2014 Article TOO COMPLEX TO PERCEIVE? DRAFTING CASH DISTRIBUTION WATERFALLS DIRECTLY AS CODE TO REDUCE COMPLEXITY AND LEGAL RISK IN STRUCTURED FINANCE, MASTER LIMITED PARTNERSHIP, AND PRIVATE EQUITY TRANSACTIONS Ralph C. Mayrell

12.28 Notre Dame J.L. Ethics & Pub. Pol'y 435

13.93 B.U. L. Rev. 1905
Boston University Law Review December, 2013 Article TOWARD A MORE PERFECT SUBSTITUTE: HOW PRESSURE ON THE ISSUERS OF PRIVATE-LABEL MORTGAGE-BACKED SECURITIES CAN IMPROVE THE ACCURACY OF RATINGS Brent J. Horton

14.11 Can. J. L. & Tech. 283

15.8 Brook. J. Corp. Fin. & Com. L. 134
Brooklyn Journal of Corporate, Financial & Commercial Law Fall, 2013 Symposium The Growth and Importance of Compliance in Financial Firms: Meaning and Implications Note THE JOBS ACT: INVESTOR PROTECTION, CAPITAL FORMATION, AND EMPLOYMENT IN AN INCREASINGLY POLITICAL ECONOMY John P. Fargnoli


17.48 Wake Forest L. Rev. 771

18.86 S. Cal. L. Rev. 783
Southern California Law Review May, 2013 Article A TRANSACTIONAL GENEALOGY OF SCANDAL: FROM MICHAEL MILKEN TO ENRON TO GOLDMAN SACHS William W. Bratton Adam J. Levitin

19.13 J. Bus. & Sec. L. 143
Journal of Business & Securities Law Spring, 2013 Article USE OF SOCIAL MEDIA IN PRIVATE FUND OFFERINGS: PERKS, PERILS, AND PRIVACY Heather Traeger, Kris Easter

20.97 Minn. L. Rev. 1343
Minnesota Law Review April, 2013 Article STATE ENFORCEMENT OF NATIONAL POLICY: A CONTEXTUAL APPROACH (WITH EVIDENCE FROM THE SECURITIES REALM) Amanda M. Rose

21.81 Fordham L. Rev. 2111
Fordham Law Review March, 2013 Note RULE 10B-5(B) ENFORCEMENT ACTIONS IN LIGHT OF JANUS: MAKING THE CASE FOR AGENCY DEFERENCE Matthew P. Wynne

22.4 Wm. & Mary Bus. L. Rev. 111

23.38 J. Corp. L. 217

24.73 La. L. Rev. 633
Louisiana Law Review Winter, 2013 Comments WHEN WILL IT FINALLY END: THE
EFFECTIVENESS OF THE RULE 10B-5 PRIVATE ACTION AS A FRAUD-DETERRENCE MECHANISM POST-JANUS Justin Marocco

25.78 Mo. L. Rev. 171
Missouri Law Review Winter, 2013 Article THE CURRENTLY MANDATED MYOPIA OF RULE 10B-5: PAY NO ATTENTION TO THAT MANAGER BEHIND THE MUTUAL FUND CURTAIN Kelly S. Kibbie

26.86 S. Cal. L. Rev. 263

27.63 Emory L.J. 127
Emory Law Journal 2013 Comment THE ANTI-CROWD PLEASER: FIXING THE CROWDFUND ACT’S HIDDEN RISKS AND INADEQUATE REMEDIES David Mashburn

28.43 Hong Kong L. J. 973
Hong Kong Law Journal 2013 Article Reforming the Sponsor Regulatory Regime--A Case of Hong Kong's Response to the Impact of Chinese Listings Gordon YM Chan

29.24 Stan. L. & Pol'y Rev. 99

30.20 Geo. Mason L. Rev. 311

31.96 Marq. L. Rev. 241
Marquette Law Review Fall 2012 Article FITTING AN OLD TIGER WITH NEW TEETH: PROTECTING PUBLIC EMPLOYEE FUNDS INVESTING IN COMPLEX FINANCIAL INSTRUMENTS Richard E. Mendales

32.7 Va. L. & Bus. Rev. 365
Virginia Law & Business Review Fall 2012 Article CONFLICTED GATEKEEPERS: THE VOLCKER RULE AND GOLDMAN SACHS Andrew F. Tuch

33.37 J. Corp. L. 771
Journal of Corporation Law Summer 2012 Article THE SUPREME COURT'S THEORY OF THE FUND William A. Birdthistle

34.43 Loy. U. Chi. L.J. 935
Loyola University Chicago Law Journal Summer 2012 Note RECOURSE UNDER § 10(B) ON LIFE SUPPORT: THE DISPLACEMENT OF LIABILITY AND PRIVATE SECURITIES FRAUD ACTION AFTER JANUS V. FIRST DERIVATIVE Enzo Incandela

35.21 Transnat'l L. & Contemp. Probs. 395
Transnational Law & Contemporary Problems Summer 2012 Article EVOLUTIONARY DEVELOPMENTS IN MORTGAGE SECURITIZATION: FINANCIAL LAW REFORMS, PUTATIVE BENEFICIARIES, AND ARCHETYPAL ECONOMIC RISKS Yuliya Guseva

36.90 Tex. L. Rev. 1601

37.6 Brook. J. Corp. Fin. & Com. L. 703
Brooklyn Journal of Corporate, Financial & Commercial Law Spring, 2012 Note THE NEED FOR A FORMIDABLE PRIVATE RIGHT OF ACTION IN THE MUTUAL FUND CONTEXT: AN ANALYSIS OF JANUS' CATEGORICAL LIMITATION ON PRIMARY LIABILITY UNDER RULE 10B-5 Marc F. Spagnoletti

38.80 U. Cin. L. Rev. 1025
University of Cincinnati Law Review Spring, 2012 Comments and Casenotes VALIDITY OF THE FRAUD-CREATED-THE-MARKET THEORY OF ESTABLISHING RELIANCE IN A PRIVATE ACTION FOR DAMAGES UNDER RULE 10B-5 Kathleen Cassidy
39.16 N.C. Banking Inst. 405
North Carolina Banking Institute March, 2012 Note & Comment V. Securities
Regulation: Rule 10b-5 THE EFFECTS OF AN UNDEFINED “ULTIMATE AUTHORITY” STANDARD FOR RULE 10B-5 CLAIMS: JANUS CAPITAL GROUP, INC. V. FIRST DERIVATIVE TRADERS Bryan P. King

40.33 Cardozo L. Rev. 1019
Cardozo Law Review February, 2012 Article IS THE THIRD TIME THE CHARM? JANUS AND THE PROPER BALANCE BETWEEN PRIMARY AND SECONDARY ACTOR LIABILITY UNDER SECTION 10(B) Elizabeth Cosenza

41.2012 Colum. Bus. L. Rev. 865

42.37 Del. J. Corp. L. 411
Delaware Journal of Corporate Law 2012 Articles THE IRREPRESSIBLE MYTHS OF BARCHRIS Joseph K. Leahy

43.17 Fordham J. Corp. & Fin. L. 1063
Fordham Journal of Corporate and Financial Law 2012 Article BELOW INVESTMENT GRADE AND ABOVE THE LAW: A PAST, PRESENT AND FUTURE LOOK AT THE ACCOUNTABILITY OF CREDIT RATING AGENCIES Marilyn Blumberg Cane Adam Shamir Tomas Jodar

44.35 Hamline L. Rev. 385
Hamline Law Review 2011-2012 Articles, Essays, and Transcripts THE SEC’S NEW LINE-ITEM DISCLOSURE RULES FOR ASSET-BACKED SECURITIES: MOTS OR TMI? Joan MacLeod Heminway

45.67 N.Y.U. Ann. Surv. Am. L. 693

46.7 Ohio St. Entrepreneurial Bus. L.J. 373

47.19 No. 1 PIABA B.J. 1
PIABA Bar Journal 2012 THE LAND OF LITIGATION MAKE BELIEVE: JANUS CAPITAL GROUP, INC., ET AL. V. FIRST DERIVATIVE TRADERS A CASE COMMENT Edward Pekarek Genevieve Shingle

48.45 Suffolk U. L. Rev. 1297
Suffolk University Law Review 2012 Note THE THIRTEENTH STROKE: AN APPROACH TO “ULTIMATE AUTHORITY” AFTER JANUS Andrew Power

49.80 Fordham L. Rev. 273
Fordham Law Review October, 2011 Note “DON’T BLAME ME, BLAME THE FINANCIAL CRISIS”: A SURVEY OF DISMISSAL RULINGS IN 10B-5 SUITS FOR SUBPRIME SECURITIES LOSSES Christopher J. Miller

50.60 Am. U. L. Rev. 1265

51.159 U. Pa. L. Rev. 1305
University of Pennsylvania Law Review April, 2011 Article RUNNING THE GAMUT FROM A TO B: FEDERAL TRADEMARK AND FALSE ADVERTISING LAW Rebecca Tushnet

52.63 Baylor L. Rev. 1
Baylor Law Review Winter 2011 Articles PRICE FRAUD Wendy Gerwick Couture

53.7 Hastings Bus. L.J. 13
Hastings Business Law Journal Winter 2011 Article SUNLIGHT ON IRAN: HOW
REDUCTIVE STANDARDS OF MATERIALITY EXCUSE INCOMPLETE DISCLOSURE UNDER THE SECURITIES LAWS Amy Deen Westbrook

54.32 Energy L.J. 1

55.2 Eur. J. Risk Reg. 305

56.51 IDEA 357

57.40 U. Balt. L. Rev. 215
University of Baltimore Law Review Winter 2010 Articles MADOFF PONZI SCHEME EXPOSES “THE MYTH OF THE SOPHISTICATED INVESTOR” Felicia Smith

58.14 Lewis & Clark L. Rev. 1035
Lewis & Clark Law Review Fall 2010 Articles REFORMING THE LAW OF ADHESION CONTRACTS: A JUDICIAL RESPONSE TO THE SUBPRIME MORTGAGE CRISIS Shelley Smith

59.88 N.C. L. Rev. 1923
North Carolina Law Review September, 2010 Article A PROLONGED SLUMP FOR “PLAINTIFF-PITCHERS”: THE NARROW “STRIKE ZONE” FOR SECURITIES PLAINTIFFS IN THE FOURTH CIRCUIT Marc I. Steinberg Dustin L. Appel

60.59 DePaul L. Rev. 1151
DePaul Law Review Summer 2010 Article WHAT’S IN YOUR PORTFOLIO? U.S. INVESTORS ARE UNKNOWINGLY FINANCING STATE SPONSORS OF TERRORISM Amy Deen Westbrook

61.6 Hastings Bus. L.J. 397

62.14 Barry L. Rev. 25

63.23 Colum. J. Asian L. 357
Columbia Journal of Asian Law Spring, 2010 Note LISTING DESTINATION OF CHINESE COMPANIES: NEW YORK OR HONG KONG? King Fung Tsang

64.35 J. Corp. L. 519
Journal of Corporation Law Spring 2010 Article CLEANING THE MURKY SAFE HARBOR FOR FORWARD-LOOKING STATEMENTS: AN INQUIRY INTO WHETHER ACTUAL KNOWLEDGE OF FALSITY PRECLUDES THE MEANINGFUL CAUTIONARY STATEMENT DEFENSE Allan Horwich

65.11 San Diego Int'l L.J. 365

66.108 Mich. L. Rev. 603

67.44 U. Rich. L. Rev. 647
68.73 Alb. L. Rev. 603

69.5 Entrepreneurial Bus. L.J. 1

70.85 Ind. L.J. Supplement 1
Indiana Law Journal Supplement 2010 Article RETHINKING SPORTS WAGERING Michael C. Macchiarola

71.19 J.L. & Pol'y 435
Journal of Law & Policy 2010 Notes and Comments REFORM AFTER THE REFORM ACT Kendra Schramm

72.13 N.Y.U. J. Legis. & Pub. Pol'y 253
NYU Journal of Legislation and Public Policy 2010 Article ON REGULATING CONFLICTS OF INTEREST IN THE CREDIT RATING INDUSTRY Lynn Bai

73.17 No. 4 PIABA B.J. 353

74.60 Syracuse L. Rev. 449

75.35 J. Corp. L. 71

76.15 Stan. J.L. Bus. & Fin. 1

77.23 Temp. Int'l & Comp. L.J. 317
Temple International and Comparative Law Journal Fall 2009 Articles THE MARKET FOR SECURITIES AND ITS REGULATION THROUGH GATEKEEPERS Carsten Gerner-Beuerle

78.30 Cardozo L. Rev. 2001

79.2009 WL 1614241
Aspatore April, 2009 PRIVATE EQUITY FUND EXPOSURE AND PROTECTION LEADING LAWYERS ON WEIGHING INVESTMENT RISKS, STRUCTURING PRUDENT M AND A TRANSACTIONS, AND PREPARING FOR INCREASED GOVERNMENT INVOLVEMENT IDENTIFYING AND MINIMIZING RISK FOR PRIVATE EQUITY FUNDS AND FUND MANAGERS David A. Rines PartnerThompson Hine LLP

80.109 Colum. L. Rev. 237
Columbia Law Review March, 2009 Article CIVIL LIABILITY AND MANDATORY DISCLOSURE Merritt B. Fox

81.40 Rutgers L.J. 319
Rutgers Law Journal Winter, 2009 Article AN EMPIRICAL STUDY OF SECURITIES LITIGATION AFTER WORLDCOM David I. Michaels
82.6 Berkeley Bus. L.J. 240

83.14 Fordham J. Corp. & Fin. L. 709
Fordham Journal of Corporate and Financial Law 2009 Articles RESPONDING TO THE SUBPRIME MESS: THE NEW REGULATORY LANDSCAPE David Schmudde

84.87 Wash. U. L. Rev. 211
Washington University Law Review 2009 Article REGULATING COMPLEXITY IN FINANCIAL MARKETS Steven L. Schwarcz

85.2009 Wis. L. Rev. 351

86.40 Ariz. St. L.J. 1241

87.42 Creighton L. Rev. 29
Creighton Law Review December, 2008 Article SEcurities linked to the PERFORMANCE OF TIGER WOODS? Not SUCH a LONG SHOT Michael C. Macchiarola

88.87 N.C. L. Rev. 83
North Carolina Law Review December, 2008 Articles SOVEREIGNS AS SHAREHOLDERS Paul Rose

89.33 J. Corp. L. 941
Journal of Corporation Law Summer 2008 Article FREE WRITING Steve Thel

90.29 Cardozo L. Rev. 2583
Cardozo Law Review May, 2008 Articles AGAINST FREEDOM OF COMMERCIAL EXPRESSION Tamara R. Piety

91.27 Rev. Banking & Fin. L. 597
Review of Banking and Financial Law Spring, 2008 Note EYES WIDE SHUT: EXCHANGE TRADED FUNDS, INDEX ARBITRAGE, AND THE NEED FOR CHANGE Thor McLaughlin

92.39 Rutgers L.J. 627

93.11 N.Y.U. J. Legis. & Pub. Pol'y 251

94.2008 Utah L. Rev. 1019

95.14-WTR PIABA B.J. 3
PIABA Bar Journal Winter 2007 Feature and Column ENFORCEMENT ACTIONS AGAINST HEDGE FUNDS Ralph S. Janvey

96.82 N.Y.U. L. Rev. 1210

97.9 Transactions: Tenn. J. Bus. L. 99

98.60 Vand. L. Rev. 1411
Vanderbilt Law Review October, 2007 Article A PRESCRIPTION TO RETIRE THE
RHETORIC OF “PRINCIPLES-BASED SYSTEMS” IN CORPORATE LAW, SECURITIES
REGULATION, AND ACCOUNTING Lawrence A. Cunningham

99.35 Hofstra L. Rev. 1865

Hofstra Law Review Summer 2007 Thirty-Fifth Anniversary Volume Note SMALL CAP
COMPANIES AND THE DIAMOND IN THE ROUGH THEORY: DISPELLING THE IPO
MYTH AND FOLLOWING THE REGULATION A AND REVERSE MERGER EXAMPLES
Gariel Nahoum

100. 9 U. Pa. J. Lab. & Emp. L. 831

University of Pennsylvania Journal of Labor and Employment Law Summer 2007
Articles TO DISCLOSE OR NOT TO DISCLOSE? THAT IS THE QUESTION FOR THE
CORPORATE FIDUCIARY WHO IS ALSO A PENSION PLAN FIDUCIARY UNDER ERISA:
RESOLVING THE CONFLICT OF DUTY Shelby D. Green

101. 155 U. Pa. L. Rev. 1187

University of Pennsylvania Law Review May, 2007 Articles IPO LIABILITY AND
ENTREPRENEURIAL RESPONSE James C. Spindler

102. 82 Notre Dame L. Rev. 1343

Notre Dame Law Review April, 2007 Article PREDICTION MARKETS FOR CORPORATE
GOVERNANCE Michael Abramowicz M. Todd Henderson

103. 39 Conn. L. Rev. 1097

SCIENTER OF AUDITORS UNDER THE PSLRA Gideon Mark

104. 34 Pepp. L. Rev. 927

Pepperdine Law Review 2007 Article WHO SHOULD DO THE MATH? MATERIALITY
ISSUES IN DISCLOSURES THAT REQUIRE INVESTORS TO CALCULATE THE BOTTOM
LINE Stefan J. Padfield

105. 10 Yale Hum. Rts. & Dev. L.J. 88

Yale Human Rights and Development Law Journal 2007 Article LIABILITY OF
SECONDARY ACTORS UNDER THE ALIEN TORT STATUTE: AIDING AND ABETTING
AND ACQUIESCENCE TO TORTURE IN THE CONTEXT OF THE FEMICIDES OF CIUDAD
JUÁREZ William Paul Simmons

106. 29 Suffolk Transnat’l L. Rev. 207

Suffolk Transnational Law Review Summer 2006 Lead Articles VOLATILITY OF
CHINA’S SECURITIES MARKETS AND CORPORATE GOVERNANCE Yuwa Wei


Harvard Journal of Law & Public Policy Spring, 2006 Article THE CONSERVATIVE
INFLUENCE OF THE FEDERALIST SOCIETY ON THE HARVARD LAW SCHOOL STUDENT
BODY George W. Hicks, Jr.

108. 39 J. Marshall L. Rev. 637

John Marshall Law Review Spring, 2006 Article SHOULD THE SECURITIES EXCHANGE
ACT BE THE SOLE FEDERAL REMEDY FOR AN ERISA FIDUCIARY
MISREPRESENTATION OF THE VALUE OF PUBLIC EMPLOYER STOCK? Mark Casciari,
Ian Morrison

109. 39 J. Marshall L. Rev. 667

John Marshall Law Review Spring, 2006 Article STANDARDS OF PRACTICE FOR
PENSION PRACTITIONERS David Pratt

110. 25 J.L. & Com. 509

Journal of Law and Commerce Spring, 2006 Article INVESTOR PROTECTION AND
CIVIL LIABILITIES FOR DEFECTIVE PROSPECTUSES: BANGLADESHI LAWS
COMPARED WITH THEIR EQUIVALENTS IN INDIA AND MALAYSIA S.M. Solaiman

111. 55 Am. U. L. Rev. 621

American University Law Review February 2006 Article RECRAFTING THE
JURISDICTIONAL FRAMEWORK FOR PRIVATE RIGHTS OF ACTION UNDER THE
FEDERAL SECURITIES LAWS Jeffrey T. Cook

112. 33 N. Ky. L. Rev. 153

Northern Kentucky Law Review 2006 General Law Issue Note DURA
PHARMA CEUTICALS, INC. v. BROUDO: EXTRACTIONS TEETH FROM SECURITIES
REGULATION Christopher J. Dutton
113. **37 Ariz. St. L.J. 861**

114. **83 Neb. L. Rev. 979**

115. **32 Pepp. L. Rev. 671**
Pepperdine Law Review 2005 Comment IT'S PAYBACK TIME, OR IS IT?: AN ARGUMENT TO APPLY UNIVERSAL HEIGHTENED STANDARDS TO ALL EMPLOYEE STOCK-BASED INDIVIDUAL ACCOUNT PROGRAMS IN THE POST-ENRON ERA AND WHY SARBANES-OXLEY'S PREVENTIVE MEASURES DO NOT ADEQUATELY PROTECT EMPLOYEE INVESTOR INTERESTS Sarah Y. Rifaat

116. **35 Seton Hall L. Rev. 1029**
Seton Hall Law Review 2005 Article WHO PAYS THE AUDITOR CALLS THE TUNE?: AUDITING REGULATION AND CLIENTS' INCENTIVES Amy Shapiro

117. **25 N. Ill. U. L. Rev. 125**

118. **78 St. John's L. Rev. 1193**
Saint John's Law Review Fall 2004 Notes REMOVAL OF SECURITIES ACT OF 1933 CLAIMS AFTER SLUSA: WHAT CONGRESS CHANGED, AND WHAT IT LEFT ALONE Jordan A. Costa

119. **73 U. Cin. L. Rev. 95**
University of Cincinnati Law Review Fall, 2004 The Seventeenth Annual Corporate Law Symposium: Rethinking Private Securities Litigation RETHINKING PRIVATE SECURITIES LITIGATION Joel Seligman

120. **109 Penn St. L. Rev. 105**
Penn State Law Review Summer 2004 Articles BEGUILING HERESY: REGULATING THE FRANCHISE RELATIONSHIP Paul Steinberg Gerald Lescatre

121. **94 Trademark Rep. 585**

122. **40 Tex. J. Bus. L. 107**

123. **11 U. Balt. J. Envtl. L. 151**
University of Baltimore Journal of Environmental Law Spring 2004 Article NON-FINANCIAL CORPORATE PERFORMANCE: THE MATERIAL EDGES OF SOCIAL AND ENVIRONMENTAL DISCLOSURE David Monsma, Esq. John Buckley, Esq

124. **72 U. Cin. L. Rev. 1043**
University of Cincinnati Law Review Spring, 2004 Comment and Casenote JUDICIAL ACTION IN RETROGRADE: THE CASE FOR APPLYING SECTION 804 OF THE SARBANES-OXLEY ACT TO ALL FRAUD ACTIONS UNDER THE SECURITIES LAWS Erica Gann

125. **36 Conn. L. Rev. 385**
Connecticut Law Review Winter, 2004 Article I BELIEVED MY EMPLOYER AND DIDN'T SELL MY COMPANY STOCK: IS THERE AN ERISA (OR ’34 ACT) REMEDY FOR ME? Susan J. Stabile

126. **92 Ky. L.J. 1**
Kentucky Law Journal 2003-2004 Article PENSION REFORM IN THE AFTERMATH OF ENRON: CONGRESS' FAILURE TO DELIVER THE PROMISE OF SECURE RETIREMENT TO 401(K) PLAN PARTICIPANTS Janice Kay Lawrence
127. 34 Seton Hall L. Rev. 775
Seton Hall Law Review 2004 Article IMPLIED PRIVATE ACTIONS UNDER SARBANES-OXLEY Lewis D. Lowenfels, Alan R. Bromberg

128. 37 Suffolk U. L. Rev. 79
Suffolk University Law Review 2004 Note THE SARBANES-OXLEY ACT LEAP OF FAITH: WHY INVESTORS SHOULD TRUST CORPORATE EXECUTIVES AND ACCOUNTANTS Alyson M. Bagley

129. 49 Vill. L. Rev. 725

130. 30 Wm. Mitchell L. Rev. 1279

131. 77 St. John's L. Rev. 919
Saint John's Law Review Fall 2003 Symposium: The Intersection of Race, Corporate Law, and Economic Development THE DUTY TO MONITOR: EMERGING OBLIGATIONS OF OUTSIDE LAWYERS AND AUDITORS TO DETECT AND REPORT CORPORATE WRONGDOING BEYOND THE FEDERAL SECURITIES LAWS Larry Catà Backer

132. 52 Emory L.J. 1325

133. 103 Colum. L. Rev. 1293

134. 12 Pac. Rim L. & Pol'y J. 781

135. 16 Colum. J. Asian L. 303

136. 35 Conn. L. Rev. 915
Connecticut Law Review Spring, 2003 Symposium: Crisis in Confidence: Corporate Governance and Professional Ethics Post-Enron Sponsored by Wiggin & Dana THE SARBANES-OXLEY YAWN: HEAVY RHETORIC, LIGHT REFORM (AND IT JUST MIGHT WORK) Lawrence A. Cunningham

137. 52 Duke L.J. 841

138. 88 Iowa L. Rev. 539
Iowa Law Review March, 2003 Articles ALIGNING INCENTIVES WITH EQUITY: EMPLOYEE STOCK OPTIONS AND RULE 10B-5 Matthew T. Bodie

139. 36 Vand. J. Transnat'l L. 377
Vanderbilt Journal of Transnational Law March, 2003 Corporate Governance and Sustainable Peace Articles ADAPTING CORPORATE GOVERNANCE FOR SUSTAINABLE PEACE Timothy L. Fort Cindy A. Schipani

140. 22 Ann. Rev. Banking & Fin. L. 265
141. **28 Del. J. Corp. L. 447**

142. **7 Employee Rts. & Emp. Pol'y J. 213**

143. **34 St. Mary's L.J. 915**
Saint Mary's Law Journal 2003 The Second Annual Symposium on Legal Malpractice & Professional Responsibility Articles THE LIABILITY OF LAWYERS FOR FRAUD UNDER THE FEDERAL AND STATE SECURITIES LAWS Kathy Patrick

144. **102 Colum. L. Rev. 1757**

145. **55 Rutgers L. Rev. 1**
Rutgers Law Review Fall 2002 Articles FORM OVER SUBSTANCE?: OFFICER CERTIFICATION AND THE PROMISE OF ENHANCED PERSONAL ACCOUNTABILITY UNDER THE SARBANES-OXLEY ACT Lisa M. Fairfax

146. **38-FALL Tex. J. Bus. L. 32**
Texas Journal of Business Law Fall, 2002 THE ENRON AFTERMATH: EVALUATING AN EMPLOYER'S AFFIRMATIVE DUTY TO DISCLOSE BUSINESS INFORMATION TO 401(K) PLAN PARTICIPANTS HOLDING COMPANY STOCK Kimberly A. Butlak

147. **2 Wyo. L. Rev. 345**
Wyoming Law Review 2002 General Law Division Article AN OVERVIEW OF WYOMING SECURITIES LAW Gay George

148. **80 Or. L. Rev. 1301**

149. **53 Fla. L. Rev. 529**

150. **29 Hofstra L. Rev. 1015**

151. **6 Stan. J.L. Bus. & Fin. 153**

152. **9 U.S.-Mex. L.J. 127**

153. **7 Fordham J. Corp. & Fin. L. 21**
Fordham Journal of Corporate and Financial Law 2001 Article THE HOT IPO PHENOMENON AND THE GREAT INTERNET BUST Andres Rueda

154. **6 Fordham J. Corp. & Fin. L. 155**

155. **80 Neb. L. Rev. 920**
Nebraska Law Review 2001 Article SECURITIES FRAUD IN CYBERSPACE: REACHING THE OUTER LIMITS OF THE FEDERAL SECURITIES LAWS Constance Z. Wagner
156. **26 Seton Hall Legis. J. 119**

157. **2001 Wis. L. Rev. 695**

158. **95 Nw. U. L. Rev. 361**

159. **68 Fordham L. Rev. 1781**
Fordham Law Review April, 2000 Symposium Ethics in Criminal Advocacy Note A WINNING APPROACH TO LOSS CAUSATION UNDER RULE 10B-5 IN LIGHT OF THE PRIVATE SECURITIES LITIGATION REFORM ACT OF 1995 (“PSLRA”) David S. Escoffery

160. **36 Gonz. L. Rev. 315**

161. **10 Seton Hall J. Sport L. 139**

162. **30 Seton Hall L. Rev. 1279**

163. **J. Small & Emerging Bus. L. 315**

164. **38 Rev. Der. P.R. 565**
Revista de Derecho Puertorriqueño May-December, 1999 Desarrollos Recientes PEOPLE’S CAPITALISM: DIRECT OFFERINGS OF SECURITIES ON THE INTERNET Eugenio J. Huot

165. **99 Colum. L. Rev. 1701**

166. **79 B.U. L. Rev. 807**
Boston University Law Review October, 1999 Articles CONFUSED JURISPRUDENCE: FALSE ADVERTISING UNDER THE LANHAM ACT Jean Wegman Burns

167. **77 Wash. U. L.Q. 619**
Washington University Law Quarterly Fall 1999 Article THE SISKEL AND EBERT OF FINANCIAL MARKETS?: TWO THUMBS DOWN FOR THE CREDIT RATING AGENCIES FRANK PARTNOY


169. **99 Colum. L. Rev. 795**
Columbia Law Review April, 1999 Note FASHIONING A VICTIM STANDARD IN MAIL AND WIRE FRAUD: ORDINARILY PRUDENT PERSON OR MONUMENTALLY CREDULOUS GULL? Mark Zingale

170. **22 Hamline L. Rev. 797**
<table>
<thead>
<tr>
<th>Page</th>
<th>Reference</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>171.</td>
<td>112 Harv. L. Rev. 1197</td>
<td>Harvard Law Review April, 1999 Article THE SECURITIES AND EXCHANGE COMMISSION AND CORPORATE SOCIAL TRANSPARENCY Cynthia A. Williams</td>
</tr>
<tr>
<td>173.</td>
<td>40 Wm. &amp; Mary L. Rev. 1055</td>
<td>William and Mary Law Review April, 1999 ARBITRATION AND REFORM IN PRIVATE SECURITIES LITIGATION: DEALING WITH THE MERITORIOUS AS WELL AS THE FRIVOLOUS Steven A. Ramirez</td>
</tr>
<tr>
<td>174.</td>
<td>29 Hong Kong L. J. 294</td>
<td>Hong Kong Law Journal 1999 Chinese Law Tax Benefits Enjoyed by H Share Companies: A Legal Analysis Jenny S C Chung</td>
</tr>
<tr>
<td>181.</td>
<td>107 Yale L.J. 2359</td>
<td>Yale Law Journal June, 1998 Article EMPOWERING INVESTORS: A MARKET APPROACH TO SECURITIES REGULATION Roberta Romano</td>
</tr>
</tbody>
</table>
| 184. | 50 Stan. L. Rev. 273 | Stanford Law Review January, 1998 Legislative Foreword FRAUD AND FEDERALISM:
<table>
<thead>
<tr>
<th>Citation</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>186</td>
<td>107 Yale L.J. 715</td>
</tr>
<tr>
<td>187</td>
<td>42 McGill L.J. 603</td>
</tr>
<tr>
<td>188</td>
<td>22 J. Corp. L. 661</td>
</tr>
<tr>
<td></td>
<td>Journal of Corporation Law Summer, 1997 SAFE HARBORS: HISTORICAL AND CURRENT APPROACHES TO FUTURE FORECASTING Jeanne Calderon Rachel Kowal</td>
</tr>
<tr>
<td>189</td>
<td>65 Fordham L. Rev. 1987</td>
</tr>
<tr>
<td></td>
<td>Fordham Law Review April, 1997 FINANCIAL REPORTING AND RISK MANAGEMENT IN THE 21ST CENTURY Richard I. Miller Michael R. Young</td>
</tr>
<tr>
<td>190</td>
<td>34 Hous. L. Rev. 121</td>
</tr>
<tr>
<td></td>
<td>Houston Law Review Spring 1997 Commentary ON SCIENTER, KNOWLEDGE, AND RECKLESSNESS UNDER THE FEDERAL SECURITIES LAWS William H. Kuehnle</td>
</tr>
<tr>
<td>191</td>
<td>50 SMU L. Rev. 663</td>
</tr>
<tr>
<td>192</td>
<td>50 SMU L. Rev. 777</td>
</tr>
<tr>
<td>193</td>
<td>51 U. Miami L. Rev. 823</td>
</tr>
<tr>
<td></td>
<td>University of Miami Law Review April, 1997 Merger and Acquisition Symposium Sponsored by a grant from the Dr. M. Lee Pearce Foundation TOWARD A COHESIVE INTERNATIONAL APPROACH TO CROSS-BORDER TAKEOVER REGULATION Edward F. GreeneAndrew CurranDavid A. Christman</td>
</tr>
<tr>
<td>194</td>
<td>75 N.C. L. Rev. 691</td>
</tr>
<tr>
<td></td>
<td>North Carolina Law Review March, 1997 LOCATING THAT &quot;INDISTINCT&quot; AND &quot;VIRTUALLY NONEXISTENT&quot; LINE BETWEEN PRIMARY AND SECONDARY LIABILITY UNDER SECTION 10(B) Robert A. Prentice</td>
</tr>
<tr>
<td>195</td>
<td>34 Am. Crim. L. Rev. 983</td>
</tr>
<tr>
<td></td>
<td>American Criminal Law Review Winter, 1997 SECURITIES FRAUD Jennifer D. AntoliniAngela DingerAvery KotlerLester MyersValerie SimonsJordan Young</td>
</tr>
<tr>
<td>196</td>
<td>22 J. Corp. L. 257</td>
</tr>
<tr>
<td></td>
<td>Journal of Corporation Law Winter 1997 THE REGULATION OF RESPONSIBLY MUTUAL FUNDS George Djurasovic</td>
</tr>
<tr>
<td>197</td>
<td>24 Pepp. L. Rev. 563</td>
</tr>
<tr>
<td></td>
<td>Pepperdine Law Review January 1997 Comment DEATH IN ONE ACT: THE CASE FOR COMPANY REGISTRATION Michael Mcdonough</td>
</tr>
<tr>
<td>198</td>
<td>65 U. Cin. L. Rev. 473</td>
</tr>
<tr>
<td>199</td>
<td>1997 Utah L. Rev. 101</td>
</tr>
<tr>
<td>200</td>
<td>49 Okla. L. Rev. 573</td>
</tr>
<tr>
<td>201</td>
<td>45 U. Kan. L. Rev. 113</td>
</tr>
<tr>
<td></td>
<td>University of Kansas Law Review November, 1996 THE CLASS ACTION TOOL IN OILFIELD LITIGATION John Burritt McArthur</td>
</tr>
<tr>
<td>202</td>
<td>38 Ariz. L. Rev. 519</td>
</tr>
</tbody>
</table>
Fundamental Issue Participant JUST DESERTS FOR ACCOUNTANTS AND ATTORNEYS AFTER BANK OF DENVER James D. Cox

**203. 38 Ariz. L. Rev. 717**

**204. 57 Ohio St. L.J. 731**

**205. 1996 Wis. L. Rev. 217**

**206. 55 La. L. Rev. 1009**
Louisiana Law Review May, 1995 Note CENTRAL BANK OF DENVER V. FIRST INTERSTATE BANK OF DENVER: RETHINKING ESTABLISHED SECTION 10(B) DOCTRINES John Kalmbach

**207. 56 Ohio St. L.J. 555**
Ohio State Law Journal 1995 TURNING POINT FOR RULE 10B-5: WILL CONGRESSIONAL REFORMS PROTECT SMALL CORPORATIONS Curt Cutting

**208. 20 Del. J. Corp. L. 341**
Delaware Journal of Corporate Law 1995 Unreported Cases GLOSSER v. CELLCOR INC

**209. 16 Cardozo L. Rev. 537**

**210. 35 S. Tex. L. Rev. 753**
South Texas Law Review October, 1994 Case Note CORPORATE LAW -- SECURITIES FRAUD -- IMPACT OF IN RE TIME WARNER ON CORPORATE INFORMATION MANAGEMENT: HYPING ONE BUSINESS STRATEGY MAY GIVE RISE TO A DUTY TO DISCLOSE AN ALTERNATE STRATEGY UNDER RULE 10 B-5 Melina Cain

**211. 26 Ariz. St. L.J. 293**
Arizona State Law Journal Spring, 1994 Legislative Reviews RICO LITIGATION; DAMAGES Jennifer B. Wuamett

**212. 46 Rutgers L. Rev. 1211**

**213. 68 St. John's L. Rev. 427**

**214. 62 U. Cin. L. Rev. 1439**
University of Cincinnati Law Review Spring, 1994 STRUCTURE AND STRUCTURALISM IN THE INTERPRETATION OF STATUTES Maxwell O. Chibundu

**215. 72 Wash. U. L.Q. 287**
Washington University Law Quarterly Spring, 1994 A LITTLE "RIGHT" MUSICK: THE UNCONSTITUTIONAL JUDICIAL CREATION OF PRIVATE RIGHTS OF ACTION UNDER SECTION 10(b) OF THE SECURITIES EXCHANGE ACT Michael J. Kaufman

**216. 2 Fla. Tax Rev. 149**
Florida Tax Review 1994 TAX ASPECTS OF REMIC RESIDUAL INTERESTS Kirk Van Brunt
217. 81 Cal. L. Rev. 1587
California Law Review December, 1993 Comment DEN OF INEQUITY: THE CASE FOR EQUITABLE DOCTRINES IN RULE 10B-5 CASES Christopher R. Leslie

218. 2 Wm. & Mary Bill Rts. J. 305
William & Mary Bill of Rights Journal Winter, 1993 LIMITATIONS ON CORPORATE SPEECH: PROTECTION FOR SHAREHOLDERS OR ABRIDGMENT OF EXPRESSION? Alan J. Meese

219. 63 Miss. L.J. 129
Mississippi Law Journal Fall, 1993 FINANCING A SMALL BUSINESS IN MISSISSIPPI: A PRACTITIONER'S GUIDE TO FEDERAL AND STATE SECURITIES EXEMPTIONS PART I Bryn Vaaler

220. 6 Transnat'l Law. 81
Transnational Lawyer Spring, 1993 THE RUSSIAN FEDERATION LAW ON REGULATION OF THE SECURITIES MARKETS Karl William Viehe Richard P. Bernard Allan Roth Yan Melkumov

221. 6 Transnat'l Law. 181
Transnational Lawyer Spring, 1993 Practitioner's Perspective EXPLORING AMERICAN DEPOSITORY RECEIPTS: THE INTERNATIONAL AUGMENTATION OF U.S. SECURITIES MARKETS Douglas B. Spoors

222. 17 Seton Hall Legis. J. 91
Seton Hall Legislative Journal 1993 AUDITOR WHISTLE BLOWING: THE FINANCIAL FRAUD DETECTION AND DISCLOSURE ACT Allison Dabbs Garrett

223. 25 Tex. Tech L. Rev. 31

224. 80 Cal. L. Rev. 1543
California Law Review December, 1992 Comment FAIRNESS AND EFFICIENCY: ALLOWING CONTRIBUTION UNDER ERISA Elizabeth A. Di Cola

225. 55-AUT Law & Contemp. Probs. 399

226. 34 Wm. & Mary L. Rev. 189
William and Mary Law Review Fall, 1992 Note THE EMPLOYEE AS INVESTOR: THE CASE FOR UNIVERSAL APPLICATION OF THE FEDERAL SECURITIES LAWS TO EMPLOYEE STOCK OWNERSHIP PLANS Sean S. Hogle

227. 67 Wash. L. Rev. 257
Washington Law Review April, 1992 EQUITY RENEWED: PRELIMINARY INJUNCTIONS TO SECURE POTENTIAL MONEY JUDGMENTS Rhonda Wasserman

228. 41 Wash. U. J. Urb. & Contemp. L. 193


230. 70 Tex. L. Rev. 347

231. 1991 Colum.Bus.L.Rev. 287
<table>
<thead>
<tr>
<th>Title</th>
<th>Volume/Citation</th>
<th>Journal/Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>PRESCRIBED PURPOSE OF PROTECTING INVESTORS FROM PYRAMID SCHEMES?</td>
<td></td>
<td>Rhonda Bundy</td>
</tr>
<tr>
<td>ACTION FOR INSIDER TRADING UNDER THE FEDERAL SECURITIES LAWS</td>
<td></td>
<td>Peter J. Henning</td>
</tr>
<tr>
<td>BETWEEN CHIARELLA AND CONGRESS: A GUIDE TO THE PRIVATE CAUSE OF ACTION FOR INSIDER TRADING UNDER THE FEDERAL SECURITIES LAWS</td>
<td></td>
<td>Ray R. Singh</td>
</tr>
<tr>
<td>PRESCRIBED PURPOSE OF PROTECTING INVESTORS FROM PYRAMID SCHEMES?</td>
<td></td>
<td>G. Robert Blakey Thomas A. Perry</td>
</tr>
<tr>
<td>THE LEGAL DIMENSIONS OF PRIVATE INCARCERATION</td>
<td>38 Am. U. L. Rev. 531</td>
<td>American University Law Review April 1, 1989</td>
</tr>
<tr>
<td>RULES AFTER HOWLING CO. v. NATIONALWIDE CORP.</td>
<td></td>
<td>Ndiva Kofele-Kale</td>
</tr>
<tr>
<td>12 OF THE SECURITIES ACT OF 1933 W. Clark Goodwin</td>
<td></td>
<td></td>
</tr>
<tr>
<td>RECOMMENDATIONS</td>
<td></td>
<td>Jerry W. Markham Rita McCloy Stephanz</td>
</tr>
<tr>
<td>MORE DISCLOSURE MEAN LESS LIABILITY? DOES ACKNOWLEDGMENT OF</td>
<td></td>
<td>Marianne M. Jennings Philip M.J. Reckers Daniel C. Kneer</td>
</tr>
<tr>
<td>NON-DISCLOSURE ALLEVIATE LIABILITY?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>JURISDICTION OVER BAD CONDUCT UNDER RULE 10B-5 OF THE SECURITIES</td>
<td></td>
<td>Stephen Boatwright</td>
</tr>
<tr>
<td>EXCHANGE ACT OF 1934</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DELAWARE'S NEW SECTION 102(B)(7): BOON OR BANE FOR CORPORATE</td>
<td>37 DePaul L. Rev. 411</td>
<td>DePaul Law Review Spring, 1988 Comment</td>
</tr>
<tr>
<td>DIRECTORS?</td>
<td></td>
<td>DELAWARE'S NEW SECTION 102(B)(7): BOON OR BANE FOR CORPORATE DIRECTORS?</td>
</tr>
<tr>
<td>DIRECTORS' DUTIES IN MANAGEMENT BUYOUTS AND LEVERAGED RECAPITALIZATION</td>
<td>49 Ohio St. L.J. 517</td>
<td>Ohio State Law Journal 1988 Symposium: Current Issues In Securities Regulation</td>
</tr>
<tr>
<td>DEBORA A. DEMOTT</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TURNING THE TABLES: INVESTOR LIABILITY UNDER RULE 10B-5</td>
<td>17 Stetson L. Rev. 197</td>
<td>Stetson Law Review Fall, 1987 Note</td>
</tr>
</tbody>
</table>

Page 87 of 89
263. **80 Colum. L. Rev. 782**
Columbia Law Review May, 1980 Note REGULATING GOING PRIVATE TRANSACTIONS: SEC RULE 13E-3 Harold N. Iselin

264. **93 Harv. L. Rev. 322**

265. **127 U. Pa. L. Rev. 316**

266. **78 Colum. L. Rev. 1471**

267. **76 Colum. L. Rev. 1205**

268. **83 Yale L. J. 663**

269. **121 U. Pa. L. Rev. 798**

270. **121 U. Pa. L. Rev. 254**
University of Pennsylvania Law Review December, 1972 Article NITS, GRITS, AND SOFT INFORMATION IN SEC FILINGS Carl W. Schneider

271. **71 Colum. L. Rev. 118**

272. **115 U. Pa. L. Rev. 317**

273. **56 Colum. L. Rev. 1018**
Columbia Law Review November, 1956 Note THE REGULATION OF ADVERTISING

274. **69 Harv. L. Rev. 1369**

275. **48 Yale L. J. 533**

276. **43 Yale L. J. 171**