

Publications and Presentations

- Quoted in “How to Handle Questions About Cryptocurrency From Your Customers,” *Banking Strategies* (Feb 2, 2018)
- *Lucia and the (Un)Constitutionality of SEC Judges* (invited Law360 Oct. 2017)
- *Pay-to-Play Rules Here to Stay: 6th Circuit Rejects Latest Challenge* (invited Law360 July 2017)
- *Hype Surrounds Trump’s Financial Regulation Orders* (Law360 Feb. 9, 2017)
- *SEC Exam Priorities for 2017 Likely Will Remain Despite Administration Change* (Corporate Counsel, Jan. 13, 2017)
- *SEC Cracks Down on Whistleblower Restrictions* (Nashville Bus. J., Jan. 4, 2017)
- Quoted, *Securities Lawyers Won’t ‘Rush to Judgment’ on Trump’s Next SEC Moves*, Corporate Counsel (Nov. 9, 2016)
- Quoted, “*In Whom We Trust*,” Comstock Magazine (Oct. 25, 2016)
- Quoted, *The SEC’s Hearing on In-House Judges: Five Things to Watch*, Corporate Counsel (July 12, 2016)
- T. Potter, *DOL’s New Fiduciary Conflicts of Interest Rules*, NSCP Currents (June 2016)
- Quoted, *Price of Admission*, Law360 (June 11, 2016)
- T. Potter, *Time to Stop the End-Arounds in Muni Market Regulation*, Law360 (May 4, 2016)
- Quoted, *SCOTUS Declines to Review SEC In-House Courts – For Now*, Corporate Counsel (Apr. 28, 2016)
- Quoted, *Mark Cuban Continues Legal Fight Against SEC*, Corporate Counsel (Mar. 11, 2016)
- JD Supra *Readers’ Choice Awards* (2016)(re: Dodd Frank issues).
- T. Potter, *FINCEN Awakens: Re-Proposes Investment-Adviser AML Rule*, Wall Street Lawyer, vol. 20, no. 2 (Feb. 2016)
- T. Potter, *DOJ Focuses on Individuals in Corporate Wrongdoing*, Birmingham Medical News at 14 (Feb. 2016)
- Quoted, *FINRA’s pay-to-play rules could hit around election time*, IA Watch (Jan. 21, 2016)
- T. Potter, “*SEC’s Home Court Loss Undermines DOJ’s Newman Argument*,” Law360 (Sept. 17, 2015)
- Interviewed, “*FINRA Exam Gives Handy Map to Spot Conflicts in Broker Pay*,” Law360 (Aug. 24, 2015)
- Interviewed, *The Compliance Officer Sanctions Debate Heats Up*, Law 360 (Aug. 18, 2015)
- Interviewed, *Is the SEC Being Too Tough on Compliance Officers?* Corporate Counsel (Aug. 11, 2015), Law.com (Aug. 14, 2015)
- Interviewed, *Three Noteworthy Trends at the SEC*, Corporate Counsel (July 30, 2015)
- Interviewed, *Is the SEC Being Fair?* Inside Counsel (July 23, 2015)
<http://www.insidecounsel.com/2015/07/23/is-the-sec-being-fair>
- Speaker, *Supreme Court and SEC Enforcement Developments*, Atlanta Chapter, Nat’l Ass’n of Stock Plan Professionals (June 11, 2015)
- Quoted, “*Halted SEC Case to Spark More In-House Court Challenges*,” Law360 (June 9, 2015)

- T. Potter, *Director's & Officer's Liability in Tennessee*, Tennessee Business Law Conference (TN Att'y Memo / M. Lee Smith May 15, 2015)
- T. Potter & C. Charles, *Regulation of Municipal Advisors: 2014 Developments*, 8 Practical Compliance & Risk Management No. 2 at 35 (Wolters Kluwer March-April 2015)
- T. Potter & M. Lunsford, *Coquina Investments v. T.D. Bank N.A.*: Examining Non-Party's Invocation of the Fifth Amendment, *SIDEBAR* (Fed'l Bar Ass'n, Jan. 28, 2015).
- Quoted, *Regulators bare their teeth on excessive fees*, Investment News (Jan. 23, 2015)
- Quoted, *Stepped up AML enforcement points to need to implement critical best practices*, IA Watch (Jan. 12, 2015).
- T. Potter, *SEC Enforcement: 2014 Review & 2015 Outlook* (Law 360 Dec. 15, 2014)
<http://www.law360.com/articles/600778/sec-enforcement-2014-review-and-2015-outlook>
- Quoted, *CFTC Pulls Back From Federal Trials*, Wall St. J. at C1 (Nov. 10, 2014)
- Quoted, *Motion schedule set in New York investment adviser's suit against SEC*, 20 Westlaw J. Sec. Litig. & Reg. 13 (Oct. 30, 2014)
- Quoted, *What the SEC's enforcement numbers really tell us*, Investment News (Oct. 22, 2014)
- Speaker, *Municipal Advisor Rules*, National Meeting, National Society of Compliance Professionals (Washington, D.C. Oct. 22, 2014)
- T. Potter, *"A Renewed Fight Over SEC's Admin Forum Constitutionality"*, (Law 360 Oct. 9, 2014)
<http://www.law360.com/articles/585756/a-renewed-fight-over-sec-s-admin-forum-constitutionality>
- T. Potter, *Scottrade: Diluting SEC Enforcement's 'Admissions Policy'*, (Law 360 June 2, 2014)
<http://www.law360.com/articles/540040/scottrade-diluting-sec-enforcement-s-admission-policy>
- Quoted, *Brokers find it harder to wipe slate clean*, (Investment News, May 16, 2014)
- Quoted, *Stifel Nicolaus to pay 'defamed' trader more than \$2.7 million: panel* (Reuters May 12, 2014; MSN Money, May 12, 2014)
- T. Potter & M. Lunsford, *What You Don't Say Can Be Used Against You: Assessing the Fifth Amendment's Role in Qui Tam Litigation*, ABA TIPS Health & Disability Law Newsletter (Mar. 2014)
- Speaker, *Mock Arbitration*, National Meeting, National Society of Compliance Professionals (Washington, D.C. Oct. 23, 2013)
- Moderator, *SEC OCIE In-Reach* (Nashville, TN June 19, 2013)
- Speaker, *Ethics for Investment Advisors and Funds*, Southern Regional Meeting, National Society of Compliance Professionals (Atlanta, GA Mar. 12, 2013)
- Speaker, *The New Suitability Rules: Three Months Later*, National Meeting, National Society of Compliance Professionals (Washington, D.C. Oct. 23, 2012)
- Interviewed, *"Compliance Risk gives Wall Street Headaches"*, Markets Media (Sept. 12, 2012)
- T. Potter and E. Dennis, *"The Ins and Outs of FINRA Suitability Rule 2111"*, BankingLaw 360, SecuritiesLaw 360 (Law360, July 25, 2012)
- Interviewed, *COMPLY - New FINRA rule seen as weakening brokerage defenses*, Reuters (July 11, 2012)
- T. Potter and M. Vyas, *FINRA 2012 Exam Priorities: Compliance, supervisory and ethics reminder in advance of new rules becoming effective July 9*, Thomson Reuters (June 12, 2012).

- T. Potter and B. Coulter, *"Hurry Up and Wait: Municipal Advisor Registration,"* Thomson Reuters (April 19, 2012).
- T. Potter and K. Heisterhagen, *"Arbitration Vacatur: Circuits Split Over Whether Manifest Disregard Survived Hall Street,"* Thomson Reuters (April 11, 2012).
- Speaker, *New Broker-Dealer Suitability Rules*, West & National Society of Compliance Professionals Webinar (Mar. 22, 2012).
- Speaker, *Broker-Dealer Regulatory Exams*, Southern Regional Meeting, National Society of Compliance Professionals (Dallas, TX, Feb. 27, 2012).
- Interviewed, *"How lies and legal problems snowball,"* Reuters (Feb. 22, 2012) (regarding brokers' Form U-4 disclosures)
- T. Potter and B. Coulter, *Hurry Up and Wait: Municipal Advisor Registration*, NSCP Currents at 14 (Jan./Feb. 2012).
- Speaker, *Overview: 2010-2011 FINRA and MSRB Notices*, National Meeting, National Society of Compliance Professionals (Baltimore, MD, Oct. 18, 2011)
- Speaker, *Addressing New Issues in Regulatory Examinations (Small Firms)*, National Meeting, National Society of Compliance Professionals (Baltimore, MD, Nov. 2, 2010)
- Interviewed, *"How to Switch Firms... and Not Get Sued,"* and side-bar *"Don't Sweat the Small Stuff,"* Wall St. J. at R9 (Sept. 20, 2010).
- T. Potter, *"The SEC's New IA Pay-to-Play Rule,"* NSCP Currents at 10 (July/August 2010).
- Interviewed, *"Practice Management: Moving Beyond a Firm's Financial Strife,"* WSJ Online (Dow Jones, June 22, 2010).
- Panelist, *"The Ultimate Client Experience,"* Nashville, TN (Legal Marketing Ass'n, May 19, 2010).
- Interviewed, *Breakaway Advisors Ordered to Pay Nearly \$1.9 Mil*, "FA Magazine" (May 11, 2010), "WSJ Online" (Dow Jones, May 10, 2010).
- Interviewed, *"Marty Robbins' heirs sue, say tribute goes too far,"* Nashville Tennessean at B1 (May 8, 2010); *California Chronicle* (May 17, 2010).
- Interviewed, *"Tales from the floodwaters,"* Nashville Bus. J. (May 7, 2010).
- Interviewed, *"Job watch: Hiring expected to rebound at area law firms,"* Nashville Bus. J. (Apr. 30, 2010).
- Speaker, *"New Issues in FINRA, SEC and State Examinations and Enforcement Proceedings,"* Southern Regional Meeting, National Society of Compliance Professionals (Atlanta, GA, Feb. 22, 2010)
- Speaker, *"Pay to Play, or Pay for Playing!"* National Meeting, National Society of Compliance Professionals (Philadelphia, PA, Oct. 5, 2009)
- Speaker, *"RULE 3012 Reviews: What FINRA Is Looking For,"* Southern Regional Meeting, National Society of Compliance Professionals (Atlanta, GA, Feb. 23, 2009)
- Speaker, *"Jury Selection" and "Direct and Cross Examination,"* 2008 MASTERS OF THE COURTROOM, New Orleans Bar Ass'n (New Orleans, LA, Dec. 10, 2008).
- Speaker, *Music Copyright Infringement Litigation*, Vanderbilt Univ. Sports & Entertainment Law Society (Nashville, TN, Nov. 19, 2008).
- Speaker, *"Regulatory Issues for Supervisors - Small Firms,"* National Society of Compliance Professionals, National Conference (Philadelphia, PA, Oct. 20, 2008).

- T. Potter, "What the SEC Learned From the Coast Guard: Red Flags Command Attention, Compel Action," *Practical Compliance & Risk Management For the Securities Industry* at 5 (July-Aug. 2008)
- Interviewed, *MSRB Won't Change Political Payment Rule*, *Compliance Reporter* at 3 (Mar. 10, 2008)
- Interviewed, *MSRB Sticks by Rule G-37 in Wake of SEC Decision on Sisung*, 363 *The Bond Buyer* 4 (Mar. 5, 2008)
- Speaker, "Broker-Dealer Roundtable: Risk Management Processes," National Society of Compliance Professionals, Southern Regional Conference (Atlanta, GA, Feb. 11, 2008)
- Speaker, "E-Discovery: Applying the New FRCP Changes," NBI (Nashville, TN Dec. 3, 2007).
- Speaker, "Supervisory Red Flag Review: Follow-up and Documentation," National Society of Compliance Professionals, National Conference (Washington, DC, Oct. 18, 2007).
- T. Potter and N. Griffith, "'Entwinement' and NASD Enforcement Proceedings: Reexamining NASD's State-Actor Status in the Post-Brentwood Era," 39 *See Reg. L. Rep.* 1111 (BNA, July 16, 2007.)
- Speaker, "BD Focus on CEO Certification - Lessons Learned," Southern Regional Meeting, National Society of Compliance Professionals (Atlanta, GA, Feb. 26, 2007)
- Interviewed, "New York Appeals Case Could Settle Form U-5 Immunity Question," *Broker-Dealer Week* (Feb. 19, 2007).
- Interviewed, "Assessing and Following Up on Risks are Key to Rule 3012 Compliance," *Broker-Dealer Week* (Feb. 12, 2007).
- Speaker, "Marketing Mutual Funds and Fee-Based Brokerage Accounts Safely," National Society of Compliance Professionals, National Conference (Washington, DC, Oct. 20, 2006).
- T. Potter, *Helping the Client Protect What They Have Built*, Understanding IP For Executives 77 (Aspatore 2006).
- Speaker, "Broker-Dealer Red Flags," National Society of Compliance Professionals, Southern Regional Conference (Atlanta, GA, Feb. 13, 2006).
- Speaker, "The Arts, Intellectual Property and the Internet," Arts Council of New Orleans (New Orleans, LA Nov. 13, 2004)
- Speaker, "The Fuss About Funds," Burkenroads Reports Investment Conference (New Orleans, LA, Apr. 22-23, 2004)
- Speaker, "Law of the Internet," National Business Institute (New Orleans, LA, Nov. 21, 2002).
- *The Practical Application of E-Commerce Laws: Privacy*, 2002 Technology Conference and Expo, Baton Rouge, Louisiana 10/23/2002
- *Emerging Issues on Internet Litigation and Securities Litigation in the Fifth Circuit*, Texas Association of Defense Counsel and Louisiana Association of Defense Counsel Joint Commercial Litigation Seminar, San Antonio, Texas, June 28-29, 2002
- *The Practical Application of E-Commerce Laws: Privacy* (PDF), LSU - Paul M. Hebert Law Center, Center of Continuing Professional Development, Baton Rouge, Louisiana, 9/28/2001
- *The Future is Now*, presented at the Sixth Annual Technology Expo & Conference (PDF), Chamber of Greater Baton Rouge Sixth Annual Technology Expo & Conference, Radisson Hotel & Conference Center, Baton Rouge, Louisiana, 9/5/2001
- Speaker, "Law of the Internet," National Business Institute (New Orleans, LA, Feb. 9, 2001).

- Interviewed, “Net Businesses Prepare for Dot-Name Grab,” *New Orleans City Business*, v. 21, iss. 3 at 4 (Dec. 4, 2000)(re: new gTLDs)
- Speaker, “*Legal Issues in E*Commerce*” Armed Forces Communications & Electronics Ass’n - Silicon Bayou Chapter (New Orleans, LA, October 26, 2000)
- *Legal Issues Surrounding Web-Enabled Technologies* presented at the Technology 2000 Conference & Expo (PDF), Radisson Hotel & Conference Center, Baton Rouge, Louisiana 9/13/2000
- *Legal Issues Surrounding Web-Enabled Technologies in Internet Business Solutions & Corporate Security* (PDF), Sponsored by Cisco Systems and CommTech Industries (New Orleans, LA), 5/23/2000
- Speaker/author, “Practical Internet Use for the Louisiana Law Office,” (New Orleans, Oct. 29, 1999).
- Speaker, “Sticky Issues in Arbitration,” 1999 NASD Regulation Spring Securities Conference (May 19-21, 1999).
- Interviewed, “Full Disclosure,” *New Orleans CityBusiness* at 8A (Dec. 28, 1998)(re: Y2K disclosure obligations).
- T. Potter & M. Cunningham, “Litigating Metatag Keyword Infringement Claims,” *The IP Litigator* at 6 (May/June 1998)
- Panelist, “Trade Secret Litigation,” Tulane Inns of Court, January 26, 1998.
- T. Potter, “Activity Reviews: What Do I Look for Anyway?” NSCP Currents (National Society of Compliance Professionals, Aug. 1996).
- Interviewed, *Business Insurance* (July 1996)(re: RICO claims in asbestosis litigation).
- Speaker, “Conducting Internal Investigations,” National Society of Compliance Professionals - Southern Regional Conference (Mar. 1996).
- Interviewed, “Highlights,” 19 RICO L. Rep. 793 (May 1994)(re: effect of Supreme Court’s *Central Bank* decision).
- T. Potter, M. Twomey, Document Retention Programs: Deciding What to Keep, What to Throw Out and When (Nov. 11-13, 1992) (Loyola Univ. Law School Inst. for CLE monograph).
- T. Potter, Business As Usual? An Update on RICO (Dec. 14, 1990) (Loyola Univ. Law School Inst. for CLE monograph).
- T. Potter, Civil RICO After Two Decades (Nov. 2, 1990) (Ala. St. Bar Ass’n, Business Tort & Antitrust CLE monograph).
- T. Potter, “RICO Claims in Products Liability Litigation” in 1990 (No. 3) Selected Issues in Products Liability Defense 97 (Defense Research Inst., May 1990).
- T. Potter, Products Liability as a Business Tort: When Marketing Becomes Racketeering, Bus. Torts Newsletter at 1 (ABA Sec. on Litigation, Jan. 1990).
- T. Potter, The Civil RICO “Treasure Hunt”, 36 La. B.J. 421 (April, 1989) (also available on WESTLAW; Text & Periodicals database).
- H. Abbott & T. Potter, Developments in Civil Litigation: Civil RICO (Nov. 1988) (La. Bar Ass’n, Litigation CLE monograph).
- T. Potter, Rule 16 Case Statements and Civil RICO in RICO LAW DEVELOPMENTS: 1987, Ch.8 (RICO Law Reporter, 1988).
- E. Futrell & T. Potter, Civil RICO: A Sampler for Lenders (Mar. 31, 1988) (La. Bar Ass’n, Lender Liability CLE monograph).

- T. Potter, Recent Developments in the Law - Section on Antitrust and Trade Regulation, 35 La. B.J. 111 (Aug., 1987).
- T. Potter, Rule 16 Case Statements in Civil RICO Litigation, 5 RICO L. Rep. 784 (June, 1987).
- H. Hardin & T. Potter, Civil RICO: Court Ordered Case Statements Discourage Frivolous Suits, Int'l Ass'n of Defense Counsel, Bus. Litig. Comm. Newsletter (June, 1987).
- H. Abbott & T. Potter, Civil RICO Defense: Recent Developments (Mar. 20-21, 1987) (La. Bar Ass'n, Commercial Litigation CLE monograph).
- Bolla & T. Potter, Contracts One: Cases and Materials -An Introduction (Sept. 1983) (Cumberland School of Law -monograph).

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2018

- » *FINRA Senior Protection Rules Effective Feb. 5 (Jan. 29, 2018)*
- » *Supreme Court to Review SEC ALJs (Jan 16, 2018)*
- » *Failure to Supervise Selling Away Arbitrable as "Connected with Business" (Jan. 11, 2018)*

2017

- » *SEC About-Face, About Time, on ALJs (Dec. 1, 2017)*
- » *Morgan Stanley Exits, Slams Protocol as "Unsustainable" (Oct. 30, 2017)*
- » *TN Trust Codes Authorizes Pre-Dispute Arbitration Agreement: Not Per Se Breach of Duty, but May not Bind Non-Signatory Beneficiary (Oct. 27, 2017)*
- » *Lorenzo's a Schemer, Not a Maker: Dissent Blasts SEC ("Not Fair," "Stinks") (Oct. 23, 2017)*
- » *SEC Announces New Cyber-Enforcement Initiatives (Sept. 26, 2017)*
- » *5th Circuit Hints SEC ALJs Unconstitutional (Sept. 13, 2017)*
- » *DOL to Postpone Deadline for Fiduciary Rule (Aug. 31, 2017)*
- » *Martoma: Second Circuit Abrogates Newman, Broadens Dirks (Aug. 24, 2017)*
- » *Split Commission Can't Reverse Insider-Trading Dismissal (July 19, 2017)*
- » *MSRB's G-42 Guidance Notes Ambiguities for MAs in Conduit Issues (July 18, 2017)*
- » *6th Circuit Rejects GOP Suit Against MA Pay-to-Play Rule (July 13, 2017)*
- » *Supreme Court: SEC Disgorgement a Penalty Subject to 5-Year Limitations (Jun 5, 2017)*
- » *SEC Returns to the Fiduciary-Rule Arena (June 2, 2017)*
- » *Fiduciary-Rule Litigation Moves to Court of Public Opinion (June 1, 2017)*
- » *DOL Won't Delay Fiduciary Rule Past June 9 (May 25, 2017)*
- » *SEC Stays ALJ Cases Subject to 10th Circuit Review (May 24, 2017)*
- » *Labor Delays Fiduciary Rule (Apr. 5, 2017)*
- » *IRS Synchs Excise Tax to DOL's Enforcement Policy on Fiduciary Rule (Mar. 29, 2017)*
- » *DOL Temporarily Forbears Enforcement of Fiduciary Duty Rule (Mar. 13, 2017)*
- » *SEC to Propose "Requiring" Municipal-Issuers to Disclose Bank Loans (Mar. 3, 2017)*
- » *DOL Proposes 60-Day Delay of Fiduciary Rule (Mar. 2, 2017)*
- » *DOL Fiduciary Rule Still On for April 10 Implementation (Feb. 9, 2017)*
- » *FINRA to Require Web-Based Arbitration Filings (Feb. 7, 2017)*
- » *Trump's "Two for One" Regulation Order Excludes SEC, Maybe All of Dodd-Frank (Feb. 2, 2017)*

- » *Moody's Settles RMBS/CDO Ratings Claims with DOJ, States* (Jan. 18, 2017)
- » *VW's \$4.3BN Plea to Obstruction for Botched Litigation Hold* (Jan. 18, 2017)
- » *Supreme Court to Review SEC Enforcement Limitations* (Jan. 13, 2017)
- » *SEC's 2017 Exam Priorities* (Jan. 12, 2017)
- » *SEC Scores First Muni Issuer's Admission of Wrongdoing* (Jan. 10, 2017)
- » *FINRA's 2017 Regulatory & Exam Priorities* (Jan. 5, 2017)

2016

- » *Circuits Split – Tenth Holds SEC ALJs Unconstitutional* (Dec. 30, 2016)
- » *Supremes Reaffirm Dirks Gifting Theory of Insider Trading; Limit Newman* (Dec. 6, 2016)
- » *FINRA's Cross-Selling Sweep Exam* (Nov. 9, 2016)
- » *PIABA Slams Broker-Check Again* (Nov. 8, 2016)
- » *Small-Ball Boosts SEC Enforcement Numbers* (Oct. 12, 2016)
- » *6th Circuit Orders Pay-to-Play Challenge to Merits Panel* (Oct. 8, 2016)
- » *Tilton Tilts at SEC Enforcement, Again* (Sept. 13, 2016)
- » *Tennessee Securities Division Ramps Up Enforcement* (Sept. 12, 2016)
- » *SEC Approves FINRA & MSRB (Almost) Pay-to-Play Rules* (Sept. 6, 2016)
- » *SEC Sanctions 71 Municipal Issuers for Misstatements* (Sept. 2, 2016)
- » *Circuits Split on "Look-Through" Jurisdiction Over Arbitration Awards* (Aug. 31, 2016)
- » *SEC Continues Crackdown on Whistleblower Restrictions: Calls Qui Tam Waivers "Targeting"* (Aug. 17, 2016)
- » *SEC Fines Company for Agreements Restricting Whistleblowers* (Aug. 11, 2016), republished *MSN Money*
- » *DC Circuit Upholds SEC ALJs in First Merits Opinion* (Aug. 9, 2016), republished *Securities Regulation Daily*.
- » *FINRA Defends Mandatory Arbitrations; Threatens Discipline* (Aug. 4, 2016)
- » *MSRB Cans Proposed Bank-Loan Disclosure Rule* (Aug. 3, 2016)
- » *SEC & MSRB'S Pay-To-Play-Rule: "Governing Games - Mocking, Part 2"* (Aug. 2, 2016)
- » *6th Circuit Joins Majority, Accepting "Materialization of the Risk"* (Aug. 1, 2016)
- » *11th Circuit Holds Judicial Review of SEC ALJs Premature* (June 17, 2016)
- » *Chameleon SROs: The Gov't, But Not Really* (June 8, 2016)
- » *Groups Sue to Block DOL Fiduciary Reg* (June 7, 2016)
- » *2nd Cir. Joins 7th and D.C. Requiring Exhaustion to Challenge SEC ALJs* (June 2, 2016)
- » *11th Cir.: SEC Disgorgement, Declarative Relief Subject to 5-Yr Bar* (June 1, 2016)
- » *It's Good to be the King: Nullus Tempus Allows TN Fund's Suit on Decade-Old RMBS Buys* (May 31, 2016)
- » *TN Securities Division Urges Investors to Question Advisors* (May 27, 2016)
- » *DOL Fiduciary Rule Re-Makes Retail IRA Advice* (May 25, 2016)
- » *I Meant it at the Time: Second Circuit Reverses \$1.2BN FIRREA Judgment* (May 25, 2016)
- » *SIFMA Releases Draft Municipal Advisor Rule G-42 Compliance Documents* (May 24, 2016)
- » *6th Cir.: American Pipe Doesn't toll Statutes of Repose* (May 19, 2016)
- » *FinCEN AML/BSA Amendments Require Beneficial-Owner Look-Through* (May 18, 2016)
- » *Supreme Court: Exchange Act Jurisdiction = "Arising Under"* (May 17, 2016)
- » *Municipal Conduct Rule G-42 Effective June 23* (May 11, 2016)
- » *FINRA to Expand Broker-Check Reporting* (May 9, 2016)
- » *TN Securities Div'n Encourages Financial Fraud Investigations* (May 10, 2016)

- » *TN COA Tosses Fraud & Securities Claim Over “Crazy” Scam* (Apr. 29, 2016)
- » *MSRB on Direct Purchases – Transparency Tumps Tower?* (Apr. 28, 2016)
- » *Public Mining of Securities Regulatory Big Data* (Apr. 27, 2016)
- » *SEC Affirms Sanctions on Stanford’s CCO* (Apr. 26, 2016)
- » *TN Republican Party Challenges MA Pay-to-Play Rules* (Apr. 22, 2016)
- » *Fifth Circuit: Diversity Jurisdiction Over FINRA Award Based on Demand* (Apr. 14, 2016)
- » *SEC OIG Cannot Substantiate ALJ Bias* (Feb. 18, 2016)
- » *Municipal Advisor Pay-to-Play Rules “Deemed Approved”* (Feb. 17, 2016)
- » *Obama’s FY2017 Budget Would Double SEC & CFTC Funding* (Feb. 11, 2016)
- » *FINRA Arbitrations: Behind Claimant “Win” Statistics* (Jan. 25, 2016)
- » *SEC Announces 2016 Exam Priorities* (Jan. 14, 2016)
- » *FINRA’s 2016 Priorities: Fives on the Fifth* (Jan. 11, 2016)
- » *Annual Compliance Testing Should Re-Calibrate WSPs* (Jan. 4, 2016)
- » *SEC Approved Municipal Advisor Conduct Rule* (Jan. 2, 2016)
- » *FINRA-DR Task Force Report on Securities Arbitrations* (Jan. 1, 2016)

2015

- » *FINRA Submits Revised Recruiting-Disclosure Rule to SEC* (Dec. 22, 2015)
- » *Broker-Dealer “Pay-to-Play” Rule Proposed to SEC* (Dec. 19, 2015)
- » *MSRB Files New MA Pay-to-Play Rule with SEC* (Dec. 18, 2015)
- » *Supreme Court Reaffirms Arbitration Class-Waivers* (Dec. 17, 2015)
- » *Tenn. S. Ct. Examines Jurisdiction Over Non-Resident Defendants* (Dec. 16, 2015)
- » *VW Scandal Bears Out Emphasis on “Culture of Compliance”* (Dec. 16, 2015)
- » *SEC Tees Up Newman & Admin Forum Issues for 2016* (Dec. 15, 2015)
- » *A 1,500-Day Ordeal: First Circuit Rebukes SEC for In-House Prosecution* (Dec. 14, 2015)
- » *Whistleblower Standing Split in Circuits & TN Federal Courts* (Dec. 9, 2015)
- » *DOJ Unveil’s “Yates Memo” Revisions to US Attorneys’ Manual* (Nov. 23, 2015)
- » *Tennessee Securities Division Expands Exam Program* (Nov. 20, 2015)
- » *NDGA Judge Halts Another SEC Admin Proceeding* (Nov. 19, 2015)
- » *MSRB Issues Compliance Advisory for Municipal Advisors* (Nov. 16, 2015)
- » *MSRB Amends MA Conduct Rule Proposal Again for Small Exception to Principal Transaction Ban* (Nov. 10, 2015)
- » *FINRA Proposes Rules To Combat Financial Exploitation of Seniors* (Nov. 9, 2015)
- » *SEC Approves Gift Prohibitions for Municipal Advisors* (Nov. 11, 2015)
- » *SEC ALJ Slams Bebo; Summarily Denies ConLaw Challenge* (Oct. 10, 2015)
- » *SEC’s Piwowar and Gallagher Dissent, Defer to Courts on ConLaw Challenge* (Oct. 9, 2015)
- » *Battle Over SEC’s Admin Forum Moves to 11th Circuit* (Oct. 8, 2015)
- » *D.C. Circuit Repulses Assault on the SEC’s Administrative Citadel* (Oct. 2, 2015)
- » *SEC Holds Its Admin Forum Isn’t Unconstitutional!* (Oct. 2, 2015)
- » *SEC Issues Second Round of Municipal Disclosure Settlements* (Oct. 1, 2015)
- » *SEC Proposes Changes to Admin Forum* (Sept. 25, 2015)
- » *SEC Shows It’s Serious About Cyber Security* (Sept. 24, 2015)

- » *TN Ethics Opinion Approves Lawyers' Cloud Storage of Client Data* (TN Bus. Lit., Sept. 24, 2015)
- » *SEC Must Stop 2 Admin Cases Pending 2nd Circuit Constitutionality Decision* (Sept. 22, 2015)
- » *Group Urges Aider Standard for SEC Compliance-Officer Liability* (Aug. 27, 2015)
- » *DC Circuit Tosses Republicans' Challenge to Adviser Pay-to-Play Rule* (Aug. 26, 2015)
- » *Seventh Circuit Affirms No Jurisdiction in Challenge to SEC Admin Courts* (Aug. 25, 2015)
- » *FINRA Sweep Exam on Compensation Conflicts* (Aug. 21, 2015)
- » *FINRA Fines UBS for Muni-Interest Reporting Errors* (Aug. 18, 2015)
- » *TN COA: Arbitrators Decide Scope and Unconscionability* (TN Bus. Lit., Aug. 18, 2015)
- » *MSRB Proposes Further Changes to Municipal Advisor Conduct Rule* (Aug. 14, 2015)
- » *Second Federal Judge Enjoins "Likely Unconstitutional" SEC Admin Actions* (Aug. 13, 2015)
- » *SEC Takes More time to Consider Municipal Advisor Conduct Rule* (Aug. 12, 2015)
- » *FINRA Warns on Muni Shorts & Fails: Substitute Interest is Taxable* (Aug. 3, 2015)
- » *SEC Removes Duka ALJ After Refusing No-Bias Affidavit in Timbervest* (July 31, 2015)
- » *DOJ Appeals Newman Insider Trading Opinion* (July 30, 2015)
- » *US Chamber Recommends SEC Enforcement Changes* (July 22, 2015)
- » *SEC Enforcement Actions Against IA CCO's: Aguilar and White Respond to Gallagher* (July 20, 2015)
- » *US 9th Circuit Holds Google Beyond Question: Map Tack Not Hearsay* (TN Bus. Lit., June 24, 2015)
- » *Gallagher Chides Commission for Sanctioning IA CCO's* (June 23, 2015)
- » *SEC Announces First Wave of MCDC Underwriter Sanctions* (June 19, 2015)
- » *NY High Court Boots Mortgage Repurchase Case on Limitations* (June 15, 2015)
- » *Tennessee Supremes Reject Per Se Unconscionability of Non-Mutual Arbitration Clause* (TN Bus. Lit., June 9, 2015)
- » *Rare SEC Administrative Loss in Adviser ADV Case* (June 9, 2015).
- » *Tone-Deaf SEC Asks ALJ in Secret Whether Agency Pressured Him* (June 8, 2015)
- » *Sixth Circuit Rejects "Definitively, Specifically" Standard for Sarbox Whistleblower Claims* (May 29, 2015)
- » *Delaware Supremes Give Independent Directors a Way Out* (May 18, 2015)
- » *FINRA Revises Sanction Guidelines* (May 14, 2015)
- » *SEC Confirms "Looking Glass" Fears About Administrative Forum* (May 11, 2015)
- » *SEC Awards ~\$1.5M to Whistleblowing Compliance Officer* (Apr. 27, 2015)
- » *MSRB Releases Content Outline for Municipal Advisor Exam* (Apr. 24, 2015)
- » *MSRB Files Proposed Municipal-Advisor Conduct Rule with SEC* (Apr. 17, 2015)
- » *ECF Fail: You Have to Read the Order* (Apr. 15, 2015)
- » *SEC Files 1st Action Over Anti-Whistleblower Confidentiality Clause* (Apr. 1, 2015)
- » *White Calls for SEC to Adopt Uniform Fiduciary Standard* (Mar. 18, 2015)
- » *SDNY US Attorney Preaches to Choir: Lauds Financial-Industry Gatekeepers* (Mar. 16, 2015)
- » *SEC Sweep on NDAs Restricting Whistleblowers* (Mar. 2, 2015)
- » *"No News is Bad News" on BSA Compliance* (Feb 27, 2015)
- » *High Court Divided: Is a Fish a Tangible Object* (Feb. 26, 2015)
- » *Commissioner Piwowar on SEC & Fairness: Physician Heal Thyself?* (Feb. 23, 2015)
- » *SEC Seeks Chevron Deference to Unnecessary Ruling that Dodd-Frank 180-Day Enforcement Directive Doesn't Matter* (Feb. 11, 2015)
- » *FINRA Proposes Higher Arbitration Cancellation Fees* (Feb. 10, 2015)

- » *S&P's \$1.4BN Settlement with DOJ & State AGs on RMBS/CDO Ratings* (Feb. 6, 2015)
- » *SEC and FINRA Issue Cyber Security "Alert"* (Feb. 5, 2015)
- » *SEC Dismisses Administrative Insider-Trading Suit Against Peixoto* (Feb. 3, 2015)
- » *SEC & AGs Fine & Suspend S&P for MBS Rating Violations* (Jan. 26, 2015)
- » *SEC Announces 2015 Exam Priorities* (Jan. 15, 2015)
- » *FINRA Panel Precludes Evidence & Awards Punitives as Discovery Sanction* (Jan. 13, 2015)
- » *FINRA's 2015 Exam Priorities* (Jan. 12, 2015)

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- » *SEC Sanctions 8 Auditors in Broken Gate Enforcement Sweep* (Dec. 10, 2014)
- » *Court Sets Aside SEC's First Muni "Control-Person" Settlement* (Nov. 24, 2014)
- » *FINRA Solicitor Pay-to-Play Rules Complete IA & MSRB Suite* (Nov. 20, 2014)
- » *Scalia & Thomas Look to Take on SEC's Insider-Trading Theory* (Nov. 13, 2014)
- » *EC Ramps Up Municipal Enforcement* (Nov. 10, 2014)
- » *SDNY's Rakoff Joins Chorus Criticizing SEC's Admin Forum* (Nov. 7, 2014)
- » *Crackdown on Employer NDAs Without Whistleblower Protections* (Nov. 3, 2014)
- » *Arbitration vs Forum-Selection Clauses: Chicken & Egg Dilemma?* (Oct. 31, 2014)
- » *MSRB Proposes Gift Limitations for Municipal Advisors* (Oct. 30, 2014)
- » *SEC Approves Supervision & Compliance Rule for Municipal Advisors* (Oct. 29, 2014)
- » *Another Constitutional Challenge to SEC Administrative Forum* (Oct. 28, 2014)
- » *FINRA Requires New "Whistleblower" Clause in Settlement Agreements* (Oct. 22, 2014)
- » *FINRA Addressing Market Risks: HFT, Algo's, CARDS, CAT & Dark Pools* (Oct. 21, 2014)
- » *Municipal Issuers Face Dec. 1 Deadline for MCDL Self-Reporting* (Oct. 20, 2014)
- » *Sixth Circuit Narrows Collective-Knowledge for PSLRA Scienter* (Oct. 17, 2014)
- » *Court Rejects GOP Challenge to Adviser Pay-to-Play Regulations* (Oct. 2, 2014)
- » *Sixth Circuit Rejects Private Action Under '40 Act § 36(a)* (Oct. 1, 2014)
- » *Forum-Selection vs. Arbitration Issue Teeing Up for Supremes* (Sept. 22, 2014)
- » *FINRA: 75 Years of a Sick-Chicken Survivor* (Sept. 19, 2014)
- » *Second Circuit Holds Subsequent Forum-Selection Clause Trumps FINRA Arbitration Requirement* (Aug. 25, 2014)
- » *OCIE Announces Exam Initiative for Newly-Registered Municipal Advisors* (Aug. 25, 2014)
- » *MSRB Proposal Extends Rule G-37 "Pay-to-Play" Prohibitions to Municipal Advisors* (Aug. 22, 2014)
- » *SEC Announces Additional Settlement Under Municipal Continuing Disclosure Cooperation Initiative* (Aug. 21, 2014)
- » *SEC Modifies Municipal-Securities Enforcement Initiative* (Aug. 20, 2014)
- » *MSRB Proposes Revised Duties for Municipal Advisors* (July 30, 2014)
- » *SEC Approves Amended FINRA Rule 2081 Prohibiting Settlements Conditioned on Expungement* (July 24, 2014)
- » *SEC Announces First Settled Proceeding Against Municipal Issuer under MCDL Initiative* (July 23, 2014)
- » *It Matters Who's the Plaintiff: Janus and Stoneridge May Not Help Against the SEC, but Monterosso Shouldn't Apply as Civil-Litigation Precedent* (July 8, 2014)
- » *FINRA Fines & AWC's for Blue Sheet Violation on which SEC Sought Admissions* (June 5, 2014)

- » *Trials are About Truth; Consent Decrees are About Pragmatism – The Second Circuit Reverses in SEC v. Citigroup* (June 4, 2014)
- » *The SEC’s New Municipal-Advisor Rules Go Effective July 1* (May 16, 2014)
- » *FINRA Moves to Make Expungement Independent* (May 14, 2014)
- » *SEC’s Recent Admission Case Muddies Standard* (Apr. 17, 2014)
- » *Emphasis on Enforcement* (Mar. 31, 2014)
- » *MSRB Reworks Fair Dealing Rules of Municipal Securities Dealers* (Mar. 27, 2014)
- » *FINRA Sanctions Firm and Compliance Officer for AML Violations* (Mar. 25, 2014)
- » *Lawson v. FMR: Are SarbOx Whistleblower Provisions a Horse Designed by Committee* (Mar. 20, 2014)
- » *Texas Two-Step: “In Connection With” at the End of its Tether?* (Mar. 18, 2014)
- » *MSRB Consolidates Registration Forms* (Mar. 13, 2014)
- » *MSRB Proposes Municipal Advisor Supervisory Rule* (Mar. 11, 2014)
- » *The Municipal Securities Rulemaking Board and Rule G-42* (Feb. 20, 2014)
- » *FINRA Conducting Cyber-Security Sweep Exam* (Feb. 13, 2014)
- » *OCIE Releases 2014 Exam Priorities* (Jan. 30, 2014)
- » *MSRB Proposes Conduct Rules for Municipal Advisors* (Jan. 23, 2014)
- » *SEC Municipal-Advisor Rules Effective July 1* (Jan. 16, 2014)