

RESUME

Tamar Frankel

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EDUCATION:

1972 S.J.D., Harvard Law School
1964 LL.M., Harvard Law School
1948 Jerusalem Law Classes, Israel, Diploma

Awards

2010 Named one of 50 Top Women Wealth Management,
<http://wealthmanagerweb.com/News/2010/5/Pages/50-Top-Women-in-Wealth-Named-by-WealthManagerWebcom.aspx>

2007 Chosen as one of the Women Trailblazers in the Law. ABA Commission project on Women in the Profession. The Commission is spearheading an oral history project called Women Trailblazers in the Law. The interviews are taped and transcripts of the interviews are preserved at the Library of Congress in Washington as a resource for future generations of lawyers and scholars <http://new.abanet.org/divisions/srlawyers/womentrailblazers/all.aspx>
Completed in 2009.

Noted in The **Lawdragon** as one of 500 Leading Lawyers in America
www.lawdragon.com/images/uploads/pdf/lawdragon500.pdf

PUBLICATIONS:

Books

Fiduciary Law (Oxford University Press) (2010).

Law and the Financial System - Securitization and Asset Backed Securities (Vandeplas Publishing Company (2009) (with Mark Fagan)

Securitization (2d ed.) (Translated into Chinese) (Law Press China 2009)

Trust and Honesty in Real Life (2d ed.) (Fathom Publishing Company 2009) (With Mark Fagan)

Fiduciary Law, Analysis Definitions, Relationships, Duties, Remedies over History and Cultures (Fathom Publishing Company 2008)

Trust and Honesty, America's Business Culture at a Crossroad (Oxford University Press 2006)

Securitization: Structured Financing, Financial Assets Pools, and Asset-Backed Securities (formerly Little, Brown & Company (1st ed.1991) (2d ed. 2006) (a two-volume treatise) (Fathom Publishing Company, formerly Aspen Law & Business)

Investment Management Regulation with Clifford E. Kirsch (3d Ed. 2004) (Fathom Publishing Company)

The Regulation of Money Managers (Mutual Funds and Advisers) (1st ed. 1978-80) (2d ed. 2001) (With Ann Taylor Schwing) (Aspen Law & Business, formerly Little, Brown & Company) (a four-volume treatise) (updated annually)

Book Chapters

Chapter 9-"Regulating the Financial Markets by Examination" in the book "The Panic of 2008: Causes, Consequences and Implications for Reform:-(Editors:Lawrence E. Mitchell and Arthur E. Wilmarth) Publisher: Edgar Elgar (December 2010).

ABA Guide to International Business Negotiations: A Comparison of Cross-Cultural Issues and Successful Approaches) James R Skilkenat, Jefferey M. Aresty, Jacqueline Klosek eds. (3d ed.) Chapter 1: Trust and the Internet (2009).

Securitization of Loans: Asset-Backed Securities and Structured Financing, The Financial Services Revolution, Understanding the Changing Roles of Banks, Mutual Funds and Insurance Companies at 215 (Clifford E. Kirsch, ed., 1997; 2008)

Conflicts of Interest In Corporate Governance and Financial Markets Chapter 12 (Luc Thevenoz and Rashid Bsahar eds. Kluwer Law International 2006). (Published in 2007)

Cross-Border Securitization, Financial Innovations and the Welfare of Nations (Laurent L. Jaque and Paul M. Valler, eds, Kluert Academic Publishers, 2001)

Securitization (Asset-Backed Securities and Structured Financing), Financial Product Fundamentals Law Business Compliance Chapter 4 (Clifford E. Kirsch, ed., 1999)

Money Managers Conflicts of Interests -- An American Viewpoint, Legal Aspects of Investment Management at 177 (Under the Direction of Professor Luc Thevenoz) (International Conference, October 17, 1997, Geneva, Switzerland)

Knowledge Transfer: Consulting and Teaching in China, Legislative Drafting For Market Reform Some Lessons From China at 182 (Ann Seidman & Robert B. Seidman, eds., 1997)

Should Funds and Investment Advisers Establish a Self-Regulatory Organization? The Financial Services Revolution, Understanding the Changing Roles of Banks, Mutual Funds and Insurance Companies at 447 (Clifford E. Kirsch, ed., 1997)

Securitization: Its Effect On Bank Structure, Structural Change In Banking at 309 (Michael Klausner & Lawrence J. White, eds., N.Y.U. Salomon Center, Leonard N. Stern School of Business, 1993)

Fiduciary Law in the United States, Equity, Fiduciaries And Trusts 1993 at 173 (Donovan W.M. Waters, ed., 1993)

Fiduciary Law: The Judicial Process And The Duty of Care, The 1993 Isaac Pitblado Lectures, Fiduciary Duties/Conflicts of Interest at 143 (Manitoba, Canada, November 1993)

Decision Making for Social Investing, Social Investing at 131 (Dan McGill, ed., for Pension Research Council, Wharton School, Univ. of Pennsylvania, Richard D. Irwin, Inc., 1984)

Bank Loan Participations under the Securities Acts; The Implications of SIA v. Board of Governors (Becker), 16th Annual Institute of Securities Regulation, v.2 at 311 (PLI 1984) (Bank loans and the securities markets regulation)

Articles

The New Financial Assets: Separating Ownership from Control, 33 Seattle Univ. L. R. 931 (2010)

Negotiating Mutual fund Adviser Fees: The Supreme Court has Spoken" This article is an update to Professor Frankel ' s previous paper, ' **Mutual fund advisers ' fees and executive compensation** ', published in the International Journal of Disclosure and Governance 7(1): 7 – 19. DOI:10.1057 / jdg.2009.26

The Story of Sub-Prime Mortgage Disaster, Studi e Note di Economia, Anno XIV n.2-2009 pages 325-353 (Italy)

Trust Honesty and Ethics in Business" Finance & The Common Good/Bien Commun -No.31-32-II-III/2008 (Italy).

Corporate Boards of Directors: Advisors or Supervisors, 77 U. Cin. L. Rev. 501 (2008)

Private Investment Funds: Hedge Funds' Regulation by Size, 39 Rutgers L. J. 657 (2008).

The Problems of Securitizing Sub-Prime Loans The Asian Business Lawyer, Vol 1, Korea University Legal Research Institute (Spring 2008)

Court of Law and Court of Public Opinion: Symbiotic Regulation of the Corporate Management Duty of Care 3 NYU Journal of Law & Business 353 (2007). Also published by Amicus Law Books, ICFAI University, India

Using the Sarbanes-Oxley Act to Reward Honest Corporations, 62 Bus. Law. 151 (2007)

The Mysterious Ways of Mutual Funds: Market Timing, with Lawrence A. Cunningham, *Annual 25 Review of Banking & Financial Law* 235 (2006). (Published in 2007)

Fall of the Barriers Preventing Abuse of Trust and Deception: The Hidden Changes in Legal Doctrine and Legal Interpretation, 5 Law & Business IDC Herzelia, Radzyner School of Law 113 (2006). (Partial Hebrew translation of Trust and Loyalty, Americas Business Culture and at Crossroad (2006))

How Did We Get Into This Mess? 1 J. Bus. & Technology Law 133 (2006)

What Default Rules Teach Us About Corporations, And What Understanding Corporations teaches us about Default Rules, 33 Fla. State U. L. Rev. 698 (2006) also reproduced in *Fiduciary Obligations, Legal Perspectives* 149 (Radhika G ed.) (2008)

Are Advisers Contributing to Fund Rule Avalanche? *Ignite Magazine (April 2006)*.

The Scope and Jurisprudence of the Investment Management Regulation, 83 Washington U. L.Q. 939 (2005)

Book Review, Why We Lie, *Human Nature Review*, Vol. 5, 2005, 45 (2006)

Why the Board is Broken, with Joseph Anton, *Wall Street Lawyer* 23 (2005)

Governing by Negotiation: The Internet Naming System, 12 *Cardozo J. Intl. And Comp. Law* 449 (2004)

Future Developments, Selling the Advisory Business, *Wall Street Lawyer* (2004)

The Seventh Circuit in WSOL v. Fiduciary Management Associates and the Amendment to Rule 12b-1, *Investment Lawyer* No 8, 11 (2004)

Advisory Fees: Evolving Theories, 10 *Investment Lawyer* 21 (2003)

Regulation and Investors' Trust in the Securities Markets, 68 *Brooklyn L. Rev.* 439 (2002)

Report to the Markle Foundation on Corporate Governance, September, 15 (2002)

The Managing Lawmaker in Cyberspace: A Power Model, 27 *Brooklyn L. Rev.* 859 (2002)

The Law of Cross-Border Securitization: *Lex Juris*, 12 *Duke J. Comp. & Int'l L.* 475 (2002)

Of Theory and Practice, 77 *Chi-Kent L. Rev.* 5 (2001)

The Delaware Business Trust Act Failure as The New Corporate Law, 23 *Cardozo L. Rev.* 325 (2001)

Trusting and Non-Trusting on the Internet, 81 *B.U.L. Rev.* 457 (2001)

Introduction, Symposium, Trust Relationships (with Wendy Gordon), 81 *B.U.L. Rev.* 457 (2001)

Accountants' Independence; The Recent Dilemma, 2 *Colum. Bus. L. Rev.* 261 (2000)

The Different Design of Corporate Governance under State Law and Federal Law and the Aftermath of the Strougo Case, 7 *Investment Lawyer* 3 (2000)

Securitizing Insurance Risks (with Joseph W. LaPlume), *Annual Review of banking Law* 203 (2000)

The Internet, Securities Regulation, and Theory of Law, *Symposium on The Internet and Legal Theory*, 73 *Chi-Kent L. Rev.* 1319 (1999)

Securitization: The Conflict Between Personal and Market Law (Contract and Property), 18 *Annual Review of Banking Law* 197 (1999)

Trends in the Regulation of Investment Companies and Investment Advisers, 1 *Villanova J. L. & Investment Management* 3 (1999)

Cross-Border Securitization: Without Law, But Not Lawlessness, 8 *Duke J. Comp. & Int'l L.* 255 (1998)

Fiduciary Duties, The New Palgrave Dictionary of Economics and The Law 127 (Peter Newman ed. 1998)

Trust and Contract in the U.S. and Japan (with Norio Higuchi), *Hogaku Kyokai Zassi*, 115 *Journal of the Jurisprudence Association, The University of Tokyo*, no.2 (Feb. 1998)

Symposium, Comment, Lessons From The Past: Revenge Yesterday and Today, 76 *B.U. L. Rev.* 89 (1996)

Symposium: A Recipe for Effecting Institutional Changes to Achieve Privatization: Foreword, 13 *B.U. Intl L. J.* 295 (1995)

Fiduciary Duties as Default Rules, 74 *Ore. L. Rev.* 1209 (1995)

Knowledge Transfer: Suggestions for Developing Countries on The Receiving End, 13 B.U. Int'l L. Rev. 141 (1995)

Enforcing Coasian Bribes for Non-Price Benefits: A New Role For Restitution (with Wendy Gordon), 67 S. Cal. L. Rev. 1519 (1994)

The Pros and Cons of a Self-Regulatory Organization for Advisers and Mutual Funds, 1 The Investment Lawyer 3 (September 1994)

Bank Powers to Sell Annuities, 49 Bus. Law. 1691 (1994)

Presumptions and Burdens of Proof As Tools For Legal Stability And Change, 17 Harv. J. L. & Pub. Policy 759 (1994)

Essay, The Legal Infrastructure of Markets: The Role of Contract and Property Law, 73 B.U.L. Rev. 389 (1993)

What Can be Done About Stock Market Volatility?, 69 B.U.L. Rev. 891 (1989)

The Inapplicability of Market Theory to Adoptions, 67 B.U.L. Rev. 99 (1987) (with Professor Frances Miller)

The South Dakota Experiment, 53 Brooklyn L. Rev. 53 (1987)

Corporate Directors Duty of Care -- the American Law Institute Project on Corporate Governance, 52 Geo. Wash. L. Rev. 81 (1985)

The Power Struggle Between Shareholders and Directors: The Demand Requirement in Derivative Suits, 12 Hofstra L. Rev. 39 (1983) (with Wayne Barsky)

Fiduciary Law, 71 Cal. L. Rev. 795 (1983)

First Amendment Protection of Mutual Fund Advertising, 14 Rev. Sec. Reg. 957 (1981)

Implied Rights of Action, 67 Va. L. Rev. 553 (1981)

Distribution of Mutual Fund Shares, 10 Rev. Sec. Reg. 860 (1977)

Regulation of Variable Life Insurance, 48 Notre Dame Lawyer 1017 (1973)

Variable Annuities, Variable Insurance and Separate Accounts, 51 B.U.L. Rev. 173 (1971)

The Governor's Private Eyes, 49 B.U.L. Rev. 627 (1969)

The Maloney Act Experiment, 6 B.C. Ind. & Comm. L. Rev. 187 (1967) (under the name of Hed-Hoffman)

Newspaper Articles

Legal Briefs, The Breakdown of Legal Categories: Brokers, Dealers, Financial Planners and Advisers, Community Banker 48 (2009)

The Wall Street Lawyer, How Should the Financial Markets be Regulated," October 2008, Vol. 12 Issue 10.

Rethinking the American Dream" LAWDRAGON, <http://www.lawdragon.com> August, 2008

Boston Globe (op-ed), January 2, 2007

American Banker, World Bank Should Consolidate Third World Debt, June 18, 1987 (with Robert E. Litan)

Legal Times, Carrots' Should be Utilized by Bank Regulation, January 13, 1986 (with Robert E. Litan)

American Banker, The Problem of Off-Balance-Sheet Liabilities, December 12, 1985

Deposit Insurance and Risk: A Shaky Connection, American Banker, August 1, 1985

Legal Background

Jan. -- June, 2006 **Visiting Professor Harvard Business School**

Sept. – June 2005 **Visiting Professor, Harvard Law School**

1971-Present **Professor of Law, Boston University School of Law**

Oct. – Dec. 2000 **Visiting Fellow, St. Catherine's College**; Visiting Fellow at the Center for Socio-Legal Studies, Wolfson College, **Oxford, England**

Apr. 29-June 1, 1997 **Visiting Professor, Graduate School of Law and Politics, The University of Tokyo, Japan**

July-Dec. 1995; **Attorney Fellow, Securities and Exchange Commission**, Wash. DC
July 1996-July 1997

Summer 1992 **Consultant, Peoples' Bank of China** Drafting of Banking Law, United Nations Development Program

Jan. 1986- Aug. 1987	Guest Scholar, The Brookings Institution, Washington, DC
1983-1985	Consultant, Bankers Trust Company, New York
1982-1983	Visiting Professor of Law, University of California Law School, Berkeley, California
Fall 1980	Visiting Professor of Business Management, Harvard Business School.
1979-1980	Visiting Professor of Law, Harvard Law School
1968-1970	Assistant Professor of Law, Boston University School of Law
Fall 1967	Lecturer, Boston University School of Law
1966-1967	Special Assistant to the Commissioner of Corporations, State of California
1965-1966	Associate, Arnold & Porter, Washington, DC
1964-1965	Associate (part-time), Ropes & Gray, Boston, Massachusetts
1962-1963	Legal Advisor, State of Israel Bonds Organization, France
1950-1962	Private Law Practice, Tel Aviv, Israel (housing, banking, corporate work)
1949-1950	Assistant Attorney General, State of Israel, Ministry of Justice, Legislation Department
1948-1949	Assistant Legal Advisor, Israeli Air Force

Testimony before congressional committees

January 5, 2009	Testimony before the Subcommittee on Financial Regulation, concerning Bernard Madoff Ponzi scheme
Oct. 7, 1998	Testimony (concerning ICANN) before a joint hearing of the Subcommittee on Basic Research and the Subcommittee on Technology of the Science Committee of the U.S. House of Representatives

- Feb. 16, 1993 Testimony before the Subcommittee on Economic Growth and Credit Formation of the Committee on Banking, Finance and Urban Affairs U.S. House of Representatives
- Feb. 12, 1992 Participant, Informal Round Table Discussion of Commercial Credit Securitization, Senate Committee on Banking, Housing and Urban Affairs
- Mar. 19, 1986 Testimony before the Subcommittee on Telecommunication, 1986 Consumer Protection and Finance of the Committee on Energy and Commerce, U.S. House of Representatives. Pension Funds in the Capital Markets: Impact on Corporate Governance, Trading Activity and Beneficiaries

Professional activities

- December 10, 2010 Round table, Mutual Funds, Boston University Organized with Professor William Birdthistle, Chicago Kent law School
- December 7, 2010, Presentation before the staff of the SEC and Commissioner Agiure, Washington D.C. Broker dealers fiduciary duties.
- December 1, 2010, AARP Round table discussion, New York. Broker dealers fiduciary duties.
- November 22, 2010, Meeting at FINRA, Washington D.C. Broker dealers fiduciary duties
- October 13, 2010, Investment companies basics. Presentation (conflicts of interest)
- September 24, 2010, Washington DC. Presentation. The Fiduciary Forum 2010
- March 12, 2010. Presentation. Round Table Fordham Law School
- March 25, 2010. Presentation, Fiduciary Law,. FAIR. Toronto, Canada
- April 4, 2010 CLE, ABA Boston, presentation on Ponzi schemes.
- April 9, 2010, Commentator. Penn Law School round table discussion.
- December 4, 2009. Organized together with Professor William Birdthistle, Chicago Kent law School Round Table discussion on Fiduciary law
- November, 6-7, 2009, Discussant, Conference, The Origins of Shareholders Advocacy, Nov, 6-7, 2009.
- October 29, 2009 Speaker before the faculty of Oregon Law School on Fiduciary Law.

November 11, 2008	Speaker, Conference, Fiduciary Law, Manitoba, Canada
June 4, 2008,	Speaker, Ethical Leadership in Investment Firms, Boston Ma.
February 19, 2007 June 2008	Member, Advisory Committee on curriculum for a Master Degree in Compliance and Ethics at New England College of Finance (Scott Harshbarger, chair)
November 8, 2007, November 30- December 1, 2006	Speaker. Directors Roundtable & National Leadership Institute. Co-Chair ALI-ABA Investment Management Advanced Course
November 7, 2006	Presentation at New York University combined course of law and business
November 1, 2006	Speaker. Center for Corporate Excellence Conference, Denver, CO
October 13, 2006	Panelist, The Center for Banking and Financial Law of Boston University School of Law and Federated Investors, Inc. A Symposium on How to Manage Conflicts of Interest in Wealth Management Transactions. Washington D.C.
October 12, 2006	Speaker, Securities and Exchange Commission Staff at Office of Compliance
October 6, 2006,	Presentation on Fiduciary Law, Boston. Nat. Assoc. Independent Pub. Fin. Advisors
September 26, 2006	Panelist, 10 th Annual Investment Management Compliance Summit
July 6, and 7, 2006	Presentation: Author speaks to Reader and panel member, Annual Meeting Law and Society Association, Baltimore
June 24, 2006	Panel member, Directors College, Stanford University, Palo Alto
May 10, 2006	Presentation. Trust and Honesty, Seminar, Said Business School, Oxford, UK
April 20, 2006	Speaker, Role of Institutional Investors and Regulation in Effective Corporate Governance, Center for Research in Regulated Industries, Rutgers Business School, New York
March 9, 2006	Speaker. Millennium Hedge Fund Management

February 2, 2006	Lecture Seminar, Directions and Regulation, Kennedy School, Harvard University
January 26, 2006:	Presentation. Leadership Council, Kennedy School Harvard University
June 2, 2005	Chair and Discussant, Annual Meeting of Law and Society, Las Vegas.
June 4, 2005	Presentation of book- Trust and Honesty, America's Business Culture at a Crossroad- Canadian-American Research Centre for Law and Policy, University of Windsor, Canada
May 19, 2005	Speaker - Callan College, for Mutual Funds Directors, the Meaning of Fiduciaries and Their Duties
March 29, 2005	Speaker - Mutual Fund Directors Forum, Boston
January 31, 2005	Participant, Roundtable Discussion, Center For Corporate Securities and Financial Law, Fordham University School of Law, Mutual Funds and Hedge Funds: The Expenses and Fees of Professional Investment Advice
June, 2004	Participant, Rueschlikon Conference, Openness, Trust and Sovereignty, Zurich, Switzerland (organized by John F. Kennedy School of Government, Harvard University) (hosted by Swiss Re- Center for Global Dialogue, Rueschlikon)
April, 2004	Panelist, Practicing Law Institute, Investment Management Compliance New York
February, 2004	Presentation, Sloan Conference, George Washington University, D.C.
December 2003	Moderator, New England Legal Foundation
October, 2003	Introduction to the lecture by Professor Eli Weisel, Boston University
Oct. 16,17, 2003	Co-Chair, ALI-ABA Advanced Course in Investment Management, Washington D.C.
Feb. 8, 2003	Panelist, American Bar Foundation, Seattle
Nov. 4, 2002	Lecturer, School of Sociology, All Souls College, Oxford on Con Artists and Ponzi Schemes
Oct. 17,18, 2002	Co-Chair, ALI-ABA Advanced Course in Investment Management, Washington D.C.

Jan. 4, 2002	Panelist, "Donative Transfer, Fiduciaries and Estate Planning," American Association of Law Schools, New Orleans
Dec. 26, 2001	Speaker, Conference, Confederation of Indian Industry, Hyderabad, India
Oct.9, 2001	Speaker, The Common Law and Cyberspace, Center for Socio-Legal Studies, Oxford, UK
Jan. 31, 2001	Panelist, Annual Adviser Compliance, Glasser Legal Works
Feb 19, 2001	Speaker, Conference on Trust, Tokyo, Japan
Feb. 20, 2001	Speaker, Panel discussion on Trust, Tokyo University
Jan 31, 2001	Speaker, PLI Course on Municipal Bond Markets, New York
Jan. 12, 2001	Speaker, Directors' Educational Project, Washington D.C.
Nov. 14 -23, 2000	Seminar Talk, Oxford, UK
Sept. 22-23, 2000	Co-Chair, Conference, Trust Relationship, Boston University Law School
Oct. 31, 1999.	Panelist by Teleconference. Open Meetings. ICANN and The public Interest. Organized by the Berkman Center for Internet and Society. Harvard Law School. Los Angeles
Oct. 26-27, 2000	Co-Chair (with Clifford E. Kirsch), ALI-ABA Course of Study, Investment Management Regulation Conference, Washington, D.C.
Oct. 21-22, 1999	Co-Chair (with Clifford E. Kirsch), ALI-ABA Course of Study, Investment Management Regulation Conference, Washington, D.C.
Oct. 14, 1999	Speaker, Municipal Securities Round Table at the Securities and Exchange Commission
Oct. 15, 1999	Speaker, 1999 National Society of Compliance Professionals Membership Meeting, Washington, D.C.
Sept. 24, 1999	Speaker, Governing the Commons: The Future of Global Internet Administration, Computer Professionals for Social Responsibility, Alexandria, Virginia
Sept. 16, 1999	Speaker, Financial Innovations and the Welfare of Nations: How Cross-Border Transfers of Financial Innovations Nurture Emerging Capital Markets, Tufts University

1999	Member, Advisory Committee Restatement of Trusts (Third), American Law Institute
Apr. 26, 1999	Presentation on Corporate Governance before the Advisory Group of the Investment Company Institute, Washington, D.C.
Aug. 21, 1998	Speaker by Teleconference, International Forum on White Paper (IFWP) (Internet), Buenos Aires, Argentina, from Cambridge, Massachusetts
Aug. 11-13, 1998	Chair, International Forum on White Paper (IFWP), Singapore
July 24-25, 1998	Co-Chair, International Forum on White Paper (IFWP), Geneva, Switzerland
July 1-2, 1998	Chair, International Forum on White Paper, Reston (IFWP), Virginia
Apr. 14, 1998	Speaker, Second Annual Investment Advisers Compliance Conference, New York
Feb. 5-6, 1998	Speaker, ALI-ABA Course of Study, Investment Adviser Regulation, Washington, D.C.
Dec. 4, 1997	Speaker, International Conference on Asset Securitization, Kuala Lumpur, Malaysia
Oct. 17, 1997	Panelist, Fiduciary Duties of Investment Managers, International Conference on Legal Aspects of Investment Management, organized by Ceje Droit Bancaire & Financier, University of Geneva
May 23, 1997	Speaker, Association of Trust Banks, Japan, Tokyo, Issues concerning fiduciary duties and Securitization
Feb. 18-19, 1997	Speaker, Issues Concerning Emerging Markets, presented at the Conference: "Comparative Study of Internationalization of Emerging markets and its Application to China," Beijing, China
Jan. 30, 1997	Speaker, The 1996 Amendments of the Advisers Act, Proposed Implementing Rules, ALI-ABA Course on Investment Advisers, Washington D.C.
Oct. 16-17, 1997	Co-Chair (with Clifford Kirsch), ALI-ABA Advance Course Study, Regulation of Investment Management, Washington, D.C.

- Oct. 17-18, 1996 Co-chair (with Clifford Kirsch), ALI-ABA Advanced Course Study, Investment Management Regulation, Washington, D.C.
- Oct. 12-13, 1995 Co-chair (with Clifford Kirsch), ALI-ABA Advanced Course Study, Investment Management Regulation, Washington, D.C.
- Apr. 21, 1994 Speaker, Seminar on Mutual Fund and Investment Advisor Compliance For New Complex Products & Transactions. Institute for International Research. New York
- Sept. 13, 1994 Panel Member, Spotlight On Derivatives, Facing New Realities New York What Capabilities and Controls Do Funds Need for the Derivatives Business Today? Some Suggested Guides for Fund Directors, Organized by Fund Directions
- June 12, 1992 Panel Member, Annual New England Securities Conference
- 1984 Speaker: Symposium: Current Issues in Corporate Governance, 45 Ohio State L. J. 629-63

Bar, Professional Associations and Editorial Boards Memberships

Massachusetts Bar Association
 American Bar Association, Section of Corporate, Banking and Business Law
 American Bar Foundation
 Life Member, American Law Institute
 Board of Editors Investment Lawyer (Aspen Law & Business)
 Board of Editors, Regulation and Governance (Blackwell, Inc.)
 Board of Editors, Villanova Journal of Law and Investment
 ALI-ABA Advisory Committee, Securities Regulation
 Board Member. D2D Not for Profit Corporation, devoted to encouraging savings by low-income persons
 Member, Scientific Advisory Committee for the FINSERVE Consortium