



Investment Management

"CP 11/15 – re-tweaking CASS, custody liens and title transfer collateral arrangements", Complinet 3 August 2011

"Goldman Sachs: the final notice misdiagnosis", Compliance Monitor, October 2010

"SocGen and transaction reporting – one more tale of misinformation", Complinet, 31 August 2010

"The Lehman client money case – a brief analysis", Complinet, 10 August 2010

"The FSA's review of its 2005 reform of with-profits – a slow painful death?", Complinet, 6 July 2010

"The three client money fines, Close, JP Morgan and Rowan Dartington", Wolters Kluwer, 10 June 2010

"CP10/09 reforming CASS for UK authorised prime brokers", Complinet, 9 April 2010

"Investment funds compliance – a new hot topic", Compliance Monitor, March 2010

"CP10/09 reforming CASS for UK authorised prime brokers" Complinet 9 April 2010

"Investment funds compliance – a new hot topic" Compliance Monitor March 2010

"CP 05-13 The FSA looking for meaningful retail disclosure of bundling and softing", Compliance Online, 3 October 2005

"PS04/23 Commentary: FSA trying to unbundle commission", 22nd November 2004

"The State of Independence- the FSA tests its new rules on research", Compliance Online 3 October 2005

"PS04/13 - The FSA goes soft on the Bundled Brokerage and Soft Commission", Compliance Online 10 May 2004