

CURRICULUM VITAE

EGON GUTTMAN LEVITT MEMORIAL TRUST SCHOLAR PROFESSOR OF LAW

PERSONAL

Office: The American University, y
Washington College of Law,
4801 Massachusetts Ave., N.W.,
Washington, D.C. 20016.
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PRE LAW EDUCATION:

University of Cambridge, England
Pembroke College, (English Literature)

LEGAL EDUCATION

University of London, London School of Economics and
Political Science, 1948-52.

Institute for Advanced Legal Studies, 1950-52.

Council on Legal Education, London, England, 1949-52.

Northwestern University, Chicago, Illinois, 1958-59.

Law Degrees:

LL.B., 1950 (London)
LL.M., 1952 (London)
Ph.D., 1954 (London)

MEMBERSHIP OF BAR

Barrister at Law of the Middle Temple, England,
(Call: Hilary Term 1952).

Pupillage:

Cyril Hawser, Q.C. (late Judge Hawser)
1 Garden Court, Middle Temple, 1952-1953

FELLOWSHIPS

Leverhulm Scholar, 1948-51.
Univ. of London Post Graduate Studentship 1951-52.

Ford Foundation Graduate Fellow (Northwestern
Univ.) 1958-59.

New York Univ. Summer Workshop Fellowships, 1960, 1961, and 1964.

Fellow of The American University, 1970.
Graduate Dean's Excellence Fund.

Senior Fellow, American University Institute for Advanced Studies in Justice, 1973 to 1978.

RECOGNITION

D.Jur. (h.c.) Heidelberg University (1958).
Outstanding Educators of America, 1970 and 1973.
American University Student Bar Association
Outstanding Service Award, 1970.
John Sherman Myers--Phi Delta Phi.
Award for Teaching Excellence, 1972.
American University Law Review.
Outstanding Service Award, 1981.
Washington College of Law Award for
Outstanding Contribution to Academic
Program Development, 1981.
Levitt Memorial Trust Scholar, since 1982.
Who is Who in American Law, since 1986 .
Who is Who in America, since 1987.
Dictionary of International Biography,
Cambridge, England since 1987.

LEGAL PRACTICE

England:

1952 to 1953

Practice at the English Bar, Chambers at 1
Garden Court, Middle Temple,
London, England. (various commercial and
family law cases)

1948 to 1953

Poor Man's Lawyer. [free legal aid and advice]

LEGAL PRACTICE (continued)

Anglo-Egyptian Sudan and Republic of Sudan: (until 1956 under the
Sudan

Political Service-British Foreign Office)

1953-58

Research Assistant to Chief Justice Abu Ranat
of the Sudan Judiciary (equivalent to US
Supreme Court Law Clerk)

United States:

1974 to date Member of the National Community Dispute Settlement Panel of the American Arbitration Association

1989 to date New York Stock Exchange- Arbitrator on Securities Issues such as Broker/Dealer - Customer Disputes:

1999 to date National Association of Securities Dealers- Arbitrator on Securities Issues

Expert Evidence, Briefs and Opinions

Expert Evidence: Crouch, et al v. Prior, et al Civ. No.1995-108-F-STX (1995)905 F.Supp.248(D.VI.1995)

Rescue Mission Alliance of Syracuse v. Prudential Securities, Inc., 95-CV-0861(1996)U.S.Dist.Ct. N.NY

1985 In re ESM, Federal District Court, S.D.Fla.

Pentech Int'l Inc. v. Wall Street Clearing Corp., 772 F. Supp. 807 (S.D.N.Y. 1993)

In re Dean Witter, NYSE Arbitration 1994

Dolmen (1994) Inc., v. BMO Nesbitt Burns Ltée and American Stock Transfer & Trust Co., Superior Court, Province of Quebec, District of Montreal, Canada. No. 500-05-063028-011. Expert Testimony and Affidavit Opinion

Guinness PLC v. Ward, High Court of Justice, England. Expert Evidence Affidavit: Guinness v. Ward, High Court of Justice, Chancery Division, London, England.

Expert Evidence Affidavit: Montgomery, et al v. Leftwich, Moore & Douglas, et al. D.C.D.C. 1995.

Expert Evidence, Opinions and Briefs

Expert Evidence (Continued)

Expert Evidence Affidavit: Atlantic Tele-Network, Inc., v. Cornelius Prior, et al., Territorial Court of the U.S., Virgin Islands Division of St. Croix. Virgin Islands. (1995)

Expert Evidence Affidavit: Cockrell v. Prudential-Bache Securities (American Arbitration Association, 1996)

U.S. v. Rennert, et al, U.S. District Court, E.D.PA. (1997) (Expert for the Pennsylvania U.S. Attorney (The accused were found guilty).

Expert Evidence Affidavit :Tufts, et al v. Whitney National Bank of New Orleans,National Westminster Bank, PLC and the Council of Lloyd's, et al., U.S. District Court, E.D. Louisiana,Civil Action No.92-2645 (1997)(Action involved a letter of credit)

Expert Evidence Affidavit: Enserch Corp. n/k/a TXU Gas Co. and Texas Utilities Co., v. Harris Trust and Savngs Bank and Harris Trust Co. of New York, U.S. Dist. Ct. N.Dist.Texas, Civ.Action No.3:99-CV-2438L (1999-2002)

Expert Evidence Affidavit: John H. Faro v. Corporate Stock Transfer, Inc., 11th Judicial Circuit-Miami-Dade County, Florida, Case No. 98-19091 CA 04

Briefs:

Supreme Court of the United States, October Term, 1976. Howard Piper et al. v. Chris-Craft Industries, Inc., et al. Brief of the Securities & Exchange Commission as Amicus Curiae.

U.S. Court of Appeals for the Seventh Circuit.
Henry T. Sanders v. John Nuveen & Co., Inc.,
et al. Brief of the Securities & Exchange
Commission as Amicus Curiae, (1977).

Expert Evidence, Opinions and Briefs

Briefs (Continued)

U.S. Federal District Court, Southern District of
New York. In the matter of Weiss Securities,
Inc., Debtor. Brief of the Securities and
Exchange Commission. Also on Appeal to
U.S. Court of Appeals for the Second Circuit,
(1977).

U.S. Federal District Court, Southern District of
Florida. In Re ESM Government Securities,
Inc.,
Brief for Board of Education, Memphis,
Tennessee City Schools, (1986).

U.S. Court of Appeals for the 11th Circuit.
FDIC v. Jenkins, et.at., Brief for Appellants,
Shareholders in Florida Park Bank, Inc., (1989).

In re Bacardi, Bacardi v. Bacardi & Co., Inc.,
SEC Admin. Proc. File No 3-7019. CCH 1989-
1990 [Decisions]¶ 84,515 (A.L.J.Initial Decision
Feb. 15, 1990)(Brief Opposing termination of
registration in an attempt to go private)

Pentech International, Inc., v. Wall Street
Clearing Co., 772 F.Supp.807 (S.D.N.Y.1991)
Brief on appeal to the Second Circuit 1992).

U.S. Court of Appeals for the District of
Columbia Circuit, Hugo Princz v. The Federal
Republic of Germany, Brief Amicus Curiae
(A.D.L.) (1993). Following reversal in U.S.
Court of Appeals, Petition for a Writ of Certio-
rari to the U.S. Supreme Court, Drafted Brief

Amicus Curiae (1994). (Filed by Professors of International Law at various Universities throughout the U.S.).

The Republic of Paraguay v. George Allen, U.S. Court of Appeals No.96-27780 (4th Cir. 1997)

Expert Evidence, Opinions and Briefs

Opinions

There are numerous opinions that I have written, but since cases were settled, I can not divulge the name of the parties nor that of the attorneys who requested these opinions

Legal Service with U.S. Governmental Agencies

U.S. Congress

1973

Consultant, Congressional Commission to revise the Bankruptcy Laws of the U.S.

U.S. Department of State

1989 to date

Member, Secretary of State's Advisory Committee on Private International Law.

1988 to date

U.S. Department of State Various Working Groups on International Commercial Transactions, e.g. Working Group on International Credit Transfers; The Hague Convention on the Law Applicable to Certain Rights in Respect of Securities Held with an Intermediary

1988-1993

Member-Advisory Committee to the U.S. Representatives to UNCITRAL Working Group on a Model Law on International Credit Transfers.

1988-1995

U.S. Delegate to meeting of UNCITRAL Working Group on International Contract Practices on "Stand-by Letters of Credit and Guarantees," Vienna Nov. 21-30, 1988. New York Jan. 8-18, 1990.

1988

U.S. Delegate to UNCITRAL Meeting on Model Rules for Electronic Credit Transfers. New York, N.Y.

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| 1992 | U.S. Delegate to UNCITRAL Meeting on Uniform Commercial Law in the Twenty-First Century, New York, May 18 - 22, |
| 1996 | U.S. Delegate on UNCITRAL Working Group on Receivables Financing, N.Y. July 8-19, November 18 th 1996. |
| Securities & Exchange Commission: 1976-77 | Attorney-Fellow and Special Advisor to the General Counsel of the Securities & Exchange Commission. |
| 1978 (Summer) | Special Advisor to the Director, |
| 1979 (Summer) | Division of Enforcement, Securities |
| 1980 (Summer) | & Exchange Commission (Judge Stanley Sporkin) |

Legal Service with U.S. Governmental Agencies

(Continued)

Other U.S. Governmental Agencies:

| | |
|---------------|--|
| 1969 (Summer) | Staff Advisor, Board of Appeals & Review, U.S. Civil Service Commission. |
| 1972 | Consultant to the Director, Office of Equal Opportunity, U.S. Department of Agriculture. |
| 1986-1987 | U. S. Central Intelligence Agency- Legal Counsel Office of General Counsel |
| 1989 to 2000 | Early Neutral Evaluator, Office of the Circuit Executive U.S. Courts, District of Columbia, in Securities and Commercial disputes. |

Testimony and Written Comments Before U.S. and State Legislative Committees and U.S. Governmental Agencies

U.S. Congress-Senate

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| 1962 to 1972 | Member of Ad-Hoc Drafting Committee on S.316 Consumer Protection Legislation introduced by U.S. Senator Morse including draft of D.C. Retail Installment Sales Bill. (pre-home rule). |
| 1967 | U.S. Senate Committee on the District of Columbia--Testified on behalf of the Ad Hoc Committee on Consumer Protection on Bills No. S.316; S.2589; S.2590 and S.2592 (Dec. 12, 1967). |

U.S. Congress-House of Representatives

1972 Testified before U.S. House of Representatives, Committee on Post Office and Civil Service on Adverse Actions Appeals in the Civil Service Commission. H.R. 92-54 Ser. No. 85-389.

1976 Testified Before U.S. Congress House Judiciary Committee on H.R. 31 and H.R. 32 Proposed Bankruptcy Act Revision; Broker-Dealer Bankruptcies

U.S. Federal Trade Commission

1967 U.S. Federal Trade Commission Testified on Proposed a) Consumer Protection Guides and b) Automobile Warranties.

1971 Testified before the U.S. Federal Trade Commission on Proposed Regulation of Door to Door Salesmen (March).

Testimony and Written Comments Before U.S. and State Legislative Committees and U.S. Governmental Agencies (Continued-U.S. Senate)
(continued)

1973 Testified before Federal Trade Commission on Proposed Rules to abolish the holder in due course concept in consumer transactions and to regulate liability of credit card companies.

1973 Testified before U.S. Federal Trade Commission on Proposal to Regulate Liability of Finance Companies, Banks, and Credit Card Issuers relating to underlying transactions.

1980 Testified Before U.S. Federal Trade Commission on Proposed Amendments to 16 C.F.R. Sec. 433.2 (1975) extending responsibility of financier to breach of consumer contract by seller, where financier is in an affiliate relationship with seller of consumer products.

U.S. Department of State

1996 Comment on the "Possible U.S. Position on Electronic Registries for Cross-Border Entries in UCC-Article 9 Type Filing."

1999 Review of Preliminary Draft Hague Convention on Jurisdiction and the Effect of Judgments in Civil and Commercial Matters.

2002 Analysis of the International Convention on International Bills of Exchange and

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| | International Promissory Notes for submission to the Senate of the U.S. for ratification. |
| U.S. Treasury 1996 | Comments on Proposed U.S. Treasury Regulations affecting transfers of government securities. Comment on the proposed Treasury/Reserve Automated Debt Entry System (TRADES) |
| Securities & Exchange Commission 1980-2001 | Various comments to Securities and Exchange Commission on proposed Rules dealing with broker/dealer and transfer agents. |
| Federal Reserve Board 1973 | Commented on Proposed Amendments to Federal Consumer Protection Act "Truth in Lending Act" and Regulation Z to the Federal Reserve Board. |

Testimony and Written Comments Before U.S. and State Legislative Committees and U.S. Governmental Agencies (Continued)

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|------------------------|---|
| States 1959 to 1960 | Analysis of Uniform Commercial Code-Article 8-Investment Securities for the Commission to Study and Report on the Uniform Commercial Code for the State of New Jersey. Printed in Special Report 1960 and reprinted in 12A NJSA pp. 125-307 (West Publisher 1962) |
| 1966 | Review of New York State legislation regarding the effect of the Uniform Commercial Code--Article 8 on other statutory laws for the New York State Law Revision Commission. |
| 1967 | Hearings before the National Commissioners on Uniform State Laws on A Uniform Consumer Credit Code-Chicago, Illinois Mississippi Law Institute-Adoption of the Uniform Commercial Code-Article 8-Investment Securities. (December 8 th 1967). |
| 1970 | Testified before Maryland Senate Judicial Procedure Committee, March 26, 1970 on Consumer Class Action Bill. |

1980 Testified Before Maryland Joint House & Senate Committee on the Revision of the Maryland Code, House Bill No. 1, Title 7, The Nurse Practice Act.

TEACHING POSITIONS

Present Position:

1968 to date Levitt Memorial Trust Scholar-Professor of Law, American University, Washington College of Law. (Emeritus since 2002)

Prior Positions:

1965 to 1968 Associate Professor, Howard University School of Law.
1962 to 1966 Assistant Professor, Howard University School of Law.
1960 to 1962 Assistant Professor, Faculty of Law, University of Alberta, Canada.
1959 to 1960 Teaching and Research Associate, Rutgers University School of Law, Newark, New Jersey.
1954 to 1958 Lecturer in Law for University of London, LL.B. degree at the University College and the University of Khartoum.
1953 to 1954 Assistant Lecturer in Law for University of London, LL.B. degree at University College of Khartoum, Sudan.

Visiting Professorships:

2000 (May) Visiting Professor Faculty of Law, Haifa University, Israel.
1984 Member Faculty of Law, University of Cambridge, England. (Easter Term) Visiting Scholar, Wolfson College, University of Cambridge, England.
1968 to 1996 Visiting Professor of Law, Howard University School of Law. (Joint appointment with American University, Washington College of Law).
1965 to 1968 Visiting Associate Professor of Law, American University, Washington College of Law (Joint appointment with Howard University School of Law)

TEACHING POSITIONS (Continued)

1958 Visiting Professor at the University of Heidelberg, Germany, Faculty of Law.

Adjunct Professorships:

1973 to 1981 Adjunct Professor, Johns Hopkins University
1973 to 1981 Adjunct Professor of Law, The Johns Hopkins University.
1972 to 1974 Adjunct Professor, Georgetown University Law Center.

Lecturer:

1973 & 1975 Lecturer on Comparative Law at American University Law & Policy Abroad Program, at the Hebrew University in Jerusalem.

1973 Lecturer, American Law Institute-American Bar Association-Practicing Law Institute Post Graduate Course in Federal Securities Law (Haverford College, Haverford, Pennsylvania).

1964 to 1970 Lecturer, Practicing Law Institute on Securities and for D.C.Bar Examinations

1953 to 1958 Lecturer for the Sudan Public Service Examinations. (Sudan Political Service)

1951 to 1953 Part-time Lecturer in Law & Civics, London County Council.

Administrative Positions

1996 to 1999 Director J.D.-M.B.A. Joint Degree Program, American University

1964 to 1968 Director, Graduate Program, Howard University School of Law.

Committee Assignments

1968 to date Rank & Tenure-Committee-Washington College of Law
1987 to date Washington College of Law-Ad-Hoc Committee on Internships, Sub-committee on internships at the S.E.C., C.F.T.C., N.A.S.D., N.Y.S.E., SIA. and U.S. Department of State.

2001 to 2002 Washington College of Law-Standards & Evaluation Committee.

1991 to 1992

1986 to 1987

1972 to 1976

1975 to 2000 Washington College of Law-J.D/MBA Committee

1993 to 2001 Washington College of Law-Budget Committee

1981 to 1985

1979 to 1980

1987 to 1990 Washington College of Law-Curriculum Committee

1969 to 1971

TEACHING POSITIONS

Academic Assignment (Continued)

1973 to 1978 American University-Interdisciplinary Studies Committee.

1970 to 1978 Washington College of Law-Faculty Appointments Committee

1971 to 1976 Washington College of Law-Research and Development Committee.

1970 to 1975 Senate of the American University.

1966 to 1968 Howard University Representative, Fund for Education in World Order

| | |
|--|---|
| 1954 to 1958 | University of London External Examiner for the LL.B. Degree at The University College and University of Khartoum, Sudan |
| 1954 to 1958 | University of London External Examiner for the LL.B. Degree at The University College and University of Khartoum, Sudan |
| Faculty Adviser: 1968 to 2002 1999 to 2002 | A.U. Law Review Advisory Committee A.U. Int'l Law Review Advisory Committee |

PUBLICATIONS

Books:

The Comparative Conflict of Laws, with reference to the Legitimacy and Legitimation of Children, a dissertation for the LL.M. degree, University of London, 1952.

Crime, Cause and Treatment, (Sudan Judiciary, 1957).

Cases & Materials on Domestic Relations, (University of Alberta Casebook, 1962), (with Dr. A. Smith)

Doing Business in the District of Columbia:
No. 1--The Barbershop (Howard University, 1967)

No. 2--The Valet Service Establishment (Howard University, 1968).

No. 3--The Beauty Parlor (Howard University, 1969).

Cases and Materials on Policy and the Legal Environment (Johns Hopkins University (1973) (Rev. ed. 1978 with Robert G. Vaughn).

Publications

Books (Continued)

Secured Transactions--A Simplified Guide (Washington College of Law 1995) (with R.B. Lubic).

Modern Securities Transfers.(1st Edition 1967 with the late Carlos L.Israels). 2nd Edition 1971) (Annual Cumulative Supplements 1971-1986). 3rd Edition 1987 (Annual Cumulative

Supplements

1989-2001) West Group. Revised Third Edition: Volumes 28 and 28A Securities Law Series (last update 2005) 4th Edition in preparation West Group 2006.

Problems and Materials on Secured Transactions Under the Uniform Commercial Code, Commercial Transactions Volume One.(Anderson & Co. 1992) Teachers' Manual 1998.Co-Authored with Louis F. Del Duca and Alphonse M. Squillante (Supplement 1996, with Fred H. Miller,)

Secured Transactions Under the Uniform Commercial Code and International Commerce.Co-Authored with DelDuca, Miller, Winship and Henning.(Anderson & Co.2002).

Problems and Materials on Sales Under the Uniform Commercial Code, and the Convention on International Sale of Goods, Commercial Transactions Volume Two. Co-Authored with Louis F. Del Duca and Alphonse M. Squillante (Anderson & Co. 1992, Supplement 1997 with Fred H. Miller, and Peter Winship).(new edition 2006 with Del Duca, Miller, Winship and Hennings)

Problems and Materials on Negotiable Instruments Under the Uniform Commercial Code and the United Nations Convention on International Bills of Exchange and International Promissory Notes,

Commercial Transactions Volume Three. Co-Authored with Louis Del Duca and Alphonse M. Squillante (Anderson & Co. 1993 AnnualCumulative Supplement 1996- 1997).(Includes a Chapter on Letters of Credit) (new edition in progress)

Publications

(Chapters in Books)

Study of the Uniform Commercial Code for the State of New Jersey, Article 8 Investment Securities (Soney and Sage Co., New Jersey, 1960).

Mississippi Law Institute: Transactions--Uniform Commercial Code--A Negotiable Instruments Law for Investment Securities--Article 8 (Bobbs-Merril Publishing Co., 1967).
Techniques, Procedures and Pitfalls under the Uniform Commercial Code--Proceedings of the First Annual Uniform Commercial Code Institute--Handling of Issuance and Transfer of Stocks,

Bonds, and Other Investment Securities (Warren, Gorham & Lamont, Inc., 1968)

"Statement of the Ad Hoc Committee,"
Consumer Viewpoints Vol. 1 (Consumer Research Foundation 1971).

Analysis of Albania's Foreign Investment Act, ABA Central and East European Law Initiative (ABA-CEELI Publication, May 1992)

Analysis of a Proposal for a Securities Law for the Republic of Macedonia, ABA Central and East European Law Initiative (ABA-CEELI Publication, August 16th, 1996).

U.S. Securities Law: Law of the United States Affecting Trade with Latin America/El Derecho de los Estados Unidos en Materia de Inversiones y Libre Comercio, National Law Center for Inter American Free Trade, Volume III Chapter 20 (Fred B. Rothman Publications 2001).

Analysis of the Draft Book of Listing Rules on Varazdin OTC Market for the Republic of Croatia.

(ABA-CEELI Publication, January 23, 1998)

Comments on the Bulgarian Law on Banking (ABA-CEELI Publication, December 1998)

Comments on the Moldovan Foreign Investment Law (ABA-CEELI Publication, Sept. 1998)

Articles

"Homicide and the Supernatural," 65 L.Q. Rev. 491 (1949), reprinted 23 Conn. B.J. 159 (1949). (Assisted Prof. Glanville L. Williams in research and first draft.)

"Presumptions of Legitimacy and Legitimation Arising Out of Birth in Lawful Wedlock," 5 Int'l. & Comp. L.Q. 217 (1956).

Editorial, (1956) Sudan Law Journal & Reports 1.
"A Survey of the Sudan Legal System" (1956)
Sudan L.J. & Rep. 7.

(Articles continued)

Land Tenure Among the Azande People of Equatoria Province of the Sudan," 37 Sudan Notes & Records 48 (1956).
"The Reception of the Common Law in the Sudan," 6 Int'l. & Comp. L.Q. 401 (1957).
"Law reporting in the Sudan," 6 Int'l. & Comp. L.Q. 685 (1957).
"The Status of Legitimacy in Comparative Conflict of Laws," 8 Int'l & Comp. L.Q. 678 (1959).
"The Refugee in Litigation," 8 Int'l. & Comp. L.Q. 730 (1959).
"Consideration vs. Causa"--Juristische Woche (Germany, 1959).
"Whither Legitimacy: An Investigation of the Choice of Law Rules to Determine the Status of Legitimacy," 15 Rutgers L. Rev. 756 (1960).
"Investment Securities Under the Uniform Commercial Code," 11 Buffalo L. Rev. 1 (1961).
"Article 8 of the Uniform Commercial Code," 17 Rutgers L. Rev. 136 (1962).
"The Transfer of Shares in a Commercial Corporation--A Comparative Study," 5 Boston College Industrial & Commercial L. Rev. 411 (1964).
"Article 3, Commercial Paper: An updating of Well-Tried Concepts," 11 Howard L.J. 49 (1964).
"The Transfer Agent and the Uniform Commercial Code," (with Carlos L. Israels) 21 Business Lawyer 981 (1966). Reprinted 83 Banking Law Journal 941(1966).
"Wilson v. Shearson, Hammill & Co." -- A Comment, 14 Howard L.J. 330 (1968).
"The Handling of Issuance and Transfers of Stocks, Bonds and other Investment Securities," 1 Uniform Commercial Code Law Journal 335 (1968-69).
"A New Approach to Warranty Disclaimers," Innuendo, March, 1969).

"The Development and Exercise of Appellate Powers in Adverse Action Appeals," 19 The American University L. Rev. 323 (1970).
"Legal Aspects of Broker-Customer Relationships," Securities Regulations & Transfer Report, (Special Report Issue, 1971). Warren, Gorham & Lamont.
"Broker-Dealers Serving on Boards of Directors," 77 Commercial L. J. 5 (1972), and N.Y. Law Journal, June 16, 17, 1972.

Articles (Continued)

"The Net Capital Rules for Broker-Dealers," 24 Stanford L. Rev. 603 (with N. Wolfson), reprinted N.Y. Law Journal, June, 1972.
Broker-Dealer Bankruptcies: A Study of Section 60e of the Bankruptcy Act and of the Securities Investor Protection Act," 48 N.Y.U. Law Rev. 887-963 (Nov. 1973).
The Futures Trading Act of 1978: Reaffirmation of Coordinated CFTC-SEC Jurisdiction over Commodity/Securities. 28 Am. Univ. Law Rev. 1 (1979). (This paper was used as a basis by the North American Securities Administrators Association's Brief-Amicus Curiae before the U.S. Seventh Circuit Court of Appeal: Board of Trade of the City of Chicago vs. Securities and Exchange Commission)
"Toward an Uncertificated Security: A Congressional Lead for States to Follow," 37 Wash. & Lee L. Rev. 717 (1980).
"The Transfer of Securities in Organized Markets, A Comparative Study of Clearing Agencies in the United States of America, Britain and Canada," 19 Osgood Hall L. Rev. 400 (1981) (with Thomas P. Lempke).
"Federal Regulation of Transfer Agents," 34 Am. U. L. Rev. 282 (1985).
"Bank Guarantees and Standby Letters of Credit: Moving Toward A Uniform Approach," 56 Brooklyn L. Rev. 167 (1990).
"Transfers of Securities: State and Federal Interaction," 12 Cardozo L. Rev. 437 (1990).
"Investment Securities Law: New Federal and State Developments and Their Effect on Article 8," 24 U.C.C. L.J. 307 (1992). Reprinted Commercial Law Annual 1993 (Clark Boardman Callaghan)
"U.C.C. D.O.A.: Le Roi Est Mort, Vive Le Roi,"

26 Loyola L.Rev. 625 (1993)
 "The Concept of Neutrality Since the Adoption and Ratification of the Hague Neutrality Convention of 1907," 14 Am.U.Int'l L.Rev.55 (1998)
 "Mediating Industry and Investor Needs in the Re-Drafting of U.C.C. Article 8," 28 U.C.C.L.J. 3 (1994)
 Investment Securities as Collateral, 36 U.C.C..J. 3 (2004)

Book Reviews: T.O. Elias: African Customary Law, 37 Sudan Notes & Records 130 (1956).

Book Reviews(Continued) The Sudan Law Reports 1900-1940, 63 Journal of American Law Libraries 306 (1970).
 The Commercial Laws of the World, 63 Journal of American Law Libraries 386 (1970).
 Zaki Mustafa: The Common Law in the Sudan, 7 African Law Studies 73 (1972).

Comments Incorporated in Reports
 by American Bar Association-Central
 & Eastern European Law Initiative [CEELI]
 1990 to date

Comments on proposed Albanian Foreign Investment Act, and on the Kyrgystan Republic Foreign Investment Act, for the ABA Central and East European Law Initiative (CEELI Publication 1993)
 Comment on Draft Law on the Basic Provisions for Small Business in the City of Moscow (CEELI Publication, June 1995)
 Comments on a Proposal for a Securities Law for the Republic of Macedonia for the ABA Central and East European Law Initiative (CEELI Publication, 1996)
 Comment of the Membership Rules for the Zagreb Stock Exchange for the Republic of Croatia. (CEELI Publication,1996)
 Comment on the Book of Listing Rules of the Verazdin Croatia, Over the Counter Market (CEELI Publication, 1997)
 Comments on the Moldovan Foreign Investment (CEELI Publication, Sept. 1998)
 Comments on Bulgaria's Law on Banking (CEELI Publication, Dec.1998).

Law

Miscellaneous Publications: Various articles and notes in the Federal Bar News, and Newspapers on Commercial Law, Causes of Crime, Rent Control, etc.
 Case Notes on Article 5, Uniform Commercial Code, Business Lawyer annually since Volume 38. Latest Volume 45 (1991).
 Case Notes on Articles 8, Uniform Commercial Code, Business Lawyer, annually since Volume 23. Latest Volume 46 (1992).
 "British Commonwealth Case Notes," Issues of American Journal of International Law from January, 1959 to September, 1964.
 Foley v. Blair & Co., PREVIEW of United States Supreme Court Cases, AALS-ALI-ABA October term, 1973, No. 32 (April 3, 1974).

Miscellaneous Publications:
 (Continued) Comments on Oman Investment Banking Law, for
 the International Monetary Fund (1994)

MEETINGS AT WHICH PAPER WAS READ AND PROCEEDINGS PUBLISHED

| | |
|---------|---|
| 1956 | Participated and presented a paper--First International Congress of Comparative Law, Barcelona, Spain (1956 Unidroit). |
| 1961 | Panel on the Legal, Political and Diplomatic Implications of the Eichmann Case--Alberta, Canada B'nai B'rith Lodges, 1961. |
| 1963 | Teaching of the Uniform Commercial Code in Small Law Schools, 1963 Round Table A.A.L.S. |
| 1964-65 | Uniform Commercial Code Symposium, Federal Bar Association and Howard University.11 How.L.J. (1965) |
| 1965 | Symposium on Corporate Practice, Tax and Securities, Federal Bar Association and Howard University |
| 2002 | The Evolving Legal and Ethical Role of the Corporate Attorney after the Sarbanes-Oxley Act of 2002: Introduction of Judge Sporkin Key-Note Speaker 52 AU Law Rev. 52 (2003). |

OTHER PROFESSIONAL EXPERIENCES

| | |
|---------------------------------|---|
| 1953 to 1958 | Sudan Political Service (U.K. Foreign Service) |
| 1957 to 1958 | Editor in Chief, The Sudan Law Journal and Reports. (Founded the Law Journal and started Law Reporting in the Sudan on a more professional and regular basis). |
| 1966 to 1986 | Member Editorial Board, European Transport Journal, Antwerp, Belgium. |
| 1986 to 1993 | ABA and NCCUSL Drafting Committee on Articles 3 and 4A of the UCC |
| 1988 to date | A.B.A. Working Group on International Electronic Commerce. |
| 1988 to 1990 | A.B.A.Task Force on the United Nations Convention on International Bills of Exchange and International Promissory Notes. |
| 1989 to 1994 | A.B.A. Advisory Committee on Settlement of Market Transactions and American Law Institute Representative on the National Conference of Commissioners on Uniform State Laws' Drafting Committee to Revise U.C.C.-Article 8 (Investment Securities). |
| 1989 to 1995 | A.B.A. Working Group on International Bank Guarantees and Standby Letters of Credit. Participant on the Drafting Committee of the A.L.I., A.B.A. and National Conference of Commissioners on Uniform State Laws drafting revisions of U.C.C.-Article 5 (Letters of Credit) |
| 1992 to 1996 | A.B.A. Book-Entry Regulations Task Force on Treasury/Reserve Automated Debt Entry System (TRADES). |
| 1992 to date | A.B.A.Task Force on: U.C.C.-Article 1 A.B.A. Ad Hoc Committee on:Payment Systems Subcommittee on Articles 3, 4 and 4A. A.B.A. Ad Hoc Committee on: Uncertificated Debt Securities. A.L.I. and A.B.A. Working Groups on: U.C.C.- Articles, 2 - Sales; 7 - Documents of Title; and 9 - Secured Transactions. |
| 1993-1995 Reform, Depository | Consultant, Harvard Project on Economic Harvard Institute for International Development, Privatization Issues: Share registry and Project. |

1994 Consultant to the International Monetary Fund on the Oman Investment Banking Law and laws and regulations governing Stock Exchanges.

OTHER PROFESSIONAL EXPERIENCES (Continued)

1995 A.B.A. Central and East European Law Initiative, Consultant on "Basic Provisions for Small Business in the City of Moscow," Russia.

1996 A.B.A. Central and East Europe Law Initiative, Consultant on A Securities Law for Republic of Macedonia (1996) (CEELI Publication August 16th, 1996)

1997 A.B.A. Central and East European Law Initiative, Consultant on a Concept Paper on Secured Transactions Law for the Federation of Bosnia and Herzegovina (1997) (CEELI Publication March 24th, 1997)

A.B.A. Central and East European Law Initiative, Consultant on "Draft Book of Listing Rules on Verazdin OTC Market" for the Republic of Croatia (December, 1997)

1998 Moderator: Conference on Neutrality, Morality and The Holocaust (A.U. W.C.L.)

1999 Moderator: Conference on Financial Services Through the Internet: "On Line Securities Offerings and Trading." American University, Washington College of Law (February 4th 1999)

Referee: The Journal of Legislative Studies, University of Hull, England: "An Overview of Securities Regulations and Insider Dealing in USA Law.

Interviews: Washington Times: The Supreme Court of Israel and the Sheinbein Case- Extradition or Trial in Israel (February 25th 1999)

Financial Net News: Conference on Financial Services Through the Internet. (February 16th 1999)

Department of Agriculture Graduate School: Interview with Russian Banking Representatives: U.S. Banking Regulations and Capital Requirements (November 22nd 1999)

2004 Board of Academic Contributors- Black's Law Dictionary-Eighth Edition (2004)

2005 Visiting Lecturer Bilgi University Faculty of Law, Istanbul, Turkey. Transparency and Liability in Issuing Securities

MEETINGS AND SYMPOSIA

1967 and annually to date Annual Uniform Commercial Code Institute, Investment Securities as Collateral Under the Revised UCC Articles 8 and 9. New York, Chicago and Washington: Investment Securities as Collateral
37th Meeting 2005.

1968 Comments, Round Table on Commercial Law, 22 J. of Legal Education, 357-359 (1970). Seminar on Community Developments, Duke University.

1971 Conference in N.Y.C. on "Compliance Problems of Securities Dealers," PLI.

1973 Panel Member, Outside Counsel/House Counsel: Special Problems of Attorneys on the Boards of
American Industry--A Policy conference sponsored by the New York Law Journal.

1974 Law and Morality in Anglo-American and Judaic Legal Systems--A comparative approach. Temple Israel Lecture Series.

1975 ALI-ABA Conference, "The Proposed Revision of the Bankruptcy Act of the U.S. as it Relates to Consumer Debtors," Chicago, Ill.

1987 Signature Guarantees in Redemption of Mutual Fund Shares; Investment Companies Institute, Washington, D.C.

1988 Panel on Collateralized Mortgage Obligations -- ABA Spring 1988 Meeting Philadelphia, Pa. ABA Annual Meeting, Electronic Messaging Technologies: Their Impact on Doing Business. Financing Transactions Supported by Security Interests in Investment Securities under the Uniform Commercial Code, Uniform Commercial Code Law Journal Symposium, Washington, D.C.

- 1990 ABA Business Law Section Spring Meeting, Boston, Mass.: International Developments:- Letters of Credits and Bank Guarantees:- Electronic Transfers of Credit.
- 1990 Beyond Negotiability: Securities Transfers and Stockbroker Regulation: The New Law of Negotiability & Transfers, Benjamin N. Cardozo Law Review-Samuel and Ronnie Heyman Center for Corporate Governance Symposium, New York City.

MEETINGS AND SYMPOSIA (continued)

- 1991 ABA Business Law Section Spring Meeting, Williamsburg, VA.: - Revision of U.C.C. Article 8; - Letters of Credits and Bank Guarantees.
- 1993 32nd London-Leiden Meeting: British Institute of International & Comparative Law and the Europa Institute, Leiden, Netherland.
- 1995 (June 14th) 34th London-Leiden Meeting: Private Bargains and Public Control: The Process of Economic and Monetary Union.
- (October) Pennsylvania Bar Association Annual Meeting. Speech on Security Interests in Investment Securities
- 1996 (August) Ritsumeika University, Japan, Seminar for Research & Study of the Law of Consumer Protection- Review of Policy Approaches to Consumer Protection Under U.S. State and Federal Laws.
- (September 2) The Catholic University of America Columbia School of Law, the Jerusalem Institute for Israel Studies, The Arab Studies Society and the Jerusalem Arbitration Institute: Training Program for Arbitrators and Mediators: Symposium: Palestinian Law, Israeli Law and Conflict Resolution.
- (November 10) Introducing UCC Article 8 and Article 9 to Puerto Rico, Asociacion de Bancos de Puerto Rico
- (November 18) The Russian Securities Markets: Regulation and Practice, New York Law School
- 1997 (January) Association of American Law Schools (AALS) Annual Meeting: Comments on: The Ethical Implications of Globalization on the Teaching of

- Professional Responsibility and International Business Law
- (March 11) Introducing UCC Article 8 and Article 9 to Puerto Rico, Asociacion de Bancos de Puerto Rico.(Repeat of December Symposium for the Asociacion de Bancos de Puerto Rico)
- (April 18) American University-Washington College of Law Symposium: The Electronic Future of Cash: Panel on The Regulation of Electronic Cash.
- 1998 (August 19) Addressed Kiwani Club on Neutrality and Morality: The Bosnian Conflict.
- 1999 (December 21) Addressed B'nai B'rith Wheaton Lodge on reparation developments with Germany and Switzerland (December 21st 1999)

MEETINGS AND SYMPOSIA (continued)

- 2001 Krystall Nacht: The Development of Economic Anti-Semitism, Address to Jewish War Veterans
- 2002 (February 20) Bankrolling Terror, Panel Discussion at American Jewish Committee.
- (March 22) WCL Panel Discussion on the ENRON Case.
- (Nov.14-15) Advisory Committee on PIL, U.S. Dept. of State
- 2003 - 2004 Hague Convention on Law Applicable to Certain Rights in Respect of Securities Held with an Intermediary ("the PRIMA Convention")
- (June 4, June 9) Global Securities
- 2005 - 2006 ongoing Working Group Review of UNIDROIT Convention on Harmonized Substantive Rules Regarding Securities Held By an Intermediary
- 2006 (February10th) Bankruptcy 20(05) Chapter, Changes & Challenges

MISCELLANEOUS -TELEPHONE INTERVIEWS:

Telephone Interview by Capital Press on Private Securities Litigation Reform Act.February,26th,1997

WCL Moot Court Team Judge-Corporate Law Moot Court Competition at Widener Law School. (April1998)

Telephone Interview by Legal Times on Paraguay v. United States. Order of the International Court of Justice asking for stay of execution of Angel Breard

the

arrested and convicted of capital murder without Paraguayan Consul being informed thereof until after sentence of death. The World Court asked for a stay (denied by Gov. Gilmore and Breard was

executed) to determine whether there had been a violation of the Vienna Convention on Consular Relations.(1997).

Interviewed by Reporter from the Czech Business Journal RESPEKT (Thomas Nemecek) on U.S. Securities Law regarding Insider Trading (Requested interview by U.S. Dept. of State August 21st 2001).

Interviewed by British Television IGM on the ENRON Case and possible criminal indictments. January 10th 2002).

Interviewed by Reporter from Chicago Tribune on the action by shareholders in class action led by California Pension Fund regarding contribution from tort- feasons

MISCELLANEOUS -TELEPHONE INTERVIEWS:(Continued)

and the effect of the Private Securities Litigation Reform Act of 1995 and of the Securities Litigation Uniform Standards Act of 1998 on the ENRON Litigation

Interview by Public Broadcasting Service-Market Place- regarding reincorporation of U.S. Corporation in Bermuda and shareholders' rights to full disclosure of the effect such reincorporation has on them.(Sam Eton- June 13th 2002)

Market Place WETA Enron Sentences (October 17th 2002)

Baltimore Sun Sentence on John M. Rusnak for currency trading violations as representative of AllFirst Bank (October 24th 2002)

Dow Jones Service on nomination of Robert Donaldson to Chair the SEC

Interview with MPR on Sarbanes-Oxley Act § 307 and SEC Proposed Regulations governing Attorney's Ethics. (January 7th 2003)

Business Week interview on "Going Private Issues-the 1934 Security Exchange Act-the

Petition of Institutional Investors to SEC to Stop de-Registration of Companies. (July 16th 2003)

RESEARCH IN PROGRESS

Remedies for Failure to Complete Sales
Contracts for Investment Securities.

The Free Transferability of Securities and of
Funds Across National Borders.

Fourth Edition of Modern Securities Transfers.

(West)

FOREIGN LANGUAGES

German, fluent reading and speaking.
Dutch, understood.
French, reading, weak speaking.
Hebrew, reading, weak speaking.

MEMBERSHIP IN LEARNED SOCIETIES AND COMMITTEES

American Law Institute-Life Member:

Permanent Editorial Board of the Uniform
Commercial Code--Member Consultative
Groups on amendments to Articles 1, 2, 7, and 9
and proposed Article 2B. (formerly member of
the Consultative Groups on Articles 3, 4, 4A,
5

MEMBERSHIP IN LEARNED SOCIETIES AND COMMITTEES (continued)

and 8. These Articles of the UCC have now been
amended and have being enacted by States).

ALI Liaison Representative to the National
Conference of Commissioners of Uniform State
Law Drafting Committee on U.C.C.-Article 8

American Bar Association:-

Business Law Section:-

Subcommittee on Relation to Other Law
Subcommittee on International
Commercial Law
Subcommittee on Investment Securities
Subcommittee on Letters of Credit
Subcommittee on Wire Transfer Law

Revision of the Uniform Commercial Code:

ABA-Ad-Hoc Committee on Payment Systems;
Subcommittee on Commercial Paper, Bank
Collection, Deposits and Payment. (UCC
Art.3,4,4A).

Ad-Hoc Committee on Uncertificated
Securities.

Task Force on UCC-Article 1 Review.
 Task Force on Electronic Messaging Services.
 Working Committee on International Bank
 Guarantees and Letters of Credit.
 Working Committee of the Advisory Committee
 on Settlement of Market Transactions.
 Standing Committee on Law & National Security.
 Federal Bar Association.
 American Trial Lawyers Association.
 British Institute of International & Comparative
 Law
 (England).
 Society of Legal Scholars (f/k/a Society of Public
 Teachers of Law (England)).
 The Honorable Society of the Middle Temple.
 Hardwick Society of the Inns of Court.
 Sudan Philosophical Society.
 Association of Canadian Law Teachers.
 American Society of International Law.
 Canadian Association of Comparative Law.

FRATERNITIES

B'nai B'rith--ARGO Lodge.
 Phi Alpha Delta--Langston Chapter.

COMMUNITY ACTIVITIES

President, The Foundation for Genetic Research
 in Brain and Behavior, Inc.

COMMUNITY ACTIVITIES (cont)

Member, Executive Committee, Sha'are Tzedek
 Hospital, Washington, D.C..
 Member, Board of American Jewish Congress-
 Capital Chapter.
 Member, American Jewish Committee.
 Member, World Jewish Congress
 Member, Zionist Organization of America
 Charter Member, U.S. Holocaust Museum
 Member, International Association of Jewish
 Lawyers and Jurists.

OTHER RELEVANT EXPERIENCES

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|-----------|--|
| 1960-1962 | Member, Canadian Bar Association; Committee on Comparative Law, Alberta Subsection. |
| 1963-1965 | Member, Council Round Table on Commercial Law, A.A.L.S. (Association of American Law Schools). |
| 1965-1967 | Member, Committee on Research, A.A.L.S. |
| 1969-1976 | American Society of International Law--Standing Committee. |

1970-date

Member, Creditors' Rights and Bankruptcy.
Section, A.A.L.S.

1970-1985

Member, Business Associations, Executive
Council, A.A.L.S.