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APPENDICES

Appendix A1. Securities Exchange Act Rel., No. 50700 (Nov. 18, 2004)

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Appendix B2. Lemke and Stone, "The Madoff Opportunity: Harmonizing the Overarching Standard of Care for Financial Professionals Who Give Investment Advice," Wall Street Lawyer (June 2009)

Appendix B3. Form ADV

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Appendix B16. History of the Advisers Act

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Appendix B21. SMC Capital, Inc., SEC No-Action Letter, 1995 WL 529274, Fed. Sec. L. Rep. ¶ 77,049 (Sept. 5, 1995)

Appendix B22. Section 28(e) of the Securities Exchange Act of 1934

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Appendix B24. *SEC v. Capital Gains Research Bureau*, 375 U.S. 18 (1963)

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