

Curriculum Vitae
Dirk Andreas Zetzsche

Born: 17 March 1975 in Duesseldorf, Germany
Nationality: German
Residence (as of March 2016): Germany and Luxembourg

Working Languages: German, English
Basic capacity: French, Greek and Italian
SSRN Author Page: <http://ssrn.com/author=357808>

I. CURRENT POSITION

- Professor of Law, Holder of the ADA Chair, Faculté de Droit, d'Économie et de Finance (FDEF), University of Luxembourg, from 1 March 2016.
- (non-executive) Director, Center for Business & Corporate Law, Faculty of Law, Heinrich Heine University Duesseldorf, since August 2012

II. ACADEMIC EXPERIENCE

University of Liechtenstein, Institute for Financial Services, 1/2010 – 2016

- Professor of Law, Propter Homines Chair for Banking and Securities Law, University of Liechtenstein / House of Finance, Vaduz, Liechtenstein
- Member of the University's Senate and the Habilitation Committee

Heinrich Heine University ["HHU"], Faculty of Law, Duesseldorf, Germany ("HHU"), 9/2004 – 2/2012

- Degree: Postdoctoral thesis ("Habilitation")
- Thesis title: "Principles of Collective Investments"
- Supervisor: Professor Dr. Ulrich Noack, Professor Dr. Christian Kersting, LL.M. (Yale)

Provincial Court of Duesseldorf, Germany, 11/2004 – 12/2006

- Degree: Assessor Juris (Equivalent to Bar Exam)
- Training included work for the 10th Commercial Chamber (Germany), the Prosecution Department for Organized Crime, Hengeler Mueller Rechtsanwälte (Germany) and Osler, Hoskin & Harcourt LLP (Toronto, ON)

University of Toronto, Faculty of Law, ON, Canada (“U of T”), 8/2003 – 8/2004

- Degree: Master of Law (LL.M.)
- Thesis “Explicit and Implicit System of Corporate Control” (A+), supervised by Prof. Iacobucci
- President of the Graduate Law Students’ Association

Heinrich Heine University, Faculty of Law, Duesseldorf, Germany, 1999 – 2004

- Degree: Doctor Juris
- Grade: Summa Cum Laude [recognition for best dissertation of the year]
- Thesis: „Shareholder Information in Public Corporations“, supervised by Professor Dr. Ulrich Noack, Professor Dr. Gerd Krieger
- Disputation on “The Price of Justice – the Method of Law and Economics”

Heinrich Heine University, Faculty of Law, Duesseldorf, Germany, 1994 – 1999

- Degree: First Juridical State Exam [J.D. equivalent] – with honours

Humboldt Gymnasium, Duesseldorf, Germany, 1985 – 1994

- Majors: Mathematics, History
- President of the Students’ Committee 1992/1993

III. PUBLICATIONS (excerpt)

1. English Publications

Books

- 1) The AIFM Directive 2011/61/EU (ed.), International Banking and Financial Law Series, Kluwer Law International, 2nd ed. (2015), ISBN 9789041140449, 969 S.
- 2) The AIFM Directive 2011/61/EU – European Regulation of Alternative Investment Funds (ed.), International Banking and Financial Law Series, Kluwer Law International (2012), ISBN 9789041140449, 796 S.

Book Chapters

- 3) *Competitiveness of Financial Centers in Light of Financial and Tax Law Equivalence Requirements*, in: Ross Buckley, Douglas Arner & Emiliios Avgouleas (eds.), *Rethinking Global Financial Law and Its Regulation* (Cambridge University Press, 2015), S. 390 - 419.
- 4) *Investment Law as Financial Law: From Fund Governance over Market Governance to Stakeholder Governance?*, in: Birkmose/Neville/Sorensen (eds.), *The European Financial Market in Transition*, Chapter 16, Kluwer Law Intern., S. 339-362 (2012).

In Zetzsche, 2nd edition (2015)

- 5) *Overview, Regulatory History and Technique*, in Zetzsche (ed.), *The AIFM Directive* (2nd ed. 2015), pp. 1 - 22.
- 6) *Scope of the AIFMD*, in Zetzsche (ed.), *The AIFM Directive* (2nd ed. 2015), pp. 39 - 84 (with C. Preiner).
- 7) *AIFMD vs. MiFID: Similarities and Differences* Zetzsche (ed.), *The AIFM Directive* (2nd Ed. 2015), pp. 121 -136 (with T. Marte).
- 8) *AIFMD vs. the Regulation on European Long-Term Investment Funds (ELTIFR)*, in Zetzsche (ed.), *The AIFM Directive* (2nd Ed. 2015), pp. 137 - 168 (with C. Preiner).
- 9) *AIFMD and the CSR Movement* (mit C. Preiner), *The AIFM Directive* (2nd ed. 2015), pp. 169 – 194 (with C. Preiner).
- 10) *Appointment, Authorization and Organization of the AIFM*, in Zetzsche (ed.), *The AIFM Directive* (2nd ed. 2015), 195 – 244 (with D. Eckner).

- 11) *Risk Management* , in Zetzsche (ed.), *The AIFM Directive* (2nd ed. 2015), pp. 325 – 392 (with D. Eckner).
- 12) *Investor Information and Disclosure and Transparency* , in Zetzsche (ed.), *The AIFM Directive* (2nd ed. 2015), pp. 393 - 432 (with D. Eckner).
- 13) *The AIFMD's Cross-Border Dimension, Third-Country Rules and the Equivalence Concept*, in Zetzsche (ed.), *The AIFM Directive* (2nd ed. 2015), pp. 433 – 480 (with T. Marte).
- 14) *(Prime-)Brokerage under AIFMD*, in Zetzsche (ed.), *The AIFM Directive* (2nd ed. 2015), pp. 575 - 608.
- 15) *Securizations*, in Zetzsche (ed.), *The AIFM Directive* (2nd ed. 2015), pp. 609 – 628 (with D. Eckner).
- 16) *AIFMD as Part of the Joint Principles of European Asset Management Law*, in Zetzsche (ed.), *The AIFM Directive* (2nd ed. 2015), pp. 863-870.

In Zetzsche, 1st edition (2012)

- 17) *Overview, Regulatory History and Technique, Transition*, in Zetzsche (ed.), *The AIFM Directive* (2012), S. 1 - 20.
- 18) *Scope of the AIFMD with De Minimis Threshold – Art. 1 to 5 AIFMD*, in Zetzsche (ed.), *The AIFM Directive* (2012), S. 39 - 70.
- 19) *AIFMD vs. MiFID: Similarities and Differences* (mit M. Wagner, V. Schloemer), in Zetzsche (ed.), *The AIFM Directive* (2012), S. 97 - 107.
- 20) *AIFMD and the CSR Movement* (mit C. Preiner), in Zetzsche (ed.), *The AIFM Directive* (2012), S. 137 - 158.
- 21) *Appointment, Authorization and Organization of the AIFM*, in Zetzsche (ed.), *The AIFM Directive* (2012), S. 159 - 197.
- 22) *Risk Management* (mit D. Eckner), in Zetzsche (ed.), *The AIFM Directive* (2012), S. 265 - 331.
- 23) *Investor Information, Disclosure and Transparency* (mit D. Eckner), in Zetzsche (ed.), *The AIFM Directive* (2012), S. 333-363.
- 24) *The AIFMD's Cross-Border Dimension and Third Country Rules - A Systematic Approach* (mit D. Litwin), in Zetzsche (ed.), *The AIFM Directive* (2012), S. 367-406.
- 25) *Prime Brokerage under AIFMD*, in Zetzsche (ed.), *The AIFM Directive* (2012), S. 489-524.
- 26) *Investment in Securitization Products* (mit D. Eckner), in Zetzsche (ed.), *The AIFM Directive* (2012), S. 527-556.
- 27) *AIFMD as Part of the Joint Principles of European Asset Management Law*, in Zetzsche (ed.), *The AIFM Directive* (2012), S. 747-754.

Journal Articles

- 28) The draft Shareholder Rights Directive's Regulation of Proxy Advisers vs. The Best Practice Principles for Shareholder Research Voting and Analysis – Need for further action?, RDTF 2016, Vol. 1 (in print).
- 29) Quack Corporate Governance III? The Capital Requirements Directive IV's Rules on Board Composition (with Luca Enriques), *Theoretical Inquiries in Law* 2015, pp. 211-244.
- 30) Going Dark Under German law – Towards an Efficient Regime for Regular Delisting, *Revue trimestrielle de droit financier (RDTF)* 4:1 (2014), 26-34.
- 31) Corporate Governance, Cross-Border Voting and the (draft) Securities Law Directive – enhancing investor activism by standardization – (with Christian Strenger), *Journal of Corporate Law Studies (JCLS)* 13:2, 503-552 (2013).
- 32) Risky Business of Regulating Risk Management (mit Luca Enriques), *European Company & Financial Law Review* 10:3, 371-313 (2013).
- 33) Against Mandatory Disclosure of Economic-only Positions Referenced to Shares of European Issuers – Twenty Arguments against the CESR Proposal, (2010) 11:2 *European Business Organization Law Review (EBOR)* 231-252.
- 34) Use and Abuse of Investor Suits – An Inquiry into the Dark Side of Shareholder Activism (mit E. Vermeulen), (2010) 7:1 *European Company & Financial Law Review (ECFR)* 1-62.
- 35) The BAFin's decision in Continental AG v. Schaeffler – Matter of Law, or Enforcement?, (2009) 10:1 *European Business Organization Law Review (EBOR)*, 115-147; previous as "Continental AG vs. Schaeffler, Hidden Ownership and European Law - Matter of Law or Enforcement?" in *ICFAI Journal of International Business Law* (2009) and *Direito dos Valores Mobiliários – University of Lisbon, Vol. IX, Coimbra Editora, 2009*.
- 36) Shareholder Passivity, the Internet and the Shareholder Rights Directive, (2008) 8:2 *Journal of Corporate Law Studies* 289 – 336.
- 37) Virtual Shareholder Meetings and the European Directive on Shareholder Rights – Challenges and Opportunities, in *Direito dos Valores Mobiliários – University of Lisbon, Vol. VIII, Coimbra Editora 2008*, 473 – 540.
- 38) Germany's Corporate and Securities Law 2007: (Getting) Ready for Competition (mit U. Noack), (2007) 4:3 *ICFAI Journal of Corporate and Securities Law* 19-62.
- 39) Corporate Governance Reform in Germany: The Second Decade (with U. Noack), (2005) *European Business Law Review (EBLR)* 16:5, 1033-64.
- 40) Shareholder Rights Preceding Shareholder Meetings of Public Corporations – A Six Country Comparison, in: (2005) *European Company Law & Finance Review (ECFR)* 2:1, 107-57.

41) *The Need for Regulating Income Trusts: A Bubble Theory*, in: (2005) University of Toronto Faculty of Law Review 63:1, 45 – 109.

Discussed by The National Post, Feb 18, 2005, at FP9; André Willis, The Globe & Mail, Apr 5, 2005, at B17; Tim Edgar, (2005) Canadian Tax Journal 53:2, 591-2; Ken Kivenko, The Fund Library Nov 3, 2005; Don MacDonald, The Montreal Gazette, Nov 7, 2005.

Ranked fourth by total number of downloads in SSRN's Journal of Canadian Law (as of January 19, 2007).

In English: Forthcoming

- *The Fund Investor's Standing to Sue – a European comparative analysis* (with Paolo Giudici, University of Bolzano) – forthcoming 2016
- *Asset Managers as Systemically Important Institutions – a U.S./Euro comparison* (with Jill Fish, University of Pennsylvania) – forthcoming 2016
- *Passporting Systems for Investment Fund Management and Distribution – The European vs. the Asian Model* (with Douglas Arner, Hong Kong University) – forthcoming 2016
- *Formal and Informal Enforcement and the Role of Specialized Business Courts* (with Erik P.M. Vermeulen).

In English: Working Papers

42) *Efficient Enforcement of Shareholder Transparency Rules*, January 2010.

43) *What can Patent Markets learn from Securities Markets?*, July 2008.

44) *An Ethical Theory of Corporate Governance History*, February 2007.

45) *Corporate Governance in Cyberspace – A Blueprint for Virtual Shareholder Meetings*, June 2005.

46) *Regulation of Standard Software Markets?* (draft, with M. Beurskens), June 2005.

47) *Explicit and Implicit System of Corporate Control – A Convergence Theory of Shareholder Rights*, LL.M. thesis, September 2004.

48) *Directors' Powers and Duties in Insolvency – A Functional Approach*, draft, August 2004.

49) *The Regulation of Software Industries – Comparative View*, May 2004.

2. German Publications (all titles translated)

Books and Academic Commentaries

50) *Principles of Collective Investments*, 1004 pp., Mohr Siebeck: Tübingen, 2015.

Reviewed by *Köndgen*, DIE AKTIENGESELLSCHAFT 2015, 839; *Freitag*, NEUE ZEITSCHRIFT FÜR GESELLSCHAFTSRECHT 2015, 1306; *Kreisl*, ZEITSCHRIFT FÜR FINANZMARKTRECHT 2016, 49.

51) S. 135 of the German Stock Corporation Act („AktG“) regarding voting by depositary banks, proxy solicitation and proxy advisors, in Zöllner/Noack (eds.), Kölner Kommentar zum Aktiengesetz, 3. Aufl. 2015 (334 pp.).

52) Articles 18 und Annex XV of the Prospectus Regulation on Collective Investment Schemes (with D. Eckner), in Holzborn (ed.), WpPG, 2nd ed. 2014.

53) Ss. 121 – 130 of the German Stock Corporation Act („AktG“) regarding procedural rules on shareholder meetings (with U. Noack), in Zöllner/Noack (eds.), Kölner Kommentar zum Aktiengesetz, 3. Aufl. 2010 (637 p.).

54) Introduction, ss. 16, 30, 33 - 39c, 59 - 68 of the German Takeover Law (with U. Noack) in Schwark/Zimmer (eds.), Kapitalmarktrecht (transl. Securities Law), 4th ed. 2010 (164 pp.).

55) S. 4 of the Securities Trading Law (WpHG) on the supervision by BaFin in Schwark/Zimmer (eds.), Kapitalmarktrecht (transl. Securities Law), 4th ed. 2010 (32 S.).

56) Ss. 325 - 329 of the German Commercial Code („HGB“) on the disclosure of annual accounts, in Claussen/Scherer (eds.), Kölner Kommentar zum Rechnungslegungsrecht (Cologne Commentary on Accounting Law, 2010 (approx. 120 p.).

57) *Law and Economics* (ed., with Michael Beurskens et al.), Conference Volume of the Society of Young Academics in Private Law (2008), Boorberg Verlag, Stuttgart 2008.

58) *Shareholder information in public corporations* (Dissertation), Carl Heymanns Verlag, AHW-Series Vol. 153, Cologne 2006.

59) *The virtual shareholder meeting* (editor), Berlin 2002.

Forthcoming

- Zetzsche/Lehmann (eds.), *Cross-border Financial Services*, Mohr Siebeck, 2016.
- Zetzsche, *European Securities Law*, Nomos Verlag, Baden-Baden, 2016 (monograph).
- Assmann/Wallach/Zetzsche (eds.), *Kapitalanlagegesetzbuch – KAGB („Collective Investment Act“)*, Otto-Schmidt-Verlag, Cologne 2017 pp.
- Ss. 241 to 249 of the German Stock Corporation Act („AktG“) regarding the contest of resolutions by the general meeting of shareholders (with U. Noack), in Zöllner/Noack (eds.), *Kölner Kommentar zum Aktiengesetz*, 3. Aufl. 2016 (app. 400 p.).
- Ss. 179 to 181 of the German Stock Corporation Act („AktG“) regarding the content of the Articles of the corporation, in Zöllner/Noack (eds.), *Kölner Kommentar zum Aktiengesetz*, 3. Aufl. 2016 (app. 200 p.).

Book Chapters

- 60) *Standing to Sue in the Investment Triangle and Investment Square*, in Festschrift Johannes Köndgen (2016) – in print (approx. 20 pp.)
- 61) “European Securities Law: Basics” (100 pp.) in *Encyclopedia on European Law*, Vol. VI (2015) (with D. Eckner).
- 62) “European Securities Law: Intermediary Law” (80 pp.) in *Encyclopedia on European Law*, Vol. VI (2015) (with C. Preiner).
- 63) “European Securities Law: Market Abuse Law” (90 pp.) in *Encyclopedia on European Law*, Vol. VI (2015).
- 64) “European Securities Law: Corporate Finance Law” (60 pp.) in *Encyclopedia on European Law*, Vol. VI (2015) (with W. Wachter).
- 65) *Commenting and Commentaries of the European-German Business Law*, in: Festschrift 200 Years Carl Heymanns Verlag (2015), pp. 213-228.
- 66) *Third Country Rules in European Banking and Securities Law*, in Bachmann/Breig (eds.), *Regulation of Financial Markets between Innovation and Continuity* (Mohr Siebeck 2014), pp. 48 – 140.
- 67) *The Law governing the Board of Directors of Financial Intermediaries based in Liechtenstein* (with D. Eckner) in Hölscher/Altenhain (eds.), *Handbook Supervisory Board and Board of Directors of Credit Institutions* (Erich Schmidt Verlag, 2013, pp. 373 – 403.
- 68) *The Principles of the German Investment Law Book*, in: Möllers/Kloyer (eds.), *The New German Investment Law Book* (2013), pp. 100- 140.
- 69) *The Law implementing the UCITS IV Directive and its consequences*, in Helmut Heiss (ed.), *Legal Reforms and Future of Liechtenstein as a Financial Center*, ZLR Vol. 1 (Zuerich 2013), pp. 9–40.
- 70) *Fixed votes and the Shareholders’ Meeting* (with U. Noack), Festschrift U.H. Schneider (2011), pp. 895-912.

- 71) *Corporate Banking Law and Banking Corporate Law* (with U. Noack), Festschrift K.J. Hopt (2010), pp. 2283-2300.
- 72) *Financial Intermediaries as Catalysts between the Markets and the Law – Compliance at the intersection of the Regulator’s Liability, public procedures and private law-based liability*, in Towfigh et al., *Recht und Markt – Wechselbeziehungen zweier Ordnungen*, Tagungsband zur 49. Assistententagung Öffentliches Recht in Bonn 2009, pp. 159 – 182.
- 73) *Secret Acquisitions in Corporate Securities Law* (with U. Noack), Festschrift E. Schwark (2009), pp. 569 – 586.
- 74) *The Internet-related Law on Shareholder Meetings under the Draft Bill implementing the Shareholder Rights Directive*, in: v. Rosen (ed.), *Die Hauptversammlung vor neuen Herausforderungen*, Deutsches Aktieninstitut e.V. 2008, pp. 11-36.
- 75) Authorship of four fact patterns (and solutions) with respect to (i) the capitalization of the stock corporation, (ii) management liability, (iii) shareholder meetings when a company is on the verge of insolvency and (iv) delisting procedures, prepared for inclusion in the casebook by Casper/Noack/Schäfer (eds.), *Corporate Law – Case by Case* (Heidelberg 2006 – forthcoming).
- 76) *Access and foreclosure in securities law*, in: Society of Young Civil Law Scholars (ed.), *Access and Foreclosure in Civil Law*, Stuttgart et al. 2006.
- 77) *The electronic shareholder meeting*, in Wolfgang Büchner, Alfred Büllsbach (eds.), *E-Government: governmental actions in information societies*, Cologne 2003, p. 209.
- 78) *Online proxy voting with bearer shares*, in Zetzsche (ed.), see above.
- 79) *The use of online proxy voting in takeovers* (with R. Marsch-Barner, L. M. Verfürth), in Zetzsche (ed.), see above.

Forthcoming

- In Kalss / Fleischer / Vogt (eds.), *Family Wealth Management*
 - Law and Regulation of Family Offices.
- In Zetzsche/Lehmann (eds.), *Cross-border Financial Services*, Mohr Siebeck, 2016:
 - The Private International Law of Cross-border Asset Management (with Rolf Sethe, University of Zurich)
 - The Private International Law of Investment Funds
 - The Private International Law Context of Financial Law’s Client Categorization – The example of family offices (with W. Wachter)

Journal Articles

- 80) "Everybody" is Everybody! On the shareholders' right to claim damages due to competition law violations, *WIRTSCHAFT UND WETTBEWERB* 2016 (forthcoming).
- 81) Long-term Investments in the Investors' Interest? – The European Regulation on Long-Term Investment Funds (ELTIFR), *ZEITSCHRIFT FÜR BANKRECHT UND BANKWIRTSCHAFT - JBB* 2015 (forthcoming).
- 82) The Influence of European Business Law on the Law of Torts, *Zeitschrift für das gesamte Handels- und Wirtschaftsrecht (ZHR)* 2015, Vol. 4.
- 83) Ordinary Business and Confidentiality as Criteria for Forwarding Insider Information to Employees under Articles 10, 17 MAR, *Neue Zeitschrift für Gesellschaftsrecht* 2015, 817.
- 84) Inside Information with regard to hidden stake-building using Total return Swaps? – The Case Lafonta/AMF, *Die Aktiengesellschaft* 2015, 381 - 388
- 85) Credit Funds (with Th. Marte), *Recht der Finanzinstrumente* 2015, pp. 4-14.
- 86) A paradigm change in Fund regulation – a comparative view on the implementation of the AIFM Directive, *Zeitschrift für Bankrecht und Bankwirtschaft (ZBB)* 2014, pp. 22-40.
- 87) Application of s. 11 of the German Investment Tax Act (InvStG) on foreign investment funds due to unequal tax treatment of domestic dividends – a review of the ECJ's Emerging Markets-Judgment, *Internationales Steuerrecht (IStR)* 2015, pp. 8-14.
- 88) Long-term Orientation in Company Law? – The Proposal of the European Commission for the Reform of the Shareholder Rights Directive, *Neue Zeitschrift für Gesellschaftsrecht (NZG)* 2014, 1121 - 1131.
- 89) Code of Conduct for Proxy Advisors between Contract and Antitrust Law (with C. Preiner), *Die Aktiengesellschaft (AG)* 2014, 685-697.
- 90) Illegal Subsidies by State Credit granted to the German investor compensation system? – The Phoenix Case, *Wirtschaft und Wettbewerb (WuW)* 2014, 958-970.
- 91) What is an AIF? (with C. Preiner), *Wertpapiermitteilungen (WM)* 2013, 2101-2110.
- 92) State Guarantees for Deposit Protection Systems, Icesave und the Road towards a Cross-border Deposit Solidarity (with S. Grünwald), *Wertpapiermitteilungen (WM)* 2013, 1337-1344.
- 93) The Company Law of the Kapitalanlagegesetzbuch - KAGB, *Die Aktiengesellschaft (AG)* 2013, pp. 613-630.
- 94) Institutional Investors, Enhancing Corporate Governance and Facilitation of Cross-Border Voting, *Die Aktiengesellschaft (AG)* 2013, pp. 397-406 (with C. Strenger).
- 95) Contract with Third Party Effects upon the Review of the Insolvency State of a Limited Liability Company? – Discussion of BGHZ 193, 297, *Juristische Rundschau* 2013, 435-442.
- 96) The Liechtenstein Implementation of the AIFMD (with C. Preiner), *Recht der internationalen Wirtschaft (RIW)* 2013, 265-273.

- 97) The Irrelevance and Convergence of of Organizational Statues governing Investment Funds, ZVglRWiss – Journal of comparative law 111 (2012), pp. 371-390.
- 98) Acquisition of Shareholdings and Control in Portfolio Companies by Managers of Alternative Investment Funds, NZG – Neue Zeitschrift für Gesellschaftsrecht 2012, pp. 1164-1170.
- 99) Institutional Investors in Company Law, DER KONZERN 2011, pp. 381-392.
- 100) The Banks' and other institutional proxies' representative voting under s. 135 of the Stock Corporation Act at the intersection of Corporate Governance, Securing Sharehodlers' Attendance und Procedural Efficiency (with S. Simon), ZEITSCHRIFT FÜR UNTERNEHMENS- UND GESELLSCHAFTSRECHT (ZGR) 2010, pp. 918 - 957.
- 101) Third Party Effects of Mortgage Contracts, ARCHIV FÜR DIE CIVILISTISCHE PRAXIS (AcP), 209:3/4, pp. 543 – 576.
- 102) The Reform of the legal environment regarding bonds and investment advice — (More) Consumer Protection in Financial Law? (With D. Leuering), NEUE JURISTISCHE WOCHENSCHREIFT (NJW) 2009:39, pp. 2856-2862.
- 103) Fact-based disclosure to clients by Financial Intermediaries – regarding the BGH's DG-Fonds judgment rendered 7 October 2008, WERTPAPIERMITTEILUNGEN (WM) 2009:22, 1020-1028.
- 104) The European Regulation of Hedge Funds and Private Equity – Where do we stand right now? NEUE ZEITSCHRIFT FÜR GESELLSCHAFTSRECHT (NZG) 2009:18:, pp. 692-697.
- 105) Funds in the Focus: European developments in the law of Financial Intermediaries, DER KONZERN 2009, pp. 147-159.
- 106) The next „small“ Reform of the Stock Corporation Act, DER KONZERN 2008:6/7, pp. 321-333.
- 107) Between Investor Protection and Increasing Competitiveness – The Law amending the Investment Law, ZEITSCHRIFT FÜR BANKRECHT UND BANKWIRTSCHAFT (ZBB) 2007:6, pp. 438-454.
- 108) Virtual Shareholder Meetings in light of the European Directive on Shareholder Rights, NEUE ZEITSCHRIFT FÜR GESELLSCHAFTSRECHT 2007:18, pp. 686-692.
- 109) Two notaries public – one shareholder meeting, DIE AKTIENGESELLSCHAFT 2007:16, pp. 561-572 (with A. Reul).
- 110) The identification of shareholders – from Savigny's "materialization theory" to a "registration theory", DER KONZERN 2007:3/4, pp. 180-189 (Part I) and 251-260 (Part II).
- 111) Contesting shareholder meeting decisions on the grounds of wrongful information under s. 243 (4) of the Stock Corporation Act (with U. Noack), ZEITSCHRIFT FÜR DAS GESAMTE HANDELSRECHT UND WIRTSCHAFTSRECHT (ZHR) 170:3 (2006), pp. 218-246.
- 112) The identification of shareholders through record date certificates and the transitional provisions related thereto, ZEITSCHRIFT FÜR WIRTSCHAFTSRECHT (ZIP) 2006, pp. 551-557 (with A. Kiefner).
- 113) Creating articles of association for the proper identification of shareholders, NEUE ZEITSCHRIFT FÜR GESELLSCHAFTSRECHT ("NZG") 2005:9, pp. 369-375 (with S. Simon).

- 114) The identification of shareholders by issuers of bearer shares held in custody by a central depository system, WERTPAPIERMITTEILUNGEN 2004:1, 1-9 (with U. Noack).
- 115) Virtual shareholder meetings – an outlook, ZEITSCHRIFT FÜR BANK- und KAPITALMARKTRECHT (“BKR”) 2003:18, pp. 736-743.
- 116) The identification of shareholders holding shares in multiple share certificates, DIE AKTIENGESELLSCHAFT 2002:16, 651-657 (with U. Noack).
- 117) The relationship of the articles of association, contracts and shareholder agreements in privately-held stock corporations, NZG 2002:20, pp. 942-948.
- 118) The new Act on Registered Shares and Proxy Voting, ZIP 2001:16, pp. 682-691.
- 119) Going private and German corporate law, NZG 2000:21, pp. 1065-1070.
- 120) Virtual shareholder meetings, KOMMUNIKATION & RECHT 2000:10, pp. 486-492 (with W. Blank).

Case Notes

- 121) Bundesgerichtshof of 20 January 2009, XI ZR 510/07, (on the liability for hidden kick-backs in the fund distribution chain), in: Juristische Rundschau 2010, 118-121.
- 122) Oberlandesgericht Frankfurt am Main of 12 Feb 2008, 5 U 8/07 (with regard to the shareholder’s information right), in: Der Konzern 2008, 580-582.
- 123) Bundesverfassungsgericht of 9 September 2007, 1 BvR 2984/06 (with regard to the Squeeze out in the company’s liquidation), in: EWIR 2008, 163-164.
- 124) Oberlandesgericht Düsseldorf of 11 August 2006, I-15 W 110/05 (on the form and content of the merger report in the takeover context), in: EWIR 2007, 89-90.
- 125) Bundesgerichtshof of 17 December 2011 – Sachsenmilch (on the convocation of a shareholder meeting in the absence of a properly constituted management board), in: EWIR 2002, 317-318.

Book Reviews

- 126) Assmann/Schütze, Investment Law, 4th ed. 2014, in: WM 2015, 1595-1596.
- 127) Dornseifer et al., AIFMD (2013) and Weitnauer et al., KAGB (2014), in: NZG 2015, 188-189.
- 128) Assmann/Schneider, Securities Trading Law, 6th ed. 2012, in: BKR 2012, 439.
- 129) Roth, Private Pensions, 2009, in: DAJV-NL 2010, 37.
- 130) Kasten, The Reform of Exploration and Information Duties of Investment Firms, 2009, in: ZHR 175 (2010), 747-755.
- 131) Holzborn (ed.), Prospectus Law, 2008, in: AG 2009, 215
- 132) Obermüller/Werner/WInden, The Shareholder Meeting, 4th ed. 2001, in: BKR 2002, 1134.

LECTURES, PRESENTATIONS AND EXPERT STATEMENTS

1. Lectures

- Lectures at the University of Liechtenstein
 - Various Lectures in the field of Private, International Private, Banking and Securities Law

- Lectures at HHU Duesseldorf: excerpt
 - In German: “Banking and Investment Law” (with Dr. Böhm) (since winter term 2008/09)
 - In German: “Securities Regulation” (with Dr. Leuring) (winter term 2007/08 through 2009/10)
 - In English: Lectures on European antitrust, corporate and securities law at the Summer School on European Business Law at HHU (2005 through 2010)
 - In English: Lectures on topics relating to corporate and securities law as Visiting Professor at the University of Tilburg (2008 and 2009)
 - In German: Seminar “Issues in Securities Law” (with Dr. Holzborn) (winter term 2007/08)
 - In German: Lectures on “Organization of the Stock Corporation” (winter term 2001/2002), “Capitalization of the Stock Corporation” (summer term 2007, winter terms 2000/2001, 1999/2000), and “Contracts in Commercial Law” (winter term 2004/2005)
 - In German: Tutorials (each 2hrs/week) on “Introduction to Civil Law” (winter term 1999/2000), “Property” (winter term 2002/2003, 2x), “Contracts” (summer term 2000 and 2003)

- Lectures at Tilburg University, The Netherlands
 - “Law of Venture Capital and Entrepreneurial Finance”, 3 ECTS credits, March 2016
 - „Scholarship in International Business Law“, Introduction to the LL.M. program “International Business Law” (with D. Eckner), August 2014
 - “Law of Venture Capital and Entrepreneurial Finance” (with S. Hooghiemstra and C. Preiner), 6 ECTS credits, March 2013 and March/April 2014
 - „Ethics and Financial Law“, 6 ECTS credits, (with S. Hooghiemstra and D. Eckner), March 2012
 - „Legal Negotiations” – 6 ECTS credits, March 2009, als “Visiting Professor”
 - „Corporate Finance” (with E. Vermeulen) – 6 ECTS credits (February/March 2008)
 - Member of a Doctorate Panel (2011, 2014/2015)

- Academy of European Law, Trier
 - Lecture „European Banking Law“, June 2014
 - Lecture „European Banking Law“, June 2016

- University of Konstanz
 - Seminar „Credit und Credit Security in Company Law“ (with Ruediger Wilhelmi), Winter Term 2014/15
 - The Law of Torts, Winter Term 2015/16

- Interdisciplinary Center, Herzliya (Israel)
 - „Corporate Governance of Financial Institutions“, Lecture (12 hrs), April 2015

- European Business School, Faculty of Law, Wiesbaden, Germany
 - Lecture „Secured Transactions and Civil Procedure Law“ (4 hrs/week), Summer Term 2015.
 - Lecture “Transnational Governance of Banks” (20 hrs), Fall Term 2016

- University of Zuerich (Switzerland)
 - Seminar “Contract Law and Asset Management ” (with Rolf Sethe, Matthias Lehmann), Winter Term 2015/16

2. Presentations

In English: excerpt

- 1) Securities Lending and its Impact on Corporate Governance, National University of Singapore, 15 Oct 2015.
- 2) Extraterritoriality in Investment Fund Law – A Pan-European / Pan-Asian Approach (with Douglas Arner), Hong Kong University, 13 Oct 2015.
- 3) The SRD II’s provision on Proxy Advisors, Sorbonne & Max Planck Institute Hamburg Conference, Paris, 7 July 2015.
- 4) The Regulation of Proxy Advisors under the SRD and the BPP, German – Nordic Company Law Conference, Max Planck Institute Hamburg und University of Copenhagen, Copenhagen, 23 / 24 April 2015.
- 5) The Competitiveness of Financial Centers in light of the Financial and Tax Law Equivalence Requirements, MaCCI Law & Economics Conference 2014 on Financial Regulation and Competition, University of Mannheim, 6/7 November 2014.
- 6) Islamic Finance, Sustainability und Social Responsibility, Liechtenstein Islamic Finance Conference, Institute for Financial Services und Finanzmarktaufsicht Liechtenstein, Vaduz (FL), 28 October 2014.
- 7) An Academic View on the Single Supervisory Mechanism for European Banks, Institute for Law and Finance (ILF), Goethe-University Frankfurt am Main, 21 October 2014.
- 8) Codex Regulation – The Example of Proxy Advisors, Academy of European Law, Annual Company Law Conference, Trier, 16 October 2014.

- 9) The Best Practice Principles for Proxy Advisors, European Securities & Markets Authority [ESMA] (teaching program), Paris (F), 1 April 2014.
- 10) The Role of Law in Developing a Financial Centre, Oxford University, Faculty of Law (UK), 17 February 2014.
- 11) Law as a Factor in Financial Centre Development, University of Hong Kong, 13 December 2013.
- 12) Securitisation in European Banking and Securities Law, Centre for Banking and Finance, National University of Singapore, 10 / 11 October 2013.
- 13) The Role of Law in Developing a Financial Centre, University of Hongkong, 8 October 2013.
- 14) Le delisting: les techniques de sortie de cote dans la perspective du droit allemand, Séminaire franco-allemand Paris 1 – Institut Max Planck, IRJS Sorbonne Finance & Sorbonne Affaires, Paris, 27/28 June 2013.
- 15) Money Market Funds and Shadow Banking – The European Perspective, University of Chicago, 5th annual roundtable on investment funds (USA), 17 May 2013.
- 16) Formal and Informal Enforcement and the Role of Specialized Business Courts, Conference “International Corporate Governance and Public Law” of Vanderbilt University, Tilburg University, Bilgi University Istanbul and the Turkish Capital Market Council, Istanbul, 7 March 2013.
- 17) Restructuring Incentives of Recent Financial Regulation (IORPD, Solvency II, CRD IV, AIFMD, UCITS V), 4. Liechtensteiner Fondstag (FL), 27. November 2012.
- 18) The Role of Relocation and Restructuring Rules in developing a Financial Center, 4. Liechtensteiner Fondstag (FL), 27. November 2012 (mit Litwin).
- 19) Risk Management, Procedures and Company Law, ECFR Conference / Université de Luxembourg (Lux), 30. September 2012.
- 20) Regulation of Venture Capital Managers and Innovation: Does Law Matter?, Symposium “Law and Innovation: Does Law Matter?”, Tilburg University (NL), 8. Juni 2012.
- 21) The Liechtenstein Law on Alternative Investment Managers, PWC, Zuerich (CH), 14. April 2012.
- 22) The AIFMD: Scope and Overview, 2nd Liechtenstein Fund Day, University of Liechtenstein (FL), 24 November 2011.
- 23) AIFMD and Third Country States (mit D. Litwin), 2nd Liechtenstein Fund Day, University of Liechtenstein (FL), 24 November 2011.
- 24) Response to Pierre-Henri Conac: Institutional Investors and Corporate Law – Why the Reflection Group on Company Law is Wrong, Forum Aktuelle Entwicklungen im Bank- und Finanzmarktrecht, University of Liechtenstein (FL), 28 September 2011.
- 25) The European Retail Investor: Over-Insured and Under-Informed – Response to Professors Synvet, Moloney, Ventoruzzo, Thévenoz, 6th European Jurists Forum, Université de Luxembourg (Lux), 20 May 2011.
- 26) Derivatives, Transparency and Innovative Enforcement, Philips Academy Lecture, Eindhoven (NL), 24 February 2010.

- 27) Efficient Enforcement of Shareholder Transparency Rules, Oxford Law & Finance Seminar, Faculty of Law & Said Business School, Oxford University (UK), 3 December 2009.
- 28) Use and Abuse of Investor Suits – Experiences from the Continent, Conference “Abuse of Investor Suits”, Faculty of Law, University of Cambridge, England, 19/20 March 2009.
- 29) Efficient Enforcement of Shareholder Transparency Rules - Lessons from Antitrust Leniency Programs, Amsterdam Center for Law & Economics, University of Amsterdam, NL, 6 March 2009.
- 30) Empty Voting und Hidden Ownership – The European Perspective, 3CL workshop, Faculty of Law, University of Cambridge, 27 January 2009.
- 31) Use and Abuse of Investor Suits, ECFR Symposium, Wien, Austria, 9 October 2008.
- 32) Subprime Crisis – The Comparative Perspective, Forum Unternehmensrecht, Heinrich-Heine-Universität Duesseldorf, 13 August 2008.
- 33) Securities vs. Patents – 10 Lessons to be learned from the Financial Marktes, CASRIP-IP Summit, Faculty of Law, University of Washington, Seattle, USA, 25 July 2008.
- 34) Empty Voting und Hidden Ownership – The European Perspective, Instituto Valores Mobiliàres, Universität Lissabon, Portugal, 24 June 2008.
- 35) The new draft Bill on Venture Capital Companies in light of the international experiences, Forum Unternehmensrecht, Heinrich-Heine-Universität Duesseldorf, 2 August 2007.
- 36) Virtual shareholder meetings and the European Directive on Cross-Border Voting Rights, Portuguese Institute of Securities Law, Lisbon/Portugal, 27 March 2007.
- 37) Demolishing the Modern Tower of Babylon – Solutions to “law and language” problems in Business Law, Congress “Law and Language”, HHU and UCLA, 17 May 2006.
- 38) An Ethical Theory of Corporate Governance, Retreat on Shareholder Valuism, George Washington University (sponsored by the Sloan Foundation), 26-30 June 2005.
- 39) Corporate governance in Cyberspace: the virtual shareholder meeting, congress on Cybersecurities Law, University of Toledo/OH, 8 April 2005.
- 40) Corporate governance code and company law reform in Germany (with U. Noack), conference entitled “Corporate Governance – Status, Perspectives, Practical Implications”, Nordic Lawyer Academy, Copenhagen, Denmark, 12-13 November 2004.
- 41) Regulation of the Computer Software Market (with T. Kleinevoss), virtual conference organized by the CILP/Bell University Labs of U of T and the Centers for Intellectual Property Rights and Information Law at HHU, 21 October 2004.
- 42) Directors’ Powers and Duties in Business Reorganization – A Functional Analysis, Canadian Graduate Students’ Congress, Osgoode Hall Law School, York University, Toronto, ON, 6 May 2004.

In German (Titles translated): excerpt

- 1) *The Legal Dimension of Family Offices*, in German – Austrian – Swiss Symposium on Company and Securities Law, 12 -13 May 2016.
- 2) *The Client Categorisation in MiFID II's Implementing Act*, MiFID Conference, University of Liechtenstein (Lie), 14 Dec 2015.
- 3) *Market Sounding under The Market Abuse Regulation*, 21st Practitioner – Academia Workshop, Frankfurt, Nov 2015
- 4) *Cross-Border Dimension of Investment Funds*, Conference on Private International Law, University of Liechtenstein (Lie), 17 Nov 2015.
- 5) *Regulation of Proxy Advisors*, Capital Markets Forum, Wirtschaftsuniversität Wien and University of Wien (A), 10 November 2014.
- 6) *Civil Liability for Non-Compliance*, Compliance Day, Institute for Financial Services, Vaduz (FL), 23 September 2014.
- 7) *Family Estates, Family Foundations and Financial Regulation*, Liechtenstein Family Office Forum, Vaduz (FL), 12 Juni 2014.
- 8) *Funds for Family Estates and Family Foundations*, 6th Liechtenstein Funds Day, Vaduz (FL), 22 May 2014.
- 9) *Best Practice Principles for Proxy Advisors*, Corporate Law Conference, University of Zuerich, 27 März 2014 (CH).
- 10) *Kreditfonds and the AIFMD*, Symposium of the TSI, 6 Februar 2014, Frankfurt a.M. (D).
- 11) *Liechtenstein as Investment Fund Centre in an International Context*, University of St. Gallen & SFAMA, Zuerich, 29 November 2013 (CH).
- 12) *IP Funds between Investment and Innovation*, Conference „IP Law and Financial Services“, University of Liechtenstein, 5 September 2013 (FL).
- 13) *Principles of the New German Collective Investment Law*, Conference „The New Collective Investment Law“, University of Augsburg, 14 /15 June 2013.
- 14) *Structuring Family Estates using Investment Funds*, 5th Liechtenstein Funds Day, University of Liechtenstein (FL), 22 May 2013.
- 15) *IP Funds at the Intersection of IP Law and Financial Services Law*, University of Liechtenstein (FL), 21 May 2013.
- 16) *Impact of European Financial Law on the Private Laws of EU Member States*, University of Vienna (A), 11 April 2013.
- 17) *European Regulation of Remuneration Systems of Financial Intermediaries*, 5th Forum Banking and Financial Law, University of Liechtenstein (FL), 26. März 2013.
- 18) *New Developments in the Law of Proxy Advice*, Euroforum Conference „Brennpunkt AG“, Berlin, 15 / 16 November 2012.
- 19) *Impact of CRD IV on Asset Management*, 7th Funds Forum, University of Liechtenstein, Vaduz (FL), 6 November 2012.
- 20) *Risk Management, Risk-oriented Organizational Requirements and Company Law, Working Group Enterprise Law*, Heinrich Heine University Duesseldorf (D), 2/3 November 2012.

- 21) *Impact of CRD IV on institutional investment of banks and savings & loans institutions*, Future Forum of Universal Investment, Frankfurt a.M. (D), 24 October 2012.
- 22) The Liechtenstein AIFM Law, Handelsblattkonferenz“ Finanzplatz Liechtenstein“, 22 October 2012.
- 23) European Securitization Law – with particular consideration of CRD IV, AIFMD and UCITSD (with D. Eckner), 6th Funds Forum, University of Liechtenstein, Vaduz (FL), 2 October 2012.
- 24) The Draft Crisis Management Directive, 5th Forum Banking & Securities Law, University of Liechtenstein, Vaduz (FL), 26 September 2012.
- 25) Proxy Advisory Law, Deutsches Aktieninstitut, Frankfurt a.M. (D), 25 September 2012.
- 26) Fund Migration and Restructuring of Products under the AIFMD, 4th Funds Forum, University of Liechtenstein, Vaduz (FL), 14 May 2012.
- 27) Competition of Financial Centers, Lecture Series Financial Markets, Law and Economics, University of Konstanz (D), 10 May 2012.
- 28) The Draft Mortgage Directive, 3rd Forum Banking & Securities Law, University of Liechtenstein, Vaduz (FL), 8 May 2012.
- 29) Harmonization of Sanctions under CRD IV, 3rd Forum Banking & Securities Law, University of Liechtenstein, Vaduz (FL), 8 May 2012.
- 30) 3rd Country Rules in European Banking & Financial Law, Symposium on German-Russian Academic Year, FU Berlin, 27 April 2012.
- 31) Impact of the EU initiative on packaged retail investment products on the insurance sales, Insurance Mediation Forum, Vaduz (FL), 25 April 2012.
- 32) The Liechtenstein Draft Law implementing the AIFMD, 3rd Fund Forum, Vaduz (FL), University of Liechtenstein, 13 March 2012.
- 33) *MiFID II – Challenges and Chances*, 2. Forum Aktuelle Entwicklungen im Bank- und Finanzmarktrecht, 21 November 2011.
- 34) The Liechtenstein UCITS Implementation, 1st Liechtenstein Fund Day, Universität Liechtenstein, 26 June 2011.
- 35) *Joint Principles of European Asset Management Law*, 1st Liechtenstein Fund Day, Universität Liechtenstein, 26 June 2011.
- 36) *Principles of the Law on Collective Investments*, Max Planck Institute for Comparative and International Private Law, Hamburg, 8 - 11 May 2011.
- 37) *Legal Issues of the AIFM Directive*, Vaduz, 22 December 2010.
- 38) *The Trustee's Liability for Portfolio Choices – Considerations in light of the Financial Crisis*, Hochschule Liechtenstein (FL), 3 April 2009.
- 39) *Financial Intermediaries as Catalysts between the Markets and the Law, Young Academics in Public Law*, University of Bonn, 12 März 2009.
- 40) *Efficient Enforcement of Shareholder Transparency Rules*, Law & Economics Workshop, University of Bonn, 16 Dezember 2008.
- 41) *Funds in the Focus: European developments in the law of Financial Intermediaries*, Corporate Law Institute, University of Cologne, 6 November 2008.

- 42) *The Bill implementing the Shareholder Rights Directive and the Law of Shareholder Meetings*, Deutsches Aktieninstitut, Frankfurt a.M., 25 September 2008.
- 43) *Does Law Matter? – Ethics and Origins of Securities Law*, 11. Annual Meeting "Compliance und Ethics in Financial Institutions", Schloss Krickenbeck (D), 1 June 2007.
- 44) *Access & foreclosure in securities law*, congress "Access & Foreclosure", Society of Young Civil Law Scholars ("GJZ"), Bremen, Germany, September 15, 2005.
- 45) *Electronic Shareholder Meetings*, congress "E-Government", German Society of Law and Computer Science ("DGRI"), Erfurt, Germany, October 2002.
- 46) *Virtual Shareholder Meetings of Issuers of Bearer Shares*, congress "The Virtual Shareholder Meeting", German Share Institute ("DAI"), Frankfurt a.M., Germany, August 2002.
- 47) *Securing the Interests of Venture Capitalists*, congress "The Crisis of Venture Capital", Faculty of Law, Heinrich Heine University, Duesseldorf, Germany, April 2002.
- 48) *The Use of Electronic Media for Announcements and Decisions of Shareholder Meetings*, congress "The Shareholder Meeting", German Institute of Public Notarie ("DNotI"), April 2001.

3. Expert statements

- 1) Independent Expertise on the draft reform of the Shareholder Rights Directive, European Commission – DG Internal Market (12/2014).
- 2) Independent Chairman of the ESMA-sponsored Working Group „Code of Conduct for the Proxy Advisor Industry“ (March 2013 through March 2014). See <http://bppgrp.info/>
- 3) Advisory Board Member of Forum Kapitalmarktinstrumente - Kapitalmarktfinanzierung e.V. – Deutschland – Österreich – Schweiz (seit 2011).
- 4) Member of the Supervisory Board of "1741 Fund Management AG" (institutional investor).
- 5) Member of the Supervisory Board of "MAP Investments AG" (institutional investor).
- 6) Advice on Implementing Measures regarding the AIFM Directive, Government of the Principality of Liechtenstein (September 2010 through the present).
- 7) Advice on Implementing Measures regarding the UCITS IV Directive, Government of the Principality of Liechtenstein (May 2010 through July 2010).
- 8) Non-commissioned statement on the CESR consultation regarding disclosure of long positions that do not come along with voting rights (3/2010).
- 9) National Expert for a legal opinion commissioned by the European Parliament on „Empty Voting / Hidden Ownership / Transparency of Shareholdings“ (Spring 2009).
- 10) Non-commissioned statement regarding the European Commission's consultation regarding Hedge funds, Systemic Risk and the Financial Crisis (12/2008 – 2/2009).
- 11) Commissioned statement regarding the identification of shareholders in the depositary chain, European Commission – Internal Market (8/2007).

- 12) Short Term Expert, Twinning Project "Turkey", European Commission / German Secretary of Justice (May through August 2007).
- 13) Member of the expert group invited by the European Commission and Deutsche Börse AG on Cross Border Voting in Europe (June 2005).
- 14) Co-commentator (with U. Noack) on the European Commission's first and second consultations on the reform of shareholder rights in Europe (December 2004, July 2004) and the CESR consultation on implementing measures with respect to the Transparency Directive (January 2005).
- 15) Member of the expert group on the improvement of the identification of shareholders in the securities depository system invited by the German Secretary of Justice (Chair: Prof. Dr. Seibert).
- 16) Statement for the International Group of Experts on Cross-border Voting by Shareholders (Chair: Professor J. Winter), May 2002.
- 17) Commissioned statement on the use of the internet in shareholder meetings for the Federal Corporate Governance Commission (Chair: Prof. Dr. Baums, LL.M.), June 2001.
- 18) Various commissioned legal opinions in the field of company law, private wealth management, investment law and banking law.

V. AWARDS & SCHOLARSHIPS

- 1) Academic Award 2014, offered by the Federal Association on Alternative Investments (First Prize) (4,000 €), for „Principles of Collective Investments“.
- 2) Academic Award 2013, offered by the Deutsches Aktieninstituts (First Prize) (3,000 €), for „Principles of Collective Investments“.
- 3) „Financial Compass 2012 – Innovation Award of the Financial Center Initiative Hamburg“ (10,000 €) for „Principles of Collective Investments“.
- 4) Printing Bursary of the Foundation Securities Law (3,000 €) for „Principles of Collective Investments“.
- 5) Printing Bursary of the „Bundesverband Alternative Investments e.V.“ (1,000 €) for „Principles of Collective Investments“.
- 6) Deutsche Forschungsgemeinschaft (transl. German Research Foundation), 2 year fully funded research scholarship for „Financial Intermediaries – Principles of Collective Investments“ (€ 130,000.-).
- 7) “Visiting Professorship”, University of Tilburg (NL), Summer term 2009.
- 8) Herbert Smith Visitor (2008), University of Cambridge, Faculty of Law, U.K. (3 months’ fully funded research at Cambridge University).
- 9) Research Grant by Heinrich Heine University’s Research Foundation (“Forschungsförderfonds – FTT”) for “Financial Intermediaries”, January 2007 (€ 10.000.-).
- 10) Travel Bursary by the German Research Foundation (“DFG”) for the presentation of “An Ethical Theory of Corporate Governance History”, June 2005 (€ 500.-).
- 11) Award for the best legal dissertation in the academic year of 2003/2004, conferred by the Faculty of Law at HHU, May 4, 2005 (€ 2,500.-).
- 12) Honorary Mention of the dissertation by the Deutsches Aktieninstitut (“DAI”), April 14, 2005.
- 13) Shearman & Sterling Price for the best business law article for “The Need for Regulating Income Trusts: A Bubble Theory”, conferred by the University of Toronto Faculty of Law Review, March 8, 2005, (Can \$ 500.-).
- 14) Aubrey Senez Scholarship for International Business Law, McGill University, Canada – declined (Can \$ 10,000).
- 15) Several Fellowships by the University of Manitoba, Canada – declined (Can \$ 21,500).

VI. MEMBERSHIPS (German names translated)

- Association of Civil Law Professors
- Comparative Law Society
- Society of Law & Economics
- American Law & Economics Association (“ALEA”)
- Association of German and American Jurists (“DAJV”)
- Association of German and Greek Jurists (“DGJV”)
- Banking Law Association (“BrV”)
- Company Law Association (“VGR”)
- European Jurists Forum
- German Jurists Forum (“DJT”)
- Company Law Association (“VGR”)
- Society of Investment Law – Director, Chair of the Nomination Committee
- Society of Young Civil Law Scholars (“GJZ”) – former President (term 2006 - 2007)

VII. FURTHER INTERESTS

- Literature, Skiing, Golfing, Classical and Jazz Music

02 February 2016

- Dirk Zetsche -