

CHARLES C. COX

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PROFESSIONAL EXPERIENCE

Executive Vice President, Compass Lexecon (2013-present).

Senior Vice President, Compass Lexecon (formerly Lexecon) (1989-2013).

Chairman, United Shareholders Association (1990-1993).

Commissioner, U.S. Securities and Exchange Commission (1983-1989); Acting Chairman, U.S. Securities and Exchange Commission (1987); Chief Economist, U.S. Securities and Exchange Commission (1982-1983).

Assistant Professor of Management, Texas A&M University (1980-1982); Director of John M. Olin Fellowship Program, Texas A&M University (1981-1982).

Assistant Professor of Economics, Ohio State University (1972-1980).

National Fellow of the Hoover Institution, Stanford University (1977-1978).

FIELDS OF SPECIALIZATION

Financial Markets, Industrial Organization, Money and Banking.

EDUCATION

University of Chicago, Chicago, Illinois; Ph.D. 1975.

University of Chicago, Chicago, Illinois; A.M. 1970.

University of Washington, Seattle, Washington; B.A. 1967.

PUBLICATIONS

Futures Trading and Market Information, Journal of Political Economy, 84 (December 1976).

The Enforcement of Public Price Controls, Journal of Political Economy, 88 (October 1980).

Monopoly Explanations of the Great Depression and Public Policies Toward Business, The Great Depression Revisited, edited by Karl Brunner (1981).

Greenmail, the Market for Corporate Control, and Governance, Texas A&M Business Forum, 1 (Winter 1984).

Accounting Standards From an Economist's Perspective, Journal of Comparative Business and Capital Market Law, 7 (December 1985). Reprinted in The SEC and Accounting: The First 50 Years, edited by Robert H. Mundheim and Noyes E. Leech (1986).

Public Accounting: Whose Profession Is It Anyway, Ohio CPA Journal, 45 (Spring 1986).

Investment Company Servicing: Growth, Innovation and Competition, American Banker (May 9, 1986).

Conflicts of Interest -- A Regulator's View, Trust Management Update, No. 97 (June 1986).

Regulatory Implications of Computerized Communications in Securities Markets, Technology and the Regulation of Financial Markets, edited by Anthony Saunders and Lawrence J. White (1986).

The Market for Markets: Developments of International Securities Trading (with Douglas C. Michael), Catholic University Law Review, 36 (Summer 1987); reprinted in Corporate Practice Commentator, 30, No. 3 (1988).

Internationalization of the Capital Markets: The Experience of the Securities and Exchange Commission, Maryland Journal of International Law and Trade, 11 (Summer 1987).

Anti-Merger Mania, Journal for Corporate Growth, 3 (Fall 1987).

Two Views on the Law of Insider Trading, The Legal Environment of Business by Roger E. Meiners, Al H. Ringleb, and Frances L. Edwards (1988).

Bases of Insider Trading Law (with Kevin S. Fogarty), Ohio State Law Journal, 49 No. 2 (1988).

An American Perspective on the 1987 Stock Market Crash, Securities Bulletin of The Stock Exchange of Hong Kong, 28 (August 1988).

Private Employment of Prison Labor (with Roger E. Meiners), Journal of Private Enterprise 17 (Fall 2001).

Review of Steven Lustgarten, Industrial Concentration and Inflation, Journal of Money, Credit, and Banking, 8 (February 1976).

Review of Walter C. Labys (ed.), Quantitative Models of Commodity Markets, Journal of Political Economy, 84 (June 1976).

Review of John T. Dunlop and Kenneth J. Fedor (ed.), The Lessons of Wage and Price Controls - The Food Sector, Journal of Political Economy, 88 (December 1980).

Comment, Why Monetarism is Failing, Wall Street Journal (December 22, 1980).

Review of Arnold R. Weber and Daniel J.B. Mitchell, The Pay Board's Progress: Wage Controls in Phase II, Journal of Money, Credit, and Banking, 13 (February 1981).

Review of Edward H. Clarke, Demand Revelation and the Provision of Public Goods, Journal of Economic Literature (December 1981).

SEC Not Avoiding Concept of Fraud, Legal Times (December 7, 1987).

TESTIMONY

Testimony of Charles C. Cox in Re: Plaintiffs' Shareholders Corporation, Claimant vs. Southern Farm Bureau Life Insurance Co., Respondent, Case No. 33 195 Y 00380 09, American Arbitration Association, Orlando, Florida, (May 1 & 2, 2013).

Deposition of Charles C. Cox in Re: Plaintiffs' Shareholders Corporation, Plaintiff/Claimant vs. Southern Farm Bureau Life Insurance Co., Defendant/Respondent, Case No. 6:06-cv-677-MSS-KRS, United States District Court, Middle District of Florida and Case No. 33 195 Y 00380 09, American Arbitration Association, (April 1, 2013).

Deposition of Charles C. Cox in Re: Securities and Exchange Commission, Plaintiff -v- Fabrice Tourre, Defendant, 10 Civ. 3229 (KBF), United States District Court, Southern District of New York, (February 14, 2013).

Deposition of Charles C. Cox in Re: Woodmen of the World Life Insurance Society, a Nebraska Not for Profit Fraternal Benefit Society, Plaintiff v. U.S. Bank National Association; U.S. Bancorp Asset Management, Inc., f/k/a FAF Advisors, Inc.; U.S. Bancorp; and Emil C. Busse, Jr., Defendants, Civil Case No. 8:09-cv-00407V, United States District Court for the District of Nebraska, (October 4, 2012).

Declaration of Charles C. Cox in Re: Oil Spill by the Oil Rig "Deepwater Horizon" in the Gulf of Mexico on April 20, 2010, MDL No. 2179, United States District Court, Eastern District of Louisiana, (November 15, 2011).

Testimony of Charles C. Cox in Re: Department of Enforcement, Complainant vs. David Lerner Associates, Inc. and William Mason, Respondents, Financial Industry Regulatory Authority (FINRA), Office of Hearing Officers, Disciplinary Proceeding, No. 20050007427, (June 10 & 13, 2011).

Declaration of Charles C. Cox in Re: Alstom Securities Litigation, Master Case No: 03 CV 6596 (VM), United States District Court, Southern District of New York, (December 15, 2010).

Deposition of Charles C. Cox in Re: Alstom Securities Litigation, Master Case No: 03 CV 6596 (VM), United States District Court, Southern District of New York, (October 29, 2010).

Deposition of Charles C. Cox in Re: The Estate of George E. Batchelor and The Batchelor Foundation, Inc. v. Deloitte & Touche, LLP and BDO Seidman, LLP, No. 02-07135-CA-04, Circuit Court of the Eleventh Judicial Circuit in and for Miami-Dade County, Florida, (September 27, 2010).

Testimony of Charles C. Cox in Re: Morton S. Goldfine and Adrienne M. Goldfine vs. Barack, Ferrazzano, Kirschbaum & Pearlman, et al., No. 05 L 6360, Circuit Court of Cook County, Illinois, (April 7, 2010).

Deposition of Charles C. Cox in Re: Abu Dhabi Commercial Bank, King County Washington, SEI Investments, et al. vs. Morgan Stanley & Co. Incorporated, Morgan Stanley & Co. International Limited, The Bank of New York Mellon, QSR Management Limited, Moody's Investors Service Inc., Moody's Investors Service Ltd., Standard & Poor's Rating Services and The McGraw Hill Companies, Inc., Civil Action No. 1:08-cv-07508, United States District Court, Southern District of New York, (February 17, 2010).

Declaration of Charles C. Cox in Re: Abu Dhabi Commercial Bank, King County Washington, SEI Investments, et al. vs. Morgan Stanley & Co. Incorporated, Morgan Stanley & Co. International Limited, The Bank of New York Mellon, QSR Management Limited, Moody's Investors Service Inc., Moody's Investors Service Ltd., Standard & Poor's Rating Services and The McGraw Hill Companies, Inc., Civil Action No. 1:08-cv-07508, United States District Court, Southern District of New York, (December 21, 2009).

Testimony of Charles C. Cox in Re: American International Group, Inc. Securities Litigation, Master File No. 04 Civ. 8141 (DAB), United States District Court, Southern District of New York, (August 13 & 14, 2009).

Testimony of Charles C. Cox in Re: Gene Badger, et al. vs. Southern Farm Bureau Life Insurance Company, Case No. 6:06-CV-637-ORL-35 KRS, United States District Court, Middle District of Florida, Orlando Division, (March 16, 2009).

Deposition of Charles C. Cox in Re: American International Group, Inc. Securities Litigation, Master File No. 04 Civ. 8141 (JES), United States District Court, Southern District of New York, (October 16, 2008).

Deposition of Charles C. Cox in Re: Gene Badger, et al. vs. Southern Farm Bureau Life Insurance Company and Plaintiffs' Shareholders Corporation, Case No. 6:06-CV-637-ORL-35 KRS, United States District Court, Middle District of Florida, Orlando Division, (September 16, 2008).

Declaration of Charles C. Cox in Re: American International Group, Inc. Securities Litigation, Master File No. 04 Civ. 8141, United States District Court, Southern District of New York, (August 19, 2008).

Declaration of Charles C. Cox in Re: Electronic Data Systems Corp. "ERISA" Litigation, Case No. 6:03-MD-1512 (Lead Case 6:03-CV-126 "ERISA"), United States District Court, Eastern District of Texas, Tyler Division, (February 25, 2008).

Testimony of Charles C. Cox in Re: In the Matter of Arbitration Between Ramius Capital Group, LLC, et al. against Bear, Stearns & Co. Inc. et al., NYSE Case No. 2005-016372, FINRA Legacy Dispute Resolution Program, (October 23, 24, 25, 2007) (November 12, 2007).

Declaration of Charles C. Cox in Re: Electronic Data Systems Corp. "ERISA" Litigation, Case No. 6:03-MD-1512 (Lead Case 6:03-CV-126 "ERISA"), United States District Court, Eastern District of Texas, Tyler Division, (October 20, 2007).

Deposition of Charles C. Cox in Re: Credit Suisse Securities (USA) LLC, Plaintiff against MMA Mortgage Investment Corporation f/k/a Midland Mortgage Investment Corporation, Defendant, Case No. 07-CV-142, United States District Court, Southern District of New York, (May 31, 2007).

Affidavit of Charles C. Cox in Re: Scientific-Atlanta, Inc. Securities Litigation, Civil Action No. 1:01-CV-1950-RWS, United States District Court, Northern District of Georgia, Atlanta Division, (April 19, 2007).

Affidavit of Charles C. Cox in Re: Scientific-Atlanta, Inc. Securities Litigation, Civil Action No. 1:01-CV-1950-RWS, United States District Court, Northern District of Georgia, Atlanta Division, (January 19, 2007).

Deposition of Charles C. Cox in Re: Alaska Interstate Construction, L.L.C. et al v. Pacific Diversified Investments, Inc., et al., Case No. 3AN-05-7921 CI, Superior Court for the State of Alaska, Third Judicial District at Anchorage, (November 8, 2006).

Deposition of Charles C. Cox in Re: William Carroll, et al., v. Blackacre Capital Management, LLC et al., Case No. 03-1555-CA, Court for Charlotte County, Florida, (October 18, 2006).

Declaration of Charles C. Cox in Re: SEC Investigation, U.S. Securities & Exchange Commission, (March 11, 2006).

Declaration of Charles C. Cox in Re: Qwest Communications International, Inc. Securities Litigation, Civil Action No. 01-RB-1451 (CBS), United States District Court, District of Colorado, (June 28, 2005).

Testimony of Charles C. Cox in Re: Hansen Bancorp, et al. vs. United States of America, No. 92-828C, United States Court of Federal Claims, (April 28, 2005).

Deposition of Charles C. Cox in Re: Mark Levy v. Sterling Holding Company, LLC, National Semiconductor Corporation and Fairchild Semiconductor International, Inc., Civil Action No. 00-994 (GMS), United States District Court, District of Delaware, (July 30, 2004).

Affidavit of Charles C. Cox in Re: Raytheon Company Securities Litigation, Civil Action No. 99-12142 (PBS), United States District Court, District of Massachusetts, (April 8, 2004).

Deposition of Charles C. Cox in Re: Raytheon Company Securities Litigation, Civil Action No. 99-12142 (PBS), United States District Court, District of Massachusetts, (February 5, 2004).

Deposition of Charles C. Cox in Re: Coltec Industries Inc., Plaintiff vs. United States, Defendant, Case No. 01-72T, United States Court of Federal Claims, (January 29, 2004).

Deposition of Charles C. Cox in Re: AMF Bowling Securities Litigation, Civil Action No. 99-Civ-3023 (HB), United States District Court, Southern District of New York, (January 15, 2004).

Affidavit of Charles C. Cox in Re: Convergys Corporation vs. United States Cellular Corporation, No. 51-Y-181-00791-03, American Arbitration Association, Chicago, Illinois, (November 17, 2003).

Testimony of Charles C. Cox in Re: Convergys Corporation vs. United States Cellular Corporation, No. 51-Y-181-00791-03, American Arbitration Association, Chicago, Illinois, (October 29, 2003).

Deposition of Charles C. Cox in Re: Austern Trust Dated 7/11/94, Barry M. Austern and Susan L. Austern, Trustees derivatively on behalf of DPL, Inc. vs. Peter H. Forster, et al., Case No. A0207067, Court of Common Pleas, Hamilton County, Ohio, (September 29, 2003).

Affidavit of Charles C. Cox in Re: Austern Trust Dated 7/11/94, Barry M. Austern and Susan L. Austern, Trustees derivatively on behalf of DPL, Inc. vs. Peter H. Forster, et al., Case No. A0207067, Court of Common Pleas, Hamilton County, Ohio (September 26, 2003).

Testimony of Charles C. Cox in Re: Caroline Hunt Trust Estate vs. United States, No. 95-531C, United States Court of Federal Claims, (July 22, 2003).

Deposition of Charles C. Cox in Re: Sabratek Liquidating, LLC vs. KPMG, LLP, Case No. 01-C-9582, United States District Court, Northern District of Illinois, Eastern Division, (June 5, 2003).

Deposition of Charles C. Cox in Re: Mark Ginsburg, M.D., et al. vs. Gambro AB, and COBE Laboratories, Inc., Case No. 97-018445 CA (13), Circuit Court of the 17th Judicial Circuit in and for Broward County, Florida, (March 3 & 13, 2003).

Deposition of Charles C. Cox in Re: Michael Dloogatch et al. v. John N. Brincat, John N. Brincat, Jr., William C. Croft, Mercury Finance Company and KPMG Peat Marwick, Case No. 07 CH 8790, Circuit Court of Cook County, Illinois County Department, Chancery Division, (February 10, 2003).

Deposition of Charles C. Cox in Re: Obtek L.P., et al. v. Lucent Technologies, Inc., et al., Cause No. 1-01-226, District Court of 382nd Judicial District, Rockwall County, Texas, (December 4, 2002).

Deposition of Charles C. Cox in Re: Bruce S. Schwartz, et al. v. Qualcomm, Incorporated, Case No. 2000 CV 002101, Div 3, District Court, Boulder County Colorado, (October 17, 2002).

Deposition of Charles C. Cox in Re: Nina Aversano, Plaintiff, v. Lucent Technologies, Inc. Defendant, Docket No. Mid-L-10004-00, Superior Court of New Jersey Law Division Middlesex County, (September 24, 2002).

Affidavit of Charles C. Cox in Re: Livent, Inc., Noteholders Securities Litigation, Master File No. 98 Civ. 7161 (VM), United States District Court for the Southern District of New York, (June 12, 2002).

Affidavit of Charles C. Cox in Re: Nina Aversano, Plaintiff, v. Lucent Technologies, Inc. Defendant, Docket No. Mid-L-10004-00, Superior Court of New Jersey Law Division Middlesex County, (June 7, 2002).

Affidavit of Charles C. Cox in Re: MTC Electronic Technologies Shareholder Litigation, Master File No. CV-93-0876 (JG) CV-95-2499 (JG) MDL No. 1059, United States District Court, Eastern District of New York, (May 11, 2002).

Testimony of Charles C. Cox in Re: Healthsouth Corporation Securities Litigation, Master File No. CV-98-J-2634-S, United States District Court for the Northern District of Alabama, Southern Division, (April 23, 2002).

Affidavit of Charles C. Cox in Re: Livent, Inc., Noteholders Securities Litigation, Master File No. 98 Civ. 7161 (VM), United States District Court for the Southern District of New York, (April 18, 2002).

Testimony of Charles C. Cox in Re: In the Matter of the Arbitration Between William J. Higgins and Mary Elizabeth O'Leary vs. Neuberger Berman LLC and Howard Ganek, Docket #2000-008693, New York Stock Exchange Arbitration, (February 28, 2002).

Declaration of Charles C. Cox in Re: SEC Investigation File No. NY-6860, U.S. Securities & Exchange Commission, (January 17, 2002).

Testimony of Charles C. Cox in Re: Florida State Board of Administration, Plaintiff, vs. CompuServe Corporation, et al., Defendants, No. 97 CVG-03-3906, Arbitration Hearing, Columbus, Ohio, (December 14, 2001).

Deposition of Charles C. Cox In Re: Florida State Board of Administration, Plaintiff, vs. CompuServe Corporation, et al., Defendants, No. 97 CVG-03-3906, Court of Common Pleas, Franklin County, Ohio, (December 7, 2001).

Affidavit of Charles C. Cox in Re: HealthSouth Corporation Securities Litigation, Master File No. CV-98-0-2634-S, United States District Court for the Northern District of Alabama, Southern Division, (October 17, 2001).

Testimony of Charles C. Cox in Re: Dean West, et al., Plaintiffs vs. Prudential Securities, Inc., Defendant, Case No. 99-567-DRH, United States District Court Southern District of Illinois, (October 16, 2001).

Deposition of Charles C. Cox in Re: MTC Electronic Technologies Shareholder Litigation, Master File No. CV-93-0876 (JG), CV-95-2499 (JG), MDL No. 1059, United States District Court, Eastern District of New York, (April 4-6, 2001).

Testimony of Charles C. Cox in Re: David Strohm, as Stockholder's Agent for and on behalf of the former Saros Stockholders, Claimants v. FileNet Corporation, Respondent, Case No. 74Y168037699, American Arbitration Association, (March 20 & 21, 2001).

Affidavit of Charles C. Cox in Re: Investigation No. MRD199701072, NASD Regulation, Inc., (January 17, 2001).

Testimony of Charles C. Cox in Re: Elmer Krogman, et al. v. Continental Investment Corp. et al., Civil Action No. 3:98-CV-2895-T, United States District Court for the Northern District of Texas, Dallas Division, (November 16, 2000).

Deposition of Charles C. Cox in Re: Westfed Holdings Inc. et al., Plaintiffs and Federal Deposit Insurance Corporation, Plaintiff-Intervenor v. The United States of America, Defendant, No. 92-820C, United States Court of Federal Claims, (October 12, 2000).

Testimony of Charles C. Cox in Re: Auditor Independence U. S. Securities & Exchange Commission Public Hearing on Proposed Auditor Independence Rules, Washington, DC, (September 20, 2000).

Affidavit of Charles C. Cox in Re: Richard Kaufman, et al. vs. Motorola, Inc., et al., No. 95-CV-1069, United States District Court for the Northern District of Illinois, Eastern Division, (August 15, 2000).

Testimony of Charles C. Cox in Re: Jason A. Forge, et al. vs. National Semiconductor Corporation, et al., No. CV770082, Superior Court of the State of California, County of Santa Clara, (July 5, 2000).

Deposition of Charles C. Cox in Re: Advance Bank, F.S.B. v. United States, No. 92-829C, United States Court of Federal Claims, (June 7 & 8, 2000).

Testimony of Charles C. Cox in Re: Gordon Dumont v. Charles Schwab & Co. Inc., Civil Action No. 99-2840 c/w 99-2841, United States District Court for the Eastern District of Louisiana, (May 30, 2000).

Deposition of Charles C. Cox in Re: Goodman Epstein, et al., Plaintiffs, v. Cyrix Corporation, National Semiconductor Corporation, et al., Defendants, No. CV770082, Superior Court of the State of California for the County of Santa Clara, (May 23, 2000).

Deposition of Charles C. Cox in Re: Elmer Krogman, et al. v. Continental Investment Corp. et al., Civil Action No. 3:98-CV-2895-T, United States District Court for the Northern District of Texas, Dallas Division, (May 11, 2000).

Affidavit of Charles C. Cox in Re: Harvey Greenfield, et al., Plaintiffs vs. CompuServ Corporation, et al., Defendants, Case Nos. 96 CVG-06-4810, 96 CVG-08-5837, 97 CVG-03-3906, 97 CVG-07-7223, Court of Common Pleas, Franklin County, Ohio, (April 28, 2000)

Testimony of Charles C. Cox in Re: John K. Castle et al. and Federal Deposit Insurance Corporation v. United States, No. 90-1291-C, United States Court of Federal Claims, (January 14, 18, 19, 2000).

Affidavit of Charles C. Cox in Re: Elmer Krogman, et al. v. Continental Investment Corp. et al., Civil Action No. 3:98-CV-2895-T, United States District Court for the Northern District of Texas, Dallas Division, (December 21, 1999).

Testimony of Charles C. Cox in Re: All-Tech Investment Group, Inc., v. Knight Securities L.P., National Association of Securities Dealers, Inc., Arbitration No. 98-02132, New York, (October 27, 1999).

Affidavit of Charles C. Cox in Re: Max Fecht, et al. v. Northern Telecom Ltd. et al, No. 93 Civ. 4384, United States District Court Southern District of New York, (August 11, 1999).

Declaration of Charles C. Cox in Re: Alpha Group Consultants, Ltd., et al., v. Bear, Stearns & Co., Inc., No. 91-0143-IEG, United States District Court, Southern District of California, (July 2, 1999).

Deposition of Charles C. Cox in Re: Max Fecht, et al. v. Northern Telecom Ltd. et al, No. 93 Civ. 4384 (MGC), United States District Court Southern District of New York, (June 30, 1999)

Deposition of Charles C. Cox in Re: Caroline Hunt Trust Estate v. United States, No. 95-531-C, United States Court of Federal Claims, (April 7 & 8, 1999).

Testimony of Charles C. Cox in Re: Jeffrey M. Steinberg and John Geron, File No. 3-9608, United States Securities and Exchange Commission Administrative Proceeding, (January 13, 1999).

Deposition of Charles C. Cox in Re: John K. Castle et al. and Federal Deposit Insurance Corporation v. United States, No. 90-1291C, United States Court of Federal Claims, (December 17, 1998, January 26, 1999).

Affidavit of Charles C. Cox in Re: McKowan Lowe & Co., Ltd., v. Jasmine Ltd. et al., No. 94-CV-522 and No. 96-CV-2318 (consolidated), United States District Court for the District of New Jersey, (December 10, 1998).

Deposition of Charles C. Cox in Re: Fightertown Entertainment, Inc. v. Robertson, Stephens & Company, Piper Jaffray Inc., John C. Siegler, et al., No. 750511, Superior Court of California, Orange County, (September 2, 1998).

Testimony of Charles C. Cox in Re: Alpha Group Consultants, Ltd., et al., v. Bear, Stearns & Co., Inc., No. 91-0143-IEG (AJB), United States District Court, Southern District of California, (August 19, 1998).

Deposition of Charles C. Cox in Re: Alpha Group Consultants, Ltd., et al., v. Bear, Stearns & Co., Inc., No. 91-0143-IEG (AJB), United States District Court, Southern District of California, (June 24 & August 8, 1998).

Deposition of Charles C. Cox in Re: STI Classic Funds et al. v. Bollinger Industries, Inc., et al., No. 3:96C-V-0823-R, United States District Court, Northern District of Texas, Dallas Division, (June 19, 1998).

Affidavit of Charles C. Cox in Re: Safety-Kleen Corporation v. Laidlaw Environmental Services, Inc., No. 97C8003, United States District Court, Northern District of Illinois, Eastern Division, (March 4, 1998).

Affidavit of Charles C. Cox in Re: Edouard Serfaty et al. v. International Automated Systems, Inc., and Neldon P. Johnson, Case No. 2:96 CV 0583C, United States District Court, District of Utah, Central Division, (February 25, 1998).

Affidavit of Charles C. Cox in Re: Computer Associates International, Inc. v. Computer Sciences Corporation, CV-S-98-00278-LDG (RHL), United States District Court, District of Nevada, (February 24, 1998).

Testimony of Charles C. Cox in Re: Safety-Kleen Corporation v. Laidlaw Environmental Services, Inc., No. 97C8003, United States District Court, Northern District of Illinois, Eastern Division, (January 30 & February 2, 1998).

Deposition of Charles C. Cox in Re: Safety-Kleen Corporation v. Laidlaw Environmental Services, Inc., No. 97C8003, United States District Court, Northern District of Illinois, Eastern Division, (January 23, 1998).

Testimony of Charles C. Cox in Re: Publicis Communication v. True North Communications Inc., et al., No. 97 C 8263, District Court for the Northern District of Illinois, Eastern Division, (December 19 & 22, 1997).

Affidavit of Charles C. Cox in Re: Publicis Communication v. True North Communications Inc., et al., No. 97 C 8263, District Court for the Northern District of Illinois, Eastern Division, (December 15, 1997).

Testimony of Charles C. Cox in Re: Augustus Conduis, et al. v. Howard Savings Bank, et al.; Civil Action Nos. 89-5131 and 91-2465 and Leo A. Gutman, et al. v. Howard Savings Bank, et al.; Civil Action No. 90-2397; United States District Court for the District of New Jersey, (November 20, 1997).

Deposition of Charles C. Cox in Re: Morton S. Goldfine and Adrienne M. Goldfine vs. Michael L. Steinberg, American Express Company, Shearson Lehman Brothers Holdings, Inc., et al., No. 93 L 5233, Circuit Court of Cook County, Illinois, (October 27 & 28, 1997).

Testimony of Charles C. Cox in Re: NASD Regulation, Inc., Market Surveillance Committee v. Morgan Stanley & Co., Inc. et al., Disciplinary Hearing Panel of the Market Regulation Committee, NASD Regulation, Inc., CMS960235, (July 16, 1997).

Deposition of Charles C. Cox in Re: Robert Stuchen, et al., Plaintiffs vs. Duty Free International, et al., Defendants; Superior Court of the State of Delaware (New Castle County), Civil Action No. 94C-12-124; and Victor M. Guerra, et al., Plaintiffs v. Duty Free International, et al., Defendants; Superior Court of the State of Delaware (New Castle County), Civil Action No. 95C-04-13, (June 4, 1997).

Deposition of Charles C. Cox in Re: Augustus Conduis, et al. v. Howard Savings Bank, et al.; Civil Action No. 91-2465 and Leo A. Gutman, et al. v. Howard Savings Bank, et al.; Civil Action No. 90-2397; United States District Court for the District of New Jersey (WGB), (February 14, 1997).

Deposition of Charles C. Cox in Re: Joseph W. and Helen B. Teague et al. Plaintiffs vs. James O. Bakker, Defendant; United States District Court for the Western District of North Carolina, Civil Action No. 3:87CV514, (June 28, 1996).

Affidavit of Charles C. Cox in Re: Evelyn Shea et al. Plaintiffs v. New York Life Insurance Company et al. Defendants; United States District Court, Southern District of Florida, Case No. 96-0746-CIV-NESBITT, (June 21, 1996).

Deposition of Charles C. Cox in Re: Raisy Levitan et al., Plaintiffs v. A Pea In the Pod, et al., Defendants; United States District Court for the Northern District of Texas, Dallas Division, Civil Action No. 3-94 CV-0247D, (June 12, 1996).

Deposition of Charles C. Cox in Re: Janet Ziemack et al. Plaintiffs against Centel Corporation et al. Defendants; United States District Court for the Northern District of Illinois, Eastern Division, No. 92 C3551, (May 23, 24, 1996).

Deposition of Charles C. Cox in Re: Nasdaq Market-Makers Antitrust Litigation; United States District Court for the Southern District of New York, 94 Civ. 3996 (RWS) M.D.L. No. 1023, (May 10, 11, 1996).

Affidavit of Charles C. Cox in Re: Nasdaq Market-Makers Antitrust Litigation; United States District Court for the Southern District of New York, 94 Civ. 3996 (RWS) M.D.L. No. 1023, (April 30, 1996).

Deposition of Charles C. Cox in Re: Wayne Laverne Prim, Plaintiff vs. Loretta Jean Prim, Defendant; Ninth Judicial District Court of the State of Nevada in and for the County of Douglas, No. 31327, Dept. No. 1, (November 20, 1995).

Testimony of Charles C. Cox in Re: H.R. 2131, The Capital Markets Deregulation and Liberalization Act of 1995; Subcommittee on Telecommunications and Finance of The House Committee on Energy and Commerce, (November 14, 1995).

Testimony of Charles C. Cox in Re: Douglas E. O'Neil et al. v. Curtis H. Appel et al., Price Waterhouse and Embrace Systems Corporation; United States District Court for the Western District of Michigan, Southern Division, No. 1:94-CV-97 (RHB), (August 25, 1995).

Declaration of Charles C. Cox in Re: Mark Erwin, Trustee, Mark Erwin Sales, Inc. Defined Benefit Plan, et al., Plaintiffs v. Resources High Equity, Inc., et al., Defendants; Superior Court for the State of California, County of Los Angeles, Case No.: BC080254, (July 11, 1995).

Affidavit of Charles C. Cox in Re: Douglas E. O'Neil, et al., Plaintiffs v. Curtis H. Appel et al., Defendants, United States District Court for the Western District of Michigan, No. 1: 94-CV-97 (RHB), (May 31, 1995).

Testimony of Charles C. Cox: Concerning Securities Litigation Reform; Subcommittee on Securities of the Senate Banking, Housing and Urban Affairs Committee, (April 6, 1995).

Deposition of Charles C. Cox in Re: Storage Technology Securities Litigation; United States District Court for the District of Colorado, No. 92-K-750, (December 13, 14, 1994).

Deposition of Charles C. Cox in Re: Harold J. Robins and Alan Freeberg, Plaintiffs vs. Moore Medical Corp., et. al., Defendants; United States District Court for the Southern District of New York, No. 91 Civ. 3701 (MEL), (December 5, 1994).

Testimony of Charles C. Cox in Re: Sidney Morse, Ann Drake and Robert L. Baumgarten, Plaintiffs vs. Abbott Laboratories, Robert A. Schoellhorn, Duane L. Burnham and Jack W. Schuler, Defendants; United States District Court for the Northern District of Illinois, Eastern Division, No. 90 C 1982, (February 28, March 1, 2, 3, 4, 7, 1994).

Affidavit of Charles C. Cox in Re: Sandy Liebhard, et. al., Plaintiffs vs. Square D Company and Jarre L. Stead, Defendants; United States District Court for the Northern District of Illinois, Eastern Division, No. 91 C1103, (February 8, 1994).

Affidavit of Charles C. Cox in Re: Time Warner Inc. Securities Litigation; United States District Court for the Southern District of New York, No. 90 Civ. 4051 (MEL), (February 1, 1994).

Deposition of Charles C. Cox in Re: Union Pacific Corporation, Union Pacific Railroad Company and Missouri Pacific Railroad Company -- Control -- Chicago and North Western Holdings Corp. and Chicago and Northwestern Transportation Company: Before the Interstate Commerce Commission, Finance Docket No. 32133, (January 21, 1994).

Affidavit of Charles C. Cox in Re: Dennis E. Bentley, et. al., Plaintiffs vs. Legent Corporation, et. al., Defendants; United States District Court for the Eastern District of Virginia, Alexandria Division, No. 93-894-A, (January 7, 1993).

Deposition of Charles C. Cox in Re: William R. Fry, et. al., Plaintiffs vs. UAL Corporation; United States District Court for the Northern District of Illinois, Eastern Division, No. 90 C0999, (January 14, April 7, 1994).

Testimony of Charles C. Cox in Re: United States of America v. Gary Singer and The Cooper Companies, Inc.; United States District Court for the Southern District of New York, 92 Cr. 964 (RJW), (December 20, 21, 1993).

Deposition of Charles C. Cox in Re: Dennis E. Bentley, et. al., Plaintiffs vs. Legent Corporation, et. al., Defendants; United States District Court for the Eastern District of Virginia, Alexandria Division, No. 93-894-A, (December 9, 1993).

Verified Statement of Charles C. Cox in Re: Union Pacific Corporation, Union Pacific Railroad Company and Missouri Pacific Railroad Company -- Control -- Chicago and North Western Holdings Corp. and Chicago and Northwestern Transportation Company: Before the Interstate Commerce Commission, Finance Docket No. 32133, Dated November 24, 1993.

Affidavit of Charles C. Cox in Re: Compaq Securities Litigation; United States District Court for the Southern District of Texas, Houston Division, Civil Action H-91-9191, (September 27, 1993).

Deposition of Charles C. Cox in Re: American Dental Laser, Inc. Securities Litigation; United States District Court Eastern District of Michigan, Southern Division, No. 92-CV-71917-DT, (August 19, 20, 1993).

Deposition of Charles C. Cox in Re: Janivo Holding, B.V., Plaintiff v. Continental Bank N.A. and First Interstate Commercial Mortgage Company of Illinois, Defendants; United States District Court for the Northern District of Illinois, Eastern Division, No. 91C7728, (August 12 and September 15, 1993).

Testimony of Charles C. Cox in Re: Lynn A. Schwartz, Plaintiff, vs. System Software Associates, Inc., Roger E. Covey, and David L. Harbert, Defendants; United States District Court for the Northern District of Illinois, Eastern Division, No. 91 C1154, (June 29, 1993).

Testimony of Charles C. Cox in Re: Intervivos and Testamentary Trusts of J.E. Barbey, also known as John E. Barbey, Deceased; Court of Common Pleas of Berks County, Pennsylvania, Orphans' Court Division, No. 46273, 47416, 47417, 47418, 47419, (April 27, 1993).

Affidavit of Charles C. Cox in Re: Sandy Liebhard, et al., Plaintiffs vs. Square D Company and Jarre L. Stead, Defendants; United States District Court for the Northern District of Illinois, Eastern Division, No. 91 C1103, (March 12, 1993).

Declaration of Charles C. Cox in Re: Mortgage and Realty Trust Securities Litigation; United States District Court for the Eastern District of Pennsylvania; Master file No. 90-1848, (March 9, 1993).

Deposition of Charles C. Cox in Re: Scott Paper Securities Litigation; United States District Court for the Eastern District of Pennsylvania; Master File No. 90-6192, (February 19, 20, 1993).

Deposition of Charles C. Cox in Re: Amos M. Ames, et. al., Plaintiffs, vs. Marguerite M. Paul, et. al., Defendants; Circuit Court Juneau County, State of Wisconsin, Case Nos. 92-CV-31, 92-CV-32, (January 26, 1993).

Deposition of Charles C. Cox in Re: Mortgage and Realty Trust Securities Litigation; United States District Court for the Eastern District of Pennsylvania; Master File No. 90-1848, (January 12, 1993).

Deposition of Charles C. Cox in Re: Sandy Liebhard, et al., Plaintiffs vs. Square D Company and Jerre L. Stead, Defendants; United States District Court for the Northern District of Illinois, Eastern Division, No. 91 C1103, (November 18, 19, 1992).

Deposition of Charles C. Cox in Re: Estate of Technical Equities Corporation, Plaintiff, vs. Harry C. Stern; Stern Management Associates, a general partnership; Bear Stearns & Co.; Michael J. Doherty; Does 3-500, and Roes 1-100, Defendants. Superior Court of California, County of Santa Clara; Master File No. 1991, Santa Clara County Superior Court No. 600306, (September 4, 5, 1992).

Testimony of Charles C. Cox in Re: In the Matter of the Trust created by George A. Hormel and Designated as Trusts Nos. 4, 5 and 6, and of the Trust created by Jay C. Hormel and Designated as Trusts Nos. 101, 102, 103, 201, 202, 203, 301, 302 and 303. District Court of the State of Minnesota, County of Mower, Third Judicial District, Nos. C5-54-22378, C7-54-22379, C3-54-22380, C9-57-23659, C5-57-23660, C7-57-23661, C9-57-23662, C0-57-23663, C2-57-23664, C4-57-23665, C6-57-23666, C8-57-23667, (August 26, 27, 28, 1992).

Deposition of Charles C. Cox in Re: In the Matter of the Trust created by George A. Hormel and Designated as Trusts Nos. 4, 5 and 6, and of the Trust created by Jay C. Hormel and Designated as Trusts Nos. 101, 102, 103, 201, 202, 203, 301, 302 and 303. District Court of the State of Minnesota, County of Mower, Third Judicial District, Nos. C5-54-22378, C7-54-22379, C3-54-22380, C9-57-23659, C5-57-23660, C7-57-23661, C9-57-23662, C0-57-23663, C2-57-23664, C4-57-23665, C6-57-23666, C8-57-23667, (August 19, 1992).

Affidavit of Charles C. Cox in Re: Del Monte Corporation, Plaintiff, v. Polly Peck International, PLC; PPI Del Monte Tropical Fruit Company, North America and DMII (International) Ltd., Defendants. PPI Del Monte Tropical Fruit Company, North America and DMII (International) Ltd., Counterclaim Plaintiffs, v. Del Monte Corporation, Counterclaim Defendant, United States District Court for the Southern District of New York, 91 Civ. 6486 (WK), (May 11, 1992).

Affidavit of Charles C. Cox in Re: Sandy Liebhard, et al., Plaintiffs vs. Square D Company and Jarre L. Stead, Defendants; United States District Court for the Northern District of Illinois, Eastern Division, No. 91 C1103, (April 15, 1992).

Deposition of Charles C. Cox in Re: Rospatch Securities Litigation, United States District Court for the Western District of Michigan, Southern Division, No. 1:90-CV-805, 1:90-CV-806, 1:91-CV-85, (April 7, 1992).

Affidavit of Charles C. Cox in Support of Shearson's Motion for Summary Judgment in Re: General Acquisition, Inc., et al., Plaintiffs v. GenCorp Inc., et al., Defendants, GenCorp Inc., Defendant-Counterclaimant, v. Wagner & Brown, et al., Defendants on the Counterclaims and Shearson Lehman Brothers Inc. and Shearson Lehman Brothers Holdings Inc., New Party Defendants on the Amended Counterclaims, United States District Court for the Southern Division of Ohio, Eastern Division, C2-87-348, (February 28, 1992).

Deposition of Charles C. Cox in Re: General Acquisition, Inc., et al., Plaintiffs v. GenCorp Inc., et al., Defendants, GenCorp Inc., Defendant-Counterclaimant, v. Wagner & Brown, et al., Defendants on the Counterclaims and Shearson Lehman Brothers Inc. and Shearson Lehman Brothers Holdings Inc., New Party Defendants on the Amended Counterclaims, United States District Court for the Southern Division of Ohio, Eastern Division, 2:87-CV-348, (November 20, 21, 22 and December 19, 20, 1991).

Deposition of Charles C. Cox in Re: DBA Securities Litigation, United States District Court for the Middle District of Florida, Orlando Division, No. 89-032-Civ-Orl-19, (August 30, 1990).

Affidavit of Charles C. Cox: Submitted on behalf of all defendants in Re: David Jacobson, et al., against Bear Stearns & Co., Inc., No. 90/7333; Richard Moose, et al., against Merrill Lynch, Pierce Fenner & Smith, Inc., No. 90/15850; Michael Hecht, et al., against Shearson Lehman Hutton Holdings, Inc., No. 90/15852; David Jacobson and Samuel Brach, et al., against Prudential-Bache Securities Inc., No. 90/8406; M & L Partnership, Milton Mandelblatt and Leah Mandelblatt, et al., against Pain Webber Incorporated, No. 90/15851; M & L Partnership, et al., against Regional Clearing Corp., No. 90/7240; Supreme Court of the State of New York, County of New York, (July 27, 1990).

Securities and Exchange Commission Proposed Legislation 'The Insider Trader Act of 1987' And Memorandum of Support, Subcommittee on Securities of the Senate Banking, Housing and Urban Affairs Committee, (August 7, 1987).

Internationalization of the Securities Markets, Subcommittee on Telecommunications and Finance of the House Committee on Energy and Commerce, (August 5, 1987).
Program Trading, Subcommittee on Telecommunications and Finance of the House Committee on Energy and Commerce, (July 23, 1987).

Corporate Takeover Legislation, Committee on Banking, Housing and Urban Affairs, United States Senate, (June 23, 1987).

Legislation to Define Insider Trading, Subcommittee on Securities of the Senate Banking, Housing and Urban Affairs Committee, (June 19, 1987).

The Commission's Authorization Request for Fiscal Years 1988-90, Subcommittee on Telecommunications and Finance of the House Committee on Energy and Commerce, (June 4, 1987).

The Commission's Market Oversight, Surveillance, and Enforcement Programs, Subcommittee on Telecommunications and Finance of the House Committee on Energy and Finance, (May 5, 1987).

Federal Regulation of Tender Offers, Subcommittee on Antitrust, Monopolies and Business Rights of the Senate Judiciary Committee, (April 2, 1987).

Oversight Hearings, Subcommittee on Telecommunications, Consumer Protection, and Finance of the House Committee on Energy and Commerce, (March 5, 1986).

Tender Offer Process, Subcommittee on Taxation and Debt Management of the Senate Committee on Finance, (April 22, 1985).

The Current Legislative Framework Governing the Financial Services Industry, Subcommittee on Telecommunications, Consumer Protection, and Finance of the House Committee on Energy and Commerce, (April 2, 1985).

Oversight Hearings, Subcommittee on Telecommunications, Consumer Protection, and Finance of the House Committee on Energy and Commerce, (March 21, 1985).

Title I of H.R. 4557, the Proposed Secondary Mortgage Market Enhancement Act, Subcommittee on Telecommunications, Consumer Protection, and Finance of the House Committee on Energy and Commerce, (March 14, 1984).

Oversight Hearings, Subcommittee on Telecommunications, Consumer Protection, and Finance of the House Committee on Energy and Commerce, (February 23, 1984).

Nomination of Charles Coleman Cox, Committee on Banking, Housing, and Urban Affairs, United States Senate, (November 9, 1983).

HONORS AND AWARDS

University of Washington Department of Economics Distinguished Alumnus, 2012.

Charles R. Walgreen Foundation for the Study of American Institutions Fellowship, 1970-1972.

National Defense Education Act Title IV Graduate Fellowship, 1967-1970.

Graduate Magna Cum Laude with Distinction in Economics, 1967.

Phi Beta Kappa 1966.

OTHER ACTIVITIES

Member, Mont Pelerin Society.

Referee, Journal of Political Economy, American Economic Review, Journal of Law & Economics, Journal of Money, Credit, and Banking, Economic Inquiry, National Science Foundation, Review of Social Economy, Social Science Quarterly.

Participant and speaker at multiple conferences on the Economics of Corporate, Securities and Commodities Law, Mergers and Acquisitions, and the Regulation of Markets.