

ADRIAN J. WALTERS

Ralph L. Brill Professor of Law
Chicago-Kent College of Law, Illinois Institute of Technology
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EDUCATION/QUALIFICATIONS

B.A. (Hons.), History, Emmanuel College, University of Cambridge, 1989.

Common Professional Examination (with Commendation), Nottingham Trent University (formerly Nottingham Polytechnic), 1990.

Law Society Finals (with Honours), Nottingham Trent University (formerly Nottingham Polytechnic), 1991.

M.A., University of Cambridge, 1993.

Admitted as a Solicitor of the Senior Courts of England and Wales, 1993.

EMPLOYMENT

Chicago-Kent College of Law, Illinois Institute of Technology, Chicago, USA:

- Ralph L. Brill Professor of Law, July 2011-present.

Nottingham Law School, Nottingham Trent University, United Kingdom (“NTU”):

- Visiting Professor, October 2011-present.
- Geldards LLP Professor of Corporate and Insolvency Law, April 2005-July 2011.
- Reader in Law (equivalent to Associate Professor), January 2002-April 2005.
- Lecturer/Senior Lecturer in Law (equivalent to Assistant Professor), September 1994-January 2002.

Eking Manning Solicitors, Nottingham, United Kingdom:

- Trainee & Assistant Solicitor, August 1991-September 1994.

PUBLICATIONS

Books

Contracts: A Context and Practice Casebook (Carolina Academic Press, 2015) (co-authored with Michael Hunter Schwartz).

Directors' Disqualification and Insolvency Restrictions (Sweet & Maxwell, 4th edition, forthcoming).

Directors' Disqualification and Insolvency Restrictions (Sweet & Maxwell, 2010, cii + 1072) (co-authored with Malcolm Davis-White QC, 4 Stone Buildings, Lincoln's Inn). This is the much expanded 3rd edition of my treatise on the Company Directors Disqualification Act 1986 originally published under the title *Directors' Disqualification: Law & Practice* (see below).

Directors' Disqualification and Bankruptcy Restrictions (Sweet & Maxwell, 2005, lxxix + 851 pp) (co-authored with Malcolm Davis-White QC, 4 Stone Buildings, Lincoln's Inn). This is the 2nd edition of my treatise on the Company Directors Disqualification Act 1986 originally published under the title *Directors' Disqualification: Law & Practice* (see below).

Directors' Disqualification: Law & Practice (Sweet & Maxwell, 1999, lii + 500 pp) (co-authored with Malcolm Davis-White, 4 Stone Buildings, Lincoln's Inn).

Law review articles

"Modified Universalisms & the Role of Local Legal Culture in the Making of Cross-Border Insolvency Law", forthcoming *American Bankruptcy Law Journal*

"United States' Bankruptcy Jurisdiction Over Foreign Entities: Exorbitant or Congruent?" (2017) 17(2) *Journal of Corporate Law Studies* 367, <http://dx.doi.org/10.1080/14735970.2017.1299841>

"Giving Effect to Foreign Restructuring Plans in Anglo-US Private International Law" (2015) 3 *Nottingham Insolvency and Business Law e-Journal* 375-392, https://www.ntu.ac.uk/nls/document_uploads/174836.pdf

"Statutory Erosion of Secured Creditors' Rights: Some Insights from the UK", 2015 *University of Illinois Law Review* 101-128, <https://www.law.illinois.edu/content/ilr/articles/2015/2/Walters.pdf>

"Involuntary Bankruptcy as Debt Collection" (co-authored with Jason Kilborn, John Marshall Law School), (2013) 87 *American Bankruptcy Law Journal* 123-153, http://papers.ssrn.com/sol3/papers.cfm?abstract_id=2171441

"The Costs and Benefits of Secured Creditor Control in Bankruptcy: Evidence from the UK" (co-authored with John Armour, Faculty of Law, University of Oxford and Audrey Hsu, National Taiwan University) (2012) 8(1) *Review of Law and Economics* 101-135, <http://bit.ly/VELdbC>

“Bankruptcy Tourism under the EC Regulation on Insolvency Proceedings: A View from England and Wales” (co-authored with Anton Smith, Geldards LLP) (2010) 19(3) *International Insolvency Review* 181-208, <http://bit.ly/11tBTfO>

“Individual Voluntary Arrangements: A Fresh Start for Salaried Consumer Debtors in England and Wales?” (2009) 18(1) *International Insolvency Review* 5-36, <http://bit.ly/14GNKa2>

“Corporate Insolvency in the United Kingdom: The Impact of the Enterprise Act 2002” (2008) 5 *European Company and Financial Law Review* 135-158 (co-authored with John Armour, Faculty of Law, University of Oxford and Audrey Hsu, Department of Accounting, National University of Taiwan).

“Consumer Bankruptcy Law Reform in Great Britain” (2006) 80 *American Bankruptcy Law Journal* 477-522 (co-authored with Donna McKenzie Skene, School of Law, University of Aberdeen).

“The Proceeds of Office-Holder Actions Under the Insolvency Act: Charged Assets or Free Estate?” [2006] *Lloyds Maritime and Commercial Law Quarterly* 27-48 (co-authored with John Armour, Faculty of Law, University of Oxford).

“Funding Liquidation: A Functional View” (2006) 122 *Law Quarterly Review* 295-326 (co-authored with John Armour, Faculty of Law, University of Oxford).

“Personal Insolvency Law After the Enterprise Act: An Appraisal” (2005) 5 *Journal of Corporate Law Studies* 65-104.

“Bare Undertakings in Directors’ Disqualification Proceedings” (2001) 22 *Company Lawyer* 290-297.

“Directors’ Disqualification After the Insolvency Act 2000” [2001] *Insolvency Lawyer* 86-96.

“Directors’ Duties: The Impact of the Company Directors Disqualification Act” (2000) 21 *Company Lawyer* 110-119.

“Staying Proceedings on Grounds of Champerty” [2000] *Insolvency Lawyer* 16-26.

“Event-Triggered Financing of Civil Claims” (1999) 8 *Nottingham Law Journal* 1-22 (co-authored with Professor John Peysner, formerly NTU).

“Foreshortening the Shadow: Maintenance, Champerty and the Funding of Litigation in Corporate Insolvency” (1996) 17 *Company Lawyer* 165-174.

“Priority of the Floating Charge in Corporate Insolvency” (1995) 16 *Company Lawyer* 291-295.

“Security for Costs” [1995] *The Litigator* 237-241, 285-291.

Book chapters & published conference proceedings

“Disqualification of Directors” in *Research Handbook on International Financial Crime* (B. Rider ed, Edward Elgar, 2015).

“Duties and Liabilities of Administrators” (Chapter 14) in Sir Gavin Lightman and Gabriel Moss QC (eds), *The Law of Administrators and Receivers of Companies* (London: Sweet & Maxwell, 5th edn, 2011) (co-authored with Daniel Lightman, Serle Court, 6 New Square, Lincoln’s Inn).

“Duties and Liabilities of Receivers and their Appointors” (Chapter 15) in Sir Gavin Lightman and Gabriel Moss QC (eds), *The Law of Administrators and Receivers of Companies* (London: Sweet & Maxwell, 5th edn, 2011) (co-authored with Daniel Lightman, Serle Court, 6 New Square, Lincoln’s Inn).

“Cork’s Insolvency Ombudsman: Time for a Rethink?” (co-authored with Mary Seneviratne, NTU) in B Wessels & P Omar (ed), *Insolvency Law in the United Kingdom: The Cork Report at 30 Years* (Papers from the Joint INSOL Europe Academic Forum/Sussex Law School Conference, INSOL Europe, 2010).

“Requests by Foreign Officeholders to Stay Pending Proceedings in England and Wales: The Role of the Cross-Border Insolvency Regulations” in N Weber & J Schmidt (eds), *Festschrift für Hans Peter Runkel* (Cologne: RWS Verlag Kommunikationsforum, 2009, pp 475-507) (co-authored with David Griffiths and Anton Smith, both of Geldards LLP).

“Regulating the Insolvency Office-Holder Profession across Borders” in B Wessels & P Omar (eds), *Crossing (Dutch) Borders in Insolvency* (Papers from the INSOL Europe Academic Forum and Meijers Institute of the Leiden Law School Joint Insolvency Conference, INSOL Europe, 2009).

“Consuming Passions: Benchmarking Consumer Bankruptcy Law Systems” in P Omar (ed), *Insolvency Law: Issues, Themes and Perspectives* (Ashgate, 2008) (co-authored with Donna McKenzie Skene, School of Law, University of Aberdeen).

“Preferences” (Chapter 4, pp 123-181) in J Armour and H Bennett (eds), *Vulnerable Transactions in Corporate Insolvency* (Oxford: Hart Publishing, 2003).

“Void Dispositions in Compulsory Winding-Up” (Chapter 8, pp 331-383) in J Armour and H Bennett (eds), *Vulnerable Transactions in Corporate Insolvency* (Oxford: Hart Publishing, 2003).

“Enforcing Wrongful Trading: Substantive Problems and Practical Disincentives” in *The Corporate Dimension* (B Rider ed, Jordans, 1998, pp 145-160).

Other articles, notes and papers (selected)

“All Along the Watchtower”, (2017) 38 *Company Lawyer* 251-254 (co-authored with Tally Wiener).

“Lawyers, Guns and Money’: Post-confirmation Homeland Security Issues and the Iconic American Firearms Maker Colt Defense”, (2016) 13(5) *International Corporate Rescue* 345 (co-authored with Tally Wiener).

“The Model Law: Is It Time for the UK to Change Tack?” (co-authored with Ian Williams of RSM Restructuring Advisory LLP), *American Bankruptcy Institute Journal*, Vol XXXV, No 1, January 2016 at 16-17, 57.

“Termination-on-Bankruptcy Provisions: Some Proposed Language (co-authored with Kenneth Adams & Robert Eisenbach), *Business Law Today*, June 2014, <http://bit.ly/1o4CptL> .

“The Model Law is Dead. Long Live the Model Law!” , *Recovery*, Spring 2014 at 30-32 (co-authored with Ian Williams of Sprecher Martineau LLP).

“The Promise and Perils of Involuntary Insolvency Proceedings” (co-authored with Tally Weiner), *American Bankruptcy Institute Journal*, Vol XXXI, No 3, April 2012 at 46-47, 122.

“Cross-Border Insolvency Proceedings in the European Union: The Interface Between the Insolvency Regulation and the Brussels I Regulation”, INSOL International Technical Series Issue No.16 (November 2010), <http://bit.ly/14x12F1>

“Off the hook” (op-ed on the suitability of the UK insolvency system for the economic situation), *Solicitors Journal*, 13 September 2010.

“The Global Financial Crisis and the Call for Reform of Insolvency Law Systems” (2010) 4(1) *Insolvency and Restructuring International* 13-17 (co-authored with David Burdette and Rebecca Parry, both of NTU). *Insolvency and Restructuring International* is published by the International Bar Association’s Section on Insolvency and Creditors’ Rights.

“Individual Voluntary Arrangements and Consumer Debtors: Past, Present and Future” (text of inaugural professorial lecture), (2008) 17(2) *Nottingham Law Journal*.

“The Cross-Border Insolvency Regulations 2006: An Emerging Jurisprudence” (co-authored with Sharif Shivji of 4 Stone Buildings, Lincoln’s Inn and Anton Smith of Geldards LLP), *American Bankruptcy Institute Journal*, Vol XXVI, No 10, December 2007/January 2008 at 40-41, 68-69.

“The Impact of the Enterprise Act 2002 on Realisations and Costs”, *Recovery*, Autumn 2007 at p 39 (co-authored with John Armour, Faculty of Law, University of Oxford and Audrey Hsu, National Taiwan University).

“Judicial Assistance in Cross-Border Insolvency at Common Law” (2007) 28 *Company Lawyer* 74-75.

“Service in the United States under Insolvency Rule 12.12” (2006) 19(4) *Insolvency Intelligence* 58-62 (co-authored with Ian Williams and Helen Marsh, both of Geldards LLP).

“Bankruptcy and Hybrid Claims” (2005) 121 *Law Quarterly Review* 46-48.

“Section 236 of the Insolvency Act and Directors’ Disqualification” (2004) 24 *Company Lawyer* 90-92.

“Unlawful Preferences and Proprietary Rights” (2003) 119 *Law Quarterly Review* 28-31.

“Recovering Costs of Litigation as a Liquidation Expense” (2003) 24 *Company Lawyer* 83-84.

“Liquidation Expenses – Ruling in *Re Toshoku Finance (UK) plc* Considered” *Sweet & Maxwell Company Law Newsletter* Issue 4/2002.

“Wrongful Trading: Two Recent Cases” [2001] *Insolvency Lawyer* 211-214.

“*Re Floor Fourteen Ltd* in the Court of Appeal” (2001) 22 *Company Lawyer* 215-217.

“Contingency Fee Arrangements at Common Law” (2000) 116 *Law Quarterly Review* 371-377.

“Leave to Act as a Director Following Disqualification” (1999) 20 *Company Lawyer* 239-241.

“Leave to Act as a Director Following Disqualification: *Re Barings plc*” (1999) 7 *Journal of Financial Crime* 63-66.

“Anonymous Funders and Abuse of Process” (1998) 114 *Law Quarterly Review* 207-213.

“Creditor-Funded Litigation in Corporate Insolvency” [1997] *Company Financial and Insolvency Law Review* 126-131.

“Champerty: *Re Oasis Merchandising Services Ltd* in the Court of Appeal” (1997) 18 *Company Lawyer* 214-217.

“A Modern Doctrine of Champerty?” (1996) 112 *Law Quarterly Review* 560-567.

Frequent editorials for *Company Lawyer*.

Book reviews

Review of Jacob S Ziegel: *Comparative Consumer Insolvency Regimes — A Canadian Perspective* (Hart Publishing, 2003) and Johanna Niemi-Kiesilainen, Iain Ramsay & William C Whitford (eds): *Consumer Bankruptcy in Global Perspective* (Hart Publishing, 2003) (2005) 28 *Journal of Consumer Policy* 243-248.

Review of A Keay and P Walton, *Insolvency Law: Corporate and Personal* (Pearson, 2003) [2004] *Cambridge Law Journal* 784-785.

Review of B Cheffins, *Company Law: Theory, Structure and Operation* [1997] *Nottingham Law Journal* 98-104.

Legal encyclopaedias

Invited contributor of various entries relating to corporate law in *The New Oxford Companion to Law* (OUP, 2008).

REPORTS TO GOVERNMENT AGENCIES & OTHER PUBLIC BODIES

National Reporter on the United States in a European Commission project coordinated by the University of Leeds entitled “Study on a new approach to business failure and insolvency. Comparative legal analysis of Member States’ relevant provisions and practices” (JUST/2014/JCOO/PR/CIVI/0075) (provided comparative legal analysis of the federal bankruptcy system in the United States).

“Preliminary Report into Outcomes in Corporate Voluntary Arrangements” – a pilot study for the UK Insolvency Service co-authored with Sandra Frisby (University of Nottingham), February 2011, (research contract worth c. £5,000), http://papers.ssrn.com/sol3/papers.cfm?abstract_id=1792402

“Complaints Handling by the Regulators of Insolvency Practitioners: A Comparative Study” – a follow-up report for the UK Insolvency Practices Council co-authored with Professor Mary Seneviratne (NTU), January 2009, (research contract worth c. £10,000), <http://ssrn.com/abstract=1310791>

“Complaints Handling and Disciplinary Procedures in the Insolvency Practitioner Profession” – a report for the UK Insolvency Practices Council co-authored with Professor Mary Seneviratne (NTU), January 2008, (research contract worth c. £18,000), <http://ssrn.com/abstract=1094757>

“The Impact of the Enterprise Act 2002 on Realisations and Costs in Corporate Rescue Proceedings” – a report for the UK Insolvency Service co-authored with John Armour (University of Oxford) and Audrey Hsu (National University of Taiwan), December 2006, (research contract worth c. £43,000), <http://bit.ly/1ikTWza>

“Current Barriers to Legal Expenses Insurance” — a report for the Association of British Insurers co-authored with Professor John Peysner (formerly NTU), 1998 (research contract worth c. £5,000).

CONFERENCE PRESENTATIONS

“Pre-Insolvency Proceedings: Cross-Border Insolvency Law Implications” - paper presented at the INSOL Academics’ Group Meeting in London, 11-13 July 2018.

“Modified Universalism & the Role of ‘Glocal Judges’ in the Making of Cross-Border Insolvency Law” – paper presented as part of the Chicago-Kent Law Review Symposium, Chicago, 29-30 November 2017.

“International Insolvency Cooperation in a World of ‘Glocal’ Judges: Anglo-American Experiences of the UNCITRAL Model Law on Cross-Border Insolvency and the Limits of Modified Universalism” – paper accepted for the Law and Society Association Annual Meeting, Mexico City, 20-23 June 2017.

“Shoppers’ Paradise? Some Realism About 21st Century United States Bankruptcy Jurisdiction Over Non-US Debtors” – paper presented at the INSOL Academics’ Group Meeting in London, 13-15 July 2016.

“Reception and Resistance: The Asymmetric Treatment of Foreign Restructuring Plans in the United States and the United Kingdom” – paper presented at the INSOL Academics’ Group Meeting in San Francisco, California, 21-22 March 2015.

“Statutory Erosion of Secured Creditors’ Rights: Some Insights from the UK” – paper presented at the American Bankruptcy Institute/University of Illinois joint symposium on Reform of Chapter 11 of the US Bankruptcy Code held in Chicago, 3-5 April 2014.

“Involuntary bankruptcy as debt collection: Some thoughts on an Anglo-American puzzle” (with Jason Kilborn, John Marshall Law School, Chicago) – paper presented at the INSOL Academics’ Group Meeting in Miami, Florida, 19-20 May 2012.

“Research into Corporate Voluntary Arrangements” (with Sandra Frisby, School of Law, University of Nottingham) – paper presented at the Fifth Annual Insolvency Service Research Conference hosted by NTU, 5 April 2011.

“Corporate Voluntary Arrangement Outcomes” (with Sandra Frisby, School of Law, University of Nottingham) – paper presented at the UK Insolvency Lawyers’ Association Academics Meeting in Oxford, 25th March 2011.

“Bankruptcy Tourism under the EC Regulation on Insolvency Proceedings: A View from England and Wales” (with Anton Smith, Geldards LLP) – paper presented at the INSOL Academics’ Group Meeting in Dublin, Ireland, 11-13 June 2010 and the ICLRG International Insolvency Law Conference held at NTU, 15 September 2010.

“The Regulation of Insolvency Practitioners: Time for a Rethink?” (with Mary Seneviratne, NTU) – paper presented at the UK Socio-Legal Studies Association Annual Conference held at De Montfort University, 7-9 April 2009.

“Cork’s Insolvency Ombudsman: Time for a Rethink?” (with Mary Seneviratne, NTU) – paper presented at the Joint INSOL Europe Academic Forum/Sussex Law

School conference entitled “Looking Forward to the Cork Report + 30”, 26-27 March 2009.

“Market Delivery of Bankruptcy Alternatives: The ‘IVA Experience’ in England and Wales” (with Gary Wilson, NTU) — paper presented at the INSOL Academics’ Group Meeting in Shanghai, 15-16 September 2008.

Crossing (Dutch) Borders in Insolvency: Conference on New Developments in International Insolvency Law and their Impact in the Netherlands – University of Leiden, 5 June 2008 (short panel presentation on insolvency practitioner regulation in the European context).

“Emerging Issues in Consumer Insolvency and the Market for Debt Solutions” — paper presented at the UK Insolvency Lawyers’ Association Academic Advisory Group Meeting, Said Business School, Oxford, 2 March 2007.

“The Costs and Benefits of Secured Creditor Control in Bankruptcy: Evidence from the UK” (with John Armour, Faculty of Law, University of Oxford and Audrey Hsu, National Taiwan University) — CBR Working Paper WP 332 (September 2006) reporting findings of empirical research funded by the UK Insolvency Service:

- Accepted for the First Annual Conference on Empirical Legal Studies (organised by Cornell Law School, NYU Law School and University of Texas Law School) held in Austin, Texas, 27-28 October 2006 (presenters: Armour and Hsu).
- University of Texas Law School Law and Economics Workshop, 22 January 2007 (presenter: Armour).
- INSOL Academics’ Group Meeting in Cape Town, South Africa, 17-18 March 2007 (presenter: Walters under the title “Comparative Analysis of Corporate Rescue Proceedings: Lessons from the UK?”).
- Accepted for the American Law and Economics Association Seventeenth Annual Meeting held at Harvard Law School, 5-6 May 2007 (presenter: Armour).
- Insolvency Service seminar presentation, Insolvency Service HQ, London, 24 May 2007 (presenters: Armour and Walters under the title “The Impact of the Enterprise Act 2002 on Realisations and Costs in Corporate Rescue Proceedings”).
- 2nd Insolvency Service Research Conference, Insolvency Service HQ, London, 4 Sept 2007 (presenter: Walters under the title “The Impact of the Enterprise Act 2002 on Realisations and Costs in Corporate Rescue Proceedings”).
- 2nd European Company and Financial Law Review Symposium, *Corporate Insolvency – Droit des Entreprises en Difficulté*, Université Paris-Descartes, 12 Oct 2007 (presenter: Walters under the title “Corporate Insolvency in the UK: The Impact of the Enterprise Act 2002”).
- Erskine Chambers/Hawksmere Conference on Recent Developments in Insolvency and Restructuring, London, 30 Oct 2007 (presenter: Armour).
- 19th Asian-Pacific Conference on International Accounting Issues, University of Malaya, Kuala Lumpur, 12 November 2007 (presenter: Hsu).

- Occasional Seminars in Insolvency Law Series, NTU, 30 April 2008 (presenter: Walters).
- Bankruptcy Colloquium, Brooklyn University Law School, November 2009 (presenter: Armour).

“The Licensing, Regulation and Supervision of Insolvency Practitioners in the United Kingdom” — paper presented at the INSOL Europe Annual Congress in Bucharest, Romania, 30 Sept 2006.

“Consumer Bankruptcy Reform Issues in Scotland, England and Wales” (with Donna McKenzie Skene, University of Aberdeen) — paper presented at the INSOL Academics’ Group Meeting in Scottsdale, Arizona 20-21 May 2006 and at the inaugural Insolvency Service Research Conference, 11 Sept 2006.

“Personal Insolvency Law after the Enterprise Act” — paper presented at the Insolvency Lawyers’ Association Annual Conference in Paris, 2004. Conference proceedings chaired by Lord Millett. Response to paper given by the late Desmond Flynn, at that time the Inspector General and Chief Executive of the UK Insolvency Service.

“Bare Undertakings in Disqualification Proceedings” — paper presented to the Company Law Section of the UK Society of Public Teachers of Law Annual Conference, University of Glasgow, 2001.

“The Impact of the Insolvency Act 2000 on Disqualification Proceedings: A Quicker Turnaround for Disqualified Directors?” — paper presented at the Insolvency Lawyers’ Association Annual Conference in Bradford, 2001. Conference proceedings chaired by Mr Justice Blackburne.

OTHER LECTURES, SYMPOSIA & PANEL PRESENTATIONS (BY INVITATION)

Podium lecturer for International Bankruptcy program sponsored by the American College of Bankruptcy and delivered to a number of participating law schools in the U.S. and Mexico from a hub at St Johns University Law School in New York, April 2012-present. Topics: EU Regulation on Insolvency Proceedings; comparison of US and UK corporate insolvency law.

Panel moderation for the annual American College of Bankruptcy 7th Circuit Regional Education Program in Chicago (September 2012, September 2013, September 2014, September 2015, September 2016).

Visiting lectures on Chapter 11 and the EU Pre-Insolvency Directive and on the impact of Brexit on insolvency and restructuring in the EU at the joint invitation of the Sapienza University of Rome and Ca’Foscari University of Venice (June 2018).

Invited speaker on panel entitled “Municipal Violations: What They (Could) Mean to Your Chapter 13 Case at the Hon. Eugene R. Wedoff Seventh Circuit Consumer Bankruptcy Conference, Chicago, 10 November, 2017) (moderator: the Hon. Susan Kelley).

Invited speaker on panel entitled “Cross Border Alchemy: Jurisdictional Predicates for Effective Restructurings” at the National Conference of Bankruptcy Judges, Las Vegas, 9 October 2017 (fellow distinguished panellists: the Hon. James M. Peck, the Hon. Nicholas Segal, Sir Richard Snowden, Debra Grassgreen).

Panel organizer and moderator for panel entitled “Cross-border insolvency: UNCITRAL Model Law statutes 15 years later – time for an upgrade?” presented under the auspices of the International Bar Association’s Insolvency Section at the International Bar Association Annual Conference, Washington DC, 20 September 2016.

Panel Chair and Co-Convenor of panel entitled “Cross-Border Insolvency: Human Rights, Efficiencies, and Conflicts in Corporate Bankruptcy”, American Society of Comparative Law Younger Comparativists Conference, Tulane University Law School, New Orleans, 18-19 March 2016.

Panel presentation in panel entitled “Professorial Professions: Creating a Student-Centred Contracts Classroom”, 11th International Conference on Contracts (KCON XI), St. Mary’s University School of Law, San Antonio, 26-27 February 2016.

Speaker at Chicago Bar Association seminar on recent Supreme Court and 7th Circuit bankruptcy law cases, Chicago, 17 November 2015.

Speaker at Chicago Bar Association seminar on the constitutional authority of bankruptcy judges, Chicago, 12 November 2013.

“Involuntary Bankruptcy as Debt Collection: Comparative Perspectives” – Faculty Workshop, Washburn University School of Law, Topeka, Kansas, USA (March 2013).

“Outcomes in Corporate Voluntary Arrangements: An Empirical Investigation” (with Sandra Frisby, School of Law, University of Nottingham) – Presentation at Chancery Bar Association Seminar entitled “CVAs: What is achievable and do they work?” under the chairmanship of Mr Justice Henderson (Chancery Division, High Court), Lincoln’s Inn Old Hall, 16 February 2011.

Inaugural professorial lecture, “Individual Voluntary Arrangements and Consumer Debtors: Past, Present and Future”, NTU, 2008.

“The Rise (and Fall?) of Consumer Bankruptcy Plans in England and Wales” – Presentation to the Bankruptcy Judges of the Northern District of Illinois hosted by John Marshall Law School, Chicago, 2008.

“Insolvency Law and Consumer Protection: Some Lessons from the Consumer Bankruptcy Boom in England and Wales” – New Developments in International Insolvencies mini-conference held at the School of Law, University of Hull, 2007.

“Evaluating the Impact of the Enterprise Act on Corporate Rescue” — Research Seminar at the School of Law, University of Aberdeen, 2006.

“Liquidation Expenses and Floating Charges: The Unbearable Rightness of *Buchler v Talbot*” — Research Seminar at NTU, 2004.

“Personal Insolvency, the Enterprise Act and the Consumer Bankruptcy Phenomenon” — Research Seminar at the School of Law, University of Sheffield, 2004.

“The Law Commission’s Proposals on Registration of Security Interests” — Insolvency Lawyers Association Autumn Seminar held in Leeds, 2002.

“Preference Law” — Centre for Commercial Law Seminars, School of Law, University of Nottingham, 2001.

“Company Law in an Enlarged European Union” — presentation to delegation of officials from the Bulgarian Ministry of Justice, Institute of Advanced Legal Studies, 2000.

“Directors’ Duties of Care, Skill and Diligence After Barings” — public lecture, Institute of Advanced Legal Studies, 1999.

“Company Law in England and Wales and the European Union” — presentation to delegation of Chinese judges at the Institute of Advanced Legal Studies, 1999.

HONOURS & RECOGNITION

Illinois Institute of Technology College Teaching Award for Chicago-Kent College of Law, 2017-18.

Fellow of the American College of Bankruptcy from October 2017 (class XXIX) (invitation only).

Member of the International Insolvency Institute from December 2015 (invitation only).

Twice voted Chicago-Kent Student Bar Association Professor of the Year, 2014-15 and 2016-17.

Served as INSOL International Scholar for the Europe, Africa and Middle East Region, 2009-2010. This is akin to a scholarship in residence award. INSOL International is a global umbrella organisation for national associations of accountants and lawyers specialising in bankruptcy and restructuring: see <http://www.insol.org/>.

Awarded honorary membership of the UK's Chancery Bar Association in recognition of "proven expertise in teaching and research in the Chancery sphere", 2009.

Elected to an Honorary Senior Scholarship by the Governing Body of Emmanuel College, Cambridge and awarded the Dick Longden Prize in recognition of undergraduate performance, 1989.

VISITORSHIPS

Visiting Professor in Comparative & International Insolvency Law, University of Verona, July 2013.

Research Visitor, Sutherland School of Law, University College Dublin, June 2016.

Visiting Professor in Comparative & International Insolvency Law, Sapienza University of Rome & Ca' Foscari University of Venice, June 2018.

CAREER SUMMARY

I joined IIT Chicago-Kent in July 2011 where I teach Contracts, Bankruptcy, International Bankruptcy, Business Organizations, and other commercial law subjects. Born and raised in Nottingham in the United Kingdom, I earned my bachelor's degree from Cambridge University (1989) and a graduate diploma in law from NTU (1990). I practiced as a trainee and assistant solicitor between 1991 and 1994 at the law firm of Eking Manning, which later merged with Geldards LLP.

Prior to joining Chicago-Kent, I was the Geldards LLP Professor of Corporate and Insolvency Law at NTU. I began my academic career at NTU in 1994 as a Lecturer, becoming a Reader in Law in 2002 and a Full Professor in 2005. I served as joint director and later sole director of research between 2006 and 2011. In that capacity, I oversaw the growth of Nottingham Law School's research degree programme and had lead responsibility for the School's Research Assessment Exercise (RAE) 2008 submission and subsequent Research Excellence Framework (REF) strategy (the RAE and REF are periodic national peer reviewed research quality assessments that determine in part the allocation of public funding for universities). I was a founder member of the School's LLM Corporate Law programme. I have supervised six PhD students and one MPhil student to successful completion. I remain a Fractional Visiting Professor at NTU and a member of NTU's Centre for Business and Insolvency Law, which I helped to establish.

I have published widely in the areas of corporate and personal bankruptcy law and general corporate and commercial law. I am co-author of *Directors' Disqualification and Insolvency Restrictions* (Sweet & Maxwell, 3rd edn, 2010) (with Malcolm Davis-White Q.C.), a leading treatise on the U.K.'s Company Directors Disqualification Act of 1986. My articles, notes and reviews have appeared in journals including *American Bankruptcy Law Journal*, *European Company and Financial Law Review*, *International Insolvency Review*, *Journal of Corporate Law Studies*, *Law Quarterly Review*, *Lloyd's Maritime and Commercial Law Quarterly*, and the *University of Illinois Law Review*. I am a past general editor of the *Nottingham Law Journal*, a current editor of *Company Lawyer* and *International Insolvency Review* and have

acted as a peer reviewer for several legal journals including the Journal of Corporate Law Studies. I am a member of the editorial board of Global Restructuring Review. I currently serve as a member of the Steering Committee of the INSOL Academics Group and of the INSOL Global Fellowship Practice Course Core Committee.

Between 2005 and 2011 I served as the sole academic member of the UK Insolvency Service's Policy Evaluation Group. This group has direct input into the evaluation of government policy and legislation in the field of insolvency law and creditors' rights. I was also a member of a Stakeholder Group established in 2010, which advised the UK government in relation to the European Commission's recast of the EU Regulation on Insolvency Proceedings.

I have acted as an external examiner for research degrees at Oxford University, Dundee University, Queen's University Belfast and Deakin University (Australia), for LLM programmes at the University of London, De Montfort University and BPP Law School, and for LLB and LLM programmes at the University of Nottingham. I have also acted as a peer reviewer for the National Research Foundation of South Africa and for the American Bankruptcy Institute.

I am a member of the following professional associations: the UK Association of Business Recovery Professionals (R3), INSOL International (the worldwide association of insolvency professionals), INSOL Europe, the UK Insolvency Lawyers' Association and the American Bankruptcy Institute. I am also a member of the International Insolvency Institute, the American College of Bankruptcy, and an Honorary Academic Member of the UK Chancery Bar Association. I am particularly active in the INSOL International Academics' Group and served on its steering committee for two terms between 2012 and 2018. I was appointed to serve on the INSOL International GIPC Core Committee in July 2017.

Between 2005 and 2010 I was an Academic Associate with Geldards LLP, a regional law firm with offices in Nottingham, Derby and Cardiff. My work for Geldards involved training, continuing professional education and other knowledge transfer activities. I also acted in an advisory capacity on various Geldards assignments including a research brief for the Czech government and a successful application by the German bank in *Volksbank v Hagemeister* to annul the English bankruptcies of two German debtors on grounds of lack of jurisdiction (see [2010] Bankruptcy and Personal Insolvency Reports 1093). The associateship was an initiative that came about at my instigation. My work for Geldards yielded an annual income stream for NTU a portion of which funded activities of what is now the Centre for Business and Insolvency Law, such as overseas conference attendance and paper presentation.

At Chicago-Kent, I have been the director of the Doctor of the Science of Law (J.S.D.) program since August 2012 and the director of the J.D. Business Certificate program since January 2016. In 2013-14 I chaired the search committee that led to the successful hiring of our current Director of Legal Writing and Director of Experiential Learning. I have served as a member of the University Committee on Promotion and Tenure (UCOPT) (2014-17; chair in 2016-17) and am active in teaching across all three years of the J.D. program though with a particular emphasis on first years. I am faculty advisor to one J.S.D. student in connection with a project on international and comparative bankruptcy law and I serve on the advisory committees of several other

students. I am a member of the faculty for the International Bankruptcy Law class hosted by St John's University Law School in New York that is sponsored by the American Bankruptcy College. I was voted Chicago-Kent Student Bar Association Professor of the Year for the academic years 2014-15 and 2016-17 and have achieved consistently high student evaluations (copies of which can be made available on request). In 2016-17 and 2017-18 I coached Chicago-Kent teams that participated in the INSOL-III Ian Fletcher International Insolvency Law Moot in Sydney, Australia (finishing in the top four worldwide) and in Vancouver, Canada (finishing fifth worldwide).