

Index

- administrative self-restraint 106,
111–12, 119, 124–5, 131
discretion standard as form of 125,
128–31
- Ancient Greece
city-states of 1–5
- Aquinas, Thomas 17–18, 20
constitutional theories of 18
On the Kingdom 19
Summa Theologica 18
- Aristotle 8, 18–19, 25–6
Constitution of Countries, The 6
Corinthian Constitution 3, 6
Politics 7–8, 17
- Asian Financial Crisis (1997–9)
230
- Athens 2–4, 8
political structures of 4–7
- attestation
concept of 165
limitations of 166
- Bacon, Francis 10
- bank and securities supervision
organizational coordination 227
systematic coordination 227
- Bank Code Sharing System
opening of 234
- Bartolus
Tractatus de regimine civitatis 19
- Basel Accord 223, 229
provisions of 220
- Basel Committee 229
New Basel Capital Accord Revised
Framework 232
- Belarus 64
- Bentham, Jeremy
definition of utilitarianism 134
- Braudel, Fernand
analysis of three levels of economic
life 219–20
- capitalism 53
- Carthage
constitution of 5, 9
- Cassiodorus, Flavius Magnus Aurelius
9
- Cato the Old 9
Origin 9
- China viii–ix, 26, 49, 52, 54–5, 57,
59–60, 66–7, 70–71, 76, 106–7,
110, 132, 159–60, 164, 166, 176–7,
192–3, 199, 218–19, 227, 240–41,
243, 252, 258–9, 276
accession to WTO (2001) 72–5, 77,
79–86, 91–2
Beijing 160, 234
Central Military Committee 96–7
China Investment Corporation 64
Chongqing 169
Civil Procedure Law 264–5, 268–72,
281, 284–5, 300, 302–8
Company Law, the 248–9
Constitution of 33–5, 84–7, 90,
93–5, 97–9, 101–2
Constitutional Revision Committee
96
criminal law theory of 133–5,
140–48, 151–4
Criminal Procedural Code 157, 162,
164, 167–8, 174–5, 179, 182–3,
187–8, 304
domestic legislation introduced when
conforming to international
legislation 74–6, 79–82, 87–9
Dong Yang Zhejiang Province 204
Election Law 103
Guangdong Province 243
Guangxi Province 245
Hangzhou 160, 163
Hebei 234
Heilongjiang Province 169
Hunan Province 110

- International Covenant on Civil and Political Rights (1998) 157
- Jiangsu Province 292
- Land Management Law, the (1998) 34
- Law on Chinese-Foreign Equity Joint Ventures, the (LCEJV) 76, 82, 88, 99
- Law on the Procedure of the Conclusion of Treaties, the (LPCT) (1990) 85–6
- legal system of 74–80, 82, 84, 88–93
- Legislation Law, the 76, 112
- Liaoning Province 168
- Ministry of Commerce (MOFCOM) 75, 83–4
- Ministry of Foreign Affairs 85
- Ministry of Public Security 163, 180
- National People's Congress (NPC) 74, 79, 84–6, 88, 90, 94–6, 98–101, 103, 162–3, 180, 250–51
- National People's Congress Standing Committee (NPCSC) 90–95, 97–105, 181
- Ordinance on Expropriation and Compensation of Building on Regulations on Customs Protection of Intellectual Property Rights 74–5
- Penal Code (1979) 133, 136
- People's Bank of China 194, 201, 204, 229, 234, 237
- People's Representative Law, the (PRL) 93
- Real Right Law, the (2007) 34
- Security Law, the 204–5, 210
- Shandong Province 234, 248
- Shanghai 248
- Sichuan Province 167
- State Council 84, 87, 97, 100–101, 187, 194, 203–4, 209, 213–14, 229, 233, 250–51, 258
- state-owned land 34, 50–51
- Supreme People's Court 75, 88–91, 96–7, 164, 180, 183, 185, 187, 199, 209–11, 216, 248–9, 252–4, 264–7, 269–71, 273, 277, 303
- Supreme People's Procuratorate 180
- Village Community Board Law 101
- Zhejiang Province 109
- China Banking Regulatory Commission (CBRC) 234
- adoption of Administration of Trust Companies' Trust Plans of Assembled Funds (Measures) 206–7
- Regulations of Commercial Bank Information Disclosure (2007) ('Regulations') 236
- Regulatory Guidelines of Commercial Banks Assets Securitization Exposure (2009) 236
- China Construction Bank
- use of pilot exercise of securitization of credit asset 233
- China Securities Regulatory Commission (CSRC) 242–3
- Cicero, Marcus Tullius 5–6, 12, 14–17, 21
- De Divinatione* 8–10
- De Inventione* 12–13
- Digest of Justinian* 23
- On the Commonwealth* 10–11
- civil litigation 265, 267, 271, 276, 278, 280, 282–3, 286–7, 290
- evidence collection in 272, 296
- purpose of 277, 298
- witness practices of 292
- civitas*
- meaning of 12, 20
- collateralized mortgage obligations (CMOs) 218
- collective life 29–30
- advantages of 28
- Colonna, Egidio Romano
- De regimine principis* 19
- Commercial Bank of China
- use of pilot exercise of securitization of credit asset 233
- Commodity Futures Trading Commission (CFTC) 231
- Communist Party of China
- Central Committee 101
- Politics and Law Committee 169–72
- Confucianism 158
- political influence of 69–70
- constitutio* (constitution) 1, 12–13, 16, 23, 25
- alternative expressions of 25–6

- definitions of 5–6, 8–10, 16, 19–20
 - early examples of 2–7
- construction
 - functionalist mode of 130–32
- Corporate/Corporation Shares 241–2, 248–51, 253–63
 - disputes regarding 244–5
 - emergence of 241, 256
 - pricing of 243
- credit asset securitization 220, 226, 229–30, 233
 - concept of 218
 - examples of 233
 - importance of information supervision in 224–5, 228
- credit default swaps (CDS) 220
- criminal trial defunctionalization
 - administrative decision 176–7
 - files-centered judgement 173
 - investigation-centered production line 173
- discretion standard 108–9, 111–14, 118–24, 126, 129
 - as form of administrative self-restraint 125, 128–31
 - examples of 109–10, 127, 129
 - limitations of 120–23
 - openness of 126–8
 - regularized view of 107
 - ‘rule of rule’ 108, 110–11, 114
 - specific view of 108, 111
 - use as administrative rule 115, 118–19
- Donelli, Hugonis
 - definition of *constitutio* 16
- Dual-track Pattern of Institution System 257–8, 262
 - concept of 257
- economized state 52, 54–5, 65, 68, 70–71
 - government-leading economy 66–9
 - origins of 61–2
- Eleventh National People’s Congress Fourth Session of (2011) 252
- Embedding Theory 59–60
 - concept of 58–9
- European Union (EU) 68, 79
- Everbright Bank 234
- evidence 268, 270–71
 - collection of 266–7, 275, 280
 - investigation of 280, 282–4, 286–7
 - querying 163–4
 - quoting of 161–3, 166
- Feuillant, Etienne
 - Des Lois Fundamentales consedres dans leurs rapports politiques* 21
- Finland 64
- Foreign Capital Shares 241
- France 21
 - Civil Procedure Law of 289
 - Penal Code of 143
- Friedman, Milton 53
- fundamental law 22, 24
 - origins of 21
- Gellius, Aulus
 - Attic Nights, The* 15
- General Administration of Quality Supervision Inspection, The (AQSIQ) 234
- General Agreement on Trade and Tariff (GATT) Article 20 81
- General Agreement on Trade in Services (GATS) 81
- Germany 136, 140, 156–7
 - civil litigation practice in 283, 289, 296
 - criminal law legislation and theory in 136, 139, 144, 147–54, 178
 - Third Reich (1933–45) 156
- Global Financial Crisis (2007–9) 69, 72, 225–6, 230
 - US sub-prime mortgage crisis 219, 221–2
- globalization 61, 70
- Goldman Sachs
 - prosecuted by SEC (2010) 232
- Greece
 - Crete 2
 - Thessaly 2
- Guancheng, Xu 199–200
- Guidance to Advance the Capital Market’s Reform and Development (2004) 258–9

- Hannoun, Herve
vice president of International Settlement Bank 236
- Hegel, Georg Wilhelm Friedrich 153
- Hernandez, Roberto 159
- Herodotus 1–2
Histories, The 2
- Hippocrates
On Human Nature 13–14
- Homer
Iliad, The 1
- illegal financing 186–7, 195–6, 198–9, 203–4, 216
criminality of 187–9, 191
difficulty in prosecution of 189–90, 192–4, 199–200
‘publicity’ of 193
- Individual Shares 241, 256–8
- Industrial Bank of China
use of pilot exercise of securitization of credit asset 233
- information science
information epistemology 219
information ontology 219
- Industrial and Commercial Bank 234
- Information Assurance Awareness (IAA) 236
- Innocence Network Conference (2011) 159
- International Organization of Securities Commissions (IOSCO) 229
- International Settlement Bank
personnel of 236
- ‘Interpretation of the Supreme People’s Court of Several Issues on the Specific Application of Law in the Handling of Criminal Cases about Illegal Financing, The’ (2010) 185–6, 205, 207, 213, 215–17
articles of 187–92, 194–5, 203–4, 207, 209, 213
‘seduction of interest’ factor in 202
use of concept of ‘absorbing funds/capital’ 193, 196, 202–3, 214
- Italy
Florence 20
- Japan 69–70, 140, 156–7
Administrative Procedure Act 127
Civil Procedure Law 289–90
criminal law legislation and theory 136, 139, 144, 147–54
Penal Code of 136
- Jellinek, George 21
- Jinbo, Zhang
trial and imprisonment of 169
- Jinhua Public Security Bureau 109–10, 121
‘Discretion Standard’ 115–17, 122
‘Opinions for Practicing the System of Administrative Penalty Discretion Standard’ (2004) 109, 123
- Jinping, Xi
Chinese Vice President 64
judicial activism 280–81
jurisdictional error 300–302, 306
absolute 305
as cause of retrial 301
court level 306
designation 308
potential solutions for 302–4
territorial 306–7
transfer 307–8
- jurisprudence
relationship of legal relationship and legal interest 145–6
- Kant, Immanuel 153
- Keynes, John Maynard 53
- Kleisthenes
democratic constitution established by 4
- Lamy, Pascal
Director-General of WTO 72
- Limin, Tong
trial of (1994) 169–70
- de Lucca, Tolomeo
De regimini principis 19
- Lycurgus 3
- Machiavelli, Niccolò 20
- Malians
Hopilites 2

- market economy 69, 261–2
- Marxism
 economic theories of 57
 measurement of legal interests
 concept of 149
- Mexico
 criminal justice system of 159
- mixed economy 53
- Montesquieu
Spirit of the Laws, The 22
- Moody's 237
 credit rating system of 68
- National Development Bank
 use of pilot exercise of securitization
 of credit asset 233
- need spill theory 31, 37, 44
 concept of 27–8, 38–9
 view of public interest in 39–40
 view of value comparison in
 41–2
- Net of China Court* 160–61
Trial Now 160–62, 165
- Northern Paradox 61
- Norway 24
- Obama, Barack 230
- oligarchy
 concept of 2
- Paris Convention for the Protection of
 Industrial Property (1883)
 Article 6 89
- Peace of Westphalia (1648)
 signing of 21
- Pedrus de Alvernia 17
- Personal Share
 pricing of 243
- Plato 10
Laws 6
Republic 5–6
Statesman 6
- pluralism
 concept of 13
- Plutarchus 8
- political law 24
 origins of 22–3
- Polybius 3, 25
- Pomponius 15–16
- procedural justice 300
- public administration 31–2
 origins of 29–30
 preconditions for 30–31
- public interest 32, 34, 36–8, 49–51
 conceptual function of 33, 35
 conflicts of interest in 40–41, 47–8
 criterion of value comparison 41,
 44–5
 essence of 37–40
 identification criteria 42–7, 49
- punishable illegality 150
 examples of 151
- Purina, Ralston 205
- Quintilianus, Marcus Fabius
L'Institutione Oratoria 12
- Reagan, Ronald
 privatization policies of 53
- relative retribution punishment 153–4
- Renmin University of China Law
 School viii
Empirical Study on Criminal Trial
 project 160
- res publica* 18–19
 meaning of 11, 14
- Roman Republic 13
- Rousseau, Jean-Jacques 22
 concept of 'public will' 37
Social contract theory 22
- Russian Federation 64
 criminal law theory of 140
- Schmitt, Carl 24
- Securities and Exchange Commission
 (SEC) 221, 231
 adoption of Rule 144 212
 Nationally Recognized Statistical
 Rating Organization (NRSRO)
 221
 prosecution of Goldman Sachs
 (2010) 232
- Securities and Futures Commission
 (SFC)
 Regulations for Disclosure
 Management of Listed
 Companies ('Management
 Regulations') 236
- Senofonte 8
Constitution of Sparta 5

- Shanghai Pudong Development Bank
use of pilot exercise of securitization
of credit asset 233
- Singapore 68
- Sino-Russian Ruling Party Dialogue
Mechanisms, The
second meeting of (2010) 64
- Smith, Adam 53
- social harm 157–8
nature of 135–9, 144–5, 148, 151, 154
role of nature of in criminal
legislation 135–6, 138
- solitary life 28
- Solon
constitutional reform of 4
- Soviet Union (USSR) viii, 54, 133
collapse of (1991) 156
criminal law theory of 154
- Sparta 1–3
political structures of 3–6, 8
- special purpose vehicle (SPV) 224–5
- Standard and Poor's (S&P)
credit rating system of 68
downgrading of 'gold' mortgages
and loans (2009) 222
- State-owned Shares 241, 256–7
- state theory 55
classical 53
economic function 55–62
public-private integration 62–4
socialist 54
- status 13, 20
concept of 12
- Strabo
Geography, The 2
- Sweden 24, 64
- Taiwan 155
appeal court system of 179
Civil Procedure Law of 286
Penal Code of 136
- Thatcher, Margaret
privatization policies of 53
- trial practices 280, 288, 293, 297
rules of evidence in 284
witness procedures of 294–5
- Ulpian 15–17
- uniform supervision
concept of 227–8
- United Housing Foundation (UHF)
197–8
organization of Riverbay
Corporation 197
- United Nations (UN)
Convention on the Law of the Sea
80
- United States of America (US) 53, 68,
79, 143, 212–13, 230, 238
- Anti-Predatory Lending Law
Amendment (2008) 235
- Civil War (1861–5) 33
- Congress 175, 221, 231
- Department of Justice 232
- Dodd-Frank Wall Street Reform
and Consumer Protection Act
(2010) 230
- federal court system of 35
- Federal Register 127
- Federal Reserve System 230–31
- Federal Rule of Evidence 174–5
- Federal Supervision System 230
- Financial Stability Oversight
Council (FSOC) 231
- Georgia Fair Loan Act (2002)
225–6
- government of 69
- Investment Company Act 206
- New York 197
- Office of the Comptroller of the
Currency (OCC) 225–6
- Securities Exchange Act 206, 212
- Supreme Court 91, 175, 197, 200,
205
- utilitarianism
definitions of 134–5
- Value-at-Risk (VaR) model 222,
232
- de Vattel, Emeric 25
*Law of Nations or the Natural Law
Principle, The* 23
- Verfassung*
concept of 24
- Vienna Convention on Consular
Relation (1979)
Chinese ratification of 79
- Vienna Convention on Diplomatic
Relations (1975)
Chinese ratification of 79

- Vienna Convention on the Law of
Treaties (1997) 89
Chinese ratification of 85
da Viterbo, Giovanni
De regimine civitatis 19
Voltaire
Philosophical Dictionary, The
21–2
- Wiener, Norbert 219, 234
- World Trade Organization (WTO) ix,
80–81, 88
Agreement on Trade-Related
Aspects of Intellectual Property
Rights (TRIPS Agreement)
74–6, 81–3
Agreement on Trade-Related
Investment Measures (TRIMS)
82
Chinese accession to (2001) 72–5, 77,
79–86, 91–2
- Dispute Settlement Body (DSB)
78–9, 81
members of 79, 83
personnel of 72
policy reviews conducted by 77–8
WTO Agreement 73–4, 80
- Yiguo, Zhang
murder of (1998) 168
- Ying, Wu 204
- Yongcai, Li
sentencing of (1998) 168
- Zhen, Peng 103
Speaker of NPCSC 101–2
- Zhenshang, Zhao
focus in trial of Zhao Zuohai 70
- Zhong Chengxin International
Company 237
- Zuohai, Zhao
trial of 170

