

# VERONICA ROOT MARTINEZ

DUKE UNIVERSITY SCHOOL OF LAW • 210 SCIENCE DR., DURHAM, NC 27708 • MARTINEZ@LAW.DUKE.EDU

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## ACADEMIC APPOINTMENTS

**Duke University School of Law, Durham, NC**

*Professor of Law*

July 2022 – present

- Committees: Law Teaching Committee (2021-2022); Ad-Hoc Director of DEI Search Committee (2021-2022)

**Duke Fuqua School of Business, Management & Organizations Area, Durham, NC**

*Courtesy Appointment*

2022 – 2023

**Notre Dame Law School, Notre Dame, IN**

*Robert & Marion Short Scholar and Professor of Law*

July 2019 – June 2022

*Director of Program on Ethics, Compliance, & Inclusion*

July 2019 – June 2022

*Associate Professor of Law*

July 2014 – June 2019

- Committees: Provost Search Committee, 2019 – 2020; Law School Appointments Committee, 2019 – 2020, Spring 2021; University Task Force on Research & Scholarship in Response to the Sexual Abuse Crisis in the Catholic Church, 2018 – 2019; Law School Colloquium Committee, 2018 – 2019, 2017 – 2018, 2016 – 2017, 2014 – 2015; University Committee on Women Faculty and Students, Fall 2017; Ad-Hoc California Committee, 2017 – 2018; Law School Clerkship Committee, 2016 – 2017
- Faculty Advisor, Black Law Students Association (2020 – 2022)
- Awards & Special Recognition
  - Distinguished Professor of the Year, presented by the Notre Dame Law School Graduating Class of 2022
  - Recipient of the Captain William O. McLean Student Award, presented by the Notre Dame Law School Graduating Class of 2022
  - Recipient of the Captain William O. McLean Student Award, presented by the Notre Dame Law School Graduating Class of 2021
  - Recipient of the 2020, 2019, 2017, and 2015 Charles F. Crutchfield Professorial Award, presented by the Notre Dame Black Law Students Association)
  - Recipient of the 2020 Rebecca W. Ward Appreciation Award, presented by the Notre Dame Black Law Students Association)
  - NDLead, Notre Dame's Leadership Training Program (2019 – 2020)
  - [Member](#) of the 2021 University of Notre Dame All Faculty Team
  - [Featured](#) as part of the University's 2020 International Women's Day activities
  - 2018 Recipient of an Internal Grant for Project on "Reclaiming the dignity of work through varied methods of assessment" ([online link](#))

*Visiting Assistant Professor of Law*

July 2012 – June 2014

**Northwestern Pritzker School of Law, Chicago, IL**

*J.B. and M.K. Pritzker Family Foundation Visiting Professor*

September 2021

**University of Pennsylvania Carey Law School, Philadelphia, PA**

*Visiting Professor of Law*

November 2021

- Course: Global Compliance

## PROFESSIONAL APPOINTMENT

**National Adjudicatory Council, Financial Industry Regulatory Authority (FINRA)**

*Member*

2021 – present

**BOOKS**

- SECURITIES LITIGATION, ENFORCEMENT & COMPLIANCE (West 5th ed. 2022) (*forthcoming*) (with Donna M. Nagy & Lisa M. Fairfax)
- BUILDING AN EFFECTIVE ETHICS AND COMPLIANCE PROGRAM (Edward Elgar) (*forthcoming*)

**JOURNAL PUBLICATIONS**

- *Public Reporting of Monitorship Outcomes (and other titles)*, \_\_ HARVARD LAW REVIEW \_\_ (*forthcoming*) (2023).
- *Reframing the DEI Case*, \_\_ SEATTLE LAW REVIEW \_\_ (*forthcoming*) (2023) (contribution to 13th Annual Berle Symposium)
- *Toward More Robust Self-Regulation within the Legal Profession*, 69 WASHINGTON UNIVERSITY JOURNAL OF LAW & POLICY 241 – 273 (with Caitlin-Jean Juricic) (2022)
- *The Diversity Risk Paradox*, 75 VANDERBILT LAW REVIEW EN BANC 115 (2022)
  - Featured on the *Off the Page* Podcast ([link](#))
- *Equality Metrics*, 130 YALE LAW JOURNAL FORUM 869-915 (2021) (with Gina-Gail S. Fletcher) ([SSRN link](#))
  - Featured in the Corporate Law section in Jotwell: The Journal of Things We Like (Lots) on July 23, 2021 ([Link](#))
  - Featured in the Work Law section in Jotwell: The Journal of Things We Like (Lots) on April 28, 2022 ([Link](#))
- *On Being First, On Being Only, On Being Seen, On Charting a Way Forward*, 96 NOTRE DAME LAW REVIEW REFLECTION 215-220 (2021) (symposium co-organizer with Notre Dame Law Review) ([SSRN link](#)).
- *The Role of Norms in Government Ethics*, 35 JOURNAL OF LAW, ETHICS & PUBLIC POLICY 771-93 (2021) (symposium organizer) ([SSRN link](#))
- *Complex Compliance Investigations*, 120 COLUMBIA LAW REVIEW 249-307 (2020) ([SSRN link](#))
  - Discussed *Complex Compliance Investigations* as part of “The ESG Beat,” a component of the Sustainable Capitalism & ESG course at Berkeley Law’s Executive Education program ([online link](#))
- *Avoiding Judicial Discipline*, 115 NORTHWESTERN LAW REVIEW 953-986 (2020) ([SSRN link](#))
  - Featured in the Courts Law section in Jotwell: The Journal of Things We Like (Lots) on May 20, 2020 ([Link](#))
- *The Government’s Prioritization of Information over Sanction: Implications for Compliance*, 83 LAW & CONTEMPORARY PROBLEMS 85-111 (2020) ([SSRN Link](#))
  - Featured in CORPORATE CRIME REPORTER, Volume 34, Issue 45 (Nov. 23, 2020).
- *More Meaningful Ethics*, UNIVERSITY OF CHICAGO LAW REVIEW ONLINE (January 7, 2020) ([online symposium](#)) ([SSRN link](#)) (symposium organizer)
- *Investigating Intersections of Corporate Governance & Compliance*, UNIVERSITY OF CHICAGO LAW REVIEW ONLINE (January 7, 2020) (introduction to [online symposium](#)) ([SSRN link](#))
- *Combating Silence in the Profession*, 105 VIRGINIA LAW REVIEW 806-863 (2019) ([SSRN link](#))
  - Featured in the Legal Profession section in Jotwell: The Journal of Things We Like (Lots) on May 20, 2020 ([Link](#))
- *The Compliance Process*, 94 INDIANA LAW JOURNAL 203-251 (2019) ([SSRN link](#))
- *The Outsized Influence of the FCPA?*, 2019 ILLINOIS LAW REVIEW 1205-1225 (2019) ([SSRN link](#))
- *Coordinating Compliance Incentives*, 102 CORNELL LAW REVIEW 1003-1085 (2017) ([SSRN link](#))
- *Constraining Monitors*, 85 FORDHAM LAW REVIEW 2227-2247 (2017) ([SSRN link](#))
- *Modern-Day Monitorships*, 33 YALE JOURNAL ON REGULATION 109-164 (2016) ([SSRN link](#))
  - Featured in the Corporate Law section in Jotwell: The Journal of Things We Like (Lots) on June 24, 2016 ([Link](#))

**JOURNAL PUBLICATIONS CONT'D.**

- *Retaining Color*, 47 UNIVERSITY OF MICHIGAN JOURNAL OF LAW REFORM 575-643 (2014) ([SSRN link](#))
- *The Monitor-“Client” Relationship*, 100 VIRGINIA LAW REVIEW 523-585 (2014) ([SSRN link](#))
  - Selected for reprint in the 2014-2015 CORPORATE PRACTICE COMMENTATOR
  - Cited in *Tokar v. U.S. Dep’t of Justice*, No. 16–2410, 2018 WL 1542320 (Mar. 29, 2018) (mem.)
- *Somebody’s Watching Me: FCPA Monitorships and How They Can Work Better*, 13 UNIVERSITY OF PENNSYLVANIA JOURNAL OF BUSINESS LAW 321-381 (2011) (with F. Joseph Warin & Michael S. Diamant) ([SSRN link](#))
- *Angelina and Madonna – Why all the Fuss? An Exploration of the Rights of the Child and Intercountry Adoption within African Nations*, 8 CHICAGO JOURNAL OF INTERNATIONAL LAW 323-354 (Summer 2007) (development)

**BOOK CHAPTERS**

- *A More Equitable Corporate Purpose* in RESEARCH HANDBOOK ON CORPORATE PURPOSE AND PERSONHOOD (E. Pollman & R. Thompson eds., Edward Elgar) (2021) ([SSRN link](#))
- *Third Party and Appointed Monitorships* in CAMBRIDGE HANDBOOK OF COMPLIANCE (B. van Rooij & D. Sokol eds., Cambridge University Press) (2021) ([SSRN link](#))
- *Transnational Anti-Bribery Law* in CAMBRIDGE HANDBOOK OF COMPLIANCE (B. van Rooij & D. Sokol eds., Cambridge University Press) (2021) (with Kevin E. Davis) ([SSRN link](#))

**WORKS IN PROGRESS**

- *#MeToo & The Courts* (with Matthew Hall & Carol Li) (submitted to peer-review journal)
- *Collaborative Compliance* (with Kevin E. Davis)
- *Building a Culture of Ethical Inclusion*

**ADDITIONAL PUBLICATIONS**

- *How Exclusion of Women and People of Color May Have Affected Debates About Corporate Purpose*, THE CLS BLUE SKY BLOG (Apr. 16, 2021) ([online link](#))
- *Equality Metrics*, HARVARD LAW SCHOOL FORUM ON CORPORATE GOVERNANCE AND FINANCIAL REGULATION ( March 19, 2021) ([online link](#))
- *Compliance Implications of the Government’s Pursuit of Information*, THE COMPLIANCE & ENFORCEMENT BLOG (March 18, 2021) ([online link](#))
- *A Weakened Supreme Court Needs a Code of Ethics*, BLOOMBERG LAW (Nov. 5, 2020) ([online link](#))
- *More Meaningful Ethics*, HARVARD LAW SCHOOL FORUM ON CORPORATE GOVERNANCE AND FINANCIAL REGULATION (Dec. 10, 2019) ([online link](#))
- *Improving Assessments of Compliance Failures*, COMPLIANCE & ETHICS PROFESSIONAL MAGAZINE, 26Zf 31 (July 2019)
- *Teaching Compliance I, II, & III*, THE COMPLIANCE & ENFORCEMENT BLOG (Apr./May, 2019) (online links for [Part I](#), [Part II](#), & [Part III](#))
- *Complex Compliance Investigations*, HARVARD LAW SCHOOL FORUM ON CORPORATE GOVERNANCE AND FINANCIAL REGULATION (Apr. 29, 2019) ([online link](#))
- *Assessing Why Compliance Programs Fail*, THE CLS BLUE SKY BLOG (Mar. 26, 2019) ([online link](#))
- *Will This One Stick?*, THE COMPLIANCE & ENFORCEMENT BLOG (Apr. 23, 2018) ([online link](#))
- *Repeat Corporate Misconduct*, THE COMPLIANCE & ENFORCEMENT BLOG (Apr. 20, 2018) ([online link](#))
- *Coordinating Compliance Incentives*, HARVARD LAW SCHOOL FORUM ON CORPORATE GOVERNANCE AND FINANCIAL REGULATION (Oct. 27, 2017) ([online link](#))

**ADDITIONAL PUBLICATIONS CONT'D.**

- *Corporate Monitors Need Better Regulation*, THE CLS BLUE SKY BLOG (Oct. 19, 2017) ([online link](#))
- *What Does it Mean to be a Monitor?*, THE COMPLIANCE & ENFORCEMENT BLOG (Sept. 21, 2016) ([online link](#))
- *Greater Transparency in Monitor Reports: An Unintentional Result?*, THE COMPLIANCE & ENFORCEMENT BLOG (June 15, 2016) ([online link](#))
- ABA SECTION OF CRIMINAL JUSTICE, PRACTICING UNDER THE FEDERAL SENTENCING GUIDELINES, *Chapter Seven: Determining the Sentence* (5th ed. 2010) (6th ed. 2011) (chapter in editions 1-4 prepared by others)
- FROM FOSTER CARE TO ADULTHOOD: THE UNIVERSITY OF CHICAGO LAW SCHOOL FOSTER CARE PROJECT'S PROTOCOL FOR REFORM (2008) (with Emily Buss, Whitney A. Cox, Sarah E. Crane, Marlo M. Del Percio, Andrea C. Forton, Kathleen Hill, Anne W. King, Allison A. Lee, Alison R. Leff, Mary C. Lovejoy, Gwendolyn Baxter Morales, Heidi E. Mueller) ([online link](#))

**CONFERENCES & SYMPOSIA ORGANIZED**

- Disclosure Roundtable (August 2021), Chicago, IL
- The Ethics of Government Service (Feb. 2021), Notre Dame, IN
- Building a More Inclusive NDLS (2021), Notre Dame, IN
- Equity Roundtable (Oct. 2019), Chicago, IL
- Investigating Intersections of Corporate Governance & Compliance (Apr. 2019), London, UK
- Governance Roundtable (Sept. 2018), Chicago, IL
- The Sexual Harassment Project (May 2018), Notre Dame, IN
- Compliance & Organizational Change Workshop (Apr. 2018), Notre Dame, IN

**SELECTED ACADEMIC PRESENTATIONS***Public Reporting of Monitorship Outcomes* (and other titles)

- Faculty Colloquium, SMU Dedman School of Law (Aug. 2021)
- Faculty Colloquium, Touro Law Center (Apr. 2021)
- Topics in White Collar Crime, Brooklyn Law School (Mar. 2021)
- Faculty Colloquium, UC Hastings College of the Law (Sept. 2020)
- Junior Faculty Workshop, Notre Dame Law School (June 2016)
- National Business Law Scholars Conference, sponsored by University of Chicago Law School (June 2016)
- Culp Colloquium, Duke University School of Law (May 2016)
- 9th Lutie A. Lytle Black Women Law Faculty Writing Workshop, sponsored by Vanderbilt Law School (July 2015)
- Legal Ethics Schmooze, sponsored by Stanford Law School (June 2015) (by invitation)

*Building a Culture of Ethical Inclusion* (and other titles)

- Perspectives on Board Diversity and California's New Law Panel, Southeastern Association of Law Schools Conference (Aug. 2020) (by invitation)
- Equity Roundtable, Notre Dame Law School (Oct. 2019) (organizer)  
Sexual Harassment Law – So Much Success, So Much Failure, Southeastern Association of Law Schools Conference (Aug. 2018)

**SELECTED ACADEMIC PRESENTATIONS CONT'D.***Equality Metrics*

- Notre Law School Faculty Colloquia (Feb. 2021)
- UConn Law School Faculty Workshop Series (Feb. 2021)
- Faculty Colloquium, Sturm College of Law (Nov. 2020)
- Symposium: Reckoning and Reformation: Reflections and Legal Responses to Racial Subordination and Structural Marginalization (Dec. 2020)

**INVITED PRESENTATIONS & COMMENTARY (REPRESENTATIVE LIST)***The Evolution of Compliance* (October 2022)

- Panelist discussing the evolution of the compliance function; National Society of Compliance Professionals National Conference

*Corporate Governance in an Age of Activism* (July 2022)

- Lecturer and facilitator for discussion on ESG activism and its impact on corporate governance; presented to members of McDonald's Global Impact Team

*The Impact of Justice Brown Jackson* (July 2022)

- Panelist discussing the appointment of Justice Brown Jackson to the Supreme Court and its importance from a DEI perspective; presented to MIO Partners.

*Supreme But Not Immune: Creating a Binding Code of Ethics for Supreme Court Justices* (May 2022)

- Panelist discussing the need for the Supreme Court to adopt a code of ethics; sponsored by the (national) American Constitution Society

*The Corporation's Role in Social Movements* (April 2021)

- Panelist discussing the role of corporations in social movements; co-sponsored by the University of Iowa Black Law Students Association & The Journal of Corporation Law

*Understanding Ethical Challenges when Working with Financial Products* (Jan. 2021)

- Panelist for Practising Law Institute's Understanding Financial Products 2021 conference's ethics panel discussing the attorney's role as gatekeeper and the challenges associated with attorney-whistleblowers

*Federal Courts Employment Reforms* (Jan. 2021)

- Panelist on panel to discuss possible reforms directed toward the federal courts that would address and prevent workplace misconduct; co-sponsored by the Employment Discrimination Law and Federal Courts sections at the AALS 2021 (virtual) Annual Meeting.

*Who is the Client? Challenges for the Government Attorney* (Nov. 2020)

- Panel organizer and participant for the ABA's Fall Administrative Law Conference's ethics panel on the topic of identifying the government attorney's client and the challenges and pitfalls associated therein

*Building a Culture of Ethical Inclusion* (Aug. 2020)

- Lecturer discussing the importance of building a culture of ethical inclusion within an organizational culture; presented to members and partners of the Jewelers Vigilance Committee

*The Government's Treatment of Corporate Recidivism* (Jan. 2018).

- Presented research on corporate recidivism to approximately forty-five members of Wells Fargo with an interest in anti-bribery and corruption governance; presented to Wells Fargo ABC Forum.

**EDUCATION**

**The University of Chicago Law School**, Chicago, IL  
Juris Doctor, June 2008

**Georgetown University, McDonough School of Business**, Washington, D.C.  
Bachelor of Science in Business Administration, May 2005, *cum laude*

**COURSES TAUGHT**

- Securities Litigation, Enforcement & Compliance
- Ethics & Professional Responsibility
- Contracts
- Corporate Compliance & Ethics (meets PR requirement)
- Global Compliance Survey
- Group Directed Reading – The Ethics of Government Service

**SERVICE, PROFESSIONAL, & COMMUNITY INVOLVEMENT**

**CULP & EMERGING SCHOLARS PROGRAM**

Organizer, 2019 – present

**REFEREE ACTIVITY**

*Northwestern University Law Review*, Peer Review Board Member (2017 – 2021); *Law & Social Inquiry*, Reviewer (2018 – 2019)

**PROFESSIONAL MEMBERSHIPS**

Executive Committee 1/2018 – 01/2021, AALS Section on Professional Responsibility; AALS Section on Minority Groups; American Bar Association; ABA Center for Professional Responsibility

**OTHER PROFESSIONAL EXPERIENCE**

**Quimbee Study Aids**

*Consultant*

2017 – 2018

Prepared an outline and flashcards for Legal Ethics materials

**Gibson Dunn**, Washington, D.C.

*Associate*

2009 – 2012

Represented clients in regulatory, white collar, and appellate matters; drafted letter briefs and obtained asylum for two pro bono clients

**U.S. Court of Appeals for the Fifth Circuit**, Shreveport, LA

*Judicial Clerk to Judge Carl E. Stewart*

2008 – 2009

**BAR ADMISSIONS**

District of Columbia (active), Illinois (inactive), U.S. Court of Appeals for the Fifth Circuit, and the U.S. District Court for the District of Columbia.