

VERONICA ROOT MARTINEZ

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

CURRENT APPOINTMENTS

Duke University School of Law, Durham, NC

Professor of Law

July 2022 – present

- Teaching: Contracts; Ethics and Professional Responsibility; Securities Litigation, Enforcement, and Compliance; Legal Scholarship Seminar
- Committees: University Academic Council, 2023 – 2025; Law Teaching Committee, Chair 2023 – 2024, 2022 – 2023; Mentoring Committee, 2023 – 2024; Ad-Hoc Director of DEI Search Committee, 2022 – 2023; Admissions Committee, 2022 – 2023

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

Affiliate (courtesy appointment)

2022 – present

National Adjudicatory Council, Financial Industry Regulatory Authority (FINRA)

Member

2021 – present

Durham Center for Senior Life

Board Member; Governance Committee

2023 – present

Organisation for Economic Co-operation and Development (OECD)

Research Consultant on Strengthening Compliance Assessments

2024 – present

BOOKS

- SECURITIES LITIGATION, ENFORCEMENT & COMPLIANCE (West 5th ed. 2023) (with Donna M. Nagy & Lisa M. Fairfax)
- BUILDING AN EFFECTIVE ETHICS AND COMPLIANCE PROGRAM (Edward Elgar) (*forthcoming*)

ARTICLES

- *Supreme Impropriety*, __ LAW & CONTEMPORARY PROBLEMS __ (*forthcoming*) (2024) ([SSRN link](#))
- *Public Reporting of Monitorship Outcomes (and other titles)*, 136 HARVARD LAW REVIEW 757 – 823 (2023) ([SSRN link](#))
 - One of the Top Twenty Articles for the 2023 Environmental Law and Policy Annual Review ([link](#))
 - Featured interview on Faculti.Net ([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](#))
- *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](#))

ARTICLES CONT'D.

- *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).
- *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](#))
- *Coordinating Compliance Incentives*, 102 CORNELL LAW REVIEW 1003-1085 (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](#))
- *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)

ESSAYS & SHORTER WORKS

- *#MeToo & The Courts: The Impact of Social Movements on Federal Judicial Decisionmaking*, 81 Washington & Lee Law Review Online 79 – 112 (2023) (with Carol T. Li & Matthew Hall)
 - Featured: Avalon Zappo, *US Trial Courts Issued More Pro-Employee Harassment Rulings After #MeToo, Study Says*, National Law Journal, (Dec. 26, 2023), ([link](#))
- *Reframing the DEI Case*, 46 SEATTLE LAW REVIEW 399 – 419 (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) ([SSRN link](#))
- *The Diversity Risk Paradox*, 75 VANDERBILT LAW REVIEW EN BANC 115 – 129 (2022) ([SSRN link](#))
 - Featured on the *Off the Page* Podcast ([link](#))
- *A More Equitable Corporate Purpose* in RESEARCH HANDBOOK ON CORPORATE PURPOSE AND PERSONHOOD (E. Pollman & R. Thompson eds., Edward Elgar) (2021) ([SSRN 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](#))
- *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](#))
- *The Role of Norms in Government Ethics*, 35 JOURNAL OF LAW, ETHICS & PUBLIC POLICY 771 – 793 (2021) (symposium organizer) ([SSRN link](#))

ESSAYS & SHORTER WORKS CONT.'D

- *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](#))
- *The Outsized Influence of the FCPA?*, 2019 ILLINOIS LAW REVIEW 1205-1225 (2019) ([SSRN link](#))
- *Constraining Monitors*, 85 FORDHAM LAW REVIEW 2227-2247 (2017) ([SSRN link](#))

WORKS IN PROGRESS

- *Perfecting Compliance*
- *The Economic Waste of Corporate Purpose*
- *Motivating the Middle*
- *Collaborative Compliance* (with Kevin E. Davis)
- *Building a Culture of Ethical Inclusion*

ADDITIONAL PUBLICATIONS

- *Do the DOJ's Sticks and Carrots Actually Work?*, THE COMPLIANCE & ENFORCEMENT BLOG (July 11, 2023), ([online link](#))
- *How Behavioral Ethics Might Improve DEI Initiatives*, THE CLS BLUE SKY BLOG (June 26, 2023) ([online link](#))
- *Public Reporting of Monitorship Outcomes*, HARVARD LAW SCHOOL FORUM ON CORPORATE GOVERNANCE AND FINANCIAL REGULATION (Mar. 9, 2023) ([online link](#))
- *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](#))
- *The Compliance Professional? An Interesting Puzzle*, Legal Profession section of Jotwell: The Journal of Things We Like (Lots) (Mar. 9, 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](#))
- *Legal Elites Serving the Poor (Or Not?)*, Legal Profession section of Jotwell: The Journal of Things We Like (Lots) (Feb. 20, 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

- Compliance Roundtable (January 2023), Durham, NC
- 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

INVITED PRESENTATIONS & COMMENTARY (REPRESENTATIVE LIST)

Courts and Judicial Process: Judicial Ethics (January 2024)

- Co-presenter for the Courts and Judicial Process Workshop; Berkeley Law

Judges in the 21st Century: Confidence Lost? Symposium (December 2023)

- Discussant on potential reforms to ethics for the supreme court; Stein Center for Law and Ethics, Fordham Law

Effective and Efficient Compliance Programs (October 2023)

- Panelist on how to create effective compliance programs; Shinshu University & Embassy of Japan's 5th Workshop on White Collar Crime

Forum on the Intersection of Race & Securities & Corporate Law (September 2023)

- Discussant on issues related to race and securities law; University of Pennsylvania Carey Law School

(Re)writing the Rulebook: Reporting and Regulating for Organizational Accountability (September 2023)

- Panelist discussing how organizations can build and sustain an antiracist culture; 2023 Truth and Transformation Conference, Harvard Institutional Antiracism and Accountability Project ([online link](#))

The Impact of Compliance on Trust within Organizations (August 2023)

- Panelist discussing how accepting small amounts of misconduct can lead to more within organizations; Oxford University Centre for Corporate Reputation

ESG Intersections in Business Law

- Discussant on the ways in which ESG considerations are impacting board decisionmaking; SEALS

INVITED PRESENTATIONS & COMMENTARY (REPRESENTATIVE LIST) (CONT'D.)

Legal Ethics Lessons from the Trump Era (July 2023)

- Discussant on the ways in which lawyers contributed to diminished professional norms; SEALS

Leading the Change Symposium (February 2023)

- Panelist discussing lawyers as leaders; Wake Forest Law Review

The Judiciary—Making the Least Democratic Branch of Government More Respected and Less Politicized if Not More Democratic (January 2023)

- Panelist discussing perceived politicization of the judiciary; AALS Section on Litigation

Creating a Welcoming Climate for Our Faculty, Staff, Students in this Polarized World (January 2023)

- Panelist discussing the importance of building an inclusive organizational environment; AALS Deans Section

Building a Culture of Ethical Inclusion (November 2022)

- Racial Justice Speaker Series presenter; UC Davis School of Law ([online link](#))

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

OTHER ACADEMIC APPOINTMENTS**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

Visiting Assistant Professor of Law

July 2012 – June 2014

- Teaching: Contracts; Professional Responsibility; Securities Litigation, Enforcement, and Compliance; Corporate Compliance & Ethics; Global Compliance Survey; Group Directed Reading – The Ethics of Government Service
- 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
- NDLead, Notre Dame's Leadership Training Program (2019 – 2020)
- 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 2022 and 2021 Captain William O. McLean Student Award, presented by the Notre Dame Law School Graduating Classes; 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); Member of the 2021 University of Notre Dame All Faculty Team; Featured as part of the University's 2020 International Women's Day activities

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

University of Alabama School of Law*Adjunct*

Fall 2023

- Business Entities

PROFESSIONAL SERVICE & MEMBERSHIPS**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 2018 – 2021, AALS Section on Professional Responsibility; AALS Section on Minority Groups; American Bar Association; ABA Center for Professional Responsibility; Ethics & Compliance Initiative; Society of Corporate Compliance & Ethics

PROFESSIONAL EXPERIENCE

U.S. Court of Appeals for the Fifth Circuit, Shreveport, LA
Judicial Clerk to Judge Carl E. Stewart 2008 – 2009

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

PRIOR BOARD SERVICE

Red Cross of Northern Indiana, Board Member 2016 – 2017

African-American Alumni Advisory Board, Georgetown University, Board Member 2010 – 2012

Patrick Healy Fellows Program, Georgetown University, Board Member 2009 – 2012

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*

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.