

# VERONICA ROOT MARTINEZ

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## EDUCATION

### **The University of Chicago, The Law School**, Chicago, IL

Juris Doctor, June 2008

- Managing Editor, *Chicago Journal of International Law*
- Hinton Moot Court, Board Member

### **Georgetown University, McDonough School of Business**, Washington, D.C.

Bachelor of Science in Business Administration, May 2005, *cum laude*

Majors: Management & Marketing; Minor: Government

- John Carroll Scholar
- Patrick Healy Fellow

## ACADEMIC APPOINTMENTS

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

*Simpson Thacher & Bartlett Distinguished Professor of Law*

July 2024 – present

*Professor of Law*

July 2022 – June 2024

- Teaching: Contracts; Corporate Compliance & Ethics; Ethics and Professional Responsibility; Judicial Ethics (*MJS Program*); Legal Scholarship Seminar; Securities Litigation, Enforcement, and Compliance
- Committees: University Priorities Committee, 2024 – 2027, Chair 2025-2026; University Institutional Compliance Advisory Committee, Sp 2024 – 2026; University Academic Council, 2023 – 2025; Academic Careers Committee, Chair 2023 – 2026, Member 2022 – 2023; Mentoring Committee, 2023 – 2026; 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

- Teaching: Ethics in Management

### **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

- NDLead, Notre Dame's Leadership Training Program (2019 – 2020)
- 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
- 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

**ACADEMIC APPOINTMENTS CONT'D.**

**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 APPOINTMENTS & BOARD SERVICE**

**Finance Committee of the Board of Trustees, Duke University**  
Finance Committee Member; Capital Subcommittee Member

2025 – 2026

**Durham Center for Senior Life**

Board Member; Governance Committee (Chair 2024 – present)

2023 – present

**American Bar Association**

Standing Committee on Ethics and Professional Responsibility, Member

2024 – present

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

*Member*

2021 – 2024

**Organisation for Economic Co-operation and Development (OECD)**

*Strengthening Compliance Assessments Initiative, Lead Consultant*

2024

- STRENGTHENING GOVERNMENT CAPACITY TO ASSESS AND ACCOUNT FOR CORPORATE ANTI-CORRUPTION COMPLIANCE MEASURES AND PROGRAMMES (March 2024) (with OECD) ([online link](#))
- GOVERNMENTS' ASSESSMENTS OF CORPORATE ANTI-CORRUPTION COMPLIANCE, OECD (2025) ([online link](#))
- COMPANIES' ASSESSMENTS OF ANTI-CORRUPTION COMPLIANCE, OECD (2025) ([online link](#))

**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

**BOOKS**

- SECURITIES LITIGATION, ENFORCEMENT & COMPLIANCE (West 5th ed. 2023) (with others)
- PROFESSIONAL RESPONSIBILITY: A CONTEMPORARY APPROACH (West 6<sup>th</sup> ed. *forthcoming*) (with others)
- BUILDING AN EFFECTIVE ETHICS AND COMPLIANCE PROGRAM (Edward Elgar) (*forthcoming*)

**JOURNAL PUBLICATIONS**

- *The Miscalculation of Corporate DEI Risk*, \_\_ UNIVERSITY OF PENNSYLVANIA LAW REVIEW \_\_ (forthcoming 2026) (with Lisa Fairfax)
- *Purpose-Driven Compliance*, \_\_ TEXAS A&M LAW REVIEW \_\_ (forthcoming 2026) ([SSRN link](#))
- *Rethinking the ‘Fungible’ Consultant*, \_\_ LAW & CONTEMPORARY PROBLEMS \_\_ (forthcoming 2026)
- *Supreme Impropriety? Assessing the Justices’ Conduct*, 87 LAW & CONTEMPORARY PROBLEMS 147 – 181 (2024) ([SSRN link](#))
- *Public Reporting of Monitorship Outcomes*, 136 HARVARD LAW REVIEW 757 – 823 (2023) ([SSRN link](#))
  - Selected for reprint in the 2023-2024 CORPORATE PRACTICE COMMENTATOR
  - One of the Top Twenty Articles for the 2023 Environmental Law and Policy Annual Review ([link](#))
  - Featured interview on Faculti.Net ([link](#))
- *#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](#))
- *The Diversity Risk Paradox*, 75 VANDERBILT LAW REVIEW EN BANC 115 – 129 (2022) ([SSRN link](#))
  - Featured on the *Off the Page* Podcast ([link](#))
- *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](#))
- *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](#))
- *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](#))
- *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](#))
  - Republished as Veronica Root Martinez, *Investigações Complexas de Compliance [Complex Compliance Investigations]*, 4(14) Revista Científica do CPJM 14 (2025) (Braz.) ([SSRN link](#))
  - Cited in *J.C. v. Horizon Medical Corp., P.C.*, No. 20 CV 1222, 2021 WL 4730410 (Pa.Com.Pl. Oct. 08, 2021)
- *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](#))
- *The Outsize 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](#))

**JOURNAL PUBLICATIONS CONT'D.**

- *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](#))
  - Cited in 26 Cap. Acquisition Corp. v. Tiger Resort Asia Ltd., 309 A.3d 434 (Del. Ch. 2023)
  - Cited in *In re Oxbow Carbon LLC Unitholder Litig.*, No. CV 12447-VCL, 2018 WL 3655257 (Del. Ch. Aug. 1, 2018), vacated sub nom. Oxbow Carbon & Mins. Holdings, Inc. v. Crestview-Oxbow Acquisition, LLC, 202 A.3d 482 (Del. 2019)
- *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.)
- *Retaining Color*, 47 UNIVERSITY OF MICHIGAN JOURNAL OF LAW REFORM 575-643 (2014) ([SSRN link](#))
- *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](#))

**BOOK CHAPTERS & SHORTER WORKS**

- *Independent Monitorships* in CAMBRIDGE HANDBOOK OF ORGANIZATIONAL CULTURE AND MISCONDUCT (B. van Rooij, N. Tobsch, and N. Lord) (forthcoming 2026) ([SSRN link](#))
- *Diversity & Compliance* in Concise Encyclopedia of Compliance Law (J. Fanto ed., Edward Elgar) (forthcoming 2026) ([SSRN link](#))
- *Independent Compliance Monitors* in Concise Encyclopedia of Compliance Law (J. Fanto es., Edward Elgar) (forthcoming 2026) ([SSRN link](#))
- *Reframing the DEI Case*, 46 SEATTLE LAW REVIEW 399 – 419 (2023) (contribution to 13th Annual Berle Symposium) ([SSRN link](#))
- *A More Equitable Corporate Purpose* in RESEARCH HANDBOOK ON CORPORATE PURPOSE AND PERSONHOOD (E. Pollman & R. Thompson eds., Edward Elgar) (2021) ([SSRN link](#))
- *The Role of Norms in Government Ethics*, 35 JOURNAL OF LAW, ETHICS & PUBLIC POLICY 771 – 793 (2021) (symposium organizer) ([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](#))
- *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](#))
- *Constraining Monitors*, 85 FORDHAM LAW REVIEW 2227-2247 (2017) ([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)

## **WORKS IN PROGRESS**

- *From Artificial to Deliberative Compliance* (with Geeyoung Min)
- *Collaborative Compliance* (with Kevin E. Davis)
- *Regulating Decentralized Finance* (with Gina-Gail Fletcher & Steven L. Schwarcz)
- *Crime and Punishment: Corporate Criminal Prosecution and Corporate Misconduct* (with Syrena Shirley)
- *Middle Management: A Mission Critical Risk*
- *The Corporate Trauma of Corporate Purpose* (with Elize Maizel)
- *Building a Culture of Ethical Inclusion*

## **ADDITIONAL PUBLICATIONS**

- *A Reflection on the OECD's Report (Part II): Governments' Assessments of Corporate Anti-Corruption Compliance*, THE COMPLIANCE & ENFORCEMENT BLOG (June 24, 2025) (with Liz Carrasco), ([online link](#))
- *A Reflection on the OECD's Report (Part I): Companies' Assessments of Anti-Corruption Compliance*, THE COMPLIANCE & ENFORCEMENT BLOG (June 13, 2025) (with Liz Carrasco), ([online link](#))
- *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](#))
- *Corporate Monitors Need Better Regulation*, THE CLS BLUE SKY BLOG (Oct. 19, 2017) ([online link](#))

**ADDITIONAL PUBLICATIONS**

- *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](#))

**INVITED PRESENTATIONS & COMMENTARY (REPRESENTATIVE LIST)**

*Duke Law Alumnae Leadership Council* (March 2024)

- Panelist for session with the Duke Law Alumnae Leadership Council, an active network of Duke Law women graduates

*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

*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

*Issues Facing the U.S. Catholic Church and the Response of the Academy* (May 2019)

- Invited panelist discussing the sexual abuse crisis within the Catholic Church and the responsibilities and limitations of the academy in engaging with and addressing these issues, sponsored by the 2019 Sorin Seminar for Faculty at the University of Notre Dame

**CONFERENCES & SYMPOSIA ORGANIZED**

- The Compliance Forum (January 2026), Durham, NC
- The Limits of Compliance as a Regulatory Tool for Businesses: A Comparative Approach Across France, the EU, and the US (May 2025), Paris, France (co-organizer)
- 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

**PROFESSIONAL SERVICE & MEMBERSHIPS**

<b>American Bar Foundation (ABF)</b> , Fellow	2025 - present
<b>European Corporate Governance Institute (ECGI)</b> , Research Member	2025 - present
<b>American Law Institute (ALI)</b> , Member	2024 - present
<b>Culp &amp; Emerging Scholars Program</b> , Organizer; Emerging Team Leader	2019 – 2025
<b>18th Lutie A. Lytle Workshop</b> , Scholarship Committee Chair; WIP Committee Member	2023 – 2024

**Referee Activity**

*Duke Law Journal*, Reviewer (2024 – present); *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

**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

**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.