

**JOSEPH W. YOCKEY**  
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## **ACADEMIC EXPERIENCE**

### **University of Iowa College of Law, Iowa City, Iowa**

Professor and Michael and Brenda Sandler Faculty Fellow in Corporate Law (2015 – )  
Associate Professor (2010-15)

#### *Courses:*

Business Associations  
Compliance, Ethics, and Risk Management  
Private Companies  
Securities Regulation  
Securities Litigation  
Higher Education and the Law

#### *University Service:*

Secretary, University of Iowa Faculty Senate (2018 – ) (elected officer)  
Chair, Review Committee for Office of Finance and Operations (2018 – )  
Selection Committee, Michael J. Brody Award for Faculty Excellence (2018 – )  
Faculty Senate Committee on Committees (2017 – )  
Presidential Committee on Athletics (2016 – )  
Faculty Council (Executive Body of Faculty Senate) (2015 – )  
Faculty Senate (2015 – )  
University Investment Review Committee (2011 – )  
University Committee on Access and Use of Faculty Data (2016-17)

#### *Collegiate Service:*

Dean's Advisory Council on Curricular and Community Enhancement, Chair (2019 – )  
(task force charged with proposing reforms to the first-year curriculum and overall academic program and schedule)  
Founder and Faculty Advisor, First Generational Professionals @ Iowa Law (2019 – )  
Curriculum Committee, Chair (2017 – )  
Pre-Tenure Faculty and Lecturer Teaching Review Committee (2017-18), Chair (2018 – )  
S.J.D. Candidate Dissertation Committee (2016 – )  
Faculty Advisor, Christian Legal Society (2014 – )  
Faculty Advisor, National Securities Law Moot Court Team (2014 – )  
Faculty Advisor, Iowa Innovation, Business & Law Center (2010 – )  
ABA Accreditation Site Visit Team—*Yale Law School* (2018)

Dean Search Committee (2017-18)  
Assistant Dean of Career Services Search Committee, Chair (2017-18)  
Faculty Advisor, J. Reuben Clark Legal Society (2016-18)  
Faculty Appointments Committee (2015-17)  
Faculty Speakers Committee, Chair (2016-17; 2014-15)  
Student Recruitment Committee (2014-16)  
Judicial Clerkship Committee (2012-14)  
Curriculum Committee (2011-12)  
Faculty Advisor, Judicial Clerkships (2010-12)  
Faculty Speakers Committee (2010-11)

*Honors and Nominations:*

Collegiate Teaching Award (College of Law teacher of the year as selected by third-year students) (2012)  
President and Provost Award for Teaching Excellence (University of Iowa teacher of the year) (four-time nominee: 2012, 2013, 2015, 2018)

**University of Illinois College of Law, Champaign, Illinois**  
Visiting Assistant Professor (2008-10)

*Courses:*

Business Associations  
Securities Litigation  
Corporate Crime

**PROFESSIONAL EXPERIENCE**

**Sidley Austin LLP, Chicago, Illinois**  
Associate, Securities Litigation (2005-08)

**The Honorable John D. Tinder, U.S. Court of Appeals for the Seventh Circuit (retired)**  
Law Clerk (2004-05)

**EDUCATION**

**University of Illinois College of Law, Champaign, Illinois**  
J.D., *summa cum laude* (2004)

- Order of the Coif
- UNIVERSITY OF ILLINOIS LAW REVIEW, Articles Editor
- Rickert Award for Excellence in Academic Achievement
- Rickert Award for Excellence in Legal Publications

**University of Kansas, Lawrence, Kansas**

B.A., History of Art; B.A. English (2000)

- Amsden Award for Outstanding Performance in History of Art
- Junior year at University of East Anglia, Norwich, England

**PUBLICATIONS**

**Book**

THE CAMBRIDGE HANDBOOK OF SOCIAL ENTERPRISE LAW (co-edited with Benjamin Means, Cambridge University Press, 2018)

**Articles, Chapters, and Essays**

*Fiduciary Principles of Inside Voice* (work in progress)

*Bias Response on Campus*, 48 JOURNAL OF LAW & EDUCATION 1 (2019)

*Introduction*, in THE CAMBRIDGE HANDBOOK OF SOCIAL ENTERPRISE LAW (Joseph Yockey and Benjamin Means, eds., Cambridge University Press, 2018)

*Corrupting Entrepreneurial Action*, in THE CAMBRIDGE HANDBOOK OF LAW AND ENTREPRENEURIAL ACTION (D. Gordon Smith and Christine Hurt, eds., Cambridge University Press, forthcoming 2019)

*Beyond Yates: From Engagement to Accountability in Corporate Crime*, 12 NYU JOURNAL OF LAW & BUSINESS 407 (2016)

*Using Form to Counter Corruption: The Promise of the Public Benefit Corporation*, 49 U.C. DAVIS LAW REVIEW 623 (2015)

*Does Social Enterprise Law Matter?*, 66 ALABAMA LAW REVIEW 767 (2015)

Reprinted in SUSTAINABILITY & BUSINESS LAW (Judd F. Sneirson & Nancy E. Shurtz, eds. 2017)

*The Next Chapter in Anti-Corruption Compliance*, COMPLIANCE MANAGER (Nov. 2015) (with Nicole Saleem)

*The Compliance Case for Social Enterprise*, 4 MICHIGAN BUSINESS & ENTREPRENEURIAL LAW REVIEW 1 (2014)

*Choosing Governance in the FCPA Reform Debate*, 38 JOURNAL OF CORPORATION LAW 325 (2013)

*FCPA Settlement, Internal Strife, and the “Culture of Compliance”*, 2012 WISCONSIN LAW REVIEW 689

*Solicitation, Extortion, and the FCPA*, 87 NOTRE DAME LAW REVIEW 781 (2011)

*On the Role and Regulation of Private Negotiations in Governance*, 61 SOUTH CAROLINA LAW REVIEW 171 (2009)

Note, *The Case for a Sixth Amendment Public-Safety Exception after Dickerson*, 2004 UNIVERSITY OF ILLINOIS LAW REVIEW 542

### **SELECTED PRESENTATIONS AND PANEL DISCUSSIONS**

*Crisis Response in the Professional Firm*: Iowa State Bar Association Section on Business Law, University of Iowa College of Law (Nov. 2018).

*Free Speech on Campus: A Debate*: American Constitution Society and the Federalist Society (co-sponsors), University of Iowa College of Law (March 2018) (panelist)

*Bias Response on Campus*: Foundation for Individual Rights in Education Annual Faculty Conference (Oct. 2017)

*Keynote Address*: University of Iowa College of Law, Senior Banquet (selected to present by members of the graduating class) (May 2017)

*Resolving Social Enterprise Law*: Notre Dame Law School, Conference on the Cambridge Handbook of Social Enterprise Law (with Benjamin Means, University of South Carolina School of Law) (March 2017)

*Ethics in Business Transactions*: Association of American Law Schools Annual Meeting (Jan. 2017)

*Social Enterprise Law—Origins and Implications*: Southern Illinois University School of Law (Sept. 2016)

*Corrupting Entrepreneurial Action*: Brigham Young University J. Reuben Clark School of Law (Feb. 2016)

*Beyond Yates: From Engagement to Accountability in Corporate Crime*: New York University School of Law Classical Liberal Institute, Conference on Whistleblowing and Corporate Change (Oct. 2015)

*Using Form to Counter Corruption: The Promise of the Public Benefit Corporation*: U.C. Davis School of Law, U.C. DAVIS LAW REVIEW, Symposium on Corruption (Jan. 2015)

*The Standard-Form Family*: University of Iowa College of Law, JOURNAL OF GENDER, RACE & JUSTICE, Symposium on the Unmarried Life (Apr. 2014)

Invited contributor, Brigham Young University J. Reuben Clark School of Law and Marriott School of Management, Conference on Teaching Business Ethics and Corporate Responsibility (Feb. 2013)

*Choosing Governance in the FCPA Reform Debate*: University of Oregon School of Law (Nov. 2012)

*Choosing Governance in the FCPA Reform Debate*: University of Iowa College of Law, Iowa Legal Studies Workshop (Aug. 2012)

Moderator, National Business Law Scholars Conference (June 2012)

*Choosing Governance in the FCPA Reform Debate*: University of Kansas School of Law (Mar. 2012)

*FCPA Settlement, Internal Strife, and the "Culture of Compliance"*: University of Wisconsin Law School, WISCONSIN LAW REVIEW, Symposium on Who's in the House? The Changing Role of In-House & General Counsel (Nov. 2011)

Moderator, University of Iowa College of Law, JOURNAL OF CORPORATION LAW, Symposium on Reregulation and the Business Firm (Feb. 2011)

*Solicitation, Extortion, and the FCPA*: Washington University School of Law, Annual Regional Junior Faculty Workshop (Dec. 2010)

*Solicitation, Extortion, and the FCPA*: American Society of International Law, Biennial Conference of the International Economic Law Interest Group (Nov. 2010) (selected for presentation following anonymous peer review)

*Solicitation, Extortion, and the FCPA*: Indiana University Maurer School of Law, Big Ten Untenured Scholars Conference (Aug. 2010)

*Solicitation, Extortion, and the FCPA*: University of Iowa College of Law (Aug. 2010)

*On the Role and Regulation of Private Negotiations in Governance*: George Mason University School of Law (Dec. 2009)

*On the Role and Regulation of Private Negotiations in Governance*: University of Washington School of Law (Nov. 2009)

*On the Role and Regulation of Private Negotiations in Governance*: Case Western Reserve University School of Law (Nov. 2009)

*On the Role and Regulation of Private Negotiations in Governance*: University of Illinois College of Law (Oct. 2009)

*On the Role and Regulation of Private Negotiations in Governance*: University of Illinois College of Law, Big Ten Untenured Scholars Conference (Aug. 2009)

Participant, University of Colorado Law School, New Institutional Economics Workshop for Law Professors (June 2009)

*On the Role and Regulation of Private Negotiations in Governance*: Law and Society Association Annual Meeting (May 2009)

Commentator, University of Illinois College of Law, Program in Business Law and Policy, Symposium on Beyond Wall Street: the Interplay among Film, Business, and Law (Apr. 2009)

## **COMMENTARY AND REVIEWS**

*Entity Choice and Anti-Corruption Compliance*, Columbia Law School Blue Sky Blog, <http://clsbluesky.law.columbia.edu/2016/02/08/entity-choice-and-anti-corruption-compliance/> (Feb. 8, 2016) (invited submission)

OSGOOD HALL LAW JOURNAL, Invited Peer Reviewer (Mar. 2015)

Business Law Prof Blog, [http://lawprofessors.typepad.com/business\\_law/2014/09/yockey-on-the-compliance-case-for-social-enterprise.html](http://lawprofessors.typepad.com/business_law/2014/09/yockey-on-the-compliance-case-for-social-enterprise.html) (Sept. 26, 2014) (discussing *The Compliance Case for Social Enterprise*)

Jotwell, <http://health.jotwell.com/new-governance-as-the-new-weapon-in-the-fight-against-fraud/> (Sept. 8, 2014) (review of my article, *Choosing Governance in the FCPA Reform Debate*, by Professor Kathleen Boozang, Seton Hall University School of Law)

Nonprofit Law Prof Blog, <http://lawprofessors.typepad.com/nonprofit/2014/04/yockey-does-social-enterprise-law-matter.html> (Apr. 27, 2014) (discussing *Does Social Enterprise Law Matter?*)

*Complexity of Mission and the Power of Form*, Colorado Bar Association CLE Legal Connection, <http://cbaclelegalconnection.com/2014/03/complexity-mission-power-form/> (Mar. 26, 2014) (featured article on the role of the benefit corporation form and social enterprise practice management)

SocEnt Law Blog, <http://socentlaw.com/2014/03/yockey-on-playing-fair-and-social-enterprise/> (Mar. 12, 2014) (discussing my guest commentary on *The Conglomerate*)

Guest Blogger, *The Conglomerate*, <http://www.theconglomerate.org> (Mar. 10-23, 2014)

Business Law Prof Blog, [http://lawprofessors.typepad.com/business\\_law/2014/02/yockey-on-does-social-enterprise-law-matter.html](http://lawprofessors.typepad.com/business_law/2014/02/yockey-on-does-social-enterprise-law-matter.html) (Feb. 12, 2014) (discussing *Does Social Enterprise Law Matter?*)

FCPA Professor, <http://www.fcprofessor.com/whats-on-your-mind-2> (Sept. 23, 2013) (invited guest commentary on current trends in anti-corruption compliance).

*SEC Ruling Opens Doors*, DES MOINES REGISTER (online edition), <http://www.desmoinesregister.com/article/20130714/BUSINESS04/307140034/SEC-ruling-opens-doors-startup-backers-say-more-needed> (July 14, 2013) (discussing new SEC rules on general solicitation in private securities offerings)

FCPA Professor, <http://www.fcprofessor.com/fcpa-reform-related-scholarship> (Jan. 21, 2013) (discussing *Choosing Governance in the FCPA Reform Debate*)

INVESTMENT ADVISORS WEEK (Dec. 3, 2012) (quoted on the range of FCPA compliance issues facing investment advisors)

*UI Law Professor Looks to Possible Impact of Wal-Mart's Mexican Bribery Investigation*, IowaNow, <http://now.uiowa.edu/2012/04/ui-law-professor-looks-possible-impact-wal-marts-mexican-bribery-investigation> (April 24, 2012) (discussing research in connection with *FCPA Settlement, Internal Strife, and the "Culture of Compliance"*)

*Candidates Emphasize Cutting Taxes, Rules*, DES MOINES REGISTER (Nov. 19, 2011) (discussing the politics of financial regulation)

*Iowa Law Professor Suggests Changes in how U.S. Government Fights Global Corruption*, University of Iowa News Release, <http://news-releases.uiowa.edu/2011/september/092211yockey-corruption.html> (Sept. 22, 2011) (discussing research in connection with my article entitled *Solicitation, Extortion, and the FCPA*)

Business Law Prof Blog, [http:// http://lawprofessors.typepad.com/business\\_law/2011/09/joe-yockey-on-solicitation-extortion-and-the-fcpa.html](http://lawprofessors.typepad.com/business_law/2011/09/joe-yockey-on-solicitation-extortion-and-the-fcpa.html) (Sept. 9, 2011) (discussing *Solicitation, Extortion, and the FCPA*)

Truth on the Market, <http://truthonthemarket.com/2011/08/01/overcriminalization-in-action-the-fcpa/> (Aug. 1, 2011) (discussing *Solicitation, Extortion, and the FCPA*)

Securities Law Prof Blog, <http://lawprofessors.typepad.com/securities/2011/08/yockey-on-the-fcpa.html> (Aug. 1, 2011) (discussing *Solicitation, Extortion, and the FCPA*)

FCPA Professor, <http://www.fcpaprofessor.com/the-demand-side-of-bribery> (Aug. 2, 2011) (discussing *Solicitation, Extortion, and the FCPA*)

*Loebsack Calling for Rules on Insider Trading by Members of Congress, Staffers*, CEDAR RAPIDS GAZETTE (June 21, 2011) (discussing possible regulation of insider trading by members of Congress)

Guest, *Ethical Perspectives in the News*, KCRG Channel 9 (ABC), Cedar Rapids, IA (June 5, 2011) (discussing corporate and privacy law).

Guest, *The Exchange*, Iowa Public Radio, (Aug. 26, 2010) (discussing the hostile takeover attempt of Casey's General Stores, Inc.)



**OTHER WORK EXPERIENCE & COMMUNITY INVOLVEMENT**

**Sidley Austin LLP, Chicago, Illinois**

Summer Associate (2003)

**U.S. Attorney's Office, Western District of Missouri, Kansas City, Missouri**

Summer Intern (2002)

**University of Kansas, Office of Admissions, Lawrence, Kansas**

Admissions Counselor (2000-01)

**BAR ADMISSIONS**

Illinois

Iowa

U.S. Court of Appeals for the 7<sup>th</sup> Circuit

U.S. District Court for the Northern District of Illinois

U.S. District Court for the Southern District of Indiana