

## **JOEL SELIGMAN**

### *Curriculum vitae*

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### **EDUCATION**

Harvard University Law School, J.D. 1974  
Cum Laude  
University of California at Los Angeles,  
A.B. 1971 Magna Cum Laude  
Member, Phi Beta Kappa Society

### **EMPLOYMENT EXPERIENCE**

2020-present	Professor of Law Washington University School of Law
2020	Visiting Professor of Law Washington University School of Law
2018-present	President Emeritus and University Professor University of Rochester
2005-2018	President, CEO, and G. Robert Witmer, Jr. University Professor University of Rochester
1999-2005	Dean and Ethan A.H. Shepley University Professor Washington University School of Law
1995-1999	Dean and Samuel M. Fegtly Professor of Law The University of Arizona College of Law
1987-1995	Professor of Law The University of Michigan Law School
1986-1987	Visiting Professor of Law The University of Michigan Law School
1983-1986	Professor of Law George Washington University Law School

1977-1983 Northeastern University Law School  
Professor

1974-1977 Corporate Accountability Research Group

### **CONSULTANT**

1988-1989 Consultant, Office of Technology Assessment

1983 Consultant, Department of Transportation

1979-1982 Consultant, Federal Trade Commission

### **REPORTER**

1998-2002 National Conference of Commissioners on Uniform State Laws,  
Revision of Uniform Securities Act

### **CHAIR**

2000-2001 Securities and Exchange Commission Advisory Committee on  
Market Information

### **PUBLICATIONS**

#### **BOOKS**

with Louis Loss and Troy Paredes, 1-11 **Securities Regulation & 2016 Annual Supplement**  
(4th ed. Wolters Kluwer Law & Business).

with Louis Loss and Troy Paredes, 1-5 **Securities Regulation** (5<sup>th</sup> ed. Wolters Kluwer Law &  
Business).

with Louis Loss and Troy Paredes, 1-2 **Fundamentals of Securities Regulation** (6<sup>th</sup> ed. 2011)  
( earlier one volume Fundamentals co-written with Louis Loss, 3d ed. Aspen Law &  
Business, 1994, 4<sup>th</sup> ed. Aspen Law & Business, 2000, & 5<sup>th</sup> ed. Aspen Publishers,  
2004).

with John Coffee, **Securities Regulation** (8<sup>th</sup> ed. Foundation Press, 1998 and 9<sup>th</sup> ed. 2002).

with John Coffee and Hillary Sale, **Securities Regulation** (10<sup>th</sup> ed. Foundation Press, 2007).

**The New Uniform Securities Act** (Aspen Law & Business, 2003).

**Corporations: Cases and Materials** (Aspen Law & Business, 1995).

**The SEC and the Future of Finance** (Praeger, 1985).

**The Transformation of Wall Street: A History of the Securities and Exchange Commission and Modern Corporate Finance** (Houghton Mifflin, 1982 & Rev. ed. Northeastern University Press, 1995 & 3d ed. Aspen Publishing, 2003).

**The High Citadel: The Influence of Harvard Law School** (Houghton Mifflin, 1978).

with Ralph Nader and Mark Green, **Constitutionalizing the Corporation: The Case for the Federal Chartering of Giant Corporations**. (Report issued January 1976; a revised hardcover version was published in September 1976 by W.W. Norton under the title: **Taming the Giant Corporation**).

## ARTICLES

**In Memory of Harvey J. Goldschmid**, 93 Wash. U. L. Rev. 249 (2016)

**The New Financial Order: An Essay for Alan Bromberg**, 68 SMU L. Rev. 877 (2015)

**Memories of Bill Cary**, 2 Colum. Bus. L. Rev. 318 (2013).

**Key Implications of the Dodd-Frank Act for the Independent Regulatory Agencies**, 89 Wash. U. L. Rev. 1 (2011).

**The SEC in a Time of Discontinuity**, 95 Va. L. Rev. 667 (2009).

**In Honor of Harvey Goldschmid**, 106 Colum. L. Rev. 1479 (2006).

**Should Investment Companies Be Subject to a New Statutory Self-Regulatory Organization**, 83 Wash. U. L.Q. 1115 (2005); 2 ICFAI J. Corp. & Sec. L. 43 (2005).

**A Modest Revolution in Corporate Governance**, 80 Notre Dame L. Rev. 1159 (2005).

**Rethinking Private Securities Litigation**, 73 U. Cin. L. Rev. 95 (2004).

**Cautious Evolution or Perennial Irresolution: Stock Market Self-Regulation During the First 70 Years of the Securities and Exchange Commission**, 59 Bus. Law. 1347 (2004).

**Self-Funding for the Securities and Exchange Commission**, 28 Nova. L. Rev. 223 (2004).

**A Comment on Accounting and Auditing**, 47 St. Louis U. L. J. 967 (2003).

**The New Uniform Securities Act**, 81 Wash U.L.Q. 243 (2003).

**No One Can Serve Two Masters: Corporate and Securities Law after Enron**, 80 Wash. U.L.Q. 449 (2002).

**Rethinking Securities Markets: The SEC Advisory Committee on Market Information and the Future of the National Market System**, 57 Bus. Law. 637 (2002).

**The Nontrial Adversarial Model**, 64 Law & Contemp. Probs. 97 (Spring/Summer 2001).

**The Changing Nature of Federal Regulation**, 6 Wash. U.J.L. & Pol'y 205 (2001).

**In Memoriam: Louis Loss**, 111 Harvard Law Review 2141 (1998).

**A Mature Synthesis: O'Hagan Resolves "Insider" Trading's Most Vexing Problems**, 23 Del. J. Corp. L. 1 (1998).

**Götterdämmerung for the Securities Act?**, 75 Wash. U.L.Q. 887 (1997).

**The Private Securities Reform Act of 1995**, 38 Ariz. L. Rev. 717 (1996).

**The Quiet Revolution: Securities Arbitration Confronts the Hard Questions**, 33 Hous. L. Rev. 327 (1996).

**The Mandatory Disclosure System and Foreign Firms**, 4 Pacific Rim L. & Policy J. 807 (1995).

**The SEC's Soft Information Revolution**, 63 Fordham L. Rev. 1953 (1995).

**Another Unspecial Study: The SEC's Market 2000 Report and Competitive Developments in the United States Capital Markets**, 50 Bus. Law. 485 (1995).

**The Obsolescence of Wall Street: A Contextual Approach to the Evolving Structure of Federal Securities Regulation**, 93 Mich. L. Rev. 649 (1995).

**The Merits Do Matter**, 108 Harv. L. Rev. 438 (1994).

**The Merits Still Matter**, 108 Harv. L. Rev. 749 (1995).

**The Implications of *Central Bank***, 49 Bus. Law. 1429 (1994).

**The New Corporate Law**, 59 Brook. L. Rev. 1 (1993).

**Accounting and the New Corporate Law**, 50 Wash. & Lee L. Rev. 943 (1993).

**The Disinterested Person: An Alternative Approach to Shareholder Derivative Litigation**, 55 Law & Contemp. Probs. 357 (Autumn 1992).

**The Case for Federal Minimum Corporate Law Standards**, 49 Md. L. Rev. 947 (1990).

**The Washington Public Power Supply System Debacle**, 14 J. Corp. L. 889 (1989).

**Introduction: Symposium: Issues in Corporate Governance**, 22 Mich. J. L. Ref. 1 (1988).

**The Internationalization of the Securities Markets: Preface to a Symposium**, 9 Mich. Y.B. Int'l Legal Stud. 1 (1988).

- A Sheep in Wolf's Clothing: The American Law Institute's Corporate Governance Project**, 55 Geo. Wash. L. Rev. 325 (1987).
- Equal Protection in Shareholder Voting Rights: The One Common Share, One Vote Controversy**, 54 Geo. Wash. L. Rev. 687 (1986) (also published as a report of the Investor Responsibility Research Center, and in *Knights, Raiders & Targets*, ch. 31) (J. Coffee, L. Lowenstein & S. Rose-Ackerman eds. 1988).
- The SEC and Accounting: A Historical Perspective**, 7 J. Comp. & Cap. Market L. 241 (1985).
- The Reformulation of Federal Securities Law Concerning Nonpublic Information**, 73 Geo. L. J. 1083 (1985), *reprinted in* 18 Sec. L. Rev. 119 (1986).
- The Municipal Disclosure Debate**, 9 Del. J. Corp. L. 647 (1984).
- Reappraising the Appraisal Remedy**, 52 Geo. Wash. L. Rev. 829 (1984), *reprinted in* 28 Corp. Prac. Commentator 1 (1986).
- The Application of the Federal Antitrust Laws to Municipal Taxicab Regulation**, 26 J. Urb. & Contemp. L. 25 (1984) (initially published as a Department of Transportation study).
- The Future of the National Market System**, 10 J. Corp. L. 79 (1984).
- The Structure of the Options Market**, 10 J. Corp. L. 141 (1984).
- Federal Depository Institutions Life Insurance**, 31 Drake L. Rev. 591 (1984).
- The Historical Need for a Mandatory Corporate Disclosure System**, 9 J. Corp. L. 1 (1983), *reprinted in* 16 Sec. L. Rev. 3 (1984); *reprinted in* 1 ABA Sect. of Bus. L., Selected Articles on federal Securities Law 329 (1991).
- The Securities and Exchange Commission and Corporate Democracy**, 3 U. Dayton L. Rev. 1 (1978).
- A Brief History of the Delaware General Corporation Law of 1899**, 1 Del. J. Corp. L. 249 (1976).

## ORGANIZATIONS

- Member, The State Bar of California.
- Member, ABA Task Force on Corporate Responsibility (2002).
- Member, Professional Ethics Executive Committee of the American Institute of Certified Public Accountants (2000-2002).

Member, New York Stock Exchange Legal Advisory Committee (1998-1999).

Member, The University of Arizona Foundation Board of Directors (1998-1999).

Member, Arizona State Bar Board of Governors, ex officio member (1995-1999).

Member, NASAA Task Force on the Future of State and Federal Securities Regulation (1995-1996).

Member, NASD Legal Advisory Board (1994-1997).

Member, Advisory Committee, American Law Institute Corporate Governance Project (1980-1992).

Member, Federal Reserve Bank of New York Upstate New York Regional Advisory Board (2009-2012).

Governor, NASD Board of Governors (2004-2007).

Governor, FINRA Board of Governors (2007-2015).

Member, Eastman Kodak Company Board of Directors (2009-2013).

Member, COFHE Board (2009-2012).

Economic Security Solutions Group, AARP (2004-2005).

Co-chair, Finger Lakes Regional Economic Development Council (2011-2016).

Member, University Research Association Board of Trustees (2013-2016).

Member, National Security Higher Education Advisory Board (2010-Present).

Member, American Academy of Arts and Sciences.