

CALEB N. GRIFFIN

University of North Carolina School of Law
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CURRENT ACADEMIC APPOINTMENT

University of North Carolina School of Law | Chapel Hill, North Carolina
Associate Professor of Law (with tenure), July 2024 to Present

Courses: Business Associations
 Contracts
 Corporate Finance
 Corporate Governance
 Secured Transactions

Service: Co-Director, Dan K. Moore Program in Ethics

EDUCATION

Harvard Law School | Cambridge, Massachusetts
J.D., *cum laude*, May 2014

Oklahoma Christian University | Oklahoma City, Oklahoma
B.B.A., Finance, *summa cum laude*, May 2011

PUBLICATIONS

LAW REVIEWS:

Mass Corporate Governance, 103 WASH. U. L. REV. __ (forthcoming 2026)

Open Proxy, 99 TUL. L. REV. 247 (2024)

Extrinsic Value, 75 ALA. L. REV. 423 (2023)

Humanizing Corporate Governance, 75 FLA. L. REV. 689 (2023)

Contracting as a Class, 48 B.Y.U. L. REV. 1185 (2023)

Systemically Important Platforms, 107 CORNELL L. REV. 445 (2022)

We Three Kings: Disintermediating Voting at the Index Fund Giants, 79 MD. L. REV. 954 (2020)

Margins: Estimating the Influence of the Big Three on Shareholder Proposals, 73 SMU L. REV. 409 (2020)

Environmental & Social Voting at Index Funds, 44 DEL. J. CORP. L. 167 (2020)

Mergers Aren't So Black & White, 43 DEL. J. CORP. L. 213 (2019)

Incentives, Culture, and Change in American Legal Education, 87 U. CIN. L. REV. 325 (2019)

The Hidden Cost of M&A, 2018 COLUM. BUS. L. REV. 70-129 (2018)

OTHER:

Brief Of Current and Retired Practitioners and Professors as Amici Curiae in Support of Reversal, *In Re Tesla, Inc. Derivative Litigation*, Supreme Court of the State of Delaware (Case Below: No. 2018-0408-KSJM) (filed March 18, 2025) (with Laura H. McNally, counsel, and co-amici, current and retired practitioners and professors)

A Deep Dive Into Pass-Through Voting, TUMELO (February 2023) (contributor)

SEC Proxy Disclosure Proposal Won't Protect Investors' Interests, BLOOMBERG LAW (December 2021) (with Andrew Vollmer & Brian Knight)

Proxy Voting by Mutual Fund Investment Advisors, Public Interest Comment, SECURITIES AND EXCHANGE COMMISSION (November 2021) (with Andrew Vollmer & Brian Knight)

Margins: Estimating the Influence of the Big Three on Shareholder Proposals, OXFORD BUSINESS LAW BLOG (July 2020)

Environmental and Social Voting at the Big Three, COLUMBIA LAW SCHOOL BLUE SKY BLOG (June 2020)

Reforming Index Fund Voting, GEORGE MASON UNIVERSITY MERCATUS CENTER (February 2020)

We Three Kings: Democratizing Voting at the Index Fund Giants, OXFORD BUSINESS LAW BLOG (May 2019)

SELECTED ACADEMIC WORKSHOPS & PRESENTATIONS

Presenter, Tulane Corporate & Securities Roundtable, "Mass Corporate Governance," Tulane University School of Law, New Orleans, LA, March 2025.

Moderator and Presenter, Dan K. Moore Program in Ethics, UNC School of Law, November 2024.

Presenter, Duke-UNC-UVA-Wake Forest Business Law Colloquium, "Mass Corporate Governance," Duke Law School, Durham, NC, October 2024.

Presenter, Business Law Works-in-Progress, "The Weighting Game," AALS 2024, Washington, D.C., January 2024.

Presenter, Panel of Young Legal Scholars Paper Competition Winners, "The Weighting Game," AALS 2024, Washington, D.C., January 2024.

Selected Presenter, University of Pennsylvania Institute for Law & Economics Junior Faculty

Workshop, “The Anti-Efficient Index Fund,” Philadelphia, PA, December 7, 2023.

Presenter, Tenth Annual Corporation & Securities Litigation Workshop, “Extrinsic Value,” Vanderbilt University Law School, Nashville, TN, September 8-9, 2023.

Presenter, 2023 SEALS Annual Conference, “Insider Trading by the State,” Southeastern Association of Law Schools, Boca Raton, FL, July 29, 2023.

Presenter, 2023 National Business Law Scholars Conference, “The Anti-Efficient Index Fund,” University of Tennessee College of Law, Knoxville, TN, June 16, 2023.

Presenter, Fordham Corporate Law Center, “The Value Triad,” Fordham University School of Law, New York, NY, February 2023.

Presenter, Emerging Voices in Securities Law, “The Value Triad,” AALS 2023, San Diego, CA, January 2023.

Presenter, Panel of Young Legal Scholars Paper Competition Winners, “The Value Triad,” AALS 2023, San Diego, CA, January 2023.

Presenter, Faculty Speaker Series, “The Market for Investment,” Pepperdine University Caruso School of Law, Malibu, CA, November 7, 2022.

Presenter, 5th Annual Conference on Law and Macroeconomics, “The Market for Investment,” The Wharton School, University of Pennsylvania, October 21, 2022.

Presenter, 2022 National Business Law Scholars Conference, “Investor Preferences & Corporate Governance,” University of Oklahoma College of Law, Norman, OK, June 17, 2022.

Presenter, Workshop on Systemic Importance & Tech, “Systemically Important Platforms,” Harvard Kennedy School of Government & University of Georgia, June 7, 2022.

Presenter, Association of American Law Schools Conference, “Consensus, Fundamental Value, & Equity Demand Elasticity,” January 7, 2022.

Presenter, Central States Law Schools Association Annual Scholarship Conference, “What Investors Want,” Washburn University School of Law, September 25, 2021.

Presenter, International Corporate Governance Conference, “Corporate Conscience,” Cardiff Corporate Governance Research Group, Cardiff University, September 17, 2021.

Presenter, 2021 SEALS Annual Conference, “Insider Trading as a Symptom,” Southeastern Association of Law Schools, August 1, 2021.

Presenter, Association of American Law Schools Conference, “Market Expectations & Incentives in Insider Trading,” January 7, 2021.

Presenter, Southeastern Association of Law Schools Conference, “Indirect Outsider Trading,” Boca Raton, Florida, August 2, 2020.

Presenter, Belmont University College of Law, “The Landscape of Index Fund Voting,” Nashville, Tennessee, February 14, 2020.

Presenter, Works-in-Progress Panel, “We Three Kings: Disintermediating Voting at the Index Fund Giants,” AALS 2020, Washington, D.C., January 3, 2020.

Roundtable Panelist, *Revisiting Corporate Social Responsibility*, Charlotte, North Carolina, October 25-26, 2019.

Presenter, 2018 Mid-Atlantic Junior Faculty Forum, “Quantifying Price Effects in M&A,” University of Richmond School of Law, Richmond, Virginia, May 16, 2018.

Presenter, 2017 Southeastern Association of Law Schools Conference, “Rethinking Shareholder Wealth Maximization in M&A,” Boca Raton, Florida, August 2, 2017.

Presenter, 2017 Developing Ideas Conference, “Proxy Advisors: A Stakeholder Analysis,” University of Kentucky, Lexington, Kentucky, May 17, 2017.

PROFESSIONAL SERVICE

CONGRESSIONAL TESTIMONY:

Testimony of Caleb N. Griffin Before the United States Senate Committee on Banking, Housing, and Urban Affairs on Considering the Index Fund Voting Process (June 2022) ([link](#))

Questions for the Record, submitted by Senator Kyrsten Sinema and Senator Thom Tillis (July 2022)

EDITORIAL ACTIVITY:

Outside Reviewer, FINANCE RESEARCH LETTERS

LAW SCHOOL SERVICE

UNIVERSITY OF ARKANSAS:	Chair, Finance Committee
	Chair, Awards Committee
	Member, ABA Site Visit Committee
	Member, Appointments Committee
BELMONT UNIVERSITY:	Elected Member, University Student Life Council
	Member, Faculty Recruitment Committee
	Member, Curriculum Committee
	Faculty Supervisor, Field Placement Program
	Faculty Advisor, Independent Study Research
REGENT UNIVERSITY:	Faculty Advisor, James Kent American Inn of Court
	Faculty Advisor, Business Law Society
	Member, Finance Committee
	Member, Dean Search Committee
	Member, Instruction & Assessment Committee
	Member, Academic Policies & Procedures Committee
	Member, ABA Variance Committee
	Member, Bar Preparation Committee

Member, Appointments Committee

PRIOR PROFESSIONAL EXPERIENCE

University of Arkansas School of Law | Fayetteville, Arkansas

Assistant Professor, June 2021 to June 2024

Courses: Business Organizations
 Contracts
 Corporate Governance Seminar
 Mergers & Acquisitions

Awards: Dean's Circle Award for Scholarship, 2023

Belmont University College of Law | Nashville, Tennessee

Assistant Professor, 2019 to 2021

Courses: Contracts
 Business Associations
 Secured Transactions

Regent University School of Law | Virginia Beach, Virginia

Assistant Professor, 2016 to 2019

Courses: Business Associations
 Secured Transactions
 Business Acquisitions & Transactions
 Individual Federal Income Tax

Awards: 2L/3L Professor of the Year, 2018 & 2019

Vinson & Elkins LLP | Houston, Texas

Associate, 2014 to 2016

OTHER PROFESSIONAL INFORMATION

Bar Admission: Texas (inactive status)