

**LAMKIN BROOME**  
**Burton Craige Distinguished Professor**  
**Director, Center for Banking and Finance**

University of North Carolina at Chapel Hill  
School of Law  
CB # 3380, Van Hecke - Wettach Hall  
Chapel Hill, NC 27599-3380  
lbroome@email.unc.edu  
919-962-7066

**Employment**

University of North Carolina at Chapel Hill, School of Law  
Burton Craige Distinguished Professor (July 2017 – present);  
Wells Fargo Term Professor of Banking Law (July 2004 - June 2017);  
Visiting Professor, University of Augsburg, “Introduction to the  
Regulation of Banks and Bank Holding Companies in the United States,”  
June 22 - July 7, 2011.  
Director, Center for Banking and Finance (July 2000 – present);  
Board of Advisors for the Center (July 2000 - present).  
Director Diversity Initiative (2003 - present).  
Faculty Athletics Representative (Since July 1, 2010 and reviewed in 2015)  
(appointed by the Chancellor);  
Associate Dean for Academic Affairs (1993-95);  
Professor of Law (July 1993-present);  
Associate Professor (1989-93);  
Assistant Professor (1984-89).

**Courses:** Banking Law, Secured Transactions. Formerly: Contracts,  
Securitization, and Ethics in Business Practice.

**Recipient:** UNC School of Law Outstanding Service Award (2010); McCall  
Master Teachers’ Society for Teaching Excellence (inducted in 2009); Frederick  
B. McCall Award for Excellence in Teaching (1986, 1992, 1995 & 1998) (by vote  
of the third-year class); Order of the Golden Fleece (inducted 2011); Chancellor's  
Award for Service to the University (1995).

**Faculty Advisor:** *North Carolina Banking Institute* Journal (1996-present).

Attorney, King & Spalding, Atlanta, Georgia (1982-84) (commercial loan transactions,  
banking regulation, and commercial litigation).

Law Clerk to Judge Alvin B. Rubin, United States Court of Appeals for the Fifth Circuit  
(1981-82).

**Lissa Lamkin Broome**

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## **Education**

Juris Doctor, Harvard Law School, *cum laude*, 1981.

**Activities:** Editor, *Harvard Law Review* (1979-81); Legal Methods Instructor (1979) (legal research and writing course for first-year students).

Bachelor of Science, University of Illinois, *with highest honors*, 1978 (major in Finance).

**Honors:** 5.0 grade average (on 5.0 scale); Bronze Tablet; Lloyd J. Morey Award; Alpha Kappa Psi Scholarship Award; Beta Gamma Sigma; Phi Kappa Phi.

## **Grants**

Z. Smith Reynolds Foundation, \$40,000 for 2005-06 to support the Director Diversity Initiative.

The Fulfilling the Dream Fund North Carolina Consortium, \$75,000 for 2006-08 to support the Director Diversity Initiative.

## **Books**

Regulation of Bank Financial Service Activities: Cases and Materials (with Jerry W. Markham) (1033 pages) (5<sup>th</sup> ed. 2018) (4<sup>th</sup> ed. 2011, 3d ed. 2008, 2d ed. 2004, 1<sup>st</sup> ed. 2001).

Teacher's Manual (2018, 2011, 2008, 2004, 2001).

Selected Statutes and Regulations (2018, 2012, 2011, 2007, 2004, 2001).

Supplement (paper 2007, online 2011).

Securitization, Structured Finance and Capital Markets (with Steven L. Schwarcz and Bruce A. Markell) (LexisNexis 2004).

Teacher's Manual (75 pages) (LexisNexis 2004).

## **Law Review Articles (2000 - present)**

Division I Student-Athletes: The Evolution of their Voice and Vote, Mississippi Sports Law Journal (forthcoming).

A Difficult Conversation: Corporate Directors on Race and Gender, 26 Pace International Law Review 13 (2014).

The Danger of Difference: Tensions in Directors' Views of Corporate Board Diversity (with Kimberly D. Krawiec and John M. Conley), 2013 University of Illinois Law Review 919.

Board Diversity and Proxy Disclosure (with Thomas Lee Hazen), 37 University

of Dayton Law Review 39 (2011).

Does Critical Mass Matter? Views From the Boardroom (with John M. Conley and Kimberly W. Krawiec), 34 Seattle University Law Review 1049 (2011).

January 22, 2011, Berle II, Symposium of the Adolf A. Berle, Jr. Center on Corporations, Law & Society, Seattle University School of Law

Dangerous Categories: Narratives of Corporate Board Diversity (with John M. Conley and Kimberly W. Krawiec), 89 North Carolina Law Review 759 (2011).

Presented at April 16, 2010, UNC School of Law Conference "Board Diversity and Corporate Performance: Filling the Gaps"

The Dodd-Frank Act: TARP Bailout Backlash and Too Big to Fail, 15 North Carolina Banking Institute 69 (2011).

Supergeneric Collateral Descriptions in Financing Statements and Notice Filing, 46 Gonzaga Law Review 435 (2010/11) (Symposium on Article 9 of the Uniform Commercial Code).

Government Investment in Banks: Creeping Nationalization or Prudent, Temporary Aid? 4 Florida International University Law Review 409 (2009).

Perspectives on the Financial Crisis: Extraordinary Government Intervention to Bolster Bank Balance Sheets, 13 North Carolina Banking Institute 137 (2009).

Signaling Through Board Diversity: Is Anyone Listening? (with Kim Krawiec), 77 University of Cincinnati Law Review 431 (2008).

February 21, 2008, UNC School of Law Workshop

March 14, 2008, Corporate Law Symposium, University of Cincinnati College of Law

June 1, 2008, Law & Society Convention, Montreal, Quebec

The Corporate Boardroom: Still a Male Club, 33 Journal of Corporation Law 665 (2008).

The First One Hundred Years of Banking in North Carolina, 9 North Carolina Banking Institute 103 (2005).

The Legal Giants that Propelled North Carolina Banks to National Prominence: Paul J. Polking, Marion A. Cowell, and Jerone C. Herring, 8 North Carolina Banking Institute 119 (2004).

Framing the Inquiry: The Social Impact of Project Finance, A Comment on Bjerre, 12 Duke Journal of Comparative and International Law 439-47 (2002).

Banking and Insurance: Before and After the Gramm-Leach-Bliley Act, 25

Journal of Corporation Law 723-85 (with Jerry W. Markham) (2000).

**Book Chapters**

The United States of America in Can Banks Still Keep a Secret? Bank Secrecy in Financial Centres Around the World (Cambridge University Press 2017).

- 🕒 Bank Secrecy Symposium, Centre for Banking & Finance, National University of Singapore Faculty of Law, Singapore, December 4-5, 2014.

Diversity and talent at the top: Lessons from the boardroom (with Kimberly D. Krawiec and John M. Conley), in Diversity in Practice: Race, Gender, and Class in Legal and Professional Careers (Cambridge University Press 2016).

The United States: “With Freedom and Liberty for All” (with Saule Omarova, Cynthia Williams and John Conley) in Banking Systems in Crisis: The Faces of Liberal Capitalism (Suzanne J. Konzelmann & Marc Fovargue-Davies eds.) (Routledge 2013).

Narratives of Diversity in the Corporate Boardroom: What Corporate Insiders Say about Why Diversity Matters (with John M. Conley and Kimberly W. Krawiec) in Discourse Perspectives on Organizational Communication (Farleigh Dickinson University Press 2012).

William E. Jackson, III, The Future of Credit Unions: Public Policy Issues (Filene Research Institute 2003) (assisted with Chapter 3, Overview of Major Legislative and Regulatory Changes Affecting the Depository Institution Industry over the Last Twenty Years; and Chapter 4, Overview of the Credit Union Regulatory Environment Since the Membership Access Act of 1998).

A Federal Charter Option for Insurance Companies: Lessons From the Bank Experience (published in Financial Modernization After Gramm-Leach-Bliley 203-24 (LexisNexis 2002).

**Selected Professional Presentations or Panels (2008 - present)**

“Did Lawyers Save the World from Financial Collapse? Reflections on the 10<sup>th</sup> Anniversary of the Financial Crisis,” Festival of Legal Learning, Chapel Hill, NC, February 9, 2019.

“Student-Athletes: The Evolution of Their Voice and Vote,” Southeastern Association of Law Schools 2018 Annual Conference, Discussion Group: Collegiate Sports and the Role of Academics, Ft. Lauderdale, FL, August 11, 2018.

“The Financial Crisis and September 2008: The legal challenges and how they were surmounted,” Carolina Law Cornerstone Club, Asheville, NC, May 19,

2018.

“Banking Law: Legislative, Regulatory and Enforcement Priorities in the Trump Administration,” Festival of Legal Learning, Chapel Hill, NC, February 10, 2018.

“Banking 101: An Introduction to the Confusing and Complex Bank Regulatory Structure,” Festival of Legal Learning, Chapel Hill, NC, February 11, 2017.

“Financial Policy,” at What’s Next America, Frank Hawkins Kenan Institute for Private Enterprise, Chapel Hill, NC, October 10, 2016.

“Intercollegiate Athletics,” Spring Reunion Weekend 2016, UNC General Alumni Association, Chapel Hill, NC, May 6, 2016.

“Landing a Board Seat,” at Beyond Diversity: An Integrative People Approach “Inspiring Excellence” Conference, sponsored by Diversity & HR Solutions, Raleigh, NC, April 21, 2016.

“Corporate Board Diversity,” Festival of Legal Learning, Chapel Hill, NC February 12, 2016.

“Reforming College Athletics,” Spring Reunion Weekend 2015, UNC General Alumni Association, Chapel Hill, NC, May 8, 2015.

“A National Perspective: Boards of Directors,” Executive Networking Conference (The Institute and Carolinas-Virginia Minority Supplier Development Council), Raleigh, NC, April 10, 2015.

“Making the Business Case,” North Carolina Department of State Treasurer 2015 Board Diversity Forum, Raleigh, NC, April 7, 2015.

“A Primer on Anti-Money Laundering,” Festival of Legal Learning, Chapel Hill, NC, February 14, 2015.

“A Difficult Conversation: Corporate Directors On Race And Gender,” Distinguished Speaker of Business law and Ethics, Ernest J. Scheller Jr. College of Business, Georgia Institute of Technology, Atlanta, GA, June 16, 2014.

“NCAA Compliance,” at Legal Issues in College Athletics, UNC Sports & Entertainment Law Symposium, Chapel Hill, NC, March 21, 2014.

“Lead on A New Level: How to Get on A Corporate Board,” Black Women in Business, Durham, NC, February 12, 2014.

“The Effectiveness of Women on A Board of Directors,” College of Business, Mississippi State University, Starkville, MS, September 13, 2013.

“Corporate Board Diversity,” Chancellor’s First Year Student Leadership

Program, hosted by Chancellor Randy and Susan Woodson, Raleigh, NC, February 17, 2013.

“Women on Corporate Boards,” Women’s Forum of NC, Research Triangle Park, NC, November 17, 2012.

“Creative Leadership and Diversity in the Boardroom,” Raleigh Professional Women’s Forum, Raleigh, NC, September 13, 2012.

“Fallout of the Financial Crisis: The Impact on Domestic and International Regulation of Banking,” Business Journalism and the Global Financial Crisis: A Workshop for the Korean Broadcast Journalist Association, UNC School of Journalism and Mass Communication, Chapel Hill, NC, September 5, 2012.

“Cracking the Code: Women in Leadership,” Triangle Commercial Real Estate Women (CREW), Raleigh, NC, August 1, 2012.

“The Director Diversity Initiative at UNC School of Law,” N.C. Treasurer’s Office Lunch & Learn, Raleigh, NC, July 27, 2012.

“Creative Leadership in the Boardroom: Corporate Social Responsibility, the B Corporation and Critical Mass and Diversity in the Boardroom,” North Carolina Bar Association Women in the Profession Committee, Asheville, NC, April 27, 2012.

“Diversity in the Boardroom – Our role in increasing the consideration of women for public company boards,” WomenCorporateDirectors, Charlotte Chapter Meeting, Charlotte, NC, February 28, 2012.

“The Dodd-Frank Act: What You Need to Know,” Association of Real Estate License Law Professionals Annual Convention, Baltimore, MD, October 1, 2011.

“Proxy Disclosure and Corporate Board Diversity,” Women on Boards, School for Advanced International Studies, Johns Hopkins University, Washington, DC, September 9, 2011.

“The Dodd-Frank and Too Big to Fail,” German American Lawyers Association (DAJV) and the German Bankers Association, Berlin, Germany, July 4, 2011.

“Corporate Board Diversity,” German American Lawyers Association (DAJV), Frankfurt, Germany, June 30, 2011.

“An Overview of the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010,” (with Professors Tom Hazen and Saule Omarova), Festival of Legal Learning, Chapel Hill, NC, February 11, 2011.

“Gender Disparity in Public Service,” Rising to the Challenge: Women in Public Service, North Carolina Bar Foundation, Raleigh, NC, October 22, 2010.

“Corporate Board Diversity and Why is it Important?” North Carolina Association of Women Attorneys Annual Convention, Greensboro, NC, September 25, 2010.

“Overview of the Dodd-Frank Act: the Most Significant Financial Legislation Since the Depression,” Public Law for the Public’s Lawyers, UNC School of Government, September 23, 2010.

“What’s the ROI of Women on Boards,” Closing the Gender Gap: Global Perspectives on Women in the Boardroom, School for Advanced International Studies, Johns Hopkins University, Washington, DC, September 16, 2010.

“SEC Disclosure Rules on Board of Director Diversity,” ABA Annual Meeting, Business Law Section, Committee on Corporate Director Diversity, San Francisco, CA, August 6, 2010.

“Developments in Financial Services Regulation” for the 18<sup>th</sup> Annual CLE Program, Public Law for the Public’s Lawyers, Raleigh, NC, September 25, 2009.

“Understanding the Financial Crisis: The Basics” (with Professors Tom Hazen, Melissa Jacoby, and Saule Omarova), Festival of Legal Learning, Chapel Hill, NC, February 6, 2009.

“Understanding the Financial Crisis: The Government’s Response” (with Professors Tom Hazen, Melissa Jacoby, and Saule Omarova), Festival of Legal Learning, Chapel Hill, NC, February 6, 2009.

“The FDIC and the New Banking Crisis: Litigation Challenges Past, Present, and Future,” Mealy’s Litigation Conferences, Washington, DC, January 15-16, 2009.

“The Global Financial Crisis and What It Means to Your Business,” UNC Executive Development Symposium, Rizzo Center, Chapel Hill, NC, November 20, 2008.

“The Financial Crisis,” UNC-CH Board of Trustees Luncheon, November 19, 2008.

“Director Diversity Initiative,” Public Service Series, UNC School of Law, Chapel Hill, NC, November 13, 2008.

“Think Fast Forum: Financial Crisis: Issues and Options,” General Alumni Association, Chapel Hill, NC, October 23, 2008.

**Academic Conference Planning**

The Political Economy of Financial Regulation, February 7-8, 2013 (with Saule Omarova, Art Wilmarth (George Washington), Pat McCoy (Connecticut), and Ed Labaton (Institute for Law and Economic Policy)), Washington, D.C.

Board Diversity and Corporate Performance: Filling in the Gaps (with John M. Conley and Kimberly D. Krawiec), April 16, 2010, UNC School of Law, Chapel Hill, N.C. (papers published in Volume 89, Issue No. 3 of the North Carolina Law Review).

**Continuing Education Course Planning (selected)**

Financial Services Compliance Boot Camp, Charlotte, NC, June 11-12, 2018;  
August 15-17, 2016.

The September 2008 Financial Crisis: A Legal Retrospective, Washington, D.C.,  
September 21, 2018.

Developing the Legal and Policy Framework for the Regulation and Supervision  
of Bank Holding Companies in Nigeria, Chapel Hill, NC, May 6-9, 2013 (with  
Professor Saule Omarova and Kenneth Spong, Federal Reserve Bank of Kansas  
City).

Center for Banking and Finance, New York Lecture Series (part of The Clearing  
House Annual Conference)

February 10, 2011, Featured speaker: H. Rodgin Cohen, Sullivan &  
Cromwell

November 8, 2011, Debate on Too Big to Fail

November 14, 2012, Domestic Bank Regulation in a Global Environment  
– A Comparative Dialogue

November 22, 2013, Effective Compliance Risk Management in a Rapidly  
Changing Regulatory Environment

November 21, 2014, Bank Directors: Heightened Expectations and  
Blurred Lines in a Changing Regulatory Framework

November 17, 2015, Developing Supervisory Priorities and Approaches  
Aimed to Promote Financial Stability and Compliance

The ABCs of Banking Law, Charlotte (since 2012).

The North Carolina Banking Institute, Charlotte (since 1997).



North Carolina Bank Directors' College (beginning Fall 2002) (4 one-and-one-half-day programs each semester; 3 two-day programs annually in July 2003; 2 two-day programs (2012, 2015, 2016) (with the North Carolina Office of the Commissioner of Banks and the FDIC), Chapel Hill.

Emerging Issues Forum for Bank Directors: A Focus on Fintech (with the North Carolina Office of the Commissioner of Banks), Asheville, October 11-12, 2018.

Emerging Issues Forum for Bank Directors: What Every Bank Director Needs to Know About Cybersecurity, Blockchain Technology and Other Scary Things (with the North Carolina Office of the Commissioner of Banks), Asheville, September 28-29, 2017.

Consumer Credit Symposium (portion of Festival of Legal Learning) (annually beginning in 2002 (with Kate Ellengold, formerly with Professor Donald Clifford or Professor Adam Feibelman), Chapel Hill.

The Dan K. Moore Program in Ethics, Chapel Hill, N.C., (annually beginning in 2002) (with Professor Thomas Hazen (all years) and with Professor Bernie Burk (2012-14)), Chapel Hill and Charlotte.

Broadening Corporate Board Diversity: Earning a Board Seat, Chapel Hill, N.C. (annually in May or June since 2006), Chapel Hill.

### **Professional Affiliations**

Admitted to practice law: Georgia, 1982 (resigned from inactive status in 2018); North Carolina, 1990.

NCAA Postgraduate Scholarship Committee, 2018-present.

American Law Institute.

Fellow of the American Bar Foundation.

Fellow of the American College of Commercial Finance Lawyers (elected 2010).  
Board of Regents (2013-17)  
Chair, Grant Gilmore Award Committee (2013-15)

American Bar Association (Business Law Section -- Committee on the Uniform Commercial Code, Banking Law Committee, Vice Chair, Subcommittee on Law School Teaching).

The State Bar of North Carolina  
Authorized Practice Committee (Advisory Member, 1995-2010)

Ad Hoc Group to Increase Diversity (2007-09)

North Carolina Bar Association.

Diversity Task Force, 2008-10

UCC Committee, chair 1993-95, member 2000-present

Financial Institutions Committee, member 2006- present

Business Law Section Council 1995-98

Co-course planner, 1995 UCC Institute

Article 9 Review Committee

Association of American Law Schools.

Section on Commercial and Related Consumer Law

Chair, 1998

Liaison to UCC Article 2 Drafting Committee, 1993-94

Executive Committee, 1996-99

Section on Financial Institutions and Consumer Financial Services

Chair, 1994

Executive Committee, 1999-2001

BarBri Bar Review (North Carolina Contracts lecturer, 1995 - 2011).

Legal Aid of North Carolina, Access to Justice Campaign, Leadership Committee and Corporate Development Committee (2006-09).

### **University Service (selected)**

UNC General Alumni Association, Faculty Representative to the Board of Directors (May 2015 – May 2016).

Faculty Athletics Representative (since July 1, 2010).

Ex officio Committee Memberships:

Faculty Athletics Committee;

Special Talent Committee of the UNC Undergraduate Admissions Committee;

Educational Foundation Executive Board;

Faculty Advisory Committee to the Academic Support Program for Student-Athletes (ASPSA) (since 2011);

Licensing Labor Code Advisory Committee;

Athletics Council (Chair – meets two or three times per year);

Student-Athlete Advisory Council (since 2013).

Within the National Collegiate Athletic Association

Post-graduate Scholarship Committee (beginning September 2018).

Within the Atlantic Coast Conference:

President (2016-17);

Vice-President (2015-16);

Secretary-Treasurer (2014-15);

Executive Committee (2014-18);  
Legislation Committee (since 2018);  
Finance Committee (since 2013);  
Audit Subcommittee (2013-17);  
Investment Committee (2013-17);  
Constitution and By-Laws Committee (2013-17);  
Nominating Committee (2015-17);  
Awards Committee (2016-18);  
Women's Basketball Committee (2014-15).

Athletic Director Search Committee (fall 2011).

Title IX Review Committee (2011-12, 2016-18).

Review Committee for Academic Support Program for Student-Athletes (2010-11).

Provost Search Committee, Vice Chair (2009-10).

Chancellor's Advisory Committee (2008-14).

Faculty Athletics Committee (1991-96; 2000-08; chair, 2003-08; 2009-10; since 2010 *ex officio*).

Institutional Conflict of Interest Committee (2008-11).

The Parr Center for Ethics, Advisory Board (2005-09).

The Carolina Club, Board of Directors (2004-06).

NCAA Certification (Steering Committee; Executive Committee; Chair, Academic Integrity Subcommittee) (2004-05).

Athletic Director's Task Force on Recruiting, Admissions and Academic Support (chair, 1999).

Advisory Board for the Academic Support Program for Student-Athletes (1991-97; chair, 1992-95).

NCAA Certification (Steering Committee; Executive Committee; Chair, Academic Integrity Subcommittee) (1994-95).

### **Law School Service (selected)**

The Carolina Institute for Law and Entrepreneurship Planning Task Force (chair, 2018-19)

Post-Tenure Review Committee (2017-18)

LL.M Review Committee (2017-18)

Admissions Committee (chair, 2015-17).

Promotion and Tenure (2013-15; chair, 2013-14).

International Committee (chair, 2011-13).

Academic Affairs Committee (1991-99, 2000-03, 2005-07; chair or co-chair, 1995-99; 2006-11).

Dean's Advisory Committee (1988-89, 1993-95, 2008-17).

Law School Dean Search Committee (2005-06).

Self-Study Committee (chair, 1999-2000).

### **Community Service**

University United Methodist Church (Board of Trustees, 2014-present; Appalachian Service Project, Tazewell, Virginia, group co-leader, July 7-13, 2013; chair, Staff-Parish Relations Committee (2011-12); service on Trustees, including a year as Chair; Lay Leadership Committee; and Investment Committee.

Academy for Leadership Excellence (board of directors 2014-17 when dissolved and merged into the North Carolina Conference), an organization dedicated to developing and equipping clergy and lay leaders.

International Women's Forum, North Carolina Chapter (elected 2010) (Vice President of Membership 2015-17).

OnBoard NC (formerly RTP-W), to advance qualified RTP women in the C-suite and on corporate boards (established in 2016; Steering Committee, 2016-17; Secretary-Treasurer, 2018-present).

Board of Directors, MZ Alumni Foundation (2018-present).

Triangle Diversity Business Council (member, 2016-17).