

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 Faculty Advisor, Transactional Law Society Faculty Advisor, St. Thomas Moore Society Committee on Community Next-Gen Bar Committee

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 Me&A, 2018 COLUM. BUS. L. REV. 70-129 (2018)

OTHER:

Mass Corporate Governance, HARVARD LAW SCHOOL FORUM ON CORPORATE GOVERNANCE (June 2025)

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)

CONGRESSIONAL TESTIMONY:

House of Representatives

The Proxy Advisor Duopoly's Anticompetitive Conduct, Hearing Before the House Judiciary Committee Subcommittee on the Administrative State, Regulatory Reform, and Antitrust, United States House of Representatives (June 2025)

Senate

Considering the Index Fund Voting Process, Hearing Before the United States Senate Committee on Banking, Housing, and Urban Affairs (June 2022) ([link](#))

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

SELECTED ACADEMIC WORKSHOPS & PRESENTATIONS

Presenter, National Business Law Scholars Conference, “Mass Corporate Governance,” UCLA School of Law, Los Angeles, CA, June 2025.

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.

OTHER PROFESSIONAL SERVICE

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
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Awards:	Dean's Circle Award for Scholarship, 2023
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Belmont University College of Law | Nashville, Tennessee
Assistant Professor, 2019 to 2021

Courses:	Contracts Business Associations Secured Transactions
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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
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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)