

LISA HOPE NICHOLSON

lisa.nicholson@louisville.edu

EXPERIENCE

University of Louisville, Louis D. Brandeis School of Law, Louisville, Kentucky
Professor of Law, since July 2007; Associate Professor of Law, since July 2004; Assistant Professor, July 2000-2004 Granted tenure; May 2006

DePaul University College of Law, Chicago, Illinois; Visiting Professor, 2019-2020

University of Richmond School of Law, Richmond, Virginia; Visiting Professor, Spring 2008

Boston College Law School, Newton, Massachusetts; Visiting Professor, Fall 2007

Brooklyn Law School, Brooklyn, New York; Visiting Associate Professor, Spring 2005

Courses Taught: Business Organizations
Mergers & Acquisitions
Business Ethics Seminar
Drafting: Corporate Transactional Documents
Negotiable Instruments and Payment Laws
Securities Regulation
European Union Law Seminar
Contracts I and II

University Awards:

University of Louisville Distinguished Service Award (2021)
Presidential Exemplary Multicultural Teaching Award (UofL 2015)

UL Service: Admissions Committee (Fall 2009 – Spring 2012, Fall 2020 to present)
Black Law Student Association Faculty Advisor (Fall 2020 to present)
Dean's Advisory Committee (Spring 2018 - Spring 2019, Fall 2020 to pres.)
Economic Welfare Committee (Fall 2018 - Spring 2019)
Law School Dean Search Committee - Co-Chair (2016-2017)
Transactional LawMeet, Coach and Advisor (Fall 2012 - Spring 2019)
Diversity Committee (2000-2006, 2012 -2013); Chair, Fall 2014-15)
Student Grievance Committee (Spring 2014 - 2018)
Student Welfare Committee (Fall 2014 - Spring 2016)
Probation and Reinstatement Committee (Fall 2007- Spring 2014)
International Faculty Exchange Committee (Chair, 2009-10, 2012-13)
Decanal Review Committee (2012)
Faculty Recruitment Committee (2008-2009, 2011-2012)
Securities Regulation, Moot Court Competition (Co-advisor 2007)
Faculty Excellence Committee (2006-2007)
Academic Outreach Committee (2006-2007)
Strategic Planning Committee (2006-2007)
Speaker Selection Committee (2005-2007)

Faculty Enrichment Committee (2004-2006)
MaPOC Planning Committee (2004)
ABA-AALS Self-Study Committee (2003-2004)
Professionalism and Public Service Committee (2000-2003)
Part-time Division Committee (2001-2003)
Career Services Committee (2000-2001)

Community Awards and Recognition:

Named among “20 People to Know in Law,” *Louisville Business First* (August 2019)
Awarded “Recognition of Outstanding Service,” Louisville Metro Council (2017)

Community Memberships and Service:

- Board Member, **Legal Aid Society** (2017 to present)
Member, LAS Board Finance and Audit Committee (2021 to present)
- Board Commissioner, **Louisville Metro Housing Authority** (2018 to present)
Member, LMHA Board Audit and Finance Committee (2020 to present)
Chair, LMHA Board Governance Committee (2021 to present)
- Legal Observer, **National Lawyers Guild – Kentucky** (2020 to present)
- Nonpartisan Volunteer, **Alberta Odell Jones Independent Black Voters Assn** (Fall 2020)
- Poll Monitor Volunteer, **Kentucky Election Protection/KY Civic Engagement** (Fall 2020)
- Member, **KBA Steering Committee for Securities CLE** (2017)
- Member, **Implementation Team, Phase II of Louisville’s Blueprint For Safe and Healthy Neighborhoods Initiative** – “One Love Louisville, Be the One to Make a Difference,” Metro Louisville Office of Safe and Healthy Neighborhoods, Louisville, Kentucky (2015-2016)
- Member, **Police Initiatives Work Group** (one of 11 workgroups tasked to develop specific actions and to identify responsible parties to implement those actions); **2013 Phase I Blueprint for Safe and Healthy Neighborhoods: Moving Louisville to Action**, Metro Louisville Office of Safe and Healthy Neighborhoods, Louisville, Kentucky (2013-2014)
- Member, **Jefferson County Chapter of Kentuckians for the Commonwealth**, Louisville Kentucky (2013 to present)
- Performed economic and social justice advocacy of issues, including: Restoration of Voting Rights for Ex-Felons; Creation of Worker Co-ops; and Corporate Responsibility in the New Economy (2013-2017)
 - Member, Economic Justice Committee of Jefferson County Chapter of Kentuckians for the Commonwealth (2015 to 2016)
 - Volunteer and Contributor, “Vision Smoketown Project” (2014-2015)
 - Co-writer and Co-editor, “Vision Smoketown Survey Report” (2014)
 - Participant, “Smoketown Getdown for Democracy” (September 2014)

External University Service:

Small Group Leader for Those with Some Teaching Experience, AALS Workshop for New Law School Teachers, Washington DC (June 18-21, 2014)

Business Law Small Group Leader, AALS Workshop for New Law School Teachers, Washington DC (June 20-23, 2013)

Small Group Leader, AALS Workshop on Retention of Minority Law School Teachers, Washington DC (June 23-25, 2011)

Executive Committee Member, AALS Section on Securities Regulations (2008-2010)

Member, AALS 2009 Planning Committee for the Workshop for New Law School Teachers, Workshop on Retention of Minority Law School Teachers and Workshop for Beginning Legal Writing Teachers

Coordinator, Moderator and Faculty Host, Hospitality Suite and Question and Answer Panel sponsored by the AALS Section on Minority Groups at the Faculty Recruitment Conferences (2002, 2004, 2005 and 2006)

Coordinator, Hospitality Suite and Question and Answer Panel sponsored by the AALS Section on Minority Groups at the Faculty Recruitment Conference (2003)

Publications:

Corporate Governance in the Financial Services Industry: Dodd-Frank Reforms to Banker Compensation Arrangements, 47 Indiana L. Rev. 201 (2014)

Access to Justice Requires Access to Attorneys: Restrictions on the Practice of Law Serves a Societal Purpose, 82 Fordham L. Rev. 2761 (2014)

US and EU: A Comparative Response to the Global Economic Crisis, Mainz-Louisville Anthology, "Brandeis Meets Gutenberg," German-American Legal Discussions (2012)

Essay, Culture Is the Key to Employee Adherence to Corporate Codes of Ethics, 3 J. Bus. & Tech. L. 449 (2008)

The Culture of Under-Enforcement: Buried Treasure, Sarbanes-Oxley and the Corporate Pirate, 5 DePaul Bus. & Com. L. J. 321 (Winter 2007)

Sarbanes-Oxley's Purported Over-Criminalization of Corporate Offenders, 2 J. Bus. & Tech. L. 43 (2007)

Making In-Roads to Corporate Counsel Positions: It's Only a Matter of Time?, 65 U. Md.

L. Rev. 625 (2006)

SarboX 307's Impact on Subordinate In-House Counsel: Between a Rock and a Hard Place, 2004 Mich. St. L. Rev. 559 and 88 Mich. St. L. Rev. 559 (2004)

Duties of the In-House Lawyer in the New Environment, Indiana Continuing Legal Education Forum, CLE Chapter for Corporate Counsel Forum (2004)

A Hobson's Choice for Securities Lawyers in the Post-Enron Environment: Striking a Balance Between the Obligation of Client Loyalty and Market Gatekeeper, 16 Geo. J. Legal Ethics 91 (2002)

Presentations:

Presenter, *Corporate Oversight and Governance and The University Corporation*, Complex Contracting and Firm Organization Panel, Law and Society Association, Toronto, Ontario (June 8, 2018)

Panelist and Moderator, *How to Get Here From There*, KBA/UL Business Law Society Corporate Practice Discussion Group (October 23, 2017)

Panelist, *Pathways to Building a Corporate Infrastructure in Cuba*, Midwestern People of Color Legal Scholarship Conference, Hotel Parque Central, Havana, Cuba (July 24, 2015)

Panelist, *Ownership and Control: New Considerations on Litigation, Governance Structures, and Shareholder Activism*, Law and Society Association, Seattle Washington (May 30, 2015)

Invited Speaker and Panelist, *Access to Justice as Access to Lawyers?*, Reconsidering Access to Justice, Texas A&M University School of Law, Fort Worth Texas (April 30-May 2, 2015)

Invited Speaker, *Scholarship Considerations for Experienced Teachers/Those Who Have Already Written*, 2014 AALS Workshop for New Law Teachers, Washington DC (June 21, 2014)

Invited Speaker, *The Legal Profession's Monopoly on the Practice of Law*, The Stein Center for Law and Ethics Colloquia at Fordham University School of Law, New York NY (October 18, 2013)

Invited Speaker, *Scholarship: Experienced Teachers/Those Who Have Already Written*, 2013 AALS Workshop for New Law Teachers, Washington DC (June 21, 2013)

Invited Speaker, *Corporate Governance and Accountability; Law and the Financial Crisis Symposium*, Indiana University Robert H. McKinney School of Law, Indianapolis, IN (April 4-5, 2013)

Panelist, *Corporate Veils and Dissenters' Rights*, Kentucky Bar Association Annual Convention, Louisville KY (June 8, 2012)

Panelist, *Scholarship: Strategies to Success*, AALS Workshop on Retention of Minority Law School Teachers, Washington DC (June 24, 2011)

Visiting Professor, U of L International Teaching Exchange; Johannes-Guttenberg University, Mainz, Germany -- *Comparative Corporate Governance and the Comparative Response to the Global Economic Crisis* (May 17 to June 9, 2011)

Panelist, *The Role of Counsel During a Corporate Crisis*, Association of Corporate Counsel-Southwest Ohio Chapter and UC Corporate Law Center, University of Cincinnati, OH (November 4, 2010)

Panelist and Discussant, *Credit Rating Agencies*, Law and Society Annual Meeting, Chicago, IL (May 30, 2010)

Presenter, *Systemic Risk and the Political Response*, Risk Management and Insurance Department; Research Seminar Series, University of Georgia, Atlanta, GA (November 13, 2009)

Concurrent Session Small Group Discussion Leader, *Ethics and Social Responsibility in Business Transactions*, AALS Workshop on Transactional Law, Long Beach, CA (June 11, 2009)

Moderator, Works-in-Progress, *Transactional Scholarship in Business Associations*, AALS Workshop on Transactional Law, Long Beach, CA (June 10, 2009)

Visiting Professor, U of L International Teaching Exchange; Johannes-Guttenberg University, Mainz, Germany- *Global Securities Markets* (May 18-29, 2009)

Panelist, *Integrating Issues Regarding the Financial Crisis into Teaching*, Corporate Governance and Securities Law Responses to the Financial Crisis, University of Maryland, Baltimore, MD (April 17, 2009)

Panelist, *The Future of the SEC, Part II*, New Models of Regulating the Financial Markets, University of Cincinnati Regulatory Reform Symposium, Cincinnati, OH (April 3, 2009)

Panelist, *Holding Lawyers Accountable for Client Behavior*, 2008 ABA National Conference on Professional Responsibility, Boston, Massachusetts, (May 29, 2008)

Panelist, *Roundtable on Corporate Ethics*, Sarbanes-Oxley Act of 2002 Five Years Later:

Assessing its Impact, Charting Its Future, University of Maryland, Baltimore, MD
(October 18-19, 2007)

Commentator, *Paper on Regulation of Hedge Funds*, Twelfth Annual LatCrit Conference,
Miami, FL (October 6, 2007)

Panelist, *White Collar Crime Roundtable*, SEAALS, Amelia Island, Florida (July 29 - Aug. 4,
2007)

Visiting Instructor, U of L International Teaching Exchange; Johannes-Guttenberg
University, Mainz, Germany- *Comparative Corporate Governance* (June 2007)

Commentator, Tamar Frankel's *Trust and Honesty: America's Business Culture at a Crossroad*
(Oxford University Press, 2005), Law & Society Annual Meeting, Baltimore, MD (July 6,
2006)

Panelist, *The Criminalization of Corporate Law*, The University of Maryland School of Law,
Baltimore, MD (April 2006)

Panelist, *Women and the "New" Corporate Governance*, The University of Maryland School
of Law, Baltimore, MD (April 7-8, 2005)

Panelist, *Race, Gender and Corporate Law*, St. John's University School of Law Symposium,
New York, NY (March 18, 2005)

Presenter, *The Efficiency of Sarbanes-Oxley's Criminal Measures*, Brooklyn Law School,
Brown Bag Series, Brooklyn, NY (March 10, 2005)

Presenter, *The In-House Lawyer as Gatekeeper: Ethics in the New Environment*, Indiana
Continuing Legal Education Forum ("ICLEF") Corporate Counsel Forum, Indianapolis,
IN (December 16, 2004)

Panelist, *The New Look of the Attorney-Client Privilege: The Impact of Sarbanes-Oxley, the
Patriot Act and ABA Resolution 301*, 2004 Kentucky Bar Association Annual Convention,
Lexington, KY (June 25, 2004)

Panelist and Discussant, *White Collar Crime Panel*, Law & Society Annual Meeting,
Chicago, IL (May 27, 2004)

Panelist, *Teaching Business Law Responsibly; Race, Culture, Money & Power*, Mid-Atlantic
People of Color Legal Scholarship Conference, 2004 Annual Meeting, University of
Baltimore, Baltimore, MD (January 31, 2004)

Panelist, *Sarbanes-Oxley: Impact on Lawyers*, Sarbanes-Oxley Symposium, entitled, *In the
Wake of Corporate Reform: One Year in the Life of Sarbanes-Oxley - A Critical Review*,
Michigan State University – DCL College of Law (September 19, 2003)

Panel Chair and Discussant, *Corporations in Modern Society II: Legal Regulation of the Behavior of Officers and Directors*, Law & Society Annual Meeting, Pittsburgh, PA (June 5, 2003)

OTHER EXPERIENCE

Kaye, Scholer, Fierman, Hayes & Handler, LLP, New York, New York *Litigation Associate, May 1997 to June 2000*

Litigation focused on securities regulation and commercial transactions, including an NASD arbitration concerning the suitability of investments in inverse-floaters by a not-for-profit entity and litigation concerning allegations of the unsuitability of investments in foreign currency markets; fraud in connection with a securitization; fraud in connection with a corporate acquisition; and breach of contract and tortious interference claims arising from an employment dispute. Drafted briefs, pleadings, affidavits, discovery requests and responses, and witness scripts. Conducted and defended depositions. Prepared lay and expert witnesses for depositions and trials. Participated in mediations and a trial.

Securities and Exchange Commission, Division of Enforcement, New York, New York *Senior Counsel, Sept. 1996 - May 1997; Staff Attorney, Sept. 1993 - August 1996*

Analyzed and applied the federal securities laws as well as the rules of the NYSE and NASD to a host of investigations and litigations involving broker-dealers, issuers, corporate officers and directors, and other regulated entities. Focus included "suitability" and "know your customer" rules; mark-ups; reporting and books and records provisions; failure to supervise; insider trading; control-person's liability; sale of unregistered, non-exempt securities; and Investment Advisers and Investment Company Acts. Planned and conducted civil discovery. Drafted pleadings, discovery motions, pre-trial briefs, and settlement documents.

Securities and Exchange Commission, Division of Investment Management *Legal Intern, Summer 1992*

Drafted research memoranda analyzing and applying the Investment Advisers Act and the Investment Company Act to allegations of touting and false disclosures in investment advisory publications.

New York County District Attorney's Office, New York, New York *Summer Intern, Frauds Bureau, Summer 1991*

Drafted motion responses and research memoranda focusing on white collar crime issues, including breach of fiduciary duty, self-dealing and false statements. Prepared a condensed guide analyzing key provisions of the Federal Sentencing Guideline

Depository Trust Company, New York, New York

Participant Services Representative, September 1987 - July 1990

Served as member-banks' account administrator to facilitate their capital market transactions. Actively interfaced with various regulatory and compliance entities; advised DTC participants of new regulatory policies and securities clearing procedures; and facilitated training.

EDUCATION

William and Mary School of Law, Williamsburg, Virginia
Juris Doctor May 1993

Honors: *William and Mary Bill of Rights Journal*, Assistant Business Editor
Black Law Student Association, Vice President

Virginia Tech, Pamplin College of Business, Blacksburg, Virginia
Bachelor of Science, Finance June 1986

BAR ADMISSION

New York, S.D.N.Y and E.D.N.Y., Pennsylvania (inactive)