

Professor Veronica Root Martinez appointed to FINRA NAC

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Professor <http://law.nd.edu/directory/veronica-martinez/>.

[Veronica Root Martinez](#) [\[link:/directory/veronica-martinez/\]](#) was appointed to the National Adjudicatory Council (NAC) of the [Financial Industry Regulatory Authority](https://www.finra.org/) (FINRA) as of the start of 2021 for a four-year term.

FINRA is a self-regulatory organization that oversees U.S. broker-dealers. As part of her duties, Martinez will, with other members of the NAC, hear appeals filed against decisions rendered in FINRA disciplinary and membership proceedings. Individuals can appeal beyond the NAC rulings to the Securities and Exchange Commission.

Martinez is one of only 15 committee members. Other committee members include a judge, industry professionals, and professors.

"I am thrilled and honored to have the opportunity to contribute to the important work FINRA does to protect investors and to ensure integrity within the market," she said.

Martinez is one of the nation's foremost experts on corporate compliance and is the nation's leading academic expert on the role of monitors and monitorships. She writes about and researches issues related to professional and organizational ethics, drawing on scholarship from the areas of ethics, compliance, corporate and securities law, workplace law, and equity and inclusion.

Martinez is the inaugural director of Notre Dame Law School's [Program on Ethics, Compliance & Inclusion](#) [\[link:/faculty-scholarship/interdisciplinary-studies/program-on-ethics-compliance-inclusion/\]](#), which is an interdisciplinary program that supports research focused upon critically examining significant instances of immoral behavior, misconduct, and discrimination within organizations for the purpose of producing tangible steps that organizations can take to prevent similar future behavior.



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