

SARAH J. WILLIAMS

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OBJECTIVE

To teach, research and serve in a manner that furthers the protection of investors and enriches communities.

EMPLOYMENT

Assistant Professor of Law

Penn State Dickinson Law | Carlisle, PA

July 2019 - Present

Tenure-track assistant professor of law at a law school of approximately 300 students that promotes anti-racism in its course instruction.

Deputy Director | Associate Director

Public Company Accounting Oversight Board | Washington, DC

May 2003 – May 2018

Provided legal, administrative, and managerial services in quasi-governmental agency formed to oversee auditors of publicly traded companies after revelations of widespread financial fraud and the demise of accounting firm Arthur Andersen.

Associate General Counsel | Assistant General Counsel

National Association of Securities Dealers (now FINRA) | Washington, DC

May 2000 – May 2003

Developed rule changes and industry guidance at regulatory agency responsible for overseeing securities professionals in the brokerage industry.

Commissioner's Counsel | Branch Chief | Staff Attorney

U.S. Securities and Exchange Commission | Washington, DC

March 1993 – May 2000

Provided legal advice and recommendations to SEC Commissioner Isaac C. Hunt, Jr. Investigated and supervised investigations of financial fraud, insider trading, and market manipulation in the agency's Enforcement Division.

Associate

Arnold & Porter, LLP | Washington, DC

September 1989 – March 1993

Performed legal research and drafted legal advice on matters relating to corporate, real estate, banking, and criminal law.

EDUCATION

Juris Doctorate

New York University School of Law | New York, NY

May 1989

Bachelor of Arts Degree

Dartmouth College | Hanover, NH

March 1986

ARTICLES, PUBLICATIONS AND WORKS-IN-PROGRESS

The Alchemy of Effective Auditor Regulation, 25 LEWIS & CLARK L. REV. 1089 (2022)

Are We Seeing Double? Regulatory Overlap Between the SEC and the PCAOB, The Columbia Law School Blue Sky Blog (2022) (invited)

Regulatory Personhood: The Elixir for Redundancy Between the SEC and the PCAOB, forthcoming 97 ST. JOHN'S L. REV. (2023)

Regulating Congressional Insider Trading: The Rotten Egg Approach, forthcoming 45 CARDOZO LAW REV. (2024)

Regulate Congressional Trading Through Registration Under the Securities Laws, The Columbia Law School Blue Sky Blog (2024) (invited)

ESG and AQI: What's Good for the Corporate Firm is Good for the Audit Firm, work-in-progress.

AWARDS, PRESENTATIONS & WORKSHOPS

"Up and Coming Scholar" Panelist, Symposium on the Future of ESG hosted by ILEP and Journal of Business Law, Penn Carey Law (November 2023)

"Regulating Congressional Insider Trading – The Rotten Egg Approach," Presented at Southeastern Association of Law Schools Conference (July 2023)

"Regulating Congressional Insider Trading – The Rotten Egg Approach," Presented at National Business Law Scholars Conference, University of Tennessee College of Law (July 2023)

"Investor Education at the PCAOB," Invited panelist for discussion at Wharton Business School Workshop with PCAOB's new Investor Advocate (June 2023)

"Disclosure Strategy at the PCAOB: Right Solution for the Wrong Agency," Presented at Lutie A. Lytle Black Women Law Faculty Workshop (June 2023)

"Juneteenth Celebration and Reflection," Invited Presenter at event hosted by Penn State Health (June 2023)

"Regulatory Personhood," Presented at National Business Law Scholars Conference, University of Oklahoma College of law (June 2022)

Phillip M. Scott Teaching Excellence Award (received May 2022)

"Regulatory Personhood," Presented at Wharton Financial Regulation Conference (April 2022)

"Roundtable on Capitalism and the Rule of Law," Discussant at George Mason Law & Economics Center Event (March 2022)

MEDIA CONTRIBUTIONS

Amanda Iacone, *KPMG's Big Four Dominance on Bank Audits Shaken by Failures*, Bloomberg Law June 2023 (quoted)

Amanda Iacone, *SEC Official Behind 1,000 Restatements Has Unusual Title: Acting*, Bloomberg Tax May 2022 (quoted)

Melissa Heelan, *Law School Ethics Becomes 'Real,' Tackles Covid, Social Justice*, Bloomberg Law January 2022 (quoted)

TEACHING AND SERVICE TO AT DICKINSON LAW

SEMESTER	COURSE (CREDIT UNITS)	SERVICE ASSIGNMENTS
Spring 2024	Property Law (4) Accounting for Lawyers (2)	Honor Code Committee AC 14 Committee Non-Tenure Line Promotion & Review Committee 1L Faculty Working Group Adjunct Faculty Observer
Fall 2024	Secured Transactions (3) Federal Securities Regulation (3)	Honor Code Committee AC 14 Committee Non-Tenure Line Promotion & Review Committee 1L Faculty Working Group
Spring 2023	Property Law (4) Accounting for Lawyers (2) Race & Equal Protection Under the Law (.5)	Appointments Committee 1L Faculty Working Group
Fall 2022	Secured Transactions (3) Federal Securities Regulation (3)	Appointments Committee 1L Faculty Working Group
Spring 2022	Property Law (4) (Accounting for Lawyers (2)	Appointments Committee Faculty Development Committee Orientation Committee 1L Faculty Working Group
Fall 2021	Professional Responsibility (3) Federal Securities Regulation (3)	Appointments Committee Faculty Development Committee Orientation Committee 1L Faculty Working Group
Spring 2021	Property Law (4) Accounting for Lawyers (2)	Curriculum & Sabbatical Committee Faculty Development Committee (Chair) Honor Code Committee 1L Faculty Working Group
Fall 2020	Professional Responsibility (3) Federal Securities Regulation (3)	Curriculum & Sabbatical Committee Faculty Development Committee (Chair) Honor Code Committee 1L Faculty Working Group

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Spring 2020	Property Law (4) Accounting for Lawyers (3)	Faculty Development Committee Honor Code Committee 1L Faculty Working Group
Fall 2019	Professional Responsibility (3)	Faculty Development Committee Honor Code Committee 1L Faculty Working Group

PUBLIC SERVICE ACTIVITIES

Board Member

Long Term Stock Exchange | New York, NY

2022 – 2023

Harrisburg Alumnae Chapter Member

Delta Sigma Theta Sorority, Incorporated

2020 – Present

Board Member | Volunteer Arbitrator

Attorney/Client Arbitration Board of the DC Bar

2019 – Present

BAR MEMBERSHIPS

New York, District of Columbia, Connecticut (inactive)