

ALEXANDER I. PLATT

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University of Kansas School of Law
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ACADEMIC APPOINTMENTS

University of Kansas School of Law, Lawrence, KS

Associate Professor of Law, 2020 – present
Director, Polsinelli Transactional Law Center
Courses: Securities Regulation; Business Associations; Contracts
Honors: Graduation Marshall (2023) (voted by 3L class)

Harvard Law School, Cambridge, MA

Climenko Fellow and Lecturer on Law, 2018 – 2020
Courses: Legal Research and Writing; Index Funds and the Concentration of Corporate Ownership (Reading Group)

EDUCATION

Yale Law School, New Haven, CT

J.D., 2012
Yale Law Journal, Articles Editor

Columbia University, New York, NY

B.A., *magna cum laude* in Philosophy, 2006

PUBLICATIONS AND WORKS IN PROGRESS

The Lost History of Mandatory Disclosure

Going Dark(er): The SEC Whistleblower Program's Least Transparent Annual Report in Agency History (working paper), <https://ssrn.com/abstract=4350144>.

(More) Legal Guardrails for a Unicorn Crackdown (working paper), <https://ssrn.com/abstract=4378770>.

The Whistleblower Industrial Complex, 40 YALE J. REG. (forthcoming 2023).

Unicorniphobia, 12 HARV. BUS. L. REV. (forthcoming 2023)

Beyond "Market Transparency": Investor Disclosure and Corporate Governance, 74 STAN. L. REV. 1393 (2022).

Legal Guardrails for a Unicorn Crackdown, 120 MICH. L. REV. ONLINE 89 (2022).

The Non-Revolving Door, 46 J. CORP. L. 751 (2021).

Is Administrative Summary Judgment Unlawful?, 43 HARV. J. L. & PUB. POL'Y 235 (2021).

Gatekeeping in the Dark: SEC Control Over Private Securities Litigation Revisited, 72 ADMIN. L. REV. 27 (2020).

Index Fund Enforcement, 53 U.C. DAVIS L. REV. 1453 (2020).

Unstacking the Deck: Administrative Summary Judgment and Political Control, 34 YALE J. REG. 439 (2017).

SEC Administrative Proceedings: Backlash and Reform, 71 BUS. LAW. 1 (2016).

Deciding Not To Decide: A Limited Defense of the Silent Concurrence, 17 J. APP. PRAC. & PROCESS 141 (2016).

The Temptation of Martinez v. Ryan: Legal Ethics for the Habeas Bar, 8 CRIM. L. BR. 1 (2013) (with Larry Kornreich).

Debiasing Statutory Interpretation, 39 OHIO N. U. L. REV. 275 (2013).

CLERKSHIPS

U.S. Court of Appeals for the D.C. Circuit, Washington, DC
Law Clerk for Judge Stephen F. Williams, 2014 – 2015

U.S. District Court for the District of Columbia, Washington, DC
Law Clerk for Chief Judge Royce C. Lamberth, 2012 – 2013

EXPERIENCE

Boies Schiller Flexner LLP, Washington, DC
Associate, 2013 – 2014, 2015 – 2018

ACADEMIC PRESENTATIONS AND CONFERENCES

“The Lost History of Mandatory Disclosure”

Winter Deals Conference, BYU Law (Mar 2023)

Advanced Securities Regulation Seminar, Washington University School of Law (Mar 2023)

National Business Law Scholars Conference, University of Oklahoma College of Law (June 2022)

“The Whistleblower Industrial Complex”

New Voices in Business Law, AALS 2023, San Diego, CA (Jan. 2023)

Midwestern Law and Economics Association Conference, University of Chicago School of Law (Oct. 2022)

Chicagoland Junior Scholars Conference, Loyola University Chicago School of Law (Sept. 2022)

Corporate and Securities Litigation Workshop, University of Illinois School of Law (Chicago) (Sept. 2022)

Plenary Panel: “The JOBS Act at 10: The Transformation of Capital Raising and the Reach of Public Company Regulation,” National Business Law Scholars Conference, University of Oklahoma College of Law (June 2022)

“Unicorniphobia”

Midwestern Law and Economics Association Conference, BYU Law School (Oct. 2021)

Chicagoland Junior Scholars Workshop, Loyola University Chicago School of Law (Oct. 2021)

Law and Society Association, Corporate and Securities Online Workshop (Sept. 2021)

Drake Law School, Faculty Workshop (Sept. 2021)

Central States Law Schools Association Conference (Sept. 2021)

National Business Law Scholars Conference, University of Tennessee School of Law (Jun. 2021)

“Beyond ‘Market Transparency’: Investor Disclosure and Corporate Governance”

BYU Winter Deals Conference, Park City, UT (Mar. 2022)

Emerging Voices Panel, Section on Securities Regulation, AALS Annual Meeting (Jan. 2022)

Works-in-Progress Panel, Section on Business Associations, AALS Annual Meeting (Jan. 2022)

Corporate Law Academic Workshop Series (“CLAWS”)
(Harvard/BU/NYU/Duke) (Nov. 2021)

Rocky Mountain Junior Scholars Forum, BYU Law School (Nov. 2021)

Midwestern Law and Economics Association Conference, BYU Law School (Oct. 2021)

Central States Law Schools Association Conference, Washburn University School of Law (Sept. 2021)

Finance Faculty Seminar, University of Kansas School of Business (Sept. 2021)

National Business Scholars Conference, University of Tennessee School of Law (Jun. 2021)

Wharton Financial Regulation Conference, Wharton School of Business (Apr. 2021)

Faculty Colloquium, University of Nebraska School of Law (Apr. 2021)

Faculty Workshop, University of Kansas School of Law (Feb. 2021)

“Is Administrative Summary Judgment Unlawful?”

Emerging Voices in Administrative Law, AALS Annual Meeting (Jan. 2021)

Civil Procedure Workshop, Northwestern University School of Law (Oct. 2020).

“The Non-Revolving Door”

Emerging Voices in Business Law, AALS Annual Meeting (January 2021).

Emerging Voices in Securities Regulation, AALS Annual Meeting (January 2021).

University of Oregon School of Law Faculty Workshop (Oct. 2020).

Corporate and Securities Litigation Workshop (July 2020).

National Business Law Scholars Conference, University of Tennessee College of Law (June 2020).

University of Michigan Law School, Junior Scholars Conference (Apr. 2020).

Harvard Law School, Corporate Law Fellows Workshop (Feb. 2020).

“Gatekeeping in the Dark: SEC Control of Private Securities Litigation Revisited”

New Voices in Administrative Law, AALS 2020, Washington, DC (Jan. 2020).

Harvard Law School, Corporate Law Faculty Workshop (Nov. 2019).

“Index Fund Enforcement”

University of Arkansas School of Law, Seminar on Corporate Governance (Apr. 2022).

University of Richmond School of Law, Seminar on Corporate Governance (Feb. 2020).

Boston University School of Law, Corporate & Securities Litigation Workshop (Sept. 2019).

Southeastern Association of Law Schools, 2019 Annual Conference (Jul. 2019).

Berkeley Law, University of California, National Business Law Scholars Conference (Jun. 2019).

University of Richmond Law School, Richmond Junior Faculty Workshop (May 2019).

Harvard Law School, Corporate Law Faculty Workshop (Apr. 2019).

Harvard Law School, Corporate Law Fellows Workshop (Apr. 2019).

Harvard Law School, ClimenkoFest (Mar. 2019).

“SEC Administrative Proceedings: Backlash and Reform”

Yale Law School, Center for the Study of Corporate Law, Weil, Gotshal & Manges Roundtable on SEC Enforcement (Mar. 2016) [invited participant].

OTHER SELECTED WRITINGS

What is the SEC Hiding?, THE CLS BLUE SKY BLOG (Feb. 8, 2023)
<https://clsbluesky.law.columbia.edu/2023/02/08/what-is-the-sec-hiding>.

The Whistleblower Industrial Complex, THE CLS BLUE SKY BLOG (Aug. 4, 2022)
<https://clsbluesky.law.columbia.edu/2022/08/04/the-whistleblower-industrial-complex>.

Legal Guardrails for a Unicorn Crackdown, THE CLS BLUE SKY BLOG (Feb. 17, 2022) <https://clsbluesky.law.columbia.edu/2022/02/17/legal-guardrails-for-a-unicorn-crackdown>.

Regulating in the Shadow of Theranos, YALE JOURNAL ON REGULATION NOTICE & COMMENT BLOG (Dec. 11, 2021) <https://www.yalejreg.com/nc/regulating-in-the-shadow-of-theranos-by-alexander-i-platt>.

Unicorniphobia, THE CLS BLUE SKY BLOG (Sept. 20, 2021), <https://clsbluesky.law.columbia.edu/2021/09/20/unicorniphobia>.

Beyond “Market Transparency”: Investor Disclosure and Corporate Governance, HARVARD LAW SCHOOL FORUM ON CORPORATE GOVERNANCE (Sept. 14, 2021), <https://corpgov.law.harvard.edu/2021/09/14/beyond-market-transparency-investor-disclosure-and-corporate-governance>.

The Legal World Needs to Shed Its Unicorniphobia, TECHCRUNCH (Sept. 11, 2011), <https://techcrunch.com/2021/09/11/the-legal-world-needs-to-shed-its-unicorniphobia>.

Symposium on “Is Administrative Summary Judgment Unlawful,” YALE JOURNAL ON REGULATION NOTICE & COMMENT BLOG (Feb.-Mar. 2021) <https://www.yalejreg.com/topic/symposium-on-alexander-platts-administrative-summary-judgment/> (featuring commentary on my paper from scholars of administrative law and securities regulation).

The Non-Revolving Door Between the SEC and the Plaintiffs’ Bar, PROMARKET (Jan. 4, 2021) <https://promarket.org/2021/01/04/the-non-revolving-door-between-the-sec-and-the-plaintiffs-bar/>

Accidents Happen in Economic Firefighting. That’s Why We Need Accountability. BARRON’S (Dec. 9, 2020) <https://www.barrons.com/articles/accidents-happen-in-economic-firefighting-thats-why-we-need-accountability-51607543019> (with David Zaring).

Beyond “Going Dark:” The SEC’s 13F Proposal And Hedge Fund Activism, THE CLS BLUE SKY BLOG (Nov. 4, 2020) <https://clsbluesky.law.columbia.edu/2020/11/04/beyond-going-dark-the-secs-13f-proposal-and-hedge-fund-activism/>.

Comment Letter on SEC Proposal To Change Reporting Threshold for Institutional Investors, File No. S7-08-20 (Sept. 28, 2020), available at <https://www.sec.gov/comments/s7-08-20/s70820-7843296-223783.pdf> (with Urska Velikonja).

Brief of Amici Curiae Scholars in Support of Patrick J. Collins, *Collins v. Mnuchin*, Nos. 19-422 & 19-563 (U.S. filed Sept. 23, 2020), available at https://www.supremecourt.gov/DocketPDF/19/19-422/154743/20200923162343504_40151%20pdf%20Platt.pdf (with Steven Davidoff Solomon & David Zaring).

The SEC's Proposal To Raise The § 13(f) Reporting Threshold Rests On A Misinterpretation of The Provision's Legislative History, YALE JOURNAL ON REGULATION NOTICE AND COMMENT BLOG (Jul. 16, 2020) https://www.yalejreg.com/nc/the-secs-proposal-to-raise-the-%C2%A7-13f-reporting-threshold-rests-on-a-misinterpretation-of-the-provisions-legislative-history-by-alexander-i-platt/#_ftn10.

The SEC and 'Piggyback' Securities Litigation, CLS BLUE SKY BLOG (Mar. 2, 2020) <https://clsbluesky.law.columbia.edu/2020/03/02/the-sec-and-piggyback-securities-litigation/>.

Index Fund Enforcement, HARVARD LAW SCHOOL FORUM ON CORPORATE GOVERNANCE (Aug. 28, 2019) <https://corpgov.law.harvard.edu/2019/08/28/index-fund-enforcement/>.

FEATURED MEDIA

Mengqi Sun, *SEC Whistleblower Awards Program Might Have A Revolving Door Program, Study Says*, WALL ST. J. (Aug. 25, 2022) (full newspaper story devoted to my paper “The Whistleblower Industrial Complex”)

John Holland, *SEC Commissioner Calls for Less Secrecy in Whistleblower Awards*, BLOOMBERG (Aug. 26, 2022) (discussing SEC Commissioner Mark Uyeda’s embrace of my paper “The Whistleblower Industrial Complex”).

Matt Levine, *Some Free Brokers are Cheaper Than Others*, MONEY STUFF NEWSLETTER (BLOOMBERG) (Aug. 25, 2022) (featuring my paper “The Whistleblower Industrial Complex”)

John Holland, *SEC Tip Line Was Meant To Stop Another Madoff. Is it working?*, BLOOMBERG (Jul. 26, 2022) (quoting me and discussing my research in “The Whistleblower Industrial Complex”).

Matt Levine, *Bribery Won’t Make You A Hero*, MONEY STUFF (BLOOMBERG) (Feb. 17, 2022) (flagging my paper “Legal Guardrails for a Unicorn Crackdown”).

Michael Heise, *Evidence of a “Non-Revolving” Door*, EMPIRICAL LEGAL STUDIES BLOG (Sept. 24, 2020) (discussing my paper *The Non-Revolving Door*).

Download of the Week: “Is Administrative Summary Judgment Unlawful?” by Platt, LEGAL THEORY BLOG (Sept. 12, 2020), <https://lsolum.typepad.com/legaltheory/2020/09/download-of-the-week-is-administrative-summary-judgment-unlawful-by-platt.html>.

OTHER SELECTED MEDIA

Mengqi Sun, *Former SEC Commissioner Allison Herren Lee Joins Whistleblower Law Firm*, WALL ST. J. (Mar. 9, 2023) (quoting interview with me and referencing my paper “The Whistleblower Industrial Complex”).

Nick Muscavage, *'Trove of Money to be Realized' – SEC Enacts Monumental Whistleblower Changes*, AGENDA (Sept. 23, 2022) (quoting interview with me and discussing my paper “The Whistleblower Industrial Complex.”).

Nicole Veru, *Unicorniphobia*, MAYER BROWN: FREE WRITINGS & PERSPECTIVES BLOG (Sept. 13, 2022) (discussing my paper “Unicorniphobia”).

Andrew Goudsward, *Compliance Hot Spots: SEC Whistleblower Program's 'Preferred Attorneys'*, LAW.COM (Aug. 31, 2022) (discussing my paper “The Whistleblower Industrial Complex”).

Richard Satran, *SEC Reverses Curbs Prior Agency Leadership Placed on Whistleblower Awards*, THOMSON REUTERS REGULATORY INTELLIGENCE (Aug. 30, 2022) (discussing my paper “The Whistleblower Industrial Complex”).

Jack Newsham, *Short Seller Carson Block's Former Research Partner Has Filed A New Lawsuit Ripping the SEC's Whistleblower Team as "Hopelessly Incoherent." Here's Why He's Mad*, INSIDER (Aug. 23, 2022).

PAUL HASTINGS: SEC ROUNDUP EPISODE 30, *Alex Platt Describes SEC Whistleblower Program's Lack of Transparency* (Aug. 18, 2022) <https://www.youtube.com/watch?v=oX5jEj4SUkk> (discussing my research in “The Whistleblower Industrial Complex”).

Jennifer Sor, *The SEC Has Paid Over \$1 billion to whistleblowers since 2012. But a new study says the agency has outsourced the job to high-priced law firms that may discourage more tipsters from coming forward.*, BUSINESS INSIDER (Aug. 13, 2022) (featuring my research in “The Whistleblower Industrial Complex”).

Tim Carpenter, *KU professor urges greater federal transparency, oversight of corporate whistleblower programs*, KANSAS REFLECTOR (Aug. 12, 2022) (featuring my research in “The Whistleblower Industrial Complex”).

Has SEC Tips Program Stopped Next Madoff? No One Knows, ON THE MERITS: BLOOMBERG LAW PODCAST (Jul. 26, 2022) (interviewing me about my research in “The Whistleblower Industrial Complex”).

Avalon Zoppo, *Showing Off or Making a Point? Spate of Self-Concurrences Catch Eye of Legal Community*, NATIONAL LAW JOURNAL (Jul. 21, 2022) (quoting interview with me and discussing my 2016 paper “Deciding not to Decide”).

Kate Riga, *How The Fifth Circuit Used An SEC Case To Declare Open Season On The Administrative State*, TPM (May 21, 2022) <https://talkingpointsmemo.com/news/fifth-circuit-sec-agencies-supreme-court>.

Legal Guardrails for a Unicorn Crackdown with Alexander Platt, THE VOICE OF CORPORATE GOVERNANCE (COUNCIL OF INSTITUTIONAL INVESTORS PODCAST) (Apr. 14, 2022) <https://podcasts.apple.com/us/podcast/legal-guardrails-for-a-unicorn-crackdown-with/id1433954314?i=1000557633765>.

Alexander Platt on Section 13(f) and Corporate Governance, BUSINESS SCHOLARSHIP PODCAST (Mar. 31, 2022) <https://andrewkjennings.com/2022/03/31/alexander-platt-on-section-13f-and-corporate-governance>.

Peter Feltman, *McHenry urges House appropriators to resist private company disclosure rule*, CQ ROLL CALL (Mar. 7, 2022) (discussing my paper “Legal Guardrails for a Unicorn Crackdown”).

Mark Stricherz, *Courts would nix SEC plan to make 'unicorns' public, Kansas law prof says*, CQ ROLL CALL (Feb. 28, 2022) (discussing my paper “Legal Guardrails for a Unicorn Crackdown” and quoting interview with me).

Melissa Angel, *Wall Street's Watchdog Wants Big Private Companies to Disclose More Info*, INC. (Feb. 3, 2022) (quoting interview with me).

Panel on Unicorns, BUSINESS SCHOLARSHIP PODCAST (Nov. 4, 2021), <https://podcasts.apple.com/us/podcast/panel-on-unicorns/id1470002641?i=1000540735838> (discussing my paper “Unicorniphobia” with a panel of other legal scholars).

Jack Newsham, *One “Big Plaintiff” Law Firm Made \$4 Million Per Lawyer, More than Kirkland or Wachtell. Top Law Students are Finally Taking Note*, INSIDER (Oct. 6, 2021), <https://www.businessinsider.com/big-law-new-competition-for-students-plaintiffs-firms-2021-10> (discussing my paper “The Non-Revolving Door”).

Alicia McElhaney, *How 13Fs Detract From Competition and Help Companies Win Activist Campaigns*, INSTITUTIONAL INVESTOR (Sept. 20, 2021) <https://www.institutionalinvestor.com/article/b1tnxvj84krm6c/How-13Fs-Detract-From-Competition-and-Help-Companies-Win-Activist-Campaigns> (discussing my paper “Beyond ‘Market Transparency’” and quoting interview with me).

Kia Kokalitcheva, *New SEC Chairman is Changing the Regulator's Approach*, AXIOS (Jun. 5, 2021) (quoting interview with me).

Jennifer Williams-Alvarez, *SEC Settlements and Private Litigation*, AGENDA (Jan. 19, 2021) (quoting interview with me and discussing my paper “Gatekeeping in the Dark”).

Carl Ayers, *SEC Attorneys And The Revolving Door*, REGULATORY COMPLIANCE WATCH (Nov. 19, 2020) <https://www.regcompliancwatch.com/sec-attorneys-and-the-revolving-door> (quoting interview with me and discussing my paper “The Non-Revolving Door”).

Anna Monteiro, *SEC 13F Threshold May Be Down But Not Yet Dead*, FINEXTRA (Nov. 18, 2020) <https://www.finextra.com/blogposting/19542/sec-13f-threshold-proposal-may-be-down-but-not-yet-dead> (discussing my paper “Beyond ‘Going Dark’”).

Alicia McElhaney, *Why The SEC May Have Scrapped Its Controversial 13F Proposal*, INSTITUTIONAL INVESTOR (Oct. 30, 2020) <https://www.institutionalinvestor.com/article/b1p176msszqf3p/Why-the-SEC-May-Have->

[Scrapped-Its-Controversial-13F-Proposal](#) (quoting interview with me and discussing my paper “Beyond ‘Going Dark’”).

Lara Crigger, *Impact of SEC’s 13F Change Murky*, ETF.COM (Sept. 28, 2020) <https://www.etf.com/sections/features-and-news/impact-secs-13f-change-murky> (quoting interview with me).

Lara Crigger, *Legal Questions Circle SEC’s 13F Plan*, ETF.COM (Sept. 10, 2020) <https://www.etf.com/sections/features-and-news/legal-questions-circle-secs-13f-plan?nopaging=1> (quoting from interview with me and discussing my *Yale JREG Notice and Comment* analysis entitled: “The SEC’s Proposal To Raise The § 13(f) Reporting Threshold Rests on a Misinterpretation of the Provision’s Legislative History”).

Benjamin P. Edwards, *Alex Platt on SEC Enforcement*, IPSE DIXIT PODCAST (June 5, 2020) <https://shows.acast.com/ipse-dixit/episodes/alex-platt-on-sec-enforcement> (interviewing me about my paper *Gatekeeping in the Dark*).

Benjamin P. Edwards, *Gatekeeping in the Dark*, BUSINESS LAW PROF BLOG (Jun. 4, 2020) https://lawprofessors.typepad.com/business_law/2020/06/gatekeeping-in-the-dark.html (discussing my paper *Gatekeeping in the Dark*).

Andrew K. Jennings, *Alexander I. Platt on Piggyback Securities Litigation*, BUSINESS LAW SCHOLARSHIP PODCAST (May 12, 2020) <https://andrewkjennings.com/2020/05/12/alexander-platt-on-piggyback-securities-litigation/> (interviewing me about my paper *Gatekeeping in the Dark*).

Christine Idzelis, *How These Companies Got Back In State Street’s Good Graces*, INSTITUTIONAL INVESTOR (Sept. 5, 2019) <https://www.institutionalinvestor.com/article/b1h13tkhp2mz34/How-These-Companies-Got-Back-in-State-Street-s-Good-Graces> (discussing my paper *Index Fund Enforcement*).

Christine Idzelis, *Index Fund Giants Play Overlooked Role as Corporate Cops*, INSTITUTIONAL INVESTOR (Sept. 3, 2019) <https://www.institutionalinvestor.com/article/b1h07nlvnp3f6n/Index-Fund-Giants-Play-Overlooked-Role-as-Corporate-Cops> (discussing my paper *Index Fund Enforcement*).

T.E., *Who Has The Right To Judge Americans?*, THE ECONOMIST (May 2018) <https://www.economist.com/the-economist-explains/2018/05/15/who-has-the-right-to-judge-americans> (discussing my paper *SEC Administrative Proceedings: Backlash and Reform*).

Adam Steinman, *Platt on Administrative Summary Judgment*, CIVIL PROCEDURE & FEDERAL COURTS BLOG (Apr. 27, 2017) <https://lawprofessors.typepad.com/civpro/2017/04/platt-on-administrative-summary-judgment.html> (highlighting my paper *Unstacking the Deck*).

New York; District of Columbia (retired); U.S. District Courts for the District of Columbia and the Southern District of New York; U.S. Courts of Appeals for the D.C. Circuit and Fourth Circuit; U.S. Court of Federal Claims

Last updated: Mar. 2023.