

JOHN W. CIOFFI
Department of Political Science
University of California, Riverside
Riverside, CA 92521
(951) 827-7269 (office)
(951) 827-3933 (fax)
email: john.cioffi@ucr.edu

CURRENT POSITION:

UNIVERSITY OF CALIFORNIA, RIVERSIDE
ASSISTANT PROFESSOR, DEPARTMENT OF POLITICAL SCIENCE
(July 2001 to present)

Primary research areas: Comparative corporate governance (encompassing financial regulation, corporate law, labor relations law); public law and comparative regulation; comparative political economy; law and political economy (American and comparative); legal and regulatory reform

Teaching Fields: Comparative political economy, regulation and regulatory politics (American and comparative), constitutional law (federal structure and powers, civil liberties, and criminal procedure), law and policy in the digital economy

Current Book Project: *Public Law and Private Power: The Comparative Political Economy of Corporate Governance Reform in the Age of Finance Capitalism*

EDUCATION:

UNIVERSITY OF CALIFORNIA, BERKELEY
DEPARTMENT OF POLITICAL SCIENCE, DOCTORAL PROGRAM
Ph.D. 2002, M.A. 1995

Dissertation: *Public Law and Private Power: The Comparative Political Economy of Corporate Governance in the United States and Germany*

Fields of Study: Public Law, Comparative Politics, Political Theory

RUTGERS UNIVERSITY, SCHOOL OF LAW-NEWARK
J.D. awarded with High Honors, June 1990

Articles Editor, Women's Rights Law Reporter

RUTGERS UNIVERSITY, RUTGERS COLLEGE
B.A. awarded with High Honors, May 1986 (Double Major: Political Science and English)

FELLOWSHIPS and GRANTS

UNIVERSITY OF CALIFORNIA, RIVERSIDE

Research Fellowship, Max Planck Institute for Social Research, Cologne, Germany, (Summer 2003)

Academic Senate Research Grant, University of California, Riverside (2003-2004)

Academic Senate Research Grant, University of California, Riverside (2002-2003)

Academic Senate Research Grant, University of California, Riverside (2001-2002)

Departmental Research Grant, Department of Political Science, University of California, Riverside (2001-2002)

UNIVERSITY OF CALIFORNIA, BERKELEY

Continuing Student Fellowship, Department of Political Science, University of California, Berkeley (2000-2001)

Simpson Dissertation Fellow, Institute of International Studies, University of California, Berkeley (2000-2001)

Hewlett Dissertation Write-Up Fellowship, Institute of International Studies, University of California, Berkeley (2000-2001)

National Science Foundation Dissertation Research Grant, Public Law Program, Grant No. SES-9906158, for "Dissertation Research: Public Law and Private Power: The Comparative Political Economy of Corporate Governance in the U.S. and Germany" (1999-2001)

Humanities Research Travel Grant, University of California, Berkeley (1999)

Sharlin Fellowship, Institute of International Studies, University of California, Berkeley (1999-2000)

Regents Fellowship, University of California, Berkeley (1994-1998)

HONORS and AWARDS:

UNIVERSITY OF CALIFORNIA, BERKELEY

Departmental Nominee, Best Dissertation in Political Economy (2000-2002), American Political Science Association, Organized Section on Political Economy

Outstanding Graduate Student Instructor, 1995-1996

Nominee: Outstanding Graduate Student Instructor, Constitutional Law Part A (Fall 1995); Constitutional Law, Part B (Spring 1996); The Politics of Economic Adjustment (Fall 1997)

Distinction on Public Law Qualifying Doctoral Examination (Spring 1997)

RUTGERS UNIVERSITY, SCHOOL OF LAW-NEWARK
Order of the Coif

West Publishing Company Scholarship Award for scholarly accomplishment

RUTGERS UNIVERSITY, RUTGERS COLLEGE
Departmental Honors in English and Political Science

Rutgers College General Honors Program

PRIOR ACADEMIC EMPLOYMENT:

UNIVERSITY OF CALIFORNIA, BERKELEY
Co-Instructor, Governance of the E-conomy, PS 149, PS 201C, with Prof. John Zysman
(Spring 2001; Spring 2000)

Graduate Student Instructor, American Constitutional Law, Part II, PS 157B
(Spring 1998; Spring 1996)

Graduate Student Instructor, The Politics of Economic Adjustment, PS 138B (comparative political economy) (Fall 1997)

Graduate Student Instructor, American Constitutional Law, Part I, PS 157A (Fall 1995)

RUTGERS SCHOOL OF LAW, NEWARK
Instructor, Legal Research & Writing
(1989-1990 academic year)

LEGAL EMPLOYMENT:

Attorney at Law, Debevoise & Plimpton
Litigation Department
875 Third Avenue, New York, New York 10022
(December 1991-May 1994)

Law Clerk to Hon. Dickinson R. Debevoise, United States District Judge
United States District Court, District of New Jersey
Martin Luther King Federal Courthouse, Newark, New Jersey 07102

(September 1990-September 1991)

Summer Associate, Debevoise & Plimpton

New York, New York

(June-August 1989)

Judicial Intern to Justice Marie L. Garibaldi, New Jersey Supreme Court

William J. Brennan Courthouse, Jersey City, New Jersey

(January-May 1989)

PUBLICATIONS:

ARTICLES:

“Restructuring ‘Germany, Inc.’: The Corporate Governance Debate and the Politics of Company Law Reform,” *Law & Policy*, vol. 24(4), pp. 355-402 (October 2002); republished on line by VC Experts, Encyclopedia Entry 13.12, “German Private Equity,” at http://vcexperts.com/vce/library/encyclopedia/documents_view.asp?document_id=811

“Governing Globalization? The State, Law, and Structural Change in Corporate Governance,” *Journal of Law and Society*, vol. 27, no. 4, pp. 572-600 (December 2000)

“State of the Art: A Review Essay on *Comparative Corporate Governance: The State of the Art and Emerging Research*,” *American Journal of Comparative Law*, vol. 48, no. 3, pp. 501-534 (Summer 2000)

Kazumasu Aoki and John W. Cioffi, “Poles Apart: A Comparative Study of Waste Management Regulation and Enforcement in the United States and Japan,” *Law and Policy*, vol. 21, no. 3, pp. 213-245 (July 1999)

John W. Cioffi, Robert A. Kagan and Kazumasu Aoki, “A Matter of Style: Environmental Regulation in Japan and the United States,” in Wieger Bakker and Frans van Waarden, eds., *Dutch Journal of Regulation, 1999-2000 Yearbook* (Amsterdam: Uitgeverij Boom, 1999), pp. 171-199, published in Dutch as “Een Kwestie van Stijl: Milieuwetgeving in Japan en de Verenigde Staten,” in Wieger Bakker and Frans van Waarden, red., *Ruimte Rond Regels: Stijl van Regulering en Beleidsuitvoering Vergeleken, Beleid en Maatschappij Jaarboek 1999-2000*

BOOK CHAPTERS:

“Expansive Retrenchment: The Regulatory Politics of Corporate Governance Reform and the Foundations of Finance Capitalism in the United States and Germany,” in Jonah Levy, ed.,

The State After Statism: New State Activities in the Age of Globalization and Liberalization (forthcoming, Harvard University Press, 2005)

“Governing Globalization? The State, Law, and Structural Change in Corporate Governance,” in Thomas Clarke, ed., *Corporate Governance: Critical Perspectives on Business and Management, Volume V: Contemporary Corporate Governance* (London and New York: Routledge, 2004)

“The State of the Corporation: State Power, Politics, Policymaking and Corporate Governance in the United States, Germany, and France,” in Martin Shapiro and Martin Levin, eds., *Transatlantic Policymaking in an Age of Austerity* (Washington, DC: Georgetown University Press, 2004)

John W. Cioffi and Steven S. Cohen, “The Advantages of Forwardness: The State, Law, and Corporate Governance in an Age of Globalization,” Chapter 10 in Steven Cohen and Gavin Boyd, eds., *Globalization and Corporate Governance: Strategic and Long Range Planning Issues* (Cheltenham, UK and Northampton, MA: Matthew Elgar, 2000), pp. 307-349

Kazumasu Aoki and John W. Cioffi, “Poles Apart: Industrial Waste Management Regulation and Enforcement in the United States and Japan” Chapter 2 (lead chapter) in Robert A. Kagan and Lee Axelrad, *Regulatory Encounters: The Regulatory Experiences of Multinational Corporations under Different Legal Regimes* (University of California Press, 2000), pp. 33-63

BOOK REVIEWS:

Review of Mark J. Roe, *The Political Determinants of Corporate Governance: Political Context, Corporate Impact* (Oxford University Press, 2003), *American Journal of Comparative Law* (forthcoming)

Review of Joseph A. McCahery, Piet Moerland, Theo Raaijmakers, and Luc Renneboog, editors, *Corporate Governance Regimes: Convergence and Diversity* (Oxford University Press, 2002), *American Journal of Comparative Law* (forthcoming)

WORKING PAPERS AND REPORTS:

Expansive Retrenchment: The Regulatory Politics of Corporate Governance Reform and the Foundations of Finance Capitalism, Institute of European Studies, University of California, Berkeley, Conference Paper (November 2003), posted at <http://ies.berkeley.edu/research/#sas>

Restructuring “Germany, Inc.”: The Corporate Governance Debate and the Politics of Company Law Reform, Institute of European Studies, University of California, Berkeley, Political Economy of International Finance, Working Paper PEIF-1, posted at

<http://repositories.cdlib.org/ies/peif/1> (April 15, 2002); republished online by VC Experts, posted at http://vcexperts.com/vce/library/encyclopedia/documents_view.asp?document_id=811

The Collapse of the European Union Directive on Corporate Takeovers: The EU, National Politics, and the Limits of Integration, BRIE Discussion Paper, Berkeley Roundtable on the International Economy (September 2001)

Governing Globalization? The State, Law, and Structural Change in Corporate Governance, BRIE Conference Paper No. 2 (Berkeley, CA: University of California, Berkeley Roundtable on the International Economy, 2000)

The Digital Economy in International Perspective: Common Construction or Regional Rivalry? An Analytical Summary, E-conomy Project™ Working Paper No. 1 (June 1999)

The Digital Economy in International Perspective: Common Construction or Regional Rivalry? Analytical Summary and Conference Report, prepared for the University of California E-conomy Project™, posted at <http://e-conomy.berkeley.edu/events/deip/summary.html> (June 1999)

Conference on Issues in Global Electronic Commerce, Analytical Summary and Conference Report, prepared for the University of California E-conomy Project™; the European Union Center of California; and the University of Southern California, Annenberg School of Communications (May 1999)

A Conference on the Legal and Policy Framework for Global Electronic Commerce, Conference Summary and Report, prepared for BRIE, the School of Information Management and Systems (SIMS), and the University of California E-conomy Project™ (April 1999)

ARTICLES AND PAPERS IN PROGRESS:

“Immoveable Objects and Irresistible Forces: Securities Litigation Reform and Sarbanes-Oxley’s Structural Re-Regulation of Corporate Governance”

“Revenge of the Law?: Securities Regulation, Tort-Reform, and Re-Regulation in the United States, 1992-2002”

“The Political Paradox of Finance Capitalism: Interests, Preferences, and Center-Left Politics in Corporate Governance Reform” (with co-author Martin Höpner)

“Dual Expansion: Finance Capitalism, Securities Regulation, and the Expansion of the Market and the Regulatory State”

“The Rise of Structural Regulation: Corporate Governance and Company Law Reform in the United States, Germany, and France During the 1990s”

“Mechanisms of Regulation: The Comparative Political Economy of Structural and Transparency Regulation in the United States and Europe”

ACADEMIC CONFERENCES AND INVITED TALKS:

The New Finance Capitalism: The Internationalization of Finance and the Political Foundations of Corporate Governance Reform, International Studies Association, Honolulu, Hawaii (March 2005)

Revenge of the Law?: Securities Regulation, Tort-Reform, and Re-Regulation in the United States, 1992-2002, The Politics and Economics of the Market, Gordon Policy Center and Department of Political Science, Brandeis University, Waltham Massachusetts (February 2005)

Left Parties, Political Constituencies, and Finance Capitalism, Comparative Corporate Governance in the Pacific Region, Pacific Rim Research Program and Institute on Global Conflict and Cooperation, University of California, San Diego (October 2004)

The Political Paradox of Finance Capitalism: Interests, Preferences, and Center-Left Politics in Corporate Governance Reform, with co-author Martin Höpner, American Political Science Association Annual Meeting, Chicago (August 2004)

Antitrust and Competition Policy in the Digital Era: Microsoft in the United States and European Union, guest lecture, Berkeley Roundtable on the International Economy, University of California, Berkeley (April 2004)

The Political Paradox of Finance Capitalism: Interests, Preferences, and Center-Left Politics in Corporate Governance Reform, with co-author Martin Höpner, Conference of Europeanists, Chicago, Illinois (March 2004)

Expansive Retrenchment: The Regulatory Politics of Corporate Governance Reform and the Foundations of Finance Capitalism, Conference on “The State After Statism,” Institute of European Studies, University of California, Berkeley (November 2003)

The Sarbanes-Oxley Act, Structural Regulation, and the Politics of Regulatory Reform in the United States, Colloquium on Regulation and Public Policy, Gordon Policy Center and Department of Political Science, Brandeis University, Waltham Massachusetts (October 2003)

“*Structural Regulation*”: *The Corporation and the Politics of Positional Goods in Germany and the United States*, German Studies Association, New Orleans, Louisiana (September 2003)

Expansive Retrenchment: The Regulatory Politics of Corporate Governance Reform and the Foundations of Finance Capitalism, American Political Science Association Annual Meeting, Boston, Massachusetts, (August 2003)

The Politics of Positional Goods: The Comparative Political Economy of Rules and Institutions in Corporate Governance Reform, conference on “The Politics of Corporate Governance,” Max Planck Institute for the Study of Societies, Cologne, Germany (July 2003)

The Politics of Company and Takeover Law Reform in Germany and the European Union, presentation at the Max Planck Institute for the Study of Societies, Cologne, Germany (July 2003)

State of the Corporation: Corporate Governance and Financial System Reform in the United States, Germany, and France, Conference on “The New Politics of Policymaking, Comparative Politics and Policymaking at the New Century,” Gordon Policy Center, Brandeis University (November 2002)

Mechanisms of Regulation and Mechanisms of Governance: The Political Economy of Corporate Governance Reform, Conference on “The State After Statism,” University of California, Berkeley (October 2002)

Accounting Standards as Industrial Policy, Faculty Seminar Convened by the Berkeley Roundtable on the International Economy and Boalt Hall School of Law, University of California, Berkeley (October 2002)

German Corporate Governance Reform in Comparative Perspective, American Political Science Association Annual Meeting, Boston, Massachusetts, (September 2002)

Restructuring Germany, Inc.: The Corporate Governance Debate and the Politics of Company Law Reform, Law & Society Association Annual Meeting, Vancouver, Canada (June 2002)

Control, Transparency, and the Politics of Company and Takeover Law Reform in Germany and the European Union, Conference of Europeanists, Council of European Studies, Chicago, Illinois (March 2002)

Restructuring Germany, Inc.? The Corporate Governance Debate and the Politics of Company Law Reform, paper presented at the Institute of European Studies, University of California, Berkeley (March 2002)

The New Legal Landscape of the Digital Economy, guest lecture, Berkeley Roundtable on the International Economy, University of California, Berkeley (March 2002)

Governance of the Digital Economy: Emerging Issues and Political Conflicts in Europe,

ETLA-BRIE Workshop on Collaborative Research on the Digital Economy, University of California, Berkeley (December 2001)

Comparative Capitalisms and Corporate Governance Regimes: A Comparative Analysis of Legal Change and Institutional Structure, talk delivered to Business, Government, and International Economy Unit, Harvard Business School, Cambridge (January 2001)

Comparative Capitalisms and Corporate Governance Regimes: A Comparative Analysis of Legal Change and Institutional Structure, talk delivered to the Department of Political Science Department, University of Washington, Seattle (November 2000)

Comparative Capitalisms and Corporate Governance Regimes: A Comparative Analysis of Legal Change and Institutional Structure, paper presented at the American Political Science Association Annual Meeting 2000, Washington, DC (September 2000)

Governing Globalization? The State, Law, and Structural Change in Corporate Governance, paper presented at the Law & Society Annual Meeting, Miami, Florida (May 2000)

Governing Globalization? The State, Law, and Structural Change in Corporate Governance, paper presented at the Council of European Studies Annual Conference, Chicago, Illinois (March 2000)

United Nations Ad Hoc Expert Committee Meeting on Economic Governance and Globalization: Conceptual and Policy Issues, Department of Economic and Social Affairs, New York, committee member and panel commentator on comparative corporate governance, regulatory politics, and development (September 1999)

The Advantages of Forwardness: The Interdependence of the State, Law, and Corporate Governance In an Age of Globalization, paper delivered and concluding commentator, Conference and Symposium on Corporate Governance and Globalization, St. Mary's University, Halifax, Canada (September 1999)

Social Values and the Comparative Law and Politics of Electronic Commerce, presentation at Conference on Issues in Global Electronic Commerce, Annenberg Center for Communication, University of Southern California, Los Angeles, California (May 1999)

Conference on Globalization, Europeanization, and Political Economy in Europe, Center for Advanced Study in Behavioral Sciences, University of California, Berkeley, commentator on comparative corporate governance and economic globalization (April 1998)

The Political Logic of Corporate Governance: The Constitution of the Firm in Comparative Perspective, paper delivered at the Law & Society Association Annual Meeting, Aspen, Colorado (June 1998)

Political Incorporation: The Comparative Political Economy of Corporate Governance and Juridical Structure, paper delivered at the Law & Society Association Annual Meeting,

Aspen, Colorado (June 1998)

A Comparative Analysis of Environmental Law, Regulation, and Regulatory Enforcement in the U.S. and Japan, paper delivered at the Sho Sato Conference on Socio-Legal Perspective on Regulation in the United States and Japan, Boalt Hall School of Law, University of California, Berkeley (April 1997)

Same Wine, Different Bottles: Waste Management Regulation in the United States and Japan, paper delivered at the Law & Society Association Annual Meeting, St. Louis, Missouri (May 1997)

ACADEMIC SERVICE:

UNIVERSITY OF CALIFORNIA, RIVERSIDE

Graduate Committee, Department of Political Science, University of California, Riverside (2005—)

Chair, Committee on Rules and Jurisdiction, Academic Senate, University of California, Riverside (2005-2006)

Member, Committee on Rules and Jurisdiction, Academic Senate, University of California, Riverside (2004—)

Member, Affiliated Faculty, Law and Society Program, College of Humanities and Social Sciences, University of California, Riverside (2001—)

Member, Committee in Charge, Asian Studies Program, University of California, College of Humanities and Social Sciences (2001—)

Member, Advisory Council, Program on Global Studies (POGS), University of California, College of Humanities and Social Sciences (2001—)

Member, Campus-Wide Search Committee for Position in Native American Sovereignty, Interdisciplinary Program in Native American Studies, College of Humanities, Arts and Social Sciences, University of California, Riverside (October 2003-May 2004)

Member, Faculty and Advisory Committee, Paralegal and Legal Nurse Consultant Certificate Programs, University of California, Riverside (Spring 2002—)

Member, Humanities Research Grant Committee, College of Humanities and Social Sciences, University of California, Riverside (Spring 2002)

Member, Search Committee for Position in American Politics, Public Policy, and Political Economy, Department of Political Science, University of California, Riverside

(2002-2003)

Member, Search Committee for Position in American Politics, Public Policy, and Political Economy, Department of Political Science, University of California, Riverside (2001-2002)

GENERAL

Grant Proposal Reviewer, National Science Foundation, Law and Social Science Program (2004)

Article Reviewer, Law & Policy (2004)

Article Reviewer, Law & Social Inquiry (2002—)

Article Reviewer, Law & Society Review (2002—)

RESEARCH EXPERIENCE AND AFFILIATIONS:

Editor and Editorial Board Member, Comparative Research in Law and Political Economy, Working Paper Series, Osgoode Hall Law School, York University (2005—)

Advisory Board Member, Comparative Research in Law and Political Economy, Research Network, Osgoode Hall Law School, York University (2004—)

Research Associate, Berkeley Roundtable on the International Economy (BRIE) (1998—)

Visiting Fellow, Max-Planck-Institute for Social Research
Cologne, Germany (Summer 2003)

Associate, Center for the Study of Fiduciary Capitalism
St. Mary's College School of Business, Moraga, CA (2002—)

Visiting Researcher, Wissenschaftszentrum Berlin für Sozial Forschung (WZB)
(Summer 1999, Fall 1999, Summer 2000)

Research Associate, Berkeley Comparative Legal Systems Project, Center for the Study of Law & Society, University of California, Berkeley (June 1995-July 1999)

Coordinator and Researcher, The Political Economy of Governance Study (PEGS), Joint Project of the Center for the Study of Law & Society and the Berkeley Roundtable on the International Economy (BRIE) (May-December 1998)

Research Assistant to Prof. Harold L. Wilensky, Institute for Governmental Studies and

Department of Political Science, University of California, Berkeley (June 1997-March 1998)

MISCELLANEOUS:

Assistant Counsel, New York Judicial Screening Committee

Reviewed applications and prepared evaluation reports on judicial candidates for the New York Supreme Court, First Department at the trial and appellate level.

(October 1992-October 1993)

Board of Directors and Treasurer, Rutgers Public Interest Law Foundation (PILF)

Raised and managed funds to subsidize law students' summer work in public interest law.

(September 1988-May 1990)

MEMBER:

American Political Science Association

Law and Society Association

Council of European Scholars

American Sociological Association

New York State Bar (retired from active practice)

New Jersey State Bar (retired from active practice)

BAR ADMISSIONS (retired from active standing):

State of New York

State of New Jersey

Southern District of New York

District of New Jersey