

**ASSOCIATION OF RICE ALUMNI
DISTINGUISHED ALUMNI AWARD NOMINATION FORM**

Nominee James Robert Doty
Phone office (202) 591-4150
Fax (202) 862-8430

Address (office)
Suite 800
1666 K Street, N.W.
Washington DC 20006-2803

Rice Class Year(s) 1962

Degrees/Majors/Years/Institutions
BA History, Rice '62
M.A. History, Harvard
Rhodes Scholar, Oxford
L.L.B. Yale '69

Occupation/Professional Field
senior government official
lawyer

Current Title/Position
Chairman of the Public Company Accounting Oversight Board;
previously Senior Partner, Baker Botts L.L.P.
previously General Counsel of the U.S. Securities and Exchange Commission

The Distinguished Alumni Award is designed to recognize Rice alumni who have advanced the interest and standards of excellence of Rice University through distinctive professional or volunteer careers. The following criteria will be considered:

a) advancement of the value of one's profession; exceptional expertise and dedication --

Jim has held with great distinction three different titles in the legal profession -- he was chosen by the SEC to head the PCAOB; chosen by his partners at Baker Botts to be head of its Washington office and a senior partner; and chosen by the President to be General Counsel of the SEC

b) significant professional innovations or research findings --

Considering that he has never studied accounting, the fact that he is head of the PCAOB speaks volumes about his abilities to learn new fields and to dominate thinking in them. He was recently awarded the Foreign Policy Association's 2011 Statesman Award for his promotion of international audit integrity

c) significant voluntary contributions of energy, time, creativity, and skills for the advancement of the community welfare, the arts, education, social or government service --

He was an active volunteer for Rice during his time in Houston, starting as an undergraduate as president of Weiss College, and serving in several fund raising and ARA committee capacities. He was also lead outside lawyer for Rice for a time before it had an inhouse legal department.

Please attach a curriculum vita or other biographical information for the above nominee, describing his or

her professional achievements, honors and awards, publications/inventions/innovations, and professional/civic activities, boards or affiliations.

See below

In addition to the curriculum vita, please provide a short letter of recommendation describing the merits of the nominee. Consider the following question in support of the above criteria: **What qualities or achievements make this person a truly outstanding leader in his or her profession, and a role model for current Rice students?**

Please note that incomplete nomination forms cannot be considered.

See below

Nominated by Charles Szalkowski '70/'71

Phone 713-229-1480

Address

910 Louisiana Street
Houston Texas 77002

Please list two other people (i.e., colleague, classmate) whom you have asked to write a letter of support to further validate your nomination. The following four individuals have each agreed to write letters and send them to you:

1. E.W. Barnett '55, former chairman of Rice Board of Trustees

Relationship: former managing partner of Baker Botts, fellow Rice volunteer

910 Louisiana Street, Houston, Texas 77002

Phone 713-229-1337

ewbarnett@bakerbotts.com

2. Tom Eubank '51, former ARA president and former member of Rice Board of Governors

Relationship: former partner of Baker Botts, fellow Rice volunteer

910 Louisiana Street, Houston, Texas 77002

Phone 713-229-1688

tom.eubank@bakerbotts.com

3. Richard Breeden, former chairman of US Securities and Exchange Commission (while Doty was GC of SEC) [here's Richard Breeden's webbio:http://www.harrywalker.com/speaker/Richard-Breeden.cfm?Spea_ID=612 and his Wikipedia page: [http://en.wikipedia.org/wiki/Richard C. Breeden](http://en.wikipedia.org/wiki/Richard_C._Breeden)

100 Northfield Street, Greenwich CT 06830

Phone (203) 618-0065

rcb@BREEDENCO.com

4. Dick Wright '62, a Rice classmate and friend

13027 Kimberley Ln
Houston, Texas 77079-6111

PW001@alumni.rice.edu

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Here is Jim's official PCAOB biography:

James R. Doty was appointed by the Securities and Exchange Commission as the Chairman of the Public Company Accounting Oversight Board in January 2011.

From 1990 to 1992, Mr. Doty served as General Counsel of the SEC. In that role, Mr. Doty advised the Commission on matters of law and regulatory policy related to the Commission's oversight of U.S. securities markets, including initiatives relating to the integrity of financial reporting and disclosure standards in the context of the globalization of capital markets, enforcement practices and policies in the wake of the savings-and-loan crisis, international technical assistance and coordination efforts, and adoption of the Remedies Act of 1990.

Prior to and following his SEC service, Mr. Doty was a partner at the law firm of Baker Botts LLP, which he first joined in 1969. At Baker Botts LLP, he practiced securities and corporate law and counseled boards of directors and audit committees on regulatory and compliance matters, including matters arising under the Sarbanes-Oxley Act of 2002. He also represented the PCAOB in obtaining a successful result in the United States Supreme Court in the landmark challenge to its constitutionality, *Free Enterprise Fund v. PCAOB*.

Mr. Doty was presented with a 2011 Statesman Award by the Foreign Policy Association for his commitment to worldwide audit integrity.

Mr. Doty was raised in Houston, Texas. He earned a B.A. in History from Rice University and was a Rhodes Scholar at Oxford University in England. He also received a M.A. in History from Harvard University before getting an L.L.B from Yale Law School.

ARA Honors Committee

Ladies and gentlemen:

I hereby nominate my friend, James R. Doty '62, as Distinguished Alumnus of Rice University.

Jim holds a B.A. from Rice, where he distinguished himself by being elected president of Weiss College as an undergraduate and being chosen as a Rhodes Scholar to study at Oxford.

He studied history at Harvard but later decided to become a lawyer, graduating from Yale Law School in 1969.

He joined the distinguished law firm of Baker Botts in Houston in 1969 following his studies at Yale and became an outstanding corporate and real estate lawyer. He was elected to the partnership of Baker Botts and subsequently elected to be a senior partner. During his tenure at Baker Botts, he served as head of the Washington office of the law firm, and as a member of the firm's Executive Committee.

In 1990, he was tapped to become the General Counsel of the U.S. Securities and Exchange Commission and served in that role under Chairman Richard Breeden.

He returned to Baker Botts and became widely acclaimed as a speaker and nationally known expert on corporate governance and the securities industry. The law firm waived its otherwise mandatory retirement age for Mr. Doty, and asked him to remain at the firm long beyond when he would have otherwise retired.

In early 2011, Mr. Doty was named chairman of the U.S. Public Company Accounting Oversight Board, a quasi-governmental body created by Congress and charged with cleaning up accounting and auditing following the financial scandals of the early 2000s. He has now become widely hailed as an expert in the importance for the world economy of reliable financial reports and the audits thereof, and speaks frequently around the world.

Mr. Doty is also very proud of his connections with Rice, and has been an active, if sometimes remote, volunteer for Rice over the years, serving on fund-raising and ARA committees. He also led the Baker Botts team that represented Rice University before it had an in-house legal staff.

Virtually every senior auditor in the U.S., and every serious securities lawyer or securities regulator in the U.S.(and many around the world), knows of, and respects, James R. Doty. He is a truly distinguished alumnus of Rice.

And in addition, he is really great human being.

Sincerely,

Charles Szalkowski

James R. Doty Chairman



James R. Doty was appointed by the Securities and Exchange Commission as the Chairman of the Public Company Accounting Oversight Board in January 2011.

From 1990 to 1992, Mr. Doty served as General Counsel of the SEC. In that role, Mr. Doty advised the Commission on matters of law and regulatory policy related to the Commission's oversight of U.S. securities markets, including initiatives relating to the integrity of financial reporting and disclosure standards in the context of the globalization of capital markets, enforcement practices and policies in the wake of the savings-and-loan crisis, international technical assistance and coordination efforts, and adoption of the Remedies Act of 1990.

Prior to and following his SEC service, Mr. Doty was a partner at the law firm of Baker Botts LLP, which he first joined in 1969. At Baker Botts LLP, he practiced securities and corporate law and counseled boards of directors and audit committees on regulatory and compliance matters, including matters arising under the Sarbanes-Oxley Act of 2002. He also represented the PCAOB in obtaining a successful result in the United States Supreme Court in the landmark challenge to its constitutionality, *Free Enterprise Fund v. PCAOB*.

Mr. Doty was presented with a 2011 Statesman Award by the Foreign Policy Association for his commitment to worldwide audit integrity.

Mr. Doty was raised in Houston, Texas. He earned a B.A. in History from Rice University and was a Rhodes Scholar at Oxford University in England. He also received a M.A. in History from Harvard University before getting an L.L.B from Yale Law School.

RELATED INFORMATION

- [Public Statements of James R. Doty, Chairman](#)

Richard P. Wright

13027 Kimberley Lane
Houston, TX 77079
(713) 464-8965

August 21, 2012

Laureates Nominations Committee
Office of Alumni Affairs - MS 520
Rice University
P.O. Box 1892
Houston, TX 77251-1892

Ladies and Gentlemen:

I am pleased to write in hearty support of the nomination of James R. Doty (BA '62) for the 2013 award of Distinguished Alumnus by the Association of Rice Alumni.

His intelligence is reflected in his academic record, and his professional accomplishments on his resume. That resume on its face should be enough to qualify him for this award. I need not repeat it here.

Jim Doty has been my friend since we were undergraduates. We have remained in contact, with a few interruptions, since graduation. He remains faithful to old friends, even those he may far outpace in professional accomplishments. I can also tell you that he is devoted to his wife Joan, and to their children Kate and Dan. I have seen first-hand that he has successfully balanced his professional and personal lives. From a small family himself, he has blended smoothly with Joan's larger one. They appreciate and love him.

Jim has always been committed to volunteer service outside his field. No sooner had I moved back to Houston, than he recruited me to help in the old Houston Civic Music Association. He was already its President at 30. Shortly after, he was Senior Warden of the Episcopal Cathedral in Houston. His willingness to contribute his talents to a wide variety of worthwhile causes has never wavered.


He is also devoted to principles. From his days on the Honor Council at Rice, he has been a paradigm of integrity and honesty. His career has brought credit to his law firm as well as to his service at the Securities and Exchange Commission. Now he is again into public service as Chairman of the Public Company Audit Oversight Board. Those who know him well find it perfectly natural that he should have been appointed to this position, where he may effectively champion relevance, transparency and credibility in the information reporting of corporate institutions to their regulators and investors.

In accepting his Statesman Award from the Foreign Policy Association last December, Jim included the following comment in his remarks:

"Accounting and auditing provide the unpleasant facts. It should be no surprise that the strength of the audit skepticism — is subject to attack. Of course it is. Audits free people with the truth. Some will spare no expense to deny the people that freedom. Corruption depends on the frustration of transparency and accountability, because in truth the people will find resolve. ... we must consider reinforcing the audit, and using it as a tool to provide for better decisions. Skepticism is affected by culture. It does not thrive on its own. If discouraged, it will recede, and with it transparency and truth."

This statement is vintage Jim Doty, spot-on. At a time in life when he could retire and commit himself to his fondness for fly-fishing, here he goes defending truth once again — charging out to save the investors' world by opening a lot of windows and doors. And he might just make it happen.

Thanks to the ARA for this opportunity to support Jim's nomination.

Sincerely, 

E. WILLIAM BARNETT

3000 ONE SHELL PLAZA
HOUSTON, TEXAS 77002

August 14, 2012

Laureates Nominations
Office of Alumni Affairs - MS 520
Rice University
P.O. Box 1892
Houston, TX 77251-1892

The purpose of this letter is to support the nomination of Jim Doty for the Distinguished Alumnus Award.

Jim is an old friend who practiced law with me for many years and was one of the country's most respected advisors of corporations and boards of directors. With the passage of years, however, Jim has gravitated more towards public service. He spent several years as General Counsel of the Securities & Exchange Commission which was a time marked by many innovations in that important regulator of corporate America. And more recently, when many of his peers had pursued comfortable retirements, he accepted the SEC's appointment as Chairman of the Public Company Accounting Oversight Board, which is the principal overseer of the accounting profession. In this post, he has continued to pursue matters of great public interest.

On top of all this, he has been both a loyal Rice alum, and one of the most decent people I have ever known. He really does personify what we all hope Rice graduates will become.

Sincerely,

A handwritten signature in black ink, appearing to read "E. William Barnett". The signature is fluid and cursive, with the first letters of the first and last names being capitalized and prominent.

E. William Barnett

kw

J. THOMAS EUBANK
ONE SHELL PLAZA
910 LOUISIANA STREET
HOUSTON, TEXAS 77002-4995

August 14, 2012

Laureates Nominations
Office of Alumni Affairs-MS 520
Rice University
P.O. Box 1892
Houston, TX 77251-1892

Dear Friends:

I write to endorse and support the nomination of Jim Doty for the Association of Rice Alumni Distinguished Alumnus Award. It is indeed a great pleasure for me to write this letter because his accomplishments flow so directly and easily to the Award.

His academic record, I know, is not the basis for this Award, but that record is mentioned because it is equaled by his professional record, which is a basis for the Award. Here in brief is his academic record: B.A. 1962, Rice University; A.B. 1964, Oxford University; M.A. 1966, Harvard University; LL.B. 1969, Yale Law School. As most of us know, Jim attended Oxford as a Rhodes Scholar, the first ever for one from Rice as I recall. I also recall his academic record for another reason. In 1969 as he finished law school, he was hired by my law firm, Baker Botts, L.L.P., as a beginning lawyer. Later in that year, I became chairman of our firm's lawyer hiring committee and wondered seriously whether our new committee could equal our prior committee. The bar had been set high, very high.

Jim worked in our Houston office, where to no surprise he started rapidly becoming an outstanding lawyer. In due course he began moving into our corporate department, which was one of our two largest and most important areas of practice. It was a foregone conclusion that he would become a partner, and he did. The securities practice, an essential part of corporate law, attracted Jim to Washington D.C. and our office there. It was there that Jim and his practice moved to the national and international level, within and outside our firm.

From 1990 to 1992, Jim served as General Counsel of the Securities and Exchange Commission. He advised the Commission on matters of law and regulatory policy related to the Commission's oversight of U.S. securities markets, including initiatives relating to the integrity of financial reporting and disclosure standards in the context of the globalization of capital markets, enforcement practices and policies in the wake of the savings-and-loan crisis, international technical assistance and coordination efforts, and the adoption of the Remedies Act of 1990.

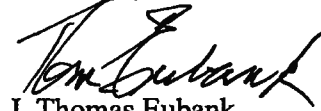
August 14, 2012

Early in 2011 Jim was appointed by the SEC as the Chairman of the Public Company Accounting Oversight Board. During that year he was presented with the Statesman Award by the Foreign Policy Association for his commitment to worldwide audit integrity.

Without a doubt, Jim has advanced the interests and standards of excellence of Rice University through a very distinctive and professional career. I cannot overemphasize how highly esteemed Jim is held by everyone who has dealt with him in his professional life. Moreover, his personal life reflects the high standard of Rice University principles that he has always sought to live by which have only endeared him to everyone who knows him and makes him such a delight to be around.

I highly recommend Jim Doty for the Association of Rice Alumni Distinguished Alumnus Award.

Sincerely yours,

A handwritten signature in dark ink, appearing to read "J. Thomas Eubank", written in a cursive style.

J. Thomas Eubank

JTE:tdc



Richard C. Breedden
Chairman and CEO

100 NORTHFIELD STREET
GREENWICH, CT 06830
TEL: 203.618.0065
FAX: 203.618.0063
rbreedden@breedenco.com

September 20, 2012

Ms. Gloria Tarpley
Association of Rice University Alumni
Rice University
P.O. Box 1892 MS 520
Houston, TX 77251

Re: Distinguished Alumnus Award -- James R. Doty

Dear Ms. Tarpley:

It is my distinct privilege to offer a seconding letter to the nomination of James R. Doty for the Rice University Distinguished Alumnus Award. I have known Jim Doty for nearly 30 years in both a personal and professional capacity, and we have spent countless hours together in settings ranging from a tiny fishing boat to the White House. In this letter I would like to share insights into his extraordinary intellect, character and personality. However, at the outset it is simply worth noting that Jim Doty brings personal excellence, along with grace and wit and charm, to everything he does. Though he also attended Harvard, Yale and Oxford University, Jim has always loved Rice University and been proud to talk about Rice everywhere he went. I cannot think of any combination of qualities that would make anyone else deserve this honor from Rice University more than Jim Doty.

Jim and I served together for several years in public service. I was Chairman of the U.S. Securities and Exchange Commission from 1989-1993, and Jim was my General Counsel during much of that time. Because he and I had been law partners together for several years, and I had complete faith in his judgment, Jim functioned more like my right arm than simply the Agency's chief lawyer. He helped me develop and define new policies at a time when technology and global economic changes were rapidly making old approaches to regulation of capital anachronistic. Instead of a slow-paced and insular domestic market for securities brokerage, we needed to adapt to global and electronic capital markets moving at the speed of light.



Perhaps it sounds simple today, given the evolution of those technologies in the intervening years, but there were no standards for such a world at that time. Most Americans then didn't own a cell phone, and no-one had ever heard of wi-fi or texting. Together with a group of extraordinarily talented colleagues, Jim and I helped think through how markets would evolve in response to technology, and what principles should guide our thinking to allow technology and competition to flourish while maintaining a financially robust and solvent system.

The collapse of the Soviet Union literally ushered in an era in which formerly socialist economies around the world needed help in developing new market-oriented systems. At the SEC, we were in the thick of helping countries all over the world revamp their financial systems to make a transition to a market-driven economy while protecting savers and investors. Jim and I travelled to Mexico, where we assisted Mexican officials with the first public offering of a Mexican company in the United States. We visited Argentina, where they were trying to restore a market economy after the ravages of decades of hyper-inflation. We visited China to advise senior government officials on issues they were encountering in opening the first two Chinese stock exchanges. We helped Hungary reopen its stock exchange after being closed for 42 years under Soviet occupation. In every one of these situations, Jim Doty helped lead the SEC's discussions.

As Chairman, I created an international division at the Commission, and also began an International Institute to train regulators from "emerging market" countries. Both of these initiatives continue to this day, and have gotten much larger. But Jim was there at the birth of these policies, and helped me to think through the issues and design programs that would prove of lasting benefit. I still remember him sitting at a dinner table talking to young economists from Mongolia and Poland about how to structure capital markets, while everyone was wearing truly awful cowboy hats and eating barbecue in the SEC's basement. In reality, Jim Doty was an ambassador to these young people who were at the forefront of historic change all over the world. Jim didn't just win friends for the SEC in those days. Rather, he single-handedly won friends for America.

Beyond the work with emerging markets, Jim and the other members of our senior team spent countless hours working with fellow regulators and economic officials in the UK, Italy, France, Switzerland, Japan, Hong Kong and many other countries trying to shape a stronger global system in light of new technological and economic realities. It required enormous intellectual effort to reconcile substantially different legal systems, different technologies and different market structures. For example, sharing information about criminal activity across borders is an accepted reality today, but Jim Doty was instrumental in assisting our colleague Michael Mann in his early and highly successful efforts to break



down barriers to detecting and stopping global securities fraud. Literally millions and millions of people benefitted from these efforts, yet neither Jim Doty nor Michael Mann ever asked for or received recognition for what they accomplished.

I first met Jim Doty when I joined the law firm of Baker & Botts in its Washington office in 1985. For me the time with Baker & Botts was a brief interregnum between serving as then-Vice President George H. W. Bush's Deputy Counsel, and later serving as Assistant to the President and co-head of domestic policy under President George H. W. Bush. Jim had joined Baker & Botts in 1969, and if there is a rival in his heart to his family or Rice University, it would be Baker & Botts.

When we met, Jim was a fairly influential corporate partner in the firm's Houston office, and he was thoroughly plugged in to the firm's leadership and culture. In those days, the firm's Washington office was about as close to the minds of most partners in the firm's Houston home base as Siberia. Nonetheless, Jim and I worked on one small matter together, and before I could count to three I found myself with a friend and mentor. Jim had no reason to spend time worrying about how I was fitting in at the firm, as he hadn't been associated in any way with recruiting me. However, he recognized that I was going through a big adjustment, and that I didn't really know anyone inside the firm.

Jim spent many hours getting to know me, and then helping me meet others. He explained the firm's traditions and expectations, and even at times gave me lessons in how to speak Texan. On one occasion he had to translate for me what someone had meant when they observed in a meeting that something under discussion was "worse than a dog sucking eggs". I doubt that too many Rhodes Scholars have had to do that, but it was natural for Jim to be a bridge between the world of classical education and his world in Houston because he was equally at home in both of those worlds.

Beyond being a great lawyer, Jim was always warm and genuinely friendly to me, though I soon learned that Jim Doty is warm and friendly to everyone he encounters in life. Jim genuinely cares about other people in every walk of life. Perhaps that is part of the bond that he shares with his lovely wife Joan, whose father was a senior clergyman. Whatever the cause, I have seen Jim spend countless hours mentoring young people. Indeed, during our years together at the Securities and Exchange Commission, Jim spent endless amounts of time on top of his other responsibilities looking out for the people in his large office, and finding ways to help them personally and professionally. He made a particular priority out of helping mentor and encourage talented lawyers who were African-American, Hispanic, women and disabled, and who had been overlooked in promotions inside the SEC prior to our arrival.



Of course one of the things that anyone recognizes immediately about Jim Doty is his extraordinary education and intellect. Jim has always been fiercely proud of Rice University, and hugely loyal to the University. But beyond a strong alumni spirit, Jim has been a living example of excellence in scholarship and learning. Once at the SEC we were at a gathering of staff marking one of the anniversaries of my becoming Chairman. Jim gave a totally impromptu talk about my tenure as Chairman to the people gathered in a conference room. As part of his remarks, he described my efforts as Chairman as being similar to those of "Horatius at the Bridge". It was one of those things that Jim would say without giving it a second thought. To Jim, the story told in Lord Macaulay's classic poem was the analogy from classic literature that popped into his head as most appropriate. It wasn't until I dug up the poem and read it for the first time that I understood the complement he had given me.

On another occasion, the U.S. Supreme Court took up a case challenging an interpretation of the federal securities laws that the Commission had adopted. Jim decided that he should personally argue the case before the Supreme Court, even though normally such arguments are handled by the Solicitor's office in the Justice Department. In this case even the Justice Department agreed that Jim should handle the argument, which he did quite successfully. While that was an occasion showcasing the depth and range of Jim's intellect, I saw it on display almost every day as he counseled all of the Commissioners on complex issues under the securities laws.

Jim was an outstanding General Counsel of the U.S. Securities and Exchange Commission. Beyond the intellect that was required, the fact that he gave up his law practice and moved his family half way across the country to do it shows the depth of his commitment to public service, which is another facet of his life. Of course his time at the SEC was simply preparation for the even larger responsibilities he has taken on as Chairman of the Public Company Accounting Oversight Board, or PCAOB.

It would extend this letter beyond reasonable boundaries if I were to attempt to describe the myriad issues that Jim Doty and his colleagues at PCAOB struggle with every day, and their importance to the U.S. economy and to investors around the world. The PCAOB is not a household word, and it is not an agency that is well-known. However, the PCAOB is a 10 year old agency, and Jim Doty is helping form its character and history in a way that I believe will have an impact for decades to come. Jim could be doing many different things in either personal or professional life. But he decided to give several very precious years at this stage of his life to his country in selfless service. That commitment to serving a higher calling, and giving back to society, is something that Jim believes in very strongly.



Please forgive the length of this letter. Unfortunately, it does not do justice to a man who has given so enormously of himself to try to help improve the fairness and integrity of U.S. capital markets, as well as to raise a family and be a truly outstanding example of the values of our civilization. He is an extraordinarily talented human being, full of good humor and completely modest as well. Throughout his life he has been dedicated to family, friends, community and country. Jim has enriched the lives of all he has encountered, and I am quite sure that he will continue to do so throughout his life. Rice has every reason to be intensely proud of Jim Doty, and all he has accomplished in life.

Very truly yours,

Richard C. Breeden