**NYU Program on Corporate Compliance**

**and Enforcement**

**Achieving Safe and Responsible Enterprise:   
Principles of Effective Compliance and   
Emerging Enforcement Policy**

**May 8, 2015**

**New York University School of Law**

**Lester Pollack Colloquium Room**

**245 Sullivan Street (9th Floor)**

Program on Corporate Compliance and Enforcement

# Faculty Directors: Jennifer Arlen and Geoff P. Miller

# Executive Director: Serina M. Vash

The Program on Corporate Compliance and Enforcement is a law and policy program dedicated to developing a richer and deeper understanding of the causes of corporate misconduct and the nature of effective enforcement and compliance. Through practical discourse and legal scholarship, PCCE seeks to help shape optimal enforcement policy, guide firms in developing more effective and robust compliance programs, and enhance education in the field of corporate compliance and enforcement.

Conference Objectives

The conference will bring together academics, compliance officials, risk-management officers, general counsels, enforcement officials, and private attorneys to discuss principles of effective compliance, optimal compliance objectives, balancing the requirements of compliance programs with fundamental business objectives, and understanding both organizational structure and organizational behavior in achieving compliance with the law. From an enforcement perspective, the conference will consider how enforcement policy can best be structured to support, promote and reward effective corporate compliance efforts.

The afternoon presentation, entitled Consultation: ALI Principles of the Law, Compliance, Enforcement, and Risk Management for Corporations, Nonprofits and Other Organizations, will provide an opportunity for dialogue between conference participants and the Reporters for the newly-announced American Law Institute Project, Principles of the Law, Compliance, Enforcement, and Risk Management for Corporations, Nonprofits and Other Organizations.

**Agenda**

**NYU Program on Corporate Compliance and Enforcement**

**Achieving Safe and Responsible Enterprise: Principles of Effective**

**Compliance and Emerging Enforcement Policy**

**New York University School of Law,   
Lester Pollack Colloquium Room – 9th Floor**

**Furman Hall**

**245 Sullivan Street**

*This event has been approved for up to 8.5 New York State CLE credits for attendance at the entire event, 1.5 of which are ethics credits for attendance at the keynote luncheon.   
It is appropriate for newly admitted attorneys as well as experienced attorneys.*

**Chatham House Rule:** Participants are free to use the information received,

but neither the identity nor the affiliation of the speaker(s) may be revealed.

The rule will not apply to the luncheon keynote address.

**Friday May 8, 2015**

**8:00 a.m. – 9:00 a.m. Registration and Continental Breakfast   
Lester Pollack Colloquium Room**

**9:00 a.m. – 9:15 a.m. Opening Remarks** – Dean Trevor Morrison   
 **Morning Sessions**

**9:15 a.m. – 10:15 a.m. Principles of Effective Compliance**

**Moderator: Geoffrey P. Miller**Geoffrey P. Miller, Stuyvesant P. Comfort Professor of Law and Faculty Co-Director, Program on Corporate Compliance and Enforcement, New York University Law School

**Jeff Benjamin,** Senior Vice President, General Counsel and Chief Ethics & Compliance Officer, Avon

**Jeffrey H. Knox,** Partner, Simpson Thacher & Bartlett LLP

**Jules Kroll**, Chairman and Co-Founder, K2 Intelligence

**Kathryn Reimann,** Chief Compliance Officer, Global Consumer Group, Citigroup Inc.

**10:15a.m. – 10:30 a.m. Coffee/Tea Break**

**10:30 a.m. – 11:30 a.m. Who’s in Charge? The Interplay of Corporate Control Offices in Achieving Effective Compliance**

**Moderator: James Fanto,** Gerald Baylin Professor of Law, Brooklyn Law School

**Martine M. Beamon**, Partner, Davis Polk & Wardwell, LLP

**E. Scott Gilbert**, Senior Vice President and Chief Risk & Compliance Officer, Marsh & McLennan Companies, Inc.

**Lisa K. Polsky**, Executive Vice President and Chief Risk Officer, CIT Group, Inc.  
 **11:30 a.m. – 11:45 a.m. Coffee/Tea Break  
  
11:45 a.m. – 1:00 p.m. Attaining Reasonable and Effective Compliance: An Enforcement Perspective**

**Moderator: Jennifer Arlen**, Norma Z. Paige Professor of Law and Faculty Co-Director, Program on Corporate Compliance and Enforcement, New York University Law School

**Daniel Alter** – Senior Fellow, NYU Law School Program on Corporate Compliance and Enforcement and former General Counsel, New York State Department of Financial Services

**Andrew J. Ceresney** –Director, Division of Enforcement, Securities and Exchange Commission

**Marshall L. Miller** - Acting Principal Deputy Assistant Attorney General and Chief of Staff, Criminal Division, United States Department of Justice

**John F. Savarese**, Partner, Wachtell, Lipton, Rosen & Katz

**Richard B. Zabel**, Deputy United States Attorney for the Southern District of New York

**1:00 p.m. – 2:30 p.m. Luncheon Keynote Address  
Lipton Hall**

**110 West Third Street**

**Introduction: Geoffrey P. Miller**

**Keynote Speaker: Donald C. Langevoort**, Thomas Aquinas Reynolds Professor, Georgetown University Law Center

The lunchtime keynote address will be presented by Georgetown Law Professor

Donald Langevoort, the nation’s leading scholar in the field of behavioral compliance

and law.

**Afternoon Sessions**

**2:30 p.m. – 5:45 p.m. ALI Principles of the Law, Compliance, Enforcement, and Risk Management for Corporations, Nonprofits and Other Organizations**

**Lester Pollack Colloquium Room**

**Discussion Facilitator: Serina M. Vash**, Executive Director, Program on Corporate Compliance and Enforcement, New York University Law School

**2:30 p.m. – 3:15 p.m. Compliance**

**Chief Reporter: Geoffrey Miller**

**3:15 p.m. – 4:00 p.m. Risk Management**

**Associate Reporter: Claire Hill**, James L. Krusemark Chair in Law, University of Minnesota Law School

**4:00 p.m. – 4:15 p.m. Coffee/Tea Break  
Lester Pollack Colloquium Room**

**4:15 p.m. – 5:00 p.m. Corporate Governance**

**Associate Reporter: James Fanto**

**5:00 p.m. – 5:45 p.m. Enforcement**

**Associate Reporter: Jennifer Arlen**

**5:45 p.m. – 7:00 p.m. Reception**

**Lester Pollack Colloquium Atrium**

**Conference Keynote Speaker**

**Donald C. Langevoort**, Thomas Aquinas Reynolds Professor, Georgetown University Law Center

Prior to joining the Georgetown University Law Center faculty in 1999, Professor Langevoort was the Lee S. and Charles A. Speir Professor at Vanderbilt University School of Law, where he joined the faculty in 1981. The courses Professor Langevoort teaches are Contracts, Securities Regulation, various seminars on corporate and securities issues, and Corporations. Professor Langevoort has received the Frank Flegal Teaching Award at Georgetown and the Paul J. Hartman Award for Excellence in Teaching at Vanderbilt. He has been a visiting professor at Harvard Law School and the University of Michigan Law School and a lecturer at the Washington College of Law, American University. After practicing for two years at Wilmer, Cutler & Pickering in Washington, D.C., he joined the staff of the U.S. Securities & Exchange Commission as Special Counsel in the Office of the General Counsel. Professor Langevoort is the co-author, with Professors James Cox and Robert Hillman, of Securities Regulation: Cases and Materials (Aspen Law & Business), and the author of a treatise entitled Insider Trading: Regulation, Enforcement and Prevention (West Group). He has also written many law review articles, a number of which seek to incorporate insights from social psychology and behavioral economics into the study of corporate and securities law and legal ethics. Professor Langevoort has testified numerous times before Congressional committees on issues relating to insider trading and securities litigation reform.

*Acknowledgements*

The Program on Corporate Compliance and Enforcement would like to thank the following people for their help. This conference would not have been possible without them:

Dean Trevor W. Morrison

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Bruce White

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### Contribute

The Program on Corporate Compliance and Enforcement welcomes tax-deductible donations to further its policy missions of promoting effective policies concerning corporate compliance and enforcement, as well as its mission of enhancing the opportunities and training available to NYU students and alumni interested in these areas. We were founded with seed money from the law school and must transition to being self-sustaining over the next two years.

To contribute, please follow [law.nyu.edu/giving](https://secure.imodules.com/s/1068/GroupLaw/index.aspx?sid=1068&gid=3&pgid=541&cid=1421). When you reach the second page of the process, enter the amount of your contribution in the “other designations” box and in the text field below, enter “Program on Corporate Compliance and Enforcement” or e-mail us directly at  [law.pcce@nyu.edu](mailto:law.pcce@nyu.edu).

### Contact

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