

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

**Program on Corporate Compliance and Enforcement
May 8, 2015**

This one-day, invitation only conference will bring together leaders in the compliance and enforcement worlds—academics, compliance officials, general counsels, government officials, defense lawyers and judges — to discuss the principles of effective corporate compliance and emerging enforcement issues.

The morning sessions will focus on principles of effective compliance; the interplay of corporate controls on achieving effective compliance; and how to treat corporate compliance in terms of enforcement policy.

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.

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**.

8:30 – 9:00

Breakfast and Registration

9:00-9:15

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

9:15 – 10:15

Principles of Effective Compliance

Moderator: Geoffrey Miller

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

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

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

Jules Kroll, Chairman and Co-Founder, K2 Intelligence

10:15 – 10:30

Coffee Break

10:30 – 11:30

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

Lisa K. Polsky, Executive Vice President and Chief Risk Officer, CIT Group, Inc.

Kenneth S. Siegel, Chief Administrative Officer and General Counsel, Starwood Hotels & Resorts Worldwide, Inc.

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

Robert W. Werner, Group General Manager and Head of Group Financial Crime Compliance. HSBC Holdings PLC

11:30 – 11:45

Coffee Break

11:45 – 1:00

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

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

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

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

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

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

1:00 – 2:30

Lunch

Keynote Speaker: Donald C. Langevoort, Thomas Aquinas Reynolds Professor, Georgetown University Law Center, will provide insights from social psychology and behavioral economics into the study of corporate compliance and legal ethics

2:30 – 5:30

ALI Principles of the Law, Compliance, Enforcement, and Risk Management for Corporations, Nonprofits and Other Organizations

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

2:30 – 3:15

Compliance
Reporter: Geoffrey Miller

3:15 – 4:00

Enforcement
Associate Reporter: Jennifer Arlen

4:00 – 4:15

Coffee Break

4:15 – 5:00

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

5:00 – 5:45

Corporate Governance
Associate Reporter: James Fanto

5:45 – 6:45

Reception