File: APPRCOCO25.3 · Proof: 5 · Date: 11.11.24 · MB

Program on
Corporate Compliance
and Enforcement
at NYU School of Law

Faculty Director
Jennifer H. Arlen '86
jennifer.arlen@nyu.edu

Executive Director
Joseph P. Facciponti
joseph.facciponti@nyu.edu

Director of Operations
Carolyn Pautz, PhD
carolyn.pautz@nyu.edu

Acknowledgments

PCCE would like to thank the people who provided us with their support and expert advice to help us prepare for this event, including: The PCCE Board of Advisors, Bart Schwartz and Guidepost Solutions, and the Comfort Innovation Fund.

NYU LAW

Join, Contribute, Contact

We invite you to contact PCCE if you wish to join, contribute to our mission, inquire about one of our events or projects, or bring to our attention a case or public policy issue.

Become a Subscriber

To become a subscriber, please visit the following address: www.law.nyu.edu/centers/corporatecompliance/joincontributecontact

You will be entered into our database to receive invitations to events. You also can sign up to receive our blog.

Contribute

The Program on Corporate Compliance and Enforcement is entirely self-funded and relies on and welcomes tax-deductible donations. To contribute, please go to www.law.nyu.edu/giving and enter the amount of your contribution in the "Other Designation" box and specify "Program on Corporate Compliance and Enforcement" in the text field below that. Or send an email directly to jennifer.arlen@nyu.edu

Contact

To find out more about the Program on Corporate Compliance and Enforcement or to comment on our events, news, or blog posts, visit us on our website at www.law.nyu.edu/centers/corporatecompliance or send us an email at law.pcce@nyu.edu

Program on
Corporate Compliance
and Enforcement
at NYU School of Law

New Directions in Corporate and Individual Enforcement

Friday, November 22, 2024

New York University School of Law
Furman Hall, Lester Pollack Colloquium Room
245 Sullivan St, 9th Floor, New York, NY





Conference Objective

The conference will bring together academics, government officials, general counsel, compliance officers, information security and privacy professionals, and expert external counsel for an off-the-record discussion of how to manage effective privacy and cybersecurity programs, focusing on areas of legal risk, regulatory demands, disclosure requirements, and increasing threats.

The conference will explore the impact of the Department of Justice's new corporate and individual enforcement policies, how to effectively address corporate recidivism, developing issues in enforcement for AI misuse and fraud, and the Securities and Exchange Commission's focus on material cyber disclosures and the SolarWinds case.

Keynotes will be given by **Nicole Argentieri**, Principal Deputy Assistant Attorney General, Criminal Division, DOJ; and **Sanjay Wadhwa**, Acting Director, Division of Enforcement, SEC.

PCCE Conference Rule

To encourage frank, open analysis of issues and the sharing of information, our conferences and roundtables are governed by the following rule:

> Participants are free to use the information received, but all content at this PCCE event is not for attribution, in whole or in part. Specifically, neither the identity of the person who makes the comment nor his or her affiliation (including whether he or she is a government or private-sector employee) may be revealed. PCCE does not videotape or otherwise record an event (or any segment of an event) governed by this rule, unless otherwise noted in the program.

To promote future communication among participants, PCCE publishes conference and roundtable programs and includes a list of speakers on its website. In addition, PCCE takes photographs of speakers and attendees, some of which are included on the PCCE website, on social media, and in our brochure. Your attendance at PCCE events constitutes permission for us to use photographic and identifying information for such purposes.

Continuing Legal Education

The event is expected to qualify for six New York State CLE credits, including two credits in cybersecurity. It is appropriate for newly admitted attorneys, as well as experienced attorneys. Attendees who hold privacy certifications from the International Association of Privacy Professionals (IAPP) may apply for Continuing Privacy Education (CPE) credits for the afternoon panels on IAPP's website.

New Directions in Corporate and Individual Enforcement

Friday, November 22, 2024

New York University School of Law
Furman Hall, Lester Pollack Colloquium Room, 245 Sullivan St, 9th Floor, New York, NY

Program

8:30–8:55 A.M. — **Registration & Continental Breakfast**

9:00–9:05 A.M. — **Welcome & PCCE Rule**
Jennifer Arlen, Faculty Director, PCCE

9:05–10:15 A.M. — **Panel: Assessing the Impact of DOJ's Reforms to Corporate and Individual Enforcement Policy**
MODERATOR
Joseph Facciponti, Executive Director, PCCE
PANELISTS
Jennifer Arlen, Faculty Director, PCCE
Brad Karp, Chair, Paul Weiss Rifkind Wharton & Garrison
Jacquelyn M. Kasulis, Partner, Kirkland & Ellis
Marshall Miller, Principal Associate Deputy Attorney General, DOJ
Jennifer Zachary, General Counsel, Merck

10:15–10:30 A.M. — **Networking Coffee Break**

10:30–11:20 A.M. — **Keynote and Fireside Chat**
MODERATOR
Jennifer Arlen, Faculty Director, PCCE
SPEAKER
Nicole Argentieri, Principal Deputy Assistant Attorney General, Criminal Division, DOJ

11:20AM–12:30 P.M. — **Panel: Effectively Addressing Corporate Recidivism**
MODERATOR
Martine Beamon, Partner, Davis Polk & Wardwell
PANELISTS
Glenn Leon, Chief, Fraud Section, DOJ
Kristin Mace, Partner, Covington & Burling
David Meister, Partner, Skadden, Arps, Slate, Meagher & Flom
Hon. Jed Rakoff, U.S. District Judge for the Southern District of New York

12:45–1:45 P.M. — **Networking Lunch**

2:00–3:10 P.M. — **Panel: AI Enforcement**

MODERATOR

Avi Gesser, Partner, Debevoise & Plimpton

PANELISTS

Michael Atleson, Senior Staff Attorney, Bureau of Consumer Protection, FTC
Lisa Miller, Deputy Assistant Attorney General, Criminal Division, DOJ
Lucy Muzzy, Assistant General Counsel, Pfizer
Laura Weiss, Global Data Policy and Strategy Officer, Blackstone

3:10–3:25 P.M. — **Networking Coffee Break**

3:25–4:35 P.M. — **Panel: The SEC's Focus on Cybersecurity Disclosures and the SolarWinds Case**

MODERATOR

Joseph Facciponti, Executive Director, PCCE

PANELISTS

Antonia Apps, Director, New York Regional Office, SEC
Douglas Bloom, Managing Director, Co-Head Cybersecurity and Privacy Law, Morgan Stanley
George S. Canellos, Partner, Milbank
Judi Germano, Board Member, Dime Community Bank; Founder, GermanoLaw; Distinguished Fellow, NYU Center for Cybersecurity

4:40–5:30 P.M. — **Keynote and Fireside Chat**

MODERATOR

Joseph Facciponti, Executive Director, PCCE

SPEAKER

Sanjay Wadhwa, Acting Director, Enforcement Division, SEC

5:30–6:15 P.M. — **Networking Reception**

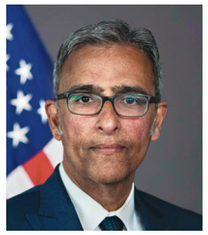
Keynotes



Nicole Argentieri

Principal Deputy Assistant Attorney General, Criminal Division, DOJ

Nicole M. Argentieri oversees the Division's more than 1,400 federal prosecutors and staff members who conduct investigations and prosecutions involving organized and transnational crime, violent crime, cybercrime, public corruption, money laundering, securities fraud, health care fraud, Foreign Corrupt Practices Act violations, Bank Secrecy Act and sanctions offenses, child exploitation, international narcotics trafficking, human rights violations, intellectual property theft, and other crimes, as well as matters involving international affairs and sensitive law enforcement techniques. Ms. Argentieri joined the Criminal Division in May 2022 as Chief of Staff to Assistant Attorney General Kenneth A. Polite Jr. Ms. Argentieri previously served in the Justice Department for more than a decade as an Assistant U.S. Attorney in the Eastern District of New York, where she was Chief of the Public Integrity Section among other leadership positions.



Sanjay Wadhwa

Acting Director of Enforcement, SEC

Sanjay Wadhwa has served as the Acting Director of the SEC's Division of Enforcement since October 2024. He was previously the Deputy Director, a role he was appointed to in August of 2021 by SEC Chair Gary Gensler. Mr. Wadhwa joined the Commission in 2003 as a Staff Attorney in the New York Regional Office (NYRO). Mr. Wadhwa served in increasingly senior roles at NYRO, including Assistant Director, Associate Director, and later Senior Associate Director; and he was co-head of NYRO's Enforcement program from April 2011 to August 2021. Mr. Wadhwa also was the inaugural Deputy Chief of the Market Abuse Unit. Prior to joining the Commission, Mr. Wadhwa was an associate at Cahill Gordon and at Skadden in New York. Mr. Wadhwa has a BBA from Florida Atlantic University, a JD from South Texas College of Law Houston, and an LLM in Taxation from New York University School of Law.

Board of Advisors

The Board of Advisors acts in an advisory capacity and does not directly determine or oversee PCCE's activities. All members of the PCCE Board of Advisors are unpaid and serve in their individual capacities.

Stephanie Avakian
Partner, WilmerHale LLP

Martine M. Beamon
Partner, Davis Polk & Wardwell LLP

Douglas Bloom
Managing Director and Co-Head, Cybersecurity and Privacy Law, Morgan Stanley

Benton J. Campbell
General Counsel, Deloitte

George S. Canellos
Partner and Global Head, Litigation & Arbitration Practice, Milbank, Tweed, Hadley & McCloy LLP

Maria Douvas
Chief Legal Officer, Royal Bank of Canada

Mike Ferrara
Partner, Hecker Fink LLP

Lawrence Gerschwer
Partner, Barnes & Thornburg LLP

Avi Gesser
Partner, Debevoise & Plimpton LLP

Daniel Gitner
Chief, Criminal Division, U.S. Attorney's Office for the Southern District of New York

Gurbir Grewal
Former Director, Division of Enforcement, U.S. Securities and Exchange Commission

Hon. Diane Gujarati
U.S. District Judge, U.S. District Court for the Eastern District of New York

Cheryl James
Vice President and Chief of Staff, New York Life Insurance Company

Randall W. Jackson
Partner, Wachtell, Lipton, Rosen & Katz

Bonnie B. Jonas
Co-Founder and Co-CEO, Pallas Global Group LLC; Partner, Jonas & Moller LLP

Daniel S. Kahn
Partner, Davis Polk & Wardwell LLP

Brad S. Karp
Chair, Paul, Weiss, Rifkind, Wharton & Garrison LLP

Bruce Karpati
Partner and Global Chief Compliance Officer, KKR

Jacquelyn M. Kasulis
Partner, Kirkland & Ellis LLP

Nancy Kestenbaum
Partner and Co-Chair, White Collar Defense and Investigations Practice, Covington & Burling LLP

Natalie Lamarque
General Counsel and Secretary, Principal Financial Group

Douglas Lankler
Executive Vice President and General Counsel, Pfizer Inc.

Sharon Cohen Levin
Partner, Sullivan & Cromwell LLP

Hon. Raymond J. Lohier Jr. '91
U.S. Circuit Judge, U.S. Court of Appeals for the Second Circuit

Hon. Loretta E. Lynch
Former U.S. Attorney General; Partner, Paul, Weiss, Rifkind, Wharton & Garrison LLP

M. Kristin Mace
Partner, Covington & Burling, LLP

Jonathan Martin
Vice President and Deputy General Counsel, Meta

David Meister
Partner, Skadden, Arps, Slate, Meagher & Flom LLP

Matt Miner
Chief Ethics and Compliance Officer, Walmart

Winston Paes
Partner, Debevoise & Plimpton LLP

Steven R. Peikin
Partner and Head, Securities and Commodities Investigations and Enforcement Practice, Sullivan & Cromwell LLP

Preston Pugh
Partner, Crowell and Moring LLP

Hon. Jed S. Rakoff
U.S. District Judge, U.S. District Court for the Southern District of New York

Michele Siano
Executive Vice President and Chief Compliance Officer, MetLife

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

David Szuchman
Senior Vice President and Global Head, Financial Crimes and Customer Protection, PayPal

My Chi To
Executive Vice President, Chief Legal Officer, and Corporate Secretary, Voya

Bruce E. Yannett '85
Deputy Presiding Partner and Chair, White Collar and Regulatory Defense Practice, Debevoise & Plimpton LLP

Douglas K. Yatter
Partner and Global Vice Chair, White Collar Defense & Investigations Practice, Latham & Watkins LLP

Jennifer Zachary
Executive Vice President and General Counsel, Merck & Co., Inc.