Program on
Corporate Compliance
and Enforcement
at NYU School of Law

Managing Effective Ethics and Compliance Programs in a Changing Regulatory Landscape

Friday, April 11, 2025

New York University School of Law, Lester Pollack Colloquium Room,
245 Sullivan Street, 9th Floor, New York, NY 10012





Conference Objective

The conference will bring together academics, government officials, general counsel, compliance officers, and expert external counsel for an off-the-record discussion of the future of compliance and how to maintain an ethical culture in the evolving regulatory landscape, including an examination of how to build an ethical business culture, encourage employees to speak-up and report potential misconduct, and how to manage risk in the use of Artificial Intelligence (AI).

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:

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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 1.5 credits in cybersecurity. It is appropriate for newly admitted attorneys, as well as experienced attorneys

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Program

8:50–9:00 A.M.	**Welcome and PCCE Rule** **Jennifer Arlen '86**, Faculty Director, PCCE
9:00–9:30 A.M.	**Keynote and Fireside Chat** MODERATOR: **Joseph Facciponti**, Executive Director, PCCE SPEAKER: **Adrienne A. Harris**, Superintendent, New York Department of Financial Services
9:30–9:40 A.M.	**Networking Coffee Break**
9:40–10:10 A.M.	**Presentation: Research on Internal Reporting and the Frequency of Undisclosed Misconduct** MODERATOR: **Jennifer Arlen '86**, Faculty Director, PCCE SPEAKER: **Eugene Soltes**, McLean Family Professor of Business Administration, Harvard Business School
10:15–11:15 A.M.	**Panel: Developing Effective Internal Whistleblower Programs and Fostering a Speak-Up Culture** MODERATOR: **Jennifer Arlen '86**, Faculty Director, PCCE PANELISTS: **Stephanie Avakian**, Partner, WilmerHale LLP **Erika Kelton**, Partner, Phillips & Cohen LLP **Eugene Soltes**, McLean Family Professor of Business Administration, Harvard Business School **George Soterakis**, Vice President, Head of Global Investigations Unit, Global Risk Management, MetLife
11:15–11:25 A.M.	**Networking Coffee Break**

11:25–11:55 A.M.

Presentation: Breaking Down Complex AI Concepts and the AB Inbev AI Compliance Case Study

MODERATOR: **Joseph Facciponti**, Executive Director, PCCE

SPEAKER: **Matt Galvin**, Former Counsel, Compliance and Data Analytics, DOJ Criminal Fraud Section and former Chief Ethics and Compliance Officer of AB InBev; Professor, Sorbonne Law School, Co-Founder Integrity Distributed

12:00–1:00 P.M.

Panel: Practical Risk Management Steps in the Development and Use of AI

MODERATOR: **Joseph Facciponti**, Executive Director, PCCE

PANELISTS:

Matt Galvin, Former Counsel, Compliance and Data Analytics, DOJ Criminal Fraud Section and former Chief Ethics and Compliance Officer of AB InBev; Professor, Sorbonne Law School, Co-Founder Integrity Distributed

Lynn Haaland, General Counsel, CLEAR

Carl Hahn, former Vice President, Chief Ethics & Compliance Officer, Northrup Grumman

Samantha Kappagoda, Independent Director, Credit Suisse Funds; Chief Data Scientist, Numerati® Partners LLC; Visiting Scholar, Courant Institute of Mathematical Sciences, New York University

1:00–2:00 P.M.

Networking Lunch

2:10–2:40 P.M.

Presentation: Building an Ethical Culture

MODERATOR: **Kathryn Reimann**, Independent Director, Lending Club; Senior Fellow, PCCE

SPEAKER: **Ann E. Tenbrunsel**, David E. Gallo Professor of Business Ethics, Mendoza College of Business, University of Notre Dame

2:45–3:55 P.M.

Panel: What Is the Future of Compliance in the New Regulatory and Enforcement Landscape?

MODERATOR: **Kathryn Reimann**, Independent Director, Lending Club; Senior Fellow, PCCE

PANELISTS:

Nancy Grygiel, Senior Vice President, Chief Compliance Officer, Amgen

Steven Peikin, Partner, Sullivan & Cromwell

Ann E. Tenbrunsel, David E. Gallo Professor of Business Ethics, Mendoza College of Business, University of Notre Dame

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

3:55–4:10 P.M.

Networking Coffee Break

4:10–5:00 P.M.

Keynote and Fireside Chat

MODERATOR: **Jennifer Arlen**, Faculty Director, PCCE

SPEAKER: **Therese Chambers**, Joint Executive Director, Enforcement and Market Oversight, U.K. Financial Conduct Authority

5:00–5:45 P.M.

Networking Reception

Keynotes and Speakers



Therese Chambers

Joint Executive Director, Enforcement and Market Oversight
Financial Conduct Authority

Therese Chambers began her career in private practice as a commercial litigator. She has spent more than 20 years in U.K. regulatory enforcement at the Financial Conduct Authority (FCA) and Financial Services Authority (FSA), running investigations and conducting litigation in relation to some of the most high-profile, complex, and challenging regulatory enforcement cases. She is an acknowledged expert on U.K. financial services regulation, and her experience and expertise covers the full range of the FCA's jurisdiction. Chambers is the joint Executive Director of Enforcement and Market Oversight, which brings together the FCA's investigation, enforcement, intelligence, and market oversight functions.



Matt Galvin

Former Counsel, Compliance and Data Analytics, DOJ Criminal Fraud Section; former Chief Ethics and Compliance Officer of AB InBev; Professor, Sorbonne Law School; Co-Founder, Integrity Distributed

Matt Galvin is the former Counsel, Compliance and Data Analytics for the Fraud Section of the Criminal Division of the U.S. Department of Justice (DOJ). Prior to joining the DOJ, Galvin was the Chief Ethics and Compliance Officer for AB InBev, a 180,000-employee company with operations across 60 countries, and he co-founded Integrity Distributed, a leading nonprofit dedicated to democratizing technologies that promote ethics and good corporate citizenship. Galvin is recognized as a leader in the application of data analytics to compliance, and has held positions at MIT, Havard Business School, Sorbonne Law, and Fordham Law.



Adrienne A. Harris

Superintendent, New York Department of Financial Services

Adrienne A. Harris joined the New York Department of Financial Services (NYDFS) in September 2021. Prior to joining NYDFS, Superintendent Harris practiced law at Sullivan & Cromwell LLC here in New York. She then served as Senior Advisor to Deputy Treasury Secretary Sarah Bloom Raskin before joining the White House National Economic Council where she managed the financial services portfolio for President Obama. After leaving the White House, Superintendent Harris served as General Counsel and Chief Business Officer at Doma and also served as a Professor and Faculty Co-Director at the University of Michigan's Gerald R. Ford School of Public Policy's Center on Finance, Law and Policy. Since taking over at NYDFS, Superintendent Harris has overhauled the agency and taken decisive actions on a series of defining issues including artificial intelligence, cybersecurity, and virtual currency.



Ann Tenbrunsel

David E. Gallo Professor of Business Ethics, Mendoza College of Business, University of Notre Dame

Ann E. Tenbrunsel is the David E. Gallo Professor of Business Ethics in the Mendoza College of Business Administration at the University of Notre Dame. She received her PhD and her MBA from Northwestern University and her BSIOE from the University of Michigan. Her interests focus on the psychology of ethical decision-making, examining why employees, leaders and students behave unethically, despite their best intentions to behave to the contrary. Tenbrunsel is the author, co-author, or co-editor of several books on this topic—including *Blind Spots* with Max Bazerman—and numerous research articles and chapters, and her work has been featured in numerous media outlets. Tenbrunsel teaches at the undergraduate, MBA and EMBA levels and has consulted for a variety of companies. Prior to entering academics, Tenbrunsel worked as an engineer for S.C. Johnson & Son and as a sales and marketing consultant for ZS Associates.



Eugene Soltes

McLean Family Professor of Business Administration, Harvard Business School

Eugene Soltes is the McLean Family Professor of Business Administration at Harvard Business School and the Founder/Director of Integrity Lab, a compliance analytics and advisory company. His expertise lies in the use of data and quantitative methods to analyze organizational culture and conduct. Soltes has supported organizations' development of data-driven compliance programs and has published in leading academic and practitioner journals on the use of data science to understand and evaluate compliance program design. He is the author of *Why They Do It: Inside the Mind of the White-Collar Criminal* and co-author of *Corporate Criminal Investigations and Prosecutions*.

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Acknowledgments

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