



Program on
Corporate Compliance
and Enforcement
New York University School of Law

Shifting Tides in Anti-Money Laundering Enforcement and Regulation

A panel discussion with **Ellen Lafferty**,
Justin Lerer, **Sharon Cohen Levin**,
Matthew Levine, and **Ellen Zimiles**.

Moderated by **Jonathan Rusch**

Wednesday, May 1, 2019
6:20–8:00 p.m.
New York University
School of Law

Lester Pollack Colloquium Room
245 Sullivan Street
9th Floor



Shifting Tides in Anti-Money Laundering Enforcement and Regulation

Panelists



Ellen Lafferty

**Senior Vice President and
U.S. Head of Anti-Bribery & Corruption,
HSBC Bank USA, N.A.**

Ellen Lafferty is the U.S. Head of Anti-Bribery & Corruption at HSBC Bank and is also a member of the Advisory Board for Compliance Programs at Fordham University School of Law, a Guest Lecturer in Financial Crime courses at Fordham, and a Visiting Faculty Member in the Financial Integrity Program at Case Western Reserve University School of Law.

Lafferty joined HSBC from Deutsche Bank, where she was the Americas Head of Anti-Bribery & Corruption. Prior to that position at Deutsche Bank, Lafferty was an AML Compliance Officer for the Global Transaction Bank and the Interim Head of AML for Deutsche Bank Cayman. She was previously a litigation attorney in private practice for 11 years at two different international law firms.

Lafferty received her B.S. in urban and regional studies from Cornell University's College of Architecture, Art, and Planning. She received her J.D. degree from Fordham University School of Law, where she was a Stein Scholar in Public Interest Law and Ethics.



Justin Lerer

**Counsel, Paul, Weiss, Rifkind,
Wharton & Garrison LLP**

Justin Lerer is Counsel at Paul, Weiss, Rifkind, Wharton & Garrison LLP. He has been involved in the defense at trial of the former chairman of a Fortune 20 corporation and the successful defense of the former chairman and CEO of a Fortune 500 corporation in federal criminal and regulatory investigations.

While at the U.S. Attorney's Office for the Eastern District of New York, Lerer was Co-Head of the Anti-Money

Laundering Strike Force and Acting Chief and Deputy Chief of the International Narcotics and Money Laundering Section (INMLS). While Lerer supervised INMLS, the office entered into a deferred prosecution agreement with HSBC addressing violations of the Bank Secrecy Act, International Emergency Economic Powers Act, and Trading with the Enemy Act. He received the Outstanding Financial Task Force Award from the Executive Office of the President, the Meritorious Civilian Service Award from the U.S. Navy, and the True American Hero Award from the Federal Drug Agents Foundation.

Lerer is a Trustee of the Horace Mann School. He was Executive Editor of the *Harvard Law Review*.



Sharon Cohen Levin

**Partner, Wilmer Cutler Pickering
Hale and Dorr**

Sharon Cohen Levin is a Partner at Wilmer-Hale in New York. She is a leading authority on anti-money laundering, the Bank Secrecy Act, economic sanctions, and asset forfeiture. Levin served for 19 years as Chief of the Money Laundering and Asset Forfeiture Unit in the Southern District of New York. During her tenure, she prosecuted and supervised many of the Department of Justice's most complex and significant money laundering, sanctions, and asset forfeiture prosecutions, including the investigation and prosecution of BNP Paribas, SAC Capital, Lebanese Canadian Bank, and 650 Fifth Avenue. Levin has worked closely throughout her career with state and federal banking regulators, the U.S. Treasury Department's Office of Foreign Assets Control, FinCEN, and the Department of Justice. As an internationally recognized authority on money laundering and asset forfeiture, she has been a keynote speaker, lecturer, and panelist for practitioners, law enforcement officials, judges, and international prosecutors on topics such as effective AML compliance, enforcement trends in the financial industry, money laundering, terrorist financing, U.S. economic sanctions, and art recovery.



Matthew L. Levine
Executive Deputy Superintendent
for Enforcement, New York State
Department of Financial Services

Matthew L. Levine serves as Executive Deputy Superintendent for Enforcement for the New York State Department of Financial Services. In that role, he oversees complex investigations and major monitorships implemented by the department at licensed financial institutions and serves as the main point of contact for other criminal and civil governmental authorities that conduct investigations of financial institutions (both domestic and foreign).

For nearly a decade, Levine served as an Assistant U.S. Attorney, first in the District of Columbia, and later in the Eastern District of New York. In the Eastern District, he was Acting Chief of the Business and Securities Fraud Section. Levine began his career at the U.S. Department of Justice (DOJ) as Deputy Director for Intergovernmental Affairs under Attorney General Janet Reno. Prior to becoming a federal prosecutor, he worked as a Litigation Associate at Paul, Weiss, Rifkind, Wharton & Garrison. Following his career at the DOJ, Levine was a principal at Fish & Richardson, as well as a founding principal of his own law firm.

Levine clerked for U.S. District Judge Barefoot Sanders in Dallas. He earned his J.D. at Columbia University School of Law and a B.A. in government at Lehigh University.



Jonathan J. Rusch (Moderator)
Senior Fellow, Program on Corporate
Compliance and Enforcement,
NYU School of Law

Jonathan J. Rusch is a lawyer and consultant on compliance issues, Adjunct Professor at Georgetown University Law Center, editor of *Dipping Through Geometries* (a blog focusing on law and compliance issues), and retired Senior Vice President and Head of Anti-Bribery &

Corruption Governance at Wells Fargo. Previously, Rusch was a federal prosecutor for 26 years in the Fraud Section of the U.S. Department of Justice's Criminal Division, most recently as Deputy Chief for Strategy and Policy. He also served as Director of the U.S. Department of the Treasury's Office of Financial Enforcement, Counsel to the President's Commission on Organized Crime, and an associate with a Washington, D.C., law firm. His awards include the Attorney General's Distinguished Service Award, the Attorney General's Award for Fraud Prevention, the United Kingdom Serious Organised Crime Agency Director General's Commendation, and the Georgetown University Vicennial Medal.



Ellen Zimiles
Managing Director and Financial
Services Advisory and Compliance
Segment Leader, Navigant

Ellen Zimiles is Head of Navigant's Financial Services Advisory and Compliance business segment and its Global Investigations & Compliance practice. She has more than 30 years of litigation and investigation experience, including 10 years as a federal prosecutor. As an Assistant U.S. Attorney in the Southern District of New York, Zimiles served in the Civil and Criminal Divisions and was Chief of the Forfeiture Unit for over six years. She was responsible for many high-profile money laundering, fraud, and forfeiture cases.

Zimiles is a leading authority on fraud control, anti-money laundering programs, corporate governance, foreign and domestic public corruption matters, regulatory and corporate compliance, and monitorships. She has worked with a multitude of financial institutions preparing for regulatory exams, developing remediation programs, and assisting organizations as a regulatory liaison.



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New York University School of Law
40 Washington Square South, Room 411
New York, NY 10012
(212) 992-8821
www.law.nyu.edu/pcce

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Jennifer H. Arlen

Faculty Director
jennifer.arlen@nyu.edu

Allison Caffarone

Executive Director
allison.caffarone@nyu.edu

Michelle L. Austin

Assistant Director
michelle.austin@nyu.edu

Jerome Miller

jerome.miller@nyu.edu

Continuing Legal Education

This event has been approved for up to 2 New York CLE credits in the Areas of Professional Practice category for those who attend the entire event. It is appropriate for newly admitted attorneys as well as experienced attorneys.

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