



Program on
Corporate Compliance
and Enforcement

New York University School of Law

Institute for
**Corporate
Governance
& Finance**

NYU School of Law

Fireside Chat with New CFTC Chairman Heath Tarbert

A Discussion with **Heath Tarbert**

Moderated by PCCE Director **Jennifer Arlen**
and ICGF Director **Edward Rock**

Tuesday, September 10, 2019

5:30–7:00 p.m.

New York University
School of Law

Greenberg Lounge

40 Washington Square South (First Floor)

Fireside Chat with New CFTC Chairman Heath Tarbert

Moderators



Jennifer H. Arlen

**Norma Z. Paige Professor of Law
Founder and Faculty Director, Program on
Corporate Compliance and Enforcement
New York University School of Law**

Jennifer Arlen '86 is a leading expert on corporate criminal enforcement. She currently is the Associate Reporter for enforcement for the American Law Institute's Principles of Law, Compliance, Enforcement, and Risk Management for Corporations. She was the President of both the American Law and Economics Association and the Society for Empirical Legal Studies (which she co-founded in 2005), and serves on the Editorial Board of the *American Law and Economics Review*.

Arlen received her B.A. from Harvard College (1982, magna cum laude in economics) and her J.D. (1986, Order of the Coif) and Ph.D. in economics (1992) from New York University. She has been a Visiting Professor at the California Institute of Technology, Harvard Law School, and Yale Law School, and was the Ivadelle and Theodore Johnson Professor of Law and Business at USC Gould School of Law before coming to NYU. She clerked for Judge Phyllis Kravitch on the U.S. Court of Appeals for the 11th Circuit. Arlen teaches Corporations, Business Crime, and a seminar on Corporate Crime and Financial Misdealing.



Edward Rock

**Martin Lipton Professor of Law
Director, Institute for Corporate
Governance & Finance
New York University School of Law**

Edward Rock is the Martin Lipton Professor of Law at NYU School of Law and Director of the Institute for Corporate Governance & Finance. He is also the Reporter for the American Law Institute's Restatement of Corporate Governance, launched earlier this year. His main areas of teaching and research are corporate law and corporate governance. In his 50 or so articles, he has written about poison pills, politics and corporate law, hedge funds, corporate voting, proxy access, corporate federalism, and mergers and acquisitions, among other things. Of late, he has become interested in the question of whether the concentration of ownership in the hands of diversified investors leads to anticompetitive effects in concentrated product markets, as some have claimed. His article with Dan Rubinfeld on this topic, "Antitrust for Institutional Investors," was published last year in the *Antitrust Law Journal*. A second article on the same topic will be published in the *Antitrust Law Journal* later this year.

Speaker



Heath P. Tarbert
Chairman and Chief Executive,
U.S. Commodity Futures Trading
Commission

Dr. Heath P. Tarbert is Chairman and Chief Executive of the U.S. Commodity Futures Trading Commission (CFTC). The mission of the CFTC is to strengthen the American free-enterprise system by ensuring the integrity of the futures, swaps, and options markets through the fostering of openness, transparency, competitiveness, innovation, and financial stability. The agency also works to ensure U.S. commodities and derivatives markets are free of fraud and manipulation. Tarbert also serves as a voting member of the Financial Stability Oversight Council and as a member of the President’s Working Group on Financial Markets.

Tarbert has extensive experience in financial services law and has served in senior leadership roles in the public and private sector. Most recently, he was Assistant Secretary for International Markets and subsequently acting Under Secretary for International Affairs at the U.S. Department of the Treasury. In these roles, Tarbert served as the G-7/G-20 Deputy Finance Minister, a member of the Financial Stability Board, and the co-chair of both the US-EU Financial Regulatory Forum and the US-UK Financial Regulatory Working Group. Prior to his service at the Treasury Department, Tarbert was head of the bank regulatory practice of Allen & Overy LLP, a leading global law firm.

Institute for Corporate Governance & Finance

In any significant corporate governance controversy, the de facto “deciders” are the largest institutional investors. This new balance of power sets the policy and research agenda. The Institute for Corporate Governance & Finance was launched in 2016 to address these issues, taking advantage of the concentration of finance, talent, and activity in New York and at New York University.

Program on Corporate Compliance and Enforcement

The Program on Corporate Compliance and Enforcement (PCCE) is a law and policy program created to promote 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.

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