



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

#MeToo and Beyond: Lessons for Compliance, Investigations, and Governance

Friday, October 11, 2019
New York University
School of Law

Lester Pollack Colloquium Room
245 Sullivan Street, 9th Floor



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

Faculty Director
Jennifer H. Arlen

Executive Director
Alicyn Cooley

Assistant Director
Clarissa D. Santiago

#MeToo and Beyond: Lessons for Compliance, Investigations, and Governance

Friday, October 11, 2019

Conference Objective

The objective of the conference is to bring together academics, government officials, general counsel, compliance officers, and white collar defense lawyers for an off-the-record discussion of the lessons learned from #MeToo. The conference will begin with a discussion of corporate investigations and the unique crisis management challenges that arise in this area. It will then examine issues of corporate governance and disclosure. The next panel will consider the appropriate role for compliance in handling sexual harassment and misconduct claims, the impact the #MeToo movement has had and should have on compliance generally, and the interplay between compliance and other departments, including HR. The conference will close with a discussion of the challenges distinctive to universities and nonprofits.

PCCE Conference Rules

To encourage frank, open analysis of policy 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 received at this PCCE event is not for attribution, in whole or in part.** Specifically, neither the identity of

the person who makes a 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 provides a list of conference participants to those who attend the conference. PCCE also publishes conference and roundtable programs, including 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 and in our brochure. Your attendance at PCCE events constitutes permission for us to use your photograph and identifying information for such purposes.

Conference Agenda

8:30–8:50 A.M. **Registration**

8:50–9:00 A.M. **Opening Remarks**

9:00–9:30 A.M. **Keynote**

Rachael Denhollander, Lawyer and Sexual Abuse Activist

9:30–10:40 A.M. **Crisis Management and Investigations**

Moderator: Anne Milgram, Professor of Practice and Distinguished Scholar in Residence, NYU School of Law

Panelists:

Stephanie Douglas, Senior Managing Director, Guidepost Solutions

Lisa Friel, Special Counsel for Investigations, National Football League

Mary Beth Hogan, Co-Chair, Litigation Department, Debevoise & Plimpton

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

Karen Popp, Partner and Global Co-Leader, Government Litigation and Investigations Practice, Sidley Austin

10:40–11:00 A.M. **Coffee/Tea Break**

**11:00 A.M.–
12:10 P.M.**

Issues Surrounding Governance and Disclosure

Moderator: Kenji Yoshino, Chief Justice Earl Warren Professor of Constitutional Law and Director, Center for Diversity, Inclusion and Belonging, NYU School of Law

Panelists:

Antonia Apps, Partner, Milbank; Lecturer, Harvard Law School

Rebecca Boon, Senior Counsel, Bernstein Litowitz Berger & Grossmann

Jane Levine '85, Executive Vice President, Chief Global Compliance Counsel, Head of Government and Regulatory Affairs, Sotheby's

Brande Stellings, Principal, Vestry Laight

Maria Vullo '87, Senior Fellow, PCCE, NYU School of Law; Founder, Vullo Advisory Services, PLLC

12:15–1:15 P.M.

Networking Lunch

Lipton Hall, 110 West 3rd Street (Lower Level)

1:30–2:15 P.M.

Keynote

Alessandra Biaggi, New York State Senator, District 34 (D-Bronx/Westchester)

2:20–3:30 P.M.

Compliance Considerations in the #MeToo Era

Moderator: Timothy Lindon '80, Senior Fellow, PCCE, NYU School of Law

Panelists:

Lucy Fato, Executive Vice President and General Counsel, AIG

Katherine Forrest '90, Cravath Swaine & Moore

Scott Schools, Chief Compliance and Ethics Officer, Uber

Eugene Soltes, Jakurski Family Associate Professor of Business Administration, Harvard Business School

3:30–3:50 P.M.

Coffee/Tea Break

3:50–5:00 P.M.

Special Considerations for Nonprofits and Universities

Moderator: Allison Caffarone '03, Executive Director, PCCE, NYU School of Law

Panelists:

Helen Cantwell, Partner, Debevoise & Plimpton

Apalla Chopra, Chair, Labor and Employment Practice, O'Melveny & Myers

Marjory Fisher, Associate Vice President and Title IX Coordinator, Columbia University

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

Nicholas Wittner, Professor of Law in Residence and previous Acting Chief Compliance Officer, Michigan State University College of Law

5:00–6:00 P.M.

Reception

Conference Keynote Speakers



Alessandra Biaggi
New York State Senator
District 34
(D-Bronx/Westchester)

Alessandra Biaggi is the Democratic New York State Senator in her home district (Bronx/Westchester) and Chair of the revived Ethics and Internal Governance Committee. The

granddaughter of Italian immigrants who lived in Hunts Point, she is the fourth generation of her family to live in District 34.

Before launching her campaign, she served in Governor Cuomo's Counsel's Office focusing on New York State's women's policy agenda, advocating for passage of the Reproductive Health Act and the Comprehensive Contraceptive Coverage Act. During the historic 2016 election, Biaggi was the Deputy National Operations Director for Hillary Clinton's presidential campaign, overseeing a budget of \$500 million, 38 state directors, and 45 associated staff.

Her run for office was preceded by a decade of advocacy and service to the people of New York. She interned for the Kings County D.A.'s Office and the U.S. Attorney's Office for the Southern District of New York, was a legal fellow for New York State Homes and Community Renewal, and served as Assistant General Counsel for Governor Cuomo's Office of Storm Recovery. Biaggi holds degrees from New York University and Fordham Law School, and is a graduate of the Women's Campaign School at Yale University.



Rachael Denhollander
Lawyer and Sexual
Abuse Activist

Rachael Denhollander was only 15 when Larry Nassar sexually abused her. Sixteen years later, she was the first woman to press criminal charges and publicly reveal that she had been one of the many victims

of the USA Gymnastics team doctor. The decision to speak out ultimately led her to lose friends, her church community, and her privacy. Yet in so doing, she sparked a tidal wave of accusations against Nassar, revealing the appalling extent of his abuse. Now she educates and advocates, illuminating not only issues of abuse, but also the very cultural dynamics that allow abusers to remain in power. Weaving in details of her personal story, she shows how to stand alongside survivors, stand against abuse, and find healing. Trained as an attorney and with a considerable background in legislative and policy reform, Denhollander is able not only to speak on the experience of being a survivor of abuse, but also to advocate positively for change. Armed with courage and conviction, she inspires audiences as she continues to advocate, call for accountability, and stand for those who have yet to find their voice.

Denhollander's first book, *What Is a Girl Worth?: My Story of Breaking the Silence and Exposing the Truth about Larry Nassar and USA Gymnastics*, was released on September 10, 2019.



Antonia M. Apps

Partner, Milbank LLP

Lecturer, Harvard Law School

Antonia M. Apps is a partner at Milbank LLP, a former federal prosecutor and a nationally recognized trial attorney with experience in criminal and civil matters. She represents financial institutions, public companies, private equity firms and senior executives in government investigations and complex commercial litigation. Apps has also conducted investigations regarding cultural issues at various entities. Prior to joining Milbank, Apps served as an Assistant United States Attorney for the Southern District of New York, where she led many of the government's highest-profile securities fraud and insider trading cases. *Lawdragon* has named her in its list of 500 Leading Lawyers in America each year since 2014. She is ranked in the *Chambers USA* listing for White-Collar Crime & Government Investigations, and in 2019, she was named in *Crain's New York Business's* "Notable Women in Law" list. She is a frequent speaker at industry conferences and teaches a class at Harvard Law School on white collar criminal law and procedure. She is a graduate of Harvard Law School, Oxford University, and Sydney Law School, and she clerked for Judge Fred I. Parker on the Second Circuit.



Rebecca Boon

Senior Counsel

Bernstein Litowitz Berger

& Grossmann LLP

Rebecca Boon has been litigating securities fraud actions for over 10 years, recovering more than a billion dollars for the firm's institutional investor clients.

Among many other of her notable recoveries, Boon was a senior member of the trial team that prosecuted an unprecedented shareholder derivative litigation against Fox News parent 21st Century Fox, Inc., arising from the systemic sexual and workplace harassment at the embattled network. After nearly 18 months of litigation, the team obtained a landmark settlement with two key components: 1) the first-ever board-level watchdog of its kind—the "Fox News Workplace Professionalism and Inclusion Council" of experts—with its majority independent of the Murdochs, the company, and the board; and 2) one of the largest financial recoveries—\$90 million—ever obtained in a pure corporate board oversight dispute. Because of her work on the case, Boon subsequently narrated a feature documentary by Dow Jones's *MarketWatch* discussing both the Fox Litigation and the ways in which investors can harness their power to create meaningful social change through shareholder litigation.



Allison Caffarone

Executive Director, Program on Corporate Compliance and Enforcement

New York University School of Law

Allison Caffarone '03 is the Executive Director of the Program on Corporate Compliance and Enforcement (PCCE). Caffarone joined PCCE after working at Hofstra Law School, where she taught Transnational Crime and Extradition, Contracts, and a number of writing and pretrial-skills courses, and developed and taught the law school's first course dedicated to corporate compliance and anti-corruption law. Before joining Hofstra, Caffarone practiced for nine years as a Litigation Associate in Sullivan & Cromwell's Criminal Defense and Investigations Group, where she specialized in white collar criminal defense. She has represented individuals, corporations, and financial institutions in numerous high-profile matters involving allegations of securities fraud, insider trading, money laundering, and the Foreign Corrupt Practices Act and Office of Foreign Assets Control sanctions. She is a contributing author to the white collar crime treatise, *Defending Corporations and Individuals in Government Investigations*. She has a J.D. from NYU School of Law and a B.A. from Hofstra University.



Helen V. Cantwell

Partner

Debevoise & Plimpton LLP

Helen V. Cantwell is a litigation partner with extensive trial experience. She has deep experience in conducting sensitive investigations involving allegations of sexual misconduct and sexual harassment, dating back to her service as a prosecutor in the Manhattan DA's Sex Crimes Unit.

Chambers USA (2018) recognizes Cantwell as a leading practitioner in white collar criminal defense and investigations matters. Prior to joining Debevoise, Cantwell served for eight years as an Assistant U.S. Attorney for the Southern District of New York. During her tenure in the U.S. Attorney's Office, she was a member of the Securities and Commodities Fraud Task Force. Before that, Cantwell spent four years as an Assistant District Attorney in the New York County District Attorney's Office. She is a recipient of the Department of Justice Director's Award for Superior Performance as a Federal Prosecutor.

After the Manhattan DA's Office, Cantwell spent a year working in Malaysia with the International Women's Rights Action Watch, under a fellowship grant from the Henry Luce Foundation.

Cantwell joined Debevoise in 2008. She earned her J.D. cum laude from Harvard Law School, where she was President of the Harvard Legal Aid Bureau, and her B.A. magna cum laude from Wellesley College.



Apalla U. Chopra
Chair, Labor and Employment Practice
O'Melveny & Myers LLP

Apalla Chopra is Chair of O'Melveny's Labor and Employment Practice, and a member of the firm's Policy Committee. She specializes in litigating complex multi-plaintiff and class action discrimination and wage and hour cases. Her experience is broad as she has represented clients in cases regarding employee allegations of invasion of privacy, wrongful discharge, and discrimination. Chopra also conducts independent investigations into high-profile allegations of employee misconduct on behalf of companies, boards, and special committees. She has represented clients in traditional labor matters under the National Labor Relations Act and Educational Employment Relations Act, and has experience negotiating collective bargaining agreements and executive employment contracts. In addition, Chopra is among a handful of lawyers whom colleges and universities turn to for their most complex and high-profile legal challenges.

Chopra's industry experience is likewise broad, as she has represented companies in the biotechnology, manufacturing, utility, health, retail, hospitality, education, and entertainment sectors.



Stephanie Douglas
Senior Managing Director
Guidepost Solutions LLC

As Senior Managing Director in the San Francisco office of Guidepost Solutions, Stephanie Douglas focuses on sensitive internal investigations, including sexual harassment cases, white collar crime investigations, building corporate compliance programs, and proactively educating executives about crisis management and insider threats. She is sought after for her invaluable insight and judgment and is sensitive to the needs of business. Douglas works with corporations to identify risks, think through sensible and cost-efficient mitigations, and engage leadership with making long-term and productive organizational changes.

Douglas has a distinguished career in both private and public sectors. She retired as a Senior Executive from the Federal Bureau of Investigation (FBI) in 2013 and served as Senior Director of Corporate Security of Pacific Gas & Electric (PG&E) before joining Guidepost Solutions in 2016.



Lucy Fato
Executive Vice President
and General Counsel
AIG

Lucy Fato is Executive Vice President and General Counsel of AIG, with responsibility for overseeing the Global Legal, Compliance and Regulatory functions. Prior to joining AIG, she was Managing Director, Head of the Americas and General Counsel of Nardello & Co., where she remains on the Advisory Board.

Previously, Fato was Executive Vice President and General Counsel of S&P Global. Prior to joining S&P Global, she was Vice President, Deputy General Counsel and Corporate Secretary at Marsh & McLennan Companies. She began her legal career at the law firm Davis Polk & Wardwell, where she spent 14 years.

Fato was recognized by *Crain's New York* as a 2019 Notable Woman in Law. In 2018, she was included in NACD *Directorship* magazine's list of the 100 most influential people in the boardroom community, including directors, corporate governance experts, regulators, and advisors. Fato was recognized in 2017 as an "Outstanding Woman in the Legal Profession" by the New York County Lawyers Association. In 2015 and 2017, she was named by *Ethisphere* magazine as one of the "Attorneys Who Matter" for her dedication to furthering corporate ethics. In 2009, Fato was inducted into the YWCA-NYC Academy of Women Leaders.



Marjory Fisher
Associate Vice President
and Title IX Coordinator
Columbia University

Associate Vice President Marjory Fisher is Columbia University's Title IX Coordinator, responsible for monitoring the university's policies and procedures and for resolving sexual and gender-based misconduct, harassment, and other complaints under Title IX, the federal law that prohibits sex discrimination in federally funded educational institutions. In addition, Fisher provides guidance on investigations, oversees Deputy Title IX Coordinators at the University, and is responsible for training university staff and others on Title IX issues.

Fisher brings extensive legal and investigative experience to her post. She was formerly Bureau Chief of the Special Victims Bureau in the Queens District Attorney's Office for 22 years, and prior to that served for eight years as Assistant District Attorney in the Sex Crimes Bureau and supervising Trial Attorney in the Homicide Bureau of the Kings County (Brooklyn) District Attorney's Office.

Fisher is the recipient of multiple awards for excellence in trial work and the pursuit of justice, including recognition from the Mt. Sinai Rape Crisis and Intervention Program and the New York City Alliance Against Sexual Assault.

She earned her J.D. from George Washington University's National Law Center.



Katherine B. Forrest

Partner

Cravath, Swaine & Moore LLP

Katherine B. Forrest '90 is a Partner in Cravath's Litigation Department. She most recently served as a U.S. District Judge for the Southern District of New York and was the former Deputy Assistant Attorney General in the Antitrust Division of the U.S. Department of Justice. She has significant experience in complex litigation (including in the areas of antitrust, pharmaceutical, financial services, toxic tort, intellectual property, and significant employment matters), as well as criminal matters and investigations. Over the course of her career, Forrest has been regarded as a leader in legal issues relating to technology, including the digital environment, high speed trading, and content distribution.

Forrest is a frequent lecturer and published author on a wide range of topics in the areas of antitrust, intellectual property, and investigations. She recently authored an article entitled "Tactical Considerations In Preemptive #MeToo Investigations," which was published by *Chief Executive* and discusses the implications of conducting preemptive internal investigations and the role that monitoring the health of company culture can play in light of the #MeToo movement.

Forrest received a B.A. with honors from Wesleyan University and a J.D. from NYU School of Law, where she co-teaches a course on Quantitative Methods and the Law.



Lisa M. Friel

Special Counsel for Investigations

National Football League

Lisa Friel joined the NFL in April 2015 as Special Counsel for Investigations, following her role as Vice President of the Sexual Misconduct Consulting & Investigations division for T&M Protection Resources and a distinguished 28-year career as a Manhattan prosecutor, where she served as Chief of the Sex Crimes Prosecution Unit for 10 years. She oversees investigations related to alleged violations of the League's Personal Conduct Policy. In addition, she assists in the development and delivery of educational sessions regarding domestic violence, sexual assault, and other conduct-related areas to both internal and external audiences.

Friel earned a B.A. in history from Dartmouth College, graduating cum laude. At the University of Virginia Law School, she finished in the top seven percent of her class and was awarded the Order of the Coif upon receiving her J.D. She is also the mother of three adult children.



Mary Beth Hogan

**Co-Chair, Litigation Department
Debevoise & Plimpton LLP**

Mary Beth Hogan is Co-Chair of Debevoise & Plimpton's Litigation Department. She has a broad-gauged litigation and investigations practice that focuses on sensitive investigations for educational institutions, corporations, and other organizations, including board-directed independent investigations of sexual abuse or harassment. Hogan also advises boards of corporations, educational institutions, and nonprofits on #MeToo-related governance issues.

She is recognized as a leading lawyer by *Chambers USA*, *The Legal 500 US*, and *Benchmark Litigation*, which has named her as one of the "Top 250 Women in Litigation." In 2015, Hogan was named "Lawyer of the Year for Private Practice" for gender diversity in the profession by *Chambers & Partners*. The *New York Times* featured her in a 2013 documentary, "Great Expectations for Female Lawyers."

Hogan serves on the Board of Directors of Catalyst and is Chair of the Governance and Nominating Committee. She is also President of the Board of Directors of Nazareth Housing and serves on the Board of Trustees of the Armory Foundation. She graduated from Princeton University and received her J.D., with high honors, from Rutgers University, where she was a member of the Order of the Coif and the Articles Editor for the Women's Rights Law Reporter.



Nancy Kestenbaum

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

Nancy Kestenbaum is a Partner in Covington's New York office and is Co-Chair of the firm's White Collar Defense and Investigations Practice Group. Earlier in her career, Kestenbaum served for nearly 10 years as an Assistant United States Attorney in the United States Attorney's Office for the Southern District of New York. Over the past 15 years while at Covington, she has represented many companies, individuals, and boards in a wide variety of criminal and civil enforcement investigations and internal investigations, including clients in the financial services, life sciences, energy, defense, consumer products, and technology industries.

In the past several years, Kestenbaum has been at the forefront of investigations of sexual misconduct and abuse. She has led numerous investigations into these issues, including for the Boards of Directors of companies, nonprofits and schools around the country, and has defended other companies and organizations in connection with related government investigations.



Jane A. Levine

**Executive Vice President, Chief Global Compliance Counsel, Head of Government and Regulatory Affairs
Sotheby's**

Jane A. Levine '85 is Executive Vice President, Chief Global Compliance Counsel and Head of Government and Regulatory Affairs for Sotheby's. Prior to joining Sotheby's in 2006, Levine was an Assistant United States Attorney for the Southern District of New York, where she prosecuted criminal and civil matters involving money laundering, theft, fraud, and forgery in the art and antiquities market. She teaches Art and Cultural Heritage Law at Columbia Law School and has written and lectured on art law subjects, including international trafficking in stolen art and artifacts. Levine is also a frequent speaker on compliance topics, including information security and anti-money laundering. In 2011, President Obama named Levine to be a member of the Cultural Property Advisory Committee. She also serves on the Board of Trustees for YAI, a nonprofit organization that serves people of all ages with developmental, learning, and physical disabilities or delays throughout the greater New York metropolitan area. Levine received a B.A. from Brown University and her J.D. from NYU School of Law.



Timothy J. Lindon

**Senior Fellow, Program on Corporate Compliance and Enforcement
New York University School of Law**

Timothy J. Lindon '80 is a Senior Fellow at PCCE and is active in compliance consulting and coaching. He has broad experience in legal and compliance leadership roles in the U.S., Europe, and Asia, including as Vice President and Chief Compliance Officer of Philip Morris International, based in Switzerland. He is the Founder of a compliance consulting and executive coaching firm based in Washington, D.C. Previously, Lindon held senior corporate and litigation positions for Philip Morris in Hong Kong, New York, and Washington, D.C. He clerked on the U.S. Court of Appeals for the Fourth Circuit and began his legal career at Arnold & Porter. Lindon received his J.D. from NYU School of Law, where he was a Root-Tilden Scholar, and a B.A. from Tufts University.



Anne Milgram
Professor of Practice and
Distinguished Scholar in Residence
New York University School of Law

Anne Milgram is a Professor of Practice and a Distinguished Scholar in Residence at NYU School of Law. She previously served as the Attorney General for the State of New Jersey. She has been a state, local, and federal prosecutor and was the founding head of the Criminal Justice Initiative at the Laura and John Arnold Foundation. Milgram's work centers on reforming the American criminal justice system through smart data, analytics, and technology.

She also serves as the technical advisor on criminal prosecutions for the television shows *Law & Order SVU* (NBC) and *Power* (Starz).



Karen A. Popp
Partner and Global Co-Leader,
Government Litigation and
Investigations Practice
Sidley Austin LLP

Karen A. Popp is Global Co-Leader of Sidley Austin's Investigations and Compliance group. Popp specializes in high-stakes matters with legal and public relations components, such as global internal investigations, government enforcement cases, congressional investigations, and compliance matters. Popp represents clients across most industries and often in crisis management situations. Her clients range from major corporations to prominent business, political, and sports figures, including a U.S. Presidential Cabinet Member, a senior FBI official, a corporate CEO, and a Big Ten football coach. She has been retained to conduct confidential internal investigations in more than 70 countries and to defend clients in government investigations relating to alleged FCPA and OFAC violations, securities and financial fraud, accounting irregularities, environmental crimes, kickbacks, tax fraud, qui tams, misuse of corporate assets, false claims, antitrust, and whistleblower and #MeToo claims. Popp also assists clients in designing and enhancing corporate compliance programs, conducts global compliance and risk assessments, and trains boards of directors, management, compliance departments, and other company personnel. Popp previously served as Associate White House Counsel to President Clinton, a lawyer in the Office of Legal Counsel at the U.S. Department of Justice, and an Assistant U.S. Attorney in New York.



Scott Schools

Chief Compliance and Ethics Officer Uber

Scott Schools is the Chief Compliance and Ethics Officer at Uber Technologies, Inc. He joined Uber after a legal career that has included 21 years at the U.S. Department of Justice as well as seven years in the private sector. In the summer of 2016, then-Deputy Attorney General Sally Yates asked Scott to return to the Department in the Office of the Deputy Attorney General to serve as the Department's senior career official. In that capacity, he advised Attorneys General and Deputy Attorneys General on significant matters to the Department with a focus on ethics and professional responsibility. In total, Scott spent 6.5 years working in the Office of the Deputy Attorney General following a career during which he served as the United States Attorney for the Northern District of California, the United States Attorney for South Carolina, the General Counsel of the Executive Office for United States Attorneys, and an Assistant United States Attorney. He joined Uber on July 16, 2018.



Eugene Soltes

Jakurski Family Associate Professor of Business Administration Harvard Business School

Eugene Soltes is the Jakurski Family Associate Professor of Business Administration at Harvard Business School, where his research focuses on corporate misconduct and fraud, and how organizations design cultures and compliance systems to confront these challenges. He is the recipient of the Charles M. Williams Award for outstanding teaching and author of the bestselling book *Why They Do It: Inside the Mind of the White-Collar Criminal*. Soltes' research has been widely cited in the media, including in the *Wall Street Journal*, *Financial Times*, *New York Times*, *NPR*, and *The Economist*, and he is regularly invited to speak to regulatory bodies, including the Department of Justice, the Securities and Exchange Commission, and the United States Treasury.

Prior to joining the faculty of the Harvard Business School, Professor Soltes received his Ph.D. and M.B.A. from the University of Chicago, Booth School of Business, and his M.A. in statistics and B.A. in economics from Harvard University.



Brande Stellings

**Principal
Vestry Laight LLC**

A leading expert on women’s advancement and workplace inclusion, Brande Stellings has held senior roles at Catalyst and NBC and started her career at Cravath, Swaine & Moore. Currently, Stellings is a principal at Vestry Laight, a consulting firm that partners with organizations to assess and address sexual misconduct. She previously led Catalyst’s consulting and corporate board practices, advising Fortune 500 companies, professional service firms, and senior executives and board directors on strategies to advance women and promote inclusion in the workplace and the boardroom. In 2018, Stellings was appointed as an independent expert to the Fox News Workplace Professionalism and Inclusion Council, reporting to the company’s board of directors. In 2019, The Conference Board appointed Stellings as the Program Director for its Leadership Council on Advancing Women. Stellings serves on the Advisory Board of DirectWomen (Accelerating Board Opportunities for Women) and formerly served as a Director of the New York Women’s Foundation and of Legal Momentum. She received her B.A. from Yale University and J.D. from Harvard Law School.



Ann E. Tenbrunsel

**David E. Gallo Professor of
Business Ethics, Mendoza College
of Business Administration
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 Ph.D. and her M.B.A. from Northwestern University and her B.S.I.O.E. from the University of Michigan. Her interests focus on the psychology of ethical decision-making and 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 six books on this topic—including *Blind Spots* (with Max Bazerman), *Behavioral Ethics: Shaping an Emerging Field* (with David De Cremer), *Codes of Conduct: Behavioral Research into Business Ethics* (with David Messick)—and numerous research articles and chapters, and her work has been featured in numerous media outlets. Prior to entering academics, Tenbrunsel worked as an engineer for S. C. Johnson & Son and as a sales and marketing consultant for ZS Associates.



Maria T. Vullo

**Senior Fellow, Program on Corporate
Compliance and Enforcement**

New York University School of Law

Founder, Vullo Advisory Services, PLLC

Maria T. Vullo '87 recently was New York's Superintendent of Financial Services, regulating New York's state chartered and foreign banks, and insurance companies and agents doing business in New York. Among her many accomplishments, Vullo issued nation-leading cybersecurity and transaction monitoring regulations, resolved significant enforcement actions, and successfully challenged the OCC's "fintech" charter. Previously, Vullo was a partner at Paul, Weiss, Rifkind, Wharton & Garrison, and served as Executive Deputy Attorney General for Economic Justice. Vullo recently founded Vullo Advisory Services, PLLC. She is the recipient of numerous awards, and was twice nominated for the New York Court of Appeals. Vullo holds a J.D. from NYU School of Law, an M.P.A. from NYU Wagner's Graduate School of Public Service, and a B.A. and an Honorary Ph.D. from the College of Mount Saint Vincent.



Nicholas Wittner

**Professor in Residence and previous
Acting Chief Compliance Officer**

Michigan State University College of Law

Nicholas J. Wittner is Professor of Law in Residence at the Michigan State University College of Law. He was Acting Chief Compliance Officer and the Senior Adviser to the Office of Audit, Risk and Compliance of the University. Professor Wittner is a Life Member of the American Law Institute where he serves on the Consultative Groups for ALI's projects for Principles of the Law, Compliance, Risk Management, and Enforcement, as well as Student Sexual Misconduct: Procedural Frameworks for Colleges and Universities. In addition, Professor Wittner is a member of Society of Corporate Compliance and Ethics and has presented for SCCE on "*Maintaining, Retaining, and Enhancing Respect and Reputation.*" Before assuming his teaching position, he held management positions in multinational corporate legal departments where he advised on safety regulatory compliance. The topics he teaches at the Law College include regulatory investigations; Congressional investigations; Department of Justice investigations of corporations and individual employees; and the imposition of criminal and civil penalties.



Kenji Yoshino

**Chief Justice Earl Warren Professor
of Constitutional Law; Director, Center
for Diversity, Inclusion, and Belonging
New York University School of Law**

Kenji Yoshino is the Chief Justice Earl Warren Professor of Constitutional Law at NYU School of Law and the Director of the Center for Diversity, Inclusion, and Belonging. A graduate of Harvard (A.B. summa cum laude), Oxford (MSc. as a Rhodes Scholar) and Yale (J.D.), he specializes in constitutional law, antidiscrimination law, and law and literature. He is the author of three books and numerous law review articles. He has won several awards for his teaching and scholarship, including the Podell Distinguished Teaching Award in 2014, the American Bar Association's Silver Gavel Award in 2016, and an honorary degree from Pomona College in 2018.

Acknowledgments

We gratefully acknowledge financial support for this conference from the Comfort Family Fund.

Conference Advisers

PCCE would like to thank the people who provided us with their expert advice to help us prepare for this conference. We are deeply grateful for their help.

Members of the PCCE Board of Advisors

Antonia Apps

Samuel W. Buell '92

Hui Chen

Katherine Goldstein

Nancy Kestenbaum

Karen Popp

Eugene Soltes

PCCE would also like to thank the following people for their assistance. This conference would not have been possible without them.

Dean Trevor W. Morrison

Christina Avgerinos

Cheryl Hark

Alex Inskeep

Jerome Miller

David Niedenthal

PCCE Student Fellows

Bruce White

Join, Contribute, Contact

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

Become a Subscriber

To become a subscriber of PCCE, please go to the following address: www.law.nyu.edu/centers/corporatecompliance/joincontributecontact.

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

Contribute

The Program on Corporate Compliance and Enforcement 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 us an e-mail directly at law.pcce@nyu.edu.

Contact

To find out more about the Program on Corporate Compliance and Enforcement or to comment on our projects, news, or blog posts, visit us on our web site at www.law.nyu.edu/centers/corporatecompliance or send us an e-mail at law.pcce@nyu.edu.

PCCE Board of Advisors

Thomas C. Baxter Jr., Of Counsel, Sullivan & Cromwell LLP

Benton J. Campbell, General Counsel, Deloitte

George S. Canellos, Partner and Global Head, Litigation & Arbitration Group, Milbank LLP

Mark Carawan, Chief Compliance Officer, Citigroup

Lawrence Gerschwer, Partner, Fried, Frank, Harris, Shriver & Jacobson LLP

John Gleeson, Partner, Debevoise & Plimpton LLP

Aitan Goelman, Partner and Head of Securities and Commodities Litigation, Zuckerman Spaeder LLP

Court E. Golumbic, Participating Managing Director, Global Head of Financial Crime Compliance, Goldman Sachs

Diane Gujarati, Deputy Chief, Criminal Division, U.S. Attorney's Office, Southern District of New York

Michael Held '95, General Counsel and Executive Vice President, Federal Reserve Bank of New York

Bonnie B. Jonas, Co-Founder and Co-CEO, Pallas Global Group LLC

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

Bruce Karpati, Member and Global Chief Compliance Officer, Kohlberg, Kravis & Roberts Co. L.P.

Jacquelyn M. Kasulis, Chief, Criminal Division, U.S. Attorney's Office, Eastern District of New York

Jeffrey H. Knox, Co-Managing Partner, Washington, D.C. Office, Simpson Thacher & Bartlett LLP

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

Sandra Leung, Executive Vice President and General Counsel, Bristol-Myers Squibb Company

Sharon Cohen Levin, Partner, Sullivan & Cromwell LLP

Jane A. Levine '85, Executive Vice President, Chief Global Compliance Counsel, Head of Government and Regulatory Affairs, Sotheby's

Honorable Raymond J. Lohier Jr. '91, United States Circuit Judge, United States Court of Appeals for the Second Circuit

Denis J. McInerney, Partner, Davis Polk & Wardwell LLP

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

Alun Milford, Partner, Kingsley Napley, United Kingdom

Marshall L. Miller, Of Counsel, Wachtell, Lipton, Rosen & Katz

Jennifer Newstead, Vice President and General Counsel, Facebook

Steven Peikin, Co-Director, Division of Enforcement, U.S. Securities and Exchange Commission

Honorable Jed S. Rakoff, United States District Judge, Southern District of New York

Kathryn S. Reimann '82, Senior Managing Director, Treliant LLC

Alfred N. Rosa, Director, Ethics and Compliance, Google

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

Karen Patton Seymour, Executive Vice President and General Counsel, Goldman Sachs

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

Bruce E. Yannett '85, Partner, Debevoise & Plimpton LLP

Douglas K. Yatter, Partner, Latham & Watkins LLP

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 capacity.



Program on Corporate Compliance and Enforcement

New York University School of Law

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

To add your name to our mailing list to be invited to events, send us an email at law.pcce@nyu.edu. Please note if you would like to receive the email updates of our blog.

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

Alicyn Cooley
Executive Director
alicyn.cooley@nyu.edu

Clarissa D. Santiago
Assistant Director
clarissa.santiago@nyu.edu

Jerome Miller
jerome.miller@nyu.edu

***Compliance & Enforcement* Blog**

Compliance & Enforcement presents commentary and analysis on corporate compliance and enforcement written by leading academics, practitioners, and other thought leaders. *Compliance & Enforcement* enables PCCE to bring the conversation to a broader audience and, in turn, have a greater impact.

To become a blog subscriber, suggest a topic, or inquire about submitting a post, contact PCCE at law.pcce@nyu.edu.

Read *Compliance & Enforcement* at
https://wp.nyu.edu/compliance_enforcement.

