



Program on
Corporate Compliance
and Enforcement
at NYU School of Law



Compliance, Culture, and ESG:

How Companies Achieve
Meaningful Cultural Change
and Meet Evolving Regulatory
and Stakeholder Expectations

Wednesday, March 31
and Friday, April 2, 2021

New York University School of Law
Virtual Conference



Program on
Corporate Compliance
and Enforcement
at NYU School of Law



Faculty Director
Jennifer H. Arlen



Executive Director
Alicyn Cooley



Assistant Director
Clarissa D. Santiago

The Program on Corporate Compliance and Enforcement (PCCE) is a law and policy program dedicated to promoting effective enforcement and compliance. Through practical discourse and legal scholarship, PCCE helps shape optimal enforcement policy, guides firms in developing more effective and robust compliance programs, and educates in the fields of corporate compliance and enforcement.

Compliance, Culture, and ESG: How Companies Achieve Meaningful Cultural Change and Meet Evolving Regulatory and Stakeholder Expectations

March 31 and April 2, 2021

Conference Objective

This invitation-only, virtual conference brings together speakers who are experts in the fields of corporate culture and ESG with the goal of providing original and concrete takeaways on how companies and government agencies alike can better promote and entrench a corporate culture of compliance, and how companies may operationalize ESG initiatives and comply with increasingly prevalent—and, in some jurisdictions, required—disclosure regimes.

Continuing Legal Education

This event has been approved for up to six New York State 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.

9:00–9:25 A.M. **Better, Not Perfect**
Max H. Bazerman, Jesse Isidor Straus Professor of Business Administration, Harvard Business School

9:25–9:40 A.M. **Break**

9:40–10:30 A.M. **Permeating Compliance and Ethics into Lived Corporate Culture**
Moderator: Timothy Lindon '80, Senior Fellow, Program on Corporate Compliance and Enforcement, and Adjunct Professor of Law, NYU School of Law
Panelists:
Melissa Stapleton Barnes, Senior Vice President, Enterprise Risk Management and Chief Ethics and Compliance Officer, Eli Lilly and Company
David Berman, Partner, Latham & Watkins LLP, London
Sandra Leung, Executive Vice President & General Counsel, Bristol Myers Squibb Company
Klaus Moosmayer, Ph.D., Chief Ethics, Risk & Compliance Officer, Novartis

10:30–10:40 A.M. **Break**

10:40– 11:30 A.M. **How Enforcement Agencies Evaluate Effective Compliance: Assessing Corporate Culture at the Roots of Organizations**
Moderator: Jennifer H. Arlen '86, Norma Z. Paige Professor of Law, Founder and Faculty Director, Program on Corporate Compliance and Enforcement, NYU School of Law
Panelists:
Melissa R. Hodgman, Acting Director of the Division of Enforcement, U.S. Securities and Exchange Commission
Daniel Kahn, Acting Chief, Fraud Section, Criminal Division, U.S. Department of Justice
Eugene Soltes, Professor of Business Administration, Harvard Business School
Benjamin F. Wilson, Chairman, Beveridge & Diamond
Bruce E. Yannett '85, Deputy Presiding Partner and Chair, White Collar & Regulatory Defense Practice, Debevoise & Plimpton LLP

11:30–11:40 A.M. **Break**

**11:40 A.M.–
12:30 P.M.** **Keynote**
Mark Steward, Executive Director of Enforcement and Market Oversight, Financial Conduct Authority, United Kingdom

9:00–9:50 A.M. **Keynote**

Chris Brummer, Agnes N. Williams Research Professor; Faculty Director, Institute of International Economic Law; Professor of Law, Georgetown Law

9:50–10:00 A.M. **Break**

10:00–10:50 A.M. **ESG Regulation and Enforcement: How Governments Are Inducing Change**

Moderator: Andrew Weissmann, Distinguished Senior Fellow, Reiss Center on Law and Security and Center on the Administration of Criminal Law; Senior Fellow, Program on Corporate Compliance and Enforcement
NYU School of Law

Panelists:

Dr. Yue (Nina) Chen, Director of Sustainability and Climate Initiatives, New York State Department of Financial Services

Robert G. Eccles, Visiting Professor of Management Practice, Saïd Business School, University of Oxford

Heidi Hautala, Vice President, European Parliament; Member of the European Parliament in the Greens/EFA Group

Betty Moy Huber '96, Counsel and Co-Head, ESG Group and Environmental Transactional Group,
Davis Polk & Wardwell LLP

10:50–11:00 A.M. **Break**

11:00–11:50 A.M. **Strategies for Approaching ESG Initiatives and Measuring Performance**

Moderator: Alicyn Cooley, Executive Director, Program on Corporate Compliance and Enforcement;
Adjunct Professor of Law, NYU School of Law

Panelists:

Bruce Karpati, Partner and Global Chief Compliance Officer, KKR

Sabastian V. Niles, Partner, Wachtell, Lipton, Rosen & Katz

Anuj A. Shah, Partner, Head of U.S. & U.K., KKS Advisors

Alison Taylor, Executive Director of Ethical Systems, and Adjunct Professor, NYU Stern School of Business

**11:50 A.M.-
12:00 P.M.** **Break**

12:00–12:30 P.M. **Breakout Sessions**

Conference Keynote Speakers



Chris Brummer

Agnes N. Williams Research Professor; Faculty Director, Institute of International Economic Law; Professor of Law

Georgetown Law

Chris Brummer is Agnes N. Williams Research Professor and Faculty Director of

Georgetown's Institute of International Economic Law. Prior to joining Georgetown's tenured faculty, Brummer was an assistant professor of law at Vanderbilt Law School. He has also taught at several leading universities as a visiting professor, including the Universities of Basel and Heidelberg, and the London School of Economics.

Brummer recently concluded a three-year term as a member of the National Adjudicatory Council of FINRA, where his work was praised as making a significant contribution to advancing investor protection.

He was nominated by President Obama in 2016 and again in 2017 to serve as a commissioner on the Commodity Futures Trading Commission. He received unanimous approval in the vote by the Senate Agriculture Committee, although no floor vote was immediately scheduled after the election. The nomination was withdrawn by President Trump.

Brummer earned his J.D. from Columbia Law School, where he graduated with honors, and he holds a Ph.D. in Germanic Studies from the University of Chicago. Previously, he practiced law in the New York and London offices of Cravath, Swaine & Moore LLP. He has also served as a Senior Fellow at the Milken Institute and was awarded the C. Boyden Gray Fellowship for Global Finance and Growth at the Atlantic Council, where he launched the think tank's Transatlantic Finance Initiative.



Mark Steward

Executive Director of Enforcement and Market Oversight, Financial Conduct Authority United Kingdom

Mark Steward is the Executive Director of Enforcement and Market Oversight at the Financial Conduct Authority,

United Kingdom. Steward has been involved in corporate, financial services, and securities regulation since 1987 in Australia, Hong Kong, and the U.K., specializing in investigatory work and resulting litigation.

He joined the FCA from the Hong Kong Securities and Futures Commission (SFC), where he was a member of the board for nine years and Executive Director of Enforcement. Before joining the SFC, Steward was Deputy Executive Director, Enforcement with the Australian Securities and Investments Commission.

Lecturers, Moderators, and Panelists



Jennifer H. Arlen '86

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

Jennifer Arlen is an internationally recognized expert on corporate criminal liability and enforcement policy. Author of 48 scholarly publications, Arlen currently is the Associate Reporter on corporate enforcement policy for the American Law Institute's Principles of Law on Compliance and Enforcement for Organizations. She is the former 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. in economics from Harvard College (1982, magna cum laude) 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.



Melissa Stapleton Barnes

**Senior Vice President, Enterprise Risk
Management, and Chief Ethics and
Compliance Officer
Eli Lilly and Company**

As Senior Vice President, Enterprise Risk Management, and Chief Ethics and Compliance officer for Eli Lilly and Company, Melissa Stapleton Barnes leads Lilly's global Ethics and Compliance function. Since joining Lilly in 1994, Barnes has held a variety of business and legal roles, including General Counsel for Lilly Diabetes and Lilly Oncology. Prior to her current role, she was Deputy General Counsel, responsible for overseeing all global litigation and investigations, as well as managing the corporate secretary's office and specialty legal functions.

Barnes has been recognized as an Attorney Who Matters by the Ethisphere Institute, as a Rising Star by the Healthcare Businesswomen's Association, and as a Women of Influence by *Indianapolis Business Journal*. In 2018, the Ethics and Compliance Initiative gave Barnes the Carol R. Marshall Award for innovation in corporate ethics. She serves on the Board of Directors for Algonquin Power and Utilities Corporation, headquartered in Toronto, and is chair of the Ethics and Business Integrity Committee for the International Federation of Pharmaceutical Manufacturers & Associations.

She earned a B.S. degree with highest distinction from Purdue University and a law degree from Harvard Law School. In 2016, Purdue University honored Barnes with the College of Liberal Arts Distinguished Alumni Award.



Max H. Bazerman

Jesse Isidor Straus Professor of Business Administration
Harvard Business School

Max H. Bazerman is the Jesse Isidor Straus Professor of Business Administration at Harvard Business School. Bazerman's research focuses on decision-making, negotiation, behavioral insights, and ethics. He is the author or co-author of 12 books (including *Better, Not Perfect*, 2020; *The Power of Experiments* [with Michael Luca], 2020; *The Power of Noticing*; the 8th edition of *Judgment in Managerial Decision Making* [with Don A. Moore], 2013; *Blind Spots* [with Ann Tenbrunsel], 2011); and over 200 research articles and chapters.

His former doctoral students have accepted positions at leading business schools throughout the United States, including the Kellogg School at Northwestern, the Wharton School at the University of Pennsylvania, the Fuqua School at Duke, the Johnson School at Cornell, Carnegie-Mellon University, Stanford University, and Columbia, among others.

His awards include an honorary doctorate from the University of London (London Business School); the Life Achievement Award from the Aspen Institute; being named to Ethisphere's 100 Most Influential in Business Ethics; a Daily Kos Hero honor from the Bush Era for going public about how the Bush Administration corrupted the RICO tobacco trial; and the Distinguished Scholar Award, Distinguished Educator Award, and Organizational Behavior Division's Life Achievement Award from the Academy of Management. Bazerman's consulting, teaching, and lecturing include work in 30 countries.



David Berman

Partner
Latham & Watkins LLP, London

David Berman advises a range of financial institutions on key regulatory/compliance matters and investigations, and frequently counsels boards and senior management teams on significant regulatory issues. He specializes in tactical/strategic issue prevention, containment and resolution—and has an outstanding track-record of achieving optimal outcomes for clients. He advises extensively on a wide spectrum of issues, including market conduct, culture and conduct, internal investigations, individual accountability, governance, conflicts of interest, inducements, regulatory aspects of transactions, remediation and redress exercises, and conduct of business regulation generally.

Berman has significant experience of acting as a “skilled person” under Section 166 FSMA 2000.

He has authored books entitled *Market Conduct for Investment Managers—A Practical Guide*, Thomson Reuters, 2019; *Senior Individual Accountability in the Financial Services Arena—A Practical Guide*, Thomson Reuters, 2017; and *Individual Accountability Under the Senior Managers Regime—A Practical Guide*, Thomson Reuters, 2016. Most recently, Berman has written *Culture: A Practical Framework for Sustainable Change*.



Dr. Yue (Nina) Chen
Director of Sustainability and Climate Initiatives
New York State Department of Financial Services

Dr. Yue (Nina) Chen is the first-ever Director of Sustainability and Climate Initiatives at the New York State Department of Financial Services (DFS). As part of the executive team, Chen is charged with developing the department's portfolio of policy initiatives involving sustainability, green financing, and climate mitigation. Prior to DFS, she was the Nature Conservancy's Director of Conservation Investments in New Jersey, then in New York. In these roles, she developed innovative conservation finance programs, advised cities on attracting private capital to accelerate and scale up conservation impacts, and led urban water resilience initiatives.

Chen's career in finance has spanned a wide range of areas, including sovereign bonds, interest rates derivatives, mortgages, and structured credit products, at Goldman Sachs and Royal Bank of Canada, among others.

She received her B.S. in chemical engineering from Tsinghua University, Beijing, China; her Ph.D. in chemical engineering from Massachusetts Institute of Technology; and a Certificate in Conservation and Environmental Sustainability from Columbia University.



Alicyn Cooley
Executive Director, Program on Corporate Compliance and Enforcement, and Adjunct Professor of Law
NYU School of Law

Alicyn Cooley is the Executive Director of the Program on Corporate Compliance and Enforcement and an Adjunct Professor of Law at New York University School of Law, where she teaches courses on Corporate and White-Collar Crime and Sentencing. Cooley joined PCCE after serving for seven years as an Assistant U.S. Attorney in the U.S. Attorney's Office for the Eastern District of New York, most recently as Deputy Chief of the Business and Securities Fraud Section. In that role, she led and supervised investigations, prosecutions, and trials of securities fraud, investment adviser fraud, health care fraud, tax fraud, money laundering, and Foreign Corrupt Practices Act violations. She also investigated, tried, and argued the appeals of multiple murder and racketeering cases involving organized and violent criminal enterprises.

Before working as a federal prosecutor, Cooley was an associate at Davis Polk & Wardwell, and clerked for the Honorable Barrington D. Parker Jr. of the U.S. Court of Appeals for the Second Circuit, and the Honorable John Gleeson of the U.S. District Court for the Eastern District of New York. She received her J.D. from Yale Law School and her B.A. from Yale University.

Cooley co-authors the annually published treatise *Federal Criminal Practice: A Second Circuit Handbook*.



Robert G. Eccles
Visiting Professor of Management
Practice at Saïd Business School
University of Oxford

Robert G. Eccles is a leading authority on the integration of environmental, social, and governance factors in resource allocation decisions by companies and investors. He is also the world's foremost academic expert on integrated reporting.

Currently, Eccles is a Visiting Professor of Management Practice at the Saïd Business School, University of Oxford. Eccles has been a Visiting Lecturer at Massachusetts Institute of Technology and Sloan School of Management and was a Berkeley Social Impact Fellow at the Haas School of Business, University of California Berkeley. He was a Professor at Harvard Business School and received tenure in 1989.

Eccles is a Senior Advisor to the Boston Consulting Group and the non-profit Impact Management Project. He was the founding Chairman of the Sustainability Accounting Standards Board, and was one of the founders of the International Integrated Reporting Council. In 2018, he was named by *Barron's* as one of the top 20 influencers in ESG investing and was cited for being an "ESG research trailblazer" and received "The CSR Lifetime Achievement Award" at The 8th International Conference on Sustainability & Responsibility in Cologne, Germany.

Eccles received an S.B. in mathematics and an S.B. in humanities and science from Massachusetts Institute of Technology and an A.M. and Ph.D. in sociology from Harvard University.



Heidi Hautala
Vice President, European Parliament;
Member of the European Parliament in
the Greens/EFA Group

Heidi Hautala is Vice-President of the European Parliament, Member of the European Parliament in the Greens/EFA group and former Minister for International Development and State Ownership Steering in Finland. She was also a Member of the European Parliament from 1995 to 2003, 2009 to 2011, and 2014 to present.

Hautala was elected as a Vice-President of the European Parliament in October 2017. She serves on the Committee on International Trade and the Subcommittee on Human Rights and as a substitute on the Committee on Legal Affairs of the European Parliament. In 2017, Hautala established a Working Group on Responsible Business Conduct in the European Parliament.

She has complemented her extensive political career at the national and European levels with other professional activities (journalist, founder of a restaurant) and combined it with her various voluntary work commitments related mostly to human rights. Not only is she a strong human rights advocate, but she is also a staunch advocate for transparency, social, and environmental responsibility.

Born in Oulu, Finland, she has a master's degree in agriculture and forestry, was one of the founders of the first Finnish vegetarian restaurant in Helsinki, and is an editor of several alternative culture magazines.



Melissa R. Hodgman

**Acting Director, Division of Enforcement
U.S. Securities and Exchange Commission**

Melissa R. Hodgman is the Acting Director of the Division of Enforcement at the U.S. Securities and Exchange Commission. She joined the Commission in 2008, became Senior Counsel in 2009, joined the newly formed Market Abuse Unit in 2010, and was promoted to Assistant Director in 2012 and to Associate Director in 2016. Prior to joining the commission, Hodgman was an Associate at Milbank, Tweed, Hadley & McCloy. She obtained a B.S.F.S. in 1990, J.D. magna cum laude in 1994, and an LLM in Securities with Distinction in 2007 from Georgetown University.



Betty Moy Huber '96

**Counsel and Co-Head, ESG Group and
Environmental Transactional Group
Davis Polk & Wardwell LLP**

For over two decades, Betty Moy Huber has provided advice in hundreds of transactions, as well as governance, disclosure, and regulatory advice, to various public and private equity companies. A former member of SASB's Advisory Council, she is called on frequently to speak on ESG and corporate governance issues for numerous organizations, including the American Law Institute, American Bar Association, corporatcounsel.net, Lawline, New York City Bar, PLI, and the Society for Corporate Governance. Huber is a guest lecturer on corporate governance topics for the University of Florida and University of Virginia Schools of Law. In addition, she is co-editor of Davis Polk's Briefing: *Governance* blog, and is cited as a legal expert in countless publications, including *Barron's*, *Pensions & Investments*, and the *Wall Street Journal*.

Huber's clients span all industries, including financial institutions, utilities, oil and gas, pharmaceuticals, and more. She advises S&P 500 and mid- and small-cap companies, as well as newly public and emerging growth companies. She is recognized as a leading lawyer by numerous industry publications. Huber received a B.A. from University of Pennsylvania and her J.D. from NYU School of Law.



Daniel Kahn
Acting Chief, Fraud Section,
Criminal Division
U.S. Department of Justice

Daniel Kahn is the Acting Chief of the Criminal Division, Fraud Section, for the U.S. Department of Justice. Kahn supervises and manages the day-to-day operations of the Fraud Section, and directly oversees the Foreign Corrupt Practices Act (“FCPA”) Unit, the Market Integrity and Major Frauds Unit, the Health Care Fraud Unit, the Strategy, Policy, and Training Unit, and all corresponding matters handled by those units.

Prior to becoming Chief, Kahn was a Senior Deputy Chief of the Fraud Section from 2019 to 2020, and the Chief of the FCPA Unit from March 2016 through July 2019. Kahn joined the Fraud Section in 2010 and was an Assistant Chief of the FCPA Unit from 2013 to March 2016. He earned the Assistant Attorney General’s Award for Exceptional Service for his work on the Alstom case, and the Assistant Attorney General’s Award for Distinguished Service for his part in prosecuting a bribery scheme involving the state-owned and state-controlled telecommunications company in Haiti. Prior to joining the Department of Justice, Kahn spent six years at Davis Polk & Wardwell LLP. He was twice selected by the New York Police Department Executive Development Division to present on the prevention of wrongful convictions. He also assisted the New York Justice Task Force in investigating wrongful convictions. Kahn graduated summa cum laude from Cornell University and cum laude from Harvard Law School.



Bruce Karpati
Partner and Global Chief
Compliance Officer
KKR

Bruce Karpati joined KKR in 2014, is a Partner of the Firm, and serves as Global Chief Compliance Officer and Counsel. Prior to joining KKR, he was the Chief Compliance Officer of Prudential Investments, the mutual fund and distribution business of Prudential Financial. Karpati was previously the National Chief of the SEC’s Asset Management Unit, which he co-founded. In this role, he supervised a staff of 75 attorneys, industry experts, and other professionals. Karpati joined the SEC as a Staff Attorney in 2000, was promoted to Branch Chief in 2002, Assistant Regional Director in 2005, and Co-Chief of the SEC’s Asset Management Unit in 2010. In 2007, he founded the SEC’s Hedge Fund Working Group, a cross-office initiative to combat securities fraud in the hedge fund industry. Karpati is on the Board of NSCP, and also serves as an adjunct professor at Fordham University Law School. He began his career in private practice at Dechert LLP.

Karpati earned his J.D. cum laude from the University at Buffalo School of Law, and his bachelor’s degree cum laude in international relations from Tufts University.



Sandra Leung

**Executive Vice President
and General Counsel
Bristol Myers Squibb Company**

As Executive Vice President & General Counsel at Bristol Myers Squibb Company, Sandra Leung leads the worldwide Law Department and is responsible for a wide range of legal areas, including intellectual property, commercial and regulatory law, litigation, corporate governance, and securities and transactions, including licensing, acquisitions and divestitures. She also has responsibility for Compliance & Ethics, Environment, Health & Safety, Corporate Security, and Corporate Philanthropy.

Leung joined Bristol Myers Squibb in 1992 as a staff attorney in the Litigation Department. She was promoted to positions of increasing responsibility, being named General Counsel in 2007. She was named one of America's Top 50 General Counsels by the *National Law Journal* in 2014 and 2016.

Leung began her legal career as Assistant District Attorney at the Manhattan District Attorney's Office, where she was an original member of the Child Abuse Bureau. She ended her prosecutorial career, after trying more than 40 jury trials to verdict, as a member of the prestigious Homicide Investigations Unit, where she conducted investigations of unsolved homicides linked with drug gang activity.

She is on the Board of Directors of the Asian-American Legal Defense and Education Fund and the Board of Directors of the Minority Corporate Counsel Association. She is a graduate of Tufts University and Boston College Law School.



Timothy J. Lindon '80

**Senior Fellow, Program on Corporate
Compliance and Enforcement, and
Adjunct Professor of Law
NYU School of Law**

Timothy J. Lindon is a Senior Fellow of the Program on Corporate Compliance and Enforcement and an Adjunct Professor at NYU School of Law. He is also a Senior Advisor to the Ethics & Compliance Initiative and is certified as an Executive and Leadership Coach by the International Coaching Federation. Lindon 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. Previously, he 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.



Klaus Moosmayer, Ph.D.
Chief Ethics, Risk & Compliance Officer
Novartis

Klaus Moosmayer, Ph.D., has been Chief Ethics, Risk & Compliance Officer of Novartis since 2018. He is a member of the Executive Committee of Novartis. Moosmayer previously was Chief Compliance Officer of Siemens AG, a position he held since 2014. During his 18-year career at Siemens, Moosmayer also served as Chief Counsel on Compliance from 2009 to 2013, and as Compliance Operating Officer from 2007 to 2009.

Moosmayer received his Doctor of Jurisprudence from the University of Freiburg in Germany, and passed his first and second state examination in law in Germany. He is internationally recognized in the field of compliance. He serves as Vice Chair of the Business at OECD (BIAC) Executive Board and served as Chair of its Anti-Corruption Committee from 2013 to 2020. He is Co-Founder and Chair of the European Chief Compliance and Integrity Officers' Forum; and Co-Chair of the B20 Integrity & Compliance Task Force under the G20 Presidency of Saudi Arabia. He served as Co-Chair of the B20 Integrity & Compliance Task Force under the G20 Presidency of Argentina in 2018, and as Chair of the B20 Integrity & Compliance Task Force under the G20 Presidency of Germany in 2017.



Sebastian V. Niles
Partner
Wachtell, Lipton, Rosen & Katz

Sebastian V. Niles is a Partner at Wachtell, Lipton, Rosen & Katz, where he focuses on rapid response shareholder and stakeholder activism and preparedness, takeover defense and corporate governance; risk oversight, including ESG, cybersecurity and crisis situations; U.S. and cross-border mergers, acquisitions, buyouts, investments, divestitures and strategic partnerships; and other corporate and securities law matters and special situations.

Niles advises worldwide and across industries, including technology, financial institutions, media, energy and natural resources, health care and pharmaceuticals, construction and manufacturing, real estate/REITs, and consumer goods and retail. He has also counseled boards of directors and management teams on self-assessments, engagement with institutional investors and proxy advisory firms, and navigating activist situations.

He received his J.D. from Harvard Law School, where he co-founded the Harvard Association of Law and Business (and continues to serve on the Advisory Board) and won the U.S. National ABA Negotiation Championship representing the Harvard Program on Negotiation. He received B.S., B.A., and B.S. degrees in finance, economics, and decision & information sciences, respectively, from the University of Maryland, where he won two national championships and four regional championships in intercollegiate mock trial.



Anuj A. Shah

**Partner, Head of U.S. & U.K.
KKS Advisors**

Anuj Shah is a Partner at KKS Advisors, an advisory firm that works with asset owners, asset managers, investment banks, and corporations on ESG integration, impact measurement and management, and sustainable finance solutions. He is based in Boston and oversees the firm's strategy, operations, and business development activities in both the U.S. and U.K.

Prior to joining KKS, Shah was the Founder and Managing Director of Linear Impact Partners, an advisory firm that developed strategies and solutions aimed at unlocking more capital toward positive social and environmental outcomes. Before founding Linear Impact Partners, he spent nearly 20 years in the investment management industry, most recently as the Head of Strategy and Business Management for the Private Wealth Management business at Morgan Stanley.

Shah is currently an Advisor to Nossa Data, a firm that provides digital solutions to companies seeking to streamline their ESG reporting, and at BonBillo, a global incubator program for startups using technology to advance UN Sustainable Development Goals. He is also a Project Partner and Collaborator with the VeriStell Institute, a globally focused think-tank whose goal is to enable corporate entities to embrace ESG and corporate purpose.

Shah earned a master's degree in international affairs from Columbia University and a bachelor's degree from Boston College.



Eugene Soltes

**Professor of Business Administration
Harvard Business School**

Eugene Soltes is a Professor of Business Administration at Harvard Business School, where his research focuses on corporate integrity and risk management. His research utilizes data analytics to identify organizational cultures and compliance systems that can effectively prevent, detect, and respond to reputational and regulatory threats. 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, 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.



Alison Taylor

**Executive Director of Ethical Systems,
and Adjunct Professor
NYU Stern School of Business**

Alison Taylor is Executive Director of Ethical Systems, a research collaboration housed at NYU Stern School of Business. She is also a Senior Advisor at Business for Social Responsibility (BSR) and an Adjunct Professor at NYU Stern School of Business, where she teaches professional responsibility and leadership. Taylor has a long track record of consulting for large multinational companies, on strategy, sustainability, political and social risk, culture and behavior, human rights, ethics and compliance, stakeholder engagement, ESG, and anti-corruption. She is a 2019-21 member of the World Economic Forum's Global Future Council on Transparency and Anti-Corruption. Taylor previously held leadership roles at BSR and Control Risks, and has worked at PricewaterhouseCoopers, Transparency International, and IHS Global Insight. She has a B.A. from Balliol College, Oxford University, an M.A. in international relations from the University of Chicago, and an M.A. in Organizational Psychology from Columbia University.



Andrew Weissmann

**Distinguished Senior Fellow, Reiss Center
on Law and Security and Center on the
Administration of Criminal Law;
Senior Fellow, Program on Corporate
Compliance and Enforcement**

NYU School of Law

Andrew Weissmann is a Senior Fellow at the Program on Corporate Compliance and Enforcement and a Distinguished Senior Fellow at the Reiss Center on Law and Security and the Center on the Administration of Criminal Law at NYU School of Law. He served as a lead prosecutor in Robert S. Mueller's Special Counsel's Office and as the DOJ's Fraud Section Chief. From 2011 to 2013, Weissmann served as General Counsel for the FBI. He previously was Special Counsel to then-Director Mueller in 2005, after which he was a partner at Jenner & Block in New York City.

From 2002 to 2005, he served as the Deputy and then the Director of the Enron Task Force in Washington, D.C., where he supervised the prosecution of more than 30 individuals in connection with the company's collapse. Weissmann was a federal prosecutor for 15 years in the Eastern District of New York, where he served as the Chief of the Criminal Division. He prosecuted numerous members of the Colombo, Gambino, and Genovese families. Weissmann won the largest Financial Industry Regulatory Authority arbitration award in history. He holds a J.D. from Columbia Law School and a B.A. degree from Princeton University and attended the University of Geneva on a Fulbright Fellowship. He is the author of *Where Law Ends: Inside the Mueller Investigation*.



Benjamin F. Wilson

Chairman

Beveridge & Diamond, P.C.

Benjamin F. Wilson is the Chairman of Beveridge & Diamond, P.C., a top-ranked law firm focused on environmental and natural resource law and litigation. He served as the Deputy Monitor for Emissions & Environmental in the Volkswagen AG emissions proceedings and served as the Court-Appointed Monitor for the Duke Energy coal ash spill remediation project.

A tireless advocate for diversity and inclusion, in 2020, Wilson was elected to the American Law Institute, inducted into the Washington Bar Association's Hall of Fame, awarded the Cora T. Walker Award from the National Bar Association Commercial Law Section, and featured in the *National Law Journal's* cover story "The Vanguard and the Vision."

Wilson graduated from Dartmouth College and Harvard Law School. He has served as Chairman of the Environmental Law Institute since 2016. Wilson serves on the Judicial Nomination Commission for the District of Columbia and the D.C. Bar Foundation Board, and on the Board of Directors of Northwestern Mutual Life Insurance Company and of PG&E Corporation. He previously served as a member of the Board of Trustees of Dartmouth College and the Board of Governors of the District of Columbia Bar.



Bruce E. Yannett '85

Deputy Presiding Partner and Chair,

White Collar and Regulatory Defense

Practice

Debevoise & Plimpton LLP

Bruce E. Yannett is Deputy Presiding Partner of the firm, a member of the firm's Management Committee and Chair of the White Collar and Regulatory Defense Practice Group. He focuses on white collar criminal defense, regulatory enforcement and internal investigations. Yannett represents a broad range of companies and financial institutions and their executives in matters involving securities fraud, accounting fraud, foreign bribery, cybersecurity, insider trading, and money laundering. He has extensive experience representing corporations and individuals outside the United States in responding to inquiries and investigations. Early in his career, he served as an Assistant U.S. Attorney and as an Associate Counsel in the Office of Independent Counsel: Iran/Contra.

Acknowledgments

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Conference Advisors

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

Robert Jackson

Timothy J. Lindon

Pablo Quiñones

Edward Rock

Alison Taylor

Andrew Weissmann

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