



Program on Corporate Compliance and Enforcement

Business Law in
the Public Interest





Leslie Caldwell,
Assistant Attorney General,
Criminal Division,
U.S. Department of Justice



Geoffrey S. Berman, U.S. Attorney,
Southern District of New York



Brian A. Benczkowski, Assistant
Attorney General, Criminal Division,
U.S. Department of Justice



Maria T. Vullo '87,
Superintendent,
NY Department of
Financial Services



Deputy Attorney General
Rod J. Rosenstein



Deputy Attorney General
Sally Quillian Yates



Jay Clayton,
Chair, U.S. Securities
and Exchange Commission



Attorney General
Eric Holder



Mark Steward,
Director of Enforcement
and Market Oversight,
Financial Conduct
Authority, U.K.



Preet Bharara,
U.S. Attorney,
Southern District
of New York



Makan Delrahim, Assistant Attorney
General, Antitrust Division,
U.S. Department of Justice



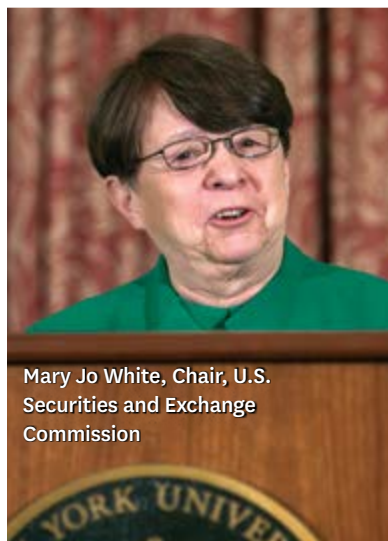
Jeh Charles Johnson,
Partner, Paul, Weiss, Rifkind,
Wharton & Garrison; former
Secretary, U.S. Department
of Homeland Security



Joseph H. Hunt, Assistant
Attorney General, Civil Division,
U.S. Department of Justice



John Demers, Assistant
Attorney General,
National Security Division,
U.S. Department of Justice



Mary Jo White, Chair, U.S.
Securities and Exchange
Commission



Lisa Osofsky,
Director, Serious
Fraud Office, U.K.

History and Mission

The Program on Corporate Compliance and Enforcement (PCCE) at NYU School of Law is a law and policy program created to promote effective enforcement and compliance.

Each year PCCE hosts conferences and forums, bringing together some of the most prominent academics, lawyers, and judges in the world for in-depth discussions about how to structure enforcement policy and compliance to effectively deter corporate misconduct. By gathering experts with diverse experience and viewpoints, we undertake the collaborative process of understanding and deterring corporate misconduct; building efficient, effective, and sustainable compliance programs; and establishing a fair and just process in accomplishing these goals. In addition, PCCE maintains a law blog that informs the public discourse on these issues. We also host educational programs for both foreign enforcement officials and practitioners, as well as directors and executives in the United States.

Finally, PCCE provides NYU Law students with a variety of opportunities in the areas of corporate enforcement and compliance to help them become leaders in these areas.



Founder and Faculty Director Jennifer Arlen '86

In November 2018, **James McDonald, Director of Enforcement at the U.S. Commodity Futures Trading Commission (CFTC)** spoke to a packed audience at NYU School of Law regarding enforcement trends at the CFTC. Recognizing PCCE's impact, McDonald said:

“Over the years, the PCCE has brought together some of the best thinking in the enforcement, business, and academic community to develop a richer and deeper understanding of the causes of corporate misconduct, and how enforcement and compliance programs can most effectively deter it. The result is that the work here at the PCCE has been a driver of some of the most significant developments in Enforcement and Compliance.”

Directors



Jennifer Arlen

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

Jennifer Arlen '86 is one of the nation's leading scholars on corporate criminal and civil liability, medical malpractice, and experimental law and economics. She serves as the Associate Reporter for Enforcement for the American Law Institute's Principles of Law,

Compliance, Enforcement, and Risk Management for Corporations, Nonprofits, and Other Organizations Project. She was President of the American Law and Economics Association in 2018-19 and served on the Board between 1991-93 and 2006-09. She helped create and is the former President of the Society for Empirical Legal Studies. She serves on the Editorial Board of the *American Law and Economics Review*. In 2018, she published an edited volume, *Research Handbook on Corporate Crime and Financial Misdealing*.

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. Arlen 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.



Alicyn Cooley

Executive Director, Program on Corporate Compliance and Enforcement

Alicyn 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, Cooley served as Deputy Chief of the Business and Securities Fraud Section, leading and supervising investigations and prosecutions of securities fraud (involving hedge fund investment fraud, market

manipulation, insider trading, and cryptocurrency offerings), investment adviser fraud, healthcare fraud, tax fraud, money laundering, and Foreign Corrupt Practices Act violations. Cooley also investigated, tried and argued the appeals of multiple murder and racketeering cases involving organized criminal enterprises.

Before working as a federal prosecutor, Cooley was a Litigation Associate at Davis Polk & Wardwell, and clerked for Judge Barrington D. Parker, Jr., in the Second Circuit, and Judge John Gleeson in the Eastern District of New York. Cooley received her J.D. from Yale Law School (2008), where she was a Comments Editor of the *Yale Law Journal*, and her B.A. from Yale University (2005, summa cum laude, Phi Beta Kappa).

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



Clarissa D. Santiago

Assistant Director, Program on Corporate Compliance and Enforcement

Clarissa D. Santiago joined PCCE in October 2019. Previously, she worked as Senior Program Manager for Sotheby's Institute of Art, Executive Secretary to the President at Pratt Institute, and Academic Programs Area Manager in the School of Interdisciplinary Studies at the San Francisco Art Institute. Resourceful and self-directed, she has nearly 15 years' experi-

ence in higher education administration. Santiago received her B.A. in English with a minor in American Studies at Brooklyn College (2001, summa cum laude), where she also graduated Phi Beta Kappa, and holds an M.A. in Literature, with a focus on Postcolonial and Feminist Literary Theory, from the University of New Hampshire (2005, cum laude).

Board of Advisors

The PCCE Board of Advisors is comprised of experts with diverse backgrounds who advise the PCCE directors on the most pressing and substantive policy issues in the area of compliance and enforcement. The Board of Advisors acts in an advisory capacity only and does not directly oversee the activities of PCCE. All members of the Board of Advisors serve in their individual capacity.

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 Compli-
ance 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

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

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

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

Alun Milford, Partner, Kingsley Napley LLP,
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

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

Kathryn S. Reimann '82, Senior Managing Director,
Trelia 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

Senior Academic Fellows



Stephen Choi

**Murray and Kathleen Bring
Professor of Law**

Director, Pollack Center

Professor Stephen Choi joined the NYU School of Law faculty in

2005. He graduated first in his class from Harvard Law School in 1994—where he served as supervising editor of *Harvard Law Review*—and received his Ph.D. in economics from Harvard in 1997. Choi joined the faculty of the University of Chicago Law School in 1996, and then in 1998 he joined the faculty of the University of California, Berkeley, School of Law, where he was the Roger J. Traynor Professor of Law. He has also held John M. Olin, Jacob K. Javits, and Fulbright Fellowships. After his graduation from law school, Choi worked as an Associate at McKinsey & Company in New York. His research interests focus on the theoretical and empirical analysis of corporations and capital markets. He has published in the *Yale Law Journal*, *Stanford Law Review*, *University of Chicago Law Review*, *Michigan Law Review*, *University of Pennsylvania Law Review*, and *Virginia Law Review*, among others.



Kevin E. Davis

**Beller Family Professor
of Business Law**

Kevin Davis joined the NYU School of Law faculty in 2004. He previously was a tenured member of

the faculty at the University of Toronto, Faculty of Law. He holds a B.A. from McGill University, an LL.B. from the University of Toronto, and an LL.M. from Columbia University. He served as a law clerk to Justice John Sopinka of the Supreme Court of Canada and then as an associate at Torys in Toronto. He also has held visiting appointments at Cambridge University's Clare Hall, Fundação Getulio Vargas School of Law (São Paulo), the University of Southern California, the University of Toronto, and the University of the West Indies (Barbados). His research and teaching focus on commercial law, anticorruption law, and the general relationship between law and economic development. His publications include over 50 articles or essays, four edited volumes, and a monograph, *Between Impunity and Imperialism: The Regulation of Transnational Bribery*.



Geoffrey P. Miller

**Stuyvesant P. Comfort
Professor of Law**

Along with Professor Arlen, Professor Geoffrey Miller was a Founder of PCCE and served as a

Faculty Director until May 2017. Author or editor of a dozen books and more than 200 research papers on topics in business law, compliance and risk management, financial institutions, securities law, the legal profession, ancient law, and legal theory, Miller received his B.A. magna cum laude from Princeton University in 1973 and his J.D. in 1978 from Columbia Law School, where he was Editor-in-Chief of the *Columbia Law Review*. He clerked for Judge Carl McGowan of the U.S. Court of Appeals for the D.C. Circuit and Justice Byron White of the U.S. Supreme Court. Miller served as an Attorney Adviser at the Office of Legal Counsel of the U.S. Department of Justice and also practiced in Washington, D.C. In 1983, he joined the faculty of the University of Chicago Law School, where he served as Associate Dean, Director of the Program in Law and Economics, and Editor of the *Journal of Legal Studies*. He came to NYU School of Law in 1995. Miller is a Founder of the Society for Empirical Legal Studies, Director of the NYU Law Center for Financial Institutions, and Co-Director of the Center for Civil Justice. He chairs the Audit Committee and serves on the Board of Directors of State Farm Bank. Miller is a 2011 inductee into the American Academy of Arts and Sciences.

2019-20 Senior Fellows



Timothy J. Lindon '80

Timothy 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. 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.



Michel A. Perez

Michael Perez is the U.S. Representative of LabEx ReFi, a European think tank; Co-Editor of *Revue Trimestrielle de Droit Financier*; and a consultant for Promontory Financial Group. A J.D. candidate at the University of Paris I Pantheon Sorbonne, his dissertation is a comparative law study on *The Development of "Negotiated Justice" in the United States and France in the Fight Against Financial Corruption*. He has authored various articles. Previously, Perez worked in international banking for Banque Nationale de Paris, First Chicago, and Bank One. A graduate of INSEAD and SciencesPo Paris, Perez is a Certified Anti-Money Laundering Specialist and a Subject Matter Expert on Sanctions and Compliance. He has been awarded the Legion of Honor and the Order of Merit by the Republic of France.



Pablo Quiñones

Pablo Quiñones is the Founder of Quiñones Law, a white collar boutique law firm, and former Executive Director of PCCE. He previously served as the Chief of Strategy, Policy, and Training and as a Deputy Chief of the Fraud Section at the U.S. Department of Justice. He also previously worked as an Assistant U.S. Attorney in the Southern District of New York, where he investigated and prosecuted insider trading, market manipulation, accounting fraud, investment fraud, corruption, and money laundering crimes. Quiñones has significant experience in private practice as both in-house counsel and outside counsel, and has been appointed an Adjunct Professor of Law at both NYU School of Law and Cornell Law School. He received his A.B. from Cornell University and his J.D. from Michigan Law School.



Jonathan J. Rusch

Jonathan 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.

2019–20 Senior Fellows



Maria T. Vullo '87

Maria Vullo 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, and served as Executive Deputy Attorney General for Economic Justice. Vullo recently founded Vullo Advisory Services, PLLC. Vullo 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 MPA 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.



Andrew Weissmann

Andrew Weissmann is a Distinguished Senior Fellow with the Center on the Administration of Criminal Law. He recently served as a lead prosecutor in Robert S. Mueller's Special Counsel's Office and as DOJ's Fraud Section Chief. Weissmann previously served as General Counsel for the FBI to then-Director Mueller. From 2002 to 2005, he served as the Deputy and then the Director of the Enron Task Force. 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 has a J.D. from Columbia Law School and a B.A. from Princeton University and attended the University of Geneva on a Fulbright Fellowship.

Former Senior Fellows

Titles reflect positions at the time they were a Senior Fellow.

Daniel Alter (2015-16, 2016-17), former General Counsel and Chief Compliance Officer of itBit and former General Counsel of the New York State Department of Financial Services.

Susan Emmenegger (2015-16), Director of the Institute of Banking Law at Bern University, Switzerland.

Aitan Goelman (2016-17), Partner and Head of Securities and Commodities Litigation Practice Group, Zuckerman Spaeder LLP, and former Director of the CFTC Division of Enforcement from June 2014 until February 2017.

Peter L. Lindseth (2016-17), Olimpiad S. Ioffe Professor of International and Comparative Law, Director of International Programs, and Co-Director of the Professional Certificate Program in Corporate and Regulatory Compliance at the University of Connecticut School of Law.

Marshall L. Miller (2015-16), former Principal Deputy Assistant Attorney General and Chief of Staff of the Department of Justice's Criminal Division.

Michael C. Neus (2016-17, 2017-18), General Counsel and Chief Compliance Officer, ExodusPoint Capital Management L.P. and former Managing Partner and General Counsel of Perry Capital LLC.

Troy Paredes (2016-17), Founder of Paredes Strategies LLC and former Commissioner of the U.S. Securities and Exchange Commission from 2008 to 2013.

Nicola Selvaggi (2017-18), Associate Professor of Criminal Law and Director of the Research Center on Preventive Measures and Organized Crime, Department of Law and Economics, University of Reggio Calabria, Italy.

Serina M. Vash (Fall 2017), Executive Director, Governance, Risk and Compliance, and General Counsel of RANE, and former Executive Director of PCCE.

Robert W. Werner '86 (2017-18), CEO and Founder of Green River Hollow Consulting LLC. Previous positions include: Global Head, Financial Crime Compliance and Group General Manager, HSBC Holdings plc, and Director, Financial Crimes Enforcement Network.

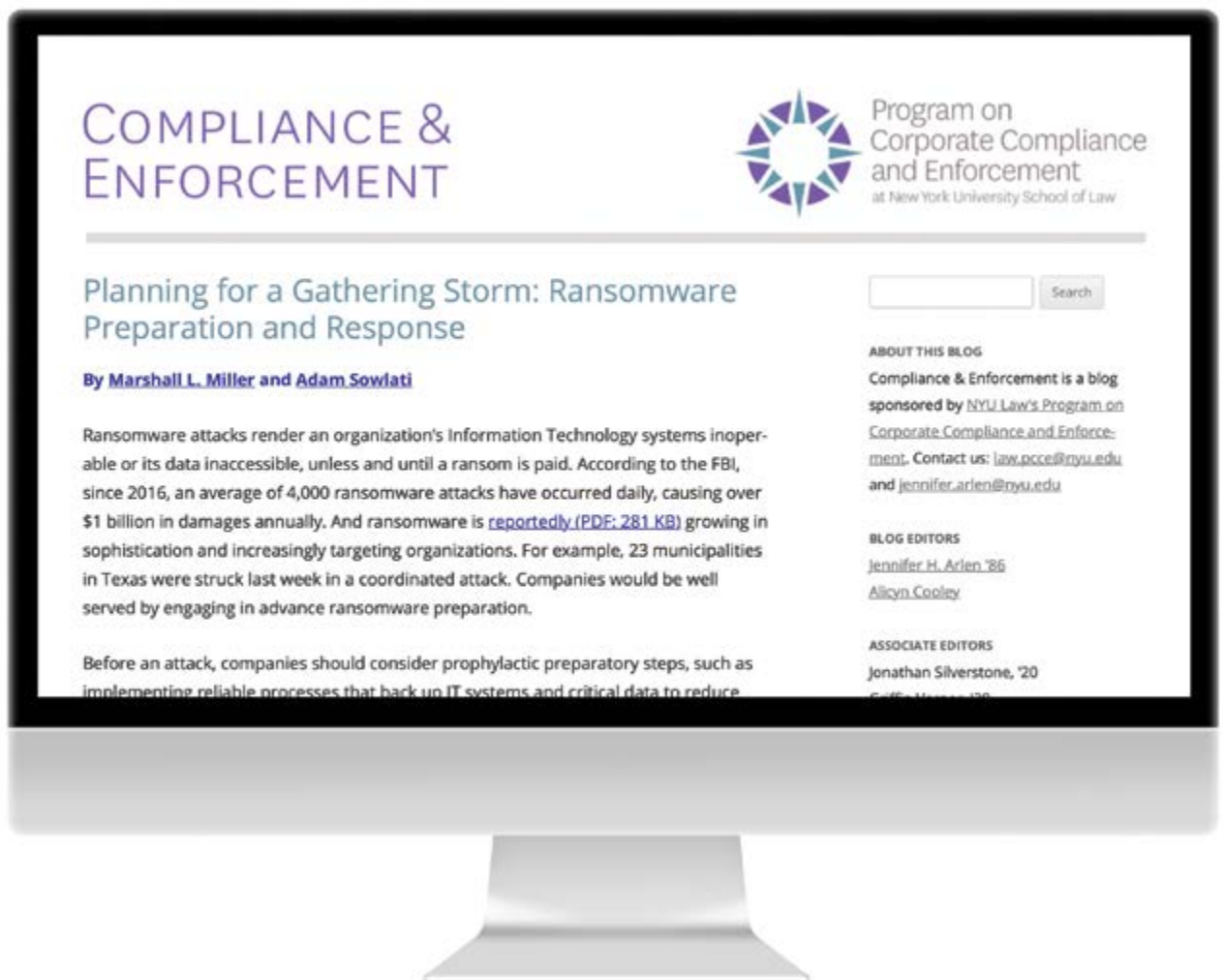
Compliance & Enforcement Blog

Launched in April 2016, PCCE's blog, *Compliance & Enforcement*, presents commentary and analysis on corporate compliance and enforcement written by academics, practitioners, compliance officers, and PCCE student fellows.

The blog is edited by PCCE's Executive Director, Alicyn Cooley, Jennifer Arlen '86, and PCCE's student Associate Blog Editors. The Associate Blog Editors for 2019-20 are Jonathan Silverstone, Griffin Varner, and Felix Zhang.

Previous Associate Blog Editors include: Faith Dibble '19, Jason Driscoll '18, Brian Gottlieb '19, Ashley Martin '18, Meredith Nelson '17, Natalie Noble '18, Kate Stein '19, and Peter Varlan '17.

The blog is available at: https://wp.nyu.edu/compliance_enforcement. New posts are added regularly. To become a subscriber or suggest a topic, contact PCCE at law.pcce@nyu.edu.



The Securities and Exchange Commission: Priorities Going Forward

A Panel Discussion with
Jay Clayton, Securities Assistant,
Peter Orszag, and Steven Wallman
Moderated by
POCC Director Jennifer Arlen
and ICGF Director Edward Rock

Thursday, September 15, 2017
3:30 PM - 5:00 PM
New York University School of Law
Leider Pollock Colloquium Room
345 Sullivan Street, 9th Floor




Presented by the Institute for Corporate Governance and Finance,
the Program on Corporate Compliance and Enforcement,
and the Pollock Center for Law & Innovation

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

Deterring Corporate Crime: The Promise and Challenge of Multiple Enforcers

Friday, October 6, 2017

New York University School of Law
60 Washington Square South, Greenberg Lounge (New Hall)



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

No Turning Back: 40 Years of the FCPA and 20 Years of the OECD Anti-Bribery Convention
Impacts, Achievements, and Future Challenges

Organizers: U.S. Department of Justice, Organisation for Economic Co-operation and Development, and U.S. Securities and Exchange Commission

Thursday, November 18, 2017
8:00 AM - 4:00 PM, Reception 8:00 - 8:45 PM
New York University School of Law
Greenberg Lounge
60 Washington Square South
Greenberg



NYU LAW

The Program on Corporate Compliance and Enforcement and the Institute for Corporate Governance and Finance present:

Perspectives on Enforcement: Self-Reporting and Cooperation at the Commodity Futures Trading Commission

Monday, September 25, 2017, 8:00 - 9:00 p.m.
Leider Pollock Colloquium Room



JAMES MCDONALD
Director of Enforcement
U.S. Commodity
Futures Trading Commission

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

Deterring Corporate Misconduct Through Negotiated Settlements: The Promise and Perils of Corporate Policing

Friday, April 5, 2019
New York University School of Law
Leider Pollock Colloquium Room
345 Sullivan Street
9th Floor



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

Global Cyber Threats: Corporate and Governmental Challenges to Protecting Private Data

Friday, April 6, 2018
New York University School of Law
Leider Pollock Colloquium Room
345 Sullivan Street



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

ICOs and Cryptocurrency: Innovation Meets Regulation

A panel discussion with Mike Lempert,
James McDonald, Thomas Ott,
Valerie Szczepanski, and Douglas Valters
Moderated by Pablo Quilones

Thursday, June 7, 2018
6:00 - 8:00 p.m.
New York University School of Law
Leider Pollock Colloquium Room
345 Sullivan Street, 9th Floor



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

Achieving Effective Compliance
Assessment | Internal Reporting | Technology | Remedial Monitors


Friday, October 12, 2014
New York University School of Law
Leider Pollock Colloquium Room
345 Sullivan Street
9th Floor



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

Cannabis—The Path to Regulation and Representation

Wednesday, December 3, 2019
New York University School of Law
Leider Pollock Colloquium Room
345 Sullivan Street
9th Floor



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

The New Face of AML Enforcement and Compliance

Wednesday, June 12, 2019
New York University School of Law
Leider Pollock Colloquium Room
345 Sullivan Street, 9th Floor




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

A New Model for Incentivizing Antitrust Compliance Programs

A speech by Makan Delrahim,
Assistant Attorney General,
Antitrust Division,
U.S. Department of Justice

Thursday, July 11, 2019
5:30 - 7:45 p.m.
New York University School of Law
Leider Pollock Colloquium Room
345 Sullivan Street, 9th Floor



NYU LAW

Thursday, April 5, 2018, 5:30 - 6:30 p.m.
Greenberg Lounge, New Hall, Room 601

A FIRESIDE CHAT

MODERATED BY
New York University School of Law
and U.S. Department of Justice

PRESIDENTED BY
Corporate Compliance and Enforcement
Program on Corporate Compliance and Enforcement



Policy

Through collaborative dialogue, analysis of enforcement policy and reforms, and fostering of internal corporate compliance efforts, PCCE works to promote effective enforcement policy and enhance corporate compliance while preserving business innovation and creativity.



PCCE hosts various events including:

- **Policy speeches** by senior government officials such as the U.S. Attorney General, Deputy Attorney General, and Chair of the SEC.
- **Full-day conferences** with panels composed of academics, judges, government officials, general counsel, chief compliance officers, and practitioners.
- **Policy roundtables and panels** that provide intimate, off-the-record explorations of new initiatives.
- **“Spotlight” panels and half-day conferences** that focus on current issues. Some previous panel topics include AML enforcement, cannabis regulation, cybersecurity, and ICOs and cryptocurrency.
- **International conferences and events** for foreign officials and practitioners.



David Green, Director,
U.K. Serious Fraud Office



Kenneth A. Blanco,
Director, Financial Crimes
Enforcement Network



Sung-Hee Suh, Deputy
Assistant Attorney General,
U.S. Department of Justice



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



Virginia Chavez Romano,
Associate Deputy
Attorney General,
U.S. Department of Justice



Benjamin Lawsky, Superintendent
of Financial Services, NY Depart-
ment of Financial Services



James McDonald, Director of
Enforcement, U.S. Commodity
Futures Trading Commission



Sandra Moser,
Acting Chief, Fraud Section,
Criminal Division, U.S.
Department of Justice



Drago Kos, Chair, OECD Working
Group on Bribery in International
Business Transactions



Judge Jed Rakoff,
U.S. District Judge,
Southern District of
New York



Hui Chen, Compliance
Counsel, Fraud Section,
U.S. Department of Justice



Heath Tarbert, Chair,
U.S. Commodity Futures
Trading Commission



Joyce Branda,
Deputy Assistant
Attorney General,
Civil Division, U.S.
Department of Justice



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



Tom Hardin, Tipper X Advisors



Andrew Weissmann,
Chief, Fraud Section,
Criminal Division, U.S.
Department of Justice

THIS
WILL
BE IN
THE
SPINE

Policy Speech 2018-19

Enforcement Trends at the CFTC

November 14, 2018

PCCE hosted a policy speech by James McDonald, Director of Enforcement for the U.S. Commodity Futures Trading Commission (CFTC). The speech updated the audience on the CFTC's activities over the past year, outlined the CFTC's major priorities and initiatives from the past year that will continue to guide them forward, and discussed recent developments in the CFTC's cooperation and self-reporting program.

The video of this speech can be found on the PCCE website (www.nyu.law.edu/centers/corporatecompliance).



James McDonald, Director of Enforcement,
U.S. Commodity Futures Trading Commission



Melinda Scott



Maria Sauer



Jonathan Rusch



James McDonald and Douglas Yatter



Karen Park

Policy Speech

A New Model for Incentivizing Antitrust Compliance Programs

July 11, 2019

PCCE hosted a policy speech by **Makan Delrahim**, Assistant Attorney General, Antitrust Division, U.S. Department of Justice. The speech announced the Antitrust Division's new approach to evaluating corporate compliance programs in antitrust investigations. Following the speech, there was a moderated panel to discuss the new approach.

Panelists and Moderator: **Robin Adelstein '87**, Norton Rose Fulbright US; **Andrew Finch**, Antitrust Division, U.S. Department of Justice; **Harry First**, NYU School of Law; **Renata Hesse**, Sullivan & Cromwell; **Jonathan Jacobson**, Wilson Sonsini Goodrich & Rosati; **Richard Powers**, Antitrust Division, U.S. Department of Justice.

The video of this speech can be found on the PCCE website (www.nyu.law.edu/centers/corporatecompliance).



Makan Delrahim, Assistant Attorney General,
Antitrust Division, U.S. Department of Justice



Sarah Simmons



Fiona Schaeffer



Antonia Apps



Joseph Vardner



Policy Roundtable

The Securities and Exchange Commission: Priorities Going Forward

September 5, 2017

PCCE co-hosted a roundtable discussion with the SEC Chair Jay Clayton; Co-Directors of the Division of Enforcement Stephanie Avakian and Steven Peikin; and Acting Director of the Office of Compliance Inspections and Examinations Peter Driscoll in cooperation with the Institute for Corporate Governance and Finance (ICGF) and the Pollack Center. Professors Jennifer Arlen '86 and Edward Rock moderated the discussion, which examined the SEC's enforcement priorities, the impact of self-reporting and cooperation, cybersecurity, and data analytics.

The video of this discussion can be found on the PCCE website (<https://www.law.nyu.edu/centers/corporatecompliance>).



Jay Clayton, Chair, U.S. Securities and Exchange Commission



Edward Rock, Peter Driscoll, Jennifer Arlen '86, Jay Clayton, Stephanie Avakian, and Steven Peikin



Simon Lorne, Walter Ricciardi '78, Judge Raymond Lohier '91, Michael Held '95, and Robert Khuzami



David DiBari



John White '73 and Robert Khuzami



Peter Driscoll, Steven Peikin, and Stephanie Avakian



Geoffrey Berman



Mary Jo White



Linda Thomsen, Stephanie Avakian, and Andrew Ceresney



Stephanie Avakian



Evan Chesler '75



David Kornblau



Antonia Apps and Lawrence Gerschwer



Stephen Cutler

Policy Speech

Perspectives on Enforcement: Self-Reporting and Cooperation at the CFTC

September 25, 2017

James McDonald, Director of Enforcement for the U.S. Commodity Futures Trading Commission, announced the CFTC's new policy on self-reporting and cooperation at an event co-hosted by PCCE and the ICGF. The policy highlighted the CFTC's willingness to reduce penalties substantially for companies that voluntarily self-report misconduct in a timely manner, fully cooperate with the CFTC throughout its investigation, and appropriately remediate to prevent the misconduct from recurring.



James McDonald, Director of Enforcement,
U.S. Commodity Futures Trading Commission



Dennis Suskind



Bob Fleishman and
Anne Termine



Diane Miller



Hilary Seo, Maria Sauer, and Karen Park



Charles Senatore, Michael Neus, and Kenneth Raisler '76



Bob Fleishman



Elizabeth Prewitt

Policy Roundtable

Fireside Chat with the SEC

April 5, 2018

PCCE and ICGF organized an evening event in which Professors Jennifer Arlen '86 and Edward Rock moderated a discussion between SEC General Counsel Robert Stebbins and SEC Solicitor Michael Conley on the SEC's priorities going forward. The panel discussed cyberguidance, ICOs and cryptocurrency, significant recent cases, the use of administrative courts, and whistleblower programs.



Robert Stebbins, Michael Conley, Jennifer Arlen '86, and Edward Rock



Edward Rock, Robert Stebbins, and Michael Conley



Timothy Lindon '80



Denis McInerney



Adam Wasserman



Avi Gesser '98

Policy Speech

Chair of the United States Securities and Exchange Commission Mary Jo White Addresses a New Model for SEC Enforcement

November 18, 2016

PCCE co-sponsored an address by the Chair of the U.S. Securities and Exchange Commission, Mary Jo White. Before a packed audience in NYU Law's Greenberg Lounge, Chair White delivered the address, *A New Model for SEC Enforcement: Producing Bold and Unrelenting Results*. Chair White focused on how the SEC has changed its approach to enforcement to punish and deter white collar misconduct. She highlighted several important changes, including: (1) instructing staff to conduct all investigations with the aim of obtaining evidence for use in litigation, (2) increased use of data analytics to detect and investigate misconduct, (3) expanding the use of, and rewards paid to, whistleblowers, and (4) increased focus on enforcement actions against the individuals responsible for misconduct more effectively, including senior officials.

The video and full text of SEC Chair White's speech can be found on the PCCE website (<https://www.law.nyu.edu/centers/corporatecompliance>).



Mary Jo White, Chair, U.S. Securities and Exchange Commission



Lorin Reisner, Andrew Ceresney, Thomas Baxter Jr., Jennifer Arlen '86, and Mary Jo White



Lorin Reisner, Mary Jo White, and Andrew Ceresney



Dean Trevor Morrison, Jennifer Arlen '86, Mary Jo White, and Geoffrey Miller

2016-17



Mary Jo White, Chair, U.S. Securities and Exchange Commission

Policy Speech

United States Deputy Attorney General Sally Quillian Yates Announces the Yates Memo

September 10, 2015

PCCE sponsored an address by Deputy Attorney General Sally Quillian Yates. To an audience that filled NYU Law's Greenberg Lounge, Yates announced new Department of Justice guidelines on individual accountability for corporate misconduct (the "Yates Memo").

The video and full text of DAG Yates's speech can be found on the PCCE website along with related press coverage (<https://www.law.nyu.edu/centers/corporatecompliance>).



Bart Schwartz '71, U.S. Attorney Deirdre Daly, and David Meister



Walter Ricciardi '78, John Savarese, and Karen Seymour



Senior Counsel Robert Capers and U.S. Attorney Paul Fishman



Judge Lewis Kaplan



Deputy Attorney General Sally Quillian Yates (third from left), U.S. Attorney Brian Stretch, Acting U.S. Attorney Kelly Currie, and U.S. Attorneys Deirdre Daly, Paul Fishman, and Charles Oberly

A photograph of Deputy Attorney General Sally Quillian Yates speaking at a podium. She is a woman with short brown hair, wearing a black blazer. To her left is a microphone and an American flag. The background is a light-colored wall with purple lettering, including a large 'M' visible on the right. A quote is overlaid on the bottom left of the image.

“In the few years since its launch, the Program on Corporate Compliance and Enforcement has made its mark here in New York and in the legal profession across the country. You have provided a much-needed venue to explore both the causes of and potential solutions to corporate misconduct.”

Deputy Attorney General Sally Quillian Yates

Policy Roundtables

Roundtable Discussion with Fraud Section Chief Andrew Weissmann and Compliance Counsel Hui Chen of DOJ's Criminal Division

November 13, 2015

PCCE hosted Andrew Weissmann, Chief of the Fraud Section, Criminal Division, U.S. Department of Justice, and Hui Chen, the new DOJ Compliance Counsel for the Fraud Section, for a discussion on corporate compliance and enforcement policy and the role of DOJ's new compliance counsel in corporate criminal enforcement. Video of the discussion is available on the PCCE website.



Andrew Weissmann



Hui Chen



Martine Beamon and Chinwe Esimai



Nicolas Bourtin



Eric Komfitee



Antonia Apps



David Pitofsky



George Canellos



Stacey Friedman and
Andrew Weissmann

Roundtable Discussion with Virginia Chavez Romano, Joyce Branda, and Sung-Hee Suh of the United States Department of Justice

January 21, 2016

Professor Jennifer Arlen '86 moderated a candid discussion with Virginia Chavez Romano, Associate Deputy Attorney General and Executive Director of the Financial Fraud Enforcement Task Force; Joyce R. Branda, Deputy Assistant Attorney General of the Civil Division; and Sung-Hee Suh, Deputy Assistant Attorney General of the U.S. Department of Justice on corporate compliance and enforcement policy in light of the September 2015 Yates Memo on individuality liability in corporate criminal misconduct and the recent revision to the U.S. Attorney's Manual's provisions on corporate criminal enforcement.



Virginia Chavez Romano



Sung-Hee Suh and Joyce Branda



David DiBari



Virginia Chavez Romano and Joyce Branda



David Levine



Scott Muller



Policy Speech



Attorney General Eric Holder



Brad Karp, Theodore Wells, and Judge Jed Rakoff



Daniel Stein, Richard Zabel, and David Meister



Sarah Coyne '98 and Lisa Kramer '98



Attorney General Eric Holder with Dean Trevor Morrison; U.S. Attorneys Paul Fishman, Preet Bharara, and Loretta Lynch; as well as Jennifer Arlen '86 and Geoffrey Miller

United States Attorney General Eric Holder Speaks on Corporate Crime

September 17, 2014

PCCE co-hosted U.S. Attorney General Eric Holder, who spoke about corporate crime and compliance to an audience of over 500 students, faculty, alumni, judges, and prominent lawyers from both the private and public sectors.

Speaking directly to Congress from Vanderbilt Hall's Tishman Auditorium, the Attorney General outlined three proposals to strengthen the DOJ's ability to investigate and prosecute illegal financial activities: imposing greater accountability on corporate executives; enhancing incentives for whistleblowers; and providing law enforcement with additional resources to investigate financial crimes.

Sitting in the front row of the audience, U.S. Attorneys Loretta Lynch (Eastern District of New York), Preet Bharara (Southern District of New York), and Paul Fishman (District of New Jersey) joined us at NYU to hear the Attorney General chronicle recent DOJ enforcement successes.

The video and full text of Attorney General Holder's speech can be found on the PCCE website along with related press coverage (<https://www.law.nyu.edu/centers/corporatecompliance>).

Conferences

Achieving Effective Compliance: Assessment | Internal Reporting | Technology | Remedial Monitors

October 12, 2018

Morning Keynote: **Lisa Osofsky**, Director, Serious Fraud Office, U.K.

Midday Keynote: **Brian A. Benczkowski**, Assistant Attorney General, Criminal Division, U.S. Department of Justice

Afternoon Keynote: **Geoffrey S. Berman**, U.S. Attorney, Southern District of New York

This conference brought together experts from the United States and overseas to discuss how organizations can most effectively structure compliance systems to deter misconduct. The conference began by analyzing the process that analysis enforcement officials and corporations use to assess effective compliance function. The next panels evaluated three enhancements for compliance: internal reporting, technology, and remedial monitors.

Panels included:

- Assessing Effective Compliance
- Behavioral and Structural Approaches to Internal and External Reporting
- Technology and Data-Driven Compliance
- Monitors as Stewards of Effective Compliance



Lisa Osofsky, Director, Serious Fraud Office, U.K.



Brian A. Benczkowski, Assistant Attorney General, Criminal Division, U.S. Department of Justice



Geoffrey S. Berman, U.S. Attorney, Southern District of New York



Robert Werner '86, John Gleeson, Neil Barofsky '95, Pablo Quiñones, Matthew Miner, and Bart Schwartz '71



Eric Glover, David DiBari, Diane Gujarati, and Michael McGarry



John Savarese



Edward Stroz, Bonnie Jonas, Patrick Gnazzo, Foster Provost, and Ifeoma Ajunwa



Celia Moore, Alfred Rosa, Daniel Kahn, Sharon Cohen Levin, and Geoffrey Miller



Andrew Weissmann and Lisa Osofsky



Bruce Yannett and
Scott Corrigan



Eugene Soltes, Elizabeth Morrison, Sean McKessy, Ann Tenbrunsel, and Timothy Lindon '80

Panelists, Moderators, and Speakers: Ifeoma Ajunwa, Cornell University; Jennifer Arlen '86, NYU School of Law; Neil Barofsky '95, Jenner & Block; Allison Caffarone '03, NYU School of Law; John Gleeson, Debevoise & Plimpton; Patrick Gnazzo, Better Business Practices; Bonnie Jonas, Pallas Global Group; Daniel Kahn, Fraud Section, Criminal Division, U.S. Department of Justice; Sharon Cohen Levin, Wilmer Cutler Pickering Hale and Dorr; Timothy Lindon '80, NYU School of Law; Sean McKessy, Phillips & Cohen; Geoffrey Miller, NYU School of Law;

Matthew Miner, Criminal Division, U.S. Department of Justice; Celia Moore, Bocconi University, Milan; Elizabeth Wolfe Morrison, NYU Stern School of Business; Foster Provost, NYU Stern School of Business; Pablo Quiñones, Quiñones Law; Alfred Rosa, General Electric Company; Bart Schwartz '71, Guidepost Solutions; Eugene Soltes, Harvard Business School; Edward Stroz, Stroz Friedberg, an Aon company; Ann Tenbrunsel, University of Notre Dame; Robert Werner '86, Green River Hollow Consulting.

Conferences

Detering Corporate Misconduct Through Negotiated Settlements: The Promise and Perils of Corporate Policing

April 5, 2019

Morning Keynote: **Drago Kos**, Chair, OECD Working Group on Bribery in International Business Transactions

Afternoon Keynote: **Joseph H. Hunt**, Assistant Attorney General, Civil Division, U.S. Department of Justice

This conference brought together experts from the United States and overseas to discuss how enforcement authorities can most effectively deter corporate misconduct. It analyzed the challenge of ensuring appropriate individual accountability for misconduct and evaluated the appropriate scope of corporate cooperation and its interaction with the attorney-client privilege. Additionally, it focused on the impact of corporate self-reporting and cooperation on the form and magnitude of corporate liability, and the challenges of coordination between multiple enforcers in the United States and overseas.

Panels included:

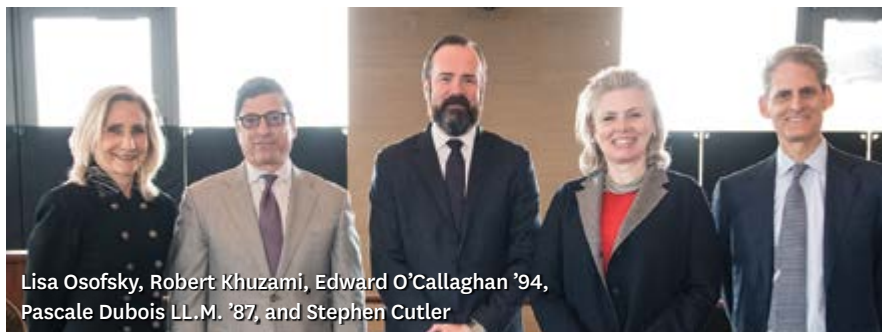
- Ensuring Appropriate Individual Accountability Through Individual Enforcement and Corporate Remediation
- Full Corporate Cooperation and Appropriate Protection of the Attorney-Client Privilege
- Corporate Enforcement Policy: Is It Achieving Optimal Deterrence?
- Coordination Across Enforcers: Investigations, Cooperation, and Sanctions



Joseph H. Hunt, Assistant Attorney General, Civil Division, U.S. Department of Justice



Drago Kos, Chair, OECD Working Group on Bribery in International Business Transactions



Lisa Osofsky, Robert Khuzami, Edward O'Callaghan '94, Pascale Dubois LL.M. '87, and Stephen Cutler



Sandra Moser and Jacquelyn Kasulis



Kathryn Reimann '32 and Maria Vullo '87



Lisa Osofsky and Robert Khuzami



Brad Karp, Matthew Miner, Sandra Leung, Pablo Quiñones, Eugene Soltes, and Lawrence Gerschwer



Stéphane Bonifassi, Stephen Dreyfuss, and Laurent Cohen-Tanugi



Bart Schwartz '71



Laura Grossfield Birger, Geoffrey Miller, Steven Peikin, James Meadows, David Meister, and Julie O'Sullivan



Eugene Soltes, Sandra Leung, Matthew Miner, and Brad Karp



Alun Milford and Michael McGarry

Panelists, Moderators, and Speakers:

Jennifer Arlen '86, NYU School of Law; **Laura Grossfield Birger**, Criminal Division, U.S. Attorney's Office, Southern District of New York; **Allison Caffarone '03**, NYU School of Law; **George Canellos**, Milbank, Tweed, Hadley & McCloy; **Stephen Cutler**, Simpson Thacher & Bartlett; **Kevin Davis**, NYU School of Law; **Pascale Dubois LLM '87**, The World Bank Group; **Emmanuel Farhat**, French Anticorruption Agency; **Lawrence Gerschwer**, Fried, Frank, Harris, Shriver & Jacobson; **Brad Karp**, Paul, Weiss, Rifkind, Wharton & Garrison; **Robert Khuzami**, U.S. Attorney's Office, Southern District of New York; **Sandra Leung**,

Bristol-Myers Squibb Company; **James Meadows**, Barclays; **David Meister**, Skadden, Arps, Slate, Meagher & Flom; **Alun Milford**, Kingsley Napley, U.K.; **Geoffrey Miller**, NYU School of Law; **Matthew Miner**, Criminal Division, U.S. Department of Justice; **Sandra Moser**, Quinn Emanuel Urquhart & Sullivan; **Edward O'Callaghan '94**, Office of the Deputy Attorney General, U.S. Department of Justice; **Lisa Osofsky**, Serious Fraud Office, U.K.; **Julie O'Sullivan**, Georgetown University Law Center; **Steven Peikin**, Division of Enforcement, U.S. Securities and Exchange Commission; **Pablo Quiñones**, Quiñones Law; **Eugene Soltes**, Harvard Business School.

Conferences

Negotiated Settlements in Bribery Cases: A Principled Approach

April 6, 2019

Keynote: **Drago Kos**, Chair, OECD Working Group on Bribery in International Business Transactions

PCCE hosted a conference that brought together experts from the United States and overseas to discuss how enforcement authorities can most effectively use negotiated corporate criminal resolutions to deter corporate misconduct. The conference included 10 presentations of scholarly chapters by authors from around the world and with a variety of backgrounds. The chapters will be published in a book entitled *Negotiated Settlements in Bribery Cases: A Principled Approach*.

Panels included:

- What Makes for an Effective Regime of Corporate Liability and Nontrial Resolutions
- Path of FCPA Settlements
- Prosecutors' Discretion over Corporate Nontrial Resolutions Around the World
- Settlements in The World Bank Sanctions System
- The Challenge of Multijurisdictional Settlements
- Privatization of Corporate Investigations



Drago Kos, Chair, OECD Working Group on Bribery in International Business Transactions



Eugene Soltes



Kevin Davis



Abiola Makinwa, Pascale Dubois LL.M. '87, and Brandon Garrett



William Laufer



Tina Søreide and Susan Rose-Ackerman



Stéphane Bonifassi



Urska Velikonja and Miriam Baer



Constantino Grasso

Panelists, Discussants, and Moderators:

Elizabeth Acorn, Yale University; **Jennifer Arlen** '86, NYU School of Law; **Miriam Baer**, Brooklyn Law School; **Stéphane Bonifassi**, Bonifassi Avocats; **Leonardo Borlini**, Università Bocconi; **Kevin Davis**, NYU School of Law; **Pascale Dubois LLM** '87, The World Bank; **Brandon Garrett**, Duke University School of Law;

Abiola Makinwa, The Hague University of Applied Sciences; **Sharon Oded**, Erasmus University Rotterdam; **Kathleen Peters**, The World Bank Group; **Susan Rose-Ackerman**, Yale Law School; **Peter Solmssen**, Abiquiu Valley Farm; **Eugene Soltes**, Harvard Business School; **Tina Søreide**, Norwegian School of Economics; **Kasper Vagle**, Norwegian School of Economics.

Conferences

Detering Corporate Crime: The Promise and Challenge of Multiple Enforcers

October 6, 2017

Keynote: **Rod J. Rosenstein**, Deputy Attorney General, U.S. Department of Justice

This conference brought together experts from the United States and overseas to discuss how to structure corporate enforcement policy, collateral sanctions, and corporate investigations in order to deter corporate crime.

Panels and presentations included:

- Corporate Criminal Enforcement: An International Perspective
- Comparing Different Approaches to Detering Corporate Misconduct
- Structuring Corporate Liability to Deter Corporate Misconduct
- Using Corporate Exclusion Policy to Deter Corporate Misconduct
- Investigations and Negotiations in the Shadow of Multi-Country Enforcement
- Corporate Criminal Enforcement: An International Perspective



Deputy Attorney General Rod J. Rosenstein



Dean Trevor Morrison and
Deputy Attorney General Rod J. Rosenstein



Gregory Demske and Cynthia Patton



Daniel Kahn



Sandra Moser



Theodore Wells Jr. and Daniel Levinson



Thierry Philipponnat



Marshall Miller, Ken Joseph, and Judge Raymond Lohier Jr.



Alun Milford



Patrick Stokes



Michael McGarry, Gil Childers, and Lawrence Gerschwer



Geoffrey Berman



Drago Kos



Jacquelyn Kasulis and Kevin Davis



Drago Kos, Alun Milford, Sara Sun Beale, Daniëlle Goudriaan, and Thierry Philipponnat

Panelists, Moderators, and Speakers:

Jennifer Arlen '86, NYU School of Law; **Sara Sun Beale**, Duke University School of Law; **Samuel Buell '92**, Duke University School of Law; **Stephen Choi**, NYU School of Law; **Claire Daams**, Monfrini Bitton Klein; **Kevin Davis**, NYU School of Law; **Daniëlle Goudriaan**, National Prosecutor's Office for Serious Fraud, Environmental Crime and Asset Confiscation, The Netherlands; **Daniel Kahn**, Fraud Section, Criminal Division, U.S. Department of Justice; **Jacquelyn Kasulis**, Business and Securities Fraud Section, U.S. Attorney's Office, Eastern District of New York; **Vikramaditya Khanna**, University of Michigan Law School; **Drago Kos**, OECD Working Group on Bribery in International Business Transac-

tions; **Daniel Levinson**, Office of Inspector General, U.S. Department of Health and Human Services; **Denis McInerney**, Davis Polk & Wardell; **Alun Milford**, Serious Fraud Office, U.K.; **Marshall Miller**, Wachtell, Lipton, Rosen & Katz; **Sandra Moser**, Fraud Section, Criminal Division, U.S. Department of Justice; **Steven Peikin**, Division of Enforcement, U.S. Securities and Exchange Commission; **Thierry Philipponnat**, Institut Friedland; **Claiborne Porter**, Money Laundering and Asset Recovery Section, Criminal Division, U.S. Department of Justice; **John Savarese**, Wachtell, Lipton, Rosen & Katz; **Patrick Stokes**, Gibson, Dunn & Crutcher; **Sung-Hee Suh**, White & Case; **Theodore Wells Jr.**, Paul, Weiss, Rifkind, Wharton & Garrison.

Conferences

No Turning Back: 40 Years of the FCPA and 20 Years of the OECD Anti-Bribery Convention

November 9, 2017

Morning Keynote: **Kenneth A. Blanco**,
Acting Assistant Attorney General, Criminal Division,
U.S. Department of Justice

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

Experts discussed the FCPA and OECD Anti-Bribery
Convention at a conference co-organized by the U.S.
Department of Justice, the Organisation for Economic
Co-operation and Development, and the U.S. Securi-
ties and Exchange Commission, and hosted by PCCE.

Panels included:

- The FCPA and the OECD Anti-Bribery Convention:
A Historical Perspective
- The FCPA's Impact on Corporate Behavior
- The OECD Anti-Bribery Convention's Impact on
Bribery and Corruption Over the Last 20 Years
- Implementing the OECD Anti-Bribery Convention:
Diverse Approaches
- Globalization: Increased Foreign Bribery Risks
and Increased Opportunities for Cooperation
- Corporate Liability for Foreign Bribery
- The FCPA and the OECD Anti-Bribery Convention:
Unfinished Business



Kenneth Blanco, Acting Assistant Attorney General,
Criminal Division, U.S. Department of Justice



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



Pascale Dubois LLM '87, Mark Bocchetti, and Mark Pieth



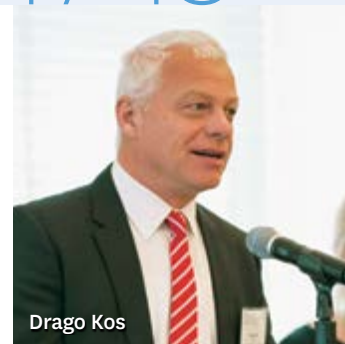
F. Joseph Warin, Kara Brockmeyer, and Mark Pieth



Charles Duross, Andreas Pohlmann, Kathryn Reimann '82,
and Laurent Cohen-Tanugi



Daniel Kahn, Nicola Bonucci, David Green, Yoshimitsu Yamauchi, and Eric Russo



Drago Kos



Charles Cain



David Green



Sandra Moser



Mark Pieth, Marianne Djupesland, Darryl Wegner, Charles Cain, and Sérgio Bruno Cabral Fernandes



Katherine Choo

Panelists and Moderators:

Jennifer Arlen '86, NYU School of Law; **Nicola Bonucci**, Organisation for Economic Co-operation and Development; **Rachel Brewster**, Duke University School of Law; **Kara Novaco Brockmeyer**, Debevoise & Plimpton; **Samuel Buell '92**, Duke University School of Law; **Markus Busch**, Federal Ministry of Justice and Consumer Protection, Germany; **Charles Cain**, FCPA Unit, Division of Enforcement, U.S. Securities and Exchange Commission; **Katherine Choo**, General Electric; **Laurent Cohen-Tanugi**, Laurent Cohen-Tanugi Avocats; **Kevin Davis**, NYU School of Law; **Marianne Djupesland**, Anti-Corruption Team, ØKOKRIM, Norway; **Pascale Dubois LLM '87**, World Bank Group; **Charles Duross**, Morrison & Foerster; **Peter Eigen**, Transparency International; **Sérgio Bruno Cabral Fernandes**, Prosecution Office, Federal District and Territories, Brazil; **David Green**, Serious Fraud Office, U.K.; **Fritz Heimann**, Transparency International; **Daniel Kahn**, Fraud Section, Criminal Division,

U.S. Department of Justice; **Drago Kos**, OECD Working Group on Bribery in International Business Transactions; **Paul Lagunes**, Columbia University; **Robert Luskin**, Paul Hastings; **Sandra Moser**, Fraud Section, Criminal Division, U.S. Department of Justice; **Patrick Moulette**, Organisation for Economic Co-operation and Development; **Mark Pieth**, OECD Working Group on Bribery in International Business Transactions; **Andreas Pohlmann**, Pohlmann & Company; **Kathryn Reimann '82**, Citibank, N.A. and Citi Global Consumer Banking; **Eric Russo**, National Financial Prosecutor's Office, France; **Matthew Stephenson**, Harvard Law School; **F. Joseph Warin**, Gibson, Dunn & Crutcher; **Darryl Wegner**, International Corruption Unit, Criminal Investigative Division, U.S. Federal Bureau of Investigation; **Yoshimitsu Yamauchi**, International Affairs Division, Criminal Affairs Bureau, Ministry of Justice, Japan.

Conferences

Global Cyber Threats: Corporate and Govern- mental Challenges to Protecting Private Data

April 6, 2018

Morning Keynote: **John Demers**, Assistant Attorney General, National Security Division, U.S. Department of Justice

Afternoon Keynote: **Jeh Charles Johnson**, Partner, Paul, Weiss, Rifkind, Wharton & Garrison, and former Secretary, U.S. Department of Homeland Security

Academics, enforcement officials, general counsels, compliance officers, and white collar defense lawyers came together to discuss how government regulators and companies can best address threats to the security of private data.

Panels included:

- Cybersecurity: Identifying and Responding to Next-Generation Threats
- Government Regulation: Existing Responses and Remaining Concerns
- Cybersecurity in Networks: Implications and Lessons from SWIFT's Customer Security Program
- Governance and Cyber Compliance



John Demers, Assistant Attorney General,
National Security Division, U.S. Department of Justice



Jeh Charles Johnson, Partner, Paul, Weiss, Rifkind,
Wharton & Garrison, and former Secretary,
U.S. Department of Homeland Security



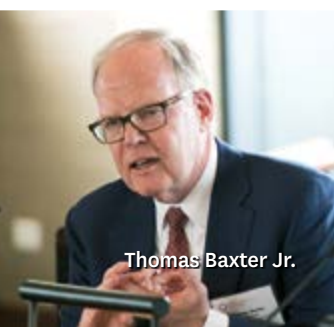
Kathryn Reimann '82,
Eugene Young, and David Khalily



Charlotte Goldberg, Peter Tippet,
and Stephanie Heller '91



Michael Held '95



Thomas Baxter Jr.



Brian Cincera, John Smith, and Avi Gesser '98



Yawar Shah



Randal Milch '85



David Shonka



Caroline Krass



Tom Glocer



Charlotte Goldberg, Peter Tippet,
and Stephanie Heller '91



John Smith



Marie Russo



Edward Stroz



Clark Russell '96

Panelists and Moderators: Jennifer Arlen '86, NYU School of Law; Thomas Baxter Jr., Sullivan & Cromwell; Peter Beshar, Marsh & McLennan Companies, Inc.; Jason Chipman, WilmerHale; Brian Cincera, Pfizer, Inc.; Robert Cohen '97, Cyber Unit, Division of Enforcement, U.S. Securities and Exchange Commission; Luke Dembosky, Debevoise & Plimpton; Judith Germano, NYU School of Law and Germano Law; Avi Gesser '98, Davis Polk & Wardwell; Thomas Glocer, BlueVoyant and Morgan Stanley; Charlotte Goldberg, The U.K. National Cyber Security Centre; Stephanie Heller '91, New York Federal Reserve; Richard Jacobs, Cyber Branch,

U.S. Federal Bureau of Investigation, New York Office; Caroline Krass, American International Group, Inc.; John Lynch, Computer Crime and Intellectual Property Section, U.S. Department of Justice; Randal Milch '85, NYU School of Law; Pablo Quiñones, NYU School of Law; Clark Russell '96, Bureau of Internet and Technology, New York State Office of the Attorney General; Yawar Shah, SWIFT and Citigroup, U.S.; David Shonka, Federal Trade Commission; John Smith, Raytheon; Edward Stroz, Stroz Friedberg, an Aon Company; Peter Tippet, Healthcelerate; Lisa Wiswell, GRIMM and HackerOne.

Conferences

Compliance: New Risks, Challenges, and Approaches

October 21, 2016

Keynote: **Maria T. Vullo '87**, Superintendent,
New York State Department of Financial Services

This conference brought together experts to discuss the changing role of compliance in business enterprise and how to harness information (both internal and external) to achieve efficient and effective compliance with the law.

Panels included:

- Sanctioning Compliance Officers: External and Internal Sanctions on Compliance Officers
- Whistleblowing and Compliance: Inducing Internal Reporting and Investigating in the Shadow of External Whistleblowing
- Harnessing Data Analytics to Enhance Compliance
- Compliance Beyond Procedures: Understanding Behavioral Compliance and Fostering a Culture of Business Ethics



Maria T. Vullo '87, Superintendent,
New York Department of Financial Services



Jamal El-Hindi and Barbara Patow



Stephen Hasegawa and Diana Sands



Bonnie Jonas and Donald Langevoort



Betty Santangelo



Martine Beamon



Jill Fisch and
Court Golumbic



Abby Meiselman '86



David Pitofsky



Timothy Lindon '80



Andrew Weissmann, Marshall Miller, and Aitan Goelman



Beth Golden



Brad Karp

Panelists and Moderators: Jennifer Arlen '86, NYU School of Law; Martine Beamon, Davis Polk & Wardwell; Thomas Bock, K2 Intelligence; Jamal El-Hindi, Financial Crimes Enforcement Network; Jill Fisch, University of Pennsylvania Law School; Court Golumbic, Goldman Sachs; Stephen Hasegawa, Phillips & Cohen; Bonnie Jonas, Pallas Global Group; Brad Karp, Paul, Weiss, Rifkind, Wharton & Garrison; Anthony Kelly, Asset Management Unit, Division of Enforcement, U.S. Securities and Exchange Commission; Donald Langevoort, Georgetown University Law Center; Timothy Lindon '80, Philip Morris

International; John Lucker, Deloitte & Touche; Geoffrey Miller, NYU School of Law; Elizabeth Wolfe Morrison, NYU Stern School of Business; Barbara Patow, HSBC Holdings plc; David Pitofsky, News Corp.; Foster Provost, NYU Stern School of Business; Edward Rock, NYU School of Law; Diana Sands, The Boeing Company; Joseph Sansone, Market Abuse Unit, Division of Enforcement, U.S. Securities and Exchange Commission; Betty Santangelo, Schulte Roth & Zabel; Serina Vash, NYU School of Law; Andrew Weissmann, Fraud Section, Criminal Division, U.S. Department of Justice

Conferences

Conference on Expanding Individual Accountability for Corporate Misconduct

March 31, 2017

Keynote: **Mark Steward**, Director of Enforcement and Market Oversight, Financial Conduct Authority, U.K.

This conference examined the evolving and optimal scope of individual liability for corporate misconduct. It focused on efforts to hold senior executives accountable for crimes by their subordinates.

Panels included:

- Why Do They Do It?
- External Liability and Internal Sanctions for Supervisors
- Empirical Analysis of Securities Fraud Enforcement
- Responsible Corporate Officer Doctrine Liability with Enhanced Sanctions
- Corporate Investigations After the Yates Memo



Mark Steward,
Director of Enforcement
and Market Oversight,
Financial Conduct Authority, U.K.



Michael Held '95



Jesse Fried



Lisa Zornberg and Judge Jed Rakoff



Michael Loucks, Kate Stith, and Gregory Demske



Jonathan Olin



Andrew Donohue '75



Court Golumbic



David Meister



Steven Peikin



Nancy Kestenbaum



Andrew Ceresney



William Laufer and
Eugene Soltes



Sung-Hee Suh and Andrew Weissmann



Jeffrey Knox



Michael Neus



Michael Holston

Panelists, Moderators, and Speakers:

Jennifer Arlen '86, NYU School of Law; Andrew Ceresney, Debevoise & Plimpton; Stephen Choi, NYU School of Law; Gregory Demske, Office of Inspector General, U.S. Department of Health and Human Services; Jesse Fried, Harvard Law School; Michael Held '95, Federal Reserve Bank of New York; Michael Holston, Merck; Nancy Kestenbaum, Covington & Burling; Jeffrey Knox, Simpson Thacher & Bartlett; Michael Loucks, Skadden, Arps, Slate, Meagher & Flom; David Meister, Skadden, Arps,

Slate, Meagher & Flom; Geoffrey Miller, NYU School of Law; Jonathan Olin, formerly of the U.S. Department of Justice; Steven Peikin, Sullivan & Cromwell; Judge Jed Rakoff, U.S. District Court, Southern District of New York; Eugene Soltes, Harvard Business School; Kate Stith, Yale Law School; Serina Vash, NYU School of Law; Andrew Weissmann, Fraud Section, Criminal Division, U.S. Department of Justice; Lisa Zornberg, Criminal Division, U.S. Attorney's Office, Southern District of New York

Conferences

Conference on Corporate and Individual Liability for Corporate Misconduct After the Yates Memo

April 8, 2016

Keynote: **David Green**, Director,
Serious Fraud Office, U.K.

This conference focused on the September 2015 Yates Memo, examining the evolution, efficacy, and future of corporate criminal enforcement policy for individuals and firms, both in the United States and abroad. In addition, scholars presented empirical research on corporate criminal settlements and SEC enforcement policy.

Panels included:

- The Relationship Between Individual and Corporate Liability
- Evidence on DOJ and SEC Enforcement Policy
- Enforcement Agencies' Treatment of Firms That Self-Report
- Independent Consultants and Monitors
- Coordination Across Enforcement Agencies



David Green, Director, Serious Fraud Office, U.K.



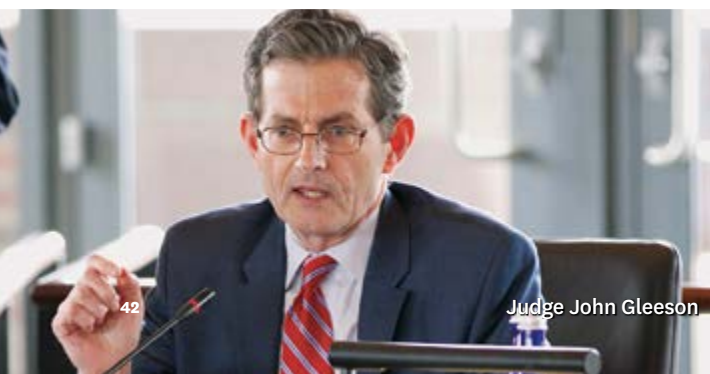
Pablo Quiñones



Aitan Goelman



John Savarese



Judge John Gleeson



Douglas Lankler



Sandra Leung



Kathryn Reimann '82



Winston Paes



Bonnie Jonas



Thomas Baxter Jr.



Charles Senatore



Bart Schwartz '71



Sung-Hee Suh



F. Joseph Warin



Joyce Branda



Daniel Kahn



Stephen Cutler

Panelists and Moderators: Cindy Alexander, George Mason University; **Jennifer Arlen '86**, NYU School of Law; **Thomas Baxter Jr.**, Federal Reserve Bank of New York; **Joyce Branda**, Civil Division, U.S. Department of Justice; **Andrew Ceresney**, Division of Enforcement, U.S. Securities and Exchange Commission; **Stephen Choi**, NYU School of Law; **Stephen Cutler**, JPMorgan Chase & Co.; **Kevin Davis**, NYU School of Law; **John Gleeson**, Debevoise & Plimpton; **Aitan Goelman**, Division of Enforcement, U.S. Commodity Futures Trading Commission; **Bonnie Jonas**, Pallas Global Group; **Daniel Kahn**, Fraud Section, Criminal Division, U.S. Department of Justice; **Douglas Lankler**, Pfizer; **Sandra Leung**, Bristol-Myers Squibb Company; **Geoffrey Miller**,

NYU School of Law; **Marshall Miller**, Wachtell, Lipton, Rosen & Katz; **Winston Paes**, Business and Securities Fraud Section, U.S. Attorney's Office, Eastern District of New York; **Pablo Quiñones**, Fraud Section, Criminal Division, U.S. Department of Justice; **Virginia Chavez Romano**, Office of the Deputy Attorney General, U.S. Department of Justice; **Veronica Root**, University of Notre Dame Law School; **John Savarese**, Wachtell, Lipton, Rosen & Katz; **Bart Schwartz '71**, Guidepost Solutions; **Brent Snyder**, Antitrust Division, U.S. Department of Justice; **Kate Stith**, Yale Law School; **Sung-Hee Suh**, Criminal Division, U.S. Department of Justice; **Serina Vash**, NYU School of Law; **F. Joseph Warin**, Gibson, Dunn & Crutcher; **Bruce Yannett '85**, Debevoise & Plimpton

Conferences

Conference on Corporate Crime and Financial Misdealing

April 17-18, 2015

Lunch Keynote: **Leslie Caldwell**,
Assistant Attorney General, Criminal Division,
U.S. Department of Justice

Dinner Keynote: **Judge Jed Rakoff**,
U.S. District Judge, Southern District of New York

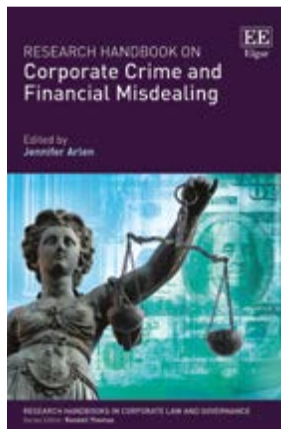
This interdisciplinary conference brought together scholars from law, business, sociology, economics, and psychology to present original papers on corporate crime and securities fraud. The papers were published as chapters in the book *Research Handbook on Corporate Crime and Financial Misdealing* (Jennifer Arlen ed.; Edward Elgar Publishing, 2018).



Assistant Attorney General Leslie Caldwell



Michal Barzuza



Daniel Richman



Kevin Davis





Matthew Stephenson



Tina Søreide



Bruce Yannett '85



Vikramaditya Khanna



Judge Jed Rakoff

Panelists, Discussants, and Moderators:

Cindy Alexander, George Mason University;
Jennifer Arlen '86, NYU School of Law;
Miriam Baer, Brooklyn Law School; **Rachel Brewster**, Duke University School of Law;
Darryl Brown, University of Virginia School of Law; **Samuel Buell '92**, Duke University School of Law; **Emiliano Catan LLM '10**, NYU School of Law; **Stephen Choi**, NYU School of Law;
Kathleen Clark, Washington University School of Law; **Mark Cohen**, Vanderbilt Law School;
Kevin Davis, NYU School of Law; **Alexander Dyck**, University of Toronto; **David Freeman Engstrom**, Stanford Law School; **Jean Ensminger**, California Institute of Technology; **Jeffrey Gordon**, Columbia Law School; **Marcel Kahan**, NYU School of Law;
Jonathan Karpoff, University of Washington; **Vikramaditya Khanna**, University of Michigan

Law School; **Michael Klausner**, Stanford Law School; **Paul Lagunes**, Columbia University;
William Laufer, Wharton School of Business; **Marcia Miceli**, Georgetown University;
Thomas Miles, University of Chicago Law School; **Geoffrey Miller**, NYU School of Law;
Janice Nadler, Northwestern University School of Law; **Anthony Niblett**, University of Toronto;
J.J. Prescott, University of Michigan Law School; **Adam Pritchard**, University of Michigan Law School;
Daniel Richman, Columbia Law School; **Susan Rose-Ackerman**, Yale Law School;
Sally Simpson, University of Maryland; **Tina Søreide**, University of Bergen, Norway;
Andrew Spalding, University of Richmond School of Law; **Matthew Stephenson**, Harvard Law School; **Tom Tyler**, Yale Law School; **David Webber '02**, Boston University School of Law

Conferences

Achieving Safe and Responsible Enterprise: Principles of Effective Compliance and Emerging Enforcement Policy

May 8, 2015

Keynote: **Donald Langevoort**,
Thomas Aquinas Reynolds Professor of Law,
Georgetown University Law Center

This conference explored the principles of effective compliance, optimal compliance objectives, balancing the requirements of compliance programs with fundamental business objectives, and understanding both organizational structure and organizational behavior in achieving compliance with the law. From an enforcement perspective, the conference considered how enforcement policy can best be structured to support, promote, and reward effective corporate compliance efforts. The afternoon presentation, “ALI Principles of the Law, Compliance, Enforcement, and Risk Management for Corporations, Nonprofits, and Other Organizations,” addressed the development of a comprehensive legal treatise on the laws of compliance, enforcement, risk management, and governance.



Donald Langevoort, Georgetown Law Center



Martine Beamon



Jeff Benjamin '71



Lisa Polsky



Daniel Alter



Andrew Ceresney



Richard Zabel, Lorin Reisner, and Denis McInerney



Jules Kroll and Martin Lipton LL.B. '55



Richard Zabel



Jeffrey Knox



Charles Senatore, Judge Jack Jacobs, and Veronica Root



E. Scott Gilbert



Kathryn Reimann '82

Panelists and Moderators: Daniel Alter, NYU School of Law; Jennifer Arlen '86, NYU School of Law; Martine Beamon, Davis Polk & Wardwell; Jeff Benjamin '71, Avon Products; Andrew Ceresney, Division of Enforcement, U.S. Securities and Exchange Commission; James Fanto, Brooklyn Law School; E. Scott Gilbert, Marsh & McLennan Companies; Claire Hill, University of Minnesota Law School; Jeffrey Knox, Simpson Thacher & Bartlett; Jules Kroll, K2 Intelligence; Geoffrey Miller, NYU School of Law; Marshall Miller, Criminal Division, U.S. Department of Justice; Lisa Polsky, CIT Group; Kathryn Reimann '82, Citigroup; John Savarese, Wachtell, Lipton, Rosen & Katz; Serina Vash, NYU School of Law; Richard Zabel, U.S. Attorney's Office, Southern District of New York

Conferences

Detering Corporate Crime: Effective Principles for Corporate Enforcement

April 4-5, 2014

Lunch Keynote: **Preet Bharara**, United States Attorney, Southern District of New York

Dinner Keynote: **Benjamin Lawsky**, Superintendent of Financial Services, New York Department of Financial Services

At this conference, academics, enforcement officials from the DOJ and the SEC, judges, and other experts discussed how best to structure enforcement policy to maximize deterrence of corporate misconduct. The American Law Institute co-sponsored the event.

Panels included:

- Corporate and Individual Criminal Liability: Theory and Evidence
- Corporate Enforcement: Deciding Whether to Prosecute or Use Pretrial Diversion
- Non-Monetary Corporate Sanctions: Appropriate Use and Content of Structural Reforms and Monitorships
- Individual Liability: Appropriate Form, Scope, and Reach
- Securities Fraud and Financial Institutions Liability
- Foreign Corrupt Practices Act: Extending Liability Beyond Borders and Beyond Corporate Veils
- Private Investigation of Public Wrongs: Self-Reporting and Whistleblowing



U.S. Attorney Preet Bharara



Sheila Cheston

Panelists, Moderators, and Other Presenters:

Cindy Alexander, U.S. Securities and Exchange Commission; **Daniel Alter**, New York State Department of Financial Services; **Jennifer Arlen '86**, NYU School of Law; **Miriam Baer**, Brooklyn Law School; **Bradford Berenson**, General Electric; **Lanny Breuer**, Covington & Burling; **Samuel Buell '92**, Duke University School of Law; **John Buretta**, Cravath, Swaine & Moore; **Charles Cain**, FCPA Unit, U.S. Securities and Exchange Commission; **Mark Califano**, American Express;

George Canellos, Milbank, Tweed, Hadley & McCloy; **Judge Valerie Caproni**, U.S. District Court, Southern District of New York; **Andrew Ceresney**, Division of Enforcement, U.S. Securities and Exchange Commission; **Sheila Cheston**, Northrop Grumman; **Stephen Choi**, NYU School of Law; **Stephen Cutler**, JPMorgan Chase & Co.; **Kevin Davis**, NYU School of Law; **David Freeman Engstrom**, Stanford Law School; **Brandon Garrett**, University of Virginia School of Law; **Judge John Gleeson**, U.S. District Court, Eastern District of New York; **Michael Granston**, Civil Fraud Section,



Judge Raymond Lohier Jr. '91



Stephen Cutler



John Buretta and Judge John Gleeson



Jules Kroll and Judge Valerie Caproni



Andrew Weissmann



Benjamin Lawskey



Robert Khuzami



Eric Grossman



Judge Gerard Lynch, Mythili Raman, and Scott Muller

Civil Division, U.S. Department of Justice; **Eric Grossman**, Morgan Stanley; **Bonnie Jonas**, U.S. Attorney's Office, Southern District of New York; **Robert Khuzami**, Kirkland & Ellis; **Michael Klausner**, Stanford Law School; **Jeffrey Knox**, Fraud Section, Criminal Division, U.S. Department of Justice; **Reinier Kraakman**, Harvard Law School; **Jules Kroll**, K2 Intelligence; **Judge Raymond Lohier Jr. '91**, U.S. Court of Appeals for the Second Circuit; **Judge Gerard Lynch**, U.S. Court of Appeals for the Second Circuit; **Denis McInerney**, formerly with the

U.S. Department of Justice; **Scott Muller**, Davis Polk & Wardwell; **Julie O'Sullivan**, Georgetown University Law Center; **Matthew Queler**, FCPA Unit, Criminal Division, U.S. Department of Justice; **Judge Jed Rakoff**, U.S. District Court, Southern District of New York; **Mythili Raman**, formerly of the U.S. Department of Justice; **Daniel Richman**, Columbia Law School; **John Savarese**, Wachtell, Lipton, Rosen & Katz; **Andrew Weissmann**, NYU School of Law; **Bruce Yannett '85**, Debevoise & Plimpton

Spotlight Panels and Half-Day

PCCE organizes evening panels and half-day conferences that focus on important and timely issues. These events typically are held under a form of the Chatham House Rule.

The New Face of AML Enforcement and Compliance

June 12, 2019

PCCE Executive Director **Allison Caffarone '03** organized a half-day conference on some of the most pressing issues surrounding money laundering and terrorist financing. The participants discussed and evaluated the effectiveness of the U.S. regime governing information and data sharing as well as how corporate compliance programs are leveraging new and emerging technologies to combat money laundering. The conference was moderated by Allison Caffarone and Sharon Levine. **Keynote Speaker: Kenneth A. Blanco**, Director, Financial Crimes Enforcement Network

Panelists and Moderators: **Daniel Alonso '90**, Exiger; **H. Rodgin Cohen**, Sullivan and Cromwell; **Sharon Cohen Levin** (Moderator), Wilmer Cutler Pickering Hale and Dorr; **Joseph Facciponti**, Murphy & McGonigle; **Marcy Forman**, Citigroup; **Court Golumbic**, Goldman Sachs; **Michael Held '95**, Federal Reserve Bank of New York; **Rachel Kaufman**, J.P. Morgan Chase; **Sarah Runge**, Credit Suisse; **Jason Schultz**, NYU School of Law; **Maria Vullo '87**, NYU School of Law and former Superintendent, New York Department of Financial Services



Conferences



Geoffrey Miller, Sam Kamin, Hilary Bricken, and Sharon Cohen Levin



Timothy Lindon '80



Hilary Bricken



Michael Abbott, Bret Ladine, Kyle Kazan, Mark Kleiman, and Timothy Lindon '80

Cannabis—The Path to Regulation and Representation

December 5, 2018

PCCE Senior Academic Fellow **Geoffrey Miller** and PCCE Senior Fellow **Timothy Lindon '80** organized and moderated panels for a half-day conference that discussed the ethical and practical issues facing lawyers, financiers, and others representing the cannabis industry. The program also examined models of regulation and compliance for the industry.

Panels included:

- Ethical and Practical Issues for Lawyers and Others Representing the Cannabis Industry
- Regulation and Compliance in the Cannabis Industry

Panelists: **Michael Abbott**, Columbia Care; **Hilary Bricken**, Harris & Bricken; **Sam Kamin**, University of Denver Sturm College of Law; **Kyle Kazan**, California Cannabis Enterprises; **Mark Kleiman**, Marron Institute of Urban Management, NYU; **Sharon Cohen Levin**, Wilmer Cutler Pickering Hale and Dorr; **Bret Ladine**, California Department of Business Oversight

Spotlight Panels

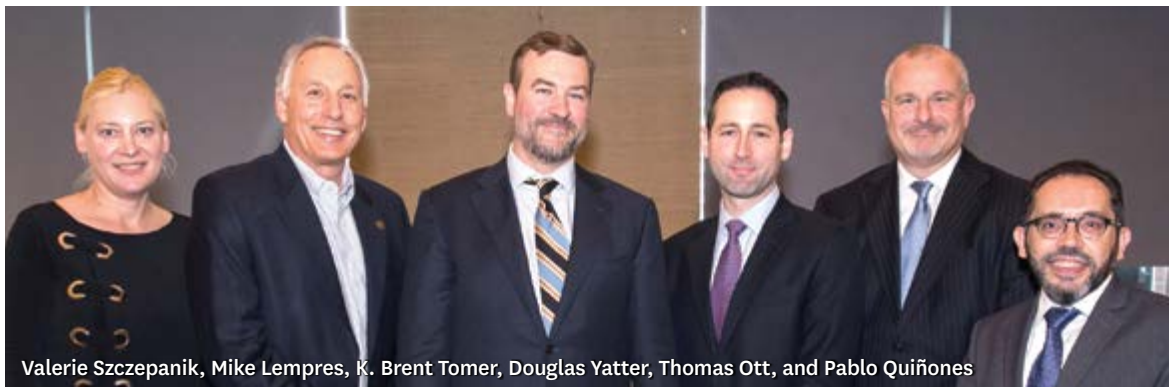


Shifting Tides in Anti-Money Laundering Enforcement and Regulation

May 1, 2019

PCCE Senior Fellow **Jonathan Rusch** moderated a discussion by distinguished AML experts who discussed the key features of current trends in AML enforcement and regulation and provided expert analysis of their likely direction and effects on the U.S. and global financial sectors.

Panelists: **Zachary Goldman '09**, Wilmer Cutler Pickering Hale and Dorr; **Ellen Lafferty**, HSBC Bank USA, N.A.; **Justin Lerer**, Paul, Weiss, Rifkind, Wharton & Garrison; **Matthew Levine**, New York State Department of Financial Services; **Ellen Zimiles**, Navigant



ICOs and Cryptocurrency: Innovation Meets Regulation

June 7, 2018

PCCE Executive Director **Pablo Quiñones** moderated a discussion on the regulation of initial coin offerings (ICOs) and cryptocurrencies. The event explored the regulatory approaches used by the SEC, CFTC, and FinCEN, and the legal and compliance challenges that companies face in properly navigating ICO and cryptocurrency markets.

Panelists: **Mike Lempres**, Coinbase; **Thomas Ott**, Financial Crimes Enforcement Network; **Valerie Szczepanik**, U.S. Securities and Exchange Commission; **K. Brent Tomer**, Division of Enforcement, U.S. Commodity Futures Trading Commission; **Douglas Yatter**, Latham & Watkins



Scott Sarafian, Zachary Goldman '09, Serina Vash, Marshall Miller, and Thomas Harrington

Cybersecurity Risk and Regulation

February 15, 2017

PCCE hosted a moderated evening event on government regulations designed to improve corporate cybersecurity. The panel discussed the implementation of the New York Department of Financial Services' new cybersecurity rule, and its potential impact on the financial sector, as well as the federal government's anticipated Enhanced Cyber Risk Management Standards.

Panelists included: **Zachary K. Goldman '09**, Center on Law & Security and Center for Cybersecurity, NYU School of Law; **Thomas Harrington**, Citi, and former Associate Deputy Director, U.S. Federal Bureau of Investigation; **Marshall Miller**, Wachtell, Lipton, Rosen & Katz; **Scott Sarafian**, U.S. Secret Service, Electronic Crimes Task Force-NYC.



Tom Hardin

From Successful Securities Analyst to Convicted Felon: The Shocking Inside Story of the Largest Insider Trading Investigation

February 22, 2018

PCCE Senior Fellow Michael Neus interviewed **Tom Hardin**, the FBI's Tipster X at the center of a series of criminal insider trading prosecutions by the U.S. Attorney for the Southern District of New York.



Preet Bharara

Preet Bharara: Reflections

May 9, 2017

PCCE and ICGF co-sponsored an address by **Preet Bharara** former U.S. Attorney for the Southern District of New York, who reflected upon his time as a United States Attorney.

Spotlight Panels

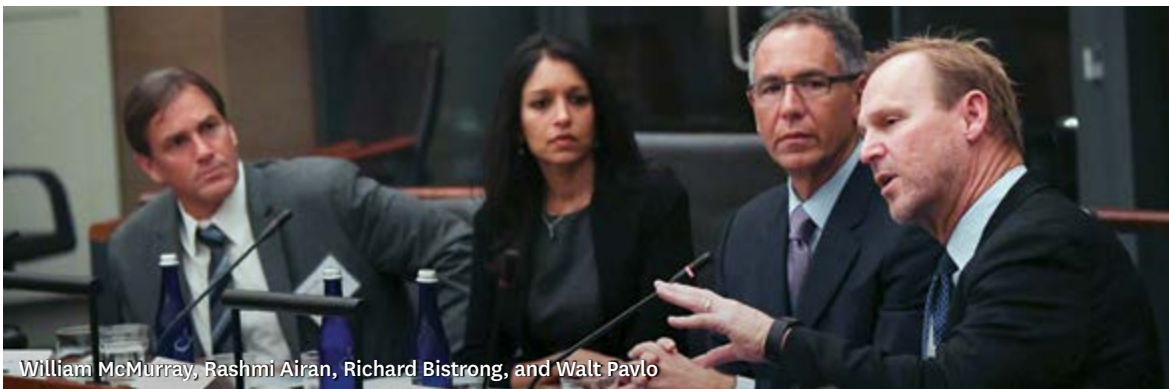


Jennifer Arlen '86, Michael Neus, Antonia Apps, Greg Morvillo, and Winston Paes

Insider Trading Enforcement in the Wake of *Salman*

December 20, 2016

PCCE Faculty Director **Jennifer Arlen '86** moderated a discussion of the impact of the Supreme Court's December 6, 2016, decision in *Salman v. United States* on insider trading enforcement. Panelists included: **Antonia Apps**, Milbank, Tweed, Hadley & McCloy; **Greg Morvillo**, Morvillo; **Michael Neus**, Perry Capital; and **Winston Paes**, Business and Securities Fraud Section, U.S. Attorney's Office, Eastern District of New York.



William McMurray, Rashmi Airan, Richard Bistrong, and Walt Pavlo

Wading into the Gray: Compliance and Enforcement Lessons

November 30, 2016

PCCE hosted a moderated conversation on the contributing causes of white collar crime with three people convicted of white collar crimes—**Rashmi Airan**, **Richard Bistrong**, and **Walt Pavlo**—and FBI Special Agent **William McMurray**. Airan, Bistrong, and Pavlo discussed the circumstances that led them to commit white collar crimes, and identified inflection points in law and business decision-making and compliance processes where questions, interventions, knowledge, or relationships could have helped them make better, more ethical decisions.

PCCE Beyond Borders



International Outreach

PCCE Program on Corporate Enforcement Policy for Mission from Indonesia

July 29, 2019

Jennifer Arlen '86 led a roundtable discussion on enforcement policy and foreign corruption for a delegation from Indonesia's Anti-Corruption Commission's legislative drafting team.



PCCE Program on Innovation in Compliance: International Mission from Brazil

April 29-30, 2019

PCCE hosted a series of lectures at NYU School of Law for a delegation from Brazil organized by the American Chamber of Commerce in Brazil. The lectures were followed by panels on crisis management and innovative practices on fraud detection and prevention.

Faculty: **Jennifer Arlen '86**, NYU School of Law; **Judith Germano**, NYU School of Law; and **Geoffrey Miller**, NYU School of Law.

Speakers and Panelists: **Allison Caffarone '03**, NYU School of Law; **Aitan Goelman**, Zuckerman Spaeder; **Court Golumbic**, Goldman Sachs; **Joseph Jaffe '69**, Guidepost Solutions; **Tatiana Martins**, Davis Polk & Wardwell; **Marshall Miller**, Wachtell, Lipton, Rosen & Katz; **Edward Nowicki**, Pfizer; **Foster Provost**, NYU Stern School of Business; **Patrick Ryan**, StoneTurn Group; **Edward Stroz**, Stroz Friedberg, an Aon company.



International Academy of Financial Crime Litigators Meeting

November 30, 2018

PCCE hosted the International Academy of Financial Crime Litigators for their first meeting. Participants gave presentations on important issues and trends in white collar crime litigation.

Participants: **Derek Adler**, Hughes Hubbard & Reed; **Jennifer Arlen '86**, NYU School of Law; **Stéphane Bonifassi**, Bonifassi Avocats; **Daniel Lucien Bühr**, LALIVE; **Lincoln Caylor**, Bennett Jones; **Frederick Davis**, Debevoise & Plimpton; **Gretta Fenner**, Basel Institute on Governance; **Kai Hart-Hönig**, Kai Hart-Hönig Rechtsanwälte; **Donald Manasse**, Donald Manasse Law Firm; **David Massey**, Richards Kibbe & Orbe; **Anastasia Nesvetailova**, City, University of London; **Keith Oliver**, Peters & Peters; **Elizabeth Ortega**, ECO Strategic Communications; **Mark Pieth**, University of Basel; **Pablo Quiñones**, Quiñones Law; **Domingos Refinetti**, Stocche Forbes; **Dominika Stępińska-Duch**, Raczkowski; **Harry Travers**, BCL Solicitors; **Lisa van der Wal**, De Roos & Pen; **Bruce Zagaris**, Berliner Corcoran & Rowe.



Recommendation 6 Meeting

September 14, 2018

PCCE hosted a roundtable event to work on a recommendation for the OECD regarding their upcoming rule on non-prosecution agreements and deferred prosecution agreements.

Participants: **Jennifer Arlen '86**, NYU School of Law; **Kara Brockmeyer**, Debevoise & Plimpton; **Laurent Cohen-Tanugi**, Laurent Cohen-Tanugi Avocats; **Kevin Davis**, NYU School of Law; **Brandon Garrett**, Duke University School of Law; **Knut Hoeivik**, Equinor ASA; **Sharon Oded**, De Brauw Blackstone Westbroek; **Pablo Quiñones**, Quiñones Law; **Peter Solmssen**, Abiquiu Valley Farm; **Tina Søreide**, Norwegian School of Economics.



International Outreach

Roundtable with Working Group on Anti-Corruption of the Italian Ministry on Foreign Affairs

May 24, 2018

PCCE hosted a discussion with members of the NYU School of Law faculty and the Working Group on Anti-Corruption of the Italian Ministry on Foreign Affairs. **Justice Professor Francesco Viganò** presented “Preventing Corruption: The Role of Public-Private Partnership in Italy,” and **Professor Jennifer Arlen ’86** presented “How to Turn Corporate Criminals into Corporate Cops: The Use of Negotiated Settlements in the U.S. Experience.”

Participants: Jennifer Arlen ’86, NYU School of Law; Michelle Austin, NYU School of Law; Kevin Davis, NYU School of Law; Alfredo Durante Mangoni, Ministry of Foreign Affairs; Luigi Marini, Italian Mission at the UN; Michael Neus, NYU School of Law; Raffaele Piccirillo, Ministry of Justice; Pablo Quiñones, NYU School of Law; Nicola Selvaggi, NYU School of Law; Francesco Viganò, Italian Constitutional Court.



Back Row: Michael Neus, Luigi Marini, Francesco Viganò, Raffaele Piccirillo, and Nicola Selvaggi
Front Row: Kevin Davis, Alfredo Durante Mangoni, Pablo Quiñones, and Jennifer Arlen ’86

Conference for Brazilian Delegation at NYU

September 13, 2016

PCCE hosted a conference at NYU School of Law for a delegation from Brazil organized by the American Chamber of Commerce in Brazil. Brazilian compliance officers, risk management officers, and white collar defense lawyers heard presentations on corporate criminal enforcement policy, the Foreign Corrupt Practices Act, commercial bribery, and anti-money laundering, and were provided practical guidance on compliance initiatives.



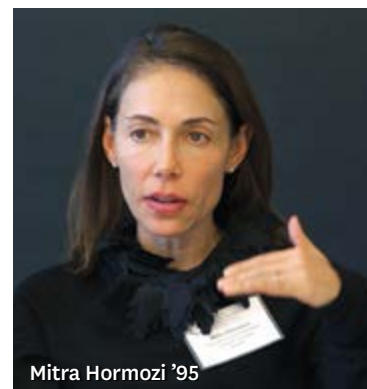
Speakers: Daniel Alter, NYU School of Law; Jennifer Arlen ’86, NYU School of Law; Miriam Baer, Brooklyn Law School; Sarah Coyne ’98, Debevoise & Plimpton; Giovanni Paolo Falcetta, TozziniFreire Advogados (Brazil); Daniel Fridman, White & Case LLP (Miami); Scott Muller, Davis Polk & Wardwell; Serina Vash, NYU School of Law

Conference for Delegation of Chinese Prosecutors

November 13–14, 2017

PCCE hosted a series of lectures and a panel at NYU School of Law for a delegation of prosecutors from China that included lectures on Foreign and Commercial Corruption; Corporate Enforcement Policy; Securities Fraud and Insider Trading; Money Laundering; Cybersecurity; and a panel of practitioners on Effective Compliance.

Speakers: **Jennifer Arlen '86**, NYU School of Law, **Stephen Choi**, NYU School of Law; **Christina Dugger**, JPMorgan Chase & Co.; **Zachary Goldman '09**, NYU School of Law; **Mitra Hormozi**, Revlon Inc.; **Sharon Cohen Levin**, Wilmer Cutler Pickering Hale and Dorr; **Charles Senatore**, Devonshire Investors, Fidelity Investments; **Douglas Yatter**, Latham & Watkins.



International Conferences

Conference on Corporate Liability for Corruption

June 29-30, 2017, Buenos Aires, Argentina

Organized and sponsored by NYU School of Law and Universidad de Buenos Aires (UBA) Law School with the support of PCCE, Centro de Estudios Anticorrupción, Universidad de San Andrés (CEA-UdeSA), and International Development Research Center, Canada, this two-day conference explored Corporate Liability for Corruption;

Anti-Bribery Compliance Programs; International Investigations and Cooperation with Law Enforcement; Sanctions; Transnational Coordination; and Corporate Liability for Corruption in Argentina.



Mark Pieth



Kevin Davis and Matthew Stephenson



Marcelo Alegre



Fernando Basch and Carlos Cruz

Panelists, moderators, and discussants: **Jennifer Arlen '86**, NYU School of Law; **Osvaldo Artaza**, Universidad de Talca (Chile); **Fernando Basch**, CEA-UdeSA (Argentina); **Mary Beloff**, UBA (Argentina); **Marc Berger**, Ropes & Gray; **Samuel Buell '92**, Duke University School of Law; **Carlos Cruz**, UBA (Argentina); **Kevin Davis**, NYU School of Law; **Carlos Portugal Gouvêa**, Universidade de São Paulo (Brazil); **Carlos González Guerra**, Ministerio de Justicia y Derechos Humanos (Argentina); **Guillermo Jorge**, CEA-UdeSA (Argentina) and NYU Law in Buenos Aires; **Mora Kantor**, Oficina Anticorrupción (Argentina); **Antenor Madrugá**, FeldensMadruga (Brazil); **Héctor Mairal**, Marval O'Farrell & Mairal (Argentina); **Stefano Manacorda**, Seconda Università di Napoli (Italy) and University of London (U.K.); **Ivan Meini Mendez**, Pontificia Universidad Católica del Perú (Peru); **Erica Pedruzzi LL.M. '95**, CEA-UdeSA (Argentina); **Mark Pieth**, Universität Basel (Switzerland); **Raquel de Mattos Pimenta**, Universidade de São Paulo (Brazil); **Raúl Saccani**, Deloitte Argentina and CEA-UdeSA (Argentina); **Matthew Stephenson**, Harvard Law School; **Martin Zapata**, International Anti-Corruption Academy (Austria)

Business Beyond Borders: Law, Firms, and Markets in the U.S. and China

January 17-18, 2014, Shanghai, China

This two-day conference brought together leading academics and leaders from government, business, and law in China to discuss regulation and development of securities markets, corporate criminal liability, anti-corruption enforcement, antitrust enforcement in markets dominated by state-owned enterprises, and enhanced environmental regulation. The conference was co-sponsored by PCCE, NYU Shanghai, NYU School of Law, NYU Stern School of Business, and Shanghai Jiao Tong University, KoGuan Law School.



HUI Mei, China Financial Futures Exchange

Keynote speaker: HU Ruyin, Chief Economist, Shanghai Stock Exchange; **Speakers: Jennifer Arlen '86**, NYU School of Law; **John Asker**, NYU Stern School of Business; **BAI Haifeng**, Guotai Asset Management Co., Ltd.; **Ira Belkin '82**, NYU School of Law; **Eric Carlson**, Covington & Burling LLP (Beijing); **Jennifer Carpenter**, NYU Stern School of Business; **Christine Yixin Chen '01**, JPMorgan Chase (Beijing); **Kevin Davis**, NYU School of Law; **Cynthia Estlund**, NYU School of Law; **Eleanor Fox LLB '61**, NYU School of Law; **Yang Fuqiang**, Natural Resources Defense Council; **Harrison Hong**, NYU Stern School of Business; **HOU Liyang**, KoGuan Law School; **HUI Mei**, China Financial Futures Exchange; **Kose John**, NYU Stern School of Business; **LI Audry LLM '02**, Zhong Lun Law Firm; **MIAO Gregory**, Skadden, Arps, Slate, Meagher & Flom (Hong Kong); **Geoffrey Miller**, NYU School of Law; **Ken Miller**, Teneo Holdings, LLC; **Owen Nee, Jr.**, Greenberg Traurig (New York & Shanghai); **Michael Posner**, NYU Stern School of Business; **QI Bin**, Beijing Institute of Securities and Futures; **SHAM Alain**, Department of Justice, Hong Kong; **SHEN Wei**, KoGuan Law School; **Amy Sommers**, K&L Gates LLP; **TANG Yingmao**, Peking University Law School; **TAO Jingzhou**, Dechert, LLP; **Auret van Heerden**, NYU Stern School of Business; **WANG Lin**, IKEA (China); **Charlie Weng**, Shanghai Jiao Tong University, KoGuan Law School; **XIAO Kai**, Shanghai People's Procuratorate, Financial Crimes Department; **XU Gao**, Everbright Securities; **XU Lucy LLM '03**, White & Case (Shanghai); **David Yermack**, NYU Stern School of Business; **ZHU Jun**, KoGuan Law School; **ZHU Ning**, Shanghai Advanced Institute of Finance.

International Conferences

Annual Law and Banking Finance Conference

From 2014 to 2016, PCCE partnered with Eidgenössische Technische Hochschule (ETH), the Swiss Federal Institute of Technology, to host conferences on legal and economic issues relating to the regulation of financial institutions. The events were held alternately in New York and Zurich.

The New Financial System in a Post-Crisis World

June 3-4, 2016, New York, New York

Speakers: **Barry Adler**, NYU School of Law; **Ryan Bubb**, NYU School of Law; **Rainer Haselmann**, Goethe University House of Finance, Frankfurt; **Gerard Hertig**, ETH Zurich; **Henry Hu**, University of Texas School of Law; **Roman Inderst**, Goethe University House of Finance, Frankfurt; **Victoria Ivashina**, Harvard Business School; **Kathryn Judge**, Columbia Law School; **Jan Pieter Krahnen**, Goethe University House of Finance, Frankfurt; **Prasad Krishnamurthy**, UC Berkeley School of Law; **Samuel Lee**, Santa Clara University Leavey School of Business and Swedish House of Finance; **Geoffrey Miller**, NYU School of Law; **Adriano Rampini**, Duke University Fuqua School of Business; **Morgan Ricks**, Vanderbilt Law School; **Roberta Romano**, Yale Law School; **Simone Sepe**, University of Arizona College of Law/Department of Finance and IAST, France; **Carolyn Sissoko**, USC Gould School of Law; **David Skeel**, University of Pennsylvania Law School; **Bruce Tuckman**, NYU Stern School of Business

Governance and Risk-Taking

May 29-30, 2015, Zurich, Switzerland

Speakers: **Barry Adler**, NYU School of Law; **Stefan Bechtold**, ETH Zurich; **Ryan Bubb**, NYU School of Law; **Charles Calomiris**, Columbia Business School; **Luca Enriques**, University of Oxford Faculty of Law; **Hans Gersbach**, ETH Zurich; **Rainer Haselmann**, Goethe University House of Finance, Frankfurt; **Martin Hellwig**, Max Planck Institute, Bonn;

Gerard Hertig, ETH Zurich; **Roman Inderst**, Goethe University House of Finance, Frankfurt; **Kathryn Judge**, Columbia Law School; **Jan Pieter Krahnen**, Goethe University House of Finance, Frankfurt; **Geoffrey Miller**, NYU School of Law; **Marco Pagano**, University of Naples; **Lev Ratnovski**, International Monetary Fund; **Georg Ringe**, Copenhagen Business School; **Jean-Charles Rochet**, University of Zurich; **Roberta Romano**, Yale Law School; **Simone Sepe**, University of Arizona College of Law/Department of Finance and IAST, France; **David Skeel**, University of Pennsylvania Law School

Regulating Risk-Taking in a Post-Credit Crisis Environment

May 16-17, 2014, New York, New York

Speakers: **Viral Acharya**, NYU Stern School of Business; **Barry Adler**, NYU School of Law; **John Armour**, University of Oxford; **Thorsten Beck**, Cass Business School; **Ryan Bubb**, NYU School of Law; **Charles Calomiris**, Columbia Business School; **Hans Gersbach**, ETH Zurich; **Jeffrey Gordon**, Columbia Law School; **Gerard Hertig**, ETH Zurich; **Kathryn Judge**, Columbia Law School; **Jan Pieter Krahnen**, Goethe University House of Finance, Frankfurt; **Geoffrey Miller**, NYU School of Law; **Marco Pagano**, University of Naples; **Enrico Perotti**, University of Amsterdam; **Lev Ratnovski**, International Monetary Fund; **Morgan Ricks**, Vanderbilt Law School; **Jean-Charles Rochet**, University of Zurich; **Mark Roe**, Harvard Law School; **Roberta Romano**, Yale Law School; **David Skeel**, University of Pennsylvania Law School; **Bruce Tuckman**, NYU Stern School of Business

Education

NYU School of Law provides the most in-depth curriculum in the areas of compliance and enforcement of any leading law school. PCCE has helped the Law School develop courses and bring in internationally recognized experts to teach them. PCCE also provides educational, research, and career-building opportunities to students through the Student Fellows program, opportunities to edit or write for our *Compliance & Enforcement* blog, events targeted at students, and students access to our other events.



Programs for Students

PCCE Student Fellows

Each year, a group of outstanding students is accepted into our program as fellows. Our student fellows are given the opportunity to write blog posts. Fellows also attend PCCE events and networking lunches, as well as two annual receptions for all of our fellows (student, academic, and senior). Every year, three student fellows act as Associate Blog Editors.

2019–2020 PCCE Fellows: Jessica Allen '20, Guilherme Donega LLM '20, Monica Finke '20, Kate Ghotbi '20, Molly Henneberry '20, Yelena Niazyan '20, Kristen Proe '20, Jonathan Silverstone '20, Brian Umana '20, Griffin Varner '20, Felix Zhang '20.

Previous PCCE Student Fellows: Samuel Bieler '19, Sara Bodner '18, Tony Cheng '18, Adam Crider '15, Deepa Devanathan '19, Faith Dibble '19, Jason Driscoll '18, Miriam Furst '16, Theodore Galanakis '17, Ben Gitlin '17, Jerry Goldsmith '15, Brian Gottlieb '19, Penelope Hamilton '19, Rahul Hari '16, Sarah Higgins '17, Naveen Jayaraman '15, Laura Kaufmann '19, Jessica Lepper '17, Ashley Martin '18, Jack Neff '16, Meredith Nelson '17, Natalie Noble '18, Alice Phillips '18, Joshua Pirutinsky '19, Ryan Rakower '16, Michael Rebuck '19, Max Rodriguez '15, Katya Roze '17, Emmanuel Sanders '17, Carmi Schickler '17, Courtney Seager '19, Stephanie Spies '16, Timothy Sprague '15, Katherine Stein '19, Noah Susskind '15, Stephen Thompson '15, Peter Varlan '17, Cristina Vasile '16, Susan Wang '16, Erica Weiner '18, Breck Wilmot '17.

NYU School of Law Curriculum

PCCE's faculty directors have helped NYU School of Law develop the premier curriculum on corporate compliance and enforcement.

Core courses include:

Business Crime
Compliance and Risk Management for Attorneys
Survey of Securities Regulation

Additional courses include:

Accounting for Lawyers
Asset Forfeiture and Money Laundering Seminar
Corporate Crime and Financial Misdealing Seminar
Corporate Finance

Criminal Procedure: The Adjudicatory Part—From First Appearance to Post Conviction
Criminal Securities and Commodities Fraud Seminar
Cybersecurity Law and Technology Seminar
Ethical and Legal Challenges in the Modern Corporation
Financial Instruments and the Capital Markets
Issues in SEC Enforcement Seminar
Law and Business of Human Rights
Law and Management of Financial Services Businesses

Money and Modern Capitalism: Law and Business
Prosecution Externship—Eastern District
Prosecution Externship—Eastern District Seminar
Prosecution Externship—Southern District
Prosecution Externship—Southern District Seminar
Regulation of Foreign Corrupt Practices

Role of the Corporate General Counsel Seminar
Sentencing Seminar
The Art and Science of Financial Regulation Seminar
Whistleblower Law: Deterring Fraud Against the Government
White Collar Crime and the Capital Markets Seminar

A full list of course offerings is available on our website at www.law.nyu.edu/pcce.

Events for Students

Lunchtime Roundtables

Practical Tips for Developing Careers in Corporate Compliance and Enforcement—The Law Firm Perspective

March 14, 2019

Panelists: Lilia Bazova, Latham & Watkins; **Arian June**, Debevoise & Plimpton; **Timothy Lindon '80** (Moderator), Senior Fellow, PCCE; **Nicole Love**, Fried, Frank, Harris, Shriver & Jacobson



Compliance at the Top: Lessons from Prominent Chief Compliance Officers

November 16, 2017

Panelists: **George Chang '97**, Senior Vice President, D. E. Shaw & Co., former Chief Compliance Officer of GLG Inc. and Rockbay Capital; **Marc Elovitz '90**, Chair of Schulte, Roth and Zabel's Investment Management Regulatory & Compliance Group; **Timothy Lindon '80**, former Vice President and Chief Compliance Officer, Philip Morris International; **Kathryn S. Reimann '82**, Chief Compliance Officer and Managing Director, Citibank, N.A. & Global Consumer Businesses

Regulatory Officials: Public Service in Practice

October 12, 2017

Panelists: **Andrew Donohue '75**, former Chief of Staff, U.S. Securities and Exchange Commission; **Manal Sultan**, Deputy Director, Division of Enforcement, U.S. Commodity Futures Trading Commission; **Stuart E. Leblang**, Partner, Akin Gump and former Associate International Tax Counsel at the U.S. Department of Treasury

The Role and Life of a Prosecutor

September 14, 2017

Panelists: **Nicole Argentieri**, Assistant U.S. Attorney and Chief of the Public Integrity Section of the U.S. Attorney's Office for the Eastern District of New York; **Brenda Fischer**, Assistant District Attorney and Chief of the Cybercrime and Identity Theft Bureau, New York County; **Bonnie Jonas**, Co-Founder, Pallas Global Group LLC, former Prosecutor in the U.S. Attorney's Office for the Southern District of New York; **Serina Vash**, former Prosecutor in the U.S. Attorney's Office for the District of New Jersey

Maximize the Summer Associate Experience

April 27, 2017

Panelists: **Antonia Apps**, Partner, Milbank, Tweed, Hadley & McCloy; **Matthew Shiels LL.M. '08**, Partner, Kirkland & Ellis; **Jocelyn Strauber**, Partner, Skadden Arps

Climbing the Corporate Ladder

April 19, 2017

Panelists: **Steven Kessler**, former General Counsel, Goldman Sachs Prime Brokerage; **Emily Locher**, General Counsel, Summit Rock; **Stuart Rubin**, former General Counsel, FLAG TELECOM

Events for Students



Grant Wahl, Marc Agnifilo, Serina Vash, Marshall Miller, and Antonia Apps

Red Card for FIFA: Inside the Case Against Global Soccer

September 16, 2015

This panel explored the federal investigation that led to the indictment of world soccer officials in an alleged \$150 million bribery scheme. The panelists discussed how the investigation came about, implications of the racketeering, wire fraud, and money laundering charges for the individual defendants and FIFA, and why the United States exercised jurisdiction.

Moderator: Serina Vash. Panelists: Marc Agnifilo, Senior Trial Counsel, Brafman & Associates; **Antonia Apps**, Partner, Milbank, Tweed, Hadley & McCloy; **Marshall Miller**, PCCE Senior Fellow, NYU School of Law; **Grant Wahl**, Senior Writer, *Sports Illustrated*



Daniel Alter, George Canellos, Jennifer Arlen '86, Andrew Goldstein, and Drew Hruska

Banks Behind Bars: Convicting BNP Paribas and Credit Suisse

February 25, 2015

The panel examined the 2014 convictions of Credit Suisse and BNP Paribas, exploring the investigations, the decision to convict, and the coordinated enforcement effort between the U.S. Attorney's Office, the New York Attorney General, and the New York Department of Financial Services.

Moderator: Jennifer Arlen '86. Panelists: Daniel Alter, Former General Counsel, New York Department of Financial Services; **George Canellos**, Global Head of Litigation, Milbank, Tweed, Hadley & McCloy; **Andrew Goldstein**, Assistant U.S. Attorney, Southern District of New York; **Drew Hruska**, Partner, King & Spalding



Andrew Donohue '75, Geoffrey Miller, Boyd Johnson III, and Pamela Root '80

Suddenly Sexy: How Compliance Went from Ho-Hum to Hot

January 22, 2014

This panel spotlighted the burgeoning field of compliance, demonstrating that compliance lawyers and professionals drive strategic decision-making in today's complex corporate world.

Moderator: Geoffrey Miller. Panelists: Pamela Root '80, Managing Director, Citigroup Global Markets; **Andrew Donohue '75**, Managing Director and Deputy General Counsel, Goldman Sachs Asset Management; **Boyd Johnson III**, Partner, Wilmer Cutler Pickering Hale and Dorr



Jennifer Arlen '86, Bonnie Jonas, Kevin Davis, Peter Lattman, and John Nathanson

Insider Trading: Hedge Funds in the Crosshairs

October 13, 2013

This panel discussed the surge in insider trading enforcement activity against hedge funds and their employees by the U.S. Department of Justice and the U.S. Securities and Exchange Commission.

Moderator: Kevin Davis. Panelists: Jennifer Arlen '86, NYU School of Law; **Bonnie Jonas**, Deputy Chief, Criminal Division, U.S. Attorney's Office, Southern District of New York; **Peter Lattman**, Business Reporter, the *New York Times*; **John Nathanson**, Partner, Shearman & Sterling

NYU Faculty Experts

With 13 faculty experts at the Law School, the Program on Corporate Compliance and Enforcement draws from a deep and knowledgeable academic bench.



Jennifer Arlen '86

Norma Z. Paige Professor of Law;
Faculty Director and Co-Founder, Program
on Corporate Compliance and Enforcement



Kevin Davis

Beller Family Professor of Business Law



Rachel Barkow

Vice Dean and Segal Family Professor of
Regulatory Law and Policy; Faculty Director,
Center on the Administration of Criminal Law;
Member, United States Sentencing Commission



Harry First

Charles L. Denison Professor of Law;
Co-Director, Competition, Innovation,
and Information Law Program



Stephen Choi

Murray and Kathleen Bring Professor of Law;
Director, Pollack Center for Law & Business



Scott Hemphill

Professor of Law



Robert Jackson Jr.

Professor of Law (on leave); Commissioner,
U.S. Securities and Exchange Commission



Geoffrey Miller

Stuyvesant P. Comfort Professor of Law;
Senior Academic Fellow, Program on
Corporate Compliance and Enforcement



James Jacobs

Chief Justice Warren E. Burger Professor
of Constitutional Law and the Courts; Director,
Center for Research in Crime and Justice



Michael Ohlrogge

Assistant Professor of Law



Marcel Kahan

George T. Lowy Professor of Law



Edward Rock

Martin Lipton Professor of Law;
Director, Institute for Corporate
Governance & Finance



Randal S. Milch '85

Faculty Co-Chair, Center for Cybersecurity;
Distinguished Fellow, Center on Law
and Security; Professor of Practice



Helen Scott

Professor of Law; Co-Director, Leadership
Program on Law and Business



Program on Corporate Compliance and Enforcement

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