



***Assessing Effective Compliance***  
PCCE's Spring 2022 Compliance Conference  
March 24 and 25, 2022 (via Zoom)

## Agenda

### **Thursday, March 24, 2022**

8:55 a.m.      Opening Remarks

9:00-9:20 a.m.    **Academic Lecture: Eugene Soltes**, Harvard Business School

9:20-9:30 a.m.    Break

9:30-10:30 a.m.    **Panel: How Can Firms Determine If Compliance Is Effective?**

*Moderator:* Jennifer Arlen

*Panelists:* Hui Chen, *Founder, HuiChenEthics.com; Chief Integrity Adviser, Hawaii Attorney General's Office*

Matt Galvin, *Global Vice President for Ethics and Compliance, AB-InBev*

Klaus Moosmayer, *Member of the Executive Committee and Chief Ethics Risk and Compliance Officer of Novartis*

Avi Perry, *Acting Chief, Market Integrity and Major Frauds Unit, Fraud Section, U.S. Department of Justice*

10:30-10:40 a.m.    Break

10:40-11:40 a.m.:    **Panel: How Monitors Should Test Compliance Efficacy**

*Moderator:* Pablo Quinones

*Panelists:* Lisa Miller, *Deputy Assistant Attorney General, U.S. Department of Justice*

Preston Pugh, *Partner, Crowell & Moring*

Bart Schwartz, *Chairman and Founder, Guidepost Solutions*

Steven P. Solow, *Partner, Baker Botts*

11:40-11:50 a.m.    Break

11:50 a.m.-

12:30 p.m.:    **Keynote: Kenneth A. Polite, Jr.**, Assistant Attorney General, Criminal Division, U.S. Department of Justice

### **Friday, March 25, 2022**

9:25 a.m.      Opening Remarks



9:30-10:30 a.m. **Panel: AI and Compliance**

*Moderator: Julie Copeland, Executive Director, PCCE*

*Panelists: Vasant Dhar, Professor of Information Systems, NYU Stern School of Business*

*Avi Gesser, Partner, Debevoise & Plimpton*

*Fahreen Kurji, Chief Customer Intelligence Officer, Behavox*

*Haimera Workie, Vice President and Head of Financial Innovation, Financial Industry Regulatory Authority*

10:30-10:40 a.m. Break

10:40-11:40 a.m.: **Panel: Creating and Assessing Corporate Culture at the Employee Level**

*Moderator: Timothy Lindon*

*Panelists: Eric Feldman, Senior Vice President and Managing Director, Corporate Ethics and Compliance Programs for Affiliated Monitors, Inc.*

*Andrew Gentin, Acting Chief, Corporate Enforcement, Compliance, & Policy Unit, U.S. Department of Justice*

*Jeffrey Knox, Partner, Simpson & Thacher*

*Celia Moore, Professor of Organisational Behaviour, Imperial College Business School*

11:40-11:50 a.m. Break

11:50 a.m.-

12:30 p.m.: **Keynote: Himamauli Das**, Acting Director, Financial Crimes Enforcement Network