



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

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*