

Jennifer H. Arlen
Norma Z. Paige Professor of Law
Founder and Faculty Director
Program on Corporate Compliance and Enforcement
NYU School of Law

Jennifer Arlen is an internationally recognized expert on corporate criminal liability and enforcement policy. Author of 48 scholarly publications, Arlen currently is the Associate Reporter on corporate enforcement policy for the American Law Institute's Principles of Law on Compliance and Enforcement for Organizations. She is the former President of both the American Law and Economics Association and the Society for Empirical Legal Studies (which she co-founded in 2005), and serves on the Editorial Board of the American Law and Economics Review.

Arlen received her B.A. in economics from Harvard College (1982, magna cum laude) and her J.D. (1986, Order of the Coif) and Ph.D. in economics (1992) from New York University. She has been a Visiting Professor at the California Institute of Technology, Harvard Law School, and Yale Law School, and was the Ivadelle and Theodore Johnson Professor of Law and Business at USC Gould School of Law before coming to NYU. She clerked for Judge Phyllis Kravitch on the U.S. Court of Appeals for the 11th Circuit. Arlen teaches Corporations, Business Crime, and a seminar on Corporate Crime and Financial Misdealing.

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

Hui Chen is an international leader and expert in organizational integrity. She was the first Compliance Expert at the U.S. Department of Justice, and authored the "Evaluation of Corporate Compliance Programs" document that redefined compliance expectations. She began her career as a federal prosecutor in the Department of Justice in Washington DC and New York, then served in senior legal and compliance positions in Microsoft Corporation, Pfizer Inc., and Standard Chartered Bank, in locations ranging from Munich and Beijing to New York and London. She has been published and interviewed frequently, including in the Harvard Business Review, Bloomberg Law, Wall Street Journal and MSNBC. She works with companies on compliance strategies through her private practice at HuiChenEthics.com, and conducts research and writing. She has contributed a chapter on "The Use and Measurement of Compliance Programs in the Legal and Regulatory Domains" in an upcoming book on "Measuring Compliance", published by Cambridge University Press.

Julie Copeland
Executive Director
Program on Corporate Compliance and Enforcement
NYU School of Law

Ms. Copeland, a former state (New York County District Attorney's Office) and federal prosecutor (the U.S. Attorney's Office for the Eastern District of New York), has spent the bulk of her legal career in the financial services industry. Starting at Merrill Lynch, she ran the first anti-money laundering unit in the securities industry. She spent the next nine years at Merrill Lynch, rising to the post of global head of anti-money laundering, sanctions and FCPA compliance. Upon leaving Merrill Lynch, Ms. Copeland joined IDB Bank as General Counsel and Corporate Secretary, successfully leading the Bank out of a Cease and Desist Order. Ms. Copeland moved to Société Générale for a year and thereafter, became the first General Counsel for Financial Crimes at JPMorgan reporting to the General Counsel of the Bank.

Ms. Copeland spent two and a half years at Exos Financial, a fintech started by Brady Dougan, the former CEO of Credit Suisse. She joins PCCE from the advisory/consulting firm, StoneTurn.

Vasant Dhar
Professor of Information Systems
NYU Stern School of Business

Vasant Dhar is a professor at the Stern School of Business, and Professor of Data Science. He is Co-Director of Graduate Studies for the PhD program at the Center for Data Science at New York University. His research and practice are about the design of trustable automated prediction and decision-making machines that encourage for human intervention when the risk of automated decisions is high. Dhar's research also focuses on policy questions around the governance of data and digital platforms. Dhar pioneered the use of machine learning in capital markets, and has used machines to trade professionally for over two decades, and as a testbed for understanding the properties of decision-making behavior of machines that learn from data. Like other humans, he trusts his gut more than he should.

Eric R. Feldman
Senior Vice President and Managing Director
Corporate Ethics and Compliance Programs /Affiliated Monitors, Inc.

Eric R. Feldman is the Senior Vice President and Managing Director, Corporate Ethics and Compliance Programs for Affiliated Monitors, Inc. (AMI), where he is the lead Independent Monitor on matters involving federal suspension and debarment actions, federal regulatory court orders, and deferred or non-prosecution agreements with the Department of Justice. In addition to monitoring both large and small companies in the government contracting, construction, engineering, manufacturing, financial services, and non-profit sectors, Mr. Feldman also conducts proactive assessments of corporate ethics and compliance programs and ethical culture throughout the United States, Europe, Asia, Latin America and the Middle East.

Mr. Feldman joined AMI after retiring from the Central Intelligence Agency (CIA) in 2011. He had a distinguished 32-year career with the federal government, serving in executive positions with Offices of Inspector General at the Department of Defense, Defense Intelligence Agency, CIA, and National Reconnaissance Office (NRO). At the NRO, he presided over a highly successful procurement fraud prevention and detection program, widely recognized by the Department of Justice as a model for the federal government.

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

Matt is recognized as a leader in the application of emerging technologies to make ethics and compliance programs operate more efficiently. Matt has several ongoing research projects, including the application of behavioral science to optimize the whistle-blower experience and the use of distributed ledger technology to enable organizations to collaborate on the development of super algorithms to monitor compliance risks. Matt was formerly the Chief Compliance Officer at AB InBev where he won numerous awards for legal and technological innovation. He also has served as the Vice-Chair of the Business Advisory Council to the OECD, a special advisor to the Sorbonne Law School Compliance Program and as an Adjunct Professor at Fordham Law School. Prior to joining AB InBev, Matt is a New York and Hong Kong-qualified lawyer who worked in several leading international law firms.

Andrew Gentin**Acting Chief of the Corporate Enforcement, Compliance, and Policy Unit****Fraud Section, Criminal Division, U.S. Department of Justice**

Andrew Gentin is the Acting Chief of the Corporate Enforcement, Compliance, and Policy Unit in the Fraud Section, Criminal Division, U.S. Department of Justice. In this position, he oversees all corporate enforcement, compliance, monitorship, and policy matters for the Fraud Section. Andrew was previously a prosecutor in the Fraud Section's FCPA Unit, where he investigated and prosecuted individuals and companies for foreign bribery violations. He currently serves as a representative to the OECD's Working Group on Bribery where he is the Co-Chair of the Law Enforcement Officials' Group.

Avi Gesser**Partner****Debevoise & Plimpton**

Avi Gesser is Co-Chair of the Data Strategy & Security Group at Debevoise & Plimpton. His practice focuses on advising major companies on a wide range of cybersecurity, privacy and artificial intelligence matters. He has represented global financial services firms, private equity firms, insurance companies, hedge funds and media organizations in large-scale ransomware attacks, cyber breaches by nation-states, and regulatory investigations relating to the use of artificial intelligence. Mr. Gesser regularly advises boards and senior executives on governance, risk, and liability issues relating to cybersecurity and AI.

Jeffrey H. Knox**Partner, Simpson Thacher & Bartlett LLP****Washington D.C.**

Jeff Knox, Co-Managing Partner of Simpson Thacher's Washington, D.C. office and the former head of the U.S. DOJ Fraud Section, represents multinational corporations and independent board committees in high-stakes investigations by the DOJ, SEC, CFTC, and other federal and state enforcement regulators. He has advised some of the world's leading financial institutions, energy companies, life sciences companies, and technology firms in navigating criminal and civil investigations relating to the FCPA, securities and accounting fraud, market manipulation, False Claims Act, antitrust, international money laundering, economic sanctions, and environmental crimes. Jeff also represents senior executives, in their individual capacity, who are subjects of enforcement investigations. Jeff has served as a government-appointed independent compliance consultant, and represents companies in government and court-mandated monitorships. Prior to joining the Firm, Jeff served as a federal prosecutor for more than a decade, including as the Chief of the DOJ's Fraud Section in Washington, D.C., and before then, as the Chief of the National Security Section of the U.S. Attorney's Office for the Eastern District of New York.

Fahreen Kurji**Chief Customer Intelligence Officer****Behavox**

As Chief Customer Intelligence Officer at Behavox, Fahreen is responsible for the external elevation and communication of the company's industry-leading insights and innovative product offerings. Her knowledge of the challenges being faced by global enterprises, and the cutting-edge technology that helps to solve those challenges, gives Fahreen a unique perspective that has made her an industry-leading analyst and commentator. Prior to her current role, Fahreen successfully led and scaled the Behavox customer success team, overseeing the company's expansion into new regions.

Fahreen is dedicated to elevating diverse perspectives and fostering untapped talent. She created the first Behavox employee development group, BeWomen, an initiative that enables the company's growing, global workforce to have access to industry insiders and thought leaders.

Fahreen holds a dual degree in Law and International Relations from the University of Exeter.

Timothy J. Lindon
Founder and CEO
Lindon Consulting & Coaching LLC
Senior Fellow, Program on Corporate Compliance and Enforcement

Timothy J. Lindon has broad experience in legal and compliance leadership roles in the US, Europe, and Asia. From 2011 to 2016, Lindon was Vice President and Chief Compliance Officer of Philip Morris International, based in Switzerland, where he led the global compliance program. Lindon was instrumental in changing employee's perception and overcoming their resistance to compliance by integrating human psychology, behavioral economics, and systems engineering into the compliance program. During 2017, Lindon was head of Business Practices, Reduced-Risk Products, where he developed and implemented policies and processes to address business transformation and disruptive technologies. Previously, Lindon served in senior corporate and litigation legal positons for Philip Morris, including as Vice President and Associate General Counsel for the Latin America and Canada Region; Associate General Counsel, Litigation; and Regional Counsel for the Asia and Japan Regions, based in Hong Kong.

Earlier, Lindon was Vice President and General Counsel for MPC & Associates, a real estate development firm owned by Arnold & Porter in Washington DC, starting as an Associate with Arnold & Porter. Lindon clerked for The Honorable John D. Butzner, Jr., in the US Court of Appeals for the Fourth Circuit. Lindon has been a member of PCCE's Board of Advisors since 2015, a Corporate Fellow, and Chair of the Behavioral Ethics Working Group, for Ethics Resource Center in Washington, DC. He holds a JD from New York University School of Law, where he was a Root-Tilden Public Service Scholar, and a BA from Tufts University.

Lisa H. Miller
Deputy Assistant Attorney General
U.S. Department of Justice

Lisa H. Miller serves as a Deputy Assistant Attorney General for the Department of Justice (DOJ)'s Criminal Division, where she oversees the work of DOJ's Criminal Fraud and Appellate Sections and advises the Assistant Attorney General and DOJ leadership on corporate crime, fraud, and appellate related litigation, policy, and enforcement issues. Prior to her current position, Lisa served as Chief of the Market Integrity & Major Frauds Unit within the Fraud Section, supervising investigations and prosecutions of complex financial fraud matters, including, among others, securities, commodities, investment, consumer, procurement, and corporate fraud cases. She previously served as the Principal Assistant Chief of the Fraud Section's Health Care Fraud Unit, as a Trial Attorney in the Fraud Section, and as an Assistant United States Attorney for the Southern District of Florida, during which time she investigated and prosecuted a wide range of cases, including those involving fraud, money laundering, tax, identity theft, and bribery schemes, as well as reactive matters. She has led (or co-led) 15 federal jury trials and briefed and argued appeals before the 11th Circuit Court of Appeals.

Lisa is a graduate of the University of Virginia School of Law and Cornell University. Before becoming a federal prosecutor, Lisa clerked for Edgardo Ramos, U.S. District Judge for the Southern District of New

York; worked as a litigation associate at a firm in New York; and served as a Special Assistant Attorney General at the D.C. Office of the Attorney General.

Celia Moore

Professor of Organisational Behaviour

Director of the Centre for Responsible Leadership

Imperial College Business School

Celia Moore is Professor of Organisational Behaviour and Director of the Centre for Responsible Leadership at Imperial College Business School. Prior to joining Imperial, she held positions at Bocconi University in Milan and London Business School, where she was on the faculty for nine years. She has also been a visiting scholar at Harvard Business School and a Fellow of the Edmond J. Safra Center for Ethics at Harvard University. She is currently an Academic Fellow of the Ethics and Compliance Initiative and is a member of the Advisory Board of the Cary M. Maguire Center for Ethics in Financial Services at the American College.

Her research and teaching sits at the intersection of leadership and ethics. She is particularly interested in supporting individuals to enact their moral agency responsibly. She has worked with several organizations on how to support more ethical behavior at work, including the Financial Conduct Authority (UK), the National Health Service (UK), the Institute of Chartered Accountants of England and Wales (London, UK), the International Anti-Corruption Academy (Vienna, Austria), the Brookings Institute (Washington, DC), as well as several major financial institutions.

Klaus Moosmayer, Ph.D.

Member of the Executive Committee

Chief Ethics Risk Compliance Officer

Novartis

Klaus Moosmayer joined Novartis in December 2018 as Member of the Executive Committee and Chief Ethics, Risk & Compliance Officer. He was previously Chief Compliance Officer at Siemens AG. He began his career as a lawyer in Germany, specializing in white-collar crime, business law and litigation. He leads global integrity, compliance and anti-corruption bodies for business on behalf of the Organization for Economic Co-operation and Development (OECD) and the G20/B20. Mr. Moosmayer co-founded and chaired a non-profit association of compliance heads from major European companies and is on the Advisory Panel of the Pharmaceutical Supply Chain Initiative.

Avi Perry

Chief, Market Integrity and Major Frauds Unit

Fraud Section, U.S. Department of Justice

Avi Perry currently serves as Chief of the Market Integrity and Major Frauds Unit in the Department of Justice's Fraud Section. Avi has been a federal prosecutor since 2014 and, in his current role, Avi supervises 45 white collar prosecutors in federal district courts across the United States. Previously, Avi was the Fraud Section's first Assistant Chief for Commodities and an Assistant U.S. Attorney in the District of Connecticut. In his time with the Department of Justice, Avi has brought charges against securities and commodities traders and salespeople for market manipulation, insider trading, offering frauds, pump-and-dumps, spoofing, and other illegal trading practices. Avi also has led or overseen some of the largest corporate criminal resolutions in recent years, including with some of the world's largest financial institutions and proprietary trading firms. A large part of Avi's work focuses on using data to detect and prosecute white collar crime, and he is a member of the Deputy Attorney General's Corporate Crime Advisory Group. Avi is a graduate of Yale College and Yale Law School, and served as a law

clerk to the Honorable Mark L. Wolf of the U.S. District Court for the District of Massachusetts and the Honorable Kermit V. Lipez of the U.S. Court of Appeals for the First Circuit.

Preston Pugh
Partner
Crowell & Moring LLP

Preston Pugh helps companies, board committees and NGOs conduct internal investigations and respond to government investigations, often stemming from high stakes whistleblower complaints. He served as an Assistant U.S. Attorney in Chicago and was Senior Counsel at GE Healthcare responsible for investigations and litigation. Preston served as a member of the ABA task force that drafted the first-ever ABA standards for corporate monitors, is a member of the IAICM, and currently serves on the ABA Criminal Justice Section Council. His monitorship experience includes:

- Appointment by a federal district court in one of the EEOC's largest monitorships to date involving racial discrimination and harassment allegations. At the conclusion of the five-year monitorship, the Judge who appointed Preston observed "You're that outsider coming in... Not easy to do, but you did it well...."
- Selected from a national pool of applicants, Preston was the first monitor (IPSIG) appointed by the Waterfront Commission of New York and New Jersey Harbors. The monitorship focused on overseeing a stevedore's efforts to root out organized crime.
- Preston is currently serving on a team monitoring one of the largest companies in the casino industry in the wake of recent assault and #MeToo allegations against the company's founder.

Pablo Quiñones
Founder, Quiñones Law
Senior Fellow, Program on Corporate Compliance and Enforcement

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.

Bart M. Schwartz
Founder and Chairman
Guidepost Solutions

Described by *The New York Times* as the person "often sought out in...thorny situations," Bart M. Schwartz is a founder and the chairman of Guidepost Solutions, where he provides compliance, ethics, and integrity monitoring and investigative services. He is a former Chief of the Criminal Division of the US Attorney's Office for the Southern District of New York.

For more than 30 years, Mr. Schwartz has managed sensitive and complex matters for a wide array of clients. He was appointed Federal Monitor for the New York City Housing Authority, the country's largest housing authority, and is responsible for driving systemic change throughout the Authority to improve the day-to-day lives of its residents. As the appointed monitor to oversee General Motors' compliance with its deferred prosecution agreement from its recall of defective ignition switches, he ensured GM's compliance and driver safety. He is currently assisting the University of Michigan with a

compliance, ethics, and culture assessment and recommended remediation efforts in the aftermath of sexual misconduct findings against a former university official.

Compliance Week recognized Mr. Schwartz with its Excellence in Compliance Award. He is also on *City & State New York's* 2021 and 2022 Law Power 100 list and the *National Law Journal's* Trailblazers in Crisis Communications.

Steven P. Solow
Litigation Partner
Baker Botts LLP

Steven P. Solow is a litigation partner at Baker Botts LLP in Washington, D.C. where he represents individual and corporate clients. He also serves as the Court Appointed Monitor over the world's largest cruise line. Previously, he served as Chief of the Environmental Crimes Section at the Department of Justice, and before that as a prosecutor in the New York State Organized Crime Task Force. He also was a full-time law professor and law clinic co-director for both the University of Maryland School of Law and before that at the Elizabeth Haub School of Law at Pace University. He has been an adjunct professor at Georgetown University Law Center and is an adjunct professor for the Pace Law School's Washington DC program. He is a Senior Fellow for the Zicklin Center for Business Ethics at Wharton. He clerked for the Hon. Harold L. Murphy of the Northern District of Georgia.

Eugene Soltes
Professor of Business Administration
Harvard Business School

Eugene Soltes is the McLean Family Professor of Business Administration at Harvard Business School where his work focuses on corporate integrity and risk management. His research utilizes data analytics to identify organizational cultures and compliance systems that can effectively prevent, detect, and respond to reputational and regulatory threats. Drawing on his experience with companies and government agencies, Professor Soltes founded Integrity Lab, which creates integrated, data-driven analytics to cultivate organizational integrity and strengthen corporate culture.

Haimera Workie
Vice President and Head of Financial Innovation
FINRA

Haimera Workie is Vice President and Head of Financial Innovation at FINRA. In this capacity, he is responsible for leading FINRA's Office of Financial Innovation, which focuses on analyzing financial technology (FinTech) innovations and emerging risks and trends related to the securities market. As part of these responsibilities, Mr. Workie works to foster an ongoing dialogue with market participants in order to build a better understanding of FinTech innovations and their impact on the securities markets. Previously, Mr. Workie served as Deputy Associate Director in the Division of Trading and Markets at the U.S. Securities and Exchange Commission. Mr. Workie also previously served as Counsel in the SEC Office of the Chairman. Prior to joining the SEC, he was an associate at the law firm of Skadden, Arps, Slate, Meagher & Flom, with a practice focusing on corporate law. He is a graduate of the Massachusetts Institute of Technology (B.S., M.S.) and Harvard Law School (J.D.).