

## 2022 Compliance Institute Now Available On-Demand

The New York City Bar Association's Compliance Committee held its first annual Compliance Institute in September 2022, and it is now [available on-demand](#).

The Compliance Institute explored the most critical emerging ethics and compliance trends that compliance professionals in every industry face, and brought together compliance officers and professionals, general counsels, risk managers, consultants, government officials, and private practitioners to discuss how they approach the increasingly complex ethics and compliance environment.

Included in the on-demand video are the Compliance Institute's seven CLE programs, kicking off with *How to Make Your Compliance Program Practical and Successful: Recent Trends and Best Practices* moderated by Patrick Campbell, Partner at BakerHostetler and Co-chair of the Compliance Committee, with panelists Pete Driscoll, Partner National Quality Organization at PwC and former Director of the SEC's Division of Examinations; Brian Fields, STO Building Group's Chief Ethics and Compliance Officer; and Maria Minguez, DealMaker Securities' Chief Compliance Officer. This program was designed to provide practical advice to the full range of compliance professionals across all industries and sectors.

The next two programs were a part of a breakout session that provided attendees the opportunity to hear from a panel focusing on securities law issues or a panel on the use of advanced technologies such as artificial intelligence in combatting financial crime. Both of these programs are available in the on-demand video.

Moderated by Michael J. Osnato, Partner at Simpson Thacher & Bartlett LLP, the *SEC Regulation Update: Key Takeaways and Impact from the New Proposed Rules* panel included Christopher Mulligan, Investment Adviser/Private Funds Senior Adviser at the Securities and Exchange Commission (SEC); Igor Rozenblit, Founder of Iron Road Partners and former Co-Head of the SEC's Private Funds Unit; and Devi Shanmugham, Tradeweb's Global Head of Compliance.

Moderated by Alexander Southwell, Partner at Gibson Dunn, the next panel, *Monitoring for White Collar Crime: Using Artificial Intelligence, Machine Learning, and Other Advanced Technologies*, brought together four leading regulatory and law enforcement agencies and two leading members of the private bar for a discussion ranging from the use of artificial intelligence and machine learning in combatting healthcare and insurance fraud to cryptocurrency theft and ransomware to money laundering, terrorist financing, and bribery. The group also explored the critical importance of techsprints, transaction monitoring, and fraud detection and prevention. The panelists included Eric Ellis, BSA/AML Policy Specialist at The Office of the Comptroller of the Currency (OCC); Justin Shibayama Herring, Executive Deputy Superintendent of the New York State Department of Financial Services' (DFS) Cybersecurity Division; Mike Tzitzikalakis, Assistant Special Agent in Charge at Homeland Security Investigations, U.S. Department of

Homeland Security; Shirley Emehelu, Executive Assistant Attorney General at the New Jersey Attorney General's Office and Compliance Committee member; and Jerome Walker, Co-chair of the Compliance Committee's Technology, Cybersecurity, and Data Privacy Subcommittee, Partner at Jerome Walker PLLC, and former Senior Attorney for the OCC and general counsel, chief compliance officer, and head of AML/CFT Compliance for a number of commercial banks and Fintech firms.

In the afternoon segment of the Institute, Greg Michaels, Managing Director at Kroll Cyber Risk, moderated a panel on *Data Privacy and Security: Regulation, Enforcement, and Best Practices* with panelists Brian Barnier, ValueBridge Advisor's Head of Decision Science and Analytics; Alexis Hall, Senior Regulatory Counsel at the SEC; Elliot Siebers, Partner at Kelley Drye and former Chief of the New Jersey Attorney General's Office's Data Privacy and Cybersecurity Section; and Judson Welle, Partner at Goodwin Procter.

The privacy program was followed by another breakout session that allowed attendees to choose between a panel on cryptocurrency and a panel on Environmental, Social and Governance (ESG) issues. Again, both of these programs are available in the on-demand video.

The cryptocurrency panel addressed the leading global issues in the crypto space, including the current *crypto winter*, the status of Web3, the jurisdiction that the SEC and the Commodity Futures Trading Commission (CFTC) have to regulate this industry, challenges with non-fungible tokens, and enforcement actions by the SEC, the CFTC, the Financial Crimes Enforcement Network, and the Office of Foreign Assets Control. Moderated by Tiffany J. Smith, Partner at WilmerHale and Compliance Committee member, the *Current Opportunities and Challenges in Cryptocurrency* panel included Chris Matta, President of 3iQ Digital Assets; Jai Ramaswamy, Andreessen Horowitz's Chief Legal Officer, and former Chief of the Department of Justice (DOJ) Criminal Division's Asset Forfeiture & Money Laundering Section; Hannah E. Taylor, Partner at Frankfurt Kurnit Klein + Selz; and Annemarie Tierney, Founder and Principal of Liquid Advisors Inc.

The *ESG: What Is It and What Does It Mean for Compliance?* panel was moderated by Lanier Saperstein, Partner at Dorsey & Whitney LLP and Co-chair of the Compliance Committee's International Developments Subcommittee. The panelists included two key regulators in ESG: Robert B. Baker, Assistant Director of the SEC's Asset Management Unit and Harriette Resnick, Assistant Deputy Superintendent of the DFS's Climate Division. Elaine Wood, Vice President, Investigations & Analytics Practice at Charles River Associates and Dan Mistler, Partner and Head of ACA ESG Advisory at the ACA Compliance Group, rounded out this impressive group.

The Compliance Institute's final program, *Behavioral Science: The Key to Unlocking an Ethical and Compliant Workplace Culture*, was moderated by Tiffany Archer, Secretary of the Compliance Committee and Pall Corporation's Global Head of Compliance, Risk, and Privacy, and included panelists Ron Carucci, Co-Founder and Managing Partner at Navalent; Megan Zwiebel, Ropes & Gray's Director of Operations and Delivery; and Essence Liburd, Associate Compliance Counsel at DailyPay.

While not included in the on-demand video, the Compliance Institute kicked off with a *Fireside Chat* on September 21, where a distinguished group of compliance professionals addressed *the State and Impact of Diversity, Equity, and Inclusion in the Compliance Industry*. The *Fireside Chat* was moderated by Doel Kar, Co-chair of the Compliance Committee's Diversity, Equity and Inclusion (DEI) Subcommittee and Director at Forensic Risk Alliance. The panelists included Jennifer Duggins, Co-Head of the SEC's Private Funds Unit; Albert V. De Leon, the other Co-Chair of the Compliance Committee's DEI Subcommittee and also former U.S. General Counsel and Compliance Officer, SEB & Dexia Banks; and Nate Saint Victor, Engine No. 1's General Counsel and Chief Compliance Officer.

The Compliance Institute also included a keynote address from Alixandra Smith, Deputy Chief of the Criminal Division of the U.S. Attorney's Office for the Eastern District of New York. Deputy Chief Smith focused on Deputy Attorney General Lisa Monaco's September 15, 2022 speech and memorandum on updates to the DOJ's corporate criminal enforcement policies and what those updates mean for corporate compliance programs going forward.

The Compliance Committee is one of the largest and most active City Bar committees with over 60 members, seven subcommittees, and an impressive track record of publishing influential reports and comment letters, while organizing a wide range of compliance-focused CLE and non-CLE programs. The Compliance Committee is led by a dedicated group of active City Bar members, notably Co-Chairs Campbell and Adam Felsenthal, Great Point Partners, LLC's General Counsel and Deputy Chief Compliance Officer, as well as Secretary Archer.

The Compliance Institute was co-sponsored by the City Bar's Inter-American Affairs Committee, the Securities Regulation Committee, the Technology, Cyber & Privacy Law Committee, and the White Collar Crime Committee, and Digital Technologies Task Force.

Building on its success, the Compliance Committee will hold the Second Annual Compliance Institute in October 2023.

The 2022 Compliance Institute is available on-demand [here](#).