



Program on Corporate Ethics and Compliance Fordham Law
presents

Advanced Corporate Compliance Institute

Saturday, November 5, 2022
9 a.m. – 12 p.m. EDT
Zoom Webinar



FORDHAM UNIVERSITY
THE SCHOOL OF LAW

Regulators have recently focused on the actions of gatekeepers – lawyers, compliance officers, auditors, consultants. In this session, Shirley Emehelu, a former federal prosecutor who is currently the Executive Assistant Attorney General in New Jersey, and Aaron Mendelsohn, also a former federal prosecutor and financial regulator who is currently the Director of the New York City Council’s Oversight & Investigations Division, will discuss the critical role of gatekeepers in ensuring compliance with, rather than enabling violations of, U.S. and Global regulations. Through a review of recent enforcement actions and financial regulations, case studies, and “fireside chats” with leading financial regulators, we will learn best practices for legal and compliance leaders.

AGENDA

9 – 9:40 a.m. | Presentation

featuring

Shirley Emehelu , Executive Assistant Attorney General of the New Jersey Office of the Attorney General

Aaron Mendelsohn, Director, New York City Council's Oversight & Investigations Division; Adjunct Professor, Fordham Law School

9:40 – 9:50 a.m. | Break

9:50 – 10:30 a.m. | Case Study

(1.5 professional practice CLE)

featuring

Shirley Emehelu , Executive Assistant Attorney General of the New Jersey Office of the Attorney General

Aaron Mendelsohn, Director, New York City Council's Oversight & Investigations Division; Adjunct Professor, Fordham Law School

10:30 – 10:40 a.m. | Break

10:40 am - 12 p.m. | Fireside Chat/Q&A

(1.5 professional practice CLE)

featuring

featuring

Shirley Emehelu , Executive Assistant Attorney General of the New Jersey Office of the Attorney General

Aaron Mendelsohn, Director, New York City Council's Oversight & Investigations Division; Adjunct Professor, Fordham Law School

Lisa Colone, Vice President, Enforcement Legal, Department of Enforcement, FINRA

Nick Grippo, Regional Director, U.S. Securities and Exchange Commission, Philadelphia Office

Justin Herring, Executive Deputy Superintendent, Cybersecurity Division, New York Department of Financial Services

CLE CREDIT

Credit has been approved in accordance with the requirements of the New York State CLE Board for a maximum of 3.0 non-transitional and transitional professional practice CLE credits.

CLE course materials are available at: law.fordham.edu/clematerials