

## Financial Regulation and Enforcement Symposium 2011

### A Conversation With the Agencies

New York Athletic Club, 180 Central Park South, New York, NY 10019  
03.10.2011

### Financial Regulation and Enforcement Symposium 2011: *A Conversation With the Agencies*

Thursday, March 10, 2011

**Registration:** 1:30 PM - 2:00 PM

**Program:** 2:00 PM - 5:30 PM

**Cocktails:** 5:30 PM - 7:00 PM

#### New York Athletic Club\*

180 Central Park South  
New York, NY 10019  
Phone: (212) 247-5100

*\*Jacket Required*

Please join us Thursday, March 10, 2011, for a complimentary program designed to foster a dialogue between enforcement and regulatory agencies and the financial institutions that they oversee. The program, which will address issues of interest to the legal and compliance departments of banks, broker-dealers, hedge funds, and insurance companies, will consist of three presentations:

- Panel I: "Criminal and Civil Securities Enforcement Priorities"
- "Government Intervention in the Financial Markets: TARP as Case Study," **Honorable Neil M. Barofsky**, Special Inspector General for the Troubled Asset Relief Program
- Panel II: "Financial Institution Compliance In a Borderless Economy"

Our panelists will include senior agency personnel and leaders from the financial industry, including:

- **John Arvanitis**, Chief, Financial Operations, U.S. Drug Enforcement Administration
- **Kevin Cloherty**, VP & Chief Counsel, Global Compliance, Manulife Financial Corporation
- **Nicholas Colucci**, Associate Director, FinCEN
- **Christopher Garcia**, Chief, Securities Fraud Unit, U.S. Attorney's Office, SDNY
- **Martin Grant**, Chief Compliance and Ethics Officer and SVP, Federal Reserve Bank of New York

- **David Jaffe**, Regional Chief Counsel, New York, FINRA
- **Adam Kaufman**, Chief, Investigations Division, Manhattan DA's Office
- **Mark Keene**, Assistant General Counsel, Bank of America
- **Tim O'Neal Lorah**, Managing Director and Global Head, Anti-Money Laundering Compliance Group, Morgan Stanley & Co.
- **Jay McMahon**, Chief, Business & Securities Fraud Unit, U.S. Attorney's Office, EDNY
- **Arlene Semaya**, Senior Vice President, Compliance Managing Director and Chief AML Officer, JP Morgan, US Investment Bank
- **Joy Weber**, Deputy General Counsel, UBS Wealth Management

## **About the Hosts:**

The **New York External Fraud Committee**, the **Long Island Fraud and Forgery Committee** and the **Westchester External Fraud Committee** are joint law enforcement/bank compliance groups that meet regularly to discuss issues of common interest, including compliance developments, suspicious activity reporting, fraud and money laundering trends, and law enforcement/private sector coordination.

**Sheppard Mullin Richter & Hampton LLP** is a leading international law firm with more than 550 lawyers worldwide. Lawyers in its New York office practice in the fields of white collar and civil fraud defense, commercial litigation, finance and bankruptcy, labor and employment, intellectual property, tax and entertainment.

## **Continuing Legal Education Credit:**

*This program has been approved in accordance with the requirements of the New York State Continuing Legal Education Board for a maximum of 3.5 credit hours which may be applied toward the Areas of Professional Practice requirement, and is suitable for both transitional and non-transitional attorneys. Sheppard, Mullin, Richter & Hampton LLP is certified by the New York State Continuing Legal Education Board as an Accredited Provider of continuing legal education in the State of New York, for the period March 19th, 2009 - March 18th, 2012.*

## **Attorneys**

Robert S. Friedman

Jeff Kern