

Brooklyn Journal of Corporate, Financial and Commercial Law Annual Symposium

**The Role of Technology in Compliance in Financial Services:  
An Indispensable Tool as well as Threat?**

Friday, March 4, 2016

**Agenda**

9:00 a.m. **Welcome and Opening Remarks**

**Nicholas W. Allard**

President, Joseph Crea Dean, and Professor of Law  
Brooklyn Law School

**James Fanto**

*Gerald Baylin Professor of Law; Co-director of the Center for the Study of Business Law and Regulation*  
Brooklyn Law School

9:15 a.m. **Panel I**

***Moderator***

**Roberta Karmel**

*Centennial Professor of Law; Co-director, Dennis J. Block Center for the Study of International Business Law*  
Brooklyn Law School

***Speakers***

**James Fanto**

*Gerald Baylin Professor of Law; Co-director of the Center for the Study of Business Law and Regulation*  
Brooklyn Law School

“The Use of Technology by Compliance: Benefit, Threat or Both?”

**Sean J. Griffith**

*T.J. Maloney Chair and Professor of Law*  
Fordham Law School

“Technology and Culture in Compliance”

***Commenters***

**Jane A. Kanter '73**

*Chief Operating Officer, General Counsel and Partner*  
ARK Investment Management LLC

**David Lui**  
*Principal*  
Galliard Capital Management

**John Walsh**  
Partner  
Sutherland Asbill & Brennan LLP

**10:45 a.m. Break**

**11:00 a.m. Panel Two**

***Moderator***

**Miriam Baer**  
*Professor of Law*  
Brooklyn Law School

***Speakers***

**Jennifer Pacella**  
*Assistant Professor of Law*  
Baruch College, Zicklin School of Business  
City University of New York  
“Cybersecurity Compliance and the Role of Whistleblowers”

**Onnig Dombalagian**  
*George Denègre Professor of Law*  
Tulane University Law School  
“Preserving Human Agency in Automated Surveillance”

***Commenters***

**Christina P. Skinner**  
*Associate in Law*  
Columbia Law School  
(*Assistant Professor Law*  
Brooklyn Law School, starting Fall 2016)

**Rebecca Sheinberg '03**  
*Principal*  
The Carlyle Group

**12:30 p.m. Lunch Break**

1:30 p.m.      **Panel III**

***Moderator***

**Arthur Pinto**

*Professor of Law*

Brooklyn Law School

***Speakers***

**Mercer Bullard**

*Butler, Snow, O'Mara, Stevens and Cannada Lecturer and Professor of Law*

University of Mississippi School of Law

“Branding Compliance”

**Tom C.W. Lin**

*Associate Professor of Law*

Temple University Beasley School of Law

“Compliance, Technology and Modern Finance”

***Commenters***

**Jonathan A. Gottlieb '92**

*Managing Director, Senior Counsel*

RBS Securities Inc.

**H.J. Willcox '95**

*Managing Director & Chief Compliance Officer*

AQR Capital Management

**Robert G. Leonard '85**

*Partner*

Proskauer

3:00 p.m.      **Concluding Remarks**