

PLI's Storming the Gatekeepers: When Compliance Officers and In-House Lawyers Are at Risk 2018

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THE ROOSEVELT HOTEL

In recent years, the government has focused on compliance professionals and in-house counsel, the gatekeepers who are tasked with identifying corporate misconduct. This program is designed for both gatekeepers and lawyers who represent them and will feature experienced in-house and outside counsel, chief compliance officers and government officials who will use hypotheticals to discuss a variety of topics concerning the responsibilities and conduct of gatekeepers and provide practical advice dealing with the government's increased policing of the activities of gatekeepers. Join Partner Ronald Machen, during his panel on "The Government's Perspective: Duties of In-House Counsel and Compliance Professionals" which will discuss:

- The government's view on how in-house counsel and compliance officers can and should discharge their duties
- What does the DOJ consider in evaluating the conduct of in-house counsel and compliance personnel?
- How do the SEC and FINRA scrutinize the knowledge and actions of in-house counsel and compliance personnel?
- When is proceeding against an employer for compliance failures not sufficient?
- When does a lawyer or compliance officer cross the line into criminal behavior?
- Can lawyers or compliance officers be whistleblowers?

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Speakers



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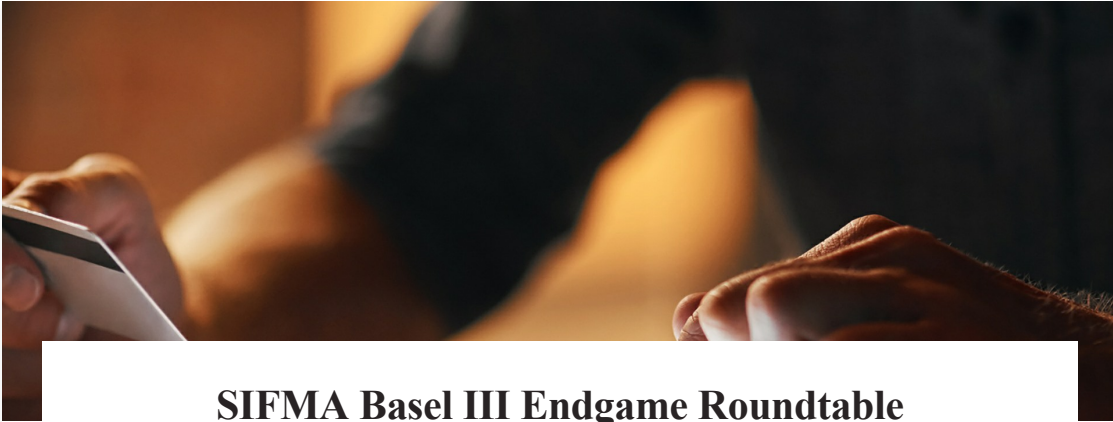
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