

CORPORATE COMPLIANCE: POLICY AND PRACTICE



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SPRING 2020 – THURSDAYS 5:30 - 8:15 PM



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Warren Buffet, building on a quote attributable to Benjamin Franklin, said, “It takes 20 years to build a reputation and five minutes to ruin it. If you think about that, you’ll do things differently.” An important mechanism for protecting a company’s reputation begins with the implementation of an effective compliance program. This course will teach the importance of corporate compliance and how to create and maintain an effective compliance program. The legal and ethical issues compliance officers face often arise in the context of everyday matters. Learning how to address these challenges and finding practical solutions are indispensable skills for anyone working in this field. Students will discuss issues facing many types of business organizations and how effective governance, culture and compliance programs can impact a corporation’s success – or failure. Students will learn the fundamentals of creating and implementing a solid compliance program and why this is vital. While the primary focus will be on the financial services industry, the course will blend the fundamentals of compliance with practical aspects that also arise in most other businesses. Those who wish to work specifically in compliance as well as those who work, or are looking to work, in any regulated industry, such as finance and healthcare, will benefit from this class. Class sessions will be supplemented by guest speakers, compliance “issues of the day,” and current compliance topics of interest including anti-corruption, cyber security, and data protection, insider trading and conflicts of interest.