

ETHICS by DESIGN

Conference 2019

MANAGING
ORGANIZATIONS
IN AN ERA OF
ANXIETY
POLARIZATION
& DISRUPTION

FRIDAY, MARCH 15

8:30 AM to 6:30 PM

Barr-Kawamura Commons KMC 5-50
NYU Stern School of Business
44 West 4th Street



www.EthicsByDesignConference.org

Ethical Systems makes accessible the best research on *systems thinking*, *psychology* and *behavioral economics* to improve the ethical culture of organizations.



- 8:30 a.m. Breakfast & Registration
- 9 a.m. Welcome – Azish Filabi & Jonathan Haidt
 “Managing Organizations in an Era of Anxiety, Polarization and Disruption”
- 9:20 a.m. Morning Keynote Speaker – Luigi Zingales, University of Chicago
- 9:55 a.m. Panel #1 – “Designing Wise & Ethical Limits to Speech”
 Rob Bloomfield, Cornell – Moderator
 Hui Chen, Hui Chen Ethics
 Celia Moore, Bocconi University
 Randy Mikkelsen, Thomson Reuters
- 10:50 a.m. BREAK
- 11:10 a.m. Research Roundup #1
 Robert Frank, “Social Contagion and Trust”
 Ron Carucci, “Dishonest Behavior Isn’t Random”
 David Hollis, “Culture Assessment: An Industry-Wide Approach to Managing Ethics”
- 11:40 a.m. Panel #2 – “Fusing Ethics & Compliance: The Role of the Lawyer”
 Jennifer Arlen, NYU Law Program on Corporate Compliance
 Michael Held, Federal Reserve Bank of NY
 Jim Lager, GAO – Moderator
 Robert Mass, Goldman Sachs
 Mike Silva, Partner, DLA Piper
- 12:30 p.m. LUNCH
- 1:50 p.m. Afternoon Keynote – “Engineering Integrity”
 Eugene Soltes, Harvard Business School
- 2:20 p.m. Panel #3 – “The Ethics of Workplace Surveillance & Monitoring”
 Brian Beeghly, informed360
 Bob Hurley, Fordham University – Moderator
 Josephine Nelson, Villanova Law School
 Rosemarie Paul, Ropes & Gray
- 3:10 p.m. BREAK
- 3:30 p.m. Research Roundup #2
 Nick Epley, “Doing Good Feels Surprisingly Good”
 Dave Mayer, “What Type of Man Improves Gender Equality in Organizations?”
 Katharina Whegmann, “Integrity Analytics: Data Meets Social Science”
- 4:00 p.m. Panel #4 – “Managing Ethics & Culture: Perspectives From In-House Officers”
 Jamal Ahmed, Day & Zimmermann
 Henry Engler, Thomson Reuters – Moderator
 Nancy Harrington Jones, Societe Generale
 Wieke Scholten, RBS
- 4:50 p.m. Wrap-Up – Azish Filabi & Jonathan Haidt
 “Opportunities on the Horizon”
- 5:00 p.m. Cocktail Reception in the Cantor Boardroom

Speakers, Moderators & Panelists

Jamal Ahmed

Vice President of Internal Audit & Chief Ethics Officer, Day & Zimmermann

Jamal Ahmed, CIA, CRMA, is the Vice President of Internal Audit & Chief Ethics Officer at Day & Zimmermann, Inc. (D&Z). The D&Z Ethics Program, under Jamal's leadership, received an A ranking by Transparency International in their 2012 Defense Companies Anti-Corruption Index. D&Z was one of the 17 companies out of 163 companies from 47 countries to receive such ranking. He is currently D&Z's representative on the Defense Industry Initiative on Code of Ethics and Standards of Business Conduct Working Group.

Prior to joining D&Z, Jamal served as Manager of Corporate Policies and Practices for Air Products and Chemicals (APCI), a Fortune 300 Company. At APCI, he had other positions of increasing responsibilities within the Corporate Controllershship and Internal Audit functions including developing a work process for compliance with the Sarbanes Oxley Act.

Jamal is a Certified Internal Auditor (CIA) and has a Certification in Risk Management Assurance (CRMA). He has an MBA and an MPA from West Virginia University.

Jennifer H. Arlen

Professor of Law, New York University School of Law

Jennifer Arlen, PhD, JD, is the Norma Z. Paige Professor of Law at New York University School of Law and is the founder and a Faculty Director of the Program on Corporate Compliance and Enforcement. She also is the Director of the Center for Law, Economics and Organization and President of the American Law and Economics Association (ALEA) and edits the Experimental and Empirical Studies series on the Legal Scholarship Network and is a member of the Editorial Board of the American Law and Economics Review.

She has twice served on the ALEA Board of Directors and is one of the founders of the Society of Empirical Legal Studies (SELS) and the Conference on Empirical Legal Studies; she is a past president and past board member for SELS; and she also chaired the Remedies, Torts, and Law and Economics sections of the Association of American Law Schools. She has been a visiting professor at Harvard Law School, Yale Law School, California Institute of Technology, and USC Law School.

Arlen earned her B.A. from Harvard University (magna cum laude in Economics) and earned both a J.D. (Order of the Coif) and a Ph.D. in Economics from New York University. She clerked for the Honorable Phyllis Kravitch of the U.S. Court of Appeals for the Eleventh Circuit.

Brian Beeghly

Co-Founder and CEO, Informed360

Brian Beeghly is the Co-Founder and Chief Executive Officer of Informed360, an innovative technology company enabling effective ethics and compliance programs through actionable insights and measurable performance.

As CEO, Beeghly is the chief architect and driving force behind an advanced cloud-based technology solution that utilizes an intuitive user interface to align core program activities with risk-based decision-making.

Robert Bloomfield

Professor, Cornell SC Johnson School of Business

Robert Bloomfield, PhD, is a professor in the Cornell SC Johnson Graduate School of Management, is currently an editor of an a special issue of Journal of Accounting Research dedicated to Registered Reports of Empirical Research, and has recently taken on editorship of Journal of Financial Reporting, which is pioneering an innovative editorial processes intended to broaden the range of research methods used in Accounting, improving the quality of research execution, and encouraging honest reporting of findings.

As the Johnson School's Faculty Director of eLearning, Bloomfield oversees the development of online courses and helps faculty make best use of technology in traditional courses. He is the author of the award-winning eBook, "What Counts and What Gets Counted," which can be downloaded for free online, and has used the book as the basis for online courses offered through eCornell, as well as award-winning teaching in Johnson's Executive MBA programs.

Bloomfield has used laboratory experiments to study financial markets and investor behavior and has also published in major business disciplines, including finance, accounting, marketing, organizational behavior and operations research. Bloomfield also served as director of the Financial Accounting Standards Research Initiative, an activity of the Financial Accounting Standards Board.

Ron Carucci

Co-Founder, Navalent

Ron Carucci is Co-Founder and Managing Partner at Navalent, working with CEOs and executives pursuing transformational change for their organizations, leaders, and industries. He is a regular contributor to the Harvard Business Review, where Navalent's work on leadership was named one of 2016's management ideas that mattered most, and a regular contributor to Forbes.

A two-time TEDx speaker, Carucci has a 30-year track record helping executives tackle challenges of strategy, organization and leadership. From startups to Fortune 10s, nonprofits to heads-of-state, turn-arounds to new markets and strategies, overhauling leadership and culture to re-designing for growth, he has helped organizations articulate strategies that lead to accelerated growth and to design organizations that can execute those strategies.

Carucci has worked in more than 25 countries on four continents. He is the best-selling author of eight books, including "Rising to Power," and his work has been featured in *Fortune*, *CEO Magazine*, *Inc.*, *BusinessInsider*, *MSNBC*, *Business Week* and *Smart Business*.

Hui Chen

Consultant, Ethics and Compliance

Taking her experience of working with the U.S. Government, Hui Chen, JD, currently consults with companies as well as regulatory and enforcement authorities around the world, advising them on corporate ethics and compliance programs. As the first-ever Compliance Counsel Expert at the United States Department of Justice, Hui Chen was the exclusive consultant to the white-collar crime federal prosecutors in the Fraud Section. Prior to that she served as a senior compliance leader in such industries as technology (Microsoft), pharmaceuticals (Pfizer) and financial services (Standard Chartered Bank).

She is the author of the Fraud Section's well known "Evaluation of Corporate Compliance," which has been praised by compliance practitioners and recognized by government regulators and standard setters around the world. She also consulted on Fraud Section corporate monitorships.

Henry Engler

North American Regulatory Intelligence Editor, Thomson Reuters

Henry Engler is North American Regulatory Intelligence Editor in New York. He comes to Thomson Reuters after a decade in the financial industry, in which he has served in roles as an executive or managing consultant overseeing compliance-related and other projects. These include projects in Dodd-Frank swaps reporting requirements, TRACE reporting, data requirements, tax and accounting matters, AML systems and employee transaction monitoring.

Firms he has worked for include IBM Global Business Services, Morgan Stanley and RBS Capital Markets. Before these roles Engler was a trained economist and has served as a financial journalist and business strategy executive at Reuters. He has edited books on the European Monetary Union and the future of banking.

Nicholas Epley

Professor of Behavioral Science, University of Chicago's Booth School of Business

Nicholas Epley, PhD, is the John Templeton Keller Professor of Behavioral Science at the University of Chicago Booth School of Business. He studies social cognition - how thinking people think about other thinking people - to understand why smart people so often misunderstand each other.

His research has appeared in more than two dozen empirical journals, has been featured by *The New York Times*, Wall Street Journal, CNN, Wired, and National Public Radio, among many others, and has been funded by the National Science Foundation and the Templeton Foundation. He was awarded the 2008 Theoretical Innovation Award from the Society for Personality and Social Psychology, the 2011 Distinguished Scientific Award for Early Career Contribution to Psychology from the American Psychological Association, and the 2015 Book Prize for the Promotion of Social and Personality Science.

Epley was named a "professor to watch" by the *Financial Times*, one of the "World's Best 40 under 40 Business School Professors" by Poets and Quants, and one of the 100 Most Influential in Business Ethics in 2015 by Ethisphere. He is the author of "Mindwise: How We Understand What Others Think, Believe, Feel, and Want."

Azish Filabi

Executive Director, Ethical Systems

Azish Filabi, JD, MA, is Executive Director of Ethical Systems and a Sr. Research Scholar and Adjunct Professor at the NYU Stern School of Business. She has presented on business ethics and culture at various forums, including the Ethics and Compliance Initiative (ECI), the OECD, the Conference Board, the Good Work Institute, and the NY State Bar Association (International Section), among others, and also writes frequently on these topics.

Through research and collaboration with leading researchers, Filabi dedicates her time to helping businesses distill findings from behavioral science research, and develop strategies to measure and promote ethical culture in their organizations. Previously, she was as an Assistant VP, Ethics Officer and Counsel in the Legal Group of the Federal Reserve Bank of NY. She was also an Associate at the NYC-based law firm Curtis, Mallet-Prevost, Colt & Mosle, LLP.

She is active in the NY State Bar Association as an Officer in the International Section and co-founded the The Committee on Social Finance and Enterprise. Filabi has a B.A. as an Echols Interdisciplinary Scholar from the University of Virginia (UVA), a J.D. from the UVA School of Law, and an M.A. in International Affairs from the Johns Hopkins School of Advanced International Studies (SAIS).

Robert H. Frank

Professor of Management and Economics, Cornell University

Robert Harris Frank, PhD, is the Henrietta Johnson Louis Professor of Management and a Professor of Economics at the Samuel Curtis Johnson Graduate School of Management at Cornell University. He contributes to the “Economic View” column, which appears every fifth Sunday in *The New York Times*, and is the author of a book on wealth inequality in the United States.

In the past he has served as the Goldwin Smith Professor of Economics, Ethics, and Public Policy in the Cornell University College of Arts and Sciences, was a visiting professor at the New York University Stern School of Business, was a Peace Corps volunteer in rural Nepal, the chief economist for the Civil Aeronautics Board, a fellow at the Center for Advanced Study in the Behavioral Sciences, and a Professor of American Civilization at École des hautes études en sciences sociales.

Frank received a B.S. in mathematics from the Georgia Institute of Technology, an M.A. in statistics from the University of California, Berkeley, a Ph.D. in economics from UC Berkeley, and an honorary doctorate in Economics from the University of St. Gallen.

Jonathan Haidt

Founder/Director, Ethical Systems; Professor of Ethical Leadership, NYU Stern School of Business

Jonathan Haidt, PhD, is a social psychologist and the Thomas Cooley Professor of Ethical Leadership at New York University’s Stern School of Business. Haidt’s research examines the intuitive foundations of morality, and how morality varies across cultures, including the cultures of American progressive, conservatives, and libertarians. At NYU Stern, he is applying his research on moral psychology to business ethics, asking how companies can structure and run themselves in ways that will be resistant to ethical failures via the organization Ethical Systems.

Haidt is the author of three books: “The Happiness Hypothesis: Finding Modern Truth in Ancient Wisdom”; “The Righteous Mind: Why Good People are Divided by Politics and Religion”; and “The Coddling of the American Mind: How Good Intentions and Bad Ideas are Setting Up a Generation for Failure” (co-authored with Greg Lukianoff). The last two books each became *New York Times* Best Sellers.

Haidt is also the co-founder of HeterodoxAcademy.org, a collaboration among nearly 2500 professors who are working to increase viewpoint diversity and freedom of inquiry in universities and taught for 16 years in the department of psychology at the University of Virginia. He received his PhD from the University of Pennsylvania.

Michael Held

General Counsel, Federal Reserve Bank of New York

Michael Held, JD, is General Counsel and Executive Vice President of the Legal Group at the Federal Reserve Bank of New York. He oversees the day-to-day operations of the group, which includes Legal, Bank Applications, Compliance, the Corporate Secretary’s Office, Federal Reserve Law Enforcement Unit, and Records Management. He is also a member of the Bank’s Management Committee and serves as Deputy General Counsel of the Federal Open Market Committee.

Held was a staff attorney and corporate secretary for the New York Fed and also served as its representative on the Presidential Transition Team in connection with Secretary Timothy Geithner’s nomination and confirmation as U.S. Secretary of the Treasury. Held was an associate at McDermott, Will & Emery, LLP, and an associate at Kaye Scholer, LLP. Held holds a bachelor’s degree from Cornell University in Human Service Studies and a juris doctor degree from New York University School of Law.

Nancy Harrington Jones

Chief Culture and Conduct Officer for the Americas, Societe Generale - Americas

Nancy Harrington Jones is the Chief Culture & Conduct Officer, Americas and a Managing Director at Societe Generale Group. She leads the management and implementation of Societe Generale's regional Culture & Conduct program.

Previously, Jones served as the Chief Human Resources Officer for SG in the Americas and the Global Director of Human Resources for Information Technology based the SG offices in Paris. She spent several years in the Information Technology Division at SG Americas in various management positions, in addition to working for the Chief Financial Officer and managing the Internal Technology Audit Team.

She holds a degree from Manhattan College with a major in Computer Information Systems and a minor in Accounting.

David Hollis

Assessment Manager, Banking Standards Board

David Hollis manages the Assessment the Banking Standards Board, which aims to understand behavior, culture and competence across banks and building societies in the United Kingdom, an exercise that, in 2018, reached close to 200,000 employees.

Hollis joined the Banking Standards Board in 2017, having previously worked at the Advertising Standards Authority, where he managed teams in Investigations and Operations.

He received a bachelor's degree in Economics from the University of Hull and started his career as an English teacher in Barcelona, Spain, and Osaka, Japan.

Robert Hurley

Professor, Fordham University

Robert Hurley is a Professor at Fordham University, President of Hurley Associates, and the Executive Director of the Consortium for Trustworthy Organizations. He consults with organizations on leadership development, top team development, coaching, managing transformational change and developing and implementing strategies to maximize customer value.

Hurley has also been a core faculty member in Columbia Business School's High Impact Leadership Program for the past 20 years. He taught for Duke Corporate Education for three years and has worked as a consultant at W. Warner Burke Associates, Wharton Entrepreneurial Center at the University of Pennsylvania and EY.

Earlier in his career Dr. Hurley was a successful executive in marketing at General Foods, and he was a CPA for both Ernst and Whinney and Arthur Andersen. Hurley's teaching and consulting has included work across the globe; he has published more than 30 articles or book chapters; and his work has appeared in *The Wall Street Journal*, *Financial Times*, *California Management Review*, and *Harvard Business Review*.

Hurley has a bachelor's degree from Fordham University and earned his MBA at the Wharton School. He received his doctorate from Columbia University.

Jim Lager

Deputy Ethics Counselor, US Government Accountability Office.

Jim Lager, JD, is the Deputy Ethics Counselor at the US Government Accountability Office and an Adjunct Professor (Lecturer) at the University of Maryland Robert H. Smith School of Business. As an ethics adviser for a large accountability organization, he serves as principal counselor on conflicts of interest, ethics, compliance, personal and organizational independence, and graduate business school professor on ethics.

Lager's prior experience includes legal representation in federal, state and administrative tribunals; serving as lead congressional investigator, examining violation of federal campaign laws and federal subsidy programs; and working in the U.S. Government Accountability Office and as an investigator for the U.S. House of Representatives, Committee on Agriculture. He earned his bachelor's degree from Michigan State University, his juris doctorate from American University Washington College of Law, and his master's degree from American University.

Robert Mass

Managing Director, Goldman Sachs

Rob Mass is a managing director in Global Compliance at Goldman Sachs. Among his responsibilities are advising the development of the firm's Conduct and Ethics program, co-chairing its Firmwide Conduct and Operational Risk Committee, and co-chairing its Behavioral Insights Advisory Group (which advises the firm's "nudge" unit).

Mass joined Goldman Sachs in 1992 and has held multiple positions at the firm, including head of International Compliance, comprising EMEA and Asia Pacific Compliance. He was named partner in 2010. Mass retired from the partnership in 2018 and remains with the firm as a managing director, where he works part time while he pursues his academic interests. Previously, Mass was an assistant district attorney in New York County and a lawyer with Kramer, Levin, Nessen and Kamin and with the American Civil Liberties Union.

Mass is a graduate of the University of California, Santa Cruz, and Harvard Law School, where he was Editor in Chief of the Harvard Civil-Rights Civil-Liberties Law Review. He is currently a graduate student in Philosophy at the New School for Social Research.

David Mayer

Professor, Management and Organizations, Stephen M. Ross School of Business

Dave Mayer, Ph.D, is a Professor in the Management and Organizations Area at Michigan Ross. An award-winning researcher and highly-rated and sought-after teacher and speaker, he is an expert on leadership, diversity and ethics. He is a regular contributor to the Harvard Business Review and Fast Company, and his research and ideas have been covered in *Bloomberg*, *Fortune*, *Huffington Post*, *HR Magazine*, *Los Angeles Times*, *Psychology Today*, *Slate*, *The Atlantic*, *The Wall Street Journal* and *The Washington Post*.

He has published more than 50 articles and book chapters, including more than 30 articles in leading refereed management and psychology journals, such as *Academy of Management Journal*, *Journal of Applied Psychology*, *Organizational Behavior and Human Decision Processes*, and *Personnel Psychology*. He is also a Fellow of the Association for Psychological Science, American Psychological Association, and the Society for Industrial and Organizational Psychology.

Mayer earned his bachelor's degree in Psychology from the University of California, Davis and his Ph.D. in Organizational Psychology from the University of Maryland in 2004.

Randy Mikkelsen

Managing Editor, Thomson Reuters

Randall Mikkelsen is based in Boston and has worked as a financial and political journalist with Thomson Reuters since he joined Reuters in 1988. He has covered the White House, Justice Department, CIA and other agencies in Washington and has covered economic and general news from postings in Philadelphia and Stockholm, Sweden.

Mikkelsen also served as a Reuters desk editor for the Americas and has covered financial regulation since 2008. He has won awards from the Society of American Business Editors and Writers and the North Dakota Newspaper Association.

Mikkelsen has a bachelor's degree in English and master's in Journalism from the University of Minnesota.

Celia Moore

Associate Professor, Bocconi University, Milan, Italy

Celia Moore, PhD, is an Associate Professor in the Department of Management and Technology at Bocconi University in Milan, Italy. She teaches courses in Leadership, Ethics and Corporate Social Responsibility to Masters, MBA and Executive students. She is an Academic Fellow of the Ethics & Compliance Initiative and sits on the UK Banking Standards Board Assessment Steering Committee.

She was a professor at the London Business School for a decade where she taught the core ethics course to every incoming MBA and EMBA class. She has been a Visiting Scholar at the Harvard Business School and a Fellow at the Edmond J. Safra Center for Ethics at Harvard University.

Moore has consulted with and designed courses for several organizations on integrity in business, including the Institute of Chartered Accountants of England and Wales, the International Anti-Corruption Academy in Vienna and the Brookings Institute. She spent eight years in HR consulting and research, five of which were at Catalyst, a nonprofit that works with business to advance women. While there, she spearheaded Catalyst's entry into Canada.

She earned her bachelor's degree in Philosophy from McGill University and holds a master's degree in Public Administration from Columbia University. She completed her doctoral work at the Rotman School of Management at the University of Toronto and holds a BA (Hons). Her work has been featured in the *Financial Times*, *Wall Street Journal*, *Forbes*, and *Fast Company*, as well as on NPR, CBC and the BBC.

Josephine S. Nelson

Associate Professor of Law, Villanova University

Josephine S. Nelson, JD, is Associate Professor of Law (Business Ethics) at Villanova Law School, and she holds a courtesy appointment in the Management & Operations Department of Villanova Business School. A scholar, legal consultant, and start-up advisor, Nelson teaches and writes on issues related to business law, ethics, and white collar crime.

Previously, Nelson served as a Senior Fellow at the Carol and Lawrence Zicklin Center for Business Ethics Research at The Wharton School of the University of Pennsylvania. She also was an advisor in the Center for Entrepreneurial Studies for the Stanford University Graduate School of Business, among other roles in academia.

Prior to her work in academia, Nelson served as staff counsel for the U.S. Court of Appeals for the Tenth Circuit and clerked for the Honorable David M. Ebel of the U.S. Court of Appeals for the Tenth Circuit and the Honorable William H. Yohn Jr. of the U.S. District Court for the Eastern District of Pennsylvania. She previously worked as a deputy district attorney and as a business litigator.

Nelson is a graduate of Harvard Law School, where she was the Supreme Court Co-Chair of the Harvard Law Review. She earned a Bachelor of Arts in Political Science with honors and distinction in the major from Yale University.

Rosemarie Paul

Partner, Ropes & Gray

Rosemarie Paul, JD, specializes in UK financial regulatory matters, with a particular focus on regulatory investigations and enforcement proceedings involving the Financial Conduct Authority (FCA) and the Prudential Regulation Authority (PRA).

Rosemarie joined Ropes & Gray's Litigation and Enforcement practice in 2018 from the London office of another international firm. Prior to joining private practice, she was a member of the Enforcement and Financial Crime Department at the Financial Services Authority, where she provided legal advice to the investigatory teams within Enforcement Division, led cases through Decision Committee and Upper Tribunal hearings, and advised on applications for authorization and Approved Persons.

Rosemarie has a detailed understanding of the regulators' supervisory process. She assists clients in anticipating and addressing issues that arise under the UK regulatory framework and is able to identify how the FCA and PRA regulatory requirements will affect her clients. She earned her Bachelor of Laws from the University of Waikato, New Zealand.

Wieke Scholten

Head of Audit for Behavioral Risk, Royal Bank of Scotland

Wieke Scholten is Head of Audit for Behavioral Risk at RBS in London. She heads up an expertise team within internal audit that assesses area-specific subcultures across the Group, which could result into undesirable outcomes such as misconduct, poor decision making and poor management of risk. As part of this innovative audit methodology, the team conducts deep-dive reviews in high-risk areas with the aim to impact adverse 'local climates' in order to mitigate behavioral risk and hereby prevent future issues.

Before joining RBS, Scholten worked as a senior supervisor of Behavior & Culture at the Dutch financial supervisor (DNB) and has as such eight years of experience in identifying behavioral risk within the banking industry, since the start of the regulatory attention for culture in 2010. Before her focus on the banking context, Scholten worked as an organizational consultant on leadership and behavioral change primarily in the healthcare industry.

Scholten is an organizational and social psychologist with a PhD in social sciences. Her research has been focused on preventing unethical behavior. She is the author of the book "Banking on Team Ethics: A Team Climate Perspective on Root Causes of Misconduct in Financial Services" (2018).

Scholten earned her master's degree and her doctorate from Leiden University, The Netherlands.

Michael Francis Silva

Partner and Chair, Financial Services Regulatory Practice, DLA Piper

As the only Federal Reserve lawyer to have ever led an embedded on-site team of examiners for a systemically important financial institution (SIFI), Michael Francis Silva, JD, has extensive experience, from both sides of the table, implementing the Dodd-Frank Act's enhanced prudential standards and meeting all dimensions of supervisory expectations.

Having served as Chief of Staff of the NY Fed during the financial crisis, Silva has had extensive exposure to the policy-making process, the mechanics of the financial system, and both official sector leaders and financial services leaders at the highest levels. He was a core member of the NY Fed's 9/11 Crisis Management team and served in Baghdad as the Federal Reserve's advisor to the Central Bank of Iraq. He later became Chief of Staff to then-President Timothy Geithner.

Silva spent 21 years with the Federal Reserve Bank of New York. He holds a bachelor's degree from the United States Naval Academy and a juris doctorate from Columbia University.

Eugene F. Soltes

Associate Professor, Business Administration, Harvard Business School

Eugene Soltes is the Jakurski Family Associate Professor of Business Administration at Harvard Business School, where his research focuses on corporate misconduct and how organizations design cultures and compliance systems to confront these challenges. He also teaches Corporate Criminal Investigations at Harvard Law School and is a recipient of the Charles M. Williams Award for outstanding teaching.

Professor Soltes' work on corporate misconduct and fraud culminated in the book "Why They Do It: Inside the Mind of the White-Collar Criminal." He advises firms about their compliance programs and regularly speaks to regulators, including the Department of Justice Fraud Section, Securities and Exchange Commission, United States Treasury, and the Federal Bureau of Investigation. His research has been widely quoted by the media, including in *The Wall Street Journal*, *Financial Times*, *The New York Times*, on NPR, and in *The Economist*.

Professor Soltes received his PhD and MBA from the University of Chicago Booth School of Business and his AM in statistics and AB in economics from Harvard University.

Katharina Wegmann

Associate Partner, Forensic and Integrity Services, Ernst & Young

Katharina Wegmann and her interdisciplinary team consult clients in measuring, institutionalizing and building cultures of integrity. Their approach combines social sciences with extensive investigation expertise, leveraging insights from organizational learning, behavioral sciences, forensic data analytics and systems thinking.

Previously, Wegmann was an adviser and public speaker for business ethics and whistleblowing due to her extensive research and doctoral dissertation on whistleblowing in the financial sector after the financial crisis.

Wegmann also served as Business Outreach Director at Ethical Systems between 2014-2015. Since 2003, she has consistently built her international advisory practice, working with companies, including Novartis, P&G, Hewlett Packard and SCA.

Weghmann teaches at the University of Witten-Herdecke in Germany and previously conducted courses and coached MBAs at the NYU Stern School of Business, Manhattan College, and Columbia University. In 2018, she was named “40 under 40” of Germany by *Capital Magazine* and “25 Women Who Revolutionize Our Economy” by Edition F, Handelsblatt and Die Zeit.

Weghmann received a doctor of education and master’s degree in organizational learning and leadership from Columbia University, Teachers College; an MBA from International University of Geneva; and a bachelor of business from Business School Lausanne, Switzerland. She is the chair of the caucus Integrity and Governance at the German Institute of Compliance.

Luigi Zingales

Professor, University of Chicago’s Booth School of Business

Luigi Zingales, PhD, is a Professor at Chicago Booth; a faculty research fellow for the National Bureau of Economic Research; a research fellow for the Center for Economic Policy Research; and a fellow of the European Governance Institute. He is also an editorialist for *Il Sole 24 Ore*, the Italian equivalent of the *Financial Times*. Zingales also serves on the Committee on Capital Markets Regulation, which has been examining the legislative, regulatory, and legal issues affecting how public companies function.

Zingales’ research interests span from corporate governance to financial development, from political economy to the economic effects of culture. He co-developed the Financial Trust Index, which is designed to monitor the level of trust that Americans have toward their financial system. In July 2015 he became the director of the Stigler Center at the University of Chicago, and in 2014 he was the President of the American Finance Association.

Zingales received a bachelor’s degree in Economics (summa cum laude) from Università Bocconi in Italy and a PhD in Economics from the Massachusetts Institute of Technology.

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