

GWENDOLYN LEE HASSAN, JD, CCEP

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CHIEF ETHICS & COMPLIANCE OFFICER

Legal, compliance and risk executive driving innovation and performance excellence for both publicly traded and privately held multinational companies. Business savvy, multilingual professional, highly regarded as a calm, collaborative leader with deep knowledge of regulatory, compliance, risk, and trade matters. A natural trust builder with a practical risk-based problem-solving approach. Transformational strategic advisor and partner for global organizations, known for relationship building with diverse stakeholders from hourly employees to board members and government regulators. Exceptional team leadership, staff mentoring and program management skills, adaptive and empathetic communicator with extensive public speaking experience and high cross-cultural emotional intelligence.

Compliance Program Development
OFAC and Trade Sanctions
Third Party Due Diligence/AML
ESG/Regulatory Compliance
Government Investigations

Risk Management/ERM/GRC
Data Privacy/GDPR Compliance
Human Trafficking Prevention
Federal Sentencing Guidelines
Federal Monitorship Compliance

Global Investigations/Hotline
FCPA/Anti-Corruption & Fraud
Trade Compliance/ITAR/EAR
Policy Development/Training
Corporate Integrity Agreements

Bilingual in Spanish, proficient in Italian, speak some Portuguese and French

SELECTED HIGHLIGHTS

- **Built several strategic global compliance programs from scratch.** Assessed program design against U.S. Federal Sentence Guidelines and DOJ/SEC Guidance for effective compliance programs. Developed and benchmarked multi-year strategic program maturation plan including global staffing and resourcing plans, multi-currency, multi-million-dollar budgets and iterative automation/technology mapping.
- **Deep knowledge of ethics and compliance best practices** with successful track record of designing and implementing programs for compliance governance, cross-border investigations and global helpline management, compliance risk management, disclosure and resolution of conflicts of interest, policy creation and management, compliance in the context of mergers and acquisitions, and compliance training strategy and delivery.
- **Strong ethics and compliance background across multiple industries** including consumer goods, industrial manufacturing, logistics, automotive, and technology sectors.
- **Comfortable with board reporting and relations.** Creation and presentation of quarterly board of director and audit committee materials including data analytics, trend analysis, ethics and compliance metrics and KPIs.
- **Ethical culture and ESG champion.** Assess and build integrity-based company cultures and high performing ESG teams to protect and generate value for both internal and external stakeholders.

EXPERIENCE

UNISYS CORPORATION, Chicago, IL

Global, \$2B publicly traded (NYSE) technology software and solutions company with 17,000 employees located in 64 countries.

Deputy Chief Compliance Officer (2023 to Present)

Responsible for the design and operation of the ethics and compliance program globally for this heavily matrixed organization. Manage multinational compliance team resident around the globe with responsibility for all aspects of both the corporate ethics and compliance program and the trade compliance function.

- Designed compliance program assessment and benchmarked gap analysis, leveraging resulting data to create multi-year program maturation strategy and implementation plan.
- Spearheaded multiple inaugural initiatives as a member of the ESG Steering Committee resulting in higher ESG ratings agency scores.
- Created process improvements for conflict-of-interest prevention controls including selection and configuration of new technology solution.

- Wrote global guidelines for use of Generative AI throughout the corporation's different business segments.

CONSILIO, Chicago, IL
Global legal services and consulting company
Interim Chief Compliance Officer and Compliance Consultant (2021 – 2023)

Developed and implemented compliance, risk, and trade compliance programs for multiple clients including a private equity held laboratory and pharmacy firm, a large U.S. based retail pharmacy corporation, a Fortune 200 multinational food corporation, a FINTECH startup, the Society of Corporate Compliance and Ethics, multiple compliance consultancies, and a compliance training content developer.

- Steered a client through Corporate Integrity Agreement (CIA) working directly with Independent Review Organization (federal compliance monitor) to conduct annual compliance and control testing and report to federal agency. Negotiated directly with government regulators to obtain amendment to and then termination and release from successor liability requirements of CIA as prerequisite to multiple sale transactions.
- Created complex trade compliance strategy involving potential qualification for specific licensing exception related to the sale of products into restricted countries in the middle east.
- Conducted compliance program assessment and provided gap analysis and recommendations for multi-year program maturation plan including creation of job descriptions and organizational structure for new post-merger compliance function. Authored enterprise-level integrity code, homologating four pre-existing subsidiary level codes into a single global code as part of post-transaction compliance integration work.
- Formed/chaired Compliance Committee providing oversight of enterprise-wide compliance and ethics program including quarterly reporting to Audit Committee and the Board of Directors.

CNH INDUSTRIAL N.V., Burr Ridge, IL
Third-largest capital goods manufacturer in the world; a \$30B, NYSE-listed foreign issuer manufacturing tractors, buses, truck and military vehicles with 66,000 employees worldwide
Managing Counsel/Global Director – Compliance (2015 – 2021)
Managing Attorney, Compliance and Regulatory for North America (2013 – 2015)

Promoted from regional position with responsibility for compliance and regulatory matters throughout North America into Global Managing Counsel/Global Director role reporting to the Corporate Secretary. Designed and implemented newly merged company's global compliance program from scratch. Managed a multi-million-dollar, multiple currency budget and a multinational team resident around the globe.

- Investigated large regulatory compliance issue related to environmental compliance including direct high-stakes negotiations and communications with multiple government regulatory agencies resulting in civil settlements including remediation measures but no criminal enforcement.
- As company's sole trade compliance counsel provided legal advice and leadership on matters relating to customs compliance, economic sanctions, export compliance and licensing, ITAR and EAR controlled goods, USML, including creation and staffing of company's first stand-alone trade compliance function, and advising on structure of defense business to comply with DCAA and cost accounting requirements.
- Designed and implemented global third-party due diligence and anti-money laundering project in conjunction with CNH Capital (regulated financial services entity) to standardize and introduce automation of ultimate beneficial ownership/PEP/OFAC and ABAC screening processes and controls and establish robust diligence process globally.
- Responded to COVID-19 pandemic, creating cross-functional, remote, global team to develop a Crisis Response and Management Plan.
- Built company's first global investigations function including establishment of first global, multilingual helpline, writing of all policies and processes, hiring of staff, development/delivery of investigation training materials, implementation of global issue tracking system and employee reporting mobile app, creation of issue escalation protocols and tracking of key metrics including issue type/location analysis and time to close, while overseeing and managing all global investigations.
- Created global team to review and analyze emerging supply chain integrity and ESG regulations including UK Modern Slavery Act, California Transparency in Supply Chains Act, Australia Modern Slavery Act, and

U.S. Department of Defense Human Trafficking Prevention requirements, and develop and implement compliance strategy, policy, training, and communication plans.

- Built and operationalized company's first formal compliance risk assessment process and compliance risk mapping and mitigation program; assisted in creation of first separate ERM/GRC function including selection, configuration and launch of GRC tool and development of the company's first global compliance risk scorecard to monitor key compliance metrics.
- Wrote global code of conduct and compliance policies, including anti-bribery and corruption/fraud prevention, retaliation prevention, gifts and entertainment, human rights, diversity and inclusion, trade compliance, and conflicts of interest policies and processes. Code scored the highest (97/100) of any peer group company as part of Dow Jones Sustainability Index ranking for 2020.
- Developed and sponsored Anti-Corruption Global Practice Group; a cross-regional legal team of in-house attorneys from around the world dedicated to the continuous improvement of the company's corruption and fraud prevention program.
- Guided Regulated Substances Steering Committee for the company working on corporate social responsibility matters involving REACH, ROHS and Conflict Minerals regulations.

NAVISTAR, INC., Lisle, IL

\$15B NYSE-listed global automotive manufacturer of buses, trucks and military vehicles

Compliance Counsel/Manager - Corporate Compliance (2011 – 2013)

Senior Attorney - International Trade and Compliance (2010 – 2011)

Attorney – International Trade and Compliance (2009 – 2010)

Newly created position in the Office of the General Counsel responsible for providing legal counsel and leadership on matters of cross-border trade and compliance including import/export regulations (CBP, HTC, OFAC, ITAR, EAR), corruption prevention (FCPA/UKBA), global investigations and money-laundering prevention. Position quickly expanded to include global logistics, global dealer diligence and contract negotiations, and work on defense/military sales contracts including providing counsel on the FAR/DFAR as well as both Federal and State grant and cooperative agreement compliance including ARRA Department of Energy grants.

- Created and guided cross-functional committee to design and implement company's first global investigation policies, processes and controls including selection, contract negotiations, configuration, and implementation of global incident management system.
- Negotiated directly with UK Ministry of Defense to recover millions of dollars in duty payments paid in connection with UK defense imports.
- Built cross-functional team to select and negotiate contract terms with SAAS vendor for enterprise-wide export licensing and OFAC compliance solution, and to create new foreign visitor screening and anti-boycott compliance and reporting program, including authoring of corporate policies, and creating controls, procedures, and training for same.
- Developed and implemented import/export strategy, performed due diligence, and created compliance policy and procedures for joint venture deals in India, China, Brazil, and the UK.
- Revised and reissued corporate Anti-Corruption Policy, created third party FCPA/UKBA due diligence screening process, and authored new scenario-based anti-corruption training tool used by the company worldwide.
- Advised client group in connection with DCAA audit and compliance with terms of \$39M Dept. of Energy (DOE) American Recovery and Reinvestment Act and \$20,000 per vehicle California Air Resources Board (CARB) Grants for Electric Vehicle Development.

NAL WORLDWIDE LLC, Addison, IL

Private equity held specialty logistics start-up with approximately 600 employees and more than 25 operating locations in North America

Vice President, General Counsel & Secretary (2005 – 2009)

As the Company's first General Counsel, reported directly to the CEO as a member of the senior executive team. Designed and created the legal, compliance and risk function from "the ground up", including hiring and management

of staff, negotiation of insurance policies and coverage, creation of all policies and processes, and management of all legal matters, budget, and litigation for the corporation and its subsidiaries. Served as the company's Corporate Secretary responsible for all corporate entity formation and maintenance.

- As the company's Chief Compliance Officer, authored Code of Conduct and all corporate compliance policies and workplace rules and procedures; investigated and remediated all alleged violations.
- Created project team to establish Foreign Trade Zone including negotiation of all agreements and government approvals and authoring of FTZ Operations and Compliance Manual.
- Developed and implemented risk management program including negotiation of insurance coverage including D&O and cyber-risk.
- Designed and established new process controls for employee terminations resulting in 75% reduction in employment litigation and EEOC charges and no findings of probable cause by any administrative agency or court during my tenure.
- Built contract and new business start-up process in conjunction with our Six Sigma Team and implemented company's first web-accessible contract management system including drafting of all company contract templates.
- Guided due diligence teams, negotiated transaction documents and served on transition teams for \$25M Revolving Credit Facility and five acquisitions ranging in size from \$1M to \$20M in size, some of which failed to close after personally vetting negative target information as part of the due diligence process.

FEDERAL SIGNAL CORPORATION, Oakbrook, IL

\$1B, NYSE-listed global heavy equipment manufacturer with more than 6,000 employees worldwide, many of them unionized, located across 42 manufacturing facilities in 12 different countries.

Corporate Counsel (2002 – 2005)

Reporting directly to the General Counsel, supervised department support staff and legal interns.

- Sole counsel for leasing division providing UCC advice, drafting and negotiation of contract documents for all vehicle and commercial real estate leasing issues, negotiated and managed drafting of complex multi-party cross-border Mexican debt securitization using Spanish language skills.
- Managed 1/3 of litigation docket including patent, trademark, commercial contract, regulatory, environmental, employment, ERISA, union labor dispute and product liability matters including selection and management of outside counsel; with extensive work on multi-jurisdiction, multi-million-dollar, class-action hearing-loss product liability litigation and complex European manufacturing defect case filed against a supplier.
- Authored and presented compliance training presentations throughout the corporation and conducted internal compliance investigations of all alleged violations thereof.
- Oversaw historical insurance coverage "archeology" project to uncover potential coverage for hearing loss claims.
- Counseled clients and negotiated multiple international transactions: settlement with foreign patent infringer resulting in lucrative multi-year royalty agreement, sale of Brazilian and Canadian subsidiaries, complex government sales contracts with Kuwait and the Netherlands and creation of a joint venture in China.
- Developed and implemented bi-annual Sarbanes-Oxley testing and audit process for the legal department and assisted in preparation of 10-K, proxy materials and annual report.

HARTMARX CORPORATION, Chicago, Illinois

\$600M, NYSE-listed, consumer apparel manufacturing company with both domestic and international manufacturing operations

Attorney (1997 – 2002)

Reporting directly to the General Counsel, provided legal counsel in connection with labor and employment, corporate governance, ERISA, international, transactional and E-commerce issues for the corporation.

- Negotiated end to labor strike and “lock-out” leading to eventual termination of union agreement in Mexico using Spanish language skills, negotiated and drafted ERISA amendments necessary to terminate union pension plan.
- Conducted due diligence for multiple acquisitions, both international and domestic.
- Managed outside counsel and supervised trademark, employment, real estate, ERISA, and contract litigation.
- Reviewed and approved print and web-based advertising and promotional material to ensure compliance with relevant law and company trademark usage requirements.
- Created and presented FMLA and ADA training programs implemented company-wide and investigated all union grievances, and employment discrimination charges.

TEACHING EXPERIENCE

LOYOLA UNIVERSITY COLLEGE OF LAW, Chicago, IL, (2018 to Present) Adjunct Professor

Appointed to Adjunct Faculty and invited to develop and teach a new course entitled, “Emerging Issues in Compliance” first offered as part of Loyola College of Law’s LLM program for Spring Semester 2019. Asked to help develop and then co-teach a new course on ESG for the Risk and Compliance LLM program offered beginning in 2022.

HONORS

Founder and Host: “*Hidden Traffic*” Human Trafficking Prevention Podcast (2021 – present), winner of a 2022 “Communicator Award” for excellence in business podcasting and a “W3 Silver Award” for excellence in podcasting <https://podcasts.apple.com/us/podcast/welcome-to-hidden-traffic-with-gwen-hassan/id1594891992?i=1000541512840>

Featured as one of the “*Great Women in Compliance*” Podcast, Episode 16 (April, 2019) <https://podcasts.apple.com/us/podcast/large-scale-compliance-programs-with-gwen-hassan/id1444965149?i=1000436239016>

First Chair Award for “*Top Compliance Counsel*”
First Chair Organization, August 2018

EDUCATION & AFFILIATIONS

JD, – DePaul University College of Law Class Rank: **Top 20%**
American Jurisprudence Award

BA, - Communications – University of Wisconsin, Madison
Minor in Spanish

Chair, MAPI Compliance and Ethics Council (2018 – 2021)

Contributing Author and Editorial Board Member, Society of Corporate Compliance and Ethics (2014 to Present)
Member, American Bar Association – International Law Section: Corporate Counsel, Export Controls (Steering Committee), Customs and Anti-Corruption Committees

VOLUNTEER WORK

Member, Board of Directors (Audit and Compliance Committee) for Heartland Alliance, not-for-profit, multinational human services organization based in Chicago (2023 – present)

Volunteer for Association of Corporate Counsel (ACC) Chicago Chapter Street Law Diversity Pipeline Program
Volunteer for Habitat for Humanity

SPEAKING ENGAGEMENTS AND PODCASTS

- ESG & Compliance Conference
“Leveraging Skills You Already Have to Create an Effective ESG Strategy” (November, 2023)
University of Illinois Chicago Law School
Guest Lecturer, FCPA Policy Drafting (October, 2023)
Public Law Institute (PLI) Pocket MBA
“Regulatory and Legal Compliance in International Business and Trade” (October, 2023)
Society of Corporate Compliance and Ethics (SCCE) Annual Compliance and Ethics Institute
Risk Track Chair and Speaker
“Risk Monitoring and Controls” (October, 2023)
Northwestern University Corporate Counsel Institute 2023
Trade Compliance Roundtable (September, 2023)
Compliance Week National Conference 2023
Panel Host and Moderator: “Assessing a Growing Risk Area: Human Trafficking and Forced Labor” (May, 2023)
ICPA Chicago
“Human Trafficking Prevention in Trade” (April, 2023)
HCCA Annual Compliance Institute
“The Zen of ESG Program Development: How to Create an ESG Program Aligned with the Elements of an Effective Compliance Program” (April, 2023)
SAI360 Live Webinar
“DOJ Compliance Trends Over the Past Year” (March, 2023)
Chicago Bar Association
“Developments in International Trade Compliance” (February, 2023)
Global Counsel Leaders
“Geopolitics, Human Rights and Trade: New Implications” (February, 2023)
Society of Corporate Compliance and Ethics (SCCE) Compliance Risk Assessment and Management Workshop
Content Author and Faculty (2022 and 2023)
Compliance Week Third Party Due Diligence Conference
“Human Rights Due Diligence” (December, 2022)
SCCE ESG and Compliance Conference
“The Accidental ESG Officer: Where to Start When You’re Voluntold to Lead an ESG Program” (December, 2022)
Ethisphere
“Is Training Part Of Your ESG Strategy – Or Should It Be?” (November, 2022)
University of Illinois Chicago Law School
Guest Lecturer, FCPA Policy Drafting (October, 2022)
Society of Corporate Compliance and Ethics (SCCE) Annual Compliance and Ethics Institute
Risk Track Chair and Speaker
“Leveraging Best Practices in Ethics & Compliance and DEI to Implement a Robust and Effective ESG Program” and
“ESG and the Future of Compliance” (October, 2022)
Public Law Institute (PLI) Pocket MBA
“Regulatory and Legal Compliance in International Business and Trade” (September, 2022 and October, 2022)
Modern Governance Summit
“The Role of Ethics and Compliance in Corporate Culture” (September, 2022)
Society of Corporate Compliance and Ethics (SCCE) Encouraging, Managing, and Integrating Employee Reporting
“Best Practices in Handling Non-Compliance Related Reports” (July and November, 2022)
Chicago Regional Business Network
“Forced Labor and Human Trafficking Prevention” (May, 2022)
Compliance Week National Conference 2022 - Washington, D.C.
Conference Track Chair, Panel Moderator and Speaker, “Adapting Compliance Programs to the “New Normal” of the Hybrid/Remote Work Environment” (May, 2022)
University of Illinois Chicago Law School
DiCarlo Program on Forced Labor Prevention, “Corporate Diligence and Controls in the Prevention of Human Trafficking and Forced Labor” (April, 2022)
Madison International Trade Association, Rock Stars of Trade Program
Keynote Speaker: “Forced Labor, a Matter of Conscious and Compliance” (February, 2022)
Society of Corporate Compliance and Ethics (SCCE) Encouraging, Managing, and Integrating Employee Reporting
“Best Practices in Handling Non-Compliance Related Reports” (December, 2021)
Society of Corporate Compliance and Ethics (SCCE) ESG and Compliance Conference
“A Proactive Approach to Implementing Your ESG Strategy” (November, 2021)
Resiliti ESG and Ethical Leadership Summit
“Leveraging Your Compliance Skillset for ESG” (November, 2021)
General Counsel Conference Midwest - Chicago
Keynote Speaker: “Corporate Compliance Culture in the New Normal” (October, 2021)

Public Law Institute (PLI) Pocket MBA Program
Regulatory and Legal Compliance in International Business (September, 2021)
Society of Corporate Compliance and Ethics (SCCE) Encouraging, Managing and Integrating Employee Reporting
“Handling Reports That Aren’t Really Compliance Related (July, 2021)
The Ethics Expert Podcast by Compliance Line
“Gwen Lee Hassan” (June, 2021)
The Ethics Movement Podcast
“Human Trafficking: How Compliance Can Lead the Fight” (May, 2021)
Manufacturer’s Alliance for Productivity and Innovation
“Third Party Due Diligence Program Gap Analysis” (April, 2021)
DePaul University School of Law - Chicago
Guest Lecturer, Health Law Drafting, FCPA Policy Drafting (April, 2021)
SAI Customer Summit
Ethics & Compliance Programs in Action (March, 2021)
PWC Women’s Network
Guest speaker: Compliance Careers (March, 2021)
The Compliance Life Podcast
“The Twisting Road to Compliance” (January, 2021)
The Principled Podcast, LRN Episode 26
“Putting a New Spin on Things” (February, 2020)
American Conference Institute’s Trade Sanctions Boot Camp
“Deep Dive into U.S. Primary and Secondary Sanctions” and “OFAC Expectations for Your Sanctions Compliance Program and Key Elements of an Effective Plan”- (November, 2019)
Society of Corporate Compliance and Ethics (SCCE) Annual Compliance and Ethics Institute
“Trade Compliance Update” – (September, 2019)
Manufacturer’s Alliance for Productivity and Innovation
“New U.S. DOJ Guidelines for Corporate Compliance Programs” – (September, 2019)
Great Women in Compliance Podcast
“Large Scale Compliance Programs” – (June, 2019)
Compliance Trends in a Global Marketplace
Trade Compliance Panel Member – (May, 2019)
Courageous Counsel Leadership Institute
“Whistleblower Best Practices Panel” – (January, 2019)
Society of Corporate Compliance and Ethics (SCCE) Annual Compliance and Ethics Institute
“Trade Compliance Workshop” – (October, 2018)
Innoxcell Asia Pacific Summit
“It’s Complicated” - Dealing with 11 Jurisdictions in Asia with Different Sets of Law and Corporate Compliance Standards – (August, 2018)
Compliance Week National Conference 2018 - Washington, D.C.
“How Connected Data is Transforming Risk Management” – (May, 2018)
Chain Reaction: The Blockchain Supply Chain Summit
“Blockchain Breakthrough: Smart Contracts for a Smarter Supply Chain”
(April, 2018)
University of Illinois, Center for Professional Responsibility in Business and Society
“FCPA at 40, Influence on the Enactment and Enforcement of Global Anti-Bribery Laws”
(February, 2018)
Society of Corporate Compliance and Ethics (SCCE) Annual Compliance and Ethics Institute
“Trade Compliance Workshop” – (October, 2017)
Compliance Week National Conference 2017 – Washington D.C.
“Human Trafficking Prevention Program Development” – (May, 2017)
Society of Corporate Compliance and Ethics (SCCE) Annual Compliance and Ethics Institute
“Trade Compliance Risk” – (October, 2016)
Association of Corporate Counsel – Chicago
“Best Practices in Global Investigations” – (March, 2016)
Society of Corporate Compliance and Ethics (SCCE) Annual Compliance and Ethics Institute
“Trade Compliance Risk Assessment and Program Development” – (October, 2015)
American Conference Institute’s FCPA Boot Camp
"Training and Program Enhancement Strategies" - (June, 2015)
US Law Network
"FCPA Risk Management" - (March, 2015)
Society of Corporate Compliance and Ethics (SCCE) Annual Compliance & Ethics Institute
"Trade Compliance" - (October, 2014)
American Conference Institute’s FCPA Boot Camp
"Third Party Case Studies: How to Successfully Manage Your Third-Party Relationships

Across the Globe" - (June, 2014)
American Association of Exporters and Importers (AAEI)
"Stemming the Tide of Compliance Risks" - (June, 2014)
Manufacturer's Alliance for Product Integrity (MAPI) Compliance & Ethics Council
"Creating a Human Trafficking Compliance Program" - (April, 2014)
American Bar Association - International Section Spring Meeting 2014
"Tricks of the Trade, Due Your Diligence, Spotlight on the FCPA and U.S. Export Controls" - (April, 2014)
Society of Corporate Compliance and Ethics (SCCE) Annual Compliance & Ethics Institute
"Managing Global Trade Compliance Risk" (September, 2014)
American Conference Institute
"Export Compliance and Mobile Devices – Compliance Best Practices" (October, 2013)

PUBLICATIONS

Society of Corporate Compliance and Ethics (February, 2023)
Member of Editorial Board
"The Complete Compliance and Ethics Manual 2023"
Contributing Author – Global Supply Chain Risk, Third Party Due Diligence, Human Trafficking Prevention and Trade Sanctions Chapters
Loyola University Chicago School of Law Journal of Regulatory Compliance
"Regulatory Developments in Human Trafficking and Modern Slavery Prevention and the Increasing Overlap with ESG Disclosure Initiatives" (January, 2022)
Corporate Compliance Insights (July, 2021)
"5 Tips From a Suddenly Unemployed Compliance Professional"
Society of Corporate Compliance and Ethics (February, 2022)
Member of Editorial Board
"The Complete Compliance and Ethics Manual 2022"
Contributing Author – Global Supply Chain Risk, Third Party Due Diligence, Human Trafficking Prevention and Trade Sanctions Chapters
Society of Corporate Compliance and Ethics (February, 2021)
Member of Editorial Board
"The Complete Compliance and Ethics Manual 2021"
Contributing Author – Global Supply Chain Risk, Human Trafficking Prevention and Trade Sanctions Chapters
Committee of Sponsoring Organizations of the Treadway Commission and the Society of Corporate Compliance and Ethics (November, 2020)
Compliance Risk Management: Applying the COSO ERM Framework
[Compliance-Risk-Management-Applying-the-COSO-ERM-Framework.pdf](#)
Contributing Author on behalf of SCCE
Anticorruption Report (June, 2020)
"Building an Internal Investigations Function"
Interview and Q&A
Society of Corporate Compliance and Ethics (February, 2020)
Member of Editorial Board
"The Complete Compliance and Ethics Manual 2020"
Contributing Author – Global Supply Chain Risk, Human Trafficking Prevention and Trade Sanctions Chapters
Sending the Elevator Back Down (January, 2020)
Contributing Author to this collection of essays from Great Women in Compliance
Society of Corporate Compliance and Ethics (February, 2019)
Member of Editorial Board
"The Complete Compliance and Ethics Manual 2019"
Contributing Author – Global Supply Chain Risk, Human Trafficking Prevention and Trade Sanctions Chapters
CIO Magazine (October, 2018)
"The Role of Technology in a Just-in-Time Compliance Model"
Financier Worldwide Magazine (July, 2018)
"KYC Technology for Screening, Verification and Monitoring"
Society of Corporate Compliance and Ethics (February, 2018)
"The Complete Compliance and Ethics Manual 2018"
Contributing Author – Global Supply Chain Risk, Human Trafficking Prevention and Trade Sanctions Chapters
Member of Editorial Board
Compliance and Ethics Professional (August, 2017)
"Is There Benefit In Being An Early Adopter?" (Review of ISO 37001)
MAPI Compliance and Ethics Blog (January, 2017)
"What to Expect in 2017"
Society of Corporate Compliance and Ethics (February, 2017)

“The Complete Compliance and Ethics Manual 2017”
Contributing Author – Global Supply Chain Risk and Human Trafficking Prevention Chapters
Society of Corporate Compliance and Ethics (February, 2016)
“The Complete Compliance and Ethics Manual 2016”
Contributing Author – Global Supply Chain Risk and Human Trafficking Prevention Chapters
Society of Corporate Compliance and Ethics (February, 2015)
“The Complete Compliance and Ethics Manual 2015”
Contributing Author – Global Supply Chain Risk Chapter
Society of Corporate Compliance and Ethics (February, 2014)
“The Complete Compliance and Ethics Manual 2014”
Contributing Author – Global Supply Chain Risk Chapter
International Law News (ABA) (Winter, 2013)
“The Increasing Risk of Multijurisdictional Bribery Prosecution: Why Having an FCPA Compliance Program is no Longer Enough”
The International Lawyer (ABA) (2012)
“International Legal Developments Year in Review: 2012”, Customs Law; Co-Editor
The International Lawyer (ABA) (2011)
“International Legal Developments Year in Review: 2011”, Customs Law; Co-Editor and Contributing Author
The International Lawyer (ABA) (2010)
“International Legal Developments Year in Review: 2010”, Customs Law; Contributing Author
For the Defense (DRI) (2010)
“The Foreign Corrupt Practice Act Goes Global”
The Observer (1995)
“Amending Your Employee Benefit Plan the Curtiss-Wright Way”
The Observer (1996)
“States Fight Insurance Crime with Tough New Legislation”