

7<sup>TH</sup> ANNUAL  
**GOVERNMENT ENFORCEMENT  
INSTITUTE**

The Premier In-House Counsel Forum for  
Protecting Companies and Executives in Government Investigations



September 30–October 1, 2021  
Arts District Mansion ■ Dallas, Texas

📺 Also Available as a Live Webcast – September 30–October 1, 2021



**EVENT SPONSORS**

AlixPartners Haynes and Boone, LLP  
FTI Consulting Morgan, Lewis & Bockius, LLP  
Gray Reed Norton Rose Fulbright  
PwC

**SPONSORS**

Ahuja & Clark, PLLC Holland & Knight LLP  
Bracewell LLP Locke Lord LLP  
Forensic Risk Alliance Vinson & Elkins  
Winstead PC

---

Earn up to 11.25 Hours of Credit Including 2.50 Hours of Ethics Credit; Approved in TX, CA, OK and PA  
Specialization Credit Approved for: Administrative Law, Civil Appellate Law, Criminal Law, Criminal Appellate Law, Civil Trial Law

7<sup>TH</sup> ANNUAL  
**GOVERNMENT ENFORCEMENT INSTITUTE**

September 30–October 1, 2021 ■ Arts District Mansion ■ Dallas, Texas

Earn up to 11.25 Hours of Credit Including 2.50 Hours of Ethics Credit

Approved in TX, CA, OK and PA

Specialization Credit Approved for: Administrative Law, Civil Appellate Law, Criminal Law, Criminal Appellate Law, Civil Trial Law

Earn up to 13.50 Hours of TX Accounting CPE

*Times listed are in Central Time*

**THURSDAY MORNING, SEPT. 30, 2021**

**Presiding Officer:**

Steve Korotash, Morgan, Lewis & Bockius LLP, Dallas, TX

**8:00 a.m. Registration Opens**

Includes continental breakfast

THANK YOU TO OUR  
BREAKFAST SPONSOR

**HAYNES BOONE**

**8:50 a.m. Welcoming Remarks**

**9:00 a.m. .50 hr**

**Opening Keynote Presentation: Words Matter**

Six months in, hear what the Gensler SEC has meant for public company and financial services firm disclosure obligations and how proposed rulemaking is likely to affect those obligations.

David Peavler, Regional Director, U.S. Securities and Exchange Commission, Fort Worth Regional Office, U.S. Securities and Exchange Commission, Fort Worth, TX

**9:30 a.m. 1.00 hr**

**The Proactive General Counsel**

They don't have a crystal ball to foretell future, but a proactive general counsel draws on skills and experience to identify and prevent risks before they occur, including the risk of regulatory and enforcement issues. This discussion highlights the strategies and efforts that CLOs and GCs use to, first, prevent problems that could give rise to enforcement inquiries and, second, how to proactively address them and evaluate scenarios to reduce the exposure and impact if a government inquiry should occur.

**Moderator:**

Kit Addleman, Partner, Haynes and Boone, LLP, Dallas, TX

**Panelists:**

Bruce Byrd, Executive VP/General Counsel, Palo Alto Networks, Santa Clara, CA  
Patrick K. Craine, General Counsel and Corporate Secretary, Gulfport Energy Corporation, Oklahoma City, OK  
Additional Panelist TBD

**10:30 a.m. 15-Minute Break**

THANK YOU TO OUR THURSDAY  
COFFEE AND BREAKS SPONSOR

**NORTON ROSE FULBRIGHT**

**10:45 a.m. 1.00 hr | .50 hr ethics**

**Staffing and Scoping Internal Investigations: Choosing Outside Counsel and Other Key Decisions at the Outset of an Internal Investigation**

The foundation for any well-run internal investigation rests on several key decisions made at the outset. Once made, they can be difficult, if not impossible, to change. A shaky foundation can lead others to criticize the reasonableness of the investigation's processes and results, which can lead to difficulties with outside auditors, regulators and other stakeholders. This session addresses many of those issues, and others, to ensure an investigation gets started on a solid footing.

Dianne Ralston, Chief Legal Officer, Schlumberger, Houston, TX  
Michael W. Stockham, Partner, Holland & Knight LLP, Dallas, TX  
John C. Wander, Partner, Vinson & Elkins LLP, Dallas, TX

**11:45 a.m. 1.00 hr**

**ESG and Enforcement**

Examine the current status of ESG regulations and standards globally, including which of the U.S. regulatory agencies announced key focus and risk areas for ESG, and what may be coming. What can be learned from companies that have already experienced ESG pitfalls, including materiality considerations, disclosure issues, and "greenwashing"? And how can compliance and risk management programs be updated to mitigate ESG risks and leverage business opportunities?

**Moderator:**

Brooke Hopkins, Managing Director, AlixPartners, Dallas, TX

**Panelists:**

G. Jeffrey Boujoukos, Partner, Morgan, Lewis & Bockius, LLP, Philadelphia, PA  
Jonathan D. Brightbill, Partner, Winston & Strawn LLP, Washington, DC  
John A. Poakeart, Senior Legal Director, PepsiCo, Inc., Plano, TX

**THURSDAY AFTERNOON**

**Presiding Officer:**

Steve Korotash, Morgan, Lewis & Bockius LLP, Dallas, TX

**NETWORKING LUNCHEON**

**12:45 p.m.**

Interact and network with faculty and fellow colleagues. Buffet lunch included in registration.

THANK YOU TO OUR  
NETWORKING LUNCHEON SPONSOR

**AlixPartners**

**1:30 p.m. 1.00 hr**

**Financial Fraud Enforcement**

An update on the SEC's and DOJ's recent enforcement efforts involving fraud investigations and related litigation.

**Moderator:**

Jason S. Flemmons, Senior Managing Director, Ankura Consulting Group, Washington, DC

**Panelists:**

Lisa Miller, Chief, Securities and Financial Fraud Unit, U.S. Department of Justice, Washington, DC  
David Peavler, Regional Director, U.S. Securities and Exchange Commission, Fort Worth Regional Office, U.S. Securities and Exchange Commission, Fort Worth, TX  
Benjamin D. Singer, Partner, O'Melveny & Myers LLP, Washington, DC



UT Law CLE is committed to helping attorneys meet their annual Texas MCLE requirements. Following the event, customers will receive a free, on-demand eSupplement that will bring their total available hours to 15.00, including 3.00 hours of ethics.

2:30 p.m. 1.00 hr | .50 hr ethics

### FCPA and Anti-Corruption

The latest in FCPA enforcement and anti-corruption trends and policy developments, compliance best practices, and international updates.

**Moderator:**

Charles E. Duross, Partner, Morrison & Foerster LLP, Washington, DC

**Panelists:**

Jim Letten, Partner, Butler Snow LLP, New Orleans, LA  
Jason Rose, U.S. Securities and Exchange Commission, Fort Worth, TX  
Bernard Woolfley, Senior Managing Director, Ankura Consulting Group, Washington, DC

3:30 p.m. 15-Minute Break

3:45 p.m. 1.00 hr

### D&O Insurance and Government Enforcement Actions: Perspectives and Tips from the Insured, the Insurer, and the Defense Bar

A D&O policy can be a critical asset during a government enforcement event. Hear perspectives and tips from in-house counsel, outside counsel, and an insurance broker about what types of D&O policies are available, the key features of these policies, what types of enforcement events do/don't trigger a policy, and tips about how to foster a cohesive and strategic working relationship between company, counsel, and the insurer during an enforcement event.

**Moderator:**

Kip Mendrygal, Partner, Locke Lord LLP, Dallas, TX

**Panelists:**

Jennifer Judge, Senior Vice President, Deputy General Counsel, Caliber Home Loans, Inc., Coppell, TX  
Michael R. Smith, VP, Client Advisor, Lockton Companies, Dallas, TX  
Scott C. Thomas, Partner, Winston & Strawn LLP, Dallas, TX

4:45 p.m. 1.00 hr

### Cooperation Credit: Illusion vs. Reality

What do companies and individuals under government investigation need to know about the pros and cons of cooperating, and what does "cooperation credit" really mean, anyway? This panel explores whether cooperation can be a reliable strategy when dealing with the DOJ or SEC, insights on how to approach and advocate for cooperation credit, and what type of cooperation has (or has not) been credited in some recent government actions.

**Moderator:**

Jessica B. Magee, Partner, Holland & Knight LLP, Dallas, TX

**Panelists:**

Toby M. Galloway, Partner, Winstead PC, Fort Worth, TX  
Brian K. Kidd, Partner, Morrison & Foerster LLP, Washington, DC  
Eric R. Werner, Associate Regional Director, U.S. Securities and Exchange Commission, Fort Worth, TX

5:45 p.m. Adjourn to Reception

### NETWORKING RECEPTION

Join us for drinks and hors d'oeuvres with program faculty and attendees.

### THANK YOU TO OUR RECEPTION SPONSOR



GRAY REED

FRIDAY MORNING, OCT. 1, 2021

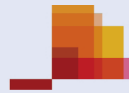
**Presiding Officer:**

Kit Addleman, Partner, Haynes and Boone, LLP, Dallas, TX

8:30 a.m. Conference room opens

Includes continental breakfast.

### THANK YOU TO OUR BREAKFAST SPONSOR



pwc

9:00 a.m. 1.00 hr ethics

### Ethical Issues Facing In-House Counsel

In-house attorneys are on the front-lines of potentially complex ethics issues arising from employee misconduct, executive decision-making, and corporate compliance. Explore some of the gray areas and difficult situations in-house attorneys may confront.

**Moderator:**

Jay Dewald, Partner, Norton Rose Fulbright, Dallas, TX

**Panelists:**

Paul E. Coggins, Partner, Locke Lord LLP, Dallas, TX  
Matthew G. Nielsen, Partner, Bracewell LLP, Dallas, TX  
Kelly Vickers, Associate General Counsel--International and Regulatory, Kimberly Clark Corp., Dallas, TX

Are you a 1<sup>st</sup> or 2<sup>nd</sup> year attorney? Attend most UT Law CLE conferences for just \$150!

Call 512.475.6700 to register.

10:00 a.m. 1.00 hr

### The General Counsel and the Independent Auditor

Hear tips for legal departments in interacting with independent auditors during an investigation—when do you disclose information, how do you speak with "one voice" with an auditor, and more.

**Moderator:**

Danny S. Ashby, Partner, Morgan, Lewis & Bockius LLP, Dallas, TX

**Panelists:**

Chris Davis, Partner, Gray Reed, Dallas, TX  
Umair Nadeem, Director, Forensic Risk Alliance, Dallas, TX  
Ira H. Raphaelson, Senior Counsel, White & Case LLP, Washington, DC

11:00 a.m. 15-Minute Break

### THANK YOU TO OUR FRIDAY COFFEE AND BREAKS SPONSOR



11:15 a.m. 1.00 hr | .50 hr ethics

### Emerging Issues in Data Privacy and Protection

Significant shifts in regulation, technology, and consumer expectations are triggering transformative changes to how organizations manage their privacy and data governance programs. In this session, our panelists will discuss new and emerging privacy issues and challenges and share insights on how they are navigating this complex environment.

**Moderator:**

Jake Meek, Director of Information Governance & Privacy, PwC, Atlanta, GA

**Panelists:**

Tim Newman, Partner, Haynes and Boone, LLP, Dallas, TX  
Additional Panelist TBD

12:15 p.m. .75 hr

### Recent Decisions "Wrap-Up": Updates and Practical Impacts from the Supreme Court and Circuit Courts

Panelists discuss the most significant enforcement-related decisions from the past two years.

**Moderator:**

Alan M. Buie, Assistant United States Attorney, United States Attorney's Office, Western District of Texas, Austin, TX

**Panelists:**

Douglas A. Allen, Assistant United States Attorney, United States Attorney's Office, Fort Worth, TX  
Jeffrey J. Ansley, Partner, Bell Nunnally & Martin LLP, Dallas, TX  
Jennifer S. Freel, Counsel, Vinson & Elkins LLP, Austin, TX

1:00 p.m. Adjourn

## INSTITUTE FACULTY AND PLANNING COMMITTEE

STEVE KOROTASH\*—CHAIR  
Morgan, Lewis & Bockius LLP  
Dallas, TX

CHRIS DAVIS  
Partner  
Gray Reed  
Dallas, TX

JESSICA B. MAGEE  
Partner  
Holland & Knight LLP  
Dallas, TX

TODD C. RANTA\*  
Partner  
PwC  
Dallas, TX

KIT ADDLEMAN\*  
Partner  
Haynes and Boone, LLP  
Dallas, TX

JAY DEWALD  
Partner  
Norton Rose Fulbright  
Dallas, TX

JAKE MEEK  
Director of Information Governance &  
Privacy  
PwC  
Atlanta, GA

IRA H. RAPHAELSON  
Senior Counsel  
White & Case LLP  
Washington, DC

DOUGLAS A. ALLEN  
Assistant United States Attorney  
United States Attorney's Office  
Fort Worth, TX

CHARLES E. DUROSS  
Partner  
Morrison & Foerster LLP  
Washington, DC

KIP MENDRYGAL  
Partner  
Locke Lord LLP  
Dallas, TX

JASON ROSE  
U.S. Securities and Exchange  
Commission  
Fort Worth, TX

JEFFREY J. ANSLEY  
Partner  
Bell Nunnally & Martin LLP  
Dallas, TX

JASON S. FLEMMONS\*  
Senior Managing Director  
Ankura Consulting Group  
Washington, DC

LISA MILLER  
Chief  
Securities and Financial Fraud Unit,  
U.S. Department of Justice  
Washington, DC

BENJAMIN D. SINGER\*  
Partner  
O'Melveny & Myers LLP  
Washington, DC

DANNY S. ASHBY\*  
Partner  
Morgan, Lewis & Bockius LLP  
Dallas, TX

JENNIFER S. FREEL  
Counsel  
Vinson & Elkins LLP  
Austin, TX

UMAIR NADEEM  
Director  
Forensic Risk Alliance  
Dallas, TX

MICHAEL R. SMITH  
VP, Client Advisor  
Lockton Companies  
Dallas, TX

G. JEFFREY BOUJOUKOS  
Partner  
Morgan, Lewis & Bockius LLP  
Philadelphia, PA

TOBY M. GALLOWAY  
Partner  
Winstead PC  
Fort Worth, TX

TIM NEWMAN  
Partner  
Haynes and Boone, LLP  
Dallas, TX

MICHAEL W. STOCKHAM  
Partner  
Holland & Knight LLP  
Dallas, TX

JONATHAN D. BRIGHTBILL  
Partner  
Winston & Strawn LLP  
Washington, DC

BROOKE HOPKINS  
Managing Director  
AlixPartners  
Dallas, TX

MATTHEW G. NIELSEN  
Partner  
Bracewell LLP  
Dallas, TX

SCOTT C. THOMAS  
Partner  
Winston & Strawn LLP  
Dallas, TX

ALAN M. BUIE  
Assistant United States Attorney  
United States Attorney's Office  
Western District of Texas  
Austin, TX

JOANNA JEFFERSON\*  
The University of Texas School of Law  
Austin, TX

DAVID PEAVLER  
Regional Director, U.S. Securities and  
Exchange Commission, Fort Worth  
Regional Office  
U.S. Securities and Exchange  
Commission  
Fort Worth, TX

KELLY VICKERS  
Associate General Counsel—International  
and Regulatory  
Kimberly Clark Corp.  
Dallas, TX

BRUCE BYRD  
Executive VP/General Counsel  
Palo Alto Networks  
Santa Clara, CA

JENNIFER JUDGE  
Senior Vice President, Deputy General  
Counsel  
Caliber Home Loans, Inc.  
Coppell, TX

John A. Poakeart  
Senior Legal Director  
PepsiCo, Inc.  
Plano, TX

JOHN C. WANDER  
Partner  
Vinson & Elkins LLP  
Dallas, TX

PAUL E. COGGINS  
Partner  
Locke Lord LLP  
Dallas, TX

BRIAN K. KIDD  
Partner  
Morrison & Foerster LLP  
Washington, DC

ERIC R. WERNER  
Associate Regional Director  
U.S. Securities and Exchange Commission  
Fort Worth, TX

PATRICK K. CRAINE\*  
General Counsel and Corporate  
Secretary  
Gulfport Energy Corporation  
Oklahoma City, OK

JIM LETTEN\*  
Partner  
Butler Snow LLP  
New Orleans, LA

DIANNE RALSTON  
Chief Legal Officer  
Schlumberger  
Houston, TX

BERNARD WOOLFLEY  
Senior Managing Director  
Ankura Consulting Group  
Washington, DC

\*Planning Committee member

## HOW TO REGISTER

### Online:

www.utcle.org/conferences/GE21/signup

### Mail:

The University of Texas  
School of Law  
ATTN: CLE  
PO Box 7759  
Austin, TX 78713-7759

### Fax:

512.475.6876

Questions? 512.475.6700

## REGISTRATION BENEFITS

**Comprehensive Course Materials:** Access course materials in "Your Briefcase" approximately 48 hours before the start of the program, and enjoy unlimited access to the final, complete course materials – downloadable PDFs of papers and slides.

**Accredited eConference:** Complimentary access to the eConference – with papers, slides, and video – accredited for one year in both TX and CA are available in "Your Briefcase" 4–6 weeks after the program.

**TX MCLE Credit Reporting:** UT Law CLE can report credit on your behalf directly to the State Bar of Texas. Track the Texas MCLE credit reported on your behalf at "Your Account" after you've logged in at www.utcle.org.

## TROUBLE LOGGING IN?

A UT Law CLE account is created for conference attendees and product customers with information provided on the order form. An email address will serve as the User Name.

**Forget Your Password or Need it Reset?** Just select "Forgot Password" under "Sign In or Join" at www.utcle.org.

**Still Need Assistance?** Contact customer service at 512.475.6700 or service@utcle.org during business hours.

## REGISTRATION FORM

PLEASE PRINT CLEARLY

GE21

Bar Card # \_\_\_\_\_  TX  Other State: \_\_\_\_\_  N/A  
Name [ Mr. / Ms. ] \_\_\_\_\_  
Firm \_\_\_\_\_  
Address \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_  
Telephone \_\_\_\_\_ Fax \_\_\_\_\_  
Registrant's Email (required) \_\_\_\_\_  
Assistant's Email (optional) \_\_\_\_\_  
*Invoices, confirmations, and receipts are emailed to these addresses.*

### EVENT REGISTRATION

*Includes Electronic Course Binder Download (PDF) in "Your Briefcase." Special group registration rates available. Call 512.475.6700.*

- Live, In-Person Event Registration . . . . . \$625 | \$675 after September 22
- Live, In-Person In-House Counsel Registration . . . . . \$425 | \$475 after September 22
- Live, In-Person Government Attorney Registration . . . . . \$425 | \$475 after September 22
- Live Webcast Registration . . . . . \$625 | \$675 after September 22
- Live Webcast In-House Counsel Registration . . . . . \$425 | \$475 after September 22
- Live Webcast Government Attorney Registration . . . . . \$425 | \$475 after September 22

**Printed and Shipped Binder with Registration (Shipping Included)** – Available for order through Friday, October 1, 2021

*Please Note: Printed binder will arrive 2–3 weeks after live event. Delivery to P.O. boxes is not permitted. Binders will not be distributed on-site.*

- Printed and Shipped Course Binder . . . . . \$70.36 (\$65\*)

### Webcast Add-on

*Register for the in-person conference and add on the webcast format for attendance flexibility.*

- Webcast Add-on . . . . . \$75

**TOTAL EVENT REGISTRATION \$ \_\_\_\_\_**

**FIRST AND SECOND YEAR ATTORNEYS MAY ATTEND FOR JUST \$150! CALL 512.475.6700 TO REGISTER.**

### POST-CONFERENCE PRODUCTS

**eConference** – For Texas and California MCLE Credit

*Includes Electronic Course Binder Download (PDF) and program video/audio. Available 4–6 weeks after live event. Hours may vary depending on actual event runtime.*

- Individual eConference . . . . . \$675

**Post-Course Binder** – For Research and Self-Study

*Comprehensive binder with papers and slides, available for delivery 4–6 weeks after live event.*

- Electronic Post-Course Download (PDF) . . . . . \$265.21 (\$245\*)
- Printed Post-Course Binder . . . . . \$319.34 (\$295\*)

**Annual eLibrary Subscription** – For Research and Self-Study

*Extensive resources including audio, video, papers, and slides from UT Law CLE programs.*

- eLibrary 12-Month Subscription . . . . . \$319.34 (\$295\*)

**TOTAL POST-CONFERENCE PRODUCTS \$ \_\_\_\_\_**

### METHOD OF PAYMENT

- Check (make check payable to The University of Texas at Austin)
  - VISA  MasterCard  American Express  P.O. (include a copy of the purchase order upon submission)
- Card / P.O. # \_\_\_\_\_ CW # \_\_\_\_\_ Exp. Date \_\_\_\_\_ / \_\_\_\_\_  
(mm/yy)
- Authorized Signature \_\_\_\_\_

*\* Tax-exempt rate for, e.g., government employees and nonprofits. Include a Texas Sales and Use Tax Exemption Certificate with order.*



Visit  
[www.utcle.org](http://www.utcle.org)  
Email  
[service@utcle.org](mailto:service@utcle.org)  
Call  
**512.475.6700**  
Facebook  
**UT Law CLE**  
LinkedIn  
**UT-Law-CLE**  
Twitter  
**@UTLawCLE**

**SCAN TO VIEW OUR  
COVID-19 PROTOCOLS**

See what we're doing differently this year to address the safety concerns of our staff and attendees at in-person events.



**DALLAS**

September 30 – October 1, 2021

**CONFERENCE LOCATION**



**Arts District Mansion**  
2101 Ross Avenue  
Dallas, TX  
214-220-0239

**Parking:**  
\$10 Daily Self-Parking

**KEY DATES**

**September 22, 2021**

*Last day for early registration rates*

**September 24, 2021**

*Last day for full refund cancellation*

**September 27, 2021**

*Last day for partial refund cancellation*

\$50 processing fee applied

**September 30, 2021, 8:50 a.m., CT**

*Institute begins*

**October 1, 2021**

*Last day to order a printed and shipped course binder with in-person or webcast conference registration.*

Please review our current COVID-19 Protocols for in-person attendance to this conference. Additionally, at the time of this publication, the conference venue is currently requiring that all attendees wear masks while indoors throughout the event.

**THANK YOU TO OUR SPONSORS**



**EVENT SPONSORS**

- AlixPartners Haynes and Boone, LLP
- FTI Consulting Morgan, Lewis & Bockius, LLP
- Gray Reed Norton Rose Fulbright
- PwC

**SPONSORS**

- Ahuja & Clark, PLLC Holland & Knight LLP
- Bracewell LLP Locke Lord LLP
- Forensic Risk Alliance Vinson & Elkins
- Winstead PC

**ACTION THROUGH EDUCATION**

Our efforts for real change against racism.  
Learn how we as lawyers can join the fight against racial injustice.  
Visit [www.utcle.org](http://www.utcle.org) for more.

**UT Law CLE is committed to Practice Excellence.**

We are here to support our community while we navigate the coronavirus pandemic together. Information and updates regarding our in-person conferences and live webcasts will be posted at [www.utcle.org](http://www.utcle.org).

In addition, we continue to offer multiple educational opportunities online—both live and on-demand—by bringing practitioners together virtually. We are fortunate to serve so many of you who strive for excellence in the practice of law.

