COMPLIANCE (LAW) (CPGL)

CPGL 0099. Crisis Management. (3 Credits)

CPGL 0101. Human Rights Compliance. (1 Credit)
The relation of the corporation to human rights has changed dramatically over the past decade. For many years, company responses to the human rights impacts of their business operations consisted largely of voluntary corporate and social responsibility programs. Today, multiple regulations and guidelines, both domestic and international, create increasing obligations for corporate actors in the field of human rights. Not surprisingly, ethics and compliance professionals are now called on by their employers to assess human rights-related risks, develop programs to address those risks, and to publicly report on the company’s performance on human rights. <p> The Human Rights Compliance Course will provide students with a comprehensive understanding of the current framework for human rights compliance for companies. The Course will examine emerging and expanding regulatory efforts within different jurisdictions that establish human rights obligations on companies. The Course will also explore developing international guidelines that seek to establish global human rights standards for all businesses, including the UN Guiding Principles on Business and Human Rights. Students will learn critical skills in the areas of human rights due diligence, disclosure and reporting. Finally, students will examine how shareholders, lenders, consumers, and the public evaluate corporate efforts to address human rights.

CPGL 0102. Internal Investigations. (1 Credit)
Dig into many corporate scandals and you will find bungled internal investigations that fail to address a festering compliance program. But done well, internal investigations can protect against risks, and strengthen a culture of compliance. This course will explore the structure of an internal investigation from the decision to commence one through completion. The goal of the course is to teach students to understand how to prepare for and conduct an effective internal investigation. Taking a practical and interactive approach, the class will cover, among other things, investigation plans, sources of information, interviewing techniques, privacy issues, and potential regulatory consequences of an investigation.

CPGL 0103. Employment Law. (1 Credit)
This online 1-credit course will provide students with a high-level overview of the most significant employment laws and principles that should guide employers through the employer-employee relationship—from the initial decision to fill a position to the ultimate decision to terminate the employer-employee relationship. Topics covered may include the appropriate classification of individuals who perform services in exchange for compensation, the tracking of employee time under the Fair Labor Standards Act, avoiding workplace discrimination, common employer pitfalls during the recruiting process, the navigation of interactive process that must inform reasonable accommodations, workplace harassment, the Family and Medical Leave Act, workplace privacy, and terminations.

CPGL 0156. Banking Regulation and Enforcement. (2 to 3 Credits)
Taught by a former New York Superintendent of Financial Services, this course provides an overview of banking and insurance regulation and enforcement in the United States. The goal of the course is to provide students with practical knowledge of financial services regulation, and prepare students for careers in both the private and public sectors, either in litigation or transactional work. <p> Banking and insurance regulation is a particularly hot topic today, with the advent of fintech and insurtech firms, and the expanded use of technological innovation for compliance purposes. Concerns about cybersecurity attacks, data privacy, and protections against money laundering have raised the stakes for the banking system and government leaders. Moreover, concerns about data privacy and the wide scope of the insurance industry have only made the topics covered by this course even more important for lawyers beginning their careers. <p> This course will rely on current writings and regulatory actions rather than a textbook. It will provide an overview of banking and insurance regulation, through both instruction on historical legal and regulatory frameworks, and the review and discussion of practical examples of recent regulatory actions and writings of current interest in the field. Guest speakers will be invited to speak to the class on current topics during certain classes. <p> Topics will include the respective roles of the federal and state governments in financial services regulation and enforcement; the statutory frameworks for the oversight of banks and insurance companies; the global enforcement of sanctions and anti-money laundering laws; the use of artificial intelligence and machine learning to assist compliance efforts at financial institutions; evolving data privacy laws and expanded cybersecurity regulation and enforcement; the application of existing laws as well as new proposals for the licensing of fintech and insurtech companies; the adaptation of insurance and banking laws to accommodate the gig economy; current challenges in health insurance regulation; the reduction in private pensions and the respective roles of government and private industry in retirement security; the student loan crisis and differing regulatory approaches; and the balancing of fiscal prudence and consumer protection in an age of technological advancement. Throughout the course, federalism and preemption principles will be discussed, along with policy choices at the federal and state levels, and evolving regulatory and legislative efforts to address business and technological changes.

CPGL 0202. In-House Comp Counsel Practice. (2 Credits)
This course provides a general overview of the real-world practice realities for the in-house compliance legal counsel. It will include examples and illustrations drawn from the experiences of a practicing in-house compliance counsel and will translate the practical requirements of a Fortune 50 technology company for an understanding of the many challenges and compromises that accompany this practice. Students will learn how to balance value-based decision-making with budget concerns and the challenging pace of a high tech company.

Attribute: JD.

Updated: 04-07-2021
CPGL 0203. Health Law Compliance. (2 Credits)
The healthcare industry is governed by numerous statutes that are actively enforced by Federal and State regulatory bodies. This Healthcare Regulations Compliance course focuses on the Federal and State statutory and implementing regulatory provisions enacted to detect and deter healthcare fraud, waste, and abuse. Over the course of the semester, students will cover, among other compliance laws and regulations, the following fraud and abuse laws: (i) the Federal and State False Claims Act; (ii) the Physician Self-Referral (“Stark”) Law; (iii) the Anti-Kickback Statute; (iv) the Civil Monetary Penalty Law; and (iv) the Criminal Health Fraud Statute. Students will also learn the required elements of an effective compliance of ethics program and how to perform a risk assessment, including risk identification, scoring, and prioritization. In addition to the foregoing, the course will cover corporate governance, human subject research compliance, record management, as well as patient privacy and data security under the Health Insurance Portability and Accountability Act of 1996 (“HIPAA”) and the data breach notification provisions under Health Information Technology for Economic and Clinical Health Act (“HITECH”) provisions of the American Recovery and Reinvestment Act (“ARRA”) of 2009.

Attributes: CORC, CRCP.

CPGL 0206. Compliance, Technology, and Financial Services. (2 to 3 Credits)
Emerging technologies provide opportunities for new and efficient ways to conduct business, but they can also raise a variety of potentially complex legal and compliance challenges. This class will provide an overview of the legal and regulatory context for current technology issues facing both large and small companies, including privacy, information security, electronic recordkeeping and employee supervision. Course content will focus primarily on the financial services sector; however the core compliance concepts included in the class will be broadly applicable across industries. Through analysis of regulations, interpretive guidance, case law and settlements, students will explore questions such as how do businesses use social networking systems like Facebook and Twitter, while dealing with obligations to store and supervise their electronic communications? What challenges are posed by domestic and international privacy and information security requirements when companies want to take advantage of cloud computing services, or deploy business systems across multiple jurisdictions or continents? How can a “bring your own device” policy permit an employee’s personal device, such as an iPhone, to be used to conduct business and store proprietary information without undue risk? Course Materials and Meetings Course Materials: Course materials will be posted on TWEN. No materials are required to be purchased.<p> Attendance and Participation:
Attendance is mandatory. Please notify us in advance if you cannot attend class due to religious observance, illness, family emergency or other legitimate reasons. Class Participation: Classes will generally be conducted as a mix of presentation and discussion. You will be expected to have read preparatory materials, and to participate actively in class. Laptops: Laptops are permitted, but we encourage you to limit note taking and memorization in favor of class participation, with a focus on appreciating the principles emerging from our analysis and discussions. Although legal materials will be used in this course, our emphasis is understanding how Compliance functions work, and the skills needed by Compliance staff to help translate legal and business requirements into cogent, documented and sustainable business processes and associated policies, procedures and supporting technologies. Recording: You are not permitted to record class sessions using a smartpen, dictation software or any other method.<p> Email: We may periodically send you emails via TWEN. You may reach us by email or phone during business hours via our contact information above. Course Evaluation<br>Your grade will be based on a take-home examination, which you can take anytime during the exam period. Class participation will be taken into consideration as part of your final grade.

Attributes: CORC, CRCP, IPIE, JD, LAWT, LLM.

CPGL 0219. Privacy & Cybersecurity . (3 Credits)
CPGL 0239. Emerging Technology Tools for Compliance Programs . (1 Credit)
CPGL 0262. Global Corporate Compliance. (3 or 4 Credits)
This course will explain the major features of an “effective” corporate compliance program. Students will have an opportunity to learn the fundamentals of rolling out a program for a global corporation and updating and refocusing a current program. Students will examine various areas of law, regulation and policy, as well as various industries to adapt the compliance protocols for the global corporation. This course will be skills oriented.

Attributes: CORC, CRCP, ICE, JD, LAW, LAWB, LAWI.
CPGL 0291. Corporate Compliance in Developing Brazil, Russia, India, China, and Underdeveloped Countries. (2 Credits)
The class will cover the compliance programs of companies doing business in the Developing (BRIC countries of Brazil, Russia, India and China) as well as Underdeveloped Countries. It will be a workshop class with assignments that will focus on a portfolio of documents necessary to update or refocus a compliance program in these countries and will include case studies on the BRIC countries.

CPGL 0302. E-Law in the Global Setting: Data Safeguards and Electronic Evidence Challenges. (2 Credits)
In this seminar environment, students will utilize new analytical frameworks to think through cybersecurity and other data protection issues where laws, regulations and industry practices are outstripped by the speed of technological innovation. This is a practice-ready class in which the practical is never far from the theoretical, and so we will focus on how to provide the best counsel where the law is in a constant state of change. As the class is designed for practice, there are no exams. Instead, students will prepare four short written assignments that will be similar to those they would face as first-year lawyers in a law firm, corporate legal department or government agency. A premium is also placed on class participation, given the seminar structure of the course. Students learn as much from each other as they do from the professor as they discuss differing notions of “personal information” in cybersecurity and privacy and how data protection laws and regulations impact the daily interfaces essential to e-commerce and the management of data in healthcare, finance, education and other regulated areas. All e-commerce is global once the organization’s website goes live, so the impact laws of other jurisdictions, such as the EU General Data Protection Regulation on US business, will also be explored.
Attributes: CORC, CRCP, INLJ, LAWB, LAWI.

CPGL 0313. Anti-Money Laundering. (1 to 4 Credits)
Fall 2019 semester: This course provides a comprehensive overview of the regulations and laws that govern the requirements for financial institutions in the United States in order to address the risk of money laundering and terrorist financing through banks and other financial institutions. Students will gain an understanding of controls implemented by financial institutions to combat the flow of illicit funds. By the conclusion of this course students should have an appreciation of the culture of compliance within financial institutions and understand the rules, regulations, and laws in place to combat money laundering and terrorist financing. <p> Spring 2020 semester: This course provides a comprehensive overview of the regulations, and laws that govern the requirements for Financial Institutions both in the United States and globally in order to address the risk of money laundering and terrorist financing through banks and other financial institutions. Students will gain an understanding of controls implemented by financial institutions to combat the flow of illicit funds. By the conclusion of this course students should have an appreciation of the culture of compliance within financial institutions and understand the rules, regulations, and laws in place to combat money laundering and terrorist financing.
Attributes: CORC, CRCP, INLJ, LAWB, LAWI.

CPGL 0321. bldg Effect Ethic & Compliance. (2 Credits)
CPGL 0349. Business Organizations and the Foreign Corrupt Practices Act. (1 or 2 Credits)
Anti-bribery and corruption laws – particularly the US Foreign Corrupt Practices Act (FCPA) – have for many years been the subject of vigorous enforcement activity, making the FCPA and other anti-corruption laws a top legal concern for business organizations across all industry sectors doing business in the global marketplace. Thus, developing a pair of “FCPA goggles” is a fundamental skill-set for lawyers and compliance professionals. In this course, students will elevate their knowledge of the FCPA, including its anti-bribery, books and records, and internal controls provisions, and how the Department of Justice and Securities and Exchange Commission enforce the FCPA. In addition, students will gain practical skills by learning how to build strong Anti-Bribery and Corruption compliance programs that prevent, detect, and deter potentially illegal conduct.
Attributes: CORC, CRCP, LAWB.

CPGL 0399. Compliance Seminar. (2 Credits)
In this course, students will learn how to apply the learnings from behavioral ethics and other fields to the design and implementation of ethics and compliance programs that not only meet government standards of effectiveness, but also serve a company’s broader long-term objectives. The course will also explore the practical challenges compliance officers face in building compliance programs and the nuanced decision-making and practical skills required to successfully address those challenges.
Attributes: CORC, CRCP.

CPGL 0402. Insurance Compliance. (2 Credits)
Insurance involves a contract in which an insurer agrees to compensate or indemnify another party for fortuitous event causing loss or damage in exchange for consideration. The underwriting process for this contract is heavily regulated in the United States in order to protect consumers. One aspect of consumer protection is ensuring the insurer’s solvency so that it may pay claims. <p> It is important that students gain an understanding of compliance in the US insurance industry, given the industry’s importance. Insurance in the United States is considered the world’s largest insurance market by premium volume. Of the estimated $4.640 trillion of gross premiums written worldwide, $ 1.274 trillion were estimated to be written in the United States. <p> The insurance industry in the United States is regulated almost exclusively by individual state governments. The state-based insurance regulation system allows each state to operate independently to regulate their own insurance markets, typically through a state department of insurance or division of insurance. Through the years, federal regulation has now and then encroached upon the state regulatory system, challenging the current model to evolve, look for efficiencies, and to grow. Today, disruptors and innovators have entered the insurance market, with an influx of capital, challenging current insurance processes, norms, including the emergence of the insurance digital experience for consumers. Some experts believe that the digital impact will ultimately revolutionize the current insurance model and the regulatory environment that governs it. <p> Grading based on:<br> Final Examination – 50%<br> Case Study Exercise – 35%<br> Class Participation – 15%.
Attributes: CRCP, LLM.
CPGL 0409. Cosmetics Regulation. (2 Credits)
Do you know what you are slathering on yourself when you shower? Does your government? This course will cover the governmental, industrial, and societal regulation of cosmetics and other personal care products. Topics will include the history of cosmetic regulation, the definition of cosmetics versus drugs, cosmetic misbranding and adulteration requirements under the 1938 Federal Food Drug and Cosmetic Act (FDAC) and additional Federal statutes, local regulations for select states, and how the FDAC is enforced. The course will consider issues that cosmetic companies regularly face, such as creating a brand identity; the importance of developing a safe and efficacious product; creating a robust quality program as a brand protection measure; the role of the FTC and their coordination with the FDA; complying with domestic and international guidelines across distribution channels as they relate to product formulation, label, and marketing; and social media and digital marketing strategies in the e-commerce era. The class will scrutinize current pending legislation for new U.S. regulations, and discuss industry trends, such as transparency in cosmetic ingredients and private company task forces to combat counterfeit cosmetics. At the end of the course, you will have a firm grasp on the U.S. cosmetic regulatory scheme and basic cosmetic company considerations.

Attributes: LAWF, LLM.

CPGL 0422. Compliance Colloquium. (1 Credit)
Online MSL students will complete a three-day colloquium at Fordham Law School's Manhattan campus. Students will engage with senior compliance officers and discuss current and emerging issues in the field of corporate compliance. Networking events will give students ample opportunity to meet each other and compliance professionals from the New York City area and beyond. This course will take place each August. Students join this course during the last summer term in which they will be enrolled.

CPGL 0521. Risk and Responsibility in Organization. (2 Credits)
Ethics and compliance has emerged as a key discipline in preventative law, gathering increasing attention and corporate resources. With this growth, and as corporations face unprecedented lack of trust and scrutiny of their conduct, questions about how businesses manage their overall approach to integrity have become more pressing. Companies are increasingly grappling with questions of ethics and integrity that challenge the primacy of shareholder value approaches and expand the remit of governance, risk and compliance approaches into stakeholder trust, organizational culture, and voluntary CSR and human rights standards. <p> This course will introduce key dimensions of organizational risk and responsibility – (sometimes called non-technical or non-financial risk). The focus is practical, not theoretical – what does evidence about how companies organize and manage themselves tell us about how risk and responsibility concepts are applied? It will cover a range of established and emerging integrity, ethics and compliance issues, including corruption, political risk, human rights, CSR, leadership, culture and behavior. The course will include academic and business readings as well as interactive case studies exploring the actions of real companies in pharmaceuticals, mining and telecoms. Students will apply practical solutions to real risk and corporate integrity challenges faced by multinational organizations in a variety of sectors, and explore the consequences for the compliance function and the core business.

Attributes: CORC, CRCP

CPGL 0592. International Financial Crime. (2 or 3 Credits)
The line dividing legitimate international financial activities and illicit conduct is becoming increasingly blurred. This has meant that substantive legal and regulatory standards and enforcement and redress techniques have had to develop and adapt for use against those involved in using private organizations and financial institutions for criminal activities. <p> This course examines a selection of currently relevant criminal activities. We will focus on insider trading, market manipulation, money laundering, government corruption and bribery, and related topics. The primary focus will be US laws and regulation, but with consideration for international dimension of criminal activity and enforcement. The class will emphasize the role of private lawyers in advising clients about the prevention of criminal charges and in-house compliance policies and procedures, rather than the strategic choices to be made in the course of criminal trials. <p> Course Objectives <br> The goal of the course is to help students to understand several key financial criminal areas, attendant regulatory environment and consider steps that financial industry can take through a well-considered compliance program to minimize the risk of such crime occurring. During the course we will explore the practices and hurdles to achieve a more fair and effective international financial system. Through the example of criminal areas considered students will acquire a familiarity with construction and operation of a financial industry compliance program. <p> Attendance Requirement <br> Attendance at all class sessions is required. Enrolled students who do not attend the first class session will be dropped. Students seeking to enroll in this course must attend the first class session. <p> Course Requirement <br> Students are expected to research and write a 15-20 page paper (double spaced) covering at least one of the topics covered in our syllabus. References should be in Blue Book format. <br> Basis of Course Grade <br> The student's grade will be determined as follows: <br> 25% for class participation (classroom discussion and collaborating with classmates/colleagues); and <br> 75% for the term paper.

Attributes: CORC, CRCP, LAWI.
CPGL 0615. Regulation of Broker Dealers: A Practitioner Perspective for Compliance Officers. (2 or 3 Credits)
The primary objective of the course is to provide the student with a comprehensive understanding of the regulatory framework that a U.S. broker-dealer operates in and how to practically apply this knowledge in managing a compliance function in a securities firm. The course will review the relevant securities rules and regulations with a focus on those of the SEC and Finra, but it will also include other regulatory requirements that are relevant to securities firms such as the Bank Secrecy Act and the USA Patriot Act. An overview of certain applicable non-securities’ rules and regulations, such as anti-money laundering regulations, will demonstrate the application of these regulatory requirements in the control structure of a broker-dealer and link these requirements to those of the securities regulator. <p> After completing the course, the student will have a solid knowledge base of the various regulatory requirements and their relationships with each other. This regulatory understanding will be supplemented with examples of constructive and relevant market practices which can be used to design and manage a successful compliance program in a broker-dealer firm. In addition, the course content will include an overview of the financial responsibility rules, margin requirements and regulatory reporting aspects of a broker-dealer that a compliance professional needs to be familiar with to effectively execute a compliance program. These financial and operational topics would be of interest to financial professionals. As such, this course would be particularly relevant to senior accounting students who have an interest in regulatory accounting matters in the securities industry and could be cross-listed with an accounting stream. In summary, the course will prepare the student to undertake greater responsibility as a compliance professional in a securities broker-dealer.
Attributes: CORC, CRCP, LAWB, LLM.

CPGL 0620. Compliance Risk Assessment. (2 to 3 Credits)
The course is designed to provide an overview of the basic elements of the Compliance Risk Assessment and how the Assessment functions within an overall Compliance Program. In addition, it presents an overview of the key compliance risk and themes across the financial services and pharmaceuticals industries, as well as certain key topical areas. The course also encourages critical about developing and conducting a Compliance Risk Assessment with a particular understanding of its strengths and its weaknesses.
Attributes: CORC, CRCP, INLJ, LLM.

CPGL 0780. Corruption. (2 Credits)
Corruption is broadly defined as the misuse of trusted authority for personal gain and includes such crimes as bribery, extortion, embezzlement and fraud. In recent years, corruption has played a central role in geopolitical movements and in United States politics and government. And yet, both the phenomena of corruption and the laws prohibiting it are not widely understood. The course will explore the laws governing corruption, the anatomy of the crime of corruption and corruption as social and political phenomena. We will examine current corruption cases, investigations and coverage in the media, including in relation to the Trump Administration, the Mueller Investigation, the prosecution of Sheldon Silver, former Speaker of the New York Assembly, and other prominent domestic matters; and in China, Afghanistan, the Ukraine and other areas of the world. <p> The course will also cover practices to prevent, investigate and remedy corruption in the private sector and government.<p> Course Materials: <br> Course readings will include original materials from corporate, government and non-governmental organizations sources media reports; and case law, treatise and legal articles on key applicable areas of the law. We will also draw on the primary course text: Confronting Corruption: Past Concerns, Present Challenges, and Future Strategies, Fritz Heimann and Mark Pieth. <p> Method of Evaluation: Grading will be based on written assignments on class topics and readings; and a final examination Class participation is an integral part of the course and students enrolling in the course should be prepared to engage in active discussion of the course materials and in-class presentations.
Attributes: LLM.

CPGL 0901. Introduction to Corporate Compliance. (4 Credits)
This course will explain the major features of an "effective" corporate compliance program. Students will have an opportunity to learn the fundamentals of rolling out a program for a global corporation and updating and refocusing a current program. Students will examine various areas of law, regulation and policy, as well as various industries to adapt the compliance protocols for the global corporation. This course will be skills oriented.
Attribute: CORC.

CPGL 0909. Policymaking Through Government Settlements and Enforcement. (2 Credits)
This seminar, taught by Martin J.E. Arms, a retired Partner and present Of Counsel at Wachtell, Lipton, Rosen & Katz, examines the recent proliferation of large-scale settlements between private corporations and government prosecutors and regulators. Such settlements include the $200+ billion multistate tobacco settlement, the UBS off-shore tax shelter case, BP Deepwater Horizon, the VW diesel controversy, and the $25 billion National Mortgage Settlement and certain other large settlements arising out of the fiscal crisis. The seminar will look at (i) the manner in which such settlements have arisen and been structured; (ii) the laws (such as New York State's Martin Act, the federal FIRREA statute, class action laws, and state tort laws) that help force such settlements; (iii) various challenges to reaching such settlements; (iv) aspects of such settlements that require changes to the settling corporation(s)' business practices, as opposed to mere financial payment, and whether requiring such changes through the threat of prosecutorial action is appropriate; (v) the rise of the Independent Monitor construct; and (vi) legal, political and business consequences arising from such settlements.
Attributes: CORC, CRCP, LLM.
CPGL 0992. Anti-bribery & Corruption. (1 Credit)
CPGL 0993. Antitrust Compliance. (1 Credit)
CPGL 9807. Compliance Seminar: Building Effective Ethics and Compliance Programs. (2 Credits)

In this course, students will learn how to apply the learnings from behavioral ethics and other fields to the design and implementation of ethics and compliance programs that not only meet government standards of effectiveness but also serve a company's broader long-term objectives. The course will also explore the practical challenges compliance officers face in building compliance programs and the nuanced decision-making and practical skills required to successfully address those challenges.

Attribute: LLM.