Taking Stock: The Financial Services and Regulatory Landscape Today

White Collar and Enforcement Update

May 27, 2020
12:00 - 12:30 p.m.
Teleconference
Participant Call-in toll-free number: (833) 623-1029 (US)
Participant Call-in toll number: (270) 855-8872 (US)
Conference Code: 9979379

Program Summary

This webinar will address the impact COVID-19 has had and likely will continue to have on DOJ, SEC, CFTC and other investigations and enforcement matters impacting financial institutions. The webinar will also cover subjects of potential future investigations relating to fallout from COVID-19.

CLE: This program is approved for CLE credits in California - 0.5 General, New York - 0.5 Professional Practice (Transitional and Non-Transitional).

Timed Agenda

<table>
<thead>
<tr>
<th>Time</th>
<th>Agenda Item</th>
</tr>
</thead>
<tbody>
<tr>
<td>12:00 - 12:05 p.m.</td>
<td>Introduction and overview</td>
</tr>
<tr>
<td>12:05 - 12:15 p.m.</td>
<td>Post-Pandemic DOJ &amp; SEC Enforcement Activity</td>
</tr>
<tr>
<td></td>
<td>a. Current Activity</td>
</tr>
<tr>
<td></td>
<td>b. Potential Future Enforcement Priorities</td>
</tr>
<tr>
<td>12:15 - 12:25 p.m.</td>
<td>Issues of Significance for Financial Institutions</td>
</tr>
<tr>
<td></td>
<td>a. PPP Loan Review and AML Considerations</td>
</tr>
<tr>
<td></td>
<td>b. Insider Trading</td>
</tr>
<tr>
<td>12:25 - 12:30 p.m.</td>
<td>Questions</td>
</tr>
</tbody>
</table>

COVINGTON

BEIJING  BRUSSELS  DUBAI  FRANKFURT  JOHANNESBURG  LONDON  LOS ANGELES
NEW YORK  PALO ALTO  SAN FRANCISCO  SEOUL  SHANGHAI  WASHINGTON

www.cov.com
Financial Services Teleconference Series: "Taking Stock: The Financial Services and Regulatory Landscape Today"

We realize that many of our clients are missing conferences and other meetings at which they keep abreast of the latest legal developments and obtain CLE credits due to COVID-19. To help fill that gap, Covington will be holding a series of half hour teleconferences to cover recent developments in financial services including the banking agencies’ responses to COVID-19, continuing over the next few weeks. The current schedule includes presentations focused on developments in housing finance, among others. Please let us know if you would like for us to add to the topics covered. We hope you’ll join us in this effort to stay connected and informed. Additional information about upcoming programs and a registration link can be accessed here.

COVID-19 Resources

As the legal, regulatory, and commercial implications of coronavirus COVID-19 continue to evolve, Covington’s lawyers and advisors are helping clients to navigate the complex considerations that companies around the world are facing, and to develop plans and strategies in response. We are publishing a tremendous amount of useful information that is catalogued on our Covington COVID-19 toolkit, including this helpful COVID-19 Checklist: Legal and Business Considerations. We have summarized a number of the provisions of the CARES Act, including Economic Stabilization Loan and Guarantee provisions and Small Business Administration provisions. Also of interest with be lessons from TARP and past measures, including evaluating options and preparing to see assistance.

We also invite you to register for Covington's COVID-19 Federal, State and Local Policy Tracker to receive frequent COVID-19 policy updates.
Arlo Devlin-Brown represents individuals and companies in sensitive government investigations and enforcement actions, with particular expertise in securities fraud, anti-money laundering and corruption matters. Prior to joining the firm, Mr. Devlin Brown served in the U.S. Attorney’s Office for the Southern District of New York as one of its leading securities fraud prosecutors and most recently as Chief of its Public Corruption Unit. In his role as Chief, Mr. Devlin-Brown supervised more than 20 prosecutors, criminal investigators and other professionals responsible for investigating and prosecuting a wide range of domestic and foreign corruption offenses and cases involving fraud against the government.

Prior to being promoted to Chief, Mr. Devlin-Brown served as an Assistant U.S. Attorney in the Southern District’s Securities and Commodities Fraud Unit. He investigated and prosecuted some of the most notable financial services-related cases in recent years—among them were cases involving insider trading, Bank Secrecy Act, anti-money laundering violations, investment adviser fraud, offering fraud, and accounting fraud.

Mr. Devlin-Brown also handled a wide range of other matters during his tenure in the Southern District, including significant cybercrime, money laundering and health care fraud matters. He spearheaded the Department of Justice’s principal enforcement action involving the internet gambling industry. During his tenure in the Southern District, Mr. Devlin-Brown tried twelve cases to verdict and briefed and/or argued fifteen appeals to the Second Circuit.

Mr. Devlin-Brown received his J.D., magna cum laude, from Harvard Law School in 1999 and his B.A., summa cum laude, from Columbia University in 1995.
Amanda Kramer represents corporations and individuals in sensitive, high-stakes government investigations and enforcement actions, white collar criminal defense matters, and internal investigations. Ms. Kramer joined the firm after serving as Assistant United States Attorney in the U.S. Attorney’s Office for the Southern District of New York (SDNY) for more than 11 years.

As a senior member of SDNY’s Securities and Commodities Fraud Task Force, Ms. Kramer investigated, prosecuted, and tried several high-profile, complex white collar cases, including those involving securities fraud, insider trading, investment advisor fraud, accounting fraud, honest services fraud, wire fraud, and health care fraud, and coordinated parallel civil enforcement proceedings with the Securities and Exchange Commission. As a federal prosecutor, she also investigated and prosecuted international and domestic money laundering, public corruption, tax fraud, obstruction of justice, IEEPA violations, art fraud, and cyber crime, among other offenses.

Before focusing on securities fraud and other white collar crimes, she served as SDNY’s Human Trafficking and Project Safe Childhood Coordinator, where she developed and significantly expanded SDNY’s work on trafficking and sexual misconduct issues, conducted numerous domestic and international trainings, supervised dozens of prosecutors, and led some of the SDNY’s most sensitive cases. In addition to her other responsibilities, for the last four years of her tenure as a federal prosecutor, Ms. Kramer was entrusted with conducting trial advocacy training for all new AUSAs in the SDNY’s Criminal Division.

Ms. Kramer’s extensive litigation experience includes leading twelve federal criminal jury trials and briefing and arguing numerous appeals before the United States Court of Appeals for the Second Circuit.

Ms. Kramer received her J.D. from Fordham University School of Law in 2003 and her B.A. from the University of Maryland in 1997.

© 2020 Covington & Burling LLP. All rights reserved.