

Education

The New School – New York, NY	2018--present
PhD. student – Philosophy (area of concentration: ethics)	
GPA: 4.0	
Harvard Law School - Cambridge, MA	1975-1978
J.D., Cum laude	
Editor-in-chief, Harvard Civil Rights- Civil Liberties Law Review	
University of California - Santa Cruz, CA	1970-1975
A.B., in Politics, with Honors	

Publications and Public presentations:

“Joseph Heath’s *Ethics for Capitalists: The Market Failures Approach 2.0*” (with Santiago Mejia), *Journal of Business Ethics* (2024). <https://doi.org/10.1007/s10551-024-05712-0>.

Guest lecturer in “Business, Social Responsibility, and the Environment” at The Wharton School, University of Pennsylvania, January 2024, March 2024

Presented paper entitled “Bottom Up Business Ethics,” at Society for Business Ethics Annual Conference, Boston, MA, August 2023

“Sam-Bankman-Fried: Messianic Ambitions and Tried-and-Tested Limits” (with Santiago Mejia), *Program on Corporate Compliance and Enforcement*, December 12, 2022, https://wp.nyu.edu/compliance_enforcement/2022/12/12/sam-bankman-fried-messianic-ambitions-and-tried-and-tested-limits/

The Stakeholder Podcast (interviewed by R. Edward Freeman, University Professor, Professor of Business Ethics, University of Virginia) (February 2022) <https://directory.libsyn.com/episode/index/show/stakeholdermedia/id/22556018>

Speaker on Panel (Compliance: Arguments for Various Modes) at ComplianceNet Conference on Business Ethics, held virtually, June 2021

“A Plea for Good Manners,” New School Public Seminar, March 23, 2020, <https://publicseminar.org/essays/a-plea-for-good-manners/>

Speaker at Plenary Session (The State of Business Ethics & Compliance) at ComplianceNet Conference on Business Ethics at Villanova Law School, June 2019

Speaker on Panel (Fusing Ethics & Compliance) at Ethical Systems Conference on Ethics By Design: Managing Organizations in an Era of Anxiety, Polarization & Disruption, at NYU Stern School of Business, March, 2019

Guest lecturer in “Ethics in Finance” at Stanford University School of Engineering, October 2017; October 2018, September 2020, November 2022

“A banker’s code of ethics,” *Oxford Review of Economic Policy*, 33:257-277 (Summer 2017) <https://academic.oup.com/oxrep/article/33/2/257/3755328/A-bankers-code-of-ethics?guestAccessKey=561744dd-bcb2-499f-9458-d470358dcae9>

Public Seminar, entitled "A banker's code of ethics," Political Economy of Financial Markets, at St. Antony's College, Oxford; podcast available at https://www.youtube.com/watch?v=QXAJi_QKNe0

"Organized crime infiltration of legitimate industry in New York," in Cyrille Fijnaut and James Jacobs, eds., *Organized crime and its containment: a transatlantic initiative*, (Kluwer Law and Taxation Publishers, 1991)

Numerous appearances on panels at financial industry events, conduct and ethics panels and organized crime containment conferences over the years

Work Background - Academic

Hunter College, CUNY – New York, NY

Aug 2021- present

- Adjunct Instructor – Philosophy Department
 - Courses: Introduction to Ethics and Moral Judgment; Philosophy, Politics and Society, Ethics and Economics
- Acting Director of Athena Honors Program (Aug 2021 – Jun 2022)

Work Background – Business

Goldman Sachs & Co, Compliance Division – New York, NY & London, UK

1992-2020

- **Senior Advisor, Compliance Division** 2017-2020
Advisor to the Compliance division globally. Responsible for GS's ethics and conduct risk programs.
- **Partner, Head of International Compliance – London, UK** 2013-2017
Supervisor of GS's compliance efforts outside the United States; including manager of approximately 600 people in 20 countries in Europe, South America, Asia, Africa and Australia; responsible for the firm's relations with regulators in all countries outside the Americas.
- **Managing Director, Partner, Global Head of Securities Division - New York, NY & London, UK** 2004-2017
Manager of 140 -180 person group responsible for compliance with all laws, rules and policies for trading businesses (equities, fixed income, commodities, currencies, derivatives, futures) globally.
- **Vice President, Managing Director, Head, Fixed Income, Currency and Commodity Compliance** 1997-2004
- **Vice-President, J. Aron Commodity and Currency Division Compliance** 1992-1997
- **Selected GS Committee Experience** -- Conduct and Operational Risk Committee -- Founding Co-Chair; Structured Investment Products Committee – Chair; Hedge Fund/Private Equity Screening Committee -- Chair; Suitability Committee (approves otc derivatives) – Founding Chair; Commitments Committee (approves equity underwritings, incl. IPO's); Capital Committee (approves bond and loan underwritings); Structured Products Committee (approves tax, accounting and regulation-driven transactions); Technology Risk Committee; Securities Division Conduct Committee; Europe, Middle East and Africa (EMEA) Culture and Conduct Committee; EMEA Management Committee; Brazil Culture and Conduct Committee
- **GS Board Experience** – Goldman Sachs Capital Markets LP Board -- Member

New York County District Attorney – New York, NY

1982-1992

- **Assistant District Attorney**
- **Deputy Chief, Investigation Division** 1990-1992
Second most senior position in division of approximately 150 attorneys. Principal focus on Official Corruption and Labor Racketeering.
- **Chief, Labor Racketeering Unit** 1985-1990
Originator of Unit, which focused on organized crime infiltration of legitimate business. Manager of 25-person unit – including lawyers, investigators, accountants and analysts. Highlights: Prosecutions of Tommy Gambino; John Gotti; the Painters Union; the Carpenters Union; numerous lectures given to law enforcement agencies on labor racketeering and organized crime infiltration of legitimate businesses.
- **Assistant District Attorney, Career Criminal Unit** 1982-1985
Prosecuted 19 felony cases to verdict

Kramer, Levin, Nessen & Kamin – New York, NY

1978-1982

- Associate

American Civil Liberties Union – New York, NY

Summer 1979

- Staff Attorney

Honors

2023 Emerging Scholar, Society for Business Ethics Annual Conference

2015-17 Chair, Market Practitioners Panel, UK Financial Conduct Authority

After one year as a member of the Financial Conduct Authority's Markets Practitioners Panel, an industry body that advises the FCA, I was named the Chair and served in that capacity until I relocated back to New York in 2017.

Other Activities

Maguire Center for Ethics in Financial Services at the American College of Financial Services 2024-Present
Member, Advisory Council

New School for Social Research 2023-Present
Member, Board of Governors

Paxton AI 2023 - Present
Advisor, start-up generative AI company, targeting legal and compliance

SEDA Experts 2022 - Present
Managing Director, expert witness litigation support

Pattern Technologies 2022 - Present
Advisor, start-up private wealth fintech company

Modern Wallet 2022- 2024
Advisor, start-up consumer fintech company

Hackley School, Tarrytown, NY 2021 - 2022
Advisor, National High School Ethics Bowl team
• Hackley team finished 3rd in the US in 2021

New York State Attorney General 2020 - 2021
Advisor, Financial and Securities Fraud

Arete Wealth Advisors, Chicago, ILL 2020 - Present
Member, Board of Advisors

St. Johns College – Annapolis, MD / Santa Fe, NM 2013 - Present
Member, Board of Visitors and Governors (BVG)

The Mussar Institute 2008 – Present
Member, Board – TMI is devoted to the teaching of Mussar, a Jewish spiritual tradition focused on ethics
Teacher, various Mussar classes offered by local synagogues