



Financial Regulation: Exploring the Space Between Policy and Politics Supplemental Materials

The Loyola University Chicago Journal of Regulatory Compliance and the Center for Compliance Studies present the 7th Annual Compliance Symposium
Friday, February 24, 2023 | 9:00 a.m. – 1:00 p.m.

What is Financial Regulation?

Jeremy C. Kress & Matthew C. Turk, *Rethinking Countercyclical Financial Regulation*, 56 GA. L. REV. 495 (2022), [link](#).

Mark Fenwick, Wulf A. Kaal & Erik P. M. Vermeulen, *Regulation Tomorrow: What Happens When Technology Is Faster than the Law*, 6 AM. U. BUS. L. REV. 561 (2017), [link](#).

Brian Knight, *The new Congress can ensure better, clearer financial regulation. Here's how.*, The Hill (Jan. 10, 2023), [link](#).

Trends in Modern Financial Compliance Panel:

Dianna Cooper, *2023: Same regulatory challenges—different (and better) approaches to furnishing*, Banking Dive (Jan. 30, 2023), [link](#).

Christos A. Makridis & Jay Jog, *Four principles for crypto regulation*, The Hill (Jan. 30, 2023), [link](#).

Tom C. W. Lin, *Compliance, Technology, and Modern Finance*, 11 BROOK. J. CORP. FIN. & COM. L. 159 (2016), [link](#).

Dan Ennis, *OCC orders Blue Ridge Bank to bolster fintech partnership oversight*, Banking Dive, (Sept. 2, 2022), [link](#).

Michael J. Hsu, Acting Comptroller, Speech at TCH +BPI Annual Conference, *Safeguarding Trust in Banking: An Update*, (Sept. 7, 2022), [link](#).

Carol R. Goforth, *Using Cybersecurity Failures to Critique the SEC's Approach to Crypto Regulation*, 65 S.D. L. REV. 433 (2020), [link](#).

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Corporate Compliance Panel:

Todd Haugh, *Nudging Corporate Compliance*, 54 AM. Bus. L.J. 683 (2017), [link](#).

Arthur B. Laby, *New Directions in Corporate Compliance*, 69 Rutgers U.L. REV. 419 (2017), [link](#).

Robert C. Bird & Stephen Kim Park, *Turning Corporate Compliance into Competitive Advantage*,
19 U. PA. J. Bus. L. 285 (2017), [link](#).

Luca Franceschini, *Elements of an Integrated Corporate Compliance System*, 13 INT'L. IN-House
Counsel J. 1 (2020), [link](#).

Scott R. Grubman & Gregory A. Tanner, *The Department of Justice's Evaluation of Corporate
Compliance Programs*, 33 CRIM. Just. 23 (2018), [link](#).

Brian S. Haney, *Calculating Corporate Compliance & the Foreign Corrupt Practices Act*, 19 PITT.
J. TECH. L. & POL'y 1 (2018-2019), [link](#).

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Enforcement in Financial Regulation Panel:

William Magnuson, *Financial Regulation in the Bitcoin Era*, 23 Stan. J.L. Bus. & FIN. 159 (2018), [link](#).

M. Todd Henderson & James C. Spindler, *Taking Systemic Risk Seriously in Financial Regulation*, 92 IND. L.J. 1559 (2017), [link](#).

Charles W. Calomiris, *Restoring the Rule of Law in Financial Regulation*, 38 CATO J. 701 (2018), [link](#).

Dan Awrey & Kathryn Judge, *Why Financial Regulation Keeps Falling Short*, 61 B.C. L. REV. 2295 (2020), [link](#).

Bob Allen & Chloe Reum, *DOJ, SEC Will Keep Ramping Up Enforcement Around Private Funds*, Bloomberg Law (Jan. 30, 2023), [link](#).

Andrew Boutros, David Kelley & Jay Schleppenbach, *Crypto Actors Face Increased Enforcement Spurred by DOJ Network*, Bloomberg Law (Jan. 24, 2023), [link](#).