

Jeffrey M. Kaplan

Mr. Kaplan is a partner in Stier Anderson, LLC, a law firm in New York City; Skillman, New Jersey; and Washington, D.C. He specializes in all aspects of assisting companies in developing, implementing and reviewing corporate compliance programs, including conducting risk analyses; writing/editing codes of conduct and other policy documents; counseling companies in matters regarding training; developing compliance audit protocols and reporting systems; establishing compliance/ethics offices; and assisting boards of directors in meeting their fiduciary duties under the Caremark case. Mr. Kaplan's compliance program practice has included work for clients in the securities, health care, government contracting, insurance, manufacturing, energy, retail, publishing, professional services, information technology, private investments, food and chemical fields. He also conducts internal investigations on behalf of boards and executives into allegations of wrongdoing brought by whistleblowers and others and practices in the areas of regulatory and white-collar criminal defense. He received his B.A. (magna cum laude, Phi Beta Kappa) from Carleton College in 1976 and his J.D. (cum laude) from Harvard University in 1980. He is a former partner of Chadbourne & Parke, where he served in the Special Litigation Group, and also a former partner of Arkin Kaplan & Cohen LLP.

Mr. Kaplan is Vice President – Law, Ethics and Compliance a developer of Web-based and CD-ROM compliance training programs in Princeton, New Jersey. He is also Counsel to the Ethics Officer Association, a professional association of more than 1200 ethics and compliance officers. From 1997-2001, he was Program Director of the Conference Board's Business Ethics conference. He has also conducted an all-day "Compliance Risk Analysis Workshop" for the Conference Board.

Mr. Kaplan is co-editor of Compliance Programs and the Corporate Sentencing Guidelines: Preventing Criminal and Civil Liability (West 1993), which is generally recognized as the leading legal treatise on designing and implementing ethics and compliance programs. He is co-author of The Prevention and Prosecution of Computer and High Technology Crime (Matthew Bender 1989) and co-publisher/executive editor of ethikos, a bimonthly magazine for ethics and compliance professionals. He is also a member of the editorial board of Business and Society Review and co-authored, with Ronald Berenbeim, a report for the Conference Board, Ethics Programs – The Role of the Board: A Global Study, which was published in 2004.

Mr. Kaplan is author and co-author of numerous articles about business crime and compliance programs in periodicals such as The California Management Review, The Journal of Securities and Commodities Regulation, The Prevention of Corporate Liability: Current Report, The Preventive Law Reporter, Directorship, Director's Monthly, American Banker, Business Crime Commentary, the New York Law Journal and the National Law Journal. He is a frequent speaker on ethics and compliance issues before the Practising Law Institute and ALI/ABA and he chairs the Continuing Legal Education program in corporate compliance sponsored by the Association of the Bar of the City of New York.

Mr. Kaplan is Adjunct Professor – Markets, Ethics and Law, at the Stern School of Business, New York University.