

# ALLISON CAFFARONE

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Assistant Professor of Law  
Touro Law Center  
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## TEACHING & RESEARCH INTERESTS

Primary: Torts, Evidence, and Criminal Law  
Secondary: Financial Crime, Anti-Corruption Law, Transnational Crime, and Corporate Compliance

## EXPERIENCE

### **Touro Law Center**

*Assistant Professor of Law*

July 2024 – present

### **Maurice A. Deane School of Law at Hofstra University**

*Professor of Skills*

June 2022 – July 2024

*Executive Director, Perry Weitz Mass Tort Institute*

*Visiting Associate Professor of Law*

Aug 2019 – June '22

*Associate Professor of Legal Writing*

2016 – 2018

*Assistant Professor of Legal Writing*

2013 – 2016

*Visiting Assistant Professor of Legal Writing*

2012 – 2013

### **NYU Program on Corporate Compliance and Enforcement (PCCE)**

#### **NYU School of Law**

*Executive Director*

2018 – 2019

*Editor, Compliance & Enforcement*

- Developed the strategic goals for PCCE to accomplish its mission and address emerging issues and challenges in corporate compliance and enforcement.
- Conceptualized and organized compliance and enforcement conferences, public policy roundtables, evening panels, and student programs, on issues surrounding sexual harassment and #metoo issues, the use of new and emerging technologies, cross-border cooperation and investigations, negotiated settlements, foreign corrupt practices, anti-money laundering, financial fraud, corporate monitors, and cannabis regulation.
- Developed content and influential readership for the PCCE Blog, *Compliance and Enforcement*, including writing, soliciting, and editing blog posts.
- Oversaw and mentored Student Fellows, including their whitepapers and blog posts, and collaborated with PCCE Senior Academic and Senior Fellows.
- Worked with the Faculty Director and Assistant Director on communications and web page development, budgeting, and other administrative matters.
- Taught international executive education program, Innovation in Compliance International Mission – Innovative Practices on Fraud Detection and Prevention.

## **Sullivan & Cromwell LLP**

*Associate, Litigation & Criminal Defense & Investigations Groups* 2003 – 2012

- Represented individuals, corporations and financial institutions in criminal, regulatory, and internal investigations involving allegations of:
  - Foreign Corrupt Practices Act (FCPA) violations, including representation of an individual in connection with high-profile FCPA-related action against BAE
  - Anti-money laundering (AML) violations and Office of Foreign Assets Control (OFAC) sanctions, including the representation of Standard Chartered, HSBC, and ABN AMRO Bank in high-profile enforcement actions
  - Securities fraud and insider trading, including the representation of the Goldman Sachs Group, Inc. and numerous of its directors and senior executives in civil and criminal insider trading proceedings against one of its former directors
- Managed large-scale investigations, including conducting witness interviews, examining documents, drafting reports, and coordinating and negotiating with government agencies
- Drafted and presented reports and recommendations to various U.S. and non-U.S. regulatory agencies and to the Board of Directors, and Audit and Compensation Committees of the Board of Directors of large institutional clients
- Represented U.S. financial services company in connection with government inquiries regarding sub-prime mortgage products and related disclosures
- Represented corporations and financial institutions in complex federal and state civil actions, including Madoff-related litigation, executive compensation and wrongful termination litigation, and contract disputes
- Acted as co-counsel at federal narcotics trial, including developing trial strategy, preparing and conducting direct and cross examinations, drafting various motions and jury charge, and supervising trial team
- Participated in all phases of federal robbery and firearms trial, from indictment to Supreme Court writ of certiorari

## **PUBLICATIONS & WORKS IN PROGRESS**

### Book Chapters

*Defending Individuals in Government Investigations*, in DEFENDING CORPORATIONS AND INDIVIDUALS IN GOVERNMENT INVESTIGATIONS (Thomson Reuters/Thomson West 2011) (updated in 2022) (with Karen Seymour)

### Articles

*Combatting Imposter Syndrome in the Classroom*, SYLLABUS, ABA (Nov/Dec 2023)

*Virtual Gaming, Actual Damage: Video Game Design That Intentionally and Successfully Addicts Users Constitutes Civil Battery*, DUKE LAW & TECHNOLOGY REVIEW (2023)

*The Non-Data Sharing Data-Sharing Network: One Anti-Money Laundering Innovation Requires a Closer Look*, COMPLIANCE & ENFORCEMENT, PROGRAM ON CORPORATE COMPLIANCE & ENFORCEMENT AT NYU SCHOOL OF LAW (April 4, 2019)

*Ev'ry American Experiment Sets a Precedent: Why One Florida State Court's Bitcoin Opinion is Everyone's Business*, HOFSTRA LAW'S JOURNAL OF INTERNATIONAL BUSINESS AND LAW, Vol. 16 (January 2017) (with Meg Holzer)

*Recognizing and Avoiding Pitfalls in Representing Former Employees of Corporate Clients*, PRACTISING LAW INSTITUTE'S ETHICS & PROFESSIONAL RESPONSIBILITY COURSE (Summer 2010) (with David Braff)

*Prosecution of Process Crimes: Thoughts and Trends*, GEORGETOWN LAW JOURNAL'S 37TH ANNUAL REVIEW OF CRIMINAL PROCEDURE 2008 (with Steven Peikin and Karen Seymour)

#### Other

*GOP: This is Isn't Rocket Science*, Newsday, February 26, 2016

### **CONFERENCES, PRESENTATIONS, AND SPEAKING ENGAGEMENTS**

Target Practice: Tech Under Fire, "*It's Alive*": *Technological Growth in Tort Liability and Practice* (Hofstra Law School, April 14, 2023)

Perry Weitz Mass Tort Institute Kick-Off and Conversation (Hofstra Law School, Nov. 3, 2022)

Special Considerations for Non-Profits & Universities, *#MeToo and Beyond: Lessons for Compliance, Investigations, and Governance* (NYU School of Law, Oct. 11, 2019)

Information and Data Sharing Under the US AML Regime, *The New Face of AML Enforcement and Compliance* (NYU School of Law, June 12, 2019)

Cambridge Forum on Sanctions & AML Compliance (June 3-5, 2019)

*When Google Serves Ads in Iran, Advertisers Pay the Price*, WIRED (quoted) (May 15, 2019)

Program on Innovation in Compliance International Mission, *Innovative Practices in Fraud Detection and Prevention* (NYU School of Law, April 29, 2019)

Coordination Across Enforcers: Investigations, Cooperation, and Sanctions, *Deterring Corporate Misconduct Through Negotiated Settlements: The Promise and Perils of Corporate Policing* (NYU School of Law, April 5, 2019)

Enforcement Trends at the CFTC (NYU School of Law, Nov. 14, 2018)

Achieving Effective Compliance: Assessment | Internal Reporting | Technology | Remedial Monitors, *Technology and Data-Driven Compliance* (NYU School of Law, Oct. 12, 2018)

The Developing Legal and Regulatory Challenges of Bitcoin and Other Virtual Currencies (Forum for Global Financial Regulation, Hofstra Law School, March 3, 2016)

“Leadership and the Law” (Hofstra Law School, March 23, 2015)

“What a Corporate Lawyer Needs to Know” (Hofstra Law School, April 11, 2014)

Negotiating the Deal: Corporate & Entertainment Law (Hofstra Law School, Nov. 6, 2013)

## **AWARDS**

- 2009 Burton Award for Legal Achievement - Legal Writing
- 2007, 2010 & 2011 Empire State Counsel - Pro Bono Service Award

## **EDUCATION**

**New York University School of Law, J.D., 2003**

Juris Doctorate, May 2003

**Hofstra University School of Law**

Matriculated August 2000 – August 2001

Class Rank: 2 / 244; GPA: 3.816

Honors: *Hofstra Law Review* (elected, but did not serve due to transfer); First Year Course Excellence Awards for Criminal Law and Torts, Dean’s Scholar

**Hofstra University, B.A., 1998**