

# JOSHUA C. WALLENSTEIN

13543 North Tracewood Bend || Houston, Texas 77077 || (713) 598-4581  
[jwallenstein@wallensteinlawgroup.com](mailto:jwallenstein@wallensteinlawgroup.com) || [www.linkedin.com/in/joshwallenstein](http://www.linkedin.com/in/joshwallenstein)

## SUMMARY

---

A strategic and results-driven LEGAL AND COMPLIANCE COUNSEL with extensive domestic and global expertise in ethics and compliance, trade compliance, anti-fraud/anti-corruption/anti-money laundering efforts, internal investigations, risk management, third party due diligence, joint ventures, mergers and acquisitions, and general corporate law. Consistent track record of success in both (a) designing and implementing compliance and risk management programs and (b) testing, measuring and monitoring their effectiveness. Proven aptitude for innovating and implementing effective and commercially appropriate solutions to mitigate risks, increase efficiency, reduce costs, and achieve key corporate objectives. Excels at identifying gaps, analyzing trends, and reporting on significant findings in a business-savvy manner. Utilizes excellent leadership and communication skills to nimbly manage global teams, interface with C-suite and Board leadership, and liaise with foreign and domestic regulatory authorities, including the U.S. Department of Justice, the U.S. Securities and Exchange Commission, the Australian Federal Police, and various trade compliance enforcement agencies. Trilingual and multicultural, with substantial international exposure. Admitted to practice law in Texas, New York, and the District of Columbia.

## EXPERIENCE

---

THE WALLENSTEIN LAW GROUP, Houston, Texas  
**Managing Member, 2017-present**

Manages and oversees a boutique practice focusing on ethics and compliance programs, inclusive of codes of conduct, policies, third party due diligence/know your partner systems, and internal controls. Designs and implements global risk and fraud assessments, as well as multi-lingual training and communications. Conducts privileged internal investigations. Advises on a wide range of legal and compliance matters, including trade compliance (sanctions, boycotts and export controls), joint ventures, anti-fraud/anti-corruption/anti-money laundering concerns, antitrust and competition laws, supply chain processes and procedures, security and privacy issues, labor issues, records management, risk management, and due diligence. Extensive experience with cross-industry benchmarking and metrics design.

MCDERMOTT INTERNATIONAL, Houston, Texas  
**Chief Compliance Officer and Assistant General Counsel, 2015-2017**  
**Global Director of Ethics and Compliance & Senior Counsel, 2012-2015**

Globally administered the company's ethics and compliance and trade compliance programs for a multi-billion-dollar public company. Managed a global team and reported to the Board and executive suite on a quarterly (and as-needed) basis. Oversaw risk and program leadership, third-party due diligence, investigations, policies/procedures, training and certification, and client service.

- ***Risk and Program Leadership: Design, Testing, and Review:*** Redesigned programs around a comprehensive and defensible internal controls framework, based on U.S. and global legal and compliance principles. Measured and monitored programs, utilizing specific metrics and expert analysis. Performed global and country-specific comprehensive risk assessments, crafted appropriate mitigation strategies, and drove implementation. Assessed and advanced automated program platforms to increase efficiency and reduce cost. Evaluated and acted to address existing/emerging global legal and compliance risks and trends.
- ***Third-Party Due Diligence:*** Administered internal due diligence and periodic certification procedures for all third-party agents, co-venturers, and other business partners. Directed compliance reviews of proposed joint venture and acquisition agreements, analyzed and edited client/agent/vendor contracts, and implemented and monitored external certification initiatives.
- ***Investigations:*** Maintained and communicated diverse internal reporting mechanisms. Directed and conducted privileged and other internal investigations, led and supported various internal and external audits, and analyzed and reported on significant findings and trends. Liaised with the U.S. Department of Justice and the Australian Federal Police on the company's behalf.
- ***Policies and Procedures:*** Designed and improved compliance programs for the company, its affiliates, and joint ventures. Constructed and implemented global policies, procedures, and guidelines.
- ***Training and Certification:*** Created, provided, and tracked live legal and compliance training programs for general and role-specific audiences. Effected internal employee annual certification initiatives.
- ***Client Service:*** Provided legal/compliance/records management advice to internal clients.

WEATHERFORD INTERNATIONAL, Dubai, United Arab Emirates  
**Region Compliance Counsel, Middle East and North Africa, 2010-2012**

Managed regional compliance duties within a broad portfolio for countries in the Middle East (including Iraq), North Africa, and Central Asia, including internal investigations relating to labor and employment, code of conduct, anti-fraud and anti-corruption, antitrust and

competition, and security issues. Assisted the global compliance function in its discussions with U.S. enforcement authorities, including the Department of Justice, the Securities and Exchange Commission, the Department of Commerce, and the Office of Foreign Assets Control.

BAKER HUGHES, Mexico City, México  
**Region Compliance Counsel, Latin America, 2008-2010**

Performed regional compliance duties in English, Spanish, and Portuguese for countries in Latin America. Interacted on the company's behalf with the Monitor imposed under a Deferred Prosecution Agreement with the U.S. Department of Justice relating to past FCPA-related violations. Served as local counsel during a local HR search for suitable Mexican counsel.

## **ADDITIONAL EXPERIENCE**

---

CHURCHILL CAPITAL COMPANY, Dallas, Texas, **Associate**, 2007-2008. Structured commercial real estate financings (from analysis to funding).

CORPORATE EXECUTIVE BOARD, Washington, D.C., **Research Director, Legal and Compliance Practice**, 2004-2007. Diagnosed corporate gaps in compliance risk management and department management for approximately 200 general counsels and legal teams. Crafted customized solutions (*e.g.*, compliance and ethics programs pursuant to U.S. Federal Sentencing Guidelines, electronic records management regimes). Presented best practices and custom benchmarking data across the United States and Canada. Supervised drafting of directed memoranda focused on specific client queries.

LINKLATERS, New York, New York, **Associate, Banking Group and Capital Markets Group**, 2002-2004.

## **EDUCATION**

---

STANFORD LAW SCHOOL, Stanford, California  
**Juris Doctor**, 2002

SOUTHERN METHODIST UNIVERSITY, Dallas, Texas  
**Bachelor of Arts with Honors, magna cum laude, Phi Beta Kappa**, 1997  
*International Studies, Latin American Studies, Spanish*

## **BAR ADMISSIONS**

---

*Texas, New York, and the District of Columbia*

## **AFFILIATIONS**

---

*Director, TRACE Foundation Board*

*Member, Oil & Gas Anti-Corruption Advisory Board (Momentum)*

*Member, Corporate Compliance Exchange Steering Committee (Deloitte & Touche)*

## **PUBLICATIONS**

---

"Aspectos anticorrupción de América Latina." *Transacciones petroleras internacionales en América Latina*, ed. Colmener, Ricardo y Enríquez, David. (2011).

"Bandits at the Well: Micro-democracy and Micro-extortion at Well Sites in Mexico." 6 *Tex. J. Oil Gas & Energy L.* 1 (2010-2011).

"Punishing Words: An Analysis of the Necessity of the Element of Causation in Prosecutions for Incitement to Genocide." *Stan. L. Rev.*, 54:2, 2001.

## **AWARDS**

---

*Finalist, Best Assistant General Counsel (Houston Business Journal's Best Corporate Counsel Award): 2014, 2016*

## **LANGUAGES**

---

Fluent in Spanish and conversational in Portuguese.