



Joan P. Sullivan | Senior Counsel

Albany | New York City | Long Island
518.462.0110 x1461 | jsullivan@lippes.com



Joan provides strategic counsel to clients who operate in highly regulated settings to ensure compliance with government oversight and scrutiny. As part of our [Government & Corporate Investigations](#) Practice Team, Joan's practice concentrates on corporate compliance, government ethics, lobbying requirements, and state and local procurement processes. Joan has represented clients in matters involving a range of significant agencies, including the U.S. Department of Justice, Office of the New York State Attorney General, New York State Gaming Commission, New York State Inspector General's Office, New York Public Service Commission, New York Office of General Services, NYC Department of Citywide Administrative Services, the New York Commission on Ethics and Lobbying in Government, and the NYC Conflict of Interest Board, among others.

Joan has extensive experience representing companies in large-scale internal investigations, including her role as counsel in both of former Governor Andrew Cuomo's Moreland Commission Investigations. She has also conducted internal corporate probes for Fortune 50 and large privately held companies, involving allegations of potential violations of federal and state laws.

Joan previously served in government roles as counsel to the New York State Commission on Public Integrity, now known as the Commission on Ethics and Lobbying in Government. She also worked as an Assistant District Attorney in the Office of the New York County District Attorney under Robert Morgenthau, where she was part of both the Special Prosecutions Bureau and the Appeals Bureau.

Prior to joining Lippes Mathias, Joan was a partner with Harris Beach, PLLC.

REPRESENTATIVE MATTERS

CAPABILITIES

Government & Corporate Investigations

- Corporate Ethics & Compliance
- Corporate Monitorships
- State Attorneys General Investigations

Litigation

- Appellate

Cannabis

- Represented a Fortune 500 Company in connection with several audits before NYC agencies saving the company \$10 million.
- Represented New York's American Bar Association-accredited deans in an appeal challenging their authority under the state constitution to vet candidates for appointment on New York's ethics board (Gary J. Lavine v State of New York et al. Case No.: CA23-01332, New York State Appellate Division-4th Dept).
- Defended an energy company under investigation by the NYS Office of the Attorney General's Office, consumer fraud bureau, involving allegations of violations of GBL §§349, 349-d and 350 concerning deceptive sales practices, which were resolved through negotiation and the execution of an Assurance of Discontinuance.
- Engaged as counsel in high profile matters such as both of Governor Cuomo's Moreland Commission investigations. The first Commission scrutinized the failures of electrical utilities after Hurricane Sandy. The second Commission was tasked with probing corruption in New York politics, including conflicts of interests, such as outside employment of legislators. In both matters, a thorough understanding of the inner workings of NYS government was essential to the representation.
- Served as independent counsel to a Fortune 50 company conducting an internal investigation into labor law issues spanning multiple states.
- Defended a major internet-based media platform in a dispute against a national entertainment corporation. The entertainment corporation sought to force the media platform to reveal privacy information purportedly related to a leak of copyrighted material. The entertainment corporation ultimately filed a notice of discontinuance withdrawing its subpoena request. The case was covered in leading legal and entertainment media including the NewYorkLawJournal.com.
- Defended a utility company before the Joint Commission on Public Ethics (JCOPE) alleging multiple violations of the gift ban under New York's lobbying law; reviewed and revised the company's policies and procedures regarding entertainment of public officials and trained company employees on the new policies.
- Prepared written advisory opinions regarding ethical issues facing corporate boards, firms, and government public officials considering entering the private sector. Issues range from conflicts of interest, disclosure and recusal mechanisms and post-employment restrictions.
- Provided advice on lobbying compliance to organizations required to file reports disclosing lobbying-related activities and conducted training to company employees and executives.
- Successfully appealed a decision to expel a student who was found responsible for sexual misconduct under Title IX on the grounds that the school did not substantially comply with its own policies and procedures. The student was fully reinstated (Matter of Doe v

Skidmore, 152 AD3d 932 (3rd Dept. 2017)

- Defended a minority and women-owned business before the NYS Office of General Services to resolve government inquiries related to a large government contract.

EDUCATION

- St. John's University School of Law, J.D., 1987
- State University of New York at Oswego, B.A., 1984

PROFESSIONAL ASSOCIATIONS

- Society of Corporate Compliance and Ethics
- New York County Trial Advocacy Program
- Suffolk County Bar Association
- St. John's University, Aspire Mentor Program

HONORS & AWARDS

- *The Best Lawyers in America*©, Corporate Compliance Law

SPEAKING ENGAGEMENTS

- "Break Glass Only in an Emergency!" Co-presenter, AI Webinar, November 17, 2023
- "Lifting the Fog Over Lobbying Compliance," Podcast, April 2020
- "New Lobbying Regulations: What Businesses in NYS and NYC Need to Know," Webinar, January 2019
- "Ethics and Lobbying Compliance in NY — Navigating the Minefield," CenterState Corporation for Economic Opportunity (CEO), May 2019

ADMITTED TO PRACTICE

- New York
- U.S. District Court, Northern District of New York
- U.S. District Court, Southern District of New York