



**Tuesday, October 21**  
**9:00 am-10:30 am**

## **409 Leadership Development Issues Facing the Law Department**

**Douglas J. Bates**

*Senior Vice President and General Counsel*  
Source Interlink Companies, Inc.

**Richard A. Bates**

*Associate General Counsel*  
State Farm Insurance Companies

**Karyn S. Polak**

*General Counsel*  
Citi Investment Research

**Tena T. Roberson**

*Deputy General Counsel and Chief Privacy Officer*  
BlueCross BlueShield of Tennessee

## Faculty Biographies

### Douglas Bates

Douglas Bates is general counsel and secretary for Source Interlink Companies, Inc. in Bonita Springs, FL. Source Interlink is a premier publishing, marketing, merchandising, and fulfillment company of entertainment products, including magazines, DVDs, CDs, books, and video games.

Prior to assuming responsibility for Source Interlink's legal function, Mr. Bates provided legal counsel to emerging and mid-cap companies primarily in connection with acquisition transactions and securities compliance, and co-founded a boutique investment banking firm arranging late stage financing for emerging technology concerns.

Mr. Bates is a graduate, with distinction, from Valparaiso University School of Law.

### Richard Bates

Richard Bates is associate general counsel for State Farm Insurance's corporate law department in Bloomington, IL. Mr. Bates has leadership responsibilities over three units comprised of a total of 25 attorneys and legal assistants which provide in-house legal services to various home office property and casualty business disciplines. He is also a member of his law department's leadership talent identification and development committee.

Mr. Bates currently serves as the ACC Law Department Management Committee's program chair. Mr. Bates' management experience also includes leading a 400-person claims force in one of State Farm's zone operations in Florida. His previous work in the insurance business includes positions as corporate counsel for California-based Fireman's Fund Insurance Company and regulatory officer for the New Jersey Department of Insurance.

Mr. Bates received his BA, MBA, and JD from Creighton University.

### Karyn Polak

Karyn S.W. Polak is a managing director for Citigroup's Institutional Clients Group, which includes Citi Markets and Banking and Citi Alternative Investments, in New York. Ms. Polak was most recently the general counsel for Citi Investment Research and the deputy general counsel of Citi Global Wealth Management, responsible for a team of approximately 30 people globally who primarily review equity, fixed income, quantitative and strategic research on companies worldwide and provide gatekeeping, vetting, and other capital formation assistance and conflicts management between research and investment banking.

Prior to her work with Citigroup, Ms. Polak served as associate general counsel at Smith Barney, first working on various matters including mutual fund revenue sharing and conflicts reviews, and then managing legal coverage for numerous products (including mutual funds, annuities, 529 Plans and unit investment trusts) and the investment-advisory businesses of the Smith Barney Private Client Group. Ms. Polak also spent nine years as an international capital-markets attorney, primarily at Cleary Gottlieb Steen & Hamilton and also at Jones Day (New York) and Rogers & Wells (now Clifford Chance).

Ms. Polak has served on the City Bar's committee on women in the profession and the self-regulation and supervisory practices committee of the Securities Industry Association (now SIFMA).

Ms. Polak received a BA from Washington University and is an honors graduate of Boston University School of Law.

### Tena Roberson

Tena Roberson is deputy general counsel, director of legal services, and chief privacy officer for the BlueCross BlueShield of Tennessee enterprise in Chattanooga, TN. As chief privacy officer, Ms. Roberson has oversight for the administration of the HIPAA privacy regulations for the company. Ms. Roberson has also previously served as legal oversight and manager for litigation and subrogation functions.

Prior to joining BlueCross BlueShield of Tennessee, Ms. Roberson's background was in litigation for an insurance defense law firm, with an emphasis in civil litigation.

Ms. Roberson is a member of the URAC privacy and security accreditation committee, and her organizations and affiliations include the International Association of Privacy Professionals, Health Care Compliance Association, Association of Corporate Counsel, Tennessee Bar Association, American Bar Association, and the Chattanooga Bar Association.

Ms. Roberson is a graduate of George C. Taylor College of Law.



## Challenges May Depend on Size of Legal Department

- Leadership Opportunities
- Access to Resources
- Formal vs. Informal Development Programs



## Developing Yourself

- Importance of letting go of former role – from doer to manager
- Importance of Self-awareness
- For current/next job (succession planning)
- Maintaining relationships (networking)
  - Inside
  - outside
- Mentoring



## Developing Others – For Law Department Leadership

- Challenges
  - Outside areas of expertise
  - Projects
  - Assignments
- Extra-company opportunities
  - Pro bono/philanthropy
  - Speaking/training opportunities
- Importance of model leadership



## Developing Others – For Business Area Leadership

- Partnership with the business
- Lawyers transitioning to business roles



## Keeping People Motivated

- Barriers
  - Salary limits
  - Few leadership roles available (pyramid)
- Visioning
  - Is the Mission Clear?
  - Model leadership



## Keeping People Motivated

- Providing opportunities
  - Remove roadblocks
  - Provide resources
- Servant Leader
  - Coaching
  - Emotional Intelligence



## Top Tips for Development

### Leader

- Build relationships – live outside of office
- Self-awareness
- Know your team
- Work outside of comfort zone
- Don't be afraid to fail

### Team Member

- Build relationships
- Self-awareness
- Communicate interests/goals
- Work outside of comfort zone
- Don't be afraid to fail