MAYER | BROWN

WHITE COLLAR **ENFORCEMENT FORUM**

OCTOBER 22, 2025

NEW YORK, NY

FTI CONSULTING


ONLINE MATERIALS

AGENDA

2:00–2:30 PM	**REGISTRATION**
2:30–2:45 PM	**WELCOME REMARKS** Ken Wainstein
2:45–3:25 PM	**FALSE CLAIMS ACT: CURRENT DOJ PRIORITIES AND DEVELOPMENTS IN THE LAW** Adam Hickey, Paul Kaufman, and Eva Tomlinson
3:30–4:10 PM	**CROSS-BORDER ENFORCEMENT CHALLENGES** Rob Hamburg, Glen Kopp, Findley Penn-Hughes, and Rob Zachariasiewicz
4:10–4:25 PM	**BREAK**
4:25–5:05 PM	**ENFORCEMENT LANDSCAPE: CYBERSECURITY SPOTLIGHT** Justin Herring and Jordan Rae Kelly
5:10–5:50 PM	**SECURITIES ENFORCEMENT TRENDS: BSA/AML RISKS FOR FINANCIAL INSTITUTIONS AND BROKER-DEALERS** Alex Feldman, Hiral Mehta, Michele Cerezo-Natal, and Elizabeth Virga
6:00 PM	**RECEPTION AT OCEANA**

FALSE CLAIMS ACT: CURRENT DOJ PRIORITIES AND DEVELOPMENTS IN THE LAW

2:45 – 3:25 PM

ADAM HICKEY
Partner, Mayer Brown

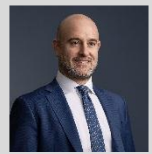
PAUL KAUFMAN
Vice-President & Deputy General Counsel, Northwell Health

EVA TOMLINSON
Senior Managing Director, FTI Consulting

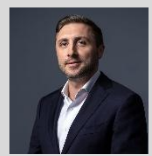
CROSS-BORDER ENFORCEMENT CHALLENGES

3:30 – 4:10 PM

ROB HAMBURG
Partner, Mayer Brown



GLEN KOPP
Partner, Mayer Brown



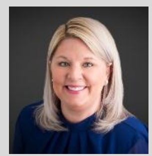
FINDLEY PENN-HUGHES
Senior Associate, Mayer Brown

ROB ZACHARIASIEWICZ
Partner, Elicius Intelligence

ENFORCEMENT LANDSCAPE: CYBERSECURITY SPOTLIGHT

4:25 – 5:05 PM

JUSTIN HERRING
Partner, Mayer Brown

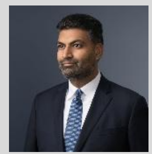


JORDAN RAE KELLY
Senior Managing Director, Head of Americas Cybersecurity, FTI Consulting

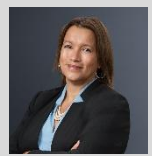
SECURITIES ENFORCEMENT TRENDS: BSA/AML RISKS FOR FINANCIAL INSTITUTIONS AND BROKER-DEALERS

5:10 – 5:50 PM

ALEX FELDMAN
Principal Counsel, Enforcement, FINRA

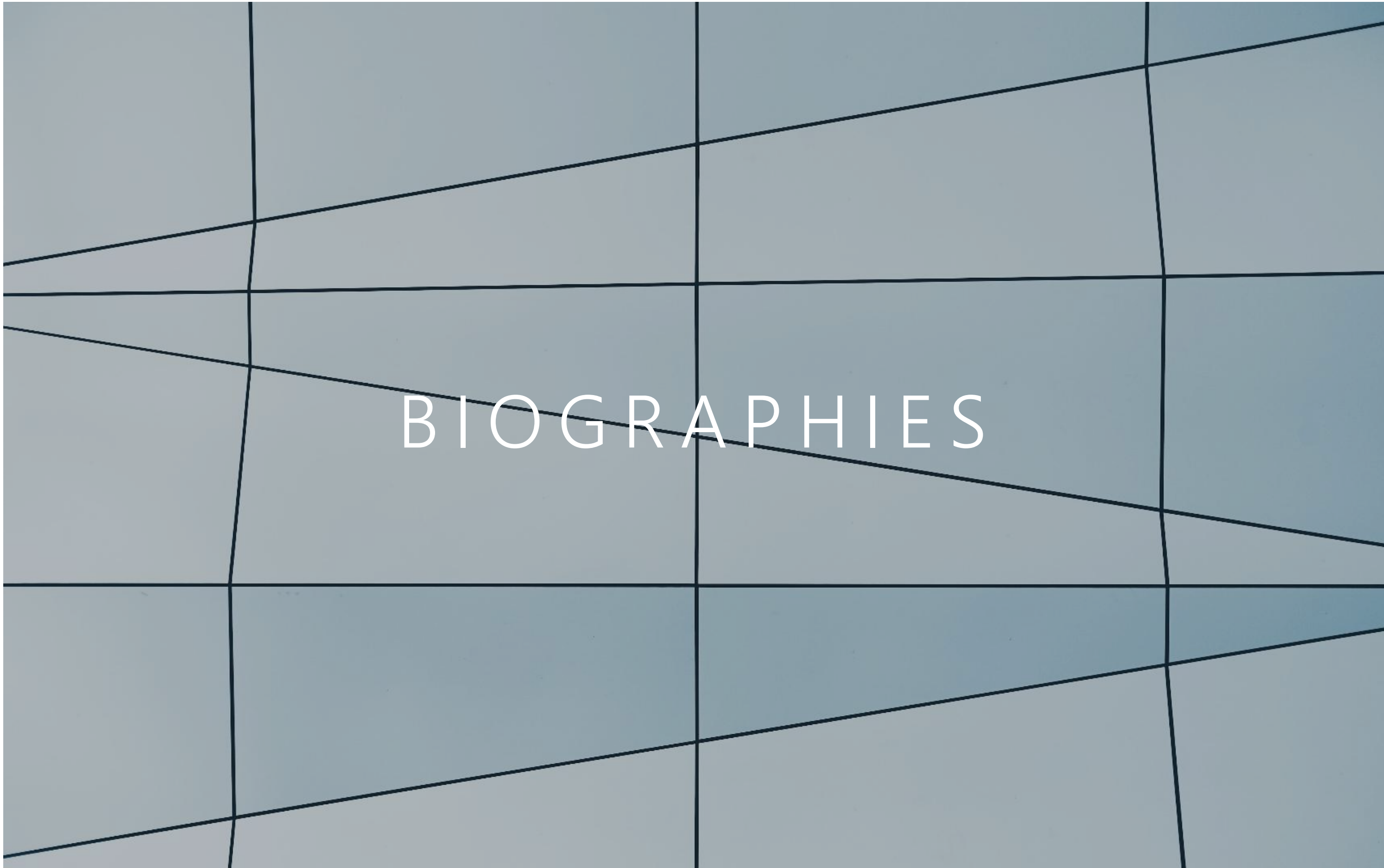


HIRAL MEHTA
Partner, Mayer Brown



MICHELE CEREZO-NATAL
Partner, Mayer Brown

ELIZABETH VIRGA
Executive Director, Sumitomo Mitsui Banking Corporation (SMBC)



BIOGRAPHIES

ALEX FELDMAN

PRINCIPAL COUNSEL, ENFORCEMENT, FINRA

Alex joined the Financial Industry Regulatory Authority (FINRA) during 2020 and is a Principal Counsel in FINRA Enforcement. He handles enforcement investigations of member firms and associated persons relating to anti-money laundering, sales practice, market regulation, and other investor protection and regulatory issues. Prior to joining FINRA, Alex was an associate at Clifford Chance US LLP where he focused on regulatory investigations and financial criminal matters.

ROB HAMBURG

PARTNER, NEW YORK | RHAMBURG@MAYERBROWN.COM

Rob Hamburg represents clients in complex commercial litigation, cross-border and international litigation, arbitration, and regulatory enforcement matters. Rob also advises in the context of government and internal investigations.

Rob has litigated at the trial court and appellate levels in both federal and state courts, as well as in the FINRA forum. He has represented foreign and domestic clients in complex international disputes, including more than a dozen cases brought pursuant to the US Anti-Terrorism Act and actions involving claims of multi-national fraud. Rob advises clients on issues of personal jurisdiction, choice of law, choice of forum, and cross-border discovery.

JUSTIN HERRING

PARTNER, NEW YORK | JHERRING@MAYERBROWN.COM

Justin Herring provides clients with comprehensive representation and counseling on sophisticated cybersecurity matters, including global incident response, enforcement actions and related litigation, cyber monitorships and regulatory compliance. He also advises individuals and entities in the crypto and fintech sectors.

Prior to joining Mayer Brown, Justin was Executive Deputy Superintendent of the Cybersecurity Division at the New York State Department of Financial Services (NYDFS). At NYDFS, he served as the first leader of the agency's Cybersecurity Division, itself a first-of-its-kind unit at a financial services regulator. NYDFS issued the nation's first cybersecurity regulation for financial services, which has since become a model for other regulators such as the Federal Trade Commission, the Securities and Exchange Commission, and dozens of state banking and insurance regulators. Under Justin's leadership, NYDFS' Cybersecurity Division became a go-to source for guidance on novel and emerging cyber challenges.

ADAM HICKEY

PARTNER, WASHINGTON DC | AHICKEY@MAYERBROWN.COM

Adam Hickey offers clients extensive experience in cybersecurity, sanctions, export controls, the Foreign Agents Registration Act (FARA), criminal law, federal surveillance statutes, and other national security authorities.

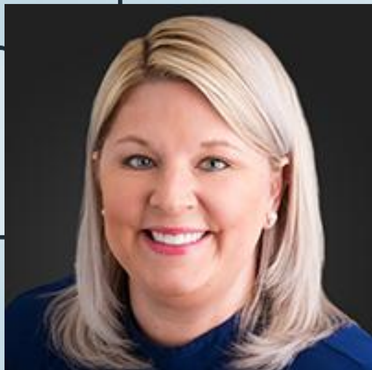
Adam draws on more than 15 years of experience at the US Department of Justice (DOJ) handling high-profile national security matters intersecting with the private sector. Prior to joining Mayer Brown, he was a Deputy Assistant Attorney General (DAAG) of DOJ's National Security Division (NSD) and an Assistant United States Attorney in the Southern District of New York (SDNY).

During his time at NSD, Adam established the Department's national security cyber program, dedicated to combatting malicious cyber activity by foreign intelligence services affecting major companies and critical infrastructure, and he supervised the criminal investigation and charging of every such case for more than a decade.

PAUL KAUFMAN

VICE-PRESIDENT AND DEPUTY GENERAL COUNSEL,
NORTHWELL HEALTH

Paul joined Northwell Health as Vice President in the Office of Legal Affairs in September, 2014, where he works on regulatory-related matters. Prior to that, Paul served for over ten years as the Chief of Civil Health Care Fraud for the U.S. Attorney's Office for the Eastern District of New York (EDNY), where he worked closely with federal and state law enforcement personnel to develop, investigate and resolve health care fraud cases on behalf of the United States and its agencies. During Paul's tenure, the EDNY recovered over $1 billion in settlements of health care fraud cases, and Paul was the recipient of several awards including HHS-OIG's Integrity Award, the Director's Award for Superior Performance as an Assistant U.S. Attorney, and the New York City Bar Association's Stimson Medal for Outstanding Contribution to the Office of the United States Attorney. Before joining the EDNY, Paul began his legal career as an associate at Proskauer Rose, where he focused on commercial litigation and white collar defensive matters.



JORDAN RAE KELLY

SENIOR MANAGING DIRECTOR, HEAD OF AMERICAS, FTI CONSULTING

Jordan Rae Kelly is a Senior Managing Director and the Head of Cybersecurity for the Americas at FTI Consulting. Ms. Kelly has more than 15 years of experience coordinating incident response and managing cyber policy planning.

At FTI Consulting, Ms. Kelly advises clients on a broad range of cybersecurity and data privacy matters involving breaches, insider threats, intellectual property, crisis communications, vendor management, compliance, regulation, risk management, and forensic investigations.

Prior to joining FTI Consulting, Ms. Kelly served as the Director for Cyber Incident Response on the National Security Council at the White House. During her tenure there, she was responsible for both national incident response coordination, as well as management of the U.S. Government's process for managing zero-day exploits. She was also a chief author of the National Cyber Strategy, the first of its kind in the United States in 15 years.

GLEN KOPP

PARTNER, NEW YORK | GKOPP@MAYERBROWN.COM

Glen Kopp represents clients in a number of areas, including commodities and securities fraud, foreign corruption, government contracting fraud, corporate compliance, insider trading, and criminal antitrust.

Given Glen's prosecutorial and litigation background, Glen's experience includes representing clients in Chapter 15 bankruptcy proceedings, both in support of foreign liquidators with recognition in the United States looking to trace assets and develop claims for the foreign bankruptcy estate, and defending clients from foreign representatives. Glen has assisted private equity clients with an array of issues involving the US Department of Justice (DOJ), the US Securities and Exchange Commission (SEC), state attorneys general, and private claimants. He also advised a private equity on navigating through a monitorship and federal receivership.

HIRAL MEHTA

PARTNER, NEW YORK | HMEHTA@MAYERBROWN.COM

Hiral D. Mehta is a seasoned trial lawyer and former federal prosecutor with more than a decade of government experience, including serving as Chief of the Business & Securities Fraud Section in the US Attorney's Office for the Eastern District of New York. He represents clients in high-stakes criminal and regulatory investigations and complex commercial and securities civil litigation, leveraging his deep understanding of government operations to help clients navigate crises efficiently and effectively.

Drawing on his background as a former prosecutor, Hiral brings extensive trial experience, having tried 13 federal jury trials—including several complex white-collar trials—and having led and overseen hundreds of investigations of individuals and institutions focused on securities and commodities fraud, insider trading, market manipulation, investment advisor fraud, health care fraud, sanctions enforcement, export control violations, tax evasion, bribery, and fraud involving digital assets. He also has substantial FCPA experience, having led and overseen three of the four largest FCPA corporate resolutions of the past five years.

MICHELE CEREZO-NATAL

PARTNER, NEW YORK | MNATAL@MAYERBROWN.COM

With over 20 years of investigations and regulatory enforcement experience in the financial services sector, clients rely on Michele Natal to solve complicated business issues. Corporate clients value her wealth of business and legal knowledge gleaned from practical experience as in-house counsel at one of the world's largest global financial institutions.

Michele focuses on global internal investigations and enforcement matters. She regularly helps companies facing investigations by state attorney general offices, securities regulators (including the SEC, CFTC, and FINRA), the DOJ, and other enforcement authorities. In addition, Michele is deeply experienced in handling whistleblower matters and conducting workplace investigations.

Prior to joining Mayer Brown, Michele spent over a decade at The Bank of New York Mellon, conducting global internal investigations, managing enforcement matters and advising senior management

FINDLEY PENN-HUGHES

PARTNER, NEW YORK | FPENN-HUGHES@MAYERBROWN.COM

Findley Penn-Hughes, senior associate, is dual-qualified in the US and UK and has practiced in both London and New York.

Findley's practice focuses on representing and defending corporations and individuals in white-collar criminal matters and cross-border investigations (both internal and government-facing), and providing proactive compliance program counseling to global clients, especially the design and implementation of anti-corruption and human rights compliance programs.

Findley also provides strategic advice relating to anti-corruption and integrity due diligence (and internal investigations) arising out of mergers, acquisitions, and joint ventures, with a focus on both global issuers and private companies.

EVA TOMLINSON

SENIOR MANAGING DIRECTOR, FTI CONSULTING

Eva Tomlinson is a seasoned executive with more than 20 years of proven leadership in professional services, trade compliance and SaaS implementation. With a career that spans founding a multimillion-dollar consultancy to holding senior executive roles at global logistics and advisory firms, Ms. Tomlinson brings deep expertise in operational excellence, regulatory strategy and cross-functional alignment.

Ms. Tomlinson advises multinational clients on navigating complex U.S. trade regulations, including Sections 232 and 301 tariffs, while driving automation and governance improvements across supply chain and compliance operations. Ms. Tomlinson is known for designing scalable frameworks that enhance supplier compliance, increase efficiency and support enterprise-wide alignment. At FTI Consulting, Ms. Tomlinson advises clients on the full spectrum of import and trade compliance risks, with particular expertise in tariff mitigation strategies, customs valuation and country of origin determinations.

ELIZABETH VIRGA

PARTNER, SUMITOMO MITSUI BANKING CORPORATION

Elizabeth Virga is an Executive Director at Sumitomo Mitsui Banking Corporation (SMBC) in New York. She handles regulatory enforcement matters for the Americas Division, including defending the firm in DOJ, SEC, FINRA, CFTC, FRB, and DOL investigations. Prior to joining SMBC, Liz spent eight years in FINRA's Enforcement Department and before that she was in private practice at Milbank LLP. She received a B.S.W from Siena College and a J.D. from Albany Law.

KEN WAINSTEIN

PARTNER, WASHINGTON DC | KWAINSTEIN@MAYERBROWN.COM

Ken Wainstein chairs the firm's Global Investigations & White Collar Defense practice, and is a member of the National Security and Congressional Investigations practices. He represents clients with their most significant criminal and civil enforcement proceedings, corporate internal investigations, and congressional inquiries. His experience spans the full spectrum of white collar matters, including those involving export controls, sanctions, foreign direct investment, and other national security enforcement issues. He has led numerous high-profile independent investigations and sensitive internal reviews for corporate clients and boards, and represents clients facing significant legal and regulatory challenges before the range of state and federal enforcement entities. With deep experience on Capitol Hill as a senior government official and private practitioner, Ken also represents clients involved in congressional investigations and hearings.

ROB ZACHARIASIEWICZ

PARTNER, ELICIUS INTELLIGENCE

Rob engaged in a highly decorated career of 22 years with the Drug Enforcement Administration ("DEA"). He spent the bulk of this time assigned to DEA's Special Operation Division (SOD) where he developed and managed some of the agency's most significant and acclaimed cases. Zach concluded his career as the Deputy Chief of the Office of Financial Investigations where he was responsible for planning and overseeing global anti-money laundering programs and threat finance investigations, including DEA's undercover money laundering operations and virtual currency initiative. His work involved close cooperation with the U.S. Treasury Department regarding money laundering and financial sanctions, and he coordinated directly with the international financial services sector. Following his retirement from DEA, Zach worked as a Senior Managing Director for Investigative Group International (IGI) for two years prior to establishing his own risk management and intelligence business - Steadfast Consulting - which merged with operations with British corporate intelligence firm Elicius Intelligence. Zach is a Partner at the firm and runs the US office.


ONLINE MATERIALS