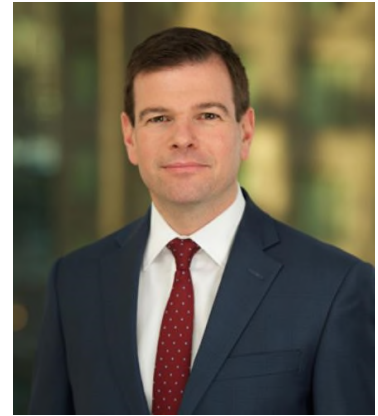


Jonathan E. Green

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Jonathan Green's practice focuses on securities enforcement, litigation and arbitration, white collar criminal defense, and internal corporate investigations. He recently was named Co-Chair of the firm's Anti-Corruption practice. He routinely counsels clients on a variety of compliance, regulatory, and disclosure issues.

Mr. Green brings a wealth of experience from his public service. As an Assistant US Attorney in the Eastern District of New York, he investigated, prosecuted and tried to verdict criminal matters involving allegations of securities fraud, money laundering, mortgage fraud and violations of the Foreign Corrupt Practices Act (FCPA), among others. Additionally, Mr. Green established and led the Eastern District's Mortgage Fraud Task Force where he supervised the combined efforts of numerous federal and state law enforcement agencies. Mr. Green also served as Deputy Chief of the Office's General Crimes Section, and was presented with the Department of Justice's Director's Award for superior performance as an Assistant US Attorney.

As a former Senior Counsel in the Division of Enforcement of the Securities and Exchange Commission (SEC), Mr. Green brings unique experience and an insider's perspective to the firm and his clients, having investigated and prosecuted cases involving accounting improprieties, market manipulation, public company disclosure issues, insider trading, unregulated securities offerings, broker-dealer compliance matters, FCPA violations, and investment advisor relations.

Mr. Green received his JD from Seton Hall University School of Law, where he was a member of the *Law Review* and Moot Court Board. He clerked for Honorable Dora L. Irizarry, Chief Judge for the Eastern District of New York.

Experience

- *NYSE-listed company* in connection with SEC investigation relating to accounting charges.
- *A professional global sports association* in connection with multiple US Department of Justice (DOJ) investigations concerning allegations that athletes have participated in corrupt match-fixing schemes across the globe.

Areas of Focus

- White Collar Defense & Investigations
- Anti-Corruption
- Securities Enforcement & Litigation
- Institutional Investors
- Commercial Litigation

Education

- JD, Seton Hall University School of Law, 2001
- BA, Political Science, Florida State University, 1998

Admissions

- New York

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- *Numerous multinational financial services firms* in connection with investigations from the SEC, CFTC, DOJ, FINRA, SROs and other regulators.
- *An audit firm* in response to an SEC investigation regarding the valuation of highly illiquid assets.
- *A charity* facing an investigation from the New York Attorney General's Charity Bureau.
- *NYSE listed Greek shipping and fuel logistics company* in conducting an internal investigation relating to almost \$200mm in suspicious assets recorded on the company's books.
- *Residential property management company and related individuals* in connection with a joint investigation involving the United States Attorney's Office for the Eastern District of New York (USAO EDNY) and the New York City Department of Investigation (DOI).
- *Several clients* in FINRA arbitrations.
- *A multinational financial services firm* in connection with an SEC investigation relating to Fair Value accounting treatment of certain asset-backed securities. This representation resulted in the closure of the SEC's investigation with no charges.
- *Two investment advisors* with a combined AUM over \$150 billion in connection with an SEC initiative relating to alleged conflicts of interest in the collection of 12b-1 fees.
- *A private equity fund* in connection with an SEC investigation of a portfolio company.
- *The CEO of a commodity pool operator* in connection with a SEC and CFTC investigation relating to valuation of assets. This representation concluded with no charges filed against the CEO.
- *The CEO of a mobile technologies company* facing a criminal investigation relating to alleged securities fraud. This representation concluded with no charges filed against the CEO.
- *Traders* in connection with LIBOR and ISDAFIX investigations. These representation concluded with no charges filed against the traders.
- *An investment advisor* facing an SEC insider trading investigation. This representation concluded with no charges filed.
- *An executive* of a foreign automobile parts manufacturer facing scrutiny from the DOJ antitrust division.
- *Individuals* in a small investment advisory firm in connection with a FINRA investigation.
- *Investigations* relating to the mortgage crisis, including prosecutions for defrauding. Fannie Mae and other purchasers in the secondary markets.

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- *An NYSE-listed security* in a "marking the close" case involving the manipulation of the closing price.

Recognition

- *The Legal 500 US*
M&A/Corporate and Commercial: Corporate Governance (2019)
Corporate Investigations and White-Collar Criminal Defense (2015, 2017)
- *Benchmark Litigation*
"Under 40 Hot List" (2016)
- US Attorney's Excellence in Criminal Litigation Award
Two-time recipient
- Department of Justice Director's Award
Awarded for superior performance (2011)

Professional and Community Activities

- Faculty, National Advocacy Center

Government / Military Service

- Senior Counsel, Division of Enforcement, Securities and Exchange Commission
- Assistant US Attorney, US Attorney's Office, Eastern District of New York

Kathleen Harris

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Kathleen Harris is head of the London office and co-chair of the firm's Anti-Corruption practice where she represents companies and individuals in a wide range of industries. Kathleen is recognised internationally as a leader in her practice area. She represents a FTSE 100 Company in relation to a financial fraud case and another FTSE 100 Company in relation to a global investigation. Her representations include GSK, Hewlett Packard, News UK and individuals in relation to investigations into Barclays, Rolls Royce, and Tesco. She is regularly instructed by companies and individuals in a range of other high-profile criminal matters. Kathleen specialises in financial crime, however she is a highly respected practitioner in all areas of crime and her pro bono work includes acting for vulnerable individuals within the criminal justice system.

In *The Legal 500* she is recognised as having a "very keen intellect." *Chambers and Partners* has recognised her as a leading individual in her field. She is an accomplished litigator with extensive knowledge of and experience in matters involving internal and external investigations and prosecutions under the full range of potential criminal offences and sanctions. Kathleen has broad experience advising government ministers on the development and implementation of policy and fraud strategy, and leading complex overseas enquiries and analyses.

Kathleen is a member of the Corporate Governance working group of the firm, and with her experience, clients, Board of Directors, and Special committees regularly rely on her counsel with respect to complex corporate governance issues.

She has written articles on the Deferred Prosecution Agreement and UK Bribery Act, as well as newsletters covering the Foreign Corrupt Practices Act (FCPA) and UK Enforcement updates.

Before joining the firm, Kathleen served as a Senior Civil Servant Heading the Fraud Business Group and Head of Policy at the Serious Fraud Office (SFO), Senior Strategic Policy Adviser in the Attorney General's Office, and held positions in HM Revenue & Customs (HMRC), The Revenue and Customs Prosecutions Office, and the Department of Works and Pensions in the United Kingdom.

Areas of Focus

- Anti-Corruption
- White Collar Defense & Investigations
- Privacy, Cybersecurity & Data Strategy
- Corporate Governance

Education

- Inns of Court School of Law, 1998
- LLB, Thames Valley University, 1997, *with honors*
- Diploma in Magisterial Law, Kingsway College, 1992, *with distinction*

Admissions

- England and Wales

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Kathleen has led the prosecution of organisations involved in high-profile bribery investigations, complex financial crime, and tax evasion.

Experience

Representative Matters

- Representing an *FTSE 100 company* in a multi-jurisdictional investigations subject to concurrent investigation by the DOJ, SEC, FSA, and SFO.
- Criminal Adviser to the *Management and Standards Committee at News Corporation* in relation to the investigations involving voicemail interception and payments to public officials which included advising on all concurrent proceedings. Successfully defended the company in relation to all allegations of alleged wrongdoing.
- Advising a *multi-national information technology company* following the identification of irregularities in relation to its acquisition of another multi-national software company.
- *Individuals from the UK* in relation to a US investigation currently being conducted by the Department of Justice (DOJ) and Securities and Exchange Commission (SEC), in relation to investments made in a foreign country.
- Representing an *individual* during an FCA investigation in relation to breach of Individual Conduct Rules, as well as assisting with the concurrent US investigation. Resulted in negotiation of a Final Notice with the FCA and PRS.
- Defended a *financial institution* headquartered in a European member state against allegations of money laundering brought by the European Anti-Fraud Office.
- Contested extradition of a *businessman* accused of money laundering and other economic crimes in France.
- Represented *multiple individuals* in relation to investigations conducted by the SFO, CPS and FCA.
- Advising a *company* on how to comply with the Data Protection Act when transferring data overseas.
- *Individuals in multi-national companies* in responding to statutory requirements to answer questions made by the Serious Fraud Office in relation to their investigation of the company.
- Advised the *Audit Committee of a UK-listed company* and conducted an internal investigation into protected disclosures made by a whistleblower, who alleged misconduct by one of the company's executives.
- Represented an *individual*, in respect to a FCA and PRA investigation following allegations of seeking to identify a whistleblower.
- Representing a *high-profile individual* in connection with a high-value business dispute involving allegations of fraud and undue influence.

Prior Government Experience

- *R v. BAE Systems Plc.* in connection with the prosecution of a global defence company, fully managed successful outcome of Judicial Review challenging the lawfulness of the plea agreement, and was responsible for managing counsel, drafting response to the claim, and handling correspondence amidst intense media scrutiny.
- Led team in examining the approach to global offending following the *R v. Innospec* judgment, and was responsible for making suggestions to the government for changes to the plea negotiation framework.
- Advised in the updating of the Code for Crown Prosecutors, used by prosecutors to decide whether criminal proceedings should be instituted.
- Advised the *Board for the former Inland Revenue* in a number of Hansard and serious civil cases.
- Advised and prosecuted in relation to a number of large tax evasion cases involving complex overseas enquiries, analysis of large volumes of data, and knowledge of the law of restraint and confiscation.
- *R v. Gray* (2006). Advised and prosecuted in case which became a model for HMRC best practice, identifying evidence that permitted the first successful UK inheritance tax case which enabled the Scottish National Gallery to recover a valuable art collection.
- Advised and successfully prosecuted a multi-handed conspiracy to defraud in relation to a charity which had high-profile patrons.

Recognition

- *The Lawyer*
"Hot 100" (2021)
- *Chambers UK*
Financial Crime: Corporates (London) (2017-2021)
Corporate Crime & Investigations (UK-wide) (2014-2016)
- *The Legal 500 UK*
"Leading Individual" – Regulatory Investigations and Corporate Crime (2015-2021)
"Leading Individual"–Fraud: White-Collar Crime (2021)
Fraud: White-Collar Crime (2020-2021)
Regulatory Investigations and Corporate Crime (2012-2021)
- *Global Investigations Review*
Listed as one of the "Top 100 Women in Investigations" (2015)

Professional and Community Activities

- Member, Employed Bar Committee for The Bar Council of England and Wales

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Government / Military Service

- Head, Fraud Business Group, UK Serious Fraud Office
- Senior Strategic Policy Adviser, UK Attorney General's Office

John N. Nassikas

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As co-chair of the firm's Anti-Corruption practice, John Nassikas draws on his extensive experience in federal grand jury practice and trial work to counsel clients on complex parallel criminal and civil litigations, internal corporate investigations, and cross-border cases across a wide range of industries. In ranking him in the top tier of Washington defense counsel, *Chambers USA* describes Mr. Nassikas as a "strong communicator" and "strategic thinker with an approach that inspires confidence." He has defended companies and individuals in significant federal and state investigations throughout the United States and internationally, particularly in the areas of financial, healthcare, and government contracts fraud and global anti-corruption, antitrust, and environmental enforcement.

As a former federal prosecutor in the US Attorney's Office for the Eastern District of Virginia, Mr. Nassikas' deep government experience has earned him high respect among enforcement agencies. He regularly engages with the US Department of Justice (DOJ), Securities and Exchange Commission (SEC), and federal and state enforcement agencies across the country. He has broad experience with the Foreign Corrupt Practices Act (FCPA), the False Claims Act (FCA), and the Classified Information Procedures Act (CIPA), and has successfully represented an array of pharmaceutical and medical device companies and health care providers in multi-jurisdictional national and international matters for over three decades.

Mr. Nassikas is a frequent speaker at ABA and other conferences on cross-border, First Amendment, and other criminal law issues. He has been a visiting law school lecturer on criminal law and an instructor of continuing legal education courses on corporate and individual criminal law topics, and is former Chairman of the Criminal Law Committee of the DC Bar Association. A committed advocate of non-profit work and community service, Mr. Nassikas currently serves on the advisory board of the Amazon Biodiversity Center.

Experience

Representative Matters

- Leads trial and defense teams in complex parallel criminal and civil investigations. Recent public cases include corporate defenses of AdvanSix Inc., Boston Scientific, Oracle Corp., and Par Pharmaceutical,

Areas of Focus

- White Collar Defense & Investigations
- Anti-Corruption
- Life Sciences
- Government Contracts
- False Claims Act Investigations & Defense

Education

- JD, University of Virginia School of Law, 1984
- BA, Yale University, 1981, *magna cum laude*

Admissions

- District of Columbia
- Virginia
- Supreme Court of the United States
- US Court of Appeals for the District of Columbia Circuit
- US Court of Appeals for the Fourth Circuit
- US District Court, District of Columbia
- US District Court, District of Maryland
- US District Court, Eastern District of Virginia

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and individual defenses of executives and managers in investigations involving, among others, Computer Sciences Corporation, KPMG, Hitachi Automotive, NGK Ltd., Lufthansa/BizJet, Chi Mei OptoElectronics/Innolux, Synthes, Guidant, Biomet, Purdue Pharma, Stryker/OtisMed, American Gypsum, and Embraer.

- *One of the two defendants in the "AIPAC Espionage Act case"* in successful dismissal in the US District Court for Eastern District of Virginia (Ellis, J.). The Fourth Circuit (557 F.3d 192) issued a landmark ruling in favor of the two former AIPAC foreign policy advocates on both CIPA issues and evidentiary standards under the Espionage Act for conduct covered by the First Amendment, and DOJ followed by dismissing the 10-year investigation and prosecution on eve of trial. *US v. Steven Rosen and Keith Weissman*, Case No. 1:05cr225
- *Par Pharmaceutical Companies* in large-scale, multi-year off-label promotion investigation by the DOJ, US Food and Drug Administration, and New Jersey US Attorney's Office, and in a related Third Circuit Appeal, and publicly filed First Amendment and statutory challenge to FDA's intended use regulations in federal court in Washington, DC.
- *Lead defense counsel* in cases brought by *Special Inspector General for Iraq Reconstruction* (SIGIR) and *Special Inspector General for Afghanistan Reconstruction* (SIGAR).
- *Washington Wizards professional basketball team* in grand jury investigation of guns in players locker room at Verizon Center.
- *Former Embraer executive Colin Steven* in a global FCPA investigation by US, Brazilian, and Saudi authorities. At sentencing, after a five-year investigation and prosecution, the US District Court for the Southern District of New York rewarded Steven for his cooperation by ordering only forfeiture and a small fine, with no jail or probation.
- *One of four SunTrust Mortgage loan officers and executives* as lead trial lawyer in prosecution brought by the US Attorney's Office for the Eastern District of Virginia and the Fair Housing Finance Administration Office of Inspector General.
- *Former Secretary of State Condoleezza Rice* as a government witness in the classified leak prosecution of an ex-CIA employee. *US v. Sterling*, E.D. Va.
- *Jacques Dessange* as lead trial counsel in multi-defendant conspiracy trial in US District Court for S.D.N.Y., leading to small fine and community service, with no employee convictions.
- *Alexander Konanykhin*, whom INS had detained and begun deportation proceedings against at request of KGB and FBI, in winning habeas trial in US District Court for the Eastern District of Virginia (Ellis, J.).
- *Lead defendant* in post-9/11 Virginia "Paintball Jihad" case. Appointed by US District Court Judge Leonie Brinkema.

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- *Chief of Staff of Congressman Robert Ney* in Jack Abramoff-related investigations. Chief of Staff was first of government cooperators to be sentenced and received community service, with no jail time.
- *GPU Nuclear* relating to the Three Mile Island accident.

Pro Bono Cases

- *Prisoners with serious mental illness incarcerated at the Supermax facility* in seeking humane treatment under Eighth Amendment. *Center for Legal Advocacy, Cunningham, et al. v. Federal Bureau of Prisons* (12-cv-01570-RPM).
- *Foreign citizen in ICE custody* in wrongful death suit filed in US District Court for the Eastern District of Virginia. Case settled favorably for estate before Judge Novak. *Newbrough v. Piedmont Regional Jail Authority* (3:10-cv-00867--Judges Henry Hudson and David Novak).
- *Tenants* in litigation of claims relating to the loss of rental units, personal property, and other damages sustained at the Arthur Capper Senior Apartments as a result of September 19, 2018 fire.
- *Ukrainian-American students* in trial in DC Superior Court fighting for their First Amendment right to protest outside Soviet Embassy.

Recognition

- *The Legal 500 US*
Corporate Investigations and White-Collar Criminal Defense (2014-2019, 2021)
Antitrust: Cartel (2017)
- *Chambers USA*
Litigation: White-Collar Crime & Government Investigations (DC) (2011-2021)
- *Washington, DC Super Lawyers*
Criminal Defense: White Collar (2007-2021)
- *LMG Life Sciences Guide*
"Life Science Star" – White-Collar/Government Investigations (2018-2020)
"Life Science Star" – Non-IP Litigation (2012-2018)
- *Best Lawyers*
Criminal Defense: White Collar (2020-2021)
- *Benchmark Litigation*
"Local Litigation Star" – White Collar Crime (2018)
- *Washingtonian Magazine*
"Best Lawyers" (2011-2015)
"Top Lawyers" – White Collar (2009, 2011)

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Professional and Community Activities

- Former Chairman, Criminal Law Committee of the District of Columbia Bar Association
- Former Trial Fellow, Litigation Counsel of America

Government / Military Service

- Assistant US Attorney, Eastern District of Virginia

Daniel Bernstein

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Daniel Bernstein represents clients in complex litigation, internal investigations, and government enforcement actions. He also counsels companies on ethics and compliance programs related to anti-corruption laws, including the Foreign Corrupt Practices Act (FCPA), and other laws affecting international businesses.

Mr. Bernstein handles a variety of commercial disputes, many of which involve significant public policy and/or international dimensions. He regularly drafts pleadings and briefs in trial and appellate courts (including the US Supreme Court), and handles electronic discovery, depositions, hearings, expert witnesses, settlement negotiations, mediations, arbitrations and trials.

Mr. Bernstein serves as Associate Editor of Arnold & Porter's Enforcement Edge Blog.

Mr. Bernstein also helps individuals and companies navigate investigations by the US Department of Justice (DOJ), the US Securities and Exchange Commission (SEC), and other federal, state, and self-regulatory authorities. He has served as Managing Editor of the firm's semi-annual publication on Global Anti-Corruption Insights, which covers developments relating to the FCPA and other anti-corruption laws.

In law school, Mr. Bernstein was as an Articles Editor on the *Stanford Law Review*. Between college and law school, Mr. Bernstein studied international relations in Delhi, India through the Yale University Fox International Fellowship.

Experience

Anti-Corruption

- *Multinational manufacturer* in FCPA/anti-corruption investigation conducted by DOJ, SEC, and Brazilian authorities, as well as collateral litigation, related to "Operation Car Wash."
- *Multiple global technology companies* in anti-corruption and trade controls compliance counseling, due diligence, and program design and implementation.
- *Global pharmaceutical company* in bribery and bid-rigging investigation.

Areas of Focus

- White Collar Defense & Investigations
- Commercial Litigation
- Anti-Corruption
- Securities Enforcement & Litigation
- Compliance

Education

- JD, Stanford Law School, 2009
- BA, Yale University, 2005, *magna cum laude*

Admissions

- New York
- US District Court, Southern District of New York
- US District Court, District of Columbia
- US Court of Appeals for the Second Circuit
- US Court of Appeals for the Fifth Circuit
- US Court of Appeals for the District of Columbia Circuit
- US District Court, Southern District of Texas

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- *Food supply company* in internal investigation into allegations of bribery in connection with company's business in Eastern Europe.
- *Consumer products company* in FCPA and related securities law investigations conducted by the DOJ and SEC.
- *Individual in FCPA investigation* related to defense contracting in Latin America.

Litigation Experience

- *Consumer products company* in multi-billion dollar arbitrations and related litigation against multiple states.
- *Private equity firms*, as plaintiffs and defendants, in New York Supreme Court litigation with respect to breach of contract, fiduciary duty, and business tort claims.
- *Insurance company* in Bankruptcy Court proceedings concerning insurance coverage for class-action litigation.
- *Financial institutions and professionals* in bankruptcy and other federal litigation involving the Madoff scandal; federal litigation involving commercial real estate and bank regulatory issues; New York state court litigation involving residential mortgage-backed securities litigation; and federal litigation involving sovereign debt.
- *Former CEO* of a public company in putative class-action lawsuit under federal securities laws and investigation by the SEC.
- *Shipbuilding company* in federal RICO litigation.
- *Pharmaceutical companies* in product-liability and Freedom of Information Act (FOIA) litigation.
- *Consumer electronics company* in contract and intellectual property disputes.
- *Foreign countries in matters* involving the Foreign Sovereign Immunities Act (FSIA), public international law, and judgment enforcement.
- *Pennsylvania voters and public-interest organizations* in overturning a voter-identification law, which courts found would have unconstitutionally disenfranchised voters.
- *Parents of public school students* in federal litigation involving First Amendment rights.
- *Tenants' Association* in proceedings before the New York City Board of Standards and Appeals.