



 **FEDERAL
ENFORCEMENT
FORUM**

Fifth Annual Federal Enforcement Forum Speaker Biographies
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Daniel M. Baich, *Of Counsel, Dorsey & Whitney LLP*

Dan Baich handles all aspects of broker-dealer regulatory matters for various types of financial institutions.

Dan also provides regulatory advice to issuers and underwriters in public and private securities transactions, advises clients on mergers and acquisition transactions involving a broker-dealer and provides clients general broker-dealer regulatory advice relating to the rules and regulations of the Securities and Exchange Commission and the Financial Industry Regulatory Authority ("FINRA"). He also serves as Vice Chair of the American Bar Association's FINRA Corporate Financing Rules Subcommittee.

While working at the National Association of Securities Dealers (today, FINRA) New York District Office, Dan assisted existing broker-dealers in business expansions, changes in control and ownership and formation of new broker-dealers. Dan also participated in and led examinations and investigations of broker-dealers.

Dan worked at other leading law firms prior to joining Dorsey providing broker-dealer regulatory advice to bank-affiliated broker dealers, stand-alone broker-dealers, high frequency and alternative trading systems, private equity and hedge funds, and non-U.S. entities with U.S. affiliated broker-dealer broker-dealers.

Dan assisted broker-dealers in obtaining regulatory approval for business expansions, ownership changes and in obtaining regulatory approval for new broker-dealers.



Allison Charley, *Senior Principal Consultant, ACA Compliance Group*

L. Allison Charley joined ACA in July 2018 as a Senior Principal Consultant. In that role, Allison provides comprehensive compliance consulting services and conducts mock SEC examinations of investment advisers, including private funds. Prior to ACA, Allison worked in the U.S. Securities and Exchange Commission's Division of Investment Management in Washington, D.C. as a securities compliance examiner and acting branch chief. While at the SEC, Allison conducted examinations of investment advisers and investment companies, managed analyses of private funds, open and closed-end funds, and exchange-traded funds, and led outreach efforts with asset management executives and mutual fund boards.

Before the SEC, Allison was the enterprise chief compliance officer for MIP Global. There she managed the compliance programs for all its entities, including the firm's investment adviser and exempt reporting adviser, private equity and hedge funds, and multiple broker-dealers. She also served on numerous governance committees, where she helped create and implement business strategy.

Prior to that, she served as a senior compliance consultant with Financial Industry Technical Services (FITS), where she helped build the compliance and regulatory practice for investment advisers, served as the company's subject matter expert for its investment advisory clientele, and provided compliance consulting services, which included acting as regulatory liaison for clients during examinations. Before FITS, Allison was the chief compliance officer for Rydex Investments, where she managed the compliance programs for an investment adviser and mutual fund distributor. Prior to Rydex, she held senior compliance roles at other firms in the Washington, D.C. area.

Allison earned her Bachelor of Arts degree at Hollins University.



Genna Garver, *Of Counsel and Chair of the Investment Management Group, Dorsey & Whitney LLP*

Genna Garver works closely with clients to understand their unique needs and guide them through the complex maze of investment regulation.

Genna takes pride in the close personal attention she provides when advising investment management clients in connection with federal and state securities laws, private fund formation and securities offerings. She has extensive experience representing financial institutions in transactional and regulatory matters. She focuses on representing investment advisers, hedge funds and other private investment funds implementing various investment strategies.

Genna advises clients on: formation and offering matters for both domestic and offshore funds; SEC and state investment adviser, broker-dealer and private fund regulation; Investment Advisers Act registration and compliance programs; and mock audits and regulatory examinations and investigations.



Paul D. Glenn, *Special Counsel, Investment Adviser Association*

Paul is Special Counsel at the Investment Adviser Association and started at the IAA in 2006. Paul has worked at the US Securities and Exchange Commission as a trial attorney and special counsel in the Division of Enforcement and the Office of General Counsel, respectively. Paul is a volunteer member of the United States Investment Performance Committee (USIPC) at the CFA Institute. Paul also has experience working for the Office of the Comptroller of the Currency (then OTS), US Treasury, as Deputy Chief Counsel and special counsel. He has served as Vice President and Director of Compliance for PNC Bank N.A. in Washington, DC, (formerly Riggs) and Washington First Bank N.A. in Reston, VA (formerly Millennium Bank N.A.). Paul has his masters of law degree (LLM) from Georgetown University Law Center and his Juris Doctor and Bachelor of Arts (Political Science) from Case Western Reserve University. Paul also has an honorary doctor of laws degree from Nyack College, Nyack, NY. Paul is a member of the Bar of the Supreme Court of Ohio, the Supreme Court of the United States, and other federal courts.



Tom Gorman, Partner, Dorsey & Whitney LLP

Tom's Practice Focuses on Defending SEC, CFTC and other regulatory inspections, investigations and actions including related DOJ criminal cases.

Tom has defended public companies, investment advisers and individuals in regulatory actions involving compliance issues and questions, insider trading, market manipulation, financial fraud, corporate governance matters, accounting and auditing issues, FCPA issues, and similar matters. He has also defended securities class action and derivative suits and led teams conducting internal investigations focused on financial fraud and other securities law issues. He regularly speaks on, and publishes articles regarding, securities litigation issues including the FCPA, internal investigations, financial fraud and insider trading. He has been interviewed on these issues by the New York Times, Wall Street Journal, Washington Post, Financial Times, and other leading publications in addition to appearing on CNBC, CNN, and other TV networks. Tom publishes a widely-read securities blog, www.secactions.com, which analyzes trends in securities enforcement inquiries and litigation, and provides expert commentary for the LEXIS Securities web page. He serves as a member of the editorial board of the Securities Regulation Law Journal.

Tom's practice also regularly includes other complex business litigation matters arising under the securities, commodities, antitrust laws and the federal racketeering statutes, examples of which include: *Minpeco, S.A. v. Hunt* in which he and a team of attorneys obtained a \$197.1 million treble-damage verdict on behalf of a Peruvian governmental entity after a six-month jury trial against the Hunt brothers and others (the jury found that the defendants had engaged in price fixing, monopolization, and manipulation activities in the world silver markets in violation of the antitrust, commodity, and racketeering laws); defense of a large German multinational that resulted in a government-to-government agreement creating a reparations fund for U.S. citizens interned in Nazi concentration camps during World War II; defense of the Republic of Peru in 54 actions in five countries involving over \$6 billion in commercial bank debt; representation of the Central Bank of Nicaragua regarding its commercial bank debt disputes; securing a \$25 million verdict after a five-month jury trial in a case based on international business transactions; and the successful defense of a large real estate company in a three-month jury trial in an antitrust action.



J David Jackson, Partner, Dorsey & Whitney LLP

J's practice focuses on securities litigation, trade secret and unfair competition litigation, antitrust, and complex commercial litigation.

J is a partner in the Trial Group, the Co-Chair of the firm's global China Litigation Practice Group and is the former Co-Chair of the firm's Securities Litigation and Enforcement Practice Group.

J's securities litigation experience is extensive and varied. He actively represents clients in large securities class action lawsuits and other complex securities litigation involving, among other things, public offerings, private placements, corporate takeovers, and officer and director liability. Clients represented in these matters include issuers, underwriters, accountants, limited partnerships and general partners, officers and directors. His experience also includes representing broker-dealers, investment advisers, and trust companies in court and arbitration actions throughout the country, as well as with regulatory investigations before the Securities and Exchange Commission, FINRA, and other federal and state regulators.



Joseph Lynyak, III, Partner, Dorsey & Whitney LLP

Joe is a long-time adviser to the financial services industry, with a depth of experience that allows him to “connect the dots” for clients in the complex (and sometimes conflicting) regulatory and statutory schemes confronting financial intermediaries.

Joe is a partner in the Firm’s Finance & Restructuring Group and a member of the Banking Industry Group. He practices in both the Firm’s Washington, D.C. and Southern California offices. Joe possesses a broad knowledge base regarding foreign banks and domestic banks, savings associations, bank holding companies, finance companies, mortgage banking companies and their subsidiaries and affiliates. His practice includes providing financial intermediaries advice in the areas of regulatory and strategic planning, application and licensing, legislative strategy, commercial and consumer lending, examination, supervision and enforcement, and general corporate matters. Joe’s FDIC-insured financial institution clients benefit from his experience in the special state and federal statutory and regulatory requirements—including safety and soundness issues—that apply to regulated financial intermediaries. He regularly counsels clients on matters such as retail operations, privacy, identity theft, consumer compliance, application and underwriting, payments systems, Internet, electronic commerce, examination, supervision and enforcement, operational and strategic planning matters. Joe is a frequent lecturer on legal topics involving the operation and regulation of financial service companies. Specific regulatory topics upon which Joe has advised clients and spoken at conferences include the Dodd-Frank Act, prudential regulation, the Volcker Rule, the Bank Secrecy Act (and other anti-money laundering provisions), mortgage lending and the CFPB.



Edward B. Magarian, Partner, Dorsey & Whitney LLP

Ed Magarian is Partner in the trial group of Dorsey & Whitney LLP. His national practice includes representing broker dealers and other financial institutions in connection with claims brought by or against other broker dealers, financial institutions and/or associated persons related to recruiting, solicitation and misappropriation of confidential information. Mr. Magarian’s practice also involves providing advice and engaging in litigation involving the broker protocol on behalf of, or against both protocol and nonprotocol firms. His practice further involves representing clients in connection with FINRA Enforcement proceedings, and securities investigations or actions by FINRA, the SEC and state regulatory agencies. Mr. Magarian serves on the Policy Committee (i.e., the Board of Directors) of Dorsey & Whitney, and is on the Board of two other nonprofits.



Brian P. O’Shea, Senior Director at the Center for Capital Market Competitiveness, U.S. Chamber of Commerce

Brian O’Shea is a senior director at the Center for Capital Markets Competitiveness (CCMC) at the U.S. Chamber of Commerce. O’Shea manages the Chamber’s efforts on a number of SEC and capital markets-related issues, including corporate governance and capital formation. In addition, he advocates on behalf of Chamber members in front of regulatory agencies and elected officials, with a primary focus on establishing sound policies to promote sustainable growth and economic freedom.

CCMC was established in March 2007 to advocate legal and regulatory policies for the U.S. capital markets to advance the protection of investors, promote capital formation, and ensure U.S. leadership in financial markets in the 21st century.

Most recently, O’Shea was senior adviser to Rep. Scott Garrett (R-NJ), chairman of the Capital Markets Subcommittee of the House Financial Services Committee. There he played a leading role in developing and

advancing the subcommittee's legislative and oversight agenda, including passage of 39 bills under the subcommittee's jurisdiction during the 114th Congress. He also served as legislative director to Reps. Ann Wagner (R-MO) and Quico Canseco (R-TX), both members of the House Financial Services Committee.

Earlier in his career, O'Shea spent six and a half years with Morgan Stanley private wealth management, where he helped manage a client base with more than \$1.5 billion in assets. He lives in Alexandria, Virginia, with his wife and two children.



Kim A. Severson, Partner, Dorsey & Whitney LLP

Kim provides clients with the federal income tax guidance and expertise needed to carry out a wide range of business transactions

A partner in Dorsey's tax, trusts and estates group, she regularly advises clients on the federal income tax aspects of mergers and acquisitions, reorganizations and restructuring, corporate distributions and other transactions with shareholders, debt and equity financings, entity formation, securitizations and structured finance. She also provides tax planning advice to closely-held businesses, tax-exempt entities, and parties in bankruptcy proceedings.

Kim is Chair of the Firm's Policy Committee and Co-Chair of the Firm's Tax Practice Group.



Rohini Srihari, Chief Data Scientist, PeaceTech Lab, Professor of Computer Science, State University of New York

Rohini Srihari is the Chief Data Scientist at PeaceTech Lab where she directs the data and technology programs. She brings her expertise as an educator, scientist and entrepreneur to PeaceTech where she manages the development of innovative AI solutions for peacebuilding involving diverse data sources. As a professor of Computer Science at the State University of New York, her research in multilingual text mining has been funded by agencies such as DARPA and the National Science Foundation. As an entrepreneur and CEO, she has experience in fundraising, and software development and marketing. Rohini received her undergraduate degree in Math and Computer Science from the University of Waterloo, Canada and her PhD in Computer Science from SUNY/Buffalo.



John Reed Stark, President of John Reed Stark Consulting, the author of "The Cybersecurity Due Diligence Handbook" and the former Head of the SEC's Cybersecurity Enforcement Unit

Over the last 25 years, John Reed Stark's name has become synonymous with data breach response, cybersecurity and digital regulatory compliance. As President of John Reed Stark Consulting LLC, Mr. Stark's work emphasizes quarterbacking teams of technical, compliance and legal experts in data breach, cyber-incident response, digital forensics, security science, cyber risk resilience and investigations for a broad range of public and private companies, professional service firms (including law firms) and government agencies. Mr. Stark is a well known cybersecurity expert and the author of [The Cybersecurity Due Diligence Handbook](#), the first and only book of its kind.

Mr. Stark also serves as an expert in engagements pertaining to technological aspects of investigations, prosecutions and enforcement matters conducted by the SEC, FINRA and the U.S. Department of Justice (DOJ) and

aids in structuring and running corporate compliance projects for broker-dealers, investment advisers and other regulated entities. Mr. Stark also provides neutral expert testimony in the realm of securities regulation on behalf of individuals, entities and government agencies, including in opposition to, and on behalf of, the SEC and other government agencies.

During Mr. Stark's 11-year tenure as Founder and Chief of the SEC's Office of Internet Enforcement, he led an extensive range of [substantial and pioneering SEC enforcement actions](#). During Mr. Stark's 5-year tenure as Managing Director and Washington, D.C. office head at an international digital risk management firm, he gained an unusual breadth of experience in the realm of technology-related law enforcement and regulation; in cyber-incident response and digital risk resilience; and in leading all varieties of technology-related crisis management.

In addition to authoring [several dozen articles](#) about cyber-related topics, including regulation, compliance, risk resilience and incident response, Mr. Stark has been a frequent [guest commentator in the national media](#) on cybersecurity, securities regulation and other related areas. Mr. Stark also writes a column for [Compliance Week](#) magazine and writes his own blog, entitled "[Stark on IR](#)," on [Cybersecurity Docket](#) (where he is also [contributing editor](#)).

Mr. Stark also served for 15 years as an adjunct professor at Georgetown University Law School, where he taught a course on law/regulation/cybercrime and technology and as a visiting faculty member and Senior Lecturing Fellow at Duke Law School's Winter Session in 2017 and 2018 (and full semester in Spring 2019), teaching a course entitled, "Data Breach Response and Cybersecurity Due Diligence." Mr. Stark has also taught a range of in-service sessions on cybercrime at the FBI Academy in Quantico, Virginia.

Gail Van Horn, *Corporate Counsel and Vice President, U.S. Bank*

Gail Van Horn is Chief Legal Officer of U.S. Bancorp Investments, a full service broker dealer and RIA subsidiary of U.S. Bancorp. In this role, Ms. Van Horn advises and guides the business on a wide array of issue, including operational, regulatory, compliance, employment, financial and strategy matters. Ms. Van Horn also manages litigation and arbitrations for the company. Prior to joining U.S. Bancorp Investments, Ms. Van Horn worked in Toronto in various regulatory roles for the Canadian securities industry. She received her J.D. from the University of Michigan Law School and her B.S.J. from Ohio University.



Urska Velikonja, *Professor, Georgetown University Law School*

Professor Velikonja teaches Securities Regulation, Contracts and Securities and Enforcement Seminar. She previously taught at Emory University. She writes primarily about securities regulation and enforcement. Velikonja's recent scholarship has appeared in the *Stanford Law Review*, the *California Law Review*, the *Cornell Law Review*, and many other journals. Professor Velikonja's work is regularly discussed by regulators and has been featured in major newspapers, including the *Wall Street Journal*, *The Economist*, the *Financial Times* and other media.

Professor Velikonja graduated first in her class at the University of Ljubljana School of Law in 2002 and received her LL.M. at Harvard Law School in 2003. She received her J.D. *magna cum laude* from Harvard Law School in 2009. Prior to entering academia, Velikonja clerked for Judge Stephen F. Williams of the U.S. Court of Appeals for the D.C. Circuit and worked as a banking and finance associate with an Austrian law firm in her native Slovenia.