



**New York Certified Fraud Examiners
Fall Fraud Conference
Friday, October 12, 2018
NYC Columbus Circle**

Hosted by

FORDHAM | Gabelli School
of Business

SPEAKER BIOS & PRESENTATIONS

KEYNOTE SPEAKER: Tom Hardin



Tom Hardin previously spent much of his career as a long-short hedge fund analyst focused on technology sector equities. In 2008, as part of a cooperation agreement with the Department of Justice, Tom assisted the U.S. government in understanding how insider trading occurred in the hedge fund industry. Known as “Tipper X,” Tom became one of the most prolific informants in securities fraud history, helping to build over 20 of the 80+ individual criminal cases in “Operation Perfect Hedge,” a Wall Street house cleaning campaign that morphed into the largest insider trading investigation of a generation. Since resolving his case in 2015, Tom was invited by FBI-NYC to speak to their rookie agent class in 2016 and now consults and speaks on insider trading, conduct risk, ethics and compliance issues from his former frontline perspective through his company Tipper X Advisors. He holds a B.S. in Economics with a Finance concentration from the Wharton School at the University of Pennsylvania.

“The Inside Story of Tipper X”

Insider trading is a type of securities fraud that CFEs may not examine too often; in contrast to "pump and dump" or Ponzi schemes, it is easy for perpetrators of this type of crime to rationalize away their activity as "not hurting anyone" by buying shares of a stock while in possession of nonpublic corporate information before the general public becomes informed. From Michael Milken to Martha Stewart to Raj Rajaratnam to most recently an NFL player, it is a crime that can be committed by individuals in various walks of life who come into possession of nonpublic information from corporate insiders.] In today's keynote, Tom Hardin shares his journey down the slippery slope into committing securities fraud by placing four stock trades on illegal inside information. He discusses the psychological traps which pulled him into a spiral of rationalization and the cultural pressures of working in a high-paying, highly-competitive industry. Tom will also discuss his work with the FBI as a cooperating witness, how the crime was committed at other firms in the industry and share his personal crucible of six years between guilty plea and sentencing. Tom will conclude with some thoughts on high risk areas today for conduct risk in corporations and financial services firms, reflecting on his own experience as well as his company consultations over the past two years. Starting with the smallest, seemingly harmless decisions, crossing the line between questionable and illegal is both deceptively easy and incredibly costly.

Kirby Plessas
CEO,
Plessas Experts Network



Kirby Plessas is CEO of Plessas Experts Network, Inc. which

trains, researches, and consults using OSINT to meet the unique needs of government and the private sector. Kirby established herself as one of the foremost tradecraft experts in OSINT through successful careers in the U.S. Military and as a contractor.

Kirby Plessas is CEO of Plessas Experts Network, Inc. (PEN) which trains, researches, and consults using Open Source Intelligence (OSINT) to meet the unique needs of government and the private sector from law enforcement to research, from internal investigations to operational security. Kirby established herself as one of the foremost tradecraft experts in OSINT through successful careers in the U.S. Military and as a Government Contractor, founding PEN in 2008.

A service-disabled veteran, Kirby began her career in Military Intelligence as an Arabic linguist supporting the Department of Defense. Kirby engaged her OSINT experience at the Defense Intelligence Agency to support the warfighter and other Intelligence Community activities. In 2007, Kirby was selected to participate and instrumental in the creation and institution of an innovation center for conducting OSINT. The Department of Homeland Security declared Kirby Plessas an OSINT Technical Expert (2010).

Kirby shares her love of innovative technology and OSINT expert skill through conferences, including SXSWi, Dutch Cyber Crime Conference, HTCIA, NAMPI, and ICTOCT. Ms. Plessas delivers hands-on training courses and consultation both on-site and via webinar.

“Automating Investigations & Investigating the Dark Web”

From searching for unique identifiers to finding relevant references to the subject under audit or fraud investigation on the Internet, applying Open Source Intelligence best practices will focus the information flow into carefully-parsed nonstop data streams. Join Kirby Plessas, President and CEO of Plessas Experts Network, Inc., as she demonstrates the efficient approach to searching both social media and the Dark Web with freely available, innovative tools and methods applicable to examinations of various types of fraud. Once established, RSS feeds will automate future searches for images, metadata, and other unique identifiers instead of requiring the construction of new search queries for each examination. Comprised of live examples, Kirby's fast-paced lecture will demonstrate OSINT skills with real-world applications.

Clark Abrams
Chief, Money Laundering & Financial Investigations Unit
The City of New York



Clark Abrams is Chief of the Money Laundering and Financial Investigations Unit at the Office of the Special

Narcotics Prosecutor for the City of New York, where he is responsible for investigating and prosecuting money laundering cases, conducting training, and assisting and advising prosecutors throughout the Office on money laundering investigations and prosecutions. He also sits on the Office's committee that approves and reviews undercover money laundering operations. Over the past 25 years, he has gained substantial experience, in positions with the Securities and Exchange Commission, Manhattan District Attorney's Office, and Special Narcotics Prosecutor, investigating and prosecuting international money laundering, narcotics trafficking, and financial crime. After serving state appellate and federal trial judicial clerkships upon graduation from law school, Mr. Abrams practiced commercial litigation in New York City, before entering public service. He has served on various Financial Action Task Force (FATF) Working Groups, has been trained as a Mutual Evaluation Assessor for the 40 + 9 Recommendations, and has spoken both in the United States and abroad on issues relating to financial crime, money laundering, and international cooperation. Mr. Abrams, a graduate of Rutgers College and the University of North Carolina School of Law, is a member of the Compliance Committee of the New York City Bar Association, and co-chairs the Financial Crimes/AML Subcommittee.

"Life as a NYC Narcotics Money Laundering Prosecutor"

A discussion of current and emerging methods of money laundering, and red flags, and a case study to illustrate the interrelationship of fraud, narcotics-based money laundering, corruption, sanctions, and tax evasion.

Learning objectives:

- Current and emerging methods of money laundering, emphasizing types of trade based money laundering.
- Red flags indicative of money laundering.
- Convergence and interrelationship of various types of financial crime (e.g., fraud, money laundering, corruption, sanctions, and tax evasion).

Dr. Tim Hedley
Global Lead Fraud Risk Management Services,
KPMG



Panel Moderator

Dr. Hedley is a Partner with KPMG's Forensic practice where

he serves as Global Lead for the firm's Fraud Risk Management service offerings. Tim has more than 20 years of experience providing clients with a wide range of forensic services. He has served on the faculty of numerous universities and is currently teaching at Fordham University. Tim is the author of numerous articles and the co-author of the books, "The New Era of Regulatory Enforcement: A Comprehensive Guide for Raising the Bar to Manage Risk," and "Managing the Risk of Fraud and Misconduct: Meeting the Challenges of a Global, Regulated and Digital Environment," both published by McGraw-Hill.

"An Effective Compliance Program and Mitigating Integrity Risk"

In this session, our panel of well-regarded subject matter experts will explore select elements of an effective compliance program and how an effective program can mitigate the risk of fraud. The session will start with a discussion of the prevalence of organizational misconduct, the severity of such misconduct and the difference that an effective program can make. This will be followed by specific topics for discussion, including whistle blower mechanisms, Qui Tam and False Claims Act cases, non-retaliation, regulatory and evaluative frameworks, responsive controls, including investigations and remediation. Topics for discussion, including whistle blower mechanisms, Qui Tam and False Claims Act cases, non-retaliation, regulatory and evaluative frameworks, responsive controls, including investigations and remediation.

Catherine Napolitano
Counsel
Norton Rose Fulbright US LLP



Panelist

Catherine E. Napolitano counsels clients to structure products in compliance with CFTC-NFA and SEC-FINRA rules and cross-border rules, implementing compliance programs under the Dodd-Frank Act, the Monetary Authority of Singapore, European Market Infrastructure Regulation and Latin America.

Catherine has combined in-house and private practice experience focusing on separate accounts, asset allocations programs, insurance products, UCITs, bank collective investment funds, private funds, registered funds, fund-of-fund structures across all asset classes, stable value and GICs, electronic platform offerings and complex and bespoke derivatives transactions. She advises banks, swap dealers, futures commission merchants and their associated persons, investment managers, commodity trading advisors, insurers, trustees, custodians, fund advisers, municipalities and international sovereigns. She also advises defined benefit and defined contribution plans, and in many representations, focuses on operationalizing and implementing compliance programs.

Catherine has extensive experience in physical commodities, energy, agricultural markets and merchandising. She served as a Market Surveillance Director at CME-NYMEX covering energy and precious metals markets regulation and enforcement. Her transactional experience includes mergers and acquisitions, over-the-counter derivatives, prime brokerage and securities lending. Catherine is a member of the New York and New Jersey Bars and has served as regulatory reform Co-Chair on ISDA and SIFMA Steering Committees.

Dr. Barbara Porco
Director of MS Accounting Program
Fordham University, Gabelli School of Business



Panelist

Dr. Porco is a member of the accounting faculty for over twenty-five years and recipient of Fordham University's prestigious Bene Merenti Medal, the 2017 Gabelli Teaching Innovation Award and the 2018 Dean's Net Impact Award. She recently served as one of the founding member of the President's assembled council entitled Fordham's Continuous University Strategic Planning (CUSP) Committee as well as a former member of the university's Faculty Senate. At the request of the Board of Trustees, she served in the Provost Office as the Director of Financial and Budgetary Development for a two year appointment. Additionally, Dr. Porco has been ranked nationally in the Top 50th Researchers in Accounting Education by the American Accounting Association known as AAA.

Dr. Porco is a licensed Certified Public Accountant, Certified Fraud Examiner and Certified in Financial Forensics whose experiences include positions as the Director of Personal Financial Planning, as well as Audit Supervisor and Senior Tax Manager in the Financial Service Group at PricewaterhouseCoopers. She is presently a consultant and educator to an array of domestic and international banks, financial services organizations, hospitals, Big Four accounting firms and regulatory agencies including FINRA and the U.S. Securities and Exchange Commission (SEC). Dr. Porco also holds a certification in Corporate Sustainability and Innovation and Masters in Sustainability Management from Harvard University.

For over a decade, Dr. Porco serves as the Master Professor and presently oversees the development and training of instructors and program delivery for the national Audit Intern Program for one of the world's largest accounting firms. Leveraging her doctoral studies, Dr. Porco's research focuses on ethics, leadership and accounting education. She is the author of the KPMG Ethical Compass: Integrity in Business. The Ethical Compass is a seven series package of interactive instructional material enabling college professors to present ethics-related topics in their classrooms. The multi-award winning material has been integrated in over 150 universities across the country and is currently available on KPMG Faculty Portal. Additionally, Dr. Porco participated in a faculty rotation in the Forensic Practice for KPMG and co-authored a chapter for the KPMG's Managing the

Risk of Fraud and Misconduct: Meeting the Challenges of a Global, Regulated and Digital Environment published by McGraw Hill. Her most recent publication, entitled Sustainability Accounting Toolkit, is a series of three distinct lectures to be adapted by faculty who wish to include material pertaining to sustainability accounting, integrated reporting, and/or triple bottom line concepts in their financial accounting courses.

Dr. Porco is a multiple recipient of Fordham University's Teacher of the Year Award and was inducted into the Teacher Hall of Fame. She is a recipient of the Teaching Innovation Award from the American Accounting Association's Forensic Accounting Section; NACE Excellence in Teaching Award for KPMG's Ethical Compass; and National Outstanding Faculty Award by Beta Alpha Psi. She is the former President of the Northeast Region of American Accounting Association (AAA); and member of A.I.C.P.A.; American Accounting Association; Beta Alpha Psi and Beta Gamma Sigma

Brian Branier
ValueBridge Advisors



Brian Branier is director/head of analytics at ValueBridge Advisors (US)/Burnt Oak Capital (UK) designing “change that sticks.” He authored The Operational Handbook (Harriman House, Great

Britain, 2011) and contributed to Risk and Performance Management: A Guide for Government Decision Makers (Wiley, 2014). He teaches graduate data analytics at the Colin Powell School @ City University of New York. Mr. Branier led initiatives at Ameritech (now AT&T), Lucent (now Nokia), and IBM, led teams to nine U.S. patents, and led the team that launched the first secure fintech product. He is one of the first three people named “Fellow” by OCEG, served on the teams that created Risk IT and COBIT 5 for ISACA. He has been quoted widely and penned over 100 articles, including Internal Auditor and an interview on AuditTV. He earned an MBA and BBA both with multiple honors from The University of Michigan.

“Managing Fraud in Reel Time – Prevention, beyond detection”

The surveys and studies are in – we’re not doing enough to prevent fraud. Most frauds are still identified through tip lines, law enforcement and other after-the-fact approaches. While prevention has been discussed for years, improvement has been slow.

There is another way. Through analysis of root cause from law enforcement reports, common problems have been identified. These causes create opportunities to reduce risk of fraud. Comparing these causes to well-documented, proven product process analysis methods illustrates a more effective path to both prevent fraud and grow product sales and reduce business cost.

This is good news for any business leader. The challenge is to understand the range of frauds that intersect product processes, how they materialize and what this implies about what strengthens and weakens each phase of the product lifecycle.

Learning objectives:

- Appreciating benefit of fraud prevention beyond detection
- Seeing systems in everything
- Power of preventing exploits in product processes to reduce fraud and grow profit

Roger Hockenberry
Partner/CEO
Cognitio



“Fraud Detection and Block Chain Technologies”

Description:

With the advent of crypto-currency and block chain ledgers, there is a promise of removing fraud from the banking system, or creating ‘anonymous transparency.’ This talk will focus on the future of black chain ledgers, what you can derive from them and the changing nature of technology as it relates to cyber crime.

Learning objectives:

1. What is Crypto-Currency
2. What is Block Chain
3. How are they used for Fraud and the implications of that for Fraud Examiners

Roger Hockenberry is a proven technologist and business executive with over 25 years of experience working with all aspects of IT, enabling enterprises to better utilize technology to create, deploy, & operate unique and innovative solutions and provide mission and competitive advantage.

An influential thought leader, Mr. Hockenberry has created novel, agile, Federal Acquisition Regulation (FAR) compliant procurement strategies for infusing innovative capabilities into government technology portfolios, including a program recognized by the White House Office of Science and Technology Policy as a best practice worthy of replication across executive branch agencies.

Prior to Cognitio, Mr. Hockenberry held three functional positions with the Central Intelligence Agency: Chief Technology Officer within the National Clandestine Service; Innovation Officer; and Chief, Cyber Solutions for the Cyber Solution Center for the Chief Information Officer.

His duties included serving as the senior information technology representative for the mission to the enterprise to ensure that mission equities were met; creating and defining new solutions and capabilities for mission and broader IT needs; evaluating new technology and creating unique solutions to help drive change within the enterprise; and defining cloud strategy, future desktop initiatives, and large data analytic programs. In addition, he served at the community level on large data, information sharing, security, and mission working groups to represent the Agency’s needs and requirements.

Finally, Mr. Hockenberry helped influence the development of commercial products to help better serve security, analytic, and other needs, and served as the lead technical contract representative for a program that seeded small companies to develop new cyber and technical capabilities as part of an innovation injection program.

Previous to his work at the Agency, Mr. Hockenberry was a Managing Partner/Vice President with Gartner, where he led four distinct consulting areas: Federal Health Care, Intelligence Community, Security, and Go-to-Market.

Final Keynote: Greg Coleman
Former FBI Agent
Coleman Worldwide Advisors



“The Investigation of the Wolf of Wall Street”

This presentation will take you inside the actual FBI investigation of Jordan Belfort, the infamous "Wolf of Wall Street." You'll hear intimate details of Belfort's rise to prominence and how the FBI subsequently brought down one of America's most notorious boiler-room stock fraudsters.

Learning objectives:

1. The mindset of a sophisticated financial criminal.
2. Techniques used by law enforcement to investigate international fraud and money laundering transactions.
3. Tricks used by offshore banks (Switzerland in this case) to throw law enforcement off the trail and to disguise the flow of dirty money.

Gregory Coleman is the FBI Special Agent responsible for the criminal investigation of Jordan Belfort. Belfort's rise to power and subsequent arrest and conviction were chronicled in the movie, "The Wolf of Wall Street." The movie was directed by Martin Scorsese and starred Leonardo DiCaprio. Mr. Coleman was portrayed by Kyle Chandler.

Mr. Coleman retired from the FBI with over 25 years of experience investigating financial crimes, money laundering, and asset forfeiture. He was widely recognized as an anti-money laundering expert among his law enforcement colleagues and is a recipient of the Director's Award (Executive Office for U.S. Attorneys) for Outstanding Contributions in Law Enforcement. Many of his investigations involved stock market manipulations where the proceeds were laundered through shell corporations and offshore bank accounts.

Coleman Worldwide Advisors designs and delivers customized, highly interactive, live training related to the detection and prevention of money laundering and suspicious activity reporting. The training incorporates actual real-life examples drawn from the experiences of Mr. Coleman and other law enforcement officers.

Mr. Coleman is a frequent keynote speaker and guest lecturer and has spoken to audiences in 14 countries. He has significant experience giving presentations utilizing simultaneous translation.