

**NYCFE Spring Fraud Conference
April 28, 2023
Speaker Topic Information & BIOs**

Bruce Dorris,
President and CEO, Association of Certified Fraud Examiners

Title: The Landscape of Fraud in 2023 and Beyond: Global Fraud Studies in a Pandemic

Description:

The events of the last few years have changed the landscape of business in numerous ways, and the fraud risk environment has shifted along with it. ACFE research shows that not only are certain types of frauds increasing, the ability of organizations to prevent, detect, and investigate frauds has become more difficult as well.

In this presentation, you'll hear about the latest trends and research findings, as well as how organizations can adjust their anti-fraud programs to keep up with the changing fraud landscape in 2023 and beyond.

1.5 CPEs

Elin Baklid-Kunz
Whistleblower, Halifax Health

Title: Healthcare Fraud from The Relator's Perspective

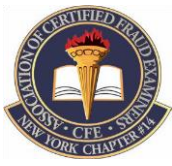
Description:

Healthcare fraud is a persistent industry problem and cost taxpayers hundreds of millions of dollars a year. The False Claims Act and qui tam whistleblowers can be one of the government's strongest tools for combating this fraud, recouping taxpayer dollars, and protecting patients.

This presentation provides an inside look from the relator/whistleblower's perspective, "Choice-less Choice" The audience will benefit from an actual whistleblower story and what being a whistleblower entails. There are many misconceptions that it's all about a guaranteed payday, however, the role of a whistleblower takes its toll in the form of isolation, mental and emotional strain.

This session will explore healthcare specific fraud and the role of compliance, how to identify and avoid potential unethical situations and present steps to resolve ethical issues when they occur.

2.0 CPEs



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James Park

Professor of Law at University of California, Los Angeles, School of Law

Title: A History of Securities Fraud Scandals

Description:

UCLA School of Law Professor James Park will discuss the history of securities fraud regulation. He will discuss case studies of major securities frauds from the 1970s to the present involving companies such as Penn Central, Apple, Xerox, Enron, Citigroup, and General Electric. He will discuss the different ways that public companies commit fraud, why they commit securities fraud, how securities fraud can be detected, and how regulation addresses the problem of securities fraud. He will also discuss recent frauds involving FTX, Theranos, and Nikola.

Attendees will learn:

- An understanding of the different ways in which public companies can commit securities fraud.
- An understanding of the motivations for public company securities fraud.
- An overview of the major federal law and regulations that govern securities fraud.

1.5 CPEs

David Maimon

Criminal Justice and Criminology Professor at Georgia State University
Director, Evidence-Based Cybersecurity Research Group

Title: The resurrection of check fraud in the USA Between 2021 and mid 2023: Insights from the illicit supply chain

Description:

The volume of check theft and check fraud in the USA have been dramatically increased during the last two years. Using evidence from the online fraud ecosystem, this talk will highlight the underlying causes behind criminals' initiation of these crimes. Evidence will be presented for the existence of an elaborated, sophisticated and domestic illicit supply chain of stolen checks that has evolved between late 2021 and 2023, as well as discuss the evolution of this, and other related crimes during those years.

This talk will conclude with a list of recent fraud related trends that the Evidence Based Cybersecurity Research Group in Georgia State University observes over the fraud



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ecosystem, along with concrete policy recommendations which may prove useful in addressing those frauds.

2 CPEs

Clay Roberts and Lou Bladel

Ernst & Young (EY) Forensics & Integrity Services

Title: Fraud Insights in the Wealth and Asset Management Sector

Description:

This past year, Ernst & Young LLP (EY US) conducted the first wealth and asset management fraud insights point of view exercise to understand the challenges facing our clients and the approaches taken to combat the spike of fraudulent activity currently being experienced. This includes managing staffing needs, identifying technology solutions and innovative fraud investigation management. The following pages summarize the EY US insights, including key takeaways, market themes and emerging trends.

Attendees will learn:

- What technology solutions can be leveraged to prevent and detect fraud
- How institutions are focusing on efficient processes, preventative technology and effective intake channels to combat insider threats
- Which strategic initiatives are institutions focusing on in their fraud journey

1.0 CPE



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SPEAKER BIOS

BRUCE DORRIS, J.D., CFE, CPA

President and CEO, Association of Certified Fraud Examiners

Bruce Dorris is the President and Chief Executive Officer for the Association of Certified Fraud Examiners (ACFE). He also serves as an advisory member to the ACFE Board of Regents. Dorris has conducted anti-fraud training for the United Nations, the World Food Program, the American Bankers Association, large accounting firms, colleges and universities around the world, as well as with the FBI, GAO, and other federal and state law enforcement agencies in the United States. His expertise has been featured in interviews with the CNBC's American Greed, ABC World News Tonight, the BBC, Wall Street Journal, the Economist, Fortune, Money Magazine, and the Atlantic among others. Dorris earned his Juris Doctor from Louisiana State University in 1993 and is licensed to practice law in state and federal courts in Texas and Louisiana. Prior to joining the ACFE, he served as a prosecutor in Louisiana for 13 years, focusing primarily on financial crime investigations. Additionally, he is also licensed as a Certified Public Accountant. Dorris has been with the ACFE for 16 years, previously serving as Vice President and Program Director.

Elin Baklid-Kunz, MBA, CHC, CPC, CPMA, CCS

Whistleblower, Halifax Health

Elin Baklid-Kunz was Director of Physician Services and longtime employee of Halifax Health in Daytona Beach, Florida until she discovered Medicare fraud being perpetrated by the Hospital. She filed a whistleblower lawsuit under the qui tam provisions of the False Claims Act, and the government intervened. On the eve of trial in 2014, Halifax settled for \$85 million and an obligation to undertake substantial internal compliance reforms. See DOJ Press Release (<http://www.justice.gov/opa/pr/2014/March/14-civ-252.html>). Ms. Kunz's extraordinary efforts to ensure compliance resulted in her being awarded the 2014 Taxpayers Against Fraud Whistleblower of the Year award.

Ms. Kunz is an expert in medical coding compliance who supports clients in matter across the United States with over 20 years of experience in the field. She has been a regular contributor to numerous magazines and journals on a variety of coding, auditing and compliance topics, and a frequent speaker, both nationally and internationally. Ms. Kunz' experience includes six years as an adjunct professor and curriculum developer



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at Seminole State College where she taught courses pertaining to healthcare reimbursement and data analysis and served on the advisory committee for the health information management (HIM) program.

Ms. Kunz earned her master's degree in business administration from Stetson University where she currently serves as Judge for the Southeast Regional Business Ethics Case Competition. She is certified in Healthcare Compliance (CHC). She is a Certified Professional Coder (CPC); a Certified Professional Medical Auditor (CPMA); a Certified Coding Specialist (CCS) and an American Health Information Management Association (AHIMA) Approved ICD-10-CM/PCS Trainer.

James Park

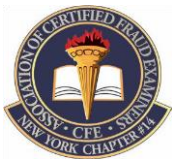
Author of, *The Valuation Treadmill: How Securities Fraud Threatens the Integrity of Public Companies*

James Park is **Professor of Law at University of California, Los Angeles (UCLA) School of Law**. He is an expert on corporate law and securities regulation. After graduating from Yale Law School, Professor Park clerked for federal judges and practiced law in New York City at a law firm and then as an Assistant Attorney General in the Investor Protection Bureau of the New York State Attorney General's Office. He is the author of a book on the history of securities fraud regulation, *The Valuation Treadmill: How Securities Fraud Threatens the Integrity of Public Companies*.

Dr. David Maimon

Criminal Justice and Criminology Professor at Georgia State University
Director, Evidence-Based Cybersecurity Research Group

Dr. David Maimon is a Full Professor in the Department of Criminal Justice and Criminology at Georgia State University (GSU) and the director of the Evidence-Based Cybersecurity research group (see ebcs.gsu.edu). He received his Ph.D. in Sociology from the Ohio State University in 2009. Prior to joining GSU, Dr. Maimon held academic position in the Department of Criminology and Criminal Justice in the University of Maryland, and the Department of Sociology in the University of Miami. In 2015 he was awarded the "Young Scholar Award" from the "White-Collar Crime Research Consortium of the National White-Collar Crime Center" for his cybercrime research. Throughout his career he has raised more than \$6 million to conduct Evidence-Based Cybersecurity research. Since joining GSU, Dr. Maimon has established the Evidence-Based Cybersecurity Research Group, where he and his colleagues seek to produce



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and review multi- and interdisciplinary empirical evidence about the effectiveness of cybersecurity tools and policies. The group and its unique approach to cybersecurity education and research have been acknowledged on popular media platforms (<https://edtechmagazine.com/higher/article/2020/09/training-next-generation-cyber-professionals>). Moreover, the group's close relationships with cybersecurity professionals in several industries and law enforcement agencies have led to the adoption of the Evidence-Based Cybersecurity approach by several organizations.

Clay Roberts, CFE, CAMS, CAFCA
Senior Manager, EY

Clay Roberts is a Senior Manager in EY's Forensics & Integrity Services practice in the New York City office. He serves as a trusted advisor to Banking & Capital Markets and Asset Management clients by assisting them with managing and remediating their fraud, Bank Secrecy Act (BSA) / Anti-Money Laundering (AML), and sanctions compliance risks. He strives to protect his clients' corporate reputation and drive their competitive advantage through integrated and effective risk management strategies, processes, and controls. Clay has led numerous regulatory-driven look-back and remediation efforts requiring a risk-focused analysis, determination of scope, and with frequent regulatory communication and coordination.

Lou Bladel
Managing Director, EY

Lou is a Managing Director in the Forensic & Integrity Services practice. He is the Practice Leader for Intellectual Property Theft Services, which assists clients in responding to, investigating, and remediating intellectual property and trade secret theft. Lou and his team develop and implement comprehensive data integrity and security services. Lou consults with US federal law enforcement agency directors, government regulators and key executives of Fortune 100 companies, Fortune 500 C-suite officials and boards of directors from across industry on matters of economic espionage and insider threats.

Lou has over 26 years of federal law enforcement experience serving in the U.S. Marshals Service, Naval Criminal Investigative Service and the Federal Bureau of Investigation (FBI), retiring from the FBI in 2016. The majority of Lou's law enforcement career involved leading and investigating counterintelligence matters.