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THACHER ASSOCIATES, LLC

PROPOSAL TO

**THE STATE OF NEW JERSEY
DEPARTMENT OF THE TREASURY
DIVISION OF PURCHASE & PROPERTY**

**FOR: PREQUALIFICATION POOLS:
AUDITING AND OTHER RELATED SERVICES IN
SUPPORT OF DISASTER RECOVERY
(HURRICANE SANDY)**

RESPONSE TO RFP # 14-X-23110

Volume 2

**(Technical Proposal, Section 4.4.3 & Organizational
Support and Experience, Section 4.4.4)**

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Financial Capability - In accordance with Section 4.4.4.7, Page 27 of the RFP we are including a separate sealed package with 1 original and 7 copies of our Financial Statement and signed Certificate of No Change.



Thacher Associates' Technical Proposal (Section 4.4.3)

Thacher Associates, LLC (“Thacher” or “TA”) pioneered private integrity monitoring 17 years ago and continues to lead the discipline, monitoring billions of dollars of private and public construction projects in the region and beyond. Recently, the New Jersey Department of the Treasury (“Treasury”), in evaluating an unrelated proposal submitted for Integrity Monitoring services, commented that our team, “brings with it decades of experience in the integrity monitoring industry,” and has “extensive experience on large construction projects.” Further, we demonstrated the “a quick mobilization plan” and a “detail oriented and intensive project management approach.” As Treasury noted, Thacher is “a contractor that knows Integrity Monitoring and understand the details of the industry.”

Our proposed technical and management approach for performing services sought under RFP #14-X-23110 Prequalification Pools: Auditing and Other Related Services in Support of Disaster Recovery (Hurricane Sandy); **Pool 3 – Integrity Monitoring/Anti-Fraud** follows.

TA is the leader in providing integrity monitoring services. We have demonstrated the capacity to undertake complex and sophisticated integrity monitoring engagements, investigations and due diligence assignments, such as Mayor Michael Bloomberg’s post-Hurricane Sandy Rapid Repair Program, the federally-funded cleanup at Ground Zero, the major excavation and construction project at the Croton Water Treatment Plant, many transportation and infrastructure mega-projects for the Port Authority of New York and New Jersey (“Port Authority”), including post-Sandy cleanup at our Port Authority engagements, the Metropolitan Transportation Authority, the Massachusetts Highway Department, and the New York State Thruway Authority.

Our experience in large scale wide-spread residential disaster recovery projects includes New York City’s post-Sandy Rapid Repair Program, a \$500 million program designed to perform emergency repairs to residential properties affected by Hurricane Sandy. TA has successfully monitored four of the prime contractors responsible for the repair of thousands of residential properties for the City of New York as part of Mayor Bloomberg’s post-Sandy Rapid Repair Program.

To date, New Jersey has been allocated \$825 million in homeowner housing reconstruction, rehabilitation, elevation and mitigation projects through the Housing and Urban Development’s Community Development Block Grant program and will require a firm with experience in monitoring large-scale, geographically wide-spread residential construction projects. Most recently, New Jersey awarded three contracts for the management of the Reconstruction, Rehabilitation, Elevation and Mitigation (“RREM”) program to Gilbane, URS and Shaw. We are uniquely qualified to provide Integrity Monitoring services for this program. As explained above, we were selected by the City of New York to monitor four residential repair contractors for their post-Sandy recovery. We were selected over several of our competitors to monitor the firm selected as the program manager of the residential rehabilitation program. This same contractor was recently awarded a contract for program management of New Jersey’s program. We know the contractor’s means and methods, where their controls are weak and need

to be supported, and are familiar with their operations. This familiarity would allow us to perform this work more efficiently and effectively than any other monitor. We would strongly encourage New Jersey contact the NYC Department of Investigations Assistant Commissioner Mike Carroll (contact information located in our Organizational Support Section) to discuss our capabilities in monitoring this contractor, as well as, our preliminary findings.

TA has experience in capital construction projects at water and sewage treatment facilities through our successful monitorship of the Croton Water Treatment Plant excavation and construction project since March of 2007. New Jersey has been allocated \$229 million from the Environmental Protection Agency in the form of grants and low or no-interest loans for the rehabilitation of water and sewage treatment facilities and will require an Integrity Monitoring firm with experience in such facilities.

TA has experience in transportation and infrastructure projects through many engagements with the Port Authority and the MTA, such as the World Trade Center Transportation Hub and the Fulton Street Transit Center, respectively. Over \$231 million has been allocated from the Federal Transit Administration to NJ Transit for recovery and relief efforts and the need for an Integrity Monitoring firm with substantial transportation project experience will be great.

Whether the Hurricane Sandy Recovery and Rebuilding Project involves residential housing, water and sewage treatment plants, or even transportation and infrastructure projects – Thacher has the experience New Jersey needs.

As a result of our successes in addressing the problems of organized crime, labor racketeering and other forms of corruption and waste in integrity monitoring engagements by devising opportunity-blocking strategies, we have earned a reputation as one of the foremost integrity monitoring firms. We know how to establish transparency and accountability in business transactions.

TA approaches this engagement with a well-developed sense of what we need to accomplish. Generally, federal disaster recoveries have suffered enormous reputational and financial damage due to the extraction of substantial resources from recovery projects by organized crime, labor racketeering, political corruption, and poor oversight. These problems are well known, and the public demands that they be solved. It is understood by public agencies developing such projects that there will be public scrutiny of the projects and that missteps will adversely affect the reputations of the agencies and their executives, erode public trust, and hamper the agencies' ability to obtain additional project funding if necessary.

It is with these considerations in mind that we develop a scale for measuring the success of our integrity monitoring engagements. Our internal "report card" addresses the reality that we cannot eliminate but should be able to control these problems, and requires us to answer the following questions in a satisfactory manner:

- Are we able to keep organized crime out of the program?

- Are we able to keep labor racketeers out of the program?
- Are we able to prevent collusion, price fixing and bid rigging?
- Are we able to minimize systemic corruption and program corruption?
- Are we able to keep corrupt politicians and public officials out of the program?
- Have we been able to create a level playing field and eliminate entry barriers?
- Have we set the correct project tone on the project for law abiding and ethical conduct that discourages cheating, stealing, no-shows, and featherbedding practices?
- Have we devised corruption and racketeering opportunity- blocking strategies that are practicable and effective?
- Have we been sensitive to project needs, Sandy victims, homeowners, and the overall objective to build on-time and within budget?

We are confident in our ability to meet these criteria and address the needs of New Jersey in any engagement. In our prior government careers, we too have had to protect a multi-billion-dollar taxpayer funded projects. Our senior staff members were leaders in the development of integrity monitoring and supervising monitorships during their service as senior members of the Office of Inspector General for the NYC School Construction Authority (“the SCA”) and the New York State Organized Crime Task Force (“OCTF”). We literally wrote the book, “Corruption and Racketeering in the NYC Construction Industry” (NYU Press, 1990) that created this and many other innovations for entrenched problems in the construction industry.

We understand what New Jersey needs and does not need and, most importantly, how to deliver what you need. We also understand the fine line and delicate balance between the operational needs of a governmental agency and an integrity monitor’s mandate. We are intimately familiar with how to address that balance in a manner that is helpful to the agency’s operations while responsibly discharging the monitor’s duties. We also understand how to work effectively as an arm of the Inspectors General or program office responsible for directing the integrity monitor.

We bring several decades of integrity monitoring “lessons learned” to this engagement and anticipate that no integrity issue on the Project will be new to us. We are able to assess the needs of this engagement in an efficient and effective manner. The breadth of our experience gives us extraordinary knowledge – knowledge that distinguishes us from other firms that seek to provide integrity monitoring services.

Our knowledge arises from combined sources, not found in any other proposers, including:

- our substantial experience in providing construction monitoring and conducting forensic investigations of construction activities;
- our proprietary database of criminal and regulatory construction industry information, formed over the course of three decades, and updated daily and our proprietary data analytics;

- our substantial in-house technical expertise, based in part on our unique focus in joining experienced investigators with qualified and forensically-trained technical experts; and
- unique informants and sources of information —throughout the industry, media, academia, regulatory authorities, and law enforcement agencies—we have developed in the course of our many years spent conducting investigations, managing integrity monitoring engagements, and solving integrity problems in the construction industry.

We also have an important technical advantage that will benefit the Project, derived from the recent acquisition of TA by K2 Intelligence. Our management of the engagement would utilize sophisticated analytic tools that K2 has developed. Our experience in providing integrity monitoring services in the context that is contemplated by this RFP has shown that a tremendous amount of data will be created and submitted from various disparate sources. We have developed an analytical investigative process, aided by our technology tools, which allows for the correlation of financial transactions and relationships that otherwise would be inefficient to find. Our tools will allow the project's data to be organized in a fully searchable format that will be available not only to TA project personnel, but also to the State Treasurer and the Using Agency. The use of these tools will create enormous efficiencies, but no additional cost to the State.

We have considerable experience working with large segments of the NY-NJ Metropolitan Area construction industry – construction managers, general contractors, design firms, trade contractors, specialty contractors, consultants, and with the many regulatory and law enforcement agencies that operate in that industry, including the New Jersey State Police (“NJSP”), the US Attorney’s Office for the District of New Jersey, and New Jersey County Prosecutors’ offices. One of the most difficult and potentially derailing challenges faced by any integrity monitor is establishing effective working relationships and the requisite trust with all parties involved in the project. It can be difficult and time consuming to convince operational-side project participants that the integrity monitor is there to help, not play cop, and indeed is capable of helping. TA has successfully established such independent but supportive relationships on our existing integrity monitoring engagements for many public clients.

We will have virtually no learning curve on this Project because of our experience and expertise, and the thought we already have devoted to this Project and its potential integrity risks, as discussed below.

Management Overview (Section 4.4.3.1)

Our overall technical approach focuses on practicality and real-world solutions, emphasizing site presence, to determine what is actually happening on the project. Our years of experience in integrity monitoring enable us to target project-specific risks, not wasting resources in areas that do not require scrutiny.

We know how to distinguish integrity issues from operational ones and focus our time on the former. Where we identify problems, our solutions get to the heart of the matter without nit-picking. Those solutions are designed to address and prevent integrity issues without burdening

the project's progress. We follow through to see if the solutions actually work and have created no adverse schedule impact.

Thacher Associates' technical approach has already proven incredibly successful on large-scale projects with very similar scopes of work. Our proven methodologies have had many successes on many projects. The in-house skills at our disposal to implement this approach include forensic accounting; forensic, environmental, and safety engineering; research and intelligence analysis; investigative; and data analytics.

Risk Assessment and Implementation of Compliance and Control System

We begin most engagements with a review of contractor integrity and we have ample experience performing this function. Thacher senior management invented this process when we led the SCA Inspector General's Office and implemented it in review of thousands of SCA contractors. We employed the reviews as the first step in the debarment of more than 250 contractors from SCA projects.

We adapted these same techniques to deliver expert vetting services to our clients. In many of these engagements, we have designed the Background Qualification Questionnaire ("BQQ"), the standards for evaluating responses, and performed the research necessary to vet the completed BQQ. Government and private clients have credited us with perfecting the Background Prequalification Questionnaire, having vetted it with the U.S. Attorney's Office for the Southern District of New York; the Manhattan District Attorney's Office; and other law enforcement agencies. Likewise, our proprietary Background Investigation Protocol has been honed and continues to evolve in Thacher's Research and Analysis Department.

Moreover, we expect to get ahead of the curve early in the engagement to prevent improper conduct by contractors. Drawing on our ample experience in WTC and other mega-project engagements we would provide contractor "kick-off meeting" presentations and integrity awareness training, defining the applicable standards and expectations. Our integrity awareness training would be provided to the contractor's executive and project management, administrative and accounting staff, field supervisors, and subcontractors at all tiers, to deliver the strongest possible message that integrity counts on the project. We would hope to do this at the procurement stage, if possible, otherwise promptly after a contract award. We would make contractors and vendors aware of the integrity standards and oversight mechanisms, including the Integrity Monitor's role. The integrity awareness presentations would foster proactive deterrence in discussing "do's and don'ts" along with "lessons learned."

We will build on our previous experience developing risk assessments and corruption prevention programs to minimize the time and expense required to perform them on these projects.

Our approach to reviewing procedures and processes is designed to identify and implement best practices to provide reasonable assurance that controls placed over monitored activities are adequate, are being complied with, and are operating effectively. Our primary focus

is identifying useful control enhancements in any area with high potential integrity risk, and testing those that are accepted.

We follow a four-step methodology for reviewing internal procedures and policies. We identify internal controls that provide corruption and racketeering opportunity-blocking mechanisms. Then we interview executive management, operational supervisors and line staff to learn how they say or believe the system works to protect itself. We identify any variations in business procedures and internal controls understanding among managerial and staff personnel and variations between these understandings and written rules. Lastly, we perform spot audits of specific transactions to test how the system actually works. They also determine whether additional systems “disconnects” or red flags may exist.

We conduct the controls review process as a team-building exercise employing our experience and insights and the wisdom and knowledge of operational personnel to accomplish the shared goal of limiting opportunities for waste, fraud and abuse. The process would create a risk assessment that identifies key integrity risks, evaluates the internal controls over these risks, and, where appropriate, makes recommendations for enhancing those controls.

Our team has the ability to understand these projects and the integrity risks they face. Below, we identify a selection of those risks as well as our customized solutions:

- **Change Order / T&M Fraud.** It is always a possibility on mega-projects and geographically wide-spread projects and programs, like residential rehabilitation, that contractors will include fictitious labor, material and equipment costs in time and material (“T&M”) charges. We helped devise powerful tools for controlling T&M abuse in response to a large spike in T&M work after Hurricane Sandy caused by the need to dewater and clean up flooded work sites and repair or replace damaged work. These techniques assisted the PA and the City of New York to help prevent fraud and abuse in the millions of dollars of Sandy T&M work. For both clients, we undertook extensive monitoring efforts to make sure that procedures were being followed, and corrected all deviations. As a result, T&M work has been documented in a clear manner and the possibility of widespread abuse has been averted.

We recommend projects adopt the same solutions that we developed for Hurricane Sandy: “real time” monitoring of field activities and verification of source documentation for labor, equipment and materials that are being used on T&M work to ensure that the T&M tickets and daily rosters are accurate; and that all work is being approved and inspected in a timely manner. We also recommend requiring that sign-in/sign-out sheets be signed at the beginning and end of shift by each T&M worker and monitored in twice-per-shift inspections. This will enhance the reliability of T&M field records, which auditors will have to rely on later to perform their audits.

Another potential risk is contractors seeking change orders for work that is actually within the existing scope of their contracts. To address this risk, we recommend making a forensic review of change orders as early as practicable in the process, to “set a

tone” demonstrating that integrity counts on the Project. On WTC engagements, the findings that we have brought to the PA’s staff have helped prevent improper shifting of existing work scope to change orders.

- **“Low-Ball” Lump Sum Contract Awards.** We have found that unscrupulous contractors submit low bids to receive contract awards, intending to make up for “lost profits” through change order fraud.

In order to address the risk of change order fraud and other kinds of cheating sometimes found in a “low-ball” bid situation, we recommend ongoing scrutiny of lump sum contracts where there is significant difference between the low bidder and the next lowest bid and/or the Project estimate. We would include in this review:

- scrutiny of possible front loading (including a comparison of billings to supporting job cost documentation and/or budgets and real-time verification of construction progress against schedule of values;
- comparing base scope to change order scope, and inspections of extra work to verify additional work scope;
- reviewing billings for general conditions, allowances and contingencies to confirm whether they are utilized as anticipated in the contract and that amounts are properly approved and supported; such review to include an examination of GC provisions in the CM and general contractor agreements and real time spot-checking to ensure amounts are not being billed more than once;
- confirming vendors’ and suppliers’ billings to ensure there are no fictitious entities or billings and ascertain whether they are being paid in a timely manner by the contractor;
- reviewing extra work tickets for completeness, accuracy, compliance with procedure and to spot red flags – including using records of Project access and payroll records to verify actual site presence;
- verifying that lien waivers are being obtained from subcontractors throughout the project and that final lien waivers are received; and
- verifying those materials invoiced for are actually the materials used.

- **Bid-Rigging.** Transportation infrastructure projects purchase an enormous amount of concrete and steel, and use substantial labor. The scope and size of such projects limits the possible field to those mega-contractors with appropriate capacity. Past experience demonstrates that the cartelization of the construction industry, whereby major functions are controlled by a limited pool of potential bidders, is a significant risk.

Limiting competition always carries with it a risk of bid-rigging and other anti-competitive practices. We would use our experience in the Big Dig engagement to attack this problem. On that project, we evaluated a bid-rigging conspiracy in the award of the contract for the cable-stayed bridge over the Charles River, and identified the cost to the Project from the conspiracy. On similar projects, we would recommend employing

measures to shift damages and defined penalties to culpable project participants in the event of a bid-rigging determination.

- **Organized Crime and Labor Racketeering.** The extensive trucking required for projects creates a risk of organized crime infiltration; given the heavy involvement that organized crime has had in the metropolitan area trucking industry. The organized crime infiltration problem has also extended to trade labor unions. Given the extensive labor that will be required for these projects and the high cost of delay, there is a risk of labor racketeering schemes such as extorting improper payments and/or establishing no-show jobs. As a consequence of these risks, legitimate firms may stay out of the market.

To combat these problems, we recommend employment of measures that have successfully worked on our other projects: creating minimum integrity standards for all contractors, vendors and workers in order to participate in the project; conducting background reviews to assure that those standards are met; controlling access to the project so that criminal influences are kept out; and maintaining substantial project video surveillance. By maintaining a ubiquitous presence on the site, at contractors' offices, and other relevant locations, we would establish a proactive deterrent measure.

The experience of Mr. Stier, one of our Partner/Principal/Directors, in rooting out organized crime and corruption in Teamsters Local 560, and the working relationships he has developed with other trade unions, will provide indispensable value in guiding any projects organized crime and labor racketeering control efforts. So, too, will the experience of Mr. Prather, one of our Program Managers, as Director of Organized Crime Task Force when that agency led numerous investigations into labor racketeering and construction fraud, which produced RICO indictments and convictions of the leadership of the International Longshoremens' Association, the Operating Engineers Union, and their organized crime bosses. This experience is invaluable, since the indictments focused on the activities of road contractors – some of which will be bidding for contracts on projects.

- **Aging Infrastructure Renovation.** Given the age of the roadways and sheer size of such projects, unanticipated costs are certain to arise. This becomes an integrity issue if a contractor seeks to exploit them for inappropriate financial gain. Also unanticipated dangers may be presented, which an unscrupulous contractor might try to ignore for the sake of expediency.

Our SCA experience overseeing the integrity of many massive school renovation projects, and our recent experience as integrity monitor for MTA subway station renovation projects will be extremely useful in helping us to address the unique problems and hidden cost issues that arise on large-scale renovation projects, and appreciate how such projects differ from new construction projects.

- **Steel Testing and Procurement.** Large infrastructure projects will involve substantial testing of high-strength steel in order to make judgments whether to repair or replace the metal. There will also be substantial procurement of specialty steel and related dependency on steel availability from a limited number of specialty plant/ fabrication sources. In such instances, we also anticipate that there will be specialty welding of steel on-site and at steel fabrication plants. The financial consequences of these factors create potential integrity issues. Our approach to this problem would capitalize on our extensive experience in monitoring a steel fabrication company (Helmark), monitoring the extensive procurement of steel on the Hub project, and on our existing network of forensic experts in the analysis of steel-related issues.

- **Concrete Procurement.** These projects will involve procurement and placement of substantial quantities of high-strength concrete. Our recent experience on WTC projects has demonstrated that the scarcity of the resource gives rise to a potential integrity vulnerability. We would recommend the same approach to this problem that proved successful on the Hub project: encouraging the adoption of a strategy of removing unnecessary regulatory obstacles. On the Hub engagement we were credited with expanding the field of competition in concrete supply, and with bringing substantial savings to the project due to the increased competition.

- **Concrete Testing.** These projects will involve testing high-strength concrete to meet required technical specifications. Our recent experience on WTC projects demonstrates that the testing process is a potential integrity issue. We recommend the same approach to this problem that proved successful for us on the WTC Transportation Hub project: conducting forensic analysis of concrete test reports to determine whether there are patterns of test results that raise red flags. In our WTC engagements this approach identified falsified data resulting in the prosecution of the testing company and its chief executive. In order to prevent a recurrence of this problem, we worked with the Port Authority Materials Engineering Unit to help improve their controls/ procedures.

- **Design Contract Issues.** Projects within the scope of work include design contracts. In light of the recent prosecution of a major NJ-based engineering company for conducting a fraudulent billing scheme, and the substantial design business that we know is conducted by that company, we consider billing fraud on design contracts to be a possible risk. These design consultants will likely be billing staff by the hour. This presents a risk of paying for staff really not working on, or not working as much as stated on the project. Billing for staff by the hour that is supposed to be covered in general administrative or overhead costs is also a possible risk to be evaluated. Given the highly technical nature of design services, we recommend using a forensic engineer with design experience, and a forensic auditor to evaluate base-versus-change order scope issues and other potential fraudulent billing issues arising from design contracts.

Our ability to identify the unique integrity challenges of a Project and develop customized solutions will provide unique benefits.

Records Review, Forensic Audits, Oversight and Investigations

1. The Bidding Process

We understand which integrity risks are significant for procurement on large-scale projects and focus procurement monitoring on those posing significant integrity risks. By ensuring appropriate procurement practices are followed, we also limit the likelihood of bid protests and the success of any protests that are filed.

Our approach includes assessment of the subject company's policies and procedures and their applicability to lower-tier subcontractors and vendors. We identify need for improvements and during the engagement monitor adherence to policies. In solicitation phase construction procurement monitoring, we review RFPs to ensure proper procedures were followed and not written to favor particular contractors. We review bidding pools to ensure they were not stacked to steer work to a favored contractor and competition is adequate. During the submission and award phase, we attend bid and best and final offer ("BAFO") openings; ensure that proper bid receipt and opening procedures are followed (when not, identifying evidence of altered bids or other improprieties); attend scope meetings to ensure that bidders are given the same information and the playing field is level; review bids to identify suspicious bidding patterns and other indications of collusion or other integrity breaches; and review award recommendations and decisions or other documentation of the procurement history. We evaluate the Project's documentation procedures to see if a contemporaneous record is maintained that memorializes all key activities involved in a procurement decision and demonstrates that the procurement decisions are transparent and follow the proper process.

Our methodology enabled us to identify significant procurement issues on our past engagements. On the WTC Transportation Hub engagement, we established that CMs on the project were not fulfilling their responsibility to properly screen contractors' safety records, particularly for lower-tier subcontractors. This was a significant risk. While safety is always a concern on large construction projects, it is even more concerning on these highly visible mega-projects. Our procurement and safety specialists worked with the contractors to establish appropriate procedures for review of safety data, and to make sure that they were implemented.

Our engineers work closely with the team procurement specialists to evaluate technical issues. We identify subjects for a bid leveling review based on red flags such as contracts not going to the lowest bidder; BAFO process irregularities; too few bidders; sole source contracts; supplemental agreements; and departures from procurement protocol. We review the bid leveling process to evaluate whether procurement policies and procedures were followed, the process was fair and open, and that contract award recommendations were based on best overall value. We examine the RFP, subcontractor proposals, technical requirements, scheduling, alternates, unit pricing, labor rates, allowances, estimates, CM/GC estimates, and overall implementation of the bid leveling process. We attend bid leveling meetings, (possibly) pre-scope meetings, interview bidders and CM/GC engineers, estimators and other staff.

2. Payment Applications/ Requisitions

Keeping costs in line with original budget and estimates is a significant challenge in large capital construction projects. Excessive general conditions costs, scope changes, contingencies and allowances, change orders, and claims are over-budget contributors. Cost over-runs also may be a problem in a mega-renovation project like this. The key to containing, controlling, and avoiding these problems is to real time- monitor budgeted vs. actual costs.

We would track actual costs reporting for specific pre-determined budgetary categories in order to identify significant variances to be brought timely to the attention of the Using Agency, also testing for transparency, adequate documentation and sign-offs. On larger projects we identified several millions of dollars in excess general conditions and supervisory payroll costs, change orders and extra work not in the original budget, then offered our clients recommendations to help prevent them happening in the future. CM/GC payment applications are reviewed for appropriate documentation, adequately describing work components, quantities completed, and project and payment status. Review of “pencil copy” payment requisitions are made at site and additional times during the month, to check for agreement between the invoiced amount and work completed.

As on our WTC projects, we would identify Project key financial fraud risks. Our concerns are potential CM and trade contractor integrity risks in front loading; excessive general conditions; double-billing/commingling of labor, materials and equipment between lump sum and T&M work; excessive supervisory labor; unsupported or excessive overtime; lack of supporting documentation (especially subcontractors); change orders; and scope changes/charge backs. All forensic accounting activities would be closely coordinated with existing oversight such as internal auditors and project desk auditors for maximum synergy and eliminate duplication. On PA engagements we have actively collaborated with the Internal Audit staff and WTCC desk auditors, leveraging existing resources to avoid duplication of tasks already being performed.

Crucial processes and internal controls that govern the significant integrity risks are our monitoring focus, payment of requisitions and change orders for example. On our WTC engagements, flow-charting internal control procedures helped identify weaknesses, prompting recommendations to the internal control process implemented by the contractors.

Our forensic accounting approach includes analysis of CM requisitions and supporting documentation, including billings for self-performed work, general conditions and other direct costs, supervisory labor, material and equipment billings. On our engagements, we documented the CM’s attempt to charge under general conditions not reimbursable costs, unexplained supervisory labor costs increases, excessive supervisory overtime, cost miscoding, and lack of subcontractor submittals such as certified payrolls and lien waivers. Several findings prompted recommendations that led to improvements.

Our forensic accounting includes directly confirming transactions with material vendors and suppliers to verify the completeness and accuracy recorded on the general contractor’s books

and to identify potential fraudulent vendors. Compliance with procedures for the purchasing, storage and insuring of materials is also reviewed. Recommendations for enhanced integrity risk management and pro-active deterrence may follow. "Drill-down" reviews of subcontractor documentation and support including invoices, cost loaded schedules, certified payrolls, lien waivers, proof of insurance and bonding, change order approvals, and proof of payments to lower-tier subcontractors.

Thacher forensic engineers work with our auditors to monitor requisitions and evaluate the potential integrity risks, such as front-loaded payments. Trained and certified in Primavera construction scheduling software used by large public owners/developers, our engineers periodically spot-review project schedules for accuracy. Under our monitoring approach we compare the owner's and CM's schedules to cost-loaded schedules. We identify schedule-based agreements and commitments between projects and stakeholders within and around the site in order to identify project milestones and the possibility that a milestone problem is affecting the schedule reporting.

On a spot basis, we compare payments to subcontractors under their cost-loaded schedules to the reported schedule progress. We attend project coordination meetings where delays, recovery plans, and other schedule issues are discussed. We compare reported progress to our site observations. If documentary analysis described above reflects anomalies, we make specific site observations. We evaluate the possibility of front-loading fraud such as theft (for overbilling), default (after positive cash flow from overbilling or frontloading is exhausted), and delays (via deliberate obfuscation of the work in place to give the impression of greater construction progress than actually achieved). We determine if the amounts billed accurately reflect construction progress, and check the schedule of values to verify that the budget distribution is reasonable and does not overload early action items.

We believe in utilizing a robust field presence. This approach allows for the gathering of significant information to utilize in our document and record reviews. Reflecting our multi-disciplinary approach, we also use headcounts and other fieldwork by our investigators to assess payment applications, which often identify disconnects and red flags with questions that would not surface in ordinary desk audits.

3. Change Orders

Our forensic engineers review the original contract's scope, the proposed scope change, the justification for the change, the independent estimates, the adequacy of supporting documentation, adherence to policies and procedures, cost reasonableness, and applicability of cost allocation agreements. These reviews aim to ensure that base scope work is not charged again in the change order and that the costs are not inflated. We review RFI processes for the presence of red flags or suspicious patterns. We create a checklist of required documents and procedures, using the Project's policies and procedures. Where appropriate, our team prepares an independent estimate for comparison, to verify the accuracy of material quantities, the use of established unit pricing and the overall cost reasonableness. Site visits are performed to verify

that the actual work is in place and is representative of the change order scope. Interviews of contractor staff and Using Agency personnel are performed as needed.

All change order documents are reviewed for compliance with procedural requirements. The contractor's proposed costs for the change order are compared to the CM/GC estimate and the Using Agency estimate. We track change order payments against the budget established for the change order to protect against potential overbilling issues.

4. Contractor/ Vendor Payments – Preventing False Payments

Our forensic auditors and forensic engineers monitor processes known to be subjects of abuse by unscrupulous contractors. In the sections above, we gave examples in our review of requisitions and change orders. Other areas of concern and our methodologies for addressing them are described below.

General Conditions: Similar requirements for general conditions work may be covered in the CM's, general contractors, and lower-tier subcontractors' agreements. CM general conditions labor, material and equipment could be used to remediate design and construction errors without properly documenting costs and appropriately back-charging them to the responsible party. We examine general conditions provisions in CM and contractor agreements and spot check performance to see whether the work is appropriately billed. We also check to see if lower-tier contractors are performing general conditions work.

T&M Work: Many lump sum change orders that start as time and materials ("T&M") work are settled as lump sums using work tickets as a negotiation starting point. It is nearly impossible to detect work ticket padding in after-the-fact review. We identify T&M work in real time and review processes as written and actually performed to see if accurate, complete documentation of labor, materials and equipment is created in a timely manner. On a spot basis, we do head counts, and quantify materials and equipment used to verify subsequent ticket submittals, thus identifying potential overcharges and recoveries or confirming T&M charges don't include base contract work. On recent engagements our work has been instrumental in getting CMs and contractors to track costs in accordance with meaningful standards.

Allowances, Contingencies, Acceleration and Holds: We review the contract, defining conditions in which such funds may be spent, examine supporting documentation for associated category costs, and field-verify work has been performed, confirming budget items are not being used as an additional funds source for work outside specified purposes.

Quality Assurance and Control ("QA/QC") Reviews: We seek to prevent/identify materials substitutions, and use of "knock-offs". For selected work items with potential integrity risk we review technical QA/QC specifications and spot check compliance through field observations (covert or escorted) to see if required inspections and other processes, materials and equipment, were followed, installed, and/or used. We follow-up review document submittals (i.e. inspection reports) that correspond to the forensic engineer's field observations to ensure

compliance and confirm field observations. We also interview engineers and other technical staff of the CM, general contractor, subcontractor, supplier, and the PA.

Credit Change Orders and Charge-Backs: Our technical specialists identify safety, environmental and other compliance requirements in lump sum contracts and evaluate contractors' compliance efforts. We've successfully pursued charge-back strategies where the requirements were not satisfied, and obtained recoveries for our clients. More importantly, these strategies have spurred enhanced compliance with the contract requirements.

5. Compliance with Labor Laws and Collective Bargaining Agreements/ Prevention of Certified Payroll Fraud

Our labor law monitoring consists of site visits for: prevailing wage interviews of the trade workers and supervisors; headcounts; identifying overtime work; obtaining supporting documentation from workers, such as pay stubs; observing on-site worker activity and behaviors; observing paychecks distribution from contractor to workers; examining paychecks where appropriate; and otherwise obtaining information about site activities relevant to labor law compliance monitoring. We site visit during the usual working hours, second shift, evenings and weekends.

We also visit contractors' and subcontractors' offices to access the firms' internal records (such as payroll registers, union remittance reports and checks to trade unions) to verify proper wage and supplemental benefit payments. Information on certified payroll reports and information in the internal records and that obtained during field interviews are compared.

We spot-compare site access records and other sources of information (such as shop steward logs) to certified payrolls to determine accuracy and completeness, and possibly to detect no-show workers and improper cash payments. As prevailing wage interviews are performed and checked against certified payroll reports, workers will be selected to receive prevailing wage information letters that solicit identical details inquired during a prevailing wage site interview: wages and benefits received; nature of work performed ("classification"); and days and hours worked. Our letter allows a worker to answer wages and benefits questions in the privacy of his home, instead of in front of co-workers, foremen and supervisors.

We observe the apprentices-to-journeymen ratio for compliance with prevailing wage requirements and billing for work. On an existing project, this aspect of our monitoring detected a significant overbilling: apprentices being charged at journeymen rates for acceleration work.

We also contact trade unions, seeking their cooperation to independently verify benefit payments, especially unions subject to government intervention, trusteeship, monitorship or international control. We make benefit payments a focus because our findings of prevailing wage violations on certain current projects have primarily been regarding benefit shortages.

Where a trade union has a monitor or integrity officer, we develop a working relationship with that person, seeking intelligence from these sources on industry trends, emerging schemes,

and the workers assigned to the project, so that our monitoring strategy is aware of potential problems from new industry developments.

Detailed analysis of contractor and vendor records and “drilling down” to underlying supporting documentation is necessary for identifying possibly organized-crime connected contractors and trade workers. It also supports our efforts to find benefit violations involving out-of-town trade union workers. By developing intelligence sources and varying our site visits we’ve identified integrity breaches such as a midnight shift no-show union shop steward, whom we identified early in the Hub engagement (and who was subsequently removed from his position).

We focus our prevailing wage fieldwork, interviews and headcounts, on particular contractors, on a rotating basis, to achieve proactive deterrence and transparency. Greatest emphasis is given to trades and contractors with past integrity issues. Intelligence we develop regarding possibly corrupt relationships between contractors and labor unions is used to determine potential targets. We also target contractors performing cost plus work, detailing technical staff needed to distinguish cost plus from lump sum workers in auditing. We use project information available in daily look-aheads, project-coordination meetings, and other sources to effectively target our resources.

For all trades we review CBAs to become completely familiar with all “non-productive jobs” provided for in them. The personnel who fill these jobs are identified to see whether they actually are on site to prevent or detect no-show jobs. Because we conduct these activities in a cooperative manner, to facilitate workers’ support we develop excellent information and project intelligence. On existing engagements this has enabled us to detect no-show jobs and other improper schemes.

6. Compliance with New Jersey Small Business Requirements and Goals

A legitimate New Jersey small business cannot be a pass-thru entity just to satisfy the Small Business set-aside requirement.

Our experience in monitoring M/W/DBE subcontractors on WTC and MTA projects is directly applicable to monitoring a Small Business Subcontractor (“SBS”). We developed our expertise in monitoring M/W/DBE compliance on large construction projects in the mega-projects we have monitored for the PA and the MTA. At the MTA’s direction, large public contractor Judlau retained us to independently review and instill best practices in its company-wide M/W/DBE compliance programs, and assess their implementation. Our similar engagements involve analysis and improvements of corporate M/W/DBE compliance programs of large public works general contractors Skanska, Schiavone and Dragados.

We will test the bona fides and independence of the SBS by observing it at the construction site, its labor force and supervisors’ identities, and determining ownership or financial responsibilities for equipment in use. Workers and supervisors of the SBS and general contractor employees will be interviewed about the SBS and its general contractor relationship.

SBS management will be interviewed at the entity's headquarters. We will monitor how GC senior management ensures the SBS performs actual and necessary services and complies with opportunity program rules. When able, these tasks are combined with our labor law compliance monitoring and similar activities. Our approach has successfully identified M/W/DBE pass-throughs on our existing engagements.

7. Environmental and Safety Compliance Monitoring

In our initial environmental and safety compliance monitoring we identify the comprehensive systems and staffing needed to address identifiable hazards. In monitoring we sample relevant processes to see whether identifiable risks are being addressed.

On our public mega-project engagements this approach, in close consultation with our clients, has delivered high value including identifying need for and then recommending an emergency response plan and onsite medical facility; timely demolition plans' submission; improved tower crane compliance; and improved vehicular safety, fire safety, compressed gas cylinder storage and labeling, sling inspections, heavy lift planning and worker tie-off safety practices. Our environmental recommendations, governing Environmental Performance Commitments (special agreements on WTC air quality, noise minimization, soil management, and other projects) also have been adopted.

When we move to our sampling approach we spot-monitor specific significant risks, some of which are described briefly below.

Trucking – Construction Waste: The trucking manifest is the key control identifying the material to be removed from the site and its proper handling. Monitoring this control depends on maintaining an extensive field presence, so we can determine in real time whether the manifests are being used properly. On existing engagements we have established violations such as non-use of manifests, incomplete manifests, and pre-signing manifests, which undermine the value of manifests as controls that reliably identify the nature of the material and its proper disposal.

We also visit disposal facilities to confirm materials were taken to a correct facility for the materials and disposal was appropriately memorialized in receipts or other documentation. We also review manifests and disposal tickets for truckload weight analysis, to identify instances and patterns of overweight trucking to prevent additional dangers to the public and its roadways.

Hazardous Waste Management: Our WTC experience in monitoring hazardous waste will be valuable if hazardous waste disposal is necessary on the Project. Hazardous materials' improper handling creates risks for the Using Agency via potential contamination of other materials and their storage areas. Once we identified potential problems on the WTC projects we worked with the PA and contractors to develop proper handling and spill clean-up procedures. Our efforts succeeded. Potential liability for improper disposal of contaminated soils was avoided.

In monitoring hazardous waste management, we review the contractor's written plan and conduct field inspections to determine proper implementation and plan compliance. In our written plan review we will determine if the plan adheres to the Using Agency standards and regulatory requirements. Our field inspections determine if the written plan has been properly implemented. If our inspections reveal spills we will provide immediate Using Agency notification, follow-up and monitor the clean-up so that contaminated materials are properly disposed.

Licenses, Training and Certifications: An individual or company may not obtain required environmental and/or safety licenses, training and certifications. Licenses and certifications may be falsified or obtained through corrupt methods. In any case, unqualified individuals or entities may not respond properly, risking the health of workers and the public, environmental damage, schedule delays, liability and financial penalties.

Our methodology includes identifying site-required licenses, credentials, training and certifications, auditing select contractors for regulatory requirements compliance, and verifying whether firms and individuals possess required licenses, training and certifications. We conduct on-site worker interviews and request compliance documentation; seek supporting documentation from contractors, training institutions, and other agencies; and ensure credentials are legitimate and approved by the appropriate government agency through independent authentication and analysis.

Permits: An individual or company may fail to secure required environmental and safety permits, or permits may be falsified or obtained through corrupt methods. Construction activities that adversely affect the environment may occur in either case, including illegal disposal of contaminated materials, health concerns for the workers and the public, accidents, schedule delays, liability and fines. We identify required permits and their renewal periods; request, review and evaluate requested permits' copies from the CM, contractors, and issuing government agencies; audit a selection of permitting requirements; ensure permits are legitimate and independently authenticate permits via issuing government agency verification.

Non-Performance/Selective Performance: A contractor, consultant or testing laboratory may fail to perform environmental and/or safety responsibilities from a corrupt act such as bribery, or by cutting corners to reduce costs and save time. The safety and environmental danger from these failures may put workers and public at risk. Our methodology includes compiling a list of individuals with specific safety responsibilities to document them; auditing safety-related work of targeted individuals to verify their requirements are satisfied; field observations and interviews to check compliance with regulatory requirements; and confirming the absence of no-show jobs that may affect safety compliance.

Submittals: Required environmental and safety documents may not be completed, falsified, inaccurately completed, not timely submitted or may be altered after approval. In such cases incidents or exposures on the project may result. We review regulatory requirements; identify project-required environmental and safety submittals and select them for inspection; determine whether documentation is complete, accurate and satisfies the regulatory

requirements; and monitor documentation integrity by inspecting them for signs of falsifications, and independently authenticating them.

Contractor Environmental/Safety Record: Contractors with poor safety records and/or a history of environmental violations may be contracted by misrepresentations, or their safety and environmental record may change during contract pendency. On a spot basis we check prospective contractors' provided information for accuracy; and independently authenticate the environmental and safety information of targeted contractors. We also periodically review contractor safety records for long-duration contracts to determine if standard industry safety measurement metrics, such as experience modifications rate or the Lost Workday Case Incident Rate, have changed during the life of the contract.

8. Insurance Certifications and Bond Payment Reconciliation

To ensure that required insurance policies and bonding are in place, Thacher will review contracts and bonding requirements, then request and review original policies from underwriters. Copies will not be accepted as proof of coverage. We will spot check policies and riders to ensure that all appropriate legal entities (i.e. subsidiaries) and projects are covered. To ensure policies have been paid, we review original invoices from brokers and spot-review cancelled checks or bank wire confirmations. If policies are paid via installment we will spot check monthly payments against cancelled checks or bank wires. To ensure proper coverage over the life of the project, we will monitor policy expiration dates. Additionally, Thacher will periodically spot check policies against adjusted contract values to ensure that additional insurance and/or bonding requirements resulting from new awards, scope changes, or change orders are sufficiently maintained.

Contract Management (Section 4.4.3.2)

Our contract management approach has enabled us to successfully perform a diverse array of integrity managing engagements.

Work Plan Methodology

Our key technique for contract management is our work plan methodology. It addresses a key problem in monitorships – how to stretch limited resources in a manner that responsibly discharges what is often a formidably large monitorship scope of work. A rote response will not generate the needed focus, nor produce a satisfactory approach to integrity monitoring. It certainly will not be responsive to unforeseen problems, even though those unforeseen problems will crop up, demanding time and attention.

The work plan describes how we will monitor known integrity risks. It acts as a guide defining tasks to be performed by us, establishes milestones, deliverables and deadlines, creates a time-per-task projection and financial budget, and identifies contingencies. Prepared in consultation and subject to our client's approval, the work plan creates the tool for meaningfully assessing the client's needs. It provides the mechanism for targeting monitorship resources,

allocating them where needed, and rapidly shifting those resources to address new problems. It creates the basis for prioritizing tasks and creates the standard for our accountability. It assures that our work will be what New Jersey seeks.

Our work plan methodology is not self-executing and requires a great deal of communication to remain responsive to our clients' changing needs in fluid circumstances. From our experience we know there is no facile substitute for the hard work that is necessary to assure client satisfaction. Therefore, at the outset of an engagement we meet with our client to discuss expectations and obtain information necessary for devising, and revising our work plan. We discuss and resolve any issues that may arise during this process so that we have a meeting of the minds regarding the work we are to perform, *in advance of performing the work*.

Implementation of our work plan methodology enables clients to manage costs effectively and contributes to our ability to "set a tone" early in the Project so we can scale back our time commitments and related costs over time.

Mobilization & Implementation Plan

Quickly mobilizing integrity monitoring teams for large engagements is not new to Thacher. Recently, after Hurricane Sandy, we responded capably to New York City's emergency Rapid Repair program. We quickly staffed an additional 25 investigators and forensic specialists to monitor contractors making city-funded repairs. This engagement has already yielded significant preliminary findings.

If we are awarded a Task Order, our team will be assembled and ready to begin work within five (5) business days of receiving a Notice to Proceed. The personnel and management structure of the team will comport with the organizational chart submitted in response to the Engagement Query.

Client Communications

As our work progresses, regular and frequent client communications assure that our work is responsive to New Jersey's needs. In other engagements, we routinely keep the client informed of pending work progress and proposed new initiatives. We hold regular meetings and additionally communicate via teleconferences, email, and written work product. Our weekly "look-aheads" describe monitorship tasks planned for the coming week. Together these communications are a mechanism for knowing whether we are meeting our clients' expectations. We are mindful of the value of our clients' time and always seek to communicate in the most efficient manner.

Team Supervision

Our project management approach provides close supervision of each project team. Thacher engagements are staffed with one Thacher principal as well as a project manager. They work together to maintain direct client communications, ensure the quality of our work product,

and enhance the team's efficiency. This team approach is carefully coordinated to enhance our team management and avoid duplication.

We manage our team by defining goals and objectives, specific tasks, and allocating resources to perform the tasks in our work plans. Our Project Manager's key responsibility is keeping everyone on task, according to the plan. With tasks in the work plan defined to the client's satisfaction project management makes sure the work is proceeding as planned, and the team is a coordinated, integrated unit.

TA's internal management structure ensures complimentary supervision. Internal supervisors – our chief forensic engineer, our forensic audit manager, our senior managing investigator, and the manager of our intelligence and analysis unit – supervise the staff members within their respective disciplines and maintain quality control/quality assurance. All senior-level personnel are in the same location, which also distinguishes us from other integrity monitoring teams.

Our integrity monitoring project management approach assures that goals and objectives are clearly defined in our integrity risk analyses, and schedule and budget are clearly defined in our work plans. These methodologies need to be clearly understood in order to be effective. For that reason, TA does not outsource to sub-consultants any project management function. An in-house staff member carefully schooled in the Thacher approach manages every engagement.

We conduct regular team meetings for all personnel to collectively report on our activities and developments affecting the engagement. Team meetings assure that our activities are coordinated among all disciplines and members. When insights and findings of each discipline are shared with and incorporated into the strategies of all other disciplines, the synergy helps us avoid duplication. Coordination of team activities and integration of our services are the hallmarks of our day-to-day management.

We have demonstrated 24/7 ability to execute our plans and respond to the needs of our engagements. Making duty officer assignments on a 24/7 basis, as we do in other engagements, assures our always availability for exigencies.

We know the quality of our work product must stand up to scrutiny years after our engagement is completed, by representatives of New Jersey, regulators and legislators regarding the extent to which we were able to assist in preventing waste, fraud, abuse and corruption, and detecting where it has occurred. We know that maintaining our own high reputation mandates the continuing quality of our work. Our commitment to the concept of integrity monitoring and appreciation for the experience of supporting the government in our existing engagements reinforces our dedication to providing the highest quality work possible. There is no more important work that we could be doing. We are committed to performing it now and in the future to the highest possible standards.

Potential Problems (Section 4.4.3.4)

Since these are New Jersey's first projects with integrity monitors, our role may not be understood by the contractors, and we may encounter resistance and lack of cooperation from them. The reason is that project integrity monitoring is a relatively new concept and not well understood in the contracting community. Moreover, in our experience, compliance tasks may be seen as irrelevant and even as obstacles, to the timely completion of the project.

➤ We have successfully addressed this problem on the WTC projects with a team-building approach and with integrity awareness training sessions with the contractors. We have also participated in project kick-off meetings, so we could explain to new contractors the role of the integrity monitor. On these projects, we would begin the integrity awareness training sessions early. We would hold the training sessions and project kick-off meetings as an opportunity to begin the team-building approach early on in the project, so that the integrity standards are understood early. We would tailor our approach to the actual integrity monitoring knowledge and experience of the contractor.

➤ Moreover, we would provide more intensive monitoring services during the first stages of a project, so that the lessons learned early in the project can develop traction with the contracting community. This will also have the salutary benefit of reducing the monitoring costs later in a project.

➤ Our planned hands-on approach is of course dependent on being able to get to the Project quickly; distance from the Project cannot be allowed to become an obstacle to proper performance of integrity monitoring functions. In order to address this issue, we have taken steps to establish a New Jersey office which we can operate most efficiently to perform this contract.

Another potential problem arises from the long-term nature of these projects. Maintaining an organized institutional memory will be of enormous importance in assuring consistency of approach.

➤ We have an important technical advantage that will benefit the Project, derived from the recent acquisition of TA by K2. Our management of the engagement would utilize sophisticated analytic tools that K2 has developed. These tools will allow the project's data to be organized in a fully searchable format that will be available not only to TA project personnel, but also to the relevant Using Agency. The use of these tools will create enormous efficiencies, but no additional cost.

Additional potential problems include: the sheer size and geographical spread of these projects; our retention after the commencement and award of a substantial portion of a project, the uniquely complicated site logistics posed by either continuing heavy use as transportation infrastructure which must be maintained and protected during construction or multiple geographic wide-spread sites found in residential recovery projects, and the existence of multiple stakeholders.

➤ We have encountered and overcome all of these problems in our prior integrity monitoring engagements through close coordination with the client so as to develop a consensus on what are the principal risks and monitoring priorities. With that consensus, we are able to establish effective lines of communication with the contractors to gain timely access to documents and information. Through frequent attendance at project meetings and at the site, we establish our role and its importance to the client.



Thacher Associates' Organizational Support and Experience (Section 4.4.4)

Below we set forth Thacher Associates, LLC's ("Thacher" or "TA") organizational support and experience that makes it the most qualified firm for performing the services sought under RFP #14-X-23110, Prequalification Pools: Auditing and Other Related Services in Support of Disaster Recovery (Hurricane Sandy); **Pool 3 – Integrity Monitoring/Anti-Fraud.**

Thacher has been a leader in providing integrity monitoring services for all of its 17-year existence. We have been selected by our public-sector and private-sector clients for complex and sophisticated integrity monitoring engagements, and have never failed to perform those assignments successfully. We use a combination of innovative problem solving, informed by the experience and expertise of our staff, and hard work to address the problems that we are tasked with solving, and we do not accept a result other than success. As a result of this approach, we have earned a reputation as one of the foremost integrity monitoring firms. We know how to prevent and control fraud, waste and abuse. We know how to establish transparency and accountability in business transactions. We know how to address the problems of organized crime, labor racketeering and other forms of corruption in integrity monitoring engagements, by devising practicable and effective opportunity-blocking strategies.

Our capability for responsiveness to the needs of Hurricane Sandy Recovery and Rebuilding Projects is demonstrated by our substantial capacity to provide skilled managerial and professional resources for integrity monitoring engagements. We continue to increase our capacity to perform additional assignments by adding carefully-selected members to our staff, augmenting their credentials through additional training, and managing them so that we are assured that they have the benefit of TA's institutional knowledge and are performing in accordance with our high standards. We have a commitment to providing training to staff so they can maintain and augment their professional credentials. Attached as Exhibit A to this Section of Thacher's proposal is a chart summarizing the professional licenses and certifications of our staff. There simply is no other firm in the New Jersey area that has in-house all the required disciplines and staff in numbers sufficient to succeed as an Integrity Monitor for Hurricane Sandy Recovery and Rebuilding Projects. Our standard practice supports field staff in maintaining appropriate credentials for construction field monitoring, such as OSHA and scaffold certifications and track training, as well as professional credentials, such as CFE status or admission to the practice of law. Our staff also includes three (3) Certified Public Accountants

In this section of our proposal, we provide all details sought in the RFP regarding our operational location; our organizational charts for this Project and for the Firm; the resumes for all management, supervisory, and key personnel to be assigned to this Project; our backup staff plan; and our experience with contracts of similar size and scope; and the requested information regarding our financial capability.

Location (Section 4.4.4.1)

It is our intention to open a New Jersey office to augment the field operations related to this project. The New Jersey office will be at no-cost to the State and will allow us to minimize

any travel related expenses while maximizing the efficiencies that come with being located in the heart of the rebuilding efforts. Currently, the office of Thacher Associates, LLC, is located at 330 West 42 Street, New York, New York 10036, telephone number 212-845-7534. Joseph DeLuca is the contact for this project.

Organization Charts (Section 4.4.4.2)

The Organizational Chart for the Firm is identical to the Contract-Specific Chart requested in the RFP. It is attached as Exhibit B to this Section of Thacher's proposal. All members of our staff will be available to work on any task order issued pursuant to the Engagement Process outlined in the RFP. The specific staff assigned pursuant to an Engagement Query will be determined by their relevant expertise and the project's needs. These staff will be identified and an organizational chart will be provided with our response to the Engagement Query.

Resumes (Section 4.4.4.3)

Our selection of personnel to lead our integrity monitoring team is based on our knowledge of the key integrity risks that any disaster recovery and rebuilding project will face. We have already conducted extensive research regarding federal and State prosecutions of organized crime, labor racketeering, political corruption and fraud in the New Jersey construction industry in anticipation of these projects. A summary of our research is attached as Exhibit C to this Section of Thacher Associates' proposal.

Our staff is comprised of 50 individuals, each of whom devote all of their time to our professional engagements, including our Principals. Our staff can devote over 100,000 professional hours annually to our engagements, and we currently have the capacity to successfully perform integrity monitoring on any of New Jersey's rebuilding and recovery projects.

Our Staff is comprised of the following persons:

- Principals – Thomas D. Thacher II, Joseph A. DeLuca, Edwin Stier, Vincent D'Amelio
- Managing Directors – Martin Aronchik, Don Campolo, Dyana Lee, Barry DeFoe, William Rogers, Paul Ryan, Bradley Breslin, Gerard Frech, Christopher Prather
- Director of Intelligence and Analytic Solutions Mitchell Silber
- Chief Digital Officer Matt Unger
- Director of Forensic Engineers Jim Murphy
- Senior Forensic Engineer Ken Casado and Forensic Engineers Mark Jackson, Shirley Wu, Michael Carrano, Besmira Ismailgeci, Michael Kokoszka, Lirdi Mexhitaj, Ilven Shyti, Eric Palummieri
- Forensic Safety Engineer Michael Normoyle
- Forensic Environmental Engineer Rudin Pistoli
- Director of Investigations Rod Leith

- Chief Investigator Salvatore Maggio
- Investigators Eugenio Torriente, Mark Duggan, Patrick McAllister, Jim Bush, Tim Feehan, Kevin McPartland, Joseph Cannatella, Gary Cimorelli, Harold Tallett
- Directors of Forensic Auditors Richard Vermeulen and Louis Vetter
- Senior Forensic Auditors Kevin Mullins, Dan Kassa
- Forensic Auditors Bob Cecere, Sarah Fattah, Jonathan Pitts, Insong Yun, Phillippe LaRock, Liam Richmond, Hoyt Hamlin
- Director of Research and Intelligence Patricia Napolitano
- Senior Research Analyst Rob Ellman and Research Analysts Melissa Kolis and Charlene Morales
- Administrative Support Erica Rodriguez, Virginia Barone, Sherry Chang, Carolyn Rynn

On these projects, we intend to assign the onsite representative role to former New Jersey State Police (“NJSP”) members. Former NJSP Major Salvatore Maggio will work with TA in selecting the most qualified personnel for these roles. The investigators we have recruited have significant investigative and command experience with the New Jersey State Police. Mr. Maggio and Messrs. McPartland, Cannatella, Cimorelli, and Tallett have been recruited for this matter because of their distinguished NJSP law enforcement careers and will fulfill the needs of this engagement as a first priority. Moreover, Mr. Maggio has already begun recruiting other investigators with similar backgrounds, for whom this engagement will also be a first priority.

Our team will also be supplemented by specialty subcontractors drawn from our extensive network, if needed for the engagement.

A more detailed description of the background and qualifications and relevant experience of our Team is set forth in their resumes, attached as Exhibit D to this Section of Thacher Associates’ proposal.

We anticipate that our uniquely qualified team will generate many successes if we are selected for engagement. Since this is New Jersey’s first experience with integrity monitoring, we feel it is important to keep track of the team’s successes, so that the value of the engagement can be demonstrated to agency executives, project managers, and funding sources. As part of our standard operating procedure, we will keep track of the engagement’s successes. We have a great deal of experience in doing so in our previous engagements.

Most importantly, our experienced staff understands how to provide meaningful findings and deliverables to the client. These projects require regular reporting to the Governor, State Treasurer and the New Jersey State Legislature. Our staff understands the importance of communicating the successes of the Integrity Monitoring program to high-level clients. As former prosecutors, our staff also understands, if necessary, how to communicate meaningful information to the New Jersey Attorney General, County Prosecutor’s Offices, and Inspectors General to assist in investigations and prosecutions.



Backup Staff (Section 4.4.4.4)

While it is dependent upon the Scope of Work involved in Engagement Query, Thacher generally will assign one Principal and one Project Manager to each project. The number of forensic accountants, forensic engineers, intelligence analysts and investigators will be project specific. However, Thacher Associates has a “deep bench” that provides us enormous back-up capabilities. As described in our Firm organizational chart, Thacher has 14 forensic auditors, 11 forensic engineers, 18 investigators, and 4 analysts. Further, many of our staff are experienced on disaster recovery and rebuilding projects through their work on the New York City Rapid Repairs Program.

Because of our commitment to assuring high-quality services, we continue to hire professional staff so as to stay ahead of the immediate demand for services. We hire in the expectation that we will continue to obtain new engagements; we do not wait to hire until after we have obtained new business. Our reputation and success are built on our high institutional standards of service, and we know that it can only diminish our reputation and success if we dilute our level of service by failing to expand staff in a manner proportionate with our business development plans. In keeping with this organizational approach, in the last six months we have hired 25 additional professional staff.

Experience of Thacher Associates on Similar Contracts (Section 4.4.4.5)

Our applicable experience makes us well-qualified to undertake this engagement. Below, we list eleven major projects/engagements relevant to this proposal for which Thacher Associates served as the Integrity Monitor. In the table for each, we give the particulars sought in the RFP, following which we set forth in narrative form the additional details.

TABLE 1

Project Title and Location	City of New York “Rapid Repairs” Program
Primary Consultant	Thacher Associates, LLC
Project Manager	Christopher Prather, Gerard Frech, Barry DeFoe, and Brad Breslin
Date Started	November 2012
Completion Date	2013
Total Construction Project Cost	\$500 million
Client	The City of New York
Contact Name and Contact Information	Rose Gill-Hearn Commissioner, NYC Dept. of Investigation 80 Maiden Lane, NY, NY10038 (212) 825-5913 Michael Carroll Assistant Commissioner, NYC Dept. of Investigation 80 Maiden Lane, NY, NY10038 (212) 825-3338



The Rapid Repairs Program is a major disaster relief program put into place by the City of New York to provide aid to qualifying homeowners affected by Hurricane Sandy. It is a free program to help residential property owners affected by Hurricane Sandy make emergency repairs. These emergency repairs allow residents to stay in their homes so that they can complete more permanent repairs. Emergency repairs include permanent or temporary restoration of heat, power and hot water, and other limited repairs to protect a home from further significant damage. As one of several integrity monitors for the Department of Investigation (“DOI”), TA was assigned to three of the prime contractors working on the project, as well as put in charge of monitoring the Quality Assurance firm overseeing the entire program. This is by far the largest scope of work for any integrity monitor in the program. Due to the sudden nature of the project, TA had to immediately increase staffing levels to meet the client’s needs; which we were successful in doing due to our “deep bench.”

TA’s monitoring team consisting of auditors, engineers, and investigators have maintained a constant site presence, creating a coordinated, cross-disciplinary approach that has identified significant issues and generated massive potential savings for the City of New York. This was achieved by coordinating observations of work in the field by TA engineers and investigators, with reviews of the related billings and records by TA auditors.

TABLE 2

Project Title	Croton Water Treatment Plant
Primary Consultant	Thacher Associates, LLC
Project Manager	Donald Campolo
Date Started	March 2007
Completion Date	End of 2013 (planned)
Total Construction Project Cost	\$3 Billion (planned)
Client	NYC Department of Investigations
Contact Name/ Contact Info	Commissioner Rose Gill-Hearn, NYC Dept of Investigations, 80 Maiden Lane, NY, NY10038; Tel # (212) 825-5900 Melissa Ballard, NYC DOI, 80 Maiden Lane, NY, NY 10038; Tel. # (212) 825-5918

The Croton Water Treatment Plant project is a major excavation and construction project, siting an underground water treatment plant and boring three tunnels to tie the plant into the existing NYC water system. As integrity monitor, we maintain a daily site presence focusing on security, safety, prevailing wage and fiscal control issues. TA monitors requisitions, change orders, certified payrolls and other fiscal processes. We also work in conjunction with DOI to conduct background investigations of proposed subcontractors and selected vendors (including MBE/WBE firms). TA monitors performance of the Community Outreach Office, a DEP entity created to assure employment opportunities for local residents. We maintain a working relationship with DEP compliance personnel, to whom prevailing wage issues are referred. Site



presence personnel maintain liaisons with local law enforcement and DEP Police in order to respond to security, enforcement and access issues.

Problems encountered have resulted from the sheer size and complexity of the project, necessitating scrutiny of a large number of entities. Monitoring tasks need to be carefully prioritized. In addition, the project is not confined to one site – there is an integral tie-in at the Jerome Park Reservoir that needs to be monitored as well as a planned force main (to carry waste materials) that will require extensive street excavation along its proposed path. In addition, there has been vocal community opposition to the siting of this project which must also be monitored to anticipate issues. These issues have been dealt with by coordinating with the client (DOI) to identify and focus on issues of immediate concern. Site personnel maintain direct communication with the client and coordinate activities as appropriate. In addition Thacher Associates has established an excellent rapport with NYC DEP personnel who are responsible for coordinating all construction in order to anticipate and respond to issues. As a result Thacher has been instrumental in facilitating resolution of site security and access issues. In addition, we have screened out a number of potential subcontractors by means of our vetting process. We also continue to spot check fiscal controls and monitor vulnerabilities such as soil disposal, change orders and MBE/WBE firms. We have remained within the monitoring budget.

TABLE 3

Project Title	Ground Zero Cleanup – 9/11 World Trade Center
Primary Consultant	Thacher Associates, LLC
Project Manager	William Rogers
Date Started	October 2001
Completion Date	June 2003
Total Construction Project Cost	\$250 Million
Client	NYC Department of Investigations
Contact Name/ Contact Info	Commissioner Rose Gill-Hearn, NYC Dept of Investigations, 80 Maiden Lane, NY, NY10038; Tel # (212) 825-5900

Immediately following the 9/11 terrorist attacks on the World Trade Center, New York City undertook one of the most daunting search and rescue, recovery, and clean-up operations ever faced by a municipality. In order to move forward at emergency speed, with thousands of workers and hundreds of contractors and multiple government agencies all involved in a construction procurement and management program that was to spend hundreds of millions of dollars in a matter of months, the City turned to TA as one of its principal integrity monitors.

TA's assignment was multi-faceted: to (i) evaluate internal controls for one of the largest time-and-material ("cost-plus") contracts in the history of construction; (ii) perform background reviews of on-site personnel and vendors to determine if there were any organized crime influences or other integrity issues; (iii) recommend additional internal controls; (iv) conduct system audits to monitor compliance by contractors and vendors with these internal controls; (v) conduct financial audits of the hundreds of millions of dollars of requisitions; (vi) conduct

investigations of suspected fraud; and (vii) serve as liaison with relevant City agencies and prosecutors in the event that fraudulent conduct was discovered. TA's work resulted in the City of New York recovering or saving many millions of dollars.

TABLE 4

Project Title	WTC Transportation Hub Project
Primary Consultant	Thacher Associates, LLC
Project Manager	Martin C. Aronchick
Date Started	October 2006
Completion Date	October 2015 (planned)
Total Construction Project Cost	\$2.5 billion (planned)
Client	Port Authority of NY & NJ
Contact Name/ Contact Info	Robert E. Van Etten, Inspector General, PANYNJ 5 Marine View Plaza, Suite 502, Hoboken, N.J. 07030 Tel # 973-565-4330 Steven A. Pasichow, PANYNJ-OIG, 5 Marine View Plaza, Hoboken, NJ 07030; tel. # (973) 565-4366

On this project, which involves construction of a major mass transit hub and related infrastructure, our initial mission as integrity monitor was to design and implement a corruption prevention program. We reviewed and assessed the adequacy of corruption controls on all phases of the project to assure that all transactions are conducted and documented in such a way as to be both transparent and auditable. Based on our review, a corruption prevention program was designed to assure adequate oversight and monitoring of compliance with those controls. This engagement is ongoing, and we are continuing to conduct field audits of construction activities, desk audits of invoices, change orders and other project documents. We are also charged with undertaking inquiries as assigned and/or approved by the OIG.

During the engagement, we have made numerous recommendations regarding improvements in the areas of purchasing practices, construction processes, project finances, environmental compliance, safety, physical site security, information security, prevailing wage compliance and MBE-WBE program compliance, many of which have been adopted by the Port Authority. The specialized campus environment creates specialized integrity risks related to such issues as overlapping needs for use of common space, overlapping work rules (and resulting feather-bedding abuses), and allocation of liabilities for change orders. In conjunction with OIG, by using a team-building, cooperative approach with the operational personnel from the Port Authority and the general contractor, we have devised solutions to myriad problems that rationalized the competing demands in this environment in a manner that has protected the integrity of the project, created financial savings and a rational work process, and avoided delay.

Thacher Associates was also tasked with the responsibility to monitor the integrity of all controlled concrete inspections performed on the project to ensure the accuracy of the information reported. We identified serious issues with one controlled inspection firm's reports



and its underlying activities. With the participation of the OIG, those findings were reported to the appropriate law enforcement agency.

Over the course of the nearly six years of this engagement, we have, through diligent management and a flexible, responsive approach to emerging client and project priorities, performed our services well below budget.

TABLE 5

Project Title and Location	South Ferry Subway Terminal Station/Fulton Street Transit Center
Primary Consultant	Thacher Associates, LLC
Project Manager	William Rogers
Date Started	December 2005
Completion Date	July 2009
Total Construction Project Cost	\$1.1 Billion
Client	MTA
Contact Name and Contact Information	Lamond Kearse Two Penn Plaza, 5 th Floor New York, NY 10121 Tel # (646) 252-1330 Cliff Brock Special Investigative Counsel Two Penn Plaza, 5 th Floor New York, NY 10121 Tel # (212) 878-0099

Thacher Associates was selected by the MTA to serve as the integrity monitor in connection with the construction of the MTA's \$750 million Fulton Street Transit Center and the \$400 million renovation of the South Ferry subway terminal in lower Manhattan. Thacher Associates provided a team of on-site and behind-the-scenes investigators, engineers, auditors, attorneys and analysts to screen contractors (using, among other tools and techniques, our proprietary database of information regarding New York Metropolitan area contractors); ensure compliance by contractors with legal and contractual requirements (including the obligation to pay the prevailing rate of wages); and verify the bona fides of Disadvantaged Business Enterprises ("DBE"s) employed on the Projects and monitor that the DBE firms perform the work with their own staffs, supervision, and finances. We also ensured that payments to subcontractors were made on a timely basis and that there was compliance by contractors with federal regulations regarding the composition of the workforce on the projects.

In addition to the construction projects described above, Thacher Associates was selected by the MTA to be the arbiter of "best practices" in evaluating the M/W/DBE compliance programs for two large contractors, Schiavone Construction Co, LLC ("Schiavone") and



Skanska USA Civil Northeast, Inc. (“Skanska”). Thacher Associates conducted a thorough review of Skanska and Schiavone’s M/W/DBE policies, procedures and training programs. Our collaborative, team building approach resulted in both companies having a state-of-the-art M/W/DBE program in place. Equally as important, it provided the contractors with a greater understanding of how to develop quality compliance programs in the future.

In addition, we also aided Schiavone in identifying DBEs that may not be *bona fide* by supplementing Schiavone’s internal efforts with our proprietary database and unique knowledge of the industry. Thacher Associates’ investigators have also interviewed DBE principals and officers at the DBEs offices and periodically visit project sites to verify that DBEs are performing a “commercially useful function.” Document reviews conducted at Schiavone’s headquarters by Thacher Associates’ auditors assure that all of Schiavone internal MWDBE compliance steps are documented in a way that can be audited. Recommendations concerning the organizational structure of the MWDBE compliance program, increased staffing levels, and revisions to various forms and checklists have been implemented.

TABLE 6

Project Title and Location	Massachusetts Highway Department/Central Artery Tunnel Project
Primary Consultant	Thacher Associates, LLC
Project Manager	Martin C. Aronchick
Date Started	1998
Completion Date	2004
Total Construction Project Cost	Multi Billion Dollar Transportation Project
Client	Massachusetts Highway Department Massachusetts Turnpike Authority
Contact Name and Contact Information	Kurt L. Dettman, Esq. (Former Chief Counsel, Massachusetts Highway Dept.) Constructive Dispute Resolutions 5 Grist Mill Lane Hingham, MA 02043 Office/Mobile: 781-985-2944 Mr. John Gorman, Esq. Counsel, Massachusetts Highway Department One South Station Boston, MA 02111 Office: 617-951-6458

Thacher Associates was retained to provide anti fraud and integrity services with respect to the multi-billion dollar Central Artery/Tunnel Project. Our services include an analysis of potential bid rigging costs, excess of charges stemming from bid rigging in connection with the cable-stayed bridge over the Charles River erected as part of the Project. We made a detailed



analysis of the evidence of a bid-rigging conspiracy among bidders on the cable-stayed bridge project and the cost of the conspiracy to the Project. These findings were instrumental in the Project's recovery of costs arising from the conspiracy.

TABLE 7

Project Title	WTC Memorial, Museum and Visitor Orientation and Education Center
Primary Consultant	Thacher Associates
Project Manager	Dyana Lee
Date Started	November 1, 2008
Completion Date	January 2014 (planned)
Total Construction Project Cost	\$650 million (planned)
Client	Port Authority of NY & NJ
Contact Name/ Contact Info	Robert E. Van Etten and Steven A. Pasichow (see table 4)

This Project is a major excavation and construction project involving multiple facilities and structures: the Memorial Plaza, with two massive pools, both .75 acre in size, each with the largest manmade waterfalls in the U.S.; a 188,300 square foot Museum which will be located below grade; an approximately 50,000 square foot Visitor Orientation and Education Center (VOEC), with various programmatic spaces, visitor services, central security screening, and the ventilation ductwork for the Path Transportation HUB and Museum; and two facilities structures.

Since TA's retention as integrity monitor in November 2008, the firm has conducted a review of the existing processes and procedures in place on the project for the purpose of analyzing possible integrity risks specifically in the areas of procurement, prevailing wage and fiscal control, and environmental and safety compliance. At the same time TA has maintained an almost daily presence on site, spot monitoring for compliance with appropriate prevailing wage, environmental and safety requirements, and intelligence gathering. TA has spot monitored requisitions, change orders, compliance with M/WBE requirements, and on-going procurements. TA has also analyzed engineering controls and reviewed various safety program elements. Part of our responsibility is to coordinate with other integrity monitors working on the WTC site, including the safety monitor assigned to the project's Construction Manager. Our preliminary findings and recommendations to date have resulted in improvements to project processes and integrity controls.

Problems encountered have included our retention after the commencement and award of a substantial portion of the Project, the uniquely complicated site logistics posed by its location in a densely populated urban area with significant transportation infrastructure which must be maintained and protected during construction, an aggressive construction schedule for a project with multiple stakeholders, and the initial resistance and lack of cooperation from the Construction Manager. All of the foregoing increase the risk of fraudulent activity. Efforts to address these problems have included close coordination with the client in identifying risks, efforts to establish lines of communication with various representatives of the Construction



Manager and consultants representing the client to gain access to documents and information, and frequent attendance at various project and procurement related meetings, with regular and immediate reporting to the client of issues found.

TABLE 8

Project Title	UN Headquarters Complex Renovation Project
Primary Consultant	Thacher Associates, LLC
Project Manager	William D. Rogers
Date Started	April 2009
Completion Date	2014 (planned)
Total Construction Project Cost	\$1.88 billion (planned)
Client	The United Nations
Contact Name/ Contact Info	Ms. Sevil Alirzayeva, Chief, Administration & Communications, 220 East 42 nd Street Rm DN-2408 New York, NY 10017; Tel. # (212) 963-1546 Michael Adlerstein, Executive Director, United Nations Capital Master Plan; 220 East 42 nd Street New York, NY 10017; Tel # (212) 963-1889

This project involves the demolition of the existing structure down to the steel shell, and then reconstructing a new headquarters building. As project integrity monitor, Thacher Associates is working with the construction team to ensure that the Project has appropriate fraud and corruption controls in place and that those controls are being complied with. Its mission is, first and foremost, to prevent unethical, illegal or wasteful practices from occurring and, secondly, if any such practices are detected, to make sure definitive and effective actions are taken.

Thacher Associates work on this engagement has been in two phases: 1) reviewing and assessing the adequacy of corruption controls on critical phases of the Project, and 2) monitoring the demolition and reconstruction of the UN Headquarters Complex. For the first phase, Thacher Associates focused on determining whether transactions were conducted and documented in such a way as to be both transparent and auditable. Based on that review, a Corruption Prevention Program was designed to assure adequate oversight and monitoring of compliance with those controls. During Phase 2 of the engagement, Thacher Associates has conducted field audits of construction activities, including site visits, and undertaken investigations as assigned and approved by the UN.

While we are far from completing our services in connection with the engagement, our work to date has been performed within budget. Our success in that area is due to our use of a detailed monthly work plan (prepared and monitored by the team's project manager) that provides each member of the team information regarding the number of hours he/she has to accomplish that month's planned activities.



TABLE 9

Project Title	Yankee Stadium
Primary Consultant	Thacher Associates, LLC
Project Manager	Donald Campolo
Date Started	March 2007
Completion Date	February 2009 (actual, as planned)
Total Construction Project Cost	\$1.45 Billion (actual, as planned)
Client	New York Yankees (Testwell investigation - PANYNJ OIG; MTA OIG; Manhattan District Attorney's Office)
Contact Name/ Contact Info	Randy Levine, NY Yankees, 161 Street, Bronx, NY 10451; Tel. # (212) 872-1005 Brian Cashman, NY Yankees, 161 Street, Bronx, NY 10451, Tel. # (718) 579-4502 Testwell investigation - Steve Pasichow (see table 1) Diana Florence, New York County District Attorney's Office, 80 Centre Street, New York, NY 10013, Tel. # (212) 335-4008

This project was a major construction project, replacing the existing Yankee Stadium with a state of the art facility. As project integrity monitor, we maintained a daily site presence focusing on security, safety and intelligence gathering. TA monitored requisitions, change orders, certified payrolls and other fiscal processes. We also conducted background investigations of proposed subcontractors, monitored structural testing processes, soil disposition and crane compliance. In addition, TA monitored the implementation of the Community Benefits Agreement (CBA), entered into by the Yankees to assure employment and career development for local residents and Bronx-based businesses. Site presence personnel maintained liaisons with local law enforcement and NY Yankee security to address safety, access and enforcement issues. TA also was called upon to review proposed GMP (Guaranteed Maximum Price) for base building and food and beverage to identify potential savings for the Yankees. We also conducted a preliminary review of the appropriateness of bond proceed expenditures and provided recommendations to the Yankees regarding same.

Problems encountered were caused by the fact that TA was deployed to the project after commencement and award of significant subcontracts; resistance and lack of cooperation from Owner's Representative and Construction Manager; lack of "drill down" audit authority for subcontractors; aggressive schedule in conjunction with necessity to maintain existing operations at old Yankee Stadium. Problems were addressed by attempting to establish trust with Owners Representative in gaining access to information, maximizing on-site sources of information and maintaining close communications with the Owner (Yankees). The Stadium opened successfully and on time and TA is currently engaged in assisting the Yankees with the close out audit and final bond expense attribution analysis.

One significant finding on this monitorship bears highlighting. The Testwell investigation grew out of an investigative lead developed during our monitoring activities at the Stadium. During site surveillance activities it was determined that Testwell (a testing entity) had failed to perform certain concrete field tests and was submitting falsified field test data. This led to a more extensive, multi-agency investigation and the identification of other fraudulent activity by Testwell resulting in the indictment and conviction of Testwell and several individuals associated with the company. TA cooperated closely with the Manhattan DA's Office during this investigation. TA also shared pertinent data with the engineer of record for the Stadium in order to facilitate due diligence with respect to any falsified data.

TABLE 10

Project Title and Location	Helmark Steel, Inc.
Primary Consultant	Thacher Associates, LLC
Project Manager	William Rogers
Date Started	March 2007
Completion Date	March 2009
Total Construction Project Cost	\$110 Million
Client	Helmark Steel, Inc
Contact Name and Contact Information	Port Authority of New York and New Jersey, Office of the Inspector General Robert E. Van Etten and Steve Pasichow (see table 4 for contact information)

Helmark Steel, Inc., a WBE, was convicted in the Southern District of New York in 1999 of Conspiracy to Commit Bribery. The underlying facts involved the solicitation of a bribe by a Port Authority official, for which bribe said official would approve a joint venture which included Helmark, for the fabrication and erection of steel in the Newark Airport monorail project. The Helmark joint venture had already been selected for this work by the general contractor. Helmark's president paid the bribe.

Thereafter, Helmark's vice-president was approached by the FBI. He cooperated fully with the FBI, and subsequently, Helmark satisfactorily completed all of the terms and conditions included in the disposition of the charges filed against it. Furthermore, the company retained Thacher Associates to develop an Integrity Compliance Program. Under this program, Thacher reviewed Helmark's internal controls and recommended modifications to those controls which were fully implemented. Thacher also developed a company Code of Business Ethics for Helmark, and established a 24-hour ethics hotline. This work was continued under a monitoring agreement executed in January 2007 for the benefit of the Port Authority of New York and New Jersey in connection with contracts Helmark received from that Agency.



This engagement highlights Thacher Associates leading role in developing and implementing Integrity Compliance Programs.

TABLE 11

Project Title and Location	The New Bridge: Tappan Zee Hudson River Crossing Project— procurement phase only
Primary Consultant	Thacher Associates, LLC
Project Manager	Chris Prather, Paul Ryan
Date Started	July 2012
Completion Date	January 2013
Total Construction Project Cost	\$3.5 Billion
Client	New York State Thruway Authority
Contact Name and Contact Information	William Ringwood NYS Thruway Authority 200 Southern Blvd. Albany, NY 12209 Tel # (518) 471-4398 Joseph Igoe, Esq. NYS Thruway Authority 200 Southern Blvd. Albany, NY 12209 Tel # (518) 436-2860

Replacement of the Governor Malcolm Wilson Tappan Zee Bridge has been in the planning stages for more than 12 years. In a first for the New York State Thruway Authority, the project has been undertaken as a Design-Build procurement.

Because Design-Build procurements involve the evaluation of factors other than price, they have sometimes been criticized as being too subjective, and difficult to later review, evaluate and justify. These concerns may be heightened and criticisms may be exacerbated by the need to keep so many parts of the evaluative process confidential, so as not to hamper the owner’s ability to negotiate for the best product at the best price. Still, the decisions and processes surrounding the expenditure of billions of dollars of public funds must be as transparent to the public, and to those vying for the contract, as possible. The tension between these competing interests led to, in part, the decision to retain Thacher Associates as an Independent Procurement Integrity Monitor for this procurement.

In this capacity, Thacher Associates’ contracted scope of work included:

1. Process Evaluation: Ensure that procurement process incorporates best practices to achieve process transparency, auditability, integrity, confidentiality, competitiveness, fairness and security;

2. Process Enhancements: Make recommendations for enhancement to improve process as necessary; and
3. Compliance Monitoring: Monitor implementation of process controls to ensure compliance therewith.

To achieve the above objectives, Thacher engaged in the following activities:

1. Obtained and reviewed selected documentation relating to integrity and security of the procurement process.
2. Made recommendations for enhancements of the process to appropriate personnel.
3. Performed monitoring through: unannounced attendance at meetings selected on a random basis; review of documents produced by the procurement process; interviews with those involved in process; physical observation of compliance with all critical security/integrity-related controls (e.g., chain of custody, distribution of documents and information, document security, confidentiality, document duplication/destruction/retention); communication with appropriate personnel as to any issues found so as to facilitate immediate remediation.
4. Prepared a final report to Governor Andrew M. Cuomo and the Chairman of the Thruway Authority Board of Directors, Howard M. Milstein, and persons selected by such individuals to receive said report.

This engagement is noteworthy in that it demonstrates Thacher Associates' recognized familiarity with large, complex procurements and the integrity risks associated with such procurements. Having been brought into the project literally hours before the proposals were due, Thacher was able to mobilize to oversee the receipt of said proposals, and then monitored each step in the required process for the technical and cost evaluation of the proposals, and documented compliance with, and departures from, the established process.

Throughout this engagement, Thacher Associates' personnel were called upon to assist in devising protocols to ensure the security of technical and pricing documents and information, and to monitor the proposal-evaluators' compliance with those protocols. Where departures from established protocols occurred, Thacher's personnel documented those departures and investigated the reasons for said departures. In the end, our report went to the Governor, to the Chairman of the Thruway Authority and to the State Controller's Office, and assisted in establishing that the procurement was conducted in conformance with best practices.

Additional Experience of Thacher Associates (Section 4.4.4.6)

Thacher has experience dealing with FEMA-funded disaster relief and recovery operations in the aftermath of major catastrophic events. As explained above, both the New York City Rapid Repair Program and the Ground Zero Cleanup were FEMA-funded operations. In both instances, the City of New York was or is planning to be reimbursed the cost of our services by the federal government, as well as the cost of the recovery operations.



Thacher also has significant experience interfacing with state and federal agencies in the administration of a monitoring or oversight program. As outlined above, many of our clients are public entities or governments. Major clients include the Port Authority of New York and New Jersey and the New York City Department of Investigations. Both entities' projects often include federal funding, which requires interfacing with both the client and the relevant federal or state funding partner.

Financial Capability of Thacher Associates (Section 4.4.4.7)

Our reviewed financial statement and certification are submitted in a separate sealed envelope marked "Confidential – Financial Information" in accordance with RFP section 4.4.4.7, page 27. Our bank reference is:



Name	Certified Fraud Examiner	Certified Forensic Accountant	OSHA-10 hr	LEED	Amtrak Training	LIRR Track Training	MTA Training	4 hr- Scaffolding Training	Certified Construction Auditor	CPA	Notary	Certified Anti-Money Laundering Specialist	Law Degrees	SWAC	ACI Concrete Field Testing Technician	NYC DOB Licensed Site Safety Manager	Primevera P6 Project Management	Certified Ethics and compliance officer	(CFI) Certified Forensic Interviewer
Aronchick, Martin			Valid Through 04/30/2024																
Benner, James			Valid Through 06/30/24				Valid Through 10/28/24	Valid Through 12/12/24						Valid Through 10/31/24					
Breslin, Bradley													Valid Through 10/31/24						
Casado, Kenneth	Valid Through 1/27/2024	Valid Through 1/21/2024	Valid Through 1/21/2024		Valid Through 10/1/2023	Valid Through 10/25/2023	Valid Through 1/26/2024	Valid Through 3/30/2024						Valid Through 12/29/2023			Registration		
Cacere, Bob									Valid Through 1/24/2024										
Chang, Sherry														Valid Through 1/20/24					
DeFoe, Barry	Valid Through 1/22/24	Valid Through 1/22/24	Valid Through 1/22/24											Valid Through 12/22/23					
Duggan, Mark								Valid Through 1/15/2024						Valid Through 12/22/23					
Fattah, Sarah	Valid Through 1/20/24													Valid Through 10/20/24					
Frech, Garard											05/16/2023		10/26/2023						
Ismailgeci, Beasmira			Valid Through 01/15/24																
Jackson, Mark	Valid Through 12/31/23		Valid Through 10/6/23	No. Expiration				Valid Through 10/27/23						Valid Through 10/20/23	Valid Through 1/18/24		No. Expiration		
Kasse, Dan														Valid Through 12/31/23					
Kokoszka, Michael			Valid Through 1/28/24																
Lee, Dyana			Valid Through 1/22/2024										Valid Through 1/1/24	Valid Through 09/17/2023					
Leith, Rod			No. Expiration 1/10/24		Valid Through 10/1/23			Valid Through 11/26/2024											
MexhTaj, Lirdi																			
McAllister, Patrick			Valid Through 1/20/24		Valid Through 1/13/24			Valid Through 1/20/24						Valid Through 10/20/23					
Mullins, Kevin	Valid Through 09/24/24																		
Murphy, Jim	Valid Through 12/31/23	Valid Through 12/31/23	Valid Through 12/31/23	No. Expiration				Valid Through 12/14/23	Valid Through 12/14/23					Valid Through 12/31/23	Valid Through 1/20/24		Valid Through 12/31/23	No. Expiration	
Palumieri, Eric			Valid Through 1/17/24																
Pistoli, Rudin			Valid Through 1/26/24		Valid Through 10/1/23			Valid Through 10/1/23											
Pitta, Jonathan	Valid Through 01/20/24													Valid Through 10/20/23					
Prather, Chris								Valid Through 10/1/2023					Valid Through 10/27/23						
Rodriguez, Erica																			
Rogers, William											Valid Through 01/20/24			Valid Through 1/20/24					
Ryan, Paul			Valid Through 09/26/24		Valid Through 10/26/24	Valid Through 10/26/24								Valid Through 10/20/23					
Shytl, Ben																			
Torriente, Gene			Valid Through 04/23/24					Valid Through 10/04/2023	Valid Through 09/18/2023					Valid Through 10/20/23					
Vermoulen, Rich	Valid Through 04/20/24	Valid Through 02/28/24						Valid Through 11/28/2023	Valid Through 04/26/2023					Valid Through 10/20/23					
Vetter, Louis											Valid Through 10/20/23								
Wu, Shirley	Valid Through 11/20/23		Valid Through 1/20/24	Valid Through 1/20/24										Valid Through 10/20/23					
Yun, Insong	Valid Through 01/20/24													Valid Through 10/20/23					



DIRECTOR OF INTELLIGENCE & ANALYTIC SOLUTIONS
(Subject Matter Expert)
Mitchell Silber

CHIEF DIGITAL OFFICER
(Subject Matter Expert)
Matt Unger

PRO

DIRECTOR OF FORENSIC ENGINEERS
(Subject Matter Expert)
Jim Murphy

DIRE
INVEST
(Subject M
Re

SENIOR FORENSIC ENGINEER
Ken Casado (Project Manager)

CHIEF IN
(Subject M
Salvato

FORENSIC ENGINEERS
(Senior Consultant)
Mark Jackson
Shirley Wu
Michael Carrano
Besmira Ismailgeci
Michael Kokoszka
Lirdi Mexhitaj
Ilven Shyti
Eric Palummieri

INVEST
(Senior
Eugeni
Mark
Patrick
Jim
Tim
Kevin I
Joseph
Gary
Haro

FORENSIC ENVIRONMENTAL ENGINEER
Rudin Pistoli (Project Manager)

FORENSIC SAFETY ENGINEER
Michael Normoyle (Project Manager)

MARTIN CHARLES ARONCHICK

330 West 42nd Street, New York, New York 10036 (212) 845-7538

Martin@ThacherAssociates.com

Admitted: New York; New Jersey; U.S. District Courts, Southern and Eastern Districts of New York, District of New Jersey

THACHER ASSOCIATES, LLC, New York, NY

1999 - Present

Managing Director / Project Manager

- Supervise integrity monitorship projects.
- Design and implement integrity risk management programs.
- Design strategies to provide intelligence and investigative support for client projects.
- Direct research and investigative functions that provide analytical resources and information for business intelligence.
- Oversee investigations of waste, fraud, and abuse.

OFFICE OF THE INSPECTOR GENERAL,

NEW YORK CITY SCHOOL CONSTRUCTION AUTHORITY, Bronx, NY

1996 - 1999

Counsel for Forfeiture and Affirmative Litigation

- Member of Executive Staff of Inspector General's Office. Jointly investigated criminal activity with federal and state prosecutors.
- Supervise integrity monitorship projects.
- Conducted complex administrative and civil litigation. Directed investigations of financial crimes.
- Supervised investigative auditing firms monitoring integrity of SCA contractors.
- Conduct training in forfeiture and other civil remedies.

NEW YORK STATE ORGANIZED CRIME TASK FORCE, White Plains, NY

1987 - 1996

Attorney in Charge of Civil Enforcement and Remedies

- Member of Executive Staff of Organized Crime Task Force.
- Created and supervised civil enforcement unit.
- Supervised integrity monitorship projects.
- Conducted all phases of complex civil litigation. Directed investigations of financial crimes.
- Created and taught New York civil forfeiture litigation training course.
- Drafted post-judgment motions on issues including collateral estoppel, repugnant verdicts, ineffective assistance of counsel, and allegations of Brady violations.

NEW YORK CITY LAW DEPARTMENT, New York, NY

1983 - 1986

Assistant Corporation Counsel, Affirmative Litigation Division

- Assistant Division Chief, 1986.
- Supervised affirmative litigation seeking recoveries on behalf of City of New York.
- Prosecuted civil RICO treble damages actions arising out of bribery, fraud and other crimes against City of New York.
- Represented City of New York in legislative matters relating to reform of racketeering laws.

WEIL, GOTSHAL & MANGES, New York, NY

1978 - 1983

Associate, General Litigation Department

HONORABLE WORRALL F. MOUNTAIN, ASSOCIATE JUSTICE, SUPREME COURT OF NEW JERSEY

Law Clerk, September, 1977 Term of Court

EDUCATION

Rutgers Law School, Newark, NJ

J.D., June 1977

- *Rutgers Law Review*

- *Notes and Comments Editor*, Volume 30, 1976 - 1977

Rutgers College, New Brunswick, NJ

B.A., Political Science, 1972

- Academic Honors

- *Phi Beta Kappa*, Highest Distinction in Political Science

MONITORSHIP EXPERIENCE

WTC Transportation Hub Integrity Monitoring Engagement

I have been the Project Manager of the WTC Transportation Hub engagement from its inception in October 2006 to the present. The Hub project is a \$2.5 Billion mass transit infrastructure project with an estimated completion date of October 2015. On this engagement, our mission is to monitor the integrity of the Project so as to prevent/ detect organized crime, labor racketeering, corruption, fraud, and failure to comply with regulatory and contractual requirements. We designed and implemented a project integrity compliance program. We examine the Project's construction and financial processes and perform forensic analyses of a sample of transactions. We also monitor environmental and safety issues and examine samples of relevant transactions. We perform these functions with a multi-disciplinary team consisting of investigators, auditors, engineers, environmental and safety specialists, and other specialists as determined by the need of the engagement. The latter category has included tower crane specialists and document security specialists. During the engagement, we have made numerous findings and recommendations in all areas of service resulting in improvements to project processes and integrity controls, as well as cost savings and loss prevention. Our services are directed by the Port Authority Office of Inspector General.

As the Project Manager, I am responsible for directing the activities of the Thacher integrity monitoring team so as to meet contractual requirements and client priorities in accordance with work plans and budgets that I prepare. I am responsible for consulting with the client so as to identify and from time to time modify the mission/ objectives of the engagements, for designing strategies for attaining those missions and objectives, and for implementing those strategies with the team's resources. On a day to day basis, I am responsible for coordinating the activities of our team to maximize team efficiency.

(References: Robert E. Van Etten, Inspector General, PANYNJ, 5 Marine View Plaza, Suite 502, Hoboken, N.J. 07030, Tel # 973-565-4330; Steven A. Pasichow, Port Auth OIG, 5 Marine View Plaza, Hoboken, NJ 07030; tel. # (973) -565-4366)

WTC Retail Project Integrity Monitoring Engagement

I have been the Project Manager of the WTC Retail Project engagement from its inception in October 2011 to the present. The Retail Project is a \$250 Million retail space core-and-shell construction project with an estimated completion date in 2015. On this engagement, our mission is to monitor the integrity of the Project so as to prevent/ detect organized crime, labor racketeering, corruption, fraud, and failure to comply with regulatory and contractual requirements. We designed and implemented a project integrity compliance program. We examine the Project's construction and financial processes and perform forensic analyses of a sample of transactions. We also monitor environmental and safety issues and examine samples of relevant transactions. We perform these functions with a multi-disciplinary team consisting of investigators, auditors, engineers, environmental and safety specialists, and other specialists as determined by the need of the engagement. The latter category has included tower crane specialists and document security specialists. During the engagement, we have made numerous findings

and recommendations in all areas of service resulting in improvements to project processes and integrity controls, as well as cost savings and loss prevention. Our services are directed by the Port Authority Office of Inspector General.

As the Project Manager, I am responsible for directing the activities of the Thacher integrity monitoring team so as to meet contractual requirements and client priorities in accordance with work plans and budgets that I prepare. I am responsible for consulting with the client so as to identify and from time to time modify the mission/ objectives of the engagements, for designing strategies for attaining those missions and objectives, and for implementing those strategies with the team's resources. On a day to day basis, I am responsible for coordinating the activities of our team to maximize team efficiency.

(References: Robert E. Van Etten, Inspector General, PANYNJ, 5 Marine View Plaza, Suite 502, Hoboken, N.J. 07030, Tel # 973-565-4330; Steven A. Pasichow, Port Auth OIG, 5 Marine View Plaza, Hoboken, NJ 07030; tel. # (973) -565-4366)

Scalamandre Construction Companies Integrity Monitoring Engagement

I was the Project Manager of the Scalamandre Construction engagement from November 2001 – November 2006. On this engagement, our mission was to monitor the integrity of the Companies' contracts (more than \$100 Million of projects) so as to prevent/ detect organized crime, labor racketeering, corruption, fraud, and failure to comply with regulatory and contractual requirements. We were appointed by the United States District Court for the Eastern District of New York following the guilty pleas by the owners of the Companies to a course of action involving payoffs to the heads of the Lucchese Organized Crime Family to obtain relaxed enforcement of the Companies' collective bargaining agreements with trade unions. We designed and implemented a project integrity compliance program to address these problems and also M/W/DBE fraud. We examined the Companies' construction and financial processes and performed forensic analyses of a sample of transactions. We performed these functions with a multi-disciplinary team consisting of investigators, auditors, and engineers. During the engagement, we have made numerous findings and recommendations in all areas of service resulting in improvements to project processes and integrity controls, as well as cost savings and loss prevention. We reported our findings and took direction from the United States District Court for the Eastern District of New York and the United States Attorney's Office for the Eastern District of New York.

As the Project Manager, I was responsible for directing the activities of the Thacher integrity monitoring team so as to meet contractual requirements and client priorities in accordance with work plans and budgets that I prepared. I was responsible for consulting with the client so as to identify and from time to time modify the mission/ objectives of the engagements, for designing strategies for attaining those missions and objectives, and for implementing those strategies with the team's resources. On a day to day basis, I was responsible for coordinating the activities of our team to maximize team efficiency.

(References: Honorable Denis R. Hurley, Sr., United States District Court Judge, United States Courthouse, 100 Federal Plaza, Central Islip, NY 11722, Tel. # (631)-712-5650; AUSA Burton T. Ryan, United States Attorney's Office for the Eastern District of New York, 610 Federal Plaza, Room 674, Central Islip, NY 11722, Tel. # (631)-715-7853)

VIRGINIA BARONE



EMPLOYMENT HISTORY:

- 9/05-Present **Thacher Associates LLC**
Project Administrator/Administrative Assistant
- provide executive level support to the Chief Operating Officer
 - maintain calendar and schedule meetings
 - reconcile expenses
 - preparation of documents, correspondence, proposals and presentations
 - assist Finance Manager with payables and billing utilizing the Provantage system
 - prepare and update monthly spreadsheets to track sales, collections and budget
 - assist Project Managers with reports
 - Project Administrator for MTA, Freedom Tower and LMDC projects
 - assist Project Administrator for Port Authority
 - fingerprint new employees
 - assist IT tech with computer and software issues
- 9/04 – 9/05 **Delta Air Lines, Inc.**
Field Service Manager
- manage work expectations and reliability for group of 85 flight attendants
 - administer corrective action when expectations fall below company standard
 - fly several times a month for performance observations, coaching, and counseling
 - assist flight attendants with any questions or concerns
 - ensure flights have all supplies needed for on-time departures
 - facilities Team Leader - maintain the upkeep of the JFK In-Flight office
 - training of flight attendants in new computer software
 - fingerprint and process background check for flight attendants returning from leave
- 6/00 - 9/04 **Delta Air Lines, Inc.**
Administrative Assistant III
- provide senior level support to the Director of In-Flight Services
 - maintain calendar, schedule and organize meetings
 - organize office and maintain supplies
 - ensure proper utilization of departmental budget and track expenditures
 - coordinate travel plans
 - track and process department invoices

- accurately reconcile T&E
- manage attendance and track vacation and holiday usage for staff of 40 people
- screen callers; assist with their questions or problems, getting clarification and making proper referrals
- gather data and compile reports to track departmental goals
- preparation of documents, correspondence and presentations
- assist with special projects as needed

10/97 - 6/00 **Delta Air Lines, Inc.**

Administrative Support Representative

- administrative support representative for LGA In-Flight Office assisting five supervisors and one general manager
- assist New Hire Team with appointments and maintain accurate work records
- assisted supervisors with evaluations, alerts, file audits, and transfers
- processed new hires to base and assisted with orientations and modules
- customer service and management of all telephone inquiries

11/96 - 10/97 **Delta Air Lines, Inc.**

Customer Service Representative

- assisted passengers with their travel needs including rebooking, check-in, re-issued tickets, future travel reservations, and frequent flyer needs
- facilitate boarding process to insure on-time departure necessary

PROFESSIONAL CREDENTIALS:

Licensed Notary Public - NY State – 2004 - Present

EDUCATION:

9/03 – 4/05 University of Phoenix
 Major: Information Technology
 GPA: 3.66
 Completed 6/65 Franklin K Lane High School
 Major: Bookkeeping / Secretarial
 GPA: 3.5 Degree: H.S. Diploma

TRAINING:

- Performance Management - 2005
 Flight Attendant Initial Training - 2004
 Fingerprint Identification - 2004
 Target Selection Interview Training - 2004
 Project Management - 1999
 Time Management - 1997

AREAS OF EXPERTISE:

- Proficient in MS Word, PowerPoint, and Excel

BRADLEY J. BRESLIN

330 West 42nd Street, New York, New York 10036

Phone: (212) 692-1211

Bbreslin@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY
Managing Director

2012 - Present

- Responsible for the overall direction, coordination, implementation, execution, control and completion of integrity monitoring projects.
- Manage integrity monitoring team consisting of investigators, forensic auditors and engineers.
- Design and implement strategies and programs to protect client projects from waste, fraud and abuse.
- Matters include:
 - Managing integrity monitoring project for New York City Rapid Repairs Program by designing and implementing strategies to monitor all aspects of contractor operations involved in performing emergency repairs to residential properties affected by Hurricane Sandy.

UNITED STATES DEPARTMENT OF JUSTICE, Washington D.C.
Attorney - Advisor

2007 - 2012

- Litigate contract appeals before the Civilian Board of Contract Appeals and bid protests before the Government Accountability Office.
- Provide litigation support to United States Attorneys' offices and DOJ Civil Division components encompassing all phases of federal court practice from initial pleadings to post-trial appeals.
- Provide legal guidance and review for federal procurements, legal assistance to contracting staff and provide legal advice to management officials on employment and labor related matters
- Draft and review inter-agency agreements and memoranda of understanding between DOJ and other federal agencies

ADMISSIONS

United States Supreme Court; Commonwealth of Pennsylvania; State of New Jersey

EDUCATION

Duquesne University, Pittsburgh, PA

Juris Doctor 2007

University of Scranton, Scranton, PA

B.S., Criminal Justice and Political Science 2002

MONITORSHIP EXPERIENCE

NYC Rapid Repair Program (12/2012-Present)

As the Project Manager, I direct a team of engineers, investigators, and forensic auditors, consistent with the designed work plans and budget, to provide monitoring of a contractor assigned to repair approximately 600 residential properties affected by Hurricane Sandy. The scope of the monitorship included the deterrence and detection of fraud, waste and abuse, as well as, prevailing wage reviews. While this monitorship is still ongoing, to date, Thacher Associates has uncovered several systemic deficiencies and overcharges, the discovery of which will result in millions of dollars of potential savings to the City of New York.

(Reference: Marjorie Landa, General Counsel, Department of Investigations, City of New York, 80 Maiden Lane, 17th Floor, New York, N.Y. 10038, Tel. # 212-825-2403)

JAMES A. BUSH

330 West 42nd Street, New York, New York 10036

Jbush@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY
Investigator

2012 - Present

- New York City Rapid Repair Program, Integrity Monitor – Investigator.

FEDERAL BUREAU OF INVESTIGATION, New York, NY
Private Service Contract

2009

- Monitor/Electronic Surveillance.

PASSAIC COUNTY PROSECUTOR'S OFFICE, New Jersey
Captain of Detectives (2006-2008)

1981 - 2008

- Captain of Detectives assigned to the FBI, Garret Mountain Resident Agency, as a Task Force Officer within the Criminal Enterprise/Violent Crimes Unit.

Deputy Chief of County Detectives (2003-2006)

- In charge of the Passaic County Joint Narcotics Task Force, Gang Suppression Unit and the Intelligence Unit.

Captain of County Detectives (2003)

- Commander of the Passaic County Joint Narcotics Task Force.

Captain of County Detectives (2000-2003)

- Promoted to Captain of County Detectives while assigned to the FBI, Garret Mountain Resident Agency, as a Task Force Officer within the Criminal Enterprise/Violent Crimes Unit; also assigned to conduct interviews, interrogations and investigations relating to terrorism post 9/11.

Lieutenant of County Detectives (1999-2000)

- Assigned as a Task Force Office with the FBI, Garret Mountain Resident Agency, as a Task Force Officer within the Criminal Enterprise/Violent Crimes Unit.

Lieutenant of County Detectives (1998-1999)

- Assigned to the United States Customs Service, Newark, NJ, as a Cross Designated Task Force Officer within a Criminal Enterprise Investigative/Narcotics Unit.

Lieutenant of County Detectives (1992-1995)

- Assigned as a supervisor of the Narcotics/Organized Crime Unit.

Investigator

- Assigned to the Narcotics/Organized Crime Unit.

BOROUGH OF TOTOWA POLICE DEPARTMENT, New York, NY

1979 - 1981

- Uniformed Patrol Officer.

EDUCATION

Trenton State College, Ewing, NJ

B.S., Criminal Justice, 1979

New Jersey Police Training Commission

Certified Police Instructor, 1990

New Jersey State Police

Police Supervision, 1988

MONITORSHIP EXPERIENCE

New York City Rapid Repair Program - Staten Island, N.Y. - Integrity Monitor (2012 – present)

Integrity monitor overseeing contractors, subcontractors and construction workers involved in the NYCRRP which consisted in the repairs of homes damaged from Hurricane Sandy.

Daily monitoring consisted of investigating active worksites for proper work orders, sign-in sheets, building materials, etc., and ascertaining the prevailing wages of workers on site. Further monitoring consisted of assessments of homes to be repaired and close-outs of homes in which repairs were completed.

Investigations were performed at times by analyzing invoices that were submitted by the contractor indicating work performed and material that was installed during the repairs against actual work performed and material installed during the repair. A significant amount of these investigations resulted in the detection of improper billing of work performed and material installed. These findings resulted in hundreds of thousands of dollars of improper billing being credited to the city of New York. Some of these pending investigations may lead to future criminal prosecutions.

(Reference: Marjorie Landa, General Counsel, Department of Investigations, City of New York, 80 Maiden Lane, 17th Floor, New York, N.Y. 10038, Tel. # 212-825-2403)

DONALD C. CAMPOLO

330 West 42nd Street, New York, New York 10036

THACHER ASSOCIATES, LLC, New York, NY
Project Manager

2007 - Present

- Integrity Monitor for major construction projects, including Yankee Stadium and Croton Water Filtration Plant

WILLIAM PATERSON UNIVERSITY, Wayne, NJ
Adjunct Faculty, Department of Political Science

2005 - 2006

STIER ANDERSON AND MALONE, LLC, Skillman, NJ
Consultant

2003 - 2007

- Conducted internal corporate investigations
 - Conducted witness interviews; document analysis and consultation with industry experts; personnel investigation; Title IX compliance investigation
- Integrity Monitoring for major construction projects

ESSEX COUNTY PROSECUTOR'S OFFICE, Newark, NJ
Acting Essex County Prosecutor

1999 - 2003

- Supervise largest Prosecutor's Office in State of New Jersey, consisting of over 400 staff, with a budget in excess of \$26million.

NEW JERSEY DIVISION OF CRIMINAL JUSTICE, Trenton, NJ
Bureau Chief, Organized Crime & Racketeering Bureau(1994-1999)

1987 - 2003

- Statewide responsibility for supervision and administration of investigative bureau assigned to investigate and prosecute major organized crime cases, including RICO prosecutions. Interim term as Acting Essex County Prosecutor.

Bureau Chief, Statewide Narcotics Task Force (1993-1994)

- Administered state program for drug enforcement including grants, budget and training. Supervised complex narcotics investigations.

Supervising Deputy Attorney General, Organized Crime & Racketeering Bureau (1987-1993)

- Supervised staff of attorneys and investigators engaged in investigation and prosecution of major organized crime cases.
- Participated in all phases of investigations including witness interviews, evidence analysis, preparation of wiretap and search warrants affidavits, grand jury presentation, preparation of indictments, motions and trials.

PASSAIC COUNTY PROSECUTOR'S OFFICE, Paterson, NJ
Chief Assistant Prosecutor Narcotics/Organized Crime Unit (1984-1987)

1979 - 1987

- Headed investigative unit which prosecuted narcotics and organized crime cases.

Assistant Prosecutor Narcotics/Organized Crime Unit (1981-1984)

- Assisted in running investigative unit.
- Solre responsibility for a variety of criminal investigations through grand jury and trial.

- Acquired expertise in drug diversion and gambling cases.
- Developed asset forfeiture procedures for Prosecutor's Office.

Assistant Prosecutor, Career Criminal Unit (1980-1981)

- Investigated, indicted and tried criminal cases involving repeat offenders charged with major crimes.

Assistant Prosecutor, Trial Section (1979-1980)

- Prosecuted jury trials of adult offenders in Superior Court.

EDUCATION

Boston College Law School, New Centre, MA

Juris Doctor, 1978

Seton Hall University, South Orange, NJ

B.A., Government, 2000

MONITORSHIP EXPERIENCE

Yankee Stadium – This project commenced in March of 2007 and ran through 2012. Our activities included a daily site presence, vetting of proposed subcontractors, monitoring a Community Benefits agreement, review of payment process, review of change orders project schedule, requisitions and general conditions. In addition we kept tabs on the activities of labor coalitions to prevent disruption at the jobsite, monitored the disposal of contaminated soil and assisted the Yankees in negotiating Initial and Final Guaranteed Maximum Prices on its contract with Turner Construction. Among our most significant activities was the monitoring of testing activities which led to the indictment and conviction of a major testing firm for fabricating test results. This led to important changes in City-wide practices for testing firms. In addition we conducted an in-depth review of allocation of project expenses between private and public (bonded) funding sources and made extensive recommendations to the Yankees in this regard. We also assisted the Yankees with their close-out audit and conducted a separate review of the Community Benefits Fund.

(Reference: Randy Levine, President, Yankees, 161st Street and River Avenue, Bronx, N.Y. 10451, Tel. # 212-872-1005)

Croton Water Filtration Plant – This project commenced in March of 2007 through the present. Our activities have included daily site presence, attendance at project management and progress meetings, vetting of subcontractors and monitoring compliance with MBE/WBE/DBE program requirements. We have scrutinized the payment process and change order process and have monitored the disposal of contaminated and hazardous waste – documenting same “from cradle to grave”. We have detected and deterred drug use and alcohol use at the project by sharing lead information with the appropriate law enforcement agencies. We have referred a potential MBE fraud to the Bronx District Attorney's office, where it is pending review and have also uncovered sales of fraudulent safety credentials, leading to numerous arrests and prosecutions. In addition we have investigated thefts of materials from the site, developing information that led to successful arrests and prosecutions. Our client, the Department of Investigation has also tasked us with investigating anonymous allegations involving one of the prime contractors on the project and relied upon our reports in order to take further investigative steps. We have also identified substandard materials at the site which were removed as a result of our efforts.

(Reference: Melissa Ballard, Department of Investigations, City of New York, 80 Maiden Lane, 17th Floor, New York, N.Y. 10038, Tel. # [REDACTED])

JOSEPH A. CANNATELLA

OBJECTIVE

To Use My Attributes skills and experience in a Challenging Career in the Investigations or Security Fields and Enhance the Goals of a Dynamic Agency or Organization

BACKGROUND SUMMARY

Thirty-five years experience as a Law Enforcement Officer! Seasoned Executive level planner possessing a strong background in all facets of police administration and operations! Excel in highly competitive environments where leadership, management, investigations, and integrity are the keys to success! Excellent interpersonal, leadership and organization skills.

EXPERIENCE

CURRENTLY

HOMELAND SECURITY CONSULTANT - CHECK-M-OUT SECURITY SERVICES AND INVESTIGATIONS- FOR THE NEWARK WATERSHED CONSERVATION & DEVELOPMENT CORPORATION, EAST ORANGE WATER COMMISSION AND JERSEY CITY MUNICIPAL UTILITIES AUTHORITY. ALSO CONDUCT PRIVATE INVESTIGATIONS FOR ATTORNEY CLIENTS AND WORK PART TIME AS A SECURITY SUPERVISOR FOR TRIANGLE V ENTERPRISES AT EAST COAST WAREHOUSE IN PORT ELIZABETH, NJ SUPERVISING PRIVATE SECURITY PERSONNEL, CONDUCTING INVESTIGATIONS AND LOSS PREVENTION AUDITS.

JOB TITLE

Captain (Acting Chief)

YEARS EMPLOYED (2004 - 2008)

*Morris County Prosecutor's Office
Morristown, NJ 07963-0900*

RESPONSIBILITIES AND ACCOMPLISHMENTS:

- *Appointed as Morris County Counter Terrorism Coordinator and placed in command of the Homeland Security Division. Coordinated counter terrorism activities of Morris County Law Enforcement Agencies. Received FBI Secret Clearance.*
- *Coordinated Homeland Security programs with State of N.J. Office of Homeland Security and Preparedness and six other counties as part of the Urban Area Security Initiative (U.A.S.I.).*
- *Functioned as the Acting Chief of Investigations for sixteen months during the transition of prosecutor administrations.*
- *Coordinated and instructed at School Safety and Security Program addressing catastrophic events for Educators and Law Enforcement.*

JOB TITLE

Major

YEARS EMPLOYED (1973 - 2004)

*New Jersey State Police
West Trenton, NJ 08628-0068*

RESPONSIBILITIES AND ACCOMPLISHMENTS:

- *As Troop Commander managed the operations and administration of 8 patrol stations and several Headquarters Units in northern New Jersey,*

comprising 400 Troopers patrolling interstate roadways with primary police responsibility for 27 municipalities.

- *Developed, implemented and managed major security operations for several high profile events including World Cup 1994, Opsail/INR 2000, RNC 2000, post 9/11 Ceremonies and security augmentation at critical infrastructure sites.*
- *President of State Troopers Superior Officers Association 1999-2001.*
- *Chairman of the Weapons & Tactics Committee from 2001 – 2003.*
- *Participant in two week exchange and training mission to Israel with the Israeli Counter Terrorism/Hostage Rescue Unit (YAMAM).*
- *Participant in two week training program conducted by Spanish National Police, Avila, Spain on Violence in Large Scale Sporting Events.*
- *Academy Instructor seven years. Assisted developing the BFOQ or In-Service Fitness Program for the New Jersey State Police.*

EDUCATION

DEGREE EARNED AND MAJOR	INSTITUTION
<i>B.S. Secondary Education</i>	<i>Seton Hall University</i>

CERTIFICATIONS

<i>Certified Public Manager Levels I through VI</i>	<i>Rutgers University</i>
<i>Leadership & Strategic Planning Course</i>	<i>Rutgers University</i>
<i>Certified S.O.R.A. Instructor</i>	<i>State of New Jersey, N.J.S.P.</i>
<i>P.T.C. – Investigator</i>	<i>N.J. Police Training Commission</i>

PROFESSIONAL TRAINING

<i>West Point Command and Leadership Program</i>	<i>N.J. Association of Chiefs of Police</i>
<i>Managing Civil Actions in Threat Incidents</i>	<i>U.S. Department of Homeland Security</i>
<i>Enhanced Incident Management/Unified Command</i>	<i>U.S. Department of Homeland Security</i>
<i>WMD Awareness for Law Enforcement Executive</i>	<i>U.S. Department of Homeland Security</i>
<i>Law Enforcement Intelligence "Toolbox"</i>	<i>U.S. Department of Homeland Security</i>
<i>Criminal Intelligence Systems Operating Policies</i>	<i>U. S. Bureau of Justice Assistance</i>
<i>Prevention & Response to Suicide Bombing Trucks and Terrorism</i>	<i>New Mexico Technical Institute</i>
<i>Protection Detail Training</i>	<i>U. S. Secret Service</i>
<i>Violence in Large Scale Sporting Events</i>	<i>Spanish National Police Academy, Avila, Spain</i>
<i>Incident Command Training</i>	<i>National & Instructor Levels</i>
<i>Less Lethal Weapons Instructor</i>	<i>International Association of Chiefs of Police</i>
<i>State wide Intelligence Management System</i>	<i>New Jersey State Police</i>
<i>Domestic Preparedness Seminar</i>	<i>Rutgers University Police Institute</i>
<i>Multiple Terrorist Doctrine Seminar</i>	<i>Bergen County Police Academy</i>
<i>Level I and II Adv. Counter Terrorism</i>	<i>NJ Office of Homeland Security & Preparedness</i>
<i>Emergency Management Basic Workshop</i>	<i>NJSPOEM, Rutgers</i>
<i>Exercise Design Course</i>	<i>NJSPOEM, Rutgers</i>

MONITORSHIP EXPERIENCE

In 1992 I became a Station Commander and was regularly assigned to conduct internal investigations and conducted station/personnel inspections. I also evaluated complaints that came in and made decisions whether they met the criteria for instituting an internal investigation. As a Troop Commander (2002 & 2003) I also reviewed internals, conducted hearings on disciplinary grievances and rendered decisions/recommendations to the Superintendent.

During my tenor as a Station Commander, Division Operation Officer and Troop Commander I responded to and directed operations at more eight police involved shooting incidents ensuring the integrity and cooperation of the multi agency investigation as well as the welfare of the police officers involved.

During my employment with the Morris County Prosecutor's Office I was responsible for ensuring that hundreds of thousands of dollars in Federal Department of Homeland Security funds that passed through the State Office of Homeland Security and Preparedness to Morris County Law Enforcement agencies was properly applied to the project/grants they were intended for. As the County Counter Terrorism coordinator I was entrusted with FBI Secret Level clearance and participated in classified meetings and investigative briefings specifically geared toward counter terrorism efforts of foreign and domestic terrorist groups.

While at the Morris County Prosecutor's Office I was assigned as Acting Chief of Investigations for approximately 1 1/2 years. I reviewed the cases and made recommendations for additional investigative work and when investigations were completed I made recommendations to the Prosecutor regarding discipline if the charges were substantiated. During the course of my tenure there I also participated and led investigations involving police corruption, i.e. an Illegal Gambling Casino Enterprise run by Police Officers and an illegal Prostitution ring operated by a former Morris County Police Chief.

Currently I work part time as a Security Consultant and have worked with Newark Watershed Conservation and Development Corporation, East Orange Water Commission and Jersey City Water Commission developing plans and securing grants to protect these critical infrastructure entities. I am also working part time as a Security Supervisor at East Coast Warehouse in Port Elizabeth and conduct in house investigations, loss prevention audits and liaison with local and Port Authority Police agencies. I also do Private Investigations for several attorneys. These investigations have included sensitive EEO complaints, motor vehicle accidents, criminal activity and official misconduct as well as personal injury claims.

My work in the NJSP, Morris County Prosecutor's Office and now in private practice have enabled me to build a vast network of law enforcement contacts at the Federal, State and Local levels facilitating the information sharing needs that successful multi level investigations depend upon.

Michael V. Carrano

Project Manager/Business Analyst

- Project Plan Execution
- Managing Consulting Support
- Planned versus Actual Variance
- Budgeting Analysis
- Scope Change Management
- Value and Risk Analysis
- Strategic Business Planning
- Project Plan Development
- Cost/Benefit Analysis
- Contract Negotiations/Writing
- Client Relationship Management
- Task Planning and Scheduling
- Risk Identification and Mitigation
- Supply Chain Management
- Strategic Initiatives Implementation
- Resource Allocation Management

COMPUTER PROFICIENCY/ADDITIONAL LICENSES:

Microsoft Word, Excel, PowerPoint, Access, Outlook, HTML, Mathematica, C++, Timberline, Microsoft Project, Primavera Series 7 License (expired 2011), OSHA 40 HR HAZWOPPER (expired 2010), OSHA 10 Hour Construction Safety and Health, NYC DOB 4-HR Supported Scaffold Training

EXPERIENCE:

Thacher Associates Manhattan, NY

Forensic Engineer December 2012 – Present

- Lead Assessment Teams and Forensic Engineering inspections of commercial and residential properties in the New York City Rapid Repairs Program
- Audited materials, work, and labor in place in affected flood zones as a subcontractor for New York City Department of Investigations (DOI)
- Inspected and prepared forensic reports for damages to over 100 different residential and commercial buildings. Reports often included recommendations for repair
- Implemented regulatory compliance programs and fraud risk assessment, detection, and prevention for protection against the NYC Rapid Repairs/FEMA Fund
- Detected, Examined, and Investigated Change Order Fraud, Inflated I Subcontractor invoicing, and performed spot-audits to detect fraudulent/unethical behavior

Schimenti Management Company Ridgefield, CT

Project Manager February 2012 – December 2012 (RFL – Laid Off/Lack of Work)

- Managed job costs by evaluating and accessing weekly progress, planned versus actual variance, site execution and reviewing project costs versus budget on a weekly basis.
- Conducted overall project financial forecasts: monthly or as requested
- Wrote and created contracts, commitments, and scopes of work prior to execution of all contracts.
- Managed the change order process by generating and converting requests into executed change orders. Controlled and tracked change orders through existing systems.
- Built quality master schedules, updated schedules as needed in accordance with look ahead schedules, and communicated updated schedules with clients on a regular basis
- Maintained outstanding client relationships, resolved problems, disputes, and open issues on a timely basis with retail companies such as: Target, Kohl's, and Zara.

Sherwood Design Engineers Manhattan, NY

Business Development Coordinator June 2011 – November 2011 (RFL – Contract Expired)

- Developed proposals and persuasive endorsement for promising new business development opportunities in the sectors of sustainability, green infrastructure, and renewable energy technology
- Developed relationships with New York City Real Estate Firms to formalize partnership opportunities for sustainable infrastructure strategic consultancy and design work
- Determined opportunities firm should consider based upon strategic growth, profitability, alignment, and streamlined values
- Engaged in activities focusing on generating client awareness of the firm and its services and initiated and maintained high-level relationships with New York City Municipal Agencies, Public Institutions, Private companies, and Research foundations

J. Iapaluccio Inc. Brookfield, CT

Project Manager March 2010 - Jan. 2011

(RFL – Contract Expired)

- Responsible for client customer service on mandated projects, including cost and operational performance metric achievement, timing and phasing of construction in-progress and required regulatory approvals
- Coordinated and supervised over 30 unionized employees in addition to managing work assignment allocations, job performance metrics and assigning phase codes to all projects

AMR Capital Trading

Manhattan, NY

Junior Equity Trader February 2008 – February 2010

(RFL – Financial Downturn)

- Proprietary trader responsible for buying and selling of securities using short term proprietary automated trading models
- Responsible for research generation, including historical price and volume analysis, comparables analysis, DCF and proprietary relative value and peer group valuations
- Responsible for broker relationships and assisted Chief Financial Officer and Compliance department with internal reporting and regulatory filings and approvals

Bovis Lend Lease

Manhattan, NY

Assistant Project Manager/Project Engineer – March 2006 – February 2008

(RFL – Career Change)

- Monitored field work to ensure that all measures, plans and processes are being followed on site and are in accordance with the requirements of the LEED rating system

MILITARY EXPERIENCE:

- Cadet 4th Class United States Air Force Academy June 2001 - March 2002
- Cadet 3rd Class United States Air Force Academy March 2002 - July 2003
- Completed Basic Training, Combat Survival Training, Survival Evasion Resistance and Escape Training, Parachute/Jump School

EDUCATION:

2006	The Pennsylvania State University B.S. Environmental Systems Engineering	University Park, PA
2003	The United States Air Force Academy Environmental/Civil Engineering	Colorado Springs, CO

ADDITIONAL INFORMATION:

2005	Reading Royals <i>Professional Hockey Player (NHL affiliate to Los Angeles Kings)</i>	Reading, PA
2012	USA Ice Hockey Certified Coach Level 2 <i>Darien Youth Hockey Association Bantam Travel Coach</i>	Darien, CT

KENNETH J. CASADO

330 West 42nd Street, New York, New York 10036

Kenneth@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY

2006 - Present

Senior Forensic Engineer

- Monitor construction projects to detail evidence of fraud, corruption, defective pricing of waste in design, execution or management.
- Construction projects worked on include: WTC Transportation HUB and Memorial, Yankees Stadium, Fulton Street, Dey Street and South Ferry MTA projects
- Perform detailed schedule and budget analysis.

STV INCORPORATED, New York, NY

2002 - 2006

Civil Engineer

- Performed civil engineering tasks under the supervision of senior engineers
- Worked on engineering projects ranging from roadway reconstruction to utility site work.
- Used advanced civil engineering programs such as AutoTurn, Land Development, and Storm CAD along with Auto CAD to complete specific duties

STV INCORPORATED, Douglassville, PA

2001

Engineering Intern

- Interned in the highway and bridge divisions of the corporate office.
- Inspected bridges throughout eastern Pennsylvania, compiled bridge reports, calculated steel quantities, worked with COGO programming and modeling, gained experience using Microstation and Auto CAD.

PENNSYLVANIA DEPARTMENT OF TRANSPORTATION, Harrisburg, PA

2000

Scientific, Technical, and Engineering Intern

- Inspected roadway project on State Route 30 in Lancaster County.
- Inspected bridge work, roadway work, excavation, and drainage systems.
- Wrote formal reports on the day-to-day activities of the construction crews.

EDUCATION

The Pennsylvania State University, University Park, PA

B.S., Civil Engineering, 2002

PROFESSIONAL MEMBERSHIPS/CERTIFICATIONS

Engineer in Training Certification, 10-Hour OSHA, Primavera P3 and P6 trained, Association for Certified Fraud Examiners Associate Member

MONITORSHIP EXPERIENCE

The WTC Transportation Hub Project (November 2006 to Present)

The National September 11th Memorial and Museum (August 2008 to Present)

WTC Retail Project (October 2011 to Present)

Moynihan Station (August 2012 to Present)

WTC Central Chiller Plant (August 2008 to March 2012)

WTC 1 (Freedom Tower) (November 2006 to August 2008)

- As senior forensic engineer, responsible for monitoring the construction multibillion dollar projects for the Port Authority Office of the Inspector General

- Detailed evidence of fraud, corruption, defective pricing or waste in design, execution or management through detailed review of procurements, schedule, budget, invoicing, change orders and other related project information

(References: (All WTC and NS11MM Projects) Robert E. Van Etten, Inspector General, PANYNJ, 5 Marine View Plaza, Suite 502, Hoboken, N.J. 07030, Tel # 973-565-4330; Steven A. Pasichow, Port Auth OIG, 5 Marine View Plaza, Hoboken, NJ 07030; tel. # (973) -565-4366; (Moynihan Station) Mehul J. Patel, Vice President, Development, Moynihan Station Development Corporation, 633 Third Avenue, 36th Floor, New York, N.Y. 10017, Tel. # 917-584-2913)

New York City Rapid Repair Program (November 2012 to Present)

- As senior forensic engineer, monitored the emergency response by NYC to restore heat, power and hot water to areas affected by Hurricane Sandy
- Monitored the work of 3 general contractors and the construction manager assigned to provide services
- Performed field inspections of home assessments, active work sites and home close outs; evaluating compliance with program procedures, documenting work of assessment/close out teams and work crews and performing prevailing wage interviews

(Reference: Marjorie Landa, General Counsel, Department of Investigations, City of New York, 80 Maiden Lane, 17th Floor, New York, N.Y. 10038, Tel. # 212-825-2403)

Yankees Stadium (October 2008 to April 2010)

- As senior forensic engineer, responsible for monitoring the construction of the \$1.5 billion stadium for the Yankees
- Investigated the testing firm responsible for controlled inspections
- Reviewed and analyzed the project schedule and the GMP

(Reference: Randy Levine, President, Yankees, 161st Street and River Avenue, Bronx, N.Y. 10451, Tel. # 212-872-1005)

MTA Transit Projects (November 2006 to February 2013)

- As senior forensic engineer on the Fulton St., Dey St., South Ferry, 2nd Ave Subway and 7 Line Extension projects, responsible for performing prevailing wage interviews on site and reviewing M/W/DBE contractors working for the various general contractors

(Reference: Lamond Kearse, Office of Inspector General, Metropolitan Transportation Authority, 2 Broadway, 16th Floor, New York, N.Y. 10004, Tel. # 646-252-1330)

Tappan Zee Bridge (July 2012 to August 2012)

- As senior forensic engineer, monitored the procurement of contract for the construction of the \$3.5 billion bridge project

(Reference: Glenn B. Kartalis, Senior Vice President, AECOM, 100 Park Avenue, New York, N.Y. 10017, Tel. # 212-973-2999)

ROBERT (BOB) CECERE JR CCA, CFE

cecerer@thacherassociates.com

SUMMARY

Experienced large capital construction project Construction Forensic Accountant/Auditor.

- Understands financial risks and exposures of large capital construction projects.
- Skilled at addressing those risks with targeted Audit plan
- Ability to professionally interact with all parties of the construction project.
- Experienced in managing high-profile construction audits & supervising audit staff
- Specific focus on cheating schemes related to project security, community benefits programs, bidding, labor/union issues, insurance, change orders, other financial areas, quality and environmental issues, concrete testing and M/WBE Fraud
- Identification of significant Cost Savings through forensic accounting/auditing

PROFESSIONAL EXPERIENCE

THACHER ASSOCIATES, LLC

9/1/07-Present

Forensic Accountant/Auditor – New Yankee Stadium, NYCDEP Croton Water Treatment Plant, Lower Manhattan Development Corp (LMDC) Deconstruction of 130 Liberty Street, NY, NY (Deutsch Bank Building), and United Nations Building Renovation Projects

- Review Project Conformed Contracts/other documents to determine contracting strategy, identify areas of risk, create audit plans, conduct audits, and communicate findings.
- Identify project financial controls, policies/procedures and test for effectiveness
- Track project (ledger) budgets, commitments, and expenditures to identify trends/variances
- Monitor/analyze costs to minimize waste/maximize capital effectiveness
- Assess insurance, bonding, labor, equipment, and material costs, payment process
- Guaranteed Maximum Price (GMP) Audit
- Testing/inspection & MWBE compliance reviews
- Procurement process integrity oversight

STIER ANDERSON, LLC

3/07-8/07

Construction Auditor – Croton Water Treatment Plant, LMDC Deconstruction of 130 Liberty St, New Yankee Stadium Projects

- Identify cheating schemes related to project security, community benefits programs, bidding, labor/union issues, insurance, change orders, other financial areas, quality, and environmental issues through Integrity Monitoring/Auditing (similar to above)

COWORX STAFFING, LLC

7/05-3/07

Capital Project Accountant, Schering-Plough Corp, Summit, New Jersey

- Project Finance Representative – Cost Management/Financial Reporting
- Review proposals, process purchase requisitions, review contracts, track commitments & expenditures, maintain project ledger, audit invoices, prepare monthly accruals, cash flow forecast, map processes, evaluate and comment on procedures and processes for adequate control of projects valued at \$400 Million.

ROBERT (BOB) CECERE JR CCA, CFE

Page Two

cecerer@thacherassociates.com

CAPSTONE STAFFING GROUP

11/04-7/05

Construction Auditor, Port Authority of NY/NJ, Journal Square, Jersey City, NJ

- Adhering to pre-determined audit programs, conduct detailed reviews of net-cost billings reconciling them to contracts and identifying and recovering cost savings.

MERCK & CO., INC.

9/94-8/04

Sr. Project Auditor, Central Engineering, Somerset, NJ (2002-2004)

- Provided ongoing construction monitoring to multiple capital projects.
- As Auditor-In-Charge, managed Construction Project/Contractor Audits.
- Conducted first Merck Engineering Sarbanes-Oxley Fixed Asset Control Testing.

Engineering Services Associate, Central Engineering, Somerset, NJ (1999-2001)

- Managed the Central Engineering Dept. Firm Evaluation System, Project Safety Performance-Metric Program, the Cost Savings Program, and department space-plan/relocation of 400 workers.

Sr. Construction Auditor, Corporate Audit Group, Whitehouse Station, NJ (1995-1999)

- Provided ongoing construction auditing/monitoring to 15+ capital projects.
- As Auditor-In-Charge, managed Merck Internal Audit of Central Engineering Dept
- Initiated program to participate in New Jersey Enterprise Zone reduced sales tax program

Construction Auditor, Talent Tree Personnel Service, Contingent Worker, Internal Audit Department, Whitehouse Station, NJ (1994-1995)

- Performed similar duties to above as 'contingent' worker. Hired as Merck permanent employee in 1995.

PREVIOUS RELEVANT EXPERIENCE

HAPAG-LLOYD (AMERICA), INC., Piscataway, NJ

Facilities Coordinator, Administration – Coordinated corporate building services

H.P. HUNT CONSTRUCTION CO., INC., Colts Neck, NJ

Owner/Project Superintendent/Union Laborer – Supervised union labor to complete various construction projects for large industrial owners (Ciba-Geigy/BASF/Celanese).

D. T. ALWORTH CONTRACTING CO., INC., Montclair, NJ

Union Pipe-fitter/Purchasing Agent/Field Office Manager/Foreman (Exxon, Bayway, NJ)

EDUCATION

B.A., Business Administration, Lycoming College, Williamsport, PA

CERTIFICATION

CCA, Certified Construction Auditor (NACA), NYNJ Chapter Vice President
CFE, Certified Fraud Examiner (ACFE)

SHERRY CHANG

330 West 42nd Street, New York, New York 10036

Sherry@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY

2008 - Present

Project Administrator

- Responsible for creating and maintaining critical company files, calendars, schedules, spreadsheets, memos, reports, analysis and budgets.
- Assist in business proposal edits and finalizations under supervision of Managing Directors and Firm Principals.
- Organize, update and manage electronic document management system.
- Detailed tracking of daily billable hours and matters.
- General administrative duties; phones, filing, supplies, etc.

DECHERT, LLP, New York, NY

2007 - 2008

Litigation Paralegal - Supervisor

- Responsible for creating, updating and maintaining litigation excel spreadsheets, calendars, and schedules for witnesses.
- E-discovery and document review and analysis determining whether documents were wholly producible, partially producible with redactions, confidential, privileged, confidential and privileged or totally irrelevant.
- Performed quality check review of contract attorney document reviews and supplied feedback regarding quality of review.
- Organize and manage electronic document system.

CARDIACASSIST, INC., New York, NY

2006 - 2007

Senior Clinical Education Specialist (Mid-Atlantic & Northeast Region)

- Managed and provided all educational/clinical support for Mid-Atlantic and Northeast Region hospital clientele.
- Managed hospital clientele business relationships.
- Trained physicians and nurses on clinical use of TandemHeart PTVA System.
- Provided educational seminars, attended/supported both scheduled emergency clinical cases.
- Drafted and submitted reports of clinical cases for publication.

FRESENIUS MEDICAL CARE, Westminister, CA

2004 - 2006

Perfusion Assistant/Certified Clinical Technician (Orange County Region)

- Assisted staff Certified Clinical Perfusionists and hospital medical staff in operating room clinical cases.
- Detailed record keeping of all patient data and reports.
- Certified Technician: Intra-Aortic Balloon Pump, Autologous Blood Salvage and Autologous Platelet Gel-Phoresis
- Created, updated and maintained client proformas

ADDITIONAL SKILLS

Strong verbal and written communication skills, strong analytical and problem solving skills, excellent interpersonal skills, extensive knowledge of Microsoft Office (Word, Excel, Powerpoint, Access), Ringtail Database System, Millennium Electronic Document Management System, Provantage, proficient in Mac and Windows operating systems

EDUCATION

University of California, Irvine, Irvine, CA

B.S., Biological Sciences, 2002

PROFESSIONAL MEMBERSHIPS/CERTIFICATIONS

Intra-Aortic Balloon Pump, Autologous Blood Salvage, Autologous Platelet Gel-Phoresis

MOST RECENT INTEGRITY MONITORING ENGAGEMENTS

My three most recent integrity monitoring engagements are: The National September 11th Memorial and Museum and the WTC Central Chiller Plant monitoring engagements (December 2008 to present), the L&L Painting Co., Inc. monitoring engagement (October 2009 to present), and the P.J. Mechanical Corp. monitoring engagement (July 2010 to present). All are Thacher Associates engagements. My role on these engagements is in the capacity of Project Administrator. I report directly to the Project Manager of each respective monitoring engagement. As Project Administrator on each respective project, I am responsible for organizing, updating and managing all project related electronic and hard copy documents in an electronic document management system and filing cabinet, and creating, editing and updating project related spreadsheets (i.e., site visit logs, budgets, analysis, charts, etc.), documents, and Powerpoint presentations as requested by clients and/or Project Managers. I am also responsible for organizing and managing project related team schedules, calendars, and meetings, communicating and distributing to project teams regarding any and all project-wide information issued by the client, and reviewing all project related memos, reports and e-mails from team members and clients to stay informed on status of projects.

GARY H. CIMORELLI

BACKGROUND SUMMARY

Retired Law Enforcement Professional • Innovative thinker possessing a strong background in investigations, contract management and vendor compliance • Excel in highly competitive environments where leadership, are the keys to success • Excellent interpersonal, analytical and organization skills to effectively collaborate with the full range of job-related contacts

EXPERIENCE

<u>JOB TITLE</u>	<u>YEARS EMPLOYED (JANUARY 2009 TO PRESENT)</u>
<i>Logistics Section Chief</i>	<i>FEMA, 26 Federal Plaza New York, NY 10278</i>

RESPONSIBILITIES AND ACCOMPLISHMENTS:

- *Disaster Assistance Employee overseeing contract administration on various vendors for a multitude of commodities and service*

<u>JOB TITLE</u>	<u>YEARS EMPLOYED (2005 - 2008)</u>
<i>Detective</i>	<i>Morris County Prosecutor's Office Morristown, NJ 07963-0900</i>

RESPONSIBILITIES AND ACCOMPLISHMENTS:

- *Served as the Assistant Morris County Counter Terrorism Coordinator engaged in investigations of Homeland Security Threats and attained FBI Secret Clearance.*
- *Trained Risk Assessment Officer at the Regional Infrastructure Protection Center of NYPD for security, loss prevention and recipient of the ASIS International 2008 Leadership Award.*

<u>JOB TITLE</u>	<u>YEARS EMPLOYED (1977 - 2005)</u>
<i>Captain, Regional Commander</i>	<i>New Jersey State Police West Trenton, NJ 08628-0068</i>

RESPONSIBILITIES AND ACCOMPLISHMENTS:

- *Managed the operations of 4 patrol stations with 200 Troopers responsible for 300 square miles of patrol area and 150 interstate miles.*
- *Facility Manager for the New Jersey State Police responsible for the oversight of 151 facilities at 125 locations and project manager for more than \$50 million of capital construction projects.*
- *Graduate of the 195th FBI National Academy in 1998.*

EDUCATION

<u>DEGREE EARNED AND MAJOR</u>	<u>INSTITUTION</u>
<i>M.A. Criminal Justice</i>	<i>John Jay College of Criminal Justice</i>
<i>B.A. Psychology</i>	<i>Montclair State College</i>
<i>A.A.S. Mechanical Technology</i>	<i>County College of Morris</i>



Vincent D'Amelio, CPA

Vincent D'Amelio
Executive Managing Director

K2 Global Consulting, N.A., LLC
599 Lexington Avenue, 12th Floor
New York, NY 10022

Tel: 917.281.3248

Fax: 917.281.3241

vdamelio@k2global.net

Professional History

- Managing Director, Navigant Consulting
- Director, KPMG Forensic
- Vice President, Forensic Accounting and Claims, Reliance National Insurance Company
- Director of Forensic Accounting, AIG Fidelity Claim Department
- Senior Financial Investigator, New York County District Attorney's Office
- Insurance Examiner, New York State Insurance Department

Professional Certifications

- Certified Public Accountant (CPA)
- Certified in Financial Forensics

Teaching Positions

- St. John's University, Peter J. Tobin College of Business – Adjunct Professor, Principles of Forensic Accounting
- New York University – Lecturer on Investigative and Forensic Accounting

Vincent D'Amelio is an Executive Managing Director at K2 Intelligence and Thacher Associates. He has over 20 years experience performing forensic accounting analysis and investigations. He specializes in Integrity Monitorships, Ponzi schemes, asset misappropriation, financial statement fraud, fidelity insurance claims, and regulatory compliance. Vince has testified as an expert witness in both Federal and State court. Vince is currently an Adjunct Professor in the Tobin College of Business at St John's University where he has developed and teaches a graduate course in Forensic Accounting.

Monitoring and IPSIG Experience

- Led a team of over 80 professionals responsible for the financial oversight of all construction contractors' billings relating to the demolition and debris removal at the World Trade Center site. Reviewed and analyzed all construction manager and subcontractor invoices. Work involved 24 hour a day, 7 days a week field monitoring of trade labor, equipment usage and material deliveries. Served as liaison between KPMG and all city, state, and federal agencies involved in the cleanup, including, FEMA, NYC Department of Design and Construction, NYC Department of Investigation, NYC Office of Management and Budget, PANYNJ, NYPD, FDNY and various other entities.
- Served as the lead forensic accountant on the monitorship of Tutor-Perini on behalf of the Port Authority of NYNJ associated with their work at JFK Airport and the World Trade Center.
- Led the forensic accounting efforts of the court appointed monitorship of the Suburban Carting Group of companies. The monitorship focused on companies controlled by Thomas Milo, Nicholas Milo, Louis Corso and James Galante. Included in the group were at least a dozen solid waste related companies including carting companies, transfer stations, recycling operations and a landfill located throughout Westchester, Orange and Rockland Counties and Connecticut. The monitorship included, but was not limited to the verification of revenues, amounts of solid waste collected and disposed of, tipping fee arrangements and validity of expenses.

- Led a law enforcement appointed IPSIG of a major plumbing contractor accused of paying kickbacks to organized crime.
- Led a law enforcement appointed IPSIG of a major elevator contractor accused of bribing NYC building inspectors.

Reference:

Demolition and Debris Removal at World Trade Center (October 2001 – October 2003): Eric McFarlane, Assistant Commissioner, Department of Design and Construction, City of New York, 30-30 Thomson Avenue, Long Island City, N.Y. 11101, Tel. # 718-391-2251

BARRY DEFOE

330 West 42nd Street, New York, New York 10036

Barry@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY
Managing Director/Senior Investigator

2000 - Present

- Supervise and conduct field investigations, provide investigative planning and case analysis, and oversee internal investigations of corporate fraud for a corporate investigations firm.
- Integrity Monitor of the rebuilding of the World Trade Center Transportation Hub.
 - Part of a multi-disciplinary team working with the Port Authority of New York and New Jersey's Office of Inspector General on this \$3 billion project.
 - Identified integrity risks and existing controls and have developed and implemented procedures to minimize the risk of fraud and unethical practices, with a focus on procurement practices.
- Managed internal investigation of allegations of fraudulent or inappropriate conduct by employees and vendors of a large non-profit organization
 - Identified and reported to the Executive Director and Audit Committee of the Board of Directors on significant issues uncovered.
 - Uncovered evidence leading to the removal of senior management and other staff, monetary recoveries from vendors and changes in procurement procedures.
- Multiple domestic and international investigations on behalf of the Audit Committee of a publicly-traded technology company. Investigations of various forms of financial misconduct resulted in the restatement of financial statements.
- Integrity compliance monitor, with Ernst & Young, for the Lower Manhattan Development Corporation's ("LMDC") \$280 million Residential Grant Program, which offered financial assistance to qualified tenants residing in Lower Manhattan following September 11, 2001.
 - Working closely with LMDC, participated in the development and implementation of policies, procedures and controls to ensure internal and external compliance and to minimize the risk of fraud.
 - Developed evidence contributing to the conviction of four individuals on Federal charges of having made fraudulent statements to obtain grants.

NEW YORK STATE ORGANIZED CRIME TASK FORCE (OCTF), Albany, NY **1981 - 2000**
Senior Investigator

- Performed all investigative tasks associated with complex multi-agency investigations and prosecutions of organized criminal groups. Specialized in the investigation of financial crimes, including money laundering, corporate and government corruption, false billing schemes, construction and real estate frauds, planned bankruptcies, tax frauds and illegal gambling. Significant cases included:
 - International money laundering through Broadway National Bank in New York City:
 - Initiated and was sole investigator in investigation and resulting seizure and forfeiture of \$1,200,000 from international money laundering ring's account at the bank.

- Initiated regulatory action against the bank, resulting in Federal order requiring changes in bank's practices and the hiring of an independent auditing firm leading to seizure of 19 additional account containing over \$800,000.
- Multimillion dollar fraud and tax violations by Donald Carter and The Carter Organization, a Wall Street proxy-solicitation firm:
 - Lead investigator in case. Developed critical informants and interviewed subjects, witnesses and victims throughout the United States.
 - Carter pled guilty to felony charges and served term in state prison. New York State received \$3,200,000 in civil forfeitures and \$537,000 in back taxes.

PROFESSIONAL CREDENTIALS

Certified Fraud Examiner (CFE); Member, Association of Certified Fraud Examiners; Board of Directors, NYC Chapter of the Association of Certified Fraud Examiners; Member, International Association of Independent Private Sector Inspectors General

EDUCATION

State University of NY - Albany, Albany, NY

Ph.D. Candidate, Criminal Justice, 1986
M.A., Criminal Justice, 1980

Colorado College, Colorado Springs, CO

B.A., Political Science, 1979

MONITORSHIP EXPERIENCE

P.J. Mechanical and Affiliates Integrity Monitoring Engagements

I have been the Project Manager of Integrity Monitorships of P.J. Mechanical (PJM), an HVAC firm, and its affiliates, including Delta Sheet Metal, since May 2011. We were selected to serve as PJM's Integrity Monitor on both public and private projects following the execution of search warrants at PJM's offices in June 2010. PJM and a principal were indicted on Grand Larceny charges in May 2011; the indictment against PJM was subsequently dismissed but the principal remains under indictment. We report to owners and their representatives on private projects and we report to the Port Authority Office of Inspector General in connection with four contracts that PJM and Delta have at the WTC site on the Transportation Hub, Retail and Memorial Projects. As a result of an agreement that Delta just entered into with the New York City Department of Investigation, we will also be monitoring Delta's work on two contracts with the City of New York.

On this engagement, our mission is to monitor the integrity of the Projects so as to prevent/ detect organized crime, labor racketeering, corruption, fraud, and failure to comply with regulatory and contractual requirements. We designed and implemented a project integrity compliance program and have conducted ethics training for staff. We examine the Projects' construction and financial processes and perform forensic analyses of a sample of transactions. We perform these functions with a multi-disciplinary team consisting of investigators, auditors, engineers, and other specialists as determined by the need of the engagement. During the engagement, we have made recommendations that have been accepted by PJM to improve their internal controls.

As the Project Manager, I am responsible for directing the activities of the Thacher integrity monitoring team so as to meet contractual requirements and client priorities. I am responsible for consulting with the clients so as to identify and from time to time modify the mission/ objectives of the engagements and for providing oral and written reports to the clients. On a day to day basis, I am responsible for coordinating the activities of our team to maximize team efficiency.

(Reference: Robert Joyce, Port Authority OIG, 5 Marine View Plaza, Hoboken, NJ 07030; tel. # 973-565-4349)

JOSEPH A. DELUCA

330 West 42nd Street, New York, New York 10036

Joe@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY

1996 - Present

Co-Founder, Executive Vice President and Chief Operating Officer

- Created a full service organization that provides corruption prevention/detection services including investigations and research, electronic due diligence, database services, forensic audits, risk assessments, business intelligence, compliance programs and civil prosecutions to public and private sector clients.
- Provide monitoring and oversight programs directly to government agencies or private sector contractors and assist government agencies in the management of Independent Private Sector Inspector General (“IPSIG”) programs.

NEW YORK CITY SCHOOL CONSTRUCTION AUTHORITY, Bronx, NY

1990 - 1996

Assistant Inspector General (Office of the Inspector General)

- Co-founded office along with the Inspector General.
- Conceptualized mission, structure and methods.
- Developed, implemented and staffed the Office of the Inspector General where none had previously existed: from site selection, office design, computer/telephone/security systems purchase, to hiring of attorneys, analysts, investigative engineers and support staff.
- Managed three units central to the agency: research and analysis, intelligence and MIS.
- Supported the Inspector General through problem identification; crime pattern assessments; the collection, storage and retrieval of intelligence; conducting policy and procedure analysis; and developing policy recommendations to protect and improve the integrity of the SCA’s construction process.
- Developed sophisticated structural and systems analysis programs aimed at prevention and detection; an intelligence capability complemented by proactive undercover operations; and a state of the art computer system designed to facilitate the exchange and analysis of information within the agency and with other law enforcement entities.

NEW YORK STATE ORGANIZED CRIME TASK FORCE, White Plains, NY

1980 - 1990

Chief Analyst, Construction Industry Task Force

- Supervised research and analysis component of OCTF’s construction industry project which culminated in two published reports to Governor Cuomo, Corruption and Racketeering in the New York City Construction Industry.

Senior Analyst

- Labor racketeering: Headed the analysis team that led to a major prosecution of the Long Island carting industry.
- Participated in and conducted research for Racketeering in Legitimate Industries, a report published by the Rand Corporation, which focused on organized crime control of the Long Island carting industry.
- Commission Case: Played a significant role and assisted in the prosecution of the New York’s five Cosa Nostra crime family bosses and underbosses for their control of the City’s concrete industry.

NEW JERSEY STATE POLICE, West Trenton, NJ

1978 - 1980

Intelligence Analyst

- Participated in the pilot study of a New Jersey State Police Analysis Unit. Many law enforcement agencies, including FBI, Scotland Yard and the Canadian and Australian Police Departments drew upon the unit’s expertise in designing and implementing intelligence analysis components.

EDUCATION

West Virginia University, Morgantown, WV

M.P.A., Public Administration, 1976

Salem College, Salem, WV

B.A., Criminal Justice/Sociology, 1975

PROFESSIONAL MEMBERSHIPS/CERTIFICATIONS

Licensed Private Investigator (NY and NJ)

MONITORSHIP EXPERIENCE

As Executive Vice President/Chief Operating Officer, Mr. DeLuca has shared principal responsibility (with the Firm's co-founder Thomas Thacher) for executive management of all of the Firm's key integrity monitorships, including the Ground Zero, MTA Transit Projects, Scalamandre, the Port Authority of New York and New Jersey's WTC Transportation Hub, Retail and the National September 11th Memorial monitorships. In this capacity, he has played a key role in the development and refinement of the integrity risk management monitoring plans, and in the management teams that have overseen the implementation of those plans.

References:

Available upon request.

Mark A Duggan

Summary of Qualifications

- Licensed by the State of New York to transact business as a Private Investigator
- Over 25 years experience in conducting a wide range of diversified investigations
- Bi-lingual. Fluent in English and Spanish
- Excellent interviewing techniques and written communication skills
- Strong analytical and research skills

Professional Background

New York County District Attorney's Office

07/11 – Present

As a Senior Rackets Investigator responsibilities include providing support for both cases and investigations of the Trial and Investigation Divisions. From locating reluctant witnesses, to long term undercover operations, to witness interviews, to the execution of search warrants.

AML Consulting Service/Promontory Financial Group – Consultant

12/07 – 07/11

Performed the following AML (Anti-Money Laundering) functions as first an Analyst and subsequently, an Investigator. Generated new cases for investigation warranting additional scrutiny, based on the review of clusters of wire transfer activity and the presence of indicators (red flags) of possible suspicious activity. Conducted and documented extensive research of cases to determine if suspicious activity occurred. This research was centered on corporate entities as well as individuals and the financial institutions involved in the activity. Reviewed and edited information developed through research for case review by first an Investigator and subsequently by a Supervisor. Submitted case closing recommendations to Supervisors. In the Fall and Winter of 2010/2011, acted as an investigative consultant, providing litigation support for the U.S. Postal Inspector's Office.

KBTF Group LLC – Consultant

1/06 – 07/11

Responsible for surveillance operations, conducting interviews, preparing Court ready reports and detailed documentation of investigative observations and results. Including the collection and dissemination of photographic evidence. Litigation Support: Conducted comprehensive forensic review of Discovery documents in high profile corporate litigation utilizing the Concordance and IPRO systems. Prepared Excel spreadsheet summary documentation for Attorney reference.

The Repton Group – Vice President of Investigations

9/05 – 06/08

Responsibilities include: conducting due diligence investigations, background checks, litigation support, and surveillance operations. Also conduct interviews as well as Court ready report preparation and detailed documentation of investigative observations and results.

CSS Group - Managing Director of Operations

5/05 – 09/05

Lead investigator on multiple investigations requiring detailed fact-gathering and documentation of results while maintaining a high-level of integrity due to the sensitive nature of the cases.

Investigations required interviews, surveillance and witness location. Participated in corporate fraud investigations, both nationally and internationally. Conducted Employee background checks (due diligence) and investigated cases involving sexual harassment in the work place.

Astoria Federal Savings Bank - Fraud Investigator

6/04 – 05/05

Conducted investigations of losses and fraud committed against the bank, including internal investigations, money laundering, loan fraud and check fraud cases.

Law Enforcement Background

Organized Crime Control Bureau - Firearms Investigation Unit

6/02 - 1/04

The prosecution and imprisonment of those person(s) found to be involved in the trafficking of firearm(s).

Organized Crime Control Bureau - Asset Forfeiture Unit

3/01 - 6/02

Responsible for interviewing, debriefing, asset investigation and scrutiny of work/financial history of person(s) arrested for criminal activities. Utilized Autotrack and Nexis-Lexis applications as a research tool to identify and locate persons, associates, locations and real properties. Conferred with Civil Enforcement, DEA, US Customs Service, IRS and the District Attorney's office. Located Safe Deposit boxes used by subjects to store illegal monies and built probable cause to obtain search warrants for safe deposit boxes.

Criminal Intelligence Section, Manhattan North Borough Intelligence Team

11/00 - 03/01

Pilot unit developed as a central investigative body whose function was to disseminate information and intelligence to any investigative body seeking to enhance their investigations. Served as a liaison with Manhattan Detective squads including the Manhattan North Homicide Squad, Manhattan District Attorney's office and NY/NJ High Intensity Drug Trafficking Area.

Detective Bureau, 25th Precinct Detective Squad

3/98 - 11/00

Assigned to investigate any cases requiring further investigation to apprehend and arrest person(s) wanted for prosecutable offenses.

**Organized Crime Control Bureau – Manhattan North Tactical Narcotics Team,
Manhattan North Nitro Unit, Manhattan North Major Case Unit and Manhattan North
Narcotics Homicide Task Force**

4/92 - 3/98

Participated and made street level drug arrests leading to the execution of search warrants, both as an affiant as well as in the capacity of a post-execution intelligence gatherer. Responsibilities involved surveillance, report writing, wiretaps, conversation transcriptions, clone phone monitoring as well as debriefings and interviews.

NYPD 25th Precinct

1/84 - 4/92

Conducted preliminary investigations, effected arrests and interacted with the community as a means of solving problems. Identified crime patterns and conducted investigations through the use of department computer systems and physical methods of surveillance.

ROBERT D. ELLMAN

330 West 42nd Street, New York, New York 10036

Rob@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY
Senior Research/Analyst

2001 - Present

- Project Manager for a premiere equity firm client's administrative and executive level employee background screens.
- Coordinate investigative planning with Project Managers and company executives.
- Supervise/review/delegate research assignments, interface with field investigators and forensic engineers.
- Establish document management protocol.
- Conduct interviews with Project managers and draft reports summarizing research of hundreds of subcontractors re M/W/DBE integrity compliance for monitorship between a multinational general contractor and large New York City agency.
- Coordinate due diligence research regarding hundreds of subcontractors for a prominent investment bank re construction of new branch in midtown Manhattan on previous project; manage workflow with colleagues, perform troubleshooting with client and report to Project Manager and Thacher executives.
- Initiated development of identity theft protocol to solicit new business.
- Mentor junior analysts and knowledge management resource for entirety of office.
- Research, analyze and manage documents for investigations of contractors, vendors and suppliers for compliance with local, state and federal laws governing prevailing wage requirements, DBE/MBE requirements and general accounting and engineering contractual requirements for public sector clients.
- Perform litigation support research; asset tracing and analysis for law firm clients.
- Perform internal audit document reviews for government and private sector clients.
- Complete specific research assignments within the time and budgetary constraints allocated.
- Interview witnesses and conduct field surveillance for a mid-sized New York City agency client.

SUITE101.COM

2011 – Present

Freelance Writer

- Commentary about politics, current events, history, information science, sports and society.

BERRET-KOHLER PUBLISHERS, (based in) Oakland, CA

2006 – Present

Part-Time Freelance Editing Consultant

- Review early drafts of political, economic and social science books.
- Submit detailed itemized reviews with suggestions and criticisms regarding reviewed drafts.
- Interface with authors via telephone and e-mail.
- Contributions to Andrea Batista-Schlesinger's Book, "The Death of Why" referenced in Acknowledgements section.

AMERICAN EXPRESS, Hoboken, NJ

2001 - 2001

Research Assistant

- Provided research support for Business Intelligence/Marketplace Insights Team on information queries from Amex's worldwide corporation.
- Assisted library users with online databases and other library resources.
- Collected and maintained library user/reference statistics and create monthly Excel reports.

- Scanned research materials into a proprietary digital database.
- Catalogued and classified library reference materials using INMAGIC software and LC cataloging.
- Regularly contacted EBSCO and used EBSCONET for serials control.
- Supervised and trained high-school co-op students.
- Interviewed prospective interns.

PROFESSIONAL CREDENTIALS AND ASSOCIATIONS

Licensed New York State Private Investigator; member of the Special Libraries Association.

EDUCATION

Queens College, Graduate School of Library & Information Studies, Flushing, NY M.L.S., 2001

Sarah Lawrence College, Bronxville, NY B.A., History & Political Science, 1991

COMPUTER SKILLS

Microsoft Word, Excel, Powerpoint; ACT for Windows; Lotus Notes; Great Plains Dynamics; Alchemy Research; ISYS; Millennium; New York City Mayor's Office of Contract Services VENDEX Database; Provantage; LEXIS-NEXIS; Westlaw; Factiva/Dow Jones; Dun & Bradstreet; Accurint/IRB; Tracers; CLEAR; Merlin; Pacer; Live Edgar; First Call; OneSource; Dialog; World-Check; popular Internet search engines.

MONITORSHIP EXPERIENCE

Ground Zero Engagement (2001-2006)

Scalamandre Engagement (2001-2006)

Washington Group International (2004-2010)

Jacobs Engineering (2004-2010)

Safeway Environmental Engagement (2001-2006)

MTA – Skanska Engagement (2012-Present)

Schiavone Construction Engagement (2012-Present)

LaQuila Group Engagement (2001-Present)

Port Authority WTC Projects (Hub, Retail, NS11MM) (2006-Present)

P.J. Mechanical Engagement (2010-Present)

Senior Research Analyst. Extensive experience with corporate and construction industry related due diligence, investigative planning and analysis, asset tracing, litigation support, research utilizing public records and commercial databases. Responsibilities include synthesizing large volumes of information into succinctly written reports.

References:

(Ground Zero): Goodwin Benjamin, Department of Investigation, City of New York, 80 Maiden Lane, 18th Floor, New York, N.Y. 10038

(Scalamandre): Arkin, Kaplan & Cohen LLP, 590 Madison Avenue, 35th Floor, New York, N.Y. 10022, Tel. #212-333-0200

(Washington Group): Washington Group International Inc., 510 Carnegie Center, Princeton, N.J. 08540

(Jacobs Engineering): John F. Hoehner, Esq., Director – Global Litigation, Jacobs Engineering Group, Inc., 501 North Broadway, 11th Floor, St. Louis, M.O. 63102, Tel. #314-335-4076

(Safeway Environmental): Kirk Eng, Chief Fiscal Officer, Department of Investigation, City of New York, 80 Maiden Lane, 18th Floor, New York, N.Y. 10038, Tel. #212-825-2875

(MTA – Skanska): Martin Flumenbaum, Partner, Paul Weiss Rifkind Wharton & Garrison LLC, 1285 Avenue of the Americas, New York, N.Y. 10019, Tel. # 212-373-3191

(Schiavone Construction): Lorraine D'Angelo, Esq., CCEP, Sr. Vice President – Ethics & Compliance, Dragados USA, 500 Fifth Avenue, 38th Floor, New York, N.Y. 10110, Tel. # 212-779-0900 x 131

(The LaQuila Group): Angelo Sisca, Vice President – Operations, LaQuila Group, 1590 Troy Avenue, Brooklyn, N.Y. 11234, Tel. # 718-252-0126

(Port Authority WTC Engagements): Robert E. Van Etten, Inspector General, PANYNJ, 5 Marine View Plaza, Suite 502, Hoboken, N.J. 07030, Tel # 973-565-4330; Steven A. Pasichow, Port Auth OIG, 5 Marine View Plaza, Hoboken, NJ 07030; tel. # (973) -565-4366

(PJ Mechanical): Robert Joyce, Port Authority OIG, 5 Marine View Plaza, Hoboken, NJ 07030; tel. # 973-565-4349

SARAH FATTAH, CFE

330 West 42nd Street, New York, New York 10036

SFattah@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY

2011 - Present

Forensic Auditor

- Analyze and audit certified payrolls, fringe benefit records, timesheets, and internal payroll records to determine the proper use of prevailing wages and internal controls on various construction projects throughout New York City.
- Conduct audits and inquiries pertaining to Women- and Minority-Owned Business Enterprises awarded contracts on NYC construction projects.
- Perform sample testing of bank records, financial statements and other company information as a result of fraud or misconduct allegations.

KOHL'S DEPARTMENT STORES, Englishtown, Holmdel & East Brunswick, NJ

2008 - 2011

Loss Prevention Supervisor

- Conducted audits of operational and shortage control procedures.
- Performed internal audits of associates' transactions with the use of internal databases and electronic journals.
- Implemented theft prevention and shortage control programs.
- Chosen as a High Potential Candidate and attended training and development conferences.
- Progressed from a medium risk to a high risk location.
- Completed presentations and projects for regional Management and Loss Prevention personnel.
- Detailed report writing and maintained case files.
- Both verbal and written communication with attorneys and law enforcement.

INTERFOR, INC., New York, NY

2007 - 2008

Investigator

- Lead investigator on a heavy national and international caseload involving various types of fraud, due diligence and asset and person location.
- Conducted field audits and data collection pertaining to pyramid schemes and hidden assets.
- Managed case files and accounts.
- Both verbal and written communication with clients and sources.
- Report writing and presentation for clients.

SAFIR ROSETTI, New York, NY

2007

Forensic Associate

- Performed investigations involving the use of forensic accounting, field audits, data collection and interviews pertaining to alleged fraud allegations with the New York construction industry.
- Managed case files and accounts.
- Both verbal and written communication with clients and subcontractors.
- Report writing and presentations for clients.

J.A.M. COLLECTIONS, LLC, Morganville, NJ

2005 - 2006

Legal Assistant to the President

- Managed office while conducting asset recovery and collections.
- Drafted and negotiated settlements.
- Interpreted legal documents and contracts
- Maintained files and accounts
- Both verbal and written communication with clients, attorneys, and debtors.

EDUCATION

Utica College, Utica, NY M.B.A., Econ. Crime & Fraud Mgmt., 2010

Rutgers, the State University of New Jersey, Newark, NJ B.A., Criminal Justice, 2006

Brookdale Community College, Neptune, NJ A.S., Criminal Justice, 2004

PROFESSIONAL MEMBERSHIPS/CERTIFICATIONS

Association of Certified Fraud Examiners (ACFE)

MOST RECENT INTEGRITY MONITORING ENGAGEMENTS

My three most recent integrity monitoring engagements are: The WTC Transportation Hub monitoring engagements (April 2011 to present), the L&L Painting Co., Inc. monitoring engagement (May 2011 to present), and the P.J. Mechanical Corp. monitoring engagement (May 2011 to present). All are Thacher Associates engagements. My role on these engagements is in the capacity of Forensic Auditor. I report directly to the Director of Forensic Auditing and the Project Manager of each respective monitoring engagement. As Forensic Auditor on each respective project, I am responsible for analyzing and auditing certified payroll reports, fringe benefit records, timesheets, and internal payroll records to determine the proper use of Prevailing Wages and internal controls of various contractors and NYC public projects. I am also responsible for conducting audits and inquiries pertain to women- and minority-owned business enterprises, performing sample testing of bank records, financial statements and other company information as a result of fraud or misconduct allegations.



TIMOTHY J. FEEHAN

SUMMARY OF QUALIFICATIONS

- 22 years professional experience in law enforcement, extensive contact within the New York City Police Department and outside agencies throughout the law enforcement field
- 14 years as a New York City Police Detective conducting investigations in various investigative assignments
- 12 years in the detective squad conducting homicide investigations
- Excellent in interrogation and communication skills
- Self motivated investigator committed to high quality investigations resulting in positive results

CIVIL SERVICE GRADES

- **Detective 1st Grade:** October 2011
- **Detective 2nd Grade:** December 2006
- **Detective 3rd Grade:** February 1998
- **Police Officer:** October 1990

WORK EXPERIENCE

Thacher Associates, LLC, 2012-Present

2012-Present **Investigator**

- Monitor contractor activities, risk areas, surveillance and investigation as needed for NYC Rapid Repair Program

New York City Police Department, 1990-2012

2006-2012 **Detective Investigator:** 102 Precinct Detective Squad, Queens, NY

- Respond to and investigate all homicides and major crimes
- Establish crime scenes and detain witnesses
- Prepare detailed investigative reports
- Provide expert testimony and present case findings in local, state and federal courts

2003-2006 **Detective Investigator:** 103 Precinct Detective Squad, Queens, NY

- Instrumental in the investigation of all crimes committed within the precinct; including homicides, larcenies and fraud
- Coordinated tactical plans for the execution of search warrants and arrest warrants
- Utilized strong communication skills in developing suspect profiles
- Made numerous arrests of violent felons
- Well versed in the use of NYPD databases, various computer programs and the internet

New York City Police Department, 1990-2012 (continued)

- 2000-2003 **Detective Investigator:** 103 Precinct Robbery Squad, Queens, NY
- Investigated robbery complaints
 - Interviewed complainants and interrogated robbery suspects
 - Made numerous arrests of violent robbery felons
 - Established local robbery patterns
 - Conducted physical and electronic surveillance of suspects
- 1996-2000 **Detective Investigator:** Narcotics Unit, Queens, NY
- Conducted surveillance and compiled evidence
 - Conducted debriefings and executed search warrants
 - Obtained numerous apprehensions of wanted criminals
- 1994-1996 **Police Officer:** Anti-Crime Unit, 103 Precinct, Queens, NY
- Selected by precinct commander to work in plain clothes unit to due to high arrest activity, investigative abilities, and performance of all patrol duties.
- 1993-1994 **Police Officer:** Street Narcotics Enforcement Unit, 103 Precinct, Queens, NY
- Addressed precinct conditions regarding street level narcotics, high arrest activity, and conducted search warrants
- 1990-1993 **Police Officer:** 103 Precinct, Queens, NY
- Conducted uniformed patrol duties and enforcement of laws in accordance with department rules and regulations, addressed street conditions, gathered evidence at crime scenes and located witnesses
- 1987-1990 **United States Marine Corps**
- Recruit training: Parris Island, South Carolina
 - Communication and electronics school 29 Palms CA
 - Honorably discharged as a Corporal

CERTIFICATIONS

- Robbery Investigation Course
- Kidnapping Seminar
- Automobile Fraud Investigation Course
- Dignitary Protection Course
- Criminal Investigation Course
- Special Victims and Child Abuse Course
- Homicide Investigation Course
- Narcotics Investigation Course

EDUCATION

- 1990 ● NYC Police Department Academy Recruit Training, New York, NY

HONORS AND AWARDS

- Exceptional Merit Award
- Commendation Award
- NYPD awards for Meritorious Police Duty
- Excellence in Police Duty Awards
- Police Officer of the Month Awards
- Detective of the Month Awards
- Commanders Day Awards

GERARD K. FRECH

330 West 42nd Street, New York, New York 10036

Frechg@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY

2007 - Present

Managing Director

- Oversee Integrity Monitoring engagements.
- Direct the activities of investigators, forensic accountants and engineers to design and implement internal control and monitor compliance therewith, particularly for large construction contractors and project owners (public and private).
- Ensure best practices and transparency in all phases of construction projects, from procurement, through mobilization and construction, to project close-out.

STIER ANDERSON, LLC, New York, NY

1990 - 2007

Partner

- Concentrations on special counsel investigations, construction monitoring, regulated utilities, corporate compliance and civil litigations.
- Conducted investigation on allegations of misconduct at the Three Mile Island Nuclear Generating Station on behalf of GPU Nuclear Corporation.
- Oversaw one of the four construction management companies responsible for clean-up and recovery operations, preventing organized crime from exploiting the tragedy and assuring that all contractors complied with financial, environmental and contractual requirements at the World Trade Center.
- Managed the deconstruction of the former Deutsche Bank Building at Ground Zero for the Lower Manhattan Development Corporation.
- Developed and supervised the implementation of, and monitored compliance with corruption prevention programs.

KIRSTEN FRIEDMAN & CHERIN, PC, New Jersey

1981 - 1986

Associate

- Worked on cases specializing in utility rate cases and regulatory matters, including investigations at nuclear generating stations owned by NJ utilities.

NEW JERSEY BOARD OF PUBLIC UTILITIES, New Jersey

1979 - 1981

Counsel to the Chief Economist

NEW JERSEY BOARD, New Jersey

1976 - 1979

Law Clerk

ADMITTED: New Jersey Bar, New York Bar, the United States District Court for New Jersey, the United States Court of Appeals for the Third Circuit, the United States Supreme Court.

EDUCATION

Seton Hall Law School, Newark, NJ

Juris Doctor

Boston College, Chestnut Hill, MA

B.A.

MONITORSHIP EXPERIENCE

Mr. Frech has served as the Project Manager on numerous integrity monitoring engagements since 1991. In his capacity as Project Manager, Mr. Frech has managed teams of forensic auditors, engineers, investigators, environmental and safety professionals to protect these projects from corruption, fraud, waste, and abuse and assure compliance with legal and contractual obligations. Among other duties, Mr. Frech's responsibilities include identifying risk areas, developing corruption prevention programs, work plans and budgets, reports and presentations, and interfacing with senior levels of the client and responsible government agencies, including law enforcement agencies and IG offices.

From 1991-1995, Mr. Frech was the Project Manager for the New York City School Construction Authority's (SCA) monitorship of E. W. Howell, the first construction integrity monitorship ever imposed in the State of New York. In that capacity he monitored Howell's work on five schools being constructed or rehabilitated for the City of New York and developed a Corruption Prevention Program, including a Code of Ethics for E.W. Howell.

(References: Thomas D. Thacher, II, Esq., Office of the Inspector General, NYC School Construction Authority, 188 West 230th Street, Bronx, N.Y. 10463; Joseph A. DeLuca, Office of the Inspector General, NYC School Construction Authority, 188 West 230th Street, Bronx, N.Y. 10463)

From July 2001 – March 2004, Mr. Frech served in a similar capacity, monitoring AMEC Inc.'s performance of a \$32 million contract with the SCA to rehabilitate and upgrade 15 schools.

(Reference: Sean Walsh, Office of the Inspector General, NYC School Construction Authority, 188 West 230th Street, Bronx, N.Y. 10463, Tel. # 718-901-6600)

From October 2001 -- March 2003, Mr. Frech was the Project Manager for the monitorship of AMEC's role as one of four firms responsible for cleaning up of the World Trade Center (WTC) disaster site.

(Reference: Steven A. Pasichow, Assistant Commissioner, Department of Investigations, City of New York, 80 Maiden Lane, New York, N.Y. 10038)

From August 2005 – October 2011, Mr. Frech was the Project Manager for the firm's monitorship of the deconstruction and decontamination of the former Deutsche Bank building at 130 Liberty Street on the perimeter of Ground Zero on behalf of the Lower Manhattan Development Corporation.

(Reference: John T. Conroy, Chief Investigator, Lower Manhattan Development Corporation, 1 Liberty Plaza, 20th Floor, New York, N.Y. 10006, Tel. # 212-587-9748)

From March 2007 – present, Mr. Frech has served as the Senior Project Manager for the monitorship of the \$3 billion Croton Water Filtration Plant on behalf of the NYC Department of Environmental Protection.

(Reference: Melissa Ballard, Department of Investigations, City of New York, 80 Maiden Lane, 17th Floor, New York, N.Y. 10038, Tel. # 212-825-5900)

Starting in July 2010 to the present, Mr. Frech has been the Project Manager on three separate monitorships for the MTA involving compliance with MWDBE requirements. These monitorships each involve contracts worth hundreds of millions of dollars (exceeding \$2B in the aggregate) for projects being constructed by Schiavone Construction Company, Dragados USA and Judlau Contracting, Inc.

(References: (Schiavone & Dragados) Lorraine D'Angelo, Esq., CCEP, Sr. Vice President – Ethics & Compliance, Dragados USA, 500 Fifth Avenue, 38th Floor, New York, N.Y. 10110, Tel. # 212-779-0900 x 131;

(Judlau) Frank T. Cara, Esq., EVP & General Counsel, The Judlau Companies, 26-15 Ulmer Street, College Point, N.Y. 11354, Tel. # 718-554-2309)

Since November 2012 to the present, Mr. Frech has been the Project Manager on NYC's \$500 million Rapid Repairs Program, monitoring the performance of Sullivan Land Services, a prime contractor responsible for repairs to nearly 2,000 homes in Staten Island, Brooklyn and Queens that were damaged by Hurricane Sandy.

(Reference: Marjorie Landa, General Counsel, Department of Investigations, City of New York, 80 Maiden Lane, 17th Floor, New York, N.Y. 10038, Tel. # 212-825-2403)

HOYT N. HAMLIN

MA, CFE



A seasoned professional with multiple years of Compliance, Fraud, Banking and Financial Investigations, Audit and Accounting experience, with a successful track record of managing multiple projects within the banking/financial and business industries both foreign and domestic. An energetic, analytical, professional team player with a passion for financial fraud investigations.

KEY STENGTHS

- International Business /Finance
- Financial Reporting/Analysis
- Banking and Finance Policy
- Problem Analysis and Resolution
- Financial Investigations/monitoring
- Regulatory and Compliance Guidelines
- Wire Fraud/Money Laundering/Check Kiting
- Auditing, Accounting and Taxation
- Criminal Justice System/Procedures
- Forensic Accounting/Auditing Principles
- CFE Techniques/Procedures
- AML/SAR/CTR Compliance Investigations
- OFAC, BSA, US Patriot Act Compliance Investigations
- Integrity monitoring

PROFESSIONAL EXPERIENCE

THACHER ASSOCIATES-NEW YORK, NY
FORENSIC AUDITOR

03/2013-CURRENT

- Provide integrity monitoring services for public agencies and private owners on construction projects located in the New York/New Jersey Metropolitan area.
- Analyze certified payroll reports, union benefit records, timesheets, payroll and financial documents to ensure proper compliance with prevailing wage guidelines.
- Perform detailed reviews of project cost and billing records for compliance with contract and for potential overcharges resulting from double-billings, improper markups and commingling of resources.
- Perform testing of bank records, financial statements and other company information as a result of fraud, misappropriation or misconduct allegations.
- Implement fraud prevention and compliance controls and procedures for contractors of as a result of fraud or misconduct allegations or as precautionary corruption prevention.
- Prepare executive summaries and client reports of findings and recommendations

JP MORGAN CHASE-NEW YORK, NY
Operations Officer/Bank Analyst

2011-2013

- Assisted internal and external auditors with bank audit and compliance guidelines investigations (quarterly/yearly)
- Monitored financial reports/information in conjunction with both local and federal law enforcement agencies
- Responsible for AML, SAR, OFAC, BSA, CTR, US Patriot Act compliance and regulations investigations
- Utilized forensic accounting techniques to monitor account screening/transaction activity for fraud and non-compliance/POS Monitoring for cash and credit transactions
- Assisted with all customer related issues and financial transactions
- Made sure all transactions adhere to all domestic or international regulations and compliance
- Utilized behavior analysis training to identify possible fraud and/or banking center threats
- Assisted with investigations (wire fraud, financial transactions, money laundering, check kiting, mortgage, debit/credit card) in conjunction with internal fraud department and external agencies (Police Dept, FBI, IRS)

WACHOVIA/WELLS FARGO-JACKSONVILLE, FL

2010-2010

Operations Officer/Bank Analyst

- Assisted internal and external auditors with bank audits and compliance guidelines investigations (quarterly/yearly)
- Monitored financial reports/information in conjunction with both local and federal law enforcement agencies
- Responsible for AML, SAR, OFAC, BSA, CTR, US Patriot Act compliance and regulations investigations
- Utilized forensic accounting techniques to monitored account screening/transaction activities for fraud and non-compliance/POS Monitoring for cash and credit transactions
- Assisted with all customer related issues and financial transactions
- Made sure all transactions adhere to all domestic or international regulations and compliance
- Utilized behavior analysis training to identify possible fraud and/or banking center threats
- Rendered financial and credit services based on customers' preferences and needs
- Assisted with investigations (wire fraud, financial transactions, money laundering, check kiting, mortgage, debit/credit card) in conjunction with internal fraud department and external agencies (Police Dept, FBI, IRS)

PARKWAY ENTERPRISES-MORRISTOWN, TN/

2001-2009

PLAN-IT INTERACTIVE-LOS ANGELES, CA

Compliance/Operations Analyst

- Diligently cooperated in accounts management in addition to managing team members and/or subcontracts/vendors
- Secured new business accounts and accounts services by communicating with high-profile clientele/information that was sensitive in nature
- Assisted with writing of compliance contracts and external advertising campaigns in conjunction with budget guidelines, accounting policy and client communication
- Monitored account activity to make sure everything was within the contractual obligations, compliance and regulation standards
- Assisted with compliance audits and integrity monitoring

MIRAJI MULTI MEDIA-ABU DHABI, UAE

2001-2001

Finance/Accounting Analyst, Internship

- Maintained all accounting and finance projects throughout the Middle East and Europe
- Assisted with compliance audits and integrity monitoring
- Coordinated with website development and maintenance through team leadership with Arabic personnel
- Maintained all accounting activity for Accounts Receivable/Accounts Payable
- Contributed ideas on advertising/accounting campaigns; distributed in both English and Arabic circulations
- Leveraged expertise multimedia functions to boost advertising initiatives within the Middle East and European regions while adhering to global regulations and compliance
- Proactively engaged in contract and proposal activity involving European, Middle Eastern, and Western markets while adhering to global regulations and compliance/monitor financial reports

EDUCATION

Bachelor of Arts, International Business and Finance - DePaul University, 4.0 GPA

Master of Arts, Criminal Justice - Boston University, 3.45 GPA

SPECIAL SKILLS/TRAINING/ACTIVITIES

- Certified Fraud Examiner (CFE) Association of Certified Fraud Examiners, Member: 624254
- Certified Internal Auditor (CIA) Institute of Internal Auditors (in progress)
- Series 6 License-Investment Company/Variable Life Contracts/Regulations Representative
- Series 63 License-Uniform Securities/Regulations Representative
- New York State Life Insurance/Investments/Regulations License

- NMLS ID: 865413
- Proficient in computer software/hardware, Accounting software, Pivot Tables, Microsoft Office, Adobe Acrobat, Millennium, ProVantage, Relativity, PC/Mac, Internet Applications, Computer Information Systems and minor Website development
- Language: Fluent in English, minor Spanish, German and Arabic.
- Phi Kappa Phi National Honor Society
- Provide volunteer and sponsorship help with Red Cross, Lion's Club and World Vision
- Published papers in DePaul and Boston University's scholar writing program

BESMIRA ISMAILGECI

Objective: To obtain a position in a firm that allows me to utilize my professional and administrative skills attained in an academic and work environment.

EDUCATION

New York Institute of Technology
Engineering Management B.S

Expected Graduation: Summer 2013

EXPERIENCE

Thacher Associates
Forensic Engineer

2013-Present

- Perform integrity monitoring services for NYC Rapid Repair Program
- Monitor construction activities with focus on environmental aspect
- Perform reviews for compliance to established controls, and perform quality assurance/quality control assessment

Core Environmental
Environmental Associate

2012-2013

- Conduct on site air monitoring and ensure compliance with approved work practices
- Regularly interface with construction contractor to monitor compliance with mitigation measures before, during, and after construction
- Record and maintain daily field activity reports summarizing the results of field inspections, issues encountered, and how they are resolved
- Prepare deliverable reports for clients including daily logs and site activity attachments
- Assist in preparation and documentation of SWPPP weekly reports throughout the course of construction

Lok8u LLC
Assistant Manager

2011-2012

- Performed clerical/administrative duties and accounting tasks
- Kept inventory of sales and shipment preparations daily
- Provided support for national and international clients

B&B Sheet Metal, Queens, NY
Internship

2010-2011

- Worked in a team of drafters to design and draft sheet metal products in accordance with Architect's specifications
- Responsible for researching, conducting projects and producing appropriate sheet metal bids
- Wrote reports and priced the design after meticulous measurements and reviews

Lehman Brothers/Barclays Capital, New York, NY
Assistant Analyst

2007-2010

- Provided monthly financial reports for surveillance deal checking
- Updated financial information for certain deals regarding delinquency
- Predicted estimate loss for various financial projects

Skills:

- OSHA 10 Hour Certified; 4HR Supported Scaffolding
- Excellent computer skills: Microsoft Word, Excel, PowerPoint, AutoCAD, GIS, MATLAB

MARK R. JACKSON



EMPLOYMENT HISTORY:

Thacher Associates LLC

New York, NY

Forensic Engineer - May 2008 to present

Monitor construction projects to detail evidence of fraud, corruption, defective pricing, and waste in design, execution or management. Work including change order reviews, schedule and budget analysis, quality control assessments, contract procurement oversight and bid leveling analysis, prevailing wage audits, LEED and environmental compliance monitoring, general conditions and time and material audits. Projects – The National September 11th Memorial and Musuem, 1 World Trade Center, the World Trade Center Transportation (WTC) HUB, 4 World Trade Center, the Central Chiller Plant and River Water System for WTC, Madison Square Garden, 2 Gotham Center, New Yankee Stadium, Croton Water Treatment Plant, Chambers Street and Bleeker Street subway stations, various School Construction Authority projects, New Harbor High School, Carnegie Hall

Skyline Windows

New York, NY

Project Engineer - June 2007 to April 2008

In charge of design aspects and coordinating installation of industrial grade windows for various residential and commercial buildings in Manhattan. Work ranging from surveying, measuring, and sketching existing conditions, AutoCAD design, group design meetings, estimating for proposals, on-site project management meetings, ordering all necessary glass, metal extrusions, anchor bolts, caulk, and other additional parts, quality control testing, mock-up design and testing, supervision of installation, preparing field reports. Projects – 485 5th Avenue, 35 West 21st Street, 316 3rd Avenue, the Old New York Times Building, NYP Hospital, NYU Med Center

Optipro Systems

Ontario, NY

Engineering Intern - May 2005 to July 2005

Assembled various CNC grinding and polishing machines including coolant systems, wiring, and mechanical assembly. Constructed abrasive polishing belts and tested various processes, materials, and equipment.

Center for Optics Manufacturing (University of Rochester Laser Lab)

Rochester, NY

Engineering Intern - May 2004 to December 2004

Assisted in developing new processes for grinding and polishing hard glasses and ceramics, experience with various measuring devices and various CNC machinery, active participant in staff meetings, worked with faculty and staff to test and fine-tune parameters, worked with other companies in the field. Research based work for the United States Armed Forces – worked with materials to be used for lenses on military equipment.

EDUCATION:

University of Rochester, Rochester, NY

Bachelors of Science in Mechanical Engineering

Graduated May 2006

University of Rochester Varsity Baseball

PROFESSIONAL CREDENTIALS:

LEED Accredited Professional

Associate Certified Fraud Examiner (CFE)

TRAINING:

ACI Grade I Certified Field Technician

OSHA 10-Hour Safety Training

Primavera (P6) Scheduling Software Training

PATH track training

DANIEL J. KASSA, MBA

330 West 42nd Street, New York, New York 10036

Dkassa@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY
Senior Forensic Auditor

2010 - Present

- Provide Integrity Monitoring services on various construction projects at Ground Zero.
- Ensure compliance of contractors with DBE/WBE/MBE requirements on public projects.
- Perform forensic audits and earnings analyses.
- Provide litigation support services.

MAROTTA, GUND, BUDD & DZERA, LLC, New York, NY
Manager, Workout/Turnaround/Crisis Management Consulting

2008 - 2010

- Served as Vice President – Interim Chief Financial Officer for luxury master planned golf community leveraged at \$800M.
 - Served as officer/director for 8 different legal entities under client’s holding company.
 - Oversaw all aspects of accounting functions and managed cash flow.
 - Reviewed construction invoices resulting in over \$1M of savings on potentially fraudulent billings.
 - Prepared quarterly funding request to senior lender.
 - Composed quarterly analysis/reports for use by other executive management, senior lender and prospective investors.
 - Authored monthly management analysis reports.
 - Prepared annual budgets for 8 operating entities.
 - Oversaw general operations consisting of approximately 100 employees.

PRUDENTIAL FINANCIAL, INC., New York, NY
Manager, Financial Analysis – Corporate Controllers (09/07-04/08)
Financial Analyst – Corporate Controllers (06/06-09/07)

2006 - 2008

- Reviewed Quarterly Statutory analyses prior to distribution to senior management.
- Prepared annual Management Discussion & Analysis reports for 2 legal entities.
- Compiled quarterly and annual operations forecasts and analyses on parent and subsidiaries.
- Prepared quarterly and annual Risk Based Capital filings.
- Performed ad-hoc analyses for review by senior management.
- Created process improvements in quarterly reporting periods to improve accuracy and reduce preparation time.
- Oversaw preparation of Quarterly and Annual Statutory Financial Statements.
- Prepared investment analyses for inclusion in Management Discussion & Analysis report.
- Prepared investment exhibits in Quarterly and Annual Statutory Financial Statements.
- Managed workload and assignments of 2 units in the department.

BED BATH & BEYOND, INC., Union, NJ
Real Estate Accountant

2005 - 2006

- Performed monthly accounting close: reconciled accruals, expenses, and prepaids on 700+ properties.
- Analyzed expense trends and investigated irregularities.
- Produced various square footage cost analyses.

- Prepared fiscal budget for all operating properties.
- Improved information flow process to reduce errors and maximize efficiency.
- Compiled monthly, quarterly and annual gross sales reports.

J.H. COHN LLP (formerly Callahan & Co.), Eatontown, NJ
Staff Accountant, Forensic & Construction Accounting

2002 - 2005

- Perform integrity monitoring on forensic engagements; analyze bank statements to reconstruct years of financial records.
- Analyzed requisition for payments submitted by construction managers and compared expenses to FAR rates and other government regulated rates.
- Provided attestation services to global bank for \$100M construction project.
- Reconciled AIA requisitions to contractor's financial records, verified payments to subcontractors, prepared Contractor's Sworn Affidavit and Subcontractor's Waiver of Lien forms and prepared Agreed Upon Procedures reports.
- Performed forensic investigation on numerous contractors for the NYC School Construction Authority.
- Investigated client's former CPA/Controller for fraudulent accounting practices and reconciled client books to reflect actual financial standing.
- Prepared and audited financial statements of private construction contractors.
- Developed niche in company to handle real estate matters.
- Produced DCF's for clients on an ad-hoc basis on commercial, retail and residential properties.

PROFESSIONAL CERTIFICATIONS

Associate Member – Association of Certified Fraud Examiners; Certified Fraud Examiner Candidate

EDUCATION

Rutgers University, Newark, NJ

M.B.A., Finance 2005

James Madison University, Harrisonburg, VA

B.B.A., Finance 2000

COMPUTER SKILLS

Proficient in Excel, Word, Powerpoint, Newstar, Oracle, Argus, MRI, Quickbooks, Peachtree, JDA General Ledger.

MONITORSHIP EXPERIENCE

I have been a Senior Forensic Auditor on the following WTC projects: Transportation Hub (July 2010 – Current), National September 11 Memorial and Museum (July 2010 – Current), Central Chiller Plant (July 2010 – October 2011) and Retail (October 2011 – Current). On these projects we have completed risk assessments and detailed examinations of subcontractors, vendors and suppliers which included reviews of company and project specific books and records. These detailed examinations were performed to prevent or determine if there were instances of fraud, waste or abuse. Some of the potential frauds we have investigated were prevailing wage violations committed by the subcontractors, overcharges on Time & Materials change order work and M/WBE frauds committed either solely by one firm, or jointly with the assistance of other firms.

I have also performed compliance assessments on the following four (4) major General Contractors / Construction Managers and their M/W/DBE Compliance Programs on numerous MTA projects: Schiavone

Construction Company (October 2010 – Current), Dragados USA Inc. (September 2012 – Current), Judlau Enterprises (October 2012 – Current) and Skanska Civil Northeast (February 2012 – Current). In performing these assessments we evaluated whether the contractor's M/W/DBE Compliance Program was consistent with best practices, if the program controls mitigated the likelihood of committing M/W/DBE fraud, and whether the M/W/DBE subcontractors utilized on the MTA projects were in fact, bona-fide. We reviewed the programs and created our own testing matrix to determine whether the contractors were in compliance with their plans in addition to providing recommendations to improve the program or the process.

References:

WTC Projects (Hub, NS11MM, Central Chiller Plant, Retail) - Robert E. Van Etten, Inspector General, PANYNJ, 5 Marine View Plaza, Suite 502, Hoboken, N.J. 07030, Tel # 973-565-4330; Steven A. Pasichow, Port Auth OIG, 5 Marine View Plaza, Hoboken, NJ 07030; tel. # (973) -565-4366

MTA – (Schiavone, Dragados) - Lorraine D'Angelo, Esq., CCEP, Sr. Vice President – Ethics & Compliance, Dragados USA, 500 Fifth Avenue, 38th Floor, New York, N.Y. 10110, Tel. # 212-779-0900 x 131

MTA – (Judlau) - Frank T. Cara, Esq., EVP & General Counsel, The Judlau Companies, 26-15 Ulmer Street, College Point, N.Y. 11354, Tel. # 718-554-2309

MTA – (Skanska) - Martin Flumenbaum, Partner, Paul Weiss Rifkind Wharton & Garrison LLC, 1285 Avenue of the Americas, New York, N.Y. 10019, Tel. # 212-373-3191

Education

Polytechnic Institute of New York University (Presidential Scholar)
6 MetroTech Center Brooklyn, NY 11201
Master of Science in Environmental Engineering Expected May, 2013

Columbia University; FU School of Engineering and Applied Science,
2960 Broadway New York, NY 10027
Bachelor of Science in Civil Engineering May 2009

Chaminade High School
340 Jackson Ave Mineola, NY 11501.
High School Diploma, graduated with honors, May 2005

Work Experience

Thacher Associates, LLC **2012 - present**

Forensic Engineer

Description of Duties: Perform Integrity Monitorship of New York City Rapid Repairs Program in Broad Channel, Queens. Engage in day to day inspections of residential properties relating to heating, hot water and electric repairs. Provide engineering audits of prevailing wage documents and invoices.

NYC Department of Design and Construction (Infrastructure Division) **2011 – 2012**

Civil Engineer Inspector

Description of Duties: Perform inspections on capital construction projects relating to sewer mains, water mains, roadway reconstruction & environmental disposal. Ensure compliance with all relevant contract and specification requirements. Write daily reports with detailed takeoffs and calculations.

FCS Group, LLC **2009 - 2011**

Assistant Project Manager

Description of Duties: Manage multi-million dollar public contracts on day to day basis. Prepare detailed estimates and proposals for painting, specialty coatings, intumescent fireproofing, and hazardous material remediation (Lead, PCB, Mercury) based on specifications for New York City Transit and DEP projects. Implement company-wide environmental remediation and disposal program in accordance with all applicable local and federal regulations.

MELISSA KOLIS

330 West 42nd Street, New York, New York 10036

Melissa@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY

2007 - Present

Research Analyst

- Conduct extensive online, database and/or on-site public records research to trace companies' and individuals' assets.
- Perform background investigations on entities and pre-employment screenings on persons.
- Engage in fact finding assignments and provide clients with information of business decisions.
- Analyze documents and organize data for presentation abiding by time and budget restrictions.
- Draft written reports and/or memorandums specific to each client.
- Provide litigation and investigative support through research and analysis.
- Create visual charges showing relationships between businesses and principals.
- Perform administrative tasks.

LAW OFFICE OF BENNETT J. GEWURZ, P.C., Uniondale, NY

2006

General Office Clerk (Temporary)

- Worked full time in Arbitration Department.
- Gained basic clerical skills, utilized office equipment and filed.
- Scanned files in to the computer and assisted firm in going paperless;
- Performed data entry.
- Assembled and organized new case files;
- Performed high volume copying.

MUNICIPAL DATA SERVICES, Hempstead, NY

2006-2007

Customer Service Representative

- Completed data entry for new municipal search orders.
- Analyzed findings and wrote conclusive reports for the client.
- Proofread and edited reports.
- Provided professional customer service, telephone contact and follow-up.
- Proficient use of in-office equipment and tools.

NEW YORK STATE DIVISION OF HUMAN RIGHTS, Hempstead, NY

Summer 2004

Investigative Intern

- Investigated allegations of employment discrimination complaints.
- Collaborated with attorneys, investigators, other career professionals and administrators.
- Gained proficiency in drafting notices and other documents and tracking cases.
- Attended mediations and multi-party conferences and gained note-taking/report writing skills.
- Conducted initial intake meetings with complainants.
- Interviewed witnesses and respondents.
- Worked expediently under strict deadlines.
- Handled sensitive and confidential case information.

EDUCATION

St. John's University, Jamaica, NY

M.P.S., Criminal Justice Leadership, 2007

State University of New York at New Paltz, New Paltz, NY

B.A., Sociology/Criminology, 2005

ADDITIONAL SKILLS

Experience with Windows and Microsoft applications (Word, Works, Excel, Powerpoint, Outlook); internet research databases including: LexisNexis, WestLaw; Dun & Bradstreet, credit header sources, federal and state criminal record databases, etc.; Smart Draw.

MOST RECENT INTEGRITY MONITORING ENGAGEMENTS

My three most recent integrity monitoring engagements are: The LaQuila Group, Inc. monitoring engagement (January 2009 to present), the L&L Painting Co., Inc. monitoring engagement (November 2009 to August 2011), and the United Nations monitoring engagement (January 2009 to present). All are Thacher Associates engagements. My role on these engagements is in the capacity of Research Analyst. I report directly to the relevant Managing Director of each respective monitoring engagement. As key research analyst for The LaQuila Group project, I am responsible for conducting prequalification screens on subcontractors, as well as, LaQuila employees. I also perform investigative research as needed. For the L&L Painting monitorship, I performed bi-monthly payroll analyses and maintained a log of all of their active projects. Additionally, I performed vendor screens (when appropriate), verified legitimacy of charitable organizations, and performed miscellaneous research. With respect to the United Nations engagement involves conducting vendor integrity screens and investigative research if needed.

PHILIPPE LAROCK

OVERVIEW

Magna Cum Laude Graduate of the John Jay College of Criminal Justice (December 2011) with diversified accounting/forensic accounting experience. Completed an Internship, structuring all accounting systems and procedures, as well as a chart of accounts. Highly computer literate: MS Office, QuickBooks, PC, Mac and Linux platforms.

EDUCATION

BS, John Jay College of Criminal Justice (CUNY) – New York, NY
Currently maintaining a 4.0 GPA

Relevant Coursework:

Full accounting curriculum, including Managerial Accounting, Tax Preparation (on all levels), Corporate White Collar Fraud and Forensic Accounting. Selected for a paid internship at the New York State Assembly.

AAS in Accounting, The Borough of Manhattan Community College – New York, NY

Completed the accounting curriculum and graduated with honors and a 3.9 GPA

Contributed original columns to newspapers at both colleges (*The Voice* and *The Sentinel*)

HONORS AND AWARDS

Dean's List at Manhattan and John Jay, all semesters

Foundation scholarship (BMCC)

Semifinalist, Steamboat Scholarship

Louis Horowitz Award (recognition for the highest GPA in Accounting)

Member, Phi Theta Kappa

EXPERIENCE

NEW YORK STATE ASSEMBLY, New York, New York, 2010

Clerk of the Banks Committee

Selected for an Internship with the New York State Assembly. Managed and coordinated the distribution of bills before the Committee.

SHOWPAPER, Brooklyn, New York, 2009

Consultant

Established an accounting system for this not-for-profit organization, employing a staff of fifteen volunteers and three full-time employees. Maintained all original books of entry through general ledger.

DON HILL'S, New York, New York, 2004 – 2010

THE ANNEX, New York, New York, 2005 – 2009

Front of House Sound Engineer

Employed by two entertainment music venues. Managed setups for bands on a nightly basis; tested, assembled and maintained all audio equipment.

DYANA LEE

330 West 42nd Street, New York, New York 10036

LeeD@ThacherAssociates.com

Admitted: New York; United States District Courts, Southern and Eastern Districts of New York

THACHER ASSOCIATES, LLC, New York, NY

2007 - Present

Director and Project Manager

- Manage integrity monitoring team consisting of forensic auditors, engineers, investigators, environmental and safety professionals on two World Trade Center Site rebuilding projects, the National September 11 Memorial and Museum and the Central Chiller Plant, representing more than \$1 billion in construction costs. Design and implement strategies to protect these projects from corruption, influence of organized crime, fraud, waste, and abuse; supervise investigations; provide integrity training to construction company employees and coordinate with other integrity monitoring firms site wide.
- Spearhead a sensitive investigation reviewing the management practices of a uniformed force labor union. Conducted interviews of senior union officials, supervised a detailed financial record review, and presently am drafting a comprehensive report to management outlining our findings and recommendations for the implementation of significantly enhanced operations and financial controls.
- Initiated and managed the firm's engagement by a board of directors of a large luxury condominium complex to conduct an investigation of allegations of possible wrongdoing in its management and operations. Supervised a forensic auditor and investigator, conducted a series of fact-finding interviews, reviewed financial records, and provided our findings to the board, which resulted in staffing changes and planned procedural enhancements.

LOWER MANHATTAN DEVELOPMENT CORPORATION, New York, NY

2002 - 2005

Vice President for Investigations

- Designed, implemented, and monitored corruption and fraud prevention programs in connection with this joint state-city corporation's grant programs, including its \$281 million Residential Grant Program ("RGP")
- Supervised more than 450 investigations of suspected theft by RGP recipients, resulting in numerous grant denials, at least 5 criminal convictions and significant program cost savings.
- Designed and implemented an amnesty program which resulted in the return of more than \$60,000 in otherwise un-recovered RGP funds.
- Assisted management in the creation and implementation of controls to insure the integrity of the National September 11 Memorial Competition, and developed a vendor integrity program utilized in the deconstruction of a 130 Liberty Street, 40 story, 1.5 million square foot building.
- Created the Lower Manhattan Construction Integrity Team (LMCIT), an organization comprised of federal, state, and city law enforcement officials with investigative authority and interest in Lower Manhattan.

NEW YORK CITY DEPARTMENT OF INVESTIGATION, New York, NY

1996 - 2001

Assistant Commissioner, Capital Construction Unit

- Supervised 5 offices of Inspectors General with more than 60 employees in the investigation of possible corrupt practices by City employees in five agencies responsible for virtually all capital construction in the City, and entities doing business with those agencies.
- Developed investigative strategies, coordinated with other law enforcement authorities, took witness testimony, negotiated civil dispositions, and drafted and revised management reports.
- Significant investigations conducted under my supervision included: the breakup of a \$2 million a year gambling operation run out of a City-owned residential building in Harlem and the federal arrest of 20 individuals, including 3 employees, for a scheme to cheat the City out of more than \$500,000 in water bills.

- Tasked by the Commissioner to handle the more sensitive allegations reported to the office, including: the investigation of a construction company with mob-related ties, which ultimately resulted in that company's debarment from city work and an investigation of a City vendor of heavy equipment into allegations of cutting corners and possible procurement improprieties, resulting in the rejection of the company's bid, and the implementation of a re-inspection and retrofitting program to insure public safety.

UNITED STATES ATTORNEY'S OFFICE, DISTRICT OF NEW JERSEY, Newark, NJ 1991 - 1996

Assistant U.S. Attorney, Criminal and Fraud & Public Protection Divisions

- Prosecuted white-collar and other criminal offenses including insurance, bank and tax frauds, transshipment schemes, mail and wire fraud, importation and sale of narcotics, credit card fraud, bank robbery and sexual harassment. Prepared and tried cases, supervised long-term grand jury investigations, negotiated pretrial resolutions, conducted motion practice and drafted district court and appellate briefs, major cases included:
 - A two year investigation into the corporate activities of an apparel manufacturer that included an arson, multiple insurance frauds of more than \$8 million, and a transshipment scheme, which ultimately resulted in the conviction of 11 people, including the CEO.
 - A four month narcotics investigation which resulted in the seizure of nearly 6 tons of drugs, \$900,000 in cash, and the ultimate conviction of 7 individuals, after a trial, with the 2 masterminds each receiving a life sentence; and
 - The prosecution of a Department of Defense and Air Force contractor with more than \$40 million in contracts who covered up and concealed defects in the manufacture of Maverick missile launchers.

EDUCATION

Fordham University School of Law, New York, NY J.D.(top 20%), 1986

Marymount Manhattan College, New York, NY B.A., Theatre Arts, 1979

MONITORSHIP EXPERIENCE

The WTC Memorial and Museum (April 2009-October 2011, October 2012-present) and the WTC Central Chiller Plant monitoring engagement (April 2009 to July 2012)

I have been the Project Manager of the WTC Memorial and Museum and Central Chiller Plant monitoring engagements from April 2009 to the present. The WTC Memorial and Museum project is a \$650 Million project with an estimated completion date of October 2013 that was running concurrently with the WTC Central Chiller Plant project, which was a \$250 Million project that was completed on July 2012. On these engagements, our mission is to monitor the integrity of the Project so as to prevent/ detect organized crime, labor racketeering, corruption, fraud, and failure to comply with regulatory and contractual requirements. We designed and implemented a project integrity compliance program. We examine the Projects' construction and financial processes and perform forensic analyses of a sample of transactions. We also monitor environmental and safety issues and examine samples of relevant transactions. We perform these functions with a multi-disciplinary team consisting of investigators, auditors, engineers, environmental and safety specialists, and other specialists as determined by the need(s) of the engagements. During the engagements, we have made numerous findings and recommendations in all areas of service resulting in improvements to project processes and integrity controls, as well as cost savings and loss prevention. Our services are directed by the Port Authority Office of Inspector General.

As Project Manager, I have directed the activities of teams consisting of forensic auditors, engineers, investigators, environmental and safety professionals, in accordance with our contractual obligations and in furtherance of work plans and budgets that I have prepared, which are designed to protect these projects from corruption, the influence of organized crime, fraud, waste, and abuse.

(References: Robert E. Van Etten, Inspector General, PANYNJ, 5 Marine View Plaza, Suite 502, Hoboken, N.J. 07030, Tel # 973-565-4330; Steven A. Pasichow, Port Auth OIG, 5 Marine View Plaza, Hoboken, NJ 07030; tel. # (973) -565-4366)

WTC Transportation Hub Integrity Monitoring Engagement

I also provide a supportive role in the WTC Transportation Hub engagement (October 2011 to present). I am coordinating the activities of that Project's investigative team in the monitoring for prevailing wage, labor and M/WBE irregularities.

(References: Robert E. Van Etten, Inspector General, PANYNJ, 5 Marine View Plaza, Suite 502, Hoboken, N.J. 07030, Tel # 973-565-4330; Steven A. Pasichow, Port Auth OIG, 5 Marine View Plaza, Hoboken, NJ 07030; tel. # (973) -565-4366)

Croton Water Treatment Plant engagement (Department of Investigations)

I also provide a supportive role in the Croton Water Treatment Plant engagement (April 2007 to present). I am responsible for coordinating the vetting of proposed subcontractors and monitoring for MWBE irregularities.

(References: Melissa Ballard, Department of Investigations, City of New York, 80 Maiden Lane, 17th Floor, New York, N.Y. 10038, Tel. # 212-825-5900)

RODNEY B. LEITH

330 West 42nd Street, New York, New York 10036

Rleith@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY

2012 - Present

Manager of Investigations

- Responsible for overseeing and supporting investigative assignments involving due diligence and integrity screening services.
- Provide intelligence and background information on a wide variety of subjects in support of investigative projects and integrity services.
- Perform intelligence gathering, analysis and information dissemination is based on more than 30 years of experience with general and complex investigations.
- Extensive experience with business fraud investigations, labor racketeering and corruption, and with due diligence strategies.
- Strong understanding of fraud prevention and risk management techniques and strategies, and the design and implementation of business monitoring of independent private inspector general models.

METROPOLITAN TRANSPORTATION AUTHORITY, New York, NY

2008 - 2012

Office of Inspector General, Sr. Investigative Intelligence Officer

- Gathered and analyzed information to support a special construction fraud task force.
- Provided intelligence support to investigators and investigative counsel on a variety of investigative projects.

NYC SCHOOL CONSTRUCTION AUTHORITY, Bronx, NY

2006 - 2008

Office of Inspector General, Director of Intelligence

- Supported OIG investigations and the prequalification screening of contractors.
- Conducted and coordinated the exchange of information and intelligence with outside law enforcement, investigative and regulatory agencies.
- Gathered and disseminated information and intelligence within the OIG and with cooperating agencies.
- Represented the Inspector General at regional meetings of law enforcement agencies and special task force groups.

THACHER ASSOCIATES, LLC, New York, NY

1996 - 2006

Chief Intelligence Officer

- Directed research and investigative functions that provide analytical resources and information for business intelligence.
- Designed strategies to provide intelligence and investigative support for client projects.
- Directed internal investigations of corporate fraud.
- Met with clients to assist in structuring products and services that met client needs for litigation support, due diligence, and business solutions.

NYC SCHOOL CONSTRUCTION AUTHORITY, Bronx, NY

1990 - 1996

Intelligence Director

- Directed the collection and analysis of information on the construction industry in New York City.
- Disseminated intelligence to internal investigative and administrative operations and to outside agencies.
- Directed due diligence investigations of contractors and firms seeking prequalification to do business with the School Construction Authority.
- Managed the daily operations of an Intelligence Unit composed of two intelligence officers, a contractor prequalification manager and nine support staff.

THE INVESTIGATIVE GROUP, Chicago, IL

1989 – 1990

Senior Investigator

- Organized and executed complex investigations for clients including corporations, law firms and individual and corporate investors.
- Worked with teams and managed others responsible for investigations in the Midwest, Central and Eastern regions of the nation.

THE RECORD, Hackensack, NJ

1977 – 1989

Staff Writer

- As a news reporter, covered the political, economic and social issues of three Northern New Jersey towns.
- Reported on major news events and wrote investigative and enterprise stories.
- Highlights included a two-year investigative project on the concrete and construction industry that uncovered evidence of a highly profitable concrete company's connections with organized crime members through unions and revealed organized crime's influence on contractors working on a publicly financed waterfront development project in Jersey City, NJ.

EDUCATION

Roanoke College, Salem, VA

B.A., Political Science, 1970

MONITORSHIP EXPERIENCE

Environmental Control Company – NYC Business Integrity Commission Appointed (1999-2001)

Monitor medical waste hauling company once controlled by people affiliated with organized crime; performed on-site inspections and review of books and records in order to detect any business or financial connection with organized crime.

(Reference: New York City Business Integrity Commission, 100 Church Street, 20th Floor, New York, N.Y. 10007, Tel. # 212-676-6300)

Ground Zero (Bovis Quad) – Department of Investigations Appointed (2001-2006)

Provided vital background information on companies, principals, and individuals suspected of having ties to construction-related labor racketeering schemes and organized crime enterprises.

(Reference: Goodwin Benjamin, Department of Investigation, City of New York, 80 Maiden Lane, 18th Floor, New York, N.Y. 10038)

Mills Metals/Tommie Petrizzo – NY County DA Appointed (2001-2006)

Senior Intelligence Officer responsible for on-site reviews, screening of personnel and business associates; compiled reports on Tommie Petrizzo business activities.

(Reference: New York County District Attorney's Office, 163 West 125th Street, #733, New York, N.Y. 10027, Tel. # 212-864-7884)

Scalamandre Engagement – Federal Court Appointed (2001-2006)

Senior investigator for on-site reviews; background investigations on all MBE/WBE subcontractors and suppliers; and responsible for developing evidence of organized crime influence and connections.

(Reference: Arkin, Kaplan & Cohen LLP, 590 Madison Avenue, 35th Floor, New York, N.Y. 10022, Tel. #212-333-0200)

Safeway Environmental Corp. Engagement – Department of Investigations Appointed (2001-2006)

Senior intelligence officer responsible for on-site reviews; screening of personnel, subcontractors, joint venture partners; developed evidence of involvement by banned individuals, Harold Greenberg and Stephen Chasin.

(Reference: Kirk Eng, Chief Fiscal Officer, Department of Investigation, City of New York, 80 Maiden Lane, 18th Floor, New York, N.Y. 10038, Tel. #212-825-2875)

Skanska – MTA Appointed (July 2012 – March 2013)

Provide intelligence support on site reviews and background on DBE/MBE/WBE.

(Reference: Glenn B Martin Flumenbaum, Partner, Paul Weiss Rifkind Wharton & Garrison LLC, 1285 Avenue of the Americas, New York, N.Y. 10019, Tel. # 212-373-3191)

Judlau – MTA Appointed (2012 – Present)

Provide intelligence support on site reviews and background on DBE/MBE/WBE.

(Reference: Frank T. Cara, Esq., EVP & General Counsel, The Judlau Companies, 26-15 Ulmer Street, College Point, N.Y. 11354, Tel. # 718-554-2309)

**RESUME OF
CAPTAIN SALVATORE MAGGIO #2177 (RETIRED)
NEW JERSEY STATE POLICE**

PERSONNEL INFORMATION

EDUCATION

Completed Rutgers University Certified Public Management Course, Level 1 through 6, September 1991

Graduated Mercer County College with an Associate Degree in Arts, January 1990

Attended Fairleigh Dickinson University September 1963 to May 1964

Graduated Passaic Senior High School June 1963

MILITARY SERVICE

Enlisted in the New Jersey Army National Guard June 1965. Active duty June 1967 to October 1967. Honorable discharge June 1971.

Reenlisted in the New Jersey Army National Guard June 1977. Retired with 23 years service February 1995 as First Sergeant (E-8), 50th Brigade, Fort Dix, New Jersey.

EMPLOYMENT HISTORY

August 2000 to September 2011: Chief Investigator for North Jersey Security & Private Investigations Inc. 200 Avenue L Newark, New Jersey 07105. In charge of all of the private investigations handled by this firm.

STATE POLICE EMPLOYMENT

February 1995 to April 1, 2000: Promoted to Captain and assigned as Commander of Troop "B", Totowa, New Jersey. Supervising and managing the 350 troopers and detectives assigned to the eight road stations and headquarters, located in North Jersey.

July 1991 to February 1995: Lieutenant, assigned as Deputy Troop Commander, Troop "D", New Jersey Turnpike, New Brunswick, New Jersey. Assisting the Troop Commander with the supervising and managing of the 220 troopers and detectives assigned to the three road stations and headquarters located on the New Jersey Turnpike. Also supervising all of the internal investigations assigned to Troop "D".

November 1989 to July 1991: Lieutenant, assigned as Administration Officer, Troop "D". New Jersey Turnpike, New Brunswick, New Jersey. Managing and supervising all administrative and logistics aspects and requests. Preparing a \$16,000,000 Troop "D" budget for the Turnpike Authority.

April 1988 to November 1989: Promoted to Lieutenant and assigned as Station Commander, Troop "D", Newark Station, New Jersey Turnpike. Supervising and managing the seventy troopers and four detectives assigned to Newark Station.

January 1987 to April 1988: Sergeant First Class, assigned as Assistant Operations Officer, Troop "B", Headquarters, Totowa, New Jersey. Assisted with the supervision of the Technical Emergency and Missions Specialists (TEAMS) Unit, the Educational Services Unit (ESU) and the numerous operational details that occur throughout the year in North Jersey.

February 1986 to January 1987: Promoted to Sergeant First Class and assigned as Assistant Station Commander of Washington Station then Totowa Sub Station.

March 1980 to February 1986: Promoted to Sergeant and assigned as squad supervisor in various stations in Troop "E" (Garden State Parkway), Troop "B" (North Jersey) and Tactical Patrol Supervisor.

June 1979 to March 1980: Promoted to Trooper I and assigned as Assistant Squad Supervisor, Washington Station, Troop "B".

May 5, 1967 to June 1979: Assigned as a general road duty trooper in Troop "C" (Central Jersey), Troop "B" (North Jersey) and Troop "E" (Garden State Parkway).

May 5, 1967: Graduated the New Jersey State Police Academy, West Trenton, New Jersey.

INVESTIGATIVE ASSIGNMENTS

Completed approximately 50 Internal Investigations as a Sergeant First Class and Lieutenant.

Investigated the backgrounds of numerous State Police applicants between 1971 and 1979.

Assigned to a special organized crime investigation from April through June 1973. (Gambling & Narcotics). Troop "B" Criminal Investigation Section (CIS).

PROFESSIONAL COMMITTEES AND BOARDS

January 2004 to Present: President for the Former Troopers Association of New Jersey (FTA), which represents more than 3,000, retired troopers.

April 1995 to February 2000: Assigned as a member of Advisory Board #2, New Jersey State Police. Appointed to Chairman July 1997. This board of six State Police Captains reviews and makes recommendations for discipline on internal investigations to the Superintendent.

September 1994 to Present: Chairman of the Covenants Committee for Panther Valley Property Owners Association (PVPOA). Reviews violations of rules of the PVPOA and holds hearings and assesses penalties.

April 2000 to Present: Vice-President of The Cadet Corps, Mahwah, New Jersey. The Cadet Corps is a non profit organization dedicated to the assistance of school aged children in their maturing and discipline for their betterment.

April 2000 to Present: Vice-President and Chairman of the Scholarship Committee of the Warren County 200 Club; This committee awards scholarships to High School Seniors who have a parent or guardian involved in public safety.

January 1986 to April 1988: Trustee for the State Troopers Non-Commissioned Officers Association, representing approximately 55 NCO's for the Bargaining Unit for the non-Commissioned Officers of Troop "B".

January 1982 to January 1984: Trustee for Stedwick Village One Inc. Budd Lake, New Jersey. Managed along with four other Trustees a \$80,000 budget for Stedwick Village One Inc., Home Owners Association.

MONITORSHIP EXPERIENCE

I did an integrity monitoring project for your company back from April 1 through April 12, 2007. It encompassed investigating and interviewing five potential buyers of the New York State Racing Franchise which at that time went public. All five potential buyers were deemed adequately reliable and financially able to continue on in their endeavors after my investigation.

PATRICK McALLISTER



OBJECTIVE

To obtain a position in a corporate environment utilizing my law enforcement background and security expertise.

EXPERIENCE

January 2010 – Present

Metropolitan Transportation Authority – Senior Principal Investigator responsible for a team of seven investigators. Oversee cases and surveillance operations of ongoing investigations within the MTA. Work closely with MTA in-house counsel to ensure successful conclusion of cases and complaints. Coordinate with other agencies with respect to MTA personnel and investigations. Perform employee evaluations.

June 2005 – December 2009

Principal Investigator assigned to the Inspector General's Office. Investigate complaints and allegations of fraud, theft, and vendor wrongdoing against the MTA and its employees. Conduct interviews, refer criminal matters for prosecution and prepare written reports for Inspector General. Perform ethics training for new hires.

June 2004 – January 2005

Strike Force – Consisting of the NYPD, FBI, IRS, INS, DEA, US Customs and NYS Police, this multi-agency unit conducted wide ranging investigations into international narcotics and homicide cases. Conducted wire tap investigations leading to extradition of fugitives; maintained close collaborative contacts with Colombian, Venezuelan and Mexican authorities and conducted interviews of defendants and witnesses prior to preparing written reports for FBI files.

- Expert in the use of highly technical surveillance techniques and telecommunications equipment
- Deputized as a Special Deputy US Marshall by the US Department of Justice
- Deemed an expert in providing court testimony
- Former Top Secret Clearance from US Department of Justice

August 1996 – May 2004

Joint FBI Task Force – Comprised of FBI agents and NYPD Detectives, this unit conducted long-term domestic and international investigations. Duties included monitoring wire taps, execution of warrants and the use of highly technical surveillance equipment including Global Positioning System. Participated in September 11 Search and Recovery Effort at site of Twin Towers.

April 1994 – July 1996

Manhattan North Major Case Unit – Detective. Duties included monitoring wiretaps and executing numerous search warrants throughout the tri-state area.

January 1993 – March 1994

Manhattan North Narcotics – Promoted to Detective. Duties included conducting search warrants as well as undercover narcotics operations in the Washington Heights area.

January 1989 – December 1992

Anti-Crime Unit – Plain Clothes Officer assigned to Harlem. Consistent top producer of arrests and convictions.

January 1985 – December 1988

25th Precinct – Police Officer performing neighborhood patrol in Harlem.

SECURITY EXPERIENCE

1991 – 2005

Personal Security for NYPD Dignitary Protection Detail including protection of dignitaries, celebrities, high profile corporate executives, Madison Square Garden, Shea Stadium and Yankee Stadium. Provided vehicle security at 2004 Republican National Convention.

SPECIALIZED TRAINING

Completed the following courses: Police Academy, Narcotics Training, Criminal Investigations, Counter Drug Investigations and High Intensity Drug Trafficking Training, Dignitary Protection, Operation of State of the Art Telecommunications Equipment, Vehicle Borne Improvised Explosive Device Checkpoint Training.

AWARDS

Received numerous meritorious awards and commendations from the New York City Police Department.

REFERENCES

Furnished upon request.

Kevin McPartland

SUMMARY Highly motivated and self-directed professional with four decades of investigative, operational and managerial experience.

EDUCATION Master of Administrative Science
Bachelor of Science, Business Management
Northwestern University Traffic Institute Executive Management Program
New Jersey Certified Public Manager

RELEVANT COURSES Various criminal justice, financial and business training courses and seminars

PROFESSIONAL EXPERIENCE New Jersey licensed Private Detective Business, 12/2008 – Current

New Jersey Division of Criminal Justice
Bureau of Fiscal Oversight/SDA, 3/2007 – 7/2008
Supervisor, reviewer AG's Confidential Background Investigations

New Jersey Office of Government Integrity, 5/2002 – 3/2007
DCSI/CAO/Investigations supervisor (School Construction Oversight)

New Jersey Office of the Inspector General, 10/2000 – 5/2002
DCSI/Investigations supervisor (School Construction Oversight)

New Jersey Division of State Police
Intelligence Services Section Supervisor 1996 – 2000
Supervised and directed 174 enlisted and civilian personnel assigned to the Intelligence, Central Security/Solid Hazardous Waste, and Casino Gaming Bureaus.

Administration Section Supervisor, 1994 – 1996
Supervised and directed 225 enlisted and civilian personnel. Oversight of the division's fiscal, personnel and capital resources.

Division Fiscal Officer, 1991 -1994

Budget Operations Coordinator, 1988-1991

Criminal Investigations Section, Detective, 1971 -1988

General Road Duty Trooper, 1970 – 1971

PROFESSIONAL AFFILIATIONS Middle Atlantic-Great Lakes Organized Crime Law Enforcement Network
Board Member 1997 – 2000; Primary Representative 8/2001 – 3/2007
Former Troopers Association 2000 – Present, Chairman Education Fund

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SKILLS AND CERTIFICATIONS

OSHA 10-Hour Construction Outreach Certification
OSHA 40-Hour HAZWOPER Certification Advanced
communication and writing abilities

Efficient management and organizational attitude
Proficient in AutoCAD, MS Office Suite, Primavera
Able to work in complex projects and environment

EDUCATION

Polytechnic Institute of New York University, Bachelor of Science in Civil Engineering - Fall 2011

EXPERIENCE

Forensic Engineer – December 2012 to Present

Thacher Associates, New York NY

Monitored construction activities, controlled inspections, and reviewed contractor submittals compliance with New York City Building Code and project specifications. Interviewed crews working on site to verify prevailing wage pay and professional credentials. Reviewed change orders to verify the rationality of pricing and justification of scope changes. Review design drawings and work-in-place to verify accuracy of payment applications. Verified costs associated with general conditions and time and material work.

Projects: NYC Rapid Repair Program, Interstate 278 (Staten Island Expressway)

Staff Engineer (Rotation) – August 2012 to December 2012

Moretrench American Corporation, Rockaway NJ

Acted as a liaison between the Project Manager, Project Engineer, Superintendent, Inspectors and General Contractor for the completion of the Rock Drilling and Grouting stage prior to Shaft Sinking operations for three deep shafts in OARS Columbus, Ohio. Other duties included but were not limited to maintaining daily, drill, grout, and safety logs. Updated project progress reports and assisted the Superintendent in coordinating field operations. Maintained and updated as-built drawing and contract documents.

Cost Engineer (Rotation) – January 2012 to August 2012

Moretrench American Corporation, Rockaway NJ

Prepared Time & Materials invoices for additional work performed in multiple projects, branches and states. Worked with Cost Manager and Project Manager to supervise, gather and distribute financial information and reports. Visited a wide variety of geotechnical projects in weekly basis and reported to Cost Manager. The related work included but was not limited to dewatering, ground freezing, deep foundations, underpinning and grouting.

Assistant Project Manager Intern – December 2010 to December 2011

Lavada Inc, Brooklyn NY

Prepared detailed material and labor takeoffs, bid proposal packages, RFI, RFP, change order requests and basic correspondence for projects ranging from \$100K to \$5M. Supervised and inspected projects resulting in successful completion on time and under budget. Completed diverse engineering-construction projects including, but not limited to, research and development different types of materials to be used in decorative building panels.

COMPUTER SKILLS

Windows XP/Vista/7, AutoCAD 2000/2011, MS Office Word, Excel, PowerPoint, Project, Outlook, MATLAB, QuickBooks

LANGUAGE SKILLS

Albanian (Native), Italian (Fluent), Spanish (Basic)

CHARLENE SUNIO MORALES

OBJECTIVE

Motivated, methodical, and organized young professional offering a disciplined work ethic in exchange for a challenging position that will offer valuable industry exposure.

EDUCATION

CORNELL UNIVERSITY

SCHOOL OF INDUSTRIAL AND LABOR RELATIONS / AUGUST 2002 - JANUARY 2007

- Bachelors in Science in Industrial and Labor Relations

EXPERIENCE

PRODUCTION PARALEGAL

DECHERT, LLP (HUDSON GLOBAL SERVICES)
NY, NY / OCTOBER 2008 - PRESENT

- Coded production and master logs regarding matters in the Vioxx and Vytarin litigation
- Drafted and prepared correspondence and other written documents as required
- Created spreadsheets for tracking production date and case titles inaccuracies
- Quality – checked outgoing productions for confidential and excluded documents, privileged determinations, redactions, document/page counts
- Executed data merging projects for the purposes of locating production inaccuracies
- Produced Vioxx indexes of all correspondence between Dechert, opposing counsel, and the Department of Justice
- Conducted document searches regarding matters in the Vytarin / Vioxx litigation
- Proofread outgoing correspondence to opposing and local counsel
- Generated CD, DVD, flash and external hard drive productions utilizing Rimage

MASS TORT LITIGATION PARALEGAL

FLEMMING ZULACK WILLIAMSON ZAUDERER, LLP (LERNER CUMBO & ASSOC.)
WORLD TRADE CENTER PROPERTIES PLAINTIFFS' CO-LIAISON COUNSEL
NY, NY / MARCH 2008 - OCTOBER 2008

- Coded correspondence, document productions, mass media materials and other discovery related documents using CT Summation Enterprise
- Tracked, retrieved, and cross-referenced correspondence, transcripts, depositions, subpoenas, memorandums of law, personnel files, pleadings
- Reviewed citations and footnotes within the Aviation Defendants' 9/11 Commission Report Designations
- Prepared binders and work files (Preparation of motions, declarations, exhibits and other pleadings)
- Gathered and organized exhibits, documents, trial data and other materials in response to management requests,, subpoenas, discovery requests, interrogatories, motions for summary judgment etc.
- Prepared spreadsheets tracking the accuracy of the Aviation Defendants' document production to the WTC Properties Plaintiffs
- Bates labeled and filed all correspondence, pleadings, document productions, etc.
- Conducted legal research to supplement coding entries into CT Summation Enterprise

SENIOR MACINTOSH CONSULTANT

CORNELL INFORMATION TECHNOLOGIES

CORNELL UNIVERSITY, ITHACA, NY / FALL 2003 - JANUARY 2007

- Provided excellent technical support through telephonic consultations and walk-in appointments
- Managed and trained inexperienced new consultants
- Assembled comprehensive tracking records for clients' dynamic technical issues
- Conducted research and applied troubleshooting skills to resolve complicated issues
- Specialized in Windows XP and Macintosh software and hardware
- Updated "Wiki" (an online internal database) upon discovery of new/improved resolutions

SKILLS Microsoft Word, Excel, Quickbook, Powerpoint, Lexis-Nexis, CT Summation Enterprise Version 5.0, Concordance, Casemap 5, Ringtail, Adobe Photoshop, Illustrator, In-Design, HTML, Pilipino (Tagalog), some Spanish

KEVIN J. MULLINS, CFE

330 West 42nd Street, New York, New York 10036

212.850.1234

KMullins@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY

2010 - Present

Senior Forensic Auditor

- Perform integrity monitoring procedures at both the corporate and project levels, including on various World Trade Center construction projects.
- Examine records and monitor job site for errors and fraud on large, high-profile contract work.
- Analyze cash receipts and disbursements records for unusual patterns and possible fraudulent or illegal transactions.
- Evaluate contractor and subcontractor billing requisitions supporting documentation for reasonableness and completeness as well as possible inconsistencies and fraudulent reporting.
- Make recommendations to appropriate personnel to assist in bettering the review process as it relates to contractual efficiency and compliance
- Assist in developing approach as it relates to audit procedures performed.
- Identify and investigate variances and discrepancies noted and report to client and various government agencies involved with the projects.

J.H. COHN, LLP, New York, NY

2003 - 2010

Senior Accountant (2006-2010), Staff Accountant (2004-2006), Entry Level Accountant (2003-2004)

- Auditing:
 - In-charge accountant for several audit clients of all sizes in areas such as construction and manufacturing and distribution, performing audits and reviews of financial statements, employee benefit plans, agreed-upon procedures, etc.
 - Manage and supervise staff in performing necessary procedures efficiently and within stated deadlines.
 - Deal specifically with partners, senior managers, and managers, as well as client upper-management to discuss and resolve audit and accounting issues and recommend ways to improve reporting and internal controls.
 - Work closely with tax department to ensure that related tax work and accruals are in compliance with US GAAP.
 - Uncovered fraudulent activities on a large construction client and developed a set of procedures to address the further risk of fraud during the audit.
- Integrity Monitoring:
 - Examine records and monitor job site for errors and fraud on large, high-profile contract work.
 - Evaluate contractor and subcontractor billing requisitions and supporting documentation for reasonableness and completeness.
 - Make recommendations to appropriate personnel to assist in bettering the review process as it relates to contractual efficiency and compliance.
 - Assist in developing approach as it relates to audit procedures performed.
 - Identify and investigate variances and discrepancies noted and report to client and various government agencies involved with the project.
- Collective Bargaining Agreement Compliance:
 - Performed various procedures to ensure proper reporting and compliance related to the Collective Bargaining Agreement between a major North American professional sports league and players' association.
 - Deal specifically with upper management of assigned Teams in reviewing reporting submissions.
 - Uncover errors and assist in resolving compliance issues to all parties' satisfaction in a limited amount of time available.

SKILLS/KNOWLEDGE

Accounting, Contract Compliance & Analysis, Internal Financial Controls, Cash Flows Analysis, General Supervision, Financial Statement Analysis, Financial Statement Audit, Budget Analysis, Financial State Preparation

COMPUTER AND PERSONAL SKILLS

- Computer literacy with extensive knowledge of Microsoft Office (Excel, Word, Powerpoint)
- Strong analytical skills and problem solving techniques
- Display healthy level of professional skepticism
- Strong writing and verbal communication skills
- Ability to work through stressful situations and under time restraints

EDUCATION

Monmouth University, West Long Branch, NJ

B.S., Accounting, 2003

PROFESSIONAL MEMBERSHIPS/CERTIFICATIONS

Certified Member of the Association of Certified Fraud Examiners (ACFE)

MONITORSHIP EXPERIENCE

I have worked on several integrity monitorships throughout my career at Thacher Associates. The WTC Transportation Hub Project (June 2010 to present), the WTC Retail Pre-Tenant & Parking Fitout (October 2011 to present), P.J. Mechanical Corp. (June 2010 to present), Madison Square Garden Transformation Project (March 2011 to August 2011), Waldorf Holding Corp. (June 2011 to present), Phase I of the Moynihan Station Development Project (November 2012 to present), and the New York City Rapid Repairs Program (November 2012 to present). My role on these engagements is in the capacity of Senior Forensic Auditor. I report directly to the Director of Forensic Auditing and the Project Manager of each respective monitoring engagement. As Senior Forensic Auditor on the WTC Transportation Hub and WTC Retail Pre-Tenant & Parking Fitout monitoring engagements, I am responsible for dealing with the Port Authority Office of the Inspector General ("OIG") to devise, execute, and report on audit work plans designed to address perceived integrity risks on the projects. This includes audits of documents, supervision of lower level staff, and writing reports regarding findings and issues to be sent to the Port Authority OIG. On the P.J. Mechanical Corp. monitoring engagement, I am responsible for helping design and perform, as well as supervise lower level staff in the performance of, various audit and monitoring procedures related to specific integrity risks in the areas of billings, job costs, prevailing wage, estimates/bids, and travel & entertainment expenses. I perform an almost identical role on the Waldorf Holding Corp. and Moynihan Station Phase I engagements. On MSG, I was tasked with assessing the project controls and reviewing the contractual requirements and policies and procedures as it pertained to change orders and the areas of holds, contingencies, and allowances. For the Rapid Repairs Program, I head up a multi-person audit team for three different prime contractors in the Program. I am not only responsible for helping design and perform audit procedures and detailed risk assessments, and overseeing lower level staff, but I also work closely with the various Project Managers in terms of meeting with and reporting to our client, the New York City Department of Investigations. In performing these various procedures across all of the monitorships, I have been able to successfully coordinate with Thacher Associates field teams to bring a synergistic approach to each of my assignments.

References:

(WTC Hub, Retail) - Robert E. Van Etten, Inspector General, PANYNJ, 5 Marine View Plaza, Suite 502, Hoboken, N.J. 07030, Tel # 973-565-4330; Steven A. Pasichow, Port Auth OIG, 5 Marine View Plaza, Hoboken, NJ 07030; tel. # (973) -565-4366

(P.J. Mechanical) - Reference: Robert Joyce, Port Authority OIG, 5 Marine View Plaza, Hoboken, NJ 07030, tel. # 973-565-4349

(Madison Square Garden) – Gene Heaney, Senior Vice President, Madison Square Garden, 2 Penn Plaza, 14th Floor, New York, N.Y. 10016, Tel. # 212-465-6724

(Waldorf Demolition) – Mike Marrone, Waldorf Demolition, 50 East Palisade Avenue, Englewood, N.J. 07631, Tel. # 201-541-0030

(Moynihan) - Mehul J. Patel, Vice President, Development, Moynihan Station Development Corporation, 633 Third Avenue, 36th Floor, New York, N.Y. 10017, Tel. # 917-584-2913

(NYC Rapid Repairs) - Marjorie Landa, General Counsel, Department of Investigations, City of New York, 80 Maiden Lane, 17th Floor, New York, N.Y. 10038, Tel. # 212-825-2403

JAMES P. MURPHY

330 West 42nd Street, New York, New York 10036

Jim@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY

2005 - Present

Director of Forensic Engineering (2008 – Present)

- Manage a team of forensic engineers.
- Plan and coordinate construction integrity monitoring activities.

Senior Forensic Engineer (2005 – 2008)

- Perform forensic investigations in the field of construction.

NEW YORK CITY SCHOOL CONSTRUCTION AUTHORITY, Bronx, NY

2001 - 2005

Principal Engineering Auditor (Office of the Inspector General)

- Examined capital construction projects to detail evidence of fraud, corruption, defective pricing or waste in design, execution or management.
- Recommended modifications to improve controls, operating efficiencies and correct deficiencies identified through audits.
- Perform change order reviews and recovery analysis.

PERINI CORPORATION, Hawthorne, NY

1999 - 2001

Cost Engineer

- Managed, updated and maintained cost reports for design-build projects.
- Conducted regular cost and production analysis.
- Established cost control procedures and prepared cost data banks.
- Prepared project budget estimates for designs from concept to bid issue.
- Made design recommendations, during design development and updated budget.

PFISTER CONSTRUCTION, Medford, NY

1986 - 1999

Project Manager

- Managed site activities, scheduling, personnel and subcontractors.

EDUCATION

Manhattan College, Bronx, NY

M.S., Civil Engineering, 2001

Manhattan College, Bronx, NY

B.S., Civil Engineering, 1999

PROFESSIONAL MEMBERSHIPS/CERTIFICATIONS

NYC Site Safety Manager, Certified Mobile Crane Inspector, ACI Concrete Field Testing Technician, LEED Accredited Professional, 40-Hour OSHA Safety Training Course, Managing Crane Safety, Primavera Project Planner (P3)

MONITORSHIP EXPERIENCE

Yankee Stadium Monitoring Engagement (2007-2010)

United Nation Capital Master Plan Monitoring Engagement (2009-Present)

MTA Fulton Street Transit & South Ferry Terminal Monitoring Engagement (2006-2009)

WTC Monitoring Engagements – Hub, Retail & Memorial (2008-Present)

NYCTA 2nd Avenue Subway Monitoring Engagement (2011-Present)

As Director of Forensic Engineering, my responsibilities consist of managing a team of forensic engineers performing fraud detection, prevention and investigative activities including: spot audits of change orders, scheduling impact analysis and quality control assessments and identifying significant financial recoveries and prepared detailed reports in support of potential backcharges to the trade contractors. I manage multi-disciplined team of engineers, safety and environmental specialists in identifying integrity risks and recommending improvement in controls to mitigate those risks with regard to: compliance with the Project Labor Agreement, change orders, fees and mark-ups, allowances, contract procurement, general conditions and quality control, timely payments to subcontractors and vendors, prevailing wage laws, utilization of women and minorities in the trades and achieving goals for real participation of disadvantaged business enterprises.

References:

(Yankee Stadium): Randy Levine, President, Yankees, 161st Street and River Avenue, Bronx, N.Y. 10451, Tel. # 212-872-1005

(United Nations): Vivian Van de Perre, Chief – Administration & Communications Capital Master Plan, United Nations, UN Secretariat, 1st Avenue and 42nd Street, New York, N.Y. 10017, Tel. # 212-963-1546

(MTA Fulton Street): Lamond Kearse, Office of Inspector General, Metropolitan Transportation Authority, 2 Broadway, 16th Floor, New York, N.Y. 10004, Tel. # 646-252-1330

(WTC Projects – Hub, Retail & Memorial): Robert E. Van Etten, Inspector General, PANYNJ, 5 Marine View Plaza, Suite 502, Hoboken, N.J. 07030, Tel # 973-565-4330; Steven A. Pasichow, Port Auth OIG, 5 Marine View Plaza, Hoboken, NJ 07030; tel. # (973) -565-4366

(NYCTA 2nd Avenue Subway): Lamond Kearse, Office of Inspector General, Metropolitan Transportation Authority, 2 Broadway, 16th Floor, New York, N.Y. 10004, Tel. # 646-252-1330

PATRICIA M. NAPOLITANO

330 West 42nd Street, New York, New York 10036

pnapolitano@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY

Manager of Intelligence/Research and Analysis

2012 - Present

- Manage department personnel who track and collect extensive data and conduct in-depth analysis for internal Project Managers to provide clients with timely requested investigative reports.
- Manage and direct all research and analysis engagements and assignments; coordinate with the Manager of Investigations to include industry source information helpful to client requests.
- Interface regularly with Managing Partners and senior management to discuss new and ongoing investigations.
- Conduct anti-money laundering/Know-Your-Customer investigative review for banking clients.

NGH ASSOCIATES, LTD

Part Time - Researcher

2010

- Provided assistance to Due Diligence Investigator for client requested investigations. Conducted online database research for inclusion in investigative reports in conjunction with investigators field research and surveillance.

SUTTON ASSOCIATES

Manager Due Diligence (Part-time 2010 - 2012)

1999 - 2012

- Maintained corporate client contact and provide Due Diligence reports in various industries, including real estate, corporate finance, hedge funds, national sports venues, pharmaceutical industry and corporate and criminal law, for use in M&A, IPOs, selections of Board Members and Officers.
- Manage department personnel; opened, assigned, reviewed and invoiced Due Diligence investigative reports.
- Solicited new clients, networked for new contacts, worked with new and existing clients to determine the best course of investigative research to achieve desired results
- Assisted in determining the best candidate for executive positions; determined risk factors in lending large amounts of capital to developers.

NEW YORK STATE ORGANIZED CRIME TASK FORCE

Special Investigator (1987-1999) / Narcotics Team (1998-1999) / Colombian Cartel Project/Money Laundering Team (1992-1998)

1987 - 1999

- Analysis of electronic, telephonic, and physical surveillance data, trial documents, public utilities records, and the police database (N.Y.S.P.I.N.) to identify subjects involved in money laundering activities
- Assisted in the preparation of eavesdropping and search warrant applications.
- Investigated an international money laundering operation involving Colombian drug cartels and their corporate associates, which resulted in numerous felony convictions and led to the forfeiture of over \$2 million dollars.
- Prepared reports of investigative and analytical findings.
- Gathered leads, executed search warrants, reviewed and sealed evidence.
- Conducted and assisted in interviews of witnesses, informants and subjects.

Traditional Syndicates Team (1987-1992)

- Reviewed electronic surveillance recordings for prosecution of Gambino Crime Family and other traditional organized crime groups.
- Included investigation of bribery, loan sharking and assault.
- Designed computerized database to ensure use of proper minimization procedures, leading to judicial upholding of electronic surveillance recordings of John Gotti and associates.

Information Unit/Collator (1985-1987)

- Responsible for preparation and renewal of subpoenas.
- Liaison to law enforcement agencies and utilities companies nationwide.
- Obtained criminal histories and performed background checks on targets of ongoing investigations.

Transcriber (1984-1985)

- Transcribed court ordered electronic surveillance conversations of organized crime suspects for use in Grand Jury and at trial.

PROFESSIONAL TRAINING

Financial Crime 360 Training Seminar; Analytical Techniques seminar; Criminal Intelligence Analysis seminar; Money Laundering seminar; Investigation and Prosecution of Complex Narcotics Cases; Financial Analysis seminar; Credit Card Fraud seminar; Financial Crime Prevention Entering the 21st Century; Contemporary Financial Crime Conference; Telephone Fraud seminar; Asset Forfeiture seminar

EDUCATION

Iona College, New Rochelle, NY

B.A., Criminal Justice

COMPUTER SKILLS

Nexis/Lexis, PACER, National Credit Bureau, IRB, LocatePlus, Word Perfect, Dun & Bradstreet, Department of Motor Vehicle Database, various on-line search sites

MONITORSHIP EXPERIENCE

P.J. Mechanical Engagement (2012 – Present)

Port Authority WTC Engagements (Hub, Memorial, Retail) (2012 – Present)

The LaQuila Group Engagement (2012 – Present)

MTA – Skanska Engagement (2012 – Present)

Schiavone Construction Engagement (2012 – Present)

As manager of Intelligence/Research & Analysis, I conduct review of proposals for monitorships. Supervise unit and/or conduct required due diligence research for vetting subcontractors. Research public database records of corporations and individuals in the construction industry. Support project managers with investigative needs.

References:

(PJ Mechanical): Robert Joyce, Port Authority OIG, 5 Marine View Plaza, Hoboken, NJ 07030; tel. # 973-565-4349

(Port Authority WTC Engagements): Robert E. Van Etten, Inspector General, PANYNJ, 5 Marine View Plaza, Suite 502, Hoboken, N.J. 07030, Tel # 973-565-4330; Steven A. Pasichow, Port Auth OIG, 5 Marine View Plaza, Hoboken, NJ 07030; tel. # (973) -565-4366

(The LaQuila Group): Angelo Sisca, Vice President – Operations, LaQuila Group, 1590 Troy Avenue, Brooklyn, N.Y. 11234, Tel. # 718-252-0126

(MTA – Skanska): Martin Flumenbaum, Partner, Paul Weiss Rifkind Wharton & Garrison LLC, 1285 Avenue of the Americas, New York, N.Y. 10019, Tel. # 212-373-3191

(Schiavone Construction): Lorraine D'Angelo, Esq., CCEP, Sr. Vice President – Ethics & Compliance, Dragados USA, 500 Fifth Avenue, 38th Floor, New York, N.Y. 10110, Tel. # 212-779-0900 x 131

MICHAEL NORMOYLE

330 West 42nd Street, New York, New York 10036

Mnormoyle@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY
Forensic Safety Engineer

2013 - Present

- Investigate company records and documents, for compliance, and to confirm their authenticity to eliminate any fraudulent claims.

DANELLA CONSTRUCTION OF NY, Bronx, NY
Area Safety Manager

2008 – 2013

- Responsible for crews working on repairs to Utility systems throughout the NY and CT area.
- Focused on job site safety, on site inspections and company audits.
- Established trend lines to see repeat violations.
- Conducted orientation and refresher training for employees.
- Developed best work practices with senior management.

STERICYCLE, Farmingdale, Bronx (NY)/Bloomfield, NJ
Area Manager, Environment Safety and Health

2004 – 2008

- Managed employees at 3 facilities in New York and New Jersey region.
- Oversaw compliance with various Federal, State and local regulatory agencies.
- Responsible for renewing or acquiring operating permits at all facilities.
- Monthly inspections OSHA required training meetings.
- In-house audits at other company facilities and inspections from regulatory agencies.
- Conducted new hire training and developed Job Safety Assessments.
- Accident review committees for both vehicular and workman's compensation incidents.
- Reduced recordable injuries and Workman's compensation claims and costs every year for 4 years.

VIVENDI/US FILTER/CULLIGAN WATER, NY and NJ
Regional Environmental Health and Safety Administrator

1999 - 2004

- Introduced and implemented Health and Safety programs at 4 facilities in New York and New Jersey.
- Reduced lost time and recordable incidents at all facilities.
- Responsible for OSHA required training, meetings and compliance issues.
- Managed Workman's compensation cases in New York and New Jersey.

EDUCATION

Queens Borough Community College, Bayside, NY

AAS, Business Administration

COMPUTER SKILLS

Microsoft Office (Excel, Word, Powerpoint, Outlook)

PROFESSIONAL CERTIFICATIONS

OSHA 10-Hour Course, Coyne First Certified First Aid Trainer, OSHA 30-Hour Construction

MONITORSHIP EXPERIENCE

February 2013 – Present - World Trade Center (World Trade Center Transportation Hub, The National September 11th Memorial and Museum, and WTC Retail)

Responsible for monitoring integrity of safety processes; reviewing rigging, crane and scaffolding inspection documents, ensuring compliance with project EH&S program and federal, state and local health & safety regulations, identifying falsifications, misrepresentations, inaccuracies and/or failure to complete required safety documentation, tracking employee injury reports and safety observations reports identifying reports which lack critical information and/or make false representations of the date and/or nature of injury and tracking contractor incident rates identifying contractor injury trends and identifying whether said contractor is providing adequate safety protection and equipment as per contract. Independently verify accuracy of safety information submitted by contractors during procurement process, identify instances of contractors omitting or misrepresenting key safety data such as EMR, OSHA violations and company incident rates and ensuring CM procurement has an adequate system of evaluating a contractor's safety record, identify contractors and personnel that are required to possess specific licenses, certifications and training in line with federal, state and local code and independently verifying licenses and certifications to ensure contractors are fulfilling contractual requirements by furnishing licensed personnel for specific tasks.

(References: Robert E. Van Etten, Inspector General, PANYNJ, 5 Marine View Plaza, Suite 502, Hoboken, N.J. 07030, Tel # 973-565-4330; Steven A. Pasichow, Port Auth OIG, 5 Marine View Plaza, Hoboken, NJ 07030; tel. # (973) -565-4366)

ERIC J. PALUMMIERI

330 West 42nd Street, New York, New York 10036

Epalummieri@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY
Forensic Engineer

2012 - Present

- Provide forensic reviews and investigations including detection and reporting of instances of fraud, waste and abuse.
- Integrity monitoring both public and private sector
- Contractor-based and Project-based surveying to ensure work is being performed as per schedule, contract and specifications.
- Change order and requisition audits.

ROBERT JENNY DESIGN, Hoboken, NJ
Construction/Project Manager

2011 - 2012

- Provided full-range business development, construction supervision and project management for upscale residential, retail and commercial interiors.
- Scheduled projects with respect to logic, efficiency, and budget in order to meet aggressive deadlines and maximize profitability.
- Determined labor/material requirements and dispatched workers/resources to construction sites.
- Closely monitored, inspected, and reviewed projects for design, building, and safety compliance.
- Coordinated interactive on-site meetings with architects, interior designers, property management and clients.
- Interpreted and explained plans and contract terms to administrative staff, workers and clients.
- Fabricated up-to-the-minute/hour/day progress reports for clients and internal use.
- Prepared contracts and negotiated revisions, changes, and additions to contractual agreements with architects, consultants, clients, suppliers, and subcontractors.
- Responsible for hiring of and payroll for approximately 18 in-house tradesmen.
- Management of projects budgeted \$10,000 to \$1million.

GOLD AND BENNETT FX, New York, NY

Business Development/Sales Specialist

2010 - 2011

- Generated and managed new and existing business relationships with accredited institutional and retail investors.
- Diversification of client portfolios within alternative asset classes, particularly foreign currency and precious metals markets.
- Proven track record in growing business and expanding client base.
- Analyzed and identified specific growth areas and potentially favorable market conditions.
- Effectively managed Sales Team (Brokers/Broker Trainees) of 7-10 employees including one-on-one training, group seminars, and weekly/monthly/quarterly sales forecasting and monitoring.

M-E ENGINEERS, New York, NY

Mechanical Project Engineer/Manager

2005 - 2010

- Consulting engineer for the development of healthcare, sports, retail and office facilities as well as luxury properties in the mechanical, plumbing, sprinkler and renewable energy system design capacity.

- Specialized in development of Solar Photovoltaic, Thermal systems design.
- Coordinated system design with NYSERDA, LIPA, NABCEP, and NJCEP in conjunction with federal/local governments as well as local utilities.
- Provided on-site construction administration along with proper quality control measures for ensuring the entire project finish on time and due budget.
- Utilized LEED and other sustainable "green" building techniques to reduce energy consumption and improve building efficiencies.
- Produced monthly/weekly development report to supporting staff and higher management.
- Created AutoCAD technical system site plans for bid & construction.
- Worked closely with architects, construction managers, and property management to identify new projects and develop long-lasting relationships for future project partnerships.
- Proactively identified and designed HVAC systems for relief and modernization of regional facilities.
- Provide timely, cost effective in-field engineering work orders to construction, while monitoring performance and cost both internally and commercial clients.

PROFESSIONAL ASSOCIATIONS

Institute of Industrial Engineers (IIE); OSHA; Society of Automotive Engineers (SAE); Energy Star Contractors; American Solar Energy Society (ASES)

EDUCATION

New Jersey Institute of Technology, Newark, NJ

B.S., Industrial Engineering, 2005

COMPUTER SKILLS

Microsoft Office Suite including MS Project; AutoCAD; ProEngineer; Dashboard CRMs; Database extraction

MONITORSHIP EXPERIENCE

PJ Mechanical Monitorship (Madison Square Garden, Carnegie Hall, Carnegie 57)

(Oct 22, 2012 to Nov 23, 2012) - As Forensic Engineer, performed meticulous comparison of work observed within the field to monthly requisitions, invoices and change orders, examining for instances of double-billing, fraudulent charges, material/ equipment substitutions and abuse. Performed site visits, conducting work scope, progress and prevailing wage interviews with PJ Mechanical labor, accompanied by TA investigative personnel. Performed office visits to PJ Mechanical headquarters, requesting clarification of requisition and change order billing, accompanied by TA auditing personnel.

(Reference: Robert Joyce, Port Authority OIG, 5 Marine View Plaza, Hoboken, NJ 07030; tel. # 973-565-4349)

NYC Rapid Repair Program (Brooklyn region, monitoring Skanska and DSW)

(Nov 26, 2012 to Present) - As Forensic Engineer, ascertain program procedures and field operations, citing deficiencies and suggesting implementations for improvement of operations to CM and QA personnel. Observe and monitor all field activities, including assessments, repairs-in-progress and closeouts, carefully measuring/ verifying all line-items for comparison, preparing checklists and securing photos, noting and recording all discrepancies with respect to protocol (accompanied by TA investigative, auditing and engineering personnel). Coordinate plans of action with TA Project Management personnel, NYC DOI NYC DEP/

OEA regarding issues observed by TA field team. Interview homeowner while at NYC RRP premises; interview subcontractors re work scope, prevailing wages, noting PPE and work methods deficiencies observed. Interview QA and Shaw personnel regarding operational deficiencies with respect to quality assurance. Analyze work orders in order to identify work order anomalies for repair scope verification. Prepare TA daily activity report, TA issues log and closeout verification database.

(Reference: Marjorie Landa, General Counsel, Department of Investigations, City of New York, 80 Maiden Lane, 17th Floor, New York, N.Y. 10038, Tel. # 212-825-2403)

RUDIN PISTOLI

330 West 42nd Street, New York, New York 10036

RPistoli@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY
Forensic Engineer

2012 - Present

- Perform forensic investigations in the construction field.
- Construction engineering, safety and environmental integrity monitoring.
- Change Order, Purchase Order and Work Order fraud detection.
- Verify that construction activities comply with project specification and meet contractual requirements.
- Field verify costs associated with general conditions and time and material work.
- Analyze project submittals for compliance with Sustainable Design Guidelines (SDG) and LEED certification

CORE ENVIRONMENTAL, Maspeth, NY
Civil Engineer, QA/QC Manager

2011 - 2012

- Phase I Environmental Site Assessments (ESA).
- Phase II (ESA), investigations and remediation of spills involving petroleum hydrocarbons.
- Record search reports.
- Remedial investigation/feasibility study work plans ("RI/FS") for Brownsfield sites.
- Analyzed and prepared multiple designs and solutions for remediation for both ex-situ and in-situ treatment.
- Prepared subcontracts and performed supervision of monitoring well drilling and installation.
- Updated Spill Prevention Control and Countermeasures (SPCC) Plans for 19 NYCDEP Water Pollution Control Plants and Pumping stations.
- Managed group of 8-10 employees for NYCT projects; responsible for day-to-day operations which included scheduling, QA/QC, waste tracking, site inspections, and attending progress meetings with clients.
- Performed inspections and recommended solutions for Storm Water Pollution Prevention Plans (SWPPP) for construction sites.
- Performed and managed air monitoring and supervision of de-leading for numerous sites and clients including NYSDEC and NYCT.

ALLIED NORTH AMERICA, New York, NY

2007 - 2010

- Assigned to the Second Avenue Subway Project for the MTA.
- Tracked the schedule and payroll expenses of the contractors for insurance purposes.
- Maintained and updated OCIP certificates for the contractors.
- Attended progress meetings and site visits.

GRB ENVIRONMENTAL, New York, NY

2008

- Gateway National Recreational Area Project and High Line Project.
- Assisted Environmental Engineers in preparing reports regarding asbestos and lead paint.
- Conducted site surveys and evaluations; prepared Excel spreadsheets with the data collected on site, supporting data with on site pictures, CAD drafting and editing drawings.

DOMINGO GONZALEZ ASSOCIATES, New York, NY

Part-Time

2007 - 2008

- Assisted Architect Designers with all aspects of the designing process including;
 - Site surveys
 - Take offs
 - Quantity Estimates
 - CAD drafting

PROFESSIONAL CERTIFICATIONS

SSPC C-3 Supervisor/Competent Person Training for Deleading; AutoCAD Essentials and Advanced Training (64 hours); MTA NYC Transit Authority Track Safety Certificate; AMTRAK Contractor Orientation; County SWCD Erosion and Sediment Control Training and NYSDEC Certificate; 10-hour OSHA Construction Safety and Health; OSHA 40-hour HAZWOPER Training; NYC DOB 4-hour Supported Scaffold Training

EDUCATION

Polytechnic Institute of NYU, New York, NY

B.S., Civil Engineering, 2011

SKILLS

AutoCAD 2006-2010, Staad Pro, HCS+, EDR, Photoshop CS4, MATLAB, Microsoft Office, Adobe Reader Window and macintosh

MONITORSHIP EXPERIENCE

June 2012 – Present - World Trade Center (One World Trade Center, World Trade Center Transportation Hub, Central Chiller Plant, The National September 11th Memorial and Museum, Vehicle Security Center)

Perform forensic investigations in the construction field; construction engineering, safety and environmental integrity monitoring; change order and purchase order fraud detection; verify that construction activities comply with project specification and meet contractual requirements; field verify costs associated with general conditions and time and material work; analyze project submittals for compliance with Sustainable Design Guidelines (SDG), Environmental Performance Commitments, LEED certification, and other project submittal requirements; perform QA/QC review of supplies and materials on site required to meet technical specifications as well as federal, state and local laws, rules and regulations.

(References: Robert E. Van Etten, Inspector General, PANYNJ, 5 Marine View Plaza, Suite 502, Hoboken, N.J. 07030, Tel # 973-565-4330; Steven A. Pasichow, Port Auth OIG, 5 Marine View Plaza, Hoboken, NJ 07030; tel. # (973) -565-4366)

November 2012 – Present – NYC Rapid Repairs Program

Perform forensic engineering investigations in the construction field; verify that work was performed as per contract and Work Order; shadow site assessment teams in order to justify that assessments drafted match with work needed to be performed; perform detailed review of civil, electrical and mechanical work performed on site and compare with Work Orders and invoices for fraud detection; verify cost breakdowns and unit price calculations; review DOB documentation for Zoning and Certificates of Occupancy.

(Reference: Marjorie Landa, General Counsel, Department of Investigations, City of New York, 80 Maiden Lane, 17th Floor, New York, N.Y. 10038, Tel. # 212-825-2403)

December 2012 – Present - Brookfield Properties

Monitor construction activities dealing with project soil removal; review contractual agreements, Phase 1, and Phase 2 site assessment and remediation reports and verify that soil being removed is within NY/NJDEP Soil Cleanup Criteria; identify potential integrity risks with soil removal activities and other aspects of the project.

(Reference: Henry Caso, Director of Construction, Brookfield Properties, 3 World Financial Center, New York, N.Y. 10281, Tel. # 212-417-7170)

Jonathan Pitts, CFE

Education

Bridgewater State College
Bachelor of Science, Accounting
Summa cum Laude
GPA: 3.86/4.0

Bridgewater, MA
May 2006

Certifications

Association of Certified Fraud Examiners
Certified Fraud Examiner January, 2011
American Institute of Certified Public Accountants
AICPA Member
Education requirement met, pursuing CPA

Professional Experience

MFA Cornerstone Consulting, LLC

Performance and Controls, Senior Consultant

Tewksbury, MA

Performance and Controls, Consultant

July, 2010 – March, 2011
October, 2008 – June, 2010

- Evaluated the internal controls at client organizations with respect to the framework of Internal Control over Financial Reporting developed by the Committee of Sponsoring Organizations (COSO) of the Treadway Commission
- Interviewed client employees and performed testing of internal controls for clients to attain compliance with Sarbanes-Oxley and identify areas of improvement for the business processes of the organization
- Created the work paper templates for SSAE 16 (formerly SAS 70) engagements used throughout the firm
- Member of the litigation support team that provided lost profit analyses as well as the tracking of embezzled funds
- Drafted litigation support memos to explain and support the findings of litigation support matters
- Designed and implemented the testing procedures and work papers for RIA 206(4) – 2 audits performed by the firm
- Utilized as a member of the audit group to perform audit procedures in accordance with GAAP and GAAS on privately-held companies across numerous industries
- Coached staff members on the procedures of SAS 70 and SOX-404 compliance engagements and was responsible for reviewing staff members' work
- Managed client relationships and was the point person during the testing portions of engagements
- Tested client documentation in numerous foreign languages, including Spanish, German, Italian, and Dutch
- Promoted to Senior within two years, which was a predetermined goal

Pepsi Bottling Group

Staff Accountant

Norwood, MA

October, 2006 – February, 2008

- Prepared periodic account reconciliations as well as weekly spending reports
- Responsible for proper payment procedures and contract payment approvals for the Northeast Business Unit
- Managed the Customer Development Agreements for audit purposes.
- Collaborated with Account Owners to create an ongoing tracking system for applied deductions for each respective customer
- Prepared and delivered presentations to the Pepsi sales team on the implementation of the Customer Payment System
- Directed the transfer of the regional Northeast payment system into a centralized corporate setting

Drug Enforcement Administration (DEA)

High Intensity Drug Trafficking Area Intern

Washington, D.C.

September, 2005 – December, 2005

- Investigated cases under the direction of DEA special agents
- Participated in surveillance and enforcement duties

Technical Skills

- Proficient in Caseware Working Papers, Microsoft Word, Excel, Access, PowerPoint, and Visio
- Familiar with numerous accounting modules, including Great Plains, QuickBooks, Peachtree, MAS-500, and Solomon

Extra-Curricular/Volunteer Activities

- Ran the 110th Boston Marathon, 2007
- Boston2Portland Ride to Cure Parkinson's Disease, 2007

JOHN CHRISTOPHER PRATHER

330 West 42nd Street, New York, New York 10036

Cprather@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY
Managing Director

2012 - Present

- Oversee Integrity Monitoring engagements.
- Direct the activities of investigators, forensic accountants and engineers to design and implement internal control and monitor compliance therewith, particularly for large construction contractors and project owners (public and private).
- Ensure best practices and transparency in all phases of construction projects, from procurement, through mobilization and construction, to project close-out.

MTA OFFICE OF THE INSPECTOR GENERAL, New York, NY
Deputy Inspector General, Investigation and Legal

2008 - 2012

- Oversaw 10 attorneys and 30 investigators working to safeguard the MTA's multi-billion dollar capital program and ensure the ethical practices of more than 65,000 MTA employees.
- During tenure, cases developed by the Investigations Division returned tens of millions of dollars to the MTA, other state, local and federal agencies and to defrauded workers.
- Worked closely with firms hired to monitor and rehabilitate contractors doing business with the MTA, in designing and implementing corporate ethics and compliance programs, particularly in the areas of Disadvantaged Business Enterprise requirements and Davis-Bacon/prevaling wage compliance.

NYS ORGANIZED CRIME TASK FORCE (OCTF)
Deputy Attorney General in Charge

2002 - 2008

- Jointly appointed by New York's Governor and Attorney General
- Supervised 14 attorneys and more than 60 investigators conducting organized crime investigations across the state.
- Empowered to apply for eavesdropping warrants and search warrants and issued subpoenas.
- During my tenure, OCTF was the lead agency in several major investigations and successful prosecutions of corrupt labor officials and organized crime figures involving labor racketeering and the Mafia's control of labor unions, including the Operating Engineers, the International Longshoremen's Association, the Carpenter's Union, and Plumbers' Union Local 1.
- Worked jointly with the FBI, Federal Department of Labor, NYPD, DEA and numerous other law enforcement agencies, and the Federal and local prosecutors' offices to build successful cases against the Italian mafia, Russian organized crime and other criminal gangs.

NYS ATTORNEY GENERALS OFFICE
Deputy Chief, Criminal Division

1999 - 2002

- Assisted in supervision of more than 100 lawyers and investigators from the Medicaid Fraud Control Unit, the Criminal Prosecutions Bureau and the State Organized Crime Task Force.

NYC SCHOOL CONSTRUCTION AUTHORITY
Assistant Inspector General and Counsel

1996 - 1999

- Oversaw investigations conducted by the Inspector General's office into allegations of bid rigging, bribery, prevailing wage violations and other types of employee/contractor malfeasance and construction fraud.

NEW YORK COUNTY DISTRICT ATTORNEYS OFFICE, New York

1982 - 1996

- Prosecuted major felony offenses while assigned to the Career Criminal Prosecutions Bureau.
- Tried more than 30 cases to verdict.
- Joined the Rackets Bureau in 1986 and led the investigation that produced the office's first prosecution of a mafia crew under the then-new Organized Crime Control Act.
- Founding member of the Office's Organized Crime Unit.
- Promoted to Deputy Chief of the Frauds Bureau in 1989 and supervised approximately 12 attorneys conducting major white collar crime investigations and trials, while carrying my own case load.
- Returned to the Rackets Bureau in 1992 as Senior Investigative Counsel and tried 2 major narcotics cases and led the second phase of the landmark investigation into the NYC Carting Industry.

NORTH CAROLINA ATTORNEY GENERALS OFFICE, North Carolina

1977 - 1982

- Represented the State of North Carolina in highway construction contract litigation and eminent domain proceedings.
- Handled criminal appeals for local District Attorneys.

EDUCATION

North Carolina School of Law, Chapel Hill, NC

Juris Doctor, 1977

University of North Carolina, Chapel Hill, NC

BA, Biology, 1974

MONITORSHIP EXPERIENCE

Mr. Prather's extensive experience with Integrity Monitoring began in 1997, when, as the First Assistant Inspector General and Counsel to the Inspector General at the New York City School Construction Authority, he was involved in the imposition of integrity monitors on ethically challenged contractors. His duties in those cases included working with the monitors to design effective compliance programs, reviewing their reports and focusing their activities based upon their findings or other intelligence. In each of his subsequent positions over the next 15 years, until he left government service in 2012, he performed this same set of functions for monitors reporting to the Attorney General's Office, the Organized Crime Task Force, and the Office of the Inspector General for the MTA. Since joining Thacher Associates in 2012, Mr. Prather has been assigned the leading role in the firm's engagement as the Procurement Integrity Monitor for the selection of the Design-Builder for the new Tappan Zee Hudson River Crossing (July 2012 to January 2013). He has also been assigned as the Firm's project manager for integrity monitoring services as part of NYC's \$500 million Rapid Repairs Program, overseeing the activities of two of the prime contractors hired to repair thousands of homes in New York City after the devastation wrought by Hurricane Sandy (November 2012 to present). Mr. Prather is also currently the Managing Director responsible for monitoring Prevailing Wage compliance on the MTA's multi-billion dollar

East Side Access project, to bring the Long Island Railroad into Grand Central Station (October 2012 to present).

References:

(Tappan Zee Hudson River Crossing) – William Ringwood, New York State Thruway Authority, New York Division – Suffern, Suite 400, 4 Executive Boulevard, Suffern, N.Y. 10901, Tel. # 845-918-2500; Joseph Igoe, Esq., New York State Thruway Authority, New York Division – Suffern, Suite 400, 4 Executive Boulevard, Suffern, N.Y. 10901, Tel. #845-918-2500)

(NYC Rapid Repairs Program) - Marjorie Landa, General Counsel, Department of Investigations, City of New York, 80 Maiden Lane, 17th Floor, New York, N.Y. 10038, Tel. # 212-825-2403

(MTA East Side Access Project) - William Goldstein, Executive Vice President, MTA Capital Program, 2 Broadway, New York, N.Y. 10004, Tel. # 646-252-3467

LIAM RICHMOND

EXPERIENCE

1199 SEIU UNITED HEALTH CARE WORKERS UNION, New York, NY

December 2011 – Present

Financial Analyst

- Review and analyze submitted financial reports for discrepancies; verify and compare financial records.
- Assist in preparation of accrued account receivable.
- Prepare Audit reports and documentations for billing.
- Review payroll processing procedures against collective bargaining agreement parameters.
- Conduct payroll audits of employer & participants.
- Create various financial reports, schedule audits and maintain summaries reports.
- Design and conduct control improvement activities, tracked results, and recommend corrective action for problems, irregularities and anomalies.
- Conduct exit conference with CFO's, Controller, Bookkeepers.
- Record and maintain documents for arbitration hearings.
- Review systemic and expanded schedules of contributions due and paid.
- Reconcile difference between systemic expanded schedules.

TEXACO, Georgetown, Guyana

January 2008 – November 2011

Lead operations initiatives, including recruiting, planning, forecasting and budgeting, identifying and analyzing operational and budget needs.

Operations Analyst

- Analyzed current and historical trends to determine where revenue opportunities exist and evaluated existing, future and competitive pricing structures.
- Reviewed and analyzed financial reports for discrepancies; verifying and compared financial records for accuracy and consistency.
- Created various financial reports, scheduled audits and maintained summaries reports.
- Monitored spending against approved contracts.
- Reviewed statistical budgetary data, and prepared fiscal summary reports and analyses.
- Responsible for reviewing contract and procurement documents.
- Responsible for researching implications of proposed policies and identifying the impact to contracts and budgets.
- Assisted in the development and implementation of new policies and procedures.
- Consulted with vendors and contractors to negotiate and formulate contractual agreements

EDUCATION

AMERICAN INTERCONTINENTAL UNIVERSITY, Hoffman Estates, IL
Master of Business Administration

May 2011

UNIVERSITY OF CENTRAL FLORIDA, Orlando, FL.
Bachelor of Applied Science

December 2007

VALENCIA COLLEGE, Orlando, FL.
Business Management Certificate
Business Operations Certificate
Business Specialist Certificate

May 2005

UNIVERSITY OF GUYANA, Georgetown, Guyana.
Bachelor of Social Science: Accounting

October 2002

SKILLS

Excel Word, Power Point, Outlook, Microsoft Publisher, QuickBooks.

ERICA J. RODRIGUEZ

330 West 42nd Street, New York, New York 10036

Erica@ThacherAssociates.com

Thacher Associates, LLC, New York, NY

2002 – Present

Administrative Supervisor / Project Administrator

- Assist managing directors and attorneys in executing daily tasks
- Conduct reputational due diligence for a variety of investigations in both the public and private sectors
- Responsible for maintaining critical company files, calendars, schedules and departmental budgets resulting in improved work-flow efficiency for project management
- Coordinate all personal & business, domestic and international travel arrangements & accommodations
- Responsible for editing and finalizing proposals
- Organize engagements for company executives
- Process time and expense reports
- Work in a team environment to perform analysis and problem solving
- Assist colleagues with critical projects to ensure quality and deadlines were satisfied
- Analyze documentation for the World Trade Center Transportation Hub project

Ibex Construction, New York, NY

1999 – 2002

Executive Assistant

- Assistant to the President and Executive Vice President
- Communicated regularly with top clients and vendors
- Functioned as liaison to maintain coordination of satellite offices
- Responsible for Managing corporate accounts at restaurants, courier services, and transportation services
- Responsible for maintaining schedules and contact database
- Scheduled all meetings and multi-party conference calls
- Coordinated travel arrangements & accommodations
- Performed daily tasks, including maintaining monthly bills, arranging social events, and organizing engagements for company executives
- Processing Time and Expense reports
- Responsible for preparing all office-wide correspondence
- Responsible for maintaining office equipment and hardware, including phones, faxes and copying machines
- Responsible for maintaining filing systems and tracking archived files

Kwas Inc., New York, NY

1996 – 1999

Executive Assistant

- Worked directly with company President on daily jobs and tasks
- Solely responsible for Accounts Payable
- Involved in recruitment of new employees (communicated with employment agencies and universities)
- Coordinated all travel arrangements
- Oversaw financial activities, such as bank reconciliation and corporate credit card accounts
- Created estimates for clients based on direction from the CEO
- Prepared presentations for board meetings, conferences and seminars
- Assisted in presentations for marketing proposals
- Responsible for petty cash disbursements
- Prepared and processed T&E reports
- Screened and directed all incoming telephone calls
- Prepared correspondence, letters, meeting minutes, agendas, presentations and memos

EDUCATION

Kingsborough Community College, Brooklyn, NY

A.S., Business and Marketing, 1999

SKILLS

Microsoft Office, Proficient in Internet Explorer, ProVantage, Millennium 10, and ACT

MOST RECENT INTEGRITY MONITORING ENGAGEMENTS

My most recent integrity monitoring engagements are: The WTC Transportation Hub Project (October 2006 – Present), the WTC Retail Project engagement (October 2011 to present). I also assist on The National September 11th Memorial and Museum and the WTC Central Chiller Plant monitoring engagements (December 2008 to present) All are Thacher Associates engagements. My role on these engagements is in the capacity of Project Administrator. I report directly to the Project Manager of each respective monitoring engagement. As Project Administrator on each respective project, I am responsible for organizing, updating and managing all project related electronic and hard copy documents in an electronic document management system and filing cabinet, and creating, editing and updating project related spreadsheets (i.e., site visit logs, budgets, analysis, charts, etc.), documents, and Powerpoint presentations as requested by clients and/or Project Managers. I am also responsible for organizing and managing project related team schedules, calendars, and meetings, communicating and distributing to project teams regarding any and all project-wide information issued by the client, and reviewing all project related memos, reports and e-mails from team members and clients to stay informed on status of projects.

WILLIAM D. ROGERS

330 West 42nd Street, New York, New York 10036

Bill@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY

1997 - Present

Managing Director / Project Manager

- Design strategies to provide intelligence, investigative and audit services in connection with client engagements including integrity monitorships and project integrity compliance programs.
- Direct research and investigative functions that provide analytical resources and information for business intelligence.
- Direct internal investigations of corporate fraud.
- Meet with clients to assist in structuring products and services that meet client needs for litigation support, due diligence, and business solutions.

OFFICE OF THE INSPECTOR GENERAL,

NEW YORK CITY SCHOOL CONSTRUCTION AUTHORITY, Bronx, NY

1990 - 1997

Deputy Counsel to the Inspector General

- Under immediate supervision of the counsel, responsible for the management and prosecution of administrative and civil matters.
- Participate in contractor qualification review from initial intake to due process meeting.
- Provide legal guidance during criminal investigations.
- Initiate and monitor civil suits and forfeiture actions arising from SCA/OIG investigations.
- Supervise corporate monitors and investigative audit initiatives.

**DEPARTMENT OF INVESTIGATION, OFFICE OF THE INSPECTOR GENERAL
FOR THE DEPARTMENT OF ENVIRONMENTAL PROTECTION**

1988 - 1990

Deputy Inspector General

- Oversaw investigations conducted by the Environmental and Upstate Investigative Units.
- Responsible for managing staff caseloads, making case assignments and coordinating investigative actions.
- Provided supervision planning and training in all stages of investigations.
- Served as liaison with other City, State and Federal investigative agencies during joint operations.

**DEPARTMENT OF INVESTIGATION, OFFICE OF THE INSPECTOR GENERAL
FOR THE FIRE DEPARTMENT**

1986 - 1987

Deputy Inspector General/Director, Disciplinary Unit

- Managed staff of three investigating attorneys responsible for the preparation and prosecution of administrative disciplinary actions against uniformed and civilian employees of the Department.
- Supervised staff of ten confidential investigators conducting corruption and misconduct investigations.
- Provided guidance and counseling to the Fire Commissioner on matters pertaining to misconduct.
- Monitored the administration of the Department's drug screening program.

Senior Investigating Attorney

1984

- Carried a case load of approximately forty disciplinary cases.
- Responsible for all phases of case development from receipt of initial complaint to ultimate resolution.
- Immediate supervisor to two attorneys with similar responsibilities.
- Responsible for administering Department's drug screening program.

UNITED STATE DEPARTMENT OF JUSTICE, ORGANIZED CRIME STRIKE FORCE 1982 - 1983

Research Assistant

- Researched issues relating to prosecution under criminal and civil R.I.C.O. statutes.

NEW YORK CITY POLICE DEPARTMENT, LEGAL BUREAU

1982

Legal Intern

- Handled civil forfeiture proceedings from initial investigation to final judgment.
- Investigated and assessed Bruno v. McGuire civilian complaints.

BAR ADMISSION: New York State – April, 1984 (Second Department)

EDUCATION

New York Law School

J.D., 1983

- *Honors* – Awarded half-tuition academic scholarship; offered position on Journal of International and Comparative Law; Graduated Cum Laude

John Jay College of Criminal Justice

B.S., Criminal Justice, 1979

- *Academic Honors* – Graduated Magna Cum Laude

MONITORSHIP EXPERIENCE

Ground Zero Integrity Monitoring Engagement

As Project Manager, I directed the activities of a team of investigators, auditors, engineers, analysts and environmental experts to monitor the clean up and recovery effort in the Bovis quadrant at Ground Zero. Served as direct report to NYC Department of Investigations and as liaison with other local city, state, and federal agencies.

(Reference: John T. Conroy, Chief Investigator, Lower Manhattan Development Corporation, 1 Liberty Plaza, 20th Floor, New York, N.Y. 10006, Tel. # 212-587-9748)

MTA Integrity Compliance Monitoring Engagement

As the Project Manager, I designed strategy for and oversaw activities of Thacher Associates' on-site and behind-the-scenes team monitoring construction of the MTA's new \$750 million Fulton Street Transit Center and the \$400 million renovation of the South Ferry subway terminal in lower Manhattan. Report activities and findings to MTA's Chief Compliance Officer and others. Serve as liaison to Lower Manhattan Construction Command Center.

(Reference: Lamond Kearse, Office of Inspector General, Metropolitan Transportation Authority, 2 Broadway, 16th Floor, New York, N.Y. 10004, Tel. # 646-252-1330)

PAUL E. RYAN

330 West 42nd Street, New York, New York 10023

PRyan@ThacherAssociates.com

Admitted: New York State; U.S. District Courts, Southern and Eastern Districts of New York

THACHER ASSOCIATES, LLC, New York, NY

2011 - Present

Managing Director / Project Manager

- Supervise integrity monitorship projects; including all active MTA construction projects involving Skanska USA Civil Northeast, Inc.
- Design and implement integrity risk management programs.
- Design strategies to provide intelligence and investigative support for client projects.
- Direct research and investigative functions that provide analytical resources and information for business intelligence.
- Oversee investigations of waste, fraud, and abuse.

NEW YORK STATE OFFICE OF THE INSPECTOR GENERAL, New York, NY

2007 - 2011

Assistant Deputy Inspector General, March 2011 - July 2011

- Supervised attorneys, forensic accountants, auditors, and investigators in complex criminal investigations, including cases involving political officials, large corporations and not-for-profit organizations.
- Jointly investigated criminal activity with federal and state prosecutors.
- Reviewed intake of new cases to determine viability and assigned investigations accordingly.
- Liaised with the heads of state agencies, the governor's office and legislative officials.

Director, Contract and Construction Fraud Unit, June 2009 - March 2011

- Directed audits and reviews of not-for-profit organizations and contractors and vendors which receive funding from the state.
- Briefed the media and gave interviews on high-profile cases.
- Oversaw construction projects to ensure compliance including the enhanced regulations involved in the use of ARRA funds.
- Evaluated the policies and procedures of public benefit corporations and state agencies, ensured compliance and provide recommendations for improvements and reform.
- Reviewed bids, RFPs, community benefit agreements and contracts to ensure conformity with applicable policies, regulations and laws and evaluate for possible fraud.

Investigative Counsel, May 2007 - June 2009

- Led investigative teams of auditors, forensic accountants, investigators, and analysts.
- Investigated allegations of criminal activity and misconduct of state employees to determine if violations have occurred.
- Drafted public reports detailing findings and recommendations of reviews, including the following:
 - *Investigation of the Waterfront Commission of New York Harbor*
 - *Investigation of Improprieties in the Issuance of Crane Operators' Certifications by the New York State Department of Labor*
- Advised general counsels and directors of public benefit corporations and state agencies on possible violations and conflicts of ethical and criminal regulations and statutes.

Assistant District Attorney, Investigation Division

Labor Racketeering Unit / Construction Industry Strike Force, December 2005 - April 2007

- Led long-term investigations involving construction companies, labor unions in the construction trades, and organized crime figures.
- Investigated and prosecuted crimes including money laundering, tax offenses, conspiracy, and bribery.
- Employed investigative techniques such as covert recordings, search warrants, and the use of confidential informants.
- Analyzed records including SARs, CTRs, checks, corporate filings, construction contracts, and invoices to determine if violations have occurred.
- Completed trainings on legal topics including money laundering, tax crimes, financial crimes, search and seizure, identity theft, and wiretapping.

Assistant District Attorney, Trial Division

Trial Bureau 50, September 2001 - December 2005

- Conducted long-term investigations into money laundering, embezzlement, check-cashing rings, and check schemes through witness interviews, analysis of records, and defendant debriefings.
- Tried felony and misdemeanor cases, including an elaborate check-cashing scheme, robberies, kidnappings, assaults, burglaries, grand larcenies, narcotics sale, and weapons possession.
- Presented numerous cases to the grand jury and conducted pretrial hearings.
- Cross-examined defendants at both trial and grand jury stage.
- Conducted direct examination of prosecution expert witnesses in the fields of ballistics and crime scene analysis.
- Drafted search warrants based on interviews with confidential informants and members of the police department; handled subsequent prosecution and follow-up investigation.
- Drafted post-judgment motions on issues including collateral estoppel, repugnant verdicts, ineffective assistance of counsel, and allegations of Brady violations.

Identity Theft Unit, November 2004 - December 2005

- Selected to investigate and prosecute cases of identity theft including fraudulent loans, credit card manufacturing rings, fraudulent money transfers, and credit card theft.

Welfare Fraud Unit, January 2003 - January 2005

- Investigated and prosecuted fraud in need-based public assistance programs, focusing primarily on Welfare, Medicaid, and state and federal public housing programs.

EDUCATION

Benjamin N. Cardozo School of Law, New York, NY

J.D., June 2001

- *Cardozo Journal of International and Comparative Law*
 - *Managing Editor*, 2000 - 2001; *Editor*, 1999 - 2000
- **Prosecutor Practicum**, Fall 2000

Queens College, Flushing, NY

B.A., Political Science, June 1997

MENTORING

New York State Office of the Inspector General

- Oversee law school and college interns.

New York County District Attorney's Office Trial Advocacy Program; Spring 2006

- Mentored and trained new Assistant District Attorneys for their Trial Advocacy Program.

New York County District Attorney's Office Summer Intern Trial Program; Summers 2002 - 2006

- Taught Manhattan high school students the basics of trial advocacy, from opening statements to closing arguments, in preparation for the students to conduct a complete mock trial.

MONITORSHIP EXPERIENCE

Moynihan Station - Phase One

I have been the Project Manager of the Moynihan Station engagement from its inception in August 2012. The Moynihan Station project is a mass transit infrastructure project managed by the Moynihan Station Development Corporation. On this engagement, our mission is to monitor the integrity of the Project so as to prevent/ detect organized crime, labor racketeering, corruption, fraud, and failure to comply with regulatory and contractual requirements. We designed and implemented a project integrity compliance program. We examine the Project's construction and financial processes and perform forensic analyses of a sample of transactions. We also monitor environmental and safety issues and examine samples of relevant transactions. We perform these functions with a multi-disciplinary team consisting of investigators, auditors, engineers, environmental and safety specialists, and other specialists as determined by the need of the engagement. Our services are directed by the Port Authority Office of Inspector General.

As the Project Manager, I am responsible for directing the activities of the Thacher integrity monitoring team so as to meet contractual requirements and client priorities in accordance with work plans and budgets that I prepare. I am responsible for consulting with the client so as to identify and from time to time modify the mission/ objectives of the engagements, for designing strategies for attaining those missions and objectives, and for implementing those strategies with the team's resources. On a day to day basis, I am responsible for coordinating the activities of our team to maximize team efficiency.

(References: Robert E. Van Etten, Inspector General, PANYNJ, 5 Marine View Plaza, Suite 502, Hoboken, N.J. 07030, Tel # 973-565-4330; Steven A. Pasichow, Port Auth OIG, 5 Marine View Plaza, Hoboken, NJ 07030; tel. # (973) -565-4366)

CAROLYN RYNN

330 West 42nd Street, New York, New York 10036

Crynn@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY
Project Administrator

2007 - Present

- Work on various projects, including an audit investigation of the New Yankee Stadium Community Benefits Fund, a non-profit set up to benefit the needs of various communities living in The Bronx.
 - Analyzed fund documents extensively to track whether benefits/donations were being awarded to Fund regulations.
- Currently working on NYC Rapid Repairs Project working closely with the project manager and extensive analysis for daily reports and checklists created by Thacher investigators on site.
 - Set up and update extensive spreadsheets recording locations visited by the investigators
 - Track information for each location, i.e. work order numbers, issues between work being done and work being billed, names of subcontractors at each location and any other pertinent information the project manager requires.

STIER ANDERSON, LLC, (merged with Thacher Associates, 2007) Skillman, NJ
Administrator

1984 - 2007

- Worked closely with attorneys on individual projects, setting up databases, document control, document abstraction, search and analyzing documents, internet research, cite checking, proofreading, and finalizing printing of investigative reports.
- When required, set up of on-site office, hired and supervised additional support staff as individual cases required.
- Administrative responsibilities, i.e. reviewed monthly invoices, updated computer software and network administration

PROFESSIONAL CERTIFICATIONS

Paralegal Certificate

EDUCATION

Rutgers University, Newark, NJ

B.A., Environmental Science

MONITORSHIP EXPERIENCE

October 2001 – World Trade Center Disaster Recovery and Cleanup Project

Stier Anderson served as the integrity monitor for AMEC Construction Management, Inc. during the WTC cleanup project. For this project, I interviewed several paralegal candidates in order to staff an on-site office. After the interviews, I selected 3 of the candidates who then worked on the project for its entirety. Not only was I responsible for the staffing, I made arrangements to get office equipment, including computers, printers, furniture, etc. to the Ground Zero site in a timely manner. During the initial set-up phase of the project, I trained the paralegals in setting up databases, and supervised them until such time that they were under the direction of the attorneys and investigators.

(Reference: Steven A. Pasichow, Assistant Commissioner, Department of Investigations, City of New York, 80 Maiden Lane, New York, N.Y. 10038)

August 2005 – Deconstruction of the Deutsche Bank Building at Ground Zero

Stier Anderson was retained by the Lower Manhattan Development Corporation (LMDC) to act as their integrity monitor for the abatement and deconstruction of the Deutsche Bank Building, and to ensure that the contractor, Bovis Lend Lease, complied with procedures and regulations. During this project, I worked closely with the Project Manager and several investigators in analyzing a large volume of requisitions, invoices, orders, delivery tickets, etc. to compare signed delivery tickets with actual delivery logs and what was being invoiced as delivered. I set up spreadsheets and databases to track the information.

(Reference: John T. Conroy, Chief Investigator, Lower Manhattan Development Corporation, 1 Liberty Plaza, 20th Floor, New York, N.Y. 10006, Tel. # 212-587-9748)

November 2012 – Present: NYC Rapid Repairs Program Engagement

Thacher Associates, LLC is acting as integrity monitor for the NYC Rapid Repairs Program. I am working closely with the Project Manager as Project Administrator for the Staten Island and Broad Channel areas. In this position, I am reviewing and analyzing the daily Activity Reports and checklists generated by the Thacher investigators on site for each of the homes they visit to monitor the contractors and sub-contractors doing the repairs and to see if the scope of work is accurate and authorized. This analysis required creation of extensive spreadsheets, inputting the data generated in the daily Activity Reports, recording locations, names of subcontractors on site, possible issues, names of workers interviewed, etc. The spreadsheets were initially set up in order to help the on-site investigators keep track of various issues and locales that were visited, and give them the ability to enter the data themselves on a daily basis going forward. My duties also included downloading relevant documents into a database, Millennium, or Dropbox so the entire Thacher team on this project had access to relevant information.

(Reference: Marjorie Landa, General Counsel, Department of Investigations, City of New York, 80 Maiden Lane, 17th Floor, New York, N.Y. 10038, Tel. # 212-825-2403)

Education:

9/2006 - 1/2011

NYU Poly, B.S. Civil Engineering

Graduation date: January 2011

Experience:

4/2012 - 6/2012

Core Environmental, Maspeth, NY.

Civil Engineer

Involved in projects for the School Construction Authority, NYC Department of Parks and Recreation, NYC Transit and privately owned properties.

- Responsible for inspecting and bringing NYCT construction waste storage areas into compliance with safety regulations.
- Conducted Phase II Environmental Site Assessments.
- Conducted asbestos inspections taking proper measures.
- Reviewed and drafted reports for the Department of Parks and Recreation involving excavation and fill.
- Assisted in the supervision of work for the NYCT for de-leading and hot work operations including fall protection, PPE, protective barriers and other public safety measures throughout several locations in New York.
- Assisted in scheduling field workers in different locations for lead paint removal.
- Assisted in completion of timesheets along with access forms.

9/2011 - Present

Parsons Brinckerhoff, Manhattan, NY.

Associate Architect/Inspector (Contract)

Completed condition assessments of New York City public Schools throughout Queens for the School Construction Authority; responsibilities included:

- Attending weekly charge meetings to submit reports and retrieve abbreviated reports for the assets to be inspected the upcoming week.
- Conducting interviews with Custodial Staff and the Principal regarding school conditions and safety concerns.
- Completing walk-through of the building interior and all major spaces with a team of Engineers and Architects as well as with a member of the custodial staff to find deficiencies and unsafe conditions.
- Recording deficiencies for over 150 interior components, their locations, and their quantity.
- Conducting individual walk-through of the exterior of the building where additional deficiencies were recorded as well as possible safety breaches.
- Inputting deficiencies as well as pictures recorded throughout the day into a handheld computer tablet.
- Collaborating with the team of Engineers and Architects in completing data forms as well as violation sheets.
- Additional tasks included submitting priority condition reports to the School Construction Authority for unsafe conditions to

the students and staff, as well as inspecting Athletic Fields and Transportable Units.

5/2010 - 7/2010

Census Bureau, Queens, NY.

Enumerator

- Conducted interviews in various methods with individuals in order to gather government data.
- Participated in daily meetings with group leader to report updates on the progress made by the regional unit.

6/2008 - 8/2008

GRB Environmental, Manhattan, NY.

Intern

- Input data collected on the field by engineers to Microsoft Excel. Edited old files in Microsoft Excel with incorrect data and updated them to match the most recent data retrieved.
- Assisted engineers by completing site surveys to determine if asbestos and lead were present.
- Prepared activity reports and recorded observations to support site surveys in: Floyd Bennett Field, Fort Tilden and Riis Park.

6/2007 - 3/2008

The Lighting Design Group, Manhattan, NY.

Intern

- General office work such as filing and copying.
- Aided accounting office with organizing files from old projects.
- Assisted accounting office using Excel spreadsheets.
- Used Excel to complete payrolls.
- Assisted designers with drafting and editing AutoCAD drawings of light fixtures.

Certifications:

SSPC C-3 Supervisor / Competent Person Training for Lead Paint Removal, OSHA 40 Hour HAZWOPER Training, Asbestos Inspector, Certificate of Completion: AutoCAD 2008 Isometric 2D and 3D Drawings

Skills:

AutoCAD, Microsoft Excel, Microsoft Word, Microsoft PowerPoint, Microsoft Outlook, Adobe Reader, Technical Writing, Internet Research. Fluent in Albanian and English.

Strengths:

Ambitious, dependable, and organized.
Effective in cooperating with groups of people to achieve success.
Exceptional communication skills, excellent writing abilities, and a quick learner.

MITCHELL DARROW SILBER



WORK EXPERIENCE

K2 INTELLIGENCE, New York, NY.

Executive Managing Director, Intelligence and Analytic Solutions. June 2012-Present

Responsible for creation and development of K2 Analytics business practice area
Lead business development efforts for Analytics practice with law firms and financial institutions
Manage and supervise portfolio of Analytics client engagements for K2
Responsible for identifying, crafting and managing strategic alliances with new technology partners
Recruit, mentor and supervise and Analytics team personnel

NEW YORK CITY POLICE DEPARTMENT, New York, NY.

Director, Intelligence Analysis. November 2007 – June 2012

Responsible for build-out of Intelligence Analysis Unit and Cyber Intelligence Unit.
Supervise analysis of entire portfolio of ongoing investigations within the Intelligence Division.
Responsible for identification of intelligence gaps and operational strategy to address them.
Provide timely, accurate and actionable intelligence to the Deputy Commissioner, Intelligence.
Recruit, mentor, develop and train civilian analytic cadre

Special Assistant to the Assistant and Deputy Commissioners. February 2005 – November 2007

Responsible for strategic assessments of emerging and future threats to New York City.
Involved in internal planning, development and new unit creation for the Intelligence Division.
Co-author of NYPD report, "Radicalization in the West: The Homegrown Threat"
Initiated, developed and managed relations with foreign intelligence and law enforcement agencies.
Presented on behalf of NYPD at White House, NSC, CIA, FBI, DHS, MI-5.
Testified on behalf of NYPD before the Senate Homeland and Government Affairs Committee.

THE CARSON GROUP/THOMSON FINANCIAL, New York, NY.

Partner. January 1993 - February 2002

Created industry specific consulting service focused on corporate finance and biotechnology sector.
Advised senior management on financing strategies and provided capital markets intelligence.
Founded Evolution Capital as Carson Group subsidiary - boutique investment bank.
Principal at Evolution Capital; responsible for new investment banking business.
Sold Carson Group and Evolution Capital to Thomson Financial in September 2000.
Managed transition process following merger until 2002.

EDUCATION

COLUMBIA UNIVERSITY, New York, NY. January 2003 - December 2004

School of International and Public Affairs

Master of Arts in Middle East Studies and International Security Policy

UNIVERSITY OF PENNSYLVANIA, Philadelphia, PA.

Bachelor of Arts in European History and Economics, Dual Major, May 1992.

OTHER

AUTHOR: *The Al Qaeda Factor: Plots Against the West*, University of Pennsylvania Press (2012)

COUNCIL ON FOREIGN RELATIONS

Life Member

COLUMBIA UNIVERISTY, SCHOOL OF INTERNATIONAL AND PUBLIC AFFAIRS

Visiting Lecturer – Urban Modern Terrorism (course)

Member – Dean's Advisory Board

MEDIA RIGHTS CAPITAL

Member – Board of Directors

EDWIN H. STIER

330 West 42nd Street, New York, New York 10036

Ehstier@aol.com

Admitted: New Jersey; New Jersey Federal Court; United States Supreme Court

THACHER ASSOCIATES, LLC, New York, NY **2007 - Present**
Executive Managing Director

STIER ANDERSON, LLC, Skillman, NJ **2002 - 2007**
Senior Partner

STIER ANDERSON & MALONE, New Jersey **1984 - 1986**
Senior Partner

KIRSTEN FRIEDMAN & CHERIN, New Jersey **1982 - 1984**
Attorney

NEW JERSEY DIVISION OF CRIMINAL JUSTICE, New Jersey **1977 - 1982**

NEW JERSEY ATTORNEY GENERAL'S OFFICE, New Jersey **1969 - 1982**

NEW JERSEY US ATTORNEY'S OFFICE, New Jersey **1965 - 1969**
Assistant US Attorney, Chief, Criminal Division

EDUCATION

Rutgers Law School, Newark, NJ LL.B., June 1964

Rutgers University, New Jersey B.A., 1961

MONITORSHIP EXPERIENCE

1. E. W. Howell Co., Inc.

Agency: NYC School Construction Authority
Principal Client Contact: Toby Thacher (former SCA IG)
Address: Thacher Associates, LLC, 330 W. 42 St., NY 10036
(212) 845-7500
Period of Engagement: 1991 - 1995

This was the first construction integrity monitoring project ever undertaken. It was initiated by the Inspector General of the NY City School Construction Authority (SCA) in response to a criminal investigation targeting E. W. Howell Co., which at the time was engaged in the construction of 8 NY City schools. Stier's firm developed a comprehensive Corruption Prevention Policies and Procedures Manual, a Code of Ethics and a Certificate of Compliance procedure to be used by Howell. The Code of Ethics was adopted by the SCA as a model for monitored companies. During the monitorship, Stier's firm developed evidence of criminal violations in connection with minority "coalition" activities, labor payoffs, governmental corruption, prevailing wages and the MBE program.

2. Asbestos Abatement Program

Agency: NYC School Construction Authority
Principal Client Contact: Toby Thacher (former SCA IG)
Address: Thacher Associates, LLC, 330 W. 42 St., NY 10036
(212) 845-7500
Period of Engagement: 1993 -1994

In the summer of 1993, the SCA implemented a major emergency program to remove or abate asbestos in the City schools prior to the September school openings. Stier's firm was retained by the SCA IG to assist in designing and developing a monitoring program to assure compliance with specifications as well as laws and regulations related to OSHA, air pollution, and hazardous waste disposal. The firm then monitored contractor performance in the field.

3. Hercules Construction Corporation

Agency: NYC School Construction Authority
Principal Client Contact: Peter Pope (former SCA IG)
Address: 919 Third Avenue, New York, NY 10022
(212) 891-1605
Period of Engagement: 1995 - 1997

The SCA IG designate Stier's firm to monitor Hercules Construction which at the time was completing work on 6 schools and remediating unsatisfactory work on a seventh. During the monitorship, the Stier's firm uncovered questionable performance bonds; prevailing wage violations; installation of substandard construction materials; and illegal campaign contributions. The principal of Hercules Construction was ultimately prosecuted and convicted for certain of those violations. In addition, Stier's firm identified a subcontractor who had created false certifications that fire-retardant materials were being used (as the specifications required) when in fact the materials were flammable. The subcontractor was criminally convicted.

4. AMEC Construction Management, Inc.

Government Agency: NYC School Construction Authority
Principal Agency Contact: Barbara DiTata, Inspector General
Address: School Construction Authority
188 W. 230 St., Bronx, NY 10463
(718) 472-8000
Period of Engagement: 2001- 2004

In July, 2001, Stier's firm was designated by the SCA IG to audit and monitor AMEC's performance of a \$32 million contract involving 15 schools. The firm identified a number of contract and prevailing wage violations as well as other billing irregularities that resulted in refunds to NY City.

5. World Trade Center Recovery and Cleanup/AMEC Construction Management, Inc.

Agency: NYC Department of Investigation
Principal Agency Contact: Steven A. Pasichow, former DOI Ass't Commissioner
Address: presently Assistant Inspector General
Assistant Director of Investigations
The Port Authority of NY & NJ
5 Marine View Plaza - Suite 502
Hoboken, NJ 07030
(973) 565-4366
Period of Engagement: 2001 - 2003

In October 2001, Stier's firm was designated by the NY City Department of Investigation (DOI) as one of 4 firms responsible for monitoring the cleanup of the World Trade Center (WTC) disaster site. The contractor assigned to Stier's firm was AMEC Construction. During its engagement, the firm identified millions of dollars in overbilling by AMEC and its subcontractors. Among other concerns the firm identified were: links between subcontractors and organized crime; problems with labor supervision; and the absence of control over the bidding process for a portion of the demolition.

6. Lower Manhattan Development Corporation

Agency: Lower Manhattan Development Corporation
Principal Client Contact: John Conroy, Director of Investigations
September 11 Memorial Foundation
Address: 90 West Street
New York, NY 10006
(212) 238-4245
Period of Engagement: August 2005 – 2011

The firm was retained by the Lower Manhattan Development Corporation (LMDC) to monitor the demolition. From the outset, numerous problems arose including failures to comply with extremely rigorous environmental requirements that were imposed on the project, thefts of materials, integrity issues related to the demolition subcontractor retained by the CM firm and ultimately a fire in which 2 firemen lost their lives. Stier's firm reported its findings to the LMDC, supported the efforts by the LMDC's owner's representative to correct safety deficiencies and prevented numerous attempts to fraudulently exploit the project.

7. Yankee Stadium Construction

Agency: NY Yankees
Principal Client Contact: Randy Levine
Address: Yankee Stadium
Bronx, NY
(718) 293-4300
Period of Engagement: August 2007 – 2010

Stier's firm was retained by the NY Yankees organization to monitor the construction of their new stadium. That project was funded in large part through the issuance of government bonds. One of the firm's responsibilities was to perform extensive financial audits to assure that those funds were used for the purposes specified in the bond covenants. During the course of the monitorship, the firm identified a pattern of falsification of concrete test results by the independent testing laboratory responsible for assuring compliance with concrete specifications. Working closely with the office of the IG for the Port Authority of NY and NJ, Stier's firm supported a criminal investigation of that activity by the office of the Manhattan DA resulting in significant criminal convictions as well as reforms within the independent testing marketplace.

8. Croton Water Filtration Plant

Agency: New York City, DOI
Principal Client Contact: Michael Carroll, Assistant Commissioner, NYC DOI
Address: 80 Maiden Lane, New York, NY 10038
(212) 825-3338
Period of Engagement: March 2007 – present

The Croton Water Filtration Plant construction project is one of the largest public works projects ever undertaken by the City of NY. The Department of Environmental Protection (DEP) through the DOI retained Stier's firm to monitor the project. Working in close coordination with DOI and DEP, the firm has developed evidence of a number of criminal violations many of which are currently pending prosecution. Among them was a recent case involving the fraudulent sale of safety training certifications by a former government official.

In addition, the firm has worked with DOI and DEP to resolve serious concerns about safety conditions at the plant resulting in significant improvement in procedures and worker protection.

HAROLD JOHN TALLETT, CPP, CHS-III –

ACCOMPLISHED-MULTI-DISCIPLINED-INVESTIGATIVE-SECURITY SPECIALIST

Corporate Security Management, Consultation & Design, Investigations
Emergency Preparedness & Security Operations Management, Incident Command System,
Executive Protection & Technical Surveillance Countermeasures

Expertise:

- Leadership, Supervision, Personnel & Facilities Management. Investigations – Background, Pre-Employment, Due Diligence - Safety - Loss Prevention. Industrial Security, Security Consulting, Incident Management, Transportation & Port Security. Airport Screening & Security Procedures.
- Operations & Incident Command Management Training-Policy Promulgation & Compliance.
- Project Management, Multi-site / Multi-department / Multi-jurisdictional Collaborations-Physical Security/Access Control.
- Executive Protection - Liability Assessment / Risk Analysis, Threat & Vulnerability Assessments.
- Instruction - Weapons of Mass Destruction - CBRNE, Counter-terrorism, Kidnapping, Travel Advisory
- History of School Violence, Search & Seizure, Use of Force, Expert Marksman.

Systems:

- Access Control - Intrusion & Fire Alarm Security Systems - Physical Protection Systems.
- Life Safety Systems - System Vulnerability Assessment.
- Security System Integration - Intercom Identification - Electronic Visitor Badge Access & Management.
- RFID – Radio Frequency Identification - Systems & Applications.

Applications:

- Facilities - Public & Private, School Districts - Corporate & College Campus.
- Hi-tech Facilities - Multi-tenant Units - High-Rise Residential.

Credentials:

- Certified Protection Professional (CPP) / ASIS International.
- Board Certification in Security Management.
- Board Certification in Homeland Security - CHS Level III.
- State of New Jersey: Licensed Private Investigator – NJ PI Lic. # 7062
- State of New Jersey: S.O.R.A. Certified Instructor. Security Agency Lic. # 1228
- Certified Instructor / New Jersey Division of State Police.
- Licensed to Carry Firearms - Certified Firearms Instructor / New Jersey Division of State Police.
- SIDA – Security Instructor – Newark International Airport.

CAREER SYNOPSIS

STATELINE SECURITY AND INVESTIGATIONS, LLC, P.O. Box 1023, Alpha, NJ 08865-1023

2003 to Present

(Security Consultant, Training, Management & Investigations)

President / CEO & Senior Security Consultant

- Up to date and continuing education concerning state of the art security and systems.
- Airport Security, SIDA Training & Counter-Terrorism Instructor at Newark International Airport.
- Provide Expert Witness, Consultation and Investigative Services -Federal District Court proceedings.
- Surveillance, TSCM Sweeps, Due Diligence, Asset and Person location.
- Consulted with law firms and corporations relevant to investigations, and security issues.
- Conducted outsourced Background Investigations / Pre Employment for the NJ State Police.
- Conduct Loss Prevention Audits & Site Oversight East Coast Warehouse Port Newark / Elizabeth.

NEW JERSEY STATE POLICE – Lieutenant (Retired) 1973 to 2003

- **June 18, 2002-** Assigned to Troop D Headquarters, as a Staff Officer.
- **Sept. 13, 2001** - Assigned to Newark Airport Command Post Operations.
Branch Commander - Supervised 70 Troopers - *Post 9-11* - Security Operations.
- **July 28, 2001-** Assigned to Troop B Perryville Station as Station Commander.
- **May 17, 1999-** Graduated - Second in Class - West Point School Leadership & Command.
- **November 21, 1998** - Promoted to the rank of Lieutenant. Assigned to NJSP Marine Law Enforcement Port Security - Newark Bay Station as Station Commander.
- **January 3, 1998** - Assigned to Troop B Headquarters, Totowa, N. J., - Troop B Assistant Tactical Patrol Officer. Venue Operations Officer, Governor Whitman's Inauguration Security Detail.
- **August 18, 1997** - Assigned to Somerville Station as Assistant Station Commander.
- **December 22, 1995** - Promoted to the rank of SFC. (Sergeant First Class)
- **February 4, 1995** - Sergeant assigned as Temporary Acting Assistant Station Commander.
- **May 5, 1994** - Sergeant assigned to Troop B Tactical Patrol Unit - TPU-B-3. Assigned to the 1994 World Cup Games, Security for both the U.S.A. and Italian Soccer Teams.
- **March 5, 1994** - Sergeant- assigned as Temporary Acting Assistant Station Commander.
- **April 3, 1993** - Sergeant assigned as Squad Leader.
- **March 1, 1988** - Sergeant assigned to Troop B Tactical Patrol Unit - TPU B-1.
- **October 8, 1988** - Promoted to Sergeant. Assigned to Troop B Field Operations.
- **July 31, 1988** -Trooper I assigned to Troop B Field Operations as Squad Leader.
- **June 8, 1985** -Trooper I assigned as Assistant Squad Leader.
- **March 2, 1981** - Detective I assigned to Division Headquarters, Special Investigations Unit. High Profile and Confidential Background Investigations.
- **April 19, 1978** - Detached to CIS and NJSP Recruit Background Investigations.
- **April 13, 1975** - Received Meritorious Service Award.
- **April 19, 1973** – Graduated NJSP Academy – Sworn Member NJ State Police.

FOREIGN LANGUAGE SKILLS

German, Italian: Very basic understanding & communications ability.

COMPUTER TOOLKIT

PowerPoint, Excel, Windows NT / XP operating systems, and Palm handheld devices

EDUCATION

- John Jay College of Criminal Justice– Leadership for Corporate Security
- USMA-West Point School of Leadership & Command
- Seton Hall Univ. (Major - Education)
- Trenton State – Social Studies / Criminal Justice
- New Jersey State Police Academy - (Law Enforcement / Criminal Justice Courses)
- Upsala College. (Major -Psychology)

AWARDS

- April 13, 1975 - Received Meritorious Service Award.
- U.S. Secret Service - Certificate of Appreciation - Loyal and Dedicated Service.
- N.J. State Police - Certificate of Dedicated Service - 30 years.
- Superintendents Letters of Commendation (N.J. & Delaware)

MEMBERSHIPS

- OSAC - Overseas Security Advisory Council – US Department of State
- ASIS - American Society of Industrial Security International & West NJ Chapter
- IACP -International Association Chiefs of Police
- ACFEJ- American College of Forensic Examiners Institute.
- ICSC - International Cargo Security Council.
- ICTO-International Counter-Terrorism Officers Assoc.

THOMAS D. THACHER II

330 West 42nd Street, New York, New York 10036

Toby@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY

1996 - Present

President/CEO

- Founder and CEO of investigative and integrity risk management firm specializing in investigations, audits, due diligence and loss prevention with concentration in construction and real estate industries.
- Provide monitoring and oversight programs directly to government agencies or private sector contractors and assist government agencies in the management of Independent Private Sector Inspector General (“IPSIG”) programs.

NEW YORK CITY SCHOOL CONSTRUCTION AUTHORITY, Bronx, NY

1990 - 1996

Vice President and Inspector General

- Founder and chief executive of fifty person inspector general office that vetted the integrity of all contractors, consultants and vendors seeking to participate in a multi-billion dollar capital program, performed management reviews, conducted investigations and audits to support criminal, civil and administration proceedings, and designed loss prevention programs and strategies.

NEW YORK STATE CONSTRUCTION INDUSTRY STRIKE FORCE, NY

1985 - 1990

Executive Director

- Directed investigations and prosecutions of racketeering and corruption in NYC’s construction industry.
- Supervised task force comprised of up to 100 persons on staff or detailed from federal, state and local law enforcement offices.

NEW YORK STATE ORGANIZED CRIME TASK FORCE, West Trenton, NJ

1984 - 1990

Deputy Assistant Attorney General (1984-1990)

Executive Director, Construction Industry Project (1985-1990)

- Coordinated operations of Construction Industry Strike Force (see above) with New York State Organized Crime Task Force.
- Coordinated research and co-authored report to Governor on Corruption and Racketeering in the New York City Construction Industry (N.Y.U. Press 1990)

SIFF AND NEWMAN, PC

1980 – 1984

Associate

NEW YORK COUNTY DISTRICT ATTORNEY’S OFFICE

1976 - 1980

Assistant District Attorney

EDUCATION

Fordham University School of Law, New York, NY

Juris Doctor, 1974

Hamilton College, Clinton, NY

B.A., 1969

MONITORSHIP EXPERIENCE

As President and Chief Executive Officer, Mr. Thacher has shared principal responsibility (with the Firm’s co-founder Joseph DeLuca) for executive management of all of the Firm’s key integrity monitorships, including the Ground Zero, MTA Transit Projects and MWDBE Compliance programs, Yankees, Scalamandre, and the NYC Rapid Repairs Program monitorships. In this capacity, he has played a key role in the development and

refinement of the integrity risk management monitoring plans, and in the management teams that have overseen the implementation of those plans.

References:

Available upon request.

EUGENIO TORRIENTE

330 West 42nd Street, New York, New York 10036

Eugenio@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY

2007 - Present

Senior Intelligence Officer/Investigator

- Investigate fraud and other forms of misconduct for corporate and governmental clients.
- Member of multi-disciplinary team serving as Integrity Monitor of the construction of the World Trade Center Transportation Hub Project.
- Monitor and conduct investigations regarding WTC Transportation Hub Project, in coordination with the Port Authority of New York and New Jersey Office of the Inspector General.

OFFICE OF THE ATTORNEY GENERAL, Albany, NY

2003 - 2007

Special Investigator – Organized Crime Task Force

- Conducted high level investigations involving traditional organized crime in New York State.
- Obtained and executed search warrants, testified before Federal and State Grand Juries, ran cooperating witnesses, and performed electronic and physical surveillance.
- Partnered with other law enforcement agencies, including the U.S. Department of Labor's Labor Racketeering Unit, the New York City Police Department, the Federal Bureau of Investigation, and the Waterfront Commission of New York and New Jersey

NEW YORK CITY POLICE DEPARTMENT, New York, NY

1983 - 2003

Drug Enforcement Administration (DEA) – NY Drug Enforcement Task Force “REDRUM” unit – Detective (1990 – 2003)

- Member of an elite unit comprised of hand selected personnel for their investigative talents and abilities to pursue and successfully culminate long-term complex narcotics investigations.
- Initiated and investigated cases that ended in the apprehension and conviction of high-level international drug traffickers and drug related violence.
- Initiated court authorized searches, eavesdropping and arrest warrants, and conducted prolonged criminal surveillance and wiretaps.
- Wrote highly detailed technical reports of investigation.
- Undercover officer in major international drug investigations.
- Maintained an outstanding relationship with prosecutors in both State and Federal court systems.
- Liaison to various law enforcement agencies worldwide.

Dignitary Protection/Special Operations Group-Intelligence Division (1998 – 2003)

- Member of a special operations group, which provided security to high-profile dignitaries visiting New York City.
- Investigated threats and provided threat assessments.
- Assisted U.S. Secret Service and Naval intelligence with dignitary protection.

Queens Narcotics Major Case Unit (1988 – 1990)

- Responsible for the dismantling of numerous multi-million dollar drug operations
- Investigated and arrested mid- to high-level drug dealers.
- Conducted undercover assignments, field investigations and interviews of informants, suspects and witnesses.

Organized Crime Control Bureau – Narcotics Division (1986 – 1988)

- Conducted undercover and plain clothes operations.

Uniformed Patrol Officer (1983 – 1986)

- Conducted patrol duties.
- Assignment to Community Policing unit.

ACHIEVEMENTS/AWARDS

Recipient of The Drug Enforcement Administration Administrator's Award for Outstanding Group Achievement, Recipient of The U.S. Department of Justice Award for Public Service, The NYPD Organize Crime Control Bureau Certificate of Excellence (1996), International Narcotic Enforcement Officers Association - New York Drug Enforcement Task Force Award, Recipient of U.S. Attorney's Office Certification of Appreciation, Recipient of 10 New York City Police Department Medals for Commendations and Heroic Service, NYPD Certificate of Recognition for Exception attendance - Fifteen Year Award

EDUCATION

Fordham University, New York, NY 1981

John Jay College, New York, NY 1982

MOST RECENT INTEGRITY MONITORING ENGAGEMENTS

My three most recent integrity monitoring engagements are: The WTC Transportation Hub Project monitoring engagement (October 2007 to present), the MDG Design & Construction, LLC monitoring engagement (April 2011 to present), and the Local 1199 SEIU monitoring engagement (December 2007 to present). All are Thacher Associates engagements. My role on these engagements is in the capacity of Senior Intelligence Officer. I report directly to the Project Manager of each respective monitoring engagement. As Senior Intelligence Officer on the WTC Transportation Hub engagement, I am responsible for conducting daily visits on-site, conducting interviews and surveying different construction skill working, collecting intelligence to target prevailing wage, M/WBE and job progress issues and authoring daily activity reports. On the MDG Design & Construction LLC monitoring engagement, I am responsible for aiding in the implementing an integrity program, conducting spot checks of the construction site and reporting all findings to the Project Manager. On the Local 1199 SEIU monitoring engagement, I am responsible for conducting numerous internal investigations and conducting interviews.

Matt Unger

CHIEF DIGITAL OFFICER, K2 INTELLIGENCE (CURRENT)

Chief Digital officer for investigative, due diligence and risk management consultancy. Duties include: Oversee technology strategy and direction; apply emerging technologies in data analytics, data acquisition, and data management to increase efficiencies in case work and internal workflows; participate in management of technically-demanding cases; assess and manage relationships with third party technology partners; create product road map for internally-developed software; oversee design, product development and implementation of original software development and modifications to third-party software; oversee design and implementation of all public-facing software including K2's public Web site.

VICE PRESIDENT, PRODUCT MANAGEMENT, GERSON LEHRMAN GROUP (2007-2010)

Product strategist and product management lead for business-to-business expert network. Duties include: Supervision of product discovery, user experience, search engine optimization, and implementation of new Web applications for Gerson Lehrman Group's public Web site; supervision of expert-facing Web applications including user-generated content publishing, messaging, mobile, payment processing and community participation workflows; leadership of overall effort to overhaul, upgrade and streamline GLG's discovery, design, and implementation practices.

DIRECTOR, PRODUCT DEVELOPMENT, TIME INC INTERACTIVE (2004-2007)

Product and content strategist for digital publishing division of Time Inc. Duties included: Developing product strategies and supervising the implementation of Web applications for Time Inc.'s major titles including People, Time, Entertainment Weekly, Real Simple, Parenting, AOL Food and AOL Home; creating policies and standards for site search, metadata management, RSS, search engine optimization, user-generated content integration and audio/video integration across multiple Time Inc titles; evaluating vendors and managing third-party relationships; functioning as liaison between editorial, marketing and technical groups.

EXECUTIVE PRODUCER, ZAGAT SURVEY (2000-2004)

Product manager for leading publisher of restaurant and lifestyle guides. Duties included: Supervising development and maintenance of Web site; user interface and user experience design for Web, PDA and phone applications; managing relationships with application service providers; development of online marketing materials including newsletters, banner ads, and on-site promotions; designing production systems and maintenance tools.

VICE PRESIDENT, PROGRAMMING AND PRODUCTION, DREAMLIFE INC. (1999-2000)

Duties included: Product and content strategy for continuing education startup.

MANAGING EDITOR, CONDÉNET (1997-1999)

Duties included: Product management for PHYS, a health and fitness Web site; interface development; copy writing.

SENIOR PRODUCER, IVILLAGE (1996-1997)

Duties included: Product management for iVillage's health and fitness channel; content management system development; editorial supervision of writing staff; copy writing.

WRITER AND PRODUCER, NEWS CORPORATION (1995-1996)

Duties included copywriting and creative supervision of Newscorp Internet Ventures iGuide games channel.

References

Available upon request.

RICHARD F. VERMEULEN, CPA, CFE, Cr.FA

330 West 42nd Street, New York, New York 10036

RVermeulen@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY

2010 - Present

Director – Forensic Auditing

- Responsible for management and oversight of forensic audit department including: hiring and development of staff, department budgeting and forecasting, development of work plans, coordination of engagements, final approval of work product, interfacing with clients and practice development.
- Services include fiscal and integrity monitoring, litigation support, forensic accounting and investigative auditing for a wide range of public and private clients.

J.H. COHN, LLP, Eatontown, NJ

2005 - 2010

Senior Manager

- Responsible for managing the accounting and auditing (A&A) department as well as the forensic accounting/audit department.
- A&A responsibilities consisted of oversight and approval of client financial statements prepared in accordance with current accounting standards; including Generally Accepted Accounting Principles (GAAP), Generally Accepted Accounting Standards (GAAS), Statement on Auditing Standards (SAS), and Statements on Standards for Accounting and Review Services (SSARS).
- Forensic accounting/auditing responsibilities included corporate governance, corporate investigations, SAS 99 compliance, internal control reviews, integrity monitoring and litigation support.

CALLAHAN & COMPANY, PC (MERGED WITH J.H. COHN, 2005), Red Bank, NJ

2001 - 2005

Forensic Accounting Manager

- Manager of firm's forensic accounting and litigation support department.
- Heavily involved in internal control reviews and SAS 99 compliance for clients of the firm.
- Involved in corporate fraud investigations, litigation support, surety claims consulting and contractual dispute resolution.
- Oversaw and monitored over \$250 million of construction contracts for the New York City Department of Design and Construction as well as the NY Department of Investigation on the World Trade Center cleanup and recovery project. Proposed savings of approximately \$25 million to the city on the project.

GELLER & COMPANY, PC, New York, NY

2000 - 2001

Accounting Manager – Investment Partnership Practice

- Co-managed day-to-day operations related to accounting for venture capital, buy-out, and real estate investment partnerships.
- Worked with general partners, fund managers, and legal counsel regarding all aspects of fund set-up, operations and liquidation.
- Performed final review of client deliverable; including financial statements, partner statements and tax returns.

MCGUIGAN & COMPANY, PC, CPA's, Wall, NJ

1996 - 2000

Accounting Supervisor

- Performed and supervised audits, reviews, and compilations of financial statements for diversified client base.
- Performed and reviewed a full range of tax compliance functions including federal and multi-state individual, partnership, corporation, fiduciary and payroll tax filings.

MERILLY LYNCH, Princeton, NJ

1993 - 1996

Senior Mutual Fund Accountant/Pricing Specialist

- Performed all aspects of accounting and security pricing related to multi-million dollar mutual funds.
- Provided financial data to portfolio managers making critical investment decisions.
- Coordinated audit process with external auditors, and prepared daily management reports.
- Trained new staff and reviewed work of subordinates.

SPEAKING ENGAGEMENTS

Presented on various accounting and auditing topics for the School Construction Authority of New York, the New Jersey Schools Development Authority, DASNY, the Bar Association of New Jersey, the Surety Association of New Jersey, the New Jersey Society of CPA's and various construction industry associations.

EDUCATION

Monmouth University, West Long Branch, NJ

B.S., Accounting, 1993

PROFESSIONAL MEMBERSHIPS/CERTIFICATIONS

Certified Public Accountant (CPA), Certified Fraud Examiner (CFE), Certified Forensic Accountant (Cr.FA), Member of the American Institute of Certified Public Accountants, Past President and current Chairperson of the New Jersey Society of Certified Public Accountants, Monmouth/Ocean Chapter, Past President of the Surety Underwriters Association of New Jersey, Member of the Litigation Support Services Committee of the New Jersey Society of Certified Public Accountants

MONITORSHIP EXPERIENCE

WTC Cleanup and Recovery (November 2001 - 2004)
Deutsche Bank Demolition – LMDC (2008 – May 2011)
National September 11 Memorial (April 2010 – Present)
United Nations (April 2010 – Present)
Croton Water Treatment Plant (April 2010 – Present)
Madison Square Garden (March 2011 – August 2011)
Moynihan Station (August 2012 – Present)
MTA East Side Access (September 2012 – Present)
NYC Rapid Repairs (November 2012 – Present)

As Director of Forensic Auditing on these monitoring engagements, I am responsible for designing and implementing corruption prevention programs which address the specific integrity risks identified on each project, reviewing and assessing the adequacy of both corruption controls to assure that all transactions are conducted and documented in such a way as to be both transparent and auditable and depending on the risk identified, the monitorship programs may include contractual or regulatory compliance reviews and audit procedures designed to analyze and “test” specific transactions.

References:

(WTC Cleanup and Recovery): Goodwin Benjamin, Department of Investigation, City of New York, 80 Maiden Lane, 18th Floor, New York, N.Y. 10038

(Deutsche Bank Demolition): John T. Conroy, Chief Investigator, Lower Manhattan Development Corporation, 1 Liberty Plaza, 20th Floor, New York, N.Y. 10006, Tel. # 212-587-9748

(National September 11 Memorial): Robert E. Van Etten, Inspector General, PANYNJ, 5 Marine View Plaza, Suite 502, Hoboken, N.J. 07030, Tel # 973-565-4330; Steven A. Pasichow, Port Auth OIG, 5 Marine View Plaza, Hoboken, NJ 07030; tel. # (973) -565-4366

(United Nations): Vivian Van de Perre, Chief – Administration & Communications Capital Master Plan, United Nations, UN Secretariat, 1st Avenue and 42nd Street, New York, N.Y. 10017, Tel. # 212-963-1546

(Croton): Melissa Ballard, Department of Investigations, City of New York, 80 Maiden Lane, 17th Floor, New York, N.Y. 10038, Tel. # 212-825-5900

(Madison Square Garden): Gene Heaney, Senior Vice President, Madison Square Garden, 2 Penn Plaza, 14th Floor, New York, N.Y. 10016, Tel. # 212-465-6724

(Moynihan Station): Mehul J. Patel, Vice President, Development, Moynihan Station Development Corporation, 633 Third Avenue, 36th Floor, New York, N.Y. 10017, Tel. # 917-584-2913

(MTA East Side Access): William Goldstein, Executive Vice President, MTA Capital Program, 2 Broadway, New York, N.Y. 10004, Tel. # 646-252-3467

(NYC Rapid Repairs): Marjorie Landa, General Counsel, Department of Investigations, City of New York, 80 Maiden Lane, 17th Floor, New York, N.Y. 10038, Tel. # 212-825-2403

L&L Painting Engagement (April 2010 – Present)

The LaQuila Group Engagement (April 2010 – Present)

Waldorf Demolition (June 2011 – Present)

MDG (May 2011 – Present)

On these engagements, I am responsible for assessing the business operations and design and implementation of a corporate compliance/business management and ethics program, working with the companies to improve internal controls and standardize recordkeeping practices, primarily in the areas of payments to workers and subcontractors and perform regular office visits to conduct reviews for compliance with prevailing wage requirements, as well as compliance with other requirements of the monitorship agreement.

References:

(L&L Painting): Allen J. Ross, Duane Morris LLP, 1540 Broadway, 14th Floor, New York, N.Y. 10036, Tel. # 212-692-1021

(The LaQuila Group): Angelo Sisca, Vice President – Operations, LaQuila Group, 1590 Troy Avenue, Brooklyn, N.Y. 11234, Tel. # 718-252-0126

(Waldorf Demolition): Mike Marrone, Waldorf Demolition, 50 East Palisade Avenue, Englewood, N.J. 07631, Tel. # 201-541-0030

(MDG): Christopher Ferguson, Associate, Kostelanetz & Fink, LLP, Seven World Trade Center, 250 Greenwich Street, 34th Floor, New York, N.Y. 10007, Tel. # 212-840-5746

Schiavone MWDBE (October 2010 – Present)
Skanska MWDBE (February 2012 – February 2013)
Dragados MWDBE (September 2012 – Present)
Judlau MWDBE (September 2012 – Present)

On these engagements, I am responsible for reviewing and assessing the CM's implementation of and compliance with their respective MWDBE compliance programs.

References:

(Schiavone & Dragados): Lorraine D'Angelo, Esq., CCEP, Sr. Vice President – Ethics & Compliance, Dragados USA, 500 Fifth Avenue, 38th Floor, New York, N.Y. 10110, Tel. # 212-779-0900 x 131

(Skanska): Martin Flumenbaum, Partner, Paul Weiss Rifkind Wharton & Garrison LLC, 1285 Avenue of the Americas, New York, N.Y. 10019, Tel. # 212-373-3191

(Judlau): Frank T. Cara, Esq., EVP & General Counsel, The Judlau Companies, 26-15 Ulmer Street, College Point, N.Y. 11354, Tel. # 718-554-2309

THACHER ASSOCIATES, LLC/K2 INTELLIGENCE, New York, NY

2011 - Present

Director

- Manage an Integrity Monitorship on behalf of the NYC Department of Investigation in connection with the NYC Rapid Repairs Program; report directly to the Assistant Commissioner of Investigation on the integrity risk management of residential construction operations of 10 primary contractors performing emergency repairs for 12,000 program applicants; financial analyses and investigative procedures are being performed on the results and invoices, totaling more than \$200 million of the program manager, prime contractors and subcontractors.
- Engaged as forensic accounting expert by counsel to the trustee in highly publicized bankruptcy case of a wealth management fund conducting a massive Ponzi scheme; analyzed hundreds of thousands of financial transactions and communication records to formulate litigation strategies for bankruptcy lawsuits filed on behalf of the thousands of investors that were defrauded of billions of dollars.
- Conducted investigation of venture capital fund on behalf of international investor group with losses in excess of \$50 million during a 3-year period; interviewed key members of management and secured accounting records used to perform various analytic procedures; executed a forensic review of the books and issued a series of reports detailing the fund's mismanagement of investments.
- Retained by private equity fund to complete comprehensive review of various investments in publicly traded international real estate developers; examined financial statements, capital structure, percentage of completion reports, project appraisals, joint venture agreements and public filings to verify the completeness and accuracy of financial reporting.

NAVIGANT CONSULTING, New York, NY

2009 - 2011

Associate Director

- Engaged as forensic accounting expert by counsel to the trustee in highly publicized bankruptcy case of multiple loan entities operating elaborate Ponzi scheme involving corporate and individual investors; testified in numerous adversary proceedings against creditors with purported insider knowledge and relationships with the perpetrator of the scheme; Project Manager that conducted the examination and deconstruction of the accounting system and financial records; assumed primary responsibility for the discovery and production of documentary evidence related to commingling of assets, ultimate disposition of payments, embezzlement of funds, investor clawbacks and fraudulent financial reporting.
- Performed an investigation of executive management and control systems of a nonprofit international health organization's Kenya-based center of operations; to substantiate whistleblower allegations, executed on-site document seizure, staff interrogations, computer-based forensic imaging and detailed analyses of financial records; investigative services resulted in the termination and resignation of members of upper management, as well as the quantification of numerous instances of executive misconduct, collusive third-party relationships and breaches of international corporate guidelines.
- Approved by the Securities and Exchange Commission's Division of Enforcement to evaluate specified internal accounting controls over financial reporting, as well as the record-keeping policies and procedures of parent company and operating subsidiaries of world's largest manufacturer of recreation vehicles; to finalize terms of settlement agreement, issued report concerning segregation of duties, inventory management and oversight that provided reasonable assurance of compliance.

- Retained by counsel to complete an independent investigation of the executive director and operational systems review of a private foundation controlling of one of the most valuable single artist photography collections in the world; performed a comprehensive review of the foundation's operations, database management, and inventory tracking systems; conducted management interviews, examined historical sales records and supporting documentation of all authorized consignment/sales agents and completed an extensive East and West Coast physical inventory and reconciliation.
- Managed an integrity monitorship in connection with a multi-year contract for pupil transportation on behalf of the New York City Department of Education; the monitorship team was delegated the task of designing and implementing a corruption prevention program; the team was responsible for reporting directly to the Special Commissioner of Investigation on the identification of any material weaknesses or significant deficiencies in internal controls; ongoing evaluations were performed in the interests of orchestrating modifications to the company's practices, organizational structure and accounting systems to rectify and/or eliminate any existing integrity hazards and enhance financial accountability.

NEW LINE CINEMA, New York, NY

2004 - 2008

Manager, Participations and Contract Accounting

- Supervised execution, from inception through settlement, of multiple participant financial statement and labor union audits; audits included the financial statements issued, contractual compliance and adherence to organizational reporting standards; involved with senior management of the world's most successfully integrated independent film studio, a Time Warner Inc. subsidiary, in the planning and implementation of revised departmental and corporate controls, as well as third party audit policies and procedures.
- Examined project-specific general ledgers and prepared individual and corporate profit participation financial statements.

MATSON, DRISCOLL & DAMICO, LLP, New York, NY

2002 - 2004

Senior Forensic Accountant

- Analyzed insurance and litigation claims regarding property damage, misappropriation of assets, extra expense, and loss of earnings; conducted detailed entity appraisals in determination of business interruption values during suspensions of activities; supervised comprehensive compliance audits and monitoring of insurance claims within various real estate development and restoration projects, including Florida Hurricane Relief and World Trade Center Disaster Recovery.

TANTON & COMPANY, LLC, New York, NY

2001 - 2002

Staff Accountant

- Prepared individual, corporate, partnership, payroll, sales and use, and commercial rent tax returns.

MCGLADREY & PULLEN, LLC, New York, NY

2000 - 2001

- Performed certified audits, reviews and compilations of mid-size entities.

CERTIFICATIONS AND RECOGNITIONS

Certified Public Accountant, CPA (NY); Certified Financial Forensics, CFF; Certified Internal Auditor, CIA; Certified Fraud Examiner, CFE

EDUCATION

Hofstra University, New York, NY

B.A., Business Administration, 1999

MONITORSHIP EXPERIENCE

The New York City Rapid Repairs Project (December 2012 to present), the Shaw Bus Inc. monitoring engagement (May 2011 to November 2011), and the Hurricane Charley Relief monitoring engagement (2004). The Rapid Repairs Program is a Thacher engagement, Shaw Bus Inc. was a Navigant Consulting engagement and Hurricane Relief was a Matson, Driscoll & Damico engagement. My role on these engagements has been the capacity of an auditor. As a Rapid Repairs Program auditor, I am responsible for detailing evidence of fraud, corruption, defective pricing or waste in design, execution or management through detailed review of procurements, schedule, budget, invoicing, unit pricing documents and other related project information.

Reference:

(NYC Rapid Repairs) - Marjorie Landa, General Counsel, Department of Investigations, City of New York, 80 Maiden Lane, 17th Floor, New York, N.Y. 10038, Tel. # 212-825-2403

SHIRLEY WU

330 West 42nd Street, New York, New York 10036

SWu@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY

2009 - Present

Forensic Engineer

- Perform construction integrity monitoring services for major New York City construction projects.
- Monitor construction, perform inspections, review procurement processes and change orders for compliance to established controls, perform quality assurance and quality control reviews.

MASSEY KNAKAL REAL ESTATE SERVICES, New York, NY

Summer 2007

Intern

- Identify and target new commercial real estate market opportunities in Brooklyn, NY.
- Continually increase visibility of company by developing mail campaigns.

DNS COMPANY, Oakland, CA

2005 - 2007

Intern

- Attained work permits and approvals at the Department of Buildings in Oakland for commercial, residential buildings, and renovations.

THOMAS MEANS DESIGN AND CONSTRUCTION, Alameda, CA

2002 - 2005

Intern

- Participated in design and construction of million dollar renovation projects.
- Led team of four people for research and recommendation of green building materials and supplies.

EDUCATION

The Cooper Union-Albert Nerken School of Engineering, New York, NY B.S., Civil Eng., 2008

The Cooper Union-Irwin S. Chanin School of Architecture, New York, NY 2003 - 2004

PROFESSIONAL MEMBERSHIPS/CERTIFICATIONS

October 2008 LEED® Accredited Professional, July 2010 New York State Licensed Real Estate Agent, March 2011 Association of Certified Fraud Examiners (ACFE), 4-Hour Supported Scaffold User, OSHA 10-Hour Certification, Asbestos Allied Trades-Restricted Handler Training, Respiratory FIT Tested

MOST RECENT INTEGRITY MONITORING ENGAGEMENTS

My three most recent integrity monitoring engagements are: The United Nations Capital Master Plan monitoring engagement (April 2009 to present), the Columbia University Manhattanville Project monitoring engagement (March 2009 to present), and the MDG Design & Construction LLC monitoring engagement (April 2011 to present). All are Thacher Associates engagements. My role on these engagements is in the capacity of Project Engineer. I report directly to the Director of Forensic Engineering and the Project Manager of each respective monitoring engagement. As Project Engineer on the United Nations Capital Master Plan project, I am responsible for monitoring construction, performing inspections, reviewing procurement processes and change orders for compliance to established controls, performing quality assurance and quality control reviews, and independently verifying accuracy of safety documents, licenses and certificates. On the Columbia University Manhattanville Project, I am responsible for monitoring the demolition of seven multi-story buildings,

performing inspections, reviewing and identifying falsifications, misrepresentations, inaccuracies or failures to comply with federal, state and local safety and environmental requirements. On the MDG Design and Construction Project, I am responsible for working alongside the project investigator to implement and spot check adherence to integrity compliance program developed by Thacher Associates, LLC.

INSONG YUN, MBA, CFE

330 West 42nd Street, New York, New York 10036

lyun@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY
Forensic Auditor

2012 - Present

- Conduct investigation to prevent and detect fraud in wages, billing requisitions, contract procurement, financial statements and tax filings.
- Analyze certified payroll reports, union benefit records, timesheets, payroll and financial documents to ensure proper compliance with prevailing wage guidelines.
- Assess effectiveness of internal controls in mitigating integrity risks.
- Perform review of M/W/DBE firms to verify legitimacy and compliance with applicable laws and guidelines.
- Review and test General Contractors' M/W/DBE compliance programs.
- Conduct interviews of management personnel during audits and investigations.
- Prepare executive summaries and client reports of findings and recommendations.

CITCO FUND SERVICES, Jersey City, NJ
Senior Accountant

2008 - 2012

- Administered SOC 1 tests of controls and process audits on complex hedge fund operations and investments.
- Presented audit findings to senior management.
- Conducted complex interviews in accordance with internal audit objectives.
- Reconciled daily cash and intercompany AR and AP accounts.
- Calculated billions in hedge fund assets, allocations and book to tax income.
- Taught training classes on audit procedures and tax implications of financial derivatives.

BROOKLYN DA OFFICE, Brooklyn, NY
Legal Researcher

2001 - 2003

- Collaborated on cases, including innovative research on prosecution of non-verbal gang communication.
- Organized Rackets Division case load for Assistant Executive DA.

US ARMY RESERVE, Fort Totten, NY
Intelligence Analyst

2011 - Present

- Perform mock assessments and analyses on the effects of intelligence operations.
- Train subordinates on marksmanship, maneuvering, equipment maintenance, and other war fighting skills.
- Audited document handling procedures on Fort Totten and Fort Hamilton for breaches of sensitive information.

US ARMY, Camp Casey, South Korea
Artillery Fire Director

2004 - 2007

- Personally entrusted by Battalion Sergeant Major to audit mail chain for weak points and restore mail operations after incidents of theft.
- Led and trained 12 personnel in executing rapid, precision computerized rocket artillery missions.

PROFESSIONAL CERTIFICATIONS

Certified Fraud Examiner; Honor Graduate – US Army Field Artillery School; Army Commendation / Army Achievement Medals

EDUCATION

Baruch College, New York, NY

MBA, Accounting, 2009

SUNY Stony Brook, Stony Brook, NY

BA, Economics, 2000

COMPUTER SKILLS

MS Excel macros, formulas, functions, pivot tables; MS Word; TeamMate; CODA accounting software

MONITORSHIP EXPERIENCE

Schiavone - July 2012 - ongoing

The engagement entails M/W/DBE program compliance including GC payment to subcontractors, certification of subcontractors, subcontractor performance evaluations and verification of commercially useful function, and timely completion of Forms E, Forms 15A.3

(Reference: Lorraine D'Angelo, Esq., CCEP, Sr. Vice President – Ethics & Compliance, Dragados USA, 500 Fifth Avenue, 38th Floor, New York, N.Y. 10110, Tel. # 212-779-0900 x 131)

Skanska - July 2012 - March 2013

The engagement entails M/W/DBE program, prevailing wage compliance, and financial review. M/W/DBE review includes GC payment to subcontractors, certification of subcontractors, subcontractor performance evaluations and verification of commercially useful function, and timely completion of Forms E, Forms 15A.3. Prevailing wage review includes proper payment of wage and benefits according to project guidelines. Financial review consists of verifying the integrity of invoices and requisitions.

I was involved in the discovery of many cases of irregularities.

(Reference: Martin Flumenbaum, Partner, Paul Weiss Rifkind Wharton & Garrison LLC, 1285 Avenue of the Americas, New York, N.Y. 10019, Tel. # 212-373-3191)

Judlau December 2012 - ongoing

The engagement entails M/W/DBE program compliance including GC payment to subcontractors, certification of subcontractors, subcontractor performance evaluations and verification of commercially useful function, and timely completion of Forms E, Forms 15A.3

(Reference: Frank T. Cara, Esq., EVP & General Counsel, The Judlau Companies, 26-15 Ulmer Street, College Point, N.Y. 11354, Tel. # 718-554-2309)

East Side Access December 2012 - ongoing

The engagement consists of verifying the integrity of invoices and requisitions.

(Reference: William Goldstein, Executive Vice President, MTA Capital Program, 2 Broadway, New York, N.Y. 10004, Tel. # 646-252-3467)

Rapid Repairs March 2013 - ongoing

The engagement consists of verifying the integrity of invoices and requisitions.

(Reference: Marjorie Landa, General Counsel, Department of Investigations, City of New York, 80 Maiden Lane, 17th Floor, New York, N.Y. 10038, Tel. # 212-825-2403)

Research re NJ Construction, Labor Racketeering, and Political Corruption Crimes

In order to identify the range of potential integrity risks currently faced by the developers of large-scale public construction projects in the State of New Jersey, Thacher Associates researched cases prosecuted and enforcement initiatives in New Jersey by the United States Attorney's Office and the State Attorney General's Office in 2010, 2011, 2012 and thus far in 2013 involving construction fraud and other crimes, public corruption, and/or organized crime. The following are summaries of a selection of relevant items culled from the websites of the Office of the United States Attorney for the District of New Jersey and the Office of the Attorney General for the State of New Jersey.

2013

March

- Three South Jersey individuals pled guilty to defrauding FEMA relating to major disasters, admitting to disaster benefits fraud relating to a presidential disaster declaration for the State of New Jersey after the nor'easter in 2010 and Hurricane Irene in 2011.
- Newark, N.J., businessman Sonnie Cooper was sentenced to two years' probation for extortion conspiracy, for his part in an extortion conspiracy in which a former Newark deputy mayor official used his official position to steer demolition work to Cooper's trucking company.
- A former Trenton, N.J., city employee, Charles Hall III, admitted involvement in corruption and narcotics conspiracies, and a bribery scheme involving Trenton Mayor Tony F. Mack, the Mayor's brother, Ralphiel Mack, and close associate, Joseph A. "JoJo" Giorgianni.
- The Attorney General announced the creation of a "Statewide Sandy Fraud Working Group" to Coordinate Prosecution, Investigation, and Data-Gathering of Criminal and Civil Fraud Related to Disaster Recovery.
- The Division of Consumer Affairs created an initiative for its investigators to check for unregistered home improvement contractors in storm-damaged Shore Counties.

February

- Former International Longshoreman's Union official Gregory Taylor admitted embezzling \$71,000 from Local 1233 of the International Longshoreman's Association.
- Father and Son Plead Guilty in a Scheme to Steal More Than \$1.3 Million from Struggling Homeowners.
- Attorney General, Division of Consumer Affairs, filed a suit against a deceptive Sandy charity for numerous violations of NJ charities laws.
- A second employee of engineering firm, Birdsall Services Group pled guilty in a scheme to avoid pay-to-play rules by making illegal corporate political contributions through employees.

January

- Edward Aulisi, a former International Longshoremen's Association ("ILA") member was sentenced to 30 months in prison for conspiring to extort ILA Local 1235 longshoremen on the New Jersey piers for Christmastime tribute payments.
- Vele Bozinoski, a Bergen County, N.J., man was sentenced today to three years of probation, including six months of home confinement, for conspiring to violate the federal Clean Air Act by improperly removing asbestos from a building.
- President of defunct Mercer County construction company sentenced to State prison for stealing more than \$450,000 from the State and from an insurance company.
- State Police employee charged with posing as an inspector to force two vendors to give her a free generator after Hurricane Sandy.
- New Jersey Attorney General and Division of Consumer Affairs resolve investigation into post-storm towing of vehicles in Seaside Heights.

2012

December

- Michael J. Ritacco, the former superintendent for the Toms River, N.J., Regional School District, and Francis X. Gartland, the former insurance broker for the Toms River Regional School District, have been ordered to pay \$4,336,987.91 in restitution to the school district.
- John T. Kennell, the director of operations for the Housing Authority of the Township of North Bergen, N.J., today admitted extorting employees of a maintenance company contracted by the Authority.
- Ivan Stantchev, a former special agent of the FBI was sentenced today to four years of probation for his role in acquiring confidential information relating to an undercover law enforcement operation and giving it to another individual.
- Frank D'Alonzo, the former supervisor of Athletics and Special Projects for the Toms River, N.J., Regional School District, was sentenced to 37 months in prison in connection with a scheme to pay hundreds of thousands of dollars in bribes to the superintendent of the school district in exchange for his official assistance.
- U.S. Attorney Paul J. Fishman announced today that the District of New Jersey collected \$300.7 million in Fiscal Year 2012 (FY 2012) related to criminal and civil actions. This amount included \$30.8 million in criminal actions and \$269.9 million collected in civil actions (includes Louis Berger payment of \$18 million criminal penalty for overbilling for work in Iraq).
- A federal grand jury in Trenton returned an eight-count Indictment charging Trenton Mayor Tony F. Mack, his brother, Ralphiel Mack, and Mayor Mack's close associate, Joseph A. "JoJo" Giorgianni, with extortion, bribery and mail and wire fraud.
- Attorney General Chiesa and Division of Consumer Affairs file new price gouging lawsuits against 6 more New Jersey businesses following Hurricane Sandy.
- Second former executive of engineering firm, Birdsall Services Group, charged in scheme to avoid pay-to-play rules by making illegal corporate political contributions through employees.

- New Jersey Division of Consumer Affairs obtains temporary restraints against operator of allegedly fraudulent Superstorm Sandy reconstruction summit.
- Insurance broker sentenced to 15 years in State prison for stealing \$2.6 Million from Perth Amboy schools by submitting false bills. The broker also billed the City of Perth Amboy \$216,495 for a bogus wellness program.

November

- BFrancis X. Gartland, the former insurance broker for the Toms River Regional School District was sentenced to 135 months in prison for his role in a scheme to pay bribes and other benefits to the then-superintendent of schools to get and maintain a contract to provide insurance services for the district.
- James J. Kearney, Sr., the former business manager of an ironworker's local from Jersey City, N.J., was sentenced to six months in prison or a halfway house for unlawfully demanding and receiving a bribe.
- Two union officers, Richard "Buzzy" Dressel and John DeBouter, from Local 164 of the International Brotherhood of Electrical Workers were arrested in connection with an embezzlement scheme that defrauded the union and its Apprentice Program of \$350,000.
- President of now-defunct Mercer County construction company pleads guilty to stealing more than 450,000 from the State and from an insurance company.
- Following "Undercover House" initiative, New Jersey Division of Consumer Affairs cites 10 unregistered home improvement contractors; investigation serves as a warning to avoid home repair scams after Hurricane Sandy.
- Christie administration subpoenas 65 businesses in investigations into post-hurricane price gouging.

October

- Thuan Nguyen, the operator of a Philadelphia-based temporary labor firm was sentenced to 21 months in prison for bribing a senior state labor department official.
- Kim Davis, a longtime construction official in the Property Maintenance Department of the City of East Orange, N.J., admitted today that he extorted money from a property owner in exchange for the official's assistance in city government matters.
- Bryant Venegas, a Union City, N.J., contractor admitted that he agreed to give corrupt payments in connection with a Union City Zoning Board matter.
- George Chrysanthopoulos, a Monmouth County, N.J., man was indicted today on charges he paid \$350,000 in cash bribes and kickbacks to a N.J. Department of Transportation official and a private port terminal operator in connection with millions of dollars in construction contracts.
- New Jersey Division of Consumer Affairs obtains \$7.7 Million judgment against "Roofing Police" contractor accused of performing shoddy work and deceiving consumers.
- Two State Treasury Officials sentenced on charges of official misconduct for taking gifts from State vendor they oversaw.

- Ex-Transportation Head for Hazlet & Piscataway School Districts charged with stealing \$565,000 from the Districts by authorizing payments to fictitious bus companies for services never provided.

September

- Kenneth Huber, a former official with the New Jersey Department of Transportation admitted accepting a \$24,000 bribe from a contractor as payment for his official assistance on a federally funded road construction project.
- Trenton Mayor Tony F. Mack, the Mayor's brother, Ralphiel Mack, and his close associate, Joseph A. "JoJo" Giorgianni, were arrested by federal agents and charged by criminal complaint in connection with a scheme to extort payments of more than \$100,000 from others who were purportedly developing a public parking garage.
- Louis Gargiulo, an Essex County, N.J., contractor was sentenced today to 30 months in prison for paying bribes to an employee of a container ship terminal facility at a port in Union County in order to secure contracts for construction projects.
- Contractor sentenced for rigging bids and inflating school contracts in the Westfield and Tinton Falls Districts. The engineer for the school districts and two other contractors were previously sentenced.

August

- John T. Kennell, the director of operations for the Housing Authority of the Township of North Bergen, N.J., was arrested this morning on charges of extorting employees of a maintenance company contracted by the authority.
- Woodbridge man indicted and arrested on charges he performed unlicensed asbestos abatement at dozens of schools and homes. He allegedly released hazardous asbestos dust and debris at a daycare center and 9 homes.

July

- James Kearney Sr., the former business manager of an ironworker's local from Jersey City, N.J., pleaded guilty today to unlawfully demanding and receiving a bribe.
- Contractors sentenced for rigging bids and inflating contracts in Westfield and Scotch Plains-Fanwood School Districts. The engineer for the school districts was previously sentenced to state prison.

June

- Demolition contractors indicted for unlicensed and unsafe asbestos removal at Zurbrugg Hospital site in Riverside. Illegal actions allegedly caused the release of asbestos dust and debris.

May

- Stephen P. Arena, the president of Local 148 of the Production Workers Union today admitted he conspired with the secretary-treasurer/recording secretary of Local 148 to steal money from the union by taking unauthorized salary increases and bonuses.

- Thirteen individuals, including one alleged member of the Genovese organized crime family and 12 members and associates of its LaScala Crew, were charged today in connection with an illegal, on-line gambling operation.
- Edward Aulisi, a former International Longshoremen's Association ("ILA") member admitted that he conspired to extort ILA Local 1235 longshoremen on the New Jersey piers for Christmastime tribute payments.
- James J. Kearney, Jr., the former secretary treasurer of a New Jersey ironworkers' union was sentenced today to 30 months in prison for embezzling more than \$560,000 from the union.
- Patrick Viola, a former union officer from Local 592 of the Laborers' International Union of North America admitted that he took a bribe from a contractor.
- Peter A. LoMauro, a labor union official from Middlesex County admitted demanding and receiving unlawful payments from a contractor and embezzling funds from a labor organization bank account.
- North Jersey home improvement contractor pleads guilty to stealing more Than \$75,000.

April

- Vanna Kem, the owner and operator of New Jersey-based temporary employment agency Tri State Labor Services, Inc. ("Tri State") admitted today to evading the employment taxes for the business.

March

- Joseph Rivera, a senior investigator with the N.J. Department of Labor & Workforce Development, Division of Wage and Hour Compliance, was sentenced to 60 months in prison in connection with a bribery scheme in which he accepted \$1.86 million from owners and operators of temporary labor firms in return for his official assistance.
- Bryant Venegas, a Union City, N.J., contractor appeared in court today to face a federal charge that he agreed to give bribes and corrupt payments in connection with a Union City Zoning Board matter.
- Kevin McKnight, the former secretary treasurer of a New Jersey transportation workers' union was sentenced to four months in a halfway house today for stealing tens of thousands of dollars from the union's accounts for his personal use.
- Vele Bozinoski, of Elmwood Park, N.J., charged with allegedly violating the federal Clean Air Act for improperly removing asbestos from a building made his initial appearance today before U.S. District Judge Noel L. Hillman in Camden federal court.
- School District engineer sentenced to State prison for rigging bids, inflating school contracts and taking illegal kickbacks - Two contractors and business administrator for Westfield schools also pleaded guilty.

February

- Raymond Norville, a contractor who was hired to renovate and repair the International Longshoreman's Association-Local 1233 headquarters in Newark was arrested at his home today for allegedly stealing more than \$300,000 from the union.

- Louis Gargiulo, an Essex County, N.J., contractor admitted today to paying bribes to an employee of a container ship terminal facility at a port in Union County to secure contracts for construction projects.

January

- Kim Davis, a longtime construction official in the property maintenance department of the city of East Orange, N.J., was arrested this morning in East Orange by special agents of the FBI for allegedly taking a bribe from an East Orange property owner in exchange for his assistance in city government matters.
- Ex-Business Administrator for Westfield Schools sentenced for accepting windows and doors from vendor he recommended

2011

December

- Christina Tharpe, the president of a South Jersey masonry company pleaded guilty to submitting false forms to the New Jersey Bricklayers Health and Pension Funds.
- A New Jersey couple and four New York men have pleaded guilty to a wide range of fraud and other offenses stemming from their involvement in a Jersey City, N.J., construction project between 2007 and 2008.
- In a pending organized crime prosecution, 3 additional defendants were arrested and charged in a superseding indictment that adds dozens of counts to a previous indictment charging multiple defendants – including an alleged member and associates of the Genovese Organized Crime Family – with racketeering and related offenses.
- A fugitive was returned from Costa Rica to face charges that he ran an offshore “Wire Room” for the Lucchese Organized Crime Family gambling operation.
- Three men were sentenced for rigging bids on computer contracts with Oakland, Lincoln Park and Haledon Police Departments.

November

- Federal agents arrested two former union officers from separate New Jersey labor unions based on criminal complaints charging both officers with unlawfully taking bribes.
- Kevin McKnight, the former secretary treasurer of a New Jersey transportation workers’ union admitted today to stealing tens of thousands of dollars from the union’s accounts for his personal use.
- Donald Olesky, a maintenance director at Maher Terminals in Union County, N.J., today admitted his role in soliciting and accepting bribes to award contracts for demolition and construction projects at a container ship terminal facility.
- Thirteen individuals, including an alleged member and an associate of the Lucchese Organized Crime Family, were charged with racketeering and related offenses in an indictment that included charges relating to the illegal takeover of a publicly traded company.

October

- Derish Wolff, the former president and CEO of New Jersey-based international engineering consulting company Louis Berger Group, Inc. surrendered to the FBI to face a six-count Indictment alleging he led a scheme to intentionally overbill the United States in connection with hundreds of millions of dollars in overseas reconstruction contracts over a nearly 20-year period.
- A Trenton jury convicted former Newark, N.J., Deputy Mayor for Public Safety Ronald Salahuddin and Newark businessman Sonnie L. Cooper today of conspiring to commit extortion by using Salahuddin's official position to steer demolition work to Cooper and obtain contributions to organizations favored by Newark officials.
- Federal agents from the Department of Labor, Office of Inspector General, today arrested an officer of a New Jersey labor union, Peter A. Lomauro, on a criminal complaint alleging he unlawfully took bribes.
- Two men plead guilty in probe by Division of Criminal Justice & Waterfront Commission into a shakedown of dock workers.
- Essex County man pleads guilty to promoting gambling in racketeering case against the Lucchese Organized Crime Family.

September

- Gregory Taylor, the former secretary treasurer of Longshoremen's Local 1233 in Newark has been arrested for allegedly stealing more than \$100,000 in union funds for his personal use.

June

- Suspended engineer for NJ Department of Transportation indicted in alleged scheme to steal \$700,000 in Railway Project Grant funds. The indictment charged that the engineer and his accomplice took \$325,000 in bribes.
- A Union County contractor was sentenced to prison for obtaining public contracts using stolen identity, sham company and fraudulent documents. The contractor was removed from the Clinton Dam project after police discovered the fraud.

May

- Anthony Clark, a former City of Newark, N.J., official, was sentenced to six months in prison and six months of home confinement for attempted extortion, after admitting that he accepted a \$10,000 corrupt payment in order to assist a contractor in obtaining demolition contracts with the city.
- Mitchell Kurlander and Alan Abeshaus, the former Chief Financial Officer and Chief Executive Officer of a leading supplier of athletic equipment and reconditioning services were charged for allegedly directing a long-running fraud against schools in New Jersey and elsewhere.

April

- David Slabon, the president of New Jersey-based commercial construction company Designline Construction Services, was sentenced to 25 months in prison for engaging in

two different criminal conspiracies aimed at defrauding Charlie Brown's Acquisition Corporation and P.C. Richard & Son Corporation.

- Two New Jersey residents and four New York residents were charged in two separate indictments with a wide range of fraud, embezzlement, and other offenses stemming from their involvement in a Jersey City, N.J., construction project between 2007 and 2008.
- Michael Mulligan, former Vice President of the Charlie Brown's chain of restaurants, was sentenced today to eight months of home confinement and three years of probation for conspiring to defraud the company by accepting more than \$1 million in kickbacks in exchange for awarding contracts to vendors.

March

- Attorney General's Office obtains Court Order halting fill activity at top soil disposal site in North Jersey.
- School District engineer and 3 contractors charged with bid rigging, inflating school contracts and illegal kickback
- Westfield School District Business Administrator charged with taking bribes from contractor.

February

- Former New Jersey labor union business manager Michael Urgola was sentenced today to 33 months in prison for conspiring with others to bypass deserving union members to provide jobs to friends and criminal associates.
- Former UMDNJ administrator sentenced to prison for taking expensive gifts from contractor he hired for University. He was charged in a probe by the State Commission of Investigation & Division of Criminal Justice.
- Top union official and 2 other men indicted in an investigation into extortion of money from dock workers. The charges stem from an ongoing probe by the Division of Criminal Justice and the Waterfront Commission.

January

- James Peyton, a former field investigator with the New Jersey Department of Labor & Workforce Development, Division of Wage and Hour Compliance, was sentenced to 42 months in prison in connection with a bribery scheme, admitting he accepted bribe payments from owners and operators of temporary labor firms in return for his official assistance benefitting the companies.
- Fifteen New Jersey residents, including an alleged member and associates of the Genovese organized crime family, were charged with racketeering and related offenses in a superseding indictment unsealed this morning in conjunction with arrests in the case. The charges included extortion of international longshoremen's association members.

2010

December

- The former Director of Construction for P.C. Richard & Son Corporation was sentenced to five months in prison and five months of home confinement for accepting \$80,000 in

bribes from a New Jersey-based construction company, United States Attorney Paul J. Fishman announced.

- The Construction Code Official for the City of Englewood, N.J., pleaded guilty to attempted extortion under the color of official right, admitting that he received bribes in exchange for his official assistance, United States Attorney Paul J. Fishman announced.
- The former business manager of a Somerville, N.J., carpenters union local was sentenced to 28 months in prison for embezzling approximately \$85,000 in funds from the Local 455 of the International Brotherhood of Carpenters and Joiners, United States Attorney Paul J. Fishman announced.
- A former City of Newark, N.J., official pleaded guilty to attempted extortion, admitting that he accepted a \$10,000 corrupt payment in order to assist a contractor in obtaining demolition contracts with the city, United States Attorney Paul J. Fishman announced.
- Father and Son Contractors arrested on first-degree fraud charges involving Jersey City condominium project.
- Former UMDNJ administrator pleads guilty to taking expensive gift from contractor he hired for University contracts. The contractor also pled guilty as a result of investigations by New Jersey State Commission of Investigation & Division of Criminal Justice.

November

- The Louis Berger Group, Inc. (LBG), a New Jersey-based engineering consulting company awarded millions in reconstruction contracts in Iraq and Afghanistan, has resolved criminal and civil fraud charges related to its international work on behalf of the United States Agency for International Development and the U.S. Department of Defense.
- A man whom federal court documents call one of the Gambino Crime Family's highest ranking members in New Jersey was sentenced to 132 months in prison on a federal racketeering conspiracy charge arising from his role in an illegal gambling operation and multiple fraud schemes.
- Union County contractor indicted for obtaining public contracts using stolen identity, sham company and fraudulent documents; removed from Clinton dam project in July after police discovered fraud.
- Senior Engineer for NJ Department of Transportation arrested in scheme to steal \$700,000 in Rail Project Grant funds. The DOT employee and his co-defendant allegedly took \$325,000 in bribes.

October

- A top associate in the Gambino Organized Crime Family was sentenced to 59 months in prison on a federal racketeering charge. United States Attorney Paul J. Fishman announced.

August

- The former Director of Construction for P.C. Richard & Son Corporation pleaded guilty today to accepting \$80,000 in bribes from a New Jersey-based construction company.
- Two Contractors and their company pled guilty to submitting a false invoice to Perth Amboy at request of Former Mayor Vas.

July

- South Jersey contractor sentenced to jail for rigging bids on contracts with Department of Corrections and Haddon Township.

June

- The former operations manager of a transfer and recycling station in Plainfield, New Jersey was sentenced today to five months in prison and five months of home confinement for violating the Travel Act in connection with a commercial bribery scheme which yielded him more than \$30,000 in cash bribe payments.
- The former Administrator for New Jersey Department of Corrections was sentenced to prison for directing a bid rigging and kickback scheme.

May

- The former president of a private inspection services company was sentenced today to a year and a day in prison for bribing Anthony Saccomanno, the former director of the Cherry Hill Department of Code Enforcement and Inspections, in exchange for Saccomanno's assistance in obtaining municipal contracts.
- The former business manager of a Somerville, New Jersey, carpenters union local was convicted today of embezzling approximately \$85,000 in funds from the Local 455 of the International Brotherhood of Carpenters and Joiners.
- Man Who Allegedly Ran Lucchese Crime Family's Offshore Gambling Operation Arrested by Division of Criminal Justice.
- Contractor Sentenced for Making False Representations for State Department of Corrections Contracts - \$153,000 in contracts awarded to him by friend, former DOC administrator Gerald T. Kennedy.
- Attorney General Dow Announces Indictment of Lucchese Crime Family Hierarchy, Including Two New York Bosses, New Jersey Leaders and 30 Other Members & Associates. Alleged Top NJ Capos Ralph V. Perna and Nicodemo Scarfo Jr. Charged.

April

- James LaForte Jr., of Staten Island, New York, was sentenced today to 36 months in prison for his role in conspiracies to commit loansharking, extortion, and arson.
- Former Asbury Park Deputy Mayor and Councilman John J. Hamilton, Jr. was sentenced today to 41 months in prison in connection with his acceptance of a driveway paving job and a \$2,000 cash bribe from a cooperating government witness who Hamilton believed was involved in construction and demolition work, money laundering, and illegal loansharking.
- Division of Criminal Justice & Waterfront Commission Arrest Top Union Official in Alleged Shake -Down of Dock Workers - Four Other Men, Including Newark Police Officer, Also Charged In Joint Investigation.

March

- A former project manager for a national cellular telecommunications provider was sentenced to 24 months in prison today for receiving more than \$1 million in kickback

payments from contractors to whom he awarded construction projects and for evading taxes on portions of that income.

- An owner of a defunct payroll services company in Texas, Joshua Schechter, 44 of San Antonio, Texas, was sentenced to 30 months in federal prison on Friday, March 12, 2010 for embezzling \$2.65 million in FICA taxes that client companies owed to the IRS.
- Ex-Sales Director for Contractor Admits She Offered Illegal Gift to State Official and Concealed Overbilling of State.
- Ex-Mayor of Irvington Michael Steele Sent to Prison for Taking Kickbacks as Business Administrator for Irvington Schools.

February

- Ronald Salahuddin, former Deputy Mayor for Public Safety for the City of Newark, today was charged by a federal grand jury in a five-count Indictment with corruptly using his official position and influence to advance the business and financial interests of his business partner and himself in connection with City of Newark demolition business.
- A former operations manager of a transfer and recycling station in Plainfield pleaded guilty today to traveling and causing the travel in interstate commerce to promote and facilitate commercial bribery, admitting he caused an individual who hauled waste and recyclable material to travel in interstate commerce, and thereafter accepted bribe payments from that individual on numerous occasions.

January

- An East Orange construction code official pleaded guilty today to a federal charge of attempted extortion under color of official right, admitting he accepted thousands of dollars in corrupt cash payments from a cooperating witness, which were made through an East Orange Contractor, in return for exercising his future official assistance in favor of the cooperating witness's project.
- A former Jersey City Housing Department employee was indicted today on charges in connection with his acceptance of \$50,000 in corrupt cash payments in exchange for his official influence and assistance on real estate development matters in Jersey City.
- A high-ranking soldier in the Gambino Crime Family pleaded guilty today to a federal charge of racketeering conspiracy for his role in running an enterprise that engaged in illegal gambling, extortion, fraud schemes and labor racketeering.



THACHER ASSOCIATES, LLC

PROPOSAL TO

**THE STATE OF NEW JERSEY
DEPARTMENT OF THE TREASURY
DIVISION OF PURCHASE & PROPERTY**

**FOR: PREQUALIFICATION POOLS:
AUDITING AND OTHER RELATED SERVICES IN
SUPPORT OF DISASTER RECOVERY
(HURRICANE SANDY)**

RESPONSE TO RFP # 14-X-23110

**Volume 3
(Section 3 – Price Schedule, Section 4.4.5)**

PREPARED BY

**THACHER ASSOCIATES, LLC
330 WEST 42nd STREET
NEW YORK, NEW YORK 10036**

Dated: May 31, 2013

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RFP # 14-X-23110

Volume 3 (Section 3 – Price Schedule, Section 4.4.5)

Bidder's Name: Thacher Associates, LLC

POOL 3: INTEGRITY MONITORING/ANTI-FRAUD

LINE #	STAFF CLASSIFICATIONS	YEAR 1 HOURLY RATE	YEAR 2 HOURLY RATE	YEAR 3 HOURLY RATE
21	Partner/Principal/Director	\$ 272.50	\$ 282.50	\$ 290.00
22	Program Manager	\$ 240.00	\$ 247.50	\$ 255.00
23	Project Manager	\$ 210.00	\$ 217.50	\$ 224.00
24	Subject Matter Expert	\$ 265.00	\$ 275.00	\$ 282.50
25	Supervisory/Senior Consultant	\$ 160.00	\$ 165.00	\$ 170.00
26	Consultant	\$ 137.50	\$ 141.50	\$ 145.50
27	Associate/Staff	\$ 111.50	\$ 115.00	\$ 118.50
28	Administrative Support Staff	\$ 70.00	\$ 72.50	\$ 75.00

Line #	Pass Through Price Lines *	Year 1	Year 2	Year 3
29	Other Direct Costs	N/A	N/A	N/A
30	Travel Expenses and Reimbursements	N/A	N/A	N/A

- The State makes no guarantee of volume of work effort.
- * The Pass Through Price Lines shall be used to reimburse for Travel and Other Direct Costs only. No mark-up will be provided for Price Lines 9 and 10.

