



January 24, 2014

Mr. Dave Ridolfino, Associate Deputy State Treasurer
State of New Jersey
Department of the Treasury
Division of Administration
PO BOX 002
Trenton, NJ 08625
via email – IntegrityOversightMonitor@treas.state.nj.us

Re: City of Perth Amboy Marina and Walkways
Pool 3 – Integrity Monitoring/Anti-Fraud – Response to Engagement Query

Dear Mr. Ridolfino:

Thacher Associates, LLC (“Thacher” or “TA”) appreciates very much having been invited to submit a proposal to serve as Integrity Monitor for the City of Perth Amboy’s Marina and Walkways construction and repair project (“Project”). Enclosed please find our detailed proposal.

Introduction

According to the December 23, 2013, Engagement Query, the Department of Treasury (“Treasury”) on behalf of the City of Perth Amboy (“the City”) is seeking quotes for a prequalified contractor from Pool 3 – Integrity Monitoring/Anti-Fraud to serve as the City’s integrity oversight and anti-fraud monitor pursuant to P.L. 2013, Chapter 37. We appreciate the opportunity to provide this proposal and hope to bring our considerable expertise to the Project.

Our staff is comprised of over 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 many of New Jersey’s rebuilding and recovery projects.

We have the utmost confidence in our ability to adequately and appropriately monitor this specific Project and the reasons for this confidence are clear. Thacher originated the discipline of Integrity Monitoring approximately 17 years ago and today remains its leader in both the public and private sectors throughout the New Jersey and New York area. No other integrity monitoring firm has close to the experience on construction projects as has Thacher. Indeed, the combined experience of all the other integrity monitoring firms may not equal our experience on such engagements. Most importantly, we are aware of no other firm whose

principals were leaders in the development of integrity monitoring and supervising monitorships during their service as public officials overseeing public construction. We have sat in the same place the State Comptroller and the State Treasurer now sit with the challenge of supervising monitors assigned to protect multi-million-dollar public works programs. We understand the fine line and delicate balance between the operational needs of a governmental agency and an integrity monitor's mandate. We understand how to work effectively as an arm of the State Comptroller and the Attorney General. As former Comptroller Boxer noted in his address on September 17, 2013, we understand the importance of establishing independence from the entities that are being monitored and at the same time ensuring the project remains on-time and on-budget.

Thacher was built to be an Integrity Monitor. Successful integrity monitors must contain legal, accounting, investigative, engineering, environmental and construction experts, all of whom operate as a multi-disciplinary and integrated team. Law firms, engineering firms, and accounting firms, while skilled, do not possess the full range of expertise necessary to successfully monitor these projects. We do. We have on staff lawyers, most former prosecutors, all with experience leading investigations into corruption and fraud; forensic engineers, trained and experienced in the detection and prevention of construction fraud; forensic auditors, including Certified Public Accountants, again, all trained and experienced in the detection and prevention of construction fraud; and investigators with decades of law enforcement experience. No other integrity monitoring firm has all of these needed disciplines on staff, in the numbers that Thacher has, all of whom understand how to detect, investigate, and remediate fraud, waste and abuse.

Recently, Treasury 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 “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.”

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. 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.

We were recently awarded the contract from the State of New Jersey to provide integrity monitoring and anti-fraud services for the City of Elizabeth's Veterans Memorial Waterfront Park project. Based on our experience simultaneously working on multiple projects with close geographic proximity that share common risks, contractors, and subcontractors, we believe that resulting economies of scale will produce cost savings to the State of New Jersey if selected for

this Project.

We understand the local and state regulatory and administrative requirements, including the New Jersey Local Public Contracts Law. We know how to work with city administrators, including City Engineers and Public Works officials. We understand what the State of New Jersey does and does not need as it embarks on monitoring this important project, and, most importantly, how to meet those needs.

Perhaps most important, we are familiar with the Perth Amboy work site. Our proposed Project Manager and our Senior Forensic Engineer recently visited the site and observed the completed work and the work still to be performed. They extensively documented their site visit, as is evidenced by the photographs below, and are familiar with the work to be performed.



Technical Approach

Our 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 to prevent wasting resources in areas that do not warrant intense scrutiny. Our recommended approach in meeting the Scope of Work requirements begins with a review of the current policies and procedures to determine if appropriate systems and controls are in place to ensure compliance with State and Federal

guidelines, regulations and laws, to ensure the program requirements are met, and finally, to ensure best practices are being implemented to prevent the duplication of benefits, inefficiency, waste, fraud, abuse, malfeasance, and mismanagement of funds. Following this review and during the project's lifespan, we would task our skilled forensic engineers, forensic auditors, and trained investigators with monitoring of the contractors' adherence to those enhanced procedures.

We would meet and work with city officials to address any deficiencies or recommendations for implementing best practices, as we are currently doing with the City of Elizabeth. We will leverage the work already being performed by city officials to keep costs down. For example, we will work closely with the city's internal audit department to ensure we are not recreating or replicating their work. We will supplement site headcounts that may already be conducted by Public Works officials. Our experiences have proven this approach to be successful.

Tasks A through C – Kick-off Meeting and Review and Enhancement of Procedures and Processes

Thatcher will attend a kick-off meeting to discuss the tasks and deliverables for this Project and will provide minutes of the meeting within ten (10) days of the meeting thus completing Task A.

For Tasks B and C, 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 this Project.

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 three-step internal procedures and policies reviewing methodology leveraging the expertise of all four of our in-house disciplines. We identify internal controls that provide corruption and racketeering opportunity-blocking mechanisms. We then 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. We 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. Our 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.

In this stage of our review, we would also focus on the bidding and procurement process. As noted in the Project Risk Assessment Summary, although the City's audited Fiscal Year 2012 financial statements did not disclose any internal control deficiencies or federal funding non-compliance, auditors noted that Perth Amboy was not a low-risk auditee. Because FEMA Public Assistance Funding is contingent upon successful compliance with Federal, State, and local requirements for competitive procurement, this presents a potential major risk factor.

In the solicitation phase, we can review RFPs to ensure proper procedures were followed and not written to favor particular contractors. We can review bidding pools to ensure they were not stacked to steer work to a favored contractor and that competition is adequate. During the bid submission and contract award phase, we can attend bid and best and final offer (“BAFO”) openings; ensure that proper bid receipt and opening procedures are followed (and when not, we can identify evidence of altered bids or other improprieties); attend scope meetings to ensure that bidders are given the same information to ensure a level playing field; 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 will 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. We emphasize throughout that “if it is not documented, it did not happen.” Without vigilant documentation, there can be no transparency and auditability.

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 can 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 can attend bid leveling meetings, pre-scope meetings, interview bidders and CM/GC engineers, estimators and other staff.

At the conclusion of the bidding process, the City can be assured the proper procedures were followed ensuring the allocated FEMA Public Assistance funds are not jeopardized. Tasks B and C will be completed within 40 days of receipt of the letter of engagement. At the conclusion of Tasks B and C, Thacher will produce a risk assessment based on our review of the current policies and procedures and may include recommendations to implement best practices.

Tasks D through F – Records Review and On-Site Monitoring

During Tasks D through F of the project, our skilled team will review records submitted by Hatch Mott MacDonald and the contractors. Thacher will also observe, through on-site inspections, the progress of the work. Some examples of the methodologies we would employ include:

1. Payment Applications/ Requisitions

Keeping costs in line with original budget and estimates is a significant challenge in construction projects. Excessive general conditions costs, scope changes, contingencies and allowances, change orders, and claims are over-budget contributors.

Our forensic accounting approach includes analysis of requisitions and supporting documentation, including billings for self-performed work, general conditions and other direct costs, supervisory labor, material and equipment billings.

Thacher's forensic engineers work with our auditors to monitor requisitions and evaluate 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 owner and CM 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.

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.

2. 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. 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 are performed as needed.

3. 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 of 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 (“GC”) work may be covered in the CM, 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 will examine GC 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 GC work.

T&M Work: Many change orders that start as time and materials (“T&M”) work are settled as lump sums using work tickets as a negotiation starting point. T&M work can also be used to track allowance work, premium time and idle time. It is nearly impossible to detect work ticket padding in an after-the-fact review. We identify T&M work in real time and review processes as written and actually performed to see if accurate and 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. Additionally, if the work being tracked was directed to be additional work for the contractor, we confirm the T&M charges do not 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. For example, recent reviews of T&M tickets for compliance with approved procedures revealed issues such as lack of worker name and delay in approval by the construction manager, both critical items, especially when the tickets are being used as a basis for payment. These deficiencies were brought to the attention of the construction manager and owner and steps were taken to remedy the issues.

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, and the supplier.

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 have successfully pursued charge-back strategies where the requirements were not satisfied, and obtained recoveries for our clients. Two examples of issues identified that lead to charge backs related to safety oversight and compliance with LEED

standards. In reference to the former, certain contractors had to provide different levels of safety oversight depending on the size and scope of their contract. This varied from having to provide a full time dedicated site safety manager to only providing a competent person. Review of compliance with what was stated in their contract showed that many contractors were not providing the level of oversight required. Identification of this issue led to charge backs from the contractors not in compliance and credit change orders where the owner and construction manager deemed the level of oversight could be changed. Regarding the latter, many contractors have certain requirements related to LEED and sustainability in their contracts. Review of these requirements revealed that contractors were not meeting project and contract requirements related to materials being supplied. Where requirements were not met, charge backs were collected for the difference in cost between the materials. More importantly, these strategies have spurred enhanced compliance with the contract requirements.

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

This project is required to comply with either the Davis-Bacon Act or the New Jersey Prevailing Wage Act. Our monitoring may include site visits for 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, as necessary.

5. 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. We can test the bona fides and independence of the Small Business Subcontractor (“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. For example, we have identified instances where a prime contractor has claimed to be using a subcontractor to perform a specific scope of work, but through review of contract and payment documents and field interviews of workers, have shown that the subcontractor was really just being used as a pass-thru for the prime contractor’s labor or material. Some of these reviews have been used to decertify the subcontractor’s status as a M/W/DBE.

Contract Schedule

Within forty business (40) days of receiving a Letter of Engagement, Thacher will have completed and delivered to the City of Perth Amboy and the State Contract Manager a risk assessment reflecting our review of the current policies and procedures and our recommendations for enhancements of those procedures and other strategies to prevent the duplication of benefits, inefficiency, waste, fraud, abuse, malfeasance, or mismanagement of funds.

Thacher, in accordance with the Engagement Query requirements, will provide status reports quarterly (tentatively to begin on July 1, 2014) to the State Treasurer. Additionally, Thacher will provide monthly status reports to the City of Perth Amboy and the State Contract Manager.

In addition to the deliverables described above, Thacher will immediately report any findings of potential fraud, malfeasance, or criminal activity to the State Contract Manager via email.

Task	Due Date
Letter of Engagement Issued	February 7, 2014 (est.)
Task A	February 21, 2014 (est.)
Tasks B and C	April 4, 2014 (est.)
Monthly Status Reports	March 3, 2014 January 2, 2015 January 4, 2016 April 1, 2014 February 2, 2015 February 1, 2016 May 1, 2014 March 2, 2015 March 1, 2016 June 2, 2014 April 1, 2015 July 1, 2014 May 1, 2015 August 1, 2014 June 1, 2015 September 2, 2014 July 1, 2015 October 1, 2014 August 3, 2015 November 3, 2014 September 1, 2015 December 1, 2014 October 1, 2015 November 2, 2015 December 1, 2015
Quarterly Reports	July 1, 2014 (1Q 2014) October 1, 2014 (2Q 2014) January 2, 2015 (3Q 2014) April 1, 2015 (4Q 2014) July 1, 2015 (1Q 2015) October 1, 2015 (2Q 2015) April 1, 2016 (3Q 2015) July 1, 2016 (4Q 2015) October 3, 2016 (1Q 2016)
Project End Date	February 8, 2016 (est.)

Budget

A detailed budget with person-hours and estimated travel and direct costs is attached. Direct costs may include postage, photocopies, database and telephone charges, and are estimated at \$1,370. Travel costs are estimated at \$12,330. This budget is in the form of a comprehensive chart showing the person-hours proposed to meet the requirements of the Engagement Query. See Attachment 1.

Thacher's proposed total project cost is \$152,200. Thacher's detailed budget is predicated upon an estimated completion date of February 8, 2016, based upon the 2 year length of engagement, as provided for in the Project Risk Assessment Summary. Delays in completion of the Project may result in the need for additional person-hours, not contemplated for in the attached budget. Our proposed project cost assumes Tasks A-C will be completed in their entirety during Year One, and Tasks C-H will be completed over the course of the two years. These assumptions are subject to change when we are able to access the construction schedule.

FEMA Experience

Thacher has been involved in several projects funded, in whole or in part, by FEMA Public Assistance grants. Most notably, Thacher monitored the clean-up efforts at Ground Zero following the terrorist attacks of September 11, 2001. Working with FEMA, the project was hailed by the U.S. Congress as "an overwhelming success." See Attachment 2.

Most recently following Hurricane Sandy, Thacher served as an Integrity Monitor for the City of New York's Rapid Repair Program – a \$500 million program designed to perform emergency repairs to residential properties affected by Hurricane Sandy. Additionally, Thacher has been monitoring the Port of New York and New Jersey's post-Hurricane Sandy cleanup efforts at the World Trade Center site, including the Chiller Plant, the Transportation Hub and the September 11th Memorial. Both of these monitorships involve FEMA Public Assistance funding and to the best of our knowledge, Thacher has never been involved in a monitorship that resulted in the deobligation of FEMA funds.

Current Disaster Recovery Engagements

As mentioned above, Thacher is currently engaged in providing Integrity Monitoring/Anti-Fraud services for disaster recovery programs or projects for the Port Authority of New York and New Jersey. Our clean-up related engagements with the Port Authority were issued under our existing contracts to provide Integrity Monitoring services related to the construction of the World Trade Center ("WTC") Transportation Hub (ends October 2015), WTC Memorial, Museum and Visitor Orientation and Education Center (ends January 2014), and the WTC Pre-Tenant And Parking Garage Fitout Project (ends October 2015). The clean-up related engagements were not stand-alone disaster recovery programs or projects.

Thacher's contract with the New York City Department of Investigation to provide

Integrity Monitoring for the City's Rapid Repair Program ended on March 31, 2013.

We are currently engaged by the State of New Jersey under Contract #T-2939, Engagement Query #EQ-2013-001-P3 Superstorm Sandy Integrity Monitoring/Anti-Fraud – City of Elizabeth's Veterans Memorial Waterfront Park. Further information regarding this engagement can be provided, as requested by the State Treasurer. Thacher can provide any additional information the State may require regarding these engagements.

Subcontractor Utilization

Thacher Associates will not utilize a subcontractor on this engagement.

Proposed Staff & Resumes

Our selection of personnel to lead our integrity monitoring team is based on our knowledge of the key integrity risks that the Project will face.

Our Team will include the following persons:

- Principal Joe DeLuca and Toby Thacher (Partner/Principal/Director)
- Managing Director Christopher Prather (Program Manager)
- Managing Director Brad Breslin (Project Manager)
- Director of Investigations Rod Leith (Subject Matter Expert)
- Investigator Jim Bush (Senior Consultant)
- Director of Forensic Audits Rich Vermeulen (Subject Matter Expert)
- Senior Forensic Auditors Kevin Mullins and Jose Velazquez (Project Manager)
- Forensic Auditors Phillippe LaRock, Arben Latifaj, Liam Richmond, and Bob Cecere (Senior Consultant)
- Director of Forensic Engineers James Murphy (Subject Matter Expert)
- Forensic Engineers Eric Palummieri, Ilven Shyti, Michael Carrano and Lirdi Mexhitaj (Senior Consultant)
- Senior Research Analyst Rob Ellman (Project Manager)
- Research Analyst Melissa Kolis (Senior Consultant)
- Project Administrator Lauren Lee (Administrative Support)

We will be providing a six-member dedicated team for this Project consisting of a Principal, Program Manager, Project Manager, an investigator, auditor, and engineer identical to the team managing the City of Elizabeth Project. Our proposed personnel for this Project includes additional staff as we find it useful to allow for some flexibility as special or unanticipated issues may arise that would best be addressed by additional staff with individualized expertise to best handle such issues.

Mr. Prather is a Managing Director at Thacher and is a recognized expert in conducting construction fraud and construction dispute investigations, from procurement through close-out.

He has served as the integrity monitor for New York State on a multi-billion dollar design/build procurement, and served as the integrity monitor for hundreds of millions of dollars expended in New York City's Rapid Repair program in response to Hurricane Sandy. He currently serves as the lead on Thacher's monitorship of \$500 million on exterior repairs and renovations of New York City Housing Authority stock.

Mr. Prather also has more than 30 years experience as a prosecutor handling complex investigations and prosecutions. While at the offices of the Inspectors General at the New York Metropolitan Transportation Authority ("MTA"), he was in charge of all investigations conducted by that office. At the New York School Construction Authority, he was First Assistant Inspector General and Counsel. Prior to his work at the MTA, he was the Director of the New York Organized Crime Task Force for six years, and served as an Assistant District Attorney in the Manhattan District Attorney's Office for nearly 15 years, rising from trial attorney to Deputy Chief of the Frauds Bureau and Senior Investigative Counsel in the Rackets Bureau.

Recently joining Thacher from the U.S. Department of Justice, Mr. Breslin has considerable experience in a wide variety of legal matters concerning federal contracting and federal funds, including the Federal Acquisition Regulations, as well as the Stafford Act. Mr. Breslin will be providing day-to-day oversight of the project.

A more detailed description of the background, qualifications and relevant experience of our Team is set forth in their attached resumes (Attachment 3). We have also included a copy of our organizational chart for this Project (Attachment 4).

Summary of Firm Experience

After review of the Engagement Query and associated deliverables for the Perth Amboy Project, we believe the below mentioned projects demonstrate Thacher's ability to perform successfully this monitorship. Thacher has experience in reviewing procurements to ensure they comply with best practices and applicable policies. Our most notable example includes one of the most complex procurements in recent memory – the replacement of the Governor Malcolm Wilson Tappan Zee Bridge.

In a first for the New York State Thruway Authority, the project had 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 as possible to the public and to those vying for the contract. The tension between these competing interests led to, in part, the decision to retain Thacher as an Independent Procurement Integrity Monitor for this procurement.

This engagement was noteworthy in that it demonstrated Thacher's 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's 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.

The project specific details follow:

Project Title and Location	The New Bridge: Tappan Zee Hudson River Crossing Project— procurement phase only
Primary Consultant	Thacher Associates, LLC
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	<p>William Ringwood NYS Thruway Authority 200 Southern Blvd. Albany, NY 12209 [REDACTED]</p> <p>Joseph Igoe, Esq. NYS Thruway Authority 200 Southern Blvd. Albany, NY 12209 [REDACTED]</p>

On the construction of the World Trade Center Transportation Hub, 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 project specific details for this engagement include:

Project Title	WTC Transportation Hub Project
Primary Consultant	Thacher Associates, LLC
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 Telephone: (973) 565-4330 Steven A. Pasichow, PANYNJ-OIG 5 Marine View Plaza, Hoboken, NJ 07030 [REDACTED]

These two projects are just a small sample of Thacher's engagements and both reflect our ability to perform the work contemplated in the Engagement Query. While both are examples of the expertise Thacher brings to mega-projects, our expertise on smaller scale construction projects is similarly impressive.

From 1998 to 2003, after HRH Construction Corp. employees were convicted of public bidding and change order fraud, Thacher was approved by the New York City Department of Investigation and the New York City School Construction Authority ("SCA") to serve as HRH's Independent Private Sector Inspector General ("IPSIG"). On behalf of the SCA, Thacher monitored all HRH school construction projects. On behalf of the City, we monitored HRH's build out of the Department of Buildings' interior space at the "Marble Palace." As IPSIG, Thacher conducted background reviews of the minority ("MBE") and women-owned ("WBE") firms solicited by HRH, seeking to identify any organized crime influences, inappropriate links to HRH and/or false MBE/WBE status. We also oversaw HRH's bidding and bid leveling practices and audited the periodic payment requisitions and requests for change orders of HRH and its subcontractors. In addition, we monitored HRH's activities as a Mentor Program construction manager on SCA projects.

We firmly believe our ability to perform these similar tasks on the City of Perth Amboy's Marina and Walkways project could be accomplished more efficiently than any other firm given the broad expertise Thacher brings to any size engagement.

Specialty Services

As explained in great detail above, Thacher Associates currently employs *in house*, a multi-disciplinary team of lawyers, forensic engineers, forensic auditors, investigators, and analysts who will be utilized on this project and therefore has the requisite ability to provide the professional specialties identified in the Engagement Query.

Conclusion

I hope that the foregoing adequately explains our proposed approach to monitoring the City of Perth Amboy Marina and Walkways construction and repair project, our qualifications, the qualifications of our proposed team, and the costs associated with the work. We would, of course, be happy to meet to discuss any or all aspects of our Proposal in greater detail.

Very truly yours,


Joseph A. DeLuca

Enclosures

Attachment 1

Cost Quote

Cell to be completed by Contractor

Protected Cells

Firm Name:	Thacher Associates LLC
Engagement Number:	Pool 3 - Perth Amboy Marina and Walkways

Cost Quote for: <input checked="" type="checkbox"/> Year 1 <input type="checkbox"/> Year 2 <input type="checkbox"/> Year 3	Fill in Task	Tasks A - C		Tasks D - F																Total Hours Per Staff Category	Total \$ Per Staff Category				
		Hours	Amount (\$)	Hours	Amount (\$)	Hours	Amount (\$)	Hours	Amount (\$)	Hours	Amount (\$)	Hours	Amount (\$)	Hours	Amount (\$)	Hours	Amount (\$)	Hours	Amount (\$)						
Staffing Category	Hourly Billing Rate (\$)																								
Partner/Principal/Director	\$272.50	10	\$2,725.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	10	\$2,725.00		
Program Manager	\$240.00	40	\$9,600.00	10	\$2,400.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	50	\$12,000.00		
Project Manager	\$210.00	40	\$8,400.00	45	\$9,450.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	85	\$17,850.00		
Subject Matter Expert	\$265.00	40	\$10,600.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	40	\$10,600.00		
Supervisor/Senior Consultant	\$160.00	40	\$6,400.00	225	\$36,000.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	265	\$42,400.00		
Consultant	\$137.50		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00		
Associate/Staff	\$111.50		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00		
Administrative Support	\$70.00	20	\$1,400.00	15	\$1,050.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	35	\$2,450.00		
Other			\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00		
Other			\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00		
Other			\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00		
Other			\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00		
		190	\$39,125.00	295	\$48,900.00	0	\$0.00	0	\$0.00	0	\$0.00	0	\$0.00	0	\$0.00	0	\$0.00	0	\$0.00	0	\$0.00	0	\$0.00	485	\$88,025.00 (Staffing)

Total Direct Cost	\$685.00
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\$685.00 (Direct Cost)

Total Travel Cost	\$6,165.00
--------------------------	-------------------

\$6,165.00 (Travel Cost)

Grand Total **\$94,875.00**

Cost Quote

Cell to be completed by Contractor

Protected Cells

Firm Name:	Thacher Associates LLC
Engagement Number:	Pool 3 - Perth Amboy Marina and Walkways

Cost Quote for: <input type="checkbox"/> Year 1 <input checked="" type="checkbox"/> Year 2 <input type="checkbox"/> Year 3	Fill in Task	Tasks A - C		Tasks D - F																Total Hours Per Staff Category	Total \$ Per Staff Category				
		Hours	Amount (\$)	Hours	Amount (\$)	Hours	Amount (\$)	Hours	Amount (\$)	Hours	Amount (\$)	Hours	Amount (\$)	Hours	Amount (\$)	Hours	Amount (\$)	Hours	Amount (\$)						
Staffing Category	Hourly Billing Rate (\$)																								
Partner/Principal/Director	\$282.50		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00		
Program Manager	\$247.50		\$0.00	10	\$2,475.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	10	\$2,475.00		
Project Manager	\$217.50		\$0.00	45	\$9,787.50		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	45	\$9,787.50		
Subject Matter Expert	\$275.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00		
Supervisor/Senior Consultant	\$165.00		\$0.00	225	\$37,125.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	225	\$37,125.00		
Consultant	\$141.50		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00		
Associate/Staff	\$115.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00		
Administrative Support	\$72.50		\$0.00	15	\$1,087.50		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	15	\$1,087.50		
Other			\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00		
Other			\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00		
Other			\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00		
Other			\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00		
		0	\$0.00	295	\$50,475.00	0	\$0.00	0	\$0.00	0	\$0.00	0	\$0.00	0	\$0.00	0	\$0.00	0	\$0.00	0	\$0.00	0	\$0.00	295	\$50,475.00 (Staffing)

Total Direct Cost	\$685.00
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\$685.00 (Direct Cost)

Total Travel Cost	\$6,165.00
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\$6,165.00 (Travel Cost)

Grand Total **\$57,325.00**

Attachment 2

109TH CONGRESS }
2d Session

COMMITTEE PRINT

{ COMMITTEE
PRINT 109-C

AN EXAMINATION OF FEDERAL 9/11 ASSISTANCE TO
NEW YORK: LESSONS LEARNED IN PREVENTING
WASTE, FRAUD, ABUSE, AND LAX MANAGEMENT

A STAFF REPORT

SUBCOMMITTEE ON MANAGEMENT,
INTEGRATION, AND OVERSIGHT

OF THE

COMMITTEE ON HOMELAND SECURITY

U.S. HOUSE OF REPRESENTATIVES
109TH CONGRESS



AUGUST 2006

U.S. GOVERNMENT PRINTING OFFICE

29-452

WASHINGTON : 2006

Best practice: Private integrity monitoring caught and deterred fraud

The removal of cost-control incentives on private contracts, combined with the chaos at Ground Zero, made it exceedingly important for the government to exercise oversight and implement stringent controls over debris-removal operations. FEMA's OIG asserted that it initially stationed people at the four exits of the site of the World Trade Center to track the shipments of debris to ensure they were not diverted.⁴⁵ On October 4, 2001, the administration of former New York City Mayor Rudolph Giuliani announced it had dispatched four integrity monitoring companies to oversee the four construction management companies hired to clean up the four Ground Zero quadrants.⁴⁶ This action came just days after a grand jury began hearing testimony about truck drivers allegedly diverting debris shipments to scrap yards to sell instead of to the landfill to be sifted.

⁴⁵ *Id.*

⁴⁶ Jennifer Steinhauer, *A Nation Challenged: City Hall, 4 Companies Are Hired to Oversee Contractors*, N.Y. Times, Oct. 5, 2001, at B11.

The World Trade Center Integrity Compliance Monitorship Program, which was continued by Mayor Giuliani's successor, Mayor Michael Bloomberg, hired four private integrity monitor companies—Decision Strategies/Fairfax International; Getnick & Getnick; Stier, Anderson & Malone; and Thacher Associates—all of which were run by former prosecutors. Known as Independent Private Sector Inspectors General (IPSIGs) the companies employed an innovative approach to contract management first utilized in New York in the 1990s for public school construction projects. Working with the New York City Department of Investigation (DoI), FEMA, and DDC, the IPSIGs used forensic auditing, surveillance, interviews, informants, global position system tracking of trucks, background checks, and other investigative techniques to screen subcontractors and ensure they were utilizing the appropriate equipment and workers, accurately billing the government, and hauling debris to the appropriate destination.

The private integrity monitors' performance of background checks on contractors, using New York City's VENDEX database and independent means, proved a useful tool. The checks resulted in the indictments by the Manhattan District Attorney's office of two principals of a Yonkers carting firm working at Ground Zero who allegedly lied about their ties to organized crime in documents filed with New York City. The private integrity monitors also identified numerous instances of over-billing by this firm.⁴⁷

Private integrity monitors had never previously been deployed on such a large scale⁴⁸ and, by all accounts, their deployment in the debris removal context was an overwhelming success. Private integrity monitors identified a number of contractors with ties to organized crime which were subsequently removed from the site, found trucks cooping while on the clock,⁴⁹ flagged several attempted frauds that were referred for prosecution, recovered \$47 million in over-billing by contractors and subcontractors, and saved immeasurably more money by deterring fraud.⁵⁰

The World Trade Center Integrity Compliance Monitorship Program was effective in large part because it was preventive. By embedding private integrity monitors with the individual contractors, the monitoring program prevented fraud and abuse by contractors that were unscrupulous or sloppy in their accounting. In addition, the monitoring ensured proper record keeping and established internal controls, which created a culture of compliance within each contractor's operations and ensured accountability to New York City.

DoI and the monitors took several steps to bolster the effectiveness of the monitoring program. First, they met regularly with one another and with law enforcement agencies. Second, they set up an electronic key-card system to track each person who accessed the site. Third, they established a fraud hotline, which received 80 tip calls.⁵¹ Together, these controls increased the effectiveness of the private integrity monitor program and enhanced the overall vigilance against fraud and waste during the debris removal. It is the

⁴⁷ *Id.*

⁴⁸ Gill Hearn Briefing, *supra* note 35.

⁴⁹ Subcommittee Staff Briefing with Mr. Neil Getnick et al., *Independent Private Sector Inspectors General*, Mar. 21, 2006, in *New York, New York*.

⁵⁰ Gill Hearn Written Testimony, *supra* note 36.

⁵¹ Gill Hearn Briefing, *supra* note 35.

sense of the Subcommittee that private integrity monitors should be incorporated into future disaster response oversight, particularly in instances requiring debris removal.

High-ranking officials in the DHS OIG office said debris-removal work has always posed oversight problems for FEMA, but the removal of debris from Ground Zero was among the agency's best run projects.⁵² In the Subcommittee's judgment, that success resulted from the presence of private integrity monitors and occurred in spite of very challenging conditions.

Hard lesson learned: Costly oversight in aerial photography contract

Not every part of the response phase paralleled the success of the private integrity monitoring program. For example, FEMA contracted with a photographer to take aerial photographs of Ground Zero without checking the photographer's background or experience and without including in the contract standard language giving FEMA title and ownership of the photographs. As a result, the photographer was able to copyright 30,000 photographs and 34 minutes of video of Ground Zero that he took from a New York City Police Department helicopter while also receiving \$300,000 from FEMA and the DDC. He sold 36 of the photographs to LIFE Books, which printed them in a 2002 book. A lawyer for the photographer reportedly sent New York City a letter warning that it could not use the photographs without the photographer's permission.⁵³

According to an interview the photographer gave to LIFE Books, a representative from FEMA called the photographer at 2:00 a.m. on September 15, 2001, after spotting his ad in a phone book, and asked if he had ever taken aerial photographs. LIFE Books quoted the photographer as saying:

I said "yes," and we all know now that I had never taken aerial photos before. I guess the reason I said yes was because I have gotten all kinds of strange calls from my photography business ad in the yellow pages. When you have a yellow pages ad in New York City, you can just imagine the kind of calls you might get."⁵⁴

FEMA could not identify the FEMA employees responsible for awarding the contract. FEMA did not offer a satisfactory answer to the Subcommittee's repeated queries about whether FEMA typically includes clauses in contracts ceding title and ownership to the agency,⁵⁵ though Mr. Joe Picciano, Deputy Director for the FEMA regional office that includes New York, testified before the Sub-

⁵² Subcommittee Staff Briefing with the Honorable Richard L. Skinner, Inspector General, Department of Homeland Security, June 28, 2006, in Washington, D.C. (hereinafter Skinner Briefing); White Telephone Interview, *supra* note 44. Mr. Skinner stated that debris removal poses challenges. Mr. White stated that the 9/11 debris removal was among the best ever run.

⁵³ Greg B. Smith, Shameful Abuse of 9-11 Footage, N.Y. Daily News, Feb. 12, 2006, at 6 (hereinafter Shameful Abuse of 9-11 Footage).

⁵⁴ Interview by Life.com with Gregg Brown, Photographer, New York, New York, available at <http://www.life.com/life/lifebooks/amspirit/brown.html> (last visited August 3, 2006).

⁵⁵ According to Adrian Sevier, FEMA does not engage in much direct contracting and does not have standard contract language. FEMA did not respond to Subcommittee Staff inquiries requesting additional information about FEMA contracting practices, generally, or the 9/11 aerial photography contract, specifically. In a subsequent telephone interview in April 2006, a FEMA representative said contractors are normally required to cede title and ownership of their work, but also said most photographers dealing with FEMA do not give up ownership of their photographs. Subcommittee Staff briefing with Mr. Adrian Sevier, Acting Counsel, Federal Emergency Management Agency, Mar. 24, 2006, in Washington, D.C.

Attachment 3

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, Scalmandre, 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.

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.

JOHN CHRISTOPHER PRATHER

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

Cprather@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY

2012 - 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.

MTA OFFICE OF THE INSPECTOR GENERAL, New York, NY

2008 - 2012

Deputy Inspector General, Investigation and Legal

- 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)

2002 - 2008

Deputy Attorney General in Charge

- 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

1999 - 2002

Deputy Chief, Criminal Division

- 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. # [REDACTED]; Joseph Igoe, Esq., New York State Thruway Authority, New York Division – Suffern, Suite 400, 4 Executive Boulevard, Suffern, N.Y. 10901, Tel. # [REDACTED]

(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. # [REDACTED]

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

BRADLEY J. BRESLIN

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

Bbreslin@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY

2012 - Present

Managing Director

- 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.

2007 - 2012

Attorney - Advisor

- 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. # [REDACTED])

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. # [REDACTED])

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. # [REDACTED])

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. # [REDACTED])

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. # [REDACTED])

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. # [REDACTED])

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. # [REDACTED])

JAMES A. BUSH

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

Jbush@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY

2012 - Present

Investigator

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

FEDERAL BUREAU OF INVESTIGATION, New York, NY

2009

Private Service Contract

- Monitor/Electronic Surveillance.

PASSAIC COUNTY PROSECUTOR'S OFFICE, New Jersey

1981 - 2008

Captain of Detectives (2006-2008)

- 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. # [REDACTED])

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 transitions.

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. # [REDACTED]

(National September 11 Memorial): Robert E. Van Etten, Inspector General, PANYNJ, 5 Marine View Plaza, Suite 502, Hoboken, N.J. 07030, Tel # [REDACTED]; Steven A. Pasichow, Port Auth OIG, 5 Marine View Plaza, Hoboken, NJ 07030; tel. # [REDACTED]

(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. # [REDACTED]

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

(Madison Square Garden): Gene Heaney, Senior Vice President, Madison Square Garden, 2 Penn Plaza, 14th Floor, New York, N.Y. 10016, Tel. # [REDACTED]

(Moynihan Station): Mehul J. Patel, Vice President, Development, Moynihan Station Development Corporation, 633 Third Avenue, 36th Floor, New York, N.Y. 10017, Tel. # [REDACTED]

(MTA East Side Access): William Goldstein, Executive Vice President, MTA Capital Program, 2 Broadway, New York, N.Y. 10004, Tel. # [REDACTED]

(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. # [REDACTED]

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. # [REDACTED]

(The LaQuila Group): Angelo Sisca, Vice President – Operations, LaQuila Group, 1590 Troy Avenue, Brooklyn, N.Y. 11234, Tel. # [REDACTED]

(Waldorf Demolition): Mike Marrone, Waldorf Demolition, 50 East Palisade Avenue, Englewood, N.J. 07631, Tel. # [REDACTED]

(MDG): Christopher Ferguson, Associate, Kostelanetz & Fink, LLP, Seven World Trade Center, 250 Greenwich Street, 34th Floor, New York, N.Y. 10007, Tel. # [REDACTED]

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. # [REDACTED]

(Skanska): Martin Flumenbaum, Partner, Paul Weiss Rifkind Wharton & Garrison LLC, 1285 Avenue of the Americas, New York, N.Y. 10019, Tel. # [REDACTED]

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

KEVIN J. MULLINS, CFE

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

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 1 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 1 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 # [REDACTED]; Steven A. Pasichow, Port Auth OIG, 5 Marine View Plaza, Hoboken, NJ 07030; tel. # [REDACTED]

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

(Madison Square Garden) – Gene Heaney, Senior Vice President, Madison Square Garden, 2 Penn Plaza, 14th Floor, New York, N.Y. 10016, Tel. # [REDACTED]

(Waldorf Demolition) – Mike Marrone, Waldorf Demolition, 50 East Palisade Avenue, Englewood, N.J. 07631, Tel. # [REDACTED]

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

(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. # [REDACTED]

JOSE L. VELAZQUEZ, JR., CPA, CFE

Mobile: [REDACTED]

Email: [REDACTED]

SUMMARY OF QUALIFICATIONS

- Detail-oriented accountant and fraud examiner with over ten years of diversified progressively responsible experience in forensic accounting, fraud investigation, external and internal audit and management advisory services.
- Superior skills in the identification and analysis of financial, operational, and qualitative data used to present determinations or recommendations to legal counsel, management, boards of directors and judiciary or regulatory agencies.
- Strong aptitude for research, interpretation, and application of GAAP, GAAS, SEC and other regulatory guidance on financial matters affecting businesses in various industries and situations.
- Advanced proficiency in the utilization of existing or emerging technologies, such as SQL, ACL, Concordance, Adobe, MS Office and other data mining/analytical tools for the detection and reporting of anomalous transactions and/or fraud.
- Demonstrated expertise in the preparation, review and approval of audit work papers, supporting schedules, charts, and other documentation to develop and report on financial metrics, reconstruct financial statements and quantify financial impact.
- Proven success in building and guiding teams in the development and implementation of best practices, policies, and procedures to improve process workflows for financial operations, forensic and internal audits, and complex fraud investigations.

PROFESSIONAL EXPERIENCE

Rutgers University, School of Dental Medicine
Manager, Student Receivables & Cash Collections

Newark, New Jersey
May 2011 – Present

Assess and mitigate risks associated with payment acceptance and other cash handling activities for professional dental school generating \$30 million annually in student and patient related revenues. Enhance organizational efficiency through process reengineering, development, implementation, and monitoring of effective operational policies and internal controls.

- Employ database and other related software such as MS Access, Oracle, and MS Excel to query, export, and consolidate data across multiple systems for the purpose of analyzing financial information, trend reporting, and the identification of anomalous transactions and potential fraud risk indicators.
- Develop best practices to aid in the detection and mitigation of significant fraud risks through participation on task forces and special projects. Draft detailed reports and presentations on complex, technical accounting matters geared at communicating significant issues and recommending appropriate solutions or courses of action to senior management.
- Supervise staff performing daily/monthly reconciliations to ensure accurate and timely reporting under strict deadlines.

Columbia University
Senior Auditor of Fraud – Office of Internal Audit

New York, New York
June 2010 – April 2011

Assumed lead role on internal fraud investigations and forensic audits. Drafted status reports to the chief audit executive and the Audit Committee of the Board of Trustees.

- Planned and conducted forensic and fraud audits within timelines stipulated by organizational standards. Investigated and quantified the impact of various policy and procedure violations, performed special projects upon request of the audit committee and/or management, and reported on compliance hotline complaint resolutions. Used ACL software as appropriate to identify unusual transactions or patterns of impropriety. Performed follow-up procedures as required by prior audit findings or management's recommendations.
- Drafted detailed reports on the status and effectiveness of internal controls for various units within the university. Communicate recommendations for enhancements to existing university policies and procedures intended to improve financial processes and to reduce opportunities for fraud, waste, and abuse.

Alvarez & Marsal, LLC

Manager – Dispute Analysis & Forensic Services
Senior Associate – Dispute Analysis & Forensic Services

New York, New York

November 2007 – March 2010
October 2006 – November 2007

Served as senior associate on multiple forensic accounting and fraud investigation assignments for international and domestic clients.

- Investigated whistleblower claims alleging FCPA violations by Latin American division of multinational pharmaceutical company; performed interviews of various personnel at Mexican facility to develop a thorough understanding of operations; elicited corroborative information and provided report of findings to in-house counsel.
- Performed reconstruction of complex financial transactions using discovery documents and publicly available information. Developed counterarguments in support of major U.S. bank facing \$10 billion claim filed by bankrupt multinational dairy company. Performed related forensic accounting tasks resulting in dismissals of significant claims, discrediting of expert witnesses, and eventual settlement between parties in litigation.
- Examined financial data collected from various source documents and electronic records in support of internal investigations for estate of investment firm subject of the largest bankruptcy in U.S. history. Analyses served as evidentiary support for multi-billion dollar claims filed against secured creditor of the estate as well as various smaller claims filed against other parties in excess of \$100 million.
- Prepared and facilitated national corporate training courses for software applications useful in conducting investigations and other applicable consulting engagements.

Deloitte Financial Advisory Services, LLP

Senior Associate – Forensic & Dispute Services
Associate – Forensic & Dispute Services

New York, New York

August 2004 – October 2006
September 2002 – August 2004

Provided forensic audit assistance and dispute consulting services tailored to respond to the specific needs of clients in various industries and situations.

- Assisted major U.S. banking client in retracing and analyzing \$250 million in unusual monetary transfers processed by international affiliate bank based in the UAE. Findings of forensic investigation resulted in favorable settlement proposed by adverse party and eliminated the need for lengthy and costly litigation.
- Investigated and determined money trail for unauthorized check disbursements issued from automotive supplier's corporate checking accounts (totaling over \$75,000). Identified key relationships between individuals allegedly involved, patterns and frequency of disbursements, and fraud schemes employed in concealing asset misappropriation. Quantified amount of embezzlement, advised client on significant, addressable control deficiencies, and made recommendations to management to aid in prevention and detection of similar fraud(s).

Performed quality control procedures for select, higher-risk audit clients in response to resolutions proposed by the Public Company Accounting Oversight Board and to ensure compliance with Sarbanes-Oxley.

- Reviewed prior year audit programs, performed fraud risk assessments, and recommended enhanced audit processes and procedures as necessary. Identified internal control deficiencies exposing risks of audit failure, financial statement misrepresentation, misappropriation or fraud. Assisted in drafting expert reports discussing findings and fact-based conclusions.

Managed and coordinated financial statement audit for clients in entertainment and financial industries.

- Led audit of U.S.-based subsidiary of international media/entertainment conglomerate and performed trend and variance analyses on multiple general ledger accounts. Presented results of forensic audits or investigations to audit committees, executive management, engagement management, or other bodies conducting investigations.

EDUCATION

Seton Hall University

M.S. in Professional Accounting

South Orange, New Jersey

8/2004 GPA: 3.50

B.S. in Business Administration, cum laude

5/2002 GPA: 3.48

Major: Accounting Minor: Criminal Justice

LANGUAGES

Advanced proficiency in spoken and written Spanish

CERTIFICATION AND PROFESSIONAL AFFILIATIONS

Certified Public Accountant, New Jersey (2009)

Certified Fraud Examiner (2008)

Member, Association of Certified Fraud Examiners, 2008 – Present

Member, American Institute for Certified Public Accountants, 2013 – Present

Member, The Institute of Internal Auditors, 2013 – Present

ROBERT (BOB) CECERE JR CCA, CFE

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

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)

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.

Arben Latifaj

OBJECTIVE: Seeking to begin a career where I can apply an accounting education in New York City.

EDUCATION:

Saint Joseph's University Haub School of Business
Bachelor of Science in Business Administration

Philadelphia, PA
2012

- Relevant Coursework: Cost Accounting, Intermediate Accounting I & II, Accounting Information Systems I, Financial Accounting Information Systems III, Tax, Special Topics in Federal Taxation, Audit, Forensic Accounting, International Accounting, Financial Statement Analysis, and Legal Environment of Business I & II.
- Currently studying with Becker CPA Review and plan to sit for the **CPA exam** with 142 credit hours.

Activities & Interests:

- PICPA 2009-2012
- Accounting Society 2008-2012
- Intramural Sports 2008-2012

Xavier High School
High School Diploma

New York, NY
2008

Activities & Interests:

- Football Team 2005-2008
- Junior Recruit Officer Training Corps (JROTC) 2004-2008

EXPERIENCE:

K2 Intelligence
Contractor

New York, NY
July to August 2013

- Analyst on an AML / Compliance project.
- Worked with the Actimize system to review OFAC alerts.

Harvard Maintenance Inc.
Summer Relief

New York, NY
July to August 2010

- Replaced staff members on vacation in various locations in New York City for the maintenance company (including the UNICEF building at the United Nations).
- Performed assigned duties with minimal supervision.

PROFESSIONAL KNOWLEDGE & INTERESTS:

- Proficient with MS Office, Adobe Photoshop, Windows, iOS, Actimize, Lexis Nexis, and the Internet.
- Fluent in English, Albanian, and Basic Knowledge of Italian.
- SAP knowledge (Certified May 2010).
- Detail oriented with exceptional communication and organizational skills.
- Strong interest in computer technology and very adept at learning new software programs & applications.
- Other: Traveling, Sports, Technology, Literature, Fitness, International Affairs.

Philippe Larock

THACHER ASSOCIATES, LLC, New York, NY

November 2012 - Present

Forensic Auditor

- Perform audits and integrity monitorship activities for the NYC Rapid Repair Project.
- Identified overbillings and worked with construction managers and project managers to remedy issues.
- Conduct investigations to prevent and detect fraud in billing requisitions.
- Analyze certified payroll reports, union benefit records, timesheets, payroll and various financial documents to ensure proper compliance with prevailing wage guidelines.
- Draft various reports and analyses requested by clients.
- Perform review of M/W/DBE firms to verify legitimacy and compliance with applicable laws and guidelines.
- Perform site visits to verify work in place against billings.
- Analyze work orders and time and material tickets to ensure accuracy of invoices from prime contractors and subcontractors.

1199 SEIU, New York, NY

April 2012 - November 2012

Financial Research Analyst and Consultant

- Performed an investigation into internal control weaknesses of a department with income totaling over two billion dollars annually.
- Conducted payroll audits of employers & participants and presented audit findings to senior management and external auditors.
- Worked to integrate and reconcile ten years worth of data into a new analytic system.
- Reviewed and performed quality control tests on payroll processing procedures and compared them against collective bargaining agreement parameters.
- Maintained and updated payroll tracking reports.
- Helped design and conduct control improvement activities, tracked results, and recommended corrective action for problems, irregularities and anomalies.

NEW YORK STATE ASSEMBLY, Albany, NY

January 2010 - July 2010

Clerk of the Banks Committee

- Managed and coordinated the distribution of legal bills before the Committee in order to move them forward through the legislature.
- Maintained correspondence with elected officials and constituents regarding bills before the committee.

SHOWPAPER, Brooklyn, NY

January 2009 - December 2010

Consultant and Accountant

- Established an accounting system for this not-for-profit organization.
- Maintained all original books of entry and general ledger accounts.
- Audited receipts and charitable income totals for fundraising events.

EDUCATION

John Jay College of Criminal Justice, New York, NY

BS, Economics, Dec. 2011

Borough of Manhattan College, New York, NY

AS, Accounting, Dec. 2009

JAMES P. MURPHY

330 West 42nd Street, New York, New York 10036 (212) 845-7539

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. # [REDACTED]

(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. # [REDACTED]

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

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

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

ERIC J. PALUMMIERI

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

Epalummieri@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY

2012 - Present

Forensic Engineer

- 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

2011 - 2012

Construction/Project Manager

- 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

2010 - 2011

Business Development/Sales Specialist

- 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

2005 - 2010

Mechanical Project Engineer/Manager

- 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. # [REDACTED])

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. # [REDACTED])

Ilven Shyti

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.

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 HAZWHOPPER (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

Junior Equity Trader February 2008 – February 2010

Manhattan, NY
(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

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

Manhattan, NY
(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

Lirdi Mexhitaj

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)

ROBERT D. ELLMAN

330 West 42nd Street, New York, New York 10036 (212) 845-7502

Rob@ThacherAssociates.com

THACHER ASSOCIATES, LLC, New York, NY

2001 - Present

Senior Research/Analyst

- 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. # [REDACTED]

(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. # [REDACTED]

(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. # [REDACTED]

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

(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. # [REDACTED]

(The LaQuila Group): Angelo Sisca, Vice President – Operations, LaQuila Group, 1590 Troy Avenue, Brooklyn, N.Y. 11234, Tel. # [REDACTED]

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

(PJ Mechanical): Robert Joyce, Port Authority OIG, 5 Marine View Plaza, Hoboken, NJ 07030; tel. # [REDACTED]

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.

LAUREN LEE

Professional Experience

BLACKSTONE

May 2013 to Present

New York, NY

Part-Time Executive Assistant (Temporary Position)

- ❖ Manage Calendar for the Global Head of HR
- ❖ Screen all incoming calls
- ❖ Responsible for efficiently processing invoices for the HR Department
- ❖ Maintain confidential employee files

DAVID LEVY DIAMONDS & FINE JEWELS

January 2010 to Present

New York, NY

Part-Time Executive Assistant/Office Manager

- ❖ Efficiently manage a diversity of business and administrative functions in a fast-paced deadline-driven environment
- ❖ Screen all incoming calls, manage client email correspondence
- ❖ Schedule all meetings with high profile customers, and update owners' office calendar ensuring efficiency
- ❖ Build and cultivate customer relationships and handle initial inquiries
- ❖ Utilize gemology background to field customer inquiries
- ❖ Prepare and handle highly confidential and personal information for current and potential customers
- ❖ Maintain integrity and control of diamond inventory and financial records for quality assurance
- ❖ Reconcile vendor accounts
- ❖ Order and maintain office supplies

ARGOSY PARTNERS – Executive Search Firm

January 2005 to December 2009

New York, NY

Executive Assistant/Office Manager

- ❖ Prepared proposals and created marketing materials
- ❖ Managed all accounting functions, including accounts payable and receivable, while managing multiple tasks and projects
- ❖ Screened all incoming calls for perspective candidates, assessing the person's qualifications/need and introducing them to the appropriate recruiter
- ❖ Extensive interaction with candidates
- ❖ Maintained candidate database to ensure information was accurate and current
- ❖ Managed complex calendar(s) for CEO and Partners
- ❖ Coordinated all domestic and international travel

M. FABRIKANT & SONS

February 2003 to December 2004

New York, NY

Gemologist

- ❖ Built and maintained customer relationships
- ❖ Maintained integrity and control of diamond inventory and financial records
- ❖ Created jewelry layouts
- ❖ Assisted in the sales process

Education

SUFFOLK UNIVERSITY – Boston, MA

May 2000

Bachelor of Art in English *Cum Laude*

THE GEMOLOGICAL INSTITUTE OF AMERICA – New York, NY

January 2003

Graduate Gemologist

Skill Highlights

Microsoft Office (Word, Excel, PowerPoint, Outlook) & QuickBooks

Interests

Cooking/Baking, Traveling, Reading

Attachment 4

