

## EMTA WEBINAR: Update on EM Sanctions

March 18, 2021

~ ~ ~ ~ ~

**KEN RIVLIN (MODERATOR)**  
**Allen & Overy**

Ken Rivlin, a long-time partner in A&O's New York office, is Global Co-Head of the Firm's International Trade and Regulatory Law Group and heads the Firm's Global Environmental Law Group.

Mr. Rivlin and his team handle a broad range of regulatory and environmental issues in transactions, stand-alone compliance matters, and disputes. Particular areas of expertise include economic sanctions, anti-bribery and anti-corruption compliance, public disclosure requirements, environmental and toxic tort risk, climate change, supply chain management, Exon-Florio / CFIUS, and general business risk management.

He serves on several non-profit boards, including as President of the Board of the Human Needs Food Pantry of Montclair, and as Chair of the Advisory Council for the Institute at Brown (University) for Environment and Society. He also has for many years been a Lecturer-in-Law at Columbia Law School.

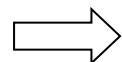
**PAUL MARQUARDT**  
**Cleary Gottlieb Steen & Hamilton**

Paul Marquardt is a partner in the Washington office of Cleary Gottlieb, focusing on financial crimes and foreign investment review. He is recognized by national and international publications as a leading practitioner in both economic sanctions and reviews by the Committee of Foreign Investment in the United States (CFIUS). He regularly advises international clients regarding the application of U.S. sanctions and anti-money-laundering laws, as well as in export control and anti-corruption matters, interacting regularly with OFAC, FinCEN, the U.S. Departments of Justice and State, the Bureau of Industry and Security, the World Bank, and other domestic and international regulators. His practice includes diligence, advisory, compliance, internal investigations, and enforcement matters.

Paul also has extensive experience in national security reviews by CFIUS, as well as related issues such as mitigation agreements, regulation of classified contracts, and national security reviews in other jurisdictions. His practice spans a wide range of industries and acquirors, including state-owned entities.

Paul joined Cleary Gottlieb in 1995 and became partner in 2003. From 1998 to 2002, he was resident in the Brussels office. He is a graduate of the University of Michigan, Yale University, and the Yale Law School.

(continued)



**DANIEL RUZUMNA**  
**Patterson Belknap Webb & Tyler**

Daniel Ruzumna is a Partner in the Firm's Litigation department and Co-Chair of its White Collar Defense and Investigations group. His extensive trial experience has earned him a "Litigation Star" for New York recognition by Euromoney Institutional Investor PLC's *Benchmark Litigation*, where a peer described him as "*phenomenal*" and "*always prepared, zealous and careful, just a terrific trial lawyer.*" He has been recognized by *Chambers US* in the area of white-collar criminal defense and investigations. The guide notes that Mr. Ruzumna "earns praise for his ability to handle both criminal and civil disputes." Clients describe him as "*an excellent strategist who thinks steps ahead.*" He is "*very smart, extremely thorough, and passionate about the matters he works on.*"

Mr. Ruzumna's practice focuses on the areas of white collar criminal defense and related regulatory proceedings, internal investigations, asset forfeiture proceedings, and complex financial litigation. He has represented corporations and individuals in many recent high-profile criminal and regulatory investigations involving alleged violations of the securities laws, antitrust laws, tax laws, and Foreign Corrupt Practices Act. Mr. Ruzumna regularly conducts confidential investigations on behalf of clients, including a professional sports league, higher education institutions, financial firms, and life sciences companies. He has also represented clients in high stakes appeals and arbitrations. Mr. Ruzumna also handles high end art-related matters, including litigation, arbitration, and investigations.

Mr. Ruzumna is a frequent commentator on issues of criminal law, U.S. economic sanctions, and asset forfeiture, and is often interviewed for television and newspaper stories on white collar criminal issues. He has appeared on Bloomberg Television and an affiliate of CNBC to discuss the insider trading laws and prosecutions involving alleged violations of the securities laws. Mr. Ruzumna also serves as counsel to the Anti-Money Laundering and Financial Crimes Committee of the Securities Industry and Financial Markets Association (SIFMA), with a focus on anti-corruption compliance issues.

Before joining Patterson Belknap in 2005, Mr. Ruzumna spent six years working at the United States Attorney's Office for the Southern District of New York, where he last served as Acting Chief of the Major Crimes Unit, a unit of more than 20 federal prosecutors dedicated to investigating and prosecuting economic crimes and financial frauds. As a federal prosecutor, Mr. Ruzumna investigated and prosecuted white collar criminal cases involving bank fraud, mail and wire fraud, health care fraud, securities fraud, criminal tax violations, and money laundering. He also prosecuted organized crime and handled civil and criminal asset forfeiture actions. In 2004, Mr. Ruzumna received the Department of Justice's highest honor, the John Marshall Award for Asset Forfeiture, and acted as a lecturer and instructor of trial advocacy at the Department's National Advocacy Center.

After graduation from law school, Mr. Ruzumna served as a Law Clerk to the late Hon. Jay C. Waldman, United States District Court for the Eastern District of Pennsylvania. Mr. Ruzumna then spent almost four years in private practice in Washington, D.C., before becoming a federal prosecutor.

**KATHERINE STOLLER**  
**Shearman & Sterling**

Katherine Stoller, counsel in Shearman & Sterling's Litigation practice, has served as counsel to numerous global financial institutions in criminal and regulatory resolutions of money laundering and sanctions-related investigations.

Ms. Stoller has wide-ranging experience involving white-collar criminal defense, internal investigations, regulatory enforcement matters, and securities and other complex litigation. Her practice focuses on the representation of corporations, financial institutions, and individuals in investigations involving allegations of securities fraud, money laundering, economic sanctions violations, price fixing, accounting fraud, insider trading and the False Claims Act.

She has represented companies and individuals under investigation by the U.S. Department of Justice, the Securities and Exchange Commission, the Federal Reserve Bank of New York and the Office of Foreign Assets Control.

She frequently represents financial institutions in parallel regulatory and criminal investigations, and represents clients located outside the United States in cross-border litigation as well as enforcement investigations.

**ALEXANDRE MANFULL**  
**US Treasury Department**

Alexandre Manfull is the Assistant Director for OFAC's Sanctions Compliance & Evaluation (SC&E) division. A former banker, he joined OFAC in 1997 with a background in correspondent banking, and domestic and international operations. He has also worked extensively on cash management, and trust and securities issues.

In his current role, he manages all aspects of SC&E including: providing guidance on the applicability of OFAC-administered sanctions to financial institutions and the international trade community, engaging in outreach to the domestic and international financial services community, and managing OFAC's financial sector enforcement process.