

Locke  
Lord<sup>LLP</sup>

# White Collar

Criminal Defense & Internal Investigations Practice



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Practical Wisdom, Trusted Advice.

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Locke Lord's white collar criminal defense and internal investigations practice has an unparalleled and unique group of lawyers, including two former U.S. Attorneys, with major case experience who provide vital representation to clients during regulatory action, investigations, and litigation related to their companies.

Locke Lord LLP is entrepreneurial in recognizing the need for a white collar practice to help clients navigate within today's highly regulated business environment. Our experienced and diverse team represents corporations, its officers and employees in white collar criminal matters and internal investigations. Our white collar lawyers counsel clients around the United States and throughout the world in some of the most highly regulated industries including energy, health care, environmental, insurance and banking.

Paul Coggins, Chair of the Firm's white collar practice, and Tim Johnson are both former U.S. Attorneys who ran two of the largest offices in the United States. In addition, we have former members of the SEC who can navigate clients through the most complex legal issues using their years of experience from working inside the government.

We strive to investigate and thoroughly understand the nuances of each case, working to resolve matters before criminal charges are ever filed. Our white

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*Our lawyers have years of experience in the Foreign Corrupt Practices Act (FCPA), antitrust enforcement, public corruption, health care fraud, export and import criminal violations, bank fraud, commercial bribery, money laundering, forfeitures and computer fraud.*

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collar lawyers work closely with Firm lawyers in other specialties to ensure a full service approach to these traditionally controversial and sometimes high profile cases. We help clients with grand jury investigations, public relations, and strategic planning all the way through to aggressive courtroom defense, if necessary.

The depth of our internal investigation experience covers a broad range of topics, including financial accounting, federal securities laws and regulations, transactions with related parties, FCPA violations, regulatory compliance and shareholder derivative demands.

**Paul Coggins**

Partner and White Collar Practice Chair  
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Paul Coggins was the U.S. Attorney for the Northern District of Texas from 1993-2001. His practice focuses on white collar criminal defense, and he has represented numerous Fortune 500 clients in high stakes litigation before federal courts and the SEC. Some of his achievements include prosecuting one of the first federal “three strikes and you’re out” cases in the United States; prosecuting a complex case brought under the federal Economic Espionage Act; stamping out one of the United States’ largest immigrant smuggling rings; building one of the United States’ first health care fraud task forces; prosecuting the first anthrax-hoax case in the United States; and representing the State of Texas in a massive 20-year-old class action lawsuit that he helped bring to settlement.

Mr. Coggins conducts internal investigations involving alleged tax fraud and securities violations. In addition, he develops compliance and ethics programs for public bodies, corporations and other business entities.

**Tim Johnson**

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**Tim Johnson** is head of the Firm’s white collar criminal defense and internal investigations practice in the Houston office and a former U.S. Attorney for the Southern District of Texas. He represents corporate clients in criminal matters and is a frequent lecturer on FCPA and other areas of federal criminal interest.

As U.S. Attorney from 2008-2010, Mr. Johnson led one of the largest U.S. Attorney’s offices in the United States which investigated and prosecuted corrupt public officials and law enforcement officers, online child predators, violent and repeat offenders, organized crime involving immigration and narcotics violators, firearms smugglers and white collar offenders engaged in fraudulent activity ranging from identity theft, Medicare, Medicaid, and FEMA fraud to mortgage fraud and environmental crimes. In civil litigation, he led the office to secure large settlements in a number of False Claims Act matters and represented the United States in the border fence litigation.

Mr. Johnson was First Assistant U.S. Attorney from 2006-2008 after almost two decades of being in private practice where he represented individuals and corporations in matters before the United States and its various agencies. From 1977-1985, he was a special agent with the Intelligence Division and later the Criminal Investigation Division of the IRS.

**C.W. (Peter) Flynn**

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**Peter Flynn** has worked on behalf of public companies and broker-dealers in the area of securities litigation for the past 30 years. He was formerly an attorney with the Trial Unit of the SEC’s Division of Enforcement in Washington, D.C. He has substantial experience defending securities class action suits and has represented companies and individuals in SEC and other regulatory investigations. Mr. Flynn also is experienced in securities and commercial arbitration, and he has represented clients in arbitration proceedings before panels of FINRA and the American Arbitration Association.



**Berne C. Kluber**

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**Berne Kluber** specializes in international trade transactions and helping clients comply with international trade laws and regulations. Whether buying or selling internationally, U.S. companies and their subsidiaries must comply with U.S. trade laws such as the Export Administration Regulations (“EAR”), the International Traffic in Arms Regulations (“ITAR”), U.S. economic sanctions regulations, trade embargos, customs laws, and anti-corruption laws such as the FCPA and the UK Bribery Act of 2010. Mr. Kluber uses his background in these areas to help clients implement practical compliance programs that fit their business model. When problems occur, his experience with internal investigations helps his clients find, fix and resolve the problems quickly and efficiently.



**Kiprian Mendrygal**

Partner

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**Kiprian Mendrygal** has represented a number of public companies, private entities and high-profile individuals before most major state and federal law enforcement and investigative agencies, including the Texas Attorney General, the IRS, the FBI, the DEA, the FDA, the FDIC, the Texas Department of Health, the Department of Health and Human Services, the United States Secret Service, FINRA and the SEC. Mr. Mendrygal represents clients who have been involved in a variety of confidential and highly sensitive investigations, including those with allegations of counterfeiting, money laundering, insider trading, violations of state and federal Anti-Kickback statutes, violations of the Foreign Corrupt Practices Act, perjury, bribery of public officials, misappropriation of public funds, wire/mail fraud and a variety of other financial crimes.

Mr. Mendrygal also conducts internal investigations for public and private companies, as well as taxpayer-funded entities, involving a wide array of issues, including alleged tax fraud, theft of public funds, financial frauds, and securities violations.

**Allison O'Neil**

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**Allison O'Neil** concentrates her practice on complex commercial litigation and white collar criminal defense. Her clients include businesses, executives, and professionals in financial services and other regulated industries. She regularly represents companies and individuals on matters before the Securities Exchange Commission and the Department of Justice. Ms. O'Neil also has extensive experience in the litigation of employment issues, business torts, contract disputes, and fiduciary duty claims arising in closely-held companies and partnerships. She has successfully briefed and argued cases in the Massachusetts Appeals Court and the Supreme Judicial Court of Massachusetts. With extensive trial experience in a variety of criminal matters in state and federal courts as well as in crisis management and media and government relations, she is uniquely suited to represent clients who face complex civil disputes with related criminal issues, including commercial crimes. As a former Middlesex County Assistant District Attorney, Ms. O'Neil prosecuted a wide variety of matters, including fraud, and civil rights cases in Superior Court.

**Kelly Vickers**

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**Kelly Vickers** focuses on white collar criminal defense and internal investigations, complex commercial litigation and securities litigation. She has represented numerous companies and individuals, mostly in federal court and before governmental agencies.

In the area of white collar criminal defense, Ms. Vickers has represented a number of companies and individuals before federal courts and investigative bodies, including the SEC, FEC, IRS and DOJ. In addition, she has conducted and has represented witnesses in connection with internal investigations involving a wide array of issues, including stock back-dating, fraud allegations, including tax fraud, mortgage fraud, wire/mail fraud, commercial bribery, FCPA, environmental issues and securities violations. Ms. Vickers also assists clients with compliance issues related to political and charitable contributions.



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