

THE ALABAMA CHAPTER OF THE ASSOCIATION OF CERTIFIED FRAUD EXAMINERS

AND

THE UNIVERSITY OF ALABAMA @ BIRMINGHAM SCHOOL OF BUSINESS

PRESENT OUR 5th ANNUAL TRAINING SEMINAR

DATE: AUGUST 9TH AND 10TH 2012

TIME: 8:00 AM TO 4:40 PM

LOCATION: UNIVERSITY OF ALABAMA AT BIRMINGHAM¹

BEC 109

COST: \$50 PER DAY FOR NON-MEMBERS²

\$40 PER DAY FOR CHAPTER MEMBERS³

DAY ONE – “Fraud Trends 2012”

REGISTRATION: 7:30 am – 8:00 am

- “SECURITIES FRAUD” 8:00 am – 9:40 am
Presented by STEVE FEAGA, JD & ED REED, JD, Alabama Securities Commission
- “PHISHING INTELLIGENCE” 10:00 am – 11:40 am
Presented by GARY WARNER, UAB Research in Computer Forensics
- “PROCUREMENT FRAUD” 1:00 pm – 2:40 pm
Presented by ATHENA JONES, JD, CFE, HUD Office of Inspector General
- “FOREIGN CORRUPT PRACTICES ACT” 3:00 pm – 4:40
Presented by BILL ATHANAS, JD, Waller Lansden Dortch & Davis, LLP

DAY TWO – “Issues in Fraud Investigation 2012”

REGISTRATION: 7:30 am – 8:00 am

- “RISK, DANGER, & THE FRAUD EXAMINER” 8:00 am – 9:40 am
Presented by LYNN SHOBE, CFE, CFCI, Alabama Criminal Justice Information Center
- “IDENTIFYING AND COLLECTING DIGITAL EVIDENCE” 10:00 am – 11:40 pm
Presented by RUSSELL YAWN, CFCE, Electronic Crime Technology Center of Excellence - NIJ
- “LEGAL ISSUES IN FRAUD EXAMINATION” 1:00 pm – 2:40 pm
Presented by JEFF WINDHAM, JD, CFE, Forensic Strategic Solutions
- “COWBOY ETHICS: FRAUD EXAMINERS & THE CODE OF THE WEST” 3:00 pm – 4:40 pm
Presented by LYNN SHOBE, CFE, CFCI, Alabama Criminal Justice Information Center
(with permission from Jim Owen and the Center for Cowboy Ethics and Leadership)

Inspired by the best selling book “Cowboy Ethics: What Wall Street Can Learn From the Code of the West” this presentation will show how fraud examiners can benefit from these ten principles to live by.

¹ Business and Engineering Complex room 109. Note that UAB will not be holding regular classes on these days so free parking is available to attendees in **Lot 15R**.

² Attendees may register for one or both days. Each day is limited to a maximum of 70 participants so early registration is encouraged. Lunch will not be provided on either day.

³ Membership in the local chapter requires 1) Membership in the ACFE, 2) Payment of annual dues of \$15 due August 1 of each year.

FRAUD SEMINAR 2012

REGISTRATION FORM

Please complete the following registration form and mail with your payment to:

Association of Certified Fraud Examiners – Alabama Chapter
P.O. Box 10665
Birmingham AL 35202

Tax ID #: 26-3028732 E-Verify #: 579108

Name:

Address:

City, State, Zip:

Phone:

Email:

Session Selection:

_____ Registration for Day One⁴ - \$50

_____ Registration for Day Two⁵ - \$50

_____ Annual Membership Dues for August 1, 2012 through July 31, 2013 - \$15

_____ Member Discount – Day One (-\$10)

_____ Member Discount – Day Two (-\$10)

_____ Total Due

⁴ August 9, 2012 session entitled "Fraud Trends 2012" Attendees may register for one or both days. Each day is limited to a maximum of 70 participants so early registration is encouraged. Lunch will not be provided on either day.
⁵ August 10, 2012 session entitled "Issues in Fraud Investigation 2012." Attendees may register for one or both days. Each day is limited to a maximum of 70 participants so early registration is encouraged. Lunch will not be provided on either day.

ABOUT OUR SPEAKERS:

BILL ATHANAS, JD, is a partner at Waller Lansden Dortch & Davis, LLP, and is based in the firm's Birmingham office. Over the course of his sixteen year legal career, he has handled a wide range of complex litigation matters in numerous jurisdictions around the country, focusing on white collar criminal cases and commercial litigation. His practice primarily involves counseling clients in response to criminal and regulatory investigations in the areas of banking, healthcare, and securities law. He also represents bank directors and other institution-affiliated parties in class action matters, as well as civil litigation and enforcement proceedings brought by the FDIC. In addition, his practice extends to all facets of the Foreign Corrupt Practices Act, including compliance program counseling, internal investigations, and responding to government investigations. Previously Mr. Athanas served as a federal prosecutor, first at the United States Department of Justice in Washington, D.C. and later as an Assistant U.S. Attorney in the Northern District of Alabama. In that capacity, he investigated and prosecuted a wide range of crimes including bank, mortgage, tax, securities and other financial fraud, as well as public corruption, foreign bribery, money laundering, and structuring offenses. In the eight years that Mr. Athanas served as a federal prosecutor, he handled countless matters on behalf of the government and has a wealth of experience at all stages of federal criminal proceedings, including grand jury investigations, evidentiary hearings, trials, sentencing, and appeals. While serving in the Justice Department's Fraud Section, Mr. Athanas managed large, multi-year grand jury investigations in Alabama, Florida, Utah, and Missouri and tried cases charging bank, mail, wire, and tax fraud, as well as violations of the Foreign Corrupt Practices Act.

STEPHEN FEAGA, JD, was appointed Deputy Director for Enforcement and Prosecution, Alabama Securities Commission, in February 2012. He received his Bachelor of Science Degree in Accounting from the University of Alabama in 1978, graduating with Accounting Honors, and his Juris Doctor Degree from Samford University in 1981. Previously Feaga served in the U.S. Department of Justice as an Assistant United States Attorney for the Middle District of Alabama. He personally litigated and supervised criminal litigation in all phases of criminal prosecution for the U.S. Government involving violations of federal and state securities, banking and insurance laws and other federal and state statutes applicable to business-related crimes. He has worked in close coordination with federal, state and local law enforcement agencies, in-state and out-of-state, U.S. Attorneys, District Attorneys and the Alabama Attorney General. Prior to his service as Assistant U.S. Attorney, Feaga served as Deputy Attorney General for the State of Alabama as Chief of the Special Investigations and Litigation Division. He was responsible for coordinating statewide prosecution of securities fraud and securities regulatory offenses, bank fraud, extortion, theft of property and ethics violations between the Attorney General's Office, District Attorneys and the Alabama United States Attorney's Office. Feaga's professional career also included serving as Assistant District Attorney, Chief of White Collar Crime Division, for Montgomery County, Alabama. Feaga served his country in the United States Air Force Judge Advocate General's Department Area Defense Council stationed at Lackland Air Force Base, Texas; and, as Chief of Military Justice, 6960th Electronic Security Wing at Kelly Air Force base, Texas. After leaving active duty, Feaga remained in the U.S. Air Force Reserve, serving in various positions and finally as an adjunct faculty member at the Judge Advocate General's School, Maxwell Air Force Base in Montgomery where he retired as a full Colonel in 2011 after 33 years of military service.

ATHENA R. JONES, JD, CFE, is a senior attorney advisor in the HUD Office of Inspector General, Washington DC. She transferred to the OIG from her position as Assistant General Counsel for Ethics at HUD. Prior to joining HUD, Ms. Jones enjoyed a career in the United States Air Force and retired in the grade of Colonel. Ms. Jones received a Bachelor of Arts Degree in English from the University of Oklahoma, a Juris Doctorate from Oklahoma City University School of Law and a Master of Business Administration from Texas Woman's University. She also completed an Executive Development, Lawyers in Leadership, program at Southern Methodist University. Ms. Jones was recently awarded a Special Team Award for her participation in the Bank of America Foreclosure Process Review. This review led to the identification of potentially thousands of false claims totaling more than 2.8 billion dollars. Ms. Jones has received numerous military awards including a Legion of Merit. Ms. Jones is licensed to practice law in Oklahoma and Texas and is a Certified Fraud Examiner.

EDWIN REED, JD, is the Deputy Director for Administration, Alabama Securities Commission, where he assists the Director with administrative responsibilities in the overall operation of the Commission. From 2009 to 2012 Reed was appointed Deputy Attorney General and General Counsel for the Alabama Securities Commission. In these capacities, he advised, investigated, and prosecuted illegal and fraudulent actions surrounding the sales of securities throughout the state of Alabama. Reed has been with the Commission since 1993, when he started as an analyst trainee. He served as an analyst for three years until appointed Securities Registration Manager in 1997. While serving as Registration Manager, Reed attended Jones School of Law graduating with a Juris Doctor in December of 1999. In 2002 Reed was appointed to the position of Associate Counsel. Reed has served on numerous committees associated with the North American Securities Administrators Association which represents the 50 state securities regulators, the District of Columbia, Puerto Rico, Mexico and Canada. On these committees he has assisted in the development of uniform state rules for the regulation of investment advisers, the development of a uniform Investment Adviser Exam Module and has assisted in the development of a comprehensive training program for the examination and auditing of Investment Advisers.

LYNN SHOBE, CFE, CFCI, is an Agent in the Field Operations Division of the Alabama Criminal Justice Information Center. Shobe is a retired criminal investigator with the United States Treasury Department, Office of Inspector General for Tax Administration (formerly the IRS Inspection Service) with over twenty years service. At the time of his retirement Shobe was assigned as senior resident agent, Birmingham, Alabama. He holds a Bachelor of Science in Criminal Justice from the University of Tennessee at Martin, and a Master of Arts in Management from Webster University, St Louis, Missouri. Agent Shobe has over thirty-eight years of law enforcement experience including eight years at the local level, and over five in the U.S. Army. Before assuming his former position with the Treasury Department, he served as Chief, Economic and Computer Crime Branch, U.S. Army Military Police School, Ft McClellan, Alabama. Shobe continued his military service in the U.S. Army Reserve where he retired as a Major in December 1998. During this period Shobe served as Operations Officer and Deputy Commander, U.S. Army Criminal Investigations Laboratory, Ft Gillem, Georgia. Additionally, Shobe serves on the faculty of Faulkner University in the Criminal Justice program, as well as the University of Alabama at Birmingham in the Forensic Accounting program. He is an active member of several professional organizations including the International Law Enforcement Educators and Trainers Association, the Association of Certified Fraud Examiners, the American Society for Industrial Security, and the International Association of Financial Crimes Investigators.

GARY WARNER, is the Director of Research in Computer Forensics for the University of Alabama at Birmingham, specializing in computer security, phishing and network intrusion. As UAB's first director of Research in Computer Forensics, corporations and law enforcement agencies frequently seek Warner out to assist in cases of spam, network intrusion and phishing. He shares his expertise and information with both the U.S. Department of Homeland Security and the Federal Bureau of Investigation (FBI). In 2003, he was elected to the national board of directors of InfraGard, a partnership between corporate security personnel and the FBI. He has presented on dozens of topics related to computer security at local, regional and national security events and is an active member of the FBI's Digital PhishNet and AntiPhishing Working Group.

JEFF WINDHAM, JD, CFE, is an attorney and a Certified Fraud Examiner. He joined Forensic/Strategic Solutions, PC, formerly Summerford Accountancy, PC, after practicing law with a large Birmingham law firm. He specializes in fraud examinations, litigation consulting, and economic damage analysis. He has worked closely with both plaintiff and defense attorneys. Mr. Windham has professional experience with numerous industries including real estate, banking and finance, securities and investments, construction, automotive, technology, insurance, utilities, health care, restaurants, transportation, and non-profits. Mr. Windham served as a member of the Alabama Law Review in law school. Since that time, he provided training and written articles on both legal and business topics. Mr. Windham is involved in the Alabama State Bar and numerous alumni organizations for Samford University and the University of Alabama. He is also an avid volunteer and provides pro bono legal services in the Greater Birmingham Community. Windham earned a Bachelor of Science in Business Administration from Samford University in 1999, a Master of Accountancy from the University of Alabama in 2000, and his Juris Doctor from the University of Alabama School of Law in 2003.

RUSSELL YAWN, CFCE, is the Deputy Director, Electronic Crime Technology Center of Excellence, National Institute of Justice. Yawn is a career Alabama law enforcement officer, beginning his career with the Shelby County Sheriff's Office. From 2002 – 2011, Yawn served as Chief Investigator, Alabama Office of Prosecution Services, where he specialized in computer forensics, coordinated the state's computer forensics laboratories, and represented the Office of Prosecution Services at the National Computer Forensics Institute. Yawn served eight years as Director and Chairman of the Board, International Association of Computer Investigative Specialists.