



Daniel S. Ruzumna

Partner

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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 USA* in the area of Litigation: White-Collar Crime & 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*" and "*a brilliant trial lawyer.*" He "*is pleasure to work with and is adept at handling complex government investigations.*" Mr. Ruzumna is "*incredibly smart, attentive and always thinks outside the box.*" In recognition of his long history of excellence as a trial lawyer, Mr. Ruzumna was inducted into the American College of Trial Lawyers in 2021.

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 served 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, for over a decade.

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.

Admissions

- United States Supreme Court
- U.S. Court of Appeals, Second Circuit; Fourth Circuit
- U.S. District Court, Southern and Eastern Districts of New York; District of Columbia
- New York
- District of Columbia
- Illinois

Professional Activities

MEMBERSHIPS: Counsel to the Anti-Money Laundering and Financial Crimes Committee of the Securities Industry and Financial Markets Association (SIFMA); New York State Bar Association (Section of Commercial and Federal Litigation, Committee on White Collar Criminal Litigation); New York Council of Defense Lawyers; Fellow in the American College of Trial Lawyers

HONORS: Recognized in *Chambers USA* in the area of Litigation: White-Collar Crime and Government Investigations; named by *Super Lawyers* in the area of Criminal Defense: White Collar; Listed as a "Litigation Star" for New York in Euromoney Institutional Investor PLC's *Benchmark Litigation*; Recognized in *The Best Lawyers in America*® in the area of Criminal Defense: White Collar

Education

- University of Michigan Law School (J.D., *cum laude*, 1994)
 - Note Editor, *Michigan Law Review*
 - Bodman-Longley Award
- University of Michigan (B.A., *with high distinction*, 1991)

Representative Matters

White Collar Defense and Regulatory Enforcement

Defense of a major pharmaceutical company in connection with a U.S. Department of Justice investigation and False Claims Act litigation regarding alleged violations of the Anti-Kickback Statute.

Defense of a pharmaceutical manufacturer accused of off-label marketing in a False Claims Act action and the successful defense of an order dismissing the action before the U.S. Court of Appeals for the Fourth Circuit.

Representation of a generic pharmaceutical manufacturer in connection with federal and state investigations of alleged anti-competitive conduct in the pricing of drugs and allocation of market share.

Defense of an insurance brokerage firm charged with mail and wire fraud and ERISA violations by the U.S. Department of Justice relating to its receipt of contingent commissions and other compensation from insurance carriers.

Representation of a promotion/marketing company of tax-avoidance strategies in a U.S. Department of Justice investigation into allegedly unlawful tax shelters.

Defense of not-for-profit foundation in connection with civil asset forfeiture proceedings through which the U.S. Department of Justice seeks to forfeit assets valued at nearly \$1 billion.

Representation of a leading “expert network” research firm in connection with insider trading and Martin Act investigation by the U.S. Department of Justice and the N.Y. Attorney General’s Office.

Defense of a cleaning and maintenance company charged with fraud and record keeping violations by the N.Y. County District Attorney’s Office.

Defense of a “placement agent” firm in connection with investigations and an enforcement action conducted by federal and state securities regulators of the firm’s allegedly unlawful ties to state pension fund officials.

Representation of a not-for-profit organization threatened with debarment in connection with a U.S. Department of Justice and U.S. Department of the Interior investigation into the organization’s receipt and use of federal grant money.

Representation of a senior executive of an international retail chain in an investigation by the U.S. Department of Justice and Securities and Exchange Commission of alleged Foreign Corrupt Practices Act violations in Mexico and related derivative and shareholder actions.

Representation of the chief executive officer of a telecommunications company in connection with alleged violations of the Foreign Corrupt Practices Act.

Representation of an executive at an international airline in connection with the U.S. Department of Justice investigation into alleged price-fixing in setting fuel surcharges.

Defense of the administrator of certified home health agency in connection with a N.Y. Attorney General investigation of alleged Medicaid fraud.

Defense of an American architect facing federal charges of wire fraud and conspiracy and in connection with extradition proceedings brought on behalf of a foreign government.

Counseling and advisory work to an international insurance company regarding criminal forfeiture issues.

Internal Investigations

Internal investigation on behalf of a professional sports league of allegations that a player gambled on league games and “fixed” games in which he played. The investigation included review and analysis of sports betting data, social media, public data, and court filings, as well as in-person and virtual interviews. The investigation found no evidence supporting the allegations and closed the matter.

Representation of a university in connection with a data breach that resulted in hundreds of highly-confidential documents being leaked to a local newspaper and stories being run on the basis of the leaked materials.

FCPA investigation on behalf of a U.S.-based educational institution with operations in the Middle East regarding potential facilitation payments by third party contractors to foreign officials.

Multiple investigations on behalf of a professional sports league into alleged “tampering” by one member club with a player under contract with another club, into alleged “circumvention” of the league’s rules regarding its salary cap by member clubs, and into alleged domestic violence allegations against individuals.

Investigations of alleged financial improprieties by senior executives at various charitable and religious organizations.

Investigation on behalf of an international media company in connection with alleged improprieties in its performance and billing of a U.S. government contract to provide services.

Investigation on behalf of a foreign private equity firm regarding accusations that a principal was engaged in unlawful practices using the firm's facilities.

Complex Commercial Litigation

Defense of a health care company in three related False Claims Act actions in different jurisdictions; the relevant courts dismissed the actions and one court awarded attorney's fees.

Defense of a pharmaceutical manufacturer against False Claims Act claims brought by the Department of Justice alleging anti-kickback statute violations; the case resulted in a favorable settlement for the client.

Defense of a pharmaceutical manufacturer in a False Claims Act case involving allegations of off-label promotion; the district court dismissed all claims and the decision was affirmed on appeal.

Prosecution of breach of fiduciary duty and other claims on behalf of a Latin American telecommunications company against former controlling shareholder and managers relating to the theft of corporate opportunities and assets valued at hundreds of millions of dollars; by way of settlement, the company recovered the majority of the value of the contested assets.

Defense of a foreign corporation in breach of contract action involving complex issues of foreign law and the application of conflict of laws principles; the client achieved a favorable settlement.

Representation and counseling of a foreign private equity firm in connection with disputes with co-investors regarding ownership and control of jointly-owned assets; negotiations resulted in a favorable outcome after mediation.

Defense of bankers in federal litigation alleging \$750 million in damages arising out of the collapse of the subprime mortgage Collateralized Debt Obligations market; the case was resolved without liability to the clients.

Representation of financial adviser subject to litigation and arbitration arising from alleged misappropriation of assets, churning, and unsuitability claims; the case was resolved without liability to the client.

Art Litigation and Arbitration

Successful representation of a nonprofit foundation in an arbitration to settle disputes regarding contesting ownership of an Old Masters painting purchased at auction after attempts by the consignor to withdraw the consignment and cancel the sale.

Multiple representations of major national museums in connection with investigations by the Department of Justice and foreign and state prosecutors relating to allegedly stolen or misappropriated art works held in their collections.

Representation of a New York City museum in connection with claims by an overseas religious organization challenging the museum's ownership of a valuable manuscript allegedly stolen nearly a century earlier.

Representation of an international conglomerate in connection with claims against a major auction house related to the mishandling of a historically significant high-end automobile.

Representation of an art collector against potential criminal charges regarding possession of artwork alleged to have been stolen.