

UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF GEORGIA
ATLANTA DIVISION

DIEGO CERVANTES, Individually and)	Civil Action No. 1:18-cv-02551-AT
on Behalf of the Invesco 401(k) Plan)	
and All Others Similarly Situated,)	<u>CLASS ACTION</u>
)	
Plaintiff,)	DECLARATION OF JOHN C.
)	HERMAN FILED ON BEHALF OF
vs.)	HERMAN JONES LLP IN SUPPORT
)	OF APPLICATION FOR AWARD OF
INVESCO HOLDING COMPANY)	ATTORNEYS' FEES AND
(US), INC., et al.,)	EXPENSES
)	
Defendants.)	
)	
_____)	

I, John C. Herman, declare as follows:

1. I am a member of the firm of Herman Jones LLP. I am submitting this declaration in support of my firm's application for an award of attorneys' fees in connection with services rendered in the above-entitled action.

2. This firm is local counsel of record for plaintiff Diego Cervantes, Individually and on Behalf of the Invesco 401(k) Plan and All Others Similarly Situated.

3. The information in this declaration regarding the firm's time and expenses is taken from time and expense reports and supporting documentation prepared and/or maintained by the firm in the ordinary course of business. I am the partner who oversaw and/or conducted the day-to-day activities in the litigation and I reviewed these reports (and backup documentation where necessary or appropriate) in connection with the preparation of this declaration. The purpose of this review was to confirm both the accuracy of the entries on the reports as well as the necessity for, and reasonableness of, the time committed to the litigation. As a result of this review, reductions were made to time in the exercise of billing judgment. As a result of this review and the adjustments made, I believe that the time reflected in the firm's lodestar calculation for which payment is sought as set forth in this declaration are

reasonable in amount and were necessary for the effective and efficient prosecution and resolution of the litigation.

4. After the reductions referred to above, the number of hours spent on this litigation by my firm is 31.90. A breakdown of the lodestar is provided in Exhibit A. The lodestar amount for the attorney time based on the firm's current rates is \$29,578.50. The hourly rates shown in Exhibit A are the usual and customary rates set by the firm for each individual. At this time, our firm has no unrecouped expenses on this case.

5. The identification and background of my firm and its partners is attached hereto as Exhibit B.

I declare under penalty of perjury that the foregoing is true and correct.
Executed this 12th day of June, 2020, at Atlanta, Georgia.

/s/ JCH

JOHN C. HERMAN

EXHIBIT A

EXHIBIT A

Diego Cervantes v. Invesco Holding Company (US), Inc., et al.

No. 1:18-cv-02551-AT

HERMAN JONES LLP
Inception through 6/9/2020

<i>NAME</i>		<i>HOURS</i>	<i>RATE</i>	<i>LODESTAR</i>
Carlton Jones	A	3.7	525.00	1,942.50
John Herman	A	28.2	980.00	27,636.00
<i>TOTAL</i>		<i>31.9</i>		<i>29,578.50</i>

EXHIBIT B

HERMAN JONES LLP

Firm Overview

WE MEAN BUSINESS.



Attorneys at **Herman Jones LLP** bring decades of experience protecting their clients' interests and enforcing their rights. **Herman Jones LLP** attorneys have built a national reputation for handling complex, large stake matters. In the last ten years alone, **Herman Jones LLP** attorneys have helped their clients recoup in excess of **\$500,000,000**.

Both founding partners, **John Herman** and **Peter Jones**, have spent their careers working for some of the largest plaintiff and defense firms in the country. This background permits our attorneys to deliver to clients a unique perspective on large matters. In addition to having an extensive business litigation background involving hundreds of cases in federal and state courts around the country, our attorneys are known for their business judgment and board level counsel.

Herman Jones LLP attorneys have significant experience in the following areas:

- *Antitrust*
- *Class Actions*
- *Commercial Litigation*
- *Corporate Compliance*
- *Corporate Governance*
- *Intellectual Property*
- *Licensing*
- *Securities*
- *Shareholder Derivative Actions*
- *Technology and Venture Matters*
- *Venture Capital Transactions/Portfolio Company Representation*
- *Whistleblower Matters*

At **HERMAN JONES LLP**, we mean business.

Show your adversary that **you mean business**, too.

***Representative Matters
and
Landmark Cases***

HERMAN JONES LLP

REPRESENTATIVE MATTERS

Patent and Intellectual Property Litigation

SIPCO, LLC and IPCO, LLC – lead counsel for more than a decade for SIPCO, IPCO and the famous inventors David Petite and Edwin Brownrigg, who pioneered wireless mesh technology. I handled the licensing and litigation of patent portfolio of nearly 100 patents, negotiating almost 100 licenses and collecting revenues in excess of \$100 million.

3COM ETHERNET – lead counsel in representing owner of 3Com’s famous Parallel Tasking Technology patent portfolio, which garnered in excess of \$100 million in licensing fees, winning 2 separate jury trials.

FLASHPOINT – counsel to FlashPoint, a spin-off of Apple’s digital camera business, against multiple handset manufacturers. This portfolio recovered hundreds of millions in licensing fees.

PHILLIPS v. AWH – In the landmark U.S. Supreme Court case on claim construction, acted as lead counsel and settled the case for \$2.55 million.

BIOSEG INSTRUMENTS v. NAUTILIS -- In the landmark case in which the U.S. Supreme Court changed the standard for patent invalidity, represented plaintiff Biosig and settled case in 2018.

ADELOS v. HALLIBURTON, Case No. 9:16-cv-00119-DLC (D. Mont.). Lead counsel for Adelos, owned by the Consolidated Salish & Kootenai Tribes, in a patent infringement and conversion case in the U.S.D.C. for Montana, which settled on undisclosed terms in 2018.

HERMAN JONES LLP

Securities Matters

In re Orbital ATK, Inc., et al., Civil Action No. 1:16-cv-01031-TSE (E.D.Va.). One of the lead counsel in a securities class action before Judge Ellis in the U.S.D.C. for the Eastern District of Virginia in a case that was recently settled for \$108 million after the close of discovery. Believed to be the fourth-largest securities class action settlement in the history of the Eastern District of Virginia, the settlement provides a recovery for investors that is more than ten times larger than the reported median recovery of estimated damages for all securities class action settlements in 2018.

In re Community Health System, Inc. Shareholder Derivative Litigation, No. 3:11-cv-0489 (M.D. Tenn). In a shareholder derivative case in the U.S.D.C. for Middle District of Tennessee, primary counsel in case that was resolved after discovery for a record \$60 million in cash.

In re Exxon Mobil Corporation Securities Litigation, Civil Action No. 3:16-cv-03111-K. (Pending in the N.D. Tx.). Securities fund suit against Exxon for climate change accounting fraud, including a multi-billion dollar write-down of oil and gas reserves. We recently defeated a motion to dismiss and the case is in discovery.

In re HOME DEPOT Shareholder Derivative Litigation – in cases pending in Fulton County Superior Court, lead counsel for plaintiffs in shareholder derivative suits arising out of stock options backdating and Robert Nardelli's termination. The case was eventually settled for landmark corporate governance reforms, as well as attorneys' fees of \$14.5 million.



**LANDMARK CORPORATE GOVERNANCE REFORMS ACHIEVED IN
COMMUNITY HEALTH SYSTEMS**

Largest 6th Circuit Shareholder Derivative Recovery and Unprecedented Corporate Governance Reforms

On January 17, 2017, after more than five years of hard-fought litigation, **John C. Herman** and a team of attorneys obtained unprecedented corporate governance reforms on behalf of Community Health Systems, Inc. in a case against the company's directors for breaching their fiduciary duties by causing Community Health to develop and implement admissions criteria that systematically steered patients into unnecessary inpatient admissions, in contravention of Medicare and Medicaid regulations.

The governance reforms obtained as part of the settlement include two shareholder-nominated directors, the creation of a Healthcare Law Compliance Coordinator with specified qualifications and duties, a requirement that the Board's Compensation Committee be composed solely of independent directors, the implementation of a compensation clawback that will automatically recover compensation improperly paid to the company's CEO or CFO in the event of a restatement, the creation of an insider trading controls committee, and the adoption of a political expenditure disclosure policy. In addition to those reforms, \$60 million in financial relief was obtained, which is the largest shareholder derivative recovery ever in Tennessee and the Sixth Circuit.

At the final approval hearing, the Honorable Kevin H. Sharp commended Herman's firm, noting: "I think y'all have done a great job pulling this [settlement] together. It was complicated. It was drawn out, and a lot of work clearly went into this [case]. . . . I appreciate the work you all did on this." The judge further lauded the settlement as providing "benefit to the shareholders" that went "above and beyond money."

In re Community Health Sys., Inc. S'holder Derivative Litig., No. 3:11-cv-00489 (M.D. Tenn.)

HERMAN JONES LLP

U.S. ETHERNET INNOVATIONS, LLC v. TEXAS INSTRUMENTS

Successful Enforcement of Critical Patent Rights

John C. Herman has successfully enforced the intellectual property rights of client U.S. Ethernet Innovations, LLC (“USEI”) with two jury trial victories in federal court. USEI is the successor-in-interest to the famous and wildly successful Parallel Tasking technology developed by 3Com Corporation in the 1990s. 3Com’s Parallel Tasking patent portfolio covers technology related to the manner in which a computer or other similar device transmits data over an Ethernet network. The patented Parallel Tasking technology was critical to 3Com’s multi-billion dollar Ethernet business in the late 1990s and 2000s.

While **Herman** successfully enforced USEI’s intellectual property rights with a number of companies based on license agreements, one infringer, Texas Instruments Incorporated, refused to acknowledge USEI’s patents rights. Texas Instruments argued that the asserted claims of USEI’s Parallel Tasking patents were invalid because they were both anticipated and obvious in light of two prior art devices that were on sale more than a year before the Parallel Tasking patents were filed.

In April 2014, Texas Instruments presented its arguments with regard to the validity of the asserted claims to a Texas federal jury. Following a week-long trial before the Honorable Michael H. Schneider, the jury returned a verdict for USEI on all 3 asserted patents and all 14 of the asserted claims. The jury found that the asserted claims were neither anticipated nor obvious, moving the case toward a second phase of trial on infringement and damages. As explained by John Herman, who led the litigation team, shortly after the result: “U.S. Ethernet is pleased that the jury recognized the strength and validity of the patented Parallel Tasking technology, which once formed the heart of 3Com’s multi-billion dollar Ethernet controller business. While we are not surprised by the results given the strength of the Parallel Tasking patents, the findings of validity are certainly welcome.”

A second jury trial was held in June 2014 on infringement and damages. Following another week-long trial, the jury once again returned a multi-million dollar verdict for USEI, finding that Texas Instruments directly infringed and actively induced others to infringe on all of the asserted claims.

“U.S. Ethernet is pleased that once again, a jury has confirmed the strength of 3Com’s famous Parallel Tasking technology, this time against Texas Instruments,” said **Herman**. “While much of the industry is now subject to a license for the widespread infringement that eroded 3Com’s Ethernet market, a few companies remain in suit in the Northern District of California.”

Attorneys **John Herman** and **Peter M. Jones** led the team responsible for obtaining this result for USEI. The jury verdict resolves U.S. Ethernet Innovations, LLC v. Texas Instruments Incorporated, No. 6:11-cv-491 (E.D. Tex.). The related cases in Texas were consolidated with U.S. Ethernet Innovations, LLC v. Ricoh Americas Corporation, No. 6:12-cv-235 (E.D. Tex.)



**CITY OF PONTIAC GENERAL EMPLOYEES' RETIREMENT SYSTEM V. LANGONE
(HOME DEPOT)**

Landmark Corporate Governance Reforms Achieved at Home Depot

Shareholder activism has led to significant new reforms at Home Depot. After a wave of unprecedented shareholder backlash caused in large part by CEO Robert Nardelli's obscene compensation package and the revelation that Nardelli and others had received "backdated" stock options, six separate shareholder derivative suits were filed in Atlanta, Georgia. The lawsuits address CEO compensation, backdating practices, and an accounting manipulation scheme involving return-to-vendor credits.

John C. Herman, on behalf of the City of Pontiac General Employees' Retirement System, took over as lead counsel in these cases with the assistance of another 20 plaintiffs' law firms. After over a year of hard-fought litigation, **Herman** was able to negotiate a favorable resolution of the litigation, which will result in significant corporate governance reforms at Home Depot.

As a result of the settlement, among other changes, Home Depot's Board of Directors must: (i) restructure itself; (ii) require that two-thirds of its directors be independent; (iii) adopt enhanced director independence standards; (iv) adopt certain compensation policies and procedural safeguards for officers and directors; (v) implement voting standards requiring that director nominees receive a majority of votes cast to be elected to the board; (vi) impose safeguards on removal procedures for directors; (vii) adopt safeguards and notice requirements on stock option plans to lower the risk of backdating; and (viii) permit large shareholders or groups of shareholders to nominate directors.

On June 10, the Honorable Craig L. Schwall of Georgia's Fulton County Superior Court granted final approval of the settlement and commended **Herman** for acting "with substantial skill and professionalism in representing the plaintiffs and the interests of Home Depot and its shareholders in prosecuting [the] case."

John Herman spearheaded the litigation on behalf of plaintiffs. According to **Herman**, "The sweeping corporate governance reforms are a substantial step forward for Home Depot and its investors, and are an exceptional settlement of the action."

City of Pontiac Gen. Emps.' Ret. Sys. v. Langone, No. 2006-cv-122302, Findings of Fact in Support of Order and Final Judgment (Ga. Super. Ct., Fulton Cty. June 10, 2008).

Attorney Bios



HERMAN JONES LLP

John Herman Chairman

(404) 326-6343

jherman@hermanjones.com

Practice Areas

Commercial Litigation

Class Action Litigation

Intellectual Property

Licensing

Securities Fraud

Whistleblower

Education

Vanderbilt University Law School,
J.D., 1992

- Editor-in-Chief, *Vanderbilt Journal*
- John Wade Scholar

Marquette University, B.S., 1988,
summa cum laude, Biochemistry

Honors & Awards

Fellow, Litigation Counsel of
America (LCA) Proven Trial Lawyers

Recognized by his peers as being
among the leading intellectual
property litigators in the Southeast

Super Lawyer, 2005-2010, 2017-2019

Top Lawyers, *Atlanta Magazine*, 2017

Named to the "Top 100" Georgia
Super Lawyers list, 2007

Named one of "Georgia's Most
Effective Lawyers" by *Legal Trend*

John Herman is the Chairman and a founding partner of Herman Jones LLP. His practice focuses on complex civil litigation and licensing, with a particular emphasis on high technology matters. His experience includes securities, patent, antitrust, data breach, whistleblower and class action litigation. John also has significant first chair trial experience, handling numerous cases through verdict in both federal and state courts.

John has worked on many noteworthy cases and successfully achieved favorable results for his clients. His notable cases include a recent securities fraud settlement of \$107 million against Orbital ATK and a derivative settlement of \$60 million on behalf of Community Health Systems, as well as leading a team of attorneys enforcing the 3Com Ethernet patents by winning two jury trial victories in federal court. John also represented renowned inventor Ed Phillips in the landmark case of *Phillips v. AWH Corp.* He has represented the pioneers of mesh technology – David Petite, Edwin Brownrigg and SIPCO – in connection with their mesh technology portfolio. John has also worked on numerous class action cases, including acting as lead plaintiffs' counsel in the *Home Depot* shareholder derivative action, which achieved landmark corporate governance reforms for investors.

John has been recognized for his legal work by both his peers and legal publications. He serves on the Advisory Board of the Native American Intellectual Property Enterprise Council ("NAIPEC") and is a Fellow of the Litigation Counsel of America. John was also voted by his peers as one of the leading intellectual property litigators in the Southeast. He has been named a Super Lawyer numerous times and was ranked on the "Top 100" Georgia Super Lawyers list.



John Herman Chairman

Additionally, he was listed as one of “Georgia’s Most Effective Lawyers” by *Legal Trend* magazine and was voted by peers as one of *Atlanta Magazine’s* 2017 Top Lawyers in Georgia. In 2018, John was elected as a Fellow of the American Bar Foundation.

John graduated first in his class with a Bachelor of Science degree *summa cum laude* in Biochemistry from Marquette University. He earned his Juris Doctor degree from Vanderbilt University Law School, where he was Editor-in- Chief of the *Vanderbilt Journal* and chosen as a John Wade Scholar. John has also served as a member of Vanderbilt University’s Law School Board and on the Federal Circuit’s Government Employees’ Pro Bono Committee.

Professional Affiliations

- Fellow, American Bar Foundation
- Fellow, Litigation Counsel of America
- Member, Advisory Board of the Native American Intellectual Property Enterprise Council (“NAIPEC”)

Featured Seminars & Speaking Engagements

- Atlanta Bar Association, *Securities and Corporate Litigation* (May 10, 2019)
- Law Seminars International, *Technology and Cloud Transactions – What, Me Worry? Identifying Exactly Who is Likely to Sue Whom and What is at Stake* (April 27, 2015)
- North American Entertainment, Sports, and Intellectual Property Law Conference, *The Next Decade of Patent Litigation – Grand Slam* (Nov. 10, 2007)
- Law Seminars International, *Update on Telecommunications Market Barriers: Regulatory and Intellectual Property Law* (Nov. 2, 2006)

Publications

- John C. Herman & Ryan K. Walsh, *When is Your Copyrighted Work Really Not Your Copyrighted Work?*, State Bar of Georgia – Intellectual Property Law Section Newsletter (Fall 2002)



John Herman Chairman

- John C. Herman, *Court Offers Guidance on Striking Similarity And Establishing Independent Creation*, Law Journal Newsletters – Entertainment Law & Finance (Nov. 2002)
- John C. Herman & Jamie N. Shipp, *Free Speech or Spam? Legal Challenges to Unsolicited Fax and Email*, Technology Law (April – June 2002)
- John C. Herman & Paul K. Ferdinands, *Acquiring Technology in Today's Market* (2001)
- John C. Herman, *Biotechnology and Recently Amended Section 337: Federal Circuit Grants No Protection*, 24 Vanderbilt Journal of Transnational Law 827 (1991)

Admissions

- Georgia
- United States Supreme Court
- United States Courts of Appeals for the Fourth, Eleventh and Federal Circuits
- United States District Courts for the Northern and Middle Districts of Georgia
- United States District Court for the District of Colorado
- United States District Court for the Eastern District of Wisconsin
- United States District Court for the Eastern District of Texas



HERMAN JONES LLP

Peter Jones Managing Partner

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Practice Areas

Commercial Litigation

Class Action Litigation

Intellectual Property

Securities Fraud

Whistleblower

Education

University of Georgia School of Law,
J.D., 2003, *cum laude*

- *Georgia Law Review*
- Order of the Barristers

University of the South, B.A., 1999,
Economics

Honors & Awards

Super Lawyers, "Rising Star" 2012-
2013

Peter Jones is the Managing Partner of Herman Jones LLP. Throughout his career, Peter's practice has focused on civil litigation, and he is adept at handling complex cases in a variety of areas. He has significant experience with securities, intellectual property, whistleblower, product liability, premises liability, class action, and commercial disputes.

Peter brings an in-depth knowledge of every aspect of the litigation process to each of his matters. After graduating *cum laude* from the University of Georgia School of Law, Peter was a law clerk for the Honorable J.L. Edmondson, then Chief Judge of the United States Court of Appeals for the Eleventh Circuit. Peter has also worked at one of the largest defense firms and one of the largest and most successful plaintiff firms in the country. He began his career at King & Spalding LLP, an international law firm recognized as one of the top 50 law firms in the world, representing some of the largest corporations in America. For the past ten years, Peter has practiced at Robbins, Geller, Rudman & Dowd LLP, a firm that has recovered tens of billions of dollars on behalf of businesses and individuals.

Peter is admitted to practice in all state courts in Georgia, the Eleventh Circuit Court of Appeals, the Federal Circuit Court of Appeals, the Northern District of Georgia, the Middle District of Georgia, and the Eastern District of Texas. He has also served as counsel *pro hac vice* in courts throughout the country.

During law school, Peter was a member of the *Georgia Law Review* and the Georgia Mock Trial Program. He also worked for the Athens Clarke County District Attorney's office under the third-year practice act and prosecuted criminal cases to verdict while still in school. Upon graduation, Peter was named a member of the Order of the Barristers, a recognition for excellence in courtroom advocacy.



Peter Jones
Managing Partner

Peter grew up in Atlanta and attended the Marist School. He graduated from the University of the South with a B.A. in Economics. At Sewanee, Peter was a member of the varsity basketball team.

Peter lives in Atlanta with his wife and three children, and is a member of Christ the King Church. He and his wife are supporters and volunteers for Children's Healthcare of Atlanta and Buckhead Baseball.

Speaking Engagements

State Bar of Georgia, *How to Recover Attorneys' Fees in an Intellectual Property Case* (February 25, 2016)

Admissions

- Georgia
- United States Courts of Appeals for the Eleventh and Federal Circuits
- United States District Courts for the Northern and Middle Districts of Georgia
- United States District Court for the Eastern District of Texas



Herman Jones LLP

Serina Vash Managing Partner, NJ Office

(862) 250-3930

svash@hermanjones.com

Practice Areas

White Collar Crime and Government Investigations

Internal Investigations and Compliance Remediation

Corporate Governance and Monitorships

Antitrust

Shareholder Derivative Actions

Enterprise Risk Management

Pre and Post Transactional Due Diligence

Data Privacy, Cybersecurity and Breach Response

Education

St. John's University School of Law, J.D., 1995

- Assistant Editor, Law Review
- Academic Vice President, SBA
- Merit Scholar

Duke University, B.A., 1992, Political Science and Russian

Honors & Awards

PSN Award, Best Gang Investigation 2007 (Double II Bloods)

PSN Innovation Award – Newark Safer Cities Initiative, USAO Member

Serina Vash is the Managing Partner of the New Jersey Office of Herman Jones LLP. A seasoned former federal prosecutor and litigator, Serina has served for over two decades in the public, private and academic sectors. Her practice focuses on government and internal investigations; shareholder derivative actions; pre/post transactional due diligence and risk management; compliance, culture and board training; data privacy and cybersecurity; IPO readiness; and anti-harassment/civility in the workplace. Serina has significant first chair trial experience, handling numerous federal criminal cases from investigation through verdict. She also advises clients on governance, compliance, culture and enterprise risk management issues, and specializes in creating and augmenting corporate compliance programs and trainings for corporate boards and C-Suite executives.

Before joining Herman Jones, Serina served as General Counsel and Executive Director of Governance, Risk and Compliance at RANE Corp., a due diligence and risk management advisory start-up. Serina also served as the first Executive Director of NYU Law School's Program on Corporate Compliance and Enforcement (2014-2017). At NYU, Serina helped develop, establish and manage a cutting-edge program dedicated to understanding the causes of corporate misconduct, the key attributes of effective compliance programs and the efficacy of enforcement policy.



Serina Vash
Partner, NJ Office

Serina served for twelve years in the United States Attorney's Office for the District of New Jersey, from 2002 to 2014. There, she supervised and prosecuted a wide range of federal crimes, including securities fraud, money laundering, structuring, organized crime and racketeering, cybercrime, national security, and other financial frauds.

In 2010, Serina became the first Chief of the Office's General Crimes Unit. In that role, Serina developed and implemented a didactic curriculum for training new AUSAs hired in the district. She also served as Acting Deputy Chief of the Criminal Division, Senior Litigation Counsel in the Organized Crime/Gang Unit and the National Security Unit, and a member of the Office's Trial Mentorship Program.

Prior to becoming an AUSA, Serina served as the first law clerk to the Honorable Faith S. Hochberg of the United States District Court for the District of New Jersey. She cut her teeth as a litigator in the New York office of Cahill Gordon & Reindel from 1995 to 1999. Serina graduated with a Bachelor of Arts degree from Duke University. She earned her Juris Doctor degree from St. John's University Law School.

Serina speaks regularly on behavioral ethics, corporate culture, effective compliance, cybersecurity risk and regulation, workplace civility, enforcement policy and handling internal corporate criminal investigations. She serves on the Board of Trustees for the USAO Alumni Association (DNJ) and as a Subcommittee Chair in the Ethics Section of the Federal Bar Association.

Professional Affiliations

- Board of Trustees, District of New Jersey USAO Alumni Association
- Ethics Committee, Sub-Committee Chair, Federal Bar Association
- Member, National Association of Women Lawyers ("NAWL")
- Member, New Jersey Women Lawyers Association
- Member, American Bar Association
- Member, New Jersey Bar Association
- Member, New York City Bar Association
- Council for Unity, Board of Advisors



Serina Vash
Managing Partner, NJ Office

Featured Speaking Engagements and Seminars

- *Integrating Behavioral Ethical Standards with Compliance Programs*
The National Society of Compliance Professionals, Annual Conference, October 22, 2019
- *Wading Into the Gray: When Good People Make Bad Decisions*
Federal Bar Association, Annual Meeting, September 5-6, 2019
- *Understanding Human Behavior and Causes of Criminal Misconduct*
USAO, District of New Jersey, April 26, 2019
- *Workplace Civility Best Practices*
Webinar, October 4, 2018
- *Handling Government Investigations and Regulators*
5th Annual Women in Benchmark in Litigation NYC Forum, September 13, 2018
- *Hear That Lonesome Whistle Blow: Effective Techniques for Responding to Whistleblowers*
Webinar, September 6, 2018
- *ICO and Bitcoin Regulation*
Webinar, April 26, 2018
- *Enterprise Risk Management*
Carlyle VP Forum, March 14, 2018
- *Reflections of a Former Federal Defendant and Former Federal Prosecutor: The Case for Ethical Vigilance and Responsible Global Investment*, OFA Conference, March 2, 2018
- *GDPR Readiness: 3 Months to Go*
Webinar, February 26, 2018
- *Combatting Harassment and Fostering Workplace Civility*
Webinar, January 2018
- *The Psychology of Culture: Why Good People Do Bad Things and the Role of Corporate Culture*, Risk Management Summit S&C Conference December 2017



Serina Vash
Partner, NJ Office

- *New Models for Managing Cyber Security- Legal, Regulatory, & Reputational Exposures*, Webinar, November 16, 2017
- *Tools and Procedures to Manage Cybersecurity Risk and Reduce SEC Violations*, Hedge Fund GC and Compliance Officer Conference, October 5, 2017
- *Protecting Privilege: Best Practices for In-House Counsel* Webinar, September 12, 2017
- *She is Me: The Path to Ethical Decision-Making*, Woman's Leadership Conference, Las Vegas, August 7-8, 2017
- *In the Know: When Good Lawyers Make Bad Decisions* American Bar Association Series, June 2017
- *Department of Justice Perspectives on Corporate Compliance Programs*, Second Annual Institute on Corporate Compliance, Rutgers School of Law, April 7, 2017
- *Corporate Investigations After the Yates Memo Expanding Scope of Individual Accountability for Corporate Misconduct*, NYU School of Law, March 31, 2017
- *Behind the Crime: When Good People Do Wrong* Fordham University School of Law, March 22, 2017
- *Only as Strong as Your Weakest Link* 2017 Hiperos Financial Services Regulatory Knowledge Forum, Third Party Management –March 16, 2017 (Washington DC)
- *Cybersecurity Risk and Regulation* New York University School of Law, February 15, 2017
- *Is There an ROI on Compliance Investment* Webinar, January 26, 2017
- *A Look Into the Future: Challenges and Opportunities For CRO 2.0* Risk Management Summit S&C Conference, December 1, 2016
- *Wading Into the Gray: Compliance & Enforcement Lessons When Good People Make Bad Decisions*, New York University School of Law, November 30, 2016



Serina Vash
Partner, NJ Office

- *Compliance Beyond Procedures: Understanding Behavioral Compliance and Fostering a Culture of Business Ethics*, Conference on Compliance: New Risks, Challenges and Approaches, New York University School of Law, October 21, 2016
- *Unpacking Monitorships*
Webinar, October 6, 2016
- *Corporate Compliance and Enforcement*
Brazilian Delegation at NYU School of Law, September 13, 2016
- *Getting in Gear: Ethics as a Driver of Compliance*
Ethics By Design: How to Use Nudges, Norms and Laws to Improve Business Ethics, Stern School of Business, June 3, 2016
- *Coordination Across Enforcement Agencies*
Conference Corporate and Individual Liability for Corporate Misconduct After the Yates Memo, April 8, 2016
- *Corruption in Sports: The FIFA Scandal*, 5th Annual Sports Law Colloquium, NYU Law School, March 31, 2016
- *Red Card for FIFA: Inside the Case Against Global Soccer*
The Milbank Tweed Forum, September 16, 2015
- *Risk Taking: It's Time To Jump In* National Association of Women Lawyers Annual Conference, July 16, 2015
- *ALI Principles of the Law, Compliance, Enforcement, and Risk Management for Corporations, Nonprofits and Other Organizations*, Conference: Achieving Safe and Responsible Enterprise: Principles of Effective Compliance and Emerging Enforcement Policy, May 8, 2015



Serina Vash
Managing Partner, NJ Office

Publications

- Serina M. Vash, *Comey's Choice: Unprecedented Situation, Extraordinary Transparency*, Compliance and Enforcement Blog, NYU School of Law (Nov. 2016)
- Serina M. Vash, *FedEx Lives to Deliver Another Day*, Compliance and Enforcement Blog, NYU School of Law (Oct. 2016)
- Serina M. Vash, *Fokker Misses Opportunity to Provide Clear Guidance on Court's Role in DPA Cases*, Compliance and Enforcement Blog, NYU School of Law (May 2016)

Admissions

- New Jersey, New York, Connecticut
- United States Supreme Court
- United States District Court for the District of New Jersey
- United States District Court for the Southern District of New York
- United States District Court for the Eastern District of New York

CERTIFICATE OF SERVICE

I hereby certify that on July 2, 2020, I electronically filed the above document with the Clerk of the Court using CM/ECF which will send electronic notification of such filing to all registered counsel.

By: s/ John C. Herman
JOHN C. HERMAN
(Ga. Bar No. 348370)
HERMAN JONES LLP
jherman@hermanjones.com