



**MICHAEL KIMELMAN**

## **SPEAKING ABSTRACT FOR INDUSTRY GROUPS & GLOBAL SYMPOSIUMS**

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I am available to speak to **Financial Firms, Industry Groups, Symposiums and Professional Forums** as a **speaker, panelist or through Question and Answer sessions**, on a number of topics relating to my experience and real world perspective on issues of risk, foreign corruption and compliance. I have participated in such conferences in the past, which are available on my blog in the Speaking section.

*“My goal is to address pertinent current issues that ‘keep them all night’.”*

Michael Kimelman

For conferences which are limited or organized around **legal professionals**, I usually participate through an interview or Q &A with someone from the legal community, either in-house counsel, or a compliance practitioner.

I work closely with conference organizers to ensure that my presentations are **tailored to attendee interests** and to the particulars of the program. Thus, all of my participation is geared towards the specific goals of the organizers and the needs of the attendees. My model of presenting requires thorough research on the backgrounds of attendees, (by engaging with organizers and utilizing public sources of information) **with the goal to address pertinent current issues that “keep them up at night”** with respect to compliance, risk and corruption.

### **Suggested topics where my experience would be relevant in a forum or symposium environment would be:**

- 1. Rationalizing Risk:** My experience with corruption and fraud from ground zero of running a successful hedge fund.
- 2. A Circle of Lies:** Third party management and how intermediaries can circumvent the assessment, investigatory and onboarding process.
- 3. Business, Crime and Cooperation:** Lessons for today’s international business executives, employees and compliance professionals.
- 4. Compliance as “bonus prevention:** What is the relationship between business strategy, incentives and compliance?

All of the above topics will have elements drawn from the following outline, and would be tailored to the needs of the organizers and attendees.

*“My experience with corruption and fraud from ground zero of running a successful hedge fund.”*

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## **I. My Journey: From Hedge Fund Owner and Father of Three to Federal Inmate: A Brutal Experience Ripped from the Headlines of the Financial Crisis**

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### **INSIDER TRADING: HOW A GRAY AREA BECAME BLACK**

**a. What I did.** I take attendees through my journey as a practicing corporate lawyer with Sullivan & Cromwell to a star trader and hedge fund owner managing \$250M in assets to “getting caught,” subsequent refusal of a no prison-probation offer, being convicted at trial during the height of Occupy Wall Street before controversial Judge Richard Sullivan, and then ultimately, to my federal sentencing.

**b. The fast paced, labyrinth experience of running my own business and dealing with operational, performance and regulatory risk.** I was well compensated and respected in my industry, with a company worth 8 figures. Would I really break the law and risk all that over \$30K? I focus on several elements of my perfect storm of how I misunderstood the real risks involved, and how the legal system and business world differs in practice from what we were taught in law and business school.

**c. How I interacted with Third Parties.** I focus on Third Party risk and how intermediaries, vendors and other associates can create a potential ‘information wall’ that actually increases risk. The enormously important takeaway is that ultimately we are responsible for those we surround ourselves with.

**d. How I got “Caught”.**

e. What I was thinking when I was arrested and my decision to not cooperate or take the no prison plea deal offered by US Attorney Preet Bharara.

**f. Trial, sentencing and prison life.**

g. What lessons does my experience have for students who will face such issues in their professional pursuit.

## **II. Criminal Thinking and Career Success**

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This subject matter covers “My Journey” discussion with more of a focus on what was I thinking before, during and after my criminal case came down, and less on the particulars of the law. The presentation also addresses the dynamic of why someone who is successful personally and professionally would potentially engage in aggressive behavior and/or criminal thinking and activity.

### III. Real Crime and Real Consequences

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This topic has greater focus on the "real consequences," putting emphasis on the consequences of my case and experience. Prison life, what it was like to get sentenced, to self---surrender at a Federal Prison and to spend fifteen months in a Federal Prison Camp. I address several important life lessons, such as the allure of short term gain for long term pain', overcoming adversity, and how "you can make a difference anywhere," as I spent my time as a GED tutor, wrote a bestselling book and taught financial literacy and basic job skills to other inmates



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