



# Nicole H. Sprinzen

Vice Chair, White Collar Defense & Investigations

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## Practice Areas

- White Collar Defense & Investigations
- Securities Litigation & SEC Enforcement
- Government Contracts
- Antitrust
- Financial Services

## Industry Sectors

- Cryptocurrency and Blockchain Technology
- Health Care & Life Sciences
- Higher Education

## Education

- The Catholic University of America, Columbus School of Law, J.D., *cum laude*, 1999
- Lafayette College, B.A., 1996

## Bar Admissions

- District of Columbia
- Maryland

## Court Admissions

- U.S. District Court -- District of Columbia
- U.S. District Court -- Maryland
- U.S. Supreme Court

## Affiliations

ABA Criminal Justice Section's Task Force on Law Enforcement Body Cameras

## Awards & Honors

- Chambers USA
- Super Lawyer 2017-2020
- DCA Live's 2019 Emerging Women Leaders in Law 2019

Nicole is a former federal prosecutor and she focuses her practice on representing companies and individuals in criminal matters and parallel civil proceedings, as well as in internal investigations. Her practice includes advising clients in matters arising under the Foreign Corrupt Practices Act (FCPA), U.S. export controls and sanctions and anti-money laundering regulations, and the securities and commodities laws, as well as in connection with federal procurement, mortgage, and bank fraud allegations. She frequently represents corporate and individual clients in antitrust cartel internal and government investigations.

Internal investigations that Nicole has conducted include allegations of workplace harassment against an internationally renowned opera singer on behalf of the industry labor union; allegations of harassment and hostile workplace environment in the entertainment industry; and various allegations of sexual assault, harassment and student misconduct on behalf of a government program administrator. Further to that work, Nicole frequently advises clients regarding implementation of recommendations for remedial measures and corporate governance and compliance program enhancements.

Nicole has also represented clients in investigations being conducted by World Bank Group's Integrity Vice Presidency, and served as a monitor for a company participating in the World Bank's Voluntary Disclosure Program. Nicole has represented clients in investigations by U.S. government authorities under Mutual Legal Assistance Treaties (MLATs) and, while serving as a federal prosecutor, she coordinated parallel foreign proceedings under MLATs.

An experienced trial lawyer, Nicole has tried federal and state cases in the District of Columbia and throughout the country. She has litigated cases involving a broad range of industries, including accounting, banking, securities, commodities trading, health care, construction, government contracting, and the student loan industry. Her practice includes handling False Claims Act and other civil litigation matters, including civil forfeiture, shareholder class action, securities fraud, breach of contract and defamation cases, including under California's anti-SLAPP (Strategic Lawsuit Against Public Participation Law) statute, which supplements the First Amendment in that state.

Immediately prior to joining Cozen O'Connor, Nicole practiced in the criminal defense, investigations, and civil litigation practice in the Washington, D.C., office of a large international law firm. Prior to joining the law firm, she served as a prosecutor with the U.S. Department of Justice, Criminal Division, Fraud Section, where she prosecuted FCPA, securities and commodities, procurement, and health care fraud cases, as well as cases involving fraud against the Export-Import Bank of the United States.

As a prosecutor, Nicole led criminal investigations in collaboration with the U.S. Department of Justice, Antitrust Division, and in parallel with the U.S. Securities and Exchange Commission, the U.S. Commodity Futures Trading Commission, the then-UK Financial Services Authority, and other international antitrust regulators. Nicole was one of the first prosecutors of cases involving the manipulation of the London Interbank Offered Rate (LIBOR) and other international bank interest rates. She also tried one of the National Century Financial Enterprises cases in the Southern District of Ohio, then the largest private financial fraud committed to date.

Nicole is also an active member of the pro bono community — taking a substantial role in capital

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murder cases at the trial and U.S. Supreme Court appellate levels, and serving as a member of the ABA Criminal Justice Section's Task Force on Law Enforcement Body Cameras. She also led a team that prepared a revision of The Constitution Project's publication, *Irreversible Error: Recommended Reforms for Preventing and Correcting Errors in the Administration of Capital Punishment*.

## **Experience**

### ***Criminal and Antitrust Cartel Cases***

- Represented an auto carrier in a case resulting in a reduced fine and the first-ever monitorship in a voluntary criminal antitrust plea
- Represented an individual in parallel criminal and civil antitrust proceedings arising out of the aluminum industry.
- Represented a retired naval officer in the Glenn Defense Marine case, the largest-ever fraud investigation involving the U.S. Navy
- Represented a distributor in civil forfeiture case and criminal investigation in the District of Maryland
- Represented a regional bank in a federal investigation of the handling of TARP funds
- Represented a defendant in a criminal and civil False Claims Act investigation in the District of Alaska relating to allegations concerning Small Business Administration (SBA) 8(a) program joint ventures
- Represented a corporate executive in parallel Canadian and U.S. Department of Justice prosecutions of FCPA violations
- Represented a U.S. Congressman in a U.S. Department of Justice investigation, dismissed with no charges
- Represented a major international banking institution's employees in S.D.N.Y. criminal investigation of mortgage fraud allegations relating to sale of underperforming assets

### ***Civil and Regulatory Enforcement Matters***

- Represented a client in the largest investigation undertaken by the World Bank Group's Integrity Vice Presidency
- Worked as an independent monitor for a company participating in the World Bank Group's Voluntary Disclosure Program, resulting in the successful graduation of the longest-serving participant in the program
- Represented a large proprietary trading firm in a CME and CFTC investigation
- Represented futures traders and an introducing broker in CME and ICE exchange investigations, resulting in no action or negotiated resolutions with minimal penalties
- Represented UTC companies and business units in conducting internal export sanctions investigations and preparing reports, as necessary, to trade export regulators

### ***Civil Litigation***

- Represented a major Energy Department contractor in a government investigation under the Civil False Claims Act

- Represented individuals and organizations relating to false and defamatory media allegations in the U.S. and in international publications in the media, including making retraction/correction demands and directed litigation in the U.S. and UK courts to obtain retractions and damages
- Represented the National Academy of Sciences (NAS) in defending defamation lawsuits arising out of NAS studies; lawsuits dismissed on summary judgment under California's anti-SLAPP law
- Represented a subcontractor in a dispute with a prime contractor concerning the performance of a U.S. Department of Defense contract

#### ***Internal Investigations and Compliance Matters***

- Represented an international jewelry retailer, private lending firm, and other retailers in drafting and implementing FCPA, AML, and export controls compliance programs
- Drafted and assisted an introducing brokerage firm in implementing a compliance program addressing commodity brokerage regulations and AML and FCPA laws
- Represented an international non-profit foreign language study placement organization in internal investigations, labor and employment matters, and civil disputes with implementing organizations
- Represented a major logistics company in an internal investigation relating to the handling of controlled substances, and drafted compliance program and training for handling of controlled and prescription substances
- Represented an engineering company in an internal investigation relating to whistleblower allegations of tampering with industrial measurement equipment
- Represented MoneyGram International in updating its compliance program and preparing and conducting training for more than 200 managers internationally
- Represented a major beverage supplier in an internal investigation in Mexico relating to a product distribution chain