

SPEARS
MANNING
MARTINI

spearsmanning.com

Spears Manning & Martini LLC

A LITIGATION BOUTIQUE WITH DEPTH AND EXPERIENCE TO SERVE EACH CLIENT'S UNIQUE NEEDS



Our Firm

SPEARS
MANNING
MARTINI

- Founded by Brian Spears in 2013
 - Chambers First-Tier Ranking
 - Litigation: White Collar Crime and Government Investigations
- Criminal and Civil Litigation Boutique
 - Federal and State Government Investigations
 - Regulatory and Administrative Proceedings
 - Internal Investigations
 - Complex Civil Litigation
 - Federal and State Court Appeals
- We try cases
 - Over 50 trials in federal and state courts in Connecticut, New York and Texas

What Sets Us Apart?

- Our Partners
- Our Strategy and Approach
- Our Clients
- Our Significant Courtroom Experience
- Our Experience Conducting Internal Investigations
- Our Experience Handling Cutting Edge Cases and Investigations



OUR PARTNERS

- All:
 - Former Assistant U.S. Attorneys
 - Held leadership roles in Government and Private Practice
 - Serve on federal and state court committees and CJA panels
- Spears and Martini, individually ranked in Chambers USA
- Spears and Manning, former federal law clerks
- Martini, Fellow of the American College of Trial Lawyers



OUR STRATEGY AND APPROACH

- Every matter is staffed with experienced, diverse attorneys
 - Associates and counsel include former AUSA, federal law clerk, big firm trained associates
- Litigate every case with eye towards possible trial
- Manage every case in a way that minimizes disruption to our clients and their businesses
- Provide cost-effective solutions tailored to client needs




OUR CLIENTS

- Entity Clients
 - Major public and private companies
 - Technology companies
 - Securities firms
 - Pharmaceutical companies
 - Leading Connecticut universities and hospitals
- Individual Clients
 - Corporate executives
 - CEOs, CFOs, Chief Accounting Officers
 - Professionals
 - Physicians, lawyers, accountants
 - Entrepreneurs, business owners
 - Scientists



TRIAL EXPERIENCE

- As former Federal Prosecutors
 - Multiple jury trials on behalf of United States
 - Connecticut's first large-scale racketeering case
- In Private Practice
 - Criminal Cases
 - Foreign Corrupt Practices Act ("FCPA")
 - Insider Trading
 - Health Care and Tax Fraud
 - Fraud in the Defense Industry
 - SEC Enforcement Cases
 - Complex Commercial Disputes



ADDITIONAL COURTROOM EXPERIENCE

- Experience in a wide variety of proceedings
 - Evidentiary, suppression and sentencing hearings
 - Regulatory and administrative hearings
 - FINRA hearings
 - AAA and JAMS arbitrations
 - Professional grievance hearings
 - Licensing and hospital privileges proceedings
- Adept at state-of-the-art trial presentation software
- Experience with use of mock juries and jury consultants to formulate strategy and hone preparation



INTERNAL INVESTIGATIONS

- We are regularly retained by corporations, universities, hospitals and other private and non-profit entities to conduct internal investigations
- Examples of subject matters:
 - Construction and manufacturing fatalities/accidents
 - Cybersecurity - ransomware, data breaches, unlawful computer access
 - Drug diversion
 - Employee fraud, embezzlement and conflicts of interest
 - FCPA
 - Health care – billing, coding, self-referral issues
 - Maritime environmental law and accidents
 - Title IX, sexual assault/harassment

Internal Investigations – Our Capabilities

- Deep, experienced bench with significant investigatory experience as prosecutors and defense lawyers
- Understanding of Department of Justice priorities
- Solid law enforcement relationships
- Forensic, investigatory and crisis management support
- Creative approach to document recovery, review and production
- Tailored, conscientious investigations that minimize disruption

Long Term Engagement for Pharmaceutical Manufacturer

SPEARS
MANNING
MARTINI

- Over a two-year period, we performed over 150 internal investigations throughout the United States for a leading pharmaceutical manufacturer
- Investigated allegations of drug diversion, improper prescription practices, identification of “pill mills”
- Provided written recommendations regarding compliance
- Referred culpable individuals to law enforcement, when appropriate



KEEPING A PACE
WITH LAW
ENFORCEMENT
PRIORITIES

- Clients regularly engage us to handle matters involving Department of Justice priorities and areas of significant white-collar enforcement
- Examples:
 - FCPA
 - Antitrust Division Enforcement
 - SEC Enforcement Proceedings
 - Environmental Crimes

| FCPA Experience

- Spears, Senior Counsel for investigation of United Nations Oil-for-Food Program
- UN international corruption investigation concerning misuse of funds in North Korea
- Co-counsel for Alstom Power executive in ground-breaking FCPA prosecution
- Internal investigation of U.S. manufacturing company's international sales department
- Representing publicly traded company in connection with Department of Justice investigation

Antitrust Experience

- Representing individual in “no-poach” antitrust investigation
- Representing construction company in price-fixing/bid-rigging investigation
- Represented shipping company executive in investigation of collusion in the allocation of shipping contracts

Securities Experience

- Regularly represent individuals in all phases of SEC enforcement proceedings
- Represented doctor at trial and on appeal in criminal insider trading case involving clinical trial
- Represented broker dealer and investment advisory firm at trial in SEC enforcement action
- Represented Chief Accounting Officer of public company in criminal accounting fraud investigation

Environmental Experience

- Decades of experience in environmental enforcement matters
- Spears, head of Environmental Crimes for U.S. Attorney's Office
- Representing client in high-profile state criminal environmental and bribery prosecution
- Represented clients facing environmental enforcement by:
 - Department of Justice/U.S. Attorney's Office
 - Environmental Protection Agency
 - State environmental regulators
- Represented maritime clients facing enforcement proceedings by the U.S. Coast Guard

Additional Information

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