



## BART SCHWARTZ

### CHAIRMAN

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## OVERVIEW

Described by *The New York Times* as the person “often sought out in...thorny situations.” Bart M. Schwartz is a founder and the chairman of Guidepost Solutions, where he provides compliance, ethics, and integrity monitoring and investigative services. He is a former Chief of the Criminal Division of the United States Attorney’s Office for the Southern District of New York.

For more than 30 years, Mr. Schwartz has managed sensitive and complex matters for a wide array of clients, including government agencies, international corporations, and not-for-profits. He serves as chairman of the Compliance Committee and a member of the Audit Committee of the board of HMS Holdings Corp. (NASDAQ:HMSY). He served as the first chairman of the Board of the public biopharma company KADMON. He also serves on the Board of Directors of several philanthropic organizations, including the Police Athletic League of New York City, the All Stars Project, and the Stuyvesant High School Alumni Board of Directors.

In 2019, Dr. Benjamin Carson the Secretary of the Department of Housing and Urban Development (HUD) and the U. S. Attorney for the Southern District of New York selected Mr. Schwartz to be the federal monitor over the New York City Housing Authority (NYCHA), pursuant to an agreement reached among HUD, SDNY, NYCHA, and the City of New York. NYCHA is the country’s largest housing authority with over 400,000 residents. Mr. Schwartz and his team oversee the implementation of the agreement to achieve decent, safe, and sanitary living conditions for NYCHA’s residents.

In April 2016, Mr. Schwartz was retained by the Governor of the State of New York to conduct a review of all grants and approvals in certain programs and operations in the “Buffalo Billion” (Nano Economic Development Program) for improper lobbying and undisclosed conflicts of interest and to make recommendations for improvements in its operations.

From 2015 to 2018, Mr. Schwartz served as the Department of Justice-appointed monitor of General Motors (GM), arising out of GM's deferred prosecution settlement of charges related to making and selling cars with defective ignition switches.

Mr. Schwartz is currently a senior member of the Guidepost Solutions team assisting the University of Michigan with implementing recommended remediation efforts in the aftermath of sexual harassment charges. He and the team are working collaboratively with the University's stakeholders to create a more dynamic program and to promote a culture of safety and inclusion.

## SOLUTIONS

Monitorships  
Financial Crime Consulting  
Risk + Compliance  
Investigations + Business Intelligence  
Private Investigations  
Security Consulting  
Regulator Responsive Monitorships  
Corporate Integrity Monitoring  
Banking + Financial Monitorships  
Corporate  
Litigation Support  
Transactional Monitoring - Divestiture + Anti-Trust  
Construction Monitoring  
Corporate Internal Investigations  
Due Diligence + Business Intelligence

## EXPERIENCE

- In 2018, appointed by the Department of Justice Anti-Trust Division to monitor the international shipping company Hoegh Autoliners for compliance with a settlement agreement.
- Appointed by the New York State Courts as receiver over two Madoff feeder funds and successfully distributed \$2 billion to the victims including \$800,000,000 which had been lost in the Madoff fraud thereby essentially managing the fund to turn the phantom profits into real profits.
- In April 2014, approved as a compliance consultant by the U.S. Attorney's Office (SDNY) to evaluate and report on the insider trading compliance procedures of Point72 Asset Management (formerly SAC Capital Advisors).
- Served as the independent compliance expert to a special committee of the Board of government contractor SAIC, arising out of a false claims investigation conducted by the U.S. Attorney's Office for the Southern District of New York and the New York City Department of Investigation.
- Appointed monitor in December 2010 by the U.S. Attorney for the Southern District of New York under a non-prosecution agreement with Deutsche Bank, in a matter involving the bank's creation and sale of illegal tax shelters.
- Selected by the DOJ and the CFTC to monitor BP energy trading activities, arising out of BP's settlement of illegal trading charges.
- Retained by the United Arab Emirates to oversee compliance with MOUs between the UAE and Bangladesh, Pakistan, Mauritania, and Sudan, relating to the repatriation and compensation of children who were involved in camel racing in the UAE.
- Retained by Hewlett-Packard to conduct a worldwide review of the company's internal investigative policies,

procedures, and practices following an identity theft and spying scandal.

- Engaged by a publicly traded utilities company to review the corporation's compliance program and advise on best practices.
- Appointed monitor of DHL, an international logistics company, by the U.S. Department of Commerce, for issues relating to OFAC violations.
- Served as the corporate integrity monitor of a major national law firm, under auspices of the Los Angeles U.S. Attorney's Office.
- Conducted an independent investigation at a major oil company into allegations of racial discrimination and destruction of documents in civil discovery.
- Appointed by the Mayor of New York City to chair a task force to conduct a top-to-bottom management review of the New York City Department of Buildings.
- Selected by the New York Metropolitan Transportation Authority to conduct a transparency assurance audit for the procurement of \$5 billion of new subway cars.
- Retained by the New York Metropolitan Transportation Authority to help build a compliance and ethics department and to study its procurement procedures.

## EDUCATION

- Juris Doctor, New York University School of Law
- Bachelor's Degree, University of Pittsburgh