



BRADLEY DIZIK

SENIOR MANAGING DIRECTOR

Office: 248.321.4905

Email: bdizik@guidepostsolutions.com

OVERVIEW

Bradley L. Dizik advises clients on compliance and ethics programs and has led high-profile integrity monitorships overseeing publicly held and private companies; global compliance reviews; crisis strategy and management; physical security and safety assessments; as well as numerous investigations of potential fraud and other misconduct.

Integrity Monitorships and Fiduciary Services

Mr. Dizik's experience includes leadership roles on the following receivership and federal integrity monitorships:

- General Motors where he led the review of its engineering organization and implementation of systems engineering controls and related culture change initiatives arising out of GM's deferred prosecution settlement of charges related to making and selling cars with defective ignition switches.
- New York City Housing Authority helping oversee operational culture changes to how the nation's largest public housing agency manages sanitation and pest control pursuant to an agreement reached among HUD, SDNY, NYCHA, and the City of New York to achieve decent, safe, and sanitary living conditions for NYCHA's residents.
- SAC Capital Advisors (now known as Point72 Capital Management) to evaluate and report on its insider trading compliance program pursuant to a plea deal with the U.S. Attorney's Office for the Southern District of New York (SDNY).
- Mr. Dizik's fiduciary services include the Receivership in *Battaglia v. Battaglia*; Docket No. 190-82, District Court, Laramie County, Wyoming where he currently leads the day-to-day activities. In *Battaglia*, Mr. Dizik was able to successfully locate and take possession of approximately \$40 million in assets, build a property management function from scratch to oversee the operations of nearly a dozen real property assets with dozens of individual tenants, and liquidated a 1972 Lamborghini Miura SV for \$2 million and a 1991 Ferrari F40 for approximately \$1.2 million to fund the estate's operations. Additionally, Mr. Dizik's investigative work led to the district court judge holding one of the parties in contempt, and ultimately issuing a criminal arrest warrant for that party's violations of the contempt order.

Ethics and Compliance Programs

Mr. Dizik assists clients with the development of ethics and compliance programs; codes of ethical conduct and related roll outs including systems thinking initiatives involving cross-functional and cross-organizational ethics and compliance champions; training programs; security and safety assessments; and compliance monitoring programs leveraging complex data generally.

- University of Michigan where Mr. Dizik is currently leading a compliance, ethics, and culture assessment and recommended remediation efforts in the aftermath of sexual misconduct findings against a former Provost.
- He is currently leading the ethics and compliance program development for two health care provider startups including a comprehensive suite of materials for information security, privacy/HIPAA, Stark Act/anti-kickback, whistleblower/anti-retaliation, sexual harassment, employee handbook, investigative procedure, terms of use and terms of service.
- Mr. Dizik is also currently leading the ethics and compliance and anti-corruption program design for a government contractor that recently underwent an aggressive acquisition strategy where the work includes integrating divergent cultures and establishing organization wide compliance champions and a comprehensive training program.
- Mr. Dizik is currently leading the security review for a multi-family residential property management company with 17 unique sites and approximately 4000 units.
- He advised one of the world's largest mineral resource companies on compliance with U.S. regulatory requirements including the Foreign Corrupt Practices Act, Federal Acquisition Regulation (FAR) when doing business with the U.S. Department of Defense Logistics Agency (DLA) and negotiations with foreign governments including related import and export control requirements.
- Mr. Dizik has consulted one of the world's largest (AUM) investment management companies regarding best execution procedures, Market Access Rule 15c3-5 and other compliance monitoring for adherence to best industry practices.
- He has represented a Sovereign Wealth Fund before the SEC and the CFTC concerning its regulatory exposure in connection with swaps transactions following enactment of the Dodd-Frank Act.

Investigations

Mr. Dizik is regularly called upon to lead anti-corruption and anti-bribery investigations:

- He is currently leading the investigation of a publicly listed company for violations of the Foreign Corrupt Practices Act (FCPA) and Iranian sanctions.
- Mr. Dizik has also advised one of the U.S. military's largest suppliers of jet fuel to troops in Afghanistan in a Congressional investigation of alleged corruption in Central Asia and follow-on investigations by foreign authorities.
- He advised one of the world's largest financial institutions in a False Claims Act investigation in which the company was alleged to have misled the federal government about aspects of the business operations of a former life insurance subsidiary.
- Mr. Dizik advised a global financial institution on its rights as a victim of a whistleblower's attempt at extortion. The whistleblower alleged that the fund had engaged in corrupt acts in Southeast Asia, and threatened to reveal information about it to the Department of Justice unless the whistleblower was paid \$5 million dollars. Mr. Dizik led the research that determined there was no evidence to support the claim that the fund engaged in corrupt acts. The whistleblower was confronted with Mr. Dizik's findings and did not ultimately make any claims against the fund.

Crisis Strategy and Response

- Mr. Dizik served as a special adviser to the Masonic Temple Association of Detroit's Board of Trustees arising out of its high profile complex crisis of near financial insolvency and parallel litigations in federal bankruptcy and state courts where for the world's largest Masonic Temple he successfully led its public relations, renegotiated its debt, rebuilt the Temple's entertainment and hospitality business and obtained summary judgment against a former management company's frivolous claims of ownership. Strategically, Mr. Dizik advised his client to purchase a majority of the former management company's creditor claims in bankruptcy which allowed it to reject its reorganization plan and pushed the former management company and its principals into Chapter 7 bankruptcy which empowered a court-appointed trustee to obtain information and claw back misappropriated funds that belonged to the Detroit Masonic Temple and other aggrieved business partners of the Temple.
- Additionally, Mr. Dizik has advised numerous board members on their responses to public crises including those involving sexual harassment and abuse at institutions of higher learning.

Prior Legal Work

Prior to joining Guidepost, Mr. Dizik was an associate attorney in Weil, Gotshal & Manges LLP's White-Collar Investigations and Financial Institutions Regulatory practices and co-manager of its Financial Regulatory Reform Working Group. Prior to joining Weil, he served as a research consultant to the Committee on Capital Markets Regulation, a 501(c)(3) research organization dedicated to improving the regulation of US capital markets.

Mr. Dizik had brief stints in the SEC's Offices of International Affairs and General Counsel, where he focused on the international enforcement of the federal securities laws, provided technical assistance to foreign regulators and advised on the development of the Commission's insider trading compliance program.

Community Engagement

He is a member of the Detroit Jewish Federation's Local Agency Planning and Business Practices Committee overseeing the Federation's nearly two dozen agencies and is a member of the Jewish Federation of North America's National Young Leadership Cabinet and Security Task Force.

Education

Mr. Dizik is a recipient of Michigan State University's Distinguished Young Alumni Award from where he holds a J.D., and a B.A. from its James Madison College and where he established the Frank H. Knight Scholarship Award for students whose studies are focused at the intersection of leadership, economics and ethics. He received the Federal Bar Association's Edward H. Rakow Scholarship Award for academic excellence in corporate and securities law. Additionally, he holds an LL.M. from Georgetown University Law Center which recognized him for "extraordinary academic performance" in International White-Collar Crime. Mr. Dizik is a member of the New York and District of Columbia Bars.

SOLUTIONS

Financial Crime Consulting
Investigations + Business Intelligence
Monitorships
Risk + Compliance

Corporate Integrity Monitoring
Banking + Financial Monitorships
Institutional Integrity

EDUCATION

- Juris Doctor, *cum laude*, Michigan State University
- Master of Laws, Securities and Financial Regulation, Georgetown University
- Bachelor of Arts, Political Theory/Political Economy, James Madison College at Michigan State University