

Allan J. Sullivan

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2017 to Present ***Managing Member and Founder***
Sullivan PLLC

Federal criminal defense and general commercial legal practice, providing litigation, compliance, regulatory and business legal services. Regularly undertakes land use controversies and municipal representations.

2015-17 ***General Counsel***
Agency of Human Services, State of Vermont, Waterbury, Vermont

Chief Legal Counsel for the Agency, overseeing the legal work of six State of Vermont Departments (Mental Health; Children and Families; Health; Vermont Health Access; Disabilities Aging and Independent Living; Corrections). Significant personal participation in several health care reform initiatives; provided legislative support and testimony for the Agency; led the negotiation of substantial Agency contracts and grants; and handled various employment and collective bargaining issues. Member, Governor's Employment Misclassification Task Force; Member, Interagency Committee on Administrative Rule Making.

2013-15 ***Founder and Co-Managing Partner***
Sullivan.Ruvoldt, PLLC, New York City and Miami, Florida

Boutique commercial litigation, corporate compliance and regulatory/white collar criminal defense law firm having offices and litigation support staff in Miami and New York City.

2004-13 **Baker and McKenzie, LLP, Miami, Florida**

Principal (2008-13)

Global Equity Partner and Member of the firm's North American White Collar Defense Steering Committee. Significant Foreign Corrupt Practices Act experience. Represented and trained Boards, Audit Committees and executive management in the United States, India, Switzerland, and Latin America as to various corporate governance and legal compliance issues. Represented individuals and companies facing potential and actual criminal charges. Maintained as well a significant multi-jurisdictional commercial litigation practice. Successfully prosecuted multi-year post-merger international arbitration before the ICC and defended numerous commercial matters for US and international clients.

Partner (2004-08)

Miami Resident National Partner, with a practice primarily dedicated to the defense of white collar matters and commercial litigation. Served as the North American White Collar Practice Group head (2005-06). Led successful defense of high visibility federal multi-jurisdictional investigation of global logistics client into alleged unlawful hiring practices. Represented individual executives, owners and board members in connection with the investigation of allegations of corporate misconduct.

1998-2004 ***Founder and Co-Managing Partner***
Sullivan Rivero & Chase, P.A., Miami, Florida

Commercial litigation and corporate white collar criminal and regulatory defense firm. Substantial representation of health care provider organizations, including defense of federal False Claims Act matters. Defended complex commercial litigation claims.

1996-98 ***Chief, Criminal Division***
U.S. Attorney's Office, Southern District of Florida, Miami, Florida

Led one of the country's most active federal prosecution offices, overseeing the work of over 200 prosecutors in the District's Miami, Broward and Palm Beach Divisions. Participated in several high-profile corruption, white collar fraud and espionage matters.

1994-96 ***Assistant Counsel to the Attorney General***
Office of Professional Responsibility, U.S. Department of Justice, Washington, DC

Conducted numerous investigations into alleged instances of professional and personal misconduct by federal prosecutors throughout the United States.

1987-94 ***Assistant United States Attorney***
U.S. Attorney's Office, Southern District of Florida, Miami, Florida

Assigned variously to the Appeals, Major Crimes and Economic Crimes Divisions, practice focused on grand jury investigations and white collar prosecutions. Led successful multi-year investigation and prosecution of one of the nation's most prominent bank fraud matters. Recipient of *Attorney General's Award for Superior Performance*. Served as the District's *Financial Institutions Fraud Coordinator*. Assigned lead counsel role in numerous federal criminal trials and matters argued to the U.S. Circuit Court of appeals.

1982-87 ***Associate***
Goodwin Procter, Boston, Massachusetts

Significant securities, class actions and products liabilities experience in general corporate commercial litigation practice. Cross-designated to the firm's Labor and Employment Practice Group (1983-85).

EDUCATION:

Georgetown University Law Center, Juris Doctorate, *magnum cum laude* (High Honors, top 10% of class) (1982). Served as *Editor in Chief* (1981-82) of the *Georgetown University Int'l Law Journal*.

Northeastern University, B.S. Finance, *summa cum laude* (1979).

ADMITTED TO PRACTICE:

New York (2013), Florida (1998), Massachusetts (1982), Vermont (2014); U.S. District Court, District of Vermont (2017), Northern District of New York (2017), Southern District of New York (2016), Middle District of Florida (2013), Southern District of Florida (1998), District of Massachusetts (1982); U.S. Court of Appeals First Circuit (1984), Second Circuit (2017) and Eleventh Circuit (2001); U.S. Tax Court (2012).

COMMUNITY SERVICE:

Chair, Board of Directors, Dismas of Vermont (2020 to 2022) (former service on Rutland House “Local Council” (2017) and as a statewide *Dismas of Vermont* Board member (2019-20)).

Criminal Justice Act Panel, United States District Court for the District of Vermont (2018-date).

Board of Directors, *Habitat for Humanity of Bennington County* (2018-23).

Board of Directors, *Project Independence* (2018-20).

Board of Civil Authority, Dorset, Vermont (2020-22).

Chair, *Democratic Party Town Committee, Dorset, Vermont* (2018-23)

Member *Steering Committee, Southern Vermont Comprehensive Economic Development Strategy (“CEDS”)* (2020 – 2022).

Member, *Red Group (Bennington County Regional Economic Development Group)* (2018-22)

Co-founder of, and *pro bono* counsel to, *B.E.S.T.* (2013-18), an Anti-Human Trafficking organization supplying legal services and supports to over 3,000 victims of human trafficking.

Board of Directors, *Spellman-Hoeveler Inns of Court (South Florida)* (2011-13).

Florida Bar Unlicensed Practice of Law Committee (2010-13).

Florida Bar Attorney Regulation Committee (two terms 2004-10).

Appointed *Special Trial Counsel, Florida Bar (The Florida Bar v. Nieman, No. SC 94738 (Fla. S. Ct. 2002))*.
Commendation by the Florida Bar for *Exceptional Public Service* (2003).

Appointed by the Mayor of the City of Miami (1999) to conduct investigation into allegations of misconduct involving City of Miami Chief of Police.

PUBLICATION:

At Close Quarters, A CEO’s Guide to Navigating the Unanticipated Government Investigation and Regulatory Enforcement Action: *Internal Investigations, Best Practices, Mistake Avoidance and the Corporate Compliance Value Proposition* (2018) published by Third River Publishing, New York, NY.