

ERIC A. FORNI

TEACHING EXPERIENCE

University of Massachusetts, Amherst, Isenberg School of Management June 2011 – Present
Adjunct Faculty / Instructor

- Developed and instruct online business law course.
- Instruct an online course offered as part of a Master of Science in Accounting program.

Springfield Technical Community College June 2010 – Present
Adjunct Faculty / Instructor

- Developed and instruct online business law and criminal procedure courses.

Northeastern University School of Law *J.D., 2007*

- Served as a teaching assistant for civil procedure and constitutional law courses.
- Served as an academic success tutor.

PROFESSIONAL EXPERIENCE

United States Attorney's Office for the District of Massachusetts
Special Assistant United States Attorney, Economic Crimes Unit February 2014 – Present

- Designated to investigate and prosecute potential criminal violations of the federal laws.
 - o Working on a matter in which five individuals were charged with conspiracy, securities fraud, and wire fraud following an undercover FBI operation (*USA v. Michael Affa*).
 - o Working on the following additional matters involving alleged market manipulation (*USA v. Thomas Brazil; USA v. Richard Weed*).
- Coordinate extensively with the FBI on investigations and prosecutions.

United States Securities and Exchange Commission, Division of Enforcement,
Senior Counsel, Boston Regional Office September 2010 – Present
Member, Market Abuse Unit April 2010 – Present
Staff Attorney, Boston Regional Office September 2007 – September 2010

Experience Conducting Investigations and Litigations Concerning the Federal Securities Laws

- Conducted a wide range of investigations that resulted in enforcement actions, such as: *SEC v. Boston Trading and Research, LLC* (offering fraud); *SEC v. Apogee Technology, Inc.* (accounting fraud); *SEC v. James J. Konaxis* (churning); *In the Matter of Ira Yohalem, CPA* (auditor independence); *SEC v. AutoChina International Limited* (market manipulation); *SEC v. David Miller* (unauthorized trading); and *In the Matter of Morgan Stanley & Co. LLC* (market access rule).
- Served on core litigation teams subsequent to the filing of an enforcement action.
 - o Obtained a judgment that required the defendant to pay more than \$500,000 in disgorgement plus prejudgment interest following an oral argument in a district court action.
 - o Conducted the depositions of the principals of the defendant entities, and other parties, in a complex and multinational insider trading action.
- Resolved conflicts by negotiating and successfully obtaining settlements following several investigations.
- Worked (or work) on matters involving novel issues, new market practices, and trends, including matters concerning foreign currency; an expert network; direct market access; and a U.S. company with substantial foreign operations (coordinated with the SEC's Cross-Border Working Group).

Leadership and Coordination

- Lead investigative teams by developing strategic investigative plans, managing case files and large volumes of data, monitoring and ensuring completion of investigative steps, and serving as the primary point of contact.
- Managed the Boston Regional Office intern program by serving as a co-coordinator.
- Served as the Chair of the Boston Regional Office Diversity and Inclusion Committee's Outreach subcommittee.
- Spearheaded numerous matters involving parallel investigations conducted by the Department of Justice and other regulators.

Recognition

- Selected to be a member of the Market Abuse Unit, which is a specialized national investigative group.
- Nominated by the Boston Regional Office for the Manuel F. Cohen (Honorary Commission) Award, which is a national award that recognizes the outstanding legal ability of a young attorney.
- Received awards recognizing outstanding contribution to enforcement work (Division of Enforcement Director's Awards and Boston Regional Office performance awards).

EDUCATION

Northeastern University School of Law

J.D., 2007

University of Massachusetts, Amherst

B.B.A., 2004

- *Summa Cum Laude*
- Isenberg School of Management, Accounting Major; Commonwealth (Honors) College.
- Awarded a substantial academic scholarship for being high school valedictorian.

PROFESSIONAL LICENSES

Attorney, Massachusetts and Rhode Island

November 2007