

UNITED STATES SENATE
COMMITTEE ON THE JUDICIARY

QUESTIONNAIRE FOR JUDICIAL NOMINEES

PUBLIC

1. **Name**: State full name (include any former names used).

Andrea Robin Wood

2. **Position**: State the position for which you have been nominated.

United States District Judge for the Northern District of Illinois

3. **Address**: List current office address. If city and state of residence differs from your place of employment, please list the city and state where you currently reside.

U.S. Securities and Exchange Commission
175 West Jackson Boulevard, Suite 900
Chicago, Illinois 60604

4. **Birthplace**: State year and place of birth.

1973; St. Louis, Missouri

5. **Education**: List in reverse chronological order each college, law school, or any other institution of higher education attended and indicate for each the dates of attendance, whether a degree was received, and the date each degree was received.

1995 – 1998, Yale Law School; J.D., 1998

1991 – 1995, University of Chicago; B.A., *honors*, 1995

6. **Employment Record**: List in reverse chronological order all governmental agencies, business or professional corporations, companies, firms, or other enterprises, partnerships, institutions or organizations, non-profit or otherwise, with which you have been affiliated as an officer, director, partner, proprietor, or employee since graduation from college, whether or not you received payment for your services. Include the name and address of the employer and job title or description.

2004 – present
U.S. Securities and Exchange Commission
175 West Jackson Boulevard, Suite 900
Chicago, Illinois 60604

Senior Trial Counsel, Division of Enforcement (2007 – present)
Senior Attorney, Division of Enforcement (2004 – 2007)

Summer 1997, 1999 – 2004
Kirkland & Ellis LLP
300 North LaSalle Street
Chicago, Illinois 60654
Associate (1999 – 2004)
Summer Associate (Summer 1997)

1998 –1999
United States Court of Appeals for the Seventh Circuit
Everett McKinley Dirksen United States Courthouse
219 South Dearborn Street
Chicago, Illinois 60604
Law Clerk to the Honorable Diane P. Wood

1996 – 1998 (during academic year)
Jerome N. Frank Legal Services Organization
Yale Law School
P.O. Box 209090
New Haven, Connecticut 06520
Student Director

Summer 1997
U.S. Department of Justice, Civil Division, Commercial Litigation Branch
950 Pennsylvania Avenue, NW
Washington, DC 20530
Summer Honors Intern

Summer 1996
SNR Denton (formerly Sonnenschein Nath & Rosenthal LLP)
233 South Wacker Drive
Suite 7800
Chicago, Illinois 60606
Summer Associate

Summer 1995
Davis Polk & Wardwell LLP
450 Lexington Avenue
New York, New York 10017
Summer Paralegal/Sponsors for Educational Opportunity Intern

7. **Military Service and Draft Status:** Identify any service in the U.S. Military, including dates of service, branch of service, rank or rate, serial number (if different from social

security number) and type of discharge received, and whether you have registered for selective service.

I have not served in the military. I was not required to register for selective service.

8. **Honors and Awards:** List any scholarships, fellowships, honorary degrees, academic or professional honors, honorary society memberships, military awards, and any other special recognition for outstanding service or achievement.

Professional

Director's Award from the Director of the Division of Enforcement (2007)

I have also received approximately eight Special Act awards for work on individual matters since joining the Commission in 2004.

Academic

Yale Law Journal (Articles Editor, 1997 – 1998)

Yale Law and Policy Review (Articles Editor, 1996 – 1997)

University of Chicago, Convocation Speaker (1995)

University of Chicago, Honors (1995)

University of Chicago, Phi Beta Kappa Society (elected 1995)

University of Chicago, Maroon Key Honor Society (elected 1994)

University of Chicago, College Honors Scholarship recipient (full tuition)

University of Chicago, Dean's List (all quarters)

9. **Bar Associations:** List all bar associations or legal or judicial-related committees, selection panels or conferences of which you are or have been a member, and give the titles and dates of any offices which you have held in such groups.

American Bar Association (1999 – present)

Section of Litigation

Section of Administrative Law and Regulatory Practice

Section of Criminal Justice

Black Women Lawyers' Association of Greater Chicago (1999 – present)

Judicial Evaluations Committee (2006 – 2007, 2012 – present)

Mentoring Committee (2012 – present)

Chicago Bar Association (1999 – present)

CBA Chorus (2007 – present)

Federal Civil Practice Committee (2009 – present)

Alliance for Women (2009 – present)

10. **Bar and Court Admission:**

- a. List the date(s) you were admitted to the bar of any state and any lapses in membership. Please explain the reason for any lapse in membership.

Illinois, 1998

There have been no lapses in membership.

- b. List all courts in which you have been admitted to practice, including dates of admission and any lapses in membership. Please explain the reason for any lapse in membership. Give the same information for administrative bodies that require special admission to practice.

United States Court of Appeals for the Seventh Circuit, 1999

United States District Court for the Northern District of Illinois, 2000

There have been no lapses in membership.

11. **Memberships:**

- a. List all professional, business, fraternal, scholarly, civic, charitable, or other organizations, other than those listed in response to Questions 9 or 10 to which you belong, or to which you have belonged, since graduation from law school. Provide dates of membership or participation, and indicate any office you held. Include clubs, working groups, advisory or editorial boards, panels, committees, conferences, or publications.

Literacy Chicago, Associate Board (2003 – 2004)

University of Chicago Alumni Schools Committee (2013 – present)

- b. The American Bar Association's Commentary to its Code of Judicial Conduct states that it is inappropriate for a judge to hold membership in any organization that invidiously discriminates on the basis of race, sex, or religion, or national origin. Indicate whether any of these organizations listed in response to 11a above currently discriminate or formerly discriminated on the basis of race, sex, religion or national origin either through formal membership requirements or the practical implementation of membership policies. If so, describe any action you have taken to change these policies and practices.

To the best of my knowledge, neither of the organizations listed above currently discriminates or formerly discriminated on the basis of race, sex, religion or national origin either through formal membership requirements or the practical implementation of membership policies.

12. **Published Writings and Public Statements:**

- a. List the titles, publishers, and dates of books, articles, reports, letters to the editor, editorial pieces, or other published material you have written or edited, including material published only on the Internet. Supply four (4) copies of all published material to the Committee.

During college, I served as Staff Writer and News Editor for the student newspaper THE CHICAGO MAROON. In those positions, I authored numerous published articles, including the following:

Andrea Wood, *Police search for multiple rapist*, THE CHICAGO MAROON, May 10, 1994. Copy supplied.

Andrea Wood, *Former Alpha Delt pledge recounts troubling fraternity experiences*, THE CHICAGO MAROON, May 3, 1994. Copy supplied.

Andrea Wood, *Moon church brings peace campaign to campus*, THE CHICAGO MAROON, Apr. 12, 1994. Copy supplied.

Andrea Wood, *University acknowledges financial crisis, Administration calls for drastic action to reverse downward trend*, THE CHICAGO MAROON, Apr. 8, 1994. Copy supplied.

Andrea Wood, *Saller appointed Social Sciences Division dean*, THE CHICAGO MAROON, Apr. 5, 1994. Copy supplied.

Andrea Wood, *University announces 5.3% tuition increase*, THE CHICAGO MAROON, Mar. 8, 1994. Copy supplied.

Andrea Wood, *Model UN wins top honors at Harvard conference*, THE CHICAGO MAROON, Feb. 25, 1994. Copy supplied.

Andrea Wood, *Alpha Delt president, victim criticize University response*, THE CHICAGO MAROON, Feb. 22, 1994. Copy supplied.

Andrea Wood, *Sexual violence center seeks to raise awareness*, THE CHICAGO MAROON, Feb. 22, 1994. Copy supplied.

Andrea Wood, *College Bowl team racks up win on the road*, THE CHICAGO MAROON, Feb. 18, 1994. Copy supplied.

Andrea Wood, *Toure calls for student action against capitalism*, THE CHICAGO MAROON, Feb. 15, 1994. Copy supplied.

Amy McGoldrick and Andrea Wood, *Student accuses two Alpha Delt of sexual assault*, THE CHICAGO MAROON, Feb. 11, 1994. Copy supplied.

Andrea Wood, *CSO conductor Barenboim speaks on 'nature' of music*, THE CHICAGO MAROON, Feb. 11, 1994. Copy supplied.

Andrea Wood, *Program battles drug abuse among homeless*, THE CHICAGO MAROON, Feb. 1, 1994. Copy supplied.

Andrea Wood, *SG recommends student fee hike*, THE CHICAGO MAROON, Jan. 21, 1994. Copy supplied.

Andrea Wood, *Panel challenges image of King, civil rights*, THE CHICAGO MAROON, Jan. 18, 1994. Copy supplied.

Andrea Wood, *Power outage cancels classes*, THE CHICAGO MAROON, Jan. 18, 1994. Copy supplied.

Andrea Wood, *24-hour study space a bust*, THE CHICAGO MAROON, Jan. 11, 1994. Copy supplied.

Andrea Wood, *Radiation experiments provoke ethics debate, U of C exposed cancer patients without consent*, THE CHICAGO MAROON, Jan. 7, 1994. Copy supplied.

Andrea Wood, *Hospital therapist suspended after ventilator error*, THE CHICAGO MAROON, Jan. 7, 1994. Copy supplied.

Amy McGoldrick and Andrea Wood, *Student government shuttles students; backs bylaws*, THE CHICAGO MAROON, Dec. 3, 1993. Copy supplied.

Andrea Wood, *Legal officials rationalize drug policy*, THE CHICAGO MAROON, Nov. 16, 1993. Copy supplied.

Andrea Wood, *SG Assembly votes down allocation proposal*, THE CHICAGO MAROON, Nov. 12, 1993. Copy supplied.

Andrea Wood, *University finds permanent homes for Shoreland overflow*, THE CHICAGO MAROON, Oct. 29, 1993. Copy supplied.

Amy McGoldrick and Andrea Wood, *Student magazine ranks U of C social life 'worst ever'*, THE CHICAGO MAROON, Oct. 26, 1993. Copy supplied.

Andrea Wood, *Admissions battles negative perceptions*, THE CHICAGO MAROON, Oct. 26, 1993. Copy supplied.

Andrea Wood, *Sonnenschein ascends to power, Ceremony marks beginning of University's 11th presidency*, THE CHICAGO MAROON, Oct. 22, 1993. Copy supplied.

Andrea Wood, *Second shooting attributed to gang violence*, THE CHICAGO MAROON, Oct. 22, 1993. Copy supplied.

Andrea Wood, *Student housing admits 'big mistake,' Surprise roommates anger upperclassmen and first-years alike*, THE CHICAGO MAROON, Oct. 8, 1993. Copy supplied.

Andrea Wood, *U of C Laboratory Schools dedicate new addition*, THE CHICAGO MAROON, Oct. 8, 1993. Copy supplied.

Andrea Wood, *Student advocates deliver report on campus computing*, THE CHICAGO MAROON, May 28, 1993. Copy supplied.

Andrea Wood, *Braun returns to alma mater*, THE CHICAGO MAROON, May 25, 1993. Copy supplied.

Andrea Wood, *Abortion activists challenge on 'Common Ground,'* THE CHICAGO MAROON, May 14, 1993. Copy supplied.

Cory Scott and Andrea Wood, *SG campaigns blasted by 'loose cannons,'* THE CHICAGO MAROON, May 11, 1993. Copy supplied.

Andrea Wood, *Carville speaks down to earth on Clinton campaign*, THE CHICAGO MAROON, Apr. 30, 1993. Copy supplied.

Andrea Wood, *SA Court tosses votes: Referendum passes*, The Chicago Maroon, Apr. 27, 1993. Copy supplied.

Andrea Wood, *Korematsu shares plight of WWII internees*, THE CHICAGO MAROON, Apr. 23, 1993. Copy supplied.

Andrea Wood, *Referendum results challenged, Students to face allegations of illegal campaigning in SA Court*, THE CHICAGO MAROON, Apr. 16, 1993. Copy supplied.

Andrea Wood, *SG funding sparks controversy*, THE CHICAGO MAROON, Apr. 9, 1993. Copy supplied.

Andrea Wood, *Motet Choir storms West Coast; Rockefeller next*, THE CHICAGO MAROON, Apr. 2, 1993. Copy supplied.

Andrea Wood, *Urban renewal for HP's neighbors*, THE CHICAGO MAROON, Feb. 23, 1993. Copy supplied.

Jennifer Ordonez and Andrea Wood, *Activities fee set at \$20 per quarter*, THE CHICAGO MAROON, Feb. 23, 1993. Copy supplied.

Heather Lauren Hughes and Andrea Wood, *'A Day for Bosnia' addresses region's conflicts*, THE CHICAGO MAROON, Feb. 12, 1993. Copy supplied.

Andrea Wood, *Tiffany Trent: The admissions office and beyond*, THE CHICAGO MAROON, Jan. 26, 1993. Copy supplied.

Andrea Wood, *Profs prophesize on presidency*, THE CHICAGO MAROON, Jan. 15, 1993. Copy supplied.

Andrea Wood, *Student petitions for SA justice's removal*, THE CHICAGO MAROON, Nov. 10, 1992. Copy supplied.

Andrea Wood, *Peer Health Educators address acquaintance rape*, THE CHICAGO MAROON, Nov. 3, 1992. Copy supplied.

Andrea Wood, *Eight new faculty members arrive on campus*, THE CHICAGO MAROON, Oct. 16, 1992. Copy supplied.

Andrea Wood, *Study finds diabetes genetic link*, THE CHICAGO MAROON, May 8, 1992. Copy supplied.

Andrea Wood, *Future secure for U of C Fermilab, Argonne lab*, THE CHICAGO MAROON, May 1, 1992. Copy supplied.

Andrea Wood, *Stored books damaged, repaired at Harper Library*, THE CHICAGO MAROON, Apr. 24, 1992. Copy supplied.

Andrea Wood, *Kenneth Dam revamps United Way of America*, THE CHICAGO MAROON, Apr. 10, 1992. Copy supplied.

Andrea Wood, *US News announces graduate school rankings*, THE CHICAGO MAROON, Apr. 3, 1992. Copy supplied.

Andrea Wood, *Controversy surrounds dental clinic*, THE CHICAGO MAROON, Mar. 6, 1992. Copy supplied.

Andrea Wood, *New umbrella coverage begins*, THE CHICAGO MAROON, Feb. 25, 1992. Copy supplied.

Andrea Wood, *Community discusses Hyde Park youth*, THE CHICAGO MAROON, Feb. 21, 1992. Copy supplied.

Andrea Wood, *Fairy Tales: myth or reality?*, THE CHICAGO MAROON, Feb. 4, 1992. Copy supplied.

Andrea Wood, *Hiring freeze hits home*, THE CHICAGO MAROON, Jan. 21, 1992. Copy supplied.

Andrea Wood, *Americans fear Japanese economic power*, THE CHICAGO MAROON, Nov. 22, 1991. Copy supplied.

Andrea Wood, *Professors challenge Noelle-Neumann*, THE CHICAGO MAROON, Nov. 1, 1991. Copy supplied.

Andrea Wood, *Professor rebuts Nazi charges*, THE CHICAGO MAROON, Oct. 25, 1991. Copy supplied.

Andrea Wood, *Hospitals may expand liver transplant program*, THE CHICAGO MAROON, Oct. 18, 1991. Copy supplied.

Andrea Wood, *Group fights PC label*, THE CHICAGO MAROON, Oct. 15, 1991. Copy supplied.

- b. Supply four (4) copies of any reports, memoranda or policy statements you prepared or contributed in the preparation of on behalf of any bar association, committee, conference, or organization of which you were or are a member. If you do not have a copy of a report, memorandum or policy statement, give the name and address of the organization that issued it, the date of the document, and a summary of its subject matter.

I have not prepared or contributed in the preparation of any such reports, memoranda or policy statements.

- c. Supply four (4) copies of any testimony, official statements or other communications relating, in whole or in part, to matters of public policy or legal interpretation, that you have issued or provided or that others presented on your behalf to public bodies or public officials.

July 6, 2011: I signed a joint letter from Yale Law School alumni to Senators Patrick J. Leahy and Charles Grassley in support of Jesse Furman's nomination to be appointed as a federal judge on the U.S. District Court for the Southern District of New York. Copy supplied.

May 12, 2010: I signed a joint letter from Yale Law School alumni to Senators Patrick J. Leahy and Jeff Sessions in support of Goodwin Liu's nomination to be

appointed as a federal judge on the U.S. Court of Appeals for the Ninth Circuit. Copy supplied.

- d. Supply four (4) copies, transcripts or recordings of all speeches or talks delivered by you, including commencement speeches, remarks, lectures, panel discussions, conferences, political speeches, and question-and-answer sessions. Include the date and place where they were delivered, and readily available press reports about the speech or talk. If you do not have a copy of the speech or a transcript or recording of your remarks, give the name and address of the group before whom the speech was given, the date of the speech, and a summary of its subject matter. If you did not speak from a prepared text, furnish a copy of any outline or notes from which you spoke.

March 6, 2013: I prepared and presented a short reading to introduce a section of a concert by the Chicago Bar Association Chorus and Symphony Orchestra in Chicago, Illinois. The concert was entitled "Across the Pond: Music from France and America." Notes supplied.

February 16, 2013: I prepared and presented a short reading to introduce a section of a concert by the Chicago Bar Association Chorus and Symphony Orchestra in Springfield, Illinois. The concert was entitled "Lincoln and His America: A Musical Celebration." Notes supplied.

April 9, 2009: I served as a guest lecturer for a securities law class at John Marshall Law School, Chicago, Illinois. Outline and notes supplied.

November 15, 2007: I served as a faculty member for the Public Law Initiative's "Bridge-the-Gap" course for newly admitted attorneys in Chicago, Illinois. I made a presentation entitled *Basics of SEC Practice: Representing Public Companies and Regulated Entities*. The accompanying PowerPoint presentation was also published as part of PLI's course materials. PowerPoint supplied.

June 4, 2007: I served as a faculty member for the Public Law Initiative's "Bridge-the-Gap" course for newly admitted attorneys in Chicago, Illinois. I made a presentation entitled *Basics of SEC Practice: Representing Public Companies and Regulated Entities*. The accompanying PowerPoint presentation was also published as part of PLI's course materials. PowerPoint supplied.

June 10, 1995: I was selected as a student speaker for my commencement ceremony at the University of Chicago in Chicago, Illinois. I spoke regarding the importance of graduates using their University of Chicago education and experiences to make a difference in the world. I have no notes, transcript, or recording. The University of Chicago is located at 5801 South Ellis Avenue, Chicago, IL 60637.

- e. List all interviews you have given to newspapers, magazines or other publications, or radio or television stations, providing the dates of these interviews and four (4) copies of the clips or transcripts of these interviews where they are available to you.

Andrew Harris, *SEC Submits Revised Koss Settlement After Earlier Rejection*, BLOOMBERG BUSINESSWEEK, Feb. 17, 2012 (updated Feb. 21, 2012). Copy supplied.

Phil Porter, *Judge Orders Assets of Dublin Stockbroker Frozen*, THE COLUMBUS DISPATCH, Aug. 19, 2004. Copy supplied.

Phil Porter, *Dublin, Ohio, Stock Broker Faces Fraud Charges*, THE COLUMBUS DISPATCH, Aug. 14, 2004. Copy supplied.

13. **Judicial Office:** State (chronologically) any judicial offices you have held, including positions as an administrative law judge, whether such position was elected or appointed, and a description of the jurisdiction of each such court.

I have not held judicial office.

- a. Approximately how many cases have you presided over that have gone to verdict or judgment? _____
- i. Of these, approximately what percent were:
- | | |
|-----------------------|---------------------|
| jury trials: | _____% |
| bench trials: | _____% [total 100%] |
| civil proceedings: | _____% |
| criminal proceedings: | _____% [total 100%] |
- b. Provide citations for all opinions you have written, including concurrences and dissents.
- c. For each of the 10 most significant cases over which you presided, provide: (1) a capsule summary of the nature the case; (2) the outcome of the case; (3) the name and contact information for counsel who had a significant role in the trial of the case; and (3) the citation of the case (if reported) or the docket number and a copy of the opinion or judgment (if not reported).
- d. For each of the 10 most significant opinions you have written, provide: (1) citations for those decisions that were published; (2) a copy of those decisions that were not published; and (3) the names and contact information for the attorneys who played a significant role in the case.
- e. Provide a list of all cases in which certiorari was requested or granted.

- f. Provide a brief summary of and citations for all of your opinions where your decisions were reversed by a reviewing court or where your judgment was affirmed with significant criticism of your substantive or procedural rulings. If any of the opinions listed were not officially reported, provide copies of the opinions.
 - g. Provide a description of the number and percentage of your decisions in which you issued an unpublished opinion and the manner in which those unpublished opinions are filed and/or stored.
 - h. Provide citations for significant opinions on federal or state constitutional issues, together with the citation to appellate court rulings on such opinions. If any of the opinions listed were not officially reported, provide copies of the opinions.
 - i. Provide citations to all cases in which you sat by designation on a federal court of appeals, including a brief summary of any opinions you authored, whether majority, dissenting, or concurring, and any dissenting opinions you joined.
14. **Recusal:** If you are or have been a judge, identify the basis by which you have assessed the necessity or propriety of recusal (If your court employs an "automatic" recusal system by which you may be recused without your knowledge, please include a general description of that system.) Provide a list of any cases, motions or matters that have come before you in which a litigant or party has requested that you recuse yourself due to an asserted conflict of interest or in which you have recused yourself sua sponte. Identify each such case, and for each provide the following information:

I have not held judicial office.

- a. whether your recusal was requested by a motion or other suggestion by a litigant or a party to the proceeding or by any other person or interested party; or if you recused yourself sua sponte;
 - b. a brief description of the asserted conflict of interest or other ground for recusal;
 - c. the procedure you followed in determining whether or not to recuse yourself;
 - d. your reason for recusing or declining to recuse yourself, including any action taken to remove the real, apparent or asserted conflict of interest or to cure any other ground for recusal.
15. **Public Office, Political Activities and Affiliations:**
- a. List chronologically any public offices you have held, other than judicial offices, including the terms of service and whether such positions were elected or appointed. If appointed, please include the name of the individual who appointed

you. Also, state chronologically any unsuccessful candidacies you have had for elective office or unsuccessful nominations for appointed office.

I have not held public office. I have not had any unsuccessful candidacies for elective office or nominations for appointed office.

- b. List all memberships and offices held in and services rendered, whether compensated or not, to any political party or election committee. If you have ever held a position or played a role in a political campaign, identify the particulars of the campaign, including the candidate, dates of the campaign, your title and responsibilities.

I have not held any offices in or rendered services to any political party or election committee. I have not held a position or played a role in a political campaign.

16. **Legal Career:** Answer each part separately.

- a. Describe chronologically your law practice and legal experience after graduation from law school including:

- i. whether you served as clerk to a judge, and if so, the name of the judge, the court and the dates of the period you were a clerk;

From 1998 to 1999, I clerked for Judge Diane P. Wood, United States Court of Appeals for the Seventh Circuit.

- ii. whether you practiced alone, and if so, the addresses and dates;

I have never practiced alone.

- iii. the dates, names and addresses of law firms or offices, companies or governmental agencies with which you have been affiliated, and the nature of your affiliation with each.

1999 – 2004
Kirkland & Ellis LLP
300 North LaSalle Street
Chicago, Illinois 60654
Litigation Associate

2004 – present

U.S. Securities and Exchange Commission

175 West Jackson Boulevard, Suite 900

Chicago, Illinois 60604

Senior Trial Counsel, Division of Enforcement (2007 – present)

Senior Attorney, Division of Enforcement (2004 – 2007)

- iv. whether you served as a mediator or arbitrator in alternative dispute resolution proceedings and, if so, a description of the 10 most significant matters with which you were involved in that capacity.

I have never served as a mediator or arbitrator in alternative dispute resolution proceedings.

b. Describe:

- i. the general character of your law practice and indicate by date when its character has changed over the years.

From 1999 until 2004, I worked as a litigation associate at Kirkland & Ellis LLP. While at Kirkland & Ellis, I spent the vast majority of my time working on litigation in federal court. My experience included day-to-day case management responsibility for multi-million dollar litigation matters, conducting examinations of trial witnesses, planning and implementing litigation strategy, taking and defending depositions of fact and expert witnesses, assisting in the preparation of expert reports, arguing motions, and drafting pleadings and briefs. My litigation matters involved a variety of legal topics including securities, bankruptcy, tax, insurance coverage, contracts, environmental torts, and discrimination.

During my first three years with the SEC, from April 2004 until August 2007, my practice was divided between litigation and investigations. As a Senior Attorney in the Division of Enforcement, I managed complex investigations and litigation matters involving a variety of securities law violations, including accounting and offering frauds, insider trading, unregistered offerings, auditor misconduct and reporting violations. My experience spanned all of the major statutes enforced by the SEC. My investigative work included fact-gathering through interviews, testimonies, document subpoenas and other investigative tools; analyzing evidence; performing legal research; drafting memoranda recommending enforcement action by the Commission; negotiating settlements and drafting settlement papers; and coordinating with other federal and state law enforcement authorities. I also litigated matters in federal district court and administrative proceedings on behalf of the Commission.

Since I became a Senior Trial Counsel at the SEC in 2007, my practice has consisted exclusively of federal litigation, either in district court or in administrative proceedings before the Commission and its hearing officers. I represent the Commission in district courts across the country. I am generally the lead attorney on the cases in which I appear and have primary responsibility for developing strategy, drafting pleadings, conducting fact and expert discovery, motion practice, conducting evidentiary hearings and trials, and engaging in settlement negotiations. The vast majority of my caseload consists of complex litigation. I have extensive experience with discovery matters, including issues involving electronic discovery. As counsel for a federal agency, I also have experience addressing constitutional law and administrative law issues. In addition, I regularly coordinate with U.S. Attorney's Offices, other federal and state law enforcement authorities, and foreign financial and securities regulators on parallel enforcement actions.

- ii. your typical clients and the areas at each period of your legal career, if any, in which you have specialized.

At Kirkland & Ellis, my typical clients were large national and multinational corporations and some individuals. I had no particular area of specialization beyond being a litigator. Since I have been employed by the SEC, my only client has been the Commission.

- c. Describe the percentage of your practice that has been in litigation and whether you appeared in court frequently, occasionally, or not at all. If the frequency of your appearances in court varied, describe such variance, providing dates.

Since August 2007, approximately 90% of my practice has been in litigation. The remaining 10% has consisted of advising SEC investigative staff prior to the filing of litigation and during settlement negotiations. When I served as a Senior Attorney at the SEC during the time period from April 2004 until August 2007, I spent approximately 40% of my time working on litigation and 60% of my time working on investigations.

During my time in private practice from 1999 to 2004, I spent over 90% of my time working on litigation. On occasion, I also worked on regulatory matters, such as assisting clients responding to information requests in connection with investigations by federal agencies.

I have appeared in court frequently throughout my career.

- i. Indicate the percentage of your practice in:
 - 1. federal courts: 75%
 - 2. state courts of record: 5%
 - 3. other courts: 0%

4. administrative agencies: 20%

ii. Indicate the percentage of your practice in:

1. civil proceedings: 100%
2. criminal proceedings: 0%

d. State the number of cases in courts of record, including cases before administrative law judges, you tried to verdict, judgment or final decision (rather than settled), indicating whether you were sole counsel, chief counsel, or associate counsel.

I have tried two cases to verdict in SEC administrative proceedings. I served as lead counsel in one proceeding (*In the matter of Oprins and McNeeley*, Admin. Proc. File No. 3-13797) and second-chair in the other (*In the matter of Smith*, Admin. Proc. File No. 3-12267). Both of these cases were bench trials. I also tried a case as associate counsel in bankruptcy court that settled while we were waiting for the court's decision after the close of evidence and post-trial briefing (*In re Conseco, Inc.*, Case No. 02-49672 (Bankr. N.D. Ill.)). In addition, I have served as lead or associate counsel on several cases that were resolved on the merits at the motion to dismiss or summary judgment stage, and several others that settled on the eve of trial after pre-trial preparations had been completed.

i. What percentage of these trials were:

1. jury: 0%
2. non-jury: 100%

e. Describe your practice, if any, before the Supreme Court of the United States. Supply four (4) copies of any briefs, amicus or otherwise, and, if applicable, any oral argument transcripts before the Supreme Court in connection with your practice.

I have never practiced before the Supreme Court of the United States.

17. **Litigation**: Describe the ten (10) most significant litigated matters which you personally handled, whether or not you were the attorney of record. Give the citations, if the cases were reported, and the docket number and date if unreported. Give a capsule summary of the substance of each case. Identify the party or parties whom you represented; describe in detail the nature of your participation in the litigation and the final disposition of the case. Also state as to each case:

- a. the date of representation;
- b. the name of the court and the name of the judge or judges before whom the case was litigated; and

- c. the individual name, addresses, and telephone numbers of co-counsel and of principal counsel for each of the other parties.

1. *SEC v. Sentinel Management Group, Inc. et al.*, Case No. 07-cv-4684, 2012 WL 1079961 (N.D. Ill. March 30, 2012), Honorable Charles P. Kocoras.

The SEC brought this enforcement action against Bloom and Mosley, alleging that they orchestrated a massive fraud at the investment adviser Sentinel Management Group, Inc. (“Sentinel”). Sentinel, which was one of the first financial services firms to falter during the financial crisis of 2007, lost several hundred million dollars of its \$1.4 billion of client assets under management as a result of the alleged fraud. The case was originally brought in 2007 as an emergency action for a temporary restraining order and other relief against Sentinel. The SEC amended the complaint in 2008 to add multiple securities fraud charges against Bloom and Mosley. Sentinel filed for bankruptcy in August 2007 and subsequently settled the SEC’s claims against it. In March 2012, the court granted the SEC’s motion for summary judgment against Mosley on five counts of the complaint. In the same ruling, the court found that the claims against Bloom should proceed to trial. The parties were preparing for trial on the remaining claims when the U.S. Attorney’s Office indicted both Bloom and Mosley. The SEC’s case is currently stayed pending resolution of the parallel criminal proceeding. As lead counsel for the SEC, I have been primarily responsible for all aspects of the litigation since the initial action was filed in August 2007, including the initial TRO hearing, fact and expert discovery, and summary judgment briefing.

Co-counsel for the SEC:
Eric Phillips
U.S. Securities and Exchange Commission
175 West Jackson Boulevard
Chicago, IL 60604
(312) 353-7390

Counsel for Grede, as Trustee for the Sentinel Liquidation Trust:
J. Kevin McCall
Chris C. Gair
Vincent E. Lazar
Jenner & Block LLP
330 North Wabash Avenue
Chicago, IL 60601
(312) 222-9350

Counsel for Defendant Bloom:
Theodore T. Poulos
Terence H. Campbell
Cotsirilos, Tighe, Streicker, Poulos & Campbell, Ltd.
33 North Dearborn Street, Suite 600
Chicago, IL 60602
(312) 263-0345

Counsel for Defendant Mosley:
Stephen I. Peck
Law Offices of Stephen Peck
105 West Madison Street, Suite 700
Chicago, IL 60602
(312) 345-1250

Charles L. Nesbit
Law Office
105 West Madison Street, Suite 700
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2. *In re Consecro, Inc.*, Case No. 02-49672, United States Bankruptcy Court, Northern District of Illinois, Honorable Carol A. Doyle.

Consecro, Inc. filed for bankruptcy protection in December 2002. At the time, with \$52 billion in assets, Consecro's bankruptcy was the third-largest in corporate history, trailing only those of WorldCom and Enron Corporation. I was a member of the trial team that litigated the contested bankruptcy plan confirmation proceeding. The trial lasted more than one month and concerned a challenge by a group of preferred shareholders to the fairness of the proposed plan of reorganization. At trial, I focused on a dispute involving the interaction between certain provisions of the bankruptcy and federal tax codes. My responsibilities included examining fact and expert witnesses at trial, arguing an evidentiary motion regarding the admissibility of testimony, and working on pre-trial and post-trial briefs. The parties reached a negotiated resolution after the close of evidence and completion of post-trial briefing. Consecro's bankruptcy plan was confirmed on September 9, 2003.

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3. *In the matter of Oprins, CPA, and McNeeley, CPA*, Admin. Proc. File No. 3-13797, 2010 WL 5376531, Release No. 411 (Initial Decision, December 28, 2010), Honorable Robert G. Mahoney; *In the matter of the Application of McNeeley, CPA*, Admin. Proc. File No. 3-13797, Release No. 3427, 2012 WL 6457291 (Commission Opinion, December 13, 2012).

The SEC's Division of Enforcement brought this disciplinary proceeding against Oprins and McNeeley in 2010 based on their improper professional conduct during the failed financial statement audits of AA Capital Partners, Inc., an investment adviser registered with the Commission, and one of its affiliated private equity funds. After an eight-day bench trial, the administrative law judge issued a decision finding that McNeeley engaged in improper professional conduct and imposed a sanction prohibiting her from practicing as an accountant before the Commission for a period of at least one year. The administrative law judge further found that Oprins also failed to meet the required standard of conduct for the audits but he declined to find that Oprins' conduct was reckless or highly unreasonable such as to warrant a sanction. Thus, the case against Oprins was dismissed. McNeely appealed the decision against her to the Commission, which serves as the first level of review for initial decisions. After full briefing and oral argument, the Commission issued an opinion on December 13, 2012 affirming the findings against McNeely but reducing her sanction from one year to six months. I served as the lead trial counsel with overall responsibility for the conduct of the litigation, including serving as first-chair counsel for the trial and briefing and arguing the Commission appeal.

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4. *SEC v. Smith et al.*, Case No. C2 04 0739, 2005 WL 2373849 (S.D. Ohio September 27, 2005), Honorable Gregory L. Frost, *aff'd*, 2006 WL 3690414 (6th Cir. 2006) (*per curiam*); *In the matter of Smith*, Admin. Proc. File No. 3-12267, 2006 WL 2795255, Release No. 2604 (Initial Decision, Sept. 29, 2006), Honorable Carol Fox Foelak; *In the matter of Smith*, Admin. Proc. File No. 3-12267, Release No. 2604, 2007 WL 1435548 (Commission Opinion, May 16, 2007).

In August 2004, the SEC sued Smith, Continental Midwest Financial, Inc. and Scioto National, Inc. for fraudulent securities offerings that raised approximately \$2.1 million from dozens of victims, many of whom lost their retirement savings. In September 2005, the court granted summary judgment in the SEC's favor on all claims, with the exception of one aiding and abetting claim against Smith that the court found presented an issue for trial. In December 2005, shortly before a trial on remedies, the defendants stipulated to entry of a Final Judgment, subject to a right to appeal, which: (1) imposed a permanent injunction; (2) ordered Smith and the companies to disgorge the investor funds they had raised, plus prejudgment interest; and (3) ordered Smith to pay a civil penalty of \$120,000. The U.S. Court of Appeals for the Sixth Circuit affirmed the district court's summary judgment ruling on December 12, 2006. As second-chair counsel, I was responsible for pre-trial discovery and motion practice, including work on the successful summary judgment motion. I also presented the SEC's case at the initial TRO hearing in conjunction with the filing of the complaint, after which the court granted the SEC's request for emergency relief, including freezing and ordering an accounting of the defendants' assets.

In April 2006, following the entry of the district court judgment against Smith, the Division of Enforcement instituted an administrative proceeding to impose industry sanctions against him. After a three-day bench trial, the administrative law judge issued an Initial Decision barring Smith from associating with any broker, dealer or investment adviser. On appeal, the Commission affirmed the Initial Decision on May

16, 2007. I served as second-chair counsel at trial and was responsible for examining multiple witnesses, including cross-examining Smith, and preparing portions of the pre-trial and post-trial briefs. I also worked on the briefs for the Commission appeal, which was decided without argument.

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5. *SEC v. Fisher et al.*, Case No. 07-cv-4483, 2012 WL 3757375 (N.D. Ill. Aug. 28, 2012), Honorable James B. Zagel.

In August 2007, the SEC sued Fisher, Halloran and Behrens in federal district court for their roles in an alleged financial fraud by Nicor Inc., a natural gas utility holding company. The complaint alleges that the defendants caused Nicor to enter into a series of sham transactions in order to manage the company's earnings and achieve earnings targets under a performance-based rate plan. Fisher settled the claims against him in August 2010. In August 2012, the court ruled on a summary judgment motion filed by the remaining defendants. Although the court found in favor of the SEC and denied the defendants' motion on the merits of the claims, the court agreed with the defendants that certain relief requested by the SEC (including injunctive relief and civil penalties) would be inappropriate under the circumstances as a matter of law. The case is currently proceeding on the remaining relief, including disgorgement of the defendants' ill-gotten gains. As lead counsel for the SEC, I have day-to-day responsibility for all aspects of the litigation, including extensive pre-trial discovery, motion practice, trial preparation and settlement negotiations.

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6. *Hill v. Amoco Oil Company*, Case No. 97-cv-07501, 2003 WL 262424 (N.D. Ill. Jan. 27, 2003), Honorable Joan B. Gottschall.

Plaintiff Hill brought a class action against Amoco Oil Company alleging discrimination in the application of prepayment policies at its gas stations. I was a member of the litigation team that obtained summary judgment in Amoco's favor on the class claim for injunctive relief and obtained sanctions against class counsel for misconduct during discovery. The court denied the parties' cross motions for summary judgment on Hill's individual claim for damages, finding that there were issues of fact for the jury to decide. The parties subsequently settled Hill's individual claim. Among other things, I was primarily responsible for conducting fact discovery and drafting Amoco's summary judgment motion and motion for discovery sanctions.

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7. *Tricontinental Industries, Ltd. et al. v. Anixter et al.*, Case No. 01-cv-5526, *Tricontinental Indus., Ltd. et al. v. Anixter et al.*, 184 F. Supp. 2d 786 (N.D. Ill. 2002); *Tricontinental Indus., Ltd. et al. v. Anixter et al.*, 256 F. Supp. 2d 806 (N.D. Ill. 2003); *Tricontinental Indus., Ltd. et al. v. Anixter et al.*, 299 F. Supp. 2d 863 (N.D. Ill. 2004); *Tricontinental Indus., Ltd. et al. v. Anixter et al.*, 313 F. Supp. 2d 785 (N.D. Ill. 2004); *Tricontinental Indus., Ltd. et al. v. Anixter et al.*, 313 F. Supp. 2d 788 (N.D. Ill. 2004); *Tricontinental Indus., Ltd. et al. v. Anixter et al.*, 370 F. Supp. 2d 742 (N.D. Ill. 2004), Honorable Elaine E. Bucklo; *Tricontinental Indus., Ltd. et al. PricewaterhouseCoopers, LLP*, 475 F.3d 824 (7th Cir. 2007), *cert. denied* 552 U.S. 824 (2007).

I was a member of the litigation team representing the accounting firm PricewaterhouseCoopers, LLP (“PwC”) in litigation arising out of an alleged accounting fraud at PwC’s audit client, Anicom, Inc. The plaintiffs claimed that officers and directors of Anicom deliberately misrepresented its financial and operational information to induce them to sell certain assets to Anicom in exchange for Anicom stock. The plaintiffs’ claims against PwC were based on allegedly false and misleading statements in its audit opinions regarding Anicom’s year-end 1998 and 1999 financial statements, which the plaintiffs claimed to have relied upon when entering into the transaction, as well as PwC’s alleged failure to inform the plaintiffs about Anicom’s fraudulent conduct prior to their transaction. The plaintiffs brought claims against PwC for fraud under the federal securities laws, as well as for state securities fraud, common law fraud and negligent misrepresentation. The district court dismissed the claims in the initial complaint against PwC for failure to state a

claim. The plaintiffs twice amended the complaint in attempts to state viable claims against PwC. Each time, the court granted PwC's motion to dismiss. On March 23, 2007, the U.S. Court of Appeals for the Seventh Circuit affirmed the district court ruling. As associate counsel, I worked on all aspects of the case prior to my departure from Kirkland & Ellis in April 2004, including the briefing for PwC's successful motions to dismiss the complaint. I did not work on the appeal because I had already left private practice to join the SEC.

In addition to the *Tricontinental* lawsuit, I also represented PwC in a related class action brought on behalf of Anicom shareholders that settled during discovery (*In re Anicom Inc. Securities Litigation*, Case No. 00-cv-4391, U.S. District Court, Northern District of Illinois) and an investigation by the Securities and Exchange Commission.

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8. *In the matter of Wanger and Wanger Investment Management, Inc.*, Admin. Proc. File No. 3-14676, Securities and Exchange Commission, Honorable Brenda P. Murray.

In December 2011, the SEC's Division of Enforcement brought an administrative proceeding against Wanger and Wanger Investment Management, Inc. ("Wanger Management"), alleging that Wanger and Wanger Management repeatedly marked the closing price of certain stocks held by the Wanger Long Term Opportunity Fund II, LP to artificially inflate the Fund's performance results in an attempt to attract new investors and keep current investors. The parties engaged in litigation for months, then settled days before the trial was scheduled to begin. Without admitting or denying the allegations against him, Wanger consented to the entry of a cease-and-desist order against him, a one-year bar from working in the securities industry, and a \$75,000 civil penalty. Wanger Management consented to the entry of a cease-and-desist order, a censure, and disgorgement of management fees totaling \$2,269, plus prejudgment interest. I was the lead counsel for the Division of Enforcement with responsibility for trial preparation and settlement negotiations.

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9. *SEC v. Global Materials & Services, Inc. et al.*, Case No. SACV 08-881, U. S. District Court, Central District of California, Honorable David O. Carter; *SEC v. Angel Acquisition Corp. et al.*, Case No. SACV 08-880, U.S. District Court, Central District of California, Honorable James V. Selna.

In August 2008, the SEC filed two separate but related actions in the U.S. District Court for the Central District of California against a total of six microcap companies and eight individuals for engaging in unregistered public offerings. The SEC alleged that the defendants implemented a novel mechanism for dumping billions of shares of stock into the public market through so-called employee stock option and consulting programs. Several defendants settled at the time of filing. Others litigated through discovery. In the end, the SEC obtained settlements with all 14 defendants. As lead counsel, I was responsible for conducting discovery and pre-trial preparations on a parallel track with complicated settlement negotiations.

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10. *SEC v. Luna et al.*, Case No. 10-cv-2166, U.S. District Court, District of Nevada,
Honorable Philip M. Pro.

In December 2010, the SEC sued Luna, Montgomery, Daskivich, Murtha, St. Paul Venture Fund LLC, Minnesota Venture Capital, Inc., Real Estate of Minnesota, Inc. and Matrix Venture Capital, Inc. for their roles in a multi-million dollar scheme to sell shares of Axis Technologies Group, Inc. stock in a public distribution without registration with the Commission. The case is ongoing. As lead counsel, I have day-to-day responsibility for all aspects of the case, including pre-trial discovery, summary judgment briefing, trial preparation and settlement negotiations.

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18. **Legal Activities**: Describe the most significant legal activities you have pursued, including significant litigation which did not progress to trial or legal matters that did not involve litigation. Describe fully the nature of your participation in these activities. List any client(s) or organization(s) for whom you performed lobbying activities and describe the lobbying activities you performed on behalf of such client(s) or organizations(s). (Note: As to any facts requested in this question, please omit any information protected by the attorney-client privilege.)

I have worked on several investigations by the SEC's Division of Enforcement that did not result, or have not yet resulted, in filed litigation. These confidential, non-public matters range from national priority matters for the agency involving coordination with other U.S. and foreign regulatory authorities to small, localized frauds. I also participate in bar association activities. Among other things, I am active on the Judicial Evaluations Committee for the Black Women Lawyers' Association of Greater Chicago, which is part of a coalition of local bar associations that evaluates candidates seeking appointment or running for election or retention as state court judges in the Circuit Court of Cook County.

I have not performed any lobbying activities or registered as a lobbyist.

19. **Teaching**: What courses have you taught? For each course, state the title, the institution at which you taught the course, the years in which you taught the course, and describe briefly the subject matter of the course and the major topics taught. If you have a syllabus of each course, provide four (4) copies to the committee.

I have not taught any courses.

20. **Deferred Income/ Future Benefits**: List the sources, amounts and dates of all anticipated receipts from deferred income arrangements, stock, options, uncompleted contracts and other future benefits which you expect to derive from previous business relationships, professional services, firm memberships, former employers, clients or customers. Describe the arrangements you have made to be compensated in the future for any financial or business interest.

I have no such arrangements.

21. **Outside Commitments During Court Service:** Do you have any plans, commitments, or agreements to pursue outside employment, with or without compensation, during your service with the court? If so, explain.

If confirmed, I have no plans, commitments or agreements to pursue outside employment.

22. **Sources of Income:** List sources and amounts of all income received during the calendar year preceding your nomination and for the current calendar year, including all salaries, fees, dividends, interest, gifts, rents, royalties, licensing fees, honoraria, and other items exceeding \$500 or more (if you prefer to do so, copies of the financial disclosure report, required by the Ethics in Government Act of 1978, may be substituted here).

See attached Financial Disclosure Report.

23. **Statement of Net Worth:** Please complete the attached financial net worth statement in detail (add schedules as called for).

See attached Net Worth Statement.

24. **Potential Conflicts of Interest:**

- a. Identify the family members or other persons, parties, categories of litigation, and financial arrangements that are likely to present potential conflicts-of-interest when you first assume the position to which you have been nominated. Explain how you would address any such conflict if it were to arise.

If confirmed, I would not participate in any case in which I had prior knowledge of the facts based on my employment with the SEC, whether the case was brought by the SEC, another civil or criminal law enforcement agency, or private litigants. In addition, my husband and I hold securities in investment accounts that could constitute financial interests in the issuers. I would promptly disqualify myself from any matter in which my impartiality might reasonably be questioned, consistent with Canon 3 of the Code of Conduct for United States Judges. I am not aware of any other associations or positions held by myself or my husband that present potential for conflicts of interest.

- b. Explain how you will resolve any potential conflict of interest, including the procedure you will follow in determining these areas of concern.

If confirmed, I intend to be guided by 28 U.S.C. 455 and Canon 3 of the Code of Conduct for United States Judges to resolve all conflicts of interest that might arise. I would take steps to ensure that I was informed and knowledgeable regarding any financial or professional interests that I held, or that my husband or another close family member held, that could present a potential conflict or give the appearance that I lacked impartiality regarding any matter before me. I would

recuse myself from any matter in which my impartiality might reasonably be questioned.

25. **Pro Bono Work:** An ethical consideration under Canon 2 of the American Bar Association's Code of Professional Responsibility calls for "every lawyer, regardless of professional prominence or professional workload, to find some time to participate in serving the disadvantaged." Describe what you have done to fulfill these responsibilities, listing specific instances and the amount of time devoted to each.

During my time at the SEC, I have been involved in investigations and civil prosecutions undertaken to defend the economic security of vulnerable populations, such as the elderly, to vindicate the rights of individuals who have been taken advantage of by fraudsters, and generally to protect the integrity of the markets. Although ethical restrictions as a government attorney limit my ability to perform *pro bono* work, I have been trained by Chicago Volunteer Legal Services to serve as a volunteer *guardian ad litem*, though I have not yet served. Aside from my legal work, I support programs benefitting the disadvantaged by volunteering and making financial contributions. For example, I volunteer at a non-profit organization that provides shelter and supportive housing for homeless women. I also participate in holiday drives for toys and clothing and participate in other projects sponsored by my office or the various bar associations of which I am a member.

26. **Selection Process:**

- a. Please describe your experience in the entire judicial selection process, from beginning to end (including the circumstances which led to your nomination and the interviews in which you participated). Is there a selection commission in your jurisdiction to recommend candidates for nomination to the federal courts? If so, please include that process in your description, as well as whether the commission recommended your nomination. List the dates of all interviews or communications you had with the White House staff or the Justice Department regarding this nomination. Do not include any contacts with Federal Bureau of Investigation personnel concerning your nomination.

On September 21, 2012, I submitted an application to Senator Richard Durbin's bipartisan screening committee for federal judges in the Northern District of Illinois. On October 9, 2012, I met with two members of that committee, and on October 15, 2012, I met with the full committee. On November 30, 2012, I met with Senator Durbin. On January 14, 2013, Senator Durbin's staff informed me that my name was being recommended to the White House. Since January 24, 2013, I have been in contact with officials from the Office of Legal Policy at the Department of Justice. On February 27, 2013, I met with officials from the White House Counsel's Office and the Department of Justice in Washington, DC. On April 30, 2013, the President announced his intent to nominate me, and on May 6, 2013, the President submitted my nomination to the Senate.

- b. Has anyone involved in the process of selecting you as a judicial nominee discussed with you any currently pending or specific case, legal issue or question in a manner that could reasonably be interpreted as seeking any express or implied assurances concerning your position on such case, issue, or question? If so, explain fully.

No.

AFFIDAVIT

I, Andrea R. Wood, do swear
that the information provided in this statement is, to the best
of my knowledge, true and accurate.

4/30/2013

(DATE)

Andrea R. Wood

(NAME)

Terr Yvette Roberts

(NOTARY)

