

Criminal Defense & Regulatory Compliance

- Representation of corporations, public institutions and officials, senior executives, licensed professionals, and political figures in criminal defense and regulatory matters
- White collar criminal and regulatory enforcement defense, including fraud, corruption, cybercrime, antitrust violations, money laundering, racketeering, and fiduciary misconduct
- Government and internal investigations, grand jury proceedings, and enforcement matters involving DOJ, SEC, Financial Industry Regulatory Authority, EPA, and Occupational Safety and Health Administration violations

Facing criminal charges, white collar accusations, or regulatory investigations can be a profoundly disruptive and stressful experience that can impact on the rights, reputations and futures of business entities and individuals. Greenbaum's criminal defense team is dedicated to providing aggressive, strategic, and discreet representation in federal and state criminal and quasi-criminal government investigations, administrative enforcement proceedings, and criminal prosecutions. We have represented private businesses and corporations, public institutions and officials, senior level executives, licensed professionals (including doctors, lawyers and financial advisors), political figures, and others in federal, state, and municipal courts throughout New Jersey and New York, and well beyond the tri-state area, as well as before administrative and regulatory agencies. Our approach combines deep legal knowledge with meticulous investigative skills to develop a proactive defense strategy tailored to the unique circumstances of each case.

Attorneys in this practice area conduct, and defend against, internal investigations targeting a wide variety of alleged offenses. This work encompasses allegations of fraud (including financial, healthcare, securities and insurance fraud), corruption (including bribery, extortion, embezzlement, misappropriation of funds, and official misconduct), cybercrime, regulatory violations (including U.S. DOJ enforcement actions, SEC enforcement actions, Financial Industry Regulatory Authority (FINRA) investigations, EPA violations, Occupational Safety and Health Administration (OSHA) violations, antitrust violations, and healthcare regulatory compliance associated

with HIPAA, Stark Law, and anti-kickback statutes.

Our experience includes alleged violations of the Foreign Corrupt Practices Act (FCPA), the False Claims Act (FCA) including *qui tam* actions, money laundering, conspiracy, racketeering (RICO), and breaches of fiduciary duty. Members of this practice group also have substantial experience providing counsel related to regulatory compliance issues involving the Office of Attorney Ethics (OAE), the Board of Medical Examiners (BME), and the U.S. DOJ in responding to anti-corruption task forces and other compliance matters.

The firm provides highly effective representation by a team of skilled trial and appellate attorneys with broad and extensive experience in the practice of criminal law. We represent our clients in responding to grand jury investigations, search warrants, and in regulatory and administrative inquiries, as well as in responding to subpoenas issued by the DOJ and other agencies and regulators. We offer guidance on the establishment of strategic compliance programs and best practices in recordkeeping that can better position our corporate clients to deal with law enforcement authorities. We conduct thorough and discreet internal investigations for businesses to uncover facts, assess liability, and recommend corrective actions, often to prevent or mitigate formal charges. Beyond white collar offenses, we handle serious felony and misdemeanor charges that may arise in a business or personal context. Our ultimate goal is to avoid charges, and some of our primary successes have come not in the courtroom but in circumstances where we have persuaded authorities not to pursue our clients further. When the need arises, however, we are prepared to fight vigorously on behalf of our clients in order to achieve the best possible outcome, even in the most difficult cases.

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Experience

Representative Matters

- In one of the earliest federal cryptocurrency prosecutions, represented a CPA in a matter arising from a \$722 million fraudulent cryptocurrency scheme and alleged tax avoidance of approximately \$20 million. The favorable plea agreement in this matter before the U.S. District Court for the District of Nevada received national media attention and was highlighted at the American Bar Association's annual Criminal Tax Seminar.
- Representing an insurance corporation in connection with a *qui tam* action alleging violations of federal and state False Claims Acts and New Jersey's Abandoned Property Act, including coordination with the New Jersey Attorney General's Office.
- Successfully defended a company operating a post-acute network of skilled nursing and assisted living facilities in federal court, securing an order to dismiss a complaint alleging \$10 million in damages for a range of due process and emotional distress claims.²
- Representing an individual under federal investigation for alleged wire fraud, money laundering, honest services fraud, and tax evasion involving business entities and a multinational corporate customer. The matter involves alleged exposure of approximately \$13.4 million and has required extensive grand jury subpoenas and

large-scale document productions.

- Representing an employee of a company under investigation for alleged bid-rigging and public corruption in connection with contracts to supply commissary goods to New York City correctional facilities, in a multi-district federal investigation involving approximately \$30 million.
- Represented a privately held surety bond provider in a federal and state False Claims Act and Abandoned Property Act investigation, resolving alleged multi-million-dollar exposure through settlement.
- Representing a defendant charged in a superseding indictment in the U.S. District Court for the Eastern District of New York alleging conspiracy, honest services fraud, and federal program bribery, arising from claims that the client's business was used as a pass-through entity in connection with improper billing by nonprofit employees.
- Representing a witness and subject of a federal investigation arising from alleged misconduct in connection with the Newark lead service line replacement program, a matter involving approximately \$10.2 million and significant public scrutiny.
- Represented a global investment bank in a FINRA arbitration against a leading global wealth management firm concerning alleged solicitation of clients and misuse of proprietary information by former employees. Achieved a favorable settlement following mediation in a matter involving \$55 million in claimed damages after the firm replaced national counsel in this matter.
- Representing a defendant in a mail and wire fraud investigation involving allegations of \$9 million in improper business practices.
- Successfully defended a client in an arbitration hearing against allegations of legal malpractice, resulting in all claims being dismissed and no award being issued.
- Co-defended a former employee of Seton Hall University School of Law in a state criminal matter arising from alleged embezzlement of school funds, successfully negotiating a plea agreement with New Jersey state prosecutors.
- Represented the owner of a Newark-based drum recycling business accused of conspiring to defraud a Maryland company through alleged false invoicing, successfully negotiating a plea agreement resulting in no incarceration.
- Represented a U.S. Air Marshal in a federal criminal matter arising from an investigation into the unauthorized sale of items bearing the insignia of the U.S. Department of Homeland Security and related false statement allegations. The matter involved proceedings in the U.S. District Courts for the Eastern District of Kentucky and the Eastern District of New York and resulted in a probationary sentence.
- Represented a physician charged with conspiracy to commit healthcare fraud involving fraudulent billing for medically unnecessary compound medications submitted to New Jersey state and local health benefits programs and private insurers.
- Represented a CPA charged with conspiracy to defraud the IRS and aiding in the filing of a false tax return, negotiating a plea agreement with the U.S. Attorney's Office.

- Advised a healthcare company and its principals on regulatory and criminal compliance issues, including Anti-Kickback Statute considerations, in connection with the launch of a competing healthcare business following the departure of an executive from a prior employer.
- Representing a former board member of a cannabis company in a False Claims Act investigation concerning statements made in connection with PPP loan applications and forgiveness submissions, in a matter involving approximately \$1 million in alleged exposure.
- Representing a physician in an ongoing investigation by the U.S. Attorney's Office for the Eastern District of New York concerning alleged Medicaid fraud related to billing for non-medically necessary testing.
- Representing a New Jersey franchisee in an investigation by the U.S. Department of Justice, Civil Rights Division, Immigrant and Employee Rights Section concerning alleged I-9 and E-Verify compliance violations, after replacing prior counsel and assisting with defense strategy.
- Represented a business owner under investigation for alleged money laundering and operation of an unlicensed financial services business, including representation during a proffer session. To date, no charges have been filed, and the statute of limitations is nearing expiration.
- Represented a global data and analytics company in complex commercial litigation involving contract disputes and counterclaims following a corporate acquisition, defeating a motion to disqualify and a motion to dismiss before achieving a favorable settlement.
- Representing targets and key witnesses in federal and state healthcare fraud and Medicaid fraud investigations , including matters involving potential exposure exceeding \$14 million, restitution risk, and incarceration, before New Jersey and New York authorities and the U.S. Attorney's Office for the Eastern District of New York.
- Representing a New Jersey estate-planning attorney as a fact witness in a nationally publicized multiple-homicide prosecution, addressing unprecedented privilege, fiduciary-duty, and waiver issues arising from grand jury testimony and trial proceedings – seeking court protection to mitigate civil and professional liability risk.
- Represented an unlicensed owner of a licensed clinical social worker practice in a state fraud and abuse investigation with potential seven-figure reimbursement exposure and possible criminal referral.

Insights & More

Announcements

[Greenbaum, Rowe, Smith & Davis Recognized on 2026 “Best Law Firms” List by Best Lawyers](#)

11.06.25

[2026 Edition of Best Lawyers Recognizes 54 Attorneys in 41 Practice Areas: Eight Greenbaum Lawyers Recognized on “Ones to Watch” List](#)

8.21.25

[2025 Chambers USA Guide Ranks Greenbaum, Rowe, Smith & Davis in Key Practice Areas and Recognizes 18 Attorneys as Leading Individuals](#)

6.04.25

Mary E. Toscano and Joseph A. Natale Recognized by NJBIZ as 2025 "Leaders in Law" Honorees

2.09.25

Greenbaum, Rowe, Smith & Davis Recognized on 2025 "Best Law Firms®" rankings by Best Lawyers®

11.06.24

2025 Edition of Best Lawyers Recognizes 56 Attorneys in 39 Practice Areas: Ten Greenbaum Lawyers Recognized on "Ones to Watch" List; Three Selected for "Lawyer of the Year" Recognition

8.14.24

2024 Chambers USA Guide Ranks Greenbaum, Rowe, Smith & Davis in Key Practice Areas and Recognizes 20 Attorneys as Leading Individuals

6.05.24

Mary E. Toscano Installed as Treasurer of Essex County Bar Association

5.07.24

Thirty-Four Attorneys from Greenbaum, Rowe, Smith & Davis Selected for Inclusion in 2024 Edition of New Jersey Super Lawyers

3.25.24

Client Alerts

Corporate Transparency Act Update: Department of Treasury Issues Interim Final Rule

3.24.25

New Law and Attorney General Directive Serve to Vacate Prior NJ State Court Marijuana Possession Verdicts, Pleas, and Diversionary Programs

2.24.21

New Jersey Supreme Court Opens Door for Release of Pre-Trial Detainees

2.22.21

A Deeper Dive: Definitions and Consequences of "Price Gouging" During COVID-19 in NJ and the Greater Tri-State Area

3.31.20

New Jersey Supreme Court Takes Unprecedented Action of Releasing Inmates from County Jails in Response to COVID-19 Crisis

3.25.20

Published Articles

Circuit Split Leaves Anti-Kickback Statute Standard Ripe for Guidance from the Supreme Court
Summer 2025

Seminars & Events

Business Essentials and Strategies for Lawyers – The Insiders’ Knowledge that Will Help You Win Your Case
3.16.26

Forensics on the Front Line: Unmasking Fraud in Civil and Criminal Litigation
12.18.25