

**Professional Biography of  
CARL M. BORNSTEIN  
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Carl Bornstein is a lawyer practicing in New York City. He has tried significant cases to verdict and conducted complex civil, criminal and sensitive internal business investigations throughout his career as a federal and state prosecutor, as an inspector general and in his private practice.

**Teaching**

Professor Bornstein has taught Investigative Techniques and Ethics in Public Service, in the MPA–Inspection & Oversight program. In the Investigative Techniques course, his curriculum includes, among other topics, the investigative role of the inspector general; the related New York and federal criminal laws defining corruption and fraud, the rights of public employees, bribery and racketeering. He also covers oversight of public procurement and construction, and the strategies and tactics used to develop proof and witnesses in both criminal cases and inspections.

As a lecturer, he taught investigative techniques for the Association of Inspectors General during its IG certification course in 2005. In 2012, he co-presented with the former Chairman of the Public Management Department about the oversight of large capital construction projects at the semi-annual conference of the Association of Inspectors General. As faculty for the Northeast Region of the National Institute of Trial Advocacy, he has taught trial advocacy for over 35 years.

Professor Bornstein has presented to professional organizations including chapters of the Association of Certified Fraud Examiners; a group of Serbian public officials upon the invitation of the U.S. Department of State's New York office; and as a panel moderator in the first Conference on Democracy and Global Security held in Istanbul, Turkey in 2005.

**Trial & Investigative Experience**

**Government Service**

His early public service included 12 years prosecuting major organized crime and public corruption cases as a Special Attorney in the U. S. Attorney's Offices in both the Southern and Eastern Districts of New York, as an Assistant District Attorney in The Bronx, where he was the Rackets Bureau Chief and then as the Deputy Chief Assistant District Attorney of Queens County. He then became the Executive Special Assistant Attorney General in the Office of the New York State Special Prosecutor Investigating the New York City Criminal Justice System. During this public service he won convictions of significant organized crime figures including a soldier, a *capo* and a family boss in three separate trials.

**Private Practice**

In his private practice, Professor Bornstein has represented clients in criminal tax, securities and insurance frauds as well as lawyers and doctors in professional disciplinary proceedings, and fraud investigations. He has also represented lawyers in malpractice cases and in disciplinary proceedings; as trial counsel he defended a client in a copyright infringement claim concerning the contested use of software to service MRI machines; and a lawyer in a trial defense of a criminal tax fraud involving over \$1 billion of trading in financial futures. He has held Martindale's AV rating for the highest professional excellence and ethics for over 35 years. He has been honored by selection as a Top Lawyer by the New York Law Journal and by being selected for Marquis' Who's Who in America.

### **Governance, Risk and Compliance**

As a co-founder and the Chief Operating Officer, Professor Bornstein created and led the Fortress Monitoring Group (FMG), a joint venture, which from 2007 until 2014, was the integrity monitor for the \$3.8 billion construction of 1 World Trade Center reporting to the Inspector General of the Port Authority of New York and New Jersey. FMG personnel included former Special Agents of the FBI, the IRS, the Office of the Inspector General of the U.S. Department of Labor, former NYPD detectives from its Organized Crime Division and its Intelligence Division, a former NYC DOI Assistant Commissioner, along with independent engineers and forensic auditors. FMG personnel conducted monitoring and investigations to prevent fraud and corruption, and to detect infiltration of the project by organized crime.

In December 2013, Professor Bornstein was appointed to a Special Mayoral Independent Advisory Commission to Evaluate the Philadelphia Department of Licenses & Inspections. The Commission, chaired by another John Jay professor, was formed after a building collapsed during demolition killing six people and injuring 13. In 2015, he was appointed to the Mayor's Building Safety Oversight Board which tracked the implementation of the Commission's recommendations.

He has served as a member of or co-counsel to several integrity monitoring teams including one regarding a global automaker's compliance with its deferred prosecution agreement with the U.S. Attorney's Office in the Southern District of New York relating to its ignition switch recall and another as co-counsel for a team which evaluated and reported to a California court regarding the investigative practices and procedures of a global computer manufacturer. He also served as co-counsel for a report to the SEC by the federal monitor concerning Smith Barney's compliance with the Global Research Settlement Agreement; and on a monitoring team which conducted a self-initiated assessment and evaluation of the NYS MTA's integrity and procurement controls.

Mr. Bornstein was the Inspector General of the New York City School Construction Authority (SCA-IG) where he managed a \$4.5 million budget and a staff of 47 including investigators, auditors, lawyers and analysts. As the SCA-IG he reported directly to its Board Chairman and its President about integrity matters, safety compliance, major on-site accidents, and deficiencies in construction. Mr. Bornstein oversaw 10 corporate monitors engaged by the SCA-IG and supervised the SCA-IG's participation in numerous joint investigations with both U.S. Attorneys' Offices in New York City, the Manhattan District Attorney's Office, and the New York State Organized Crime Task Force. The cases were directed against labor racketeering, money laundering, contract and federal program fraud, and bribery. His responsibilities included the integrity screening of all contractors bidding on contracts in excess of \$10,000 under the SCA's annual \$1 billion construction budget.

He is a member of the New York City Bar Association, where he was active in the Association's judicial selection process; the New York State Bar Association, where he has been active in committee work, most recently on its Autonomous Vehicle Task Force, and the American Bar Association.

Professor Bornstein is a graduate of New York University and the Brooklyn Law School where he served on its Law Review as its Articles Editor and as a Senior Editor. He was honorably discharged from the U.S. Army Reserve, Military Police Corps.