

# KATHERINE STORCH

---

## PROFESSIONAL SUMMARY

---

Established professional who successfully resolves incidents involving business reorganizations, civil and family disputes, and other high-profile matters. Partners with both domestic and global agencies to investigate, recommend and implement solutions. Translates client concerns to staff to ensure all parties have full understanding of an incident, with a goal of timely and efficient resolution.

---

## PROFESSIONAL EXPERIENCE

---

### **Westwood Holdings Group**

Dallas, TX

Senior Compliance Officer

2017-2019

Responsible for managing the firm's compliance programs, leading to resolving disputes between the organization and federal regulations, as well as employee disputes

- Solves disputes between the organization's implementation versus governmental intent of SEC laws
- Mediates employee grievances through fact gathering, understanding of goals, and fostering collaboration; leading to its successful resolution
- Facilitates cooperation between third party vendors to resolve solutions
- Oversee and review risk assessment and mitigation

### **BNY Mellon**

New York, NY

Vice President

2015-2017

- Investigated customer complaints of conduct with employee for resolution of customer concern
- Assisted in creating a system to ensure all new business ventures and relationships undergo a thorough review to validate ethics review
- Research regulatory inquiries to determine legitimacy of the offense and potential corrective actions
- Developed and tested solutions designed to maintain company operation through adverse events
- Collaborated with federal securities examiners to resolve discrepancies prior to becoming violations

### **HSBC Bank**

New York, NY

Senior Compliance Risk Officer

2013-2015

- Reviewed and finalized corporate risk assessment/mitigation actions and presented them to senior management for implementation
- Conducted an analysis of potential conflict concerns including legal, relationship and reputational risk. Triaged potential risk areas to appropriately assign ratings commensurate with operational and reputational impact
- In response to documented violations, created a new risk assessment process, resulting in improved adherence to regulatory standards
- Trained and certified all business units on corporate risk assessment/mitigation actions

**Mission Critical Services**  
Managing Director

New York, NY  
2012- 2013

- Resolved regulatory inquiries from governmental agencies validating business practices
- Provided expertise to third party organizations resolving and/or preventing violations of securities laws

**Phoenix Life Insurance Company**  
Chief Compliance Officer

Hartford, CT  
2008-2012

- Ensured that management and oversight of complaints and disputes were in compliance with all legal, client and regulatory requirements
- Pro-actively identify trends in the regulatory space and raise to senior management, when necessary
- Created and enforced written policies for broker dealer regarding new product implementation, complaint handling, and registered representative and supervisory responsibilities
- Provided Board of Directors a comprehensive report on conflict review
- Assisted in bringing private placements to the marketplace by conducting due diligence on the development of products and potential partners for product launches
- Identified and provided solutions for third party vendor contracts
- Requested surveillance and document findings in preparation for periodic regulatory reviews

**Morgan Stanley**  
Director, Mutual Fund Department/Marketing Review

Purchase, NY  
2005-2008

- Collaborated with over 80 global and local financial organizations to ensure optimal compliance with GIPS, NASD and state regulatory agencies through seamless negotiations, and review of 2500+ materials ranking seminar documents, whitepapers, presentation material, and value-added materials
- Reviewed marketing material and collaborated with third parties to align the content with business requirements, who then self-aligned their future content.

## **Education**

---

**Thomas M. Cooley Law School**  
Juris Doctorate

Lansing, MI  
2003

**Providence College**  
Bachelor of Arts in English / Spanish

Providence, RI  
1998

## **Certifications**

---

Certified to conduct mediations in Texas Court system  
New York and New Jersey Bar Admissions  
Big D Toastmasters- Secretary