

Kathleen Lee

Senior Attorney

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About Kathleen

Kathleen Lee's practice focuses on providing legal advice to public company and financial institution clients concerning risk management, corporate governance and regulatory disclosure, as well as reports and applications. She uses her 25-plus years of combined in-house and law firm experience advising public companies in different industries and bank holding companies, broker-dealers, investment advisers and insurers and their holding companies.

Prior to joining the firm, Kathleen served as in-house counsel to a globally managed services provider, as well as to investment advisers, broker-dealers and insurance companies. She provided advice on a variety of legal and regulatory matters, including risk management, corporate governance and compliance with:

- Federal and state investment advisory, as well as broker-dealer laws and regulations for various business models
- Exemptions from investment company registration
- State insurance laws and regulations
- Title I of Employee Retirement Income Security Act (ERISA) and Department of Labor (DOL) regulations
- State corporate laws
- Financial Industry Regulatory Authority (FINRA) rules

Her work encompassed services provided to individuals, state and local governments, as well as retirement plans and the preparation and filing of related regulatory applications and reports.

While serving as in-house counsel, Kathleen served on interdisciplinary teams executing complex transactions, including acquisitions, divestitures and various outsourcing arrangements. Kathleen also served as an adviser to insurance company committees for separate accounts and retirement plans. Kathleen has represented financial institution clients working with trade association groups in Washington DC and prepared regulatory comment response letters.

Prior to her in-house experience, Kathleen was a corporate and financial institutions associate for seven years at regional and specialty law firms in their greater Washington DC and South Florida offices.

Kathleen held her FINRA Series 7 and 24 licenses from 2007-2018. She is certified by The American College of Financial Services as a Chartered Financial Consultant and Retirement Income Professional.

Credentials

Education

- University of Miami School of Law, J.D., 1998
- University of Michigan, B.A., History and Comparative Literature, 1994

Admissions

- Washington DC, 2004
- Virginia, 2001
- Florida, 1998

Expertise

Services

- Financial Services
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About our firm

One of the world's strongest integrated law firms, providing insight at the point where law, business and government meet. We deliver commercially focused business solutions by combining our legal, lobbying and political capabilities and invaluable connections on the ground to a diverse mix of clients, from long-established leading corporations to emerging businesses, startup visionaries and sovereign nations. More than 1,500 lawyers in over 40 offices across four continents provide unrivaled access to expertise.