

Kathleen Lee

Senior Attorney

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About Kathleen

Kathleen Lee's practice focuses on corporate and securities matters for: public and private companies, funds, investment advisers and broker-dealers, as well as on risk management, corporate governance and regulatory advice. She has over 25 years of combined in-house and law firm experience while providing such advice.

Prior to joining the firm, Kathleen served as in-house counsel over 15 combined years to: the banking and financial services vertical of a large global managed services provider, investment advisers, broker-dealers and an insurer-led group of companies. She provided advice on a variety of legal and regulatory matters, including compliance with:

- Federal and state investment advisory, as well as broker-dealer laws and regulations for various business models (funds and wealth management)
- Exemptions from investment company registration
- Exemptions from securities registration or registered or qualified offerings
- State insurance laws and regulations for mutual insurers, as well as for life and annuity products
- Title I of Employee Retirement Income Security Act (ERISA) and Department of Labor (DOL) regulations and IRC Section 4975
- State corporate, securities and privacy laws and regulations
- Regulation S-P and cybersecurity disclosures
- Financial Industry Regulatory Authority (FINRA) rules

Her work encompassed services provided to individuals, state and local governments, and retirement plans and their fiduciaries and service providers.

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

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.