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Drawing on more than 20 years of experience in and around the securities industry, Kathy's nationwide mediation practice focuses on securities matters. She offers a working knowledge of issues involving customer-initiated actions, member disputes, clearing, employment, promissory notes and other related matters. Her experience extends from basic securities to highly complex products, margin and options strategies, suitability and supervision, termination/discharge, U-4/U-5 reformation, loans, operational issues and more. Having acted as a litigator, a counselor, an arbitrator and a mediator, Kathy has seen all sides of securities matters. She brings an evaluative, litigation-based approach to mediation, using negotiation strategies designed to fit the needs of each individual case. Kathy's settlement rate exceeds 95%.

PROFESSIONAL EXPERIENCE

In-house Counsel

UBS Financial Services Inc. Los Angeles, California 2005-2010

Director and Associate General Counsel

- Lead counsel representing firm's Wealth Management Americas Division in hundreds of arbitrations before FINRA, NASD and NYSE panels
- Successfully represented firm and advisors/associated persons in regulatory inquiries and investigations brought by FINRA, NASD, NYSE, the SEC, and state regulatory authorities
- Managed outside counsel nationwide
- Directly or through mediation, successfully negotiated settlements with Claimants' counsel across the country
- Advised and counseled branches and regional/divisional supervisory staff on litigation risk, employment issues, investigations and audit matters

Private Practice

Keesal, Young & Logan Long Beach, California 2003-2005, 2010-2013

Attorney

- Represented brokerage firms and associated persons in arbitrations and court actions nationwide
- Lead counsel in arbitrations in several states
- Represented firms and advisors/associated persons in regulatory matters
- Consulted with brokerage firms about systematic litigation risk and policy matters
- Conducted presentations on best practices and litigation risk for branches and compliance/supervisory staff

Briggs and Morgan, PA Saint Paul, Minnesota 1998, 1999-2003

Attorney

- Represented brokerage firms and financial advisors in arbitrations and court actions nationwide
- Handled employment matters for major airline
- Member of team litigating nationwide class actions involving mortgage banking issues
- Part of group litigating major anti-trust matters and unfair competition matters
- As associate attorney, obtained summary judgment dismissals for real estate, fraud, commercial and equine cases in federal and state courts

Minnesota Attorney General, Office of the Solicitor General 1997-1998

Law Clerk

- Member of special litigation team defending State of Minnesota against challenge under state constitution to adequacy of education provided to Minnesota K-12 students
- Conducted investigations and interviewed persons and organizations involved in the litigation, including potential fact witnesses, state administrative agencies and experts
- Tracked legislative and judicial developments nationwide concerning educational adequacy litigation and issues

Minnesota Supreme Court Saint Paul, Minnesota 1998-1999

Judicial Clerk to Justice Paul H. Anderson

- Judicial clerk to state's highest court
- Assisted court with case evaluations, evidentiary review, opinion drafting and special projects

Other Professional Experience

Mediator, Los Angeles Department of Consumer Affairs 2014

- Mediate cases for Los Angeles Superior Court

High School Teacher 1991-1995

- Taught Economics, Civics/Government, World History and US History in California, Hawaii and Georgia

EDUCATION

Hamline University School of Law Saint Paul, Minnesota

J.D. 1998

- *Magna cum laude* (top 10% of class)
- Editor-in-Chief, Hamline Law Review

University of California at Davis Davis, California

B.A. 1990, Economics and International Relations (double-major)

Pepperdine University Strauss Institute for Dispute Resolution Malibu, California

"Mediating the Litigated Case" 42-hour mediator course completed 2012

ADMISSIONS

California (active); Minnesota (voluntary inactive)

INTERESTS

Kathy is an avid runner and sports fan. She competes in road races across the country and raced in the 2017 and 2019 Boston Marathons. Books on behavioral psychology top her reading list.

UPCOMING AND RECENT SPEAKING ENGAGEMENTS

PIABA Annual Meeting 2020, "Women Lawyers, Arbitrators and Expert Witnesses"
Panelist, October 20-23, 2020

Practising Law Institute (PLI), Securities Arbitration 2020, "Arbitration and Mediation Settlement Practicum"
Panelist, September 10, 2020

PIABA, Webinar, "Effective Use of Zoom for Mediation"
Panelist, June 15, 2020

SIFMA, C&L Annual Conference, "Settlement Strategies: Learn from the Experts"
Panelist, March 15-18, 2020

PIABA Annual Meeting 2019, "Behavioral Psychology, Part 2"
Panelist, October 22-25, 2019

Los Angeles Bar Association Securities Day 2019, "Mediation Settlement Strategies"
Panelist, October 25, 2019

PIABA Annual Meeting 2018, "Behavioral Psychology"
Panelist, October 9-12, 2018

Practising Law Institute (PLI), Securities Arbitration 2018, "Diversity in the Practice of Law"
Panelist, September 26, 2018

Southeastern Women In Financial Services (SWIFS) Annual Meeting 2018, "Update on Women Lawyers, Jurists, Neutrals and Experts"
Panelist, May 15, 2018