

Overview

Expertise

- Experience in nearly every operational space, having worked at four financial institutions ranging in all sizes, both introducing and self-clearing.
- Developed, maintained, and administered multiple order management systems, offering aggregators, and trading supervisory systems.
- Experience in supporting Capital Markets for both institutional and private wealth.
- Handled regulatory aspects as the business unit, including regulatory system enhancements, creation and updates to procedures, and FINRA and SEC inquiries and exams.
- Created strategic and efficient processes for trading operations.

Work Experience

TRADEliance LLC, 09/2022 – Present

Co-founder, Consultant, and Managing Partner

Kat has spent her career in the financial industry specializing in trading operations and regulations. Her experience allows her to bring a unique understanding of building processes around the lifecycle of a trade that are efficient for the business and compliant with the rules and regulations. By combining regulatory expertise with business insight, she is able to deliver effective solutions.

Assist firms with projects such as:

- Conducting detailed mapping exercises of processes or regulations, providing clients with a roadmap to success
- Navigating front/middle/back-office connectivity to advise clients on more effective or streamlined ways of doing business
- Assisting clients with creating and developing surveillance & supervision processes reasonably designed to mitigate risks
- Creating thoughtful and thorough policies and procedures for new or existing regulations tailored to a firm's business model
- Offering ongoing support through complex or operational initiatives to facilitate a successful implementation

Stifel, St. Louis, MO, 3/2017-09/01/2022

Director of Fixed Income Trading Operations: Supervised fixed income operation employees in tasks such as trade corrections and trade reporting; maintained order management systems; assisted in the creation of the trade correction workflow system; participated in the Trade Confirm working group and Best Execution Committee; created exception reports for the business unit; maintained market access to alternative trading systems and order management systems for traders; created solutions for regulatory requirements; participated in strategic plans for the business unit; assisted in FINRA and SEC examinations and inquiries; implemented

supervisory controls as the business unit.

Regulation and Trade Operations Analyst II: Acted as the project manager for trade related projects; identified projects by finding gaps or regulation changes; created logic for Rules Engine and Next Day Exception Reports; worked with Business Units on utilizing the Rules Engine to meet pre-trade needs.

City Securities Corporation, Indianapolis, IN, 11/2010 – 03/2017

Trading Operations and Compliance

Manager of Trade and Product Support: Managed the Trade Support and Product Support desks; lead the unit to proactively identify needs and develop new processes to improve all trade support issues and areas in advisory products, annuities, and direct investments for Private Client Group, Institutional Sales, and Fixed Income Capital Market; supported team members in Operations Clearing with areas of business including margin accounts, cost basis, and reorganizations.

Trade Corrections and Troubleshooting: Processed the firm's trade corrections for all products; developed strategies to help reduce the amount of trade errors at the firm; managed the Rules Engine/Review and Release system to both reduce trade corrections and manage risk; designed and implemented the firm's electronic trade correction request system for easy submission and approval of requests, electronic retention, and efficient reporting for trend monitoring and audits; supported financial advisors, registered financial associates, institutional sales, underwriters, and traders with trading questions and issues for all products, including equities, options, mutual funds, UITs, and bonds; knowledgeable in dealer, syndicate, step-out, and customer trades; educated financial advisors and sales assistants with industry, market and product knowledge; reviewed regulatory updates and confirmed that firm policies and procedures are updated and accurate.

Trading Platforms Support: Acted as the special material expert for the firm's trading platforms for all products; troubleshoots all trading platform issues and questions; implemented the firm's new issue book running system and was a key player for all beta testing, training, logistics, and system maintenance; implemented the firm's fixed income supervision system, designed the firm's mark to market system, and developed key reports to meet business needs; project manager for third party vendor relationships, participates with contract review and negotiation for trading platforms.

Trade Reporting: Monitored and maintained documentation for the firm's MSRB and TRACE reporting; completed monthly reports of the firm's statistics and reconciled the data with the monthly report cards; identified trends and educated the bond traders and underwriters to reduce occurrences on the report cards.

Charles Schwab, Indianapolis, IN, 11/2006 - 11/2010

Registered Representative: Handled inbound calls; assisted clients with trading and financial inquiries; educated clients about the tools and resources that Charles Schwab offers; took ownership of service issues and followed through to ensure completion; helped create, implement and organize Peer to Peer coaching, which recognizes strong employees and matching them with inconsistent employees to improve client interaction and employee morale; implemented Accountability Partners on multiple teams to assist employees in reaching their goals; constructed agenda topics for team meetings and facilitated educational presentations; assisted the IPO department in times of high volume; received the Chairman's Club Award in 2008; received Key Contributor recognition in 2007, 2008, and 2009.

Resolution Manager: Worked on the Client Advocacy Team handling client concerns and complaints; researched client issues by analyzing the data, reviewing the conversations, and working with business partners; made business decisions for an appropriate resolution for both the client and the company

Acting Team Manager: Acted as manager for teams of 10 to 15 people; coached representatives in areas of development to improve the client experience and market knowledge; provided representatives positive and developmental feedback, and assisted in creating action plans; utilized leadership, problem solving, and time management skills to lead an effective team; handled client escalations; assisted representatives in reaching their business and career goals

Capital Bank and Trust Company-American Funds, Indianapolis, IN 1/2005 - 11/2006

Retirement Account Representative: Established and maintained shareholders retirement accounts; assisted financial advisors with the completion of forms; fulfilled requirements for different procedures and ensured compliance with IRS regulations; assisted in classroom training; utilized as a resource on my team and throughout the company; participated in a testing project to develop new training procedures

Education and Credentials

- Bachelor's degree, Indiana University
- Obtained FINRA Licenses 7, 63, 9, 10, 23, and 99
- President, Security Traders Association of St Louis (STASL)
- Co-creator/organizer, St. Louis Regulation and Operations Networking Group (STRONG) Roundtables