

# CATHERINE HANKS

5801 Nicholson Lane, North Bethesda, MD 20852

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**BROKER-DEALER/INVESTMENT ADVISER COMPLIANCE & REGULATORY AFFAIRS PROFESSIONAL:**

Twenty-seven years in retail financial service firms that specialize in cross-selling securities to core customer groups. Employed by bank-affiliated, insurance-affiliated and money management firms as head of Operations, Due Diligence, Training, Financial Planning & Compliance Departments.

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## AREAS OF EXPERTISE

FINRA Conduct Rules	Wrap Products
BD/IA Compliance Integration	Product Due Diligence
Investment Adviser's Act of 1940	Retail Mutual Fund Sales
Retail Broker Dealer Supervision	AML Design/Implementation
Regulatory & Internal Audit Management	Variable Insurance Product Sales
Global Custody & Securities Settlements	Limited Partnerships/Structured Products

## SKILL SET

- Fostering a culture of compliance by the effective dissemination and communication of regulatory requirements and compliance strategy, policy and processes.
  - Translating legal and regulatory requirements into efficient sales and operational policies and procedures for business lines.
  - Maintaining positive relationships with regulators and auditors.
  - Integrating securities~banking and US~foreign regulation.
  - Managing compliance department personnel, responsibilities, and budgets.
  - Developing meaningful supervisory and document production procedures and systems.
  - Creating integrated sales systems for new products and services.
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## PROFESSIONAL EXPERIENCE

### **Compliance Consultant**

**Washington, DC**

**1/2006 to Present**

After the position with Credit Suisse ended I spent another 18 months in Zurich to study German and French. As of December 2006 I have begun working as a compliance consultant to brokerage firms and investment advisers.

### **Director of Compliance, Chief Compliance Officer**

**Credit Suisse Private Advisors, Zurich, Switzerland**

**2/2002 to 6/2005**

CSPA is a US Registered Investment Advisor, introducing broker/dealer, and *Effektenbändler* registered with the Swiss Federal Banking Commission. Started in May 2002, the firm provides discretionary investment management services in European securities to ultra-high net worth Americans and foreign nationals. Investments are held in global currencies, custodied with Credit Suisse.

I joined as regulatory approvals were granted to create a globally compliant framework of sales and operational policies and procedures to meet all regulatory requirements. I was responsible for all regulatory risks, and audit relationships including design and implementation of the AML program to meet Swiss and US requirements, which was integrated among all technological systems, was accessible to all relevant business lines and provided useful data to each effected division.

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## Senior Manager

**KPMG, LLP Washington, D.C.**

11/2000 to 7/2001

Marketed compliance consulting services to brokerage firms and RIAs.

## Founder and President

**The Compliance Group, Inc. Washington, D.C.**

3/1994 to 6/2000

I formed the consulting firm to help brokerage firms and RIAs in complying with securities regulation in January 1994 and sold it in June 2000. The client list included bank-brokerage programs including, ChaseManhattan Bank, and Citigroup, as well as third-party marketing brokerage firms and insurance-affiliated brokerage firms.

## Vice President, Compliance

**Citicorp Investment Services, New York, NY**

2/1989 to 2/1994

I joined in the start-up phase as Chief Compliance Officer to direct the firm through SEC, NASD and state approvals. My primary task was to establish a compliance framework during the tumultuous merging of regulations governing brokerage, banking, investment research and investment adviser activities.

- Managed the Compliance Department with responsibility for budget, reporting structure and division of responsibilities.
- Guided development of the sales, operational and financial policies and procedures.
- Developed and wrote the first Compliance Manual.
- Worked closely with the NASD on aggressive marketing material approval.
- Trained staff and sales reps to comply with policies for firm.

## Compliance/Due Diligence Manager

**Northwestern National Life Insurance Company's BD, Minneapolis, MN**

4/1986 to 1/1989

I joined the firm as head of both departments with the first priority to develop a limited partnership product approval system.

- Conducted all product due diligence investigation and headed Investment Committee that chose all products offered by the firm.
- Established an RIA, wrote and implemented the compliance procedures for fee-based financial planning and established internal procedures.
- Settled disputes between sales reps and clients.
- Trained marketing platform and use of financial planning service.

## Director of Product Evaluation and Planning

**Calvert Securities Corporation, Bethesda, MD**

1/1984 to 4/1986

Calvert Group is a mutual fund distributor with a retail brokerage service division. As the firm's first Product Manager I chose all investments promoted by the firm including limited partnerships, mutual funds and annuities.

- Managed communication of changes of investments to the field force of 350.
- Trained reps in limited partnerships, financial planning, marketing and sales promotion.

## **EDUCATION and BOARD ASSOCIATIONS**

Goucher College, Baltimore, Maryland, B.A. in International Economics

DC Friends Council Chair, Boardroom Bound