

JANE SMITH

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IN-HOUSE COUNSEL/CHIEF COMPLIANCE OFFICER

Corporate transactional attorney with strong commercial litigation background and proven experience in providing legal sound advice and counsel to executive leadership and organizations on a broad range of legal matters with an emphasis in business expansion, governance and compliance. History of leading corporate strategy, business transactions and complex litigation. Substantial background in reviewing, drafting, negotiating and managing commercial contracts, agreements and transactions. Recognized as proactive and pragmatic team leader with solid work ethic, known for exceptional written and verbal communication skills. Trusted by senior executives and stakeholders for identifying strategic business solutions to reduce legal risk and exposure while advancing corporate goals. Serve as a collaborative business partner, driving operational success through policy and process improvement.

Areas of Excellence:

Global Corporate Legal Oversight • Compliance & Governance • Contract Negotiation & Strategy • Data Privacy Due Diligence • Risk Management/Mitigation • Workforce Training • Leadership & Employee Relations • Business Leadership Policy & Procedure Development • Strategic Counsel & Solutions • Internal Investigations • Litigation Management • M&A

PROFESSIONAL EXPERIENCE

ABC SYSTEMS

2018 – Present

Chief Legal Officer/Chief Compliance Officer/Deputy General Counsel

Recruited into company and progressed through roles, taking on additional responsibilities to support operational, legal and compliance goals for this \$1B global leader in commercial laundry solutions. Serve as trusted legal and compliance executive who identifies and implements business-focused solutions, oversees business expansion, drives compliance functions and establishes internal controls to support operations across 15+ global locations. Partner with executive leadership to establish business strategy and risk mitigation plans, as well as to implement policy changes to meet corporate needs and targets. Coordinate quarterly and annual reports to owners in style required by SEC filings.

- Selected to take on role of Interim Chief Legal Officer to drive all legal functions in addition to compliance oversight.
- Founded Compliance Office, introducing enhanced training program to drive business-friendly compliance culture while also ensuring adherence with corporate requirements.
- Led investigation teams comprised of auditors, accountants, private investigators and specialty counsel. Investigations spanned all business units and levels of the company HR Org Architecture. Using outcomes, presented risk-based recommendations and remediation strategies to Audit Committee of Board of Directors and training for global workforce on compliance, ethics and fraud identification and mitigation.
- Established a culture of integrity and compliance through all aspects of the company's business; designed and implemented code of conduct education programs and led training sessions on conflicts of interest, cultural sensitivity and anti-harassment. Employee engagement and conduct measurably improved as demonstrated by a 70% increase in reports to company compliance hotline and a 32% reduction in terminable offenses.
- Led a large-scale transformation effort, extracting all retail operations from China while preserving manufacturing operations and launching franchise business model.
- Guided the executive leadership team through the acquisition of numerous strategic assets, working with stakeholders and cross-functional teams on risk analysis, financing, due diligence and post-acquisition integration.

ABC COMPANY, New York, NY

2016 – 2017

Managing Director, Legal/General Counsel

Hired to provide strategic leadership of the Legal department, including driving the design and execution of compliance, finance, M&A, real estate, litigation and intellectual property programs. Managed internal staff of 2, as well as outside counsel in all aspects of litigation, contract negotiations/disputes, employee matters and customer bankruptcies. Oversaw the management of company intellectual property, facilitated due diligence for acquisitions and directed all corporate legal work.

- Founded the Compliance and internal Legal functions, including introducing repeatable processes and procedures.

- Introduced a robust cyber security program; delivered training to workforce on the new program with a focus on how to identify potential risks and how to respond during an incident. Partnered with outside vendor to conduct regular targeted testing to identify vulnerabilities and mitigate risks.
- Established processes and operational strategies for all business functions, including Finance, Sales Support, IT, Marketing and Human Resources.
- Created and implemented approval authority matrix for spend and contract terms, as well as related audit process.
- Implemented quarterly audits of client contracts to ensure compliance with controls and reporting requirements; introduced self-reporting incentive programs for employees, which decreased number of compliance failures.
- Created OFAC and FCPA compliance programs consisting of risk recognition strategies and annual live training.
- Unified the real estate transaction process across ABC; handled all lease and licensing functions, including negotiations, amendments and documentation.
- Oversaw all aspects of ABC's initial offering of publicly traded debt; managed outside counsel in the preparation of data room of diligence materials for investors.

ABC INC., New York, NY

2011 – 2016

Senior Legal Counsel

Initially hired as Senior Legal Counsel responsible for leading all aspects of complex transactions and partnerships for the Commercial Transactions team; quickly selected to take on Interim Director role based on efforts. Declined full-time offer due to relocation; received subsequent offer for Regional Lead role after reorganization. Leader to team of 3 lawyers, 3 contracts specialists and an assistant, providing ongoing coaching and mentoring to ensure optimal performance.

- Partnered with business teams to craft and execute proposals with marquis logos across a range of industries; earned Equinix Brick Award for these efforts. Served as primary negotiator, leading the closing of high profile, high value strategic deals. Managed commercial team through post-closing integration of ABC LLC, and divesture by Equinix of selected US data centers. Designed subsidiary structure to enable high risk transactions.
- Founding co-chair of the Legal Department Council, fostering professional development and mentoring for team.
- Led a team of 20 cross-functional team members creating response to SEC Regulation TCP and Regulation SCI. Created process to ensure ongoing customer compliance with these regulations. Earned Brick Award for this effort.
- Received President's Club Award (2014 & 2012), Brick Award (Q4 2015 and Q2 2012) and member of Archimedes Class of 2015, receiving 1 of only 27 seats in the global leadership development program.

THE ABC GROUP, INC., New York, NY

2007 – 2011

Associate General Counsel

Led daily operations for a 5-person Legal Department, overseeing all activities related to M&A, intellectual property, commercial contracting, litigation and bankruptcy.

- Facilitated post-closing integration of 500+ customers acquired through strategic partnership with ABC Trust.
- Worked with outside professionals to prepare securities filings and back up documents for IPO (not consummated).
- Received multiple internal awards and recognized as only member of Legal Department ever awarded Chairman's Circle.

EDUCATION & ADMISSIONS

COLLEGE UNIVERSITY, School of Law, New York, NY

Juris Doctor

COLLEGE COLLEGE, New York, NY

Bachelor of Arts, History & English (Cum Laude)