

## KATHRYN G. WELLMAN

*Member, Litigation*

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**Kate Wellman's practice focuses on assisting clients with government investigations and regulatory compliance issues.**

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Kate's investigations practice includes representation of financial institutions in inquiries involving the U.S. Department of Justice, the Office of the Comptroller of the Currency, the Federal Reserve, the U.K. Financial Conduct Authority, and financial regulators in other foreign countries. Kate has managed and coordinated internal reviews relating to systems and controls issues, including related to analysis of cross-border accounts for anti-money laundering and tax compliance issues. Kate's financial regulatory experience includes assisting clients with recovery and resolution planning, corporate governance matters, and other regulatory compliance issues. As part of that work, Kate manages the preparation of recovery and resolution planning governance playbooks for financial institution clients that guide actions and decision-making by the boards and senior management of their material entities, as well as responses to other regulatory inquiries and actions. Kate further advises financial institutions on issues under federal and state banking and other applicable law and on opportunities to enhance business processes to meet regulatory expectations.

Kate also has experience assisting clients in a range of commercial disputes in federal and state courts, including matters involving breach of contract, business torts, breach of fiduciary duty, and federal securities laws. Kate maintains an active pro bono practice that has involved representation of clients in state court housing matters and federal court trials in Section 1983 civil rights matters.

Prior to joining the firm, Kate was a litigation associate in the New York office of Cleary Gottlieb Steen & Hamilton LLP.

### Capabilities

- Antitrust
- Bank Regulatory & Fintech
- Civil Litigation
- Compliance, Controls & Risk Management
- Cross-Border Investigations and Defense
- Financial Regulatory Advice & Response
- Internal Investigations
- Investigations
- Litigation, Regulatory & White Collar
- Resolution Planning & Stress Testing
- Swaps, Derivatives & Structured Products
- White Collar & Government Enforcement Defense

### Education

J.D., Columbia Law School, 2013; Harlan Fiske Stone Scholar, 2011; James Kent Scholar, 2012-2013

B.A., Davidson College, 2008; Magna cum laude; Phi Beta

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Kate earned her J.D. from Columbia Law School, where she was recognized for academic achievement all three years and awarded the Robert Noxon Toppan Prize for submitting the top constitutional law examination.

### Notable

- *Best Lawyers in America*, Commercial Litigation "Ones to Watch," 2021-2023
- North Carolina Pro Bono Honor Society, 2017-2018, 2020
- "Taking the Next Step in the Legal Response to Domestic Violence: The Need to Reexamine Specialized Domestic Violence Courts from a Victim Perspective," *Columbia Journal of Gender and Law*, 2013

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### Admissions

United States District Court for the Eastern District of North Carolina, 2017

United States District Court for the Middle District of North Carolina, 2017

United States Court of Appeals for the Fourth Circuit, 2017

North Carolina, 2016

United States District Court for the Western District of North Carolina, 2016

United States District Court for the Southern District of New York, 2015

New York, 2014