

# Rhea Kemble Dignam



Professional leader, board member, public official, instructor, speaker, and executive manager with experience in public and private sectors, particularly in regulated industry. Worked with such issues as risk management, human resources, auditor's responsibilities, internal investigations, Sarbanes-Oxley implementation and various forms of negotiation, litigation, and settlement. Significantly grew a consulting business and managed as many as 1,000 employees. Background includes working in financial services, consulting, regulatory and legislative affairs, and in public sector positions interfacing with the press. Astute strategist with award-winning commitment to effective leadership, accuracy, and experience-backed decision-making.

## Professional Experience

**U.S. Securities and Exchange Commission (SEC), Atlanta, Georgia** 2010- 2016  
**Senior Counsel to National Director, Office of Compliance Inspections & Examinations** 2015-2016

- Provide legal counsel to National Director on policy issues that impact the National Exam Program covering broker/dealers, investment advisers, investment companies, transfer agents and securities self-regulatory organizations. (National Director uses counsel to determine priorities for the exam program, rule-making recommendations to policy divisions, the Chair of the SEC and the Commission, and content of public presentations.) Draft speeches and background materials and review proposed public Risk Alerts and internal communications.

**Regional Director, Atlanta Regional Office** 2010-2015

- In five-state area, managed enforcement of violations of federal securities laws and examination of all SEC registrants. In 11 states, managed participation of SEC with respect to bankruptcy filings.
- Designed and implemented industry outreach programs to increase compliance awareness and designed investor outreach programs to educate the public about securities laws and prevent fraud.
- In conjunction with SEC's Office of Public Affairs, designed media outreach including press releases and interviews for the Atlanta Regional Office.

**Ernst & Young, LLP, New York, New York** 2001-2009

**Principal and Americas Leader of Law Firm Services-Markets** 2008-2009

- Designed and implemented a firm-wide program focusing on service delivery to and through law firms.

**Principal, Fraud Investigations & Dispute Services (FIDS)** 2001-2008

- Served as project designer, manager, and/or expert consultant for client companies facing risk management challenges.
- During tenure as member of FIDS' U.S. Leadership Team, helped more than double revenue over a three-year period, advising on strategic management, international initiatives, marketing, operations, human resources, and finance. Leader of Law Firm Services.
- Directly led marketing and business development for projects exceeding \$30 million for FIDS.

**New York Life Insurance Company, New York, New York** 1993-2000

**Vice President and Deputy General Counsel**

- Managed all litigation/alternative dispute resolution matters filed in 50 states and the District of Columbia, chiefly in the areas of insurance/annuities, variable products, broker-dealer, investment management, and employment.
- Oversaw provision of legal advice regarding human resource issues.
- Created, hired, and supervised first litigation support paralegal unit.

- Office of the Comptroller of the City of New York, New York, New York** 1990-1993  
**Executive Deputy Comptroller**
- Functioned as co–chief operating officer for agency with up to 1,000 employees.
  - Managed up to 300 employees whose duties included responding to claims against the City; registration of all City contracts; Office of Policy Management’s research on transportation, environmental and other matters; technical assessments by the Chief Engineer; and the General Counsel’s advice on the City’s debt offerings and pension funds.
  - Reduced staff and spending while simultaneously enhancing and increasing productivity of remaining staff.
  - Represented Comptroller Elizabeth Holtzman in various public hearings and in a successful legislative initiative.
- Kings County (Brooklyn) District Attorney’s Office, Brooklyn, New York** 1988-1989  
**Chief Assistant District Attorney**
- Served as chief operating officer for agency with 400 lawyers and 600 other staff members.
  - Identified and/or implemented processes and procedures that maintained efficiency and productivity during an unprecedented homicide and drug crime wave within Brooklyn.
- U.S. Attorney’s Office, Southern District of New York (SDNY), New York, New York** 1976-1988  
**Executive Assistant U.S. Attorney**  
**Chief, Public Corruption Unit**  
**Co-Coordinator, NY-NJ Region of (national) Organized Crime Drug Enforcement Task Force**  
**Chief, Narcotics Unit**  
**Assistant U. S. Attorney (Criminal Division)**
- Promoted from Assistant U.S. Attorney to Chief, Narcotics Unit. After approximately one year, selected as Co-Coordinator for NY-NJ Region of newly created (national) Organized Crime Drug Enforcement Task Force while simultaneously retaining all duties of SDNY Chief, Narcotics Unit. After less than five years, selected as Chief, Public Corruption Unit. Promoted to Executive Assistant U.S. Attorney.
  - As Executive Assistant U.S. Attorney, served as policy-level advisor on unofficial cabinet for U.S. Attorney Rudolph W. Giuliani.
  - As Chief, Narcotics Unit, implemented new program to reduce street-level drug trading while also investigating and prosecuting higher-level domestic and international drug dealing.
- Davis Polk & Wardwell, New York, New York** 1972-1976  
**Associate, Litigation Department**
- Served on team in defense of major accounting firms in SEC investigations and private litigation.
  - In third year out of law school, argued and won a pro bono case in New York’s highest appellate court.

### **Civic/Community/Church Leadership**

- Ignatian Volunteer Corps, Baltimore, Maryland 2016  
Board Member (national board)
- St. Anne’s Episcopal Church, Atlanta, Georgia 2016  
Vestry Member (lay governing board)
- New York County Lawyers Association (10,000 members) Approximately 2007-2010  
Board Member, Executive Committee, Audit Committee, and Chair, Building Renovation Task Force
- Citizens Crime Commission of New York City 1995-2010  
Board Member, Executive Committee
- New York City Commission to Combat Police Corruption 1995-2002  
Commissioner (Mayoral appointee)
- Mayor’s Advisory Committee on the Judiciary, New York, New York 1994-2001  
Member, Sub-Committee Chair

### **Teaching/Public Speaking**

Panelist or speaker on various legal subjects for continuing legal education seminars, professional associations, judges, New York City procurement officers, Department of Justice programs, civic and community groups, and undergraduate and/or law students. 1980's to Present

Vanderbilt University's Directors College, speaker and attendee, two days. October 2005

Panelist on nationally broadcast two-part television show, "Hard Drugs; Hard Choices," produced by the Columbia School of Journalism as part of the Media and Society series. 1989

Instructor of one-week trial advocacy programs at Harvard Law School and the Western Trial Advocacy Institute at the University of Wyoming. 1982 and 1983

### **Publications**

Office of the New York City Comptroller, *No More Business as Usual: Keeping City Contracts Out of the Hands of Dishonest Contractors*, 1992 (principal editor).

Rudolph W. Giuliani and Rhea Kemble Brecher, "Regulatory Agency Corruption," a chapter in Department of Justice publication, *Prosecution of Public Corruption Cases*, 1988.

Rhea Kemble Brecher, *The Sixth Amendment and the Right to Counsel*, 136 U.Pa.L. Rev. 1957 (1988).

### **Professional Licenses**

Admitted to bar New York, New Hampshire and various federal courts. Current

### **Honors/Awards**

Award for Excellence Council of the Inspectors General on Integrity and Efficiency 2011  
Colonial Bank/Taylor, Bean & Whitaker Investigative Team

Direct Women Board Institute Selected for Membership, Class of 2008, two days February 2008

### **Training**

Lay Pastoral Caregiver Training Community of Hope International, Inc. January 2016 - July 2016

Residential Program for Senior Executives in State and Local Government July 1992  
John F. Kennedy School of Government, Harvard University

### **Education**

Juris Doctor Harvard Law School 1972  
Member, Board of Student Advisers

Bachelor of Arts Wellesley College (Political Science major) 1969  
Phi Beta Kappa; Durant Scholar; Trustee Scholar Award