

Therese M. Woods

Counsel

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OVERVIEW

Therese Woods is an experienced corporate and financial services attorney with comprehensive regulatory background including SEC, NASD (FINRA), law firm, and in-house experience. She is a respected advisor and valued team player who works well with colleagues, clients and regulators, focusing on providing sound legal advice and ensuring compliance with rules and regulations. Therese communicates effectively with senior management and boards of directors.

Therese has twenty years of experience practicing securities regulatory and corporate law. Early in her career, Therese worked for the U.S. Securities & Exchange Commission for six years, in both the Office of Compliance Inspections and Examinations and Division of Market Regulation. As Deputy Director and Counsel to the Corporate Financing Department at NASD (now FINRA), Therese counseled regulatory staff and member broker-dealers on NASD Corporate Financing Rules governing terms and arrangements of public offerings of securities. Therese worked with the NASD Corporate Financing Committee and prepared briefing materials for discussion at Corporate Financing Committee meetings.

Therese has done substantial work for financial service companies, including reviewing customer and investment advisor agreements, and advising foreign broker-dealers and their U.S. affiliate broker-dealers on Rule 15a-6, which allows foreign broker-dealers to conduct a limited business with U.S. customers.

Therese also served as Second Vice President and Associate General Counsel to a financial services conglomerate with numerous financial service companies, including a bank, securities broker-dealer, investment advisor, socially responsible mutual fund company and insurance companies. As inside counsel to this company, she worked closely with the Boards of Directors of several companies preparing Board briefing materials and communicating with Board members.

Prior to joining White and Williams, Therese was partner with McCormick & O'Brien LLP.

PRACTICES

Corporate and Securities
Corporate Related Services
Regulatory and Compliance

BAR AND COURT ADMISSIONS

Connecticut
District of Columbia
New York
U.S. Supreme Court

EDUCATION

Fordham Law School, J.D.
Fordham Graduate School of Business
Administration, MBA, Finance Concentration,
Fordham University, BA, *cum laude*

