

KRISTEN E. JACONI

Leventhal School of Accounting
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PROFESSIONAL EXPERIENCE

Leventhal School of Accounting, University of Southern California 2018-Present
Director, Risk Management Program • Adjunct Professor of Accounting

Serves as the director of the Leventhal School of Accounting's undergraduate-level Risk Management Program. Teaches risk management courses in the Risk Management Program.

Promontory Financial Group, LLC 2010-2018
Special Adviser • Managing Director • Director • Senior Principal • Consultant

Served at Promontory, a leading regulatory consulting firm, as an advisor to global financial institutions on risk management, compliance, corporate governance, culture, executive compensation, succession planning, and other regulatory issues. Established a conduct risk management program for one of the largest U.S. financial institutions. Developed and drafted regulatory responses on behalf of a U.S. financial institution relating to risk management, compliance, governance, and mortgage servicing practices. Established a compliance risk management program for the U.S. operations of one of the largest foreign financial institutions. Advised financial institutions on complying with federal banking regulatory guidance on risk management and sound incentive compensation policies. Analyzed and drafted summaries and client memoranda on the securities, futures, and insurance provisions of the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010. Served on Promontory's management-level Risk and Reputation Committee and Leadership and Professional Development Committee. Developed a talent development and mentoring program and a networking program for a Promontory practice group.

U.S. Department of the Treasury, Washington, DC 2007-2009
Senior Policy Advisor to the Under Secretary for Domestic Finance

Developed recommendations on securities and futures regulation for the *Blueprint for a Modernized Financial Regulatory Structure*, a proposal to restructure regulatory agencies and enhance regulation of the U.S. financial services industry. Drafted risk management, corporate governance, and executive compensation guidelines for firms receiving assistance under the Troubled Asset Relief Program. Managed the establishment and operations of the Advisory Committee on the Auditing Profession, chaired by former Securities and Exchange Commission Chairman Arthur Levitt, Jr. and former SEC Chief Accountant Donald T. Nicolaisen, which issued a 200-page *Final Report* to improve the sustainability of the public company auditing profession. Served as an Official Observer on the SEC's Committee on Improvements to Financial Reporting. Served as an Official Observer at the SEC's Fair Value Roundtables.

Committee on Financial Services, U.S. House of Representatives, Washington, DC 2003-2007
Senior Counsel • Counsel • Legal Intern

Advised Chairman Michael G. Oxley on a wide range of securities issues, including implementation of the Sarbanes-Oxley Act, domestic and international accounting standards, the Public Company Accounting Oversight Board, mutual funds, hedge funds, market structure, self-regulatory organizations, credit rating agencies, SEC oversight, proxy advisory firms, 529 plans, and securities litigation and arbitration. Directed hearings, drafted legislation, and cultivated congressional support regarding credit rating agency reform, resulting in the enactment of the Credit Rating Agency Reform Act of 2006. Directed hearings, researched, and drafted legislation relating to the sales of abusive financial products to military personnel, resulting in the enactment of the Military Personnel Financial Services Protection Act.

O'Melveny & Myers LLP, Orange County, CA 2001-2003
Associate

Counseled public and private companies regarding securities law, financial reporting matters, corporate governance, compliance, asset acquisitions, and shelf and venture financing. Advised bankrupt public companies on securities and financial reporting matters.

Hon. Gary L. Taylor, Central District of California Aug. 1999
Extern

Researched and wrote tentative opinions on antitrust violations and personal jurisdiction.

Washington Mutual Financial Services, Irvine, California 1998
Regional Operational Representative

Approved trades and managed approximately fifteen brokers.

Sun America Securities, Irvine, California 1996-1998
Registered Representative • Insurance Agent

Sold mutual funds, annuities, and life, health, and disability insurance.

EDUCATION

Stanford Law School, J.D. 2001
Stanford Law Review, Articles Editor
Stanford Journal of International Law, Lead Editor

University of California, Irvine, M.A., Classics 1996

Pomona College, B.A., Classics, French 1994
Magna Cum Laude
Phi Beta Kappa

PANELS AND PRESENTATIONS

- Supply Chain Risk as a Potential Performance Enabler*** August 3, 2018
Sixth Annual Global Supply Chain Excellence Summit, University of Southern California (Moderator)
- Conduct Risk Management Roundtables*** Nov. 2017-June 2018
Promontory Financial Group (Organizer and Participant)
- Corporate Compliance and Compensation Incentives*** May 18, 2018
Harvard Law School (Panelist)
- Foreign Banking Organization Roundtables*** Sept. 2014-Oct. 2016
Promontory Financial Group (Organizer and Participant)
- How To Attract and Retain Compliance Department Personnel*** Oct. 25, 2016
Annual Seminar on Risk Management and Regulatory Examinations/Compliance Issues Affecting International Banks, Institute of International Bankers (Panelist)
- Strengthening the Alignment of Risk and Reward*** Mar. 6, 2015
Corporate Governance: Supervisory Expectations Workshop, School of Economics and Business, Universidad de Navarra, Spain (Presenter)
- What Is Industry Supervision Going to Look Like?*** Apr. 25, 2014
Future of Finance Colloquium, Columbia Law School, Millstein Center for Global Markets and Corporate Ownership, and CFA Institute (Panelist)
- Public Company Executive Compensation Conference*** May 5 and 6, 2011
The Sanford School of Public Policy and the Kenan Institute for Ethics, Duke University (Staff Director)
- Bad Loans, Gatekeepers and Regulators – Is Change on the Horizon or Just a Mirage?*** Jan. 25, 2010
2010 Corporate Directors Forum: Directors, Management & Shareholders in Dialogue (Panelist)

PUBLICATIONS

- Inez Milholland: The Suffrage Martyr*, Stanford Law School Women's Legal History Project (2002)
- Book Note, *Principles of French Law*, 35 STAN. J. INT'L L. 211 (1999)

FELLOWSHIPS AND AWARDS

- Stanford Journal of International Law Editing Award (1999, 2000)
- University of California, Irvine Regents Fellowship (1994)
- Phi Beta Kappa Honor Society Award for Pursuit of Graduate Studies (1994)

ADDITIONAL EXPERIENCE AND SKILLS

California Bar (2001)

Series 6, 7, 63 (1996/1997) (expired)

Life, Health, Disability Agent (1996) (expired)

French (Fluent)