

Cathy is an accomplished compliance professional with more than 40 years of successful business leadership in regulatory, financial and corporation management. With her proven business leadership experience and expertise in regulatory, financial and corporation management, Cathy has been able to lead and manage high performing cross functional teams while providing financial oversight and ensuring compliance. She specializes in analyzing and implementing custom strategies based on organization and operational needs.

Prior to forming Cucharale Consulting Group, LLC, for more than 20 years, Cathy served as the Chief Operating Officer and Chief Compliance Officer for a privately held, dually registered, Broker Dealer / RIA firm. Cathy brings this experience to Cucharale Consulting Group, providing solutions to the challenges that financial firms and businesses face regarding regulatory compliance, business development and organizational management.

As a COO and CCO, Cathy utilized her leadership skills and hands-on approach to not only ensure the firm met its regulatory requirements but to also create, implement and administer several key areas of the organization to include the firm's human resources, accounting, technology, training, risk/compliance and marketing departments. Her leadership role was instrumental throughout the transition of several mergers and acquisitions to ease the process for the organization's employees and clients.

Professional Affiliations and Registrations

- FINRA Series 7, 14, 24 and 99 Registered
- *Elected*, FINRA Small Firm Advisory Committee Member 2018
- *Elected*, FINRA District 9 Committee Member 2015 — 2017
- *Appointed*, FINRA Regulatory Advisory Committee Member 2016
- Greater Utica Chamber of Commerce Treasurer 2013 — 2017
- National Society of Compliance Professionals Member
- Turnaround Management Association NY Upstate Member
- SHRM / MVSHRM Member
- Cornell Cooperative Extension of Oneida County, Board Member



CATHY A. CUCHARALE
PRESIDENT

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