

## **CITY OF HERMOSA BEACH BOARDS AND COMMISSIONS**

The City of Hermosa Beach appreciates your interest in serving on one of the City's six boards and commissions. Board and commission members provide a valuable service and serve in a voluntary capacity, without compensation. Please submit your completed application to the City Clerk's office.

All appointments are made by the City Council. With one exception, each board and commission is composed of five members, serving staggered four-year terms. The composition of all standing boards and commissions excludes current City elected officials, and no members serve on more than one board/commission at the same time.

All board and commission members are required by law to file statements of economic interest (assuming office statement, annual statements, and leaving office statements) for the purpose of disclosing potential conflicts of interest. The completed statements are filed with the City Clerk, who will provide all forms and instructions at the appropriate time.

Generally, two absences from regularly scheduled meetings of any member within one calendar quarter and/or four absences from regular meetings within one calendar year constitutes grounds for removal or creates an automatic vacancy, with no distinction between excused and unexcused absences. All members serve at the pleasure of the City Council, with no term limits. Following is a brief description of qualifications and duties for each of the City's boards and commissions, and the Hermosa Beach Municipal Code (HBMC) reference for obtaining more detailed information.

### **BOARD OF APPEALS**

[HBMC 15.04.020] This five-member board provides for reasonable interpretations of the Building Code. Members must be qualified by training and experience to pass upon matters pertaining to building construction. There are no specified term limits (members serve at the pleasure of the City Council), and members are not required to be residents or qualified electors of the city. The Board of Appeals meets in the City Council Chambers at 7 p.m. on the second Monday of every month, as necessary. {*Staff liaison = Community Development Director Ken Robertson*}

### **CIVIL SERVICE BOARD**

[HBMC 2.76] This five-member board functions as the City's Review Board pertaining to personnel functions and Civil Service Rules and Regulations in conjunction with Ordinance N.S. 211 (People's Initiative, passed by voters June 7, 1960). Members must be qualified electors of the City; no person shall be appointed to this board that holds any salaried public office or employment with the City; no member of this board shall be eligible for appointment to any office or employment with the City.

Members are appointed to staggered four-year terms. The Civil Service Board is scheduled to meet regularly in the City Council Chambers at 5 p.m. on the third Wednesday of each month, as necessary, with additional meetings called, if needed. {*Staff liaison = Human Resources Manager Vanessa Godinez*}

### **EMERGENCY PREPAREDNESS ADVISORY COMMISSION**

[HBMC 2.38] The duties of this seven-member commission include providing to the City Council advice and recommendations on how the City and its residents can prepare and respond swiftly and responsibly to emergencies.

Members must be residents of the City and are appointed to staggered four-year terms. The Commission meets regularly every other month in the City Council Chambers at 7 p.m. on the first Monday of odd-numbered months (January, March, May, July, September, November). {*Staff liaison = Emergency Management Coordinator Brandy Villanueva*}

## **PARKS, RECREATION & COMMUNITY RESOURCES ADVISORY COMMISSION**

[HBMC 2.28] This five-member commission serves in an advisory capacity to the City Council in all matters pertaining to the Community Resources Department; cooperates with other governmental agencies and civic groups on the advancement of sound leisure, cultural, social services and educational programming; and formulates policies on the services, programs and lease agreements of the Department, subject to approval of the City Council.

Members must be bona fide residents of the city, and not members of the Hermosa Beach Community Center Foundation Board. Members are appointed to staggered four-year terms. The Commission meets regularly in the Council Chambers at 7 p.m. on the first Tuesday of each month, or as scheduled by the Commission. {*Staff liaison = Community Resources Manager Lisa Nichols*}

## **PLANNING COMMISSION**

[HBMC 2.32] This five-member commission is governed in all respects and performs duties as prescribed by applicable state and local laws. The primary purpose of the Commission is to maintain and enhance the environment of the community, which entails advance or long-range planning (updating of the General Plan and specific elements), current planning (short-range projects), and land use controls (administering to the code and review of all subdivisions and zoning petitions). The Commission serves as an advisory board to the City Council on all matters pertaining to zoning, conditional use permit process, etc.

Members must be qualified electors of the City. Members are appointed to staggered four-year terms. The Commission meets regularly in the Council Chambers at 7 p.m. on the third Tuesday of each month. {*Staff liaison = Community Development Director Ken Robertson*}

## **PUBLIC WORKS COMMISSION**

[HBMC 2.80] The duties of this five-member commission are to review and make recommendations to the City Council on all capital improvement projects, assist with developing and updating design guidelines for public improvements, and other matters referred to the Commission by the City Council.

Members must be qualified electors of the City. Members are appointed to staggered four-year terms. The Commission is scheduled to meet regularly every other month in the City Council Chambers at 7 p.m. on the third Wednesday of odd-numbered months (January, March, May, July, September, November). {*Staff liaison = Public Works Director Joseph SanClemente*}

City Clerk's Office  
Phone: (310) 750-3545  
1315 Valley Drive, Hermosa Beach, CA 90254  
FAX: (310) 372-6186  
Email: [cityclerk@hermosabeach.gov](mailto:cityclerk@hermosabeach.gov)

**CITY OF HERMOSA BEACH  
BOARD/COMMISSION APPLICATION**

**NAME OF COMMISSION** Civil Service Board



Name Kathryn Jones Home Phone \_\_\_\_\_

Address \_\_\_\_\_ Cell Phone \_\_\_\_\_

Email kjones@wedgewood-inc.com Bus. Phone \_\_\_\_\_

Occupation/Profession: Chief Compliance & Risk Officer

Employer Name & Address Wedgewood LLC, \_\_\_\_\_

**REFERENCES:**

Local: Troll Subin, Owner of the Yard Fitness Center \_\_\_\_\_

Professional: David Poitras, General Counsel at Wedgewood (\_\_\_\_\_)

Other: Wendy Morgan, Public Health Educator at Oregon Health Authority \_\_\_\_\_

**COMMUNITY PARTICIPATION AND SERVICE (past and present):** I originally moved to Hb in late 2018.  
Due to prior time constraints and the pandemic, this is my first opportunity to volunteer in a meaningful capacity in my new home.  
I was previously a member of the Oregon Zoo Bond Citizens' Oversight Committee, which was created to provide a third-party review of the  
Oregon Zoo Infrastructure and Animal Welfare Bond Program to the Metro Council and citizens. Additionally, I have volunteered providing  
probono tax and bankruptcy representation and low income tax prep assistance.

**Why do you wish to become a Commission member?** I am thrilled by the prospect of being able to leverage my professional, educational,  
and prior volunteer skills and experiences to help the Hermosa Beach community. I am blessed to be a homeowner in Hb and to both  
live and work in the South Bay. This particular Board is a great fit, given my extensive experience developing and  
enacting balanced, transparent policies and procedures to help guide personnel decisions — and to  
professionally conduct confidential investigations, as necessary.

**What do you feel are the duties and responsibilities of a Commission member?** The primary duties are twofold.  
First, the Board is charged with hearing appeals of personnel decisions from those in competitive service positions. Second,  
the Board makes recommendations on personnel administration matters, when requested by the city counsel or city  
manager. Given my background developing procedural safeguards and conducting compliance investigations,  
I believe I have the integrity and experience to fulfill the duties and responsibilities of the Board.

Do you have any current obligations or responsibilities which could be construed as a conflict of interest with your being a board/commission member? ☐ Yes ☒ No (If yes, please explain)

Please provide below and/or attach a resume of your education, employment, memberships, past activities and other experience that you feel would qualify you as a Board/Commission member.

Please find my board biography and resume attached.

Additionally, my LinkedIn information can be found at <https://www.linkedin.com/in/kate-lynn-jones/>

This Board/Commission meets on the 3rd Wed at 5pm p.m. Do you foresee any scheduling problems that might cause you to miss meetings? ☐ Yes ☒ No

How long have you lived in Hermosa Beach? Oct 2018 - May 2020, Aug 2021 - current (gap due to COVID)

Additional Comments: Thank you for your time in considering my application. I am very excited for the chance to be of service to a city I adore so much. Please contact me with any questions you may have.

Signed: \_\_\_\_\_

Date: 06/29/2022

(01-24-22)

## Kate Jones

Chief Compliance & Risk Officer

Wedgewood LLC, Real Estate

Redondo Beach, CA



### AREAS OF EXPERTISE

Kate is an accomplished business advisor of both private and publicly traded companies. With more than 10 years of experience in highly regulated industries, including Investments and Real Estate, Kate has developed a deep expertise in identifying, evaluating and mitigating risks. She has a successful track record of leading compliance and risk functions as well as managing effective teams.

Since 2021, Kate has served as the Chief Compliance & Risk Officer of Wedgewood, reporting to the Board of Managers and the Chief Operating Officer. Her primary responsibilities include advising the company on regulatory inquiries and leading and managing the compliance and risk functions, including setting strategic direction. Notably, Kate prepared the company for compliance with SEC regulations as part of its initial registration as a Registered Investment Adviser and leads confidential internal inquiries as a regular part of her job duties.

She works extensively with the Wedgewood Board, including presenting and providing training to the full board, leading the compliance committee, and presenting to the audit committee.

Prior to joining Wedgewood, Kate served as Chief Compliance Officer and Designated Risk Officer at subsidiaries of Principal Financial Group during times of significant change. During her prior tenure with Principal Financial Group, Kate had frequent interactions with regulators including the Department of Labor. She joined Post Advisory Group to lead the compliance and risk functions. Additionally, she served at Principal Global Investors Trust Company and Morley Capital Management as Chief Compliance Officer overseeing major restructuring and transformation of the company's operations.

Kate is a member of the Oregon Bar. She has previously served on the boards of Post Advisory Group, Principal Global Investors Trust Company, and Morley Capital Management. She currently resides in Hermosa Beach, CA.

## Kate L. Jones, JD

Hermosa Beach, CA | [REDACTED] [kjones@wedgewood-inc.com](mailto:kjones@wedgewood-inc.com)

Chief Compliance & Risk Officer with expertise in analyzing complex regulatory issues, designing process improvements, and managing control functions who brings big picture strategic ideas and bias toward action. Ten years developing compliance programs and building control functions at global investment and real estate firms with Fortune 500 clients.

**Strategic Thinking** – Conduct CBAs and design product fee structure to attract top financial firms and increase profit.

**Change Management** – Redesigned compliance programs and built PGITC governance structure for \$25B merger.

**Privacy Law** – Coordinated PGI and Morley design and implementation for GDPR and CCPA compliance programs.

**Risk Management** – Designed investment liquidity and operational risk programs to align with industry practices.

**Process Improvement** – Implemented trading processes, increasing trade efficiency and reducing errors 50%+.

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Securities Regulation   Corporate Negotiation   Process Resiliency   Real Estate   Asset Management

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## EXPERIENCE

**Chief Compliance & Risk Officer**, Wedgewood LLC

Redondo Beach, CA   Aug 2021 - present

- Led the firm's initial registration as a Registered Investment Adviser allowing for an increase in fundraising.
- Advised Wedgewood executive management and Board of Managers on compliance and risk initiatives.
- Implemented corporate Code of Conduct and corporate compliance program.
- Formalized and documented enterprise risk management function.
- Collaborated with Human Resources to develop and communicate employee handbook, policies, and procedures.

**CCO | Designated Risk Officer**, Post Advisory Group (PGI subsidiary)   Los Angeles, CA   Nov 2018 –Jul 2021

- Led \$17B in compliance, operational and investment risk functions, with team of global compliance experts.
- Advised PGI and PAG executive management and Board of Directors on compliance and risk strategic direction.
- Restructured compliance department, increasing speed of testing and report execution, and deliverable quality.
- Negotiated with executives and corporate parent for hires, outsourcing, promotions, and resource allocation.
- Directed annual review program implementation that detected and closed long-standing compliance gaps.
- Identified ERISA cross trading issue and negotiated no-fee disclosure resolution with U.S. Department of Labor.
- Resolved trading/regulatory issues for CIO, improving collaboration, credibility, and identification of future issues.
- Redesigned trade flow, identifying team accountability, reducing shared functions, and improving efficiency.
- Managed creation of private funds and national/Cayman compliance requirements for \$1.7B of partnerships.
- Managed Enterprise Risk program from design to risk assessments, recommendations, and implementation.
- Built risk aware culture, which prioritized gap closure and reduced risk-level commensurate with appetite.
- Designed investment liquidity and operational risk management programs to align with industry practices.
- Coordinated privacy program from implementation to launch of CCPA, using lean design for high efficiency.
- Created ESG mandates for diverse geographies, including Europe, the Middle East, Asia, and the Americas.
- Selected for enterprise-level regulatory change management group for corporate-wide implementation.

**Chief Compliance Officer**, Morley Capital Management (PGI subsidiary)   Portland, OR   Mar 2017 – Oct 2018

- Directed compliance program design, reducing improvement recommendations 90% (83 to 5) in five years.
- Advised PGI and Morley executive management and Board of Directors on compliance direction and strategy.
- Identified and implemented pay-to-play solution with potential board conflict of interest, avoiding penalties.
- Conducted CBAs and designed product fee structure that attracted top financial firms and increased profit.
- Acted as informal General Counsel in litigation documentation and negotiation of IMAs, MSFTAs, and NDAs.
- Counseled CEO and senior leaders on strategic direction and operational roadmaps for meeting objectives.

[www.linkedin.com/in/kate-lynn-jones](https://www.linkedin.com/in/kate-lynn-jones)

**Chief Compliance Officer**, PGI Trust Company (PGI subsidiary)      Portland, OR Mar 2017 – Oct 2018

- Redesigned compliance program and built PGITC governance structure for \$50B merger.
- Resolved \$200k+ financial negotiation between firm, PGI, and account custodian in less than one month.
- Closed all regulatory examinations and audits without material comments.

**Senior Compliance Analyst**, PGI Trust Company (PGI subsidiary)      Portland, OR Jan 2016 – Mar 2017

- Closed U.S. Department of Labor inquiry, without comment.
- Acted as informal General Counsel, negotiating side letters and operating agreements.
- Drafted declaration of trust, supplemental declarations, disclosure documents, and ERISA 408(b)-2 fee notices.

**Senior Compliance Analyst**, Morley Capital Management (PGI subsidiary) Portland OR Dec 2014 – Mar 2017

- Analyzed regulatory requirements and began managing compliance program beginning January 2015.
- Automated trading compliance testing, by designing data feed and exception reporting with IT department.
- Identified ERISA issues, and partnered with Legal to develop effective control for future investments.

**Compliance Analyst**, Morley Capital Management (PGI subsidiary)      Portland, OR May 2012 – Dec 2014

- Built annual review process to efficiently identify risks, address gaps, and use team resources.
- Implemented investment trading processes, increasing efficiency and reducing trade errors 50%+.
- Coordinated software initiative to automate oversight of Code of Ethics and personal trading.

**Compliance Consultant**, Morley Capital Management (PGI subsidiary) Portland, OR Sep 2011 – May 2012

- Improved policies and procedures and implemented first annual compliance training workshop.
- Streamlined marketing processes, reducing material errors from 30%+ to less than 5%.

## EDUCATION

**JD | MBA**, University of Oregon      2010  
Graduate Teaching Fellowship.

**BA - Linguistics**, University of Washington      2006  
Merit Scholarship.

Oregon Bar Association Admission – Active      2010 - Pres  
Certified Compliance & Ethics Professional      2022

English (native). Mandarin (conversational). Spanish (basic).

## ACTIVITIES

Federal Regulation of Securities and Private Funds Committees, American Bar Association      2021 - 2022  
Bond Citizen's Oversight Committee, Oregon Zoo      2018  
Volunteer Tax Preparer, CASH Oregon      2017  
Pro Bono Tax and Bankruptcy Attorney, Legal Aid Services of Oregon      2011

