



PROFESSIONAL SUMMARY

Skilled attorney and trusted business leader with demonstrated legal and compliance expertise for both domestic and international Fortune 500 organizations.

PROFESSIONAL EXPERIENCE

EXPERTISE

- Internal investigations
- Policy and training development
- Third party due diligence
- FCPA specialist
- International compliance program expertise
- Trade Compliance

EDUCATION

Marquette University Law School

Juris Doctorate (J.D.)

- University Scholarship
- MARQUETTE

INTELLECTUAL PROPERTY LAW REVIEW, Editorial Staff Member

- Pro Bono Society Honors Recipient

Seton Hall University

B.A., Criminal Justice

AFFILIATIONS & HONORS

- State Bar of Wisconsin, Admitted 2014
- 2022 State Bar of Wisconsin President's Award
- 2021 Wisconsin Fellow
- 2019 40 Under 40
Milwaukee Business Journal
- 2019 Up & Coming Lawyer
Wisconsin Law Journal
- 2019 Corporate Counsel: Rising Star
Milwaukee Business Journal

Assistant General Counsel & Assistant Secretary

Northwestern Mutual, Milwaukee, WI | April 2021 – Present

- Specializes in legal matters related to risk-based products and other related operations for the Milwaukee-based, \$33B life insurer;
- Assists with various transactional [contract] matters, including third party vendor agreements;
- Assigned counsel and/or lead for anti-money laundering compliance, disability insurance, claims, and other regulatory matters; and
- Provides legal review, advice, and counsel to various departments and business stakeholders.

Key Highlights & Accomplishments:

- Selected as LCLD 2022 Fellow.
- Selected as lead lawyer on several confidential projects.

Counsel – Global Compliance & Integrity Manager

Briggs & Stratton Corporation, Milwaukee, WI | May 2019 – Present

- Led the anti-bribery/anti-corruption, international trade, and integrity practice groups, including strategy management, development, and execution of the global compliance program for a \$1.8B company.
- Directly managed a Compliance Specialist to execute the third-party due diligence program, which assesses risks associated with on-boarding and maintaining new/existing business relationships; led weekly meetings to establish goals and priorities while providing on-going coaching and feedback.
- Managed an annual \$700,000 compliance budget to execute third-party due diligence, coordinates various compliance trainings, including antitrust and privacy, and manages the integrity (whistleblower) helpline.
- Served as a key member of the internal compliance committees; these committees include the CEO and other senior, business, regional, and functional leaders. Also develops annual board reports.
- Managed investigations including the integrity helpline and outside counsel engagement and oversight.
- Served as a legal resource to various internal departments as needed to provide review, advice, training, and counsel; this includes but is not limited to: acquisitions, contract drafting related to trade compliance, and other third-party vendor integration.

Key Highlights & Accomplishments:

- Developed a strategic three-year plan based on the anti-bribery/anti-corruption and compliance program risk assessments; in FY20, this resulted in the development of a third-party due diligence procedure and anti-corruption policy, alignment with the new DOJ guidance, and a refresh of the hotline and third party systems.
- Revamped the integrity manual (company code of conduct) to ensure alignment with the integrity helpline; resulting in the development of a streamlined method to report concerns with the goal of improving company culture.
- Modified the social media/public speaking policy to address employees' actions that could potentially misrepresent the ideals of the company.
- Collaborated with internal audit, the employment lawyer, and the general counsel on numerous cases, including the investigation of an employee suspected of fund misappropriation, which resulted in the termination of the employee.
- Developed a comprehensive risk-based training and communications plan in response to a newly created survey that assesses employees' perception of the company.
- Spearheaded a risk appetite which analyzes risks levels of distributors and vendors based on factors including location, spend allocation, and customer type; the risk score determination aids in the development of strategic plans to mitigate risk with external companies.

KRISTEN D. HARDY'S RÉSUMÉ
PROFESSIONAL EXPERIENCE CONTINUED (PAGE 2)

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Legal Counsel

Rockwell Automation, Milwaukee, WI | Oct 2016 – May 2019

- Managed the development and implementation of the Global Ethics and Compliance program in collaboration with the Vice President, Law & Chief Compliance Officer; this included developing and delivering training, conducting investigations, assisting with Board memoranda and presentations, curating communication messages, conducting risk assessments, and managing the anti-bribery program.
- Acted as regional attorney liaison - led compliance review committees in each region.
- Provided legal advice on complex issues involving the Company's governmental and regulatory compliance.
- Conducted legal and compliance due diligence for third party intermediaries and M&A transactions and assisted with legal matters in other practice groups, as assigned.

Key Highlights & Accomplishments:

- Led the application process the Ethisphere World's Most Ethical Company Award which resulted in recognition in 2018 and 2019.
- Developed and executed annual ethics training, including communications and regular reporting to senior leadership.
- Assisted with compliance M&A due diligence for new joint venture.
- Created modern slavery statement and training in response to the UK Modern Slavery Act.
- Selected as a participant of the Executive Leadership Council's Women's Leadership Forum.

Investigative Lead, Insider Risk Program (Office of the General Counsel)/Intern

Rockwell Automation, Milwaukee, WI | July 2014 – Oct 2016

- Worked cross-functionally with members of HR, Legal, Finance, IT, and Security to lead investigations related to internal intellectual property theft, cyber sabotage, and fraud across the global enterprise.
- Created workflow processes, including the addition of intake surveys, to maximize efficiency in each region.
- Managed daily insider risk caseload and created relevant business committee and board reports;
- Developed and executed training, both internally and externally, related to identifying and mitigating insider risks.

Key Highlights & Accomplishments:

- Served as the program's first Investigative Lead.
- Successfully implemented a predictive analytics tool to identify anomalies and other risk factors prior to theft or sabotage.
- Created process documents and procedures for analyzing data, investigating concerns, and interviewing related parties.
- While Investigative Lead, the Insider Risk Team was recognized by the Society of Women Engineers with the Global Team Leadership Award.

Adjunct Professor

Marquette University Law School, Milwaukee, WI | January 2018 – May 2019

- Instructed 15-20 students per semester using the U.S. Sentencing Guidelines, 18 U.S.C.A. §8B2.1 and the Foreign Corrupt Practices Act (FCPA) as guideposts for the implementation and execution of programs for a Corporate Compliance workshop.

Law Clerk

The Northwestern Mutual Life Insurance Company, Milwaukee, WI | May 2012 – August 2013

- Researched and prepared legal memoranda in numerous practice areas including securities and corporate governance, real estate, contract, and corporate business. Also prepared memoranda for litigation and compiled 50 State surveys regarding insurance law.

Judicial Intern – U.S. Federal Magistrate Judge Nancy Joseph

U.S. District Court of the Eastern District of Wisconsin, Milwaukee, WI | May 2013 – July 2013

- Prepared draft orders and opinions for both civil and criminal cases; observed numerous trials and assisted with pre-trial mediations with Judge Joseph and law clerks, while providing input on substantial issues, such as Fourth Amendment violations.