



## Wendy Kerns

### Senior Compliance & Business Officer

Wendy is responsible for a myriad of projects in the compliance, technology, human resources, and administration areas of RiverFront. She brings close to three decades of HR, compliance, and regulatory experience to her role.

Wendy has been with RiverFront since the company's founding in 2008. She began her career in 1993 with a predecessor firm to Wachovia Securities. During her time at Wachovia Securities, she served in several compliance and regulatory positions. Prior to joining RiverFront, she served as the Compliance Liaison for the Advisory Services Group at Wachovia Securities. In this capacity, she worked with Management, Compliance & Legal personnel and several Regulators to ensure that the Group was consistently operating within all applicable regulations and guidelines.

Wendy earned her BA from Muhlenberg College in Allentown, PA.

Several years ago, Wendy traded in her Ford Mustang for a retired racehorse. When she's not at the barn riding, grooming or mucking stalls, she manages to squeeze in a few hours each week to sing in the Grace & Holy Trinity Episcopal Church choir.

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### COMMUNITY INVOLVEMENT

- James River Horse Foundation

“RiverFront allows me to provide a unique level of financial support to the James River Horse Foundation, which cares for retired Thoroughbreds at the State Farm Work Center in Goochland County, VA. The program also runs a vocational training program for the offenders at the facility -- teaching confidence, pride in work, acceptance of responsibility, and the value of personal contribution.”