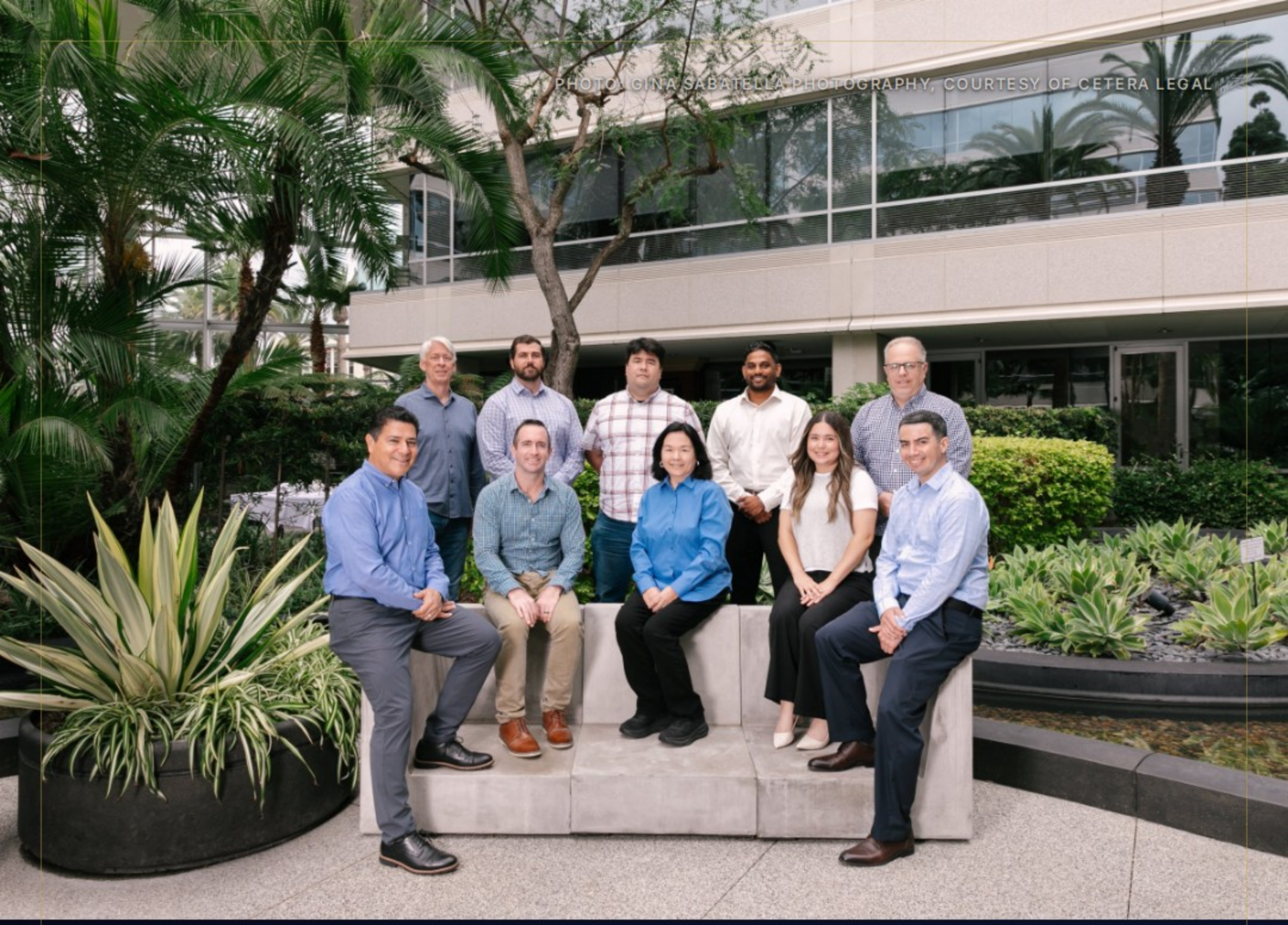


PHOTO: GINA SABATELLA PHOTOGRAPHY, COURTESY OF CETERA LEGAL

COUNSEL COLLECTIVE · OUR FIRST TEAM COVER

What only a lawyer *should do.*

Cetera Legal. One department, two coasts, twenty-six people, and the judgment they refuse to automate.

I. WHERE IT STARTED

The problem started as a filing cabinet.

Fifty-state surveys on the questions that kept coming back. Hundreds of advisor-facing colleagues relying on them. And every time a state changed, room for someone to work from the wrong version.

Nobody was doing anything wrong. That is what made it worth solving.

II. THE TOOL THEY CALL LEGAL BEAGLE

It answers the questions that never needed a lawyer.

600+ colleagues using it

450+ legal questions in two months

100+ that would have gone straight to legal

SINCE FULL DEPLOYMENT, MAY 2026

WHERE THE EDGE IS DRAWN

“The goal is not to automate legal reasoning; it is to reserve legal reasoning for the situations where it creates the most value.”

LISA GOK

Chief Legal Officer, Cetera



GINA SABATELLA PHOTOGRAPHY

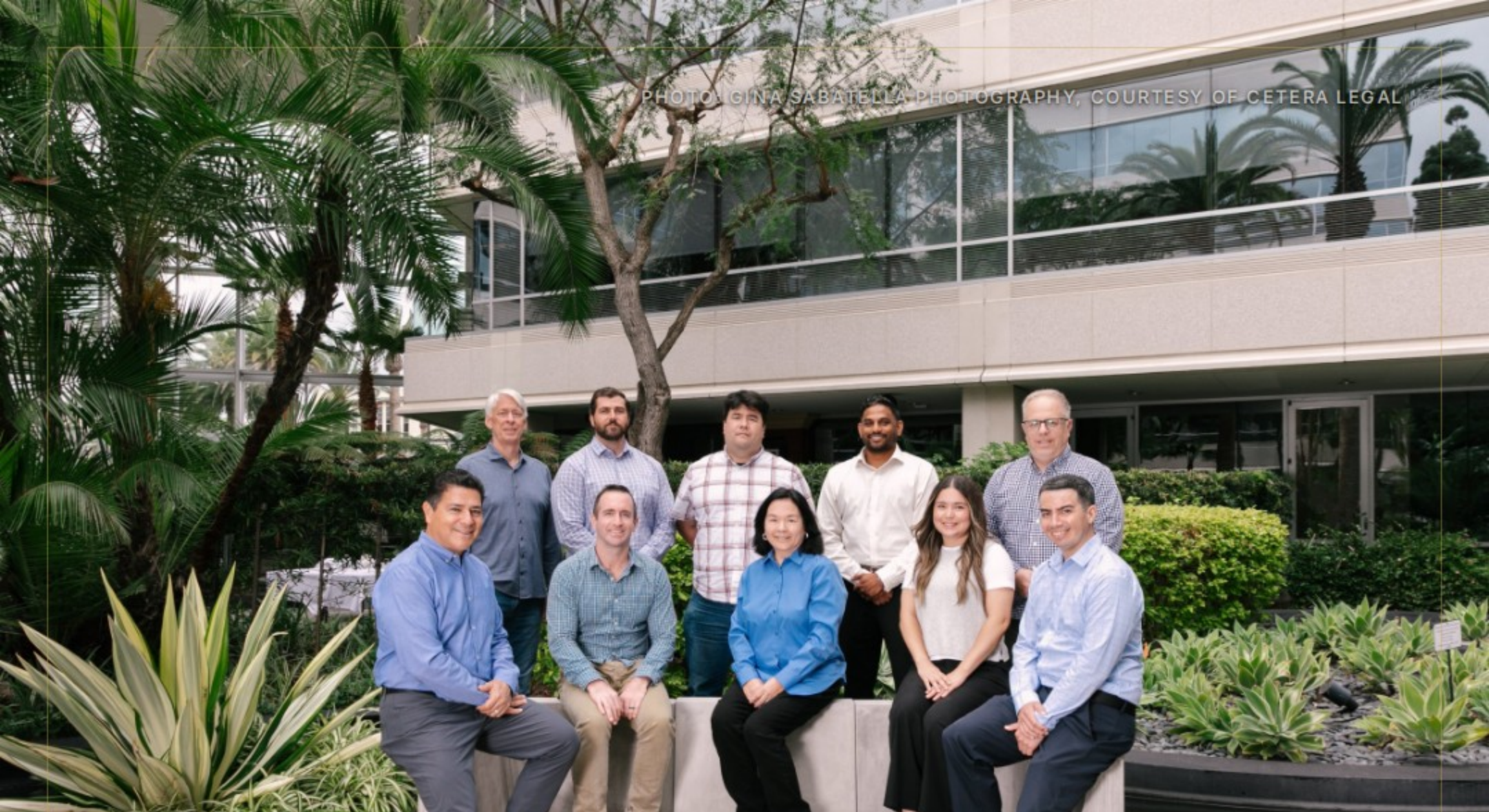


PHOTO: GINA SABATELLA PHOTOGRAPHY, COURTESY OF CETERA LEGAL

III. ONE DEPARTMENT, TWO COASTS

“We are specialists, but we don’t behave like specialists.”

LISA GOK

El Segundo and New York, run as one team. Geography was never going to define it.



IV. LEARNING TO SPEAK SEC

Eleven years at the SEC, working financial fraud and market misconduct. Then the move in-house, in 2005.

“At the SEC, you see the consequences when controls fail. Going in-house gave me the chance to help design those controls …”

LISA GOK

V. THE BENCH

Three of the leaders who staff it, in their own words.



“We are true partners in the business ...”

WINNIE LEE

Deputy General Counsel · New York



“The focus was never on assigning blame.”

JAIME GUERRERO

Associate General Counsel, Risk and Regulatory · El Segundo



“... at Cetera, Legal takes a collaborative approach ...”

CAROL LEE

Senior Counsel · New York

VI. WHAT EARNS THE WORD PARTNER

“A trusted partner is someone who understands that their job is not simply to answer the question they were asked. Their job is to help me solve the problem I am trying to solve.”

LISA GOK

Chief Legal Officer, Cetera

VII. IN THEIR WORDS

The outside counsel who work alongside them.

“They truly set the gold standard.”

LOU SPADAFORA · WINGET, SPADAFORA & SCHWARTZBERG

“... Lisa is simply a really good person.”

JAMES V. GARVEY · VEDDER

“Lisa’s entire legal team is a well-oiled machine.”

PHILLIP M. GOLDBERG · FOLEY & LARDNER

“I always look forward to Lisa’s next call.”

GARY M. SARETSKY · SARETSKY HART MICHAELS + GOULD

Twenty-six people. Eight offices. Every one of them named.



Lisa Gok



Carol Lee

CS

Claudia Smith

DF

David Feldstein



David Van Havermaat

DJ

Derek Joostema

EK

Elena Kostadinov



Eric Pinciss



Gustavo Escalante



Harshan Shanthakumar



Jaime Guerrero

JN

Jeff Newman

JW

Jennifer Wang



Jeremy Bledsoe



Kasey Kagawa



Leydi Betancourth

MJ

Marasia Jordan

MQ

Mark Quinn



Michael Vacca

ND

Nicole DeWall

RM

Rob Manzo



Sandi Lavenant



Scott Kirwin

TV

Tom Vays

TL

Tran Ly



Winnie Lee

IX. THE INSTRUCTION

Decide what actually needs a lawyer. *Then make sure a lawyer is the one who gets it.*

READ THE FULL STORY

counselcollective.org/what-only-a-lawyer-should-do

THE FIRST TEAM COVER. NOT THE LAST.

Your team, *on the cover.*

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