



Erin Linehan

**Chief Compliance Officer, Fin-Op and Global Functions Compliance
Associate General Counsel
Raymond James**

Erin is the Chief Compliance Officer for Global Functions Compliance. Within Global Function Compliance, are several areas within the enterprise-wide compliance function for Raymond James: Dispute Resolution, Senior & At-Risk Clients; Marketing Compliance, Corporate Functions Compliance, Disclosure Governance, and Operations and Regulatory Reporting Compliance. Aside from handling substantive work for these areas of the firm, these teams provide compliance and legal advice and guidance; metrics, data and trending; and education on best practices so the company may benefit from lessons learned. Erin is involved in developing policies and procedures in these areas for the firm at large. She is a frequent speaker at company and industry events, domestically and abroad, on lessons learned and best practices for financial advisors, supervisors, attorneys and compliance professionals as well as issue around diversity and inclusion, including being a guest on various podcasts. Erin was honored as one of Tampa Bay Business Journal's Business Women of the Year.

Erin has been the National Co-Chair for the Raymond James Women's Inclusion Network since 2020. She also serves as Board Chair for Pace Center for Girls, Inc. – Hillsborough. In 2016, Erin founded and co-chairs an organization of over 150 of women lawyers in the Southeast US who work in financial services, Southeast Women in Financial Services (SWIFS) is focused on networking, professional development, the advancement of women in financial services and philanthropic efforts to support financial education, professional development and economic security for women and girls through community partnerships, education and advocacy. In 2022.

Erin received her BS from Cornell University and JD, cum laude from Tulane Law School. She has her Series 7, 9 and 10 licenses, a member of SIFMA's Senior Investor Working Group, FINRA's Senior Investor Roundtable, FINRA Complaint Initiative Committee, and has served on the Board and committee Chair for Elder Education and Diversity and Inclusion for the Florida Securities Dealers Association.