



Erin Linehan

Associate General Counsel, Compliance, Raymond James Financial Services, Inc.

Erin is responsible for four areas within the enterprise-wide compliance function: Dispute Resolution, Senior & At-Risk Clients; Marketing & Strategy Compliance and Corporate Functions Compliance. Aside from handling substantive work for these critical areas of the firm, these teams provide compliance and legal advice and guidance to the enterprise, metrics, data and trending that is essential for the firm to manage risk and make risk-based escalation decisions to senior management, while also providing education on best practices and trends to financial advisors so they may benefit from lessons learned. Erin is involved in creating and developing policies and procedures in her areas of expertise 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. Erin joined Raymond James in 2004, where she was in the litigation practice group handling customer complaint arbitrations and internal investigations until 2017.

At Raymond James, Erin is the National Co-Chair of the Women's Inclusion Network, sits on the Compliance Diversity and Inclusion Committee, as co-chair of the openness sub-committee and works on the mentorship workstream related to Raymond James' pledge on racial and social equity.

Erin received her B.S. from Cornell University and JD, cum laude from Tulane Law School with a specialization in European Legal Studies. She has her Series 7, 9 and 10 licenses, is a FINRA Arbitrator, a member of SIFMA's Senior Investor Working Group, FINRA's Senior Investor Roundtable, FINRA's CIC, and was previously on the Board of Governors for the Florida Securities Dealers Association, but now service as Co-Chair of the FSDA's Diversity and Inclusion Committee.

In 2016, Erin founded and currently co-leads an organization of over 100 of women lawyers in the Southeast U.S. who practice in the financial services industry, Southeast Women in Financial

Services 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 through community partnerships, education and advocacy. Erin also sits on the Executive Committee of the Board of Directors for Pace Center for Girls, Inc. – Hillsborough as the Resource Development Chair.