



Cathleen Seneca  
Chief Compliance Officer  
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Cathleen Seneca is Chief Compliance Officer with over 25 years of broad experience, managing and directing diverse business lines in the financial services industry. In addition to her current employment with E\*Trade, she has worked as managing director and chief vetting officer for Bear Stearns, and chief compliance officer for Fleet Securities and Robb Peck McCooey Clearing. Cathleen is a strategic thinker and team builder. She is active in women's leadership with the Financial Women's Association. Since 2009, she is director, co-founder, and co-chair of International Law and Disclosure Discovery Group, a professional association focusing on the emerging issues in international compliance, electronic discovery, records management and risk mitigation. Cathleen is also a member of Boardroom Bound, an organization that provides programs designed to increase inclusion in corporate boardrooms, as well as the National Society of Compliance Professionals, SIFMA, and 100 Women in Hedge Funds. She serves on FINRA Ops Pro CE Committee and Securities Industry CE Council.

She is a graduate of The University of Pennsylvania - The Wharton School and holds FINRA CRCP, Certified Regulatory and Compliance Professional certification.