



**Richard Lakin**  
***Partner, Chief Compliance Officer***

Richard is a Partner and the Chief Compliance Officer for IRON Financial. He joined IRON in 1996 and is responsible for leading all legal and compliance functions. In addition, Richard is on the Risk Management Committee whose primary role is to monitor, assess, and control organizational risk.

Prior to joining IRON, Richard was a practicing attorney, as well as an independent market maker on the Chicago Board Options Exchange where he specialized in volatility spread trading. Richard received his J.D. from Kent College of Law and his Bachelor of Arts from the University of Illinois. He holds the FINRA Series 65 license. He is also an assistant coach to Northwestern University Law School's Bartlit Center Trial Advocacy Team.

Under Rich's direction, IRON has implemented a detailed compliance program that includes consulting services provided by several independent third party, nationally recognized compliance consulting firms. He also has access to external professionals with expertise in all primary regulatory and compliance issues related to the Investment Advisers Act and the management of 1940 Act mutual funds.