



## J.K. @ blu pagoda

*To ensure equal opportunity and reduce implicit bias, we only include the first and last initial of our candidates for screening purposes.*

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### FUTURES & SECURITIES COMPLIANCE EXECUTIVE

Compliance Executive with diverse futures and securities experience in leading teams and managing both customer and proprietary trading compliance in equities, futures, and exchange traded options. Recognized for providing knowledgeable guidance on complex issues. Adept at working in a rapidly-changing environment where relationships with Regulators and Exchanges helps ensure the business meets requirements.

- **Adaptability.** Ability to learn new skill sets in a rapidly-changing business environment. Meaningful experience on both the customer and the trading sides of financial transactions.
- **Communication.** Develops strong partnerships with key clients, exchanges, business partners, and regulators. Adept at building productive cross-functional collaboration, especially with IT, through a willingness to understand organizational challenges inherent in change and clearly articulating business requirements.
- **Governance and Compliance.** Skilled in developing and implementing organizational structures and governance processes at both enterprise and functional levels that improve decision-making and execution. Has earned the respect of Regulators and Exchanges, allowing for give-and-take discussions on best practices and compliance.
- **Process Improvement.** Develops procedures to streamline operations and delivers on time. Plans and executes programs to align people, processes, technology, and investment to deliver.
- **Teaming.** Committed to creating a culture of excellence through innovation and process improvement. Fosters a business culture of teamwork and collaboration across the enterprise, bridging organizational silos.
- **Technical Expertise.** Deep understanding of a broad array of financial compliance and surveillance concepts such as Anti-Money Laundering Compliance, Manipulative Trading Surveillance and Insider Trading Monitoring. Certified FINRA Series 4,7,14, 24, 56, and 63 Qualified.

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### PROFESSIONAL EXPERIENCE

**Phillip Capital Inc., Chicago, IL**

**2019-2022**

*US based Futures Commission Merchant ("FCM") and Securities Clearing Broker Dealer ("BD")*

#### **Chief Compliance Officer and AML Officer**

Oversaw overall compliance effort in and served as a trusted business partner for the firm's FCM and BD

- Reviewed and enhanced compliance manuals, written supervisory procedures, and control procedures to ensure compliance with CFTC, CME, NFA, SEC, FINRA, and SRO regulations.
- Led all CFTC, CME, NFA, SEC, FINRA, and SRO exams, inquiries, and investigations.
- Designed and implemented numerous electronic compliance monitoring reports and surveillances
- Led effort to move the firm's books and records to a worm compliant Microsoft SharePoint site.
- Led compliance effort for the approval of a Securities Lending Program.
- Led the interpretation of new rules and regulations and their impact on the firm.
- Ensured firm and individual securities registrations and disclosures on FINRA Web CRD and NFA website.
- Enhanced the Firm's monitoring of electronic communications utilizing Global Relay.
- Reviewed, enhanced, and supervised the employee trading activity according to FINRA rules
- Developed and enhanced the Firm's supervisory system

**Charles Schwab & Co., Chicago, IL**

**2017 – 2019**

*Bank and stock brokerage firm with over \$10B in revenue and over 19,000 employees.*

**Vice President and Head of Market Surveillance**

Responsible for creating a surveillance program for all aspects of Schwab's business.

- Implemented and developed NASDAQ SMARTs as the firm's market abuse surveillance program. Surveillance program expanded to include many products: equities, futures and futures options, and equity and index options.
- Ran investigations on major infractions, developing the level of detail necessary to build a case for taking action. Team's effort led to 82% of Suspicious Activity Reports (SARs) being accepted by Fraud Department for further action.
- Built a highly-functioning team from existing resources and selected members from prior work experience.
- Expanded surveillance programs to include a much broader compliance including internal options suitability surveillance, employee outside-brokerage accounts, and bank employee trading
- Managed and enhanced trading surveillance of Section 16 officers, Trade Window violations, and front-running activities. Clear process and procedures that led to less violations.
- Initiated client outreach programs designed at preventing potential violations of SEC and FINRA rules. Averaged over 100 monthly outreaches.

**optionsXpress, Inc., Chicago, IL**

**2013 – 2017**

*Online options broker that operations ceased in 2017 and all accounts were transferred to its affiliate, Charles Schwab & Co.*

**Vice President and Head of Compliance**

Responsible for all compliance activities.

- Built an organization from no employees to create compliance and supervisory procedures for ensuring compliance with CBOE, CFTC, FINRA, NFA, and SEC Rules.
- Led all regulatory exams, investigations, and inquiries, determining if fraud had been committed.
- Developed electronic trade surveillance alerts for insider trading, spoofing, layering, marking the close, and other transactions.
- Eliminated regulatory inquiries to zero by the end of 2017.

**PEAK6 Investments, L.P., Chicago, IL**

**2010 – 2013**

*Wealth Management Company including affiliates Capital Management LLC (market maker), Performance Management LLC (hedge fund), Master Vega Fund LLC (hedge fund).*

**Chief Compliance Officer**

Oversaw compliance for the firm's electronic options market-making and proprietary trading in equity, indexes, and options.

- Developed and enhanced compliance manuals, written supervisory procedures, and control procedures to ensure compliance with SEC, FINRA, and SRO regulations.
- Led all SEC, FINRA, and SRO exams, inquiries, and investigations.
- Designed and implemented numerous electronic compliance monitoring reports.
- Worked with Technology personnel to ensure all systems were in compliance with SEC and SRO rules.
- Led the interpretation of new rules and regulations and their impact on the Firm's trading systems.
- Ensured Firm and individual securities registrations and disclosures on FINRA Web CRD.
- Developed and enhanced the Firm's monitoring of electronic communications. Implemented forensic testing procedures to ensure the Firm stayed compliant with RegSHO.
- Developed and enhanced the Firm's supervisory system.

**TD Options LLC, Chicago, IL**

**2002 – 2010**

*A major options market making firm affiliated with retail on-line brokers with over 200 employees.*

**Vice President and Managing Director, Chief Compliance Officer**

**(2007 – 2010)**

Responsible for compliance program.

- Developed written policies and control procedures to ensure compliance with SEC and SRO regulations.
- Oversaw compliance relating to customer accounts, relationships with other broker-dealers, exchanges, and ECNs.
- Conducted reviews of trading, operational and supervisory practices and procedures for compliance;
- Managed SRO general inquires and investigations including preparing written responses and settlement negotiations.
- Reviewed periodic FinCen and OFAC information and follows up to ensure full compliance with AML regulations.
- Monitored and investigated customer correspondence regarding complaints and ensured appropriate action taken.
- Reviewed IT projects for compliance with SEC, FINRA, and SRO rules and Firms standards.
- Ensured firm and individual securities registrations and disclosures on FINRA Web CRD.

**Vice President and Managing Director of Operations (2006 – 2007)**

Led the operational support staff and IT tools necessary for the trading operations of Chicago, London, and Toronto.

- Created strategic directives for technological and procedural solutions to produce operational efficiencies.
- Acted as a lead liaison between TD Options and all securities exchanges.
- Participant on IT committee that oversaw prioritization and implementation of company-wide technology projects.
- Reviewed daily compliance reports published by the exchanges to ensure continuous quoting compliance.
- Ensured REG SHO Compliance, including position research required for exemption requests.

**Vice President and Head of Operations (2005 – 2006)**

Promoted to take over Operations management which included on- floor and electronic off-floor trading. Responsibilities included Quantitative Data and Middle Office functions.

- Managed critical data input into trading models in addition to account and trader installation configurations.

**Manager of Floor Operations (2002 – 2004)**

Responsibilities included trading floor operations for all SEC options exchanges and managing agency execution.

- Installed focus on best execution and order handling compliance requirements and trade and position reconciliation. Designed and implemented numerous IT developments that enhanced operational efficiency to the firm.
- Liaised between TD Options, the various exchanges and member firm organizations;

**ADDITIONAL EXPERIENCE**

LETCO DPM LLC, Chicago, IL: Partner and Vice-President

**BOARD SERVICE COMMITTEE EXPERIENCE**

- CBOE Business Conduct Committee 2008 – 2013, 2019
- CBOE Membership Committee 2008 - 2009
- CBOE Clearing Procedures Committee 1997-2005
- CBOE Systems Committee 2000-2005
- ISE Business Conduct Committee 2011