Candidate Profile Form—Regional Committee Election (*this page will be displayed on finra.org*)

Candidate Name: **Michael Oxley**

Title: Deputy Chief Compliance Officer

Firm: Apex Clearing Corp.

Candidate Biography and Personal Statement (*3,000 character limit - approximately 500 words*)

As a seasoned financial services professional with over two decades of experience, I have dedicated my career to upholding the principles of integrity, trust, and transparency in the securities industry. My expertise spans compliance, risk management, governance, supervisory strategies, financial operations, and executive leadership, enabling me to offer a holistic perspective on the dynamic regulatory challenges and opportunities faced by FINRA member firms.

In my current role as Deputy Chief Compliance Officer at Apex Clearing Corp, I provide strategic oversight on regulatory compliance, ensuring that our firm not only meets but exceeds expectations for investor protection and market integrity. I am passionate about bridging the gap between regulatory frameworks and practical implementation, which has allowed me to serve as an effective advocate for both institutional compliance and the interests of small to mid-sized firms.

My broad industry exposure includes working with firms across a range of business models and client bases. This diversity of experience equips me with a well-rounded, adaptive skill set to offer informed insights on how FINRA's regulatory programs impact both the industry landscape and everyday operations of member firms.

As a current member of the FINRA Regional Committee, I have embraced the opportunity to advise on industry trends, provide actionable input on policies and programs, and ensure two-way communication between regulators and constituents in our region. My focus has been on identifying practical solutions to emerging challenges, such as digital transformation, cybersecurity concerns, and navigating the evolving regulatory landscape.

If re-elected, I will continue to leverage my expertise and collaborative approach to advocate for pragmatic and impactful solutions while centering the industry's commitment to investor protection and market integrity. My deep passion for regulatory excellence, coupled with my dedication to understanding the perspectives of member firms, makes me a strong voice for the region.

Your trust and support would allow me to continue representing the unique perspectives and concerns of our industry in shaping FINRA's programs. Together, we can strengthen the relationship between member firms and regulators in pursuit of a fair, efficient, and forward-looking marketplace.

Thank you for your consideration. I look forward to continuing to serve you and the broader financial services community.

Optional Link:

LinkedIn Profile: