

**District 11 – North Region Candidate**

- Mark Trabucco, Chief Compliance Officer, State Street Global Markets, LLC

## Candidate Profile Form—Regional Committee Election

Candidate Name: Mark Trabucco

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Title: Chief Compliance Officer

Firm: State Street Global Ma

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### Candidate Biography and Personal Statement

In consideration to serve on the North Region Committee representing District 11, I am eager to engage with committee members and FINRA Staff on issues concerning the securities industry, contribute to the discussions with an eye toward providing expertise and experience on dealing with issues facing the industry and offer my perspective to the committee. I served on the North Region Committee from 2019 – 2021 and felt I provided valuable insight and participated in meaningful conversations regarding the brokerage industry and the regulatory oversight.

I have been a licensed securities professional (Series 3, 7, 14, and 24) since 2004 joining State Street Global Markets, LLC ("SSGM") as Compliance Manager in 2008 and becoming CCO in April 2015. In addition to my responsibilities with SSGM, on May 1, 2017, State Street acquired Charles River Brokerage, LLC ("CRB") and I was named CCO of CRB shortly thereafter. As CCO, I am responsible for oversight of the compliance program for both entities serving on key committees, including the Operating committee, Best Execution Committee, and steering committees covering various initiatives. During my tenure as CCO of SSGM, I led compliance efforts in the build out of a Futures Commission Merchant, the restructure of a legacy Broker-Dealer, advised on the acquisition and integration of CRB and developed applicable compliance programs.

SSGM is a wholly-owned subsidiary of State Street Corporation and is a SEC registered clearing Broker-Dealer and a member of FINRA, NYSE and NFA. SSGM supports the brokerage businesses operated within the State Street Global Markets division of State Street Corp. and engages in several classes of services, including principal and agency transactions, clearing services for US based equity and fixed income markets and introducing services for Europe, Middle East, Africa and Asia Pacific equity and fixed income markets. SSGM also offers an electronic platform and clearing services for institutional money market funds. SSGM has approximately 100 Registered Representatives and has three branch locations, Boston, New York, and Sydney, Australia.

CRB is a limited purpose Broker-Dealer that has approx. 5 Registered Representatives. CRB provides software services to broker dealers of Charles River Development clients through Interface Testing and Maintenance Agreements (ITMAs).

Prior to joining State Street, I worked at FINRA as a Senior Compliance Examiner for the Boston office where I conducted on-site examinations of member firms' compliance programs and analyzed member firms' sales, financial, operational and supervisory practices. Prior to my tenure at FINRA, I was an equities trader on the floor of the Boston Stock Exchange for Pershing Trading Company actively handling listed equities customer order flow.

I believe my experience as CCO and Compliance Manager, along with experiences at FINRA and trading, will provide valuable insight for the committee. I value and respect the importance of various points of view and opinions and feel I can be trusted to make a valuable contribution to the committee.

### Optional Links:

Link to personal website, resume or CV:

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Link to YouTube video:

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