

District 6 – South Region Candidates

- William C. Hoover, President/ Chief Executive Officer – Executive Representative, Steward Securities Group LLC
- Michael Oxley, Deputy Chief Compliance Officer, Apex Clearing Corporation

Candidate Biography and Personal Statement for William C Hoover:

My very first association with a Finra member firm was on May 18, 1987. I became a rookie fixed income salesman in a training class with a regional b/d located in Houston, TX. As I mention in the "About" section of my LinkedIn profile, "I was given a phone, a desk and an opportunity". I was also given an opportunity to learn first hand how to serve our client needs from several senior peers whose belief was always, "Your word is your bond". The word bond being associated with a bond salesman; we thought we had our own special saying reserved just for us. Those words have never left my thinking.

I succeeded beyond my expectations at every level. My most important lesson learned was that I had developed my formula for success by actions and advice. My LinkedIn profile has recommendations from a few of those I had as clients and peers.

In early January, 1997, I got my Series 65 license and have been dually registered since then. The best way I know to describe being dual registered is that it gives you a much broader idea of how the various markets function. Between my Finra and RIA efforts, I feel confident that I have mastered "best practices" in most areas of the capital markets. I learned many years ago that my information was being taken as actionable advice. No pressure here. You measure your words carefully.

I firmly believe our registered profession is going through some major transformational changes. That is because of the state of our current markets and the economy. The evolution of digital asset classes and settlement processes, along with the expanding use of alternative investment choices, should put our regulated profession at the forefront of where to get counsel. We must communicate with each other before we do so with our clients. We are all charged with the responsibility of bringing a positive, open minded point of view in the things we do. Every time I read a comment about how certain segments of our regulated business is being treated by our regulator, I often wonder how does complaining change that?

I want to become involved in the regional committee in district six to contribute with a positive approach. I want to have real and candid conversations with Finra and share real world best practice approaches. Something I know that is very much appreciated by our peers and our regulator. Smart ideas are never an exclusive. If we are not in the room when decisions are being made, they will be made for us by someone else. We must always run our businesses. I cannot think of a time when that has been truer. I would be honored if you would consider me for a position as a member of our district six regional committee. Thank you.

William C Hoover

Candidate Profile Form—Regional Committee Election

Candidate Name: Michael Oxley

Title: Deputy Chief Compliance Officer

Firm: Apex Clearing Corp.

Candidate Biography and Personal Statement

I have spent my entire working career in the financial services industry. I started my journey as a margin clerk issuing margin calls, sellouts, and approving money movements. I quickly rose to a management position managing a large team of 20+, re-designing a proprietary margin system, and implementing portfolio margin. I moved into direct business running an IBD operation at the clearing firm for prime broker/institutional and advisor clients. This would include approving new accounts, reviewing trade blotters, writing WSPs, and everything that goes with running a small firm IBD. My next stop in my career was managing our account management/client services teams this included customer escalations, contract negotiations, and onboarding.

And last year, I joined the Compliance department as Deputy Chief Compliance Officer. I oversee the compliance program to ensure it is effective, escalation point for most regulatory compliance operations and AML functions. I was a member of the South Region Committee this past year and provided a different perspective from the clearing firm side. I thought the other committee members and FINRA liaisons saw the value add I brought to the committee. I want to continue my committee membership to further engage with FINRA and other members on various industry topics. Thank you for your consideration.

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/michael-oxley/>

Link to YouTube video:
