

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

Candidate Name: **Steve Milcarek**

Title: Vice President, Operations

Firm: PEAK6 Capital Management

Candidate Biography and Personal Statement *(500 word limit)*

With a career spanning almost three decades, I have always been driven by the desire to enhance operational processes and ensure compliance in the fast-evolving financial landscape. I am passionate about creating and executing strategies that streamline operations while upholding the highest standards of regulatory compliance.

Since June 2021, I have served as Vice President of Operations at PEAK6 Capital Management, where I oversee finance, back- and middle-office operations, and market operations teams. In this capacity, I have led critical projects, such as establishing a cryptocurrency trading entity and restructuring corporate structures post-acquisition. I also manage business operations for PEAK6's European entities. Before PEAK6, I was Vice President and Head of Operations at Halo Investing from 2019 to 2021, where I lead the firm's Broker Dealer Operations and managed key operational areas, including finance, compliance, and trading. Additional responsibilities included acting as internal counsel interacting with third party legal and onsite compliance officer. As leader of the Halo Operations Team, I worked with sales and tech to meet client demands for automated pricing of structured notes. Prior to my departure from Halo, I was leading the BD effort to build a direct-to-consumer platform and pipeline for internal and institutional clients.

From 2015 to 2019, I served as Vice President of BD Operations and Futures New Accounts at PhillipCapital Inc., spearheading the firm's self-clearing operations and successfully guiding the firm through several major regulatory milestones including a self-clearing NMA. With a small team we were able to establish DTC, NSCC, and OCC memberships while setting up trading and back-office systems. I worked closely with finance and compliance to ensure we were meeting our regulatory requirements in all aspects of the broker dealer, while maintaining day to day operational tasks and managing the OMS. Prior to that, I have held leadership roles at Northern Trust Hedge Fund Services, OptionsHouse LLC, UBS Investment Bank, and Charles Schwab & Company, where I developed a reputation for operational excellence, process improvement, and regulatory compliance.

I thrive in dynamic environments where my ability to lead teams, implement technology solutions, and ensure regulatory compliance can drive both growth and operational efficiency. My goal as a member of this committee is to continue applying my unique experiences in the broker-dealer operations space, which spans retail, proprietary trading, self-clearing, and introducing BD to help this organization perspective on how changing rules can impact multiple operations.

Optional Links:

Link to personal website, resume or CV: www.linkedin.com/in/steven-milcarek-50725430

Link to YouTube video: