

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

Candidate Name: **Anthony Savarese**

Title: Head of U.S. Compliance

Firm: XTX Execution Services LLC

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

25+ years experience in securities industry regulatory compliance with a focus on electronic, proprietary and institutional equity trading. My career in the industry includes experience as: Senior Examiner with the NASD (6 years), Chief Compliance Officer of Miletus Trading (2 years), an algorithmic equity trading firm, Director & Senior Compliance Specialist at ITG Inc. (7 years), a large institutional equity trading firm & ATS, and Head of U.S. Compliance for XTX Markets LLC and XTX Execution Services LLC (7 years) focused on proprietary trading strategies in US equities. I am also a current member of the FINRA NY Regional Committee.

In these roles I have managed a broad set of compliance requirements from written supervisory procedures, surveillance and training to CAT reporting, registrations, trading and market structure matters. As an examiner in the NY district office of the NASD I evaluated the compliance programs of a wide variety of brokerage firms and business lines from the very largest, bulge-bracket firms to the very smallest single-owner operator firms. As a CCO for a small electronic trading firm, I was responsible for the implementation of the entire compliance program and became well versed in algorithmic sell-side trading strategies. At ITG I worked on implementation projects for various rules including Rule 201, Rule 15c3-5, Limit-Up Limit-Down, and the Tick Size Pilot. I was also responsible for firm-wide RR training requirements, employee conduct and trading surveillance. At XTX I have managed the U.S. compliance program for a fully-automated and electronic proprietary trading firm including ongoing advisory and market structure work. I also cover our client-facing entity, XTX Execution Services LLC, which operates a Single Dealer Platform for US equity trading. As a senior member of the global compliance team for XTX I also work on global policies and procedures, training, surveillance and various other projects.

I have a BS in Finance from St. John's University and an MBA in Finance from Fordham earned going to school at night in association with the NASD and Fordham cohort program. I carry Series 4, 7, 24, 57, and 87 licenses.

As a compliance professional I am interested in seeing the mission of FINRA succeed in protecting investors and providing a well-regulated market, fair for all participants. As an examiner in the early part of my career I developed a respect for FINRA's mission and for the people who have dedicated themselves to moving this mission forward. Over my career I have developed a strong working knowledge of the securities markets, its various products and the wide variety of firms that provide investment services to the public. In my role as a day-to-day compliance officer I have a first-hand view of how challenging regulatory requirements can be for firms to manage in a competitive environment. As a member of the NY regional committee, I have provided input to FINRA on a variety of topics and served on several disciplinary hearing panels which I found interesting and a useful service to the industry.

Thank you for your consideration.

### Optional Links:

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

Link to YouTube video: