

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

Candidate Name: **Michael P. Doherty**

Title: Chief Compliance Officer

Firm: Susquehanna Securities

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

Chief Compliance Officer, Global Execution Brokers, LP (One of the largest agency brokerages in the US options market), 2004 to present
Chief Compliance Officer, Susquehanna Securities (One of the largest market makers in the US options markets), 2007 to present
Chief Compliance Officer, Susquehanna Investment Group (Options market maker on the MIAX exchange), 2004 to present

As Compliance Director (the "CD") for the above referenced firms, I manage the department staff and act as a primary advisor to the Firm on its overall compliance and supervisory systems and the particular rules, policies and procedures that the Firm adopts.

As CD I am also responsible for understanding the products, services and line functions performed by the Firm so that appropriate written compliance policies and written supervisory procedures can be developed to cover these products, services and functions.

U.S. Licenses Held (current and past)

Series 4- Registered Options Principal

Series 7 - General Securities Representative

Series 24 - General Securities Principal

Series 56 - Options Trader

Series 57 - Securities Trader

Series 63 - Uniform Securities Agent State Law

Series 65 - Uniform Investment Adviser Law

Industry Service

ISE Business Conduct Committee (Former Member and Chairman)

Served as member and Chairman of the International Securities Exchange Business Conduct Committee. The Committee was tasked with acting as a hearing panel to determine whether exchange rules had been violated and if so, to determine appropriate sanctions against the firm/s and/or individual/s involved.

MIAX Business Conduct Committee (Current Member)

The Committee is tasked with acting as a hearing panel to determine whether exchange rules had been violated and if so, determine appropriate sanctions against the firm/s and/or individual/s involved.

NYSE ARCA Business Conduct Committee (Current Member)

The Committee is tasked with acting as a hearing panel to determine whether exchange rules have been violated and if so, determine appropriate sanctions against the firm/s and/or individual/s involved.

The Securities Industry Regulatory Council on Continuing Education

(Recently completed four year term.)

The Council has advisory and consultative responsibilities with regard to the development, implementation and ongoing operation of the Securities Industry Continuing Education Program.

FINRA Series 56 Committee (Former Member)

The Committee was tasked with developing, maintaining and administering a proficiency examination for all persons trading options in the US markets.

FINRA Series 57 Committee (Former Member)

The Committee was tasked with developing, maintaining and administering a proficiency examination for all persons trading equity securities of all types in the US markets

Chicago Compliance Directors Group (Current Member)

Founded and chaired an industry group dedicated to addressing the compliance concerns of the major option market maker firms. The group acts as a liaison between the trading community and SROs. The group has since grown to represent all member firms with a presence in the Chicago markets, as well as all national exchanges. This includes clearing firms as well as all trading firms.



Optional Links:

Link to personal website, resume or CV:

Link to YouTube video: