



Michael Oxley, Chief Compliance Officer

Michael Oxley, CRCP®, CSCP-BD®, is Chief Compliance Officer of Apex Fintech Brokerage Services and Deputy Chief Compliance Officer of Apex Clearing Corporation. He brings over 20 years of comprehensive experience in the financial services industry, with a track record of leadership across operations, institutional services, and regulatory compliance at Apex Clearing and its affiliated entities. As Deputy Chief Compliance Officer, Michael oversees all regulatory functions and holds positions on various committees, while also serving as CCO for Apex Fintech Brokerage Services. Michael's career journey exemplifies versatility and strategic growth within the evolving fintech landscape: beginning in margin operations and risk management, he advanced to spearhead the development of Apex's direct business serving robo-advisors and RIAs, before transitioning to build institutional capabilities for prime brokerage, hedge funds, and family offices. His leadership experience also includes managing Client Services and Relationship Management teams before moving into his current compliance leadership role. A recognized thought leader in the industry, Michael has previously spoken at the FINRA Annual Conference and the Small Firm Conference on regulatory compliance and fintech innovation. He holds multiple FINRA licenses, including Series 7, 24, 27, and 4, along with the Certified Securities Compliance Professional (CSCP-BD®) certification from NSCP and FINRA's CRCP® certification.