

MARC NAGEL

680 North Lake Shore Drive #419, Chicago IL 60611

312-951-5297 (phone)

312-218-8999 (cell)

mn@marcnagel.com

Professional Experience

2004-2013, *Chief Operating Officer, Chief Compliance Officer,*
Dorman Trading, LLC, Chicago IL

Responsible for: exchange and clearing applications and relations; trading platforms; systems and processes, including account opening, compliance monitoring and reporting; all compliance matters including but not limited to AML, position limits, high frequency trading, wash sales, Dodd Frank initiatives and registration issues; also managed regulatory inquiries, enforcement issues, litigation, and arbitrations.

2001-2004, *Interest Rate Arbitrage Trader,* Chicago Board of Trade, Chicago, IL

Conducted a pit versus electronic trading arbitrage in the interest rate complex.

2000-2001, *Securities Trader,* Chicago, IL

Traded stocks electronically, through the NASDQ SOES system, for my own account.

1984-1999, *Trader and Broker,* Marc Nagel Commodities, Chicago, IL

Traded commodity futures and futures options on the floor of the Chicago Board of Trade and acted as broker for institutional customers.

1977-present, *Attorney at Law,* Marc Nagel, Ltd, Chicago, IL

Practice devoted to matters involving tax and accounting, such as estates, commercial transactions and tax planning. Expert witness in domestic relations cases requiring the use of forensic accounting techniques and business valuations.

1971-1977, *Staff Accountant,* Lester Witte & Co. CPAs, Chicago, IL

Experience in all areas of accounting, including auditing, cost accounting, governmental accounting, management accounting, and income taxation.

Professional Licenses

Attorney at Law, 1977 - present

Admitted to: State of Illinois Supreme Court, April 29, 1977

U.S. District Court for the Northern District of Illinois, June 9, 1977

U.S. Tax Court, June 11, 1981

Floor Broker Registered- NFA # -194163

Education

Bachelor of Science in Accountancy, University of Illinois, Urbana, IL -1971

Certified Public Accountant, University of Illinois, Urbana, IL- 1971

Juris Doctor, IIT/Chicago Kent College of Law, Chicago, IL-1977

Professional Activities

Future and Derivatives Conference Advisory Board, IIT/Chicago Kent College of Law;

Organizer and Presenter at the Future and Derivatives Conference

An annual day long program for lawyers and compliance professionals.

Nominating Committee, National Futures Association

An elected position responsible for nominating candidates to the NFA Board of Directors, who will represent the Futures Commission Merchant community.

Futures Commission Merchant Advisory Committee, National Futures Association

Responsible for reviewing proposed rules and advising the NFA Board of Directors.

Arbitrator, National Futures Association

Commodity Customer Coalition Advisory Board

An organization devoted to protecting the rights of commodity customers, particularly those customers impacted by the MF Global and PFG bankruptcies.

CTA Expo Advisory Board

The CTA Expo is a quarterly program devoted to educating the managed futures Community.

Publications

The Medium Defines the Message: Social Media and Compliance Considerations

NIBA August 16, 2010

The application of NFA promotional material rules to the latest forms of social media.

OLD RULES-NEW INTERPRETATIONS: SPECULATIVE POSITION LIMITS

NIBA June 15, 2010

An explanation of the CFTC and CME approach to intraday limits and the potential for working orders to exceed the applicable limits.

MF GLOBAL BANKRUPTCY

CTA Expo November 30, 2011

Comments on the MF Global bankruptcy filing and advice for CTAs and CPOs that were affected.

DISGRACEFUL DISCONNECT

FUTURES MAGAZINE December 19, 2011.

A chronology of the events and the consequences arising from the MF Global bankruptcy filing October 31, 2011.

THE BLAME GAME

FUTURES MAGAZINE February 21, 2012

An explanation of what is right and what is wrong with the futures industry with regards to the MF Global bankruptcy.

RESTORING CONFIDENCE

CTA EXPO June 6, 2012

The efforts by the various regulators to prevent another MF Global debacle.