



FOR IMMEDIATE RELEASE

R.J. O'Brien Promotes Kathleen Clapper to Chief Compliance Officer

CHICAGO, April 10, 2019 – Chicago-based R.J. O'Brien & Associates (RJO), the oldest and largest independent futures brokerage and clearing firm in the United States, today announced the promotion of Kathleen E. Clapper to Senior Director and Chief Compliance Officer (CCO). Clapper assumes the role following the retirement of CCO Nancy Westwick.

Clapper joined RJO in February 2018 as Director of Compliance. Previously, she spent more than 12 years at CME Group in roles supporting the exchange's self-regulatory organization (SRO) functions, including performing financial and compliance examinations of futures commission merchants (FCMs).

RJO Chairman and CEO Gerald Corcoran said: "Katie will not miss a beat as she assumes this critical role for RJO. She's done a great job over the past year and is ready to take the helm. At the same time, we'll truly miss Nancy, who was an outstanding Chief Compliance Officer. We're grateful for her contributions and wish her all the best."

Clapper said: "I'm excited to lead our talented team. I've been heavily focused over the past year on exploring ways to improve efficiencies as Compliance has evolved from being principally an advisory role to now include a material oversight function. We're committed to ensuring that our procedures help us stay ahead of issues and providing a best-in-class monitoring and surveillance operation."

Clapper joined CME Group in 2005 as a Staff Auditor, becoming Experienced Auditor in 2007 and Advanced Auditor in 2008. In 2010, she became Senior Examiner, Financial & Regulatory Surveillance, and was promoted in 2013 to Supervisor and in 2016 to Manager in that department.

Clapper grew up in the Champaign-Urbana, Illinois area. She earned a Bachelor of Science degree, with honors, in Accountancy, from the University of Illinois in Champaign, and an MBA from DePaul University. She received a CPA in 2013.

About R.J. O'Brien & Associates

Founded in 1914, [R.J. O'Brien & Associates](#) is the largest independent futures brokerage and clearing firm in the United States, serving more than 80,000 institutional, commercial and individual clients globally, in addition to a network of approximately 400 introducing brokers (IBs). RJO services the industry's most expansive global network of IBs, a vast array of middle market firms and many of the world's largest financial, industrial and agricultural institutions. The firm offers state-of-the-art electronic trading and 24-hour trade execution on every major futures exchange worldwide. RJO has received the FOW International Award for "Non-Bank FCM of the Year" for the past three years. Wealth and Finance International Magazine named the company's

private client division, RJO Futures, “2018’s Most Trusted Financial Brokerage Firm.” At its 2019 U.S. Services Awards, CTA Intelligence named RJO the “Best Independent FCM” – the seventh honor bestowed by the magazine on RJO and its UK affiliate. R.J. O’Brien was also the top-ranked broker in Oil Options and Structured Products in Europe in the 2019 Energy Risk Commodities Rankings.

CONTACT:

Ellen G. Resnick

Crystal Clear Communications

773/929-9292; 312/399-9295 (cell)

eresnick@crystalclearPR.com