

**Daniel B. Coleman**

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**EXPERIENCE:**

- 2017-present **Birmingham-Southern College** **Birmingham, AL**  
Birmingham-Southern is one of the leading liberal arts colleges in the South.  
*Adjunct Professor Finance*  
I have taught “Investments”, “Introduction to Finance”, and “Markets and Market Structure” to college undergraduates.
- The Mayor’s Office, City of Birmingham** **Birmingham, AL**  
*Financial Advisory Committee*  
Created out of the Transition and Efficient Government working group for Mayor Randall Woodfin’s transition team, the FAC meets weekly with the mayor’s leadership team working to improve the City of Birmingham’s management of its finances in order to more efficiently deploy its resources in the future.
- Security Industry Financial Markets Association** **Washington, DC**  
SIFMA is the industry association for broker-dealers and investment banks.  
*Advisory Committee*  
I work with the SIFMA organization on issues important to the functioning of the US capital markets.
- 2013-2017 **KCG HOLDINGS, INC** **New York, NY**  
KCG was a leading independent securities firm offering investors a range of services designed to address trading needs across asset classes, product types and time zones. The firm combined advanced technology with exceptional client service across market making, agency execution and venues. KCG had multiple access points to trade global equities, fixed income, currencies and commodities via voice or automated execution.
- CHIEF EXECUTIVE OFFICER*

Served as the CEO from the inception of the company with the closing of the GETCO-Knight Capital Group merger until the sale of the company to Virtu in 2017.

- Created liquidity event taking GETCO public through the acquisition of Knight Capital Group
- Raised \$840 million of debt to close the initial deal.
- Created top trader of US equities and ETFs
- Restructured firm shedding numerous businesses, focusing the firm on electronic execution and liquidity provision.
- Reduced costs by 25%.
- Reduced shares outstanding by 45% over 4 years.
- Returned 16% per annum to shareholders over 4 years.

2010-2013

**GETCO LLC**

**Chicago, IL**

GETCO was a global market maker in the Fixed Income, FX, Equities and Commodities asset classes. The firm's primary business involved both buying and selling securities to provide two-sided markets on exchanges around the world. As a global market maker, GETCO played a critical role in helping to lower the cost of capital for businesses and in reducing trading costs for investors.

*CHIEF EXECUTIVE OFFICER*

Replaced retiring founders as CEO in 2012. Responsible for expanding the business beyond high frequency trading and exploring potential liquidity events for the owners.

- Led negotiation, due diligence and integration with Knight Capital Group
- Spearheaded 15% investment in Knight Capital Group in 2012.
- Implemented significant cost cutting plan.
- Implemented new management structure.

*GLOBAL HEAD OF CLIENT SERVICES AND EQUITY TRADING*

Ran the client facing businesses of GETCO from 2010 to 2012. Added the additional responsibility of all equities trading in 2011.

- Led the team that provided agency execution and liquidity provision in equities to other broker dealers as well as institutions.
- Built out trading in ETFs and ADRs.
- Managed equity market making teams in Chicago, New York , and London

2005-2010

**UBS INVESTMENT BANK (& Predecessor firms)**

**Stamford, CT**

The UBS Investment Bank was a subsidiary of UBS AG, Switzerland's largest bank and one of the largest banks in the world. The businesses of the investment

bank were Equities, Fixed Income, Interest Rates, Commodities, Currencies and Corporate Finance. It was based in London with significant operations in New York (and Stamford, CT), Zurich, Singapore, Hong Kong , and Tokyo.

#### *HEAD OF GLOBAL EQUITIES*

Co-head from 2005 to 2007 and sole head from 2008 through 2010. The equities business made between \$8 billion and \$10 billion a year in gross revenues with pre-tax margins of 25-30%. Its businesses included the leading cash equities execution business in the world, the leading equity research department in the world, global equity derivatives, global prime brokerage, the second largest global futures clearing merchant, and a top global proprietary trading business.

- Managed profitably business through financial crisis. Held team together after numerous senior management changes and government intervention into compensation.
- Led acquisition of Pactual Investment Bank in Brazil, led acquisition of ABN's Futures Clearing Merchant, led acquisition of Schwab Capital Markets.
- Member Executive Committee, UBS Investment Bank
- Member Group Managing Board, UBS AG

2004-2005	Head of US Equities	<b>Stamford, CT</b>
1998-2004	Head of US Equities Trading	<b>Stamford, CT</b>
1996-1997	Head of Client Convertible Bond Desk	<b>New York, NY</b>
1994-1996	Co-head Convertible Bond Desk	<b>Chicago, IL</b>
1990-1994	Equity Risk Manager/Convertible Bond Trader	<b>Tokyo, Japan</b> <b>Chicago, IL</b>
1986-1990	Equity Option Clerk, Market Maker, Specialist	<b>Philadelphia, PA</b>

#### **CORPORATE BOARDS:**

2018	Circulogene
2013-2017	KCG
2014-2017	SIFMA
2010-2013	GETCO
2005-2007	NASDAQ, Inc.
2001-2004	Boston Options Exchanges
2004-2007	Option Clearing Corporation

#### **NON-PROFIT BOARDS:**

2018	Build-Up Birmingham
2010-2013	Birmingham-Southern College
2018-present	

2010-2015     Alabama Symphony Endowment

**EDUCATION:**

1993            **MBA, Finance & Statistics, University of Chicago**  
1986            **BA, English, Yale University**

**Certification:**

2000            **CFA Charterholder**

Mergers and Acquisitions

- SBC acquires O'Connor and Associates
- SBC Acquires SG Warburg
- SBC acquires Dillon, Read
- SBC merges with Union Bank of Switzerland
- UBS acquires Paine, Webber
- UBS acquires ABN Prime Brokerage
- UBS Acquires Schwab Capital Markets
- UBS acquires ABN Futures Clearing
- UBS acquires Pactual

## GETCO acquires Knight Capital Group Virtu acquires KCG



Leading technology and  
market structure expertise

GETCO



KCG

A leading securities firm,  
focused on connecting markets  
and investors worldwide

**Knight** World class client franchise



(1) Acquired Designated Market Maker assignments from Barclays on February 11, 2010.  
(2) Acquired Designated Market Maker assignments from Bank of America Merrill Lynch on November 30, 2011.  
(3) Acquired Designated Market Maker assignments from Muddy Capital Markets on December 31, 2010.