

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

Candidate Name: **Jim Webb**

Title: Chief Executive Officer

Firm: American Global Wealth Management

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

Jim Webb is a leader, problem solver and a passionate advocate for continuous improvement of FINRA's services to its members and adaptation to a constantly changing investment environment. He has previously served and is currently a member of the District 7 committee. Mr. Webb has served as a panelist and speaker at many FINRA regional and National meetings. His active involvement in regulatory matters has enabled him to form a strong relationship with FINRA at every level. By his steady and enthusiastic commitment to improving our membership organization, he has become a respected voice in the financial services industry.

Jim, began his career in 1990 as a financial planner and has continued to grow in the industry ever since. For 14 years of his 34 years, he has worked for several fund and annuity companies as their regional wholesaler. In that time, he has met with thousands of brokers and 100's of broker dealers and been a valued partner in their growth. He is now President of American Global Wealth Management Inc.

He currently holds Series 4, 7, 8, 24, 28, 63, and 66 Securities Registrations and insurance licenses.

He became the owner of his first broker dealer in 2007. Over the last dozen years he has grown his one broker dealer from a tiny firm with just two financial advisors into a financial center with just over 120 representatives, into a serving customers nationwide, which includes three small broker dealers, two sec registered RIAs.

Jim has personally experienced and overcome the many challenges faced by every small firm, and shares his experience. to make the industry better. He also enjoys the interaction with FINRA staff at the national and district levels that enables him to contribute to processes and rule making activities from the perspective of a small firm.

On regulatory matters, Jim has a history of helping to create practical, common sense rules and defend small firm member rule exemptions that enable small firms to thrive, and helps many veterans of the industry find a workable exit strategy for them and their spouses.

He worked towards limiting public disclosures reported to Broker Check for firms and associates when the information reported is determined to be unsubstantiated or is so old that it is prejudicial rather than valuable to the public.

He has worked diligently with the Arbitration system urging them to create a fairer environment, including the limitation of using non-lawyer groups and attempting to set standards for truth made in the statement of claims as well as urging Finra to enforce the 6 year statute of limitations set forth in their rules.

Jim is committed to uniting the small firm industry into a community.

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/jimwebb3>

Link to YouTube video: