

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

Candidate Name: **Jason Rives**

Title: **CEO/CCO**

Firm: **Figure Securities, Inc.**

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

Jason Rives is well versed in building effective compliance departments from infancy that incorporate technology while proactively working with all lines of defense to help identify, manage, and report on compliance risk. Mr. Rives is extremely knowledgeable in building effective compliance departments from infancy for broker-dealer, virtual currency and asset trading, and custody systems. Mr. Rives has over 20 years of experience in the financial services industry, including over 10 years as a senior-level compliance executive in the securities industry. Mr. Rives has served as a Chief Compliance Officer for a variety of business models, including independent, insurance and bank-owned broker-dealers, traditional investment, algorithmic, and fund advisors, clearing organizations, money transmitters, and a transfer agent.

Since 2007, Mr. Rives has been a registered principal with FINRA, holding the FINRA Series 7, Series 24, Series 53, Series 4, and Series 66 licenses, along with grandfathered FINRA SIE, Series 99, Series 14, and Series 52 licenses. Mr. Rives is currently a member of FINRA's West Regional Committee, FINRA's FinTech and SIE Committees, Crypto Working Group and NASAA's Examination Item Writing Committee which assists in the creation of test questions for the Series 63, 65 and 66 examinations.

Mr. Rives currently is the CEO/CCO of Figure Securities, Inc, a broker-dealer who operates an alternative trading system which transacts digital asset securities. Mr. Rives also serves as the Chief Compliance Officer of Figure Markets, a group of companies which include an SEC-registered transfer agent for digital securities, an SEC-registered private fund advisor, two licensed money transmitters specializing in digital asset trading and solutions, and a state-registered lending organization.

"New technologies may create regulatory concerns if active communication between small firms, fintech firms and our regulatory partners do not exist. I welcome the opportunity to continue to represent these firms in our effort to educate and consult with FINRA on our ever-changing technologies, to ensure that any proposed policies and rule changes keep the balance between investor protection and industry innovation."

### Optional Links:

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

Link to YouTube video: