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

Candidate Name: **Justin Ramirez**

Title: General Counsel and Chief Compliance Officer

Firm: dub Financial, LLC

## Candidate Biography and Personal Statement (*3,000 character limit - approximately 500 words*)

I serve as General Counsel and Chief Compliance Officer for dub (DASTA Inc. and its regulated subsidiaries), a New York–based fintech that operates a mobile copy-trading platform with an SEC-registered investment adviser and a FINRA member broker-dealer. As the founding CCO, I built our legal, compliance, and supervisory program from the ground up; led broker-dealer membership approval and adviser registration; and partnered with product and engineering to design controls that make copy-trading workable and safe. Those controls include average-price allocation with pro-rata fills and order-blocking during rebalances so creators and copiers receive the same average price, enhanced marketing disclosures, and risk-based surveillance and testing. I oversee privacy and data-protection, including incident response under Regulation S-P; coordinate with our clearing broker on CAT and CAIS; and manage responses to SEC and FINRA examinations. My approach is collaborative and technical, I work with engineers, designers, and operations to translate rules into code and repeatable process.

Earlier in my career I built and ran compliance programs in traditional finance, including at a global asset manager (Harding Loevner) and at New York Life. My work spanned Advisers Act Rule 206(4)-7 reviews, code-of-ethics and personal-trading oversight, soft-dollar and trade-allocation reviews, outside business activities and gifts and entertainment monitoring, training, and policy development. I am admitted in New York and New Jersey, hold the Investment Adviser Certified Compliance Professional (IACCP) credential, earned a J.D. from Rutgers Law and a B.S. in Management from Rowan University.

I am running for the Regional Committee to add a pragmatic, technology-informed perspective to FINRA's policy dialogue. Member firms, especially smaller broker-dealers and fintech entrants, are confronting fast-moving trends: social and copy investing, the creator economy, AI-assisted tools, evolving revenue models, and rising expectations around privacy and cybersecurity. My day-to-day work sits at that intersection. I translate rules into practical guardrails that protect investors, scale to firms of different sizes, and enable responsible innovation. I will bring that implementation-first mindset to the Committee's consultations and outreach.

Why vote for me. I will: (1) surface emerging risks early, grounded in live product and supervisory experience; (2) advocate for clear, technology-neutral guidance that is administrable by firms of every size; (3) share tested practices on supervision, marketing review, surveillance and testing, disclosures, and incident response; and (4) serve as an open, collaborative conduit between member firms and FINRA staff. I would be honored to represent the region and contribute an investor-first perspective to FINRA's mission of market integrity and investor protection.

## Optional Link:

LinkedIn Profile: **https://www.linkedin.com/in/justin-ramirez-01aaa588/**