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

Candidate Name: **James P Dowd, CFA**

Title: Chief Executive Officer

Firm: North Capital Private Securities Corporation

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

Jim Dowd is the CEO of North Capital Private Securities Corp and North Capital Agency Brokerage, LLC, based in Salt Lake City, Utah. He holds 8 FINRA registrations (see Brokercheck here: https://brokercheck.finra.org/individual/summary/2109413) and is a CFA charter holder and a CPA (inactive). Dowd has 40 years of experience in financial markets, including equities, fixed income, currencies and related derivative products. He began his career in New York before moving to London, Tokyo, Hong Kong and San Francisco to run trading and investment businesses for global financial institutions including Bankers Trust and Bear Stearns.

Personal Statement

I am a fierce advocate for clear and fair regulation to protect investors and the integrity of markets. I am a fierce opponent of regulatory overreach and condescending attitudes about he role of regulators vis a vis business. If elected I will be a tireless advocate for transparency and fair treatment of firms and individuals subject to FINRA oversight. I pledge to work tirelessly with FINRA staff and other committee members to promote and advocate for the reduction of bureaucracy and regulatory burdens, while continuing to safeguard investors and the integrity of markets. FINRA needs fewer rules not more.

Optional Link:

LinkedIn Profile: **https://www.linkedin.com/in/dowdjp/**