

## **Nathan P. Headrick**

Nathan is a co-founder and Managing Partner of Triloma. Triloma's broker dealer subsidiary serves as a managing dealer for numerous public and private funds, and operates an investment bank.

Nathan is the founder of the IPA Policy Advocacy Committee (IPAPAC), which acts as the alternative investment industry's primary lobbying voice, and he serves as an IPA Board Member. In 2012, Nathan was appointed to a term on the FINRA Corporate Finance Committee. He was also the co-founder of DDWizard.com, a due diligence software firm sold in late 2014 to a public financial services company.

Nathan is a recognized advocate and leader in the alternative investments industry. To date, Nathan has placed \$14.5 billion of public and private equity securities into the alternative investment marketplace, including syndication of public joint ventures with EIG, KKR, The Macquarie Group and CB Richard Ellis.

Nathan earned his Juris Doctor from Georgetown University Law Center, where he was elected student body president. He additionally holds a Masters of Theology from Harvard University and BAs from the University of North Carolina in political science and international studies.

In 2008, Nathan was inducted into the bar of the United States Supreme Court. The same year, he received the *Orlando Business Journal 40 Under 40 Award*, recognizing the forty most influential business persons in Central Florida under the age of forty.

"The voice of small firms isn't small. More than any other group of FINRA members, we understand job creation, and real client service, and the dramatic impact a regulator can have on our businesses. I'd be honored to represent them in District 7."

## Candidate Profile Form—District Committee Election

Candidate Name: Sandro L. Ramos CRCP

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Title: MD Global Compliance/AMLCO

Firm: 137919

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### Candidate Biography and Personal Statement

I have been in the securities industry for 25 years and have held multiple job titles (MD, CCO, AMLCO, Executive Officer) during my career. I have 8 regulatory licenses; was an active panel member of Finra's Dispute Resolution (Arbitrator) and a member of Finra's Institute at Wharton CRCP program since 2002. My focus has always been International Markets, with a strong emphasis on US Cross-border business, Offshore jurisdictions, FATCA, Compliance/ Risk Management and AML to name a few. I think the value added that I can bring to Finra's District Committee discussions is an engaging dialog and experience in the Global and Regulatory environment as more US firms continue to increase their business with foreign investors. Foreign investors continue to participate in US capital markets with great interest and appetite as their own in-country capital markets continue to fail them. Emphasis added!

I'm running as a district committee member and seek your vote in the spirit of offering a fresh and new discussion to our ever changing regulatory environment.

Thank you for your consideration.

Sandro L. Ramos CRCP

### Optional Links:

Link to personal website, resume or CV:

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Link to YouTube video:

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## Candidate Profile Form—District Committee Election

Candidate Name: Jim R Webb

Title: Chief Executive Officer

Firm: Cape Securities, Inc.

### Candidate Biography and Personal Statement

Jim Webb is a leader, problem solver and a passionate advocate for the small firms that make up so much of FINRA membership. He has previously served as a member of the District 7 small firm board and the Regulatory Advisory Committee (RAC). During this period he also served as a member of several enforcement hearings and has become a featured speaker at many FINRA regional meetings. His active involvement in regulatory matters has enabled him to form a strong relationship with FINRA leadership 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. He currently holds Series 4, 7, 8, 24, 28, 63, and 66 Securities Registrations and insurance licenses. He became the sole owner and CEO of Cape Securities, Inc. in 2007.

Over the past nine years he has grown Cape from a tiny firm with just two representatives primarily trading bonds into a small firm with just under 100 representatives serving customers nationwide, while creating a separate SEC registered investment advisory firm and an insurance agency.

Beginning with his acquisition of Cape Securities, Jim has personally experienced and overcome the many challenges faced by every small firm, and enjoys sharing his experience with others. 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 his viewpoint as a small firm leader.

Jim believes that where a firm has evidenced sincere intent to comply with the many regulations we are governed by, FINRA examinations should be oriented on improving the member firm rather than suggesting that every business misjudgment is a rule violation. Jim favors practical, common sense rules and appropriate small firm member rule exemptions where appropriate in order to enable small firms to compete and grow.

He also passionately believes that there needs to be a limit to 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. Arbitration claims that have been denied or enforcement findings that have been overturned need to be removed and disclosures over 10 years old should be archived.

Jim Webb asks that take a moment and vote to allow him to serve on the FINRA District 7 Committee so that he may advocate and support the unique interests of small firms.

### Optional Links:

Link to personal website, resume or CV:

Link to YouTube video: