

Nominate Jim R. Webb



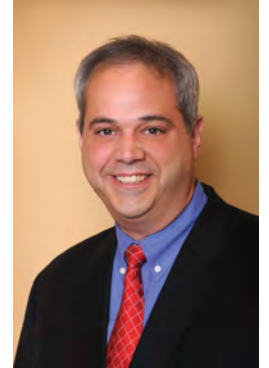
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McDonough, GA 30253
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jrwebb@capesecurities.com

FINRA Board of Governors, Small Firm

FORMAL EDUCATION

1990- Kenyon College, BA Degree
Securities Licenses 4, 7, 8, 24, 28, 63 & 66

**Executive Representatives
nominate before June 30, 2017**



QUALIFICATIONS

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 is currently serving as a member of the District 7 Committee and the Regulatory Advisory Committee (RAC) and has been a speaker at numerous FINRA regional and national conferences.

His active involvement in regulatory matters has enabled him to form a strong relationship with FINRA leadership and Small Firm executives. By his steady and enthusiastic commitment to improving our membership organization, he has become a respected voice in the financial services industry.

PROFESSIONAL HIGHLIGHTS

Jim, began his career 27 years ago as a financial planner and has continued to grow in the industry ever since. As a wholesaler, he worked with hundreds of firms and gained understanding of each of their varied business models and common concerns. He became the sole owner and CEO of Cape Securities, Inc. in 2007. 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.

PHILOSOPHY

Jim now seeks to bring his wealth of experience to the FINRA Board of Governors so that he may strongly advocate for the interests of small firms - a perspective that is needed now more than ever.

Jim favors practical, common sense rules and small firm member rule exemptions where appropriate in order to enable small firms to compete and grow. Jim believes that FINRA examinations should be oriented on improving the member firm rather than suggesting that every business misjudgment is a rule violation.

He 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. Disclosures over 10 years old should be archived.

Social media is an integral part of our society, clear concise guidance needs to be provided to small firms to eliminate the fear of its use.

As FINRA considers revisions to the arbitration process, the small firm voice must be heard to ensure a level playing field. Jim will be that voice. **Please take a minute to fill out and return the nomination form for Jim Webb.**