

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

Candidate Name: **Anushree Rajendra Jain**

Title: Senior Brokerage Manager

Firm: Titan Global Technologies LLC

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

With over seven years of experience in the FinTech and broker-dealer industries, I currently serve as the Senior Brokerage Operations Manager at Titan Global Technologies LLC. My career has been distinguished by a commitment to regulatory oversight, compliance, and operational leadership—areas that align closely with the mission of FINRA's Regional Committees.

At Titan, I spearheaded our transition from a Registered Investment Advisor (RIA) to an Introducing Broker-Dealer, which enabled us to expand our product offerings to include cash deposit sweep programs and exclusive venture capital funds like ARK Venture Funds. This strategic transformation has played a pivotal role in driving Titan's growth and enhancing our competitive edge in the market.

Earlier in my career, I had the opportunity to contribute to Robinhood's Initial Public Offering (IPO), which, though a junior role, offered invaluable insights into the regulatory complexities of fast-growing FinTech companies.

In my current role, I successfully navigated our inaugural FINRA audit, underscoring my dedication to maintaining the highest standards of operational integrity. My responsibilities include ensuring audit readiness and adherence to SEC and FINRA rules, as well as approving marketing materials for ARK Venture Funds to ensure full compliance.

I hold several FINRA licenses: Series 79 (Investment Banking Representative), Series 24 (General Securities Principal), Series 27 (Financial and Operations Principal), Series 7 (General Securities Representative), Series 63 (Uniform Securities Agent), Series 99 (Operations Professional), and the SIE (Securities Industry Essentials). These credentials demonstrate my comprehensive knowledge of broker-dealer operations and regulatory compliance, making me well-suited to contribute to the Regional Committee's efforts.

I am deeply committed to fostering a regulatory environment that balances investor protection with operational efficiency. My experience equips me with a nuanced understanding of the challenges faced by small firms, and I am eager to advocate for practical, transparent solutions that benefit the broader industry. As a NY Regional Committee member, I will leverage my expertise to ensure that the perspectives of small firms are well-represented in FINRA's policy discussions.

In summary, my experience in compliance, regulatory audits, and operational leadership, coupled with my commitment to FINRA's mission, positions me to make meaningful contributions to the Regional Committee. I look forward to the opportunity to serve, advancing regulatory initiatives that promote fairness and transparency in the industry.

### Optional Links:

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

Link to YouTube video: