

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

Candidate Name: **Jonathan Reyes**

Title: Chief Compliance Officer

Firm: StartEngine Primary LLC

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

As Chief Compliance Officer of StartEngine, one of the largest platforms for Regulation Crowdfunding and private offerings, I oversee the compliance and regulatory functions for a growing portfolio of issuers and investors. StartEngine is at the forefront of democratizing private market investments, enabling retail investors to access early-stage companies while adhering to SEC regulations.

I am applying to serve on the FINRA Small Firm Advisory Committee because I believe in the importance of representing underrepresented sectors, particularly crowdfunding platforms and their issuers. These companies face unique challenges in regulatory compliance that are often overlooked in traditional financial institutions. My goal, if appointed to the committee, is to ensure that the voices of these companies are heard, and that FINRA's regulatory framework reflects the needs and realities of small, innovative firms that play a crucial role in expanding access to capital. I aspire to advocate for practical and balanced policies that support innovation and growth while maintaining market integrity and investor protection.

In my role, I lead a team responsible for ensuring all securities offerings comply with regulations, from issuer due diligence to post-offering obligations. We strive to create transparency for investors while ensuring companies meet their legal obligations. Under my leadership, StartEngine has navigated evolving regulatory frameworks, including building a carrying clearing broker-dealer and operating an Alternative Trading System (ATS) for secondary market transactions.

Before joining StartEngine, I held key compliance positions at other financial services firms and launched my own startup. This entrepreneurial experience gave me firsthand insight into the challenges of raising capital while balancing regulatory requirements. Combined with my professional background in both retail and institutional markets, I gained a comprehensive understanding of the unique hurdles small firms face. This dual perspective allows me to advocate for practical, balanced solutions that enable small companies to raise capital and grow.

I am passionate about supporting small firms, which play a critical role in driving innovation and competition in financial services. These firms often face regulatory challenges that larger institutions handle more easily. As a member of the FINRA Small Firm Advisory Committee, I would advocate for policies that strike the right balance between protecting investors and fostering small-firm growth. My aim is to ensure regulatory requirements are practical, minimizing unnecessary burdens.

I believe in open communication between small firms, crowdfunding platforms, and FINRA. Small firms need a strong voice in the regulatory process, and I am committed to ensuring their feedback leads to actionable guidance. Having worked on the front lines of compliance, I understand the impact of regulations on daily operations and can offer pragmatic solutions that help firms meet their obligations without stifling innovation.

In conclusion, I am eager to contribute to FINRA's efforts to support small firms and crowdfunding platforms. With my experience in compliance leadership, my work in a rapidly evolving industry, and my dedication to representing underrepresented sectors, I believe I can offer valuable insights and advocate effectively for their needs.

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/jonathan-alexander-reyes/>

Link to YouTube video: