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

Candidate Name: **Joseph W. Lodato**

Title: Chief Compliance Officer Firm: Octaura Securitites

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

Joseph Lodato is seeking election to FINRA's District 10 Regional Committee. He is an experienced executive, having worked more than three decades in the financial services industry. He currently serves as a Chief Compliance Officer overseeing compliance, risk management and controls for a FINRA member broker-dealer. Throughout his career, Joseph has held senior roles in branch administration, compliance and operations across broker-dealers, trading platforms and investment banking firms, where he developed and implemented supervisory frameworks designed to meet evolving SEC and FINRA requirements. His work has spanned businesses including equities, fixed income and alternative products in Retail, Clearing, Prime brokerage and Institutional business lines.

Joseph is a strong advocate for balancing investor protection with practical compliance solutions that support firms' ability to compete and innovate. His experience working with regulators, coupled with his hands-on supervisory leadership, has given him a clear perspective on the challenges and opportunities facing the industry, especially in the quickly evolving technological environment.
Beyond executive roles, he contributes to the industry in education as a Law School Adjunct Professor in a Compliance and Ethics Master's Program, in addition to serving as a FINRA Arbitrator since 1994, reinforcing a long-standing commitment to investor protection and regulatory fairness.

Joseph holds a Bachelor of Business Administration in Finance from Pace University's Lubin School of Business and maintains FINRA Series 7, 63, 8, and 24 licenses.

With a career defined by integrity, innovation and stewardship, he offers the Committee deep experience in the industry and various firm environments, a practical understanding of regulatory frameworks and a proven ability to strengthen compliance infrastructures while enabling business growth. He understands the friction points like: the cost of adopting new systems to address regulatory changes, the need for rules to support innovation and the imperative to see regulatory proposals through the lens of what is feasible in a lean environment.

In summary, he believes the regional Committees are an important component to FINRA's mission and will work diligently to represent the industry and ensure that FINRA's regulatory framework continues to receive the input it seeks and needs to be fair, responsive and forward-looking.

Optional Link:

LinkedIn Profile: **https://www.linkedin.com/in/josephlodato?lipi=urn%3Ali%3Apage%3Ad_flagship3_profi**