BrokerCheck Report

JASON ASBURY RIVES

CRD# 5157829

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When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.

Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org

For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

JASON A. RIVES

CRD# 5157829

Currently employed by and registered with the following Firm(s):

B **FIGURE SECURITIES, INC.**
650 CALIFORNIA STREET
SUITE 200
SAN FRANCISCO, CA 94108
CRD# 307093
Registered with this firm since: 02/21/2023

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 7 U.S. states and territories

This broker has passed:

- 4 Principal/Supervisory Exams
- 4 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

B **AXOS CLEARING LLC**
CRD# 117176
CENTENNIAL, CO
08/2020 - 02/2023

B **AXOS INVEST LLC**
CRD# 172393
Las Vegas, NV
06/2019 - 02/2023

IA **AXOS INVEST, INC**
CRD# 150953
LAS VEGAS, NV
06/2019 - 02/2023

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 7 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name:	**FIGURE SECURITIES, INC.**
Main Office Address:	**650 CALIFORNIA STREET** **SUITE 200** **SAN FRANCISCO, CA 94108**
Firm CRD#:	**307093**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	02/21/2023
B	FINRA	General Securities Principal	Approved	02/21/2023
B	FINRA	General Securities Representative	Approved	02/21/2023
B	FINRA	Municipal Securities Principal	Approved	02/21/2023
B	FINRA	Municipal Securities Representative	Approved	02/21/2023
B	FINRA	Operations Professional	Approved	02/21/2023
B	FINRA	Registered Options Principal	Approved	02/21/2023

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	02/21/2023
B	Indiana	Agent	Approved	02/21/2023
B	Nevada	Agent	Approved	08/01/2023
B	New Jersey	Agent	Approved	02/21/2023
B	South Carolina	Agent	Approved	02/21/2023
B	South Dakota	Agent	Approved	01/09/2024

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Virginia	Agent	Approved	02/21/2023

Branch Office Locations

FIGURE SECURITIES, INC.
650 CALIFORNIA STREET
SUITE 200
SAN FRANCISCO, CA 94108

Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 4 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	Compliance Officer Examination	Series 14	01/02/2023
B	Municipal Securities Principal Examination	Series 53	06/29/2015
B	Registered Options Principal Examination	Series 4	05/19/2012
B	General Securities Principal Examination	Series 24	09/04/2007

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination	Series 52TO	01/02/2023
B	Operations Professional Examination	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	07/23/2007

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	09/24/2010

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	08/2020 - 02/2023	AXOS CLEARING LLC	117176	CENTENNIAL, CO
B	06/2019 - 02/2023	AXOS INVEST LLC	172393	Las Vegas, NV
IA	06/2019 - 02/2023	AXOS INVEST, INC	150953	LAS VEGAS, NV
IA	02/2015 - 05/2019	HORACE MANN INVESTORS, INC.	11643	SPRINGFIELD, IL
B	01/2015 - 05/2019	HORACE MANN INVESTORS, INC.	11643	SPRINGFIELD, IL
IA	01/2011 - 01/2015	FMSI ADVISERS	21786	BLOOMINGTON, IL
B	04/2010 - 01/2015	FIRST MIDWEST SECURITIES, INC.	21786	BLOOMINGTON, IL
B	07/2007 - 10/2008	SECURITIES SERVICE NETWORK, INC.	13318	KNOXVILLE, TN

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
03/2024 - Present	Figure Markets Holdings, Inc.	CHIEF COMPLIANCE OFFICER	N	San Francisco, CA, United States
11/2023 - Present	FIGURE INVESTMENT ADVISORS, LLC	CHIEF COMPLIANCE OFFICER	Y	SAN FRANCISCO, CA, United States
07/2023 - Present	Figure Securities, Inc.	Managing Director / Chief Compliance Officer	Y	San Francisco, CA, United States
03/2023 - Present	FIGURE EQUITY SOLUTIONS, INC.	CHIEF COMPLIANCE OFFICER	N	SAN FRANCISCO, CA, United States
11/2023 - 04/2024	FIGURE FINANCIAL, INC.	CHIEF EXECUTIVE OFFICER AND CHIEF COMPLIANCE OFFICER	Y	SAN FRANCISCO, CA, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
		OFFICER		
02/2023 - 03/2024	Figure Technologies, Inc.	CHIEF COMPLIANCE OFFICER - Marketplace	N	San Francisco, CA, United States
02/2023 - 07/2023	Figure Securities, Inc.	CHIEF COMPLIANCE OFFICER	Y	San Francisco, CA, United States
08/2020 - 02/2023	AXOS CLEARING LLC	SVP COMPLIANCE	Y	OMAHA, NE, United States
05/2019 - 02/2023	AXOS INVEST INC	CHIEF COMPLIANCE OFFICER	Y	LAS VEGAS, NV, United States
05/2019 - 02/2023	AXOS INVEST LLC	CHIEF COMPLIANCE OFFICER	Y	LAS VEGAS, NV, United States
12/2021 - 04/2022	Axos Clearing LLC	Interim Chief Compliance Officer	Y	Omaha, NE, United States
02/2019 - 04/2019	HORACE MANN COMPANIES	AVP, INVESTMENT ADVISORY OPERATIONS & COMPLIANCE	Y	SPRINGFIELD, IL, United States
01/2015 - 04/2019	HORACE MANN INVESTORS, INC.	REGISTERED REPRESENTATIVE	Y	SPRINGFIELD, IL, United States
01/2015 - 02/2019	HORACE MANN COMPANIES	DIRECTOR	Y	SPRINGFIELD, IL, United States
01/2014 - 06/2016	LEROY REPLEX RECREATIONAL CENTER	SUBSTITUTE OFFICIAL	N	LEROY, IL, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

ALL EMPLOYEES OF FIGURE SECURITIES, INC. ("FSI") ARE EMPLOYED BY FSI'S ULTIMATE PARENT COMPANY, FIGURE MARKETS HOLDINGS, INC. ("FMHI"). EMPLOYEE WORKS FOR FSI MAY PERFORM LIMITED FUNCTIONS FOR FMHI OR FOR ITS SUBSIDIARIES. SUCH EMPLOYMENT AND DUTIES ARE SEPARATE AND DISTINCT FROM DUTIES PERFORMED FOR FSI AND DO NOT INTERFERE WITH THEIR RESPONSIBILITIES AT FSI AND DO NOT RISE TO ANY CONFLICTS OF INTEREST.   START DATE: 02/13/2023.

NORTH AMERICAN SECURITIES ADIMINISTRATORS ASSOCIATION, 750 FIRST STREET NE, SUITE 1140, WASHINGTON, DC 20002, NATURE: WRITING QUESTIONS FOR SECURITIES EXAMINATIONS, POSITION: SUBJECT MATTER EXPERT, START DATE: 06/2022,

Registration and Employment History

Other Business Activities, continued

APPROXIMATELY 24 HOURS PER QUARTER WHICH WILL BE DURING SECURITIES TRADING HOURS.

End of Report

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