

# Finamex Asset Management, LLC

## Client Brochure – Part 2B

*This Brochure provides information about the qualifications and business practices of Finamex Asset Management, LLC. If you have any questions about the contents of this Brochure, please contact us at [001-5255-5209-2104]. The information in this Brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities' authority.*

*Finamex Asset Management, LLC is a registered investment adviser. Registration of an investment adviser does not imply any level of skill or training. The oral and written communications of an Adviser provide you with information about which you determine to hire or retain an Adviser.*

*Additional information about Finamex Asset Management, LLC is also available on the SEC's Web site at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

**2700 Post Oak Blvd., 21<sup>st</sup> floor, Suite 21-113  
Houston, Texas 77056  
281-863-6111**

**October 8, 2019**

**Jorge Martin Ramos Landero**  
**President and Chief Compliance Officer**  
**Finamex Asset Management, LLC**

## ITEM 2- EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Jorge Ramos Landero was born in 1962. He holds a Bachelor of Arts Degree in Business Administration from the Universidad La Salle in Mexico City where he was awarded “*First Place as Best Graduate*” of the BA University course. Later he obtained a full scholarship and earned a Master of Arts Degree in International Business and International Financial Management from the University of Reading, Royal County of Berkshire, England. Jorge Ramos’ business experience is as follows:

Firm Name: **Finamex International, LLC**  
Job Title: President/CCO  
Employment Dates: March 2019 to Present

Firm Name: **Casa de Bolsa Finamex S.A.B. de C.V.**  
Job Title: SubDirector Broker-Dealer  
Employment Dates: June 2017 to Present

Firm Name: **Finamex Asset Management, LLC**  
Job Title: CCO/CEO/COO  
Employment Dates: March 2019 to Present

Firm Name: **Intercam Casa de Bolsa**  
Job Title: Director  
Employment Dates: January 2017 to February 2019

Firm Name: **Unemployed**  
Job Title: Unemployed  
Employment Dates: January 2015 to December 2016

Firm Name: **Monex Asset Management, Inc.**  
Job Title: President/CCO  
Employment Dates: August 2008 to January 2015

Firm Name: **Monex Securities**  
Job Title: President/CCO  
Employment Dates: October 2003 to January 2015

Firm Name: **Monex Casa de Bolsa, S.A. de C.V. de Monex Grupo Financiero**  
Job Title: Director  
Employment Dates: October 2003 to January 2015

### **ITEM 3 - DISCIPLINARY INFORMATION**

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

Mr. Ramos' record with FINRA reflects a single disciplinary disclosure which was initiated in 2014, while he was with Monex Securities, and it stemmed from a 2011 examination. Mr. Ramos entered into an offer of settlement with FINRA which resulted in him being fined \$15,000 and he was suspended for 45 days from acting in a principal capacity, only. Mr. Ramos served his suspension from 1/20/15 through 03/5/2015 without incident, and his fine was paid in full. The action (FINRA Case # 2011025617702) was not related to sales practices or character related matters by himself or by anyone under his supervision; rather the disciplinary action concerned Monex Securities' payments of transaction-related compensation to persons associated with Monex Securities' parent company (which is a registered Mexican broker/dealer). The recipients of the compensation were not registered with FINRA and it was found that they were not eligible for the foreign finder exemption as their involvement with Monex Securities' customers went beyond an initial introduction. FINRA cited Monex Securities for failing to maintain an adequate supervisory system. Since Mr. Ramos was the President and CCO, he was ultimately held responsible for supervision and the activities of Monex Securities, thus he was named as a respondent.

### **ITEM 4- OTHER BUSINESS ACTIVITIES**

Jorge Ramos currently has no other investment-related activities.

### **ITEM 5 - ADDITIONAL COMPENSATION**

Jorge Ramos does not receive any additional compensation related to the provision of investment advisory services.

## **ITEM 6 - SUPERVISION**

Jorge Ramos is the President and Chief Compliance Officer for Finamex Asset Management, LLC therefore he is responsible for his own supervision and that of all other investment adviser representatives of Finamex Asset Management, Inc.

## **ITEM 7 – REQUIREMENTS FOR STATE-REGISTERED INVESTMENT ADVISORS**

Mr. Ramos has not been the subject of any arbitration awards, and has not been found liable in a civil, self-regulatory organization, or administrative forum. In addition, Mr. Ramos has not been the subject of a bankruptcy petition.