

EDUCATION

- University of South Carolina, Honors College, BA, International Studies
- The Johns Hopkins University, MA, Applied Economics

AREAS OF EXPERTISE

- Expertise Regulatory compliance
- Examination and Enforcement Response
- Risk Management
- Control Testing and Validation
- Data Analytics
- Trade Surveillance
- Product Listing
- Regulatory Reporting

Jason Fairbanks

Consultant

Jason Fairbanks is a derivatives regulatory advisor and market conduct consultant with more than 12 years' experience across the public and private sectors. Jason specializes in regulatory advisory related to trading and markets, helping futures brokers, swap dealers, exchanges, and principal trading firms in both traditional and decentralized finance meet complex regulatory requirements. Having built surveillance and data capabilities for both the CFTC and the SEC, Jason brings clients a regulator's-eye view of how compliance is tested, measured, and enforced.

Jason pairs rigorous quantitative analysis with qualitative evaluation of compliance across swaps regulatory reporting, product listing requirements, and market conduct controls. In the private sector, he has served in independent consultant arrangements remediating regulatory findings, supported litigation related to new product listings, tested regulatory controls through mock examinations, and conducted internal investigations into potential market conduct violations under U.S., U.K., and European regulations.

In the public sector, Jason has worked with the Commodity Futures Trading Commission (CFTC), the Securities and Exchange Commission (SEC), and the Department of Justice (DOJ) on program design, technical capability development, monitorship oversight, and investigations. He helped lead a contractor team designing how the SEC's Division of Examinations uses mandated security-based swap reporting. In that role, he provided technical guidance on data architecture and quality governance, designed and oversaw implementation of core analytic tools and controls, interfaced with industry on technical swaps reporting issues, and evaluated swaps market developments for other SEC divisions.

Earlier in his career, as a member of the Division of Enforcement's Forensic Economics program, under the Office of the Chief Counsel at the CFTC, Jason served as an in-house analytical expert, advising legal teams and investigating market conduct matters that resulted in more than $750 million in fines. His methods and software expanded the scope, accuracy, and precision of the CFTC's investigative and trade surveillance capabilities, particularly for multi-year data sets, complex schemes, novel

products, and cross-market conduct. He also represented the Division on working groups developing new technology solutions and revising swaps regulatory reporting standards. He first joined the CFTC as a contractor providing analysis and data science solutions across the agency.

Jason is a Certified Fraud Examiner (CFE) and previously held the Certified Anti-Money Laundering Specialist (CAMS) designation. He holds a certificate in forecasting practice from The Johns Hopkins University and completed a year of study at the American University in Cairo.