

Expert Witness Services in Securities Litigation

Bedford and Main Financial Consulting's Expert Witness Services

Areas of Expertise:

- ◆ **Retail and Institutional Broker Dealers**
- ◆ **Discount Web Brokers**
- ◆ **Clearing Firms**
- ◆ **Supervision**
- ◆ **Suitability**
- ◆ **Foreign Accounts**
- ◆ **Written Supervisory Procedures**
- ◆ **FINRA Compliance**
- ◆ **Securities Processing Systems**
- ◆ **Secondary Clearing Agreements**
- ◆ **Certified Anti-Money Laundering Specialist**
- ◆ **Conversion Specialist**

Contact Us:

(609) 707-1071

inquiries@bedfordandmain.com

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John T. Foster



John calls upon the hands-on, relevant experience he gained throughout his 35 year career in various senior management roles in the securities industry. He continues to actively engage in the field as a specialized consultant for financial services firms, in his role as President and CEO at Bedford and Main Financial Consulting. John draws on the knowledge garnered from these roles to offer subject matter expert advice and testimony for securities litigation.

John has a unique background in both wealth management operations and broker dealer management. His experience covers the introducing broker and the clearing broker sides of the industry. He worked for many years in a senior management role for a large, multi-national clearing firm.

John also served as the President and CEO of an Independent Broker Dealer and RIA firm, where he was responsible for ensuring compliance and regulatory requirements were properly implemented to support a retail-based business. As such, he is very familiar with the issues related to suitability, supervisory structures, written supervisory procedures (WSPs), due diligence, and complex products.

- ◆ **Passed the Series 3, 7, 24, 27 and 63**
- ◆ **FINRA Arbitrator**
- ◆ **Member of the Securities Experts Roundtable**
- ◆ **Member of the Thomson Reuters Expert Witness Service**
- ◆ **Certified Anti-Money Laundering Specialist (CAMS)**