

# Expert Witness and Securities Litigation Services

## Bedford and Main Financial Consulting's Expert Witness Services

### Areas of Expertise:

- ◆ **Retail and Institutional Broker Dealers**
- ◆ **Clearing Firms**
- ◆ **Anti-Money Laundering Specialist (FINRA 3310)**
- ◆ **FINRA Compliance**
- ◆ **Supervision**
- ◆ **Suitability**
- ◆ **Churning**
- ◆ **Senior Issues**
- ◆ **Financial Advisor Heightened Supervision**
- ◆ **Foreign Accounts**
- ◆ **Written Supervisory Procedures**
- ◆ **SEC Direct Market Access (15c3-5)**
- ◆ **Discount Web Brokers**
- ◆ **Broker-Dealer Operations**

### Contact Us:

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## John T. Foster



John calls upon his 35+ year career in the securities industry to offer written reports and testimony in his Expert Witness and Securities Litigation Services.

During his career, John served as the President/CEO of an independent broker-dealer and RIA, where he was responsible for ensuring compliance and regulatory requirements were properly implemented to support a retail-based business. As such, he is exceptionally familiar with issues related to suitability, supervisory structures, written supervisory procedures (WSPs), due diligence, and financial advisors.

John also worked for many years in a senior management role for a large, multi-national clearing firm. He now specializes in clearing services and industry infrastructure litigation. He is also very knowledgeable on issues related to foreign accounts and in recent years has focused heavily on Anti-Money Laundering (AML) issues.

In his current role as President and CEO at Bedford and Main, John continues to be actively engaged in the field as a specialized consultant for financial services firms. This allows him to maintain a fresh and relevant perspective on industry issues that emerge in FINRA arbitrations and civil litigations.

- ◆ **Passed the Series 3, 7, 24, 27 and 63**
- ◆ **Certified FINRA Arbitrator**
- ◆ **Member of the Securities Experts Roundtable**
- ◆ **Certified Anti-Money Laundering Specialist (ACAMS)**
- ◆ **Bedford and Main Financial Consulting, Inc. is listed in the FINRA Compliance Vendor Directory.**