



Welcome to the Corner of Bedford and Main



Meet John Foster, our CEO and key consultant.

John has passed the Series 3, 7, 24, 27 and 63.

He is a certified FINRA Dispute Resolution Arbitrator and a certified Anti-Money Laundering Specialist (ACAMS).

John regularly provides litigation support as an industry expert in areas including SEC and FINRA regulations and compliance, securities industry back office and operations and Anti-Money Laundering.

To find out more and view our testimonials, visit us at: **BedfordandMain.com**

609-707-1071



Bedford and Main Financial Consulting focuses on Broker-Dealers and RIAs.

We call upon our 35+ years of “C-level” senior management experience, with deep concentrations on operations and compliance, to supplement your internal resources and position your staff to succeed.

Bedford and Main Financial Consulting, Inc. is listed in the FINRA Compliance Vendor Directory.

We specialize in the following services, but we will gladly discuss your unique requirements:

- ◆ **Conversion Specialist** – Coordinating a conversion to a new clearing broker; converting to a securities processing system; combining affiliated entities
- ◆ **Compliance Support** - WSP Reviews/ RIA ADV Amendments— FINRA exams— CEO Certifications— AWC Support
- ◆ **Strategic Project Management Support**
- ◆ **Anti-Money Laundering** - Annual FINRA 3310 Testing; AML compliance infrastructure review; AML WSP reviews
- ◆ **Broker/Dealer Start-Ups** – FINRA New Member Application (NMA) process; Selection of clearing firms, personnel and support systems
- ◆ **Self-Clearing Analysis**
- ◆ **Mergers & Acquisitions** – Buying or selling shell broker-dealers and small firms
- ◆ **Securities Litigation & Expert Witness Services**