



# 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 primarily services Broker-Dealers and RIAs, with a focus on Operations and Compliance issues. We call upon our 40+ years of “C-level” senior management experience 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:

- ◆ **Anti-Money Laundering** - Annual FINRA 3310 independent testing; AML compliance infrastructure review; AML Written Supervisor Procedures (WSP) review and recommendations
- ◆ **Compliance Support** - Resolutions of FINRA Acceptance, Waiver and Consent (AWC) actions; FINRA exams; WSP reviews; RIA ADV amendments; Customized projects
- ◆ **Conversion Specialist** – Coordinating a conversion to a new clearing broker; Converting to a securities processing system; Combining affiliated entities
- ◆ **Broker/Dealer Start-Ups** – FINRA New Member Application (NMA) process; Selection of clearing firms, personnel and support systems
- ◆ **Self-Clearing Analysis**
- ◆ **Strategic Project Management Support**
- ◆ **Securities Litigation & Expert Witness Services**— Experienced in FINRA arbitrations and Civil cases, serving both sides of the legal table
- ◆ **Mergers & Acquisitions** – Buying or selling shell broker-dealers and small firms

