



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, focusing 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.

Since 2019, Bedford and Main has been 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; 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

