



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 was formed in 2012 after a long career in the financial services industry. We primarily service 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 you to succeed.

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
- ◆ **Strategic Project Management Support**
- ◆ **Securities Litigation & Expert Witness Services**—Experienced in FINRA arbitrations and Civil cases

