

# Securities Expert Witness and Litigation Support 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
- ◆ Broker-Dealer Operations and Trade Settlement
- ◆ Foreign Accounts
- ◆ Suitability / Churning
- ◆ Financial Advisor Heightened Supervision
- ◆ Discount Web Brokers
- ◆ Introducing Broker Responsibilities
- ◆ SEC Direct Market Access (15c3-5)

### Contact Us:

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## John T. Foster

John calls upon his 40+ year career in the securities industry to offer written reports and testimony in his Securities Expert Witness and Litigation Services.



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.

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

John 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. During his career, John also served as the President/CEO of an independent retail-based broker-dealer, where he was responsible for ensuring that compliance and regulatory requirements were properly implemented. In recent years, John has focused heavily on Anti-Money Laundering (AML) issues.

- ◆ Passed the Series 3, 7, 24, 27 and 63
- ◆ Certified FINRA Arbitrator
- ◆ Member of the Securities Experts Roundtable
- ◆ Certified Anti-Money Laundering Specialist (ACAMS)