

# Independent Assessment: CEO Annual Certification of Compliance and Supervisory Processes

## Bedford and Main's CEO Compliance Services:

- ◆ **35 Year Industry Expert: Previous CEO in a Broker Dealer; CAMS Certified Anti-Money Laundering Specialist**
- ◆ **Ideal for CEOs newly appointed to the firm**
- ◆ **Individual Meetings with CCOs**
- ◆ **Independent assessment of your firm's processes and procedures, FINRA reviews and other regulatory issues**
- ◆ **Review the issue of Sub-Certifications**
- ◆ **Bundled Packages Available**

To find out more information or for a free estimate of services for your firm, contact us at:

(609) 707-1071

[inquires@bedfordandmain.com](mailto:inquires@bedfordandmain.com)

[www.BedfordandMain.com](http://www.BedfordandMain.com)

Bedford and Main Financial Consulting offers an experienced, third party review of your Broker Dealer's compliance structure. This report will provide informed feedback and insights that support your CEO's annual Certification of Compliance and Supervisory Processes.

Calling upon 35 years of senior-level management roles, we will assess and evaluate your firm's compliance procedures and provide an objective relevant review of your FINRA 3130 requirements.

Uniquely qualified to appreciate the importance and sensitivity of this requirement, our President has previously held the CEO position within a regulated Broker Dealer and personally executed the certification for years.

To provide the greatest service, Bedford and Main also offers the CEO Certification as a bundled package, along with the yearly AML Independent Compliance Testing.



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FINANCIAL CONSULTING

*Bedford and Main Financial Consulting, Inc. — CEO Certification Services*