

Anti-Money Laundering Services

Bedford and Main's dedicated AML business is proud to have serviced dozens of Broker-Dealer clients of all shapes and sizes.



Broker Dealer Annual AML Independent Test As required by FINRA Rule 3310 and the Bank Secrecy Act

- Since we began offering this service in 2016, providing the annual AML tests and reports has become the foundation of our AML practice.
- We provide a comprehensive and thorough analysis of your AML program.
- Exams are performed by an ACAMS certified AML Specialist.
- We use a four-part, client centric, risk-based approach.
- Our reviews meet all FinCEN and FINRA requirements.

We have expanded our Anti-Money Laundering service to include:

Refresh AML Written Supervisory Procedures - We will review and make recommendations to tailor your WSPs to meet regulatory standards. FINRA provides an extensive WSP template covering twenty topics, which we use as the foundation to customize your WSPs based on your business model.

Independent Consulting Support as Required by a FINRA Acceptance, Waiver and Consent (AWC) - Adhering to the specific FINRA stipulations of a case, we will fulfill the AWC requirements for any Anti-Money Laundering issues.

Expert Witness and Litigation Support - We offer expert support for both civil cases and FINRA arbitrations on AML related issues.



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