

BROKER-DEALER CONSULTING SERVICES

The logo consists of the letters 'V&V' in a bold, red, sans-serif font. The ampersand is stylized and connects the two 'V's. The logo is positioned within a red dashed-line rounded rectangle.

V&V

CONSULTING GROUP



CONSULTING GROUP

OFFERS CLIENTS THE DEPTH AND EXPERIENCE THAT MAY BE EXPECTED OF LARGE CONSULTING COMPANIES WITH PERSONAL ATTENTION, TAILORED SERVICES AND COMPETITIVE RATES. HAVING REVIEWED, OR SUPERVISED REGULATORY AUDITS OF THE COMPLIANCE PROGRAMS FOR HUNDREDS OF DIFFERENT TYPES OF FIRMS IN THE SECURITIES INDUSTRY, WE BRING VALUABLE INSIGHT THAT ALLOWS US TO PROVIDE BEST PRACTICE RECOMMENDATIONS FOR YOUR BUSINESS. OUR VAST INDUSTRY AND REGULATORY EXPERIENCE ALLOWS US TO QUICKLY IDENTIFY AREAS OF REGULATORY EXPOSURE AND PROVIDE WORKABLE, BUSINESS FRIENDLY, RISK MITIGATION SOLUTIONS, AIMED AT PROTECTING YOUR FIRM AND MANAGEMENT TEAM FROM REGULATORY AND LEGAL CHALLENGES. THOROUGH STRATEGIC ALLIANCES, WE ARE ABLE TO STAFF YOUR PROJECT WITH CONSULTANTS WITH THE EXPERIENCE AND EXPERTISE SPECIFIC TO YOUR PROJECT'S REQUIREMENTS.

V&V CONSULTING GROUP, LLC, is a boutique-consulting firm in South Florida offering market and regulatory consulting to domestic and foreign banks, broker-dealers and investment advisors. We also offer expert witness and litigation support in banking, insurance and securities industry cases and FINRA arbitrations.

OUR **SERVICES** INCLUDE:

- Broker-Dealer Registration, Rule 1017 Filings
- Independent Testing and Gap Analysis
- Mock Regulatory Audits
- Branch Office Exams
- Operational Risk Assessment
- Conflicts Management
- Development & Enhancements of Policies and Procedures
- Review of Marketing Materials, Website, emails
- Registered and Private Offering compliance and Due Diligence – Regulation D, Regulation S
- Doing Business Offshore and Cross Border Transactions
- Outsourced Compliance Functions, Outsourced Chief Compliance Officer
- Assistance During Regulatory Exams
- Internal Investigations Involving Sensitive Matters
- Compliance, Best Practices for Dual Registrants
- Customized Training - Sales Practices, Anti-Money Laundering, Foreign Corrupt Practice Act.

OUR SERVICES ARE OFFERED UNDER AN HOURLY, PER PROJECT OR RETAINER ARRANGEMENT.

PLEASE CONTACT US FOR A WRITTEN PROPOSAL SETTING FORTH THE SCOPE OF WORK AND FEES.

ABOUT US



Vivian Velazquez is the founder of V&V Consulting Group, LLC. She has over 25 years of securities industry experience in the private and regulatory sectors. She provides registration, audit and outsourced chief compliance officer services to U.S. and foreign S.E.C. registered advisors. She previously held senior compliance positions at global and national financial institutions with billions in assets under management and offices throughout the U.S and Latin America. Vivian played a leading role in the successful launch of the broker-dealer subsidiary for a global European bank, supported major conversions, mergers, business restructurings, Anti-Money-Laundering (AML) regulatory look backs and remediation mandates for leading US financial institutions.

She is a former Branch Chief at the SEC's South East Regional Office. In this capacity, she managed the examination program for broker-dealers and transfer agents in the State of Florida, Puerto Rico, Bermuda and the Caribbean. She conducted and supervised examinations of dually registered broker-dealers/investment advisers and hedge funds and had oversight for the NASD (now FINRA), Atlanta office and NYSE exams in the region. While at the SEC, Vivian worked with law enforcement in AML investigations and the SEC's Office of Compliance Inspections and Examinations (OCIE) in Washington DC in a number of national initiatives including the launch and field testing the SEC's AML examination program. She also provided training to foreign regulators as well as SEC and state securities examiners in AML, broker-dealer books and records, accounting, and sales practices. Earlier in her career, she was a Senior Examiner/Field Supervisor for the NASD's New York and Denver offices.

Vivian previously worked for a large insurance company in New York and had responsibility for maintaining regulatory compliance for the affiliated subsidiaries including the broker-dealer, investment adviser, proprietary mutual funds, and variable insurance accounts. She managed the department responsible for the preparation and filing of annual and periodic reports for the proprietary mutual funds and separate accounts in accordance with Investment Company Act and prospectus limitations. She began her career as a registered representative for national wire house broker-dealers.

Vivian is a Wharton School of Business Certified Regulatory and Compliance Professional (CRCP). She is a member of the Association of Certified Anti-Money Laundering Specialists (ACAMS), National Society of Compliance Professionals (NSCP), the Securities Industry and Financial Markets Association's Compliance and Legal Society (SIFMA C&L) and the Securities Expert Roundtable (SER). Vivian holds a B.B.A in International Finance and Marketing from the University of Miami in Coral Gables, Florida. Vivian is Series 24, 7 and 63 licensed. She is fluent in Spanish.

V&V

CONSULTING GROUP

975 Arthur Godfrey Road, Suite 303 Miami Beach, FL 33140
T 786 456 5252 ■ info@vandvconsultinggroup.com
www.vandvconsultinggroup.com