

# EXPERT WITNESS & LITIGATION SUPPORT SERVICES

The logo for V&V Consulting Group, featuring the letters 'V&V' in a bold, red, sans-serif font. The ampersand is stylized and integrated between the two 'V's. The logo is positioned within a red dashed-line rounded rectangle.

CONSULTING GROUP

# EXPERT WITNESS & LITIGATION SUPPORT SERVICES

## V&V

CONSULTING GROUP

IS A BOUTIQUE-CONSULTING FIRM IN SOUTH FLORIDA OFFERING EXPERT WITNESS AND LITIGATION SUPPORT IN SECURITIES INDUSTRY CASES INVOLVING SEC, FINRA, BANK SECRECY ACT AND PATRIOT ACT RULES & REGULATIONS. WE ALSO OFFER MARKET AND REGULATORY CONSULTING TO BANKS, BROKER-DEALERS, INVESTMENT ADVISORS AND HEDGE FUNDS. WE PROVIDE OBJECTIVE ANALYSIS AND ARE ABLE TO EFFECTIVELY COMMUNICATE FINDINGS AND CONCLUSIONS TO ARBITRATION PANELS, JUDGES AND JURIES

## AREAS OF LITIGATION **EXPERTISE** INCLUDE:

- Banks, Broker-Dealers, Insurance Companies
- Investment Advisors, Hedge Funds
- Unsuitable Investments, Failure to Supervise
- Breach of Fiduciary Duty
- Misrepresentations and Omissions
- Securities Fraud, Churning, Reverse Churning
- Ponzi Schemes, Misappropriation
- Trading Issues, Failure to Execute Orders
- Operations, Settlement, Back Office Issues
- Employment Disputes

## CASES INVOLVING **INVESTMENTS** IN:

- Stocks, Penny Stocks, Foreign Securities
- Fixed Income Securities, Bonds/Offering, Municipals
- Hedge Funds, Limited Partnership
- Structured Products
- Annuities and Insurance Products
- Mutual Funds / Exchange Traded Funds
- Restricted Securities Offerings
- Public or Private Securities Offerings
- Rule 144, Regulation D, Regulation S

## OUR **SERVICES** INCLUDE ASSISTANCE WITH:

- Case review and assessment  
Evaluation of case strengths and weaknesses
- Discovery documents review and recommendations
- Preparation for depositions, discovery, interrogations and claims
- Review of opposing expert testimony, reports and exhibits
- Preparation of reports and exhibits that support conclusions
- We work with services that provides account analysis and damage calculation



# 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 (CRCF). 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.

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