
**BROKER-DEALER
CONSULTING
SERVICES**



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 based out of South Florida offering market and regulatory consulting to domestic and offshore broker-dealers and financial institutions that conduct a business with high net worth and ultra-high net worth international clients. We offer expertise in cross border issues, anti-money laundering (AML) and doing business offshore.

OUR **SERVICES** INCLUDE:

- Broker-Dealer Registration, Rule 1017 Filings
- Independent Testing and Gap Analysis
- Rule 3010 Independent AML Audits
- Mock Regulatory Audits
- Branch Office Exams
- Operational Risk Assessment
- Conflicts Management
- Development & Enhancements of Policies and Procedures
- Review of Marketing Materials, Website, emails
- Independent Consultant in SEC/ FINRA Actions/Settlements
- Doing Offshore and Cross Transactions
- Outsourced Compliance Functions, Outsourced Chief Compliance Officer
- Assistance During Regulatory Exams
- Internal Investigations Involving Sensitive Matters
- Compliance, Best Practices for Dually Registered Broker-Dealers/ Advisors
- Customized Training - Sales Practices, Anti-Money Laundering, Foreign Corrupt Practice Act.
- Registered and Private Offering compliance and Due Diligence Regulation D, Regulation S Offering

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**

TEL. 786.441.5275 EMAIL. info@vandvconsultinggroup.com

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 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, 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. Vivian 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 FINRA Institute at the Wharton School of Business Certified Regulatory and Compliance Professional (CRCP) program graduate and is a trained FINRA Arbitrator and has provided expert witness and litigation support in depositions and hearings to SEC and NASD enforcement attorneys and in private litigation. She has a B.B.A in International Finance and Marketing from the University of Miami in Coral Gables, Florida. Vivian holds the Series 24, 7 and 63 licenses. She is fluent in Spanish.



CONSULTING GROUP

2525 Ponce de Leon Blvd Suite 300
Coral Gables, FL 33134
T 786 441 5275 ■ info@vandvconsultinggroup.com
www.vandvconsultinggroup.com