EXPERT WITNESS & LITIGATION SUPPORT SERVICES

Expert witness and litigation support for securities-industry disputes before arbitration panels, judges, and juries.

V&V
CONSULTING GROUP, LLC

EXPERT WITNESS & LITIGATION SUPPORT

V&V Consulting Group, LLC is a boutique consulting firm based in South Florida, providing expert witness and litigation support in securities-industry matters involving SEC, FINRA, Bank Secrecy Act, and PATRIOT Act rules and regulations. We also provide market and regulatory consulting to banks, broker-dealers, investment advisers, and private funds, delivering objective analysis and communicating findings clearly to arbitration panels, judges, and juries.

AREAS OF LITIGATION EXPERTISE

- Banks, broker-dealers, investment advisers
- Issuers, transfer agents
- Unsuitable investments; failure to supervise
- Breach of fiduciary duty
- Misrepresentations and omissions
- Securities fraud, churning, reverse churning
- Ponzi schemes, misappropriation

CASES INVOLVING INVESTMENTS

- Stocks, penny stocks, foreign securities
- Unregistered offerings
- Public and private securities offerings
- Rule 144, Regulation D, Regulation S
- Hedge funds and limited partnerships
- Structured products
- Mutual funds and exchange-traded funds (ETFs)

HOW WE HELP

- Case review and assessment, evaluating strengths and weaknesses
- Discovery document review and recommendations
- Preparation for depositions, discovery, interrogatories, and claims
- Review of opposing expert testimony, reports, and exhibits
- Preparation of reports and exhibits that support conclusions
- Coordination with providers for account analysis and damage calculations

REQUEST A WRITTEN PROPOSAL

Engagements are offered on an hourly, per-project, or retainer basis.

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ABOUT US

VIVIAN VELAZQUEZ

FOUNDER & PRINCIPAL CONSULTANT

Vivian Velazquez is the Founder and Principal Consultant of V&V Consulting Group, LLC. She brings decades of experience in the securities industry, spanning both regulatory and private sectors.

Ms. Velazquez has held senior compliance leadership roles at global and national financial institutions with billions in assets under management and operations across the United States and Latin America. Her expertise includes leading complex regulatory initiatives such as broker-dealer launches, major platform conversions, mergers, business restructurings, and large-scale anti-money laundering (AML) lookbacks and remediation efforts for prominent U.S. financial institutions.

Ms. Velazquez previously served as a Branch Chief in the U.S. Securities and Exchange Commission's (SEC) Miami office, where she directed the examination program for broker-dealers and transfer agents across Florida, Puerto Rico, Bermuda, and the Caribbean. In this role, she supervised examinations of dually registered broker-dealers and investment advisers and hedge funds, and maintained oversight of NASD (now FINRA) and NYSE examination programs within the region. She also collaborated with law enforcement on AML investigations and worked closely with the SEC's Washington, D.C. office to launch and field-test the AML examination program. Additionally, she developed and delivered training programs for foreign regulators, SEC staff, and state examiners on AML, broker-dealer compliance, books and records, accounting, and sales practices. Earlier in her career, she served as a Senior Examiner and Field Supervisor with the NASD in both New York and Denver.

She previously managed the compliance function for a New York-based insurance and financial services organization, overseeing regulatory compliance across affiliated entities, including a broker-dealer, investment adviser, proprietary mutual funds, and variable insurance separate accounts. In this role, she directed the preparation and filing of regulatory reports for mutual funds and separate accounts. She began her career as a registered representative with national wirehouse firms.

Ms. Velazquez is a trained FINRA arbitrator and has provided expert witness testimony and litigation support in both regulatory and private matters, including depositions and hearings involving SEC and NASD enforcement actions. She is a graduate of the FINRA Institute at the Wharton School's Certified Regulatory and Compliance Professional (CRCP) program and holds a B.B.A. in International Finance and Marketing from the University of Miami. She previously held FINRA Series 24, 7, and 63 licenses.

She is a member of several professional organizations, including the Association of Certified Anti-Money Laundering Specialists (ACAMS), the Association of Certified Sanctions Specialists (ACSS), the Florida International Bankers Association (FIBA), the Financial Markets Association (FMA), the Florida Securities Dealers Association (FSDA), the National Society of Compliance Professionals (NSCP), and the Securities Expert Roundtable (SER). Ms. Velazquez is fluent in Spanish.

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