



BDadvisor specializes in providing complete, timely and cost effective financial compliance solutions and services. Our clients include registered broker-dealers and their affiliated banking institutions and insurance companies.

The Trend

In the last several years the securities industry has been the subject of more scrutiny and rulemaking than during any other period since the Great Depression. Landmark legislation such as Gramm-Leach-Bliley, The USA PATRIOT Act, Sarbanes Oxley and a host of new SEC and NASD rules have created an environment that greatly raises the bar for doing business in the securities industry.

The Cost

At the same time, executive management is being held to a higher standard by the regulators. The CEO and CCO are required to be experts not only in the new rules, the old rules and their many regulations, but also in the effective and timely deployment of the remedies for complying with the rules. In addition, the expectations of the Board of Directors for most companies are for compliance programs that not only are effective but are also cost efficient. Hiring knowledgeable staff improves the prospects for effective compliance but normally results in substantially higher fixed overhead.

The Remedy

Let a team of financial compliance professionals develop and implement the solutions you need for a solid compliance program. BDadvisor offers a full complement of compliance specialties through our network of experienced consultants. If you need cost effective and efficient financial compliance solutions, [read about the services we offer.](#)



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