



SOLUTIONS TO HELP BROKERAGE OPERATIONS THRIVE

At Warren Averett, we know the importance of the perfect match. With our team of experts on your side, we will help you navigate new and changing regulations while ensuring compliance so that you can focus on the essential things—closing the deal.

We understand that time is of the essence in this industry, which is why we have responded to our clients with a sense of urgency. We commit to returning phone calls and emails within a short timeframe.

PCAOB REGISTERED

We are a Public Company Accounting Oversight Board (PCAOB) registered firm, therefore we meet the Securities and Exchange Commission (SEC), Financial Industry Regulatory Authority (FINRA), Commodity Futures Trading Commission (CFTC) and National Futures Association (NFA) requirements to serve as your external auditor.

OUR EXPERIENCE

Our experience includes both introducing and clearing broker-dealers. We have experience in performing Examination Engagements regarding compliance reports as well as Review Engagements regarding exemption reports, both performed under attestation standards.

INTERNAL AUDIT SERVICES

We tailor our approach to meet the specific needs of each client. Warren Averett's internal audit approach is to not only identify, document and

test procedures and controls based on risk, but to recommend and implement effective internal controls and business solutions.

Warren Averett's professionals have expertise in performing all levels of internal control and internal audit services. We provide internal control consulting to numerous entities, both public and non-public, ranging from high-level internal control reviews to detailed internal control audits of business processes and information technology environments, as well as SOC1 (SSAE 18) and SOC 2 Reporting and Sarbanes-Oxley compliance consulting.

Our audits are in accordance with PCAOB standards and reporting under U.S. Generally Accepted Accounting Principles (GAAP).

REGULATORY COMPLIANCE

As part of their anti-money laundering (AML) responsibilities, broker-dealers have had a gatekeeper-like obligation to monitor customers for suspicious activities and to report those activities to the Treasury Department's Financial Crimes Enforcement Network (FinCEN). In the words of the Financial Industry Regulatory Authority (FINRA), *"Just as firms have a primary responsibility to supervise their associated persons and that they are*

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BROKER-DEALER SERVICES

not involved in fraudulent schemes, firms must also be vigilant regarding their customers.” We provide AML reviews to assist the broker-dealer in complying with regulations.

CYBERSECURITY AND IT REVIEWS

Cybersecurity is one of the principal operational risks facing broker-dealers. We provide reviews of cybersecurity and vulnerability and the gaps that may be present within an organization.

TAX SERVICES

Our strategy begins with gaining an understanding of a client’s goals and developing tax planning solutions that are tailored to enhance results around those goals.

We assist clients with sophisticated strategies that not only help them to observe the letter of the law, but also maximize their bottom line and tax savings.



OUR TURF IS EVER EXPANDING
TO HELP YOU
THRIVE IN YOURS

For a current list of locations,
visit warrenaverett.com/offices

For more information on how Warren Averett can keep you compliant, call 800.759.7857 or visit www.warrenaverett.com.