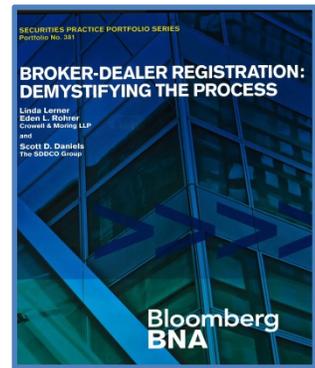


The SDDCO Group of CPAs and Consultants Contributes to New, How To on the Broker-Dealer Registration Process

*The SDDCO Group, a leading provider of onsite professional support to financial services firms, announces the publication of **Broker-Dealer Registration: Demystifying the Process.***



November 1, 2014

The SDDCO Group, longstanding providers of outsourced professional support to the financial services industry, is proud to announce the release of *Broker-Dealer Registration: Demystifying the Process*. The comprehensive guidebook covers the regulatory and business considerations of starting and registering a new broker-dealer, including constructing a detailed business plan, launching the FINRA application, drafting written supervisory procedures, lining up material agreements, addressing operational and personnel matters, and understanding the FINRA review process. This new portfolio is available to subscribers within the Securities Practice Center of Bloomberg BNA.

This Bloomberg BNA portfolio was authored by Linda Lerner and Eden Rohrer, Partners of Crowell and Moring LLP, along with several members of The SDDCO Group (“SDDCO”). Scott Daniels, Managing SDDCO Partner and Robert Fortino, Senior SDDCO Partner contributed content related to the financial and accounting requirements of the FINRA broker-dealer membership process, including corporate structuring, tax considerations, shared services agreements, initial funding, setting up books and records, and net capital requirements.

Hale Halasy, President and Claudia Taylor, Registration Manager of SDDCO Regulatory Services LLP provided content gleaned from on-the-ground experience servicing emerging broker-dealers, lending a real world perspective as opposed to a purely codified view. In other words: this is how FINRA registrations *actually* happen.

Bloomberg BNA Legal & Business Portfolios are written by leading practitioners and feature deep-dive analysis and practice tools, such as checklists, forms, and other support material, on a wide range of key topics. "For decades, business and legal professionals have relied on Bloomberg BNA's Portfolios for timely and in-depth insight into the most important issues in law," said Michael Eisenstein, Bloomberg BNA's VP and Group Publisher, Legal & Business Publishing Group. "*Broker-Dealer Registration: Demystifying the Process* adds to our lineup of these foundational resources that focus on important issues to practitioners in a given practice area and offer sound legal plans and strategies."

About The SDDCO Group

Formed 1952 in NYC, The SDDCO Group delivers outsourced professional support to broker-dealers, registered investment advisers, privately held funds, commodity brokers, and U.S. arms of foreign

banks. SDDCO services include FINRA, SEC, CFTC, and NFA registrations, accounting and bookkeeping services, FinOp support, tax services, regulatory compliance consulting, AML independent testing, as well as broker-dealer hosting and operations services. Licensed SDDCO professionals also assume CCO and CFO roles on an intensified outsourced basis.

About SDDCO Regulatory Services LLC

SDDCO Regulatory Services LLC provides full-service compliance consulting to FINRA member broker-dealers, onsite and off, on a project or retainer basis. Seasoned professionals facilitate SEC registrations, FINRA new and continuing memberships, and ongoing firm compliance with the rules and regulations of the industry. Service inquiries can be sent via <http://sddco.com/contact/ask-us/>

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About Crowell & Moring LLP

Crowell & Moring LLP is an international law firm representing clients in high-stakes litigation and arbitration, regulatory, and transactional matters. The firm is internationally recognized for its representation of Fortune 500 and emerging companies as well as its ongoing commitment to pro bono service, diversity, value-based billing, and legal project management. Linda Lerner and Eden Rohrer are partners in the firm's Corporate, Financial Services, and White Collar and Regulatory Enforcement groups.

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