

Compliance Out of Chaos.

Our team provides hands-on guidance through the maze of securities regulations so you can make your strategy happen.

B/D Start Ups

FINOP

Compliance

Expert

The B/D Start-Up Process

We Do It Everyday. *...With this same writing.*

Starting a Broker/Dealer is a time-consuming process requiring the creation, editing and filing of dozens of obscure documents, complicated forms and detailed procedures, all which must be within the regulatory deadlines. Do you really want your organization to spend valuable time and bandwidth to research, understand and implement a complicated regulatory process, that most likely, your organization will never have to use again?

We know what is required by FINRA, the SEC, and each state, to meet and exceed the qualification standards necessary to obtain their approval. We have established long-term supportive relationships with regulatory staff members that allows us to move your firm through the process in a cost effective and timely manner.

B/D Solutions will lead the Broker-Dealer Start-Up process which will allow you to focus on planning and building the most important factor in the success of your business – generating revenue.

Basic Requirements for Every Broker-Dealer Start-Up

Disclosure of All Ownership
Two Principals Requirement
FINOP Requirement

Categories of Broker-Dealers

Broker-Dealers are commonly grouped to in three categories – “a limited purpose BD”, an “introducing firm”, or a “self-clearing firm”. These categories are generally based on the firm’s net capital requirements, but firm’s within each category may conduct vastly different businesses activities.

*Clicking on B/D Start Ups in the above menu
Will bring you to this page...*

*This section is a sub menu.
Each line is a hyperlink.*

Private Placements - Investment Banking / M&A

Private Placements - Partnerships, Hedge Funds

Private Placements - Estate Securities & REITs

Private Placements - EB5 Immigration Program

FINRA Membership Process

BD “Estimator”

Buy vs. Build

*The scroll bar on the right will display
When this section has too many lines
And cannot all show in one page.
The scroll should only be for this section/side
Not for the whole screen.*

Please note the vertical line indicating which Menu item was clicked.



B/D Start-Ups

2. Will show this section (gold box) With the text in the scroll down type format.

1. Clicking on this first line

3. The line you click (here, first line) will change font to bold face and color to white.

Private Placements - Investment Banking / M&A
 The terms "Investment Banking", "Private Equity", "Merchant Banking", "Corporate Finance" and "Mergers & Acquisition" (and many others) are used in the securities industry in many different ways by many different firms to describe a wide range of business activities.

But FINRA defines Investment Banking (1) as "...any advising or facilitating activity in connection with a public offering or private placement of debt or equity, that includes (but is not limited to) the:

- origination
- underwriting
- marketing
- structuring
- syndication
- pricing
- managing the allocation
- stabilization activities, and/or
- rendering a fairness, solvency or similar opinion in connection any corporate reorganization or business combination transaction".

FINRA Requirements for Investment Banking
 Start-Ups wishing to conduct Investment Banking activities will be required to provide a detailed explanation of the following aspects of the proposed business:

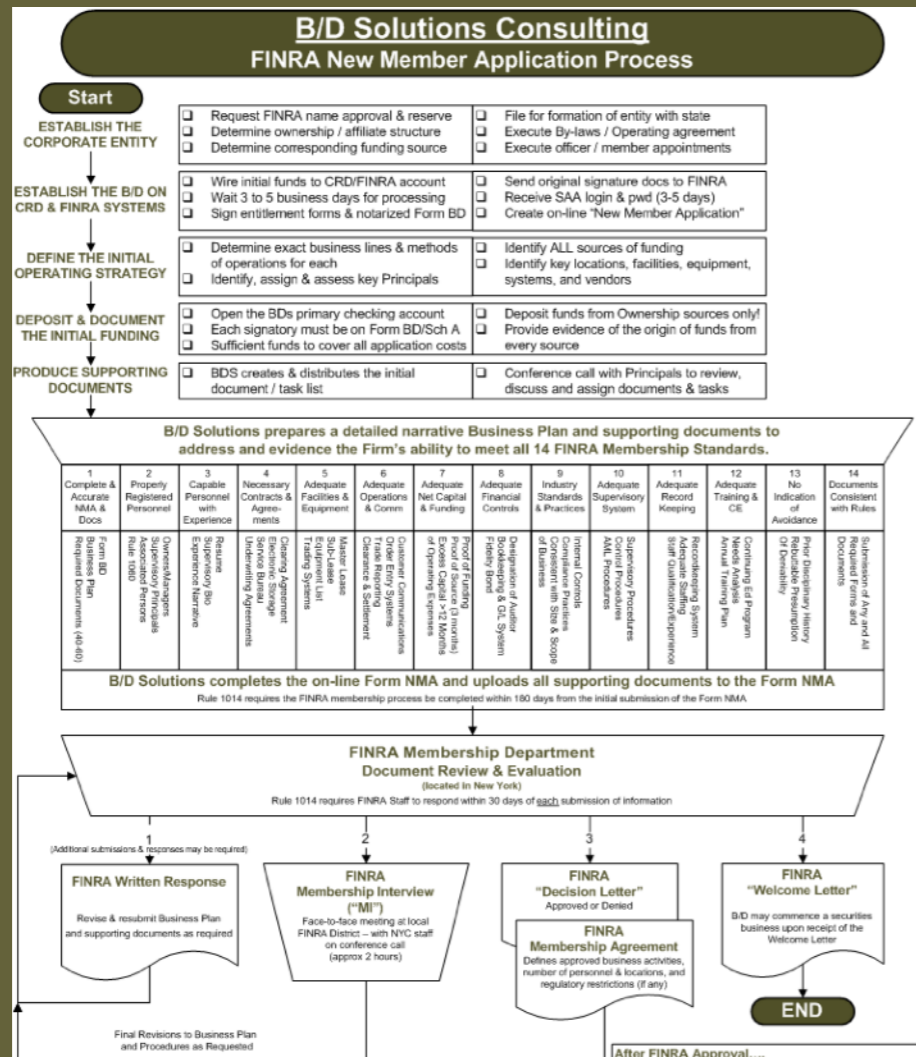
[Contact Us](#)

- Private Placements - Investment Banking / M&A**
- Private Placements - Partnerships, Hedge Funds
- Private Placements - Estate Securities & REITs
- Private Placements - EB5 Immigration Program
- FINRA Membership Process
- BD "Estimator"
- Buy vs. Build

*Clicking "Contact Us" (hyperlink) will point you to Contact Us page under About Us.

B/D Start-Ups

This page layout/design will be the same for FINOP, Compliance, Expert Services, B/D for Sale (above menu items)



X

Private Placements - Investment Banking / M&A

Private Placements - Partnerships, Hedge Funds

Private Placements - Estate Securities & REITs

Private Placements - EB5 Immigration Program

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Contact Us

Another example: This is just to point out That some of the links will need to show text AND/or image in the gold box.

*Clicking on Compliance in the above menu
Will bring you to this page...
...and same for Expert Services*

Compliance Services

Starting a Broker/Dealer is a time-consuming process requiring the creation, editing and filing of dozens of obscure documents, complicated forms and detailed procedures, all which must be within the regulatory deadlines. Do you really want your organization to spend valuable time and bandwidth to research, understand and implement a complicated regulatory process, that most likely, your organization will never have to use again?

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Anti-Money Laundering (AML) Audits & Reports

BD in the Cloud - A Paperless Compliant Record Keeping System

Continuing Education Program

Regulatory Exam Preparation

Regulatory Response Assistance & Review

Written Supervisory Procedures

*In the future, this scroll bar on the right
should show up automatically
when the list here grows
and reaches bottom of page,
Or we need to be able to add the scroll bar very easily.*

*Clicking on About in the above menu
Will bring you to this page...*

About Us

Our mission is to provide innovative, experienced, professional assistance which produces measurable results and competitive advantages for our clients.

B/D Solutions Consulting has extensive experience and expertise in providing the hands-on assistance needed to successfully plan, build and operate a Broker-Dealer.

Since 1993, we have guided hundreds of firms in making their way through the maze of securities regulation and compliance.

"We create compliance out of chaos..."

These two items are hyperlinks.

Our Team

Contact Us

Our Team

X

Michael O. Brown

President
 With over twenty years in the compliance industry, Michael's experience provides the breadth, depth, guidance and direction to all other staff members and our clients. His expertise stems from a broad range of industry positions including Chief Compliance Officer, Chief Financial Officer, and Director of Operations. He starting his compliance career as a NASD examiner and was later promoted to supervisor in the Atlanta office. Michael also has professional experience in software development for Internet banking and brokerage applications.

Compliance Areas of Specialty:

- Expert Witness Testimony
- Litigation Support
- Strategic Management Consulting
- Compliance Structure Consulting
- Technology Platform Consulting

2. Will show this section (white box)
 - clicking **Our Team** or first name (Michael O. Brown) will show Michael's profile by default.
 - clicking another name on list will show different profile (text) in same format/layout.

Contact Us

About Us

- 1. Clicking on 'Our Team' will show list of names (as below)**
Change all font to white
And bold face for 'Our Team' and first name (Michael)

Our Team	Michael O. Brown
	Bengie Damos
	Katie Anderson
	Tom Mackay

Contact Us

*Please note - these are same hyperlinks pointing to same page.

* Clicking a name will change font to boldface to indicate which name was clicked.

Contact Us

X

Email Form

If you have a question or comment for B/D Solutions, please complete the form below and one of our specialists will contact you as soon as possible.

Name

Email

Phone

Message

2. Will display this white box for writing message. The scroll bar on the right should always show To let visitor know that they have more space to write.

When press enter/return or scroll down, The above lines will move up and disappear

~~But the bottom line here will remain fixed,~~

Send

About Us

Our Team

- 1. Clicking on 'Contact Us' (or Contact Us in other pages) Will show text (address and contact info - below) Will change all font to white And bold face for 'Contact Us' Also bold face for 'By Phone' and 'Our Address'**

Contact Us

By Phone

Call us Toll-Free:
877-4BD-INFO (877-436-4636)

Our Address

B/D Solutions Consulting
4062 Peachtree Road – Suite A-322
Atlanta, Georgia 30319

Send should be boldface.

And when click, will send message as email.

Please make sure to allow for us to change linked email address by ourselves.

Contact Us

About Us

Your message has been sent. Success!
We really appreciate your taking the time to write us
and promise to get back to you asap.
Thank you~

Our Team

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By Phone

Call us Toll-Free:
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Atlanta, Georgia 30319

***Clicking Send should bring up a confirmation message box.
Please make sure to allow for us to change this text ourselves.***

Clicking on Blog will bring you to this page.

These boxes are large thumbnails(?).

All boxes will be gold but if move cursor

Over the box, it will show an image (not black)

Sample text of the article will show on box.

This page can show many boxes (not only 4) and this entire page can scroll up and down (excluding menu at top). So no need for scroll bar.

In My Opinion

Show All

2020

2019

January

February

2018

This is sub menu.

The bold face indicates

Which item was clicked.

In this example, all blog articles for January in 2019 is showing (as boxes).

Clicking each box will point you to same page.

Article Title

01/15/2019

The terms "Investment Banking", "Private Equity", "Merchant Banking", "Corporate Finance" and "Mergers & Acquisition" (and many others) are used in the securities industry in many different ways by many different firms to describe a wide range of business activities,

Article Title

01/31/2019

Starting a Broker/Dealer is a time-consuming process requiring the creation, editing and filing of dozens of obscure documents, complicated forms and detailed procedures, all which must be within the regulatory deadlines. Do you really want your organization to spend valuable time and bandwidth to research,

Article Title

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*Each thumbnail/box from previous page will point to here.
The format remains exactly same.
But the text in the gold box will change depending on which blog post you click.*



This image box will be same Image as from the thumbnail in previous page.

In My Opinion

^

- 01/31/2019 - Blog Article Title
- **01/31/2019 - Blog Article Title 2**
- 01/31/2019 - Blog Article Title 3

v

*This sub menu.
The bold face and black color font indicates which item was clicked.
The article titles will only show 3 at a time like here.
Clicking on arrow up or down will simply show article title in chronological order.*

By Michael O. Brown

Blog Article Title

01/15/2019

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- *structuring*
- *syndication*
- *pricing*
- *managing the allocation*
- *stabilization activities, and/or*

Contact Us

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