

Covid19 is not the only thing keeping you up at night? Will a fine, censure or a cease and desist order set your business back or even put you out of business?

ALLIA Consulting provides securities firms cost-effective risk & compliance solutions and services. We have extensive experience in enhancing risks and controls at **broker-dealers'** sales & trading, investment banking, research, and compliance, and **investment advisers'** marketing and advertising, trading, performance and assets under management reporting.

Laurie Shen, founder of ALLIA, brings 25+ years of experience in providing risk & compliance solutions to broker-dealers, asset managers, and hedge funds.

- *Have your annual reviews not found anything significant in years? Are you due for a visit from your regulator?*

We provide a fresh perspective in providing customized reviews based on industry practices. We develop and execute effective compliance reviews helping you satisfy FINRA and SEC obligations by customizing our product-specific programs to conduct reviews and identify gaps and areas of enhancements.

- *Not sure your business complies with all the applicable rules?*

We develop and perform gap assessments that suit your specific concerns. We review your existing processes and controls against the relevant regulatory requirements, then apply a risk-based approach to identify gaps and develop corresponding remediations.

- *Need to manage your risk and compliance budget?*

We provide risk and compliance management on an interim or long-term basis. In addition to taking the load off, we work side by side with your team to provide support and guidance as needed.

- *Your project is not meeting budget and timelines?*

We plan and execute complex compliance projects providing customized project management tools so that your project is on-time, on-budget, and on-scope. We establish the right processes and tools at project inception or implement the necessary processes to course-correct mid-project.

Would you like to know more? Let's schedule a discovery call.



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Select securities firms where we have provided risk & compliance solutions/services: AMBEST | BIDS Trading | Bloomberg | Daiwa Securities | Kepler Capital Markets | Nomura Securities | RBC Capital Markets | Société Générale | Mitsubishi Securities | Jefferies | Oppenheimer & Co | Morgan Stanley | Alliance Bernstein | Cohen & Steers | Lafayette Real Estate | Brown Brothers Harriman | Blackstone | London Clearing House | Citibank Private Equity | Neuberger Berman | Bank of Communications | Mesirow | Modern Bank | Mitsubishi Union Bank | Oritani Bank | Trustco | Marathon Asset Management | Gleebill