



## Broker-Dealer and RIA Consulting Services

- FINRA Membership Applications (NMA/CMA)
- Broker-Dealer Change of Membership Application
- Strategic Advisory – FINRA Enforcement Actions
- RIA Applications (SEC and States)
- Supervisory Controls Testing / Annual Reviews
- SRO Relationship Management
- AML Independent Testing



## Strategic Advisory / SRO Relationship Management



FirstMark Regulatory Solutions was founded by Mitchell Atkins in December of 2013. Mr. Atkins' rewarding career at FINRA spanned 20 years. In his role as Senior Vice President and Regional Director of FINRA's South Region, he oversaw hundreds of examinations, investigations, on-the-record interviews and membership applications ranging from simple to the most complex handled by FINRA.

FirstMark's commitment to integrity and excellence is reflected in the outstanding quality delivered to clients.

FirstMark's founder maintains excellent relationships with regulators. What may seem like a complex game of chess becomes clearer when FirstMark is involved. FirstMark can help with your routine compliance functions as well as the more complex strategic advisory matters involving enforcement actions, FINRA OTRs and complex FINRA membership or RIA applications.