

# SIMPLIFYING COMPLIANCE, AMPLIFYING CONFIDENCE

## SMALL FIRM WITH BIG FIRM CHALLENGES? WE HAVE THE SOLUTION.

**Are you a small broker-dealer firm with a limited number of representatives and resources?** Bates Group offers FinOp services tailored for small firms like you.

Many firms consider outsourcing as a viable alternative to hiring internal FinOp staff to comply with FINRA regulations. Qualified third-party firms such as Bates Group can fulfill these requirements with their licensed, highly qualified financial principals. With nearly 50 years of combined experience, we ensure precise handling of financial reports, FOCUS filings, and complex regulatory compliance and net capital issues.

## THE BATES DIFFERENCE

**We provide specialized FinOp services for small firms, assisting with financial records and compliance.** With our proactive approach, we help your firm ensure compliant operations.

## CUSTOMIZED FINOP SOLUTIONS FOR YOUR FIRM

Outsourced Financial and Operations Principal (Series 27/28) Registration for your Broker-Dealer

Preparation, Review, and Electronic Filing of Annual, Quarterly, or Monthly FOCUS and SSOI Filings

Full Support related to Annual Audit and Regulatory Financial Examinations

Review financial reporting for accuracy

Assist with regulatory inquiries concerning financial reporting

## LET'S GET STARTED!

Experience the difference **Bates** can make.  
**Reach out today:**

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