



[Bates Group LLC](#) is a leading financial services consulting firm, providing end-to-end solutions on legal, regulatory, and compliance matters for financial services firms and their counsel. Bates' professional staff and 165+ financial industry experts offer services in litigation consultation and testimony, regulatory and internal investigation matters, compliance solutions, AML and financial crimes, forensic accounting, and damages consulting.

[Bates Compliance](#), our compliance consulting practice, delivers guidance and tailored compliance consulting solutions to our broker-dealer, investment adviser and hybrid firm clients on an as-needed or ongoing basis. Our team—made up of experienced senior compliance, legal and former regulatory professionals—drafts and tests policies, procedures, and supervisory and compliance processes, recommending and implementing changes based on leading practices to enhance compliance and supervisory systems and to remediate regulatory, litigation and internal audit findings.

With nearly four decades of working with leading law firms, financial services companies and regulatory bodies, Bates is here to support you every step of the way.

[Bates Compliance - Discover the Difference](#)

Contact:

[David Birnbaum, Managing Director](#)

Direct: 917-273-2682

Email: dbirnbaum@batesgroup.com