



Patten Training & Review

- **Principal Outsourcing**
 - FinOp
 - Chief Compliance Officer
 - Municipal Advisor CCO
 - Supervisory Principal
 - Investment Banking Principal
 - Municipal Principal
 - Options Principal
- **Custom Content Development**
 - Executive Training
 - Exam Prep Classes
 - AML 3rd Party Testing
 - New Member Support
 - Regulatory Consulting
 - Broker-Dealers
 - Investment Advisers

Our Job is to Help You Succeed!

Financial Services Training

Patten Training & Review specializes in helping financial services professionals obtain their securities registrations. With more than 30 years of experience in the financial services industry, our team has effectively trained thousands of industry professionals to successfully pass their required qualification examinations. We can accommodate your training needs at your convenience in either a live or virtual classroom or online training.

Compliance Solutions

Principal Services

Our team of professionals has operated as Principals for numerous firms throughout the country. Our principal services include: Financial and Operations Principals (FinOp), General Securities, Options, Municipals, Investment Banking, Variable Products, and more. Our team also serves as Chief Compliance Officers for FINRA registered broker-dealers, investment advisors, and even municipal advisors.

Regulatory Consulting

Broker-Dealer: Anti-Money Laundering, Written Supervisory Procedures, Communication & Marketing Review, Privacy and Business Continuity, Regulatory Responses, 3120/3130, Branch Audit, Form CRS and Reg BI Disclosure, Continuing Membership Applications, Continuing Education, FINRA Gateway Management, Vendor Due Diligence

Investment Adviser: Annual Compliance Review, Procedures and Code of Ethics, ADV I A&B II III, Marketing Review

FinOp Exchange

We communicate with many FinOps and one thing is clear, there are very few places to meet each other to share ideas and ask questions. So with that in mind, we decided to create the "FinOp Exchange." The FinOp Exchange is designed to provide a safe environment for FinOps to share ideas and have their questions answered amongst a group of their peers.

Now Offering:

Custom online course programs!



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