

## BEKKER COMPLIANCE CONSULTING PARTNERS, LLC

### BEKKER COMPLIANCE INSTITUTE (BCI)

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*Americas • APAC • EMEA • Caribbean*



## CLIENT SERVICES PORTFOLIO

### ***ABOUT US***

Bekker Compliance Consulting Partners, LLC (BCCP) is a boutique risk management and compliance consultancy that provides the following cross-border solutions to our esteemed clients in the Americas, Southeast Asia, Europe, Middle East, Africa, Caribbean, and other regions across the globe:

- Compliance Monitoring/Remediation, Audits, Outsourcing & Support
- Executive Search
- Expert Witness
- Governmental & Non-Governmental Organization (NGO) Consulting
- Training

BCCP frequently works with state and federal governmental agencies, including FinCEN, DOJ, and the SEC. BCCP is also actively engaged in global financial sector modernization, private sector development, and public sector reform -- providing technical assistance and training to NGOs worldwide. Some of the NGOs we serve include USAID, International Monetary Fund (IMF), World Bank, UNODC, Asian Development Bank (ADB), International Republican Institute (IRI), and many others.

BCCP delivers interactive training through Bekker Compliance Institute (BCI), our Global Training Division. Our International Experts design each of our interactive, how-to workshops utilizing a blended learning approach, which includes a unique combination of lecture and roundtable discussions with scenario-based group exercises, case studies, simulations, and gamification. When tailoring customized training for our clients, we focus on combining international best practices with demographic, cultural, regional, and local considerations.

BCCP was founded in 2006 by Carrie Rinehart-Bekker, a legal/compliance expert with 41 years' legal and regulatory experience derived from her tenure as a Legal Executive/Paralegal in law firms, corporate law departments, and trust companies throughout the United States and internationally. Before founding BCCP, Ms. Bekker also served as a Senior Regulatory Compliance Officer/AML Compliance Officer with several global financial conglomerates, including AEGON/Transamerica, Pacific Life Insurance Company, and AIG Sunamerica.

Our Global Headquarters are based in Tampa, Florida. We also have a US satellite office in Porter Ranch (Los Angeles), California. In 2012, we opened our first global regional office in St. Thomas, US Virgin Islands, to serve the Caribbean and Americas. In 2018, we opened another regional office in Bangkok to serve the APAC region. We will be opening another US satellite office in New York City later this year.



Please [visit our website](#) for details about the niche cross-border consulting, training, and expert witness services that we provide to our financial, legal, and NGO clients.

## ***OUR INTERNATIONAL EXPERTS***

BCCP has built a Global Consortium of multinational, multilingual Experts whose cross-border knowledge and expertise are both broad and deep, having spent decades working within the financial and legal sectors as:

- Auditors
- Business Continuity Professionals
- Chief Compliance Officers
- In-House Counsel
- IT and Data Security Professionals
- Operations Managers
- Risk Managers
- Senior Regulatory Examiners & Enforcement Officers

## ***OUR CLIENTS***

- Alternative Investment Funds
- Asset Management Firms
- Banks
- Broker/Dealers
- Commodities Futures Firms
- Crowdfunding Portals
- Energy (oil and gas/renewables)
- Exchange-Traded Funds
- FinTech Startups
- Forex
- Governmental Agencies
- Hedge Funds
- Investment Banks
- Investment Companies
- Investment Advisers
- Law Firms
- Mutual Funds
- Non-Governmental Organizations (NGOs)
- Private Equity Firms
- Regulators
- Special Purpose Acquisition Vehicles (SPACs)
- Sovereign Wealth Funds
- Trust Companies

## ***HOW WE CAN HELP YOU***

Because of our Experts' diverse international expertise, you can count on us to be a trusted source for your firm's unique needs. Our niche specialties include:

### ***Cross-Border Compliance***

- AML/CFT Compliance
  - Bank Secrecy Act (BSA)
  - Corporate Transparency Act (CTA)
  - KYC Due Diligence/Screening
  - USA PATRIOT Act
  - OFAC
  - Sanctions
- Banking
- BD/IA Registration
- Compliance Audits & Testing: AML, SEC 1940 Acts 206(4)-7 and 38a-1, FINRA, CFTC, CFPB; BD Branch Audits, OCC
- Compliance Monitoring & Remediation
- Compliance Outsourcing: CCO, FINOP, DPO
- Cross-Border Regulatory Compliance, including (but not limited to):
  - APAC: SFC (Hong Kong), MAS (Singapore)
  - Caribbean
  - GCC Countries
  - EU: ESMA, AIFMD, MiFID II, UCITSs
  - US: SEC, FINRA, CFTC, NFA, OFAC, FinCEN
- FINRA Crowdfunding Portal Registration
- Foreign Registration & Licensing
- Privacy: GDPR, CCPA
- Regulatory Exam Prep
- SEC/FINRA
- Sarbanes-Oxley (SOX)
- Variable Insurance Products

### ***Cross-Border Outsourcing Bundles***

- Compliance as a Service
- Cybersecurity as a Service
- Privacy as a Service
- Training as a Service

### ***Business Continuity/Cybersecurity***

- Business Continuity/Disaster Recovery
- Crisis Management
- Cybersecurity Readiness Risk Assessments & Testing
- Data Governance, Management, and Protection
- Data Protection & Recovery
- Enterprise Content Management (ECM) Compliance
- IT Compliance Audits

### ***Risk Management***

- Assessments
- Audits
- Due Diligence
- Training

### ***Transnational Crime***

- Asset Recovery
- COVID-19 Financial Crime
- Corruption/Kleptocracy
- Cybercrime/Cyberterrorism
- Fraud
- Money Laundering/Terrorist Financing
- Ponzi Schemes

### ***FinTech/RegTech***

- Blockchain
- Cryptocurrency
- Mobile Apps
- Money Service Business (MSB) & FinCEN Registration and Compliance
- RegTech Implementation

## ***THE BCCP DIFFERENCE***

**Personalized Client Solutions:** Each one of our esteemed clients is like a snowflake: No two are alike. Therefore, we make it our business to understand your business to ensure that we tailor our services to match your firm's unique requirements.

**Around-the-Clock Client Service and Support:** Because our clients are located worldwide, we are on call 24/7 to serve you. No matter where you are located, our Experts work with you in real time based on your work schedule and time zone.

**Bridging the Gap:** Our mission is to fill the gap between where legal advice leaves off and how-to-compliance advice and nuts-and-bolts implementation begin. As part of this mission, our goal is to match you with the right Expert who is the best fit for your firm's needs.

***Want to learn more?***

***Please [contact me](#) to find out how we can help you with your firm's compliance challenges.***



**CARRIE F. RINEHART-BEKKER**  
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