



GOLDCREST

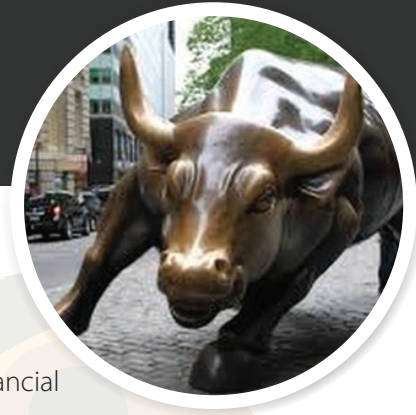
CONSULTING SERVICES, LLC



Company **History**

Jon A Nixon CPA, PC, a firm providing audit and tax preparation to a diverse range of clients for the last 30 years, has created Goldcrest Consulting Services, LLC to specifically service the needs of broker-dealers within the financial services industry.

Who We Are



Goldcrest Consulting Services, LLC specializes in serving broker-dealers, whether they are a start-up or an existing firm, as their outsourced Financial and Operations Principal (FinOp). We provide broker-dealers with a unique combination of FinOp and accounting experience, enabling us to customize a solution to your specific needs while ensuring financial compliance.

What We Do

All U.S. broker-dealers are required to employ or contract with a FinOp Series 27 or 28 licensed professional for the member firm. As an outsourced FinOp, we can perform all the mandatory financial and operational functions for broker-dealers which include:

- 🐦 Responsible for the preparation, approval, and accuracy of financial reports submitted to securities industry regulatory bodies.
- 🐦 Supervision of all individuals who maintain the firm's books from which the financial reports are created.
- 🐦 Responsible for the firm's net capital compliance, record keeping, and other financial and operational rules.
- 🐦 Performance of the firm's responsibilities under all financial responsibility rules promulgated pursuant to the provisions of the Securities Act of 1934 (Exchange Act).
- 🐦 Prepare, maintain, and reconcile the firm's records such as: general ledger, trial balance, balance sheet, and income statement.
- 🐦 Compute and monitor net capital in accordance with SEC Rule 15c3-1.
- 🐦 Prepare audited financial statements and serve as liaison with independent auditors during the firm's required annual audit.
- 🐦 File required reports such as FOCUS, SSOI, CUSTODY, and SIPC.
- 🐦 Any other matters involving the financial and operational management of the member firm.

Making **Our** Experience **Work For You**

Essential records and reports are presented to regulatory agencies on the accrual basis, an accounting language that is best understood by experienced financial professionals. With 30 years of experience in the accounting industry, we can act as your FinOp, while expertly creating all financial records within regulatory guidelines.

We can serve as the firm's outsourced FinOp on-site, remotely, or a combination of both. We are easily accessible by phone, email, and instant messaging.

Outsourcing provides all the benefits of a qualified FinOp for less than the overhead cost of hiring a full-time senior-level employee.

We offer monthly fixed-fee plans or customized programs to satisfy a firm's unique needs.





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