

Introducing DFP Partners



DFP Partners Your business is our business

For over 40 years, DFP Partners has been a committed ally to Broker-Dealers and Registered Investment Advisers looking for accounting and compliance services.

At DFP Partners, our clients are entrepreneurs with little time to wrestle with the intricacies of securities regulation. That's why we've built our business around managing your regulatory burdens as if they are our own—freeing you to focus on what you do best.



At DFP Partners, our accountants and consultants bring their expertise and imagination to every client challenge. Our people-first approach has enabled us to maintain our pledge to always serving the best interests of our clients above anything else.



"I have found that DFP Partners is an extremely engaged partner in accounting and compliance, and I personally brought in DFP Partners when I joined a new firm. I have recommended DFP Partners as "Best in Class" and consider their level of professionalism and dedication to be second to none."

— Tamara Hunter | Executive Representative, Handelsbanken Markets Securities, Inc.

Who We Serve

DFP Partners delivers deep expertise and personalized guidance to our clients:

- » Broker-Dealers
- » Registered Investment Advisers
- » Start-ups & New Businesses

Partnering with DFP Partners

Your business needs are not one-size-fits-all, so we're here to serve as a part of your team—putting our full set of skills and attention at your disposal. Every DFP Partners client benefits from the talent and expertise of our entire firm, as our teams help you navigate the complex landscape of accounting and reporting, regulatory compliance, and more.

OUR SERVICES

DFP Partners' people-first approach brings deep expertise from across our firm to deliver a range of innovative solutions covering everything from outsourced FinOp and Chief Compliance Officer roles to Anti-Money Laundering testing and Cybersecurity compliance consulting.



Accounting & Bookkeeping

DFP Partners is a CPA firm that has been recognized for its accuracy and professionalism in outsourced Client Accounting Services for over four decades.



FinOp, PFO, POO & Supervisory Services

DFP Partners specializes in providing outsourced FinOp, PFO, POO & Supervisory Services—the full resources of our teams in an outsourced role you can trust.



Broker-Dealer Membership & Compliance

Whether you want to outsource your Chief Compliance Officer entirely or leverage our consulting team to support your in-house Chief Compliance Officer on a project basis, we offer a suite of compliance services that will meet your needs.



RIA Registration & Compliance

DFP Partners offers wide-ranging compliance solutions for investment advisers including: U.S. Securities and Exchange Commission registration, outsourced Chief Compliance Officer, and ongoing compliance support.



Anti-Money Laundering Testing

DFP Partners provides independent testing of the Anti-Money Laundering programs of FINRA member broker-dealers and other financial institutions.



Cybersecurity

Cybersecurity is a key focus for regulatory agencies. DFP Partners can ensure your firm is prepared to be evaluated on its cybersecurity risk management and data protection practices.

**Get in touch to find out how DFP Partners can
make a difference for your business**



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