

David Mack of Compliance Matters to be Featured on CUTV News Radio

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[/EINPresswire.com/](http://EINPresswire.com/) -- In the wake of the Great Recession, the financial industry is now among the most heavily regulated sectors of the economy. It is much more difficult to start a new business in the financial industry today while remaining in compliance with the various regulations and statutes.

Compliance Matters helps financial firms observe the regulatory laws of the Financial Industry Regulatory Authority and the SEC. Led by its founder David Mack, Compliance Matters works with new businesses in financial marketing and securities to obtain all the necessary licenses and approvals to open their business in full compliance with all federal laws and regulations.

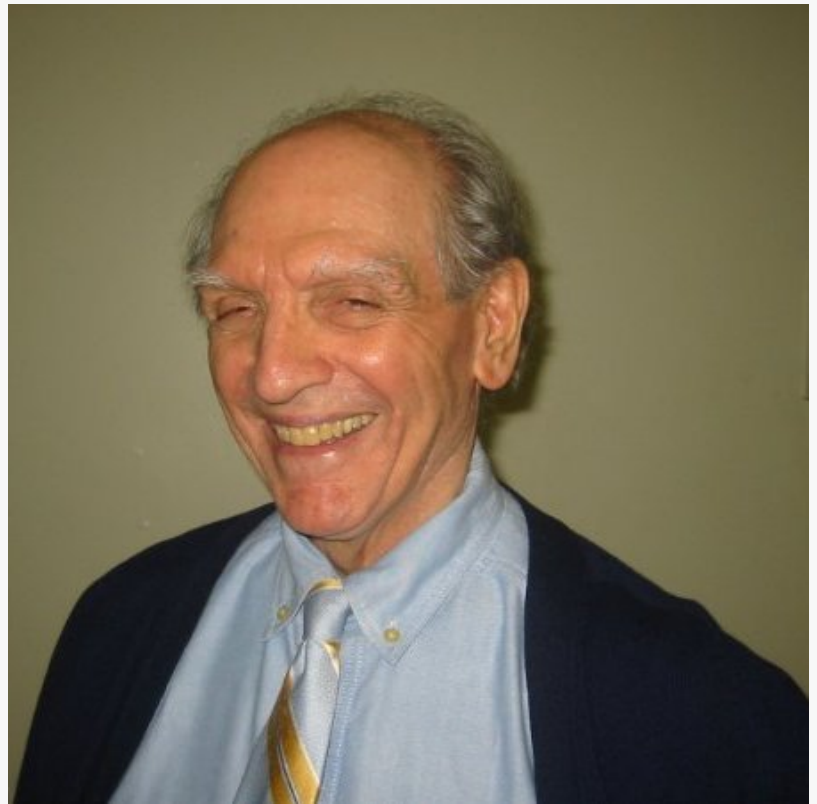
"We help people start firms, help them regulate their firms," says Mack. "We have the expertise and knowledge and the ability to structure, fill out the applications and guide people to a successful conclusion, which is acceptance by FINRA and membership.

Compliance Matters and its associates are dedicated to the highest principals of securities compliance for Broker-Dealers and Registered Investment Advisors. Mack himself boasts 50 years of experience in the securities industry. HE is an expert in regulatory aspects of broker-dealer compliance. This is especially useful in a regulatory climate that is constantly changing.

"People want to be in the securities business and help raise money for companies that want to go public, grow, and raise money. But it's very carefully controlled. It's a very highly regulated industry and getting more so," says Mack. "As a business, you have to be very attentive, find the right sources to advise you of the changes every day and make sure you follow up."

Mack says over the last fifteen years, FINRA has really put the pressure on small firms so that it's very difficult for a small firm to start in business the way they used to.

"It's getting very tricky these days because FINRA is busily changing regulations and the SEC has advised us of a very broad sort of reformation of license for next year," says Mack. "People coming into the business will have a new series of licenses and tests to take to establish qualification. We



keep our clients informed of these changes.”

CUTV News Radio will feature David Mack in an interview with Doug Llewelyn on December 5th at 11am EST.

Listen to the show on [BlogTalkRadio](#).

If you have a question for our guest, call (347) 996-3389.

For more information on Compliance Matters, visit <http://compliancematters.biz>.

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