



SECURITIES EXPERT WITNESS & Litigation Support, LLC

Alan J. Besnoff CFP, ChFC, CLU

Executive Summary

Alan J. Besnoff, CFP, ChFC, CLU is a knowledgeable, objective, dedicated, securities and financial services professional.

His career in securities and financial services includes thirty years of experience at the financial advisor, supervisory, and managing principal level. He has also passed FINRA registration examinations for Series 6, 63, 65, 7, 26, and 24, as well as state licensing examinations for Life Insurance, Disability Insurance, Health Insurance, Long Term Care Insurance, Variable Life Insurance, and Variable Annuities.

An effective and articulate communicator, Mr. Besnoff has conducted over 1000 presentations, workshops, and classes—to both academia and industry— on securities, investments, insurance, and risk management. He has also initiated and implemented policies and procedures to assure branch offices, financial advisors, managers, and brokers are in compliance with FINRA and SEC regulations.

During his tenure as a Managing Principal at national investment firms, Mr. Besnoff reviewed and provided suitability guidance on thousands of transactions involving securities, insurance and financial planning recommendations.

Alan J. Besnoff provides objective and unbiased litigation consulting services including case review and assessment, discovery review and recommendations, and expert testimony.

Licenses and Certifications (Past and Present)

- FINRA (NASD) Series 6 – Investment Company Products/Variable Contracts Ltd Representative
- FINRA (NASD) Series 7 – General Securities Representative
- FINRA (NASD) Series 63 – Uniform Securities Agent
- FINRA (NASD) Series 65 – Uniform Securities Agent
- FINRA (NASD) Series 26 – Investment Company Products/Variable Contracts Limited Principal
- FINRA (NASD) Series 24 – General Securities Principal
- Life, Accident and Health Insurance Producer's License
- CFP – Certified Financial Planner
- ChFC – Chartered Financial Consultant
- CLU – Chartered Life Underwriter
- Life, Accident and Health (includes disability and long term care)
- Variable Life
- Variable Annuities