Use Case: Ensuring Data Integrity for Broker-Dealers

Firm:
Small to Mid-Sized Broker-Dealers

Industry:
Financial Services

Role:
Operations & Compliance Officers

Challenge:
Maintaining accurate books and records amid competing priorities

Don't let data integrity fall through the cracks.

Let us handle the reviews—so you can focus on what matters most.

The Challenge

Broker-dealers are required to maintain accurate and complete books and records to meet FINRA and SEC regulatory requirements. However, the data integrity reviews necessary to ensure this accuracy are time-consuming and complex.

With limited resources and a growing list of daily operational tasks, the firm's compliance team often had to deprioritize these reviews, increasing the risk of:

- Regulatory scrutiny
- Costly audits
- Reputational damage

The Solution

A firm partnered with TRADEliance, a specialized provider of data integrity review services for financial institutions.
Our team completed a data integrity review, including:

- Identifying gaps and inconsistencies in trade data
- Verifying data against regulatory requirements
- Providing detailed reports and remediation recommendations

The Results

- Provided the firm with a third-party objective review
- Saved time on the firm's staffing and resources
- Identified potential risks and inaccuracies

"*We worked with TRADEliance on a review of our Equity Trading desk as part of our 3120 process. The work was on-time, thorough and professional. The report was straight forward with no surprises. I would definitely recommend them for any work on analyzing trade data and trade desks reviews.*"

– Chief Compliance Officer

Why It Worked

- Expertise: Our team understands the nuances of broker-dealer operations and compliance.
- Ease of Burden: Our team takes on this tedious task removing the burden from your firm's resources.
- Peace of Mind: The firm now has a trusted partner in reviewing their data is accurate and compliant.

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TRADEliance