

Use Case: Simplifying New Regulation Implementation

Firm:
Small to
Mid-Sized
Broker-Dealers
with limited
resources

Industry:
Financial
Services

Role: Business
Unit &
Compliance

Challenge:
Understanding
and creating
processes and
procedures for
new regulatory
initiatives.

The Challenge

Broker-dealers are required to implement new regulation. However, a firm is unsure on how the new regulation affects their current operations. Key concerns include:

- Understanding the regulatory language
- Assessing the business units impact
- Developing compliant policies and procedures
- Ensuring ongoing supervisory oversight

Non-compliance could result in fines, reputational harm, or business disruption.

The Solution

A firm partnered with TRADEliance, a consulting firm who specializes in simplified custom solutions to help firms comply with new regulatory obligations. Our approach includes:

- Translating complex regulatory language into practical, easy-to-understand business terms so executives and staff know what the regulation means and how it affects them.
- Designing a streamlined process that aligns with your business model and satisfies the new regulatory requirements—minimizing workflow disruption while ensuring compliance.
- Drafting formal supervisory procedures that integrate with your existing compliance framework, giving regulators the oversight structure they expect.

The Results

- A complete, ready-to-implement regulatory program.
- Staff trained on the new process in plain English.
- Documented procedures that satisfy audit and exam standards.
- Peace of mind knowing the firm is covered for the next regulatory review.

“We engaged TRADEliance for assistance with the recent implementation of FINRA Rule 4210 related to covered agency transactions. Jesy and Kat evaluated our current processes and fixed income activity to help us devise a process for identifying applicable transactions and instituting a mark to market process so that we could either collect margin or take a net capital charge. Their expertise in the fixed income market enabled them to develop a process that worked for us, taking into account our size and infrastructure. They also created the necessary WSPS, which was extremely beneficial.

We are not a big fixed income shop and therefore we don't have the resources and expertise that larger trading firms have. Being able to work with TRADEliance was like having our own dedicated fixed income compliance support team.”

- Chief Compliance Officer

Why It Worked

- Simplification: Our team understands how to easily comprehend financial regulation.
- Customization: We customize processes, policies, and procedures to match your business model.
- Implementation: Our solutions are created for your firm to easily implement with limited business disruptions

For firms with
limited resources,
the pace and
complexity of change
can be
overwhelming.

We help you act
decisively—and stay
ahead of the
compliance curve.

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TRADEliance