

Use Case: Trade Desk Policy & Procedure Review

Firm:

Small to
Mid-Sized
Broker-Dealers
with a trade desk

Industry:

Financial
Services

Role:

Trading
Supervisors &
Compliance

Challenge:

Keeping desk
procedures up to
date and
ensuring the
written
supervisory
procedures are
relevant for the
business model.

The Challenge

Broker-dealer's existing trade desk procedures have evolved over time, but documentation has not kept pace.

Key concerns include:

- Inconsistencies between actual desk operations and written procedures
- Lack of documented supervisory steps tied to key trade functions
- Exposure to regulatory risk due to incomplete or outdated WSPs

The Solution

A firm partnered with TRADEliance, a consulting firm who completes comprehensive reviews designed to bring clarity, consistency, and compliance. Our approach includes:

- An in-depth analysis of day-to-day trade desk activities, identifying informal practices or undocumented processes.
- An evaluation of whether supervisory procedures accurately reflect the trade desk's current operations and regulatory expectations.
- An ability to identify blind spots internal teams may miss and provide benchmarking insight based on work with other broker-dealers.
- A detailed report highlighting:
 - Gaps between written policies and operational reality
 - Areas of regulatory concern or ambiguity
 - Industry best practices not yet incorporated
 - Actionable recommendations to enhance oversight and documentation

The Results

- Revised procedures that reflect real-world workflows
- Updated policies and procedures that meet regulatory expectations
- A risk-reducing roadmap for ongoing improvements
- Stronger internal controls and audit readiness

"Tradeliance was a pleasure to work with, they understood our project needs with minimal explanation and follow-up questions or requests were with minimal interruption to our internal team. Their work was very detailed, and the analysis was well presented and easy to follow."

- Chief Compliance Officer

Why It Worked

- Experience: Our team has real world experience in creating policies and procedures for trade desks - both equity and fixed income.
- Customization: Our analysis is customized to match your business model.
- Comprehension: Our team understands the mechanics of a trade desk and the regulatory requirements necessary to be in compliance.

Regulators expect
alignment between
front-line activities
and supervisory
oversight.

Our reviews help firms
not only comply—but
demonstrate a culture
of compliance
backed by practical
procedures.

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TRADEliance