

**opsdog**

**BPMN 2.0 FORMAT**

## BROKER DEALER Account Conversions

**The OpsDog Financial Services Hierarchy**

- Broker Dealer
  - Insurance
  - Banking
  - Investment/Asset Management
  - Consumer Finance
- Investment Management
  - Account Conversions
  - Investment Banking
  - Sales & Trading
  - Investment Research
  - Compliance & Risk Management
  - Trade Operations & Support
  - Investing & Lending

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**Account Conversions: Workflow**

- Conversion Instruction & Authorization
- Securities Transfer

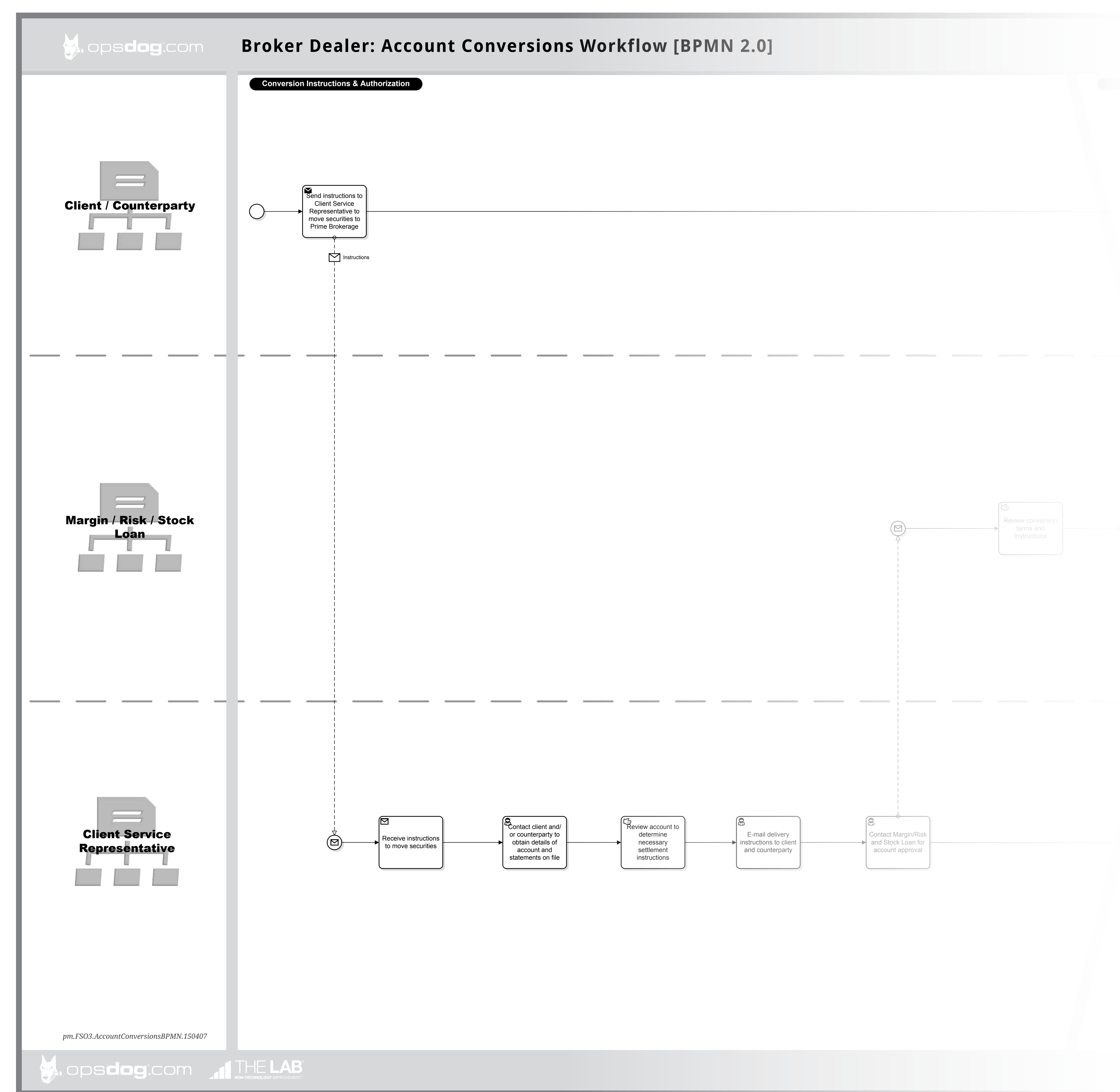
**Workflow Description**

The movement of client securities (or other assets) to a prime brokerage account. Includes review of client account, review and approval of transfer terms and conditions and electronic transfer of funds to new prime brokerage account.

**Legend**

- Start Event
- Intermediate Event
- End Event
- Gateway
- Group
- Task
- Expanded Sub-Process
- Pool
- Sequence Flow
- Message Flow

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Login to **OpsDog** to purchase the full workflow template (available in PDF, Visio, PPT)

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