

opsdog

WORKFLOW

BPMN 2.0 FORMAT

BROKER DEALER Account Opening

The OpsDog Financial Services Hierarchy

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

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Account Opening: Workflow

- Account Opening & Documentation
- Authorization & Rollout

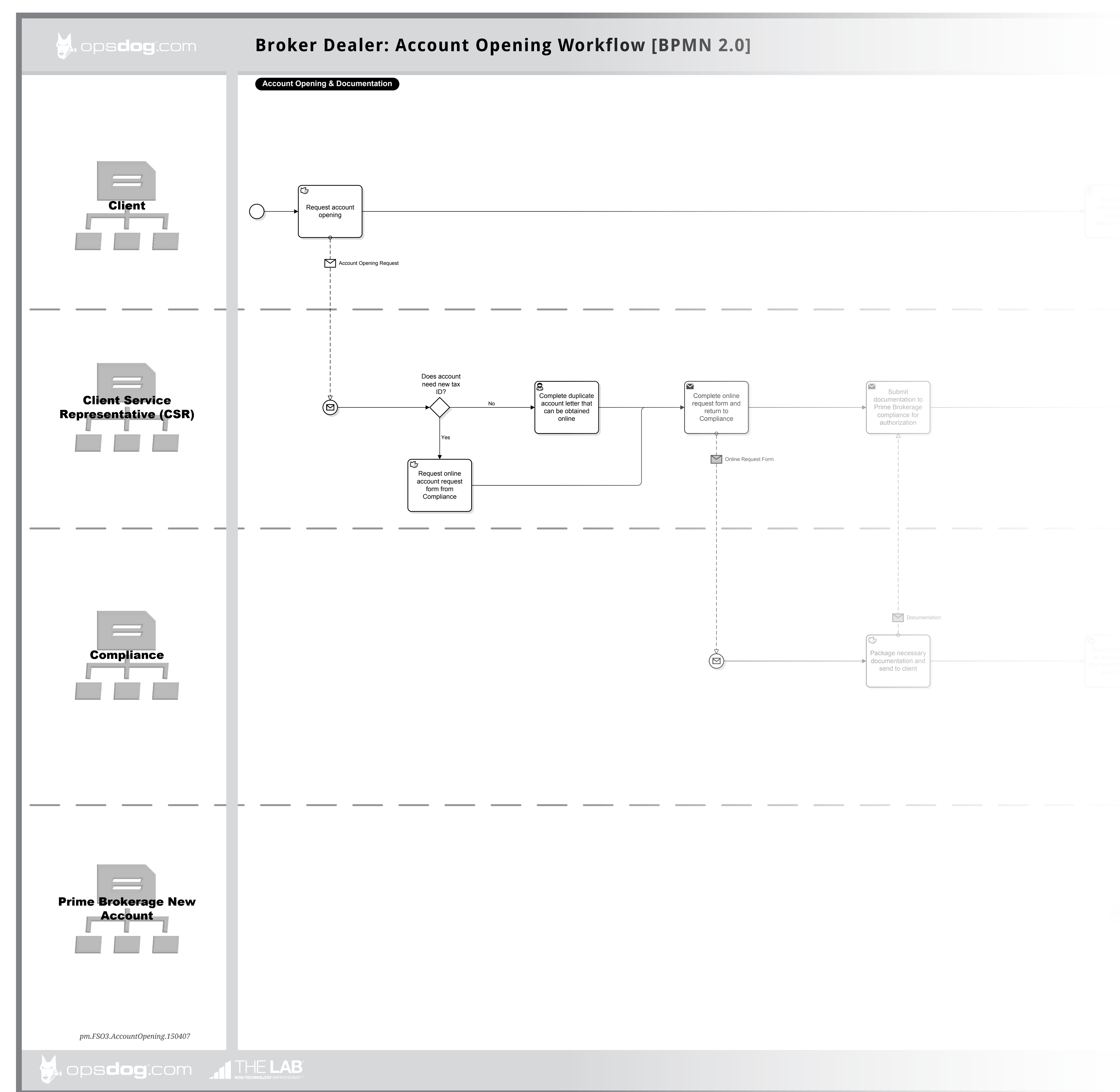
Workflow Description

The initial setup and opening of new prime brokerage customer accounts. Includes customer information collection, submission of information to prime brokerage compliance group, account number assignment and initial funds transfer.

Legend

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

DO-IT-YOURSELF BUSINESS PROCESS IMPROVEMENT



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