

opsdog

WORKFLOW

BROKER DEALER

CM Listed Derivatives

BRM 2.0 FORMAT

The OpsDog Financial Services Hierarchy

- Broker Dealer
 - Insurance
 - Banking
 - Investment/Asset Management
 - Consumer Finance
- Investment Management
- Investment Banking
- Sales & Trading
- Investment Research
- Compliance & Risk Management
- Trade Operations & Support**
 - Collateral Management Listed Derivatives**
- Investing & Lending

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Collateral Management - Listed Derivatives: Workflow

- A Data Capture
- B Calculate Call
- C Call Processing
- D Reporting

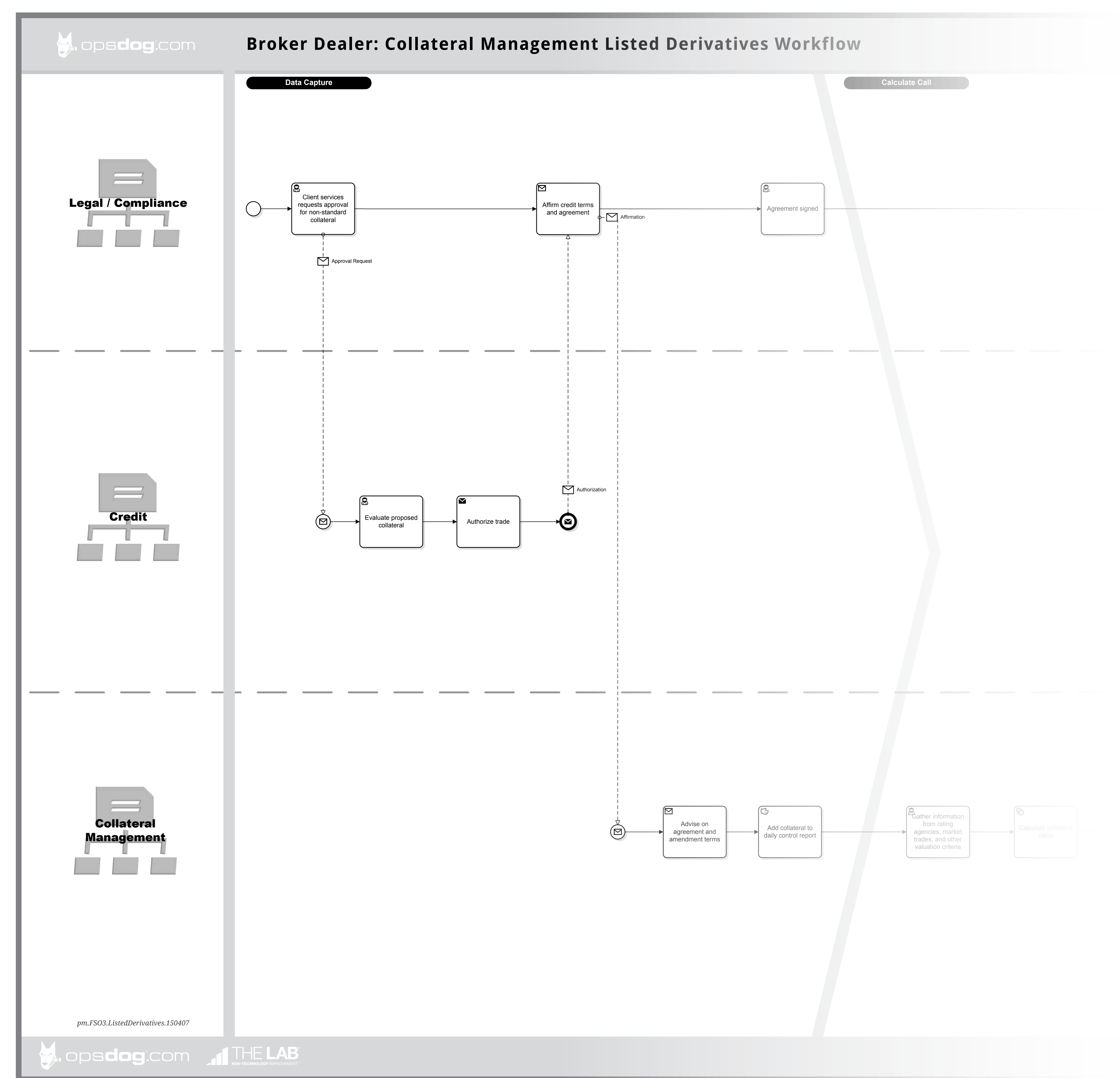
Workflow Description

The evaluation and authorization of collateral for listed derivatives. Includes request for collateral, collateral term agreement, calculation of collateral value, margin calls and interest, collateral and trade value reporting.

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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