

**opsdog**

**BPMN 2.0 FORMAT**

## BROKER DEALER Retail Trade Capture

**The OpsDog Financial Services Hierarchy**

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

www.OpsDog.com | info@OpsDog.com | Phone: 201.526.1200 | www.TheLabConsulting.com

**Retail Trade Capture: Workflow**

Trade Capture

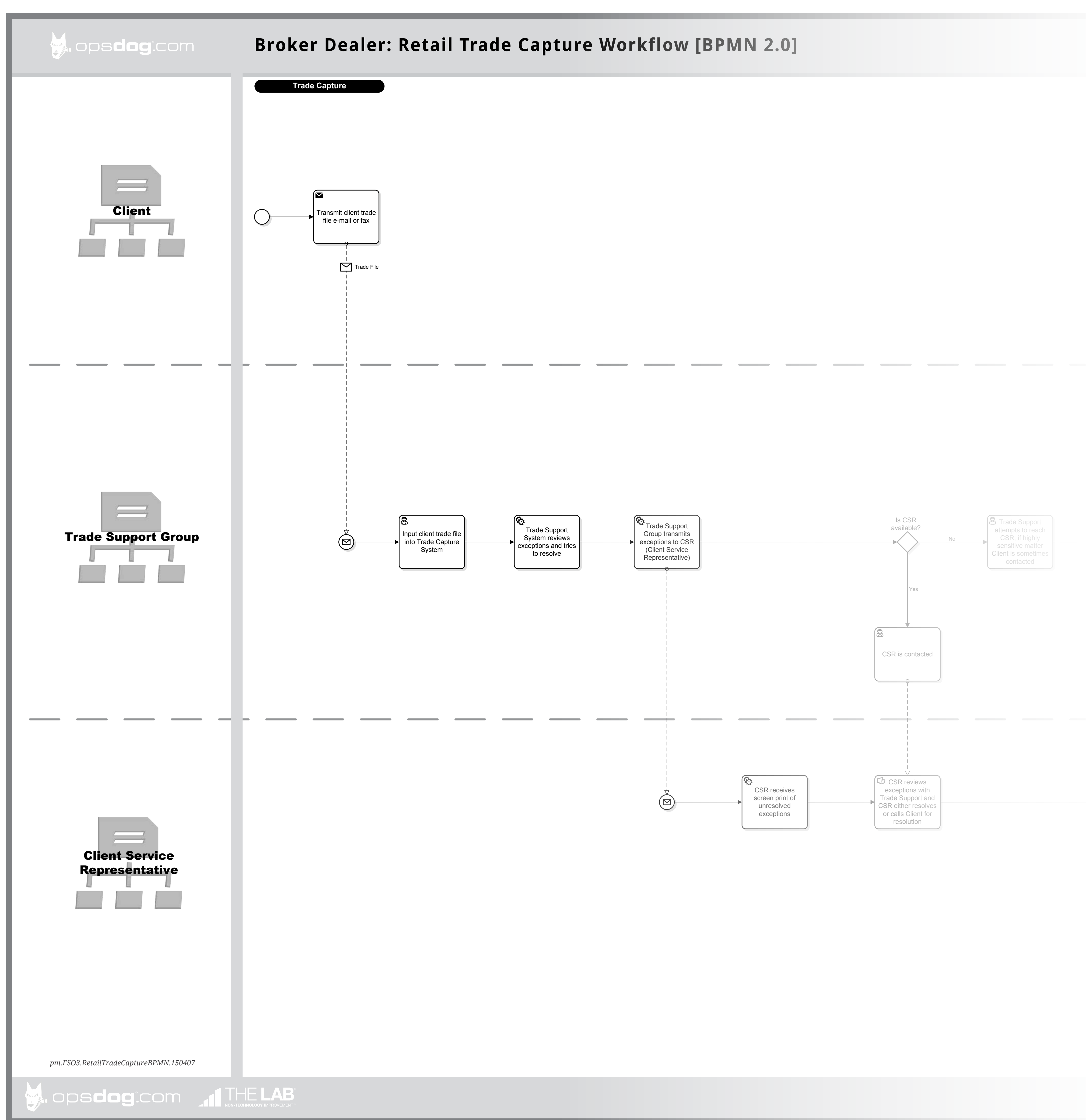
**Workflow Description**

The processing and transmission of details on specific client trades. Includes trade exception review and resolution, client contact (if needed), price change requests and price overrides.

**Legend**

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

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