

opsdog

WORKFLOW

BROKER DEALER Trade Reconciliation

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**
 - Trade Reconciliation**
- Investing & Lending

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Trade Reconciliation: Workflow

- A Trade & Position Reconciliation
- B Top Day Checkout

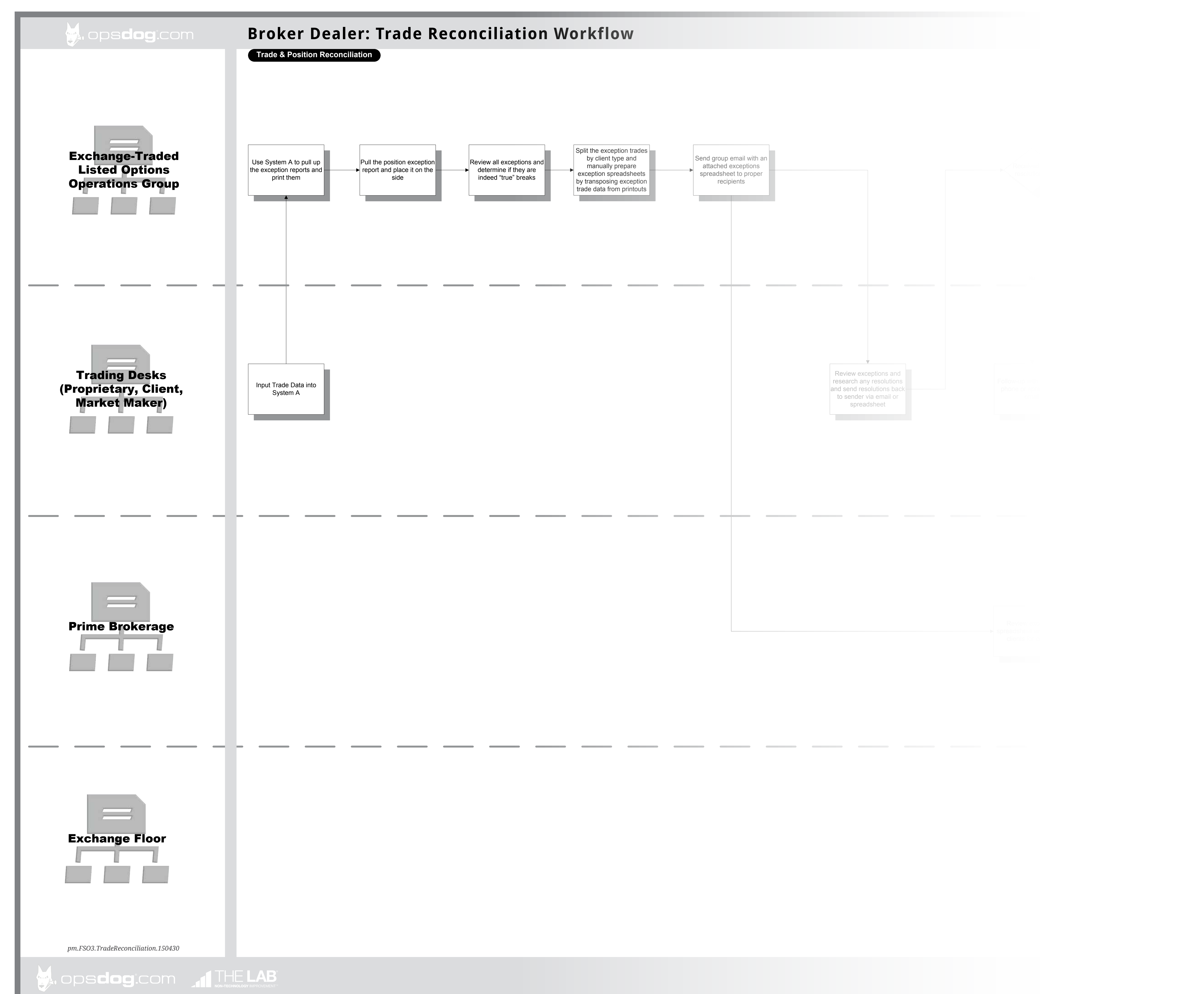
Workflow Description

The identification, research and resolution of trade breaks. Includes trade exception reporting, exception review, resolution (and transmission of resolutions to stakeholders) and eventual cancellation or execution of corrected trade.

Legend

- Sequence Flow
- Message Flow
- Task
- Decision Point
- Chevron Title
- Swimlane Title

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