

**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

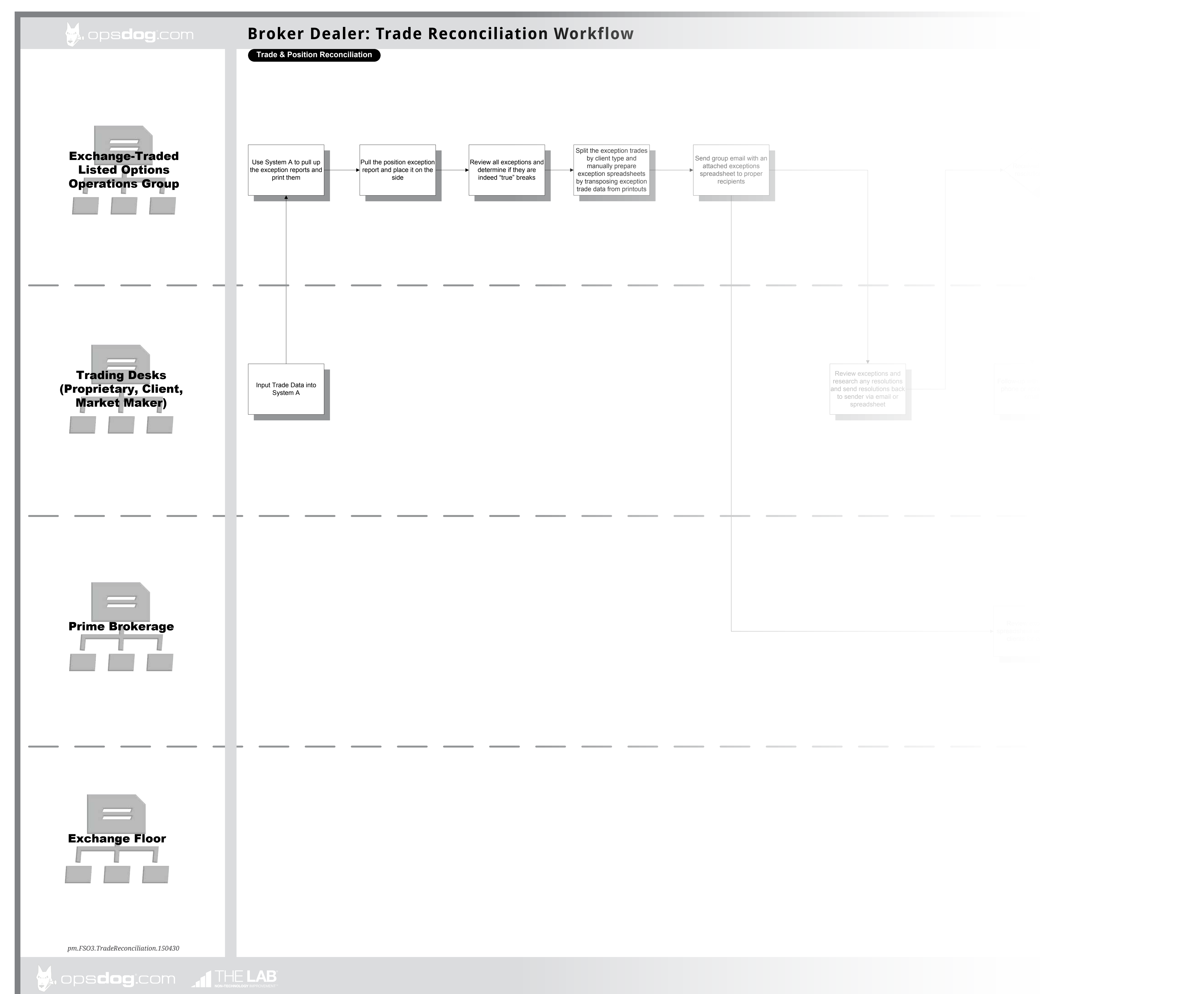
**Workflow Description**

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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