



Financial Services

BROKER DEALER / INVESTMENT ADVISOR SERVICES

At TRAC Financial Services (TRAC), we service the needs of the broker dealer and Investment Advisor community. We are able to assist you in a number of different ways to compliment the needs of your business. Whether your firm is early or late in its financial life or somewhere in between there are always issues that threaten to disrupt your business. Let TRAC solve these challenges while you focus on revenue generation and your client relationships.

FINANCIAL SERVICES

BackOffice Operations

Our team has an extensive history of creating solutions for operations issues. Whether you are looking for processing efficiencies, enhanced productivity or training, TRAC is prepared to assist you.

- ACATS
- Clearance & Settlements
- Mutual Funds
- Tax
- Corporate Actions / Dividends
- DTCC, Fed, Foreign
- New Accounts
- Trading / Execution
- Margins
- P&S
- Wealth Management
- Cashiering Services

Brokerage Services

- Clearing Firm Due Diligence
 - Needs analysis
 - Review and evaluation of clearing firm solutions
 - Contract negotiations
 - Fee negotiations
 - Request for proposals, preparation and evaluation
- Self-Clearing Evaluations
 - Review and evaluation of self-clearing requirements
 - Needs analysis
 - Technology requirements, and solutions available
 - Vendor requirements and solutions available
 - Industry utility requirements (DTCC, NSCC, and others)
 - Human resource requirements
 - Infrastructure requirements
- Conversions
 - Assist with all aspects of the conversion process
- Business Consolidation
 - If you are looking to move from an independent model and consolidate (piggyback, DBA, etc.) with another broker dealer, TRAC Financial will work directly with you throughout the entire process.
- International Business Relationships
 - Retail customer access
 - US markets / Foreign markets
 - Discount trading
 - Full retail services

Discover the Difference



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COMPLIANCE SERVICES

Compliance

- Evaluation of open compliance Issues
 - Recommend and assist with implementation of solutions
- Written supervisory procedures
 - Review
 - Enhancements due to changes in product offerings
- Implementation of SRO recommendations

Regulatory

- Review of new regulations
 - Advise and assist with implementation and documentation.
- Regulatory exam preparation and response
- Effective use of clearing firm reports and creation of new reports responsive to your business mix

Risk Management

- Evaluation of current risk controls and implementation of recommended enhancements
- Changes in business mix that may require new or expanded risk controls
- Report evaluation, creation, implementation

BUSINESS SERVICES

Strategic and Business Planning

- Business analysis and competitive positioning
- Building the plan
- Organizational alignment
- Leadership, coaching and organizational change
- Executing the plan
- Business process improvement
- Re-engineering
- Customer service
- Business performance reviews and plan update



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TECHNOLOGY SERVICES

Technology Services

- Business Solution Design and Development

Software system design and development solutions customized to meet the needs of your organization. Solutions include:

- System architecture and design guidance
- Operational efficiency tools including workflow automation of business processes
- Billing systems
- Call tracking

- IT Business Alignment

Consulting services designed to help you measure and align your valuable IT operations to your business vision. Solutions include:

- Review and establish IT governance processes
- Review and create business technical policy compliance
- Risk assessment and disaster recovery planning
- Review and establish general IT operations: systems, budgets, and people.
- Review and create product and service offering roadmaps

TRAC Financial stands ready to assist you with both your long and short term needs.

Discover the Difference