

BEYOND SERIES 27 – COMPLIANCE ISSUES FOR FINOPS

FINOP REFRESHER

- Balance Sheet
- Net Allowable
- Haircuts
- Net Capital Computation
- Computation AI
- Reserve Requirement / Deposit

RULES AND REGULATIONS IMPACTING A FIRM’S FINANCIAL COMPLIANCE

- Net Capital Rules
- Recordkeeping and Retention
- Customer Protection Rule
- Proprietary Accounts of Introducing Brokers (PAIB)
- SEC and SRO Rules and Regulations
- Uniform Practice Rules

“WHAT EVERY FINOP SHOULD KNOW TO PROTECT THEIR FIRM AND THEMSELVES”

- Regulatory Environment – It’s a Battle Field Out There – So Be Careful!
- Organizational Structure – How you are structured does matter!
- Documenting Capital Infusions – Do’s and Don’ts
- Using Subordinated Loans – The Ins and the Outs
- Capital Withdrawals – Are not “Automatic Withdrawals”
- Impact Issues – Watching Out for the “Lurky Lurks”
- Private Placements/Escrow Issues – How not to become a casualty!
- Inter-company Loans & Other Affiliate Issues – “Doing Business with Family”
- Charges Against Net Capital – “Lest we forget”
- General Minefields – Just when you thought it was over
- 10 Deadly Sins – How not to sink your own ship
- Regulatory Exams – The proof is in the pudding

OPEN FORUM