

# Policies & Procedures for Broker Dealers



Wolters Kluwer  
Financial Services

Published by leading compliance experts and legal contributors, Policies & Procedures for Broker Dealers is the most comprehensive solution for assembling and updating the policies and procedures required by regulators. With an integrated and customizable technology, Policies & Procedures for Broker Dealers will transform the way broker-dealers—both large and small—comply with the written procedure rules.

Policies & Procedures for Broker Dealers is the only solution that combines the content expertise of the most recognizable name in the compliance business with the flexibility to integrate your existing content into one revolutionary workflow solution..

## Policies & Procedures for Broker Dealers Can Help You:

- Comply with NASD, NYSE, MSRB and SEC regulatory rules
- Assemble and update broker-dealer supervisory procedures required by regulators
- Edit and customize your content in a web-based, Word-friendly environment
- Seamlessly integrate your existing content
- Approve and publish your manual throughout your organization via the web
- Monitor and organize all key regulatory and filing deadlines

## Complete Regulatory Coverage

Policies & Procedures for Broker Dealers provides expert guidance in creating and maintaining a policies and procedures program that covers subjects under NASD, NYSE, MSRB and SEC regulatory rules such as: AML, Supervisory Controls, Insider Trading, Business Continuity Plans, Best Execution, Regulation SHO, Instant Messaging and Emails, Mutual Fund Sales Practices, Conflicts of Interest, Insurance Products Sales Practices, and Employee Registration and Licensing among others.

## Comprehensive Chapters

Our experts compiled 33 comprehensive chapters covering a wide variety of compliance issues you confront in your day-to-day operations, including:

- Communication with the Public
- Mutual Funds
- Supervisory System, Procedures and Controls
- Financial Operations and Procedures
- OTC Equity Trading and Market Making

## User Friendly, Web-Based Solution

Web-based editing in a Word-friendly environment gives you the ability to make changes and customize your content. It also enables multiple editors, which you authorize, to work on different sections of the same manual – directly on the web. Approve edits, publish a new version and securely distribute your manual to your entire organization via the web – easily and effortlessly.

# Policies & Procedures for Broker Dealers will transform the way broker-dealers—both large and small—comply with the written procedure rules.

## Complete Customization

Our powerful Policies & Procedures Wizard guides you through the manual assembly process. Each question is designed to gather information about your firm in order to provide customized content for your manual. Policies & Procedures for Broker Dealers allows you to seamlessly integrate your existing content as needed. Once created, our online editing platform allows you to easily apply firm-specific information to your compliance manual.

## Analytical Updates

Updates are published regularly, eliminating the need to monitor and interpret all the regulatory changes that affect broker-dealers. Our service provides your firm with the research, analysis and preparation of compliance policies and procedures that you can confidently apply to your manual.

## Archiving and Disaster Recovery

Previous versions of your manual are indexed and archived according to date for easy reference. The manuals are hosted at a secure facility, ensuring that your most important work is safeguarded and available at any time.

## Newsletter and Calendar

Our bi-monthly newsletter provides in-depth explanation and insight on hot topics and recent regulatory changes. The Compliance Calendar allows you to monitor and organize all key regulatory and filing deadlines in one place.

## Proven Compliance Expertise

Applying the knowledge from their years in the securities industry and working with a team of legal contributors from some of the most prominent securities practices in the nation, our experts deliver succinct and easy-to-read compliance procedures that address the complexities of securities regulation

*Our team draws from their years of experience in the securities industry, including compliance, sales and branch management, working with our team of legal contributors from some of the most prominent securities practices in the nation.*

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