



# Financial and operations (FINOP) offerings

Broad support for FINOP reporting



## The challenge

Regulators are focusing more on broker-dealers and swap dealers, especially in areas such as financial adequacy, customer protection, and liquidity management. The Securities and Exchange Commission (SEC) also has complex and strict financial responsibility rules that require robust compliance measures. Companies are facing challenges in maintaining compliance, particularly as they grow and change, which can increase operational risks, accrue financial penalties, and impact reputations.

### Common challenges for broker-dealers and swap dealers include:

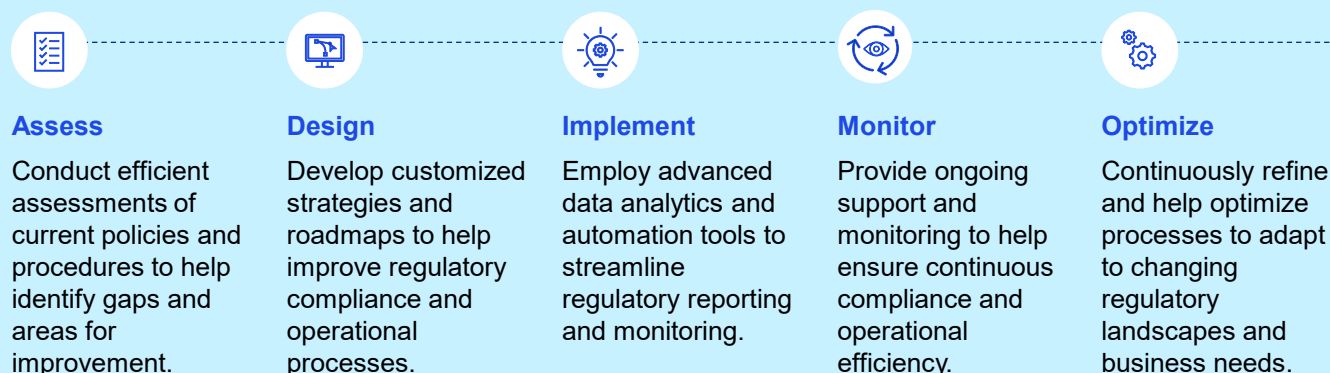
-  Complex and evolving regulatory requirements
-  High risk of financial instability and liquidity issues
-  Increased scrutiny from regulators
-  Need for improved customer protection.
-  Operational inefficiencies and manual processes

## The KPMG solution

**The KPMG Financial Services Regulatory, Risk & Compliance (FSRRC) Markets Compliance practice helps broker-dealers and swap dealers adhere to the financial responsibility rules of the SEC, Financial Industry Regulatory Authority, Commodity Futures Trading Commission, and other regulatory authorities. Our solutions provide detailed reviews, improvements to processes, and advanced data analytics to help reduce risks and improve efficiency.**

KPMG FSRRC Markets Compliance offers a team with deep regulatory experience and leading technology who can help deliver tailored solutions. Our professionals look closely at policies and procedures, map to applicable regulations, and suggest ways to improve operations. By automating key processes and improving control frameworks, we help firms achieve and maintain compliance.





## Our approach



## Potential benefits of our FINOP solutions

KPMG assists financial institutions in meeting regulatory obligations and optimizing related operations. We offer a FINOP conformance review that includes the identification of control gaps and potential reporting errors. This is done through detailed analyses to produce reports with recommendations relating to areas such as conducting daily 15c3-3 customer reserve computations, funding and capital management, and analysis of internal controls over compliance pursuant to SEC Rule 17a-5 for financial reporting and customer account statements. Peer benchmarking provides insights from previous experiences with similar organizations, as well as reporting metrics and exception data from rigorous testing for informed decision-making. Additionally, KPMG employs automated data analytics for compliance with consolidated audit trail and electronic blue sheet reporting standards.

### We provide:

	<b>Thorough reviews</b>	We look closely at controls, policies, and procedures to identify gaps and opportunities to improve.
	<b>Advanced data analytics</b>	New data analytics are used to rigorously test regulatory reporting for completeness, accuracy, and timeliness.
	<b>Customized solutions</b>	Solutions are tailored for the specific business needs of each client scenario. They are designed based on applicable rules and leading practices in the industry.
	<b>Specialist support</b>	A team of experienced professionals provides ongoing support and guidance to help you navigate complex regulatory landscapes.

## Forward-thinking approach

KPMG recognizes that regulatory compliance involves more than just meeting requirements; it also includes contributing to long-term business sustainability. The FSRRRC Markets Compliance solution is designed to be an integral part of an organization's digital transformation journey. We help clients achieve compliance and optimize their FINOP processes for growth and efficiency. With extensive industry knowledge and a strong grasp of regulations, KPMG helps to ensure effective results, allowing you to focus on business goals with confidence in your compliance management.

Discover more about FINOP offerings [here](#).

## Contact us



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