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INTRODUCTION This

Manual is designed to

be a reference and

training tool for all

associated personnel of

member Firms of the

Eastern Caribbean

Securities

Exchange(ECSE). Its

purpose is to ensure

that they understand

the manner in which

the Firm should

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Brokerage Operations -
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What is Brokerage
Operations? Once a
firm's trader enters
into a securities
transaction on behalf
of the brokerage firm
and/or its clients, the
responsibility for the
conclusion of that
transaction is passed
from the Front Office to
the Brokerage

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AND PROCEDURE
MANUAL DEFINITIONS
Jurisdiction's regulatory
authority -
Commission, Council,
Board, etc. Broker - the
supervising managing
broker (broker).
Employee - Salaried
employee as defined

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by jurisdiction's
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authority. Independent
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who contracts for a
specific task or job and
responsible

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licensing, broker compliance, broker accounts or self-inspection. The complicated world of Customs brokers is ever changing. We will ensure that the Broker Management Handbook will

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Investment banking operations also engage in the underwriting of securities offerings. When a broker-dealer acts as an agent of the issuing company, either ...

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informational purposes, we include here the major regulatory concerns relating to the operation of a broker-dealer, the rules from which the concerns arise, and examples of the procedures employed most firms to deal with the more significant rules and regulations.

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for private placement
offerings. In our role as
managing broker
dealer, Tobin &
Company Securities
LLC works closely with
the issuer's
management team in
the due diligence,

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process management
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Dealer. A Broker Dealer is a firm (sometimes a boutique or part of a large bank) that buys and sells securities and other financial instruments either for external clients (broker) or ...

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SECURITIES A Report

by the Division of

Market Regulation*

U.S. Securities and

Exchange Commission

October 1993

*Although the

Commission has

authorized publication

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of this report, it has expressed no view regarding the findings or conclusions herein.

Broker Management Handbook

This manual is divided into two parts – Operations & Supervision and Products & Sales which allows the appropriate portion from time to time to be updated and

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directed to the intended audience, i.e., back office operations and compliance staff or sales and marketing staff. Although this manual is very thorough, it does not and cannot cover

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Operations and
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Learn multiple aspects of brokerage operations as it responds to the many product processes offered in today's

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Broker/dealers simply want to service their clients and move their businesses forward, but many lack the resources to do so, and the road ahead is blocked by policy changes and regulatory obstacles. With no clear path outlined, what direction should you take?

You're not alone. LPL's

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dedicated consultants
can help you navigate
the way forward.

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