



BROKER-DEALERS

Focused on Staying Ahead of the Curve

Increased regulation and more stringent compliance are forcing broker-dealers to get a better grasp of their internal controls. With standards and rules changing every day, you need someone on your side who has a deep understanding of what it takes to help you navigate the demands of this fast-moving industry. Citrin Cooperman's dedicated Broker-Dealer Practice is at the forefront of these changes.

How Citrin Cooperman Can Help

Our practice provides consulting, audit, and tax services to broker-dealers of all sizes. We are veterans in the securities industry and are active members of SIFMA Internal Audit Society, the New York State Society of Certified Public Accountants, the Stock Brokerage Accounting Committee, and the American Institute of Certified Public Accountants. We work with chief executive officers,

Related Practices

Financial Services

Hedge Funds

Private Equity and Capital Markets

compliance officers, and both in-house and outsourced financial and operations principals (FINOPs).

We currently provide services to more than 40 broker-dealers, ranging in scope from single-office to global clients, including:

- Broker-dealers dually registered as investment advisors
- Broker-dealers registered under Rule 15a-6
- Broker-dealers that execute for financial institutions
- Clearing and carrying brokers
- Investment bankers
- Proprietary traders
- Underwriters

Related Services

- Advisory services as they relate to FINRA, the SEC, CFTC, the National Futures Association, and other regulatory agencies
- Business tax return preparation and review, as well as principals' individual tax returns (as appropriate)
- Customer reserve computation
- Evaluation and improvement of internal controls
- Financial statement audits
- Initial capitalization and organizational structure
- Internal accounting
- Net capital accounting assistance and back office
- Personnel and human resource operations