Branch Exam Instructions and Guidance

Helpful Tips

- The branch manager interview takes approximately one hour. Please contact me before your visit if you prefer to schedule an interview time.
- We require access to all computers. Please ensure all laptops are brought into the office the day of the exam. If a computer will not be available on the date of the exam, another visit to your office will be necessary.
- The content of all cabinets, desk drawers, and other storage mediums in your office will be inspected.

Please have the following files and their contents readily available during the branch exam:

- Advertising File
- Sponsor Approved Advertising File (if applicable)
- All versions of business cards, letterhead and envelopes used by everyone in this branch office
- Incoming Correspondence – Brokerage
- Outgoing Correspondence – Brokerage
- Complaint File – Brokerage
- Complaint File – Options (if applicable)
- Complaint File – Commodities (if applicable)
- Do Not Call List
- Signature Guarantee Log (if applicable)
- Cash/Non-Cash Compensation Log
- Daily Deposit Report (if using local deposit program)
- Remote Deposit Check File (if applicable)
- Non-Local Deposit Check Log
- Securities Receipt Log
- Alternative Investment Trade Blotter File (for transactions placed prior to November 15, 2014 when not using eBTR)
- FINRA manual (or web access)
- Operations Manual and Compliance Manual (or access to Resource Center)
- Client Files
- Prospectus Delivery Log
- Branch Office Business Continuity Plan

If transacting advisory business:

- Advisory Advertising File
- Advisory Complaint File
- Advisory Incoming Correspondence File
- Advisory Outgoing Correspondence File

If registered with the SEC or the state as a Registered Investment Advisor:

- RIA Advertising File
- RIA Complaint File
- RIA Incoming Correspondence File
- RIA Outgoing Correspondence File
- RIA Ledger of Fees Billed / Received