

# Reduce your risk to segregation deficits

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- Firms lack automated systems to manage firm-wide deficit/violation analysis
  - Lack of governance/verifiability of deficit/potential violation creation
  - Aged Deficits and Possession or Control violations have reputational and financial risk
  - No causal analysis or insight into problem identification and resolution
  - Many firms currently have manual and inefficient process

## THE CURRENT TREND

Firms are facing more complexity and uncertainty than ever before, including the growing risk of not being able to calculate and manage deficits of shares on a timely basis.

Some firms deal with Segregation Deficits using manual processes (e.g., shared spreadsheet technology) among multiple departments. Such manual processes and inefficient workflows often create bottlenecks and accompanying time delays as only one person at a time can work on an item before sending it on to the next person for further processing.

Manual processes are also prone to human error as the number of touchpoints increases. Further, there may be insufficient or no archival or audit trail to provide to auditors and regulators (FINRA) for validation purposes.

## LEVERAGING TECHNOLOGY TO MEET THE CHALLENGE

Adding efficiency to operations, accelerating the adoption of new technologies, and responding to business conditions is critical. Broadridge's Ascendis Segregation Deficits application is an alternative to the costly resource and expense-draining manual process or an in-house developed program.

Ascendis Segregation Deficits helps brokerage firms identify potential Possession or Control Violations and Age Deficits. This solution helps firms handle the complexity, management and proper maintenance / oversight of all firm-wide deficits and potential SEC 15c3-3 violations through a single web-based platform.

Firms establish their own business rules for routing and assignment of cases, and the aging/prioritization of cases to facilitate action on the highest priority cases first.

Once assigned, cases are accessible to multiple parties and can be worked on simultaneously. All the information needed to work the case is provided within the application; eliminating the need to view other applications or screens. The application highlights potential segregation violations vs. normal cause for business deficits.

Deficit cases are aged by calendar or business day to accurately monitor when an aged deficit becomes actionable and needs to be closed out. Ascendis Segregation Deficits tracks the allocation of deficits, allowing the firm to act in the proper timeframe. Cases are automatically closed when deficits are resolved; and a complete, non-editable audit trail of actions for each case is produced.

## CHOOSE BROADRIDGE

Clients need tools to turn disruption into opportunities—enriching client engagement, navigating risk, optimizing operations and growing revenue, and meet the needs of today and tomorrow. We help them make decisions that create this transformation.

For additional information, please contact your Broadridge Account Manager or visit our [website](#).

Home / Case Detail SEG

Case Details 3489476 As of: 10/22/2019 17:40:42 Case List | Read Previous | Read Next

-- Action --

### Case Details

Queue Level 1	Seg Deficit	ISIN	Security	A104334	CUSIP	000255109
SEG Requirements	15,200.000000	GCL Qty	14,300.000000	Qty	(900.000000)	Market Value
Age	4	Process Date	10/21/2019	Active/ Inactive	InActive	User Role
Bucket	Customer Short					ASG

### Security Detail

Date Updated	10/22/2019	PDQ	0.00000	SEG Req	15,200.00000	Description	***A&W REVENUE ROYALTIES
SIAC Night Activity	0.00000	Previous SEG Req	15,200.00000	Closing PE	(900.00000)	Legal Adj	0.00000
Today for Tmw	0.00000	CMS Control Adj	0.00000	Optimization of Seg	0.00000	Starting CMS P/E	(900.00000)
Cams SEG	0.00000	Rec Final P/E	(900.00000)	Unpaid Cash	0.00000	Deficit	(900.00000)
Previous Excess/Deficit	(900.00000)	GCL Quantity	14,300.00000	Previous GCL Quantity	14,300.00000	OLB Quantity	0.00000
Illogical Box Quantity	0.00000	DTC Break Quantity	0.00000	Stock Record Break Quantity	200.00000		

Bucket Audit Depository Customer CAMS Seg PDQ

### Export

ALL	Details	Account Identifier	Settlement Position	Age	Active/ Inactive
<input type="checkbox"/>	Detail	9800000417	(1,000.000000)	1	InActive

Home / Firm View Actions

Filtering: Application ID= 15, Dimension ID= 0

ALL	Details	CUSIP	Day One Case	SEG Rec	SEG Req +/-	GCL	GCL +/-	Deficit Qty	Deficit Qty +/-	Age	Exception Case
<input type="checkbox"/>	Detail	000360206	Yes	110.000000	110.000000	78.000000	(11.000000)	(32.000000)	32.000000	1	No
<input type="checkbox"/>	Detail	000361105	Yes	72.000000	72.000000	25.000000	5.000000	(47.000000)	47.000000	1	No
<input type="checkbox"/>	Detail	000957100	Yes	180.000000	180.000000	37.000000	(13.000000)	(143.000000)	143.000000	1	No
<input type="checkbox"/>	Detail	00163U106	Yes	92.000000	92.000000	67.000000	(21.000000)	(25.000000)	25.000000	1	No
<input type="checkbox"/>	Detail	00508X203	Yes	148.000000	148.000000	97.000000	58.000000	(51.000000)	51.000000	1	No
<input type="checkbox"/>	Detail	00766T100	Yes	4,746.000000	1,593.000000	3,891.000000	(29,449.000000)	(855.000000)	855.000000	1	No
<input type="checkbox"/>	Detail	007973100	Yes	104.000000	104.000000	12.000000	6.000000	(92.000000)	92.000000	1	No
<input type="checkbox"/>	Detail	011642105	Yes	98.000000	98.000000	26.000000	14.000000	(72.000000)	72.000000	1	No
<input type="checkbox"/>	Detail	012653101	Yes	169,355.000000	677.000000	168,822.000000	137.000000	(533.000000)	533.000000	1	No
<input type="checkbox"/>	Detail	01973R101	Yes	161,560.000000	3,440.000000	160,933.000000	2,744.000000	(627.000000)	627.000000	1	No
<input type="checkbox"/>	Detail	02913V103	Yes	11,563.000000	43.000000	11,520.000000	(1,757.000000)	(43.000000)	43.000000	1	No
<input type="checkbox"/>	Detail	030506109	Yes	2,018.000000	1,942.000000	2,002.000000	1,926.000000	(16.000000)	16.000000	1	No
<input type="checkbox"/>	Detail	03071H100	Yes	52.000000	52.000000	51.000000	2.000000	(1.000000)	1.000000	1	No
<input type="checkbox"/>	Detail	03076K108	Yes	28,916.000000	72.000000	28,914.000000	70.000000	(2.000000)	2.000000	1	No
<input type="checkbox"/>	Detail	03209R103	Yes	93.000000	29.000000	64.000000	0.000000	(29.000000)	29.000000	1	No
<input type="checkbox"/>	Detail	035290105	Yes	588.000000	81.000000	552.000000	42.000000	(36.000000)	36.000000	1	No
<input type="checkbox"/>	Detail	03762U105	Yes	386.000000	386.000000	57.000000	2.000000	(329.000000)	329.000000	1	No
<input type="checkbox"/>	Detail	037833100	Yes	3,622,212.000000	42,005.000000	3,621,692.000000	41,485.000000	(520.000000)	520.000000	1	No
<input type="checkbox"/>	Detail	039653100	Yes	3,965.000000	1,931.000000	3,847.000000	1,724.000000	(118.000000)	118.000000	1	No

Broadridge, a global Fintech leader with over \$4 billion in revenues and part of the S&P 500® Index, provides communications, technology, data and analytics. We help drive business transformation for our clients with solutions for enriching client engagement, navigating risk, optimizing efficiency and generating revenue growth.

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