RISK ASSESSMENT WIZARD



TRADING AND BROKERAGE

Safety Guide

Financial Services

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Key Benefits	Control Measures	Checklist Items

KEY BENEFITS

Market Access

Provides access to financial markets and liquidity.

Fast Execution

Facilitates fast and efficient trade execution.

Opportunities

Enables portfolio diversification and investment opportunities.

Price Discovery

Supports price discovery and market transparency.

KEY HAZARDS & CONTROL MEASURES

Market Volatility

- ✔ Position limits
- ✔ Real-time monitoring
- ✔ Stop-loss mechanisms
- ✔ Margin requirements

System Failures

- ✔ Redundant systems
- ✔ Disaster recovery plans
- ✔ System monitoring
- ✔ Backup procedures

Regulatory Breaches

- ✔ Trade surveillance systems
- ✔ Compliance monitoring
- ✔ Regulatory reporting
- ✔ Staff compliance training

Unauthorized Trading

- ✔ Access controls
- ✔ Trade authorization procedures
- ✔ Audit trails
- ✔ Segregation of duties

RISK ASSESSMENT WIZARD

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390+

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