



RISK ASSESSMENT  
WIZARD



# TRADING AND BROKERAGE

Safety Guide

Financial Services

4

Key Benefits

16

Control Measures

3

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
- ✓ Stop-loss mechanisms
- ✓ Real-time monitoring
- ✓ Margin requirements

**System Failures**

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

**Regulatory Breaches**

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

**Unauthorized Trading**

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



RISK ASSESSMENT  
WIZARD

# Take Your Safety To The Next Level

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