

Custom Clearing Services

Disciplined Risk Management

LPL Financial Custom Clearing Services will significantly mitigate FINRA/SEC regulatory risk for your organization by providing diligent oversight of all clearing operations. In addition, you maintain full control over who in your organization has access to the trading platform. Our compliance tools allow you to automate many branch responsibilities and enhance your headquarter processes.

Breakpoint calculator

If you choose, your financial advisors can access our automatic breakpoint calculator for brokerage load funds. The calculator is maintained with fully compliant real time information from prospectus requirements of each fund company. This important tool helps advisors stay compliant with FINRA/SEC regulations governing breakpoints.

Customizable surveillance reports

Both branch and headquarters staff will have access to integrated reporting systems that allow accurate oversight of all trading activities.

- Access to accurate metrics and reporting at an enterprise level on number of actual households an advisor manages
- View total book of business through customized reporting systems
- Access to surveillance reports on reps that place direct mutual fund business
- Access to records retention program and processes