

Branch Office Inspection Services



Comprehensive Review of Your Branch Office Network

Our compliance professionals provide:

- » Detailed inspections of branch networks for both Broker-Dealers (BDs) and Registered Investment Advisers (RIAs)
- » Perspective and insights from an experienced exam team including former regulators and chief compliance officers
- » A technology-agnostic approach, ongoing risk-analysis, and detailed reporting

BRANCH OFFICE INSPECTION SERVICES

Optimize Your Compliance Review with a Team You Can Trust

DFP Partners executes thorough branch inspections to review each office's adherence to your firm's compliance program, while ensuring a complete review of activities as mandated by regulatory requirements.

A Thorough Assessment of Your Firm

Our compliance professionals work directly with your home office and across your network to satisfy inspection requirements, helping you to maintain ongoing regulatory compliance.

EVERY BRANCH OFFICE INSPECTION INCLUDES:

- » Objective review of office operations and communications
- » Comprehensive risk analysis of processes and documentation practices
- » Guidance from licensed compliance professionals and former regulators
- » Support during development of remediation plans
- » Consistent and regular communication between DFP professionals and your home office

What to Expect

Data-Driven Risk Analysis

Our team collects, organizes, and analyzes firm data to perform a comprehensive assessment of every office within your network. Through a series of inquiries with relevant personnel during remote interviews, surveys, and on-site visits, we build a complete picture of each office resulting in an objective inspection report.

Expert-Informed Review Practices

Each phase of the inspection process is guided by our experienced compliance professionals, including both former regulators and chief compliance officers who are well-versed in industry regulations. With our detail-oriented, data-driven approach, we assess each branch office to anticipate potential issues and recommend corrective action.

Full-Service Support

With support from our dedicated team of industry professionals, you can feel confident that your branch office inspection program is being reviewed thoroughly and executed upon consistently. Keeping remote working trends and evolving regulatory requirements in mind, we work diligently alongside your staff throughout the inspection process to enhance scalability and improve efficiency at every step.