



BXS **ANNUAL REGULATORY AUDITS**

BXS provides independent third-party regulatory audits and reviews that are required by FINRA and the Securities and Exchange Commission.

Backed by over 35 years of experience, BXS specializes in cross-asset electronic and DMA trading requirements, including REG NMS, SEC Rule 605, SEC Rule 606, CAT, TRACE, TRF and MSRB compliance reporting.

By utilizing our extensive knowledge of the development of forensic testing and risk assessment of compliance programs in accordance with SEC, FINRA, CFTC and NFA rules and regulations, your firm will limit the risk of costly fines. As subject matter experts, we work with you to evaluate, educate and advise on compliance requirements. BXS provides Regulatory audit services in accordance with FINRA RULE 3110 (Supervision), FINRA RULE 3120 (Supervisory Control System), FINRA RULE 3130 (Annual Certification), and AML (Anti-Money Laundering).



✓ **FINRA RULE 3110**
(Supervision)

✓ **FINRA RULE 3120**
(Supervisory Control System)

✓ **FINRA RULE 3130**
(Annual Certification)

✓ **Annual AML Audit**
(Anti-Money laundering)

✓ **SEC Mock Exams + Gap Analysis**

Contact us today for your Independent Third-Party Review!

646.202.9414

INFO@BXSTECH.COM

WWW.BXSTECH.COM