

Books and Records Requirements

Broker-Dealers and Investment Advisors make up the mainstay of the securities industry, one of the most regulated industries in the country. The SEC, NASD Regulation, State jurisdictions, and independent agencies regulate and review the business of the firm and its associated persons.

Essential to every Broker Dealer's and Investment Advisor's business are the records it generates and keeps in the normal course of doing business. These records provide a transactional and regulatory audit trail, and are required for regulatory reasons. More importantly, they are essential to properly and professionally service the investing public.

NCCI can help you:

- To define which records your firm needs
- Suggest record formats
- To plan for record maintenance
- Suggest an adequate books and records system