

Compliance Connections: Broker-Dealers – Preparing for Audit Season

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The year-end financial closing process and audit preparation “season” is coming sooner than you think. Understanding what your auditors will focus on is essential for you to play your part in making this regulatory requirement as pain free as possible. Remove the year-end angst by gaining a thorough understanding of how to properly prepare so you have a controlled process to ensure you meet that looming deadline.

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