
17a-5 Financial Reporting Responsibility (FRR) Factsheet:

Financial Reporting Responsibility was developed as an enhancement for all our major systems which will help with the documentation of the new Securities and Exchange Commission's (SEC) 17a-5 requirements that have been released.

When Dash Reg Tech 17a-5 Financial Reporting Responsibility (FRR) is enabled, any system launched will create a PRE-INI file with timestamps to show what the systems inputs and tables looked like (the whole file for better auditing standards) prior to calculation.

Dash Reg Tech 17a-5 FRR then creates a POST-INI file after calculation to highlight user changed configurations. The system also time stamps and prints the most popular user maintained tables. For example, inside of Fixed Income all user maintained 15c3-1 category files are set aside for future reference. This is to prove during an audit that you used the appropriate haircut percentages according to SEC rule 15c3-1 interps (Para A,F, etc). Additional tables to help support the calculation have been added.

Below is a list of systems and tables that are associated with the 17a-5 add-on:

1. FIH Tables: INI (Pre/Post), Govt Categories, Corp Categories, X Categories For Govt, Corp vs Govt Categories, Short Term Muni Categories, Municipal Categories, Para D Categories, Para E Categories, MBA Categories, Errorlog, Badmty, Audit Trail, Affiliated Debt
2. RRR: INI (Pre/Post), Holidays, Groups, 431 Rates, Rates, Net Capital
3. RBH: INI (Pre/Post), Net Capital, Minimum Hedge, Special Data, Convertibles, NonRB, Groups, ETF Specialist/Commodity
4. SBL: INI (Pre/Post), Agent & Principal Credit Limit, CP Credit Limit, CUSIP Credit Limit, FX, Net Capital, Groups, Name for Groups, CP Names, Expected Agents, Holidays
5. Sallie: INI (Pre/Post), Account Master, Allocation Hierarchy, Chart Of Accounts, Categories For Account Master, Exchange Rate Master, Pricing Master, Rules Master, Security Master