

TRADE EXECUTION AND CLEARING SERVICES

A missed instruction can prompt a trade claim.

You arrange or execute trades with duties tied to your specific role. Missed instructions and platform outages create data and liability exposure.

RISKS WORTH DISCUSSING

- 01 Delayed trade execution
- 02 Unsuitable investment recommendations
- 03 Client account funds theft

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quote today

Or call
800-777-1872



Coverage worth discussing



Professional liability

Eligible order or advice errors in accepted brokerage services.



Directors and officers

Covered management claims in accepted brokerage-entity roles.



Crime insurance

Defined theft involving insured interests in client assets.



Cyber liability

Covered trading-platform breach response and privacy claims.

Coverage is subject to policy terms and exclusions.

Why The Southern Agency

01 Listen

We review your operations, coverage and past claims.

02 Assess

We look at hazards and ways to reduce risk.

03 Build

We compare carriers, premiums and audit terms.

04 Support

We revisit coverage as your work changes.



SCAN TO

Read the full
guide

800-777-1872

TheSouthernAgency.com