

BROKERAGE, ADVICE AND FIRM SUPERVISION

Unapproved trades prompt claims.

You execute trades, provide recommendations and supervise representatives. Disputed instructions and compromised accounts need accepted firm, representative and supervisory capacities identified.

RISKS WORTH DISCUSSING

- 01 Unauthorized and unsuitable trades
- 02 Firm supervision conduct failures
- 03 Breach of client account data

Scan to get a
quote today

Or call
800-777-1872



Coverage worth discussing



Professional liability

Eligible errors in accepted brokerage or advisory services.



Cyber liability

Covered client-account record breaches and privacy claims.



Employment practices

Covered employment claims involving accepted staff or reps.



Crime insurance

Defined theft or transfer fraud involving insured client assets.



Commercial property

Insured office or trading technology after covered damage.

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