

I noticed on FINRA website that one of your approved third party vendor was SunGard. SunGard trade review system is called Prosurv. If this is the “advanced review system” you are depending on as your tool to sift through trades be aware that currently there is difficulty loading program for users to do reviews. Ounce on the site, Prosurv is flagging trades that absolutely should not be flagged, and it is not reporting at all some trades!. These problems have been going on for two months. No matter which “advanced system” you use this will happen. That is when you need knowledgeable people to “override” the incorrect Prosurv information and expand none flagged reviewing.

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