

Institutional Operations Maturity Checklist

Use this checklist to assess operational readiness across workflow, controls, and trust.

- 1) Workflow ownership and handoff clarity
- 2) Pre-trade controls and override governance
- 3) Execution lifecycle transparency
- 4) Post-trade exception management
- 5) Audit evidence and reporting readiness
- 6) Integration dependencies and rollout risk
- 7) Security and access control posture

Next step: map your scores to a phased implementation plan with Operfix.