

TROPTIONS · INSTITUTIONAL DOCUMENT SYSTEM

Broker-Dealer Onboarding and XRPL Vaulting Framework

Institutional Integration Model for Broker-Dealer Controls and XRPL Vault
Operations

For: Broker-dealer principals, legal/compliance teams, and institutional treasury operators

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Executive Summary

This framework defines the path to integrate a broker-dealer layer with TROPTIONS institutional treasury operations, including onboarding gates, role segregation, and XRPL vaulting controls for locked-asset verification programs.

Who This Document Is For

Teams planning a compliant escalation from internal validation workflows to broker-dealer-supported institutional execution architecture.

Required Information

- Target broker-dealer profile and jurisdiction
- Permitted activity scope
- XRPL vault architecture roles
- Settlement and reporting responsibilities
- Control handoff and accountability map
- Regulatory review milestones

Required Documents

- & Broker-dealer due diligence packet
- & Role and responsibility matrix
- & XRPL vault operating policy
- & Control and supervision procedures
- & Compliance reporting framework
- & Incident and contingency procedures

Step-by-Step Process

Step 1: Broker-Dealer Due Diligence

Validate licensing status, supervisory controls, jurisdiction fit, and permitted business scope.

Step 2: Control Model Design

Define clear separation of duties between TROPTIONS operators, broker-dealer principals, and compliance reviewers.

Step 3: XRPL Vault Topology

Design vault role set: issuer-facing addresses, distribution controls, verification-only read lanes, and lock-protected reserve addresses.

Step 4: Supervision and Reporting

Implement daily control attestations, exception reporting, and formal review cadence with named accountable owners.

Step 5: Phased Activation

Move from simulation to controlled operation in phases only after legal, compliance, and governance approvals are complete.

Approval Gates

- & Broker-dealer diligence approved
- & Legal integration model approved
- & Compliance supervision model approved

- & XRPL vault policy approved
- & Governance activation approval

Readiness Checklist

- & Broker-dealer candidate assessed
- & Role separation documented
- & Vault topology documented
- & Reporting controls configured
- & Phased activation plan approved

What Stays Blocked

- No production activation without broker-dealer/legal approval
- No collapse of segregated control roles
- No unmanaged discretionary vault operations

Common Blockers

- Licensing or jurisdiction mismatch
- Unclear supervision boundaries
- Incomplete vault operating policy
- Missing contingency controls

TROPTIONS System Handling

TROPTIONS should maintain this as a governance and integration blueprint with explicit stage gates, role accountability, and XRPL vault control records before any broker-dealer-backed operational rollout.

Final Checklist Before Submission

- & Broker-dealer diligence complete
- & Legal/compliance model approved
- & XRPL vault framework signed off
- & Reporting and supervision active
- & Phased activation authorization issued

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