

Global Bank Case Study: Post Trade Efficiency

DTCC'S CONSULTING SERVICES DELIVERS MARKET INSIGHTS, BENCHMARKING, MATURITY ASSESSMENTS, TARGET CONTROL FRAMEWORKS AND PEER ANALYSIS, IN ADDITION TO LARGE-SCALE PROCESS IMPROVEMENT AND CHANGE PROGRAMS BY LEVERAGING OUR INTERACTIONS, SERVICES AND PRODUCTS, AS WELL AS OUR INDUSTRY NETWORK. WE TAILOR THESE DELIVERABLES DAILY TO FIT OUR CLIENTS' NEEDS.

Project Type: Design & Deliver | **Client Type:** Global Custodian Bank | **Duration:** 7 months

BACKGROUND

DTCC Consulting Services was engaged by a global bank to conduct an independent review of their existing post-trade processes amidst their technological and procedural transformation to prepare for accelerated settlement. The current process had been operational for over a year with 13 workstreams spanning various business lines such as wealth management, asset management, brokerage, and middle office.

OUR APPROACH

During this engagement, we recognized that immersing ourselves within the client's existing post-trade process would enable us to identify gaps and recommend appropriate 'best practice' standards. This approach allowed us to identify the root causes of the issues, address them effectively, and implement meaningful changes.

➤ PHASE ONE: PROJECT MANAGEMENT AND WORKSTREAM OVERSIGHT

- Managed 13 workstreams, taking ownership of the three most complex.
- Acted flexibly as both project manager and subject matter expert, adapting to the project's needs.
- Reported project status updates to the client's steering committee and governance bodies.
- Ensured continuous stakeholder management to enable clear and effective dialogue between all involved parties.
- Facilitated communication for alignment and strategy review, keeping all stakeholders informed and engaged.

➤ PHASE TWO: INDUSTRY EXPERTISE AND REGULATORY COMPLIANCE

- Leveraged our industry subject matter expertise to address client queries related to accelerated settlement.
- Provided quality assurance by validating regulatory opinions and reviewing US and Canada regulations for compliance team sign-off.
- Led a team of Business Analysts to document Business Requirement Documents (BRDs) and support data analysis.

➤ PHASE THREE: TESTING STRATEGY REVIEW AND SUPPORT

- Reviewed the test strategy and plan to ensure it met the client's needs and regulatory standards.
- Coordinated with the client's internal teams, DTCC, and the T+1 industry testing team to align efforts and ensure a smooth start of T+1 testing.

IMPACT

After this engagement, the client successfully initiated their T+1 testing program, leveraging our expertise to navigate the complexities of the accelerated global program and maintaining compliance with industry standards.

WHAT WE DELIVERED

➤ Project Management Support in a complex accelerated settlement program

- Provided flexible project management support through a series of complex workstreams. Quality Assurance and Trusted Advisory on Technical Matters
- Acted as quality assurance and trusted advisor on technical matters related to accelerated settlement, leveraging our knowledge to answer client queries and validate regulatory opinions.

➤ Coordination and Support for Industry T+1 Testing

- Provided coordination and support for the client's T+1 testing, facilitating a successful kick-off and ensuring alignment with industry standards.

FOR MORE INFORMATION

To learn more about how DTCC Consulting Services can partner with you to help your firm, [contact us](#) via our website.

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