

U.S. Broker Case Study: T+1 Testing Support

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 and Deliver | **Client Type:** U.S. Broker | **Duration:** 10 weeks

BACKGROUND

DTCC Consulting Services was engaged by a U.S. Broker to help address challenges with their current T+1 testing program ahead of the implementation of T+1 to ensure compliance. These changes were dependent on the timeline of their vendors' T+1 implementation.

OUR APPROACH

➤ PHASE ONE: TESTING STRATEGY DEVELOPMENT

- We determined and validated the scope and optimal approach for testing, considering all relevant systems, teams, clients, contracts, and vendors.
- Built on the validated scope and structure to devise an end-to-end testing strategy that would prepare the client for T+1.

➤ PHASE TWO: TESTING SCENARIO CREATION

- Developed internal and external test scenarios relative to the agreed testing scope, incorporating those stipulated by broader industry testing.
- Created detailed scripts to support the execution of the test scenarios, accounting for the nuances and restrictions established within the client's testing environment.

➤ PHASE THREE: TESTING EXECUTION SUPPORT

- Established a governance structure for the testing plan execution along with contacts for all testing resources, including third parties.
- Provided transparency on the overall status of the testing program through validation of test results, detailed tracking of any fails that occurred, and prompt escalation of any issues, ensuring the client's senior stakeholders were provided with clear and concise reporting.

WHAT WE DELIVERED

- **COMPREHENSIVE TESTING STRATEGY** - Collaborated with the client to construct a personalized testing strategy based on the client's needs and considerations.
- **PERSONALIZED TEST SCENARIOS** - Created test scenarios that were tailored to the client's specific business model and accounted for broader industry T+1 testing requirements.
- **TEST EXECUTION SUPPORT** - Supported the client in the execution of the agreed strategy with associated documentation of testing results and failures to ensure the client was prepared ahead of the industry go-live.

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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