

DTCC

ADVANCING FINANCIAL MARKETS. TOGETHER.™



DTCC CONSULTING SERVICES

OUR EXPERTISE. YOUR ORGANIZATION.



The industry faces an unprecedented degree of regulatory, financial and operational challenges in 2020 and beyond. This is driving firms to examine their infrastructure and identify changes necessary to improve efficiencies, optimize their operations and drive down costs – all at a time when regulatory demands have never been greater.

YOUR POST-TRADE BUSINESS EXPERTS

As the world's leading expert in post-trade processing, DTCC is uniquely positioned to provide you with consulting services that tap into the breadth and depth of our experience to help you transform your post-trade business operations, increase efficiencies, reduce risks and drive down costs. For over 45 years, our clients have trusted us to solve the biggest issues facing the global financial services industry. This unique vantage point has enabled us to develop techniques and tools that can help drive innovation and transformation. DTCC Consulting Services offers a framework that not only is adaptable to a variety of project environments, but centers on capabilities that deliver the most value to our clients.

SERVICES

CATALYST / DRIVER

REGULATORY CHANGE
PERFORMANCE IMPROVEMENT
INFRASTRUCTURE ENHANCEMENTS

ENGAGEMENT MODELS

ADVISORY & BEST PRACTICE
EXPERIENCED CAPACITY
ACCOUNTABLE TEAM



DIAGNOSTICS



DESIGN



IMPLEMENTATION



PROJECT
MANAGEMENT



INTEGRATION





OUR APPROACH

Depending on the catalyst for change, we design and deliver a detailed road map to help clients achieve their objectives. Our adaptable engagement model enables us to provide a suite of services to help address your specific objectives and your desired project environment.

Common drivers for change include regulatory changes, infrastructure enhancement, business process changes, audit failure, regulatory fines and others.

How do we do this? We first and foremost get to intimately know and understand your

environment and needs. From there we perform diagnostics, create a model design, identify operational benchmarks and deliver an executable strategy. We then deploy subject-matter experts with the relevant industry knowledge and expertise throughout the entire process.

Our consulting services build upon the shared infrastructure and knowledge base established within our experienced integration teams, expanding our capability to provide high-quality, high-value services for our clients.

MENU OF SERVICES

Working in partnership with our product, client services and relationship management teams, our consultants provide an integrated set of services that aims to add value at every stage of your project life cycle. We operate with an adaptable engagement model to suit your environment, offering either (i) expert capacity for analysis or project management tasks; or (ii) accountable, self-contained project teams to manage an initiative holistically.

Our consulting framework covers initial diagnostics through to the design, implementation and project management stages. We will collaborate with you through the process each step of the way – from start to finish. We will seek to understand your objectives, articulate a solution and help you grow. We are confident you'll see meaningful results.

DIAGNOSTICS



We can assist with analysis, root-cause investigation and remediation proposals to help assess and address potential processing inefficiencies related to DTCC products and services

- Data quality assessment
- Data integrity and root-cause analysis
- Performance scorecards

DESIGN



Assistance with analysis, definition and organization alignment on operating models and technical architecture for post-trade technology and operations

- Regulatory change impact assessment
- Solution assessment and planning
- Operating model design

IMPLEMENTATION



Planning, testing and coordination of activity related to the implementation of solutions using DTCC products and services

- Test strategy and execution
- Implementation planning
- Control frameworks and documentation

PROJECT MANAGEMENT



Disciplined project management to oversee initiatives related to DTCC products and services by teams with deep experience in the subject matter

- Central project management office
- Program assurance

INTEGRATION



Let us support you through your onboarding and integration journey

- Project planning
- Collaborative requirements identification
- Interactive training



BENEFITS OF WORKING WITH OUR TEAM OF EXPERTS

Our team of consultants bring decades of financial markets and consulting know-how to the table. Collectively, our key consulting leaders have over 50 years of experience advising a broad scope of market participants, including banks, buy-side firms, financial market infrastructures, technology vendors and industry bodies. Their deep expertise runs across various product sectors, regulatory reporting regimes and market environments, offering in-depth knowledge of the various needs and opportunities. Driving some of the most transformative marketwide programs across the post-trade derivatives and securities

ecosystems, our experts are skilled at fostering industry collaboration, and have partnered on initiatives that include risk and cost reduction, market efficiency, strategic concepts and solutions.

And, no one knows DTCC's solutions better than we do. Recognized for our contributions in leading industry change and building market solutions, DTCC can provide impactful front-to-back consulting, leveraging our industry relationships and ability to offer a seamless and positive client experience.



INDUSTRY EXPERTISE

Extensive level of expertise, client service and industry knowledge



DEEP KNOWLEDGE

Deep knowledge of financial markets, regulatory regimes and cutting-edge technologies



ADAPTIVE

Adaptive engagement model depending on your capacity and needs



PRODUCT EXPERTISE

No one knows our products and processes better than we do



GLOBAL NETWORK

Expansive global network of industry partners



AUGMENT STAFF

Augment specialized staff with expert tools and techniques



OPTIMIZE VALUE

Trusted because our expert tools, techniques and processes have driven value for both the industry and our clients

EXAMPLE USE CASES

REPOSITORY & DERIVATIVES SERVICES (RDS)

TRADE AND TRANSACTION REPORTING

Regulatory Readiness (Securities Financing Transactions Regulation (SFTR), Brexit, Commodity Futures Trading Commission (CFTC), Securities and Exchange Commission (SEC), European Market Infrastructure Regulation (EMIR) and others)

Our clients face an array of new and changing regulatory requirements in the coming years including new SFTR and SEC requirements and foundational changes to existing CFTC and EMIR standards. Our teams of experienced consultants can help identify areas of improvement by performing impact analysis and providing feedback on new processes, systems and controls to meet changing standards based on informed industry observations and our understanding of best practices.

TRADE AND TRANSACTION REPORTING

Identify Improvement Opportunities by Benchmarking Against Peers and Accepted Best Practices

One of the hardest challenges for our clients can be identifying and prioritizing enhancements to existing reporting infrastructure, processes and/or controls. Our teams work closely with clients and any appropriate third parties to conduct meaningful diagnostics and analysis to help identify key risks and inefficiencies and to work collaboratively to assist in defining ways to remediate and/or improve operations leveraging both established and innovative techniques.

STRAIGHT-THROUGH-PROCESSING AND RESILIENCE

Recent market events have served to underline the importance of establishing effective business operating models that are capable of scaling seamlessly to respond to market volume 'spikes' and increasing client and regulatory demands for real-time information. DTCC is known, within financial markets, with efforts to increase automation and resilience. Through our Consulting Services team we can utilize these skills and experience to help our clients manage costs, increase efficiencies and reduce risks leveraging established techniques, methods and operational benchmarks. For many clients this will require a simplification of systems, processes and data models that have, in many instances, become increasingly complex and interconnected as a result of fundamental changes to the regulatory landscape, coupled with ongoing short-term cost-reduction initiatives.

CSDR

Regulatory Readiness

The Central Securities Depositories Regulation (CSDR) rules have had a major impact on the way in which financial markets and market participants behave. With the latest changes relating to the Settlement Discipline Regime (SDR) on the horizon, our team of experienced consultants are able to work with our clients to perform detailed impact analysis and process reviews to help clients to design and implement robust solutions that aim to ensure they are ready to adhere to new operating standards.

POST-TRADE PROCESSING

Identify Improvement Opportunities by Benchmarking Against Peers and Better Business Practices

The changing market landscape for post-trade processing has required organizations to make fundamental changes to the way in which they process trades and manage data. Our teams of experienced consultants are able to help identify where risks and/or inefficiencies lie across the trade lifecycle from matching and confirmation to margin and settlement. Our consultants can help create effective solutions to underlying issues and help deliver meaningful improvements.

INSTITUTIONAL TRADE PROCESSING (ITP)

Visit www.dtcc.com/consultingservices



TALK TO US