

PROJECT OVERVIEW

ASB Resources was called upon to help assemble a team to build an end-to-end strategic Asset Setup and Maintenance. The major sub-projects within the larger solution were as follows:



• **GPTM NAPE Integration**

The purpose of this project was for the Broker Dealer to leverage Broadridge's GPTM (Global Post Trade Management) product to replace Impact GL for balance sheet and income statement postings, and to replace Impact for positions and inventory management. This project extended the use of the GPTM product implemented for Brexit to integrate with NAPE to support all client business lines and associated booking models as well as, and the GSL (global sub ledger), GPL (global profit and loss), GPM (global position manager) and data fabric modules as part of GPTM.

• **WIM Pricing and Valuation**

This project was is one of 5 workstreams to define and build an end-to-end strategic Asset Setup and Maintenance solution. Workstreams: Asset Setup, Maintenance, Pricing, Fees Processing, Account Setup/Maintenance, Asset Movement and Account Reviews, Reg 9.

• **Upgrade Asset Servicing Processing Platform**

Implemented the new Corporate Actions system for client's Asset Services operations. The platform is hosted on-site ASB was responsible for the successful Implementation of an enhanced platform that provides full lifecycle event management, as well as robust workflow and same-day exception management tools.

• **Spread Money Funds Portal**

The purpose of this change was to be more competitive in the marketplace, to help retain customers, and be more relevant to new business. Beginning functionality was limited/dated and involved manual work for Operations. This project addressed the outstanding SHRP issue by upgrading the Money Funds portal by implementing CacheMatrix online solution (SaaS Model). CacheMatrix solution replaced Institutional Investing Online (IIO) which is accessed through the Bank's CEO platform.

OUR SOLUTION:

The ASB team worked with the following streams, to provide the client with a scalable project:

- Asset Setup
- Maintenance
- Pricing
- Fees Processing
- Account Setup/Maintenance
- Asset Movement and Account Reviews

TECHNOLOGY USED:



SUCCESS FACTORS:



ASB was able to deliver the project on time and within budget despite being on boarded at a very late stage.



ASB was able to work seamlessly with the various partners involved including Wealth Management business team, Pricing Vendors (JPM, IDC, Bloomberg, EJV), Infrastructure, Product Development, Business Analyst, QA, PMO and Audit teams.



Project was delivered using Agile Scrum methodology.



The team was at Level 0 during initial assessment of Agile rating, within 2 quarters, the team was between maturity level 2 & 3 during their last assessment of the project



Phase 1 was delivered in the record time of 3 months and Phase 2 took another 3 months. This was delivered as per the committed timeline.

PRINCETON, NJ
4365 Route 1 S,
Suite 102,
Princeton NJ 08540
609-423-4949

CHARLOTTE, NC
330 Camp Road
Charlotte, NC 28208
704-315-5112

MUMBAI, INDIA
Hubtown Solaris,
Suite 1113,
N S Phadke Marg,
Sai Wadi, Andheri (E)
Mumbai 400 069
91-22-6887 2007

OTTAWA, CANADA
116 Albert Street,
Suite 200&300,
Ottawa K1P5G3
Ontario, Canada
613-863-0136

