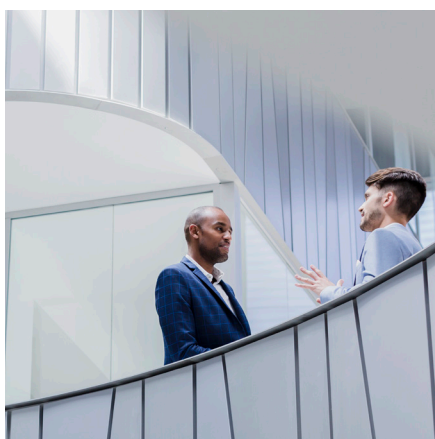


Broadridge SFTR Consulting Services



Market participants face huge challenges around SFTR compliance. There is a pressing need to define operating models to meet reporting deadlines and avoid increases in costs and operational risk. Firms must also solve difficult questions around areas such as data sources, exception management flows (including counterparty interaction) and reporting vendor services.

Broadridge's SFTR consulting service can help you to comply with the rules in a timely manner while minimising disruption to business.

Broadridge's SFTR Consulting Service Provides:

- A practical blueprint for front-to-back changes to:
 - Overall architecture
 - Organisational structure
 - Business processes
 - Location strategy (where appropriate)
- Experienced resources to supplement your internal project teams with expertise in:
 - Project management
 - Business analysis
 - Testing support

Broadridge can help you to answer key questions around the operating model components shown in the diagram to the right including:

- Where is the data going to come from?
- What exception management flows (including counterparty interaction) need to be designed?
- How should processes and teams supporting SFTR interact with existing securities finance processes?
- What should the roles and responsibilities look like for relevant functions?
- How are you going to use data to manage and change the processes?
- Is your current plan genuinely joined up?

SFTR OPERATING MODEL COMPONENTS

SFTR REQUIREMENTS

- Core requirements of the regulation
- Firm business model
- Firm-specific impact

DATA MODEL

- Data points and sources
- Gap identification

ORGANISATIONAL MODEL

- Existing organisational structure (including both securities finance and regulatory reporting)
- Team location
- Target organisation

INTERACTION MODEL

- Interaction between teams including escalations
- Ownership and accountability

PROCESS MODEL

- Reporting process
- Exception management process
- Data enrichment
- Process metrics

TECHNICAL MODEL

- Existing infrastructure
- Reporting solutions
- Trade repository
- Exception management tools



AN EXPERIENCED TEAM

Broadridge's SFTR consulting service leverages our deep knowledge of the securities finance business, lessons learned from EMIR and MIFID trade reporting and the expertise of staff who have managed large-scale transformation projects in banks and buy side firms.

As VP, Patrick Collins leads the EMEA Consulting Practice with over 20 years of experience in consulting and change. Having managed programs of strategic, tactical and regulatory change initiatives, his strengths lie in precise needs assessment and successful implementation of transformative projects. His recent focus has been on the scoping and delivery of a multi-year MiFID II regulatory change program; with additional management of regulatory change projects in EMIR, Dodd-Frank, SFTR and FinfraG regulations.

Allan Lumutenga brings 13 years of change leadership experience in financial services, specialising in implementation of regulatory and compliance driven frameworks and assisting broker dealers, retail banks, asset managers and technology vendors navigate complex business challenges. Lean Six-Sigma certified, he has held management positions in a number of critical roles in the US and Europe at Tier 1 organisations as a business analyst, project manager and team leader.

Martin Walker is head of product management for Securities Finance at Broadridge with over 25 years of experience in senior roles in Capital Markets and IT.

Martin's Previous Relevant Experience Includes:

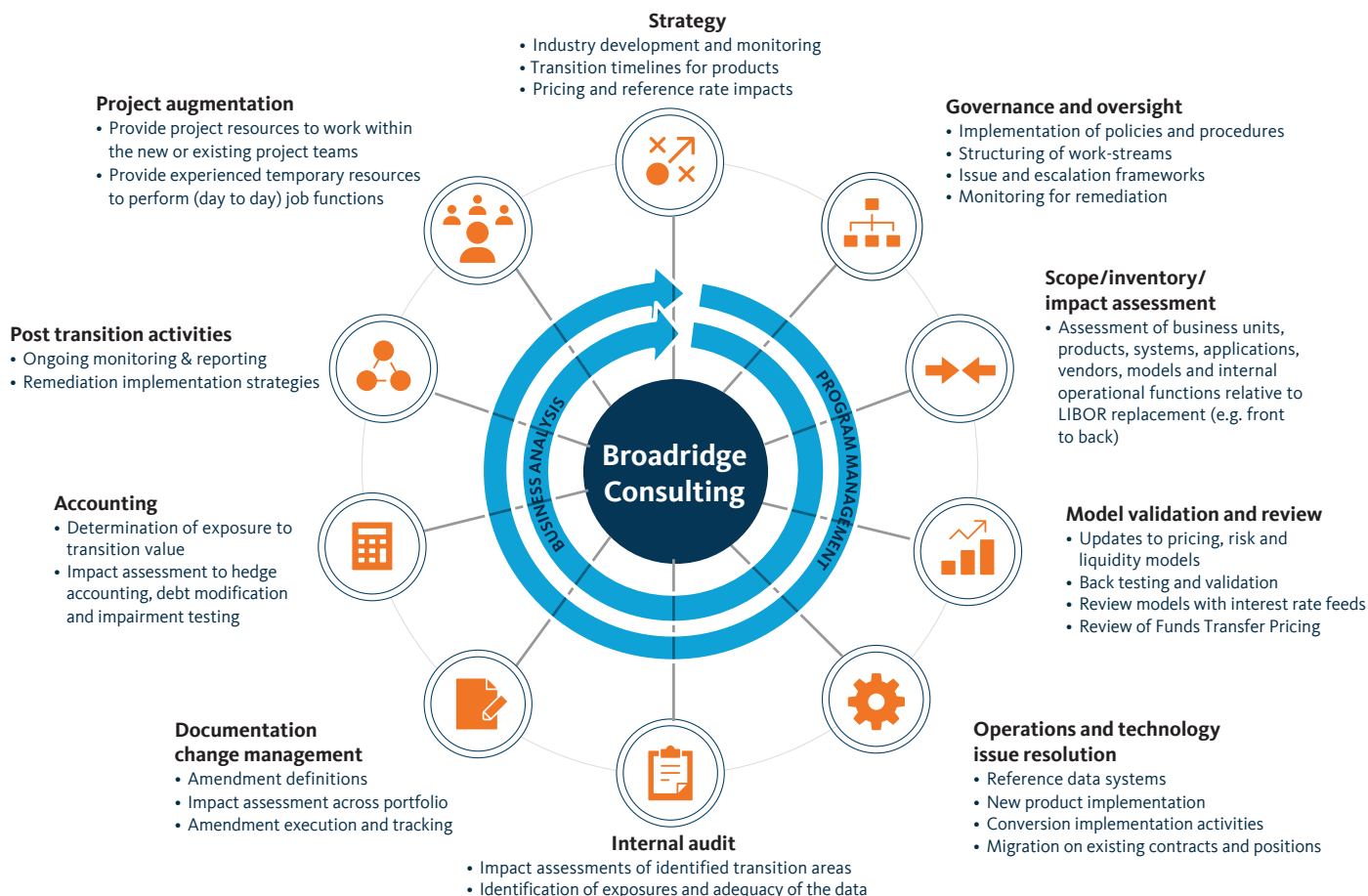
- Global Head of Securities Finance and Treasury IT at Dresdner Kleinwort
- Global Head of Prime Brokerage Technology at RBS Markets
- Lead Business Analyst at Merrill Lynch Equity Finance Technology
- Author of "Front-to-Back: Designing and Changing Trade Processing Infrastructure" from Risk Books

Specific Projects of Relevance:

- Target Operating Model for Confirmations Utility (Major Global Bank Operations Derivatives) – lead and author
- Target Operating Model for Global FX Business (Post-Trade section) - author
- Target Operating Model for Markets Operations in Satellite Sites (Post-Trade section) – author
- Major UK Bank Prime Brokerage Front-to-Back Review – contributor



BROADRIDGE CONSULTING SERVICES OVERVIEW



CONTACT US

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Broadridge, a global Fintech leader with over \$4 billion in revenues and part of the S&P 500® Index, provides communications, technology, data and analytics. We help drive business transformation for our clients with solutions for enriching client engagement, navigating risk, optimizing efficiency and generating revenue growth.

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Communications
Technology
Data and Analytics

