Broadridge Transformations: Sample Case Studies and Lessons Learned

	Example case studies	
1	**The US business of a global financial services firm**	► Strategic analysis of operating platform and technology supporting US business. ► Identified all core and non core operational functions and workflow performed by the client vs. vendors (Broadridge). ► Identified key pain-points and best practices recommendations ► Provided menu of improvement recommendations for the client's operating platform, configuration enhancements, trade flow, vendor relationships, contract & pricing, SLA's , and technology design.
2	**A top tier U.S. Broker Dealer**	► Developed transformation roadmap, testing framework, and command center. ► Led chart of accounts redesign, configuration and implementation ► Produced automated reconciliations that significantly reduced the time it took to validate downstream applications and data in Broadridge ► Automated exceptions processing to identify breaks, facilitate resolution, and reporting
3	**Merger of Retail Broker and Capital Markets Business**	► Conducted a functional, workflow, and process analysis to create a ranking menu for the platform's applications ► Performed a code scan and supported functionality review of all applications impacted by the organization's integration ► Developed consolidation and optimization roadmap determining applications to be retired, enhanced, and integrated
4	**The broker-dealer arm of a large investment bank**	► Created a tool to extract trades data from Broadridge suites and reconcile with the trades from the trading systems. ► Worked with the work streams to identify the key areas that required workaround planning or contingency planning. ► Helped create an executive presentation capturing the production readiness metrics

* BPS, BPS/A, IMPACT, GPS, GLOSS, MBSE, Chart of Accounts, Downstream Integration

Key lessons learned

► Clear vision of the overall roadmap and focus on success criteria

► Ruthless prioritization (20/80 rule) on minimum requirements

► "One team, one plan, one objective" program

► Responsibility in the hands of those who will live with the results

► Project team and organization aligned to match future state workflow

► Discipline for 'decision-making' and transparency across program

► Engage business users and testing teams early...

► Focus on data quality, system configuration, workflow, and conversion process

► Daily management upwards and downwards by the PMO, Design Authority and Change team is crucial