



Roadmap for Equity and Options Trading

EMC Consulting offers industry-focused solutions for your business. Our experienced teams of consultants can help you refine objectives, document requirements, and deploy technology solutions to meet your needs.

Challenge

The fee-based investment advisor segment of the market grew quickly over the last decade as affluent investors sought customized investment portfolios and simplified performance reporting. To capitalize on the opportunity, many firms provided custodial, operational, and trading services to independent advisors, often developing channel-specific trading solutions. These solutions, which were built around multiple order entry and management systems, evolved into overly complex trading infrastructures, creating abnormally high levels of post-trade manual processing and significant operational risk.

Anxious to improve services to this segment of the market while also improving profitability, one firm engaged EMC® Consulting to develop a plan for accommodating an expected increase in order flow.

Solution

The EMC Consulting team drew on a breadth of capabilities and deep understanding of trading system operations to develop a program roadmap for the client.

Determine Business Objectives

- Facilitated sessions with business leaders and subject-matter experts within trading operations and technology teams

Current-State Analysis

- Evaluated the current processing and technology environment against objectives
- Documented business processes and applications across the organization
- Identified issues and inter-application dependencies that might impede the achievement of business objectives
- Created catalog of applications aligned with a value chain of business functions performed in the trading process

Future-State Analysis

- Defined an application environment and process flow that aligned with the organization's business vision, policies, and financial limitations

Gap Analysis

- Identified new applications and technology required to meet the target future state
- Aligned existing applications to work streams and projects, identifying needed improvements

Roadmap Development

- Developed strategic direction of work streams and projects
- Recommendations of project priorities
- Evaluated inter-dependencies and constraints
- Identified technology enablers

Result

As a result of the EMC Consulting engagement, the client was able to:

- Identify the risk exposure of the current environment
- Provide a common understanding of the needs and proposed solutions to facilitate funding discussions with senior management
- Create productivity gains that increase operating leverage and enable trading staff to increase time spent on developing client relationships
- Prepare an initial program of work streams to reach the future state
- Ensure the organizational structure, business processes, and applications support business objectives

The client was able to implement a plan to accommodate the projected growth in order volume, reduce the number of systems used in the equity and options trading process, reduce time spent in post-trade manual processing, and lower operational risks.



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Take the next step

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