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Uncleared Margin Client Outreach

OVERVIEW



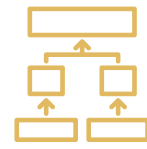
CHALLENGE

A Tier 1 Investment Bank contracted Treliant to ensure that their clients were compliant with the Uncleared Margin Rules before a regulatory deadline. Treliant was required to contact all clients to determine if they were in scope based on typical trading volumes.



SOLUTION

The bank engaged Treliant to run the outreach process from our Service Delivery Center in Belfast, Northern Ireland. We provided education calls, tailored outreach emails, and regular follow-up to ensure regulatory compliance was attained.



APPROACH

Treliant's team worked with several business units to confirm the scope of clients. We set up tailored education calls with clients and sent documents explaining the regulations and requirements. We produced daily metrics to demonstrate completion rates and show progress, enabling the team to be scaled effectively to progress clients through to completion. We also worked closely with third-party vendors and custodians to ensure that all setup issues were resolved. Finally, we produced playbooks for both project and business-as-usual (BAU) processes, which are now artifacts used by the bank.

RESULTS

- ✓ Successfully ensured that all clients were compliant ahead of the UMR deadline.
- ✓ Increased the bank's capacity to reach clients with cost savings from our nearshore team.
- ✓ Client queries were answered within agreed service level agreements (SLAs).
- ✓ We left behind a BAU process for the client.

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