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Managed Services–Trade Surveillance

OVERVIEW



CHALLENGE

A top U.S. brokerage firm was experiencing unplanned, rapid, and dramatic volume increases which led to a shortage in skilled resources needed to complete trade surveillance and transaction monitoring alerts. This resulted in a backlog of alerts and ultimately affected the on-time delivery of regulatory filings and reporting—an imminent threat to their business and bottom line. Unable to locate and onboard qualified talent, the firm hired Treliant to develop customized workforce and operational solutions to support these functions.



SOLUTION

Treliant's team worked closely with the client to identify the talent required for a successful engagement and leveraged our subject matter experts to review the client procedures to ensure efficiencies within their process.



APPROACH

Treliant sourced two teams of skilled professionals with transaction monitoring and trade surveillance experience from their Belfast Service Delivery Center.

The project included:

- Governance by Treliant's subject matter and regulatory operations experts;
- A customized data-driven workflow and communication tool wrapped around the end-to-end process;
- Reviews by subject matter experts to identify QC & QA inefficiencies;
- Design of templates for outputs and analyses;
 - Development of updated procedural documentation;
- A regulatory compliant facility equipped with state-of-the-art technology and cybersecurity.

RESULTS

✓ Treliant ensures that the firm's processes, procedures, and deliverables are of the highest quality and meet all regulatory needs and requirements. As volume increases and the firm's business grows, Treliant will staff additional skilled and trained team members. At present, the following metrics show the engagement has:

- Increased the efficiency and effectiveness of operational workflows by 25-30%
- Increased productivity rates by approximately 40%
- Decreased operational costs by 25% vs. using internal resources
- Decreased regulatory and compliance costs by 45-50% by combining productivity and efficiency gains with labor arbitrage

Treliant®