

Case Study – Operational & Risk Assessment Review



DBFS Introduction

DBFS have been supplying successful consultancy and project delivery services within Investment Management Operations since 1996, and are proud to list over 50 blue-chip financial organisations as clients. DBFS focus solely on investment management and operations filling the gap between costly consultancy groups, vendors, off-shore development companies and traditional recruitment houses.

DBFS are able to leverage this experience and expertise to advise on a wide range of related IT and business operational matters and then further assist in implementing the recommended solutions, enhancements or innovations.

DBFS focus on building partnerships to develop mutually beneficial long term relationships, built on trust and honesty.

Our team of investment operations domain experts and associates understand our client's goals and the challenges that they face. Our advice is practical and a major differentiator is that DBFS can also deliver.

Typical DBFS assignments include:

- Global operational review and defragmentation
- Advice on market trends, including current/planned regulatory changes
- Assess impact of and implement process change
- Business process optimisation and automation; delivering operational efficiencies
- Ensure processes and systems are aligned to organisational strategy
- Operational risk reviews and recommendations
- Data control and management improvements
- Current state issue resolution

Operational and Risk Assessment Review

DBFS were seconded to a major Australian investment organisation to undertake an end-to-end review and risk analysis of the business processes and the supporting technology. The client was experiencing operational inefficiencies and current environment issues that required urgent quick-win recommendations by DBFS.

DBFS engaged with the investment operations, IT and several investment management business lines to understand the current end to end environment. Our methodology towards this phase encapsulated our leading edge approach to reviewing organizational, functional and technical states and enabled us to not only address the current state issues but allowed us to propose a complete restructure of the operations to improve data control and management.

DBFS focused on adopting a data centric approach, improving data control and management through MIS and dashboards and in parallel recommended numerous risk mitigations and improvements around the underlying technology and applications.

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At the outcome of our assignment, we were able to present a document that:

- Designed optimal processes and procedures supported by the appropriate policy statements, procedure drafting and recommendations for key controls
- Identified and catalogued key operational risks and proposed mitigation actions
- Outlined proposed principles around operational risk policies and disciplines
- Formulation of a set of 'key risk indicators' for periodic review
- Determination of a 'top twenty' list of enterprise risks
- Implementing mitigation controls and monitoring frameworks
- Residual risk quantification

It should be noted that our experience is specifically covering 'operational' risks rather than investment risks associated, for example with the purchase of a particular investment.

Established in 1996, DBFS are a market leading technology and investment operations consultancy, partnering with our clients to provide advisory, project delivery and resourcing services.

We offer practical guidance and the delivery of forward thinking solutions that allow our clients to realise constructive change and strategic goals.

Our focus lies within the investment management and operations sector, filling the gap between costly consultancy groups and traditional resourcing agencies.

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