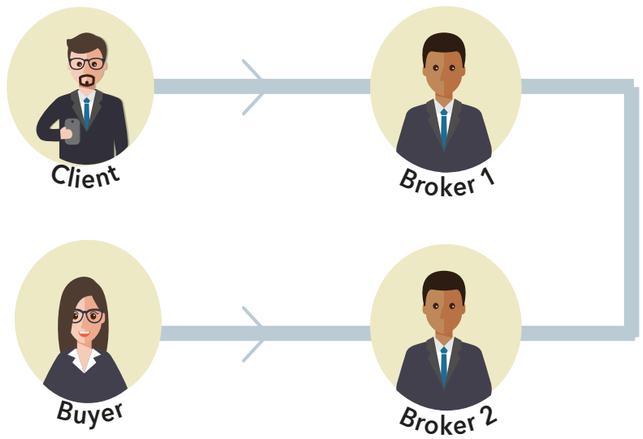
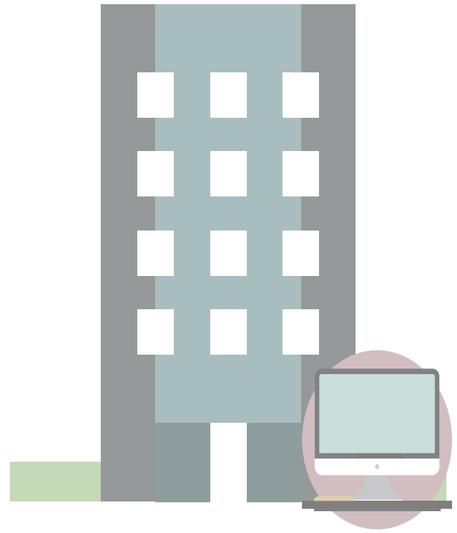
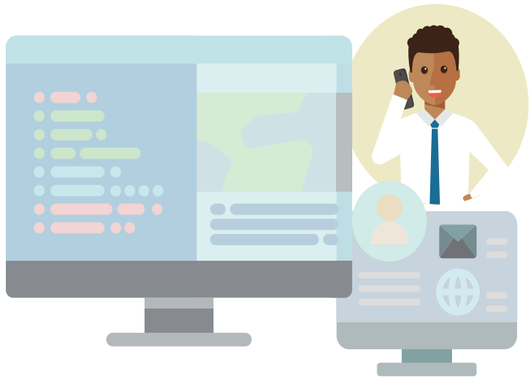
CMA/ DCL PROCESS BLUEPRINT

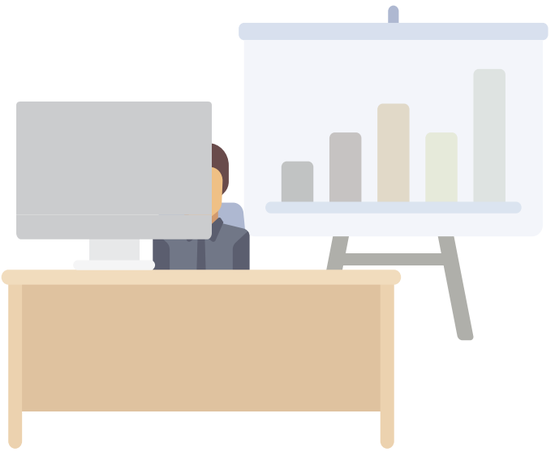




STAKEHOLDERS	Front Desk Client	NA	TSU Team Support Desk	NVision and Cle Support team
ACTIONS	• Sends allocations via FTP • Sends allocations via emails and phone calls	NA	• Chases Clients for manual allocations • Gets confirmation from clients for allocation • Monitors market cut-off	• Provides suppo development re • Investigates iss production tean

earVision	Clearing Team, NVision Support team	Clearing Team, NVision Support I-Tech	Clearing Team	Clearing Tea
ort for equirements sues raised by ms	• Designs and develops for new client onboarding • Gets client allocations in a uniform format	• Ensures top day clearing • Clearing of NVision breaks • Chases TSU for allocations • Ensures entry of trades in GMI • Reconciliation (Exchange vs	• Manually enters allocations recieved through email or phone • Matches market lines and ticket lines (FTP)	• ClearVision clearing hou • Reallocatio only via Clea • Actual alloc





m, FIS Support Team	GMI Support	Clearing Team, GMI Support Team	Clearing Team
writes back to se n is made possible arVision cation happens using-	NA	• Checks trade breaks	• Generates different reports such as client reporting GOLD, Sparta-cus

CHALLENGES	• Time zone difference • Bulk allocations • Market cut-off times • Multiple regions, markets as well as brokers	NA	• Time zone difference • No way to check or know if allocations sent by clients are accurate • Approaching market cut-offs • Multiple clients, trades, markets as well as regions	
OPPORTUNITIES	Seamless channel for sending allocations	NA	Reducing manual intervention which is otherwise spent on email or phone while chasing clients Easing out load for managing multiple entities and cut-offs	

		GMI) • Trade break rectification initiation • Creates static, accounts and rules		Clearvision
	• Supporting various formats in which FTP files are recieved • Converting all files into a consumable format by NVision	• Invstigating exception breaks in NVision • Delays in clearing due to long lead times from client's end for going forward with allocations • Managing top day clearing before cut-off • Managing mailbox • Managing communication with different stakeholders • Manually entering allocations received via email • Managing risk and errors related to the same	• Does not have a way or system in place to validate allocations sent until T+1	
	Inclusion of a unified and standardized format		Manual intervention could be reduced for allocations via email or phone	