**Core Banking Adapter (CBA) Phase-2**

**Objective Summary:**

Enhance the **Core Banking Adapter (CBA) Phase-2** to support **EQ and Bonds booking** in the **Midas core banking system**, building upon the pilot version. The **MVP release is targeted for June 2025**. The solution will incorporate **new field changes agreed with Topaz and Midas teams**, define an **Avro schema structure**, and enhance **CBA logic to process and publish enhanced messages to Midas**. Additionally, **CBA will be enhanced to support Mutual Fund and Structured Notes products** and provide **cash balance booking service for Topaz Order Entry via an Apigee-exposed API**.

**Objective Details:**

* **Enhancements for EQ and Bonds Booking:**
  + Develop an improved **Core Banking Adapter** based on the **pilot version**.
  + Integrate with **Midas core banking system** for **order booking**.
  + Implement **agreed field changes** with **Topaz and Midas teams**.
  + Define and standardize the **Avro schema structure** with **Topaz**.
  + **Enhance CBA logic** to process new fields efficiently.
  + Publish enhanced transaction messages to **Midas**.
* **Future Expansion & Scalability:**
  + Extend CBA functionality to support **Mutual Fund and Structured Notes booking**.
  + Provide a **cash balance booking service** for **Topaz Order Entry via Apigee API**.

**Expected Outcome:**

* **Seamless EQ and Bonds Booking:** Improved **integration with Midas** for **efficient trade processing**.
* **Standardized Data Exchange:** Well-defined **Avro schema** ensures **smooth data flow**.
* **Enhanced Order Processing:** Support for **new fields and additional financial products**.
* **API-Driven Integration:** Cash balance booking service via **Apigee API for Topaz Order Entry**.
* **Future-Ready Architecture:** CBA will be adaptable for **Mutual Fund and Structured Notes booking**.

**Objective Summary:**

Deliver the **CRS/CRDS Adapter for Pending Orders**, designing and developing an **intraday flow for CRS** that processes **pending order data from Topaz via Kafka topics**. The solution will **read data from Kafka and load it into CRS** per specifications, with a **generic design to support CRDS data loading after CRS decommissioning**.

**Objective Details:**

* **Pending Order Processing:**
  + Capture **pending order data from Topaz** via **Kafka topics**.
  + Read and transform the data based on **CRS system specifications**.
  + Load the data into **CRS for further processing**.
* **Scalable & Future-Proof Design:**
  + Ensure the design remains **generic** to support **future CRDS data loading**.
  + Facilitate a **smooth transition from CRS to CRDS post-decommissioning**.

**Expected Outcome:**

* **Real-Time Pending Order View:** Enable **intraday processing** of pending orders in CRS.
* **Seamless Transition to CRDS:** Ensure adaptability for **future CRS decommissioning**.
* **Improved Order Processing:** Enhance **visibility and accuracy of pending orders**.

**Approval Workflow Interface Delivery**

**Objective Summary:**

Develop an **Approval Workflow Interface (AWI)** application, a **generic approval workflow tool** with a **React-based frontend** and a **backend consisting of PS and Flowable layers**. The first use case will be **Fee Rate Management Service (FMS)** for **loan facility rate management**. AWI will integrate with **FMS and PCM-DC**, enabling **approval initiation from FMS**. It will also help **remove dependency on COPS Order Manager** and **reduce EOL work by eliminating B7T dependency from COPS**. **MVP delivery is scheduled for March 2025**.

**Objective Details:**

* **Frontend Module (React-Based):**
  + Display **pending approvals** with **approve/reject functionality**.
  + Provide **audit tracking** for each approval entry.
* **Backend Module:**
  + **PS Layer and Flowable Layer** for managing approval workflows.
  + Support integration with **FMS and PCM-DC** for **FMS entry approval details**.
* **First Use Case: Fee Rate Management Service (FMS)**
  + AWI will support **loan facility rate management approvals**.
  + Enable **approval initiation directly from FMS**.
  + Remove **dependency on COPS Order Manager** for approval workflows.
* **Future Scalability:**
  + AWI will be designed as a **generic approval tool** to support **other business use cases**.

**Expected Outcome:**

* **Streamlined Approval Process**: Improve efficiency in **approving/rejecting requests**.
* **Enhanced Audit & Compliance**: Maintain a **detailed approval history** for transparency.
* **Seamless Integration**: Enable smooth **data exchange between FMS, PCM-DC, and AWI**.
* **Dependency Reduction**: Eliminate reliance on **COPS Order Manager** and **B7T from COPS**, reducing EOL workload.
* **Scalability for Future Use Cases**: Provide a **flexible workflow engine** adaptable to different business needs.
* **On-Time Delivery**: Fully functional **MVP by March 2025**.

**Client Instructions Delivery**

**Objective Summary:**

Develop a **Dynamic Client Instruction** application to generate **client instructions** for new and canceled orders across **EQT/ETF, BND, STN (Sell), and MF** products. The solution will consist of a **React-based frontend** for searching and downloading client instructions and a **backend providing APIs** and integrating with **CDC-DC, Product Information (PI), and Assentis for PDF generation**. The application will enforce **data and functional entitlements** and retain **order data for 90 days**. **MVP delivery is scheduled for June 2025**.

**Objective Details:**

* **Frontend Module (React-Based):**
  + Enable users to **search and retrieve client instructions** using multiple filtering criteria.
  + Allow **viewing, generating, reprinting, and downloading** both **single and consolidated** client instructions.
* **Backend Module:**
  + Provide APIs to support frontend functionalities.
  + Integrate with **CDC-DC, PI, and Assentis** for order processing and PDF generation.
* **Core Features & Requirements:**
  + **Single Client Instructions**: Generate for all **new and canceled orders** as they flow from **Topaz to TW Local Solution**.
  + **Consolidated Client Instructions**: Merge multiple orders into a single instruction based on **portfolio, order type, date, and security dealing type**.
  + **Order & Client Instruction Search**: Enable filtering by **portfolio number, buy/sell direction, instrument type, order inputter, etc.**
  + **Latest Financial Data Retrieval**: Include **mutual fund fee rates, return rates, and fund house sponsorship data** in instructions.
  + **Data Retention**: Retain **order data and corresponding client instructions for 90 days**.
  + **Access & Entitlement Management**: Ensure only **authorized users (Bank Branch, UBSS, WM Desk, etc.)** can access the system and view permitted data.
  + **Integration with Contact Management**: Print **contact call details** in the internal use section of client instructions.

**Expected Outcome:**

* **Automated Client Instruction Processing**: Eliminate manual workflows by auto-generating client instructions.
* **Improved Search & Retrieval**: Users can efficiently search and download instructions based on multiple filters.
* **On-Time Delivery**: Fully functional MVP by **June 2025**.

**Phone Banking Client Authentication** objective:

**Objective Summary:**

Develop a **Phone Banking Client Authentication** application for **UBS Bank**, enabling **CAM CA users** to authenticate clients for **order taking and client information changes**. The solution will include a **React-based frontend** with multiple use cases such as **client partner validation, authentication via Access App or SMS (NGCAP/transmit system), and data export for tracking document deficiencies**. The **backend will provide APIs** for these functionalities and integrate with **CAM and NGCAP systems**. The application must be **regulatory-compliant** by **June 2025**.

**Objective Details:**

* **Frontend Module (React-Based):**
  + Support **client partner validation**.
  + Enable **authentication via Access App or SMS-based verification using NGCAP/transmit system**.
  + Provide **export functionality** to track document deficiencies.
* **Backend Module:**
  + Provide **APIs** for all frontend use cases.
  + Integrate with **CAM and NGCAP systems** for secure authentication workflows.
* **Regulatory Compliance & Timeline:**
  + Address compliance requirements under **Regulations Governing the Standards for Information System and Security Management of Financial Institutions**.
  + Regulations are in the **feedback/consultation stage** and expected to be enacted by **end of 2024**.
  + Remediation must be completed within **6 months**, requiring a **June 2025** release.
* **Business Drivers:**
  + **Regulatory Compliance:** Ensure adherence to evolving financial security and authentication standards.
  + **Improved Client Service:** Replace outdated authentication processes that require **fax/email/courier for client instructions**.
  + **Operational Efficiency:** Reduce **manual efforts** in processing client instructions.
  + **Operational Risk Reduction:** Minimize the **regulatory risks** associated with handling large transaction volumes manually.

**Expected Outcome:**

* **Regulatory-Compliant Client Authentication**: Ensure secure authentication for **order taking and client information changes**.
* **Streamlined Client Instructions Process**: Eliminate reliance on **fax, email, and courier-based manual workflows**.
* **Enhanced Security & User Experience**: Secure authentication using **Access App and SMS verification** via **NGCAP/transmit**.
* **Reduced Operational Risk**: Minimized errors and risks related to manual transaction handling.
* **On-Time Compliance Delivery**: Full implementation by **June 2025**, meeting regulatory deadlines.

**Contact Management Delivery**

**Objective Summary:**

Deliver a **modern Contact Management Solution** for Taiwan business by **June 2025**, replacing the legacy **mainframe system** with an **OpenStack-based architecture**. The solution will include **two React-based MOAP SPA frontend modules**—**Contact Trade Cut GUI** and **Contact Dashboard**—and a backend providing **contact creation, enquiry, modification, and reporting services**. It will be **integrated with Order Manager, CRM, HRI, and WHS systems**, ensuring seamless business operations. Additionally, **contact data will be published to a reporting application** for business risk operations review. The system will be **designed to support multiple locations** beyond Taiwan. All APIs will be **onboarded to Apigee API Gateway** for security and scalability.

**Objective Details:**

The Contact Management Solution aims to provide a **scalable, cloud-native** system to enhance **client relationship management**. By moving away from a **legacy mainframe system**, the new platform will offer **greater flexibility, cost efficiency, and better integration capabilities**.

* **Frontend Development:**
  + Build **Contact Trade Cut GUI** and **Contact Dashboard** using **React with MOAP SPA architecture** for a modern and responsive user experience.
* **Backend Services:**
  + Develop API-driven modules to support **contact creation, enquiry, modification, and reporting services**.
* **System Integrations:**
  + Ensure **seamless data flow** and process automation by integrating with **Order Manager, CRM, HRI (Human Resource Information), and WHS (Warehouse System)** to support end-to-end business operations.
  + **Enable end-to-end tracking of call reports and contacts from Order Manager.** Currently, in Taiwan, call reports are logged only after an order is booked, with no direct linkage. The new system will provide a **real-time connection between orders and call reports** to improve visibility.
* **Reporting & Business Risk Operations Review:**
  + Contact Management will be able to **publish data for reporting** to a **business risk operations review application**, allowing **analysis of client interactions and risk exposure**.
* **Scalability Across Multiple Locations:**
  + The system will be **built to support expansion beyond Taiwan**, ensuring adaptability for additional locations as needed.
* **API Management & Security:**
  + Onboard all **Contact Management APIs** to **Apigee API Gateway** to enable **secure, scalable, and monitored** API access.
* **Deployment & Timeline:**
  + Implement the **MVP version** by **June 2025**, ensuring core functionalities are delivered for initial use.

**Expected Outcome:**

* **Enhanced Client Relationship Management**: Improved contact tracking, enquiry handling, and reporting capabilities.
* **Modern, Scalable, and Cloud-Based Solution**: Eliminates mainframe dependency, reducing operational costs and increasing system agility.
* **End-to-End Call Report & Contact Tracing**: **Call reports will be linked directly to orders in Order Manager**, providing better visibility into client interactions.
* **Seamless Business Process Integration**: Direct connectivity with **Order Manager, CRM, HRI, and WHS** ensures a **streamlined workflow** and better operational efficiency.
* **Comprehensive Business Risk Insights**: **Contact data will be published to reporting applications** for risk monitoring and decision-making.
* **Multi-Location Scalability**: The solution will be **designed to support additional business locations beyond Taiwan**.
* **Robust API Management**: Apigee API Gateway enhances **security, performance monitoring, and scalability**.
* **On-Time MVP Delivery**: A **functional, production-ready** Contact Management system delivered by **June 2025**.

**Objective: Enhance Testing Objectives**

**Objective Summary:**  
Design and implement a comprehensive testing strategy for the OME application that aligns with UBS testing standards. This includes understanding the functional aspects of the Order Manager product for Topaz adoption, supporting production release testing, and developing robust test automation for both backend APIs and UI. Additionally, prepare regression and sanity test packs, execute the test plan with status updates in Squash, log defects per test result, and ensure all functional use cases are covered before production release. Collaborate with the wider UBS testing community to integrate best practices within the team.

**Objective Details:**

* **Test Strategy Design:**
  + Develop a testing strategy for the crew that aligns with UBS's standardized testing practices.
  + Understand and document the functional aspects of the Order Manager product for effective Topaz adoption.
* **Production Support:**
  + Provide comprehensive testing support for production releases to ensure smooth deployments.
* **Automation Initiatives:**
  + Prepare and implement test automation for backend APIs.
  + Develop and maintain automation scripts for UI testing.
* **Regression & Sanity Testing:**
  + Prepare detailed regression and sanity test packs to validate new releases and ensure stability.
* **Execution & Reporting:**
  + Execute the test plan and update testing status in Squash regularly.
  + Log defects per test result, ensuring proper documentation and tracking of issues.
  + Confirm that all functional use cases are fully covered and validated before production release.
* **Community Engagement:**
  + Connect with the wider UBS test community to adopt and disseminate best practices within the crew.

**Expected Outcome:**

* A well-defined and UBS-compliant test strategy that enhances the overall quality and reliability of the OME application.
* Increased automation coverage for both backend APIs and UI, leading to more efficient testing cycles.
* Robust regression and sanity test packs that ensure stability and quality in production releases.
* Clear documentation and logging of defects, resulting in faster resolution of issues.
* Comprehensive coverage of all functional use cases, reducing the risk of critical defects in production.
* Improved visibility and tracking of testing progress via Squash.
* Enhanced collaboration and knowledge-sharing with the UBS testing community, resulting in the adoption of industry best practices across the crew.

**Objective: DevOps Objectives**

**Objective Summary:**  
Support the crew with all DevOps activities by engaging with the WMPC CTO Azure Factory team to understand blueprints and provision infrastructure in a compliant manner. Automate continuous deployment in lower environments to boost efficiency, provision infrastructure across lower and higher environments, and optimize cloud resource utilization for total cost of ownership (TCO) benefits. Additionally, drive the adoption of Shared AKS for the crew, manage password rotations and AC5 violations, and set up start/stop schedules for AKS clusters in lower environments to save costs based on usage.

**Objective Details:**

* **Infrastructure Provisioning:**
  + Collaborate with the WMPC CTO Azure Factory team to review blueprints and ensure infrastructure is provisioned in a compliant and secure manner.
  + Provision and maintain infrastructure in both lower and higher environments following best practices.
* **Continuous Deployment Automation:**
  + Develop and implement automation for continuous deployment in lower environments to increase efficiency and reduce manual efforts.
* **Cloud Optimization & Cost Management:**
  + Optimize resource utilization in the cloud to reduce TCO, including monitoring, scaling, and resource right-sizing.
  + Set up automated start/stop schedules for AKS clusters in lower environments based on usage patterns to cut costs.
* **Shared AKS Adoption:**
  + Engage with relevant teams to facilitate the adoption of Shared AKS for the crew, ensuring streamlined container orchestration and resource sharing.
* **Security & Compliance:**
  + Manage password rotations and address AC5 violations by implementing robust security protocols and automation where possible.

**Expected Outcome:**

* **Enhanced Support & Efficiency:**
  + Improved support for DevOps activities with automated continuous deployment, leading to faster and more reliable release cycles.
* **Cost Savings:**
  + Optimized cloud resource utilization and scheduled AKS cluster management result in significant cost reductions.
* **Infrastructure Compliance:**
  + Infrastructure provisioned in both lower and higher environments meets compliance and security standards.
* **Adoption of Shared AKS:**
  + Successful adoption of Shared AKS provides efficient container orchestration and better resource management for the crew.
* **Improved Security Posture:**
  + Automated management of password rotations and resolution of AC5 violations enhance overall security and compliance.