

Business Need

Client Domain: Prime Brokerage - Corporate Actions Design

Our UX services are aligned horizontally to work in partnership with different IT functions such as Prime Brokerage, Securities Lending, Synthetic Equities, Funding & Financing, Risk and Margin and Clearing in the Business Solutions Group of one of the world's leading Banks in North America to help design the right solutions which are easy to use.

In association with Global Prime Finance division the aim was to design a solution for the prime finance clients to view impacting Corporate Events, select options and provide instructions for invested securities.

Opportunity/Challenges

Corporate Actions module implementation initiated in late 2010 for its phase 1 rollout. The scope included corporate actions events viewer, and also providing ability for clients to submit elections online in Global Prime and Structure the communication between the bank and the client with respect to the elections and approval workflow.

Internal UI solution for Asset Services Group to facilitate the approval process for securities elections by the clients. Interface to show status of elections per event and bring pending action items upfront through categorization and allow elections on behalf of the clients.

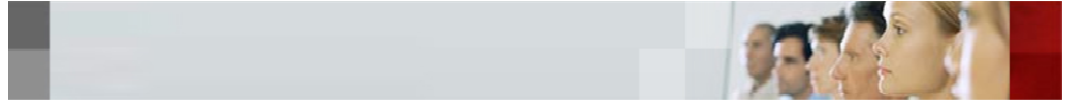
There is a need for a visual map to visualize the allocations by various clients. [Being Evaluated]

Other aspects of the scope included Global Prime Brokerage enhancements, International Swaps functionality excluding US Swaps, All Corp Actions notifications types in Notes life (Internal Database), Corp Actions Alerts and Notifications Port-let dashboard

The key challenge was to design for an easy to use interface for clients to associate options to their impacted accounts and allocate securities and a seamless workflow design to facilitate the Asset services to process approvals for effective and timely elections. This required collaborating with the business to understand the key requirements create a UI opportunity matrix and offer an effective solution.

enableIT Engagement

The User experience evaluation of requirements and proposed initial concept led to the outcome of first conceptual model which included new information architecture and restructured navigation flow. Revised iterations were performed in collaboration with the business analysis team and the exercise led to a more refined solution with lesser screens than envisioned earlier and reduced navigation flow dependencies.



The design also targeted at leveraging the Adobe Flex framework to provide advanced functionality for better performance. Improved information hierarchy and navigation model included features for bulk securities election and capability to work in % values along with the numbers.

The ability to view and approve from a single interface for internal representatives with triggers to elect by parent company for the impacted accounts was also worked out as part of phase 2 design phase.

Value of Investment

- **Client Facing Solution**

1. Improved and easy to use interface for clients to view corporate events and elect options.
2. Task Accelerators – Bulk Elect capability for all or selected accounts for enhanced efficiency.
3. Single click Option allocation to save time and effort.
4. Done away with proposed account selection mechanism proposed earlier.

- **Internal Solution**

1. Single page Election status and approval handling design approach for increased efficiency.
2. Designed to leverage the client facing screen with additional functionality for Asset services to reduce development time and effort.
3. Effective mechanism to handle cancellation workflow for elected securities.
4. Views to group information for effortless and quick decision making.

Technologies Used

Flex 4
MS Office
MS Visio
Adobe Photoshop
Adobe Dreamweaver

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Prime Brokerage
Corporate Actions