



Engagement Case Studies 007

DataCompliance LLC

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Case Study 007 JP Investment Bank-Data Governance, Data Sourcing & Spend Advisory

1 About Our Client

- Japanese full service investment bank
- Securities brokerage and capital markets trading and research
- Treasury services, corporate finance, legal and business management.
- A subsidiary of one of Japan's largest financial groups which conducts securities trading in global markets on behalf of clients based in Hong Kong and Southeast Asia.
- Asset Classes: Equities, Fixed Income, Foreign Exchange, and Money Markets.
- Project locations, Hong Kong & Singapore

2 High Level Project Summary

- Provide a detailed analysis of business market data requirements benchmarked against actual utilisation
- Review data compliance and policies
- Assess cost effectiveness and identify ongoing strategies to align market data services with business requirements
- Eliminate unnecessary expenditure
- Review tools for administration of market data

3 Operation Level Project View

- Conduct an initial review through due diligence and analysis of existing policies for cost management, contracts, and licence compliance
- Review and detailed assessment of the client's business market data requirements and real world data utilisation
- Ensure effective contract and policy management is in place
- Provide a detailed analysis of best practice principles with proposed efficiency gains
- Assess risk mitigation vis-à-vis available resource requirements

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4 Achievements

- Identified **21%** cost savings
- Proposed new policies for data sourcing, compliance management and administration
- Advised on structural change to group market data co-operation and resource usage maximisation

5 The Analysis

- Provided Studies and Analysis of business requirements for market data
- This was conducted at the corporate, cost centre, and user levels
- Reviewed compliance management, procedures, processes and effectiveness
- Conducted a detailed comparative analysis of market data utilisation versus dollar value at the corporate, business, and user levels
- Analysis of utilisation encompassed functionality and dependencies, i.e. risk, compliance, and applications

6 The Reports

- Provided two detailed reports
- The first report comprised the management summary
- The second a full report providing a detailed analysis of findings, including the following:
 1. Potential strategies and assessment of market data utilisation, compliance and cost reductions.
 2. Review of subscribed vendors' service effectiveness on a one-by-one basis, creating a relative value index
 3. Proposed new policies for market data sourcing
 4. Creation of a new management structure for data governance and the administration of market data services

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