ROBOTIC PROCESS AUTOMATION

CASE STUDY

- -

RISK MANAGEMENT SYSTEM – OPERATION AUTOMATION

OVERVIEW

A brokerage firm faced challenges managing its Risk Management System (RMS) processes, specifically handling margins and collateral allocation. The existing workflow involved complex, repetitive tasks such as logging into platforms, downloading reports, processing collateral data, and uploading it to the system. The firm aimed to automate these processes to improve efficiency, reduce errors, and ensure compliance with regulatory requirements.

PROBLEM

1 **Time-Intensive Workflow :** Manual steps like entering captcha, OTP verification, and processing collateral files were labor-intensive.

2 **Error-Prone Processes :** Manual entry and data handling increased the risk of errors, impacting decision-making and compliance.

3 **Delayed Communication:** Exception management relied on manual intervention, leading to delays in notifying stakeholders about failures or required actions.

4 **Operational Bottlenecks :** The process lacked scalability, restricting the firm's ability to handle increased transaction volumes efficiently.

SOLUTION

1 **Web Automation:** Automated login and captcha/OTP handling using scripts. Automated File Downloading, process collateral and margin data for various segments. Integration with the Intra NCC Allocation system for seamless file uploads.

2 **Excel Automation:** Converting collateral breakup files and merging excel data.

3 **Email Automation :** Real-time communication via Mail for success/failure notifications and taking screenshots and sharing it via email.

ACTION

- Login to RMS by handling captcha and OTPs via email reading.
- Automate the download of CSV files for collateral and margin breakup and convert to numeric formats
- Login to the Portal NCC Allocation system.
- Select appropriate segments and upload collateral breakup files.
- Take Screenshot and share it on email.
- Email notifications for process completion or error messages.

RESULTS

1. Enhanced Efficiency :

40 Mins	5 Mins	87.50%
MANUAL TIME	AUTOMATION TIME	TIME REDUCTION
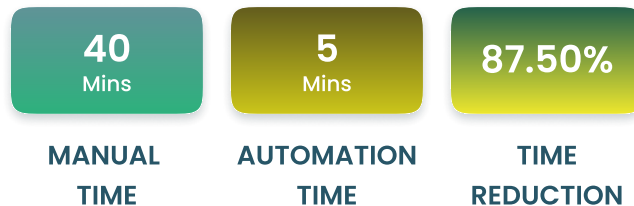
2. Improved Accuracy:

- Error Reduction : **98%**

3. Timely Delivery : System - generated data is consistently delivered by 9:00 a.m. daily.

4. Optimized Workflow : This automation handled increased transaction volumes effortlessly, supporting business growth.

FUTURE PLANS

1. **Centralized Data Platform:** Create a centralized repository for collateral and margin data, accessible across departments, to reduce dependency on manual data sharing.

2. **AI-Powered Exception Management :** Leverage machine learning to prioritize & resolve exceptions automatically, reducing dependency on manual intervention.