

# Project Report

## Front-to-Back Integration in Banking Compliance

Due to regulatory requirements, a big bank had to enhance in-depth KYC and background checks of new investment banking clients during their onboarding. These checks were performed in a global compliance workflow tool. Therefore, the front system needed to be seamlessly integrated with the backend tool to guarantee short response times, minimize clarification loops by providing relevant information automatically and propagate findings/responses quickly between the solutions.

### Project Goal

The goal was to integrate an IB front system with a compliance backend system for multiple workflow situations. In all situations, a new case of a particular type had to be created. Whenever such a case was completed by compliance, specific feedback had to be provided to the front system. The two relevant case managers had to be amended and enhanced to cope with the specific IB requirements.

### Our Contribution

Spark Mind acted in a project manager role. The support included the requirements formulation process, the coordination of development efforts between all involved product teams and the facilitation of the user acceptance testing phase with various business stakeholder globally,. Beside stakeholder mgmt., project governance, reporting and prioritization of issues were critical for the successful completion.

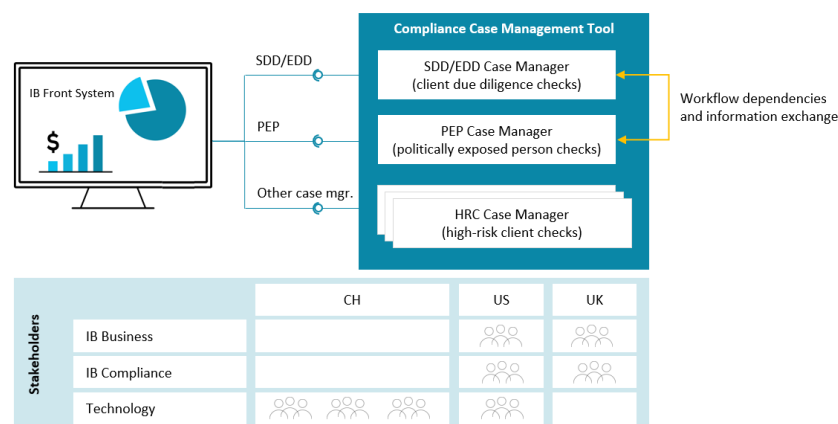


Figure: Challenges were mainly driven by the number of systems and stakeholders involved.

Conclusion: technology initiative success is highly dependent on proper stakeholder management, precise formulation of requirements, coordinated development efforts and early validation of the solution.