

Before: A Traditional Process Document

Unmapped example

The example below is a process document before the Information Mapping method has been applied.

CLIENT SECURITIES

This document describes how Snowden and Farrell processes client securities.

1. The Branch Office receives the securities from the client (by mail, messenger, in person) or the agent of the client. Securities are logged in, and account, security and certificate information is verified through the Securities Processing System (SPS). This is accomplished by accessing the Dividend/Interest, Reorganization, Security Master, and Name & Address databases.
2. The SPS system generates a receipt for the client. SPS also generates a Branch Office Security Receipt Ticket and a manifest to attach to the securities package, which is shipped by overnight courier to the Securities Processing Department.
 - A different process is used for non-negotiable securities. Offices may not receive securities which cannot be presented for transfer.
 - A Vice President or Manager's approval is required for receiving non-negotiable securities, requiring additional documentation, and proceeds from these securities may not be disbursed until the documentation is received.
 - See the chapter in this manual about non-negotiable securities for more information.
3. Securities and documents are scanned by an image processor with optical character recognition ability. The department also creates a routing order for forwarding certificates to transfer agents or depositories and records the transaction in the client's account.
4. Discrepancies in items received and document requirements are communicated to the Branch Office through the SPS.

After: The Same Process Document “Mapped”

Mapped example

The example below is the Mapped version of the same document.

Processing Negotiable Securities

Introduction This document describes what happens when a client sends negotiable securities to Snowden and Farrell Brokerage for processing.

Non-negotiable securities This process applies only to negotiable securities.
Reference: Refer to Chapter 7 for information on what happens when a client sends non-negotiable securities for processing.

Process The table below describes the six stages of the process.

Stage	Responsibility	Description
1	Client or Client’s Agent	Sends securities and supporting documentation to the Branch Office via <ul style="list-style-type: none">• mail• messenger, or• in-person delivery.
2	Branch Office	Receives securities and supporting documentation and enters information into the Securities Processing System.
3	Securities Processing System	Uses the Dividend/Interest, Reorganization, Security, and Name and Address databases to verify <ul style="list-style-type: none">• account• type of security, and• certificate information.
4	Securities Processing System	Generates a <ul style="list-style-type: none">• receipt for the client• Branch Office Security Receipt Ticket, and• manifest to attach to the securities package.
5	Branch Office	Ships the securities package with attached manifest via overnight courier to the Securities Processing Department.
6	Securities Processing Department	Receives securities and documents by <ul style="list-style-type: none">• scanning in securities and documents by image processor• creating a routing order to transfer agents or depositories, and• recording the transaction in the client account. <p><i>Note:</i> The Securities Processing System Security immediately communicates security or documentation discrepancies to the Branch Office.</p>