



A Partner Solution for the Financial Services Sector

Streamlining the Investor Servicing Account Management Process for Mutual Funds, Annuities, General Securities, and Insurance

IBM **Information Management** software

TriTek Solutions Trans@ction eXpress for Investor Services

Partner Solution

■ **Target Industry**

Banking and Financial Markets

■ **Business Applications**

Broker/Dealer Retail and Institutional Investor Servicing Operations for Mutual Funds, Annuities, General Securities, and Insurance

■ **Products**

*IBM FileNet Business Process Manager
IBM FileNet Content Manager
IBM FileNet eProcess Services
IBM FileNet Image Manager
IBM FileNet Image Services*

Business Challenge

Servicing investors can be costly. Brokerage operations are too often overrun and under-equipped to manage the complex and voluminous transactions and queries demanded by the agents, businesses, and customers. Further, back-office processors often lack ready access to relevant data buried deeply in their enterprise legacy applications. Compounding the challenge, transactions include a high volume of exceptions, further lengthening the time before processors can effectively respond to agent and customer queries.

Manual, paper-driven processes prolong even simple requests and breed inconsistency across different types of transactions. In this environment, operations are compromised by extended transaction cycles, lack of real-time intelligence, and lost service requests. In the hands of servicing staff with varying levels of skill and expertise, the shortcomings of such labor-intensive processes stand out even more.

Operations managers also lack administrative control over forms, documents, and other physical content to determine if performance objectives are being met. On the front line, customer service representatives

cannot immediately respond to customer inquiries, resulting in a tremendous amount of time-consuming follow-up. Not surprisingly, customer satisfaction suffers.

Solution

TriTek developed Trans@ction eXpress for Investor Services to enable retail and institutional servicing operations managers to fulfill customer requests free of the manually-driven process challenges they have traditionally faced. Built on IBM's Enterprise Content Management (ECM) suite of products, Trans@ction eXpress for Investor Services delivers powerful results based on the process, content, and connectivity framework that IBM ECM provides.

Using a queue-based framework, Trans@ction eXpress for Investor Services organizes incoming requests by transaction type and provides a customized processing interface for each transaction. Traditional transaction types accommodated by the system include enrollments, deposits, redemptions, account maintenance, allocation adjustments, transfers, and customer correspondence, among others.

Trans@ction eXpress for Investor Services offers an open architecture



as well as a customized interface. Integrating with legacy systems, Trans@ction eXpress gives back-office users new power to access and collect transaction-relevant content without compromising their ability to work in a legacy environment. Trans@ction eXpress has successfully integrated some of the industry's most popular trading, processing, and record-keeping systems, including SunGard, FISERV, and Summit.



Besides access to content, Trans@ction eXpress for Investor Services provides managers with significant administrative control and performance metrics. With its user maintenance utility, managers can specify the processing permissions for any user, and control access and content to any system queue. Customized reports provide managers with the ability to view every action performed within the system from both a user and system perspective in a relational database format, allowing further analysis of any subset of the data

Value Proposition

Trans@action eXpress for Investor Services allows managers to reduce costs, improve service levels, and gain greater control over their processing environment. Trans@ction eXpress can increase accuracy by up to 80 percent, decrease the time required to resolve exceptions by up to 60 percent, and allow organizations to respond immediately to customer service inquiries, resulting in significantly enhanced customer satisfaction.

Trans@ction eXpress for Investor Services enables the delivery and processing of investor servicing requests in an environment designed around the rules and requirements of each individual operation. By distributing work in a structured manner, integrating with legacy systems, and efficiently managing exceptions, Trans@ction eXpress dramatically shortens the processing cycle, yielding an estimated 67 percent increase in productivity and delivering cost reductions to match. In addition, Trans@ction eXpress' real-time audit logging and performance metrics empower managers to monitor service teams, make ad hoc adjustments, and deliver superior service.

Company Description

TriTek Solutions, an IBM Software ValueNet Business Partner since 1998, specializes in the integration of Enterprise Content Management products and related technologies. With over 80 consultants, TriTek has become the leader in the design, development and delivery of Enterprise Content and Business Process Management solutions. Offering industry-specific applications for the financial services, insurance, utilities and government verticals, TriTek is dedicated to solving the greatly varied and complex business problems of its customers.

For more information, please contact:

*Stephanie Banks
+1 617 695 2654 x13
sbanks@tritekso.com*

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3565 Harbor Boulevard
Costa Mesa, CA 92626-1420
USA

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