

# A Streamlined Books and Records Project—On Time and Under Budget

## THE SITUATION

A major broker-dealer faced a large-scale books and records update, which was expected to put significant strain on its back office. Regulatory compliance required meticulous recordkeeping and failure to meet the associated obligations could lead to fines and penalties. The firm needed to manage high volumes of records while maintaining smooth operations.

The project involved:

- Client mailings and image scanning services
- High-touch customer engagement
- A fully scripted call center with after-hours support for investor and representative inquiries
- Direct updates to client records on workflow servers

## THE SOLUTION

SS&C Flex tailored a response strategy, including:

- Defining postal requirements for incoming and undeliverable mail
- Establishing a secure toll-free line with custom scripts for a seamless customer experience
- Creating a transition plan for smooth handover to the client's in-house team

## THE RESULTS

- Delivered an excellent customer service experience achieving a 99.3% call center service level mark
- Optimized costs and efficiency by adjusting staff levels as needed
- Successfully transitioned call center operations
- Completed the project ahead of schedule and within budget

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