

LARGE INVESTMENT FIRM
RELOCATES AND IMPLEMENTS
EFFECTIVE, SPACE-EFFICIENT
AND COMPLIANT RECORDS
MANAGEMENT SYSTEM.



FINANCIAL

Integrated Solution

- ◆ Records management consulting
- ◆ Space planning and high-density mobile system
- ◆ Records relocation
- ◆ Color-coded, bar coded labeling system
- ◆ Development of disaster and recovery plan

More Satisfied Customers

- ◆ FISl Madison Financial
- ◆ Northwestern Mutual
- ◆ ATD – Automatic Trading Desk
- ◆ South Trust Bank

CHALLENGE ◆ When a large, fast-growing, Illinois-based securities and investments firm was planning a move to new headquarters, they decided to evaluate their current records management processes and implement a more effective, space-efficient and compliant system. Files were inefficiently stored in vertical file cabinets throughout multiple departments, many documents were misfiled and some investors had redundant file folders for the same account. Due to fast and unexpected growth, the firm was unable to put a records manager in place to create a records retention policy or a disaster recovery plan.

SOLUTION ◆ SYSTEC records management professionals worked with a contracted architectural firm to consult on space planning and storage equipment design for the new facility. In addition, they analyzed and redesigned the firm's records management program and took steps to provide more space-efficient solutions and ensure regulatory compliance.

After a thorough analysis, 2,700 boxes of inactive files were audited and moved to an off-site facility. It was also determined that seven departments within the firm needed files re-organized prior to relocation. This included removing files from filing cabinets, conducting a file audit, sorting documents and or filing misfiles. Active files were also converted from four individual files per fund to one file folder with two dividers for legal documents and correspondence. To speed retrievals and minimize misfiles, files were arranged chronologically by date, legal compliance retention number and then alphabetically by fund and investor through the implementation of a color-coded, bar coded filing system.

To maximize filing capacity, files were transferred from vertical file cabinets to a shelf-based system made up of several electric, high-density mobile storage systems. Also, as part of a newly-created disaster recovery plan and retention policy, active vital documents were duplicated, labeled, and inventoried electronically before being moved to an off-site storage facility.

The result of this effort was a space-efficient, well-organized filing system that increased productivity and accountability, while reducing the risk of regulatory non-compliance.

SYSTEC is a national organization expert in the design and delivery of fully integrated or individualized information and materials management solutions, offering our customers decades of experience in professional business solutions and product expertise - all from a single source. From storage and space-saving products to a full range of document management solutions, SYSTEC professionals provide total-systems solutions and top-notch service and support all on a local level.

TOTAL SOLUTIONS

Professional Services

- consulting
- conversions
- relocations
- audits
- interfiling
- database development
- purges

Filing Systems/Technology

- filing supplies
- labeling
- tracking
- imaging
- document management

Storage Solutions

- mobile
- rotary
- linear/lateral
- cabinets
- multi-media
- shelving
- heavy-duty

Furniture Systems and Museum Storage

- mailroom
- library
- computer
- museum



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info @ systecgroup.com

www.systecgroup.com

1-877-7SYSTEC