

# Top U.S. Financial Services Firm Uses Standardized Workflows to Increase Efficiency and Quality of Reviewing Four Million Documents Per Year

*Large financial institutions are faced with a wide range of regulatory requirements which require diligence around managing document reviews for litigation and investigations. Integreon became the exclusive provider of managed document review (MDR) services for one of the largest U.S. financial services institutions that consistently ranked in Barron's Top 100 Financial Advisors by helping the firm control costs, increase efficiency and quality, and quickly scale to volume.*

## 01

### Challenge

#### Scaling to Rising Volumes of Documents

As with any large financial services company, growth can come with a host of challenges. At this particular firm, this meant exponentially rising volumes of documents to review for litigation and regulatory and internal investigations. The firm needed to control compliance and legal costs and increase accuracy and efficiency in order to remain competitive and compliant. It became clear that the client needed standardized, repeatable processes that would increase the speed, accuracy and responsiveness of compliance monitoring, reporting and document reviews – and at a lower cost.



# 02

## Solution

### Standardized Workflows that Increase Accuracy and Efficiency



The client's document review needs arise mostly from regulatory investigations (such as the SEC, DOJ, FINRA, CFTC, and the State Attorney General's office) as well as litigation and internal investigations conducted by the client. In recent years, Integreon has reviewed an average of four million documents per year, with email communications accounting for the majority.

To meet these challenges, Integreon provided the client with MDR services and created a standardized workflow with 100% quality control across Integreon's Manila and Fargo locations. As the client's exclusive MDR provider, Integreon maintains a dedicated, permanent pool of 53 associates and adds project attorneys as needed to scale to increased volumes.

As experts in the client's business and subject matter, Integreon anticipates, addresses, and adapts to the firm's internal and external process changes. To ensure the highest levels of workflow efficiency, Integreon conducts an annual review and comparison of the tools utilized by the client. Additionally, Integreon also holds quarterly business reviews with the client to provide a comprehensive account status. A quarterly report is provided to the client and it highlights, for example, the number of documents reviewed compared to the previous year, the number of projects, requested the number of projects completed, which in-house and outside counsel were involved on those matters, etc.

On a project level basis, Integreon provides a standardized daily report to the case team as well as weekly reports to the client's management team. Both of these track the progress of current document review project.

# 03

## Result

### Exceeding Expectations with Slashed Costs and Heightened Efficiency



Over the last 10 years, Integreon has consistently exceeded the requirements dictated by the Service Level Agreement for speed and accuracy of first-level document reviews. Through effective offshoring, skilled staff and efficient workflows, the company is able to drive down the client's legal costs. Providing

dedicated resources for MDR and building upon its institutional and operational knowledge, Integreon is able to steadily increase efficiency and accuracy. The client has also realized substantial cost savings due to the holistic value and efficiency gains of working through one service provider rather than several.

Having a managed services approach has allowed Integreon to develop a deep understanding of the client's business and the specific manner in which the firm wants work completed and delivered. Integreon continues to exceed expectations and function as both a trusted advisor and partner providing advice and support, even on matters outside of the current service purview.

**For more information contact:**  
[info@integreon.com](mailto:info@integreon.com)

