



NWQ

Financial

Notable Solutions, Inc.

BACKGROUND

NWQ Investment Management Company, LLC was founded and began managing assets in 1982, at which time their original legal entity was registered. NWQ utilizes a value-oriented style in managing international and domestic (large, small-mid, small and all-cap) portfolios. Their clients include financial institutions, foundations, endowments, public entities, corporate and multi-employer plans as well as high net-worth individuals. As of December 31, 2004, NWQ manages approximately \$30 billion in assets, with clients nationwide. This company is an SEC registered investment advisor under the Investment Advisers Act of 1940.

CHALLENGE

Ranked as one of Nelson's "Top 20" Money Managers of 2003, NWQ maintains hundreds of thousands of documents each year. These documents include key legal documents, client monthly and quarterly reports, faxed inquiries, historical hardcopy documents and client correspondence. Previously, NWQ maintained hardcopy files of key documents in multi-sectioned folders within their company filing cabinet. Whenever someone needed to reference or file a document, an employee would have to walk to the file room, file the document or attempt to locate the document they were retrieving. The problem they were facing was that not only was NWQ making each individual physically go to the filing area to obtain and file the documents, but only one person was able to access these documents at a time. In addition to the tasking job of physical filing, there was a high risk for human error involved when trying to file a new document or return a document to the original location. This makes the document filing and retrieving process very time consuming, while also leaving room for human error. NWQ decided to implement a solution that would:

- be able to utilize existing multi-function devices (MFD) within the organization.
- be able to archive documents based on a simple to use single button touch.
- be able to distribute electronic copies of documents to clients.
- be able to answer client inquiries in real time while the client is on the phone.

At a Glance:

Company: NWQ Investment Management Company, LLC

URL: www.nwq.com

Headquarters: 2049 Century Park East, 4th Floor, Los Angeles, CA 90067

Primary Business: to utilize a value-oriented style in managing international and domestic (large, small-mid, small and all-cap) portfolios

Founded: 1982

Main Phone: 310.712.4000

SOLUTION

Looking for an easy to use, scanning capture solution, NWQ decided to utilize their existing MFD as a capture source and AutoStore as the server based workflow capture software. Using AutoStore, the administrator at NWQ was able to create a workflow that consisted of:

- Scanning content from their multiple MFDs to AutoStore.
- Converting the documents into a PDF as a standard, unadulterated file.
- Saving the documents into a folder on the network, which were later to be saved into client folders within their CRM system.

Using the new programmed solution, an NWQ employee walks up to their MFD and scans their important document. AutoStore picks up the document, creates a PDF file and then sends the document to a folder on their network. Not only does this solution allow for easy filing capabilities and simple retrieval, but it also saves a tremendous amount of time for the employee that is filing and retrieving documents.

"We started searching for a scanning solution when the sole requirement was to bring business documents into our CRM application," says Hazael Meza, Vice President of Information Technology at NWQ. "Since then, due to growth of the company and new systems, the requirements have been expanded to accommodate more applications and future workflow improvements. We found that AutoStore scales effortlessly as our business grows and the business requirements change."

RESULTS

- Decreased document retrieval speed from approximately 10 minutes to only seconds
- Enhanced client responsiveness
- Ability to provide electronic files to clients fast
- Allows for concurrent user access to a single document
- Simplicity of creating an electronic document
- Confidence that these documents can be easily retrieved
- Immediate access to information

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