

CellTrust SL2™ has proved to be a strategic asset for Registered Representative and Adviser recruitment, client retention and new client acquisition at National Life Group's Broker/Dealer ESI

*“Our technology package is an important part of our recruitment strategy at Equity Services. We wanted to protect our Reps and Advisers in addition to our firm and give our clients a new channel to communicate through that would be easy to use.”*

RICH WHALEN, VICE PRESIDENT TECHNOLOGY STRATEGY & EXECUTION, EQUITY SERVICES INC.

## Case Study

### Industry

Financial Services

### Headquarters

Montpelier, VT USA

## Customer Objectives

Equity Services Inc, a National Life group company, selected CellTrust SL2 to provide their 500+ Registered Representatives and Advisers with a compliant BYOD texting solution to protect the company and them against potential regulatory recordkeeping violations. They wanted their advisers to use a single phone – and they did not wish to archive both personal and business data on the device. They also wanted clients to be able to communicate over one number. SL2's ability to separate work and personal data on one device and integrate an office landline number into the compliant texting channel was crucial to their decision making.

### Specific Challenges

Equity Services Inc, did not want to “outlaw” texting or insist that texting with a client was done on a particular web based system. Instead, they wanted to offer their Reps and Advisers a compliant mobile communication solution on their own phones as part of their technology package. And while the Reps and Advisers want to strengthen their bonds with clients and grow ROI with texting, they also sometimes need to recharge. Almost always, when a client sends a text message, there is an expectation for a speedy response. They needed a way to set boundaries and expectations with the technology.

### Solution

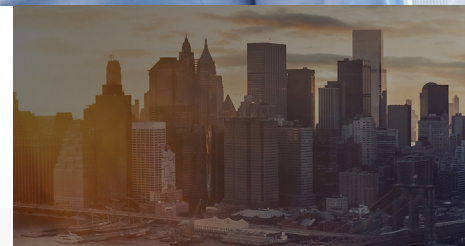
- CellTrust SL2 domain provisioned in a multi-tenanted instance
- Multiple CellTrust Mobile Business Numbers (MBNs)
- SMS hosted office numbers
- Voice and SMS/MMS Services
- Configured for capture in Smarsh Professional Archive

### Results

ESI Reps and Advisers can now communicate with their clients wherever they are and wherever they want to be. Using their personal cell phones, they know that only their work related texts are seamlessly being captured and archived in support of financial regulatory compliance. SL2's Out of Office feature, which automatically texts their clients to let them know when they are unavailable, is also helping them set healthy boundaries and expectations with their clients, so they can find time to recharge.

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National Life Group® (NLG) is a trade name representing various affiliates, which offer a variety of financial service products. Equity Services Inc. (ESI) is a member of NLG. TC137985(1223)1



### Customer

National Life Group's member companies sell life insurance, annuities and investments across the USA. ESI and ESI Financial Advisors (EFA) are the broker-dealer and registered investment adviser member companies of National Life Group.

### CellTrust

CellTrust Corporation is a mobile communications security and compliance leader for financial services, government, and other highly regulated sectors.

**CellTrust's experienced team is ready to help you increase mobile client engagement and advisor productivity while managing risk and enabling regulatory compliance**

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