

CASE STUDY

HSBC Trinkaus & Burkhardt: AFP Documents on Demand

ORGANIZATION

"The world knows us personally." This motto of HSBC Trinkaus & Burkhardt reveals much about how this exclusive private bank views its relationship with its discerning clientele. The Düsseldorf, Germany-based firm combines global investment expertise with exceptional personal attention.

Since 1785, HSBC Trinkaus & Burkhardt has been serving the investment, retirement, and wealth management needs of wealthy private clients, corporate clients, and institutional investors. To retain these clients, the bank offers unparalleled levels of personal service, including clear, timely information about the state of each customer's investment portfolio.

DELIVER CRITICAL AFP DOCUMENTS OVER TCP/IP

Documents represent one of the most tangible links between a bank and its customers. For this reason, financial institutions constantly strive to optimize the generation, distribution, and management of customer statements, reports, and other documents.

In early 2000, the IT staff at HSBC Trinkaus & Burkhardt began a project to examine the effectiveness of their output systems. The team found many areas for improvement.

Much of the bank's output included Advanced Function Printing (AFP) resources, such as logos and overlays. These mainframe-generated AFP documents were stored in an online

After evaluating several options, HSBC Trinkaus & Burkhardt chose VPS/TCPIP from Levi, Ray & Shoup, Inc. (LRS®) to address their TCP/IP printing requirement. The solution worked well with the bank's existing document archiving product, routing all jobs in a specific JES class to the appropriate printer in a remote office.

HSBC Trinkaus & Burkhardt Bank since 1785

document archiving and viewing system. Many documents were subsequently printed on centralized high-speed AFP printers, then delivered via the post. Others traveled over SNA (VTAM) links to remote printers in other offices around Germany.

Like many companies, HSBC Trinkaus & Burkhardt found their SNA-based remote printing strategy to be costly. By switching to a TCP/IP printing strategy, the IT department hoped to eliminate the cost of expensive SNA controllers and troublesome protocol boxes attached to hundreds of remote printers.

At the same time, the IT staff implemented VPS/PCL. This VPS® extension converts AFP output on the z/OS host into PCL data streams that VPS/TCPIP delivers to the bank's existing remote office printers. VPS/PCL eliminated the need for expensive data stream conversion devices or specialized IPDS printers.

CAPTURE CICS AND WINDOWS OUTPUT

Printing from CICS and other online systems was an important concern for the bank. According to Wolfgang Babatz of the bank's IT department:

EXECUTIVE SUMMARY

HSBC Trinkaus & Burkhardt is a German bank that caters to wealthy private clients, corporate clients, and institutional investors. Using VPS and its extensions, the bank developed an output solution to deliver time-sensitive AFP documents via fax and email. This helps the bank provide a high level of personal service to its discriminating clients.

"In the past, many of our CICS applications printed directly to VTAM-connected printers. As a result, a problem with the printer could sometimes affect the actual CICS program, thus causing even larger problems.

"Using the DRS product from LRS, our CICS applications print to a 'virtual printer,' which never jams or runs out of paper." This isolates CICS from printing problems. "DRS places the

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output on the mainframe JES spool, where it can be archived electronically and printed by VPS," says Babatz.

The bank also uses another extension, DRS/TCPIP, to capture output from Windows and other distributed platforms. According to Babatz, "users can now print a large Windows job to our high-speed AFP printers. They simply use the Windows print command with an AFP driver, and direct the output to a DRS/TCPIP virtual printer. This makes more sense than printing a huge Windows report on a low-speed office printer."

PROVIDE INSTANT INFORMATION VIA FAX & EMAIL

Many of HSBC Trinkaus & Burkhardt's clients have their money invested in bonds and securities — investments whose values can fluctuate significantly

over the course of a week or even a single day. Unlike many of its competitors, the bank can provide their customers up-to-the-minute investment information via fax or email.

According to IT Manager Karl-Heinz Sauer, "Our existing fax server supported PCL data streams, so we decided to drive it using VPS/PCL. The technicians at LRS helped us modify an AFP resource table to pass the fax number to our fax server. This fully

automated solution allows us to send over 200 fax jobs per day, totaling nearly 3000 pages. Best of all, our customers receive their information in minutes instead of waiting days for the post to arrive."

In 2003, the HSBC Trinkaus & Burkhardt team implemented VPS/PDF and VPS/Email to enable email delivery of these time-sensitive customer documents. VPS/PDF converts customer AFP statements into PDF files that can be sent electronically via email. Because these documents contain private financial information, each one is encrypted and secured with a password.

The application that generates the AFP documents was not originally designed to support email delivery. A member of the LRS Germany technical team modified a standard VPS exit to extract email address information directly from

the report data. A second exit inserts these results into the Recipient Address, CC, Subject, and other email-specific fields.

The VPS/Email solution works in conjunction with the bank's Lotus Notes system to deliver customer statements in electronic form. According to Herr Babatz, "On a typical day, we send 100 customer emails, totaling around 2000 pages. For select customers who require instant notification on the state of their investments, VPS/PDF and VPS/Email are a great solution."

LRS Solution:

HSBC Trinkaus & Burkhardt implemented an output management solution that includes:

- **VPS® and VPS/TCPIP** to route output to network printers and other devices
- **DRS™ and DRS/TCPIP** to capture z/OS and Windows output and place it on the JES spool
- **VPS/PCL** to convert AFP output for printing on PCL printers and fax servers
- **VPS/PDF and VPS/Email** to convert AFP documents to PDF format then deliver via email
- **VMCF™ and DMCF** to help users and administrators monitor and control the operation of physical and virtual printers

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