**Fifth draft—January 28, 2005—5 PM**

**Phone script for ICSG transaction associates who receive client inquiries on the 888 number**

***First scenario—Client requests a simple transaction, (i.e. balance transfer)***

* Hello, this is [name] of U.S. Trust Private Banking – Private Client Services. How may I help you?
* [The client requests a routine transaction, like reordering checks.]
* Certainly, I’ll be happy to help you with that. Just a minute, please.
* [The ICSG transaction associate fulfills the request.]
* By the way, I wanted to let you know that from now on, you’re welcome to contact your private banker or your banker’s associate directly to handle any of your banking needs. For future reference, do you recall who your personal banker or private banking associate are? If not, I can easily find out for you.
* **[If the client does not know their banker or PBA, the ICSG transaction associate should access BI and review grid to identify the proper PB or PBA assigned to the client. Once the banker and PBA information has been provided to the client, the ICSG associate should ask the client if they would like to be transferred, should they have any additional questions or requests.**
* [The ICSG transaction associate should remain on the line to make sure contact is made, then say:]
* I have [client’s name] on the line who may have a few questions. [Please include any other relevant information so the client does not have to repeat it to the banker or PBA]
* **[Contingency: If the ICSG transaction associate is unable to connect, the associate should ask the client if they would like to leave either a voicemail message or a paper message. If the client opts for a paper message, the associate should give it to the banker or PBA.]**

***Second scenario—the client only wants a transaction processed—complicated request***

* Hello, this is [name] of U.S. Trust Private Banking – Private Client Services. How may I help you?
* [The client requests a complicated transaction.]
* I believe this is a request that might be better handled by your private banking associate. Let me see about locating your Private Banker or personal private banking associate. Do you recall who your personal banker or private banking associate are? If not, I can easily find out for you and I’ll remain on the line to make sure you reach [the desired person.]
* **[If the client does not know their banker or PBA, the ICSG transaction associate should access BI and review grid to identify the proper PB or PBA assigned to the client. Once the banker and PBA information has been provided to the client, the ICSG associate should stay on the line to make sure contact is made.** When the desired PB or PBA picks up]:
* I have [client’s name] on the line who needs assistance with [a complicated transaction or another situation].
* **[Variation: if the requested Banker/PBA is different than what the client requested]**
* It appears that [former Banker/PBA} is no longer in that role. [New banker/PBA] is now your personal banker/private banking associate. Let me transfer you to [him/her].
* **[Contingency: If the ICSG transaction associate is unable to connect, the associate should ask the client if they would like to leave either a voicemail message or a paper message. If the client opts for a paper message, the associate should give it to the banker or PBA.]**

*Third scenario—the client wants to speak directly to his/her PB or PBA*

* Certainly, I’ll be happy to get them for you. Just a minute, let me connect you. I will remain on the line to make sure you reach [him/her]
* [The ICSG transaction associate will have a grid that will immediately identify the proper PB or PBA assigned to the client.]
* By the way, I wanted to let you know that from now on, you’re welcome to contact your private banker or your banker’s associate directly to handle any of your banking needs.
* [The ICSG transaction associate stays on the line to make sure contact is made. When the desired PB or PBA picks up]:
* I have [client’s name] on the line, who may have a few questions. [Please include any other relevant information so the client does not have to repeat it to the banker or PBA.]
* **[Variation: if the requested PBA is no longer the client PB’s PBA]**
* It appears that [old PBA] is no longer in that role. [New PBA] now works with your banker. I’ll get [him/her] for you.
* [The ICSG transaction associate stays on the line to make sure contact is made. When the desired PB or PBA picks up]:
* I have [client’s name] on the line. I’m transferring [him/her] now.
* **[Contingency: If the ICSG transaction associate is unable to connect, the associate should ask the client if they would like to leave either a voicemail message or a paper message. If the client opts for a paper message, the associate should give it to the banker or PBA.]**