

CHECKLIST

Brokerage AI Voice Agent Implementation Checklist

Kickoff-to-live checklist for an AI voice agent at a forex or CFD brokerage: data, compliance, CRM and MT4/MT5 links, voice setup, pilot, monitoring.

WHO IT IS FOR

Broker ops leads, retention heads and project owners running the first AI voice agent rollout at a forex or CFD brokerage.

TIME TO COMPLETE

2 hours to plan, 2-3 weeks to run

This checklist walks a brokerage from "we signed with a vendor" to an AI voice agent calling real traders every day, with a named owner for each step. It covers the seven stages most implementations go through: kickoff, list data, compliance sign-off, integrations, voice and script setup, a bounded pilot, and the monitoring you need before you scale. Work through it once with your ops lead, your compliance officer and your CRM admin in the room. When every box is ticked you'll have a live campaign, a written go/no-go record for the pilot, and a scaling plan that doesn't depend on one person remembering what was agreed.

1 Kickoff and scope

Most stalled rollouts stall here: nobody wrote down what the first campaign is or who decides when it's done. Fix that on day one.

- ☐ **Pick one campaign for the first rollout: dormant trader reactivation, deposit follow-up, KYC reminders or registration follow-up.**

One use case keeps the field mapping, the script and the compliance review small enough to finish. Add the second campaign after the first one runs for two weeks.

- ☐ **Name the project owner, the compliance sign-off, the CRM admin and the retention lead who will listen to calls.**

Four people, four names. If one seat is empty the rollout waits on that seat, so fill it before the kickoff call.

Owner: _____ Compliance: _____ CRM: _____ Retention: _____

- ☐ **Write the go-live definition in one sentence, with the list, the daily call volume and the outcome that counts as working.**

Example: the agent calls 300 dormant MT5 accounts a day, writes a disposition to HubSpot within a minute, and books callbacks for the retention desk.

☐ **Set the pilot size and the pilot end date before anything is built.**

A pilot without an end date becomes the product. Two weeks and a fixed list segment is enough to read connect rate, reactivation rate and cost per reactivated trader.

Pilot list size: _____ **Pilot ends:** _____

☐ **List the systems the agent touches: CRM, MT4/MT5 or back office, payment or deposit records, email tool, compliance archive.**

Each system on the list is an integration task in the integrations section below. Missing one here means finding it during the pilot.

☐ **Agree the weekly check-in: who attends, which numbers are reviewed, who can pause the campaign.**

Pausing authority matters more than it sounds. When compliance spots a script problem on a Tuesday they need to stop calls that hour, not at Friday's meeting.

☐ **Book the vendor kickoff and ask for their setup timeline in writing.**

Topcalls typically has live campaigns within around two weeks; whatever vendor you use, get their equivalent dates and hold them to it.

2 List and data readiness

The agent is only as good as the list it dials. Clean the data before the first test call, not after the first complaint.

☐ **Export the target segment from the CRM or MT4/MT5 with the fields the agent needs: name, phone, language, country, account status, last trade date, balance band, assigned account manager.**

Language and country drive which script and which calling window apply. Last trade date and balance band drive how the agent opens the call.

☐ **Normalise every phone number to E.164 and drop rows that fail.**

Numbers with missing country codes either don't connect or connect to the wrong country. A rejected row now is cheaper than a wrong-number call later.

☐ **Deduplicate on CRM record ID or MT4/MT5 login, never on phone number alone.**

Shared family numbers and multi-account traders both break phone-based dedupe. Two calls to one household on the same morning reads as harassment.

☐ **Remove closed accounts, accounts under dispute, chargeback cases and anyone flagged by compliance.**

These traders should never appear in a reactivation list. Ask compliance for the exclusion list and apply it before the upload, not inside the calling platform.

☐ **Apply the do-not-call suppression: internal opt-outs, national registries for each country in the list, and prior "stop calling" dispositions.**

Keep the suppressed count. The number of rows you removed is the first thing an auditor asks about.

- ☐ **Check the calling-hours column: local timezone per trader, not the timezone of your office.**

A list spanning London, Dubai and Sydney needs three calling windows. Most platforms handle this from the country field if the field is populated.

- ☐ **Split the list into the pilot segment and the hold-out segment, and freeze both.**

A frozen hold-out lets you compare reactivations against traders who got no call. Without it the pilot result is a guess.

- ☐ **Record the list version, the export date and the row counts before and after cleaning.**

You'll rerun this monthly. A dated record turns the second run into a procedure instead of a rediscovery.

Exported: _____ Rows in: _____ Rows out: _____

3 Compliance sign-off

State what gets reviewed and who signs it. This section produces a signed record, not a legal opinion. Confirm each item with your compliance officer or counsel.

- ☐ **Confirm the lawful basis for calling each segment under GDPR (consent, legitimate interest or contract) and document it per country.**

Dormant traders who opted out of marketing years ago are a different case from active clients with a pending KYC step. Treat each segment separately and write the basis down.

- ☐ **Review TCPA and TSR obligations for any US numbers in the list, including prior express consent for automated calls and calling-hour limits.**

If you can't show consent for a US number, leave it out of the automated campaign. Confirm the position with counsel before the first US dial.

- ☐ **Review the script against FCA financial promotion rules if you market to UK clients, and the equivalent rules for each other regulator you answer to.**

Promotional language about returns, bonuses or trading opportunities is the part that gets flagged. Have compliance mark every sentence that could count as a promotion.

- ☐ **Confirm call recording and retention requirements under MiFID II or your local equivalent, and where recordings will be stored.**

Topcalls includes recording and transcription in the per-minute rate, but where they're retained and for how long is your decision to document.

- ☐ **Approve the AI disclosure line the agent says at the start of every call.**

Decide the exact wording, where in the opening it sits, and what the agent does when a trader asks "are you a real person". Put the approved text in the script, not in an email.

- ☐ **Define what the agent must never say: return figures, guaranteed outcomes, personalised investment advice, pushing bigger position sizes, pressure to deposit.**

Write these as a banned list the script owner checks against. The QA reviewer in the monitoring section uses the same list.

- ☐ **Confirm the opt-out path: what the trader says, what the agent does, and how the flag reaches the CRM and the suppression list within the same day.**

An opt-out that sits in a call transcript nobody reads is an opt-out you didn't honour.

- ☐ **Get written sign-off from the compliance officer on the script, the list criteria and the retention setup before the first pilot call.**

One page, dated, signed. This is the document you show the regulator.

Signed by: _____ **Date:** _____

4 Integrations

The agent needs to read trader data before the call and write outcomes after it. Plan both directions, one field at a time.

- ☐ **Choose the integration path: native CRM connector, webhooks into your own middleware, the Integrations catalog (764+ tools) or the REST API.**

Topcalls connects HubSpot, Salesforce and Pipedrive directly and fires webhooks on call events. Pick the path your team can maintain at 3am, not the most powerful one.

- ☐ **Map every field the agent reads before dialing to its CRM internal field name, and flag which ones actually live in MT4/MT5 or the back office.**

Last trade date and equity usually aren't in the CRM. Decide whether they sync into the CRM first or come in on the list export.

- ☐ **Create dedicated CRM fields for call outcomes: disposition, timestamp, duration, callback time, recording link, transcript link, summary, do-not-call flag.**

Don't overwrite existing status fields. Retention managers need to see the last human note and the last AI call side by side.

- ☐ **Define the disposition list and map each one to a CRM status and a next action.**

Interested, callback booked, not interested, wrong number, opt-out, no answer, voicemail. Each needs a CRM value and an owner. A disposition with no next action is a dead end.

- ☐ **Set up the trigger for the human handoff: which dispositions create a task for the retention desk, and where the task lands.**

The agent's job on a reactivation call is often to warm the trader up and book the callback. If the callback task lands in a queue nobody watches, the call was wasted.

- ☐ **Connect the deposit or funding event so a trader who funds after the call is marked as reactivated automatically.**

Cost per reactivated trader depends on this link. Without it you're counting promises instead of deposits.

- ☐ **Test the full round trip on five records: upload, call, disposition written, task created, opt-out flag synced.**

Five records in a sandbox catch the mapping errors. Do this before the pilot list is uploaded.

5 Voice and script setup

Build the agent the way you'd brief a new retention rep: who it is, what it knows, what it's allowed to promise and when it hands over.

- ☐ **Write the agent's identity: name, the brokerage it calls for, the reason for the call in one sentence, and the approved AI disclosure.**

The opening 10 seconds decide whether a dormant trader stays on the line. Say who you are, why you're calling and that it's an AI assistant, then ask a question.

- ☐ **Pick the language per segment and the voice per language from the platform's catalogue.**

Topcalls supports up to 78 languages on a call. A Spanish-speaking trader in Dubai gets a Spanish agent, not an English one with an accent setting.

- ☐ **Load the knowledge the agent may use: current platform features, deposit methods, KYC steps, support hours, account manager names.**

Keep it to what the agent needs for this campaign. Loading the whole help centre produces long, wandering answers.

- ☐ **Write the objection responses for the five you hear most: lost money, no time, switched broker, don't trust automated calls, market's too volatile.**

Use the lines your best retention rep uses today. The agent should acknowledge, answer in two sentences and return to the next step.

- ☐ **Define the handoff rule: which phrases or questions transfer to a human, and what happens outside desk hours.**

Complaints, disputes and anything about specific trades go to a person. Outside hours the agent books a callback and writes the reason in the CRM.

- ☐ **Set the voicemail behaviour: leave a message, hang up, or retry, and the retry schedule per disposition.**

Three attempts over five days at different times of day is a common starting point. Set the ceiling in the platform so nobody gets called a sixth time.

- ☐ **Run ten internal test calls with team members playing traders, and listen to every one.**

Check latency, interruption handling and whether the agent respects the banned list from the compliance section. Fix the script, then rerun.

- ☐ **Have compliance listen to three of the test recordings and initial the final script version.**

Scripts drift between the draft that was approved and the one that goes live. Tie the approval to a version number.

Script version live: _____

6 Pilot

A small, bounded run on real traders with a written pass mark. Score it on the table below before anyone says the word scale.

- ☐ **Upload only the pilot segment and confirm the row count matches the frozen list.**

A mismatch here means the suppression or dedupe step got skipped somewhere between the sheet and the platform.

- ☐ **Start at a low daily volume for the first two days, then raise it once dispositions and CRM writes look right.**

Fifty calls on day one tells you whether the integration works. Five hundred on day one tells you the same thing with ten times the cleanup.

- ☐ **Listen to at least ten calls a day during the first week, across every disposition, the losses included.**

Wrong-number and not-interested calls show you script problems the interested calls hide.

- ☐ **Track the pilot numbers daily: calls placed, connect rate, average duration, dispositions, callbacks booked, deposits from called traders, opt-outs.**

Pull deposits from the funding event you connected in the integrations section, not from the agent's transcript.

- ☐ **Compute cost per reactivated trader from your own numbers: minutes used times the per-minute rate, divided by traders who funded.**

At \$0.35 per minute all-inclusive the cost side is simple arithmetic. The reactivation side is your funding data. Fill the field with your own result.

Minutes: _____ Cost: _____ Funded: _____ Cost each: _____

- ☐ **Log every complaint, misunderstanding or compliance flag with the recording link and the fix applied.**

Three entries with fixes is a healthy pilot. Zero entries usually means nobody was listening.

- ☐ **Hold the go/no-go meeting on the pilot end date and record the decision against the gates in the table.**

The table is the record. Fill in your own target for each gate before the pilot starts, then the actual at the end.

GATE	YOUR TARGET	PILOT ACTUAL	PASS?
Connect rate on the pilot segment	___ %	___ %	Y / N
Dispositions written to CRM within a minute	___ %	___ %	Y / N
Callbacks booked per 100 connected calls	___	___	Y / N
Traders funded within 14 days of the call	___	___	Y / N
Cost per reactivated trader	___	___	Y / N
Compliance flags with an unresolved fix	0	___	Y / N
Opt-outs synced to the suppression list same day	100 %	___ %	Y / N

7 Monitoring and scale

The pilot proved it works on one segment for two weeks. Scaling means it keeps working when nobody is watching every call.

- ☐ **Set the daily dashboard the ops lead checks: calls placed, connect rate, disposition mix, callbacks, opt-outs, minutes used, errors.**

One screen, checked every morning. A connect rate that halves overnight is usually a carrier or list problem, and you want to see it before lunch.

- ☐ **Define alert thresholds and who gets paged: connect rate below X, opt-out rate above Y, CRM write failures above Z, zero calls placed in a scheduled window.**

Use your pilot numbers to set X, Y and Z. Route the alert to a person with pausing authority.

Connect < _____ % Opt-out > _____ % Write fails > _____

- ☐ **Schedule weekly QA: a sample of calls per disposition scored against the banned list and the script by the retention lead and compliance.**

Ten calls a week keeps the reviewer's ear tuned. Rotate who listens so one person's blind spots don't become the standard.

- ☐ **Add segments one at a time: next dormancy band, next country, next language, each with its own calling window and compliance check.**

A new country is a new consent basis and a new do-not-call registry. Don't inherit the pilot's sign-off across borders.

- ☐ **Raise daily volume in steps and confirm the retention desk can absorb the callbacks each step creates.**

The agent can place far more calls than a human team. The bottleneck moves to whoever handles the interested traders, so size that queue before the next step.

- ☐ **Re-run the list build monthly: fresh export, suppression, dedupe, hold-out, versioned.**

Traders go dormant every week. A list built once in January is stale by March.

- ☐ **Review the second campaign from the kickoff section once the first has run four clean weeks.**

Deposit follow-up and KYC reminders reuse most of the integration. The script and the compliance review are new; the plumbing isn't.

How to use this checklist

1. Print it or share the PDF with the four owners named in the kickoff section, and fill in the blanks together in one session.
2. Work through the sections in order. Data and compliance both have to be complete before integrations start, and integrations before the pilot.
3. Write your own targets into the pilot table before the first real call is placed.
4. Keep the completed checklist, the signed compliance page and the pilot table together as the rollout record.
5. Rerun the data and monitoring sections monthly; rerun the compliance section for every new country or segment.

Book a 30-minute call with a Topcalls co-founder

We walk through your first campaign, size the dormant book, map the CRM and MT4/MT5 flow, and send a written pilot proposal within 48 hours.

topcalls.ai/book