

## Access Data Exchange<sup>SM</sup> 22c-2 Services for Intermediaries

Access Data Exchange (AccessDX<sup>SM</sup>) supports straight-through processing for Intermediaries and Funds by facilitating the movement of detailed shareholder data from intermediary data source systems to the fund families via secure data conduits.

### Intermediary Data Sources

- Mutual Fund Supermarket Portals
- Broker Dealer Sub-Accounting Platforms
- Retirement and Trust Platforms
- Variable Annuity Platforms
- DTCC/NSCC Standardized Data Reporting

AccessDX aggregates Tier I and indirect (Tier II & III) sub-account data and delivers detailed shareholder information so that both the intermediary and its fund partner meet the requirements for Rule 22c-2. Utilizing Access Data's proprietary technology, Interface Objects<sup>TM</sup>, to rapidly develop data interfaces, and its FlexWork<sup>TM</sup> workflow technology for processing, tracking, and delivery of fund partner data request responses to mutual fund partners, AccessDX provides financial intermediaries a cost effective approach to meeting the requirements of Rule 22c-2.

### AccessDX Sub-Account Data Extraction and Aggregation

AccessDX service provides intermediaries with a way to extract data from its shareholder accounting systems, aggregate the data from Tier II intermediaries, and respond to fund requests for sub-account level transaction activity for Tier I and II data and beyond. AccessDX uses its Interface Objects technology, to load, move, and transform specific data related to individual transactions, accounts, firms, offices, reps, and products.

Once detailed shareholder data is extracted from Tier I and indirect intermediary sub-accounting platforms, it is moved to Access Data's proprietary relational data warehouse called Access DataWare<sup>TM</sup>. Access DataWare combines industry specific ETL tools with a web native JAVA based analytic engine to provide access to detailed, accurate and timely information based on your fund partner's specific business requirements.

### AccessDX Sub-Account Data Delivery

AccessDX provides workflow functionality to monitor and troubleshoot each 22c-2 related data request. AccessDX workflow capability monitors the progression of each data request received while keeping a running record of all rejections, exceptions, and user interventions necessary for the request to be processed. It also stores the name, date, and time of any user accessing the workflow and any user comments or additional documentation. AccessDX also provides workflow functionality to deliver indirect intermediary omnibus account data.

### AccessDX Sub-Account Data Delivery

- Receives detailed data requests from all sources
- Allows users to monitor the processing of requests, acknowledgements, rejects, and responses
- Normalizes data elements from across multiple tiers of intermediaries
- Changes and updates file format requirements as needed
- Provides data retrieval and formatting to meet industry standard requirements such as those of utilities and portals
- Establishes a secure environment for data transfer
- Provides data storage capabilities

### AccessDX Services

AccessDX provides integrated shareholder compliance workflow for tier I intermediaries to monitor fund requests and deliver data from tier II and beyond.

### AccessDX Enables Intermediaries to:

- Establish shareholder workflow for each Tier II intermediary to meet data requests from fund partner
- Establish or maintain a tracking number for each data request initiated by a fund partner
- Identify different data request types with specific workflow steps for each indirect intermediary request
- Log data requests, acknowledgements, and rejects while storing notes supporting action steps
- Log action step and provide alerts for next steps or elevation

## Access Data Exchange<sup>SM</sup> Technology Advantage

Access Data technology offers an unparalleled, comprehensive solution to the technology and business challenges facing Tier I and indirect intermediaries today. Key components of AccessDX architecture include:

### Access DataWare<sup>TM</sup>

Access DataWare is the relational repository for AccessDX. Its design combines industry specific ETL tools with a web native JAVA based rules engine to provide access to secure, detailed, accurate, and timely information based on your firm's specific business requirements. Access DataWare provides a comprehensive solution to aggregation and storage, all based on a common, scalable architecture and view of critical transaction information derived from multiple sources.

### FlexRules<sup>TM</sup>

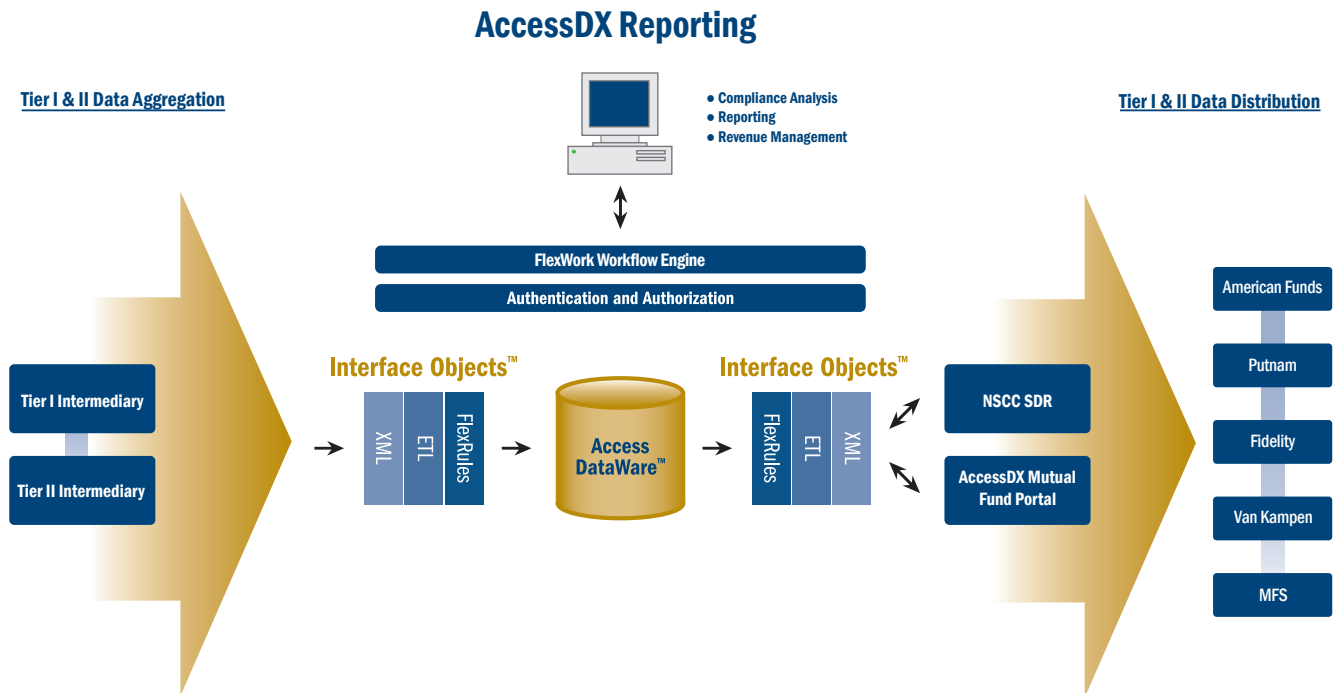
FlexRules technology enables AccessDX users to rapidly implement complex allocation and reporting rules that are specifically aligned to your individual business requirements. Configured at the firm, department, channel, territory, campaign, and sales rep level, FlexRules can be dynamically changed, deployed, and maintained - thereby minimizing the need for custom programming.

### Interface Objects<sup>TM</sup>

Interface Objects streamline the configuration and loading of data from internal and external sources, including legacy record-keeping systems and even flat files and spreadsheets. Using Interface Objects technology, data is loaded, moved, and normalized based on specific business rules for your firm. Interface Objects load data related to individual transactions, accounts, firms, offices, reps, and products.

### FlexWork<sup>TM</sup>

FlexWork is a workflow and content management engine used in the AccessDX service. Workflow and content management are integral to data request management, data retrieval activities, daily operations, processing, and compliance reporting. FlexWork maintains a queue of pending work that can be prioritized and assigned to users. FlexWork enables complex business processes to be broken into manageable steps within AccessDX. This workflow enables users to monitor and manage any data request and retrieval process, and creates a specific record for each of these requests and the action taken to respond to those requests. These records can be easily accessed and reported for purposes of audit by internal groups, fund boards, and even regulators.



### AccessDX On-Demand

With AccessDX On-Demand, Access Data professionals handle all of the back office functions including: technology, data management and stewardship, and product upgrades. There are no hardware or software acquisition costs or operational responsibilities.