

Access Data ExchangeSM Services for Mutual Fund Companies

Access Data Exchange (AccessDXSM) supports straight-through processing for SalesVision clients and their financial intermediaries by facilitating the movement of detailed shareholder data from intermediary data source systems to SalesVision via a secure data conduit.

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 SalesVision users can easily access omnibus account sub-accounting data to meet multiple business requirements to include: 22c-2 compliance, detailed sales reporting, wholesaler compensation calculation and reporting, and distributor compensation tracking.

AccessDX Sub-Account Data Extraction, Aggregation and Delivery

AccessDX service provides SalesVision users with easy access to financial intermediary sub-account data whether it is accessed through an industry conduit such as the DTCC/NSCC or private data conduits such as daily mutual fund supermarket portals or data networks supporting retirement TPA intermediaries.

AccessDX service extracts data from Tier I intermediary shareholder accounting systems, aggregates data for Tier I and II intermediaries, and responds to SalesVision users' requests for sub-account level transaction activity for Tier I and II data and beyond. AccessDX uses Interface Objects™ technology to load, move, and normalize specific data related to individual transactions, accounts, firms, offices, reps, and products.

AccessDX Sub-Account Data Delivery

AccessDX provides workflow functionality to monitor and troubleshoot each data request to meet the specific data demands for 22c-2 compliance, as well as daily data transmissions to support detailed sales and compensation reporting. 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 Sub-Account Data Delivery

- Receives detailed data requests from all sources
- Allows SalesVision 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

Access Data SalesVision[®]

Access Data SalesVision integrates omnibus sub-account data directly from AccessDX with transfer agent data and provides a unique business view for each user group within your firm.

AccessDX Enables SalesVision Users to:

- Monitor trading for 22c-2 compliance
- Calculate wholesaler compensation
- Track intermediary revenue sharing agreements
- Access detailed enterprise sales information
- Analyze sales and asset trends across all distribution channels

Access Data Technology Advantage

Access Data technology offers an unparalleled, comprehensive solution to the technology and business challenges facing mutual fund companies and financial intermediaries. Key components of SalesVision[®] and AccessDXSM architecture include:

Access DataWare[™]

Access DataWare is the relational repository for SalesVision. 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[™]

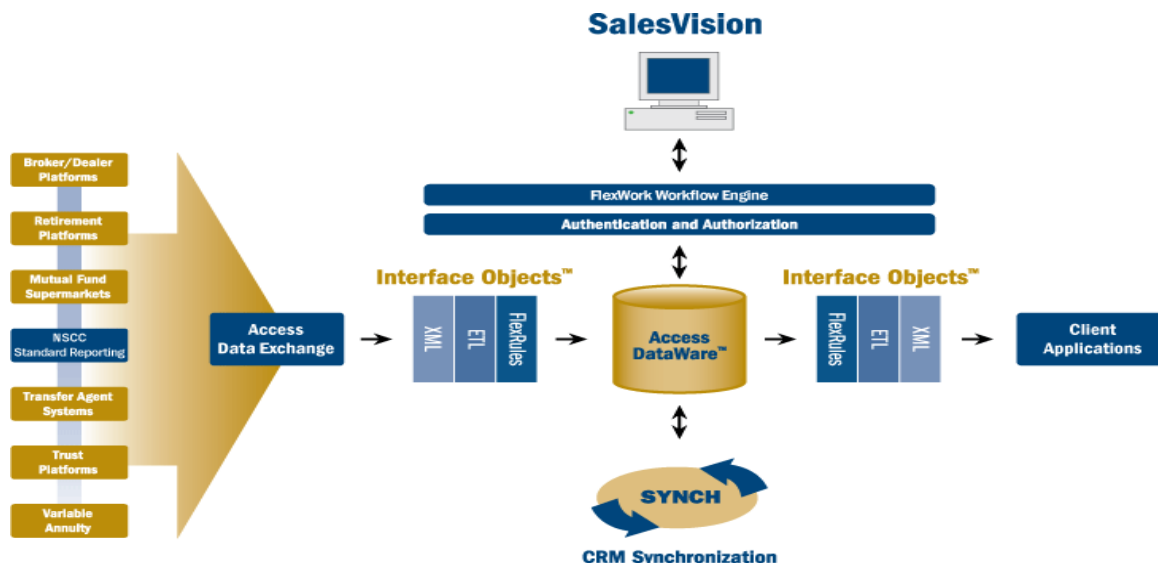
FlexRules technology enables SalesVision users to rapidly implement complex allocation and reporting rules that are specifically aligned to your individual business requirements. Configured at the firm, department, channel, territory, campaign, and sales rep level, FlexRules can be dynamically changed,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

Interface Objects[™]

Interface Objects streamlines 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[™]

FlexWork is a workflow and content management engine used in the AccessDX application. 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.