Industry Data Extranet Application

Most Industry or Professional associations have a mandate including some or all of the following objectives:

- To serve their members as advocates to government
- Act as a self-regulator or watchdog
- Provide a unified voice for the industry or profession in the media
- Collect and analyze data pertaining to the industry for regulatory purposes
- Provide the membership with consolidated industry information while maintaining confidentiality over sensitive competitive information
- Act as a licensing or certification body

Access to information from the member community is vital for the success of all associations. It is difficult if not impossible to fulfill any of the mandates above without accurate, timely information from the membership. At the same time, members must be cautious when sharing sensitive or competitive information.

In some industries the collection of information by the association is mandated by legislation for the purposes of ensuring public safety or the financial viability of the industry and ultimately the economy. For others, the access to information is on good faith or tied to maintaining membership in good standing. Regardless of the circumstance, every association must demonstrate three imperatives when collecting and disseminating information:

- Security
- Timeliness
- Accuracy

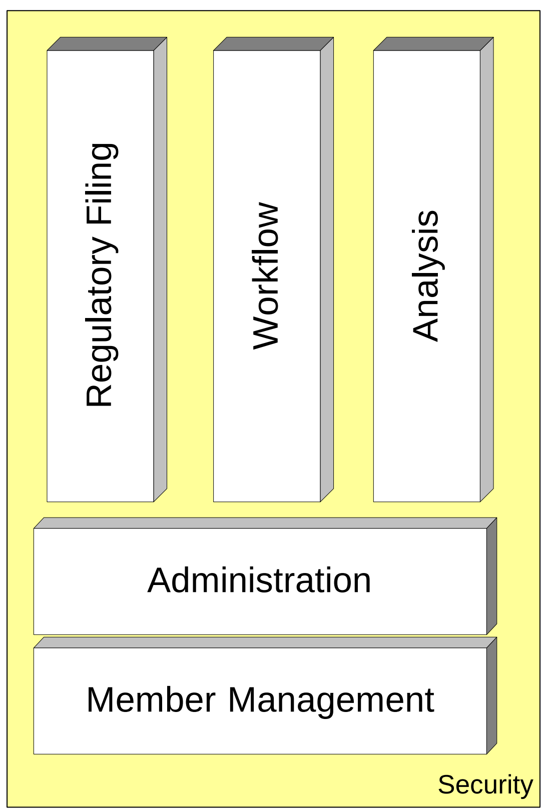
AGORA CONSULTING PARTNERS has developed a secure member-based extranet core that provides associations with one online application for managing the profile of their members and gathering and disseminating key regulatory and other industry specific information. We call this application the **Industry Data Extranet Application** or **IDEA**.

IDEA provides member firms with an easy means for completing and filing required reports. In return, member firms can access timely industry information and consolidated reports based on their submission and those of the other members of the industry.

Associations benefit from **IDEA** through the control of submission criteria and forms, shortened timelines for filing including review and refilling when needed and the improved reporting capability to governments, other regulatory bodies, the public and most importantly the membership.

The applicability of **IDEA** extends beyond regulatory filing and can include voluntary submission of information, registration of members, maintenance of members and related entities, oversight over licenses and certificates and industry analysis and research.

IDEA is a modular application allowing associations the freedom to choose which modules apply to their circumstance without implementing the entire application. Each module is described below.



Industry Data Extranet Application

Member Management Module

At the heart of the system is a constituent or member management module. This module maintains the profile of each member organization. It is capable of keeping a wide range of relevant information and is customizable to meet your specific criteria.

Relationship Management

This module enables the association to enhance the profile of its members by creating and maintaining any type of third party relationship as part of a member's profile. Some examples are tracking the auditor or legal counsel of record for a member.

Administration Module

Security

IDEA requires users to log into the application with a user name and password. It is typically deployed in combination with SSL (Secure Socket layer) to ensure that the user name and password cannot be intercepted in transit. IDEA is fully PKI enabled. Within the application, users are assigned rights based on their roles. The types of roles and permissions are customized based on your needs and can be adjusted through the Administration Module.

User Management

Users and Group management is done in the User Management module. From here users can be added to the system, assigned rights, and added or removed from roles.

Error Logging

Errors within the system are written the Windows Event Log. Administrators can easily review the log to discover any problems in the system. Alternatively errors can be emailed to System Administrators.

Regulatory Filings Module

At the core of the Regulatory Filing module are the statements and schedules. These are custom created for each association, generally based on existing forms and filing systems to maintain consistency. The forms can have virtually any look and feel. The filings are made of any number of schedules or statements that, once completed, make up the filing "package". Logic checks and mandatory field checks are performed on each schedule or statement as it is being completed.

In most cases, prior to being filed the package must be approved by a person with approval rights at the member organization. This basic workflow is included in this module.

The Regulatory Filings Module has a number of other modules associated with it. Each module adds to the power of the Regulatory Filing functionality. These other modules are:

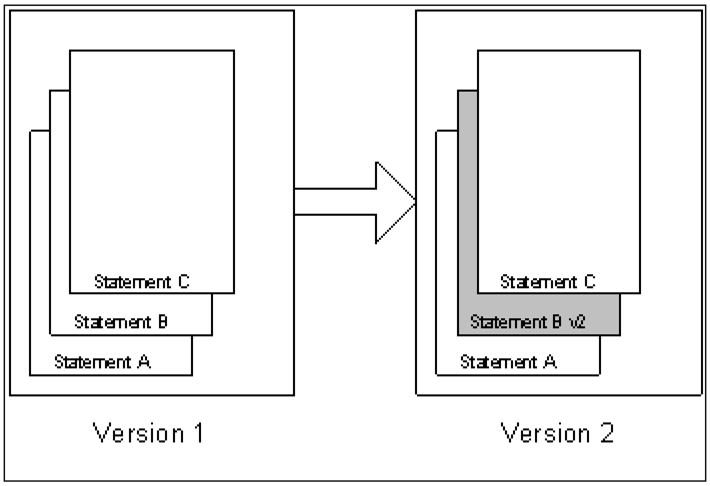
- Side by Side Filing
- File Versioning
- Comments

Side by Side Filing

In the event that a filing is rejected and has been resubmitted, side-by-side filing allows reviewers to see the original filing next to the current filing with the changed numbers highlighted. This allows reviewers to quickly focus on the differences between two versions of a specific filing.

File Versioning

Over time one or more forms in the filing package may change or forms may be added or deleted. The addition of the Filing Versioning Module enables the association to stamp each "version" of a package with the statements and schedules as they existed at that time. If a user retrieves a filing that used a past version of statements or schedules they will be correctly displayed with those forms. This eliminates the cumbersome process of managing the version of filings from the membership. In many current business processes it is possible for a member to file by fax, mail or even electronically but there is no control over which version of a form is used until it reaches the association and is rejected, delaying the consolidation of information. This module manages this process by enabling an association to change a schedule or statement and alert the members of the change. No longer will a firm have the ability to file using outdated schedules or statements, yet when reviewing past filings they will be shown in the original form as they were submitted.



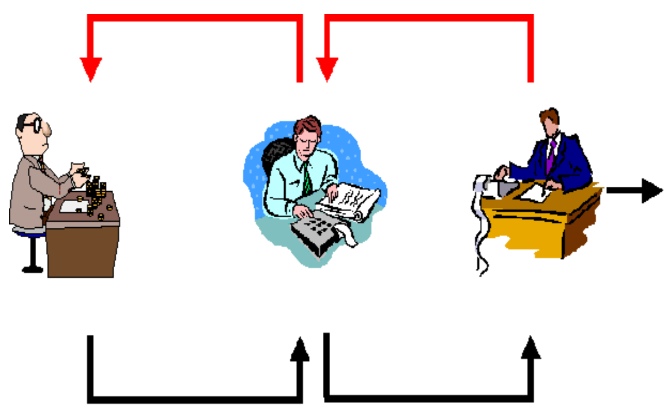
Commenting

This module enables a user or reviewer to comment on individual schedules and statements or an entire filing package for others in the workflow to read. Comments are shown in a threaded discussion format with the user's name and the time of comment. This functionality is designed to reduce the need for phone calls, resubmissions and other back and forth exchanges of information.

Workflow Module

By adding this module the application model can manage "n-level" workflow. For example, when a member firm files the package it can then go to an assigned manager at a Self Regulatory Organization, an Auditor, or any other third party. This third party can review the filing and approve or reject it. The reviewer can enter comments on any statement or schedule to indicate why a package is being rejected.

Rejected packages are returned to the member firm. Approved packages are then routed to the next level up the workflow. This process can be repeated any number of times.



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Analysis Module

For this system to be valuable to both the Constituent and the Association it must be able to analyze the information gathered and return valuable industry information. This module contains the following sub-modules:

- Reporting
- Graphing
- Ad Hoc Reporting

The analysis engine leverages SQL Server Analysis Services and can integrate with any of the major Business Intelligence tools written for the Microsoft platform.

Reporting

The Reporting functionality provides the Association with all of the reports required to satisfy its commitment to its members and other agencies such as government or other regulatory bodies. Each report is custom built to deliver the information in the layout required. All of the reports are delivered in a PDF format for easy distribution and review.

Graphing

The information in the reports can be enhanced with the addition of the Graphing Module. This module turns numerical reports into powerful analysis tools for presentation purposes. Graphs are created as server-side images and do not require additional client-side components. They can be exported to any of the Microsoft Office Applications.

Ad Hoc Reporting

In some circumstances it may be required to provide users with the ability to query summary data and generate Ad Hoc reports for their use. This module provides that functionality. Security is put in place to ensure that these Ad Hoc queries and reports do not result in the inadvertent access to sensitive, competitive information.

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