



Buying Considerations: 22c-2 Compliance

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Everyone is trying to find an effective and cost-effective 22c-2 solution. Here are a few questions you need to ask before you decide on a 22c-2 solution for your organization.

#1 Do you have total control over your data?

Unlike transfer agent solutions, MARS provides you with visibility into all of your data. The MARS 22c-2 module is built on a relational database that gives you total control over your data. MARS overcomes the challenge of tracking many sources of data in addition to the TA sales data. We have clients who are taking in trade, asset and shareholder account information from many intermediaries (trust systems, brokerage sub-accounting systems, mutual fund supermarket trading platforms, etc.). MARS 22c-2 Compliance provides the flexibility to define both omnibus and non-omnibus compliance rules and scenarios to monitor all transactions for 22c-2. MARS is used by many of our clients to assist them in identifying situations where potential improper trading may be occurring.

And MARS provides more than just data review. The MARS Workflow Management Process provides a complete compliance monitoring solution. The Workflow Management Process will enable your compliance department to track and document action item communication for all compliance violations. MARS Workflow Management Reporting provides compliance departments a comprehensive and efficient approach to comply with SEC Rule 22c-2 and provides you with total control over your data.

#2 Compliance with 22c-2 is not only a responsibility, but also an opportunity to get the most information out of your data. Will your 22c-2 solution provide you with any added value?

MARS will turn your 22c-2 compliance obligation into a strategic advantage by leveraging your data to provide your organization with sophisticated sales reporting and business insights. The MARS Product Suite not only includes the SEC Rule 22c-2 compliance module, but it also allows you to take advantage of your 22c-2 data to conduct advanced Sales and Asset reporting along with business analytics to increase profitability and reduce operating expenses.

And, as an added value, MARS provides prospectus compliance. In addition to addressing 22c-2 concerns, MARS also includes rules for “prospectus compliance” such as CDSC monitoring, Redemption Fee monitoring, Purchase minimums monitoring (initial and subsequent), Purchase maximums monitoring (in back-end and level load funds), Sales charge on purchases on accounts with Letters of Intent (LOI), and Best pricing on purchase for linked accounts and Rights of Accumulation (ROA).



#3 Can the application easily fit into your current organization?

MARS will work with all of your existing systems. MARS is designed to simply integrate with your existing systems making compliance with 22c-2 a seamless transition. We provide three application models to suit any organization's business and IT strategies.

#4 With 500 mutual fund companies racing to meet the October 2007 compliance deadline, will you be getting superior service and support from your 22c-2 solution provider?

MARS provides unparalleled 24 x 7 customer service, which is why we have such long-standing relationships with our clients. We take pride in our responsiveness. When you choose MARS, you are choosing a superior product from a company that is focused and dedicated specifically to your industry and needs, which means you will always be a priority.

#5 Are you buying a solution specifically focused on addressing your 22c-2 compliance management needs or a crazy-quilt of legacy systems that weren't initially designed to support 22c-2?

The MARS 22c-2 module was developed specifically for compliance with 22c-2. Working with Federated Investors, one of the largest fund companies in the country, the MARS 22c-2 solution was designed to provide optimal transparency while maintaining a user-friendly interface. No wonder why companies like US Bancorp have chosen to provide the MARS 22c-2 compliance solution for their clients over all other vendor and Transfer Agent solutions.

#6 What is your true cost for the 22c-2 solution and are there any hidden costs?

Many 22c-2 solution providers charge per transaction or data volumes so your costs continue to climb as your data needs increase or your business grows. SalesFocus Solutions provides a simple, direct cost structure to make it easy for you to budget – no matter how much data you need. Before you invest in a 22c-2 solution, call Kathy Walsh at 1.888.325.6277 ext. 4523 to learn more about the MARS 22c-2 solution.