

# Filing Manager

## Azilon Compliance Manager

Restructuring

Your

Regulatory

Filing

Processes to

Eliminate

Late Filings

&

Control Fines

Azilon's comprehensive Filing Manager product (FMS) allows an organization to define, manage, track and perform filings with different external entities. It has a built-in collaborative workflow system allowing various users to participate and provide critical filing information, review comments and track their progress.

With flexible document management, correspondence tracking, expense and fines management, and a collaborative workflow, FMS is truly a state-of-the-art system for automated control of the often difficult and decentralized processes involved with numerous regulatory, financial, and consumer filing requirements.

### FMS Solves Filing Inefficiencies

- Time-consuming manual filing process
- Unproductive information sharing due to scattered databases
- Inability to electronically attach documents to an individual filing; preventing proper tracking of documents relating to each filing
- Complex paper management
- Lack of uniform filing process across business units
- Effort intensive & costly tracking process
- Difficulty in determining which business units are affected if certain filings are late
- Redundant data entry
- Rigid accessibility to Filings results in incomplete tasks

### Features

- Customizable to reflect different types of client environment
- Schedule planner for tracking filings and supports recurring and ad-hoc files
- Graphical reporting with multiple export options

# Filing Manager

## Azilon Compliance Manager

### Benefits

- Unifies Enforcement of Filing Process for Increase Control
- Increases Visibility on Critical Issues
- Enhances Resource Allocation
- Reduces Filing Redundancies
- Improves Budget Forecasting & Increases Budget Control
- Increases Compliance
- Lessens Filing Efforts & Timelines
- Effective Planning & Tracking of Filing Life Cycle
- Improves & Increases Overall Productivity
- Cost-effective, Secure & Simple to Use

- Automatic alert & email notifications of outstanding filings & their specific tasks
- Portal -a virtual dashboard presenting filing information, organized in logical categories
- Collaborate task with various users for creating filing packages
- Management of incoming & outgoing correspondences
- Centralized document repository
- Customizable web-based framework

The image displays three screenshots of the Filing Manager software interface. The top screenshot shows the 'Filing Details' for a specific filing, including Agency (CME), Filing Hierarchy (MFA Filing/ FY F-Annual), Organization Hierarchy (MFA/ AZ TR / PLMCC), State(s) (AZ,CA), File Name (Advertising pass), and Status (In Progress). The middle screenshot shows a 'Task Summary' for 'Marketing material identification systems', with a due date of 12/30/2004, priority of High, and a task description. The bottom screenshot shows a 'Filing Tasks' table with columns for Due Date, Agency, Filing Hierarchy, Org. Hierarchy, File Name, and Subject.

Due Date	Agency	Filing Hierarchy	Org. Hierarchy	File Name	Subject
12/30/2004	CME	MFA Filing/ FY F-Annual	MFA/ AZ TR / PLMCC	Advertising pass	Marketing material identification systems
12/30/2004	SEC	MFA Filing/ SF / S-Form App	MFA/ OOI/ SEC	Large Group A...	Filing - Securities Processing
12/30/2004	SEC	MFA Filing/ SF / S-Form App	MFA/ OOI/ SEC	Large Group A...	Claims Info
12/30/2004	CME	MFA Filing/ FY F-Annual	MFA/ AZ TR / PLMCC	Advertising pass	Advertising Acknowledgements rec...
12/30/2004	CME	MFA Filing/ FY F-Annual	MFA/ AZ TR / PLMCC	Advertising pass	Filing Due in 0 day(s)
12/30/2004	SEC	MFA Filing/ SF / S-Form	MFA/ OOI/ SEC	Annual Asses...	Prod's task