

Requirements Checklists: **ABC Advisors**

Please review the following *identified and potential requirements* for functions and data usage relating to ABC Advisors BI. Note applicable source data systems, requirement descriptions and priority assignments.

Requirements checklists include:

- (1) General BI Functional Capabilities (Business & Delivery Requirements)
- (2) Line-of-Business Specific Requirements
- (3) Data Usage Requirements for:
 - a. Customer Data
 - b. Account / Balance Data
 - c. Holdings / Positions / Tax Data
 - d. Transaction Data
 - e. Product / Security / Mutual Fund Data
 - f. Associate Data
 - g. External Data (Survey Data, Demographics, Securities & Corporate Actions)

GENERAL BI FUNCTIONAL REQUIREMENTS					
<p>NOTE: The following requirements have already been identified.</p> <p>PLEASE INDICATE ANY CHANGES BY ADDING TO OR MAKING CORRECTIONS TO THIS TEXT.</p> <p>PRIORITY: High, Medium, Low NOTE: Priority indicates relative importance.</p>					
Capability	Functional Requirement	Applications	Roles	Data Usage	Priority
Corporate Goals	<u>Goal Measurement</u> <ul style="list-style-type: none"> • Customer • Associate • Shareholder 	Strategic Planning Annual Planning	Sr. Mgmt. Regional Mgmt.	Survey Data Account Activity Revenue Turnover / HR Profitability	
Sales Management	<u>Customer Balances</u> <ul style="list-style-type: none"> • Assets (Actuals) • Growth Trends (\$/%) 	Sales Reporting (MTD/QTD/YTD) Compensation	Sr. Mgmt. Regional Mgmt. Office Mgmt. Associates	Account Balances by Time Period	
Sales Management	<u>Customer Funding</u> <ul style="list-style-type: none"> • New Accounts • Net Inflows/Outflows • Transaction Summary 	Sales Reporting	Sr. Mgmt. Regional Mgmt. Office Mgmt. Associates	Account Transactions	

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Capability	Functional Requirement	Applications	Roles	Data Usage	Priority
Sales Management	<u>Salesforce Effectiveness</u> <ul style="list-style-type: none"> Revenue per Associate New Revenue Contra Revenue Ranked Reports President's Club 	Sales Reporting Compensation	Sr. Mgmt. Regional Mgmt. Office Mgmt. Associates	Account Transactions Revenue/Fees Associate Metrics	
Sales Management	<u>Actual vs. Planned</u> <ul style="list-style-type: none"> Balances Revenue 	Planning & Budgeting (MTD/QTD/YTD) Compensation	Sr. Mgmt. Regional Mgmt. Office Mgmt. Associates	Account Balances Revenues by Time Period	
Sales Management	<u>Sales Projections</u> <ul style="list-style-type: none"> Balances Revenue 	Planning & Budgeting (MTD/QTD/YTD) Compensation	Sr. Mgmt. Regional Mgmt. Office Mgmt. Associates	Account Balances Revenues by Time Period	
Sales Management	<u>Customer Segmentation</u> <ul style="list-style-type: none"> Strategic, Growth, Core (# / Assets/Share) Customer Targeting 	Sales Reporting (MTD/QTD/YTD) Planning & Budgeting	Sr. Mgmt. Regional Mgmt. Marketing	Account Balances	
Sales Management	<u>Customer Trends</u> <ul style="list-style-type: none"> Survey Results Demographics 	Customer Service Marketing	Sr. Mgmt. Regional Mgmt. Marketing	Survey Data	
Sales Management	<u>Customer Interaction</u> <ul style="list-style-type: none"> Householding Friends & Family 	Referrals Central Customer DB	Office Mgmt. Associates	Party Groups Referrals	
Product Marketing	<u>Customer Profitability</u> <ul style="list-style-type: none"> Product Margins Net Interest Spreads Overhead / Payroll 	Planning & Budgeting (MTD/QTD/YTD)	Sr. Mgmt. Regional Mgmt. Marketing	Account Products Costing	
Product Marketing	<u>Product Penetration</u> <ul style="list-style-type: none"> Products per Account Cross-Selling 	Referrals CRM	Sr. Mgmt. Regional Mgmt. Marketing	Account Products Referrals	
Wealth Management	<u>Portfolio Modeling</u> <ul style="list-style-type: none"> Investment Objectives Performance Tuning 	TBD	Portfolio Managers Wealth Strategists	Account Holdings Securities	

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Capability	Functional Requirement	Applications	Roles	Data Usage	Priority
Decision Support	<u>Adhoc Analysis</u> <ul style="list-style-type: none"> • Inquiry Tool • Flexible Reporting 	Research Projects	Marketing	All Data	
Decision Support	<u>What If Analysis</u> <ul style="list-style-type: none"> • Business Drivers • Projections 	Strategic Planning Planning & Budgeting	Sr. Mgmt. Business Analysts	All Data	
Data Security	<u>Entitlements / Access Control</u> <ul style="list-style-type: none"> • Account Driven • User Role Driven 	ALL	ALL	All Data	
Report Distribution	<u>Intranet Site / Sales Desktop Platform</u> <ul style="list-style-type: none"> • Online Access • Desktop Portal 	ALL	ALL	All Data	
Data Distribution	<u>Standard Data File Output & Transmission in Delimited or Excel Format</u>	TBD	TBD	TBD	