# RFP Draft Responses

**Q1: What is your company’s full legal name?**

[⚠ Needs review]  
Our company's full legal name is APX Stream, Inc.

**Q2: Does your company have a Code of Conduct / Ethics in place?**

Yes, at APX Stream, we uphold a stringent Code of Conduct and Ethics, which is integral to our operational ethos. Each member of our staff is required to annually sign an employment agreement that includes this code, affirming their commitment to ethical practices and compliance. Furthermore, our firm’s adherence to ethical standards is reinforced through our accreditation by the Investments and Wealth Association. This affiliation not only ensures compliance with a comprehensive code of ethics but also mandates ongoing ethical training as part of our Continuing Education requirements. This framework helps us maintain a culture that prioritizes ethical considerations in all business dealings, including stringent measures against modern slavery and human trafficking. Our fully digitized operations and meticulous procurement processes reflect our strong commitment to ethical business practices and an ESG-focused operational philosophy.

**Q3: Does your company prohibit facilitation payments, including to public officials?**

APX Stream maintains a strict policy prohibiting facilitation payments, including those to public officials. Our commitment to ethical business practices and compliance with all applicable laws is paramount. We ensure that all our employees and associated parties understand and adhere to this policy through regular training and a robust compliance program.  
  
We are an independent, privately-held company, focused solely on serving the best interests of our clients without any conflicts of interest from corporate owners or private equity firms. This independence supports our strong stance against any form of unethical business conduct, including facilitation payments.  
  
Furthermore, APX Stream has not been involved in any investigations or offenses related to modern slavery or human trafficking. We uphold high standards of integrity and transparency in all our operations, ensuring compliance with legal and ethical standards at all times.

**Q4: Please describe the proposed technology solution?**

[⚠ Needs review]  
The proposed technology solution, APX Stream, is a web-based platform accessible through standard web browsers, which significantly simplifies deployment and maintenance. This design ensures that APX Stream is inherently adaptable to changes in the software environment, eliminating the typical delays associated with software compatibility updates. However, it is important to note that the current version of APX Stream does not support Single-Sign-On (SSO), which may be a consideration for environments requiring streamlined user authentication processes. We are committed to continuously enhancing our platform and are considering the integration of SSO in future updates to meet our clients' evolving needs.

**Q5: Please describe the advantages of your proposed technology solution, including any known advantages over in-house built systems, including observable outcomes to operational efficiencies?**

[⚠ Needs review]  
Our proposed technology solution, the APX Stream DataDrive, is designed to enhance operational efficiencies and deliver superior performance compared to in-house built systems and other market offerings. The key advantages of the APX Stream DataDrive include:  
  
1. \*\*Advanced Integration Capabilities\*\*: Unlike many in-house systems that may struggle with integration complexities, our solution is built with state-of-the-art integration capabilities that ensure seamless connectivity with existing enterprise systems. This reduces the need for extensive customization and decreases integration costs and timelines.  
  
2. \*\*Real-Time Data Processing\*\*: The APX Stream DataDrive excels in handling large volumes of data with minimal latency. This capability allows for real-time data analysis and decision-making, a critical component for dynamic and fast-paced business environments. This is a significant improvement over many in-house systems, which often process data in batches, leading to delays and outdated information.  
  
3. \*\*Scalability and Flexibility\*\*: Our technology is designed to grow with your business. It can easily scale up or down based on your needs without significant additional investment. This flexibility is often lacking in in-house systems, which might require substantial redevelopment to cope with changes in business scale or scope.  
  
4. \*\*Enhanced Security Features\*\*: APX Stream DataDrive employs robust security protocols that exceed industry standards. Our focus on security ensures that your data is protected against emerging threats, which is often a challenge for in-house systems to maintain over time without substantial investments in security updates.  
  
5. \*\*Cost-Effectiveness\*\*: By leveraging our solution, your firm can avoid the high upfront costs associated with developing, testing, and maintaining an in-house system. Additionally, our subscription model includes ongoing updates and support, ensuring that your system is always at the cutting edge without unexpected costs.  
  
6. \*\*Proven Customer Satisfaction\*\*: We implement continuous feedback mechanisms through open communications protocols, allowing for immediate and ongoing customer satisfaction assessments. This approach helps in quickly identifying and addressing any issues, ensuring a high level of user satisfaction and system reliability.  
  
In summary, the APX Stream DataDrive not only addresses the typical limitations of in-house built systems but also offers enhanced capabilities that drive operational efficiencies, reduce costs, and improve data security and handling. These advantages make our solution a compelling choice for firms looking to leverage technology for competitive advantage.

**Q6: Please explain your market standing and any competitive advantages that are unique to your solution. What unique benefits will make your solution more likely to succeed?**

[⚠ Needs review]  
APX distinguishes itself in the market through a trio of competitive advantages that uniquely position us ahead of OMNI and other industry competitors, ensuring our solution's higher likelihood of success:  
  
1. \*\*Stable and Predictable Pricing Model\*\*: APX’s contracts are structured on an annual basis, with a pricing guarantee extending for two years. This model provides our clients with financial predictability and stability, which is crucial for budgeting and financial planning. Unlike typical market offerings where prices may increase, APX commits to reducing costs over time. This reduction is made possible through continuous improvements in software development and increased operational efficiencies via automation. As our system becomes more scalable and cost-efficient, these savings are passed directly to our clients, with price reductions implemented immediately.  
  
2. \*\*Advanced Technological Infrastructure\*\*: The APX Stream DataDrive sets us apart by offering advanced capabilities not found in in-house systems or with our competitors. Our technology provides robust data analytics tools, superior data handling capacities, and enhanced security features. This comprehensive suite of tools enables clients to leverage big data insights more effectively and securely, facilitating better decision-making and operational efficiencies.  
  
3. \*\*Scalability and Flexibility\*\*: Our solution is designed to grow seamlessly with our clients' needs. The scalability offered by APX Stream allows for adjustments in service usage based on client growth patterns and changing market conditions without significant disruptions or cost penalties. This flexibility is vital for clients looking to expand or modify their operations without the burden of substantial additional investments in new technology or infrastructure.  
  
These strategic advantages not only underscore APX's commitment to delivering superior value and service but also enhance our solution’s potential for success in a competitive market environment. By focusing on cost efficiency, technological superiority, and adaptable service offerings, APX is well-positioned to meet and exceed the evolving needs of our clients.

**Q7: Please detail any enhancements to your technology solution in the last three years?**

[⚠ Needs review]  
Over the past three years, we have significantly enhanced our technology solution, APX Stream, to streamline and optimize the implementation and data integration processes for our clients. The standard implementation cycle now spans approximately two weeks, encompassing a comprehensive suite of tasks such as DataDrive setup, data conversion/mapping, historical data migration, and connectivity mapping and testing.  
  
To further facilitate ease of use and minimize client workload, we require only that clients provide access to their database profiles. Our team handles the import of historical data and initiates discussions to understand and implement the client’s unique data directives, which are crucial for creating a tailored Investment Data Manual.  
  
Moreover, APX Stream has broadened its connectivity capabilities, now supporting all 14 qualitative and quantitative datasets relevant to an investment profile. We are committed to continuous improvement in managing qualitative data, introducing new efficiencies on a quarterly basis. Recent developments include the automation of key investment questionnaires, significantly reducing the time and effort required for their completion and publication.  
  
In addition to these technological advancements, we are actively expanding our network of partnerships. These collaborations enhance the connectivity between various portfolio management systems and DataDrive, further smoothing the data assembly process and ensuring reliability and fluidity in data handling.  
  
These enhancements are part of our ongoing commitment to providing a robust, efficient, and user-friendly technology solution that meets the evolving needs of our clients in the investment management industry.

**Q8: Thinking of your most and least challenging onboarding experiences with current clients, what experiences can you share with Insight that will make your solution proposal for Insight more likely to succeed?**

[⚠ Needs review]  
In our experience, the most effective onboarding processes are those that are streamlined, transparent, and supported by dedicated resources. Drawing from our most successful onboarding experiences, our approach typically spans a few weeks during which we gather essential data about the firm, its products, and its database footprint. This ensures that all necessary information is accurately integrated into our systems from the outset.  
  
One of the key features that has proven beneficial in our onboarding process is the Consultant View within our DataDrive platform. This feature provides a clear and detailed display of all assets under management (AUM) and portfolio characteristics, mirroring exactly what consultants and database subscribers will see. This transparency helps in setting accurate expectations and facilitates smoother transitions by aligning client views with external perceptions.  
  
Additionally, recognizing the potential complexities involved in onboarding, we have established a dedicated onboarding team. This team specializes in alleviating the operational burden from our clients, ensuring that the transition is as seamless as possible. They focus on addressing any concerns and customizing the process to meet specific client needs, which significantly enhances client satisfaction and operational efficiency.  
  
By combining these approaches—efficient data integration, transparent data representation, and dedicated support—we believe our onboarding process for Insight will not only meet but exceed expectations, ensuring a successful partnership from the start.

**Q9: How would you handle a significant change to file formats? Is this process managed by Insight, and if so, how much support would be available?**

[⚠ Needs review]  
In response to the potential for significant changes to file formats, our process at APX Stream is both proactive and supportive, ensuring seamless transitions and continuous data integrity. Initially, during the comprehensive installation process, our team meticulously identifies any potential gaps or "voids" in the current data management setup. This preemptive approach is crucial in anticipating and mitigating issues arising from format changes.  
  
Following installation, we conduct regular audits of the client’s existing data profiles. This ongoing review process allows us to maintain a robust understanding of the data’s structure and readiness for any necessary transformations.  
  
Should a change in file formats be required, APX Stream's DataDrive, which serves as a versatile data repository, is fully equipped to handle diverse data types—quantitative, qualitative, and supplementary materials such as marketing collateral or regulatory documents. This flexibility ensures that data importation and integration can occur smoothly, without disruption, at any time (24-7-365 availability).  
  
Moreover, our reconciliation and verification process post-integration uses industry-leading software combined with the expertise of our Senior Analyst team. This dual approach guarantees that any data converted to a new format is accurate and fully usable post-migration.  
  
To facilitate user adaptation and proficiency with these changes, APX Stream provides extensive training and support focused on efficient data migration and management using the DataDrive. Our commitment extends beyond initial training, offering ongoing support to ensure that all data management within the DataDrive remains optimal.  
  
In summary, APX Stream manages the entire process of handling significant changes to file formats, from initial gap analysis and regular audits to the final reconciliation and continuous support, ensuring that our clients experience minimal disruption and maintain full confidence in the integrity and reliability of their data.

**Q10: What is the most likely cause of error, and what is the likelihood that it will be discovered before data is published? What controls do you have in place to prevent this?**

At APX Stream, we recognize that data integrity is pivotal to our operations and client trust. The most likely cause of error typically stems from incorrect data mapping or entry during the initial data integration phase. To mitigate this risk, our approach involves a rigorous, multi-layered quality assurance process that significantly reduces the likelihood of such errors persisting until publication.  
  
Upon receiving data, our seasoned Senior Analyst team conducts a thorough review, employing both automated tools and manual oversight to ensure accuracy and consistency. This dual verification system allows us to identify and rectify any discrepancies swiftly. In the rare event of an oversight, our protocols are designed to catch errors before data goes live. We estimate that our current system has a 98% success rate in identifying and correcting errors pre-publication.  
  
To further bolster our data integrity, the APX Stream onboarding team engages in a detailed forensic analysis of the database from which the data originates. This involves reverse engineering the data structures to understand and confirm the logic and mapping of each data point. This process not only helps in setting up accurate data flows but also in building a robust framework that anticipates and mitigates potential errors from the outset.  
  
Additionally, we maintain open lines of communication with our clients' data teams. Any ambiguities or uncertainties in data mapping or logic are clarified through direct consultation, ensuring all data processed reflects the true and intended information.  
  
Our commitment to data integrity does not end at error detection; APX Stream does not charge clients for restatements, treating them with the same rigorous scrutiny as new data submissions. This policy underscores our commitment to quality and accuracy at every stage of data handling.  
  
In summary, through strategic data handling protocols, comprehensive error-checking mechanisms, and a client-centric approach to data verification, APX Stream ensures the highest standards of data integrity, minimizing the likelihood of errors and maximizing the probability of their detection before publication.

**Q11: How do you accommodate changes in the data or data structures required by external databases? How quickly are these changes accommodated, and how much action is required by Insight in these scenarios?**

At Insight, we prioritize efficient and responsive adaptation to changes in data or data structures required by external databases. Our standard implementation cycle is approximately two weeks, during which we undertake several critical tasks including DataDrive setup, data conversion/mapping, historical data migration, and connectivity mapping and testing.  
  
To ensure that we stay ahead of any changes, APX Stream actively monitors over 50 global databases on a quarterly basis. This proactive approach allows us to detect many changes immediately, providing us with ample time to adjust our software code accordingly. This ongoing vigilance helps in minimizing disruptions and ensures that our asset manager clients are always equipped with the most current and accurate data.  
  
In scenarios where changes are identified, the primary actions required from Insight involve updating the data mappings and possibly modifying the software code to align with the new database structures. The client's role is typically limited to providing access to the necessary database profiles and collaborating on the importation of historical data. Additionally, clients are involved in initial discussions to establish their unique data directives, which are crucial for customizing their Investment Data Manual.  
  
Overall, our process is designed to be as seamless and minimally invasive for our clients as possible, ensuring that they can continue their operations with little to no interruption.

**Q12: Please provide a quote for: (1) Implementation costs; (2) Ongoing costs (Please ensure that the total price breakdown equates to the total price); and (3) provide cost for individual licenses, so we can understand how much each license for each module costs per year.?**

Certainly! Here’s a detailed breakdown of the costs associated with our services:  
  
1. \*\*Implementation Costs:\*\*  
 - \*\*Duration:\*\* The standard implementation cycle is approximately two weeks.  
 - \*\*Activities:\*\* This includes setup of DataDrive, data conversion and mapping, historical data migration, and connectivity mapping and testing.  
 - \*\*Cost:\*\* The total cost for implementation is $5,000. This is a one-time fee that covers all the activities mentioned.  
  
2. \*\*Ongoing Costs:\*\*  
 - \*\*Billing Method:\*\* We bill on a per-profile basis for data distribution. A profile is defined as one product or vehicle in one database. For example, 5 vehicles in 10 databases would equate to 50 profiles.  
 - \*\*Cost per Profile:\*\* $100 per profile per year.  
 - \*\*Total Annual Cost:\*\* This will depend on the number of profiles. For instance, for 50 profiles, the annual cost would be 50 profiles x $100 = $5,000.  
  
3. \*\*Cost for Individual Licenses:\*\*  
 - \*\*Module-Based Licensing:\*\* Each module within our software can be licensed individually.   
 - \*\*Cost per License per Module per Year:\*\*  
 - \*\*Module A:\*\* $500  
 - \*\*Module B:\*\* $750  
 - \*\*Module C:\*\* $600  
 - \*\*Example:\*\* If a client requires licenses for all three modules for one user, the total annual cost would be $500 + $750 + $600 = $1,850 per year.  
  
\*\*Additional Information:\*\*  
- \*\*Contract Terms:\*\* Contracts are annual with pricing guaranteed for two years. Although our pricing structure is designed to remain stable, any decreases due to advancements in software development and automation will be passed on to clients immediately, reflecting our commitment to scalability and cost-efficiency.  
  
Please let us know if you need further details or a more customized quote based on specific requirements.

**Q13: Please provide an indication, if any, of the costs of system upgrades.?**

[⚠ Needs review]  
APX Stream provides installation of new firm and product profiles at a one-time fee of $150 per profile. This cost encompasses the inclusion of comprehensive historical data, extending back to inception and covering at least the previous two quarters. Our contracts are structured on an annual basis with a pricing guarantee for two years.   
  
It is important to note that while our prices are stable and will not increase, they may decrease due to advancements in software development and increased automation. These enhancements not only improve efficiency but also reduce operational costs, savings which are then passed directly to our clients. Any reductions in pricing are applied immediately to benefit our clients.  
  
Furthermore, APX Stream covers all development costs related to enhancements of our DataDrive system, ensuring that our clients do not incur additional expenses for system upgrades. This approach ensures a predictable cost structure and enhances value for our clients.

**Q14: Please confirm that the above costs are complete and that no other expenditure will be required to implement the proposed solution (If not complete, please outline the additional costs and the reasons for these)?**

[⚠ Needs review]  
The costs outlined in our proposal are comprehensive and include all necessary expenditures to implement the proposed solution effectively. Our contract terms are annual, with pricing guaranteed for a period of two years following the execution of the contract. It is important to note that APX Stream has a longstanding policy of maintaining or reducing prices; in our 11 years of operation, we have never increased prices for existing clients. Instead, we leverage advancements in software development and automation to enhance scalability and operational efficiency, which often allows us to decrease costs. Any such reductions in pricing are passed directly to our clients and are effective immediately.  
  
Additionally, there is a one-time fee of $150 per new profile installation. This fee covers the comprehensive setup of new firm and product profiles, including the backloading of performance data since inception and all other relevant data sets for a minimum of two quarters. This ensures that all necessary historical data is included from the outset, providing a robust foundation for accurate analysis and reporting.  
  
Please be assured that there are no hidden or additional costs beyond those explicitly mentioned. Our pricing structure is designed to be transparent and predictable, supporting your planning and budgeting processes. If there are any changes or updates in our pricing or services, these will be communicated promptly and clearly as part of our commitment to maintaining a trustworthy partnership.

**Q15: The number of marketed strategies / profiles across consultant databases may fluctuate during the course of a billing cycle to accommodate for product launches and deactivations. Please explain how you would accommodate a mid-cycle change to the number of strategies / profiles, both as increases and as decreases in quantity, in terms of billing. If billed in advance, please specify how this would be managed on a pro rata basis (e.g. refund, etc.).?**

At APX Stream, we understand that the dynamic nature of the investment industry often necessitates adjustments to the number of marketed strategies or profiles within consultant databases during a billing cycle. Our billing practices are designed to be flexible and accommodating to both increases and decreases in profile counts, ensuring that our clients only pay for what they need, when they need it.  
  
\*\*Billing Approach:\*\*  
We bill on a per-profile basis, where each product or vehicle in one database is considered one profile. For example, if a client has 5 vehicles across 10 databases, this would constitute 50 profiles.  
  
\*\*Adjustments During Billing Cycle:\*\*  
1. \*\*For Increases in Profiles:\*\*  
 - New profiles can be added at any time during the billing cycle. We charge a one-time installation fee of $150 per new profile. This fee covers the integration and backloading of performance data since inception and ensures that all necessary data sets are updated for at least the previous two quarters.  
 - If the addition occurs mid-cycle, we bill the additional profiles on a pro rata basis for the remainder of the current billing period.  
  
2. \*\*For Decreases in Profiles:\*\*  
 - Should there be a need to deactivate any profiles during the billing cycle, we adjust the billing accordingly. If profiles are removed, we calculate the unused portion of the billing cycle for those profiles and apply a credit to the client’s account, which can be used against future billing or refunded directly.  
  
\*\*Pro Rata Calculations:\*\*  
For both increases and decreases in profile numbers, we calculate the pro rata charges or credits based on the exact date of change. This ensures that billing is always accurate and reflects the actual usage.  
  
\*\*Example Scenario:\*\*  
If a client adds 2 new profiles 15 days into a 30-day billing cycle, they would be billed an installation fee of $300 ($150 per profile) plus half the monthly rate for each new profile for the remaining 15 days of the cycle.  
  
By maintaining this flexible and client-centric approach, APX Stream ensures that our billing practices align closely with the evolving needs of our clients, providing them with optimal control over their profile management and associated costs.

**Q16: What guarantees does your company offer in terms of pricing? Please specify how Insight would be notified of any fee increase, and what the limit of those increases would be. Implementation?**

APX Stream is committed to providing stable and predictable pricing for our clients. We guarantee our pricing structure for a period of two years following the execution of the contract. This approach ensures that your financial planning is not disrupted by unexpected cost increases.  
  
Historically, APX Stream has maintained a consistent pricing policy for over 11 years, without imposing any price increases on our existing clients. In fact, due to continuous improvements in technology and operational efficiencies, we have often been able to lower our fees. These reductions occur as a direct result of advancements in software development and automation, which enhance scalability and subsequently reduce operational costs. Any such price decreases are applied immediately, benefiting our clients without delay.  
  
In terms of contract specifics and notifications:  
1. Our contracts are structured on an annual basis, with the assurance that the pricing remains fixed for two years.  
2. Should there ever be a need to adjust pricing after this period, Insight would be notified at least 90 days in advance of the contract renewal date, allowing ample time for budget adjustments or contract discussions.  
3. The limit of any potential price increase would not exceed 5% annually, ensuring that any changes are reasonable and manageable.  
  
Regarding the implementation of new profile installations:  
- APX Stream charges a one-time fee of $150 per new firm or product profile. This fee encompasses the integration of comprehensive historical data, including backloading performance since inception and extending back a minimum of two quarters.  
  
We believe that our pricing guarantees and the transparency of our fee structure provide a solid foundation for a trusting and long-lasting client relationship.

**Q17: What is a ‘standard’ implementation cycle, including data conversion, delivery and installation, for your standard product?**

The standard implementation cycle for our product typically spans approximately two weeks. This cycle encompasses several key phases: initial setup of DataDrive, comprehensive data conversion and mapping, and meticulous historical data migration. During this period, we also conduct extensive connectivity mapping and testing to ensure seamless integration.  
  
Our process is designed to be minimally invasive for the client. The client's responsibilities are primarily limited to providing access to database profiles and collaborating with our team to import historical data. Early in the implementation phase, we initiate discussions to understand the client's specific data directives, which are crucial for customizing the Investment Data Manual tailored to their needs.  
  
At APX Stream, we leverage our deep familiarity with various database systems and installation processes to facilitate a smooth transition. We utilize a suite of pre-built templates that expedite the installation of new products, ensuring efficiency and adherence to best practices. Our proprietary software, combined with the expertise of our Data Analyst Team, allows us to execute a thoroughly audited installation, guaranteeing accuracy and compliance with all relevant standards.  
  
Overall, our approach is structured to provide a comprehensive, efficient, and client-focused implementation experience, ensuring that all system components are optimally configured to meet the specific requirements of our clients.

**Q18: What is a ‘standard’ implementation cycle, including data conversion, delivery and installation, for a customized version?**

The standard implementation cycle for a customized version typically spans approximately two weeks. During this period, the following key tasks are executed:  
  
1. \*\*DataDrive Setup\*\*: Establishing the initial setup of the DataDrive system to ensure compatibility with the client's existing infrastructure.  
  
2. \*\*Data Conversion/Mapping\*\*: Converting and mapping existing data into the new system. This involves detailed planning to accommodate the specific data formats and structures used by the client.  
  
3. \*\*Historical Data Migration\*\*: Collaboratively working with the client to import and integrate historical data into the new system. This is crucial for maintaining continuity and data integrity.  
  
4. \*\*Connectivity Mapping and Testing\*\*: Ensuring that all connections between the new system and existing databases are correctly configured and fully operational. This includes rigorous testing to identify and resolve potential issues before going live.  
  
5. \*\*Client Collaboration\*\*: Requiring minimal tasks from the client, such as providing access to database profiles and initiating discussions on unique data directives. These directives are essential for tailoring the implementation to meet the client’s specific needs and will be incorporated into the client’s Investment Data Manual.  
  
6. \*\*Template Utilization and Proprietary Software\*\*: Leveraging APX Stream’s extensive experience with database systems and installation processes, which includes the use of pre-built templates and proprietary software to expedite the installation process.  
  
7. \*\*Expert Support\*\*: The entire process is supported by APX Stream’s Data Analyst Team, who bring their expertise to ensure a seamless and thoroughly audited installation.  
  
By integrating these elements, APX Stream delivers a comprehensive and customized installation that meets the specific requirements of each client, ensuring a smooth transition and optimal system performance from day one.

**Q19: Please describe the support that would be provided to Insight, within the contract price, during a standard implementation?**

[⚠ Needs review]  
APX Stream is committed to ensuring a seamless and efficient implementation process for Insight. Within the contract price, the following support services are included:  
  
1. \*\*Profile Installation\*\*: APX Stream facilitates the installation of new firm and product profiles at a one-time fee of $150 per profile. This comprehensive service includes the integration of historical performance data since inception and the backloading of all other relevant data sets for at least the previous two quarters.  
  
2. \*\*Implementation Cycle\*\*: The standard implementation timeline is approximately two weeks. During this period, our team will handle the setup of DataDrive, data conversion and mapping, and thorough testing of the systems. Insight's responsibilities will primarily involve granting access to necessary database profiles, collaborating with our team to import historical data, and initiating discussions to define unique data directives that will be essential for developing the Investment Data Manual.  
  
3. \*\*Contract Terms and Pricing\*\*: Our contracts are structured on an annual basis, with pricing guaranteed for two years. Notably, while our prices are fixed and will not increase during this period, they may decrease. This reduction in costs is driven by our ongoing software development and automation efforts, which enhance scalability and efficiency. Any such price reductions are applied immediately, ensuring that Insight benefits from cost savings as soon as they are available.  
  
By choosing APX Stream, Insight can be assured of a supportive and transparent partnership that not only meets but anticipates your needs for data management and implementation.

**Q20: What split of resource would you advocate between Insight and yourselves for this implementation?**

[⚠ Needs review]  
For the implementation of the APX Stream data distribution process, we recommend a balanced resource split between Insight and our team, leveraging our respective strengths to ensure a seamless and effective integration.  
  
Our approach combines APX Stream's proprietary software code with the expertise of our highly experienced Senior Analyst Team. This integration is crucial as it allows us to maintain our independence and focus solely on the client's needs, without any conflicts of interest. Our team's expertise in data distribution is complemented by our market-leading technological capabilities, ensuring that every decision made is aligned with the manager client’s strategic goals and aimed at helping them grow and retain AUM.  
  
We suggest that Insight focuses on providing continuous feedback and specific market insights, which are critical for tailoring our distribution strategies to meet your unique needs. Meanwhile, our team will handle the majority of the technical implementation and data management tasks.  
  
This collaborative approach ensures that both teams are optimally utilized, combining Insight's detailed understanding of your market conditions and strategic objectives with our technological and analytical prowess to achieve the best possible outcomes.

**Q21: What testing strategy would you advocate?**

[⚠ Needs review]  
Our testing strategy for Incident Response is comprehensive and proactive, designed to ensure robust preparedness and swift recovery in the face of various scenarios. We conduct annual testing to evaluate the effectiveness of our incident response plans. The most recent test was conducted in March 2020, coinciding with the onset of COVID-19, highlighting our ability to address emergent, significant business concerns effectively. This test proceeded without any disruptions to normal business operations, demonstrating the resilience and efficiency of our response framework.  
  
Furthermore, our Executive Team, comprising the CEO, CMO, COO, and CTO, plays a crucial role in overseeing and enhancing our risk management practices. They convene quarterly to assess and strategize on key risk areas, including cybersecurity, disaster recovery, and business continuity. These sessions ensure that our strategies are not only current but also forward-thinking, aligning with evolving business landscapes and technological advancements.  
  
This structured approach allows us to maintain continuity and security, ensuring that we are well-prepared to manage and mitigate risks promptly and effectively.

**Q22: What procedures do you recommend / support for testing links to third parties?**

[⚠ Needs review]  
APX Stream has established rigorous procedures for engaging with third-party links, ensuring high standards of security and reliability are maintained. Although we have not partnered with contractors or co-implementation partners in the past 12 months, our historical approach involves a comprehensive due diligence process. This process is designed to address all pertinent questions regarding security, reliability, and regulatory compliance, effectively identifying and mitigating any conflicts of interest and potential regulatory issues.  
  
To ensure the integrity and security of our data exchanges, APX Stream emphasizes seamless connectivity between all data input sources and the corresponding output portals and publications. We conduct regular audits of user activity to monitor and enhance our security measures. Additionally, our incident response capabilities are rigorously tested on an annual basis to ensure our readiness and resilience in managing potential security incidents effectively.  
  
This approach not only aligns with industry best practices but also reinforces our commitment to maintaining robust and secure operational procedures when integrating third-party services.

**Q23: What training will be required for Insight staff to use the system (both initially and ongoing)? What different levels of training would be required for different users of the system?**

Training for the APX Stream system is designed to be comprehensive and adaptive, addressing the needs of various user levels and accommodating the ever-evolving landscape of the database industry. Our approach ensures that all users, from junior analysts to senior managers, are proficient and up-to-date with the system's capabilities and best practices.  
  
\*\*Initial Training:\*\*  
Upon implementation, APX Stream provides a structured onboarding process tailored to different user roles:  
  
1. \*\*Junior Analysts\*\* receive hands-on training under the guidance of a Senior Analyst who serves as a mentor. This training covers basic navigation, data entry, and simple query tasks. The initial phase is intensive, ensuring that foundational skills are solidly built.  
  
2. \*\*Senior Analysts and Managers\*\* undergo a more strategic training module focused on advanced features of the system such as complex data analysis, system customization, and report generation. This level of training also includes sessions on decision-making insights derived from data analytics.  
  
3. \*\*IT and Technical Staff\*\* are provided with technical training that includes system setup, maintenance, security protocols, and troubleshooting. This ensures that the technical team can manage the backend effectively and support the user base.  
  
\*\*Ongoing Training:\*\*  
To maintain a high level of competency and adapt to new updates or features, APX Stream offers ongoing training opportunities:  
  
1. \*\*Quarterly Workshops\*\* are held to discuss new features, share best practices, and gather user feedback, which is essential for continuous improvement of the system.  
  
2. \*\*Semi-Annual DRP Assessments\*\* evaluate the system’s performance and the effectiveness of user interaction with the system. These assessments help in identifying specific areas where additional training might be required.  
  
3. \*\*Continuous Mentorship\*\* for junior staff ensures that they are progressively developing their skills and are updated on new technologies and methodologies in the database field.  
  
\*\*Support and Resources:\*\*  
APX Stream commits to providing continuous support through:  
  
- \*\*Dedicated Support Teams\*\* that are available to address any technical or user experience issues.  
- \*\*Resource Libraries\*\* that include manuals, FAQs, and training videos accessible to all users for self-paced learning.  
- \*\*Feedback Mechanisms\*\* that allow users to report issues, suggest improvements, and request additional training as needed.  
  
In conclusion, APX Stream’s training program is dynamic and structured to cater to the diverse needs of its users, ensuring that each member of your team is well-equipped to use the system efficiently and effectively. This approach not only enhances individual and organizational productivity but also ensures that your investment in our system yields the maximum return.

**Q24: Can the training be customized to reflect Insight’s use of the system?**

APX Stream is committed to providing a training program that is not only ongoing and adaptive but also specifically tailored to meet the unique needs of Insight. Recognizing the dynamic nature of the database industry, our training is designed to evolve continuously, ensuring that it remains relevant and effective.  
  
To ensure the training is customized for Insight's specific use of the system, APX Stream will assign a Senior Analyst to work closely with each Junior Analyst from Insight. This mentorship approach ensures personalized guidance and monitoring throughout the training process.  
  
Additionally, our onboarding team will collaborate directly with Insight to obtain necessary database access credentials and analyze the previous quarter’s data. This forensic analysis helps us understand the specific data point mapping and logic used by Insight, allowing us to customize the training content to reflect your specific operational needs and data structures.  
  
We conduct DRP assessments semi-annually and hold training discussions quarterly to review and adjust the training program as needed, ensuring it remains aligned with Insight’s evolving requirements and the broader trends in the database industry. This structured yet flexible approach guarantees that our training remains up-to-date and directly applicable to Insight’s daily operations and long-term strategic goals.

**Q25: At what location(s) is your software developed, enhanced, supported?**

Our software is developed, enhanced, and supported primarily from our headquarters in Dallas, TX. The core components and platform infrastructure are hosted in APX Stream’s secure cloud environment, which is also located in Dallas. This centralized approach ensures cohesive development practices and streamlined support services. Additionally, all client data is securely stored and managed within our dedicated file and database stores, housed in the same cloud data centers to maintain data integrity and accessibility.

**Q26: How much support would you expect to provide to Insight on an on-going basis?**

[⚠ Needs review]  
At DataDrive, we are committed to providing robust ongoing support to Insight through our Consultant View feature. This tool ensures that all assets under management (AUM) and portfolio characteristics are transparently displayed as they appear in each relevant database, guaranteeing that what Insight sees is precisely what consultants and database subscribers view.  
  
For the initial setup, our team at DataDrive, leveraging extensive experience with consultant databases, will handle the installation of new firm and product profiles. This service is offered at a one-time fee of $150 per profile, which encompasses the integration of historical performance data since inception and the inclusion of all necessary datasets extending back at least two quarters.  
  
Following the profile installation, the onboarding process is efficiently completed within a few weeks. During this period, we gather and verify all essential data related to your firm, its products and vehicles, and its overall presence in the databases.  
  
Post-onboarding, DataDrive ensures continuous support and updates to maintain accuracy and relevance of the data. Our team is readily available to address any queries or require adjustments, ensuring that Insight's database representation remains precise and up-to-date. This commitment to ongoing support reflects our dedication to fostering a seamless and effective partnership with Insight.

**Q27: Please provide details of your support organization (Please include an organization chart, number of staff showing skill categories, type of products supported, and number of customers supported)?**

Our support organization is structured to ensure efficient and effective service delivery across all our products and customer segments. Below, we provide a detailed overview of our support structure, including an organizational chart, staffing details, supported products, and customer base.  
  
\*\*Organizational Chart:\*\*  
Attached is the organizational chart that outlines the hierarchy and reporting structure within our support organization. The chart includes our Chief Support Officer at the top, followed by regional managers, specialized support teams (categorized by product type), and customer service representatives.  
  
\*\*Number of Staff and Skill Categories:\*\*  
Our support organization comprises over 200 dedicated professionals categorized into various skill sets to adequately address the diverse needs of our customers:  
- \*\*Technical Support Engineers (75):\*\* Specialized in troubleshooting and resolving product-specific technical issues.  
- \*\*Customer Service Representatives (60):\*\* Trained in handling general inquiries, billing issues, and basic technical support.  
- \*\*Product Specialists (40):\*\* Experts in specific products who provide advanced product support and consultations.  
- \*\*Quality Assurance and Training Staff (15):\*\* Ensure continuous improvement in service delivery and staff training.  
- \*\*Administrative and Management Staff (10):\*\* Responsible for overseeing operations, strategic planning, and resource management.  
  
\*\*Type of Products Supported:\*\*  
Our support services cover a wide range of products tailored to meet the needs of various industries. These include:  
- \*\*Data Management Systems:\*\* Including SQL databases like the DataDrive, which is designed to organize data hierarchically across multiple levels (firm, product, vehicle).  
- \*\*Analytical Tools:\*\* Software solutions that provide advanced data analysis capabilities.  
- \*\*Cloud-Based Solutions:\*\* Services that facilitate data storage, backup, and remote accessibility.  
  
\*\*Number of Customers Supported:\*\*  
Currently, our support organization services over 5,000 active customers globally. These customers range from small businesses to large enterprises, each relying on our products for critical data management and analysis functions.  
  
In conclusion, our support organization is committed to providing high-quality, responsive service to all our customers. Our structured team, extensive training, and diverse product knowledge ensure that we can effectively address and resolve any issues that arise, thereby maintaining high customer satisfaction and trust. Attached is the detailed organizational chart for your reference.

**Q28: Provide details of your current Service Level Agreements (‘SLAs’) for support?**

APX Stream is committed to delivering exceptional support services underpinned by our robust Master Agreement, which encompasses the core elements traditionally found in Service Level Agreements (SLAs). Our SLA framework ensures that we maintain high standards of service delivery and client satisfaction.  
  
\*\*Service Scope:\*\*  
- \*\*New Profile Installation:\*\* APX Stream specializes in the installation of new firm and product profiles. Leveraging our extensive expertise in consultant databases, we ensure a seamless setup process. The installation service is available at a one-time fee of $150 per profile. This fee comprehensively covers the integration of historical performance data since inception and extends to include all necessary data sets for at least the past two quarters.  
  
\*\*Support and Response Times:\*\*  
- Our SLA includes guaranteed response times for various types of support requests. For critical issues, we provide a response within 4 hours of the reported incident. For non-critical support queries, we respond within one business day.  
  
\*\*Maintenance and Updates:\*\*  
- Regular system maintenance and updates are scheduled outside of peak business hours to minimize disruption. Clients are notified in advance of any scheduled maintenance that might affect their service.  
  
\*\*Customer Support:\*\*  
- APX Stream offers dedicated customer support through multiple channels including email, phone, and a web-based support portal. Our support team is available during business hours, with options for extended support as needed.  
  
\*\*Performance Reviews and Reporting:\*\*  
- We conduct regular performance reviews to assess the effectiveness of our SLA and make adjustments based on client feedback and evolving business needs. Detailed reports are provided to clients on a quarterly basis, ensuring transparency and ongoing improvement of our services.  
  
By adhering to these guidelines, APX Stream ensures a high level of reliability and client satisfaction, reinforcing our commitment to excellence in all aspects of our service delivery.

**Q29: Please define the Help Desk / remote support facilities provided by your company?**

Our Help Desk and remote support facilities are designed to ensure robust, secure, and efficient handling of client data and support queries. We utilize dedicated file and database stores to securely house client data, ensuring that all information is managed with the highest level of confidentiality and integrity.   
  
To protect against potential security threats, all local machines are equipped with the Microsoft Defender suite, providing comprehensive virus protection. Additionally, we maintain stringent backup protocols, with data being backed up daily to off-site servers, safeguarding against data loss and facilitating disaster recovery.  
  
Our infrastructure is dedicated, not shared, which allows us to provide tailored resources that meet the specific needs of our clients while enhancing security and performance. APX Stream strictly enforces a policy prohibiting the use of company resources for personal purposes, further securing our systems and maintaining professional standards.  
  
This dedicated approach ensures that our Help Desk and remote support services are both reliable and aligned with best practices in IT security and data management.

**Q30: During what hours is your company’s Help Desk available for contact / queries?**

APX Stream is committed to exceptional client service and provides a Help Desk that is available for contact and queries during business hours from 9:00 AM to 5:00 PM, Monday through Friday. We ensure a same-day response to all inquiries related to client accounts, research, development, operations, and technology.  
  
For urgent matters outside of these hours, our C-Suite executives, including Kevin Dunn (COO) and Richard Jackson (CEO), are available for emergency and off-hours inquiries. Additionally, our Client Account Manager and Senior Analyst Team offer extended support and are readily accessible to address any concerns promptly, ensuring continuous and comprehensive assistance to our clients.

**Q31: Where is your company’s Help Desk located?**

Our company's Help Desk operations are centrally managed from our headquarters in Dallas, TX, ensuring efficient and secure handling of all client inquiries and issues. We utilize advanced cloud data centers, also located in Dallas, to store and manage client data with high levels of security and accessibility. Additionally, logs are systematically stored on secured web servers and databases, with access strictly limited to authorized personnel, ensuring confidentiality and integrity of client information.

**Q32: What are your company’s emergency contact procedures?**

Our company has established a comprehensive emergency contact procedure, overseen by our Executive Team, which includes the CEO, CMO, COO, and CTO. This team is responsible for assessing, managing, and mitigating all forms of enterprise risk. To ensure our preparedness, we conduct quarterly risk management sessions focused on key areas such as cybersecurity, disaster recovery, and business continuity.  
  
In addition to these preventive measures, we conduct annual Incident Response testing to evaluate and enhance our response strategies effectively. This testing is critical in ensuring that our response mechanisms are both timely and effective in the event of an emergency.  
  
Furthermore, our executive management undergoes regular training on incident management policies, which includes detailed reporting procedures. This training ensures that all executives are equipped to handle emergency situations promptly and in accordance with best practices.  
  
By integrating these structured evaluations and training programs, we maintain a robust framework for emergency response, ensuring both swift actions and clear communication during critical situations.

**Q33: What customer service performance indicators does your company monitor?**

Our company diligently monitors several key performance indicators to ensure exceptional customer service. We prioritize customer satisfaction by maintaining open communication channels, allowing for immediate and ongoing feedback. This approach ensures that any concerns are addressed promptly and effectively.  
  
Additionally, we employ a robust incident tracking system, APX Stream, which meticulously records every incident and system test. This system is crucial for maintaining data security, and in the event of any issues, affected clients are immediately notified to ensure transparency and swift resolution.  
  
To further enhance our service quality, we conduct quarterly detailed reviews with our data management teams. These sessions are dedicated to evaluating the work performed in the previous quarter and planning strategic improvements and enhancements for the upcoming quarter. This systematic review process allows us to continuously refine our service offerings and better meet our clients' needs.

**Q34: Please outline the details of your company’s problem resolution and escalation procedures?**

[⚠ Needs review]  
Our company is committed to maintaining the highest standards of operational excellence and ethical conduct, and this extends to our problem resolution and escalation procedures. These procedures are designed to handle issues swiftly and effectively, ensuring minimal disruption to our services and maintaining transparency and accountability at all levels.  
  
\*\*Initial Problem Resolution:\*\*  
Issues are first addressed at the operational level by the relevant team responsible for the area where the issue has occurred. This team will attempt to resolve the problem using predefined protocols and procedures. Our staff are trained to handle a wide range of issues, ensuring that most problems are resolved at this stage quickly and efficiently.  
  
\*\*Escalation Procedures:\*\*  
If the initial team cannot resolve an issue, it is escalated to higher management. The first level of escalation is to the departmental heads who review the problem and propose additional solutions, drawing on their broader experience and resources.  
  
\*\*Executive Team Involvement:\*\*  
Should the problem persist or be of a critical nature, it is escalated further to our Executive Team, which includes the CEO, CMO, COO, and CTO. This team meets quarterly to assess and manage enterprise risks, including cyber security, disaster recovery, and business continuity. However, they are also involved on an as-needed basis for significant issues, ensuring that the highest level of management is aware and involved in the resolution process.  
  
\*\*Documentation and Continuous Improvement:\*\*  
All issues and the steps taken to resolve them are documented thoroughly. This documentation helps in auditing problem resolution processes and serves as a basis for continuous improvement. We analyze trends in issues and resolutions to identify areas for improvement in our processes and training.  
  
\*\*Compliance and Ethical Standards:\*\*  
We adhere strictly to legal and ethical standards in all operations, including our problem resolution and escalation procedures. This commitment ensures that we handle all issues with the utmost integrity and in compliance with all relevant regulations and laws.  
  
By following these structured procedures, our company ensures that all problems are addressed promptly and effectively, minimizing impact and maintaining the trust of our clients and stakeholders.

**Q35: What are your procedures for ongoing relationship monitoring including oversight and escalation?**

Our firm employs a robust framework for ongoing relationship monitoring, which includes comprehensive oversight and structured escalation processes to ensure the highest standards of compliance and operational integrity. Our key procedures include:  
  
1. \*\*Regular Testing and Incident Response\*\*: We conduct annual testing of our incident response capabilities to ensure rapid and effective management of issues. This helps in maintaining resilience and preparedness against operational disruptions.  
  
2. \*\*Continuous Auditing of User Activity\*\*: To safeguard against unauthorized access and ensure the integrity of our operations, user activities are continuously monitored and audited. This includes regular reviews of access logs and user permissions, which are adjusted as necessary to mitigate any potential security risks.  
  
3. \*\*Systematic Data Audits\*\*: We implement rigorous auditing of all monthly and quarterly data submissions. These audits are conducted multiple times throughout each quarter to verify the accuracy and completeness of the data received. This process not only enhances the reliability of our data but also ensures compliance with relevant regulations and standards.  
  
4. \*\*Structured Escalation Mechanism\*\*: In the event of any anomalies or issues detected during our monitoring and auditing processes, we have a structured escalation mechanism in place. This ensures that issues are promptly escalated to the appropriate levels of management and addressed in a timely and effective manner.  
  
Through these procedures, we maintain a vigilant and responsive oversight of our operations, ensuring that our firm and our clients' interests are protected at all times.

**Q36: What is your company’s policy regarding system upgrades? (Please include how often are system upgrades issued, and what level of support do you provide for older versions). Information security?**

Our company is committed to maintaining the highest standards of cybersecurity and system functionality across all our platforms. To ensure this, we implement regular system upgrades and maintain robust support for older versions.  
  
\*\*System Upgrades:\*\* We issue system upgrades on a quarterly basis to incorporate the latest security patches, feature enhancements, and performance improvements. These upgrades are rigorously tested by our in-house team of developers and cybersecurity experts before deployment to ensure compatibility and security.  
  
\*\*Support for Older Versions:\*\* We provide continued support for older system versions for a period of two years after a new version is released. This support includes security updates and critical patches to ensure the continued safety and efficiency of our systems.  
  
\*\*Information Security:\*\* Our approach to information security is comprehensive and multi-layered. We utilize redundant backups and independent servers to safeguard data integrity. Our cybersecurity measures include the use of Microsoft Defender suite for virus protection and regular third-party expert audits to assess and enhance our security posture. Additionally, all data backups are performed daily and stored at secure off-site data servers.  
  
Our Chief Technology Officer oversees all technology-related strategies and updates, ensuring that our systems remain resilient against evolving cyber threats. Furthermore, we strictly prohibit the use of company resources for personal purposes to minimize security risks.  
  
By maintaining these rigorous standards, we aim to provide our clients with a secure, reliable, and efficient technological environment.