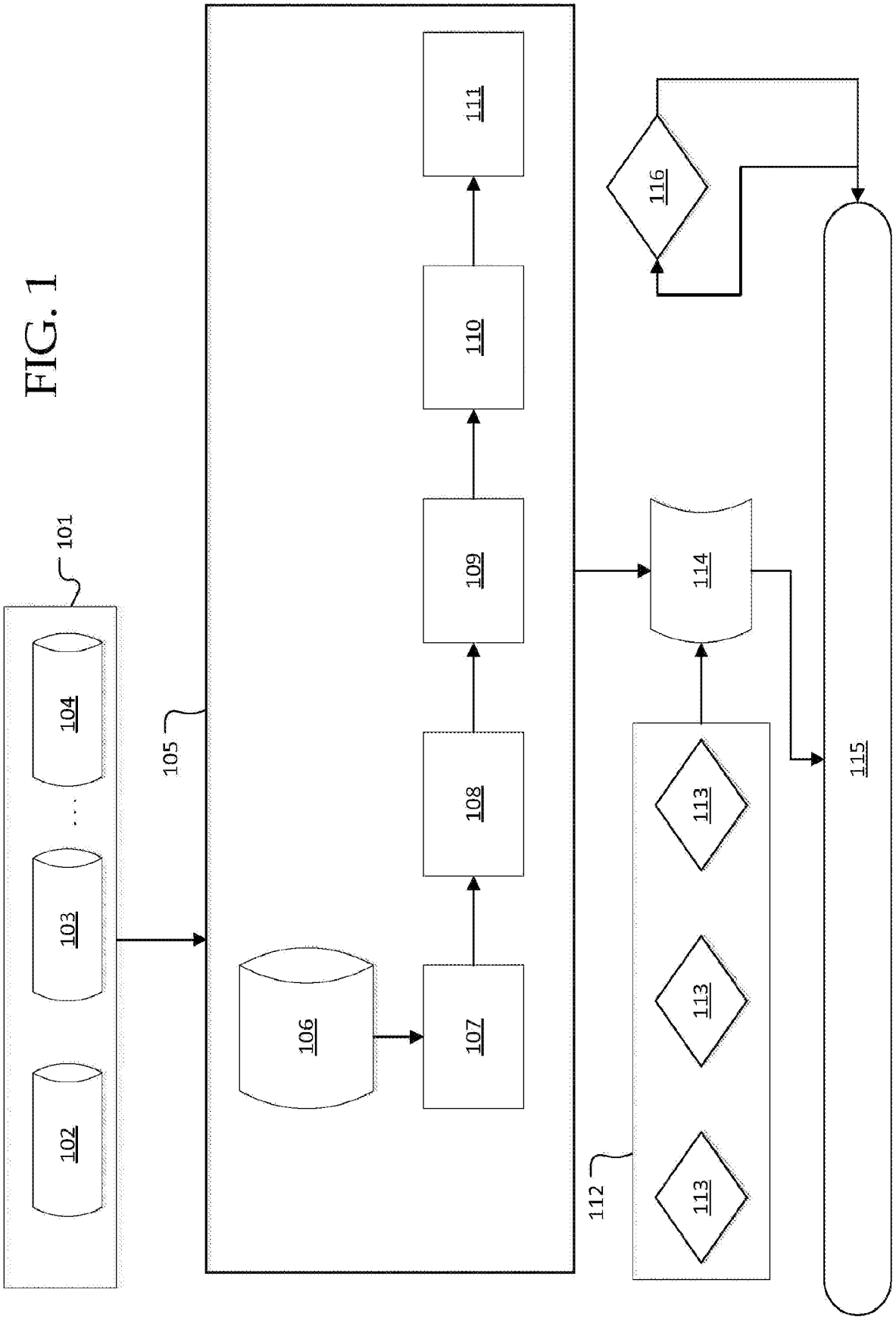
FIG. 1


101
102
103
104
105
106
107
108
109
110
111
112
113
113
113
114
115
116

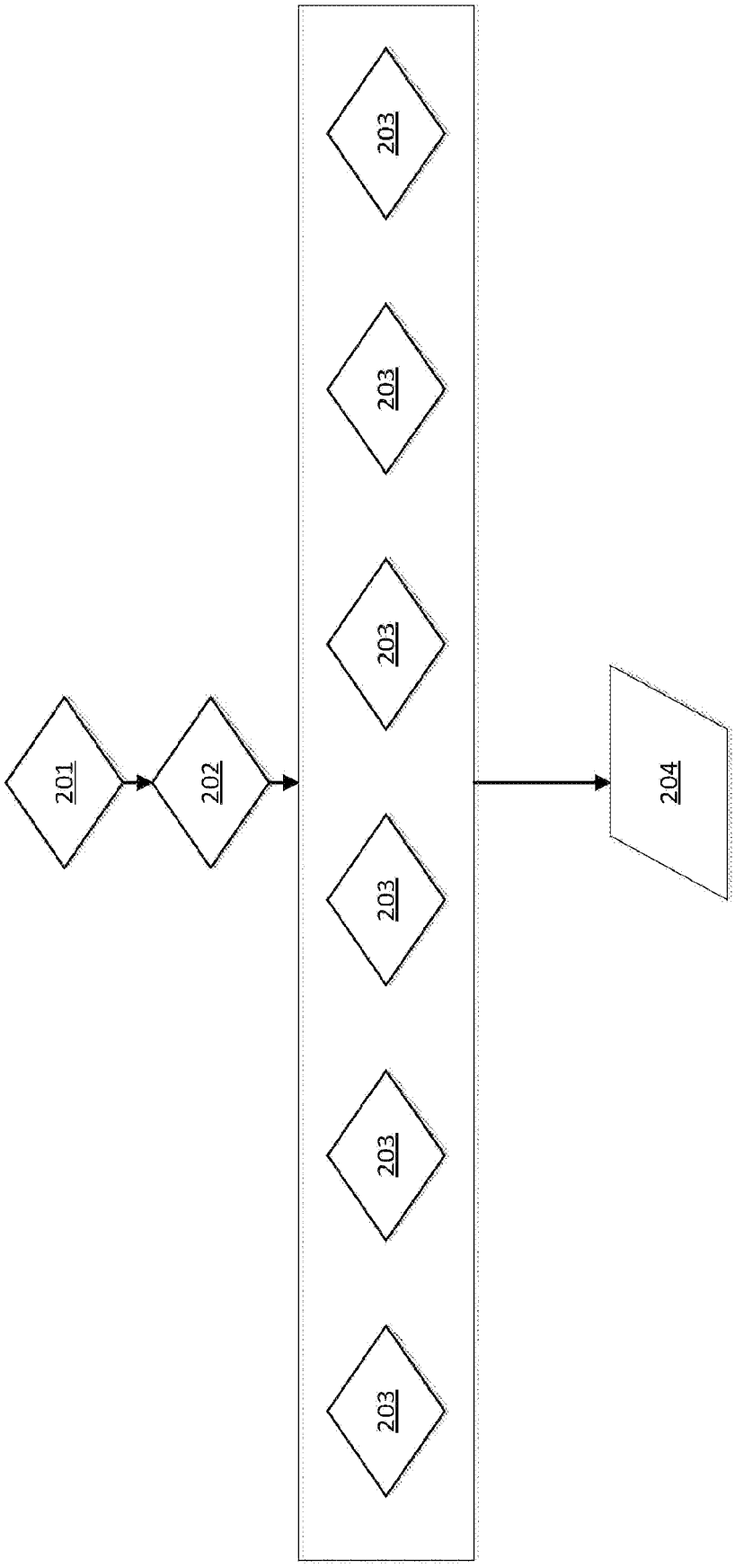


FIG. 2

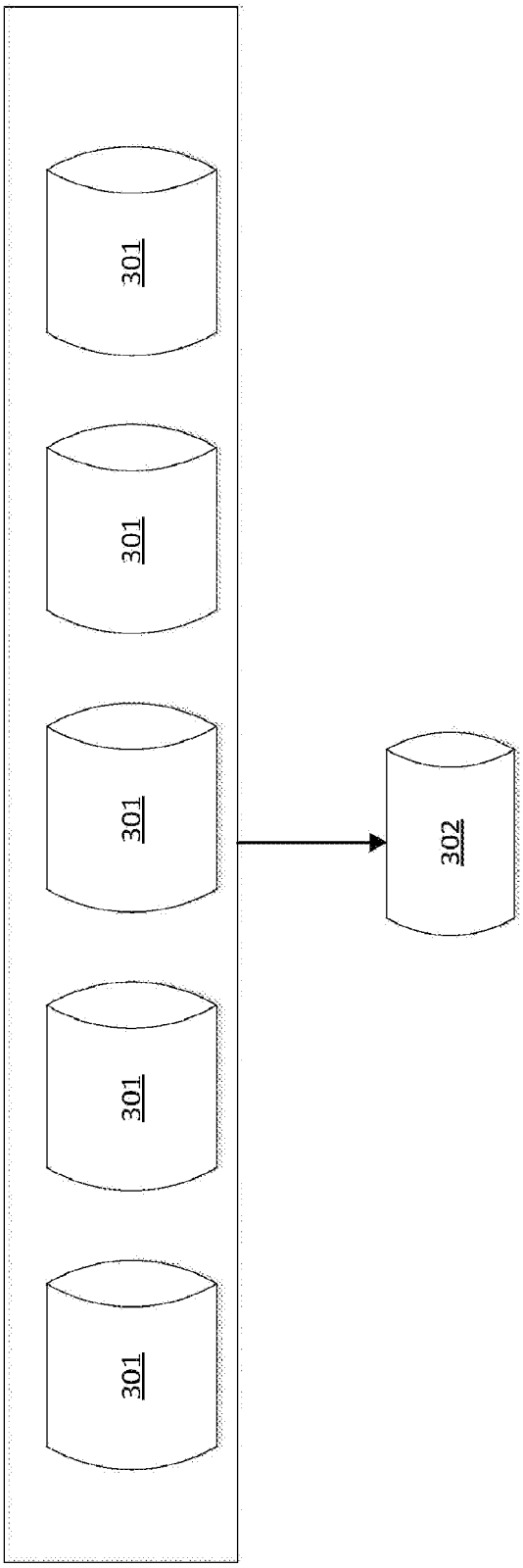


FIG. 3

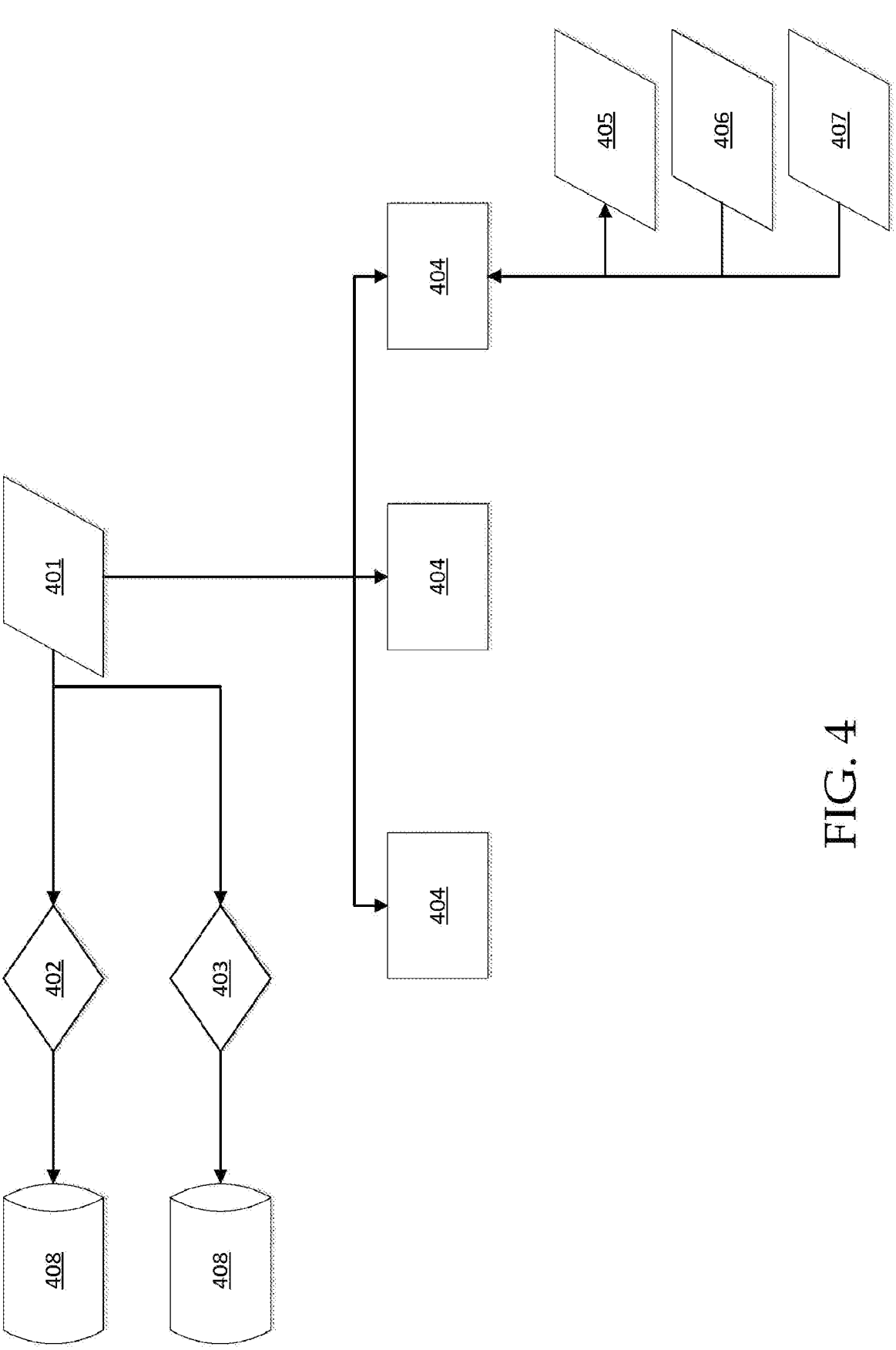


FIG. 4

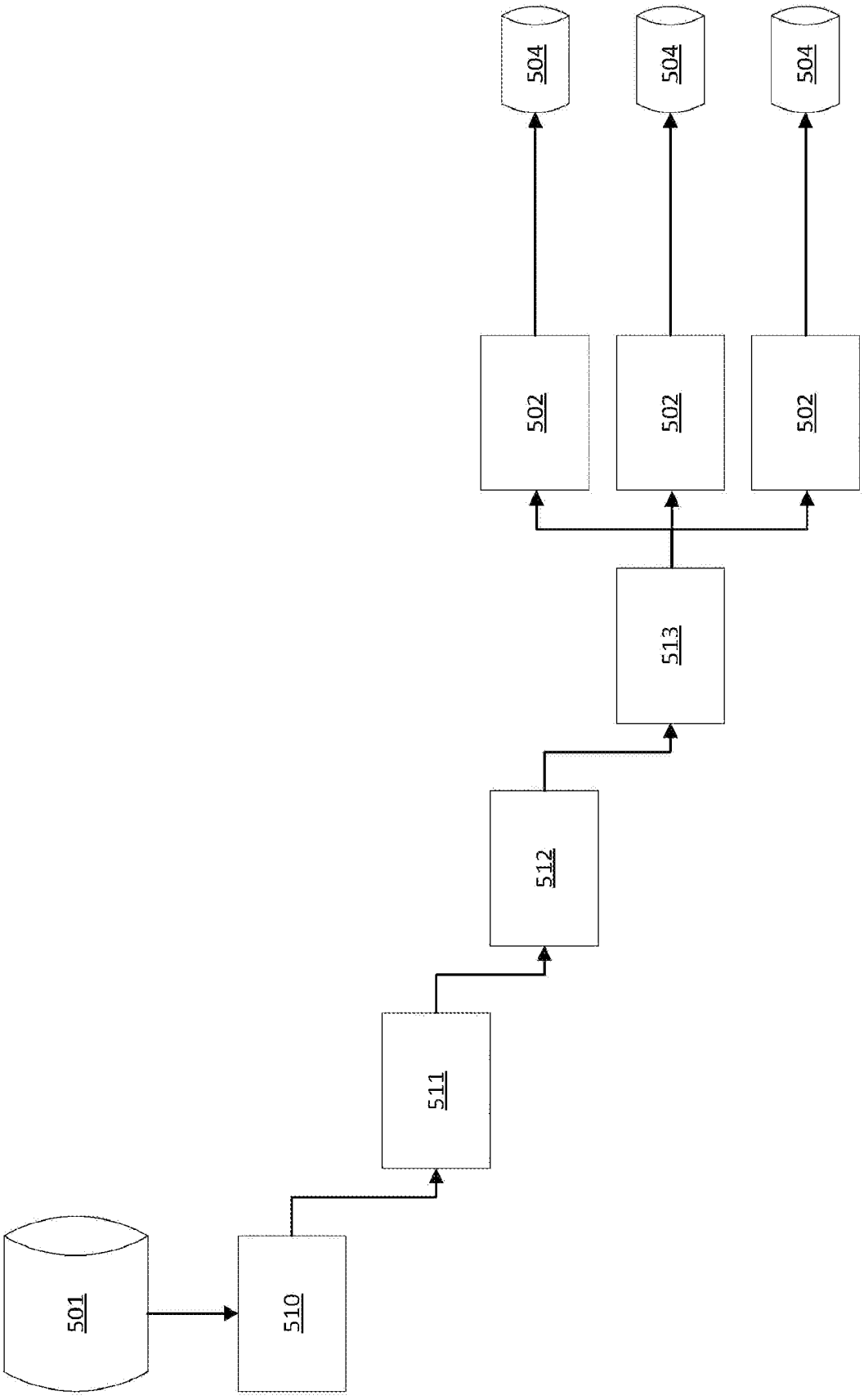


FIG. 5

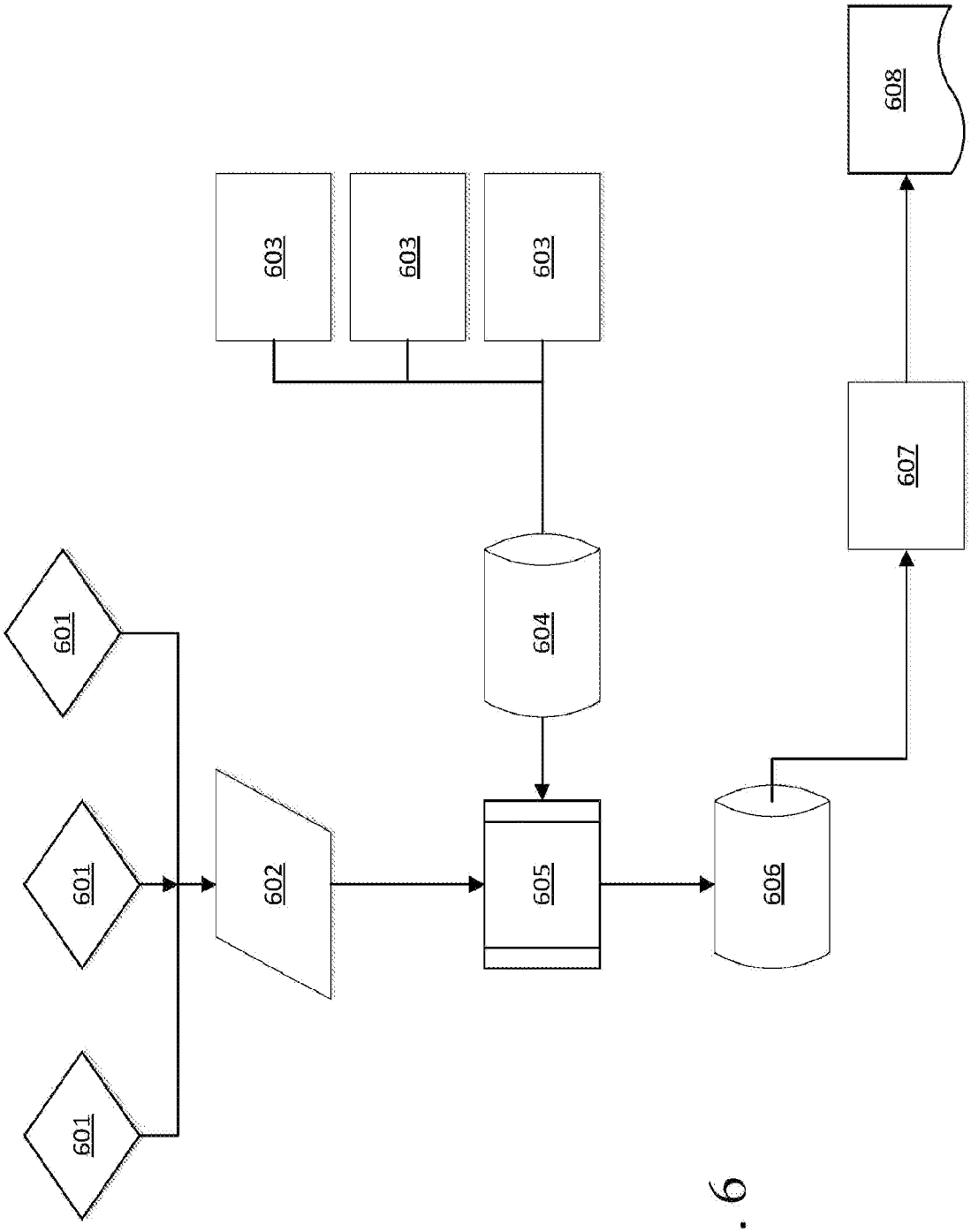


FIG. 6

Upstream Component
701
Rule
702
Rule Text
703
Requirement
704
Summary
705
Compliance Manual Text
706
Task Text
707
Other Application Text
Vertical Data
Rule 1
Lorem ipsum . . . . .
Part 1
Lorem ipsum . . .
Lorem ipsum . . . . .
Lorem ipsum . . . . .
Lorem ipsum . . . . .
Vertical Data
Rule 1
Lorem ipsum . . . . .
Part 2
Lorem ipsum dolor sit. . . .
Lorem ipsum . . . . .
Lorem ipsum . . . . .
Vertical Data
Rule 1
Lorem ipsum . . . . .
Part N
Lorem ipsum sit. . . .
Lorem ipsum . . . . .
Lorem ipsum . . . . .
Vertical Data
Rule 2
Lorem ipsum . . . . .
Part 1
Lorem ipsum dolor. . . .
Lorem ipsum . . . . .
Lorem ipsum . . . . .
Vertical Data
Rule 2
Lorem ipsum . . . . .
Part 2
Lorem ipsum sit. . . .
Lorem ipsum . . . . .
Lorem ipsum . . . . .
Vertical Data
Rule N
Lorem ipsum . . . . .
Part N
Lorem ipsum sit. . . .
Lorem ipsum . . . . .
Lorem ipsum . . . . .

FIG. 7

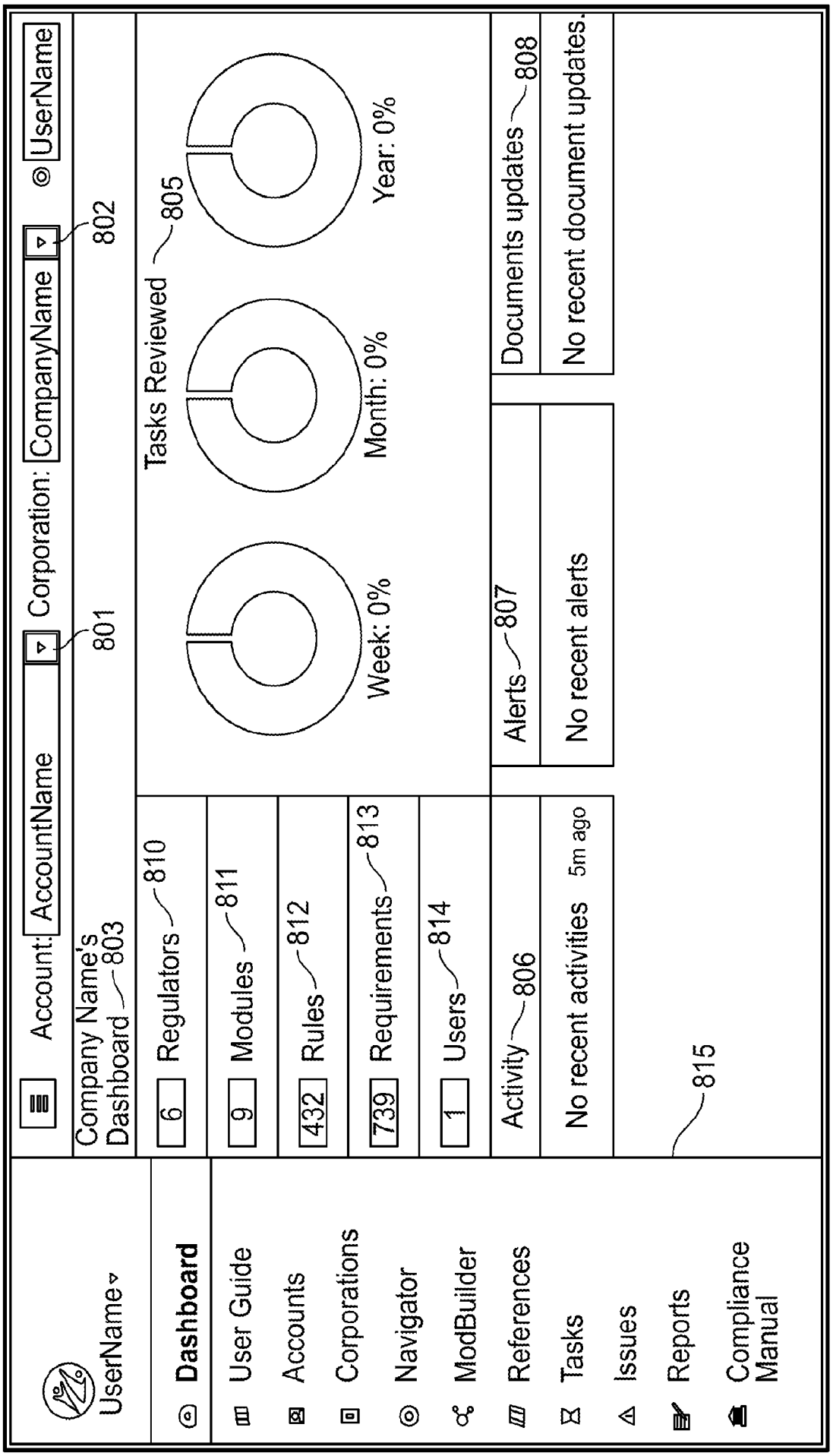

UserName
Dashboard
User Guide
Accounts
Corporations
Navigator
ModBuilder
References
Tasks
Issues
Reports
Compliance Manual
Account: AccountName
801
Corporation: CompanyName
802
UserName
Company Name's Dashboard
803
6 Regulators
810
9 Modules
811
432 Rules
812
739 Requirements
813
1 Users
814
Tasks Reviewed
805
Week: 0%
Month: 0%
Year: 0%
Activity
806
No recent activities 5m ago
Alerts
807
No recent alerts
Documents updates
808
No recent document updates.
815

FIG. 8

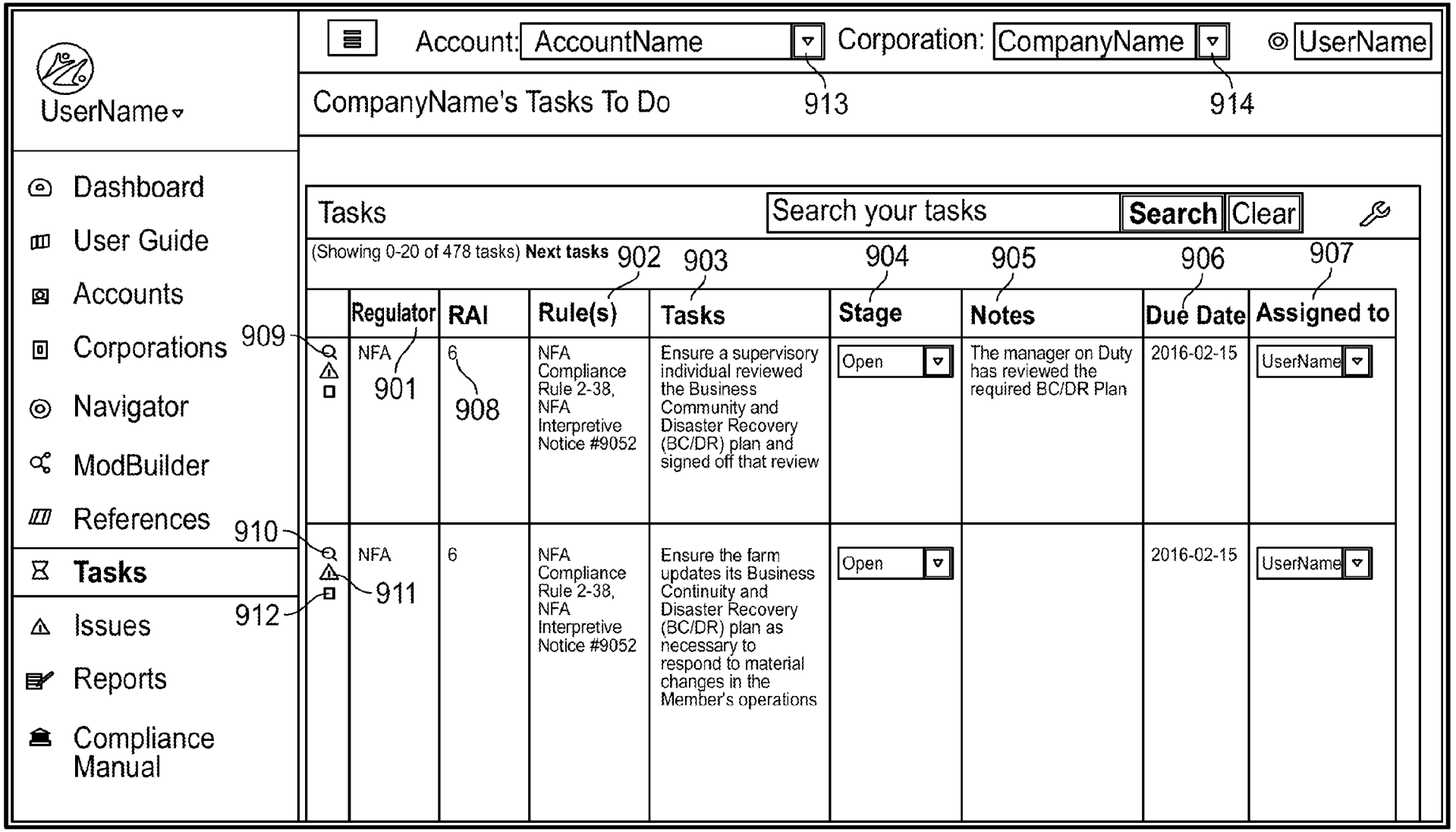


FIG. 9

SUBSTITUTE SHEET (RULE 26)

UserName
Dashboard
User Guide
Accounts
Corporations
Navigator
ModBuilder
References
Tasks
Issues
Reports
Compliance Manual
Account: AccountName
Corporation: CompanyName
UserName
Navigator
Questions
1001
1. Are you in the Financial Services Industry?
Yes
No
1005
1002
2. What Area of the Financial Services Industry are you in?
Derivatives
Securities
1006
1003
3. What Type of Trades do you Execute ?
Futures & Options on Futures
Swaps & Options on Swaps
Security Futures
Physical/Cash Transactions
Alternative/Other
Securities (Stocks)
Options on Securities
1004
4. In Which Asset Classes are you Active in Derivatives?
Agricultural Commodity Futures and Options
Metals
Interest Rates
Energy

FIG. 10

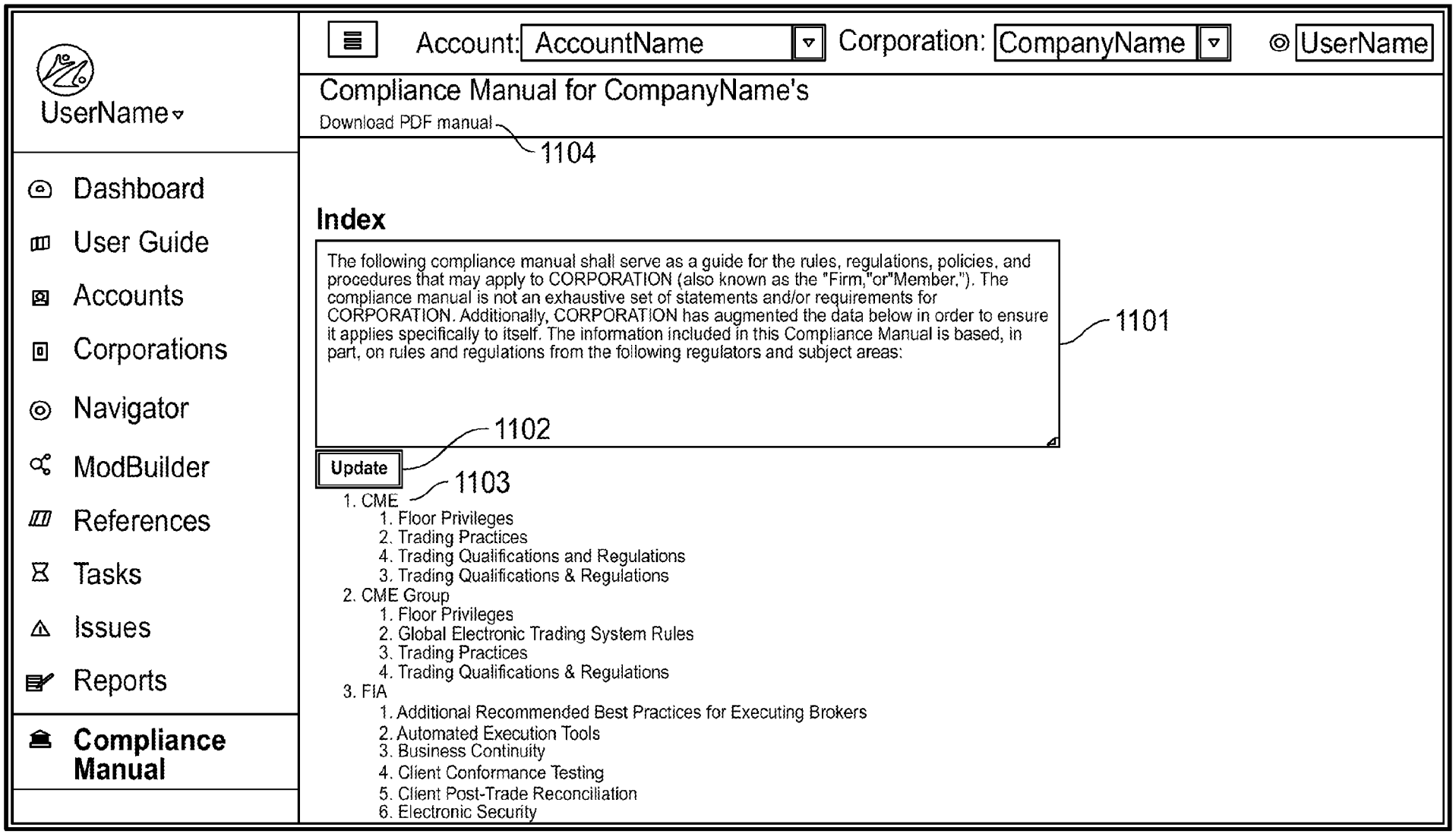


FIG. 11

SUBSTITUTE SHEET (RULE 26)

UserName
Dashboard
User Guide
Accounts
Corporations
Navigator
ModBuilder
References
Tasks
Issues
Reports
Compliance Manual
Account: AccountName
Corporation: CompanyName
UserName
References
References
• All Reference Documentation
• All Reference Documentation Applicable to AccountName
1201
1202

FIG. 12

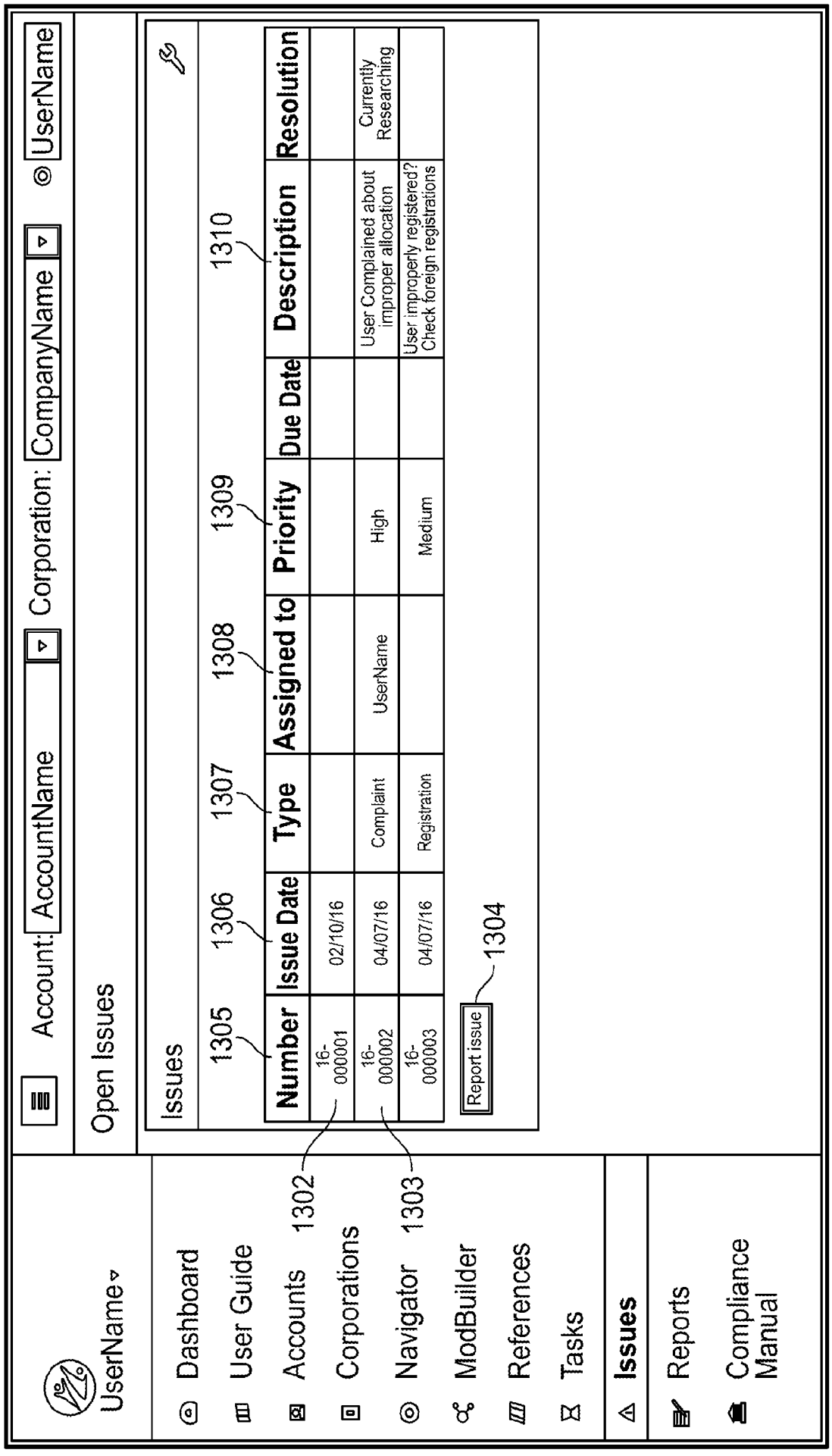

UserName
Dashboard
User Guide
Accounts
Corporations
Navigator
ModBuilder
References
Tasks
Issues
Reports
Compliance Manual
Open Issues
Account: AccountName
Corporation: CompanyName
UserName
Issues
1305
1306
1307
1308
1309
1310
Number
Issue Date
Type
Assigned to
Priority
Due Date
Description
Resolution
16-000001
02/10/16
16-000002
04/07/16
Complaint
UserName
High
User Complained about improper allocation
Currently Researching
16-000003
04/07/16
Registration
Medium
User improperly registered? Check foreign registrations
Report issue
1304
1302
1303

FIG. 13

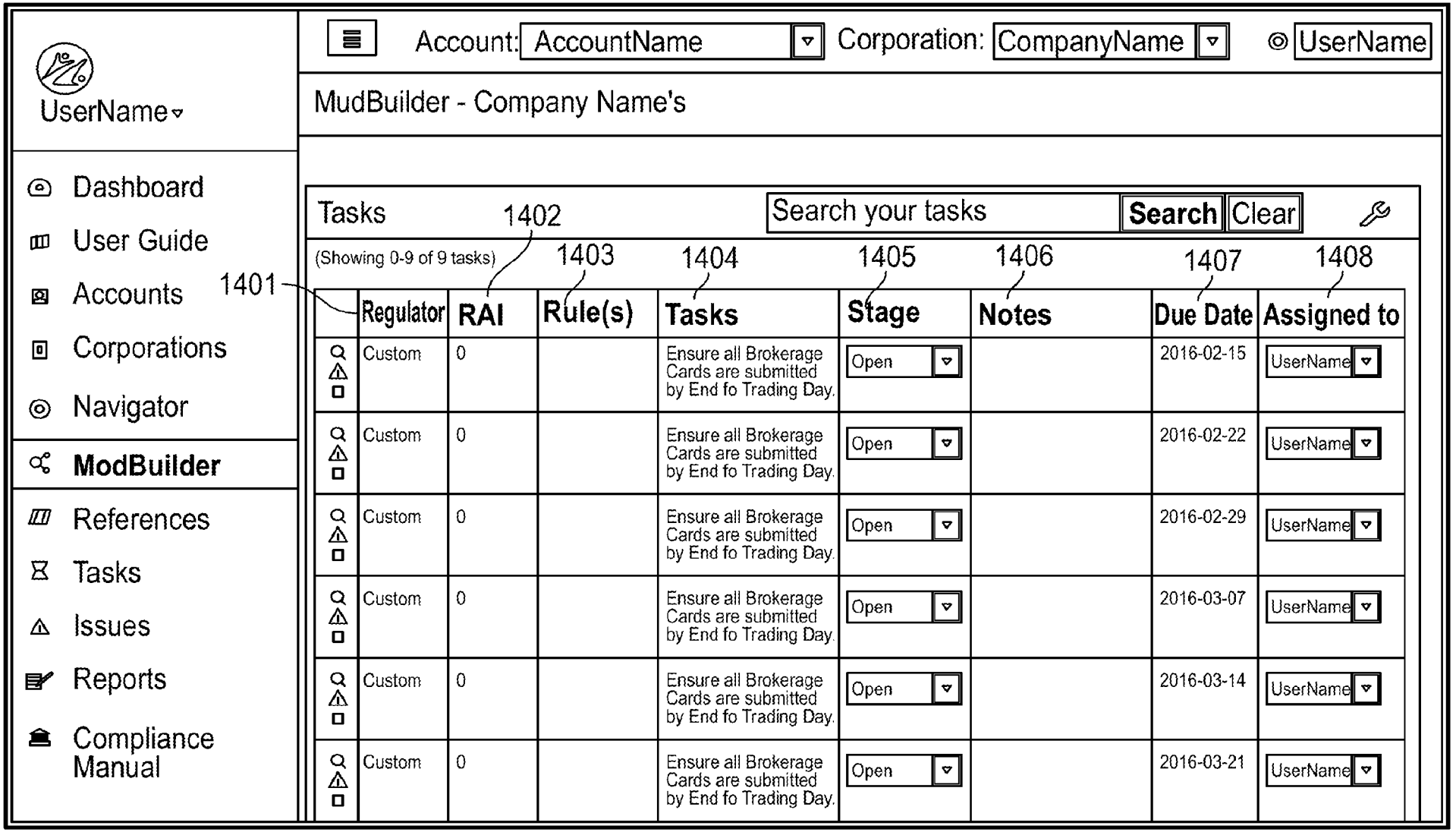


FIG. 14

SUBSTITUTE SHEET (RULE 26)

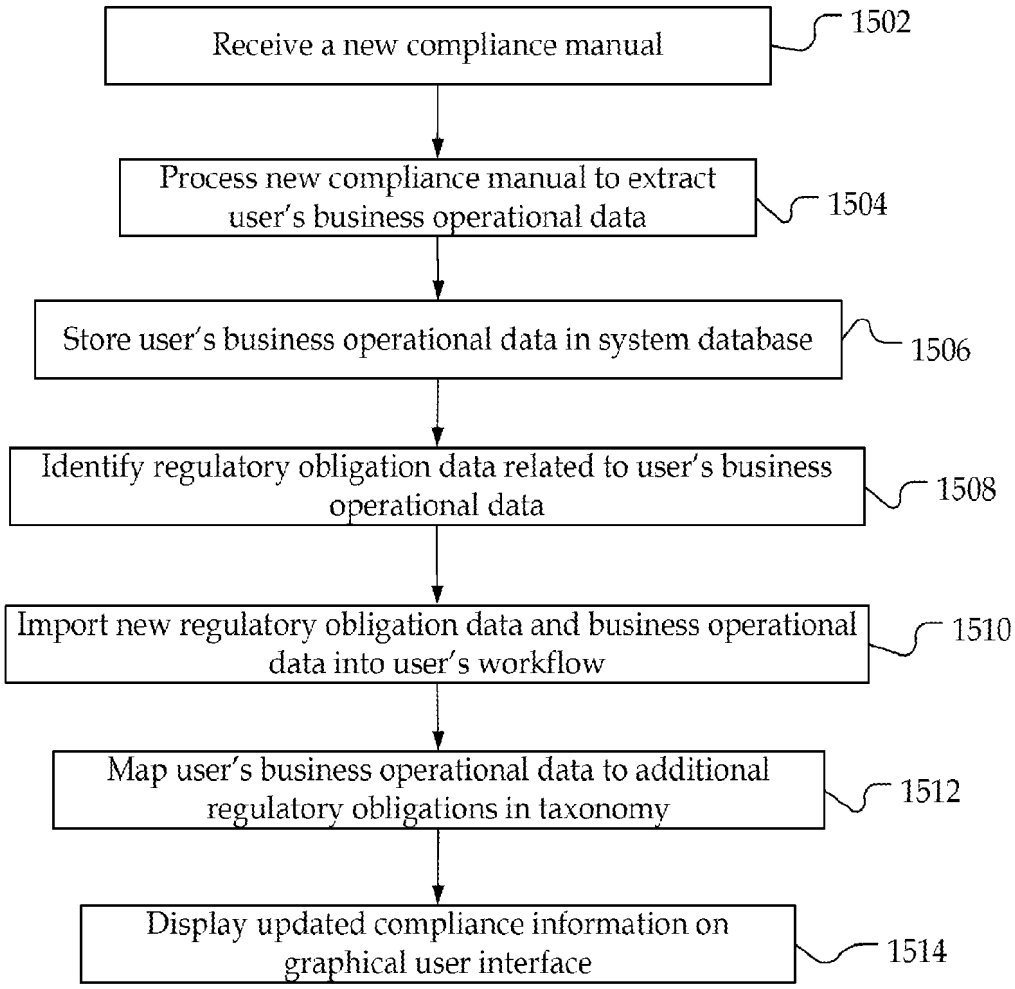

Receive a new compliance manual
1502
Process new compliance manual to extract user's business operational data
1504
Store user's business operational data in system database
1506
Identify regulatory obligation data related to user's business operational data
1508
Import new regulatory obligation data and business operational data into user's workflow
1510
Map user's business operational data to additional regulatory obligations in taxonomy
1512
Display updated compliance information on graphical user interface
1514

FIG. 15

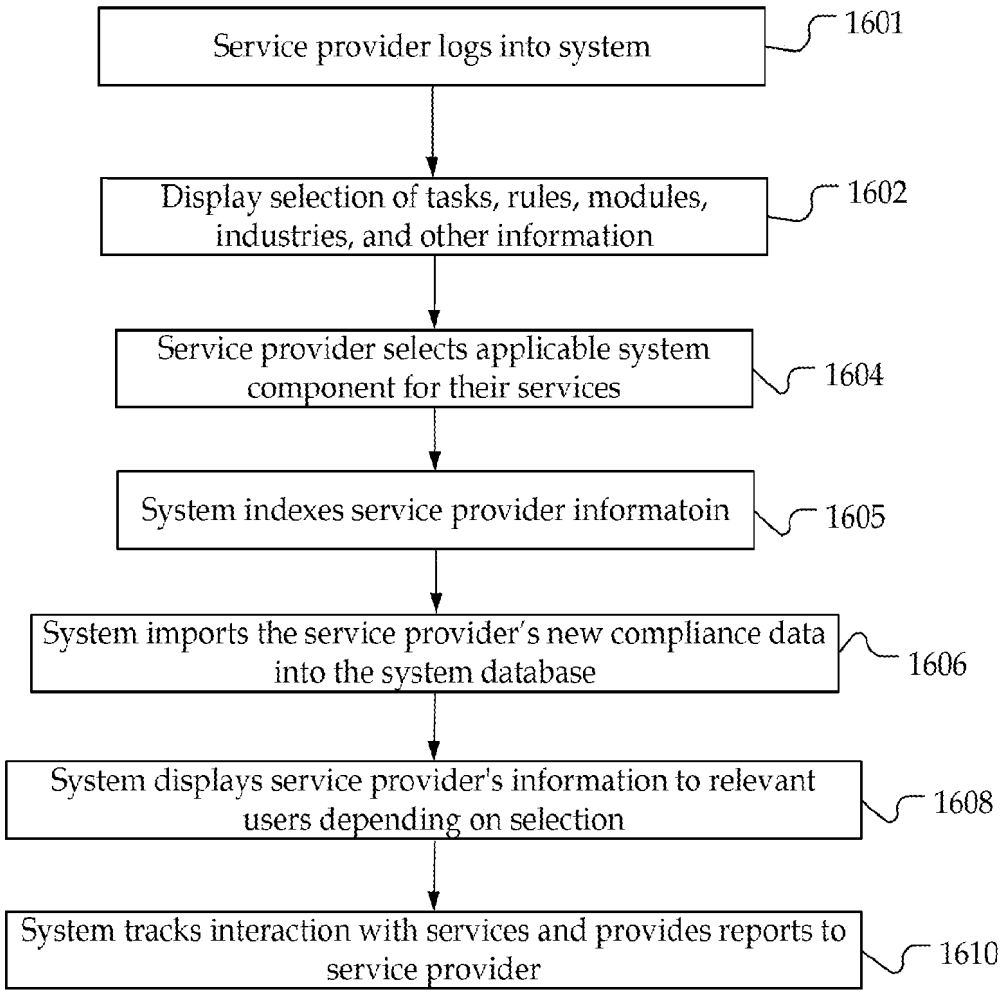

Service provider logs into system
1601
Display selection of tasks, rules, modules, industries, and other information
1602
Service provider selects applicable system component for their services
1604
System indexes service provider informatoin
1605
System imports the service provider's new compliance data into the system database
1606
System displays service provider's information to relevant users depending on selection
1608
System tracks interaction with services and provides reports to service provider
1610

FIG. 16

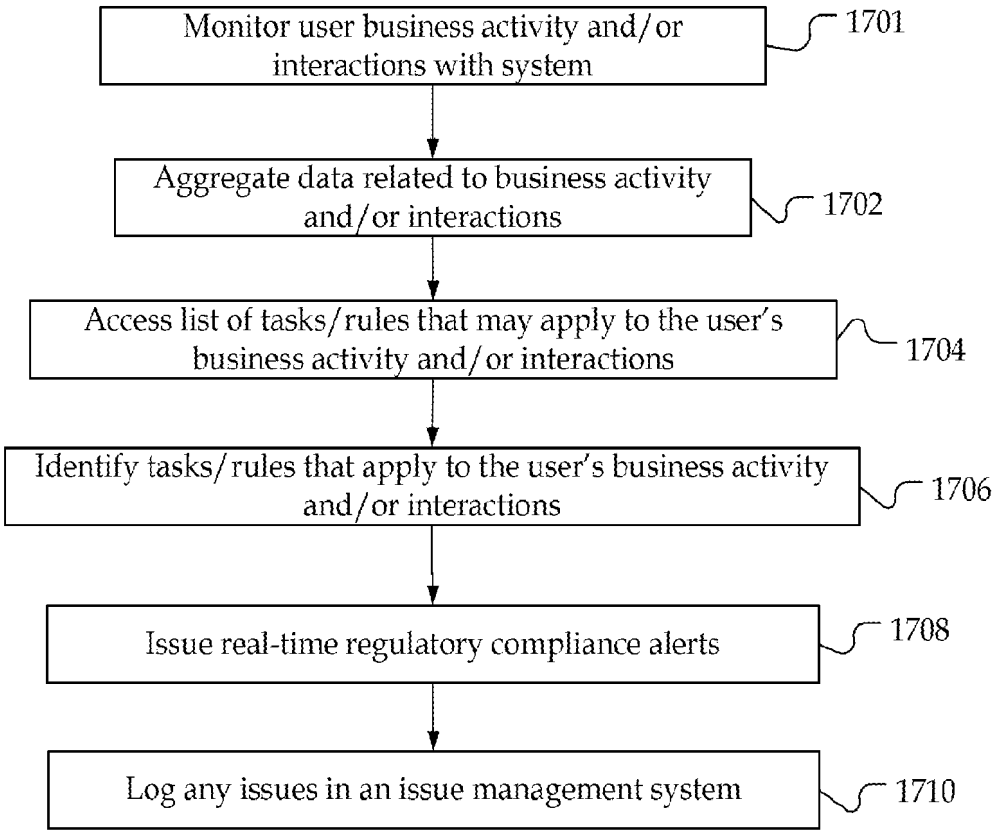

Monitor user business activity and/or interactions with system
1701
Aggregate data related to business activity and/or interactions
1702
Access list of tasks/rules that may apply to the user's business activity and/or interactions
1704
Identify tasks/rules that apply to the user's business activity and/or interactions
1706
Issue real-time regulatory compliance alerts
1708
Log any issues in an issue management system
1710

FIG. 17