Sample
Company

Proposal for Federated Search

Submitted by

Sample Company, Inc.
of Chicago, Illinois

for

Sample Client

July 24th, 2009

Sample
Company

Table of Contents

Executive Overview 1
Our Understanding 2
Our Solution 2
  The Technical Details 2
  Proposed Timeline 4
  The Service Level Agreement (SLA) 4
Our Fees 5
  Fees for Stand-Alone (Licensed) Option 5
  Fees for Hosted Option 5
  Assumptions 6
Our Team 6
  Our Company Overview 6
  Our Leaders 6
Appendix A: Desired Collections A1

Sample
Company

Executive Overview

Sample Company, Inc., an industry leader in commercial and public federated search solutions, is pleased to present this proposal to the Sample Client (hereinafter "**Sample Client**").

We are one of the leading providers of federated search solutions in the marketplace today. Our flagship product, Federated Search is Awesome, is in use at some of the most demanding research institutions in the United States, including the Department of Defense, Department of Energy, Intel, Boeing, Stanford University, University of California San Francisco and George Mason University, among many others.

Because we're independent, Sample Company isn't the largest company in the marketplace. We are not owned, operated or affiliated by a parent publishing company, as is the competition. This means our solutions are independent and best-of-breed.

To survive as a hungry, independent federated search company in these tumultuous times of marketplace consolidation, Sample Company has cut its teeth on delivering a proven federated solution that is simply the best at:

- Ranking and aggregating results from many disparate collections;
- Handling unique source configurations;
- Scaling to large numbers of simultaneous users; and
- Utilizing highly adaptable, open-systems technology to enable our federated search solution to coexist and integrate with just about any possible combination of technology available today.

Sample Company has become one of the fastest-growing, successful federated search providers today, given these factors and our desire to work closely with our customers to see that our solutions fit seamlessly into an existing enterprise or organization.

Our Understanding

Sample Client, is one of the nation's largest mutual fund companies. Sample Client offers investment management, retirement planning, brokerage, and human resources and benefits outsourcing services to more than 24 million individuals and institutions as well as through 5,500 financial intermediary firms.

The company manages hundreds if mutual funds with assets over a trillion dollars. The sheer size of capital available for Sample Client to invest with makes it one of the most powerful firms in the country. Sample Client is one of the largest providers of 401(k) retirement savings plans and a leading provider of 403(b) retirement plans for not-for-profit institution. It also provides human resources and employee benefits services to retirement and stock plans. Customers can also buy and sell stocks through Sample Client's brokerage and online trading. Total customer assets the company manages is valued at over $3.4 trillion.

Headquartered in Boston, Sample Client employs over 46,400 people with 10 regional operations centers across the United States and Canada. It desires to provide a federated search solution within its organization:

- Ingest API-based results, and display within its UI
- Federate approximately 47 collections (as enumerated in *Attachment A: Desired Collections*)
- Utilizes a proxy server to enable IP authentication for some of the collections
- Hosted or stand-alone configuration
- Small prototype before final implementation
- Up to potentially 2,000 users

Our Solution

We believe we can provide a very strong federated search platform for Sample Client, meeting its particular needs with an aggressive price-point.

The Technical Details

Federated Search. Sample Company proposes to provide the most current release of its Federated Search is Awesome, a federated search solution that includes the following features:

- Incremental display of search results for improved user experience
- Relevance ranking of results with a five star ranking system
- Advanced search capability supporting fielded searching, Boolean searching and wildcard searching
- Sort results by Rank, Date, Author and Title
- Limit display of results to one publisher
- Ability to select results of interest across multiple searches which can then be displayed,

printed, emailed, or even downloaded to a citation manager

- *Smart Clustering* capability which displays results relevantly ranked within a cluster
- Grouping of search results by author, document type, journal title, date or other specified fields
- Collection status window which shows number of results brought back from each collection, total results available from a collection, and whether collection failed to return results
- Session preferences
- Bookmark ability
- Spelling suggestion facility (i.e. Did you mean?)
- Integration with proxy server and URL resolver, as appropriate or desired
- (Optional) Alerts to notify users of new articles that match their search criteria, with an ability to automatically create an alert following execution of a search
- Web-based administration console
- Graphics-based search statistics

No Front-End. Sample Client shall provide the front-end, tying into our Web Services API. However, should Sample Client desire, we could provide a customized front-end matching Sample Client's front-end with incorporation of its own unique banners, footers and CSS style sheets.

Hosted Solution or Stand-Alone. For our hosted solution, we manage within a cloud-computing environment located at Amazon. Amazon's EC2 environment is highly reliable, where replacement instances can be rapidly and predictably commissioned. The service runs within Amazon's proven network infrastructure and datacenters, with an Amazon SLA commitment of 99.95% availability. For the stand-alone option, our solution runs on one or more UNIX (Linux) servers, with Apache, Tomcat and MySQL.

Username & Password Management. Sample Client has the ability to submit search requests to our federated search using our Web Services API, with embedding the appropriate collections and credentials in the API call. Therefore, Sample Client can manage credentials on the front-end.

(Optional) Proxy Server Compatible. If Sample Client elects the hosted option, Sample Client will need to contact its publishers requiring IP authentication, to enable our servers to access. Our solution will integrate with Sample Client's provided proxy server, or we can provide an (optional) proxy server, which enables employees and researchers to access documents referenced in results, without requiring them to login to access those documents.

New Connector Development and Deployment. We will build and integrate all the connectors necessary, to federate the collections enumerated in *Attachment A: Desired Collections*. A review of this list indicates there are approximately 47 collections. We will build new connectors, at Sample Client's request, within 3 to 5 days, depending on the complexity of the collection. Note that we assume we will not have access to the Sample Client's internal collections (i.e. FCAT collections), under the hosted option.

Note that on vary rare occasions, we may not be able to federate a particular collection due to a number of reasons, including but not limited to an overly complex user interface at the collection or lack of publisher cooperation. It is

difficult to know what collections cannot be federated, until an attempt is made to build a connector. We will notify Sample Client of any / all collections we are unable to build connectors for.

Connector Monitoring and Maintenance. We will monitor all the connectors to the collections federated, and resolve problems and defects (i.e. changes by the publisher) within our standard SLA, defined below.

Note that our ability to timely resolve connector issues depends on the complexity of the collection. Unfortunately, complexity is difficult to objectively measure, but is correlated to a number of factors at a particular collection. Those factors include, but are not limited to: number of redirects, layers of authentication, source cooperation and changes, lack of authentication tools, circular redirects and presence of client-side scripted rendering (for example, AJAX and Flash). In most cases, we will proactively fix connectors within hours. However, the ability to quickly resolve a particular connector issue is directly related to the complexity of the connector and the collection factors just articulated. Difficult connectors may take significant time to resolve for simple changes at the collection, and likewise, easy connectors may turn into difficult connectors for significant changes at the collection.

(Optional) Alerts. We can provide, at Sample Client's option for an additional cost, an alerts capability to enable students, faculty and staff to stay abreast of topics of interest via email or RSS feeds. This capability utilizes a search term, and notifies subscribers of new articles or results, the configuration of which is exposed under our Web Services API. *Note that this option would require more work of Sample Client's in-house developers to fully integrate with its internal UI – since there are a number of configuration and management issues associated with users adding, editing, and deleting individual alerts on an individual basis.*

Proposed Timeline

We assume a prototype containing 6-8 sources, utilizing a combination of public and IP authenticated collections, at no cost to Sample Client. This will take us approximately 2 weeks to set up. We assume perhaps 2-4 weeks for Sample Client to deploy their UI utilizing our Web Services API, and another 4 weeks to test and evaluate. These timeframes are flexible, depending on Sample Client's needs and capabilities.

After the prototype phase, we would need another 2-4 weeks to finalize the remaining connectors, as well as add in alerts and/or the proxy server (if desired by Sample Client). Assuming Sample Client desires alerts, additional development time would be needed to finalize implementation.

The Service Level Agreement (SLA)

Our service level agreement is based on the severity of a problem, as it relates to our normal business hours of operation, which are from 8am to 6pm, MST, weekdays excluding weekends and holidays. The following table summarizes our maximum callback times, with an effort to resolve any issues as quickly as possible:

Client Impact	Code	Description	Maximum Call-Back Time
Critical	CI-1	Client impact is very high. Functionality is unavailable, severely corrupted, or severely degraded for a significant number of employees. An example of this would be the federated search solution is down and not functioning.	4 Business Hour

Serious	CI-2	Client impact is high. Functionality is unavailable, severely corrupted, or severely degraded for a limited number of employees. An example of this would be an important connector is not functioning.	1 Business Day
Medium	CI-3	Client impact is moderate. A bypass or manual fix is available.	3 Business Days
Minor	CI-4	Little to no Client impact. Functionality is degraded, but this degradation is relatively insignificant. An example of this would be a cosmetic defect.	5 Business Days

Our Fees

Fees depend on the option selected, stand-alone (licensed) or hosted, as well as any options, such as proxy server and alerts.

Fees for Stand-Alone (Licensed) Option

For this option, all one-time fees are due 30 days upon execution of contract, and recurring fees are invoiced in advanced on a quarterly or annual basis, at Sample Client's option.

One-Time Fees

1. Setup Fee – waived –
2. Initial training & support – waived –
   (documentation with remote support, with Sample Client resources installing servers and software)
3. License Grant for Federated Search is Awesome $65,050
4. (Optional) License Grant for Proxy Server $17,000
5. (Optional) License Grant for Alerts $14,000

Recurring Fees

1. ***Standard SLA*** for all support issues – waived –
2. Support & Maintenance for Federated Search is Awesome $9,100/year
3. Support & Maintenance for 47 Connectors $56,400/year
   (See Attachment A for list; $1,200 per connector per year)
4. (Optional) Support & Maintenance for Proxy Server $2,400/year
5. (Optional) Support & Maintenance for Alerts $6,100/year
6. Additional connectors, as requested $1,200/year/new connector

Fees for Hosted Option

For this option, we assume we do not have access to internal sources, and therefore cannot federate the three (3) FCAT collections. Fees are monthly, paid in advance on a quarterly or annual basis.

One-Time Fees

1. Setup Fee – waived –

2. Initial training & support – waived –
   (documentation with remote support, with Sample Client development resources)

Recurring Fees

1. ***Standard SLA*** for all issues – waived –
2. Monthly hosting and maintenance: $4,200/month
3. Support & Maintenance for 44 Connectors $52,800/month
   (See Attachment A for list, less FCAT collections; $1,200 per connector per year)
4. (Optional) Proxy Server – waived –
5. (Optional) Alerts $750/month
6. Additional connectors, as requested: $600/month/new connector

Assumptions

This proposal makes the following assumptions:

- A one (1) year (minimum) contract, which must be executed between us before we begin working on the project.
- Sample Client will provide credentials (i.e. username and passwords, if password-based authentication) upon of execution of a contract.
- We will be unable to access Sample Client's internal collections (i.e. the FCAT collections) with our hosted solution.

Our Team

Our Company Overview

Sample Company is comprised of approximately 26 employees, mainly focused on software development and client implementations, with a thin layer of administrative overhead. Our employees are very experienced with object-oriented software development, utilize an agile development methodology, and have significant experience delivering e-commerce and federated search based applications to high-end organizations.

Our Leaders

Leader #1, *President & Chief Technical Officer*

With a Masters in Computer Science from Massachusetts Institute of Technology, Leader #1 is one of the premier information retrieval software designer-developers in the world. In 1987, Leader #1 co-founded a leading search engine provider, a company that significantly advanced information retrieval technologies.

In 1994, Leader #1 consulted with the Los Alamos National Laboratory (in New Mexico), and helped to transition enterprise information retrieval to the Internet. He developed major applications at LANL, which searched over 270 million records and references, and contained over 100 million hyperlinks.

Pencil Pusher #1, *Chief Operating Officer & Corporate Counsel*

Pencil Pusher #1's career includes over 20 years of Internet development and information technology experience. Before coming to Sample Company, he helped found Company #2, a leader in Internet-based Instant Gift Certificate functionality. He was instrumental in helping that company grow to 3,500 spas and salons throughout the US, as well as formulate key partnerships with industry leaders. Prior to that, Pencil Pusher #2 was COO and Corporate Counsel for FatCow Web Hosting, helping to manage that company to profitable, triple-digit growth rates and oversaw the sale of FatCow for a higher-than-average valuation.

Prior to FatCow, he had developed and deployed complex Internet solutions for the US Army and the Fortune 50, and everyone in-between. Pencil Pusher #1 held leading positions with Baker Robbins & Company and Leapnet. As a seasoned high-tech professional, Pencil Pusher #1 complements the Sample Company team with his extensive high-tech business management and growth experience. His successful track record designing, developing and leading complex Internet-based business, serves as a springboard for designing and deploying Sample Company' business and go-forward strategy.

Pencil Pusher #1 possesses a B.S. in Electrical Engineering, and is a licensed attorney in New Mexico, Illinois, and the US Patent and Trademark Office. He has contributed to multiple Internet-focused publications and has presented on topics associated with cyber communication, the Internet, computer technology, and e-commerce law, both from a legal and technical standpoint. Pencil Pusher #1 appeared on the New Mexico Business Journal's "40 Under 40" in 2003 and 2004, for his work at FatCow.

Tech Goddess #1, Vice President of Engineering

Tech Goddess #1 has over 25 years experience in information technology. Before joining Sample Company, Tech Goddess #1was the Chief Information Officer for a Fortune 1000 company. As the CIO, Tech Goddess #1 oversaw all strategic planning for the IT department as well as day to day operations including networking and application development. She also directed office administration, plant management and employee professional development. She supervised approximately 50 employees and structured an IT organization that supported a company with $60 billion in assets. Tech Goddess #1 blends technological expertise with business and operating know-how to leverage cutting-edge strategies into increased revenue and reduced costs. She has a history of leading teams to build scalable, flexible, and cost-effective information technology platforms, application frameworks, and data management systems. In addition to building new systems, she integrates business strategies into existing infrastructure.

Guru #1, *Vice President of Professional Services*

Guru #1 has spent the last 12 years working in early stage high-tech startups. He co-founded an open source e-commerce software startup based in Pasadena, California. Guru #1 led the company as CEO until the sale of the company to VA Software in 2000. He oversaw all aspects of the company, including product development of the award winning e-commerce suite. After the acquisition, Guru #1 became managing director of the e-commerce professional services practice at VA Software. He has spent the last 5 years working on various projects at his early stage incubator.

Appendix A: Desired Collections

SOURCE	FREE ONLINE	ENTERPRISE ID/PW	INDIVID ID/PW	IP AUTHENTICATION	INTERNAL LDAP
Adobe Labs	x				
Better Software	x				
Burton Group			x		
Business Book Summaries				x	
Conference Board			x		
Corporate Executive Board			x		
Dr. Dobbs Journal	x				
Forrester			x		
Gartner			x		
Google Labs	x				
HBS Working Knowledge	x				
HP Labs	x				
HP Manuals	x				
IBM Database Magazine	x				
IBM Research				x	
IEEE Magazines				x	
Information Management	x				
Information Week	x				
InfoWorld	x				
Intelligent Enterprise	x				
IT Conversations	x				
ITIL - Version 3				x	
Linux Red Hat	x				
McKinsey Quarterly			x		
Microsoft Research	x				
Microsoft TechNet	x				
MIT Sloan Management Review				x	
MIT Technology Review	x				
MITRE	x				
MSDN Magazine	x				
Network Computing	x				
Oracle	x				
Outsourcing Journal	x				
PARC	x				
PC Magazine	x				
Red Herring	x				
Strategy+Business - Booz & Co.	x				
Sun Microsystems	x				
TED Talks	x				
Wall Street Technology Online	x				
Wired	x				