



**Accessibility.**

24/7/365 access for both domestic and offshore team members.

**Reliability.**

Robust application and supporting hardware includes server failover and BCP readiness.

**Scalability.**

Confidence in knowing that the application will accommodate your firm's growth.

**Sustainability.**

Doing your firm's part to reduce paper and related waste materials by Going Green.

Why use **Loffa Interactive Group**?

- Increased Operational Efficiency and Productivity
- Compliance with SEC/FINRA Regulatory Requirements
- Reduced Risk of Audit Fines and Violations
- Electronic Exchange of SIA Forms 150, 151 and Amendment to Form 1 Schedule A
- Reduced Costs and Improved Allocation of Internal Resources



**Automated Prime Broker Solution**



*"The Leader in Automated Workflow Solutions"*

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www.LoffaCorp.com

**Loffa Interactive** is recognized as the leading provider of automated workflow solutions by financial service firms who are seeking a powerful tool to streamline regulatory-required Prime Broker documentation and forms.



*"The Leader in Automated Workflow Solutions"*



"The Leader in Automated Workflow Solutions"

## Prime Broker Integrated Network™ (PBIN™)

The highly competitive Prime Brokerage industry serves the complex trading needs of both financial advisors and money managers. To be a successful Prime Broker, your firm must adopt a technology platform that seamlessly organizes and processes time sensitive client information in a real-time environment.

Our **Prime Broker Integrated Network™ (PBIN™)** application provides your firm with instant electronic updates associated with the exchange Form 1-Schedule A, SIA Forms 150/151 and combines with **Freefund Verified Direct™ (FVD™)** to serve as your end-to-end solution for both Prime Brokerage and DVP trading needs. PBIN™ represents a powerful tool allowing your firm to control your critical risk management and minimize your company's exposure associated with regulatory and settlement risk.

The Prime Broker Integrated Network™:

- Will reduce your firm's risk and unnecessary rejections (DKs) of Prime Broker trades.
- Is ideal for both basic and complex Prime Brokerage businesses and adapts easily to new industry rules and regulations.
- Allows for customized business reporting and meets all regulatory electronic document storage requirements.
- Increases staff efficiency with fewer phone calls and reduction or elimination of faxes.

## Automated Letters of Indemnity/Securities Messaging

Your settlements and transfer of accounts staff handles thousands of securities transactions daily. Errors made in securities transfers occur daily costing your staff time and goodwill to your clients. In accordance with both NYSE Rule 412 D and NASD Rule 11870 (g)(3), the member organization in receipt of the claim must resolve it within 5 business days.

Our instant notification process allows participants to monitor and confirm when their notifications have been sent to and received by their counterparty. Additionally, our clients can demonstrate when they have acknowledged and responded to the notification within the prescribed NYSE and NASD rules.

Benefits of the PBIN™ system include:

- Clear audit and control features demonstrating regulatory compliance.
- Adding value by resolving customer transfer problems in a more expeditious and efficient manner.
- Maintains electronic document storage meeting SEC archival rules for audit reviews.

STATUS	LOCAL	150/151/151	WFO	WFO	WFO	WFO	WFO	WFO
New Asset Items	13	12	10	10	10	10	10	10
Pending Approval	2	1	2	2	2	2	2	2
Approved Assets Received	0	0	0	0	0	0	0	0
Approved Assets Received by Counterparty	0	0	0	0	0	0	0	0
Approved by Counterparty	0	0	0	0	0	0	0	0
Approved by Firm	0	0	0	0	0	0	0	0
Approved (Other Asset Items)	0	0	0	0	0	0	0	0
Items Cancelled by Firm	1	1	2	2	2	2	2	2
Total Asset	16	15	12	12	12	12	12	12
Unknown Items Received	2	2	2	2	2	2	2	2

Dashboard

Compose

Form Type:  SIA Form 150  SIA Form 151  SIA Form 151  SIA Form 151  SIA Form 151  SIA Form 151  SIA Form 151

Asset Name:

Account:

Trade Pending:

Next > Cancel X

Compose Screen

Search

Form Status:

Form Type:

ESCB Account:

Date Received:   and

Expiring After:

Asset:

Asset Name:

Asset Type:

Search  Reset Values

Search/Archive Function

The PBIN™ application is web-based and secure with no need for expensive server installation or modifications on your firm's behalf. In addition, the solution is available to you and your team 24/7/365, both domestically and abroad!