



Quarterly Broker Statement™



Automated and Centralized Solution for Your Quarterly Confirm Process



Loffa Interactive
Group

"The Leader in Automated Workflow Solutions"

Loffa Interactive Group

Loffa Interactive Group is Changing the Way the Financial Services Industry is Getting Work Done by Saving Your Firm Time and Money, While Reducing Risk and Eliminating Paper. There IS a Better Way!

Quarterly Broker Statement™ (QBS™)

SEC Rule 17a-13 requires quarterly security counts to be performed by certain exchange members, brokers and dealers. This process has historically been very manual and paper-intensive where thousands of transactions are sent, reviewed, updated, reviewed yet again, and finally stored in file cabinets or expensive offsite storage facilities. The tasks of generating these quarterly statement requests, tracking, validating counter party responses and updating database tables requires attention to detail that can be overlooked during periods of heavy volume. Additionally, the process of tracking down and identifying the correct current industry contacts for these confirmations compounds the problem of collection of these letters. All of which can lead to audit issues, internal control problems and possible censures and fines.

Loffa Interactive's QBS™ solution provides your firm with a robust web-based tool to help streamline your quarterly process, eliminate unnecessary paper usage, strengthen internal controls and protect against internal/external audits and fines..all while assisting your company to comply with SEC Rule 17A-4 (Record Retention) and Rule 17-5a (Reporting).

Other Benefits Include:

- **Cost:** When you use Loffa Interactive's **Software-as-a-Service (SaaS)**, your firm will immediately realize a quicker ROI with no hardware or servers to purchase-freeing your IT/Systems teams to focus more on strategic issues and letting Loffa handle all maintenance, enhancements and upgrades. The implementation of a fully scalable web-based solution will allow your Back and Middle-office operational teams to free themselves with inefficient paper processes for good while saving big on paper and paper-related costs. You can rely on Loffa applications for their enterprise grade security level, reliability, value, and performance.
- **Regulatory:** Through centralization and electronic data storage of your quarterly confirmation requests and associated responses, the application provides you with immediate search and reporting capabilities..strengthening your domestic and offshore supervisory control process and providing a documented policy and procedure.
- **Transparency:** There is tremendous amount of paperwork to process between Custodial Brokers, Executing Brokers and other financial service entities. Through the QBS™ Dashboard view, Report functions and associated User controls, your firm can quickly determine status of all confirm requests.
- **Sustainability:** QBS™ is an automated/paperless web-based solution. With the introduction of the application, your department will support your firm's sustainability programs (**Go Green**).



Virtually eliminate print, paper, storage, and retrieval costs by transforming your back and middle office processes into a well-oiled machine. Imagine...an environment with NO PAPER!

Quarterly Broker Statement - S

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Sending Solution for: OBS SENDING BROKER

Dashboard

From DTCC: All | Product Type: All | Quick Find: Enter Sub ID# | Enter DTCC# | Enter Security ID# | Enter New Account # | Status

Status	Current QTD	Previous QTD	YTD	2 YTD
New (Items Sent)	34	0	18	18
Suppressed (Items Not Sent)	0	0	0	0
Pending (Revised Back)	14	0	16	16
Review Needed (Further Research)	0	0	0	0
Approved (Items Accepted by Counterparty)	0	0	0	0
Declined (Items Rejected/DTCC by Counterparty)	0	0	0	0
Closed (Items Closed or Ctd)	0	0	0	0
Total Sent	34	0	34	34

Unknown Item(s)

Dashboard

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Sending Solution for: OBS SENDING BROKER

Search

Search

Master Reference ID#		Sub Reference ID#	
Sent To Company		For Account#	
Record Status		Master Product Type	
Sub Product Type		Security ID# (ex. CUSIP/ISIN)	
Security Description		Security Type	
Sent - on or after		and on or before	
Open/Trade - on or after		and on or before	
Closed/Settlement - on or after		and on or before	
Maturity - on or after		and on or before	
Principal Amount greater than or equal to		and less than or equal to	
Quantity greater than or equal to		Control Act #	
Sent to Fax # / Email		Method Sent	

Search Function

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Sending Solution for: OBS SENDING BROKER

Grouped Open Records

Export To Excel

From DTCC	Ref ID#	Record Status	Sub Type	Orig Date Sent	To DTCC	To Company	For Account#	# of OBI Items	
To Company: DD Client DTCC									
1234	1234-01-00-0	New	Borrow vs. Cash	09/30/2019	5	DD Client DTCC		1	
1234	1234-02-01-0	New	Borrow vs. Stock	09/30/2019	5	DD Client DTCC		1	
								Totals	2
To Company: GOLDMAN SACHS									
1234	1234-03-10-0	New	Borrow vs. Pledge	09/30/2019	5	GOLDMAN SACHS		1	
1234	1234-03-20-0	New	Borrow vs. Pledge	09/30/2019	5	GOLDMAN SACHS		1	
1234	1234-11-15-0	New	Loan vs. Cash Loan	09/30/2019	5	GOLDMAN SACHS		1	
1234	1234-11-14-0	New	Loan vs. Cash Loan	09/30/2019	5	GOLDMAN SACHS		1	
9999	9999-F1-14-0	New	Fail to Receive	09/30/2019	5	GOLDMAN SACHS	980200050	2	
9999	9999-F1-33-0	New	Fail to Receive	09/30/2019	5	GOLDMAN SACHS	980200050	2	
								Totals	6

Report Function

Quarterly Broker Statement - S

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Sending Solution for: OBS SENDING BROKER

Activity Manager

Quick Find: Enter Sub ID# | Enter DTCC# | Enter Security ID# | Enter New Account # | Search for Items In: All

# of Days in Status	Sent Form	Need Form	Notify	Flag	Details	Ref ID#	Record Status	Master Type	Sub Type	Orig Date Sent	To DTCC	To Company
1					Details	1234-F2-20	New	Fail	Fail to Receive	09/30/2019	1	TEST EMAIL 1
1					Details	1234-F2-20	New	Fail	Fail to Deliver	09/30/2019	1	TEST EMAIL 1
1					Details	1234-L2-20	New	Loan	Loan vs. Stock	09/30/2019	13	SANFORD BERNSTEIN
1					Details	1234-R1-00	New	Repo	Repo/Share Agreement	09/30/2019	13	SANFORD BERNSTEIN
1					Details	9999-F2-10-0	New	Fail	Fail to Deliver	09/30/2019	17	JP
1					Details	1234-B1-10-0	New	Borrow	Borrow vs. Pledge	09/30/2019	5	GOLDMAN SACHS
1					Details	9999-F1-34-0	New	Fail	Fail to Receive	09/30/2019	5	GOLDMAN SACHS
1					Details	1234-L1-33-0	New	Loan	Loan vs. Cash Loan	09/30/2019	5	GOLDMAN SACHS

Easy Navigation

QBS™ Features

Features of our online solution include:

- Both DTCC and non-DTCC participants can electronically verify and confirm all open fails, borrows, loan, and repo product types.
- Constantly updated industry contact database
- User-friendly dashboard and intuitive workflows provide total automation and process improvement
- Standard and customizable reports allowing for efficient analysis of KPI's and other metrics
- Universal portal option for responding parties to reply online
- User-based permission roles, including manager and supervisory, to easily assign or delegate duties
- Secure web-based connection ensures all client and customer data kept confidential and seamless monitoring of both domestic and offshore operational teams
- No need for hardware installation and monitoring - all system upgrades are included by Loffa Interactive as part of your monthly service fee
- Online storage (rolling 8 years) allowing for instant document and information retrieval - no more trips to the file room or offsite storage facility

About Loffa Interactive Group

Loffa Interactive Group helps your firm streamline processes, remain compliant with current and proposed industry regulations, strengthen internal controls, and make a positive impact on the environment by eliminating unnecessary paper usage. Our products are extremely affordable, easy to implement and web-based—with no need for your company to install costly hardware.

Headquartered in Scottsdale, Arizona, Loffa Interactive is an operational consulting group comprised of professionals from the financial services and information technology industries. We specialize in web-based applications designed to increase your company's bottom line by improving staff efficiency, automating workflows, and reducing costs—all while helping you go green.

Our team has been actively involved in many roles and functions within the back and middle-office operations at large and small companies across the United States. The founding members possess over 75 years of combined operational experience within the following industries:

- Broker/Dealer Financial Services
- Information Technology/Software Development
- Human Resources and Operations
- Insurance
- Real Estate
- Sales and Marketing

Call 1-866-My LOFFA (695-6332) Today!

Operational Improvements

- Automated Quarterly Confirm Process
- Streamlined, Paperless, and Automated Workflow Processes

Regulatory, Compliance and Oversight

- Documented Best Practice Procedures
- Improved Supervisory Oversight

Storage and Reporting

- Electronic Document Storage, Archive, and Retrieval (Go Green)
- Custom Analytic and Ad-Hoc Reporting

Financial Business Improvements

- Increased Staff Efficiency, Lowered Operational Costs
- Reduced Trade Settlement Issues



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