







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 <u>IS</u> 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.

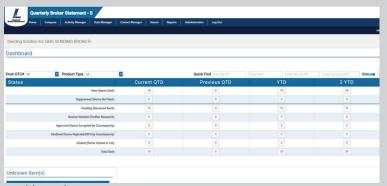
Loffa Interactive's QBSTM solution provides your firm with a robust web-based tool to help streamline your quarterly process, eliminate unnecessary paper usage, strengthen internal controls and protect against internal/external audits and fines..all while assisting your company to comply with SEC Rule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

Other Benefits Include:

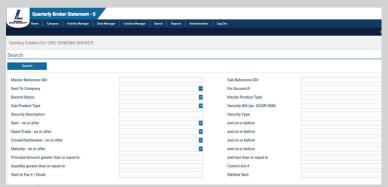
- Cost: When you use Loffa Interactve's Software-as-a-Service (SaaS), your firm will immediately realize a quicker ROI with no
 hardware or servers to purchase-freeing your IT/Systems teams to focus more on strategic issues and letting Loffa handle all
 maintenance, enhancements and upgrades. The implementation 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 paperrelated 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**).



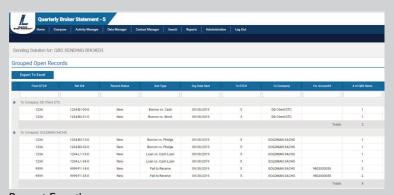
Virtually eliminate print, paper, storage, and retrieval costs by transforming your back and middle office processes into a well-oiled machine. Imagine...an environment with NO PAPER!



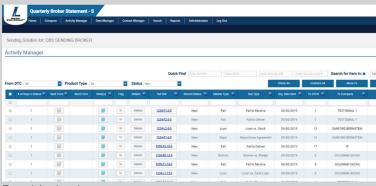
Dashboard



Search Function



Report Function



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

Storage and Reporting

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

Regulatory, Compliance and Oversight

- Documented Best Practice Procedures
- Improved Supervisory Oversight

Financial Business Improvements

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



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