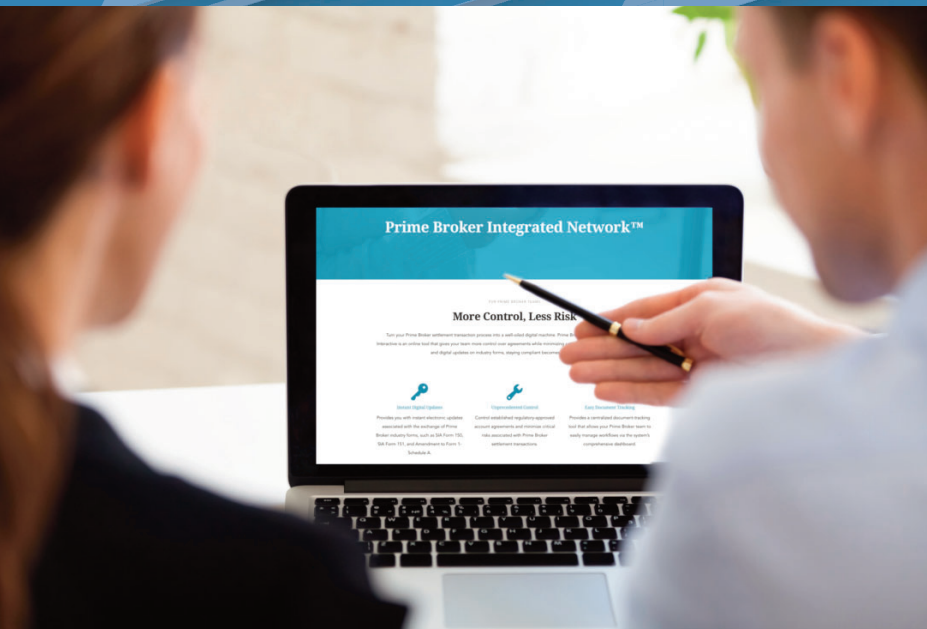




**Prime Broker
Integrated Network™**



Automated and Paperless Solution for Your Prime Broker Regulatory Requirements



**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!

Prime Broker Integrated Network™ (PBIN™)

The highly competitive Prime Brokerage industry serves the complex trading needs of **Hedge Funds, Registered Investment Advisors (RIAs), and Money Managers**. To be a successful Prime Broker, your firm must adopt a technology platform that organizes and processes time-sensitive material and client information in a real-time environment. You will a powerful, centralized client and contra broker informational database tool that works seamlessly across your various internal business units to support your Prime Broker department. **Loffa Interactive's Prime Broker Integrated Network™ (PBIN™)** platform satisfies all of these business needs-and more!

Our PBIN™ application provides your firm with instant electronic updates associated with the exchange of **SIA 150 Master Relationships, SIA Form 1-Schedule A, and SIA 151 Customer Agreements**. Loffa is keenly aware of the need and sensitivity of establishing these relationships quickly. Therefore, PBIN™ includes an **Industry Informational Database** which contains all current US Prime Broker department contact information for Custodians and Executing Broker/Dealers.

Other Benefits Include:

- **Sustainability:** PBIN™ is an automated/paperless web-based solution. With the introduction of the application, your department will support your firm's sustainability programs (**Go Green**).
- **Transparency:** There is a tremendous amount of paperwork to process between Custodian, Executing Broker/Dealers, Hedge Funds, Mini-Primes, RIA and their clients. Through the PBIN™ dashboard, onboarding your clients and monitoring the progress of establishing PB relationship can be securely viewed by Management, Operations, Settlements, Sales, and Compliance.
- **Cost:** When you use Loffa Interactive's **Software-as-a-Service (SaaS)**, you will realize faster ROI because your firm can get started quickly with no hardware to buy-freeing your IT organization to focus on Strategic issues, while we handle all maintenance and upgrades. The implementation of a scalable web-based solution will allow your Prime Broker operations group to never have to work with inefficient paper processes again. You can count on Loffa Interactive's applications for their enterprise grade security level, reliability, and performance.
- **Regulatory:** Through centralization and electronic data storage of your Prime Broker Master and Sub Account relationship information, we provide you with immediate search and reporting capabilities. We improve your ability to manage potential **Regulation T and BlueSheet Reporting** issues should your Prime Broker forms not be in place prior to the trade or not reported correctly to the Executing Broker. We strengthen your supervisory control process and provide a documented procedures policy.



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!

PBIN™ represents a robust Client Relationship tool that allows your Prime Broker operations group immediate reporting capabilities for clients or other internal departments. Your Prime Broker group will benefit from efficiency gains while Compliance strengthens by immediate access to information. In addition, your Settlements department will see improved Reg. T oversight and Sales will have access to vital trading relationship information.

Benefits of the PBIN™ Solution

Our Prime Broker Integrated Network™ (PBIN™) application provides Custodians, Clearing Firms, Executing Brokers, and Mini-Primes the ability to exchange and store required SIA Prime Broker documentation electronically. PBIN™ provides Prime Brokers a single point of access that allows each firm to frequently and immediately track documents and relationships on-line, thus assisting in minimizing their exposure involved in Delivery Versus Payment (DVP) trades.

Our Prime Broker consultants are able to evaluate your current processes and provide custom solutions to meet your needs and growth expectations.

The PBIN™ software leverages an Automated Communication Network (ACN) system that supports seamless completion of:

STATUS	TODAY	YESTERDAY	WTD	MTD	QTD	YTD
Newly Sent	0	0	0	2	2	2
Pending	0	0	0	0	1	1
Revenue Received	0	0	0	0	0	0
Approved	0	0	0	2	2	3
Rejected	0	0	0	0	0	0
Closed	0	0	0	0	0	0
Suppressed	0	0	0	0	0	0
Cancelled	0	0	0	1	1	1
Total	0	0	0	3	6	7
Unknown Items Received	0	0	0	0	0	0

Dashboard

Form Type

From DTCC: 1234-Loffa PB Test

Choose Form: SIA PISA

Select Status: New

Send form to non-existing relationship.

PBMA: Please select an account

Single account to one or more brokers

Compose

Search

From DTCC: All items checked

Form Type: Select Report Type

To Clearing Broker DTCC: Select CB DTCC

To Executing Broker ID: Select CB ID

PBMA Number: Select PBMA Number

EB/CR Account: Select EB/CR Account

Send by: [Text Field]

Send Date: Select Completed Date

Custom Sent Date: [Date Range]

Completed By: [Text Field]

Self ID: Enter Member Ref ID

Form Status: Select From Status

To Clearing Broker Name: Enter Company Name

To Executing Broker Name: Enter Company Name

PBMA Account Name: Enter Sender Account Name

Account Type: Select Account Type

To Clearing Broker MPID: Enter CB MPID

To Executing Broker MPID: Enter EB MPID

Method Sent: Select Method Sent

Received Date: Select Received Date

Custom Received Date: [Date Range]

Completed Date: Select Completed Date

Custom Completed Date: [Date Range]

Search

Report

Report Type: Activity Report, Broker Report, Verification Reports, Account Report, Sub Account, SAD Audit Report

Form/Status Type: Select All

For Clearing Broker: Select All

For Executing Broker: Select All

For PB Master Account: Select All

For PB Sub Account: Select All

Date Selection (As of): Select Date Range

SAD Confirmation Report Log

Report

- SIA Prime Broker 151 Agreement- Between the Prime Broker unit and the RIA or Hedge Fund
- SIA Prime Broker 150 Agreement- Between the Prime Broker unit, other Executing Brokers, Prime Brokers, and Mini-Primes.
- SIA Form 1 Schedule A Amendments- Modifications/Additions/Deletions included under the binding SIA Form 150 Master Agreements Investment Manager, Hedge Fund Prime Broker accounts/sub-accounts, and Mini-Primes.

PBIN™ represents a powerful client database tool that allows various departments to work together seamlessly-minimizing your firm's exposure associated with Regulatory and Settlement risk. Using Loffa Interactive's solution will immediately provide your company the ability to:

- Lower operating cost by eliminating manual processes
- Store and retrieve records and data electronically (**SEC 17a-3 & 17a-4, FINRA 3110**)
- Eliminate the need to handle paperwork (Paperless Environment/Green Solutions)
- Implement a supervisory control process (**FINRA 3010, 3012**)
- Guard against regulatory fines and censures
- Strengthen Internal Controls-Minimizing settlement risk (**FINRA 3013**)
- Increase regulatory and audit management tools (**Customized Reporting**)
- Provide a secure and current documented Policy & Procedures Process (**FINRA 3010**)

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

- Centralized Prime Broker Relationships into One Secure Database
- Streamlined, Paperless, and Automated Workflow Processes

Regulatory, Compliance and Oversight

- Documented Prime Broker 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



"The Leader in Automated Workflow Solutions"

8535 E. Hartford Dr. • Suite 105
Scottsdale, AZ 85255
1-866-My LOFFA (695-6332)
www.loffacorp.com