



**Prime Broker  
Integrated Network™**

*The following benefits illustrate how Loffa Interactive's Prime Broker Integrated Network™ (PBIN™) solution can help your firm automate, centralize, "Go-Green", and strengthen internal controls within your Prime Broker Department. The items below show the breadth of automated and cost-saving capabilities Loffa Interactive will bring to your firm in the area of Custodial Prime Broker Paperwork.*

## **Operational Improvements**

- Streamline and help automate manual workflow processes (STP)
- Centralize all Prime Broker relationships in one database (Schedule A, 150/151/Sub-Accounts)
- Ability to extract New Accounts coded as Prime Broker in your Legacy system and update PBIN system without manual entry
- Eliminate manual faxing – Schedule A's to be sent through PBIN™ automatically
- Form 150s and Schedule A's automatically sent/tracked through daily DTC trade files
- Allow Operations group to follow-up with Executing Broker and trading desk to resolve issues
- Easily identify existing Prime Broker relationships without verifying through paper files

## **Regulatory/Compliance and Oversight Improvements**

- Centralize control of all Prime Broker account and relationship information
- Provide mobile access to account and relationship information – BCP Readiness
- Regulatory and Audit reporting capabilities
- Provide increased security and privacy of account information over non-secured faxes
- Ability to reduce your Reg. T exposure through DTC trade files validating the existence of proper Prime Broker forms (150/Schedule A) and sending required documentation to executing firm without the need for a representative to process.
- Improve management oversight through centralization and immediate review of documentation

## **Storage and Reporting Improvements (Go Green)**

- Electronic archival and immediate retrieval
- Eliminate paper copies and storage requirements (Onsite and Offsite)
- Customized reporting capabilities and quick search functionality
- Provide custom analytic and ad-hoc reporting functions

## **Financial Business Improvements**

- Quantify and reduce regulatory and operational risk/cost
- Increase staff efficiency by removing manual processes
- Facilitate growth of Prime Brokerage business
- Reduce costs through automation of coding accounts and manual faxing of Prime Broker Forms
- Lower operational costs through a scalable Web Based solution
- Reduce costly trade settlement issues
- Eliminate storage and retrieval costs