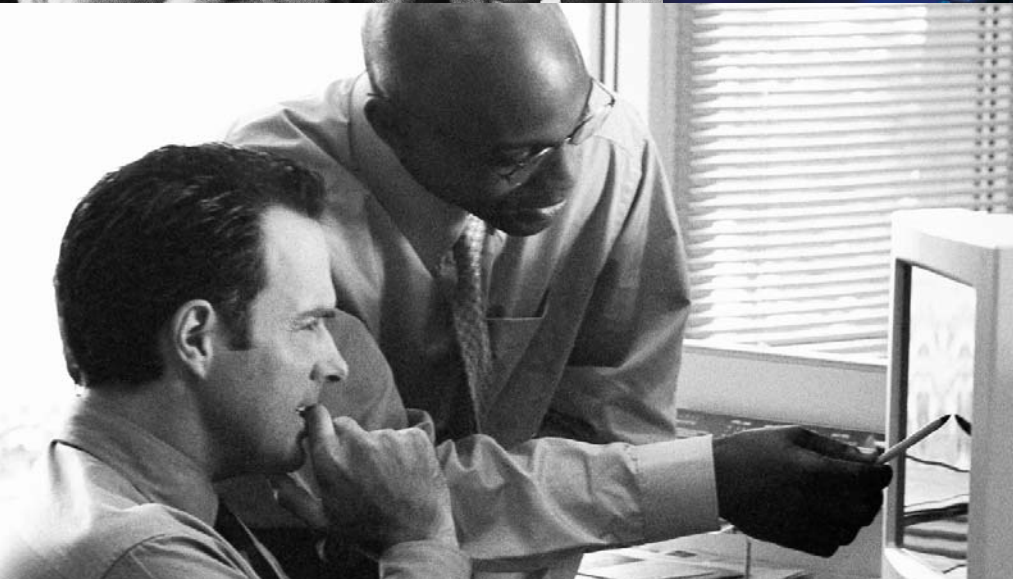
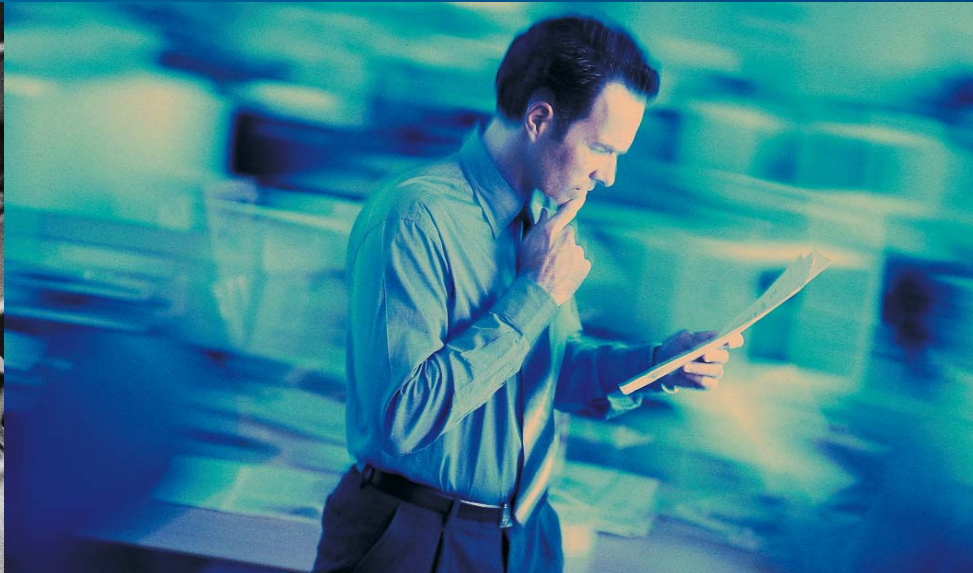




**Prime Broker  
Integrated Network™**



***Automated, Paperless Solutions for  
Your Prime Broker Regulatory Requirements***



**Loffa Interactive  
Group**

*"The future in regulatory automated solutions"*

## Let Loffa Interactive Reduce Your Firm's Risk, Go Paperless, and Save Money in the Process!

### 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 have 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 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, On-boarding 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.



*Reduce print,  
postage, and  
transaction  
costs by at  
least 50% by*

*transforming your back and  
middle office into a paperless  
environment with one click.*

*Imagine – an office with  
virtually 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.

### Who is Loffa Interactive

Our team has a single focus: contributing to the success of your business. We know how important it is for you to control cost, stay abreast of changing regulations, all while incorporating the industry's best practices.

Our Prime Broker Integrated Network Solution delivers almost immediate positive ROI, allowing your operational Prime Broker team to manage today's cost and support tomorrow's growth.

STATUS	TODAY	YESTERDAY	WEEK	MONTH TO DATE	YEAR TO DATE
New	1	0	0	1	22
Unknown Pages	0	0	0	0	1
Pending (Account Number)	0	0	0	0	0
Pending (Approval)	0	0	0	0	1
Confirmed	0	0	0	0	0
Completed - Accepted	0	0	0	0	0
Blocked	0	0	0	0	0
Rejected	0	0	0	0	0
Cancelled	0	0	0	0	1

Dashboard

Form Type:  Single account to one or more brokers  
 One or more accounts to a single broker

Choose Form:

Status:

Compose Documents

Month To Date	Broker	DTC	Form Name	Total Count
Month to Date	Stevens Brothers Hartwood & Co.	10	SIA Form 151	1
Previous Month	millitary est	4367	SIA Form 150	2
Previous Quarter	millitary est	4367	SIA SEC A	1

Report Function

## Why Loffa Interactive

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:

- 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**)

The Loffa team has over 30 years of combined experience in the Prime Broker trading and operations arena. PBIN™, combined with our **FreeFunds Verified Direct™ (FVD™)** offering, serves as your end-to-end solution for risk management and minimizes your company's exposure associated with regulatory and settlement. Find out how we can help your firm manage the Prime Broker process 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 future in regulatory automated solutions"*

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