



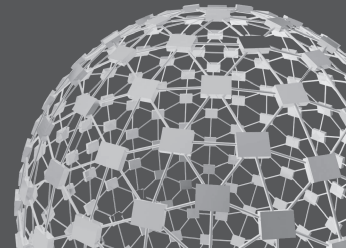
SUBSERVEO

Compliance with Confidence

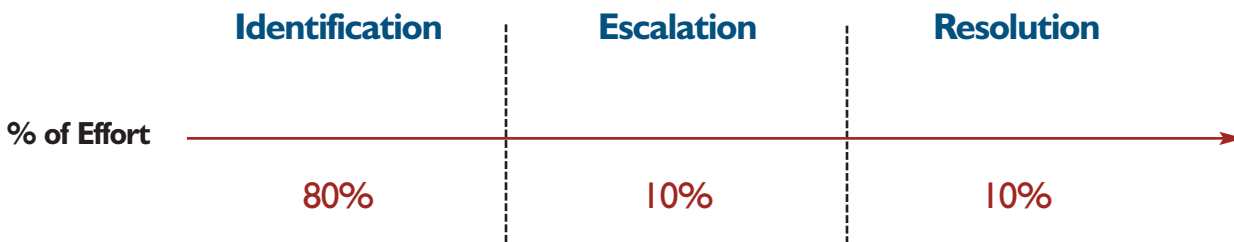
Automated Compliance Solutions

Compliance Simplified

- Easy to implement - days not months
- Easy to use –training takes an hour
- Easy to access – anywhere you have web access
- Pay as you go



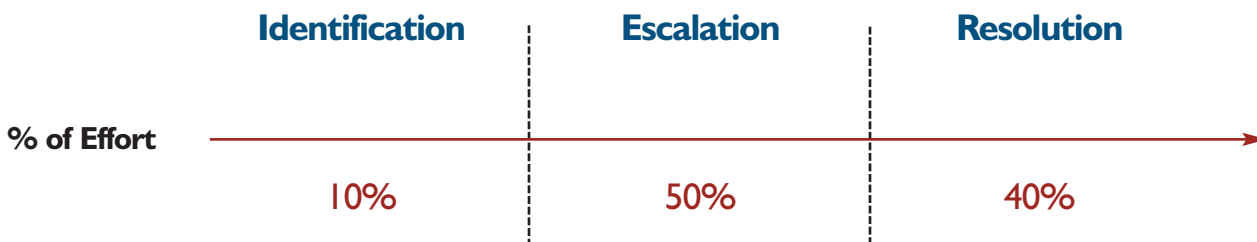
Effort—The Current Challenge



The Securities Industry and Financial Markets Association (SIFMA) noted that in the 3 years between 2003-2006, compliance budgets increased 92% with further significant gains expected. More remarkable was that 93% of those costs were staffing related. Surprisingly, compliance is still a very manual process today.

Until now...

How Subserveo Addresses this Challenge:



100% of all transactions, orders and accounts are reviewed accurately and consistently.

Subserveo allows front line compliance personnel to spend most of their time on escalating and resolving issues.

Subserveo Automated Compliance Solutions contain a comprehensive set of rules that address any FINRA or SEC regulation that would be reviewed using data. The rules cover all aspects of the business—from retail to institutional to trading desk. And data can be aggregated from multiple sources to create one uniform picture.

BENEFITS AND RESULTS

- Subserveo gives brokerage firms confidence that their compliance and supervisory activities are functional, accountable, and executed consistently according to firm policy across the whole organization.
- Enhances the compliance officer role, helping them to demonstrate on-demand, firm-wide FINRA, and SEC compliance to senior management and regulators
- Enables compliance supervisors to more effectively conduct trade blotter reviews, examinations, and investigations.
- Promotes a “ culture of compliance” and results in consistent compliance standards across the organization.

EASE OF USE, EASE OF INTERACTION

- Each user – compliance officers, branch managers or trading supervisors – gets “ alerts” that identify issues that may need to be addressed.

The information is delivered by web access and gives detailed transaction information which begins the investigation process.

- Documents evidence of supervision – alerts are archived and stored for easy retrieval – any time from any location.

VALIDATED COMPLIANCE RULES LIBRARIES

- Subserveo comes ready to use with detailed rules libraries covering US FINRA, SEC and other SROs. All rules libraries are customizable by the user without requiring programming effort.

LEVERAGING YOUR DATA

- Seamlessly coexists and leverages order management, brokerage processing platforms, and market data sources, enabling compliance supervisors to more effectively conduct trade blotter reviews, examinations, and investigations.
- Easily consolidates access to information from multiple data sources of any type (data warehouse, web, data feeds).

Supports Regulatory Compliance, Enforces Internal Compliance Policy and Controls Risk Exposure

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Member FINRA and SIPC



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