

# ***brokersoft***

*Financial Industry Software, Services and Consulting*

***Financial Industry  
Software,  
Systems and  
Consulting***

*tel: 310.398.0232 fax: 310.398.8232*

*www.brokersoft.com asa@brokersoft.com*

## *Financial Industry Software, Systems and Consulting*

**AS&A brokersoft** offers consulting services in a number of different areas ranging from Special Management Reports to Advice, Survey Research and Analysis to software design, development and implementation for a variety of Broker Dealer clients from small to large, established and start-up.

Get Informed and Knowledgeable Financial Industry Advice in finding the right tools for the right cost to fit your organization. The company principals have more than 50 years of combined experience in Information Systems and Management **in the Securities Industry**. We pioneered On-line systems for Home Offices and remote Branches and Reps; Digital Fund and Clearing Firm Statements on CD-ROM; modern, flexible, scalable Commission Accounting and Reporting systems. Our Clients are Small, Medium and Large Broker Dealers.

- On Retainer, for Special Projects, or Time and Materials. We provide Consulting Services and undertake special software development projects or Project Management. In-depth experience with Securities Industry Data, Downloads, Commission Accounting systems, Regulatory and back office business issues and practices.

We all have extensive experience with the end user population, ranging from the individual broker to large 100+ person offices to 2000+ RR B/Ds. We have established and managed working relationships with various portfolio and related software system vendors for interface creation, data distribution software and help desk support.

We are knowledge leaders in the areas of:

- Consolidated Client Statements
- Commission Accounting
- Back Office Systems and Broker Dealer Operations
- Front and Back Office Integration Issues
- Data Retrieval and Data Distribution Specialists
- Optical Imaging for the Securities Industry
- Digital Statements for CD-ROM and Internet
- Data Source Interfaces and Translation Software
- Data Sharing - Broker Dealers and OIPs - Other Interested Parties such as Credit Unions, Banks and Third Parties
- Public Domain Data Transmission Standards and Methods
- Needs Assessment
- Strategic Planning related to Growth and Technology Issues
- Business Planning for Technology in Financial Services
- Design, Development, Deployment and Project Management

We work with Independent Broker Dealers; Insurance Companies and their Affiliated Broker Dealers; Credit Unions and CUSOS; Money Management Firms; Portfolio Management and Financial Industry Software Development Companies.

***Let us work for you!***

## Searching for a Cost Effective Technology Solution?



Get our Entire Suite for a single low monthly rate, including 10, 50, 100 or more ViewPoint Consolidated Client Statement licenses. You get the ENTIRE SYSTEM, including:

- **ViewPoint - Consolidated Client Statements!**
- **SDD - Securities Data Distributor**
- **SDR - Securities Data Repository**
- **Vista - Compliance+Sales+Marketing Reporting System**

To compete, you need to provide your Reps, Planners, Advisors and their Assistants with a Consolidated Client Statement. The answer is **ViewPoint™** from **AS&A brokersoft**.

- **ViewPoint™** Consolidated Client Statement software is distributed and controlled by the Broker Dealer and is customizable to suit *your needs, product mix and business practices*. The system uses data already available in your shop or on your user's desktop or delivered by the Broker Dealer using SDD. Get a current consolidated picture of a client's holdings and net worth, in any single account or across multiple Household Accounts using our built-in *Profile Wizard™* and *Below-The-Line Asset Manager™*. ViewPoint Consolidated Client Statements include detailed asset items, reporting on Variable Annuities to the sub-account level, Color Graphics, Tables and Mutual Fund Asset Allocation.

Competition demands that you **store** and **distribute** the data that your Reps and Planners need from Pershing, DST, First Data, your Home Office or other sources...*put an end to the cost of subsidizing* a few, a few dozen or even hundreds of Reps get and use that data...and become their sole source and supplier! Use **Securities Data Distributor™** and **Securities Data Repository™**. Get the data **once** for the entire firm and get your home office the **books and records data it needs**. Distribute it over and over and over again, to as many levels of hierarchy in whatever groupings **you** determine to get the Branches and Reps the data **they need**, or use the Repository to develop custom reports and data stores. Eliminate redundant download and distribution costs and expenses!

- Our **SDD** software lets the Broker Dealer download firm wide data from Pershing, DST Fan Mail, First Data DAZL and others. Define recipients and distribute it to the user population in any grouping or hierarchy of the B/D's choosing. Use the data in your B/D's own ViewPoint Consolidated Client Statements or other third party applications.

- Our *SDR* software is an Open Repository for the same data, provides current account valuations and keeps historical data for ***the entire firm's client database***. Query the data or make use of it as you see fit. Feed other in-house databases or distribution mechanisms already in place, or create custom reports and data stores. Fulfill your electronic books and records requirements with the Master Database.

You Need to provide your Home or Branch office personnel with a Compliance, Sales and Marketing Reporting system. The answer is *Vista™* from ***AS&A***brokersoft. It stays at Home, goes on the road with your Compliance personnel, or gets distributed to the Branch offices. Evidence Compliance. Reward Sales. At the same time, with the same tool, for the same audience.

- Our *Vista* software makes use of your new SDR Master Database for Sales and Compliance Reporting, and includes a module to create portable Branch office databases that Compliance can take on the road with them for audits or distribute to your branches.

**Don't outsource your relationships with the field.** Our systems allow ***you*** to control and distribute the software and data your people need. Make certain that your Financial Professionals, Reps, Agents, Planners, Advisors and Managers always keep the Home Office in sight and clearly see that ***their Broker Dealer is adding value to their practice***.

**Become their data and software provider of choice.** Don't outsource your relationship, don't give a third party control. Recruiting or retaining *just one small to mid-sized office* will pay back the cost of the entire suite!

Get additional Consulting; Advice; help finding the right tools for the right cost to fit your organization; custom software design or development. The company principals have more than 50 years of combined experience in Information Systems and Management ***in the Securities Industry***. We pioneered On-line systems for Home Offices and remote Branches and Reps; Digital Fund and Clearing Firm Statements on CD-ROM; modern, flexible, scalable Commission Accounting and Reporting systems. Our Clients are Small, Medium and Large Broker Dealers. Established and Start-up.

- On Retainer, for Special Projects, or Time and Materials. We provide Consulting Services and undertake special software development projects or Project Management. In-depth experience with Securities Industry Data, Downloads, Commission Accounting systems, Regulatory and back office business issues and practices.

We have been, are and will continue to be fully committed to the Broker Dealer community, and maintaining a clear line of sight between the B/D Home and Branch Office personnel, your Reps, Planners, Advisors, and Clients. You work hard. We work hard for you. Add Value. Add the Suite! Add ***AS&A***brokersoft!

## **The Premier Industry Data Transformation Tools and Services**



Our DTU software system tools and service combine our many years of working in the Financial Services industry and our lengthy experience with a host of data providers and consumers. We understand Financial Industry data layout and content. We understand Broker Dealers, Insurance Companies, other Financial Institutions and their needs. We understand Compliance and Regulation. We understand Security and Privacy. We understand the need for cost effective solutions to growing data management issues.

We have developed an expertise at building tools and systems to retrieve, store, manage, maintain, deliver, service and administer that data. We support what we sell. We get involved in our client's data. We actively seek to involve our client's in the management of their own data as well. Together, we can manage your data better than either one could hope to do working alone.

We have developed the tools and services to provide the following, and would be pleased to speak directly to your specific needs. All of our tools and services are customizable for your use.

We provide tools and service for these major areas:

- Administration
- Data Acquisition
- Data Integrity and Validation
- Data Transformation
- Data Storage
- Data Delivery

Some of what we can offer you:

Interface Management including Data Provider Change Tracking and Financial Institution Notification. We monitor for provider Software and Service Changes and make those changes happen for your in-bound and out-bound data streams.

We can provide Management Company Enrollment services. We can Monitor Your Selling Agreements and take action with new Providers to receive their data. We can provide Corporate Calendar Monitoring to enable us to track your Dividend and Distribution files due. We provide regular Status Reporting on Product Data Availability and Administration Activity

We Setup, Manage and Maintain Communications and Backup Communications to the Data Providers and your firm. We make certain that we obtain all of your Data Files from All of the Providers including Registrations, Positions, Transactions, Sweeps and other Financial Activity, Distributions, Security Descriptions and Pricing.

We provide Status Reporting of Files and File Types by Providers and Critical File/Critical Sponsor Exception Notification

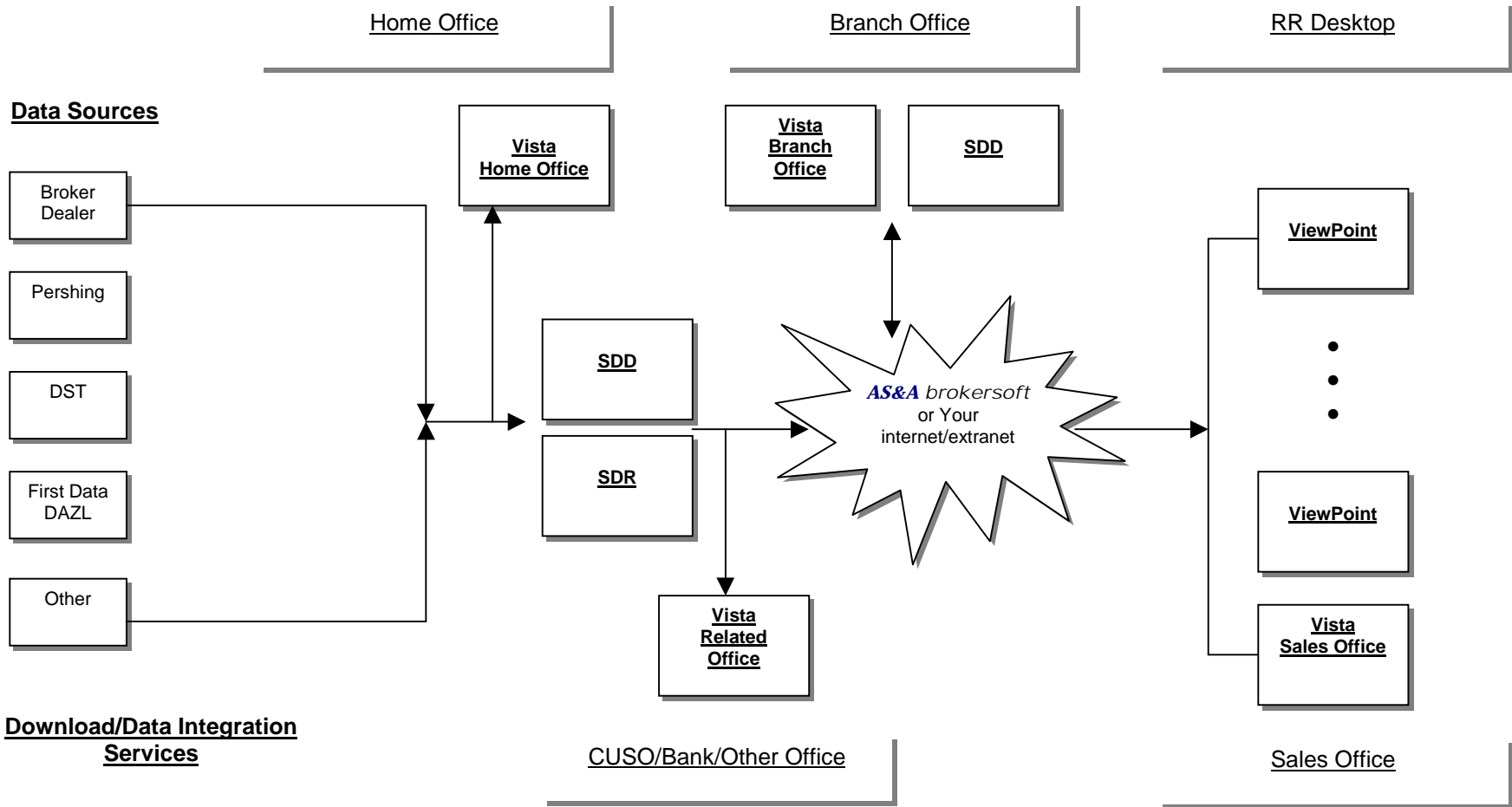
We work hard to insure Data Integrity. We can check in-bound data fields against your master file data; we check for required fields including CUSIP and VA Sub-Product Identifiers, Transaction Codes, Rep ID, Tax ID and others as we define them according to *your* requirements. We do Internal Data Consistency checking, Record Set and Sequence Checking, Out of Range Character Checking.

We do Sanity Checking for Critical Numeric Values, Range Checking of Critical Fields (Codes, Dollar Amounts, and Share Quantities) according to fields and thresholds that we set together.

We back you up! We can maintain a separate database set, and we always Archive ALL of Your RAW Daily Data.

We Transform the Data to YOUR existing formats, or work with you to develop those formats and import the data to your existing data stores. The output can be Create the output in a Mutually agreed upon Secure Container. Lastly, we Deliver the data in a secure and timely manner for your additional processing. We are always available to work with you to expand the value of that data to your organization and your Financial Professionals.

**AS&A End-To-End Broker Dealer Solutions**



**Download/Data Integration Services**

**ViewPoint - Consolidated Client Statements**  
**SDD - Securities Data Distributor, SDR - Securities Data Repository, Vista - Sales+Compliance+Marketing Reporting System,**  
*brokersoft - AS&A Internet/Extranet Web Financial Industry Web Hosting (ISP) Services*  
**AS&A Consulting Services**



**FINALLY! A Consolidated Client Statement that Works!**

A tool for the **OTHER 80%** of the time when the Rep just **needs to know what a client is worth now!**

**Right Size** and **Right Cost** Your Client Statement System!

Broker/Dealers - Solve Your Consolidated Statement Problems!  
Distribute ViewPoint to Your Field Force or let **AS&A brokersoft** do the work **for** you. Quantity and Bundled software discounts.

- Consolidated Client Statements!
- Automatic Data Importing!
- Simple, Efficient, Cost Effective and Easy to Use!
- Put a Lid on Your Increasing Client Reporting Costs!
- Keep *Your Data* on *Your System*...and **No** Monthly Subscription Fees
- Decrease the Cost of Relationship Maintenance!
- Automatically Links Accounts Across Data Providers!
- Create **Household** Accounts with our **Profile** Wizard!
- Color Charting and **MF Asset Allocation**
- VA Reporting to the **Sub Account** Level
- Use Data Files and Formats They Already Have!
- Add and Globally Update Client's **Below-The-Line** Assets
- Provide a Data Repository and Archive
- Historical Data Reporting
- Data Portability and Independence
- Data Exporting
- Current and Historical Data
- Accuracy, Data Integrity
- Pershing, DST, First Data DAZL, NFSC, Home Office and Below-the-Line Data
- Additional Data Sources Coming...  
Schwab, Datalynx and others available soon

ViewPoint is backed by **Experience**, **Expertise**, and a **Commitment** to the Independent Broker Dealer and Registered Representative and **Your** Client Relationships!

To Order or for a Demonstration, Visit our Web Site or Call us at:

**AS&A brokersoft**  
Tel: 310.398.0232 Fax: 310.398.8232  
www.brokersoft.com asa@brokersoft.com



## Securities Data Repository Store, Manage and Access Your Data Your Way!

Our SDR software acts as an Open Repository for data from a number of Sponsor data providers including Pershing, DST Fan Mail, DAZL, and NFSC. The SDR provides **current account valuations** as well as historical data storage on a firm wide basis, allowing the Broker Dealer to query the data or make use of it as they see fit, including feeding other data distribution or database mechanisms already in place, or for report creation and distribution. The repository can be had as a separate module, but comes as an integral component if the BD acquires our Enterprise Suite or Vista products. **Fulfill your electronic books and records requirements with the Master Database.**

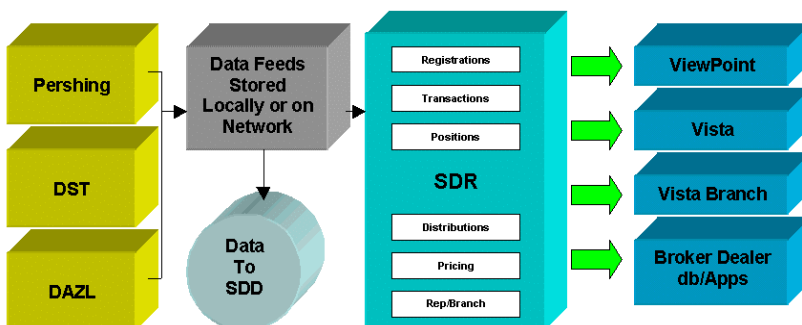
- Home and Branch Office Securities and Financial Data Repository
- Warehouse and Secure Your Enterprise Data!
- Regain Control Over Your Enterprise Data Loading and Storage
- Exploit Your Data for Your Strategic Advantage!
- Mine, Extract and Use the Data You Need...
- Export the Data To Your In-house Applications!
- Import the Data From Your In-house Applications!
- Report the Data the way You Need it to be Reported!
- Package and Redistribute the Data the way YOU need to!
- Reduce B/D and Branch Data Distribution Costs by \$1,000's/year!
- DST Data, Pershing Data, DAZL, B/D Home Office Data
- Add Additional Data Sources including RIA, Money Manager and LIFE data
- Digital Statement Image Data!

Use our industry Standard Interfaces to Securities and Financial Data. Schwab, Datalynx and other interfaces available soon...

### Don't Let Your Data Manage You!

Create your own Data Groupings for Reporting, Data Distribution and Delivery. Deliver Data via Dial-up, Internet e-mail or Web Site Distribution based on your own enterprise needs! Tools for Data Loading and sub-set Database Creation. Use Industry Standard Tools for Reporting and Data Management. Standard or Custom Data Sources, Exports and Reports!

In addition to maintaining account information by provider, the SDR also consolidates account information into a common format that is utilized by other **AS&A brokersoft** software packages, such as our ViewPoint Client Consolidated Statement System, and Vista, our Broker Dealer Compliance reporting system. **Feed other in-house databases or distribution mechanisms already in place, create custom reports and data stores or let us create them for you.**





## Securities Data Distributor *Distribute Your Data Your Way!*

Save the COST and TIME of subsidizing multiple downloads!

A Revolutionary way to Distribute and Redistribute Critical Data to Your Reps and Branch Offices. Put an end to your costly download subsidies, on-going expenses and back office support nightmares!

Our SDD software allows the Broker Dealer to download data from Pershing, DST Fan Mail, First Data, NFSC and others; define recipients and distribute it to the user population in any grouping or hierarchy of the BD's choosing. Your Financial Professionals can then make use of the data *in existing third party software* or our own *ViewPoint Consolidated Client Statement System*, which the BD Home Office can distribute and control. Regardless of the end user target software, the Broker Dealer becomes the *single source provider of data* for the Rep or Branch Office.

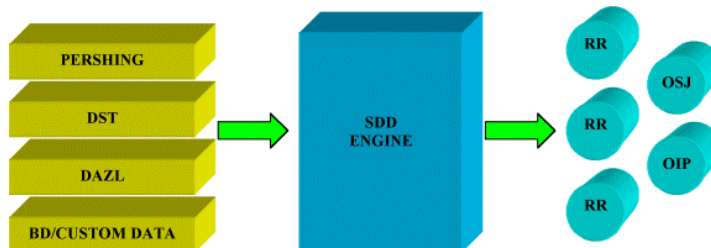
**Become the Data Provider of Choice for your Reps and Branch Offices!**

- Home and Branch Office Securities Data Distribution
- **Reduce B/D and Branch Data Distribution Costs by \$1,000's/year!**
- Package and Distribute the data the way YOU need to!
- **Put a Lid on Your Increasing Data Acquisition and Distribution Costs!**
- DST, Pershing, First Data DAZL, National Financial (NFSC), Putnam and Home Office or Branch Data
- Add Custom Data Sources including Life
- Deliver Industry Standard Data for Multiple uses!
- Schwab, DataLynx and others available soon...

Combine data from multiple sources for Distribution from Home or Branch Offices to Regions, Branches, Sales Offices, Individual Reps, Advisors or Interested Third Parties including affiliated Credit Unions and Banks!

Provide One Stop Data Retrieval for Your Field Force from Your B/D!  
Reps and Offices can use this data for most of their software needs,  
including our Viewpoint Consolidated Client Statements!

Create your own Groupings for data distribution and delivery based on your variable criteria and office hierarchy! Deliver the Data via Dialup, Internet e-mail or Web Site Distribution based on your own enterprise needs!



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## **Sales+Marketing+Compliance Broker Dealer Home and Branch Office Reporting System**

- Reporting System for Broker-Dealer Home, Branch and Sales Offices!
- **Sales and Marketing Reports**
- Compliance Reports
- *Historical and Current* Reports
- Drill Down to the Transaction Level or Summarize, Graph and Chart
- Report Library
- Custom Reports
- Multiple Data Sources: Pershing, DST, First Data DAZL, Home Office Schwab and others coming soon

Retrieve and Store the data you need for use by at the Home Office or Branch Office level for **Compliance, Sales, Marketing, Strategic** and Other Reporting Requirements.

## **Let Vista Create and Maintain Your Electronic Books and Records Data Store and Reporting!**

Store and Retrieve data in a common Database and create your own reports or let us add Custom Reports, Data Sources and Viewing screens to our existing library.

Add your Home Office Proprietary Data for a Total production, Sales and Marketing Picture.

### **Compliance:**

Firm or Branch Level P&S Blotters  
Concentration Reports (Retail & Advisory)  
Large Number of Trades (Churning)  
Low Priced (Designated) Securities  
DPP Reports  
Switched Report  
Front Running Report  
Transaction History, Trade History,  
Bookkeeping, and more...

### **Sales and Marketing Reports:**

Sales by Sponsor, Office, Category  
Dollars Under Management  
Sales by Class  
Custom Sales and Marketing Reports

**Sales and Marketing History, Period  
to Period Comparisons and more...**

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# Xlate

## Pershing Data Conversion for CDS

Xlate for CDS converts data from **Pershing** to a data format that can be used by E-Z Data, Inc.'s **CDS** Investment Tracking system.

Pershing, a division of Donaldson, Lufkin, Jenrette, is a correspondent clearing firm that executes stock, bond, mutual fund and other types of transactions on behalf of its correspondent clients. A great deal of data is generated in this process, much of which is made available and is very useful to the Broker/Dealer correspondent client's of Pershing, and their Registered Representatives.

Making effective use of that very valuable and voluminous data can be a daunting task. One of the ways that the process of managing that data can be aided, is through the use of programs that take data in one format and convert it to the format of a software product that you can use to help manage your client information.

Xlate is such a product, and performs just that task. It helps you to automate what would otherwise be a complicated, time consuming and costly manual process of reviewing paper or electronic trade confirmations, client statements and Broker/Dealer reports and typing that data into the proper **CDS** data entry screens.

Xlate can process hundreds or thousands of transactions in a very short time, and put that data in a format that **CDS** can then import into its databases.

You can greatly reduce or eliminate entirely the manual data entry process for this type of data, saving a great deal of time and money, and helping to prevent the kinds of mistakes that the manual data entry process can introduce into your client records.

If you obtain or are provided with Pershing data on a daily basis, you can run Xlate every day, importing the results into **CDS** and maintaining a current client database of securities transactions.

If you are provided with data on a weekly or occasional basis, or if you store your daily or weekly Pershing data for future use, you may run Xlate and process it whenever you need to.

Xlate not only processes your data into these discrete files that can be used by **CDS**, but provides you with a log file for each step that can be reviewed for any exceptions that may occur and for statistics on total records processed for each type of data input file. These log files provide you with a means of evaluating what action you may wish to take, if any, for such things as trade corrections and cancellations.

**Xlate** also performs many functions automatically for the user that would otherwise consume a great deal of time and energy, such as eliminating many types of

miscellaneous Pershing journal transactions, and calculating prices for securities where complicated pricing formulas and factors must be used.

In addition, **Xlate** evaluates the integrity of each data file that it processes for such things as sequencing errors (record groupings that are not provided in the correct order), partial records or incomplete or missing critical data on a given record or in a given record grouping, and for incomplete files, and reports these errors to you so that you have an opportunity to request new data from your provider in a timely manner *before you input or import the data and risk corrupting your client database.*

Also, although you may process many days worth of data in a single **Xlate** session, **Xlate** will not let the user mistakenly process different day's data into the same output data file, protecting you from updating your investment databases in the wrong order.

**Xlate** also automatically removes files it has processed from the active "import" directory and archives them for you, allowing you repeat access to your data should you need it and preventing you from processing the same files multiple times.

Further, **Xlate** identifies which files you processed in your previous and current **Xlate** sessions, allowing you to proceed to process data from where you last stopped without having to rely on your memory or notes.

**Xlate** is as simple and effective to use as is possible, employing an easy to use point and click Graphical User Interface. Once set up, you should never have to do more to run **Xlate** than click on the appropriate file, tab or button.

## What Do you Need to Run Xlate?

Before you can run **Xlate**, you will need a source of Pershing data, either directly from Pershing or from your Broker/Dealer. The staff at **AS&A** can assist you and/or your Broker/Dealer in obtaining the data files you need from Pershing. You also must have a valid copy of E-Z Data, Inc.'s. CDS software and their Transaction Download Module (TDM) with the Pershing Interface.

## What Does Xlate Cost and How do I Purchase It?

The price for **Xlate** is \$399.00, plus a one-time \$25.00 non-refundable shipping and handling fee. Our additional annual maintenance program is priced at \$150.00 and is strongly recommended. The total first year cost for **Xlate** is \$574.00, and \$150.00 each subsequent year for maintenance.

We will be pleased to ship you the software and manual on a thirty day trial basis. To order, please use the order form on the web site, or use the contact information listed below.

**AS&A** *brokersoft*

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## About the Company

**AS&A** principals have a combined 50+ years in the Financial Services industry, with the majority of time spent in Broker Dealer system design, development and implementation including Management from the project through the senior management level. All **AS&A** principals have experience in reporting directly to Executive Management and Boards of Directors.

Creators of the first on-line service for a Regional Broker Dealer, it's Registered Representatives, Managers and Home Office employees. The system, still in operation, delivers text publications, e-mail, Commission and Client transaction data and Shareholder Positions, Trade Confirmations, Management Reports and allows for Interactive Clearing Firm Client Account Creation and remote on-line Electronic Order Entry and P&S Blotter Reporting. Data sources include Pershing, DST, Self-processing Mutual Fund Insurance companies, First Data, NSCC Networking and Variable Annuity companies.

Creators of the industry's first Shareholder Statement CD-ROM product, which places shareholder statement images on either CD-ROM or the Internet for the Home Office Archive, Branch and Sales offices and Registered Rep, Planner, RIA.

Creators of the first combined Mutual Fund data download procedures and software to receive daily shareholder financial and non-financial transaction data for a Regional Broker/Dealer.

Extensive experience with the end user population, ranging from the individual broker to large 100+ person offices to 2000+ RR BDs. Software and help desk support, data delivery, end user software. Established and managed working relationships with various portfolio and related software system vendors for interface creation and data distribution.

Creators of a complete Broker/Dealer back office commission accounting and management reporting system, including both manual and automatic commission data feeds from a variety of Product Sponsor systems and data sources.

Developers of a complete communication and data distribution system to deliver transaction data to subscribing Offices and Reps.

Currently provide Consulting and Management services to various Broker Dealers on a project by project, T & M and Annual Retainer basis.

In addition, **AS&A** are the developers and providers of proprietary Windows based software for the Financial Services industry for data translation, storage and reporting and analysis using PC Language and RAD tools and ODBC Database connectivity.

**AS&A** provides consulting services ranging from advice, survey research and analysis to software design, development and implementation for a variety of Broker Dealer clients from small to large.

**AS&A** is the provider of choice for a number of Broker Dealers in addressing their needs for a unified solution to the Broker Dealer's need for Consolidated Client Statements, Database Management and Financial Data Repository, Sales and Compliance Reporting and custom software development and enhancements.

**AS&A** provides the technology advice, consulting, tools and support that help the Broker Dealer compete in an ever more competitive environment, where technology is a key factor to success.

**AS&A** can help your firm address its technology needs. We have been, are and will continue to be fully committed to the Broker Dealer community and maintaining a clear line of sight between the Broker Dealer Home and Branch Office personnel, your Reps, Planners, Advisors and Clients.

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