

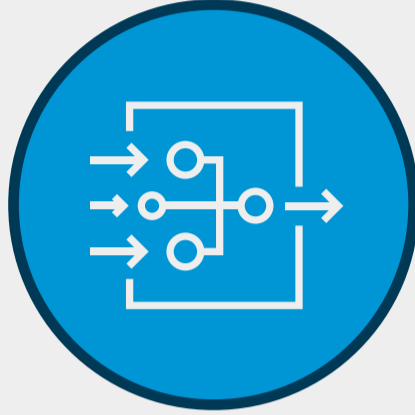
STREAMLINING BROKER DEALER OF RECORD (BDR) CHANGES

BRINGING EFFICIENCY TO CLIENTS AND THE INDUSTRY THROUGH AUTOMATION

MANUAL BDR CHANGES



Manually send change authorization forms



Manage multiple workflows when submitting changes



Send forms back and forth via mail or fax to correct manual errors



Complete form exchange process after several days

AUTOMATED BDR CHANGES



Automate changes for Custodial and non-Custodial broker/dealer changes



Process workflows in one, centralized location



Transmit change requests through a standardized, real-time process



Reference standardized and timely carrier status information

BROKER DEALER OF RECORD SERVICE BUSINESS BENEFITS



Enhance your data quality with targeted data entry screens and standardized templates.



Stay informed of broker change requests through online transaction status reporting.



Increase business efficiency with reduced processing errors and staff follow-up communication.