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## **‘SIGN-OFF’ AN INDUSTRY FIRST IN NEW ELECTRONIC BLOTTER**

### **Subserveo Unveils Unprecedented Compliance Tool for Electronic Proof of Supervision**

**Toronto - September 15, 2011**—Subserveo, a provider of compliance automation services to North American broker-dealers and investment advisory firms, unveiled its latest enhancement—a revolutionary electronic trade and transaction blotter that includes sign-off capabilities—at an exclusive presentation for clients, compliance officers and regulators yesterday. The event was held in Toronto and coincided with the Investment Industry Association of Compliance (IIAC) annual conference.

For the first time ever, compliance officers can sign-off on an electronic blotter, greatly improving efficiency, scalability and accuracy of their daily mandated reviews of transactions and accounts. The new blotter also provides customization features, dynamic query, sorting and archiving, and empowers firms to prove evidence of supervision. The trade blotter will be available to all clients in North America by the end of the month.

“The electronic sign-off feature mimics how the daily review is being done on paper today,” said Martin Orbach, Subserveo’s vice president, “so compliance officers can vastly reduce the amount of paper required. Review and analysis becomes more scalable and efficient, and recordkeeping and archiving is so much simpler. Further, the ability to create ad-hoc views of transactions by security type, branch or department, broker or account gives compliance officers access to information like never before.”

Subserveo powers the compliance component of DST Brokerage Solutions' suite of solutions. Through DST Brokerage Solutions, broker-dealers can take advantage of an evolving array of solutions tailored to help them better manage their business, including:

- Automated Compliance
- Business Strategy, Technology and Operations Consulting
- Brokerage Subaccounting
- Broker-Advisor Portal
- Business Process Management and Workflow
- Business Process Outsourcing
- Portfolio Aggregation, Management and Reporting for Advisors
- Customer Communications and Output
- Enterprise Social Networking Platform

“This is huge in an industry that, up until yesterday, relied on paper-based reports and extracts,” said Mike Abbaei, DST Brokerage Solutions president. “Empowering compliance officers and branch supervisors to manage their daily regulatory surveillance requirements and prepare for heightened account and transaction suitability surveillance regulations, is completely in-line with our vision for providing broker dealers a better way to do business.”

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#### **About DST Subserveo**

Subserveo technology is changing the back office of broker-dealer/securities firms in North America. Its software as a service solution (SaaS) – built for compliance officers whose job it is to ensure millions of trades a day are in line with hundreds of rules and regulations – eliminates the need for the current manual, arduous process. Its automated solution helps financial institutions save money and time, and keeps a reliable persistent archive of day to day compliance issues. Further, Subserveo is the only company in North America offering an affordable compliance solution to small and medium-sized firms. For more information, visit: [www.subserveo.com](http://www.subserveo.com).

**About DST Brokerage Solutions, Inc.** DST Brokerage Solutions is committed to fundamentally impacting the way the brokerage market conducts business by delivering efficient connectivity between all parties throughout the lifecycle of a financial product. DST Brokerage Solutions is addressing broker/dealers' unique challenges through a comprehensive, flexible suite of solutions to provide seamless integration between all of the applications broker/dealers need to control and conduct their business more efficiently and cost-effectively. DST Brokerage Solutions is a wholly owned subsidiary of DST Systems, Inc. For more information, visit: [www.dstsystems.com](http://www.dstsystems.com).