



Harness the Power  
of Sub-Advised Assets.

**FOR IMMEDIATE RELEASE**

**INDUSTRY'S FIRST PRE-TRADE COMPLIANCE SYSTEM TO BE UNVEILED  
MAY 7 AT MUTUAL FUND CONFERENCE**

***New Technology for Advisory Oversight Improves Compliance, Enhances Risk Management,  
and Lowers Brokerage Costs***

**DENVER—May 4, 2009**—UAT, Inc. announced today that **Allan Chiulli**, chief executive officer of UAT, Inc., and **Amy Lynch**, president of FrontLine Compliance, LLC, will introduce UAT's **Unified Compliance and Control System (UCCS)**, the investment industry's first pre-trade compliance, real-time reporting, and brokerage cost savings platform for sub-advised assets, at the Investment Company Institute's (ICI) 51<sup>st</sup> Annual General Membership Meeting in Washington, D.C.

The demonstration will take place at 5:55 p.m. EDT on Thursday, May 7, 2009 in the Main Exhibit Hall Product Demo Theater at the Marriott Wardman Park Hotel and will be of interest to mutual fund executives, compliance officers, and members of the media.

"We believe mutual fund executives and compliance officers will be eager to learn how this system prevents violations by sub-advisers, significantly lowers brokerage costs, and provides enhanced governance reporting and risk management hedging," said Chiulli.

"We're excited to leverage our strategic partnership with UAT to work with the mutual fund industry and build awareness of both the SEC requirements around sub-advisory oversight and how UCCS addresses them," said Lynch, a featured speaker at the ICI conference and a former SEC examiner.

Chiulli's and Lynch's presentation "*New Developments in Proper Supervision of Sub-Advised Assets*," will be available on the UAT, Inc. ([www.umatinc.com](http://www.umatinc.com)) and FrontLine Compliance ([www.frontlinecompliance.com](http://www.frontlinecompliance.com)) websites shortly after the Conference.

**About UAT, Inc.**

UAT is a Colorado-based technology and consulting company offering the investment industry's first integrated pre-trade compliance and real-time risk management system for sub-advised platforms. The firm's innovative "Unified Compliance and Control System" provides superior fiduciary control, lower brokerage costs, and improved investment performance for organizations utilizing external asset management, including insurance companies, pension plans, bank trust groups, 401(k) providers, mutual

(more)

fund companies, foundations, and endowments. UCCS incorporates Linedata Service's award-winning LongView<sub>sm</sub> Trade Order Management System and Linedata Compliance to provide supervision over sub-advisor execution orders. For more information, visit Linedata Services corporate site at [www.lidsam.com](http://www.lidsam.com). For more information on UCCS, visit [www.uatinc.com](http://www.uatinc.com).

**About FrontLine Compliance, LLC**

FrontLine Compliance, LLC is a regulatory compliance consulting firm of former high-level regulatory insiders offering customized services to broker-dealers, investment advisers, investment companies, hedge funds, and insurance company affiliates. Staffed by former SEC and FINRA regulators, and chief compliance officers, FrontLine Compliance provides the kind of industry knowledge, experience, and expertise on regulatory issues only available from well-seasoned insiders. For more information about the consulting firm, please visit [www.frontlinecompliance.com](http://www.frontlinecompliance.com).

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**Contact:**

Bridget Richards  
Artemis Communications  
303.674.1426  
[bridget@artemiscollaborative.com](mailto:bridget@artemiscollaborative.com)

