



Harness the Power  
of Sub-Advised Assets.

## **FOR IMMEDIATE RELEASE**

### **UAT, INC. AND FRONTLINE COMPLIANCE FORM STRATEGIC ALLIANCE**

*Sub-Advised Investment Industry Stands to Benefit From Joint Effort On Pre-Trade Compliance*

**March 31, 2009 – Denver, CO** – UAT, Inc., a Denver-based technology and consulting company, today announced a new strategic partnership with FrontLine Compliance LLC (“FrontLine”), a premier provider of customized securities compliance services to the investment industry.

FrontLine will provide comprehensive consulting services to firms employing UAT’s ‘Unified Compliance and Control System’ (“UCCS”), the investment industry’s first integrated pre-trade compliance, real-time reporting, and brokerage cost savings system for sub-advised platforms. FrontLine’s compliance specialists will assist UAT’s client companies in maximizing the full range of benefits offered in the innovative UCCS design.

“UCCS is the answer to a number of deficiencies the sub-advised industry has battled since its inception in the mid-1970s,” said Tom Warren, president of UAT, Inc. “With the help of a regulatory expert like FrontLine Compliance, we’re offering a turnkey system that will provide sponsor firms a level of fiduciary oversight they never thought possible.”

Organizations utilizing external asset management have historically employed post-trade oversight of their external money managers; however, the current market environment demands more strict regulatory supervision, as well as greater operational efficiency. UCCS provides those firms the first comprehensive solution to both challenges, as well as access to FrontLine’s expert guidance on meeting regulatory obligations.

“The requirement for supervision over sub-advisor activity already exists in SEC regulation but the technology to support it has not,” said Amy Lynch, president and founder of FrontLine Compliance, LLC, and a former regulator with the SEC. “UAT’s system is specifically designed for sponsor firms who’ve struggled with this regulatory challenge.”

Types of sponsors expected to benefit from the partnership of UAT’s ground-breaking system and FrontLine’s consulting services include insurance companies, pension plans, bank trust groups, 401(k) providers, mutual fund companies, foundations, and endowments.

**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 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.ldsam.com](http://www.ldsam.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).

###

**Contact: Jane Ingalls**

Artemis Communications  
303.809 5986  
[jane@artemiscollaborative.com](mailto:jane@artemiscollaborative.com)