



Harness the Power  
of Sub-Advised Assets.

FOR IMMEDIATE RELEASE

## UAT, INC. LAUNCHES TRADING OVERSIGHT SYSTEM FOR INVESTMENT INDUSTRY

*Robust Technology Provides Pre-Trade Compliance, Real-Time Reporting,  
and Lower Brokerage Costs for Sub-Advised Platforms*

DENVER—May 27, 2009—UAT, Inc., a Denver-based technology and consulting company, announced today the official launch of its “Unified Compliance and Control System,” or UCCS. UCCS is the \$2.7 trillion sub-advised industry’s first pre-trade compliance, real-time reporting, and brokerage cost savings system.

Organizations that utilize external asset management have historically been unable to implement real-time control over their outside money managers. In an environment demanding increasingly strict regulatory supervision, greater cost control, and increased operational efficiency, UCCS provides an integrated, pre-trade compliance solution for product sponsors.

“Today’s sub-advised industry touches millions of Americans who invest in mutual funds, pension plans, bank trusts, 401(k), and insurance products,” said UAT President Tom Warren. “Our turnkey system benefits both the industry and investors by providing a level of fiduciary oversight never before available. UCCS stops costly mistakes before they happen.”

UCCS is designed to help sponsor firms address compliance and regulatory challenges and, at the same time, significantly reduce their overall brokerage expenses. The integration of UAT’s patent-pending proprietary HiLo Engine with Linedata Services’ LongView Trading order management system lowers trading costs by executing certain transactions through a low-cost brokerage network.

“We estimate a sponsor firm that manages \$20 billion in active equity assets could save as much as \$15 million annually using UCCS,” said Warren. “It’s hard to argue the logic of that kind of cost efficiency.”

Coinciding with its product introduction, UAT today launched its website, [www.uatinc.com](http://www.uatinc.com). The site is designed to educate asset management executives who have fiduciary responsibility for sub-advised accounts.

In addition to a robust library of content designed to address the sub-advised industry’s long-standing regulatory challenges, the UAT website also features an interactive “Brokerage Savings Calculator.” The

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UAT Savings Calculator presents the potential annual savings in brokerage costs that UCCS could generate based on an organization's inputs of actual trading volume and per-share trading costs. The tool also presents the impact those savings could have on investment performance and corporate profits.

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 that utilize external asset management, including insurance companies, pension plans, bank trust groups, 401(k) providers, mutual fund companies, foundations, and endowments. UCCS includes Linedata Service's award-winning LongView 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).

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