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NEW TECHNOLOGY PRODUCES MUCH-NEEDED REVENUE FOR INCREASED SUB-ADVISORY OVERSIGHT

Budget-Constrained Compliance Groups Get A Lift From UCCS As Turner Report Calls For More Internal Controls

DENVER—November 3, 2009--UAT, Inc., a Denver-based technology and consulting company, has announced that its Unified Compliance and Control System (UCCS) can be used by sponsors of sub-advised investment and insurance products to generate operating revenues for their firms' compliance groups.

Despite increased areas of responsibility and overhead, the internal compliance function for sub-advised investment product is under severe budget constraint as financial services organizations become increasingly cost conscious.

But a comprehensive financial services industry report—*The Turner Review*—produced by the Financial Services Authority (FSA) of the U.K. recently concluded that even while the financial services sector will continue to shrink relative to the overall economies of the U.S. and Great Britain, improvements in the effectiveness of internal risk management and firm governance are absolutely essential for the industry's well-being.

“The Turner Review clearly recognizes the need for increasing supervisory responsibility, even as internal compliance groups are fighting harder and harder to obtain a slice of the budgetary pie,” said Tom Warren, President of UAT, Inc. “UCCS enables these groups to not only step up to the oversight recommendations made in the report, they’ll actually be able to generate revenue for their own adviser.”

The FSA, which regulates Britain's financial services industry, was asked by government leaders to review the events that led to the financial crisis and to recommend specific reforms. The resulting Turner Review, issued last March, sets out a wide-ranging series of changes the FSA believes are needed for the financial markets. Not least of the recommendations was tightening regulation and associated supervisory practice.

Advisers of sub-advised platforms are able utilize UCCS, the sub-advised industry's only integrated pre-trade compliance, real-time governance reporting, and brokerage cost savings system, to transform compliance into a revenue center through the use of an SEC Rule 17e-1 program. Effectively, the savings in brokerage costs

generated by UCCS are shared between the investment funds as enhanced performance and the compliance function as direct revenue.

The UAT system also provides the compliance groups with powerful technology to properly supervise their sub-adviser's holdings and activity through real-time governance reporting and a pre-trade compliance process that prevents trading violations by sub-advisers.

“For the first time, compliance groups tasked with proper surveillance of sub-advised platforms can have their own P&L generated by the same system that enhances their supervisory and governance capabilities,” said Warren. “Simply put, UCCS represents a new and exciting Best Practice for the next generation of compliance supervision of sub-advised investment platforms.”

Types of sponsors expected to benefit from UCCS include insurance companies, pension plans, mutual fund companies, trusts, endowments and bank trusts groups.

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 includes Linedata Service's award-winning LongView Trade Order Management System and Linedata Compliance to provide supervision over sub-adviser execution orders. For more information, visit Linedata Services corporate site at www.ldsam.com. For more information on UCCS, visit www.uatinc.com.

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Contact:

Jane Ingalls

Artemis Communications

303.809.5986

jane@artemiscollaborative.com