



FOR IMMEDIATE RELEASE

UAT ANNOUNCES NEW TURNKEY OPTION FOR BROKERAGE COST SAVINGS AND REAL-TIME GOVERNANCE SYSTEM

Enhanced Installation And Operation To Benefit Sub-Advised Investment Platforms

DENVER—October 21, 2009--UAT, Inc., the Denver-based technology and consulting company that developed the Unified Compliance and Control System (UCCS), has announced a “turnkey” option for its trading and compliance technology that enables rapid installation and easy operation for asset management firms utilizing external money managers. UCCS is the sub-advised industry’s only brokerage cost savings, real-time governance and pre-trade compliance system.

UAT has assembled a number of strategic relationships with technology and service firms that permit straightforward implementation of UCCS on desktop PCs using phone lines or Internet-based VPNs (Virtual Private Networks).

“We’ve carefully brought together the ‘best of the best’ providers to deliver a complete and cost-efficient package for UCCS clients,” said Tom Warren, President of UAT, Inc. “The turnkey option for UCCS offers everything investment advisers need to easily install and operate our real-time compliance monitoring system without requiring users to add personnel or computer servers.”

UAT has partnered with **Linedata Services, Inc.** for UCCS’ automated trading, compliance, reporting, and broker connectivity technology. Linedata Services’ LongView_{sm} Trading System, Linedata Compliance, and LyNX Connectivity provide a complete SAS 70 certified technology solution as an Application Service Provider (ASP) utilizing desktop PCs and telephone or VPN connectivity. Linedata Services also provides training, customer service and disaster recovery for UCCS’s technology. Linedata Services won the *Waters* magazine award for Best Buy-Side Order Management System (OMS) in 2008 and 2009.

Clients can install, test, and begin operations of UCCS in a 90- to 120-day framework, with a minimal impact on their existing compliance and IT resources.

The turnkey system also includes an outsourced trading desk option, a compliance consulting option, and a low-cost network of executing brokers for directing and executing all-electronic order flow.

Through a relationship with **JonesTrading Institutional Services, LLC** of Westlake, CA, UAT offers an outsourced trading desk option for a UCCS user’s “Low Touch” trades. For a low per-share fee, JonesTrading

will provide a trading desk service for UCCS clients that do not operate an internal trading desk or may otherwise wish to outsource this function. UAT has also set up a network of low-cost, agency-only executing brokers enabling UCCS users to generate significant savings in brokerage costs. These savings, through an SEC Rule 17e-1 program, can be shared by the Adviser with the Fund or Plan.

And for organizations wishing to supplement their compliance and supervisory capabilities through cost-efficient outsourced services, UAT makes available a compliance consulting option through its relationship with **FrontLine Compliance, LLC** (“FrontLine”) of Alexandria, VA. FrontLine assists firms in the implementation or review of their trading, compliance and order management systems and procedures. Services available from FrontLine through the UAT turnkey system include audits of current trading processes and procedures for appropriate compliance and best execution, soft dollar reviews, analysis of brokerage selection and approval processes, and trade desk audits of order flow and supervisory processes.

“UCCS is a huge step forward for the sub-advised industry,” says Warren. “The industry relationships behind our turnkey option make taking that step an easy one for everyone involved.”

Types of organizations 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 sub-advised industry’s only pre-trade compliance, real-time reporting and brokerage cost savings system. The firm’s innovative “Unified Compliance and Control System” provides superior fiduciary control, real-time holdings and activity, 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 Services’ award-winning LongView_{sm} Trade Order Management System and Linedata Compliance to provide supervision over sub-adviser execution orders. For more information on UCCS, visit www.uatinc.com.

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