

**iCompliance maximizes the efficiency of broker dealers by providing instant access to thousands of compliance-related certificates**

The increasing concern of documenting client eligibility to meet compliance requirements for purchase of certain securities is an industry wide challenge. Ipreo's iCompliance service offers a comprehensive online library of US compliance-related certificates, including QIB and FINRA 5130/5131. The certificates can be used across equity and debt for both primary and secondary trading.

The iCompliance library is kept up-to-date by a dedicated data collection team working closely with broker dealers to ensure their compliance requirements are met in a timely fashion. The iCompliance library is seamlessly integrated into Ipreo's Equity Bookbuild application facilitating order entry for equity offerings. It is also available as a standalone web application that provides instant access to the certificate library with easy-to-use filters allowing for quick account, entity and certificate searches. The data feeds allow for secure transfer of compliance certificates to broker dealers for updating their internal records. iCompliance service is a cost-effective solution and eliminates repetitive and time consuming requests for investor compliance certificates.

**Key Benefits**

- z Instant access to thousands of certificates from buy-side firms around the globe in a centralized library
- z Ability to request certificates directly within the iCompliance application
- z Flexible delivery of certificates through
  - Stand-alone application
  - Integration with Ipreo's Equity Bookbuild application
  - Data Feeds
- z Quick turnaround of certificate requests

The screenshot displays the Ipreo iCompliance web application interface. At the top, there are navigation tabs for 'Search Documents', 'Request Documents', and 'My Request Status'. The 'Search Documents' section includes various filters: Account (fid), Account/Sub-Account # (00055), Document Type (5130 Forms), Document Status (Active), and Expiration Date (< 15 days, < 30 days, < 45 days, < 60 days, < 90 days). A calendar for January 2010 is visible. Below the filters, a table shows search results with columns for Account Name, Account/Sub-Account #, 5130 Letter, Coverage Status, Document Status, and Expiration Date. The 'My Request Status' section shows another set of filters including Request Submit Date, Deal Name, CUSIP, Request Status, and Document Type. A table below this section lists request details with columns for ICE ID, Account/Sub-Account Name, Deal Name, CUSIP, Document Type, Request Status, Submitted Date, Submitted By, Upload Date, and Expiration Date.

Account Name	Account/Sub-Account #	5130 Letter	Coverage Status	Document Status	Expiration Date
Fidelity Management & Research	00055	<a href="#">5130 Form</a> <a href="#">H</a>	All	Active	11/15/2010
Fidelity Investments	00055 - 1	<a href="#">5130 Form</a> <a href="#">H</a>	-	Active	07/20/2010

  

ICE ID	Account/Sub-Account Name	Deal Name	CUSIP	Document Type	Request Status	Submitted Date	Submitted By	Upload Date	Expiration Date
1	Fidelity Management & Research	Company ABC	123456789	5130 Form	Completed	09/10/2009	Andrea Obioma	09/12/2009	11/15/2010
2	Putnam Investment Management LLC	Company XYZ	---	QIB Letter	Pending	9/18/2009	Mitchell Konichowsky	---	---
3	Vanguard Financials	---	---	O&D Paperwork	Approved	10/23/2009	Test Sales A	10/12/2009	7/26/2011
4	033 Asset Management	---	---	QIB Letter	Completed	10/28/2009	Test Sales B	10/29/2009	9/14/2010

**About Ipreo**

The marriage of deep industry expertise and dynamic innovation, Ipreo brings market-leading intelligence, robust technology, and superior customer service to all participants in the global capital markets. Bringing together state-of-the-art new issuance systems and premier global financial and investor data, Ipreo provides innovative technology and superior insights to all participants in the capital-raising process.