

BROKER IQ™

Connect Your IQ With Ours

Q4i, Inc. provides advanced information technology solutions for small to mid-sized Broker/Dealers. Q4i is a first-mover and premier developer of an automated compliance system directly integrated with trading. Q4i's front-end system connected with the back-end operations offers a robust financial online brokerage solution, which integrates seamlessly into your existing web site.

BROKER IQ™, a customized brokerage management system, offers some of the industry's most advanced features servicing each level of customer, broker, branch office, and home office requirements, as well as syncs automatically each night with host clearing firms. By increasing revenue opportunities, accessing data from multiple sources, and customizing compliance reporting, BROKER IQ™ delivers an economical and compelling return on investment.

BROKER IQ™, developed for brokers by brokers!

Increased Revenue & Business Expansion

- Enhance broker productivity with consolidated trading tools
- Attract higher producing reps with advanced technology
- Reduce liability with superior surveillance capability
- Expand product offerings
- Promote firm through private labeling
- Share in advertising generated revenue
- Become technologically independent
- Control route and cost of execution

Easy to Use

- Connection is effective at dial up speeds
- Internet/browser based technology
- No software to install or special hardware requirements
- Quarterly enhancements to the system
- 24/7 online access
- Customer service includes online help and help desk support
- On and off site training

Display Data from Multiple Sources

- Using a single interface, access:
 - Clearing Firms
 - Proprietary databases
 - Mutual fund information (e.g. DST Fanmail™, First Data Dazl™)
 - Market data, in-depth research, detailed charts, news
 - Insurance products
 - ECN's
- Aggregate the resources brokers/back office use daily
- Combine data from multiple clearing firm relationships
- Blend real time and batch processing

Customized Ad Hoc Reporting

- Real time trade and account compliance reports
- Produce historical account reports
- User-defined criteria
- Create reports "on demand"

Compliance

- Parameters for rules engine fully customizable
- Real time day trade monitoring
- Real time P&L
- Monitor "at-risk" trades with "catch & release" system
- Prevent non-compliant trades real time:
 - Total trade dollar amount
 - Share price
 - Number of shares
 - Registered rep state registration
 - Funds and/or positions in customer account
 - Specific symbols
 - Investment objective
 - Calendar restrictions
 - Chinese wall/proprietary restricted list
- Enhance surveillance with real time trade blotter
- Provide OATS reporting
- Facilitate best execution

Automated Mutual Fund System

- Replaces manual check & application process
- Delivers revolutionary mutual fund compliance
- Consolidate transaction reporting
- Mutual fund and variable annuity positions detailed:
 - Individual mutual fund company connectivity
 - Individual insurance company connectivity
- Online mutual fund order entry

Full Client Access

- Allow full client access at firms discretion
- View consolidated portfolio
- Open accounts online
- Market data available
- Allow online trading including mutual funds
- Online "householding" of accounts