

Citi Global Wealth Management
GWM Desktop Design Treatments
October 21, 2008

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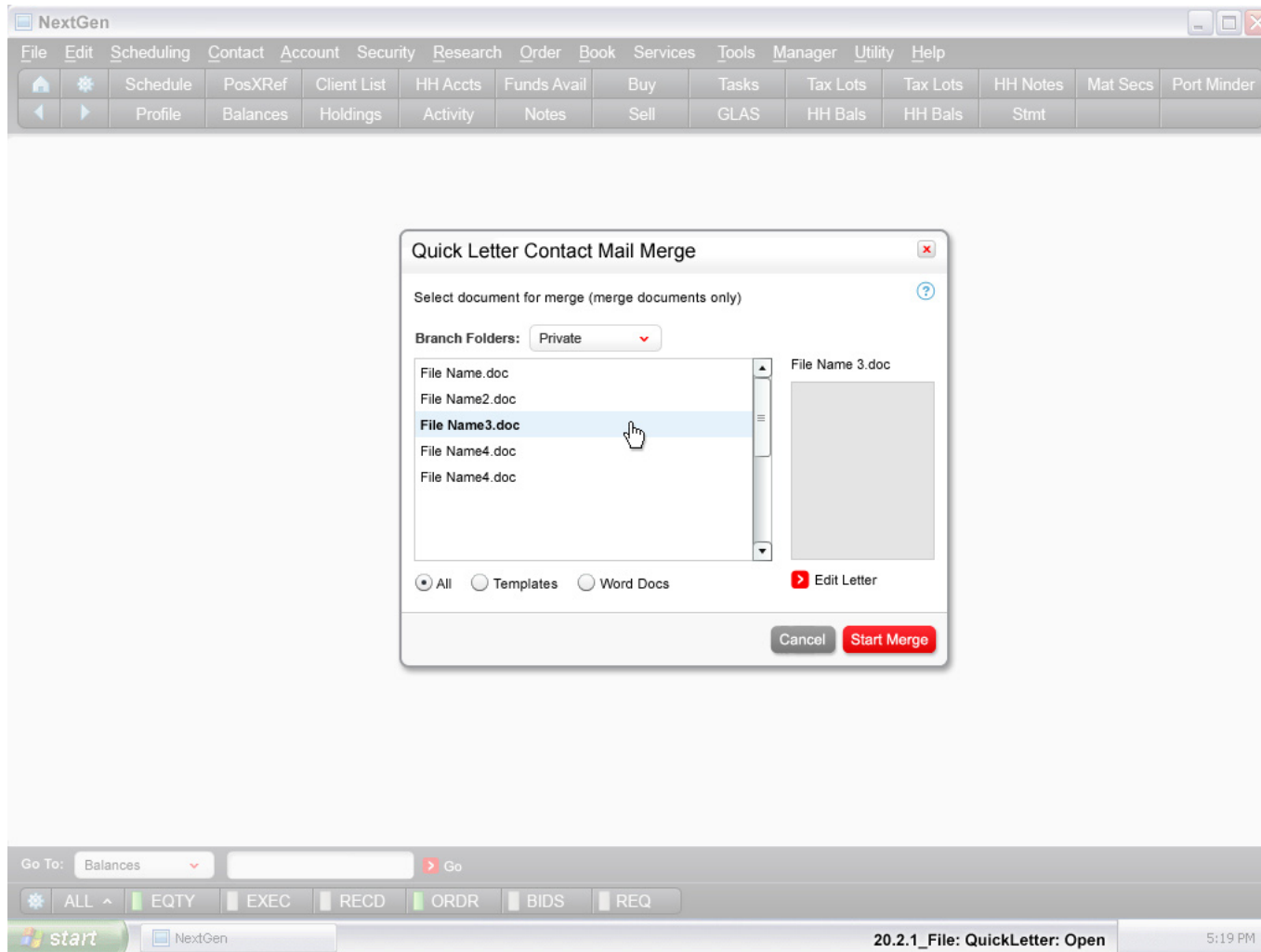
20.2: Quick Letter: Write New Document

The screenshot displays the NextGen application window. The title bar reads 'NextGen'. The menu bar includes: File, Edit, Scheduling, Contact, Account, Security, Research, Order, Book, Services, Tools, Manager, Utility, Help. Below the menu bar is a toolbar with icons for Home, Settings, Schedule, PosXRef, Client List, HH Accts, Funds Avail, Buy, Tasks, Tax Lots, Tax Lots, HH Notes, Mat Secs, and Port Minder. The main content area shows a 'Quick Letter: Write New' dialog box. The dialog box has a title bar with a close button. It contains the following sections:

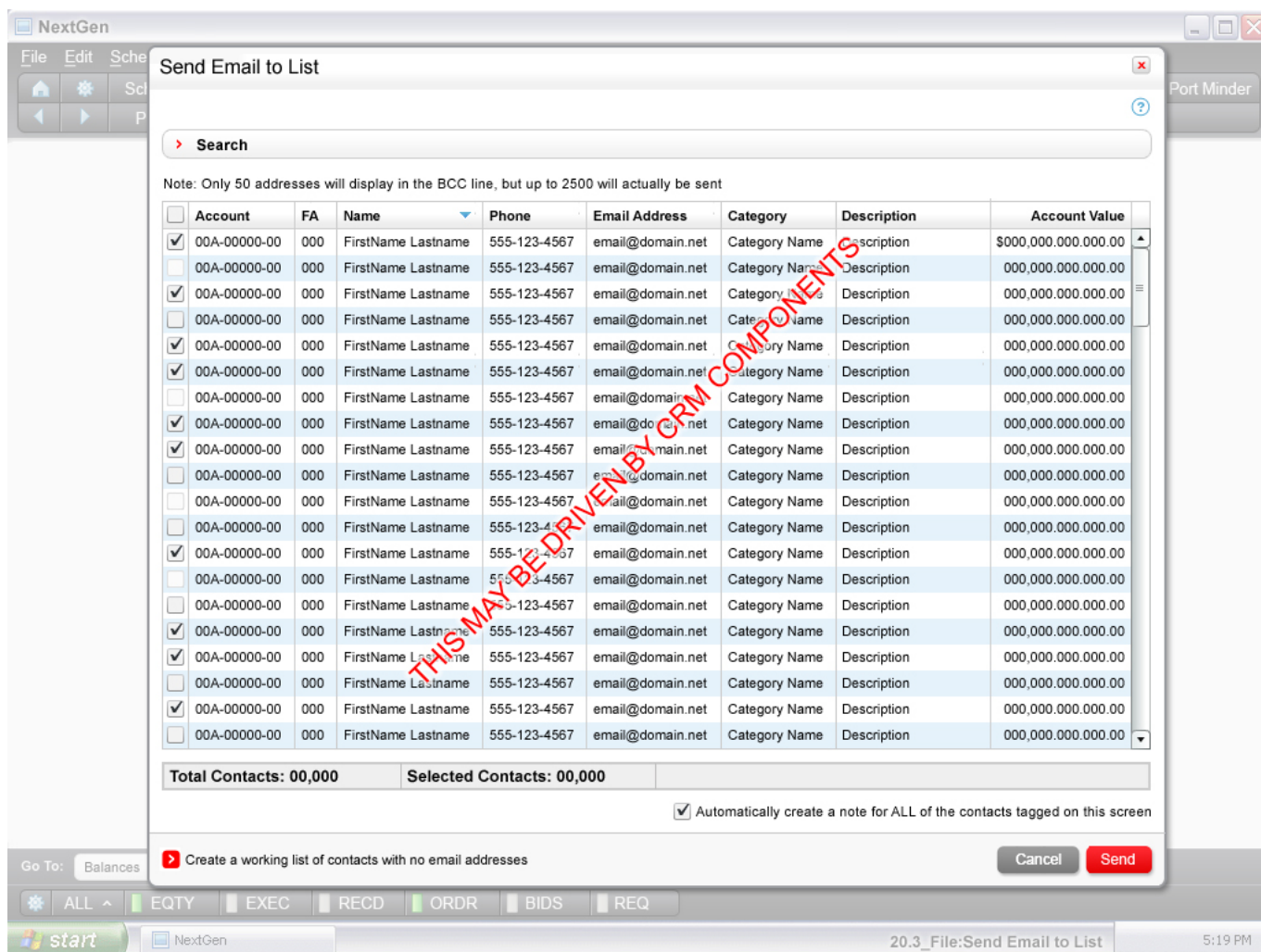
- Print Options:** A section with a help icon (?) and a 'Print:' label followed by three radio buttons: 'Letters', 'Envelopes', and 'Letters and Envelopes'.
- Logging Options:** A section with a 'Logging:' label followed by three radio buttons: 'Add Note', 'Add Note with Follow-up', and 'None'.
- Subject:** A text input field.
- Note:** A large text area with a vertical scrollbar.
- Follow-up Date:** A date input field with a calendar icon, labeled 'MM/DD/YYYY'.
- Assign Reminder to:** A dropdown menu currently showing 'Lastname, Firstname'.
- Buttons:** 'Cancel' and 'Done' buttons at the bottom right.

At the bottom of the application window, there is a 'Go To:' section with a dropdown menu set to 'Balances' and a 'Go' button. Below this is a row of buttons: 'ALL', 'EQTY', 'EXEC', 'RECD', 'ORDR', 'BIDS', and 'REQ'. The Windows taskbar at the very bottom shows the 'start' button, the 'NextGen' application icon, and the text '20.2.Quick Letter: Write New' and '5:19 PM'.

20.2.1: Quick Letter: Open



20.3: Send Email to List



20.4: Email Address List

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Schedule RecVDef Client List HH Accts Funds Avail Rec Tools Tax Ltr Tax Ltr HH Notes Met Sess Port Minder

Email Address List

Note: Only 50 addresses will display in the BCC line, but up to 2500 will actually be sent.

Go to contact Distribution Lists

Available Contacts

Name	Account	Email
Lastname, Firstname	000-00000A-00	email@domain.com
Lastname, Firstname	000-00000A-00	email@domain.com
Lastname, Firstname	000-00000A-00	email@domain.com
Lastname, Firstname	000-00000A-00	email@domain.com
Lastname, Firstname	000-00000A-00	email@domain.com
Lastname, Firstname	000-00000A-00	email@domain.com
Lastname, Firstname	000-00000A-00	email@domain.com
Lastname, Firstname	000-00000A-00	email@domain.com
Lastname, Firstname	000-00000A-00	email@domain.com
Lastname, Firstname	000-00000A-00	email@domain.com
Lastname, Firstname	000-00000A-00	email@domain.com
Lastname, Firstname	000-00000A-00	email@domain.com
Lastname, Firstname	000-00000A-00	email@domain.com
Lastname, Firstname	000-00000A-00	email@domain.com
Lastname, Firstname	000-00000A-00	email@domain.com

Selected Contacts

Name	Account	Email
Lastname, Firstname	000-00000A-00	email@domain.com
Lastname, Firstname	000-00000A-00	email@domain.com
Lastname, Firstname	000-00000A-00	email@domain.com
Lastname, Firstname	000-00000A-00	email@domain.com

Total Available Contacts: 00,000 **Total Selected Contacts:** 4

☒ Automatically create a note for ALL of the contacts tagged on this screen

Go To: Balances

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen 20.4_File:Email Address List 5:19 PM

Client List with Client Filter module

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder
Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Client List

> Client Filter

Select a Predefined Filter ▼ New Filter ▶

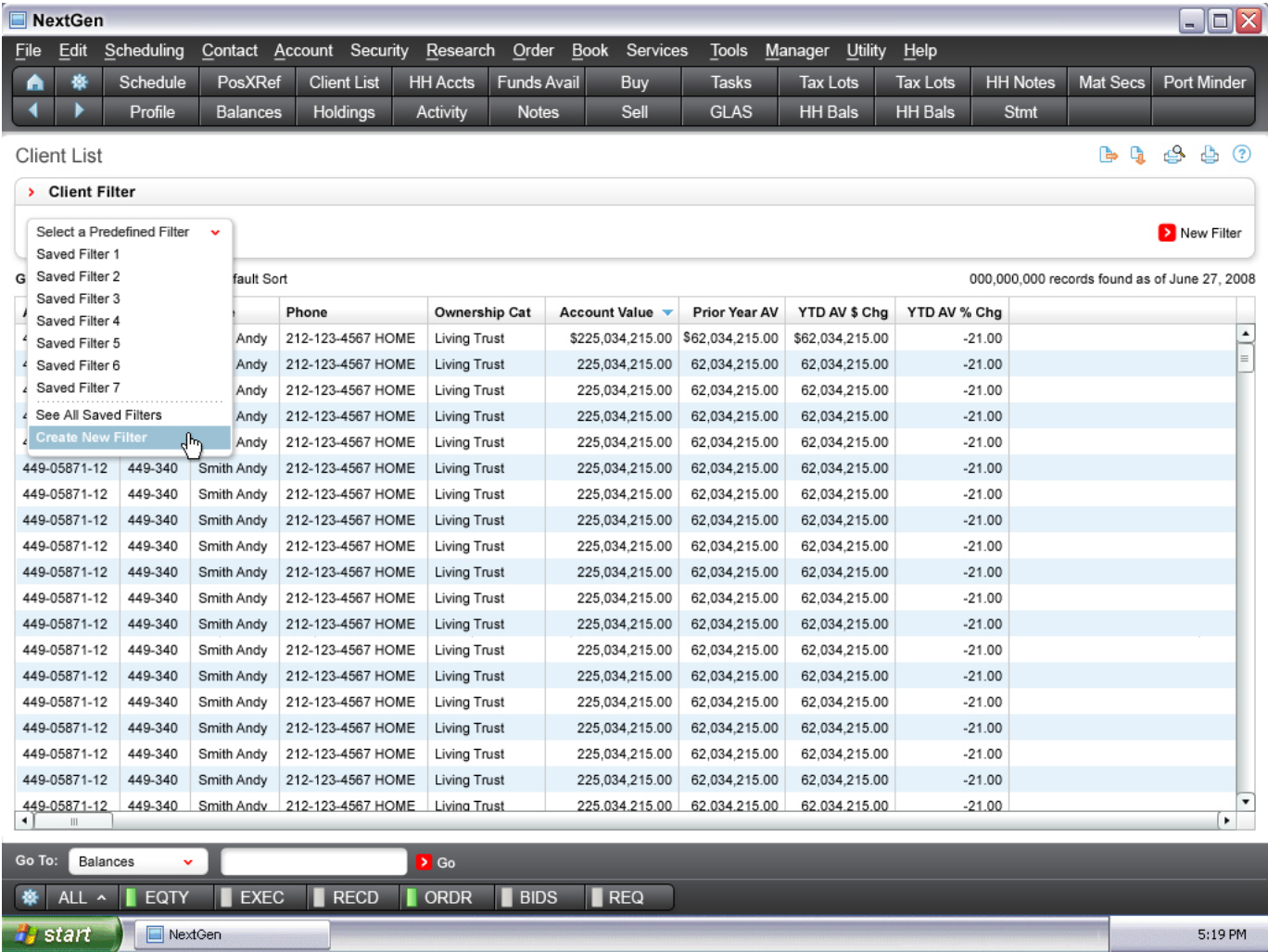
Grid Title, Client List, Unfiltered, Default Sort 000,000,000 records found as of June 27, 2008

Account	FA	Name	Phone	Ownership Cat	Account Value ▼	Prior Year AV	YTD AV \$ Chg	YTD AV % Chg
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	\$225,034,215.00	\$62,034,215.00	\$62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andv	212-123-4567 HOME	Livina Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00

Go To: Balances Go

ALL EQTY EXEC RECD ORDR BIDS REQ

Client Filter with Menu Exposed



Create New Client Filter

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Client List

Client Filter

Select a Predefined Filter No filter has been applied Close

Filter Format Sort

Field	Operator	Value	And / Or
FA Numbers	Equals	449-928 Smith John, 4...	And
Select Criteria	Equals	Enter Text	And
Select Criteria	Equals	Enter Text	

Add Criteria Clear All

Include:

☒ Accounts ☐ Prospects ☒ Return only lead accounts ☐ Every account in Household must match ☐ Every prospect in Household must match

Save As View

Client List, Unfiltered, Default Sort 000,000,000 records found as of September 22, 2008

Account	FA	Name	Phone	Ownership Cat	Account Value	Prior Year AV	YTD AV \$ Chg	YTD AV % Chg
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00

Go To: Balances Go

ALL ^ EQTY EXEC RECD ORDR BIDS REQ

start NextGen 5:19 PM

Create New Client Filter (Continued)

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Client List

Client Filter

Select a Predefined Filter No filter has been applied Close

Filter Format Sort

Field	Operator	Value	And / Or
FA Numbers	Equals	449-928 Smith John, 4...	And
Select Criteria	Equals	Enter Text	
Select Criteria	Equals	Enter Text	

Add Criteria Clear All

Include:

☒ Accounts ☐ Prospects ☒ Return only lead accounts ☐ Every account in

Client List, Unfiltered, Default Sort

Account	FA	Name	Phone	Ownership Cat	Acc
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	2
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	2
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	2
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	2
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	2
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	2
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	2
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	2
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	2
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	2

YTD AV % Chg

-21.00

-21.00

-21.00

-21.00

-21.00

-21.00

-21.00

-21.00

-21.00

-21.00

000,000,000 records found as of September 22, 2008

Save As View

household must match

Cancel Apply

Go To: Balances Go

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen

5:19 PM

Create New Client Filter (Continued)

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Client List

Client Filter

Select a Predefined Filter No filter has been applied Close

Filter Format Sort

Field	Operator	Value	And / Or
FA Numbers	Equals	All Active FA Numbers Change	And
Reserved Client Change	Equals	Select Filter Value	And
Select Criteria	Equals		

Add Criteria Clear All

Include:

☒ Accounts ☐ Prospects ☒ Return only lead accounts must match ☐ Every prospect in Household must match

Select Prestige Not Reserved Cancel Apply

Save As View

Client List, Unfiltered, Default Sort 000,000,000 records found as of June 27, 2008

Account	FA	Name	Phone	Ownership Cat	Account Value	Prior Year AV	YTD AV \$ Chg	YTD AV % Chg
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00

Go To: Balances Go

ALL ☒ EQTY ☐ EXEC ☐ RECD ☐ ORDR ☐ BIDS ☐ REQ

start NextGen 40.2.b Client Filter (set criteria) 5:19 PM

Add More Filter Criteria

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Client List

Client Filter

Select a Predefined Filter No filter has been applied Close

Filter Format Sort

Field	Operator	Value	TBD
FA Numbers	Equals	All Active FA Numbers	And
	Equals	Enter Text	And
	Equals	Enter Text	

Include: ☒ Account

Money Funds
Name - Last
Name - Sort Name
Opened Date
Ownership Category Codes
Required Minimum
Distribution

More Criteria

000,000,000 records found as of September 22, 2008

Account	Ownership Cat	Account Value	Prior Year AV	YTD AV \$ Chg	YTD AV % Chg
449-05871-1	3-4567 HOME	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-1	3-4567 HOME	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-1	3-4567 HOME	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-1	3-4567 HOME	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340 Smith Andy 212-123-4567 HOME	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340 Smith Andy 212-123-4567 HOME	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340 Smith Andy 212-123-4567 HOME	225,034,215.00	62,034,215.00	62,034,215.00	-21.00

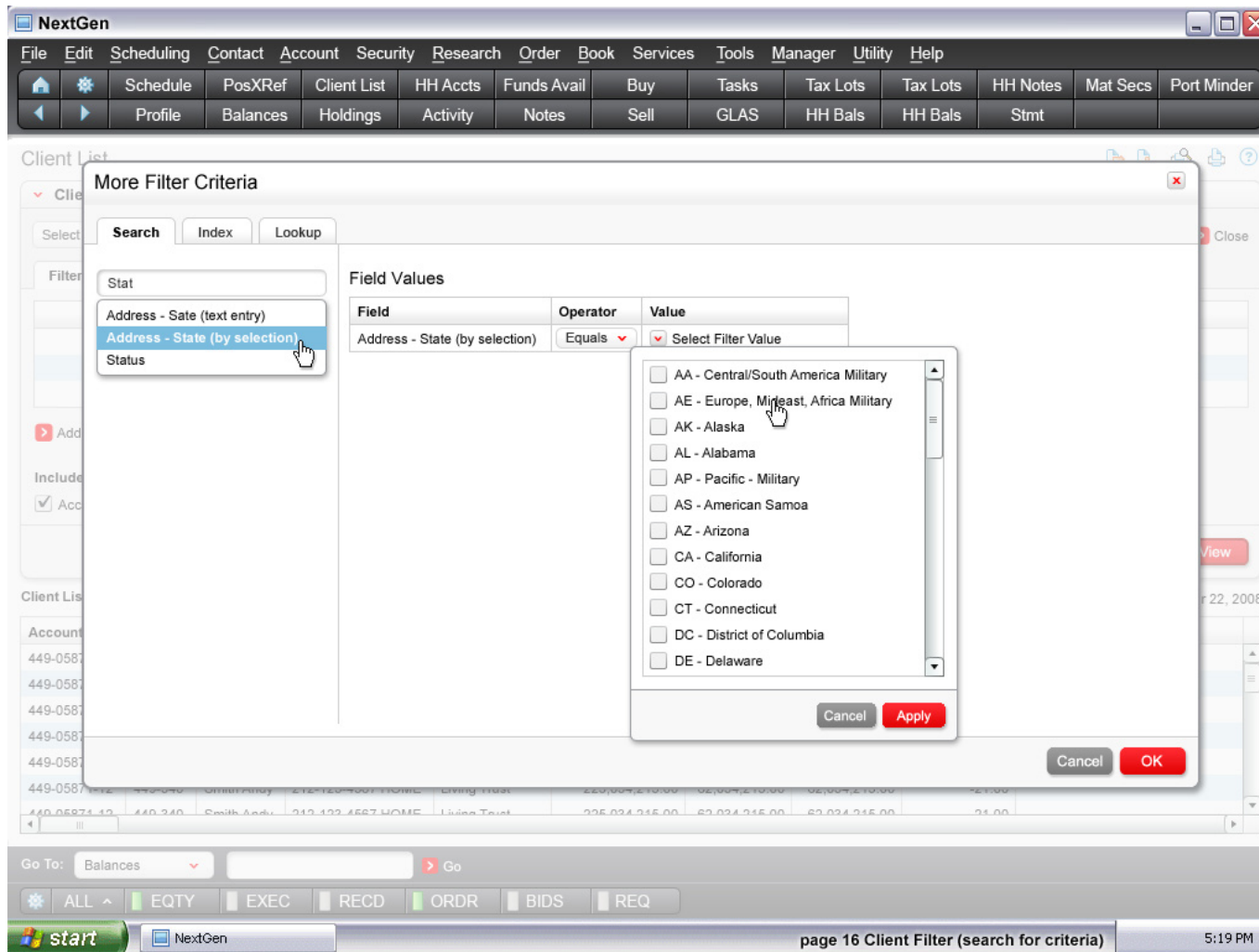
Go To: Balances Go

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen

page 16 Client Filter (search for criteria) 5:19 PM

Add More Filter Criteria from Search



Add More Filter Criteria from Index

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Client List

More Filter Criteria

Search Index Lookup

A B C D E F G H
I J K L M N O P Q
R S T U V W X Y Z

A
AOREM
Adolor
Aconsectuer
Activity (All)
Amer
Aphicus
B
Bactive
Bconsectuer
Bdolor
Bma
Bolore
Borem

Instructional text about finding accounts that have activity with the following characteristics lorem ipsum...

Activity Fields

Field	Operator	Value
☐ Activity Description	Select	
☒ Activity Type	Equals	Bought
☐ Check Nbr	Select	
☐ Check Reference Nbr	Select	
☐ Commission	Select	
☒ CUSIP	Equals	1234567
☐ Price	Select	
☐ Quantity	Select	
☐ Security Description	Select	
☐ Security Nbr	Select	
☐ Settlement Date	Select	
☐ Tax Code	Select	
☒ Trade Date	Equals or after	March 9, 2008

Selected Values

Activity Type = Bought
CUSIP = 1234567
Trade Date => March 9, 2008

Cancel OK

Go To: Balances

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen

5:19 PM

Add More Filter Criteria from Lookup

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Client List

More Filter Criteria

Search Index **Lookup**

Name & Address
Access
Financial
Personal
Account
Household
General
Notes
Related People
Holdings
Balances
Activity
User Fields
Product
Fees / Comm
GLAS / Returns

Instructional text about finding holdings that have activity with the following characteristics lorem ipsum...

Holdings Fields

Field	Operator	Value
☐ Put Date	Select	
☐ Put Price	Select	
☐ S&P Rank	Select	
☐ Sector	Select	
☐ Security Nbr	Select	
☒ Symbol	Equals	IBM
☐ Tax Indicator	Select	
☒ Trade Date Quantity	Equals or less	500
☐ Settled Date Quantity	Select	
☐ Tyoe	Select	
☐ Uncovered Options	Select	
☐ Unit Cost	Select	
☐ Sub Type	Select	

Selected Criteria

Symbol = IBM
Trade Date Quantity =< 500

Cancel OK

Go To: Balances Go

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen 5:19 PM

Client Filter: Format Results Data Grid

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Client List

Client Filter

Select a Predefined Filter No filter has been applied Close

Filter **Format** Sort

Available Fields

- Account Value
- Account Value - Current
- Account Value - Prior Year
- Account Value Excluding
- Account Value Tracker
- Loerm Ipsum
- Vestibulum sapien
- Donec nisi justo
- Nulla sollicitudin
- Morbi aliquam

Selected Fields

- Header 7
- Header 8
- Header 9
- Header 11
- Header 8
- Header 1
- Header 2

> More fields Freeze 00 Columns

Include: ☒ Accounts ☐ Prospects ☒ Return only lead accounts ☐ Every account in Household must match ☐ Every prospect in Household must match

Save As View

Client List, Unfiltered, Default Sort 000,000,000 records found as of June 27, 2008

Account	FA	Name	Phone	Ownership Cat	Account Value	Prior Year AV	YTD AV \$ Chg	YTD AV % Chg
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	\$225,034,215.00	\$62,034,215.00	\$62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00	-21.00

Go To: Balances Go

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen 40.3.5.a Client Filter (format results data grid) 5:19 PM

51.4.2: Account Menu: Account Balance

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Settings Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

< > Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Account Balance

Find

Name or Account Number

View

Advanced Find

FirstName Lorem Ipsum LastName	10-A-0057-10-099	Cashless Exec
123 West Anylorem Ipsum Street Address 1234 Suite 999 New Brunswick, NJ 11223 USA	(212) 444 5678 Home (212) 123 4567 Business (847) 123 4567 Mobile <i>Personal Information</i>	FMA GLAS STMT No syndicate trades Joint Registration with Rights Lorem Ipsum FMA GLAS STMT No syndicate trades

Summary

☒ Product Category
 ☐ Asset Allocation
 ☐ Manager Style
 ☐ Individual Holdings

Money Funds: \$123,456.78

Stocks: 234,567.89

Closed End Funds: 78,888.55

Lorem Ipsum: 1,585.41

Lorem Ipsum: 545,874.65

Lorem Ipsum: 56,895.33

Account Value: \$1,287,867.30

Money Funds
Stocks
Closed End Funds
Lorem Ipsum

Overview

Net Cash: \$0,000,000.00

Type 1 Market Value: \$000,000.00

Margin Interest Rate: 0.00%

Last Statement Value: \$000,000.00

Statement Date: 00 JUN 2008

Prior Year-end Value: \$000,000.00

Prior Year Commissions: 00.00

Open Orders: Yes

Pending Charges

Margin Interest: \$000.00

Standing Instructions

Buy: Street Name

Sells: Holds Proceeds

Option Approval

Buy Puts vs. Stock

Sell Covered

Quick Links

Intraday Updates
 Citibank Linked
 Shadow/Linked-Margin Accounts
 Projected \$
 Returns

Go To: Balances Go

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen

51.4.2 Account Menu 5:19 PM

51.4.8: Account Menu: Account Balance: Returns

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Schedule
PosXRef
Client List
HH Accts
Funds Avail
Buy
Tasks
Tax Lots
Tax Lots
HH Notes
Mat Secs
Port Minder

Profile
Balances
Holdings
Activity
Notes
Sell
GLAS
HH Bals
HH Bals
Stmt

Gain/Loss

Find

First Name
Last Name
10-A-0057-10-099

Cashless Exec

123 West Anylorem Ips
Address 1234
Suite 999
New Brunswick, NJ 112
USA

View: ☐ Summary ☐

Capital Gain Distribution (\$)

Symbol/CUSIP

27828A308000

27828A308000

27828A308000

27828A308000

27828A308000

27828A308000

27828A308000

27828A308000

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Long Term Distribution

\$2,898.29

4,705.82

2,224.99

4,524.83

2,675.34

3,232.58

2,719.93

4,705.82

2,224.99

4,524.83

2,675.34

3,232.58

2,719.93

4,705.82

2,224.99

4,524.83

2,675.34

3,232.58

2,719.93

Go To: Balances

Go

ALL

EQTY

EXEC

RECD

ORDR

BIDS

REQ

NextGen

51.4.8 Account Menu: Account Balance: Returns (PCM)

5:19 PM

51.4.9: Margin Balance

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Margin Balance

Account: 449-01873 Lastname, Firstname | Reporting Currency USD

\$0.00	1	T/D	\$0.00		MMF	\$00,000,000.00	1	SMA
0.00	1	MKT	0.00		IDA	000,000,000.00	1	SBP
0.00	1	LOP	0.00		OTH	0.00	1	INT
0.00	1	SOP	143,305,142.90		NET			
0.00	2	T/D	(1,248,174.79)		S/D			
0.00	2	MKT	76,739,263.00		CSH			
0.00	2	LOP	143,305,142.90		EQU			
0.00	2	SOP	143,305,142.90		TEQ			
0.00		CDS	0.00		EQP			

Close

Go To: Balances [] Go

ALL ^ EQTY EXEC RECD ORDR BIDS REQ

start NextGen

51.4.9 Account Balance: Quick Links: XM Margin Balance

5:19 PM

51.6.b: Holdings linked accounts

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Settings Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Holdings

Find

Name or Account Number [View](#) [Advanced Find](#)

FirstName Lorem Ipsum **10-A-0057-10-099** Cashless Exec

123 West Anylorem Ipsum Street
Address 1234
Suite 999
New Brunswick, NJ 11223
USA

(212) 444 5678 Home
(212) 123 4567 Business
(847) 123 4567 Mobile ▼

[Personal Information](#)

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error sit voluptatem natus error sit natus
error sit natus error sit accusantium
doloremque laudantium, totam rem error
sit natus error sit voluptatem est aperiam
omnis iste natus error son accusantium ▼

FMA GLAS STMT
No syndicate trades
FMA GLAS STMT
Lorem ipsum dolor sit amet
Lorem ipsum dolor sit amet
Lorem ipsum dolor ▼

Holdings (Default View) [Customize](#) 17 records found as of September 3, 2008

	Symbol/CUSIP	Description	Quantity	Citi	Mean	Price	Market Value	TC	Div	Unit Cost	Cost Basis
Select ▼	S	A Company	114.00	1M	1.8	\$22.869	\$3,860.04	2-0	C	\$21.000	3
Select ▼		A Company	114.00	1M	1.8	22.869	3,860.04	2-0	C	21.000	3
Select ▼		A Company	114.00	1M	1.8	22.869	3,860.04	2-0	C	21.000	3
Select ▼	D	A Company	114.00	1M	1.8	22.869	3,860.04	2-0	C	21.000	3
Select ▼		A Company	114.00	1M	1.8	22.869	3,860.04	2-0	C	21.000	3
Select ▼	E	A Company	114.00	1M	1.8	22.869	3,860.04	2-0	C	21.000	3
Select ▼		A Company	114.00	1M	1.8	22.869	3,860.04	2-0	C	21.000	3
Select ▼		A Company	114.00	1M	1.8	22.869	3,860.04	2-0	C	21.000	3
Select ▼	C	Citibank Linked Acct Cash: 94200977					\$000,000.00				

Market Value: \$000,000.00 Lorem Ipsum: \$000,000.00 Ipsum Dolor: \$000,000.00

Quick Links [Intraday Updates](#) Legend: C Citibank D Open Orders E External S Stock Split [Ext Bid](#) [Add](#)

Go To: Balances Enter keywords [Go](#)

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen 51.6.b Holdings linked accounts 5:19 PM

51.6.3.a: Holdings Detail & Re-invest

The screenshot shows the NextGen application interface. The main window is titled "Holdings Detail" and displays information for the Goldman Sachs Group. A dialog box titled "Reinvest Option" is open, showing two radio button options: "Cash Only" (selected) and "Re-Invest". The dialog also includes a "Message area" and "Cancel" and "Submit" buttons.

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Settings Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Holdings Detail

Goldman Sachs Group

Symbol: 12345678901
CUSIP: A123456
Sec #: G431544
Closing Price: \$199.550
As of 27 Feb 2008
Security Type: 12345678901

T-C: 1-2
Trade Qty: 2,500.000
Settle Qty:
Accr Income:
Reinvest Options: Cash Only >> Change

Safekeeping - N
Safekeeping - N
Trans
Legal Trans

Reinvest Option

☒ Cash Only
☐ Re-Invest

<Message area>

Cancel Submit

External Holdings

Purchase Date:
Location:

< >

Close

Go To: Balances > Go

ALL ^ EQTY EXEC RECD ORDR BIDS REQ

start NextGen

51.6.3.a Holdings Detail & Re-invest 5:19 PM

51.9a: Activity - Recent Activity (Trust)

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Settings Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Activity

Find

Name or Account Number [View](#) [Advanced Find](#)

FirstName Lorem Ipsum LastName 10-A-0057-10-099 Cashless Exec

123 West Anylorem Ipsum Street
Address 1234
Suite 999
New Brunswick, NJ 11223
USA

(212) 444 5678 Home
(212) 123 4567 Business
(847) 123 4567 Mobile ▼

[Personal Information](#)

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FMA GLAS STMT
No syndicate trades
Joint Registration with Rights
Lorem Ipsum
FMA GLAS STMT
No syndicate trades ▼

Type: ☐ SB Account ☒ Trust Account

Activity By: ☐ Date From: MM/DD/YYYY To: MM/DD/YYYY ☒ Summary Period: 2003 Type: Overview [View](#)

Default View (Sorted by Date-Dsc) [Customize](#) 000,000,000 records found as of June 27, 2008

T-C	T/D	S/D	Act Type	Quantity	Description	Price	Amount
1-2	02/01	02/14	Check	114.00	Lorem ipsum eum le movet persius	22.869	3,860.04
1-2	02/01	02/14	Check	114.00	Lorem ipsum eum le movet persius	22.869	3,860.04
1-2	02/01	02/14	Check	114.00	Lorem ipsum eum le movet persius	22.869	3,860.04
1-2	02/01	02/14	Withdrawal	114.00	Lorem ipsum eum le movet persius	22.869	3,860.04
1-2	02/01	02/14	Fee	114.00	Lorem ipsum eum le movet persius	22.869	3,860.04
1-2	02/01	02/14	Check	114.00	Lorem ipsum eum le movet persius	22.869	3,860.04
1-2	02/01	02/14	Journal	114.00	Lorem ipsum eum le movet persius	22.869	3,860.04
1-2	02/01	02/14	Deposit	114.00	Lorem ipsum eum le movet persius	22.869	3,860.04
1-2	02/01	02/14	Check	114.00	Lorem ipsum eum le movet persius	22.869	3,860.04
1-2	02/01	02/14	Check	114.00	Lorem ipsum eum le movet persius	22.869	3,860.04

Go To: Balances [Go](#)

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen 51.9a Activity - Recent Activity w. Trust Account 5:19 PM

51.9.7: Past Activity Summary

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Settings Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Activity

Find

Name or Account Number [View](#) [Advanced Find](#)

▼ FirstName Lorem Ipsum LastName 10-A-0057-10-099 Cashless Exec

123 West Anylorem Ipsum Street
Address 1234
Suite 999
New Brunswick, NJ 11223
USA

(212) 444 5678 Home
(212) 123 4567 Business
(847) 123 4567 Mobile ▼

[Personal Information](#)

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FMA GLAS STMT
No syndicate trades
Joint Registration with Rights
Lorem Ipsum
FMA GLAS STMT
No syndicate trades ▼

Activity By: ☐ Date From: MM/DD/YYYY To: MM/DD/YYYY ☐ Summary Period: 2003 Type: Overview [View](#)

Default View (Sorted by Date-Dsc) [Customize](#) 000,000,000 records found as of June 27, 2008

Activity Type	Last Activity	Yesterday's	Since Last Statement	Year to Date
CONFIRMS	01/02/2003	\$0.00	\$0.00	\$0.00
UNSETTLED	01/02/2003	0.00	0.00	0.00
BUYS	01/02/2003	0.00	0.00	0.00
SELLS	01/02/2003	0.00	0.00	0.00
DEPOSITS	01/02/2003	0.00	0.00	0.00
WITHDRAWALS	01/02/2003	0.00	0.00	0.00
DIVIDENDS	01/02/2003	0.00	0.00	0.00
CLIENT CHECKS	01/02/2003	0.00	0.00	0.00
MONEY CARD PMT	01/02/2003	0.00	0.00	0.00
MONEY CARD WITHD	01/02/2003	0.00	0.00	0.00

Account Value Totals: \$4,104,664.91

Go To: Balances [Go](#)

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen 51.9.7 Past Activity Summary (2003) 5:19 PM

52.3: Household Accounts

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Settings Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Household Accounts

> Find

Name or Account Number [View](#) >> Advanced Find

▼ **FirstName Lorem Ipsum LastName** **10-A-0057-10-099 Lead** **Reserved Level: Select**

123 West Anylorem Ipsum Street (212) 444 5678 Home MC/CB
 Address 1234 (212) 123 4567 Business
 Suite 999 (847) 123 4567 Mobile ▼
 New Brunswick, NJ 11223
 USA

Household Accounts, Default View Sorted by SC (Asc) | Reporting Currency USD | [Customize](#) 00 records found as of July 23, 2008

	SC ▼	Account	FA #	Name	Category	Description	Account Value/Citibank Balance
	A	449-0514A-19	999	Lastname, Firstname	CIS Ret	Checking with Sweep	\$00,000.00
	A	449-09349-13	999	Lastname, Firstname	Jnt Ten WROS	Checking with Sweep	000,000.00
	A	777-12345-01	999	Lastname, Firstname	CIS Ret	Checking with Sweep	0,000,000.00
	A	888-23456-99	999	Lastname, Firstname	Jnt Ten WROS	Retirement Transaction Account	00,000,000.00
	A	999-34567-34	999	Lastname, Firstname	CIS Ret	Retirement Transaction Account	0,000.00
Remove		123-45678-90	999	Lastname, Firstname		Insured Money Market	000,000.00
C		000-0000000		Citibank Account		Citibank Linked Account 000-0000000	\$00,000.00
C		000-0000000		Citibank Account		Citibank Linked Account 000-0000000	\$00,000.00
C		000-0000000		Citibank Account		Citibank Linked Account 000-0000000	000,000.00
C		000-0000000		Citibank Account		Citibank Linked Account 000-0000000	0,000,000.00
C		000-0000000		Citibank Account		Citibank Linked Account 000-0000000	00,000,000.00

Total Account Value: \$00,000,000.00 [C](#) **Total Citi Account Balance: \$00,000,000.00**

Go To: Balances [Go](#)

[ALL](#) [EQTY](#) [EXEC](#) [RECD](#) [ORDR](#) [BIDS](#) [REQ](#)

start NextGen 52.3 Household Accounts 5:19 PM

52.6: Gain/Loss: Summary

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Settings Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Gain/Loss

> Find

> FirstName Lorem Ipsum LastName 10-A-0057-10-099 Cashless Exec

View: ☒ Summary | ☐ Unrealized | ☐ Realized 2008 | ☐ Capital Gains ☐ Current Year ☐ Prior Year View

Gain/Loss Summary | Reporting Currency USD | Customize As of August 5, 2008

	Unrealized	2008 Realized	2007 Realized	2006 Realized	2005 Realized	2004 Realized	2003 Realized
Cost (Original)	\$00,000,000.00	*	\$00,000,000.00	\$00,000,000.00	\$00,000,000.00	\$00,000,000.00	\$00,000,000.00
Cost (Adjusted)							
Mkt Value Proceeds	00,000,000.00	\$00,000,000.00	00,000,000.00	00,000,000.00	00,000,000.00	00,000,000.00	00,000,000.00
Adjusted Proceeds		00,000,000.00	00,000,000.00	00,000,000.00	00,000,000.00	00,000,000.00	00,000,000.00
Gain/Loss (Original)	00,000,000.00	00,000,000.00	-00,000,000.00	00,000,000.00	00,000,000.00	00,000,000.00	00,000,000.00
Gain/Loss (Adjusted)							
Capital Gain/Loss	00,000,000.00	00,000,000.00	-00,000,000.00	00,000,000.00	00,000,000.00	00,000,000.00	00,000,000.00
Ordinary Income		*	*	*	*	*	*
Cost N/A (Long)	00,000,000.00	*** NONE ***	*** NONE ***	00,000,000.00	00,000,000.00	00,000,000.00	00,000,000.00
Cost N/A (Short)							
Mkt Val/Proceeds N/A	*** NONE ***						

Go To: Balances Go

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen 52.6 Gain/Loss: Summary 5:19 PM

52.6.9: Gain/Loss: Capital Gains

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Settings Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Gain/Loss

Find

▼ **FirstName Lorem Ipsum LastName** **10-A-0057-10-099** Cashless Exec

123 West Anylorem Ipsum Street
Address 1234
Suite 999
New Brunswick, NJ 11223
USA

(212) 444 5678 Home
(212) 123 4567 Business
(847) 123 4567 Mobile ▼

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sit voluptatem natus error sit natus error sit
natus error sit accusantium doloremque
laudantium, totam rem error sit natus error
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error son accusantium ▼

FMA GLAS STMT
No syndicate trades
Joint Registration with Rights
Lorem Ipsum
FMA GLAS STMT
No syndicate trades ▼

Personal Information

View: ☐ Summary ☐ Unrealized ☐ Realized 2008 | ☒ Capital Gains ☐ Current Year ☒ Prior Year View

Capital Gain Distribution (Sorted by Date-Dsc) | Reporting Currency USD Customize ▼

7 records found as of August 25, 2008

Symbol/CUSIP	Description	Date	Short Term Distribution	Long Term Distribution
27828A308000	Eaton Vance Insd Calif Mun	12/28/2007	\$0.00	\$2,898.29
27828A308000	Eaton Vance Insd Calif Mun	12/27/2007	0.00	4,705.82
27828A308000	Eaton Vance Insd Calif Mun	12/26/2007	0.00	2,224.99
27828A308000	Eaton Vance Insd Calif Mun	12/25/2007	0.00	4,524.83
27828A308000	Eaton Vance Insd Calif Mun	12/24/2007	0.00	2,675.34
27828A308000	Eaton Vance Insd Calif Mun	12/22/2007	0.00	3,232.58
27828A308000	Eaton Vance Insd Calif Mun	12/21/2007	0.00	2,719.93
27828A308000	Eaton Vance Insd Calif Mun	12/27/2007	0.00	4,705.82
27828A308000	Eaton Vance Insd Calif Mun	12/26/2007	0.00	2,224.99
27828A308000	Eaton Vance Insd Calif Mun	12/25/2007	0.00	4,524.83
27828A308000	Eaton Vance Insd Calif Mun	12/24/2007	0.00	2,675.34
27828A308000	Eaton Vance Insd Calif Mun	12/22/2007	0.00	3,232.58
Totals:			\$0.00	\$23,328.02

Go To: Balances Go

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen

52.6.9 Gain/Loss: Capital Gains 5:19 PM

53.1: Commodity Holdings

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Settings Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Commodity Holdings

Find

▼ **FirstName Lorem Ipsum LastName** **10-A-0057-10-099** Cashless Exec

123 West Anylorem Ipsum Street
Address 1234
Suite 999
New Brunswick, NJ 11223
USA

(212) 444 5678 Home
(212) 123 4567 Business
(847) 123 4567 Mobile ▼

Personal Information

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FMA GLAS STMT
No syndicate trades
Joint Registration with Rights
Lorem Ipsum
FMA GLAS STMT
No syndicate trades ▼

View: ☐ Regulatory | ☒ Non-regulatory **09 – US Dollar Non-Reg** View

Balance

US DOLLAR NON REG NON REG	T09-0 CONV @	1.0000000	0.00	USD EQUITY
0.00 USD OPENING TRADE EQUITY				
0.00 USD CLOSING				

Position

Commodity Holdings Customize ▼

38 records found as of June 27, 2008

Description/Symbol	Trade Date	Quantity	Price	Net Gain/Loss
10 OZ Gold Bar Cash Trust 905.00	03/01/2008	1.00		\$9,050.00
Totals:		1.00	\$905.00	\$9,050.00

Go To: Balances Go

ALL ^ EQTY EXEC RECD ORDR BIDS REQ

start NextGen 53.1 Commodity Holdings 5:19 PM

60.1.3.1: MSD Selection

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Mat Secs Port Minder

Gain/Loss

Find

FirstName Lorem

123 West Anylorem Ip
Address 1234
Suite 999
New Brunswick, NJ 11
USA

View: Summary

Capital Gain Distribution

Symbol/CUSIP De

27828A308000 Ea

27828A308000 Ea

27828A308000 Ea

27828A308000 Ea

27828A308000 Ea

27828A308000 Ea

27828A308000 Ea

27828A308000 Ea

27828A308000 Ea

27828A308000 Ea

27828A308000 Ea

27828A308000 Ea

27828A308000 Ea

27828A308000 Ea

27828A308000 Ea

Go To: Balances

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen

60.1.3.1 MSD Selection 5:19 PM

MSD Detail

Find

Description: Alt

Symbol: 4499271

CUSIP: 4499271

Sec #: 4499271

☐ Bonds Only ☐ Corporate ☐ Municipal ☐ Government

Rate: Maturity Date: State:

View

MSD Selection

CUSIP	Symbol	Sec #	Description
123456789012	FHODX	F123456	Altera Industrial Holdings Cop Flexible Rate
123456789012	FHODX	F123456	Alta California
123456789012	FHODX	F123456	Alta Capital Group
123456789012	FHODX	F123456	Alta Oil
123456789012	FHODX	F123456	Altera Bio Extraction
123456789012	FHODX	F123456	Alta California
123456789012	FHODX	F123456	Alta Oil
123456789012	FHODX	F123456	Altera Industrial Holdings Cop Flexible Rate
123456789012	FHODX	F123456	Alta Capital Group
123456789012	FHODX	F123456	Altera Industrial Holdings Cop Flexible Rate
123456789012	FHODX	F123456	Alta Oil
123456789012	FHODX	F123456	Alta California

Close

Long Term Distribution

\$2,898.29

4,705.82

2,224.99

4,524.83

2,675.34

3,232.58

2,719.93

4,705.82

2,224.99

4,524.83

2,675.34

3,232.58

\$23,328.02

70.3: S&P Menu: View Favorites

The screenshot displays the NextGen application window. The menu bar includes File, Edit, Scheduling, Contact, Account, Security, Research, Order, Book, Services, Tools, Manager, Utility, and Help. Below the menu bar is a toolbar with icons for various functions like Schedule, PosXRef, Client List, HH Accts, Funds Avail, Buy, Tasks, Tax Lots, HH Notes, Mat Secs, and Port Minder. The main window is titled 'S&P Menu' and features a 'View Favorites' tab. A list of items is shown on the left, including '0 S&P Marketscope Menu', '2 S&P Market Commentary', '4 Stocks in the News', and several '9 Page Name' entries. The right pane displays the content of the selected item, showing a 'S&P FOCUS STOCK OF THE WEEK' for AT&T INC (T) dated 12/03/07. The text includes a return year to date through 10/31/07, a stock portfolio return of +6.75%, and an S&P 500 return of +9.24%. The investment thesis states that AT&T is well positioned to generate revenue growth in 2008 despite an economic slowdown. The bottom status bar shows '70.3 S&P Menu' and the time '5:19 PM'.

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots HH Notes Mat Secs Port Minder

Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

S&P Menu

Go to page: 6 Go

☒ View Favorites ☐ Edit Favorites

Description

- 0 S&P Marketscope Menu
- 2 S&P Market Commentary
- 4 Stocks in the News
- 9 Page Name
- 9 Page Name
- 9 Page Name
- 9 Page Name
- 9 Page Name
- 9 Page Name

S&P FOCUS STOCK OF THE WEEK ---- (S&P) 03-DEC-07 PG. 6 SEG 1

RETURN YEAR TO DATE THROUGH 10/31/07
STOCK OF THE WEEK PORTFOLIO: +6.75% S&P 500: +9.24%

12/03/07: S&P FOCUS STOCK OF THE WEEK: AT&T INC (T)

INVESTMENT THESIS

THIS WEEK'S FOCUS STOCK OF THE WEEK IS AT&T INC. (T: \$38), WHICH

S&P FOCUS STOCK OF THE WEEK ---- (S&P) 03-DEC-07 PG. 6 SEG 2

5-STARS, OR STRONG BUY. THE TELECOM CARRIER WILL BE HOSTING AN ANALYST DAY IN NEW YORK ON DECEMBER 11, AND WE EXPECT A POSITIVE MESSAGE TO BE SHARED, INCLUDING HIGHER OPERATING MARGIN TARGETS FOR 2008. WITH MORE THAN 30% OF ITS REVENUES DERIVED FROM WIRELESS SERVICES AND, IN OUR VIEW, OPPORTUNITIES TO GAIN MARKET SHARE IN BROADBAND, WE CONTEND THAT AT&T IS WELL POSITIONED TO GENERATE REVENUE GROWTH IN 2008 DESPITE AN ECONOMIC SLOWDOWN. IN ADDITION, WE SEE OPPORTUNITIES TO EXPAND ITS MARGINS FROM ADDITIONAL COST SYNERGIES, INCLUDING A MIGRATION OF WIRELINE DATA TRAFFIC TO ONE NETWORK AND FROM IMPROVED EFFICIENCIES IN THE WIRELESS SEGMENT. WE (MORE

S&P FOCUS STOCK OF THE WEEK ---- (S&P) 03-DEC-07 PG. 6 SEG 3

Go To: Balances Go

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen 70.3 S&P Menu 5:19 PM

70.3: S&P Menu: Edit Favorites

NextGen

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S&P Menu

☐ View Favorites ☒ Edit Favorites

Go to page: 6 Go

Favorites	Description
☒	0 S&P Marketscope Menu
☐	1 v=AO
☒	2 S&P Market Commentary
☐	3 Market Movers
☒	4 Stocks in the News
☐	5 View and News
☐	6 S&P Focus Stock of the Week
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S&P FOCUS STOCK OF THE WEEK ---- (S&P) 03-DEC-07 PG. 6 SEG 1

RETURN YEAR TO DATE THROUGH 10/31/07
STOCK OF THE WEEK PORTFOLIO: +6.75% S&P 500: +9.24%

12/03/07: S&P FOCUS STOCK OF THE WEEK: AT&T INC (T)

INVESTMENT THESIS
THIS WEEK'S FOCUS STOCK OF THE WEEK IS AT&T INC. (T: \$38), WHICH
S&P FOCUS STOCK OF THE WEEK ---- (S&P) 03-DEC-07 PG. 6 SEG 2

5-STARS, OR STRONG BUY. THE TELECOM CARRIER WILL BE HOSTING AN ANALYST DAY IN NEW YORK ON DECEMBER 11, AND WE EXPECT A POSITIVE MESSAGE TO BE SHARED, INCLUDING HIGHER OPERATING MARGIN TARGETS FOR 2008. WITH MORE THAN 30% OF ITS REVENUES DERIVED FROM WIRELESS SERVICES AND, IN OUR VIEW, OPPORTUNITIES TO GAIN MARKET SHARE IN BROADBAND, WE CONTEND THAT AT&T IS WELL POSITIONED TO GENERATE REVENUE GROWTH IN 2008 DESPITE AN ECONOMIC SLOWDOWN. IN ADDITION, WE SEE OPPORTUNITIES TO EXPAND ITS MARGINS FROM ADDITIONAL COST SYNERGIES, INCLUDING A MIGRATION OF WIRELINE DATA TRAFFIC TO ONE NETWORK AND FROM IMPROVED EFFICIENCIES IN THE WIRELESS SEGMENT. WE (MORE
S&P FOCUS STOCK OF THE WEEK ---- (S&P) 03-DEC-07 PG. 6 SEG 3

Go To: Balances Go

ALL EQTY EXEC RECD ORDR BIDS REQ

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70.4.1: S&P Company Desc/Stats Results

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S&P Reports

Find

Symbol, CUSIP or Sec Num View Advanced Find

Altera Corp (ALTR)

Altera Corp ----- (S&P) 30-Nov-07 Sym ALTR Seg 1									
---SHARE EARNINGS---		---DIVIDENDS---		---MARKET ACTION---		---BAL SHEET---			
9 Mo Sep	.63/.61 Rt4Yd	.16	0.8% 07 Rng	26.24	17.99 Cur Ratio	3.72			
Last 12 Mos	.90 Last Div Q	.040 Avg Vol	7268331 LT Dt (M)						
P/E	23.5 Ex-Date	11/07 Beta	1.8 Shs (M)	335.86					
5-Yr Growth %	+30 PayDate	12/03/07 Inst Holdings	97% Rpt. of	06/29/07					
FV 4B+	S&P Rank B	S&P 500.	ASE,CBOE,P, Ph:Cycle	3. NGM					
Yr	High	Low	E/E Range	Div	Dec	EPS	Rev (M)	Net (M)	BV/SH
06	22.29	15.54	25.3	17.7		106	.88v	1285.5	323.2
05	22.99	15.96	31.1	21.6		105	.74v	1123.7	278.8
04	26.82	17.50	37.3	24.3		104	.72v	1016.3	275.1
03	25.64	10.30	64.1	25.8		103	.40v	827.2	155.1
Altera Corp ----- (S&P) 30-Nov-07 Sym ALTR Seg 2									
Current Quarter (Q4-07)		New	Old	High	Low	Ests.			
Consensus Estimate		0.17	0.18	0.20	0.14	22			
Current Year 2007 (Dec)									
Consensus Estimate		0.80	0.81	0.82	0.77	22			
Next Year 2008 (Dec)									
Consensus Estimate		0.94	0.95	1.12	0.68	22			
Next EPS Report Date:		Mid February		Est. 5-yr Ekn. Growth:		20%			
Street Guidance: Buy		Buy/Hold	Hold	Hold/Sell	Sell	S&P STARS FAIR VALUE			
5		4	14	3 (Hold)		4+			
ALTERA CORP ----- (S&P) 05-NOV-07 SYM ALTR SEG 1									
ALTERA CORPORATION DESIGNS,									
MANUFACTURES, AND MARKETS PROGRAMMABLE STARS RANKING: ***									

Go To: Balances Go

ALL ^ EQTY EXEC RECD ORDR BIDS REQ

start NextGen

70.4.1 S&P Company Desc /Stats Results 5:19 PM

80.1.8: Buy - Attestation

NextGen

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Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Order Ticket * Required Fields Live | May 5, 2008

▼ FirstName Lorem Ipsum 10-A-0057-10-099 Cashless Exec Account Value: **\$00,000,000.00**

123 West Anylorem Ipsum Street
Address 1234
Suite 999
New Brunswick, NJ 11223
USA

(212) 444 5678 Home
(212) 123 4567 Business
(847) 123 4567 Mobile ▼

Sed ut spiciatis unde omnis iste
natus error sit voluptatem natus
error sit natus error sit natus
error sit doloremque volup
tatem natus error sit natus lau
dantium, totam rem aperiam ▼

Cashless Exec
FMA GLAS STMT
No syndicate trades
Joint Registration with Rights
Lorem Ipsum
No syndicate trades ▼

Net Cash: **00,000.00**
Margin Value: **00,000.00**

* Action: SELL * Quantity * Symbol CSCO Price MKT Price Qualifier: Avg Price 0 Net/Agy: AGY Routing

Time in Force: DAY Security Description Apple Inc MktMkr * Sol/Unsol: SOL * Discount/Cents Per Share: SOL

Branch #: Account Base: 123456 Type: 1 - Cash FA: Disposition Open/Close/Cover: Hold in Street Name

Trader Instructions: Special Instru AON

Confirm Trailer: Avg Price: T&P Discr Attestation: Yes

Received By ID/Name: 4499271 Logon, NextGen Test Date: Time (EST):

Authorizing Party: Custom Control Account

Quick Tab

Go To: Balances Go

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen

80.1.8: Buy-Attestation 5:19 PM

WITH RESPECT TO THE ACCOUNT(S) OR TRADER(S) ENTERED, I ATTEST TO THE FOLLOWING:

I have notified my client of the availability of independent, third party research for this order.

I have informed my client that he/she can receive, at no cost, independent third party research for this security:

- By visiting www.smithbarney.com
- By calling 866-836-9542, or
- Which I can arrange to send to them if that is preferred.

New Ticket Send

80.3: Order List

NextGen

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Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Order List

Filter

Order List Selection: Orders Sent for Manager Approval Branch: FA: Account:

Order Number: Symbol: Action: From: MM/DD/YYYY To: MM/DD/YYYY

View

Orders Sent for Manager Approval, Account 449-12345-1-2 00 records found as of June 27, 2008

	Action	Quantity	Symbol	Price	TIF	Status	Entry Date	Entry Time	Account	FA	Executed	Unexecuted	Execution Price
Select	Buy	100	RIMM	MKT	Day	Cancel Pending	01/19/2008	12:34:16	449-12345-1-2	763	0	100	
Select	Buy	100	RIMM	MKT	Day	Pending	01/19/2008	12:34:16	449-12345-1-2	763	0	100	
Open Order	Buy	100	RIMM	MKT	Day	Pending	01/19/2008	12:34:16	449-12345-1-2	763	0	100	
Bid	Buy	100	RIMM	MKT	Day	Pending	01/19/2008	12:34:16	449-12345-1-2	763	0	100	
Re-invest	Buy	100	RIMM	MKT	Day	Cancel Pending	01/19/2008	12:34:16	449-12345-1-2	763	0	100	
Tax Lots	Buy	100	RIMM	MKT	Day	Pending	01/19/2008	12:34:16	449-12345-1-2	763	0	100	
Delete	Buy	100	RIMM	MKT	Day	Pending	01/19/2008	12:34:16	449-12345-1-2	763	0	100	
Modify	Buy	100	RIMM	MKT	Day	Pending	01/19/2008	12:34:16	449-12345-1-2	763	0	100	
Select	Buy	100	RIMM	MKT	Day	Cancel Pending	01/19/2008	12:34:16	449-12345-1-2	763	0	100	
Select	Sell	100	RIMM	MKT	Day	Cancel Pending	01/19/2008	12:34:16	449-12345-1-2	763	0	100	
Select	Sell	100	RIMM	MKT	Day	Pending	01/19/2008	12:34:16	449-12345-1-2	763	0	100	
Select	Sell	100	RIMM	MKT	Day	Pending	01/19/2008	12:34:16	449-12345-1-2	763	0	100	
Select	Buy	100	RIMM	MKT	Day	Pending	01/19/2008	12:34:16	449-12345-1-2	763	0	100	
Select	Buy	100	RIMM	MKT	Day	Pending	01/19/2008	12:34:16	449-12345-1-2	763	0	100	
Select	Sell	100	RIMM	MKT	Day	Pending	01/19/2008	12:34:16	449-12345-1-2	763	0	100	

Group

Go To: Balances Go

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen 80.3 Order List 5:19 PM

80.5.0.1: Multiple Order Entry - Order Verification

NextGen

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Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Multiple Orders - Order Verification

1 Order Verification 2 Enter Password 3 Order Confirmation

Total Number of Orders: 4

	Order Summary	Account #	Name	Est. Price & Comm.	Messages	
Send Order	Buy, 100, IBM, MKT, DayOrder, Cash Hold/Street Name, UnSol, AON, MMA, EMP, Employee Stock Purchase, AVGPX=0, T&P...	12345678	Jane Lorem Ipsum-Smith	Ask 138.79 – ENC \$139,900 – EST COMM \$1,1010 23 JAN 2008 03:39:15 PM	Edit check for duplicate orders is not available	>> Details
Select	Buy, 100, IBM, MKT, DayOrder, Cash Hold/Street Name, UnSol, AON, MMA, EMP, Employee Stock Purchase, AVGPX=0, T&P...	12345678	Jane Lorem Ipsum-Smith	Ask 138.79 – ENC \$139,900 – EST COMM \$1,1010 23 JAN 2008 03:39:15 PM	Edit check for duplicate orders is not available	>> Details
Stop Order	Buy, 100, IBM, MKT, DayOrder, Cash Hold/Street Name, UnSol, AON, MMA, EMP, Employee Stock Purchase, AVGPX=0, T&P...	12345678	Jane Lorem Ipsum-Smith	Ask 138.79 – ENC \$139,900 – EST COMM \$1,1010 23 JAN 2008 03:39:15 PM	Edit check for duplicate orders is not available	>> Details
Select	Buy, 100, IBM, MKT, DayOrder, Cash Hold/Street Name, UnSol, AON, MMA, EMP, Employee Stock Purchase, AVGPX=0, T&P...	12345678	Jane Lorem Ipsum-Smith	Ask 138.79 – ENC \$139,900 – EST COMM \$1,1010 23 JAN 2008 03:39:15 PM	Edit check for duplicate orders is not available	>> Details

Close Send

Go To: Balances Go

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen

80.5.0.1: Multiple Order Entry - Order Verification 5:19 PM

80.5.0.1: Multiple Order Entry - Enter Password

NextGen

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Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Multiple Orders - Enter Password

1 Order Verification 2 Enter Password 3 Order Confirmation

* Required Field

* Password: Authorizing FA:

Close Send

Are you sure you would like to cancel out of the ordering process?

No Yes

Go To: Balances Go

ALL ^ EQTY EXEC RECD ORDR BIDS REQ

start NextGen

80.5.0.1: Multiple Order Entry - Order Verification 5:19 PM

Citi Global Wealth Management

80.6.2.1: Mutual Fund Order Entry - VSP/Taxlots

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Port Minder

Versus Purchase Allocation

Symbol/CUSIP: 2987063000 Description: Lorem ipsum dolor sit amet As Of: 09/22/2008

Please select either VSP Method or Taxlots Allocation:

VSP Method

Report Group: ☐ FIFO ☐ LIFO ☐ Versus Highest Cost ☐ Versus No Cost

Available Taxlots

Instructional text relating to section

☐	Source	Trade	Term	Quantity	Price	Cost Basis	Gain/Loss %
☒	SB	MM/DD/YYYY	LT	0,000,000	0,000,000	763	0
☒	SB	MM/DD/YYYY	LT	0,000,000	0,000,000	763	0
☒	SB	MM/DD/YYYY	LT	0,000,000	0,000,000	763	0
☐	SB	MM/DD/YYYY	LT	0,000,000	0,000,000	763	0

Add Lot

Taxlots Allocated

☐	Trade Date	Quantity	Purch Px
☐	MM/DD/YYYY	0,000,000	0,000,000
☐	MM/DD/YYYY	0,000,000	0,000,000
☐	MM/DD/YYYY	0,000,000	0,000,000
☐	MM/DD/YYYY	0,000,000	0,000,000
☐	MM/DD/YYYY	0,000,000	0,000,000
☐	MM/DD/YYYY	0,000,000	0,000,000

Ticket Quantity: 00,000 **Allocated Quantity: 00,000**

Clear Selected Rows **Clear All Rows**

Close Save

Go To: Balances

ALL ^

start

NextGen

80.6.2.1: Mutual Fund Order Entry - Versus Purchase Allocation

5:19 PM

80.9.2: Phone Order Entry - Sell

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Phone Order Block Ticket ▲ Please enter quantity Conditional message lorem ipsum dolor Quid euisdmod dolorum est... Live | May 5, 2008

> **FirstName Lorem Ipsum LastName** **10-A-0057-10-099** Cashless Exec Account Value: **\$00,000,000.00**

* Action: **SELL** * Quantity: * Symbol: **CSCO** Price: **MKT** Price Qualifier: **0** Avg Price: **0** Net/Agy: **AGY**

Time in Force: **DAY** Security Description: ☒ Not held MDY JUN08 160 * Sol/Unsol: **SOL** Special Instructions: **Random** Allocation Method: **Random**

Branch #: **123456** Account Base: **123456** Type: **1 - Cash** FA: **763** IA Code: **Regular Way** Settlement: **Regular Way** Bid: **2.45** Ask: **26.55**

Open/Close: Trader Instructions, Trader Name, FA Name, Phone #: Trader Initials:

Received By

ID/Name: **4499271** Logon, NextGen Test Date: Time (EST): Authorizing Party: **Custom Control Account**

☒ Check to confirm client receipt information

	Quantity	* Branch # - Account #	Type	FA	Disposition	Disc/SC	Dsc/Dne	VSP	Confirm Trailer	Attest
1	Delete I	500	449-5486D	1-Cash		F-Hold Proceeds				Yes
2	Delete	100	Required							
3										
4										
5										
6										

Quick Tab Fill Column Add Row Working List Summary **S** Orders Sent: 0 **I** Incomplete or Rejected: 0 **R** Ready: 3 **Send**

Go To: **Balances** Go

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen 80.9.2: Phone Order Entry Sell 5:19 PM

81.1.1: Phone Order Entry-Phone Order Working List

NextGen

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Working List - Phone Order

View List: **Saved List 1**

Name of List, Criteria criteria criteria criteria **Customize** 000 records found as of Nov 16, 2007

☐	Account	FA#	Name	Phone	Quantity	Cov/Uncov	Unit Cost	Cost Basis
☒	449-0AG00	449-000	Jane Smith	555-123-4567	135.00		\$110.50	\$171,200.00
☒	449-0AG00	449-000	Robert Jones	555-123-4567	135.00		110.50	171,200.00
☒	449-0AG00	449-000	Rebecca Sanchez	555-123-4567	135.00		110.50	171,200.00
☐	449-0AG00	449-000	Jane Smith	555-123-4567	135.00		110.50	171,200.00
☒	449-0AG00	449-000	Robert Jones	555-123-4567	135.00		110.50	171,200.00
☒	449-0AG00	449-000	Rebecca Sanchez	555-123-4567	135.00		110.50	171,200.00
☒	449-0AG00	449-000	Jane Smith	555-123-4567	135.00		110.50	171,200.00
☒	449-0AG00	449-000	Robert Jones	555-123-4567	135.00		110.50	171,200.00
☒	449-0AG00	449-000	Rebecca Sanchez	555-123-4567	135.00		110.50	171,200.00
☐	449-0AG00	449-000	Jane Smith	555-123-4567	135.00		110.50	171,200.00
☒	449-0AG00	449-000	Robert Jones	555-123-4567	135.00		110.50	171,200.00
☐	449-0AG00	449-000	Rebecca Sanchez	555-123-4567	135.00		110.50	171,200.00
☒	449-0AG00	449-000	Jane Smith	555-123-4567	135.00		110.50	171,200.00
☒	449-0AG00	449-000	Robert Jones	555-123-4567	135.00		110.50	171,200.00
☐	449-0AG00	449-000	Rebecca Sanchez	555-123-4567	135.00		110.50	171,200.00
☒	449-0AG00	449-000	Jane Smith	555-123-4567	135.00		110.50	171,200.00
☒	449-0AG00	449-000	Robert Jones	555-123-4567	135.00		110.50	171,200.00

11 Selected ☒ Private

Add Row **Delete List** **New List** **Save List As** **Save Changes** **Create Buy Phone Order** **Create Sell Phone Order**

Go To: **Balances** **Go**

ALL **EQTY** **EXEC** **RECD** **ORDR** **BIDS** **REQ**

start **NextGen** **81.1.1 Phone Directory List** **5:19 PM**

90.2.16: Book: Account Rankings

NextGen

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Account Rankings Print Export Search Filter Help

HHold Return on Asset, Sorted by ROA (Des)

View: **Return on Assets** By: ☐ Accounts ☒ Households 38 records found as of June 27, 2008

Rank	Account	FA	Name	Last 12-Month Commission	12-Month Average Assets	ROA
1	Lead Account Name			\$00,000.00	\$00,000.00	1.0
	000-0000A-11	005	Susan Smith	00,000.00	00,000.00	1.0
	000-0000A-22	005	Robert Smith	00,000.00	00,000.00	1.0
	000-0000A-33	005	Christopher Smith	00,000.00	00,000.00	1.0
2	Lead Account Name			00,000.00	00,000.00	1.0
	111-2222A-33	112	Richard Butler	00,000.00	00,000.00	1.0
	111-2222A-44	112	Shannon Butler	00,000.00	00,000.00	1.0
3	Lead Account Name			00,000.00	00,000.00	1.0
4	Lead Account Name			00,000.00	00,000.00	1.0
5	Lead Account Name			00,000.00	00,000.00	1.0
6	Lead Account Name			00,000.00	00,000.00	1.0
7	Lead Account Name			00,000.00	00,000.00	1.0
	222-3333B-47	078	Neil Tennant	00,000.00	00,000.00	1.0
	222-3333B-99	078	Neil Tennant	00,000.00	00,000.00	1.0
8	Lead Account Name			00,000.00	00,000.00	1.0
9	Lead Account Name			00,000.00	00,000.00	1.0
10	Lead Account Name			00,000.00	00,000.00	1.0
11	Lead Account Name			00,000.00	00,000.00	1.0
	333-4444C-55	313	Shirley Thompkins	00,000.00	00,000.00	1.0

Totals: Accounts: 38 Household: 33 Last 12Mth Comm: \$000,000.00 12 Mth Avg. Asset: \$000,000.00

Go To: Balances Go

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen 90.2.16 Book-Account Rankings 5:19 PM

90.3.1: Electronic Book

NextGen

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Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Electronic Book

Filter

Account or FA: ☐ Account 00000000 ☐ FA BR: 000 FA: 000 Positions: ☒ All ☐ Security 00000000 Description: Lorem Ipsum

Transaction Type: ☒ All ☐ Buy & Sells ☐ Buy ☐ Sell Date Range: From: MM/DD/YYYY To: MM/DD/YYYY

[View](#)

	Account	T-C	Date	Description/Activity Type	Security Description	Quantity	Price	Cost/Proceed
Jane Smith								
Select	000-0000A-00	1.7	04/21/2008	Lorem Ipsum	Lorem Ipsum	00,000.00	\$00,000.00	\$00,000.00
Select	000-0000A-00	1.7	04/21/2008	Lorem Ipsum	Lorem Ipsum	00,000.00	00,000.00	00,000.00
Select	000-0000A-00	1.7	04/21/2008	Lorem Ipsum	Lorem Ipsum	00,000.00	00,000.00	00,000.00
Jane Smith								
Select	111-2222A-33	1.7	04/21/2008	Lorem Ipsum	Lorem Ipsum	00,000.00	00,000.00	00,000.00
Select	111-2222A-44	1.7	04/21/2008	Lorem Ipsum	Lorem Ipsum	00,000.00	00,000.00	00,000.00
Jane Smith								
Jane Smith								
Jane Smith								
Jane Smith								
Select	222-3333B-47	1.7	04/21/2008	Lorem Ipsum	Lorem Ipsum	00,000.00	00,000.00	00,000.00
Select	222-3333B-47	1.7	04/21/2008	Lorem Ipsum	Lorem Ipsum	00,000.00	00,000.00	00,000.00
Select	333-4444C-55	1.7	04/21/2008	Lorem Ipsum	Lorem Ipsum	00,000.00	00,000.00	00,000.00
Select	914-74512	1.7	04/21/2008	Lorem Ipsum	Lorem Ipsum	00,000.00	00,000.00	00,000.00
Select	851-98989	1.7	04/21/2008	Lorem Ipsum	Lorem Ipsum	00,000.00	00,000.00	00,000.00

Go To: Balances

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen 90.3.1 Book: Electronic Book 5:19 PM

90.4.2: Book: Reorg Confirm

NextGen

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Reorg Confirm

Reorg Confirm (Single) ?

Name: Jane Smith and John Smith
Address: 100 Main Street
San Jose, CA 00000
Account: 000-00000-00

Due to a Merger, you were exchanged from:

Lorem ipsum dolor sit amet, consectetur adipisicing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam, quis nostrud exercitation ullamco laboris nisi ut aliquip ex ea commodo consequat.

Date: October 19, 2007
Quantity: 00.00
Symbol: AAA
CUSIP: 000000000000
Sec Num: A00000000

In Exchange, you received:

Date	Description	Quantity	Amount
	Cash		\$000,000.00
Totals:			\$000,000.00

>> Client Confirm

< > Close

Go To: Balances > Go

ALL ^ EQTY EXEC RECD ORDR BIDS REQ

start NextGen 90.4.2_Book Confirms_Reorg 5:19 PM

110.1.3: Tools: Commission Calculator

NextGen													
<u>F</u> ile	<u>E</u> dít	Scheduling	C <u>o</u> n tact	A <u>a</u> c count	S <u>e</u> c u r e t y	R <u>e</u> s e a r c h	O <u>r</u> d er	B <u>o</u> k	S <u>e</u> r v i c e s	T <u>o</u> o l s	M <u>a</u> n a g e r	<u>U</u> tí l í t y	H <u>e</u> p
[Home]	[Settings]	Schedule	PosXRef	Client List	HH Accts	Funds Avail	Buy	Tasks	Tax Lots	Tax Lots	HH Notes	Mat Secs	Port Minder
[Back]	[Forward]	Profile	Balances	Holdings	Activity	Notes	Sell	GLAS	HH Bals	HH Bals	Stmt		
Commission Calculator											[Print] [Export] [Refresh] [Help]		
Account Type: ☒ Standard ☐ Standard (IRA/Keough) ☐ Employee ☐ Employee (IRA/Keough) ☐ Fee-based													
Reporting Currency USD													
	Buy / Sell	Stock / Option	Quantity	Symbol	Prc / Prem	Disc	CPS	Principal	Comm / Credit	Net Amount			
[Calendar]	Buy	Stock	50	APPL	100.00		2.210	\$-5,000.00	-\$110.50	-\$5,110.50			
[Calendar]	Sell	Option	400	APPL	27.50		33.163	1,100,000.00	-13,265.00	1,086,718.17			
[Calendar]	[Dropdown]									=			
[Calendar]													
[Calendar]													
[Calendar]													
[Calendar]													
[Calendar]													
[Calendar]													
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[Calendar]													
[Calendar]													
[Calendar]													
[Calendar]													
[Calendar]													
[Calendar]													
[Calendar]													
[Calendar]													
Totals:								\$1,095,000.00	-\$2,000.00	\$1,081,607.67			

Note: Accuracy dependent upon current market data quotes. Please verify data prior to entering orders. Confirm charges are not included.

Go To: Balances [v] [] Go

ALL ^ EQTY EXEC RECD ORDR BIDS REQ

110.1.3: Tools: Commission Calculator Worksheet

[illegible]

120.1: Manager Top Positions - Rollup Branch Filter

The screenshot shows the NextGen application window with the Manager Top Positions dialog box open. The dialog box has a title bar and a menu bar. The main content area is divided into sections: Filter Criteria, Positions, and Rollup. The Filter Criteria section has a list of asset classes, with 'Equities' selected. The Positions section has radio buttons for 'All', 'Mgd', 'PM/GPM', 'Other', and 'Not Mgd'. The Rollup section has radio buttons for 'FA' and 'Branch', with a dropdown menu showing '204 LA Citigroup Ctr, CA'. The dialog box has 'Cancel' and 'View' buttons at the bottom.

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Manager Top Positions

Filter Criteria ?

View:

- Equities
- Equities Short
- Preferred Stocks
- Municipal Bonds
- Corporate Bonds
- Government Bonds
- Limited Partnership
- Alternative Investments
- Mutual Funds
- Closed End Funds
- Options
- Unit Investment Trusts
- Money Market Funds
- Certificate of Deposits
- Mortgage Backed Securities
- Other

Positions:

☒ All ☐ Mgd ☐ PM/GPM ☐ Other ☐ Not Mgd

Rollup:

☐ FA ☒ Branch 204 LA Citigroup Ctr, CA

Cancel View

Go To: Balances > Go

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen

120.1 Manager TOP - Rollup Branch Filter 5:19 PM

120.2.3: Manager Position Xref

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Settings Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Manager Position XRef

Find

Symbol, CUSIP, or Sec Num **View** **Advanced Find**

Western Asset US Money Market Fund A Dist (G)

Symbol: ALTR Closing Price: 46.030 as of Dec 9, 2007 Rating: 1H as of Nov 11, 2007
 CUSIP: 12345678901 Reinvestment eligible Mean: 1.8
 Sec Num: A123456 Analyst: Yeung Glen

Accounts: All (59) Position Type: ☒ All ☐ Long ☐ Short Rollup: ☒ BR ☐ FA Branch **View**

Manager PosXRef | Reporting Currency USD | Customize 000,000 records found as of June 27, 2008

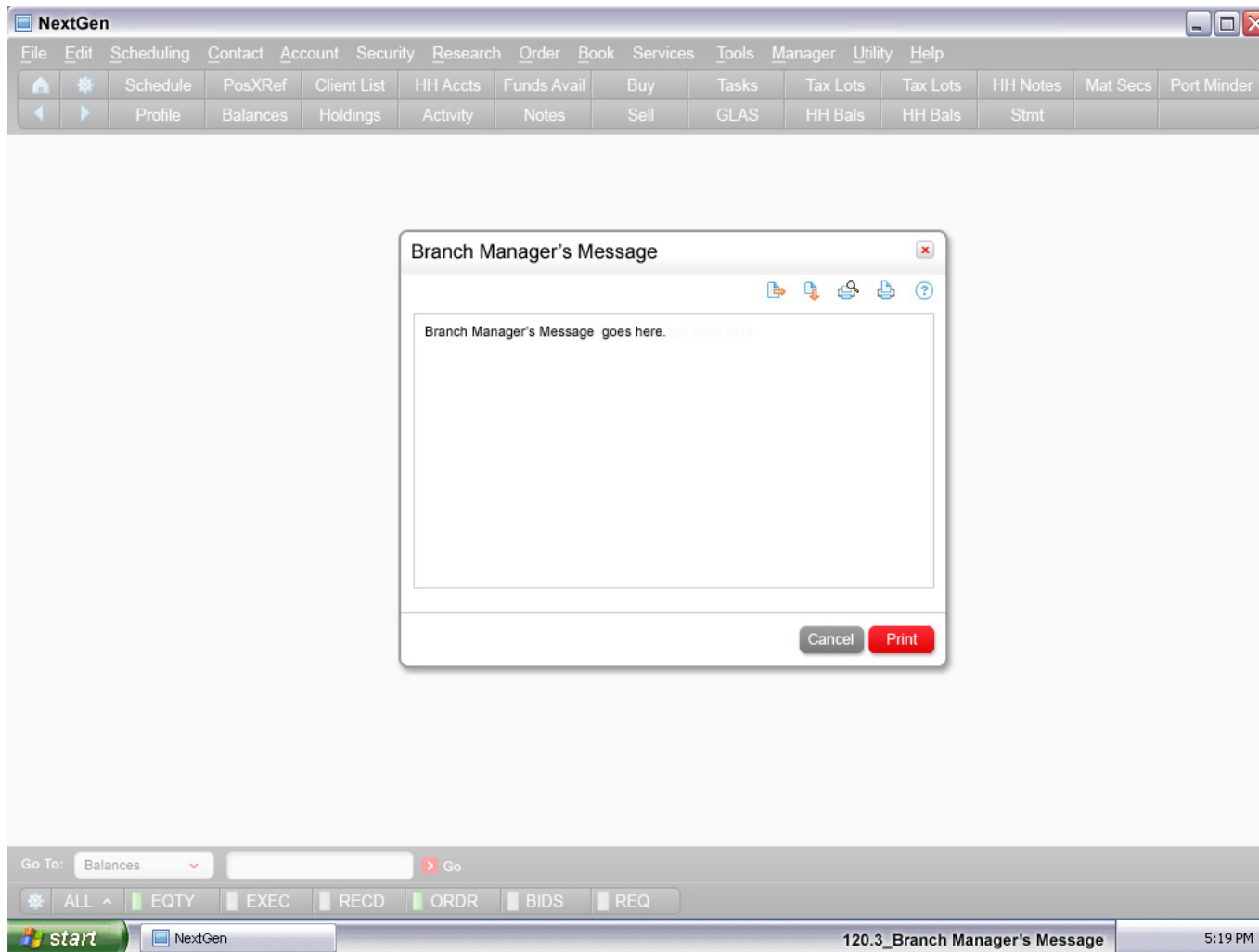
BR-FA #	Name	# Accounts	Long Quantity	Short Quantity	Long Market Value	Short Market Value
424-002	Jane Smith	3	0.00	0.00	\$0.00	\$0.00
424-002	Allyne Foulkes-Rodriguez	4	0.00	0.00	0.00	0.00
424-002	John Doe	3	0.00	0.00	0.00	0.00
424-002	Jane Smith	4	0.00	0.00	0.00	0.00
424-002	Allyne Foulkes-Rodriguez	3	0.00	0.00	0.00	0.00
424-002	John Doe	4	0.00	0.00	0.00	0.00
424-002	Jane Smith	1	0.00	0.00	0.00	0.00
424-002	Allyne Foulkes-Rodriguez	6	0.00	0.00	0.00	0.00
424-002	John Doe	7	0.00	0.00	0.00	0.00
424-002	Jane Smith	2	0.00	0.00	0.00	0.00
424-002	Allyne Foulkes-Rodriguez	3	0.00	0.00	0.00	0.00
424-002	John Doe	1	0.00	0.00	0.00	0.00
Totals:			\$00.00	\$00.00	\$00.00	\$00.00

Go To: Balances **Go**

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen 120.2.3_ManagerXRef_Fanum 5:19 PM

120.3: Branch Manager's Message



120.5: Branch Manager Household Notes

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Settings Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Branch Manager Household Notes

> FirstName Lorem Ipsum LastName 10-A-0057-10-099 Lead Reserved Level: Select

▼ Filter

View: ☒ NextGen Manager Notes ☒ Portal Manager Notes

Display Note Type: ☒ Notes ☒ Schedules ☒ Emails ☒ Calls ☒ MKT CTR- Invitations ☒ MKT CTR- Lasergrams ☒ Accounts ☒ Notes Order Entry ☒ Tasks ☒ Mail Merges ☒ Faxes ☒ MKT CTR- Newsletters ☒ MKT CTR- Cards ☒ Prospects

View

Default Manager HH Notes, Sorted by Note Date (Desc) Customize 00 records found as of September 24, 2008

	Done	Date	Type	File	Name	Account	Note	Follow Up	Pri	Entered By
Select ▼	✓	01/19/2008	C		Rober Sanchez	449-67890	Add Task With Follow up	01/19/2008	B2	Jeff Smith
Select ▼	✓	01/19/2008	T		Maria Sanchez	449-67890	Add Task	01/19/2008	B2	Jeff Smith
Select ▼	✓	01/19/2008	S		David Sanchez	449-67890	Add Notes – Manager Notes	01/19/2008	A2	Jeff Smith
Select ▼		01/19/2008	N		Kristen Sanchez	449-67890	Add Notes – Manager Notes	01/19/2008	A	Jeff Smith
Select ▼	✓	01/19/2008	C		Rober Sanchez	449-67890	Add Task With Follow up Lorem Ipsum Dolor lorem ipsum dolor	01/19/2008	B2	Jeff Smith
Select ▼	✓	01/19/2008	T		Maria Sanchez	449-67890	Add Task	01/19/2008	B2	Jeff Smith
Select ▼		01/19/2008	S		David Sanchez	449-67890	Add Notes – Manager Notes	01/19/2008	A2	Jeff Smith
Select ▼		01/19/2008	N		Kristen Sanchez	449-67890	Add Notes – Manager Notes	01/19/2008	A	Jeff Smith
Select ▼		01/19/2008	C		Rober Sanchez	449-67890	Add Task With Follow up	01/19/2008	B2	Jeff Smith
Select ▼		01/19/2008	T		Maria Sanchez	449-67890	Add Task Lorem Ipsum Dolor lorem ipsum dolor	01/19/2008	B2	Jeff Smith
Select ▼		01/19/2008	S		David Sanchez	449-67890	Add Notes – Manager Notes	01/19/2008	A2	Jeff Smith
Select ▼	✓	01/19/2008	N		Kristen Sanchez	449-67890	Add Notes – Manager Notes	01/19/2008	A	Jeff Smith

Add Note Add Task Add Task With Follow Up Add Call

Legend ☒ Completed ☒ Not Completed

Go To: Balances Go

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen 120.5 Branch Manager Household Notes 5:19 PM

120.6: Branch Manager Notes List - All

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Settings Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Manager Notes List

View: Branch: **449 Menlo Park, CA** Date Range: ☒ All ☐ From: MM/DD/YYYY To: MM/DD/YYYY **View**

Instructional Text: Sed ut spiciatis unde omnis iste natus. 000,000,000 records found as of June 27, 2008

+/-	Done	Account	Name/Date Time	Description	Followup	Priority	Entered By
-		000-0A0000-00-000	John Smith				Mary Jones
	✓		04/21/2008 2:00PM ET	Sed ut spiciatis unde omnis iste natus error sit voluptatem			Mary Jones
	✓		04/21/2008 2:00PM ET	Sed ut spiciatis unde omnis iste natus error sit voluptatem			Mary Jones
	✓		04/21/2008 2:00PM ET	Sed ut spiciatis unde omnis iste natus error sit voluptatem			Mary Jones
-		000-0A0000-00-000	John Smith				Mary Jones
	✓		04/21/2008 2:00PM ET	Sed ut spiciatis unde omnis iste natus error sit voluptatem			Mary Jones
	✓		04/21/2008 2:00PM ET	Sed ut spiciatis unde omnis iste natus error sit voluptatem			Mary Jones
+		000-0A0000-00-000	John Smith				Mary Jones
+		000-0A0000-00-000	John Smith				Mary Jones
+		000-0A0000-00-000	John Smith				Mary Jones
+		000-0A0000-00-000	John Smith				Mary Jones
-		000-0A0000-00-000	John Smith				Mary Jones
	✓		04/21/2008 2:00PM ET	Sed ut spiciatis unde omnis iste natus error sit voluptatem			Mary Jones
	✓		04/21/2008 2:00PM ET	Sed ut spiciatis unde omnis iste natus error sit voluptatem			Mary Jones
+		000-0A0000-00-000	John Smith				Mary Jones
+		000-0A0000-00-000	John Smith				Mary Jones
+		000-0A0000-00-000	John Smith				Mary Jones
-		000-0A0000-00-000	John Smith				Mary Jones
	✓		04/21/2008 2:00PM ET	Sed ut spiciatis unde omnis iste natus error sit voluptatem			Mary Jones

Legend ☒ Completed ☐ Not Completed

Go To: Balances **Go**

ALL ^ EQTY EXEC RECD ORDR BIDS REQ

start NextGen 120.6: Branch Manager Notes List - All 5:19 PM

130.1: Utility - Active FA Number

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Active FA Numbers

Tag and Untag FA Numbers by selecting a checkbox. To Tag/Untag all FA Numbers, select the checkbox within the header.

Default FA: 000-000 Charles Snaveley

Act as: ☒ Branch Manager ☐ FA

Default		FA Number	FA Name
☐	☒	000-000	John Smith
☐	☒	000-000	Mike Jones
☐	☒	000-000	Jamie Lynn
☒	☒	000-000	Oscar Sanchez
☐	☐	000-000	Amy Johnson-Sanchez
☐	☐	000-000	John Smith
☐	☒	000-000	Mike Jones
☐	☒	000-000	Jamie Lynn
☐	☐	000-000	Oscar Sanchez
☐	☒	000-000	Amy Johnson-Sanchez Jr.
☐	☐	000-000	John Smith
☐	☒	000-000	Mike Jones

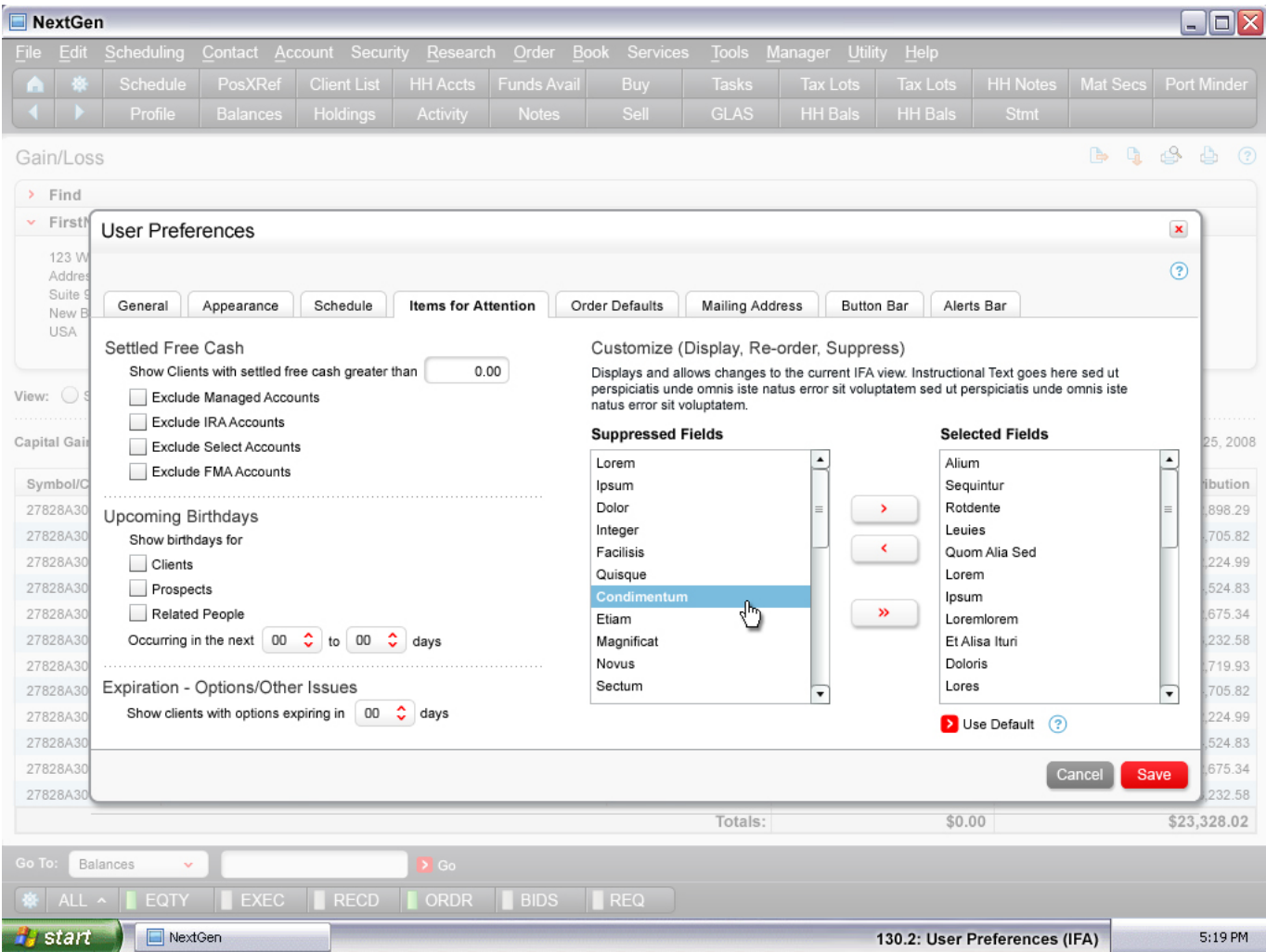
Cancel Apply

Go To: Balances Go

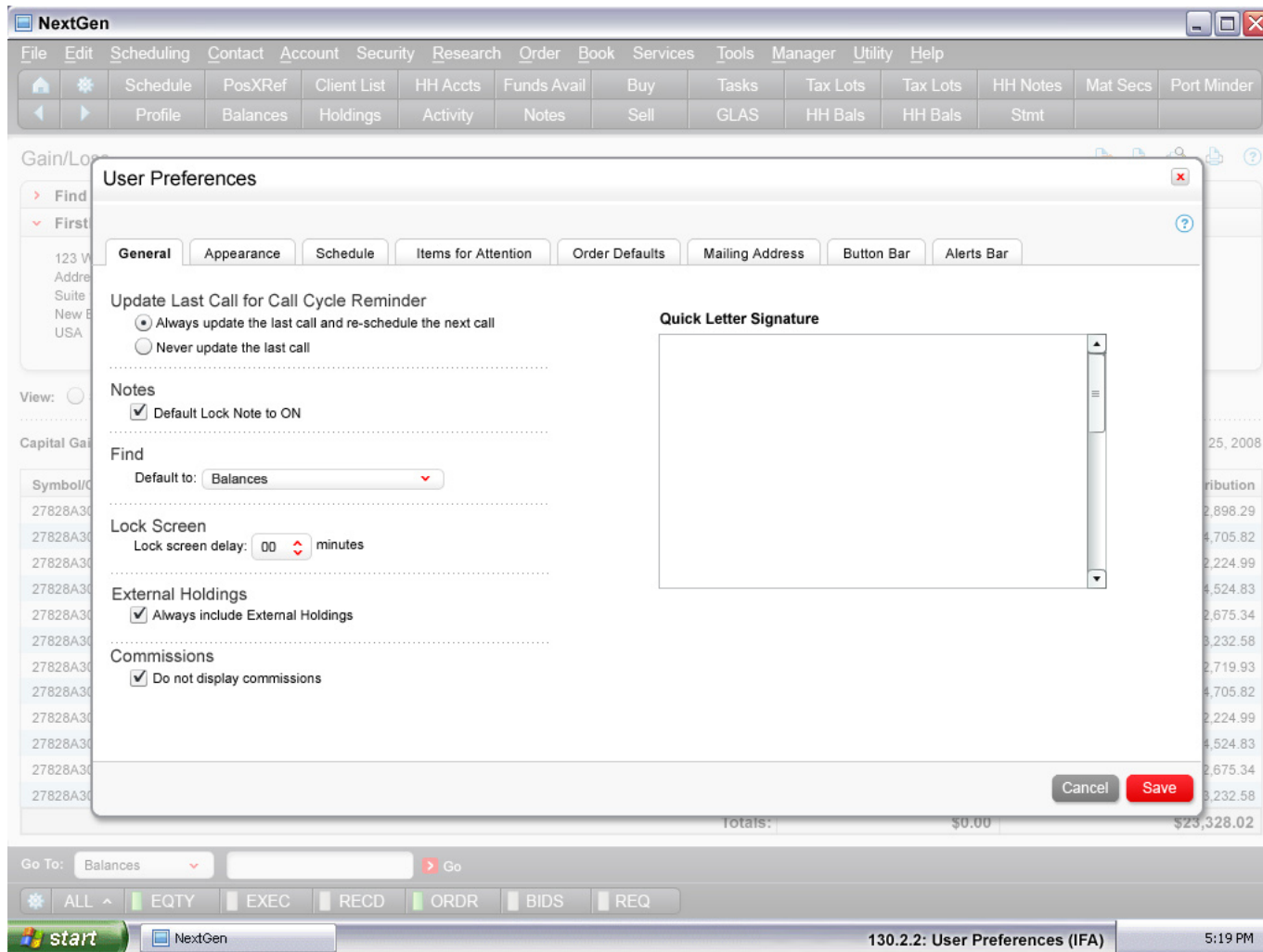
ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen 130.1: Utility-Active FA Number 5:19 PM

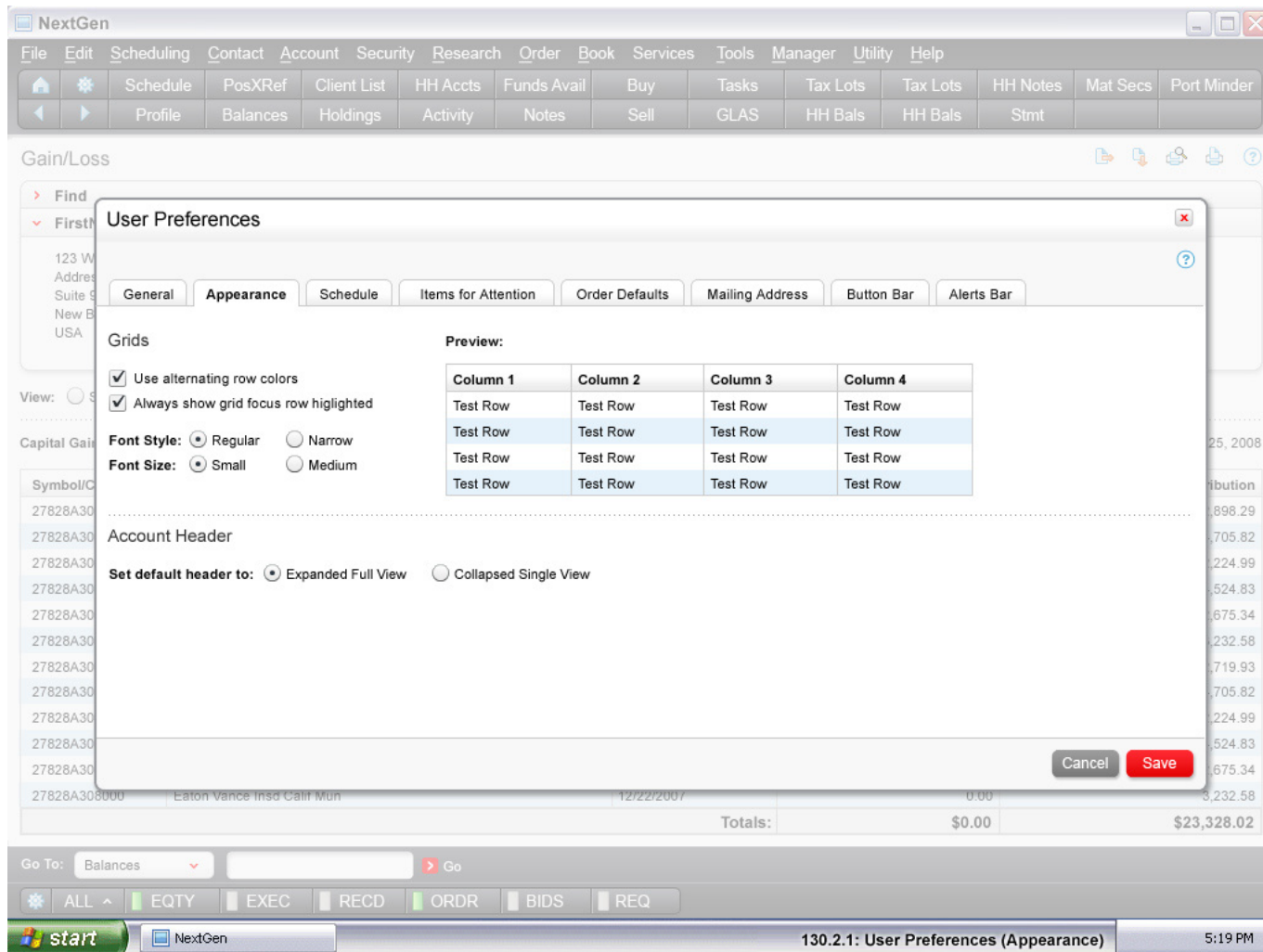
130.2: User Preferences (Items For Attention)



130.2.2: User Preferences (General)

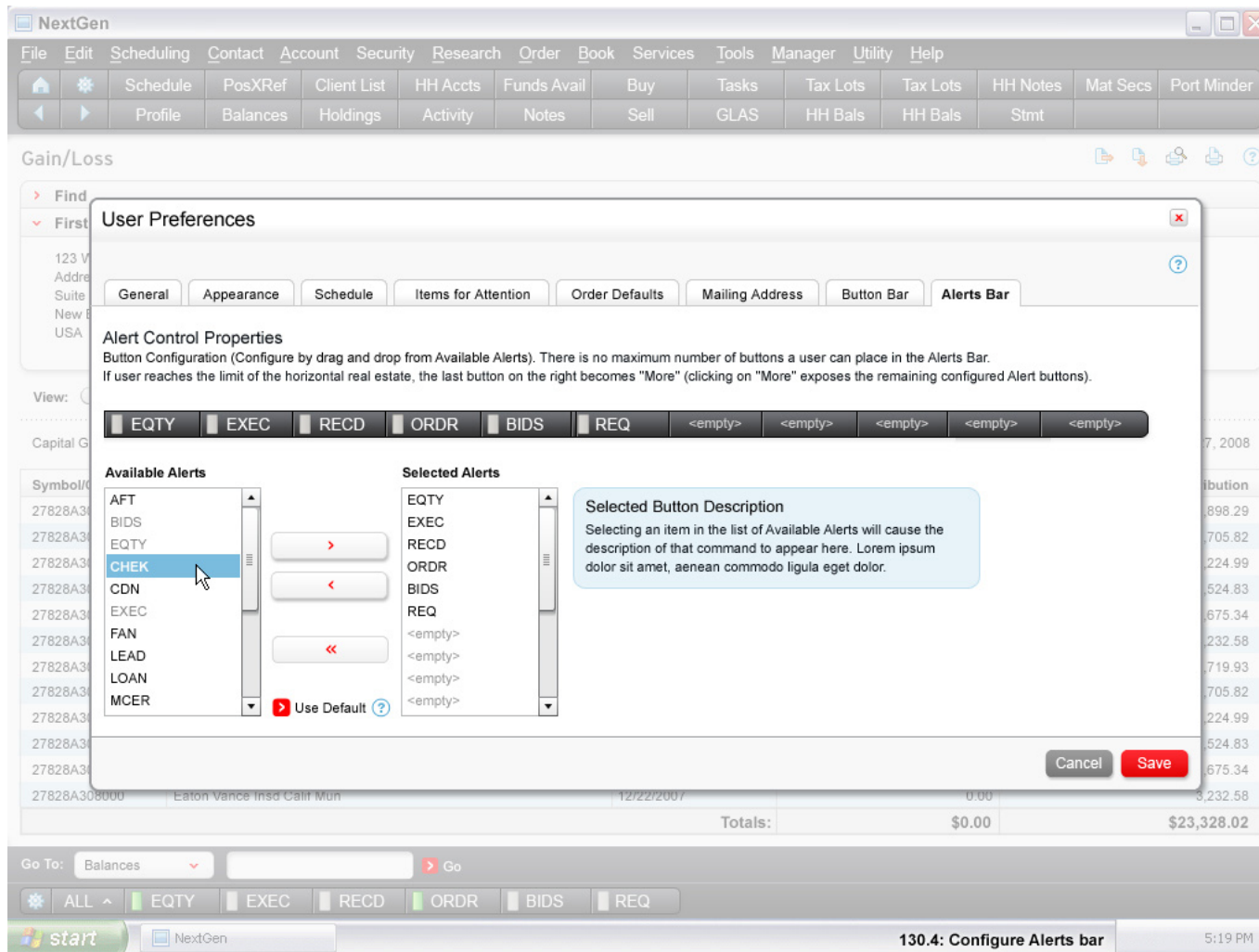


130.2.6: User Preferences (Appearance)





130.4: Alerts Configure



150.6: Sys Admin: Maintain Security: User Config

Maintain Security: User Configuration

Find

	User Name	User Type	Logon ID	QUID	Status
Configure	Firstname Lastname	Sales Assistant	111222333		Active
Configure	Firstname Lastname	System Administrator	444555666	023457986	Active
Configure	Firstname Lastname	Branch Manager	111333555	023457986	Active
Configure	Firstname Lastname	Client Service Associate	222444777	023457986	Revoked
Configure	Firstname Lastname	Sales Assistant	111222333	023457986	Active
Configure	Firstname Lastname	Sales Assistant	444555666	023457986	Active
Configure	Firstname Lastname	System Administrator	111333555		Active
Configure	Firstname Lastname	Branch Manager	222444777	023457986	Active
Configure	Firstname Lastname	Client Service Associate	111222333		Active
Configure	Firstname Lastname	Sales Assistant	444555666	023457986	Revoked
Configure	Firstname Lastname	Sales Assistant	111333555	023457986	Active
Configure	Firstname Lastname	System Administrator	222444777	023457986	Active
Configure	Firstname Lastname	Branch Manager	111222333		Active
Configure	Firstname Lastname	Client Service Associate	444555666		Active
Configure	Firstname Lastname	Sales Assistant	111333555		Active
Configure	Firstname Lastname	Branch Manager	222444777	023457986	Active
Configure	Firstname Lastname	Client Service Associate	222444777		Active
Configure	Firstname Lastname	Sales Assistant	222444777		Active
Configure	Firstname Lastname	Sales Assistant	444555666		Active
Configure	Firstname Lastname	Branch Manager	111333555		Active
Configure	Firstname Lastname	Client Service Associate	222444777		Revoked
Configure	Firstname Lastname	Sales Assistant	222444777		Active

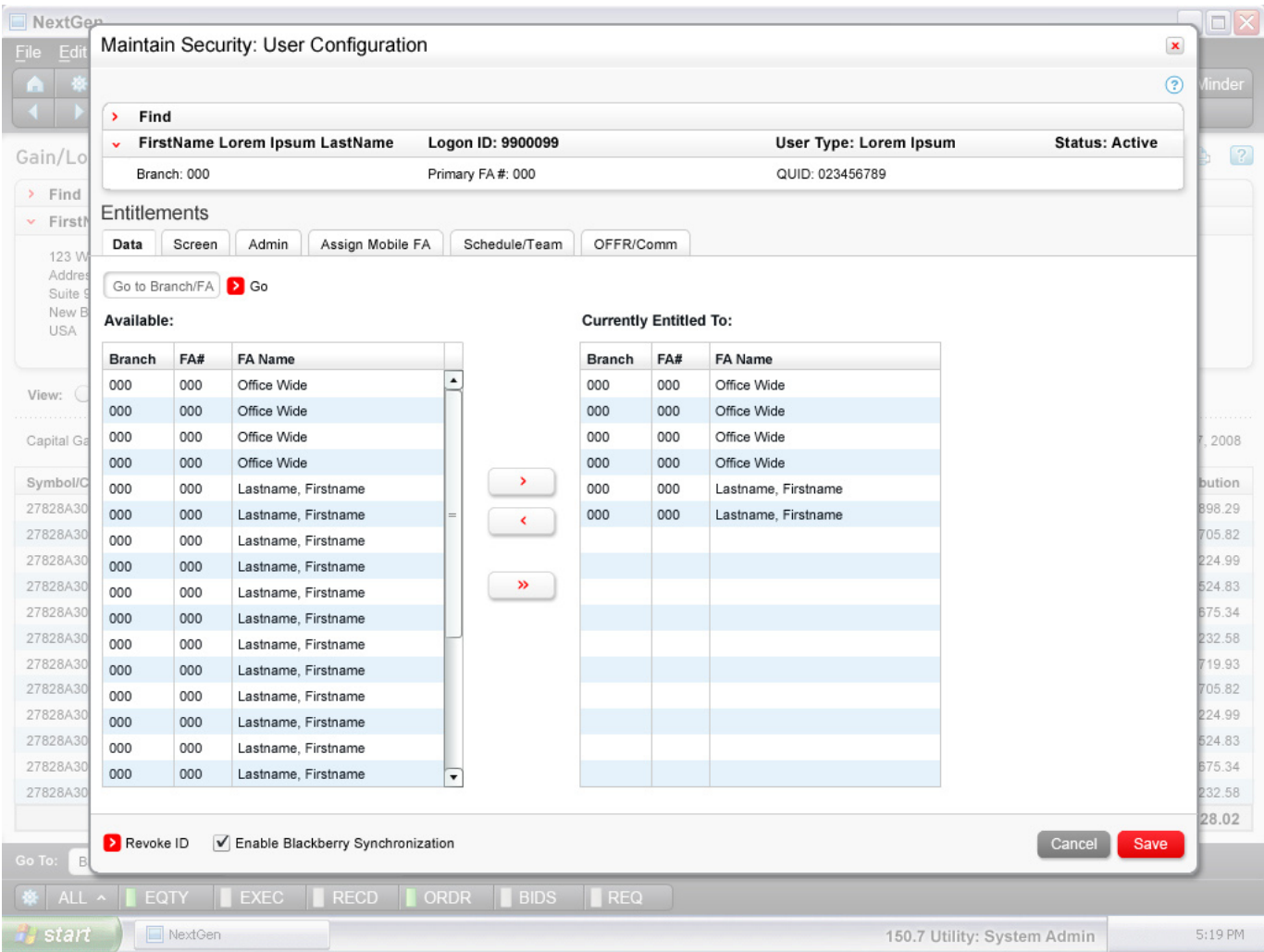
Close

Go To: Balances [] Go

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen 150.6 Sys Admin Maintain Security 5:19 PM

150.7: Sys Admin: Maintain Security: User Config



151.5: Sys Admin: Reassign Prospect

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Reassign Prospect

Remove from:
FA #: 449-007 FA Name:#: Lastname, Firstname

☐ FA Name	Status
☒ Lastname, Firstname	Prospect - A
☐ Lastname-Longname, Firstname	Prospect - A
☒ Lastname, Firstname	Prospect - A
☐ Lastname, Firstname Name	Prospect - A
☒ Lastname, Firstname	Prospect - A
☒ Lastname-Longname, Firstname	Prospect - A
☒ Lastname, Firstname	Prospect - A
☒ Lastname, Firstname	Prospect - A
☒ Lastname-Longname, Firstname	Prospect - A
☐ Lastname, Firstname Name	Prospect - A
☒ Lastname-Longname, Firstname	Prospect - A
☐ Lastname, Firstname	Prospect - A

Reassign to:
FA #: 499-590 FA Name:#: Lastname-Longname, Firstname

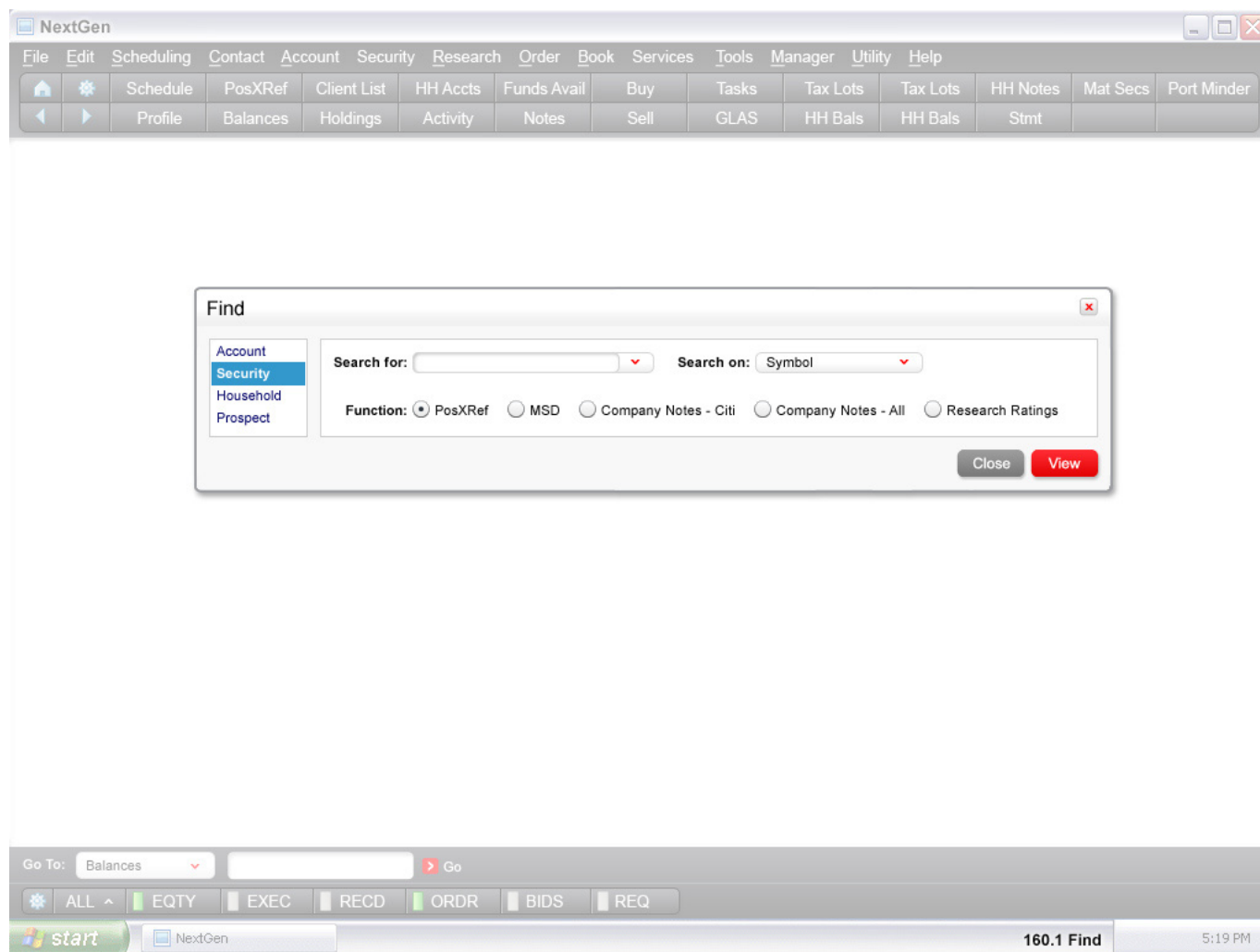
Cancel OK

Go To: Balances > Go

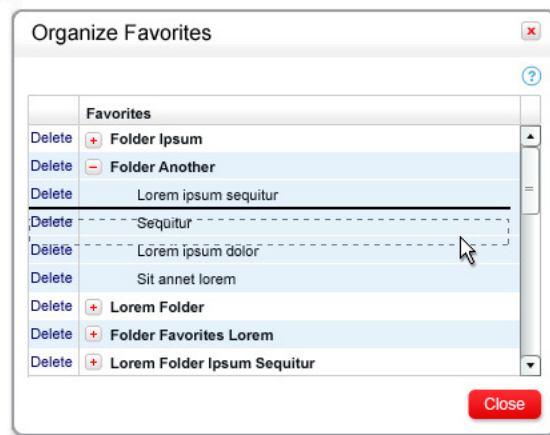
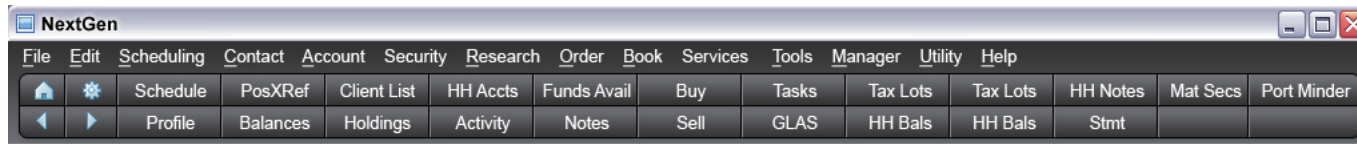
ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen 151.5 Utility: System Administration: Contact Mgmt Maint: Reassign Prospect 5:19 PM

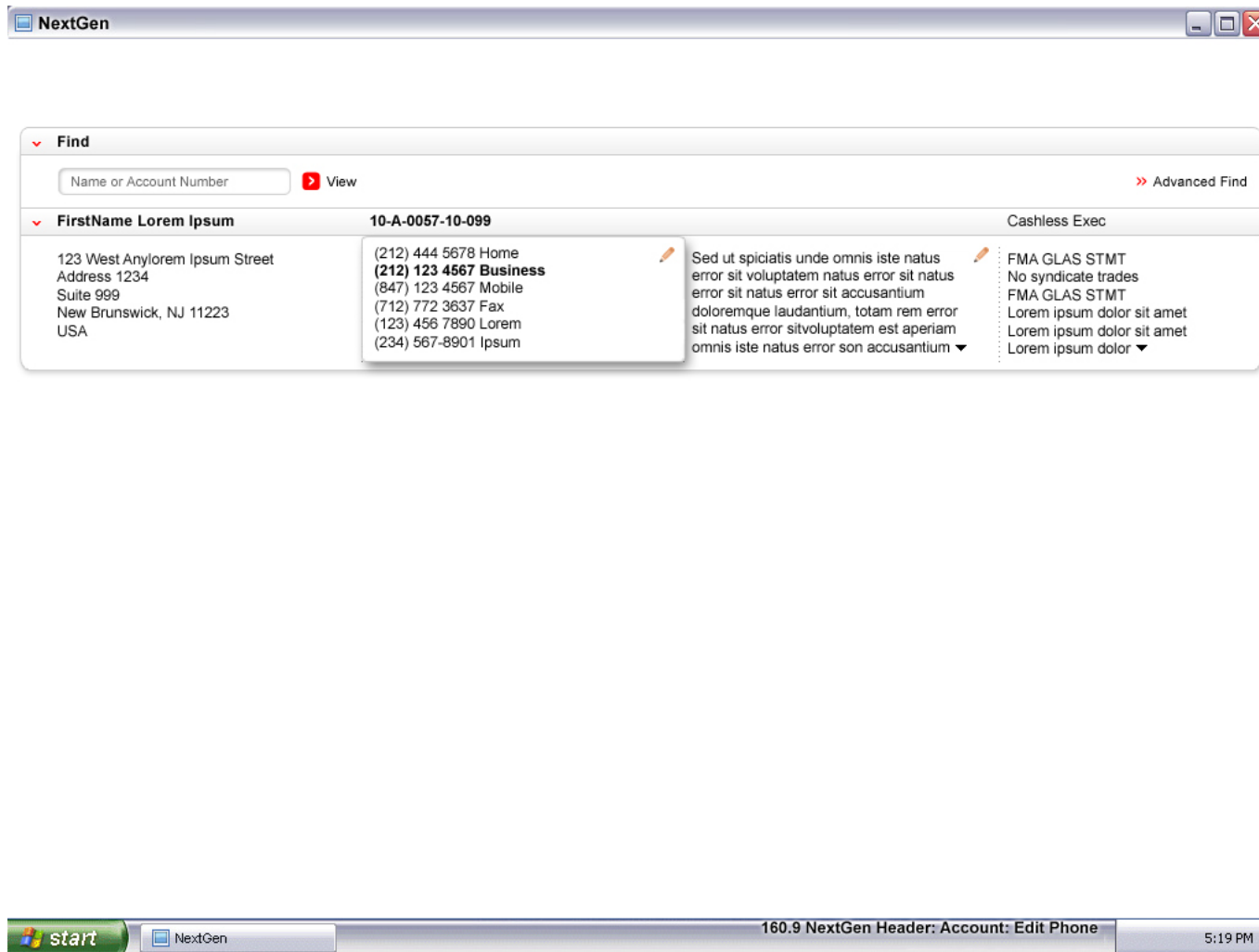
160.1: Find



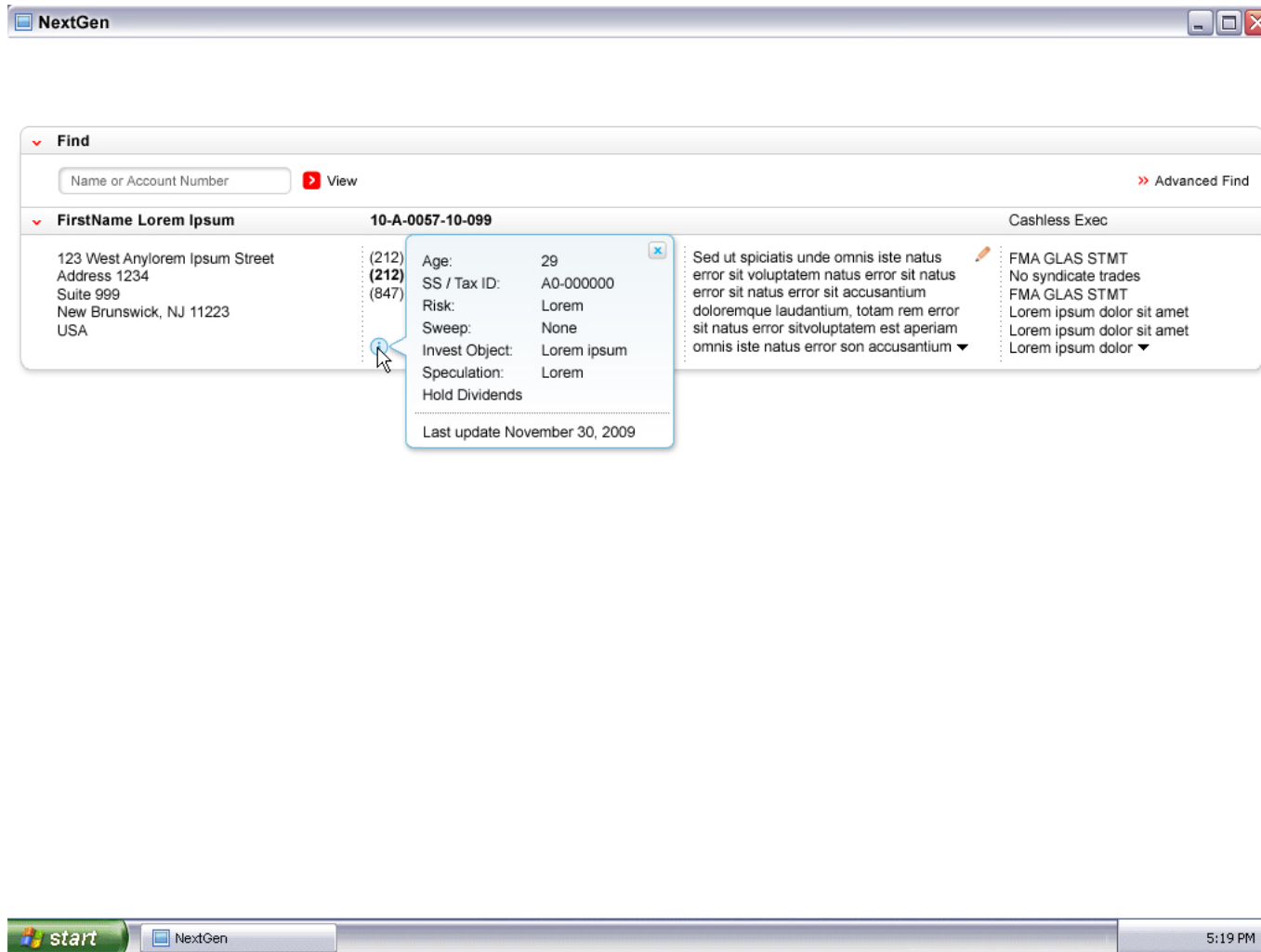
160.5.1: Organize Favorites



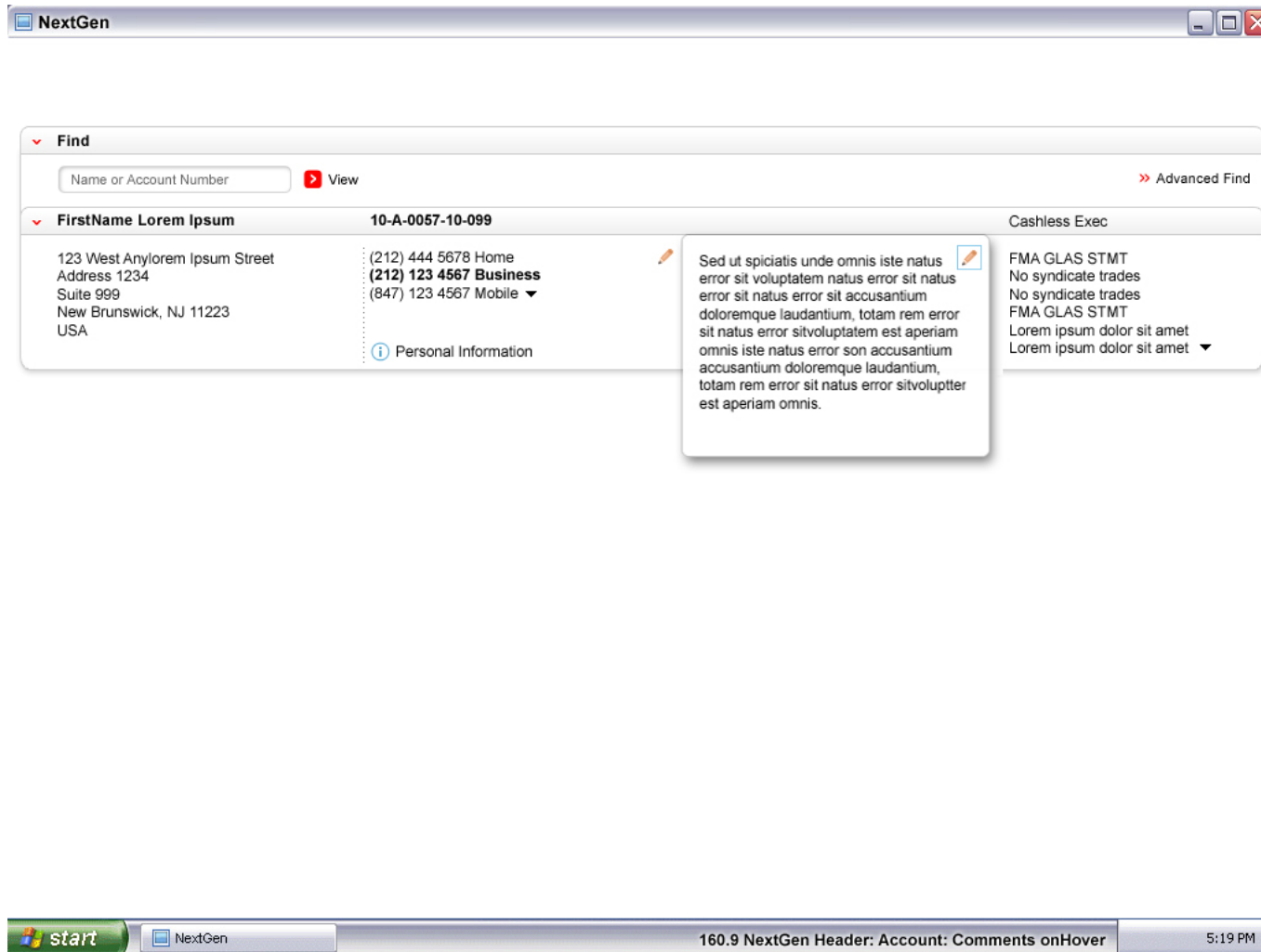
NextGen Header: Telephone Panel onHover



NextGen Header: Info Panel



160.9: NextGen Header: Account: Comments Hover



160.9: NextGen Header: Account: Edit Comments

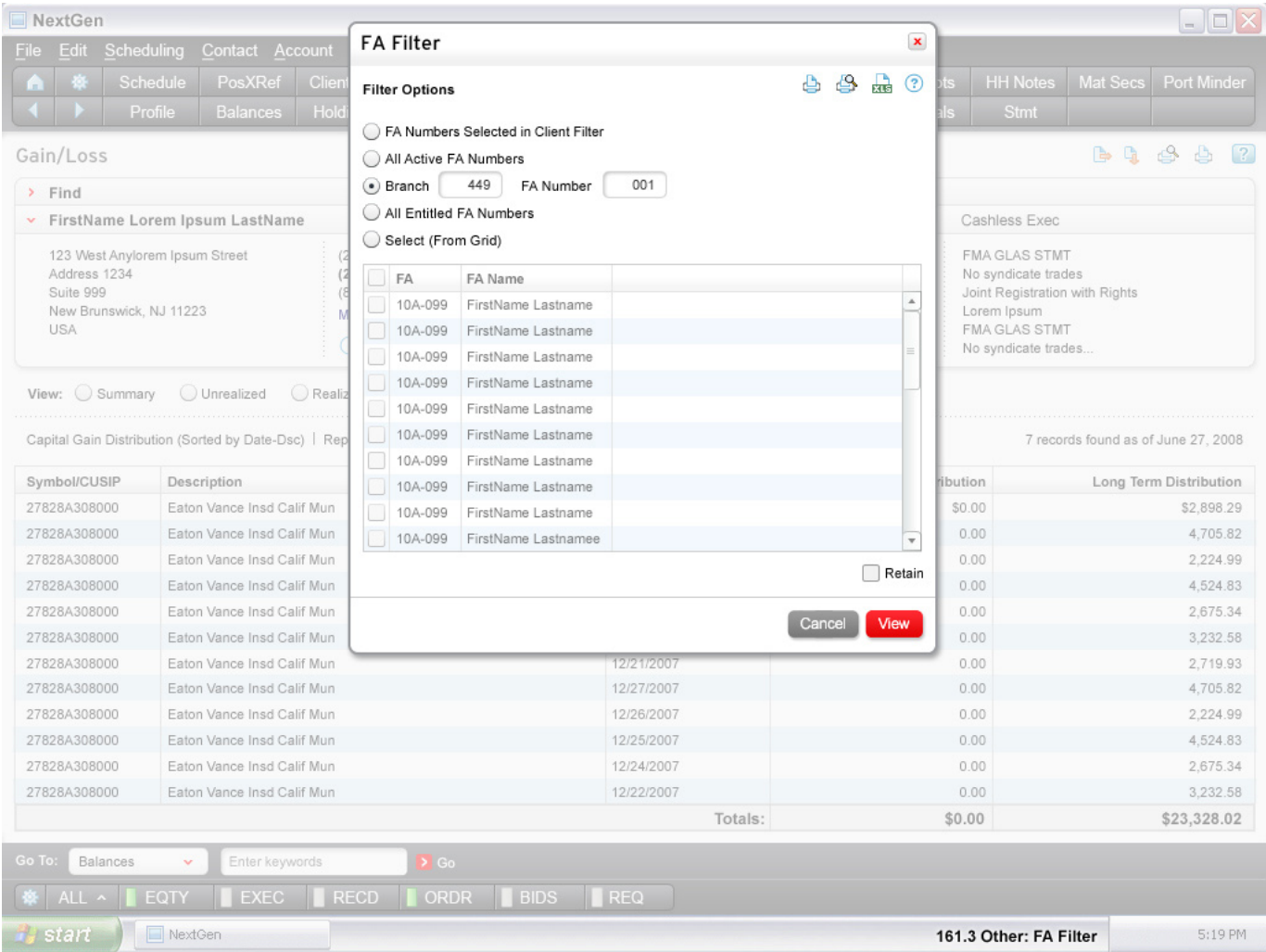
The screenshot displays the NextGen desktop application interface. At the top, a red header bar contains the navigation path: "Citi Global Wealth Management > Online Client Experience > GWM Desktop Visual Design Treatments". Below this, the main window is titled "NextGen".

The "Find" section is active, showing a search bar with the placeholder "Name or Account Number" and a "View" button. To the right, there is a link for "Advanced Find". Below the search bar, a list of account details is displayed. The first entry is for "FirstName Lorem Ipsum" with account number "10-A-0057-10-099". The details include a street address, suite, and city, as well as home, business, and mobile phone numbers. A "Personal Information" link is visible below the contact details.

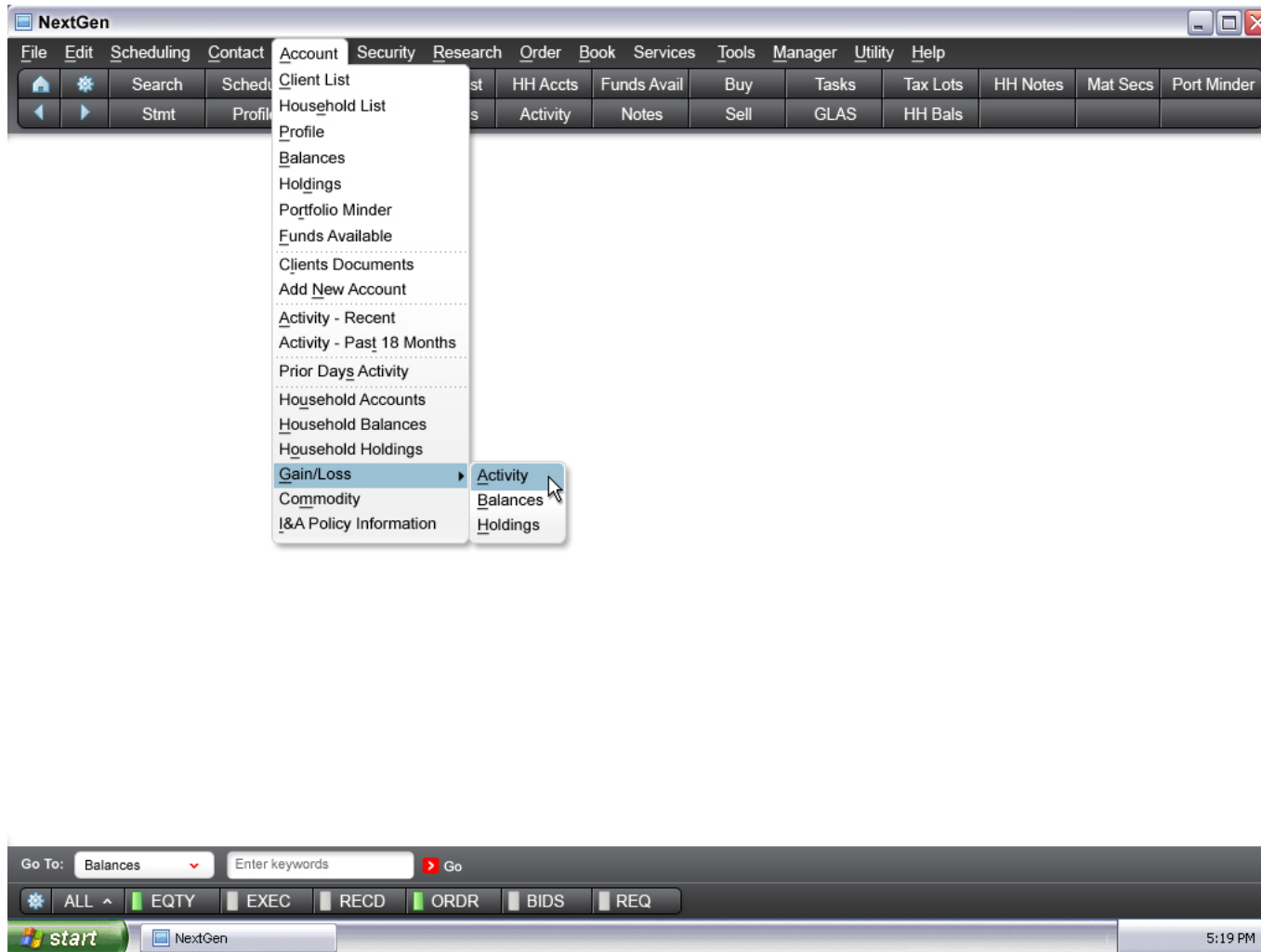
A modal dialog box is open, allowing the user to edit comments. The dialog contains a text area with placeholder text: "Sed ut spiciatis unde omnis iste natus error sit voluptatem natus error sit natus error sit natus error sit accusantium doloremque laudantium, totam rem errc sit natus error sitvoluptatem est aperiar omnis iste natus error son accusantium accusantium doloremque laudantium, totam rem error sit natus error sitvolupt est aperiam omnis." Below the text area are three buttons: "Add from List", "Cancel", and "Save".

The taskbar at the bottom shows the Windows Start button, the NextGen application icon, and the title bar text "160.9 NextGen Header: Account: Edit Comments". The system clock indicates the time is 5:19 PM.

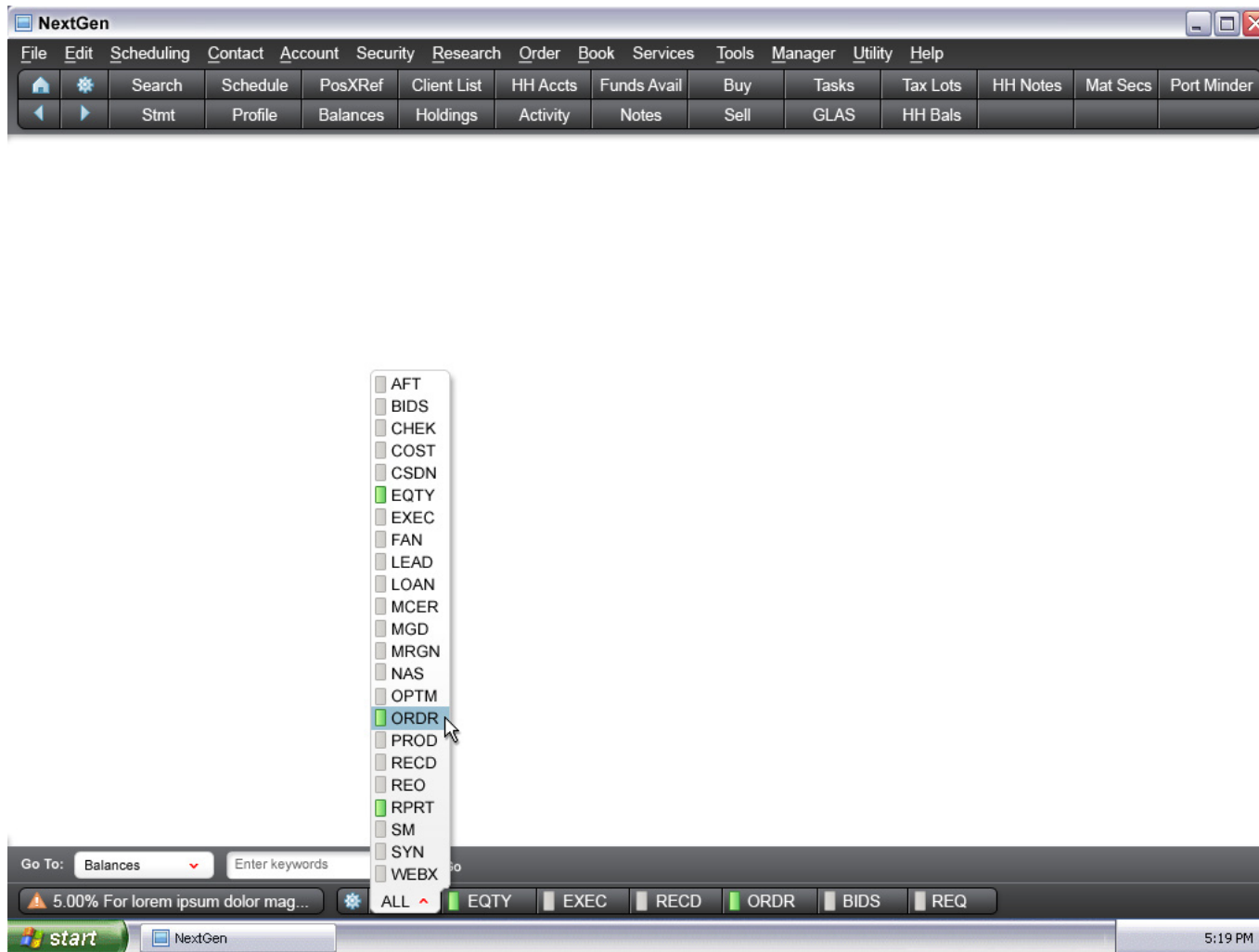
161.3 Other: FA Filter



Application Navigation with Cascading Menu



163.1: Alerts Bar



173.1.2: Asset Appraisal, Report by Product

The screenshot displays the NextGen software interface with a 'Reports' dialog box open. The dialog box is titled 'Reports' and has a close button (X) in the top right corner. It contains the following sections:

- Report Group:** Three radio buttons are present: 'Contact Management' (unselected), 'Portfolio Management' (selected), and 'Custom Report Series' (unselected).
- Reports:** A list box containing the following items: 'Asset Appraisal', 'Asset Appraisal - Basic', 'Balances' (highlighted), 'Bond Maturity Schedule - Details', 'Bond Maturity Schedule - Summary', and 'Bond Maturity Distribution Graph'.
- Asset Appraisal:** Two tabs are visible: 'Preview' and 'Configure' (selected).
- Filter:** Under the 'Holdings' section, there are three checkboxes: 'SB Holdings' (checked), 'External Holdings' (unchecked), and 'Appraisal Report by Product' (checked).
- Format:** Under the 'Sort Order*' section, there are two radio buttons: 'Asset Type, Sector, Description' (selected) and 'Asset Type, Description' (unselected). A note below states: '* Other securities will be sorted by Asset Type, Description'.
- Account:** A text field contains 'Lastname, Firstname 123-12345'. Below it is a 'Find another client' button with a red arrow and a 'Find' button. To the right, there are three radio buttons: 'Account' (selected), 'Household' (unselected), and 'Aggregate' (unselected). Below 'Aggregate' is a 'Select Accounts' button with a red arrow.
- Buttons:** At the bottom of the dialog box are four red buttons: 'Print Report', 'Print Preview', 'Email Report', and 'Fax Report'.

The background interface shows the NextGen menu bar (File, Edit, Scheduling, Contact, Account, Security, Research, Order, Book, Services, Tools, Manager, Utility, Help) and a toolbar with icons for Tax Lots, HH Notes, Mat, and Port Minder. The status bar at the bottom indicates '173.1.2 Asset Appraisal, Report by Product' and the time '5:19 PM'.

183.4.1: IFAs - Household Lead Changes

NextGen

File Edit Scheduling Contact Account Security Research Order Book Services Tools Manager Utility Help

Home Schedule PosXRef Client List HH Accts Funds Avail Buy Tasks Tax Lots Tax Lots HH Notes Mat Secs Port Minder

Profile Balances Holdings Activity Notes Sell GLAS HH Bals HH Bals Stmt

Copy Lead

Lorem ipsum how this works select values you want to keep from either record. Lorem ipsum how this works select values you want to keep from either record. Lorem ipsum how this works select values you want to keep from either record.

	Original Lead Record 10G-0549-16-016	New Lead Record 10G-0549-16-016
Status	☐ Client A	☒ Client A
Call Cycle Freq/Owner	☐ 0	☒ 1
Mailing Address	☐ Citibank Tax Shelter A/C/F Nayan K. Basu 280 Main Road Apartment 18R Jersey City, NJ 07301-3636	☒ Nayan K. Basu, JWTROS 280 Main Road Apartment 18R Jersey City, NJ 07301-3636
Other Address	☐	☒
Comments	☐	☒

Cancel Save

Go To: Balances Enter keywords Go

ALL EQTY EXEC RECD ORDR BIDS REQ

start NextGen 183.4.1 IFAs - Household Lead Change 5:19 PM