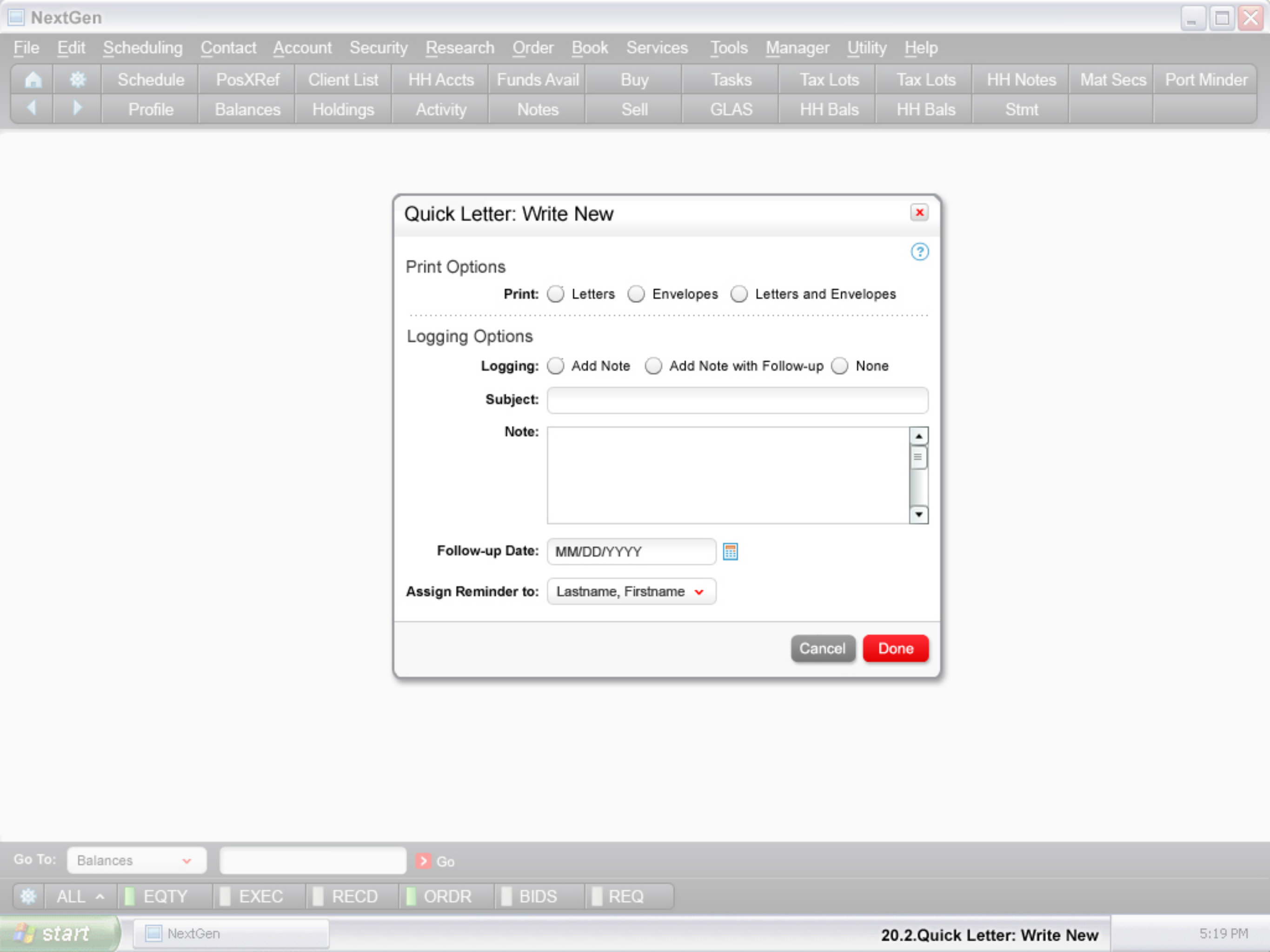


Citi Global Wealth Management
GWM Desktop Design Treatments

September 2008

Post-review Updates

20.4	Email Address List	replace Brick Bar/Alerts Bar
40	More Filter Criteria (Search)	change Submit button label to Apply
40.3.5.a	Client Filter (format results)	Remove Lock column from Selected Fields; add Number of Columns to Freeze with spinner under Selected Fields; Add move up and down controls next to Selected Fields (add a move to top and move to bottom as well)
52.3	Household Accounts	replace header with Household header
70.4.1	S&P Company Desc	replace Name or Account Number in Find with Symbol, CUSIP or Sec Num (add page title)
80.1.8	Buy-Attestation	replace Brick Bar/Alerts Bar; replace header with Order Entry header; clarify Lookup icon next to some fields
80.6.1	Mutual Fund Order	show Account Value in collapsible portion of header
80.6.2.1	Mutual Fund Order VSP	fix As Of date format
80.9.2	Phone Order Entry	show Account Value in header
81.1.1	Phone Order Working List	remove pop-up version
90.3.1	Electronic Book	remove Advanced Find from Account or FA and Positions; change label on Account or FA radio button from All to Account; change label on Transaction Type radio button from All Transactions to All
120.1	Manager Top Positions pop-up filter	remove pg 44 (FA Rollup)
120.2.3	Manager Position Xref	Move Analyst together with Rating and Mean; change Personal Information to Research Ratings; change Rollup dropdown to radio buttons (FA; Branch); Add totals for Long Quantity and Short Quantity
120.5	Branch Manager Household Notes	replace header with collapsed Household header
130.3	Utility-Button Configure	remove pg 53; remove Home/Back/Forward/Configure from Preview
130.4	Utility-Alerts Congfigure	replace with version more like WF
150.6	Sys Admin Maintain Security	Remove heading Action from far left column
160.9	Header Comments Hover	change Use Default to Add from List
161.2	Header Prospect	Change treatment of Reassign FA



Go To: Balances

Send Email to List

> Search

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

☐	Account	FA	Name	Phone	Email Address	Category	Description	Account Value
☒	00A-00000-00	000	FirstName Lastname	555-123-4567	email@domain.net	Category Name	Description	\$000,000.000.000.00
☐	00A-00000-00	000	FirstName Lastname	555-123-4567	email@domain.net	Category Name	Description	000,000.000.000.00
☒	00A-00000-00	000	FirstName Lastname	555-123-4567	email@domain.net	Category Name	Description	000,000.000.000.00
☐	00A-00000-00	000	FirstName Lastname	555-123-4567	email@domain.net	Category Name	Description	000,000.000.000.00
☒	00A-00000-00	000	FirstName Lastname	555-123-4567	email@domain.net	Category Name	Description	000,000.000.000.00
☒	00A-00000-00	000	FirstName Lastname	555-123-4567	email@domain.net	Category Name	Description	000,000.000.000.00
☐	00A-00000-00	000	FirstName Lastname	555-123-4567	email@domain.net	Category Name	Description	000,000.000.000.00
☒	00A-00000-00	000	FirstName Lastname	555-123-4567	email@domain.net	Category Name	Description	000,000.000.000.00
☒	00A-00000-00	000	FirstName Lastname	555-123-4567	email@domain.net	Category Name	Description	000,000.000.000.00
☐	00A-00000-00	000	FirstName Lastname	555-123-4567	email@domain.net	Category Name	Description	000,000.000.000.00
☐	00A-00000-00	000	FirstName Lastname	555-123-4567	email@domain.net	Category Name	Description	000,000.000.000.00
☐	00A-00000-00	000	FirstName Lastname	555-123-4567	email@domain.net	Category Name	Description	000,000.000.000.00
☒	00A-00000-00	000	FirstName Lastname	555-123-4567	email@domain.net	Category Name	Description	000,000.000.000.00
☐	00A-00000-00	000	FirstName Lastname	555-123-4567	email@domain.net	Category Name	Description	000,000.000.000.00
☐	00A-00000-00	000	FirstName Lastname	555-123-4567	email@domain.net	Category Name	Description	000,000.000.000.00
☒	00A-00000-00	000	FirstName Lastname	555-123-4567	email@domain.net	Category Name	Description	000,000.000.000.00
☒	00A-00000-00	000	FirstName Lastname	555-123-4567	email@domain.net	Category Name	Description	000,000.000.000.00
☐	00A-00000-00	000	FirstName Lastname	555-123-4567	email@domain.net	Category Name	Description	000,000.000.000.00
☒	00A-00000-00	000	FirstName Lastname	555-123-4567	email@domain.net	Category Name	Description	000,000.000.000.00
☐	00A-00000-00	000	FirstName Lastname	555-123-4567	email@domain.net	Category Name	Description	000,000.000.000.00

Total Contacts: 00,000

Selected Contacts: 00,000

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

> Create a working list of contacts with no email addresses

Cancel

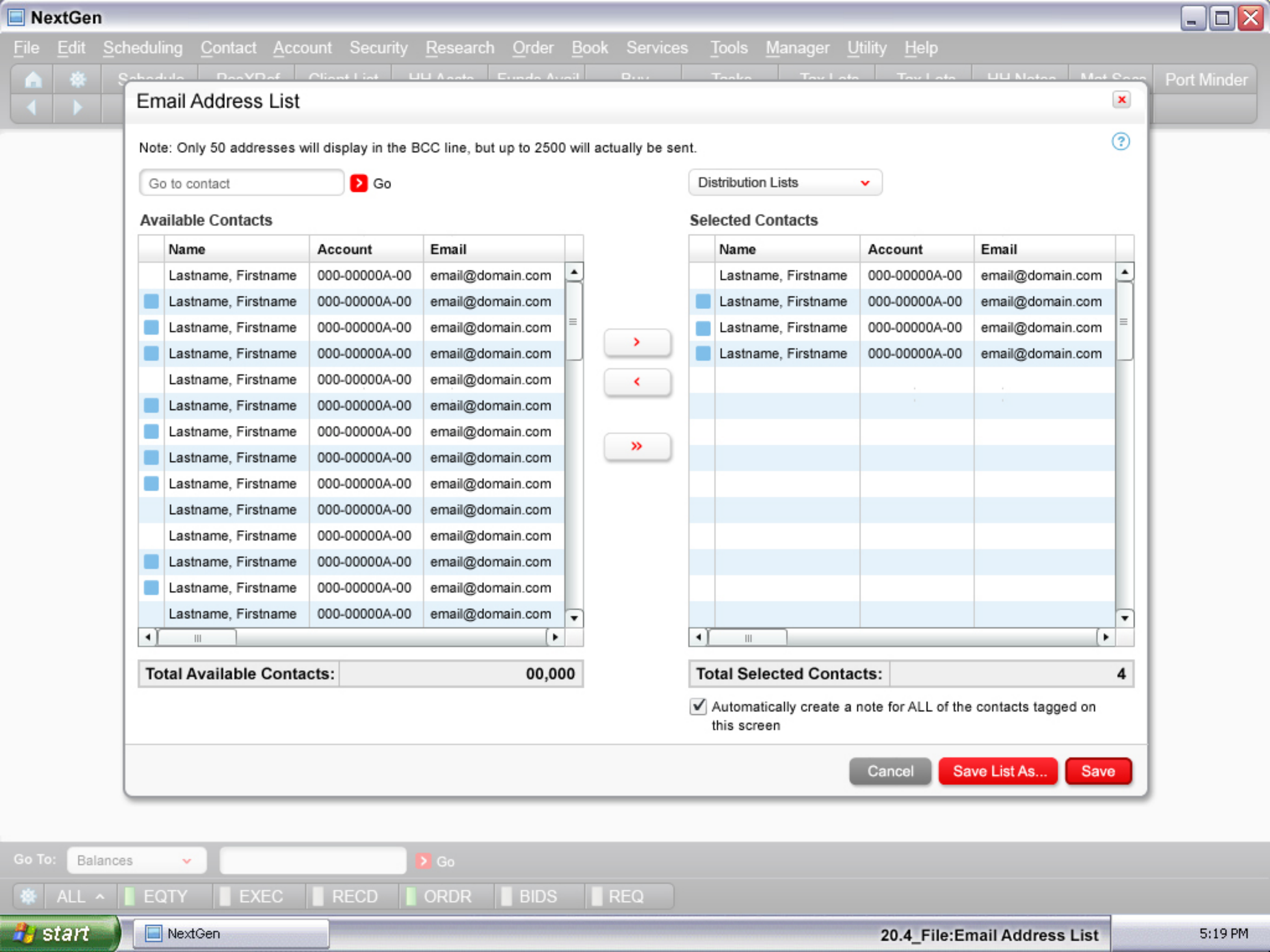
Send

start

NextGen

20.3_File:Send Email to List

5:19 PM



Email Address List

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

Go to contact

Go

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

>

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>>

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

Cancel

Save List As...

Save

Client List

> Client Filter

Select a Predefined Filter

Saved Filter 1

 New Filter

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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... ▼ Change	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	
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

Settings

ALL ^

EQTY

EXEC

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start

NextGen

5:19 PM

Client List

Client Filter

Select a Predefined Filter ▼ i No filter has been applied ▶ Close

Filter Format Sort

	Field	Operator	Value	And / Or
	FA Numbers	Equals ▼	449-928 Smith John, 4... ▼ Change	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

Save As View

Client List, Unfiltered, Default Sort

Account	FA	Name	Phone	Ownership Cat	Acco	YTD AV % Chg
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	20	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	20	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	20	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	20	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	20	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	-21.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00	-21.00

☐ All Active FA Numbers

☐ All Entitled FA Numbers

☒ Select FA Numbers

☒ 449-928 Smith, John

☐ 449-928 Smith, John

☒ 449-928 Smith, John

☐ 449-928 Smith, John

☒ 449-928 Smith, John

☐ 449-928 Smith, John

☐ 449-928 Smith, John

☐ 449-928 Smith, John

☐ 449-928 Smith, John

☐ 449-928 Smith, John

Cancel Apply

Go To: Balances ▼ ▶ Go

Client List



Client Filter

Select a Predefined Filter ▼ (i) 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 account ☐ 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

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	

Add Criteria

Include:

☒ Account

Select Criteria

HH YTD Commission
 IRA Account
 Managed By
 Mgd Acct
 Mgd Code
 Money Funds
 Name - Last
 Name - Sort Name
 Opened Date
 Ownership Category Codes
 Required Minimum
 Distribution
 Reserved Client
 Status
 Symbol
 More Criteria

☐ Only lead accounts
 ☐ Every account in Household much match
 ☐ Every prospect in Household must match

Save As

View

Client List, U

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	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00
449-05871-1	3-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00
449-05871-1	3-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00
449-05871-1	3-4567 HOME	Living Trust	225,034,215.00	62,034,215.00	62,034,215.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00
449-05871-12	449-340	Smith Andy	212-123-4567 HOME	Living Trust	225,034,215.00

Go To: Balances Go

ALL EQTY EXEC RECD ORDR BIDS REQ

NextGen

FileEditSchedulingContactAccountSecurityResearchOrderBookServicesToolsManagerUtilityHelp

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

Client List

More Filter Criteria

SearchIndexLookup

Stat

Address - Sate (text entry)

Address - State (by selection)

Status

Field Values

Field	Operator	Value
Address - State (by selection)	Equals	Select Filter Value

☐ AA - Central/South America Military

☐ AE - Europe, Mideast, Africa Military

☐ AK - Alaska

☐ AL - Alabama

☐ AP - Pacific - Military

☐ AS - American Samoa

☐ AZ - Arizona

☐ CA - California

☐ CO - Colorado

☐ CT - Connecticut

☐ DC - District of Columbia

☐ DE - Delaware

Cancel

Apply

Cancel

OK

Go To: Balances

Go

ALL

EQTY

EXEC

RECD

ORDR

BIDS

REQ

start

NextGen

page 16 Client Filter (search for criteria)

5:19 PM

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

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 ValueExcluding

Account Value Tracker

Loerm Ipsum

Vestibulum sapien

Donec nisi justo

Nulla sollicitudin

Morbi aliquam

>

<

>> More fields

Selected Fields

Header 7

Header 8

Header 9

Header 11

Header 8

Header 1

Header 2

<

>

<

>

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

Settings

ALL ^

EQTY

EXEC

RECD

ORDR

BIDS

REQ

start

NextGen

40.3.5.a Client Filter (format results data grid)

5:19 PM

Account Balance

Find

Name or Account Number

View

Advanced Find

FirstName Lorem Ipsum LastName10-A-0057-10-099Cashless 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

Sed ut spiciatis unde omnis iste natus error
sit voluptatem natus error sit natus error sit
natus error sit accusantium doloremque
laudantium, totam rem error sit natus error
sitvoluptatem est aperiam omnis iste natus
error son accusantium

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

Summary

Product CategoryAsset AllocationManager StyleIndividual 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

FPO

Money FundsClosed End FundsStocksLorem IpsumLorem 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 Commisions: 00.00
Open Orders: Yes

Pending Charges

Margin Interest: \$000.00

Standing Instructions

Buy: Street Name
Sell: Holds Proceeds

Option Approval

Buy Puts vs. Stock
Sell Covered

Quick Links

>> Intraday Updates

>> Citibank Linked

>> Shadow/Linked-Margin Accounts

>> Projected \$

>> Returns

Go To: BalancesGo

ALL

EQTY

EXEC

RECD

ORDR

BIDS

REQ

start

NextGen

51.4.2 Account Menu

5:19 PM

NextGen

FileEditSchedulingContactAccountSecurityResearchOrderBookServicesToolsManagerUtilityHelp

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Client List

HH Accts

Funds Avail

Buy

Tasks

Tax Lots

Tax Lots

HH Notes

Mat Secs

Port Minder

Previous

Next

Profile

Balances

Holdings

Activity

Notes

Sell

GLAS

HH Bals

HH Bals

Stmt

Gain/Loss

Find

FirstName Lorem Ipsum LastName10-A-0057-10-099Cashless Exec

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

View:Summary

Capital Gain Distribution (\$)

Symbol/CUSIP	Description	Gain/Loss
27828A308000	Eaton Vance Insd Calif Mun	12/23/20070.00
27828A308000	Eaton Vance Insd Calif Mun	12/24/20070.00
27828A308000	Eaton Vance Insd Calif Mun	12/22/20070.00
Totals:		\$0.00

PCM Client Returns

Account: 449-01873 Lastname, Firstname | Returns as of September 22, 2008

Type	Current Quarter	YTD	Trailing 12 Months	Since Inception
Gross IRR	-3.7	74.0	73.1	-5.0
Net IRR	-3.7	74.0	73.0	-5.1
Begin Mkt Value	\$155,797,711.41	\$110,477,726.38	\$112,536,939.70	\$7,772,451.30
Contributions	19,000.00	19,000.00	19,000.00	19,000.00
Withdrawals	5,000.00	5,000.00	5,000.00	5,000.00
Total Returns	19,000.00	19,000.00	19,000.00	19,000.00
End Mkt Value	5,000.00	5,000.00	5,000.00	5,000.00
Income	\$0.00	\$8,272.56	\$35,966.73	\$904,276.09
Margin Interest	-40,790.42	-115,389.12	-144,386.69	-3,115,756.29

Accounts with Smith Barney dating prior to 12/31/96 will reflect performance from 12/31/96 to the present month.

Close

Go To:BalancesGo

ALL

EQTY

EXEC

RECD

ORDR

BIDS

REQ

startNextGen51.4.8 Account Menu: Account Balance: Returns (PCM)5:19 PM

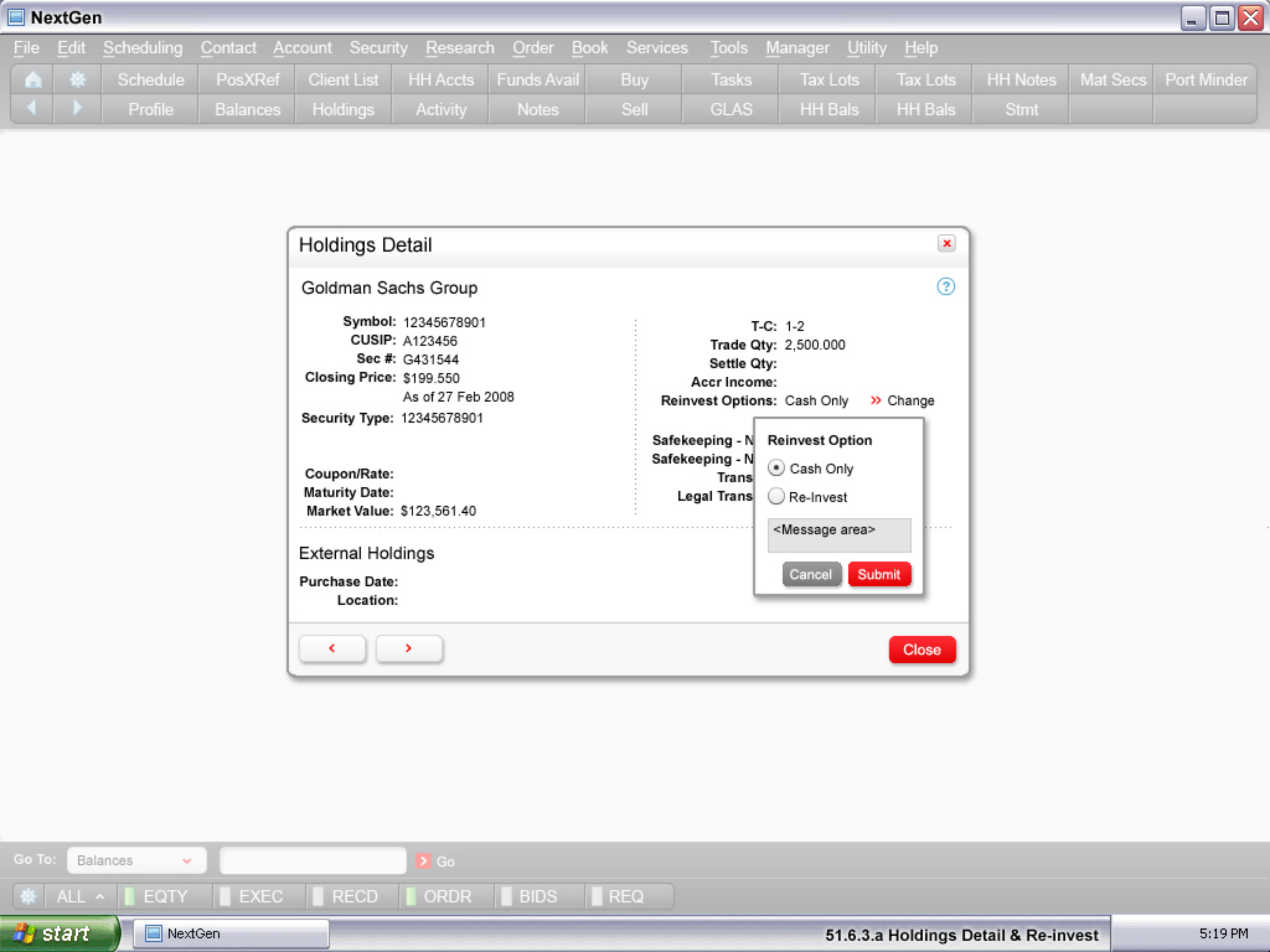
Margin Balance

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)	2	S/D			
0.00	2	MKT	76,739,263.00)	2	CSH			
0.00	2	LOP	143,305,142.90	2	EQU			
0.00	2	SOP	143,305,142.90	2	TEQ			
0.00		CDS	0.00	2	EQP			

Close



Holdings Detail

Goldman Sachs Group

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

Coupon/Rate:
Maturity Date:
Market Value: \$123,561.40

External Holdings

Purchase Date:
Location:

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

Close

Go To: Balances Go

ALL ^ EQTY EXEC RECD ORDR BIDS REQ

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

Sed ut spiciatis unde omnis iste natus
error sit voluptatem natus error sit natus
error sit natus error sit accusantium
doloremque laudantium, totam rem error
sit natus error sitvoluptatem 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	Lorem ipasum eun le movet persius	114.00	1M	1.8	\$22.869	\$3,860.04	2-0	C	\$21.000	3	
Select		A Company	Lorem ipsum eun le movet persius	114.00	1M	1.8	22.869	3,860.04	2-0	C	21.000	3	
Select		A Company	Lorem ipsum eun le movet persius	114.00	1M	1.8	22.869	3,860.04	2-0	C	21.000	3	
Select	O	A Company	Lorem ipsum eun le movet persius	114.00	1M	1.8	22.869	3,860.04	2-0	C	21.000	3	
Select		A Company	Lorem ipsum eun le movet persius	114.00	1M	1.8	22.869	3,860.04	2-0	C	21.000	3	
Select	E	A Company	Lorem ipsum eun le movet persius	114.00	1M	1.8	22.869	3,860.04	2-0	C	21.000	3	
Select		A Company	Lorem ipsum eun le movet persius	114.00	1M	1.8	22.869	3,860.04	2-0	C	21.000	3	
Select		A Company	Lorem ipsum eun le movet persius	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 LinksIntraday Updates

Legend: Citibank Open Orders External Stock Split

Ext BidAdd

Go To: Balances

Enter keywords

Go

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

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

Activity By: ☐ Date From: To: ☒ Summary Period: Type: [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

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

Sed ut spiciatis unde omnis iste natus error sit voluptatem natus error sit natus error sit natus error sit accusantium doloremque laudantium, totam rem error sit natus error sitvoluptatem est aperiam omnis iste natus error son accusantium

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

Settings

ALL ^

EQTY

EXEC

RECD

ORDR

BIDS

REQ

start

NextGen

51.9a Activity - Recent Activity w. Trust Account

5:19 PM

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
Address 1234
Suite 999
New Brunswick, NJ 11223
USA

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

MC/CB

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

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

Gain/Loss

Find

▼

FirstName Lorem Ipsum LastName10-A-0057-10-099Cashless 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

Sed ut spiciatis unde omnis iste natus error
sit voluptatem natus error sit natus error sit
natus error sit accusantium doloremque
laudantium, totam rem error sit natus error
sitvoluptatem est aperiam omnis iste natus
error son accusantium ▼

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

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

Commodity Holdings

Find

▼

FirstName Lorem Ipsum LastName10-A-0057-10-099Cashless 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

Sed ut spiciatis unde omnis iste natus error
sit voluptatem natus error sit natus error sit
natus error sit accusantium doloremque
laudantium, totam rem error sit natus error
sitvoluptatem est aperiam omnis iste natus
error son accusantium ▼

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 OPENING TRADE EQUITY			0.00	USD EQUITY	
0.00 USD CLOSING					

Position

Commodity HoldingsCustomize

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

NextGen

FileEditSchedulingContactAccountSecurityResearchOrderBookServicesToolsManagerUtilityHelp

Home

Settings

Schedule

Profile

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

Ea

Ea

Ea

Ea

Ea

Ea

Ea

Ea

Ea

Ea

Ea

Ea

Ea

Ea

Ea

Ea

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	Alita 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

Mat Secs

Port Minder

es

with Rights

es

is found as of August 25, 2008

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

Go To: Balances

Go

ALL

EQTY

EXEC

RECD

ORDR

BIDS

REQ

start

NextGen

60.1.3.1 MSD Selection

5:19 PM

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 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 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 WEEK ---- (S&P) 03-DEC-07 PG. 6 SEG 3

S&P Menu

View Favorites

Edit Favorites

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

☒ 9 Page Name

☒ 9 Page Name

☒ 9 Page Name

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☐ 9 Page Name

☐ 9 Page Name

☐ 9 Page Name

Go to page: 6

Go

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

RETURN YEAR TO DATE THROUGH 10/31/07

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

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 Rt&Yd		.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	P/E Range	Div	Dec	EPS	Rev (M)	Net (M)	BV/SH	
06	22.29	15.54	25.3 17.7		06	.88v	1285.5	323.2	4.46	
05	22.99	15.96	31.1 21.6		05	.74v	1123.7	278.8	3.52	
04	26.82	17.50	37.3 24.3		04	.72v	1016.3	275.1	3.42	
03	25.64	10.30	64.1 25.8		03	.40v	827.2	155.1	2.93	
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 Ecn. 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

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

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

Branch #:	Account Base:	Type:	FA:	Disposition	Open/Close/Cover:
	123456 ?	1 - Cash ▼	7		D-Hold in Street Name ▼

Trader Instructions:	Special Instru
	AON

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

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

Authorizing Party:
Custom Control Account ▼

Quick Tab

New Ticket Send

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.

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

Multiple Orders - Order Verification

1 Order Verification

2 Enter Password

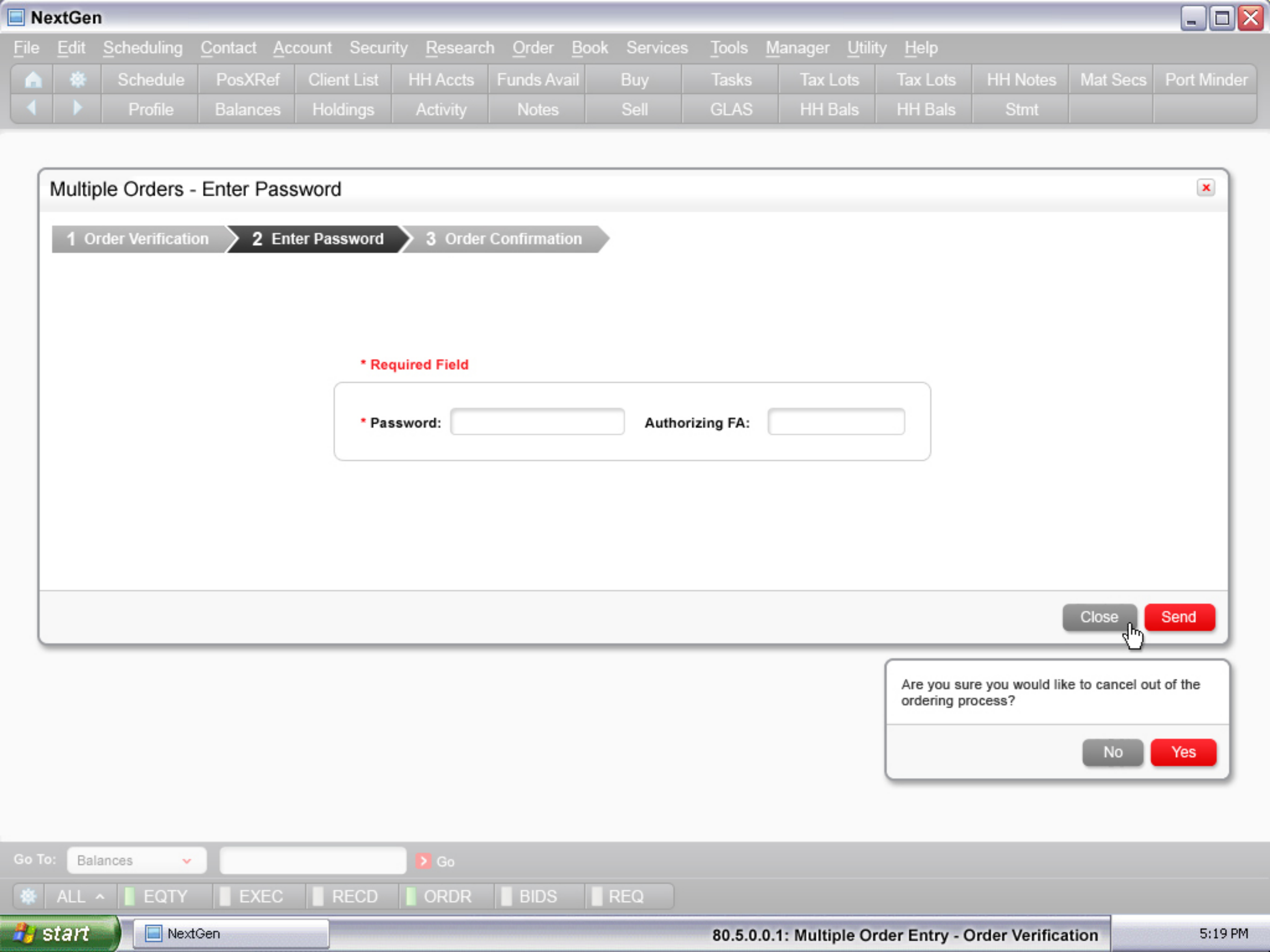
3 Order Confirmation

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 Send Order Hold Order Stop Order Fill Column	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



Mutual Fund Ticket Please Enter Amount Ticket Status: **INCOMPLETE** | Live | May 5, 2008

▼ FirstName Lorem Ipsum LastName 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 ▼ Personal Information	Sed ut spiciatis unde omnis iste natus error sit voluptatem natus error sit natus error sit natus error sit accusantium doloremque laudantium, totam rem error sit natus error ▼	FMA GLAS STMT No syndicate trades Joint Registration with Rights Lorem Ipsum FMA GLAS STMT No syndicate trades ▼
		Net Cash:	00,000.00
		Margin Value:	00,000.00

* Action: Redeem ▼	* \$ Amount: 0,000.00	* Shares 3000	* Symbol AEPCX	Security Description EuroPacific Growth Fund Class ☒ Full redemption from all account types		
Branch Number: 449	* Account Base: 12345	* Type: 1 - Cash ▼	FA: 763	* Sol/Unsol: SOL	Dsc/Dne: 	Disposition: D - Hold in Street Name ▼
CDSC Waiver: ▼	Location: 	Fund Account Number: 	Certificate Number: 	* The fund being sold has been held less than one year? ☒ Yes ☐ No		

Received By

ID/Name: 4499271 Logon, NextGen Test	Date: 	Time (EST): 	☒ Check to confirm client receipt information
--	------------------	------------------------	---

 Quick Tab New Ticket SendGo To: Balances ▼

	ALL ^						
--	-------	--	--	--	--	--	--

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

☐	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

> **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: Avg Price: **0** Net/Agy: **AGY**

Time in Force: **DAY** Security Description: **MDY JUN08 160** * Sol/Unsol: **SOL** Special Instructions: Allocation Method: **Random**

Branch #: Account Base: **123456** Type: **1 - Cash** FA: **763** IA Code: 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														

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

Account Rankings

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

Electronic Book

Filter

Account or FA:

☒ Account
 ☐ FA

00000000

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								
-	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

?

Due to a Merger, you were exchanged from:

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

Commission Calculator

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
	Buy	Stock	50	APPL	100.00		2.210	-\$5,000.00	-\$110.50	-\$5,110.50
	Sell	Option	400	APPL	27.50		33.163	1,100,000.00	-13,265.00	1,086,718.17
Totals:								\$1,095,000.00	-\$2,000.00	\$1,081,607.67

Clear All

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

Reporting Currency USD

[illegible]

NextGen

FileEditSchedulingContactAccountSecurityResearchOrderBookServicesToolsManagerUtilityHelp

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 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

Manager Position XRef

Find

Symbol, CUSIP, or Sec Num View Advanced Find

Western Asset US Money Market Fund A Dist (G)

Symbol: ALTR
CUSIP: 12345678901
Sec Num: A123456

Closing Price: 46.030 as of Dec 9.2007
Reinvestment eligible

Rating: 1H as of Nov 11, 2007
Mean: 1.8
Analyst: Yeung Glen

Research Ratings

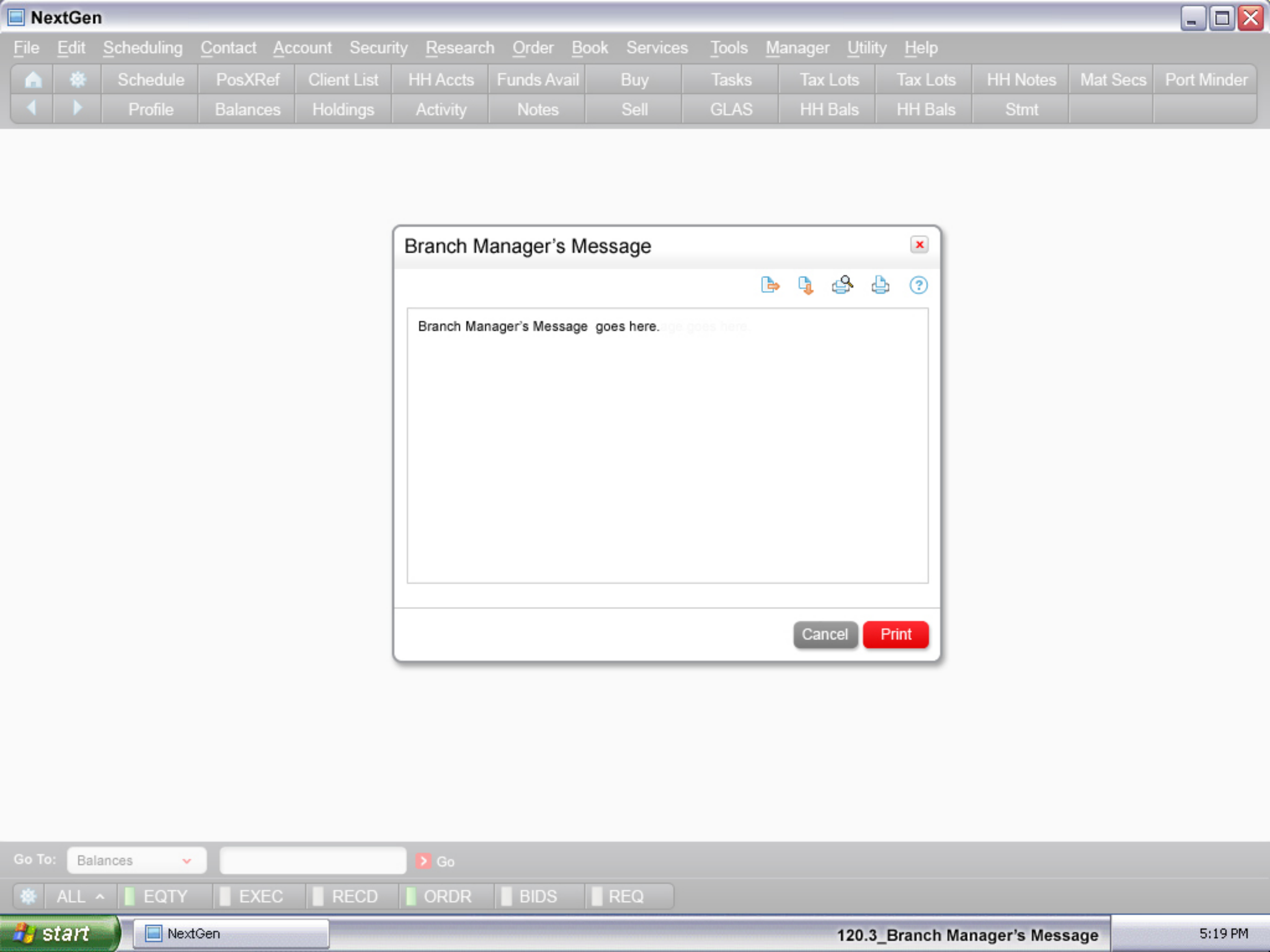
Accounts: All (59) Position Type: ☒ All ☐ Long ☐ Short Rollup: ☒ BR ☐ FA Branch View

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



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

For:

☒ Accounts
 ☒ 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 ^

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

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

User Preferences

General

Appearance

Schedule

Items for Attention

Order Defaults

Mailing Address

Button Bar

Alerts Bar

Update Last Call for Call Cycle Reminder

- ☒ Always update the last call and re-schedule the next call
- ☐ Never update the last call

Notes

- ☒ Default Lock Note to ON

Find

Default to: Balances

Lock Screen

Lock screen delay: 00 minutes

External Holdings

- ☒ Always include External Holdings

Commissions

- ☒
- Do not display commissions

Quick Letter Signature

[illegible]

Cancel

Save

Totals:

\$0.00

\$23,328.02

Gain/Loss

User Preferences

GeneralAppearanceScheduleItems for AttentionOrder DefaultsMailing AddressButton BarAlerts Bar

Alert Control Properties

Button Configuration (Configure by drag and drop from Available Alerts). There is no maximum number of buttons a user can place in the Alerts Bar.
If user reaches the limit of the horizontal real estate, the last button on the right becomes "More" (clicking on "More" exposes the remaining configured Alert buttons).

EQTYEXECRECDORDRBIDSREQ<empty><empty><empty><empty><empty>

Available Alerts

AFT
BIDS
EQTY
CHEK
CDN
EXEC
FAN
LEAD
LOAN
MCER

>
<
<<
Use Default ?

Selected Alerts

EQTY
EXEC
RECD
ORDR
BIDS
REQ
<empty>
<empty>
<empty>
<empty>

Selected Button Description

Selecting an item in the list of Available Alerts will cause the description of that command to appear here. Lorem ipsum dolor sit amet, aenean commodo ligula eget dolor.

CancelSave

NextGen

File

Edit

Home

Settings

Previous

Next

Gain/Loss

Find

First Name

123 W
Address
Suite 9
New B
USA

View: ☐

Capital G

Symbol/C

27828A30

27828A30

27828A30

27828A30

27828A30

27828A30

27828A30

27828A30

27828A30

27828A30

27828A30

27828A30

27828A30

27828A30

27828A30

27828A30

27828A30

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

Maintain Security: User Configuration

Find

FirstName Lorem Ipsum LastName **Logon ID: 9900099** **User Type: Lorem Ipsum** **Status: Active**
 Branch: 000 Primary FA #: 000 QUID: 023456789

Entitlements

Data Screen Admin Assign Mobile FA Schedule/Team OFFR/Comm

Go to Branch/FA  Go

Available:

Branch	FA#	FA Name
000	000	Office Wide
000	000	Office Wide
000	000	Office Wide
000	000	Office Wide
000	000	Lastname, Firstname
000	000	Lastname, Firstname
000	000	Lastname, Firstname
000	000	Lastname, Firstname
000	000	Lastname, Firstname
000	000	Lastname, Firstname
000	000	Lastname, Firstname
000	000	Lastname, Firstname
000	000	Lastname, Firstname
000	000	Lastname, Firstname
000	000	Lastname, Firstname
000	000	Lastname, Firstname

Currently Entitled To:

Branch	FA#	FA Name
000	000	Office Wide
000	000	Office Wide
000	000	Office Wide
000	000	Office Wide
000	000	Office Wide
000	000	Lastname, Firstname
000	000	Lastname, Firstname



 Revoke ID ☒ Enable Blackberry Synchronization

Cancel Save

Reassign Prospect

Remove from:

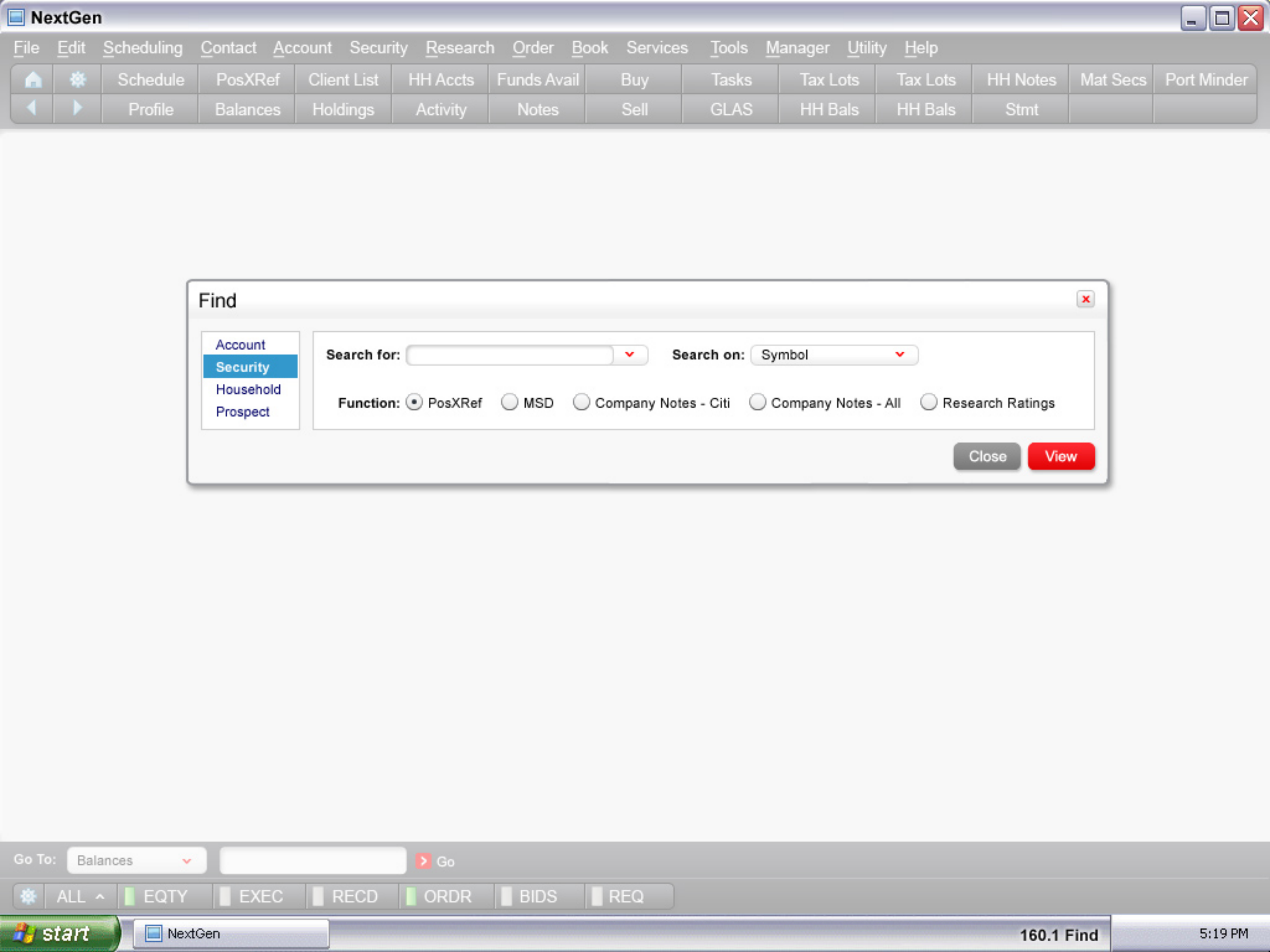
FA #: 449-007 FA Name:#: Lastname, Firstname

☐	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



Find

Account
Security
Household
Prospect

Search for:

▼

Search on:

Symbol

▼

Function:

☒ PosXRef

☐ MSD

☐ Company Notes - Citi

☐ Company Notes - All

☐ Research Ratings

Close

View

Organize Favorites

	Favorites
Delete	+ Folder Ipsum
Delete	- Folder Another
Delete	Lorem ipsum sequitur
Delete	Sequitur
Delete	Lorem ipsum dolor
Delete	Sit annet lorem
Delete	+ Lorem Folder
Delete	+ Folder Favorites Lorem
Delete	+ Lorem Folder Ipsum Sequitur

Close

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
(712) 772 3637 Fax
(123) 456 7890 Lorem
(234) 567-8901 Ipsum

Sed ut spiciatis unde omnis iste natus
error sit voluptatem natus error sit natus
error sit natus error sit accusantium
doloremque laudantium, totam rem error
sit natus error sitvoluptatem 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

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)
(212)
(847)

Age: 29
SS / Tax ID: A0-000000
Risk: Lorem
Sweep: None
Invest Object: Lorem ipsum
Speculation: Lorem
Hold Dividends

Last update November 30, 2009

Sed ut spiciatis unde omnis iste natus
error sit voluptatem natus error sit natus
error sit natus error sit accusantium
doloremque laudantium, totam rem error
sit natus error sitvoluptatem 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

start

NextGen

5:19 PM

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

Sed ut spiciatis unde omnis iste natus
error sit voluptatem natus error sit natus
error sit natus error sit accusantium
doloremque laudantium, totam rem error
sit natus error sitvoluptatem est aperiam
omnis iste natus error son accusantium
accusantium doloremque laudantium,
totam rem error sit natus error sitvolupter
est aperiam omnis.

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

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

Sed ut spiciatis unde omnis iste natus error sit voluptatem natus error sit natu: 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.

Add from List

Cancel

Save

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

start

NextGen

160.9 NextGen Header: Account: Edit Comments

5:19 PM

> Find

Name or Account Number

> View

>> Advanced Find

> FirstName Lorem Ipsum LastName	Status: Prospect - A	Prior Acct # 10-A-0000-22-000	FA: 10A-099 Jones, Tom
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 ▼		> Reassign FA

FA Filter

Filter Options

☐ FA Numbers Selected in Client Filter

☐ All Active FA Numbers

☒ Branch

 FA Number

☐ All Entitled FA Numbers

☐ Select (From Grid)

FA

FA Name

☐

10A-099

FirstName Lastname

☐

10A-099

FirstName Lastname

☐

10A-099

FirstName Lastname

☐

10A-099

FirstName Lastname

☐

10A-099

FirstName Lastname

☐

10A-099

FirstName Lastname

☐

10A-099

FirstName Lastname

☐

10A-099

FirstName Lastname

☐

10A-099

FirstName Lastname

☐

10A-099

FirstName Lastname

☐

10A-099

FirstName Lastname

☐ Retain

Cancel

View

Go To: Balances

Go

ALL

EQTY

EXEC

RECD

ORDR

BIDS

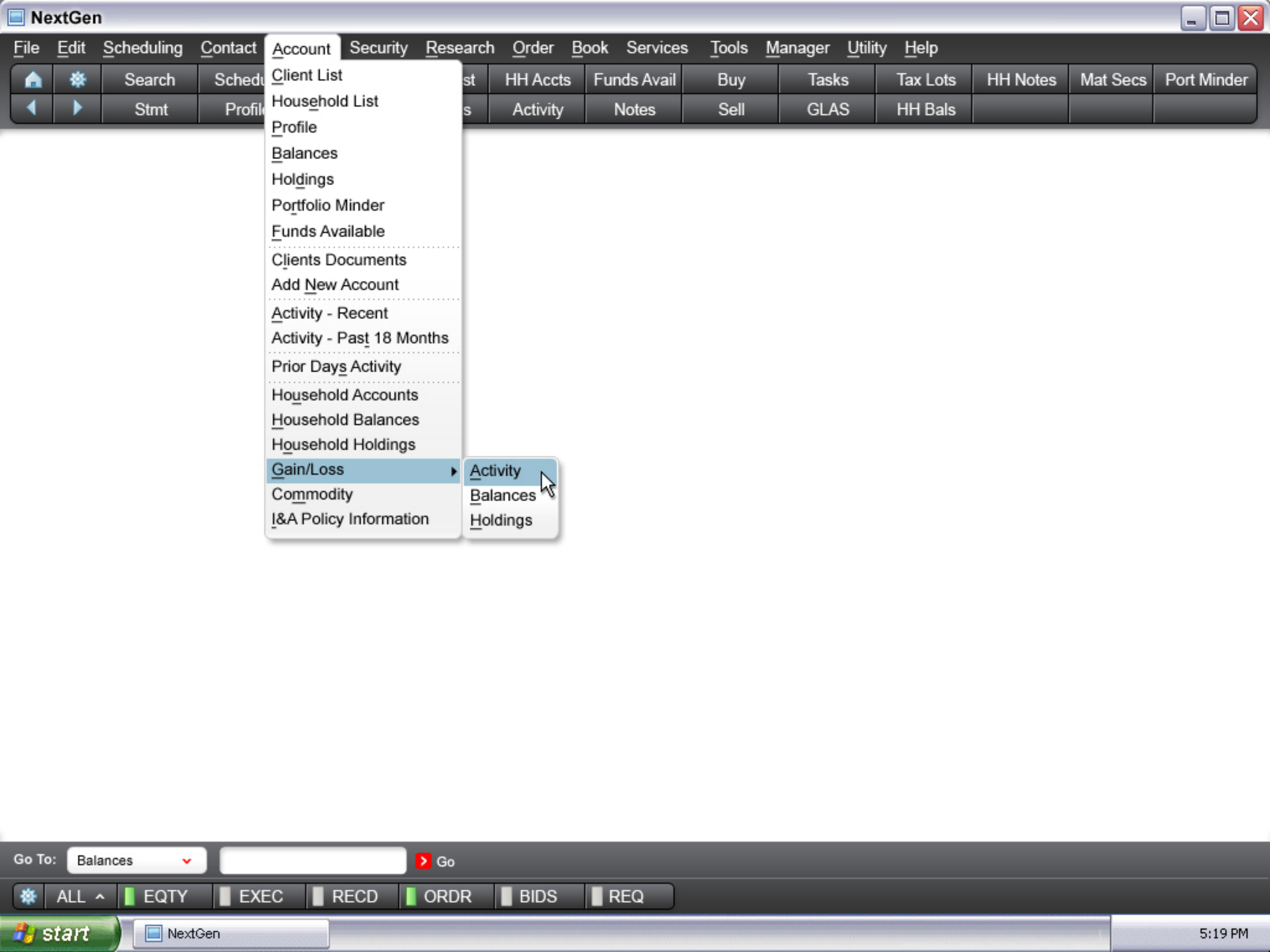
REQ

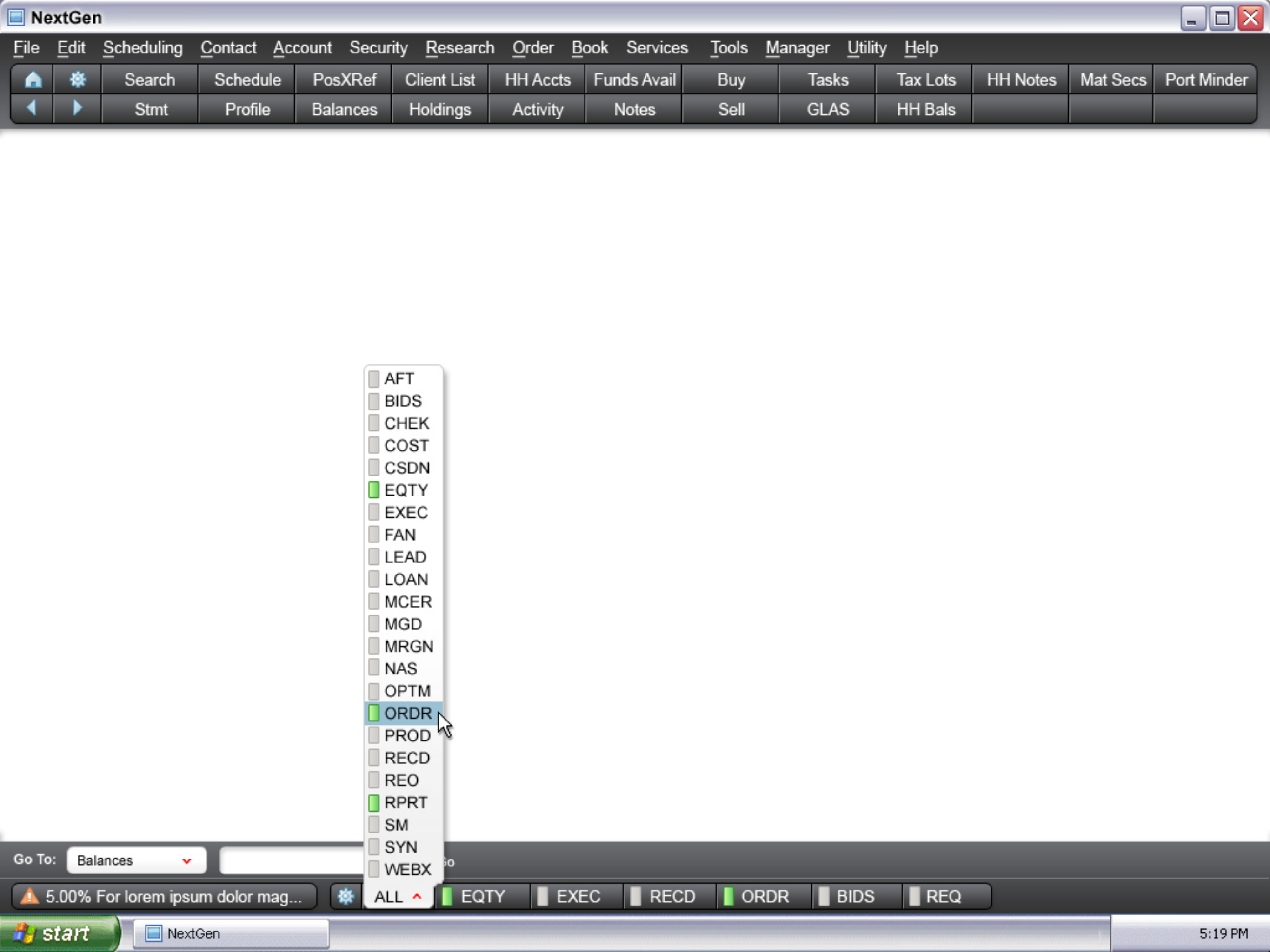
start

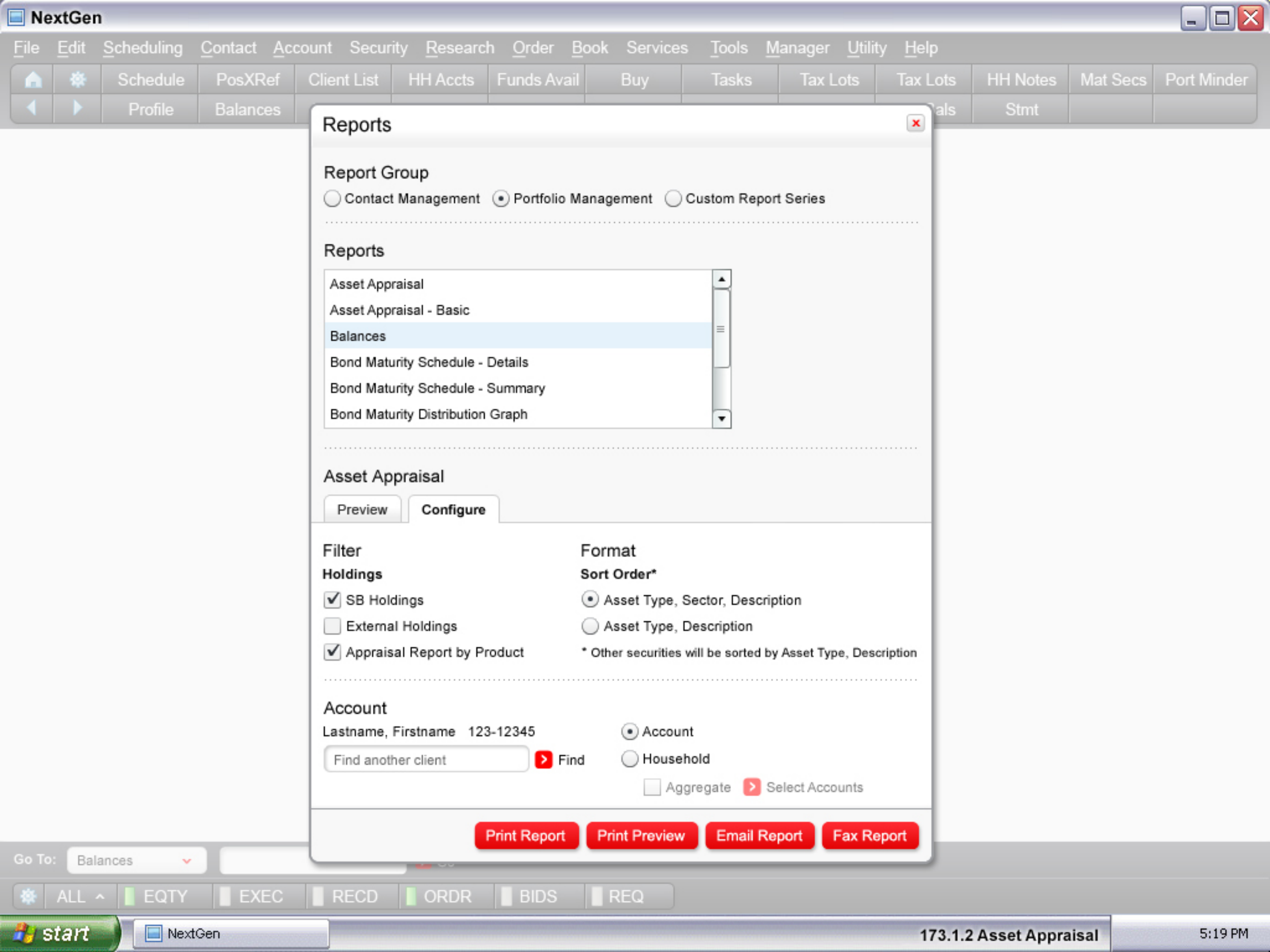
NextGen

161.3 Other: FA Filter

5:19 PM







Reports

Report Group

☐ Contact Management ☒ Portfolio Management ☐ Custom Report Series

Reports

Asset Appraisal
Asset Appraisal - Basic
Balances
Bond Maturity Schedule - Details
Bond Maturity Schedule - Summary
Bond Maturity Distribution Graph

Asset Appraisal

Preview

Configure

Filter

Holdings

☒ SB Holdings
☐ External Holdings
☒ Appraisal Report by Product

Format

Sort Order*

☒ Asset Type, Sector, Description
☐ Asset Type, Description

* Other securities will be sorted by Asset Type, Description

Account

Lastname, Firstname 123-12345

Find another client

Find

☒ Account

☐ Household

☐ Aggregate

Print Report

Print Preview

Email Report

Fax Report

Go To: Balances

ALL EQTY EXEC RECD ORDR BIDS REQ

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