## **Daily Trades Summary**

| Region:Colorado Branch Number:1 Agent:Adelina   | 4  |
|---|----|
| Region:Alabama Branch Number:13 Agent:Phil      | 7  |
| Region:Alabama Branch Number:10 Agent:Juliet    | 9  |
| Region:Alabama Branch Number:5 Agent:Juliet     | 12 |
| Region:Florida Branch Number:3 Agent:Gerry      |    |
| Region:Florida Branch Number:12 Agent:Adelina   | 17 |
| Region:Arizona Branch Number:17 Agent:Maia      | 18 |
| Region:California Branch Number:11 Agent:Gerry  | 20 |
| Region:Florida Branch Number:19 Agent:Phil      | 23 |
| Region:Alabama Branch Number:3 Agent:Gerry      | 25 |
| Region:Arizona Branch Number:5 Agent:Phil       | 27 |
| Region:Colorado Branch Number:1 Agent:Adelina   | 29 |
| Region:Alabama Branch Number:6 Agent:Phil       | 31 |
| Region:Alabama Branch Number:12 Agent:Phil      | 32 |
| Region:Colorado Branch Number:16 Agent:Gilda    |    |
| Region:Alabama Branch Number:10 Agent:Juliet    |    |
| Region:Colorado Branch Number:11 Agent:Gerry    |    |
| Region:Arizona Branch Number:4 Agent:Aaren      | 41 |
| Region:Montana Branch Number:15 Agent:Phil      | 43 |
| Region:Alabama Branch Number:13 Agent:Phil      | 45 |
| Region:California Branch Number:6 Agent:Maia    | 47 |
| Region:Arizona Branch Number:14 Agent:Agatha    | 51 |
| Region:Colorado Branch Number:0 Agent:Juliet    |    |
| Region:Arizona Branch Number:5 Agent:Adelina    | 56 |
| Region:Florida Branch Number:12 Agent:Agatha    | 58 |
| Region:Alabama Branch Number:17 Agent:Phil      | 61 |
| Region:California Branch Number:13 Agent:Juliet |    |
| Region:California Branch Number:6 Agent:Juliet  |    |
| Region:Florida Branch Number:0 Agent:Gerry      | 68 |
| Region:Colorado Branch Number:10 Agent:Gerry    |    |
| Region:Montana Branch Number:16 Agent:Maia      |    |
| Region:Montana Branch Number:3 Agent:Gerry      |    |
| Region:Florida Branch Number:17 Agent:Agatha    |    |
| Region:Montana Branch Number:13 Agent:Juliet    |    |

| Region:California Branch Number:9 Agent:Agatha  | 82  |
|---|-----|
| Region:Arizona Branch Number:15 Agent:Gilda     | 86  |
| Region:Arizona Branch Number:16 Agent:Agatha    | 89  |
| Region:Montana Branch Number:14 Agent:Gilda     | 91  |
| Region:Montana Branch Number:8 Agent:Phil       | 93  |
| Region:California Branch Number:18 Agent:Gerry  | 96  |
| Region:Montana Branch Number:19 Agent:Juliet    | 100 |
| Region:Montana Branch Number:2 Agent:Phil       | 102 |
| Region:Montana Branch Number:13 Agent:Aaren     |     |
| Region:Florida Branch Number:8 Agent:Phil       |     |
| Region:Arizona Branch Number:15 Agent:Gerry     | 109 |
| Region:Florida Branch Number:19 Agent:Adelina   |     |
| Region:Colorado Branch Number:12 Agent:Adelina  | 114 |
| Region:Montana Branch Number:10 Agent:Gerry     |     |
| Region:Arizona Branch Number:18 Agent:Gerry     | 119 |
| Region:California Branch Number:3 Agent:Adelina | 121 |
| Region:Montana Branch Number:17 Agent:Juliet    | 124 |
| Region:Colorado Branch Number:7 Agent:Maia      | 126 |
| Region:Florida Branch Number:11 Agent:Phil      | 129 |
| Region:California Branch Number:2 Agent:Adelina | 131 |
| Region:Colorado Branch Number:1 Agent:Adelina   |     |
| Region:Alabama Branch Number:15 Agent:Phil      | 136 |
| Region:Colorado Branch Number:2 Agent:Aaren     | 138 |
| Region:Florida Branch Number:3 Agent:Gilda      | 140 |
| Region:Montana Branch Number:11 Agent:Aaren     | 143 |
| Region:Montana Branch Number:10 Agent:Gilda     | 147 |
| Region:California Branch Number:17 Agent:Agatha | 149 |
| Region:Florida Branch Number:12 Agent:Gilda     | 152 |
| Region:Alabama Branch Number:1 Agent:Gilda      | 154 |
| Region:Alabama Branch Number:3 Agent:Gerry      | 158 |
| Region:Alabama Branch Number:12 Agent:Aaren     |     |
| Region:Montana Branch Number:10 Agent:Juliet    | 163 |
| Region:Montana Branch Number:4 Agent:Adelina    |     |
| Region:Colorado Branch Number:4 Agent:Gerry     |     |

| Region:Arizona Branch Number:1 Agent:Phil    | 171 |
|--|-----|
| Region:Montana Branch Number:6 Agent:Phil    | 173 |
| Region:Colorado Branch Number:17 Agent:Phil  |     |
| Region:Florida Branch Number:0 Agent:Juliet  |     |
| Region:Colorado Branch Number:0 Agent:Gerry  |     |
| Region:Florida Branch Number:5 Agent:Aaren   | 183 |
| Region:Florida Branch Number:0 Agent:Adelina |     |
| Region:California Branch Number:7 Agent:Maia |     |
| Region:Alabama Branch Number:12 Agent:Agatha | 190 |
| Region:California Branch Number:6 Agent:Maia |     |
| Region:Arizona Branch Number:18 Agent:Phil   |     |
| Region:Florida Branch Number:5 Agent:Aaren   | 200 |

## **Daily Trades**

| Code         | Description   | Trade 1    | Гуре А     | mount Ne  | et Amount | Pric   | се     | Quantity | Commision | Order Status | Risk   |
|--------------|---------------|------------|------------|-----------|-----------|--------|--------|----------|-----------|--------------|--------|
| Region:Color | ado           |            |            |           |           |        |        |          |           |              |        |
| Branch Numb  | per:1         |            |            |           |           |        |        |          |           |              |        |
| Agent:Adelin | a             |            |            |           |           |        |        |          |           |              |        |
| 6221         | Investment 1  | Sell       |            | 20        | 7         |        | 9      | 3        | 2         | Cancel       | High   |
| 5400         | Investment 2  | Buy        |            | 40        | 14        |        | 8      | 6        | 4         | Progress     | Low    |
| 6854         | Investment 3  | Sell       |            | 60        | 21        |        | 27     | 9        | 6         | Cancel       | Low    |
| 9896         | Investment 4  | Sell       |            | 80        | 28        |        | 36     | 12       | 8         | Progress     | Medium |
| 6631         | Investment 5  | Sell       |            | 100       | 35        |        | 15     | 15       | 10        | Progress     | Low    |
| 3730         | Investment 6  | Sell       |            | 120       | 42        |        | 54     | 18       | 12        | Progress     | Medium |
| 1654         | Investment 7  | Sell       |            | 140       | 49        |        | 53     | 21       | 14        | Accepted     | High   |
| 3657         | Investment 8  | Sell       |            | 160       | 56        |        | 72     | 24       | 16        | Progress     | Low    |
| 4480         | Investment 9  | Buy        |            | 180       | 63        |        | <br>31 | 27       | 18        | Accepted     | High   |
| 3104         | Investment 10 | Buy        |            | 200       | 70        |        | 90     | 30       | 20        | Accepted     | High   |
| 1665         | Investment 11 | Sell       |            | 220       | 77        |        | 99     | 33       | 22        | Cancel       | Low    |
| 51           | Investment 12 | Buy        |            | 240       | 84        | 10     | )8     | 36       | 24        | Progress     | High   |
| 2255         | Investment 13 | Sell       |            | 260       | 91        | 11     | 7      | 39       | 26        | Accepted     | High   |
| 2529         | Investment 14 | Sell       |            | 280       | 98        | 12     | 26     | 42       | 28        | Cancel       | Medium |
| 9679         | Investment 15 | Buy        |            | 300       | 105       | 13     | 35     | 45       | 30        | Cancel       | Medium |
| 6545         | Investment 16 | Sell       |            | 320       | 112       | 14     | 14     | 48       | 32        | Progress     | Medium |
| Account      | John Smith    | Account    | John Doe   | Account   | Richa     | rd Roe |        |          |           | TRADES       |        |
| Type         | OQV           | Type       | RZQ        | Type      | OQV       |        |        |          |           |              |        |
| Occupation   | qa            | Occupation | qa         | Occupatio | n qa      |        |        |          | Amount    |              | Fee    |
|              |               |            |            |           |           |        |        |          | 36        |              | 48     |
| Account      | Richard Roe   | Account    | John Smith | Account   | John      | Doe    |        |          | 260       |              | 65     |
| Type         | RZQ           | Type       | OQV        | Type      | AWT       |        |        |          | 766       |              | 54     |
| Occupation   | dev           | Occupation | manager    | Occupatio | n dev     |        |        |          | 622       |              | 47     |
|              |               |            |            |           |           |        |        |          | 31        |              | 17     |
|              |               |            |            |           |           |        |        |          | 766       |              | 72     |

| Account    | Richard Roe | Account    | Richard Roe | Account    | Richard Roe |
|------------|-------------|------------|-------------|------------|-------------|
| Туре       | AWT         | Туре       | AWT         | Туре       | PWZ         |
| Occupation | manager     | Occupation | qa          | Occupation | manager     |
|            |             |            |             |            |             |
| Account    | John Doe    | Account    | Richard Roe | Account    | Richard Roe |
| Туре       | RZQ         | Туре       | PWZ         | Туре       | OQV         |
| Occupation | manager     | Occupation | manager     | Occupation | dev         |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | John Doe    | Account    | John Doe    |
| Туре       | RZQ         | Туре       | RZQ         | Туре       | PWZ         |
| Occupation | qa          | Occupation | dev         | Occupation | manager     |

| Amount | Fee |
|--------|-----|
| 651    | 92  |
| 427    | 52  |
| 409    | 57  |
| 57     | 46  |
| 190    | 75  |
| 250    | 90  |
| 83     | 2   |
| 939    | 86  |
| 64     | 29  |
| 837    | 89  |
| 819    | 34  |
| 71     | 9   |
| 441    | 113 |
| 917    | 25  |
| 152    | 15  |
| 823    | 103 |
| 750    | 22  |
| 543    | 19  |
| 202    | 17  |
| 608    | 11  |
| 141    | 20  |
| 816    | 19  |
| 516    | 114 |
| 531    | 90  |
| 869    | 89  |
| 764    | 112 |
| 460    | 17  |
| 887    | 84  |
| 801    | 98  |
| 24     | 50  |
| 527    | 58  |

| Amount | Fee |
|--------|-----|
| 922    | 41  |
| 283    | 53  |
| 309    | 11  |
| 919    | 23  |

| Code          | Description   | Trade 1    | ype A      | mount I | Net Amount | Price | Quantity | Commision | Order Status | Risk   |
|---------------|---------------|------------|------------|---------|------------|-------|----------|-----------|--------------|--------|
| Region:Alabar | na            |            |            |         |            |       |          |           |              |        |
| Branch Numb   | er:13         |            |            |         |            |       |          |           |              |        |
| Agent:Phil    |               |            |            |         |            |       |          |           |              |        |
| 7655          | Investment 1  | Buy        |            | 20      | 7          | 9     | 3        | 2         | Accepted     | Medium |
| 8490          | Investment 2  | Buy        |            | 40      | 14         | 18    | 6        | 4         | Accepted     | Low    |
| 2645          | Investment 3  | Buy        |            | 60      | 21         | 27    | 9        | 6         | Progress     | Medium |
| 5929          | Investment 4  | Sell       |            | 80      | 28         | 36    | 12       | 8         | Cancel       | High   |
| 942           | Investment 5  | Sell       |            | 100     | 35         | 45    | 15       | 10        | Accepted     | Medium |
| 9922          | Investment 6  | Buy        |            | 120     | 42         | 54    | 18       | 12        | Accepted     | Low    |
| 1859          | Investment 7  | Sell       |            | 140     | 49         | 63    | 21       | 14        | Progress     | Medium |
| 433           | Investment 8  | Buy        |            | 160     | 56         | 72    | 24       | 16        | Cancel       | High   |
| 3293          | Investment 9  | Buy        |            | 180     | 63         | 81    | 27       | 18        | Progress     | High   |
| 3061          | Investment 10 | Buy        |            | 200     | 70         | 90    | 30       | 20        | Accepted     | Low    |
| Account       | Richard Roe   | Account    | John Smith | Account | Richar     | d Roe |          |           | TRADES       |        |
| Type          | PWZ           | Type       | OQV        | Type    | AWT        |       |          |           |              |        |
| Occupation    | dev           | Occupation | qa         | Occupat | ion dev    |       |          | Amount    |              | Fee    |
|               |               |            |            |         |            |       |          | 165       |              | 18     |
| Account       | John Doe      | Account    | John Doe   | Account | John [     | Ooe   |          | 367       |              | 58     |
| Type          | OQV           | Type       | OQV        | Type    | RZQ        |       |          | 817       |              | 16     |
| Occupation    | manager       | Occupation | qa         | Occupat | ion dev    |       |          | 9         |              | 19     |
|               |               |            |            |         |            |       |          |           |              |        |
| Account       | John Smith    | Account    | John Smith | Account | John S     | Smith |          |           |              |        |
| Type          | AWT           | Type       | PWZ        | Type    | VQO        |       |          |           |              |        |
| Occupation    | qa            | Occupation | dev        | Occupat | ion manag  | ger   |          |           |              |        |
|               |               |            |            |         |            |       |          |           |              |        |
| Account       | John Smith    | Account    | John Doe   | Account |            | d Roe |          |           |              |        |
| Туре          | OQV           | Type       | RZQ        | Type    | AWT        |       |          |           |              |        |
| Occupation    | manager       | Occupation | manager    | Occupat | ion manag  | ger   |          |           |              |        |
|               |               |            |            |         |            |       |          |           |              |        |

| Account    | John Smith  | Account    | John Smith  | Account    | John Doe    |
|------------|-------------|------------|-------------|------------|-------------|
| Туре       | RZQ         | Type       | RZQ         | Type       | RZQ         |
| Occupation | manager     | Occupation | qa          | Occupation | qa          |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | John Doe    | Account    | Richard Roe |
| Type       | RZQ         | Type       | RZQ         | Type       | OQV         |
| Occupation | qa          | Occupation | manager     | Occupation | qa          |
|            |             |            |             |            |             |
| Account    | John Doe    | Account    | Richard Roe | Account    | John Doe    |
| Type       | OQV         | Type       | AWT         | Type       | RZQ         |
| Occupation | manager     | Occupation | qa          | Occupation | dev         |
|            |             |            |             |            |             |
| Account    | John Doe    | Account    | John Doe    | Account    | John Smith  |
| Type       | RZQ         | Type       | RZQ         | Type       | AWT         |
| Occupation | dev         | Occupation | dev         | Occupation | dev         |
|            |             |            |             |            |             |
| Account    | John Smith  |            |             |            |             |
| Type       | AWT         |            |             |            |             |
| Occupation | qa          |            |             |            |             |

| Code          | Description   | Trade <sup>-</sup> | Гуре А      | mount   | Net Amount | Pri  | ce | Quantity | Commision | Order Status | Risk   |
|---------------|---------------|--------------------|-------------|---------|------------|------|----|----------|-----------|--------------|--------|
| Region:Alabar |               |                    |             |         |            |      |    |          |           |              |        |
| Branch Number | er:10         |                    |             |         |            |      |    |          |           |              |        |
| Agent:Juliet  |               |                    |             |         |            |      |    |          |           |              |        |
| 7969          | Investment 1  | Buy                |             | 20      | 7          |      | 9  | 3        | 2         | Accepted     | Medium |
| 529           | Investment 2  | Buy                |             | 40      | 14         | -    | 18 | 6        | 4         | Progress     | High   |
| 8930          | Investment 3  | Buy                |             | 60      | 21         |      | 27 | 9        | 6         | Cancel       | Medium |
| 8349          | Investment 4  | Buy                |             | 80      | 28         |      | 36 | 12       | 8         | Accepted     | Low    |
| 5             | Investment 5  | Sell               |             | 100     | 35         | 4    | 45 | 15       | 10        | Progress     | High   |
| 6527          | Investment 6  | Buy                |             | 120     | 42         |      | 54 | 18       | 12        | Progress     | Low    |
| 8498          | Investment 7  | Buy                |             | 140     | 49         | (    | 63 | 21       | 14        | Cancel       | High   |
| 6649          | Investment 8  | Buy                |             | 160     | 56         |      | 72 | 24       | 16        | Progress     | High   |
| 6345          | Investment 9  | Buy                |             | 180     | 63         | 8    | 81 | 27       | 18        | Accepted     | Medium |
| 8582          | Investment 10 | Sell               |             | 200     | 70         | Ģ    | 90 | 30       | 20        | Cancel       | Low    |
| 7950          | Investment 11 | Sell               |             | 220     | 77         | Ġ    | 99 | 33       | 22        | Cancel       | Medium |
| Account       | Richard Roe   | Account            | Richard Roe | Account | John       | Doe  |    |          |           | TRADES       |        |
| Туре          | PWZ           | Туре               | OQV         | Type    | OQV        |      |    |          |           |              |        |
| Occupation    | qa            | Occupation         | qa          | Occupat | ion dev    |      |    |          | Amount    |              | Fee    |
|               |               |                    |             |         |            |      |    |          | 447       |              | 52     |
| Account       | John Doe      | Account            | Richard Roe | Account | John       | Doe  |    |          | 666       |              | 77     |
| Туре          | AWT           | Туре               | AWT         | Type    | RZQ        |      |    |          | 338       |              | 90     |
| Occupation    | dev           | Occupation         | dev         | Occupat | ion dev    |      |    |          | 107       |              | 61     |
|               |               |                    |             |         |            |      |    |          | 804       |              | 75     |
| Account       | Richard Roe   | Account            | John Smith  | Account | John       | Doe  |    |          | 299       |              | 28     |
| Туре          | RZQ           | Туре               | OQV         | Type    | OQV        |      |    |          | 61        |              | 42     |
| Occupation    | dev           | Occupation         | manager     | Occupat | ion mana   | iger |    |          | 740       |              | 17     |
|               |               |                    |             |         |            |      |    |          | 361       |              | 97     |
|               |               |                    |             |         |            |      |    |          | 535       |              | 114    |
|               |               |                    |             |         |            |      |    |          | 563       |              | 22     |
|               |               |                    |             |         |            |      |    |          | 717       |              | 109    |
|               |               |                    |             |         |            |      |    |          |           |              |        |

| Amount | Fee |
|--------|-----|
| 295    | 9   |
| 638    | 94  |
| 421    | 1   |
| 970    | 16  |
| 941    | 23  |
| 50     | 7   |
| 43     | 11  |
| 546    | 41  |
| 193    | 74  |
| 237    | 101 |
| 707    | 57  |
| 469    | 51  |
| 379    | 115 |
| 77     | 11  |
| 593    | 78  |
| 477    | 98  |
| 943    | 20  |
| 98     | 47  |
| 247    | 86  |
| 127    | 52  |
| 217    | 66  |
| 244    | 104 |
| 140    | 109 |
| 601    | 57  |
| 680    | 59  |
| 631    | 79  |
| 54     | 83  |
| 99     | 27  |
| 189    | 96  |
| 280    | 6   |
| 130    | 90  |
|        |     |

| Amount | Fee |
|--------|-----|
| 400    | 118 |
| 131    | 76  |
| 526    | 75  |
| 128    | 6   |
| 355    | 88  |
| 350    | 2   |
| 652    | 21  |
| 601    | 91  |
| 564    | 10  |
| 158    | 34  |
| 363    | 45  |
| 394    | 51  |
| 227    | 36  |
| 59     | 12  |
| 546    | 87  |
| 65     | 93  |
| 217    | 100 |
| 183    | 26  |
| 200    | 22  |

| Code         | Description   | Trade Ty   | /pe An      | nount N    | et Amount | Pri   | ce | Quantity | Commision | Order Status | Risk   |
|--------------|---------------|------------|-------------|------------|-----------|-------|----|----------|-----------|--------------|--------|
| Region:Alaba | ma            |            |             |            |           |       |    |          |           |              |        |
| Branch Numb  | er:5          |            |             |            |           |       |    |          |           |              |        |
| Agent:Juliet |               |            |             |            |           |       |    |          |           |              |        |
| 8287         | Investment 1  | Buy        |             | 20         | 7         |       | 9  | 3        | 2         | Accepted     | Low    |
| 2999         | Investment 2  | Buy        |             | 40         | 14        |       | 18 | 6        | 4         | Accepted     | Medium |
| 9175         | Investment 3  | Sell       |             | 60         | 21        |       | 27 | 9        | 6         | Cancel       | Low    |
| 1204         | Investment 4  | Sell       |             | 80         | 28        |       | 36 | 12       | 8         | Progress     | Low    |
| 7239         | Investment 5  | Sell       |             | 100        | 35        |       | 45 | 15       | 10        | Accepted     | Medium |
| 9585         | Investment 6  | Sell       |             | 120        | 42        |       | 54 | 18       | 12        | Progress     | High   |
| 4913         | Investment 7  | Sell       |             | 140        | 49        |       | 63 | 21       | 14        | Accepted     | High   |
| 8153         | Investment 8  | Sell       |             | 160        | 56        |       | 72 | 24       | 16        | Progress     | Low    |
| 9795         | Investment 9  | Sell       |             | 180        | 63        |       | 81 | 27       | 18        | Progress     | Medium |
| 2823         | Investment 10 | Sell       |             | 200        | 70        |       | 90 | 30       | 20        | Cancel       | Medium |
| 8264         | Investment 11 | Buy        |             | 220        | 77        |       | 99 | 33       | 22        | Cancel       | Low    |
| 5887         | Investment 12 | Buy        |             | 240        | 84        | 1     | 80 | 36       | 24        | Progress     | High   |
| 1709         | Investment 13 | Buy        |             | 260        | 91        | 1     | 17 | 39       | 26        | Progress     | Medium |
| 2288         | Investment 14 | Buy        |             | 280        | 98        | 1:    | 26 | 42       | 28        | Accepted     | Low    |
| 5410         | Investment 15 | Buy        |             | 300        | 105       | 1:    | 35 | 45       | 30        | Cancel       | High   |
| 6390         | Investment 16 | Buy        |             | 320        | 112       | 1.    | 44 | 48       | 32        | Progress     | High   |
| 7851         | Investment 17 | Buy        |             | 340        | 119       | 1     | 53 | 51       | 34        | Cancel       | Medium |
| 1577         | Investment 18 | Sell       |             | 360        | 126       | 1     | 62 | 54       | 36        | Cancel       | Low    |
| 9677         | Investment 19 | Buy        |             | 380        | 133       | 1     | 71 | 57       | 38        | Accepted     | High   |
| 4950         | Investment 20 | Buy        |             | 400        | 140       | 13    | 80 | 60       | 40        | Cancel       | Low    |
| Account      | John Doe      | Account    | Richard Roe | Account    | Joh       | n Doe |    |          |           | TRADES       |        |
| Type         | RZQ           | Type       | RZQ         | Type       | OQ\       | /     |    |          |           |              |        |
| Occupation   | dev           | Occupation | qa          | Occupation | on mar    | nager |    |          | Amount    |              | Fee    |
|              |               |            |             |            |           |       |    |          | 371       |              | 72     |
|              |               |            |             |            |           |       |    |          | 204       |              | 99     |
|              |               |            |             |            |           |       |    |          | 889       |              | 115    |

| Account Type Occupation | John Doe<br>PWZ<br>qa         | Account<br>Type<br>Occupation | John Smith<br>AWT<br>qa       | Account<br>Type<br>Occupation | Richard Roe<br>PWZ<br>manager |
|-------------------------|-------------------------------|-------------------------------|-------------------------------|-------------------------------|-------------------------------|
| Account Type Occupation | John Smith<br>OQV<br>qa       | Account Type Occupation       | John Doe<br>PWZ<br>qa         | Account Type Occupation       | Richard Roe<br>RZQ<br>manager |
| Account Type Occupation | Richard Roe<br>AWT<br>manager | Account Type Occupation       | John Doe<br>RZQ<br>dev        | Account<br>Type<br>Occupation | John Smith<br>RZQ<br>manager  |
| Account Type Occupation | John Smith<br>OQV<br>dev      | Account Type Occupation       | John Smith<br>PWZ<br>manager  | Account Type Occupation       | John Doe<br>PWZ<br>qa         |
| Account Type Occupation | John Smith<br>PWZ<br>qa       | Account<br>Type<br>Occupation | John Doe<br>RZQ<br>qa         | Account<br>Type<br>Occupation | John Doe<br>AWT<br>qa         |
| Account Type Occupation | Richard Roe<br>PWZ<br>dev     | Account Type Occupation       | Richard Roe<br>RZQ<br>manager | Account Type Occupation       | John Smith<br>AWT<br>manager  |

| Amount | Fee |
|--------|-----|
| 937    | 61  |
| 737    | 28  |
| 605    | 94  |
| 484    | 2   |
| 185    | 41  |
| 560    | 87  |
| 668    | 88  |

| Code               | Description   | Trade Ty   | /pe A      | mount Ne  | et Amount | Pric    | :e | Quantity | Commision | Order Status | Risk   |
|--------------------|---------------|------------|------------|-----------|-----------|---------|----|----------|-----------|--------------|--------|
| Region:Florid      | la            |            |            |           |           |         |    |          |           |              |        |
| <b>Branch Numb</b> | er:3          |            |            |           |           |         |    |          |           |              |        |
| Agent:Gerry        |               |            |            |           |           |         |    |          |           |              |        |
| 2943               | Investment 1  | Sell       |            | 20        | 7         |         | 9  | 3        | 2         | Accepted     | Medium |
| 7935               | Investment 2  | Buy        |            | 40        | 14        | 1       | 8  | 6        | 4         | Progress     | High   |
| 561                | Investment 3  | Sell       |            | 60        | 21        | 2       | 27 | 9        | 6         | Accepted     | High   |
| 1821               | Investment 4  | Sell       |            | 80        | 28        | 3       | 86 | 12       | 8         | Accepted     | High   |
| 3328               | Investment 5  | Buy        |            | 100       | 35        | 4       | 15 | 15       | 10        | Accepted     | Medium |
| 882                | Investment 6  | Buy        |            | 120       | 42        | 5       | 54 | 18       | 12        | Cancel       | High   |
| 7                  | Investment 7  | Buy        |            | 140       | 49        | 6       | 53 | 21       | 14        | Cancel       | Medium |
| 177                | Investment 8  | Sell       |            | 160       | 56        | 7       | '2 | 24       | 16        | Progress     | Low    |
| 8568               | Investment 9  | Sell       |            | 180       | 63        | 8       | 81 | 27       | 18        | Progress     | Low    |
| 1061               | Investment 10 | Buy        |            | 200       | 70        | g       | 00 | 30       | 20        | Progress     | Low    |
| 2853               | Investment 11 | Sell       |            | 220       | 77        | g       | 9  | 33       | 22        | Progress     | Low    |
| 9778               | Investment 12 | Sell       |            | 240       | 84        | 10      | 8  | 36       | 24        | Cancel       | Medium |
| 9425               | Investment 13 | Buy        |            | 260       | 91        | 11      | 7  | 39       | 26        | Accepted     | Low    |
| 8571               | Investment 14 | Buy        |            | 280       | 98        | 12      | 26 | 42       | 28        | Accepted     | Low    |
| 5070               | Investment 15 | Sell       |            | 300       | 105       | 13      | 5  | 45       | 30        | Progress     | Medium |
| 906                | Investment 16 | Sell       |            | 320       | 112       | 14      | 4  | 48       | 32        | Cancel       | High   |
| 9814               | Investment 17 | Buy        |            | 340       | 119       | 15      | 3  | 51       | 34        | Accepted     | Medium |
| 7298               | Investment 18 | Buy        |            | 360       | 126       | 16      | 52 | 54       | 36        | Progress     | Low    |
| Account            | John Smith    | Account    | John Smith | Account   |           | ard Roe |    |          |           | TRADES       |        |
| Туре               | PWZ           | Type       | PWZ        | Type      | OQV       |         |    |          |           |              |        |
| Occupation         | dev           | Occupation | manager    | Occupatio | n dev     |         |    |          | Amount    |              | Fee    |
|                    |               |            |            |           |           |         |    |          | 702       |              | 56     |
| Account            | Richard Roe   | Account    | John Doe   | Account   | John      | Smith   |    |          | 671       |              | 73     |
| Type               | RZQ           | Type       | PWZ        | Type      | AWT       |         |    |          | 250       |              | 116    |
| Occupation         | manager       | Occupation | dev        | Occupatio | n mana    | iger    |    |          | 177       |              | 69     |
|                    |               |            |            |           |           |         |    |          | 598       |              | 43     |

| Account Type Occupation | Richard Roe<br>AWT      | Account Type Occupation | Richard Roe<br>OQV            | Account Type Occupation | John Smith<br>RZQ<br>dev  |
|-------------------------|-------------------------|-------------------------|-------------------------------|-------------------------|---------------------------|
| Occupation              | qa                      | Occupation              | qa                            | Occupation              | uev                       |
| Account Type Occupation | John Doe<br>AWT<br>dev  | Account Type Occupation | Richard Roe<br>PWZ<br>manager | Account Type Occupation | John Smith<br>PWZ<br>qa   |
| Account Type Occupation | John Smith<br>RZQ<br>qa | Account Type Occupation | John Doe<br>OQV<br>manager    | Account Type Occupation | Richard Roe<br>OQV<br>dev |

|        | _   |
|--------|-----|
| Amount | Fee |
| 463    | 32  |
| 949    | 28  |
| 685    | 110 |
| 124    | 30  |
| 444    | 90  |
| 159    | 84  |
| 749    | 54  |
| 514    | 28  |
| 307    | 61  |
| 318    | 26  |
| 69     | 76  |
| 182    | 58  |
| 95     | 95  |
| 804    | 91  |
| 373    | 73  |
| 141    | 6   |
| 356    | 75  |
| 806    | 14  |
| 996    | 37  |
| 266    | 65  |
| 349    | 34  |
| 697    | 76  |
| 156    | 53  |
| 814    | 110 |
| 59     | 90  |
| 813    | 67  |
| 723    | 88  |
| 663    | 104 |
| 294    | 98  |
| 755    | 78  |
| 197    | 116 |
|        |     |

| Amount | Fee |
|--------|-----|
| 115    | 23  |
| 875    | 115 |
| 704    | 46  |
| 892    | 85  |
| 19     | 59  |
| 654    | 8   |
| 290    | 76  |
| 658    | 15  |
| 219    | 31  |
| 359    | 6   |
| 111    | 3   |
| 588    | 86  |

| Code   | Description  | Trade      | Туре     | Amount | Net Amount | Pri     | ce | Quantity | Commision | Order Status | Risk |
|--|--------------|------------|----------|--------|------------|---------|----|----------|-----------|--------------|------|
| Region:Florida<br>Branch Numb<br>Agent:Adelina | er:12        |            |          |        |            |         |    |          |           |              |      |
| 343  | Investment 1 | Sell       |          | 20     | 7          |         | 9  | 3        | 2         | Progress     | Low  |
| Account  | John Doe     | Account    | John Doe | Accou  | nt Joh     | n Smith |    |          |           | TRADES       |      |
| Type   | PWZ          | Type       | RZQ      | Type   | OQ'        | /       |    |          |           |              |      |
| Occupation                                     | manager      | Occupation | dev      | Occupa | ation ma   | nager   |    |          | Amount    |              | Fee  |
|  |              |            |          |        |            |         |    |          | 280       |              | 69   |
|  |              |            |          |        |            |         |    |          | 870       |              | 99   |
|  |              |            |          |        |            |         |    |          | 510       |              | 20   |

| Code                                       | Description        | Trade           | Гуре            | Amount        | Net Amoun | t Pri             | ice | Quantity | Commision | Order Status | Risk   |
|--|--------------------|-----------------|-----------------|---------------|-----------|-------------------|-----|----------|-----------|--------------|--------|
| Region:Arizor<br>Branch Numb<br>Agent:Maia |                    |                 |                 |               |           |                   |     |          |           |              |        |
| 6902                                       | Investment 1       | Sell            |                 | 20            | 7         | ,                 | 9   | 3        | 2         | Cancel       | High   |
| 8428                                       | Investment 2       | Buy             |                 | 40            | 14        | 1                 | 18  | 6        | 4         | Cancel       | Medium |
| 5808                                       | Investment 3       | Sell            |                 | 60            | 21        |                   | 27  | 9        | 6         | Accepted     | Medium |
| 7746                                       | Investment 4       | Buy             |                 | 80            | 28        | 3                 | 36  | 12       | 8         | Cancel       | High   |
| 6753                                       | Investment 5       | Sell            |                 | 100           | 35        | 5                 | 45  | 15       | 10        | Accepted     | High   |
| 4671                                       | Investment 6       | Sell            |                 | 120           | 42        | 2                 | 54  | 18       | 12        | Progress     | High   |
| Account                                    | Richard Roe<br>OQV | Account<br>Type | John Doe<br>RZQ | Accou         | nt        | John Smith<br>RZQ |     |          |           | TRADES       |        |
| Type Occupation                            |                    | Occupation      | •               | Type<br>Occup | ation     | dev               |     |          | Amount    |              | Fee    |
| Occupation                                 | qa                 | Occupation      | qa              | Occup         | ation     | uev               |     |          | 923       |              | 19     |
| Account                                    | John Doe           | Account         | John Doe        | Accou         | nt        | John Smith        |     |          | 723       |              | 15     |
| Type                                       | OQV                | Type            | AWT             | Type          |           | OQV               |     |          | 41        |              | 58     |
| Occupation                                 | qa                 | Occupation      | dev             | Occup         | ation     | dev               |     |          | 592       |              | 86     |
|  | 4                  |                 |                 |               |           |                   |     |          | 585       |              | 33     |
| Account                                    | John Smith         | Account         | John Doe        | Accou         | nt        | Richard Roe       |     |          | 162       |              | 7      |
| Туре                                       | OQV                | Type            | OQV             | Type          |           | PWZ               |     |          | 892       |              | 91     |
| Occupation                                 | dev                | Occupation      | dev             | Occup         | ation     | qa                |     |          | 953       |              | 77     |
|  |                    |                 |                 |               |           |                   |     |          | 789       |              | 15     |
| Account                                    | John Smith         | Account         | John Smith      | Accou         | nt        | John Smith        |     |          | 575       |              | 50     |
| Туре                                       | AWT                | Туре            | OQV             | Type          |           | PWZ               |     |          | 439       |              | 119    |
| Occupation                                 | manager            | Occupation      | manager         | Occup         | ation     | qa                |     |          | 401       |              | 93     |
|  |                    |                 |                 |               |           |                   |     |          | 720       |              | 47     |
| Account                                    | John Doe           | Account         | John Smith      | Accou         | nt        | Richard Roe       |     |          | 646       |              | 82     |
| Туре                                       | OQV                | Type            | AWT             | Type          |           | OQV               |     |          | 422       |              | 96     |
| Occupation                                 | qa                 | Occupation      | qa              | Occup         | ation     | manager           |     |          |           |              |        |

| Account    | John Doe    | Account    | John Doe   | Account    | John Smith |
|------------|-------------|------------|------------|------------|------------|
| Type       | PWZ         | Type       | RZQ        | Type       | OQV        |
| Occupation | qa          | Occupation | manager    | Occupation | qa         |
|            |             |            |            |            |            |
| Account    | Richard Roe | Account    | John Smith | Account    | John Smith |
| Туре       | RZQ         | Type       | AWT        | Type       | RZQ        |
| Occupation | dev         | Occupation | manager    | Occupation | qa         |

| Code        | Description   | Trade Type | Amount | Net Amount | Price | Quantity | Commision | Order Status | Risk   |
|-------------|---------------|------------|--------|------------|-------|----------|-----------|--------------|--------|
| Region:Cali | fornia        |            |        |            |       |          |           |              |        |
| Branch Nun  | nber:11       |            |        |            |       |          |           |              |        |
| Agent:Gerry | 1             |            |        |            |       |          |           |              |        |
| 7198        | Investment 1  | Sell       | 20     | 7          | 9     | 3        | 2         | Accepted     | Low    |
| 9833        | Investment 2  | Sell       | 40     | 14         | 18    | 6        | 4         | Accepted     | Medium |
| 8747        | Investment 3  | Sell       | 60     | 21         | 27    | 9        | 6         | Accepted     | Medium |
| 4218        | Investment 4  | Sell       | 80     | 28         | 36    | 12       | 8         | Accepted     | High   |
| 4669        | Investment 5  | Sell       | 100    | 35         | 45    | 15       | 10        | Accepted     | Low    |
| 3339        | Investment 6  | Sell       | 120    | 42         | 54    | 18       | 12        | Accepted     | High   |
| 6841        | Investment 7  | Sell       | 140    | 49         | 63    | 21       | 14        | Cancel       | Medium |
| 7168        | Investment 8  | Sell       | 160    | 56         | 72    | 24       | 16        | Cancel       | Medium |
| 4794        | Investment 9  | Sell       | 180    | 63         | 81    | 27       | 18        | Cancel       | Medium |
| 236         | Investment 10 | Sell       | 200    | 70         | 90    | 30       | 20        | Accepted     | Medium |
| 8905        | Investment 11 | Sell       | 220    | 77         | 99    | 33       | 22        | Progress     | Low    |
| 4722        | Investment 12 | Sell       | 240    | 84         | 108   | 36       | 24        | Accepted     | Low    |
| 5418        | Investment 13 | Buy        | 260    | 91         | 117   | 39       | 26        | Cancel       | Medium |
| 6450        | Investment 14 | Buy        | 280    | 98         | 126   | 42       | 28        | Cancel       | High   |
| 3526        | Investment 15 | Buy        | 300    | 105        | 135   | 45       | 30        | Accepted     | Medium |
| 7015        | Investment 16 | Buy        | 320    | 112        | 144   | 48       | 32        | Accepted     | Medium |
| 1969        | Investment 17 | Buy        | 340    | 119        | 153   | 51       | 34        | Cancel       | High   |
| Account     | John Smith    |            |        |            |       |          |           | TRADES       |        |
| Type        | RZQ           |            |        |            |       |          |           |              |        |
| Occupation  | qa            |            |        |            |       |          | Amount    |              | Fee    |
|             |               |            |        |            |       |          | 988       |              | 56     |
|             |               |            |        |            |       |          | 542       |              | 25     |
|             |               |            |        |            |       |          | 725       |              | 119    |
|             |               |            |        |            |       |          | 53        |              | 8      |
|             |               |            |        |            |       |          | 141       |              | 110    |
|             |               |            |        |            |       |          | 688       |              | 108    |

| Amount | Fee |
|--------|-----|
| 111    | 4   |
| 535    | 91  |
| 669    | 84  |
| 391    | 12  |
| 258    | 25  |
| 572    | 46  |
| 383    | 1   |
| 394    | 75  |
| 609    | 100 |
| 121    | 112 |
| 551    | 96  |
| 495    | 74  |
| 57     | 83  |
| 439    | 118 |
| 668    | 3   |
| 911    | 76  |
| 530    | 5   |
| 527    | 49  |
| 886    | 72  |
| 941    | 56  |
| 229    | 29  |
| 470    | 93  |
| 336    | 46  |
| 87     | 14  |
| 166    | 56  |
| 745    | 86  |
| 494    | 86  |
| 451    | 14  |
| 683    | 75  |
| 610    | 18  |
| 984    | 20  |

| Amount | Fee |
|--------|-----|
| 467    | 86  |
| 954    | 31  |
| 440    | 67  |
| 125    | 52  |
| 785    | 50  |
| 982    | 31  |
| 314    | 92  |
| 424    | 23  |
| 555    | 76  |
| 371    | 22  |
| 581    | 41  |
| 766    | 45  |
| 575    | 99  |
| 757    | 28  |
| 32     | 25  |

| Code           | Description   | Trade 7    | Гуре Аі     | mount  | Net Amount | Pric     | ce | Quantity | Commision | Order Status | Risk   |
|----------------|---------------|------------|-------------|--------|------------|----------|----|----------|-----------|--------------|--------|
| Region:Florida | a             |            |             |        |            |          |    |          |           |              |        |
| Branch Numb    | er:19         |            |             |        |            |          |    |          |           |              |        |
| Agent:Phil     |               |            |             |        |            |          |    |          |           |              |        |
| 7506           | Investment 1  | Sell       |             | 20     | 7          |          | 9  | 3        | 2         | Cancel       | High   |
| 3063           | Investment 2  | Buy        |             | 40     | 14         | -        | 18 | 6        | 4         | Accepted     | Low    |
| 4924           | Investment 3  | Sell       |             | 60     | 21         |          | 27 | 9        | 6         | Progress     | Low    |
| 1290           | Investment 4  | Buy        |             | 80     | 28         | 3        | 36 | 12       | 8         | Cancel       | High   |
| 2774           | Investment 5  | Buy        |             | 100    | 35         | 4        | 45 | 15       | 10        | Progress     | Low    |
| 1606           | Investment 6  | Buy        |             | 120    | 42         | Į.       | 54 | 18       | 12        | Progress     | High   |
| 2222           | Investment 7  | Sell       |             | 140    | 49         | (        | 63 | 21       | 14        | Progress     | High   |
| 9622           | Investment 8  | Sell       |             | 160    | 56         | -        | 72 | 24       | 16        | Progress     | Medium |
| 426            | Investment 9  | Buy        |             | 180    | 63         | 8        | 81 | 27       | 18        | Progress     | Medium |
| 2134           | Investment 10 | Sell       |             | 200    | 70         | Ć        | 90 | 30       | 20        | Progress     | High   |
| 4327           | Investment 11 | Sell       |             | 220    | 77         | Ć        | 99 | 33       | 22        | Progress     | High   |
| 3884           | Investment 12 | Buy        |             | 240    | 84         | 10       | 80 | 36       | 24        | Progress     | Medium |
| 2553           | Investment 13 | Sell       |             | 260    | 91         | 11       | 17 | 39       | 26        | Cancel       | Medium |
| 6342           | Investment 14 | Sell       |             | 280    | 98         | 12       | 26 | 42       | 28        | Progress     | High   |
| Account        | John Smith    | Account    | Richard Roe | Accoun | t Rich     | ard Roe  |    |          |           | TRADES       |        |
| Type           | OQV           | Type       | OQV         | Type   | PWZ        | <u>7</u> |    |          |           |              |        |
| Occupation     | manager       | Occupation | qa          | Occupa | tion qa    |          |    |          | Amount    |              | Fee    |
|                |               |            |             |        |            |          |    |          | 360       |              | 82     |
| Account        | John Doe      | Account    | John Smith  | Accoun | t Joh      | n Doe    |    |          | 24        |              | 43     |
| Type           | AWT           | Type       | PWZ         | Type   | RZQ        | !        |    |          | 396       |              | 10     |
| Occupation     | dev           | Occupation | dev         | Occupa | tion dev   |          |    |          | 345       |              | 75     |
|                |               |            |             |        |            |          |    |          | 752       |              | 66     |
| Account        | John Doe      | Account    | John Doe    | Accoun | t Joh      | n Smith  |    |          | 127       |              | 13     |
| Type           | OQV           | Type       | PWZ         | Type   | OQV        | 1        |    |          | 93        |              | 102    |
| Occupation     | manager       | Occupation | manager     | Occupa | tion qa    |          |    |          | 778       |              | 7      |

| Account    | John Smith | Account    | Richard Roe | Account    | John Doe |
|------------|------------|------------|-------------|------------|----------|
| Туре       | PWZ        | Туре       | PWZ         | Type       | PWZ      |
| Occupation | dev        | Occupation | qa          | Occupation | qa       |
|            |            |            |             |            |          |
| Account    | John Doe   |            |             |            |          |
| Type       | RZQ        |            |             |            |          |
| Occupation | dev        |            |             |            |          |

| Code               | Description  | Trade      | Туре        | Amount I | let Amount | Price | Quantity | Commision | Order Status | Risk   |
|--------------------|--------------|------------|-------------|----------|------------|-------|----------|-----------|--------------|--------|
| Region:Alaba       | ma           |            |             |          |            |       |          |           |              |        |
| <b>Branch Numb</b> | er:3         |            |             |          |            |       |          |           |              |        |
| Agent:Gerry        |              |            |             |          |            |       |          |           |              |        |
| 8356               | Investment 1 | Sell       |             | 20       | 7          | 9     | 3        | 2         | Accepted     | Medium |
| 290                | Investment 2 | Sell       |             | 40       | 14         | 18    | 6        | 4         | Cancel       | Low    |
| 2059               | Investment 3 | Sell       |             | 60       | 21         | 27    | 9        | 6         | Progress     | Medium |
| 8781               | Investment 4 | Buy        |             | 80       | 28         | 36    | 12       | 8         | Progress     | Low    |
| Account            | John Smith   | Account    | John Doe    | Account  | John D     | oe    |          |           | TRADES       |        |
| Type               | PWZ          | Type       | AWT         | Type     | AWT        |       |          |           |              | -      |
| Occupation         | qa           | Occupation | dev         | Occupat  | on qa      |       |          | Amount    |              | Fee    |
|                    |              |            |             |          |            |       |          | 385       |              | 67     |
| Account            | John Smith   | Account    | John Doe    | Account  | John D     | oe    |          | 845       |              | 51     |
| Type               | OQV          | Type       | AWT         | Type     | AWT        |       |          | 68        |              | 65     |
| Occupation         | dev          | Occupation | dev         | Occupat  | on manag   | er    |          | 859       |              | 73     |
|                    |              |            |             |          |            |       |          | 353       |              | 99     |
| Account            | John Doe     | Account    | Richard Roe |          |            |       |          | 274       |              | 115    |
| Type               | RZQ          | Type       | PWZ         |          |            |       |          | 292       |              | 1      |
| Occupation         | dev          | Occupation | qa          |          |            |       |          | 702       |              | 72     |
|                    |              |            |             |          |            |       |          | 593       |              | 89     |
|                    |              |            |             |          |            |       |          | 591       |              | 30     |
|                    |              |            |             |          |            |       |          | 740       |              | 1      |
|                    |              |            |             |          |            |       |          | 451       |              | 43     |
|                    |              |            |             |          |            |       |          | 435       |              | 42     |
|                    |              |            |             |          |            |       |          | 817       |              | 91     |
|                    |              |            |             |          |            |       |          | 610       |              | 0      |
|                    |              |            |             |          |            |       |          | 71        |              | 108    |
|                    |              |            |             |          |            |       |          | 787       |              | 118    |
|                    |              |            |             |          |            |       |          | 809       |              | 13     |
|                    |              |            |             |          |            |       |          | 376       |              | 38     |

| Amount | Fee |
|--------|-----|
| 703    | 37  |
| 14     | 14  |
| 489    | 56  |
| 600    | 30  |

| Code          | Description   | Trade      | Туре д     | mount   | Net Amount | Pric  | се | Quantity | Commision | Order Status | Risk   |
|---------------|---------------|------------|------------|---------|------------|-------|----|----------|-----------|--------------|--------|
| Region:Arizor |               |            |            |         |            |       |    |          |           |              |        |
| Branch Numb   | er:5          |            |            |         |            |       |    |          |           |              |        |
| Agent:Phil    |               |            |            |         |            |       |    |          |           |              |        |
| 1542          | Investment 1  | Sell       |            | 20      | 7          |       | 9  | 3        | 2         | Progress     | Medium |
| 5404          | Investment 2  | Buy        |            | 40      | 14         | 1     | 18 | 6        | 4         | Accepted     | Medium |
| 8592          | Investment 3  | Buy        |            | 60      | 21         | 2     | 27 | 9        | 6         | Progress     | Low    |
| 351           | Investment 4  | Sell       |            | 80      | 28         | 3     | 36 | 12       | 8         | Cancel       | Low    |
| 4973          | Investment 5  | Sell       |            | 100     | 35         |       | 45 | 15       | 10        | Accepted     | High   |
| 7414          | Investment 6  | Sell       |            | 120     | 42         | Ę     | 54 | 18       | 12        | Accepted     | High   |
| 4908          | Investment 7  | Buy        |            | 140     | 49         | (     | 63 | 21       | 14        | Progress     | Medium |
| 8892          | Investment 8  | Sell       |            | 160     | 56         | 7     | 72 | 24       | 16        | Accepted     | High   |
| 7578          | Investment 9  | Sell       |            | 180     | 63         | 8     | 81 | 27       | 18        | Accepted     | Medium |
| 6304          | Investment 10 | Buy        |            | 200     | 70         | g     | 90 | 30       | 20        | Accepted     | Medium |
| 8565          | Investment 11 | Buy        |            | 220     | 77         | Ć     | 99 | 33       | 22        | Progress     | Low    |
| Account       | Richard Roe   | Account    | John Smith | Account | John       | Smith |    |          |           | TRADES       |        |
| Type          | PWZ           | Type       | OQV        | Type    | PWZ        |       |    |          |           |              |        |
| Occupation    | manager       | Occupation | qa         | Occupat | tion mana  | ager  |    |          | Amount    |              | Fee    |
|               |               |            |            |         |            |       |    |          | 315       |              | 42     |
| Account       | John Smith    | Account    | John Smith | Account | John       | Smith |    |          | 766       |              | 75     |
| Type          | AWT           | Type       | PWZ        | Type    | AWT        |       |    |          | 702       |              | 22     |
| Occupation    | manager       | Occupation | dev        | Occupat | tion dev   |       |    |          | 771       |              | 98     |
|               |               |            |            |         |            |       |    |          | 587       |              | 75     |
| Account       | Richard Roe   | Account    | John Doe   | Account | : John     | Doe   |    |          | 172       |              | 115    |
| Type          | RZQ           | Type       | RZQ        | Type    | RZQ        |       |    |          | 87        |              | 18     |
| Occupation    | qa            | Occupation | dev        | Occupat | tion qa    |       |    |          | 865       |              | 56     |
|               |               |            |            |         |            |       |    |          | 795       |              | 47     |
|               |               |            |            |         |            |       |    |          | 249       |              | 78     |
|               |               |            |            |         |            |       |    |          | 69        |              | 1      |
|               |               |            |            |         |            |       |    |          | 99        |              | 3      |

| Account    | John Smith  | Account    | John Doe    | Account    | John Doe    |
|------------|-------------|------------|-------------|------------|-------------|
| Type       | RZQ         | Type       | PWZ         | Type       | PWZ         |
| Occupation | manager     | Occupation | qa          | Occupation | dev         |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | Richard Roe | Account    | Richard Roe |
| Type       | PWZ         | Type       | RZQ         | Type       | AWT         |
| Occupation | dev         | Occupation | qa          | Occupation | dev         |

| Amount | Fee |
|--------|-----|
| 739    | 92  |
| 376    | 97  |
| 919    | 29  |

| Code          | Description   | Trade 1    | Гуре А     | mount N  | let Amount | Pri  | ce | Quantity | Commision | Order Status | Risk   |
|---------------|---------------|------------|------------|----------|------------|------|----|----------|-----------|--------------|--------|
| Region:Colora | ado           |            |            |          |            |      |    |          |           |              |        |
| Branch Numb   | er:1          |            |            |          |            |      |    |          |           |              |        |
| Agent:Adelina | 1             |            |            |          |            |      |    |          |           |              |        |
| 3993          | Investment 1  | Buy        |            | 20       | 7          |      | 9  | 3        | 2         | Cancel       | Medium |
| 8065          | Investment 2  | Buy        |            | 40       | 14         |      | 18 | 6        | 4         | Progress     | High   |
| 3624          | Investment 3  | Buy        |            | 60       | 21         | 2    | 27 | 9        | 6         | Progress     | High   |
| 2813          | Investment 4  | Sell       |            | 80       | 28         |      | 36 | 12       | 8         | Cancel       | High   |
| 8069          | Investment 5  | Sell       |            | 100      | 35         | 4    | 45 | 15       | 10        | Progress     | Low    |
| 9542          | Investment 6  | Sell       |            | 120      | 42         | ţ    | 54 | 18       | 12        | Progress     | Medium |
| 5844          | Investment 7  | Sell       |            | 140      | 49         | (    | 63 | 21       | 14        | Progress     | Medium |
| 6631          | Investment 8  | Sell       |            | 160      | 56         | -    | 72 | 24       | 16        | Cancel       | Medium |
| 3835          | Investment 9  | Buy        |            | 180      | 63         |      | 81 | 27       | 18        | Accepted     | High   |
| 800           | Investment 10 | Buy        |            | 200      | 70         | 9    | 90 | 30       | 20        | Cancel       | Medium |
| 2908          | Investment 11 | Sell       |            | 220      | 77         | 9    | 99 | 33       | 22        | Progress     | Medium |
| 7859          | Investment 12 | Buy        |            | 240      | 84         | 10   | 80 | 36       | 24        | Accepted     | High   |
| 6096          | Investment 13 | Buy        |            | 260      | 91         | 11   | 17 | 39       | 26        | Progress     | Medium |
| 2689          | Investment 14 | Sell       |            | 280      | 98         | 12   | 26 | 42       | 28        | Progress     | High   |
| Account       | John Smith    | Account    | John Doe   | Account  | John       | Doe  |    |          |           | TRADES       |        |
| Type          | OQV           | Type       | PWZ        | Type     | AWT        |      |    |          |           |              |        |
| Occupation    | qa            | Occupation | manager    | Occupati | on man     | ager |    |          | Amount    |              | Fee    |
|               |               |            |            |          |            |      |    |          | 593       |              | 54     |
| Account       | Richard Roe   | Account    | John Doe   | Account  | John       | Doe  |    |          | 590       |              | 83     |
| Type          | PWZ           | Type       | PWZ        | Type     | OQV        |      |    |          | 91        |              | 60     |
| Occupation    | dev           | Occupation | qa         | Occupati | on qa      |      |    |          | 559       |              | 13     |
|               |               |            |            |          |            |      |    |          | 761       |              | 49     |
| Account       | John Smith    | Account    | John Smith | Account  | John       | Doe  |    |          | 232       |              | 87     |
| Type          | AWT           | Type       | PWZ        | Type     | PWZ        |      |    |          | 310       |              | 89     |
| Occupation    | dev           | Occupation | qa         | Occupati | on man     | ager |    |          | 287       |              | 19     |
|               |               |            |            |          |            |      |    |          | 477       |              | 71     |
|               |               |            |            |          |            |      |    |          |           |              |        |

| Account    | John Doe    | Account    | Richard Roe | Account    | John Smith |
|------------|-------------|------------|-------------|------------|------------|
| Туре       | RZQ         | Type       | OQV         | Type       | AWT        |
| Occupation | qa          | Occupation | qa          | Occupation | dev        |
|            |             |            |             |            |            |
| Account    | John Doe    | Account    | John Doe    | Account    | John Doe   |
| Туре       | PWZ         | Type       | PWZ         | Туре       | AWT        |
| Occupation | dev         | Occupation | qa          | Occupation | manager    |
|            |             |            |             |            |            |
| Account    | Richard Roe | Account    | Richard Roe |            |            |
| Туре       | PWZ         | Type       | RZQ         |            |            |
| Occupation | manager     | Occupation | dev         |            |            |

| Amount | Fee |
|--------|-----|
| 791    | 57  |
| 430    | 112 |
| 382    | 50  |
| 667    | 61  |
| 309    | 35  |
| 717    | 15  |
| 625    | 33  |
| 360    | 107 |
| 444    | 51  |

| Code          | Description  | Trade      | Туре        | Amount | Net Amou | nt         | Price | Quantity | Commision | Order Status | Risk   |
|---------------|--------------|------------|-------------|--------|----------|------------|-------|----------|-----------|--------------|--------|
| Region:Alabar |              |            |             |        |          |            |       |          |           |              |        |
| Branch Number | er:6         |            |             |        |          |            |       |          |           |              |        |
| Agent:Phil    |              |            |             |        |          |            |       |          |           |              |        |
| 6270          | Investment 1 | Buy        |             | 20     |          | 7          | 9     | 3        | 2         | Progress     | Medium |
| 9860          | Investment 2 | Sell       |             | 40     |          | 14         | 18    | 6        | 4         | Progress     | Medium |
| 2752          | Investment 3 | Sell       |             | 60     |          | 21         | 27    | 9        | 6         | Progress     | Medium |
| 9193          | Investment 4 | Sell       |             | 80     | :        | 28         | 36    | 12       | 8         | Cancel       | High   |
| Account       | Richard Roe  | Account    | John Doe    | Accou  | nt       | Richard Ro | е     |          |           | TRADES       |        |
| Туре          | AWT          | Туре       | RZQ         | Type   |          | AWT        |       |          |           |              |        |
| Occupation    | manager      | Occupation | manager     | Occup  | ation    | qa         |       |          | Amount    |              | Fee    |
|               |              |            |             |        |          |            |       |          | 123       |              | 17     |
| Account       | Richard Roe  | Account    | Richard Roe | Accou  | nt       | Richard Ro | е     |          | 463       |              | 107    |
| Type          | RZQ          | Type       | OQV         | Type   |          | OQV        |       |          | 930       |              | 11     |
| Occupation    | manager      | Occupation | qa          | Occup  | ation    | manager    |       |          | 704       |              | 81     |
|               |              |            |             |        |          |            |       |          | 878       |              | 44     |
| Account       | John Doe     | Account    | John Smith  | Accou  | nt       | Richard Ro | е     |          | 940       |              | 92     |
| Type          | PWZ          | Type       | AWT         | Type   |          | OQV        |       |          | 268       |              | 8      |
| Occupation    | qa           | Occupation | qa          | Occup  | ation    | manager    |       |          | 29        |              | 23     |
|               |              |            |             |        |          |            |       |          | 16        |              | 9      |
| Account       | Richard Roe  | Account    | John Smith  | Accou  | nt       | Richard Ro | е     |          | 288       |              | 91     |
| Туре          | PWZ          | Type       | RZQ         | Type   |          | OQV        |       |          | 533       |              | 8      |
| Occupation    | qa           | Occupation | dev         | Occup  | ation    | qa         |       |          | 333       |              | 84     |
|               |              |            |             |        |          |            |       |          | 587       |              | 75     |
| Account       | John Doe     | Account    | John Smith  |        |          |            |       |          | 808       |              | 24     |
| Туре          | RZQ          | Туре       | AWT         |        |          |            |       |          | 924       |              | 10     |
| Occupation    | dev          | Occupation | dev         |        |          |            |       |          | 146       |              | 89     |
|               |              |            |             |        |          |            |       |          | 419       |              | 28     |
|               |              |            |             |        |          |            |       |          | 636       |              | 108    |
|               |              |            |             |        |          |            |       |          | 161       |              | 30     |

| Code           | Description  | Trade 1    | Type Amount | Net Amount | Price | Quantity | Commision  | Order Status | Risk      |
|----------------|--------------|------------|-------------|------------|-------|----------|------------|--------------|-----------|
| Region:Alabama |              |            |             |            |       |          |            |              |           |
| Branch Numb    | er:12        |            |             |            |       |          |            |              |           |
| Agent:Phil     |              |            |             |            |       |          |            |              |           |
| 1511           | Investment 1 | Buy        | 20          | 7          | 9     | 3        | 2          | Progress     | High      |
| 2653           | Investment 2 | Sell       | 40          | 14         | 18    | 6        | 4          | Accepted     | High      |
| 980            | Investment 3 | Sell       | 60          | 21         | 27    | 9        | 6          | Cancel       | Low       |
| 4321           | Investment 4 | Sell       | 80          | 28         | 36    | 12       | 8          | Cancel       | High      |
| 6972           | Investment 5 | Buy        | 100         | 35         | 45    | 15       | 10         | Accepted     | High      |
| 8965           | Investment 6 | Buy        | 120         | 42         | 54    | 18       | 12         | Accepted     | Medium    |
| 3849           | Investment 7 | Sell       | 140         |            | 63    | 21       | 14         | Accepted     | High      |
| 9992           | Investment 8 | Sell       | 160         | 56         | 72    | 24       | 16         | Accepted     | Medium    |
| Account        | John Doe     | Account    | John Smith  |            |       |          |            | TRADES       |           |
| Туре           | RZQ          | Type       | PWZ         |            |       |          |            |              | F         |
| Occupation     | dev          | Occupation | manager     |            |       |          | Amount     |              | Fee       |
|                |              |            |             |            |       |          | 546        |              | 50        |
|                |              |            |             |            |       |          | 729        |              | 109       |
|                |              |            |             |            |       |          | 591        |              | 84        |
|                |              |            |             |            |       |          | 467        |              | 65        |
|                |              |            |             |            |       |          | 297<br>137 |              | 69<br>105 |
|                |              |            |             |            |       |          | 670        |              | 103       |
|                |              |            |             |            |       |          | 698        |              | 112       |
|                |              |            |             |            |       |          | 407        |              | 31        |
|                |              |            |             |            |       |          | 631        |              | 101       |
|                |              |            |             |            |       |          | 635        |              | 83        |
|                |              |            |             |            |       |          | 362        |              | 3         |
|                |              |            |             |            |       |          | 207        |              | 38        |
|                |              |            |             |            |       |          | 525        |              | 89        |
|                |              |            |             |            |       |          | 796        |              | 109       |
|                |              |            |             |            |       |          |            |              |           |

| Amount | Fee |
|--------|-----|
| 587    | 85  |
| 749    | 87  |
| 839    | 108 |
| 163    | 63  |
| 311    | 5   |
| 86     | 42  |
| 28     | 91  |
| 386    | 98  |
| 745    | 65  |
| 381    | 33  |
| 326    | 47  |
| 761    | 66  |
| 128    | 59  |

| Code                       | Description   | Trade 7    | Гуре     | Amount I | Net Amount | Price | е | Quantity | Commision | Order Status | Risk   |
|----------------------------|---------------|------------|----------|----------|------------|-------|---|----------|-----------|--------------|--------|
| Region:Colorado            |               |            |          |          |            |       |   |          |           |              |        |
| Branch Numb<br>Agent:Gilda | er:16         |            |          |          |            |       |   |          |           |              |        |
| AgentiGilda                |               |            |          |          |            |       |   |          |           |              |        |
| 5730                       | Investment 1  | Sell       |          | 20       | 7          | Ç     | 9 | 3        | 2         | Progress     | Medium |
| 6124                       | Investment 2  | Sell       |          | 40       | 14         | 18    | 8 | 6        | 4         | Progress     | High   |
| 8073                       | Investment 3  | Sell       |          | 60       | 21         | 2     | 7 | 9        | 6         | Accepted     | Medium |
| 7872                       | Investment 4  | Buy        |          | 80       | 28         | 30    | 6 | 12       | 8         | Accepted     | Low    |
| 7550                       | Investment 5  | Buy        |          | 100      | 35         | 4     | 5 | 15       | 10        | Accepted     | High   |
| 2719                       | Investment 6  | Buy        |          | 120      | 42         | 54    | 4 | 18       | 12        | Accepted     | Medium |
| 9988                       | Investment 7  | Buy        |          | 140      | 49         | 63    | 3 | 21       | 14        | Cancel       | Medium |
| 821                        | Investment 8  | Sell       |          | 160      | 56         | 7:    | 2 | 24       | 16        | Cancel       | Low    |
| 1388                       | Investment 9  | Buy        |          | 180      | 63         | 8     | 1 | 27       | 18        | Accepted     | Low    |
| 4945                       | Investment 10 | Sell       |          | 200      | 70         | 90    | 0 | 30       | 20        | Cancel       | Low    |
| 5678                       | Investment 11 | Buy        |          | 220      | 77         | 99    | 9 | 33       | 22        | Accepted     | Low    |
| 239                        | Investment 12 | Sell       |          | 240      | 84         | 108   | 8 | 36       | 24        | Progress     | Medium |
| Account                    | Richard Roe   | Account    | John Doe | Account  | John D     | oe    |   |          |           | TRADES       |        |
| Type                       | OQV           | Type       | PWZ      | Type     | PWZ        |       |   |          |           |              |        |
| Occupation                 | dev           | Occupation | qa       | Occupat  | ion dev    |       |   |          | Amount    |              | Fee    |
|                            |               |            |          |          |            |       |   |          | 432       |              | 47     |
| Account                    | John Smith    | Account    | John Doe | Account  | John D     | oe oe |   |          | 787       |              | 60     |
| Type                       | OQV           | Type       | AWT      | Type     | AWT        |       |   |          | 241       |              | 112    |
| Occupation                 | manager       | Occupation | dev      | Occupat  | ion qa     |       |   |          | 892       |              | 48     |
|                            |               |            |          |          |            |       |   |          | 145       |              | 82     |
|                            |               |            |          |          |            |       |   |          | 356       |              | 98     |
|                            |               |            |          |          |            |       |   |          | 337       |              | 82     |
|                            |               |            |          |          |            |       |   |          | 926       |              | 80     |
|                            |               |            |          |          |            |       |   |          | 974       |              | 13     |
|                            |               |            |          |          |            |       |   |          | 359       |              | 15     |
|                            |               |            |          |          |            |       |   |          | 3         |              | 113    |
|                            |               |            |          |          |            |       |   |          |           |              |        |

| Amount | Fee |
|--------|-----|
| 181    | 6   |
| 657    | 45  |
| 327    | 87  |
| 942    | 114 |
| 115    | 60  |
| 408    | 9   |
| 752    | 94  |
| 516    | 67  |
| 769    | 112 |
| 88     | 87  |
| 737    | 58  |
| 385    | 94  |
| 649    | 1   |
| 89     | 107 |
| 444    | 28  |
| 696    | 47  |
| 540    | 74  |
| 862    | 33  |
| 59     | 87  |
| 339    | 82  |
| 359    | 30  |
| 67     | 77  |
| 298    | 111 |
| 178    | 21  |
| 373    | 41  |
| 879    | 82  |
| 825    | 99  |
| 936    | 35  |
| 578    | 5   |
| 538    | 87  |
| 721    | 4   |
|        |     |

| Amount | Fee |
|--------|-----|
| 210    | 111 |
| 804    | 90  |
| 949    | 27  |
| 476    | 67  |
| 865    | 29  |
| 634    | 83  |
| 550    | 90  |
| 958    | 86  |

| Code                        | Description   | Trade      | Гуре Аг     | mount Ne  | et Amount | Pric  | e | Quantity | Commision | Order Status | Risk   |
|-----------------------------|---------------|------------|-------------|-----------|-----------|-------|---|----------|-----------|--------------|--------|
| Region:Alabai               |               |            |             |           |           |       |   |          |           |              |        |
| Branch Numb<br>Agent:Juliet | er:10         |            |             |           |           |       |   |          |           |              |        |
| Agent.Juliet                |               |            |             |           |           |       |   |          |           |              |        |
| 2423                        | Investment 1  | Sell       |             | 20        | 7         |       | 9 | 3        | 2         | Accepted     | High   |
| 7145                        | Investment 2  | Buy        |             | 40        | 14        | 1     | 8 | 6        | 4         | Cancel       | High   |
| 6650                        | Investment 3  | Sell       |             | 60        | 21        | 2     | 7 | 9        | 6         | Cancel       | Low    |
| 6946                        | Investment 4  | Buy        |             | 80        | 28        | 3     | 6 | 12       | 8         | Cancel       | High   |
| 5081                        | Investment 5  | Sell       |             | 100       | 35        | 4     | 5 | 15       | 10        | Cancel       | Low    |
| 1004                        | Investment 6  | Sell       |             | 120       | 42        | 5     | 4 | 18       | 12        | Progress     | Medium |
| 8814                        | Investment 7  | Buy        |             | 140       | 49        | 6     | 3 | 21       | 14        | Accepted     | High   |
| 9281                        | Investment 8  | Sell       |             | 160       | 56        | 7     | 2 | 24       | 16        | Progress     | High   |
| 2518                        | Investment 9  | Buy        |             | 180       | 63        | 8     | 1 | 27       | 18        | Accepted     | High   |
| 3643                        | Investment 10 | Buy        |             | 200       | 70        | 9     | 0 | 30       | 20        | Cancel       | High   |
| 4862                        | Investment 11 | Sell       |             | 220       | 77        | 9     | 9 | 33       | 22        | Cancel       | Medium |
| 4064                        | Investment 12 | Sell       |             | 240       | 84        | 10    | 8 | 36       | 24        | Cancel       | High   |
| 7737                        | Investment 13 | Sell       |             | 260       | 91        | 11    | 7 | 39       | 26        | Cancel       | High   |
| Account                     | Richard Roe   | Account    | Richard Roe | Account   | John :    | Smith |   |          |           | TRADES       |        |
| Туре                        | PWZ           | Type       | OQV         | Type      | RZQ       |       |   |          |           |              |        |
| Occupation                  | dev           | Occupation | dev         | Occupatio | n dev     |       |   |          | Amount    |              | Fee    |
|                             |               |            |             |           |           |       |   |          | 765       |              | 114    |
| Account                     | John Doe      | Account    | John Smith  | Account   | John :    | Smith |   |          | 329       |              | 17     |
| Туре                        | RZQ           | Type       | AWT         | Type      | RZQ       |       |   |          | 557       |              | 44     |
| Occupation                  | manager       | Occupation | dev         | Occupatio | n dev     |       |   |          | 905       |              | 32     |
|                             |               |            |             |           |           |       |   |          | 815       |              | 98     |
| Account                     | John Doe      | Account    | Richard Roe | Account   | John :    | Smith |   |          | 230       |              | 82     |
| Type                        | RZQ           | Type       | AWT         | Type      | RZQ       |       |   |          | 340       |              | 25     |
| Occupation                  | qa            | Occupation | dev         | Occupatio | n mana    | ger   |   |          | 907       |              | 16     |
|                             |               |            |             |           |           |       |   |          | 48        |              | 51     |
|                             |               |            |             |           |           |       |   |          | 853       |              | 98     |

|            |            |            |          |            |             | Amount | Fee |
|------------|------------|------------|----------|------------|-------------|--------|-----|
| Account    | John Smith | Account    | John Doe | Account    | Richard Roe | 25     | 62  |
| Туре       | RZQ        | Type       | RZQ      | Туре       | PWZ         | 717    | 81  |
| Occupation | dev        | Occupation | dev      | Occupation | qa          | 804    | 94  |
|            |            |            |          |            |             | 91     | 115 |
| Account    | John Doe   |            |          |            |             | 50     | 55  |
| Type       | RZQ        |            |          |            |             | 540    | 36  |
| Occupation | qa         |            |          |            |             | 258    | 44  |
| Туре       | RZQ        |            |          |            |             | 540    | 36  |

| Code          | Description   | Trade T    | ype Ar      | mount  | Net Amount | Pric   | ce | Quantity | Commision | Order Status | Risk   |
|---------------|---------------|------------|-------------|--------|------------|--------|----|----------|-----------|--------------|--------|
| Region:Colora | do            |            |             |        |            |        |    |          |           |              |        |
| Branch Number | er:11         |            |             |        |            |        |    |          |           |              |        |
| Agent:Gerry   |               |            |             |        |            |        |    |          |           |              |        |
| 9595          | Investment 1  | Buy        |             | 20     | 7          |        | 9  | 3        | 2         | Progress     | Low    |
| 2674          | Investment 2  | Sell       |             | 40     | 14         | 1      | 18 | 6        | 4         | Cancel       | Medium |
| 1101          | Investment 3  | Buy        |             | 60     | 21         | 2      | 27 | 9        | 6         | Cancel       | High   |
| 3032          | Investment 4  | Sell       |             | 80     | 28         | 3      | 36 | 12       | 8         | Accepted     | Medium |
| 1331          | Investment 5  | Sell       |             | 100    | 35         |        | 45 | 15       | 10        | Accepted     | Medium |
| 254           | Investment 6  | Sell       |             | 120    | 42         | 5      | 54 | 18       | 12        | Progress     | Low    |
| 3432          | Investment 7  | Buy        |             | 140    | 49         | 6      | 53 | 21       | 14        | Progress     | Low    |
| 2387          | Investment 8  | Buy        |             | 160    | 56         | 7      | 72 | 24       | 16        | Cancel       | Low    |
| 120           | Investment 9  | Sell       |             | 180    | 63         | 8      | 31 | 27       | 18        | Accepted     | High   |
| 7134          | Investment 10 | Sell       |             | 200    | 70         | Ğ      | 90 | 30       | 20        | Progress     | Medium |
| Account       | Richard Roe   | Account    | Richard Roe | Accoun | t Richar   | rd Roe |    |          |           | TRADES       |        |
| Type          | OQV           | Type       | PWZ         | Type   | RZQ        |        |    |          |           |              |        |
| Occupation    | qa            | Occupation | qa          | Occupa | tion qa    |        |    |          | Amount    |              | Fee    |
|               |               |            |             |        |            |        |    |          | 745       |              | 42     |
| Account       | John Smith    | Account    | John Smith  | Accoun |            | Doe    |    |          | 441       |              | 33     |
| Type          | OQV           | Туре       | AWT         | Type   | AWT        |        |    |          | 125       |              | 9      |
| Occupation    | qa            | Occupation | qa          | Occupa | tion qa    |        |    |          | 55        |              | 15     |
|               |               |            |             |        |            |        |    |          | 712       |              | 68     |
| Account       | John Doe      | Account    | Richard Roe | Accoun |            | Doe    |    |          | 32        |              | 1      |
| Туре          | PWZ           | Туре       | RZQ         | Type   | RZQ        |        |    |          | 932       |              | 3      |
| Occupation    | manager       | Occupation | manager     | Occupa | tion dev   |        |    |          | 299       |              | 100    |
|               |               |            |             |        |            |        |    |          | 21        |              | 69     |
| Account       | John Smith    | Account    | John Doe    | Accoun |            | Smith  |    |          | 442       |              | 20     |
| Type          | OQV           | Type       | RZQ         | Type   | RZQ        |        |    |          | 507       |              | 34     |
| Occupation    | qa            | Occupation | qa          | Occupa | tion qa    |        |    |          | 248       |              | 0      |
|               |               |            |             |        |            |        |    |          | 712       |              | 68     |

| Account    | Richard Roe | Account    | John Smith | Account    | John Smith |
|------------|-------------|------------|------------|------------|------------|
| Type       | RZQ         | Type       | OQV        | Туре       | OQV        |
| Occupation | manager     | Occupation | dev        | Occupation | manager    |
|            |             |            |            |            |            |
| Account    | John Smith  |            |            |            |            |
| Туре       | PWZ         |            |            |            |            |
| Occupation | dev         |            |            |            |            |
|            |             |            |            |            |            |

| Amount | Fee |
|--------|-----|
| 299    | 87  |
| 936    | 51  |
| 971    | 50  |
| 101    | 52  |
| 752    | 72  |
| 786    | 13  |
| 530    | 24  |
| 600    | 23  |
| 337    | 78  |
| 188    | 56  |
| 773    | 77  |
| 377    | 77  |
| 536    | 69  |
| 562    | 97  |
| 144    | 81  |
| 888    | 76  |
| 585    | 9   |
| 249    | 74  |
| 182    | 23  |
| 394    | 110 |
| 800    | 63  |
| 555    | 107 |
| 15     | 16  |
| 216    | 56  |
| 397    | 33  |
| 601    | 30  |
| 370    | 10  |

| Code          | Description   | Trade      | Гуре Аі     | mount N    | et Amount | Pric  | ce | Quantity | Commision | Order Status | Risk   |
|---------------|---------------|------------|-------------|------------|-----------|-------|----|----------|-----------|--------------|--------|
| Region:Arizon | a             |            |             |            |           |       |    |          |           |              |        |
| Branch Number | er:4          |            |             |            |           |       |    |          |           |              |        |
| Agent:Aaren   |               |            |             |            |           |       |    |          |           |              |        |
| 2282          | Investment 1  | Sell       |             | 20         | 7         |       | 9  | 3        | 2         | Cancel       | Low    |
| 7301          | Investment 2  | Buy        |             | 40         | 14        | -     | 18 | 6        | 4         | Accepted     | Medium |
| 7038          | Investment 3  | Buy        |             | 60         | 21        |       | 27 | 9        | 6         | Cancel       | High   |
| 4821          | Investment 4  | Buy        |             | 80         | 28        |       | 36 | 12       | 8         | Accepted     | Low    |
| 3016          | Investment 5  | Buy        |             | 100        | 35        |       | 45 | 15       | 10        | Cancel       | Low    |
| 7554          | Investment 6  | Buy        |             | 120        | 42        | Į.    | 54 | 18       | 12        | Cancel       | Low    |
| 6265          | Investment 7  | Buy        |             | 140        | 49        | (     | 63 | 21       | 14        | Accepted     | High   |
| 8053          | Investment 8  | Buy        |             | 160        | 56        | -     | 72 | 24       | 16        | Accepted     | Medium |
| 240           | Investment 9  | Sell       |             | 180        | 63        | 8     | 81 | 27       | 18        | Accepted     | Low    |
| 5883          | Investment 10 | Sell       |             | 200        | 70        | Q     | 90 | 30       | 20        | Progress     | Medium |
| 4672          | Investment 11 | Buy        |             | 220        | 77        | Ç     | 99 | 33       | 22        | Cancel       | Low    |
| 8069          | Investment 12 | Sell       |             | 240        | 84        | 10    | 08 | 36       | 24        | Accepted     | High   |
| 3895          | Investment 13 | Sell       |             | 260        | 91        | 11    | 17 | 39       | 26        | Progress     | Medium |
| Account       | John Smith    | Account    | John Doe    | Account    | John      | Smith |    |          |           | TRADES       |        |
| Type          | OQV           | Type       | AWT         | Type       | PWZ       |       |    |          |           |              |        |
| Occupation    | dev           | Occupation | dev         | Occupation | on qa     |       |    |          | Amount    |              | Fee    |
|               |               |            |             |            |           |       |    |          | 789       |              | 80     |
| Account       | John Doe      | Account    | John Smith  | Account    | John      | Doe   |    |          | 304       |              | 23     |
| Type          | AWT           | Type       | PWZ         | Type       | AWT       |       |    |          | 335       |              | 65     |
| Occupation    | dev           | Occupation | dev         | Occupation | on qa     |       |    |          | 96        |              | 8      |
|               |               |            |             |            |           |       |    |          | 972       |              | 57     |
| Account       | John Doe      | Account    | Richard Roe |            |           |       |    |          | 190       |              | 4      |
| Type          | RZQ           | Type       | AWT         |            |           |       |    |          | 672       |              | 79     |
| Occupation    | manager       | Occupation | qa          |            |           |       |    |          | 643       |              | 1      |
|               |               |            |             |            |           |       |    |          | 609       |              | 104    |
|               |               |            |             |            |           |       |    |          | 874       |              | 10     |

| Amount | Fee |
|--------|-----|
| 618    | 2   |
| 563    | 33  |
| 385    | 88  |
| 800    | 39  |
| 240    | 27  |
| 240    | 1   |
| 561    | 49  |
| 490    | 24  |
| 994    | 68  |
| 803    | 46  |
| 415    | 50  |
| 264    | 104 |

| Code                                      | Description  | Trade      | Туре д      | mount   | Net Amount | Price | Quantity | Commision | Order Status | Risk |
|---|--------------|------------|-------------|---------|------------|-------|----------|-----------|--------------|------|
| Region:Monta<br>Branch Numb<br>Agent:Phil |              |            |             |         |            |       |          |           |              |      |
| 9302                                      | Investment 1 | Sell       |             | 20      | 7          | 9     | 3        | 2         | Accepted     | High |
| Account                                   | John Smith   | Account    | Richard Roe | Account | Richa      | d Roe |          |           | TRADES       |      |
| Type                                      | RZQ          | Type       | OQV         | Type    | AWT        |       |          |           |              |      |
| Occupation                                | manager      | Occupation | qa          | Occupat | ion qa     |       |          | Amount    |              | Fee  |
|   |              |            |             |         |            |       |          | 668       |              | 103  |
| Account                                   | John Smith   | Account    | John Doe    | Account | John S     | Smith |          | 603       |              | 85   |
| Type                                      | RZQ          | Type       | PWZ         | Type    | AWT        |       |          | 770       |              | 67   |
| Occupation                                | manager      | Occupation | manager     | Occupat | ion manag  | ger   |          | 328       |              | 8    |
|   |              |            |             |         |            |       |          | 697       |              | 11   |
| Account                                   | Richard Roe  | Account    | John Smith  | Account | Richar     | d Roe |          | 737       |              | 15   |
| Type                                      | OQV          | Туре       | RZQ         | Туре    | RZQ        |       |          | 686       |              | 12   |
| Occupation                                | dev          | Occupation | qa          | Occupat | ion mana   | ger   |          | 794       |              | 43   |
|   |              |            |             |         |            |       |          | 465       |              | 98   |
| Account                                   | Richard Roe  | Account    | Richard Roe | Account | John I     | Ooe   |          | 543       |              | 84   |
| Туре                                      | OQV          | Туре       | OQV         | Type    | AWT        |       |          | 494       |              | 82   |
| Occupation                                | manager      | Occupation | manager     | Occupat | ion dev    |       |          | 301       |              | 100  |
|   |              |            |             |         |            |       |          | 527       |              | 74   |
| Account                                   | John Doe     | Account    | Richard Roe | Account | John I     | Ooe   |          | 281       |              | 101  |
| Type                                      | RZQ          | Туре       | RZQ         | Type    | RZQ        |       |          | 167       |              | 37   |
| Occupation                                | dev          | Occupation | dev         | Occupat | ion manag  | ger   |          | 335       |              | 115  |
|   |              |            |             |         |            |       |          | 870       |              | 66   |
| Account                                   | Richard Roe  | Account    | John Smith  | Account | John I     | Ooe   |          | 969       |              | 60   |
| Type                                      | AWT          | Туре       | AWT         | Туре    | AWT        |       |          | 404       |              | 44   |
| Occupation                                | manager      | Occupation | manager     | Occupat | ion manag  | ger   |          | 812       |              | 28   |
|   | -            |            |             |         |            |       |          | 596       |              | 5    |
|   |              |            |             |         |            |       |          | 920       |              | 117  |
|   |              |            |             |         |            |       |          |           |              |      |

| Account    | John Doe   | Account    | Richard Roe | Account    | Richard Roe |
|------------|------------|------------|-------------|------------|-------------|
| Туре       | OQV        | Туре       | PWZ         | Туре       | RZQ         |
| Occupation | manager    | Occupation | dev         | Occupation | manager     |
|            |            |            |             |            |             |
| Account    | John Smith | Account    | John Doe    | Account    | John Doe    |
| Type       | PWZ        | Type       | PWZ         | Type       | RZQ         |
| Occupation | manager    | Occupation | dev         | Occupation | dev         |
|            |            |            |             |            |             |
| Account    | John Doe   | Account    | John Smith  | Account    | John Doe    |
| Туре       | PWZ        | Type       | OQV         | Type       | OQV         |
| Occupation | manager    | Occupation | qa          | Occupation | dev         |

| Amount | Fee |
|--------|-----|
| 639    | 115 |
| 908    | 68  |
| 377    | 68  |
| 739    | 15  |
| 876    | 22  |
| 759    | 106 |

| Code  | Description  | Trade      | Гуре А      | mount  | Net Amount      | Pri      | ce | Quantity | Commision | Order Status | Risk |
|---|--------------|------------|-------------|--------|-----------------|----------|----|----------|-----------|--------------|------|
| Region:Alabar<br>Branch Numbo<br>Agent:Phil |              |            |             |        |                 |          |    |          |           |              |      |
| 9985  | Investment 1 | Buy        |             | 20     | 7               |          | 9  | 3        | 2         | Accepted     | High |
| 6003  | Investment 2 | Buy        |             | 40     | 14              |          | 18 | 6        | 4         | Progress     | High |
| Account                                     | Richard Roe  | Account    | Richard Roe | Accour | nt Joh          | n Smith  |    |          |           | TRADES       |      |
| Туре  | AWT          | Туре       | PWZ         | Type   | AW <sup>-</sup> | Г        |    |          |           |              |      |
| Occupation                                  | qa           | Occupation | qa          | Occupa | ation dev       |          |    |          | Amount    |              | Fee  |
|   |              |            |             |        |                 |          |    |          | 163       |              | 41   |
| Account                                     | Richard Roe  | Account    | John Smith  | Accour | nt Joh          | n Smith  |    |          | 222       |              | 85   |
| Type  | OQV          | Type       | AWT         | Type   | PW:             | <u>-</u> |    |          | 818       |              | 10   |
| Occupation                                  | dev          | Occupation | qa          | Occupa | ation mar       | ager     |    |          | 667       |              | 81   |
|   |              |            |             |        |                 |          |    |          | 186       |              | 103  |
| Account                                     | Richard Roe  | Account    | John Doe    | Accour | nt Ricl         | ard Roe  |    |          | 416       |              | 58   |
| Type  | OQV          | Type       | PWZ         | Type   | AW <sup>-</sup> | Ī        |    |          | 778       |              | 13   |
| Occupation                                  | dev          | Occupation | manager     | Occupa | ation mar       | ager     |    |          | 961       |              | 0    |
|   |              |            |             |        |                 |          |    |          | 340       |              | 30   |
| Account                                     | John Doe     | Account    | John Smith  | Accour | nt Rich         | ard Roe  |    |          | 111       |              | 56   |
| Type  | AWT          | Type       | RZQ         | Type   | PW:             | <u>7</u> |    |          | 219       |              | 99   |
| Occupation                                  | manager      | Occupation | manager     | Occupa | ation dev       |          |    |          | 252       |              | 4    |
|   |              |            |             |        |                 |          |    |          | 831       |              | 45   |
| Account                                     | Richard Roe  | Account    | Richard Roe | Accour |                 | n Smith  |    |          | 903       |              | 3    |
| Туре  | RZQ          | Туре       | AWT         | Type   | RZC             | !        |    |          | 215       |              | 108  |
| Occupation                                  | dev          | Occupation | dev         | Occupa | ation mar       | ager     |    |          | 600       |              | 53   |
|   |              |            |             |        |                 |          |    |          | 873       |              | 104  |
| Account                                     | John Smith   | Account    | Richard Roe | Accour |                 | n Doe    |    |          | 377       |              | 119  |
| Type  | RZQ          | Type       | PWZ         | Type   | OQ\             | 1        |    |          | 136       |              | 102  |
| Occupation                                  | manager      | Occupation | dev         | Occupa | ation qa        |          |    |          | 222       |              | 61   |
|   |              |            |             |        |                 |          |    |          | 579       |              | 58   |

| Amount | Fee |
|--------|-----|
| 515    | 37  |
| 542    | 75  |
| 705    | 24  |
| 424    | 4   |
| 517    | 108 |
| 704    | 118 |
| 669    | 44  |
| 884    | 3   |
| 496    | 1   |
| 895    | 77  |
| 433    | 9   |

| Code  Region:Califor  Branch Number  Agent:Maia |               | Trade Ty   | rpe Ar     | mount i  | Net Amount | Pric     | ce         | Quantity | Commision | Order Status | Risk   |
|---|---------------|------------|------------|----------|------------|----------|------------|----------|-----------|--------------|--------|
| Agentimaia                                      |               |            |            |          |            |          |            |          |           |              |        |
| 6884  | Investment 1  | Buy        |            | 20       | 7          |          | 9          | 3        | 2         | Progress     | High   |
| 9960  | Investment 2  | Sell       |            | 40       | 14         | 1        | 18         | 6        | 4         | Accepted     | Low    |
| 6159  | Investment 3  | Buy        |            | 60       | 21         | 2        | 27         | 9        | 6         | Progress     | High   |
| 8148  | Investment 4  | Sell       |            | 80       | 28         | 3        | 36         | 12       | 8         | Progress     | Low    |
| 2816  | Investment 5  | Sell       |            | 100      | 35         | 4        | <b>1</b> 5 | 15       | 10        | Accepted     | Medium |
| 8154  | Investment 6  | Sell       |            | 120      | 42         | 5        | 54         | 18       | 12        | Accepted     | Medium |
| 2738  | Investment 7  | Sell       |            | 140      | 49         | 6        | 53         | 21       | 14        | Progress     | High   |
| 476   | Investment 8  | Buy        |            | 160      | 56         | 7        | 72         | 24       | 16        | Accepted     | Medium |
| 1493  | Investment 9  | Sell       |            | 180      | 63         | 8        | 31         | 27       | 18        | Accepted     | Medium |
| 6334  | Investment 10 | Buy        |            | 200      | 70         | ç        | 90         | 30       | 20        | Accepted     | High   |
| 3597  | Investment 11 | Sell       |            | 220      | 77         | ç        | 99         | 33       | 22        | Accepted     | Medium |
| 4374  | Investment 12 | Sell       |            | 240      | 84         | 10       | 8(         | 36       | 24        | Accepted     | Low    |
| 6201  | Investment 13 | Buy        |            | 260      | 91         | 11       | 7          | 39       | 26        | Progress     | High   |
| 7249  | Investment 14 | Sell       |            | 280      | 98         | 12       | 26         | 42       | 28        | Progress     | Medium |
| 4922  | Investment 15 | Buy        |            | 300      | 105        | 13       | 35         | 45       | 30        | Cancel       | Medium |
| 1664  | Investment 16 | Buy        |            | 320      | 112        | 14       | 14         | 48       | 32        | Cancel       | Low    |
| 4520  | Investment 17 | Buy        |            | 340      | 119        | 15       | 53         | 51       | 34        | Accepted     | Medium |
| 172   | Investment 18 | Buy        |            | 360      | 126        | 16       | 52         | 54       | 36        | Progress     | Low    |
| 5468  | Investment 19 | Sell       |            | 380      | 133        | 17       | 71         | 57       | 38        | Progress     | High   |
| Account   | Richard Roe   | Account    | John Smith | Account  | Ric        | hard Roe |            |          |           | TRADES       |        |
| Туре  | OQV           | Туре       | RZQ        | Type     | OQ'        | V        |            |          |           |              |        |
| Occupation                                      | manager       | Occupation | manager    | Occupati | ion ma     | nager    |            |          | Amount    |              | Fee    |
|   |               |            |            |          |            |          |            |          | 811       |              | 70     |
|   |               |            |            |          |            |          |            |          | 930       |              | 114    |
|   |               |            |            |          |            |          |            |          | 674       |              | 58     |
|   |               |            |            |          |            |          |            |          | 624       |              | 67     |

| Account Type Occupation | John Doe<br>AWT<br>dev       | Account Type Occupation | John Smith<br>OQV<br>dev | Account Type Occupation | John Smith<br>RZQ<br>dev |
|-------------------------|------------------------------|-------------------------|--------------------------|-------------------------|--------------------------|
|                         |                              |                         |                          |                         |                          |
| Account Type Occupation | John Smith<br>AWT<br>manager | Account Type Occupation | John Doe<br>AWT<br>qa    | Account Type Occupation | Richard Roe<br>OQV<br>qa |
| Account                 | John Smith                   | Account                 | John Doe                 | Account                 | Richard Roe              |
| Туре                    | RZQ                          | Туре                    | RZQ                      | Туре                    | OQV                      |
| Occupation              | qa                           | Occupation              | dev                      | Occupation              | qa                       |
|                         |                              |                         |                          |                         |                          |
| Account                 | John Smith                   | Account                 | John Smith               | Account                 | John Smith               |
| Type                    | OQV                          | Type                    | AWT                      | Type                    | RZQ                      |
| Occupation              | dev                          | Occupation              | dev                      | Occupation              | qa                       |
|                         |                              |                         |                          |                         |                          |
| Account                 | John Smith                   | Account                 | John Smith               | Account                 | John Doe                 |
| Type                    | AWT                          | Type                    | PWZ                      | Type                    | PWZ                      |
| Occupation              | qa                           | Occupation              | qa                       | Occupation              | manager                  |
|                         |                              |                         |                          |                         |                          |
| Account                 | John Smith                   |                         |                          |                         |                          |
| Type                    | PWZ                          |                         |                          |                         |                          |
| Occupation              | manager                      |                         |                          |                         |                          |

| Amount | Fee |
|--------|-----|
| 94     | 6   |
| 699    | 49  |
| 70     | 71  |
| 456    | 114 |
| 625    | 12  |
| 242    | 74  |
| 945    | 112 |
| 84     | 74  |
| 149    | 115 |
| 248    | 13  |
| 628    | 35  |
| 626    | 67  |
| 141    | 90  |
| 191    | 52  |
| 324    | 5   |
| 407    | 42  |
| 583    | 105 |
| 137    | 35  |
| 606    | 50  |
| 518    | 10  |
| 737    | 113 |
| 173    | 113 |
| 803    | 25  |
| 678    | 21  |
| 788    | 38  |
| 138    | 118 |
| 885    | 2   |
| 487    | 114 |
| 988    | 77  |
| 26     | 101 |
| 40     | 17  |

| Amount | Fee |
|--------|-----|
| 445    | 22  |
| 126    | 16  |
| 256    | 41  |
| 457    | 66  |
| 3      | 20  |
| 233    | 110 |
| 634    | 113 |
| 378    | 44  |
| 209    | 111 |
| 957    | 21  |
| 734    | 85  |
| 723    | 80  |
| 631    | 101 |
| 758    | 2   |
| 664    | 32  |
| 442    | 9   |
| 607    | 27  |
| 56     | 93  |
| 179    | 102 |
| 140    | 4   |
| 158    | 37  |
| 740    | 88  |
| 595    | 29  |
| 137    | 7   |
| 634    | 20  |
| 490    | 38  |
| 497    | 61  |
| 515    | 83  |
| 981    | 7   |
| 141    | 110 |
| 878    | 74  |
|        |     |

| Amoun | t e      | Fee |
|-------|----------|-----|
| 367   | 7        | 34  |
| 112   | <u>)</u> | 117 |

| Code          | Description   | Trade <sup>-</sup> | Гуре А     | mount N  | let Amount | Price | Quantity | Commision | Order Status | Risk   |
|---------------|---------------|--------------------|------------|----------|------------|-------|----------|-----------|--------------|--------|
| Region:Arizon | a             |                    |            |          |            |       |          |           |              |        |
| Branch Number |               |                    |            |          |            |       |          |           |              |        |
| Agent:Agatha  |               |                    |            |          |            |       |          |           |              |        |
| 4709          | Investment 1  | Buy                |            | 20       | 7          | 9     | 3        | 2         | Accepted     | High   |
| 3790          | Investment 2  | Buy                |            | 40       | 14         | 18    | 6        | 4         | Progress     | High   |
| 9278          | Investment 3  | Sell               |            | 60       | 21         | 27    | 9        | 6         | Cancel       | Medium |
| 2296          | Investment 4  | Buy                |            | 80       | 28         | 36    | 12       | 8         | Progress     | High   |
| 7989          | Investment 5  | Buy                |            | 100      | 35         | 45    | 15       | 10        | Cancel       | Low    |
| 9339          | Investment 6  | Sell               |            | 120      | 42         | 54    | 18       | 12        | Progress     | Low    |
| 5944          | Investment 7  | Buy                |            | 140      | 49         | 63    | 21       | 14        | Progress     | Low    |
| 4569          | Investment 8  | Buy                |            | 160      | 56         | 72    | 24       | 16        | Cancel       | High   |
| 8345          | Investment 9  | Buy                |            | 180      | 63         | 81    | 27       | 18        | Accepted     | Medium |
| 5360          | Investment 10 | Buy                |            | 200      | 70         | 90    | 30       | 20        | Cancel       | High   |
| 9503          | Investment 11 | Buy                |            | 220      | 77         | 99    | 33       | 22        | Progress     | Low    |
| Account       | Richard Roe   | Account            | John Doe   | Account  | John Smi   | th    |          |           | TRADES       |        |
| Type          | AWT           | Type               | OQV        | Type     | OQV        |       |          |           |              |        |
| Occupation    | qa            | Occupation         | qa         | Occupati | on manager |       |          | Amount    |              | Fee    |
|               |               |                    |            |          |            |       |          | 928       |              | 6      |
| Account       | John Doe      | Account            | John Doe   | Account  | John Doe   |       |          | 276       |              | 6      |
| Type          | PWZ           | Type               | OQV        | Type     | PWZ        |       |          | 844       |              | 30     |
| Occupation    | qa            | Occupation         | dev        | Occupati | on qa      |       |          | 684       |              | 60     |
|               |               |                    |            |          |            |       |          | 857       |              | 33     |
| Account       | John Smith    | Account            | John Smith | Account  | Richard R  | loe   |          | 152       |              | 90     |
| Туре          | RZQ           | Type               | AWT        | Type     | RZQ        |       |          | 537       |              | 71     |
| Occupation    | manager       | Occupation         | dev        | Occupati | on dev     |       |          | 378       |              | 29     |
|               |               |                    |            |          |            |       |          | 181       |              | 119    |

| Account    | John Smith | Account    | John Smith | Account    | John Doe    |
|------------|------------|------------|------------|------------|-------------|
| Туре       | AWT        | Type       | AWT        | Туре       | RZQ         |
| Occupation | qa         | Occupation | qa         | Occupation | manager     |
|            |            |            |            |            |             |
| Account    | John Smith | Account    | John Smith | Account    | Richard Roe |
| Туре       | PWZ        | Туре       | OQV        | Туре       | OQV         |
| Occupation | qa         | Occupation | dev        | Occupation | dev         |

| Region:Colorado Branch Number:0 Agent:Juliet  3225   | Sell Buy Buy Buy Buy Buy Buy Buy Buy Suy      |          | 20<br>40<br>60<br>80<br>100<br>120<br>140  | 7<br>14<br>21<br>28<br>35<br>42<br>49<br>56 | 9<br>18<br>27<br>36<br>45<br>54<br>63<br>72 | 6<br>9<br>12<br>15<br>18<br>21 | 2<br>4<br>6<br>8<br>10<br>12 | Progress Cancel Progress Accepted Accepted Progress | High<br>Medium<br>Medium<br>Low<br>Low<br>High |
|--|---|----------|--|---|---|--------------------------------|------------------------------|---|--|
| Agent: Juliet         3225       Investment 1         9034       Investment 2         4361       Investment 3         8232       Investment 4         5813       Investment 5         5287       Investment 6         640       Investment 7 | Buy<br>Buy<br>Buy<br>Buy<br>Buy<br>Buy<br>Buy |          | 40<br>60<br>80<br>100<br>120<br>140<br>160 | 14<br>21<br>28<br>35<br>42<br>49<br>56      | 18<br>27<br>36<br>45<br>54                  | 6<br>9<br>12<br>15<br>18<br>21 | 4<br>6<br>8<br>10<br>12      | Cancel Progress Accepted Accepted Progress          | Medium<br>Medium<br>Low<br>Low<br>High         |
| 3225 Investment 1 9034 Investment 2 4361 Investment 3 8232 Investment 4 5813 Investment 5 5287 Investment 6 640 Investment 7   | Buy<br>Buy<br>Buy<br>Buy<br>Buy<br>Buy<br>Buy |          | 40<br>60<br>80<br>100<br>120<br>140<br>160 | 14<br>21<br>28<br>35<br>42<br>49<br>56      | 18<br>27<br>36<br>45<br>54                  | 6<br>9<br>12<br>15<br>18<br>21 | 4<br>6<br>8<br>10<br>12      | Cancel Progress Accepted Accepted Progress          | Medium<br>Medium<br>Low<br>Low<br>High         |
| 9034       Investment 2         4361       Investment 3         8232       Investment 4         5813       Investment 5         5287       Investment 6         640       Investment 7   | Buy<br>Buy<br>Buy<br>Buy<br>Buy<br>Buy<br>Buy |          | 40<br>60<br>80<br>100<br>120<br>140<br>160 | 14<br>21<br>28<br>35<br>42<br>49<br>56      | 18<br>27<br>36<br>45<br>54                  | 6<br>9<br>12<br>15<br>18<br>21 | 4<br>6<br>8<br>10<br>12      | Cancel Progress Accepted Accepted Progress          | Medium<br>Medium<br>Low<br>Low<br>High         |
| 9034 Investment 2 4361 Investment 3 8232 Investment 4 5813 Investment 5 5287 Investment 6 640 Investment 7   | Buy<br>Buy<br>Buy<br>Buy<br>Buy<br>Buy<br>Buy |          | 40<br>60<br>80<br>100<br>120<br>140<br>160 | 14<br>21<br>28<br>35<br>42<br>49<br>56      | 18<br>27<br>36<br>45<br>54                  | 6<br>9<br>12<br>15<br>18<br>21 | 4<br>6<br>8<br>10<br>12      | Cancel Progress Accepted Accepted Progress          | Medium<br>Medium<br>Low<br>Low<br>High         |
| 4361       Investment 3         8232       Investment 4         5813       Investment 5         5287       Investment 6         640       Investment 7   | Buy<br>Buy<br>Buy<br>Buy<br>Buy<br>Sell       |          | 60<br>80<br>100<br>120<br>140<br>160       | 21<br>28<br>35<br>42<br>49<br>56            | 27<br>36<br>45<br>54<br>63                  | 9<br>12<br>15<br>18<br>21      | 6<br>8<br>10<br>12           | Progress Accepted Accepted Progress                 | Medium<br>Low<br>Low<br>High                   |
| 5813 Investment 5<br>5287 Investment 6<br>640 Investment 7   | Buy<br>Buy<br>Buy<br>Buy<br>Buy<br>Sell       |          | 100<br>120<br>140<br>160                   | 35<br>42<br>49<br>56                        | 45<br>54<br>63                              | 15<br>18<br>21                 | 10<br>12                     | Accepted<br>Accepted<br>Progress                    | Low<br>High                                    |
| 5287 Investment 6<br>640 Investment 7  | Buy<br>Buy<br>Buy<br>Sell                     |          | 120<br>140<br>160                          | 42<br>49<br>56                              | 54<br>63                                    | 18<br>21                       | 12                           | Accepted<br>Progress                                | High   |
| 640 Investment 7   | Buy<br>Buy<br>Sell                            |          | 140<br>160                                 | 49<br>56                                    | 63  | 21                             |                              |   |  |
|  | Buy<br>Sell                                   |          | 160  | 56  |   |                                | 14                           | Accepted  |  |
| 6426 Investment 8  | Sell  |          |  |   | 72  |                                |                              | Accepted  | Low  |
| 0 120 III COUNTER O  |   |          | 100  |   |   | 24                             | 16                           | Progress  | High   |
| 2235 Investment 9  |   |          | 180  | 63  | 81  | 27                             | 18                           | Progress  | Low  |
| 2344 Investment 10   | Sell  |          | 200  | 70  | 90  | 30                             | 20                           | Cancel  | Low  |
| 8290 Investment 11   | Buy   |          | 220  | 77  | 99  | 33                             | 22                           | Cancel  | Low  |
| 4382 Investment 12   | Buy   |          | 240  | 84  | 108   | 36                             | 24                           | Accepted  | High   |
| 1633 Investment 13   | Sell  |          | 260  | 91  | 117   | 39                             | 26                           | Cancel  | High   |
| 1016 Investment 14   | Sell  |          | 280  | 98  | 126   | 42                             | 28                           | Accepted  | Medium   |
| 8812 Investment 15   | Sell  |          | 300  | 105   | 135   | 45                             | 30                           | Accepted  | Low  |
| Account John Smith   | n Account                                     | John Doe | Account                                    | Richa                                       | rd Roe                                      |                                |                              | TRADES  |  |
| Type RZQ   | Туре  | OQV      | Type                                       | AWT   |   |                                |                              |   |  |
| Occupation dev   | Occupation                                    | qa       | Occupation                                 | qa  |   |                                | Amount                       |   | Fee  |
|  |   |          |  |   |   |                                | 368                          |   | 104  |
| Account John Smith   | Account                                       | John Doe | Account                                    | John  | Smith                                       |                                | 225                          |   | 20   |
| Type RZQ   | Type  | OQV      | Type                                       | OQV   |   |                                | 369                          |   | 33   |
| Occupation manager   | Occupation                                    | qa       | Occupation                                 | qa  |   |                                | 684                          |   | 48   |
|  |   |          |  |   |   |                                | 316                          |   | 84   |
|  |   |          |  |   |   |                                | 809                          |   | 22   |
|  |   |          |  |   |   |                                | 924                          |   | 104  |
|  |   |          |  |   |   |                                | 997                          |   | 8  |

| Account    | John Smith |
|------------|------------|
| Туре       | PWZ        |
| Occupation | qa         |

| Amount | Fee |
|--------|-----|
| 336    | 57  |
| 488    | 65  |
| 278    | 13  |
| 923    | 28  |
| 399    | 101 |
| 761    | 32  |
| 190    | 110 |
| 970    | 12  |
| 665    | 91  |
| 19     | 91  |
| 322    | 17  |
| 241    | 20  |
| 728    | 38  |
| 947    | 57  |
| 982    | 71  |
| 520    | 42  |
| 253    | 5   |
| 566    | 30  |
| 925    | 51  |
| 353    | 37  |
| 926    | 95  |
| 916    | 116 |
| 254    | 74  |
| 778    | 13  |
| 131    | 54  |
| 573    | 75  |
| 319    | 83  |
| 440    | 103 |
| 236    | 38  |
| 424    | 66  |
| 725    | 46  |

| Amount | Fee |
|--------|-----|
| 956    | 80  |
| 484    | 4   |
| 542    | 109 |
| 786    | 110 |
| 722    | 63  |

| Region:Arizona   Branch Number:5   Agent:Adelina   Sell   20 7 9 3 2 Cancel   High   7286   Investment 2 8uy   40 14 18 6 4 Accepted   Low   153   Investment 3 Sell   60 21 27 9 6 Accepted   Low   153   Investment 4 Sell   80 28 36 12 8 Progress   Low   154   155   Raccount   Richard Roe   Account   John Doe   RZQ   Type   PWZ   Type   AWT   Account   John Doe   Account   John Smith   332   106   | Code          | Description  | Trade T    | уре        | Amount | Net Amount | Pric    | ce | Quantity | Commision | Order Status | Risk |
|--|---------------|--------------|------------|------------|--------|------------|---------|----|----------|-----------|--------------|------|
| Agent:Adelina   Sell   20 7 9 3 2 Cancel   High  | _             |              |            |            |        |            |         |    |          |           |              |      |
| Sell   20 7 9 3 2 Cancel   High  |               |              |            |            |        |            |         |    |          |           |              |      |
| Table   Investment 2   Buy   | Agent:Adelina | 1            |            |            |        |            |         |    |          |           |              |      |
| 153  | 6028          | Investment 1 | Sell       |            | 20     | 7          |         | 9  | 3        | 2         | Cancel       | High |
| 6228         Investment 4         Sell         80         28         36         12         8 Progress         Low           Account         Richard Roe         Account         John Doe         Account         John Doe         TRADES           Type         RZQ         Type         PWZ         Type         AWT         Amount         Fee           Occupation         manager         Occupation         dev         Account         John Smith         Account         John Smith         332         106           Account         John Doe         Account         John Smith         Account         John Smith         293         64           Occupation         dev         Occupation         dev         9wZ         293         64           Account         John Smith         Account         dev         Occupation         dev         743         42           Account         John Smith         Account         John Smith         558         102           Type         AWT         Type         PWZ         700         62           Occupation         qa         Occupation         dev         9wZ         700         62           Occupation         qa         <  | 7286          | Investment 2 | Buy        |            | 40     | 14         | -       | 18 | 6        | 4         | Accepted     | Low  |
| Account         Richard Roe         Account         John Doe         Account         John Doe         TRADES           Type         RZQ         Type         PWZ         Type         AWT         AWT           Occupation         manager         Occupation         dev         Amount         Fee           Account         John Doe         Account         John Smith         Account         John Smith         332         106           Type         OQV         Type         PWZ         Type         PWZ         293         64           Occupation         dev         Occupation         dev         Occupation         42         293         64           Account         John Smith         Account         John Doe         Account         John Smith         558         102           Account         John Smith         Account         John Doe         Account         John Smith         558         102           Type         AWT         Type         PWZ         Type         PWZ         700         62           Occupation         qa         Occupation         dev         Occupation         dev         823         73           Account         Richard Roe  | 153           | Investment 3 | Sell       |            | 60     | 21         | 2       | 27 | 9        | 6         | Accepted     | Low  |
| Type RZQ Type PWZ Type AWT Occupation manager Occupation manager Occupation dev  RAmount Fee  390 16 Account John Doe Account John Smith Account John Smith 332 106 Type OQV Type PWZ Type PWZ 293 64 Occupation dev Occupation dev Occupation dev 743 42  Account John Smith Account John Doe Account John Smith 558 102 Type AWT Type PWZ Type PWZ 700 62 Occupation qa Occupation dev Occupation dev Occupation dev 823 73 Account Richard Roe Account John Doe Account John Doe Account Richard Roe Account John Doe Account John Doe Account John Doe Account 329 73  Account Richard Roe Account John Doe Account John Doe Account Account Account Richard Roe Account John Doe Account | 6228          | Investment 4 | Sell       |            | 80     | 28         | 3       | 36 | 12       | 8         | Progress     | Low  |
| OccupationmanagerOccupationmanagerOccupationdevAmountFee39016AccountJohn DoeAccountJohn SmithAccountJohn Smith332106TypeOQVTypePWZTypePWZ29364OccupationdevOccupationdev74342AccountJohn SmithAccountJohn DoeAccountJohn Smith558102TypeAWTTypePWZTypePWZ70062OccupationqaOccupationdevOccupationdev82373AccountRichard RoeAccountJohn DoeAccountJohn Doe4607TypeRZQTypeOQVTypePWZ35485  | Account       | Richard Roe  | Account    | John Doe   | Accoun | t Johr     | Doe     |    |          |           | TRADES       |      |
| 390   16   Account   John Doe   Account   John Smith   Account   John Smith   332   106   16   106     | Type          | RZQ          | Type       | PWZ        | Type   | AWT        |         |    |          |           |              | _    |
| Account         John Doe         Account         John Smith         Account         John Smith         332         106           Type         OQV         Type         PWZ         Type         PWZ         293         64           Occupation         dev         Occupation         dev         743         42           Account         John Smith         Account         John Doe         Account         John Smith         558         102           Type         AWT         Type         PWZ         Type         PWZ         700         62           Occupation         qa         Occupation         dev         0ccupation         dev         823         73           Account         Richard Roe         Account         John Doe         Account         John Doe         Account         John Doe         Account         John Doe         460         7           Type         RZQ         Type         OQV         Type         PWZ         354         85  | Occupation    | manager      | Occupation | manager    | Occupa | tion dev   |         |    |          | Amount    |              | Fee  |
| Type OQV Type PWZ Type PWZ 293 64 Occupation dev Occupation dev Occupation dev 743 42  Account John Smith Account John Doe Account John Smith 558 102 Type AWT Type PWZ Type PWZ 700 62 Occupation qa Occupation dev Occupation dev 823 73  Account Richard Roe Account John Doe Account John Doe 62  Type RZQ Type OQV Type PWZ 354 85  |               |              |            |            |        |            |         |    |          | 390       |              | 16   |
| OccupationdevOccupationdevOccupationdev7434232921AccountJohn SmithAccountJohn DoeAccountJohn Smith558102TypeAWTTypePWZTypePWZ70062OccupationqaOccupationdev82373AccountRichard RoeAccountJohn DoeAccountJohn Doe4607TypeRZQTypeOQVTypePWZ35485   | Account       |              | Account    |            | Accoun |            |         |    |          |           |              |      |
| Account         John Smith         Account         John Doe         Account         John Smith         558         102           Type         AWT         Type         PWZ         Type         PWZ         700         62           Occupation         qa         Occupation         dev         823         73           Account         Richard Roe         Account         John Doe         Account         John Doe           Type         RZQ         Type         OQV         Type         PWZ         354         85   | Type          | VQO          | Type       | PWZ        | Type   | PWZ        |         |    |          | 293       |              | 64   |
| AccountJohn SmithAccountJohn DoeAccountJohn Smith558102TypeAWTTypePWZTypePWZ70062OccupationqaOccupationdev0ccupationdev82373AccountRichard RoeAccountJohn DoeAccountJohn Doe4607TypeRZQTypeOQVTypePWZ35485   | Occupation    | dev          | Occupation | dev        | Occupa | tion dev   |         |    |          | 743       |              | 42   |
| TypeAWTTypePWZTypePWZ70062OccupationqaOccupationdev82373AccountRichard RoeAccountJohn DoeAccountJohn Doe4607TypeRZQTypeOQVTypePWZ35485   |               |              |            |            |        |            |         |    |          | 329       |              | 21   |
| OccupationqaOccupationdevOccupationdev8237363142AccountRichard RoeAccountJohn Doe4607TypeRZQTypeOQVTypePWZ35485  | Account       | John Smith   | Account    | John Doe   | Accoun | t Johr     | Smith   |    |          | 558       |              | 102  |
| Account Richard Roe Account John Doe Account John Doe 7 Type RZQ Type OQV Type PWZ 354 85  | Type          | AWT          | Type       | PWZ        | Type   | PWZ        |         |    |          | 700       |              | 62   |
| AccountRichard RoeAccountJohn DoeAccountJohn Doe4607TypeRZQTypeOQVTypePWZ35485   | Occupation    | qa           | Occupation | dev        | Occupa | tion dev   |         |    |          | 823       |              | 73   |
| Type RZQ Type OQV Type PWZ 354 85  |               |              |            |            |        |            |         |    |          | 631       |              | 42   |
|  | Account       | Richard Roe  | Account    | John Doe   | Accoun | t Johr     | Doe     |    |          | 460       |              | 7    |
| Occupation qa Occupation dev   | Туре          | RZQ          | Type       | OQV        | Type   | PWZ        |         |    |          | 354       |              | 85   |
|  | Occupation    | qa           | Occupation | qa         | Occupa | ition dev  |         |    |          |           |              |      |
|  |               |              |            |            |        |            |         |    |          |           |              |      |
| Account John Smith Account John Smith Account Richard Roe  | Account       | John Smith   | Account    | John Smith | Accoun | t Rich     | ard Roe |    |          |           |              |      |
| Type RZQ Type OQV Type AWT   | Туре          | RZQ          | Type       | OQV        | Type   | AWT        |         |    |          |           |              |      |
| Occupation dev Occupation dev Occupation qa  | Occupation    | dev          | Occupation | dev        | Occupa | tion qa    |         |    |          |           |              |      |

| Account    | John Doe   | Account    | John Doe    | Account    | John Doe    |
|------------|------------|------------|-------------|------------|-------------|
| Type       | OQV        | Type       | AWT         | Type       | RZQ         |
| Occupation | dev        | Occupation | dev         | Occupation | manager     |
|            |            |            |             |            |             |
| Account    | John Doe   | Account    | John Smith  | Account    | Richard Roe |
| Type       | OQV        | Type       | AWT         | Туре       | PWZ         |
| Occupation | manager    | Occupation | qa          | Occupation | manager     |
|            |            |            |             |            |             |
| Account    | John Smith | Account    | Richard Roe | Account    | Richard Roe |
| Type       | PWZ        | Type       | RZQ         | Туре       | OQV         |
| Occupation | dev        | Occupation | qa          | Occupation | qa          |
|            |            |            |             |            |             |
| Account    | John Doe   | Account    | Richard Roe | Account    | Richard Roe |
| Type       | PWZ        | Type       | PWZ         | Type       | OQV         |
| Occupation | qa         | Occupation | manager     | Occupation | qa          |
| • •        |            | • •        |             |            |             |

| Code           | Description  | Trade      | Туре        | Amount Net | Amount | Price | Quantity | Commision | Order Status | Risk   |
|----------------|--------------|------------|-------------|------------|--------|-------|----------|-----------|--------------|--------|
| Region:Florida |              |            |             |            |        |       |          |           |              |        |
| Branch Numb    |              |            |             |            |        |       |          |           |              |        |
| Agent:Agatha   |              |            |             |            |        |       |          |           |              |        |
| 3431           | Investment 1 | Buy        |             | 20         | 7      | 9     | 3        | 2         | Progress     | Medium |
| 7890           | Investment 2 | Buy        |             | 40         | 14     | 18    | 6        | 4         | Cancel       | Medium |
| Account        | Richard Roe  | Account    | John Smith  | Account    | John : | Smith |          |           | TRADES       |        |
| Туре           | OQV          | Туре       | AWT         | Туре       | PWZ    |       |          |           |              |        |
| Occupation     | qa           | Occupation | qa          | Occupation | qa     |       |          | Amount    |              | Fee    |
|                |              |            |             |            |        |       |          | 609       |              | 30     |
| Account        | John Doe     | Account    | John Doe    | Account    | John : | Smith |          | 814       |              | 52     |
| Туре           | OQV          | Туре       | RZQ         | Type       | PWZ    |       |          | 121       |              | 50     |
| Occupation     | dev          | Occupation | manager     | Occupation | qa     |       |          | 331       |              | 116    |
|                |              |            |             |            |        |       |          | 795       |              | 42     |
| Account        | John Doe     | Account    | John Smith  | Account    | John I | Doe   |          | 214       |              | 40     |
| Type           | RZQ          | Type       | RZQ         | Type       | AWT    |       |          | 319       |              | 50     |
| Occupation     | dev          | Occupation | qa          | Occupation | qa     |       |          | 485       |              | 65     |
|                |              |            |             |            |        |       |          | 658       |              | 33     |
| Account        | Richard Roe  | Account    | John Doe    | Account    | John : | Smith |          | 549       |              | 65     |
| Туре           | RZQ          | Type       | RZQ         | Type       | AWT    |       |          | 24        |              | 28     |
| Occupation     | manager      | Occupation | dev         | Occupation | mana   | ger   |          | 235       |              | 45     |
|                |              |            |             |            |        |       |          | 829       |              | 58     |
| Account        | Richard Roe  | Account    | Richard Roe |            |        |       |          | 766       |              | 104    |
| Type           | PWZ          | Туре       | AWT         |            |        |       |          | 537       |              | 16     |
| Occupation     | qa           | Occupation | qa          |            |        |       |          | 423       |              | 107    |
|                |              |            |             |            |        |       |          | 150       |              | 101    |
|                |              |            |             |            |        |       |          | 391       |              | 39     |
|                |              |            |             |            |        |       |          | 463       |              | 15     |
|                |              |            |             |            |        |       |          | 803       |              | 45     |
|                |              |            |             |            |        |       |          | 286       |              | 4      |

| Amount | Fee |
|--------|-----|
| 774    | 13  |
| 34     | 69  |
| 460    | 44  |
| 12     | 45  |
| 118    | 57  |
| 756    | 23  |
| 982    | 53  |
| 181    | 13  |
| 593    | 82  |
| 865    | 61  |
| 516    | 116 |
| 266    | 118 |
| 220    | 29  |
| 351    | 16  |
| 470    | 53  |
| 95     | 65  |
| 255    | 30  |
| 60     | 92  |
| 946    | 101 |
| 663    | 53  |
| 844    | 52  |
| 949    | 95  |
| 285    | 5   |
| 43     | 110 |
| 782    | 89  |
| 907    | 8   |
| 833    | 31  |
| 602    | 5   |
| 825    | 72  |
| 509    | 104 |
| 487    | 54  |

| Amount | Fee |
|--------|-----|
| 544    | 78  |
| 486    | 85  |
| 594    | 52  |
| 524    | 34  |
| 169    | 5   |
| 461    | 0   |
| 565    | 32  |
| 245    | 89  |
| 292    | 88  |
| 106    | 105 |
| 793    | 117 |
| 316    | 7   |
| 618    | 71  |
| 546    | 85  |
| 781    | 35  |
| 346    | 110 |
| 637    | 95  |
| 797    | 119 |
| 927    | 63  |
| 677    | 46  |
| 819    | 106 |
| 251    | 31  |
| 186    | 78  |
| 137    | 102 |
| 187    | 95  |
| 785    | 86  |
| 537    | 15  |

| Code          | Description  | Trade 1    | Гуре        | Amount N | let Amount | Price | Quantity | Commision | Order Status | Risk |
|---------------|--------------|------------|-------------|----------|------------|-------|----------|-----------|--------------|------|
| Region:Alabar | na           |            |             |          |            |       |          |           |              |      |
| Branch Number | er:17        |            |             |          |            |       |          |           |              |      |
| Agent:Phil    |              |            |             |          |            |       |          |           |              |      |
| 6497          | Investment 1 | Buy        |             | 20       | 7          | 9     | 3        | 2         | Accepted     | High |
| 6038          | Investment 2 | Buy        |             | 40       | 14         | 18    | 6        | 4         | Cancel       | High |
| 5783          | Investment 3 | Buy        |             | 60       | 21         | 27    | 9        | 6         | Progress     | High |
| 8519          | Investment 4 | Buy        |             | 80       | 28         | 36    | 12       | 8         | Accepted     | Low  |
| 3527          | Investment 5 | Buy        |             | 100      | 35         | 45    | 15       | 10        | Progress     | High |
| Account       | John Smith   | Account    | John Doe    | Account  | Richard    | d Roe |          |           | TRADES       |      |
| Туре          | RZQ          | Туре       | AWT         | Type     | PWZ        |       |          |           |              |      |
| Occupation    | manager      | Occupation | dev         | Occupati | on manag   | jer   |          | Amount    |              | Fee  |
|               |              |            |             |          |            |       |          | 613       |              | 87   |
| Account       | Richard Roe  | Account    | John Smith  | Account  | John S     | Smith |          | 517       |              | 6    |
| Type          | OQV          | Type       | OQV         | Type     | OQV        |       |          | 518       |              | 93   |
| Occupation    | manager      | Occupation | dev         | Occupati | on qa      |       |          | 76        |              | 38   |
|               |              |            |             |          |            |       |          | 602       |              | 38   |
| Account       | John Doe     | Account    | John Doe    | Account  | John S     | Smith |          | 659       |              | 12   |
| Type          | AWT          | Type       | PWZ         | Type     | PWZ        |       |          | 818       |              | 109  |
| Occupation    | manager      | Occupation | manager     | Occupati | on dev     |       |          | 871       |              | 77   |
|               |              |            |             |          |            |       |          | 361       |              | 17   |
| Account       | Richard Roe  | Account    | Richard Roe | Account  | John S     | Smith |          | 76        |              | 70   |
| Type          | AWT          | Type       | RZQ         | Type     | OQV        |       |          | 742       |              | 43   |
| Occupation    | dev          | Occupation | qa          | Occupati | on qa      |       |          | 370       |              | 84   |
|               |              |            |             |          |            |       |          | 713       |              | 22   |
|               |              |            |             |          |            |       |          | 320       |              | 61   |
|               |              |            |             |          |            |       |          | 945       |              | 71   |
|               |              |            |             |          |            |       |          | 375       |              | 81   |
|               |              |            |             |          |            |       |          | 568       |              | 100  |
|               |              |            |             |          |            |       |          | 974       |              | 107  |

| Amount | Fee |
|--------|-----|
|        |     |
| 724    | 9   |
| 749    | 18  |
| 931    | 45  |
| 328    | 53  |
| 530    | 27  |
| 762    | 59  |
| 506    | 5   |
| 923    | 95  |
| 80     | 66  |
| 272    | 74  |
| 39     | 32  |
| 702    | 19  |
| 763    | 117 |
| 666    | 65  |
| 317    | 7   |
| 112    | 50  |
| 438    | 100 |
| 582    | 60  |
| 722    | 27  |
| 891    | 40  |
| 403    | 105 |
| 338    | 38  |
| 727    | 24  |
| 45     | 108 |
| 271    | 26  |
| 240    | 24  |
| 76     | 51  |
| 756    | 37  |
| 896    | 4   |
| 892    | 58  |
| 998    | 92  |
|        |     |

| Amount | Fee |
|--------|-----|
| 543    | 37  |
| 664    | 73  |
| 346    | 31  |
| 995    | 4   |
| 433    | 9   |
| 569    | 59  |
| 602    | 5   |
| 963    | 0   |
| 287    | 47  |
| 592    | 62  |
| 174    | 26  |
| 646    | 115 |
| 214    | 87  |

| Code           | Description   | Trade      | Type Aı     | mount No  | et Amount | Pric   | ce         | Quantity | Commision | Order Status | Risk   |
|----------------|---------------|------------|-------------|-----------|-----------|--------|------------|----------|-----------|--------------|--------|
| Region:Califor |               |            |             |           |           |        |            |          |           |              |        |
| Branch Numb    | er:13         |            |             |           |           |        |            |          |           |              |        |
| Agent:Juliet   |               |            |             |           |           |        |            |          |           |              |        |
| 7671           | Investment 1  | Sell       |             | 20        | 7         |        | 9          | 3        | 2         | Progress     | Low    |
| 3902           | Investment 2  | Sell       |             | 40        | 14        | 1      | 18         | 6        | 4         | Accepted     | Medium |
| 1629           | Investment 3  | Sell       |             | 60        | 21        | 2      | 27         | 9        | 6         | Accepted     | High   |
| 8394           | Investment 4  | Sell       |             | 80        | 28        | 3      | 36         | 12       | 8         | Progress     | Medium |
| 1397           | Investment 5  | Buy        |             | 100       | 35        | 4      | <b>1</b> 5 | 15       | 10        | Accepted     | Medium |
| 6783           | Investment 6  | Sell       |             | 120       | 42        | 5      | 54         | 18       | 12        | Accepted     | Medium |
| 3507           | Investment 7  | Buy        |             | 140       | 49        | 6      | 53         | 21       | 14        | Cancel       | Medium |
| 873            | Investment 8  | Sell       |             | 160       | 56        | 7      | 72         | 24       | 16        | Accepted     | Medium |
| 2741           | Investment 9  | Sell       |             | 180       | 63        | 8      | 31         | 27       | 18        | Accepted     | Medium |
| 9377           | Investment 10 | Sell       |             | 200       | 70        | 9      | 90         | 30       | 20        | Accepted     | High   |
| 9612           | Investment 11 | Buy        |             | 220       | 77        | 9      | 99         | 33       | 22        | Progress     | Low    |
| 3427           | Investment 12 | Sell       |             | 240       | 84        | 10     | 8(         | 36       | 24        | Cancel       | Low    |
| 2970           | Investment 13 | Sell       |             | 260       | 91        | 11     | 7          | 39       | 26        | Cancel       | High   |
| Account        | John Doe      | Account    | John Doe    | Account   | John [    | Doe    |            |          |           | TRADES       |        |
| Туре           | AWT           | Туре       | AWT         | Type      | RZQ       |        |            |          |           |              |        |
| Occupation     | qa            | Occupation | manager     | Occupatio | n qa      |        |            |          | Amount    |              | Fee    |
|                |               |            |             |           |           |        |            |          | 822       |              | 94     |
| Account        | John Doe      | Account    | John Doe    | Account   | John S    | Smith  |            |          | 604       |              | 26     |
| Туре           | AWT           | Туре       | OQV         | Type      | AWT       |        |            |          | 980       |              | 12     |
| Occupation     | qa            | Occupation | manager     | Occupatio | n manag   | ger    |            |          | 455       |              | 38     |
|                |               |            |             |           |           |        |            |          | 96        |              | 15     |
| Account        | John Doe      | Account    | Richard Roe | Account   | Richar    | rd Roe |            |          | 385       |              | 3      |
| Type           | PWZ           | Туре       | RZQ         | Type      | AWT       |        |            |          | 22        |              | 45     |
| Occupation     | manager       | Occupation | manager     | Occupatio | n manag   | ger    |            |          | 247       |              | 56     |
|                |               |            |             |           |           |        |            |          | 589       |              | 115    |
|                |               |            |             |           |           |        |            |          | 614       |              | 108    |
|                |               |            |             |           |           |        |            |          |           |              |        |

| Account    | John Smith  | Account    | John Smith  | Account    | John Smith |
|------------|-------------|------------|-------------|------------|------------|
| Туре       | AWT         | Туре       | OQV         | Type       | PWZ        |
| Occupation | dev         | Occupation | manager     | Occupation | qa         |
|            |             |            |             |            |            |
| Account    | Richard Roe | Account    | John Doe    | Account    | John Doe   |
| Туре       | OQV         | Туре       | OQV         | Type       | PWZ        |
| Occupation | manager     | Occupation | manager     | Occupation | manager    |
|            |             |            |             |            |            |
| Account    | John Smith  | Account    | Richard Roe | Account    | John Doe   |
| Туре       | AWT         | Туре       | PWZ         | Туре       | PWZ        |
| Occupation | dev         | Occupation | manager     | Occupation | qa         |
|            |             |            |             |            |            |
| Account    | John Smith  | Account    | John Doe    | Account    | John Smith |
| Type       | RZQ         | Туре       | PWZ         | Type       | RZQ        |
| Occupation | manager     | Occupation | dev         | Occupation | dev        |
|            |             |            |             |            |            |
| Account    | Richard Roe |            |             |            |            |
| Туре       | OQV         |            |             |            |            |
| Occupation | qa          |            |             |            |            |
|            |             |            |             |            |            |

| Amount | Fee |
|--------|-----|
| 374    | 67  |
| 406    | 52  |
| 69     | 30  |
| 402    | 43  |
| 641    | 66  |
| 208    | 9   |
| 457    | 75  |
| 481    | 66  |
| 220    | 72  |
| 798    | 63  |
| 69     | 29  |
| 668    | 74  |
| 586    | 86  |
| 215    | 74  |
| 943    | 115 |
| 319    | 111 |
| 948    | 30  |
| 312    | 119 |
| 584    | 1   |
| 300    | 31  |
| 288    | 85  |
| 93     | 5   |
| 176    | 14  |
| 754    | 50  |
| 524    | 18  |
| 320    | 21  |
| 635    | 16  |
| 106    | 26  |
| 9      | 101 |
| 62     | 106 |

| Code          | Description   | Trade <sup>-</sup> | Гуре А     | mount  | Net Amount | Pric    | ce         | Quantity | Commision | Order Status | Risk   |
|---------------|---------------|--------------------|------------|--------|------------|---------|------------|----------|-----------|--------------|--------|
| Region:Califo | rnia          |                    |            |        |            |         |            |          |           |              |        |
| Branch Numb   | er:6          |                    |            |        |            |         |            |          |           |              |        |
| Agent:Juliet  |               |                    |            |        |            |         |            |          |           |              |        |
| 8907          | Investment 1  | Buy                |            | 20     | 7          |         | 9          | 3        | 2         | Progress     | High   |
| 6401          | Investment 2  | Sell               |            | 40     | 14         |         | 18         | 6        | 4         | Accepted     | Medium |
| 5093          | Investment 3  | Buy                |            | 60     | 21         |         | 27         | 9        | 6         | Accepted     | High   |
| 5651          | Investment 4  | Sell               |            | 80     | 28         |         | <br>36     | 12       | 8         | Progress     | High   |
| 1707          | Investment 5  | Sell               |            | 100    | 35         |         | <b>1</b> 5 | 15       | 10        | Accepted     | Medium |
| 9562          | Investment 6  | Buy                |            | 120    | 42         |         | 54         | 18       | 12        | Cancel       | Low    |
| 791           | Investment 7  | Buy                |            | 140    | 49         |         | 53         | 21       | 14        | Cancel       | Low    |
| 4677          | Investment 8  | Sell               |            | 160    | 56         | 7       | 72         | 24       | 16        | Progress     | High   |
| 9816          | Investment 9  | Sell               |            | 180    | 63         | 8       | 31         | 27       | 18        | Cancel       | High   |
| 8563          | Investment 10 | Buy                |            | 200    | 70         | g       | 90         | 30       | 20        | Accepted     | High   |
| 4402          | Investment 11 | Buy                |            | 220    | 77         | ç       | 99         | 33       | 22        | Progress     | Low    |
| 8999          | Investment 12 | Sell               |            | 240    | 84         | 10      | 8(         | 36       | 24        | Cancel       | Low    |
| 565           | Investment 13 | Buy                |            | 260    | 91         | 11      | 7          | 39       | 26        | Progress     | Medium |
| Account       | John Doe      | Account            | John Smith | Accour | nt John    | Smith   |            |          |           | TRADES       |        |
| Туре          | AWT           | Туре               | AWT        | Type   | PWZ        |         |            |          |           |              |        |
| Occupation    | qa            | Occupation         | qa         | Occupa | ation mana | ager    |            |          | Amount    |              | Fee    |
|               |               |                    |            |        |            |         |            |          | 364       |              | 33     |
| Account       | Richard Roe   | Account            | John Smith | Accour | nt John    | Doe     |            |          | 906       |              | 12     |
| Туре          | AWT           | Туре               | PWZ        | Type   | PWZ        |         |            |          | 380       |              | 65     |
| Occupation    | manager       | Occupation         | manager    | Occupa | ation qa   |         |            |          | 277       |              | 110    |
|               |               |                    |            |        |            |         |            |          | 174       |              | 9      |
| Account       | John Doe      | Account            | John Smith | Accour | nt Richa   | ard Roe |            |          | 548       |              | 34     |
| Туре          | OQV           | Type               | OQV        | Type   | OQV        |         |            |          |           |              |        |
| Occupation    | qa            | Occupation         | dev        | Occupa | ation qa   |         |            |          |           |              |        |

| Account    | John Smith  | Account    | John Doe | Account    | John Smith  |
|------------|-------------|------------|----------|------------|-------------|
| Туре       | OQV         | Туре       | RZQ      | Туре       | AWT         |
| Occupation | qa          | Occupation | manager  | Occupation | dev         |
|            |             |            |          |            |             |
| Account    | Richard Roe | Account    | John Doe | Account    | John Smith  |
| Туре       | RZQ         | Туре       | PWZ      | Туре       | PWZ         |
| Occupation | qa          | Occupation | qa       | Occupation | qa          |
|            |             |            |          |            |             |
| Account    | Richard Roe | Account    | John Doe | Account    | Richard Roe |
| Туре       | OQV         | Туре       | AWT      | Туре       | AWT         |
| Occupation | manager     | Occupation | qa       | Occupation | manager     |

| Code  | Description      | Trade      | Туре        | Amount Net A | Amount     | Price | Quantity | Commision | Order Status | Risk   |
|---|------------------|------------|-------------|--------------|------------|-------|----------|-----------|--------------|--------|
| Region:Florid<br>Branch Numb<br>Agent:Gerry |                  |            |             |              |            |       |          |           |              |        |
| 105   | Investment 1     | Buy        |             | 20           | 7          | 9     | 3        | 2         | Cancel       | Medium |
| Account                                     | John Doe         | Account    | Richard Roe | Account      | John Doe   |       |          |           | TRADES       |        |
| Type  | AWT              | Туре       | AWT         | Туре         | OQV        |       |          |           |              |        |
| Occupation                                  | manager          | Occupation | manager     | Occupation   | manager    |       |          | Amount    |              | Fee    |
|   |                  |            |             |              |            |       |          | 323       |              | 6      |
| Account                                     | John Doe         | Account    | John Doe    | Account      | John Doe   |       |          | 123       |              | 32     |
| Type  | OQV              | Туре       | PWZ         | Туре         | RZQ        |       |          | 200       |              | 11     |
| Occupation                                  | qa               | Occupation | dev         | Occupation   | dev        |       |          | 267       |              | 92     |
|   |                  |            |             |              |            |       |          | 777       |              | 113    |
| Account                                     | John Doe         | Account    | John Doe    | Account      | Richard Ro | oe -  |          | 267       |              | 63     |
| Type  | AWT              | Type       | OQV         | Type         | PWZ        |       |          | 655       |              | 60     |
| Occupation                                  | qa               | Occupation | qa          | Occupation   | dev        |       |          | 735       |              | 37     |
|   | ·                |            |             |              |            |       |          | 179       |              | 105    |
| Account                                     | John Smith       | Account    | Richard Roe | Account      | Richard Ro | oe -  |          | 485       |              | 58     |
| Type  | RZQ              | Type       | OQV         | Type         | AWT        |       |          | 396       |              | 94     |
| Occupation                                  | manager          | Occupation | manager     | Occupation   | manager    |       |          | 866       |              | 31     |
| ·   | _                |            | _           |              | _          |       |          | 59        |              | 40     |
| Account                                     | John Doe         | Account    | John Doe    | Account      | John Doe   |       |          | 427       |              | 17     |
| Type  | PWZ              | Type       | PWZ         | Type         | OQV        |       |          | 222       |              | 63     |
| Occupation                                  | dev              | Occupation | qa          | Occupation   | manager    |       |          | 976       |              | 62     |
| ·   |                  | ·          |             |              | _          |       |          | 353       |              | 90     |
| Account                                     | Richard Roe      | Account    | John Smith  | Account      | John Doe   |       |          | 802       |              | 116    |
| Туре  | AWT              | Type       | PWZ         | Type         | PWZ        |       |          | 707       |              | 114    |
| Occupation                                  | manager          | Occupation | manager     | Occupation   | qa         |       |          | 238       |              | 8      |
|   | , and the second | ,          | 3           | ,            | •          |       |          | 443       |              | 6      |
|   |                  |            |             |              |            |       |          | 977       |              | 48     |

| Account    | John Smith | Account    | John Smith  | Account    | John Smith |
|------------|------------|------------|-------------|------------|------------|
| Туре       | PWZ        | Туре       | RZQ         | Type       | OQV        |
| Occupation | qa         | Occupation | qa          | Occupation | manager    |
|            |            |            |             |            |            |
| Account    | John Doe   | Account    | Richard Roe |            |            |
| Type       | OQV        | Type       | OQV         |            |            |
| Occupation | manager    | Occupation | manager     |            |            |

| Amount | Fee |
|--------|-----|
| 843    | 3   |
| 987    | 54  |
| 701    | 109 |
| 192    | 105 |
| 667    | 39  |
| 841    | 65  |
| 355    | 3   |
| 962    | 87  |
| 878    | 102 |
| 116    | 63  |
| 746    | 19  |
| 658    | 19  |
| 61     | 42  |
| 305    | 77  |
| 730    | 61  |
| 257    | 24  |
| 296    | 87  |
| 48     | 36  |
| 421    | 98  |
|        |     |

| Code            | Description   | Trade Ty   | pe Ar       | mount l | Net Amount | Pric   | се         | Quantity | Commision | Order Status | Risk   |
|-----------------|---------------|------------|-------------|---------|------------|--------|------------|----------|-----------|--------------|--------|
| Region:Colorado |               |            |             |         |            |        |            |          |           |              |        |
| Branch Numb     | er:10         |            |             |         |            |        |            |          |           |              |        |
| Agent:Gerry     |               |            |             |         |            |        |            |          |           |              |        |
| 1178            | Investment 1  | Sell       |             | 20      | 7          |        | 9          | 3        | 2         | Progress     | Low    |
| 2906            | Investment 2  | Sell       |             | 40      | 14         | 1      | 8          | 6        | 4         | Cancel       | High   |
| 5745            | Investment 3  | Sell       |             | 60      | 21         | 2      | 27         | 9        | 6         | Progress     | High   |
| 4971            | Investment 4  | Sell       |             | 80      | 28         | 3      | 36         | 12       | 8         | Progress     | Medium |
| 1642            | Investment 5  | Buy        |             | 100     | 35         | 4      | <b>1</b> 5 | 15       | 10        | Progress     | Medium |
| 530             | Investment 6  | Buy        |             | 120     | 42         | 5      | 54         | 18       | 12        | Accepted     | Low    |
| 2615            | Investment 7  | Sell       |             | 140     | 49         | 6      | 53         | 21       | 14        | Accepted     | High   |
| 2277            | Investment 8  | Sell       |             | 160     | 56         | 7      | 72         | 24       | 16        | Cancel       | Medium |
| 1817            | Investment 9  | Buy        |             | 180     | 63         | 8      | 31         | 27       | 18        | Progress     | Medium |
| 7145            | Investment 10 | Buy        |             | 200     | 70         | 9      | 90         | 30       | 20        | Progress     | High   |
| 6607            | Investment 11 | Buy        |             | 220     | 77         | 9      | 99         | 33       | 22        | Cancel       | Low    |
| 3239            | Investment 12 | Sell       |             | 240     | 84         | 10     | )8         | 36       | 24        | Progress     | Medium |
| 1122            | Investment 13 | Sell       |             | 260     | 91         | 11     | 7          | 39       | 26        | Progress     | Medium |
| 5624            | Investment 14 | Buy        |             | 280     | 98         | 12     | 26         | 42       | 28        | Accepted     | Medium |
| 5945            | Investment 15 | Buy        |             | 300     | 105        | 13     | 35         | 45       | 30        | Progress     | Medium |
| 3582            | Investment 16 | Buy        |             | 320     | 112        | 14     | 14         | 48       | 32        | Accepted     | Low    |
| 9655            | Investment 17 | Sell       |             | 340     | 119        | 15     | 3          | 51       | 34        | Cancel       | Low    |
| 533             | Investment 18 | Sell       |             | 360     | 126        | 16     | 52         | 54       | 36        | Cancel       | Low    |
| 5138            | Investment 19 | Sell       |             | 380     | 133        | 17     | <b>'</b> 1 | 57       | 38        | Progress     | Low    |
| 3791            | Investment 20 | Sell       |             | 400     | 140        | 18     | 30         | 60       | 40        | Progress     | Low    |
| Account         | John Smith    | Account    | Richard Roe | Account | Johr       | n Doe  |            |          |           | TRADES       |        |
| Type            | PWZ           | Type       | RZQ         | Type    | PWZ        | •<br>- |            |          |           |              |        |
| Occupation      | manager       | Occupation | manager     | Occupat | ion dev    |        |            |          | Amount    |              | Fee    |
|                 |               |            |             |         |            |        |            |          | 580       |              | 89     |
|                 |               |            |             |         |            |        |            |          | 908       |              | 69     |
|                 |               |            |             |         |            |        |            |          | 238       |              | 108    |

| Account    | John Smith  | Account    | John Smith | Account    | John Smith  |
|------------|-------------|------------|------------|------------|-------------|
| Туре       | PWZ         | Туре       | AWT        | Туре       | AWT         |
| Occupation | manager     | Occupation | dev        | Occupation | dev         |
|            |             |            |            |            |             |
| Account    | Richard Roe | Account    | John Smith | Account    | John Smith  |
| Туре       | PWZ         | Type       | PWZ        | Type       | OQV         |
| Occupation | qa          | Occupation | qa         | Occupation | manager     |
|            |             |            |            |            |             |
| Account    | John Smith  | Account    | John Doe   | Account    | Richard Roe |
| Туре       | PWZ         | Туре       | RZQ        | Туре       | AWT         |
| Occupation | dev         | Occupation | manager    | Occupation | qa          |
|            |             |            |            |            |             |
| Account    | John Doe    | Account    | John Doe   | Account    | John Doe    |
| Туре       | PWZ         | Туре       | PWZ        | Туре       | OQV         |
| Occupation | dev         | Occupation | dev        | Occupation | manager     |
|            |             |            |            |            |             |
| Account    | Richard Roe | Account    | John Smith | Account    | John Doe    |
| Туре       | OQV         | Туре       | AWT        | Туре       | PWZ         |
| Occupation | manager     | Occupation | dev        | Occupation | dev         |
|            |             |            |            |            |             |

| Amount | Fee |
|--------|-----|
| 67     | 25  |
| 223    | 62  |
| 46     | 13  |
| 555    | 52  |
| 570    | 14  |
| 390    | 46  |
| 601    | 100 |
| 357    | 113 |
| 690    | 33  |
| 876    | 35  |
| 913    | 101 |
| 503    | 99  |
| 103    | 84  |
| 500    | 106 |
| 764    | 84  |
| 702    | 90  |
| 385    | 38  |
| 148    | 17  |
| 394    | 72  |
| 544    | 17  |
| 864    | 53  |
| 748    | 16  |
| 109    | 50  |
| 598    | 15  |
| 337    | 46  |
| 700    | 2   |
| 497    | 29  |
| 282    | 75  |
| 951    | 73  |
| 777    | 35  |
| 68     | 22  |

| Amount | Fee |
|--------|-----|
| 969    | 61  |
| 450    | 47  |
| 847    | 88  |

| Code         | Description   | Trade T    | уре А    | mount   | Net Amount | Pri    | ce | Quantity | Commision | Order Status | Risk   |
|--------------|---------------|------------|----------|---------|------------|--------|----|----------|-----------|--------------|--------|
| Region:Monta |               |            |          |         |            |        |    |          |           |              |        |
| Branch Numb  | er:16         |            |          |         |            |        |    |          |           |              |        |
| Agent:Maia   |               |            |          |         |            |        |    |          |           |              |        |
| 2631         | Investment 1  | Buy        |          | 20      | 7          |        | 9  | 3        | 2         | Cancel       | Low    |
| 8309         | Investment 2  | Buy        |          | 40      | 14         |        | 18 | 6        | 4         | Accepted     | Low    |
| 2247         | Investment 3  | Buy        |          | 60      | 21         |        | 27 | 9        | 6         | Cancel       | High   |
| 4323         | Investment 4  | Sell       |          | 80      | 28         |        | 36 | 12       | 8         | Progress     | Low    |
| 4946         | Investment 5  | Sell       |          | 100     | 35         |        | 45 | 15       | 10        | Cancel       | Medium |
| 2307         | Investment 6  | Sell       |          | 120     | 42         |        | 54 | 18       | 12        | Progress     | Low    |
| 8167         | Investment 7  | Sell       |          | 140     | 49         |        | 63 | 21       | 14        | Cancel       | High   |
| 6255         | Investment 8  | Buy        |          | 160     | 56         |        | 72 | 24       | 16        | Cancel       | Low    |
| 9288         | Investment 9  | Buy        |          | 180     | 63         |        | 81 | 27       | 18        | Progress     | High   |
| 4033         | Investment 10 | Buy        |          | 200     | 70         |        | 90 | 30       | 20        | Cancel       | Medium |
| 2957         | Investment 11 | Sell       |          | 220     | 77         |        | 99 | 33       | 22        | Accepted     | High   |
| 5011         | Investment 12 | Sell       |          | 240     | 84         | 1      | 80 | 36       | 24        | Accepted     | High   |
| 3158         | Investment 13 | Sell       |          | 260     | 91         | 1      | 17 | 39       | 26        | Accepted     | High   |
| 2152         | Investment 14 | Buy        |          | 280     | 98         | 1:     | 26 | 42       | 28        | Accepted     | Medium |
| 9504         | Investment 15 | Sell       |          | 300     | 105        | 1:     | 35 | 45       | 30        | Accepted     | Low    |
| 5267         | Investment 16 | Buy        |          | 320     | 112        | 1.     | 44 | 48       | 32        | Accepted     | High   |
| 7765         | Investment 17 | Sell       |          | 340     | 119        | 1      | 53 | 51       | 34        | Accepted     | Medium |
| 393          | Investment 18 | Sell       |          | 360     | 126        | 1      | 62 | 54       | 36        | Progress     | Medium |
| 505          | Investment 19 | Sell       |          | 380     | 133        | 1      | 71 | 57       | 38        | Progress     | Medium |
| Account      | John Smith    | Account    | John Doe | Account | t Jol      | nn Doe |    |          |           | TRADES       |        |
| Type         | RZQ           | Type       | RZQ      | Type    | OQ         | V      |    |          |           |              |        |
| Occupation   | dev           | Occupation | dev      | Occupat | tion ma    | nager  |    |          | Amount    |              | Fee    |
|              |               |            |          |         |            |        |    |          | 131       |              | 57     |
|              |               |            |          |         |            |        |    |          | 630       |              | 66     |
|              |               |            |          |         |            |        |    |          | 75        |              | 73     |
|              |               |            |          |         |            |        |    |          | 979       |              | 119    |
|              |               |            |          |         |            |        |    |          |           |              |        |

| Account    | John Smith  | Account    | John Smith  | Account    | John Doe    |
|------------|-------------|------------|-------------|------------|-------------|
| Type       | PWZ         | Type       | OQV         | Type       | RZQ         |
| Occupation | dev         | Occupation | manager     | Occupation | manager     |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | Richard Roe | Account    | Richard Roe |
| Туре       | PWZ         | Type       | OQV         | Type       | AWT         |
| Occupation | qa          | Occupation | qa          | Occupation | manager     |
|            |             |            |             |            |             |
| Account    | John Smith  | Account    | John Doe    | Account    | John Smith  |
| Туре       | OQV         | Type       | OQV         | Туре       | PWZ         |
| Occupation | qa          | Occupation | qa          | Occupation | manager     |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | Richard Roe | Account    | John Smith  |
| Туре       | AWT         | Туре       | AWT         | Туре       | PWZ         |
| Occupation | dev         | Occupation | dev         | Occupation | manager     |
|            |             |            |             |            |             |
| Account    | John Doe    |            |             |            |             |

Type

Occupation

OQV

dev

| Amount | Fee |
|--------|-----|
| 164    | 46  |
| 625    | 41  |
| 372    | 76  |
| 938    | 95  |
| 395    | 39  |
| 980    | 82  |
| 566    | 88  |
| 205    | 113 |
| 404    | 93  |
| 988    | 71  |
| 605    | 60  |
| 253    | 11  |
| 774    | 115 |
| 524    | 52  |
| 224    | 7   |
| 267    | 39  |
|        |     |

| Code                      | Description   | Trade      | Туре А      | mount N  | Net Amount | Pric    | ce         | Quantity | Commision | Order Status | Risk   |
|---------------------------|---------------|------------|-------------|----------|------------|---------|------------|----------|-----------|--------------|--------|
| Region:Monta              |               |            |             |          |            |         |            |          |           |              |        |
| Branch Number Agent:Gerry | er:3          |            |             |          |            |         |            |          |           |              |        |
| / igenitioenly            |               |            |             |          |            |         |            |          |           |              |        |
| 633                       | Investment 1  | Sell       |             | 20       | 7          |         | 9          | 3        | 2         | Cancel       | Medium |
| 2102                      | Investment 2  | Sell       |             | 40       | 14         | 1       | 18         | 6        | 4         | Progress     | Medium |
| 2709                      | Investment 3  | Buy        |             | 60       | 21         | 2       | 27         | 9        | 6         | Cancel       | Low    |
| 4882                      | Investment 4  | Buy        |             | 80       | 28         | 3       | 36         | 12       | 8         | Accepted     | Low    |
| 8896                      | Investment 5  | Buy        |             | 100      | 35         |         | <b>4</b> 5 | 15       | 10        | Progress     | Low    |
| 8308                      | Investment 6  | Buy        |             | 120      | 42         | 5       | 54         | 18       | 12        | Accepted     | Medium |
| 2987                      | Investment 7  | Buy        |             | 140      | 49         | 6       | 53         | 21       | 14        | Accepted     | High   |
| 1742                      | Investment 8  | Sell       |             | 160      | 56         | 7       | 72         | 24       | 16        | Progress     | High   |
| 6742                      | Investment 9  | Sell       |             | 180      | 63         | 8       | 31         | 27       | 18        | Progress     | Medium |
| 6809                      | Investment 10 | Sell       |             | 200      | 70         | g       | 90         | 30       | 20        | Cancel       | High   |
| 8361                      | Investment 11 | Sell       |             | 220      | 77         | ç       | 99         | 33       | 22        | Progress     | High   |
| 2139                      | Investment 12 | Sell       |             | 240      | 84         | 10      | )8         | 36       | 24        | Accepted     | High   |
| Account                   | Richard Roe   | Account    | John Doe    | Account  | Johi       | n Doe   |            |          |           | TRADES       |        |
| Type                      | OQV           | Type       | RZQ         | Type     | RZQ        |         |            |          |           |              |        |
| Occupation                | qa            | Occupation | manager     | Occupati | on qa      |         |            |          | Amount    |              | Fee    |
|                           |               |            |             |          |            |         |            |          | 832       |              | 96     |
| Account                   | John Doe      | Account    | John Smith  | Account  | Johi       | n Smith |            |          | 208       |              | 32     |
| Туре                      | AWT           | Type       | RZQ         | Type     | ΑWI        | -       |            |          | 3         |              | 77     |
| Occupation                | qa            | Occupation | qa          | Occupati | on man     | ager    |            |          | 610       |              | 89     |
|                           |               |            |             |          |            |         |            |          | 399       |              | 6      |
| Account                   | Richard Roe   | Account    | Richard Roe | Account  | Johi       | n Smith |            |          | 959       |              | 74     |
| Туре                      | AWT           | Туре       | AWT         | Type     | RZQ        |         |            |          | 709       |              | 116    |
| Occupation                | dev           | Occupation | manager     | Occupati | on dev     |         |            |          | 111       |              | 48     |
|                           |               |            |             |          |            |         |            |          | 388       |              | 32     |
|                           |               |            |             |          |            |         |            |          | 902       |              | 75     |
|                           |               |            |             |          |            |         |            |          | 666       |              | 110    |
|                           |               |            |             |          |            |         |            |          |           |              |        |

| Account    | John Smith | Account    | John Smith | Account    | John Smith  |
|------------|------------|------------|------------|------------|-------------|
| Туре       | AWT        | Туре       | PWZ        | Туре       | OQV         |
| Occupation | qa         | Occupation | manager    | Occupation | manager     |
|            |            |            |            |            |             |
| Account    | John Doe   | Account    | John Smith | Account    | Richard Roe |
| Туре       | AWT        | Туре       | PWZ        | Туре       | PWZ         |
| Occupation | dev        | Occupation | qa         | Occupation | dev         |
|            |            |            |            |            |             |
| Account    | John Smith | Account    | John Smith | Account    | John Smith  |
| Туре       | PWZ        | Туре       | OQV        | Туре       | AWT         |
| Occupation | dev        | Occupation | dev        | Occupation | manager     |

| Amount | Fee |
|--------|-----|
| 454    | 10  |
| 865    | 10  |
| 960    | 85  |
| 404    | 65  |
| 670    | 63  |
| 592    | 79  |
| 828    | 46  |
| 432    | 112 |
| 165    | 79  |
| 152    | 13  |
| 266    | 11  |
| 123    | 30  |
| 269    | 0   |
| 736    | 94  |
| 284    | 77  |
| 383    | 87  |
| 648    | 31  |
| 530    | 19  |
| 365    | 17  |
| 814    | 100 |
| 396    | 75  |
| 209    | 105 |
| 748    | 105 |
| 205    | 5   |
| 488    | 70  |
| 370    | 45  |
| 138    | 14  |
| 771    | 94  |
| 820    | 101 |
| 654    | 1   |
| 943    | 95  |

| Amount | Fee |
|--------|-----|
| 583    | 100 |
| 605    | 21  |
| 846    | 39  |
| 752    | 24  |
| 140    | 31  |
| 214    | 62  |
| 221    | 66  |
| 668    | 70  |
| 463    | 48  |
| 375    | 49  |
| 722    | 74  |
| 865    | 39  |
| 775    | 113 |
| 488    | 11  |
| 866    | 102 |
| 131    | 5   |
| 900    | 90  |
| 150    | 58  |
| 409    | 105 |
| 678    | 105 |

| Code         | Description   | Trade <sup>-</sup> | Туре А     | mount Ne   | t Amount | Pric   | e          | Quantity | Commision | Order Status | Risk   |
|--------------|---------------|--------------------|------------|------------|----------|--------|------------|----------|-----------|--------------|--------|
| Region:Flori | da            |                    |            |            |          |        |            |          |           |              |        |
| Branch Num   |               |                    |            |            |          |        |            |          |           |              |        |
| Agent:Agath  | a             |                    |            |            |          |        |            |          |           |              |        |
| 5399         | Investment 1  | Sell               |            | 20         | 7        |        | 9          | 3        | 2         | Progress     | Medium |
| 2781         | Investment 2  | Sell               |            | 40         | 14       | 1      | 8          | 6        | 4         | Progress     | High   |
| 8045         | Investment 3  | Buy                |            | 60         | 21       | 2      | 27         | 9        | 6         | Progress     | High   |
| 1786         | Investment 4  | Buy                |            | 80         | 28       | 3      | 36         | 12       | 8         | Progress     | Medium |
| 6358         | Investment 5  | Sell               |            | 100        | 35       |        | <b>1</b> 5 | 15       | 10        | Cancel       | Medium |
| 3522         | Investment 6  | Sell               |            | 120        | 42       | 5      | 54         | 18       | 12        | Accepted     | Low    |
| 3514         | Investment 7  | Buy                |            | 140        | 49       | 6      | 53         | 21       | 14        | Cancel       | Medium |
| 8470         | Investment 8  | Sell               |            | 160        | 56       |        | <b>'</b> 2 | 24       | 16        | Accepted     | High   |
| 6741         | Investment 9  | Buy                |            | 180        | 63       | 8      | 31         | 27       | 18        | Cancel       | Medium |
| 5586         | Investment 10 | Buy                |            | 200        | 70       | 9      | 90         | 30       | 20        | Accepted     | Medium |
| 6532         | Investment 11 | Sell               |            | 220        | 77       | 9      | 99         | 33       | 22        | Cancel       | Medium |
| 8273         | Investment 12 | Buy                |            | 240        | 84       | 10     | 8          | 36       | 24        | Cancel       | High   |
| 4069         | Investment 13 | Buy                |            | 260        | 91       | 11     | 7          | 39       | 26        | Accepted     | High   |
| 6494         | Investment 14 | Sell               |            | 280        | 98       | 12     | 26         | 42       | 28        | Cancel       | Medium |
| 9092         | Investment 15 | Buy                |            | 300        | 105      | 13     | 15         | 45       | 30        | Accepted     | Low    |
| 3362         | Investment 16 | Sell               |            | 320        | 112      | 14     | <b>!</b> 4 | 48       | 32        | Progress     | High   |
| 1054         | Investment 17 | Sell               |            | 340        | 119      | 15     | 3          | 51       | 34        | Accepted     | Medium |
| Account      | John Smith    | Account            | John Doe   | Account    | John     | Smith  |            |          |           | TRADES       |        |
| Туре         | OQV           | Type               | PWZ        | Type       | RZQ      |        |            |          |           |              |        |
| Occupation   | manager       | Occupation         | manager    | Occupation | ı qa     |        |            |          | Amount    |              | Fee    |
|              |               |                    |            |            |          |        |            |          | 977       |              | 71     |
| Account      | John Smith    | Account            | John Smith | Account    | Richa    | rd Roe |            |          | 63        |              | 79     |
| Туре         | RZQ           | Type               | AWT        | Type       | AWT      |        |            |          | 706       |              | 56     |
| Occupation   | qa            | Occupation         | dev        | Occupation | dev dev  |        |            |          | 614       |              | 55     |
|              |               |                    |            |            |          |        |            |          | 319       |              | 85     |
|              |               |                    |            |            |          |        |            |          | 630       |              | 57     |

| Account    | John Doe    | Account    | John Smith  | Account    | John Smith  |
|------------|-------------|------------|-------------|------------|-------------|
| Type       | RZQ         | Type       | OQV         | Type       | PWZ         |
| Occupation | manager     | Occupation | dev         | Occupation | qa          |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | John Smith  | Account    | John Smith  |
| Туре       | OQV         | Type       | AWT         | Type       | AWT         |
| Occupation | dev         | Occupation | qa          | Occupation | qa          |
|            |             |            |             |            |             |
| Account    | John Smith  | Account    | Richard Roe | Account    | John Smith  |
| Туре       | RZQ         | Туре       | OQV         | Type       | AWT         |
| Occupation | qa          | Occupation | manager     | Occupation | manager     |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | John Doe    | Account    | Richard Roe |
| Туре       | OQV         | Type       | PWZ         | Type       | RZQ         |
| Occupation | qa          | Occupation | qa          | Occupation | dev         |
|            |             |            |             |            |             |
| Account    | John Smith  | Account    | John Doe    | Account    | John Smith  |
| Туре       | RZQ         | Туре       | AWT         | Type       | RZQ         |
| Occupation | qa          | Occupation | qa          | Occupation | manager     |
|            |             |            |             |            |             |
| Account    | John Doe    | Account    | Richard Roe | Account    | John Doe    |
| Туре       | AWT         | Туре       | RZQ         | Type       | AWT         |
| Occupation | qa          | Occupation | dev         | Occupation | qa          |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | Richard Roe | Account    | Richard Roe |
| Туре       | OQV         | Type       | OQV         | Type       | RZQ         |
| Occupation | manager     | Occupation | qa          | Occupation | dev         |

| Amount | Fee |
|--------|-----|
| 720    | 43  |
| 532    | 109 |
| 35     | 38  |
| 8      | 86  |
| 861    | 33  |

| Code         | Description   | Trade      | Гуре А      | mount I | Net Amount | Pric   | ce | Quantity | Commision | Order Status | Risk   |
|--------------|---------------|------------|-------------|---------|------------|--------|----|----------|-----------|--------------|--------|
| Region:Monta | ana           |            |             |         |            |        |    |          |           |              |        |
| Branch Numb  | er:13         |            |             |         |            |        |    |          |           |              |        |
| Agent:Juliet |               |            |             |         |            |        |    |          |           |              |        |
| 5849         | Investment 1  | Buy        |             | 20      | 7          |        | 9  | 3        | 2         | Cancel       | Low    |
| 4589         | Investment 2  | Buy        |             | 40      | 14         | 1      | 18 | 6        | 4         | Progress     | High   |
| 97           | Investment 3  | Sell       |             | 60      | 21         | 2      | 27 | 9        | 6         | Cancel       | High   |
| 4634         | Investment 4  | Sell       |             | 80      | 28         | 3      | 36 | 12       | 8         | Accepted     | Medium |
| 4240         | Investment 5  | Sell       |             | 100     | 35         | 4      | 45 | 15       | 10        | Progress     | Low    |
| 1408         | Investment 6  | Buy        |             | 120     | 42         | 5      | 54 | 18       | 12        | Accepted     | Low    |
| 1893         | Investment 7  | Sell       |             | 140     | 49         | 6      | 53 | 21       | 14        | Progress     | High   |
| 8477         | Investment 8  | Buy        |             | 160     | 56         | 7      | 72 | 24       | 16        | Accepted     | High   |
| 1047         | Investment 9  | Sell       |             | 180     | 63         | 8      | 31 | 27       | 18        | Progress     | High   |
| 575          | Investment 10 | Buy        |             | 200     | 70         | g      | 90 | 30       | 20        | Progress     | Low    |
| 7389         | Investment 11 | Sell       |             | 220     | 77         | g      | 99 | 33       | 22        | Cancel       | High   |
| 3869         | Investment 12 | Buy        |             | 240     | 84         | 10     | )8 | 36       | 24        | Progress     | High   |
| 2744         | Investment 13 | Sell       |             | 260     | 91         | 11     | 17 | 39       | 26        | Accepted     | Low    |
| 2884         | Investment 14 | Buy        |             | 280     | 98         | 12     | 26 | 42       | 28        | Progress     | Low    |
| 308          | Investment 15 | Buy        |             | 300     | 105        | 13     | 35 | 45       | 30        | Progress     | Low    |
| Account      | Richard Roe   | Account    | Richard Roe | Account | Richa      | rd Roe |    |          |           | TRADES       | _      |
| Type         | RZQ           | Type       | RZQ         | Type    | AWT        |        |    |          |           |              |        |
| Occupation   | qa            | Occupation | manager     | Occupat | ion qa     |        |    |          | Amount    |              | Fee    |
|              |               |            |             |         |            |        |    |          | 126       |              | 40     |
| Account      | Richard Roe   | Account    | John Doe    | Account | John       | Smith  |    |          | 955       |              | 51     |
| Type         | AWT           | Type       | OQV         | Type    | PWZ        |        |    |          | 290       |              | 89     |
| Occupation   | manager       | Occupation | manager     | Occupat | ion mana   | ger    |    |          | 351       |              | 51     |
|              |               |            |             |         |            |        |    |          | 992       |              | 64     |
|              |               |            |             |         |            |        |    |          | 36        |              | 31     |
|              |               |            |             |         |            |        |    |          | 943       |              | 33     |
|              |               |            |             |         |            |        |    |          | 15        |              | 14     |

| Account    | John Smith  | Account    | John Smith | Account    | John Smith |
|------------|-------------|------------|------------|------------|------------|
| Type       | OQV         | Type       | OQV        | Type       | PWZ        |
| Occupation | qa          | Occupation | dev        | Occupation | manager    |
|            |             |            |            |            |            |
| Account    | Richard Roe |            |            |            |            |
| Туре       | OQV         |            |            |            |            |
| Occupation | manager     |            |            |            |            |
|            |             |            |            |            |            |

| Amount | Fee |
|--------|-----|
| 602    | 19  |
| 407    | 65  |
| 175    | 21  |
| 893    | 46  |
| 671    | 88  |
| 508    | 46  |
| 887    | 39  |
| 391    | 40  |
| 938    | 56  |
| 65     | 23  |
| 705    | 70  |
| 541    | 14  |
| 800    | 64  |
| 914    | 20  |
| 325    | 89  |
| 626    | 75  |
| 96     | 42  |
| 872    | 18  |
| 666    | 93  |
| 516    | 106 |
| 579    | 112 |
| 501    | 21  |
| 412    | 1   |
| 905    | 2   |

| Code               | Description   | Trade Ty   | <b>rpe A</b> n | nount  | Net Amount | Pri     | ce | Quantity | Commision | Order Status | Risk   |
|--------------------|---------------|------------|----------------|--------|------------|---------|----|----------|-----------|--------------|--------|
| Region:Califo      | ornia         |            |                |        |            |         |    |          |           |              |        |
| <b>Branch Numl</b> | ber:9         |            |                |        |            |         |    |          |           |              |        |
| Agent:Agatha       | a             |            |                |        |            |         |    |          |           |              |        |
| 8265               | Investment 1  | Buy        |                | 20     | 7          |         | 9  | 3        | 2         | Progress     | High   |
| 4774               | Investment 2  | Sell       |                | 40     | 14         |         | 18 | 6        | 4         | Progress     | Medium |
| 1408               | Investment 3  | Buy        |                | 60     | 21         |         | 27 | 9        | 6         | Progress     | High   |
| 7144               | Investment 4  | Buy        |                | 80     | 28         |         | 36 | 12       | 8         | Cancel       | Low    |
| 4441               | Investment 5  | Sell       |                | 100    | 35         |         | 45 | 15       | 10        | Cancel       | Low    |
| 4871               | Investment 6  | Buy        |                | 120    | 42         |         | 54 | 18       | 12        | Cancel       | Low    |
| 4117               | Investment 7  | Buy        |                | 140    | 49         |         | 63 | 21       | 14        | Accepted     | High   |
| 4653               | Investment 8  | Sell       |                | 160    | 56         |         | 72 | 24       | 16        | Cancel       | High   |
| 2609               | Investment 9  | Sell       |                | 180    | 63         |         | 81 | 27       | 18        | Cancel       | High   |
| 7636               | Investment 10 | Sell       |                | 200    | 70         |         | 90 | 30       | 20        | Cancel       | High   |
| 1600               | Investment 11 | Sell       |                | 220    | 77         |         | 99 | 33       | 22        | Accepted     | Medium |
| 7804               | Investment 12 | Sell       |                | 240    | 84         | 1       | 80 | 36       | 24        | Cancel       | Medium |
| 6985               | Investment 13 | Buy        |                | 260    | 91         | 1       | 17 | 39       | 26        | Progress     | Medium |
| 5857               | Investment 14 | Buy        |                | 280    | 98         | 1       | 26 | 42       | 28        | Cancel       | High   |
| Account            | John Smith    | Account    | Richard Roe    | Accoun | t Johi     | n Smith |    |          |           | TRADES       |        |
| Type               | AWT           | Туре       | PWZ            | Type   | AWT        | -       |    |          |           |              |        |
| Occupation         | qa            | Occupation | manager        | Occupa | tion dev   |         |    |          | Amount    |              | Fee    |
|                    |               |            |                |        |            |         |    |          | 503       |              | 16     |
|                    |               |            |                |        |            |         |    |          | 497       |              | 50     |
|                    |               |            |                |        |            |         |    |          | 375       |              | 38     |
|                    |               |            |                |        |            |         |    |          | 32        |              | 88     |
|                    |               |            |                |        |            |         |    |          | 909       |              | 5      |
|                    |               |            |                |        |            |         |    |          | 754       |              | 17     |
|                    |               |            |                |        |            |         |    |          | 637       |              | 95     |
|                    |               |            |                |        |            |         |    |          | 431       |              | 44     |
|                    |               |            |                |        |            |         |    |          | 609       |              | 26     |

| Amount | Fee |
|--------|-----|
| Amount |     |
| 791    | 112 |
| 383    | 109 |
| 636    | 42  |
| 336    | 81  |
| 832    | 91  |
| 797    | 33  |
| 248    | 114 |
| 156    | 112 |
| 448    | 25  |
| 377    | 46  |
| 249    | 45  |
| 800    | 14  |
| 645    | 103 |
| 502    | 79  |
| 851    | 115 |
| 487    | 37  |
| 486    | 90  |
| 113    | 83  |
| 944    | 112 |
| 712    | 64  |
| 356    | 67  |
| 427    | 35  |
| 984    | 54  |
| 324    | 107 |
| 217    | 34  |
| 557    | 80  |
| 385    | 96  |
| 518    | 8   |
| 3      | 77  |
| 715    | 63  |
| 367    | 10  |
|        |     |

| Amount | Fee |
|--------|-----|
| 281    | 86  |
| 209    | 23  |
| 201    | 6   |
| 828    | 44  |
| 109    | 33  |
| 412    | 100 |
| 944    | 118 |
| 185    | 110 |
| 539    | 31  |
| 47     | 105 |
| 585    | 64  |
| 898    | 27  |
| 571    | 87  |
| 319    | 54  |
| 8      | 98  |
| 6      | 23  |
| 748    | 9   |
| 628    | 21  |
| 618    | 113 |
| 325    | 59  |
| 492    | 18  |
| 254    | 42  |
| 319    | 78  |
| 391    | 6   |
| 324    | 63  |
| 655    | 50  |
| 552    | 91  |
| 899    | 2   |
| 797    | 118 |
| 895    | 6   |
| 985    | 29  |

| Amount | Fee |
|--------|-----|
| 333    | 78  |
| 716    | 90  |
| 178    | 63  |
| 80     | 73  |
| 597    | 56  |
| 105    | 70  |

| Code          | Description   | Trade      | Гуре A     | mount l | Net Amount | Pri   | ce | Quantity | Commision | Order Status | Risk   |
|---------------|---------------|------------|------------|---------|------------|-------|----|----------|-----------|--------------|--------|
| Region:Arizon | a             |            |            |         |            |       |    |          |           |              |        |
| Branch Numb   | er:15         |            |            |         |            |       |    |          |           |              |        |
| Agent:Gilda   |               |            |            |         |            |       |    |          |           |              |        |
| 5094          | Investment 1  | Sell       |            | 20      | 7          |       | 9  | 3        | 2         | Accepted     | High   |
| 5437          | Investment 2  | Sell       |            | 40      | 14         | •     | 18 | 6        | 4         | Progress     | Low    |
| 6969          | Investment 3  | Buy        |            | 60      | 21         |       | 27 | 9        | 6         | Accepted     | Low    |
| 2326          | Investment 4  | Sell       |            | 80      | 28         |       | 36 | 12       | 8         | Accepted     | Low    |
| 5454          | Investment 5  | Sell       |            | 100     | 35         | 4     | 45 | 15       | 10        | Cancel       | High   |
| 1557          | Investment 6  | Buy        |            | 120     | 42         | ļ     | 54 | 18       | 12        | Progress     | High   |
| 1917          | Investment 7  | Sell       |            | 140     | 49         | (     | 63 | 21       | 14        | Progress     | Low    |
| 1332          | Investment 8  | Sell       |            | 160     | 56         | -     | 72 | 24       | 16        | Cancel       | Medium |
| 3254          | Investment 9  | Sell       |            | 180     | 63         | 8     | 81 | 27       | 18        | Cancel       | Low    |
| 1434          | Investment 10 | Sell       |            | 200     | 70         |       | 90 | 30       | 20        | Progress     | Low    |
| 4078          | Investment 11 | Sell       |            | 220     | 77         | 9     | 99 | 33       | 22        | Cancel       | Medium |
| 7904          | Investment 12 | Buy        |            | 240     | 84         | 10    | 08 | 36       | 24        | Accepted     | Medium |
| 7301          | Investment 13 | Buy        |            | 260     | 91         | 11    | 17 | 39       | 26        | Accepted     | Medium |
| 8009          | Investment 14 | Sell       |            | 280     | 98         | 12    | 26 | 42       | 28        | Cancel       | Low    |
| 1374          | Investment 15 | Sell       |            | 300     | 105        |       | 35 | 45       | 30        | Cancel       | High   |
| 3623          | Investment 16 | Sell       |            | 320     | 112        |       | 44 | 48       | 32        | Accepted     | Low    |
| 99            | Investment 17 | Buy        |            | 340     | 119        | 15    | 53 | 51       | 34        | Accepted     | High   |
| Account       | Richard Roe   | Account    | John Smith | Account | Johr       | Doe   |    |          |           | TRADES       |        |
| Type          | AWT           | Type       | AWT        | Type    | OQV        |       |    |          |           |              |        |
| Occupation    | dev           | Occupation | dev        | Occupat | ion dev    |       |    |          | Amount    |              | Fee    |
|               |               |            |            |         |            |       |    |          | 681       |              | 9      |
| Account       | John Smith    | Account    | John Doe   | Account | Johr       | Smith |    |          | 315       |              | 20     |
| Type          | OQV           | Type       | RZQ        | Type    | RZQ        |       |    |          | 756       |              | 14     |
| Occupation    | qa            | Occupation | dev        | Occupat | ion man    | ager  |    |          | 878       |              | 22     |
|               |               |            |            |         |            |       |    |          | 767       |              | 32     |
|               |               |            |            |         |            |       |    |          | 735       |              | 40     |

| Account    | John Smith  | Account    | Richard Roe | Account    | John Doe    |
|------------|-------------|------------|-------------|------------|-------------|
| Туре       | RZQ         | Type       | RZQ         | Туре       | PWZ         |
| Occupation | qa          | Occupation | manager     | Occupation | dev         |
|            |             |            |             |            |             |
| Account    | John Doe    | Account    | John Smith  | Account    | John Smith  |
| Туре       | RZQ         | Туре       | AWT         | Туре       | RZQ         |
| Occupation | qa          | Occupation | manager     | Occupation | manager     |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | Richard Roe | Account    | Richard Roe |
| Туре       | OQV         | Туре       | AWT         | Туре       | AWT         |
| Occupation | qa          | Occupation | qa          | Occupation | dev         |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | John Doe    | Account    | Richard Roe |
| Туре       | RZQ         | Туре       | OQV         | Туре       | AWT         |
| Occupation | dev         | Occupation | qa          | Occupation | qa          |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | Richard Roe | Account    | Richard Roe |
| Type       | AWT         | Type       | PWZ         | Type       | OQV         |
| Occupation | manager     | Occupation | manager     | Occupation | dev         |
|            |             |            |             |            |             |
| Account    | John Smith  | Account    | John Doe    | Account    | Richard Roe |
| Type       | OQV         | Type       | RZQ         | Type       | AWT         |
| Occupation | manager     | Occupation | dev         | Occupation | qa          |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | John Smith  | Account    | John Smith  |
| Type       | PWZ         | Type       | OQV         | Type       | RZQ         |
| Occupation | manager     | Occupation | qa          | Occupation | qa          |

| Amount | Fee |
|--------|-----|
| 298    | 86  |
| 495    | 77  |
| 356    | 76  |
| 656    | 108 |
| 635    | 73  |
| 244    | 97  |
| 65     | 60  |
| 531    | 40  |
| 941    | 71  |
| 952    | 37  |
| 915    | 62  |
| 681    | 111 |
| 777    | 25  |
| 481    | 51  |
| 319    | 92  |
| 131    | 84  |
| 27     | 16  |
| 877    | 23  |
| 886    | 10  |
| 103    | 77  |
| 246    | 25  |
| 86     | 114 |
| 800    | 117 |
| 626    | 51  |
|        |     |

| Account    | John Doe | Account    | John Smith |
|------------|----------|------------|------------|
| Type       | OQV      | Type       | OQV        |
| Occupation | dev      | Occupation | dev        |

| Description   | Trade T   | ype Aı   | mount   | Net Amount   | Pric   | се   | Quantity   | Commision   | Order Status   | Risk   |
|---------------|---|--|---|--|--|--|--|---|--|--|
| 1             |   |  |   |  |  |  |  |   |  |  |
| r:16          |   |  |   |  |  |  |  |   |  |  |
|               |   |  |   |  |  |  |  |   |  |  |
| Investment 1  | Buv   |  | 20  | 7  |  | 9  | 3  | 2   | Cancel   | Low  |
| Investment 2  | Sell  |  | 40  | 14   | 1  | 18   | 6  | 4   |  | High   |
| Investment 3  | Sell  |  | 60  | 21   | 2  | 27   | 9  | 6   | Accepted   | Low  |
| Investment 4  | Buy   |  | 80  | 28   | 3  | 36   | 12   | 8   | Cancel   | High   |
| Investment 5  | Buy   |  | 100   | 35   | 4  | 45   | 15   | 10  | Accepted   | Medium   |
| Investment 6  | Buy   |  | 120   | 42   | Ę  | 54   | 18   | 12  | Progress   | Low  |
| Investment 7  | Buy   |  | 140   | 49   | 6  | 63   | 21   | 14  | Cancel   | High   |
| Investment 8  | Buy   |  | 160   | 56   | 7  | 72   | 24   | 16  | Cancel   | Medium   |
| Investment 9  | Sell  |  | 180   | 63   | 8  | 81   | 27   | 18  | Accepted   | High   |
| Investment 10 | Buy   |  | 200   | 70   | g  | 90   | 30   | 20  | Accepted   | High   |
| John Smith    | Account   | Richard Roe  | Accour  | nt Ricl  | nard Roe   |  |  |   | TRADES   |  |
| PWZ           | Туре  | PWZ  | Type  | RZC  | )  |  |  |   |  |  |
| qa            | Occupation  | dev  | Occupa  | ation qa   |  |  |  | Amount  |  | Fee  |
|               |   |  |   |  |  |  |  | 575   |  | 98   |
| John Smith    | Account   | John Doe   | Accour  | nt Ricl  | nard Roe   |  |  | 337   |  | 44   |
| PWZ           | Type  | AWT  | Type  | AW <sup>-</sup>  | Γ  |  |  | 846   |  | 46   |
| manager       | Occupation  | qa   | Occupa  | ation qa   |  |  |  | 872   |  | 69   |
|               |   |  |   |  |  |  |  | 518   |  | 93   |
| John Doe      | Account   | John Smith   | Accour  | nt Joh   | n Doe  |  |  |   |  |  |
| OQV           | Type  | RZQ  | Type  | PW   | Z  |  |  |   |  |  |
| manager       | Occupation  | manager  | Occupa  | ation mar  | nager  |  |  |   |  |  |
|               |   |  |   |  |  |  |  |   |  |  |
| John Smith    | Account   | John Smith   | Accour  | nt Ricl  | nard Roe   |  |  |   |  |  |
| OQV           | Type  | RZQ  | Type  | PW   | <u> </u>   |  |  |   |  |  |
| dev           | Occupation  | dev  | Occupa  | ation qa   |  |  |  |   |  |  |
|               | Investment 1 Investment 2 Investment 3 Investment 4 Investment 5 Investment 6 Investment 7 Investment 8 Investment 9 Investment 10  John Smith PWZ qa  John Smith PWZ manager  John Doe OQV manager  John Smith OQV | Investment 1 Buy Investment 2 Sell Investment 3 Sell Investment 4 Buy Investment 5 Buy Investment 6 Buy Investment 7 Buy Investment 8 Buy Investment 9 Sell Investment 10 Buy  John Smith PWZ Type qa Occupation  John Smith PWZ Type manager Occupation  John Doe Account Type manager Occupation  John Smith OQV Type manager  Account Type Cocupation | Investment 1 Buy Investment 2 Sell Investment 3 Sell Investment 4 Buy Investment 5 Buy Investment 6 Buy Investment 7 Buy Investment 8 Buy Investment 9 Sell Investment 10 Buy  John Smith PWZ Type PWZ qa Occupation dev  John Smith Account Type AWT manager Occupation qa  John Doe Account John Doe Type AWT manager Occupation dev  John Smith OQV Type RZQ manager  John Smith Account John Smith OQV Type RZQ manager  John Smith Account John Smith OQV Type RZQ manager | Investment 1 Buy 20 Investment 2 Sell 40 Investment 3 Sell 60 Investment 4 Buy 80 Investment 5 Buy 100 Investment 6 Buy 120 Investment 7 Buy 140 Investment 8 Buy 160 Investment 9 Sell 180 Investment 10 Buy 200  John Smith Account Richard Roe Account PWZ Type PWZ Type qa Occupation dev Occupation  John Smith Account John Doe Account PWZ Type AWT Type MWT Type manager Occupation Qa Occupation  John Doe Account John Smith Account QV Type RZQ Type manager Occupation Manager Occupation  John Smith Account John Smith Account QV Type RZQ Type manager Occupation Man | Investment 1 Buy 20 7 Investment 2 Sell 40 14 Investment 3 Sell 60 21 Investment 4 Buy 80 28 Investment 5 Buy 100 35 Investment 6 Buy 120 42 Investment 7 Buy 140 49 Investment 8 Buy 160 56 Investment 9 Sell 180 63 Investment 10 Buy 200 70  John Smith Account Richard Roe Account Rich PWZ Type PWZ Type RZC qa Occupation dev Occupation qa  John Smith Account John Doe Account Rich PWZ Type AWT Type RZC Type RZC Type AWT Type PWZ Type Type Type PWZ Type Type Type Type Type Type Type Type | Investment 1 Buy 20 7 Investment 2 Sell 40 14 Investment 3 Sell 60 21 Investment 4 Buy 80 28 Investment 5 Buy 100 35 Investment 6 Buy 120 42 Investment 7 Buy 140 49 Investment 8 Buy 160 56 Investment 9 Sell 180 63 Investment 9 Sell 180 63 Investment 10 Buy 200 70  John Smith Account Richard Roe PWZ Type PWZ Type RZQ qa Occupation dev Occupation qa  John Smith Account John Doe Account Richard Roe PWZ Type AWT Account Account Account Account Account Type AWT Type AWT Type AWT Type AWT Account Acc | Investment 1 Buy 20 7 9 Investment 2 Sell 40 14 18 Investment 3 Sell 60 21 27 Investment 4 Buy 80 28 36 Investment 5 Buy 100 35 45 Investment 6 Buy 120 42 54 Investment 7 Buy 140 49 63 Investment 8 Buy 160 56 72 Investment 9 Sell 180 63 81 Investment 10 Buy 200 70 90  John Smith Account Richard Roe PWZ Type PWZ Type RZQ qa Occupation dev Occupation qa  John Smith Account John Doe Account Richard Roe PWZ Type AWT Type PWZ Type PWZ Type AWT Type PWZ Type PWZ Type PWZ Type PWZ Type ARZQ Type PWZ Type AWT Type ARZQ Type PWZ Type AWT Type ARZQ Type PWZ Type AWT Type ARZQ Type PWZ | Investment 1 Buy 20 7 9 3 Investment 2 Sell 40 14 18 6 Investment 3 Sell 60 21 27 9 Investment 4 Buy 80 28 36 12 Investment 5 Buy 100 35 45 15 Investment 6 Buy 120 42 54 18 Investment 7 Buy 140 49 63 21 Investment 8 Buy 160 56 72 24 Investment 9 Sell 180 63 81 27 Investment 10 Buy 200 70 90 30  John Smith Account Richard Roe PWZ Type PWZ Type RZQ qa Occupation dev Occupation qa  John Smith Account John Doe Account Richard Roe PWZ Type AWT Type AWT Type AWT Type AWT Type AWT Type PWZ manager Occupation qa  John Doe Account John Smith Account Richard Roe PWZ Type RZQ Type PWZ Type PWZ Type PWZ Type AWT Type AWT Type AWT Type AWT Type AWT Type PWZ manager Occupation qa  John Smith Account John Smith Account John Doe OQV Type RZQ Type PWZ Type PWZ Type PWZ Type PWZ Type RZQ Type PWZ Type PWZ Type RZQ Type PWZ Type PWZ Type RZQ Type PWZ | Investment 1 Buy 20 7 9 3 2  Investment 2 Sell 40 14 18 6 4  Investment 3 Sell 60 21 27 9 6  Investment 4 Buy 80 28 36 12 8  Investment 5 Buy 100 35 45 15 10  Investment 6 Buy 120 42 54 18 12  Investment 7 Buy 140 49 63 21 14  Investment 8 Buy 160 56 72 24 16  Investment 9 Sell 180 63 81 27 18  Investment 10 Buy 200 70 90 30 20  John Smith Account Richard Roe PWZ Type RZQ Qa Occupation dev Occupation qa Cocupation dev Occupation qa  Soccupation 4 AWT Type AWT  PWZ Type AWT Type AWT  PWZ Type AWT Type AWT  Bohn Doe Account John Doe Account Richard Roe ACCOUNT Roccupation Roccupati | Investment 1 Buy 20 7 9 3 2 Cancel Investment 2 Sell 40 14 18 6 4 Progress Investment 3 Sell 60 21 27 9 6 Accepted Investment 4 Buy 80 28 36 12 8 Cancel Investment 5 Buy 100 35 45 15 10 Accepted Investment 6 Buy 120 42 54 18 12 Progress Investment 7 Buy 140 49 63 21 14 Cancel Investment 7 Buy 160 56 72 24 16 Cancel Investment 8 Buy 160 56 72 24 16 Cancel Investment 9 Sell 180 63 81 27 18 Accepted Investment 9 Sell 90 63 81 27 18 Accepted Investment 10 Buy 200 70 90 30 20 Accepted Investment 10 Buy 7 190 70 90 30 20 Accepted Investment 10 Buy 8 Account 8 Richard Roe PWZ 7 190 8 RZQ qa Occupation dev Occupation qa 872  John Smith Account John Doe Account Richard Roe PWZ 7 190 AWT |

| Account    | John Smith | Account    | Richard Roe |
|------------|------------|------------|-------------|
| Type       | OQV        | Type       | OQV         |
| Occupation | dev        | Occupation | dev         |

| Code          | Description   | Trade 1    | Type A      | mount N  | Net Amount | Pric  | e Qu | antity | Commision | Order Status | Risk   |
|---------------|---------------|------------|-------------|----------|------------|-------|------|--------|-----------|--------------|--------|
| Region:Monta  | na            |            |             |          |            |       |      |        |           |              |        |
| Branch Number | er:14         |            |             |          |            |       |      |        |           |              |        |
| Agent:Gilda   |               |            |             |          |            |       |      |        |           |              |        |
| 6256          | Investment 1  | Buy        |             | 20       | 7          | (     | 9    | 3      | 2         | Cancel       | Low    |
| 5247          | Investment 2  | Buy        |             | 40       | 14         | 18    | 3    | 6      | 4         | Accepted     | Medium |
| 4041          | Investment 3  | Buy        |             | 60       | 21         | 2     | 7    | 9      | 6         | Cancel       | Low    |
| 4281          | Investment 4  | Sell       |             | 80       | 28         | 30    | 5    | 12     | 8         | Cancel       | Low    |
| 4555          | Investment 5  | Sell       |             | 100      | 35         | 4     | 5    | 15     | 10        | Progress     | Low    |
| 8050          | Investment 6  | Sell       |             | 120      | 42         | 54    | 4    | 18     | 12        | Progress     | Low    |
| 6945          | Investment 7  | Buy        |             | 140      | 49         | 63    | 3    | 21     | 14        | Cancel       | High   |
| 678           | Investment 8  | Sell       |             | 160      | 56         | 7:    | 2    | 24     | 16        | Progress     | Medium |
| 3551          | Investment 9  | Buy        |             | 180      | 63         | 8     | 1    | 27     | 18        | Cancel       | High   |
| 3490          | Investment 10 | Sell       |             | 200      | 70         | 90    | 0    | 30     | 20        | Cancel       | Low    |
| Account       | Richard Roe   | Account    | John Smith  | Account  | Richar     | d Roe |      |        |           | TRADES       |        |
| Type          | PWZ           | Type       | PWZ         | Type     | OQV        |       |      |        |           |              |        |
| Occupation    | manager       | Occupation | qa          | Occupati | on dev     |       |      |        | Amount    |              | Fee    |
|               |               |            |             |          |            |       |      |        | 779       |              | 7      |
| Account       | Richard Roe   | Account    | John Doe    | Account  | John D     | Ooe   |      |        | 624       |              | 19     |
| Type          | AWT           | Type       | PWZ         | Type     | OQV        |       |      |        | 889       |              | 72     |
| Occupation    | manager       | Occupation | qa          | Occupati | on manag   | ger   |      |        | 572       |              | 94     |
|               |               |            |             |          |            |       |      |        | 734       |              | 47     |
| Account       | John Smith    | Account    | John Doe    | Account  | John D     | Ooe   |      |        | 519       |              | 25     |
| Type          | OQV           | Type       | RZQ         | Type     | PWZ        |       |      |        | 997       |              | 16     |
| Occupation    | qa            | Occupation | qa          | Occupati | on qa      |       |      |        | 960       |              | 65     |
|               |               |            |             |          |            |       |      |        | 184       |              | 55     |
| Account       | John Doe      | Account    | Richard Roe | Account  | John D     | Ooe   |      |        |           |              |        |
| Type          | PWZ           | Type       | RZQ         | Type     | AWT        |       |      |        |           |              |        |
| Occupation    | dev           | Occupation | manager     | Occupati | on qa      |       |      |        |           |              |        |
|               |               |            |             |          |            |       |      |        |           |              |        |

| Account Type Occupation | Richard Roe<br>OQV<br>manager | Account Type Occupation | Richard Roe<br>OQV<br>manager | Account Type Occupation | Richard Roe<br>AWT<br>dev |
|-------------------------|-------------------------------|-------------------------|-------------------------------|-------------------------|---------------------------|
| Account<br>Type         | John Smith<br>PWZ             | Account Type            | John Smith<br>PWZ             | Account Type            | John Smith<br>RZQ         |
| Occupation              | dev                           | Occupation              | dev                           | Occupation              | manager                   |
| Account Type Occupation | Richard Roe<br>RZQ<br>manager | Account Type Occupation | Richard Roe<br>AWT<br>manager | Account Type Occupation | John Doe<br>PWZ<br>qa     |
| Account Type Occupation | John Smith<br>PWZ<br>manager  | Account Type Occupation | Richard Roe<br>OQV<br>dev     | Account Type Occupation | John Smith<br>OQV<br>qa   |
| Account Type Occupation | Richard Roe<br>AWT<br>manager | Account Type Occupation | John Doe<br>RZQ<br>dev        |                         |                           |

| Region:Montana   Branch Number:8   Agent:Phil  | tus Risk |
|--|----------|
| Signature   Sign |          |
| 3189 Investment 1 Buy 20 7 9 3 2 Progress 2080 Investment 2 Sell 40 14 18 6 4 Accepte 986 Investment 3 Buy 60 21 27 9 6 Accepte 4988 Investment 4 Sell 80 28 36 12 8 Progress 7356 Investment 5 Buy 100 35 45 15 10 Cancel 7457 Investment 6 Buy 120 42 54 18 12 Accepte 7760 Investment 7 Buy 140 49 63 21 14 Cancel 1479 Investment 8 Buy 160 56 72 24 16 Progress 9922 Investment 9 Buy 180 63 81 27 18 Progress 6439 Investment 10 Buy 200 70 90 30 20 Cancel 9961 Investment 11 Sell 220 77 99 33 22 Cancel 8077 Investment 12 Buy 240 84 108 36 24 Accepte 9018 Investment 13 Sell 260 91 117 39 26 Cancel   |          |
| 2080         Investment 2         Sell         40         14         18         6         4 Accepte           986         Investment 3         Buy         60         21         27         9         6 Accepte           4988         Investment 4         Sell         80         28         36         12         8 Progress           7356         Investment 5         Buy         100         35         45         15         10 Cancel           7457         Investment 6         Buy         120         42         54         18         12 Accepte           7760         Investment 7         Buy         140         49         63         21         14 Cancel           1479         Investment 8         Buy         160         56         72         24         16 Progress           9922         Investment 9         Buy         180         63         81         27         18 Progress           6439         Investment 10         Buy         200         70         90         30         20 Cancel           9961         Investment 11         Sell         220         77         99         33         22 Cancel           8077  |          |
| 986         Investment 3         Buy         60         21         27         9         6         Accepted           4988         Investment 4         Sell         80         28         36         12         8         Progress           7356         Investment 5         Buy         100         35         45         15         10         Cancel           7457         Investment 6         Buy         120         42         54         18         12         Accepted           7760         Investment 7         Buy         140         49         63         21         14         Cancel           1479         Investment 8         Buy         160         56         72         24         16         Progress           9922         Investment 9         Buy         180         63         81         27         18         Progress           6439         Investment 10         Buy         200         70         90         30         20         Cancel           9961         Investment 11         Sell         220         77         99         33         22         Cancel           8077         Investment 12         Buy  | High     |
| 4988         Investment 4         Sell         80         28         36         12         8 Progress           7356         Investment 5         Buy         100         35         45         15         10 Cancel           7457         Investment 6         Buy         120         42         54         18         12 Accepte           7760         Investment 7         Buy         140         49         63         21         14 Cancel           1479         Investment 8         Buy         160         56         72         24         16 Progress           9922         Investment 9         Buy         180         63         81         27         18 Progress           6439         Investment 10         Buy         200         70         90         30         20 Cancel           9961         Investment 11         Sell         220         77         99         33         22 Cancel           8077         Investment 12         Buy         240         84         108         36         24 Accepte           9018         Investment 13         Sell         260         91         117         39         26 Cancel   | Medium   |
| 7356         Investment 5         Buy         100         35         45         15         10         Cancel           7457         Investment 6         Buy         120         42         54         18         12         Accepte           7760         Investment 7         Buy         140         49         63         21         14         Cancel           1479         Investment 8         Buy         160         56         72         24         16         Progress           9922         Investment 9         Buy         180         63         81         27         18         Progress           6439         Investment 10         Buy         200         70         90         30         20         Cancel           9961         Investment 11         Sell         220         77         99         33         22         Cancel           8077         Investment 12         Buy         240         84         108         36         24         Accepte           9018         Investment 13         Sell         260         91         117         39         26         Cancel   | High     |
| 7457         Investment 6         Buy         120         42         54         18         12 Accepted           7760         Investment 7         Buy         140         49         63         21         14 Cancel           1479         Investment 8         Buy         160         56         72         24         16 Progress           9922         Investment 9         Buy         180         63         81         27         18 Progress           6439         Investment 10         Buy         200         70         90         30         20 Cancel           9961         Investment 11         Sell         220         77         99         33         22 Cancel           8077         Investment 12         Buy         240         84         108         36         24 Accepted           9018         Investment 13         Sell         260         91         117         39         26 Cancel  | Medium   |
| 7760         Investment 7         Buy         140         49         63         21         14 Cancel           1479         Investment 8         Buy         160         56         72         24         16 Progress           9922         Investment 9         Buy         180         63         81         27         18 Progress           6439         Investment 10         Buy         200         70         90         30         20 Cancel           9961         Investment 11         Sell         220         77         99         33         22 Cancel           8077         Investment 12         Buy         240         84         108         36         24 Accepte           9018         Investment 13         Sell         260         91         117         39         26 Cancel  | Low      |
| 1479         Investment 8         Buy         160         56         72         24         16 Progress           9922         Investment 9         Buy         180         63         81         27         18 Progress           6439         Investment 10         Buy         200         70         90         30         20 Cancel           9961         Investment 11         Sell         220         77         99         33         22 Cancel           8077         Investment 12         Buy         240         84         108         36         24 Accepte           9018         Investment 13         Sell         260         91         117         39         26 Cancel   | Low      |
| 9922         Investment 9         Buy         180         63         81         27         18 Progress           6439         Investment 10         Buy         200         70         90         30         20 Cancel           9961         Investment 11         Sell         220         77         99         33         22 Cancel           8077         Investment 12         Buy         240         84         108         36         24 Accepted           9018         Investment 13         Sell         260         91         117         39         26 Cancel   | Low      |
| 6439         Investment 10         Buy         200         70         90         30         20         Cancel           9961         Investment 11         Sell         220         77         99         33         22         Cancel           8077         Investment 12         Buy         240         84         108         36         24         Accepte           9018         Investment 13         Sell         260         91         117         39         26         Cancel   | Medium   |
| 9961         Investment 11         Sell         220         77         99         33         22         Cancel           8077         Investment 12         Buy         240         84         108         36         24         Accepte           9018         Investment 13         Sell         260         91         117         39         26         Cancel   | Low      |
| 8077         Investment 12         Buy         240         84         108         36         24 Accepted           9018         Investment 13         Sell         260         91         117         39         26 Cancel   | Medium   |
| 9018 Investment 13 Sell 260 91 117 39 26 Cancel  | High     |
|  | Low      |
| 5567 Investment 14 Sell 280 98 126 42 28 Cancel  | High     |
|  | High     |
| Account John Smith Account John Doe Account John Doe TRAD  | S        |
| Type PWZ Type OQV Type OQV   |          |
| Occupation manager Occupation dev Amount   | Fee      |
| 547  | 74       |
| Account John Doe Account John Doe Account John Smith 720   | 34       |
| Type RZQ Type AWT Type PWZ 837   | 113      |
| Occupation dev Occupation manager Occupation dev 246   | 31       |
| 97   | 22       |
| Account John Smith Account Richard Roe Account John Doe 561  | 50       |
| Type RZQ Type OQV Type RZQ 697   | 0        |
| Occupation dev Occupation qa Occupation qa 867   | 23       |
| 662  | 70       |

| Account          | John Smith  | Account      | John Smith  | Account      | Richard Roe |
|------------------|-------------|--------------|-------------|--------------|-------------|
| Type             | AWT         | Туре         | OQV         | Type         | OQV         |
| Occupation       | dev         | Occupation   | qa          | Occupation   | manager     |
|                  |             |              | 1           |              | <b>.</b>    |
| Account          | John Smith  | Account      | John Doe    | Account      | Richard Roe |
| 7 10 0 0 0 11 10 | PWZ         |              | PWZ         |              |             |
| Туре             |             | Type         |             | Type         | OQV         |
| Occupation       | qa          | Occupation   | dev         | Occupation   | dev         |
|                  |             |              |             |              |             |
| Account          | John Smith  | Account      | Richard Roe | Account      | John Smith  |
| Туре             | OQV         | Туре         | PWZ         | Туре         | AWT         |
| Occupation       | manager     | Occupation   | manager     | Occupation   | dev         |
|                  | _           |              | _           |              |             |
| Account          | Richard Roe | Account      | John Doe    | Account      | Richard Roe |
| Туре             | OQV         | Туре         | RZQ         | Туре         | PWZ         |
| Occupation       | manager     | Occupation   | dev         | Occupation   | qa          |
| Occupation       | manager     | Occupation   | uev         | Occupation   | Ча          |
| A                | L.L. D.     | A            | Libra Divi  | A            | pid all par |
| Account          | John Doe    | Account      | John Doe    | Account      | Richard Roe |
| Туре             | OQV         | Туре         | OQV         | Type         | AWT         |
| Occupation       | dev         | Occupation   | manager     | Occupation   | qa          |
|                  |             |              |             |              |             |
| Account          | Richard Roe | Account      | John Smith  | Account      | John Doe    |
| Type             | RZQ         | Type         | RZQ         | Type         | AWT         |
| Occupation       | manager     | Occupation   | ga          | Occupation   | manager     |
| o o o a patron   | anagei      | o coapation. | 7"          | o coapation. | anager      |

| Amount | Fee |
|--------|-----|
| 25     | 29  |
| 0      | 35  |
| 654    | 45  |
| 958    | 118 |
| 573    | 70  |
| 536    | 44  |
| 603    | 7   |
| 201    | 45  |
| 347    | 0   |
| 123    | 16  |
| 747    | 69  |
| 955    | 99  |
| 779    | 119 |
| 83     | 19  |
| 550    | 113 |
| 342    | 12  |
| 969    | 100 |
| 374    | 13  |
| 536    | 16  |
| 913    | 76  |
| 576    | 7   |
| 930    | 9   |
| 607    | 63  |
| 436    | 18  |
| 503    | 45  |
| 737    | 91  |
| 746    | 112 |
| 145    | 87  |
| 0      | 49  |
| 102    | 15  |
| 51     | 85  |

| Amount | Fee |
|--------|-----|
| 844    | 94  |
| 291    | 100 |
| 214    | 63  |
| 806    | 1   |
| 603    | 99  |
| 207    | 118 |
| 840    | 115 |
| 719    | 28  |
| 655    | 22  |
| 993    | 108 |
| 261    | 95  |
| 767    | 53  |
| 753    | 63  |
| 547    | 2   |
| 663    | 2   |
| 736    | 23  |
| 717    | 80  |
| 646    | 24  |
| 805    | 107 |
| 260    | 22  |
| 745    | 88  |
| 975    | 103 |
| 565    | 92  |
| 601    | 89  |
| 406    | 76  |
| 813    | 42  |
| 33     | 49  |
| 951    | 23  |
| 358    | 62  |
| 641    | 64  |
| 994    | 31  |

| Code           | Description   | Trade      | Type Aı     | mount N  | let Amount | Pric    | се | Quantity | Commision | Order Status | Risk   |
|----------------|---------------|------------|-------------|----------|------------|---------|----|----------|-----------|--------------|--------|
| Region:Califor | nia           |            |             |          |            |         |    |          |           |              |        |
| Branch Numb    | er:18         |            |             |          |            |         |    |          |           |              |        |
| Agent:Gerry    |               |            |             |          |            |         |    |          |           |              |        |
| 1144           | Investment 1  | Buy        |             | 20       | 7          |         | 9  | 3        | 2         | Progress     | Medium |
| 1579           | Investment 2  | Sell       |             | 40       | 14         | -       | 18 | 6        | 4         | Cancel       | High   |
| 2335           | Investment 3  | Buy        |             | 60       | 21         | 2       | 27 | 9        | 6         | Accepted     | Low    |
| 5805           | Investment 4  | Sell       |             | 80       | 28         | 3       | 36 | 12       | 8         | Accepted     | High   |
| 1272           | Investment 5  | Sell       |             | 100      | 35         | 4       | 45 | 15       | 10        | Progress     | Medium |
| 7794           | Investment 6  | Sell       |             | 120      | 42         | Į.      | 54 | 18       | 12        | Accepted     | High   |
| 2120           | Investment 7  | Buy        |             | 140      | 49         | (       | 63 | 21       | 14        | Accepted     | High   |
| 1593           | Investment 8  | Buy        |             | 160      | 56         | -       | 72 | 24       | 16        | Cancel       | Low    |
| 4917           | Investment 9  | Buy        |             | 180      | 63         | 8       | 81 | 27       | 18        | Accepted     | Medium |
| 5020           | Investment 10 | Sell       |             | 200      | 70         | Ģ       | 90 | 30       | 20        | Progress     | Medium |
| 3658           | Investment 11 | Sell       |             | 220      | 77         | Ç       | 99 | 33       | 22        | Accepted     | Medium |
| 3163           | Investment 12 | Buy        |             | 240      | 84         | 10      | 80 | 36       | 24        | Accepted     | High   |
| 8507           | Investment 13 | Sell       |             | 260      | 91         | 11      | 17 | 39       | 26        | Cancel       | Medium |
| Account        | John Doe      | Account    | Richard Roe | Account  | Johr       | n Doe   |    |          |           | TRADES       |        |
| Туре           | OQV           | Type       | AWT         | Type     | OQV        | ,       |    |          |           |              |        |
| Occupation     | dev           | Occupation | dev         | Occupati | on man     | ager    |    |          | Amount    |              | Fee    |
|                |               |            |             |          |            |         |    |          | 625       |              | 1      |
| Account        | Richard Roe   | Account    | Richard Roe | Account  | Johr       | n Smith |    |          | 710       |              | 57     |
| Type           | RZQ           | Type       | AWT         | Type     | PWZ        | •<br>=  |    |          | 691       |              | 65     |
| Occupation     | manager       | Occupation | qa          | Occupati | on dev     |         |    |          | 305       |              | 91     |
|                |               |            |             |          |            |         |    |          | 905       |              | 94     |
| Account        | John Smith    | Account    | Richard Roe | Account  | Johr       | n Smith |    |          | 783       |              | 64     |
| Type           | AWT           | Type       | RZQ         | Type     | AWT        | -       |    |          | 552       |              | 76     |
| Occupation     | qa            | Occupation | dev         | Occupati | on qa      |         |    |          | 272       |              | 81     |
|                |               |            |             |          |            |         |    |          | 819       |              | 55     |
|                |               |            |             |          |            |         |    |          | 494       |              | 116    |

| Account    | Richard Roe | Account    | John Doe   | Account    | John Smith |
|------------|-------------|------------|------------|------------|------------|
| Туре       | PWZ         | Type       | OQV        | Туре       | RZQ        |
| Occupation | qa          | Occupation | manager    | Occupation | qa         |
|            |             |            |            |            |            |
| Account    | John Doe    | Account    | John Doe   | Account    | John Smith |
| Туре       | OQV         | Type       | PWZ        | Туре       | RZQ        |
| Occupation | manager     | Occupation | dev        | Occupation | dev        |
|            |             |            |            |            |            |
| Account    | Richard Roe | Account    | John Smith | Account    | John Doe   |
| Туре       | OQV         | Type       | RZQ        | Туре       | AWT        |
| Occupation | qa          | Occupation | qa         | Occupation | manager    |

| Amount | Fee |
|--------|-----|
| 839    | 108 |
| 99     | 37  |
| 765    | 86  |
| 676    | 26  |
| 731    | 52  |
| 970    | 58  |
| 36     | 108 |
| 143    | 73  |
| 578    | 22  |
| 317    | 74  |
| 534    | 79  |
| 602    | 82  |
| 647    | 33  |
| 128    | 45  |
| 182    | 67  |
| 257    | 79  |
| 826    | 18  |
| 159    | 65  |
| 287    | 68  |
| 425    | 29  |
| 866    | 116 |
| 82     | 24  |
| 263    | 71  |
| 916    | 116 |
| 315    | 50  |
| 170    | 111 |
| 718    | 54  |
| 843    | 107 |
| 680    | 49  |
| 505    | 19  |
| 900    | 74  |
|        |     |

| Amount | Fee |
|--------|-----|
| 537    | 6   |
| 345    | 17  |
| 86     | 75  |
| 733    | 105 |
| 606    | 26  |
| 717    | 82  |
| 342    | 3   |
| 240    | 47  |
| 865    | 61  |
| 930    | 73  |
| 60     | 76  |
| 187    | 86  |
| 533    | 48  |
| 751    | 2   |
| 641    | 31  |
| 337    | 40  |
| 20     | 86  |
| 712    | 117 |
| 539    | 113 |
| 244    | 9   |
| 670    | 92  |
| 937    | 42  |
| 594    | 5   |
| 362    | 103 |
| 883    | 97  |
| 73     | 15  |
| 182    | 87  |
| 867    | 76  |
| 660    | 117 |
| 297    | 55  |
| 98     | 101 |

| Amount | Fee |
|--------|-----|
| 192    | 72  |
| 613    | 107 |
| 722    | 57  |

| Code         | Description   | Trade      | Type <i>"</i> | Amount  | Net Amount | Pric  | e          | Quantity | Commision | Order Status | Risk   |
|--------------|---------------|------------|---------------|---------|------------|-------|------------|----------|-----------|--------------|--------|
| Region:Monta | ana           |            |               |         |            |       |            |          |           |              |        |
| Branch Numb  | er:19         |            |               |         |            |       |            |          |           |              |        |
| Agent:Juliet |               |            |               |         |            |       |            |          |           |              |        |
| 494          | Investment 1  | Buy        |               | 20      | 7          |       | 9          | 3        | 2         | Cancel       | Low    |
| 7208         | Investment 2  | Buy        |               | 40      | 14         | 1     | 8          | 6        | 4         | Cancel       | Low    |
| 1803         | Investment 3  | Sell       |               | 60      | 21         | 2     | 27         | 9        | 6         | Accepted     | Low    |
| 8224         | Investment 4  | Sell       |               | 80      | 28         | 3     | 86         | 12       | 8         | Accepted     | High   |
| 5961         | Investment 5  | Sell       |               | 100     | 35         | 4     | ļ <b>5</b> | 15       | 10        | Progress     | High   |
| 7934         | Investment 6  | Sell       |               | 120     | 42         | 5     | 54         | 18       | 12        | Accepted     | High   |
| 53           | Investment 7  | Buy        |               | 140     | 49         | ε     | 53         | 21       | 14        | Accepted     | Low    |
| 4770         | Investment 8  | Sell       |               | 160     | 56         | 7     | '2         | 24       | 16        | Cancel       | High   |
| 9039         | Investment 9  | Sell       |               | 180     | 63         | 8     | 81         | 27       | 18        | Accepted     | Medium |
| 5058         | Investment 10 | Sell       |               | 200     | 70         | g     | 00         | 30       | 20        | Cancel       | High   |
| 172          | Investment 11 | Sell       |               | 220     | 77         | g     | 9          | 33       | 22        | Progress     | Low    |
| 9429         | Investment 12 | Buy        |               | 240     | 84         | 10    | 8          | 36       | 24        | Cancel       | Low    |
| 4989         | Investment 13 | Sell       |               | 260     | 91         | 11    | 7          | 39       | 26        | Progress     | High   |
| 4933         | Investment 14 | Buy        |               | 280     | 98         | 12    | 26         | 42       | 28        | Progress     | Medium |
| Account      | John Doe      | Account    | John Doe      | Account | : John     | Smith |            |          |           | TRADES       |        |
| Type         | PWZ           | Type       | RZQ           | Type    | PWZ        |       |            |          |           |              |        |
| Occupation   | manager       | Occupation | manager       | Occupat | tion mana  | ager  |            |          | Amount    |              | Fee    |
|              |               |            |               |         |            |       |            |          | 564       |              | 60     |
| Account      | John Doe      | Account    | John Doe      | Account | : John     | Doe   |            |          | 307       |              | 0      |
| Type         | OQV           | Type       | PWZ           | Type    | VQO        |       |            |          | 818       |              | 79     |
| Occupation   | manager       | Occupation | dev           | Occupat | tion mana  | ager  |            |          | 94        |              | 70     |
|              |               |            |               |         |            |       |            |          | 695       |              | 62     |
| Account      | John Doe      | Account    | John Doe      | Account | : John     | Doe   |            |          | 348       |              | 74     |
| Type         | AWT           | Type       | RZQ           | Type    | AWT        |       |            |          | 368       |              | 41     |
| Occupation   | dev           | Occupation | manager       | Occupat | tion qa    |       |            |          | 572       |              | 46     |
|              |               |            |               |         |            |       |            |          | 880       |              | 41     |

| Account    | John Doe   | Account    | Richard Roe | Account    | Richard Roe |
|------------|------------|------------|-------------|------------|-------------|
| Туре       | OQV        | Type       | PWZ         | Type       | PWZ         |
| Occupation | qa         | Occupation | qa          | Occupation | dev         |
|            |            |            |             |            |             |
| Account    | John Smith | Account    | John Doe    | Account    | John Smith  |
| Туре       | OQV        | Туре       | OQV         | Type       | PWZ         |
| Occupation | manager    | Occupation | qa          | Occupation | dev         |

| Amount | Fee |
|--------|-----|
| 380    | 86  |
| 245    | 0   |
| 169    | 102 |
| 297    | 108 |
| 41     | 66  |
| 980    | 78  |
| 425    | 110 |
| 507    | 119 |
| 976    | 28  |
| 55     | 65  |
| 551    | 11  |
| 780    | 3   |
| 843    | 44  |
| 596    | 55  |
| 401    | 48  |
| 40     | 86  |
| 996    | 6   |
| 842    | 83  |
| 582    | 1   |
| 938    | 92  |
| 97     | 53  |
| 459    | 44  |
| 33     | 18  |
| 249    | 118 |
| 984    | 81  |
| 594    | 13  |

| Region: Montana         Branch Number: 2         Agent: Phil         4784       Investment 1       Buy       20       7       9       3         6639       Investment 2       Sell       40       14       18       6         533       Investment 3       Buy       60       21       27       9 | 4      | Accepted | High<br>Medium |
|---|--------|----------|----------------|
| Agent:Phil       4784     Investment 1     Buy     20     7     9     3       6639     Investment 2     Sell     40     14     18     6   | 4      | Accepted |                |
| 6639 Investment 2 Sell 40 14 18 6   | 4      | Accepted |                |
| 6639 Investment 2 Sell 40 14 18 6   | 4      | Accepted |                |
|   | 6      |          | Medium         |
| 533 Investment 3 Buy 60 21 27 9   |        | A . I    | mearani        |
| ·   |        | Accepted | Low            |
| 7508 Investment 4 Sell 80 28 36 12  |        | Accepted | Low            |
| 3155 Investment 5 Sell 100 35 45 15   |        | Progress | High           |
| 9954 Investment 6 Buy 120 42 54 18  | 12     | Accepted | High           |
| 698 Investment 7 Buy 140 49 63 21   | 14     | Accepted | Low            |
| 5936 Investment 8 Buy 160 56 72 24  |        | Accepted | Low            |
| 3651 Investment 9 Buy 180 63 81 27  |        | Progress | Low            |
| 287 Investment 10 Buy 200 70 90 30  | 20     | Cancel   | Low            |
| 1712 Investment 11 Buy 220 77 99 33   | 22     | Accepted | Medium         |
| Account John Smith Account John Smith Account John Smith  |        | TRADES   |                |
| Type PWZ Type OQV Type PWZ  |        |          |                |
| Occupation qa Occupation manager  | Amount |          | Fee            |
|   | 151    |          | 32             |
| Account John Smith Account John Smith Account John Smith  | 911    |          | 67             |
| Type AWT Type OQV Type RZQ  | 840    |          | 18             |
| Occupation dev Occupation dev Occupation manager  | 612    |          | 116            |
|   | 787    |          | 18             |
| Account Richard Roe Account John Smith Account John Smith   | 554    |          | 42             |
| Type RZQ Type PWZ Type PWZ  | 687    |          | 41             |
| Occupation qa Occupation manager Occupation manager   | 953    |          | 13             |
|   | 784    |          | 59             |
|   | 810    |          | 25             |
|   | 221    |          | 21             |
|   | 113    |          | 69             |

| Account    | John Smith | Account    | Richard Roe | Account    | John Doe    |
|------------|------------|------------|-------------|------------|-------------|
| Type       | RZQ        | Type       | PWZ         | Type       | AWT         |
| Occupation | manager    | Occupation | dev         | Occupation | qa          |
|            |            |            |             |            |             |
| Account    | John Smith | Account    | John Doe    | Account    | John Smith  |
| Type       | AWT        | Type       | RZQ         | Type       | AWT         |
| Occupation | dev        | Occupation | dev         | Occupation | manager     |
|            |            |            |             |            |             |
| Account    | John Doe   | Account    | Richard Roe | Account    | John Doe    |
| Type       | OQV        | Type       | AWT         | Туре       | OQV         |
| Occupation | qa         | Occupation | dev         | Occupation | manager     |
|            |            |            |             |            |             |
| Account    | John Smith | Account    | John Doe    | Account    | John Smith  |
| Type       | PWZ        | Type       | OQV         | Туре       | PWZ         |
| Occupation | dev        | Occupation | manager     | Occupation | dev         |
|            |            |            |             |            |             |
| Account    | John Doe   | Account    | Richard Roe | Account    | John Smith  |
| Type       | OQV        | Type       | RZQ         | Туре       | RZQ         |
| Occupation | manager    | Occupation | manager     | Occupation | manager     |
|            |            |            |             |            |             |
| Account    | John Doe   | Account    | John Smith  | Account    | Richard Roe |
| Type       | RZQ        | Type       | OQV         | Type       | PWZ         |
| Occupation | manager    | Occupation | qa          | Occupation | dev         |
|            |            |            |             |            |             |

| Amount | Fee |
|--------|-----|
| 526    | 115 |
| 709    | 5   |
| 604    | 3   |
| 885    | 28  |
| 64     | 73  |
| 109    | 58  |
| 893    | 40  |
| 110    | 6   |
| 609    | 26  |
| 363    | 72  |
| 470    | 44  |
| 247    | 54  |
| 56     | 33  |
| 108    | 104 |
| 223    | 114 |
| 855    | 114 |
| 755    | 110 |
| 488    | 14  |
| 351    | 52  |
| 29     | 51  |
| 335    | 58  |
| 789    | 6   |
| 51     | 112 |
| 282    | 11  |
| 246    | 39  |
| 200    | 48  |
| 848    | 63  |
| 298    | 70  |
| 534    | 65  |
| 643    | 101 |
| 148    | 10  |

| Amount | Fee |
|--------|-----|
| 746    | 83  |
| 665    | 81  |
| 383    | 49  |
| 816    | 38  |
| 547    | 83  |
| 623    | 78  |
| 772    | 49  |
| 880    | 71  |

| Code          | Description   | Trade      | Гуре Аг     | mount N  | let Amount | Pric    | ce | Quantity | Commision | Order Status | Risk   |
|---------------|---------------|------------|-------------|----------|------------|---------|----|----------|-----------|--------------|--------|
| Region:Monta  | na            |            |             |          |            |         |    |          |           |              |        |
| Branch Number | er:13         |            |             |          |            |         |    |          |           |              |        |
| Agent:Aaren   |               |            |             |          |            |         |    |          |           |              |        |
| 5221          | Investment 1  | Buy        |             | 20       | 7          |         | 9  | 3        | 2         | Accepted     | Medium |
| 5765          | Investment 2  | Sell       |             | 40       | 14         | 7       | 18 | 6        | 4         | Accepted     | High   |
| 1767          | Investment 3  | Buy        |             | 60       | 21         | 2       | 27 | 9        | 6         | Cancel       | High   |
| 1771          | Investment 4  | Sell       |             | 80       | 28         | 3       | 36 | 12       | 8         | Cancel       | Low    |
| 7694          | Investment 5  | Sell       |             | 100      | 35         | 4       | 45 | 15       | 10        | Cancel       | Medium |
| 9565          | Investment 6  | Buy        |             | 120      | 42         | Ę       | 54 | 18       | 12        | Progress     | Medium |
| 448           | Investment 7  | Buy        |             | 140      | 49         | (       | 63 | 21       | 14        | Accepted     | Low    |
| 7920          | Investment 8  | Buy        |             | 160      | 56         |         | 72 | 24       | 16        | Cancel       | High   |
| 9275          | Investment 9  | Sell       |             | 180      | 63         | 8       | 81 | 27       | 18        | Cancel       | Medium |
| 5625          | Investment 10 | Sell       |             | 200      | 70         | Ç       | 90 | 30       | 20        | Accepted     | Medium |
| 8471          | Investment 11 | Buy        |             | 220      | 77         | Ç       | 99 | 33       | 22        | Cancel       | Medium |
| 7197          | Investment 12 | Sell       |             | 240      | 84         | 10      | 90 | 36       | 24        | Cancel       | Low    |
| 8302          | Investment 13 | Buy        |             | 260      | 91         | 11      | 17 | 39       | 26        | Progress     | High   |
| Account       | Richard Roe   | Account    | Richard Roe | Account  | Johr       | n Smith |    |          |           | TRADES       |        |
| Type          | RZQ           | Type       | OQV         | Type     | AWT        | -       |    |          |           |              |        |
| Occupation    | qa            | Occupation | qa          | Occupati | on qa      |         |    |          | Amount    |              | Fee    |
|               |               |            |             |          |            |         |    |          | 640       |              | 107    |
| Account       | Richard Roe   | Account    | Richard Roe | Account  | Johr       | n Smith |    |          | 19        |              | 56     |
| Type          | OQV           | Type       | AWT         | Type     | AWT        |         |    |          | 837       |              | 11     |
| Occupation    | qa            | Occupation | dev         | Occupati | on dev     |         |    |          | 797       |              | 56     |
|               |               |            |             |          |            |         |    |          | 803       |              | 55     |
| Account       | John Doe      | Account    | John Doe    | Account  | Johr       | n Doe   |    |          | 375       |              | 111    |
| Type          | PWZ           | Type       | OQV         | Type     | OQV        |         |    |          | 807       |              | 38     |
| Occupation    | manager       | Occupation | qa          | Occupati | on man     | ager    |    |          | 509       |              | 23     |
|               |               |            |             |          |            |         |    |          | 188       |              | 1      |
|               |               |            |             |          |            |         |    |          | 141       |              | 47     |

| Account    | Richard Roe | Account    | Richard Roe | Account    | Richard Roe |
|------------|-------------|------------|-------------|------------|-------------|
| Туре       | AWT         | Туре       | OQV         | Туре       | OQV         |
| Occupation | manager     | Occupation | manager     | Occupation | manager     |
|            |             |            |             |            |             |
| Account    | John Doe    | Account    | John Doe    | Account    | John Doe    |
| Туре       | AWT         | Type       | RZQ         | Туре       | PWZ         |
| Occupation | manager     | Occupation | dev         | Occupation | qa          |
|            |             |            |             |            |             |
| Account    | John Doe    | Account    | John Smith  | Account    | John Smith  |
| Туре       | PWZ         | Туре       | AWT         | Туре       | PWZ         |
| Occupation | dev         | Occupation | manager     | Occupation | manager     |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | Richard Roe | Account    | John Doe    |
| Туре       | PWZ         | Туре       | RZQ         | Туре       | OQV         |
| Occupation | qa          | Occupation | dev         | Occupation | manager     |

|        | _   |
|--------|-----|
| Amount | Fee |
| 226    | 41  |
| 664    | 113 |
| 513    | 51  |
| 85     | 85  |
| 674    | 118 |
| 524    | 71  |
| 802    | 45  |
| 38     | 68  |
| 708    | 24  |
| 606    | 90  |
| 922    | 53  |
| 380    | 45  |
| 32     | 20  |
| 62     | 53  |
| 589    | 24  |
| 11     | 61  |
| 214    | 73  |
| 806    | 15  |
| 457    | 102 |
| 715    | 26  |
| 267    | 47  |
|        |     |

| Code               | Description   | Trade T    | ype A      | mount Ne  | t Amount | Pric    | e          | Quantity | Commision | Order Status | Risk   |
|--------------------|---------------|------------|------------|-----------|----------|---------|------------|----------|-----------|--------------|--------|
| Region:Florid      | la            |            |            |           |          |         |            |          |           |              |        |
| <b>Branch Numb</b> | ber:8         |            |            |           |          |         |            |          |           |              |        |
| Agent:Phil         |               |            |            |           |          |         |            |          |           |              |        |
| 8712               | Investment 1  | Sell       |            | 20        | 7        |         | 9          | 3        | 2         | Accepted     | High   |
| 8200               | Investment 2  | Buy        |            | 40        | 14       | 1       | 8          | 6        | 4         | Progress     | Low    |
| 5570               | Investment 3  | Buy        |            | 60        | 21       | 2       | 27         | 9        | 6         | Cancel       | Medium |
| 7171               | Investment 4  | Sell       |            | 80        | 28       | 3       | 36         | 12       | 8         | Progress     | High   |
| 2881               | Investment 5  | Sell       |            | 100       | 35       |         | <b>1</b> 5 | 15       | 10        | Cancel       | Medium |
| 4481               | Investment 6  | Sell       |            | 120       | 42       | 5       | 54         | 18       | 12        | Cancel       | Medium |
| 4811               | Investment 7  | Buy        |            | 140       | 49       | 6       | 53         | 21       | 14        | Accepted     | Medium |
| 332                | Investment 8  | Sell       |            | 160       | 56       | 7       | '2         | 24       | 16        | Cancel       | High   |
| 8357               | Investment 9  | Buy        |            | 180       | 63       | 8       | 31         | 27       | 18        | Progress     | Medium |
| 9704               | Investment 10 | Buy        |            | 200       | 70       | 9       | 90         | 30       | 20        | Accepted     | High   |
| 2976               | Investment 11 | Buy        |            | 220       | 77       | 9       | 99         | 33       | 22        | Progress     | High   |
| 4485               | Investment 12 | Buy        |            | 240       | 84       | 10      | 8          | 36       | 24        | Cancel       | High   |
| 2428               | Investment 13 | Buy        |            | 260       | 91       | 11      | 7          | 39       | 26        | Cancel       | High   |
| 5621               | Investment 14 | Buy        |            | 280       | 98       | 12      | 26         | 42       | 28        | Progress     | Low    |
| 8043               | Investment 15 | Buy        |            | 300       | 105      | 13      | 15         | 45       | 30        | Accepted     | High   |
| 2921               | Investment 16 | Sell       |            | 320       | 112      | 14      | 14         | 48       | 32        | Cancel       | Low    |
| 8079               | Investment 17 | Buy        |            | 340       | 119      | 15      | 3          | 51       | 34        | Cancel       | Low    |
| 1163               | Investment 18 | Buy        |            | 360       | 126      | 16      | 52         | 54       | 36        | Progress     | Medium |
| Account            | John Smith    | Account    | John Doe   | Account   | Richa    | ard Roe |            |          |           | TRADES       |        |
| Type               | VQO           | Type       | AWT        | Type      | OQV      |         |            |          |           |              |        |
| Occupation         | qa            | Occupation | manager    | Occupatio | n qa     |         |            |          | Amount    |              | Fee    |
|                    |               |            |            |           |          |         |            |          | 345       |              | 37     |
| Account            | John Doe      | Account    | John Smith | Account   | Richa    | ard Roe |            |          | 576       |              | 27     |
| Туре               | RZQ           | Type       | OQV        | Type      | PWZ      |         |            |          | 490       |              | 27     |
| Occupation         | manager       | Occupation | dev        | Occupatio | n dev    |         |            |          | 987       |              | 43     |
|                    |               |            |            |           |          |         |            |          | 229       |              | 110    |

| Account    | John Smith  | Account    | Richard Roe | Account    | John Smith |
|------------|-------------|------------|-------------|------------|------------|
| Туре       | PWZ         | Type       | OQV         | Type       | PWZ        |
| Occupation | qa          | Occupation | dev         | Occupation | manager    |
|            |             |            |             |            |            |
| Account    | Richard Roe | Account    | John Doe    |            |            |
| Type       | AWT         | Type       | AWT         |            |            |
| Occupation | dev         | Occupation | manager     |            |            |

| 214       21         548       87         782       36         484       112         595       21         740       57         143       101         217       104         639       39         535       20         898       94         649       78         7       45         937       37         948       17         300       69         953       31         412       34         610       71         665       15         251       44 | Amount | Fee |
|---|--------|-----|
| 782       36         484       112         595       21         740       57         143       101         217       104         639       39         535       20         898       94         649       78         7       45         937       37         948       17         300       69         953       31         412       34         610       71         665       15  | 214    | 21  |
| 484       112         595       21         740       57         143       101         217       104         639       39         535       20         898       94         649       78         7       45         937       37         948       17         300       69         953       31         412       34         610       71         665       15   | 548    | 87  |
| 595       21         740       57         143       101         217       104         639       39         535       20         898       94         649       78         7       45         937       37         948       17         300       69         953       31         412       34         610       71         665       15   | 782    | 36  |
| 740       57         143       101         217       104         639       39         535       20         898       94         649       78         7       45         937       37         948       17         300       69         953       31         412       34         610       71         665       15  | 484    | 112 |
| 143       101         217       104         639       39         535       20         898       94         649       78         7       45         937       37         948       17         300       69         953       31         412       34         610       71         665       15   | 595    | 21  |
| 217       104         639       39         535       20         898       94         649       78         7       45         937       37         948       17         300       69         953       31         412       34         610       71         665       15   | 740    | 57  |
| 639       39         535       20         898       94         649       78         7       45         937       37         948       17         300       69         953       31         412       34         610       71         665       15   | 143    | 101 |
| 535       20         898       94         649       78         7       45         937       37         948       17         300       69         953       31         412       34         610       71         665       15  | 217    | 104 |
| 898       94         649       78         7       45         937       37         948       17         300       69         953       31         412       34         610       71         665       15   | 639    | 39  |
| 649       78         7       45         937       37         948       17         300       69         953       31         412       34         610       71         665       15  | 535    | 20  |
| 7 45<br>937 37<br>948 17<br>300 69<br>953 31<br>412 34<br>610 71<br>665 15  | 898    | 94  |
| 937       37         948       17         300       69         953       31         412       34         610       71         665       15  | 649    | 78  |
| 948       17         300       69         953       31         412       34         610       71         665       15   | 7      | 45  |
| 300       69         953       31         412       34         610       71         665       15  | 937    | 37  |
| 953 31<br>412 34<br>610 71<br>665 15  | 948    | 17  |
| 412       34         610       71         665       15  | 300    | 69  |
| 610 71<br>665 15  | 953    | 31  |
| 665 15  | 412    | 34  |
|   | 610    | 71  |
| 251 44  | 665    | 15  |
|   | 251    | 44  |
| 162 37  | 162    | 37  |
| 390 103   | 390    | 103 |
| 605 42  | 605    | 42  |

| Code          | Description   | Trade      | Гуре Aı     | nount  | Net Amount | Pric    | ce | Quantity | Commision | Order Status | Risk   |
|---------------|---------------|------------|-------------|--------|------------|---------|----|----------|-----------|--------------|--------|
| Region:Arizor | na            |            |             |        |            |         |    |          |           |              |        |
| Branch Numb   | er:15         |            |             |        |            |         |    |          |           |              |        |
| Agent:Gerry   |               |            |             |        |            |         |    |          |           |              |        |
| 6747          | Investment 1  | Buy        |             | 20     | 7          |         | 9  | 3        | 2         | Cancel       | High   |
| 4150          | Investment 2  | Sell       |             | 40     | 14         | 1       | 18 | 6        | 4         | Progress     | High   |
| 4753          | Investment 3  | Buy        |             | 60     | 21         | 2       | 27 | 9        | 6         | Cancel       | Medium |
| 8924          | Investment 4  | Sell       |             | 80     | 28         | 3       | 36 | 12       | 8         | Progress     | Low    |
| 3312          | Investment 5  | Buy        |             | 100    | 35         | 4       | 45 | 15       | 10        | Cancel       | Low    |
| 5340          | Investment 6  | Sell       |             | 120    | 42         | 5       | 54 | 18       | 12        | Accepted     | Low    |
| 74            | Investment 7  | Buy        |             | 140    | 49         | 6       | 53 | 21       | 14        | Progress     | High   |
| 30            | Investment 8  | Sell       |             | 160    | 56         |         | 72 | 24       | 16        | Cancel       | Medium |
| 4556          | Investment 9  | Sell       |             | 180    | 63         | 8       | 31 | 27       | 18        | Accepted     | High   |
| 8833          | Investment 10 | Sell       |             | 200    | 70         | g       | 90 | 30       | 20        | Cancel       | Medium |
| 3085          | Investment 11 | Sell       |             | 220    | 77         | g       | 99 | 33       | 22        | Cancel       | High   |
| 7523          | Investment 12 | Buy        |             | 240    | 84         | 10      | 80 | 36       | 24        | Accepted     | Low    |
| 8940          | Investment 13 | Buy        |             | 260    | 91         | 11      | 17 | 39       | 26        | Progress     | Low    |
| 9814          | Investment 14 | Sell       |             | 280    | 98         | 12      | 26 | 42       | 28        | Accepted     | High   |
| Account       | John Smith    | Account    | John Doe    | Accour | nt John    | Smith   |    |          |           | TRADES       |        |
| Type          | PWZ           | Type       | OQV         | Type   | PWZ        |         |    |          |           |              |        |
| Occupation    | manager       | Occupation | manager     | Occupa | ation qa   |         |    |          | Amount    |              | Fee    |
|               |               |            |             |        |            |         |    |          | 323       |              | 73     |
| Account       | John Doe      | Account    | John Smith  | Accour | nt Richa   | ard Roe |    |          | 643       |              | 10     |
| Type          | PWZ           | Type       | OQV         | Type   | OQV        |         |    |          | 808       |              | 44     |
| Occupation    | qa            | Occupation | qa          | Occupa | ation man  | ager    |    |          | 356       |              | 75     |
|               |               |            |             |        |            |         |    |          | 369       |              | 31     |
| Account       | Richard Roe   | Account    | Richard Roe | Accour | nt John    | Doe     |    |          | 886       |              | 3      |
| Туре          | PWZ           | Туре       | AWT         | Type   | PWZ        |         |    |          | 90        |              | 33     |
| Occupation    | manager       | Occupation | qa          | Occupa | ation qa   |         |    |          | 554       |              | 15     |
|               |               |            |             |        |            |         |    |          | 193       |              | 108    |

| Account    | Richard Roe | Account    | John Smith  | Account    | John Doe    |
|------------|-------------|------------|-------------|------------|-------------|
| Туре       | OQV         | Туре       | OQV         | Туре       | PWZ         |
| Occupation | qa          | Occupation | dev         | Occupation | dev         |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | John Smith  | Account    | John Smith  |
| Type       | PWZ         | Type       | OQV         | Type       | RZQ         |
| Occupation | qa          | Occupation | dev         | Occupation | dev         |
|            |             |            |             |            |             |
| Account    | John Doe    | Account    | Richard Roe | Account    | John Doe    |
| Type       | OQV         | Туре       | RZQ         | Туре       | PWZ         |
| Occupation | manager     | Occupation | manager     | Occupation | dev         |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | John Smith  | Account    | Richard Roe |
| Туре       | AWT         | Туре       | PWZ         | Туре       | PWZ         |
| Occupation | qa          | Occupation | manager     | Occupation | dev         |
|            |             |            |             |            |             |
| Account    | John Doe    | Account    | John Doe    | Account    | John Doe    |
| Туре       | PWZ         | Туре       | OQV         | Туре       | OQV         |
| Occupation | manager     | Occupation | manager     | Occupation | manager     |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | John Doe    | Account    | Richard Roe |
| Type       | PWZ         | Type       | OQV         | Туре       | RZQ         |
| Occupation | dev         | Occupation | manager     | Occupation | dev         |

| Amount | Fee |
|--------|-----|
| 673    | 0   |
| 689    | 21  |
| 830    | 1   |
| 354    | 33  |

| Code           | Description   | Trade T    | ype Ar      | nount l | Net Amount | Pric    | ce | Quantity | Commision | Order Status | Risk   |
|----------------|---------------|------------|-------------|---------|------------|---------|----|----------|-----------|--------------|--------|
| Region:Florida | ı             |            |             |         |            |         |    |          |           |              |        |
| Branch Number  | er:19         |            |             |         |            |         |    |          |           |              |        |
| Agent:Adelina  |               |            |             |         |            |         |    |          |           |              |        |
| 3690           | Investment 1  | Sell       |             | 20      | 7          |         | 9  | 3        | 2         | Accepted     | Medium |
| 5444           | Investment 2  | Buy        |             | 40      | 14         | 1       | 18 | 6        | 4         | Accepted     | Low    |
| 5150           | Investment 3  | Buy        |             | 60      | 21         | 2       | 27 | 9        | 6         | Accepted     | Low    |
| 7366           | Investment 4  | Sell       |             | 80      | 28         | 3       | 36 | 12       | 8         | Cancel       | High   |
| 7742           | Investment 5  | Sell       |             | 100     | 35         | 4       | 45 | 15       | 10        | Accepted     | High   |
| 6238           | Investment 6  | Buy        |             | 120     | 42         | Ę       | 54 | 18       | 12        | Cancel       | High   |
| 4160           | Investment 7  | Buy        |             | 140     | 49         | (       | 63 | 21       | 14        | Cancel       | High   |
| 7102           | Investment 8  | Buy        |             | 160     | 56         | 7       | 72 | 24       | 16        | Progress     | Medium |
| 3445           | Investment 9  | Buy        |             | 180     | 63         | 8       | 81 | 27       | 18        | Accepted     | Low    |
| 256            | Investment 10 | Buy        |             | 200     | 70         | g       | 90 | 30       | 20        | Cancel       | High   |
| 1028           | Investment 11 | Sell       |             | 220     | 77         | Ç       | 99 | 33       | 22        | Accepted     | Medium |
| 916            | Investment 12 | Sell       |             | 240     | 84         | 10      | 38 | 36       | 24        | Cancel       | Medium |
| 719            | Investment 13 | Sell       |             | 260     | 91         | 11      | 17 | 39       | 26        | Accepted     | Low    |
| 4321           | Investment 14 | Sell       |             | 280     | 98         | 12      | 26 | 42       | 28        | Accepted     | High   |
| 578            | Investment 15 | Buy        |             | 300     | 105        | 13      | 35 | 45       | 30        | Accepted     | Low    |
| 2227           | Investment 16 | Sell       |             | 320     | 112        | 14      | 44 | 48       | 32        | Cancel       | High   |
| 9948           | Investment 17 | Sell       |             | 340     | 119        | 15      | 53 | 51       | 34        | Accepted     | Low    |
| Account        | John Smith    | Account    | Richard Roe | Account | Johi       | n Smith |    |          |           | TRADES       |        |
| Type           | RZQ           | Type       | PWZ         | Type    | RZQ        |         |    |          |           |              |        |
| Occupation     | manager       | Occupation | dev         | Occupat | ion qa     |         |    |          | Amount    |              | Fee    |
|                |               |            |             |         |            |         |    |          | 889       |              | 115    |
| Account        | John Smith    | Account    | John Doe    | Account | Johi       | n Smith |    |          | 331       |              | 63     |
| Type           | AWT           | Type       | PWZ         | Type    | OQV        | ,       |    |          | 725       |              | 76     |
| Occupation     | dev           | Occupation | qa          | Occupat | ion dev    |         |    |          | 205       |              | 57     |
|                |               |            |             |         |            |         |    |          | 537       |              | 39     |
|                |               |            |             |         |            |         |    |          | 525       |              | 102    |

|            |             |            |             |            |             | Amount |
|------------|-------------|------------|-------------|------------|-------------|--------|
| Account    | John Smith  | Account    | John Smith  | Account    | Richard Roe | 408    |
| Type       | AWT         | Type       | PWZ         | Type       | RZQ         | 962    |
| Occupation | dev         | Occupation | dev         | Occupation | dev         | 570    |
|            |             |            |             |            |             | 341    |
| Account    | John Smith  | Account    | Richard Roe | Account    | Richard Roe | 125    |
| Туре       | OQV         | Туре       | AWT         | Type       | PWZ         | 985    |
| Occupation | qa          | Occupation | qa          | Occupation | dev         | 782    |
|            |             |            |             |            |             | 958    |
| Account    | Richard Roe | Account    | John Doe    | Account    | Richard Roe | 861    |
| Type       | RZQ         | Type       | RZQ         | Type       | OQV         | 972    |
| Occupation | dev         | Occupation | manager     | Occupation | qa          | 574    |
|            |             |            |             |            |             | 957    |
| Account    | John Smith  | Account    | John Smith  | Account    | Richard Roe | 644    |
| Type       | PWZ         | Type       | RZQ         | Type       | AWT         | 396    |
| Occupation | manager     | Occupation | qa          | Occupation | qa          | 984    |
|            |             |            |             |            |             | 89     |
| Account    | Richard Roe | Account    | Richard Roe | Account    | John Smith  | 383    |
| Type       | AWT         | Type       | OQV         | Type       | RZQ         | 950    |
| Occupation | dev         | Occupation | qa          | Occupation | dev         | 265    |
|            |             |            |             |            |             | 428    |
| Account    | Richard Roe | Account    | John Doe    | Account    | Richard Roe | 142    |
| Туре       | AWT         | Type       | OQV         | Type       | RZQ         | 654    |
| Occupation | dev         | Occupation | qa          | Occupation | manager     | 99     |
|            |             |            |             |            |             | 919    |
| Account    | John Smith  | Account    | John Doe    | Account    | Richard Roe | 194    |
| Туре       | PWZ         | Type       | AWT         | Type       | PWZ         | 88     |
| Occupation | qa          | Occupation | qa          | Occupation | dev         | 200    |
|            |             |            |             |            |             | 137    |
|            |             |            |             |            |             | 87     |

| Amount | Fee |
|--------|-----|
| 489    | 10  |
| 651    | 90  |
| 98     | 95  |
| 430    | 28  |
| 703    | 94  |
| 293    | 26  |
| 325    | 27  |
| 727    | 13  |
| 990    | 77  |
| 94     | 5   |
| 293    | 22  |
| 777    | 102 |
| 109    | 63  |
| 234    | 119 |
| 506    | 4   |
| 152    | 66  |

| Code          | Description  | Trade      | Туре д      | mount   | Net Amount | Price | Quantity | Commision | Order Status | Risk   |
|---------------|--------------|------------|-------------|---------|------------|-------|----------|-----------|--------------|--------|
| Region:Colora |              |            |             |         |            |       |          |           |              |        |
| Branch Numb   |              |            |             |         |            |       |          |           |              |        |
| Agent:Adelina | l            |            |             |         |            |       |          |           |              |        |
| 7871          | Investment 1 | Buy        |             | 20      | 7          | 9     | 3        | 2         | Progress     | High   |
| 3077          | Investment 2 | Sell       |             | 40      | 14         | 18    | 6        | 4         | Cancel       | Medium |
| 2092          | Investment 3 | Buy        |             | 60      | 21         | 27    | 9        | 6         | Cancel       | Medium |
| 8169          | Investment 4 | Buy        |             | 80      | 28         | 36    | 12       | 8         | Cancel       | Medium |
| 4016          | Investment 5 | Sell       |             | 100     | 35         | 45    | 15       | 10        | Cancel       | Low    |
| 7812          | Investment 6 | Sell       |             | 120     | 42         | 54    | 18       | 12        | Cancel       | Medium |
| Account       | John Doe     | Account    | Richard Roe | Accoun  | t Richard  | d Roe |          |           | TRADES       |        |
| Туре          | PWZ          | Туре       | AWT         | Type    | PWZ        |       |          |           |              |        |
| Occupation    | dev          | Occupation | qa          | Occupa  | tion qa    |       |          | Amount    |              | Fee    |
|               |              |            |             |         |            |       |          | 80        |              | 111    |
| Account       | John Smith   | Account    | John Doe    | Account | t John S   | Smith |          | 670       |              | 24     |
| Type          | OQV          | Type       | PWZ         | Type    | OQV        |       |          | 844       |              | 99     |
| Occupation    | dev          | Occupation | manager     | Occupa  | tion manag | er    |          | 548       |              | 113    |
|               |              |            |             |         |            |       |          | 288       |              | 106    |
| Account       | Richard Roe  | Account    | John Doe    | Account | t John S   | mith  |          | 159       |              | 15     |
| Type          | RZQ          | Type       | PWZ         | Type    | RZQ        |       |          | 61        |              | 28     |
| Occupation    | manager      | Occupation | manager     | Occupa  | tion qa    |       |          | 792       |              | 94     |
|               |              |            |             |         |            |       |          | 688       |              | 4      |
| Account       | Richard Roe  | Account    | Richard Roe | Account | t John S   | mith  |          | 342       |              | 38     |
| Type          | AWT          | Type       | AWT         | Type    | AWT        |       |          | 381       |              | 91     |
| Occupation    | dev          | Occupation | manager     | Occupa  | tion manag | er    |          | 557       |              | 2      |
|               |              |            |             |         |            |       |          | 567       |              | 6      |
| Account       | Richard Roe  | Account    | Richard Roe | Account | t John D   | oe    |          | 756       |              | 24     |
| Type          | OQV          | Type       | PWZ         | Type    | OQV        |       |          | 84        |              | 30     |
| Occupation    | dev          | Occupation | qa          | Occupa  | tion dev   |       |          | 460       |              | 80     |
|               |              |            |             |         |            |       |          | 6         |              | 104    |

| Account    | John Smith |
|------------|------------|
| Туре       | AWT        |
| Occupation | qa         |

| Amount | Fee |
|--------|-----|
| 709    | 2   |
| 796    | 49  |
| 411    | 40  |
| 887    | 8   |
| 757    | 77  |
| 96     | 112 |
| 134    | 114 |
| 911    | 40  |
| 884    | 59  |
| 102    | 104 |
| 318    | 90  |
| 12     | 10  |
| 915    | 87  |
| 21     | 27  |
| 677    | 26  |
| 822    | 85  |
| 813    | 15  |
| 127    | 114 |
| 440    | 69  |
| 146    | 63  |
| 158    | 43  |
| 711    | 2   |
| 931    | 39  |
| 978    | 50  |
| 703    | 21  |
| 356    | 74  |
| 728    | 72  |
| 565    | 49  |

| Code          | Description   | Trade 1    | Type Aı     | mount   | Net Amount | Pric  | e Quan | tity | Commision | Order Status | Risk   |
|---------------|---------------|------------|-------------|---------|------------|-------|--------|------|-----------|--------------|--------|
| Region:Monta  | na            |            |             |         |            |       |        |      |           |              |        |
| Branch Number | er:10         |            |             |         |            |       |        |      |           |              |        |
| Agent:Gerry   |               |            |             |         |            |       |        |      |           |              |        |
| 1721          | Investment 1  | Sell       |             | 20      | 7          | •     | 9      | 3    | 2         | Accepted     | Low    |
| 6407          | Investment 2  | Sell       |             | 40      | 14         | 1:    | 8      | 6    | 4         | Cancel       | Low    |
| 7984          | Investment 3  | Buy        |             | 60      | 21         | 2     | 7      | 9    | 6         | Accepted     | Low    |
| 3411          | Investment 4  | Buy        |             | 80      | 28         | 3     | 6      | 12   | 8         | Progress     | High   |
| 1010          | Investment 5  | Buy        |             | 100     | 35         | 4     | 5      | 15   | 10        | Accepted     | Medium |
| 8580          | Investment 6  | Buy        |             | 120     | 42         | 5-    | 4      | 18   | 12        | Progress     | High   |
| 7475          | Investment 7  | Sell       |             | 140     | 49         | 6     | 3      | 21   | 14        | Accepted     | Medium |
| 219           | Investment 8  | Buy        |             | 160     | 56         | 7:    | 2      | 24   | 16        | Cancel       | Medium |
| 1050          | Investment 9  | Sell       |             | 180     | 63         | 8     | 1      | 27   | 18        | Accepted     | Medium |
| 5574          | Investment 10 | Sell       |             | 200     | 70         | 9     | 0      | 30   | 20        | Accepted     | Low    |
| Account       | John Doe      | Account    | Richard Roe | Account | Richar     | d Roe |        |      |           | TRADES       |        |
| Type          | AWT           | Type       | AWT         | Type    | AWT        |       |        |      |           |              |        |
| Occupation    | qa            | Occupation | dev         | Occupat | ion dev    |       |        |      | Amount    |              | Fee    |
|               |               |            |             |         |            |       |        |      | 550       |              | 31     |
| Account       | John Doe      | Account    | John Smith  | Account |            | d Roe |        |      | 862       |              | 26     |
| Type          | RZQ           | Туре       | AWT         | Type    | AWT        |       |        |      | 878       |              | 99     |
| Occupation    | dev           | Occupation | dev         | Occupat | ion qa     |       |        |      | 452       |              | 18     |
|               |               |            |             |         |            |       |        |      | 788       |              | 65     |
| Account       | Richard Roe   | Account    | John Doe    | Account |            | Smith |        |      | 486       |              | 10     |
| Туре          | AWT           | Туре       | RZQ         | Type    | OQV        |       |        |      | 300       |              | 110    |
| Occupation    | dev           | Occupation | qa          | Occupat | ion qa     |       |        |      | 464       |              | 88     |
|               |               |            |             |         |            |       |        |      | 805       |              | 11     |
| Account       | John Doe      | Account    | John Doe    | Account |            | Ooe   |        |      | 478       |              | 103    |
| Type          | RZQ           | Type       | OQV         | Type    | AWT        |       |        |      | 73        |              | 102    |
| Occupation    | dev           | Occupation | dev         | Occupat | ion qa     |       |        |      | 542       |              | 0      |
|               |               |            |             |         |            |       |        |      | 169       |              | 62     |

| Amount | Fee |
|--------|-----|
| 666    | 60  |
| 871    | 11  |
| 230    | 49  |
| 973    | 31  |
| 665    | 30  |
| 691    | 101 |
| 342    | 68  |
| 958    | 69  |
| 513    | 91  |
| 868    | 32  |
| 551    | 6   |
| 764    | 70  |
| 758    | 12  |
| 881    | 90  |
| 539    | 36  |
| 168    | 39  |
| 491    | 28  |
| 271    | 10  |
| 473    | 30  |
| 973    | 59  |
| 942    | 112 |
| 385    | 25  |
| 911    | 118 |
| 538    | 48  |
| 616    | 46  |
| 365    | 82  |
| 982    | 8   |
| 669    | 39  |
| 563    | 72  |
| 477    | 90  |
| 506    | 25  |
|        |     |

| Amount | Fee |
|--------|-----|
| 585    | 27  |
| 706    | 56  |

| Code       | Description  | Trade Type | Amount | Net Amount | Price | Quantity | Commision | Order Status | Risk   |
|------------|--------------|------------|--------|------------|-------|----------|-----------|--------------|--------|
| Region:Ari |              |            |        |            |       |          |           |              |        |
| Branch Nu  |              |            |        |            |       |          |           |              |        |
| Agent:Gerr | ry           |            |        |            |       |          |           |              |        |
| 7623       | Investment 1 | Buy        | 20     | 7          | 9     | 3        | 2         | Progress     | Medium |
| 1175       | Investment 2 | Sell       | 40     | 14         | 18    | 6        | 4         | Progress     | Low    |
| 1787       | Investment 3 | Buy        | 60     | 21         | 27    | 9        | 6         | Cancel       | Medium |

## **TRADES**

| Amount | Fee |
|--------|-----|
| 899    | 19  |
| 468    | 106 |
| 361    | 80  |
| 23     | 10  |
| 143    | 29  |
| 217    | 12  |
| 227    | 53  |
| 566    | 55  |
| 764    | 74  |
| 396    | 5   |
| 379    | 60  |
| 45     | 70  |
| 137    | 115 |
| 275    | 25  |
| 971    | 85  |
| 828    | 33  |
| 481    | 52  |
| 837    | 114 |
| 52     | 111 |
| 595    | 30  |

| Amount | Fee |
|--------|-----|
| 901    | 107 |
| 445    | 113 |
| 906    | 70  |
| 532    | 69  |
| 891    | 9   |
| 676    | 35  |
| 195    | 119 |
| 821    | 39  |
| 466    | 37  |
| 706    | 78  |
| 879    | 8   |
| 546    | 23  |
| 339    | 6   |
| 845    | 3   |
| 153    | 26  |
| 166    | 50  |
| 977    | 0   |
| 407    | 35  |
| 899    | 16  |
| 923    | 112 |
| 201    | 90  |
| 68     | 52  |
| 934    | 55  |
| 628    | 114 |
| 962    | 104 |
| 545    | 115 |

| Code          | Description  | Trade <sup>*</sup> | Туре д      | mount   | Net Amount | Pric    | се | Quantity | Commision | Order Status | Risk   |
|---------------|--------------|--------------------|-------------|---------|------------|---------|----|----------|-----------|--------------|--------|
| Region:Califo | rnia         |                    |             |         |            |         |    |          |           |              |        |
| Branch Numb   |              |                    |             |         |            |         |    |          |           |              |        |
| Agent:Adelina | 1            |                    |             |         |            |         |    |          |           |              |        |
| 2350          | Investment 1 | Buy                |             | 20      | 7          |         | 9  | 3        | 2         | Accepted     | Low    |
| 2818          | Investment 2 | Sell               |             | 40      | 14         | 1       | 18 | 6        | 4         | Accepted     | Medium |
| 6192          | Investment 3 | Sell               |             | 60      | 21         |         | 27 | 9        | 6         | Cancel       | High   |
| 9939          | Investment 4 | Buy                |             | 80      | 28         |         | 36 | 12       | 8         | Cancel       | Medium |
| 1616          | Investment 5 | Sell               |             | 100     | 35         |         | 45 | 15       | 10        | Cancel       | Low    |
| 9311          | Investment 6 | Sell               |             | 120     | 42         |         | 54 | 18       | 12        | Cancel       | Low    |
| 5421          | Investment 7 | Buy                |             | 140     | 49         | (       | 63 | 21       | 14        | Cancel       | Medium |
| 9833          | Investment 8 | Buy                |             | 160     | 56         | 7       | 72 | 24       | 16        | Accepted     | Low    |
| Account       | Richard Roe  | Account            | Richard Roe | Account | John       | Doe     |    |          |           | TRADES       |        |
| Туре          | RZQ          | Type               | RZQ         | Туре    | OQV        |         |    |          |           |              |        |
| Occupation    | dev          | Occupation         | manager     | Occupat | ion dev    |         |    |          | Amount    |              | Fee    |
|               |              |                    |             |         |            |         |    |          | 888       |              | 19     |
| Account       | Richard Roe  | Account            | John Smith  | Account | John       | Doe     |    |          | 547       |              | 64     |
| Type          | RZQ          | Type               | PWZ         | Type    | AWT        |         |    |          | 811       |              | 54     |
| Occupation    | qa           | Occupation         | manager     | Occupat | ion mana   | ager    |    |          | 431       |              | 110    |
|               |              |                    |             |         |            |         |    |          | 928       |              | 80     |
| Account       | John Doe     | Account            | John Smith  | Account |            | Doe     |    |          | 175       |              | 92     |
| Туре          | OQV          | Type               | OQV         | Type    | PWZ        |         |    |          | 565       |              | 114    |
| Occupation    | dev          | Occupation         | dev         | Occupat | ion dev    |         |    |          | 747       |              | 100    |
|               |              |                    |             |         |            |         |    |          | 353       |              | 42     |
| Account       | John Smith   | Account            | John Smith  | Account |            | ard Roe |    |          | 841       |              | 18     |
| Type          | RZQ          | Type               | AWT         | Type    | PWZ        |         |    |          | 322       |              | 69     |
| Occupation    | manager      | Occupation         | dev         | Occupat | ion qa     |         |    |          | 193       |              | 37     |
|               |              |                    |             |         |            |         |    |          | 731       |              | 57     |
|               |              |                    |             |         |            |         |    |          | 863       |              | 116    |
|               |              |                    |             |         |            |         |    |          | 298       |              | 44     |

| Account    | John Doe | Account    | John Smith | Account    | John Doe   |
|------------|----------|------------|------------|------------|------------|
| Туре       | PWZ      | Туре       | OQV        | Туре       | OQV        |
| Occupation | manager  | Occupation | qa         | Occupation | manager    |
|            |          |            |            |            |            |
| Account    | John Doe | Account    | John Doe   | Account    | John Smith |
| Туре       | OQV      | Туре       | PWZ        | Туре       | PWZ        |
| Occupation | manager  | Occupation | dev        | Occupation | dev        |
|            |          |            |            |            |            |
| Account    | John Doe | Account    | John Doe   | Account    | John Smith |
| Type       | OQV      | Туре       | PWZ        | Туре       | RZQ        |
| Occupation | qa       | Occupation | dev        | Occupation | dev        |
|            |          |            |            |            |            |
| Account    | John Doe |            |            |            |            |
| Туре       | AWT      |            |            |            |            |

Occupation

manager

| Amount | Fee |
|--------|-----|
| 823    | 90  |
| 87     | 117 |
| 195    | 55  |
| 648    | 13  |
| 96     | 53  |
| 889    | 25  |
| 759    | 44  |
| 73     | 79  |
| 927    | 50  |
| 224    | 107 |
| 15     | 107 |
| 933    | 5   |
| 297    | 64  |
| 956    | 48  |
| 730    | 7   |
| 780    | 1   |
| 383    | 119 |
| 911    | 66  |
| 897    | 39  |
| 202    | 106 |
| 809    | 26  |
| 956    | 115 |
| 686    | 40  |
| 164    | 16  |
| 963    | 60  |
| 219    | 73  |
| 462    | 45  |
| 640    | 100 |
| 59     | 76  |
| 938    | 58  |
| 239    | 89  |

| Amount | Fee |
|--------|-----|
| 656    | 27  |
| 672    | 114 |
| 709    | 23  |
| 922    | 114 |
| 903    | 58  |
| 524    | 1   |
| 158    | 50  |
| 993    | 37  |
| 994    | 80  |
| 571    | 53  |
| 109    | 57  |
| 722    | 22  |
| 927    | 56  |
| 969    | 36  |
| 72     | 74  |
| 689    | 15  |
| 409    | 46  |
| 831    | 23  |
| 915    | 23  |
| 489    | 37  |
| 169    | 47  |
| 383    | 47  |
| 394    | 17  |
| 292    | 64  |

| Code  | Description       | Trade           | Туре д            | mount Ne        | et Amount      | Price      | Quantity | Commision  | Order Status | Risk     |
|---|-------------------|-----------------|-------------------|-----------------|----------------|------------|----------|------------|--------------|----------|
| Region:Monta<br>Branch Numb<br>Agent:Juliet |                   |                 |                   |                 |                |            |          |            |              |          |
| 6185  | Investment 1      | Sell            |                   | 20              | 7              | 9          | 3        | 2          | Cancel       | Low      |
| 3010  | Investment 2      | Buy             |                   | 40              | 14             | 18         | 6        | 4          | Cancel       | Medium   |
| 6693  | Investment 3      | Sell            |                   | 60              | 21             | 27         | 9        | 6          | Accepted     | Medium   |
| Account<br>Type                             | John Smith<br>OQV | Account<br>Type | John Smith<br>RZQ | Account<br>Type | John Si<br>AWT | mith       |          |            | TRADES       |          |
| Occupation                                  | manager           | Occupation      | manager           | Occupatio       | n qa           |            |          | Amount     |              | Fee      |
|   |                   |                 |                   |                 |                |            |          | 491        |              | 26       |
| Account                                     | Richard Roe       | Account         | Richard Roe       | Account         | John D         | oe         |          | 591        |              | 69       |
| Туре  | PWZ               | Type            | OQV               | Type            | AWT            |            |          | 913        |              | 102      |
| Occupation                                  | manager           | Occupation      | qa                | Occupatio       | n dev          |            |          | 400        |              | 82       |
|   |                   |                 |                   |                 |                |            |          | 255        |              | 58       |
| Account                                     | Richard Roe       | Account         | Richard Roe       | Account         | John D         | oe         |          | 563        |              | 67       |
| Type  | PWZ               | Type            | OQV               | Туре            | OQV            |            |          | 467        |              | 61       |
| Occupation                                  | manager           | Occupation      | qa                | Occupatio       | n qa           |            |          | 789        |              | 3        |
| Account                                     | Richard Roe       | Account         | John Doe          | Account         | John Si        | mith       |          | 831<br>458 |              | 83<br>53 |
| Type  | OQV               | Type            | PWZ               | Type            | AWT            | HILH       |          | 155        |              | 119      |
| Occupation                                  | dev               | Occupation      | qa                | Occupatio       |                | or .       |          | 316        |              | 84       |
| occupation                                  | uc v              | occupation      | qu                | Occupatio       | ii iiiaiiag    | <b>.</b> 1 |          | 625        |              | 0        |
|   |                   |                 |                   |                 |                |            |          | 943        |              | 6        |
|   |                   |                 |                   |                 |                |            |          | 858        |              | 93       |
|   |                   |                 |                   |                 |                |            |          | 40         |              | 62       |
|   |                   |                 |                   |                 |                |            |          | 534        |              | 85       |
|   |                   |                 |                   |                 |                |            |          | 243        |              | 60       |
|   |                   |                 |                   |                 |                |            |          | 713        |              | 119      |
|   |                   |                 |                   |                 |                |            |          | 435        |              | 20       |

| Amount | Fee |
|--------|-----|
| 313    | 27  |
| 316    | 88  |
| 267    | 84  |
| 660    | 74  |
| 221    | 51  |
| 624    | 1   |
| 14     | 49  |
| 700    | 39  |
| 898    | 48  |
| 418    | 46  |
| 18     | 71  |
| 140    | 93  |
| 896    | 8   |
| 412    | 35  |
| 135    | 95  |
| 888    | 118 |
| 561    | 33  |
| 859    | 119 |
| 355    | 86  |
| 222    | 70  |
| 155    | 77  |
| 70     | 86  |
| 90     | 75  |

| Code          | Description   | Trade      | Гуре Аі     | mount N    | et Amount | Pric  | e e | Quantity | Commision | Order Status | Risk   |
|---------------|---------------|------------|-------------|------------|-----------|-------|-----|----------|-----------|--------------|--------|
| Region:Colora |               |            |             |            |           |       |     |          |           |              |        |
| Branch Numb   | er:7          |            |             |            |           |       |     |          |           |              |        |
| Agent:Maia    |               |            |             |            |           |       |     |          |           |              |        |
| 4191          | Investment 1  | Sell       |             | 20         | 7         |       | 9   | 3        | 2         | Progress     | High   |
| 7525          | Investment 2  | Buy        |             | 40         | 14        | 1     | 8   | 6        | 4         | Accepted     | Medium |
| 958           | Investment 3  | Buy        |             | 60         | 21        | 2     | 27  | 9        | 6         | Progress     | Medium |
| 4297          | Investment 4  | Buy        |             | 80         | 28        | 3     | 6   | 12       | 8         | Cancel       | High   |
| 7180          | Investment 5  | Buy        |             | 100        | 35        | 4     | 5   | 15       | 10        | Accepted     | High   |
| 400           | Investment 6  | Buy        |             | 120        | 42        | 5     | 54  | 18       | 12        | Cancel       | Low    |
| 9447          | Investment 7  | Buy        |             | 140        | 49        | 6     | 3   | 21       | 14        | Accepted     | Low    |
| 1420          | Investment 8  | Buy        |             | 160        | 56        | 7     | '2  | 24       | 16        | Progress     | Low    |
| 3054          | Investment 9  | Buy        |             | 180        | 63        | 8     | 81  | 27       | 18        | Cancel       | High   |
| 4176          | Investment 10 | Sell       |             | 200        | 70        | 9     | 0   | 30       | 20        | Cancel       | Medium |
| 1949          | Investment 11 | Buy        |             | 220        | 77        | 9     | 19  | 33       | 22        | Accepted     | High   |
| 1444          | Investment 12 | Buy        |             | 240        | 84        | 10    | 8   | 36       | 24        | Cancel       | Low    |
| 1746          | Investment 13 | Sell       |             | 260        | 91        | 11    | 7   | 39       | 26        | Accepted     | High   |
| Account       | Richard Roe   | Account    | Richard Roe | Account    | John      | Smith |     |          |           | TRADES       |        |
| Type          | OQV           | Type       | AWT         | Type       | AWT       |       |     |          |           |              |        |
| Occupation    | dev           | Occupation | manager     | Occupation | on dev    |       |     |          | Amount    |              | Fee    |
|               |               |            |             |            |           |       |     |          | 478       |              | 25     |
| Account       | John Doe      | Account    | John Doe    | Account    | John      | Smith |     |          | 932       |              | 97     |
| Type          | PWZ           | Type       | OQV         | Type       | OQV       |       |     |          | 57        |              | 5      |
| Occupation    | qa            | Occupation | qa          | Occupation | on qa     |       |     |          | 698       |              | 76     |
|               |               |            |             |            |           |       |     |          | 255       |              | 25     |
| Account       | John Doe      | Account    | John Doe    | Account    | John      | Smith |     |          | 949       |              | 14     |
| Туре          | PWZ           | Type       | AWT         | Type       | PWZ       |       |     |          | 964       |              | 58     |
| Occupation    | dev           | Occupation | qa          | Occupation | on qa     |       |     |          | 928       |              | 112    |
|               |               |            |             |            |           |       |     |          | 641       |              | 9      |
|               |               |            |             |            |           |       |     |          | 83        |              | 114    |

| Account    | John Doe    | Account    | John Smith | Account    | John Smith |
|------------|-------------|------------|------------|------------|------------|
| Type       | AWT         | Туре       | AWT        | Туре       | PWZ        |
| Occupation | qa          | Occupation | manager    | Occupation | dev        |
|            |             |            |            |            |            |
| Account    | Richard Roe | Account    | John Doe   | Account    | John Smith |
| Туре       | OQV         | Type       | PWZ        | Type       | PWZ        |
| Occupation | qa          | Occupation | qa         | Occupation | dev        |
|            |             |            |            |            |            |
| Account    | Richard Roe |            |            |            |            |
| Туре       | AWT         |            |            |            |            |
| Occupation | manager     |            |            |            |            |
| -          |             |            |            |            |            |

| Amount | Fee |
|--------|-----|
| 331    | 32  |
| 872    | 71  |
| 226    | 60  |
| 664    | 98  |
| 646    | 74  |
| 31     | 35  |
| 252    | 80  |
| 486    | 33  |
| 862    | 65  |
| 983    | 14  |
| 705    | 91  |
| 266    | 90  |
| 432    | 81  |
| 174    | 77  |
| 86     | 32  |
| 548    | 36  |
| 672    | 33  |
| 413    | 54  |
| 816    | 50  |
| 76     | 4   |
| 606    | 17  |
| 238    | 92  |
| 593    | 22  |
| 198    | 73  |
| 499    | 3   |
| 173    | 32  |
| 859    | 10  |
| 398    | 96  |
| 228    | 92  |
| 768    | 119 |
| 499    | 98  |

| Amount | Fee |
|--------|-----|
| 988    | 6   |
| 310    | 65  |
| 663    | 0   |
| 47     | 23  |
| 329    | 100 |
| 320    | 20  |
| 467    | 60  |
| 336    | 24  |
| 896    | 66  |
| 883    | 87  |
| 858    | 78  |
| 832    | 59  |
| 477    | 118 |
| 284    | 6   |
| 865    | 67  |
| 501    | 9   |
| 785    | 19  |
| 65     | 14  |
| 464    | 25  |
| 836    | 15  |
| 371    | 93  |
| 191    | 50  |
| 33     | 9   |
| 294    | 66  |
| 728    | 113 |
| 146    | 58  |
| 913    | 61  |
| 277    | 16  |

| Code          | Description  | Trade      | Туре        | Amount | Net Amount | Pr        | ice | Quantity | Commision | Order Status | Risk   |
|---------------|--------------|------------|-------------|--------|------------|-----------|-----|----------|-----------|--------------|--------|
| Region:Florid |              |            |             |        |            |           |     |          |           |              |        |
| Branch Numb   | er:11        |            |             |        |            |           |     |          |           |              |        |
| Agent:Phil    |              |            |             |        |            |           |     |          |           |              |        |
| 3109          | Investment 1 | Buy        |             | 20     | 7          |           | 9   | 3        | 2         | Accepted     | Medium |
| 1165          | Investment 2 | Buy        |             | 40     | 14         |           | 18  | 6        | 4         | Progress     | High   |
| 1123          | Investment 3 | Sell       |             | 60     | 21         |           | 27  | 9        | 6         | Progress     | High   |
| 2549          | Investment 4 | Sell       |             | 80     | 28         |           | 36  | 12       | 8         | Accepted     | High   |
| Account       | Richard Roe  | Account    | John Smith  | Accou  | nt Ri      | chard Roe |     |          |           | TRADES       |        |
| Туре          | OQV          | Туре       | RZQ         | Type   | P          | NZ        |     |          |           |              |        |
| Occupation    | manager      | Occupation | manager     | Occup  | ation m    | anager    |     |          | Amount    |              | Fee    |
|               |              |            |             |        |            |           |     |          | 333       |              | 30     |
| Account       | Richard Roe  | Account    | John Smith  | Accou  | nt Ri      | chard Roe |     |          | 792       |              | 102    |
| Туре          | AWT          | Туре       | PWZ         | Type   | P          | NZ        |     |          | 811       |              | 66     |
| Occupation    | dev          | Occupation | qa          | Occup  | ation de   | ev        |     |          | 506       |              | 104    |
|               |              |            |             |        |            |           |     |          | 4         |              | 47     |
| Account       | John Doe     | Account    | John Doe    | Accou  | nt Jo      | hn Doe    |     |          | 695       |              | 65     |
| Туре          | AWT          | Туре       | AWT         | Type   | P          | NZ        |     |          | 293       |              | 37     |
| Occupation    | manager      | Occupation | qa          | Occup  | ation m    | anager    |     |          | 956       |              | 90     |
|               |              |            |             |        |            |           |     |          | 52        |              | 11     |
| Account       | Richard Roe  | Account    | John Doe    | Accou  | nt Jo      | hn Smith  |     |          | 709       |              | 15     |
| Туре          | RZQ          | Туре       | RZQ         | Type   | 0          | QV        |     |          | 190       |              | 93     |
| Occupation    | qa           | Occupation | dev         | Occup  | ation m    | anager    |     |          | 152       |              | 96     |
|               |              |            |             |        |            |           |     |          | 492       |              | 100    |
| Account       | Richard Roe  | Account    | Richard Roe | Accou  | nt Ri      | chard Roe |     |          | 837       |              | 61     |
| Туре          | PWZ          | Туре       | OQV         | Type   | 0          | QV        |     |          | 225       |              | 28     |
| Occupation    | manager      | Occupation | dev         | Occup  | ation qa   | a         |     |          | 709       |              | 6      |
|               |              |            |             |        |            |           |     |          | 667       |              | 63     |
|               |              |            |             |        |            |           |     |          | 427       |              | 80     |
|               |              |            |             |        |            |           |     |          | 515       |              | 102    |

| Account    | Richard Roe | Account    | John Smith | Account    | Richard Roe |
|------------|-------------|------------|------------|------------|-------------|
| Type       | RZQ         | Type       | PWZ        | Type       | RZQ         |
| Occupation | dev         | Occupation | qa         | Occupation | manager     |
|            |             |            |            |            |             |
| Account    | John Doe    | Account    | John Doe   | Account    | John Smith  |
| Type       | RZQ         | Type       | PWZ        | Type       | RZQ         |
| Occupation | dev         | Occupation | dev        | Occupation | qa          |
|            |             |            |            |            |             |
| Account    | Richard Roe | Account    | John Doe   | Account    | John Smith  |
| Type       | RZQ         | Type       | OQV        | Type       | AWT         |
| Occupation | qa          | Occupation | dev        | Occupation | manager     |
|            |             |            |            |            |             |
| Account    | John Smith  |            |            |            |             |
| Type       | AWT         |            |            |            |             |
| Occupation | qa          |            |            |            |             |

| Amount | Fee |
|--------|-----|
| 99     | 75  |
| 435    | 15  |
| 206    | 72  |
| 235    | 42  |
| 167    | 64  |
| 47     | 45  |
| 221    | 56  |
| 209    | 56  |
| 438    | 33  |
| 526    | 83  |

| Code          | Description   | Trade Ty   | pe Aı      | mount   | Net Amount      | Pric    | e Quantity | Commision | Order Status | Risk   |
|---------------|---------------|------------|------------|---------|-----------------|---------|------------|-----------|--------------|--------|
| Region:Califo | rnia          |            |            |         |                 |         |            |           |              |        |
| Branch Numb   | er:2          |            |            |         |                 |         |            |           |              |        |
| Agent:Adelina | 1             |            |            |         |                 |         |            |           |              |        |
| 8320          | Investment 1  | Buy        |            | 20      | 7               | 1       | 9 3        | 2         | Accepted     | Medium |
| 7323          | Investment 2  | Sell       |            | 40      | 14              | 1       | 3 6        | 4         | Accepted     | High   |
| 9646          | Investment 3  | Sell       |            | 60      | 21              | 2       | 7 9        | 6         | Accepted     | Low    |
| 7947          | Investment 4  | Buy        |            | 80      | 28              | 3       | 5 12       | 8         | Progress     | Low    |
| 6616          | Investment 5  | Buy        |            | 100     | 35              | 4       | 5 15       | 10        | Cancel       | High   |
| 5665          | Investment 6  | Buy        |            | 120     | 42              | 5       | 4 18       | 12        | Accepted     | High   |
| 2135          | Investment 7  | Sell       |            | 140     | 49              | 6       | 3 21       | 14        | Accepted     | High   |
| 6669          | Investment 8  | Sell       |            | 160     | 56              | 7       | 2 24       | 16        | Progress     | High   |
| 2837          | Investment 9  | Buy        |            | 180     | 63              | 8       | 1 27       | 18        | Cancel       | Low    |
| 6983          | Investment 10 | Sell       |            | 200     | 70              | 9       | 30         | 20        | Cancel       | Medium |
| 2642          | Investment 11 | Sell       |            | 220     | 77              | 9       | 9 33       | 22        | Progress     | High   |
| 5051          | Investment 12 | Sell       |            | 240     | 84              | 10      | 36         | 24        | Cancel       | High   |
| 4844          | Investment 13 | Buy        |            | 260     | 91              | 11      | 7 39       | 26        | Cancel       | High   |
| 8409          | Investment 14 | Buy        |            | 280     | 98              | 12      | 5 42       | 28        | Cancel       | High   |
| 4428          | Investment 15 | Sell       |            | 300     | 105             | 13      | 5 45       | 30        | Progress     | Low    |
| 7044          | Investment 16 | Sell       |            | 320     | 112             | 14      | 48         | 32        | Progress     | Low    |
| 7265          | Investment 17 | Sell       |            | 340     | 119             | 15      | 3 51       | 34        | Progress     | Low    |
| 9632          | Investment 18 | Sell       |            | 360     | 126             | 16      | 2 54       | 36        | Accepted     | Low    |
| 6506          | Investment 19 | Buy        |            | 380     | 133             | 17      | 1 57       | 38        | Cancel       | Low    |
| 5387          | Investment 20 | Buy        |            | 400     | 140             | 18      | 60         | 40        | Progress     | Medium |
| Account       | John Smith    | Account    | John Smith | Account | Joh             | n Smith |            |           | TRADES       |        |
| Type          | OQV           | Type       | RZQ        | Type    | AW <sup>-</sup> | Τ       |            |           |              |        |
| Occupation    | dev           | Occupation | manager    | Occupat | ion qa          |         |            | Amount    |              | Fee    |
|               |               |            |            |         |                 |         |            | 455       |              | 74     |
|               |               |            |            |         |                 |         |            | 122       |              | 13     |
|               |               |            |            |         |                 |         |            | 692       |              | 89     |

|            |             |            |             |            |             | Amount |
|------------|-------------|------------|-------------|------------|-------------|--------|
| Account    | John Doe    | Account    | John Doe    | Account    | Richard Roe | 7      |
| Туре       | OQV         | Туре       | OQV         | Type       | PWZ         | 409    |
| Occupation | qa          | Occupation | manager     | Occupation | dev         | 285    |
|            |             |            |             |            |             | 818    |
| Account    | Richard Roe | Account    | Richard Roe | Account    | Richard Roe | 946    |
| Туре       | AWT         | Туре       | OQV         | Type       | AWT         | 773    |
| Occupation | qa          | Occupation | qa          | Occupation | qa          | 777    |
|            |             |            |             |            |             | 946    |
| Account    | John Smith  | Account    | John Smith  | Account    | John Smith  | 524    |
| Туре       | RZQ         | Туре       | RZQ         | Type       | PWZ         | 515    |
| Occupation | dev         | Occupation | manager     | Occupation | dev         | 959    |
|            |             |            |             |            |             | 806    |

25

| Code  | Description  | Trade      | Гуре д      | mount  | Net Amount | Price | e Quantity | Commision | Order Status | Risk   |
|---|--------------|------------|-------------|--------|------------|-------|------------|-----------|--------------|--------|
| Region:Colora<br>Branch Numb<br>Agent:Adelina | er:1         |            |             |        |            |       |            |           |              |        |
| 5639  | Investment 1 | Buy        |             | 20     | 7          | Ć     | 9 3        | 2         | Cancel       | Low    |
| 8576  | Investment 2 | Sell       |             | 40     | 14         | 18    | 8 6        | 4         | Cancel       | Medium |
| 2728  | Investment 3 | Sell       |             | 60     | 21         | 2     | 7 9        | 6         | Cancel       | Low    |
| 7674  | Investment 4 | Buy        |             | 80     | 28         | 30    | 6 12       | 8         | Cancel       | Medium |
| 5351  | Investment 5 | Buy        |             | 100    | 35         | 4     |            |           | Cancel       | Low    |
| 9550  | Investment 6 | Sell       |             | 120    | 42         | 54    | 4 18       | 12        | Accepted     | Medium |
| Account                                       | Richard Roe  | Account    | Richard Roe | Accoun | t John S   | Smith |            |           | TRADES       |        |
| Туре  | RZQ          | Type       | OQV         | Type   | OQV        |       |            |           |              |        |
| Occupation                                    | qa           | Occupation | qa          | Occupa | tion manag | ger   |            | Amount    |              | Fee    |
|   |              |            |             |        |            |       |            | 378       |              | 4      |
| Account                                       | John Smith   | Account    | John Smith  | Accoun | t Richar   | d Roe |            | 574       |              | 115    |
| Type  | PWZ          | Type       | OQV         | Type   | PWZ        |       |            | 779       |              | 32     |
| Occupation                                    | qa           | Occupation | qa          | Occupa | tion qa    |       |            | 760       |              | 93     |
|   |              |            |             |        |            |       |            | 509       |              | 87     |
| Account                                       | John Doe     | Account    | John Doe    | Accoun | t John 🛭   | Ooe   |            | 531       |              | 22     |
| Type  | AWT          | Type       | RZQ         | Type   | OQV        |       |            | 690       |              | 81     |
| Occupation                                    | qa           | Occupation | manager     | Occupa | tion dev   |       |            | 610       |              | 76     |
|   |              |            |             |        |            |       |            | 11        |              | 58     |
| Account                                       | John Doe     | Account    | John Smith  | Accoun | t John S   | Smith |            | 201       |              | 1      |
| Type  | PWZ          | Type       | AWT         | Type   | PWZ        |       |            | 59        |              | 20     |
| Occupation                                    | dev          | Occupation | manager     | Occupa | tion manag | ger   |            | 918       |              | 56     |
|   |              |            |             |        |            |       |            | 103       |              | 36     |
| Account                                       | John Smith   | Account    | Richard Roe | Accoun |            | d Roe |            | 874       |              | 90     |
| Type  | RZQ          | Type       | OQV         | Type   | OQV        |       |            | 290       |              | 110    |
| Occupation                                    | dev          | Occupation | manager     | Occupa | tion manag | ger   |            | 14        |              | 97     |
|   |              |            |             |        |            |       |            | 997       |              | 24     |

| Account    | John Doe    | Account    | John Smith  | Account    | Richard Roe |
|------------|-------------|------------|-------------|------------|-------------|
| Туре       | PWZ         | Type       | OQV         | Туре       | PWZ         |
| Occupation | manager     | Occupation | dev         | Occupation | manager     |
|            |             |            |             |            |             |
| Account    | John Smith  | Account    | Richard Roe | Account    | John Smith  |
| Туре       | RZQ         | Туре       | PWZ         | Туре       | PWZ         |
| Occupation | dev         | Occupation | dev         | Occupation | dev         |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | John Doe    | Account    | John Doe    |
| Туре       | AWT         | Туре       | RZQ         | Туре       | OQV         |
| Occupation | qa          | Occupation | qa          | Occupation | dev         |
|            |             |            |             |            |             |
| Account    | John Smith  |            |             |            |             |
| Туре       | OQV         |            |             |            |             |
| Occupation | manager     |            |             |            |             |

| Amount | Fee |
|--------|-----|
| 848    | 25  |
| 203    | 73  |
| 557    | 22  |
| 27     | 100 |
| 560    | 110 |
| 335    | 21  |
| 361    | 19  |
| 473    | 22  |
| 25     | 61  |
| 260    | 102 |
| 401    | 42  |
| 664    | 119 |
| 634    | 67  |
| 600    | 58  |
| 815    | 28  |
| 910    | 114 |
| 198    | 103 |
| 583    | 1   |
| 126    | 95  |
| 576    | 115 |
| 539    | 84  |
| 719    | 101 |
| 92     | 87  |
| 255    | 41  |
| 422    | 59  |
| 915    | 33  |
| 369    | 22  |
| 915    | 78  |
| 40     | 35  |
| 556    | 100 |
| 886    | 38  |

| Amount | Fee |
|--------|-----|
| 810    | 3   |
| 196    | 59  |
| 809    | 53  |
| 855    | 11  |
| 529    | 15  |
| 366    | 107 |
| 408    | 46  |
| 609    | 83  |
| 841    | 103 |
| 180    | 32  |
| 658    | 90  |
| 363    | 119 |
| 43     | 12  |
| 168    | 47  |
| 474    | 112 |
| 225    | 57  |
| 188    | 114 |
| 44     | 71  |
| 406    | 48  |
| 340    | 22  |
| 913    | 108 |
| 997    | 57  |
| 900    | 114 |
| 666    | 59  |
| 908    | 51  |

| Code         | Description  | Trade      | Туре       | Amount N  | let Amount | Price  | Quantity | Commision | Order Status | Risk |
|--------------|--------------|------------|------------|-----------|------------|--------|----------|-----------|--------------|------|
| Region:Alaba |              |            |            |           |            |        |          |           |              |      |
| Branch Numb  | er:15        |            |            |           |            |        |          |           |              |      |
| Agent:Phil   |              |            |            |           |            |        |          |           |              |      |
| 6586         | Investment 1 | Sell       |            | 20        | 7          | 9      | 3        | 2         | Cancel       | High |
| Account      | John Doe     | Account    | John Doe   | Account   | John [     | Ooe    |          |           | TRADES       |      |
| Туре         | RZQ          | Type       | PWZ        | Type      | RZQ        |        |          |           |              |      |
| Occupation   | manager      | Occupation | qa         | Occupati  | on dev     |        |          | Amount    |              | Fee  |
|              |              |            |            |           |            |        |          | 617       |              | 35   |
| Account      | John Smith   | Account    | John Doe   | Account   | John S     | Smith  |          | 48        |              | 29   |
| Type         | OQV          | Type       | OQV        | Type      | OQV        |        |          | 777       |              | 6    |
| Occupation   | dev          | Occupation | manager    | Occupati  | on dev     |        |          | 288       |              | 8    |
|              |              |            |            |           |            |        |          | 828       |              | 25   |
| Account      | John Doe     | Account    | John Smith | Account   | Richar     | rd Roe |          | 170       |              | 119  |
| Type         | OQV          | Type       | PWZ        | Type      | AWT        |        |          | 305       |              | 34   |
| Occupation   | dev          | Occupation | qa         | Occupati  | on dev     |        |          | 780       |              | 67   |
|              |              |            |            |           |            |        |          | 639       |              | 19   |
| Account      | Richard Roe  | Account    | Richard Ro | e Account | John S     | Smith  |          | 203       |              | 61   |
| Type         | OQV          | Type       | PWZ        | Type      | OQV        |        |          | 874       |              | 76   |
| Occupation   | manager      | Occupation | dev        | Occupati  | on manag   | ger    |          | 615       |              | 9    |
|              |              |            |            |           |            |        |          | 858       |              | 11   |
| Account      | John Doe     | Account    | John Doe   |           |            |        |          | 344       |              | 57   |
| Туре         | PWZ          | Туре       | OQV        |           |            |        |          | 604       |              | 26   |
| Occupation   | manager      | Occupation | qa         |           |            |        |          | 78        |              | 82   |
|              |              |            |            |           |            |        |          | 346       |              | 53   |
|              |              |            |            |           |            |        |          | 854       |              | 32   |
|              |              |            |            |           |            |        |          | 78        |              | 118  |
|              |              |            |            |           |            |        |          | 200       |              | 89   |
|              |              |            |            |           |            |        |          | 413       |              | 23   |
|              |              |            |            |           |            |        |          | 221       |              | 8    |

| Amount | Fee |
|--------|-----|
| 342    | 115 |
| 862    | 88  |
| 369    | 98  |
| 544    | 58  |
| 676    | 104 |
| 700    | 22  |
| 689    | 16  |
| 75     | 106 |
| 11     | 90  |
| 166    | 10  |
| 471    | 78  |
| 683    | 68  |
| 776    | 11  |
| 835    | 46  |
| 811    | 105 |
| 433    | 103 |
| 81     | 103 |
| 349    | 46  |
| 970    | 106 |
| 310    | 67  |

| Code          | Description  | Trade <sup>-</sup> | Гуре д      | Amount | Net Amount      | Pri           | ce | Quantity | Commision | Order Status | Risk   |
|---------------|--------------|--------------------|-------------|--------|-----------------|---------------|----|----------|-----------|--------------|--------|
| Region:Colora | ado          |                    |             |        |                 |               |    |          |           |              |        |
| Branch Numb   | er:2         |                    |             |        |                 |               |    |          |           |              |        |
| Agent:Aaren   |              |                    |             |        |                 |               |    |          |           |              |        |
| 369           | Investment 1 | Sell               |             | 20     | 7               |               | 9  | 3        | 2         | Progress     | High   |
| 5111          | Investment 2 | Buy                |             | 40     | 14              |               | 18 | 6        | 4         | Accepted     | High   |
| 7269          | Investment 3 | Buy                |             | 60     | 21              |               | 27 | 9        | 6         | Accepted     | Low    |
| 6325          | Investment 4 | Buy                |             | 80     | 28              |               | 36 | 12       | 8         | Cancel       | Medium |
| 6614          | Investment 5 | Sell               |             | 100    | 35              |               | 45 | 15       | 10        | Progress     | High   |
| Account       | Richard Roe  | Account            | John Doe    | Accou  | nt Rich         | ard Roe       |    |          |           | TRADES       |        |
| Type          | AWT          | Туре               | PWZ         | Type   | PWZ             | •<br>-        |    |          |           |              |        |
| Occupation    | dev          | Occupation         | dev         | Occup  | ation qa        |               |    |          | Amount    |              | Fee    |
|               |              |                    |             |        |                 |               |    |          | 831       |              | 99     |
| Account       | John Doe     | Account            | Richard Roe | Accou  | nt Joh          | n Smith       |    |          | 985       |              | 75     |
| Type          | OQV          | Туре               | RZQ         | Type   | OQV             | ,             |    |          | 121       |              | 54     |
| Occupation    | dev          | Occupation         | qa          | Occup  | ation dev       |               |    |          | 130       |              | 94     |
|               |              |                    |             |        |                 |               |    |          | 506       |              | 53     |
| Account       | John Doe     | Account            | Richard Roe | Accou  | nt Joh          | n Doe         |    |          | 854       |              | 29     |
| Type          | PWZ          | Type               | AWT         | Type   | PWZ             | <u>,</u><br>- |    |          | 675       |              | 3      |
| Occupation    | dev          | Occupation         | dev         | Occup  | ation dev       |               |    |          | 730       |              | 71     |
|               |              |                    |             |        |                 |               |    |          | 308       |              | 4      |
| Account       | John Smith   | Account            | Richard Roe | Accou  | nt Joh          | n Doe         |    |          | 465       |              | 6      |
| Type          | PWZ          | Type               | RZQ         | Type   | AW <sup>-</sup> | _             |    |          | 979       |              | 44     |
| Occupation    | dev          | Occupation         | qa          | Occup  | ation qa        |               |    |          | 767       |              | 61     |
|               |              |                    |             |        |                 |               |    |          | 787       |              | 21     |
| Account       | Richard Roe  | Account            | John Doe    | Accou  | nt Joh          | n Smith       |    |          | 834       |              | 77     |
| Type          | OQV          | Type               | OQV         | Type   | RZC             |               |    |          | 81        |              | 20     |
| Occupation    | manager      | Occupation         | manager     | Occup  | ation mar       | ager          |    |          | 665       |              | 91     |
|               |              |                    |             |        |                 |               |    |          | 160       |              | 1      |
|               |              |                    |             |        |                 |               |    |          | 101       |              | 26     |

| Account    | John Smith  | Account    | John Doe    | Account    | John Doe   |
|------------|-------------|------------|-------------|------------|------------|
| Type       | AWT         | Type       | OQV         | Type       | OQV        |
| Occupation | manager     | Occupation | qa          | Occupation | dev        |
|            |             |            |             |            |            |
| Account    | Richard Roe | Account    | Richard Roe | Account    | John Smith |
| Туре       | PWZ         | Type       | OQV         | Type       | OQV        |
| Occupation | qa          | Occupation | manager     | Occupation | qa         |
|            |             |            |             |            |            |
| Account    | John Doe    |            |             |            |            |
| Type       | PWZ         |            |             |            |            |
| Occupation | qa          |            |             |            |            |

| Amount | Fee |
|--------|-----|
| 172    | 26  |
| 180    | 17  |
| 235    | 43  |
| 452    | 57  |
| 384    | 11  |
| 76     | 22  |

| Code  | Description       | Trade <sup>-</sup> | Гуре ,             | Amount        | Net Amount | Pr             | ice | Quantity | Commision | Order Status | Risk |
|---|-------------------|--------------------|--------------------|---------------|------------|----------------|-----|----------|-----------|--------------|------|
| Region:Florid<br>Branch Numb<br>Agent:Gilda |                   |                    |                    |               |            |                |     |          |           |              |      |
| 4765  | Investment 1      | Sell               |                    | 20            | 7          |                | 9   | 3        | 2         | Accepted     | High |
| 2858  | Investment 2      | Buy                |                    | 40            | 14         |                | 18  | 6        | 4         | Progress     | Low  |
| 6203  | Investment 3      | Sell               |                    | 60            | 21         |                | 27  | 9        | 6         | Cancel       | High |
| 3112  | Investment 4      | Buy                |                    | 80            | 28         |                | 36  | 12       | 8         | Progress     | Low  |
| Account<br>Type                             | John Smith<br>PWZ | Account<br>Type    | Richard Roe<br>OQV | Accou<br>Type | nt Rio     | chard Roe<br>Q |     |          |           | TRADES       |      |
| Occupation                                  | qa                | Occupation         | qa                 | Occup         | ation de   | <b>/</b>       |     |          | Amount    |              | Fee  |
|   |                   |                    |                    |               |            |                |     |          | 168       |              | 100  |
| Account                                     | John Doe          | Account            | John Smith         | Accou         | nt Jo      | nn Smith       |     |          | 584       |              | 75   |
| Type  | OQV               | Туре               | PWZ                | Type          | OC         | V              |     |          | 589       |              | 101  |
| Occupation                                  | qa                | Occupation         | qa                 | Occup         | ation de   | /              |     |          | 443       |              | 28   |
|   |                   |                    |                    |               |            |                |     |          | 676       |              | 33   |
| Account                                     | Richard Roe       | Account            | John Smith         | Accou         | nt Jo      | nn Smith       |     |          | 506       |              | 22   |
| Type  | PWZ               | Туре               | RZQ                | Type          | PV         | IZ             |     |          | 581       |              | 39   |
| Occupation                                  | manager           | Occupation         | manager            | Occup         | ation de   | /              |     |          | 687       |              | 98   |
|   |                   |                    |                    |               |            |                |     |          | 387       |              | 33   |
| Account                                     | Richard Roe       | Account            | John Smith         | Accou         | nt Jo      | hn Smith       |     |          | 627       |              | 100  |
| Type  | RZQ               | Туре               | OQV                | Type          | OC         | V              |     |          | 588       |              | 19   |
| Occupation                                  | qa                | Occupation         | dev                | Occup         | ation qa   |                |     |          | 46        |              | 99   |
|   |                   |                    |                    |               |            |                |     |          | 351       |              | 102  |
|   |                   |                    |                    |               |            |                |     |          | 318       |              | 51   |
|   |                   |                    |                    |               |            |                |     |          | 565       |              | 64   |
|   |                   |                    |                    |               |            |                |     |          | 315       |              | 97   |
|   |                   |                    |                    |               |            |                |     |          | 285       |              | 50   |
|   |                   |                    |                    |               |            |                |     |          | 43        |              | 42   |
|   |                   |                    |                    |               |            |                |     |          | 899       |              | 14   |

| Amount | Fee |
|--------|-----|
| 617    | 89  |
| 195    | 90  |
| 159    | 91  |
| 599    | 29  |
| 309    | 64  |
| 897    | 45  |
| 346    | 56  |
| 842    | 59  |
| 79     | 39  |
| 440    | 44  |
| 307    | 103 |
| 566    | 108 |
| 969    | 16  |
| 869    | 25  |
| 30     | 23  |
| 64     | 50  |
| 694    | 8   |
| 766    | 74  |
| 518    | 9   |
| 585    | 20  |
| 124    | 29  |
| 771    | 12  |
| 610    | 42  |
| 496    | 0   |
| 874    | 40  |
| 422    | 2   |
| 459    | 22  |
| 641    | 27  |
| 290    | 90  |
| 299    | 5   |
| 252    | 116 |

| Amount | Fee |
|--------|-----|
| 824    | 116 |
| 279    | 47  |
| 848    | 35  |
| 281    | 30  |
| 502    | 23  |
| 864    | 31  |
| 789    | 18  |

| Code               | Description   | Trade T    | ype Aı      | mount Ne  | et Amount | Pric | се | Quantity | Commision | Order Status | Risk   |
|--------------------|---------------|------------|-------------|-----------|-----------|------|----|----------|-----------|--------------|--------|
| Region:Mont        | ana           |            |             |           |           |      |    |          |           |              |        |
| <b>Branch Numb</b> | per:11        |            |             |           |           |      |    |          |           |              |        |
| Agent:Aaren        |               |            |             |           |           |      |    |          |           |              |        |
| 7204               | Investment 1  | Buy        |             | 20        | 7         |      | 9  | 3        | 2         | Accepted     | Medium |
| 4783               | Investment 2  | Sell       |             | 40        | 14        | 1    | 18 | 6        | 4         | Progress     | Medium |
| 5357               | Investment 3  | Sell       |             | 60        | 21        | 2    | 27 | 9        | 6         | Cancel       | Medium |
| 1735               | Investment 4  | Sell       |             | 80        | 28        | 3    | 36 | 12       | 8         | Progress     | Low    |
| 4657               | Investment 5  | Buy        |             | 100       | 35        | 4    | 45 | 15       | 10        | Accepted     | Medium |
| 2908               | Investment 6  | Buy        |             | 120       | 42        | Ę    | 54 | 18       | 12        | Accepted     | High   |
| 4540               | Investment 7  | Sell       |             | 140       | 49        | (    | 63 | 21       | 14        | Accepted     | High   |
| 70                 | Investment 8  | Sell       |             | 160       | 56        | 7    | 72 | 24       | 16        | Accepted     | Low    |
| 9930               | Investment 9  | Sell       |             | 180       | 63        | 8    | 81 | 27       | 18        | Progress     | High   |
| 8020               | Investment 10 | Sell       |             | 200       | 70        | Ç    | 90 | 30       | 20        | Accepted     | Low    |
| 7298               | Investment 11 | Buy        |             | 220       | 77        | Ç    | 99 | 33       | 22        | Accepted     | Medium |
| 718                | Investment 12 | Sell       |             | 240       | 84        | 10   | 08 | 36       | 24        | Accepted     | Medium |
| 5481               | Investment 13 | Sell       |             | 260       | 91        | 11   | 17 | 39       | 26        | Progress     | Medium |
| 187                | Investment 14 | Sell       |             | 280       | 98        | 12   | 26 | 42       | 28        | Cancel       | High   |
| 2969               | Investment 15 | Buy        |             | 300       | 105       | 13   | 35 | 45       | 30        | Accepted     | Medium |
| Account            | John Smith    | Account    | Richard Roe | Account   | John D    | oe   |    |          |           | TRADES       |        |
| Туре               | PWZ           | Type       | OQV         | Type      | OQV       |      |    |          |           |              |        |
| Occupation         | qa            | Occupation | manager     | Occupatio | n dev     |      |    |          | Amount    |              | Fee    |
|                    |               |            |             |           |           |      |    |          | 860       |              | 108    |
| Account            | John Smith    | Account    | John Doe    | Account   | John D    | oe   |    |          | 631       |              | 25     |
| Type               | PWZ           | Type       | PWZ         | Type      | AWT       |      |    |          | 517       |              | 47     |
| Occupation         | dev           | Occupation | manager     | Occupatio | n dev     |      |    |          | 747       |              | 112    |
|                    |               |            |             |           |           |      |    |          | 714       |              | 93     |
|                    |               |            |             |           |           |      |    |          | 355       |              | 80     |
|                    |               |            |             |           |           |      |    |          | 948       |              | 49     |
|                    |               |            |             |           |           |      |    |          | 965       |              | 55     |

| Account    | Richard Roe | Account    | John Smith  | Account    | John Smith |
|------------|-------------|------------|-------------|------------|------------|
| Type       | PWZ         | Type       | PWZ         | Type       | PWZ        |
| Occupation | qa          | Occupation | qa          | Occupation | qa         |
|            |             |            |             |            |            |
| Account    | John Smith  | Account    | John Smith  | Account    | John Doe   |
| Туре       | AWT         | Type       | AWT         | Type       | OQV        |
| Occupation | qa          | Occupation | manager     | Occupation | manager    |
|            |             |            |             |            |            |
| Account    | Richard Roe | Account    | John Smith  | Account    | John Doe   |
| Type       | AWT         | Type       | PWZ         | Type       | PWZ        |
| Occupation | qa          | Occupation | manager     | Occupation | qa         |
|            |             |            |             |            |            |
| Account    | John Doe    | Account    | Richard Roe | Account    | John Smith |
| Type       | RZQ         | Type       | PWZ         | Type       | RZQ        |
| Occupation | manager     | Occupation | manager     | Occupation | dev        |
|            |             |            |             |            |            |
| Account    | Richard Roe | Account    | John Smith  | Account    | John Doe   |
| Type       | OQV         | Type       | AWT         | Type       | RZQ        |
| Occupation | manager     | Occupation | dev         | Occupation | manager    |
|            |             |            |             |            |            |
| Account    | John Doe    | Account    | Richard Roe | Account    | John Doe   |
| Type       | RZQ         | Type       | RZQ         | Type       | PWZ        |
| Occupation | dev         | Occupation | qa          | Occupation | dev        |
|            |             |            |             |            |            |
| Account    | Richard Roe | Account    | John Doe    | Account    | John Doe   |
| Туре       | OQV         | Туре       | PWZ         | Type       | OQV        |
| Occupation | dev         | Occupation | manager     | Occupation | qa         |
|            |             |            |             |            |            |

| Amount | Fee |
|--------|-----|
| 496    | 68  |
| 897    | 41  |
| 599    | 29  |
| 367    | 60  |
| 50     | 100 |
| 956    | 29  |
| 482    | 76  |
| 964    | 14  |
| 517    | 83  |
| 529    | 12  |
| 797    | 95  |
| 441    | 32  |
| 186    | 70  |
| 774    | 2   |
| 128    | 74  |
| 494    | 45  |
| 955    | 31  |
| 827    | 100 |
| 479    | 10  |
| 373    | 31  |
| 452    | 49  |
| 851    | 9   |
| 582    | 65  |
| 569    | 65  |
| 498    | 63  |
| 603    | 106 |
| 213    | 55  |
| 432    | 33  |
| 887    | 82  |
| 266    | 108 |
| 956    | 8   |
|        |     |

| Account    | John Smith |
|------------|------------|
| Туре       | AWT        |
| Occupation | dev        |

| Amount | Fee |
|--------|-----|
| 249    | 10  |
| 827    | 26  |
| 655    | 66  |
| 704    | 10  |
| 30     | 35  |
| 532    | 1   |
| 862    | 101 |
| 964    | 21  |
| 459    | 91  |
| 719    | 22  |
| 995    | 6   |
| 400    | 35  |
| 364    | 47  |
| 692    | 13  |
| 236    | 72  |
| 245    | 23  |
| 66     | 47  |
| 477    | 80  |
| 50     | 96  |
| 935    | 24  |
| 823    | 86  |
| 910    | 3   |
| 376    | 94  |
| 209    | 44  |
| 20     | 17  |
| 718    | 33  |
| 138    | 99  |
| 627    | 119 |
| 482    | 36  |
| 365    | 18  |
| 159    | 51  |
|        |     |

| Amount | Fee |
|--------|-----|
| 839    | 99  |
| 518    | 50  |
| 892    | 39  |
| 551    | 82  |
| 871    | 103 |
| 698    | 4   |
| 751    | 41  |
| 878    | 8   |

| us Risk | Order Status | Commision                       | Quantity | Price | mount   | nount Net A | ype An      | Trade Ty   | Description   | Code          |
|---------|--------------|---------------------------------|----------|-------|---------|-------------|-------------|------------|---------------|---------------|
|         |              |                                 |          |       |         |             |             |            | ina           | Region:Monta  |
|         |              |                                 |          |       |         |             |             |            | er:10         | Branch Number |
|         |              |                                 |          |       |         |             |             |            |               | Agent:Gilda   |
| Medium  | Accepted     | 2                               | 3        | 9     | 7       | 20          |             | Buy        | Investment 1  | 1031          |
| High    | Progress     | 4                               | 6        | 18    | 14      | 40          |             | Sell       | Investment 2  | 6630          |
| High    | Progress     | 6                               | 9        | 27    | 21      | 60          |             | Buy        | Investment 3  | 6200          |
| High    | Cancel       | 8                               | 12       | 36    | 28      | 80          |             | Buy        | Investment 4  | 2126          |
| Medium  | Accepted     | 10                              | 15       | 45    | 35      | 100         |             | Buy        | Investment 5  | 7949          |
| High    | Progress     | 12                              | 18       | 54    | 42      | 120         |             | Sell       | Investment 6  | 7216          |
| High    | Accepted     | 14                              | 21       | 63    | 49      | 140         |             | Sell       | Investment 7  | 5654          |
| Low     | Accepted     | 16                              | 24       | 72    | 56      | 160         |             | Buy        | Investment 8  | 2545          |
| High    | Accepted     | 18                              | 27       | 81    | 63      | 180         |             | Sell       | Investment 9  | 9495          |
| High    | Cancel       | 20                              | 30       | 90    | 70      | 200         |             | Sell       | Investment 10 | 5982          |
| Medium  | Accepted     | 22                              | 33       | 99    | 77      | 220         |             | Buy        | Investment 11 | 9850          |
| Medium  | Accepted     | 24                              | 36       | 108   | 84      | 240         |             | Buy        | Investment 12 | 3781          |
| Medium  | Accepted     | 26                              | 39       | 117   | 91      | 260         |             | Buy        | Investment 13 | 6447          |
| High    | Accepted     | 28                              | 42       | 126   | 98      | 280         |             | Sell       | Investment 14 | 1730          |
| Medium  | Cancel       | 30                              | 45       | 135   | 105     | 300         |             | Buy        | Investment 15 | 1618          |
|         | TRADES       |                                 |          | е     | John Do | Account     | Richard Roe | Account    | John Smith    | Account       |
|         |              |                                 |          |       | RZQ     | Type        | AWT         | Type       | PWZ           | Type          |
| Fee     |              | Amount                          |          |       | manage  | Occupation  | qa          | Occupation | qa            | Occupation    |
| 78      |              | 4                               |          |       |         |             |             |            |               |               |
| 60      |              | 657                             |          | ith   | John Sr | Account     | John Doe    | Account    | John Smith    | Account       |
| 5       |              | 540                             |          |       | PWZ     | Type        | AWT         | Type       | RZQ           | Type          |
| 97      |              | 146                             |          |       | dev     | Occupation  | dev         | Occupation | qa            | Occupation    |
| 16      |              | 505                             |          |       |         |             |             |            |               |               |
| 28      |              | 874                             |          |       |         |             |             |            |               |               |
| 113     |              | 460                             |          |       |         |             |             |            |               |               |
| 42      |              | 141                             |          |       |         |             |             |            |               |               |
|         |              | 540<br>146<br>505<br>874<br>460 |          | ith   | PWZ     | Туре        | AWT         | Туре       | RZQ           | Туре          |

| Account    | John Doe    | Account    | Richard Roe | Account    | Richard Roe |
|------------|-------------|------------|-------------|------------|-------------|
| Туре       | AWT         | Type       | AWT         | Туре       | PWZ         |
| Occupation | qa          | Occupation | manager     | Occupation | qa          |
|            |             |            |             |            |             |
| Account    | John Doe    | Account    | John Doe    | Account    | John Doe    |
| Туре       | AWT         | Type       | PWZ         | Туре       | PWZ         |
| Occupation | dev         | Occupation | qa          | Occupation | qa          |
|            |             |            |             |            |             |
| Account    | John Smith  | Account    | John Smith  | Account    | Richard Roe |
| Туре       | PWZ         | Туре       | AWT         | Туре       | OQV         |
| Occupation | dev         | Occupation | dev         | Occupation | qa          |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | John Smith  |            |             |
| Туре       | OQV         | Туре       | RZQ         |            |             |
| Occupation | qa          | Occupation | qa          |            |             |

| Amount | Fee |
|--------|-----|
| 485    | 68  |
| 792    | 117 |
| 802    | 31  |

| Code          | Description  | Trade      | Туре       | Amount | Net Amount | Pric    | ce | Quantity | Commision | Order Status | Risk     |
|---------------|--------------|------------|------------|--------|------------|---------|----|----------|-----------|--------------|----------|
| Region:Califo | rnia         |            |            |        |            |         |    |          |           |              |          |
| Branch Numb   |              |            |            |        |            |         |    |          |           |              |          |
| Agent:Agatha  | ı            |            |            |        |            |         |    |          |           |              |          |
| 3825          | Investment 1 | Sell       |            | 20     | 7          |         | 9  | 3        | 2         | Progress     | High     |
| 7802          | Investment 2 | Buy        |            | 40     | 14         | 1       | 18 | 6        | 4         | Progress     | High     |
| 9692          | Investment 3 | Buy        |            | 60     | 21         | 2       | 27 | 9        | 6         | Cancel       | High     |
| 6497          | Investment 4 | Buy        |            | 80     | 28         | 3       | 36 | 12       | 8         | Accepted     | Medium   |
| Account       | Richard Roe  | Account    | John Smith | Accou  |            | n Smith |    |          |           | TRADES       |          |
| Type          | PWZ          | Туре       | OQV        | Type   | ΓWA        | -       |    |          |           |              | _        |
| Occupation    | manager      | Occupation | manager    | Occup  | ation dev  |         |    |          | Amount    |              | Fee      |
|               |              |            |            |        |            |         |    |          | 43        |              | 18       |
| Account       | John Smith   | Account    | John Doe   |        |            |         |    |          | 883       |              | 77       |
| Type          | PWZ          | Type       | AWT        |        |            |         |    |          | 395       |              | 68       |
| Occupation    | qa           | Occupation | qa         |        |            |         |    |          | 837       |              | 105      |
|               |              |            |            |        |            |         |    |          | 769       |              | 35       |
|               |              |            |            |        |            |         |    |          | 565       |              | 71       |
|               |              |            |            |        |            |         |    |          | 711       |              | 0        |
|               |              |            |            |        |            |         |    |          | 82        |              | 56       |
|               |              |            |            |        |            |         |    |          | 994       |              | 0        |
|               |              |            |            |        |            |         |    |          | 633       |              | 16       |
|               |              |            |            |        |            |         |    |          | 431       |              | 106      |
|               |              |            |            |        |            |         |    |          | 447       |              | 48<br>97 |
|               |              |            |            |        |            |         |    |          | 396<br>91 |              | 80       |
|               |              |            |            |        |            |         |    |          | 900       |              | 18       |
|               |              |            |            |        |            |         |    |          | 26        |              | 11       |
|               |              |            |            |        |            |         |    |          | 74        |              | 106      |
|               |              |            |            |        |            |         |    |          | 628       |              | 110      |
|               |              |            |            |        |            |         |    |          | 511       |              | 32       |
|               |              |            |            |        |            |         |    |          | 011       |              | 32       |

| Amount | Fee |
|--------|-----|
| 812    | 62  |
| 70     | 42  |
| 693    | 21  |
| 60     | 31  |
| 944    | 73  |
| 845    | 80  |
| 674    | 89  |
| 265    | 36  |
| 202    | 53  |
| 542    | 110 |
| 697    | 81  |
| 543    | 53  |
| 785    | 53  |
| 682    | 16  |
| 536    | 4   |
| 504    | 107 |
| 278    | 87  |
| 349    | 51  |
| 201    | 94  |
| 887    | 74  |
| 714    | 34  |
| 843    | 32  |
| 216    | 58  |
| 578    | 38  |
| 299    | 56  |
| 883    | 40  |
| 867    | 70  |
| 35     | 22  |
| 735    | 106 |
| 359    | 7   |
| 705    | 12  |

| Amount | Fee |
|--------|-----|
| 274    | 75  |
| 246    | 0   |
| 826    | 26  |
| 715    | 45  |
| 884    | 54  |

| Code   | Description       | Trade <sup>*</sup> | Туре            | Amount         | Net Amount      | Price  | Quantity | Commision | Order Status | Risk   |
|--|-------------------|--------------------|-----------------|----------------|-----------------|--------|----------|-----------|--------------|--------|
| Region:Florida<br>Branch Numb<br>Agent:Gilda |                   |                    |                 |                |                 |        |          |           |              |        |
| 743  | Investment 1      | Sell               |                 | 20             | 7               | 9      | 3        | 2         | Cancel       | High   |
| 7056   | Investment 2      | Sell               |                 | 40             | 14              | 18     | 6        | 4         | Progress     | Medium |
| 8054   | Investment 3      | Buy                |                 | 60             | 21              | 27     | 9        | 6         | Cancel       | High   |
| 9498   | Investment 4      | Buy                |                 | 80             | 28              | 36     | 12       | 8         | Cancel       | High   |
| Account<br>Type                              | John Smith<br>OQV | Account<br>Type    | John Doe<br>OQV | Accour<br>Type | nt Richa<br>PWZ | rd Roe |          |           | TRADES       |        |
| Occupation                                   | manager           | Occupation         | qa              | Occupa         |                 |        |          | Amount    |              | Fee    |
|  | 3                 |                    | •               |                |                 |        |          | 19        |              | 69     |
| Account                                      | John Doe          | Account            | John Smith      | Accour         | nt Richa        | rd Roe |          | 162       |              | 14     |
| Type   | RZQ               | Type               | RZQ             | Type           | PWZ             |        |          | 687       |              | 119    |
| Occupation                                   | manager           | Occupation         | qa              | Occupa         | ation dev       |        |          | 246       |              | 87     |
|  |                   |                    |                 |                |                 |        |          | 434       |              | 36     |
| Account                                      | John Doe          | Account            | John Smith      |                |                 |        |          | 202       |              | 99     |
| Туре   | RZQ               | Туре               | OQV             |                |                 |        |          | 388       |              | 35     |
| Occupation                                   | dev               | Occupation         | qa              |                |                 |        |          | 806       |              | 118    |
|  |                   |                    |                 |                |                 |        |          | 333       |              | 1      |
|  |                   |                    |                 |                |                 |        |          | 261       |              | 20     |
|  |                   |                    |                 |                |                 |        |          | 270       |              | 34     |
|  |                   |                    |                 |                |                 |        |          | 442       |              | 39     |
|  |                   |                    |                 |                |                 |        |          | 866       |              | 104    |
|  |                   |                    |                 |                |                 |        |          | 255       |              | 11     |
|  |                   |                    |                 |                |                 |        |          | 386       |              | 61     |
|  |                   |                    |                 |                |                 |        |          | 457       |              | 73     |
|  |                   |                    |                 |                |                 |        |          | 463       |              | 66     |
|  |                   |                    |                 |                |                 |        |          | 143       |              | 76     |
|  |                   |                    |                 |                |                 |        |          | 67        |              | 82     |

| Amount | Fee |
|--------|-----|
| 337    | 107 |
| 393    | 78  |
| 6      | 27  |
| 27     | 45  |
| 805    | 33  |
| 737    | 71  |
| 253    | 49  |
| 103    | 102 |
| 552    | 117 |
| 776    | 114 |
| 754    | 6   |
| 966    | 40  |
| 343    | 72  |
| 652    | 54  |
| 227    | 69  |
| 147    | 37  |
| 99     | 25  |
| 176    | 51  |
| 864    | 92  |

| Code         | Description   | Trade 1    | Гуре А     | mount l | Net Amount | Price  | e Quantity | Commision | Order Status | Risk   |
|--------------|---------------|------------|------------|---------|------------|--------|------------|-----------|--------------|--------|
| Region:Alaba |               |            |            |         |            |        |            |           |              |        |
| Branch Numb  | er:1          |            |            |         |            |        |            |           |              |        |
| Agent:Gilda  |               |            |            |         |            |        |            |           |              |        |
| 2126         | Investment 1  | Buy        |            | 20      | 7          | (      | 3          | 2         | Progress     | Medium |
| 3332         | Investment 2  | Sell       |            | 40      | 14         | 18     | 3 6        | 4         | Accepted     | High   |
| 5063         | Investment 3  | Buy        |            | 60      | 21         | 2      | 7 9        | 6         | Accepted     | High   |
| 7281         | Investment 4  | Buy        |            | 80      | 28         | 30     | 5 12       | 8         | Progress     | High   |
| 4228         | Investment 5  | Sell       |            | 100     | 35         | 4      | 5 15       | 10        | Cancel       | Low    |
| 4418         | Investment 6  | Buy        |            | 120     | 42         | 54     | 1 18       | 12        | Progress     | High   |
| 8795         | Investment 7  | Sell       |            | 140     | 49         | 63     | 3 21       | 14        | Accepted     | Low    |
| 9914         | Investment 8  | Sell       |            | 160     | 56         | 7:     | 2 24       | 16        | Cancel       | Medium |
| 2150         | Investment 9  | Buy        |            | 180     | 63         | 8      | 27         | 18        | Cancel       | High   |
| 8319         | Investment 10 | Buy        |            | 200     | 70         | 90     | 30         | 20        | Accepted     | High   |
| 8982         | Investment 11 | Buy        |            | 220     | 77         | 99     | 33         | 22        | Accepted     | High   |
| 7170         | Investment 12 | Sell       |            | 240     | 84         | 108    | 36         | 24        | Cancel       | High   |
| 8286         | Investment 13 | Buy        |            | 260     | 91         | 117    | 7 39       | 26        | Progress     | High   |
| 1288         | Investment 14 | Buy        |            | 280     | 98         | 126    | 5 42       | 28        | Cancel       | Low    |
| Account      | John Doe      | Account    | John Smith | Account | Richa      | rd Roe |            |           | TRADES       |        |
| Туре         | PWZ           | Type       | OQV        | Type    | RZQ        |        |            |           |              |        |
| Occupation   | dev           | Occupation | manager    | Occupat | ion qa     |        |            | Amount    |              | Fee    |
|              |               |            |            |         |            |        |            | 272       |              | 45     |
| Account      | Richard Roe   | Account    | John Doe   |         |            |        |            | 680       |              | 19     |
| Туре         | RZQ           | Type       | AWT        |         |            |        |            | 199       |              | 114    |
| Occupation   | qa            | Occupation | manager    |         |            |        |            | 943       |              | 12     |
|              |               |            |            |         |            |        |            | 593       |              | 22     |
|              |               |            |            |         |            |        |            | 873       |              | 87     |
|              |               |            |            |         |            |        |            | 702       |              | 116    |
|              |               |            |            |         |            |        |            | 913       |              | 6      |
|              |               |            |            |         |            |        |            | 530       |              | 78     |
|              |               |            |            |         |            |        |            |           |              |        |

| Amount | Fee |
|--------|-----|
| 942    | 29  |
| 489    | 114 |
| 82     | 16  |
| 685    | 48  |
| 742    | 39  |
| 207    | 32  |
| 496    | 34  |
| 648    | 105 |
| 498    | 22  |
| 682    | 76  |
| 976    | 10  |
| 672    | 79  |
| 342    | 3   |
| 830    | 37  |
| 652    | 50  |
| 591    | 43  |
| 303    | 80  |
| 137    | 85  |
| 156    | 16  |
| 959    | 30  |
| 836    | 34  |
| 171    | 31  |
| 319    | 56  |
| 421    | 62  |
| 198    | 65  |
| 461    | 80  |
| 529    | 100 |
| 513    | 106 |
| 905    | 71  |
| 331    | 65  |
| 340    | 36  |
|        |     |

| Amount | Fee |
|--------|-----|
| 203    | 82  |
| 555    | 36  |
| 380    | 75  |
| 905    | 38  |
| 205    | 119 |
| 58     | 16  |
| 942    | 49  |
| 141    | 110 |
| 533    | 8   |
| 544    | 1   |
| 860    | 25  |
| 727    | 70  |
| 97     | 107 |
| 432    | 79  |
| 178    | 43  |
| 822    | 63  |
| 778    | 79  |
| 935    | 39  |
| 325    | 55  |
| 396    | 22  |
| 11     | 96  |
| 357    | 77  |
| 797    | 107 |
| 479    | 16  |
| 970    | 2   |
| 60     | 32  |
| 203    | 27  |
| 316    | 13  |
| 931    | 93  |
| 213    | 81  |
| 805    | 118 |
|        |     |

| Amount | Fee |
|--------|-----|
| 485    | 40  |
| 585    | 39  |
| 463    | 99  |
| 239    | 103 |
| 906    | 20  |
| 687    | 12  |
| 338    | 84  |

| Code          | Description   | Trade      | Гуре Аі     | mount N  | let Amount | Pric    | ce | Quantity | Commision | Order Status | Risk   |
|---------------|---------------|------------|-------------|----------|------------|---------|----|----------|-----------|--------------|--------|
| Region:Alabar | ma            |            |             |          |            |         |    |          |           |              |        |
| Branch Numb   | er:3          |            |             |          |            |         |    |          |           |              |        |
| Agent:Gerry   |               |            |             |          |            |         |    |          |           |              |        |
| 4607          | Investment 1  | Sell       |             | 20       | 7          |         | 9  | 3        | 2         | Progress     | Medium |
| 7261          | Investment 2  | Buy        |             | 40       | 14         | 1       | 18 | 6        | 4         | Progress     | High   |
| 1963          | Investment 3  | Buy        |             | 60       | 21         | 2       | 27 | 9        | 6         | Progress     | Medium |
| 5874          | Investment 4  | Buy        |             | 80       | 28         | 3       | 36 | 12       | 8         | Cancel       | Medium |
| 8725          | Investment 5  | Buy        |             | 100      | 35         | 4       | 45 | 15       | 10        | Accepted     | High   |
| 3319          | Investment 6  | Buy        |             | 120      | 42         | 5       | 54 | 18       | 12        | Accepted     | Medium |
| 6047          | Investment 7  | Buy        |             | 140      | 49         | 6       | 53 | 21       | 14        | Progress     | Medium |
| 9955          | Investment 8  | Buy        |             | 160      | 56         | 7       | 72 | 24       | 16        | Cancel       | Medium |
| 8071          | Investment 9  | Buy        |             | 180      | 63         | 8       | 31 | 27       | 18        | Progress     | Low    |
| 387           | Investment 10 | Sell       |             | 200      | 70         | g       | 90 | 30       | 20        | Accepted     | Medium |
| 6132          | Investment 11 | Buy        |             | 220      | 77         | Ç       | 99 | 33       | 22        | Accepted     | Low    |
| 4816          | Investment 12 | Sell       |             | 240      | 84         | 10      | 08 | 36       | 24        | Accepted     | High   |
| 7784          | Investment 13 | Buy        |             | 260      | 91         | 11      | 17 | 39       | 26        | Accepted     | Medium |
| Account       | John Smith    | Account    | John Smith  | Account  | Richa      | ard Roe |    |          |           | TRADES       |        |
| Туре          | PWZ           | Type       | PWZ         | Type     | PWZ        |         |    |          |           |              |        |
| Occupation    | dev           | Occupation | dev         | Occupati | on dev     |         |    |          | Amount    |              | Fee    |
|               |               |            |             |          |            |         |    |          | 951       |              | 114    |
| Account       | John Smith    | Account    | Richard Roe | Account  | John       | Smith   |    |          | 951       |              | 30     |
| Type          | PWZ           | Type       | PWZ         | Type     | PWZ        |         |    |          | 747       |              | 64     |
| Occupation    | qa            | Occupation | dev         | Occupati | on mana    | ager    |    |          | 247       |              | 118    |
|               |               |            |             |          |            |         |    |          | 353       |              | 37     |
| Account       | John Smith    | Account    | John Smith  | Account  | John       | Smith   |    |          | 232       |              | 84     |
| Type          | OQV           | Type       | PWZ         | Type     | PWZ        |         |    |          | 403       |              | 73     |
| Occupation    | dev           | Occupation | dev         | Occupati | on dev     |         |    |          | 412       |              | 37     |
|               |               |            |             |          |            |         |    |          | 816       |              | 91     |
|               |               |            |             |          |            |         |    |          | 720       |              | 67     |

| Account    | John Smith  | Account    | John Smith | Account    | John Smith  |
|------------|-------------|------------|------------|------------|-------------|
| Туре       | OQV         | Type       | OQV        | Туре       | OQV         |
| Occupation | qa          | Occupation | qa         | Occupation | manager     |
|            |             |            |            |            |             |
| Account    | Richard Roe | Account    | John Doe   | Account    | Richard Roe |
| Туре       | PWZ         | Type       | OQV        | Туре       | RZQ         |
| Occupation | qa          | Occupation | dev        | Occupation | dev         |
|            |             |            |            |            |             |
| Account    | John Doe    | Account    | John Doe   | Account    | John Doe    |
| Туре       | PWZ         | Type       | PWZ        | Туре       | OQV         |
| Occupation | dev         | Occupation | manager    | Occupation | manager     |

| Amount | Fee |
|--------|-----|
| 435    | 106 |
| 623    | 91  |
| 862    | 72  |
| 892    | 90  |
| 716    | 10  |
| 667    | 96  |
| 792    | 100 |
| 485    | 21  |
| 485    | 89  |
| 95     | 88  |
| 690    | 48  |
| 294    | 6   |
| 817    | 27  |
| 785    | 103 |
| 245    | 57  |
| 826    | 84  |
| 246    | 75  |
| 266    | 85  |
| 563    | 28  |
| 424    | 71  |
| 522    | 49  |
| 102    | 82  |
| 478    | 63  |
| 153    | 113 |
| 766    | 20  |
| 642    | 27  |
| 14     | 54  |
| 662    | 30  |
| 180    | 32  |

| Code         | Description   | Trade T    | ype Ar      | mount N    | et Amount | Pric | e Quantity | Commision | Order Status | Risk   |
|--------------|---------------|------------|-------------|------------|-----------|------|------------|-----------|--------------|--------|
| Region:Alaba | ma            |            |             |            |           |      |            |           |              |        |
| Branch Numb  | er:12         |            |             |            |           |      |            |           |              |        |
| Agent:Aaren  |               |            |             |            |           |      |            |           |              |        |
| 342          | Investment 1  | Sell       |             | 20         | 7         | ġ    | 9 3        | 2         | Cancel       | High   |
| 3216         | Investment 2  | Sell       |             | 40         | 14        | 18   | 3 6        | 4         | Progress     | High   |
| 4985         | Investment 3  | Buy        |             | 60         | 21        | 2    | 7 9        | 6         | Progress     | Medium |
| 8183         | Investment 4  | Sell       |             | 80         | 28        | 30   | 5 12       | 8         | Progress     | Low    |
| 5984         | Investment 5  | Buy        |             | 100        | 35        | 4    | 5 15       | 10        | Progress     | Medium |
| 8221         | Investment 6  | Buy        |             | 120        | 42        | 54   | 4 18       | 12        | Progress     | Medium |
| 8546         | Investment 7  | Sell       |             | 140        | 49        | 63   | 3 21       | 14        | Progress     | Medium |
| 7705         | Investment 8  | Sell       |             | 160        | 56        | 7:   | 2 24       | 16        | Accepted     | Medium |
| 4344         | Investment 9  | Buy        |             | 180        | 63        | 8    | 1 27       | 18        | Progress     | Medium |
| 7674         | Investment 10 | Sell       |             | 200        | 70        | 90   | 30         | 20        | Accepted     | High   |
| 8279         | Investment 11 | Buy        |             | 220        | 77        | 99   | 9 33       | 22        | Progress     | Low    |
| 8207         | Investment 12 | Buy        |             | 240        | 84        | 108  | 36         | 24        | Progress     | Medium |
| 7216         | Investment 13 | Sell       |             | 260        | 91        | 117  | 7 39       | 26        | Cancel       | Low    |
| 5546         | Investment 14 | Buy        |             | 280        | 98        | 126  | 5 42       | 28        | Progress     | Low    |
| 6438         | Investment 15 | Sell       |             | 300        | 105       | 13   | 5 45       | 30        | Cancel       | Medium |
| 620          | Investment 16 | Sell       |             | 320        | 112       | 144  | 48         | 32        | Cancel       | High   |
| 9219         | Investment 17 | Buy        |             | 340        | 119       | 153  | 51         | 34        | Accepted     | Low    |
| 80           | Investment 18 | Sell       |             | 360        | 126       | 162  | 2 54       | 36        | Cancel       | Low    |
| 1940         | Investment 19 | Sell       |             | 380        | 133       | 17   | I 57       | 38        | Progress     | Medium |
| 6544         | Investment 20 | Buy        |             | 400        | 140       | 180  | 60         | 40        | Cancel       | Medium |
| Account      | Richard Roe   | Account    | Richard Roe | Account    | John      | Doe  |            |           | TRADES       |        |
| Type         | PWZ           | Type       | PWZ         | Type       | OQV       |      |            |           |              |        |
| Occupation   | manager       | Occupation | dev         | Occupation | on dev    |      |            | Amount    |              | Fee    |
|              |               |            |             |            |           |      |            | 621       |              | 86     |
|              |               |            |             |            |           |      |            | 818       |              | 117    |
|              |               |            |             |            |           |      |            | 206       |              | 35     |

| Account    | Richard Roe | Account    | Richard Roe | Account    | John Smith  |
|------------|-------------|------------|-------------|------------|-------------|
| Туре       | PWZ         | Type       | RZQ         | Type       | AWT         |
| Occupation | qa          | Occupation | qa          | Occupation | qa          |
|            |             |            |             |            |             |
| Account    | John Smith  | Account    | Richard Roe | Account    | Richard Roe |
| Туре       | OQV         | Туре       | RZQ         | Type       | PWZ         |
| Occupation | qa          | Occupation | manager     | Occupation | qa          |
|            |             |            |             |            |             |
| Account    | John Smith  | Account    | Richard Roe | Account    | Richard Roe |
| Туре       | AWT         | Туре       | AWT         | Type       | PWZ         |
| Occupation | qa          | Occupation | manager     | Occupation | manager     |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | John Smith  | Account    | John Doe    |
| Туре       | AWT         | Type       | AWT         | Type       | OQV         |
| Occupation | qa          | Occupation | manager     | Occupation | dev         |
|            |             |            |             |            |             |
| Account    | Richard Roe |            |             |            |             |
| Туре       | RZQ         |            |             |            |             |
| Occupation | dev         |            |             |            |             |
|            |             |            |             |            |             |

| Amount | Fee |
|--------|-----|
| 120    | 49  |
| 566    | 0   |
| 623    | 85  |
| 320    | 46  |
| 375    | 112 |
| 587    | 86  |
| 307    | 80  |
| 422    | 14  |
| 310    | 64  |
| 919    | 77  |
| 116    | 85  |
| 335    | 96  |
| 207    | 118 |
| 294    | 87  |
| 653    | 50  |
| 919    | 90  |
| 826    | 67  |
| 72     | 36  |
| 416    | 88  |
| 9      | 90  |
| 23     | 24  |
| 54     | 69  |
| 178    | 74  |
| 826    | 98  |
| 272    | 58  |
| 26     | 27  |
| 468    | 14  |
| 523    | 31  |
| 130    | 118 |
| 97     | 36  |
| 61     | 82  |

| Amount | Fee |
|--------|-----|
| 117    | 5   |
| 18     | 29  |
| 977    | 22  |
| 603    | 119 |

| Region: Montana   Branch Number: 10   Agent: Juliet  | Risk   |
|--|--------|
| Sell   20   7   9   3   2   Accepted   |        |
| Sell   10  |        |
| Investment 2   Sell   40   |        |
| Sample   S | Low    |
| Second   S | Medium |
| 2036   Investment 5   Buy   100   35   45   15   10   Accepted   | High   |
| 120  | Low    |
| TRADES   Investment 7   Buy   140   49   63   21   14   Progress   | Low    |
| TRADES   Recompt   Recom | Low    |
| 1079   Investment 9   Buy   180   63   81   27   18   Accepted   | High   |
| 4711         Investment 10         Sell         200         70         90         30         20 Accepted           9100         Investment 11         Sell         220         77         99         33         22 Cancel           5398         Investment 12         Buy         240         84         108         36         24 Cancel           4121         Investment 13         Buy         260         91         117         39         26 Accepted           9354         Investment 14         Sell         280         98         126         42         28 Progress           7911         Investment 15         Buy         300         105         135         45         30 Cancel           2872         Investment 16         Sell         320         112         144         48         32 Accepted           3698         Investment 17         Sell         340         119         153         51         34 Cancel           4652         Investment 18         Buy         360         126         162         54         36 Accepted           Account         John Smith         Account         John Doe         Account         John Smith         TRADES  | Medium |
| 9100         Investment 11         Sell         220         77         99         33         22         Cancel           5398         Investment 12         Buy         240         84         108         36         24         Cancel           4121         Investment 13         Buy         260         91         117         39         26         Accepted           9354         Investment 14         Sell         280         98         126         42         28         Progress           7911         Investment 15         Buy         300         105         135         45         30         Cancel           2872         Investment 16         Sell         320         112         144         48         32         Accepted           3698         Investment 17         Sell         340         119         153         51         34         Cancel           4652         Investment 18         Buy         360         126         162         54         36         Accepted           Account         John Smith         Account         John Smith         TRADES  | Low    |
| 5398         Investment 12         Buy         240         84         108         36         24         Cancel           4121         Investment 13         Buy         260         91         117         39         26         Accepted           9354         Investment 14         Sell         280         98         126         42         28         Progress           7911         Investment 15         Buy         300         105         135         45         30         Cancel           2872         Investment 16         Sell         320         112         144         48         32         Accepted           3698         Investment 17         Sell         340         119         153         51         34         Cancel           4652         Investment 18         Buy         360         126         162         54         36         Accepted           Account         John Smith         Account         John Smith         TRADES   | High   |
| 4121         Investment 13         Buy         260         91         117         39         26 Accepted           9354         Investment 14         Sell         280         98         126         42         28 Progress           7911         Investment 15         Buy         300         105         135         45         30 Cancel           2872         Investment 16         Sell         320         112         144         48         32 Accepted           3698         Investment 17         Sell         340         119         153         51         34 Cancel           4652         Investment 18         Buy         360         126         162         54         36 Accepted           Account         John Smith         Account         John Smith         TRADES  | High   |
| 9354         Investment 14         Sell         280         98         126         42         28 Progress           7911         Investment 15         Buy         300         105         135         45         30 Cancel           2872         Investment 16         Sell         320         112         144         48         32 Accepted           3698         Investment 17         Sell         340         119         153         51         34 Cancel           4652         Investment 18         Buy         360         126         162         54         36 Accepted           Account         John Smith         Account         John Doe         Account         John Smith         TRADES  | Low    |
| 7911         Investment 15         Buy         300         105         135         45         30         Cancel           2872         Investment 16         Sell         320         112         144         48         32         Accepted           3698         Investment 17         Sell         340         119         153         51         34         Cancel           4652         Investment 18         Buy         360         126         162         54         36         Accepted           Account         John Smith         Account         John Smith         TRADES   | Low    |
| 2872         Investment 16         Sell         320         112         144         48         32         Accepted           3698         Investment 17         Sell         340         119         153         51         34         Cancel           4652         Investment 18         Buy         360         126         162         54         36         Accepted           Account         John Smith         Account         John Smith         TRADES   | Low    |
| 3698         Investment 17         Sell         340         119         153         51         34 Cancel           4652         Investment 18         Buy         360         126         162         54         36 Accepted           Account         John Smith         Account         John Smith         TRADES  | Low    |
| 4652 Investment 18 Buy 360 126 162 54 36 Accepted  Account John Smith Account John Doe Account John Smith TRADES   | High   |
| Account John Smith Account John Doe Account John Smith TRADES  | Medium |
|  | Medium |
| Type OOV Type PW7 Type P70   |        |
|  |        |
| Occupation dev Occupation manager Occupation manager Amount  | Fee    |
| 989  | 93     |
| Account John Doe Account Richard Roe 571   | 26     |
| Type PWZ Type AWT 494  | 101    |
| Occupation dev Occupation manager 252  | 103    |
| 120  | 93     |

| Amount | Fee |
|--------|-----|
|        |     |
| 99     | 43  |
| 498    | 58  |
| 439    | 69  |
| 185    | 73  |
| 516    | 80  |
| 434    | 20  |
| 479    | 67  |
| 230    | 2   |
| 176    | 84  |
| 588    | 90  |
| 817    | 72  |
| 29     | 92  |
| 574    | 9   |
| 521    | 68  |
| 826    | 21  |
| 7      | 28  |
| 793    | 70  |
| 713    | 61  |
| 829    | 36  |
| 894    | 49  |
| 775    | 75  |
| 968    | 56  |
| 607    | 66  |
| 862    | 68  |
| 807    | 18  |
| 485    | 27  |
| 9      | 38  |
| 311    | 18  |
| 889    | 109 |
| 509    | 17  |
| 510    | 58  |
|        |     |

| Amount | Fee |
|--------|-----|
| 440    | 94  |
| 921    | 100 |
| 27     | 49  |
| 992    | 95  |
| 765    | 113 |
| 773    | 30  |
| 83     | 82  |
| 902    | 34  |
| 250    | 68  |
| 130    | 20  |
| 178    | 105 |
| 993    | 19  |
| 606    | 82  |
| 746    | 59  |
| 295    | 46  |
| 866    | 82  |
| 24     | 113 |
| 992    | 80  |
| 101    | 45  |
| 766    | 82  |
| 317    | 7   |
| 49     | 91  |
| 758    | 0   |
| 217    | 64  |
| 239    | 30  |
| 676    | 30  |
| 273    | 71  |
| 494    | 27  |
| 814    | 106 |
| 867    | 69  |
| 508    | 10  |
|        |     |

| Amount | Fee |
|--------|-----|
| 852    | 51  |
| 811    | 103 |
| 504    | 62  |
| 561    | 74  |
| 530    | 67  |
| 56     | 13  |
| 616    | 96  |
| 605    | 118 |
| 891    | 0   |

| Code          | Description   | Trade 1    | Гуре <i>Д</i> | Amount | Net Amount | Pri        | ce | Quantity | Commision | Order Status | Risk   |
|---------------|---------------|------------|---------------|--------|------------|------------|----|----------|-----------|--------------|--------|
| Region:Monta  |               |            |               |        |            |            |    |          |           |              |        |
| Branch Numb   |               |            |               |        |            |            |    |          |           |              |        |
| Agent:Adelina | <b>a</b>      |            |               |        |            |            |    |          |           |              |        |
| 7178          | Investment 1  | Buy        |               | 20     | 7          |            | 9  | 3        | 2         | Accepted     | Low    |
| 2818          | Investment 2  | Sell       |               | 40     | 14         |            | 18 | 6        | 4         | Progress     | High   |
| 1027          | Investment 3  | Sell       |               | 60     | 21         |            | 27 | 9        | 6         | Accepted     | Medium |
| 2198          | Investment 4  | Sell       |               | 80     | 28         | ;          | 36 | 12       | 8         | Accepted     | Medium |
| 1324          | Investment 5  | Buy        |               | 100    | 35         |            | 45 | 15       | 10        | Accepted     | Low    |
| 6771          | Investment 6  | Buy        |               | 120    | 42         | ,          | 54 | 18       | 12        | Progress     | Medium |
| 1228          | Investment 7  | Buy        |               | 140    | 49         |            | 63 | 21       | 14        | Cancel       | High   |
| 9609          | Investment 8  | Sell       |               | 160    | 56         | •          | 72 | 24       | 16        | Progress     | High   |
| 7182          | Investment 9  | Buy        |               | 180    | 63         |            | 81 | 27       | 18        | Accepted     | Medium |
| 3604          | Investment 10 | Buy        |               | 200    | 70         |            | 90 | 30       | 20        | Progress     | Medium |
| 6806          | Investment 11 | Buy        |               | 220    | 77         |            | 99 | 33       | 22        | Accepted     | Medium |
| 3148          | Investment 12 | Sell       |               | 240    | 84         | 10         | 80 | 36       | 24        | Accepted     | High   |
| 9433          | Investment 13 | Sell       |               | 260    | 91         | 1          | 17 | 39       | 26        | Progress     | Medium |
| 9281          | Investment 14 | Buy        |               | 280    | 98         | 12         | 26 | 42       | 28        | Progress     | Low    |
| Account       | Richard Roe   | Account    | John Doe      | Accou  | nt Ri      | chard Roe  |    |          |           | TRADES       |        |
| Туре          | OQV           | Туре       | AWT           | Type   | RZ         | <u>Z</u> Q |    |          |           |              |        |
| Occupation    | manager       | Occupation | manager       | Occupa | ation qa   | l          |    |          | Amount    |              | Fee    |
|               |               |            |               |        |            |            |    |          | 26        |              | 50     |
|               |               |            |               |        |            |            |    |          | 850       |              | 107    |
|               |               |            |               |        |            |            |    |          | 148       |              | 117    |
|               |               |            |               |        |            |            |    |          | 508       |              | 26     |
|               |               |            |               |        |            |            |    |          | 210       |              | 58     |
|               |               |            |               |        |            |            |    |          | 841       |              | 42     |
|               |               |            |               |        |            |            |    |          | 789       |              | 25     |
|               |               |            |               |        |            |            |    |          | 802       |              | 3      |
|               |               |            |               |        |            |            |    |          | 544       |              | 70     |
|               |               |            |               |        |            |            |    |          |           |              |        |

| Amount | Fee |
|--------|-----|
| 350    | 94  |
| 225    | 58  |
| 482    | 110 |

| Code  | Description  | Trade T    | ype A       | mount  | Net Amount | Price | e Quantity | Commision | Order Status | Risk   |
|---|--------------|------------|-------------|--------|------------|-------|------------|-----------|--------------|--------|
| Region:Colora<br>Branch Numb<br>Agent:Gerry |              |            |             |        |            |       |            |           |              |        |
| 6372  | Investment 1 | Buy        |             | 20     | 7          | g     | 3          | 2         | Progress     | Medium |
| 83  | Investment 2 | Sell       |             | 40     | 14         | 18    | 6          | 4         | Cancel       | High   |
| 1998  | Investment 3 | Sell       |             | 60     | 21         | 27    | 7 9        | 6         | Accepted     | Medium |
| 9202  | Investment 4 | Buy        |             | 80     | 28         | 36    | 5 12       | 8         | Cancel       | High   |
| 5364  | Investment 5 | Sell       |             | 100    | 35         | 45    | 5 15       | 10        | Cancel       | Low    |
| Account                                     | John Doe     | Account    | Richard Roe | Accour | t John S   | Smith |            |           | TRADES       |        |
| Type  | RZQ          | Type       | OQV         | Type   | OQV        |       |            |           |              |        |
| Occupation                                  | dev          | Occupation | dev         | Occupa | tion dev   |       |            | Amount    |              | Fee    |
|   |              |            |             |        |            |       |            | 648       |              | 56     |
| Account                                     | Richard Roe  | Account    | John Smith  | Accour | t John S   | Smith |            | 515       |              | 48     |
| Type  | AWT          | Type       | OQV         | Type   | OQV        |       |            | 766       |              | 116    |
| Occupation                                  | qa           | Occupation | qa          | Occupa | tion dev   |       |            | 349       |              | 25     |
|   |              |            |             |        |            |       |            | 857       |              | 93     |
| Account                                     | Richard Roe  | Account    | John Smith  | Accour | t Richar   | d Roe |            | 838       |              | 46     |
| Type  | RZQ          | Type       | OQV         | Type   | PWZ        |       |            | 861       |              | 32     |
| Occupation                                  | qa           | Occupation | qa          | Occupa | tion qa    |       |            | 495       |              | 92     |
|   |              |            |             |        |            |       |            | 119       |              | 73     |
| Account                                     | John Doe     | Account    | John Doe    | Accour | t Richar   | d Roe |            | 982       |              | 67     |
| Туре  | AWT          | Type       | RZQ         | Type   | RZQ        |       |            | 726       |              | 13     |
| Occupation                                  | dev          | Occupation | qa          | Occupa | tion dev   |       |            | 17        |              | 42     |
|   |              |            |             |        |            |       |            | 361       |              | 96     |
| Account                                     | John Doe     | Account    | John Smith  | Accour | t John S   | Smith |            | 298       |              | 30     |
| Туре  | OQV          | Type       | RZQ         | Type   | OQV        |       |            | 138       |              | 7      |
| Occupation                                  | manager      | Occupation | dev         | Occupa | tion manag | ger   |            | 851       |              | 46     |
|   | _            |            |             |        |            |       |            | 80        |              | 36     |
|   |              |            |             |        |            |       |            | 688       |              | 14     |

| Account    | John Smith  | Account    | John Doe    | Account    | John Smith  |
|------------|-------------|------------|-------------|------------|-------------|
| Type       | OQV         | Type       | RZQ         | Type       | PWZ         |
| Occupation | manager     | Occupation | qa          | Occupation | qa          |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | John Doe    | Account    | Richard Roe |
| Туре       | AWT         | Type       | PWZ         | Type       | RZQ         |
| Occupation | dev         | Occupation | manager     | Occupation | manager     |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | Richard Roe | Account    | John Doe    |
| Туре       | AWT         | Type       | PWZ         | Type       | RZQ         |
| Occupation | qa          | Occupation | dev         | Occupation | qa          |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | John Doe    | Account    | John Doe    |
| Туре       | AWT         | Type       | OQV         | Type       | PWZ         |
| Occupation | qa          | Occupation | manager     | Occupation | dev         |

| Amount | Fee |
|--------|-----|
| 842    | 26  |
| 731    | 54  |
| 207    | 108 |
| 619    | 87  |
| 267    | 62  |
| 646    | 73  |
| 516    | 103 |
| 269    | 83  |
| 323    | 90  |
| 183    | 41  |
| 637    | 111 |
| 109    | 19  |
| 185    | 59  |
|        |     |

| Code  | Description        | Trade           | Туре              | Amount         | Net Amount     | Pric  | :e ( | Quantity | Commision  | Order Status | Risk     |
|---|--------------------|-----------------|-------------------|----------------|----------------|-------|------|----------|------------|--------------|----------|
| Region:Arizon<br>Branch Numbe<br>Agent:Phil |                    |                 |                   |                |                |       |      |          |            |              |          |
| 1594  | Investment 1       | Sell            |                   | 20             | 7              |       | 9    | 3        | 2          | Progress     | Low      |
| 7764  | Investment 2       | Sell            |                   | 40             | 14             | 1     | 8    | 6        | 4          | Accepted     | Medium   |
| Account<br>Type                             | Richard Roe<br>RZQ | Account<br>Type | John Smith<br>PWZ | Accour<br>Type | nt John<br>RZQ | Doe   |      |          |            | TRADES       |          |
| Occupation                                  | dev                | Occupation      | manager           | Occup          |                | ger   |      |          | Amount     |              | Fee      |
|   |                    |                 |                   |                |                |       |      |          | 573        |              | 72       |
| Account                                     | John Smith         | Account         | Richard Roe       | Accou          | nt John        | Doe   |      |          | 594        |              | 31       |
| Type  | OQV                | Type            | PWZ               | Type           | AWT            |       |      |          | 367        |              | 23       |
| Occupation                                  | dev                | Occupation      | manager           | Occup          | ation qa       |       |      |          | 895        |              | 56       |
|   |                    |                 |                   |                |                |       |      |          | 615        |              | 91       |
| Account                                     | John Smith         | Account         | John Smith        | Accou          |                | Smith |      |          | 329        |              | 81       |
| Туре  | OQV                | Туре            | PWZ               | Type           | PWZ            |       |      |          | 800        |              | 8        |
| Occupation                                  | dev                | Occupation      | qa                | Occup          | ation dev      |       |      |          | 514        |              | 12       |
|   | 5'                 |                 |                   |                |                |       |      |          | 532        |              | 92       |
| Account                                     | Richard Roe        |                 |                   |                |                |       |      |          | 103        |              | 14       |
| Type  | PWZ                |                 |                   |                |                |       |      |          | 579<br>355 |              | 91<br>22 |
| Occupation                                  | dev                |                 |                   |                |                |       |      |          | 362        |              | 82<br>82 |
|   |                    |                 |                   |                |                |       |      |          | 551        |              | 105      |
|   |                    |                 |                   |                |                |       |      |          | 223        |              | 78       |
|   |                    |                 |                   |                |                |       |      |          | 309        |              | 62       |
|   |                    |                 |                   |                |                |       |      |          | 755        |              | 88       |
|   |                    |                 |                   |                |                |       |      |          | 971        |              | 83       |
|   |                    |                 |                   |                |                |       |      |          | 697        |              | 0        |
|   |                    |                 |                   |                |                |       |      |          | 117        |              | 92       |
|   |                    |                 |                   |                |                |       |      |          | 371        |              | 2        |

| Amount | Fee |
|--------|-----|
| 948    | 26  |
| 635    | 25  |
| 474    | 72  |
| 647    | 31  |

| Code         | Description   | Trade T    | ype Aı      | mount l | Net Amount | Pric  | e          | Quantity | Commision | Order Status | Risk   |
|--------------|---------------|------------|-------------|---------|------------|-------|------------|----------|-----------|--------------|--------|
| Region:Monta |               |            |             |         |            |       |            |          |           |              |        |
| Branch Numb  | er:6          |            |             |         |            |       |            |          |           |              |        |
| Agent:Phil   |               |            |             |         |            |       |            |          |           |              |        |
| 3705         | Investment 1  | Buy        |             | 20      | 7          |       | 9          | 3        | 2         | Progress     | Medium |
| 3963         | Investment 2  | Sell       |             | 40      | 14         | 1     | 8          | 6        | 4         | Progress     | High   |
| 4167         | Investment 3  | Buy        |             | 60      | 21         | 2     | 27         | 9        | 6         | Accepted     | Medium |
| 9631         | Investment 4  | Sell       |             | 80      | 28         | 3     | 36         | 12       | 8         | Progress     | High   |
| 5633         | Investment 5  | Buy        |             | 100     | 35         | 4     | <b>1</b> 5 | 15       | 10        | Progress     | Medium |
| 4641         | Investment 6  | Sell       |             | 120     | 42         | 5     | 54         | 18       | 12        | Cancel       | Low    |
| 4797         | Investment 7  | Sell       |             | 140     | 49         | 6     | 53         | 21       | 14        | Accepted     | High   |
| 7654         | Investment 8  | Sell       |             | 160     | 56         | 7     | <b>'</b> 2 | 24       | 16        | Cancel       | Low    |
| 165          | Investment 9  | Buy        |             | 180     | 63         | 8     | 31         | 27       | 18        | Cancel       | Low    |
| 1549         | Investment 10 | Sell       |             | 200     | 70         | 9     | 90         | 30       | 20        | Cancel       | High   |
| 4168         | Investment 11 | Buy        |             | 220     | 77         | 9     | 9          | 33       | 22        | Cancel       | Low    |
| Account      | John Smith    | Account    | Richard Roe | Account | John [     | Doe   |            |          |           | TRADES       |        |
| Type         | PWZ           | Type       | OQV         | Type    | AWT        |       |            |          |           |              |        |
| Occupation   | dev           | Occupation | dev         | Occupat | ion manag  | ger   |            |          | Amount    |              | Fee    |
|              |               |            |             |         |            |       |            |          | 992       |              | 22     |
| Account      | John Smith    | Account    | John Smith  | Account | John [     | Doe   |            |          | 414       |              | 98     |
| Type         | PWZ           | Type       | RZQ         | Type    | OQV        |       |            |          | 400       |              | 52     |
| Occupation   | dev           | Occupation | manager     | Occupat | ion manag  | ger   |            |          | 560       |              | 38     |
|              |               |            |             |         |            |       |            |          | 345       |              | 87     |
| Account      | John Smith    | Account    | John Smith  | Account | John S     | Smith |            |          | 241       |              | 91     |
| Type         | AWT           | Type       | OQV         | Type    | PWZ        |       |            |          | 988       |              | 112    |
| Occupation   | manager       | Occupation | qa          | Occupat | ion manag  | ger   |            |          |           |              |        |

| Account    | John Smith | Account    | John Smith | Account    | John Doe |
|------------|------------|------------|------------|------------|----------|
| Type       | AWT        | Type       | PWZ        | Type       | RZQ      |
| Occupation | manager    | Occupation | qa         | Occupation | qa       |
|            |            |            |            |            |          |
| Account    | John Smith | Account    | John Smith |            |          |
| Туре       | OQV        | Туре       | AWT        |            |          |
| Occupation | manager    | Occupation | dev        |            |          |
|            |            |            |            |            |          |

| Code          | Description  | Trade <sup>-</sup> | Гуре д      | mount N  | let Amount | Pric  | ce | Quantity | Commision | Order Status | Risk   |
|---------------|--------------|--------------------|-------------|----------|------------|-------|----|----------|-----------|--------------|--------|
| Region:Colora | do           |                    |             |          |            |       |    |          |           |              |        |
| Branch Numb   | er:17        |                    |             |          |            |       |    |          |           |              |        |
| Agent:Phil    |              |                    |             |          |            |       |    |          |           |              |        |
| 4112          | Investment 1 | Sell               |             | 20       | 7          |       | 9  | 3        | 2         | Cancel       | High   |
| 4332          | Investment 2 | Sell               |             | 40       | 14         | 1     | 18 | 6        | 4         | Accepted     | Medium |
| 9250          | Investment 3 | Sell               |             | 60       | 21         | 2     | 27 | 9        | 6         | Accepted     | Low    |
| 227           | Investment 4 | Buy                |             | 80       | 28         | 3     | 36 | 12       | 8         | Progress     | Low    |
| 6137          | Investment 5 | Buy                |             | 100      | 35         | 4     | 15 | 15       | 10        | Accepted     | High   |
| 3596          | Investment 6 | Sell               |             | 120      | 42         | 5     | 54 | 18       | 12        | Progress     | Medium |
| 8399          | Investment 7 | Buy                |             | 140      | 49         | 6     | 53 | 21       | 14        | Progress     | Medium |
| 5983          | Investment 8 | Buy                |             | 160      | 56         | 7     | 72 | 24       | 16        | Progress     | Low    |
| Account       | John Doe     | Account            | Richard Roe | Account  | Richar     | d Roe |    |          |           | TRADES       |        |
| Туре          | AWT          | Type               | PWZ         | Туре     | RZQ        |       |    |          |           |              |        |
| Occupation    | manager      | Occupation         | qa          | Occupati | on qa      |       |    |          | Amount    |              | Fee    |
|               |              |                    |             |          |            |       |    |          | 390       |              | 80     |
| Account       | Richard Roe  | Account            | John Smith  | Account  | John S     | Smith |    |          | 975       |              | 7      |
| Type          | PWZ          | Type               | AWT         | Type     | AWT        |       |    |          | 76        |              | 76     |
| Occupation    | manager      | Occupation         | qa          | Occupati | on qa      |       |    |          | 679       |              | 67     |
|               |              |                    |             |          |            |       |    |          | 169       |              | 76     |
| Account       | John Doe     | Account            | Richard Roe | Account  | John D     | Ooe   |    |          | 803       |              | 95     |
| Туре          | AWT          | Type               | AWT         | Type     | RZQ        |       |    |          | 256       |              | 19     |
| Occupation    | qa           | Occupation         | dev         | Occupati | on qa      |       |    |          | 482       |              | 108    |
|               |              |                    |             |          |            |       |    |          | 282       |              | 17     |
| Account       | John Smith   | Account            | Richard Roe | Account  | Richard    | d Roe |    |          | 919       |              | 54     |
| Type          | AWT          | Type               | OQV         | Type     | RZQ        |       |    |          | 289       |              | 11     |
| Occupation    | qa           | Occupation         | qa          | Occupati | on manag   | ger   |    |          | 371       |              | 74     |
|               |              |                    |             |          |            |       |    |          | 192       |              | 38     |
|               |              |                    |             |          |            |       |    |          | 733       |              | 20     |
|               |              |                    |             |          |            |       |    |          | 246       |              | 23     |

| Account    | John Smith  | Account    | John Smith | Account    | John Doe   |
|------------|-------------|------------|------------|------------|------------|
| Type       | PWZ         | Type       | PWZ        | Type       | PWZ        |
| Occupation | qa          | Occupation | manager    | Occupation | manager    |
|            |             |            |            |            |            |
| Account    | Richard Roe | Account    | John Smith | Account    | John Smith |
| Type       | OQV         | Type       | RZQ        | Type       | OQV        |
| Occupation | dev         | Occupation | dev        | Occupation | manager    |

| Amount | Fee |
|--------|-----|
| 428    | 107 |
| 353    | 50  |
| 774    | 9   |
| 478    | 21  |
| 993    | 42  |
| 847    | 40  |
| 710    | 8   |
| 294    | 83  |
| 37     | 81  |
| 454    | 52  |
| 84     | 86  |
| 288    | 3   |
| 785    | 56  |
| 483    | 36  |
| 831    | 73  |
|        |     |

| Code   | Description  | Trade      | Туре        | Amount Ne | et Amount | Price | Quantity | Commision | Order Status | Risk |
|--|--------------|------------|-------------|-----------|-----------|-------|----------|-----------|--------------|------|
| Region:Florid<br>Branch Numb<br>Agent:Juliet |              |            |             |           |           |       |          |           |              |      |
| 515  | Investment 1 | Buy        |             | 20        | 7         | 9     | 3        | 2         | Accepted     | High |
| Account                                      | John Smith   | Account    | Richard Roe | Account   | John D    | oe    |          |           | TRADES       |      |
| Type   | PWZ          | Type       | RZQ         | Type      | OQV       |       |          |           |              |      |
| Occupation                                   | qa           | Occupation | dev         | Occupatio | n qa      |       |          | Amount    |              | Fee  |
|  |              |            |             |           |           |       |          | 405       |              | 18   |
| Account                                      | Richard Roe  | Account    | John Doe    | Account   | John S    | mith  |          | 334       |              | 61   |
| Туре   | OQV          | Type       | AWT         | Type      | AWT       |       |          | 425       |              | 33   |
| Occupation                                   | manager      | Occupation | manager     | Occupatio | n dev     |       |          | 877       |              | 20   |
|  | _            |            | _           |           |           |       |          | 412       |              | 81   |
| Account                                      | John Smith   | Account    | John Doe    | Account   | Richard   | d Roe |          | 991       |              | 106  |
| Type   | PWZ          | Туре       | RZQ         | Type      | OQV       |       |          | 304       |              | 65   |
| Occupation                                   | manager      | Occupation | qa          | Occupatio | n manage  | er    |          | 97        |              | 7    |
|  | J            |            | •           |           | J         |       |          | 886       |              | 80   |
| Account                                      | John Doe     | Account    | John Doe    | Account   | John D    | oe    |          | 360       |              | 13   |
| Type   | OQV          | Type       | AWT         | Type      | RZQ       |       |          | 774       |              | 118  |
| Occupation                                   | qa           | Occupation | dev         | Occupatio |           |       |          | 337       |              | 92   |
|  | 1            |            |             |           | 4-        |       |          | 275       |              | 48   |
| Account                                      | John Doe     | Account    | John Doe    |           |           |       |          | 277       |              | 111  |
| Туре   | RZQ          | Type       | RZQ         |           |           |       |          | 757       |              | 55   |
| Occupation                                   | qa           | Occupation | manager     |           |           |       |          | 234       |              | 41   |
| Состранный                                   | 4            |            |             |           |           |       |          | 456       |              | 62   |
|  |              |            |             |           |           |       |          | 653       |              | 85   |
|  |              |            |             |           |           |       |          | 970       |              | 79   |
|  |              |            |             |           |           |       |          | 138       |              | 106  |
|  |              |            |             |           |           |       |          | 914       |              | 41   |
|  |              |            |             |           |           |       |          | 46        |              | 95   |
|  |              |            |             |           |           |       |          | 40        |              | 30   |

| Amount | Fee |
|--------|-----|
| 964    | 79  |
| 460    | 112 |
| 353    | 40  |
| 508    | 109 |
| 435    | 54  |
| 850    | 35  |
| 829    | 69  |
| 122    | 74  |
| 401    | 51  |
| 529    | 43  |
| 124    | 94  |
| 462    | 75  |
| 772    | 86  |

| Code          | Description     | Trade T    | ype Ar      | mount Ne  | et Amount | Pric  | :e         | Quantity | Commision | Order Status | Risk   |
|---------------|-----------------|------------|-------------|-----------|-----------|-------|------------|----------|-----------|--------------|--------|
| Region:Colora | Region:Colorado |            |             |           |           |       |            |          |           |              |        |
| Branch Numb   | er:0            |            |             |           |           |       |            |          |           |              |        |
| Agent:Gerry   |                 |            |             |           |           |       |            |          |           |              |        |
| 9637          | Investment 1    | Buy        |             | 20        | 7         |       | 9          | 3        | 2         | Cancel       | Medium |
| 5483          | Investment 2    | Buy        |             | 40        | 14        | 1     | 8          | 6        | 4         | Accepted     | Medium |
| 1655          | Investment 3    | Sell       |             | 60        | 21        | 2     | 27         | 9        | 6         | Accepted     | Low    |
| 2077          | Investment 4    | Sell       |             | 80        | 28        | 3     | 6          | 12       | 8         | Progress     | Medium |
| 4283          | Investment 5    | Sell       |             | 100       | 35        | 4     | <b>.</b> 5 | 15       | 10        | Progress     | High   |
| 1465          | Investment 6    | Buy        |             | 120       | 42        | 5     | 54         | 18       | 12        | Progress     | Medium |
| 1642          | Investment 7    | Buy        |             | 140       | 49        | 6     | 3          | 21       | 14        | Progress     | High   |
| 5232          | Investment 8    | Buy        |             | 160       | 56        | 7     | '2         | 24       | 16        | Progress     | Low    |
| 7761          | Investment 9    | Sell       |             | 180       | 63        | 8     | 81         | 27       | 18        | Cancel       | High   |
| 4312          | Investment 10   | Sell       |             | 200       | 70        | 9     | 0          | 30       | 20        | Cancel       | Low    |
| 2287          | Investment 11   | Sell       |             | 220       | 77        | 9     | 19         | 33       | 22        | Progress     | Medium |
| 4208          | Investment 12   | Buy        |             | 240       | 84        | 10    | 8          | 36       | 24        | Cancel       | High   |
| 3924          | Investment 13   | Buy        |             | 260       | 91        | 11    | 7          | 39       | 26        | Cancel       | High   |
| 9428          | Investment 14   | Buy        |             | 280       | 98        | 12    | .6         | 42       | 28        | Cancel       | High   |
| 1988          | Investment 15   | Sell       |             | 300       | 105       | 13    | 5          | 45       | 30        | Progress     | High   |
| 5990          | Investment 16   | Buy        |             | 320       | 112       | 14    | 4          | 48       | 32        | Accepted     | Medium |
| 1635          | Investment 17   | Sell       |             | 340       | 119       | 15    | 3          | 51       | 34        | Progress     | Low    |
| 3290          | Investment 18   | Buy        |             | 360       | 126       | 16    | 2          | 54       | 36        | Progress     | High   |
| Account       | John Smith      | Account    | Richard Roe | Account   | John      | Smith |            |          |           | TRADES       |        |
| Type          | PWZ             | Type       | PWZ         | Type      | PWZ       |       |            |          |           |              |        |
| Occupation    | manager         | Occupation | dev         | Occupatio | n mana    | ager  |            |          | Amount    |              | Fee    |
|               |                 |            |             |           |           |       |            |          | 595       |              | 45     |
| Account       | John Smith      | Account    | John Doe    | Account   | John      | Smith |            |          | 920       |              | 25     |
| Туре          | OQV             | Type       | PWZ         | Туре      | RZQ       |       |            |          | 193       |              | 116    |
| Occupation    | dev             | Occupation | dev         | Occupatio | n mana    | ager  |            |          | 391       |              | 44     |
|               |                 |            |             |           |           |       |            |          | 175       |              | 102    |

| Account    | Richard Roe | Account    | Richard Roe |
|------------|-------------|------------|-------------|
| Туре       | AWT         | Туре       | RZQ         |
| Occupation | qa          | Occupation | manager     |

|        | _   |
|--------|-----|
| Amount | Fee |
| 71     | 87  |
| 277    | 74  |
| 482    | 103 |
| 973    | 105 |
| 968    | 63  |
| 827    | 119 |
| 870    | 35  |
| 456    | 56  |
| 819    | 98  |
| 33     | 68  |
| 864    | 46  |
| 390    | 6   |
| 783    | 60  |
| 391    | 7   |
| 940    | 50  |
| 865    | 17  |
| 425    | 90  |
| 710    | 99  |
| 198    | 114 |
| 803    | 32  |
| 941    | 44  |
| 498    | 20  |
| 20     | 105 |
| 512    | 45  |
| 899    | 85  |
| 465    | 17  |
| 197    | 63  |
| 903    | 74  |
| 251    | 72  |
| 914    | 35  |
| 780    | 45  |
|        |     |

| Amount | Fee |
|--------|-----|
| 153    | 61  |
| 513    | 74  |
| 382    | 74  |
| 60     | 117 |
| 816    | 69  |
| 129    | 93  |
| 666    | 44  |
| 141    | 45  |
| 321    | 84  |
| 547    | 88  |
| 139    | 87  |
| 373    | 26  |
| 514    | 116 |
| 496    | 49  |
| 367    | 116 |
| 680    | 103 |
| 980    | 44  |
| 258    | 93  |
| 482    | 60  |
| 1      | 93  |
| 313    | 43  |
| 351    | 52  |
| 798    | 4   |
| 301    | 2   |
| 150    | 97  |
| 15     | 48  |
| 617    | 2   |
| 582    | 44  |
| 346    | 34  |
| 713    | 44  |
| 835    | 7   |
|        |     |

| Amount | Fee |
|--------|-----|
| 846    | 85  |

| Code           | Description  | Trade 1    | Гуре д      | Amount Ne | et Amount | Price   | Quantity | Commision     | Order Status      | Risk        |
|----------------|--------------|------------|-------------|-----------|-----------|---------|----------|---------------|-------------------|-------------|
| Region:Florida | a            |            |             |           |           |         |          |               |                   |             |
| Branch Numb    | er:5         |            |             |           |           |         |          |               |                   |             |
| Agent:Aaren    |              |            |             |           |           |         |          |               |                   |             |
| 4909           | Investment 1 | Sell       |             | 20        | 7         | 0       | 2        | 2             | Drograss          | High        |
| 7202           | Investment 2 | Sell Sell  |             | 40        | <i>1</i>  | 9<br>18 | <u>3</u> | <u>2</u><br>4 | Progress Accepted | High<br>Low |
| 8967           | Investment 3 | Buy        |             | 60        | 21        | 27      | 9        | 6             | Progress          | Low         |
|                |              |            |             |           |           |         |          |               |                   | LOW         |
| Account        | John Smith   | Account    | John Smith  | Account   | John D    | )oe     |          |               | TRADES            |             |
| Type           | RZQ          | Type       | AWT         | Type      | OQV       |         |          |               |                   | _           |
| Occupation     | manager      | Occupation | qa          | Occupatio | n manag   | jer     |          | Amount        |                   | Fee         |
|                |              |            |             |           |           |         |          | 287           |                   | 33          |
| Account        | John Doe     | Account    | John Doe    | Account   | Richar    | d Roe   |          | 585           |                   | 109         |
| Туре           | RZQ          | Туре       | AWT         | Type      | OQV       |         |          | 326           |                   | 100         |
| Occupation     | manager      | Occupation | dev         | Occupatio | n dev     |         |          | 841           |                   | 100         |
|                |              |            |             |           |           |         |          | 400           |                   | 90          |
| Account        | Richard Roe  | Account    | John Smith  | Account   | Richar    | d Roe   |          | 165           |                   | 89          |
| Type           | OQV          | Type       | RZQ         | Type      | AWT       |         |          | 446           |                   | 100         |
| Occupation     | manager      | Occupation | qa          | Occupatio | n manag   | jer     |          | 537           |                   | 40          |
|                |              |            |             |           |           |         |          | 953           |                   | 104         |
| Account        | Richard Roe  | Account    | Richard Roe | Account   | John S    | Smith   |          | 388           |                   | 118         |
| Туре           | OQV          | Туре       | AWT         | Type      | PWZ       |         |          | 205           |                   | 72          |
| Occupation     | manager      | Occupation | manager     | Occupatio | n dev     |         |          | 421           |                   | 79          |
|                |              |            |             |           |           |         |          |               |                   |             |
| Account        | John Smith   | Account    | John Smith  | Account   | John D    | )oe     |          |               |                   |             |
| Туре           | AWT          | Туре       | OQV         | Type      | AWT       |         |          |               |                   |             |
| Occupation     | qa           | Occupation | dev         | Occupatio | n manag   | jer     |          |               |                   |             |
|                |              |            |             |           |           |         |          |               |                   |             |

| Account    | John Smith  | Account    | John Smith  | Account    | John Smith  |
|------------|-------------|------------|-------------|------------|-------------|
| Type       | AWT         | Type       | PWZ         | Type       | AWT         |
| Occupation | manager     | Occupation | dev         | Occupation | manager     |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | John Smith  | Account    | John Doe    |
| Type       | AWT         | Type       | RZQ         | Туре       | PWZ         |
| Occupation | manager     | Occupation | manager     | Occupation | dev         |
|            |             |            |             |            |             |
| Account    | John Smith  | Account    | Richard Roe | Account    | Richard Roe |
| Type       | RZQ         | Type       | OQV         | Туре       | AWT         |
| Occupation | dev         | Occupation | qa          | Occupation | dev         |
|            |             |            |             |            |             |
| Account    | John Smith  | Account    | John Smith  |            |             |
| Type       | OQV         | Type       | RZQ         |            |             |
| Occupation | qa          | Occupation | qa          |            |             |
|            |             |            |             |            |             |

| Region:Florida<br>Branch Number: | _             |            |             |            | et Amount | Pric   |    | Quantity | Commision | Order Status | Risk   |
|----------------------------------|---------------|------------|-------------|------------|-----------|--------|----|----------|-----------|--------------|--------|
| Branch Number:                   |               |            |             |            |           |        |    |          |           |              |        |
| Agent:Adelina                    | :0            |            |             |            |           |        |    |          |           |              |        |
| Agent.Adelina                    |               |            |             |            |           |        |    |          |           |              |        |
| 7668                             | Investment 1  | Sell       |             | 20         | 7         |        | 9  | 3        | 2         | Progress     | High   |
| 783                              | Investment 2  | Sell       |             | 40         | 14        | 1      | 18 | 6        | 4         | Progress     | Low    |
| 4634                             | Investment 3  | Buy        |             | 60         | 21        | 2      | 27 | 9        | 6         | Accepted     | High   |
| 2649                             | Investment 4  | Buy        |             | 80         | 28        | 3      | 36 | 12       | 8         | Accepted     | Low    |
| 5300                             | Investment 5  | Buy        |             | 100        | 35        |        | 45 | 15       | 10        | Progress     | Low    |
| 7963                             | Investment 6  | Buy        |             | 120        | 42        | 5      | 54 | 18       | 12        | Progress     | Medium |
| 4111                             | Investment 7  | Buy        |             | 140        | 49        | 6      | 53 | 21       | 14        | Cancel       | Low    |
| 419                              | Investment 8  | Buy        |             | 160        | 56        | 7      | 72 | 24       | 16        | Cancel       | High   |
| 8970                             | Investment 9  | Buy        |             | 180        | 63        | 8      | 31 | 27       | 18        | Cancel       | High   |
| 5880                             | Investment 10 | Sell       |             | 200        | 70        | g      | 90 | 30       | 20        | Cancel       | Low    |
| 7643                             | Investment 11 | Buy        |             | 220        | 77        | g      | 99 | 33       | 22        | Cancel       | Medium |
| 4101                             | Investment 12 | Buy        |             | 240        | 84        | 10     | )8 | 36       | 24        | Progress     | High   |
| 7252                             | Investment 13 | Sell       |             | 260        | 91        | 11     | 17 | 39       | 26        | Accepted     | Low    |
| 7183                             | Investment 14 | Sell       |             | 280        | 98        | 12     | 26 | 42       | 28        | Progress     | High   |
| Account                          | John Smith    | Account    | John Doe    | Account    | Richa     | rd Roe |    |          |           | TRADES       |        |
| Type                             | AWT           | Туре       | PWZ         | Туре       | PWZ       |        |    |          |           |              |        |
| Occupation                       | dev           | Occupation | dev         | Occupation | on mana   | ger    |    |          | Amount    |              | Fee    |
|                                  |               |            |             |            |           |        |    |          | 121       |              | 30     |
| Account                          | Richard Roe   | Account    | John Doe    | Account    | John      | Doe    |    |          | 336       |              | 58     |
| Туре                             | RZQ           | Туре       | OQV         | Type       | AWT       |        |    |          | 758       |              | 9      |
| Occupation                       | qa            | Occupation | qa          | Occupation | on qa     |        |    |          | 603       |              | 11     |
|                                  |               |            |             |            |           |        |    |          | 218       |              | 101    |
| Account                          | John Doe      | Account    | Richard Roe | Account    | Richa     | rd Roe |    |          | 605       |              | 55     |
| Type                             | AWT           | Туре       | RZQ         | Type       | RZQ       |        |    |          | 740       |              | 27     |
| Occupation                       | dev           | Occupation | dev         | Occupation | on dev    |        |    |          | 194       |              | 107    |
|                                  |               |            |             |            |           |        |    |          | 572       |              | 2      |

| Account    | John Smith | Account    | John Doe   | Account    | Richard Roe |
|------------|------------|------------|------------|------------|-------------|
| Туре       | AWT        | Type       | RZQ        | Type       | AWT         |
| Occupation | dev        | Occupation | dev        | Occupation | qa          |
|            |            |            |            |            |             |
| Account    | John Doe   | Account    | John Smith | Account    | John Doe    |
| Туре       | OQV        | Туре       | AWT        | Type       | RZQ         |
| Occupation | dev        | Occupation | manager    | Occupation | dev         |
|            |            |            |            |            |             |
| Account    | John Smith | Account    | John Doe   | Account    | John Doe    |
| Туре       | OQV        | Type       | AWT        | Туре       | RZQ         |
| Occupation | dev        | Occupation | dev        | Occupation | qa          |
|            |            |            |            |            |             |
| Account    | John Doe   | Account    | John Doe   | Account    | John Doe    |
| Туре       | AWT        | Type       | PWZ        | Туре       | AWT         |
| Occupation | qa         | Occupation | manager    | Occupation | manager     |
|            |            |            |            |            |             |
| Account    | John Smith | Account    | John Doe   |            |             |
| Туре       | PWZ        | Type       | PWZ        |            |             |
| Occupation | manager    | Occupation | qa         |            |             |
|            |            |            |            |            |             |

| Amount | Fee |
|--------|-----|
| 186    | 6   |
| 537    | 54  |
| 283    | 71  |
| 640    | 97  |
| 732    | 96  |
| 550    | 16  |
| 883    | 112 |

| Code          | Description  | Trade <sup>-</sup> | Гуре д      | mount  | Net Amount | Pric     | ce | Quantity | Commision | Order Status | Risk   |
|---------------|--------------|--------------------|-------------|--------|------------|----------|----|----------|-----------|--------------|--------|
| Region:Califo |              |                    |             |        |            |          |    |          |           |              |        |
| Branch Numb   | er:7         |                    |             |        |            |          |    |          |           |              |        |
| Agent:Maia    |              |                    |             |        |            |          |    |          |           |              |        |
| 5065          | Investment 1 | Buy                |             | 20     | 7          |          | 9  | 3        | 2         | Progress     | Low    |
| 1463          | Investment 2 | Buy                |             | 40     | 14         | 1        | 18 | 6        | 4         | Progress     | High   |
| 8782          | Investment 3 | Sell               |             | 60     | 21         | 2        | 27 | 9        | 6         | Cancel       | High   |
| 4723          | Investment 4 | Buy                |             | 80     | 28         | 3        | 36 | 12       | 8         | Cancel       | Medium |
| 6390          | Investment 5 | Buy                |             | 100    | 35         | 4        | 45 | 15       | 10        | Progress     | Medium |
| 506           | Investment 6 | Buy                |             | 120    | 42         |          | 54 | 18       | 12        | Accepted     | High   |
| 465           | Investment 7 | Buy                |             | 140    | 49         | (        | 63 | 21       | 14        | Accepted     | Medium |
| 4604          | Investment 8 | Sell               |             | 160    | 56         | 7        | 72 | 24       | 16        | Progress     | High   |
| Account       | John Doe     | Account            | Richard Roe | Accoun | t Ric      | hard Roe |    |          |           | TRADES       |        |
| Type          | OQV          | Type               | OQV         | Type   | OQ         | V        |    |          |           |              |        |
| Occupation    | qa           | Occupation         | manager     | Occupa | tion ma    | nager    |    |          | Amount    |              | Fee    |
|               |              |                    |             |        |            |          |    |          | 502       |              | 30     |
| Account       | Richard Roe  | Account            | John Smith  | Accoun |            | hard Roe |    |          | 984       |              | 38     |
| Туре          | OQV          | Туре               | AWT         | Type   | OQ         | V        |    |          | 943       |              | 74     |
| Occupation    | qa           | Occupation         | dev         | Occupa | tion ma    | nager    |    |          | 207       |              | 68     |
|               |              |                    |             |        |            |          |    |          | 398       |              | 67     |
| Account       | John Smith   | Account            | John Doe    | Accoun |            | n Doe    |    |          | 854       |              | 81     |
| Type          | RZQ          | Type               | OQV         | Type   | PW         |          |    |          | 732       |              | 36     |
| Occupation    | qa           | Occupation         | manager     | Occupa | tion dev   | '        |    |          | 56        |              | 9      |
|               |              |                    |             |        |            |          |    |          | 899       |              | 59     |
| Account       | John Doe     | Account            | John Smith  |        |            |          |    |          | 423       |              | 73     |
| Type          | PWZ          | Type               | RZQ         |        |            |          |    |          | 665       |              | 27     |
| Occupation    | dev          | Occupation         | qa          |        |            |          |    |          | 179       |              | 95     |
|               |              |                    |             |        |            |          |    |          | 174       |              | 67     |
|               |              |                    |             |        |            |          |    |          | 561       |              | 54     |
|               |              |                    |             |        |            |          |    |          | 942       |              | 7      |

| Amount | Fee |
|--------|-----|
| 752    | 5   |
| 330    | 24  |
| 270    | 91  |
| 457    | 19  |
| 721    | 66  |
| 380    | 3   |
| 778    | 77  |
| 112    | 83  |
| 828    | 70  |
| 988    | 116 |
| 923    | 81  |
| 97     | 112 |
| 671    | 62  |
| 433    | 81  |
| 999    | 23  |
| 593    | 16  |
| 186    | 55  |
| 632    | 117 |
| 800    | 83  |
| 578    | 8   |
| 992    | 112 |
| 734    | 27  |
| 203    | 112 |
| 642    | 20  |
| 733    | 18  |
| 33     | 98  |
| 532    | 53  |
| 138    | 107 |
| 160    | 57  |
| 938    | 111 |
| 555    | 42  |

| Amount | Fee |
|--------|-----|
| 972    | 37  |
| 370    | 97  |
| 421    | 24  |
| 617    | 49  |
| 676    | 118 |
| 597    | 19  |
| 70     | 109 |
| 875    | 47  |
| 960    | 82  |
| 166    | 24  |
| 685    | 7   |
| 61     | 41  |
| 288    | 56  |
| 35     | 18  |
| 483    | 3   |
| 424    | 2   |
| 781    | 2   |
| 645    | 87  |
| 386    | 22  |
| 757    | 65  |
| 453    | 25  |
| 255    | 71  |
| 673    | 87  |
| 535    | 37  |
| 677    | 98  |

| 8458         Investment 3         Sell         60         21         27         9         6 Cancel           5045         Investment 4         Sell         80         28         36         12         8 Progress           6446         Investment 5         Buy         100         35         45         15         10 Cancel  | Risk  |
|--|-------|
| Repert Agatha   Repert Agath   |       |
| Topic  |       |
| At   117   Investment 2   Sell   At   14   18   6   4   Progress   Materials   |       |
| Sell      | High  |
| Solid  | edium |
| Second   S   | Low   |
| 120   42   54   18   12   Progress   Marcount   140   49   63   21   14   Accepted   140   49   63   21   14   Accepted   140   14   | Low   |
| 140   49   63   21   14   Accepted   | Low   |
| 160   56   72   24   16   Cancel   | edium |
| 215  | Low   |
| Account Richard Roe PWZ Type OQV Type PWZ Occupation dev Occupation John Doe Account John Doe Type OQV Type AWT Type AWT Type OCcupation dev Occupation Manager Occupation Doe Account John Doe Account John Doe AWT Type AWT Type AWT Type AWT Type OCcupation dev Occupation Manager Occupation dev Occupation Manager Occupation Doe ACCOUNT Type OQV Type AWT Type Type Type OCCUpation Manager Occupation Doccupation Doccupation Manager Occupation Doccupation Do | High  |
| Account Richard Roe PWZ Type OQV Type PWZ Occupation dev Occupation John Doe 857  Account John Doe Account John Doe Account John Doe 57  Type OQV Type AWT Type AWT Type AWT 737  Occupation qa Occupation manager Occupation dev 961  718  227  30  | Low   |
| Type PWZ Occupation dev Occupation manager Occupation qa  Account John Doe Account John Doe AWT Type AWT 737  Occupation qa Occupation manager Occupation dev 961  718  227  30  | Low   |
| Occupation dev Occupation manager Occupation qa  85  Account John Doe Account John Doe Type OQV Type AWT Type AWT Type AWT 737  Occupation qa Occupation manager Occupation dev 961  718  227  30  |       |
| Account John Doe Account John Doe 57 Type OQV Type AWT Type AWT 737 Occupation qa Occupation manager Occupation dev 961 718 227 30   | Fac   |
| Account John Doe Account John Doe 57 Type OQV Type AWT Type AWT 737 Occupation qa Occupation manager Occupation dev 961 718 227 30   | Fee   |
| Type OQV Type AWT Type AWT 737 Occupation qa Occupation manager Occupation dev 961 718 227 30  | 92    |
| Occupation qa Occupation manager Occupation dev 961 718 227 30   | 113   |
| 718<br>227<br>30   | 10    |
| 227<br>30  | 106   |
| 30   | 79    |
|  | 77    |
| 0)1  | 42    |
|  | 29    |
| 166  | 17    |
| 391  | 10    |
| 139  | 89    |
| 669  | 12    |
| 352  | 113   |

| Amount | Fee |
|--------|-----|
| Amount |     |
| 722    | 16  |
| 868    | 28  |
| 544    | 84  |
| 529    | 49  |
| 229    | 24  |
| 719    | 24  |
| 743    | 82  |
| 295    | 91  |
| 191    | 14  |
| 60     | 79  |
| 102    | 57  |
| 899    | 38  |
| 396    | 24  |
| 899    | 19  |
| 559    | 90  |
| 439    | 1   |
| 561    | 70  |
| 641    | 39  |
| 858    | 26  |
| 953    | 84  |
| 708    | 98  |
| 771    | 83  |
| 806    | 81  |
| 446    | 11  |
| 688    | 63  |
| 864    | 86  |
| 429    | 87  |
| 847    | 12  |
| 375    | 92  |
| 218    | 27  |
| 556    | 56  |
|        |     |

| Amount | Fee |
|--------|-----|
| 910    | 29  |
| 749    | 40  |
| 669    | 54  |
| 936    | 31  |
| 97     | 41  |
| 907    | 69  |
| 847    | 118 |
| 521    | 43  |
| 270    | 18  |
| 618    | 70  |
| 854    | 106 |
| 954    | 38  |
| 861    | 101 |
| 731    | 2   |
| 260    | 70  |
| 670    | 106 |
| 353    | 11  |
| 13     | 33  |
| 382    | 37  |

| Code          | Description  | Trade <sup>-</sup> | Гуре А      | mount  | Net Amount | Pric    | ce | Quantity | Commision | Order Status | Risk   |
|---------------|--------------|--------------------|-------------|--------|------------|---------|----|----------|-----------|--------------|--------|
| Region:Califo | rnia         |                    |             |        |            |         |    |          |           |              |        |
| Branch Numb   | er:6         |                    |             |        |            |         |    |          |           |              |        |
| Agent:Maia    |              |                    |             |        |            |         |    |          |           |              |        |
| 9717          | Investment 1 | Sell               |             | 20     | 7          |         | 9  | 3        | 2         | Progress     | Medium |
| 1666          | Investment 2 | Buy                |             | 40     | 14         | -       | 18 | 6        | 4         | Cancel       | Low    |
| 315           | Investment 3 | Buy                |             | 60     | 21         |         | 27 | 9        | 6         | Progress     | High   |
| 4277          | Investment 4 | Sell               |             | 80     | 28         |         | 36 | 12       | 8         | Cancel       | Medium |
| 9436          | Investment 5 | Sell               |             | 100    | 35         |         | 45 | 15       | 10        | Accepted     | High   |
| Account       | Richard Roe  | Account            | Richard Roe | Accour | nt Johr    | Doe     |    |          |           | TRADES       |        |
| Type          | RZQ          | Туре               | AWT         | Type   | PWZ        |         |    |          |           |              |        |
| Occupation    | dev          | Occupation         | dev         | Occupa | ntion man  | ager    |    |          | Amount    |              | Fee    |
|               |              |                    |             |        |            |         |    |          | 21        |              | 46     |
| Account       | Richard Roe  | Account            | Richard Roe | Accour | nt Johr    | Doe     |    |          | 568       |              | 57     |
| Type          | AWT          | Type               | OQV         | Type   | PWZ        |         |    |          | 936       |              | 30     |
| Occupation    | qa           | Occupation         | dev         | Occupa | ntion man  | ager    |    |          | 952       |              | 17     |
|               |              |                    |             |        |            |         |    |          | 295       |              | 47     |
| Account       | John Smith   | Account            | Richard Roe | Accour | nt Rich    | ard Roe |    |          | 597       |              | 94     |
| Type          | PWZ          | Type               | AWT         | Type   | OQV        |         |    |          | 497       |              | 48     |
| Occupation    | qa           | Occupation         | qa          | Occupa | ntion dev  |         |    |          | 524       |              | 26     |
|               |              |                    |             |        |            |         |    |          | 546       |              | 41     |
| Account       | John Smith   | Account            | John Smith  | Accour | nt Johr    | Smith   |    |          | 877       |              | 7      |
| Type          | RZQ          | Type               | RZQ         | Type   | RZQ        |         |    |          | 778       |              | 79     |
| Occupation    | dev          | Occupation         | qa          | Occupa | ntion man  | ager    |    |          | 752       |              | 3      |
|               |              |                    |             |        |            |         |    |          | 921       |              | 63     |
| Account       | John Doe     | Account            | John Smith  | Accour | nt Rich    | ard Roe |    |          | 115       |              | 22     |
| Type          | PWZ          | Type               | OQV         | Type   | RZQ        |         |    |          | 730       |              | 39     |
| Occupation    | manager      | Occupation         | dev         | Occupa | ntion dev  |         |    |          | 971       |              | 8      |
|               |              |                    |             |        |            |         |    |          | 665       |              | 8      |
|               |              |                    |             |        |            |         |    |          | 732       |              | 40     |

| Account    | John Doe    | Account    | Richard Roe | Account    | John Doe |
|------------|-------------|------------|-------------|------------|----------|
| Туре       | RZQ         | Type       | RZQ         | Type       | RZQ      |
| Occupation | qa          | Occupation | manager     | Occupation | qa       |
|            |             |            |             |            |          |
| Account    | John Smith  | Account    | Richard Roe | Account    | John Doe |
| Туре       | PWZ         | Type       | PWZ         | Type       | PWZ      |
| Occupation | dev         | Occupation | manager     | Occupation | qa       |
|            |             |            |             |            |          |
| Account    | Richard Roe | Account    | John Doe    |            |          |
| Туре       | RZQ         | Type       | RZQ         |            |          |
| Occupation | manager     | Occupation | dev         |            |          |

| Amount | Fee |
|--------|-----|
| 954    | 96  |
| 624    | 71  |
| 368    | 60  |
| 792    | 42  |
| 134    | 2   |
| 353    | 70  |
| 637    | 4   |
| 237    | 70  |
| 203    | 49  |
| 461    | 104 |
| 260    | 117 |
| 105    | 15  |
| 520    | 105 |
| 668    | 113 |
| 985    | 13  |
| 598    | 80  |
| 223    | 26  |
| 615    | 93  |
| 609    | 52  |
| 685    | 88  |
| 402    | 60  |
| 107    | 44  |
| 950    | 68  |
| 774    | 112 |
| 432    | 44  |
| 940    | 9   |
| 321    | 114 |
| 795    | 18  |
| 87     | 53  |
| 444    | 46  |
| 8      | 82  |
|        |     |

| Amount | Fee |
|--------|-----|
| 226    | 44  |
| 337    | 119 |
| 771    | 24  |
| 479    | 117 |
| 10     | 11  |
| 257    | 116 |
| 413    | 113 |
| 816    | 54  |
| 514    | 32  |
| 957    | 53  |
| 57     | 24  |
| 269    | 80  |
| 774    | 78  |
| 875    | 72  |
| 271    | 74  |
|        |     |

| Code          | Description   | Trade      | Гуре Аі     | mount l | Net Amount | Pric    | ce | Quantity | Commision | Order Status | Risk   |
|---------------|---------------|------------|-------------|---------|------------|---------|----|----------|-----------|--------------|--------|
| Region:Arizon | a             |            |             |         |            |         |    |          |           |              |        |
| Branch Numb   | er:18         |            |             |         |            |         |    |          |           |              |        |
| Agent:Phil    |               |            |             |         |            |         |    |          |           |              |        |
| 1818          | Investment 1  | Sell       |             | 20      | 7          |         | 9  | 3        | 2         | Cancel       | Low    |
| 1068          | Investment 2  | Sell       |             | 40      | 14         | 1       | 18 | 6        | 4         | Cancel       | Low    |
| 3790          | Investment 3  | Sell       |             | 60      | 21         | 2       | 27 | 9        | 6         | Progress     | High   |
| 7802          | Investment 4  | Sell       |             | 80      | 28         | 3       | 36 | 12       | 8         | Accepted     | Medium |
| 5650          | Investment 5  | Buy        |             | 100     | 35         | 4       | 45 | 15       | 10        | Cancel       | Medium |
| 7757          | Investment 6  | Buy        |             | 120     | 42         | 5       | 54 | 18       | 12        | Accepted     | Medium |
| 9046          | Investment 7  | Sell       |             | 140     | 49         | 6       | 53 | 21       | 14        | Progress     | High   |
| 891           | Investment 8  | Sell       |             | 160     | 56         | 7       | 72 | 24       | 16        | Accepted     | Low    |
| 8044          | Investment 9  | Sell       |             | 180     | 63         | 8       | 31 | 27       | 18        | Progress     | Low    |
| 7326          | Investment 10 | Buy        |             | 200     | 70         | g       | 90 | 30       | 20        | Accepted     | High   |
| 1057          | Investment 11 | Sell       |             | 220     | 77         | g       | 99 | 33       | 22        | Progress     | High   |
| 8077          | Investment 12 | Sell       |             | 240     | 84         | 10      | 08 | 36       | 24        | Accepted     | Low    |
| 325           | Investment 13 | Sell       |             | 260     | 91         | 11      | 17 | 39       | 26        | Cancel       | High   |
| 5012          | Investment 14 | Sell       |             | 280     | 98         | 12      | 26 | 42       | 28        | Progress     | High   |
| Account       | Richard Roe   | Account    | Richard Roe | Account | John       | Smith   |    |          |           | TRADES       |        |
| Type          | OQV           | Type       | PWZ         | Type    | OQV        |         |    |          |           |              |        |
| Occupation    | qa            | Occupation | dev         | Occupat | ion mana   | ager    |    |          | Amount    |              | Fee    |
|               |               |            |             |         |            |         |    |          | 377       |              | 81     |
| Account       | John Doe      | Account    | John Doe    | Account | John       | Smith   |    |          | 904       |              | 15     |
| Type          | AWT           | Type       | AWT         | Type    | PWZ        |         |    |          | 488       |              | 67     |
| Occupation    | qa            | Occupation | dev         | Occupat | ion dev    |         |    |          | 786       |              | 47     |
|               |               |            |             |         |            |         |    |          | 193       |              | 59     |
| Account       | John Doe      | Account    | John Smith  | Account | Richa      | ard Roe |    |          | 187       |              | 65     |
| Type          | OQV           | Type       | RZQ         | Type    | PWZ        |         |    |          | 604       |              | 4      |
| Occupation    | dev           | Occupation | manager     | Occupat | ion qa     |         |    |          | 421       |              | 49     |
|               |               |            |             |         |            |         |    |          | 46        |              | 71     |

| Account    | John Doe    | Account    | John Doe    | Account    | Richard Roe |
|------------|-------------|------------|-------------|------------|-------------|
| Туре       | AWT         | Type       | RZQ         | Type       | AWT         |
| Occupation | manager     | Occupation | qa          | Occupation | manager     |
|            |             |            |             |            |             |
| Account    | John Doe    | Account    | John Smith  | Account    | John Smith  |
| Туре       | AWT         | Type       | PWZ         | Туре       | OQV         |
| Occupation | manager     | Occupation | dev         | Occupation | manager     |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | John Doe    | Account    | John Smith  |
| Туре       | OQV         | Type       | PWZ         | Туре       | OQV         |
| Occupation | qa          | Occupation | manager     | Occupation | qa          |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | John Smith  | Account    | John Doe    |
| Туре       | RZQ         | Type       | RZQ         | Type       | PWZ         |
| Occupation | dev         | Occupation | dev         | Occupation | manager     |
|            |             |            |             |            |             |
| Account    | Richard Roe | Account    | Richard Roe |            |             |
| Туре       | OQV         | Type       | OQV         |            |             |
| Occupation | manager     | Occupation | qa          |            |             |
|            |             |            |             |            |             |

| Amount | Fee |
|--------|-----|
| 565    | 44  |
| 138    | 115 |
| 159    | 20  |
| 411    | 52  |
| 122    | 112 |
| 598    | 13  |
| 413    | 76  |
| 900    | 19  |
| 745    | 80  |
| 686    | 15  |
| 41     | 119 |
| 817    | 15  |
| 523    | 47  |
| 777    | 67  |
| 787    | 96  |
| 385    | 79  |
| 301    | 74  |
| 776    | 98  |
| 527    | 103 |
| 431    | 57  |
| 633    | 2   |
| 319    | 72  |
| 357    | 35  |
| 880    | 62  |
| 433    | 25  |
| 572    | 52  |
| 899    | 106 |
| 891    | 43  |
| 124    | 90  |
| 127    | 111 |
| 965    | 37  |

| Amount | Fee |
|--------|-----|
| 679    | 107 |
| 870    | 106 |
| 792    | 50  |
| 86     | 15  |
| 607    | 47  |
| 684    | 115 |
| 212    | 10  |
| 180    | 108 |
| 721    | 88  |
| 277    | 94  |
| 512    | 21  |
| 831    | 84  |
| 754    | 25  |
| 738    | 6   |
| 235    | 92  |
| 185    | 15  |
| 75     | 39  |
| 949    | 65  |
| 88     | 1   |
| 263    | 95  |
| 751    | 34  |
| 565    | 95  |
| 345    | 112 |
| 582    | 99  |
| 634    | 51  |
| 480    | 3   |
| 301    | 111 |
| 846    | 96  |
| 483    | 118 |
| 400    | 119 |
| 282    | 79  |
|        |     |

| Amount | Fee |
|--------|-----|
| 778    | 48  |
| 482    | 95  |
| 462    | 90  |

| Code          | Description  | Trade      | Гуре А      | mount | Net Amount     | Pr          | ice | Quantity | Commision | Order Status | Risk |
|---------------|--------------|------------|-------------|-------|----------------|-------------|-----|----------|-----------|--------------|------|
| Region:Florid | a            |            |             |       |                |             |     |          |           |              |      |
| Branch Numb   | er:5         |            |             |       |                |             |     |          |           |              |      |
| Agent:Aaren   |              |            |             |       |                |             |     |          |           |              |      |
| 8427          | Investment 1 | Buy        |             | 20    | 7              |             | 9   | 3        | 2         | Cancel       | Low  |
| 8622          | Investment 2 | Sell       |             | 40    | <i>'</i><br>14 |             | 18  | 6        | 4         | Cancel       | Low  |
| 8128          | Investment 3 | Sell       |             | 60    | 21             |             | 27  | 9        | 6         | Accepted     | Low  |
| 7239          | Investment 4 | Buy        |             | 80    | 28             |             | 36  | 12       | 8         | Accepted     | High |
| 7674          | Investment 5 | Buy        |             | 100   | 35             |             | 45  | 15       | 10        | Cancel       | High |
| Account       | John Doe     | Account    | Richard Roe | Accou | nt             | John Smith  |     |          |           | TRADES       |      |
| Type          | RZQ          | Туре       | PWZ         | Type  |                | RZQ         |     |          |           |              |      |
| Occupation    | dev          | Occupation | dev         | Occup | ation          | qa          |     |          | Amount    |              | Fee  |
|               |              |            |             |       |                |             |     |          | 921       |              | 104  |
| Account       | John Smith   | Account    | John Doe    | Accou | nt             | Richard Roe |     |          | 504       |              | 88   |
| Type          | OQV          | Type       | PWZ         | Type  |                | OQV         |     |          | 351       |              | 48   |
| Occupation    | manager      | Occupation | qa          | Occup | ation          | manager     |     |          | 389       |              | 32   |
|               |              |            |             |       |                |             |     |          | 382       |              | 102  |
| Account       | John Smith   | Account    | Richard Roe | Accou | nt             | Richard Roe |     |          | 267       |              | 12   |
| Type          | PWZ          | Type       | OQV         | Type  |                | RZQ         |     |          | 749       |              | 97   |
| Occupation    | manager      | Occupation | dev         | Occup | ation          | dev         |     |          | 177       |              | 58   |
|               |              |            |             |       |                |             |     |          | 143       |              | 52   |
| Account       | Richard Roe  | Account    | Richard Roe | Accou | nt             | Richard Roe |     |          | 405       |              | 95   |
| Type          | RZQ          | Type       | OQV         | Type  |                | AWT         |     |          | 641       |              | 63   |
| Occupation    | dev          | Occupation | dev         | Occup | ation          | qa          |     |          | 128       |              | 81   |
|               |              |            |             |       |                |             |     |          | 163       |              | 40   |
| Account       | John Doe     | Account    | John Doe    | Accou | nt             | Richard Roe |     |          | 398       |              | 102  |
| Type          | AWT          | Type       | AWT         | Type  |                | PWZ         |     |          | 989       |              | 10   |
| Occupation    | qa           | Occupation | qa          | Occup | ation          | manager     |     |          | 563       |              | 88   |
|               |              |            |             |       |                |             |     |          | 129       |              | 71   |
|               |              |            |             |       |                |             |     |          | 481       |              | 71   |

| Account    | John Doe    | Account    | John Smith | Account    | John Doe |
|------------|-------------|------------|------------|------------|----------|
| Туре       | RZQ         | Type       | PWZ        | Туре       | OQV      |
| Occupation | manager     | Occupation | manager    | Occupation | qa       |
|            |             |            |            |            |          |
| Account    | Richard Roe | Account    | John Doe   | Account    | John Doe |
| Туре       | AWT         | Type       | AWT        | Type       | PWZ      |
| Occupation | dev         | Occupation | manager    | Occupation | dev      |
|            |             |            |            |            |          |
| Account    | John Smith  | Account    | John Smith | Account    | John Doe |
| Туре       | AWT         | Type       | RZQ        | Type       | AWT      |
| Occupation | dev         | Occupation | dev        | Occupation | dev      |

| Amount | Fee |
|--------|-----|
| 30     | 47  |
| 119    | 75  |
| 717    | 53  |
| 835    | 21  |
| 756    | 74  |
| 223    | 113 |
| 783    | 89  |
| 721    | 19  |
| 751    | 54  |
| 13     | 106 |
| 147    | 36  |
| 470    | 21  |
| 210    | 9   |
| 537    | 105 |
| 11     | 56  |
| 210    | 100 |
| 652    | 59  |
| 576    | 89  |
| 86     | 42  |
| 27     | 56  |
| 938    | 108 |
| 238    | 89  |
| 629    | 73  |
| 431    | 61  |
| 126    | 27  |
| 652    | 98  |
| 816    | 111 |
| 495    | 89  |
| 450    | 43  |
| 922    | 117 |
| 196    | 117 |

| Amount | Fee |
|--------|-----|
| 958    | 2   |
| 165    | 85  |
| 933    | 111 |
| 383    | 8   |