



## Portfolio Asset Management

### Client Search:

The System allows for various types of client searches. You can search by clients name; full or partial, clients account number, or by your own special code you supply to customers. You can also have any other search criteria customized for your company's needs.

### Client Profile

Displays clients accounts, type, date opened or closed and weather the account is opened or closed. The client contact telephone numbers and email address (which interacts with Outlook.) are displayed and maintained here. In addition the Account Specifications lets you view and edit as the client approves.

Figure 1.0

### Client Details

Displays client's Mailing Address & Alternate Address. This Tab is often used for unique information that a Manager may want to keep on file. Here we show an occupation field so this Manager can refer his clients to other clients that may be in need of that service.

Figure 1.1

Because an advisor is attached to specific accounts, and the system tracks the performance of that account, then with no effort advisor historical trends and P&L are easily accomplished.



## Buys

Search	User Fields	GenNotes	AcctNotes	Prospectus	RealGains	BookKeep	Cash Tran	MoneyLine	Open Orders	Benefactors	MoreTel	Taxes	Filters
Output	Profile	Details	Buys	Sells	Positions								
Santino, Nick -- nicks -- 3HR-653676 -- Regular Cash													
<b>Buy</b>													
Trade Date	Quantity	Symbol	Type	Price	Principal	Commission	SEC Fee	Confirm Fee	Service Charge	Net Amount	Days	Carv/Cor	
01/03/2001	749.0140	ORHAX	Cash	\$21.1600	\$15,849.13	\$0.00	\$0.00	\$1.50	\$3.50	\$15,854.13	186	0	Detail
11/08/2000	44.6970	ORHAX	Cash	\$29.1600	\$1,303.36	\$0.00	\$0.00	\$1.50	\$3.50	\$1,308.36	242	0	Detail
11/06/2000	500.0000	ORCL	Cash	\$30.6570	\$15,328.50	\$147.45	\$0.00	\$1.50	\$3.50	\$15,480.95	244	0	Detail
10/25/2000	115.9110	MFHAX	Cash	\$34.0000	\$3,940.99	\$0.00	\$0.00	\$1.50	\$3.50	\$3,945.99	256	0	Detail
08/10/2000	66.0270	PNOBX	Cash	\$88.1100	\$5,817.64	\$0.00	\$0.00	\$1.50	\$3.50	\$5,822.62	332	0	Detail
07/26/2000	196.3580	PHSTX	Cash	\$84.0300	\$16,499.96	\$0.04	\$0.00	\$1.50	\$3.50	\$16,505.00	347	0	Detail
07/18/2000	60.0000	SUNW	Cash	\$93.6639	\$5,619.83	\$50.45	\$5.00	\$0.00	\$0.00	\$5,675.28	355	0	Detail
07/07/2000	200.0000	COST	Cash	\$32.3125	\$6,462.50	\$71.54	\$5.00	\$0.00	\$0.00	\$6,539.04	366	0	Detail
07/07/2000	300.0000	COST	Cash	\$30.1875	\$9,056.25	\$81.14	\$5.00	\$0.00	\$0.00	\$9,142.39	366	0	Detail
06/21/2000	60.0000	SUNW	Cash	\$93.6639	\$5,619.83	\$50.45	\$0.00	\$1.50	\$3.50	\$5,675.28	382	0	Detail
06/20/2000	60.9570	FBIIX	Cash	\$65.6200	\$4,000.00	\$50.00	\$5.00	\$0.00	\$0.00	\$4,055.00	383	0	Detail
05/26/2000	60.9570	FBIIX	Cash	\$65.6200	\$4,000.00	\$50.00	\$0.00	\$1.50	\$3.50	\$4,055.00	408	0	Detail
05/25/2000	200.0000	COST	Cash	\$32.3125	\$6,462.50	\$71.54	\$0.00	\$1.50	\$3.50	\$6,539.04	409	0	Detail
05/25/2000	100.0000	MOT	Cash	\$89.6875	\$8,968.75	\$50.45	\$5.00	\$0.00	\$0.00	\$9,024.20	409	0	Detail
05/24/2000	200.0000	COST	Cash	\$33.1875	\$6,637.50	\$54.09	\$0.00	\$0.00	\$0.00	\$6,691.59	410	0	Detail
05/24/2000	200.0000	COST	Cash	\$28.9844	\$5,796.88	\$54.09	\$0.00	\$0.00	\$0.00	\$5,850.97	410	0	Detail
05/24/2000	100.0000	MOT	Cash	\$89.6875	\$8,968.75	\$50.45	\$0.00	\$1.50	\$3.50	\$9,024.20	410	0	Detail
05/24/2000	100.0000	COST	Cash	\$33.0000	\$3,300.00	\$27.05	\$0.00	\$0.00	\$0.00	\$3,327.05	410	0	Detail
Total Buys Comissions					\$1,010.12								
Sort By: <input checked="" type="checkbox"/> Date <input type="checkbox"/> Symbol													

Figure 1.2

Displays purchases made listed chronologically. On the right side of each transaction is a detail button that opens a window displaying all 35 fields related to the purchase. Note: Thirteen fields are displayed for this Broker Dealer. The System is completely customizable you can have different columns displayed in any order you desire. The Column Type will also display splits & received from transfers.

## Sells:

Same information as Buys

## Positions Tab:

Search	User Fields	GenNotes	AcctNotes	Prospectus	RealGains	BookKeep	Cash Tran	MoneyLine	Open Orders	Benefactors	MoreTel	Taxes	Filters
Output	Profile	Details	Buys	Sells	Positions								
<b>Positions</b>													
Symbol	# of Shares	Description	Type	Cost	Last	Current Value	Unrealized Gain						
ANABX	9,265.8520	Alliance North American Government Class B	Margin	\$7.9527	7.68	\$71,162	(\$2,526)	H					
AWK	200.0000	American Water Works Company Inc	Margin	\$31.7763	32.38	\$6,476	\$121	H					
BKH	150.0000	Black Hills Corp Com	Margin	\$54.0978	52.49	\$7,874	(\$241)	H					
BPUR	400.0000	Biopure Corp Cl A	Margin	\$18.9828	18.75	\$7,500	(\$93)	H					
CHBS	150.0000	Christopher & Banks Corp Com	Margin	\$35.8627	32.41	\$4,862	(\$518)	H					
DRI	400.0000	Darden Restaurants Inc Com	Margin	\$25.3671	24.96	\$9,984	(\$163)	H					
ISSX	200.0000	Internet Sec Sys Inc	Margin	\$35.7137	36.81	\$7,362	\$219	H					
KMI	100.0000	Kinder Morgan Inc Kans Com	Margin	\$54.2545	57.54	\$5,754	\$329	H					
NT	300.0000	Nortel Networks Corp New Com	Margin	\$17.0577	16.60	\$4,980	(\$137)	H					
ORHAX	2,461.5400	Orbitex Health And Biotechnology_Id Cl A	Cash	\$28.1671	15.55	\$38,277	(\$31,057)	H					
PNM	1,200.0000	Public Service Co Of New Mexico	Margin	\$32.1742	33.45	\$40,140	\$1,531	H					
PPL	200.0000	Ppl Corp Com	Margin	\$49.9021	50.31	\$10,062	\$82	H					
PRHC	150.0000	Province Healthcare Co Com	Margin	\$30.2959	28.35	\$4,253	(\$292)	H					
TE	150.0000	Teco Energy Inc	Margin	\$30.6738	30.69	\$4,604	\$2	H					
UDS	250.0000	Ultramar Diamond Shamrock Com	Margin	\$40.0780	39.63	\$9,908	(\$112)	H					
VLO	250.0000	Valero Energy Corporation	Margin	\$41.0756	40.60	\$10,150	(\$119)	H					
Positions Held In Cash				\$38,276	Cash Avail		\$86,469	Total Position Value		\$243,345	Un-Realized Gain		(\$32,975)
Positions On Margin				\$205,065									(\$13.6%)

Displays the Client Current Positions with Cost Basis, the Security's Last trade type of position (Cash or Margin) and the Unrealized Gain. The History Button on the left shows how the client obtained that position. I.e. Purchases, dividends splits...etc..



Double Click the Security Symbol and a pop up Window enables Managers to update the security's price during the day. This is useful when securities have large swings during the trade day and the manager wants the portfolios to reflect current intra day prices.

*(Real-time security updates are available by utilizing Reuters or ILX's DDE feature.)*

**Positions**

Symbol	#of Shares	Realized Gain
ANABX	9,265.8520	(\$2,526)
AWK	200.0000	\$121
BKH	150.0000	(\$241)
BPUR	400.0000	(\$93)
CHBS	150.0000	(\$518)
DRI	400.0000	(\$163)
ISSX	200.0000	\$219
KMI	100.0000	\$329
NT	300.0000	(\$137)
ORHAX	2,461.5400	(\$31,057)
PNM	1,200.0000	\$1,531
PPL	200.0000	\$82
PRHC	150.0000	(\$292)
TE	150.0000	\$2
UDS	250.0000	(\$112)
VLO	250.0000	(\$119)

**Security Totals, Details & Price**

Cusip Number: 656568102  
 Symbol: NT  
 Company: Nortel Networks Corp New Com  
 Current Price: \$18.0000  
 Last Edited Price: \$16.6000  
 Original Price: \$16.6000  
 Coupon Rate: \$0.075  
 Maturity Date:  
 Frequency:

Shares Held: 300  
 Total Shares Held: 300.0000  
 Total Value: \$5,400.0000

## Client Transactional Book Keeping

**Bookkeeping**

Santino, Nick -- nicks -- 3HR-653676 -- Regular Cash

Process Date	Symbol	Security Name	Source	Quantity	Price	Fees
04/12/2001		Alliance Cap Reserve		0.0000	\$0.0000	\$0.00
Cancel	0	Alliance Capital Reserve	Money Market Fund Income Received	Commissions	\$0.00	Net (\$0.15)
04/12/2001		Alliance Cap Reserve Income Reinvested		0.0000	\$0.0000	\$0.00
Cancel	0	Alliance Capital Reserve	Money Market Fund Reinvestment	Commissions	\$0.00	Net \$0.15
03/15/2001		Alliance Cap Reserve Income Reinvested		0.0000	\$0.0000	\$0.00
Cancel	0	Alliance Capital Reserve	Money Market Fund Reinvestment	Commissions	\$0.00	Net \$0.15
03/15/2001		Alliance Cap Reserve		0.0000	\$0.0000	\$0.00
Cancel	0	Alliance Capital Reserve	Money Market Fund Income Received	Commissions	\$0.00	Net (\$0.15)
02/15/2001		Alliance Cap Reserve Income Reinvested		0.0000	\$0.0000	\$0.00
Cancel	0	Alliance Capital Reserve	Money Market Fund Reinvestment	Commissions	\$0.00	Net \$0.15
02/15/2001		Alliance Cap Reserve		0.0000	\$0.0000	\$0.00
Cancel	0	Alliance Capital Reserve	Money Market Fund Income Received	Commissions	\$0.00	Net (\$0.15)
01/23/2001		Alliance Cap Reserve		0.0000	\$0.0000	\$0.00
Cancel	0		Money Fund Purchase	Commissions	\$0.00	Net \$30.00

Enter Beginning Date: 10/31/2000 Enter Ending Date: 07/08/2001

Filter By Source: cmdAllRec

- ZSR Special Request Fee
- CAT Customer Authorized Transfer
- CGN Long Term Capital Gain Distribution
- DDO Dividends | Cash; Long Term Cap Gain | Cash; Short Term Cap Ga
- DVR Reinvest Cash Income
- MMS Data Imported From MMP
- MDP Money Market Fund Income Received
- MDR Money Market Fund Reinvestment

Displays all Transactions related to the Client's Account. On the Right side is a check box selection that enables the Manager or Client Support Staff to select transactions and Print to a report that can directly e-mailed or faxed immediacy. (Note: the Form and Report is easily customizable to meet your criteria usually within minutes)



## Cash Transactions

Search Output	User Fields Profile	GenNotes Details	AcctNotes Buys	Prospectus Sells	RealGains Positions	BookKeep	Cash Tran	MoneyLine	Open Orders	Benefactors	MoreTel	Taxes	Filters
<b>Cash Trans</b>													
By Client Name													
Code													
By Account Number													
Process Date	Trans Description	Note	Net Amount										
04/12/2001		Alliance North American Government Inv	\$225,005.00										
04/12/2001	Money Market Fund Reinvestment	Alliance Cap Reserve Income Reinvest	\$98.45										
04/12/2001	Money Market Fund Income Received	Alliance Cap Reserve	(\$98.45)										
04/12/2001	Money Fund Redemption	Alliance Cap Reserve	(\$70,000.00)										
04/11/2001	Federal Funds Sent	North Fork Bk Maltituck	\$70,000.00										
04/11/2001	Asset Management Check	Check Number - 0110	\$2,200.00										
04/11/2001	Asset Management Check	Check Number - 0109	\$5,500.00										
04/10/2001		Nasdaq 100 Shares A Dlj Co. Is Spclst C	(\$90,477.35)										
04/10/2001	Asset Management Check	Check Number - 0111	\$5,250.00										
04/06/2001	Money Market Fund Income Received	Alliance Cap Reserve Income Redeeme	(\$16.26)										
04/06/2001	Money Fund Redemption	Alliance Cap Reserve Full Principal Red	(\$139,892.19)										
04/05/2001		Nasdaq 100 Shares A Dlj Co. Is Spclst C	(\$112,521.15)										
04/05/2001	Activity Within Your Acct	Intra-acct Jnl	\$51,139.17										
04/05/2001		International Business Machs Corp Com	(\$98,527.50)										
04/05/2001		Standard & Poors Depository Receipts (	(\$113,986.62)										
04/05/2001	Activity Within Your Acct	Intra-acct Jnl	(\$51,139.17)										
04/04/2001	Cash Dividend Received	John Hancock High Yield Bond Class B	(\$341.60)										
04/03/2001		Standard & Poors Depository Receipts (	\$113,789.56										
04/03/2001		Nasdaq 100 Shares A Dlj Co. Is Spclst C	\$92,217.30										
04/03/2001		Nasdaq 100 Shares A Dlj Co. Is Spclst C	\$18,448.46										

This displays the Bookkeeping Data as well, with a filter on it to show just cash transactions.

## Money Line

Search Output	User Fields Profile	GenNotes Details	AcctNotes Buys	Prospectus Sells	RealGains Positions	BookKeep	Cash Tran	MoneyLine	Open Orders	Benefactors	MoreTel	Taxes	Filters
<b>Money Line</b>													
By Client Name													
Code													
By Account Number													
FundMnemonic: PAC as of Thursday, April 12, 2001													
Long Market Value			\$4,308,992.01	Short Market Value			\$1,473,243.66	LastSweepDate: 4/12/2001					
<b>CASH</b>							<b>MARGIN</b>						
Last Activity Date: 4/12/2001							Last Activity Date: 4/12/2001						
TD Balance: \$225,005.00							TD Balance: (\$90,477.35)						
SD Balance: \$0.00							SD Balance: \$0.00						
Trade Short Val: \$0.00							Trade Short Value: \$0.00						
Buying Power: \$0.00							Buying Power: \$2,087,074.24						
Cash Available: \$0.00							Cash Available: \$818,532.12						
MMF Open Balance: \$157,636.85													
MMF Dividend: \$0.00													
MMF Current Total: \$157,636.85													

The Money Line Tab Displays client account balance calculated on a trade and settlement date basis, and computes the available cash and Special Memorandum Account (SMA). In addition, the MMF (Money Market Balance) is displayed with the Last Sweep Date.

Note: Different Clearing Houses Represent Data Differently.



## General Notes

Search	Profile	Details	Buys	Sells	Positions	BookKeep	Cash Tran	MoneyLine	Open Orders	Benefactors	MoreTel	Taxes	Filters
Output	User Fields	GenNotes	AcctNotes	Prospectus	RealGains								

**Santino, Nick**

New Note... **General Client Notes > non Account Specific ie. Results of a General Meeting or Phone Call**

*Press Shift-F2 to zoom any field*

DATE	NOTES	AUTHOR
4/4/2001	Client meeting for all Accounts. Spoke about Future Wealth	PES
7/8/2001		ASD

Enables account managers & client support staff to add notes regarding clients; requests, meetings, issues and information that may be useful for future reference.

## Acct Notes

Search	Profile	Details	Buys	Sells	Positions	BookKeep	Cash Tran	MoneyLine	Open Orders	Benefactors	MoreTel	Taxes	Filters
Output	User Fields	GenNotes	AcctNotes	Prospectus	RealGains								

**Santino, Nick -- nicks -- 3HR-653676-- Regular Cash**

**Notes Related to Specific Accounts** *Press Shift-F2 to zoom any field*

DATE	NOTES	AUTHOR
5/1/2001	Client called to Ask for 500 Money Transfer to Son's Custodian Account	PES
7/8/2001		ASD

The same as the General Notes Tab, only here the Account Manager or Client Support Staff can make specific notes regarding the account exclusively.

New version of ASI Financials combines these note features and allows users to categorize the notes for filtering.



## Prospectus Tracking

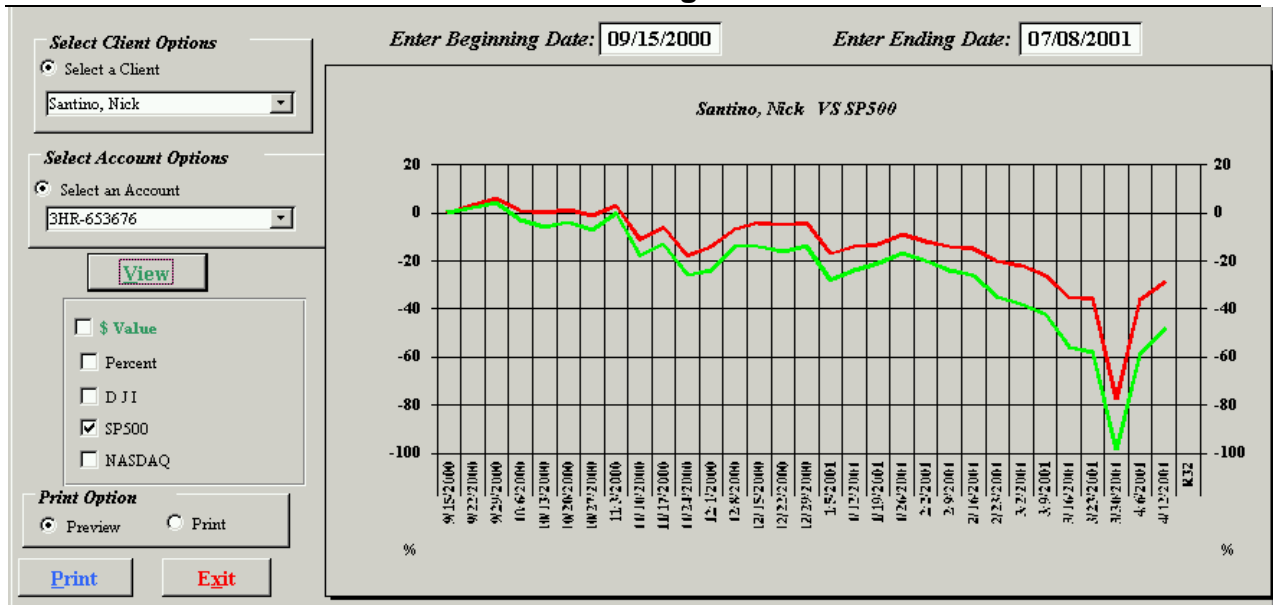
Search	Profile	Details	Buys	Sells	Positions	BookKeep	Cash Tran	MoneyLine	Open Orders	BgnFactors	MoreTel	Taxes	Filters
Output	User Fields	GenNotes	AcctNotes	Prospectus	RealGains								
Santino, Nick -- nicks -- 3HR-653676 -- Regular Cash												<i>Prospectus Receipt</i>	
		<i>Account No</i>	<i>Fund</i>	<i>Joint / In Trust 1</i>	<i>Trade Date</i>	<i>Mailed Date</i>							
By Client Name		3HR-653676	Orbitex Health And Biotechnology_fld Cl A		11/8/2000	7/8/2001							
By Company Code		3HR-653676	Munder Framlington Healthcare Class A		10/25/2000	7/8/2001							
By Account Number		3HR-653676	Fidelity Select Biotechnology Fund		6/20/2000	7/8/2001							
Keeps a Record of Prospectus Receipts that were Mailed to Clients													

## Gains / Losses

Search	Profile	Details	Buys	Sells	Positions	BookKeep	Cash Tran	MoneyLine	Open Orders	BgnFactors	MoreTel	Taxes	Filters
Output	User Fields	GenNotes	AcctNotes	Prospectus	RealGains								
		<b>#of Shares:</b>	<b>OPENED</b>				<b>CLOSED</b>				<b>Days Held</b>		
	<b>Symbol</b>	<b>Date</b>	<b>Price</b>	<b>Fee/Comis1</b>	<b>Amount</b>	<b>Date</b>	<b>Price</b>	<b>Fee/Comish</b>	<b>Amount</b>	<b>Realized Gain</b>			
500	ORCL	11/06/2000	30.66	152.45	\$15,480.95	12/11/2000	32	157.68	\$15,842.32	\$361.37	2.3%	35	
196,358	PHSTX	07/26/2000	84.03	5	\$16,505.00	11/3/2000	85.74	55	\$16,780.73	\$275.73	1.6%	100	
80	VZ	09/05/2000	44	50	\$3,570.00	9/29/2000	49	50.14	\$3,869.86	\$299.86	7.7%	24	
60	SUNw	06/21/2000	93.66	55.45	\$5,675.28	7/18/2000	97.19	55.65	\$5,775.60	\$100.32	1.7%	27	
200	COST	05/25/2000	32.31	76.54	\$6,539.04	7/7/2000	32.94	62.39	\$6,525.11	(\$13.93)	-0.2%	43	
300	COST	05/24/2000	33.13	81.14	\$10,018.64	7/7/2000	32.94	98.58	\$9,782.67	(\$235.97)	-2.4%	44	
60,957	FBIOX	05/26/2000	65.62	55	\$4,055.00	6/20/2000	90.1	96.19	\$5,396.04	\$1,341.04	24.9%	25	
100	MOT	05/24/2000	89.69	55.45	\$9,024.20	5/25/2000	95	55.77	\$9,444.23	\$420.03	4.4%	1	
300	COST	05/24/2000	30.19	86.14	\$9,142.39	5/24/2000	31.69	95.95	\$9,410.30	\$267.91	2.8%	0	
200	COST	05/24/2000	28.98	54.09	\$5,850.97	5/24/2000	31.69	60.63	\$6,276.87	\$425.90	6.8%	0	
			\$671.26	\$85,861.47		\$787.98	\$89,103.73	\$3,242.26	3.6%				



## Charting



## SECURITY POSITION SEARCH

With the Client Security Position Search, you can find all your clients that are linked to any given security.

Clients by Security

Filter By >>  Stock  Fund  Bonds/Metals

S and P Rank 007 Moody's Rank End of Month Close 25.99 Prev. Close 25.32

Select Security or All  Dell Computer Corp Last 25.99

Client	AccountNo	EIA Code	Type	Quantity	Cost	Value	Gain	
Morrison, Barbara	i66231	Mor9	Cash	100.0000	\$0.000	\$2,599.00	\$2,599.00	H
Levine, Irwin	i03770	Levt	Margin	400.0000	\$32.266	\$10,396.00	(\$2,510.25)	H
Zielinski, Judy L.	i51506	Ziel	Cash	100.0000	\$25.688	\$2,599.00	\$30.25	H
Krusch, Stacy M.	i07052	Krus	Cash	100.0000	\$23.969	\$2,599.00	\$202.12	H
Kitziz, Roger	i34411	RKit	Margin	300.0000	\$0.000	\$7,797.00		H
Tauger, Lisa	i33017	TauJ	Margin	600.0000	\$0.000	\$15,594.00	\$15,594.00	H
Bruning, Patricia	i31284	PBr4	Cash	160.0000	\$0.000	\$4,158.40	\$4,158.40	H
Derzie, Alain	i10007	ADer	Cash	90.0000	\$0.000	\$2,339.10	\$2,339.10	H
Derzie, Sammy	i10015	SDer	Cash	160.0000	\$43.813	\$4,158.40	(\$2,851.60)	H
Isaacman, Marc J.	i10783	Issa	Cash	200.0000	\$40.563	\$5,198.00	(\$2,914.50)	H
Mann, Albert	i10064	A&LM	Cash	200.0000	\$0.000	\$5,198.00	\$5,198.00	H
Mann, Leon	i10080	LMan	Cash	1600.0000	\$0.000	\$41,584.00	\$41,584.00	H
Parsons, Kirk	i09009	Parl	Cash	400.0000	\$16.828	\$10,396.00	\$3,664.75	H
Schmitz, Harold V.	i12292	HSc1	Cash	800.0000	\$9.914	\$20,792.00	\$12,860.75	H

Total Managed: \$135,407.90

List of Symbols

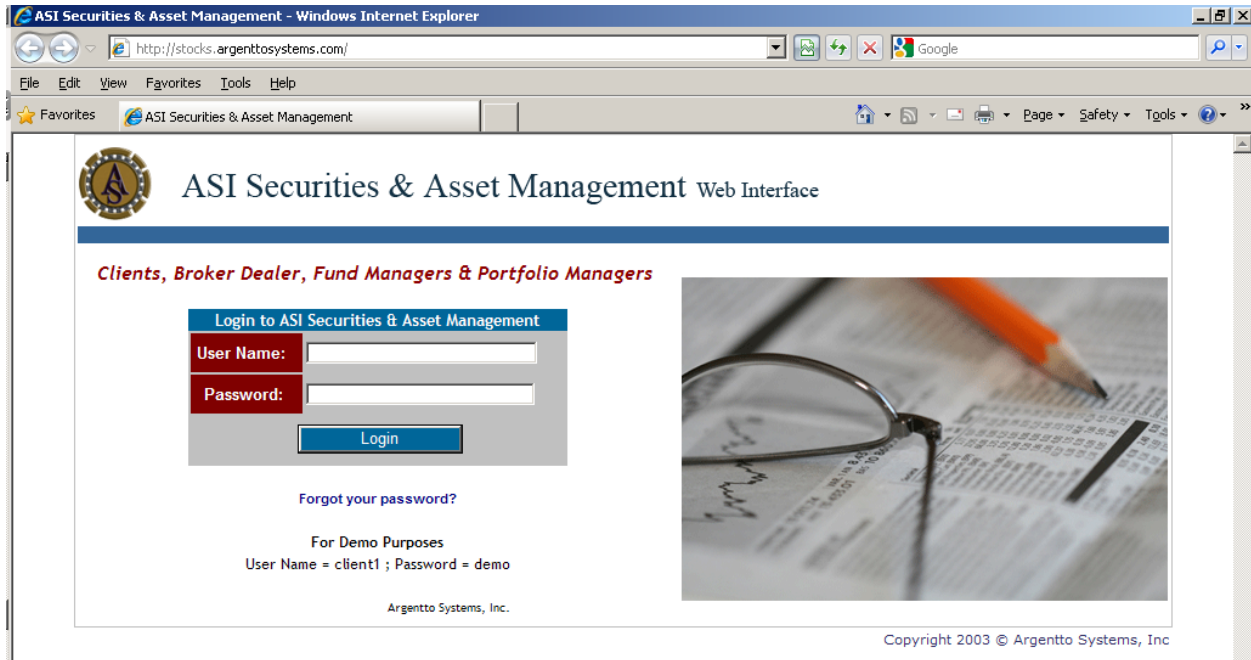
- CNC Conseqo Inc
- CNET Cnet Networks Inc
- CNMD Conmed Corp New
- COMM Corecomm Ltd New Com
- COMS 3Com Corp
- COVD Covad Communications Group Inc Com
- CPFR Camera Platforms Intl Inc
- CPQ Compaq Computer Corp
- CPT Camden Property Trust Sbi
- CRA Applera Corp Com Celera Genomics
- CRZO Carrizo Oil & Gas Inc Com
- CSCO Cisco Systems Inc
- CTF Cvs Automatic Com Exchange Sec Tr Tr
- CTIC Cell Therapeutics Inc Com
- CTXS Citrix Systems Inc
- CWP Cable And Wireless Plc Sponsored Adr
- CY Cypress Semiconductor Corp
- CYGN Cygnus Inc
- DECO Decora Inds Inc Com New
- DELL Dell Computer Corp
- DEO Diagen Plc Sponsored Adr New

Figure 1.1

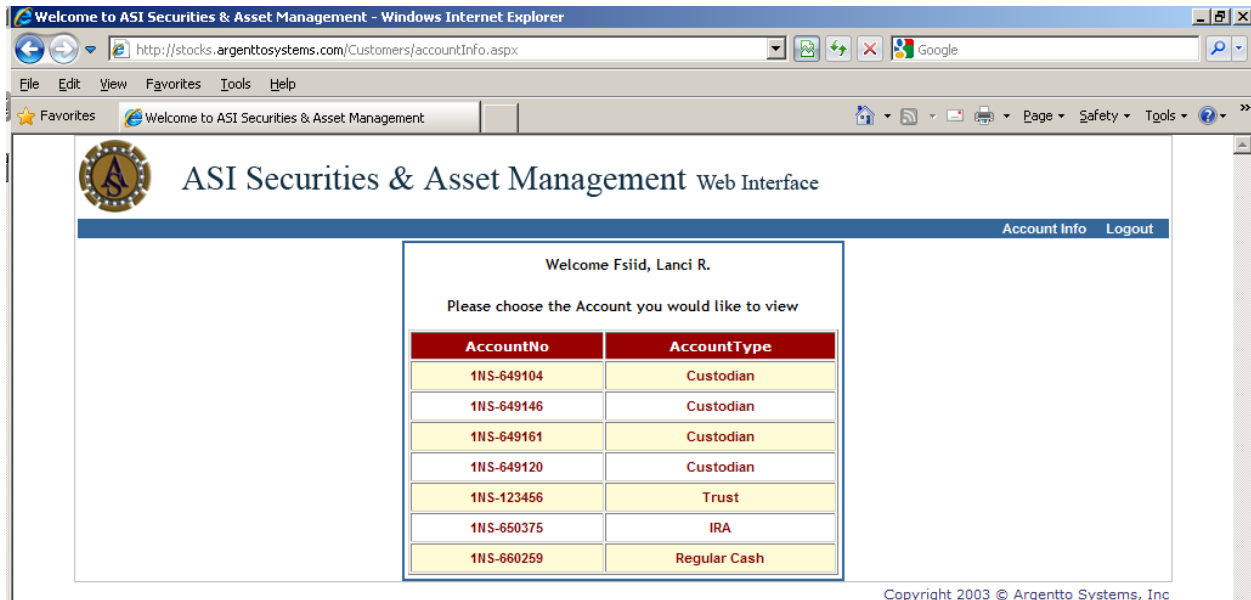
Clients by Securities with search by stock screen. Best & Most Useful Feature for Money Managers. The "H" button will pull up all historical transactions relating to that position.



## Client Web Portal



One Login Gives you access to all accounts.





## ASI Securities & Asset Management Web Interface

Account Info Logout

Main

Positions

Transactions

Cash Totals

Realized Gains

Charts

Welcome Fsiid, Lanci R.

Account Information	
AccountNo:	1NS-123456
AccountType:	Trust
Name:	Fsiid, Lanci R.
Address:	123 Main St
City:	AnyCity
State:	CA
Zip:	12345

This is the current information we have on record.  
Please call us or **email us** for any changes.

This is our new Client Resource Center.  
We hope you will take advantage of this section of our site.  
You will have the opportunity to view your current positions, all transactions, cash transactions only, current positions, your money line, and even request an order just by clicking on the above menu chooses.

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### Main Account Information Screen



## ASI Securities & Asset Management Web Interface

Account Info Logout

Main

Positions

Transactions

Cash Totals

Realized Gains

Charts

Entries For : Fsiid, Lanci R.

Quantity	Symbol	Name	Type	Last	Value
18195.051		Franklin Large Cap Growth Fund Class B	Margin	11.51	\$205,604.00
43178.022		Wells Fargo Calif. Tax Free Fund Cl B	Margin	11.36	\$490,502.00
6557.377	ADHXB	Advantus Horizon Fd Class B	Cash	15.96	\$101,573.00
14359.563	ADIBX	Advantus Index 500 Class B	Margin	16.4	\$233,055.00
17818.959	ALUBX	Armada Large Cap Ultra Fund Class B	Margin	12.1	\$210,798.00
27961.636	AMPBX	Amcap Fund Class B	Margin	17.58	\$484,295.00
14013.467	AMPBX	Amcap Fund Class B	Cash	17.58	\$242,713.00
5000	CYGN	Cygnus Inc	Cash	6.77	\$33,650.00
1813.472	EMTMX	Eaton Vance Utilities Fund	Cash	11.72	\$21,181.00
5000	EXDS	Exodus Communications Inc	Margin	9.49	\$44,950.00
11904.762	FAHTX	Fidelity Advisor (focus) Health Care B	Margin	19.48	\$229,047.00
8242.664	FTEBX	Flag Investors_comm Cl B Formerly Flag	Margin	23.62	\$189,498.00
3824.092	IDEWX	Idex Jcc Growth Fund Class B	Cash	27.4	\$100,229.00
19822.283	KGGBX	Kemper Aggressive Growth Class B	Margin	16.37	\$313,984.00
2000	MAT	Mattel Inc	Margin	16.23	\$32,900.00
3396.478	MFHBX	Munder Framlington Healthcare Class B	Margin	21.92	\$71,326.00
23430.178	MUBBX	Munder Balanced Class B	Margin	10.25	\$237,582.00
17421.603	NAGBX	Nicholas Applegate Growth Equity Fund	Margin	11.39	\$190,766.00
3633.721	NAPBX	Pilgrim Int'l Small Cap Growth Fund Cl B	Cash	28.77	\$102,906.00
185.759	NAPBX	Pilgrim Int'l Small Cap Growth Fund Cl B	Margin	28.77	\$5,260.00



## ASI Securities & Asset Management Web Interface

Account Info Logout

Main Positions Transactions Cash Totals Realized Gains Charts

Entries For : Fsiid, Lanci R.

Process Dt	B/S	Name	Qty	Price	Description	Net Amount
4/18/2009	S	Oracle Corp Com	- 800	\$18.95	Oracle Corp Com A Dlj Co Makes A Mkt In This Sec & Acted As Principal	(\$15,071.35)
4/18/2009	S	Oracle Corp Com	- 200	\$18.95	Oracle Corp Com A Dlj Co Makes A Mkt In This Sec & Acted As Principal	(\$3,767.84)
4/18/2009	S	Oracle Corp Com	- 1000	\$18.95	Oracle Corp Com A Dlj Co Makes A Mkt In This Sec & Acted As Principal	(\$18,839.19)
4/18/2009	S	Oracle Corp Com	- 3400	\$18.95	Oracle Corp Com A Dlj Co Makes A Mkt In This Sec & Acted As Principal	(\$64,053.24)
4/18/2009	S	Qualcomm Inc	- 200	\$57.98	Qualcomm Inc A Dlj Co Makes A Mkt In This Sec & Acted As Principal	(\$11,523.24)
4/18/2009	S	Qualcomm Inc	- 200	\$58.37	Qualcomm Inc A Dlj Co Makes A Mkt In This Sec & Acted As Principal	(\$11,606.24)
4/18/2009	S	Qualcomm Inc	- 600	\$57.88	Qualcomm Inc A Dlj Co Makes A Mkt In This Sec & Acted As Principal	(\$34,524.71)
4/18/2009	S	Ramco Gershenson Ppty Tr Com Sh	- 2900	\$14.50	Ramco Gershenson Ppty Tr Com Sh Ben Int	(\$41,697.23)
4/18/2009		Sunamerica High Income Fd Class B	0	\$0.00	Sunamerica High Income Fd Class B For Accrual Period Ending 04/16/01	(\$2,010.74)
4/17/2009		Alliance North American Government Class B	0	\$0.00	Alliance North American Government Income Fund Class B For Accrual Period	(\$4,242.95)
4/17/2009	B	Amcap Fund Class B	6075.334	\$16.46	Amcap Fund Class B 001105297 *3hr649187 D - Frac.3340	\$100,005.00
4/17/2009	B	Amcap Fund Class B	6119.951	\$16.34	Amcap Fund Class B 001105415 *3hr649187 D - Frac.9510	\$100,005.00
4/17/2009	B	Amcap Fund Class B	1818.182	\$16.50	Amcap Fund Class B 001105453 *3hr649187 U - Frac.1820	\$30,005.00
		Alliance North American				

### Transactions



## ASI Securities & Asset Management Web Interface

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Main Positions Transactions Cash Totals Realized Gains Charts

Entries For : Fsiid, Lanci R.

Money Market		Settlement Balances	
Last Sweep Date:	4/27/2009		
Last Update:	4/27/2009		
Principal:	\$289,724.57		
Accumulated Dividends:	\$1,208.25		
<b>Total:</b>	<b>\$290,932.82</b>		
		<b>Cash</b>	<b>Margin</b>
		Last Action Date:	4/23/2001
		Cash Available:	\$2,880,387.67
		Last Trade Balance:	(\$288,695.12)
		Last Action Date:	4/23/2001
		Cash Available:	\$0.00
		Buying Power:	\$88,546.84
		Last Trade Balance:	\$5,183,385.10

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### Cash Balances



## ASI Securities & Asset Management Web Interface

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Main Positions Transactions Cash Totals **Realized Gains** Charts

Entries For : Fsiid, Lanci R.

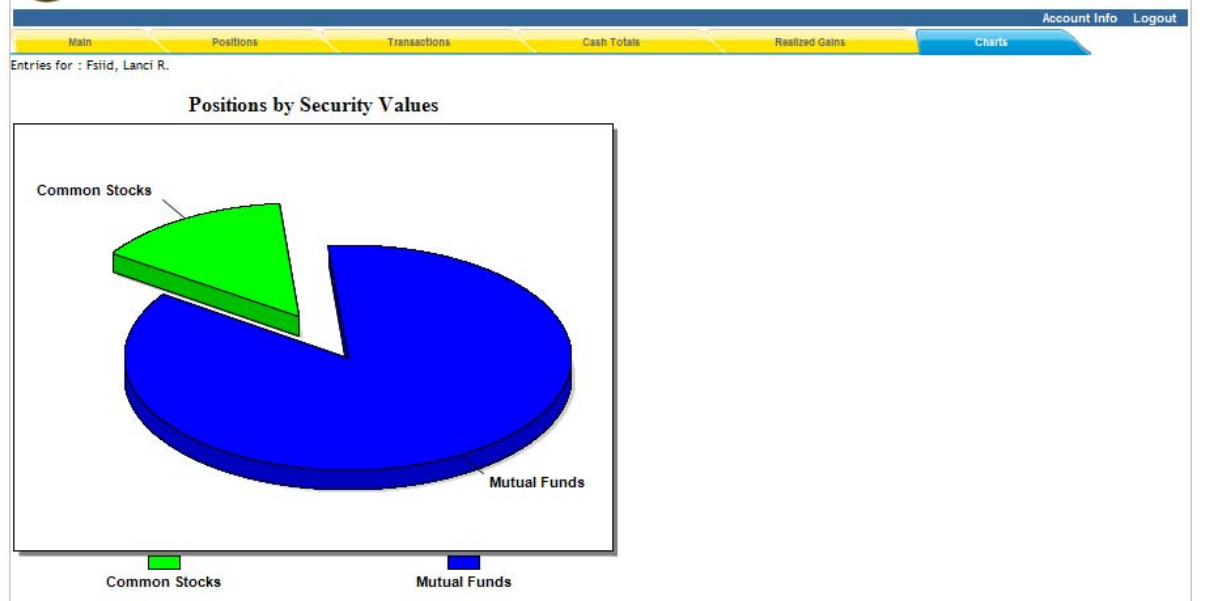
Symbol	Qty	Date Open	Open Price	Open Net	Date Close	Close Price	Close Net	Realized Gain
FKTFX	9216.991	4/20/2000	\$7.05	\$65,010.00	10/18/2008	\$5.93	\$54,556.11	(\$10,453.89)
NVVBX	995.025	4/20/2000	\$30.15	\$30,005.00	10/11/2008	\$28.38	\$27,054.26	(\$2,950.74)
	4942.339	4/20/2000	\$6.07	\$30,005.00	4/24/2009	\$5.01	\$24,761.12	(\$5,243.88)
EIFBX	1580.135	5/24/2000	\$22.15	\$35,005.00	6/6/2008	\$26.81	\$40,558.42	\$5,553.42
MOT	1065	6/8/2000	\$37.94	\$40,697.92	7/13/2008	\$39.00	\$41,235.51	\$537.59
MCSCX	1072.578	6/16/2000	\$55.94	\$60,005.00	12/14/2008	\$49.59	\$50,474.69	(\$9,530.31)
FPNIX	5691.237	6/16/2000	\$10.54	\$60,005.00	10/18/2008	\$10.42	\$59,247.69	(\$757.31)
PINCX	8490.806	6/16/2000	\$6.48	\$55,005.00	10/4/2008	\$6.31	\$53,521.99	(\$1,483.01)
MMHBX	8692.234	6/27/2000	\$8.05	\$70,005.00	10/11/2008	\$8.20	\$68,421.32	(\$1,583.68)
ORHBX	1672.104	8/7/2000	\$24.52	\$41,005.00	11/3/2008	\$27.45	\$43,794.25	\$2,789.25
CLIBX	8455.125	8/10/2000	\$5.91	\$50,005.00	10/26/2008	\$5.88	\$47,178.03	(\$2,826.97)
PNOBX	567.472	8/10/2000	\$88.11	\$50,005.00	9/6/2008	\$92.59	\$49,987.23	(\$1,777)
	8488.964	8/10/2000	\$5.89	\$50,005.00	4/24/2009	\$5.01	\$42,529.71	(\$7,475.29)
NOK	1100	9/7/2000	\$44.13	\$48,853.11	9/15/2008	\$45.19	\$49,385.35	\$532.24
INTC	200	9/22/2000	\$48.88	\$9,874.68	12/14/2008	\$35.56	\$7,031.18	(\$2,843.50)

1 2 3

### Realized Gains & Year Tax Reporting



## ASI Securities & Asset Management Web Interface



### Charting