



R.J.O'Brien

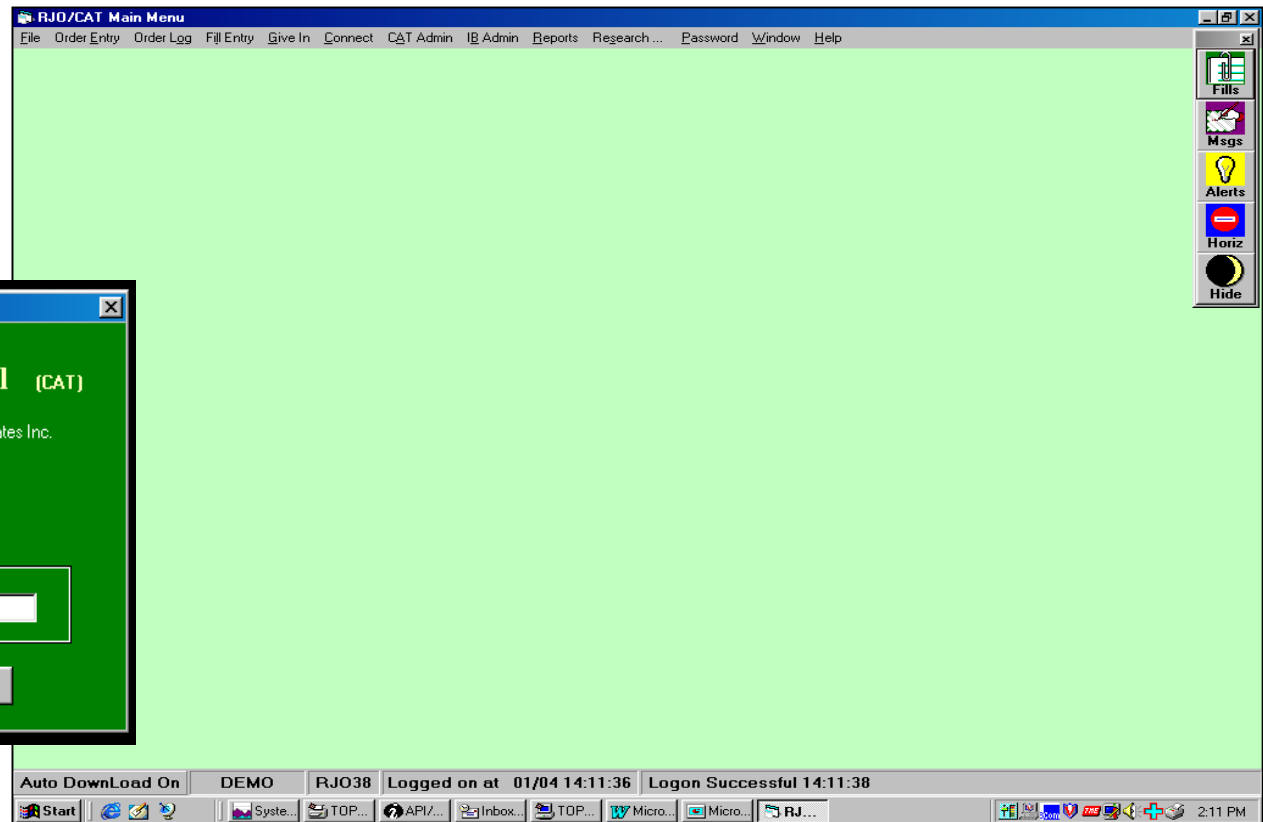
Client Access Terminal

RJOCAT

Logon

The Logon screen opens when the RJOCAT icon is double clicked.

Enter the appropriate User ID and Password to go to the Main Menu.



Program Options

The RJO Help Desk will assist in setting up the RJOCAT Program Options page.

Order Entry Default Settings, (22), are user programmable and set a Default Trading Account Number, Contract Symbol, Contract Month, by putting a Y in the Action box.

RJO/CAT Program Options

Program Options

- Database Path: C:\RJOCAT.MDB
- IP Address: 192.168.101.24
- Terminal ID: TERM2 Password: #####
- Drop Copy of Order Ticket Fill Ticket
Dupe Drop Copy of Tickets:
- Ticket Printer: \\ODES_PASSIVE\Test2
- Orders Expire Period (# of Calendar Days) 100
- Download Reports Path: C:\
- Report Printer: \\ODES_PASSIVE\Test2
- Report Printer Command:
- ByPass Windows Report Printing:
- Reset Report Printer Command:
- Reports Expire Period (# of Calendar Days)
- EOD Reports Path: C:\PROGRAM~1\RJOCAT\DOWNL
- Start Maximized:
- Temporary Internet Files Path: C:\WINDOWS\TEMPOR~1\
- HeartBeat Time Interval (min)
- Dial Up Options
 - Internet Provider Orders Tele: Report Tele:
 - Direct Dial
- Auto DialUp when launch RJOCAT
- DialUp Connection (ISP name):
- Quote Wait Seconds
- Check Here to Turn on CATAPI

User Options

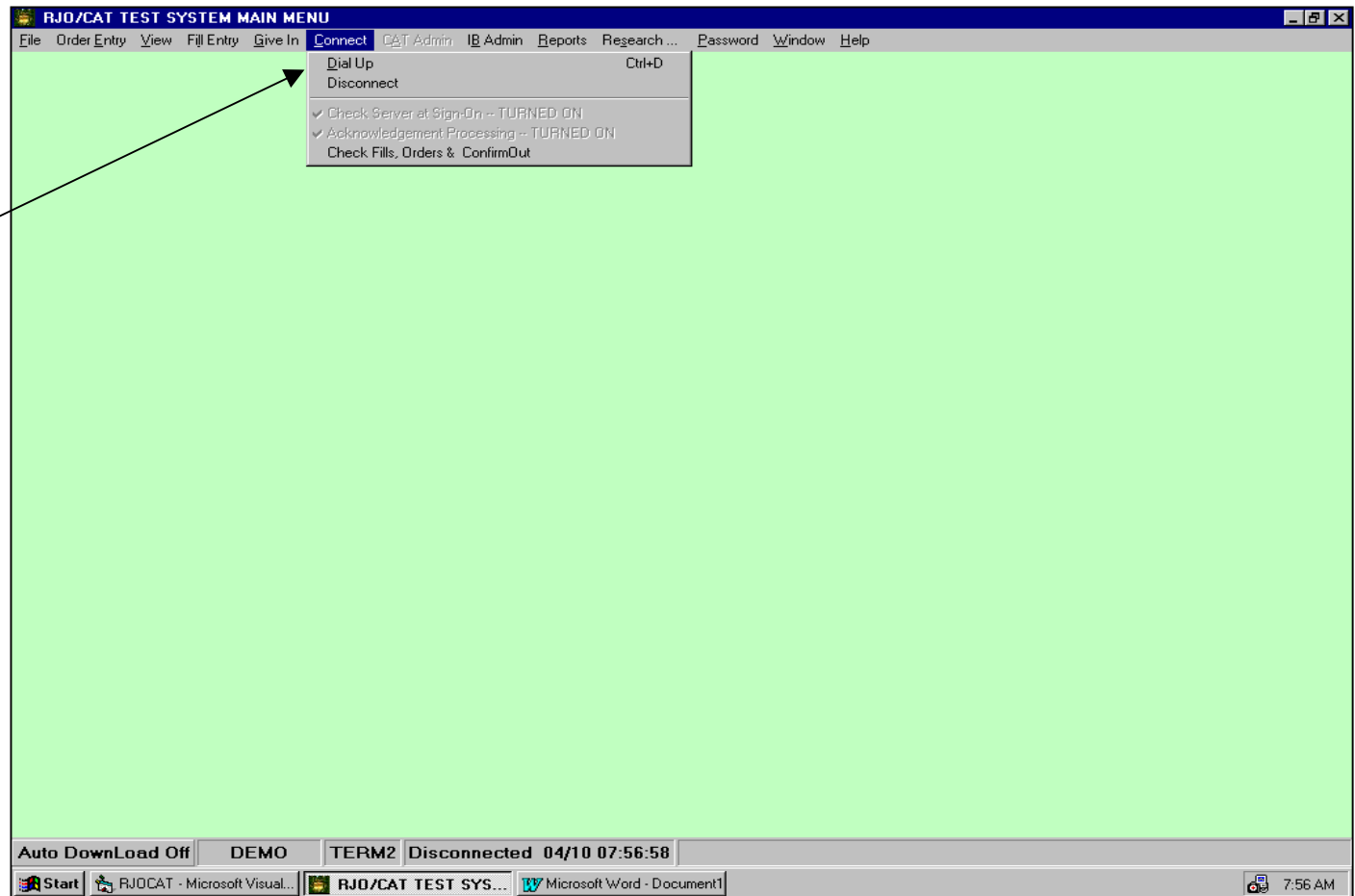
- Order Entry Default Settings
 - Firm Account Number
 - Symbol Month/Yr
 - Subaccount Disc?
- Auto Download on Weekend
 - Saturday Sunday No DL Monday
- Use Windows Print Method:

Save Exit

Connecting to the Server

The RJOCAT application connects to the main server, which is located at the RJO home office. Connections are made through Internet Service Provider via a dedicated network or dial-up modem.

The RJOCAT posts the date and time at which the logon to the server was successful.



Main Menu

To begin order entry, click on the Order Log which will display all orders including GTC's from previous sessions.



Order Log

The order log keeps a list of all orders entered: working (WRK); canceled (CXL), open (GTC) and booked (BKD).

From this screen the user can also enter, cancel or cancel/replace an order.

RJO/CAT TEST SYSTEM MAIN MENU

File Order Entry View Fill Entry Give In Connect CAT Admin IB Admin Reports Research... Password Window Help

Regular Trading Hours
Extended Trading Hours/Foreign Markets
Electronic Markets - a/c/e & GlobexII
Versus Cash

RJO\CAT Order Log

Query:
Ord#: Office #: Acct #: Sym: API #: Find Refresh Check Server

View:
 All WRK Day GTC CXL Booked Block Fills History Query ID >

CAT Ord#	Account	ExternalID	B/S	Qty	Mo/Yr	Sym	Price	Type	Strike	P/C	O/C	GTC	Status	Leg	Bkd	LastTick	DateTimeEntry
140	30040	RJO 196789	B	1	Z 01	SP		MKT					WRK	0			4/09/2001 12:44:58
139	01717736	RJO 196775	B	1	Z 01	SP		MKT					WRK	0			4/09/2001 10:47:41
138	01717735	RJO 196773	B	1	Z 01	SP		MKT					WRK	0			4/09/2001 10:45:31
137	01717735	RJO 196771	B	1	Z 01	SP		MKT					WRK	0			4/09/2001 10:45:08
136	01717735	RJO 196769	B	1	Z 01	SP		MKT					WRK	0			4/09/2001 10:33:48
135	30070	RJO 196763	B	1	Z 01	SP		MKT					WRK	0			4/09/2001 10:26:39

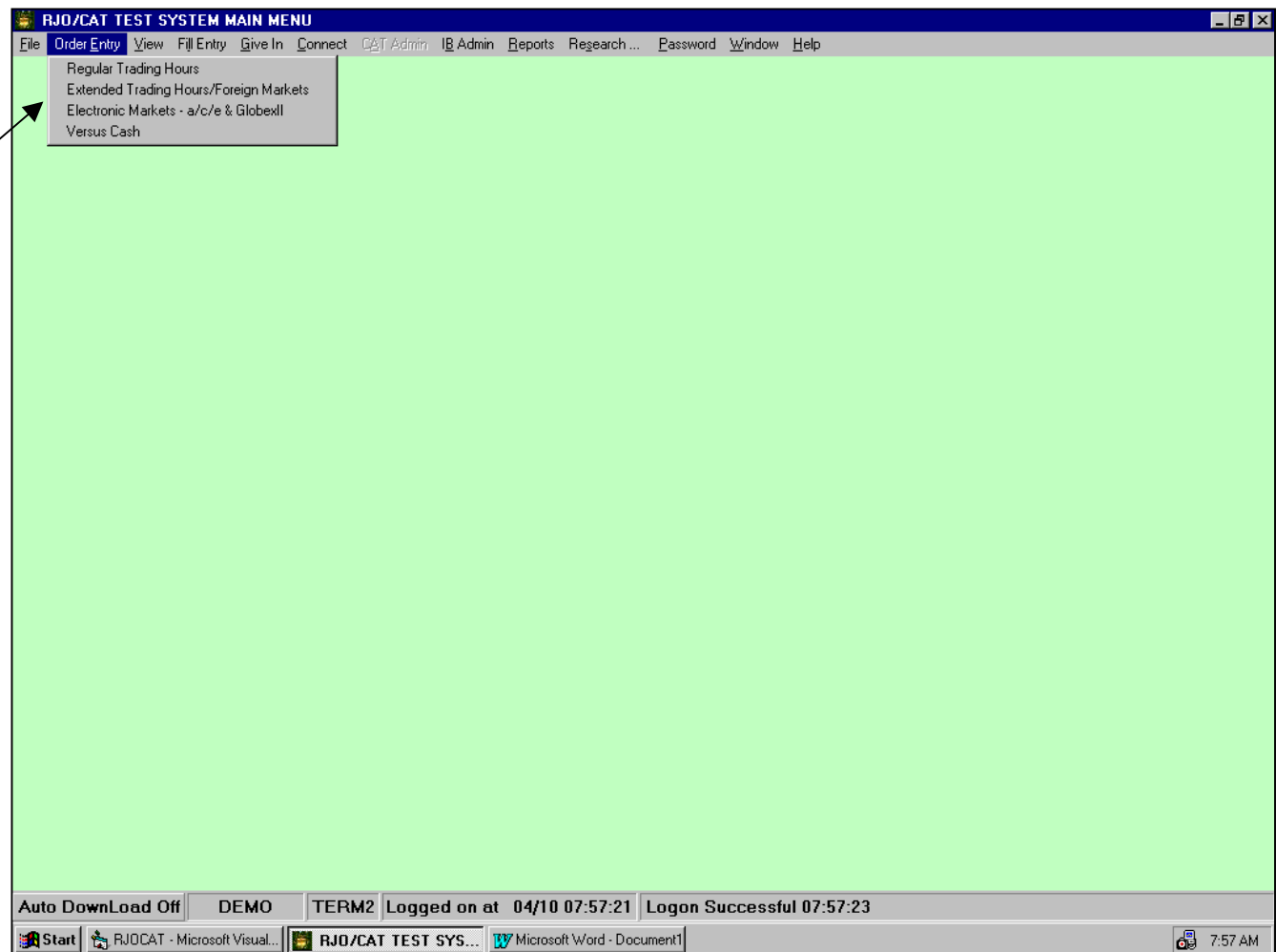
F2 - Order Entry F5 - Cancel F6 - CXL/ RPL F7 - Send Booked F10 - Print Ticket Create / Print Order Log Exit

Auto DownLoad Off DEMO TERM2 Disconnected 04/10 08:48:01

Start RJO\CAT - Microsoft Visual... RJO\CAT TEST SYS... RJO\CAT.ini - Notepad 8:48 AM

Order Entry Choices

You can bypass the Order Log by going directly into Order Entry and choosing from the Drop Down menu, one of three screens....



Green Ticket

Day Session : All regularly traded U.S. contracts including GLOBEXII.

RJO/CAT - Day Session
X

Firm: R
 Account: 001EELEC
 Name: ELECTRONIC ERROR
Acct. Balance

B/S	Qty	Mon/Year	Symbol	Price	Type	Strike	P/C	O/C
B	1	Z 01	C - Corn					

GTC

OB

DRT

DRTPts

Give Up

Cap/Lmt

FYI:

F2 - Order Log

F3 - Spread

F4 - OCO

F7 - Send

F8 - Block

F10 - Book

F12 - Clear

Exit

Blue Ticket

Extended Trading Hours/Foreign Markets:
Access, LIFFE, MATIF, and all other foreign exchanges.

RJO/CAT - Night and Foreign Trading

*** Extended Trading Hours / Foreign Markets ***

Firm: **R** Account: 001EELEC Name: **ELECTRONIC ERROR** Acct. Balance

B/S	Qty	Mon/Year	Symbol	Price	Type	Strike	P/C	O/C
B	1	X 01	IB - BrentCrudeOil IPE		MOC			

GTC OB DRT DRTPnts Give Up

FYI: OrderType: MARKET ON CLOSE

F2 - Order Log F3 - Spread F4 - OCO F7 - Send F8 - Block F12 - Clear Exit

Pink Ticket

Electronic Markets: GLOBEXII, GLOBEXII side-by-side, and a/c/e contracts.

Please note that this screen also shows the trading hours of the Electronic markets.

RJO/CAT - Electronic Markets

*** Electronic Markets - a/c/e & Globex II ***

Firm: **R** Account: Name:

B/S	Qty	Mon/Year	Symbol	Price	Type	Strike	P/C	O/C
S	1	Z 01	ZD - DowJones ACE		MKT			

GTC

OrderType: MARKET

Regular trading hours for CBOT products on the a/c/e platform will be as follows, Sunday-Friday(Central Time):

Financials 8:00 p.m. - 4:00 p.m.

Agricultural 8:30 p.m. - 6:00 a.m.

Stock Indices_Metals 8:15 p.m. - 4:00 p.m.

Trading hours for GlobexII side-by-side products will be as follows(Central Time):

4:30 p.m. - 4:00 p.m.

F2 - Order Log

F3 - Spread

F4 - OCO

F7 - Send

F8 - Block

F12 - Clear

Exit

Order Entry (A)

The user can place an order by entering the account number manually or by using the corresponding drop down menu.

There is a “last account” feature that stores the last account number used in the Account field.

RJO/CAT - Day Session

Firm: **R** Account: **001EELEC** Name: **ELECTRONIC ERROR** Acct. Balance

B/S	Qty	Mon/Year	Symbol	Price	Type	Strike	P/C	O/C

GTC OB DRT DRT Pnts Give Up Cap/Lmt

FYI:

F2 - Order Log F3 - Spread F4 - OCO F7 - Send F8 - Block F10 - Book F12 - Clear Exit

Order Entry (B)

By clicking on the **Acct. Balance** button that is next to the **account name** on all the **Order Entry** windows, the user can view **“Marked to Market”** account balance information **BEFORE** accepting or entering the customer order.

Customer Account Position

Account Totals converted to US - US DOLLARS			
	10/18/01 Settlement	10/18/01 Current Estimate	Change
Account Balance:	- 21,837	- 21,837	0
P&S/Premium:		0	
Cash/Adj/RD:		0	
Open Trade Equity:	0	0	0
Total Equity:	- 21,837	- 21,837	0
Net Option Value:	0	0	0
Liquidating Value:	- 21,837	- 21,837	0
Security Collateral Value:	0		
Initial Margin Requirement:	0		
Maintenance Margin Req:	0		
Margin Excess/Deficit:	- 21,837		

For illiquid markets, the last trade price used may not be representative of current market levels.
Please note that the statement you receive via U.S. Mail or via e-mail is your official statement.

This snapshot was updated on Thu Oct 18 08:08:45 CDT 2001

Close Window

Order Entry (C)

Using drop down menus for Buy/Sell, Month/Year, Contract Symbol and Order Type, the user can enter trade information and can Send (F7) an order via the RJOCAT server to work as a live order.

The user has the option to Book (F10) a trade for later release or Clear (F12) the information entirely.

RJOCAT - Day Session

Firm: **R** Account: Name:

B/S	Qty	Mon/Year	Symbol	Price	Type	Strike	P/C	O/C
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

FYI:

Order Confirmation Screen

Once the user clicks Send, an Order Detail screen will appear, displaying the trade information in a traditional order ticket format, as well as a simple text version in the lower box.

As demonstrated, this screen provides an opportunity to check the market via the Last Trade price before forwarding the order to work live by activating the Confirm Send button or pressing F7.

RJD/CAT Order Details

685	R. J. O'BRIEN & ASSOCIATES, INC.	685
<i>Account #</i>		001EELEC
BUY		SELL
1	DEC 01 T-Bond	MKT
		<div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">MKT</div>
EntryDateTime: 10-18-2001 08:22:37		Sub Acct #:
LastTrade>> US: 10628		<div style="border: 1px solid black; padding: 2px; display: inline-block;">F7 - Confirm Send</div> <div style="border: 1px solid black; padding: 2px; display: inline-block; margin-left: 10px;">Exit</div>
<div style="border: 1px solid black; padding: 5px; color: blue;"> BUY 1 DEC 01 T-Bond MARKET </div>		

Spread Order Entry

Click on the Spread button (F3) for multiple leg spread capabilities.

Spread orders must be placed using a differential price on the Buy or Sell sides.

The screenshot shows the 'RJO/CAT - Day Session' window. At the top, there are fields for 'Firm: R', 'Account:', and 'Name:'. Below these is a dropdown menu with the following list of account numbers: 01717735, 01717736, 01717738, 01717739, 01717740, 01717741, 01717742, and 01717745. The main area contains a table with columns: B/S, Qty, Symbol, Price, Type, Strike, P/C, and O/C. Below the table are several input fields: GTC, OB, DRT, DRTPnts, Give Up, Cap/Lmt, Buy Diff, and Sell Diff. At the bottom, there is an 'FYI:' field and a row of function key buttons: F2 - Order Log, F3 - Spread, F4 - OCO, F7 - Send, F8 - Block, F10 - Book, F12 - Clear, and an 'Exit' button. An arrow points from the 'Buy Diff' field to the 'F3 - Spread' button.

Order Entry/ Order Log

Once the RJOCAT server has accepted an order, the detail appears as a working entry on your Order Log (WRK).

The Order Log also provides a corresponding CAT Order number and an External ID. These numbers are used for any type of order reference.

CAT Ord#	Account	ExternalID	B/S	Qty	Mo/Yr	Sym	Price	Type	Strike	P/C	D/C	GTC	Status	Leg	Bkd	LastTick	DateTimeEntry
17	WEB12345	RJO 186813	B	1	J 00	LC	7050	STP					WRK	0			1/11/00 3:38:29 PM
14	GFC12345	RJO 186802	B	2	X 00	S		LMT	600	C	O	Y	WRK	1			1/11/00 1:27:15 PM
14	GFC12345	RJO 186802	S	2	H 00	S		LMT	600	P	O	Y	WRK	2			1/11/00 1:27:15 PM
13	MDM12345	RJO 186797	B	4	H 00	W	2306	LMT				Y	WRK	0			1/11/00 1:23:33 PM
12	WEB12345	RJO 186795	S	2	J 00	LC	6802	STP				Y	WRK	0			1/11/00 1:20:51 PM

Canceling and/or Replacing an Order

To change or cancel a trade, click the gray cell in the left margin of the corresponding order.

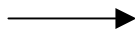
Select
Cancel (F5) or
CXL/ RPL (F6).

The screenshot shows the RJO\CAT Order Log application window. At the top, there is a menu bar with options: File, Order Entry, Order Log, Fill Entry, Give In, Connect, CAT Admin, IB Admin, Reports, Research..., Password, Window, Help. Below the menu bar is a search area with fields for CATOrd#, Office #, Account, and Symbol, along with a Find button and a Refresh icon. A View section contains radio buttons for All, WRK, Day, GTC, CXL, Booked, Block, Fills, and History, and a Query ID dropdown. The main area is a table of orders with columns: CAT Ord#, Account, ExternalID, B/S, Qty, Mo/Yr, Sym, Price, Type, Strike, P/C, O/C, GTC, Status, Leg, Bkd, LastTick, and DateTimeEntry. The table contains 12 rows of data. The first row (CAT Ord# 24) has a gray cell in the left margin. At the bottom of the window, there are function key buttons: F2 - Order Entry, F5 - Cancel, F6 - CXL/ RPL, F7 - Send Booked, F8 - ConfirmOut, F10 - Order Detail, Print Order Log, and Exit.

CAT Ord#	Account	ExternalID	B/S	Qty	Mo/Yr	Sym	Price	Type	Strike	P/C	O/C	GTC	Status	Leg	Bkd	LastTick	DateTimeEntry
24	XYZ12345		B	2	H 00	ES	143500	LMT					BKD	0	Y		1/13/00 1:34:40 PM
23	XYZ12345	RJO 186892	B	2	H 00	ES	149500	STP					WRK	0			1/13/00 1:33:28 PM
22	XYZ12345	RJO 186820	S	0	H 00	ES		MKT					FLD	0			1/11/00 4:18:51 PM
19	WEB12345	RJO 186819	B	3	M 00	HO	3850	STP					WRK	0			1/11/00 3:58:35 PM
17	WEB12345	RJO 186813	B	1	J 00	LC	7050	STP					WRK	0			1/11/00 3:38:29 PM
14	GFC12345	RJO 186802	B	2	X 00	S		LMT	600	C	O	Y	WRK	1			1/11/00 1:27:15 PM
14	GFC12345	RJO 186802	S	2	H 00	S		LMT	600	P	O	Y	WRK	2			1/11/00 1:27:15 PM
13	MOM12345	RJO 186797	B	4	H 00	W	2306	LMT				Y	WRK	0			1/11/00 1:23:33 PM
12	WEB12345	RJO 186795	S	2	J 00	LC	6802	STP				Y	WRK	0			1/11/00 1:20:51 PM

Receiving a Fill

The "Fills" icon will flash when a fill is sent to your terminal.



Click on this and the Fill Query window will appear.

Click on the "Hide" icon and the toolbar will minimize, popping up only when a Fill, Message, or Alert is sent.

RJO/CAT Fill Query

Order Data

Account	Leg #	B/S	Qty	MonYr	Symbol	Price	Type	Strike	P/C	D/C
XYZ12345	0	S	0	H 01	ES		MKT			

DbiClick on Received Fills:

RJO 191428

Fill Data

FillQty	FillPrice	TimeOut
2	149000	10:11:42 AM

Exit

"Double Click on Received Fills" and the fill information will display in the Fill Data Box.

Risk Assessment Parameters

Lot size and total daily contracts traded can be limited per account.

These restrictions can be set at both the broker and FCM level and can be adjusted throughout the trading day.

✓ RJO/CAT Risk Assessment Parameters

Query: Office Salesman Account

	Office	Slsman	Account	Day Limit	Order Limit	AccountName	API Auto Accept
	004	FX	004ACCTG	1000	100	RJO FX CONV ACCT	
	004	FX	004FX001	1000	100	FX DESK ACCT #1	
	004	FX	004FX002	1000	100	FX DESK ACCT #2	
	004	FX	004FX003	1000	100	FX DESK ACCT #3	
	004	FX	004FX004	1000	100	FX DESK ACCT #4	
	004	FX	004FX005	1000	100	FX DESK ACCT #5	
	004	FX	004FX006	1000	100	FX DESK ACCT #6	
	004	FX	004FX007	1000	100	FX DESK ACCT #7	
	004	FX	004FX008	1000	100	FX DESK ACCT #8	
▶	004	FX	004FX009	1000	100	FX DESK ACCT #9	
	004	FX	004FX010	1000	100	FX DESK ACCT #10	
	004	FX	004FXCNV	1000	100	FX DESK CONVERSI0	
	004	FX	004FXMAS	1000	100	FX MASTER ACCOUN	
	004	01	004FXMST	1000	100	FX MASTER ACCOUN	
	004	01	004INSCL	1000	100	RJO FX INST L CLRG	
	004	01	004INSGU	1000	100	RJO FX INST L G/U	

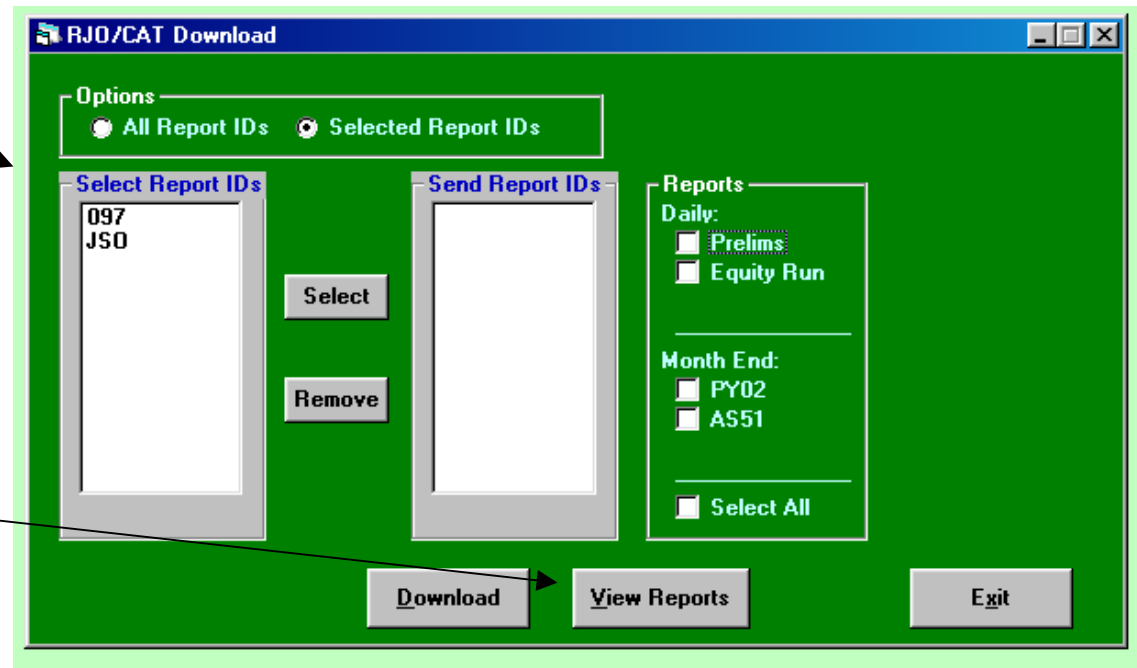
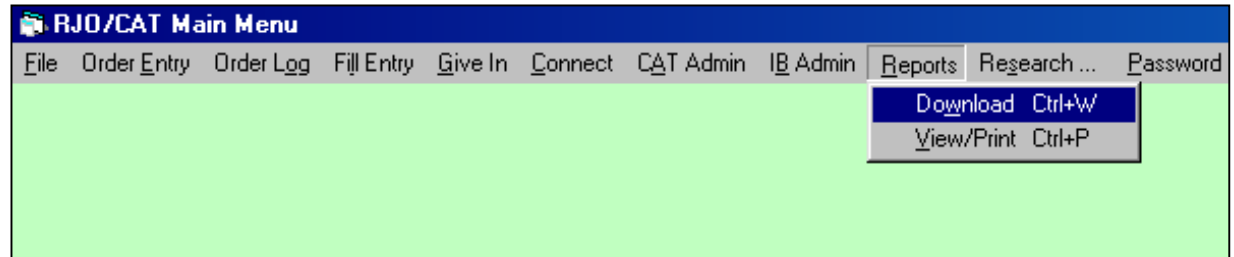
Manual Report Download

Daily reports can be manually downloaded by clicking on Reports.

At the Download window highlight the desired report(s) ID, click on the Select, then click Download.

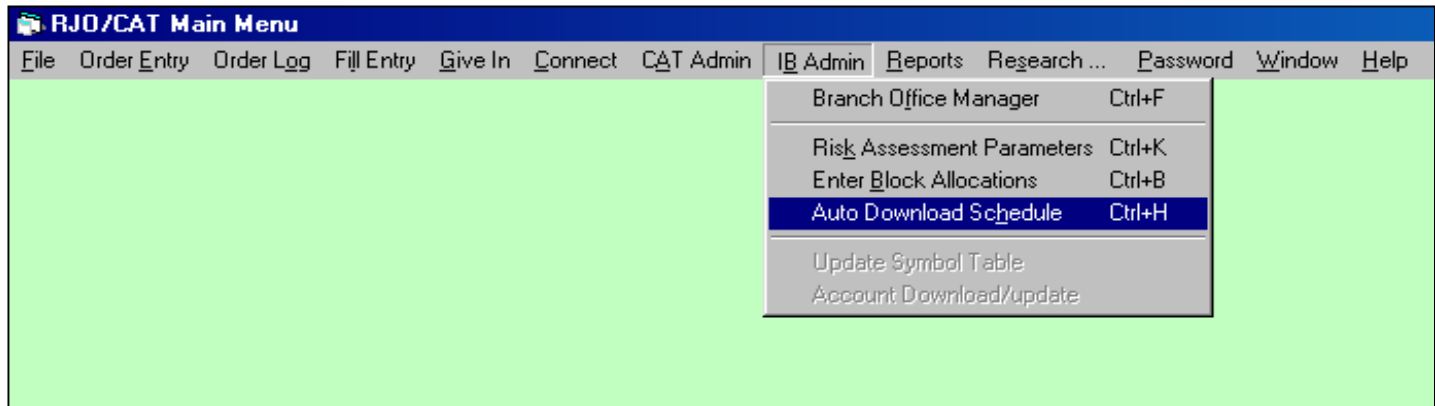
There are various report options: daily equity runs, prelims, and monthly reports.

It is possible to simply View Reports.

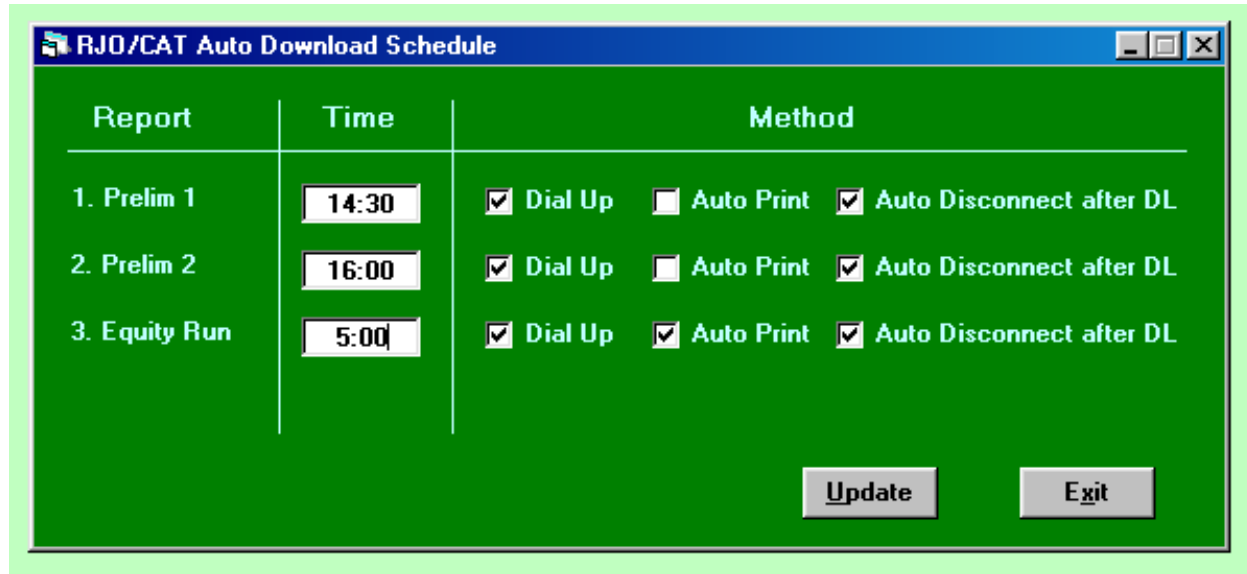


Automatic Report Download

Daily reports can be automatically downloaded by clicking on IB Admin and pulling down to Auto Download Schedule.

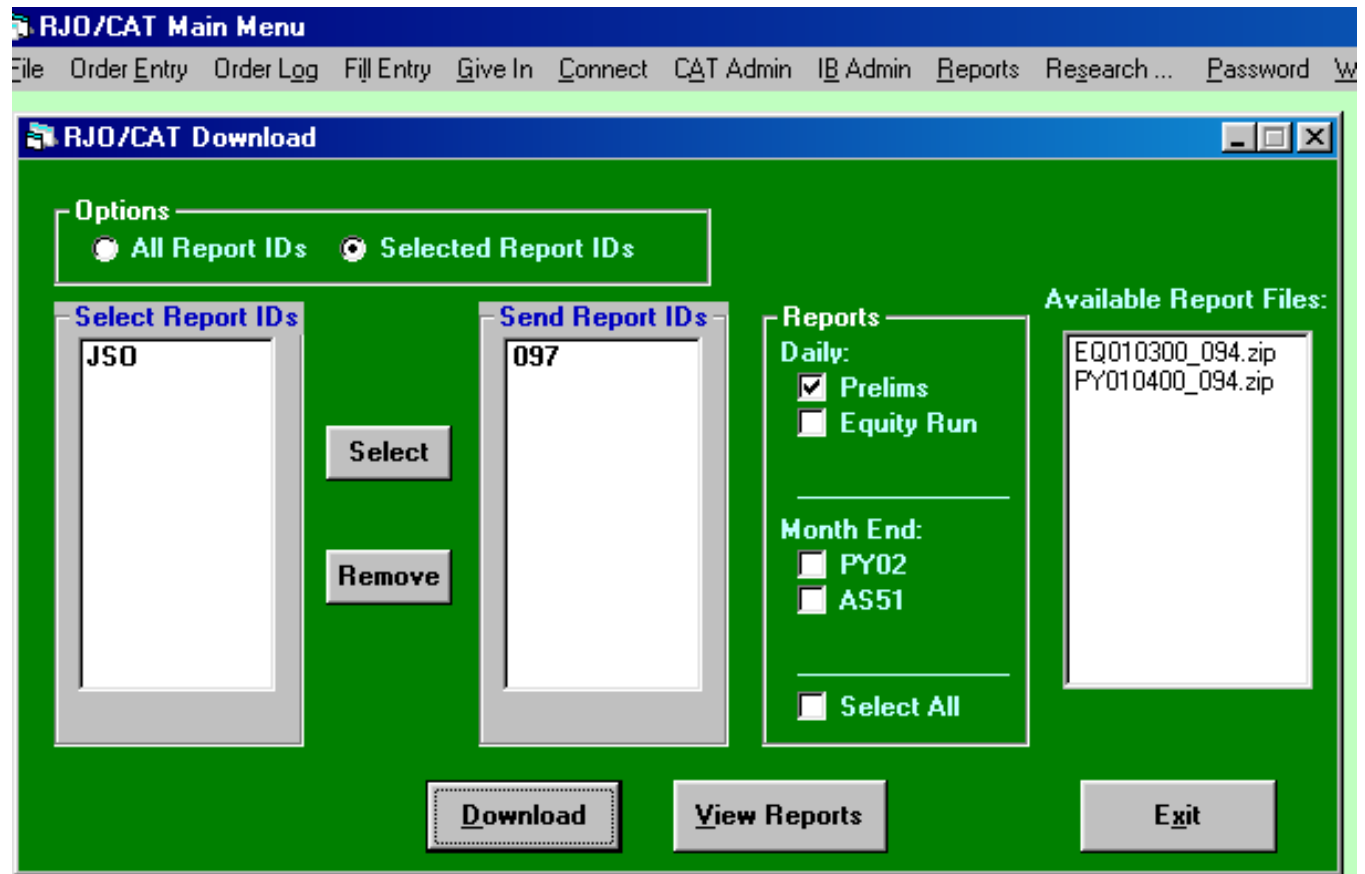


Fill in the desired times and settings.



Selecting, Displaying, Printing a Report

Once the reports have been downloaded available reports will be shown in the Available Report Files.



Selecting, Displaying, Printing a Report

Click on View Reports, you then can view or Print reports.

The screenshot displays the RJO/CAT Main Menu application. The title bar reads "RJO/CAT Main Menu" and the menu bar includes "File", "Order Entry", "Order Log", "Fill Entry", "Give In", "Connect", "CAT Admin", "IB Admin", "Reports", "Research...", "Password", "Window", and "Help". The main window is titled "RJO/CAT Report - 151.EQT".

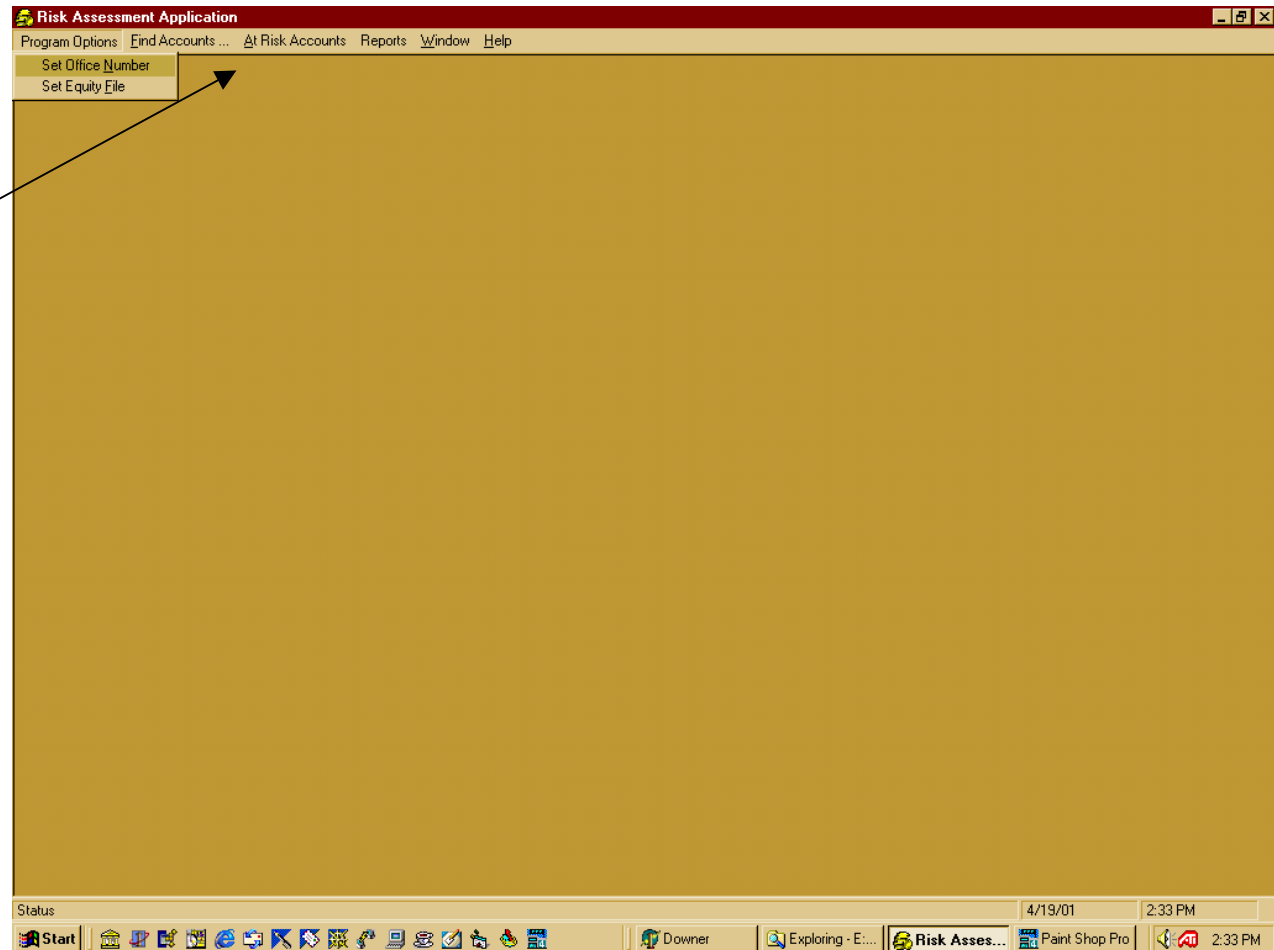
At the top of the report window, there is a text input field containing "EQ101100 151.zip" and two buttons labeled "Print" and "Exit". Below this, a text prompt says "Double click on specified report:". The main area of the window contains a table of commodity data.

Date	FL	QTY	UNIT	DESCRIPTION	PRICE	AMOUNT	CURRENCY	NET FUT	AMOUNT
9/07/00	FL	2		AUG 01 CATTLE	70.55	141.10	US		20.00
		2 *	*		AV 70.550	70.57	L/2 **		20.00 *
								3.0	
10/09/00	FL	1		MAR 01 XC WHEAT	3.32	3.32	US		350.00
		1 *	*		AV 3.320	3.39	**		350.00 *
								1.0	
9/22/00	FL	1		DEC 00 COTTON	62.60	62.60	US		485.00
9/28/00	FL	1		DEC 00 COTTON	62.40	62.40	US		1,085.00
10/04/00	FL	1		DEC 00 COTTON	62.70	62.70	US		435.00
10/04/00	FL	1		DEC 00 COTTON	63.80	63.80	US		385.00
10/06/00	FL	2		DEC 00 COTTON	62.92	125.84	US		650.00
10/10/00	FL	2		DEC 00 COTTON	64.40	128.80	US		170.00
		8 *	*		AV 62.767	64.57	**		3,210.00 *
								8.0	
9/20/00	FL		1	DEC 00 EMINI S&P 500	1461.00	1461.00	US		3,500.00
9/21/00	FL		1	DEC 00 EMINI S&P 500	1458.00	1458.00	US		3,250.00
9/21/00	FL		1	DEC 00 EMINI S&P 500	1468.50	1468.50	US		3,875.00
9/22/00	FL		1	DEC 00 EMINI S&P 500	1454.00	1454.00	US		3,150.00
9/27/00	FL		1	DEC 00 EMINI S&P 500	1444.75	1444.75	US		2,687.50
9/27/00	FL		1	DEC 00 EMINI S&P 500	1454.00	1454.00	US		3,150.00
10/02/00	FL		1	DEC 00 EMINI S&P 500	1451.50	1451.50	US		3,025.00
10/02/00	FL		1	DEC 00 EMINI S&P 500	1452.00	1452.00	US		3,050.00
10/05/00	FL		1	DEC 00 EMINI S&P 500	1451.75	1451.75	US		3,027.50
10/06/00	FL		1	DEC 00 EMINI S&P 500	1421.00	1421.00	US		1,500.00
10/09/00	FL		1	DEC 00 EMINI S&P 500	1413.25	1413.25	US		1,112.50
10/10/00	FL		1	DEC 00 EMINI S&P 500	1411.50	1411.50	US		1,025.00
		*	12 *		AV 1445.104	1391.00	**		32,462.50 *
								12.0-	
10/05/00	FL	1		GI DEC 00 S&P 500	1452.50	1452.50	US		15,625.00-
		1 *	*		AV 1453.500	1391.00	**		15,625.00--
								1.0	

At the bottom of the window, a status bar displays: "Auto Download Off", "COLLEEN", "RJO50", "Logged on at 10/11 15:40:00", and "Logon Successful 15:40:00".

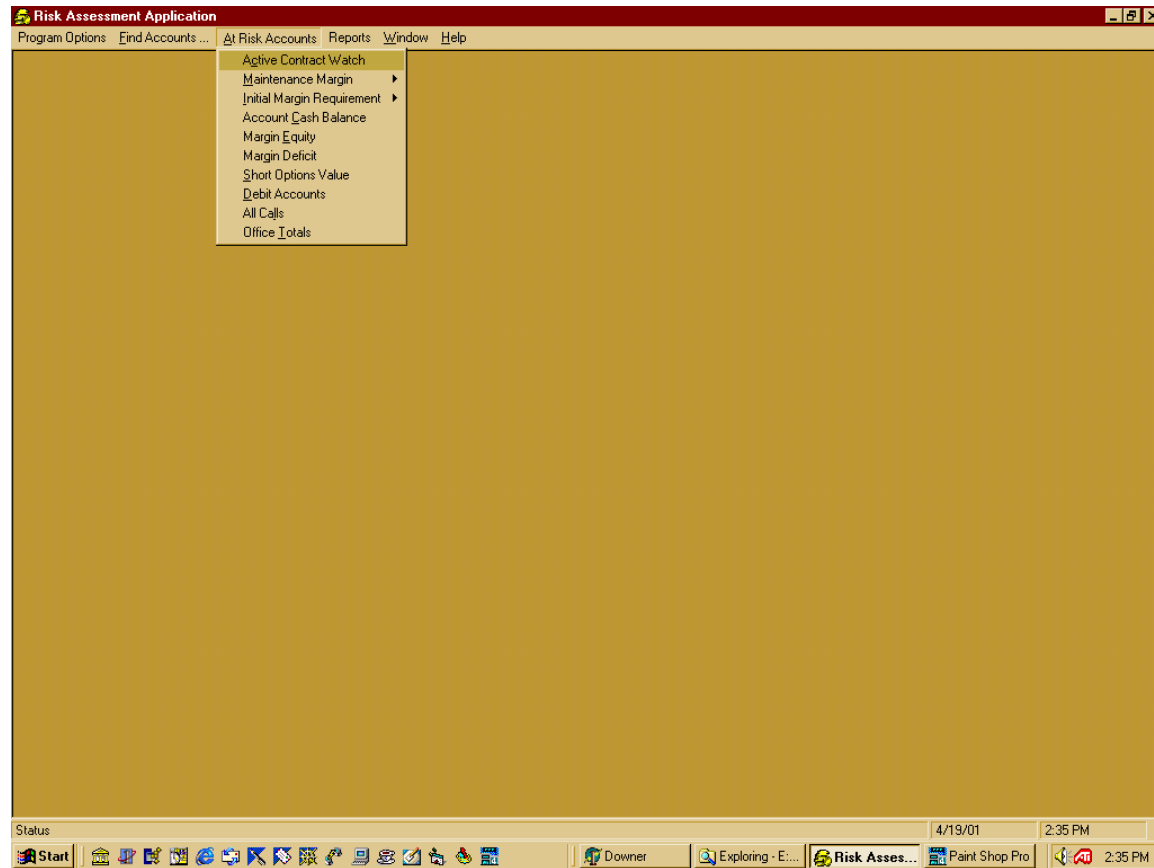
Risk Assessment Program

To activate the Risk Assessment program, click on At Risk Accounts.



Active Contract Watch

Click on Active Contract Watch to activate the program functions and access all the functionality shown in the drop-down menu.



Viewing an Account from Position(s)

Click on a position in the Active Trading screen, and a snapshot of all the account information will appear.

This account information can be printed or saved to a file.

The screenshot displays the 'Risk Assessment Application' window. The 'Active Trading' panel on the left lists various commodities, with 'WHEAT' selected. The main window shows an 'Equity Information' dialog box for account #90017, which is a 'CALL DEC 99 WHEAT' position. Below the dialog, a 'Futures Summary' shows a total long of 103 and a total short of 7, with an office risk of 96 Long. An 'Options Summary' shows 156 Long Calls, 24 Short Calls, 10 Long Puts, and 18 Short Puts. The status bar at the bottom indicates the date is 4/19/01 and the time is 2:36 PM.

Date	Symbol	Quantity	Price	Value	Cost	Gain/Loss
7/28/99	F1 1	CALL DEC 99 CORN	250	.04 1/2 US		12.50
11/20/99-X	F1 1	.0 DQ .010 DF AV	.045	.00 1/4 **		12.50
9/30/99	F1 1	CALL MAR 00 CORN	240	.04 3/4 US		143.75
2/19/00-X	F1 1	.2 DQ .200 DF AV	.047	.02 7/8 **		143.75
7/28/99	F1 1	CALL DEC 99 WHEAT	340	.04 1/2 US		18.75
11/20/99-X	F1 1	.0 DQ .040 DF AV	.045	.00 3/8 **		18.75
FL MONEY TOTALS						
		.00 FJR	566.43 PBL	.00 NDM	175.00 NOV	566.43 ACB
		.00 FMR	.00 POE	.00 LDM	175.00 LOW	.00 OTE
		.00 MF	566.43 PTE	.00 SDN	.00 SOW	566.43 TE
		.00 TC	1.00000000 FCV	.00 LMV	566.43 N/E	741.43 LV

Viewing by Account

Click on Find Accounts and select the desired Account Number. The account chosen will appear in an adjacent box.

This account information can be printed or saved to a file.

The screenshot displays the 'Risk Assessment Application' window. The menu bar includes 'Program Options', 'Find Accounts ...', 'Risk Accounts', 'Reports', 'Window', and 'Help'. An arrow points from the text 'Click on Find Accounts' to the 'Find Accounts ...' menu item.

The 'Accounts' window is open, showing a list of account numbers. The account 'D4009' is selected and highlighted. Below the list, it says 'Click with mouse to view equity'.

The 'Equity Information' window is also open, displaying the following data:

Equity Information					
30019/30019/0000/LOUIS & BONINE MOORE AS TRUSTEES (C) 1/10/04/29 US					
0 P F Y B T					
FL MONEY TOTALS					
	.00	FIR	3.35	PBL	
	.00	NIM		.00	NOV
					3.35
					ACB

At the bottom of the 'Equity Information' window, there are two buttons: 'Print Equity' and 'Save To File'.

The Windows taskbar at the bottom shows the date as 4/19/01, the time as 2:34 PM, and the user as Downer. Open applications include Exploring - E..., Risk Asses..., and Paint Shop Pro.

Maintenance Margins – Total Equity

View maintenance margin as a percentage of total account equity.

The screenshot shows the 'Risk Assessment Application' window. The 'At Risk Accounts' menu is open, and the 'Maintenance Margin / Total Equity' option is selected. A data window titled 'Maintenance Margin / Total Equity' is displayed, showing a list of accounts and their corresponding FMR/TE percentages.

Account Number	Account Name	FMR/TE (%)
87301 80152	SHAWN GIBSON	118.86%
87301 80254	DR HARLEY E BEERY	133.26%
87301 90016	DAVID SCHLABACH & LEWIS	359.37%
87302 85194	DON W ROBERTSON	135.65%
87302 85260	NHUT NGOC CHAU	102.77%
87303 40011	SEAN STEPHAN	132.53%
87305 07018	A F CHRISTNER &	123.53%
87305 70140	LARRY BOYD	250.47%
87305 70512	LEWIS SCHLABACH - INVESTMENTS	158.54%
87310 01022	ALBERT L ARBAUGH	113.71%
87310 15944	MAHIPAL RAVIPATI &	126.81%
87310 16102	GREGORY D KENDALL	131.63%
87310 16194	EDWARD C MARSHALL	124.62%
87335 26237	WILLIAM RILEY	131.66%

Buttons at the bottom of the data window: Print At Risk Accounts, Save To File

Windows taskbar: Start, Downer, Exploring..., Risk A..., Paint Sho..., 4/19/01, 2:40 PM

Maintenance Margins – Liquidation Value

View
maintenance
margin as a
percentage of
liquidation value..

The screenshot shows the 'Risk Assessment Application' window with the 'At Risk Accounts' menu open. The menu options are:

- Active Contract Watch
- Maintenance Margin
 - Maintenance Margin / Total Equity
 - Maintenance Margin / Liquidating Value
- Initial Margin Requirement
- Account Cash Balance
- Margin Equity
- Margin Deficit
- Short Options Value
- Debit Accounts
- All Calls
- Office Totals

The 'At Risk Accounts (Futures (Margin Requirement) / (Liquidating Value))' window displays the following data:

Account ID	Account Name	FMR/LV
87301	80182-SHAWN GIBSON	118.86%
87301	80254-DR HARLEY E BEERY	133.26%
87301	90016-DAVID SCHLABACH & LEWIS	359.37%
87302	85194-DON W ROBERTSON	135.65%
87302	85260-NHUT NGOC CHAU	102.77%
87302	85395-WARREN SHELTON	106.92%
87303	40011-SEAN STEPHAN	261.14%
87305	D7018-A F CHRISTNER &	101.87%
87305	70140-LARRY BOYD	250.47%
87305	70398-WILLIAM G KEMP	170.32%
87305	70512-LEWIS SCHLABACH - INVESTMENTS	158.54%
87308	55791-MANZOOD MIRZA	278.95%
87308	56209-NODES INC	127.17%
87310	D1022-ALBERT L ARBAUGH	459.06%
87310	14402-CRAIG BENJEGERDES	141.44%
87310	15092-ERIC ISPHORDING	298.31%
87310	15944-MAHIPAL RAVIPATI &	126.81%
87310	16102-GREGORY D KENDALL	131.63%
87310	16118-WILLIAM C ZEIGLER	108.86%
87310	16120-KIMBURTON LEE RICHTER	286.86%
87310	16131-CHAMUNKES TRADERS	101.26%
87310	16138-LINWOOD W TPOCK JR	209.37%
87310	16172-FRED KUNZLI	226.62%
87310	16178-SCOTT WARREN HARRIS & MANVELA	219.44%
87310	16194-EDWARD C MARSHALL	124.62%
87335	25442-MERLE HULT	250.74%

The Windows taskbar at the bottom shows the date as 4/19/01, the time as 2:40 PM, and the active window as 'Risk A...'.

Initial Margin Requirements

Set global threshold “triggers” to view accounts over the specified threshold amount (in this case, set at \$10,000).

The screenshot shows the 'Risk Assessment Application' window. The 'At Risk Accounts' menu is open, highlighting 'Initial Margin Requirement'. Below it, a window titled 'At Risk Accounts (Futures Initial Margin Requirement)' is displayed, showing a list of accounts and their FIR values. At the bottom of this window, a text box contains the value '10000' and a button labeled 'Apply Threshold Filter'.

Threshold	Account Name	FIR
10000	87301 80254-DR HARLEY E BEERY	\$18625.00
10000	87302 85250-STANLEY O HJERLEID	\$23405.00
10000	87303 40331-SENTHIL KUMAR KUMARASWAMY &	\$23188.00
10000	87305 70264-EMERY WECHSELBERGER	\$15113.75
10000	87305 70422-TIMOTHY M DIFFENDERFER	\$15924.00
10000	87305 70509-PETER L HANSON	\$10778.24
10000	87305 70518-MARK VUNCANNON & JACK VUNCANNON	\$23652.00
10000	87305 70519-JEFF VUNCANNON & JACK VUNCANNON	\$23652.00
10000	87305 70520-CRAIG VUNCANNON & JACK VUNCANNON	\$23652.00
10000	87308 55791-MANZDOR MIRZA	\$15393.00
10000	87308 56199-EARL WHITE	\$11714.00
10000	87310 14402-CRAIG BENJEGERDES	\$23534.00
10000	87310 15092-ERIC ISPHORDING	\$16610.00
10000	87310 15533-ROBERT SEKAUER	\$21709.00
10000	87310 16059-ALAN BARNES	\$14630.00
10000	87310 16100-IRVING ALPERIN	\$27774.00
10000	87310 16196-RONALD SETHER & SONDR SETHER	\$10095.00
10000	87335 RPOOL-RAY POOL (MASTER ACCOUNT)	\$38589.50
10000	87335 24050-JAMES H WEAVER	\$16410.00
10000	87335 25579-RAY POOL	\$27783.00
10000	87335 25909-ROBERT E WATERS	\$43584.00
10000	87335 25965-HOWARD C DICKWORTH	\$11320.00
10000	87335 25969-MICHAEL A HANRAHAN & ROBERT	\$13500.00
10000	87335 26069-JOHN M ZIMMER	\$16658.00
10000	87335 26219-ANDREW MOORE & JUDY S JULL &	\$13500.00
10000	87335 26300-RAY POOL	\$21624.50

Initial Margin Requirements/Liquidation Value

The screenshot displays the 'Risk Assessment Application' window. The 'At Risk Accounts' menu is open, showing options like 'Initial Margin Requirement' and 'Initial Margin Requirement / Liquidating Value'. A secondary window titled 'At Risk Accounts { Futures Initial Margin Requirement / Liquidating Value}' is open, displaying a list of accounts with their respective FIR/LV percentages. Below the list, there is a section for 'LV/FIR Threshold' with radio buttons for 30%, 40%, 50%, 60%, 70%, 80%, and 90%. A checkbox labeled 'Let securities reduce risk' is also present. The status bar at the bottom shows the date as 4/19/01 and the time as 2:41 PM.

Account ID	Account Name	FIR/LV
87301 45192	MIKE WILLIAMS & BILLY WILLIAMS	70.41%
87301 45827	GEORGE IZYKOWICZ &	48.24%
87301 45897	HUBERT H EASON	48.64%
87301 80015	JEFFREY M TANNENHOLTZ	64.07%
87301 80017	MENNO E YODER	44.49%
87301 80138	ROBERT WESLEY MCEACHRON	67.66%
87301 80152	SHAWN GIBSON	160.47%
87301 80230	DAYTONA DENTURE CENTER	57.23%
87301 80244	AG ANDERSON	96.54%
87301 80254	DR HARLEY E BEERY	172.79%
87301 90001	HENRIETTA QUINTANA	64.31%
87301 90012	DOUG MARSHALL	68.08%
87301 90016	DAVID SCHLABACH & LEWIS	485.15%

The larger the percentage the more the account is at risk.
 LV/FIR Threshold: 30% 40% 50% 60% 70% 80% 90%

Let securities reduce risk

Buttons: Print At Risk Accounts, Save To File

Status: 4/19/01 2:41 PM

Account Cash Balances/Securities on Deposit

View account cash balances plus any securities on deposit.

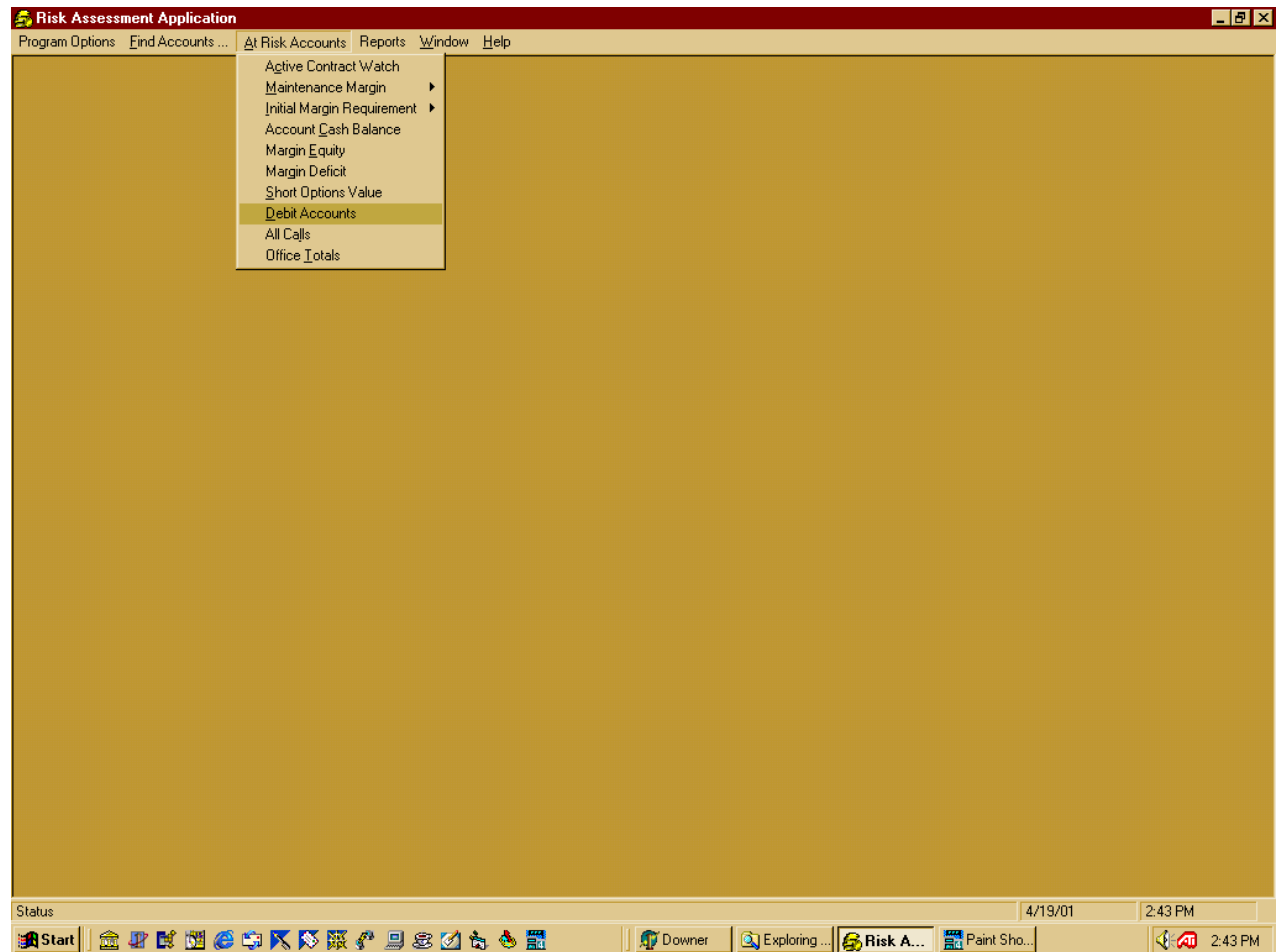
A threshold filter is available to show accounts below set amounts.

The screenshot shows the 'Risk Assessment Application' window. The 'At Risk Accounts' menu is open, highlighting 'Account Cash Balance'. Below it, a sub-window titled 'At Risk Accounts (Account Cash Balance)' displays a list of accounts. At the bottom of this sub-window, there is a text input field for a threshold filter set to '0' and buttons for 'Apply Threshold Filter', 'Print At Risk Accounts', and 'Save To File'.

Account ID	Account Name	ACB	Securities
87301	90024-OLALEKAN BABATUNDE	-\$474.28	
87301	90025-JERRY L ALEXANDER	-\$1403.90	
87302	35064-MICHAEL H MESSIER	-\$645.08	
87302	50095-RICHARD S GUYER & JOYCE F GUYER	-\$3573.41	Securities = \$47500.00
87302	50109-DAVID ZEBROWSKI	ACB = \$0.00	
87302	85331-JOHN D TRAYER	ACB = -\$61.71	
87302	85374-SEAN WILLARD BOLDING	ACB = -\$1179.71	
87302	85386-GERALD MEIDINGER SR	ACB = -\$173.00	
87302	85392-VERNON G ALLPORT SR MD	ACB = -\$0.36	
87303	40084-THEODORE R GECI	ACB = \$0.00	
87303	40335-DANIEL EZERSKY	ACB = -\$3754.19	
87305	70103-JO E SCIMECA	ACB = -\$417.50	
87305	70255-JIM TUCKER	ACB = -\$0.60	
87305	70306-TERRY WOLF & TENAYA ADREAN	ACB = \$0.00	
87305	70381-PETE RENZULLI	ACB = -\$49.63	
87305	70447-MARIO ABREU	ACB = -\$1254.57	Securities = \$14250.00
87305	70517-JOSEPH SCHLBACH & LEWIS SCHLBACH	ACB = -\$175.62	
87308	35176-GREG EWANIZKY	ACB = -\$279.36	
87308	55606-MICHAEL PARRELLA	ACB = \$0.00	
87308	56154-GARY L STEINES &	ACB = -\$732.23	
87308	56222-MAY L LIM	ACB = -\$53.69	
87310	16057-CHARLES KEITH & DONNA I FITSCHEN	ACB = -\$5127.35	Securities = \$85500.00
87310	16099-W ALLEN BROWN	ACB = -\$13368.73	
87310	16165-ROBERT GITTENS & MAXINE GITTENS	ACB = -\$782.68	
87311	60282-DAN HENDRIX & MARNI HENDRIX	ACB = \$0.00	
87313	19899-TRADERS NETWORK INC - ERROR	ACB = -\$2300.53	

Debit Accounts

Any debit accounts can be viewed from this screen.



Margin Equity

To view any accounts under a set default amount, a threshold filter can be applied.

The screenshot displays the 'Risk Assessment Application' window. The 'Margin Equity' menu item is selected, showing a list of accounts and their corresponding margin equity values. A threshold filter is applied, showing only accounts with a margin equity of \$1000 or less.

Threshold	Account ID	Account Name	Margin Equity
1000	87301 35039	DWAYNE FERGUSON	\$51.99
1000	87301 45908	MICHAEL J STIMAC	\$288.86
1000	87301 80004	ANTHONY SASSO	\$57.12
1000	87301 80015	JEFFREY M TANNENHOLTZ	\$378.60
1000	87301 80038	RIMANTAS V MARCIULIONIS	\$0.20
1000	87301 80080	JAMES W BABB JR D.B.A.	\$27.97
1000	87301 80113	JANICE J JOHNSON-AMOS	\$841.00
1000	87301 80121	WILLIAM C CLEMENS &	\$525.61
1000	87301 80138	ROBERT WESLEY MCEACHRON	\$548.70
1000	87301 80210	SUSAN-CLAIRE ANDERSON REID	\$134.62
1000	87301 80215	KEVIN FRIESEN & KATHY FRIESEN	\$321.28
1000	87301 80225	CHARLES W CORDELL & BARBARA P	\$724.55
1000	87301 80238	BINA SCHWARTZ & DALE SCHWARTZ	\$480.70
1000	87301 80244	AG ANDERSON	\$145.28
1000	87301 90001	HENRIETTA QUINTANA	\$934.61
1000	87301 90007	RHB INC	\$499.01
1000	87301 90009	NEAL P MARTIN	\$9.40
1000	87301 90011	FREDERICK MONTGOMERY	\$48.46
1000	87301 90017	INVESTMENT DYNAMICS TRUST	\$566.43
1000	87302 35035	SHARON M DUNK	\$24.10
1000	87302 35098	RONALD R ANTHONY	\$40.79
1000	87302 35129	WORK-A-DAY TRUST	\$12.18
1000	87302 50022	STEVE P CARTER	\$296.32
1000	87302 50038	CHARLES V DOCKTOR	\$278.89
1000	87302 50041	ALVIN C HUGHES	\$2.95
1000	87302 50048	BILL EISEMAN	\$395.17

At the bottom of the window, there is a text box: 'Enter the min amount for alert trigger (in dollars):' with a value of '1000' entered. Next to it is a button labeled 'Apply Threshold Filter'. Other buttons include 'Print At Risk Accounts' and 'Save To File'.

Margin Deficit

View all accounts with a margin deficit.

The screenshot shows the 'Risk Assessment Application' interface. A menu is open, highlighting 'Margin Deficit'. Below it, a window titled 'At Risk Accounts (Margin Deficit)' displays a list of accounts and their corresponding margin deficit values.

Account ID	Account Name	Margin Deficit
87301 80152	-SHAWN GIBSON	Margin Deficit = -\$1526.11
87301 80171	-RICK A WRIGHT	Margin Deficit = -\$110000.00
87301 80230	-DAYTONA DENTURE CENTER	Margin Deficit = -\$365.48
87301 80254	-DR HARLEY E BEERY	Margin Deficit = -\$20483.86
87301 90016	-DAVID SCHLABACH & LEWIS	Margin Deficit = -\$2829.38
87301 90022	-JOHN NEUMANN & CHERYL NEUMANN	Margin Deficit = -\$49000.00
87301 90024	-OLALEKAN BABATUNDE	Margin Deficit = -\$474.28
87301 90025	-JERRY L ALEXANDER	Margin Deficit = -\$1403.90
87302 50054	-J B WARREN	Margin Deficit = -\$28.21
87302 50098	-EDUARDO J HERNANDEZ	Margin Deficit = -\$13.84
87302 85026	-DARRELL R SINGLETON	Margin Deficit = -\$24.36
87302 85194	-DON W ROBERTSON	Margin Deficit = -\$1225.62
87302 85250	-STANLEY O HJERLEID	Margin Deficit = -\$2247.07
87302 85260	-NHUT NGOC CHAU	Margin Deficit = -\$256.15
87302 85331	-JOHN D TRAYER	Margin Deficit = -\$61.71
87302 85392	-VERNON G ALLPORT SR MD	Margin Deficit = -\$0.36
87303 40011	-SEAN STEPHAN	Margin Deficit = -\$1526.05
87303 40038	-TIMOTHY G NEW	Margin Deficit = -\$115.42
87303 40225	-RICHARD H CHASE SR REVOCABLE	Margin Deficit = -\$191.40
87303 40307	-KEVIN B ANDERSEN	Margin Deficit = -\$174.82
87303 40311	-BRIAN GREENBERG & SARA GREENBERG	Margin Deficit = -\$1687.90
87303 40331	-SENTHIL KUMAR KUMARASWAMY &	Margin Deficit = -\$3961.57
87303 40340	-THOMAS G BRENNAN	Margin Deficit = -\$2657.32
87305 07018	-A F CHRISTNER &	Margin Deficit = -\$1249.29
87305 70114	-MICHAEL KUKURICH	Margin Deficit = -\$12.73
87305 70140	-LARRY BOYD	Margin Deficit = -\$76.06

Buttons at the bottom of the window: Print At Risk Accounts, Save To File

Status bar: 4/19/01 2:42 PM

Taskbar: Start, Downer, Exploring..., Risk A..., Paint Sho..., 2:42 PM

All Margin Calls

The screenshot displays the 'Risk Assessment Application' interface. A menu is open, showing various options, with 'All Calls' selected. Below the menu, a window titled 'All Calls' displays a list of margin call transactions. The data is organized into columns for date, time, account, amount, and reference numbers.

Date	Time	Account	Amount	Ref 1	Ref 2
09/30	F1		2,200.00-I	(03)	R 180 87301 80152
10/04	J1		110,000.00-M	(01)	R 180 87301 80171
10/04	F1		17,175.00-I	(01)	R 180 87301 80254
09/30	F1		2,800.00-I	(03)	R 180 87301 90016
09/30	F1		3,100.00-M	(03)	R 180 87301 90016
10/04	J1		49,000.00-M	(01)	R 180 87301 90022
09/28	F1		325.00-M	(05)	R 180 87301 90024
10/01	F1		150.00-M	(02)	R 180 87301 90024
10/01	F1		1,425.00-M	(02)	R 180 87301 90025
10/04	F1		1,500.00-I	(01)	R 180 87302 85194
10/01	F1		1,675.00-I	(02)	R 180 87302 85250
10/04	F1		275.00-M	(01)	R 180 87302 85260
10/04	F1		75.00-M	(01)	R 180 87302 85331
09/30	F1		7.00-M	(03)	R 180 87302 85392
09/30	F1		700.00-I	(03)	R 180 87303 40011
10/01	F1		1,025.00-M	(02)	R 180 87303 40011
10/01	F1		7,500.00-M	(02)	R 180 87303 40331
09/29	F1		2,600.00-I	(04)	R 180 87303 40340
09/29	F1		2,825.00-M	(04)	R 180 87303 40340
10/04	F1		1,225.00-I	(01)	R 180 87305 07018
10/04	F1		100.00-M	(01)	R 180 87305 70140
09/30	F1		50.00-I	(03)	R 180 87305 70272
09/30	F1		1,725.00-M	(03)	R 180 87305 70272

Buttons at the bottom of the 'All Calls' window: Print Calls, Save To File

Windows taskbar: Status 4/19/01 2:43 PM. Taskbar icons include Start, Downer, Exploring..., Risk A..., Paint Sho...

Totals by Office

View total balances for an individual office, as of the previous day's close.

The screenshot shows the 'Risk Assessment Application' interface. A menu is open, highlighting 'Office Totals'. Below it, a window titled 'Office Totals' displays a table of financial data for various offices. The table has columns for Office ID, Account Type, Balance, and another Account Type. The data is as follows:

Office	Account Type	Balance	Account Type	Balance	Account Type	Balance
FA OFFICE 180	ACB	5,569.85	WF	5,569.85	LOV	.00
	PBL	5,569.85	O/E	.00	SOV	.00
	TE	5,569.85	M/E	5,569.85	NOV	.00
	LV	5,569.85	MD	.00	MV	.00
FC	ACB	1,390.00	WF	1,390.00	LOV	.00
	PBL	1,390.00	O/E	.00	SOV	.00
	TE	1,390.00	M/E	1,390.00	NOV	.00
	LV	1,390.00	MD	.00	MV	.00
F1	ACB	3,727,767.94	WF	2,909,581.53	LOV	1,057,165.96
	PBL	3,653,045.93	O/E	96,836.76	SOV	208,596.31
	TE	3,630,931.18	M/E	3,245,937.72	NOV	848,569.65
	LV	4,479,500.83	MD	127,524.36	MV	565,250.00
F2	ACB	186.60	WF	4.80	LOV	.00
	PBL	9,865.20	O/E	.00	SOV	.00
	TE	186.60	M/D	186.60	NOV	.00
	LV	186.60	MD	191.40	MV	.00
F3	ACB	6,239.34	WF	467.16	LOV	.00
	PBL	6,239.34	O/E	7,706.50	SOV	.00
	TE	1,467.16	M/E	467.16	NOV	.00
	LV	1,467.16	MD	.00	MV	.00
J1	ACB	370,650	WF	316,900	LOV	76,250

The window also includes buttons for 'Print Office Totals' and 'Save To File'.

Contract Expiration

View initial trade date information together with the date the contract expires.

The screenshot displays the 'Risk Assessment Application' interface. A menu is open showing options: Expiring Contracts, Confirmations, P and S, Adjustments, Memos, and Journal. The 'Contract Expiration Report' window is active, showing a table of contract data. The table lists contract details for four different clients, including trade dates, contract types, and expiration dates.

Client	Trade Date	Contract Type	Quantity	Expiration Date	Initial Price	Current Price	Other Info
180 87302 85032-BRADFORD L WARREN	4/22/00-X		3 *	10/04/99	1.1	.700	DQ -350 DF AV
	10/04/99	F1	3			.700	CALL MAY 00 BEAN OIL
	4/14/00-X		6 *	10/04/99	2.5	.300	DQ .410 DF AV
	4/28/99	F1	6			.300	CALL MAY 00 SUGAR #11
180 87302 85306-ALTON L HOWARD	4/07/00-X		2 *	10/04/99	.0	1.300	DQ .010 DF AV
	10/04/99	F1	2			1.300	CALL MAY 00 CDPFFEE 'C'
	4/22/00-X		5 *	10/04/99	.4	.150	DQ .080 DF AV
180 87302 85380-INDEPENDENT TRUST CORP	7/16/99	F1	5			.150	CALL MAY 00 BEAN OIL
	4/22/00-X		2 *	10/04/99	.1	.007	DQ .030 DF AV
180 87303 40346-RUSSEL P BIRD	9/30/99	F1	2			.320	CALL MAY 00 CDRM
	4/07/00-X		2 *	10/04/99	.0	1.000	DQ .010 DF AV
	9/23/99	F1	2			2.000	CALL MAY 00 CDPFFEE 'C'
	4/07/00-X		2 *	10/04/99	.1	.370	DQ .050 DF AV
	9/16/99	F1	2			.370	CALL MAY 00 CDTTON
	4/22/00-X		2 *	10/04/99	.1	.007	DQ .030 DF AV

Trade Confirmations

View the previous days trades as well as any "as of" additions.

The screenshot shows the 'Risk Assessment Application' interface. The 'Reports' menu is open, highlighting 'Confirmations'. A 'Confirmations Report' window is displayed, showing a table of trade data. The table includes columns for Account#, F1, quantity, contract type, date, instrument, and two numerical values.

Account#	F1	Quantity	Contract	Date	Instrument	Value 1	Value 2
80072	F1	5	CNF CALL	APR 00	GOLD-COMEX	290	32.00
90022	F1	1	CNF CALL	DEC 99	GOLD-COMEX	330	9.00
35025	F1	2	CNF CALL	DEC 99	GOLD-COMEX	350	5.00
35025	F1	3	CNF CALL	DEC 99	GOLD-COMEX	360	4.00
85032	F1	3	CNF CALL	MAY 00	BEAN OIL	190	.700
85032	F1	6	CNF CALL	DEC 99	GOLD-COMEX	340	6.00
85032	F1	4	CNF CALL	DEC 00	LT CRUDE	1900	2.15
85063	F1	1	CNF PUT	FEB 00	GOLD-COMEX	250	1.00
85083	F1	1	CNF PUT	DEC 99	GOLD-COMEX	310	11.00
85105	F1	1	CNF PUT	DEC 99	T-BOND	108	12/64
85138	F1	5	CNF CALL	DEC 99	GOLD-COMEX	390	3.00
85245	F1	1	CNF CALL	FEB 00	GOLD-COMEX	330	12.00
85252	F1	5	CNF CALL	DEC 99	GOLD-COMEX	300	20.00
85267	F1	1	CNF PUT	OCT 99	S&P 500	1260	7.50
85287	F1	6	CNF CALL	DEC 99	GOLD-COMEX	390	3.00

The interface also shows a taskbar with the date 4/19/01 and time 2:44 PM, and several open applications including 'Downer', 'Exploring...', 'Risk A...', and 'Paint Sho...'.

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