Exhibit 5

Exhibit 5 - Example of PW Transaction with Check Only Transaction Description

```
                                    1-M0015-3-0              6/30/04

                                                    6/30/04        1  QM

                                              1-M0015-3-0


                          BALANCE FORWARD                    37,175,910.49
        6/01              MAY MARGIN INTEREST        INT         126,219.72
        6/01              CHECK                      PW          228,065.00
        6/01              TRANS TO 80 ACCT           JRNL         14,000.00

                          NEW BALANCE                        37,544,195.21

                          SECURITY POSITIONS         MKT PRICE
        50,000            AMGEN INC                     54.570
        727,900           MICROSOFT CORP                28.560
        50,000            R J REYNOLDS TOBACCO HLDS     67.590
        60,000            SYMANTEC CORP                 43.780

                          MARKET VALUE OF SECURITIES
                                  LONG            SHORT
                          29,523,624.00
```

Profit Withdrawal

```
6/01    CHECK                    PW      228,065.00
```

Exhibit 6

Profit Withdrawals

| 4/05 | 4/05 | CHECK HOME DEPOT | PW | 191.94 |
| 4/11 | 4/11 | CHECK CLAYTON | PW | 3,001.71 |

Exhibit 7

```
            1-G0113-2-0              11/30/99

                                    11/30/99    1    H

                                    1-G0113-2-0


        NO BALANCE FORWARD

11/01                       CHECK INT 11/1/99        PW      2,500.00
11/01                       CHICAGO IL WTR REV       INT             2,500.00
                              5.000 11/01/2007
                            INTEREST 11/1/99

                            NEW BALANCE

                            SECURITY POSITIONS
        100,000             CHICAGO IL WTR REV
                              5.000 11/01/2007
        100,000             NJ ECO DEV AUTH REV
                              4.700   7/01/2004
        100,000             OREGON HLT REV
                              4.750   7/01/2006
```

Profit Withdrawals

```
11/01      CHECK INT 11/1/99      PW      2,500.00
```

MDPTPP03291329

Exhibit 8

Profit Withdrawals

Exhibit 9

MADOFF INVESTMENT SECURITIES

HOUSE 17   MANUAL

AUGUST 1995

CONTENTS

ODDS AND ENDS

TO CHECK **DTC REPORT** (FROM HOUSE 05)

GO TO **MENU MADF17 #2** (DISPLAY STOCK RECORD)

ENTER SYMBOL --> ENTER

IF THERE ARE POSITIONS TEAR OFF PAGE WITH SYMBOL AND GIVE TO
ANNETTE. IF THERE ARE NO POSITION TEAR OFF PAGE WITH SYMBOL FOR
SHREDDING

****

WEEKLY SAVE OF JOBLOGS (DONE MONDAY AFTERNOON)
     MENU BACKUP #2 (USE **SAVEJOBLOG** DATA CARTRIDGE)

SEND TO VAULT WHEN DATA CARTRIDGE IS FULL.

****

TO INITIALIZE DATA CARTRIDGE

     KEY: MENU TAPE #1

SELECT OPTION FROM **INITIALIZATION MENU** THAT CORRESPONDS TO DATA
CARTRIDGE.

****

COLLECT AND SAVE MONEY AND INVESTMENT SECTION OF THE WALL STREET
JOURNAL ON A DAILY BASIS.

AT THE END OF EACH MONTH PUT IN ENVELOPE AND GIVE TO FILING ROOM,
LABEL ENVELOPE **JOURNAL PRICES & MONTH**

****

AFTER MONTH END PUT ALL CONVERSION & C/S SHEETS FOR MONTH IN
CONVERSION ENVELOPE, LABEL **CONVERSION & C/S SHEETS & MONTH/YEAR**
GIVE TO FILING ROOM
****

FIXING MEMO FORMS   *check*

KEY: SLIB GPLIB --> ENTER

THEN KEY: MEMOPRO1 --> ENTRY SCREEN
THEN KEY: MEMOPRO2 --> PROCESS CORRECTED MEMOS
NOTE **
IF MEMO READS **DEBITED YOUR** THEN MONIES AND SHARES ARE ᴛᴵᴱᴸᴰ ᵀ
IF MEMO READS **CREDITED YOUR** THEN MONIES AND SHARE ARE **FIELD -**

IF THE FOLLOWING JOB IS RUNNING	YOU CAN RUN
DSPST17 (INITIALIZE ACCT ACTIVITY)	CORRECT PORT #2,10.11 NAMENU SETCONV CHECKS (ALL) - MEM04 TRDENTRY - TRAD1701 C/S (ENTRY ONLY) SETUPS (ALL) LONGPOS (ALL) - PORTPRIC
TRDENTRY-TRAD1701	PORT07 - PORT12 PORT #2 -->10,11,14 PORTPRIC LONGPOS (ALL) DSPST17 C/S (ENTRY ONLY) CHECKS (ALL) SETCONV SETUPS - #1,2,3,4,5 DVP LEDGERS & STATEMENT
CASH1732 (CUST LEDGERS)	C/S (ENTRY ONLY) SETUPS MENU #1 & #2 CHECKS (ALL) TRDENTRY PORTPRIC SETCONV
DIV E-O-M	C/S (ENTRY ONLY) LONGPOS - LONGPOS3 SETUPS 1-->4 CHECK (ALL), PRICEPRT
ARBITRAGE PORTFOLIO	TRADES (ALL) EXCEPT SAVE C/S (ALL) EXCEPT SAVE

IF THE FOLLOWING JOB IS RUNNING	YOU CAN RUN
CASH1702 (RUN)	PORTPRIC DVP STAT - DVP LEDGERS BUYING POWER REPORT LONGPOS (ALL) PORT63 TRADE (ENTRY ONLY) CHECKS (ENTRY ONLY) PORT07 -PORT12 SETUPS MENU #1,2,3,4,5
CASH1733 (DVP LEDGERS) " 35 (DVP STAT)	TRADES (ALL) SETCONV C/S (ALL)
STK REC - SPECIAL STK REC CASH1710 - SPECSR01	C/S (ENTRY) SETUPS MENU #1 --> #4 PORTPRIC TRDENTRY
FIXING STATEMENT	ANY PROCEDURE
CHECKS	CASH1710 (STK REC) SPECSR01 (SPECIAL STK REC) LONGPOS (ALL)
MENU DIV17 #1 & #2	ANY PROCEDURE
TRADE ENTRY	ANY PROCEDURE EXCEPT TRAD1701
C/S ENTRY	ANY PROCEDURE EXCEPT CASH1702

IF THE FOLLOWING JOB IS RUNNING	YOU CAN RUN
SETUPS MENU #1 - #5 ONLY	LONGPOS2 TRDENTRY - TRAD1701 CHECKS C/S (ALL) DVP LEDGERS & STAT
SETUPS #6 - #7	DVP LEDGERS & STAT
CASH1730 (STATEMENT)	C/S (ENTRY ONLY) PORTPRIC LONGPOS2 - LONGPOS3 CHECKS (ALL) SETCONV
PORTPRIC	ANY PROCEDURE
PORT MENU #2-->10,11,14	LONGPOS (ALL) TRADES (ALL) EXCEPT SAVE
LONGPOS2 & LONGPOS3	MENU PORT #1 CHECK (ALL) MENU EACHK #1 & #2
MENU PORT #1	DIV MENU #1 & #2 SETUPS (ALL) TRADES (ALL) EXCEPT SAVE SETCONV

DECIMAL EQUIVALENTS

1/64 .0156	17/64 .2656	33/64 .5156	49/64 .7656
1/32 .0312	9/32 .2812	17/32 .5312	25/32 .7812
3/64 .0469	19/64 .2969	35/64 .5469	51/64 .7969
1/16 .0625	5/16 .3125	9/16 .5625	13/16 .8125
5/64 .0781	21/64 .3281	37/64 .5781	53/64 .8281
3/32 .0938	11/32 .3438	19/32 .5938	27/32 .8438
7/64 .1094	23/64 .3594	39/64 .6094	55/64 .8594
1/8 .125	3/8 .375	5/8 .625	7/8 .875
9/64 .1406	25/64 .3906	41/64 .6406	57/64 .8906
5/32 .1562	13/32 .4062	21/32 .6562	29/32 .9062
11/64 .1719	27/64 .4219	43/64 .6719	59/64 .9219
3/16 .1875	7/16 .4375	11/16 .6875	15/16 .9375
13/64 .2031	29/64 .4531	45/64 .7031	61/64 .9531
7/32 .2188	15/32 .4688	23/32 .7188	31/32 .9688
15/64 .2344	31/64 .4844	47/64 .7344	63/64 .9844
1/4 .25	1/2 .5	3/4 .75	1 1.0

ENTER/UPDATE C/S

MENU CASH17 (#2 MAIN MENU)

C/S - CASH & SECURITY SETTLEMENT
This settles all pending files created from trades,check etc.
Within a given month C/S is run for every day of the month
that is a valid settlement day. It is usually run at the end
of the day so that customer information can be updated as of
date you are running C/S for.

C/S Sheets:

GREEN SHEET: Debit codes - For R codes that have 2 account #
per record #, if top account is a bank acct then
customer acct will be credited. If top account
is a customer or if there is only 1 customer
acct per record # then customer will be debited

YELLOW SHEET: Credit codes - For D codes that have 2 acct #
per record #, if top account is a bank acct then
customer acct will be debited. If top account is
a customer or if there is only 1 customer acct
per record then customer will be credited.

Codes:

Money trans & checks	Share movement	Exempt int	Fractional shares	Interest & money mkt int	
CA	D	EC	FC	IC	credit
CW	R	ED	FD	ID	debit
PW					

Transfers Sub fee adj	Margin int	Interest	Dividends	Redeem	IRA money transaction	
JC	MC	TC	VC	GC	CT	cr
JD	MD	TD	VD		RL	dr
					DT	

Codes that usually have cusip

    VC, VD, FC, GC, EC, TC

    IC (money market interest don't need cusip)

    JC & JD (sub fees and sub account only - 10/90 & 50/80)

    R & D

R & D - Codes with shares and monies
        the customer - long acct
           bank   - short acct

R & D - Codes with only shares - no monies -
        such as "expired worthless" or "exercised"
           Bank - long acct
          Customer - short acct

In general if a C/S sheet has two acct # per record # then
    first account (top of c/s sheet) -- the long acct
    second account -- the short acct (unless otherwise indicated)

if only one account then it is the long acct

DIVIDENDS - If dividend is put through VD-70 acct then should
        have div adj in the 30 acct (JD) and 70 acct (JC)
        if dividend is put through VC - 30 acct then
        should have div adj in the 70 acct (JC) and 30
        acct (JD)

REDEEMED STOCK - Should have debit (R) with shares, cusip,
        acct#'s (no monies) and a credit (GC) with
        cusip, monies (no shares), customer acct
        only (no bank acct#)

TRANSFERS - Make sure monies (and share if any) are the same
        for both debit and credit. ("Trans to" - debit
        "Trans from" - credit). Check comment column for
        correct ending - account # or name.

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CASH/SECURITIES TRANSACTION CODES

 # means not usually have cusip

CODE	J/E TYPE	LEDGER CODE	COST	1099 TYPE	ENTRY-TYPE
JC	CR	JRNL	YES	N/A	ADJUSTMENTS, TRANSFERS, SUBSCRIPTION FEES
JD	DR	JRNL	YES	N/A	ADJUSTMENTS, TRANSFERS, SUBSCRIPTION FEES
CA	CR	CA	NO	N/A	CAPITAL ADDITIONS (for new 30 acct use JC)
CW	DR	CW	NO	N/A	CAPITAL WITHDRAWALS, w/H TAX
PW	DR	PW	NO	N/A	PROFIT CHECKS
D	CR	DELV	NO	N/A	DELIVER SHARES
R	DR	RECD	NO	N/A	RECEIVE SHARES
FC	CR	JRNL	YES	B	FRACTIONAL SHARES
FD	DR	JRNL	YES	B	FRACTIONAL SHARES
GC	CR	JRNL	YES	B	GROSS SALE JOURNAL CREDITS
MC	CR	MGN INT	NO	N/A	MARGIN INTEREST
MD	DR	MGN INT	NO	N/A	MARGIN INTEREST
IC	CR	INT	NO	INT	TAXABLE INTEREST ON DEBT OBLIGATIONS
ID	DR	INT	NO	N/A	TAXABLE INTEREST ON DEBT OBLIGATIONS
EC	CR	INT	NO	N/A	TAX EXEMPT INTEREST EXCLUDING US OBLIGATIONS
ED	DR	INT	NO	N/A	TAX EXEMPT INTEREST EXCLUDING US OBLIGATIONS
TC	CR	INT	NO	INT	REPORTABLE INTEREST ON U.S. OBLIGATIONS
TD	DR	INT	NO	N/A	REPORTABLE INTEREST ON U.S. OBLIGATIONS
VC	CR	DIV	NO	DIV	DIVIDENDS QUALIFYING FOR EXCLUSION
VD	DR	DIV	NO	N/A	DIVIDENDS QUALIFYING FOR EXCLUSION
NC	CR	DIV	NO	DIV	DIVIDENDS NOT QUALIFYING FOR EXCLUSION
ND	DR	DIV	NO	N/A	DIVIDENDS NOT QUALIFYING FOR EXCLUSION
GC	CR	DIV	NO	DIV	CAPITAL GAINS DISTRIBUTIONS
CD	DR	DIV	NO	N/A	CAPITAL GAINS DISTRIBUTIONS
LC	CR	DIV	NO	DIV	CASH LIQUIDATION DISTRIBUTIONS
LD	DR	DIV	NO	N/A	CASH LIQUIDATION DISTRIBUTIONS

DT CT RL

NEW C & S SYMBOLS (IRA ACCOUNTS)

CONTRIBUTIONS (CREDIT)   CT

DISTRIBUTIONS (DEBIT)   DT

ROLLOVER   (CREDIT)   RL

TRANSFER (DEBIT)   DT

TRANSFER (CREDIT)   CT

TO PUNCH C/S ENTRIES

GO TO MENU CASH17 --> #1 enter/update c/s

check cusip for all C/S entries (MENU MAINT #1)- make sure they are
in the cusip file. If they are not in the cusip file make sure you
are given the information needed to add cusip to file.

NOTE Brackets around monies--> entered as (field -)

C/S screen is a DFU screen

```
            CMD1  - Dupe (on/off)
            CMD10 - Entry mode
            CMD11 - Update mode
            CMD4  - Delete entry
            CMD7  - To end
```

After entries --> CMD7 --> you will get an 'audit log' and a page
with 'totals'. (Once you have run C/S -->tape & printout --> shred)

```
      Make tape for total  Debit Shares  - R
                           Credit Shares - D
                           Debit Monies
                           Credit Monies
```

Check totals with printout, make sure tape and totals are the
same before running or renaming C/S.

Initial each page that you entered

To Rename C/S file -- to put entries on hold so you can
                      update and/or run other C/S.

```
      Key:   RENAME CSHSEC17,CS170324  (HOLD)
             RENAME CS170324,CSHSEC17  (BRING BACK)
```

where 0324 represents the C/S date you are renaming

RUNNING C/S

TO RUN C/S GO TO MENU CASH17 --> #2 (CASH1702)

> Enter C/S Date working with --> you then get a **Fidelity Rate Screen** --> Enter rate in four field (eg 2.87 enter as 0287) then **CMD7**. This gives edit list, fidelity payments & Rejected fidelity (this should always be blank if not call Annette/Programmer).
>
> ***NOTE* Fidelity Rate is entered once for each c/s date,** when running A/O C/S --> CMD7 from fidelity screen -- DO NOT ENTER RATE AGAIN.
>
> ****NOTE**** To get Fidelity Rate --> go to Frank's office and on the 'BRIDGE TERMINAL'
> > KEY: **FDRXX/THD --> ENTER --> PRINT SCREEN**
>
> Take the print of screen and cut Fidelity rate for date running so you can keep a log of the Fidelity rate.

Check edit list carefully against C/S sheets
 if errors --> (Y) for yes errors --> fix errors (#1 MENU CASH17) --> CMD7 to end --> Set Date (C/S date) --> #3 MENU CASH17 **(CASH1704)**

**** NEVER RE-RUN CASH1702 (#2 MENU CASH17) AFTER YES ERRORS *****

> If no errors --> (N) for no errors and C/S will continue to running.
>
> You will need C/S data cartridge - label with 'C/S date' and 'run date'

****Note: If you are running C/S with no entries open CSHSEC17 (C/S file) files by going to MENU CASH17 #1   -->   CMD7   -->   then #2 (CASH1702). For no entries use a blank green or yellow C/S sheet and label it with the C/S date you are running and write NONE across the sheet and file with c/s sheets that have been run.

> Paper Work: Edit List, Fidelity Payment, Rejected Fidelity
> > Daily Stock Record (attach all 4 reports together)
> > Batch Stock Record -(Get only if there are entries with R & D codes)-->Frank's office
> > Blotters
> > Account Cash Balance
> > MEMO   (goes to Winnie/Cedric with C/S sheets)
> > LABL
> > CMEM & CLAB (MEMO for R & D entries in the 10 acct)

NOTE: IF YOU ARE RUNNING C/S THAT HAS NO ENTRIES WRITE "CASH & SECURITY ENTRIES 'DATE' " ON THE BLANK EDIT LIST PAGE.

ALL REPORTS FROM C/S GO TO THE FILING ROOM EXCEPT THE BATCH STOCK RECORD WHICH GOES TO FRANK'S OFFICE.

IF YOU ARE RUNNING A/O C/S - 'NUMBER' THE FIRST PAGE OF THE EDIT LIST, BLOTTERS, ACCOUNT CASH BALANCE & BATCH STOCK RECORD SO THAT THESE REPORTS CAN BE FILED IN THE ORDER THEY WERE RUN.

IF YOU ARE RUNNING C/S TO SETTLE A SPECIFIC PROCEDURE SUCH AS CONVERSION OR SETUPS, THEN WRITE "STL 'SPECIFIC PROCEDURE'" ON THE FIRST PAGE OF THE EDIT LIST, BLOTTERS, ACCOUNT CASH BALANCE & BATCH STOCK RECORD.

CONVERSIONS

Conversion sheets come from Setups.

All conversion due dates are set internally to 99/99/99 so
C/S can be run without settling conversion in errors.

To work with conversions:

GO TO **MENU CASH17 #18** or Key: **SETCONV**

       Only use #02 - To change date
                #03 - To delete conversion
                #05 - To end correction

NOTE:

   **CONVERSIONS FROM WHEN ISSUED STOCKS ARE ALWAYS DELETED
   (BOTH REC & DEL SYMBOLS)**

   **WHEN CHANGING CONVERSION DATES OR DELETING CONVERSIONS YOU
   MUST CHANGE OR DELETE BOTH REC & DEL SYMBOLS**

When customers are to be converted **JoAnne** will give you copies of
DUE DATE report. These reports will have customers for conversion
as well as dates on which to convert customer.

You will need your corresponding CONVERSION DUE reports. (For every
CONVERSION DUE report there is a DUE DATE report with the same
customer/stock information. Joanne works with the DUE DATE report
to SETUP her customers. Then once Customers are SETUP she will give
you her DUE DATE report so you can convert customers that were
SETUP.)

   First- color code customers to be converted based on
   conversion dates. (eg.
   All Cust SETUP in stock A --> conv 7/3 --> color blue
   All Cust SETUP in stock B --> conv 7/15 --> color pink etc.)

   Second- change conversion date -- **SETCONV #2** (Must change date
   on both REC & DEL symbols) Conversion file is accessed by the
   "original due date". This dated is printed at the top
   Conversion Due report.

On change conversion screen --> enter original due date -->
symbols for REC & DEL symbols (symbol 1 & 2)--> new conversion
date --> then enter one of the following:

* **ALL** to change date for all accts (for stocks entered) to new
  conv date
* **INCL** to change date for individual acct # (for stocks entered)
  to new conv date (entry of acct #(s) is done on a DFU screen)
* **OMIT** to change date for all accts (for stocks entered) to new
  conv date EXCEPT individual acct # to be omitted (entry of omit
  acct #(s) is done on DFU screen). Gives conversion on hold
  report

NOTE: FOR DELETING CONVERSION THE ALL/INCL/OMIT INSTRUSTIONS ARE
THE SAME AS FOR CHANGING CONVERSION DATES.

Third- when you change/delete conversion you will get an audit
log for accts entered for INCL/OMIT & a printout showing
"original due date","customer #", "symbols for stock," "R/D",
"shares" and "new conversion date". Check printouts to make
sure that you changed conversion date for customer # that
need to be converted, that you changed date for both symbols
and that the new conversion dates are correct.

Forth- if the conversion date was changed in error and you
need to put a customer back on HOLD --> change conversion date
to 99/99/99

Fifth- run C/S to settle conversion (once you move conversions
to date given by **JoAnne** you must run C/S for that date)

NOTE: AUDIT LOGS AND PRINTOUTS WITH NEW CONVERION DATE ARE FOR YOUR
PURPOSE, AFTER RUNNING C/S TO SETTLE CONVERSION   --> SHRED

CONVERSION ON HOLD - FROM 'OMIT' MUST BE KEPT IN THE CONVERSION
ENVELOPE UNTIL THEY ARE CONVERTED.

If running C/S to settle conversions and there are no entries for
R & D codes in the 10 account then CANCEL CMEM & CLAD on spool
file.

TRADES

Trading involves punching and running BUY/SELL transactions.

There are four types of customer accounts you will do trading for on a monthly basis. The ending of customer account # will tell you the type of account you are working with.

Customer ending in 10 - Joanne's trades - ARBITRAGE ACCT
   * Most trading in 10 acct is done through SETUPS.
   * SETUP trading must never be punched through MENU TRADES #1, it must be punched through SETUP program unless its a cancel setup ticket.
   * DAY TRADES (BUY and SELL of the same stock for the same amount of shares) in the 10 acct --> BANK is 29000030.
   * SELL of treasury for 10 acct will be given to you on the 'yellow' copy of the COMP form. (keep these yellow comps - you do not have to make copies) Joanne must give you the symbol, t/d & s/d and price for sale. You will pickup only the acct # and the shares (quantity) from the comps.
   * SELL of fidelity (FCRXX) will be given to you on the 'FIDELITY BUY REPORT' FCRXX ALWAYS SOLD @ $1 AND T/D & S/D ARE ALWAYS THE SAME. (per acct # - use the earliest date)

Customer ending in 30/40 - Frank's trades - OPTION ACCT
   * Frank's regular trading (ie. common, treasury) are done in 30 acct. (BK 29000030)
   * Settlement date on regular trades ususlly by the calendar.
   * Option trading (PUT & CALL) are done in 40 acct (BK 40000040).
   * The settlement date on OPTION trades is usually the next working date after the trade date.
   * Commision on OPTION trades --> 25 enter as 2500
   * Frank also does trading for BIF account--SEE BIF tickets.

Customer ending in 30/70 - Annette's trades - SPECIAL ACCT
   * All SELL ticket in the 70 acct should have 'SHORT AGAINST BOX' in the INSTR field on trading screen.
   * Settlement date is usually by the calendar.
   * Annette also does trading for 20 accts - bank 29000030

Customer ending in 50 - Jodi's trades - HEDGE ACCT
   * A SELL of a common stock in the 50 acct is usually marked with an 'X' in the short field on trading screen. Settlement date is usually by the calendar.
   * 'M' next to share amounts indicates thousands -->
                50M enter as 50000

There are two types of trading:
    PUN - these are manual or punched trades
    BAT - these are batch and basket trades.

PUN TRADES

TO ENTER PUN TRADES GO TO MENU TRADES #1--> PUN

1) Read everything on tickets very carefully, make sure you know whether you are buying or selling, the shares(quantity), the price, the trade dates- T/D, the settlement dates- S/D and the customer account #, blotters and the bank account #. (ORIGINAL SHARES is entered only when TRAD1701 ask for it)

2) The customer ending number (eg. 10,30,40,50) should match bank account number (**EXCEPT for FIDELITY (FCRXX) and TREASURY (UST__) symbols where the bank is ALWAYS 29000030 and BIF tickets where the customer account number ALWAYS end in 30**).

Customer Ending	Bank	Blotter/market/trans
30,70,20	29000030	452
10 (SETUP)	30000010	452
50	50000050	452
40	40000040	481

Valid Banks:

        29000030 - Regular
        30000010 - Arbitrage Setups
        40000040 - Options - Put & Call
        50000050 - Hedges
        60000020 - Common Stock
        65000020 - Bonds

3) Check T/D and S/D with calendar. For Option tickets (customer ending in 40) the S/D should be the next working date after the T/D. For FCRXX and most TREASURY (UST__) the T/D and S/D are the same. For regular tickets (common, bonds etc) each T/D has a unique S/D based on the calendar.

4)   **TRADING CODES for trade prices:**

        <u>**Fraction**</u>   <u>**Codes**</u>

        No cents/fract   1
           8th   2
           4th   3
           1/2   4
           16th   5   (3/16 punched as 03 5)
           32nd   6   (3/32 punched as 03 6)
           64th   7   (3/64 punched as 03 7)

eg. 1 3/4 punched as   dollar__1 fract/cent_3_ price code _3_
    1 5/16   dollar__1 fract/cent_05 price code _5_
    98.87   dollar_98 fract/cent_87 price code _1_
    1   dollar__1 fract/cent___ price code _1_

5) **PUNCHING CANCEL TICKETS**

   If comps read **SLD** then it is a Buy   --> punch as B
   If comps read **BOT** then it is a Sell --> punch as S

   To cancel a trading ticket punch all information on ticket B/S, **C** (cancel field), shares, symbol, price, trans#, trade date, settlement date, blotters/market/trans, gross (principal), commission (if needed), interest (if needed), the bank account#, X for short (if needed) & INSTR (if needed)

6) **BIF TICKETS - customer account number ALWAYS end in 30**
                 for BIF option - Blotter/Market/trans is 482
                        Bank account # is 40000040
         Frank usually pre calculates the gross.

7) On punching screen acct #1 - Customer acct
                     acct #2 - Bank acct

      CMD1   Dupe
      CMD5   Entry mode
      Roll up/down to scroll entries
      To search for a record --> enter record #-->**CMD3**
      To update a record--> make changes -->**CMD12**
      To delete a record--> **CMD10**
      To end entries-->**CMD7**

After you have entered all trades run a tape to get totals for all
the buys, the sells, principal(gross), commission and interest
Check all totals on tape with the totals on screen--they must be
the same before you run the Trades. (long -Buy total, short-Sell
total).

Once screen and tape are the same --> take a print of the screen
--> PRINT key --> RESET key --> **CMD7** to exit total screen
        then RUN trades (MENU TRADES #2)

8) Initial trading sheets that you punched from. Make copies of all
trading sheets. The originals are returned with the COMPS. The
copies are stapled to the printout of the print screen and tape,
and filed in trading envelope.

BAT TRADES

Batch & Basket Trades

Note: Manual Trades must be Run (or Renamed only Joanne's
trades) before you can punch and run BAT Trades.
For **BATCH or BASKET** trades must check option cusip with Frank

BATCH TRADES - Allows you to buy or sell stocks for customers
based on stock record position. These are
usually Frank's close-out trades.

TO ENTER BATCH TRADES - MENU TRADES - #1 --> BAT--> BATCH

BATCH TRADE SCREEN

1. Enter ticket exactly as written (codes for price are
   already written on ticket) then **ENTER**
2. **CMD1** for omit screen (the 'stock' at top of omit
   screen tells you what stock you are entering omits
   for)
   if omits enter account #(s) then **ENTER**
   for **GROUP OMIT** enter group (eg. 1ZA,1CM) then **CMD5**
3. **CMD1** takes you back to trading screen.
4. If there are more tickets continue with Entries
   if not **CMD7** to end and check edit list.
5. If error--> **y** (yes errors) --> enter **symbol** and **CMD3**
   to search. Make corrections **CMD12 to update** and **CMD10
   to delete** then **CMD7** to end.
   To correct omits - CMD1 for omit screen-->
            D to delete --> CMD12
   If no error --> **n** (no errors) --> **Yes** to create Batch
   and then **Run** Trades- **MENU TRADES #2**.

Note: Can only end (CMD7) BATCH entries from trading screen
       not from omit screen.

Initial Batch trading sheet and make copies. Original is returned
to Frank or Jodi. The copies are filed in trading envelope.

BATCH SALE OF FCRXX SHOULD BE PUNCHED AND RUN SEPERATELY FROM OTHER
BATCH TRADES SO YOU CAN CANCEL THE FIDELITY COMPS ON SPOOL FILE.

BASKET TRADES - Allows you to punch customer account# and
quantity based on a basket Frank has created.
These are usually Frank's new trades.

TO ENTER BASKET TRADES
    MENU TRADES #1-->_BAT--> BASKET--> B.XXXXXX (basket name)

BASKET TRADE SCREEN

   1. Enter acct#, quantity (this is a 1 digit decimal field
      therefore a basket quantity of 1 is entered as 10 and
      .1 is entered as 1) and BASKET name (B.XXXXXX).
      (BASKET NAME CAN BE DUPED)

        When entry screen is full hit **ENTER** - acct # is
        accepted when screen clears, if acct # stays on the
        screen after you have hit ENTER then it was not
        accepted. (if acct # is not accepted - check with
          Frank you may need to update name/address file)

        CMD7 to end entries and check Edit List

   2. If errors - **y** (yes to correct)

        To **DELETE** an account #
        a. enter acct#, basket name and CMD3 to search for
           acct #.
        b. once you find acct # put a **D** in delete/update
           column then **CMD12**
        To **UPDATE** an account #
        a. enter acct#, basket name and CMD3 to search for
           acct #.
        b. once you find acct #, make changes, put a **U** in
           delete/update column then **CMD1**
        To **BROWSE** file   **CMD3**
        To end corrections **CMD7** and check Edit List again.

   CMD1 can also be used as a reset key

        If no errors --> **n** (no errors) **Yes** to create basket
        then Run Trades MENU TRADES #2.

Initial Basket trading sheet and make copies.   Originals are
returned to Frank and copies are filed in trading envelope.

BTSCRT AUTOMATED BASKET TRADES

Frank creates a BASKET file with customer and quantity already
entered. You will only have to make correction (if any) and then
run these trades.

   To correct or to run these trades

   GO TO MENU TRADES #1 --> BAT--> BASKET--> B.XXXXXX

      to correct --> **yes** to correct existing BASKET file.
      make corrections -- see above for correcting basket trades
      then **CMD7** to end --> check edit report
      if more corrections **Y** - yes errors and make correction
      if no more correction **N** - no errors then --> **yes** to create
      Basket file.
      THEN RUN TRADES

      to run if no corrections --> **no** to correct existing file
      then --> **yes** to create Basket file --> then RUN TRADES

Once BASKET is created then you must Run Trades (MENU TRADES #2).

RUNNING TRADES

To run trades ---> MENU TRADES #2

Enter date for Trades (check log for previous Trade dated)

Print Edit Report? always **Yes** for PUN trades
always **NO** for BAT trades

Sort by symbol? **N** - Print an edit report in the order your
trades were entered
Y - sorts edit report by symbol. This is
not the order your trades were entered.

For PUN trades check edit list carefully, make sure
everything has been entered correctly. At this point you
can correct any errors.

If errors - **Y** for yes errors--> go to #1 (on the terminal
where the trades were punched) and make corrections -->
CMD7 to end corrections --> rerun your edit report and
check.

If no errors - **N** for no errors and trades will continue
to run

You will need the TRADE data cartridge - label with trade
date and run date.

PAPER WORK - Edit List, Rejected fidelity
Batch trading first trans# report (from **BATCH**
trades only - Frank's office)
Blotters
Figures (delete for **BAT** trades,
figures for PUN trades return w/ COMPS)
Batch Stock Record - Frank's office
Trades canceled before settlement (if blank -
shred, if not attach to last page of blotters)

**COMPS - ALL TRADES FOR ANNETTE, JODI AND FRANK
ARE RUN ON 3PT COMPS (DUPLICATES ARE RUN ON 2PT
COMPS). ALL TRADES FOR JOANNE (10 ACCTS)
EXCEPT 'BUYS OF TREASURY' ARE RUN ON 2PT COMPS.
JOANNE'S BUY OF TREASURY ARE RUN ON 3PT COMPS.**
LABELS -

SPECS in
T61F

NOTE: ATTACH EDIT LIST & REJECTED FIDELITY TO BOLTTERS --> FILING
        FOR PUN TRADES - WRITE TRADE DATE AND RUN DATE ON FIRST PAGE
        OF THE FIGURES AND GIVE TO CEDRIC ALONG WITH ORIGINAL
          TRADING SHEETS, COMPS AND LABELS

** FIGURES FOR ANNETTE BEFORE RUNNING TRADES
 Enter trades --> do tape --> check Edit List --> Y yes errors
  then KEY: SPEC45,GPLIB   (take 0 to pauses that follow)
  Give report and trading sheets to Annette.

** PROCESSING CANCEL TRADES
To run trading with cancel tickets you need to use a *SPECIAL TRADE
DATE if tickets HAVE NOT SETTLED.   If tickets have settled the
trade date does not matter.
*special trade date is any date less than or equal to the earliest
trade date on tickets you are canceling.

** PROCESSING CANCEL SETUP TICKETS
Must cancel SETUP ticket thru trading before replacing with a NEW
SETUP.   TRAD1701 tracks cancel SETUP ticket (note question)

** RUNNING TRADES THAT GENERATE DIV ANNOUNCEMENTS
Some trades may need "original shares".   Check with Annette or
whomever gave you the trades. If you have to enter "original
shares"--> Yes errors-->MENU TRADES #1 --> enter "original shares"
-->CMD7 and rerun trades.

Some trades generate dividend payment information.   Check with
Annette if dividends are OK or should be BYPASSED or should be
corrected (ERROR).

RENAMING TRADE FILES

This puts the PUN trading files on HOLD so you can enter and run
BAT trades. (you can only have one set of Trade files on hold.)

> MENU TRADES
>
> #3 - to put on hold
> #4 - to bring back

WHEN ISSUED TRADES

These are usually from SETUPS -- (SYMBOLS WITH **.V** ENDING)

> MENU TRADES
>
> #5 - Enter CXL & Issued symbol--> gives "ISSUE TRADE
>   EDIT LIST"
> #6 - To Process trades--> Blotters
>   COMPS - 2PT COMPS
>   LABEL

Attach Issue Trade Edit List to Blotter - filing
COMPS & labels - Joanne's office

SET-UPS   (ARBITRAGE TRADES 10 ACCTS)

Set-ups begins with a trade set-up ticket eg.

B/S	SYMBOL	PAR	TRADE DATE	SETTLE DATE	CONVERSION INT FRACT	LOWER LIMIT $ FRAC CENT	UPPER LIMIT $ FRAC CENT
B	PFE		062395	062895	1	89 1/4	89 7/8
S	PFE.V		062395	000000	2	45 1/2	45 3/4

A) FIRST check to make sure symbols are in the cusip file (Menu
   MAINT #1)

   if symbol is in the cusip file make sure that all information
   for cusip/symbol is in correctly.

   if symbol is not in the cusip file then you must enter it into
   to cusip file. (Joanne will give you all the information you
   need to enter the cusip/symbol).

B) NEXT check the dates on ticket, make sure that trade dates and
   settlement dates are working days and that each trade date has
   its corresponding settlement date -- check calendar.

C) IF the setup ticket has a When Issued symbol (eg. PFE.V where
   the .V ending indicates a When Issued (W/I) symbol) then make
   sure there is no settlement date for that W/I symbol. See above
   example.

D) ONCE you have checked symbols and dates you are now ready to
   enter trade set-up ticket.

   GO TO MENU SETUPS (#13 on MAIN MENU)
   #1 - trade setup

Enter information exactly as it is written on the set-up ticket
noting that there are no codes for prices. eg 89 1/4 is punched as
89 1/4.

DEAL NAME is always the symbol on the BUY side of the ticket. (eg
for the ticket above the DEAL NAME is PFE.) If you have more than
1 ticket with the same BUY side symbol (eg. 3 tickets for PFE)
then one DEAL NAME would be PFE, the second would be PFE2 and the
third would be PFE3 etc)

Valid codes for the B/S column
     B   BUY
     S   SELL
     D   DEBIT
     C   CREDIT

After you have entered trade set-up ticket(s) then CMD7 to end the job and do **#2 (MENU SETUPS)** to calculate maximum returns.

#2 will generate "ARBITRAGE SET-UPS" report.

Check this report - all the information should be entered exactly as it is written on the trade set-up ticket.

If you need **to make corrections** go to #1 again, enter the DEAL NAME, make your corrections, do CMD7 to end and then do #2 again.

TO DELETE a trade setup key X in the B/S/C/D field (you don't have to field exit all the fields.) After you delete a trade setup, and you do #2 again, you will get a series of pauses -- just keep answering 0_ until your screen clears.

Once entries are correct give both trade set-up ticket and ARBITRAGE SET-UP report to Joanne.

==

Next Joanne will give you customer information to enter -- this is her CUSTOMER SET-UPS

eg. 1A0001 AHT PARTNERS 1 3/4 990000.00 4   7/20

   account #   name   %   invest   week   due date

Check DUE DATES - make sure they are working dates

PERCENT/FRACTION CHART

     1/8 - 125   5/8 - 625
     1/4 - 250   3/4 - 750
     3/8 - 375   7/8 - 875
     1/2 - 500   1/16- 0625

GO TO MENU SETUPS - #3 - (CUSTOMER SET-UPS) to enter customer information for each DEAL entered in #1.

After you have entered all the customer information do CMD7 to end your entries the do #4 -- you will get the following reports:
    DEAL/ACCOUNTS ENTERED IN DUPLICATE   *divide by Ø attempt*
    PRECUST FILE PERCENT ADJUSTMENT   *take Ø*
    CUSTOMER SET-UP   *customer info entered blank Ø*

Give Joanne these reports along with the customer information you punched from.

At this point you can add a new DEAL or make any corrections to #1,
#2, #3 or #4 on MENU SETUPS. (#1 ---> #4 CAN BE DONE AS MANY TIMES
AS NEEDED)

TO CORRECT CUSTOMER SETUP - GO TO #3 (MENU SETUPS).
Enter the DEAL NAME (symbol for the BUY side of the ticket) and
continue hitting the ENTER KEY until you find the customer account#
you want to correct. Make corrections and hit ENTER.

TO DELETE a customer setup field exit through all the fields(the
account name will remain on your screen) and hit enter.

NOTE   CMD1 - for new setup(or deal)
           CMD7 - to end the job

After your have made all your corrections do #4 (MENU SETUPS) and
again give all reports to Joanne.

==

When Joanne has checked the work and there are no more corrections
she will tell you that the work is good and you can run it.

Go to MENU SETUPS - #5 (there is a pause in the middle of running
                           this procedure, just key 0 and hit your
                           ENTER KEY to continue running.)

This procedure generates the following forms and reports:

                COMP - these are always run on 2pt comps forms
                MEMO - you may or may not get memos depending on the
                       type of trade setups
                LABL - label form

                Blotters
                Profit Check Report
                Conversion Due Report
                Due Date Report

Give all paperwork to Joanne and wait for her to check the COMPS.

==

Once she has checked the COMPS Joanne will give you two dates and
tell you to end the SETUP job.

The earlier date will be used on the save data cartridge to end
SETUPS the later date will be the C/S date you will run to settle
these SETUPS.

TO END SETUPS GO TO MENU SETUP #6 - process trades (no paper work
generated)
                    and **#7** - save setup information(use the
                    SETUPS/DIVIDEND data cartridge)

**After you do #6 & #7 you must run C/S (for date Joanne gave you) to
settle SETUPS**

                    ****NOTES****
YOU CAN RUN #5, #6 & #7 ON YOUR SETUPS MENU ONLY ONCE.
ONCE YOU DO #5 YOU MUST CONTINUE TO #6 & #7 BEFORE ENTERING A NEW
SETUP TICKET, YOU CANNOT GO BACK TO #1 ---> #4.

FOR SETUPS WITH WHEN ISSUE TICKETS -- YOU MUST END SETUPS (#6 & #7)
BEFORE YOU CANCEL AND ISSUE TICKETS.

IF YOU CANCEL A CUSTOMER SETUP TICKET THROUGH TRADING (MENU TRADES)
THEN YOU MUST DELETE THE CONVERSION FOR CANCEL TICKET BEFORE YOU DO
A NEW SETUP TICKET TO REPLACE CANCEL.

JOANNE'S SETUP TRADES SHOULD NEVER GO THROUGH MENU TRADE (ONLY
CANCELS)

CHECKS

There are 3 books you will punch checks from:
1. CHECK IN BOOK (small book 8 1/2 X 5)
2. CHECK OUT BOOK (8 1/2 X 11 book)
3. BINDER WITH PROFIT CHECKS FOR 10 ACCT

Jodi will give you checks on a daily basis. She will give you an instruction sheet which will tell you what out going checks should be punched and the check date.

CHECK CODES:

A. **PW** -   (**Profit Withdrawal**) Check that come from SETUPS in Binder are 10 account and always **PW**. On description type "check & stock name."   Interest checks are also PW, on description type "check interest 'date'"

Pinks - Div and Interest are always **PW**. Must have description. Separate by customer then add total for each customer. For DIV Pinks - if description is exactly same - one check if not then separate checks

B. **CW** -   (**Capital Withdrawal**) are customer request that must go out. On description type "check"

C. **DT** -   (**Debit Transfer**) are IRA distribution request. On description type "check year (eg 1994) distribution" **DT** monies must be added to **CW** totals

D. **CA** -   (**Capital Addition**) - checks received from customer. These are always (field -) On description type "check" (or check wire if indicated)

PW - DT - CW --> punch as (field +) debits

CA --> punch as (field -) credits

CHECK IN BOOK

Always punched as a CA --> **(field -)**

Checks coming in are always punched separately from check going out.

If there are checks coming in for different dates, they must be separated by date order then punch and run each date separately.

NOTE** Checks coming on a date for which C/S has already been run should **not** go through MEMO01 & MEMO02 procedure. They should be put through on C/S sheets. Check with Jodi or Annette.

CHECKS GOING OUT

PW/CW/DT --> always punched as **(field +)**

You will usually have 2 sets of checks going out each day.

First set are LEVY CHECKS (1L002750 & 1L002730)
    Levy checks are punched and run separately from all other checks because these checks are printed on Banker's Trust checks -BLUE CHECKS.

Second set are ALL other accounts.
    These checks are printed on Manufacturer's check -YELLOW CHECKS.

Therefore, you will usually have 3 sets of checks daily.
    1. CA - Checks coming in for current day
    2. PW - Levy checks going out for next working day
    3. CW/PW/DT - Checks for all other accounts going out for next working day

ENTERING AND RUNNING CHECKS

Separate each set of checks by date order and do only one set at a
time.

Get a tape of TOTALS for each set of check (totals for CA, PW-Levy,
PW + CW + DT-all other accounts).
NOTE** check amount for DT code are added with check for CW code.

Once you have your tapes for each set of check you are now ready to
enter checks.

    Key: **MEMO01** and enter date working with

Check Name
is a function
of NAME&ADDR

7/24/96

For checks going out --->after punching acct # you must
check 'check name' to see if it needs editing. Check Name
should not have address information and should make sense
to you.
NOTE**- All -1ST Trust IRA' accounts should be made
payable to NAME on acct only and not to 1ST TRUST.

For checks coming in -->you do not need to edit the check
name.

When you have entered all cust for date working with do
CMD 7 to get totals. Check to make sure totals match your
tape - if tape and screen do not match - do **CMD 11** to go
back and check you entries

Once your tape and screen matches **CMD7** to end entries
(This gives printout of total screen)   then

    Key: **MEMO02** and enter date worked with

MEMO02 gives check journals with entries, check forms
(outgoing checks only) and memos.

NOTE FOR LEVY CHECKS -- CHANGE CHECK FORM ON SPOOL FILE
TO CHECKLE SO YOU WILL KNOW WHAT CHECKS TO PRINT ON BLUE
CHECKS**

All paper work from checks go in cabinet in Jodi's office.

Note** To cancel or update a check before it hit C/S
        key: **MEMO4** (this takes you to the pendcash file)
        Starting with record #1 scroll through the file for record
        to update or delete. This is a DFU screen--> CMD4 to
        delete --> CMD7 to end. Give audit log to Jodi.

OTHER TYPES OF CHECKS

MONTHLY & QUARTERLY WITHDRAWAL CHECKS

Key: **MENU REQCW**

To add, delete or update the Monthly check file-->#1 (#13 for
Quarterly check file)

Enter account # and check type (usually CW unless otherwise
indicated).

After entry/update/deletion --> CMD7 to end then do #2--> Edit
Report for Monthly checks (#14 for Quarterly checks)   _CHECK name now_
                                                            attention of
Check Edit Report to see ~~if check name needs editing~~ --> to edit go _NAME_
back to #1 for Monthly (#13 for Quarterly)--> enter acct # and _ADDR_
Type--> make changes-->CMD7 to end --> re-run Monthly/Quarterly
edit report.

Return paperwork to Annette or Jodi

Do not process checks until Jodi tells you to.

Once Jodi gives you instructions to process checks and the date for
checks then do #3 to process Monthly checks (#15 for Quarterly
checks)-- These check are usually dated for the first working day
of the month.

You will get check journals and check forms -- print these check on
YELLOW checks.

All paper work from Monthly/Quarterly checks go in cabinet in
Jodi's office.

EQUITY APPRECIATION CHECKS

These are done every quarter (after month end March -
June - September - December **Only**). Frank
will give OK to start processing these checks.

**Note: Should be run only _After_ E-O-M portfolio has been
            run.**

GO TO MENU EACHK

#1 Generate check amount -- ask for date portfolio was last
updated through--> EOM date you just ran--> no report from
this step.
After **#1** do **#2** to generate report with check amounts for
Frank.

After this report is generated Frank or Erin will ask for
abbreviated portfolio --> #6 --> gives ABPF forms and
labels.(usually 2 copies of the ABPF forms are needed)
ABPF forms are Blank forms the same size as your comp forms.
Line up on printer is the same as comp line up.

They will also ask for abbreviated portfolio for acct 1A thru
1C to be printed on paper. You will run **#6** on EACHK and print
ABPF on paper for requested accounts.

#4 update check file --> lets you update check name and check
amount for each quarter. If you update check amount, re-run
#2 and give report to Frank.   _CHECK NAME NOW_
                                                        A FUNCTION OF
Once Frank gives you the OK to process checks   _NAME ADDR_
~~First do #3 to run check name edit ==> check 'check names' to~~
~~see if they need editing.~~
~~To edit check name go to #4 --> enter acct# ==> ENTER ==> make~~
~~changes ==> CMD7 ---> re-run #3.~~

~~After checking "check names"~~ you can process check with date given
by Frank -- **do #5** (will ask for 2 dates -date Port last updated to
and check date) gives journals, checks and memos.

These check are printed on YELLOW check forms.

Checks, labels and check journal for EA checks go to cabinet in
Jodi's office.

NAME/ADDRESS FILE MAINTENANCE

MENU NAMENU

To Enter/Update customer Name/Address files
GO TO #1 ON MENU NAMENU

Action Codes:

A - Add new account
C - Change

Types:

1 - Regular - Customer Master
2 - Duplicates (dup field is a 2 digit field --> 1st dup
              enter as 01)
3 - Mailing labels (use only lines 1,3,4,5--> line 2 does
    not print on label form)

To enter a new account # always check number before (to make sure
you are not skipping numbers) and new account number (to make sure
has not been assigned to another acct).

* Check forms with customer account papers to make sure
  all information is correct.
* If customer account papers with Tax ID# is signed then
  you can confirm (C) Tax ID#.
* Short Name -Customer last name & initial
* Exempt Tax ID# (E) should also have N for 1099 forms.
* Check Group Name list to make sure group name is valid
* on new accts that are related to a retirement plan
  --> should have Y for agency acct (check with
  Annette/Jodi/Frank)
* Foreign acct (1FN) should have W/H rate
    If it does not have W/H rate do not enter
    check with Annette/Jodi for W/H rate
    To enter W/H rate - eg 15% enter as 1500
    Overseas address should have A(airmail) for comps,
    memo, statements
* 1CM accounts should have duplicates
  To MAURICE J COHN (Comp N - Memo H - Statement H)
  To MELVIN MARDER (Comp N - Memo N - Statement _)

* 1EM account should have duplicates
  To MELVIN MARDER (Comp N - Memo N - Statement _)

FOR PROFIT/DIVIDEND/INTEREST

    S - send
    R - reinvest

FOR TYPE/BATCH

    30/40 --> F for Frank
    50   --> J for Jodi
    30/70 --> A for Annette

To cancel a duplicate (type 2) or a mailing label (type 3)
    VIEW ACCT --> CMD4 (TO FLAG RECORD FOR DELETION)
    THEN CMD7 --> #2 ON MENU NAMENU (THIS REMOVES DELETED RECORD)

To cancel information on a master acct (type 1)
    FIELD EXIT THUR ALL THE FIELDS - DO NOT CMD4 ON A TYPE 1

If you change any information on a TYPE 1, take a print of screen
after changes (PRINT key then RESET key). Give printout with
account folder to Darlene.

- Report to Annette on any title or CKNAM changes

NAME/ADDRESS REPORTS

MENU NAMENU

#5 - Prints name and address with duplicates and mailing. *NALIST01*

#6 - Prints type 1 name and address with all customer *NALIST02*
information such as **ID#**.

#7 - Prints 'Short Name' report *NALIST05*

#8 - Prints 'Group Name' report *NALIST04*

OTHER NAME/ADDRESS REPORTS AND LABELS

TO RUN KEY THE FOLLOWING PROCEDURES IN BOLD LETTERS

NALIST03 - Prints type 1 name and address only.

NALIST06 - Prints name and address for selected Z acct.
(1ZA,1ZB,1ZG,1ZR,1ZW)

NALIST07 - Prints name and address for selected Z acct with
send (S)

NALABEL - Prints full name and address labels for all acct.
(Does not print acct#)

EOYLABEL - Print name and address labels - 2 line only-filing

MALABEL - Print mailing labels - (does not print account#)

LA001D   - Print return address labels
"Attn: Annette Bongiorno"

NACARD   - Print name/address card

~~**Note:** **ENTRY03** - Used to update old name/address files (can not be
used while regular name/address is being used)~~

Old name/address file --> numeric acct #. We changed to New
name/address --> alpha numeric acct # in May/92.

NAME/ADDRESS   (GROUP NAME)

A J C	Beaser S	C & M
Albert H	Bessoudo	Cohen S
Alpern M	Blakeslee	Chais S
Alpern P	Blecker	Carroll R
Alpern J	Blum J	Certilman
Alpern Leo	Blum M	Chalek S
Alpern Lew	Blumenfeld	Charat H
Alpern W	Brill R	Cohn S
Alpern S	Brodsky A	Cooper C
Angel A	Brown E	Crupi J
A & B	Bromberg B	Casanova
Amsellem	Banque Pri	Colvin
A & B-Glantz	Birchwood	Cohen R
A & B-All	Bonventre	
Autera	Bloom	
A & B-GM	BRAMAN	
	BECKER	

Davis M	E & M	Fine S
Delaire	Evenchick	Friedman D
DI Pascali	Engler	Friedman N
	Eldon	Felder R
	Elins	Feldman I
		Fiterman
		Flax L
		Frenchman
		FRESHMAN W

Gerber	Horowitz J	Incus
Gross	Heller A	
Gaumont J	Hershson A	
Gelman E	Hadassah	Joel M
Ghertler E	Hubbard	Jaffe A
Gordon A	Hertz	Jac/Jor
Gordon N	HELLER H	JAFFE R
Gorek E		
Gladstone		
Gettinger	Kostin E	Lieb/Berg
Gurit-Hurw	Kahn-Lucky	Lipkin I
Goldworm	Kay M	Luria-Schl
Goldstein	Kommit E	Levy N
	Kugel D	Lowit A
	Konigsberg	Lane M
	Katz-Wil	Levi S
	Kaplan	Levine N
	Kolodny	Lieberbaum
	Kantor	Langley R
	KARYO R	Lent
	KAYE H	Low

MORRISSEY		
Maltz A	Natl BMF	Orconsult
Maccabee J	Nash	
Madoff B		
Madoff P		
Mann H		
May S	Picower J	Reaven
Morse S	Paleologos	Ru-Ann
Marden	Patt R	Roth L
Mckinsey	Puchall R	Roth B
Merkin	Perlen	Reese
Meyers		Rackman E
MARSHALL T		Radosh E
MADISON		Rel Zion
		Roman R
Smith M	Tanney A	Rose M
Shor D	Tavlin H	Regen S
Shor S	Toder E	Rechler
Sports	TSG	Rosenberg
Silver D	TEC HNION	Rimsky
Sage L		Rush
Saratoga		Roth J
Scheer G		Ross
Schneider	Um	RITUNO
Schrenell	Unflat	
Schwartz D	UJA	
Schwartz R	UPSHER	Van Lanen
Shapiro D		
Shapiro S		
Shapiro N	Webat	
Shapiro C	Weinstein	Yeoman R
Simonds I	Weiss I	
Squad-St	Wiener M	
Starr E	Washburn D	
Steinberg	Worms	Zeger B
Stettner D	Wolfson	Zankel-Lef
Stoller	Winters	Zimmeth D
Schafler J		
Sala		
Sonet		
Salbe		
SYLVAN		
SINGER		
SACKS		
STONE		

Two-letter
state abbreviations

It is essential that ZIP CODES always be used
with the abbreviations on this list.

Alabama	AL	Missouri	MO
Alaska	AK	Montana	MT
Arizona	AZ	Nebraska	NE
Arkansas	AR	Nevada	NV
California	CA	New Hampshire	NH
Colorado	CO	New Jersey	NJ
Connecticut	CT	New Mexico	NM
Delaware	DE	New York	NY
District of Columbia	DC	North Carolina	NC
Florida	FL	North Dakota	ND
Georgia	GA	Ohio	OH
Hawaii	HI	Oklahoma	OK
Idaho	ID	Oregon	OR
Illinois	IL	Pennsylvania	PA
Indiana	IN	Rhode Island	RI
Iowa	IA	South Carolina	SC
Kansas	KS	South Dakota	SD
Kentucky	KY	Tennessee	TN
Louisiana	LA	Texas	TX
Maine	ME	Utah	UT
Maryland	MD	Vermont	VT
Massachusetts	MA	Virginia	VA
Michigan	MI	Washington	WA
Minnesota	MN	West Virginia	WV
Mississippi	MS	Wisconsin	WI
		Wyoming	WY

TO ENTER /UPDATE CUSIP INFORMATION

MENU MAINT (#6 MAIN MENU)

#1 - NO CHECK DIGIT
#2 - CHECK DIGIT

TO CHECK A SYMBOL USE EITHER **#1** OR **#2**

TO CHECK A CUSIP USE **#1**

TO ADD A CUSIP THAT NEEDS A CHECK DIGIT --> MUST USE **#2**
(CHECK DIGIT IS THE 9TH DIGIT IN THE CUSIP #)

YOU CAN ACCESS ALL CUSIP THRU **#1.**   ONLY CUSIP WITH VALID CHECK
DIGITS CAN BE ACCESSED THRU **#2.**

ON CUSIP SCREEN

        1. ENTER EITHER CUSIP OR SYMBOL
        2. TYPE
                I - INQUIRY
                A - ADD
                C - CHANGE
                D - DELETE

VALID SECURITY TYPES

        A - OPTIONS (PUT/CALL)
        C - CORPORATE BONDS
        M - MUNICIPAL BONDS
        P - PREFERRED
        R - RIGHTS
        T - TREASURY
        U - UNITS
        W - WARRANT
        'BLANK' - COMMON

***SEE ATTACHED FOR FORMAT OF ENTRY SCREEN FOR EACH SECURITY TYPE**

CUSIP REPORTS

MENU MAINT

        #3 - CUSIP REPORT BY CUSIP #
        #4 - CUSIP REPORT BY SYMBOL

TO LOOK FOR CHECK DIGIT

#2 (MENU MAINT)

KEY IN FIRST 8 DIGIT/LETTER OF CUSIP # --> THEN STARTING WITH 0 THEN 1,2 ......9, TRY EACH DIGIT. WHEN '0015' FLASHES IN THE LOWER LEFT CORNER OF THE SCREEN THEN THE CHECK DIGIT IS NOT VALID. WHEN '0015' DOES NOT FLASH THEN THAT IS A VALID CHECK DIGIT.

LOOKING FOR CHECK DIGIT FOR WHEN ISSUE CUSIP

USE THE FIRST 6 DIGIT/LETTER OF THE COMMON CUSIP --> THEN '99' FOR THE 7TH AND 8TH DIGIT --> THEN LOOK FOR CHECK DIGIT

LOOKING FOR CHECK DIGIT FOR OPTION CUSIP

USE THE FIRST 6 DIGIT/LETTER OF THE COMMON SYMBOL --> THEN USE THE LAST 2 LETTERS OF THE OPTION SYMBOL --> THEN LOOK FOR CHECK DIGIT

NOTE*
WHEN ADDING CUSIP/SYMBOL THAT IS BASED ON A COMMON SYMBOL --> ALWAYS CHECK THE 'ISSUER' ON COMMON SYMBOL/CUSIP TO MAKE SURE THE 'ISSUER' ON NEW SYMBOL/CUSIP IS THE SAME.

CUSIP #: .   COMMON
          OR   TYPE CODES
SYMBOL #:   IBM   I = INQUIRY   A = ADD
TYPE: I   C = CHANGE   D = DELETE

                             CUSIP: 459200101
SECURITY TYPE:
MARKET: N
ISSUER: INTERNATIONAL BUSINESS MACHS
ISSUE:
DATED DATE: 00000000
COUPON: 00000
MATURITY DATE: 00000000
TRADER 1 & 2:   Y E
CLEARING (Y/N):
POS-CHARGE (Y/N):
WI CLRNG CUSIP:
STATUS:

CUSIP FILE MAINTENANCE WITH CHECK DIGIT.   FM505D

CUSIP #:   TREASURY
          OR   TYPE CODES
SYMBOL #:   USTK94   I = INQUIRY   A = ADD
TYPE: I   C = CHANGE   D = DELETE

                             CUSIP: 912794K94
SECURITY TYPE: T
MARKET:
ISSUER: U S TREASURY BILL
ISSUE: DUE 6/9/1994
DATED DATE: 00000000
COUPON: 00000
MATURITY DATE: 00000000
TRADER 1 & 2:
CLEARING (Y/N):
POS-CHARGE (Y/N):
WI CLRNG CUSIP:
STATUS:

CUSIP FILE MAINTENANCE WITH CHECK DIGIT.   FM505D
                     RIGHTS
CUSIP #:
          OR   TYPE CODES
SYMBOL #:   CHN.R   I = INQUIRY   A = ADD
TYPE: I   C = CHANGE   D = DELETE

                             CUSIP: 169373115
SECURITY TYPE: R
MARKET: N
ISSUER: CHINA FUND INC
ISSUE: RIGHTS
DATED DATE: 00000000
COUPON: 00000
MATURITY DATE: 00000000
TRADER 1 & 2:   W C
CLEARING (Y/N):
POS-CHARGE (Y/N):
WI CLRNG CUSIP:
STATUS:

| PRESS ENTER TO CONTINUE. |

CUSIP FILE MAINTENANCE WITH CHECK DIGIT. FM505D

OPTION (PUT & CALL)

CUSIP #:

OR

SYMBOL #: OEXID

TYPE CODES

I = INQUIRY   A = ADD

TYPE: I   C = CHANGE   D = DELETE

CUSIP: 783790ID2

SECURITY TYPE: A
MARKET:
ISSUER: S & P 100 INDEX
ISSUE: SEPTEMBER 420 CALL
DATED DATE: 00000000
COUPON: 00000
MATURITY DATE: 00000000
TRADER 1 & 2: P
CLEARING (Y/N):
POS CHARGE (Y/N):
WI CLRNG CUSIP:
STATUS:

CUSIP FILE MAINTENANCE WITH CHECK DIGIT. FM505D

MUNICIPAL BOND

CUSIP #:

OR

SYMBOL #: NYNYRL

TYPE CODES

I = INQUIRY   A = ADD

TYPE: I   C = CHANGE   D = DELETE

CUSIP: 649647RL0

SECURITY TYPE: M
MARKET:
ISSUER: NEW YORK NEW YORK
ISSUE: SER A
DATED DATE: 08011989
COUPON: 06500
MATURITY DATE: 08011993
TRADER 1 & 2:
CLEARING (Y/N):
POS CHARGE (Y/N):
WI CLRNG CUSIP:
STATUS:

CUSIP FILE MAINTENANCE WITH CHECK DIGIT. FM505D

CORPORATE BOND

CUSIP #:

OR

SYMBOL #: STK.F

TYPE CODES

I = INQUIRY   A = ADD

TYPE: I   C = CHANGE   D = DELETE

CUSIP: 862111AG6

SECURITY TYPE: C
MARKET:
ISSUER: STORAGE TECHNOLOGY CORP
ISSUE: SUB DEB CONV
DATED DATE: 05031990
COUPON: 08000
MATURITY DATE: 05312015
TRADER 1 & 2:
CLEARING (Y/N):
POS CHARGE (Y/N):
WI CLRNG CUSIP:
STATUS:

I PRESS ENTER TO CONTINUE. I

```
CUSIP FILE MAINTENANCE WITH NO CHECK DIGIT.           FM504D
                    WARRANT
CUSIP #:
         OR                      TYPE CODES
SYMBOL #:        CALWW           I = INQUIRY    A = ADD.
TYPE:           I               C = CHANGE     D = DELETE

                          CUSIP: 130209117

SECURITY TYPE:     W
MARKET:
ISSUER:            CALIFORNIA FEDERAL BANK
ISSUE:             5WTS+9.00=1COM  WTS
DATED DATE:        00000000
COUPON:            00000
MATURITY DATE:     00000000
TRADER 1 & 2:      C
CLEARING (Y/N):
POS CHARGE (Y/N):
WI CLRNG CUSIP:
STATUS:
```

```
CUSIP FILE MAINTENANCE WITH NO CHECK DIGIT.           FM504D
                    PREFERRED
CUSIP #:
         OR                      TYPE CODES
SYMBOL #:        GR$D            I = INQUIRY    A = ADD
TYPE:           I               C = CHANGE     D = DELETE

                          CUSIP: 382388502

SECURITY TYPE:     P
MARKET:            N
ISSUER:            B F GOODRICH
ISSUE:             PFD D $3.50
DATED DATE:        00000000
COUPON:            00000
MATURITY DATE:     00000000
TRADER 1 & 2:      C
CLEARING (Y/N):
POS CHARGE (Y/N):
WI CLRNG CUSIP:
STATUS:
```

```
CUSIP FILE MAINTENANCE WITH NO CHECK DIGIT.           FM504D
                    WHEN  ISSUED
CUSIP #:
         OR                      TYPE CODES
SYMBOL #:        PFE.V           I = INQUIRY    A = ADD
TYPE:           I               C = CHANGE     D = DELETE

                          CUSIP: 717081999

SECURITY TYPE:
MARKET:            N
ISSUER:            PFIZER INC
ISSUE:             WHEN ISSUED
DATED DATE:        00000000
COUPON:            00000
MATURITY DATE:     00000000
TRADER 1 & 2:      H
CLEARING (Y/N):
POS CHARGE (Y/N):
WI CLRNG CUSIP:    717081103
STATUS:
```

FILE MA

CUSIP FILE MAINTENANCE WITH NO CHECK DIGIT.   FM504D

CUSIP #:   UNITS
      OR
SYMBOL #:   MITFSE   TYPE CODES
TYPE: I   I = INQUIRY   A = ADD
                               C = CHANGE   D = DELETE

                        CUSIP: 626237804

SECURITY TYPE: U
MARKET:
ISSUER: MUNICIPAL INVT TR FD
ISSUE: UNIT CTF SER 8 NY
DATED DATE: 00000000
COUPON: 00000
MATURITY DATE: 00000000
TRADER 1 & 2:
CLEARING (Y/N):
POS CHARGE (Y/N):
WI CLRNG CUSIP:
STATUS:

ENTERING DIVIDEND ANNOUNCEMENTS

GO TO   MENU DIV17

#1 Enter/Update Current Div info (ie Div information with **record
date** equal to or greater than current month)

**NOTE: DO NOT ENTER ANY DIV ANNOUNCEMENTS WITH RECORD DATE
LESS THAN CURRENT MONTH (AS OF DIV) IN #1--SEE A/O DIV**

DIV CODES

11 (Stock)   **8** - shares   eg. 2 for 1 (enter as 2 field
                 ~~split~~   exit 1 field exit)

11 (Stock)   **P** - percent   eg. 25% (enter as   2500)
                 split   100% (enter as 10000)

00 (Cash)   **C** cash DIV   eg. .17 (enter as 17000)
                                      five fields for cents

You should enter only DIV tickets that have codes of 00 or 11.

   STOCK CODES:

If stock is an <u>even split</u> then you do not need a Market Price

   eg. 2 for 1 stk split or multiples of 100% (200%, 300% etc)

If stock is **not an even split** then you will need a Market Price

   eg. 3 for 2 stk split or 25%

Market Price eg. 14 5/8 enter as 1462500 (5 fields for fraction)

Withholding (W/H) rate is usually on foreign stocks.

      eg. 15% W/H rate enter as 1500

TO ENTER DIV ANNOUNCEMENTS

 ENTER CUSIP, RECORD DATE, PAYABLE DATE, DIV CODE, CASH AMOUNT
 FOR **C** CODES OR SHARE SPLIT FOR **S** CODES OR PERCENTAGE FOR **P** CODES
 (AND MARKET PRICE AND W/H RATE IF NEEDED).

To Delete Div Entry --> enter cusip --> ENTER --> put **D** in Div/Cod

To make corrections before ENTERING --> **CMD9**

To update Div entry --> **CMD11** --> enter cusip -->ENTER -->then
advance to field that need correction --> ENTER (for more fields)

To browse div entries --> **CMD8**

To resume entry mode after browsing --> **CMD9**

To end entry --> **CMD7**

After **#1** (Div entry) then do **#2**
     you will get 2 printouts with the same information
     --the first when you end entries
     --the second when you do #2

Give both reports to Annette along with Div tickets (make sure you
write 'P' and 'Today's date' on each Div ticket you entered).

A/O DIV ANNOUNCEMENTS

ANY DIV ANNOUNCEMENT LESS THAN CURRENT MONTH'S DATE

To enter A/O Div announcements go to **#13** MENU DIV17 **(Enter/Update
AS OF DIV)**

Note**
Until further notice you can add only to the A/O Div file, you
cannot delete nor update this file. To delete or update this file
see Programmer (Jerry).

After entering A/O Div --> CMD7 (you will get an A/O Div report
give to Annette).

To print A/O Div report --> **#14 MENU DIV17**

PREPARING FOR MONTH END

AFTER THE LAST C/S FOR THE MONTH HAS BEEN RUN FOR THE FIRST TIME --
EVERYTHING YOU DO AFTER THIS WILL BE IN PREPARATION FOR YOUR MONTH
END.

NOTE YOU MUST NOT RUN ANY C/S FOR NEW MONTH UNTIL AFTER YOU HAVE
COMPLETED ALL THE MONTH END PROCEDURES. (IE AFTER CUSTOMER LEDGERS
& SAVE AND MONTH END REPORTS.)

FOR JOANNE'S 10 ACCT

WHEN JOANNE IS DONE WITH ALL HER SETUP FOR THE MONTH SHE WILL GIVE
YOU 'FIDELITY BUY REPORT' SO YOU CAN SELL FCRXX

PUNCH AND RUN FIDELITY SALES AND SETTLE WITH C/S DATED THE LAST
WORKING DAY OF THE MONTH.

AFTER YOU HAVE SETTLED ALL JOANNE'S WORK (ALL SETUPS, CONVERSION,
SALE OF TREASURY AND SALE OF FIDELITY ETC.) THEN YOU CAN RUN A 'NOT
WORKING REPORT 10 ACCT' (MENU MADF17) AND GIVE TO JOANNE.

SHE WILL CHECK THIS REPORT AND THEN GIVE YOU CORRECTIONS (IF
NEEDED) AND BUYS OF TREASURY.

ONCE YOU PUNCH, RUN AND SETTLE JOANNE'S TREASURY, YOU WILL BE DONE
WITH 10 ACCT FOR THE MONTH.

FOR FRANK, JODI & ANNETTE

THEY MAY WILL USUALLY HAVE MORE TRADING & C/S BEFORE YOU ARE GIVEN
PERMISSION TO RUN EOM DIVIDENDS. AFTER EOM DIV HAS BEEN RUN AND
SETTLED (C/S DATED LAST WORKING DAY OF MONTH) THEY WILL ASK FOR
'NOT WORKING REPORTS' TO CHECK THEIR ACCOUNTS BEFORE GOING INTO
MONTH END.

IF THEY HAVE CORRECTIONS YOU WILL GET MORE TRADING &/OR C/S TO RUN

IF NO CORRECTIONS ANNETTE/JODI WILL LET YOU KNOW WHEN TO CONTINUE
WITH MONTH END

ONCE YOU ARE GIVEN THE OKAY TO CONTINUE WITH MONTH END, TAKE OUT YOUR 'MONTH END LOG' AND FOLLOW EACH STEP. (SWEEPS, C/S, ** MGNINT ETC.)
** NOTE ** CHECK WITH ANNETTE TO MAKE SURE SHE HAS UPDATED MARGIN RATE BEFORE YOU RUN MARGIN INTEREST.

AT SOME POINT BEFORE YOU RUN STATEMENTS --> FRANK WILL ASK FOR THE PRICE REPORT (PRICERPT). THEN HE WILL GIVE YOU PRICES THAT MUST BE ENTERED (PORTPRIC) AND CHECKED (RUN ANOTHER PRICERPT AFTER ENTERING PRICES). FRANK WILL CHECK YOUR ENTRIES.

RUNNING END OF MONTH DIV PAYMENTS

MENU DIV17

SET DATE - LAST WORKING DAY OF MONTH

#3 - Save Div Info (need SETUP/DIVIDEND data cartridge and label
DIVTWO   'EOM DIV INFO' and 'run date')

#4 - Process Div Payments (follow computer prompts)
DIVTHREE   ask for EOM SAVE FOR PREVIOUS MONTH

NOTE - CAN RUN #4 ONLY ONCE

#5 - View / Update Div Payments
DIVFOUR
          ONLY if there are corrections for div payment (usually from
          Annette/Jodi). On update screen you will access acct #
          for correction by **cusip** then **acct#** --> **ENTER**-->look for
          account information you wish to correct or delete--> put
          D or U in the DEL/UPDATE column then see bottom of screen
          for appropriate CMDS.

#6 - Save Div Payments (need SETUP/DIV data cartridge and label
DIV FIVE   'EOM DIV PAYMENT' and 'run date')

#7 - Print Memos and Labels
DIVSIX

#8 - Finish Processing
DIVSEVEN
End of Month div procedure give the following reports:
  Div Payment due this month - ledge in front of Annette's office
  Pending Div Payment distribution Annette - Annette's office
  List As Of Div file   "   "   "   "
  Foreign div report distribution ERWIN - give to Jodi

          Then run C/S to settle EOM dividends

WORKING WITH PRICES FILE

THIS FILE AFFECTS STATEMENT, PORTFOLIO AND LONGPOSTION REPORTS

      MENU LNGPOS

#9   ADD/UPDATE PRICE FILE
      DFU SCREEN
      PRICES ARE ENTERED WITH TRADING'S PRICE CODES

#11 PRICERPT - PRINTS PRICE REPORT FOR FRANK TO CHECK ENTRIES

RUNNING SWEEPS

MENU SWEEPS (#10 MAIN MENU)

SET DATE - LAST WORKING DAY ON MONTH

#1   Print 'Pending Fidelity Buy' report for 10, 30, 40, 50
Accounts

#2   <u>ONLY</u> if you have to update or delete or add to pending
fidelity buys. Correction to pending fidelity buy is done on
a DFU screen similar to your C/S screen.
                    CMD10 - Entry mode
                    CMD11 - Update mode
                    CMD4 - Delete

**NOTE IF YOU MAKE ANY CHANGES TO PENDING FIDELITY BUYS YOU
SHOULD NOT RUN #1 AGAIN. IF YOU DO, CHANGES MADE WILL
BE IGNORED.**

#3   Process fidelity --> 'Trade Blotters'

#4   Add fidelity to pending trades --> 'Batch Stock Record"
                                        (FRANK)

THEN RUN C/S TO SETTLE SWEEPS. (this is usually your last
                                C/S for the month)

ALL REPORTS FORM SWEEPS EXCEPT THE BATCH STOCK RECORD GO ON LEDGE
IN FRONT OF ANNETTE'S OFFICE.

MONTH END PROCEDURES

DATE: LAST WORKING DAY OF MONTH	STARTING TIME	ENDING TIME	DATE
DIV			
C/S **MAKE SURE MONROE TRANSFER IS DONE**			
SWEEPS			
C/S			
DATE: LAST DAY OF MONTH			
MGNINT & RENAME CSHSEC17,CS17MGN (JAN THRU NOV ONLY) **DEC MGNINT MUST BE RUN - C/S**			
STK REC - MENU CASH17 #6			
SPECIAL STK REC - MENU CASH17 #7			
MAKE SURE PRICES HAVE BEEN CHECKED STATEMENTS - MENU CASH17 #13 PRINTING: ( ) BOXES ORIGINALS - 3PT STAT ( ) BOXES DUPES 1PT STAT ORIGINAL LABELS: DUP LABELS:			

CUSTOMER LEDGER ** AND EOM SAVE
     MENU CASH17 #12
          PAGES:			

SEC BORROWED STATEMENTS-1PT STAT MENU CASH17 #17			

*** EOM SAVE AFTER LEDGERS - 1 FOR VAULT AND 1 FOR OFFICE ***
** SEPARATE YELLOW, RED & GRAY REPORTS FROM CUST LEDGER **

MONTH END REPORTS

	DATE	STARTING TIME	ENDING TIME
MENU PORT #1 KEY: PORT63			
LONGPOS - MENU LNGPOS			
LPEDIT - MENU LNGPOS			
LONGPOS3 - MENU LNGPOS (gives longpos7) PAGES:			
LONGPOS2 - MENU LNGPOS (gives longpos6) PAGES:			
LONGPOS6 (see Lngpos2)			
LONGPOS7 (see Lngpos3)			
DVP LEDGERS- KEY: **CASH1733** PRINTING: PAGES:			
DVP STATEMENTS - 1PT STAT KEY: **CASH1735** PRINTING: ( ) BOXES			

**   AFTER LONGPOS REPORTS ARE PROCESSED YOU CAN BEGIN TO UPDATE & RUN C/S FOR NEW MONTH (FIRST C/S FOR EVERY MONTH **EXCEPT JANUARY** IS C/S TO STL MGN).
**   AFTER MONTH END --> ORDER FORMS AND DATA CARTRIDGE FOR NEW MONTH

END OF MONTH REPORTS FOR ANNETTE'S OFFICE

PENDING DIVIDENDS (DISTRIBUTION ANNETTE)
LIST AS OF DIVIDENDS

MARGIN INTEREST

ABBREVIATED STOCK RECORD SUMMARY
STATEMENT OF SECURITY

SECURITY BORROWED STATEMENT AND REPORT

PORTFOLIO TRANSACTION
NEW ACCOUNTS ADDED TO PORTFOLIO

ABBREVIATED PORTFOLIO (PORT63)

LONGPOS/STOCK REC EDIT (LPEDIT)

ABBREVIATED LONGPOS BY SYMBOL

ABBREVIATED LONGPOS BY ACCOUNT
ABBREVIATED STOCK REC NET BY ACCT
ABBREVIATED STOCK REC NET BY SYMBOL
ABBREVIATED LONGPOS TOTAL

**** SEPARATE EACH REPORT FOR ANNETTE *****

**NOTE ALL OTHER MONTH END REPORTS GO ON LEDGE IN FRONT OF ANNETTE'S
OFFICE EXCEPT FOREIGN DIVIDEND REPORT FOR ERWIN -- GIVE TO JODI**

REPORTS

STOCK RECORD REPORTS

MENU CASH 17

#6   PRINTS   **STOCK RECORD SUMMARY**
OPTION STOCK RECORD
HEDGE STOCK RECORD
   *   **ABBREVIATED STOCK RECORD SUMMARY**
   *   **STATEMENT OF SECURITY**

#7   PRINTS   **SPECIAL STOCK RECORD SUMMARY**
(WRITE IN PENCIL **SPECIAL** ON PAGE 1 OF REPORT)

ABBREVIATED STOCK RECORD SUMMARY FOR ANNETTE
KEY: CASH1712

* **THESE ARE ANNETTE'S REPORTS**

WORKING WITH LONG POSITION REPORTS

MENU LNGPOS   (#1 --> #8 & #12)

#1   LONGPOS -- UPDATES LONGPOS FILE FOR NEW MONTH

#2   LONGPOS1 -- ALLOWS YOU TO UPDATE LONGPOS FILE
      UPDATE SCREEN IS A DFU SCREEN AND YOU WILL NEED
      RECORD # TO ACCESS THIS FILE.
      PRICES ARE ENTERED WITH TRADING'S PRICE CODES.
      DO NOT ANSWER **Y** TO REORGANIZE FILE UNTIL ALL
      CORRECTIONS ARE COMPLETED OR UNTIL YOU ARE READY TO
      UPDATE LONGPOS FOR NEW MONTH.

#3   LONGPOS2 -- REPORT BY ACCOUNT #
      OPEN LONG POSITION
    * **ABBREVIATED LONG POSITION**
    * **ABBREVIATED STOCK RECORD NET BY ACCOUNT**
    * **ABBREVIATED STOCK RECORD NET BY SYMBOL**
    * **ABBREVIATED LONG POSITION TOTAL**

#4   LONGPOS3 -- REPORT BY SYMBOL
      OPEN LONG POSITION
    * **ABBREVIATED LONG POSITION**

#5   LONGPOS6 -- ANNETTE'S ABBREVIATED REPORTS BY ACCOUNT

#6   LONGPOS7 -- ANNETTE'S ABBREVIATED REPORTS BY SYMBOL

#7   LONGPOS4 -- PRINT SELECTED ACCOUNTS

#8   LPEDIT -- * **LONGPOS/STOCK RECORD REPORT**

#12   LONG13 -- PROCESS STOCK SPLITS FOR LONGPOS CORRECTIONS
      THIS GIVES A DFU SCREEN FOR ENTRY
      (ENTER --> SYMBOL, PAYABLE DATE, **S** FOR SHARE SPLIT
      OR **P** FOR PERCENT)

    * THESE ARE ANNETTE'S REPORTS

WORKING WITH SPECIAL PORTFOLIO

MENU PORT   (#1--> #7)

#1   UPDATE PORTFOLIO FOR NEW MONTH
        DONE ONCE AFTER EOM
        FOLLOW COMPUTER PROMPTS FOR DATES AND DATA CARTRIDGE

        * NEW ACCT ADDED TO PORTFOLIO
        * PORTFOLIO TRANSACTION
        PORTFOLIO MANAGEMENT

#2   MAKE CORRECTIONS TO PORTFOLIO
        GIVES PORTFOLIO CORRECTION MENU
        SELECT APPROPRIATE OPTION FOR CORRECTION
        FOR CHANGES IN PORTFOLIO/STOCK RECORD MONEY
        IF TICKET IS **SLD** -- DEBIT -- **FIELD +**
                IS **BOT** -- CREDIT -- **FIELD -**

#3   PRINTS   **PORTFOLIO MANAGEMENT REPORT**

#5   PRINTS *** BUYING POWER REPORT**

#7   PRINT SELECTED PORTFOLIO ACCOUNTS

 * ABBREVIATED PORTFOLIO MANAGEMENT REPORT FOR ANNETTE
      KEY: PORT63

RUNNING MIDDLE OF MONTH PORTFOLIO

        KEY: PORTPRO2

        * THESE ARE ANNETTE'S REPORTS

WORKING WITH ARBITRAGE PORTFOLIO

MENU PORT (#8 --> #12)

#8   UPDATE ARBITRAGE PORTFOLIO
        FOLLOW COMPUTER PROMPTS FOR DATES AND DATA CARTRIDGE

        NEW ACCOUNTS ADDED TO PORTFOLIO
        ARBITRAGE PORTFOLIO TRANSACTION
        ARBITRAGE PORTFOLIO MANAGEMENT

#9   MAKE CORRECTIONS TO ARBITRAGE PORTFOLIO
        GIVES PORTFOLIO CORRECTION MENU
        SELECT APPROPRIATE OPTION FOR CORRECTION

#10   PRINT **ARBITRAGE PORTFOLIO MANAGEMENT REPORT**

#12   PRINT SELECTED ARBITRAGE PORTFOLIO ACCOUNTS

RUNNING MIDDLE OF MONTH ARBITRAGE PORTFOLIO

KEY: PORRPRO2

FIXING STATEMENTS

First - you need EOM data cartridge for month(s) you are working with.

Second - you must restore files for the month you are working with.

To Restore files KEY: **RSTSTMF**

There are 2 procedures to fix statement - STMTPRO3 & STMTPRO4
When restoring files **3 restores files for STMTPRO3**
                  (4 restores files for STMTPRO4)

Once files are restored KEY: **STMTPRO3**
         then follow computer prompts

Note** You can make changes to the following (files):

>   A. Balance Forward (cashbal)   **(STAMBL17)**
>   B. Body   **(STLCSH17)**
>   C. Security Positions   **(SELECT17)**
>   D. Year To Date Interest   **(YTDINT17)**

You will get 4 DFU screens for each of the above
For DFU screens
>   CMD10   -   Entry mode
>   CMD11   -   Update mode
>   CMD4   -   To Delete --> CMD4 - To Confirm Deletion
>   CMD7   -   To End
>   CMD1   -   To Dupe
>
>   Broker<--->House<-->is **17**
>   Bought is a Debit --> entered as a (field+)
>   Sold is a Credit --> entered as a (field-)

For STAMBL17

ENTER BROKER --> ACCT # --> BALANCE FORWARD -->CMD7

For STLCSH17

TO UPDATE --> STARTING WITH RECORD #1 SCROLL UP TO SEARCH FILE

FOR NEW ENTRIES --> ENTER BROKER, ACCT #, TRANS CODE, T/D, S/D(for all trans code except B/S, the T/D & S/D are the same) CUSIP(see c/s notes for codes that need cusip), SHARES, PRICE(all B/S codes need price), NET(monies), TRDNUM(trans # for B/S codes) and DESCRIPTION

For SELECT17

> TO UPDATE --> STARTING WITH RECORD #1 SCROLL UP TO SEARCH FILE
> if you update the shares then field exit through the money
> field

> FOR NEW ENTRIES --> ENTER HOUSE, ACCT #, CUSIP and SHARES

For YTDINT17

> DO NOT UPDATE/DELETE UNLESS ANNETTE TELLS YOU TO

> TO UPDATE --> ENTER ACCT # -->THEN UPDATE APPROPRIATE FIELDS

<u>PAPER WORK</u>

For each DFU screen you will get an "audit log" form type *STD -->
these should be shredded

> Customer Ledger (2 copies) - 1PT
> DVP Ledger   (2 copies) - 1PT - release and give to Annette
>   even if blank
> STAT   - 3 PT STATEMENT
> 1STA   - 1 PT STATEMENT (these are duplicates and DVP
>   statement, if DVP STATEMENT is blank then delete)

>   GIVE ALL PAPER WORK TO ANNETTE

****************** NOTES ***

STMTPRO3 AND STMTPRO4 ALLOWS 2 PERSON TO WORK WITH STATEMENT
CORRECTION

FOR SECOND PERSON CORRECTING STATEMENT
      RESTORE FILES WITH '4' THEN KEY STMTPRO4

STMTPRO4 - DOES NOT ALLOW YOU TO CHECK PAPER WORK BEFORE DELETING
          WORK FILES
         - DOES NOT ALLOW YOU TO UPDATE YEAR TO DATE INTEREST FILE

TO ADD/UPDATE PRICE FILE FOR STATEMENT CORRECTION DO THE FOLLOWING

      KEY: RSTSTMF (with '3')
      then KEY: PORTPRJO --> to fix price file (DFU SCREEN)
      then KEY: STMTPRO3

STARTED USING PRICES WITH STATEMENTS FEB/93

FOR STATEMENTS BEFORE JAN/93 --> LIBRARY -->TGIFSTAT (these
statements were printed on "short" statement forms)

WORKING WITH 1099 FORMS

MENU TEFRA

```
#3 --> #5        - PRINTS REPORTS


#9 --> #10       - PRINTS 1099 FORMS ( B, DIV, INT)

#15 --> #17------ALLOWS YOU TO CORRECT 1099 FORMS     Replaced by
                                                      option 15 (REFR23)
#21              - PRINTS MAILING LABEL FOR 1099 FORMS   for all 1099 types
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NOTE

WHEN RELEASING 1099 FORMS CHECK WITH ANNETTE TO SEE WHICH COPY OF
THE FORM WILL BE SENT OUT.

ONCE YOU KNOW WHICH COPY WILL BE SENT OUT, THAT IS THE COPY YOU
WILL CHECK WHEN ALIGNING FORMS ON PRINTER. (MAKE SURE MONIES ARE
NOT TOUCHING ANY LINES)