

Foreign Exchange Options:
Debt Options:
ECP Certified: N
Publication Date of OCC: 02/01/1994
OCC Booklet Send Date:
Risk Disclosures Send Date:

Branch Location Code: PB GREENWICH
LOB Indicator: PB

Additional Comments:

Brokerage Account Relationship:

Investor/GIO: BARRETT PAUL S (E: 4463 F: 463)
Emerging Markets Sales Trader:
Sales Assistant:

Brokerage Account : Additional Account Information

Investment Time Horizon: Greater than 10 years

Primary Liquidity Needs: Long-Term

Secondary Liquidity Needs: Long-Term

Transfer Instructions: Transfer and Hold

Frequency: As Earned

Dividends/Interest Income: Hold/Reinvest

Proceeds: Hold/Reinvest

Client provided approximate value of investable assets held away from the firm?: Yes

Approximate value of investable assets held away from the firm : 1.0E8

Did Client indicate which Asset Classes they are invested in : Yes

Assets are invested in the following Asset Classes : Equities

Fixed Income & Cash

Alternative Investment

Most of those Assets are invested in:

Equities

Fixed Income & Cash

Alternative Investment

Brokerage Account : Authorized Traders