

**Monthly Active Account Report - Equity Loss Calculations**  
**Account Exception Report Simulation**  
**Brokerage Firm Customer Account**  
**Customer v. Brokerage Firm**  
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Date	Market Value	Debit	Equity	Monthly Equity Change Loss > 15%	Four Month Back Equity Change Loss > 15%	Report Match	Compliance Activities	Other
Dec-98	\$167,435	-\$8,414	\$159,021					
Jan-99	\$217,398	-\$8,480	\$208,918	31.38%				
Feb-99	\$201,944	-\$7,963	\$193,982	-7.15%				
Mar-99	\$211,435	-\$8,022	\$203,413	4.86%	27.92%			
Apr-99	\$209,311	-\$8,087	\$201,224	-1.08%	-3.68%			
May-99	\$186,964	\$0	\$186,964	-7.09%	-3.62%			
Jun-99	\$188,340	\$0	\$188,340	0.74%	-7.41%			
Jul-99	\$301,788	-\$68,228	\$233,559	24.01%	16.07%			
Aug-99	\$350,709	-\$60,570	\$290,139	24.23%	55.18%			
Sep-99	\$280,681	-\$18,224	\$262,457	-9.54%	39.35%			
Oct-99	\$451,918	-\$71,717	\$380,201	44.86%	62.79%			
Nov-99	\$551,602	-\$111,892	\$439,710	15.65%	51.55%			
Dec-99	\$705,849	-\$273,089	\$432,760	-1.58%	64.89%	OK		
Jan-00	\$624,167	-\$284,987	\$339,180	-21.62%	-10.79%			
Feb-00	\$616,771	-\$200,348	\$416,424	22.77%	-5.30%	OK		
Mar-00	\$575,632	-\$237,952	\$337,680	-18.91%	-21.97%			
Apr-00	\$554,491	-\$255,540	\$298,951	-11.47%	-11.86%			
May-00	\$519,904	-\$257,357	\$262,547	-12.18%	-36.95%			
Jun-00	\$580,956	-\$265,788	\$315,168	20.04%	-6.67%			
Jul-00	\$537,910	-\$238,065	\$299,844	-4.86%	0.30%			
Aug-00	\$634,986	-\$230,893	\$404,093	34.77%	53.91%		Account Review	Audit not disclosed
Sep-00	\$484,755	-\$250,728	\$234,027	-42.09%	-25.75%	Margin Exception		
Oct-00	\$573,560	-\$318,257	\$255,303	9.09%	-14.85%			
Nov-00	\$174,225	-\$135,782	\$38,443	-84.94%	-90.49%			
Dec-00	\$89,889	-\$62,536	\$27,353	-28.85%	-88.31%			

**Legend**

- The Customer Account Exceeded Account Loss Thresholds that Should Have Triggered an Exception Report
- Months where Active Account Reports Were Produced
- Numbers Match Those on Produced Reports. Brokerage Firm Rounds Down
- Other Compliance Activity Linked to a Review of the Customer Account
- The Branch was Audited in August 2000. The Findings were Not Disclosed