

Hierarchy / Roles Report

Run Date: 4/12/2010

Equities Desks

User	Delegate Of	User Admin	Rule Admin	Passive Reviewer	Compliance Supervisor	Department Reviewer	Escalation Reviewer
Alice Brown	Mike Smith	X	X	X	X	X	X
Mike Smith		X	X	X	X	X	X
Jean Patterson	Mike Smith	X	X	X	X	X	X
Maria Wright						X	
Admin		X	X			X	X

Monitored Employees

Adam Johnson
 Admin
 Albert Jones
 Amanda Davis
 Amy Miller
 Jane Doe
 John Smith

Cost Center

123456
 654321

Exceptions: Employee

Alan Williams
 Alice Brown

Reviewer

Albert Jones
 Albert Jones

Equities Sub-Department 1

User	Delegate Of	User Admin
Alice Brown	Mike Smith	X
Mike Smith		X
Jean Patterson	Mike Smith	X

**Monitored
Employees**

Andrea Wilson
Andrew Moore

Cost Center

No Exception Employees in this Department.

Equities Sub-Department 2

User	Delegate Of	User Admin
Alice Brown	Mike Smith	X
Mike Smith		X
Jean Patterson	Mike Smith	X

**Monitored
Employees**

Cost Center

Angela Taylor

No Exception Employees in this Department.

Research Group

User	Delegate Of	User Admin	Rule Admin	Passive Reviewer	Compliance Supervisor	Department Reviewer	Escalation Reviewer
Alice Brown	Mike Smith	X	X	X	X	X	X
Mike Smith		X	X	X	X	X	X
Jean Patterson	Mike Smith	X	X	X	X	X	X
	Scott Price					X	
Scott Price						X	

Monitored Employees

Cost Center

- Adam Johnson
- Alan Williams
- Albert Jones
- Alice Brown
- Clarence Mitchell
- Craig Perez
- Jack Dillans
- Jason Long
- Jean Patterson
- Maria Wright
- Marie Lopez
- Mike Smith
- Mike Smith
- Victor Gonzales

No Exception Employees in this Department.

Senior Executives (AMER)

User	Delegate Of	User Admin	Department Reviewer
Alice Brown	Mike Smith	X	X
Mike Smith		X	X
Jean Patterson	Mike Smith	X	X
Admin		X	

Monitored Employees

Cost Center

Angela Taylor
Clarence Mitchell
Craig Perez
Jason Long
Jean Patterson
Maria Wright
Marie Lopez
Scott Price
Sean Bennett
Wayne Griffin

No Exception Employees in this Department.