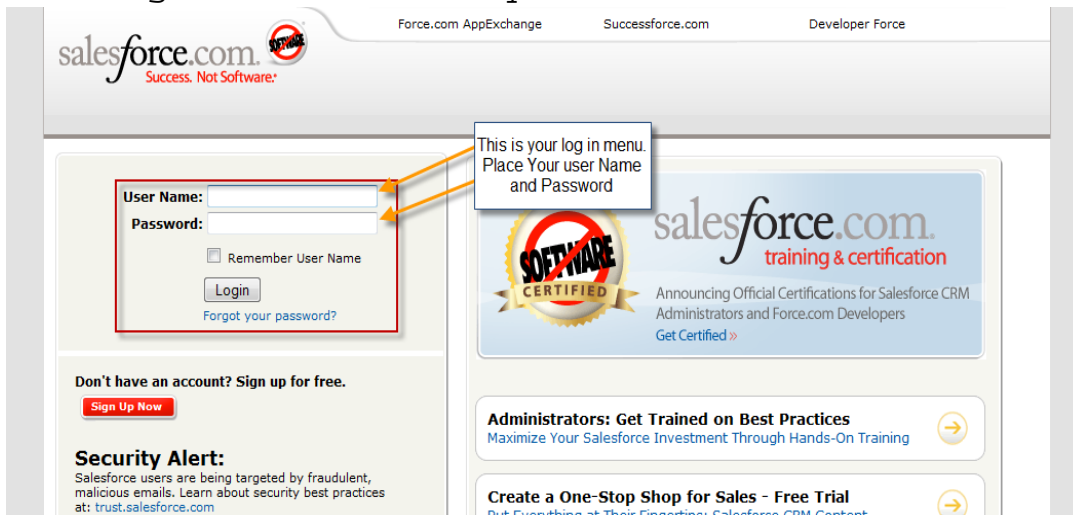
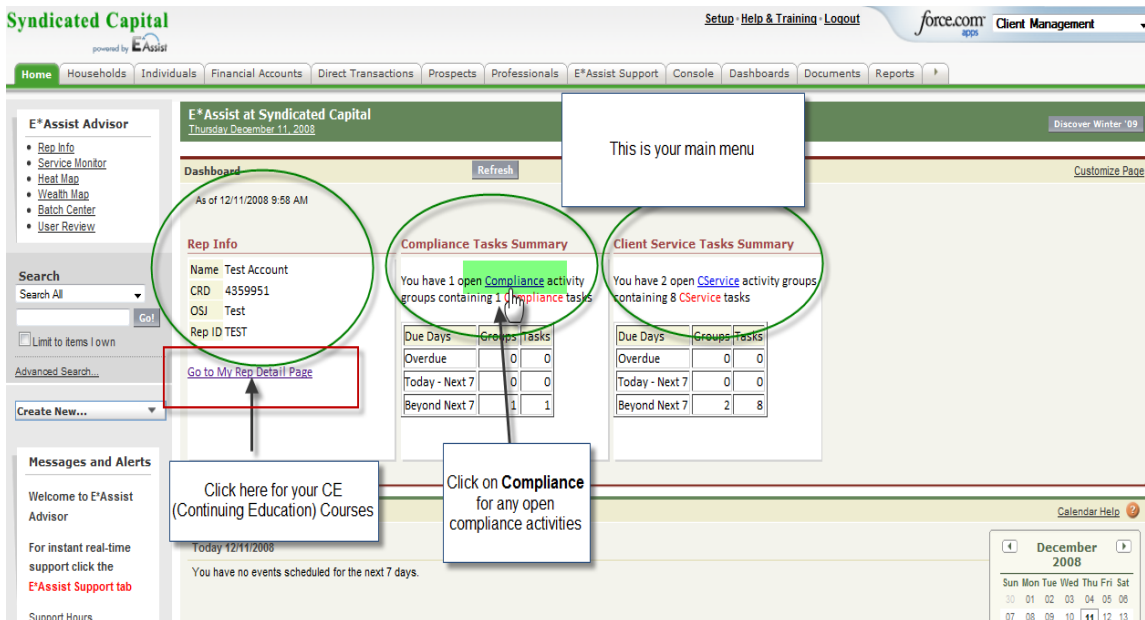


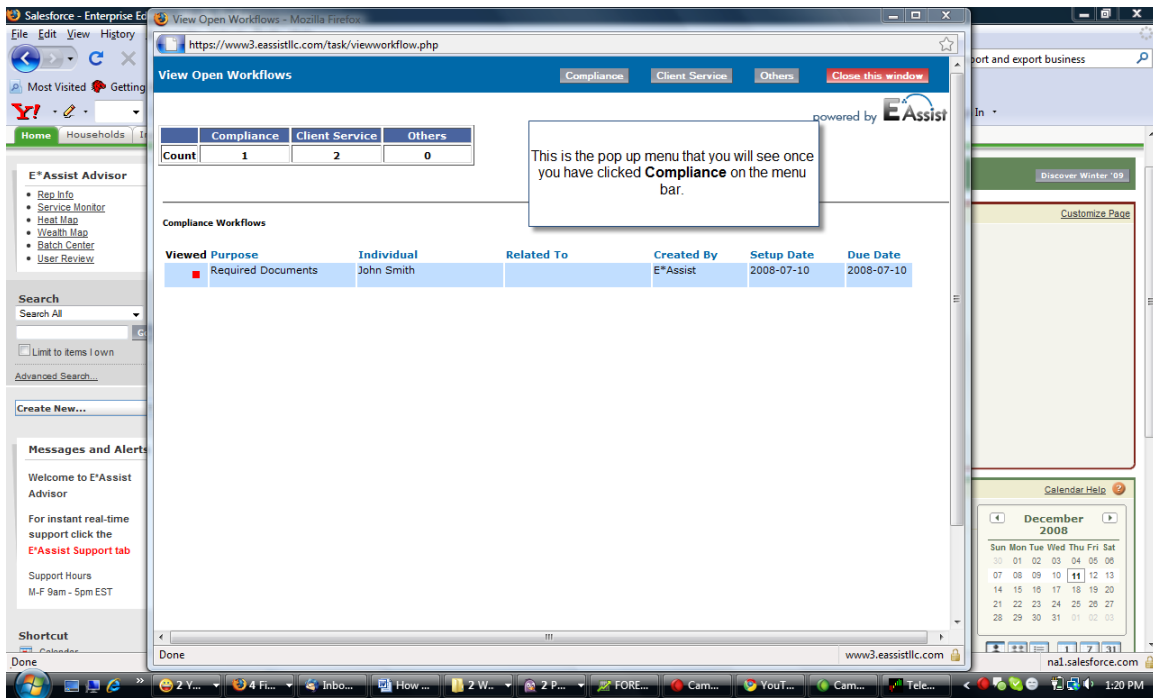
1. Log In screen for your E*Assist Portal



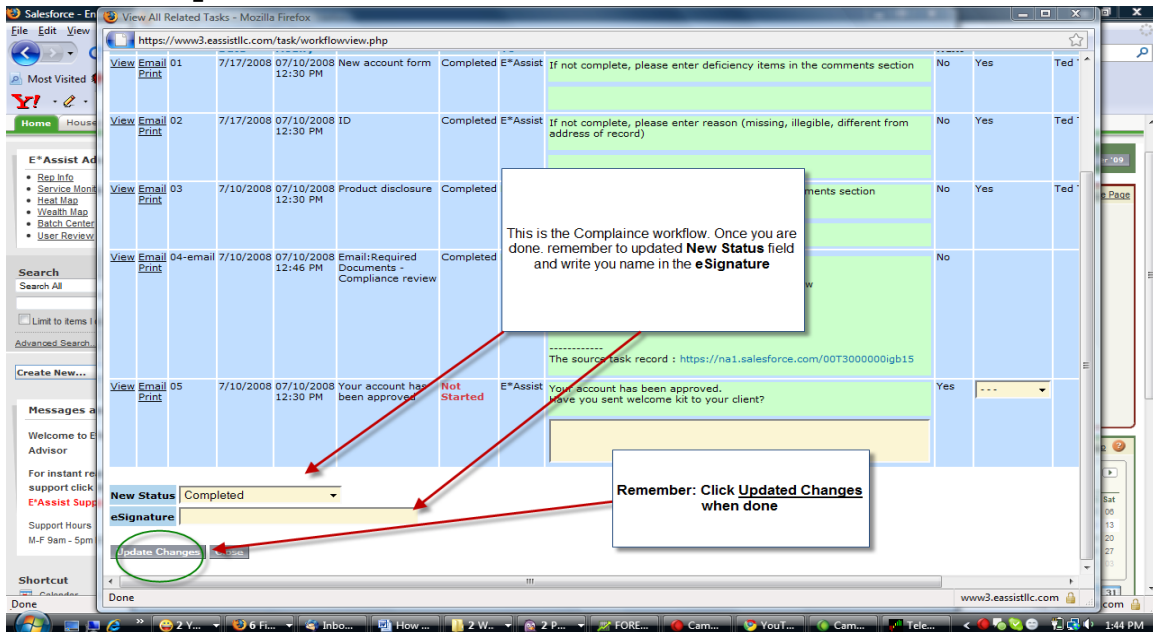
2. Main Menu once you have logged in.



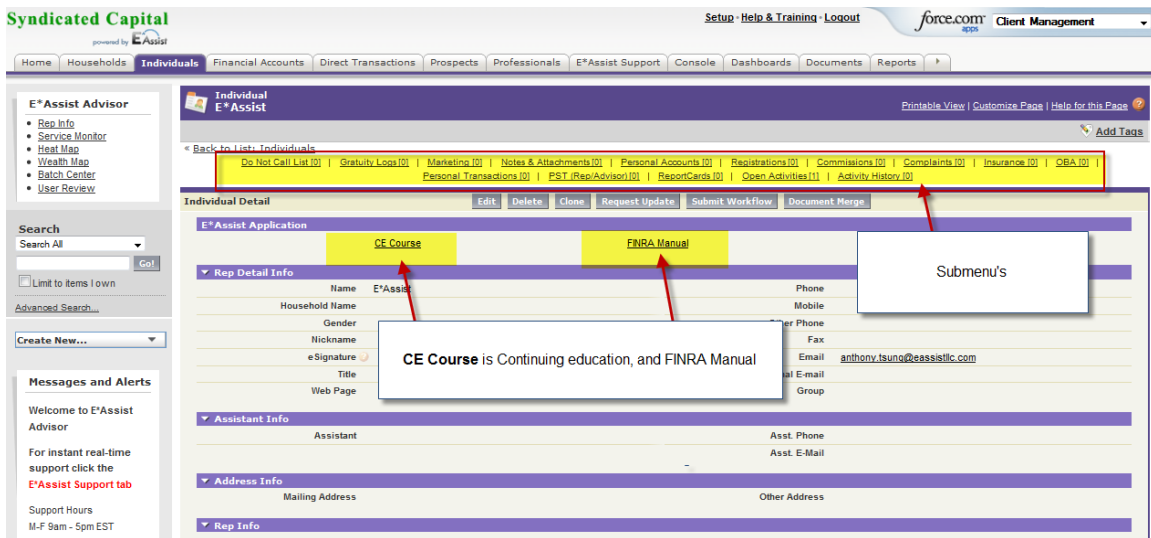
3. Compliance pop up screen showcasing current and online compliance activities that require your attention.



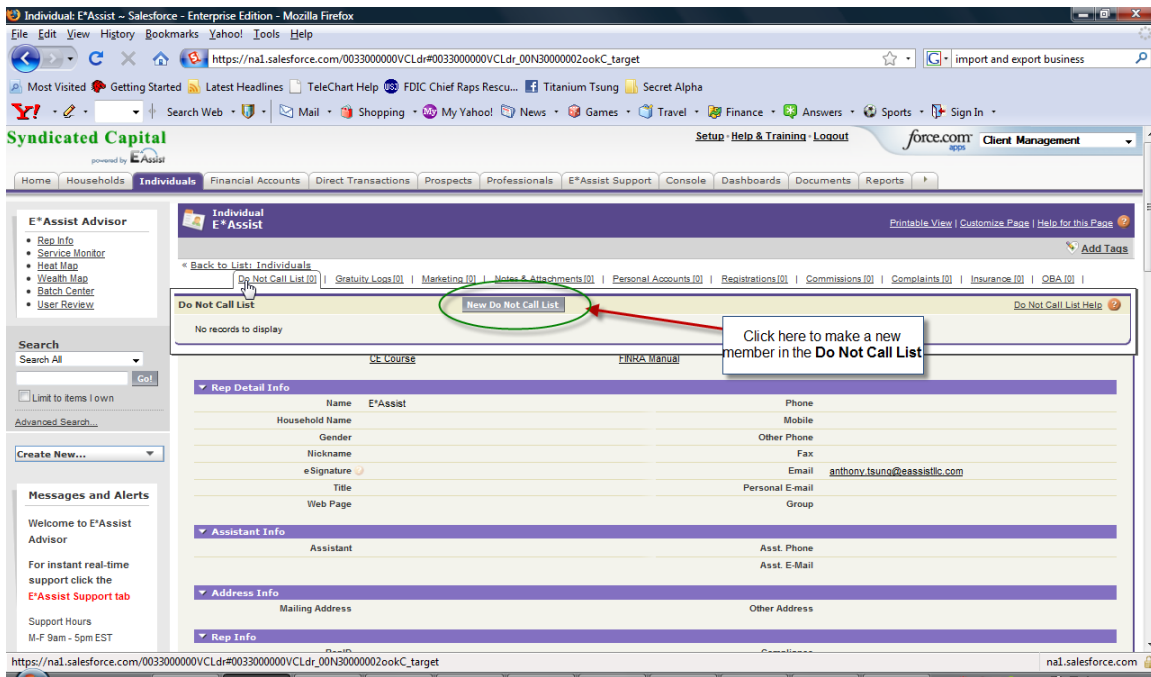
4. You **must** provide an updated New Status and an **Esignature** to complete the compliance activity. You must then press **Save** to ensure your work is fully submitted.



5. Your main individual Screen. You will have submenus and links to your CE Course and FINRA Manual.



6. This is the Do Not Call submenus.



7. Provide information and Press Save.

Syndicated Capital powered by **E*Assist** force.com Client Management

Home Households **Individuals** Financial Accounts Direct Transactions Prospects Professionals E*Assist Support Console Dashboards Documents Reports

Do Not Call List Edit Help for this Page

Do Not Call List Edit Save

Information

Rep/Advisor: E*Assist

Prospect Name: []

Date of Request: [12/11/2008]

Phone: []

Email: []

Fax: []

State: []

Zip: []

Save **Save & New** **Cancel**

Enter desired information. Press **Save** when finished

E*Assist Advisor

- Rep Info
- Service Monitor
- Heat Map
- Wealth Map
- Batch Center
- User Review

Search

Search All [] **Go!**

Limit to items I own

Advanced Search...

Create New...

Messages and Alerts

Welcome to E*Assist Advisor

For instant real-time support click the **E*Assist Support tab**

Support Hours
M-F 9am - 5pm EST

8. This is the **Gratuity Log** submenu.

Individual: E*Assist - Salesforce - Enterprise Edition - Mozilla Firefox

File Edit View History Bookmarks Yahoo! Tools Help

https://na1.salesforce.com/003300000VCLdr#003300000VCLdr_00N30000002ookC_target

Most Visited Getting Started Latest Headlines TeleChart Help FDIC Chief Raps Rescu... Titanium Tsung Secret Alpha

Syndicated Capital powered by **E*Assist** force.com Client Management

Home Households **Individuals** Financial Accounts Direct Transactions Prospects Professionals E*Assist Support Console Dashboards Documents Reports

Individual E*Assist Printable View | Customize Page | Help for this Page

Gratuity Logs Gratuity Logs Help

No records to display

New Gratuity Log

Click here to enter new Gratuity log

Rep Detail Info

Name	E*Assist	Phone
Household Name		Mobile
Gender		Other Phone
Nickname		Fax
eSignature		Email anthony.tsung@eassistllc.com
Title		Personal E-mail
Web Page		Group

Assistant Info

Assistant	Asst. Phone
-----------	-------------

https://na1.salesforce.com/003300000VCLdr#003300000VCLdr_00N30000002oojd_target na1.salesforce.com

9. Fill in Gratuity Log and Press Save

The screenshot shows the 'Gratuity Log Edit' form in the E*Assist system. The form is titled 'New Gratuity Log' and contains several fields for data entry. A red box highlights the 'Save' button at the top of the form. A blue dashed arrow points from a 'Press Save' callout box to this button. Another red box highlights the 'Rep/Advisor' field, which contains 'E*Assist'. A blue dashed arrow points from a 'Fill in your fields here' callout box to this field. A third red box highlights the 'Date' field, which contains '[12/11/2008]'. A blue dashed arrow points from a 'Red colored fields are a requirement' callout box to the 'Date' field. The form also includes a 'Save & New' button and a 'Cancel' button. The left sidebar contains navigation links for 'Rep Info', 'Service Monitor', 'Heat Map', 'Wealth Map', 'Batch Center', and 'User Review'. The top navigation bar includes 'Home', 'Households', 'Individuals', 'Financial Accounts', 'Direct Transactions', 'Prospects', 'Professionals', 'E*Assist Support', 'Console', 'Dashboards', 'Documents', and 'Reports'.

10. This is the New Marketing submenu

The screenshot shows the 'Individual E*Assist' page in the E*Assist system. The page is titled 'Individual E*Assist' and contains a navigation menu with links for 'Do Not Call List', 'Gratuity Logs', 'Marketing', 'Notes & Attachments', 'Personal Accounts', 'Registrations', 'Commissions', 'Complaints', 'Insurance', and 'QBA'. The 'Marketing' link is highlighted with a red box, and a callout box points to it with the text 'New Marketing'. Below the navigation menu, there is a section for 'Marketing' with the text 'No records to display'. The main content area is divided into several sections: 'Rep Detail Info', 'Assistant Info', 'Address Info', and 'Rep Info'. The 'Rep Detail Info' section contains fields for Name, Household Name, Gender, Nickname, eSignature, Title, Web Page, Phone, Mobile, Other Phone, Fax, Email (anthony.tsuno@eassistllc.com), Personal E-Mail, and Group. The 'Assistant Info' section contains fields for Assistant, Asst. Phone, and Asst. E-Mail. The 'Address Info' section contains fields for Mailing Address and Other Address. The 'Rep Info' section contains fields for Rep ID and Rep Name. The left sidebar contains navigation links for 'Rep Info', 'Service Monitor', 'Heat Map', 'Wealth Map', 'Batch Center', and 'User Review'. The top navigation bar includes 'Home', 'Households', 'Individuals', 'Financial Accounts', 'Direct Transactions', 'Prospects', 'Professionals', 'E*Assist Support', 'Console', 'Dashboards', 'Documents', and 'Reports'.

11. Fill in your information and Save for New Marketing

Marketing Edit
New Marketing

Marketing Name:

Rep/Advisor:

Type: --None--

Start Date: [12/11/2008]

Event Date: [12/11/2008]

Available: Under 40, 40 to 50, 50 to 60, Over 60, All age groups

Material Used:

Compliance:

Review By:

Buttons: Save, Save & New, Cancel

Annotations:
 - Red box around 'Rep/Advisor' field: "This field should always be your firm and automatically generated."
 - Blue dashed arrows pointing to 'Save' buttons: "The following is the page for adding new Marketing information. Fill in your information and always press Save"
 - Green circles around 'Save' buttons.

12. Attaching Notes and Attachments. The U4 Form will be located under this tab.

Individual: E*Assist - Salesforce - Enterprise Edition - Mozilla Firefox

URL: https://na1.salesforce.com/003300000VCLdr#003300000VCLdr_00N3000002ookC_target

Navigation: Home, Households, Individuals, Financial Accounts, Direct Transactions, Prospects, Professionals, E*Assist Support, Console, Dashboards, Documents, Reports

Notes & Attachments

Buttons: New Note, Attach File

Annotations:
 - Red box around 'New Note' button: "Click New Note to add a new note."
 - Green circle around 'Attach File' button: "Click Attach File to attach a file from your computer onto the E*Assist Platform"

Rep Detail	Assistant Info	Address Info	Rep Info
Name: E*Assist Household Name: Gender: Nickname: e-Signature: Title: Web Page:	Assistant: Asst. Phone: Asst. E-Mail:	Mailing Address: Other Address:	RepID: OSJ: Branch: Compliance: Heightened Supervision: HS Start Date:

13. Adding Personal Accounts to the E*Assist.

The screenshot shows the E*Assist interface in a browser window. The main content area is titled 'Individual E*Assist' and contains a navigation bar with tabs: 'Back to List: Individuals', 'Do Not Call List', 'Gravity Log', 'Marketing', 'Notes & Attachments', 'Personal Accounts', 'Registrations', 'Commissions', 'Complaints', 'Insurance', and 'QBA'. The 'Personal Accounts' tab is active, showing a 'New Personal Account' button highlighted with a red box. A callout box points to this button with the text: 'For all Personal accounts that are not apart of day to day operations of firms, click here "New Personal Account" to create account with your Compliance Officer.'

E*Assist Advisor

- Rep Info
- Service Monitor
- Heat Map
- Wealth Map
- Batch Center
- User Review

Search: Search All [Go]

Limit to items I own

Advanced Search

Create New...

Messages and Alerts

Welcome to E*Assist Advisor

For instant real-time support click the **E*Assist Support tab**

Support Hours
M-F 9am - 5pm EST

Shortcut

Individual E*Assist

Printable View | Customize Page | Help for this Page

Add Tags

Back to List: Individuals | Do Not Call List | Gravity Log | Marketing | Notes & Attachments | **Personal Accounts** | Registrations | Commissions | Complaints | Insurance | QBA

No records to display

LE Course | FINRA MAR

Rep Detail Info

Name	E*Assist
Household Name	
Gender	
Nickname	
eSignature	
Title	
Web Page	
Other Phone	
Fax	
Email	anthony.tsuno@eassistllc.com
Personal E-mail	
Group	

Assistant Info

Assistant	
Asst. Phone	
Asst. E-Mail	

Address Info

Mailing Address	
Other Address	

Rep Info

RepID		Compliance	
OSJ		Heightened Supervision	<input type="checkbox"/>
Branch		HS Start Date	