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\*Citi Controls Support



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# Welcome to CitiControls

CitiControls is a global end-to-end integrated control platform supporting Compliance, Operational Risk, O&T Risk & Controls and Internal Audit Innovation. CitiControls identifies, assesses, reports and mitigates risk across business lines, products & functions, legal entities, and jurisdictions to the benefit of the franchise, our customers, and employees.



Assessments



Risk Appetite  
and Metrics



Audit 360



Regulatory  
Management



BREX



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- > Risk Appetite and Metrics
- > Audit 360
- > Regulatory Management
- ▼ BREX

Dashboard



Branch Management

Response Template

Questions Bank

Questionnaire

Examination

Open Completed Survey

Reports

Clear



## Response Template

Lorem ipsum dolor sit amet,  
consectetuer adipiscing elit.  
Aenean...



## Questionnaire

Lorem ipsum dolor sit amet,  
consectetuer adipiscing elit.  
Aenean...



## Examination

Lorem ipsum dolor sit amet,  
consectetuer adipiscing elit.  
Aenean...



## Open Completed Survey

Lorem ipsum dolor sit amet,  
consectetuer adipiscing elit.  
Aenean...

# Examination Management

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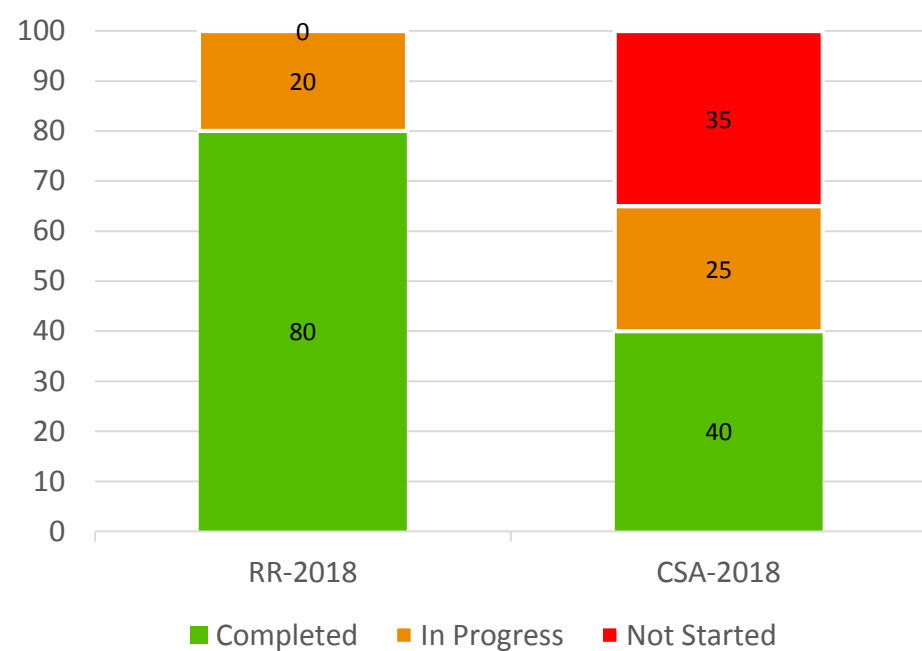


Year

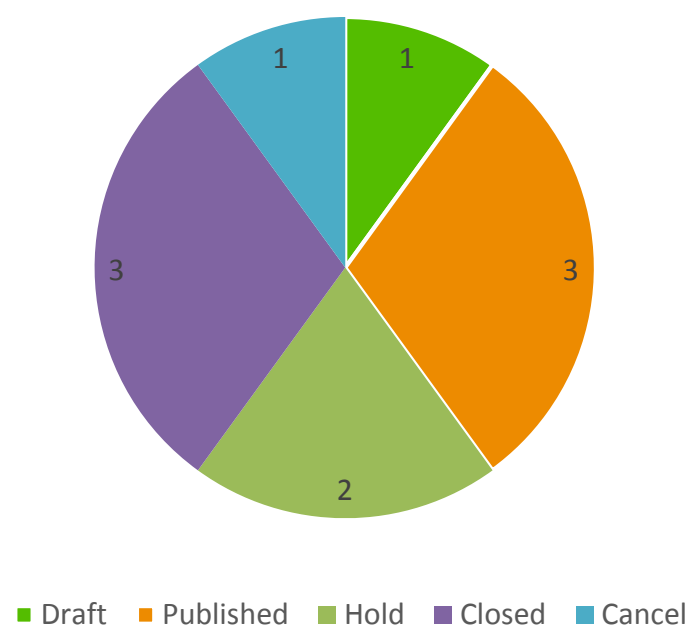
2018



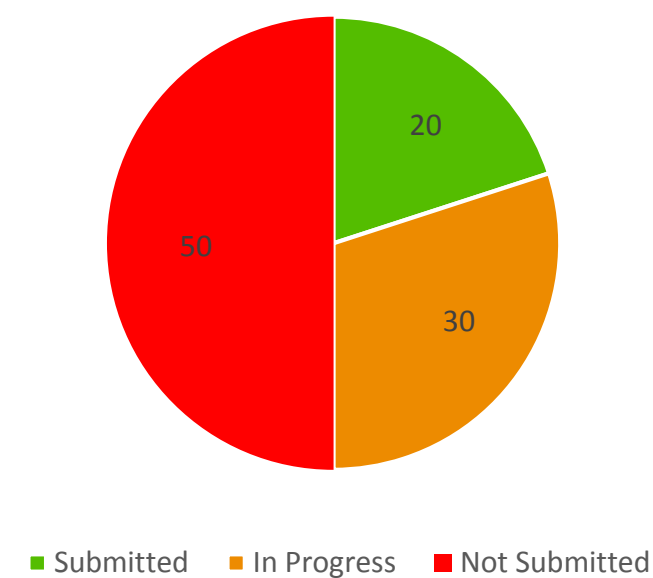
## Published Questionnaires Submissions



## Exam Status Distribution



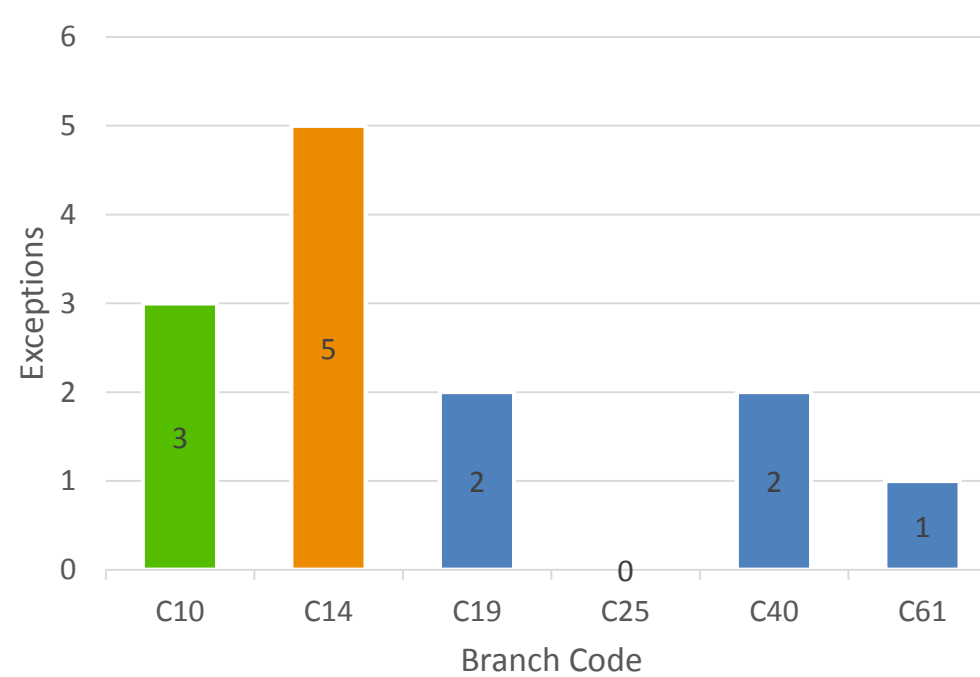
## Individual Submission Status



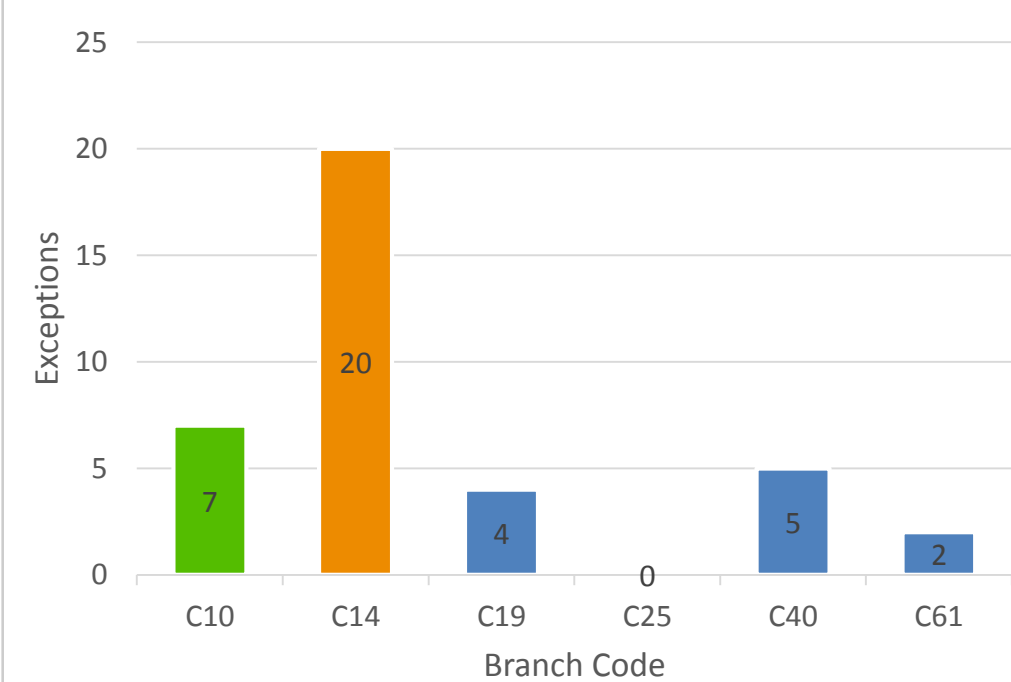
## Branch based Individual Submission Status



## Branch Exceptions - Individuals



## Branch Exceptions - Questions



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New Branch



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C01

Los Angeles Metro

Supervision: Ford, Robert | Leluc, Michael | Philan..

04-Dec-2017 | Siraj Merchant

ACTIVE

C04

New York Manhattan

Supervision: Ford, Robert | Leluc, Michael | Philan..

04-Dec-2017 | Siraj Merchant

ACTIVE

C05

Boston

Supervision: Philan,Luke

04-Dec-2017 | Siraj Merchant

INACTIVE

C06

California

Supervision: William, Robert

04-Dec-2017 | Siraj Merchant

ACTIVE

Branch Code \*

C01

Type \*

Branch

Active Indicator \*

Yes

Branch Name \*

Los Angeles Metro

Supervision \*

Ford, Robert

OSJ Name \*

Los Angeles Metro

Other Branches

C11, C10, C12

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C01 Bank Details

04-Dec-2017 | Siraj Merchant

ACTIVE

C03 Property

04-Dec-2017 | Siraj Merchant

INACTIVE

C06 PFI

04-Dec-2017 | Siraj Merchant

ACTIVE

Template ID

C01

Template Name \*

Bank Details

Active Indicator \*

Yes

Attributes(4)

[Add New Attribute](#)

1

Bank Name

Text

2

Account Name

Number

3

Account Type

Dropdown

Current

4

Open Date

Date

DASHBOARD

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New Question

Tracker

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Save

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Question Lists

Search for Questions



<div><div></div><div>RR</div></div> <div>Q 1035   V1</div> <div>What is your graduation level</div> <div>1 Question</div>								
Role	Type	Response Value	Value Exception	Status	Mandatory			
RR	Single Select	None	None	Active	<input type="checkbox"/>			
		Graduate					Add Child Questions	
		Post Graduate						
Q 1035-A   V0	Does your Citi work l	available for	Citi Global Desktop Fax)	or do you otherwise have direct access to, or own any fax				
1/1 Questions		Show When parent answer is	Yes					
RR	Q 2634   V0	Do you mainta	correspondenc	LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing	executed transactions?			
RR	Q 646   V0	Do you mainta	correspondenc	LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing	executed transactions?			
CSA	Q 2234   V0	Do you mainta	correspondenc	LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing	executed transactions?			
CSA	Q 2234   V0	Do you mainta	correspondenc	LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing	executed transactions?			
CSA	Q 2234   V0	Do you mainta	correspondenc	LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing	executed transactions?			





Branch Management

Response Template

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New Question



Tracker



Export



Save



Cancel

Question Lists



Search for Questions



### Question Tracker



Q1034					
Versions	Attributes	From	To	Last Modified Date	Last Modified By
V4	Question	Lorem Ipsum is Dummy Content	Lorem Ipsum is <b>the</b> Dummy Content	12-Dec-2017	Siraj Merchant
V3	Response Type	Single Select	Multi Select	11-Nov-2017	Chauhan, Mayur Kumar
V2	Question	Lorem Ipsum sit amet	Lorem Ipsum <b>is</b> sit amet	10-Oct-2017	Siraj Merchant
V1	Question	Lorem Ipsum dolor sit amet	Lorem Ipsum <del>dolor</del> sit amet	9-Sep-2017	Chauhan, Mayur Kumar

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New Question

Tracker Export Save Cancel

Question Lists

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RR

Q 1035 | V1

What is your graduation level

1 Question

Role	Type	Response Value	Value Exception	Status	Mandatory	
RR	Single Select	None	None	Active	<input type="checkbox"/>	Add Child Questions
Q 1035-A   V0	Does your Citi work l... machine that you use	None				
1/1 Questions						
RR	Q 2634   V0	LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing executed transactions?				
RR	Q 646   V0	LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing executed transactions?				
CSA	Q 2234   V0	LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing executed transactions?				
CSA	Q 2234   V0	LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing executed transactions?				
CSA	Q 2234   V0	LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing executed transactions?				

Short Text

Paragraph Text

Number

Percentage

Date

Amount

Yes or No

Checkboxes

Single Select

Template

Graduate

Post Graduate

Yes



Branch Management

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Modify Close Export

All

RR

CSA

RR

RR - 2018  
V2 | 2017 | 04-Dec-2017  
PUBLISHED

CSA

CSA - 2017  
V1 | 2017 | 04-Dec-2017  
PUBLISHED

CSA

CSA - 2017  
V4 | 2017 | 04-Dec-2017  
CLOSED

RR

CSA - 2018  
V2 | 2017 | 04-Dec-2017  
DRAFT

RR

RR - 2017 | V2 | PUBLISHED | 2017 | 04-Dec-2017

Questions (24) 

Add New Question | Import from Questions Bank

Q 1034 | V1  
2 Questions

Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

Q 2234 | V0

Do you maintain partially completed or blank LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing correspondence or original order tickets for executed transactions?

Q 1234 | V0

For CPWM & CPII employees, do you provide the Supervisor with a copy of all incoming correspondence including computer-generated material and fax transmissions? For CPB please select No.

Q 1034 | V1  
2 Questions

Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

Q 2234 | V0

Do you maintain partially completed or blank LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing correspondence or original order tickets for executed transactions?

Q 1234 | V0

For CPWM & CPII employees, do you provide the Supervisor with a copy of all incoming correspondence including computer-generated material and fax transmissions? For CPB please select No.

Q 1034 | V1  
2 Questions

Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

Q 2234 | V0

Do you maintain partially completed or blank LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing correspondence or original order tickets for executed transactions?

Q 2234 | V0

Do you maintain partially completed or blank LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing correspondence or original order tickets for executed transactions?

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CSA

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RR

RR- 2018

V2 | 2017 | 04-Dec-2017

PUBLISHED

CSA

CSA - 2017

V1 | 2017 | 04-Dec-2017

PUBLISHED

CSA

CSA - 2017

V4 | 2017 | 04-Dec-2017

CLOSED

RR

CSA - 2018

V2 | 2017 | 04-Dec-2017

DRAFT

Questions (24) Add New Question | Import from Questions Bank

Q 1034 | V1

2 Questions

Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

Q 2234 | V0

Do you maintain partially completed or blank LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing correspondence or original order tickets for executed transactions?

Q 1234 | V0

For CPWM & CPII employees, do you provide the Supervisor with a copy of all incoming correspondence including computer-generated material and fax transmissions? For CPB please select No.

Q 1034 | V1

2 Questions

Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

Q 2234 | V0

Do you maintain partially completed or blank LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing correspondence or original order tickets for executed transactions?

Q 1234 | V0

For CPWM & CPII employees, do you provide the Supervisor with a copy of all incoming correspondence including computer-generated material and fax transmissions? For CPB please select No.

Q 1034 | V1

2 Questions

Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

Q 2234 | V0

Do you maintain partially completed or blank LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing correspondence or original order tickets for executed transactions?

Q 2234 | V0

Do you maintain partially completed or blank LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing correspondence or original order tickets for executed transactions?



Branch Management

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CSA

RR

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V1 | 2018 | 04-Dec-2017

DRAFT

CSA

CSA - 2017

V1 | 2017 | 04-Dec-2017

PUBLISHED

Questionnaire Name

New Questionnaire

Year

2018 ▾

Type

RR ▾

Status

Draft

Questions

Add New Question | Import from Questions Bank

Q 1034 | V1

Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

▾



BREX



Doe, John



DASHBOARD

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Examination Management

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RR

## Questions Bank



Submit



Cancel

Search Questions

☐ Select All**101-1** Please list the Financial Advisor(s) with whom you work:☐ **102** Are you registered?☒ **102A** Please list registration(s):☒ **104 -2** Before entering orders for customers, do you confirm.☒ **105 -3** Do you clearly display the appropriate investment zone.☒ **106** Do you disclose to clients and prospects that you repress**107** Have you hand delivered a check to a client within the**108 -1** Have you read, and are you familiar with the policies**109 -1** Have you read, and are you familiar with the policies☒ **110** Are you aware of any accounts that consistently depos☒ **111** Please click the link below to provide details

Add&gt;&gt;

&lt;&lt;Remove

Add

Cancel

8a

If Yes, Please list registrations

Text

CBA Compliance Training- 2017

04-Dec-2017 | Siraj Merchant

PUBLISHED

CBA Compliance Training- 2017

04-Dec-2017 | Siraj Merchant

PUBLISHED



Branch Management

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CSA - 2017

V4

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04-Dec-2017

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V2

2017

04-Dec-2017

DRAFT

Questions (24)

Add New Question

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Q 1034

V1

Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

2 Questions

Q 2234

V0

Do you maintain partially completed or blank LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing correspondence or original order tickets for executed transactions?

Q 1234

V0

For CPWM & CPII employees, do you provide the Supervisor with a copy of all incoming correspondence including computer-generated material and fax transmissions? For CPB please select No.

Q 1034

V1

Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

2 Questions

Q 2234

V0

Do you maintain partially completed or blank LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing correspondence or original order tickets for executed transactions?

Q 1234

V0

For CPWM & CPII employees, do you provide the Supervisor with a copy of all incoming correspondence including computer-generated material and fax transmissions? For CPB please select No.

Q 1034

V1

Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

2 Questions

Q 2234

V0

Do you maintain partially completed or blank LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing correspondence or original order tickets for executed transactions?

Do you maintain partially completed or blank LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing correspondence or original order tickets for executed transactions?



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Doe, John

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PUBLISHED

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Compliance Training -RR

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RR

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BREX-2018

PUBLISHED



RR

2018

RR- 2018

CLOSED



CSA

2018

CSA- 2018

CLOSED



CSA

2018

Survey Questionnaire -2018

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V4 | 2017 | 04-Dec-2017

CLOSED

RR

CSA - 2018

V2 | 2017 | 04-Dec-2017

DRAFT

Questionnaire Name

Year

Type

Status

New Questionnaire

2018

RR

Draft

Questions (1)

Add New Question | Import from Questions Bank

Q 1034 | V1

Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

2 Sub Questions

☒ Yes

☐ No

+ Add Child Questions

Q 1034-A | V0

Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

1/2 Questions

Show When parent answer is

Yes

Q 1034-B | V1

Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

2/2 Questions

1 Sub Questions

Show When parent answer is

Yes

Q 1034-B-1 | V0

Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

1/1 Questions

Show When parent answer is

Yes

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- C01

C01 – RR – 2015

☐

Westchester, Connecticut and Bronx  
2015 | RR 2015, CSA 2015  
04-Dec-2017

ON HOLD
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C01 – RR – 2015

☐

Los Angeles Metro  
2015 | RR 2015, CSA 2015  
04-Dec-2017

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C01 – RR – 2015

☐

Los Angeles Metro  
2015 | RR 2015, CSA 2015  
04-Dec-2017

PUBLISHED
- C01

C01 – RR – 2015

☐

Los Angeles Metro  
2015 | RR 2015, CSA 2015  
04-Dec-2017

DRAFT
- C01

C01 – RR – 2015

☐

Los Angeles Metro  
2015 | RR 2015, CSA 2015  
04-Dec-2017

CANCELLED
- C01

C01 – RR – 2015

☐

Los Angeles Metro  
2015 | RR 2015, CSA 2015  
04-Dec-2017

ON HOLD

Branch Code \*

C01

Year \*

2015 ▾

Questionnaire \*

RR 2015

Name \*

C012 – RR - 2015

Status \*

On Hold

Audit Trail				
	Status From	Status To	Last Modified Date	Last Modified By
1	Published	On Hold	13-Dec-2017	Siraj Merchant
2	Draft	Published	11-Dec-2017	Chauhan Mayurkumar
3				
4				

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New Examination

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AllRRCSA

<div>C01C01 – RR – 2015</div> <div><input type="checkbox"/> Westchester, Connecticut and Bronx 2015   RR 2015, CSA 2015 04-Dec-2017</div> <div>DRAFT</div>
<div>C01C01 – RR – 2015</div> <div><input type="checkbox"/> Los Angeles Metro 2015   RR 2015, CSA 2015 04-Dec-2017</div> <div>COMPLETED</div>
<div>C01C01 – RR – 2015</div> <div><input type="checkbox"/> Los Angeles Metro 2015   RR 2015, CSA 2015 04-Dec-2017</div> <div>ON HOLD</div>
<div>C01C01 – RR – 2015</div> <div><input type="checkbox"/> Los Angeles Metro 2015   RR 2015, CSA 2015 04-Dec-2017</div> <div>DRAFT</div>
<div>C01C01 – RR – 2015</div> <div><input type="checkbox"/> Los Angeles Metro 2015   RR 2015, CSA 2015 04-Dec-2017</div> <div>COMPLETED</div>
<div>C01C01 – RR – 2015</div> <div><input type="checkbox"/> Los Angeles Metro 2015   RR 2015, CSA 2015 04-Dec-2017</div> <div>ON HOLD</div>

Branch Code \*

C01 × C02 ×

Year \*

2015

Questionnaire \*

RR-2015 × CSA-2015 ×

Name \*

Untitled Exam

Status \*

Draft



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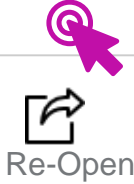
LINKS

Examination Management

Click to login and continue role as OSJ Management

Branch Management	Response Template	Questions Bank	Questionnaire	Examination	Open Completed Survey
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Completed Surveys



Individual Details								Page 1 of 1	
	Branch Name	Questionnaire	Exam	SOEID	Individual Name	Role	Start Exam	Completed Date	
<input type="checkbox"/>	C08- NYC	RR-2018	C08-RR-2018	KD75318	Doshi, Kinil	RR	12-Dec-2017	22-Dec-2017	
<input type="checkbox"/>	C08- NYC	RR-2018	C08-RR-2018	AS35678	Ali, Smith	RR	12-Dec-2017	22-Dec-2017	
<input type="checkbox"/>	C10 Boston	RR-2018	C10-RR-2018	GT57684	Gorge, Truce	RR	13-Dec-2017	22-Dec-2017	
<input type="checkbox"/>	C12 Texas	CSA-2018	C12- CSA - 2018	SM45792	Scott, Matt	CSA	12-Dec-2017	22-Dec-2017	

# OSJ Management

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OSJ Management

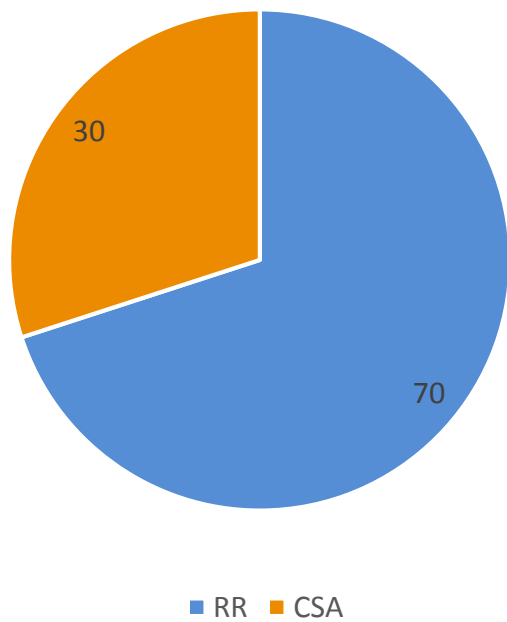
Click to login and continue role as Individual Respondent

Branch Code C018 ▼

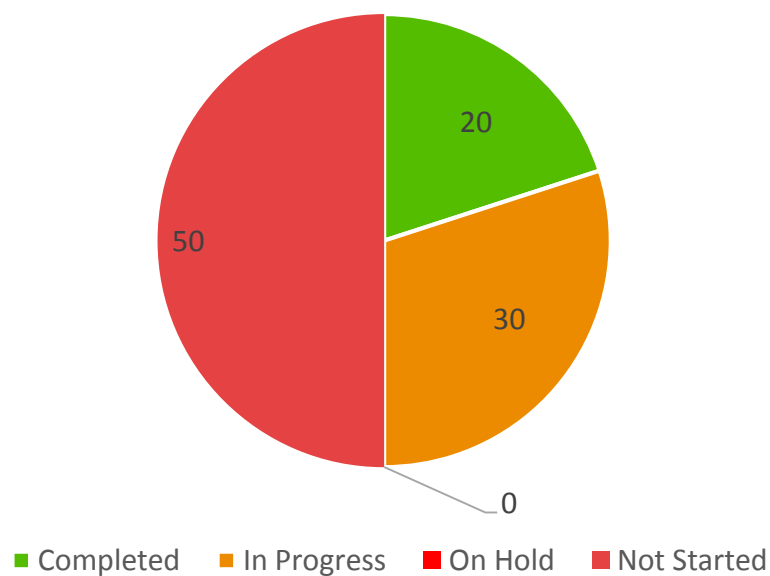
Branch Name: Tri States

OSJ Name: Tri States

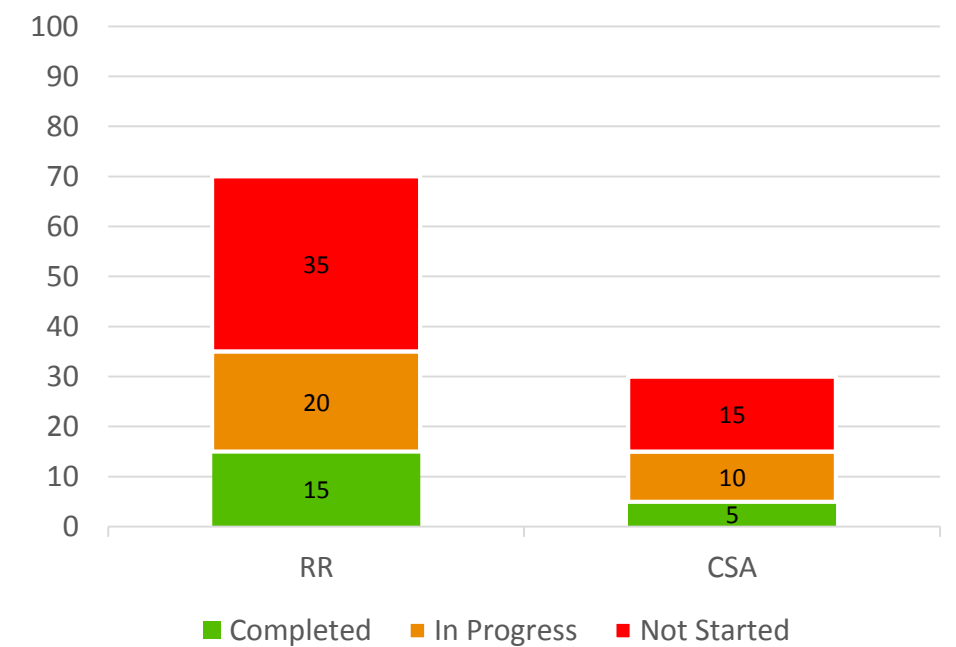
### Individual Distribution



### Overall Individual Submission Status



### Individual Submission Status based on Role



#### Individual Details

Page 1 of 1

SOEID	Individual Name	Role	Due Date	Start Exam	Completed Date	Assignment Status
KD75318	Doshi, Kinil	RR	31-Dec-2017			Not Started
AS35678	Ali, Smith	RR	31-Dec-2017	12-Dec-2017		In Progress
GT57684	Gorge, Truce	RR	31-Dec-2017	13-Dec-2017	22-Dec-2017	Completed
SM45792	Scott, Matt	CSA	31-Dec-2017			On hold
NS62530	Selvam, Naresh Kumar	RR	31-Dec-2017	11-Dec-2017	21-Dec-2017	Completed
DD57161	Dayalan, Deepak	RR	31-Dec-2017			On Hold

# Individual Respondent

---



[Click to view assigned Questionnaire](#)

# NO ASSIGNED QUESTIONNAIRE

BRANCH:

**C02 - LOS ANGELES METRO**

ROLE:

**CLIENT SERVICE ASSOCIATE (CSA)**

Dear User,

As of now, no exam are currently open for your branch.

Please contact your **Branch Manager** if you have any queries

Thanks,

**Branch Examination**

INDIVIDUAL RESPONDENT

RR RR 2018 | C10

Start Questionnaire

- 1
- 2
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- 7
- 8
- 9
- 10
- 11
- 12
- 13
- 14
- 15
- 

Expand

Collapse

Reset

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Submit

Cancel

1 of 40 | RR 2018

★ 1. Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

Short answer text

2 of 40 | RR 2018

2. Do you update all new account information for inherited Yes accounts prior to trading?\*

☐ Yes ☐ No

2a. Do you update all new account information for inherited Yes accounts prior to trading?

Name	Relationship	Date	Amount of the Loan

3 of 40 | RR 2018

3. Who has been delegated to receive and control Insurance manager policies delivered to/from the Branch?

Short answer text



## INDIVIDUAL RESPONDENT

RR

RR 2018 | C10

Start Questionnaire

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Expand



Collapse



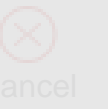
Reset



Save



Submit



Cancel

1 of 40 | RR 2018



1. Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

Short answer text

2 of 40 | RR 2018

2. Do you update all new account information

☐

Yes

☐

No

2a. Do you update all new account information

Name	Re

Re

an

## Confirm your role



You are listed as Registered Representative (RR). Is this your correct role?

Note: If your role is not correct please contact your OSJ Management ([BREX Citi Marketplace](#)) to get your role corrected before proceeding with answering the questionnaire

Yes

No



3 of 40 | RR 2018

3. Who has been delegated to receive and control Insurance manager policies delivered to/from the Branch?

Short answer text

Previous

0

105

Answered

Unanswered

Page 1 of 3

Next

INDIVIDUAL RESPONDENT

RR RR 2018 | C10

In Progress

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Expand

Collapse

Reset

Save

Submit

Cancel

1 of 40 | RR 2018

★

1. Does your Citi work location have a fax machine available for your use (excluding any fax machine that you use for business purposes)?

otherwise have direct access to, or own any fax

Yes, there is a fax machine no # 212-246-2353 present in this facility

2 of 40 | RR 2018

2. Do you update all new account information for inherited Yes accounts prior

☒ Yes ☐ No

- ☐ Show only Answered
- ☐ Show only Unanswered
- ☐ Show only Mandatory
- ☐ Show All Mandatory Unanswered
- ☒ Show All

Reset Filter

2a. Please enter all your account details below

Name	Relationship	Date	Amount of the Loan

3 of 40 | RR 2018

3. Who has been delegated to receive and control Insurance manager policies delivered to/from the Branch?

Short answer text

Previous



Answered  Unanswered

Page 1 of 3

Next





INDIVIDUAL RESPONDENT

RR

RR 2018 | C10

On Hold



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1 of 40 | RR 2018



1. Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you machine that you use for business purposes?

Short answer text

Admin has put the exam **On Hold** due to any of the following reasons

- Ongoing Questionnaire could be modified.
- Question could be updated

2 of 40 | RR 2018

2. Do you update all new account information for inherited Yes accounts prior to trading?\*



Yes



No

2a. Do you update all new account information for inherited Yes accounts prior to trading?

Name	Relationship	Date	Amount of the Loan

3 of 40 | RR 2018

3. Who has been delegated to receive and control Insurance manager policies delivered to/from the Branch?

Short answer text



Assigned Questionnaire

RR 2018

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Expand

Collapse

Reset

Save

Submit

Cancel

1 of 40 | RR 2018

★

1. Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

Short answer text

2 of 40 | RR 2018

2. Do you update all new account information

☒ Yes

☐ No

2a. Do you update all new account information

Name	Re	an

3 of 40 | RR 2018

3. Who has been delegated to receive and control Insurance manager policies delivered to/from the Branch?

Short answer text

Summary

You have **12 optional questions** unanswered.  
Once submitted, no changes can be done. Are you sure you want to proceed?

Revise

Submit

Cancel

 Individual Respondent

INDIVIDUAL RESPONDENT

RR

RR 2018 | C10

Completed



Question #	Question	Answer
1	How long have you been Manager in this branch?	5 Yrs
2	Who is in charge of the office in your absence?	Memphis
3	What registrations does this person(s) have?	3 7 6 3 65
4	Is there a memo outlining those supervisory duties which you have delegated in your absence to other qualified personnel?	Yes
5	Are there any supervisory state registration memorandums on file?	No
6a	How much of your time is spent on production?	90%
6b	How much of your time is spent on administration?	10%
7	Are any Financial Advisors providing services and/or products not affiliated with Smith Barney?	No
7a	If yes, please list name(s):	
8	Are there any Financial Advisors who conduct business in another location?	No
8a	If there any Financial Advisors who conduct business in another location:	None
8b	Location	None
8c	What procedures are in place to verify that the location(s) are supervised?	None
8d	How often is/are the location(s) visited by you?	None
9	Does your Branch have any dealings with local brokers (NYSE 346)?	No
9a	Name:	None
9b	Account number:	None
9c	Omnibus Basis for their Clients	None
9d	Omnibus Basis for a firm?	None

INDIVIDUAL RESPONDENT

RR RR 2018 | C10

Closed ⓘ

Export

Question #	Question	Answer
1	How long have you been Manager in this branch?	5 Yrs
2	Who is in charge of the office in your absence?	Memphis
3	What registrations does this person(s) have?	3 7 6 3 65
4	Is there a memo outlining those supervisory duties which you have delegated in your absence to other qualified personnel?	Yes
5	Are there any supervisory state registration memorandums on file?	No
6a	How much of your time is spent on production?	90%
6b	How much of your time is spent on administration?	10%
7	Are any Financial Advisors providing services and/or products not affiliated with Smith Barney?	No
7a	If yes, please list name(s):	
8	Are there any Financial Advisors who conduct business in another location?	No
8a	If there any Financial Advisors who conduct business in another location:	None
8b	Location	None
8c	What procedures are in place to verify that the location(s) are supervised?	None
8d	How often is/are the location(s) visited by you?	None
9	Does your Branch have any dealings with local brokers (NYSE 346)?	No
9a	Name:	None
9b	Account number:	None
9c	Omnibus Basis for their Clients	None
9d	Omnibus Basis for a firm?	None



# Reports

---

# Questionnaire

Year: 2018

Role: RR

Questionnaire: 2017 RR

Report Generated: 12-Dec-2017 13:12:12 EST

Question #	Question	Response Type / values
1	How long have you been Manager in this branch?	Text
2	Who is in charge of the office in your absence?	Text
3	What registrations does this person(s) have?	Text
4	Is there a memo outlining those supervisory duties which you have delegated in your absence to other qualified personnel?	Yes / No
5	Are there any supervisory state registration memorandums on file?	Yes / No
6a	How much of your time is spent on production?	Number
6b	How much of your time is spent on administration?	Number
7	Are any Financial Advisors providing services and/or products not affiliated with Smith Barney?	Yes / No
7a	If yes, please list name(s):	Text
8	Are there any Financial Advisors who conduct business in another location?	Yes / No
8a	If there any Financial Advisors who conduct business in another location:	Text
8b	Location	None



# Individuals Not Completed Survey

Branch Code: C08

Year: 2018

Exam Name: C08- 2017 RR

Branch Name: Tri States

Role: RR

Questionnaire: 2017 RR

Report Generated: 12-Dec-2017 13:12:12 EST

Total: 4 records / 10

SOEID	Individual Name	Tile	Status	Start Date	% Completion
KD75318	Doshi, Kinil		Not Started		
AS35678	Ali, Smith		In Progress	12-Dec-2017	50%
GT57684	Gorge, Truce		Not Started		
SM45792	Scott, Matt		Not Started		



# Branch Exception Report

Branch Code: C08

Year: 2018

Exam Name: C08- 2017 RR

Branch Name: Tri States

Role: RR

Questionnaire: 2017 RR

Report Generated: 12-Dec-2017 13:12:12 EST

Total: 5 records

SOEID: KD75318

Name: Doshi, Kinil

Submitted: Dec 15, 2017

Question NO	Question	Answer
1	Do you hold outside positions which may create conflict of interest?	YES
4	Do you lock all the important documents in drawer?	NO
4a	Reason why you don't lock	I forgot

SOEID: AS35678

Name: Albert, Smith

Submitted: Jan 04, 2017

Question NO	Question	Answer
15	Does your spouse hold any brokerage account?	Yes
15a	List all the account details	JP Morgan    153451





# Individual Exception Report

Branch Code: C08

Year: 2018

Exam Name: C08- 2017 RR

SOEID: kd75318

Branch Name: Tri States

Role: RR

Questionnaire: 2017 RR

Name: Doshi, Kinil

Report Generated: 12-Dec-2017 13:12:12 EST

Total: 3 records

Submitted: Dec 15, 2017

Question NO	Question	Answer
1	Do you hold outside positions which may create conflict of interest?	YES
4	Do you lock all the important documents in drawer?	NO
4a	Reason why you don't lock	I forgot



# Individual Questionnaire Report

Branch Code: C08

Year: 2018

Exam Name: C08- 2017 RR

SOEID: kd75318

Branch Name: Tri States

Role: RR

Questionnaire: 2017 RR

Name: Doshi, Kinil

Report Generated: 12-Dec-2017 13:12:12 EST

Total: 120 Questions

Submitted: Dec 15, 2017

Question #	Question	Answer
1	How long have you been Manager in this branch?	5 Yrs
2	Who is in charge of the office in your absence?	Memphis
3	What registrations does this person(s) have?	3 7 6 3 65
4	Is there a memo outlining those supervisory duties which you have delegated in your absence to other qualified personnel?	Yes
5	Are there any supervisory state registration memorandums on file?	No
6a	How much of your time is spent on production?	90%
6b	How much of your time is spent on administration?	10%
7	Are any Financial Advisors providing services and/or products not affiliated with Smith Barney?	No
7a	If yes, please list name(s):	
8	Are there any Financial Advisors who conduct business in another location?	No
8a	If there any Financial Advisors who conduct business in another location:	None
8b	Location	None
8c	What procedures are in place to verify that the location(s) are supervised?	None
8d	How often is/are the location(s) visited by you?	None

# Specific Question Report

Branch Code: C08

Year: 2018

Exam Name: C08- 2017 RR

Question ID: 5

Branch Name: Tri States

Role: RR

Questionnaire: 2017 RR

Report Generated: 12-Dec-2017 13:12:12 EST

Total: 4 Answers

Question ID: 5

Name: What is the location where you are positioned at?

SOEID	Individual Name	Answer	Submitted on
KD75318	Doshi, Kinil	Manhattan	12 Jan, 2018
AS35678	Ali, Smith	Los Angeles	05 Jan, 2018
GT57684	Gorge, Truce	Chicago	27 Dec, 2017
SM45792	Scott, Matt	Manhattan	15 Dec, 2017

# Specific Question Answer Report

Branch Code: C08

Year: 2018

Exam Name: C08- 2017 RR

Question ID: 6

Branch Name: Tri States

Role: RR

Questionnaire: 2017 RR

Answer: Yes

Report Generated: 12-Dec-2017 13:12:12 EST

Total: 4 Answers / 10

Question ID: 5

Name: Do you lock you file cabinet

Answer: Yes

SOEID	Individual Name	Submitted on
KD75318	Doshi, Kinil	12 Jan, 2018
AS35678	Ali, Smith	05 Jan, 2018
GT57684	Gorge, Truce	27 Dec, 2017
SM45792	Scott, Matt	15 Dec, 2017



# Management Entitlement Report

Role: Examiner

Report Generated: 12-Dec-2017 13:12:12 EST

Total: 4 records

SOEID	Individual Name	Tile	Status	Start Date	% Completion
KD75318	Doshi, Kinil		Not Started		
AS35678	Ali, Smith		In Progress	12-Dec-2017	50%
GT57684	Gorge, Truce		Not Started		
SM45792	Scott, Matt		Not Started		

# Management Entitlement Report

Role: OSJ Management

Branch Code: C12

Report Generated: 12-Dec-2017 13:12:12 EST

Total: 2 records

SOEID	Individual Name	Branch Code	Branch Name
KD75318	Doshi, Kinil	C12	New York
AS35678	Ali, Smith	C12	New York

# Management Entitlement Report

Role: OSJ Management

Branch Code:

Report Generated: 12-Dec-2017 13:12:12 EST

Total: 4 records

SOEID	Individual Name	Branch Code	Branch Name
KD75318	Doshi, Kinil	C06	Boston
KD75318	Doshi, Kinil	C10	New Jersey
KD75318	Doshi, Kinil	C12	New York
AS35678	Ali, Smith	C12	New York

# Entitlement Report

Branch Code: C08

Branch Name: Tri States

Year: 2018

Report Generated: 12-Dec-2017 13:12:12 EST

Total: 4 Individuals

SOEID	Individual Name	Role	Exam	Questionnaire
KD75318	Doshi, Kinil	RR	C08-2018-R	2018-RR
AS35678	Ali, Smith	RR	C08-2018-R	2018-RR
GT57684	Gorge, Truce	CSA	C08-2018-C	2018-CSA
SM45792	Scott, Matt	CSA	C08-2018-C	2018-CSA

# Additional Slides

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DASHBOARD

ASSIGNED QUESTIONNAIRE

MY TRANSCRIPTS

Individual Respondent

Assigned Questionnaire

RR

RR 2018

C02 - Los Angeles Metro

START QUESTIONNAIRE

Assigned Date :  
13-12-2017

Due Date:  
29-12-2017

Completion Date:  
-

0/110 Questions

RR

RR 2018

C02 - Los Angeles Metro

RESUME QUESTIONNAIRE

Assigned Date :  
13-12-2017

Due Date:  
29-12-2017

Completion Date:  
-

80/110 Questions

RR

RR 2018

C02 - Los Angeles Metro

COMPLETED QUESTIONNAIRE

Assigned Date :  
13-12-2017

Due Date:  
29-12-2017

Completion Date:  
-

110/110 Questions

Branch Code		Exam Name	Assigned Date	Due Date	Start Exam	Completed Date	Assignment Status
C02	C061 Los Angelese Metro	RR-2018	23-Dec-2017	23-Dec-2017	Start - →		Pending
C03	Central valley	RR- 2018	23-Dec-2017	23-Dec-2017	Resume - →		Onhold
C02	Sand Diego, Surrounding Areas and Las Vegas	RR-2018	23-Dec-2017	23-Dec-2017		23-Dec-2017	Completed
C03	Washington D.C., Maryland and Virginia	RR-2018	23-Dec-2017	23-Dec-2017		23-Dec-2017	Completed
C02	Regional Sales-NY	RR-2018	23-Dec-2017	23-Dec-2017		23-Dec-2017	Completed
C03	Manhattan South	RR-2018	23-Dec-2017	23-Dec-2017		23-Dec-2017	Completed
C02	Sand Diego, Surrounding Areas and Las Vegas	RR-2018	23-Dec-2017	23-Dec-2017		23-Dec-2017	Completed
C03	Washington D.C., Maryland and Virginia	RR-2018	23-Dec-2017	23-Dec-2017		23-Dec-2017	Completed
C02	Regional Sales-NY	RR-2018	23-Dec-2017	23-Dec-2017		23-Dec-2017	Completed
C03	Manhattan South	RR-2018	23-Dec-2017	23-Dec-2017		23-Dec-2017	Completed



INDIVIDUAL RESPONDENT

Currently Assigned Questionnaire

RR

RR 2018

C02 - Los Angeles Metro

START QUESTIONNAIRE

Assigned Date :  
13-12-2017

Due Date:  
29-12-2017

Completion Date:  
-

0/110 Questions

RR

RR 2018

C03 – Manhattan South

RESUME QUESTIONNAIRE

Assigned Date :  
13-12-2017

Due Date:  
29-12-2017

Completion Date:  
-

80/110 Questions

RR

RR 2018

C02 - Los Angeles Metro

COMPLETED QUESTIONNAIRE

Assigned Date :  
13-12-2017

Due Date:  
29-12-2017

Completion Date:  
26-12-2017

[View Submitted Questionnaire](#)

110/110 Questions

My Transcripts

Branch Code	Branch Name	Exam Name	Role	Assigned Date	Due Date	Completed Date	Assignment Status
C01	Washington D.C., Maryland and Virginia	RR-2017	RR	23-Dec-2017	01-Jan-2018	01-Jan-2017	Completed
C02	Regional Sales-NY	RR-2017	RR	23-Dec-2017	23-Jan-2018	30-Dec-2017	Completed
C03	Manhattan South	CSA-2016	CSA	23-Dec-2016	31-Dec-2016	25-Dec-2016	Completed



## Assigned Questionnaire

RR

## RR 2018

C02 - Los Angeles Metro

0/110 Questions

START QUESTIONNAIRE

Assigned Date : 13-12-2017

Due Date: 29-12-2017

Completion Date: -

RR

## RR – March 2017

C02 - Los Angeles Metro

30/50 Questions

RESUME QUESTIONNAIRE

Assigned Date : 10-10-2017

Due Date: 29-12-2017

Completion Date: -

CSA

## CSA – June 2016

C02 - Los Angeles Metro

50/50 Questions

COMPLETED QUESTIONNAIRE

Assigned Date : 13-12-2016

Due Date: 29-12-2016

Completion Date: 15-12-2016

RR

## RR – May 2015

C02 - Los Angeles Metro

50/50 Questions

COMPLETED QUESTIONNAIRE

Assigned Date : 13-12-2015

Due Date: 29-12-2015

Completion Date: 15-12-2015

## RR – J

C02 - Los

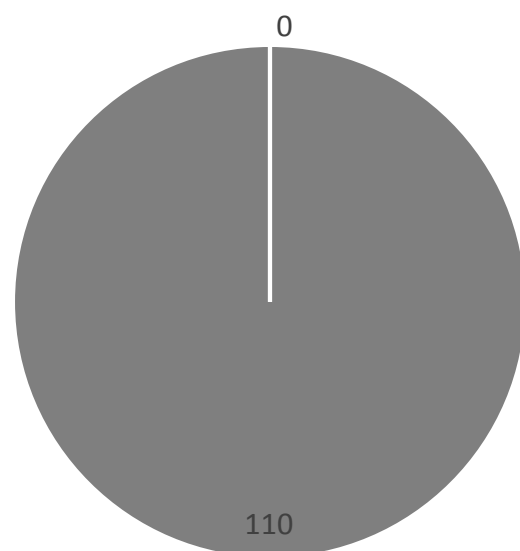
COMPLETED

Assigned Date

Due Date:

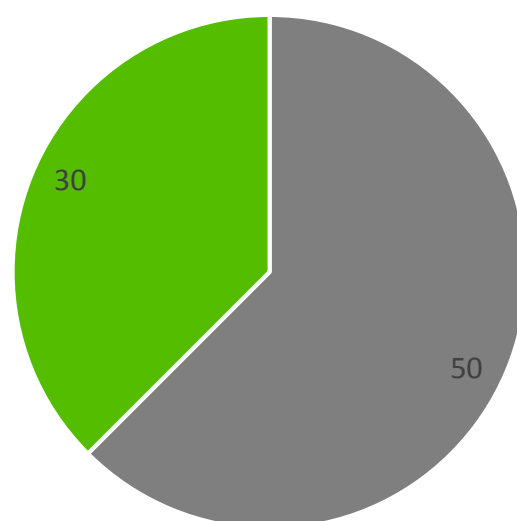
Completion Date:

## RR- 2018



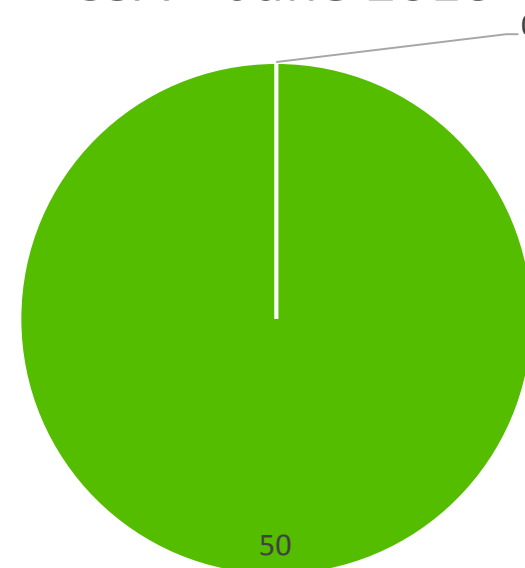
■ Unanswered ■ Answered

## RR- March 2017



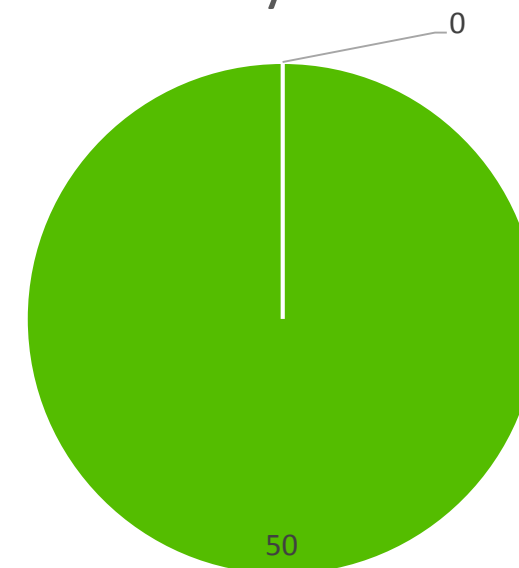
■ Unanswered ■ Answered

## CSA – June 2016



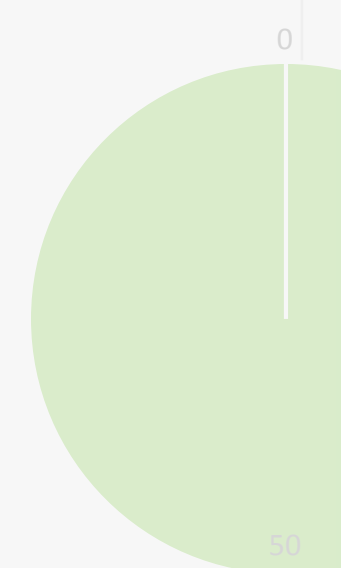
■ Unanswered ■ Answered

## RR- May 2015



■ Unanswered ■ Answered

## RR- Ju



■ Unanswered ■ Answered

DASHBOARD

ASSIGNED QUESTIONNAIRE

MY TRANSCRIPTS

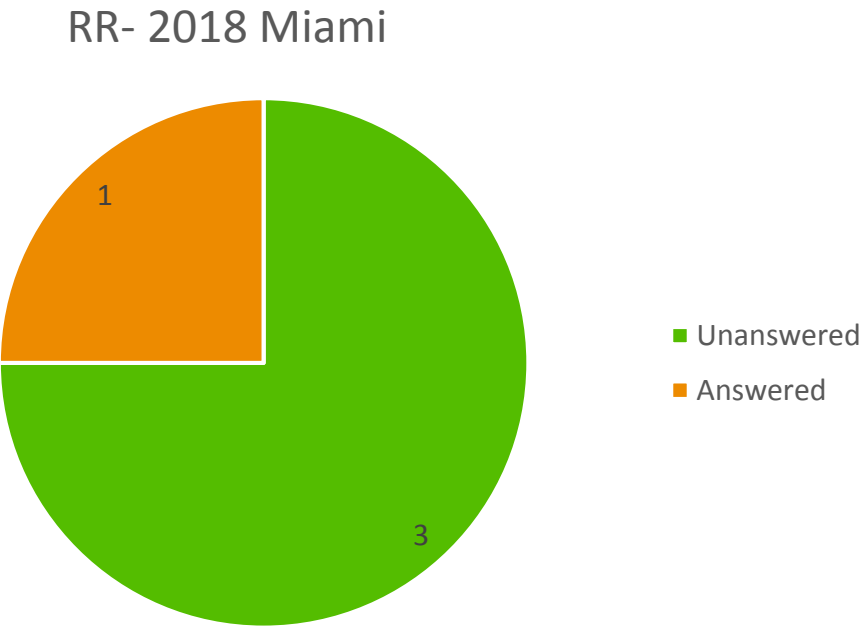
Individual Respondent

Assigned Questionnaire

Questionnaire

Grid Title							Page 1 of 89	
Branch Code		Exam Name	Assigned Date	Due Date	Start Exam	Completed Date	Assignment Status	
C02	C061 Los Angelese Metro	RR-2018	23-Dec-2017	23-Dec-2017	Start - →		Pending	
C03	Central valley	RR- 2018 Miami	23-Dec-2017	23-Dec-2017	Start - →		Pending	
C02	Sand Diego, Surrounding Areas and Las Vegas	RR-2018	23-Dec-2017	23-Dec-2017			Pending	
C03	Washington D.C., Maryland and Virginia	RR-2018	23-Dec-2017	23-Dec-2017	Resume - →		Onhold	
C02	Regional Sales-NY	RR-2018	23-Dec-2017	23-Dec-2017		23-Dec-2017	Attended	
C03	Manhattan South	RR-2018	23-Dec-2017	23-Dec-2017		23-Dec-2017	Attended	
C02	Illlinois and Texas	RR-2018	23-Dec-2017	23-Dec-2017		23-Dec-2017	Attended	
C03	QQueens and Long Island	RR-2018	23-Dec-2017	23-Dec-2017		23-Dec-2017	Attended	
C02	Westchester, Connecticut and Bronx	RR-2018	23-Dec-2017	23-Dec-2017			Pending	
C03	Northern California – Test	RR-2018	23-Dec-2017	23-Dec-2017		23-Dec-2017	Attended	

Your Progress



INDIVIDUAL RESPONDENT

RR RR 2018

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 Expand

 Collapse

 Reset

 Save

 Submit

 Cancel

1 of 40 | RR 2018

★ 1. Does your Citi work location have a fax machine available for your use (excluding home fax machines) or otherwise have direct access to, or own any fax machine that you use for business purposes?

Short answer text

- ☐ Show only Answered
- ☐ Show only Unanswered
- ☐ Show only Mandatory
- ☐ Show All Mandatory Unanswered
- ☒ Show All

Reset Filter

2 of 40 | RR 2018

2. Do you update all new account information for inherited Yes accounts prior to trading?

☒ Yes ☐ No

2a. Do you update all new account information for inherited Yes accounts prior to trading?

Name	Relationship	Date	Amount of the Loan
			

3 of 40 | RR 2018

3. Who has been delegated to receive and control Insurance manager policies delivered to/from the Branch?

Short answer text

Assigned Questionnaire

RR 2018

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Expand

Collapse

Reset

Save

Submit

Cancel

1 of 40 | RR 2018

1. Does your Citi work location have a fax machine available for your use (excluding home fax machines) or otherwise have direct access to, or own any fax machine that you use for business purposes?

Short answer text

2 of 40 | RR 2018

2. Do you update all new account information for inherited Yes accounts prior to transfer?

☒ Yes

☐ No

☐ Show only Answered

☐ Show only Unanswered

☐ Show only Mandatory

☐ Show All Mandatory Unanswered

☒ Show All

Reset Filter

2a. Please enter all your account details

Name	Relationship	Date	Amount of the Loan
			<div>+</div>

3 of 40 | RR 2018

3. Who has been delegated to receive and control Insurance manager policies delivered to/from the Branch?

Short answer text



DASHBOARD

ASSIGNED QUESTIONNAIRE

MY TRANSCRIPTS

HELP & SUPPORT

Individual Respondent

Assigned Questionnaire

RR 2018

All

Answered(39)

Unanswered (1)



Export



Submit



Cancel

RR 2018

1 of 40 Questions

1. Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

UNANSWERED

2 of 40 Questions

2. Have you or an immediate family member borrowed from or loaned money to or invested in the business of a current or former client(s) and/or Firm employee(s)? \*

ANSWERED

3 of 40 Questions

3. Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

UNANSWERED

4 of 40 Questions

4. Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

UNANSWERED

1 of 40 | RR 2018

1. Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

Short answer text

Save and Next

Next

DASHBOARD

ASSIGNED QUESTIONNAIRE

MY TRANSCRIPTS

Individual Respondent

Assigned Questionnaire

RR 2018

All

Answered(39)

Unanswered (1)



Export



Submit



Cancel

RR 2018

1 of 40 Questions

1. Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

UNANSWERED

2 of 40 Questions

2. Have you or an immediate family member borrowed from or loaned money to or invested in the business of a current or former client(s) and/or Firm employee(s)? \*

ANSWERED

3 of 40 Questions

3. Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

UNANSWERED

4 of 40 Questions

4. Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

UNANSWERED

2 of 40 | RR 2018

2. Have you or an immediate family member borrowed from or loaned money to or invested in the business of a current or former client(s) and/or Firm employee(s)? \*

☒ Yes

☐ No

2a Please fill the below provide details\*



Name	Relationship	Date	Amount of the Loan
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
			<div>+</div>

Previous

Save and Next

Next

DASHBOARD

TASKS

REPORTING

LINKS

Examination Management

Branch Management

Response Template

Questions Bank

Questionnaire

Examination

Questions Bank

New Question

Tracker

Export

Save

Submit

Cancel

Question Lists

Search for Questions



RR

Q 1035 | V1

Are you Graduated



1 Question



Yes



Type

RR



Add Child Questions

Q 1035-A | V0

Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?



1/1 Questions

Show When parent answer is

Yes



RR

Q 2634 | V0

Do you maintain partially completed or blank LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing correspondence or original order tickets for executed transactions?



RR

Q 646 | V0

Do you maintain partially completed or blank LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing correspondence or original order tickets for executed transactions?



CSA

Q 2234 | V0

Do you maintain partially completed or blank LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing correspondence or original order tickets for executed transactions?



CSA

Q 2234 | V0

Do you maintain partially completed or blank LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing correspondence or original order tickets for executed transactions?



CSA

Q 2234 | V0

Do you maintain partially completed or blank LOAs/Forms that have been signed by the client, unprocessed checks or securities, original incoming/outgoing correspondence or original order tickets for executed transactions?

DASHBOARD

TASKS

REPORTS

LINKS

 Examination Management

Questionnaire

Individual Not Completed  
Survey

Branch Exception  
Reports

Individual Exception  
Report

Individual Questionnaire  
report

Specific question report

RR

RR 2017 | 2018

Select Report

2018 ▾

Report Generated: 12-Dec-2017 13:12:12 EST

Question #		Question	Response Type / values
1		How long have you been Manager in this branch?	Text
2		Who is in charge of the office in your absence?	Text
3		What registrations does this person(s) have?	Text
4		Is there a memo outlining those supervisory duties which you have delegated in your absence to other qualified personnel?	Yes / No
5		Are there any supervisory state registration memorandums on file?	Yes / No
6a		How much of your time is spent on production?	Number
6b		How much of your time is spent on administration?	Number
7		Are any Financial Advisors providing services and/or products not affiliated with Smith Barney?	Yes / No
	7a	If yes, please list name(s):	Text
8		Are there any Financial Advisors who conduct business in another location?	Yes / No
	8a	If there any Financial Advisors who conduct business in another location:	Text
	8b	Location	None

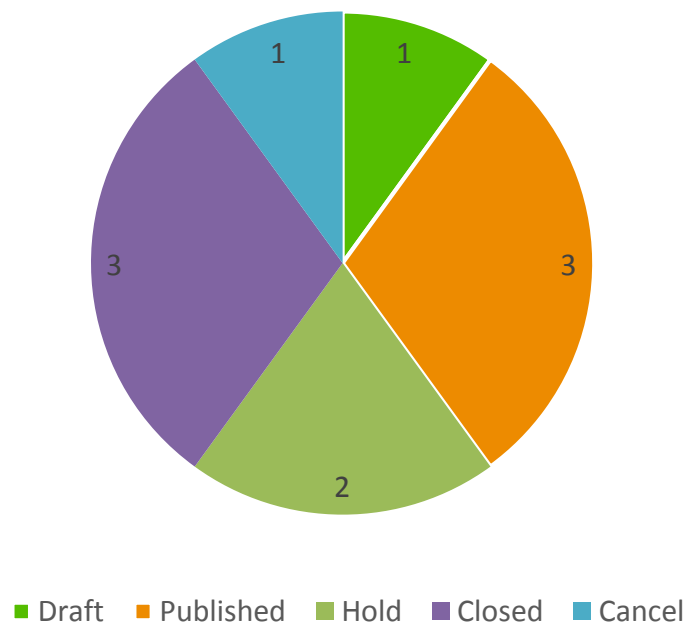
# Previous Designs

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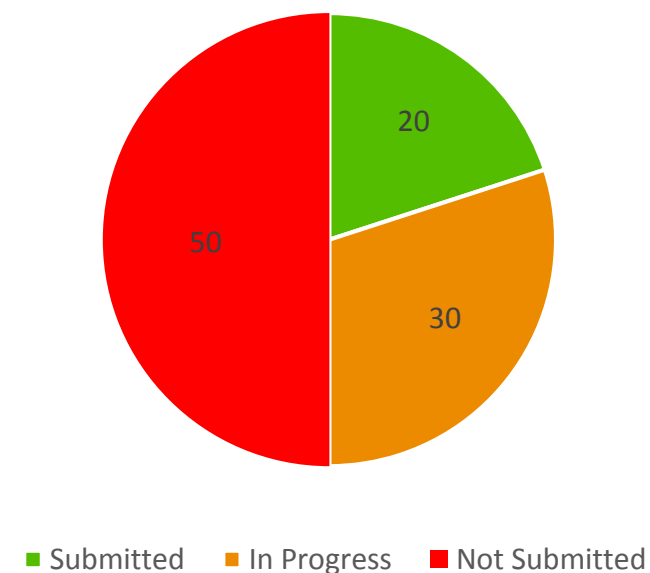


Year 2018 ▾

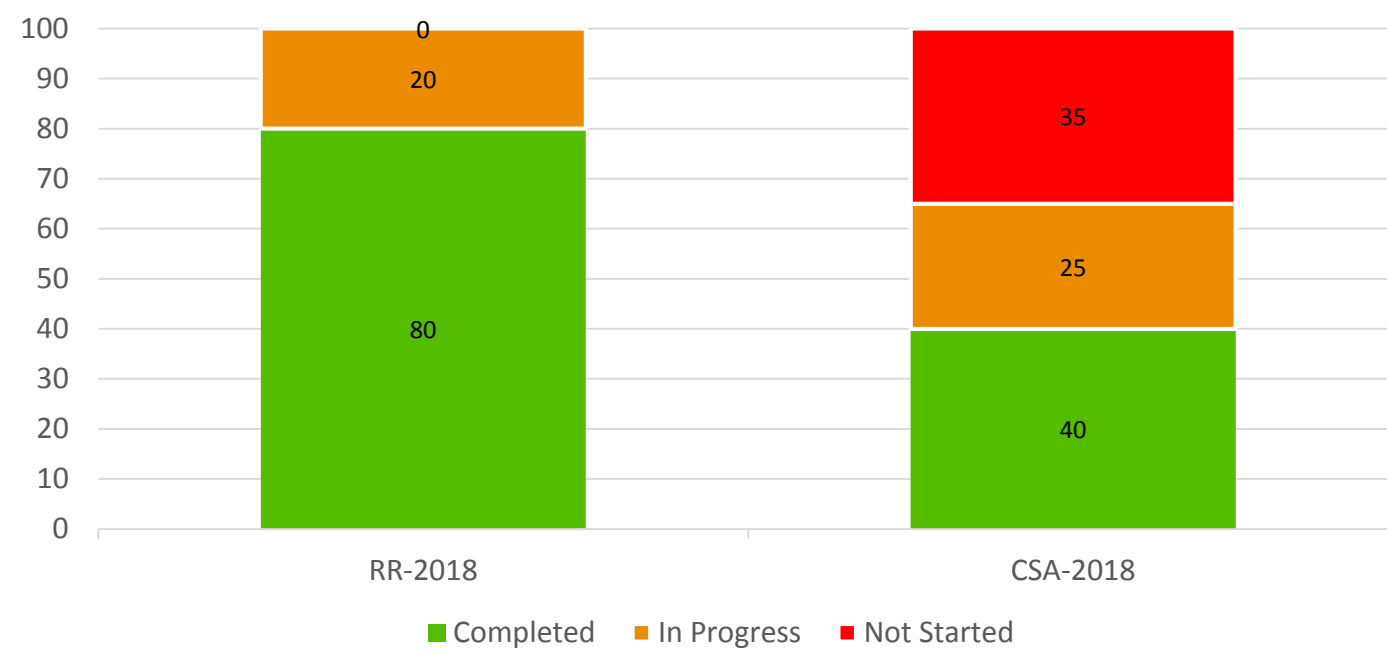
## Exam Status Distribution



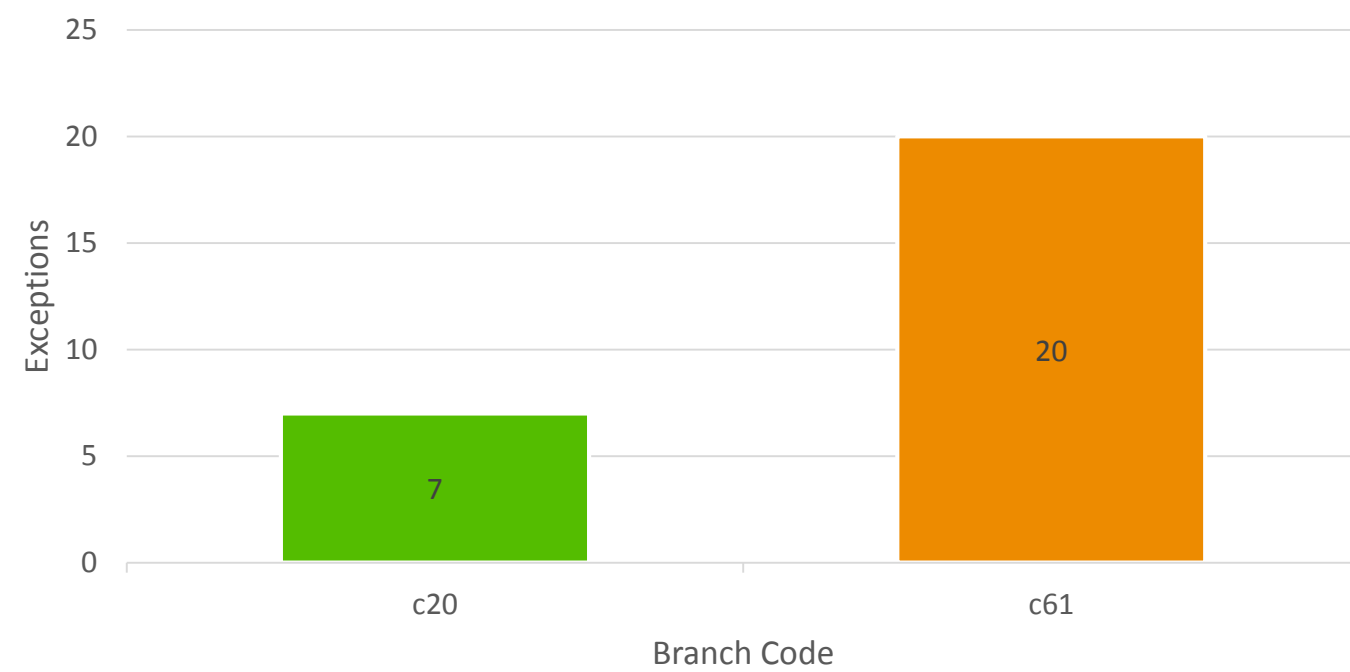
## Questionnaire Submission Status



## Published Questionnaire Status



## Branch Exceptions





1 of 40 | RR 2018

1. Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

Short answer text

2 of 40 | RR 2018

2. Do you update all new account information

☒ Yes

☐ No

2a. Do you update all new account information

Name	Relationship	Responsible Person

3 of 40 | RR 2018

3. Who has been delegated to receive and control Insurance manager policies delivered to/from the Branch?

Short answer text

Mandatory Questions

Please provide response to all the mandatory questions in order to proceed further

OK