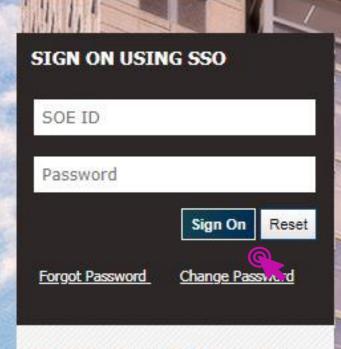
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For questions & feedback, reach

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*Citi Controls Support

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.

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Home

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.

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Risk Appetite and Metrics

Audit 360

Regulatory Management

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What Information are you looking for?

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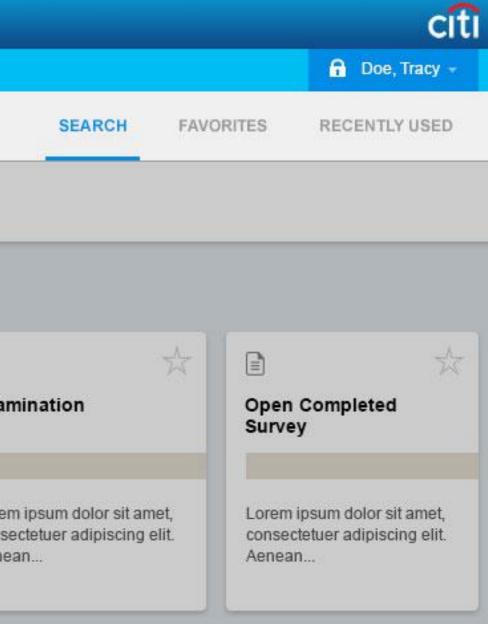


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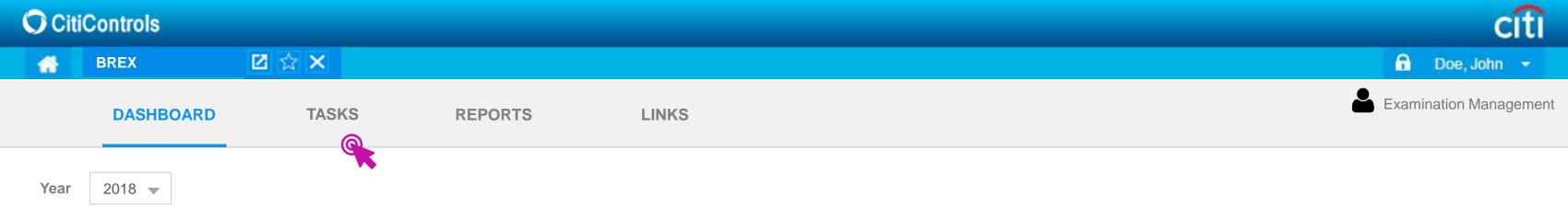
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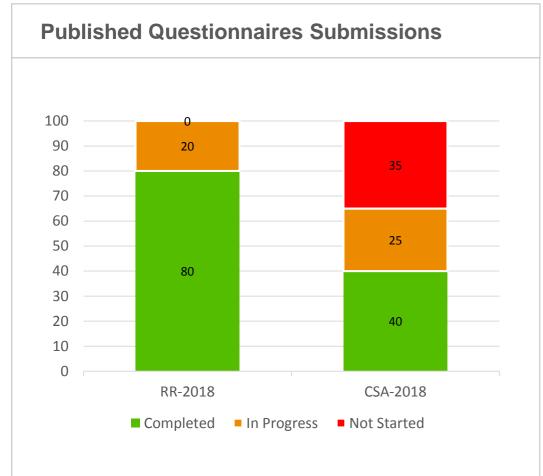


Examination Management

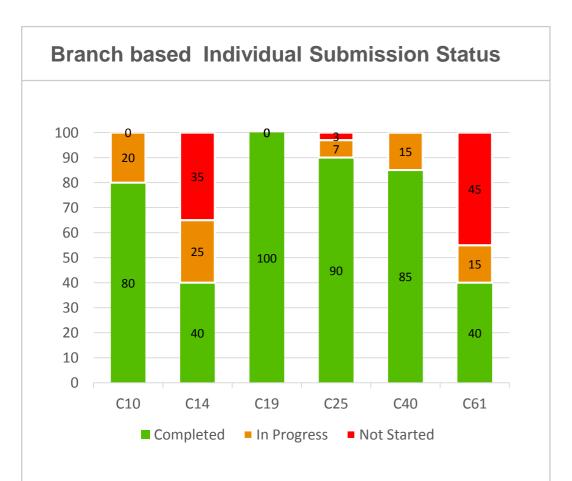




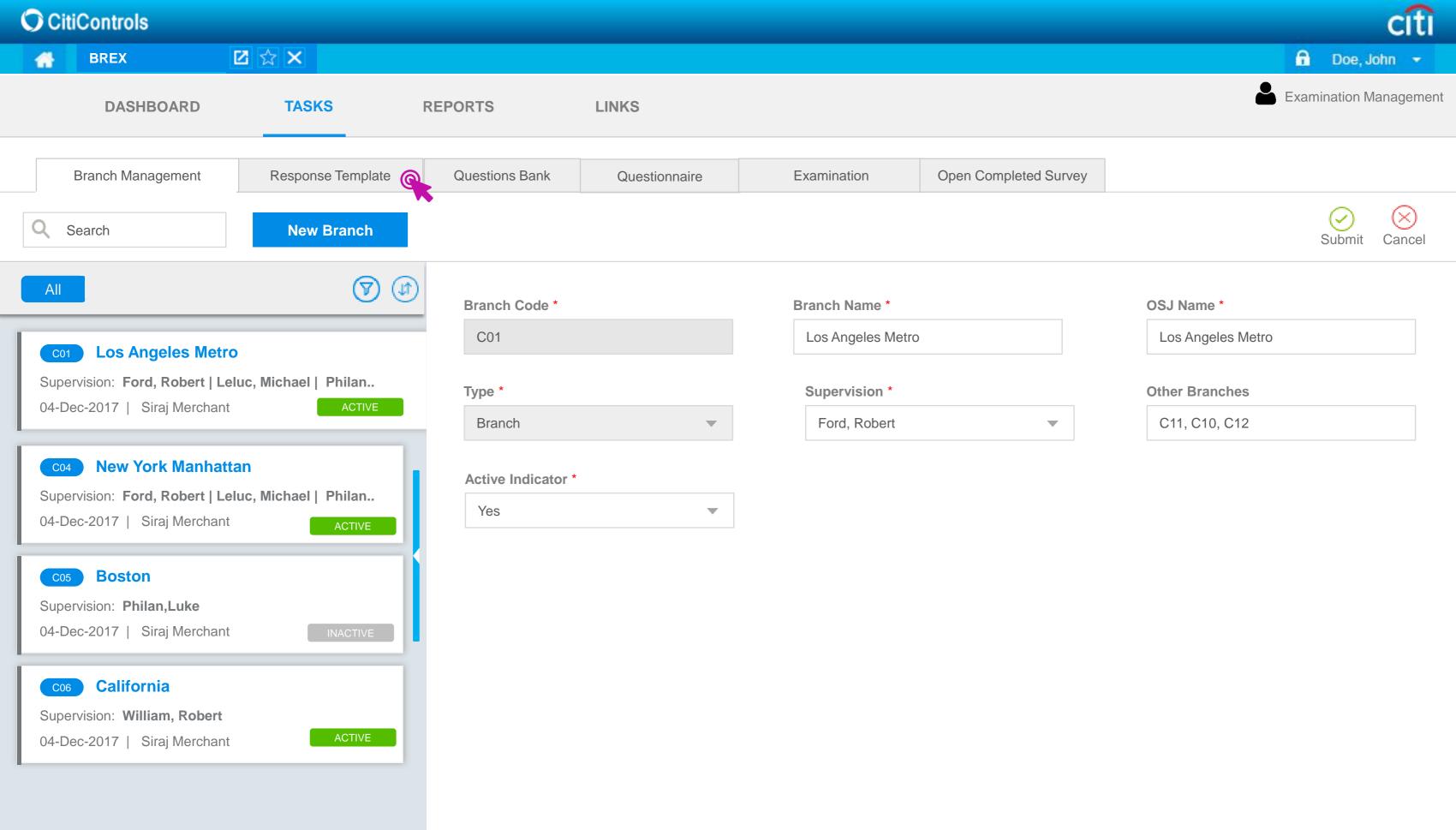












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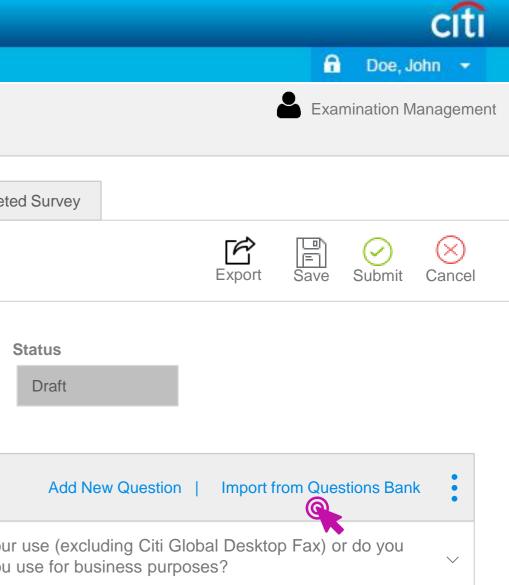
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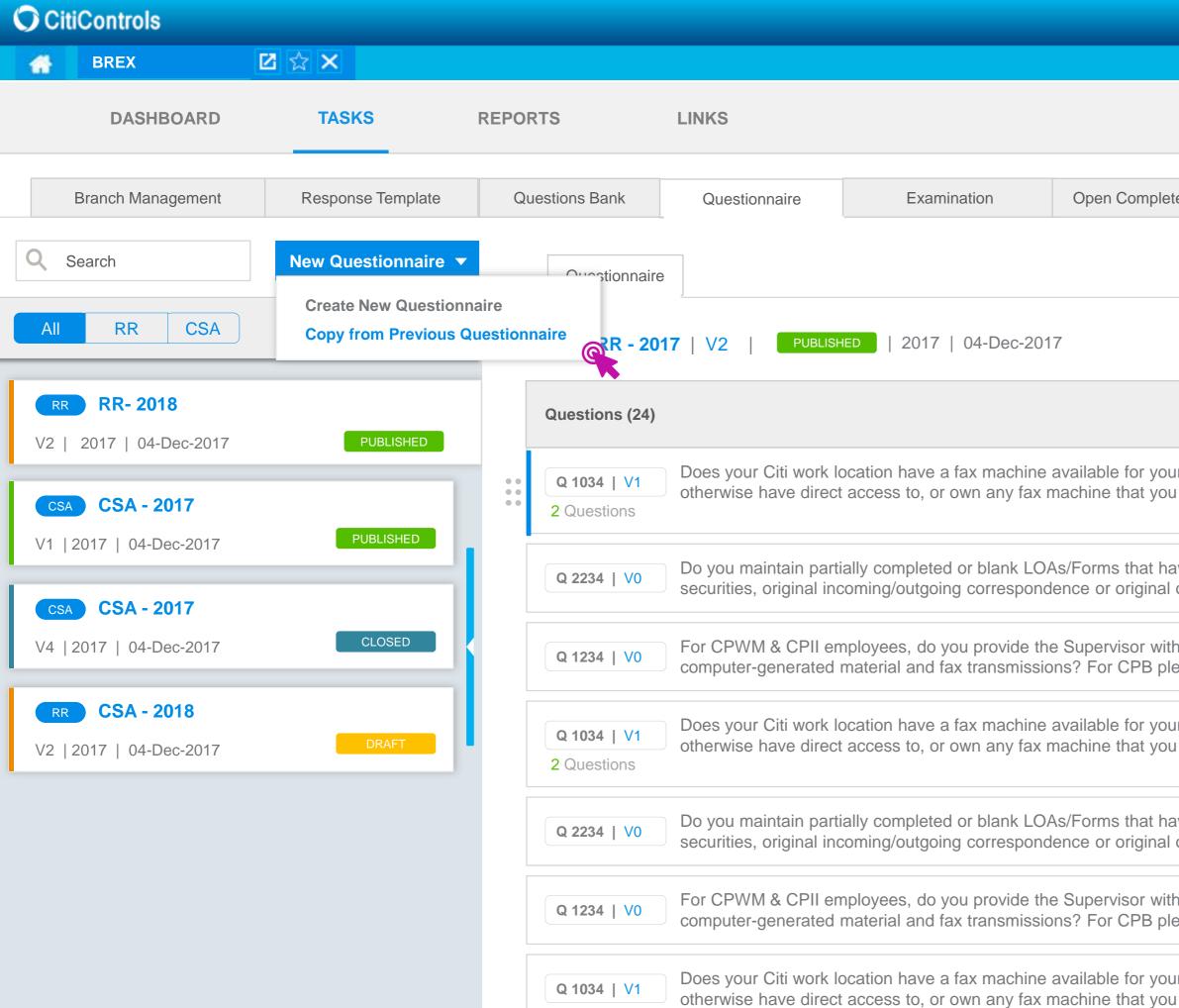
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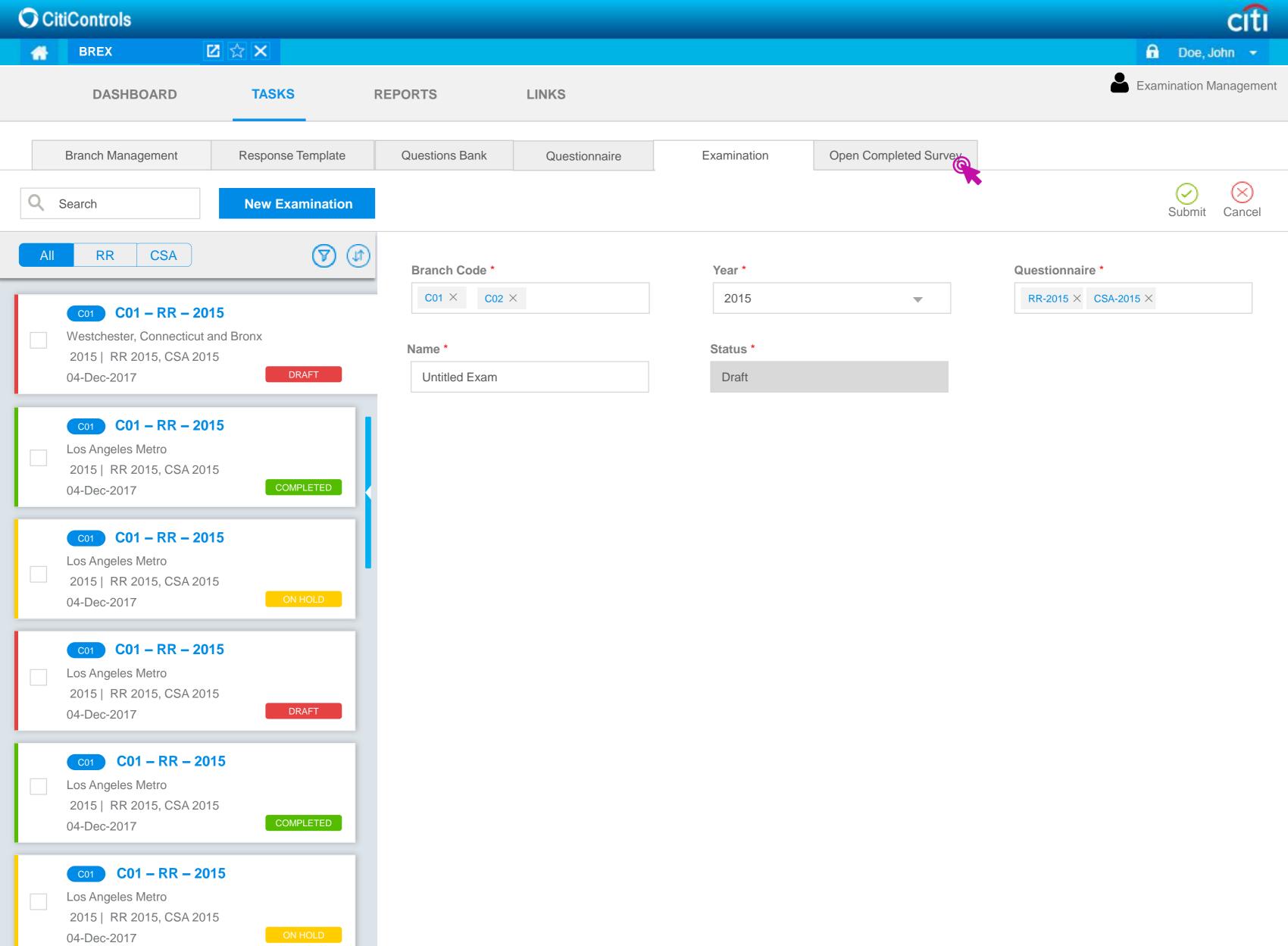
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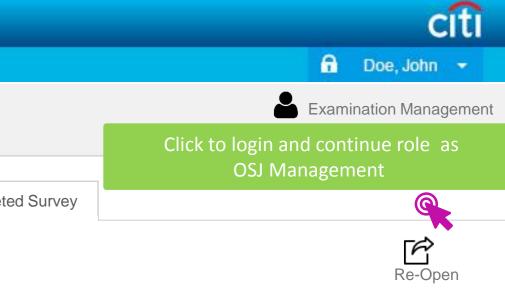
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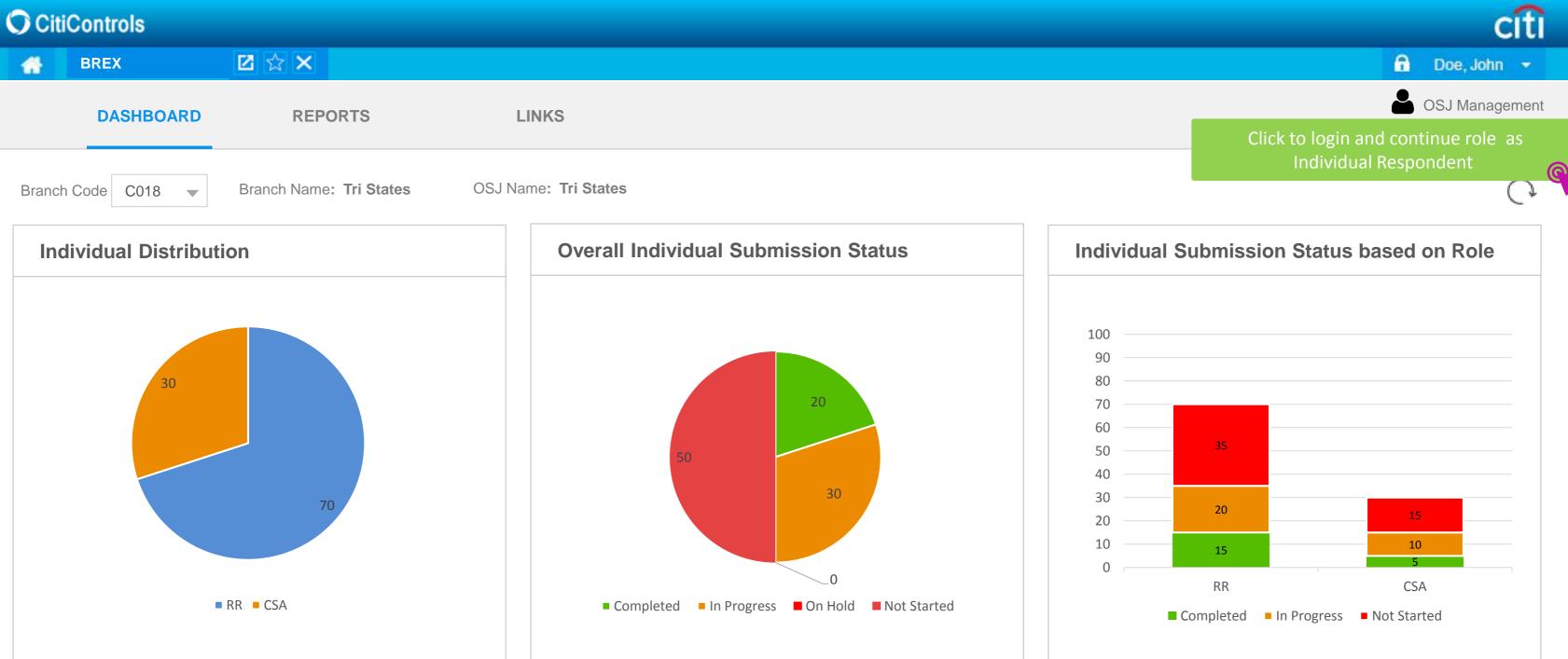
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	Branch Name	Questionnaire	Exam	SOEID	Individual Name	Role	Start Exam	Completed Date
	C08- NYC	RR-2018	C08-RR-2018	KD75318	Doshi, Kinil	RR	12-Dec-2017	22-Dec-2017
	C08- NYC	RR-2018	C08-RR-2018	AS35678	Ali, Smith	RR	12-Dec-2017	22-Dec-2017
	C10 Boston	RR-2018	C10-RR-2018	GT57684	Gorge, Truce	RR	13-Dec-2017	22-Dec-2017
	C12 Texas	CSA-2018	C12- CSA - 2018	SM45792	Scott, Matt	CSA	12-Dec-2017	22-Dec-2017



OSJ Management







Individual Details					A 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







INDIVIDUAL RESPONDENT

NO ASSIGNED QUESTIONNAIRE

BRANCH: **C02 - LOS ANGELES METRO** ROLE:

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

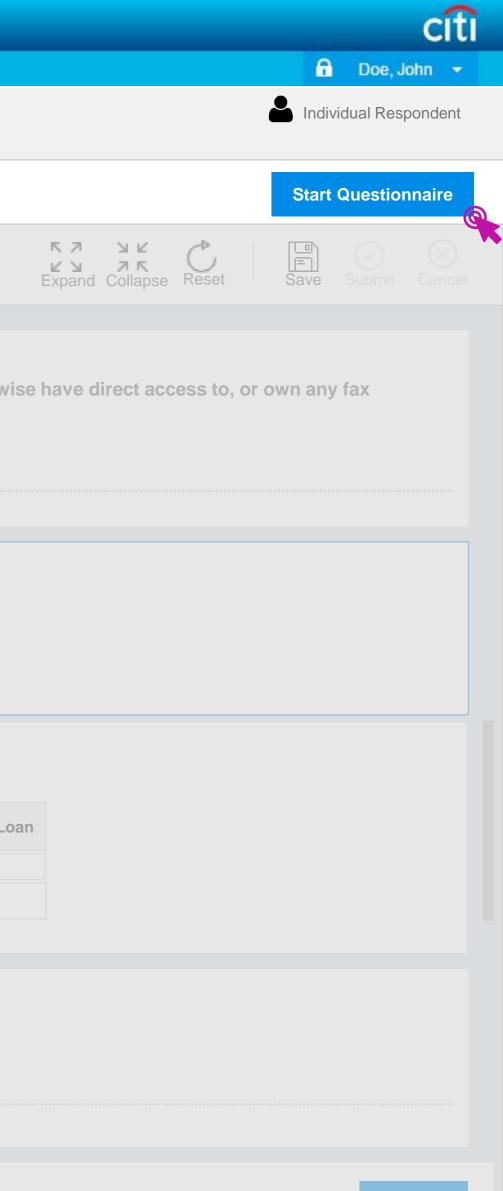
Click to view assigned Questionnaire





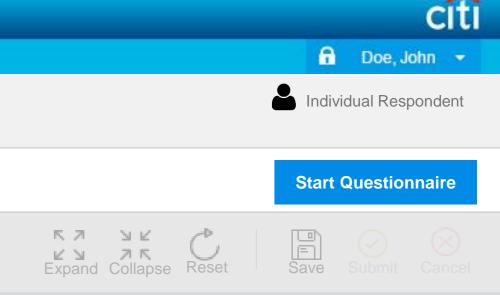
CLIENT SERVICE ASSOCIATE (CSA)

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INDIVIDUAL RESPONDENT			
RR 2018 C10			
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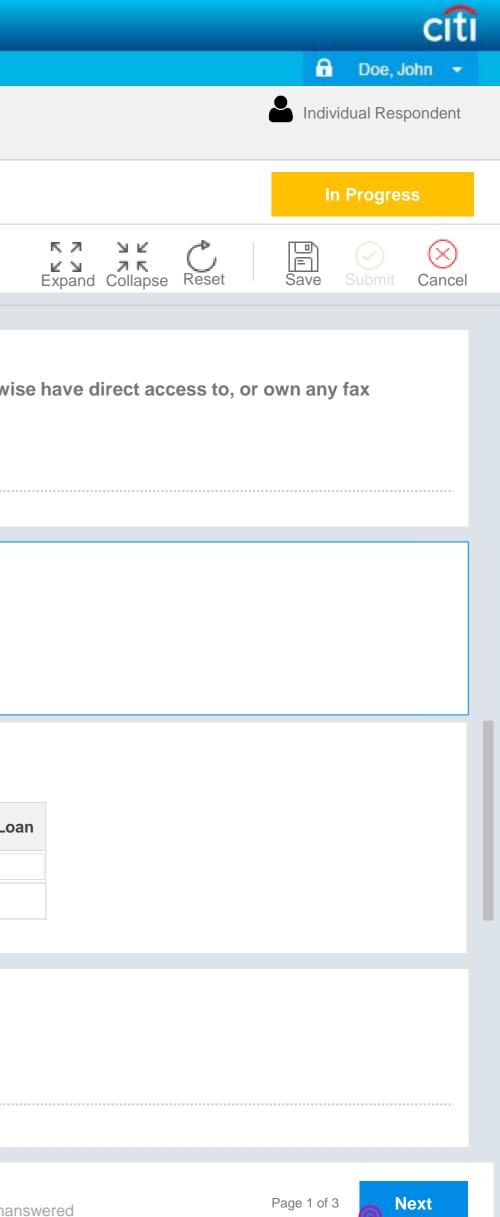


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machine that you use for business purposes?	hine available for your use (excluding Citi Global Desktop Fax) or do you ot	nerwise have direct access to, or own any fax
Short answer text	Confirm your role	
2 of 40 RR 2018 2. Do you update all new account information Yes No	You are listed as Registered Representative (RR). Is this your correct role? <u>Note</u> : If your role is not correct please contact your OSJ Management (<u>BREX Citi Marketplace</u>) to get your role	
2a. Do you update all new account informatic	corrected before proceeding with answering the questionnaire	
Name Re	Yes No	pan
3 of 40 RR 2018 3. Who has been delegated to receive and cont Short answer text	rol Insurance manager policies delivered to/from the Branch?	





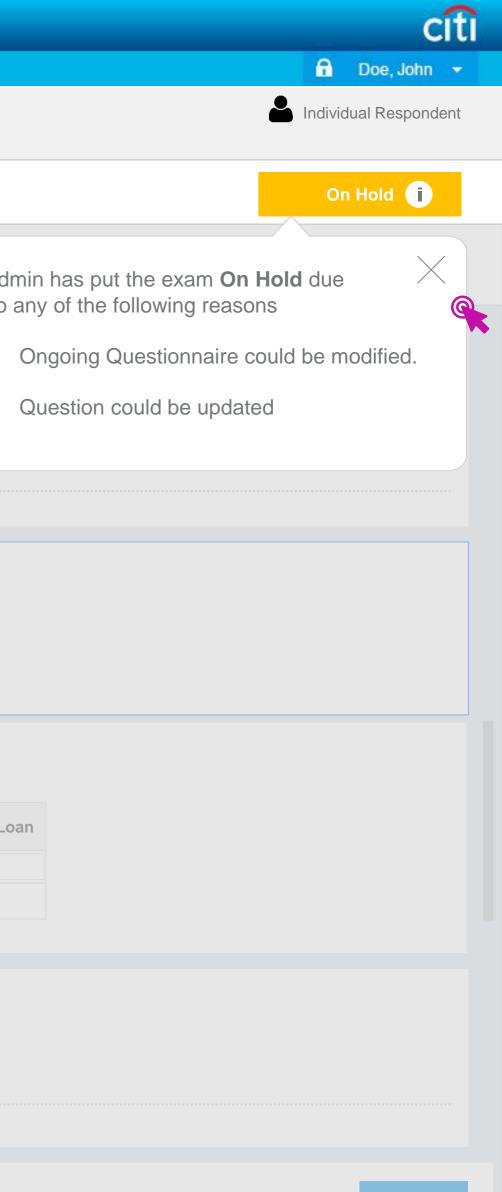
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1 of 40 RR 2018				Sho	ow only Answered	
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				Sho	ow only Mandatory	
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2 of 40 RR 2018				Sho	ow All	
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2. Do you upda		ormation for inherited Y	es accounts prio	r	Reset Filter	
\sim	ate all new account inf	ormation for inherited Y	es accounts prio	pr	Reset Filter	
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• Yes	ate all new account inf No		Ves accounts prio	pr	Reset Filter	Amount of th
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Yes Sof 40 RR 2018 Sof 40 RR 2018	ate all new account inf No ter all your account de	etails below	Date			Amount of the
Yes Yes Name S of 40 RR 2018	ate all new account inf No ter all your account de	etails below Relationship	Date			Amount of th
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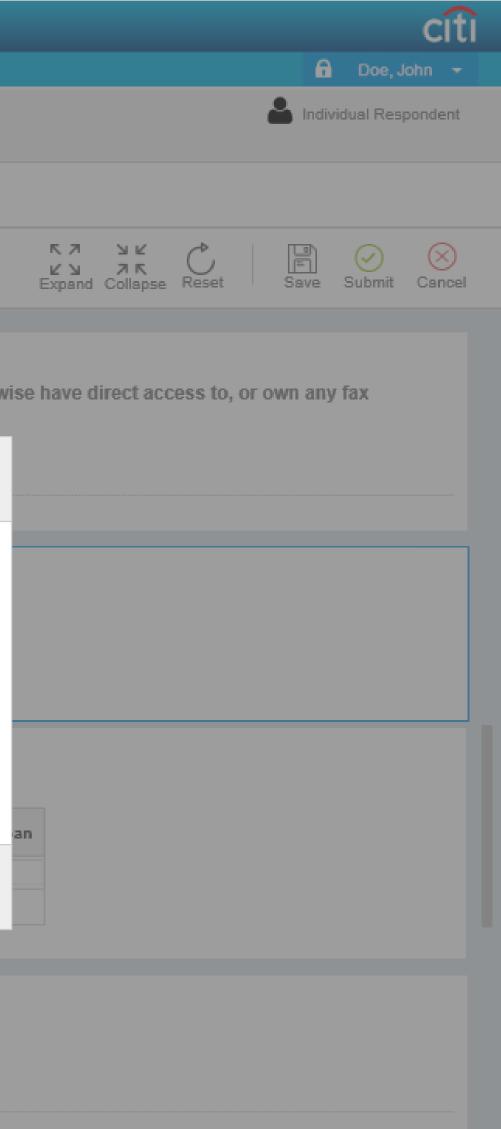
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	work location have a fax use for business purpos		your use (excludii	ng Citi Global	Desktop Fax) or do you	•
2 of 40 RR 2018 2. Do you update Yes	all new account information	tion for inherited Yes a	ccounts prior to t	rading?*		
2a. Do you upda	te all new account inform	nation for inherited Yes	accounts prior to	trading?		
Name		Relationship	Date		Amount	of the L
3 of 40 RR 2018 3. Who has been Short answer text	delegated to receive and	control Insurance man	ager policies deliv	vered to/from t	the Branch?	

23

17



CitiControls Complian	ice Risk Assessment			
BREX.				
DASHBOARD	ASSIGNED QUESTIONN	AIRE MY TRANSCRIPTS		
Assigned Questionnaire	RR 2018			
1 2 3 4	5 6 7 8	9 10 11 12	13 14 15 🍞	
	ork location have a fax mac se for business purposes?	hine available for your use (e)	cluding Citi Global Desktop Fa	ix) or do you otherw
Short answer text		Summary		\times
• Yes • No	I new account information all new account informatic Re	Once submitted, no cl	tional questions unanswhanges can be done. Are ywant to proceed?	
3 of 40 RR 2018 3. Who has been del Short answer text	egated to receive and cont	rol Insurance manager policie	es delivered to/from the Branch	?
		23	17	

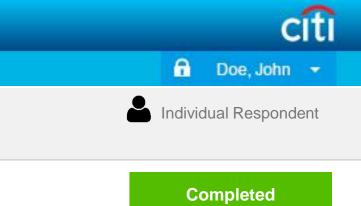


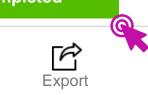


INDIVIDUAL RESPONDENT

RR RR 2018 | C10

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?	376365
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



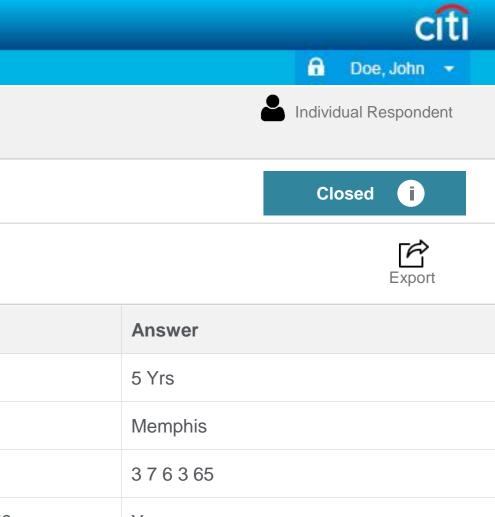




INDIVIDUAL RESPONDENT

RR RR 2018 | C10

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?	376365
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-
Branch Name: Tri States	Role: RR	Questionnaire: 20

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

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		



2017 RR

)17 RR

Total: 4 records / 10



Branch Exception Report

	Branch Code: C08	Year : 2018	Exam Name: C08-
	Branch Name: Tri States	Role: RR	Questionnaire: 201
Report Gen	erated: 12-Dec-2017 13:12:12 EST		
SOEID: KD75	5318 Name: Dos	hi, Kinil	Submitted: Dec 15, 2017
Question NO	Question		
1	Do you hold outside positions which may	create conflict of interest?	
4	Do you lock all the important documents in drawer?		
4a	Reason why you don't lock		

SOEID: AS3567	8 Name : Albert, Smith	Submitted: Jan 04, 2017
Question NO	Question	
15	Does your spouse hold any brokerage account?	
15a	List all the account details	

2017 RR

17 RR

Total: 5 records

Answer
YES
NO
I forgot

Answer	
Yes	
JP Morgan	153451



Individual 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

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: kd75318

Name: Doshi, Kinil

Total: 3 records



Individual Questionnaire 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

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?	376365
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



SOEID: kd75318

Name: Doshi, Kinil

Total: 120 Questions

Specific Question 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

Question ID: 5

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

SOEID	Individual Name	Answer
KD75318	Doshi, Kinil	Manhattan
AS35678	Ali, Smith	Los Angeles
GT57684	Gorge, Truce	Chicago
SM45792	Scott, Matt	Manhattan

Question ID: 5

Total: 4 Answers

Submitted on
12 Jan, 2018
05 Jan, 2018
27 Dec, 2017
15 Dec, 2017

Specific Question Answer 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

Question ID: 5 Name: Do you lock you file cabinet		ne: 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



Question ID: 6

Answer: Yes

Total: 4 Answers / 10



Management Entitlement Report

Role: Examiner

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

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		



Total: 4 records

Management Entitlement Report

Role: OSJ Management

Branch Code: C12

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

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

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



Total: 2 records



Total: 4 records

Entitlement Report

Branch Code: C08

Branch Name: Tri States

Year: 2018

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

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

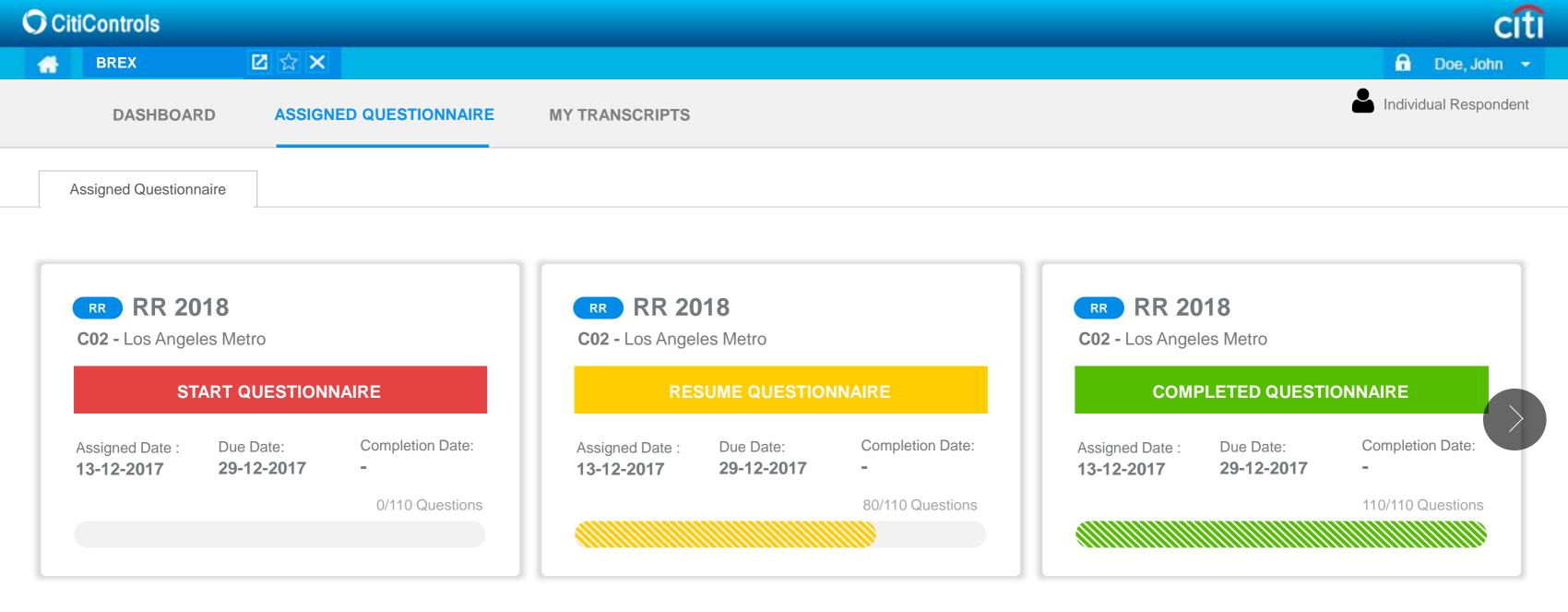




Additional Slides







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 - \rightarrow		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



BREX

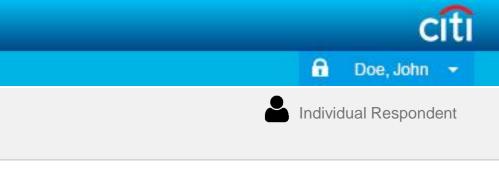
INDIVIDUAL RESPONDENT

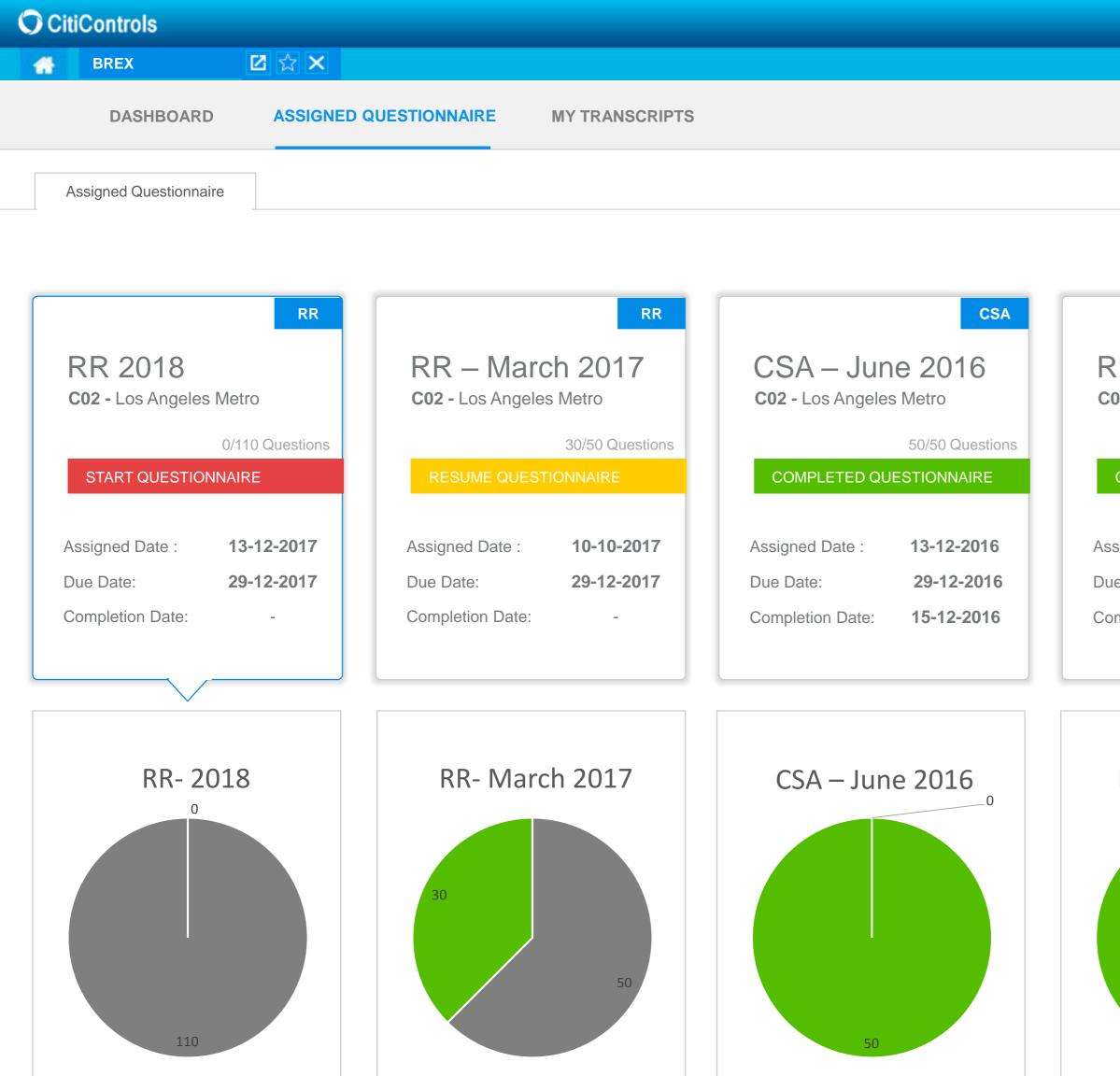




My Transcripts

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

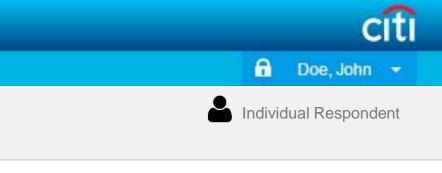




Unanswered Answered

Unanswered Answered

Unanswered Answered



RR	
RR — May 2015 02 - Los Angeles Metro	RR – J C02 - Los
50/50 Questions	0.00
COMPLETED QUESTIONNAIRE	COMPLEXED
asigned Date : 13-12-2015 ue Date: 29-12-2015 ompletion Date: 15-12-2015	Assigned Date Due Date: Completion Date:
RR- May 2015	RR- Ju o
50	50

Unanswered

Unanswered Answered

CitiControls

BREX

DASHBOARD

ASSIGNED QUESTIONNAIRE

MY TRANSCRIPTS

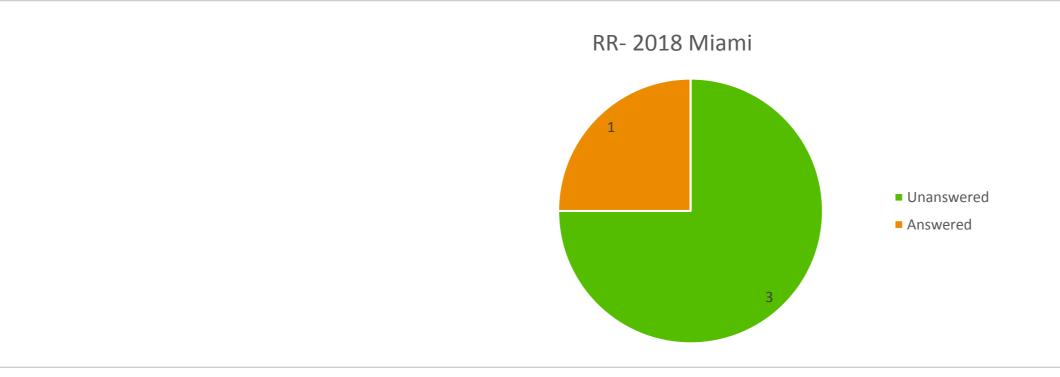
Assigned Questionnaire

Questionnaire

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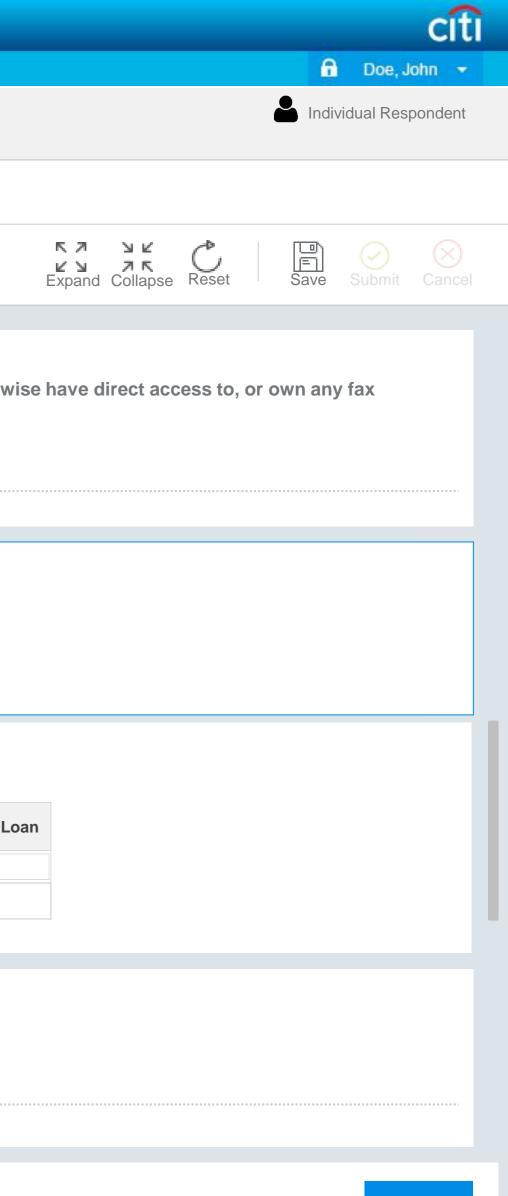
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Branch Code	Exam Name	Assigned Date	Due Date	Start Exam	Completed Date	Assignment Status
C02 C061 Los Angelese Metro	RR-2018	23-Dec-2017	23-Dec-2017	Start - →		Pending
C03 Central valley	RR- 2018 Miami	23-Dec-2017	23-Dec-2017	Start - \rightarrow		Pending
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 IIIlinois and Texas	RR-2018	23-Dec-2017	23-Dec-2017		23-Dec-2017	Attended
C03 QUeens 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





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1 of 40 RR 2018				Show only Answered	
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Short answer text				Show only Mandatory	
				. Show All Mandatory Unan	nswered
				Show All	
	e all new account info	ormation for inherited Ye	es accounts prior	t Reset Filter	
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2. Do you update	40	formation for inherited	Yes accounts prio		Amount
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 2. Do you update Yes N 2a. Do you update 	40	formation for inherited	Yes accounts prio		Amount
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2. Do you update Yes Name 3 of 40 RR 2018	Ate all new account in	nformation for inherited	Yes accounts prio	or to trading?	Amount
 2. Do you update Yes Name 3 of 40 RR 2018 3. Who has been of the second se	Ate all new account in	nformation for inherited	Yes accounts prio	or to trading?	Amount
 2. Do you update Yes Name 3 of 40 RR 2018 3. Who has been of the second se	Ate all new account in	nformation for inherited	Yes accounts prio	or to trading?	Amount





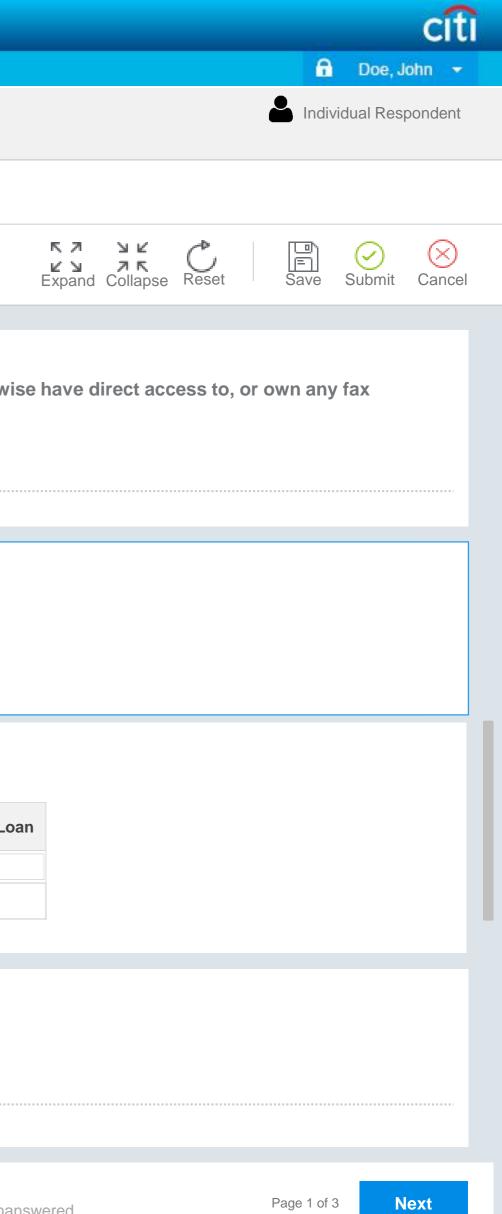
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	Short answer text						•	Show Show	/ All Mandatory Ui / All	nanswered
	2 of 40 RR 2018 2. Do you update all Yes No	new account information	ation for inher	ited Yes acc	ounts prie	or to t			Reset Filter	
	2a. Please enter all y	your account details								
										Amount of the
	Name		Relationship		Date					Amount of the

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

23



105

00	CitiControls						
*	BREX						
	DASHBOARD	ASSIGNED QUESTIONNAIRE	MY TRANSCRIPTS	HELP & SUPPORT			
	Assigned Questionnaire	RR 2018					
Al	Answered(39) Unar	nswered (1)	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

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 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

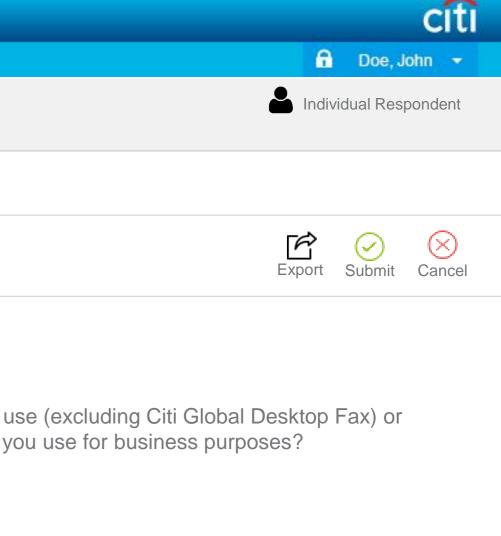
3 of 40 Questions

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?



Save and Next

Next

	Oc	itiControls		
	*	BREX	☑ ☆ ×	
		DASHBOARD	ASSIGNED QUESTION	NAIRE MY TRANSCRIPTS
		Assigned Questionnaire	RR 2018	
	All	Answered(39) Unar	nswered (1)	RR 2018
<text></text>		ar use (excluding Citi o you otherwise have any fax machine that poses?	2 of 40 RR 2018 2. Have you or an immediate family member borrowed from or loaned mone former client(s) and/or Firm employee(s)? * Yes No	
				No

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)? *

2a Please fill the below provide details*	\mathcal{G}		
Name	Relationship	Date	Amount of the Loan
			+

3 of 40 Questions

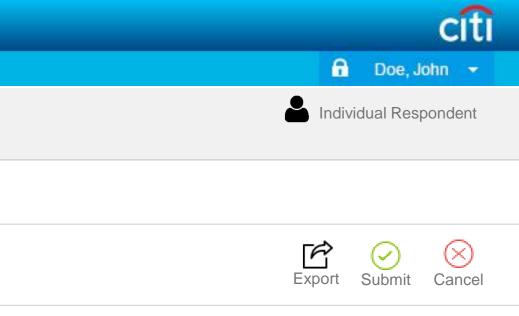
3. Does your Citi work location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherwise have direct access to, or own any fax machine that you use for business purposes?

UNANSWERED

ANSWERED

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?



to or invested in the business of a current or

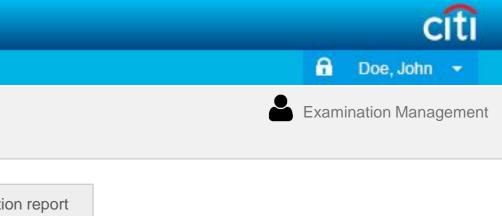
Save and Next

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BREX							🔒 Doe	e, John 🔫
DASHBOARD	TASKS	REPORTING	LINKS				Examination	n Managemen
Branch Management	Response Template	Questions Bank	Questionnaire	Examination				
Questions Bank	New Question					Tracker Export	Save Subm	it Cancel
Question Lists Q Sea	arch for Questions							\bigtriangledown
RR Q 1035 V1 1 Question	Are you Graduated							^
YesNo	$ imes$ ${\cal O}$				Type RR 💌	+	Add Child Que	
	es your Citi work location hav chine that you use for busine		le for your use (excluding	g Citi Global Desktop Fax) or	do you otherwise have direct a	ccess to, or own any	fax	~
1/1 Questions Show	w When parent answer is	es 🔻						
RR Q 2634 V0	Do you maintain partially correspondence or origina			signed by the client, unproce	ssed checks or securities, origi	nal incoming/outgoin	g	~
RR Q 646 V0	Do you maintain partially correspondence or origina			signed by the client, unproce	ssed checks or securities, origi	nal incoming/outgoin	g	\checkmark
CSA Q 2234 V0	Do you maintain partially correspondence or origina	-		signed by the client, unproces	ssed checks or securities, origin	nal incoming/outgoin	g	~
CSA Q 2234 V0	Do you maintain partially of correspondence or origination			signed by the client, unproces	ssed checks or securities, origir	al incoming/outgoing]	~
CSA Q 2234 V0	Do you maintain partially of correspondence or origination			signed by the client, unproces	ssed checks or securities, origin	nal incoming/outgoing	9	

CitiControls						
*	BREX	☑ ☆ ×				
	DASHBOARD	TASKS	REPORTS	LINKS		
				-		
	Questionnaire	Individual Not Completed Survey	Branch Exception Reports	Individual Exception Report	Individual Questionnaire report	Specific question
RF	RR 2017 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



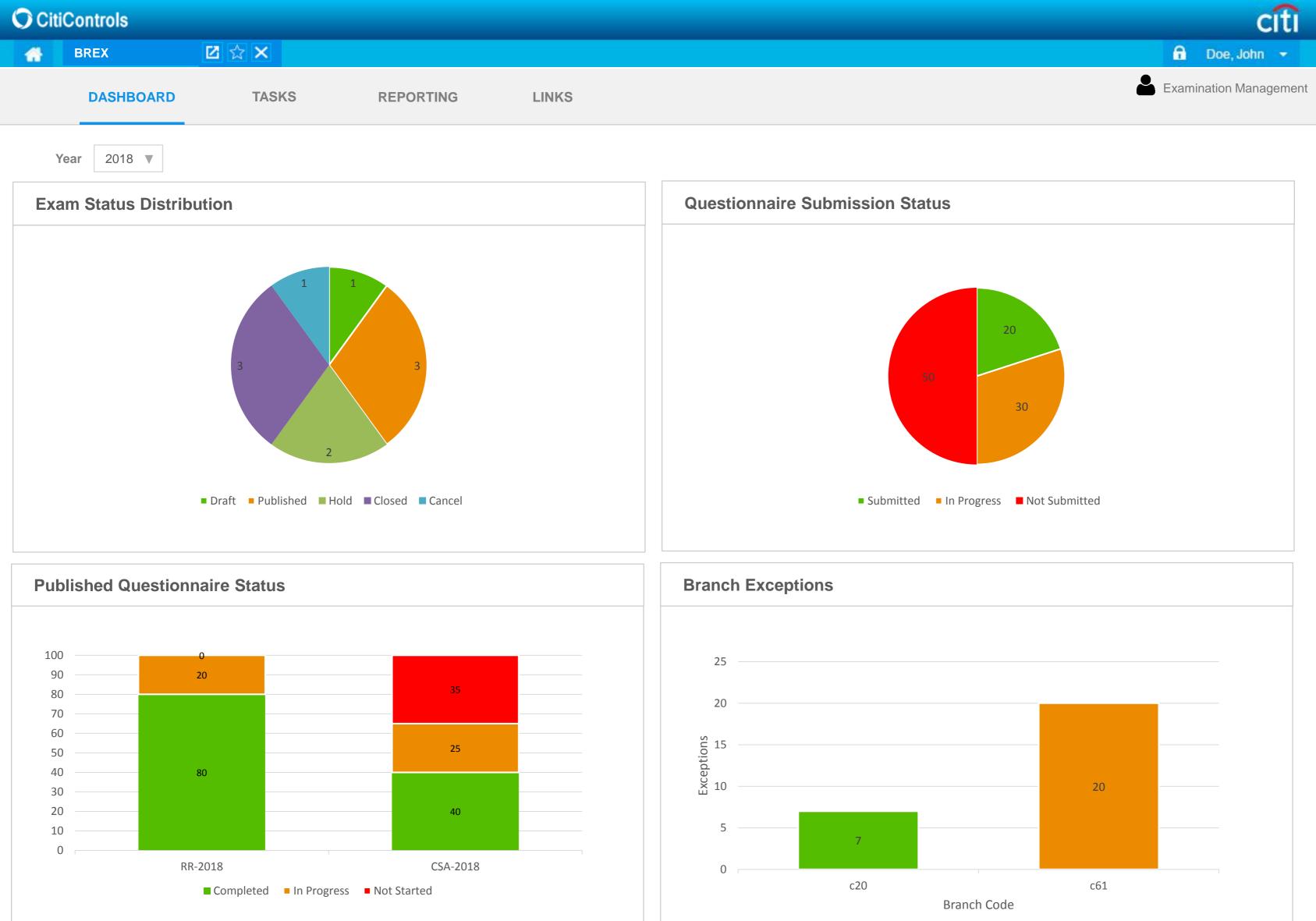
Select Report

2018 🔻

Previous Designs







CitiControls Complia	nce Risk Assessment
BREX.	
DASHBOARD	ASSIGNED QUESTIONNAIRE MY TRANSCRIPTS
Assigned Questionnaire	RR 2018
1 2 3 4	5 6 7 8 9 10 11 12 13 14 15 🝞
	ork location have a fax machine available for your use (excluding Citi Global Desktop Fax) or do you otherv use for business purposes?
Short answer text	Mandatory Questions
2 of 40 RR 2018 2. Do you update a Yes No	Il new account information
2a. Do you update	e all new account information Re
	ОК
3 of 40 RR 2018 3. Who has been de Short answer text	elegated to receive and control Insurance manager policies delivered to/from the Branch?

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