

COMPLIANCE REVIEW - ACCOUNT SPECIFIC

A to Z Capital Management
Phone: 555-555-1236

| Client | Account # | Acct. Type | Broker/ Dealer | Taxable | Discretionary | Proxy Voting | Family Account | Performance Based Fee | Wrap Fees |
|---------------------------|-----------|------------------|-----------------|---------|---------------|--------------|----------------|-----------------------|-----------|
| Alpha, Dr. Beta | 1234567A | Roth IRA | Bernie Jackson | Y | Y | Y | Y | N | N |
| Alpha, Dr. Beta | 1234567B | Joint | Bernie Jackson | Y | Y | N | Y | N | Y |
| Alpha, Dr. Beta | 1234567C | Individual | Bernie Jackson | Y | Y | N | Y | Y | Y |
| Apple Financial Trust | 2345678A | Trust | Robert Erwin | Y | Y | N | N | N | Y |
| Bostwick, Randy | 2345678B | SEP IRA | Richie Daccico | Y | Y | Y | N | N | N |
| Carter, Mark and Amy | 2345678C | Joint WROS | Bo Goldstein | Y | Y | N | N | N | N |
| Clem, Jack | 2345678D | Simple IRA | Nancy Donaldson | Y | Y | N | N | Y | N |
| D'Amato, Lawrence | 2345678E | IRA | Manal Douglas | Y | Y | N | N | N | Y |
| Ryan, Nancy | 2345678F | 401(k) | Thomas Clinton | Y | Y | N | Y | N | N |
| Shehade, Maisa | 2345678G | Individual | Brittany Little | Y | Y | Y | Y | Y | N |
| Silver, Brody | 2345678H | Trust Under Will | Sally Struthers | Y | Y | N | Y | Y | N |
| Snopes, Michael | 3456789A | IRA Rollover | Louis Espenoza | Y | N | N | N | Y | N |
| Snopes, Michael | 3456789B | Individual | Ahmad Mustafa | Y | N | N | N | N | N |
| Truman, Darrin | 456789A1 | 401(k) PSP | Thomas Clinton | Y | Y | N | Y | Y | Y |
| United Inc. 401(k) P.S.P. | 456789A2 | Trust | John Smith | Y | Y | N | N | N | N |