

# COMPLIANCE REVIEW - CLIENT SPECIFIC

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

Client	State	Inception Date	Last Privacy Policy	Last ADV Offering	Last Client Review	Last Policy Review	Termination Date
Alpha, Dr. Beta	Pennsylvania	10/12/06	01/15/09	01/15/09	11/30/08	09/30/08	
Apple Financial Trust	New York	11/17/06	01/07/09	01/07/09	11/30/08	06/16/08	
Bostwick, Randy	New York	12/21/07	01/12/09	01/12/09	11/30/08	06/16/08	
Carter, Mark and Amy	New York	04/01/08	01/09/09	01/09/09	11/30/08	09/30/08	
Clem, Jack	New York	09/28/08	01/09/09	01/09/09	12/31/08	12/31/08	
D'Amato, Lawrence	New York	04/24/06	01/05/09	01/06/09	11/30/08	11/30/08	
Ryan, Nancy	New York	08/13/07	01/01/09	01/01/09	10/31/08	12/31/08	
Shehade, Maisa	New York	12/10/07	01/09/09	01/09/09	11/30/08		
Silver, Brody	California	09/30/07		01/14/09	12/31/08		
Snopes, Michael	New York	10/24/08	01/08/09	01/08/09	10/31/08		
Truman, Darrin	Pennsylvania	08/16/07	01/15/09	01/15/09	12/31/08	07/31/08	
United Inc. 401(k) P.S.P.	New York	06/08/07	01/13/09	01/13/09	10/31/08	03/31/08	