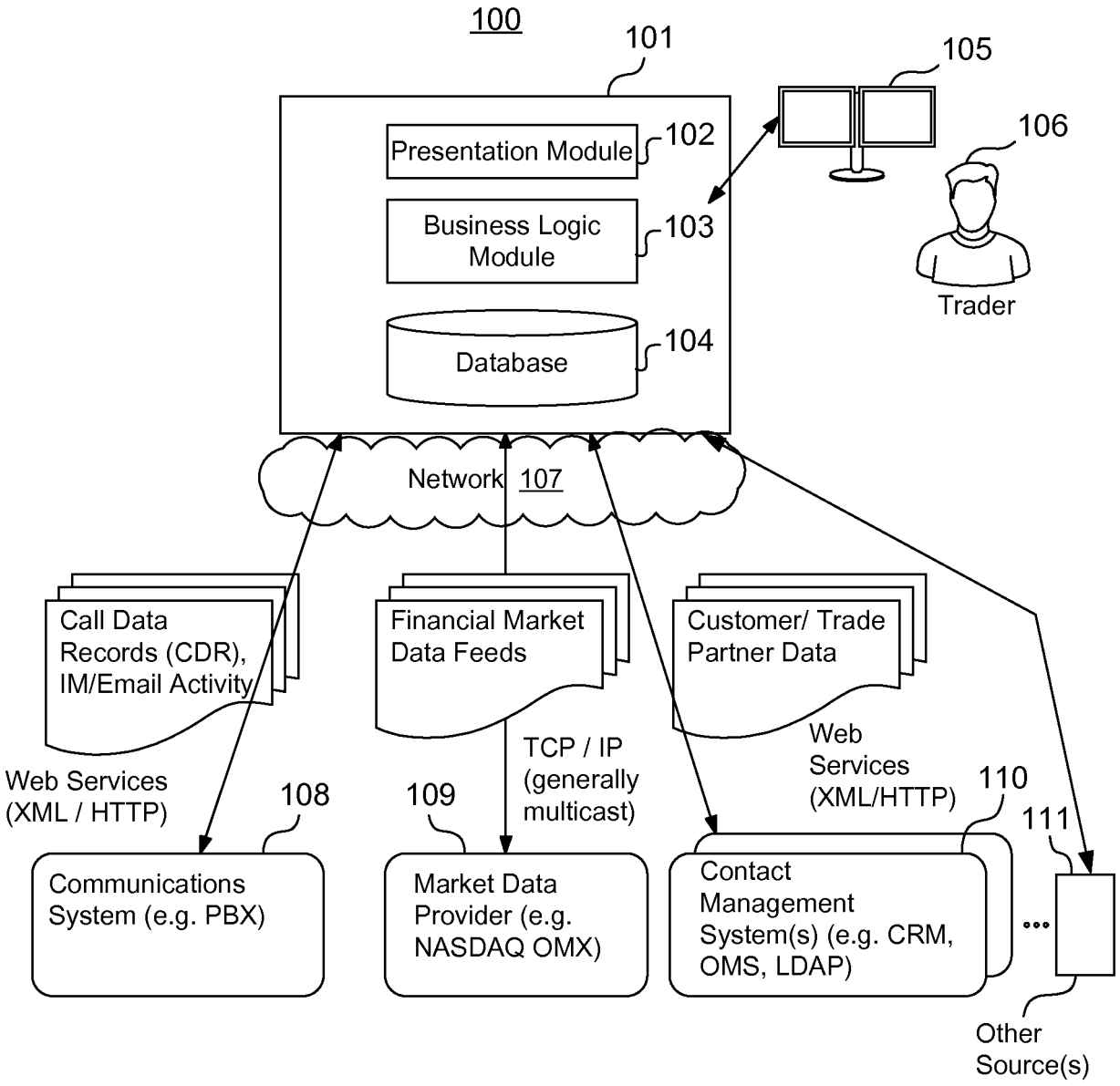

100
101
105
106
Presentation Module
102
Business Logic Module
103
Database
104
Trader
Network 107
Call Data Records (CDR), IM/Email Activity
Financial Market Data Feeds
Customer/ Trade Partner Data
Web Services (XML / HTTP)
108
109
TCP / IP (generally multicast)
Web Services (XML/HTTP)
110
111
Communications System (e.g. PBX)
Market Data Provider (e.g. NASDAQ OMX)
Contact Management System(s) (e.g. CRM, OMS, LDAP)
Other Source(s)

FIG. 1

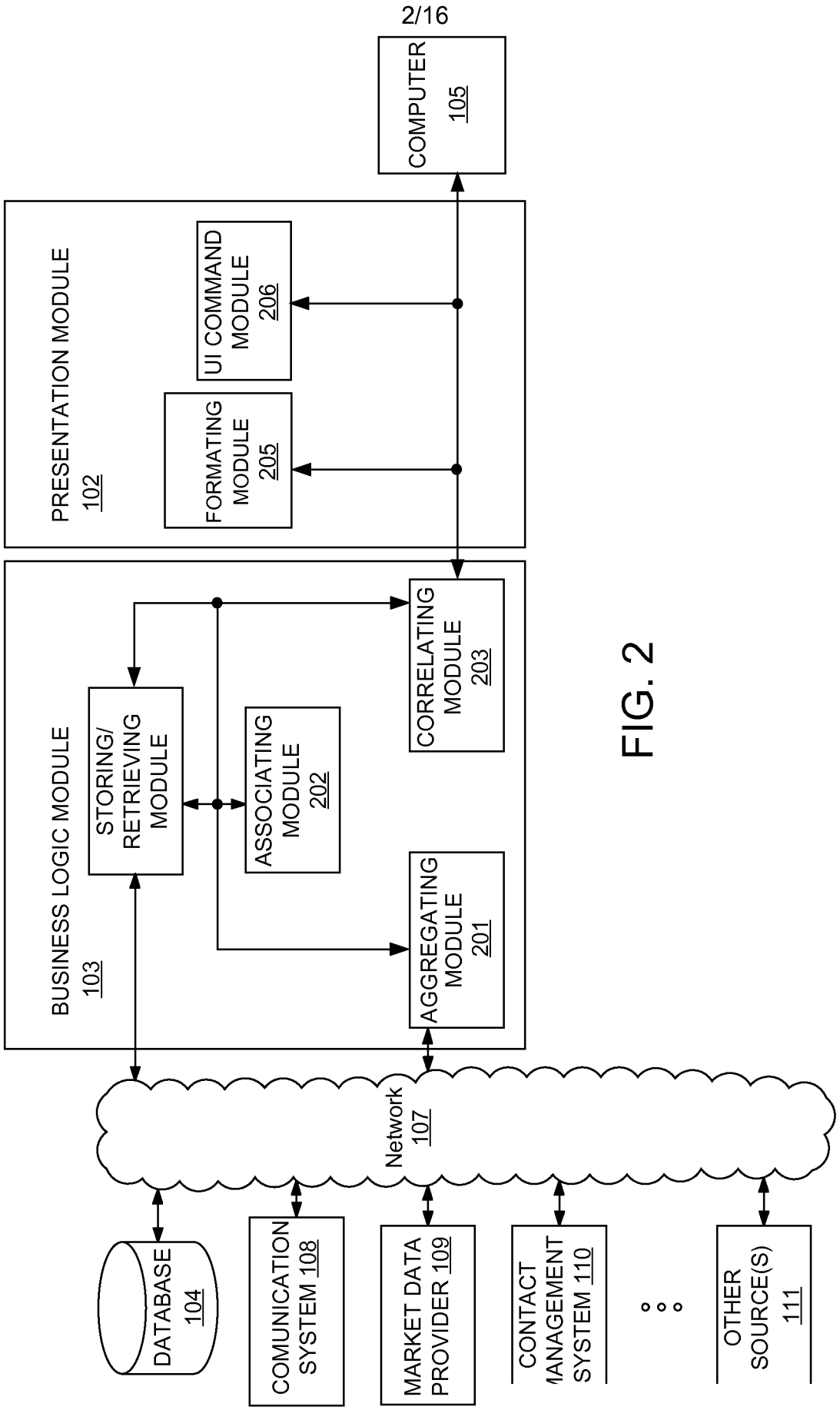

COMPUTER 105
PRESENTATION MODULE 102
UI COMMAND MODULE 206
FORMATING MODULE 205
BUSINESS LOGIC MODULE 103
STORING/ RETRIEVING MODULE
ASSOCIATING MODULE 202
CORRELATING MODULE 203
AGGREGATING MODULE 201
Network 107
DATABASE 104
COMUNICATION SYSTEM 108
MARKET DATA PROVIDER 109
CONTACT MANAGEMENT SYSTEM 110
OTHER SOURCE(S) 111

FIG. 2

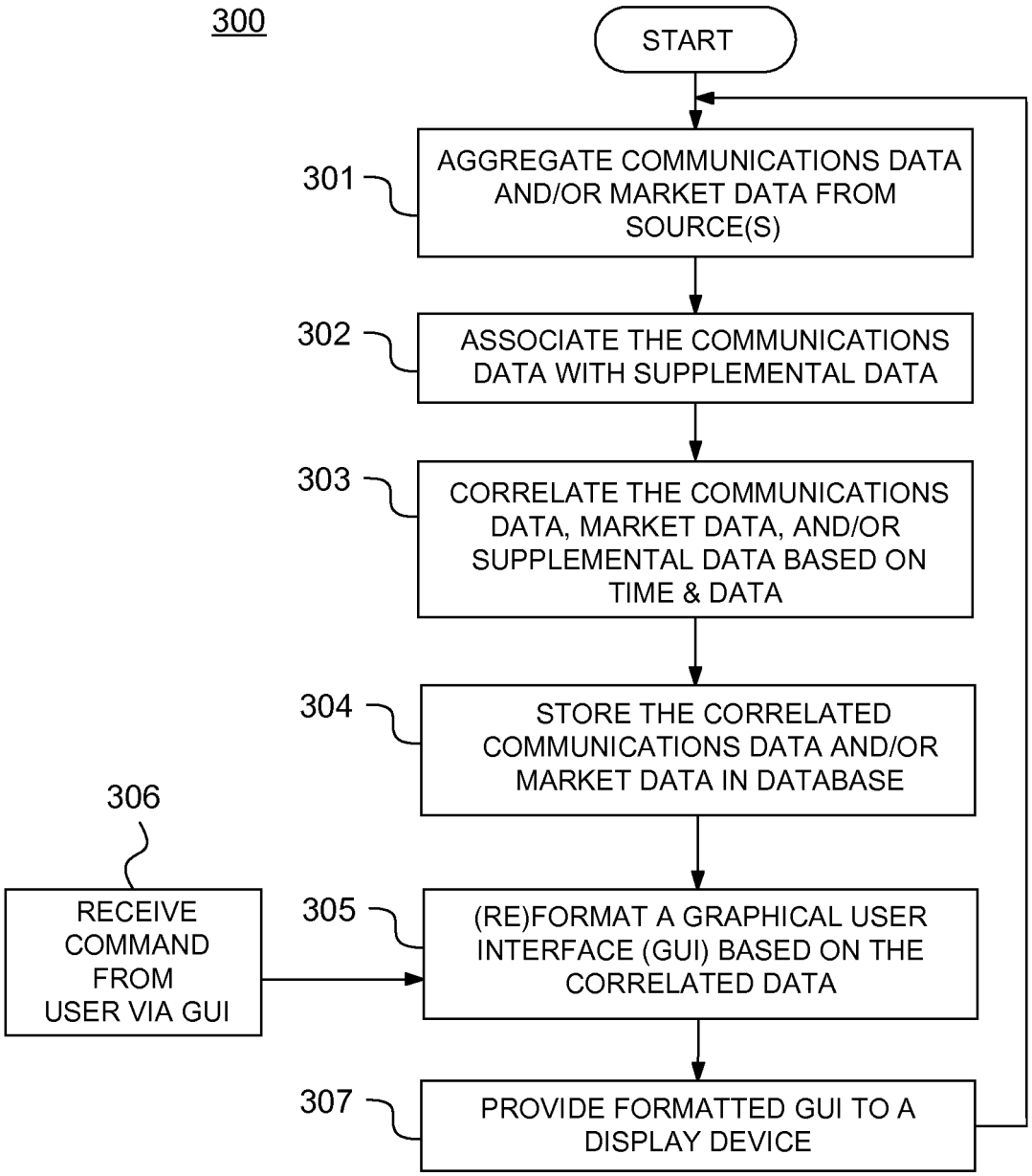

300
START
301
AGGREGATE COMMUNICATIONS DATA AND/OR MARKET DATA FROM SOURCE(S)
302
ASSOCIATE THE COMMUNICATIONS DATA WITH SUPPLEMENTAL DATA
303
CORRELATE THE COMMUNICATIONS DATA, MARKET DATA, AND/OR SUPPLEMENTAL DATA BASED ON TIME & DATA
304
STORE THE CORRELATED COMMUNICATIONS DATA AND/OR MARKET DATA IN DATABASE
306
RECEIVE COMMAND FROM USER VIA GUI
305
(RE)FORMAT A GRAPHICAL USER INTERFACE (GUI) BASED ON THE CORRELATED DATA
307
PROVIDE FORMATTED GUI TO A DISPLAY DEVICE

FIG. 3

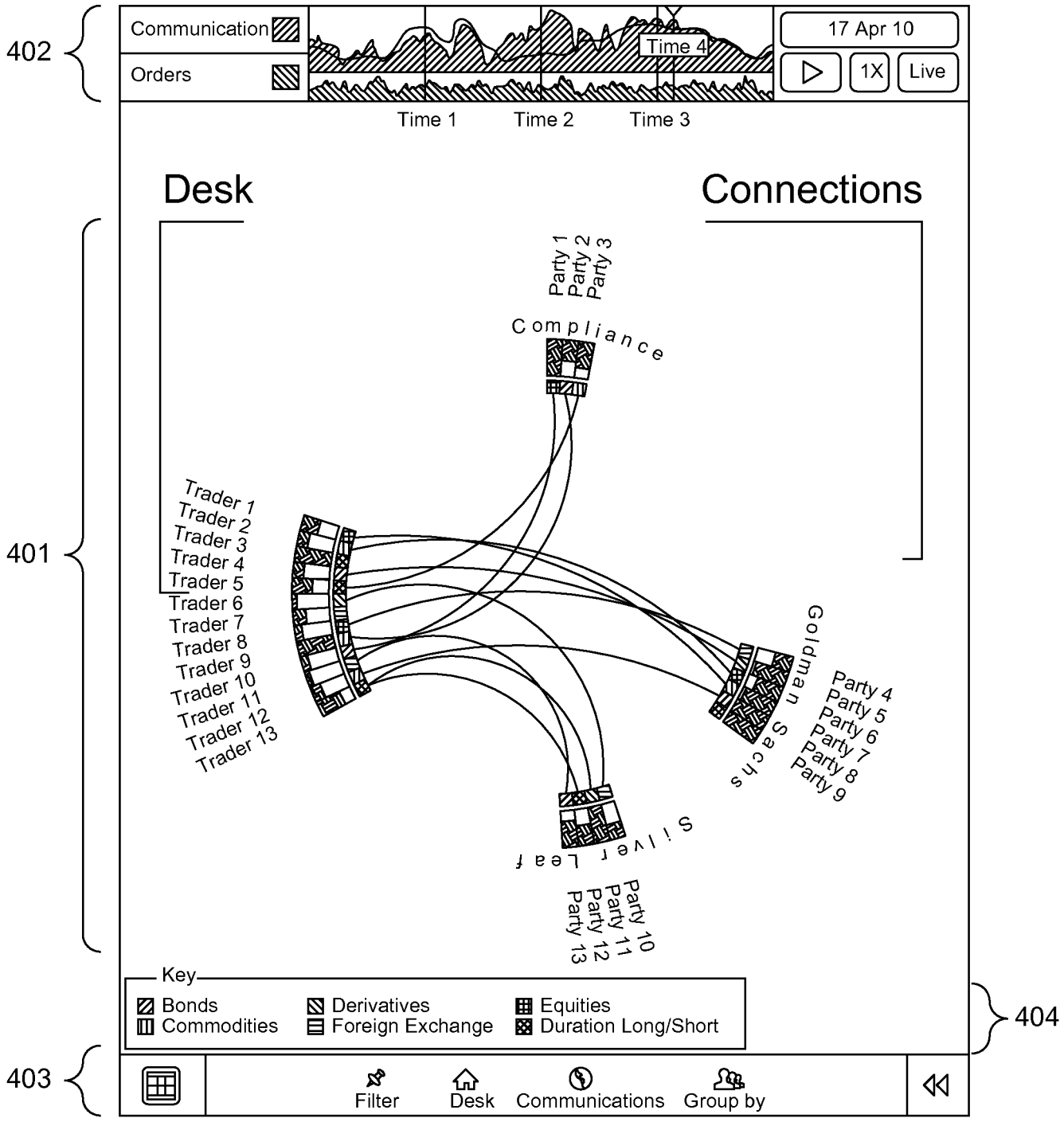

402
Communication
Orders
Time 4
17 Apr 10
1X
Live
Time 1
Time 2
Time 3
Desk
Connections
401
Party 1
Party 2
Party 3
Compliance
Trader 1
Trader 2
Trader 3
Trader 4
Trader 5
Trader 6
Trader 7
Trader 8
Trader 9
Trader 10
Trader 11
Trader 12
Trader 13
Goldman Sachs
Party 4
Party 5
Party 6
Party 7
Party 8
Party 9
Silver Leaf
Party 10
Party 11
Party 12
Party 13
Key
Bonds
Commodities
Derivatives
Foreign Exchange
Equities
Duration Long/Short
404
403
Filter
Desk
Communications
Group by

FIG. 4

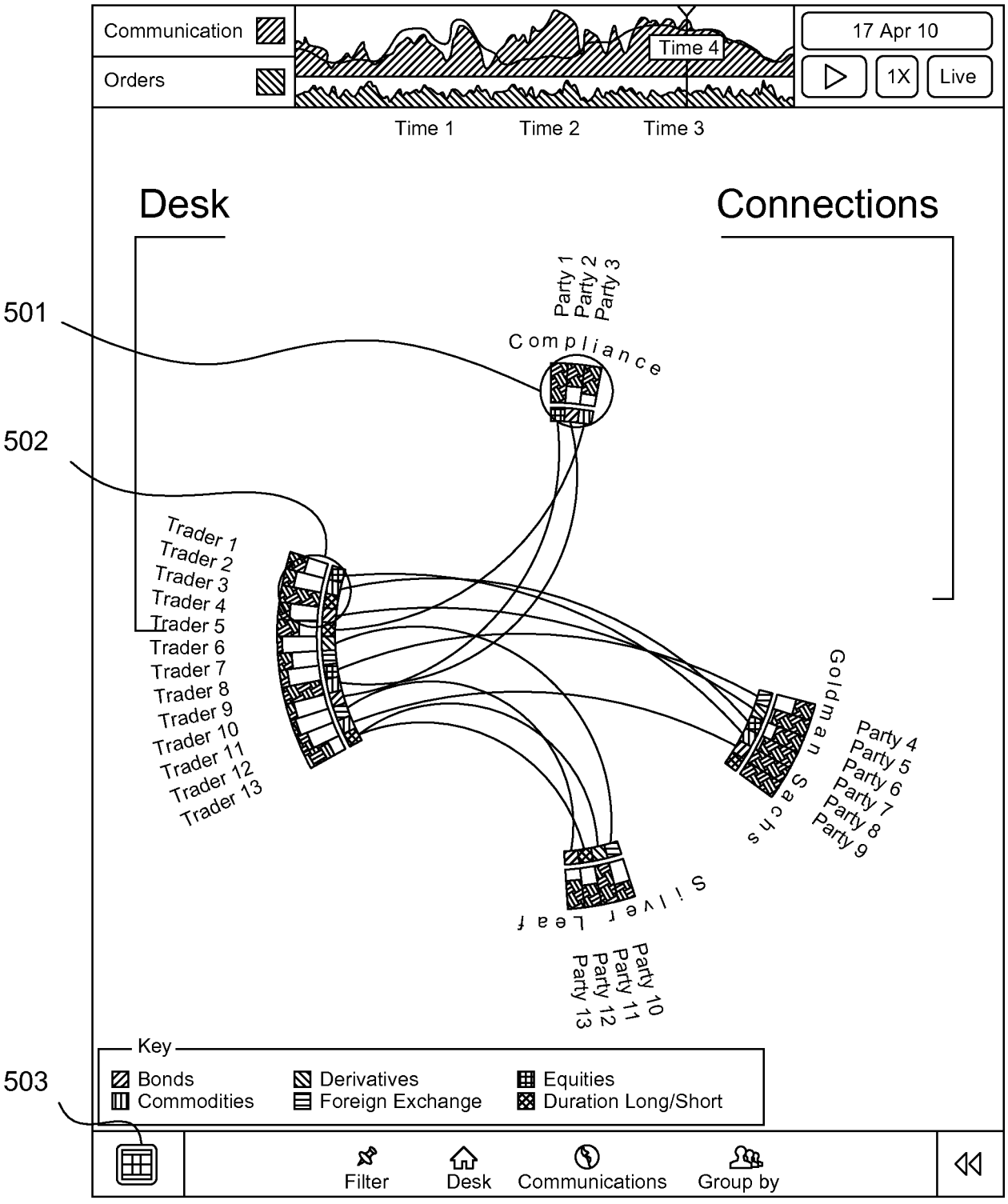

Communication
Orders
Time 4
17 Apr 10
1X
Live
Time 1
Time 2
Time 3
Desk
Connections
501
502
503
Party 1
Party 2
Party 3
Compliance
Trader 1
Trader 2
Trader 3
Trader 4
Trader 5
Trader 6
Trader 7
Trader 8
Trader 9
Trader 10
Trader 11
Trader 12
Trader 13
Goldman Sachs
Party 4
Party 5
Party 6
Party 7
Party 8
Party 9
Silver Leaf
Party 10
Party 11
Party 12
Party 13
Key
Bonds
Commodities
Derivatives
Foreign Exchange
Equities
Duration Long/Short
Filter
Desk
Communications
Group by

FIG. 5

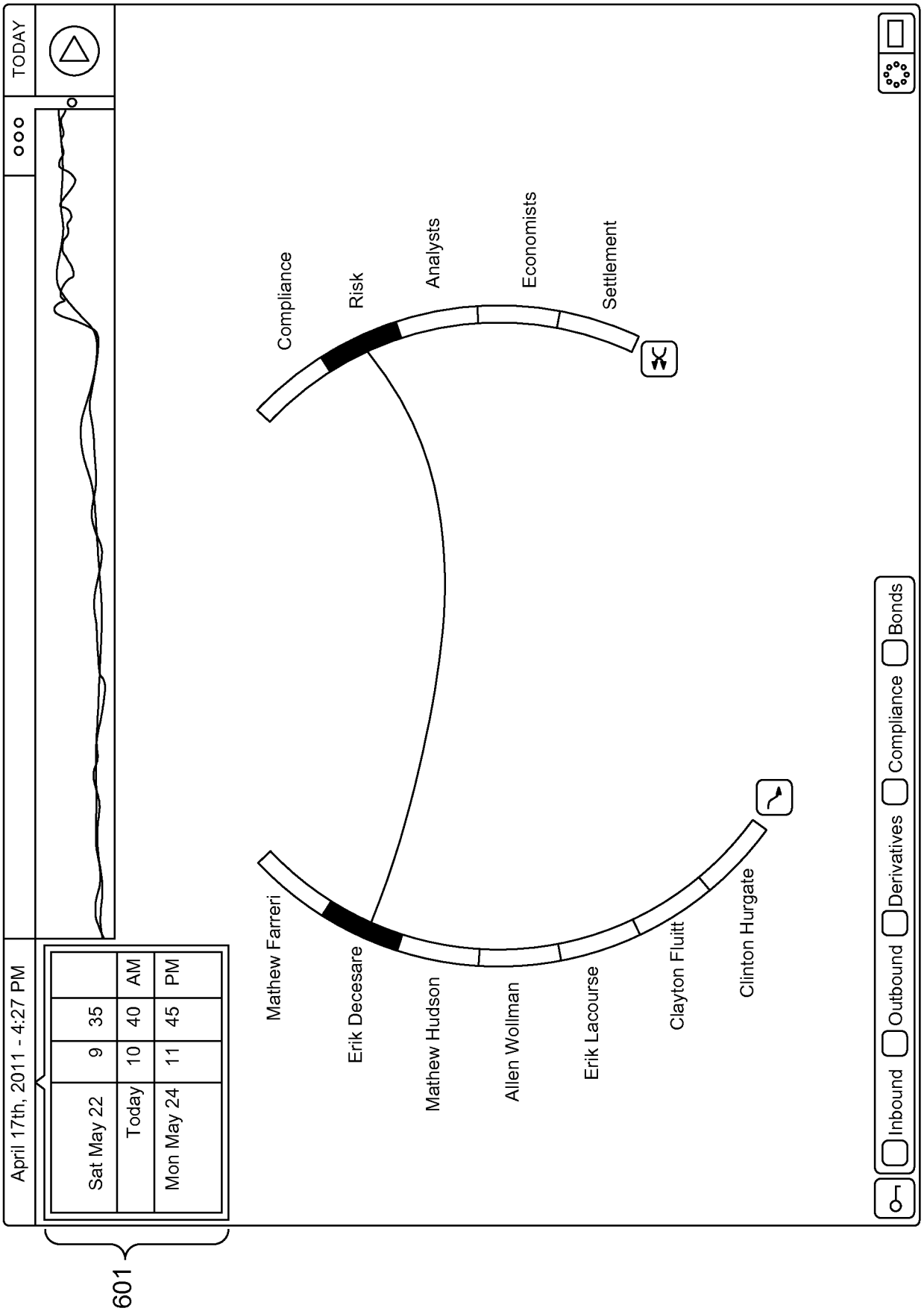

April 17th, 2011 - 4:27 PM
Sat May 22
9
35
Today
10
40
AM
Mon May 24
11
45
PM
601
TODAY
Compliance
Risk
Analysts
Economists
Settlement
Mathew Farreri
Erik Decesare
Mathew Hudson
Allen Wollman
Erik Lacourse
Clayton Fluitt
Clinton Hurgate
Inbound
Outbound
Derivatives
Compliance
Bonds

FIG. 6

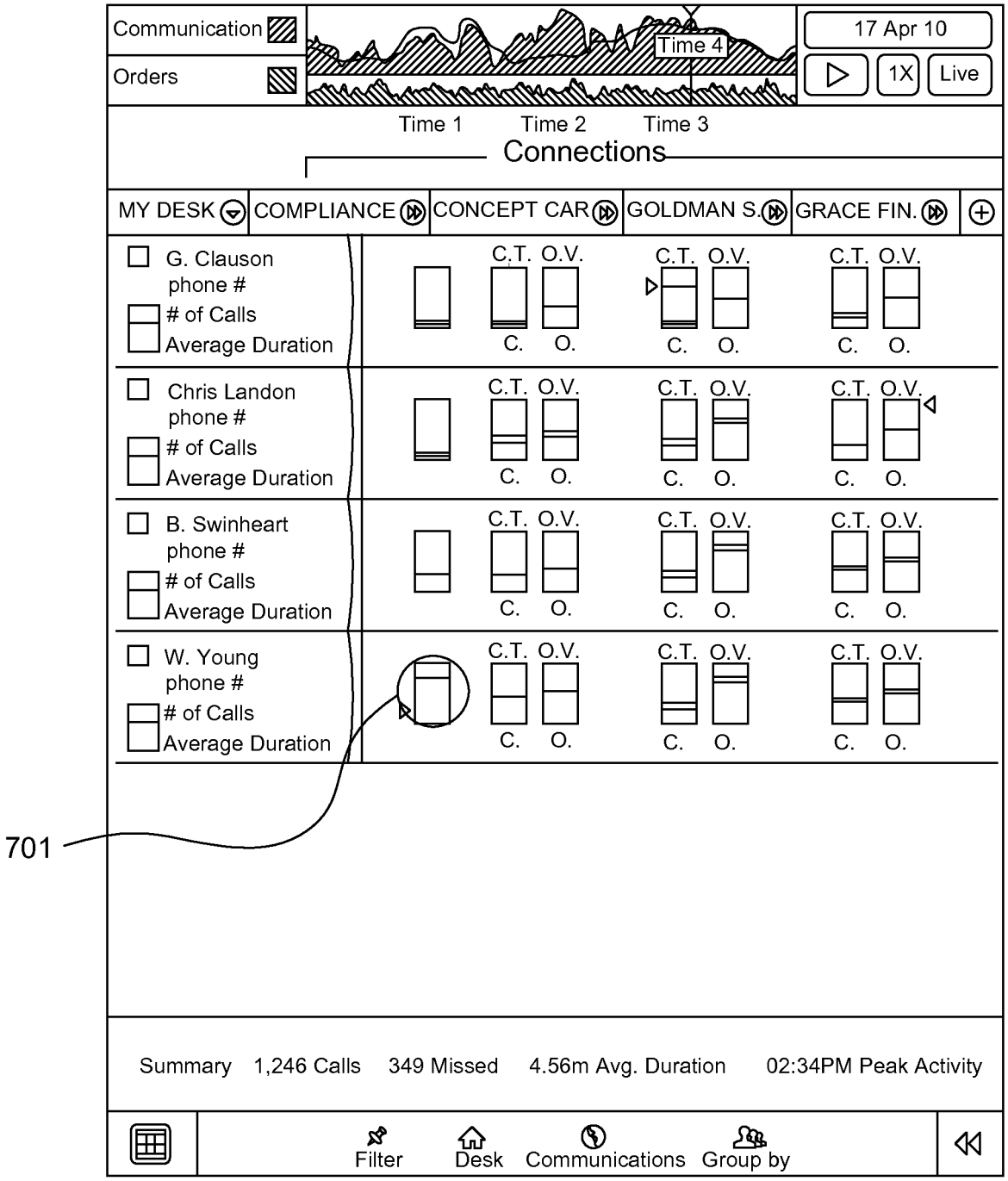

Communication
Orders
Time 4
17 Apr 10
1X
Live
Time 1
Time 2
Time 3
Connections
MY DESK
COMPLIANCE
CONCEPT CAR
GOLDMAN S.
GRACE FIN.
G. Clauson
phone #
# of Calls
Average Duration
Chris Landon
phone #
# of Calls
Average Duration
B. Swinheart
phone #
# of Calls
Average Duration
W. Young
phone #
# of Calls
Average Duration
C.T.
O.V.
C.
O.
701
Summary 1,246 Calls 349 Missed 4.56m Avg. Duration 02:34PM Peak Activity
Filter
Desk
Communications
Group by

FIG. 7

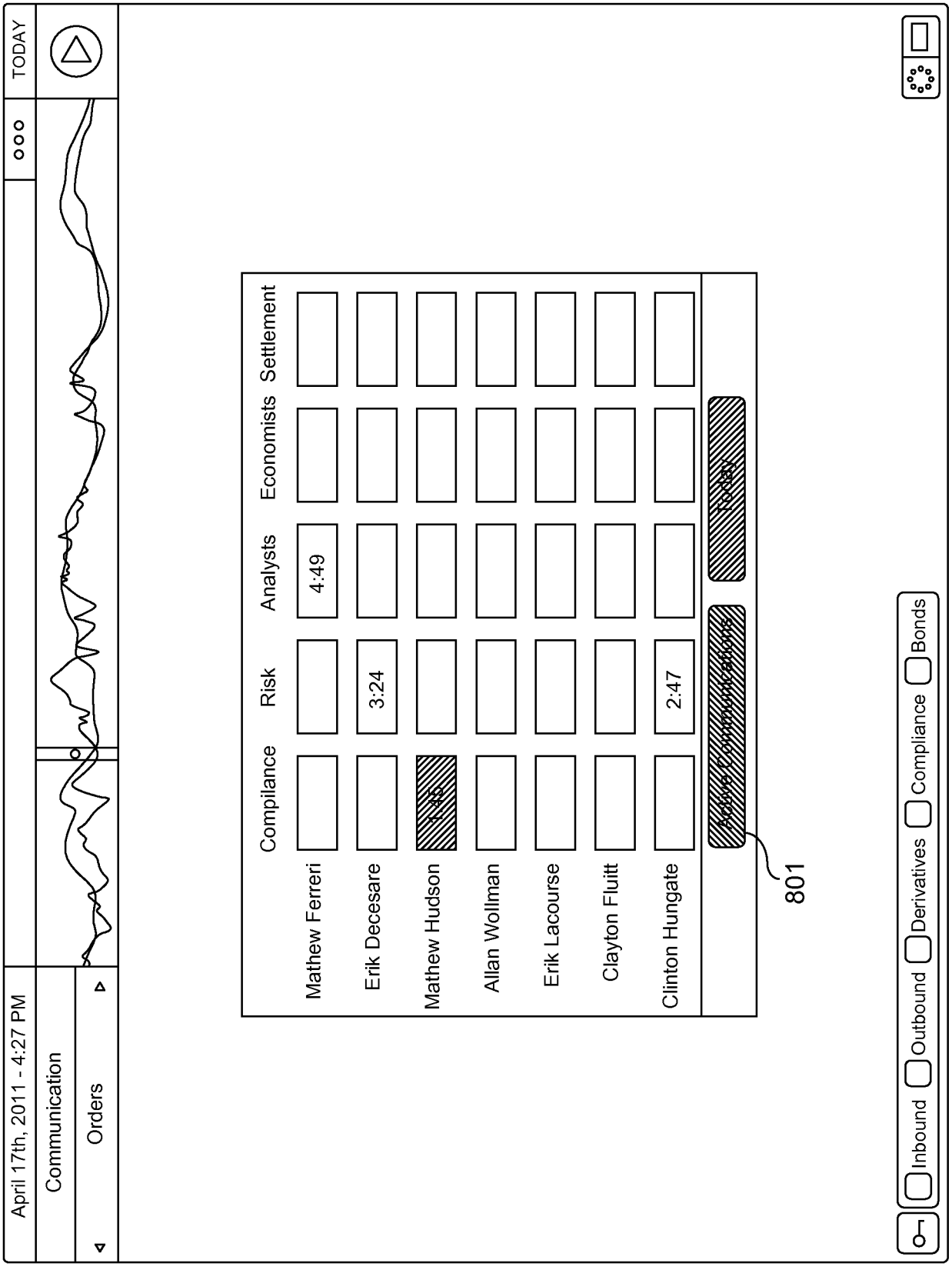

April 17th, 2011 - 4:27 PM
TODAY
Communication
Orders
Compliance
Risk
Analysts
Economists
Settlement
Mathew Ferreri
Erik Decesare
Mathew Hudson
Allan Wollman
Erik Lacourse
Clayton Fluitt
Clinton Hungate
4:49
3:24
1:45
2:47
Inbound
Outbound
Derivatives
Compliance
Bonds
801

FIG. 8

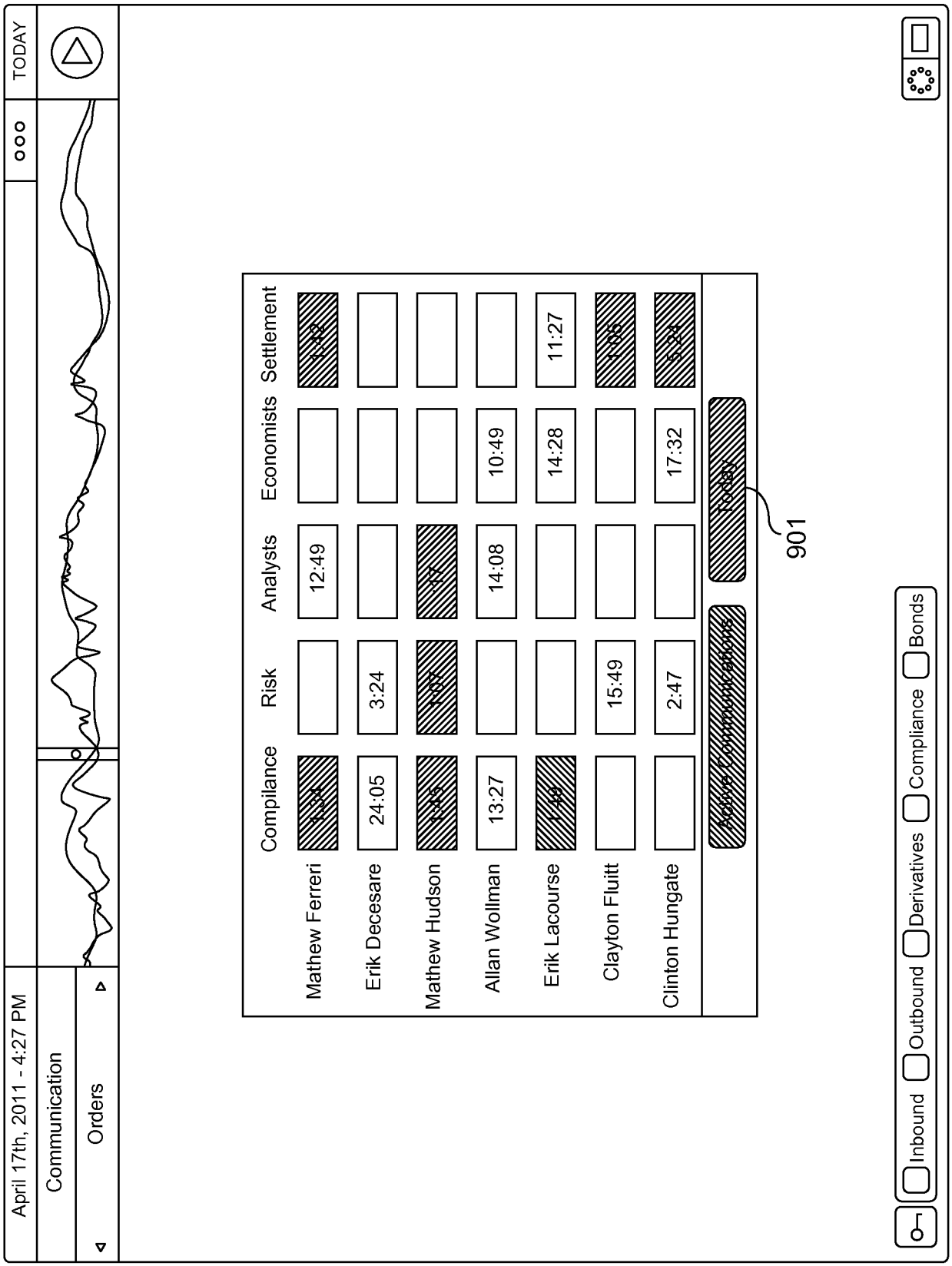

April 17th, 2011 - 4:27 PM
TODAY
Communication
Orders
Inbound
Outbound
Derivatives
Compliance
Bonds
Compliance
Risk
Analysts
Economists
Settlement
Mathew Ferreri
Erik Decesare
Mathew Hudson
Allan Wollman
Erik Lacourse
Clayton Fluitt
Clinton Hungate
12:49
3:24
10:49
14:28
17:32
11:27
2:47
15:49
Active Communications
Today
901

FIG. 9

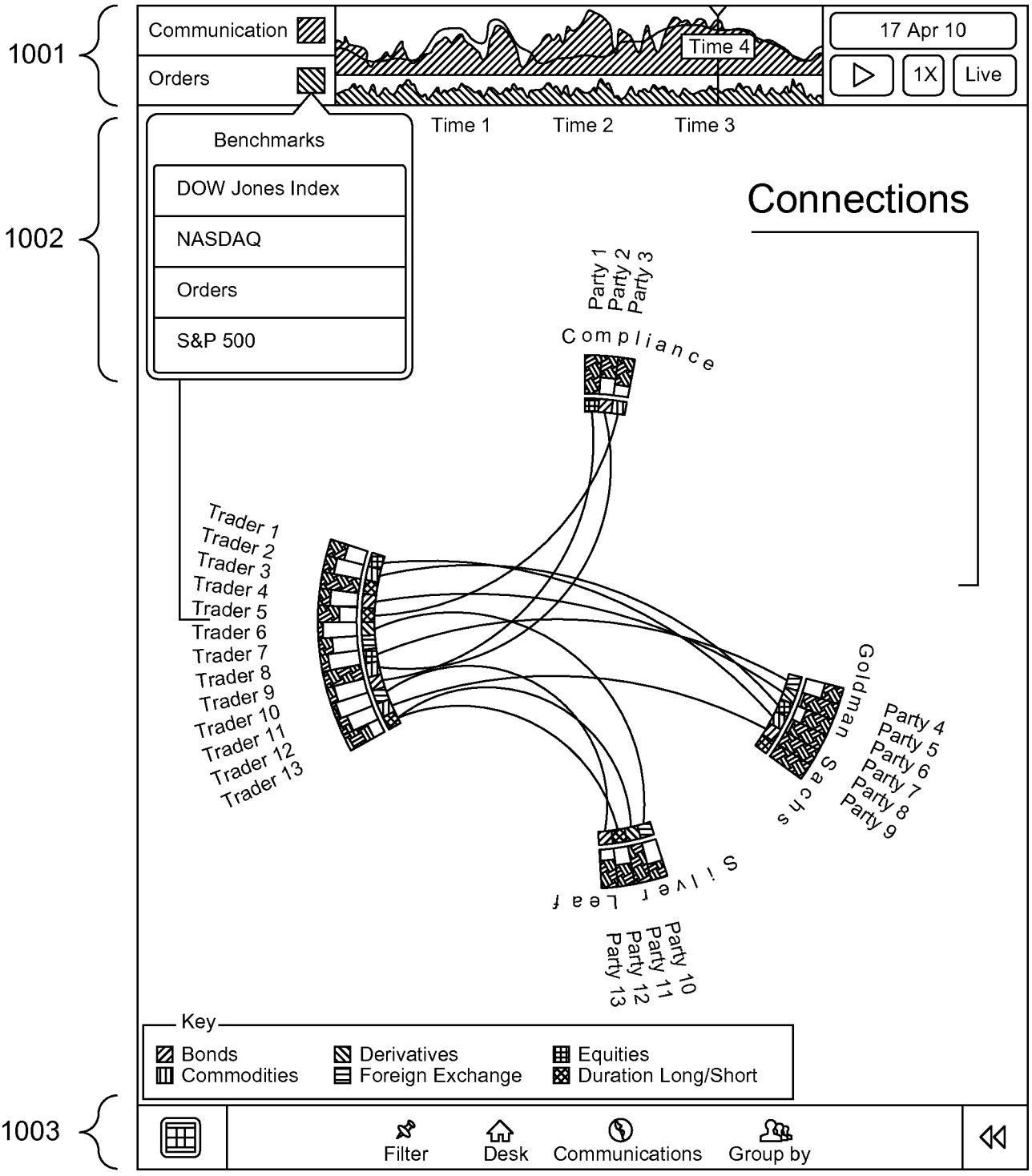

1001
Communication
Orders
Time 4
17 Apr 10
1X
Live
Time 1
Time 2
Time 3
1002
Benchmarks
DOW Jones Index
NASDAQ
Orders
S&P 500
Connections
Party 1
Party 2
Party 3
Compliance
Trader 1
Trader 2
Trader 3
Trader 4
Trader 5
Trader 6
Trader 7
Trader 8
Trader 9
Trader 10
Trader 11
Trader 12
Trader 13
Goldman Sachs
Party 4
Party 5
Party 6
Party 7
Party 8
Party 9
Silver Leaf
Party 10
Party 11
Party 12
Party 13
Key
Bonds
Commodities
Derivatives
Foreign Exchange
Equities
Duration Long/Short
1003
Filter
Desk
Communications
Group by

FIG. 10

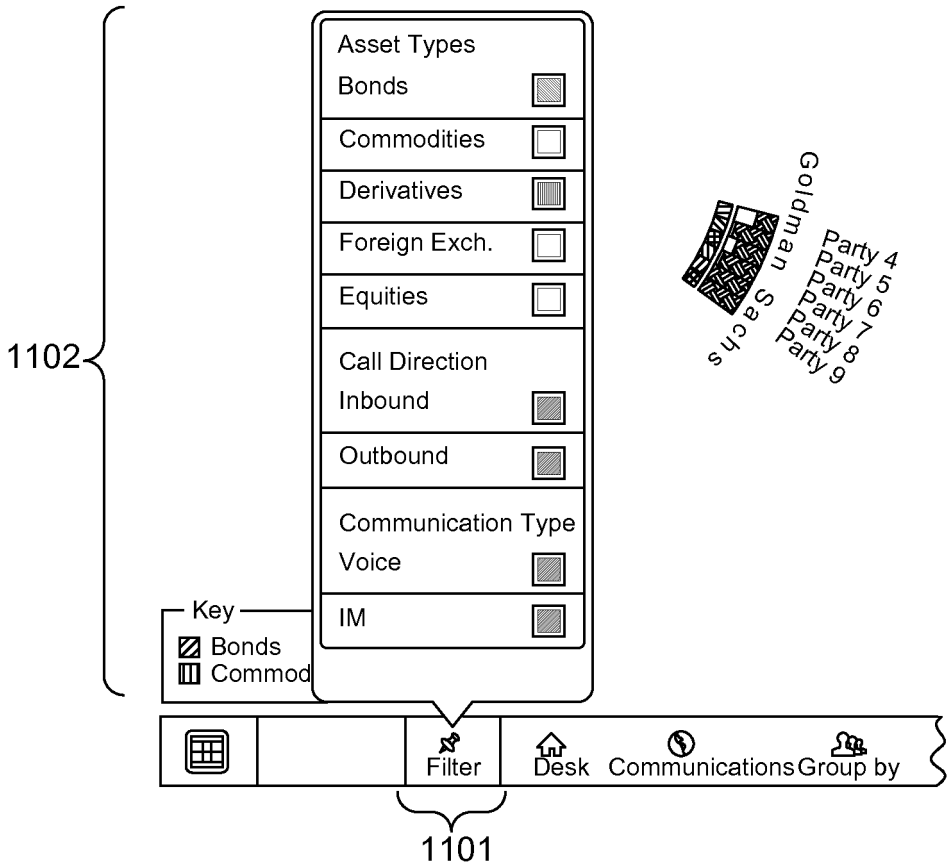

1102
Asset Types
Bonds
Commodities
Derivatives
Foreign Exch.
Equities
Call Direction
Inbound
Outbound
Communication Type
Voice
IM
Key
Bonds
Commod
Goldman Sachs
Party 4
Party 5
Party 6
Party 7
Party 8
Party 9
Filter
Desk
Communications
Group by
1101

FIG. 11

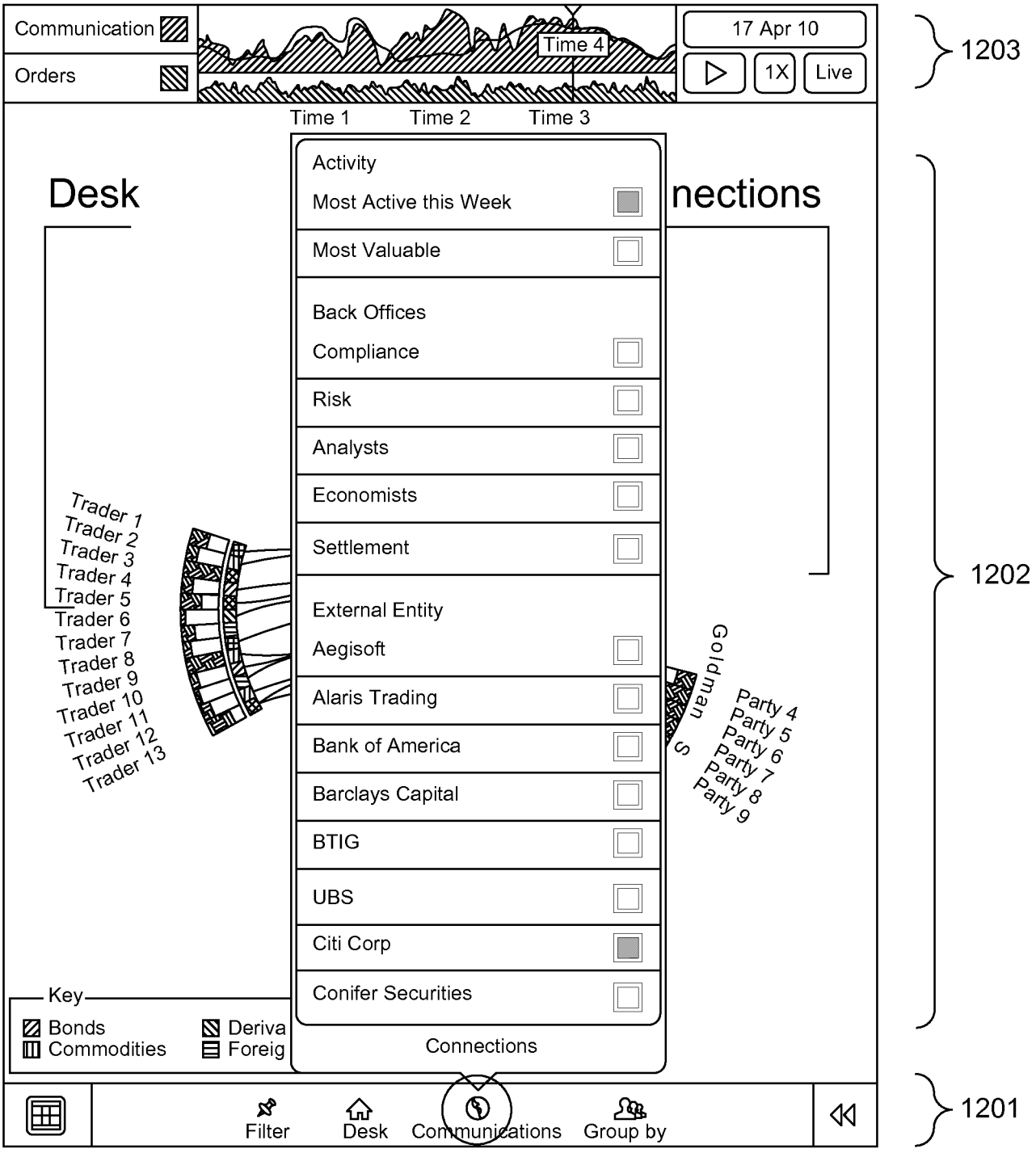

Communication
Orders
Time 4
17 Apr 10
1X
Live
1203
Time 1
Time 2
Time 3
Desk
nections
Activity
Most Active this Week
Most Valuable
Back Offices
Compliance
Risk
Analysts
Economists
Settlement
External Entity
Aegisoft
Alaris Trading
Bank of America
Barclays Capital
BTIG
UBS
Citi Corp
Conifer Securities
Connections
Trader 1
Trader 2
Trader 3
Trader 4
Trader 5
Trader 6
Trader 7
Trader 8
Trader 9
Trader 10
Trader 11
Trader 12
Trader 13
Goldman
Party 4
Party 5
Party 6
Party 7
Party 8
Party 9
1202
Key
Bonds
Commodities
Deriva
Foreig
Filter
Desk
Communications
Group by
1201

FIG. 12

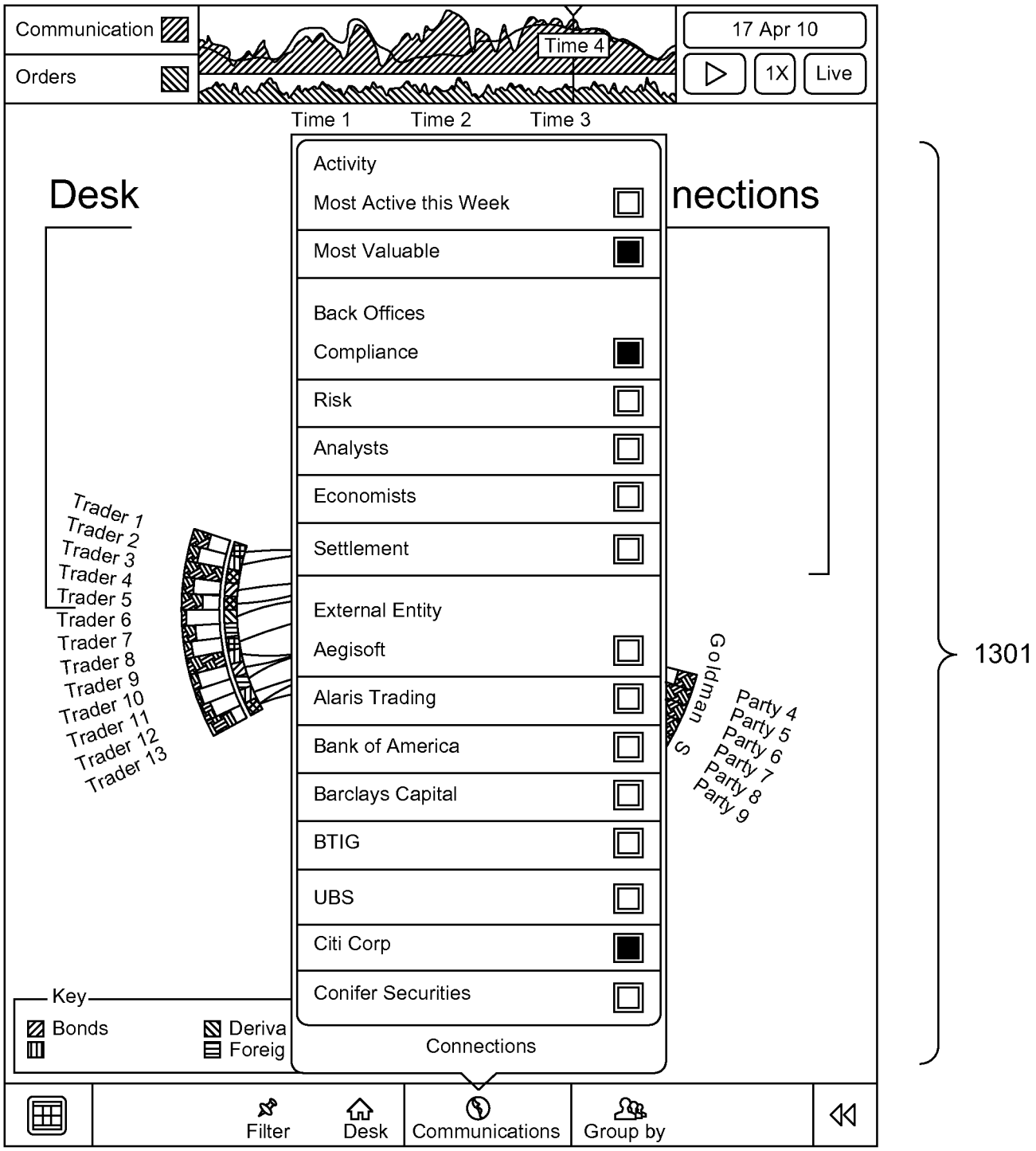

Communication
Orders
Time 4
17 Apr 10
1X
Live
Time 1
Time 2
Time 3
Desk
nections
Activity
Most Active this Week
Most Valuable
Back Offices
Compliance
Risk
Analysts
Economists
Settlement
External Entity
Aegisoft
Alaris Trading
Bank of America
Barclays Capital
BTIG
UBS
Citi Corp
Conifer Securities
Trader 1
Trader 2
Trader 3
Trader 4
Trader 5
Trader 6
Trader 7
Trader 8
Trader 9
Trader 10
Trader 11
Trader 12
Trader 13
Goldman
Party 4
Party 5
Party 6
Party 7
Party 8
Party 9
Key
Bonds
Deriva
Foreig
Connections
Filter
Desk
Communications
Group by
1301

FIG. 13

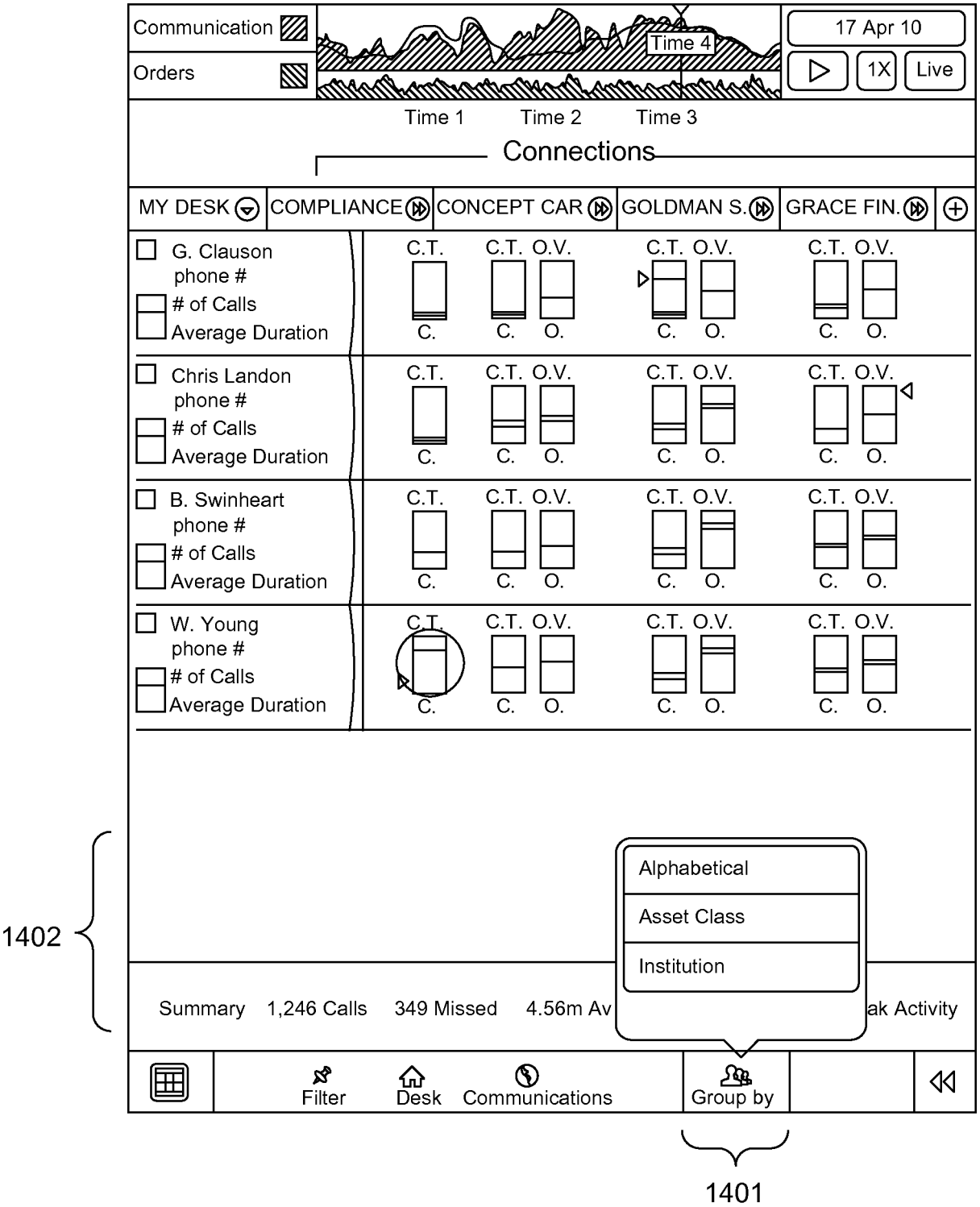

Communication
Orders
Time 4
17 Apr 10
1X
Live
Time 1
Time 2
Time 3
Connections
MY DESK
COMPLIANCE
CONCEPT CAR
GOLDMAN S.
GRACE FIN.
G. Clauson
phone #
# of Calls
Average Duration
Chris Landon
B. Swinheart
W. Young
C.T.
O.V.
C.
O.
1402
Alphabetical
Asset Class
Institution
Summary
1,246 Calls
349 Missed
4.56m Av
ak Activity
Filter
Desk
Communications
Group by
1401

FIG. 14

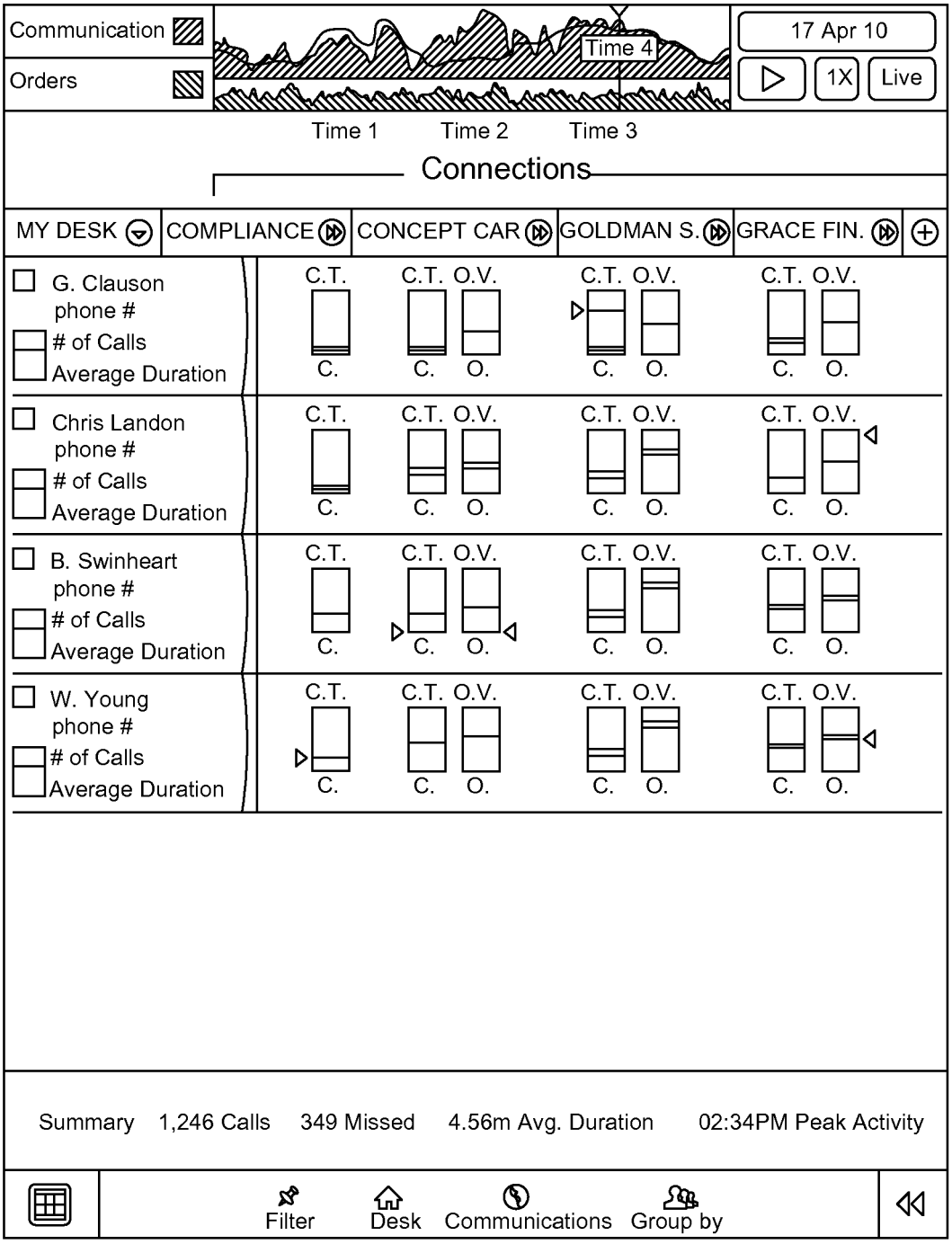

Communication
Orders
Time 4
17 Apr 10
1X
Live
Time 1
Time 2
Time 3
Connections
MY DESK
COMPLIANCE
CONCEPT CAR
GOLDMAN S.
GRACE FIN.
G. Clauson
phone #
# of Calls
Average Duration
Chris Landon
phone #
# of Calls
Average Duration
B. Swinheart
phone #
# of Calls
Average Duration
W. Young
phone #
# of Calls
Average Duration
C.T.
O.V.
C.
O.
Summary 1,246 Calls 349 Missed 4.56m Avg. Duration 02:34PM Peak Activity
Filter
Desk
Communications
Group by

FIG. 15

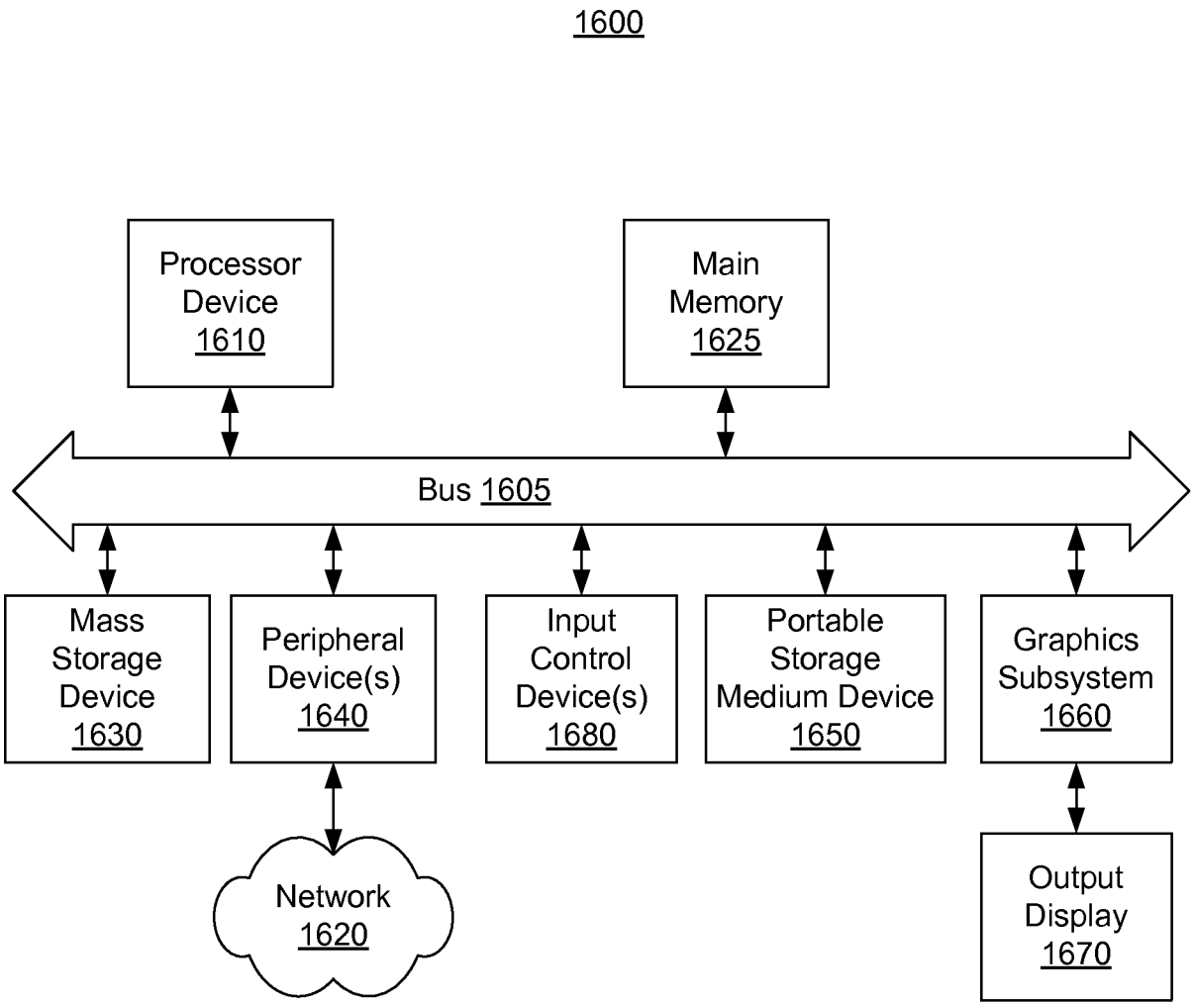

1600
Processor Device 1610
Main Memory 1625
Bus 1605
Mass Storage Device 1630
Peripheral Device(s) 1640
Input Control Device(s) 1680
Portable Storage Medium Device 1650
Graphics Subsystem 1660
Network 1620
Output Display 1670

FIG. 16