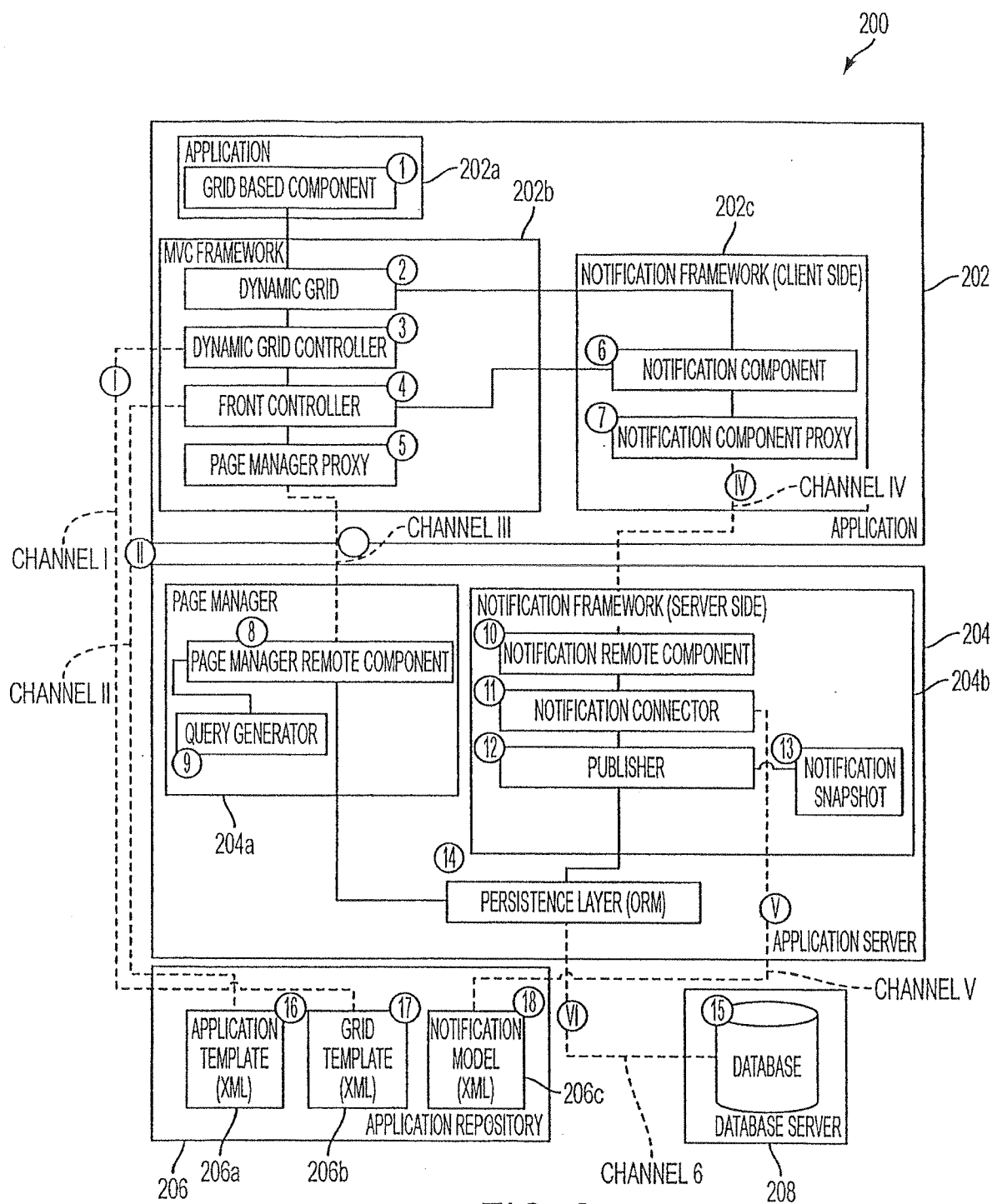


macgregor- XIP WS									
Monitor Library Accounts Review Reports Setup									
Dashboard									
Exceptions: 100	Asgn: 20	Oprn: 13	Susp: 0	Clsd: 1	Oprn: 6	SOD Snapshot	Account by PM	Compliance Monitor	
Rule Short Name > Age > Item Status > Assigned to > Rule Status > Approval Status > Sec ID > Quantity > Market Value >									
PM: KHoldstrom									
Account: XYZ Stock Fund									
Investments in non-U.S. domicile issuers are prohibited									
Max 10% of net assets in any single sector	0:00	Working	NShea	Exception	Overridden	IR	1,200	72,200.00	
The fund may not, with respect to 75%...	0:15	Open	NShea	Exception	Overridden	AAPL	13,000	183,300.00	
Max 10% of any single issuer's voting securities...	0:45	Assigned	NShea	Exception	Required	AAPL	2,500	38,400.00	
Max 5% in warrants	1:22	Working	NShea	Exception	Required				
Max 5% of net assets in securities related issuers	1:34	Working	NShea	Exception	Overridden				
Average Market Cap of the fund must be within +/-...	1d	Assigned	NShea	Exception	Required				
Account: ABC Value Fund									
Max 5% of net assets in securities related issuers	0:45	Assigned	NShea	Exception	Overridden				
The fund may not, with respect to 75%...	1:03	Working	NShea	Exception	Required	MSFT	10,000	242,100.00	
Max 10% of any single issuer's voting securities...	2:23	Working	NShea	Exception	Required	GE	10,000	250,000.00	
Max 5% in any one investment company	3:23	Open	NShea	Exception	Overridden	III	1,000	264,300.00	
Max 10% in securities domiciled in Massachusetts	4:23	Open	MWoodward	Exception	Required	RTN	5,000	142,000.00	
Account: Yawkey Growth Fund									
Max 5% in any one country, excluding the US	5:23	Closed	NShea	Exception	Required	NEM	1,000	25,800.00	
Max 2% in emerging markets	6:44	Working	NShea	Exception	Overridden	CIG	3,500	26,780.00	
Max 2% in emerging markets	7:15	Assigned	NShea	Exception	Required	YSM	700	175,500.00	
Max 5% in any one country, excluding the US	1d	Working	NShea	Exception	Overridden	RJR	1,100	36,400.00	
Max 2% in emerging markets	3d	Working	Cerckson	Warning	Overridden	HLT	3,500	84,500.00	
PM: BWright									
Account: University Pension Plan									
Summary									
Restriction DOMX: Exception Cause: Trade Description: Investments in non-U.S. domicile issuers are prohibited ID: B4C707									
Status:	Working	Account:	XYZ Stocks	x0889	Time/Date Stamp:	1:33pm/08.05.2003	Relevant (Trigger) Date:		
Reason:	NShea	PM:	Karen Holdstrom	x3000	Review Status:	Overridden	Sec ID:	IR (Ingersoll Rand)	
Assigned:	NShea	CO:	Nanov Shea	x9889	Override Status:	Overridden	Domicile:	Bermuda	
		Client Manager:	Gabe Kaplan	x9889	Override by:	K Holdstrom			
		Overridable by:	Karen Holdstrom (PM)	x8889	Override Reason:				
Comment Data:									

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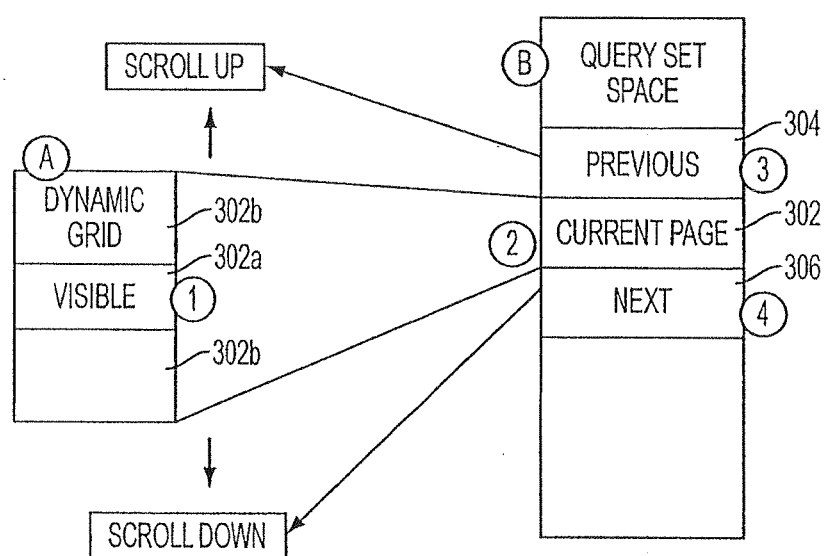


FIG. 3

GRID CONFIGURATION SETUP SCREEN. DISPLAYED FIELD SET,
SORTING, AGGREGATION AND FILTERING PARAMETERS ARE SPECIFIED HERE

macgregor XIP Enterprise Compliance

Options | Help | Dashboard | Compliance Monitor | 402 404 406 408

Exceptions 21 | Compliance Monitor | Account / Group | Rule Code | Rule Name | Rule Description | Rule Status | SOD Status

Account / Group: GWLIM-CLAGGR | Rule Code: GWLA-0040 | Rule Name: GWLA-0040 | Rule Description: GWLA-0040 | Rule Status: Exception | SOD Status: Exception

SEARCH FIELDS: Available: Current Test Status, Account Or Group, Exception Details, Override Status, Orig Cause, Last Trade Stage, Rule Details, Lower Exception Limit, Upper Exception Limit, Rule Last Changed, Rule Master ID, Severity, Rule Type, Lower Warning Limit, Upper Warning Limit, Description

404a 404b 404c 400

DETAILLED INFO ON THE SELECTED ROW

Status: Reason: Assigned: Comment Detail: Account: PH: CO: Client Manager: Overrideable: Relevant Date: ID:

Done

COMPLIANCE MONITOR
GRID. INDIVIDUAL DATA
ENTITY IS THE ACCOUNT
/RULE STATUS.

FIG. 4

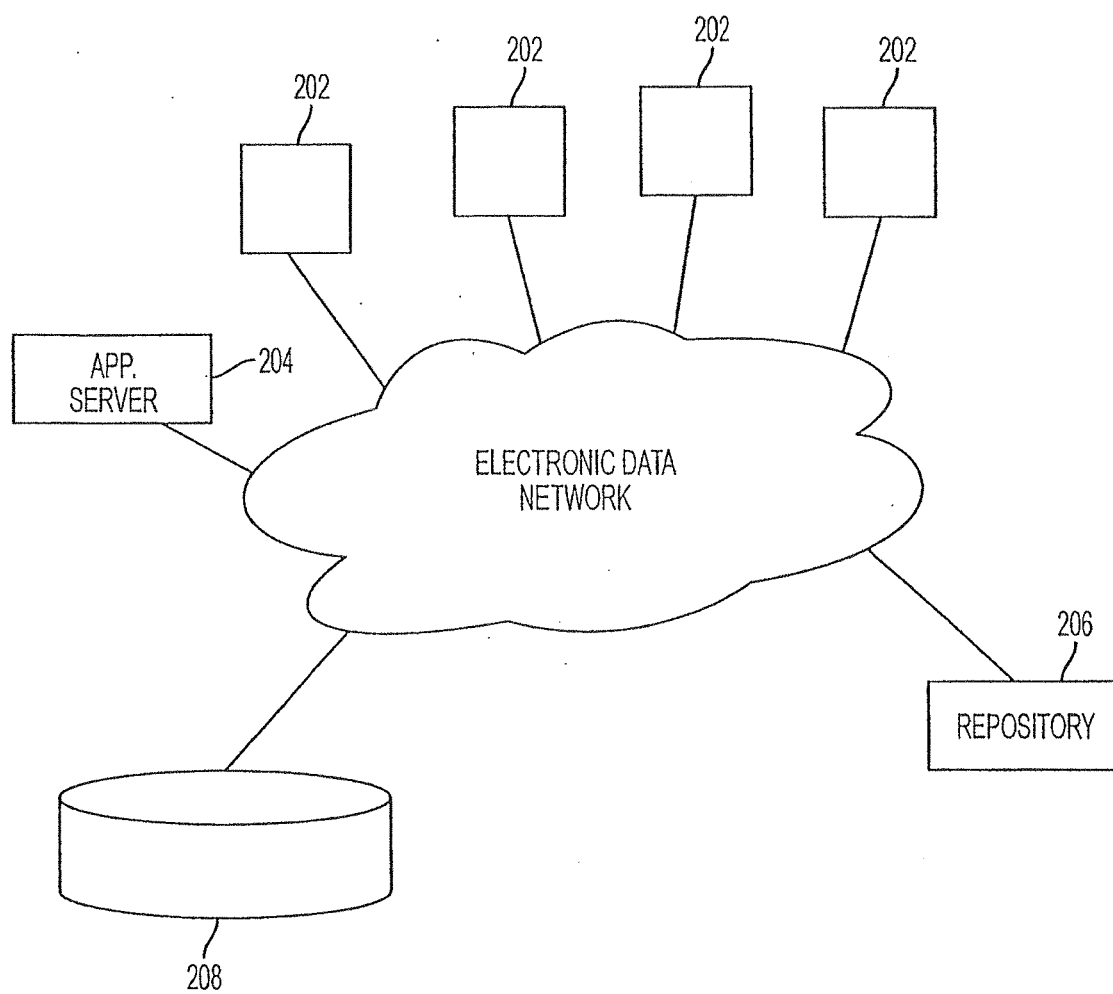


FIG. 5