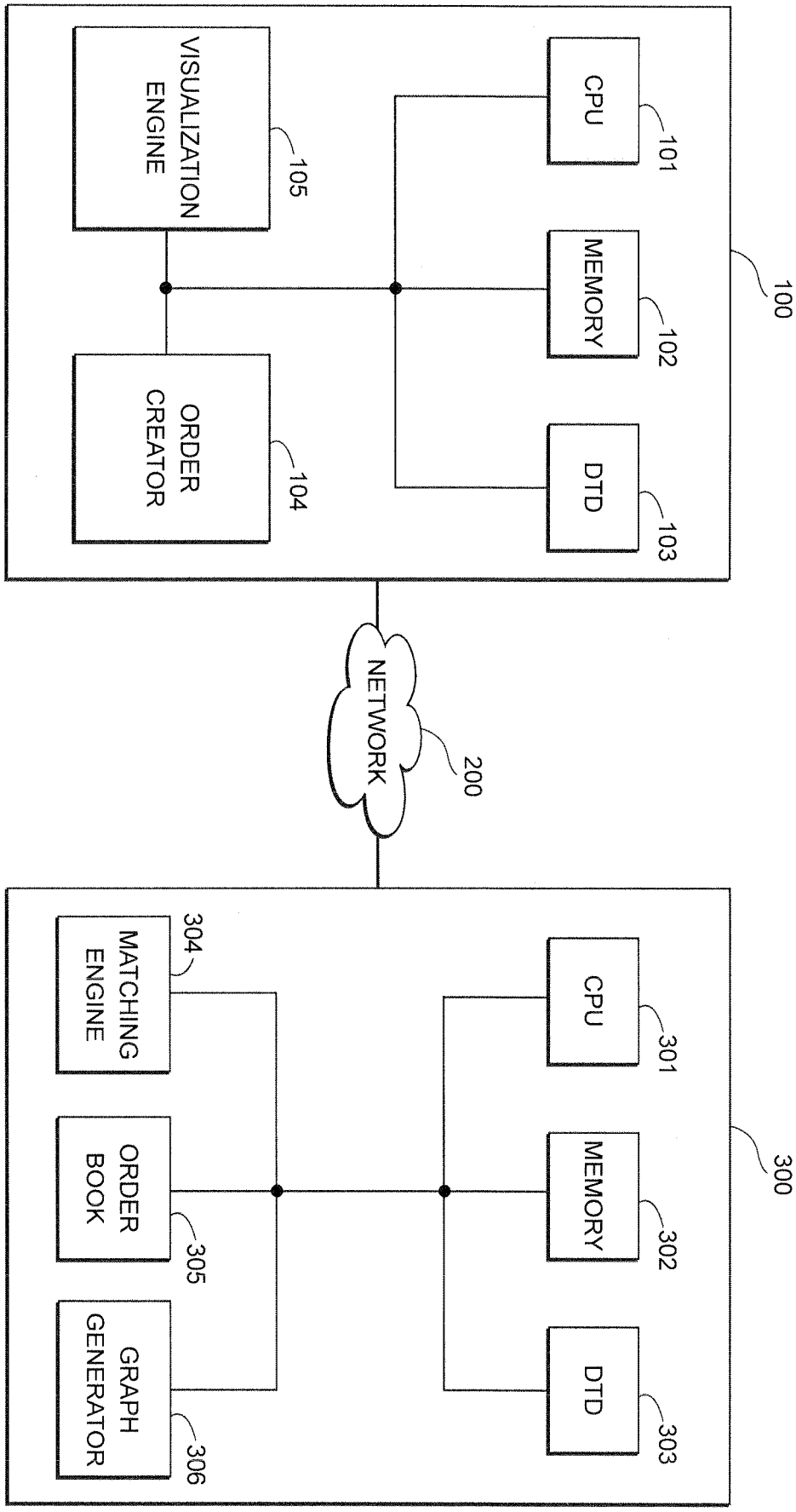

100
CPU
101
MEMORY
102
DTD
103
VISUALIZATION ENGINE
105
ORDER CREATOR
104
NETWORK
200
300
CPU
301
MEMORY
302
DTD
303
MATCHING ENGINE
304
ORDER BOOK
305
GRAPH GENERATOR
306

FIG. 1

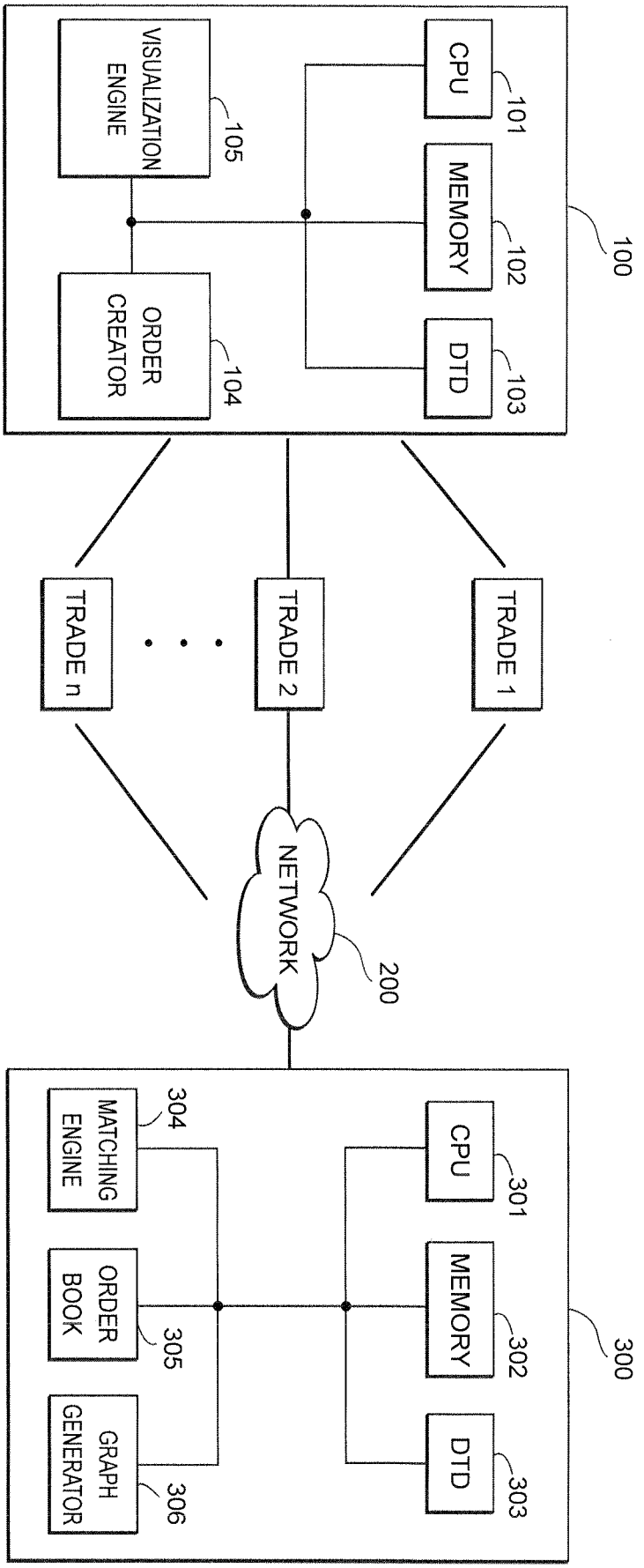

100
CPU
101
MEMORY
102
DTD
103
VISUALIZATION ENGINE
105
ORDER CREATOR
104
TRADE n
TRADE 2
TRADE 1
NETWORK
200
300
CPU
301
MEMORY
302
DTD
303
MATCHING ENGINE
304
ORDER BOOK
305
GRAPH GENERATOR
306

FIG. 2

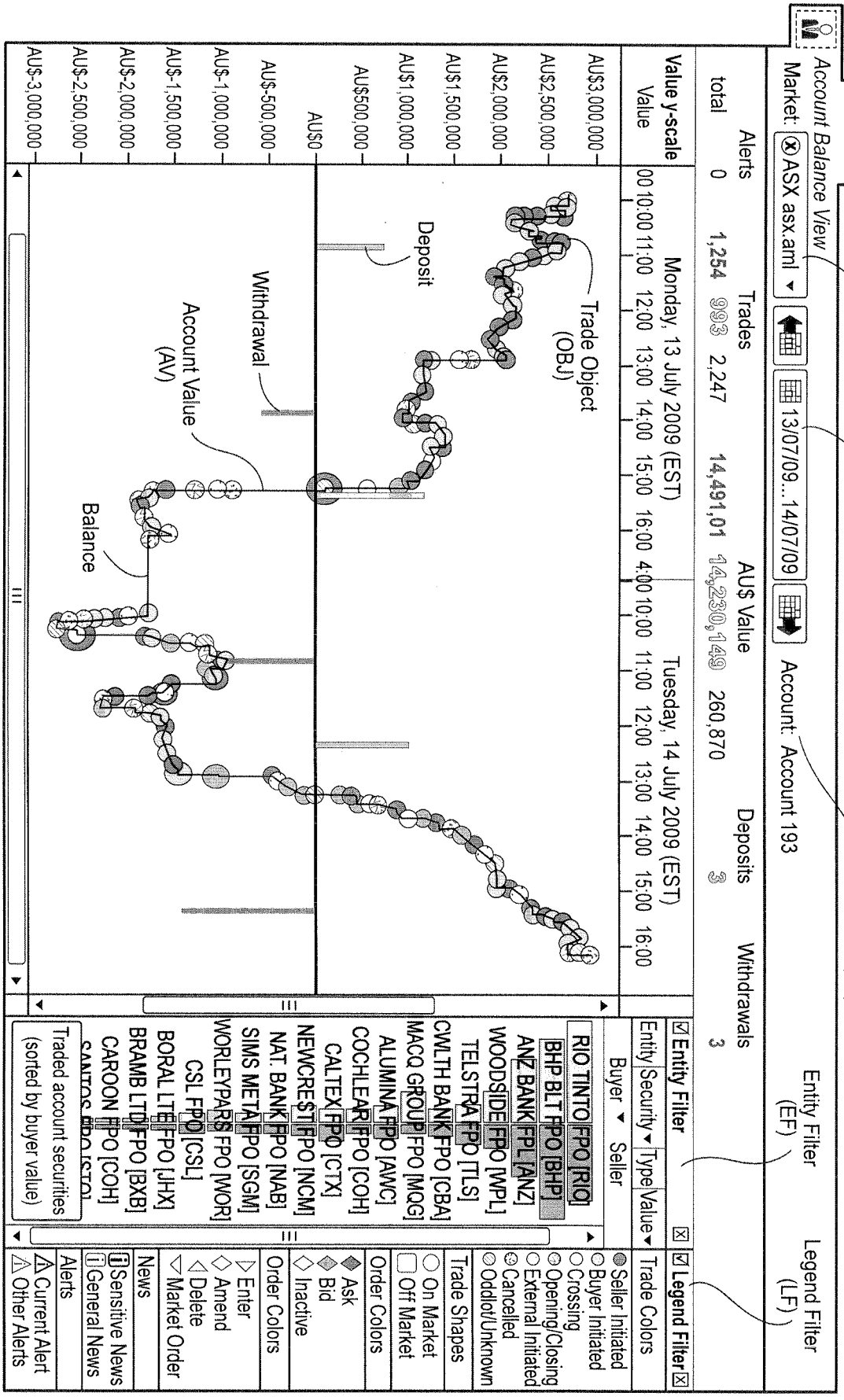

AML views
Account Balance View
Market: ASX asx.aml
Market Selector (MS)
13/07/09...14/07/09
Date Selector (DS)
Account: Account 193
Account Selector (AS)
Entity Filter (EF)
Legend Filter (LF)
Alerts 0
Trades total 1,254 993 2,247
AU$ Value 14,491,01 14,230,149 260,870
Deposits 3
Withdrawals 3
Value y-scale Value
Monday, 13 July 2009 (EST)
Tuesday, 14 July 2009 (EST)
00 10:00 11:00 12:00 13:00 14:00 15:00 16:00 4:00 10:00 11:00 12:00 13:00 14:00 15:00 16:00
AU$3,000,000
AU$2,500,000
AU$2,000,000
AU$1,500,000
AU$1,000,000
AU$500,000
AU$0
AU$-500,000
AU$-1,000,000
AU$-1,500,000
AU$-2,000,000
AU$-2,500,000
AU$-3,000,000
Trade Object (OBJ)
Deposit
Withdrawal
Account Value (AV)
Balance
Entity Filter
Entity Security Type Value
Buyer Seller
RIO TINTO FPO [RIO]
BHP BLT FPO [BHP]
ANZ BANK FPL [ANZ]
WOODSIDE FPO [WPL]
TELSTRA FPO [TLS]
CWLTH BANK FPO [CBA]
MACQ GROUP FPO [MQG]
ALUMINA FPO [AWC]
COCHLEAR FPO [COH]
CALTEX FPO [CTX]
NEWCRES FPO [NCM]
NAT. BANK FPO [NAB]
SIMS META FPO [SGM]
WORLEYPARS FPO [WOR]
CSL FPO [CSL]
BORAL LTD FPO [JHX]
BRAMB LTD FPO [BXB]
CAROON FPO [COH]
Traded account securities (sorted by buyer value)
Legend Filter
Trade Colors
Seller Initiated
Buyer Initiated
Crossing
Opening/Closing
External Initiated
Cancelled
Oddlot/Unknown
Trade Shapes
On Market
Off Market
Order Colors
Ask
Bid
Inactive
Order Colors
Enter
Amend
Delete
Market Order
News
Sensitive News
General News
Alerts
Current Alert
Other Alerts

FIG. 3(a)

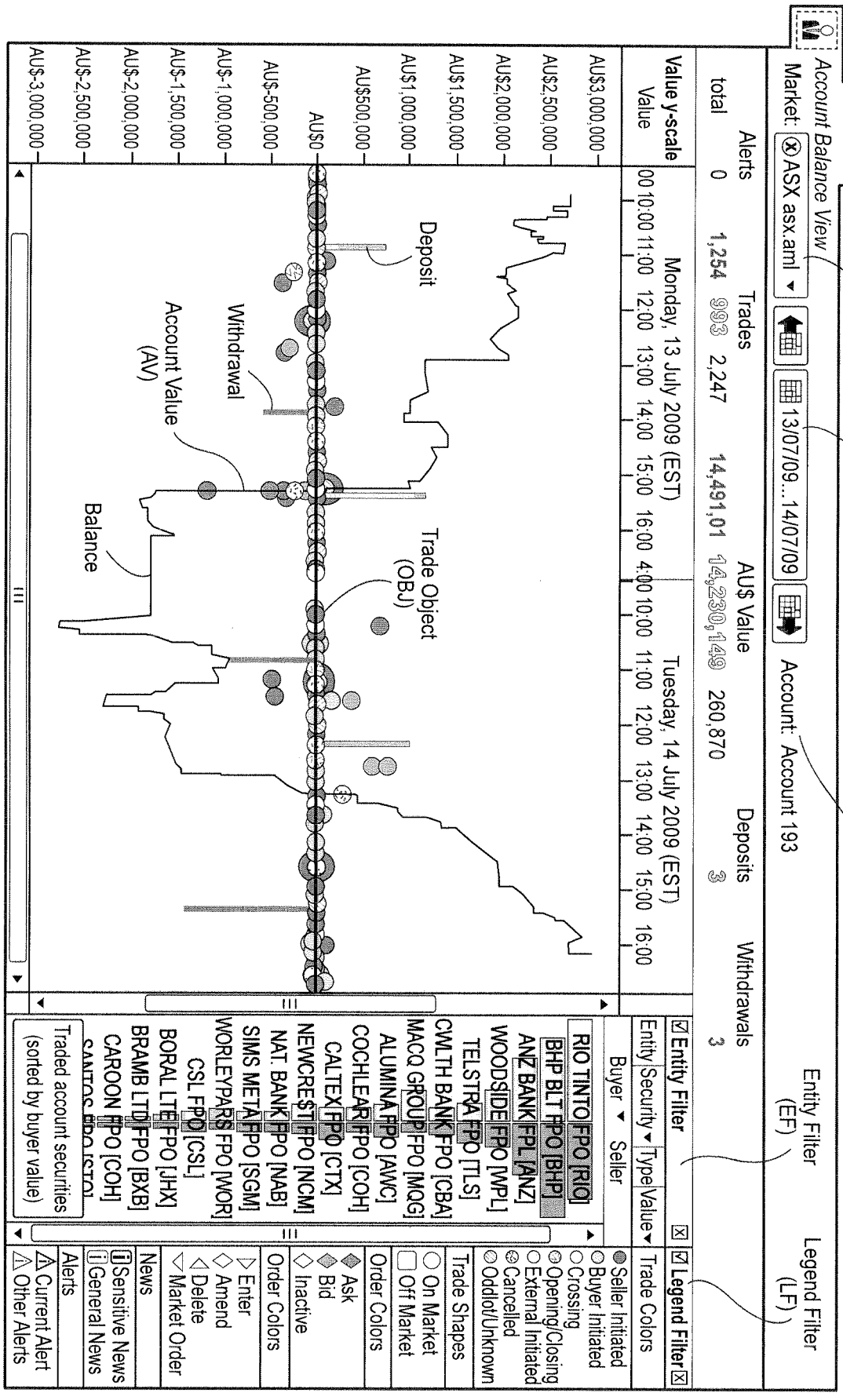

AML views
Account Balance View
Market: ASX asx.aml
13/07/09...14/07/09
Account: Account 193
Market Selector (MS)
Date Selector (DS)
Account Selector (AS)
Entity Filter (EF)
Legend Filter (LF)
Alerts Trades AU$ Value Deposits Withdrawals
total 0 1,254 993 2,247 14,491,01 14,230,149 260,870 3 3
Value y-scale
Value
Monday, 13 July 2009 (EST)
Tuesday, 14 July 2009 (EST)
00 10:00 11:00 12:00 13:00 14:00 15:00 16:00 4:00 10:00 11:00 12:00 13:00 14:00 15:00 16:00
AU$3,000,000
AU$2,500,000
AU$2,000,000
AU$1,500,000
AU$1,000,000
AU$500,000
AU$0
AU$-500,000
AU$-1,000,000
AU$-1,500,000
AU$-2,000,000
AU$-2,500,000
AU$-3,000,000
Deposit
Withdrawal
Account Value (AV)
Balance
Trade Object (OBJ)
Entity Filter
Entity Security Type Value
Buyer Seller
RIO TINTO FPO [RIO]
BHP BLT FPO [BHP]
ANZ BANK FPL [ANZ]
WOODSIDE FPO [WPL]
TELSTRA FPO [TLS]
CWLTH BANK FPO [CBA]
MACQ GROUP FPO [MQG]
ALUMINA FPO [AWC]
COCHLEAR FPO [COH]
CALTEX FPO [CTX]
NEWCRES FPO [NCM]
NAT. BANK FPO [NAB]
SIMS META FPO [SGM]
WORLEYPARS FPO [WOR]
CSL FPO [CSL]
BORAL LTD FPO [JHX]
BRAMB LTD FPO [BXB]
CAROON FPO [COH]
SANTOS FPO [STO]
Traded account securities (sorted by buyer value)
Legend Filter
Trade Colors
Seller Initiated
Buyer Initiated
Crossing
Opening/Closing
External Initiated
Cancelled
Odd lot/Unknown
Trade Shapes
On Market
Off Market
Order Colors
Ask
Bid
Inactive
Order Colors
Enter
Amend
Delete
Market Order
News
Sensitive News
General News
Alerts
Current Alert
Other Alerts

FIG. 3(b)

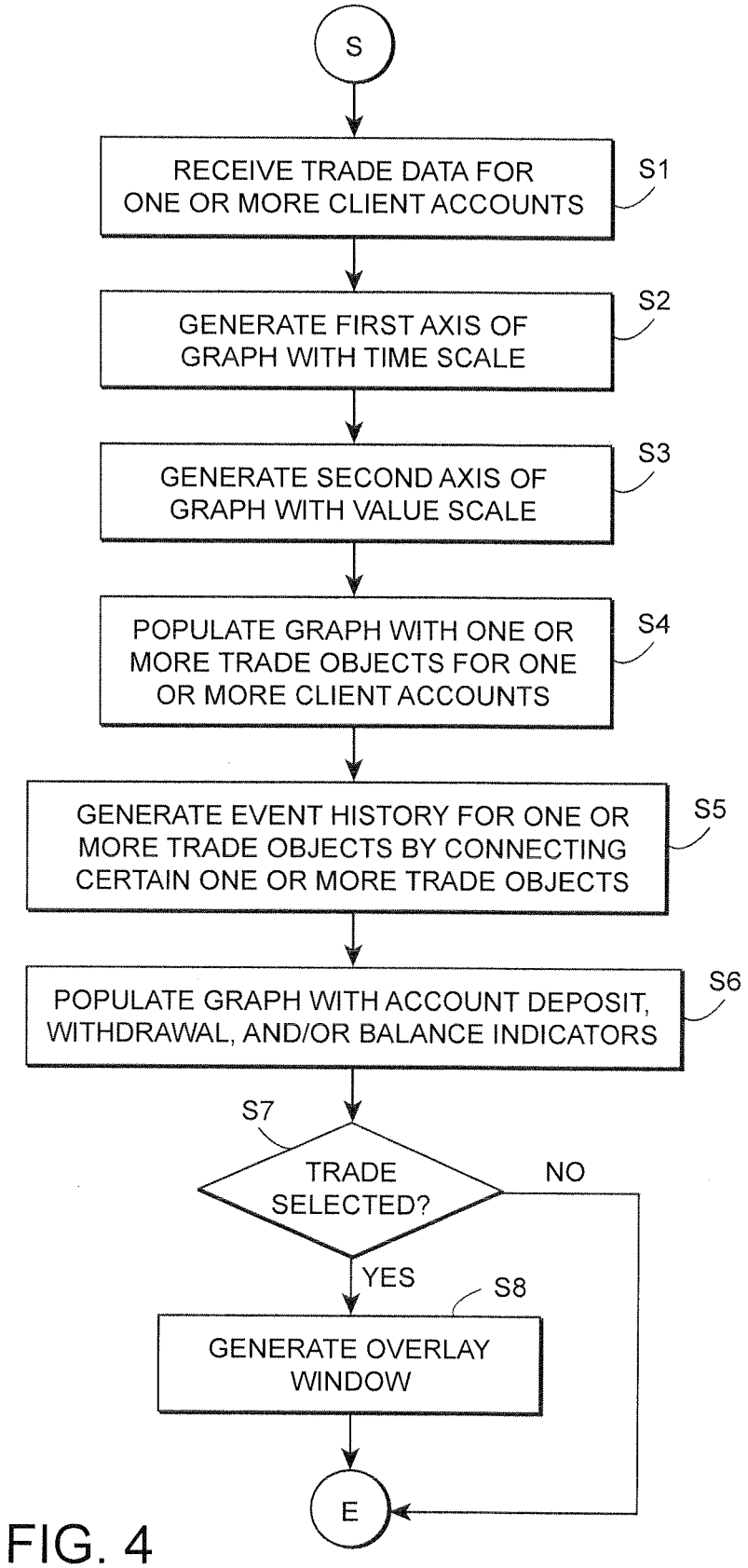

S
RECEIVE TRADE DATA FOR ONE OR MORE CLIENT ACCOUNTS
S1
GENERATE FIRST AXIS OF GRAPH WITH TIME SCALE
S2
GENERATE SECOND AXIS OF GRAPH WITH VALUE SCALE
S3
POPULATE GRAPH WITH ONE OR MORE TRADE OBJECTS FOR ONE OR MORE CLIENT ACCOUNTS
S4
GENERATE EVENT HISTORY FOR ONE OR MORE TRADE OBJECTS BY CONNECTING CERTAIN ONE OR MORE TRADE OBJECTS
S5
POPULATE GRAPH WITH ACCOUNT DEPOSIT, WITHDRAWAL, AND/OR BALANCE INDICATORS
S6
S7
TRADE SELECTED?
NO
YES
S8
GENERATE OVERLAY WINDOW
E

FIG. 4

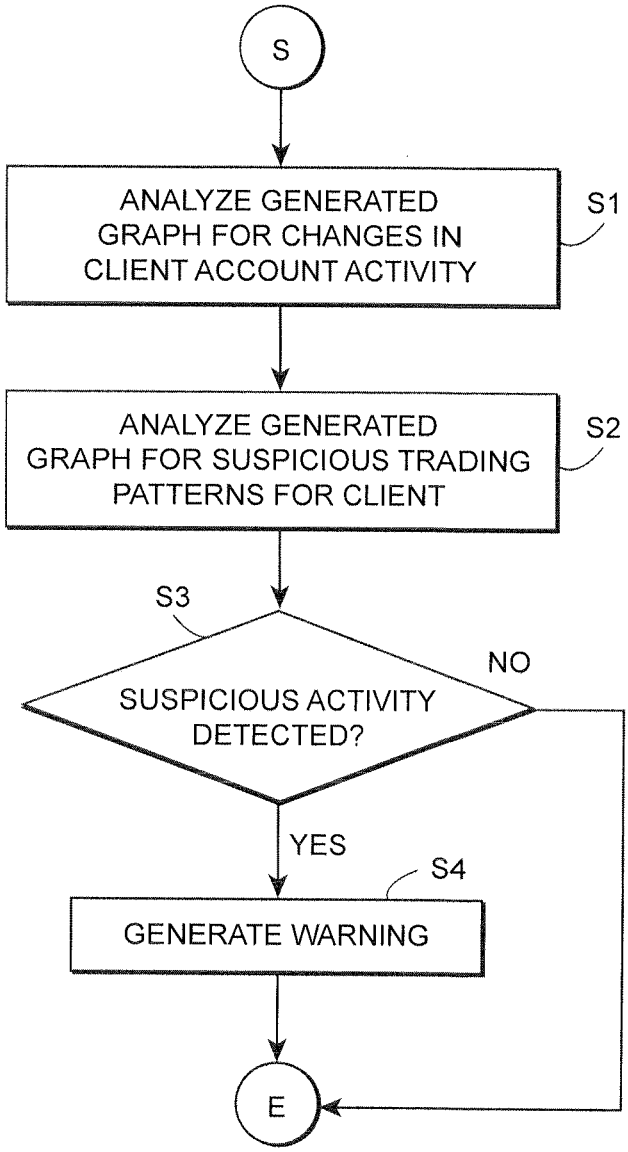

S
ANALYZE GENERATED GRAPH FOR CHANGES IN CLIENT ACCOUNT ACTIVITY
S1
ANALYZE GENERATED GRAPH FOR SUSPICIOUS TRADING PATTERNS FOR CLIENT
S2
S3
SUSPICIOUS ACTIVITY DETECTED?
NO
YES
S4
GENERATE WARNING
E

FIG. 5