



## User Manual

Updated 9/19/06

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Welcome

Welcome to BondPro.

Our goal is give you access to thousands of searchable offerings at your fingertips.  
Hopefully, we have designed a system that is not only user friendly, but one that will give  
you the best possible price execution for your customer.

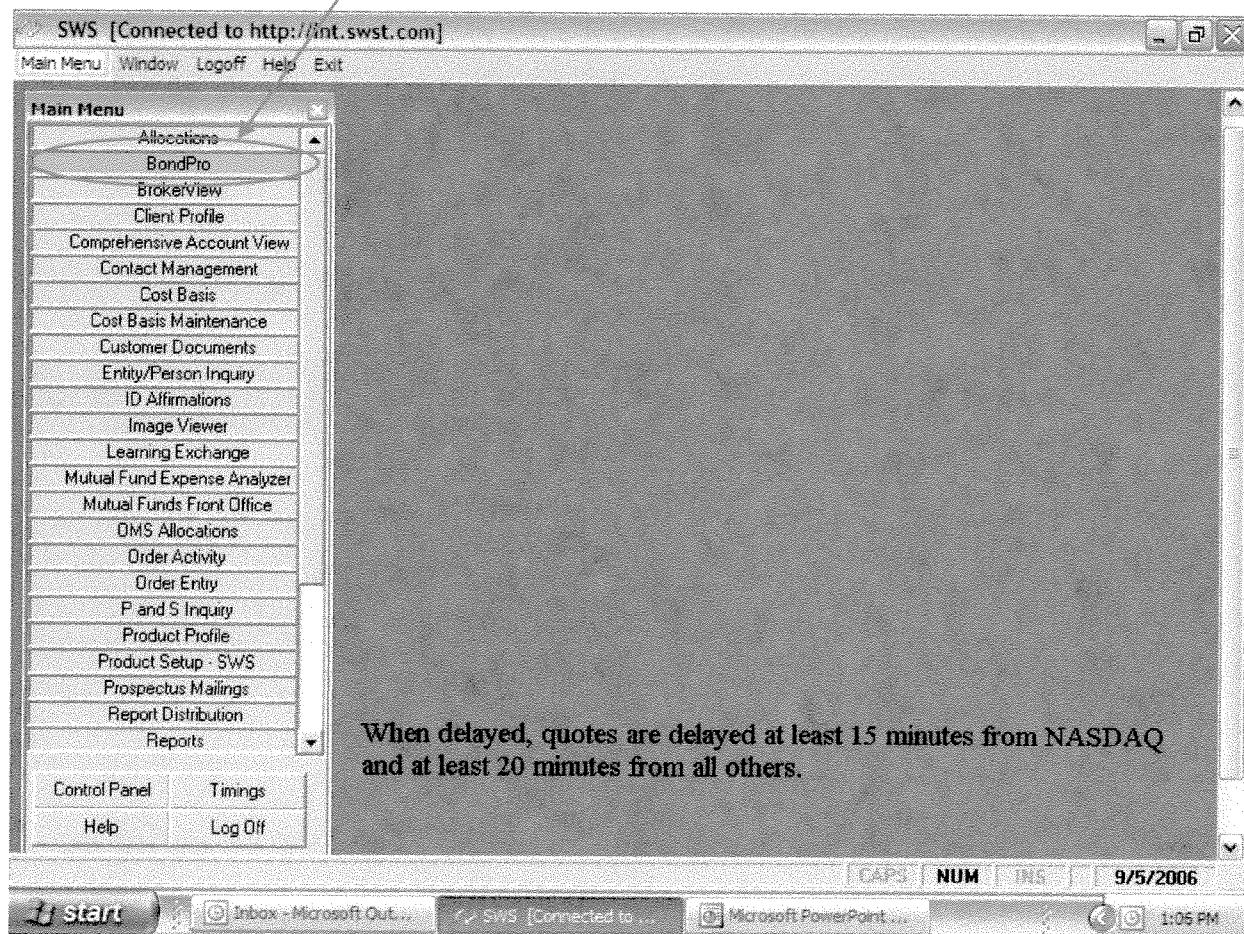
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In the pages following, we have outlined the basic functions of the system.  
We have tried to design this system around you business.  
We welcome your questions and/or comments.  
877-SWS-BOND  
877-797-2663

## 1.0 Accessing the Electronic Offerings System

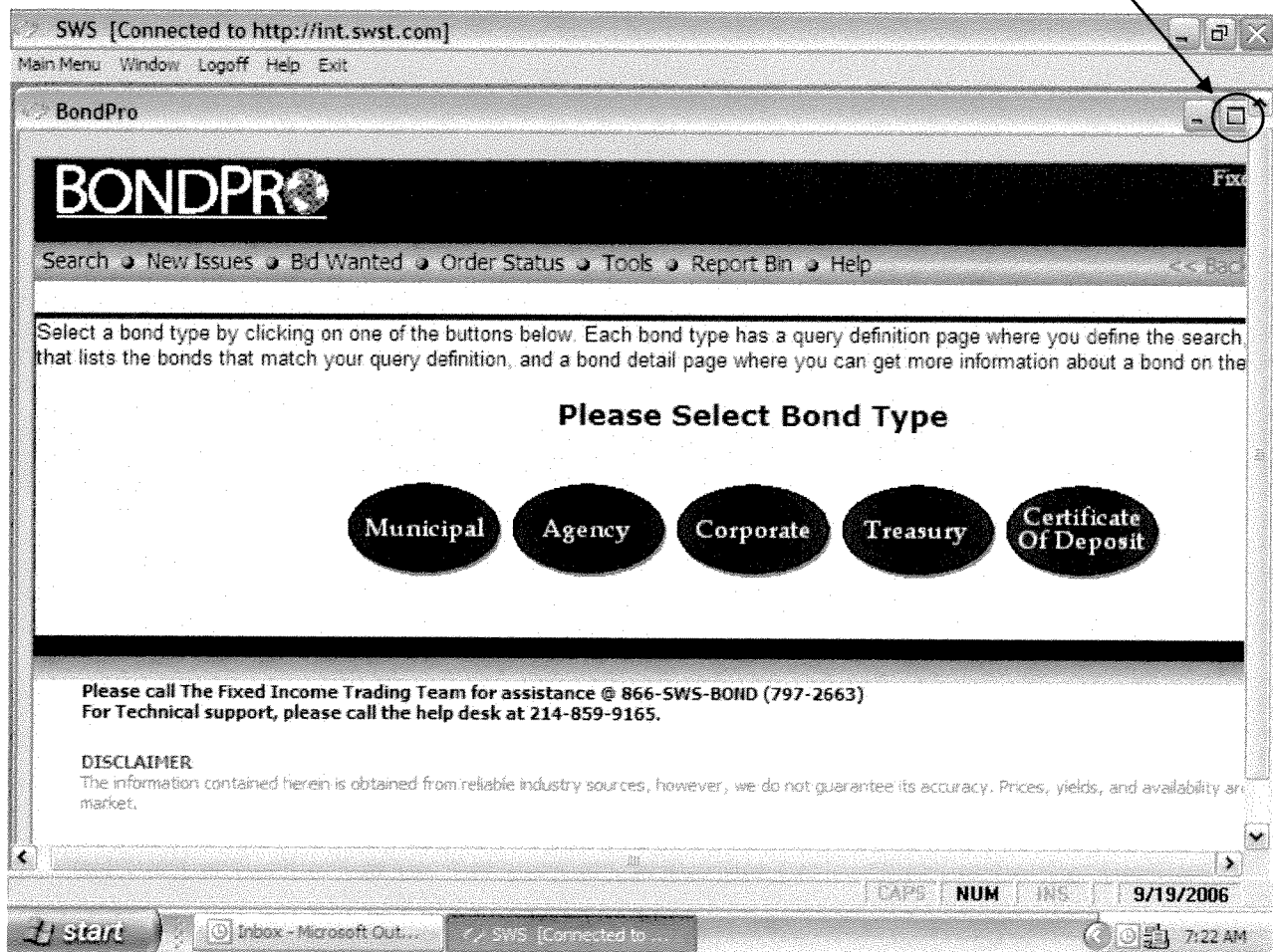
Let's get started.

Select the 'BondPro' tab in CSS to access the Electronic Order System.





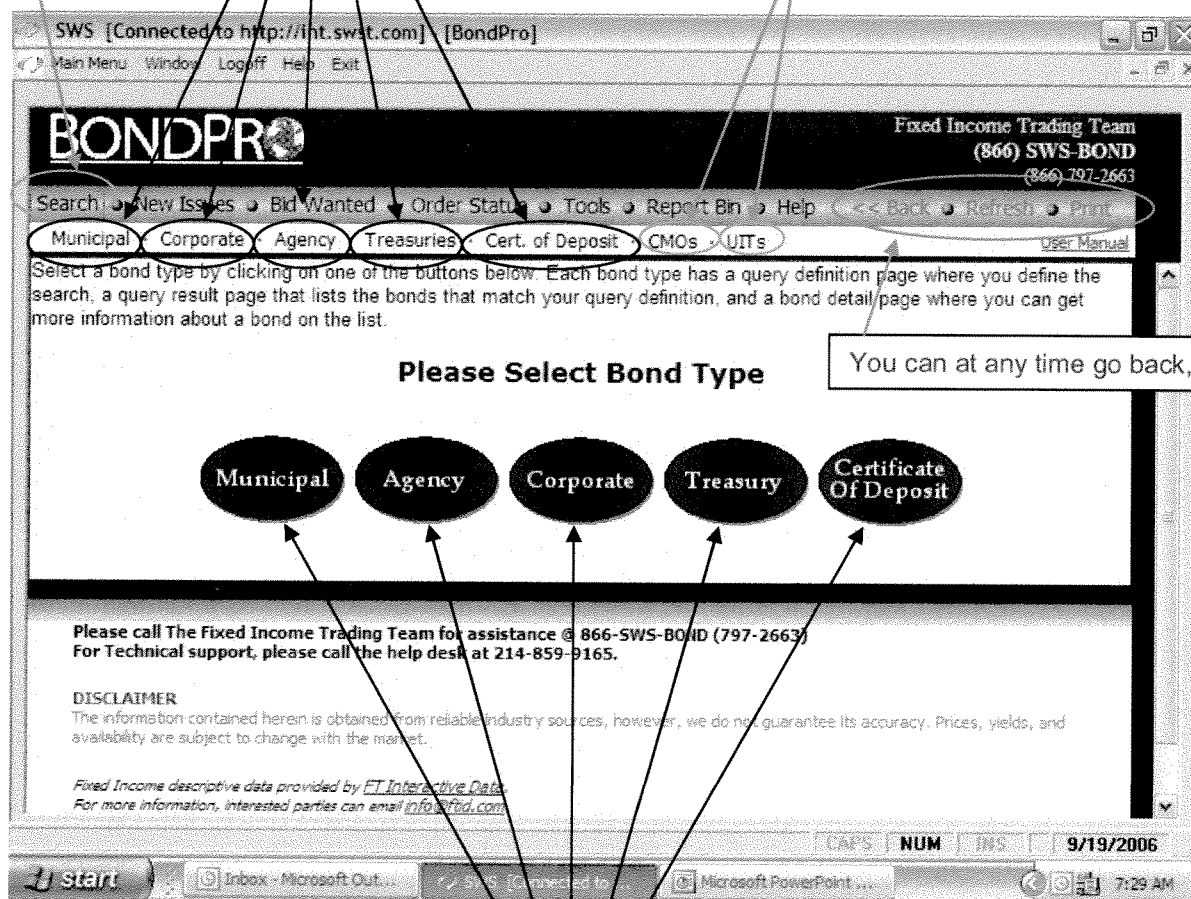
Depending on your screen resolution, you may need to maximize your CSS screen.  
If you can't see the entire screen, click here to maximize. Click the ☐ box.



## 2.0 Searching for Bonds

To search for bonds, Click on 'Search'. This will give you a drop down of bond types options.  
Next, click on the bond type you would like to search.  
(Municipal, Corporate, Agency, Treasuries, or CDs)

Note: CMOs and UITs are not searchable.  
Clicking on these tabs will go to our inventory of positions



You can at any time go back, refresh or print

You can also use these buttons to search as well.

## 2.0 Searching for Bonds

To Search, select the 'Search' selection, then select the type of bond you are looking for. We have used Municipals for this example.

To only see Southwest Securities offerings, click here, then 'Find Bonds'

The screenshot shows the BONDPRO web application interface. The top navigation bar includes links for Search, New Issues, Bid Wanted, Order Status, Tools, Report Bin, and Help. The main search area is titled 'Municipal Bond Search' and contains several sections:

- Express Search:** Includes fields for Issue, CUSIP List, Show Southwest Inventory Only, and Save Query As.
- Ranges:** Includes fields for Minimum and Maximum values for Maturity, Ratings, Quantity, Coupon, Yield, and Price.
- States:** A dropdown menu showing 'All States' and a list of states (Alabama, Alaska, Arizona, Arkansas).
- Purpose:** A dropdown menu showing 'All Bonds' and a list of purposes (Housing, Education, Public Service, Health Care).
- Coupon Payments:** A dropdown menu showing 'All Months' and a list of months (January, February, March).
- Constraints:** A table with columns 'Yes' and 'No' for various bond features:
 

| Constraint           | Yes                      | No                       |
|----------------------|--------------------------|--------------------------|
| General Obligation   | <input type="checkbox"/> | <input type="checkbox"/> |
| Revenue              | <input type="checkbox"/> | <input type="checkbox"/> |
| Callable             | <input type="checkbox"/> | <input type="checkbox"/> |
| Pre-Refunded         | <input type="checkbox"/> | <input type="checkbox"/> |
| Escrowed To Maturity | <input type="checkbox"/> | <input type="checkbox"/> |
| Taxable              | <input type="checkbox"/> | <input type="checkbox"/> |
| Subject To AMT       | <input type="checkbox"/> | <input type="checkbox"/> |
| Insured              | <input type="checkbox"/> | <input type="checkbox"/> |
| Bank Qualified       | <input type="checkbox"/> | <input type="checkbox"/> |
| Puttable             | <input type="checkbox"/> | <input type="checkbox"/> |
- Display Properties:** Includes fields for Sort By (Maturity), Rows Per Page (50), and Updated Since (9/19/2006).

At the bottom of the search area, there is a 'Find Bonds' button and a 'Clear Form' button. Below these buttons are five circular buttons labeled 'Municipal', 'Agency', 'Corporate', 'Treasury', and 'Certificate Of Deposit'. The 'Municipal' button is highlighted. At the very bottom, there is a footer with contact information for the Fixed Income Trading Team.

Once you have entered you criteria for the bonds you are searching for click 'Find Bonds' at bottom of screen.

## 2.0 Buying a bond

Once you run a query, your search results will be displayed. (your search results will look like the example below. To buy the position click the **Buy** button.

You can print the page here

SWS [Connected to http://int.swst.com] - [BondPro]

Main Menu Window Logout Help Exit

**BONDPRO** Fixed Income Trading Team  
(866) SWS-BOND  
(866) 797-2663

Search • New Issues • Bid Wanted • Order Status • Tools • Report Bin • Help << Back • Refresh • Print

Municipal • Corporate • Agency • Treasuries • Cert. of Deposit • CMOs • UITs User Manual

### Municipal Bond Search Results

For More Details, Click On The Issue Description 1 - 50 Of 122

| Qty<br>Min<br>Incr/MBR        | State<br>Ratings<br>Insurer | Issue<br>Call Information  | Coupon<br>Maturity   | Price<br>GSC<br>YTM**<br>LY |
|-------------------------------|-----------------------------|--|----------------------|-----------------------------|
| <b>Buy</b> 100<br>50<br>/50   | LA<br>Aaa/AAA<br>FSA        | <b>Rapides Parish La Sch Dist No Go Schl Bds</b><br>PRIM/SECNDRY ED ALL BONDS Ser 2003, Non Callable, Bank<br>Qualified                                    | 3.250<br>03-01-2008  | 99.719<br>0.350<br>3.450    |
| <b>Buy</b> 85<br>85<br>/85    | FL<br>Aaa/-<br>AMBAC        | <b>Martin Cnty Fla Gas Tax Rev Gas Tax Rev Bds</b><br>GEN PURP/PUB IMPT ALL BONDS Ser 2006, Non Callable   | 4.000<br>04-01-2008  | 100.883<br>0.350<br>3.400   |
| <b>Buy</b> 500<br>100<br>/100 | NY<br>A1/AA-                | <b>New York N Y G.O. Bds</b><br>GEN PURP/PUB IMPT ALL BONDS Ser 1998 B, OID: 99.383, Cont<br>Callable, Next Call 08-01-2007 @ 101.000, Priced to Next Call | 5.100<br>08-01-2008C | 101.000<br>0.875<br>3.824   |
| <b>Buy</b> 25<br>10<br>/10    | WI<br>Aaa/-<br>FSA          | <b>Fond Du Lac Wis Wtrwks Rev Sys Rev Bds</b><br>WTR & SWR ALL BONDS Ser 2002A, Non Callable   | 4.250<br>09-01-2008  | 101.393<br>0.500<br>3.501   |
| <b>Buy</b> 50<br>30<br>/30    | NY<br>A1/AA-                | <b>New York St Dorm Auth Revs Rev Bds</b><br>HIGHER ED ALL BONDS Ser 5TH RESOLUTION (A), Non Callable  | 5.250<br>01-01-2009  | 103.567<br>0.115<br>3.600   |
| <b>Buy</b> 65<br>25<br>/25    | IL<br>Aaa/AAA               | <b>Illinois Dev Fin Auth Rev Sch Bds</b><br>GEN PURP/PUB IMPT ALL BONDS Proj ROCKFORD S.D. 205 Ser   | 6.550<br>02-01-2009  | 106.841<br>0.400            |

CAPS NUM INNS 9/19/2006

Microsoft PowerPoint ... 8:10 AM

Displays quantity, minimum size, and increments.

Dollar price, your sales credit per bond, and yield  
Note: Your sales credit on these 85M bonds would be \$297.50

Note: Bonds highlighted in red are bonds we own in our inventory.

## 2.0 Buying a bond

Once you have run your search query and have selected a bond to buy, your selection will be displayed as in the example below.

Enter the amount you would like to buy here.

For special settlement date, enter here.

SWS [Connected to http://int.swst.com] - [BondPro]

Main Menu Window Logoff Help Exit

**BONDPRO** (866) 797-2663

Search New Issues Bid Wanted Order Status Tools Report Bin Help << Back Refresh Print

Municipal Corporate Agency Treasuries Cert. of Deposit CMOs UITs User Manual

### Municipal Bond Detail

MARTIN CNTY FLA GAS TAX REV GAS TAX REV BDS  
GEN PURP/PUB IMPT ALL BONDS Ser 2006, Non Callable

**Description**

|                 |           |               |                |              |
|-----------------|-----------|---------------|----------------|--------------|
| CUSIP:          | 5739068A1 | Type:         | Pay Frequency: | Semi-Annual  |
| State:          | FL        | Delivery:     | Tax Status:    | Tax Exempt   |
| Ratings:        | Aaa/-     | Dated Date:   | Call Schedule: | Non Callable |
| Insurance:      | AMBAC     | First Coupon: |                |              |
| Payment Months: | Apr,Oct   |               |                |              |

**Offer Information**

|            |    |            |    |                  |            |
|------------|----|------------|----|------------------|------------|
| Offer Qty: | 85 | Order Qty: | 85 | Settlement Date: | 09-22-2006 |
|------------|----|------------|----|------------------|------------|

**Order Pricing**

|               |          |                 |       |                |             |
|---------------|----------|-----------------|-------|----------------|-------------|
| Rep Cost:     | 100.533  | Yield To Mat*:  | 3.400 | Principal:     | \$85,750.55 |
| GSC Points:   | 0.35     | Yield To Worst: | N/A   | Accrued        |             |
| GSC Dollars:  | \$297.50 | Current Yield:  | 3.965 | Total Dollars: | \$87,677.22 |
| Retail Price: | 100.883  |                 |       |                |             |

YTM\* = Yield to effective maturity

Principal Trade

Select Principal or Agent here

Calculate Reset Show Customer Detail

Preview Order

Return to Search Results

Adjust sales credit here.

Once you have entered your quantity and made any sales credit adjustments, hit the 'calculate' button at bottom of page to calculate your sales credit and yield. THEN, click on the 'Preview Order' button.



## 2.0 Buying a bond

Your sales credit will be displayed here

Your rep information will automatically fill in here.

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### BUY ORDER

#### Municipal Bond Order - Preview

MARTIN CHTY FLA GAS TAX REV GAS TAX REV BDS  
GEN PURP/PUB IMPT ALL BONDS Ser 2006, Non Callable

Coupon: 4.000  
Maturity: 04-01-2008

**Description**

CUSIP: 673906BA1 Type: Book Entry  
State: FL Delivery: 02-28-2006  
Ratings: Aaa- Dated Date: 02-28-2006  
Insurance: AMBAC First Coupon: 10-01-2006

Pay Frequency: Semi-Annual  
Tax Status: Tax Exempt  
Call Schedule: Non Callable

**Order Information**

Offer Quantity: 85 Rep Number: 455004 Order Status: Okay  
Order Quantity: 85 / 85 Rep Name: James Lemon  
GSC Dollars: \$297.50 Phone Number: Settlement Date: 09-22-2006

**Message To Trader**  
[Send Message To Trader](#)

**Customer Information**

| Account Name | Order Qty | Retail Price | Yield To Maturity | Principal   |
|--------------|-----------|--------------|-------------------|-------------|
|              | 85        | 100.883      | 3.400             | \$85,750.55 |

| Account Number | GSC Points | Current Yield | Yield To Worst | Accrued Int. |
|----------------|------------|---------------|----------------|--------------|
|                |            | 0.350         | 3.965          | N/A          |
|                |            |               |                | \$1,926.67   |

Account Type: 1 - Cash  
Name Of Rep Of Record: James Lemon Rep #  
Date Accepted: 9/19/2006 Time Accepted: 9:35:43  
Set Order Qty To 0 To Delete A Customer Record

[Return to search results](#)

Select Cash, Margin, or DVP

Enter your rep number here

Once you have filled in the blanks, click the 'Submit Order' button to send your order.  
Note: The system won't let you submit the order until everything needed is filled in.

## 2.0 Buying a bond

You can run a trade as Agent as well.

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### Municipal Bond Detail

SOUTHAMPTON CNTY VA INDL DEV A PUB FAC BOS  
GEN PURP/PUB IMPT REV ALL BONDS Proj SOUTHAMPTON COUNTY PUB FAC Ser 2006A, OID: 97.120, Callable, Maturity: 04-01-2028  
Next Call 04-01-2016 @ 100.000, Priced To Next Call, MANDATORY SINKING FUND

**Description**

|                 |              |               |            |                |             |
|-----------------|--------------|---------------|------------|----------------|-------------|
| CUSIP:          | 841022A85    | Type:         | Revenue    | Pay Frequency: | Semi-Annual |
| State:          | VA           | Delivery:     | Book Entry | Tax Status:    | Tax Exempt  |
| Ratings:        | -/AAA        | Dated Date:   | 11-15-2006 | Call Schedule: |             |
| Insurance:      | CIFG         | First Coupon: | 04-01-2007 |                |             |
| Payment Months: | Apr./Oct     |               |            |                |             |
| Sinking Fund:   | 04/01/2026 0 |               |            |                |             |

**Offer Information**

Offer Qty: 375 Order Qty: Settlement Date: 11-15-2006  
Min Qty: 10 Min Balance Remaining: 10

**Order Pricing**

|              |            |                              |                |                   |             |
|--------------|------------|------------------------------|----------------|-------------------|-------------|
| Rep Cost:    | 97.996     | Yield To Mat <sup>TM</sup> : | 4.250          | Principal:        | \$99,996.00 |
| GSC Points:  | 0.00       | Yield To Worst:              | 4.250          | Accrued Interest: | \$0.00      |
| GSC Dollars: | \$2,000.00 | 04-01-2016                   | Total Dollars: | \$99,996.00       |             |

YTM<sup>TM</sup> = Yield to effective maturity

Calculate Reset Show Customer Detail

Preview Order

Return to Search Results

Municipal Agency Next, click on Preview Order Certificate Of Deposit

## 2.0 Buying a bond

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Search New Issues Bid Wanted Order Status Tools Report Bin Help

**BUY ORDER**

**Municipal Bond Order - Preview**

SOUTHAMPTON CNTY VA INDL DEV A PUB FAC BDS  
GEN PURP/PUB IMPT REV ALL BONDS Proj SOUTHAMPTON COUNTY PUB FAC Ser 2006A, OID: 97.120,  
Callable, Next Call 04-01-2016 @ 100.000, Priced to Maturity, MANDATORY SINKING FUND

Coupon: 4.250  
Maturity: 04-01-2026

**Description**

|                  |                          |                            |
|------------------|--------------------------|----------------------------|
| CUSIP: 841022AS5 | Type: Revenue            | Pay Frequency: Semi-Annual |
| State: VA        | Delivery: Book Entry     | Tax Status: Tax Exempt     |
| Ratings: -AAA    | Dated Date: 11-15-2006   | Call Schedule:             |
| Insurance: CFIG  | First Coupon: 04-01-2007 | 04-01-2016@100.000 4.514   |

Sinking Fund: 04/01/2026 0

**Order Information**

|                         |                       |                             |
|-------------------------|-----------------------|-----------------------------|
| Offer Quantity: 375     | Rep Number: 455004    | Order Status: Okay          |
| Order Quantity: 10 / 10 | Rep Name: James Lemon |                             |
| GSC Dollars: \$0.00     | Phone Number:         | Settlement Date: 11-15-2006 |
| MSR: 10                 |                       |                             |

**Message To Trader**

Send Message To Trader

Customer Information

Click here is you want to send a message to the trader.

SWS [Connected to http://int.swst.com] - [BondPro]

Main Menu Window Logout Help Exit

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Report Bin Help

**Send Message To Trader**

**Customer Information**

| Account Name   | Order Qty  | Retail Price  | Yield To Maturity | Principal   |
|----------------|------------|---------------|-------------------|-------------|
|                | 10         | 97.996        | 4.395             | \$9,799.60  |
| Account Number | GSC Points | Current Yield | Yield To Worst    | Accrued Int |
|                | 0.000      | 4.337         | 4.395             | \$0.00      |
| Commission     |            |               |                   | 20.00       |
| Total Dollars  |            |               |                   | \$9,799.60  |

Account Type: 1 - Cash

Name Of Rep Of Record: James Lemon Rep # Solicited Order? ☒

Date Accepted: 11/3/2006 Time Accepted: 10:02:51

Set Order Qty To 0 To Delete A Customer Record

Calculate Reset Add Customer Cancel Order **Submit Order**

Return to search results

NUM INS 11/3/2006

Enter your customer account and name in these spaces.

Enter your commission here.

Click on 'Submit Order' when account info and commission is complete.



## 2.0 Building a Report

Select bonds in this square to add to a report

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### Municipal Bond Search Results

For More Details, Click On The Issue Description 1 - 50 Of 111

| Qty<br>Min<br>Incr/MPA                          | State<br>Ratings<br>Insurer | Issue<br>Call Information   | Coupon<br>Maturity | Price<br>GSC<br>YTM<br>LY                 |
|---|-----------------------------|---|--------------------|---|
| <input type="checkbox"/> Buy 85                 | IL Aaa/-<br>AMBAC           | <b>Martin Cnty Fla Gas Tax Rev Gas Tax Rev Bds</b><br>GEN PURP/PUB IMPT ALL BONDS Ser 2006, Non Callable  | 4.000 04-01-2008   | 100.883<br>0.350<br>3.400<br>Mat          |
| <input type="checkbox"/> Buy 500<br>100<br>/100 | NY A1/AA-<br>/100           | <b>New York II Y.G.O. Bds</b><br>GEN PURP/PUB IMPT ALL BONDS Ser 1998 B, OID: 99.583, Cont<br>Callable, Next Call 08-01-2007 @ 101.000, Priced to Next Call | 5.100 08-01-2008C  | 102.264<br>0.075<br>3.824<br>3.551<br>Mat |
| <input type="checkbox"/> Buy 25<br>10<br>/10    | WI Aaa/-<br>FSA             | <b>Fond Du Lac Wis Wtrwks Rev Sys Rev Bds</b><br>WTR & SWR ALL BONDS Ser 2002A, Non Callable  | 4.250 09-01-2008   | 101.393<br>0.500<br>3.501<br>Mat          |
| <input type="checkbox"/> Buy 50<br>50           | NY A1/AA-                   | <b>New York St Dorm Auth Revs Rev Bds</b><br>HIGHER ED ALL BONDS Ser 5TH RESOLUTION (A), Non Callable   | 5.250 01-01-2009   | 103.567<br>0.115<br>3.600<br>Mat          |
| <input type="checkbox"/> Buy 65<br>25<br>/25    | IL Aaa/AAA<br>FSA           | <b>Illinois Dev Fin Auth Rev Sch Bds</b><br>GEN PURP/PUB IMPT ALL BONDS Proj ROCKFORD S.D. 205 Ser<br>1994, Non Callable                                    | 6.550 02-01-2009   | 106.841<br>0.400<br>3.500<br>Mat          |
| <input type="checkbox"/> Buy 100<br>100         | NY Aaa/AA+                  | <b>Hempstead Town N Y Serial Bds</b><br>GEN PURP/PUB IMPT ALL BONDS Ser 2005 A, Non Callable  | 5.000 02-15-2009   | 103.370<br>0.120                          |

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User Manual

111 0.750  
111 0.730  
111 3.502  
100 99.988  
111 0.500  
100 108.581  
118 0.500  
3.530  
Pre Ref  
100 106.312  
111 1.000  
111 3.530  
Mat

9/19/2006 10:05 AM

start Inbox - Microsoft... SWS [Connected...] Microsoft PowerP... Internet Expl... 10:05 AM

☐ Buy 185 IN  
10 Aaa/-  
/10 FSA

**Clark Cnty Ind Jail Hldg Corp Lease Rental Bd**  
CRTN FACS/COURTS ALL BONDS Ser 2004, Non Callable

4.000 07-15-2011  
0.575  
3.550  
Mat

Add Selected Bonds To Portfolio

Next

YTM\* = Yield To Effective Maturity. C=Callable LY=Lowest Yield Rating=Moody's/S&P MBR=Min Balance Remaining

Configure Report  
Export All To Excel

9/19/2006 10:05 AM

start Inbox - Microsoft... SWS [Connected...] Microsoft PowerP... Internet Expl... 10:05 AM

You can configure a report or export your results to excel

## 2.0 Configuring your report

SWS [Connected to http://int.swst.com] - [BondPro]

Main Menu Window LogOff Help Exit

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### Report Configuration

Please Select From The Following Options:

**Report Type**

- Maturity Schedule Report
- Offerings Report
- Offerings (HTML)
- Portfolio Report
- Portfolio/Bond Ladder (Cash Flow)
- Portfolio/Bond Ladder (Sched Pmt)

**Report Options**

- ☐ Graphs/Charts
- ☐ Next Premium
- ☐ TEY or TFY
- ☐ Misc. Fee
- ☐ Next Par Call
- ☐ GSC
- ☐ Show Interest
- Tax Rate (%): 0.0
- Report Format: PDF

**Header Information**

Printed By: James Lemon

Company: Southwest Securities

Report Header:

Comments:

Save As:

☐ Email this report

Fill Down

Calculate List Create Report

Qty Min State Ratings Issue Coupon GSC Rep Price  
Min Ratings Insurer Call Information Maturity Misc Fee Cust. Price  
Yield

9/19/2006

You can send reports in PDF, Excel, or Word format  
Note: Excel is the easiest to manipulate.

There are several reports available for you to send to your customer.

You can even email your report by clicking here

You can adjust your sales credit here.

| Qty Min | State Ratings Insurer | Issue Call Information                                   | Coupon Maturity | GSC Misc Fee | Rep Price Cust. Price YTM* LY |
|---------|-----------------------|--|-----------------|--------------|-------------------------------|
| 25      | WI                    | FOND DU LAC WIS WTRWKS REV SYS REV BDS                   | 4.250           | 0.5          | 100.893                       |
| 10      | Aaa/-                 | WTR & SWR ALL BONDS Ser 2002A, Non Callable              | 09-01-2008      | \$0.00       | 101.393                       |
| 50      | NY                    | NEW YORK ST DORM AUTH REVS REV BDS                       | 5.250           | 0.115        | 103.452                       |
| 50      | A1/A-                 | HIGHER ED ALL BONDS Ser 5TH RESOLUTION (A), Non Callable | 01-01-2009      | \$0.00       | 103.567                       |
|         |                       |  |                 |              | 3.600                         |

Fill Down

Calculate List Create Report

Return to Search Results

Municipal Agency Corporate Treasury Certificate Of Deposit

start Inbox - Microsoft SWS [Connected... Microsoft PowerP... Internet Expl... 9/19/2006 10:08 AM

The bonds you selected will display here.

Click here to create your report

Once you have made all your changes, hit the 'calculate' button to update yields.

## 2.0 Configuring your report

Once you have hit the 'Create Report' tab, you will see the "Report is Generating" screen to let you know that your report is being processed. The system is working on your report at this point. You have continue working on the site while your report is being processed. Depends on the volume of reports being processed, it might take a few moments.

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### Report Is Generating

Your Report Is Generating. You Will Be Notified When The Process Has Completed.

[Continue](#)

Municipal Agency Corporate Treasury Certificate Of Deposit

Please call The Fixed Income Trading Team for Technical support, please call (866) 797-2663

**DISCLAIMER**  
The information contained herein is obtained from reliable industry sources, however, we do not guarantee its accuracy. Prices, yields, and availability are subject to change with the market.

Fixed Income descriptive data provided by Valued Express Query System

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User Manual

### Report Bin

| Report Name      | Created             | Status   | Download                               |
|------------------|---------------------|----------|--|
| Offerings Report | 09/19/2006 11:37:15 | Complete | <a href="#">Ver 10106091939349.Pdf</a> |
| Offerings Report | 09/19/2006 11:37:09 | Complete | <a href="#">Ver 10106091939348.Pdf</a> |
| Offerings Report | 09/19/2006 11:36:11 | Complete | <a href="#">Ver 10106091939345.Pdf</a> |

Reports are available in the report bin until the end of the day.

[Refresh Report Bin](#)

Municipal Corporate Agency Treasury Certificate Of Deposit

Bond Selection

start Contacts - Micros SWS Connected Microsoft PowerPoint Internet Explorer 9/19/2006 10:37 AM

Go to the 'Report Bin' to see your requested reports.

To view your report, click on the blue link, and you will be able to access and save this attachment.  
Note: Your reports will stay on this page for the remainder of the day.  
They are automatically deleted at the end of each day.

All new issue information is organized for easy access.

3.0 New Issues Selection

Takes you to Estate Notes search page (bonds with death put options)

Takes you to the CD search page

The screenshot shows the BONDPRO website interface within an Internet Explorer browser window. The browser's address bar shows the URL <http://int.swst.com>. The website header includes the BONDPRO logo and contact information for the Fixed Income Trading Team: (866) SWS-BOND and (866) 797-2663. A navigation menu at the top contains links for Search, New Issues, Bid Wanted, Order Status, Tools, Report Bin, and Help. Below this, a secondary menu highlights 'Weekly SWS Muni Calendar', 'Estate Notes', 'CIPS', and 'Cert. of Deposit'. A text block instructs users to select a bond type by clicking on one of the buttons below, each leading to a query definition page, a query result page, and a bond detail page. Five buttons are displayed: 'Municipal', 'Agency', 'Corporate', 'Treasury', and 'Certificate Of Deposit'. Callouts provide additional context: 'Links to our SWS Weekly Municipal Underwriting Calendar' points to the 'Weekly SWS Muni Calendar' link; 'Links to a list of Corporate Inflation Protected offerings' points to the 'CIPS' link; and 'Takes you to the CD search page' points to the 'Cert. of Deposit' link. The footer contains a disclaimer, contact information for technical support, and a date stamp of 9/19/2006.

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Fixed Income Trading Team  
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(866) 797-2663

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Weekly SWS Muni Calendar • Estate Notes • CIPS • Cert. of Deposit User Manual

Select a bond type by clicking on one of the buttons below. Each bond type has a query definition page where you define the search, a query result page that lists the bonds that match your query definition, and a bond detail page where you can get more information about a bond on the list.

**Please Select Bond Type**

Links to our SWS Weekly Municipal Underwriting Calendar

Municipal Agency Corporate Treasury Certificate Of Deposit

Links to a list of Corporate Inflation Protected offerings

Takes you to the CD search page

Please call The Fixed Income Trading Team for assistance @ 866-SWS-BOND (797-2663)  
For Technical support, please call the help desk at 214-859-9165.

**DISCLAIMER**  
The information contained herein is obtained from reliable industry sources, however, we do not guarantee its accuracy. Prices, yields, and availability are subject to change with the market.

Fixed Income descriptive data provided by FT Interactive Data.  
For more information, interested parties can email [info@fid.com](mailto:info@fid.com).

9/19/2006

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## 4.0 Bid Wanted Selection

You can send Bid Wanted directly to the trader via the online system. Simply select the 'BID WANTED' option and enter your info.

Enter your number of bonds, cusip, and time you need the bids back.

SWS [Connected to http://int.swst.com] - [BondPro]

Main Menu Window Logoff Help Exit

**BONDPRO** Fixed Income Trading Team (866) SWS-BOND (866) 797-2663

Search New Issues Bid Wanted Order Status Tools Report Bin Help

**Bid Wanted Submission System**

**Sell Bonds**

Enter Information Below To Receive A Bid On Bonds. Items Marked With A \* Are Required For Submission. Please Call The Fixed Income Trading Team At 866-SWS-BOND (797-2663).

**Bond Information**

| Number Of Bonds      | CUSIP                | Min. Price           | Expire Time (EST)  |
|----------------------|----------------------|----------------------|--|
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input checked="" type="radio"/> Today 12:30<br><input type="radio"/> Wednesday, Sep 20 8:30 |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input checked="" type="radio"/> Today 12:30<br><input type="radio"/> Wednesday, Sep 20 8:30 |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input checked="" type="radio"/> Today 12:30<br><input type="radio"/> Wednesday, Sep 20 8:30 |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input checked="" type="radio"/> Today 12:30<br><input type="radio"/> Wednesday, Sep 20 8:30 |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input checked="" type="radio"/> Today 12:30<br><input type="radio"/> Wednesday, Sep 20 8:30 |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input checked="" type="radio"/> Today 12:30<br><input type="radio"/> Wednesday, Sep 20 8:30 |

start | Contacts - Micros... | SWS [Connected...]

**Rep And Customer Information**

Rep Number:  Rep Name:

Account Number:  Account Name:

**Contact Information**

Please Enter An E-Mail Address And/Or Phone Number Where You Can Be Contacted Regarding Your Bid.

Company: \*  Phone Number: \*

Contact: \*  E-Mail: \*

Reset Form Preview

start | Contacts - Micros... | SWS [Connected... | Microsoft PowerP... | Internet Exp... | 9/19/2006 | 10:44 AM

Be sure to include your information before your hit "preview"

Your name should pull in automatically from your CSS login.

After you have added your info, hit the "Preview" tab.

## 4.0 Bid Wanted Selection

Once you hit the 'Preview' button you will see a list of the bonds you want a bid for and the info you entered.

Enter any special settlement considerations here.

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### Bid Wanted Submission System

#### Sell Bonds

Enter Information Below To Receive A Bid On Bonds. Items Marked With A \* Are Required For Submission. Please Call The Fixed Income Trading Team At 866-SWS-BOND (797-2663).

#### Bond Information

| Qty | Description<br>CUSTP<br>Type   | Coupon<br>Maturity<br>Min. Price | Expire Time (EST)<br>Settlement Date  |
|-----|--|----------------------------------|---------------------------------------|
| 100 | DUNCANVILLE TEX INDPT SCH DIST G O REF BDS<br>265138EA1<br>Municipal | 0.000<br>2/15/2018<br>None       | Tuesday, Sep 19 At 12:30<br>9/22/2006 |

#### Rep And Customer Information

Rep Number: \_\_\_\_\_ Rep Name: \_\_\_\_\_  
Account Number: \_\_\_\_\_ Account Name: \_\_\_\_\_

#### Contact Information

Please Enter An E-Mail Address And/Or Phone Number Where You Can Be Contacted Regarding Your Bid.

Company: \* Test Company Phone Number: \* 877-797-2663  
Contact: \* James Lemon E-Mail: \* jlemon@swst.com

Modify Submit Bid Request

start [Contacts - Microsoft ...] [SWS [Connected to ...]] [Microsoft PowerPoint ...] 9/19/2006 10:53 AM

Click here once you are satisfied to submit the bid request



Once you hit 'Submit Bid Request', your request will be automatically sent and your traders will go to work on getting your bids. You will be notified when you bids are ready for your review.

## 5.0 Order Status Selection

The 'Order Status' selection gives you a complete list of all actions you have done on the online system for that day. In the example before, we have entered a request to buy a bond. Once you submit an order, the status will be "Waiting for Verification". Once the trader has confirmed the request trade, the status will change to 'Trade Completed'. All trade activity and any bids you have requested will be listed under this section.

**Order Status - Last Update: Fri Aug 18, 2006 At 2:57:47 PM EST**

**Current Orders**

| Date Time            | Order Qty | Issue CUSIP                         | Coupon Maturity  | REP Number Status               |
|----------------------|-----------|-------------------------------------|------------------|---------------------------------|
| <b>Agency Orders</b> |           |                                     |                  |                                 |
| 8/18/2006 2:57:39 PM | BUY 55    | FEDERAL NATL MTG ASSN MTN 3136F6PN3 | 4.300 11/30/2009 | 455004 Waiting For Verification |

Refresh | Historical Orders | Quick Status

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**Current Orders**

| Date Time             | Order Qty | Issue CUSIP   | Coupon Maturity  | REP Number Status                             |
|-----------------------|-----------|---|------------------|---|
| <b>CD Orders</b>      |           |   |                  |   |
| 9/19/2006 1:01:18 PM  | BUY 50    | COPPER STAR BANK 21758TAK2                              | 5.100 12/21/2006 | 727326 Trade Completed                        |
| 9/13/2006 1:00:18 PM  | BUY 50    | INVESTORSBANK - Pewaukee, WI 46146MEZ8                  | 5.100 12/22/2006 | 727326 Trade Complete Will Trade On 9/21/2006 |
| 9/18/2006 12:12:10 PM | BUY 25    | THE BANK OF BENNINGTON - Bennington, VT 060676AJ2       | 5.100 12/27/2006 | 727326 Trade Complete Will Trade On 9/26/2006 |
| 9/19/2006 1:00:33 PM  | BUY 10    | FIRST BANK OF GEORGIA - Augusta, GA 31928HCD6           | 5.100 9/28/2007  | 726944 Trade Complete Will Trade On 9/27/2006 |
| 9/19/2006 10:34:17 AM | BUY 30    | ABBYBANK - Abbotsford, WI 00287RBC7                     | 5.050 9/21/2007  | 533681 Trade Complete Will Trade On 9/20/2006 |
| 9/19/2006 1:12:42 PM  | BUY 55    | SUNRISE BANK OF ALBUQUERQUE - Albuquerque, NM 86769NAR0 | 5.200 3/27/2007  | 727152 Trade Complete Will Trade On 9/26/2006 |

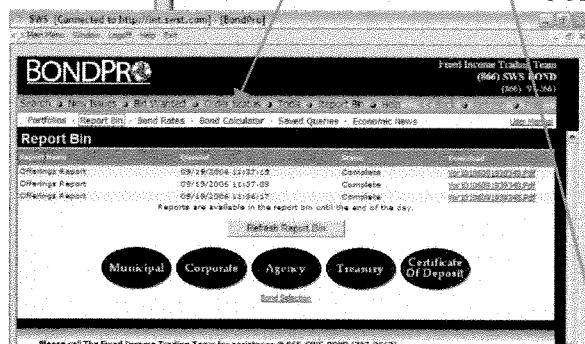
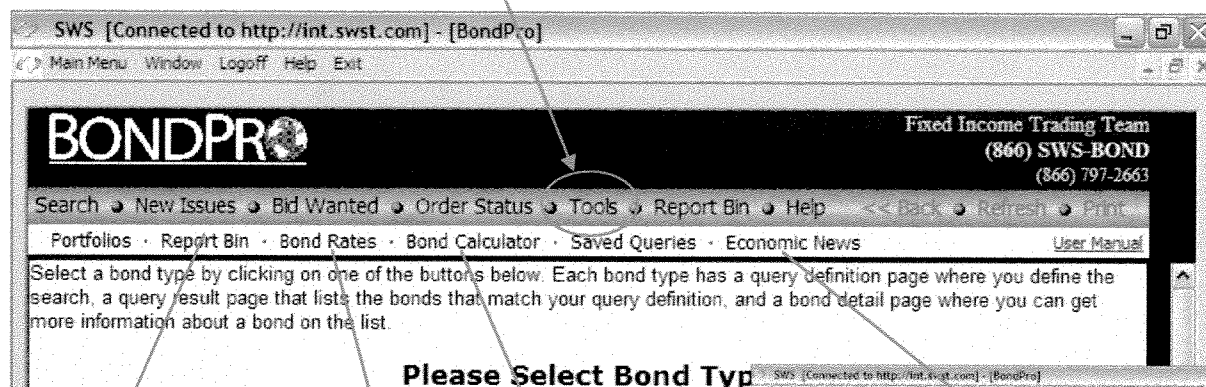
Refresh | Historical Orders | Quick Status

9/19/2006 12:15 PM

**Notice:**  
On these new issue CDs, your trader will let you know that the trade is complete and when the trade will be entered.

## 6.0 Tools Selection

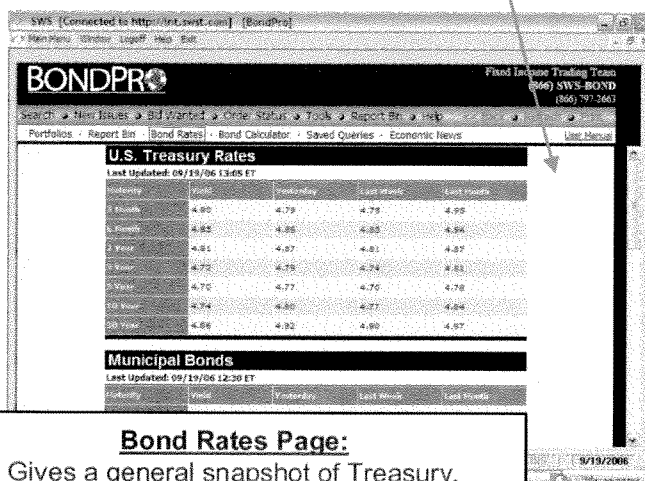
By selecting the 'Tools' tab, you will have access to updated financial news and numbers, a snap shot of current bond rates, and a handy bond calculator.



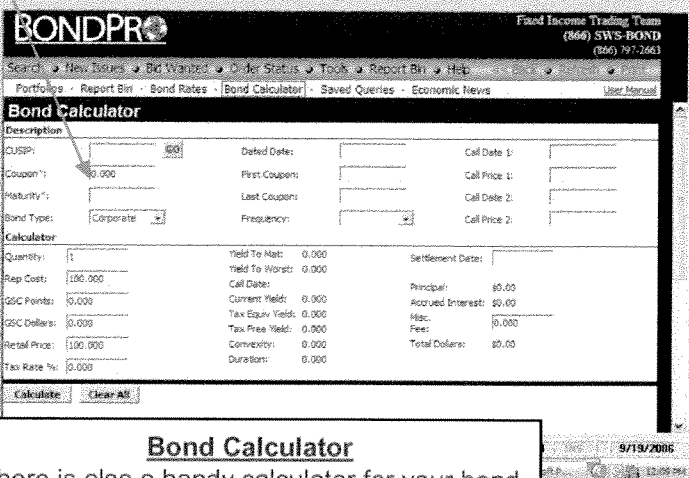
**Report Bin**  
Keeps a list of all reports you have created for the day.



**Economic News**  
Get the latest Economic News along with useful bond basic information.



**Bond Rates Page:**  
Gives a general snapshot of Treasury, Municipal, and Corporate Rates



**Bond Calculator**  
There is also a handy calculator for your bond calculations.



## 7.0 Report Bin Selection

The 'Report Bin' selection keeps any reports you have created and downloaded for the day.

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Portfolios • Report Bin • Bond Rates • Bond Calculator • Saved Queries • Economic News [User Manual](#)

### Report Bin

| Report Name      | Queued              | Status   | Download                                |
|------------------|---------------------|----------|---|
| Offerings Report | 09/19/2006 11:37:15 | Complete | <a href="#">Vor 10 106091939349.Pdf</a> |
| Offerings Report | 09/19/2006 11:37:09 | Complete | <a href="#">Vor 10 106091939348.Pdf</a> |
| Offerings Report | 09/19/2006 11:36:17 | Complete | <a href="#">Vor 10 106091939345.Pdf</a> |

Reports are available in the report bin until the end of the day.

[Refresh Report Bin](#)

**Municipal** **Corporate** **Agency** **Treasury** **Certificate Of Deposit**

[Bond Selection](#)

Please call The Fixed Income Trading Team for assistance @ 866-SWS-BOND (797-2663)  
For Technical support, please call the help desk at 214-859-9165.

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CAPS NUM INS 9/19/2006

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We have centralized all of your system support team info in one location.  
If you have questions with products or trading, contact our Fixed Income Trading Team @ 877-SWS-BOND (797-2663)  
If you need assistance with how to use the system,  
please contact Jay Lemon (our Systems Administrator) @ 214-859-9493 or email [onlineadministrator@swst.com](mailto:onlineadministrator@swst.com)  
If you are having problems with your computer or with CSS, contact the HelpDesk @ 214-859-9165.  
All this info is located on the 'Help' tab.

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User Manual

## Help

For assistance or help with placing an order, please call The Fixed Income Trading Team @ 866-SWS-BOND (797-2663)

Have questions using the site? Please contact Jay Lemon @ 214-859-9493 or [onlineadministrator@swst.com](mailto:onlineadministrator@swst.com)

For Technical support, please call the help desk at 214-859-9165.

For more information please read the [User Manual](#).

Municipal Agency Corporate Treasury Certificate Of Deposit

Bond Selection

Please call The Fixed Income Trading Team for assistance @ 866-SWS-BOND (797-2663)  
For Technical support, please call the help desk at 214-859-9165.

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