



Trading Department

By Greg Heinrich,
Vice President of Trading



Meet Our Team

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Meet Our Team Continued...

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Help
Us...Help
You!



Things We Need...

- **Account Number ?**
- **Clearing Firm: Pershing, IWS or NFS?**
- **Ticker Symbol or Cusip #?**
- **Unsolicited or Solicited?**
- **Market or Limit order (GTC = 180 days)**
- **Commission?**
- **Rep code?**

Tools For You



- Mutual Fund Screener
- U.I.T. Center
- Folio Dynamix



Teamwork



This guy is rethinking his career track.

Common Errors

- **Do not try to correct a trade in a client account**
- **Review trade blotters daily**
- **Can't conduct trades on accounts where the client is deceased**
- **If an account is managed by a 3rd party, cc: Trading Dept.**

A photograph of a workspace on a light-colored wooden desk. In the center is an open laptop with a dark screen and a visible keyboard. To the right of the laptop is a white ceramic mug filled with a dark liquid, likely coffee. In front of the mug is a spiral-bound notebook with lined paper. A wooden pen lies across the notebook. Scattered around the laptop are several small, crumpled pieces of paper. The overall lighting is warm and natural.

Questions?