

018-757-4380-5029NM

ENHANCED DUE DILIGENCE QUESTIONNAIRE

(576) ~~576-37029~~ UPDATE ONLY

Client Name Gilster Mary Lee	Account Number 12447, 14685, 14699 46097, 75369, 75370, 30701
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Questions 1 through 10 must be answered for ALL Designated Accounts. Question 11 must be answered for all INDIVIDUAL Designated Accounts. Question 12A must be answered for all NRA Accounts (including foreign trusts, PICS and NRA sole proprietors). Question 13 must be answered for all NON-INDIVIDUAL Designated Accounts.

1. INDIVIDUAL DESIGNATED ACCOUNTS

- Non-Resident Alien
- Personal Investment Company ("PIC")
- Foreign Trust
- Individual with a net worth of \$10 million or more
- Sole Proprietorship
- Foreign Public Figure

STOP If opening an account for a Foreign Public Figure, you must contact the Compliance Department for further guidance.

FP Code

GEO Code

CIT Code

NON-INDIVIDUAL DESIGNATED ACCOUNTS

- Non-public Corporation
- Hedge Fund
- Partnership
- Limited Partnership ("LP")
- Limited Liability Company or Partnership ("LLC" or "LLP")
- Financial Institution
- Money Manager, Investment Advisor or Investment Advisory Firm

2. How were you introduced to the client or its agent?

- Walk-in
- Solicitation
- Seminar
- Client initiated contact
- Referral from:
 - A Citigroup affiliate
 - An existing SSB client
 - Other (specify) Employee
- Client is a family member (specify) Daughter worked for Barb
- Money Manager
- Other (specify):

You must contact the referring party and check name against BADI.

Name of Referring Party Suzanne Wiegand	Phone Number of Referring Party 618-939-4350
Client's Relationship to the Referring Party	

How long have you known the referring party?

- Less than three months
- Less than one year
- One to five years
- More than five years

How long has the referring party known the client or client's agent?

- Less than three months
- Less than one year
- One to five years
- More than five years

3. How long have you known the client or client's agent?

- Less than three months
- Less than one year
- One to five years
- More than five years

4. Did you meet personally prior to opening the account?

- Yes
 - No
- If yes, where? (Check all that apply)
- Client's Home
 - Client's Business
 - SSB Branch Office
 - Other (specify)

5. Are you aware of any prior or pending criminal proceeding, or any negative reputation issues involving the client, client's agent or the referring party, if any?

- Yes
 - No
- STOP** If you answered YES to this question, you must advise a member of your management team to contact the Compliance Department for further guidance.

6. Approximately what percentage of the initially deposited funds does the client anticipate will be invested (not including bank deposit funds)?

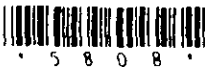
- 50% or more
- 25 - 49%
- 24% or less
- Undecided

If less than 25% or undecided, please explain: Started Small

7. Will this be an FMA account?

- Yes
 - No
- a. If Yes, has the client expressed an interest in receiving checks or debit card? Which? Checks Debit Card

- b. If you checked either, will the use of the checks or debit card constitute the primary activity of the account? Yes No



Attachment A

ENHANCED DUE DILIGENCE QUESTIONNAIRE (continued)

8. FUNDS MOVEMENT:

A. Will there be third party deposits or withdrawals (e.g., checks, wire transfers, etc.) into or from the account? Yes No

If yes, please describe the anticipated activity: _____

B. Will there be regular funds movement to/from foreign countries? Yes No

If yes, please specify: _____

9. ANTICIPATED ACTIVITY

Indicate all products that are anticipated to be utilized by the client:

- | | | |
|--|--|---|
| <input type="checkbox"/> Foreign Exchange | <input checked="" type="checkbox"/> Equities | <input checked="" type="checkbox"/> Fixed Income |
| <input checked="" type="checkbox"/> Foreign Exchange Derivatives | <input type="checkbox"/> Equity Derivatives | <input type="checkbox"/> Fixed Income Derivatives |
| <input checked="" type="checkbox"/> Money Market | <input checked="" type="checkbox"/> Futures | <input checked="" type="checkbox"/> Commodities |
| | <input type="checkbox"/> Futures Derivatives | <input type="checkbox"/> Other |
- specify: _____

10. Initial Anticipated Deposit:

A. Total Amount 250 m Securities _____ Other _____

B. Identify institutions transmitting all or any part of the initial deposit

Name <u>Gilsku Mary Lee</u>	Location <u>Chester</u>
Name _____	Location _____

C. Is the initial deposit from a third-party source, including related but different name accounts? Yes No

If yes, please explain: _____

11. What is the client's source of wealth? (Complete all applicable sections) (for Non-Individual Accounts, skip to Question 13)

Complete all of Section 11 for the beneficial owner of the PIC, settlor of the foreign trust and/or the sole proprietor.

A. COMPENSATION DERIVED FROM CURRENT EMPLOYMENT RETIRED (provide information about last employer)

1) Name and Address of Employer
2) Client's Occupation
3) Nature of Employer's Business
4) Annual Salary (Gross)
5) Employed Since:

B. PRESENT BUSINESS OWNERSHIP

Private Company Public Company Stock Symbol: _____ Identify Exchange: _____

1) Name and Address of Company
2) Describe the business of the Company (be specific) _____
3) Percent Ownership
4) If a private company, list names of other owners with 10% or more ownership. _____

STOP If unable to obtain, you must contact the Compliance Department for further guidance. If obtained, do a BADI check on names.

ENHANCED DUE DILIGENCE QUESTIONNAIRE (continued)

11. What is the client's source of wealth? (continued)

B.	5) Approximately how long has the Company been in existence?	6) Approximate number of employees
	7) Prior Year's Annual Gross Revenues	
	8) Primary geographic market areas	
	9) Significant revenues from government contracts/licenses? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Don't Know	
	10) If yes, please state which governments/countries?	

C. OTHER SOURCES OF WEALTH

1) From Real Estate Investments?	<input type="checkbox"/> Commercial <input type="checkbox"/> Residential <input type="checkbox"/> Undeveloped Property
<i>Describe:</i>	_____
2) From Securities?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<i>Describe:</i>	_____
3) From Private Investment?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<i>Describe:</i>	_____
4) From the sale of a business?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<i>Describe:</i>	_____
5) OTHER such as inheritance or trust fund distributions?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<i>Describe:</i>	_____

12A. For NRA accounts: Have you obtained a copy of the client's passport or other government photo identification (e.g., drivers license, national identity card)? *Note: A separate EDD Form must be completed for each NRA account owner. Obtaining the passport information for NRA accounts is a Treasury Department regulation.*

Yes No

Name/Type of identification	Number
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If a copy was not obtained, you must contact the Compliance Department for further guidance.

12B. PERSONAL INVESTMENT COMPANY ("PIC") FOREIGN TRUST SOLE PROPRIETORSHIP

1) Was the PIC or Foreign Trust created by a Citigroup entity? Yes No

2) Please identify the PIC Beneficial Owner, the Trust Settlor and the Beneficiaries.

(A BADI check must be done.)

3) For Sole Proprietorships, is a) there a "DBA" (doing business as) name? Yes No

b) this a domestic or foreign entity?

If yes, state the DBA (Note: A BADI check must be done): _____

ENHANCED DUE DILIGENCE QUESTIONNAIRE (continued)

12B. (continued)

4) Does the PIC, Foreign Trust or Sole Proprietorship have any agents authorized to conduct business on its behalf? Yes No

If yes, please identify any

authorized agents (Note: A

BAD! check must be done):



If unable to obtain the names of the owner, beneficiary, or authorized agent, you must contact the Compliance Department for further guidance.

5) Where was the entity incorporated or formed?

6) Have you obtained a copy of the Articles of Incorporation (PIC), Formation Agreement (PIC), Trust Agreement, or any formation document for a sole proprietorship? Yes No



If you answered no, you must contact the Compliance Department for further guidance.

Remember: Passport copies must be obtained for PIC Beneficial owners, Foreign Trust Settlers and NRA Sole Proprietors.

The Applicable Section of Question 13 must be answered for all NON-INDIVIDUAL ACCOUNTS

13. Type of Entity

A. HEDGE FUND

1) When was the Fund initially funded?			
2) Is this an "off-shore" Fund? <input type="checkbox"/> Yes <input type="checkbox"/> No			
If yes, please specify jurisdiction of formation:			
3) Identify the Fund's Portfolio Manager and individuals comprising the general partner (Note: check names against BAD!)			
4) State the minimum investment amount		5) Describe Fund's market focus.	
6) Investor base	Individual Investors	%	Institutions %
7) Is the Fund currently open to new investors? <input type="checkbox"/> Yes <input type="checkbox"/> No			
8) Does the Fund have audited financials? <input type="checkbox"/> Yes <input type="checkbox"/> No Identify the audit firm:			
9) Have the offering document and subscription agreement been obtained? <input type="checkbox"/> Yes <input type="checkbox"/> No			
<i>If you answered no, you must contact the Compliance Department for further guidance.</i>			
10) Does the Fund have Anti-Money Laundering policies and/or procedures? <input type="checkbox"/> Yes <input type="checkbox"/> No			
If yes, does the client verify of the customer's			
a) Identification? <input type="checkbox"/> Yes <input type="checkbox"/> No			
b) Source of funds? <input type="checkbox"/> Yes <input type="checkbox"/> No			
c) Source of wealth? <input type="checkbox"/> Yes <input type="checkbox"/> No			
<i>If you answered no, or are unable to obtain this information, you must contact the Compliance Department for further guidance.</i>			
11) If you have visited the place of business, please describe:			

ENHANCED DUE DILIGENCE QUESTIONNAIRE (continued)

13. Type of Entity (continued)

- B. FINANCIAL INSTITUTION MONEY MANAGER INVESTMENT ADVISOR/FIRM

Will this be a: PROPRIETARY or OMNIBUS ACCOUNT (non-proprietary funds)

1) a) Is this client a U.S.-regulated entity? Yes No
 b) If the client is not a U.S.-regulated entity, is the client regulated by a financial services regulator of another country? Yes No
 c) If the client is regulated in another country, which country? _____

2) How does the client market its services?
 Mass Mailings Telephone Solicitations Referrals/Prospecting Other: _____

3) Does the client have Anti-Money Laundering policies and/or procedures? Yes No
 If yes, does the client verify the customer's:
 a) identification? Yes No
 b) Source of funds? Yes No
 c) Source of wealth? Yes No

STOP If you answered no, or are unable to obtain this information, you must contact the Compliance Department for further guidance.

4) If you have visited the place of business, please describe: _____

5) Is this an offshore bank? Yes No If yes, approximately how many branches? _____ Countries where the branches are located: _____

- C. NON-PUBLIC CORPORATION LP LLC/LLP PARTNERSHIP

This entity is: Domestic Offshore

1) Name, business address, and nature of the entity's business? Coilster Mary Lee, Inc.
1037 State St. Chester, AL 36233

2) If you have visited the place of business, please describe: Yes

3) Please identify the principal shareholders (10% or more ownership), general partners or partners and directors. (check names against BADI): Michael Welp / Don Welp

STOP If unable to obtain the names of the principal(s), etc., you must contact the Compliance Department for further guidance.

4) Entity's Taxpayer ID# 37-6122087 Not applicable because foreign entity with no Taxpayer ID#

5) Date of formation 8/2/1995 6) Place of formation Chester, AL

7) Name and location of entity's bank Chester, AL / Buena Vista Bank, Chester, AL

8) Bank officer name Michael Welp / Don Welp Bank officer telephone number 618-826

9) Does the client have audited financials? Yes No If yes, identify the audit firm: Kerrin, Eck, + Breueckel

10) Has copy of the relevant formation document been obtained? Yes No **STOP** If unable to obtain the formation document, you must contact the Compliance Department for further guidance.

11) If this is an offshore entity, any person authorized to transact business in the account must provide a copy of his/her passport.

Name/Type of Identification	Number

STOP If unable to obtain copies of passports for all authorized persons, you must contact the Compliance Department for further guidance.

ALL BADI CHECKS HAVE BEEN COMPLETED. FC Initials: MS

Financial Consultant Signature <u>[Signature]</u>	Date	Approved/Branch Manager Signature <u>[Signature]</u>	Date <u>10-15-02</u>
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Account Number: 3001-0186-V270

NOTEPAD

Gilster-Mary Lee Corp
Employees Profit Sharing
Rtrmt Pl & Tr I/A DTD
12-8-72 Mike Welge TTEE
PO Box 227
Chester, IL 62233

H (618) 826-2039
B (800) 642-4531 x3106
F: (618) 826-2973

SUZANNE M. WIEGAND
(618) 939-4400
(800) 897-0972

Wed 02:22:2006 01:38 PM - Suzanne called in from vacation and had me sell 2000 LNY @ MKT kse

Wed 01:11:2006 12:58 PM - I spoke with Mike Wedge today about the performance of the Gilster Mary Lee accounts. He told me that he calls his own shots, has accounts in several other places, and that the positions are probably 4 times as large as what we see at AGE as he has accounts in other firms. He named MSDW, MLI, ETrade, and also noted that a broker with AGE in Cape G has been calling on him as well. He is aware of the amount of commissions he pays and admits that Suzanne (his daughter) is an order taker on his account. PCMc

Tue 07:12:2005 11:38 AM - Per Mike Welge is holding junk bond #45734SAA4

Wed 04:27:2005 09:22 AM - Karen called for the sale proceeds for the LB and the \$ amount from the cash merger of Mandalay Resort Group kse

Tue 04:26:2005 02:02 PM - per Mike Welge sell 5000 LB @ mkt for Suzanne. CWH

Mon 02:07:2005 08:37 AM -



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DATE: January 12, 2006

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TO: Suzanne Wiegand

COMPANY NAME: _____

LOCATION: (618) 939-5110

FROM: Mike Welge

COMMENTS: _____

If this transmission is not complete or the pages are illegible, please call
(618) 826-2361, ext. 3107

with Plants in CHESTER, STEELEVILLE, MOMENCE & CENTRALIA, IL - McBRIDE & PERRYVILLE, MO - WILSON, AR

Attachment C

A G EDWARDS & SONS, INC.
16 Executive Drive, Suite 100
Fairview Heights, IL 62208

phone 618/624-8190
toll free 800/228-8190
fax 618/624-8390

*Sugg
FYI
Love
Dad*



EDWARDS.

January 11, 2006

Mr. Michael Welge
Gilster-Mary Lee Corp
PO Box 227
Chester, IL 62233

Dear Mike,

It was a pleasure speaking with you again earlier today. I had intended to follow up on our meeting at the Waterloo office's open house prior to this call, and am happy to once again make your acquaintance. As mentioned, periodically we need to conduct a review of some of our accounts, so this was a good opportunity to get in touch with you.

You mentioned in our discussion that you make your own decisions on the investments made for the Gilster-Mary Lee Employees Profit Sharing account (3001-0186). You also mentioned that you have similar sized positions with other firms, and that the true size is three to four times the size that we have at AG Edwards. Certainly we would like to earn more of your business as time goes by, and it is my intention to do all that is possible to support Suzanne in her role.

In looking over your account at AG Edwards in Waterloo, I note that for 2005 there were realized profits of slightly over \$1,005,000 and unrealized profits of over \$1,400,000. Commissions paid were \$80,347 for the period of May through December of 2005.

I do look forward to having the opportunity to spend some time with you when you come through the Fairview Heights area. Should you need to reach me, I am enclosing my business card for you reference.

Sincerely,

Patrick C. McAllister
Vice President
Branch Manager