



Daily Compliance Activity Report

Trade Date: 06/05/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| BUCK CAPITAL MGMT | | AAP | C | 50,000 | 42.26 | n/a | n/a | non-brg | 5.0 |
| BUCK CAPITAL MGMT | | AEO | S | 100,000 | 26.60 | n/a | 4-Jun | non-brg | 5.0 |
| BUCK CAPITAL MGMT | | AEO | S | 100,000 | 26.60 | n/a | 4-Jun | non-brg | 5.0 |
| BUCK CAPITAL MGMT | | AEO | S | 100,000 | 26.65 | n/a | 4-Jun | non-brg | 5.0 |
| BUCK CAPITAL MGMT | | AEO | S | 100,000 | 26.68 | n/a | 4-Jun | non-brg | 5.0 |
| JP MORGAN VENTURES | 046 | AEO | SS | 10,000 | 26.59 | n/a | 4-Jun | 500.00 | 5.0 |
| BUCK CAPITAL MGMT | | ALGT | S | 1,200 | 32.11 | n/a | n/a | non-brg | 5.0 |
| BUCK CAPITAL MGMT | | ALGT | S | 32,000 | 32.02 | n/a | n/a | non-brg | 5.0 |
| SAXON WOODS ADVISORS | 038 | ALVR | B | 20,000 | 9.09 | n/a | n/a | 1,000.00 | 5.0 |
| GAULT | 063 | AMCC | B | 5,000 | 2.88 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | | AMZN | C | 20,000 | 72.05 | n/a | n/a | non-brg | 5.0 |
| JP MORGAN VENTURES | 046 | ANF | SS | 5,000 | 80.16 | n/a | 4-Jun | 250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | ANN | SS | 20,000 | 38.28 | 25-May | 4-Jun | 800.00 | 4.0 |
| KANTROWIT | N21 | APC | B | 45 | 51.41 | 27-Feb | 4-Jun | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | ARO | S | 10,000 | 46.35 | n/a | 4-Jun | 400.00 | 4.0 |
| NWQ INVESTMENT MGMT CO | 048 | ARXX | S | 6,300 | 14.18 | n/a | n/a | 189.00 | 3.0 |
| DAVIDSON KEMPNER ADVISOR | 217 | ASD | B | 75,000 | 60.63 | 31-May | 31-May | 3,750.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| OSS CAPITAL/KEVIN DANN | 067 | ASD | S | 100,000 | 60.58 | 31-May | 31-May | 3,000.00 | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | BBY | S | 70,000 | 48.41 | 1-May | 11-May | non-brg | 5.0 |
| WHITE PINE CAPITAL | 030 | BDSB | S | 600 | 10.16 | n/a | n/a | 30.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | BEBE | S | 12,332 | 17.24 | n/a | n/a | non-brg | 0.4 |
| ⌘ BUCK CAPITAL MGMT | | BEBE | S | 250,000 | 17.40 | n/a | n/a | non-brg | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | BEBE | S | 30,000 | 17.48 | n/a | n/a | non-brg | 5.0 |
| KACELA CAPITAL | 034 | BID | S | 16,000 | 47.16 | n/a | n/a | 640.00 | 4.0 |
| THE JAY GOLDMAN | 034 | BJ | B | 20,000 | 37.62 | 10-Apr | 5-Jun | 800.00 | 4.0 |
| DE SHAW | 040 | BKHM | B | 100,000 | 2.13 | n/a | n/a | 3,000.00 | 3.0 |
| HIGHBRIDGE CAPITAL | 038 | BNI | B | 6,000 | 92.73 | n/a | n/a | 300.00 | 5.0 |
| WHITE PINE CAPITAL | 030 | BONT | S | 625 | 47.72 | 25-May | 4-Jun | 31.25 | 5.0 |
| BUCK CAPITAL MGMT | 001 | CBK | B | 50,000 | 18.95 | 30-Mar | 4-Jun | 2,000.00 | 4.0 |
| LEDDY | 035 | CBK | S | 1,000 | 18.65 | 30-Mar | 4-Jun | 0.00 | 0.0 |
| DSG CAPITAL | 225 | CCMP | B | 3,000 | 32.76 | 26-Apr | 26-Apr | 150.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | CDNS | B | 10,000 | 23.99 | n/a | n/a | non-brg | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | CENT | S | 22,000 | 13.40 | 8-Feb | 8-May | non-brg | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | CENT | S | 24,800 | 13.48 | 8-Feb | 8-May | non-brg | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | CENT | S | 35,000 | 13.40 | 8-Feb | 8-May | non-brg | 2.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|--------|----------|-------------|------|
| BEAR STEARNS ASSET MGMT. | 033 | CHS | SS | 18,700 | 26.60 | 31-May | 4-Jun | 748.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | CMG | SS | 4,500 | 86.09 | 24-Apr | 24-Apr | non-brg | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | CMG | S | 1,100 | 86.44 | 24-Apr | 24-Apr | non-brg | 5.0 |
| COUGAR TRADING | 044 | COH | B | 5,000 | 50.45 | 23-Feb | 25-Apr | 250.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | COLM | SS | 17,100 | 69.34 | n/a | n/a | non-brg | 5.0 |
| LATEFF MGMT | 040 | C | S | 1,000 | 53.69 | 11-Jan | 11-May | 320.00 | 32.0 |
| ⌘ BUCK CAPITAL MGMT | | DBRN | S | 50,000 | 22.81 | n/a | n/a | non-brg | 5.0 |
| BUCK | 015 | DF | S | 1,000 | 33.16 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | DKS | B | 5,000 | 54.39 | n/a | n/a | 200.00 | 4.0 |
| LATEFF MGMT | 040 | DOW | S | 1,500 | 46.48 | n/a | 25-May | 390.00 | 26.0 |
| GENERAL ELECTIC CO | 033 | EMC | S | 178,159 | 17.01 | n/a | n/a | 3,563.18 | 2.0 |
| SAVANNAH-BALTIMORE | 012 | EMC | B | 483,000 | 16.99 | n/a | n/a | 24,150.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | ENDP | S | 100,100 | 34.71 | 31-May | 4-Jun | non-brg | 5.0 |
| DENVER INST. ADV | 046 | ENDP | S | 122,340 | 34.75 | 31-May | 4-Jun | 4,893.60 | 4.0 |
| BUCK CAPITAL MGMT | 001 | FDO | SS | 20,000 | 33.02 | 19-Apr | 4-Jun | 800.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | FL | S | 50,000 | 21.96 | 24-May | 24-May | 2,000.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | FL | S | 805,824 | 21.98 | 24-May | 24-May | non-brg | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|-----------|----------------|--------------|--------------|---------------|-----------------|------------|
| LATEFF MGMT | 040 | FMER | S | 1,500 | 21.36 | n/a | n/a | 285.00 | 19.0 |
| BUCK | 015 | F | C | 2,500 | 8.35 | n/a | 27-Apr | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | GCO | SS | 40,000 | 51.88 | n/a | 10-Jan | 1,600.00 | 4.0 |
| Õ Glenn Redemann | | GDP | B | 2 | 0.95 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | GDP | B | 2 | 1.00 | n/a | n/a | 0.00 | 0.0 |
| AVESTA CAP | 229 | GE | S | 50,000 | 37.41 | n/a | n/a | 2,500.00 | 5.0 |
| WHITE PINE CAPITAL | 030 | GGG | S | 1,500 | 40.60 | n/a | n/a | 75.00 | 5.0 |
| WAGONHOUND | 048 | GLW | B | 12,850 | 25.70 | n/a | 15-May | 514.00 | 4.0 |
| DELAWARE MANAGEMENT | 243 | GPS | B | 13,100 | 18.36 | n/a | 4-Jun | 655.00 | 5.0 |
| Õ Glenn Redemann | | GSF | B | 6 | 0.36 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | GSF | B | 6 | 0.56 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | GSF | SS | 6 | 1.23 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | GSF | SS | 6 | 1.44 | n/a | n/a | 0.00 | 0.0 |
| LATEFF MGMT | 040 | GSK | S | 425 | 51.39 | n/a | n/a | 191.25 | 45.0 |
| B BUCK CAPITAL MGMT | | GYMB | B | 5,000 | 43.89 | 4-Jan | 4-Jun | non-brg | 5.0 |
| B BUCK CAPITAL MGMT | | HMA | S | 117,900 | 11.35 | 5-Mar | 25-Apr | non-brg | 5.0 |
| KACELA CAPITAL | 034 | HOT | B | 6,000 | 72.56 | n/a | n/a | 240.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|----------|---------------|--------------|------------|--------------|----------------|------------|
| IMPALA ASSET MMT | 012 | HTZ | B | 100,000 | 23.82 | n/a | n/a | 3,000.00 | 3.0 |
| B BUCK CAPITAL MGMT | | ICON | S | 10,000 | 22.78 | n/a | n/a | non-brg | 5.0 |
| WHITE PINE CAPITAL | 030 | IFF | S | 1,525 | 51.37 | 3-May | 3-May | 76.25 | 5.0 |
| IRIDIAN ASSET MGMT. | 036 | INTC | S | 63,330 | 22.13 | n/a | n/a | 3,166.50 | 5.0 |
| BUCK | 015 | IWN | S | 800 | 84.92 | n/a | n/a | 0.00 | 0.0 |
| COUGAR TRADING | 044 | JCG | B | 5,000 | 48.84 | 6-Jun | 1-Jun | 250.00 | 5.0 |
| COUGAR TRADING | 044 | JCG | S | 5,000 | 48.75 | 6-Jun | 1-Jun | 250.00 | 5.0 |
| COUGAR TRADING | 044 | JCP | B | 10,000 | 81.81 | 20-Apr | 4-Jun | 500.00 | 5.0 |
| LATEFF MGMT | 040 | JNJ | S | 625 | 63.27 | n/a | 22-Apr | 262.50 | 42.0 |
| AAD CAPITAL | 048 | JNS | SS | 25,000 | 28.71 | 26-Apr | 23-May | 1,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | JOSB | B | 10,000 | 41.76 | n/a | n/a | non-brg | 5.0 |
| THE JAY GOLDMAN | 034 | JWN | B | 10,000 | 52.89 | 27-Feb | 4-Jun | 400.00 | 4.0 |
| DELAWARE MANAGEMENT | 243 | KRC | B | 13,600 | 75.47 | n/a | n/a | 680.00 | 5.0 |
| ADAGE CAPITAL MGMT | 030 | KSS | S | 193,000 | 75.69 | n/a | 5-Jun | 7,720.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | KSS | B | 10,000 | 75.85 | n/a | 5-Jun | 400.00 | 4.0 |
| IRIDIAN ASSET MGMT. | 036 | LEH | B | 42,800 | 75.52 | n/a | 30-May | 2,140.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------|-----------------|-----------|----------------|---------------|---------------|---------------|----------------|-------------|
| KACELA CAPITAL | 034 | LOW | S | 19,000 | 32.63 | n/a | 21-May | 760.00 | 4.0 |
| MERRILL LYNCH STRATEGICI | 034 | LTD | B | 15,000 | 26.67 | 16-May | 4-Jun | 600.00 | 4.0 |
| OSS CAPITAL/KEVIN DANN | 067 | LXK | B | 19,500 | 51.27 | n/a | n/a | 585.00 | 3.0 |
| RIVER RUN MGMT | 031 | MCCC | B | 34,000 | 9.96 | 4-Jun | 5-Jun | 1,360.00 | 4.0 |
| TROUBH PART | 067 | MCCC | B | 5,000 | 9.95 | 4-Jun | 5-Jun | 250.00 | 5.0 |
| B BUCK CAPITAL MGMT | | MCD | S | 98,120 | 50.46 | 24-Apr | 24-Apr | non-brg | 5.0 |
| PROSPECTOR PARTNERS LLC | 036 | MIR | S | 15,000 | 46.55 | n/a | n/a | 750.00 | 5.0 |
| WAGONHOUND | 048 | MON | S | 2,770 | 62.07 | n/a | 4-Apr | 110.80 | 4.0 |
| B BUCK CAPITAL MGMT | | MSMSBMVR | SS | 300,000 | 205.19 | n/a | n/a | non-brg | 20.5 |
| Õ Glenn Redemann | | MTW | B | 5 | 0.49 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | MTW | SS | 5 | 1.12 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | MTX | B | 5 | 0.59 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | MTX | SS | 5 | 1.31 | n/a | n/a | 0.00 | 0.0 |
| LATEFF MGMT | 040 | NCX | S | 750 | 36.02 | n/a | n/a | 240.00 | 32.0 |
| BRENCOURT | 028 | NEM | S | 50,000 | 41.20 | n/a | n/a | 2,500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | NKE | SS | 70,000 | 56.99 | n/a | n/a | non-brg | 5.0 |
| LATEFF MGMT | 040 | NYB | S | 2,500 | 17.82 | n/a | n/a | 350.00 | 14.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------|--------|-----|---------|--------|--------|----------|--------------|-----|
| ß BUCK CAPITAL MGMT | | OIH | SS | 69,800 | 172.07 | n/a | n/a | non-brg | 2.0 |
| BUCK CAPITAL MGMT | 001 | OXM | S | 20,000 | 44.89 | n/a | n/a | 800.00 | 4.0 |
| OGORMAN | 146 | PARD | S | 3,000 | 8.85 | n/a | n/a | 0.00 | 0.0 |
| PROSPECTOR PARTNERS LLC | 036 | PCH | S | 5,000 | 43.62 | 20-Mar | 1-May | 250.00 | 5.0 |
| WHITE PINE CAPITAL | 030 | PERY | S | 3,125 | 31.21 | n/a | n/a | 156.25 | 5.0 |
| ß BUCK CAPITAL MGMT | | PLCE | S | 10,000 | 56.64 | 12-Apr | 4-Jun | non-brg | 5.0 |
| BUCK CAPITAL MGMT | 001 | PSS | B | 5,000 | 34.40 | n/a | n/a | 200.00 | 4.0 |
| WAGONHOUND | 048 | PX | S | 2,360 | 69.59 | n/a | 25-Apr | 94.40 | 4.0 |
| NWQ INVESTMENT MGMT CO | 048 | QTM | S | 6,800 | 3.00 | n/a | n/a | 136.00 | 2.0 |
| Õ Glenn Redemann | | RHT | B | 2 | 0.88 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | RHT | B | 2 | 1.37 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | RL | SS | 10,000 | 97.93 | 2-Feb | 31-May | 400.00 | 4.0 |
| ENTRUST CAPITAL | 040 | RNT | B | 57,975 | 29.44 | n/a | n/a | 2,898.75 | 5.0 |
| GALLEON MGMT LP | 033 | RTH | SS | 15,000 | 107.52 | n/a | n/a | 750.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | RVI | S | 100,000 | 18.98 | n/a | n/a | 4,000.00 | 4.0 |
| WHITE PINE CAPITAL | 030 | RVI | S | 2,150 | 18.94 | n/a | n/a | 107.50 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------|--------|-----|---------|-------|-------|----------|--------------|------|
| BUCK | 015 | SDS | S | 800 | 51.11 | n/a | n/a | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | SHOO | S | 15,000 | 32.66 | n/a | n/a | non-brg | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | SHOO | S | 15,000 | 32.75 | n/a | n/a | non-brg | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | SHOO | S | 25,250 | 32.77 | n/a | n/a | non-brg | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | SHRP | C | 20,000 | 12.50 | n/a | n/a | non-brg | 5.0 |
| PROSPECTOR PARTNERS LLC | 036 | SNG | S | 20,000 | 3.44 | n/a | n/a | 600.00 | 3.0 |
| ARIENCE CAPITAL | 036 | STX | B | 62,370 | 20.58 | n/a | n/a | 3,118.50 | 5.0 |
| REINHART & MAHONEY | 031 | SUNW | B | 243,250 | 5.02 | n/a | n/a | 12,162.50 | 5.0 |
| IMPALA ASSET MMT | 012 | SU | SS | 73,869 | 90.64 | n/a | n/a | 2,216.07 | 3.0 |
| LATEFF MGMT | 040 | TCB | S | 2,250 | 28.21 | n/a | n/a | 405.00 | 18.0 |
| LATEFF MGMT | 040 | TEVA | S | 2,200 | 39.46 | 2-May | 4-Jun | 440.00 | 20.0 |
| THE JAY GOLDMAN | 034 | TGT | SS | 15,000 | 63.56 | n/a | 5-Jun | 600.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | TRLG | B | 20,000 | 18.91 | n/a | n/a | non-brg | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | TRLG | B | 7,400 | 19.12 | n/a | n/a | non-brg | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | TRLG | B | 80,000 | 19.14 | n/a | n/a | non-brg | 5.0 |
| KORMAN | 003 | TRLG | B | 3,000 | 19.09 | n/a | n/a | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | TSCO | S | 10,000 | 54.69 | n/a | n/a | non-brg | 5.0 |
| SARAS CAPITAL | 038 | TYC | B | 40,000 | 33.33 | 8-May | 1-Jun | 2,000.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|------------|----------|----------------|--------------|--------------|--------------|----------------|------------|
| BUCK CAPITAL MGMT | 001 | UAG | B | 20,000 | 21.95 | n/a | 9-May | 800.00 | 4.0 |
| AVESTA CAP | 229 | VLO | S | 30,000 | 75.61 | n/a | n/a | 1,500.00 | 5.0 |
| SAXON WOODS ADVISORS | 038 | VLY | S | 10,000 | 24.44 | n/a | n/a | 500.00 | 5.0 |
| DELAWARE MANAGEMENT | 243 | WB | B | 16,100 | 54.03 | n/a | n/a | 805.00 | 5.0 |
| SUN AMERICA ASSET MGMT | 030 | WCC | S | 22,200 | 64.79 | n/a | n/a | 1,110.00 | 5.0 |
| BULL PATH CAPITAL | 044 | WDR | S | 45,500 | 25.61 | 5-Mar | 23-May | 2,275.00 | 5.0 |
| B BUCK CAPITAL MGMT | | WMT | B | 200,000 | 50.87 | 4-Jun | 5-Jun | non-brg | 5.0 |
| J L F ASSET MGMT | 039 | WMT | S | 46,250 | 50.68 | 4-Jun | 5-Jun | 1,850.00 | 4.0 |
| SAXON WOODS ADVISORS | 038 | WMT | B | 15,000 | 50.60 | 4-Jun | 5-Jun | 750.00 | 5.0 |
| IMPALA ASSET MMT | 012 | WRCN | B | 125,000 | 40.36 | n/a | n/a | 3,750.00 | 3.0 |
| JP MORGAN VENTURES | 046 | WRNC | S | 1,100 | 37.02 | 9-May | 9-May | 55.00 | 5.0 |
| ACT II PARTNERS | 067 | XOHO | S | 22,000 | 4.75 | n/a | n/a | 880.00 | 4.0 |
| BRIGHTPOINT CAP | 067 | ZQK | B | 220,000 | 13.77 | 9-Mar | 5-Jun | 8,800.00 | 4.0 |
| B BUCK CAPITAL MGMT | | ZQK | S | 40,000 | 13.77 | 9-Mar | 5-Jun | non-brg | 5.0 |
| COUGAR TRADING | 044 | ZQK | S | 5,000 | 13.64 | 9-Mar | 5-Jun | 250.00 | 5.0 |
| BEAR STEARNS ASSET MGMT. | 033 | ZUMZ | B | 10,000 | 39.36 | n/a | n/a | 400.00 | 4.0 |

TOTAL (Trade Date):

142,626.30

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|--------------|------------------------|------------|------------|----------|--------------|--------------|------------|---------------|-----------------|
| AO, | 06/04 | WHITE PINE CAPITAL | 030 | BONT | S | 1,200 | 47.99 | 25-May | 4-Jun | 60.00 5.0 |
| AO, | 06/04 | GENERAL MOTORS INV CO | 040 | CMGI | B | 13,800 | 2.49 | n/a | n/a | 414.00 3.0 |
| AO, | 06/04 | GENERAL MOTORS INV CO | 040 | DCT | B | 26,700 | 11.00 | n/a | n/a | 1068.00 4.0 |
| AO,CXL | 05/31 | UBS O'CONNOR/TOM LEDDY | 035 | HPQ | S | 197,450 | 45.62 | n/a | n/a | 5923.50 3.0 |
| AO,CRT | 05/31 | UBS O'CONNOR/TOM LEDDY | 035 | HPQ | S | 197,450 | 45.62 | n/a | n/a | 5923.50 3.0 |
| AO, | 06/01 | LISTED ERR | 099 | IGT | B | 1,600 | 40.27 | n/a | 20-Apr | 0.00 0.0 |
| AO, | 06/04 | GENERAL MOTORS INV CO | 040 | PGI | B | 3,400 | 12.69 | n/a | n/a | 136.00 4.0 |
| AO, | 06/04 | COUGAR TRADING | 044 | PLCE | S | 10,000 | 57.06 | 12-Apr | 4-Jun | 500.00 5.0 |
| AO, | 06/01 | TRELLUS PARTNERS LP | 028 | PSYS | S | 30,000 | 37.85 | n/a | n/a | 1200.00 4.0 |
| AO,CXL | 05/31 | UBS OCONNOR | 031 | SMG | B | 17,950 | 46.01 | 20-Feb | 2-May | 538.50 3.0 |
| AO,CRT | 05/31 | UBS OCONNOR | 031 | SMG | B | 17,950 | 46.01 | 20-Feb | 2-May | 538.50 3.0 |
| AO,CRT | 06/01 | UBS OCONNOR | 031 | SMG | B | 31,807 | 45.80 | 20-Feb | 2-May | 954.21 3.0 |
| AO,CXL | 06/01 | UBS OCONNOR | 031 | SMG | B | 31,807 | 45.80 | 20-Feb | 2-May | 954.21 3.0 |
| AO, | 06/04 | GENERAL MOTORS INV CO | 040 | SWS | B | 3,700 | 24.49 | n/a | n/a | 148.00 4.0 |
| AO,CXL | 06/04 | SEAROCK CAPITAL MANAGE | 012 | WMT | S | 100,900 | 50.91 | 4-Jun | 5-Jun | 5045.00 5.0 |
| AO,CRT | 06/04 | SEAROCK CAPITAL MANAGE | 012 | WMT | S | 100,900 | 50.91 | 4-Jun | 5-Jun | 4036.00 4.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 2,517.00 |

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|-----------------------|------------|
| TOTAL (Trade Date): | 142,626.30 |
| TOTAL (AO, CXL, CRT): | 2,517.00 |

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|--------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS: | 145,143.30 |
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| MRI Securities with Trade Activity on 5-Jun. NONE |
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| MRI Securities without Trade Activity on 5-Jun. NONE |
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| BRG comm. as a % of BCM Total Comm. paid. T-Date = 7% YTD = 17% |
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Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

Blue: Employee, Affiliate (BCM) and Proprietary Trades.

Red: Trades in stocks with same day Research/MRI.

Type: AO = As Of, CXL = Cancel, CRT = Corrected.

POTENTIAL ANALYST TRADE VIOLATION