



Daily Compliance Activity Report

Trade Date: 12/19/2006

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------------|-------------|----------|--------------|-------------|------------|------------|--------------|------------|
| PIONEER OAKRIDGE | 031 | AAPL | B | 215 | 85.67 | n/a | n/a | 4.30 | 2.0 |
| PIONEER OAKRIDGE | 031 | ABT | B | 795 | 48.14 | n/a | 22-Apr | 15.90 | 2.0 |
| MORGENS WATERFALL | 040 | ACI | B | 15,000 | 32.65 | n/a | n/a | 750.00 | 5.0 |
| KACELA CAPITAL | 034 | ACN | S | 15,000 | 34.68 | n/a | n/a | 600.00 | 4.0 |
| PIONEER OAKRIDGE | 031 | ADBE | S | 2,070 | 40.72 | n/a | n/a | 41.40 | 2.0 |
| CASTLEROCK | 040 | ADM | B | 70,400 | 32.59 | n/a | n/a | 0.00 | 0.0 |
| PIONEER OAKRIDGE | 031 | AFL | B | 655 | 45.33 | n/a | n/a | 13.10 | 2.0 |
| PIONEER OAKRIDGE | 031 | AGN | B | 270 | 121.70 | n/a | 18-Dec | 5.40 | 2.0 |
| MS PRINCIPAL STRATEGIES | 040 | ALC | SS | 108,900 | 9.30 | n/a | n/a | 4,356.00 | 4.0 |
| GAULT | 063 | AMCC | S | 7,000 | 3.64 | n/a | n/a | 0.00 | 0.0 |
| SCHEINER | 037 | AMGI | S | 2,000 | 2.24 | n/a | n/a | 0.00 | 0.0 |
| PIONEER OAKRIDGE | 031 | AMGN | B | 350 | 69.73 | n/a | 26-Jan | 7.00 | 2.0 |
| SUN AMERICA ASSET MGMT | 030 | AMTD | B | 22,200 | 16.78 | n/a | n/a | 1,110.00 | 5.0 |
| WHITTIER CAP | 048 | ANF | B | 2,720 | 69.09 | 3-Nov | 1-Dec | 108.80 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|------|--------|-----|---------|--------|--------|----------|--------------|-----|
| BUCK CAPITAL MGMT | 001 | ARO | S | 110,000 | 30.37 | 23-Oct | 1-Dec | 4,400.00 | 4.0 |
| Õ Glenn Redemann | | ATI | B | 6 | 0.68 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | ATI | B | 6 | 0.93 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | ATI | S | 6 | 1.91 | n/a | n/a | 0.00 | 0.0 |
| PIONEER OAKRIDGE | 031 | AXP | B | 510 | 61.69 | n/a | n/a | 10.20 | 2.0 |
| BARON ASSET MGMT* | 012 | BBW | B | 60,000 | 25.83 | n/a | n/a | 3,000.00 | 5.0 |
| WHITTIER CAP | 048 | BBW | S | 26,455 | 25.73 | n/a | n/a | 1,058.20 | 4.0 |
| PIONEER OAKRIDGE | 031 | BBY | B | 700 | 48.01 | 13-Dec | 13-Dec | 14.00 | 2.0 |
| THIRD COAST CAPITAL | 035 | BDK | B | 10,000 | 77.49 | n/a | n/a | 500.00 | 5.0 |
| ROYCE TRADING | 216 | BKE | S | 100 | 51.53 | n/a | n/a | 5.00 | 5.0 |
| MORGENS WATERFALL | 040 | BOL | B | 25,000 | 53.29 | n/a | n/a | 1,250.00 | 5.0 |
| CENTURION PARTNERS | 249 | BONT | B | 3,000 | 34.41 | 23-Oct | 1-Dec | 150.00 | 5.0 |
| PEREGRINE | 030 | BONT | S | 20,000 | 36.00 | 23-Oct | 1-Dec | 1,000.00 | 5.0 |
| WHALE ROCK CAP | 030 | BONT | B | 50,000 | 35.81 | 23-Oct | 1-Dec | 2,000.00 | 4.0 |
| WHITE PINE CAPITAL | 030 | BSC | B | 1,800 | 163.16 | 15-Dec | 15-Dec | 90.00 | 5.0 |
| REINHART & MAHONEY | 031 | BWA | B | 4,640 | 56.98 | n/a | n/a | 232.00 | 5.0 |
| KORMAN | 003 | CAKE | S | 2,000 | 25.02 | n/a | 12-Dec | 0.00 | 0.0 |
| PATTEN & PATTEN | 067 | CBT | S | 200 | 41.48 | 2-Nov | 2-Nov | 10.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|--------------|----------|---------------|--------------|---------------|--------------|-----------------|------------|
| SEAROCK CAPITAL MANAGE | 012 | CC | B | 50,000 | 19.04 | n/a | 8-Dec | 2,500.00 | 5.0 |
| TILLDALE MGMT. | 048 | CC | B | 10,000 | 19.05 | n/a | 8-Dec | 500.00 | 5.0 |
| WASHINGTON ASSET | 048 | CC | B | 15,000 | 18.74 | n/a | 8-Dec | 750.00 | 5.0 |
| ROYCE TRADING | 216 | CEM | S | 25,000 | 9.44 | n/a | n/a | 1,250.00 | 5.0 |
| BUCK | 015 | CFQME | B | 10 | 0.85 | n/a | n/a | 0.00 | 0.0 |
| GRANAHAN INV | 039 | CHRS | B | 46,700 | 13.68 | n/a | 16-Nov | 1,868.00 | 4.0 |
| COUGAR TRADING | 044 | CHS | B | 5,000 | 22.01 | 29-Nov | 8-Dec | 250.00 | 5.0 |
| STADIA CAPITAL | 035 | CHS | SS | 44,000 | 22.04 | 29-Nov | 8-Dec | 1,760.00 | 4.0 |
| WHITTIER CAP | 048 | CHS | B | 17,680 | 21.94 | 29-Nov | 8-Dec | 707.20 | 4.0 |
| EMP ERROR | 099 | CHS | S | 1,000 | 21.50 | 29-Nov | 8-Dec | 0.00 | 0.0 |
| EMP ERROR | 160 | CHS | C | 1,000 | 21.52 | 29-Nov | 8-Dec | 0.00 | 0.0 |
| CAPITAL GROWTH MGMT. | 241 | CLB | B | 1,100 | 82.85 | 6-Dec | 6-Dec | 55.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | CL | S | 1,170 | 64.92 | 26-Oct | 5-Dec | 23.40 | 2.0 |
| PIONEER OAKRIDGE | 031 | CMCSA | S | 95 | 42.84 | 27-Jul | 29-Nov | 1.90 | 2.0 |
| MAGNETAR FINANCIAL | 247 | CMG | B | 9,000 | 53.84 | n/a | 12-Dec | 360.00 | 4.0 |
| PIONEER OAKRIDGE | 031 | CMX | B | 700 | 55.78 | n/a | n/a | 14.00 | 2.0 |
| BUCK CAPITAL MGMT | 001 | COH | B | 70,000 | 42.67 | 7-Dec | 7-Dec | 2,800.00 | 4.0 |
| J L F ASSET MGMT | 039 | COH | B | 58,000 | 42.72 | 7-Dec | 7-Dec | 2,320.00 | 4.0 |
| PIONEER OAKRIDGE | 031 | COH | B | 125 | 42.50 | 7-Dec | 7-Dec | 2.50 | 2.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|------------|-----------------|------------|
| THIRD COAST CAPITAL | 035 | COH | S | 9,000 | 41.86 | 7-Dec | 7-Dec | 450.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | CSCO | S | 2,155 | 27.47 | n/a | 22-Mar | 43.10 | 2.0 |
| THIRD COAST CAPITAL | 035 | CTR | B | 7,500 | 23.04 | n/a | n/a | 375.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | CTSH | B | 750 | 77.92 | n/a | n/a | 15.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | CVX | S | 940 | 73.77 | n/a | n/a | 18.80 | 2.0 |
| PIONEER OAKRIDGE | 031 | DHR | B | 495 | 72.71 | n/a | n/a | 9.90 | 2.0 |
| BUCK CAPITAL MGMT | 001 | DKS | S | 50,000 | 50.00 | n/a | n/a | 2,000.00 | 4.0 |
| PIONEER OAKRIDGE | 031 | DNA | B | 515 | 80.64 | n/a | n/a | 10.30 | 2.0 |
| SEAROCK CAPITAL MANAGE | 012 | DRI | B | 40,000 | 40.08 | 12-Dec | 19-Dec | 2,000.00 | 5.0 |
| SAB CAPITAL | 034 | DVR | S | 25,000 | 12.25 | n/a | n/a | 1,250.00 | 5.0 |
| ROYCE TRADING | 216 | DY | S | 50,000 | 21.06 | n/a | n/a | 2,500.00 | 5.0 |
| GALLEON MGMT LP | 033 | ECA | C | 20,000 | 48.16 | n/a | n/a | 1,000.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | ECL | B | 545 | 44.99 | n/a | 20-Oct | 10.90 | 2.0 |
| PIONEER OAKRIDGE | 031 | EMC | S | 4,800 | 13.35 | n/a | n/a | 96.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | EMR | S | 1,800 | 42.51 | n/a | n/a | 36.00 | 2.0 |
| Ö Glenn Redemann | | ENZ | B | 14 | 0.18 | n/a | n/a | 0.00 | 0.0 |

| | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---|---------------------|------|--------|-----|---------|--------|-------|----------|-------------|-----|
| Ö | Glenn Redemann | | ENZ | B | 14 | 0.63 | n/a | n/a | 0.00 | 0.0 |
| Ö | Glenn Redemann | | ENZ | S | 14 | 0.68 | n/a | n/a | 0.00 | 0.0 |
| Ö | Glenn Redemann | | ENZ | S | 14 | 1.13 | n/a | n/a | 0.00 | 0.0 |
| | BACKUS | 005 | EVST | S | 2,000 | 18.34 | n/a | n/a | 0.00 | 0.0 |
| | PIONEER OAKRIDGE | 031 | EXPD | S | 1,400 | 41.55 | n/a | n/a | 28.00 | 2.0 |
| | LEDDY | 035 | FBR | S | 100 | 7.43 | n/a | n/a | 0.00 | 0.0 |
| | PIONEER OAKRIDGE | 031 | FDX | B | 250 | 113.69 | n/a | n/a | 5.00 | 2.0 |
| | BUCK CAPITAL MGMT | 001 | FD | S | 400,000 | 38.47 | 9-Nov | 5-Dec | 16,000.00 | 4.0 |
| | STADIA CAPITAL | 035 | FD | S | 49,000 | 38.32 | 9-Nov | 5-Dec | 1,960.00 | 4.0 |
| | THIRD COAST CAPITAL | 035 | FD | S | 90,000 | 38.36 | 9-Nov | 5-Dec | 4,500.00 | 5.0 |
| | ROYCE TRADING | 216 | FII | B | 55,000 | 33.71 | n/a | 12-Dec | 2,750.00 | 5.0 |
| | SAB CAPITAL | 034 | FINL | SS | 36,500 | 13.97 | n/a | 7-Dec | 1,825.00 | 5.0 |
| | THIRD COAST CAPITAL | 035 | FL | S | 10,000 | 22.00 | n/a | 7-Dec | 500.00 | 5.0 |
| | PIONEER OAKRIDGE | 031 | GE | S | 775 | 37.89 | n/a | n/a | 15.50 | 2.0 |
| | PIONEER OAKRIDGE | 031 | GLW | B | 1,125 | 19.01 | n/a | 18-Dec | 22.50 | 2.0 |
| | KORMAN | 003 | GLW | S | 11,000 | 18.99 | n/a | 18-Dec | 0.00 | 0.0 |
| | PIONEER OAKRIDGE | 031 | GOOG | B | 85 | 464.51 | n/a | n/a | 1.70 | 2.0 |
| | FRIESS MGMT | 042 | GRP | B | 120,300 | 42.56 | n/a | n/a | 5,413.50 | 4.5 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|---------------|--------------|-----------------|------------|
| COUGAR TRADING | 044 | GYMB | B | 5,000 | 37.71 | 1-Dec | 1-Dec | 250.00 | 5.0 |
| SAILFISH | 037 | HAL | S | 10,000 | 32.26 | n/a | n/a | 500.00 | 5.0 |
| ROYCE TRADING | 216 | HBI | B | 5,000 | 23.17 | n/a | n/a | 250.00 | 5.0 |
| MAGNETAR FINANCIAL | 247 | HET | B | 115,700 | 82.37 | 3-Oct | 26-Oct | 4,628.00 | 4.0 |
| PIONEER OAKRIDGE | 031 | HET | B | 335 | 82.11 | 3-Oct | 26-Oct | 6.70 | 2.0 |
| HIGHBRIDGE CAPITAL | 038 | HOT | SS | 10,000 | 63.02 | n/a | n/a | 500.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | IBM | S | 700 | 95.07 | n/a | n/a | 14.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | INTC | S | 3,200 | 20.55 | n/a | n/a | 64.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | ISCA | S | 870 | 52.06 | n/a | n/a | 17.40 | 2.0 |
| RIVER RUN MGMT | 031 | ITCD | B | 10,300 | 2.59 | n/a | n/a | 309.00 | 3.0 |
| HIGHLINE ADV | 044 | IWM | SS | 160,000 | 77.46 | n/a | n/a | 8,000.00 | 5.0 |
| WHITE PINE CAPITAL | 030 | IWM | SS | 29,600 | 77.35 | n/a | n/a | 1,480.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | JNJ | S | 1,150 | 66.90 | n/a | 22-Apr | 23.00 | 2.0 |
| STADIA CAPITAL | 035 | JWN | C | 22,000 | 49.42 | 11-Dec | 11-Dec | 880.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | KSS | S | 80,000 | 71.22 | 10-Nov | 1-Dec | 3,200.00 | 4.0 |
| SEAROCK CAPITAL MANAGE | 012 | KSS | B | 62,200 | 71.01 | 10-Nov | 1-Dec | 3,110.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | LLTC | S | 1,800 | 30.60 | n/a | n/a | 36.00 | 2.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|------------|--------------|------------|------------|-------------|------------|
| PIONEER OAKRIDGE | 031 | LLY | S | 550 | 52.81 | n/a | n/a | 11.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | MAR | B | 915 | 46.15 | n/a | n/a | 18.30 | 2.0 |
| SENTINAL CAPITAL | 067 | MCD | S | 75,000 | 43.59 | 12-Oct | 12-Dec | 3,750.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | MCHP | S | 1,500 | 33.18 | n/a | n/a | 30.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | MDT | S | 1,135 | 54.42 | n/a | 22-Apr | 22.70 | 2.0 |
| HIGHBRIDGE CAPITAL | 038 | MMC | S | 318,500 | 30.41 | n/a | n/a | 15,925.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | MMM | S | 950 | 77.87 | 20-Oct | 20-Oct | 19.00 | 2.0 |
| THIRD POINT MGMT | 044 | MOT | S | 50,000 | 20.41 | n/a | n/a | 2,000.00 | 4.0 |
| ROYCE TRADING | 216 | MRD | S | 25,100 | 34.00 | n/a | n/a | 1,255.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | MSFT | S | 800 | 29.81 | n/a | 3-Apr | 16.00 | 2.0 |
| REINHART & MAHONEY | 031 | MSM | B | 4,600 | 39.16 | n/a | n/a | 198.00 | 4.3 |
| XYLEM GLOBAL | 024 | MWV | B | 23,900 | 30.18 | n/a | 14-Dec | 1,195.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | NATI | S | 429 | 27.72 | n/a | n/a | 8.58 | 2.0 |
| RIDGECRST PARTNERS | 035 | NLS | SS | 5,000 | 14.31 | n/a | n/a | 250.00 | 5.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | NLS | B | 27,700 | 14.49 | n/a | n/a | 1,108.00 | 4.0 |
| MAGUIRE | 039 | NRG | S | 100 | 57.71 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|--------------|---------------|-----------------|------------|
| PIONEER OAKRIDGE | 031 | NVS | B | 535 | 58.67 | n/a | n/a | 10.70 | 2.0 |
| PIONEER OAKRIDGE | 031 | NWSA | B | 2,730 | 21.60 | n/a | n/a | 54.60 | 2.0 |
| BUCK CAPITAL MGMT | 001 | NWY | S | 95,000 | 13.71 | 1-Dec | 1-Dec | 3,800.00 | 4.0 |
| J L F ASSET MGMT | 039 | ODP | SS | 85,100 | 38.99 | n/a | 1-Dec | 3,404.00 | 4.0 |
| J L F ASSET MGMT | 039 | ONNN | S | 86,900 | 7.30 | n/a | n/a | 3,476.00 | 4.0 |
| BENNETT LAWRENCE | 044 | ORCL | S | 59,950 | 17.10 | n/a | n/a | 2,997.50 | 5.0 |
| PIONEER OAKRIDGE | 031 | ORCL | B | 2,230 | 17.14 | n/a | n/a | 44.60 | 2.0 |
| PIONEER OAKRIDGE | 031 | PAYX | B | 980 | 40.71 | n/a | n/a | 19.60 | 2.0 |
| PIONEER OAKRIDGE | 031 | PCP | S | 15 | 78.55 | n/a | n/a | 0.30 | 2.0 |
| PIONEER OAKRIDGE | 031 | PEP | B | 535 | 63.20 | n/a | n/a | 10.70 | 2.0 |
| MORGENS WATERFALL | 040 | PFE | B | 5,000 | 25.83 | n/a | 31-Mar | 250.00 | 5.0 |
| LEDDY | 035 | PFE | B | 600 | 26.00 | n/a | 31-Mar | 0.00 | 0.0 |
| PIONEER OAKRIDGE | 031 | PG | B | 625 | 64.13 | 15-Dec | 15-Dec | 12.50 | 2.0 |
| PATTEN & PATTEN | 067 | PHO | B | 1,100 | 18.26 | n/a | n/a | 55.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | QCOM | B | 1,035 | 38.57 | n/a | n/a | 20.70 | 2.0 |
| INDEPENDENCE INV | 039 | Q | S | 250,000 | 8.07 | n/a | n/a | 7,500.00 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|------------|------------|----------|--------------|--------------|---------------|---------------|--------------|------------|
| BACKUS | 005 | RVI | S | 4,000 | 19.05 | n/a | n/a | 0.00 | 0.0 |
| PIONEER OAKRIDGE | 031 | RX | S | 900 | 27.05 | n/a | n/a | 18.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | SCHW | B | 1,735 | 18.76 | n/a | n/a | 34.70 | 2.0 |
| OPTIMUM INV ADV | 030 | SHPGY | S | 10,000 | 62.79 | 14-Dec | 18-Dec | 400.00 | 4.0 |
| PIONEER OAKRIDGE | 031 | SLB | B | 505 | 65.27 | n/a | n/a | 10.10 | 2.0 |
| MAGUIRE | 039 | SPC | S | 800 | 10.10 | n/a | 15-Nov | 0.00 | 0.0 |
| PIONEER OAKRIDGE | 031 | SPLS | B | 1,845 | 26.76 | n/a | 15-Nov | 36.90 | 2.0 |
| COMMERCE BANK | 046 | SPY | S | 10,540 | 141.39 | n/a | n/a | 632.40 | 6.0 |
| PIONEER OAKRIDGE | 031 | STT | S | 1,200 | 67.05 | n/a | n/a | 24.00 | 2.0 |
| SAILFISH | 037 | SUN | S | 5,000 | 65.43 | n/a | n/a | 250.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | SYK | S | 1,700 | 55.04 | n/a | n/a | 34.00 | 2.0 |
| BACKUS | 005 | TBL | S | 500 | 32.01 | 15-Nov | 7-Dec | 0.00 | 0.0 |
| PIONEER OAKRIDGE | 031 | TGT | B | 175 | 58.34 | n/a | 1-Dec | 3.50 | 2.0 |
| THIRD COAST CAPITAL | 035 | TIF | S | 8,000 | 37.80 | n/a | 30-Nov | 400.00 | 5.0 |
| IRONBOUND CAPITAL | 012 | TIN | B | 2,600 | 45.00 | n/a | 15-Dec | 130.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------|------------|-------------|----------|------------|--------------|------------|------------|-------------|------------|
| J L F ASSET MGMT | 039 | TJX | SS | 28,800 | 28.69 | 6-Oct | 1-Dec | 1,152.00 | 4.0 |
| COUGAR TRADING | 044 | TLB | B | 5,000 | 24.35 | 18-Oct | 16-Nov | 250.00 | 5.0 |
| SAB CAPITAL | 034 | TRLG | B | 600 | 15.25 | n/a | n/a | 30.00 | 5.0 |
| MKT MAKER | 098 | TRLG | B | 24 | 15.25 | n/a | n/a | 0.00 | 0.0 |
| PIONEER OAKRIDGE | 031 | TROW | S | 1,500 | 44.05 | 16-Oct | 12-Dec | 30.00 | 2.0 |
| J L F ASSET MGMT | 039 | TSCO | SS | 11,300 | 44.84 | n/a | n/a | 452.00 | 4.0 |
| MAGUIRE | 039 | TWTR | S | 900 | 2.07 | n/a | n/a | 0.00 | 0.0 |
| EFSTATHIOU | 044 | TWTR | S | 400 | 2.07 | n/a | n/a | 0.00 | 0.0 |
| PIONEER OAKRIDGE | 031 | TXN | B | 1,030 | 28.72 | n/a | n/a | 20.60 | 2.0 |
| PIONEER OAKRIDGE | 031 | UCBH | S | 2,700 | 17.07 | n/a | n/a | 54.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | UPS | S | 900 | 75.70 | n/a | n/a | 18.00 | 2.0 |
| THIRD COAST CAPITAL | 035 | URBN | S | 15,000 | 22.86 | 7-Dec | 11-Dec | 750.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | USB | B | 1,105 | 36.00 | n/a | n/a | 22.10 | 2.0 |
| PIONEER OAKRIDGE | 031 | UTX | B | 560 | 62.08 | n/a | n/a | 11.20 | 2.0 |
| ROTHSCHILD ASSET | 040 | VTS | S | 3,900 | 81.88 | n/a | n/a | 175.50 | 4.5 |
| PIONEER OAKRIDGE | 031 | WAG | B | 665 | 45.34 | n/a | n/a | 13.30 | 2.0 |

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|----------------------------|------------|-------------|----------|---------------|--------------|--------------|---------------|-------------------|------------|
| PATTEN & PATTEN | 067 | WB | B | 700 | 57.51 | n/a | n/a | 35.00 | 5.0 |
| DOUBLE V/PBX | 044 | WEBM | B | 8,100 | 7.06 | n/a | 3-Apr | 405.00 | 5.0 |
| ROYCE TRADING | 216 | WLT | B | 10,000 | 27.65 | n/a | n/a | 500.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | WPPGY | S | 1,400 | 66.58 | n/a | n/a | 28.00 | 2.0 |
| FARBER/WEISS PECK | 012 | WSM | SS | 12,000 | 32.07 | n/a | n/a | 600.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | WWY | S | 1,025 | 51.06 | n/a | n/a | 20.50 | 2.0 |
| Ö John Marrin | | WXCP | B | 400 | 10.25 | n/a | n/a | 0.00 | 0.0 |
| FORD FDN. | 032 | WYE | S | 50,000 | 51.24 | n/a | 31-Mar | 2,500.00 | 5.0 |
| GALLEON MGMT LP | 033 | XOM | B | 50,000 | 75.89 | n/a | n/a | 2,500.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | XTO | B | 710 | 49.23 | n/a | n/a | 14.20 | 2.0 |
| PIONEER OAKRIDGE | 031 | ZMH | B | 395 | 76.42 | n/a | n/a | 7.90 | 2.0 |
| KORMAN | 003 | ZOLT | S | 9,000 | 19.21 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | ZQK | S | 50,000 | 15.40 | 8-Sep | 15-Dec | 2,000.00 | 4.0 |
| TOTAL (Trade Date): | | | | | | | | 163,023.28 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------|-------|--------------------------------|------|--------|-----|--------|-------|--------|----------|-------------|-----|
| AO,CXL | 12/15 | BUCK CAPITAL MGMT (BUCKMSMAIN) | 001 | ANF | S | 49,900 | 69.88 | 3-Nov | 1-Dec | 1996.00 | 4.0 |
| AO,CRT | 12/15 | BUCK CAPITAL MGMT (BUCKMSMAIN) | 001 | ANF | S | 49,900 | 69.88 | 3-Nov | 1-Dec | 1996.00 | 4.0 |
| AO,CXL | 12/15 | BUCK CAPITAL MGMT (BUCKGIL) | 001 | ANF | S | 100 | 69.88 | 3-Nov | 1-Dec | 4.00 | 4.0 |
| AO,CRT | 12/15 | BUCK CAPITAL MGMT (BUCKGIL) | 001 | ANF | S | 100 | 69.88 | 3-Nov | 1-Dec | 4.00 | 4.0 |
| | | | | | | | | | | | |
| AO,CXL | 12/18 | REINHART & MAHONEY (REINTICE4) | 031 | BWA | B | 600 | 57.39 | n/a | n/a | 2.87 | 0.0 |
| AO,CRT | 12/18 | REINHART & MAHONEY (REINTICE4) | 031 | BWA | B | 600 | 57.39 | n/a | n/a | 30.00 | 0.0 |
| AO, | 12/18 | TRIVIUM CAP MGMT (TRIVDEUTSC) | 028 | CC | B | 50,000 | 22.88 | n/a | 8-Dec | 2000.00 | 4.0 |
| AO,CXL | 12/18 | TRIVIUM CAP MGMT (TRIVDEUTSC) | 028 | CC | C | 50,000 | 22.88 | n/a | 8-Dec | 2000.00 | 4.0 |
| | | | | | | | | | | | |
| CRT | 12/19 | EMP ERROR (EMP ERROR) | 160 | CHS | C | 1,000 | 21.52 | 29-Nov | 8-Dec | 0.00 | 0.0 |
| | | | | | | | | | | | |
| AO,CXL | 12/15 | NEEDHAM CAP (NEEDGROWTH) | 067 | FOSL | SS | 9,200 | 22.30 | 15-Nov | 15-Nov | 368.00 | 4.0 |
| AO, | 12/15 | NEEDHAM CAP (NEEDGROWTH) | 067 | FOSL | SS | 9,250 | 22.30 | 15-Nov | 15-Nov | 370.00 | 4.0 |
| | | | | | | | | | | | |
| AO,CXL | 12/18 | FRIESS MGMT (FRISNUKEAC) | 042 | GRP | B | 2,200 | 42.10 | n/a | n/a | 99.00 | 4.5 |
| AO, | 12/18 | FRIESS MGMT (FRISIHP) | 042 | GRP | B | 2,200 | 42.10 | n/a | n/a | 99.00 | 4.5 |
| | | | | | | | | | | | |
| AO,CXL | 12/18 | RIVER RUN MGMT (RIVEGSPB) | 031 | ITCD | B | 23,800 | 2.59 | n/a | n/a | 0.00 | 0.0 |
| AO, | 12/18 | RIVER RUN MGMT (RIVEGSPB) | 031 | ITCD | B | 23,800 | 2.59 | n/a | n/a | 714.00 | 3.0 |
| | | | | | | | | | | | |
| AO, | 12/18 | GENERAL ELECTIC CO (GEICZW3Q) | 033 | KO | S | 208 | 49.05 | n/a | n/a | 9.36 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEICZW4Q) | 033 | KO | S | 941 | 49.05 | n/a | n/a | 42.35 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEICZW7Q) | 033 | KO | S | 101 | 49.05 | n/a | n/a | 4.55 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEICGEI3) | 033 | KO | S | 1,949 | 49.05 | n/a | n/a | 87.71 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEIC8XA9) | 033 | KO | S | 304 | 49.05 | n/a | n/a | 13.68 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEIC8XA5) | 033 | KO | S | 30 | 49.05 | n/a | n/a | 1.35 | 4.5 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------|-------|-------------------------------|------|--------|-----|--------|-------|-----|----------|-------------|-----|
| AO, | 12/18 | GENERAL ELECTIC CO (GEIC8XA4) | 033 | KO | S | 77 | 49.05 | n/a | n/a | 3.47 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEIC8XA3) | 033 | KO | S | 1,362 | 49.05 | n/a | n/a | 61.29 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEICGE9X) | 033 | KO | S | 1,713 | 49.05 | n/a | n/a | 77.09 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEIC8X7W) | 033 | KO | S | 136 | 49.05 | n/a | n/a | 6.12 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEICZW80) | 033 | KO | S | 148 | 49.05 | n/a | n/a | 6.66 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEICGH16) | 033 | KO | S | 758 | 49.05 | n/a | n/a | 34.11 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEIC8X5Y) | 033 | KO | S | 64 | 49.05 | n/a | n/a | 2.88 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEIC8X3Y) | 033 | KO | S | 62 | 49.05 | n/a | n/a | 2.79 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEICZW4A) | 033 | KO | S | 63 | 49.05 | n/a | n/a | 2.84 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEICZW34) | 033 | KO | S | 153 | 49.05 | n/a | n/a | 6.89 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEIC8X5G) | 033 | KO | S | 173 | 49.05 | n/a | n/a | 7.79 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEIC8Y4P) | 033 | KO | S | 610 | 49.05 | n/a | n/a | 27.45 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEICGE29) | 033 | KO | S | 3,701 | 49.05 | n/a | n/a | 166.55 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEICZW35) | 033 | KO | S | 925 | 49.05 | n/a | n/a | 41.63 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEICZW79) | 033 | KO | S | 105 | 49.05 | n/a | n/a | 4.73 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEICZQ10) | 033 | KO | S | 246 | 49.05 | n/a | n/a | 11.07 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEICZW60) | 033 | KO | S | 663 | 49.05 | n/a | n/a | 29.84 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEICZQ50) | 033 | KO | S | 6,723 | 49.05 | n/a | n/a | 302.54 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEICGE30) | 033 | KO | S | 4,277 | 49.05 | n/a | n/a | 192.47 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEICZQ7D) | 033 | KO | S | 177 | 49.05 | n/a | n/a | 7.97 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEICZQ92) | 033 | KO | S | 212 | 49.05 | n/a | n/a | 9.54 | 4.5 |
| AO, | 12/18 | GENERAL ELECTIC CO (GEICZW59) | 033 | KO | S | 119 | 49.05 | n/a | n/a | 5.36 | 4.5 |
| | | | | | | | | | | | |
| AO,CXL | 12/18 | J L F ASSET MGMT (JLFA\$0.04) | 039 | SCSS | SS | 57,500 | 17.29 | n/a | n/a | 2300.00 | 4.0 |
| AO, | 12/18 | J L F ASSET MGMT (JLFA\$0.04) | 039 | SCSS | SS | 57,500 | 17.29 | n/a | n/a | 2300.00 | 4.0 |

TOTAL (AO, CXL, CRT) :

1,913.21

| | |
|---------------------|------------|
| TOTAL (Trade Date): | 163,023.28 |
|---------------------|------------|

| | |
|-----------------------|----------|
| TOTAL (AO, CXL, CRT): | 1,913.21 |
|-----------------------|----------|

| | |
|--------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS: | 164,936.49 |
|--------------------------------|-------------------|

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