

Daily Compliance Activity Report Trade Date: 03/14/2007

POTENTIAL ANALYST TRADE VIOLATIONS: 0

| | | | | | - 0 | | 11 11 12 1 9 1 | TICIDE (IO | |
|--------------------------|------|--------|-----|--------|--------|--------|----------------|------------|--------|
| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | ¢/Shr. |
| BALYASNY ASSET MGMT | 044 | AB | В | 26,300 | 82.96 | 5-Mar | 9-Mar | 1,315.00 | 5.0 |
| MILLENIUM PARTNERS | 028 | ADCT | В | 20,000 | 16.28 | n/a | n/a | 800.00 | 4.0 |
| GRUBER MACBAINE | 033 | AEO | SS | 25,000 | 29.71 | 4-Jan | 9-Mar | 1,000.00 | 4.0 |
| J L F ASSET MGMT | 039 | AEO | В | 40,348 | 30.48 | 4-Jan | 9-Mar | 1,613.92 | 4.0 |
| OPPENHEIMER MGMT. | 036 | AGN | В | 40,000 | 106.99 | 14-Mar | 14-Mar | 1,600.00 | 4.0 |
| PRIME CAPITAL | 048 | AMGN | В | 5,400 | 60.10 | n/a | 26-Jan | 270.00 | 5.0 |
| SUNOVA CAPITAL | 031 | AMG | В | 20,000 | 106.00 | 5-Mar | 5-Mar | 1,000.00 | 5.0 |
| BEAR STEARNS ASSET MGMT. | 033 | ANN | SS | 20,000 | 35.24 | 5-Jan | 13-Mar | 800.00 | 4.0 |
| J L F ASSET MGMT | 039 | ANN | S | 32,899 | 35.02 | 5-Jan | 13-Mar | 1,315.96 | 4.0 |
| LUCHANSKY1 | 036 | APC | s | 100 | 39.79 | 27-Feb | 12-Mar | 0.00 | 0.0 |
| THE JAY GOLDMAN | 034 | ARO | В | 74,200 | 37.30 | 23-0ct | 12-Mar | 2,968.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | AVZ | В | 30,000 | 22.36 | 5-Mar | 9-Mar | 1,500.00 | 5.0 |
| ROARING BLUE LION MGMT | 012 | AVZ | В | 8,600 | 22.13 | 5-Mar | 9-Mar | 430.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | BBW | s | 50,000 | 26.12 | 8-Jan | 21-Feb | 2,000.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | BDK | SS | 20,000 | 82.46 | n/a | n/a | 800.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | BEN | В | 25,000 | 116.94 | 9-Nov | 9-Mar | 1,250.00 | 5.0 |

| Account | RR # | Symbol | B/S | | Shares | Price | MRI | Research | Comm. | \$/Shr. |
|--------------------------|------|--------|-----|----|-----------------|--------|--------|----------|----------|---------|
| BRIGHTPOINT CAP | 067 | BIG | В | | 13,500 | 29.35 | 9-Mar | 12-Mar | 675.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | BIG | | SS | 10,000 | 29.45 | 9-Mar | 12-Mar | 400.00 | 4.0 |
| GOLDMAN SACHS ASSET MGMT | 044 | BIG | | S | 110,000 | 30.16 | 9-Mar | 12-Mar | 4,400.00 | 4.0 |
| GALLEON MGMT LP | 033 | BJS | | SS | 10,000 | 27.46 | n/a | n/a | 500.00 | 5.0 |
| THE JAY GOLDMAN | 034 | BKE | В | | 20,000 | 34.92 | n/a | n/a | 800.00 | 4.0 |
| MERRILL LYNCH STRATEGICI | 034 | BMR | | S | 14,000 | 26.94 | n/a | n/a | 560.00 | 4.0 |
| WOOSTER CAPITAL | 035 | BONT | В | | 10,000 | 52.54 | 9-Mar | 9-Mar | 500.00 | 5.0 |
| SSI INVESTORS | 048 | BSC | В | | 25,492 | 143.04 | 15-Dec | 13-Mar | 1,019.68 | 4.0 |
| LEDDY | 035 | BSC | В | | 250 | 141.92 | 15-Dec | 13-Mar | 0.00 | 0.0 |
| BUCK | 015 | СВМ | | S | 2,900 | 23.60 | n/a | n/a | 0.00 | 0.0 |
| SSI INVESTORS | 048 | CC | В | | 68 , 742 | 17.46 | 20-Dec | 23-Feb | 2,749.68 | 4.0 |
| GAULT | 063 | CDJ | В | | 20 | 1.20 | n/a | n/a | 0.00 | 0.0 |
| STRONG/MARK GRONET | 030 | СНВ | В | | 200,000 | 9.02 | n/a | n/a | 6,000.00 | 3.0 |
| PRIME CAPITAL | 048 | CHS | В | | 19,900 | 21.65 | 5-Jan | 9-Mar | 995.00 | 5.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | CKR | | S | 202,488 | 18.78 | n/a | n/a | 7,593.31 | 3.8 |
| BUCK CAPITAL MGMT | 001 | СОН | | S | 20,000 | 47.85 | 23-Feb | 23-Feb | 800.00 | 4.0 |
| J L F ASSET MGMT | 039 | СОН | В | | 64,000 | 48.95 | 23-Feb | 23-Feb | 2,560.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | ¢/Shr. |
|-------------------|------|--------|-----|---------|-------|--------|----------|-----------|--------|
| MAGUIRE | 090 | DGX | S | 7,500 | 48.75 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | DKS | В | 15,000 | 54.28 | n/a | n/a | 600.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | DSW | S | 10,000 | 40.45 | n/a | 9-Feb | 400.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | EAT | SS | 20,000 | 31.94 | n/a | 8-Mar | 800.00 | 4.0 |
| LEDDY | 035 | EFT | В | 450 | 18.49 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | FDO | SS | 20,000 | 29.00 | 3-Nov | 12-Mar | 800.00 | 4.0 |
| COUGAR TRADING | 044 | FDO | В | 5,000 | 28.51 | 3-Nov | 12-Mar | 250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | FD | В | 10,000 | 44.22 | 26-Jan | 9-Mar | 400.00 | 4.0 |
| SOROS | 036 | FD | S | 449,300 | 43.14 | 26-Jan | 9-Mar | 17,972.00 | 4.0 |
| THE JAY GOLDMAN | 034 | FD | В | 15,000 | 42.60 | 26-Jan | 9-Mar | 600.00 | 4.0 |
| WOOSTER CAPITAL | 035 | FD | В | 100,000 | 43.82 | 26-Jan | 9-Mar | 5,000.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | FL | S | 10,000 | 21.73 | n/a | 14-Mar | 400.00 | 4.0 |
| J L F ASSET MGMT | 039 | FNM | В | 54,000 | 53.46 | n/a | n/a | 2,160.00 | 4.0 |
| J L F ASSET MGMT | 039 | FRE | В | 30,200 | 60.58 | n/a | n/a | 1,208.00 | 4.0 |
| J L F ASSET MGMT | 039 | FXI | В | 10,000 | 97.16 | n/a | n/a | 400.00 | 4.0 |
| CARDINAL CAPITAL | 044 | GCA | В | 42,900 | 14.66 | n/a | n/a | 2,145.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | GCO | В | 10,000 | 38.03 | n/a | 10-Jan | 400.00 | 4.0 |

| Account | RR # | Symbol | в/\$ | S | Shares | Price | MRI | Research | Comm. | \$/Shr. | |
|------------------------|------|--------|------|---|---------|-------|--------|----------|-----------|---------|--|
| MILLENIUM PARTNERS | 028 | GLBC | | S | 20,000 | 26.15 | n/a | n/a | 1,000.00 | 5.0 | |
| TROUBH PART | 067 | GLBC | В | | 10,000 | 26.24 | n/a | n/a | 500.00 | 5.0 | |
| RAINIER INV MGMT | 035 | GMT | | S | 50,000 | 45.48 | n/a | n/a | 2,500.00 | 5.0 | |
| DAVIDSON TRUST CO | 033 | HD | | S | 1,100 | 37.32 | n/a | 1-Mar | 99.00 | 9.0 | |
| J L F ASSET MGMT | 039 | НОТТ | | S | 17,500 | 10.75 | n/a | 13-Mar | 700.00 | 4.0 | |
| MERRILL ASSET | 032 | IFC | | S | 38,500 | 18.77 | n/a | n/a | 1,925.00 | 5.0 | |
| STADIA CAPITAL | 035 | IGT | В | | 55,000 | 38.44 | n/a | 2-Feb | 2,200.00 | 4.0 | |
| MAGUIRE | 090 | ISE | В | | 5,000 | 44.25 | 26-Oct | 13-Mar | 0.00 | 0.0 | |
| BUCK CAPITAL MGMT | 001 | JCG | В | | 20,000 | 37.17 | 14-Mar | 14-Mar | 800.00 | 4.0 | |
| BUCK CAPITAL MGMT | 001 | JCP | В | | 30,000 | 78.37 | 23-Feb | 5-Mar | 1,200.00 | 4.0 | |
| PIVOT CAP | 034 | JCP | В | | 9,000 | 78.50 | 23-Feb | 5-Mar | 360.00 | 4.0 | |
| KEEFE BRUYETTE WOODS A | 031 | JNS | В | | 25,300 | 19.40 | 5-Mar | 9-Mar | 1,265.00 | 5.0 | |
| BUCK CAPITAL MGMT | 001 | JWN | | s | 49,000 | 50.70 | 27-Feb | 9-Mar | 1,960.00 | 4.0 | |
| TRUST CO/COWEN/CALF. | 040 | KFT | В | | 339,855 | 30.38 | n/a | n/a | 16,992.75 | 5.0 | |
| BUCK CAPITAL MGMT | 001 | KMX | | s | 50,000 | 49.94 | n/a | 10-Jan | 2,000.00 | 4.0 | |
| PRIME CAPITAL | 048 | KSS | В | | 16,500 | 70.08 | 27-Dec | 8-Mar | 825.00 | 5.0 | |

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|--------------------------|------|--------|----|----|-----------------|-------|--------|----------|----------|--------|---|
| Account | RR # | Symbol | В/ | s | Shares | Price | MRI | Research | Comm.¢ | :/Shr. | |
| BUCK CAPITAL MGMT | 001 | KWD | В | | 15,000 | 30.81 | n/a | n/a | 600.00 | 4.0 | |
| GAULT | 063 | LESCO | В | | 100 | 0.05 | n/a | n/a | 0.00 | 0.0 | |
| SCHEINER | 037 | LIZ | | s | 1,000 | 42.06 | n/a | 28-Feb | 0.00 | 0.0 | |
| LUCHANSKY1 | 036 | LMC | | s | 1,500 | 9.85 | n/a | n/a | 0.00 | 0.0 | |
| BALYASNY ASSET MGMT | 044 | LM | В | | 10,000 | 95.40 | n/a | 6-Mar | 500.00 | 5.0 | |
| BUCK CAPITAL MGMT | 001 | LTM | | S | 5,000 | 48.82 | n/a | n/a | 200.00 | 4.0 | |
| CHARTER OAK | 037 | LTM | В | | 25,000 | 49.05 | n/a | n/a | 1,250.00 | 5.0 | |
| PRIME CAPITAL | 048 | LUV | В | | 20,000 | 14.80 | n/a | n/a | 1,000.00 | 5.0 | |
| IRON HORSE CAPITAL MGMT | 038 | LVLT | В | | 40,000 | 6.21 | 12-Mar | 12-Mar | 1,200.00 | 3.0 | |
| BUCK | 015 | LVS | В | | 500 | 83.28 | n/a | n/a | 0.00 | 0.0 | |
| MERRILL LYNCH STRATEGICI | 034 | MAR | | SS | 16,000 | 47.51 | n/a | n/a | 800.00 | 5.0 | |
| US BANCORP | 030 | МАТ | | S | 93 , 355 | 27.32 | n/a | n/a | 4,667.75 | 5.0 | |
| HAYGROUND COE | 039 | MCD | | SS | 17,650 | 43.40 | n/a | 6-Feb | 55.00 | 3.3 | |
| LUCHANSKY1 | 036 | MDT | | s | 100 | 49.40 | n/a | 22-Apr | 0.00 | 0.0 | |
| GAULT | 063 | MERDQ | В | | 20 | 1.39 | n/a | n/a | 0.00 | 0.0 | |
| ENTRUST CAPITAL | 040 | MGM | | SS | 77,900 | 66.73 | n/a | 16-Feb | 3,895.00 | 5.0 | |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | \$/Shr. | |
|--------------------------|------|--------|-----|-----------------|-------|--------|----------|----------|---------|--|
| BEAR STEARNS ASSET MGMT. | 033 | MHK | SS | 20,000 | 82.93 | n/a | n/a | 800.00 | 4.0 | |
| виск | 015 | MPEL | S | 2,000 | 14.28 | n/a | n/a | 0.00 | 0.0 | |
| CSFB GLOBAL PROPRIETARY | 035 | MWV | В | 40,000 | 28.86 | 8-Jan | 1-Feb | 2,000.00 | 5.0 | |
| KORMAN | 003 | NDEOE | S | 25 | 0.40 | n/a | n/a | 0.00 | 0.0 | |
| KORMAN | 003 | NDEPD | S | 25 | 1.40 | n/a | n/a | 0.00 | 0.0 | |
| KORMAN | 003 | NDEPX | S | 25 | 1.80 | n/a | n/a | 0.00 | 0.0 | |
| BARR | 096 | NDE | SS | 800 | 26.51 | n/a | n/a | 0.00 | 0.0 | |
| SOMERSET ADV | 044 | NDN | В | 25,000 | 13.60 | 16-Jan | 12-Mar | 1,000.00 | 4.0 | |
| J L F ASSET MGMT | 039 | NLS | S | 50,685 | 16.20 | n/a | n/a | 2,027.40 | 4.0 | |
| LUCHANSKY1 | 036 | NT | S | 500 | 27.03 | n/a | 22-Mar | 0.00 | 0.0 | |
| MATRIX ASSET ADV. | 036 | NVLS | S | 25 , 000 | 32.75 | n/a | n/a | 1,000.00 | 4.0 | |
| BUCK CAPITAL MGMT | 001 | NWY | S | 30,000 | 14.68 | 1-Dec | 9-Mar | 1,200.00 | 4.0 | |
| GAULT | 063 | OFTAA | В | 100 | 1.45 | n/a | n/a | 0.00 | 0.0 | |
| STADIA CAPITAL | 035 | OMX | SS | 33,000 | 49.82 | n/a | 15-Apr | 1,320.00 | 4.0 | |
| BARR | 096 | OPY | s | 600 | 33.25 | n/a | n/a | 0.00 | 0.0 | |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢ | Shr. |
|--------------------------|------|--------|-----|--------|-------|--------|----------|----------|------|
| LEDDY | 035 | PFE | В | 600 | 24.75 | n/a | 31-Mar | 0.00 | 0.0 |
| AVESTA CAP | 229 | PG | S | 25,000 | 61.29 | 15-Dec | 13-Mar | 1,250.00 | 5.0 |
| BRUNNER | 012 | PNCL | В | 1,600 | 17.12 | n/a | n/a | 0.00 | 0.0 |
| BRUN | 012 | PNCL | В | 200 | 17.12 | n/a | n/a | 0.00 | 0.0 |
| BEAR STEARNS ASSET MGMT. | 033 | PNRA | SS | 20,000 | 59.15 | n/a | n/a | 800.00 | 4.0 |
| KNOTT PARTNERS | 044 | PRX | В | 5,000 | 23.96 | 30-Jan | 14-Mar | 250.00 | 5.0 |
| LEDDY | 035 | QID | S | 1,000 | 56.07 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | RL | SS | 25,000 | 82.75 | 2-Feb | 16-Feb | 1,000.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | RL | S | 5,000 | 83.13 | 2-Feb | 16-Feb | 200.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | RVI | s | 10,000 | 20.31 | n/a | n/a | 400.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | SKX | В | 20,000 | 32.99 | n/a | 13-Mar | 800.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | SSI | В | 10,000 | 21.29 | 26-Feb | 14-Mar | 400.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | TGT | S | 5,000 | 59.35 | n/a | 8-Mar | 200.00 | 4.0 |
| PIVOT CAP | 034 | TJX | В | 9,000 | 26.07 | n/a | 9-Mar | 360.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | TLB | S | 10,000 | 24.14 | 10-Jan | 8-Mar | 400.00 | 4.0 |
| DELTEC ASSET MGMT. | 040 | TNB | S | 8,000 | 49.29 | n/a | n/a | 400.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢ | :/Shr. |
|---------------------|------|--------|-----|--------|-------|--------|----------|----------|--------|
| BULL PATH CAPITAL | 044 | TROW | В | 22,500 | 45.73 | n/a | 5-Mar | 1,125.00 | 5.0 |
| ROBX | 033 | TWC | В | 12,000 | 36.70 | n/a | n/a | 480.00 | 4.0 |
| LUCHANSKY1 | 036 | URBN | S | 100 | 24.09 | 7-Dec | 9-Mar | 0.00 | 0.0 |
| PILOT ADV | 038 | USG | SS | 25,000 | 47.78 | 13-Mar | 13-Mar | 1,000.00 | 4.0 |
| MCCARTAN | 028 | VSL | В | 100 | 16.27 | n/a | n/a | 0.00 | 0.0 |
| BALYASNY ASSET MGMT | 044 | WDR | В | 15,000 | 22.64 | 5-Mar | 5-Mar | 750.00 | 5.0 |
| J L F ASSET MGMT | 039 | WFR | S | 34,299 | 55.08 | n/a | n/a | 1,371.96 | 4.0 |
| BUCK CAPITAL MGMT | 001 | WHR | SS | 20,000 | 84.63 | n/a | n/a | 800.00 | 4.0 |
| HAYGROUND COE | 039 | YUM | SS | 23,850 | 57.38 | 12-Dec | 13-Feb | 1,192.50 | 5.0 |
| BUCK CAPITAL MGMT | 001 | ZLC | SS | 30,000 | 25.01 | n/a | n/a | 1,200.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | ZQK | S | 30,000 | 11.20 | 9-Mar | 13-Mar | 1,200.00 | 4.0 |

TOTAL (Trade Date): 155,171.91

Cancel/Corrects and As-Of Trades

| Туре | Date | Account | RR # | Symbol | B/S | 3 | Shares | Price | MRI | Research | n Comm. | ¢/Shr. |
|---------|-------|---------------------------------------|------|--------|-----|-----|---------|-------|--------|----------|----------|--------|
| | | | | | | | | | | | | |
| AO, CRT | 02/23 | PLATTE RIVER CAPITAL (PLAT2MARTI) | 035 | AGIX | В | | 3,000 | 11.46 | n/a | n/a | 120.00 | 4.0 |
| AO,CXL | 02/23 | PLATTE RIVER CAPITAL (&PLATCLOSE) | 035 | AGIX | В | | 3,000 | 11.46 | n/a | n/a | 120.00 | 4.0 |
| AO, | 03/13 | GOLDMAN SACHS ASSET MGMT (GSAM2917) | 044 | AMLN | В | | 11,970 | 38.05 | n/a | n/a | 179.55 | 1.5 |
| AO, | 03/13 | GOLDMAN SACHS ASSET MGMT (GSAM2752) | 044 | AMLN | В | | 14,300 | 38.05 | n/a | n/a | 214.50 | 1.5 |
| AO, | 03/13 | GOLDMAN SACHS ASSET MGMT (GSAM2557) | 044 | AMLN | В | | 12,280 | 38.05 | n/a | n/a | 184.20 | 1.5 |
| AO, | 03/13 | GOLDMAN SACHS ASSET MGMT (GSAM2454) | 044 | AMLN | В | | 9,910 | 38.05 | n/a | n/a | 148.65 | 1.5 |
| AO, | 03/13 | GOLDMAN SACHS ASSET MGMT (GSAM3140) | 044 | AMLN | В | | 21,730 | 38.05 | n/a | n/a | 325.95 | 1.5 |
| AO, | 03/13 | GOLDMAN SACHS ASSET MGMT (GSAM2140) | 044 | AMLN | В | | 9,050 | 38.05 | n/a | n/a | 135.75 | 1.5 |
| AO, | 03/13 | GOLDMAN SACHS ASSET MGMT (GSAM3079) | 044 | AMLN | В | | 22,141 | 38.05 | n/a | n/a | 332.12 | 1.5 |
| | | | | | | | | | | | | |
| AO,CXL | 03/13 | MERRILL LYNCH STRATEGICI (MLSIMERRIL) | 034 | AVR | В | | 20,000 | 14.79 | n/a | n/a | 1000.00 | 5.0 |
| AO,CRT | 03/13 | MERRILL LYNCH STRATEGICI (MLSIMERRIL) | 034 | AVR | В | | 20,000 | 14.79 | n/a | n/a | 600.00 | 3.0 |
| | | | | | | | | | | | | |
| AO,CXL | 03/09 | SOMERSET ADV (SOMEMAINUB) | 044 | DBA | | SS | 14,000 | 26.33 | n/a | n/a | 700.00 | 5.0 |
| AO,CRT | 03/09 | SOMERSET ADV (SOMEMAINUB) | 044 | DBA | | SS | 14,000 | 26.33 | n/a | n/a | 560.00 | 4.0 |
| CRT | 03/14 | SOROS (SOROGOLDMA) | 036 | FD | | S 4 | 449,300 | 43.14 | 26-Jan | 9-Mar | 17972.00 | 4.0 |
| CRT | 03/14 | THE JAY GOLDMAN (GOLDGSBULK) | 034 | FD | В | | 15,000 | 42.60 | 26-Jan | 9-Mar | 600.00 | 4.0 |
| AO,CXL | 03/13 | MERRILL LYNCH STRATEGICI (MLSIMERRIL) | 034 | FL | В | | 10,000 | 22.19 | n/a | 14-Mar | 500.00 | 5.0 |
| AO,CRT | 03/13 | MERRILL LYNCH STRATEGICI (MLSIMERRIL) | 034 | FL | В | | 10,000 | 22.19 | n/a | 14-Mar | 400.00 | 4.0 |
| | | | | | | | | | | | | |
| AO, | 03/13 | HARVEST MGMT (HARVGSCO) | 039 | GYMB | В | | 10,000 | 35.22 | 4-Jan | 14-Mar | 500.00 | 5.0 |
| AO,CXL | 03/13 | KNOTT PARTNERS (KNOTGS) | 044 | PRX | В | | 25,000 | 24.34 | 30-Jan | 14-Mar | 1000.00 | 4.0 |
| AO, CRT | 03/13 | KNOTT PARTNERS (KNOTGS) | 044 | PRX | В | | 25,000 | 24.34 | 30-Jan | 14-Mar | 1250.00 | 5.0 |
| | | | | | | | | | | | | |
| AO, | 03/13 | DURANGO INVESTMENTS (DURACREDIT) | 031 | QLGC | В | | 40,000 | 16.90 | n/a | n/a | 1600.00 | 4.0 |

| Туре | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | ¢/Shr. |
|--------|-------|--------------------------------|------|--------|-----|---------|-------|-------|----------|----------|--------|
| AO,CXL | 03/12 | NCM CAPITAL MGMT (NCMCMATTHE) | 035 | SBH | S | 3,000 | 9.62 | n/a | n/a | 0.00 | 0.0 |
| O,CRT | 03/12 | NCM CAPITAL MGMT (NCMCMATTHE) | 035 | SBH | S | 3,000 | 9.62 | n/a | n/a | 150.00 | 5.0 |
| .0, | 03/13 | HARVEST MGMT (HARVNEUBER) | 039 | WMT | S | 30,620 | 46.21 | n/a | 8-Mar | 1531.00 | 5.0 |
| AO,CXL | 03/13 | HARVEST MGMT (HARVGSCO) | 039 | WMT | S | 64,300 | 46.21 | n/a | 8-Mar | 3215.00 | 5.0 |
| AO, | 03/13 | HARVEST MGMT (HARVGSCO) | 039 | WMT | S | 33,680 | 46.21 | n/a | 8-Mar | 1684.00 | 5.0 |
| O, CXL | 03/13 | BUCK CAPITAL MGMT (BUCKMSMAIN) | 001 | ZQK | s | 274,900 | 11.32 | 9-Mar | 13-Mar | 10996.00 | 4.0 |
| O, CRT | 03/13 | BUCK CAPITAL MGMT (BUCKMSMAIN) | 001 | ZQK | S | 274,700 | 11.32 | 9-Mar | 13-Mar | 10988.00 | 4.0 |
| O, CXL | 03/13 | BUCK CAPITAL MGMT (BUCKGIL) | 001 | ZQK | S | 100 | 11.32 | 9-Mar | 13-Mar | 4.00 | 4.0 |
| O, CRT | 03/13 | BUCK CAPITAL MGMT (BUCKGIL) | 001 | ZQK | S | 300 | 11.32 | 9-Mar | 13-Mar | 12.00 | 4.0 |

| TOTAL (Trade Date): TOTAL (AO, CXL, CRT): | 155,171.91 21,952.72 |
|---|-------------------------|
| TOTAL (RUN DATE) / NFS: | 177,124.63 |

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