

Daily Compliance Activity Report Trade Date: 03/05/2007

POTENTIAL ANALYST TRADE VIOLATIONS: 0

| | | | | | | 10. | | MALLIGI | Heibl vio | |
|---|------------------------|------|--------|-----|---------|---------|--------|----------|-----------|--------|
| | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | ¢/Shr. |
| | COLONIAL FUND LLC | 036 | AEOS | SS | 25,000 | 29.27 | 4-Jan | 5-Mar | 1,250.00 | 5.0 |
| | SAC TRADING HOWARD | 038 | AEOS | В | 20,000 | 29.29 | 4-Jan | 5-Mar | 1,000.00 | 5.0 |
| | MAZAMA CAPITAL MGMT. | 035 | AIQ | S | 13,400 | 6.83 | n/a | n/a | 536.00 | 4.0 |
| | COUGAR TRADING | 044 | ANF | В | 5,000 | 74.69 | 2-Feb | 5-Mar | 250.00 | 5.0 |
| | PRIME LOGIC ADV | 039 | ANF | В | 5,000 | 74.06 | 2-Feb | 5-Mar | 250.00 | 5.0 |
| | BUCK CAPITAL MGMT | 001 | ARO | S | 10,000 | 35.19 | 23-0ct | 5-Mar | 400.00 | 4.0 |
| õ | Ted Wheeler | | ASEI | В | 2000 | 50.7500 | n/a | n/a | 0.00 | 0.0 |
| | MAZAMA CAPITAL MGMT. | 035 | ATW | S | 1,500 | 50.55 | n/a | n/a | 60.00 | 4.0 |
| | LEDDY | 035 | AVZ | S | 2,200 | 22.52 | 5-Mar | 5-Mar | 0.00 | 0.0 |
| | PLATTE RIVER CAPITAL | 035 | AWI | В | 29,800 | 49.44 | n/a | n/a | 1,192.00 | 4.0 |
| | SUN AMERICA ASSET MGMT | 030 | BEBE | S | 26,000 | 17.49 | n/a | n/a | 1,300.00 | 5.0 |
| | COUGAR TRADING | 044 | BONT | В | 5,000 | 45.18 | 9-Feb | 5-Mar | 250.00 | 5.0 |
| | COUGAR TRADING | 044 | BONT | SS | 5,000 | 46.68 | 9-Feb | 5-Mar | 250.00 | 5.0 |
| | SLS CAPITAL LLC | 224 | BSX | S | 130,297 | 15.63 | n/a | 22-Apr | 6,514.85 | 5.0 |
| | PLATTE RIVER CAPITAL | 035 | BUD | В | 8,500 | 48.20 | n/a | n/a | 340.00 | 4.0 |
| | ARIENCE CAPITAL | 036 | BYD | В | 11,565 | 45.07 | 21-Feb | 21-Feb | 578.25 | 5.0 |

| | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | ¢/Shr. |
|--------|-------------------------|------|------------|--------|-----------------|--------------------|------------|------------|----------|--------|
| | MANNING & NAPIER | 034 | CCMP | S | 26,060 | 31.86 | n/a | 2-Mar | 1,042.40 | 4.0 |
| | HIGHFIELDS CAP MGMT | 039 | CCU | В | 185,000 | 35.87 | n/a | n/a | 9,250.00 | 5.0 |
| | CROWLEY | 061 | CHBD | В | 4,500 | 1.05 | n/a | n/a | 0.00 | 0.0 |
| | BUCK CAPITAL MGMT | 001 | CLE | s | 20,000 | 31.32 | 3-Nov | 5-Mar | 800.00 | 4.0 |
| õ õ | Ted Wheeler Ted Wheeler | | CPN CPN | s s | | 06.2500 08.0000 | n/a n/a | n/a n/a | 0.00 | 0.0 |
| | MAZAMA CAPITAL MGMT. | 035 | CPX | S | 2,600 | 19.01 | n/a | n/a | 104.00 | 4.0 |
| | CAPITAL GROWTH MGMT. | 241 | CRS | В | 20,000 | 111.71 | n/a | n/a | 1,000.00 | 5.0 |
| | KENNEDY CAPITAL | 046 | CSE | S | 73 , 647 | 24.50 | n/a | n/a | 2,945.88 | 4.0 |
| | ASCEND PARTNERS | 033 | CUTR | SS | 25 , 000 | 33.28 | n/a | n/a | 1,250.00 | 5.0 |
| | SAC TRADING HOWARD | 038 | CVS | В | 20,000 | 30.90 | n/a | n/a | 1,000.00 | 5.0 |
| | LATEFF MGMT | 040 | С | В | 1,250 | 50.03 | 11-Jan | 16-Feb | 375.00 | 30.0 |
| | LUCHANSKY4 | 036 | DCTH | s | 9,000 | 4.09 | n/a | n/a | 0.00 | 0.0 |
| | ZOLIDIS | 011 | DECK | С | 200 | 67.77 | n/a | n/a | 0.00 | 0.0 |
| | BUCK CAPITAL MGMT | 001 | DKS | В | 5,000 | 50.63 | n/a | n/a | 200.00 | 4.0 |
| | GAULT | 063 | EDA | В | 1,000 | 10.32 | n/a | n/a | 0.00 | 0.0 |

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|----------------------|------|--------|----|----|------------------|--------|--------|----------|-----------|--------|---|
| Account | RR # | Symbol | в/ | s | Shares | Price | MRI | Research | Comm. | ¢/Shr. | |
| CAPITAL GROWTH MGMT. | 241 | FCX | В | | 20,000 | 53.75 | n/a | n/a | 1,000.00 | 5.0 | |
| PRINCIPLE CAPITAL | 040 | FD | | S | 300,000 | 44.17 | 26-Jan | 5-Mar | 12,000.00 | 4.0 | |
| TRIVIUM CAP MGMT | 028 | FD | | S | 50,000 | 44.19 | 26-Jan | 5-Mar | 2,000.00 | 4.0 | |
| CAPITAL GROWTH MGMT. | 241 | FLR | В | | 20,000 | 88.28 | n/a | n/a | 1,000.00 | 5.0 | |
| MAZAMA CAPITAL MGMT. | 035 | FMR | | S | 1,700 | 21.40 | n/a | n/a | 68.00 | 4.0 | |
| MAZAMA CAPITAL MGMT. | 035 | FVE | | S | 6,800 | 10.75 | n/a | n/a | 272.00 | 4.0 | |
| VARDON PARTNERS | 035 | F | В | | 15,000 | 7.58 | n/a | n/a | 750.00 | 5.0 | |
| BUCK CAPITAL MGMT | 001 | GCO | В | | 10,000 | 37.74 | n/a | 10-Jan | 400.00 | 4.0 | |
| BUCK CAPITAL MGMT | 001 | GCO | | S | 10,000 | 37.84 | n/a | 10-Jan | 400.00 | 4.0 | |
| LATEFF MGMT | 040 | GE | В | | 1,000 | 34.86 | n/a | n/a | 290.00 | 29.0 | |
| MAZAMA CAPITAL MGMT. | 035 | GHL | | S | 1,100 | 64.64 | n/a | n/a | 44.00 | 4.0 | |
| MKT MAKER | 099 | GIII | В | | 282 | 19.98 | n/a | n/a | 0.00 | 0.0 | |
| MERRILL ASSET | 032 | GS | | S | 278 , 700 | 194.87 | 13-Dec | 28-Feb | 13,935.00 | 5.0 | |
| MAZAMA CAPITAL MGMT. | 035 | HF | | S | 900 | 18.20 | n/a | n/a | 36.00 | 4.0 | |
| ASCEND PARTNERS | 033 | HLEX | | S | 42,500 | 26.49 | n/a | n/a | 2,125.00 | 5.0 | |
| CIBC ADV. | 060 | НМА | | SS | 25,000 | 10.28 | 5-Mar | 5-Mar | 1,000.00 | 4.0 | |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢ | Shr. |
|------------------------|---|---|--|---|---|---|--|---|---|
| MAZAMA CAPITAL MGMT. | 035 | НРҮ | S | 1,300 | 25.19 | n/a | n/a | 52.00 | 4.0 |
| GALLEON MGMT LP | 033 | HSY | С | 7,500 | 53.95 | n/a | n/a | 375.00 | 5.0 |
| AMBER CAPITAL | 046 | INDM | В | 50,000 | 23.65 | n/a | n/a | 2,000.00 | 4.0 |
| SANDLER CAPITAL | 038 | IRF | S | 60,000 | 41.99 | n/a | n/a | 3,600.00 | 6.0 |
| BUCK CAPITAL MGMT | 001 | JCG | В | 5,000 | 35.68 | 25-Jan | 25-Jan | 200.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | JCP | В | 5,000 | 78.84 | 23-Feb | 5-Mar | 200.00 | 4.0 |
| MORGAN STANLEY PRINC 2 | 040 | JNS | SS | 50,000 | 20.17 | 5-Mar | 5-Mar | 2,500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | JWN | S | 10,000 | 50.83 | 27-Feb | 5-Mar | 400.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | KCP | S | 20,000 | 24.87 | n/a | 28-Feb | 800.00 | 4.0 |
| MAZAMA CAPITAL MGMT. | 035 | KNL | S | 5,100 | 23.42 | n/a | n/a | 204.00 | 4.0 |
| MAZAMA CAPITAL MGMT. | 035 | KOG | S | 5,700 | 5.07 | n/a | n/a | 228.00 | 4.0 |
| LEDDY | 035 | LEH | S | 200 | 71.57 | 6-Dec | 28-Feb | 0.00 | 0.0 |
| LATEFF MGMT | 040 | LYO | В | 500 | 30.91 | n/a | 2-Mar | 145.00 | 29.0 |
| AVESTA CAP | 229 | MCD | S | 50,000 | 43.23 | 12-Oct | 6-Feb | 2,500.00 | 5.0 |
| KORMAN | 003 | MSFT | S | 3,000 | 27.87 | n/a | 3-Apr | 0.00 | 0.0 |
| | MAZAMA CAPITAL MGMT. GALLEON MGMT LP AMBER CAPITAL SANDLER CAPITAL BUCK CAPITAL MGMT MORGAN STANLEY PRINC 2 BUCK CAPITAL MGMT BUCK CAPITAL MGMT MAZAMA CAPITAL MGMT MAZAMA CAPITAL MGMT. LEDDY LATEFF MGMT AVESTA CAP | MAZAMA CAPITAL MGMT. GALLEON MGMT LP 033 AMBER CAPITAL 046 SANDLER CAPITAL BUCK CAPITAL MGMT MORGAN STANLEY PRINC 2 040 BUCK CAPITAL MGMT 001 BUCK CAPITAL MGMT 001 BUCK CAPITAL MGMT 001 MAZAMA CAPITAL MGMT 035 MAZAMA CAPITAL MGMT. 035 LEDDY 035 LATEFF MGMT 040 AVESTA CAP 229 | MAZAMA CAPITAL MGMT. GALLEON MGMT LP AMBER CAPITAL O46 INDM SANDLER CAPITAL BUCK CAPITAL MGMT O01 JCG BUCK CAPITAL MGMT O01 MORGAN STANLEY PRINC 2 O40 MUCK CAPITAL MGMT O01 JWN BUCK CAPITAL MGMT O01 KCP MAZAMA CAPITAL MGMT O35 KNL MAZAMA CAPITAL MGMT O35 KOG LEDDY O35 LEH LATEFF MGMT O40 LYO AVESTA CAP 229 MCD | MAZAMA CAPITAL MGMT. GALLEON MGMT LP O33 HSY C AMBER CAPITAL O46 INDM B SANDLER CAPITAL O38 IRF S BUCK CAPITAL MGMT O01 JCG B MORGAN STANLEY PRINC 2 O40 JNS SS BUCK CAPITAL MGMT O01 JWN S BUCK CAPITAL MGMT O01 KCP S MAZAMA CAPITAL MGMT O35 KNL S MAZAMA CAPITAL MGMT O35 KNL S LEDDY O35 LEH S AVESTA CAP 229 MCD S | MAZAMA CAPITAL MGMT. GALLEON MGMT LP 033 HSY C 7,500 AMBER CAPITAL 046 INDM B 50,000 SANDLER CAPITAL 038 IRF S 60,000 BUCK CAPITAL MGMT 001 JCG B 5,000 MORGAN STANLEY PRINC 2 040 JNS SS 50,000 BUCK CAPITAL MGMT 001 JWN S 10,000 BUCK CAPITAL MGMT 001 KCP S 20,000 MAZAMA CAPITAL MGMT. 035 KNL S 5,700 LEDDY 035 LEH S 200 AVESTA CAP 229 MCD S 50,000 | MAZAMA CAPITAL MGMT. 035 HPY S 1,300 25.19 GALLEON MGMT LP 033 HSY C 7,500 53.95 AMBER CAPITAL 046 INDM B 50,000 23.65 SANDLER CAPITAL 038 IRF S 60,000 41.99 BUCK CAPITAL MGMT 001 JCG B 5,000 35.68 BUCK CAPITAL MGMT 001 JCP B 5,000 78.84 MORGAN STANLEY PRINC 2 040 JNS SS 50,000 20.17 BUCK CAPITAL MGMT 001 JWN S 10,000 50.83 BUCK CAPITAL MGMT 001 KCP S 20,000 24.87 MAZAMA CAPITAL MGMT. 035 KNL S 5,100 23.42 MAZAMA CAPITAL MGMT. 035 KNG S 5,700 5.07 LEDDY 035 LEH S 200 71.57 LATEFF MGMT 040 LYO B 50,000 43.23 | MAZAMA CAPITAL MGMT. 035 HPY S 1,300 25.19 n/a GALLEON MGMT LP 033 HSY C 7,500 53.95 n/a AMBER CAPITAL 046 INDM B 50,000 23.65 n/a SANDLER CAPITAL 038 IRF S 60,000 41.99 n/a BUCK CAPITAL MGMT 001 JCG B 5,000 35.68 25-Jan BUCK CAPITAL MGMT 001 JCP B 5,000 78.84 23-Feb MORGAN STANLEY PRINC 2 040 JNS SS 50,000 20.17 5-Mar BUCK CAPITAL MGMT 001 JWN S 10,000 50.83 27-Feb BUCK CAPITAL MGMT 001 KCP S 20,000 24.87 n/a MAZAMA CAPITAL MGMT. 035 KNL S 5,100 23.42 n/a MAZAMA CAPITAL MGMT. 035 KOG S 5,700 5.07 n/a LEDDY 035 LEH S 200 71.57 6-Dec LATEFF MGMT 040 LYO B 50,000 43.23 12-Oct | MAZAMA CAPITAL MGMT. 035 HPY S 1,300 25.19 n/a n/a GALLEON MGMT LP 033 HSY C 7,500 53.95 n/a n/a AMBER CAPITAL 046 INDM B 50,000 23.65 n/a n/a SANDLER CAPITAL 038 IRF S 60,000 41.99 n/a n/a BUCK CAPITAL MGMT 001 JCG B 5,000 35.68 25-Jan 25-Jan BUCK CAPITAL MGMT 001 JCF B 5,000 78.84 23-Feb 5-Mar MORGAN STANLEY PRINC 2 040 JNS SS 50,000 20.17 5-Mar 5-Mar BUCK CAPITAL MGMT 001 JWN S 10,000 50.83 27-Feb 5-Mar BUCK CAPITAL MGMT 001 KCP S 20,000 24.87 n/a 28-Feb MAZAMA CAPITAL MGMT. 035 KNL S 5,100 23.42 n/a n/a MAZAMA CAPITAL MGMT. 035 KOG S 5,700 5.07 n/a n/a LEDDY 035 LEH S 200 71.57 6-Dec 28-Feb LATEFF MGMT 040 LYO B 50,000 43.23 12-Oct 6-Feb | MAZAMA CAPITAL MGMT. 035 HPY S 1,300 25.19 n/a n/a 52.00 GALLEON MGMT LP 033 HSY C 7,500 53.95 n/a n/a 2,000.00 AMBER CAPITAL 046 INDM B 50,000 23.65 n/a n/a 2,000.00 SANDLER CAPITAL 038 IRF S 60,000 41.99 n/a n/a 3,600.00 BUCK CAPITAL MGMT 001 JCG B 5,000 35.68 25-Jan 25-Jan 200.00 BUCK CAPITAL MGMT 001 JCF B 5,000 78.84 23-Feb 5-Mar 200.00 MORGAN STANLEY PRINC 2 040 JNS SS 50,000 20.17 5-Mar 5-Mar 2,500.00 BUCK CAPITAL MGMT 001 JWN S 10,000 50.83 27-Feb 5-Mar 400.00 BUCK CAPITAL MGMT 001 KCP S 20,000 24.87 n/a 28-Feb 800.00 MAZAMA CAPITAL MGMT. 035 KNL S 5,100 23.42 n/a n/a 204.00 MAZAMA CAPITAL MGMT. 035 KNG S 5,700 5.07 n/a n/a 228.00 LEDDY 035 LEH S 200 71.57 6-Dec 28-Feb 0.00 AVESTA CAP MCD S 50,000 43.23 12-Oct 6-Feb 2,500.00 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | Shr. | |
|----------------------|------|--------|-----|---------|-------|-------|----------|-----------|------|--|
| MAZAMA CAPITAL MGMT. | 035 | MTZ | S | 3,800 | 11.08 | n/a | n/a | 152.00 | 4.0 | |
| CAPITAL GROWTH MGMT. | 241 | МТ | В | 50,000 | 49.63 | n/a | n/a | 2,500.00 | 5.0 | |
| ZOLIDIS | 011 | MWRK | S | 300 | 32.07 | n/a | n/a | 0.00 | 0.0 | |
| PLATTE RIVER CAPITAL | 035 | NEM | В | 1,000 | 42.92 | n/a | n/a | 40.00 | 4.0 | |
| MAZAMA CAPITAL MGMT. | 035 | NGS | S | 3,300 | 12.70 | n/a | n/a | 132.00 | 4.0 | |
| BUCK CAPITAL MGMT | 001 | NLS | В | 5,000 | 16.43 | n/a | n/a | 200.00 | 4.0 | |
| THE JAY GOLDMAN | 034 | NWY | В | 30,000 | 13.63 | 1-Dec | 5-Mar | 1,200.00 | 4.0 | |
| AMBER CAPITAL | 046 | ODP | В | 50,000 | 33.57 | n/a | 2-Mar | 2,000.00 | 4.0 | |
| U.S.TRUST COMPANY | 012 | PBR | В | 29,000 | 84.75 | n/a | n/a | 1,305.00 | 4.5 | |
| T. ROWE PRICE | 040 | PFE | В | 1,040 | 24.83 | n/a | 31-Mar | 41.60 | 4.0 | |
| TRUST CO/COWEN/CALF. | 040 | PFE | В | 498,960 | 24.83 | n/a | 31-Mar | 19,958.40 | 4.0 | |
| VARDON PARTNERS | 035 | PSS | В | 45,000 | 30.62 | n/a | n/a | 2,250.00 | 5.0 | |
| FIRST NEW YORK LEDDY | 035 | PTMK | S | 14,000 | 12.35 | n/a | n/a | 840.00 | 6.0 | |
| LEDDY | 035 | QID | В | 1,000 | 57.18 | n/a | n/a | 0.00 | 0.0 | |
| WHEELER | 008 | RAE | В | 10,000 | 2.67 | n/a | n/a | 0.00 | 0.0 | |
| KORMAN | 003 | RLF | s | 2,000 | 24.25 | n/a | n/a | 0.00 | 0.0 | |

| Account | RR # | Symbol | в/: | S | Shares | Price | MRI | Research | Comm. | \$/Shr. |
|--------------------------|------|--------|-----|----|-----------------|--------|--------|----------|-----------|---------|
| COHE & STEERS | 091 | RYN | В | | 25,000 | 43.09 | 24-Jan | 24-Jan | 1,250.00 | 5.0 |
| MKT MAKER | 099 | SCRX | В | | 71 | 22.25 | 20-Dec | 5-Mar | 0.00 | 0.0 |
| AMBER CAPITAL | 046 | SPLS | В | | 50,000 | 25.27 | n/a | 2-Mar | 2,000.00 | 4.0 |
| PORTER-ORLIN-FELDMAN | 044 | SPY | В | | 100,000 | 138.83 | n/a | n/a | 5,000.00 | 5.0 |
| MKT MAKER | 099 | SSCC | В | | 66 | 11.49 | 26-Oct | 25-Jan | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | SSI | В | | 10,000 | 20.56 | 26-Feb | 5-Mar | 400.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | SSI | В | | 20,000 | 20.50 | 26-Feb | 5-Mar | 1,000.00 | 5.0 |
| COLUMBUS CIRCLE | 036 | STJ | В | | 78 , 375 | 39.45 | n/a | n/a | 3,135.00 | 4.0 |
| SAC TRADING HOWARD | 038 | TGT | | SS | 15,000 | 60.43 | n/a | 28-Feb | 750.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | TWB | | s | 5,000 | 34.90 | 22-Feb | 22-Feb | 200.00 | 4.0 |
| U.S.TRUST COMPANY | 012 | TYC | В | | 56,000 | 30.03 | n/a | 6-Feb | 2,520.00 | 4.5 |
| FRANKLIN FUND OF CALIFOR | 033 | Т | | S | 239,800 | 36.25 | 26-Jan | 5-Mar | 11,990.00 | 5.0 |
| MORGAN LEWIS/MLH | 046 | UNFI | | SS | 15,000 | 28.83 | n/a | n/a | 750.00 | 5.0 |
| PILOT ADV | 038 | UNP | В | | 22,100 | 96.88 | n/a | n/a | 884.00 | 4.0 |
| LEDDY | 035 | URBN | | s | 300 | 25.11 | 7-Dec | 9-Feb | 0.00 | 0.0 |
| LUCHANSKY1 | 036 | USG | | S | 200 | 51.65 | 5-Mar | 5-Mar | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------------------------|------|--------|-----|---------|-------|--------|----------|--------------|
| GALLEON MGMT LP | 033 | VLO | SS | 10,000 | 55.62 | n/a | n/a | 500.00 5.0 |
| PLATTE RIVER CAPITAL | 035 | VZ | В | 2,000 | 36.60 | 22-Dec | 5-Mar | 80.00 4.0 |
| MORGAN LEWIS/MLH | 046 | WFMI | SS | 25,000 | 46.04 | n/a | n/a | 1,250.00 5.0 |
| CHILTON CAPITAL MGMT. | 036 | WYE | В | 200,115 | 49.12 | n/a | 31-Mar | 8,004.60 4.0 |
| MATRIX ASSET ADV. | 036 | MOX | S | 8,400 | 70.35 | n/a | n/a | 336.00 4.0 |
| INTEGRITY CAPITAL MGMT | 039 | ZQK | S | 15,000 | 13.48 | 9-Feb | 1-Mar | 450.00 3.0 |
| MAZAMA CAPITAL MGMT. | 035 | ZQK | S | 14,900 | 13.54 | 9-Feb | 1-Mar | 596.00 4.0 |

TOTAL (Trade Date): 152,376.98

Cancel/Corrects and As-Of Trades

| Туре | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | ¢/Shr. |
|---------|-------|---------------------------------------|------|--------|-----|---------|-------|--------|----------|---------|--------|
| AO,CXL | 03/02 | WAGONHOUND (WAGO) | 048 | EWS | S | 43,400 | 11.48 | n/a | n/a | 1736.00 | 4.0 |
| AO, CRT | 03/02 | WAGONHOUND (WAGO) | 048 | EWS | S | 43,400 | 11.48 | n/a | n/a | 1302.00 | 3.0 |
| AO,CXL | 03/01 | MERRILL LYNCH STRATEGICI (MLSIMERRIL) | 034 | PLLL | В | 100,000 | 20.58 | n/a | n/a | 5000.00 | 5.0 |
| AO, CRT | 03/01 | MERRILL LYNCH STRATEGICI (MLSIMERRIL) | 034 | PLLL | В | 100,000 | 20.58 | n/a | n/a | 4000.00 | 4.0 |
| AO, CRT | 03/01 | MKT MAKER (MKT MAKER) | 097 | SCRX | В | 4 | 23.25 | 20-Dec | 5-Mar | 0.00 | 0.0 |
| AO, | 03/02 | WHITTIER CAP (WHITCALI) | 048 | TWTR | В | 8,177 | 1.42 | n/a | n/a | 245.31 | 3.0 |
| AO,CXL | 03/02 | AMBER CAPITAL (AMBRLEH) | 046 | ZLC | В | 40,000 | 26.61 | n/a | n/a | 2000.00 | 5.0 |
| 110,011 | | | | ZLC | В | 40,000 | 26.61 | n/a | , | 1600.00 | 4.0 |

| TOTAL (RUN DATE) / NFS: | 150,788.29 |
|-------------------------|------------|
| TOTAL (AO, CXL, CRT): | -1,588.69 |
| TOTAL (Trade Date): | 152,376.98 |

Legend:

O: 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