



Daily Compliance Activity Report

Trade Date: 12/14/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|-----------|----------|---------------|--------------|------------|---------------|-----------------|------------|
| ROTHSCHILD ASSET | 040 | ABC | S | 26,460 | 43.02 | n/a | n/a | 1,190.70 | 4.5 |
| BALYASNY ASSET MGMT | 044 | ABG | B | 10,000 | 15.19 | 31-Oct | 4-Dec | 500.00 | 5.0 |
| LATEFF MGMT | 040 | ABG | B | 2,000 | 15.09 | 31-Oct | 4-Dec | 260.00 | 13.0 |
| LATEFF MGMT | 040 | ADM | S | 3,500 | 39.30 | n/a | 19-Nov | 560.00 | 16.0 |
| BALYASNY ASSET MGMT | 044 | ANF | B | 10,000 | 81.72 | 2-Oct | 7-Dec | 500.00 | 5.0 |
| COUGAR TRADING | 044 | ANF | SS | 5,000 | 81.26 | 2-Oct | 7-Dec | 250.00 | 5.0 |
| REICH AND TANG | 067 | AW | S | 18,300 | 11.13 | n/a | n/a | 915.00 | 5.0 |
| INDEPENDENCE INV | 039 | BA | S | 82,900 | 89.25 | n/a | n/a | 3,316.00 | 4.0 |
| CARDINAL CAPITAL | 044 | BE | S | 111,290 | 2.83 | n/a | n/a | 3,338.70 | 3.0 |
| FRIESS MGMT | 042 | BHE | B | 114,200 | 17.59 | n/a | n/a | 5,139.00 | 4.5 |
| BUCK CAPITAL MGMT | 001 | BJ | B | 65,000 | 36.34 | n/a | 27-Jul | 2,600.00 | 4.0 |
| CLOVIS CAPITAL | 012 | BLL | B | 100,000 | 46.51 | n/a | n/a | 5,000.00 | 5.0 |
| ROYCE TRADING | 216 | BNE | S | 5,000 | 17.81 | n/a | n/a | 250.00 | 5.0 |
| HARVEST MGMT | 039 | COCO | S | 25,000 | 17.48 | n/a | n/a | 1,250.00 | 5.0 |
| FRIESS MGMT | 042 | CPWR | B | 674,400 | 8.88 | n/a | n/a | 23,604.00 | 3.5 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|---------------|---------------|---------------|-----------------|------------|
| PATTEN & PATTEN | 067 | CX | S | 300 | 26.81 | n/a | n/a | 15.00 | 5.0 |
| CATAPULT | 040 | C | B | 5,000 | 30.79 | 5-Nov | 13-Dec | 250.00 | 5.0 |
| FIRST NY SEC/CHRIS | 041 | DAL | B | 15,000 | 15.53 | n/a | n/a | 900.00 | 6.0 |
| BARROW HANLEY MEWHINNEY | 031 | DD | S | 578,700 | 45.38 | n/a | 4-Dec | 23,148.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | DSW | S | 73,700 | 18.82 | 26-Oct | 14-Dec | 2,948.00 | 4.0 |
| PATTEN & PATTEN | 067 | EWZ | B | 65 | 81.70 | n/a | n/a | 3.25 | 5.0 |
| KINGDON ASSET MGMT | 041 | FDRY | C | 150,000 | 16.56 | n/a | 22-Mar | 7,500.00 | 5.0 |
| FRIESS MGMT | 042 | FMC | B | 83,000 | 53.63 | n/a | n/a | 3,735.00 | 4.5 |
| MAZAMA CAPITAL MGMT. | 035 | FMR | S | 39,500 | 22.18 | n/a | n/a | 1,580.00 | 4.0 |
| REINHART & MAHONEY | 031 | FSP | S | 300 | 15.61 | n/a | n/a | 15.00 | 5.0 |
| BUCK | 015 | FXE | B | 300 | 144.46 | n/a | n/a | 0.00 | 0.0 |
| MAGUIRE | 090 | FXP | S | 3,500 | 79.42 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | GES | B | 10,000 | 41.07 | n/a | n/a | 400.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | GIL | B | 30,000 | 40.48 | 5-Nov | 11-Dec | 1,200.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | GNTX | B | 10,000 | 17.89 | 24-Jul | 23-Oct | 500.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|----------|----------------|--------------|---------------|--------------|-----------------|------------|
| LATEFF MGMT | 040 | GPI | S | 1,500 | 25.48 | 31-Oct | 31-Oct | 270.00 | 18.0 |
| WESLEY CAPITAL | 030 | GRT | S | 67,416 | 16.27 | n/a | n/a | 2,696.64 | 4.0 |
| CHART WELL ADV | 243 | IBKR | B | 629 | 29.89 | n/a | n/a | 28.31 | 4.5 |
| RHO CAPITAL MGMT | 041 | IMA | S | 1,924 | 55.50 | n/a | n/a | 76.96 | 4.0 |
| BARR | 096 | IOM | B | 4,000 | 3.52 | n/a | n/a | 0.00 | 0.0 |
| NOMURA CAPITAL | 045 | IPHS | S | 7,100 | 14.23 | n/a | n/a | 355.00 | 5.0 |
| GEORGE WEISS | 034 | IP | SS | 10,000 | 32.98 | n/a | 5-Nov | 400.00 | 4.0 |
| PROSPECTOR PARTNERS LLC | 036 | IP | B | 25,000 | 32.83 | n/a | 5-Nov | 1,000.00 | 4.0 |
| BUCK | 015 | ISTA | B | 1,301 | 5.36 | n/a | n/a | 0.00 | 0.0 |
| PATTEN & PATTEN | 067 | ITT | B | 150 | 63.50 | n/a | 13-Nov | 7.50 | 5.0 |
| BUCK CAPITAL MGMT | 001 | JAH | B | 20,000 | 24.99 | n/a | n/a | 800.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | JWN | S | 150,000 | 35.16 | 20-Nov | 7-Dec | 6,000.00 | 4.0 |
| REICH AND TANG | 067 | KCI | B | 15,000 | 51.39 | n/a | n/a | 750.00 | 5.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | KCP | B | 40,000 | 17.83 | 28-Sep | 28-Sep | 1,500.00 | 3.8 |
| BUCK | 015 | KFT | S | 2,000 | 33.40 | n/a | n/a | 0.00 | 0.0 |
| METROPOLITAN CAPITAL | 044 | KSS | B | 8,400 | 47.02 | 9-Nov | 7-Dec | 420.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|-----------|---------------|--------------|--------------|---------------|---------------|------------|
| KEEFE BRUYETTE WOODS A | 031 | LM | S | 10,000 | 73.67 | 21-Nov | 10-Dec | 500.00 | 5.0 |
| LATEFF MGMT | 040 | LOW | B | 3,000 | 22.90 | n/a | 27-Jul | 420.00 | 14.0 |
| BUCK | 015 | MBI | C | 700 | 28.30 | n/a | n/a | 0.00 | 0.0 |
| WESLEY CAPITAL | 246 | MGM | SS | 31,562 | 88.60 | n/a | 31-Oct | 1,262.48 | 4.0 |
| PATTEN & PATTEN | 067 | MHP | S | 400 | 45.52 | n/a | n/a | 20.00 | 5.0 |
| BUCK | 015 | MO | B | 600 | 77.36 | n/a | n/a | 0.00 | 0.0 |
| INDEPENDENCE INV | 039 | MRK | B | 123,200 | 59.71 | n/a | n/a | 4,928.00 | 4.0 |
| PATTEN & PATTEN | 067 | MRK | S | 100 | 59.96 | n/a | n/a | 5.00 | 5.0 |
| UBS OCONNOR | 031 | MS | S | 60,000 | 50.55 | 5-Dec | 13-Dec | 1,800.00 | 3.0 |
| BUCK | 015 | MS | SS | 800 | 50.54 | 5-Dec | 13-Dec | 0.00 | 0.0 |
| COUGAR TRADING | 044 | M | S | 10,000 | 27.89 | 9-Nov | 7-Dec | 500.00 | 5.0 |
| HIGHBRIDGE CAPITAL | 038 | PCL | S | 106,100 | 45.55 | n/a | 23-Oct | 5,305.00 | 5.0 |
| ROTHSCHILD ASSET | 040 | PEG | S | 9,670 | 96.70 | n/a | n/a | 435.15 | 4.5 |
| HIGHBRIDGE CAPITAL | 038 | PKG | SS | 40,000 | 28.19 | 18-Oct | 8-Nov | 2,000.00 | 5.0 |
| ROYCE TRADING | 216 | PMC | B | 10,000 | 14.08 | n/a | n/a | 500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | PVH | B | 10,000 | 39.05 | 5-Dec | 5-Dec | 400.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|-----------|----------------|--------------|---------------|---------------|------------------|------------|
| SARAS CAPITAL | 038 | QQQQ | SS | 250,000 | 51.38 | n/a | n/a | 7,500.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | RL | S | 20,000 | 64.45 | 8-Nov | 8-Nov | 800.00 | 4.0 |
| BENCHMARK | 028 | RMBS | B | 5,000 | 20.82 | n/a | n/a | 250.00 | 5.0 |
| MKT MAKER | 099 | SCSS | B | 75 | 6.41 | n/a | n/a | 0.00 | 0.0 |
| MAGUIRE | 090 | SKF | S | 5,100 | 99.53 | n/a | n/a | 0.00 | 0.0 |
| KAICHER | 064 | SNCR | B | 1,000 | 35.18 | n/a | n/a | 0.00 | 0.0 |
| MS PRINCIPAL STRATEGIES | 041 | SNDK | SS | 50,000 | 36.29 | n/a | n/a | 2,500.00 | 5.0 |
| PRINCIPLE CAPITAL | 040 | SWK | B | 45,992 | 49.14 | n/a | n/a | 1,839.68 | 4.0 |
| BARR | 096 | SYNP | B | 4,000 | 5.22 | n/a | n/a | 0.00 | 0.0 |
| GRUSS CAPITAL | 045 | TAST | B | 15,000 | 9.85 | n/a | n/a | 600.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | TIF | SS | 20,000 | 45.27 | 18-Oct | 3-Dec | 800.00 | 4.0 |
| GEORGE WEISS | 034 | TIN | B | 10,000 | 32.79 | 11-Dec | 11-Dec | 400.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | TWB | S | 250,000 | 23.42 | 19-Nov | 19-Nov | 10,000.00 | 4.0 |
| FIRST INV MGMT CORP | 036 | TYC | B | 7,000 | 41.85 | 9-Nov | 15-Nov | 350.00 | 5.0 |
| FRIESS MGMT | 042 | UAPH | S | 290,200 | 38.51 | n/a | n/a | 13,059.00 | 4.5 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------|--------|-----|---------|-------|--------|----------|-------------------|-----|
| MILTON PARTNERS | 060 | UAPH | B | 25,000 | 38.50 | n/a | n/a | 750.00 | 3.0 |
| FRIESS MGMT | 042 | VRSN | S | 474,127 | 36.73 | n/a | n/a | 21,335.72 | 4.5 |
| PATTEN & PATTEN | 067 | WAG | S | 325 | 36.88 | n/a | n/a | 16.25 | 5.0 |
| MERRILL ASSET | 032 | WDR | S | 17,500 | 36.38 | 21-Nov | 26-Nov | 787.50 | 4.5 |
| BUCK | 015 | WM | SS | 1,000 | 15.17 | n/a | n/a | 0.00 | 0.0 |
| CUMBERLAND | 038 | YHOO | S | 100,000 | 24.01 | n/a | n/a | 4,000.00 | 4.0 |
| WESLEY CAPITAL | 246 | YSI | S | 199,433 | 9.89 | n/a | n/a | 7,977.32 | 4.0 |
| COUGAR TRADING | 044 | ZQK | B | 25,000 | 9.00 | n/a | 14-Dec | 1,250.00 | 5.0 |
| TOTAL (Trade Date): | | | | | | | | 197,463.16 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|-------------------------------------|------|--------|-----|---------|--------|-----|----------|-------------|
| AO, | 12/13 | GARDNER LEWIS ASSET MGMT (GLAMADIA) | 028 | CMI | S | 32,000 | 122.62 | n/a | n/a | 1600.00 5.0 |
| AO, | 12/13 | GARDNER LEWIS ASSET MGMT (GLAMCCG) | 028 | CMI | S | 25,810 | 122.62 | n/a | n/a | 1290.50 5.0 |
| AO, | 12/13 | MORRISON & FRASIER (MORRBANC O) | 040 | CSE | S | 45,800 | 17.01 | n/a | n/a | 1832.00 4.0 |
| AO,CXL | 12/13 | MORRISON & FRASIER (MORRCONF) | 040 | CSE | S | 100,800 | 17.01 | n/a | n/a | 4032.00 4.0 |
| AO,CRT | 12/13 | MORRISON & FRASIER (MORRCONF) | 040 | CSE | S | 55,000 | 17.01 | n/a | n/a | 2200.00 4.0 |
| AO,CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 323 | 7.20 | n/a | n/a | 0.00 0.0 |
| AO,CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 77 | 7.20 | n/a | n/a | 0.00 0.0 |
| AO,CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 800 | 7.09 | n/a | n/a | 0.00 0.0 |
| AO,CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 223 | 7.20 | n/a | n/a | 0.00 0.0 |
| AO,CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 9,200 | 7.09 | n/a | n/a | 0.00 0.0 |
| AO,CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 323 | 7.20 | n/a | n/a | 0.00 0.0 |
| AO,CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO,CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 277 | 7.20 | n/a | n/a | 0.00 0.0 |
| AO,CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO,CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 800 | 7.09 | n/a | n/a | 0.00 0.0 |
| AO,CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO,CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 9,200 | 7.09 | n/a | n/a | 0.00 0.0 |
| AO,CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO,CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 200 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO,CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 200 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO,CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO,CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 102 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO,CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO,CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO,CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 200 | 7.02 | n/a | n/a | 0.00 0.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|---------|-------|-----------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 200 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 102 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 700 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 200 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 200 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 303 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 200 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 21 | 6.99 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 303 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.94 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 200 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 101 | 6.94 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 700 | 7.02 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 400 | 6.94 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 21 | 6.99 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 400 | 6.94 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 101 | 6.94 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 400 | 6.94 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.94 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.94 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 400 | 6.94 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.94 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 400 | 6.94 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.94 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 400 | 6.94 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.94 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 400 | 6.94 | n/a | n/a | 0.00 0.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|---------|-------|-----------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 300 | 6.93 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.94 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 2,399 | 6.93 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.94 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.93 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.94 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.93 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 300 | 6.93 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.93 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 2,399 | 6.93 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.93 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.93 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.93 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.93 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.93 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 1,400 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.93 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 200 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.93 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 1,400 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 200 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 200 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 200 | 6.89 | n/a | n/a | 0.00 0.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|---------|-------|-----------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 200 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 300 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 200 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 400 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 200 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 200 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 300 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 200 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 200 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 400 | 6.88 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.88 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 400 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 64 | 6.75 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 200 | 6.89 | n/a | n/a | 0.00 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 44 | 6.75 | n/a | n/a | 0.00 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 200 | 6.89 | n/a | n/a | 0.00 0.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------|-------|--------------------------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 097 | JBLU | B | 200 | 6.89 | n/a | n/a | 0.00 | 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 400 | 6.88 | n/a | n/a | 0.00 | 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 097 | JBLU | B | 310 | 6.75 | n/a | n/a | 0.00 | 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 100 | 6.88 | n/a | n/a | 0.00 | 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 097 | JBLU | B | 356 | 6.75 | n/a | n/a | 0.00 | 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 64 | 6.75 | n/a | n/a | 0.00 | 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 44 | 6.75 | n/a | n/a | 0.00 | 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 310 | 6.75 | n/a | n/a | 0.00 | 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 356 | 6.75 | n/a | n/a | 0.00 | 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 277 | 7.20 | n/a | n/a | 0.00 | 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 223 | 7.20 | n/a | n/a | 0.00 | 0.0 |
| AO, CRT | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | B | 77 | 7.20 | n/a | n/a | 0.00 | 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | S | 24,979 | 6.99 | n/a | n/a | 0.00 | 0.0 |
| AO, CXL | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | S | 21 | 6.75 | n/a | n/a | 0.00 | 0.0 |
| AO, | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | S | 24,979 | 6.99 | n/a | n/a | 0.00 | 0.0 |
| AO, | 12/13 | MKT MAKER (MKT MAKER) | 099 | JBLU | S | 21 | 6.75 | n/a | n/a | 0.00 | 0.0 |
| CRT | 12/14 | SARAS CAPITAL (SARSMS) | 038 | QQQQ | SS | 250,000 | 51.38 | n/a | n/a | 7500.00 | 3.0 |
| CRT | 12/14 | MKT MAKER (MKT MAKER) | 099 | SCSS | B | 75 | 6.41 | n/a | n/a | 0.00 | 0.0 |
| AO, CRT | 12/13 | AMBER CAPITAL (AMBRGS) | 046 | SSCC | SS | 24,800 | 10.96 | n/a | 26-Oct | 992.00 | 4.0 |
| AO, CXL | 12/13 | AMBER CAPITAL (AMBRLEH) | 046 | SSCC | SS | 24,800 | 10.96 | n/a | 26-Oct | 992.00 | 4.0 |
| AO, | 12/13 | GEORGE WEISS (WEISUBS) | 034 | TIN | B | 9,150 | 32.89 | 11-Dec | 11-Dec | 366.00 | 4.0 |
| AO, | 12/13 | GEORGE WEISS (WEISDEUTSC) | 034 | TIN | B | 9,150 | 32.89 | 11-Dec | 11-Dec | 366.00 | 4.0 |
| AO, CXL | 12/13 | CARLYLE BLUE WAVE PR MG (CBLUMS/USE) | 224 | WMI | B | 5,000 | 34.01 | n/a | n/a | 250.00 | 5.0 |
| AO, CRT | 12/13 | CARLYLE BLUE WAVE PR MG (CBLUCITI) | 224 | WMI | B | 5,000 | 34.01 | n/a | n/a | 250.00 | 5.0 |

TOTAL (AO, CXL, CRT) :

11,122.50

| | |
|---------------------|------------|
| TOTAL (Trade Date): | 197,463.16 |
|---------------------|------------|

| | |
|-----------------------|-----------|
| TOTAL (AO, CXL, CRT): | 11,122.50 |
|-----------------------|-----------|

| | |
|--------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS: | 208,585.66 |
|--------------------------------|-------------------|

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