



Daily Compliance Activity Report

Trade Date: 07/21/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|-----------|---------------|--------------|---------------|---------------|-----------------|------------|
| WATER STREET CAPITAL | 038 | AA | S | 125,000 | 33.88 | n/a | n/a | 6,250.00 | 5.0 |
| NWQ INVESTMENT MGMT CO | 048 | ABH | S | 8,228 | 8.92 | n/a | 11-Jul | 246.84 | 3.0 |
| ENDEAVOUR CAPITAL | 035 | ADS | SS | 30,000 | 61.51 | n/a | n/a | 1,500.00 | 5.0 |
| PAW PARTNERS | 041 | ADTN | SS | 5,900 | 22.94 | n/a | 22-Mar | 295.00 | 5.0 |
| CHARTER OAK | 033 | AFFY | S | 960 | 19.59 | n/a | n/a | 48.00 | 5.0 |
| DECADE CAPITAL PARTNERS | 040 | AJG | B | 40,000 | 25.19 | n/a | n/a | 2,000.00 | 5.0 |
| CROSS CAPITAL | 028 | ALV | B | 35,490 | 45.60 | 17-Apr | 17-Jul | 1,774.50 | 5.0 |
| TRELLUS PARTNERS LP | 028 | ALV | B | 33,500 | 45.45 | 17-Apr | 17-Jul | 1,675.00 | 5.0 |
| CATAPULT | 040 | AMX | B | 10,260 | 53.22 | n/a | n/a | 410.40 | 4.0 |
| CHILTON CAPITAL MGMT. | 036 | AMX | S | 400,000 | 52.92 | n/a | n/a | 16,000.00 | 4.0 |
| COUGAR TRADING | 044 | ANF | SS | 5,000 | 59.28 | 10-Jul | 11-Jul | 250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | ANN | SS | 40,000 | 22.75 | 14-Mar | 11-Jul | 1,600.00 | 4.0 |
| COUGAR TRADING | 044 | ANN | SS | 5,000 | 23.33 | 14-Mar | 11-Jul | 250.00 | 5.0 |
| NATIONAL BK OF CAN | 031 | BBT | B | 50,000 | 27.43 | n/a | n/a | 2,000.00 | 4.0 |
| NWQ INVESTMENT MGMT CO | 048 | BKI | S | 12,350 | 8.31 | n/a | n/a | 370.50 | 3.0 |
| SUNOVA CAPITAL | 031 | BLK | B | 5,000 | 214.82 | n/a | 17-Jul | 250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|--------------|----------|---------------|---------------|------------|---------------|---------------|------------|
| SERENGETI MGMT | 030 | BOH | SS | 150,000 | 46.27 | n/a | n/a | 7,500.00 | 5.0 |
| S.A.C. CAPITAL MGMT. | 044 | BRL | S | 25,000 | 64.65 | 18-Jul | 18-Jul | 1,250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | CAT | B | 15,000 | 71.09 | n/a | 23-May | 600.00 | 4.0 |
| KAICHER | 064 | CBI | B | 2,000 | 32.60 | n/a | n/a | 0.00 | 0.0 |
| ENDEAVOUR CAPITAL | 035 | CBU | B | 50,000 | 23.21 | n/a | n/a | 2,500.00 | 5.0 |
| BARR | 096 | CDNS | C | 8,000 | 10.29 | n/a | n/a | 0.00 | 0.0 |
| BARR | 096 | CEVA | S | 1,500 | 9.01 | n/a | n/a | 0.00 | 0.0 |
| NORTHPOINT | 030 | CFNL | B | 13,865 | 7.12 | n/a | n/a | 415.95 | 3.0 |
| NICOLAS APPLGATE | 048 | CHIC | S | 6,550 | 14.16 | n/a | n/a | 196.50 | 3.0 |
| MERRILL ASSET | 032 | CRR | S | 10,800 | 52.71 | 5-Jun | 17-Jul | 486.00 | 4.5 |
| MATRIX ASSET ADV. | 036 | CSCO | B | 23,500 | 21.82 | n/a | 22-Mar | 940.00 | 4.0 |
| ROARING BLUE LION MGMT | 012 | DECK | B | 3,700 | 114.26 | n/a | n/a | 148.00 | 4.0 |
| KARPNANCY | 023 | DODGX | B | 45 | 110.69 | n/a | n/a | 0.00 | 0.0 |
| CUMBERLAND | 038 | DOX | B | 50,000 | 29.81 | n/a | n/a | 2,000.00 | 4.0 |
| NORTHPOINT | 030 | DRQ | B | 9,685 | 55.04 | n/a | n/a | 387.40 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|---------------|---------------|---------------|------------|
| NORTHPOINT | 030 | DWSN | B | 8,815 | 52.94 | n/a | n/a | 352.60 | 4.0 |
| NORTHPOINT | 030 | EMKR | B | 93,750 | 5.03 | n/a | n/a | 2,812.50 | 3.0 |
| MS PRINCIPAL STRATEGIES | 041 | ERJ | SS | 50,000 | 29.15 | n/a | n/a | 2,500.00 | 5.0 |
| CHILTON CAPITAL MGMT. | 036 | FIS | S | 119,700 | 20.03 | n/a | n/a | 4,788.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | FL | S | 10,000 | 13.50 | 2-Apr | 9-Jul | 400.00 | 4.0 |
| KENNEDY CAPITAL | 046 | FSS | B | 10,000 | 11.99 | n/a | n/a | 400.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | GCO | S | 10,000 | 28.68 | n/a | 10-Jan | 400.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | GES | B | 10,000 | 32.22 | n/a | n/a | 400.00 | 4.0 |
| NWQ INVESTMENT MGMT CO | 048 | GFF | S | 15,000 | 8.95 | n/a | n/a | 450.00 | 3.0 |
| BARR | 096 | GFI | S | 8,500 | 12.75 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | GIL | B | 10,000 | 25.39 | 30-Apr | 18-Jul | 400.00 | 4.0 |
| COUGAR TRADING | 044 | GYMB | S | 5,000 | 39.63 | 11-Jul | 11-Jul | 250.00 | 5.0 |
| JP MORGAN VENTURES | 046 | HBI | B | 20,000 | 25.84 | n/a | n/a | 1,000.00 | 5.0 |
| KENNEDY CAPITAL | 046 | HMN | B | 30,000 | 12.94 | n/a | n/a | 1,200.00 | 4.0 |
| HUNTER GLOBAL INVESTOR | 067 | HOG | SS | 54,000 | 37.05 | n/a | n/a | 2,700.00 | 5.0 |

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|--------------------------|------------|-------------|----------|--------------|---------------|------------|---------------|---------------|------------|
| CUMBERLAND | 038 | HTLD | B | 50,000 | 16.70 | n/a | n/a | 2,000.00 | 4.0 |
| KEEFE BRUYETTE WOODS A | 031 | IAI | B | 12,700 | 33.08 | n/a | n/a | 635.00 | 5.0 |
| LEDDY | 035 | ICON | B | 1,200 | 11.56 | n/a | n/a | 0.00 | 0.0 |
| HART | 056 | ICON | B | 75 | 11.72 | n/a | n/a | 0.00 | 0.0 |
| OSS CAPITAL/KEVIN DANN | 067 | IMN | SS | 100,000 | 21.99 | n/a | n/a | 3,000.00 | 3.0 |
| J L F ASSET MGMT | 039 | IP | B | 83,500 | 23.39 | 16-Jul | 16-Jul | 3,340.00 | 4.0 |
| CATAPULT | 040 | JEC | B | 7,500 | 82.56 | n/a | n/a | 300.00 | 4.0 |
| HUNTER GLOBAL INVESTOR | 067 | JEF | SS | 28,000 | 17.92 | n/a | n/a | 1,400.00 | 5.0 |
| BARR | 096 | KRE | C | 3,000 | 28.51 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | MA | B | 4,000 | 275.35 | n/a | 16-Jul | 160.00 | 4.0 |
| N STRATTON | 014 | MCO | C | 100 | 34.50 | n/a | n/a | 0.00 | 0.0 |
| BARR | 096 | MCO | C | 900 | 35.08 | n/a | n/a | 0.00 | 0.0 |
| BARR | 096 | MENT | S | 1,200 | 15.31 | n/a | n/a | 0.00 | 0.0 |
| CHARTER OAK | 033 | MRT | S | 4,325 | 5.78 | n/a | n/a | 216.25 | 5.0 |
| BARR | 096 | MTB | C | 1,300 | 69.54 | n/a | n/a | 0.00 | 0.0 |
| ROTHSCHILD ASSET | 040 | MVL | S | 44,900 | 32.37 | n/a | n/a | 2,020.50 | 4.5 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------|------|--------|-----|---------|--------|--------|----------|-------------|-----|
| BUCK CAPITAL MGMT | 001 | M | S | 10,000 | 17.91 | 14-Jul | 14-Jul | 400.00 | 4.0 |
| BARR | 096 | NEM | S | 2,500 | 49.30 | n/a | n/a | 0.00 | 0.0 |
| PRINCIPLE CAPITAL | 040 | NOVN | SS | 50,000 | 11.05 | n/a | n/a | 1,500.00 | 3.0 |
| BARR | 096 | NVTL | S | 400 | 10.67 | n/a | n/a | 0.00 | 0.0 |
| CATAPULT | 040 | OMC | B | 15,000 | 42.26 | n/a | n/a | 600.00 | 4.0 |
| CATAPULT | 040 | PCP | B | 11,000 | 102.45 | n/a | n/a | 440.00 | 4.0 |
| BARR | 096 | PDFS | S | 1,700 | 5.04 | n/a | n/a | 0.00 | 0.0 |
| ROSEDALE CAPITAL | 046 | PEO | B | 10,000 | 38.89 | n/a | n/a | 500.00 | 5.0 |
| BACKBAY | 041 | PKG | B | 25,000 | 24.86 | n/a | 11-Jul | 1,250.00 | 5.0 |
| BASIX | 033 | PKG | S | 25,000 | 24.96 | n/a | 11-Jul | 1,000.00 | 4.0 |
| COUGAR TRADING | 044 | PKG | B | 15,000 | 25.05 | n/a | 11-Jul | 750.00 | 5.0 |
| DIAMONDBACK CAP MGMT | 232 | PKG | B | 50,000 | 25.19 | n/a | 11-Jul | 2,500.00 | 5.0 |
| FIRST NY SEC/CHRIS | 041 | PKG | B | 40,000 | 24.99 | n/a | 11-Jul | 2,000.00 | 5.0 |
| J L F ASSET MGMT | 039 | PKG | B | 187,400 | 24.98 | n/a | 11-Jul | 7,496.00 | 4.0 |
| SCOPUS FUND | 041 | PKG | B | 25,000 | 25.36 | n/a | 11-Jul | 1,250.00 | 5.0 |
| TRELLUS PARTNERS LP | 028 | PKG | B | 25,600 | 24.90 | n/a | 11-Jul | 1,280.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | PVH | S | 30,000 | 35.92 | 5-May | 18-Jul | 1,200.00 | 4.0 |
| BARR | 096 | RKH | C | 200 | 99.29 | n/a | n/a | 0.00 | 0.0 |
| KENNEDY CAPITAL | 046 | RNST | B | 10,000 | 15.80 | n/a | n/a | 400.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|----------|----------------|--------------|---------------|---------------|-----------------|------------|
| OSS CAPITAL/KEVIN DANN | 067 | SAY | B | 466,700 | 20.85 | n/a | n/a | 14,001.00 | 3.0 |
| WHITE PINE CAPITAL | 030 | SMBL | S | 600 | 6.48 | n/a | n/a | 30.00 | 5.0 |
| BARR | 096 | SQNM | S | 1,000 | 21.33 | n/a | n/a | 0.00 | 0.0 |
| J L F ASSET MGMT | 039 | SSCC | B | 367,300 | 5.15 | 7-Apr | 11-Jul | 14,692.00 | 4.0 |
| COUGAR TRADING | 044 | SSO | S | 5,000 | 59.71 | n/a | n/a | 250.00 | 5.0 |
| WHITE PINE CAPITAL | 030 | TCBI | S | 1,500 | 15.37 | n/a | n/a | 75.00 | 5.0 |
| GOLD SACHS SPECIAL SIT | 030 | TEN | SS | 113,200 | 13.67 | n/a | n/a | 5,660.00 | 5.0 |
| J L F ASSET MGMT | 039 | TIN | B | 140,300 | 13.51 | 29-Apr | 11-Jul | 5,612.00 | 4.0 |
| NWQ INVESTMENT MGMT CO | 048 | TIN | S | 20,100 | 13.80 | 29-Apr | 11-Jul | 804.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | TJX | S | 150,000 | 33.84 | n/a | 11-Jul | 6,000.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | TLB | S | 30,000 | 10.74 | 17-Apr | 9-Jul | 1,200.00 | 4.0 |
| CHARTER OAK | 033 | TLP | S | 1,600 | 24.04 | n/a | n/a | 80.00 | 5.0 |
| WHEELER | 008 | TRMA | B | 2,000 | 26.74 | n/a | n/a | 0.00 | 0.0 |
| NWQ INVESTMENT MGMT CO | 048 | UFS | S | 16,600 | 4.75 | n/a | n/a | 498.00 | 3.0 |
| COUGAR TRADING | 044 | URBN | SS | 5,000 | 31.33 | 15-May | 9-Jul | 250.00 | 5.0 |
| N STRATTON | 014 | URBN | C | 100 | 31.00 | 15-May | 9-Jul | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|-----------|---------------|--------------|---------------|---------------|-------------------|------------|
| CENTURION GLOBAL MGMT LL | 041 | UYG | S | 24,000 | 20.43 | n/a | n/a | 720.00 | 3.0 |
| LEDDY | 035 | VETS | S | 486 | 3.50 | n/a | n/a | 0.00 | 0.0 |
| FINANCIAL STOCK LP | 028 | WB | B | 150,000 | 13.70 | n/a | n/a | 6,000.00 | 4.0 |
| OGORMAN | 046 | WFC | SS | 400 | 27.80 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | WMT | S | 20,000 | 57.39 | 30-Jun | 11-Jul | 800.00 | 4.0 |
| WHITE PINE CAPITAL | 030 | WTSLA | S | 6,500 | 4.99 | n/a | n/a | 325.00 | 5.0 |
| BARR | 096 | XCO | S | 250 | 30.71 | n/a | n/a | 0.00 | 0.0 |
| CATAPULT | 040 | XIDE | B | 32,500 | 14.73 | n/a | n/a | 1,625.00 | 5.0 |
| TOTAL (Trade Date): | | | | | | | | 163,656.94 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|---------------|--------------|---|------------|------------|-----------|---------------|--------------|---------------|---------------|--------------------|
| AO,CRT | 07/16 | SYSTEMATIC FINANCIAL MGT (SYST170) | 035 | AAP | B | 1,300 | 39.10 | n/a | n/a | 48.75 3.8 |
| AO,CXL | 07/16 | SYSTEMATIC FINANCIAL MGT (&SYST170) | 035 | AAP | B | 1,300 | 39.10 | n/a | n/a | 48.75 3.8 |
| AO,CRT | 07/15 | WEISS PECK (PECKAIPNSV) | 040 | ABG | B | 600 | 10.46 | 10-Jun | 17-Jul | 30.00 5.0 |
| AO,CXL | 07/15 | WEISS PECK (PECKAIPSC) | 040 | ABG | B | 600 | 10.46 | 10-Jun | 17-Jul | 30.00 5.0 |
| AO,CXL | 07/18 | BUCK CAPITAL MGMT (BUCKMSMAIN) | 001 | ALV | B | 10,000 | 46.07 | 17-Apr | 17-Jul | 400.00 4.0 |
| AO,CRT | 07/18 | BUCK CAPITAL MGMT (BUCKMSMAIN) | 001 | ALV | B | 9,900 | 46.07 | 17-Apr | 17-Jul | 396.00 4.0 |
| AO, | 07/18 | BUCK CAPITAL MGMT (BUCKGIL) | 001 | ALV | B | 100 | 46.07 | 17-Apr | 17-Jul | 4.00 4.0 |
| AO, | 07/18 | CARDINAL CAPITAL (CARDPRKARL) | 044 | AMG | B | 200 | 81.78 | 15-Jul | 15-Jul | 10.00 5.0 |
| AO,CXL | 07/18 | CARDINAL CAPITAL (CARDMIDCAP) | 044 | AMG | B | 200 | 81.78 | 15-Jul | 15-Jul | 10.00 5.0 |
| AO, | 07/18 | BAYPOINT TRADING/XYLEM (BAYXXYLEM) | 091 | AVY | SS | 50,000 | 45.22 | 22-Apr | 23-Jun | 2000.00 4.0 |
| AO,CRT | 07/17 | SYSTEMATIC FINANCIAL MGT (SYST170) | 035 | BJ | S | 800 | 42.71 | n/a | 27-Jul | 30.00 3.8 |
| AO,CXL | 07/17 | SYSTEMATIC FINANCIAL MGT (&SYST170) | 035 | BJ | S | 800 | 42.71 | n/a | 27-Jul | 30.00 3.8 |
| AO,CRT | 07/15 | SYSTEMATIC FINANCIAL MGT (SYST170) | 035 | CBE | B | 400 | 39.96 | n/a | 10-Jul | 15.00 3.8 |
| AO,CXL | 07/15 | SYSTEMATIC FINANCIAL MGT (&SYST170) | 035 | CBE | B | 400 | 39.96 | n/a | 10-Jul | 15.00 3.8 |
| AO,CXL | 07/18 | CARLYLE BLUE WAVE PR MG (CBLUMSUSE) | 224 | CENX | B | 10,000 | 53.06 | n/a | n/a | 500.00 5.0 |
| AO,CRT | 07/18 | CARLYLE BLUE WAVE PR MG (CBLUCITI) | 224 | CENX | B | 10,000 | 53.06 | n/a | n/a | 500.00 5.0 |
| AO, | 07/18 | BAYPOINT TRADING/XYLEM (BAYXXYLEM) | 091 | NCS | SS | 20,000 | 32.61 | n/a | n/a | 800.00 4.0 |
| CRT | 07/21 | BUCK CAPITAL MGMT (BUCKMSMAIN) | 001 | PVH | S | 29,900 | 35.92 | 5-May | 18-Jul | 1196.00 4.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|---------------------------------------|------|--------|-----|--------|-------|--------|----------|-------------|
| AO,CXL | 07/17 | MERRILL LYNCH STRATEGICI (MLSIMERRIL) | 034 | ROST | SS | 10,000 | 39.87 | n/a | n/a | 300.00 3.0 |
| AO,CRT | 07/17 | MERRILL LYNCH STRATEGICI (MLSIMERRIL) | 034 | ROST | SS | 10,000 | 39.87 | n/a | n/a | 400.00 4.0 |
| AO,CXL | 07/18 | CARLYLE BLUE WAVE PR MG (CBLUMSUSE) | 224 | VAL | SS | 10,000 | 21.13 | n/a | n/a | 500.00 5.0 |
| AO,CRT | 07/18 | CARLYLE BLUE WAVE PR MG (CBLUCITI) | 224 | VAL | SS | 10,000 | 21.13 | n/a | n/a | 500.00 5.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELT12524) | 044 | WMT | B | 350 | 57.78 | 30-Jun | 11-Jul | 14.00 4.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELT20031) | 044 | WMT | B | 244 | 57.78 | 30-Jun | 11-Jul | 9.76 4.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELT62474) | 044 | WMT | B | 482 | 57.78 | 30-Jun | 11-Jul | 19.28 4.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELT77904) | 044 | WMT | B | 746 | 57.78 | 30-Jun | 11-Jul | 29.84 4.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELT82764) | 044 | WMT | B | 238 | 57.78 | 30-Jun | 11-Jul | 9.52 4.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELT97715) | 044 | WMT | B | 1,234 | 57.78 | 30-Jun | 11-Jul | 49.36 4.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELT205002) | 044 | WMT | B | 225 | 57.78 | 30-Jun | 11-Jul | 9.00 4.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELTLUXUSG) | 044 | WMT | B | 10,500 | 57.78 | 30-Jun | 11-Jul | 420.00 4.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELTALLIED) | 044 | WMT | B | 2,450 | 57.78 | 30-Jun | 11-Jul | 98.00 4.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELTSEPC00) | 044 | WMT | B | 80,600 | 57.78 | 30-Jun | 11-Jul | 3224.00 4.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELTIIMHEB) | 044 | WMT | B | 3,700 | 57.78 | 30-Jun | 11-Jul | 148.00 4.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELTAIMPRO) | 044 | WMT | B | 3,000 | 57.78 | 30-Jun | 11-Jul | 120.00 4.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELTAIMPRO) | 044 | WMT | B | 26,900 | 57.78 | 30-Jun | 11-Jul | 1076.00 4.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELTIIMANN) | 044 | WMT | B | 23,000 | 57.78 | 30-Jun | 11-Jul | 920.00 4.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELTAIMCOK) | 044 | WMT | B | 10,500 | 57.78 | 30-Jun | 11-Jul | 420.00 4.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELTCLRWAT) | 044 | WMT | B | 12,700 | 57.78 | 30-Jun | 11-Jul | 508.00 4.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELTAIMVIS) | 044 | WMT | B | 19,200 | 57.78 | 30-Jun | 11-Jul | 768.00 4.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELT46736) | 044 | WMT | B | 755 | 57.78 | 30-Jun | 11-Jul | 30.20 4.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELTAIMSCH) | 044 | WMT | B | 2,800 | 57.78 | 30-Jun | 11-Jul | 112.00 4.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELT97305) | 044 | WMT | B | 231 | 57.78 | 30-Jun | 11-Jul | 9.24 4.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELTCOLLTR) | 044 | WMT | B | 6,800 | 57.78 | 30-Jun | 11-Jul | 272.00 4.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELT128713) | 044 | WMT | B | 788 | 57.78 | 30-Jun | 11-Jul | 31.52 4.0 |
| AO, | 07/18 | AELTUS/ING IVESTMENT MGT (AELTCOMMTR) | 044 | WMT | B | 4,300 | 57.78 | 30-Jun | 11-Jul | 172.00 4.0 |

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|------|-------|--|------|--------|-----|---------|-------|--------|----------|-------------|
| AO, | 07/18 | AELTUS/ING INVESTMENT MGT (AELT30070) | 044 | WMT | B | 1,051 | 57.78 | 30-Jun | 11-Jul | 42.04 4.0 |
| AO, | 07/18 | AELTUS/ING INVESTMENT MGT (AELTAIMTIG) | 044 | WMT | B | 194,000 | 57.78 | 30-Jun | 11-Jul | 7760.00 4.0 |
| AO, | 07/18 | AELTUS/ING INVESTMENT MGT (AELT28461) | 044 | WMT | B | 248 | 57.78 | 30-Jun | 11-Jul | 9.92 4.0 |
| AO, | 07/18 | AELTUS/ING INVESTMENT MGT (AELT31669) | 044 | WMT | B | 479 | 57.78 | 30-Jun | 11-Jul | 19.16 4.0 |
| AO, | 07/18 | AELTUS/ING INVESTMENT MGT (AELT23427) | 044 | WMT | B | 466 | 57.78 | 30-Jun | 11-Jul | 18.64 4.0 |
| AO, | 07/18 | AELTUS/ING INVESTMENT MGT (AELT40040) | 044 | WMT | B | 485 | 57.78 | 30-Jun | 11-Jul | 19.40 4.0 |
| AO, | 07/18 | AELTUS/ING INVESTMENT MGT (AELT364701) | 044 | WMT | B | 964 | 57.78 | 30-Jun | 11-Jul | 38.56 4.0 |
| AO, | 07/18 | AELTUS/ING INVESTMENT MGT (AELT45196) | 044 | WMT | B | 881 | 57.78 | 30-Jun | 11-Jul | 35.24 4.0 |
| AO, | 07/18 | AELTUS/ING INVESTMENT MGT (AELT22843) | 044 | WMT | B | 444 | 57.78 | 30-Jun | 11-Jul | 17.76 4.0 |
| AO, | 07/18 | AELTUS/ING INVESTMENT MGT (AELT47074) | 044 | WMT | B | 479 | 57.78 | 30-Jun | 11-Jul | 19.16 4.0 |
| AO, | 07/18 | AELTUS/ING INVESTMENT MGT (AELT242831) | 044 | WMT | B | 1,427 | 57.78 | 30-Jun | 11-Jul | 57.08 4.0 |
| AO, | 07/18 | AELTUS/ING INVESTMENT MGT (AELT49043) | 044 | WMT | B | 656 | 57.78 | 30-Jun | 11-Jul | 26.24 4.0 |
| AO, | 07/18 | AELTUS/ING INVESTMENT MGT (AELT203689) | 044 | WMT | B | 1,308 | 57.78 | 30-Jun | 11-Jul | 52.32 4.0 |
| AO, | 07/18 | AELTUS/ING INVESTMENT MGT (AELT50994) | 044 | WMT | B | 238 | 57.78 | 30-Jun | 11-Jul | 9.52 4.0 |
| AO, | 07/18 | AELTUS/ING INVESTMENT MGT (AELT243596) | 044 | WMT | B | 450 | 57.78 | 30-Jun | 11-Jul | 18.00 4.0 |
| AO, | 07/18 | AELTUS/ING INVESTMENT MGT (AELT56007) | 044 | WMT | B | 820 | 57.78 | 30-Jun | 11-Jul | 32.80 4.0 |
| AO, | 07/18 | AELTUS/ING INVESTMENT MGT (AELT571042) | 044 | WMT | B | 1,186 | 57.78 | 30-Jun | 11-Jul | 47.44 4.0 |
| AO, | 07/18 | AELTUS/ING INVESTMENT MGT (AELT60400) | 044 | WMT | B | 656 | 57.78 | 30-Jun | 11-Jul | 26.24 4.0 |
| AO, | 07/18 | RAMIUS CAP (RAMIGS) | 040 | WWY | C | 36,000 | 78.42 | n/a | n/a | 1800.00 5.0 |
| AO, | 07/18 | RAMIUS CAP (RAMIMS) | 040 | WWY | C | 14,000 | 78.42 | n/a | n/a | 700.00 5.0 |

TOTAL (AO, CXL, CRT) :

23,315.24

TOTAL (Trade Date):

163,656.94

TOTAL (AO, CXL, CRT):

23,315.24

TOTAL (RUN DATE) / NFS:

186,972.18

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