

Daily Compliance Activity Report Trade Date: 07/23/2007

POTENTIAL ANALYST TRADE VIOLATIONS: 0

| _ | | | | | | 10 | | TELEZ VIOLITIONS | | | |
|---|------------------------|------|--------|-----|---------|-------|--------|------------------|----------|------|--|
| | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | Shr. | |
| | AMBER CAPITAL | 046 | AA | В | 200,000 | 41.86 | n/a | n/a | 8,000.00 | 4.0 | |
| | GLENHILL CAPITAL | 038 | AA | S | 200,000 | 41.78 | n/a | n/a | 6,000.00 | 3.0 | |
| | EGS ASSOCIATES LP | 091 | ABG | S | 3,000 | 23.50 | 18-Jun | 13-Jul | 180.00 | 6.0 | |
| | ROTHSCHILD ASSET | 040 | ALJ | В | 24,950 | 41.03 | n/a | n/a | 1,122.75 | 4.5 | |
| | BUCK CAPITAL MGMT | 001 | ANF | В | 5,000 | 71.85 | 12-Jul | 13-Jul | 200.00 | 4.0 | |
| ß | BUCK CAPITAL MGMT | | ANN | С | 20,000 | 35.44 | 12-Jul | 13-Jul | non-brg | 5.0 | |
| | CRAMER ROSENTHAL/SCOTT | 012 | ARO | В | 13,600 | 40.98 | n/a | 13-Jul | 544.00 | 4.0 | |
| | MADIGAN | 031 | BAC | В | 150 | 48.17 | 20-Apr | 20-Jul | 0.00 | 0.0 | |
| | SEQUENCE CAPITAL | 028 | BBW | S | 1,778 | 24.36 | 15-Jun | 15-Jun | 71.12 | 4.0 | |
| | MAGUIRE | 090 | BJS | S | 7,500 | 29.34 | n/a | n/a | 0.00 | 0.0 | |
| | MADIGAN | 031 | ВМҮ | S | 200 | 32.01 | n/a | n/a | 0.00 | 0.0 | |
| õ | Glenn Redemann | | BUCY | В | 3 | 0.95 | n/a | n/a | 0.00 | 0.0 | |
| õ | Glenn Redemann | | BUCY | В | 3 | 1.00 | n/a | n/a | 0.00 | 0.0 | |
| õ | Glenn Redemann | | BUCY | SS | 3 | 1.92 | n/a | n/a | 0.00 | 0.0 | |
| õ | Glenn Redemann | | BUCY | SS | 3 | 2.23 | n/a | n/a | 0.00 | 0.0 | |
| | METROPOLITAN CAPITAL | 044 | BWS | В | 20,000 | 24.15 | n/a | n/a | 1,000.00 | 5.0 | |

| | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | \$/Shr. |
|---|--------------------------|------|--------|-----|-----------------|-------|--------|----------|----------|---------|
| | CIBC ADV. | 060 | CDL | В | 59 , 171 | 6.20 | n/a | n/a | 2,366.84 | 4.0 |
| | BARR | 096 | CEVA | В | 800 | 9.16 | n/a | n/a | 0.00 | 0.0 |
| ß | BUCK CAPITAL MGMT | | CHIC | S | 50,000 | 23.70 | n/a | n/a | non-brg | 5.0 |
| ß | BUCK CAPITAL MGMT | | CHIC | S | 50,000 | 23.75 | n/a | n/a | non-brg | 5.0 |
| | SIGMA CAPITAL ASSOCIATES | 044 | CHS | S | SS 25,000 | 21.08 | 12-Jul | 13-Jul | 1,250.00 | 5.0 |
| | LAKEWAY CAPITAL MGMT | 048 | CKR | В | 45,000 | 18.96 | n/a | n/a | 2,250.00 | 5.0 |
| | LEDDY | 035 | COSI | S | 2,000 | 4.62 | n/a | n/a | 0.00 | 0.0 |
| õ | Glenn Redemann | | CSX | В | 3 | 0.21 | n/a | n/a | 0.00 | 0.0 |
| õ | Glenn Redemann | | CSX | В | 3 | 0.45 | n/a | n/a | 0.00 | 0.0 |
| Õ | Glenn Redemann | | CSX | | ss 3 | 0.72 | n/a | n/a | 0.00 | 0.0 |
| õ | Glenn Redemann | | CSX | S | SS 3 | 1.34 | n/a | n/a | 0.00 | 0.0 |
| | DAVIDSON KEMPNER ADVISOR | 217 | DAL | S | 30,000 | 21.18 | n/a | n/a | 1,500.00 | 5.0 |
| ß | BUCK CAPITAL MGMT | | DBRN | S | 30,000 | 20.57 | n/a | n/a | non-brg | 5.0 |
| | BUCK CAPITAL MGMT | 001 | DDS | S | ss 20,000 | 36.34 | n/a | n/a | 800.00 | 4.0 |
| | SCOPUS FUND | 039 | DD | В | 15,000 | 53.08 | n/a | 25-May | 750.00 | 5.0 |
| | PEAK MACAYA CAP MGMT | 044 | DRI | S | 3,000 | 44.09 | 24-Apr | 24-Apr | 150.00 | 5.0 |
| | PEAK MACAYA CAP MGMT | 044 | EAT | S | 6,100 | 27.80 | 24-Apr | 24-Apr | 305.00 | 5.0 |

| Account | RR # | Symbol | B/ | s | Shares | Price | MRI | Research | Comm. | ¢/Shr. |
|------------------------|--|--|--|--|---|---|--|--|---|--|
| BUCK CAPITAL MGMT | | ESV | | S | 16,000 | 65.65 | n/a | n/a | non-brg | 5.0 |
| LEDDY | 035 | EVST | | s | 300 | 32.95 | n/a | n/a | 0.00 | 0.0 |
| LUCHANSKY | 036 | FACE | В | | 300 | 13.07 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | FL | В | | 10,000 | 22.00 | 24-May | 21-Jun | 400.00 | 4.0 |
| SEQUENCE CAPITAL | 028 | FL | В | | 2,813 | 21.99 | 24-May | 21-Jun | 112.52 | 4.0 |
| PEAK MACAYA CAP MGMT | 044 | FNF | В | | 8,000 | 23.32 | n/a | n/a | 400.00 | 5.0 |
| UBS OCONNOR | 031 | F | В | | 380,000 | 8.47 | n/a | 19-Jul | 11,400.00 | 3.0 |
| AVESTA CAP | 229 | GE | В | | 100,000 | 40.58 | n/a | n/a | 5,000.00 | 5.0 |
| SUN AMERICA ASSET MGMT | 030 | GE | В | | 38,100 | 40.61 | n/a | n/a | 1,905.00 | 5.0 |
| MKT MAKER | 099 | GIII | | S | 43 | 17.39 | n/a | n/a | 0.00 | 0.0 |
| WAGONHOUND | 048 | GIL | В | | 1,410 | 35.14 | 21-Jun | 21-Jun | 56.40 | 4.0 |
| UBS OCONNOR | 031 | GM | | SS | 92,500 | 35.13 | 4-May | 20-Jul | 2,775.00 | 3.0 |
| BAIRD INVESTMENT | 031 | GNTX | | S | 32,370 | 22.11 | 24-Jul | 20-Jul | 1,618.50 | 5.0 |
| COUGAR TRADING | 044 | GNTX | В | | 15,000 | 21.43 | 24-Jul | 20-Jul | 750.00 | 5.0 |
| BUCK CAPITAL MGMT | | GPI | | S | 30,000 | 37.72 | 27-Apr | 13-Jul | non-brg | 5.0 |
| COUGAR TRADING | 044 | GPI | | S | 5,000 | 38.06 | 27-Apr | 13-Jul | 250.00 | 5.0 |
| EGS ASSOCIATES LP | 091 | GPI | | S | 3,000 | 37.64 | 27-Apr | 13-Jul | 180.00 | 6.0 |
| LATEFF MGMT | 040 | GPI | В | | 1,500 | 37.65 | 27-Apr | 13-Jul | 330.00 | 22.0 |
| | BUCK CAPITAL MGMT LEDDY LUCHANSKY BUCK CAPITAL MGMT SEQUENCE CAPITAL PEAK MACAYA CAP MGMT UBS OCONNOR AVESTA CAP SUN AMERICA ASSET MGMT MKT MAKER WAGONHOUND UBS OCONNOR BAIRD INVESTMENT COUGAR TRADING EGS ASSOCIATES LP | BUCK CAPITAL MGMT LEDDY 035 LUCHANSKY 036 BUCK CAPITAL MGMT 001 SEQUENCE CAPITAL 028 PEAK MACAYA CAP MGMT 044 UBS OCONNOR 031 AVESTA CAP 229 SUN AMERICA ASSET MGMT 030 MKT MAKER 099 WAGONHOUND 048 UBS OCONNOR 031 BAIRD INVESTMENT 031 COUGAR TRADING 044 BUCK CAPITAL MGMT COUGAR TRADING 044 EGS ASSOCIATES LP 091 | BUCK CAPITAL MGMT LEDDY 1. LEDDY 1. LUCHANSKY 1. LUCHA | BUCK CAPITAL MGMT LEDDY 035 EVST LUCHANSKY 036 FACE B BUCK CAPITAL MGMT SEQUENCE CAPITAL 001 FL B SEQUENCE CAPITAL 028 FL B HEAK MACAYA CAP MGMT 044 FNF B AVESTA CAP SUN AMERICA ASSET MGMT 030 GE B MKT MAKER 099 GIII WAGONHOUND 048 GIL B UBS OCONNOR 031 GM BAIRD INVESTMENT COUGAR TRADING COUGAR TRADING ESV O35 EVST B BVC GRI GPI COUGAR TRADING 044 GPI GGPI COUGAR TRADING 044 GPI GGPI | BUCK CAPITAL MGMT LEDDY 035 EVST S LUCHANSKY 036 FACE B BUCK CAPITAL MGMT SEQUENCE CAPITAL 028 FL B PEAK MACAYA CAP MGMT 044 FNF B UBS OCONNOR 031 F B AVESTA CAP SUN AMERICA ASSET MGMT 030 GE B MKT MAKER 099 GIII S WAGONHOUND 048 GIL B UBS OCONNOR 031 GM SS BAIRD INVESTMENT COUGAR TRADING COUGAR TRADING ESV S S S BUCK CAPITAL MGMT COUGAR TRADING 044 GPI S COUGAR TRADING OH COUGAR TRADING OH COUGAR TRADING OH COUGAR TRADING COUGAR TRADING OH COUGAR TRADING COUGAR | BUCK CAPITAL MGMT LEDDY 035 EVST S 300 LUCHANSKY 036 FACE B 300 BUCK CAPITAL MGMT SEQUENCE CAPITAL 028 FL B 2,813 PEAK MACAYA CAP MGMT 044 FNF B 8,000 UBS OCONNOR 031 F B 380,000 AVESTA CAP SUN AMERICA ASSET MGMT 030 GE B 38,100 MKT MAKER 099 GIII S 43 WAGONHOUND 048 GIL B 1,410 UBS OCONNOR 031 GM SS 92,500 BAIRD INVESTMENT COUGAR TRADING 044 GNTX BUCK CAPITAL MGMT COUGAR TRADING 044 GPI S 300 SS 16,000 SO SO SO SO SO SO SO SO SO | BUCK CAPITAL MGMT ESV S 16,000 65.65 LEDDY 035 EVST S 300 32.95 LUCHANSKY 036 FACE B 300 13.07 BUCK CAPITAL MGMT O01 FL B 10,000 22.00 SEQUENCE CAPITAL 028 FL B 2,813 21.99 PEAK MACAYA CAP MGMT 044 FNF B 8,000 23.32 UBS OCONNOR 031 F B 380,000 8.47 AVESTA CAP SUN AMERICA ASSET MGMT 030 GE B 38,100 40.61 MKT MAKER 099 GIII S 43 17.39 WAGONHOUND 048 GIL B 1,410 35.14 UBS OCONNOR 031 GM SS 92,500 35.13 BAIRD INVESTMENT COUGAR TRADING 044 GNTX B BUCK CAPITAL MGMT GPI S 30,000 37.72 COUGAR TRADING 044 GPI S 5,000 38.06 EGS ASSOCIATES LP 091 GPI S 300 37.64 | BUCK CAPITAL MGMT ESV S 16,000 65.65 n/a LUCHANSKY 036 FACE B 300 32.95 n/a LUCHANSKY 036 FACE B 300 13.07 n/a BUCK CAPITAL MGMT 001 FL B 10,000 22.00 24-May SEQUENCE CAPITAL 028 FL B 2,813 21.99 24-May PEAK MACAYA CAP MGMT 044 FNF B 8,000 23.32 n/a UBS OCONNOR 031 F B 380,000 8.47 n/a AVESTA CAP SUN AMERICA ASSET MGMT 030 GE B 38,100 40.61 n/a MKT MAKER 099 GIII S 43 17.39 n/a WAGONHOUND 048 GIL B 1,410 35.14 21-Jun UBS OCONNOR 031 GM SS 92,500 35.13 4-May BAIRD INVESTMENT COUGAR TRADING 044 GNTX B 15,000 21.43 24-Jul BUCK CAPITAL MGMT GPI S 30,000 37.72 27-Apr COUGAR TRADING 044 GPI S 5,000 38.06 27-Apr COUGAR TRADING 044 GPI S 5,000 38.06 27-Apr COUGAR TRADING 044 GPI S 5,000 38.06 27-Apr COUGAR TRADING 044 GPI S 3,000 37.64 27-Apr | BUCK CAPITAL MGMT ESV S 16,000 65.65 N/a N/a LEDDY 035 EVST S 300 32.95 N/a N/a N/a LUCHANSKY 036 FACE B 300 13.07 N/a N/a BUCK CAPITAL MGMT O01 FL B 10,000 22.00 24-May 21-Jun SEQUENCE CAPITAL O28 FL B 2,813 21.99 24-May 21-Jun PEAK MACAYA CAP MGMT O44 FNF B 8,000 23.32 N/a N/a 19-Jul AVESTA CAP SUN AMERICA ASSET MGMT O30 GE B 380,000 8.47 N/a 19-Jul AVESTA CAP SUN AMERICA ASSET MGMT O30 GE B 38,100 40.61 N/a N/a MKT MAKER O99 GIII S 43 17.39 N/a N/a N/a MAGONHOUND O48 GIL B 1,410 35.14 21-Jun 21-Jun 21-Jun BAIRD INVESTMENT COUGAR TRADING O44 GNTX B GNTX S 32,370 22.11 24-Jul 20-Jul EDUCK CAPITAL MGMT COUGAR TRADING O44 GNTX B 15,000 37.72 27-Apr 13-Jul COUGAR TRADING O44 GPI S 5,000 38.06 27-Apr 13-Jul COUGAR TRADING O44 GPI S 5,000 38.06 27-Apr 13-Jul COUGAR TRADING O44 GPI S 5,000 38.06 27-Apr 13-Jul COUGAR TRADING O44 GPI S 5,000 38.06 27-Apr 13-Jul COUGAR TRADING O44 GPI S 5,000 38.06 27-Apr 13-Jul COUGAR TRADING O44 GPI S 5,000 38.06 27-Apr 13-Jul COUGAR TRADING O44 GPI S 5,000 38.06 27-Apr 13-Jul COUGAR TRADING O44 GPI S 5,000 SR S 30,000 GR S S S S S S S S S S S S S | BUCK CAPITAL MGMT ESV S 16,000 65.65 n/a n/a non-brg LEDDY 035 EVST S 300 32.95 n/a n/a 0.00 LUCHANSKY 036 FACE B 300 13.07 n/a n/a 0.00 BUCK CAPITAL MGMT 001 FL B 10,000 22.00 24-May 21-Jun 400.00 SEQUENCE CAPITAL 028 FL B 2,813 21.99 24-May 21-Jun 112.52 FEAK MACAYA CAP MGMT 044 FNF B 8,000 23.32 n/a n/a 19-Jul 11,400.00 LUBS OCONNOR 031 F B 380,000 8.47 n/a 19-Jul 11,400.00 NAVESTA CAP SUN AMERICA ASSET MGMT 030 GE B 38,100 40.61 n/a n/a 1,905.00 MKT MAKER 099 GIII S 43 17.39 n/a n/a 10.00 MACONHOUND 048 GIL B 1,410 35.14 21-Jun 21-Jun 56.40 UBS OCONNOR 031 GM SS 92,500 35.13 4-May 20-Jul 2,775.00 BAIRD INVESTMENT 031 GMX S 32,370 22.11 24-Jul 20-Jul 750.00 BUCK CAPITAL MGMT GPI S 30,000 37.64 27-Apr 13-Jul 180.00 BUCK CAPITAL MGMT GPI S 5,000 38.06 27-Apr 13-Jul 180.00 |

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|---|--------------------------|------|--------|-----|---------|-------|--------|----------|-----------|---------|---|
| | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | \$/Shr. | |
| ß | BUCK CAPITAL MGMT | | GPS | SS | 30,000 | 18.50 | n/a | 13-Jul | non-brg | 5.0 | |
| | TRUST CO/COWEN/CALF. | 040 | GPS | В | 468,787 | 18.52 | n/a | 13-Jul | 18,751.48 | 4.0 | |
| ß | BUCK CAPITAL MGMT | | GSF | S | 20,000 | 78.53 | n/a | n/a | non-brg | 5.0 | |
| ß | BUCK CAPITAL MGMT | | GYMB | В | 15,000 | 39.27 | n/a | 13-Jul | non-brg | 5.0 | |
| | MAZAMA CAPITAL MGMT. | 035 | HPY | S | 6,900 | 29.65 | n/a | n/a | 276.00 | 4.0 | |
| | ACT II PARTNERS | 067 | INAP | В | 100,000 | 14.97 | n/a | n/a | 5,000.00 | 5.0 | |
| | BARR | 096 | IPGP | В | 1,100 | 20.11 | n/a | n/a | 0.00 | 0.0 | |
| | IRONBOUND CAPITAL | 012 | IP | SS | 10,000 | 41.00 | 4-May | 14-Jun | 500.00 | 5.0 | |
| | LEDDY | 035 | JADE | В | 2,000 | 8.21 | n/a | n/a | 0.00 | 0.0 | |
| ß | BUCK CAPITAL MGMT | | JCP | S | 20,000 | 74.30 | 21-Jun | 13-Jul | non-brg | 5.0 | |
| | GOLDMAN SACHS ASSET MGMT | 044 | JCP | В | 108,000 | 74.52 | 21-Jun | 13-Jul | 2,160.00 | 2.0 | |
| | SANDLER O'NEILL ASSET | 031 | JNS | В | 15,000 | 30.49 | 16-Jul | 16-Jul | 750.00 | 5.0 | |
| ß | BUCK CAPITAL MGMT | | JOSB | S | 5,000 | 37.60 | n/a | n/a | non-brg | 1.0 | |
| | SAC TRADING HOWARD | 038 | JWN | В | 20,000 | 46.82 | 12-Jul | 13-Jul | 1,000.00 | 5.0 | |
| | ROSEDALE CAPITAL | 046 | KEGS | В | 40,000 | 17.10 | 23-Jul | 23-Jul | 2,000.00 | 5.0 | |
| | TRIBECA/DOUG | 040 | KFT | В | 70,000 | 35.74 | n/a | n/a | 2,800.00 | 4.0 | |

| | Account | RR # | Symbol | B/S | | Shares | Price | MRI | Research | Comm. | ¢/Shr. |
|---|-----------------------|------|----------|-----|----|---------|-------|--------|----------|----------|--------|
| | LAKEWAY CAPITAL MGMT | 048 | KOP | В | | 20,000 | 29.88 | n/a | n/a | 1,000.00 | 5.0 |
| | BUCK CAPITAL MGMT | 001 | KSS | В | | 35,000 | 65.42 | 14-Jun | 12-Jul | 1,400.00 | 4.0 |
| | FIRST NEW YORK LEDDY | 035 | KSS | В | | 10,000 | 65.70 | 14-Jun | 12-Jul | 600.00 | 6.0 |
| ß | BUCK CAPITAL MGMT | | KV/A | В | | 20,000 | 28.94 | n/a | n/a | non-brg | 5.0 |
| | FORCE CAPITAL MGMT | 030 | LNET | В | | 25,000 | 35.04 | n/a | n/a | 1,250.00 | 5.0 |
| | CAXTON PART | 040 | LYO | | S | 50,000 | 46.62 | 14-May | 14-May | 2,000.00 | 4.0 |
| | CHILTON CAPITAL MGMT. | 036 | MAR | В | | 25,000 | 44.85 | n/a | n/a | 1,000.00 | 4.0 |
| | CROWLEY | 061 | MFM | В | | 3,500 | 7.71 | n/a | n/a | 0.00 | 0.0 |
| | ROSENBERG | 034 | MIRWSB | 1 | S | 1,000 | 23.33 | n/a | n/a | 0.00 | 0.0 |
| ß | BUCK CAPITAL MGMT | | MRU+TV | 1 | S | 100 | 0.55 | n/a | n/a | non-brg | 100.0 |
| ß | BUCK CAPITAL MGMT | | MSMSBFIN | С | | 85,000 | 28.50 | n/a | n/a | non-brg | 2.8 |
| | CAVU CAP ADV | 028 | MU | В | | 47,500 | 13.52 | n/a | n/a | 2,375.00 | 5.0 |
| | BUCK CAPITAL MGMT | 001 | M | | SS | 25,000 | 41.82 | 13-Jul | 13-Jul | 1,000.00 | 4.0 |
| ß | BUCK CAPITAL MGMT | | М | | S | 60,000 | 41.88 | 13-Jul | 13-Jul | non-brg | 5.0 |
| | PEREGRINE | 030 | NDN | В | | 141,700 | 13.58 | n/a | 11-Jul | 7,085.00 | 5.0 |
| | KAZMI | 010 | NRWS | | S | 15,000 | 0.38 | n/a | n/a | 0.00 | 0.0 |

| | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | ¢/Shr. | |
|---|--------------------------|------|--------|-----|---------|--------|--------|----------|----------|--------|--|
| | DAVIDSON KEMPNER ADVISOR | 217 | NWA | SS | 70,000 | 21.57 | n/a | n/a | 3,500.00 | 5.0 | |
| a | BUCK CAPITAL MGMT | | PAG | S | 25,000 | 20.89 | n/a | 13-Jul | non-brg | 5.0 | |
| | BARR | 096 | PDFS | s | 1,800 | 12.19 | n/a | n/a | 0.00 | 0.0 | |
| | MKT MAKER | 099 | PFCB | В | 32 | 35.97 | 24-Apr | 24-Apr | 0.00 | 0.0 | |
| ß | BUCK CAPITAL MGMT | | PSUN | В | 50,000 | 20.78 | n/a | 13-Jul | non-brg | 5.0 | |
| | WHITE PINE CAPITAL | 030 | RCKY | S | 6,700 | 16.80 | n/a | n/a | 335.00 | 5.0 | |
| a | BUCK CAPITAL MGMT | | RIG | s | 15,000 | 116.14 | n/a | n/a | non-brg | 5.0 | |
| ß | BUCK CAPITAL MGMT | | RL | s | 20,000 | 98.97 | 21-Jun | 27-Jun | non-brg | 5.0 | |
| ß | BUCK CAPITAL MGMT | | RTH | SS | 142,000 | 105.22 | n/a | n/a | non-brg | 2.0 | |
| | HARVEST MGMT | 039 | RVI | В | 50,000 | 14.38 | n/a | n/a | 2,500.00 | 5.0 | |
| | LEDDY | 035 | SDS | s | 1,100 | 50.42 | n/a | n/a | 0.00 | 0.0 | |
| | CAXTON PART | 040 | SGP | S | 50,000 | 31.68 | n/a | n/a | 2,000.00 | 4.0 | |
| | SEQUENCE CAPITAL | 028 | SKS | S | 2,220 | 21.49 | n/a | n/a | 88.80 | 4.0 | |
| | BUCK CAPITAL MGMT | 001 | SKX | S | 40,000 | 29.90 | n/a | 13-Mar | 1,600.00 | 4.0 | |
| õ | Glenn Redemann | | SPWR | В | 3 | 0.44 | n/a | n/a | 0.00 | 0.0 | |

| | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | Shr. |
|---|--------------------|------|--------|-----|-----------------|-------|--------|----------|----------|------|
| õ | Glenn Redemann | | SPWR | В | 3 | 0.60 | n/a | n/a | 0.00 | 0.0 |
| õ | Glenn Redemann | | SPWR | SS | 3 | 1.44 | n/a | n/a | 0.00 | 0.0 |
| Õ | Glenn Redemann | | SPWR | SS | 3 | 1.45 | n/a | n/a | 0.00 | 0.0 |
| | BUCK CAPITAL MGMT | 001 | SSI | S | 20,000 | 20.81 | 25-May | 13-Jul | 800.00 | 4.0 |
| | MKT MAKER | 099 | TARR | В | 64 | 7.58 | n/a | n/a | 0.00 | 0.0 |
| | GALLEON MGMT LP | 033 | TLAB | S | 10,000 | 12.82 | n/a | 22-Mar | 500.00 | 5.0 |
| | MERRILL ASSET | 032 | TLB | S | 39,900 | 23.73 | n/a | 17-Jul | 1,795.50 | 4.5 |
| ß | BUCK CAPITAL MGMT | | TRLG | S | 5,000 | 21.50 | n/a | n/a | non-brg | 1.0 |
| В | BUCK CAPITAL MGMT | | URBN | В | 30,000 | 20.94 | 2-Apr | 16-Jul | non-brg | 5.0 |
| | MKT MAKER | 099 | USTR | В | 26 | 68.53 | 23-May | 23-May | 0.00 | 0.0 |
| | KAZMI | 010 | VOII | S | 20,000 | 0.07 | n/a | n/a | 0.00 | 0.0 |
| ß | BUCK CAPITAL MGMT | | WBC-W | В | 5,000 | 52.01 | n/a | n/a | non-brg | 5.0 |
| ß | BUCK CAPITAL MGMT | | WRNC | S | 20,000 | 40.58 | 18-Jul | 18-Jul | non-brg | 5.0 |
| | JP MORGAN VENTURES | 046 | WRNC | S | 37 , 500 | 40.17 | 18-Jul | 18-Jul | 1,875.00 | 5.0 |

TOTAL (Trade Date): 117,608.91

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | 3 | Shares | Price | MRI | Research | Comm. | ¢/Shr |
|-------------|-------|--------------------|------|--------|-----|------|-----------------|-------|--------|----------|----------|-------|
| AO,CRT | 07/19 | GOLDEN TREE | 036 | CTXS | | S | 91 , 576 | 38.79 | n/a | n/a | 4578.80 | 5.0 |
| AO,CXL | 07/19 | GOLDEN TREE | 036 | CTXS | | S | 91,576 | 38.79 | n/a | n/a | 4578.80 | 5.0 |
| AO, | 05/11 | LISTED ERR | 099 | FL | В | | 25,000 | 21.53 | 24-May | 21-Jun | 0.00 | 0.0 |
| A O, | 05/11 | LISTED ERR | 099 | FL | | S | 25,000 | 21.50 | 24-May | 21-Jun | 0.00 | 0.0 |
| AO, CRT | 07/20 | MKT MAKER | 099 | GIII | В | | 19 | 17.05 | n/a | n/a | 0.00 | 0.0 |
| AO, CRT | 07/20 | WAGONHOUND | 048 | GIL | В | | 1,460 | 35.03 | 21-Jun | 21-Jun | 58.40 | 4.0 |
| AO,CXL | 07/18 | REINHART & MAHONEY | 031 | PCH | В | | 9,000 | 43.75 | 26-Jun | 26-Jun | 450.00 | 5.0 |
| AO, CRT | 07/18 | REINHART & MAHONEY | 031 | PCH | В | | 9,000 | 43.75 | 26-Jun | 26-Jun | 450.00 | 5.0 |
| A O, | 05/16 | LISTED ERR | 099 | PVH | В | | 2,900 | 53.73 | 31-May | 31-May | 0.00 | 0.0 |
| AO, CRT | 05/16 | LISTED ERR | 099 | PVH | | S | 2,900 | 53.64 | 31-May | 31-May | 0.00 | 0.0 |
| AO, | 05/10 | LISTED ERR | 099 | TAP | В | | 34,456 | 93.55 | n/a | n/a | 0.00 | 0.0 |
| AO, | 05/10 | LISTED ERR | 099 | TAP | | S | 34,456 | 93.56 | n/a | n/a | 0.00 | 0.0 |
| AO, CRT | 07/20 | AMBER CAPITAL | 046 | XLB | | SS 1 | ,050,000 | 42.58 | n/a | n/a 3 | 31500.00 | 3.0 |
| AO,CXL | 07/20 | AMBER CAPITAL | 046 | XLB | | SS 1 | ,050,000 | 42.58 | n/a | n/a 3 | 31500.00 | 3.0 |

TOTAL (AO, CXL, CRT): 58.40

TOTAL (Trade Date): 117,608.91

TOTAL (AO, CXL, CRT): 58.40

TOTAL (RUN DATE) / NFS: 117,667.31

MRI Securities with Trade Activity on 23-Jul.

KEGS

MRI Securities without Trade Activity on 23-Jul.

AXE

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 16%

YTD = 17%

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