



## Daily Compliance Activity Report

Trade Date: 05/03/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 1**

| Account                   | RR #       | Symbol      | B/S      | Shares        | Price        | MRI        | Research   | Comm. ¢/Shr.    |            |
|---------------------------|------------|-------------|----------|---------------|--------------|------------|------------|-----------------|------------|
| LOOMIS SALES/BOSTON       | 036        | ADM         | C        | 110,000       | 36.19        | n/a        | n/a        | 4,400.00        | 4.0        |
| <b>APEX CAPITAL MGMT.</b> | <b>091</b> | <b>ADSK</b> | <b>S</b> | <b>10,100</b> | <b>41.76</b> | <b>n/a</b> | <b>n/a</b> | <b>505.00</b>   | <b>5.0</b> |
| BALYASNY ASSET MGMT       | 044        | AMG         | S        | 10,000        | 124.25       | 25-Apr     | 1-May      | 500.00          | 5.0        |
| ROXBURY CAPITAL MGMT      | 035        | AMG         | S        | 45,900        | 124.30       | 25-Apr     | 1-May      | 1,836.00        | 4.0        |
| COUGAR TRADING            | 044        | ANN         | B        | 10,000        | 37.40        | 5-Jan      | 25-Apr     | 500.00          | 5.0        |
| WHITTIER CAP              | 048        | ANN         | S        | 6,640         | 37.14        | 5-Jan      | 25-Apr     | 265.60          | 4.0        |
| <b>MAGUIRE</b>            | <b>090</b> | <b>ANR</b>  | <b>B</b> | <b>5,000</b>  | <b>18.02</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>     | <b>0.0</b> |
| <b>APEX CAPITAL MGMT.</b> | <b>091</b> | <b>APH</b>  | <b>B</b> | <b>34,700</b> | <b>35.80</b> | <b>n/a</b> | <b>n/a</b> | <b>1,735.00</b> | <b>5.0</b> |
| PRINCIPLE CAPITAL         | 040        | ARO         | SS       | 100,000       | 41.33        | n/a        | 13-Apr     | 5,000.00        | 5.0        |
| <b>LEDDY</b>              | <b>035</b> | <b>BDSB</b> | <b>B</b> | <b>1,000</b>  | <b>9.98</b>  | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>     | <b>0.0</b> |
| NWQ INVESTMENT MGMT CO    | 048        | BKI         | B        | 30,400        | 13.72        | n/a        | n/a        | 1,216.00        | 4.0        |
| WHITTIER CAP              | 048        | BONT        | S        | 8,460         | 47.87        | 9-Mar      | 26-Apr     | 338.40          | 4.0        |
| <b>MAGUIRE</b>            | <b>090</b> | <b>BTU</b>  | <b>B</b> | <b>2,000</b>  | <b>49.18</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>     | <b>0.0</b> |
| <b>CROWLEY</b>            | <b>061</b> | <b>CHBD</b> | <b>B</b> | <b>5,000</b>  | <b>0.86</b>  | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>     | <b>0.0</b> |
| CAXTON PART               | 040        | CKNN        | B        | 20,000        | 6.78         | n/a        | n/a        | 800.00          | 4.0        |

| Account                  | RR #       | Symbol                 | B/S      | Shares        | Price        | MRI           | Research      | Comm.¢/Shr.     |            |
|--------------------------|------------|------------------------|----------|---------------|--------------|---------------|---------------|-----------------|------------|
| SUN AMERICA ASSET MGMT   | 030        | CME                    | B        | 4,500         | 521.98       | n/a           | 24-Apr        | 225.00          | 5.0        |
| CSFB GLOBAL PROPRIETARY  | 035        | COF                    | S        | 15,000        | 74.53        | n/a           | n/a           | 750.00          | 5.0        |
| <b>BUCK</b>              | <b>015</b> | <b>COO</b>             | <b>S</b> | <b>800</b>    | <b>52.04</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>DSW</b>             | <b>S</b> | <b>80,000</b> | <b>38.45</b> | <b>30-Mar</b> | <b>30-Mar</b> | <b>3,200.00</b> | <b>4.0</b> |
| <b>HOFFMAN</b>           | <b>014</b> | <b>DURA OPER CORPB</b> |          | <b>50,000</b> | <b>33.00</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| <b>MCCARTAN</b>          | <b>028</b> | <b>DURA OPER CORPB</b> |          | <b>25,000</b> | <b>34.00</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| <b>LUCHANSKY1</b>        | <b>036</b> | <b>DURA OPER CORPB</b> |          | <b>25,000</b> | <b>34.00</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| JP MORGAN VENTURES       | 046        | EAT                    | C        | 30,400        | 32.15        | 24-Apr        | 24-Apr        | 1,520.00        | 5.0        |
| ACK ASSET                | 028        | EDO                    | S        | 7,100         | 31.91        | n/a           | n/a           | 355.00          | 5.0        |
| SAILFISH                 | 035        | FD                     | SS       | 25,000        | 43.61        | 26-Jan        | 25-Apr        | 1,250.00        | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>FL</b>              | <b>S</b> | <b>20,000</b> | <b>24.11</b> | <b>n/a</b>    | <b>19-Mar</b> | <b>800.00</b>   | <b>4.0</b> |
| <b>BUCK</b>              | <b>015</b> | <b>GENZ</b>            | <b>B</b> | <b>300</b>    | <b>66.05</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| <b>WHEELER</b>           | <b>008</b> | <b>GHM</b>             | <b>B</b> | <b>900</b>    | <b>17.60</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| CASTLE ARK               | 031        | GIL                    | B        | 29,680        | 64.81        | n/a           | 3-May         | 1,780.80        | 6.0        |
| COLONIAL FUND LLC        | 036        | GIL                    | B        | 10,000        | 62.90        | n/a           | 3-May         | 500.00          | 5.0        |
| COUGAR TRADING           | 044        | GIL                    | B        | 10,000        | 62.53        | n/a           | 3-May         | 500.00          | 5.0        |
| LEVIN CAPITAL STRATEGIES | 012        | GM                     | SS       | 25,000        | 31.61        | n/a           | 5-Apr         | 1,000.00        | 4.0        |

| Account             | RR # | Symbol | B/S | Shares  | Price | MRI    | Research | Comm.¢/Shr. |     |
|---------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| BUCK CAPITAL MGMT   | 001  | GPI    | B   | 35,000  | 41.49 | 27-Apr | 2-May    | 1,400.00    | 4.0 |
| BUCK                | 015  | HLT    | B   | 500     | 34.66 | n/a    | n/a      | 0.00        | 0.0 |
| COLUMBIA PARTNERS   | 028  | HPY    | C   | 15,921  | 25.24 | n/a    | n/a      | 636.84      | 4.0 |
| ZOLIDIS             | 011  | HRSB   | B   | 500     | 3.98  | n/a    | n/a      | 0.00        | 0.0 |
| ASCEND PARTNERS     | 033  | ITG    | S   | 40,000  | 38.71 | n/a    | n/a      | 2,000.00    | 5.0 |
| HIGHBRIDGE CAPITAL  | 038  | IWM    | SS  | 145,000 | 82.36 | n/a    | n/a      | 7,250.00    | 5.0 |
| COUGAR TRADING      | 044  | JCG    | B   | 5,000   | 40.00 | 14-Mar | 25-Apr   | 250.00      | 5.0 |
| BUCK CAPITAL MGMT   | 001  | JCP    | B   | 5,000   | 79.23 | 20-Apr | 20-Apr   | 200.00      | 4.0 |
| APEX CAPITAL MGMT.  | 091  | JDSU   | S   | 120,000 | 14.66 | n/a    | n/a      | 6,000.00    | 5.0 |
| TRELLUS PARTNERS LP | 028  | JOSB   | SS  | 20,000  | 39.43 | n/a    | n/a      | 1,000.00    | 5.0 |
| PALMYRA CAPITAL     | 048  | JSDA   | S   | 14,416  | 24.71 | n/a    | n/a      | 576.64      | 4.0 |
| THE JAY GOLDMAN     | 034  | JWN    | S   | 60,000  | 55.42 | 27-Feb | 25-Apr   | 2,400.00    | 4.0 |
| BUCK                | 015  | LESSM  | B   | 10      | 0.90  | n/a    | n/a      | 0.00        | 0.0 |
| XYLEM GLOBAL        | 091  | LPX    | B   | 250,000 | 19.95 | 20-Mar | 26-Apr   | 12,500.00   | 5.0 |
| CASTANEDA           | 016  | LSS    | S   | 25      | 66.44 | n/a    | n/a      | 0.00        | 0.0 |

| Account                   | RR #       | Symbol       | B/S      | Shares        | Price        | MRI        | Research     | Comm.¢/Shr.   |            |
|---------------------------|------------|--------------|----------|---------------|--------------|------------|--------------|---------------|------------|
| SEAROCK CAPITAL MANAGE    | 012        | LTD          | B        | 33,500        | 27.96        | 2-Mar      | 27-Apr       | 1,340.00      | 4.0        |
| WD PARTNERS ILP           | 067        | LTD          | B        | 2,800         | 27.95        | 2-Mar      | 27-Apr       | 280.00        | 10.0       |
| <b>MAGUIRE</b>            | <b>090</b> | <b>MEE</b>   | <b>B</b> | <b>2,500</b>  | <b>28.63</b> | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>   | <b>0.0</b> |
| <b>APEX CAPITAL MGMT.</b> | <b>091</b> | <b>MIL</b>   | <b>B</b> | <b>6,300</b>  | <b>75.36</b> | <b>n/a</b> | <b>n/a</b>   | <b>315.00</b> | <b>5.0</b> |
| ROTHSCHILD ASSET          | 040        | MNT          | S        | 64,400        | 41.22        | n/a        | n/a          | 2,898.00      | 4.5        |
| <b>BUCK</b>               | <b>015</b> | <b>MON</b>   | <b>S</b> | <b>1,000</b>  | <b>59.60</b> | <b>n/a</b> | <b>4-Apr</b> | <b>0.00</b>   | <b>0.0</b> |
| <b>BUCK</b>               | <b>015</b> | <b>MPEL</b>  | <b>B</b> | <b>1,000</b>  | <b>17.71</b> | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>   | <b>0.0</b> |
| MAZAMA CAPITAL MGMT.      | 035        | MTH          | B        | 91,975        | 35.81        | n/a        | n/a          | 3,679.00      | 4.0        |
| SCOPUS FUND               | 039        | MWV          | S        | 96,966        | 32.37        | 3-May      | 3-May        | 4,848.30      | 5.0        |
| <b>LEDDY</b>              | <b>035</b> | <b>NPO</b>   | <b>S</b> | <b>1,000</b>  | <b>39.70</b> | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>   | <b>0.0</b> |
| <b>APEX CAPITAL MGMT.</b> | <b>091</b> | <b>NVDA</b>  | <b>S</b> | <b>10,100</b> | <b>33.31</b> | <b>n/a</b> | <b>n/a</b>   | <b>505.00</b> | <b>5.0</b> |
| ROARING BLUE LION MGMT    | 012        | OMX          | B        | 6,200         | 42.13        | n/a        | 15-Apr       | 310.00        | 5.0        |
| <b>LUCHANSKY</b>          | <b>036</b> | <b>OPY</b>   | <b>B</b> | <b>100</b>    | <b>41.00</b> | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>   | <b>0.0</b> |
| <b>GASNER</b>             | <b>025</b> | <b>OZFMG</b> | <b>B</b> | <b>2</b>      | <b>4.90</b>  | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>   | <b>0.0</b> |
| GRUSS CAPITAL             | 040        | PCL          | B        | 10,000        | 40.39        | n/a        | 24-Apr       | 400.00        | 4.0        |
| SUN AMERICA ASSET MGMT    | 030        | PFE          | B        | 22,000        | 26.89        | n/a        | 31-Mar       | 1,100.00      | 5.0        |

| Account                   | RR #       | Symbol     | B/S      | Shares         | Price         | MRI           | Research      | Comm.¢/Shr.     |            |
|---------------------------|------------|------------|----------|----------------|---------------|---------------|---------------|-----------------|------------|
| <b>BUCK</b>               | <b>015</b> | <b>PJC</b> | <b>C</b> | <b>500</b>     | <b>64.65</b>  | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| COUGAR TRADING            | 044        | PSUN       | B        | 5,000          | 20.76         | n/a           | 13-Apr        | 250.00          | 5.0        |
| BULL PATH CAPITAL         | 044        | PTEN       | B        | 25,000         | 25.90         | n/a           | n/a           | 1,250.00        | 5.0        |
| <b>LEDDY</b>              | <b>035</b> | <b>QID</b> | <b>S</b> | <b>1,000</b>   | <b>47.49</b>  | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| FIRST NEW YORK LEDDY      | 035        | Q          | S        | 5,000          | 9.40          | n/a           | n/a           | 300.00          | 6.0        |
| BALYASNY ASSET MGMT       | 044        | RJF        | S        | 55,000         | 31.29         | n/a           | n/a           | 2,750.00        | 5.0        |
| JP MORGAN VENTURES        | 046        | RL         | SS       | 5,500          | 91.03         | 2-Feb         | 13-Apr        | 275.00          | 5.0        |
| <b>BUCK CAPITAL MGMT</b>  | <b>001</b> | <b>SKX</b> | <b>B</b> | <b>70,000</b>  | <b>32.21</b>  | <b>n/a</b>    | <b>13-Mar</b> | <b>2,800.00</b> | <b>4.0</b> |
| BALYASNY ASSET MGMT       | 044        | SPR        | B        | 20,000         | 32.47         | n/a           | n/a           | 1,000.00        | 5.0        |
| <b>GASNER</b>             | <b>025</b> | <b>SPY</b> | <b>B</b> | <b>40</b>      | <b>150.16</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| <b>APEX CAPITAL MGMT.</b> | <b>091</b> | <b>SSI</b> | <b>S</b> | <b>117,700</b> | <b>21.11</b>  | <b>26-Feb</b> | <b>13-Apr</b> | <b>5,885.00</b> | <b>5.0</b> |
| CARDINAL CAPITAL          | 044        | SSI        | B        | 189,700        | 21.06         | 26-Feb        | 13-Apr        | 9,485.00        | 5.0        |
| J L F ASSET MGMT          | 039        | SSI        | SS       | 145,600        | 21.03         | 26-Feb        | 13-Apr        | 5,824.00        | 4.0        |
| <b>LISTED ERR</b>         | <b>099</b> | <b>SSI</b> | <b>B</b> | <b>2,370</b>   | <b>21.00</b>  | <b>26-Feb</b> | <b>13-Apr</b> | <b>0.00</b>     | <b>0.0</b> |
| <b>LISTED ERR</b>         | <b>099</b> | <b>SSI</b> | <b>S</b> | <b>2,370</b>   | <b>20.99</b>  | <b>26-Feb</b> | <b>13-Apr</b> | <b>0.00</b>     | <b>0.0</b> |
| ROYAL CAPITAL             | 039        | TFSL       | B        | 100,000        | 11.99         | n/a           | n/a           | 5,000.00        | 5.0        |
| <b>KALINOWSKI</b>         | <b>070</b> | <b>THI</b> | <b>B</b> | <b>5,000</b>   | <b>31.84</b>  | <b>24-Apr</b> | <b>24-Apr</b> | <b>0.00</b>     | <b>0.0</b> |

| Account                | RR # | Symbol | B/S | Shares  | Price | MRI    | Research | Comm.¢/Shr. |     |
|------------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| BUCK CAPITAL MGMT      | 001  | TLB    | S   | 288,200 | 21.54 | 10-Jan | 3-May    | 11,528.00   | 4.0 |
| RIVER RUN MGMT         | 031  | TRMP   | SS  | 13,200  | 16.08 | n/a    | n/a      | 660.00      | 5.0 |
| APEX CAPITAL MGMT.     | 091  | TRN    | B   | 19,900  | 47.74 | n/a    | n/a      | 995.00      | 5.0 |
| CAXTON PART            | 040  | UBS    | S   | 58,190  | 62.66 | n/a    | n/a      | 2,327.60    | 4.0 |
| FRIESS MGMT            | 042  | URBN   | B   | 146,600 | 25.69 | 2-Apr  | 26-Apr   | 6,597.00    | 4.5 |
| WHITTIER CAP           | 048  | URBN   | B   | 3,400   | 25.81 | 2-Apr  | 26-Apr   | 136.00      | 4.0 |
| SUN AMERICA ASSET MGMT | 030  | UTX    | S   | 124,000 | 67.99 | n/a    | n/a      | 6,200.00    | 5.0 |
| APEX CAPITAL MGMT.     | 091  | VLO    | S   | 80,200  | 73.09 | n/a    | n/a      | 4,010.00    | 5.0 |
| SINCLAIR               | 031  | VOII   | B   | 25,000  | 0.15  | n/a    | n/a      | 0.00        | 0.0 |
| HASAN                  | 010  | VSL    | S   | 1,650   | 21.81 | n/a    | n/a      | 0.00        | 0.0 |
| A.I.M. ADVISORS INC    | 222  | WAG    | B   | 15,600  | 44.76 | n/a    | n/a      | 624.00      | 4.0 |
| KALINOWSKI             | 070  | ZVGN   | B   | 20      | 16.99 | n/a    | n/a      | 0.00        | 0.0 |
| TOTAL (Trade Date) :   |      |        |     |         |       |        |          | 146,762.18  |     |

# Cancel/Corrects and As-Of Trades

| Type          | Date         | Account                               | RR #       | Symbol     | B/S      | Shares        | Price        | MRI           | Research      | Comm.¢/Shr.   |            |
|---------------|--------------|---------------------------------------|------------|------------|----------|---------------|--------------|---------------|---------------|---------------|------------|
| AO,           | 05/02        | CARDINAL CAPITAL (CARDPRKARL)         | 044        | IHP        | B        | 500           | 60.21        | n/a           | n/a           | 25.00         | 5.0        |
| AO,CXL        | 05/02        | CARDINAL CAPITAL (CARDMIDCAP)         | 044        | IHP        | B        | 500           | 60.21        | n/a           | n/a           | 25.00         | 5.0        |
| AO,CXL        | 05/02        | PATTEN & PATTEN (PATTSUNTRU)          | 067        | ITT        | B        | 200           | 65.73        | 30-Apr        | 30-Apr        | 10.00         | 5.0        |
| AO,CRT        | 05/02        | PATTEN & PATTEN (PATTPERSHI)          | 067        | ITT        | B        | 200           | 65.73        | 30-Apr        | 30-Apr        | 10.00         | 5.0        |
| AO,           | 05/02        | CRAMER ROSENTHAL/SCOTT (CRSB552)      | 012        | JNY        | C        | 31,300        | 31.77        | n/a           | 3-May         | 1565.00       | 5.0        |
| <b>AO,CRT</b> | <b>05/02</b> | <b>BRUNNER (BRUNNER)</b>              | <b>012</b> | <b>NPO</b> | <b>B</b> | <b>500</b>    | <b>38.06</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |
| AO,CXL        | 05/02        | CAPITAL GROWTH MGMT. (CAPGMOUNT)      | 241        | NPO        | B        | 500           | 38.06        | n/a           | n/a           | 0.00          | 0.0        |
| AO,CXL        | 05/02        | PATTEN & PATTEN (PATTSUNTRU)          | 067        | PG         | B        | 200           | 62.62        | 15-Dec        | 30-Mar        | 10.00         | 5.0        |
| AO,CRT        | 05/02        | PATTEN & PATTEN (PATTPERSHI)          | 067        | PG         | B        | 200           | 62.62        | 15-Dec        | 30-Mar        | 10.00         | 5.0        |
| <b>AO,CXL</b> | <b>05/02</b> | <b>MKT MAKER (MKT MAKER)</b>          | <b>099</b> | <b>SYT</b> | <b>S</b> | <b>50</b>     | <b>32.85</b> | <b>24-Apr</b> | <b>24-Apr</b> | <b>0.00</b>   | <b>0.0</b> |
| <b>AO,CRT</b> | <b>05/02</b> | <b>MKT MAKER (MKT MAKER)</b>          | <b>099</b> | <b>SYT</b> | <b>S</b> | <b>50</b>     | <b>32.85</b> | <b>24-Apr</b> | <b>24-Apr</b> | <b>0.00</b>   | <b>0.0</b> |
| <b>AO,</b>    | <b>05/02</b> | <b>BUCK CAPITAL MGMT (BUCKMSMAIN)</b> | <b>001</b> | <b>TGT</b> | <b>B</b> | <b>10,000</b> | <b>59.03</b> | <b>n/a</b>    | <b>24-Apr</b> | <b>400.00</b> | <b>4.0</b> |
| AO,           | 05/02        | UBS OCONNOR (UBSOLEHCHA)              | 031        | UAG        | B        | 8,460         | 20.71        | n/a           | 13-Apr        | 253.80        | 3.0        |
| AO,           | 05/02        | UBS OCONNOR (UBSOLEHCHA)              | 031        | UAG        | B        | 7,050         | 20.62        | n/a           | 13-Apr        | 211.50        | 3.0        |
| AO,CXL        | 05/02        | UBS OCONNOR (UBSOCREDIT)              | 031        | UAG        | B        | 30,000        | 20.71        | n/a           | 13-Apr        | 900.00        | 3.0        |
| AO,CXL        | 05/02        | UBS OCONNOR (UBSOCREDIT)              | 031        | UAG        | B        | 25,000        | 20.62        | n/a           | 13-Apr        | 750.00        | 3.0        |
| AO,CRT        | 05/02        | UBS OCONNOR (UBSOCREDIT)              | 031        | UAG        | B        | 21,540        | 20.71        | n/a           | 13-Apr        | 646.20        | 3.0        |
| AO,CRT        | 05/02        | UBS OCONNOR (UBSOCREDIT)              | 031        | UAG        | B        | 17,950        | 20.62        | n/a           | 13-Apr        | 538.50        | 3.0        |
| AO,           | 05/02        | FRIESS MGMT (FRISNCCOUN)              | 042        | URBN       | B        | 400           | 25.59        | 2-Apr         | 26-Apr        | 18.00         | 4.5        |

| Type                           | Date  | Account                  | RR # | Symbol | B/S | Shares | Price | MRI   | Research | Comm.¢/Shr.       |
|--------------------------------|-------|--------------------------|------|--------|-----|--------|-------|-------|----------|-------------------|
| AO,CXL                         | 05/02 | FRIESS MGMT (FRISLANC)   | 042  | URBN   | B   | 400    | 25.59 | 2-Apr | 26-Apr   | 18.00 4.5         |
| AO,                            | 05/02 | UBS OCONNOR (UBSOLEHCHA) | 031  | VC     | S   | 20,586 | 8.79  | n/a   | n/a      | 617.58 3.0        |
| AO,CXL                         | 05/02 | UBS OCONNOR (UBSOCREDIT) | 031  | VC     | SS  | 73,000 | 8.79  | n/a   | n/a      | 2190.00 3.0       |
| AO,CRT                         | 05/02 | UBS OCONNOR (UBSOCREDIT) | 031  | VC     | SS  | 52,414 | 8.79  | n/a   | n/a      | 1572.42 3.0       |
| AO,                            | 05/02 | CROWLEY (CROWLEY)        | 061  | VNJT   | B   | 1,099  | 11.83 | n/a   | n/a      | 0.00 0.0          |
| <b>TOTAL (AO, CXL, CRT) :</b>  |       |                          |      |        |     |        |       |       |          | <b>1,965.00</b>   |
| TOTAL (Trade Date) :           |       |                          |      |        |     |        |       |       |          | 146,762.18        |
| TOTAL (AO, CXL, CRT) :         |       |                          |      |        |     |        |       |       |          | 1,965.00          |
| <b>TOTAL (RUN DATE) / NFS:</b> |       |                          |      |        |     |        |       |       |          | <b>148,727.18</b> |



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