



## Daily Compliance Activity Report

Trade Date: 04/18/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

| Account                  | RR #       | Symbol     | B/S       | Shares        | Price        | MRI          | Research      | Comm. ¢/Shr.    |            |
|--------------------------|------------|------------|-----------|---------------|--------------|--------------|---------------|-----------------|------------|
| PATTEN & PATTEN          | 067        | ADBE       | B         | 1,360         | 42.99        | n/a          | n/a           | 68.00           | 5.0        |
| BALYASNY ASSET MGMT      | 044        | AGE        | S         | 10,000        | 73.52        | n/a          | n/a           | 500.00          | 5.0        |
| TYEE/TYGH                | 035        | AMG        | S         | 5,000         | 115.18       | 5-Mar        | 10-Apr        | 200.00          | 4.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>ANF</b> | <b>SS</b> | <b>50,000</b> | <b>80.46</b> | <b>2-Feb</b> | <b>13-Apr</b> | <b>2,000.00</b> | <b>4.0</b> |
| RAMIUS CAP               | 040        | AOS        | SS        | 32,000        | 40.17        | 18-Apr       | 18-Apr        | 1,600.00        | 5.0        |
| PATTEN & PATTEN          | 067        | APC        | B         | 1,300         | 46.18        | 27-Feb       | 12-Mar        | 65.00           | 5.0        |
| GENERAL MOTORS INV CO    | 040        | ARJ        | B         | 2,600         | 31.36        | n/a          | n/a           | 104.00          | 4.0        |
| PATTEN & PATTEN          | 067        | ATO        | S         | 350           | 32.27        | n/a          | n/a           | 17.50           | 5.0        |
| BALYASNY ASSET MGMT      | 044        | BAC        | B         | 25,000        | 52.04        | 11-Jan       | 16-Apr        | 1,250.00        | 5.0        |
| MISSOURI VALLEY PART     | 046        | BBW        | S         | 33,100        | 26.29        | 19-Mar       | 19-Mar        | 1,655.00        | 5.0        |
| BALYASNY ASSET MGMT      | 044        | BEN        | S         | 17,500        | 133.37       | 10-Apr       | 18-Apr        | 875.00          | 5.0        |
| <b>BUCK</b>              | <b>015</b> | <b>BFB</b> | <b>B</b>  | <b>300</b>    | <b>64.02</b> | <b>n/a</b>   | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| PATTEN & PATTEN          | 067        | BHI        | S         | 110           | 71.82        | n/a          | n/a           | 5.50            | 5.0        |
| NEUBERGER BERMAN         | 036        | BRY        | B         | 4,400         | 32.92        | n/a          | n/a           | 220.00          | 5.0        |

| Account                  | RR #       | Symbol       | B/S      | Shares        | Price        | MRI           | Research      | Comm. ¢/Shr.  |            |
|--------------------------|------------|--------------|----------|---------------|--------------|---------------|---------------|---------------|------------|
| <b>MAGUIRE</b>           | <b>090</b> | <b>BTU</b>   | <b>B</b> | <b>1,500</b>  | <b>46.40</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |
| PATTEN & PATTEN          | 067        | CAG          | B        | 2,880         | 25.10        | n/a           | n/a           | 144.00        | 5.0        |
| <b>BUCK</b>              | <b>015</b> | <b>CAT</b>   | <b>B</b> | <b>900</b>    | <b>68.88</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |
| GENERAL MOTORS INV CO    | 040        | CBU          | S        | 1,400         | 20.73        | n/a           | n/a           | 56.00         | 4.0        |
| FRIESS MGMT              | 042        | CCK          | S        | 412,800       | 24.29        | n/a           | n/a           | 18,576.00     | 4.5        |
| PATTEN & PATTEN          | 067        | CCL          | S        | 50            | 46.29        | n/a           | 26-Jan        | 2.50          | 5.0        |
| <b>OGORMAN</b>           | <b>146</b> | <b>CDX</b>   | <b>S</b> | <b>8</b>      | <b>0.80</b>  | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |
| PATTEN & PATTEN          | 067        | CFC          | B        | 1,250         | 38.19        | n/a           | n/a           | 62.50         | 5.0        |
| CATAPULT                 | 040        | CMA          | S        | 4,500         | 63.21        | n/a           | n/a           | 225.00        | 5.0        |
| EOS PARTNERS             | 040        | CME          | S        | 3,000         | 559.10       | n/a           | 16-Apr        | 150.00        | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>COH</b>   | <b>S</b> | <b>22,000</b> | <b>52.15</b> | <b>23-Feb</b> | <b>23-Feb</b> | <b>880.00</b> | <b>4.0</b> |
| <b>CROWLEY</b>           | <b>061</b> | <b>CPNLQ</b> | <b>S</b> | <b>15,500</b> | <b>3.35</b>  | <b>n/a</b>    | <b>8-Mar</b>  | <b>0.00</b>   | <b>0.0</b> |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>CRI</b>   | <b>B</b> | <b>20,000</b> | <b>25.24</b> | <b>n/a</b>    | <b>n/a</b>    | <b>800.00</b> | <b>4.0</b> |
| NOMURA CAPITAL           | 040        | CVO          | B        | 11,800        | 25.76        | n/a           | n/a           | 590.00        | 5.0        |
| PATTEN & PATTEN          | 067        | CVX          | S        | 285           | 77.59        | n/a           | n/a           | 14.25         | 5.0        |

| Account                  | RR #       | Symbol    | B/S       | Shares        | Price        | MRI           | Research      | Comm. ¢/Shr.    |            |
|--------------------------|------------|-----------|-----------|---------------|--------------|---------------|---------------|-----------------|------------|
| PATTEN & PATTEN          | 067        | C         | S         | 250           | 53.09        | 11-Jan        | 17-Apr        | 12.50           | 5.0        |
| PATTEN & PATTEN          | 067        | DE        | S         | 50            | 112.12       | n/a           | n/a           | 2.50            | 5.0        |
| GENERAL MOTORS INV CO    | 040        | DFG       | B         | 1,700         | 41.60        | n/a           | n/a           | 68.00           | 4.0        |
| PATTEN & PATTEN          | 067        | DOV       | S         | 60            | 48.87        | n/a           | n/a           | 3.00            | 5.0        |
| FARBER/WEISS PECK        | 012        | DPZ       | B         | 48,000        | 34.09        | 23-Feb        | 23-Feb        | 2,400.00        | 5.0        |
| GLG PARTNERS             | 034        | DPZ       | S         | 50,000        | 34.78        | 23-Feb        | 23-Feb        | 2,500.00        | 5.0        |
| JP MORGAN VENTURES       | 046        | DPZ       | B         | 29,300        | 34.00        | 23-Feb        | 23-Feb        | 1,465.00        | 5.0        |
| PATTEN & PATTEN          | 067        | DUK       | B         | 1,500         | 20.92        | n/a           | n/a           | 75.00           | 5.0        |
| PATTEN & PATTEN          | 067        | EEP       | S         | 150           | 59.53        | n/a           | n/a           | 7.50            | 5.0        |
| PATTEN & PATTEN          | 067        | EFA       | B         | 43            | 79.35        | n/a           | n/a           | 2.15            | 5.0        |
| SYSTEMATIC FINANCIAL MGT | 035        | ELY       | S         | 15,000        | 18.59        | n/a           | n/a           | 562.50          | 3.8        |
| BALYASNY ASSET MGMT      | 044        | ETFC      | B         | 30,000        | 22.37        | n/a           | n/a           | 1,500.00        | 5.0        |
| PATTEN & PATTEN          | 067        | EWG       | S         | 150           | 30.90        | n/a           | n/a           | 7.50            | 5.0        |
| PATTEN & PATTEN          | 067        | EWJ       | B         | 2,140         | 14.66        | n/a           | n/a           | 107.00          | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>FD</b> | <b>SS</b> | <b>60,000</b> | <b>45.02</b> | <b>26-Jan</b> | <b>13-Apr</b> | <b>2,400.00</b> | <b>4.0</b> |
| PATTEN & PATTEN          | 067        | FHN       | S         | 750           | 41.37        | n/a           | n/a           | 37.50           | 5.0        |

| Account               | RR #       | Symbol      | B/S      | Shares       | Price        | MRI        | Research   | Comm.¢/Shr. |            |
|-----------------------|------------|-------------|----------|--------------|--------------|------------|------------|-------------|------------|
| PATTEN & PATTEN       | 067        | GCI         | B        | 1,050        | 57.88        | n/a        | n/a        | 52.50       | 5.0        |
| GENERAL MOTORS INV CO | 040        | GGL         | B        | 1,500        | 17.61        | n/a        | n/a        | 60.00       | 4.0        |
| BULL PATH CAPITAL     | 044        | GHL         | B        | 19,000       | 63.12        | n/a        | n/a        | 950.00      | 5.0        |
| <b>DAWSON</b>         | <b>075</b> | <b>GILD</b> | <b>B</b> | <b>50</b>    | <b>78.62</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b> | <b>0.0</b> |
| CASTLE ARK            | 031        | GIL         | B        | 32,670       | 65.04        | n/a        | 2-Apr      | 1,960.20    | 6.0        |
| PATTEN & PATTEN       | 067        | GRP         | S        | 480          | 50.04        | n/a        | n/a        | 24.00       | 5.0        |
| BRENCOURT             | 028        | HC          | B        | 50,000       | 22.01        | 14-Mar     | 5-Apr      | 2,500.00    | 5.0        |
| PATTEN & PATTEN       | 067        | HD          | S        | 25           | 38.87        | n/a        | 1-Mar      | 1.25        | 5.0        |
| <b>BUCK</b>           | <b>015</b> | <b>HIW</b>  | <b>S</b> | <b>1,000</b> | <b>42.44</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b> | <b>0.0</b> |
| PATTEN & PATTEN       | 067        | HMC         | B        | 35           | 34.61        | n/a        | n/a        | 1.75        | 5.0        |
| OPTIMUM INV ADV       | 030        | HRS         | B        | 300          | 50.00        | 31-Jan     | 31-Jan     | 12.00       | 4.0        |
| PATTEN & PATTEN       | 067        | IBM         | S        | 200          | 94.48        | n/a        | n/a        | 10.00       | 5.0        |
| PATTEN & PATTEN       | 067        | INTC        | B        | 450          | 21.15        | n/a        | n/a        | 22.50       | 5.0        |
| AMBER CAPITAL         | 046        | ITB         | B        | 100,000      | 36.32        | n/a        | n/a        | 4,000.00    | 4.0        |
| PATTEN & PATTEN       | 067        | IXN         | B        | 235          | 59.22        | n/a        | n/a        | 11.75       | 5.0        |

| Account                  | RR #       | Symbol     | B/S       | Shares        | Price         | MRI           | Research      | Comm.¢/Shr.   |            |
|--------------------------|------------|------------|-----------|---------------|---------------|---------------|---------------|---------------|------------|
| AMBER CAPITAL            | 046        | IYR        | SS        | 175,000       | 86.89         | n/a           | n/a           | 5,250.00      | 3.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>JCP</b> | <b>B</b>  | <b>10,000</b> | <b>80.83</b>  | <b>23-Feb</b> | <b>18-Apr</b> | <b>400.00</b> | <b>4.0</b> |
| PATTEN & PATTEN          | 067        | JNJ        | S         | 50            | 64.29         | n/a           | 22-Apr        | 2.50          | 5.0        |
| <b>BUCK</b>              | <b>015</b> | <b>KFT</b> | <b>S</b>  | <b>173</b>    | <b>32.71</b>  | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |
| CUMBERLAND               | 038        | KSS        | B         | 7,500         | 77.91         | 27-Dec        | 12-Apr        | 300.00        | 4.0        |
| COUGAR TRADING           | 044        | LAD        | SS        | 5,000         | 28.34         | n/a           | 13-Apr        | 250.00        | 5.0        |
| GENERAL MOTORS INV CO    | 040        | LSS        | S         | 300           | 66.26         | n/a           | n/a           | 12.00         | 4.0        |
| <b>Õ Glenn Redemann</b>  |            | <b>MA</b>  | <b>B</b>  | <b>6</b>      | <b>0.6300</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |
| <b>Õ Glenn Redemann</b>  |            | <b>MA</b>  | <b>B</b>  | <b>6</b>      | <b>0.8200</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |
| <b>Õ Glenn Redemann</b>  |            | <b>MA</b>  | <b>SS</b> | <b>6</b>      | <b>1.3200</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |
| <b>Õ Glenn Redemann</b>  |            | <b>MA</b>  | <b>SS</b> | <b>6</b>      | <b>1.4800</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |
| PERSHING SQUARE          | 028        | MBI        | SS        | 81,400        | 68.20         | n/a           | n/a           | 4,070.00      | 5.0        |
| BULL PATH CAPITAL        | 044        | MCD        | S         | 50,000        | 48.82         | 11-Apr        | 13-Apr        | 2,500.00      | 5.0        |
| PATTEN & PATTEN          | 067        | MGU        | B         | 2,975         | 32.40         | n/a           | n/a           | 148.75        | 5.0        |
| PATTEN & PATTEN          | 067        | MIC        | B         | 325           | 41.41         | n/a           | n/a           | 16.25         | 5.0        |
| NOMURA CAPITAL           | 040        | MIR        | S         | 10,000        | 45.00         | n/a           | n/a           | 500.00        | 5.0        |
| <b>LISTED ERR</b>        | <b>099</b> | <b>MI</b>  | <b>S</b>  | <b>5,000</b>  | <b>47.54</b>  | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |

| Account               | RR #       | Symbol     | B/S      | Shares       | Price        | MRI        | Research     | Comm.¢/Shr. |            |
|-----------------------|------------|------------|----------|--------------|--------------|------------|--------------|-------------|------------|
| PATTEN & PATTEN       | 067        | MMC        | B        | 2,975        | 31.44        | n/a        | n/a          | 148.75      | 5.0        |
| <b>BUCK</b>           | <b>015</b> | <b>MON</b> | <b>B</b> | <b>1,000</b> | <b>58.39</b> | <b>n/a</b> | <b>4-Apr</b> | <b>0.00</b> | <b>0.0</b> |
| NOMURA CAPITAL        | 040        | MOS        | B        | 8,300        | 30.44        | n/a        | n/a          | 332.00      | 4.0        |
| PATTEN & PATTEN       | 067        | MOT        | S        | 900          | 18.24        | n/a        | n/a          | 45.00       | 5.0        |
| <b>BUCK</b>           | <b>015</b> | <b>MO</b>  | <b>S</b> | <b>250</b>   | <b>70.01</b> | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b> | <b>0.0</b> |
| PATTEN & PATTEN       | 067        | MSFT       | S        | 250          | 28.48        | n/a        | 3-Apr        | 12.50       | 5.0        |
| SANDLER O'NEILL ASSET | 031        | MS         | S        | 10,500       | 83.41        | 22-Mar     | 16-Apr       | 525.00      | 5.0        |
| NOMURA CAPITAL        | 040        | MWAB       | B        | 9,000        | 14.14        | n/a        | n/a          | 360.00      | 4.0        |
| NOMURA CAPITAL        | 040        | MWA        | S        | 4,900        | 14.44        | n/a        | n/a          | 196.00      | 4.0        |
| AMBER CAPITAL         | 046        | NCC        | SS       | 80,000       | 37.43        | n/a        | n/a          | 3,200.00    | 4.0        |
| CAPITAL GROWTH MGMT.  | 241        | NCS        | B        | 10,000       | 47.28        | n/a        | n/a          | 500.00      | 5.0        |
| BALYASNY ASSET MGMT   | 044        | NFP        | B        | 20,000       | 48.17        | n/a        | n/a          | 1,000.00    | 5.0        |
| PATTEN & PATTEN       | 067        | NS         | S        | 25           | 67.89        | n/a        | n/a          | 1.25        | 5.0        |
| TPG-AXON              | 040        | ORCL       | S        | 488,000      | 18.85        | n/a        | n/a          | 24,400.00   | 5.0        |
| PATTEN & PATTEN       | 067        | PBW        | B        | 35           | 19.86        | n/a        | n/a          | 1.75        | 5.0        |

| Account                  | RR # | Symbol | B/S | Shares  | Price  | MRI    | Research | Comm. ¢/Shr. |     |
|--------------------------|------|--------|-----|---------|--------|--------|----------|--------------|-----|
| CAPITAL GROWTH MGMT.     | 241  | PCU    | B   | 20,000  | 79.91  | n/a    | n/a      | 1,000.00     | 5.0 |
| SUFFOLK CAPITAL MGMT     | 040  | PG     | B   | 100,000 | 63.61  | 15-Dec | 30-Mar   | 4,000.00     | 4.0 |
| PATTEN & PATTEN          | 067  | PHO    | B   | 35      | 19.09  | n/a    | n/a      | 1.75         | 5.0 |
| Õ Glenn Redemann         |      | PJC    | ??  | 7       | 0.0700 | n/a    | n/a      | 0.00         | 0.0 |
| Õ Glenn Redemann         |      | PJC    | ??  | 7       | 0.0800 | n/a    | n/a      | 0.00         | 0.0 |
| MAZAMA CAPITAL MGMT.     | 035  | PJC    | B   | 32,800  | 65.93  | n/a    | n/a      | 1,312.00     | 4.0 |
| TYEE/TYGH                | 035  | PLCE   | S   | 69,530  | 50.07  | 12-Apr | 13-Apr   | 2,781.20     | 4.0 |
| Õ Glenn Redemann         |      | RCL    | B   | 3       | 0.8200 | n/a    | 6-Feb    | 0.00         | 0.0 |
| Õ Glenn Redemann         |      | RCL    | B   | 3       | 0.9300 | n/a    | 6-Feb    | 0.00         | 0.0 |
| PATTEN & PATTEN          | 067  | RDSA   | S   | 250     | 69.65  | n/a    | n/a      | 12.50        | 5.0 |
| CATAPULT                 | 040  | RF     | S   | 10,000  | 34.69  | n/a    | n/a      | 500.00       | 5.0 |
| GENERAL MOTORS INV CO    | 040  | SAI    | B   | 1,900   | 18.28  | n/a    | n/a      | 76.00        | 4.0 |
| TRIVIUM CAP MGMT         | 028  | SHOO   | B   | 31,036  | 31.10  | n/a    | n/a      | 1,241.44     | 4.0 |
| Õ Glenn Redemann         |      | SIGM   | B   | 7       | 0.1800 | n/a    | n/a      | 0.00         | 0.0 |
| Õ Glenn Redemann         |      | SIGM   | B   | 7       | 0.2200 | n/a    | n/a      | 0.00         | 0.0 |
| Õ Glenn Redemann         |      | SIGM   | SS  | 7       | 0.9500 | n/a    | n/a      | 0.00         | 0.0 |
| Õ Glenn Redemann         |      | SIGM   | SS  | 7       | 1.0500 | n/a    | n/a      | 0.00         | 0.0 |
| SIGMA CAPITAL ASSOCIATES | 044  | STX    | B   | 25,000  | 20.92  | n/a    | n/a      | 1,250.00     | 5.0 |

| Account                  | RR #       | Symbol     | B/S      | Shares        | Price        | MRI           | Research      | Comm.¢/Shr.     |            |
|--------------------------|------------|------------|----------|---------------|--------------|---------------|---------------|-----------------|------------|
| NEW JERSEY DIV OF INV.   | 220        | STZ        | S        | 140,000       | 21.99        | n/a           | n/a           | 5,600.00        | 4.0        |
| Õ Glenn Redemann         |            | SU         | B        | 1             | 1.2500       | n/a           | n/a           | 0.00            | 0.0        |
| Õ Glenn Redemann         |            | SU         | B        | 1             | 2.0000       | n/a           | n/a           | 0.00            | 0.0        |
| FIRST NEW YORK LEDDY     | 035        | S          | S        | 5,000         | 20.37        | n/a           | n/a           | 300.00          | 6.0        |
| MORTAR ROCK              | 033        | TEN        | SS       | 10,000        | 29.22        | n/a           | n/a           | 500.00          | 5.0        |
| GENERAL MOTORS INV CO    | 040        | TG         | B        | 2,100         | 23.82        | n/a           | n/a           | 84.00           | 4.0        |
| <b>XYLEM GLOBAL</b>      | <b>091</b> | <b>TIN</b> | <b>S</b> | <b>20,000</b> | <b>61.10</b> | <b>26-Feb</b> | <b>18-Apr</b> | <b>1,000.00</b> | <b>5.0</b> |
| PATTEN & PATTEN          | 067        | TIP        | B        | 835           | 100.53       | n/a           | n/a           | 41.75           | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>TLB</b> | <b>S</b> | <b>20,000</b> | <b>24.69</b> | <b>10-Jan</b> | <b>8-Mar</b>  | <b>800.00</b>   | <b>4.0</b> |
| <b>LISTED ERR</b>        | <b>099</b> | <b>TSN</b> | <b>B</b> | <b>25</b>     | <b>20.50</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| <b>LISTED ERR</b>        | <b>099</b> | <b>TSN</b> | <b>S</b> | <b>25</b>     | <b>20.52</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| PATTEN & PATTEN          | 067        | TWTC       | B        | 100           | 20.70        | 8-Feb         | 4-Apr         | 5.00            | 5.0        |
| PATTEN & PATTEN          | 067        | TXN        | S        | 25            | 32.05        | n/a           | n/a           | 1.25            | 5.0        |
| GENERAL MOTORS INV CO    | 040        | UBH        | S        | 1,500         | 22.16        | n/a           | n/a           | 60.00           | 4.0        |
| PATTEN & PATTEN          | 067        | UNH        | S        | 25            | 54.21        | n/a           | n/a           | 1.25            | 5.0        |
| PATTEN & PATTEN          | 067        | UTX        | B        | 275           | 66.66        | n/a           | n/a           | 13.75           | 5.0        |



| Account                     | RR #       | Symbol     | B/S      | Shares        | Price        | MRI          | Research      | Comm.¢/Shr.       |            |
|-----------------------------|------------|------------|----------|---------------|--------------|--------------|---------------|-------------------|------------|
| PATTEN & PATTEN             | 067        | VMC        | S        | 100           | 113.70       | n/a          | n/a           | 5.00              | 5.0        |
| PATTEN & PATTEN             | 067        | VOX        | S        | 70            | 78.12        | n/a          | n/a           | 3.50              | 5.0        |
| PATTEN & PATTEN             | 067        | VTI        | S        | 64            | 146.36       | n/a          | n/a           | 3.20              | 5.0        |
| <b>BUCK</b>                 | <b>015</b> | <b>WB</b>  | <b>S</b> | <b>700</b>    | <b>55.61</b> | <b>n/a</b>   | <b>n/a</b>    | <b>0.00</b>       | <b>0.0</b> |
| HIGHBRIDGE CAPITAL          | 038        | WM         | SS       | 50,000        | 42.21        | n/a          | n/a           | 2,500.00          | 5.0        |
| PATTEN & PATTEN             | 067        | XOM        | S        | 279           | 78.14        | n/a          | n/a           | 13.95             | 5.0        |
| PATTEN & PATTEN             | 067        | XRAY       | S        | 275           | 33.13        | n/a          | n/a           | 13.75             | 5.0        |
| <b>BUCK CAPITAL MGMT</b>    | <b>001</b> | <b>ZQK</b> | <b>S</b> | <b>10,000</b> | <b>13.50</b> | <b>9-Mar</b> | <b>17-Apr</b> | <b>400.00</b>     | <b>4.0</b> |
| <b>TOTAL (Trade Date) :</b> |            |            |          |               |              |              |               | <b>118,509.39</b> |            |

**Cancel/Corrects and As-Of Trades**

| Type   | Date  | Account                        | RR # | Symbol | B/S | Shares | Price | MRI   | Research | Comm.¢/Shr. |
|--------|-------|--------------------------------|------|--------|-----|--------|-------|-------|----------|-------------|
| AO,CRT | 04/13 | PENN CAPITAL MGMT (PENNVUE)    | 033  | BRL    | B   | 3,165  | 47.97 | 1-Mar | 18-Apr   | 126.60 4.0  |
| AO,CXL | 04/13 | PENN CAPITAL MGMT (PENNPEN SM) | 033  | BRL    | B   | 3,165  | 47.97 | 1-Mar | 18-Apr   | 126.60 4.0  |
| AO,CRT | 04/17 | LISTED ERR (LISTED ERR)        | 099  | MI     | SS  | 5,000  | 48.20 | n/a   | n/a      | 0.00 0.0    |
| AO,CRT | 04/17 | CATAPULT (CATAMSPB)            | 040  | MI     | SS  | 5,000  | 48.20 | n/a   | n/a      | 250.00 5.0  |

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**TOTAL (AO, CXL, CRT) :****250.00**

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**TOTAL (Trade Date) :****118,509.39****TOTAL (AO, CXL, CRT) :****250.00**

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**TOTAL (RUN DATE) / NFS:****118,759.39**

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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