



Daily Compliance Activity Report

Trade Date: 01/24/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|-----------|---------------|--------------|---------------|---------------|---------------|------------|
| BALYASNY ASSET MGMT | 044 | AB | S | 35,000 | 63.11 | 11-Jan | 24-Jan | 1,750.00 | 5.0 |
| PERRY PARTNERS | 041 | ADS | SS | 75,000 | 67.11 | n/a | n/a | 2,250.00 | 3.0 |
| WYCKOFF | 013 | AEO | B | 300 | 21.74 | 11-Jan | 11-Jan | 0.00 | 0.0 |
| CAXTON PART | 040 | AMCN | C | 25,000 | 21.93 | n/a | n/a | 875.01 | 3.5 |
| BALYASNY ASSET MGMT | 044 | AMG | S | 30,000 | 98.49 | 9-Jan | 23-Jan | 1,500.00 | 5.0 |
| ARIENCE CAPITAL | 036 | ANF | SS | 8,500 | 76.43 | 10-Jan | 22-Jan | 425.00 | 5.0 |
| COUGAR TRADING | 044 | ANN | SS | 5,000 | 21.44 | 11-Jan | 11-Jan | 250.00 | 5.0 |
| CAPITAL GROWTH MGMT. | 241 | ANR | B | 50,000 | 28.07 | n/a | n/a | 2,500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | AN | SS | 20,000 | 15.38 | n/a | 15-Jan | 800.00 | 4.0 |
| LEDDY | 035 | APP | S | 3,300 | 11.11 | n/a | n/a | 0.00 | 0.0 |
| CIBC ADV. | 060 | BAC | S | 147,000 | 39.97 | 13-Nov | 23-Jan | 5,880.00 | 4.0 |
| NATIONAL BK OF CAN | 031 | BAC | B | 30,000 | 40.30 | 13-Nov | 23-Jan | 1,200.00 | 4.0 |
| NATIONAL BK OF CAN | 031 | BAC | SS | 30,000 | 40.14 | 13-Nov | 23-Jan | 1,200.00 | 4.0 |
| NATIONAL BK OF CAN | 031 | BBT | B | 50,000 | 35.82 | n/a | n/a | 2,000.00 | 4.0 |
| ONE EAST CAPITAL ADV | 038 | BEAS | B | 150,000 | 18.45 | n/a | 3-Apr | 6,000.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|---------------------|-----------|----------------|---------------|---------------|---------------|-----------------|------------|
| BALYASNY ASSET MGMT | 044 | BEN | B | 10,000 | 99.84 | 25-Sep | 24-Jan | 500.00 | 5.0 |
| CAPITAL GROWTH MGMT. | 241 | BRY | S | 50,000 | 36.08 | n/a | n/a | 2,500.00 | 5.0 |
| GAULT | 063 | CALPINE CORP | S | 100,000 | 105.00 | n/a | n/a | 0.00 | 0.0 |
| SSI INVESTORS | 048 | CBT | SS | 5,000 | 31.78 | n/a | 24-Jan | 200.00 | 4.0 |
| COUGAR TRADING | 044 | CHIC | S | 10,000 | 16.24 | n/a | n/a | 500.00 | 5.0 |
| WEINTRAUB CAPITAL MGT. | 040 | CHS | SS | 100,000 | 8.97 | 10-Jan | 11-Jan | 3,000.00 | 3.0 |
| DSG CAPITAL | 225 | CLMS | B | 5,000 | 21.15 | 15-Jan | 24-Jan | 250.00 | 5.0 |
| BUCK | 015 | COF | SS | 800 | 48.38 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | COH | SS | 30,000 | 30.87 | 24-Oct | 24-Jan | 1,200.00 | 4.0 |
| DC CAPITAL | 044 | CVS | S | 50,000 | 35.89 | n/a | n/a | 2,500.00 | 5.0 |
| GLG PARTNERS | 034 | CVS | S | 50,000 | 36.39 | n/a | n/a | 2,500.00 | 5.0 |
| NATIONAL BK OF CAN | 031 | C | B | 80,000 | 27.21 | 16-Jan | 22-Jan | 3,200.00 | 4.0 |
| NATIONAL BK OF CAN | 031 | C | SS | 50,000 | 27.00 | 16-Jan | 22-Jan | 2,000.00 | 4.0 |
| NATIONAL BK OF CAN | 031 | C | S | 30,000 | 27.14 | 16-Jan | 22-Jan | 1,200.00 | 4.0 |
| BUCK | 015 | C | S | 500 | 27.11 | 16-Jan | 22-Jan | 0.00 | 0.0 |
| BUCK | 015 | DD | S | 1,000 | 44.88 | n/a | 22-Jan | 0.00 | 0.0 |
| ZOLIDIS | 011 | DECK | S | 200 | 133.65 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|--------------|-----------|---------------|--------------|--------------|---------------|---------------|------------|
| DIAMONDBACK JOHN MAQUIRE | 039 | DF | B | 25,000 | 28.26 | n/a | n/a | 1,250.00 | 5.0 |
| ROXBURY CAPITAL MGMT | 035 | DRI | B | 220,000 | 26.40 | n/a | 24-Apr | 8,800.00 | 4.0 |
| GAULT | 063 | DUG | B | 200 | 46.06 | n/a | n/a | 0.00 | 0.0 |
| SCOPUS FUND | 041 | EL | B | 10,000 | 40.41 | 4-Jan | 4-Jan | 500.00 | 5.0 |
| EMP ERROR | 099 | EL | S | 100 | 39.18 | 4-Jan | 4-Jan | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | ETH | SS | 10,000 | 30.73 | n/a | n/a | 400.00 | 4.0 |
| MATTHES CAPITAL MGMT | 033 | FDO | SS | 53,600 | 19.54 | 8-Jan | 11-Jan | 2,680.00 | 5.0 |
| NATIONAL BK OF CAN | 031 | FNM | B | 90,000 | 34.07 | n/a | n/a | 3,600.00 | 4.0 |
| NATIONAL BK OF CAN | 031 | FNM | S | 90,000 | 35.06 | n/a | n/a | 3,600.00 | 4.0 |
| N STRATTON | 014 | GF | S | 99 | 14.40 | n/a | n/a | 0.00 | 0.0 |
| SINCLAIR | 031 | GIYEC | B | 10 | 3.00 | n/a | n/a | 0.00 | 0.0 |
| COUGAR TRADING | 044 | GPS | B | 25,000 | 18.31 | n/a | 11-Jan | 1,250.00 | 5.0 |
| FIRST NEW YORK LEDDY | 035 | GPS | B | 10,000 | 18.24 | n/a | 11-Jan | 600.00 | 6.0 |
| NOMURA CAPITAL | 045 | GT | S | 8,000 | 25.01 | n/a | n/a | 400.00 | 5.0 |
| IRIDIAN ASSET MGMT. | 036 | HAL | B | 54,070 | 32.14 | n/a | n/a | 2,703.50 | 5.0 |
| DAVIDSON KEMPNER ADVISOR | 040 | HBAN | B | 150,000 | 12.17 | n/a | n/a | 7,500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | HD | SS | 10,000 | 29.78 | n/a | 27-Jul | 400.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|--------------|-----------|---------------|--------------|---------------|---------------|---------------|------------|
| BUCK CAPITAL MGMT | 001 | HOG | SS | 10,000 | 40.54 | n/a | n/a | 400.00 | 4.0 |
| IRIDIAN ASSET MGMT. | 036 | HPQ | B | 19,940 | 43.82 | n/a | n/a | 997.00 | 5.0 |
| TRIVIUM CAP MGMT | 251 | IAR | SS | 25,000 | 15.40 | n/a | n/a | 1,000.00 | 4.0 |
| ZOLIDIS | 011 | ICON | S | 1,000 | 20.07 | n/a | n/a | 0.00 | 0.0 |
| IRIDIAN ASSET MGMT. | 036 | INTC | B | 42,750 | 20.37 | n/a | n/a | 2,137.50 | 5.0 |
| GALLEON MGMT LP | 033 | ITW | SS | 10,000 | 50.13 | n/a | n/a | 500.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | IVZ | S | 50,000 | 25.57 | 20-Dec | 24-Jan | 2,500.00 | 5.0 |
| U.S.TRUST COMPANY | 012 | IVZ | B | 151,200 | 25.99 | 20-Dec | 24-Jan | 4,536.00 | 3.0 |
| COUGAR TRADING | 044 | JCG | B | 5,000 | 43.29 | 28-Nov | 18-Jan | 250.00 | 5.0 |
| COUGAR TRADING | 044 | JCG | SS | 5,000 | 42.62 | 28-Nov | 18-Jan | 250.00 | 5.0 |
| EGS ASSOCIATES LP | 091 | JCG | SS | 7,500 | 43.27 | 28-Nov | 18-Jan | 450.00 | 6.0 |
| SINCLAIR | 031 | JGQCA | B | 40 | 0.70 | n/a | n/a | 0.00 | 0.0 |
| BUCK | 015 | JJG | B | 400 | 58.95 | n/a | n/a | 0.00 | 0.0 |
| DE SHAW | 040 | JNS | S | 100,000 | 27.84 | 9-Jan | 24-Jan | 3,000.00 | 3.0 |
| NUMERIC | 060 | JNS | S | 30,000 | 27.81 | 9-Jan | 24-Jan | 900.00 | 3.0 |
| GAULT | 063 | JPM | S | 300 | 45.79 | 17-Jan | 22-Jan | 0.00 | 0.0 |
| MATTHES CAPITAL MGMT | 033 | JWN | SS | 25,000 | 36.21 | 20-Nov | 11-Jan | 1,250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|-----------|----------------|---------------|--------------|---------------|-----------------|------------|
| KACELA CAPITAL | 034 | KR | S | 25,000 | 26.01 | n/a | n/a | 1,000.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | KSS | SS | 20,000 | 44.68 | 4-Jan | 11-Jan | 800.00 | 4.0 |
| COUGAR TRADING | 044 | KSS | SS | 5,000 | 42.80 | 4-Jan | 11-Jan | 250.00 | 5.0 |
| NATIONAL BK OF CAN | 031 | LEH | S | 50,000 | 58.88 | n/a | 22-Jan | 2,000.00 | 4.0 |
| STADIA CAPITAL | 035 | LIZ | B | 15,000 | 21.09 | n/a | 31-Oct | 600.00 | 4.0 |
| KENNEDY CAPITAL | 046 | LSI | S | 370,535 | 4.83 | n/a | n/a | 7,410.70 | 2.0 |
| WHEELER | 008 | MBI | S | 5,000 | 18.08 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | MCO | B | 100,000 | 37.04 | n/a | n/a | 4,000.00 | 4.0 |
| CATAPULT | 040 | MF | S | 12,500 | 29.35 | n/a | n/a | 625.00 | 5.0 |
| BUCK | 015 | MON | SS | 300 | 109.80 | n/a | 14-Jan | 0.00 | 0.0 |
| GALLEON MGMT LP | 033 | MO | S | 5,000 | 74.77 | n/a | n/a | 250.00 | 5.0 |
| PERRY PARTNERS | 041 | MPG | SS | 111,000 | 26.15 | n/a | n/a | 3,330.00 | 3.0 |
| CAXTON PART | 040 | MSFT | S | 118,725 | 32.18 | n/a | 3-Apr | 4,155.39 | 3.5 |
| WEISS PECK | 040 | MW | S | 16,700 | 23.76 | n/a | n/a | 835.00 | 5.0 |
| BEAR STEARNS ASSET MGMT. | 033 | M | B | 50,000 | 25.73 | 4-Jan | 11-Jan | 2,000.00 | 4.0 |
| COUGAR TRADING | 044 | M | S | 5,000 | 25.36 | 4-Jan | 11-Jan | 250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|----------|---------------|--------------|---------------|---------------|-----------------|------------|
| MCERLEAN | RR2 | M | S | 500 | 25.68 | 4-Jan | 11-Jan | 0.00 | 0.0 |
| NATIONAL BK OF CAN | 031 | NDAQ | B | 35,000 | 44.17 | n/a | n/a | 1,400.00 | 4.0 |
| WYCKOFF | 013 | NILE | B | 100 | 55.09 | n/a | n/a | 0.00 | 0.0 |
| IVORY CAPITAL | 034 | NOK | S | 200,000 | 34.56 | n/a | n/a | 10,000.00 | 5.0 |
| KACELA CAPITAL | 034 | NWL | S | 25,000 | 24.22 | n/a | n/a | 1,000.00 | 4.0 |
| NATIONAL BK OF CAN | 031 | NYX | B | 23,000 | 77.17 | n/a | n/a | 920.00 | 4.0 |
| ROARING BLUE LION MGMT | 012 | PFCB | S | 5,800 | 27.78 | n/a | 24-Apr | 232.00 | 4.0 |
| ELM RIDGE ADVISORS | 044 | PKG | B | 176,300 | 23.82 | 23-Jan | 23-Jan | 7,052.00 | 4.0 |
| COUGAR TRADING | 044 | PSUN | B | 45,000 | 10.17 | n/a | 11-Jan | 2,250.00 | 5.0 |
| EGS ASSOCIATES LP | 091 | PSUN | S | 3,000 | 10.00 | n/a | 11-Jan | 180.00 | 6.0 |
| FIRST NEW YORK LEDDY | 035 | Q | B | 10,000 | 5.68 | n/a | n/a | 600.00 | 6.0 |
| BUCK CAPITAL MGMT | 001 | RL | S | 40,000 | 61.87 | 14-Jan | 14-Jan | 1,600.00 | 4.0 |
| PRINCIPLE CAPITAL | 040 | SBUX | B | 87,700 | 20.22 | n/a | 24-Apr | 2,631.00 | 3.0 |
| GAULT | 063 | SDS | C | 500 | 64.02 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | SKX | B | 40,000 | 19.17 | n/a | 13-Mar | 1,600.00 | 4.0 |
| FIRST NY SEC/CHRIS | 041 | SOLF | B | 20,000 | 16.16 | n/a | n/a | 1,200.00 | 6.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| OTC ERROR | 099 | SOLF | B | 20,000 | 16.23 | n/a | n/a | 0.00 | 0.0 |
| OTC ERROR | 099 | SOLF | S | 20,000 | 15.96 | n/a | n/a | 0.00 | 0.0 |
| GOLDMAN SACHS ASSET MGMT | 044 | SU | B | 136,303 | 87.65 | n/a | n/a | 2,044.55 | 1.5 |
| APEX CAPITAL MGMT. | 091 | TGT | SS | 10,000 | 53.61 | n/a | 27-Jul | 500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | TGT | SS | 10,000 | 54.14 | n/a | 27-Jul | 400.00 | 4.0 |
| COUGAR TRADING | 044 | TJX | B | 5,000 | 31.06 | 21-Sep | 11-Jan | 250.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | TLB | SS | 50,000 | 7.30 | n/a | 7-Jan | 2,000.00 | 4.0 |
| PALMYRA CAPITAL | 048 | TLB | SS | 20,300 | 8.00 | n/a | 7-Jan | 609.00 | 3.0 |
| COUGAR TRADING | 044 | TWB | S | 5,000 | 30.80 | 9-Jan | 9-Jan | 250.00 | 5.0 |
| TRELLUS PARTNERS LP | 028 | TWTC | C | 105,100 | 17.03 | 9-Nov | 4-Jan | 5,255.00 | 5.0 |
| MKT MAKER | 099 | TWTC | S | 100 | 17.03 | 9-Nov | 4-Jan | 0.00 | 0.0 |
| IRIDIAN ASSET MGMT. | 036 | TXN | B | 28,830 | 30.13 | n/a | n/a | 1,441.50 | 5.0 |
| MATTHES CAPITAL MGMT | 033 | TXRH | SS | 50,000 | 10.61 | n/a | n/a | 2,000.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | T | B | 61,600 | 36.89 | n/a | 4-Jan | 2,464.00 | 4.0 |
| CASTLE ARK | 031 | UNH | SS | 1,180 | 49.56 | n/a | n/a | 70.80 | 6.0 |
| CENTURION PARTNERS | 255 | USB | B | 25,000 | 33.35 | n/a | n/a | 1,250.00 | 5.0 |
| SCOPUS FUND | 041 | USG | S | 50,583 | 33.90 | 8-Jan | 23-Jan | 2,529.15 | 5.0 |
| BUCK CAPITAL MGMT | 001 | VZ | B | 61,900 | 38.42 | n/a | 4-Jan | 2,476.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------------|------|--------|-----|---------|-------|--------|----------|-------------------|-----|
| LEDDY | 035 | WBC | B | 300 | 39.97 | n/a | 12-Dec | 0.00 | 0.0 |
| BUCK | 015 | WB | B | 2,100 | 36.05 | n/a | n/a | 0.00 | 0.0 |
| CAPITAL GROWTH MGMT. | 241 | WFC | B | 200,000 | 31.08 | n/a | n/a | 10,000.00 | 5.0 |
| BULL PATH CAPITAL | 044 | WSM | S | 30,000 | 25.76 | n/a | n/a | 1,500.00 | 5.0 |
| KARSCH CAPITAL | 034 | WYN | C | 210,300 | 21.73 | n/a | n/a | 6,309.00 | 3.0 |
| NATIONAL BK OF CAN | 031 | XLF | B | 150,000 | 27.85 | n/a | n/a | 6,000.00 | 4.0 |
| NATIONAL BK OF CAN | 031 | XLF | SS | 100,000 | 27.61 | n/a | n/a | 4,000.00 | 4.0 |
| NATIONAL BK OF CAN | 031 | XLF | S | 50,000 | 27.76 | n/a | n/a | 2,000.00 | 4.0 |
| GAULT | 063 | XRT | S | 1,000 | 32.85 | n/a | n/a | 0.00 | 0.0 |
| COUGAR TRADING | 044 | ZQK | S | 5,000 | 8.71 | 23-Jan | 23-Jan | 250.00 | 5.0 |
| TOTAL (Trade Date) : | | | | | | | | 209,804.10 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------|--------------|-------------------------------------|------------|------------|----------|------------|--------------|--------------|---------------|-------------|------------|
| AO,CXL | 01/22 | DAVIDSON KEMPNER ADVISOR (DAVIBEAR) | 040 | DAL | S | 319 | 15.04 | n/a | n/a | 15.95 | 5.0 |
| AO,CRT | 01/22 | DAVIDSON KEMPNER ADVISOR (DAVIGS) | 040 | DAL | S | 319 | 15.04 | n/a | n/a | 15.95 | 5.0 |
| AO, | 01/23 | DAVIDSON KEMPNER ADVISOR (DAVIBEAR) | 040 | DAL | S | 15,800 | 15.00 | n/a | n/a | 790.00 | 5.0 |
| AO,CRT | 01/23 | EMP ERROR (EMP ERROR) | 099 | EL | C | 100 | 41.09 | 4-Jan | 4-Jan | 0.00 | 0.0 |
| AO,CXL | 01/23 | MCCARTAN (MCCARTAN) | 028 | EL | C | 100 | 41.09 | 4-Jan | 4-Jan | 0.00 | 0.0 |
| AO,CXL | 01/23 | ENTRUST CAPITAL (ENTRMORGAN) | 040 | ETN | B | 6,600 | 79.41 | 22-Jan | 22-Jan | 330.00 | 5.0 |
| AO,CRT | 01/23 | ENTRUST CAPITAL (ENTRMORGAN) | 040 | ETN | B | 7,100 | 79.41 | 22-Jan | 22-Jan | 355.00 | 5.0 |
| AO,CXL | 01/23 | ENTRUST CAPITAL (ENTRGOLDMA) | 040 | ETN | B | 6,900 | 79.41 | 22-Jan | 22-Jan | 345.00 | 5.0 |
| AO,CRT | 01/23 | ENTRUST CAPITAL (ENTRGOLDMA) | 040 | ETN | B | 7,000 | 79.41 | 22-Jan | 22-Jan | 350.00 | 5.0 |
| AO,CXL | 01/23 | ENTRUST CAPITAL (ENTRBANC O) | 040 | ETN | B | 6,500 | 79.41 | 22-Jan | 22-Jan | 325.00 | 5.0 |
| AO,CRT | 01/23 | ENTRUST CAPITAL (ENTRBANC O) | 040 | ETN | B | 5,900 | 79.41 | 22-Jan | 22-Jan | 295.00 | 5.0 |
| AO,CRT | 01/23 | SAC TRADING HOWARD (SACHGS) | 063 | FNF | SS | 100,000 | 15.50 | n/a | n/a | 5000.00 | 5.0 |
| AO,CXL | 01/23 | SAC TRADING/BILLY (SACBMORGAN) | 063 | FNF | SS | 100,000 | 15.50 | n/a | n/a | 5000.00 | 5.0 |
| AO,CXL | 01/23 | BLUE HARBOR (BLUHGOLDMA) | 036 | GYMB | S | 7,500 | 35.07 | 10-Aug | 11-Jan | 300.00 | 4.0 |
| AO,CRT | 01/23 | ROARING BLUE LION MGMT (ROAR4CENTS) | 012 | GYMB | S | 7,500 | 35.07 | 10-Aug | 11-Jan | 300.00 | 4.0 |
| AO,CRT | 01/23 | EMP ERROR (EMP ERROR) | 099 | M | B | 500 | 24.70 | 4-Jan | 11-Jan | 0.00 | 0.0 |
| AO,CXL | 01/23 | MCERLEAN (MCERLEAN) | RR2 | M | B | 500 | 24.70 | 4-Jan | 11-Jan | 0.00 | 0.0 |
| AO,CRT | 01/23 | EMP ERROR (EMP ERROR) | 099 | M | S | 500 | 24.43 | 4-Jan | 11-Jan | 0.00 | 0.0 |
| AO,CXL | 01/23 | MCERLEAN (MCERLEAN) | RR2 | M | S | 500 | 24.43 | 4-Jan | 11-Jan | 0.00 | 0.0 |
| AO,CRT | 01/22 | N STRATTON (N STRATTON) | 014 | MGM | S | 99 | 68.75 | n/a | 9-Jan | 0.00 | 0.0 |
| AO,CXL | 01/22 | N STRATTON (N STRATTON) | 014 | MGM | S | 99 | 68.75 | n/a | 9-Jan | 0.00 | 0.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | ¢/Shr. |
|-------------------------|-------|-------------------------------------|------|--------|-----|--------|-------|--------|------------|----------|--------|
| AO,CRT | 01/22 | N STRATTON (N STRATTON) | 014 | MGM | S | 99 | 68.75 | n/a | 9-Jan | 0.00 | 0.0 |
| AO,CXL | 01/22 | N STRATTON (N STRATTON) | 014 | MGM | S | 99 | 68.75 | n/a | 9-Jan | 0.00 | 0.0 |
| AO,CXL | 01/23 | SONAR CAP MGMT (SONAMORGAN) | 039 | NOK | B | 75,000 | 31.56 | n/a | n/a | 3750.00 | 5.0 |
| AO,CRT | 01/23 | SONAR CAP MGMT (SONAMORGAN) | 039 | NOK | B | 75,000 | 31.56 | n/a | n/a | 3000.00 | 4.0 |
| AO, | 01/23 | LISTED ERR (LISTED ERR) | 099 | SWN | S | 1,600 | 50.82 | 14-Jan | 14-Jan | 0.00 | 0.0 |
| CRT | 01/24 | BALYASNY ASSET MGMT (BALY) | 044 | TLB | SS | 50,000 | 7.30 | n/a | 7-Jan | 2000.00 | 4.0 |
| AO, | 01/23 | GOLDMAN SACHS ASSET MGMT (GSAM1545) | 044 | UAPH | S | 38,827 | 38.26 | n/a | n/a | 1164.81 | 3.0 |
| AO, | 01/23 | GOLDMAN SACHS ASSET MGMT (GSAM2772) | 044 | UAPH | S | 43,176 | 38.26 | n/a | n/a | 1295.28 | 3.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 4,500.09 | |
| | | | | | | | | | | | |
| | | | | | | | | | | | |
| TOTAL (Trade Date) : | | | | | | | | | 209,804.10 | | |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | 4,500.09 | | |
| | | | | | | | | | | | |
| TOTAL (RUN DATE) / NFS: | | | | | | | | | 214,304.19 | | |

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