



Daily Compliance Activity Report

Trade Date: 11/13/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|----------|------------|--------------|--------------|---------------|--------------|------------|
| SYSTEMATIC FINANCIAL MGT | 035 | AAP | B | 45,300 | 35.41 | n/a | n/a | 1,698.75 | 3.8 |
| BALYASNY ASSET MGMT | 044 | ABG | S | 5,000 | 17.97 | 31-Oct | 2-Nov | 250.00 | 5.0 |
| PILOT ADV | 038 | ACE | B | 18,700 | 59.06 | n/a | n/a | 748.00 | 4.0 |
| GALLEON MGMT LP | 033 | ADM | S | 5,000 | 37.00 | n/a | 12-Nov | 250.00 | 5.0 |
| COUGAR TRADING | 044 | AEO | S | 15,000 | 22.92 | 9-Nov | 12-Nov | 750.00 | 5.0 |
| SIGMA CAPITAL ASSOCIATES | 237 | AGN | B | 20,000 | 65.06 | 9-Oct | 13-Nov | 1,000.00 | 5.0 |
| MTB INV ADV | 034 | ANF | B | 6,500 | 78.21 | 2-Oct | 12-Nov | 325.00 | 5.0 |
| THE JAY GOLDMAN | 034 | ANF | S | 20,000 | 78.60 | 2-Oct | 12-Nov | 800.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | ANN | B | 37,500 | 32.69 | 6-Aug | 12-Nov | 1,875.00 | 5.0 |
| MATTHES CAPITAL MGMT | 033 | ANN | B | 30,000 | 32.35 | 6-Aug | 12-Nov | 1,200.00 | 4.0 |
| PECONIC PARTNERS | 036 | ANN | C | 101,100 | 32.53 | 6-Aug | 12-Nov | 5,055.00 | 5.0 |
| OGORMAN | 046 | AN | C | 800 | 17.10 | n/a | 25-Oct | 0.00 | 0.0 |
| COLE | N24 | AOB | S | 400 | 11.69 | n/a | n/a | 0.00 | 0.0 |
| STERLING JOHNSTON | 035 | ARG | S | 7,800 | 47.38 | 5-Oct | 25-Oct | 390.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | ARO | S | 80,000 | 25.64 | 9-Nov | 12-Nov | 4,000.00 | 5.0 |
| GAULT | 063 | AXE | B | 500 | 65.48 | 9-Oct | 23-Oct | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|-----------|---------------|--------------|--------------|---------------|-----------------|------------|
| SUNOVA CAPITAL | 031 | BEN | B | 75,000 | 122.20 | 25-Sep | 8-Nov | 3,750.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | BJ | B | 30,000 | 35.22 | n/a | 27-Jul | 1,200.00 | 4.0 |
| VISIUM/BALY HOWARD | 038 | BONT | S | 20,000 | 14.55 | 9-Nov | 12-Nov | 1,000.00 | 5.0 |
| ROSENBERG | 034 | BONT | S | 200 | 14.59 | 9-Nov | 12-Nov | 0.00 | 0.0 |
| SLS CAPITAL LLC | 224 | BSC | B | 166,000 | 98.71 | 4-Sep | 8-Nov | 6,640.00 | 4.0 |
| STRAUSS ASSET MGMT | 040 | CADA | B | 1,900 | 40.02 | n/a | n/a | 95.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | CCE | SS | 10,000 | 25.48 | n/a | n/a | 400.00 | 4.0 |
| ROTHSCHILD ASSET | 040 | CCE | B | 62,960 | 25.28 | n/a | n/a | 2,833.20 | 4.5 |
| STADIA CAPITAL | 035 | CC | B | 49,900 | 6.73 | n/a | 27-Jul | 1,996.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | CEC | SS | 10,000 | 29.97 | n/a | n/a | 400.00 | 4.0 |
| AMATURO | 018 | CHCG | B | 3,000 | 3.67 | n/a | n/a | 0.00 | 0.0 |
| WHEELER | 008 | CHP | B | 10,000 | 4.54 | n/a | n/a | 0.00 | 0.0 |
| NORTHPOINT | 030 | CLWR | B | 300 | 13.44 | n/a | n/a | 12.00 | 4.0 |
| MS PRINCIPAL STRATEGIES | 041 | CMGB | S | 25,000 | 108.83 | n/a | n/a | 1,250.00 | 5.0 |
| COUGAR TRADING | 044 | COH | B | 15,000 | 34.67 | 24-Oct | 24-Oct | 750.00 | 5.0 |
| MTB INV ADV | 034 | COH | B | 15,000 | 34.37 | 24-Oct | 24-Oct | 750.00 | 5.0 |
| LOCUS WOOD CAPITAL MGMT | 044 | CPLP | S | 29,516 | 23.14 | n/a | n/a | 1,180.64 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|--------------|-----------|---------------|--------------|------------|---------------|---------------|------------|
| GALLEON MGMT LP | 033 | CROX | S | 5,000 | 38.83 | n/a | n/a | 250.00 | 5.0 |
| DEEPHAVEN | 031 | CSCO | B | 20,000 | 29.72 | n/a | 22-Mar | 1,000.00 | 5.0 |
| DELTEC ASSET MGMT. | 040 | C | B | 24,200 | 35.79 | 5-Nov | 8-Nov | 1,210.00 | 5.0 |
| AMATURO | 018 | DAWXD | S | 50 | 3.77 | n/a | n/a | 0.00 | 0.0 |
| GALLEON MGMT LP | 033 | DF | SS | 10,000 | 25.57 | n/a | n/a | 500.00 | 5.0 |
| NORTHPOINT | 030 | DIVX | B | 5,560 | 19.15 | n/a | n/a | 222.40 | 4.0 |
| STERLING JOHNSTON | 035 | DKS | B | 30,500 | 29.20 | n/a | 26-Oct | 1,525.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | DRI | SS | 10,000 | 40.92 | n/a | 24-Apr | 400.00 | 4.0 |
| DEEPHAVEN | 031 | DTV | B | 20,000 | 24.67 | 21-Sep | 12-Nov | 1,000.00 | 5.0 |
| EPOCH INV MGMT | 030 | DUF | B | 21,850 | 17.81 | n/a | n/a | 874.00 | 4.0 |
| CAPITAL GROWTH MGMT. | 241 | DVN | S | 28,100 | 83.03 | 22-Oct | 13-Nov | 1,405.00 | 5.0 |
| LEDDY | 035 | EFT | B | 800 | 15.75 | n/a | n/a | 0.00 | 0.0 |
| LEVIN CAPITAL STRATEGIES | 012 | EL | B | 10,000 | 44.22 | 25-Oct | 25-Oct | 400.00 | 4.0 |
| PRINCIPLE CAPITAL | 040 | FDO | B | 13,700 | 24.77 | 5-Nov | 9-Nov | 411.00 | 3.0 |
| COUGAR TRADING | 044 | FL | B | 20,000 | 14.71 | 22-Aug | 5-Nov | 1,000.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| PRINCIPLE CAPITAL | 040 | FOSL | SS | 100,000 | 39.79 | 13-Nov | 13-Nov | 3,000.00 | 3.0 |
| REINHART & MAHONEY | 031 | FSP | S | 1,528 | 15.09 | n/a | n/a | 76.40 | 5.0 |
| CAPITAL GROWTH MGMT. | 241 | FTI | S | 41,900 | 52.99 | n/a | n/a | 2,095.00 | 5.0 |
| MERRILL LYNCH STRATEGICI | 034 | FTI | B | 10,000 | 52.86 | n/a | n/a | 500.00 | 5.0 |
| MORGAN LEWIS/MLH | 046 | F | B | 20,000 | 7.92 | n/a | 9-Nov | 1,000.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | GES | B | 10,000 | 46.62 | n/a | n/a | 400.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | GIL | B | 4,600 | 40.01 | 5-Nov | 5-Nov | 184.00 | 4.0 |
| CASTLE ARK | 031 | GIL | S | 60,000 | 40.14 | 5-Nov | 5-Nov | 3,600.00 | 6.0 |
| JPMSI/TOM LEDDY | 035 | GIL | B | 10,000 | 40.13 | 5-Nov | 5-Nov | 500.00 | 5.0 |
| STADIA CAPITAL | 035 | GM | B | 44,400 | 31.59 | n/a | 8-Nov | 1,776.00 | 4.0 |
| APEX CAPITAL MGMT. | 091 | GPS | SS | 50,000 | 20.40 | n/a | 12-Nov | 2,500.00 | 5.0 |
| COUGAR TRADING | 044 | GPS | B | 10,000 | 20.40 | n/a | 12-Nov | 500.00 | 5.0 |
| AMATURO | 018 | GSI | S | 1,000 | 12.00 | n/a | n/a | 0.00 | 0.0 |
| MATTHES CAPITAL MGMT | 033 | HBI | SS | 10,000 | 31.42 | n/a | n/a | 400.00 | 4.0 |
| CAPITAL GROWTH MGMT. | 241 | HES | S | 29,900 | 65.14 | n/a | n/a | 1,495.00 | 5.0 |
| BAIRD INVESTMENT | 031 | HON | B | 12,975 | 57.77 | 9-Oct | 19-Oct | 648.75 | 5.0 |
| JACOB | 068 | IBN | S | 225 | 63.39 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------|------|--------|-----|-----------|--------|--------|----------|--------------|-----|
| BUCK CAPITAL MGMT | 001 | IHP | SS | 10,000 | 58.70 | n/a | n/a | 400.00 | 4.0 |
| NORTHPOINT | 030 | IMCL | B | 100 | 43.55 | n/a | n/a | 4.00 | 4.0 |
| JENNISON | 032 | INTC | S | 1,325,000 | 25.63 | n/a | n/a | 53,000.00 | 4.0 |
| NORTHPOINT | 030 | ISRG | S | 3,140 | 265.62 | n/a | n/a | 125.60 | 4.0 |
| COUGAR TRADING | 044 | JCG | S | 9,394 | 39.11 | 24-Oct | 24-Oct | 469.70 | 5.0 |
| COUGAR TRADING | 044 | JCP | S | 5,000 | 47.46 | 9-Nov | 12-Nov | 250.00 | 5.0 |
| DELTEC ASSET MGMT. | 040 | JCP | B | 10,000 | 48.09 | 9-Nov | 12-Nov | 500.00 | 5.0 |
| APEX CAPITAL MGMT. | 091 | JWN | B | 23,300 | 34.52 | 12-Oct | 12-Nov | 1,165.00 | 5.0 |
| APEX CAPITAL MGMT. | 091 | JWN | S | 1,700 | 34.52 | 12-Oct | 12-Nov | 85.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | JWN | B | 20,000 | 34.40 | 12-Oct | 12-Nov | 800.00 | 4.0 |
| COUGAR TRADING | 044 | JWN | B | 5,000 | 34.32 | 12-Oct | 12-Nov | 250.00 | 5.0 |
| LUCHANSKY | 036 | JWN | B | 200 | 34.73 | 12-Oct | 12-Nov | 0.00 | 0.0 |
| REINHART & MAHONEY | 031 | KAMN | S | 6,600 | 33.61 | n/a | n/a | 330.00 | 5.0 |
| OGORMAN | 046 | KEG | S | 400 | 13.87 | 29-Oct | 9-Nov | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | KSS | S | 100,000 | 50.75 | 9-Nov | 12-Nov | 4,000.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | KWD | B | 70,000 | 17.78 | n/a | n/a | 2,800.00 | 4.0 |
| PRINCIPLE CAPITAL | 040 | LIZ | B | 100,000 | 27.52 | n/a | 31-Oct | 3,000.00 | 3.0 |
| SARAS CAPITAL | 038 | LM | S | 45,000 | 73.96 | 13-Nov | 13-Nov | 2,250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| SUNOVA CAPITAL | 031 | LM | B | 25,000 | 74.16 | 13-Nov | 13-Nov | 1,250.00 | 5.0 |
| TRIVIUM CAP MGMT | 251 | LSCC | B | 75,000 | 3.76 | n/a | n/a | 3,000.00 | 4.0 |
| BULL PATH CAPITAL | 044 | LTD | S | 55,000 | 20.03 | n/a | 13-Nov | 2,750.00 | 5.0 |
| MS PRINCIPAL STRATEGIES | 041 | MAR | S | 12,900 | 37.05 | n/a | n/a | 645.00 | 5.0 |
| SAGE ASSET MGMT | 012 | MBI | B | 90,000 | 36.83 | n/a | n/a | 4,500.00 | 5.0 |
| MANNING & NAPIER | 034 | MCCC | B | 146,350 | 4.79 | 7-Nov | 7-Nov | 4,390.50 | 3.0 |
| COLE | N24 | MCCC | B | 1,000 | 4.62 | 7-Nov | 7-Nov | 0.00 | 0.0 |
| CAPITAL GROWTH MGMT. | 241 | MCD | B | 257,600 | 57.08 | n/a | 24-Apr | 12,880.00 | 5.0 |
| NORTHPOINT | 030 | MDU | B | 200 | 26.97 | n/a | n/a | 8.00 | 4.0 |
| LEDDY | 035 | MIR | B | 400 | 36.79 | n/a | n/a | 0.00 | 0.0 |
| AMATURO | 018 | MPCL | B | 2,000 | 14.00 | n/a | n/a | 0.00 | 0.0 |
| NORTHPOINT | 030 | MRX | B | 200 | 27.88 | n/a | n/a | 8.00 | 4.0 |
| WHITE PINE CAPITAL | 030 | MTG | B | 21,000 | 22.76 | n/a | n/a | 1,050.00 | 5.0 |
| CAPITAL GROWTH MGMT. | 241 | MUR | S | 26,900 | 69.15 | n/a | n/a | 1,345.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | M | B | 20,000 | 30.07 | 9-Nov | 12-Nov | 1,000.00 | 5.0 |
| IRON HORSE CAPITAL MGMT | 038 | M | S | 10,000 | 30.68 | 9-Nov | 12-Nov | 500.00 | 5.0 |
| VISIUM/BALY HOWARD | 038 | M | B | 20,000 | 30.70 | 9-Nov | 12-Nov | 1,000.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|--------|--------|----------|-------------|-----|
| CAPITAL GROWTH MGMT. | 241 | NOV | S | 47,100 | 63.92 | n/a | n/a | 2,355.00 | 5.0 |
| Õ Glenn Redemann | | NTES | B | 12 | 0.1300 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | NTES | B | 12 | 0.2600 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | NTES | SS | 8 | 0.5000 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | NTES | SS | 8 | 0.7900 | n/a | n/a | 0.00 | 0.0 |
| DEEPHAVEN | 031 | NWSA | B | 100,000 | 20.90 | n/a | n/a | 5,000.00 | 5.0 |
| COUGAR TRADING | 044 | NWY | S | 20,000 | 7.94 | n/a | 12-Nov | 1,000.00 | 5.0 |
| OPPENHEIMER MGMT. | 036 | OMX | B | 17,700 | 26.47 | n/a | 15-Apr | 708.00 | 4.0 |
| NORTHPOINT | 030 | PBCT | B | 9,100 | 16.66 | n/a | n/a | 364.00 | 4.0 |
| MTB INV ADV | 034 | PLCE | B | 34,665 | 26.56 | 26-Sep | 12-Nov | 1,733.25 | 5.0 |
| MERRILL LYNCH STRATEGICI | 034 | PLD | B | 40,000 | 69.39 | n/a | n/a | 2,400.00 | 6.0 |
| NORTHPOINT | 030 | PPDI | B | 200 | 41.04 | n/a | n/a | 8.00 | 4.0 |
| LISTED ERR | 099 | PRX | B | 50 | 17.88 | 28-Sep | 12-Nov | 0.00 | 0.0 |
| NORTHPOINT | 030 | PSYS | B | 200 | 38.83 | n/a | n/a | 8.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | PTT | S | 5,000 | 10.22 | n/a | n/a | 200.00 | 4.0 |
| JPMSI/TOM LEDDY | 035 | PVH | S | 20,000 | 44.26 | 13-Aug | 29-Aug | 1,000.00 | 5.0 |
| ZOLIDIS | 011 | PXG | B | 2,500 | 2.15 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|------|--------|-----|---------|-------|-------|----------|-------------|-----|
| OGORMAN | 046 | PXG | B | 845 | 2.15 | n/a | n/a | 0.00 | 0.0 |
| NOLAN | 067 | PXG | B | 100 | 2.34 | n/a | n/a | 0.00 | 0.0 |
| GALLEON MGMT LP | 033 | QQQQ | SS | 10,000 | 50.05 | n/a | n/a | 500.00 | 5.0 |
| FIRST NEW YORK LEDDY | 035 | Q | S | 5,000 | 6.50 | n/a | n/a | 300.00 | 6.0 |
| NORTHPOINT | 030 | REXX | B | 8,498 | 9.50 | n/a | n/a | 254.94 | 3.0 |
| COUGAR TRADING | 044 | RL | B | 5,000 | 72.18 | 8-Nov | 8-Nov | 250.00 | 5.0 |
| IRON HORSE CAPITAL MGMT | 038 | RL | B | 8,400 | 71.79 | 8-Nov | 8-Nov | 420.00 | 5.0 |
| STERLING JOHNSTON | 035 | RL | B | 12,250 | 71.81 | 8-Nov | 8-Nov | 612.50 | 5.0 |
| REINHART & MAHONEY | 031 | SALM | S | 6,100 | 7.93 | n/a | n/a | 305.00 | 5.0 |
| APEX CAPITAL MGMT. | 091 | SBUX | B | 150,000 | 23.57 | n/a | 24-Apr | 7,500.00 | 5.0 |
| OGORMAN | 046 | SKF | S | 100 | 93.26 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | SKS | B | 20,000 | 20.90 | n/a | n/a | 800.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | SKX | S | 30,000 | 21.60 | n/a | 13-Mar | 1,200.00 | 4.0 |
| VISIUM/BALY HOWARD | 038 | SKX | B | 15,000 | 21.40 | n/a | 13-Mar | 750.00 | 5.0 |
| CAPITAL GROWTH MGMT. | 241 | SLB | S | 28,200 | 91.48 | n/a | n/a | 1,410.00 | 5.0 |
| CAPITAL GROWTH MGMT. | 241 | STLD | S | 52,600 | 46.44 | n/a | n/a | 2,630.00 | 5.0 |
| DEEPHAVEN | 031 | S | B | 31,000 | 15.85 | n/a | n/a | 1,550.00 | 5.0 |
| MTB INV ADV | 034 | TGT | B | 12,000 | 58.73 | n/a | 27-Jul | 600.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|-----------|---------------|---------------|---------------|---------------|-----------------|------------|
| WAGONHOUND | 048 | TIF | B | 10,300 | 46.69 | 18-Oct | 18-Oct | 412.00 | 4.0 |
| XYLEM GLOBAL | 091 | TIN | S | 20,000 | 47.85 | 9-Nov | 9-Nov | 1,000.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | TJX | S | 40,000 | 30.40 | 21-Sep | 12-Nov | 1,600.00 | 4.0 |
| BAIRD INVESTMENT | 031 | TROW | B | 11,050 | 61.81 | 19-Oct | 23-Oct | 552.50 | 5.0 |
| NEUBERGER BERMAN | 036 | TSN | S | 142,900 | 15.01 | n/a | n/a | 7,145.00 | 5.0 |
| Õ Glenn Redemann | | TSRA | B | 6 | 0.3200 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | TSRA | B | 6 | 0.4200 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | TSRA | SS | 4 | 1.1000 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | TSRA | SS | 4 | 1.2900 | n/a | n/a | 0.00 | 0.0 |
| WASHINGTON ASSET | 048 | TTEK | S | 13,875 | 22.25 | n/a | n/a | 693.75 | 5.0 |
| CAPITAL GROWTH MGMT. | 241 | TXT | S | 37,600 | 66.05 | n/a | n/a | 1,880.00 | 5.0 |
| NORTHPOINT | 030 | UHCO | B | 200 | 24.70 | n/a | n/a | 8.00 | 4.0 |
| REINHART & MAHONEY | 031 | USM | S | 4,400 | 85.03 | n/a | n/a | 220.00 | 5.0 |
| FIRST NY SEC/CHRIS | 041 | VC | B | 25,000 | 5.09 | n/a | 1-Nov | 1,000.00 | 4.0 |
| LEDDY | 035 | VC | B | 3,000 | 5.04 | n/a | 1-Nov | 0.00 | 0.0 |
| MERRILL ASSET | 032 | VQ | S | 6,800 | 20.12 | n/a | n/a | 306.00 | 4.5 |
| Õ Alice Longley | | VRAZ | S | 1500 | 5.5100 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------|--------|-----|---------|-------|--------|----------|-------------------|-----|
| BARROW HANLEY MEWHINNEY | 031 | VRX | S | 122,000 | 11.05 | n/a | n/a | 4,880.00 | 4.0 |
| FARALLON CAP MGMT | 040 | VZ | SS | 230,000 | 43.21 | 21-Sep | 12-Nov | 9,200.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | WDR | B | 20,000 | 33.42 | 6-Nov | 6-Nov | 1,000.00 | 5.0 |
| CAPITAL GROWTH MGMT. | 241 | WFR | S | 30,800 | 70.34 | n/a | n/a | 1,540.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | WMT | B | 70,000 | 45.72 | n/a | 27-Jul | 2,800.00 | 4.0 |
| XYLEM GLOBAL | 091 | WY | S | 8,300 | 74.00 | 1-Nov | 1-Nov | 415.00 | 5.0 |
| LEDDY | 035 | XOHO | S | 2,600 | 2.86 | n/a | n/a | 0.00 | 0.0 |
| CASTLE ARK | 031 | XOM | S | 114,470 | 83.71 | n/a | n/a | 6,868.20 | 6.0 |
| REINHART & MAHONEY | 031 | YDNT | S | 5,376 | 23.13 | n/a | n/a | 268.80 | 5.0 |
| DEEPHAVEN | 031 | YHOO | B | 60,000 | 25.77 | n/a | n/a | 3,000.00 | 5.0 |
| RAINIER INV MGMT | 035 | ZMH | S | 71,615 | 67.19 | n/a | n/a | 3,580.75 | 5.0 |
| BUCK CAPITAL MGMT | 001 | ZQK | S | 49 | 12.09 | n/a | 31-Oct | 1.96 | 4.0 |
| TOTAL (Trade Date): | | | | | | | | 255,457.59 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------------|--------------|--|------------|-------------|-----------|----------------|--------------|---------------|---------------|--------------------|
| AO,CXL | 11/12 | MERRILL LYNCH STRATEGICI (MLSIMERRIL) | 034 | BJS | B | 25,000 | 24.64 | n/a | n/a | 1250.00 5.0 |
| AO,CRT | 11/12 | MERRILL LYNCH STRATEGICI (MLSIMERRIL) | 034 | BJS | B | 25,000 | 24.64 | n/a | n/a | 1000.00 4.0 |
| AO,CXL | 11/09 | MERRILL LYNCH STRATEGICI (MLSIMERRIL) | 034 | CVX | B | 25,000 | 87.98 | n/a | n/a | 1250.00 5.0 |
| AO,CRT | 11/09 | MERRILL LYNCH STRATEGICI (MLSIMERRIL) | 034 | CVX | B | 25,000 | 87.98 | n/a | n/a | 1500.00 6.0 |
| AO,CXL | 11/12 | MERRILL LYNCH STRATEGICI (MLSIMERRIL) | 034 | DD | B | 51,000 | 47.43 | n/a | 23-Oct | 0.00 0.0 |
| AO,CXL | 11/09 | MERRILL LYNCH STRATEGICI (MLSIMERRIL) | 034 | DIS | SS | 20,000 | 32.76 | n/a | n/a | 1000.00 5.0 |
| AO,CRT | 11/09 | MERRILL LYNCH STRATEGICI (MLSIMERRIL) | 034 | DIS | SS | 20,000 | 32.76 | n/a | n/a | 800.00 4.0 |
| AO,CXL | 11/09 | MERRILL LYNCH STRATEGICI (MLSIMERRIL) | 034 | GLW | S | 100,000 | 21.75 | n/a | 24-Oct | 5000.00 5.0 |
| AO,CRT | 11/09 | MERRILL LYNCH STRATEGICI (MLSIMERRIL) | 034 | GLW | S | 100,000 | 21.75 | n/a | 24-Oct | 4000.00 4.0 |
| CRT | 11/13 | APEX CAPITAL MGMT. (APEXUBS) | 091 | GPS | SS | 50,000 | 20.40 | n/a | 12-Nov | 2500.00 5.0 |
| CRT | 11/13 | APEX CAPITAL MGMT. (APEXMORGAN) | 091 | JWN | B | 23,300 | 34.52 | 12-Oct | 12-Nov | 1165.00 5.0 |
| AO, | 11/12 | GALLEON MGMT LP (GALLUBS.05) | 033 | LAZ | B | 40,000 | 45.66 | n/a | n/a | 2000.00 5.0 |
| AO,CXL | 11/06 | BANK OF NEW YORK (BONYMAIN A) | 040 | NVS | S | 12,775 | 52.70 | n/a | n/a | 638.75 5.0 |
| AO,CRT | 11/06 | BANK OF NEW YORK (BONYMAIN A) | 040 | NVS | S | 12,775 | 52.70 | n/a | n/a | 574.88 4.5 |
| AO,CRT | 11/09 | ROARING BLUE LION MGMT (ROAR4CENTS) | 012 | PLCE | B | 36,000 | 24.64 | 26-Sep | 12-Nov | 1440.00 4.0 |
| AO,CXL | 11/09 | ROARING BLUE LION MGMT (ROAR4CENTS) | 036 | PLCE | B | 36,000 | 24.64 | 26-Sep | 12-Nov | 1440.00 4.0 |
| AO, | 11/06 | LISTED ERR (LISTED ERR) | 099 | PRX | S | 50 | 17.07 | 28-Sep | 12-Nov | 0.00 0.0 |
| AO,CXL | 11/06 | ROTHSCHILD ASSET (ROTH370) | 040 | PRX | S | 652 | 17.07 | 28-Sep | 12-Nov | 29.34 4.5 |
| AO, | 11/06 | ROTHSCHILD ASSET (ROTH370) | 040 | PRX | S | 602 | 17.07 | 28-Sep | 12-Nov | 27.09 4.5 |
| CRT | 11/13 | APEX CAPITAL MGMT. (APEXMORGAN) | 091 | SBUX | B | 135,000 | 23.57 | n/a | 24-Apr | 6750.00 5.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------------------------------|-------|--------------------------------------|------|--------|-----|--------|-------|-----|----------|-------------------|
| AO,CRT | 11/07 | PROSPECTOR PARTNERS LLC (PROSPCAP) | 036 | TR | B | 800 | 23.75 | n/a | n/a | 32.00 4.0 |
| AO,CXL | 11/07 | PROSPECTOR PARTNERS LLC (PROSPENSIO) | 036 | TR | B | 800 | 23.75 | n/a | n/a | 32.00 4.0 |
| AO,CXL | 11/09 | LEHMAN PROPRIETARY TRAD (LEHMFLI.04) | 041 | YSI | B | 80,000 | 10.72 | n/a | n/a | 4000.00 5.0 |
| AO,CRT | 11/09 | LEHMAN PROPRIETARY TRAD (LEHMFLI.04) | 041 | YSI | B | 80,000 | 10.72 | n/a | n/a | 3200.00 4.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 10,348.88 |
| TOTAL (Trade Date): | | | | | | | | | | 255,457.59 |
| TOTAL (AO, CXL, CRT): | | | | | | | | | | 10,348.88 |
| TOTAL (RUN DATE) / NFS: | | | | | | | | | | 265,806.47 |

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