

## **Daily Compliance Activity Report** Trade Date: 02/20/2007

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

					10	1 11 11 11 11 1	MAZILIOI	TRIBL VIOLATIONS.		
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
BUCK CAPITAL MGMT	001	ANF	В	30,000	82.56	2-Feb	16-Feb	1,200.00	4.0	
LUCID PARTNERS	067	AOS	В	10,000	39.69	21-Dec	8-Feb	500.00	5.0	
J L F ASSET MGMT	039	ARO	S	39,000	38.47	23-0ct	9-Feb	1,560.00	4.0	
J L F ASSET MGMT	039	AVP	S	80,600	38.94	7-Feb	7-Feb	3,224.00	4.0	
MISSOURI VALLEY PART	046	BBW BBW	S S	38,700 25,000	27.41	8-Jan	12-Feb	1,935.00	5.0	
THIRD COAST CAPITAL	035	BBW	5	25 <b>,</b> 000	26.79	8-Jan	12-Feb	1,250.00	5.0	
WHITE PINE CAPITAL	030	BBY	В	400	50.72	13-Dec	10-Jan	20.00	5.0	
ZOLIDIS	011	BOOT	S	500	15.25	n/a	n/a	0.00	0.0	
BELMONT GLOBAL ADV	248	CBK	В	10,000	20.22	11-Dec	16-Feb	500.00	5.0	
WHITE PINE CAPITAL	030	CERN	В	200	53.20	n/a	n/a	10.00	5.0	
GAULT	063	CHSCE	В	50	0.25	n/a	n/a	0.00	0.0	
WHITE PINE CAPITAL	030	CL	В	400	68.93	31-Jan	31-Jan	20.00	5.0	
WHITE PINE CAPITAL	030	COF	В	200	82.27	n/a	n/a	10.00	5.0	
BUCK CAPITAL MGMT	001	СОН	s	10,000	50.81	24-Jan	24-Jan	400.00	4.0	
CENTURION PARTNERS	249	СОН	В	25,000	50.86	24-Jan	24-Jan	1,250.00	5.0	

Account	RR #	Symbol	B/S	Share	s Price	MRI	Research	Comm.	\$/Shr.	
WHITE PINE CAPITAL	030	CRI	В	400	22.88	n/a	n/a	20.00	5.0	
ZOLIDIS	011	CROX	S	ss 50	55.26	n/a	n/a	0.00	0.0	
DELTEC ASSET MGMT.	040	DHI	S	5,000	28.61	n/a	n/a	250.00	5.0	
ROTHSCHILD ASSET	040	DJO	S	10,390	40.65	n/a	n/a	467.55	4.5	
LEDDY	035	EFT	В	800	19.22	n/a	n/a	0.00	0.0	
DENVER INST. ADV	046	EV	S	100.000	36.13	2-Nov	20-Feb	5,000.00	5.0	
WD PARTNERS ILP	067	EV	В			2-Nov	20-Feb	250.00	5.0	
ROYCE TRADING	216	FBP	В	25,000	11.62	n/a	n/a	1,250.00	5.0	
JP MORGAN VENTURES	046	FDO	S	ss 48,600	30.99	3-Nov	9-Feb	2,430.00	5.0	
BUCK CAPITAL MGMT	001	FD	В	10,000	44.55	26-Jan	16-Feb	400.00	4.0	
CENTURION PARTNERS	249	FD	В	15,000	44.56	26-Jan	16-Feb	750.00	5.0	
GAULT	063	FUACE	s	70	1.95	n/a	n/a	0.00	0.0	
BUCK CAPITAL MGMT	001	GES	S	10,000	86.25	n/a	n/a	400.00	4.0	
SENTINAL CAPITAL	067	GE	S	10,000	36.00	n/a	n/a	500.00	5.0	
WHITE PINE CAPITAL	030	GIS	В	300	57.97	n/a	n/a	15.00	5.0	
WHITE PINE CAPITAL	030	GLBL	В	500	13.29	n/a	n/a	25.00	5.0	
	WHITE PINE CAPITAL  ZOLIDIS  DELTEC ASSET MGMT.  ROTHSCHILD ASSET  LEDDY  DENVER INST. ADV WD PARTNERS ILP  ROYCE TRADING  JP MORGAN VENTURES  BUCK CAPITAL MGMT CENTURION PARTNERS  GAULT  BUCK CAPITAL MGMT  SENTINAL CAPITAL WHITE PINE CAPITAL	WHITE PINE CAPITAL 030  ZOLIDIS 011  DELTEC ASSET MGMT. 040  ROTHSCHILD ASSET 040  LEDDY 035  DENVER INST. ADV 046 WD PARTNERS ILP 067  ROYCE TRADING 216  JP MORGAN VENTURES 046  BUCK CAPITAL MGMT 001 CENTURION PARTNERS 249  GAULT 063  BUCK CAPITAL MGMT 001 SENTINAL CAPITAL 067  WHITE PINE CAPITAL 030	WHITE PINE CAPITAL 030 CRI  ZOLIDIS 011 CROX  DELTEC ASSET MGMT. 040 DHI  ROTHSCHILD ASSET 040 DJO  LEDDY 035 EFT  DENVER INST. ADV 046 EV WD PARTNERS ILP 067 EV  ROYCE TRADING 216 FBP  JP MORGAN VENTURES 046 FDO  BUCK CAPITAL MGMT 001 FD CENTURION PARTNERS 249 FD  GAULT 063 FUACE  BUCK CAPITAL MGMT 001 GES  SENTINAL CAPITAL 007 GE  WHITE PINE CAPITAL 030 GIS	WHITE PINE CAPITAL 030 CRI B  ZOLIDIS 011 CROX S  DELTEC ASSET MGMT. 040 DHI S  ROTHSCHILD ASSET 040 DJO S  LEDDY 035 EFT B  DENVER INST. ADV 046 EV S  WD PARTNERS ILP 067 EV B  ROYCE TRADING 216 FBP B  JP MORGAN VENTURES 046 FDO S  BUCK CAPITAL MGMT 001 FD B  CENTURION PARTNERS 249 FD B  GAULT 063 FUACE S  SENTINAL CAPITAL 067 GE S  WHITE PINE CAPITAL 030 GIS B	### WHITE PINE CAPITAL 030 CRI B 400  #### ZOLIDIS 011 CROX SS 50  ### DELTEC ASSET MGMT. 040 DHI S 5,000  ### ROTHSCHILD ASSET 040 DJO S 10,390  ### LEDDY 035 EFT B 800  ### DENVER INST. ADV 046 EV S 100,000  ### WD PARTNERS ILP 067 EV B 5,000  ### ROYCE TRADING 216 FBP B 25,000  ### JP MORGAN VENTURES 046 FDO SS 48,600  ### BUCK CAPITAL MGMT 001 FD B 15,000  ### GAULT 063 FUACE S 70  ### BUCK CAPITAL MGMT 001 GES S 10,000  ### SENTINAL CAPITAL 067 GE S 10,000  #### WHITE PINE CAPITAL 030 GIS B 300	WHITE PINE CAPITAL 030 CRI B 400 22.88  ZOLIDIS 011 CROX SS 50 55.26  DELTEC ASSET MGMT. 040 DHI S 5,000 28.61  ROTHSCHILD ASSET 040 DJO S 10,390 40.65  LEDDY 035 EFT B 800 19.22  DENVER INST. ADV 046 EV S 100,000 36.13  WD PARTNERS ILP 067 EV B 5,000 36.25  ROYCE TRADING 216 FBP B 25,000 11.62  JP MORGAN VENTURES 046 FDO SS 48,600 30.99  BUCK CAPITAL MGMT 001 FD B 10,000 44.55  CENTURION PARTNERS 249 FD B 15,000 44.56  GAULT 063 FUACE S 70 1.95  BUCK CAPITAL MGMT 001 GES S 10,000 86.25  SENTINAL CAPITAL MGMT 001 GES S 10,000 36.00  WHITE PINE CAPITAL 067 GE S 10,000 36.00	### WHITE PINE CAPITAL	WHITE PINE CAPITAL 030 CRI B 400 22.88 n/a n/a  ZOLIDIS 011 CROX SS 50 55.26 n/a n/a  DELTEC ASSET MGMT. 040 DHI S 5,000 28.61 n/a n/a  ROTHSCHILD ASSET 040 DJO S 10,390 40.65 n/a n/a  LEDDY 035 EFT B 800 19.22 n/a n/a  DENVER INST. ADV 046 EV S 100,000 36.13 2-Nov 20-Feb  WD PARINERS ILP 067 EV B 5,000 36.25 2-Nov 20-Feb  ROYCE TRADING 216 FBP B 25,000 11.62 n/a n/a  JP MORGAN VENTURES 046 FDO SS 48,600 30.99 3-Nov 9-Feb  BUCK CAPITAL MGMT 001 FD B 10,000 44.55 26-Jan 16-Feb  CENTURION PARINERS 249 FD B 15,000 44.56 26-Jan 16-Feb  GAULT 063 FUACE S 70 1.95 n/a n/a  BUCK CAPITAL MGMT 001 GES S 10,000 86.25 n/a n/a  BUCK CAPITAL MGMT 001 GES S 10,000 36.00 n/a n/a  WHITE PINE CAPITAL 007 GIS B 300 57.97 n/a n/a	WHITE PINE CAPITAL 030 CRI B 400 22.88 n/a n/a 20.00  ZOLIDIS 011 CROX SS 50 55.26 n/a n/a 0.00  DELTEC ASSET MGMT. 040 DHI S 5,000 28.61 n/a n/a 250.00  ROTHSCHILD ASSET 040 DJO S 10,390 40.65 n/a n/a 467.55  LEDDY 035 EFT B 800 19.22 n/a n/a 0.00  DENVER INST. ADV 046 EV S 100,000 36.13 2-Nov 20-Feb 5,000.00  WD PARTNERS ILP 067 EV B 5,000 36.25 2-Nov 20-Feb 250.00  ROYCE TRADING 216 FBP B 25,000 11.62 n/a n/a 1,250.00  JP MORGAN VENTURES 046 FDO SS 48,600 30.99 3-Nov 9-Feb 2,430.00  BUCK CAPITAL MGMT 001 FD B 10,000 44.55 26-Jan 16-Feb 750.00  GAULT 063 FUACE S 70 1.95 n/a n/a 0.00  BUCK CAPITAL MGMT 001 GES S 10,000 86.25 n/a n/a 0.00  BUCK CAPITAL MGMT 001 GES S 10,000 86.25 n/a n/a 16-Feb 750.00  BUCK CAPITAL MGMT 001 GES S 10,000 36.00 n/a n/a 500.00  BUCK CAPITAL MGMT 001 GES S 10,000 36.00 n/a n/a 500.00  BUCK CAPITAL MGMT 001 GES S 10,000 36.00 n/a n/a 500.00	WHITE PINE CAPITAL 030 CRI B 400 22.88 n/a n/a 20.00 5.0  ZOLIDIS 011 CROX SS 50 55.26 n/a n/a 0.00 0.0  DELIEC ASSET MGMT. 040 DHI S 5,000 28.61 n/a n/a 250.00 5.0  ROTHSCHILD ASSET 040 DJO S 10,390 40.65 n/a n/a 467.55 4.5  LEDDY 035 EFT B 800 19.22 n/a n/a 0.00 0.0  DENVER INST. ADV 046 EV S 100,000 36.13 2-Nov 20-Feb 250.00 5.0  ROYCE TRADING 216 FBP B 25,000 36.25 2-Nov 20-Feb 250.00 5.0  ROYCE TRADING 216 FBP B 25,000 11.62 n/a n/a 1,250.00 5.0  BUCK CAPITAL MGMT 001 FD B 10,000 44.55 26-Jan 16-Feb 400.00 4.0  CENTURION PARTNERS 249 FD B 15,000 44.56 26-Jan 16-Feb 750.00 5.0  BUCK CAPITAL MGMT 001 GES S 10,000 86.25 n/a n/a 0.00 0.0  BUCK CAPITAL MGMT 001 GES S 10,000 86.25 n/a n/a 0.00 0.0  BUCK CAPITAL MGMT 001 GES S 10,000 86.25 n/a n/a 0.00 0.0  BUCK CAPITAL MGMT 001 GES S 10,000 86.25 n/a n/a 0.00 0.0  BUCK CAPITAL MGMT 001 GES S 10,000 86.25 n/a n/a 0.00 0.0  BUCK CAPITAL MGMT 001 GES S 10,000 86.25 n/a n/a 0.00 0.0  BUCK CAPITAL MGMT 001 GES S 10,000 86.25 n/a n/a 0.00 0.0  BUCK CAPITAL MGMT 010 GES S 10,000 86.25 n/a n/a 0.00 0.0  BUCK CAPITAL MGMT 011 GES S 10,000 86.25 n/a n/a 0.00 0.0  BUCK CAPITAL MGMT 012 GES S 10,000 86.25 n/a n/a 0.00 0.0  BUCK CAPITAL MGMT 013 GES S 10,000 86.25 n/a n/a 0.00 0.0  BUCK CAPITAL MGMT 015 GES S 10,000 86.25 n/a n/a 0.00 0.0  BUCK CAPITAL MGMT 016 GES S 10,000 86.25 n/a n/a 0.00 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GASNER	025	нвр	SS	1,000	5.70	n/a	n/a	0.00	0.0
GAULT	063	нс	В	1,000	22.05	n/a	15-Feb	0.00	0.0
WHITE PINE CAPITAL	030	HON	В	500	48.13	n/a	26-Jan	25.00	5.0
WHITE PINE CAPITAL	030	HRL	В	1,000	37.88	n/a	n/a	50.00	5.0
WHITE PINE CAPITAL	030	HRS	В	500	50.80	31-Jan	31-Jan	25.00	5.0
ROYCE TRADING	216	HZO	В	20,000	22.90	n/a	n/a	1,000.00	5.0
BALYASNY ASSET MGMT	044	IFF	SS	10,000	48.66	30-Jan	5-Feb	500.00	5.0
WHITE PINE CAPITAL	030	IFF	В	800	49.04	30-Jan	5-Feb	40.00	5.0
LEDDY	035	IP	SS	400	37.55	n/a	2-Feb	0.00	0.0
SUTERA	160	ISE	В	1,000	46.80	26-0ct	16-Feb	0.00	0.0
SENTINAL CAPITAL	067	JCI	В	5,000	98.34	16-Feb	16-Feb	250.00	5.0
CENTURION PARTNERS	249	JCP	В	20,000	86.57	10-Nov	16-Feb	1,000.00	5.0
GAULT	063	KOG	S	4,000	4.50	n/a	n/a	0.00	0.0
NICHOLAS ADVISORS	034	KRE	В	2,450	50.92	n/a	n/a	122.50	5.0
WHITE PINE CAPITAL	030	LLY	В	700	54.97	n/a	n/a	35.00	5.0
BUCK CAPITAL MGMT	001	LTD	s	50,000	29.38	5-Jan	16-Feb	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	;/Shr.
STADIA CAPITAL	035	LTD	В	110,000	29.64	5-Jan	16-Feb	4,400.00	4.0
CENTURION PARTNERS	249	LTR	S	10,000	43.97	n/a	n/a	500.00	5.0
WHITE PINE CAPITAL	030	MDT	В	500	54.54	n/a	22-Apr	25.00	5.0
WHITE PINE CAPITAL	030	MHS	В	300	61.56	n/a	n/a	15.00	5.0
WHITE PINE CAPITAL	030	MSFT	В	1,200	28.80	n/a	3-Apr	60.00	5.0
WHITE PINE CAPITAL	030	MWV	В	300	31.93	8-Jan	1-Feb	15.00	5.0
BUCK CAPITAL MGMT	001	NWY	S	10,000	15.85	1-Dec	16-Feb	400.00	4.0
LEDDY	035	OXM	S	125	50.10	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	PEP	В	700	64.58	n/a	n/a	35.00	5.0
BEAR STEARNS ASSET MGMT.	033	PFCB	В	20,100	44.66	n/a	20-Feb	804.00	4.0
WHITE PINE CAPITAL	030	PFE	В	1,400	26.32	n/a	31-Mar	70.00	5.0
DAVIDSON KEMPNER ADVISOR	217	QQQQ	S	s 225,500	44.82	n/a	n/a	11,275.00	5.0
NICHOLAS ADVISORS	034	RKH	S	2,400	166.89	n/a	n/a	120.00	5.0
BUCK CAPITAL MGMT	001	RL	s	s 15,000	88.22	2-Feb	16-Feb	600.00	4.0
BUCK CAPITAL MGMT	001	RL	s	5,000	88.19	2-Feb	16-Feb	200.00	4.0
MAGUIRE	039	RTH	С	100	106.30	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J L F ASSET MGMT	039	SAH	S	15,400	31.31	n/a	n/a	616.00	4.0
ROYCE TRADING	216	SAH	В	25 <b>,</b> 000	31.25	n/a	n/a	1,250.00	5.0
THIRD COAST CAPITAL	035	SAPE	В	15,000	6.54	n/a	n/a	750.00	5.0
IRIDIAN ASSET MGMT.	036	SHPGY	S	7,100	66.29	20-Feb	20-Feb	355.00	5.0
WHITE PINE CAPITAL	030	SRDX	В	400	37.68	n/a	n/a	20.00	5.0
WHITE PINE CAPITAL	030	STA	В	1,000	53.34	n/a	n/a	50.00	5.0
WHITE PINE CAPITAL	030	S	В	600	19.10	n/a	n/a	30.00	5.0
WHEELER	008	TBAC	S	400	13.50	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	TCB	В	400	27.16	n/a	n/a	20.00	5.0
PENN CAPITAL MGMT	033	THC	В	20,750	7.57	n/a	15-Feb	830.00	4.0
MANNING & NAPIER	034	TSCO	В	21,880	49.36	n/a	n/a	875.20	4.0
J L F ASSET MGMT	039	TTC	В	15,400	55.85	n/a	n/a	616.00	4.0
WHITE PINE CAPITAL	030	TUNE	В	3,000	4.72	n/a	n/a	120.00	4.0
THE JAY GOLDMAN	034	TWB	В	20,000	34.85	16-Feb	16-Feb	800.00	4.0
WOOSTER CAPITAL	035	TWB	В	15,000	34.81	16-Feb	16-Feb	750.00	5.0
GAULT	063	UNTCJ	В	25	1.00	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
WHITE PINE CAPITAL	030	VZ	В	400	38.26	22-Dec	12-Feb	20.00	5.0
COUGAR TRADING SEAROCK CAPITAL MANAGE	044	WMT WMT	B B	5,000 100,000	49.92 50.16	n/a n/a	16-Feb	250.00 4,000.00	5.0 4.0
WHITE PINE CAPITAL	030	XOM	В	1,000	74.93	n/a	n/a	50.00	5.0
CHILTON CAPITAL MGMT.	036	XRX	S	200,000	18.07	n/a	n/a	8,000.00	4.0

TOTAL (Trade Date): 66,605.25

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CRT	02/13	PLATTE RIVER CAPITAL (PLATOCARP1)	035	HD	В	1,500	41.44		16-Feb	60.00	4.0
AO,CXL	02/13	PLATTE RIVER CAPITAL (PLATOREGON)	035	HD	В	1,500	41.44	n/a	16-Feb	60.00	4.0
AO,	02/16	LISTED ERR (LISTED ERR)	099	NWY	В	1,000	16.01	1-Dec	16-Feb	0.00	0.0
AO,CXL	02/16	STERLING JOHNSTON (STEL63)	035	NWY	В	10,200	16.01	1-Dec	16-Feb	510.00	5.0
AO,	02/16	STERLING JOHNSTON (STEL63)	035	NWY	В	10,200	16.00	1-Dec	16-Feb	510.00	5.0
AO,CXL	02/16	STERLING JOHNSTON (STEL64)	035	NWY	В	23,900	16.01	1-Dec	16-Feb	1195.00	5.0
AO,	02/16	STERLING JOHNSTON (STEL64)	035	NWY	В	23,900	16.00	1-Dec	16-Feb	1195.00	5.0
AO,CXL	02/16	STERLING JOHNSTON (STEL62)	035	NWY	В	1,400	16.01	1-Dec	16-Feb	70.00	5.0
AO,	02/16	STERLING JOHNSTON (STEL62)	035	NWY	В	1,400	16.00	1-Dec	16-Feb	70.00	5.0
AO,CXL	02/16	STERLING JOHNSTON (STEL61)	035	NWY	В	11,200	16.01	1-Dec	16-Feb	560.00	5.0
AO,	02/16	STERLING JOHNSTON (STEL61)	035	NWY	В	11,200	16.00	1-Dec	16-Feb	560.00	5.0
AO,CXL	02/16	STERLING JOHNSTON (STEL57)	035	NWY	В	7,200	16.01	1-Dec	16-Feb	360.00	5.0
AO,	02/16	STERLING JOHNSTON (STEL57)	035	NWY	В	7,200	16.00	1-Dec	16-Feb	360.00	5.0
AO,CXL	02/16	STERLING JOHNSTON (STEL55)	035	NWY	В	10,900	16.01	1-Dec	16-Feb	545.00	5.0
AO,	02/16	STERLING JOHNSTON (STEL55)	035	NWY	В	10,900	16.00	1-Dec	16-Feb	545.00	5.0
AO,CXL	02/16	STERLING JOHNSTON (STEL51)	035	NWY	В	4,800	16.01	1-Dec	16-Feb	240.00	5.0
AO,	02/16	STERLING JOHNSTON (STEL51)	035	NWY	В	4,800	16.00	1-Dec	16-Feb	240.00	5.0
AO,CXL	02/16	STERLING JOHNSTON (STEL52)	035	NWY	В	6,500	16.01	1-Dec	16-Feb	325.00	5.0
AO,	02/16	STERLING JOHNSTON (STEL52)	035	NWY	В	6,500	16.00	1-Dec	16-Feb	325.00	5.0
AO,CXL	02/16	STERLING JOHNSTON (STEL46)	035	NWY	В	5,200	16.01	1-Dec	16-Feb	260.00	5.0
AO,	02/16	STERLING JOHNSTON (STEL46)	035	NWY	В	5,200	16.00	1-Dec	16-Feb	260.00	5.0
AO,CXL	02/16	STERLING JOHNSTON (STEL39)	035	NWY	В	8,500	16.01	1-Dec	16-Feb	425.00	5.0
AO,	02/16	STERLING JOHNSTON (STEL39)	035	NWY	В	8,500	16.00	1-Dec	16-Feb	425.00	5.0
AO,CXL	02/16	STERLING JOHNSTON (STEL33)	035	NWY	В	2,700	16.01	1-Dec	16-Feb	135.00	5.0
AO,	02/16	STERLING JOHNSTON (STEL33)	035	NWY	В	2,700	16.00	1-Dec	16-Feb	135.00	5.0
AO,CXL	02/16	STERLING JOHNSTON (STEL28)	035	NWY	В	2,400	16.01	1-Dec	16-Feb	120.00	5.0

Туре	Date	Account		RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
AO,	02/16	STERLING JOHNSTON	(STEL28)	035	NWY	В	2,400	16.00	1-Dec	16-Feb	120.00	5.0
AO,CXL	02/16	STERLING JOHNSTON	(STEL17)	035	NWY	В	1,200	16.01	1-Dec	16-Feb	60.00	5.0
AO,	02/16	STERLING JOHNSTON	(STEL17)	035	NWY	В	1,200	16.00	1-Dec	16-Feb	60.00	5.0
AO,CXL	02/16	STERLING JOHNSTON	(STEL27)	035	NWY	В	2,500	16.01	1-Dec	16-Feb	125.00	5.0
AO,	02/16	STERLING JOHNSTON	(STEL27)	035	NWY	В	2,500	16.00	1-Dec	16-Feb	125.00	5.0
AO,CXL	02/16	STERLING JOHNSTON	(STEL29)	035	NWY	В	2,200	16.01	1-Dec	16-Feb	110.00	5.0
AO,	02/16	STERLING JOHNSTON	(STEL29)	035	NWY	В	2,200	16.00	1-Dec	16-Feb	110.00	5.0
AO,CXL	02/16	STERLING JOHNSTON	(STEL16)	035	NWY	В	2,000	16.01	1-Dec	16-Feb	100.00	5.0
AO,	02/16	STERLING JOHNSTON	(STEL16)	035	NWY	В	2,000	16.00	1-Dec	16-Feb	100.00	5.0
AO,CXL	02/16	STERLING JOHNSTON	(STEL11)	035	NWY	В	22,900	16.01	1-Dec	16-Feb	1145.00	5.0
AO,	02/16	STERLING JOHNSTON	(STEL11)	035	NWY	В	22,900	16.00	1-Dec	16-Feb	1145.00	5.0
AO,CXL	02/16	STERLING JOHNSTON	(STEL2)	035	NWY	В	10,900	16.01	1-Dec	16-Feb	545.00	5.0
AO,	02/16	STERLING JOHNSTON	(STEL2)	035	NWY	В	10,900	16.00	1-Dec	16-Feb	545.00	5.0
AO,CXL	02/16	STERLING JOHNSTON	(STEL8)	035	NWY	В	26,500	16.01	1-Dec	16-Feb	1325.00	5.0
AO,	02/16	STERLING JOHNSTON	(STEL8)	035	NWY	В	26,500	16.00	1-Dec	16-Feb	1325.00	5.0
AO,CXL	02/16	STERLING JOHNSTON	(STEL1)	035	NWY	В	11,900	16.01	1-Dec	16-Feb	595.00	5.0
AO,	02/16	STERLING JOHNSTON	(STEL1)	035	NWY	В	11,900	16.00	1-Dec	16-Feb	595.00	5.0
AO,CXL	02/16	J L F ASSET MGMT (	(JLFA\$0.04)	039	URBN	S	35,000	26.24	7-Dec	9-Feb	1400.00	4.0
AO,	02/16	J L F ASSET MGMT (	(JLFA\$0.04)	039	URBN	S	35,000	26.24	7-Dec	9-Feb	1400.00	4.0

TOTAL	(AO,	CXL,	CRT)	, $I$	0.00
IOIAH	(AU,	CAH,	CKI	·	0.00

TOTAL (Trade Date): 66,605.25
TOTAL (AO, CXL, CRT): 0.00

## 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