

Daily Compliance Activity Report Trade Date: 01/30/2007

POTENTIAL ANALYST TRADE VIOLATIONS: 0

| | | | | | 10. | | 11 12 12 13 1 | THE IDE VIO | E |
|-------------------------|--|---|--|--|---|--|---|--|--|
| Account | RR # | Symbol | B/S | Shares | s Price | MRI | Research | Comm. | ¢/Shr. |
| CENTURION PARTNERS | 249 | AMR | S | 20,000 | 36.84 | n/a | n/a | 1,000.00 | 5.0 |
| Glenn Redemann | | AMZN | В | 8 | 0.4200 | n/a | n/a | 0.00 | 0.0 |
| Glenn Redemann | | AMZN | S | 8 | 2.1700 | n/a | n/a | 0.00 | 0.0 |
| STERLING JOHNSTON | 035 | ANN | S | 6 , 300 | 33.84 | 5-Jan | 5-Jan | 315.00 | 5.0 |
| THOMSON HORSTMAN BRYANT | 040 | ANN | S | 8,600 | 33.98 | 5-Jan | 5-Jan | 430.00 | 5.0 |
| LUCHANSKY | 036 | APC | В | 200 | 43.42 | 1-Sep | 22-Jan | 0.00 | 0.0 |
| DSG CAPITAL | 225 | AVZ | В | 9,900 | 23.79 | 29-Dec | 24-Jan | 495.00 | 5.0 |
| COUGAR TRADING | 044 | AXE | S | 5,000 | 55.53 | 26-Dec | 30-Jan | 250.00 | 5.0 |
| HARVEST MGMT | 039 | BBW | S | 15,000 | 29.99 | 8-Jan | 8-Jan | 750.00 | 5.0 |
| MAGUIRE | 039 | BJSCY | В | 10 | 1.50 | n/a | n/a | 0.00 | 0.0 |
| MAGUIRE | 090 | BJS | В | 7,500 | 27.07 | n/a | n/a | 0.00 | 0.0 |
| WD PARTNERS ILP | 067 | BKE | SS | 5,000 | 34.18 | n/a | n/a | 250.00 | 5.0 |
| CENTURION PARTNERS | 249 | BONT | В | 5,000 | 35.53 | 23-0ct | 5-Jan | 250.00 | 5.0 |
| WASHINGTON ASSET | 048 | BONT | S | 8,000 | 35.75 | 23-Oct | 5-Jan | 400.00 | 5.0 |
| GENERIC TRADING | 063 | BP | S | 10,000 | 63.19 | n/a | n/a | 500.00 | 5.0 |
| CAPITAL GROWTH MGMT. | 241 | CLB | В | 35,000 | 82.52 | 6-Dec | 22-Jan | 1,750.00 | 5.0 |
| | Account CENTURION PARTNERS Glenn Redemann Glenn Redemann STERLING JOHNSTON THOMSON HORSTMAN BRYANT LUCHANSKY DSG CAPITAL COUGAR TRADING HARVEST MGMT MAGUIRE WD PARTNERS ILP CENTURION PARTNERS WASHINGTON ASSET GENERIC TRADING | CENTURION PARTNERS Glenn Redemann Glenn Redemann STERLING JOHNSTON 035 THOMSON HORSTMAN BRYANT 040 LUCHANSKY 036 DSG CAPITAL 225 COUGAR TRADING 044 HARVEST MGMT 039 MAGUIRE 039 MAGUIRE 090 WD PARTNERS ILP 067 CENTURION PARTNERS 249 WASHINGTON ASSET 048 GENERIC TRADING 063 | Account RR # Symbol CENTURION PARTNERS 249 AMR Glenn Redemann AMZN STERLING JOHNSTON 035 ANN THOMSON HORSTMAN BRYANT 040 ANN LUCHANSKY 036 APC DSG CAPITAL 225 AVZ COUGAR TRADING 044 AXE HARVEST MGMT 039 BBW MAGUIRE 039 BJSCY MAGUIRE 090 BJS WD PARTNERS ILP 067 BKE CENTURION PARTNERS 249 BONT WASHINGTON ASSET 048 BONT GENERIC TRADING 063 BP | Account RR # Symbol B/S CENTURION PARTNERS 249 AMR S Glenn Redemann AMZN S STERLING JOHNSTON 035 ANN S THOMSON HORSTMAN BRYANT 040 ANN S LUCHANSKY 036 APC B DSG CAPITAL 225 AVZ B COUGAR TRADING 044 AXE S HARVEST MGMT 039 BBW S MAGUIRE 039 BJSCY B MAGUIRE 090 BJS B WD PARTNERS ILP 067 BKE SS CENTURION PARTNERS 249 BONT B WASHINGTON ASSET 048 BONT S GENERIC TRADING 063 BP S | Account RR # Symbol B/S Shares CENTURION PARTNERS 249 AMR S 20,000 Glenn Redemann AMZN B 8 Glenn Redemann AMZN S 8 STERLING JOHNSTON 035 ANN S 6,300 THOMSON HORSTMAN BRYANT 040 ANN S 8,600 LUCHANSKY 036 APC B 200 DSG CAPITAL 225 AVZ B 9,900 COUGAR TRADING 044 AXE S 5,000 HARVEST MGMT 039 BBW S 15,000 MAGUIRE 039 BJSCY B 10 MAGUIRE 090 BJS B 7,500 WD PARTNERS ILP 067 BKE SS 5,000 CENTURION PARTNERS 249 BONT B 5,000 WASHINGTON ASSET 048 BONT S 8,000 GENERIC TRADING 063 | Account RR # Symbol B/S Shares Price CENTURION PARTNERS 249 AMR S 20,000 36.84 Glenn Redemann AMZN B 8 0.4200 Glenn Redemann AMZN S 8 2.1700 STERLING JOHNSTON 035 ANN S 6,300 33.84 THOMSON HORSTMAN BRYANT 040 ANN S 8,600 33.98 LUCHANSKY 036 APC B 200 43.42 DSG CAPITAL 225 AVZ B 9,900 23.79 COUGAR TRADING 044 AXE S 5,000 55.53 HARVEST MGMT 039 BBW S 15,000 29.99 MAGUIRE 039 BJS B 7,500 27.07 WD PARTNERS ILP 067 BKE SS 5,000 34.18 CENTURION PARTNERS 249 BONT S 8,000 35.75 GENERIC T | Account RR # Symbol B/S Shares Price MRI CENTURION PARTNERS 249 AMR S 20,000 36.84 n/a Glenn Redemann AMZN B 8 0.4200 n/a Glenn Redemann AMZN S 8 2.1700 n/a STERLING JOHNSTON 035 ANN S 6,300 33.84 5-Jan THOMSON HORSTMAN BRYANT 040 ANN S 8,600 33.98 5-Jan LUCHANSKY 036 APC B 200 43.42 1-Sep DSG CAPITAL 225 AVZ B 9,900 23.79 29-Dec COUGAR TRADING 044 AXE S 5,000 55.53 26-Dec HARVEST MGMT 039 BBW S 15,000 29.99 8-Jan MAGUIRE 039 BJS B 7,500 27.07 n/a WD PARTNERS ILP 067 BKE S | Account RR # Symbol B/S Shares Price MRI Research CENTURION PARTNERS 249 AMR S 20,000 36.84 n/a n/a Glenn Redemann Image: AMZN or AMZN o | Account RR # Symbol B/S Shares Price MRI Research Comm. CENTURION PARTNERS 249 AMR S 20,000 36.84 n/a n/a 1,000.00 Glenn Redemann AMZN B 8 0.4200 n/a n/a 0.00 SIERLING JOHNSTON 035 ANN S 6,300 33.84 5-Jan 5-Jan 315.00 THOMSON HORSTMAN BRYANT 040 ANN S 8,600 33.98 5-Jan 5-Jan 430.00 LUCHANSKY 036 APC B 200 43.42 1-Sep 22-Jan 0.00 DSG CAPITAL 225 AVZ B 9,900 23.79 29-Dec 24-Jan 495.00 HARVEST MGMT 039 BRW S 15,000 29.99 8-Jan 8-Jan 750.00 MAGUIRE 039 BJS B 10 1.50 n/a n/a 0.00 WD PARTNERS< |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | \$/Shr. | - |
|-----------------------|------|--------|-----|-----------|--------|--------|----------|----------|---------|---|
| THIRD COAST CAPITAL | 035 | CLDN | : | s 5,000 | 16.46 | n/a | n/a | 250.00 | 5.0 | |
| SANDLER O'NEILL ASSET | 031 | CLMS | : | SS 50,000 | 27.74 | 30-Jan | 30-Jan | 2,500.00 | 5.0 | |
| SUNOVA CAPITAL | 031 | CLMS | В | 51,000 | 27.76 | 30-Jan | 30-Jan | 2,550.00 | 5.0 | |
| CAPITAL GROWTH MGMT. | 241 | COG | В | 20,000 | 63.68 | n/a | n/a | 1,000.00 | 5.0 | |
| MORGAN LEWIS/MLH | 046 | COP | В | 10,000 | 65.50 | n/a | n/a | 500.00 | 5.0 | |
| STERLING JOHNSTON | 035 | CRI | : | S 75,000 | 25.39 | n/a | n/a | 3,750.00 | 5.0 | |
| PIONEER OAKRIDGE | 031 | CSCO | В | 272,200 | 26.20 | n/a | 22-Mar | 9,527.00 | 3.5 | |
| TROUBH PART | 067 | DPHIQ | В | 50,000 | 2.90 | n/a | n/a | 2,500.00 | 5.0 | |
| DAWSON SANBERG & CO | 036 | DRI | : | ss 6,500 | 38.60 | 12-Dec | 19-Dec | 325.00 | 5.0 | |
| WEISS PECK | 040 | DSW | : | ss 9,000 | 39.14 | n/a | 30-Jan | 270.00 | 3.0 | |
| WOOSTER CAPITAL | 035 | EDA | В | 15,000 | 10.69 | n/a | n/a | 750.00 | 5.0 | |
| BUCK CAPITAL MGMT | 001 | FD | В | 10,000 | 40.34 | 26-Jan | 29-Jan | 400.00 | 4.0 | |
| CENTURION PARTNERS | 249 | FD | В | 20,000 | 40.63 | 26-Jan | 29-Jan | 1,000.00 | 5.0 | |
| MKT MAKER | 099 | F | : | s 500 | 8.40 | n/a | n/a | 0.00 | 0.0 | |
| BALYASNY ASSET MGMT | 044 | GS | В | 3,000 | 208.79 | 13-Dec | 16-Jan | 150.00 | 5.0 | |
| NEUBERGER BERMAN | 238 | HTLD | : | s 7,900 | 16.75 | n/a | n/a | 316.00 | 4.0 | |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | ;/Shr. | _ |
|-------------------------|--------|--------|-----|----------------|-------|--------|----------|-----------|--------|---|
| MKT MAKER | 099 | INTC | S | 100 | 20.87 | n/a | n/a | 0.00 | 0.0 | |
| PIVOT CAP | 034 | JBLU | S | 20,000 | 13.89 | n/a | n/a | 800.00 | 4.0 | |
| SAILFISH | 037 | JPM | SS | 10,000 | 49.51 | n/a | 18-Jan | 500.00 | 5.0 | |
| VANDER MOOLEN | 040 | KR | В | 5,000 | 25.42 | n/a | n/a | 250.00 | 5.0 | |
| BUCK CAPITAL MGMT | 001 | KSS | В | 10,000 | 69.25 | 27-Dec | 5-Jan | 400.00 | 4.0 | |
| LEVIN CAPITAL STRATEGIE | ES 012 | KSS | SS | 7,500 | 69.02 | 27-Dec | 5-Jan | 300.00 | 4.0 | |
| NEUBERGER BERMAN | 238 | KVA | S | 14,700 | 25.48 | n/a | n/a | 735.00 | 5.0 | |
| BUCK CAPITAL MGMT | 001 | KWD | В | 30,000 | 32.11 | n/a | n/a | 1,200.00 | 4.0 | |
| DIAMONDBACK CAP MGMT | 232 | K | SS | 15,000 | 50.69 | n/a | n/a | 750.00 | 5.0 | |
| FARALLON CAP MGMT | 040 | LCC | S | 100,000 | 52.35 | n/a | n/a | 4,000.00 | 4.0 | |
| NEUBERGER BERMAN | 238 | LSTR | S | 6 , 300 | 39.61 | n/a | n/a | 252.00 | 4.0 | |
| HIGHBRIDGE CAPITAL | 038 | MET | В | 2,000 | 61.67 | n/a | n/a | 100.00 | 5.0 | |
| GAULT | 063 | MLI | В | 500 | 32.35 | 24-0ct | 12-Jan | 0.00 | 0.0 | |
| COLUMBUS CIRCLE | 036 | MOS | S | 393,428 | 20.24 | n/a | n/a | 15,737.12 | 4.0 | |
| CL00 | 036 | MOS | S | 2,886 | 20.24 | n/a | n/a | 115.44 | 4.0 | |
| TROUBH PART | 067 | MOT | S | 25,000 | 19.45 | n/a | n/a | 1,250.00 | 5.0 | |

| | RR # | Symbol | B/S | > | Shares | Price | MRI | Research | Comm. | ¢/Shr. |
|--------------------------|---|--|--|---|--|---|--|---|--|---|
| MKT MAKER | 099 | MRCY | | S | 92 | 13.00 | n/a | n/a | 0.00 | 0.0 |
| WD PARTNERS ILP | 067 | MWV | В | | 5,000 | 29.59 | 8-Jan | 23-Jan | 250.00 | 5.0 |
| MKT MAKER | 099 | NDAQ | В | | 32 | 33.47 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | NWY | | S | 20,000 | 14.70 | 1-Dec | 10-Jan | 800.00 | 4.0 |
| FRIESS MGMT | 042 | ORCL | В | | 508,000 | 17.30 | n/a | n/a | 22,860.00 | 4.5 |
| MAGUIRE | 039 | PDCBV | В | | 15 | 0.75 | n/a | n/a | 0.00 | 0.0 |
| MAGUIRE | 090 | PDC | В | | 15,000 | 12.92 | n/a | n/a | 0.00 | 0.0 |
| HIGHBRIDGE CAPITAL | 038 | PFG | В | | 5,000 | 61.02 | n/a | n/a | 250.00 | 5.0 |
| ROSENBERG | 03 4 036 | PLCE PLCE | ВВ | | 100 200 | 53.93 53.82 | n/a n/a | 25-Jan 25-Jan | 0.00 | 0.0 |
| NCM CAPITAL MGMT | 035 | PTI | | S | 16,375 | 23.76 | n/a | n/a | 818.75 | 5.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | PVH | В | | 10,000 | 54.20 | 18-Jan | 18-Jan | 375.00 | 3.8 |
| GABELLI FUNDS | 037 | RDA | В | | 19,000 | 16.94 | n/a | n/a | 950.00 | 5.0 |
| Manny Korman | | RFI | | S | 3000 2 | 0.8600 | n/a | n/a | 0.00 | 0.0 |
| Manny Korman | | RLF | | S | | | n/a | n/a | 0.00 | 0.0 |
| | MKT MAKER BUCK CAPITAL MGMT FRIESS MGMT MAGUIRE HIGHBRIDGE CAPITAL ROSENBERG LUCHANSKY NCM CAPITAL MGMT SYSTEMATIC FINANCIAL MGT GABELLI FUNDS Manny Korman | MART MAKER 099 BUCK CAPITAL MGMT 001 FRIESS MGMT 042 MAGUIRE 039 HIGHBRIDGE CAPITAL 038 ROSENBERG 034 LUCHANSKY 036 NCM CAPITAL MGMT 035 SYSTEMATIC FINANCIAL MGT 035 GABELLI FUNDS 037 Manny Korman | MET MAKER BUCK CAPITAL MGMT O01 NWY FRIESS MGMT O42 ORCL MAGUIRE O90 PDC HIGHBRIDGE CAPITAL O38 PFG ROSENBERG O34 PLCE LUCHANSKY O36 PLCE NCM CAPITAL MGMT O35 PTI SYSTEMATIC FINANCIAL MGT O37 RDA Manny Korman Manny Korman Manny Korman REF | MAGUIRE 090 NDAQ B MAGUIRE 090 PDC B HIGHBRIDGE CAPITAL 038 PFG B LUCHANSKY 036 PLCE B NCM CAPITAL MGMT 035 PTI SYSTEMATIC FINANCIAL MGT 035 PVH B GABELLI FUNDS 037 RDA B Manny Korman REF | MART MAKER 099 NDAQ B BUCK CAPITAL MGMT 001 NWY S FRIESS MGMT 042 ORCL B MAGUIRE 090 PDC B HIGHBRIDGE CAPITAL 038 PFG B ROSENBERG 1034 PLCE B ROSENBERG 1034 PLCE B NCM CAPITAL MGMT 035 PTI S SYSTEMATIC FINANCIAL MGT 037 RDA B Manny Korman Manny Korman RIF S Manny Korman RIF S | MART MAKER 099 NDAQ B 32 BUCK CAPITAL MGMT 001 NWY S 20,000 FRIESS MGMT 042 ORCL B 508,000 MAGUIRE 039 PDCBV B 15 MAGUIRE 090 PDC B 15,000 HIGHBRIDGE CAPITAL 038 PFG B 5,000 ROSENBERG 034 PLCE B 100 LUCHANSKY 036 PLCE B 200 NCM CAPITAL MGMT 035 PTI S 16,375 SYSTEMATIC FINANCIAL MGT 035 PVH B 19,000 Manny Korman REFI S 3000 Manny Korman REFI S 1000 2 | MET MAKER 099 NDAQ B 32 33.47 BUCK CAPITAL MGMT 001 NWY S 20,000 14.70 FRIESS MGMT 042 ORCL B 508,000 17.30 MAGUIRE 039 PDCBV B 15 0.75 MAGUIRE 090 PDC B 15,000 12.92 HIGHBRIDGE CAPITAL 038 PFG B 5,000 61.02 ROSENBERG 034 PLCE B 100 53.93 LUCHANSKY 036 PLCE B 200 53.82 NCM CAPITAL MGMT 035 PTI S 16,375 23.76 SYSTEMATIC FINANCIAL MGT 035 PVH B 10,000 54.20 MANNY KORMAN REFI S 3000 20.8600 MANNY KORMAN REFI S 3000 27.7300 | ND PARTNERS ILP 067 MWV B 5,000 29.59 8-Jan MKT MAKER 099 NDAQ B 32 33.47 n/a BUCK CAPITAL MGMT 001 NWY S 20,000 14.70 1-Dec PRIESS MGMT 042 ORCL B 508,000 17.30 n/a MAGUIRE 039 PDCBV B 15 0.75 n/a MAGUIRE 090 PDC B 15,000 12.92 n/a HIGHBRIDGE CAPITAL 038 PFG B 5,000 61.02 n/a ROSENBERG 034 PLCE B 100 53.93 n/a LUCHANSKY 036 PLCE B 200 53.82 n/a NCM CAPITAL MGMT 035 PTI S 16,375 23.76 n/a SYSTEMATIC FINANCIAL MGT 035 PVH B 10,000 54.20 18-Jan GABELLI FUNDS 037 RDA B 19,000 16.94 n/a MAGNING KORMAN REF S 3000 20.8600 n/a MAGNING KORMAN REF S 3000 20.8600 n/a | ND PARTNERS ILP 067 MWV B 5,000 29.59 8-Jan 23-Jan MRT MAKER 099 NDAQ B 32 33.47 n/a n/a n/a suck capital mgmt 001 NWY S 20,000 14.70 1-Dec 10-Jan PRIESS MGMT 042 ORCL B 508,000 17.30 n/a n/a n/a MAGUIRE 039 PDCBV B 15 0.75 n/a n/a n/a MAGUIRE 090 PDC B 15,000 12.92 n/a n/a n/a HIGHBRIDGE CAPITAL 038 PFG B 5,000 61.02 n/a n/a n/a ROSENBERG 034 PLCE B 100 53.93 n/a 25-Jan LUCHANSKY 036 PLCE B 200 53.82 n/a 25-Jan NCM CAPITAL MGMT 035 PTI S 16,375 23.76 n/a n/a 25-Jan NCM CAPITAL MGMT 035 PTI S 16,375 23.76 n/a n/a SYSTEMATIC FINANCIAL MGT 035 PVH B 10,000 54.20 18-Jan 18-Jan GABELLI FUNDS 037 RDA B 19,000 16.94 n/a n/a MANNY KORMAN REFI S 3000 20.8600 n/a n/a MANNY KORMAN REFI S 3000 27.7300 n/a n/a MANNY KORMAN REFI S 1000 27.7300 n/a n/a | ND PARTNERS ILP 067 MNV B 5,000 29.59 8-Jan 23-Jan 250.00 MKT MAKER 099 NDAQ B 32 33.47 n/a n/a 0.00 SUCK CAPITAL MGMT 001 NWY S 20,000 14.70 1-Dec 10-Jan 800.00 STRIESS MGMT 042 ORCL B 508,000 17.30 n/a n/a 22,860.00 MAGUIRE 039 PDCBV B 15 0.75 n/a n/a 0.00 MAGUIRE 090 PDC B 15,000 12.92 n/a n/a 0.00 MAGUIRE 038 PFG B 5,000 61.02 n/a n/a 250.00 MAGUIRE 034 PLCE B 100 53.93 n/a 25-Jan 0.00 LUCHANSKY 036 PLCE B 200 53.82 n/a 25-Jan 0.00 NCM CAPITAL MGMT 035 PTI S 16,375 23.76 n/a n/a 25-Jan 0.00 NCM CAPITAL MGMT 035 PTI S 16,375 23.76 n/a n/a 18-Jan 375.00 SABELLI FUNDS 037 RDA B 19,000 16.94 n/a n/a 950.00 MAGNING KORMAN RFI S 3000 20.8600 n/a n/a 0.00 MAGNING KORMAN RFI S 3000 20.8600 n/a n/a 0.00 MAGNING KORMAN REFI S 3000 20.8600 n/a n/a 0.00 MAGNING KORMAN REFI S 3000 27.7300 n/a n/a 0.00 |

| | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | Shr. |
|---|-------------------------|------|--------|-----|---------|--------|--------|----------|----------|------|
| õ | Manny Korman | | RQI | S | 600 2 | 6.3000 | n/a | n/a | 0.00 | 0.0 |
| | WHALE ROCK CAP | 030 | RSC | S | 10,000 | 16.86 | n/a | n/a | 400.00 | 4.0 |
| | WEISS PECK | 040 | RVI | В | 25,000 | 19.44 | n/a | n/a | 750.00 | 3.0 |
| | EMINENCE CAPITAL | 038 | SAI | В | 42,500 | 18.75 | n/a | n/a | 2,125.00 | 5.0 |
| | SAILFISH | 037 | STI | S | s 5,000 | 82.13 | n/a | n/a | 250.00 | 5.0 |
| | GULF STREAM EQUITY MGMT | 039 | SUNW | В | 5,000 | 6.46 | n/a | n/a | 300.00 | 6.0 |
| | GULF STREAM EQUITY MGMT | 039 | SUNW | S | 2,500 | 6.41 | n/a | n/a | 150.00 | 6.0 |
| | HIGHBRIDGE CAPITAL | 038 | TMK | В | 24,000 | 64.75 | n/a | n/a | 1,200.00 | 5.0 |
| | MKT MAKER | 099 | TRMP | В | 100 | 17.25 | n/a | n/a | 0.00 | 0.0 |
| | THIRD COAST CAPITAL | 035 | TSU | S | 5,000 | 32.40 | n/a | n/a | 250.00 | 5.0 |
| | THIRD COAST CAPITAL | 035 | TTI | S | 5,000 | 23.17 | n/a | n/a | 250.00 | 5.0 |
| | DISIPLINED GROWTH INV. | 030 | TWTC | В | 25,700 | 22.91 | n/a | 23-Jan | 1,285.00 | 5.0 |
| | NEUBERGER BERMAN | 238 | UNT | S | 13,400 | 47.60 | n/a | 22-Jan | 670.00 | 5.0 |
| | COUGAR TRADING | 044 | USTR | В | 10,000 | 48.33 | 30-Jan | 30-Jan | 500.00 | 5.0 |
| | EMINENCE CAPITAL | 038 | UTX | В | 40,900 | 66.81 | n/a | n/a | 2,045.00 | 5.0 |
| | JACOB | 068 | VZ | S | 150 | 38.61 | 22-Dec | 30-Jan | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|---------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| NOLAN | 067 | хоно | В | 125 | 4.29 | n/a | n/a | 0.00 0.0 |
| TOTAL (Trade Date): | | | | | | | 9 | 5,046.31 |

Cancel/Corrects and As-Of Trades

| Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | ¢/Shr. |
|-------|--|--|--|--|--|--|--|--|--|--|
| 01/29 | FORCE CAPITAL MGMT (FORCGSPB) | 034 | FCX | В | 35 , 000 | 56.19 | n/a | n/a | 1050.00 | 3.0 |
| 01/29 | RBC CAPITAL MARKETS (RBCCMAIN) | 034 | FCX | В | 35,000 | 56.19 | n/a | n/a | 1750.00 | 5.0 |
| 01/25 | ROARING BLUE LION MGMT (ROAR4CENTS) | 012 | PLCE | В | 2,200 | 53.95 | n/a | 25-Jan | 110.00 | 5.0 |
| 01/25 | ROARING BLUE LION MGMT (ROAR4CENTS) | 036 | PLCE | В | 2,200 | 53.95 | n/a | 25-Jan | 110.00 | 5.0 |
| 01/29 | NEUBERGER BERMAN (NBER530202) | 238 | UNT | S | 4,100 | 47.05 | n/a | 22-Jan | 205.00 | 5.0 |
| 01/29 | NEUBERGER BERMAN (NBER530206) | 238 | UNT | S | 4,100 | 47.05 | n/a | 22-Jan | 205.00 | 5.0 |
| | <u> </u> | 200 | 0211 | | 1, 200 | 17.00 | π, α | | | |
| | 01/29 01/29 01/25 01/25 01/29 01/29 | 01/29 FORCE CAPITAL MGMT (FORCGSPB) 01/29 RBC CAPITAL MARKETS (RBCCMAIN) 01/25 ROARING BLUE LION MGMT (ROAR4CENTS) 01/25 ROARING BLUE LION MGMT (ROAR4CENTS) | 01/29 FORCE CAPITAL MGMT (FORCGSPB) 034 01/29 RBC CAPITAL MARKETS (RBCCMAIN) 034 01/25 ROARING BLUE LION MGMT (ROAR4CENTS) 012 01/25 ROARING BLUE LION MGMT (ROAR4CENTS) 036 01/29 NEUBERGER BERMAN (NBER530202) 238 01/29 NEUBERGER BERMAN (NBER530206) 238 | 01/29 FORCE CAPITAL MGMT (FORCGSPB) 034 FCX 01/29 RBC CAPITAL MARKETS (RBCCMAIN) 034 FCX 01/25 ROARING BLUE LION MGMT (ROAR4CENTS) 012 PLCE 01/25 ROARING BLUE LION MGMT (ROAR4CENTS) 036 PLCE 01/29 NEUBERGER BERMAN (NBER530202) 238 UNT 01/29 NEUBERGER BERMAN (NBER530206) 238 UNT | 01/29 FORCE CAPITAL MGMT (FORCGSPB) 034 FCX B 01/29 RBC CAPITAL MARKETS (RBCCMAIN) 034 FCX B 01/25 ROARING BLUE LION MGMT (ROAR4CENTS) 012 PLCE B 01/25 ROARING BLUE LION MGMT (ROAR4CENTS) 036 PLCE B 01/29 NEUBERGER BERMAN (NBER530202) 238 UNT S 01/29 NEUBERGER BERMAN (NBER530206) 238 UNT S | 01/29 FORCE CAPITAL MGMT (FORCGSPB) 034 FCX B 35,000 01/29 RBC CAPITAL MARKETS (RBCCMAIN) 034 FCX B 35,000 01/25 ROARING BLUE LION MGMT (ROAR4CENTS) 012 PLCE B 2,200 01/25 ROARING BLUE LION MGMT (ROAR4CENTS) 036 PLCE B 2,200 01/29 NEUBERGER BERMAN (NBER530202) 238 UNT S 4,100 01/29 NEUBERGER BERMAN (NBER530206) 238 UNT S 4,100 | 01/29 FORCE CAPITAL MGMT (FORCGSPB) 034 FCX B 35,000 56.19 01/29 RBC CAPITAL MARKETS (RBCCMAIN) 034 FCX B 35,000 56.19 01/25 ROARING BLUE LION MGMT (ROAR4CENTS) 012 PLCE B 2,200 53.95 01/25 ROARING BLUE LION MGMT (ROAR4CENTS) 036 PLCE B 2,200 53.95 01/29 NEUBERGER BERMAN (NBER530202) 238 UNT S 4,100 47.05 01/29 NEUBERGER BERMAN (NBER530206) 238 UNT S 4,100 47.05 | 01/29 FORCE CAPITAL MGMT (FORCGSPB) 034 FCX B 35,000 56.19 n/a 01/29 RBC CAPITAL MARKETS (RBCCMAIN) 034 FCX B 35,000 56.19 n/a 01/25 ROARING BLUE LION MGMT (ROAR4CENTS) 012 PLCE B 2,200 53.95 n/a 01/25 ROARING BLUE LION MGMT (ROAR4CENTS) 036 PLCE B 2,200 53.95 n/a 01/29 NEUBERGER BERMAN (NBER530202) 238 UNT S 4,100 47.05 n/a 01/29 NEUBERGER BERMAN (NBER530206) 238 UNT S 4,100 47.05 n/a | 01/29 FORCE CAPITAL MGMT (FORCGSPB) 034 FCX B 35,000 56.19 n/a n/a 01/29 RBC CAPITAL MARKETS (RBCCMAIN) 034 FCX B 35,000 56.19 n/a n/a 01/25 ROARING BLUE LION MGMT (ROAR4CENTS) 012 PLCE B 2,200 53.95 n/a 25-Jan 01/25 ROARING BLUE LION MGMT (ROAR4CENTS) 036 PLCE B 2,200 53.95 n/a 25-Jan 01/29 NEUBERGER BERMAN (NBER530202) 238 UNT S 4,100 47.05 n/a 22-Jan 01/29 NEUBERGER BERMAN (NBER530206) 238 UNT S 4,100 47.05 n/a 22-Jan | 01/29 FORCE CAPITAL MGMT (FORCGSPB) 034 FCX B 35,000 56.19 n/a n/a 1050.00 01/29 RBC CAPITAL MARKETS (RBCCMAIN) 034 FCX B 35,000 56.19 n/a n/a 1750.00 01/25 ROARING BLUE LION MGMT (ROAR4CENTS) 012 PLCE B 2,200 53.95 n/a 25-Jan 110.00 01/25 ROARING BLUE LION MGMT (ROAR4CENTS) 036 PLCE B 2,200 53.95 n/a 25-Jan 110.00 01/29 NEUBERGER BERMAN (NBER530202) 238 UNT S 4,100 47.05 n/a 22-Jan 205.00 01/29 NEUBERGER BERMAN (NBER530206) 238 UNT S 4,100 47.05 n/a 22-Jan 205.00 |

| TOTAL (RUN DATE) / NFS: | 94,346.31 |
|-------------------------|-----------|
| TOTAL (AO, CXL, CRT): | -700.00 |
| TOTAL (Trade Date): | 95,046.31 |

Legend:

O: 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