



Daily Compliance Activity Report

Trade Date: 01/22/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 2

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|---------------|---------------|-----------------|------------|
| PATTEN & PATTEN | 067 | AAPL | B | 200 | 158.88 | n/a | n/a | 10.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | ABG | B | 10,000 | 12.50 | 31-Oct | 15-Jan | 500.00 | 5.0 |
| WYCKOFF | 013 | ABG | B | 400 | 12.41 | 31-Oct | 15-Jan | 0.00 | 0.0 |
| COUGAR TRADING | 044 | AB | B | 7,500 | 61.61 | 11-Jan | 15-Jan | 375.00 | 5.0 |
| PATTEN & PATTEN | 067 | ADBE | B | 640 | 33.98 | n/a | n/a | 32.00 | 5.0 |
| PATTEN & PATTEN | 067 | ADSK | B | 340 | 40.38 | n/a | n/a | 17.00 | 5.0 |
| CENTURION GLOBAL MGMT LL | 041 | AEO | B | 30,000 | 20.43 | 11-Jan | 11-Jan | 900.00 | 3.0 |
| CENTURION GLOBAL MGMT LL | 041 | AEO | S | 76,968 | 21.67 | 11-Jan | 11-Jan | 2,309.04 | 3.0 |
| COLUMBIA PARTNERS | 028 | AIG | B | 19,268 | 52.24 | n/a | n/a | 770.72 | 4.0 |
| BUCK CAPITAL MGMT | 001 | AMT | S | 7,869 | 34.72 | n/a | n/a | 314.76 | 4.0 |
| BUCK CAPITAL MGMT | 001 | ANF | S | 7,200 | 71.66 | 10-Jan | 22-Jan | 288.00 | 4.0 |
| CENTURION GLOBAL MGMT LL | 041 | ANF | B | 4,700 | 73.86 | 10-Jan | 22-Jan | 141.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | APP | B | 67,300 | 11.42 | n/a | n/a | 2,692.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | ARO | B | 10,000 | 22.57 | 29-Nov | 11-Jan | 500.00 | 5.0 |
| COUGAR TRADING | 044 | ARO | B | 5,000 | 22.71 | 29-Nov | 11-Jan | 250.00 | 5.0 |
| JPMSI/TOM LEDDY | 035 | ASCA | B | 10,000 | 18.73 | n/a | 6-Nov | 500.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|--------|--------|----------|-------------|-----|
| RAMIUS CAP | 040 | AZO | C | 36,500 | 106.41 | n/a | n/a | 1,825.00 | 5.0 |
| CATAPULT | 040 | BBT | SS | 5,000 | 30.42 | n/a | n/a | 250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | BDK | SS | 10,000 | 67.48 | n/a | n/a | 400.00 | 4.0 |
| WYCKOFF | 013 | BEBE | B | 100 | 10.09 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | BJ | B | 20,000 | 28.88 | n/a | 27-Jul | 800.00 | 4.0 |
| NATIONAL BK OF CAN | 031 | BSC | B | 15,000 | 76.99 | 21-Dec | 14-Jan | 600.00 | 4.0 |
| NATIONAL BK OF CAN | 031 | BSC | SS | 15,000 | 77.98 | 21-Dec | 14-Jan | 600.00 | 4.0 |
| BUCK | 015 | CAH | B | 1,250 | 57.74 | n/a | n/a | 0.00 | 0.0 |
| WHALE ROCK CAP | 030 | CHS | B | 100,000 | 8.06 | 10-Jan | 11-Jan | 4,000.00 | 4.0 |
| COUGAR TRADING | 044 | CLMS | B | 2,500 | 21.51 | 15-Jan | 15-Jan | 125.00 | 5.0 |
| BARABOO GROWTH | 031 | COF | C | 15,000 | 39.83 | n/a | n/a | 750.00 | 5.0 |
| WHEELER | 008 | COHR | S | 1,000 | 23.55 | n/a | n/a | 0.00 | 0.0 |
| BALYASNY ASSET MGMT | 044 | COH | SS | 10,000 | 25.92 | 24-Oct | 14-Jan | 500.00 | 5.0 |
| CENTURION GLOBAL MGMT LL | 041 | CTRP | S | 17,900 | 40.87 | n/a | n/a | 537.00 | 3.0 |
| DAVIDSON KEMPNER ADVISOR | 040 | DAL | S | 117,200 | 15.04 | n/a | n/a | 5,860.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | DDS | SS | 10,000 | 17.39 | n/a | n/a | 400.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------|------|--------|-----|-----------|--------|--------|----------|--------------|-----|
| ZOLIDIS | 011 | DECK | B | 100 | 122.23 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | DHI | S | 5,150 | 12.38 | n/a | n/a | 206.00 | 4.0 |
| PILOT ADV | 038 | DKS | B | 10,000 | 27.18 | n/a | 27-Nov | 400.00 | 4.0 |
| WHALE ROCK CAP | 030 | DKS | B | 200,000 | 27.44 | n/a | 27-Nov | 8,000.00 | 4.0 |
| MCCARTAN | 028 | DKS | C | 200 | 25.03 | n/a | 27-Nov | 0.00 | 0.0 |
| BULL PATH CAPITAL | 044 | DTV | B | 50,000 | 19.47 | 15-Nov | 4-Jan | 2,500.00 | 5.0 |
| CAXTON PART | 040 | DTV | B | 122,184 | 19.36 | 15-Nov | 4-Jan | 4,276.45 | 3.5 |
| BUCK CAPITAL MGMT | 001 | DVN | S | 2,500 | 78.60 | 14-Jan | 14-Jan | 100.00 | 4.0 |
| HAYGROUND COE | 039 | EBAY | B | 200,000 | 27.25 | n/a | n/a | 10,000.00 | 5.0 |
| BUCK | 015 | EFA | S | 1,100 | 68.97 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | EL | B | 10,000 | 38.18 | 4-Jan | 4-Jan | 400.00 | 4.0 |
| WAGONHOUND | 048 | EL | B | 9,250 | 38.69 | 4-Jan | 4-Jan | 370.00 | 4.0 |
| PATTEN & PATTEN | 067 | ERTS | S | 400 | 49.36 | n/a | n/a | 20.00 | 5.0 |
| SINCLAIR | 031 | ETH | SS | 500 | 24.00 | n/a | n/a | 0.00 | 0.0 |
| ENTRUST CAPITAL | 040 | ETN | B | 20,000 | 81.37 | 22-Jan | 22-Jan | 1,000.00 | 5.0 |
| HOTCHKIS & WILEY | 035 | ETR | S | 500,000 | 107.59 | n/a | n/a | 25,000.00 | 5.0 |
| HOTCHKIS & WILEY | 035 | EXC | S | 1,000,000 | 73.38 | n/a | n/a | 50,000.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|------|--------|-----|--------|--------|--------|----------|-------------|-----|
| LEDDY | 035 | EXH | S | 357 | 66.82 | n/a | 28-Nov | 0.00 | 0.0 |
| J L F ASSET MGMT | 039 | FDO | B | 47,800 | 18.65 | 8-Jan | 11-Jan | 1,912.00 | 4.0 |
| OSS CAPITAL/KEVIN DANN | 067 | FDO | B | 86,500 | 18.68 | 8-Jan | 11-Jan | 2,595.00 | 3.0 |
| MAGUIRE | 090 | FOR | B | 1,000 | 19.48 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | FRX | S | 7,550 | 39.53 | n/a | 17-Jan | 302.00 | 4.0 |
| REINHART & MAHONEY | 031 | FSP | S | 19,410 | 14.62 | n/a | n/a | 970.50 | 5.0 |
| MAGUIRE | 090 | FXP | S | 1,000 | 100.60 | n/a | n/a | 0.00 | 0.0 |
| BARR | 096 | FXP | S | 800 | 100.00 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | GES | S | 9,600 | 33.53 | n/a | n/a | 384.00 | 4.0 |
| MCCARTAN | 028 | GES | B | 200 | 34.34 | n/a | n/a | 0.00 | 0.0 |
| BARR | 096 | GLD | B | 500 | 86.25 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | GLW | S | 18,800 | 21.58 | n/a | 26-Dec | 752.00 | 4.0 |
| DELTEC ASSET MGMT. | 040 | GLW | B | 20,000 | 21.56 | n/a | 26-Dec | 1,000.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | GM | SS | 20,000 | 23.05 | 3-Jan | 18-Jan | 800.00 | 4.0 |
| BAIRD INVESTMENT | 031 | GNTX | B | 51,892 | 14.73 | n/a | 17-Jan | 2,594.60 | 5.0 |
| LUCHANSKY1 | 036 | GOOG | B | 5 | 580.69 | n/a | n/a | 0.00 | 0.0 |
| NATIONAL BK OF CAN | 031 | GS | B | 5,500 | 190.18 | 21-Sep | 22-Jan | 220.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------------|------------|-------------|----------|----------------|--------------|---------------|---------------|-----------------|------------|
| ROXBURY CAPITAL MGMT | 035 | GYMB | B | 188,000 | 33.04 | 10-Aug | 11-Jan | 7,520.00 | 4.0 |
| FARALLON CAP MGMT | 040 | HBC | B | 260,000 | 72.95 | n/a | n/a | 10,400.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | HBI | B | 10,000 | 22.81 | n/a | n/a | 400.00 | 4.0 |
| PATTEN & PATTEN | 067 | HST | S | 1,000 | 16.05 | n/a | n/a | 50.00 | 5.0 |
| ZOLIDIS | 011 | ICON | B | 1,000 | 17.61 | n/a | n/a | 0.00 | 0.0 |
| LEDY | 035 | ICON | S | 1,200 | 17.50 | n/a | n/a | 0.00 | 0.0 |
| MORGAN LEWIS/MLH | 046 | INSU | SS | 13,000 | 11.63 | n/a | n/a | 650.00 | 5.0 |
| MAGUIRE | 090 | IVZ | B | 3,000 | 24.30 | 20-Dec | 17-Jan | 0.00 | 0.0 |
| COUGAR TRADING | 044 | JCG | B | 5,000 | 38.25 | 28-Nov | 18-Jan | 250.00 | 5.0 |
| COUGAR TRADING | 044 | JCG | SS | 5,000 | 39.26 | 28-Nov | 18-Jan | 250.00 | 5.0 |
| APEX CAPITAL MGMT. | 091 | JCP | S | 150,000 | 42.90 | 4-Jan | 11-Jan | 7,500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | JNY | B | 50,000 | 13.53 | n/a | 1-Nov | 2,000.00 | 4.0 |
| NATIONAL BK OF CAN | 031 | JPM | B | 20,000 | 41.02 | 17-Jan | 22-Jan | 800.00 | 4.0 |
| CENTURION GLOBAL MGMT LL | 041 | JWN | S | 10,000 | 32.54 | 20-Nov | 11-Jan | 300.00 | 3.0 |
| NATIONAL BK OF CAN | 031 | KEY | SS | 33,500 | 23.80 | n/a | n/a | 1,340.00 | 4.0 |
| MERRILL ASSET | 032 | KFT | B | 397,000 | 29.63 | n/a | n/a | 17,865.00 | 4.5 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|-----------|---------------|---------------|---------------|---------------|---------------|------------|
| MS PRINCIPAL STRATEGIES | 041 | KND | B | 9,776 | 24.95 | n/a | n/a | 488.80 | 5.0 |
| BUCK CAPITAL MGMT | 001 | KSS | SS | 20,000 | 43.05 | 4-Jan | 11-Jan | 800.00 | 4.0 |
| COUGAR TRADING | 044 | KSS | B | 15,000 | 41.36 | 4-Jan | 11-Jan | 750.00 | 5.0 |
| COUGAR TRADING | 044 | KSS | SS | 5,000 | 42.21 | 4-Jan | 11-Jan | 250.00 | 5.0 |
| THIRD POINT MGMT | 044 | KSS | C | 105,000 | 42.76 | 4-Jan | 11-Jan | 4,200.00 | 4.0 |
| LUCHANSKY1 | 036 | LH | SS | 200 | 73.83 | n/a | n/a | 0.00 | 0.0 |
| MAGUIRE | 090 | LOW | B | 2,000 | 22.73 | n/a | 27-Jul | 0.00 | 0.0 |
| OSS CAPITAL/KEVIN DANN | 067 | LXK | SS | 100,000 | 28.40 | n/a | n/a | 3,000.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | MA | B | 10,000 | 169.88 | n/a | n/a | 400.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | MDC | S | 50 | 35.75 | n/a | n/a | 2.00 | 4.0 |
| N STRATTON | 014 | MGM | S | 198 | 68.77 | n/a | 9-Jan | 0.00 | 0.0 |
| BUCK | 015 | MON | C | 500 | 99.64 | n/a | 14-Jan | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | MS | S | 3,200 | 46.29 | 20-Dec | 22-Jan | 128.00 | 4.0 |
| NATIONAL BK OF CAN | 031 | MS | SS | 21,000 | 48.96 | 20-Dec | 22-Jan | 840.00 | 4.0 |
| BEAR STEARNS ASSET MGMT. | 033 | M | B | 75,000 | 24.37 | 4-Jan | 11-Jan | 3,000.00 | 4.0 |
| CAMBIAR CAP | 046 | M | B | 7,100 | 23.39 | 4-Jan | 11-Jan | 284.00 | 4.0 |
| COUGAR TRADING | 044 | M | S | 10,000 | 24.14 | 4-Jan | 11-Jan | 500.00 | 5.0 |
| LEVIN CAPITAL STRATEGIES | 012 | M | B | 20,000 | 23.46 | 4-Jan | 11-Jan | 800.00 | 4.0 |
| BARR | 096 | NCC | SS | 500 | 15.65 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|--------------|----------|--------------|---------------|------------|---------------|--------------|------------|
| CUMBERLAND | 038 | PCU | SS | 35,000 | 76.71 | n/a | n/a | 1,400.00 | 4.0 |
| PATTEN & PATTEN | 067 | PCX | S | 150 | 33.92 | n/a | n/a | 7.50 | 5.0 |
| CAXTON PART | 040 | PEP | C | 50,000 | 68.77 | n/a | n/a | 1,750.00 | 3.5 |
| BUCK | 015 | PEP | S | 250 | 68.82 | n/a | n/a | 0.00 | 0.0 |
| JP MORGAN VENTURES | 046 | PVH | B | 15,000 | 37.28 | 16-Jan | 16-Jan | 750.00 | 5.0 |
| SIGMA CAPITAL ASSOCIATES | 237 | PVH | SS | 25,000 | 36.89 | 16-Jan | 16-Jan | 1,250.00 | 5.0 |
| WASHINGTON ASSET | 048 | PVH | B | 15,000 | 36.66 | 16-Jan | 16-Jan | 750.00 | 5.0 |
| PATTEN & PATTEN | 067 | PWR | B | 850 | 20.07 | n/a | n/a | 42.50 | 5.0 |
| COUGAR TRADING | 044 | PZN | B | 10,000 | 10.14 | 11-Jan | 15-Jan | 500.00 | 5.0 |
| ROYCE TRADING | 216 | PZN | B | 50,000 | 10.07 | 11-Jan | 15-Jan | 2,500.00 | 5.0 |
| PATTEN & PATTEN | 067 | RHHBY | S | 1,000 | 89.10 | n/a | n/a | 50.00 | 5.0 |
| CAPITAL GROWTH MGMT. | 241 | RIO | S | 500,000 | 27.15 | n/a | n/a | 15,000.00 | 3.0 |
| DENVER INST. ADV | 046 | RL | B | 100,000 | 55.99 | 14-Jan | 14-Jan | 4,000.00 | 4.0 |
| MERRILL ASSET | 032 | RL | B | 36,500 | 55.69 | 14-Jan | 14-Jan | 1,642.50 | 4.5 |
| WHEELER | 008 | RUSHA | S | 3,000 | 15.69 | n/a | n/a | 0.00 | 0.0 |
| BUCK | 015 | SBUX | B | 2,500 | 18.46 | n/a | 24-Apr | 0.00 | 0.0 |
| CENTURION GLOBAL MGMT LL | 041 | SINA | B | 17,000 | 37.35 | n/a | n/a | 510.00 | 3.0 |
| BARR | 096 | SKF | B | 1,500 | 123.95 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| ZOLIDIS | 011 | SKK | S | 500 | 88.65 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | SKX | B | 30,000 | 17.93 | n/a | 13-Mar | 1,200.00 | 4.0 |
| ZOLIDIS | 011 | SKX | C | 500 | 17.56 | n/a | 13-Mar | 0.00 | 0.0 |
| LISTED ERR | 099 | SNA | B | 11,500 | 38.85 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | SNA | S | 11,500 | 38.90 | n/a | n/a | 0.00 | 0.0 |
| MS PRINCIPAL STRATEGIES | 041 | SNDK | B | 25,000 | 27.32 | n/a | n/a | 1,250.00 | 5.0 |
| WHEELER | 008 | SPNC | S | 3,000 | 13.51 | n/a | n/a | 0.00 | 0.0 |
| BUCK | 015 | STI | SS | 1,000 | 60.30 | n/a | n/a | 0.00 | 0.0 |
| MCCARTAN | 028 | SUNH | C | 200 | 16.30 | n/a | n/a | 0.00 | 0.0 |
| COLUMBIA PARTNERS | 028 | SWN | SS | 11,586 | 50.29 | 14-Jan | 14-Jan | 463.44 | 4.0 |
| LISTED ERR | 099 | SWN | S | 338 | 50.70 | 14-Jan | 14-Jan | 0.00 | 0.0 |
| LUCHANSKY1 | 036 | TEVA | S | 300 | 45.72 | 10-Jan | 22-Jan | 0.00 | 0.0 |
| BARON ASSET MGMT* | 012 | TIF | B | 69,400 | 37.37 | 14-Jan | 17-Jan | 3,470.00 | 5.0 |
| J L F ASSET MGMT | 039 | TPX | B | 57,100 | 23.92 | n/a | n/a | 2,284.00 | 4.0 |
| PRINCIPLE CAPITAL | 040 | TPX | B | 164,200 | 23.08 | n/a | n/a | 4,926.00 | 3.0 |
| CENTURION GLOBAL MGMT LL | 041 | TWB | B | 12,400 | 28.77 | 9-Jan | 9-Jan | 372.00 | 3.0 |
| ZOLIDIS | 011 | TWM | S | 400 | 94.07 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|--------------|-----------|---------------|--------------|------------|---------------|---------------|------------|
| MERRILL LYNCH STRATEGICI | 034 | UA | SS | 20,000 | 30.15 | n/a | n/a | 800.00 | 4.0 |
| ZOLIDIS | 011 | UA | C | 300 | 30.10 | n/a | n/a | 0.00 | 0.0 |
| SINCLAIR | 031 | UTXCN | B | 25 | 1.90 | n/a | n/a | 0.00 | 0.0 |
| METROPOLITAN CAPITAL | 044 | VCLK | B | 38,700 | 19.95 | n/a | n/a | 1,935.00 | 5.0 |
| MCCARTAN | 028 | VC | B | 800 | 3.30 | n/a | 18-Jan | 0.00 | 0.0 |
| SINCLAIR | 031 | VC | B | 2,500 | 3.25 | n/a | 18-Jan | 0.00 | 0.0 |
| MERRILL ASSET | 032 | WBS | B | 13,100 | 26.37 | n/a | n/a | 589.50 | 4.5 |
| WHEELER | 008 | WB | B | 3,000 | 32.04 | n/a | n/a | 0.00 | 0.0 |
| SCOPUS FUND | 041 | WDR | B | 50,000 | 29.85 | 21-Nov | 15-Jan | 2,500.00 | 5.0 |
| STADIA CAPITAL | 035 | WFMI | B | 50,000 | 35.32 | n/a | n/a | 2,000.00 | 4.0 |
| PATTEN & PATTEN | 067 | WMI | S | 1,500 | 29.15 | n/a | n/a | 75.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | WWY | SS | 10,000 | 57.73 | n/a | n/a | 400.00 | 4.0 |
| BUCK | 015 | WYE | C | 800 | 42.11 | n/a | 31-Mar | 0.00 | 0.0 |
| NATIONAL BK OF CAN | 031 | XLF | B | 50,000 | 26.02 | n/a | n/a | 2,000.00 | 4.0 |
| NATIONAL BK OF CAN | 031 | XLF | SS | 50,000 | 25.82 | n/a | n/a | 2,000.00 | 4.0 |
| GOLDMAN SACHS ASSET MGMT | 044 | XRX | S | 125,000 | 13.22 | n/a | n/a | 2,500.00 | 2.0 |
| BUCK | 015 | YUM | B | 300 | 33.00 | n/a | 24-Apr | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------|------|--------|-----|--------|-------|-----|----------|--------------|-----|
| BUCK CAPITAL MGMT | 001 | ZQK | B | 10,000 | 7.16 | n/a | 16-Jan | 400.00 | 4.0 |
| COUGAR TRADING | 044 | ZQK | B | 5,000 | 7.03 | n/a | 16-Jan | 250.00 | 5.0 |
| TOTAL (Trade Date) : | | | | | | | | 264,384.31 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|-------|-------------------------------------|------|--------|-----|---------|-------|--------|----------|-----------------|-----|
| AO, | 01/18 | KORMAN (KORMAN) | 003 | ABK | B | 2,000 | 22.50 | n/a | n/a | 0.00 | 0.0 |
| AO,CRT | 01/17 | KORMAN (KORMAN) | 003 | ABK | S | 4,000 | 10.91 | n/a | n/a | 0.00 | 0.0 |
| AO,CXL | 01/17 | KORMAN (KORMAN) | 003 | ABK | S | 4,000 | 10.91 | n/a | n/a | 0.00 | 0.0 |
| AO, | 01/16 | THOMSON HORSTMAN BRYANT (THNBTHBLO) | 040 | ARO | B | 100 | 23.68 | 29-Nov | 11-Jan | 5.00 | 5.0 |
| AO,CXL | 01/16 | THOMSON HORSTMAN BRYANT (THNB) | 040 | ARO | B | 100 | 23.68 | 29-Nov | 11-Jan | 5.00 | 5.0 |
| AO,CXL | 01/17 | GLENHILL CAPITAL (GLEHUBS) | 038 | DHI | S | 199,500 | 11.70 | n/a | n/a | 9975.00 | 5.0 |
| AO,CRT | 01/17 | GLENHILL CAPITAL (GLEHGOLDMA) | 038 | DHI | S | 199,500 | 11.70 | n/a | n/a | 9975.00 | 5.0 |
| CRT | 01/22 | MORGAN LEWIS/MLH (MORLBS) | 046 | INSU | SS | 13,000 | 11.63 | n/a | n/a | 650.00 | 5.0 |
| AO,CRT | 01/17 | KORMAN (KORMAN) | 003 | MBI | S | 3,000 | 11.72 | n/a | n/a | 0.00 | 0.0 |
| AO,CXL | 01/17 | KORMAN (KORMAN) | 003 | MBI | S | 3,000 | 11.72 | n/a | n/a | 0.00 | 0.0 |
| AO, | 01/18 | LISTED ERR (LISTED ERR) | 099 | MER | B | 50,000 | 50.00 | 18-Jan | 22-Jan | 0.00 | 0.0 |
| AO,CXL | 01/18 | STRONG/WELL HOWARD (SCHT) | 038 | MER | B | 50,000 | 50.00 | 18-Jan | 22-Jan | 0.00 | 0.0 |
| AO,CXL | 01/18 | SUNOVA CAPITAL (SUNOMORGAN) | 031 | PZN | SS | 20,000 | 9.47 | 11-Jan | 15-Jan | 1000.00 | 5.0 |
| AO,CRT | 01/18 | SUNOVA CAPITAL (SUNOMORGAN) | 031 | PZN | SS | 20,000 | 9.47 | 11-Jan | 15-Jan | 800.00 | 4.0 |
| AO,CXL | 01/18 | ACK ASSET (ACKAGS) | 028 | WDR | SS | 5,000 | 30.42 | 21-Nov | 15-Jan | 0.00 | 0.0 |
| AO, | 01/18 | ACK ASSET (ACKAGS) | 028 | WDR | SS | 5,000 | 30.42 | 21-Nov | 15-Jan | 250.00 | 5.0 |
| AO, | 01/18 | ROTHSCHILD ASSET (ROTH348) | 040 | WGL | B | 890 | 32.58 | n/a | n/a | 40.05 | 4.5 |
| AO,CXL | 01/18 | ROTHSCHILD ASSET (ROTH346) | 040 | WGL | B | 890 | 32.58 | n/a | n/a | 40.05 | 4.5 |
| AO, | 01/18 | GOLDMAN SACHS ASSET MGMT (GSAM398) | 044 | XRX | S | 220,000 | 13.26 | n/a | n/a | 3300.00 | 1.5 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 4,000.00 | |

| | |
|-----------------------|------------|
| TOTAL (Trade Date): | 264,384.31 |
| TOTAL (AO, CXL, CRT): | 4,000.00 |

| | |
|--------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS: | 268,384.31 |
|--------------------------------|-------------------|

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