



Daily Compliance Activity Report

Trade Date: 01/23/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 2

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|-------------|----------|---------------|---------------|---------------|---------------|-----------------|------------|
| CASTLE ARK | 031 | AAPL | B | 64,580 | 130.53 | n/a | n/a | 3,874.80 | 6.0 |
| LEDDY | 035 | AAPL | B | 125 | 134.52 | n/a | n/a | 0.00 | 0.0 |
| BALYASNY ASSET MGMT | 044 | AB | S | 20,000 | 59.37 | 11-Jan | 23-Jan | 1,000.00 | 5.0 |
| PATTEN & PATTEN | 067 | ACL | S | 100 | 140.07 | 26-Oct | 23-Jan | 5.00 | 5.0 |
| PATTEN & PATTEN | 067 | ADSK | B | 200 | 40.73 | n/a | n/a | 10.00 | 5.0 |
| PERRY PARTNERS | 041 | ADS | SS | 50,000 | 64.78 | n/a | n/a | 1,500.00 | 3.0 |
| CENTURION GLOBAL MGMT LL | 041 | AEO | B | 51,000 | 21.43 | 11-Jan | 11-Jan | 1,530.00 | 3.0 |
| CENTURION GLOBAL MGMT LL | 041 | AEO | S | 170,285 | 21.48 | 11-Jan | 11-Jan | 5,108.55 | 3.0 |
| THE JAY GOLDMAN | 034 | AEO | B | 45,000 | 21.80 | 11-Jan | 11-Jan | 1,800.00 | 4.0 |
| LISTED ERR | 099 | AEO | B | 3,000 | 21.30 | 11-Jan | 11-Jan | 0.00 | 0.0 |
| LISTED ERR | 099 | AEO | S | 3,000 | 21.01 | 11-Jan | 11-Jan | 0.00 | 0.0 |
| COLONIAL FUND LLC | 036 | AIG | B | 25,000 | 52.83 | n/a | n/a | 1,250.00 | 5.0 |
| PAW PARTNERS | 041 | AKAM | B | 6,000 | 25.91 | n/a | n/a | 300.00 | 5.0 |
| LUCHANSKY | 036 | AMR | S | 1,000 | 14.18 | n/a | n/a | 0.00 | 0.0 |
| MCERLEAN | RR2 | AMR | S | 500 | 13.36 | n/a | n/a | 0.00 | 0.0 |
| SAC TRADING HOWARD | 038 | AMZN | SS | 15,000 | 70.11 | n/a | n/a | 750.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | ANF | B | 30,000 | 74.24 | 10-Jan | 22-Jan | 1,200.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|--------------|----------|--------------|--------------|------------|------------|---------------|------------|
| CENTURION GLOBAL MGMT LL | 041 | ANF | B | 2,600 | 74.12 | 10-Jan | 22-Jan | 78.00 | 3.0 |
| CENTURION GLOBAL MGMT LL | 041 | ANF | S | 3,300 | 75.72 | 10-Jan | 22-Jan | 99.00 | 3.0 |
| MERRILL ASSET | 032 | ANF | B | 6,500 | 75.82 | 10-Jan | 22-Jan | 292.50 | 4.5 |
| COUGAR TRADING | 044 | ANN | SS | 5,000 | 21.32 | 11-Jan | 11-Jan | 250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | APP | B | 3,300 | 10.87 | n/a | n/a | 132.00 | 4.0 |
| COUGAR TRADING | 044 | ARO | S | 5,000 | 25.78 | 29-Nov | 11-Jan | 250.00 | 5.0 |
| THE JAY GOLDMAN | 034 | ARO | S | 15,000 | 23.74 | 29-Nov | 11-Jan | 600.00 | 4.0 |
| CENTURION GLOBAL MGMT LL | 041 | ATVI | S | 6,062 | 26.24 | n/a | n/a | 181.86 | 3.0 |
| ZOLIDIS | 011 | BARE | C | 500 | 20.88 | n/a | n/a | 0.00 | 0.0 |
| NATIONAL BK OF CAN | 031 | BBT | SS | 35,000 | 33.47 | n/a | n/a | 1,400.00 | 4.0 |
| GASNER | 025 | BEARX | S | 178 | 6.67 | n/a | n/a | 0.00 | 0.0 |
| DIAMONDBACK CAP MGMT | 232 | BGP | C | 50,000 | 10.30 | n/a | n/a | 2,500.00 | 5.0 |
| CATTANI | 041 | CAL | S | 1,000 | 26.77 | n/a | n/a | 0.00 | 0.0 |
| BARR | 096 | CAMD | S | 7,000 | 3.65 | n/a | n/a | 0.00 | 0.0 |
| GASNER | 025 | CAT | S | 50 | 62.80 | n/a | n/a | 0.00 | 0.0 |
| RAINIER INV MGMT | 035 | CBE | S | 195,495 | 43.69 | n/a | 23-Oct | 8,574.95 | 4.5 |
| MERRILL ASSET | 032 | CFR | S | 14,500 | 50.06 | n/a | n/a | 725.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|-----------|---------------|--------------|---------------|---------------|---------------|------------|
| KORMAN | 003 | CFSG | B | 5,000 | 10.05 | n/a | n/a | 0.00 | 0.0 |
| HART | 056 | CHCG | B | 280 | 3.21 | n/a | n/a | 0.00 | 0.0 |
| OGORMAN | 046 | CHS | SS | 2,000 | 8.80 | 10-Jan | 11-Jan | 0.00 | 0.0 |
| PATTEN & PATTEN | 067 | CIU | B | 750 | 103.08 | n/a | n/a | 37.50 | 5.0 |
| COLONIAL FUND LLC | 036 | CLMS | SS | 10,000 | 21.09 | 15-Jan | 23-Jan | 500.00 | 5.0 |
| COUGAR TRADING | 044 | CLMS | B | 7,500 | 21.41 | 15-Jan | 23-Jan | 375.00 | 5.0 |
| KORMAN | 003 | CNE | S | 50 | 1.60 | n/a | n/a | 0.00 | 0.0 |
| PATTEN & PATTEN | 067 | CNI | B | 200 | 46.49 | n/a | n/a | 10.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | CRI | B | 20,000 | 17.37 | n/a | n/a | 800.00 | 4.0 |
| PAW PARTNERS | 041 | CSCO | B | 30,000 | 22.97 | n/a | 22-Mar | 1,500.00 | 5.0 |
| LEDDY | 035 | CSR | B | 500 | 16.95 | n/a | n/a | 0.00 | 0.0 |
| PATTEN & PATTEN | 067 | CVA | B | 400 | 24.39 | n/a | n/a | 20.00 | 5.0 |
| PATTEN & PATTEN | 067 | CVS | B | 300 | 37.48 | n/a | n/a | 15.00 | 5.0 |
| WHALE ROCK CAP | 030 | CWTR | B | 144,511 | 4.28 | n/a | n/a | 5,780.44 | 4.0 |
| TRELLUS PARTNERS LP | 028 | C | C | 10,000 | 25.05 | 16-Jan | 22-Jan | 500.00 | 5.0 |
| BUCK | 015 | C | S | 1,500 | 24.39 | 16-Jan | 22-Jan | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|------------|-------------|----------|------------|---------------|---------------|---------------|--------------|------------|
| CAXTON PART | 040 | DAL | B | 100,000 | 14.97 | n/a | n/a | 3,500.01 | 3.5 |
| ZOLIDIS | 011 | DECK | B | 100 | 122.36 | n/a | n/a | 0.00 | 0.0 |
| HEALY CIRCLE | 044 | DFS | B | 25,000 | 12.84 | n/a | n/a | 1,250.00 | 5.0 |
| PRINCIPLE CAPITAL | 040 | DKS | SS | 33,900 | 29.35 | n/a | 27-Nov | 1,017.00 | 3.0 |
| WHALE ROCK CAP | 030 | DPZ | B | 30,000 | 12.98 | n/a | 24-Apr | 1,200.00 | 4.0 |
| GAULT | 063 | DUG | B | 300 | 50.21 | n/a | n/a | 0.00 | 0.0 |
| GAULT | 063 | DUG | S | 200 | 51.40 | n/a | n/a | 0.00 | 0.0 |
| SERENGETI MGMT | 030 | DUK | B | 150,000 | 18.62 | n/a | n/a | 7,500.00 | 5.0 |
| WILLIAM BLAIR | 031 | DV | S | 47,850 | 49.61 | n/a | n/a | 1,914.00 | 4.0 |
| PAW PARTNERS | 041 | EBAY | S | 30,000 | 28.79 | n/a | n/a | 1,500.00 | 5.0 |
| TRELLUS PARTNERS LP | 028 | EL | C | 50,000 | 38.58 | 4-Jan | 4-Jan | 2,500.00 | 5.0 |
| MCCARTAN | 028 | EL | C | 100 | 41.09 | 4-Jan | 4-Jan | 0.00 | 0.0 |
| SINCLAIR | 031 | ETH | C | 500 | 27.75 | n/a | n/a | 0.00 | 0.0 |
| ENTRUST CAPITAL | 040 | ETN | B | 20,000 | 79.41 | 22-Jan | 22-Jan | 1,000.00 | 5.0 |
| GAULT | 063 | ETN | B | 200 | 76.32 | 22-Jan | 22-Jan | 0.00 | 0.0 |
| PATTEN & PATTEN | 067 | EWG | S | 1,000 | 29.53 | n/a | n/a | 50.00 | 5.0 |
| PATTEN & PATTEN | 067 | EWJ | S | 2,000 | 12.04 | n/a | n/a | 100.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------|------|--------|-----|---------|-------|--------|----------|--------------|-----|
| KACELA CAPITAL | 034 | FDO | S | 20,000 | 18.95 | 8-Jan | 11-Jan | 800.00 | 4.0 |
| LEDDY | 035 | FIG | S | 1,200 | 11.87 | n/a | n/a | 0.00 | 0.0 |
| JACOB | 068 | FMX | S | 171 | 32.49 | n/a | n/a | 0.00 | 0.0 |
| CAPITAL GROWTH MGMT. | 241 | FNF | B | 600,000 | 15.58 | n/a | n/a | 24,000.00 | 4.0 |
| SAC TRADING/BILLY | 063 | FNF | SS | 100,000 | 15.50 | n/a | n/a | 5,000.00 | 5.0 |
| NEW JERSEY DIV OF INV. | 220 | FPL | S | 75,000 | 60.90 | n/a | n/a | 3,000.00 | 4.0 |
| BUCK | 015 | GAADQ | B | 8 | 2.15 | n/a | n/a | 0.00 | 0.0 |
| GASNER | 025 | GDX | S | 100 | 47.84 | n/a | n/a | 0.00 | 0.0 |
| BUCK | 015 | GENZ | S | 1,300 | 75.61 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | GIL | B | 40,000 | 32.29 | 22-Jan | 22-Jan | 1,600.00 | 4.0 |
| DELTEC ASSET MGMT. | 040 | GLW | B | 25,000 | 21.04 | n/a | 26-Dec | 1,250.00 | 5.0 |
| PATTEN & PATTEN | 067 | GLW | B | 300 | 21.24 | n/a | 26-Dec | 15.00 | 5.0 |
| SINCLAIR | 031 | GMOF | S | 15 | 6.35 | n/a | n/a | 0.00 | 0.0 |
| SINCLAIR | 031 | GMRX | B | 70 | 2.75 | n/a | n/a | 0.00 | 0.0 |
| MCCARTAN | 028 | GM | SS | 200 | 25.86 | 3-Jan | 18-Jan | 0.00 | 0.0 |
| LEDDY | 035 | GM | SS | 600 | 25.30 | 3-Jan | 18-Jan | 0.00 | 0.0 |
| OGORMAN | 046 | GM | SS | 1,000 | 26.07 | 3-Jan | 18-Jan | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|--------------|-----------|---------------|--------------|---------------|---------------|---------------|------------|
| WAGONHOUND | 048 | GNTX | SS | 12,100 | 14.47 | n/a | 17-Jan | 484.00 | 4.0 |
| NATIONAL BK OF CAN | 031 | GS | S | 5,500 | 193.05 | 21-Sep | 22-Jan | 220.00 | 4.0 |
| SANDLER O'NEILL ASSET | 031 | GS | B | 25,000 | 193.16 | 21-Sep | 22-Jan | 1,250.00 | 5.0 |
| BLUE HARBOR | 036 | GYMB | S | 7,500 | 35.07 | 10-Aug | 11-Jan | 300.00 | 4.0 |
| THIRD COAST CAPITAL | 035 | GYMB | B | 25,000 | 34.90 | 10-Aug | 11-Jan | 1,250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | HBI | B | 20,000 | 23.10 | n/a | n/a | 800.00 | 4.0 |
| MATTHES CAPITAL MGMT | 033 | HBI | B | 84,000 | 22.91 | n/a | n/a | 3,360.00 | 4.0 |
| LEDDY | 035 | HCGI | B | 2,500 | 0.66 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | HOG | SS | 10,000 | 40.32 | n/a | n/a | 400.00 | 4.0 |
| RAINIER INV MGMT | 035 | HOS | S | 30,000 | 38.33 | n/a | n/a | 1,500.00 | 5.0 |
| PATTEN & PATTEN | 067 | IGM | B | 300 | 50.45 | n/a | n/a | 15.00 | 5.0 |
| CROWLEY | 061 | ILA | B | 5,000 | 3.29 | n/a | n/a | 0.00 | 0.0 |
| MKT MAKER | 099 | INTC | S | 200 | 18.31 | n/a | n/a | 0.00 | 0.0 |
| GASNER | 025 | IYTOR | S | 1 | 15.30 | n/a | n/a | 0.00 | 0.0 |
| BRIGHTPOINT CAP | 067 | JCG | SS | 25,000 | 38.75 | 28-Nov | 18-Jan | 1,000.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | JCG | S | 20,000 | 38.79 | 28-Nov | 18-Jan | 800.00 | 4.0 |
| COUGAR TRADING | 044 | JCG | B | 5,000 | 38.90 | 28-Nov | 18-Jan | 250.00 | 5.0 |
| MATTHES CAPITAL MGMT | 033 | JCG | B | 75,000 | 39.23 | 28-Nov | 18-Jan | 3,000.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|--------------|-----------------|------------|
| GALLEON MGMT LP | 033 | JCI | S | 10,000 | 29.59 | 23-Jan | 23-Jan | 500.00 | 5.0 |
| PATTEN & PATTEN | 067 | JNJ | S | 200 | 63.89 | n/a | 22-Apr | 10.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | JNS | B | 40,000 | 25.24 | 9-Jan | 23-Jan | 2,000.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | JNY | B | 50,000 | 14.37 | n/a | 1-Nov | 2,000.00 | 4.0 |
| MERRILL ASSET | 032 | JNY | B | 15,000 | 14.20 | n/a | 1-Nov | 675.00 | 4.5 |
| NATIONAL BK OF CAN | 031 | JPM | S | 20,000 | 42.41 | 17-Jan | 22-Jan | 800.00 | 4.0 |
| CENTURION GLOBAL MGMT LL | 041 | JWN | B | 41,200 | 34.05 | 20-Nov | 11-Jan | 1,236.00 | 3.0 |
| CENTURION GLOBAL MGMT LL | 041 | JWN | S | 104,800 | 34.52 | 20-Nov | 11-Jan | 3,144.00 | 3.0 |
| COUGAR TRADING | 044 | JWN | S | 5,000 | 36.29 | 20-Nov | 11-Jan | 250.00 | 5.0 |
| JP MORGAN VENTURES | 046 | JWN | SS | 15,000 | 34.35 | 20-Nov | 11-Jan | 750.00 | 5.0 |
| THE JAY GOLDMAN | 034 | JWN | S | 20,000 | 35.24 | 20-Nov | 11-Jan | 800.00 | 4.0 |
| NATIONAL BK OF CAN | 031 | KEY | B | 33,500 | 23.47 | n/a | n/a | 1,340.00 | 4.0 |
| BENCHMARK | 028 | KMX | B | 10,000 | 19.21 | n/a | 10-Jan | 500.00 | 5.0 |
| MS PRINCIPAL STRATEGIES | 041 | KND | S | 48,344 | 26.94 | n/a | n/a | 2,417.20 | 5.0 |
| BALYASNY ASSET MGMT | 044 | KSS | SS | 10,000 | 43.28 | 4-Jan | 11-Jan | 500.00 | 5.0 |
| CENTURION GLOBAL MGMT LL | 041 | KSS | B | 8,700 | 43.32 | 4-Jan | 11-Jan | 261.00 | 3.0 |
| COUGAR TRADING | 044 | KSS | B | 5,000 | 42.62 | 4-Jan | 11-Jan | 250.00 | 5.0 |
| SIGMA CAPITAL ASSOCIATES | 237 | KSS | B | 50,000 | 43.23 | 4-Jan | 11-Jan | 2,500.00 | 5.0 |
| KACELA CAPITAL | 034 | K | B | 15,000 | 46.71 | n/a | n/a | 600.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------------|------------|-------------|-----------|----------------|--------------|------------|---------------|------------------|------------|
| NATIONAL BK OF CAN | 031 | LEH | B | 20,000 | 55.53 | n/a | 22-Jan | 800.00 | 4.0 |
| NATIONAL BK OF CAN | 031 | LEH | S | 20,000 | 55.31 | n/a | 22-Jan | 800.00 | 4.0 |
| APEX CAPITAL MGMT. | 091 | LIZ | SS | 200,000 | 20.47 | n/a | 31-Oct | 10,000.00 | 5.0 |
| STADIA CAPITAL | 035 | LIZ | B | 60,000 | 20.69 | n/a | 31-Oct | 2,400.00 | 4.0 |
| THIRD COAST CAPITAL | 035 | LIZ | B | 25,000 | 19.90 | n/a | 31-Oct | 1,250.00 | 5.0 |
| FORD FDN. | 032 | LLY | S | 37,000 | 51.31 | n/a | n/a | 1,850.00 | 5.0 |
| KACELA CAPITAL | 034 | LOW | B | 18,000 | 24.06 | n/a | 27-Jul | 720.00 | 4.0 |
| KACELA CAPITAL | 034 | MAR | B | 15,000 | 34.17 | n/a | n/a | 600.00 | 4.0 |
| PATTEN & PATTEN | 067 | MBI | S | 100 | 16.36 | n/a | n/a | 5.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | MDC | S | 1,400 | 42.02 | n/a | n/a | 56.00 | 4.0 |
| JACOB | 068 | MDR | S | 270 | 37.56 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | MHK | SS | 20,000 | 69.73 | n/a | n/a | 800.00 | 4.0 |
| TRUST CO/COWEN/CALF. | 040 | MOT | B | 473,790 | 9.98 | n/a | n/a | 18,951.60 | 4.0 |
| PERRY PARTNERS | 041 | MPG | SS | 25,000 | 25.63 | n/a | n/a | 750.00 | 3.0 |
| NATIONAL BK OF CAN | 031 | MS | B | 21,000 | 48.49 | 20-Dec | 22-Jan | 840.00 | 4.0 |
| NATIONAL BK OF CAN | 031 | MS | SS | 25,000 | 48.78 | 20-Dec | 22-Jan | 1,000.00 | 4.0 |
| UBS OCONNOR | 031 | MS | B | 50,000 | 49.03 | 20-Dec | 22-Jan | 1,500.00 | 3.0 |
| WHEELER | 008 | MTRX | B | 400 | 16.55 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|--------------|---------------|---------------|------------|
| WILLIAM BLAIR | 031 | MXIM | S | 40,000 | 18.69 | n/a | n/a | 1,600.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | M | B | 30,000 | 23.75 | 4-Jan | 11-Jan | 1,500.00 | 5.0 |
| BEAR STEARNS ASSET MGMT. | 033 | M | B | 50,000 | 24.24 | 4-Jan | 11-Jan | 2,000.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | M | S | 20,000 | 23.75 | 4-Jan | 11-Jan | 800.00 | 4.0 |
| COUGAR TRADING | 044 | M | S | 5,000 | 24.99 | 4-Jan | 11-Jan | 250.00 | 5.0 |
| JP MORGAN VENTURES | 046 | M | B | 15,000 | 24.73 | 4-Jan | 11-Jan | 750.00 | 5.0 |
| MCERLEAN | RR2 | M | B | 500 | 24.70 | 4-Jan | 11-Jan | 0.00 | 0.0 |
| MCERLEAN | RR2 | M | S | 500 | 24.43 | 4-Jan | 11-Jan | 0.00 | 0.0 |
| SONAR CAP MGMT | 039 | NOK | B | 75,000 | 31.56 | n/a | n/a | 3,750.00 | 5.0 |
| DARUMA ASSET MGMT INC | 034 | NP | B | 23,700 | 25.16 | 8-Jan | 23-Jan | 1,185.00 | 5.0 |
| WELLS/STRONG LEDDY | 035 | NWY | B | 2,700 | 4.33 | n/a | 18-Jan | 108.00 | 4.0 |
| JACOB | 068 | OII | S | 375 | 55.57 | n/a | n/a | 0.00 | 0.0 |
| CENTURION GLOBAL MGMT LL | 041 | PAYX | B | 13,100 | 32.25 | n/a | n/a | 393.00 | 3.0 |
| BUCK | 015 | PEP | S | 1,000 | 68.01 | n/a | n/a | 0.00 | 0.0 |
| FIRST NY SEC/CHRIS | 041 | PFE | B | 20,000 | 22.44 | n/a | 31-Mar | 1,200.00 | 6.0 |
| COUGAR TRADING | 044 | PKG | B | 10,000 | 21.89 | 23-Jan | 23-Jan | 500.00 | 5.0 |
| COUGAR TRADING | 044 | PKG | S | 10,000 | 21.94 | 23-Jan | 23-Jan | 500.00 | 5.0 |
| HIGHBRIDGE CAPITAL | 038 | PKG | B | 180,000 | 22.93 | 23-Jan | 23-Jan | 9,000.00 | 5.0 |
| IVORY CAPITAL | 034 | PNC | B | 100,000 | 59.21 | n/a | n/a | 5,000.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| CENTURION GLOBAL MGMT LL | 041 | PRGO | S | 1,300 | 30.59 | n/a | n/a | 39.00 | 3.0 |
| CENTURION GLOBAL MGMT LL | 041 | PSPT | S | 3,000 | 13.91 | n/a | n/a | 90.00 | 3.0 |
| MERRILL ASSET | 032 | PVH | B | 60,000 | 39.90 | 16-Jan | 16-Jan | 2,700.00 | 4.5 |
| BULL PATH CAPITAL | 044 | RCL | S | 23,200 | 35.55 | n/a | 23-Oct | 1,160.00 | 5.0 |
| COLONIAL FUND LLC | 036 | RDN | S | 25,000 | 7.17 | n/a | n/a | 1,250.00 | 5.0 |
| MERRILL ASSET | 032 | RGA | B | 34,900 | 48.97 | n/a | n/a | 1,570.50 | 4.5 |
| CENTURION GLOBAL MGMT LL | 041 | RIMM | B | 6,300 | 82.16 | n/a | n/a | 189.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | RL | S | 30,000 | 56.07 | 14-Jan | 14-Jan | 1,200.00 | 4.0 |
| DENVER INST. ADV | 046 | RL | B | 5,000 | 54.78 | 14-Jan | 14-Jan | 200.00 | 4.0 |
| WAGONHOUND | 048 | RL | SS | 5,160 | 54.79 | 14-Jan | 14-Jan | 206.40 | 4.0 |
| GAULT | 063 | SDS | SS | 500 | 70.50 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | SKT | S | 10,000 | 35.04 | n/a | n/a | 400.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | SKX | B | 100,000 | 18.59 | n/a | 13-Mar | 4,000.00 | 4.0 |
| ZOLIDIS | 011 | SKX | C | 500 | 18.03 | n/a | 13-Mar | 0.00 | 0.0 |
| ZOLIDIS | 011 | SKX | SS | 500 | 18.80 | n/a | 13-Mar | 0.00 | 0.0 |
| EMP ERROR | 099 | SKX | C | 500 | 18.44 | n/a | 13-Mar | 0.00 | 0.0 |
| EMP ERROR | 099 | SKX | SS | 500 | 18.44 | n/a | 13-Mar | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | SPG | S | 20,000 | 82.47 | n/a | n/a | 800.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|--------|----------|--------------|-----|
| BUCK | 015 | STI | C | 1,000 | 56.83 | n/a | n/a | 0.00 | 0.0 |
| SINCLAIR | 031 | SWNFK | B | 6 | 3.70 | n/a | n/a | 0.00 | 0.0 |
| SINCUTMA | 031 | SWN | B | 50 | 49.25 | 14-Jan | 14-Jan | 0.00 | 0.0 |
| LISTED ERR | 099 | SWN | S | 62 | 49.99 | 14-Jan | 14-Jan | 0.00 | 0.0 |
| DELTEC ASSET MGMT. | 040 | TEX | B | 6,000 | 49.05 | n/a | n/a | 300.00 | 5.0 |
| TPG-AXON | 040 | TGT | SS | 72,000 | 54.38 | n/a | 27-Jul | 3,600.00 | 5.0 |
| US BANCORP | 030 | TIN | B | 132,467 | 15.71 | 8-Jan | 23-Jan | 6,623.35 | 5.0 |
| CENTURION GLOBAL MGMT LL | 041 | TJX | B | 29,000 | 30.53 | 21-Sep | 11-Jan | 870.00 | 3.0 |
| CENTURION GLOBAL MGMT LL | 041 | TJX | S | 58,000 | 30.26 | 21-Sep | 11-Jan | 1,740.00 | 3.0 |
| VICTORIA INVESTORS LP | 060 | TJX | B | 5,000 | 29.98 | 21-Sep | 11-Jan | 250.00 | 5.0 |
| PALMYRA CAPITAL | 048 | TLB | SS | 52,600 | 7.99 | n/a | 7-Jan | 1,578.00 | 3.0 |
| ZOLIDIS | 011 | TWM | B | 800 | 91.80 | n/a | n/a | 0.00 | 0.0 |
| PATTEN & PATTEN | 067 | TWTC | B | 500 | 17.66 | 9-Nov | 4-Jan | 25.00 | 5.0 |
| GASNER | 025 | UNWPX | S | 57 | 26.14 | n/a | n/a | 0.00 | 0.0 |
| MCCARTAN | 028 | URBN | B | 300 | 24.31 | 3-Jan | 18-Jan | 0.00 | 0.0 |
| LEHMAN PROPRIETARY TRAD | 041 | USG | B | 50,000 | 34.06 | 8-Jan | 23-Jan | 2,000.00 | 4.0 |
| SINCLAIR | 031 | UTXCN | S | 25 | 3.50 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|---------------|---------------|------------|
| PATTEN & PATTEN | 067 | UTX | S | 100 | 70.30 | n/a | n/a | 5.00 | 5.0 |
| LEDDY | 035 | VC | B | 3,000 | 3.54 | n/a | 18-Jan | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | VNO | S | 20,000 | 82.63 | n/a | n/a | 800.00 | 4.0 |
| DC CAPITAL | 044 | VZ | B | 50,000 | 35.84 | n/a | 4-Jan | 2,000.00 | 4.0 |
| COLONIAL FUND LLC | 036 | WDR | SS | 4,800 | 29.57 | 21-Nov | 23-Jan | 240.00 | 5.0 |
| SUNOVA CAPITAL | 031 | WDR | SS | 10,000 | 28.01 | 21-Nov | 23-Jan | 500.00 | 5.0 |
| TRELLUS PARTNERS LP | 028 | WDR | C | 30,000 | 29.44 | 21-Nov | 23-Jan | 1,500.00 | 5.0 |
| NEW JERSEY DIV OF INV. | 220 | WEC | S | 100,000 | 45.17 | n/a | n/a | 4,000.00 | 4.0 |
| CAXTON PART | 040 | WFC | B | 58,448 | 27.80 | n/a | n/a | 2,045.69 | 3.5 |
| COLONIAL FUND LLC | 036 | WFC | B | 25,000 | 28.98 | n/a | n/a | 1,250.00 | 5.0 |
| KACELA CAPITAL | 034 | WMT | S | 14,000 | 48.52 | n/a | 11-Jan | 560.00 | 4.0 |
| TPG-AXON | 040 | WMT | SS | 95,000 | 49.47 | n/a | 11-Jan | 4,750.00 | 5.0 |
| COLONIAL FUND LLC | 036 | WM | S | 25,000 | 15.40 | n/a | n/a | 1,250.00 | 5.0 |
| NATIONAL BK OF CAN | 031 | XLF | B | 100,000 | 26.62 | n/a | n/a | 4,000.00 | 4.0 |
| NATIONAL BK OF CAN | 031 | XLF | S | 100,000 | 26.65 | n/a | n/a | 4,000.00 | 4.0 |
| GAULT | 063 | XRT | B | 1,000 | 30.68 | n/a | n/a | 0.00 | 0.0 |
| DEMARTINI | 065 | XRT | B | 500 | 31.08 | n/a | n/a | 0.00 | 0.0 |
| MCERLEAN | RR2 | XRT | S | 500 | 31.82 | n/a | n/a | 0.00 | 0.0 |
| GOLDMAN SACHS ASSET MGMT | 044 | XRX | S | 80,000 | 13.24 | n/a | n/a | 1,200.00 | 1.5 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------|--------|-----|--------|-------|--------|----------|-------------------|-----|
| COUGAR TRADING | 044 | ZQK | B | 10,000 | 8.08 | 23-Jan | 23-Jan | 500.00 | 5.0 |
| MCCARTAN | 028 | ZQK | SS | 500 | 9.04 | 23-Jan | 23-Jan | 0.00 | 0.0 |
| CENTURION GLOBAL MGMT LL | 041 | ZUMZ | B | 6,300 | 17.23 | n/a | n/a | 189.00 | 3.0 |
| TOTAL (Trade Date): | | | | | | | | 265,747.35 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------|-------|-------------------------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| AO, | 01/22 | ROYCE TRADING (ROYC75) | 216 | AB | B | 100 | 59.43 | 11-Jan | 23-Jan | 5.00 | 5.0 |
| AO, | 01/22 | ROYCE TRADING (ROYC25) | 216 | AB | B | 500 | 59.43 | 11-Jan | 23-Jan | 25.00 | 5.0 |
| AO, | 01/22 | ROYCE TRADING (ROYC52) | 216 | AB | B | 1,600 | 59.43 | 11-Jan | 23-Jan | 80.00 | 5.0 |
| AO, | 01/22 | ROYCE TRADING (ROYC6) | 216 | AB | B | 13,300 | 59.43 | 11-Jan | 23-Jan | 665.00 | 5.0 |
| AO,CRT | 01/22 | DAVIDSON KEMPNER ADVISOR (DAVIBEAR) | 040 | DAL | S | 116,881 | 15.04 | n/a | n/a | 5844.05 | 5.0 |
| AO, | 01/22 | DAVIDSON KEMPNER ADVISOR (DAVIBEAR) | 040 | DAL | S | 319 | 15.04 | n/a | n/a | 15.95 | 5.0 |
| AO,CXL | 01/22 | DAVIDSON KEMPNER ADVISOR (DAVIGS) | 040 | DAL | S | 117,200 | 15.04 | n/a | n/a | 5860.00 | 5.0 |
| CRT | 01/23 | ENTRUST CAPITAL (ENTRBANC O) | 040 | ETN | B | 6,500 | 79.41 | 22-Jan | 22-Jan | 325.00 | 5.0 |
| CRT | 01/23 | WAGONHOUND (WAGO) | 048 | GNTX | SS | 12,100 | 14.47 | n/a | 17-Jan | 484.00 | 4.0 |
| CRT | 01/23 | MKT MAKER (MKT MAKER) | 099 | INTC | S | 200 | 18.31 | n/a | n/a | 0.00 | 0.0 |
| AO,CXL | 01/22 | APEX CAPITAL MGMT. (APEXUBS) | 091 | JCP | S | 20,000 | 42.90 | 4-Jan | 11-Jan | 1000.00 | 5.0 |
| AO, | 01/22 | APEX CAPITAL MGMT. (APEXUBS) | 091 | JCP | S | 20,000 | 42.84 | 4-Jan | 11-Jan | 1000.00 | 5.0 |
| AO,CXL | 01/22 | APEX CAPITAL MGMT. (APEXSTATE) | 091 | JCP | S | 15,000 | 42.90 | 4-Jan | 11-Jan | 750.00 | 5.0 |
| AO, | 01/22 | APEX CAPITAL MGMT. (APEXSTATE) | 091 | JCP | S | 15,000 | 43.00 | 4-Jan | 11-Jan | 750.00 | 5.0 |
| AO,CXL | 01/22 | APEX CAPITAL MGMT. (APEXMORGAN) | 091 | JCP | S | 35,000 | 42.90 | 4-Jan | 11-Jan | 1750.00 | 5.0 |
| AO,CXL | 01/22 | APEX CAPITAL MGMT. (APEXMORGAN) | 091 | JCP | S | 80,000 | 42.90 | 4-Jan | 11-Jan | 4000.00 | 5.0 |
| AO, | 01/22 | APEX CAPITAL MGMT. (APEXMORGAN) | 091 | JCP | S | 35,000 | 43.00 | 4-Jan | 11-Jan | 1750.00 | 5.0 |
| AO, | 01/22 | APEX CAPITAL MGMT. (APEXMORGAN) | 091 | JCP | S | 80,000 | 42.84 | 4-Jan | 11-Jan | 4000.00 | 5.0 |
| AO,CRT | 01/17 | N STRATTON (N STRATTON) | 014 | MGM | B | 99 | 68.00 | n/a | 9-Jan | 0.00 | 0.0 |
| AO,CXL | 01/17 | N STRATTON (N STRATTON) | 014 | MGM | B | 99 | 68.00 | n/a | 9-Jan | 0.00 | 0.0 |
| AO,CRT | 01/17 | N STRATTON (N STRATTON) | 014 | MGM | B | 99 | 67.60 | n/a | 9-Jan | 0.00 | 0.0 |
| AO,CXL | 01/17 | N STRATTON (N STRATTON) | 014 | MGM | B | 99 | 67.60 | n/a | 9-Jan | 0.00 | 0.0 |
| CRT | 01/23 | EMP ERROR (EMP ERROR) | 099 | SKX | C | 300 | 18.44 | n/a | 13-Mar | 0.00 | 0.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------|-------|-------------------------|------|--------|-----|--------|-------|--------|----------|-------------|
| CRT | 01/23 | EMP ERROR (EMP ERROR) | 099 | SKX | C | 200 | 18.44 | n/a | 13-Mar | 0.00 0.0 |
| CRT | 01/23 | EMP ERROR (EMP ERROR) | 099 | SKX | SS | 500 | 18.44 | n/a | 13-Mar | 0.00 0.0 |
| AO, | 01/22 | LISTED ERR (LISTED ERR) | 097 | SWN | B | 2,000 | 50.29 | 14-Jan | 14-Jan | 0.00 0.0 |

| | |
|-------------------------------|-----------------|
| TOTAL (AO, CXL, CRT) : | 1,584.00 |
|-------------------------------|-----------------|

| | |
|-----------------------|------------|
| TOTAL (Trade Date): | 265,747.35 |
| TOTAL (AO, CXL, CRT): | 1,584.00 |

| | |
|--------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS: | 267,331.35 |
|--------------------------------|-------------------|

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