

Daily Compliance Activity Report Trade Date: 03/19/2009

POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
WINSLOW CAPITAL	030	ACL	S	200	86.10	n/a	19-Mar	8.00	4.0
CHART WELL ADV	028	ADS	S	160,493	32.91	n/a	n/a	6,419.72	4.0
BALYASNY ASSET MGMT	044	ALV	SS	20,000	18.10	12-Mar	12-Mar	1,000.00	5.0
WINSLOW CAPITAL	030	AMT	S	300	30.76	n/a	n/a	12.00	4.0
NEWLAND CAPITAL MGT	067	AOS	S	2,800	24.33	12-Feb	12-Feb	112.00	4.0
WINSLOW CAPITAL	030	BAX	S	300	50.23	n/a	22-Apr	12.00	4.0
ACK ASSET	028	BWA	SS	7,700	20.00	12-Mar	19-Mar	231.00	3.0
BRENCOURT	028	BWA	SS	50,000	20.03	12-Mar	19-Mar	2,500.00	5.0
COUGAR TRADING	044	BWA	SS	10,000	20.26	12-Mar	19-Mar	500.00	5.0
LITESPEED	028	BWA	SS	150,000	19.82	12-Mar	19-Mar	4,500.00	3.0
MARINER/TRICADIA	041	BWA	SS	20,000	20.02	12-Mar	19-Mar	1,000.00	5.0
WINSLOW CAPITAL	030	CCL	S	300	22.54	n/a	26-Jan	12.00	4.0
SCOPUS FUND	041	CLW	В	16,700	8.80	n/a	n/a	835.00	5.0
STELLIAM INV ADV	040	CLW	В	15,000	8.49	n/a	n/a	750.00	5.0
FRONTPOINT/COPIA-ANDREW	031	CNQ	В	47,700	42.37	n/a	n/a	1,669.50	3.5
NEWCASTLE FUNDS	033	CONN	В	3,000	13.77	n/a	n/a	120.00	4.0
WINSLOW CAPITAL	030	CVS	S	600	26.46	n/a	n/a	24.00	4.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
	AMBER CAPITAL	046	CX	SS	200,000	5.82	n/a	n/a	8,000.00	4.0
	DELTEC ASSET MGMT.	040	DBC	В	20,000	20.72	n/a	n/a	1,000.00	5.0
	SANDLER O'NEILL ASSET	031	DFS	В	50,000	6.56	n/a	19-Mar	1,500.00	3.0
	WINSLOW CAPITAL	030	DHR	S	300	55.08	n/a	n/a	12.00	4.0
	WINSLOW CAPITAL	030	DLB	S	100	33.95	n/a	n/a	4.00	4.0
	FARALLON CAP MGMT	040	DNA	В	285,000	93.72	n/a	n/a	11,400.00	4.0
õ	Ted Wheeler		DVQ	s	35 1	4.1800	n/a	n/a	0.00	0.0
	WINSLOW CAPITAL	030	ECL	S	300	32.86	10-Nov	12-Feb	12.00	4.0
	SANDLER O'NEILL ASSET	031	EV	В	25,000	19.97	9-Mar	17-Mar	1,250.00	5.0
	TPG-AXON	040	FDO	С	55,000	31.15	5-Mar	6-Mar	2,750.00	5.0
	COUGAR TRADING	044	FINL	S	5,000	5.75	n/a	28-Mar	200.00	4.0
	WINSLOW CAPITAL	030	FTI	S	300	32.92	n/a	n/a	12.00	4.0
	BUCK CAPITAL MGMT THE BOSTON COMPANY	001	GES GES	B	80,000 53,680	18.09 17.88	n/a n/a	n/a n/a	3,200.00 2,147.20	4.0 4.0
	THE BOSTON COMPANT	401	GES	5	33,000	17.00	11/ a	11/ a	2,147.20	4.0
	CAXTON PART	040	GIS	В	6,194	46.91	n/a	n/a	216.81	3.5
	PROSPECTOR PARTNERS LLC	036	GIS	В	33,100	47.74	n/a	n/a	1,324.00	4.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	WINSLOW CAPITAL	030	GIS	S	200	47.01	n/a	n/a	8.00	4.0
	WAGONHOUND/NIC	048	GLW	В	26,606	13.02	9-Feb	19-Mar	1,064.24	4.0
	AAD CAPITAL	048	GPI	SS	3,300	14.34	n/a	20-Feb	99.00	3.0
	SIGMA CAPITAL ASSOCIATES	041	GPS	S	50,000	12.33	n/a	30-Jan	2,500.00	5.0
	CADIAN CAPITAL	067	HIBB	SS	50,000	17.96	n/a	n/a	2,000.00	4.0
	WINSLOW CAPITAL	030	HPQ	S	300	29.12	n/a	n/a	12.00	4.0
	WINSLOW CAPITAL	030	ICE	S	200	75.04	n/a	n/a	8.00	4.0
	KINGDON ASSET MGMT	041	ISIL	S	100,000	11.96	n/a	n/a	4,000.00	4.0
õ	Alice Longley		IYR	В	600 2	28.3300	n/a	n/a	0.00	0.0
	CAXTON PART	040	JPM	S	31,470	25.05	16-Jan	18-Mar	1,101.47	3.5
	WINSLOW CAPITAL	030	JPM	S	200	25.22	16-Jan	18-Mar	8.00	4.0
	CADIAN CAPITAL	067	JWN	SS	75 , 000	15.40	20-Feb	6-Mar	3,000.00	4.0
	SCOPUS FUND	041	KPPC	В	10,000	2.28	n/a	n/a	500.00	5.0
	WINSLOW CAPITAL	030	KSS	S	300	40.64	17-Mar	17-Mar	12.00	4.0
	T. ROWE PRICE	033	K	В	306,000	36.86	n/a	n/a	9,629.00	3.5
	WINSLOW CAPITAL	030	LOW	S	400	17.51	23-Feb	23-Feb	16.00	4.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
MATRIX ASSET ADV.	036	MDT	В	18,000	28.10	n/a	22-Apr	720.00	4.0	
STRONG/MARK GRONET	030	MMR	В	60,000	5.25	n/a	n/a	1,800.00	3.0	
WINSLOW CAPITAL	030	MON	S	200	82.55	n/a	22-Jan	8.00	4.0	
TROUBH PART	067	MRK	В	25 , 000	25.87	n/a	n/a	1,250.00	5.0	
THOMSON HORSTMAN BRYANT	040	NWY	В	25,000	2.89	n/a	30-Jan	750.00	3.0	
EPOCH INV MGMT	030	OKE	В	1,650	22.36	n/a	n/a	66.00	4.0	
EPOCH INV MGMT	030	ORCL	В	4,250	17.59	n/a	n/a	170.00	4.0	
WINSLOW CAPITAL	030	PBR	S	100	32.64	n/a	n/a	4.00	4.0	
PROSPECTOR PARTNERS LLC	036	PCG	SS	21,400	38.31	n/a	n/a	856.00	4.0	
RAMIUS CAP	040	PCH	В	45,000	21.94	n/a	26-Feb	1,800.00	4.0	
WINSLOW CAPITAL	030	PCP	S	200	58.94	n/a	n/a	8.00	4.0	
WINSLOW CAPITAL	030	PCS	S	300	17.17	n/a	n/a	12.00	4.0	
FRONTPOINT/COPIA-ANDREW	031	PDE	В	24,922	20.20	n/a	n/a	872.27	3.5	
WINSLOW CAPITAL	030	PG	S	600	46.39	12-Mar	12-Mar	24.00	4.0	
COUGAR TRADING	044	PLCE	SS	10,000	21.38	19-Mar	19-Mar	500.00	5.0	
	MATRIX ASSET ADV. STRONG/MARK GRONET WINSLOW CAPITAL TROUBH PART THOMSON HORSTMAN BRYANT EPOCH INV MGMT EPOCH INV MGMT WINSLOW CAPITAL PROSPECTOR PARTNERS LLC RAMIUS CAP WINSLOW CAPITAL WINSLOW CAPITAL FRONTPOINT/COPIA-ANDREW WINSLOW CAPITAL	MATRIX ASSET ADV. 036 STRONG/MARK GRONET 030 WINSLOW CAPITAL 030 TROUBH PART 067 THOMSON HORSTMAN BRYANT 040 EPOCH INV MGMT 030 EPOCH INV MGMT 030 WINSLOW CAPITAL 030 PROSPECTOR PARTNERS LLC 036 RAMIUS CAP 040 WINSLOW CAPITAL 030 WINSLOW CAPITAL 030 FRONTPOINT/COPIA—ANDREW 031 WINSLOW CAPITAL 030	MATRIX ASSET ADV. 036 MDT STRONG/MARK GRONET 030 MMR WINSLOW CAPITAL 030 MON TROUBH PART 067 MRK THOMSON HORSTMAN BRYANT 040 NWY EPOCH INV MGMT 030 OKE EPOCH INV MGMT 030 PBR PROSPECTOR PARTNERS LLC 036 PCG RAMIUS CAP 040 PCH WINSLOW CAPITAL 030 PCP WINSLOW CAPITAL 030 PCS FRONTPOINT/COPIA-ANDREW 031 PDE WINSLOW CAPITAL 030 PG	MATRIX ASSET ADV. 036 MDT B STRONG/MARK GRONET 030 MMR B WINSLOW CAPITAL 030 MON S TROUBH PART 067 MRK B THOMSON HORSTMAN BRYANT 040 NWY B EPOCH INV MGMT 030 OKE B EPOCH INV MGMT 030 ORCL B WINSLOW CAPITAL 030 PBR S PROSPECTOR PARTNERS LLC 036 PCG SS RAMIUS CAP 040 PCH B WINSLOW CAPITAL 030 PCP S WINSLOW CAPITAL 030 PCP S WINSLOW CAPITAL 030 PCS S FRONTPOINT/COPIA-ANDREW 031 PDE B WINSLOW CAPITAL 030 PG S	MATRIX ASSET ADV. 036 MDT B 18,000 STRONG/MARK GRONET 030 MMR B 60,000 WINSLOW CAPITAL 030 MON S 200 TROUBH PART 067 MRK B 25,000 THOMSON HORSTMAN BRYANT 040 NWY B 25,000 EPOCH INV MGMT 030 OKE B 1,650 EPOCH INV MGMT 030 ORCL B 4,250 WINSLOW CAPITAL 030 PBR S 100 PROSPECTOR PARTNERS LLC 036 PCG SS 21,400 RAMIUS CAP 040 PCH B 45,000 WINSLOW CAPITAL 030 PCP S 200 WINSLOW CAPITAL 030 PCS S 300 FRONTPOINT/COPIA-ANDREW 031 PDE B 24,922 WINSLOW CAPITAL 030 PG S 600	MATRIX ASSET ADV. 036 MDT B 18,000 28.10 STRONG/MARK GRONET 030 MMR B 60,000 5.25 WINSLOW CAPITAL 030 MON S 200 82.55 TROUBH PART 067 MRK B 25,000 25.87 THOMSON HORSTMAN BRYANT 040 NWY B 25,000 2.89 EPOCH INV MGMT 030 OKE B 1,650 22.36 EPOCH INV MGMT 030 ORCL B 4,250 17.59 WINSLOW CAPITAL 030 PBR S 100 32.64 PROSPECTOR PARTNERS LLC 036 PCG SS 21,400 38.31 RAMIUS CAP 040 PCH B 45,000 21.94 WINSLOW CAPITAL 030 PCP S 200 58.94 WINSLOW CAPITAL 030 PCS S 300 17.17 FRONTPOINT/COPIA-ANDREW 031 PDE B 24,922 20.20 WINSLOW CAPITAL 030 PG S 600 46.39	MATRIX ASSET ADV. 036 MDT B 18,000 28.10 n/a STRONG/MARK GRONET 030 MMR B 60,000 5.25 n/a WINSLOW CAPITAL 030 MON S 200 82.55 n/a TROUBH PART 067 MRK B 25,000 25.87 n/a THOMSON HORSTMAN BRYANT 040 NWY B 25,000 2.89 n/a EPOCH INV MGMT 030 OKE B 1,650 22.36 n/a EPOCH INV MGMT 030 ORCL B 4,250 17.59 n/a WINSLOW CAPITAL 030 PBR S 100 32.64 n/a PROSPECTOR PARTNERS LLC 036 PCG SS 21,400 38.31 n/a RAMIUS CAP 040 PCH B 45,000 21.94 n/a WINSLOW CAPITAL 030 PCP S 200 58.94 n/a WINSLOW CAPITAL 030 PCS S 300 17.17 n/a FRONTPOINT/COPIA-ANDREW 031 PDE B 24,922 20.20 n/a WINSLOW CAPITAL 030 PG S 600 46.39 12-Mar	MATRIX ASSET ADV. 036 MDT B 18,000 28.10 n/a 22-Apr STRONG/MARK GRONET 030 MMR B 60,000 5.25 n/a n/a WINSLOW CAPITAL 030 MON S 200 82.55 n/a 22-Jan TROUBH PART 067 MRK B 25,000 25.87 n/a n/a THOMSON HORSTMAN BRYANT 040 NWY B 25,000 2.89 n/a 30-Jan EPOCH INV MGMT 030 ORE B 1,650 22.36 n/a n/a EPOCH INV MGMT 030 ORCL B 4,250 17.59 n/a n/a WINSLOW CAPITAL 030 PBR S 100 32.64 n/a n/a PROSPECTOR PARTNERS LLC 036 PCG SS 21,400 38.31 n/a n/a RAMIUS CAP 040 PCH B 45,000 21.94 n/a 26-Feb WINSLOW CAPITAL 030 PCP S 200 58.94 n/a n/a WINSLOW CAPITAL 030 PCS S 300 17.17 n/a n/a WINSLOW CAPITAL 030 PCS S 300 17.17 n/a n/a FRONTPOINT/COPIA-ANDREW 031 PDE B 24,922 20.20 n/a n/a WINSLOW CAPITAL 030 PC S 600 46.39 12-Mar 12-Mar	MATRIX ASSET ADV. 036 MDT B 18,000 28.10 n/a 22-Apr 720.00 STRONG/MARK GRONET 030 MMR B 60,000 5.25 n/a n/a 1,800.00 WINSLOW CAPITAL 030 MON S 200 82.55 n/a 22-Jan 8.00 TROUBH PART 067 MRK B 25,000 25.87 n/a 22-Jan 750.00 THOMSON HORSTMAN BRYANT 040 NWY B 25,000 2.89 n/a 30-Jan 750.00 EPOCH INV MGMT 030 OKE B 1,650 22.36 n/a n/a n/a 66.00 EPOCH INV MGMT 030 ORCL B 4,250 17.59 n/a n/a 170.00 WINSLOW CAPITAL 030 PBR S 100 32.64 n/a n/a 4.00 PROSPECTOR PARTNERS LLC 036 PCG SS 21,400 38.31 n/a n/a 856.00 RAMIUS CAP 040 PCH B 45,000 21.94 n/a 26-Peb 1,800.00 WINSLOW CAPITAL 030 PCF S 200 58.94 n/a n/a 8.00 WINSLOW CAPITAL 030 PCS S 300 17.17 n/a n/a 1.200 FRONTPOINT/COPIA-ANDREW 031 PDE B 24,922 20.20 n/a n/a 872.27 WINSLOW CAPITAL 030 PG S 600 46.39 12-Mar 12-Mar 24.00	MATRIX ASSET ADV. 036 MDT B 18,000 28.10 n/a 22-Apr 720.00 4.0 STRONG/MARK GRONET 030 MMR B 60,000 5.25 n/a n/a 1,800.00 3.0 WINSLOW CAPITAL 030 MON S 200 82.55 n/a 22-Jan 8.00 4.0 TROUBH PART 067 MRK B 25,000 25.87 n/a 7.0 n/a 1,250.00 5.0 THOMSON HORSTMAN BRYANT 040 NWY B 25,000 2.89 n/a 30-Jan 750.00 3.0 EPOCH INV MGMT 030 OKE B 1,650 22.36 n/a n/a n/a 66.00 4.0 EPOCH INV MGMT 030 OKCL B 4,250 17.59 n/a n/a n/a 170.00 4.0 WINSLOW CAPITAL 030 PER S 100 32.64 n/a n/a n/a 856.00 4.0 PROSPECTOR PARTNERS LLC 036 PCG SS 21,400 38.31 n/a n/a 856.00 4.0 RAMIUS CAP 040 PCH B 45,000 21.94 n/a 26-Feb 1,800.00 4.0 WINSLOW CAPITAL 030 PCS S 300 17.17 n/a n/a 872.27 3.5 WINSLOW CAPITAL 030 PCS S 300 17.17 n/a n/a 1.20 4.0 FRONTPOINT/COPIA-ANDREN 031 PDE B 24,922 20.20 n/a n/a 1.2 m/a 872.27 3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
BUCK CAPITAL MGMT	001	PSS	В	30,000	8.84	n/a	n/a	900.00	3.0
CADIAN CAPITAL	067	PVH	В	50,000	18.56	22-Jan	22-Jan	2,000.00	4.0
SHAREVEST CAPITAL MGMT.	038	PWR	S	3,500	21.45	n/a	n/a	175.00	5.0
EPOCH INV MGMT	030	PX	В	1,400	65.46	4-Feb	4-Feb	56.00	4.0
FIRST NEW YORK NICK	029	Q	S	20,000	3.54	n/a	n/a	1,000.00	5.0
SONTERRA CAP	041	RCL	SS	60,000	8.56	30-Jan	30-Jan	1,800.00	3.0
EPOCH INV MGMT	030	RE	В	1,200	69.69	n/a	n/a	48.00	4.0
EPOCH INV MGMT	030	SCG	В	2,200	29.80	n/a	n/a	88.00	4.0
GLOBAL 56 LLC	060	SKX	S	2,500	6.38	n/a	13-Mar	125.00	5.0
WEISS PECK	040	SKX	В	53,420	6.45	n/a	13-Mar	2,136.80	4.0
EPOCH INV MGMT	030	SLGN	В	1,650	50.47	n/a	n/a	66.00	4.0
WINSLOW CAPITAL	030	STJ	S	400	35.30	n/a	n/a	16.00	4.0
GOLDMAN SACHS ASSET MGMT	044	STLD	В	350,000	8.08	n/a	n/a	5,875.00	1.8
EPOCH INV MGMT	030	SUG	В	3,400	15.00	n/a	n/a	136.00	4.0
EPOCH INV MGMT	030	SWY	В	3,100	19.69	n/a	n/a	124.00	4.0
Ted Wheeler		TEN	В	200	8.5800	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	/Shr.
SIGMA CAPITAL ASSOCIATES	041	TIF	S	25 , 000	21.21	n/a	30-Jan	1,250.00	5.0
BMO NESBITT BURNS	041	TIN	SS	50,000	4.91	5-Dec	28-Jan	2,500.00	5.0
CAXTON PART	040	TIN	В	40,000	4.99	5-Dec	28-Jan	1,400.01	3.5
EPOCH INV MGMT	030	TMO	В	1,550	33.92	n/a	n/a	62.00	4.0
SANDLER O'NEILL ASSET	031	TROW	В	25,000	25.45	n/a	17-Mar	1,250.00	5.0
WINSLOW CAPITAL	030	UNP	S	500	39.76	n/a	n/a	20.00	4.0
WINSLOW CAPITAL	030	UTX	S	200	41.25	n/a	n/a	8.00	4.0
EPOCH INV MGMT	030	VTR	В	2,100	25.41	n/a	n/a	84.00	4.0
WINSLOW CAPITAL	030	V	S	300	54.43	n/a	13-Feb	12.00	4.0
EPOCH INV MGMT	030	WFR	В	2,400	15.62	n/a	n/a	96.00	4.0
EPOCH INV MGMT	030	WFT	В	2,400	12.51	n/a	n/a	96.00	4.0
WINSLOW CAPITAL	030	WMT	S	400	49.84	10-Oct	6-Mar	16.00	4.0
CADIAN CAPITAL	067	WSM	SS	100,000	10.04	n/a	n/a	4,000.00	4.0

TOTAL (Trade Date): 110,871.02

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	03/18	FARALLON CAP MGMT (FARABULK F)	040	DNA	В	35 , 300	93.65	n/a	n/a	1059.00	3.0
AO, CRT	03/18	FARALLON CAP MGMT (FARABULK F)	040	DNA	В	35 , 300	93.65	n/a	n/a	1412.00	4.0
AO, CXL	03/18	BUCK CAPITAL MGMT (BUCKJPMBS)	001	JWN	SS	2,400	15.22	20-Feb	6-Mar	96.00	4.0
AO, CRT	03/18	BUCK CAPITAL MGMT (BUCKJPMBS)	001	JWN	SS	47,600	15.22	20-Feb	6-Mar	1904.00	4.0
AO, CXL	03/18	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	JWN	SS	47,600	15.22	20-Feb	6-Mar	1904.00	4.0
AO, CRT	03/18	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	JWN	SS	2,400	15.22	20-Feb	6-Mar	96.00	4.0
AO,CXL	03/18	DE SHAW (DESHBARCLA)	040	LQD	S	5,000	92.32	n/a	n/a	250.00	5.0
AO, CRT	03/18	WASHINGTON ASSET (WASHCSFB)	048	LQD	S	5,000	92.32	n/a	n/a	250.00	5.0
AO,	03/18	BUCK CAPITAL MGMT (BUCKJPMBS)	001	MWV	S	24,500	11.19	28-Jan	28-Jan	980.00	4.0
AO, CXL	03/18	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	MWV	s	40,000	11.19	28-Jan	28-Jan	1600.00	4.0
AO, CRT	03/18	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	MWV	s	15,200	11.19	28-Jan	28-Jan	608.00	4.0
AO,	03/18	BUCK CAPITAL MGMT (BUCKGIL)	001	MWV	S	300	11.19	28-Jan	28-Jan	12.00	4.0
CRT	03/19	SONTERRA CAP (SONTMSBULK)	041	RCL	SS	60,000	8.56	30-Jan	30-Jan	1800.00	3.0
AO,CXL	03/18	CR INTRINIC INVESTMENT (CRINGSPB)	044	SNY	В	15,000	27.53	n/a	n/a	750.00	5.0
AO,CRT	03/18	CR INTRINIC INVESTMENT (CRINGSPB)	044	SNY	В	15,000	27.53	n/a	n/a	600.00	4.0
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST259)	035	TUP	S	1,500	13.94	n/a	n/a	52.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST255)	035	TUP	S	900	13.94	n/a	n/a	31.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST256)	035	TUP	S	100	13.94	n/a	n/a	3.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST170)	035	TUP	S	1,100	13.94	n/a	n/a	38.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST251)	035	TUP	S	4,000	13.94	n/a	n/a	140.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST249)	035	TUP	S	10,300	13.94	n/a	n/a	360.50	3.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST243)	035	TUP	S	3,600	13.94	n/a	n/a	126.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST244)	035	TUP	S	5,000	13.94	n/a	n/a	175.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST245)	035	TUP	S	1,200	13.94	n/a	n/a	42.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST247)	035	TUP	S	3,200	13.94	n/a	n/a	112.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST242)	035	TUP	S	2,900	13.94	n/a	n/a	101.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST246)	035	TUP	S	2,900	13.94	n/a	n/a	101.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST241)	035	TUP	S	200	13.94	n/a	n/a	7.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST232)	035	TUP	S	1,300	13.94	n/a	n/a	45.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST235)	035	TUP	S	1,100	13.94	n/a	n/a	38.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST240)	035	TUP	S	500	13.94	n/a	n/a	17.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST221)	035	TUP	S	200	13.94	n/a	n/a	7.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST220)	035	TUP	S	200	13.94	n/a	n/a	7.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST218)	035	TUP	S	1,800	13.94	n/a	n/a	63.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST224)	035	TUP	S	300	13.94	n/a	n/a	10.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST222)	035	TUP	S	200	13.94	n/a	n/a	7.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST216)	035	TUP	S	6,500	13.94	n/a	n/a	227.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST211)	035	TUP	S	100	13.94	n/a	n/a	3.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST215)	035	TUP	S	300	13.94	n/a	n/a	10.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST210)	035	TUP	S	1,000	13.94	n/a	n/a	35.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST209)	035	TUP	S	14,200	13.94	n/a	n/a	497.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST208)	035	TUP	S	200	13.94	n/a	n/a	7.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST206)	035	TUP	S	100	13.94	n/a	n/a	3.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST207)	035	TUP	S	600	13.94	n/a	n/a	21.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST196)	035	TUP	S	100	13.94	n/a	n/a	3.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST9)	035	TUP	S	3,100	13.94	n/a	n/a	108.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST194)	035	TUP	S	500	13.94	n/a	n/a	17.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST195)	035	TUP	S	6,100	13.94	n/a	n/a	213.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST193)	035	TUP	S	400	13.94	n/a	n/a	14.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST199)	035	TUP	S	1,300	13.94	n/a	n/a	45.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST199)	035	TUP	S	100	13.94	n/a	n/a	3.50	3.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST191)	035	TUP	S	600	13.94	n/a	n/a	21.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST190)	035	TUP	S	11,800	13.94	n/a	n/a	413.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST47)	035	TUP	S	600	13.94	n/a	n/a	21.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST51)	035	TUP	S	1,200	13.94	n/a	n/a	42.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST35)	035	TUP	S	1,300	13.94	n/a	n/a	45.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST16)	035	TUP	S	100	13.94	n/a	n/a	3.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST22)	035	TUP	S	400	13.94	n/a	n/a	14.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST15)	035	TUP	S	100	13.94	n/a	n/a	3.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST1)	035	TUP	S	100	13.94	n/a	n/a	3.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST184)	035	TUP	S	100	13.94	n/a	n/a	3.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST155)	035	TUP	S	600	13.94	n/a	n/a	21.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST178)	035	TUP	S	100	13.94	n/a	n/a	3.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST173)	035	TUP	S	4,200	13.94	n/a	n/a	147.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST177)	035	TUP	S	1,500	13.94	n/a	n/a	52.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST168)	035	TUP	S	23,300	13.94	n/a	n/a	815.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST163)	035	TUP	S	200	13.94	n/a	n/a	7.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST120)	035	TUP	S	4,100	13.94	n/a	n/a	143.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST107)	035	TUP	S	1,300	13.94	n/a	n/a	45.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST96)	035	TUP	S	2,900	13.94	n/a	n/a	101.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST49)	035	TUP	S	200	13.94	n/a	n/a	7.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST43)	035	TUP	S	1,200	13.94	n/a	n/a	42.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST264)	035	TUP	S	100	13.94	n/a	n/a	3.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST263)	035	TUP	S	100	13.94	n/a	n/a	3.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST261)	035	TUP	S	3,500	13.94	n/a	n/a	122.50	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST260)	035	TUP	S	10,600	13.94	n/a	n/a	371.00	3.5
AO,	03/18	SYSTEMATIC FINANCIAL MGT (SYST253)	035	TUP	S	2,700	13.94	n/a	n/a	94.50	3.5

TOTAL (AO, CXL, CRT): 7,253.00

TOTAL (RUN DATE) / NFS:	118,124.02
TOTAL (AO, CXL, CRT):	7,253.00
TOTAL (Trade Date):	110,871.02

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