



Daily Compliance Activity Report

Trade Date: 09/25/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------|------|--------|-----|--------|--------|--------|----------|--------------|-----|
| BALYASNY ASSET MGMT | 044 | ABG | B | 20,000 | 19.39 | 18-Jun | 27-Jul | 1,000.00 | 5.0 |
| AMBER CAPITAL | 046 | AKS | S | 75,000 | 42.58 | n/a | n/a | 3,000.00 | 4.0 |
| LISTED ERR | 099 | AKS | B | 25,000 | 42.67 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | AKS | S | 25,000 | 42.54 | n/a | n/a | 0.00 | 0.0 |
| CATTANI | 041 | AMX | S | 100 | 63.88 | n/a | n/a | 0.00 | 0.0 |
| COUGAR TRADING | 044 | ANF | B | 10,000 | 76.49 | 23-Aug | 7-Sep | 500.00 | 5.0 |
| HAYGROUND COE | 039 | ANF | B | 50,000 | 77.43 | 23-Aug | 7-Sep | 2,500.00 | 5.0 |
| THE JAY GOLDMAN | 034 | ANF | B | 20,000 | 76.60 | 23-Aug | 7-Sep | 800.00 | 4.0 |
| WAGONHOUND | 048 | ANN | SS | 12,350 | 31.76 | 6-Aug | 7-Sep | 494.00 | 4.0 |
| B BUCK CAPITAL MGMT | | ANST | C | 14,226 | 32.77 | n/a | n/a | non-brg | 2.5 |
| B BUCK CAPITAL MGMT | | ANST | C | 700 | 32.34 | n/a | n/a | non-brg | 1.0 |
| MERRILL ASSET | 032 | AOI | S | 77,500 | 6.94 | n/a | n/a | 3,487.50 | 4.5 |
| BALYASNY ASSET MGMT | 044 | AXL | B | 4,900 | 23.19 | n/a | n/a | 245.00 | 5.0 |
| CHART WELL ADV | 243 | AXL | C | 2,000 | 23.42 | n/a | n/a | 60.00 | 3.0 |
| CHART WELL ADV | 243 | AXL | SS | 2,000 | 24.02 | n/a | n/a | 60.00 | 3.0 |
| STARK ASSET MGMT | 031 | AXL | B | 3,400 | 23.09 | n/a | n/a | 136.00 | 4.0 |
| DIAMONDBACK CAP MGMT | 232 | BAC | S | 25,000 | 50.05 | 20-Apr | 20-Sep | 1,250.00 | 5.0 |
| FORD FDN. | 032 | BA | S | 55,000 | 103.82 | n/a | n/a | 2,750.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|------|--------|-----|---------|--------|--------|----------|--------------|-----|
| J L F ASSET MGMT | 039 | BBBY | B | 49,800 | 33.29 | n/a | n/a | 1,992.00 | 4.0 |
| SSI INVESTORS | 048 | BEN | S | 30,125 | 126.91 | 25-Sep | 25-Sep | 1,205.00 | 4.0 |
| UBS OCONNOR | 031 | BEN | SS | 25,000 | 126.38 | 25-Sep | 25-Sep | 750.00 | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | BHI | S | 15,000 | 89.35 | n/a | n/a | non-brg | 4.0 |
| VISIUM/BALY HOWARD | 038 | BMV | B | 50,000 | 28.51 | n/a | n/a | 2,500.00 | 5.0 |
| LEDDY | 035 | BONT | S | 1,900 | 23.75 | 3-Aug | 7-Sep | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | CACH | S | 14,300 | 17.44 | n/a | n/a | non-brg | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | CACH | S | 35,700 | 17.60 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | CDNS | S | 130,800 | 22.12 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | CDNS | S | 19,600 | 22.10 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | CDNS | S | 20,400 | 22.11 | n/a | n/a | non-brg | 1.0 |
| LEDDY | 035 | CHCG | B | 4,000 | 4.14 | n/a | n/a | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | CHS | B | 20,000 | 14.05 | 30-Aug | 7-Sep | non-brg | 4.0 |
| VARDON PARTNERS | 035 | CHS | SS | 25,000 | 14.03 | 30-Aug | 7-Sep | 1,250.00 | 5.0 |
| WAGONHOUND | 048 | CHS | SS | 17,660 | 14.60 | 30-Aug | 7-Sep | 706.40 | 4.0 |
| RHO CAPITAL MGMT | 041 | CHTP | B | 100 | 6.05 | n/a | n/a | 5.00 | 5.0 |
| MKT MAKER | 099 | CHUX | B | 59 | 14.84 | n/a | n/a | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | CROX | S | 10,000 | 63.13 | n/a | n/a | non-brg | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------|--------|-----|---------|--------|--------|----------|--------------|-----|
| BUCK CAPITAL MGMT | | CTRN | B | 10,000 | 22.22 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | CWTR | S | 20,000 | 11.24 | n/a | n/a | non-brg | 4.0 |
| MKT MAKER | 099 | DBRN | S | 9 | 17.28 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | DDS | SS | 10,000 | 20.97 | n/a | n/a | 400.00 | 4.0 |
| DIAMONDBACK CAP MGMT | 232 | DFS | SS | 25,000 | 21.50 | n/a | n/a | 1,250.00 | 5.0 |
| GOLDMAN SACHS ASSET MGMT | 044 | DFS | B | 62,976 | 21.65 | n/a | n/a | 1,259.52 | 2.0 |
| BUCK CAPITAL MGMT | | DHI | S | 20,000 | 13.01 | n/a | n/a | non-brg | 2.0 |
| BUCK CAPITAL MGMT | | DHI | S | 60,000 | 12.99 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | DIA | SS | 110,000 | 136.92 | n/a | n/a | non-brg | 1.0 |
| REINHART & MAHONEY | 031 | DNR | S | 13,200 | 44.26 | n/a | n/a | 660.00 | 5.0 |
| NEUBERGER BERMAN | 036 | DV | B | 45,300 | 36.35 | n/a | n/a | 2,265.00 | 5.0 |
| BUCK CAPITAL MGMT | | EGLT | SS | 10,000 | 13.03 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | ESV | S | 20,000 | 55.61 | n/a | n/a | non-brg | 4.0 |
| SANDLER O'NEILL ASSET | 031 | EV | B | 3,300 | 38.98 | 23-May | 25-Sep | 165.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | FDO | B | 20,000 | 26.10 | 9-Aug | 21-Sep | 1,000.00 | 5.0 |
| BUCK CAPITAL MGMT | | FLDR | SS | 10,000 | 4.50 | n/a | n/a | non-brg | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|----------|---------------|--------------|---------------|---------------|----------------|------------|
| B BUCK CAPITAL MGMT | | FOSL | S | 50,000 | 36.71 | 12-Sep | 12-Sep | non-brg | 4.0 |
| LEVIN CAPITAL STRATEGIES | 012 | F | S | 25,000 | 8.32 | n/a | 13-Sep | 500.00 | 2.0 |
| STARK ASSET MGMT | 031 | F | B | 75,000 | 8.32 | n/a | 13-Sep | 3,000.00 | 4.0 |
| TPG-AXON | 040 | GE | B | 1,025,000 | 41.23 | n/a | n/a | 51,250.00 | 5.0 |
| B BUCK CAPITAL MGMT | | GIII | S | 10,000 | 20.56 | n/a | n/a | non-brg | 1.0 |
| STARK ASSET MGMT | 031 | GM | B | 10,000 | 34.65 | 4-May | 13-Sep | 400.00 | 4.0 |
| B BUCK CAPITAL MGMT | | GSF | S | 15,000 | 74.89 | n/a | n/a | non-brg | 4.0 |
| REINHART & MAHONEY | 031 | HOLX | B | 15,710 | 58.19 | n/a | n/a | 785.50 | 5.0 |
| B BUCK CAPITAL MGMT | | HOS | S | 10,000 | 36.69 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | HP | S | 20,000 | 33.16 | n/a | n/a | non-brg | 4.0 |
| U.S.TRUST COMPANY | 012 | HRS | B | 55,000 | 57.17 | 8-Aug | 8-Aug | 2,475.00 | 4.5 |
| BUCK | 015 | HUM | S | 500 | 67.93 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | ICON | S | 15,000 | 22.81 | n/a | n/a | non-brg | 1.0 |
| CATAPULT | 040 | IVZ | S | 5,000 | 27.20 | 8-Aug | 25-Sep | 250.00 | 5.0 |
| CLOVIS CAPITAL | 012 | IVZ | B | 225,000 | 27.08 | 8-Aug | 25-Sep | 11,250.00 | 5.0 |
| SAVANNAH-BALTIMORE | 012 | IVZ | B | 81,700 | 27.21 | 8-Aug | 25-Sep | 4,085.00 | 5.0 |
| WAGONHOUND | 048 | IVZ | S | 55,365 | 26.90 | 8-Aug | 25-Sep | 2,214.60 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------|--------|-----|---------|--------|--------|----------|--------------|-----|
| ⌘ BUCK CAPITAL MGMT | | IWM | SS | 200,000 | 79.39 | n/a | n/a | non-brg | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | IWM | SS | 200,000 | 79.48 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | JCG | B | 5,000 | 43.69 | 22-Jun | 6-Sep | non-brg | 4.0 |
| TRELLUS PARTNERS LP | 028 | JCI | C | 10,000 | 113.37 | 19-Jul | 19-Jul | 500.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | JCP | B | 10,000 | 64.18 | 21-Jun | 7-Sep | non-brg | 4.0 |
| RIVER RUN MGMT | 031 | JNY | B | 35,000 | 20.51 | n/a | 13-Sep | 1,750.00 | 5.0 |
| LISTED ERR | 099 | JNY | B | 5,000 | 20.53 | n/a | 13-Sep | 0.00 | 0.0 |
| LISTED ERR | 099 | JNY | S | 5,000 | 20.50 | n/a | 13-Sep | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | JOSB | S | 10,000 | 35.24 | n/a | n/a | non-brg | 4.0 |
| DEEPHAVEN | 031 | JWN | B | 10,000 | 48.34 | 12-Jul | 7-Sep | 500.00 | 5.0 |
| DSG CAPITAL | 225 | KEGS | B | 30,000 | 16.99 | 23-Jul | 25-Sep | 1,500.00 | 5.0 |
| STARK ASSET MGMT | 031 | LEA | S | 20,200 | 31.55 | n/a | n/a | 808.00 | 4.0 |
| BRANDWINE | 028 | LIZ | S | 15,900 | 34.31 | n/a | 14-Sep | 715.50 | 4.5 |
| GOLDMAN SACHS ASSET MGMT | 044 | LOW | B | 61,002 | 29.16 | n/a | 27-Jul | 1,220.04 | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | LULU | S | 20,000 | 40.18 | n/a | n/a | non-brg | 1.0 |
| DISCIPLINED GROWTH INV. | 030 | LVLTT | S | 13,600 | 4.55 | 6-Sep | 21-Sep | 408.00 | 3.0 |
| MS PRINCIPAL STRATEGIES | 041 | MAR | B | 50,000 | 43.31 | n/a | n/a | 2,500.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------|------|--------|-----|---------|--------|--------|----------|-------------|-----|
| ⌘ BUCK CAPITAL MGMT | | MDC | S | 15,000 | 39.16 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | MDTL | SS | 10,000 | 10.13 | n/a | n/a | non-brg | 4.0 |
| KERN | 050 | MHGC | B | 500 | 21.22 | n/a | n/a | 0.00 | 0.0 |
| REINHART & MAHONEY | 031 | MIL | S | 6,110 | 75.88 | n/a | n/a | 305.50 | 5.0 |
| TRUST CO/COWEN/CALF. | 040 | MOT | B | 686,455 | 18.15 | n/a | n/a | 27,458.20 | 4.0 |
| BUCK CAPITAL MGMT | 001 | MW | SS | 25,000 | 49.34 | n/a | n/a | 1,000.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | MW | SS | 3,700 | 48.10 | n/a | n/a | non-brg | 4.0 |
| SAC TRADING HOWARD | 038 | MW | B | 5,000 | 48.18 | n/a | n/a | 250.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | M | B | 15,000 | 31.56 | 24-Sep | 24-Sep | non-brg | 4.0 |
| GLG PARTNERS | 034 | M | B | 50,000 | 31.68 | 24-Sep | 24-Sep | 2,500.00 | 5.0 |
| WOOSTER CAPITAL | 035 | M | B | 100,000 | 31.54 | 24-Sep | 24-Sep | 5,000.00 | 5.0 |
| RIVER RUN MGMT | 031 | NAVZ | SS | 25,000 | 60.00 | n/a | n/a | 1,250.00 | 5.0 |
| BARR | 096 | NGI | B | 9,975 | 4.90 | n/a | n/a | 0.00 | 0.0 |
| JP MORGAN VENTURES | 046 | NTY | B | 10,000 | 40.60 | n/a | n/a | 500.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | OIH | SS | 15,000 | 190.14 | n/a | n/a | non-brg | 1.0 |
| CRYSTAL ROCK CAP MGMT | 031 | PAYX | S | 35,103 | 43.49 | n/a | n/a | 1,755.15 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | PERY | S | 10,000 | 28.08 | n/a | n/a | non-brg | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|------|--------|-----|---------|--------|--------|----------|--------------|-----|
| ß BUCK CAPITAL MGMT | | PLCE | SS | 20,000 | 24.34 | n/a | 7-Sep | non-brg | 4.0 |
| BUCK | 015 | PNRA | C | 600 | 40.98 | n/a | n/a | 0.00 | 0.0 |
| EGS ASSOCIATES LP | 091 | PVH | B | 600 | 51.90 | 13-Aug | 29-Aug | 36.00 | 6.0 |
| PERRY PARTNERS | 041 | RAD | S | 300,000 | 4.97 | n/a | n/a | 9,000.00 | 3.0 |
| ß BUCK CAPITAL MGMT | | RIG | S | 15,000 | 110.89 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | 001 | RL | S | 10,000 | 74.26 | 9-Aug | 29-Aug | 400.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | RL | S | 10,000 | 75.87 | 9-Aug | 29-Aug | non-brg | 1.0 |
| CUMBERLAND | 038 | RRGB | B | 15,000 | 43.14 | n/a | n/a | 600.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | RSH | SS | 20,000 | 20.62 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | RTH | SS | 150,000 | 98.69 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | RTH | SS | 200,000 | 98.70 | n/a | n/a | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | RTH | SS | 70,000 | 99.56 | n/a | n/a | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | RYL | S | 40,000 | 21.75 | n/a | n/a | non-brg | 4.0 |
| MKT MAKER | 099 | SAPE | S | 135 | 6.89 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | SPY | SS | 100,000 | 150.69 | n/a | n/a | non-brg | 1.0 |
| ARIENCE CAPITAL | 036 | TEN | B | 11,500 | 31.04 | n/a | n/a | 575.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | TOL | S | 50,000 | 19.34 | n/a | n/a | non-brg | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|----------|---------------|--------------|---------------|---------------|----------------|------------|
| CATAPULT | 040 | TROW | SS | 5,000 | 53.66 | n/a | 25-Sep | 250.00 | 5.0 |
| SANDLER O'NEILL ASSET | 031 | TROW | S | 1,300 | 53.84 | n/a | 25-Sep | 65.00 | 5.0 |
| SENTINAL CAPITAL | 067 | T | B | 5,000 | 42.38 | 21-Sep | 25-Sep | 250.00 | 5.0 |
| BAYPOINT/PRIMEMOVERS | 041 | UEIC | S | 3,700 | 32.08 | n/a | n/a | 185.00 | 5.0 |
| MKT MAKER | 099 | ULTI | S | 20 | 33.05 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | URBN | B | 10,000 | 21.24 | 31-Jul | 10-Aug | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | URBN | B | 30,000 | 21.25 | 31-Jul | 10-Aug | non-brg | 4.0 |
| COUGAR TRADING | 044 | URBN | B | 10,000 | 21.25 | 31-Jul | 10-Aug | 500.00 | 5.0 |
| REINHART & MAHONEY | 031 | VCLK | B | 20,170 | 23.68 | n/a | n/a | 1,008.50 | 5.0 |
| STARK ASSET MGMT | 031 | VC | B | 35,000 | 5.13 | n/a | n/a | 1,400.00 | 4.0 |
| MERRILL ASSET | 032 | WBS | S | 15,700 | 42.85 | n/a | n/a | 785.00 | 5.0 |
| SANDLER O'NEILL ASSET | 031 | WDR | S | 15,800 | 26.56 | 13-Jul | 25-Sep | 790.00 | 5.0 |
| SCOPUS FUND | 041 | WNC | SS | 27,100 | 11.95 | n/a | n/a | 1,355.00 | 5.0 |
| B BUCK CAPITAL MGMT | | WRNC | B | 20,000 | 37.91 | 19-Sep | 19-Sep | non-brg | 4.0 |
| SUTTONBROOK CAPITAL | 044 | WY | B | 18,400 | 70.57 | 21-Sep | 21-Sep | 736.00 | 4.0 |
| DOUBLE V/PBX | 044 | YHOO | S | 8,800 | 26.38 | n/a | n/a | 440.00 | 5.0 |
| REINHART & MAHONEY | 031 | ZBRA | S | 18,140 | 35.53 | n/a | n/a | 907.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. |
|---------------------|------|--------|-----|--------|-------|-----|----------|--------------|
| B BUCK CAPITAL MGMT | | ZQK | S | 20,000 | 14.11 | n/a | 7-Sep | non-brg 4.0 |
| TOTAL (Trade Date): | | | | | | | | 177,103.41 |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|--------------|--------------------------|------------|-------------|----------|------------|--------------|------------|------------|-----------------|------------|
| AO, | 09/24 | CHART WELL ADV | 243 | AXL | C | 20,000 | 24.14 | n/a | n/a | 600.00 | 3.0 |
| AO, | 09/24 | CHART WELL ADV | 243 | AXL | SS | 20,000 | 24.60 | n/a | n/a | 600.00 | 3.0 |
| AO, | 09/24 | LISTED ERR | 099 | BEBE | B | 302 | 15.34 | n/a | n/a | 0.00 | 0.0 |
| AO,CRT | 09/24 | MERRILL LYNCH STRATEGICI | 034 | BSC | SS | 17,500 | 115.60 | 4-Sep | 21-Sep | 1050.00 | 6.0 |
| AO,CXL | 09/24 | MERRILL LYNCH STRATEGICI | 034 | BSC | SS | 17,500 | 115.60 | 4-Sep | 21-Sep | 875.00 | 5.0 |
| AO,CRT | 09/24 | MERRILL LYNCH STRATEGICI | 034 | CFC | SS | 100,000 | 19.18 | n/a | n/a | 4000.00 | 4.0 |
| AO,CXL | 09/24 | MERRILL LYNCH STRATEGICI | 034 | CFC | SS | 100,000 | 19.18 | n/a | n/a | 5000.00 | 5.0 |
| AO,CRT | 09/24 | METROPOLITAN CAPITAL | 044 | DSW | B | 31,000 | 27.91 | 5-Sep | 5-Sep | 1550.00 | 5.0 |
| AO,CXL | 09/24 | METROPOLITAN CAPITAL | 044 | DSW | B | 31,000 | 27.91 | 5-Sep | 5-Sep | 1240.00 | 4.0 |
| AO, | 09/24 | TRELLUS PARTNERS LP | 028 | JCI | B | 10,000 | 114.88 | 19-Jul | 19-Jul | 500.00 | 5.0 |
| AO,CRT | 09/21 | MATRIX ASSET ADV. | 036 | JNJ | S | 700 | 65.45 | n/a | 22-Apr | 28.00 | 4.0 |
| AO,CXL | 09/21 | MATRIX ASSET ADV. | 036 | JNJ | S | 700 | 65.45 | n/a | 22-Apr | 35.00 | 5.0 |
| AO,CRT | 09/24 | MERRILL LYNCH STRATEGICI | 034 | XL | B | 25,500 | 77.60 | n/a | n/a | 1530.00 | 6.0 |
| AO,CXL | 09/24 | MERRILL LYNCH STRATEGICI | 034 | XL | B | 25,500 | 77.60 | n/a | n/a | 1275.00 | 5.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 1,433.00 | |

TOTAL (Trade Date):

177,103.41

TOTAL (AO, CXL, CRT):

1,433.00

TOTAL (RUN DATE) / NFS:

178,536.41

MRI Securities with Trade Activity on 25-Sep.

BEN

MRI Securities without Trade Activity on 25-Sep.

NONE

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 3%

YTD = 16%

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