



Daily Compliance Activity Report

Trade Date: 05/01/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|-----------|--------------|---------------|--------------|---------------|-------------|------------|
| MAGUIRE | 090 | AAI | B | 5,000 | 11.11 | n/a | n/a | 0.00 | 0.0 |
| LOOMIS SALES/BOSTON | 036 | ADM | C | 64,850 | 36.54 | n/a | n/a | 2,594.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | AGE | S | 10,000 | 72.17 | n/a | n/a | 500.00 | 5.0 |
| MERRILL LYNCH STRATEGICI | 034 | AG | B | 20,000 | 41.71 | n/a | n/a | 1,000.00 | 5.0 |
| ROBX | 033 | AKAM | S | 18,000 | 43.13 | n/a | n/a | 720.00 | 4.0 |
| Õ Glenn Redemann | | AMLN | B | 2 | 1.0000 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | AMLN | B | 2 | 1.5000 | n/a | n/a | 0.00 | 0.0 |
| MAGUIRE | 090 | AMR | B | 1,500 | 26.35 | n/a | n/a | 0.00 | 0.0 |
| WAGONHOUND | 048 | AMX | S | 7,100 | 52.56 | n/a | n/a | 284.00 | 4.0 |
| MCCARTAN | 028 | ANN | SS | 100 | 37.76 | 5-Jan | 25-Apr | 0.00 | 0.0 |
| LUCHANSKY | 036 | ANN | S | 100 | 37.75 | 5-Jan | 25-Apr | 0.00 | 0.0 |
| Õ Glenn Redemann | | ARD | B | 10 | 0.9400 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | ARD | B | 10 | 0.9900 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | ARD | SS | 10 | 2.1600 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | ARD | SS | 10 | 2.2200 | n/a | n/a | 0.00 | 0.0 |
| CATAPULT | 040 | ARO | SS | 4,300 | 40.88 | n/a | 13-Apr | 172.00 | 4.0 |
| CAPITAL GROWTH MGMT. | 241 | ATW | B | 90,000 | 63.31 | n/a | n/a | 4,500.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|-------------|----------|----------------|---------------|---------------|---------------|-----------------|------------|
| COLUMBUS CIRCLE | 036 | AVP | B | 4,000 | 41.00 | 26-Apr | 26-Apr | 160.00 | 4.0 |
| PHILADELPHIA FINANCIAL | 031 | AVZ | B | 72,341 | 23.62 | 26-Apr | 1-May | 3,617.05 | 5.0 |
| KENNEDY CAPITAL | 046 | AXS | S | 29,325 | 37.34 | n/a | n/a | 1,173.00 | 4.0 |
| HARVEST MGMT | 039 | BBBY | SS | 20,000 | 40.46 | n/a | n/a | 1,000.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | BBW | B | 50,000 | 27.98 | 19-Mar | 1-May | 2,000.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | BEN | SS | 5,000 | 130.66 | 26-Apr | 1-May | 250.00 | 5.0 |
| NCM CAPITAL MGMT | 035 | BHE | S | 55,525 | 21.03 | n/a | n/a | 2,776.25 | 5.0 |
| MAGNETAR FINANCIAL | 247 | BIG | B | 20,000 | 31.63 | 9-Mar | 12-Apr | 800.00 | 4.0 |
| THIRD POINT MGMT | 044 | BIG | SS | 100,000 | 31.78 | 9-Mar | 12-Apr | 4,000.00 | 4.0 |
| COUGAR TRADING | 044 | BONT | SS | 5,000 | 49.07 | 9-Mar | 26-Apr | 250.00 | 5.0 |
| WOOSTER CAPITAL | 035 | BONT | B | 25,000 | 47.77 | 9-Mar | 26-Apr | 1,250.00 | 5.0 |
| LEDDY | 035 | BSC | S | 250 | 154.99 | 15-Dec | 16-Apr | 0.00 | 0.0 |
| MAGUIRE | 090 | CAL | B | 2,500 | 36.88 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | CBK | S | 230,000 | 17.20 | 30-Mar | 25-Apr | 9,200.00 | 4.0 |
| GAULT | 063 | CCUR | B | 5,000 | 1.50 | n/a | n/a | 0.00 | 0.0 |
| HARVEST MGMT | 039 | CC | B | 10,000 | 16.00 | 1-May | 1-May | 500.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|-----------|---------------|---------------|---------------|---------------|---------------|------------|
| OPPENHEIMER MGMT. | 036 | CC | S | 250,000 | 16.12 | 1-May | 1-May | 10,000.00 | 4.0 |
| WHITTIER CAP | 048 | CC | S | 36,030 | 16.48 | 1-May | 1-May | 1,441.20 | 4.0 |
| LEDDY | 035 | CFC | S | 300 | 36.78 | n/a | n/a | 0.00 | 0.0 |
| PAKLER | N22 | CMG | B | 44 | 65.17 | 24-Apr | 24-Apr | 0.00 | 0.0 |
| LEVIN CAPITAL STRATEGIES | 012 | COH | C | 11,236 | 47.80 | 23-Feb | 25-Apr | 449.44 | 4.0 |
| PAKLER | N22 | CROX | S | 52 | 55.53 | n/a | n/a | 0.00 | 0.0 |
| LOOMIS SALES/BOSTON | 036 | CVS | B | 68,959 | 36.11 | n/a | n/a | 2,758.36 | 4.0 |
| J L F ASSET MGMT | 039 | CWTR | B | 34,700 | 20.24 | n/a | n/a | 1,388.00 | 4.0 |
| MCCARTAN | 028 | CWTR | SS | 200 | 20.28 | n/a | n/a | 0.00 | 0.0 |
| SANDLER O'NEILL ASSET | 031 | CYN | B | 20,000 | 73.35 | n/a | n/a | 1,000.00 | 5.0 |
| Õ Glenn Redemann | | DECK | B | 2 | 1.2700 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | DECK | B | 2 | 1.9200 | n/a | n/a | 0.00 | 0.0 |
| LEDDY | 035 | DLIA | S | 1,600 | 8.57 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | FD | S | 20,000 | 43.18 | 26-Jan | 25-Apr | 800.00 | 4.0 |
| COUGAR TRADING | 044 | FD | SS | 5,000 | 43.46 | 26-Jan | 25-Apr | 250.00 | 5.0 |
| PILOT ADV | 038 | FD | S | 55,600 | 43.38 | 26-Jan | 25-Apr | 2,224.00 | 4.0 |
| THIRD COAST CAPITAL | 035 | FD | S | 15,000 | 43.34 | 26-Jan | 25-Apr | 750.00 | 5.0 |
| COUGAR TRADING | 044 | FL | S | 5,000 | 24.14 | n/a | 19-Mar | 250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | GCO | SS | 10,000 | 50.72 | n/a | 10-Jan | 400.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|-----------|----------------|---------------|---------------|---------------|------------------|------------|
| SYSTEMATIC FINANCIAL MGT | 035 | GCO | S | 60,000 | 50.44 | n/a | 10-Jan | 2,250.00 | 3.8 |
| BUCK CAPITAL MGMT | 001 | GES | B | 30,000 | 38.88 | n/a | n/a | 1,200.00 | 4.0 |
| J L F ASSET MGMT | 039 | GES | B | 54,400 | 38.87 | n/a | n/a | 2,176.00 | 4.0 |
| LUCHANSKY | 036 | GES | S | 100 | 38.68 | n/a | n/a | 0.00 | 0.0 |
| NCM CAPITAL MGMT | 035 | GNTX | B | 182,525 | 17.90 | n/a | 24-Apr | 9,126.25 | 5.0 |
| PIVOT CAP | 034 | GPS | B | 32,200 | 17.68 | n/a | 27-Apr | 1,610.00 | 5.0 |
| LEDDY | 035 | GS | S | 75 | 218.21 | 13-Dec | 16-Apr | 0.00 | 0.0 |
| COUGAR TRADING | 044 | GYMB | B | 15,000 | 38.28 | 4-Jan | 13-Apr | 750.00 | 5.0 |
| KORMAN | 003 | HBI | B | 50 | 0.55 | n/a | n/a | 0.00 | 0.0 |
| JP MORGAN VENTURES | 046 | HBI | B | 15,000 | 26.00 | n/a | n/a | 750.00 | 5.0 |
| WAGONHOUND | 048 | HD | S | 18,400 | 38.03 | n/a | 1-Mar | 736.00 | 4.0 |
| JENNISON | 032 | INTC | B | 176,500 | 21.63 | n/a | n/a | 7,060.00 | 4.0 |
| DISIPLINED GROWTH INV. | 030 | INTU | B | 5,000 | 28.23 | n/a | n/a | 250.00 | 5.0 |
| XYLEM GLOBAL | 091 | IP | SS | 200,000 | 37.88 | 20-Mar | 18-Apr | 10,000.00 | 5.0 |
| MISSOURI VALLEY PART | 046 | ISE | S | 8,605 | 66.10 | 30-Apr | 30-Apr | 430.25 | 5.0 |
| EFSTATHIOU | 044 | ISE | S | 200 | 66.12 | 30-Apr | 30-Apr | 0.00 | 0.0 |
| OGORMAN | 146 | ISE | S | 300 | 66.00 | 30-Apr | 30-Apr | 0.00 | 0.0 |
| COUGAR TRADING | 044 | JCG | B | 5,000 | 38.98 | 14-Mar | 25-Apr | 250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------------|------------|-------------|----------|----------------|--------------|---------------|---------------|-----------------|------------|
| RIDGECRST PARTNERS | 035 | JCP | SS | 15,000 | 78.66 | 20-Apr | 20-Apr | 750.00 | 5.0 |
| APEX CAPITAL MGMT. | 091 | JDSU | S | 80,300 | 16.20 | n/a | n/a | 4,015.00 | 5.0 |
| MCCARTAN | 028 | KCP | B | 100 | 24.14 | n/a | 30-Apr | 0.00 | 0.0 |
| CSFB GLOBAL PROPRIETARY | 035 | KFN | SS | 5,900 | 26.60 | n/a | n/a | 295.00 | 5.0 |
| CSFB GLOBAL PROPRIETARY | 035 | KFN | S | 14,200 | 26.60 | n/a | n/a | 710.00 | 5.0 |
| BARR | 096 | KOG | S | 2,000 | 6.30 | n/a | n/a | 0.00 | 0.0 |
| COUGAR TRADING | 044 | KWD | B | 5,000 | 27.61 | n/a | n/a | 250.00 | 5.0 |
| COUGAR TRADING | 044 | KWD | SS | 5,000 | 27.57 | n/a | n/a | 250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | LIZ | B | 70,000 | 36.02 | n/a | 30-Apr | 2,800.00 | 4.0 |
| HARVEST MGMT | 039 | LIZ | B | 10,000 | 36.70 | n/a | 30-Apr | 500.00 | 5.0 |
| CSFB GLOBAL PROPRIETARY | 035 | LM | B | 2,700 | 97.48 | 10-Apr | 1-May | 135.00 | 5.0 |
| XYLEM GLOBAL | 091 | LPX | B | 20,000 | 19.83 | 20-Mar | 26-Apr | 1,000.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | LTD | S | 140,000 | 27.11 | 2-Mar | 27-Apr | 5,600.00 | 4.0 |
| DISIPLINED GROWTH INV. | 030 | LTD | B | 3,000 | 27.08 | 2-Mar | 27-Apr | 150.00 | 5.0 |
| TROUBH PART | 067 | LVLTT | B | 600,000 | 5.53 | 30-Apr | 30-Apr | 30,000.00 | 5.0 |
| CHILTON CAPITAL MGMT. | 036 | MIR | S | 225,200 | 44.83 | n/a | n/a | 9,008.00 | 4.0 |
| BARR | 096 | MIR | S | 350 | 44.95 | n/a | n/a | 0.00 | 0.0 |
| WHITE PINE CAPITAL | 030 | MMR | S | 3,100 | 12.78 | n/a | n/a | 155.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|---------------|------------|
| COLUMBIA PARTNERS | 028 | MNC | SS | 5,826 | 15.35 | n/a | n/a | 233.04 | 4.0 |
| GAULT | 063 | MSI | S | 8,000 | 2.09 | n/a | n/a | 0.00 | 0.0 |
| MAGUIRE | 039 | MZZ | B | 100 | 54.58 | n/a | n/a | 0.00 | 0.0 |
| WASHINGTON ASSET | 048 | NLC | S | 12,000 | 26.89 | n/a | n/a | 600.00 | 5.0 |
| ROBX | 033 | NTRI | S | 2,000 | 60.98 | n/a | n/a | 80.00 | 4.0 |
| WHITE PINE CAPITAL | 030 | NVEC | S | 225 | 27.69 | n/a | n/a | 11.25 | 5.0 |
| WHITE PINE CAPITAL | 030 | NYNY | S | 2,500 | 8.63 | n/a | n/a | 125.00 | 5.0 |
| FORTRESS CAPITAL | 040 | NYT | S | 50,000 | 24.95 | n/a | n/a | 2,500.00 | 5.0 |
| NEUBERGER BERMAN | 036 | OII | S | 6,700 | 47.15 | n/a | n/a | 335.00 | 5.0 |
| WHITE PINE CAPITAL | 030 | OLN | S | 225 | 17.25 | n/a | 27-Apr | 11.25 | 5.0 |
| BUCK CAPITAL MGMT | 001 | OXM | S | 10,000 | 45.95 | n/a | n/a | 400.00 | 4.0 |
| OGORMAN | 146 | PARD | B | 1,000 | 7.04 | n/a | n/a | 0.00 | 0.0 |
| MCCARTAN | 028 | PCL | S | 100 | 39.71 | n/a | 24-Apr | 0.00 | 0.0 |
| COUGAR TRADING | 044 | PLCE | B | 5,000 | 53.30 | 12-Apr | 13-Apr | 250.00 | 5.0 |
| ROARING BLUE LION MGMT | 012 | PLCE | S | 9,000 | 53.02 | 12-Apr | 13-Apr | 450.00 | 5.0 |
| SAC TRADING HOWARD | 038 | PLCE | B | 15,000 | 53.10 | 12-Apr | 13-Apr | 750.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|--------------|----------|---------------|--------------|--------------|---------------|-----------------|------------|
| WHALE ROCK CAP | 030 | PNK | S | 50,000 | 27.69 | n/a | n/a | 2,000.00 | 4.0 |
| ROBX | 302 | PPS | B | 33,000 | 45.22 | n/a | n/a | 990.00 | 3.0 |
| WHITE PINE CAPITAL | 030 | PTIX | S | 1,225 | 4.73 | n/a | n/a | 49.00 | 4.0 |
| NCM CAPITAL MGMT | 035 | PTI | S | 49,750 | 26.17 | n/a | n/a | 2,487.50 | 5.0 |
| ADAGE CAPITAL MGMT | 030 | PVH | SS | 100,000 | 53.71 | 28-Mar | 28-Mar | 4,000.00 | 4.0 |
| COUGAR TRADING | 044 | PVH | B | 5,000 | 54.08 | 28-Mar | 28-Mar | 250.00 | 5.0 |
| COUGAR TRADING | 044 | PVH | SS | 5,000 | 55.37 | 28-Mar | 28-Mar | 250.00 | 5.0 |
| J L F ASSET MGMT | 039 | PVH | B | 3,100 | 53.18 | 28-Mar | 28-Mar | 124.00 | 4.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | PVH | B | 15,725 | 53.40 | 28-Mar | 28-Mar | 589.69 | 3.8 |
| COLUMBUS CIRCLE | 036 | PYX | B | 29,740 | 15.33 | n/a | 19-Apr | 1,189.60 | 4.0 |
| BUCK CAPITAL MGMT | 001 | RL | B | 30,000 | 89.73 | 2-Feb | 13-Apr | 1,200.00 | 4.0 |
| CENTURION PARTNERS | 233 | RL | B | 5,000 | 89.67 | 2-Feb | 13-Apr | 250.00 | 5.0 |
| CAXTON PART | 040 | RRC | S | 250,000 | 36.54 | n/a | n/a | 10,000.00 | 4.0 |
| AMATURO | 018 | RTIRP | B | 20 | 2.95 | n/a | n/a | 0.00 | 0.0 |
| CAPITAL GROWTH MGMT. | 241 | RTI | S | 20,000 | 84.56 | n/a | n/a | 1,000.00 | 5.0 |
| EGS ASSOCIATES LP | 091 | SAH | B | 3,500 | 27.65 | n/a | 13-Apr | 210.00 | 6.0 |
| CSFB GLOBAL PROPRIETARY | 035 | SCHW | B | 7,400 | 19.07 | n/a | n/a | 370.00 | 5.0 |
| LISTED ERR | 099 | SCHW | B | 3 | 19.07 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------|--------|-----|---------|-------|--------|----------|--------------|-----|
| EFSTATHIOU | 044 | SDS | B | 200 | 54.29 | n/a | n/a | 0.00 | 0.0 |
| WANG | 192 | SHOO | S | 100 | 31.75 | n/a | n/a | 0.00 | 0.0 |
| EFSTATHIOU | 044 | SIRO | S | 200 | 33.75 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | SKX | B | 100,000 | 31.21 | n/a | 13-Mar | 4,000.00 | 4.0 |
| SAXON WOODS ADVISORS | 038 | SMG | S | 162,200 | 46.04 | 20-Feb | 19-Apr | 6,488.00 | 4.0 |
| KORMAN | 003 | SNEN | B | 3,500 | 2.50 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | SSI | B | 5,000 | 21.61 | 26-Feb | 13-Apr | 200.00 | 4.0 |
| BARR | 096 | SWIM | SS | 1,500 | 13.26 | n/a | n/a | 0.00 | 0.0 |
| GAULT | 063 | TFSM | B | 1,000 | 11.98 | n/a | n/a | 0.00 | 0.0 |
| THIRD COAST CAPITAL | 035 | TGT | SS | 15,000 | 59.16 | n/a | 24-Apr | 750.00 | 5.0 |
| ROBX | 033 | THC | S | 5,000 | 7.36 | n/a | 27-Feb | 175.00 | 3.5 |
| KALINOWSKI | 070 | THIEF | B | 50 | 1.95 | n/a | n/a | 0.00 | 0.0 |
| KALINOWSKI | 070 | THIGG | B | 100 | 0.35 | n/a | n/a | 0.00 | 0.0 |
| DISCIPLINED GROWTH INV. | 030 | TJX | B | 8,000 | 28.13 | 21-Mar | 13-Apr | 400.00 | 5.0 |
| WAGONHOUND | 048 | TJX | S | 30,000 | 27.67 | 21-Mar | 13-Apr | 1,200.00 | 4.0 |
| SENECA CAPITAL LP NY | 028 | TLAB | S | 104,000 | 10.71 | n/a | 22-Mar | 5,200.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|--------|----------|--------------|-----|
| BUCK CAPITAL MGMT | 001 | TLB | S | 20,000 | 23.02 | 10-Jan | 26-Apr | 800.00 | 4.0 |
| CSFB GLOBAL PROPRIETARY | 035 | TOL | SS | 10,000 | 29.30 | n/a | n/a | 500.00 | 5.0 |
| ROBX | 033 | TRID | S | 19,500 | 20.71 | n/a | n/a | 780.00 | 4.0 |
| UBS OCONNOR | 031 | UAG | B | 30,000 | 20.23 | n/a | 13-Apr | 900.00 | 3.0 |
| MAGUIRE | 090 | UAUA | B | 1,500 | 33.24 | n/a | n/a | 0.00 | 0.0 |
| FRIESS MGMT | 042 | URBN | B | 346,400 | 25.00 | 2-Apr | 26-Apr | 15,588.00 | 4.5 |
| WHITE PINE CAPITAL | 030 | VAL | S | 350 | 27.00 | n/a | n/a | 17.50 | 5.0 |
| LUCHANSKY | 036 | VSL | S | 300 | 21.05 | n/a | n/a | 0.00 | 0.0 |
| WHITE PINE CAPITAL | 030 | WDR | S | 200 | 24.21 | 5-Mar | 1-May | 10.00 | 5.0 |
| HAYGROUND COE | 039 | WFMI | SS | 67,000 | 45.94 | n/a | n/a | 3,350.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | WSM | B | 10,000 | 34.41 | n/a | n/a | 400.00 | 4.0 |
| WHITE PINE CAPITAL | 030 | WTI | S | 275 | 31.15 | n/a | n/a | 13.75 | 5.0 |
| T. ROWE PRICE | 243 | WY | S | 21,700 | 78.55 | 15-Dec | 18-Apr | 868.00 | 4.0 |
| BEAR STEARNS ASSET MGMT. | 033 | YUM | C | 35,000 | 62.82 | 24-Apr | 24-Apr | 1,400.00 | 4.0 |
| KALINOWSKI | 070 | YZZAF | B | 20 | 3.90 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|------|--------|-----|--------|-------|-----|------------|--------------|-----|
| KALINOWSKI | 070 | ZMQAG | B | 10 | 3.40 | n/a | n/a | 0.00 | 0.0 |
| TOTAL (Trade Date): | | | | | | | 224,409.38 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|-------------------------|------|--------|-----|---------|-------|-----|----------|-------------|
| AO,CRT | 04/30 | AMBER CAPITAL (AMBRGS) | 046 | GPN | B | 113,500 | 37.99 | n/a | n/a | 4540.00 4.0 |
| AO,CXL | 04/30 | AMBER CAPITAL (AMBRLEH) | 046 | GPN | B | 113,500 | 37.99 | n/a | n/a | 4540.00 4.0 |
| AO, | 04/30 | JENNISON (JENN799) | 032 | INTC | B | 700 | 21.68 | n/a | n/a | 28.00 4.0 |
| AO, | 04/30 | JENNISON (JENN79) | 032 | INTC | B | 500 | 21.68 | n/a | n/a | 20.00 4.0 |
| AO, | 04/30 | JENNISON (JENN495) | 032 | INTC | B | 100 | 21.68 | n/a | n/a | 4.00 4.0 |
| AO, | 04/30 | JENNISON (JENN148) | 032 | INTC | B | 2,000 | 21.68 | n/a | n/a | 80.00 4.0 |
| AO, | 04/30 | JENNISON (JENN380) | 032 | INTC | B | 200 | 21.68 | n/a | n/a | 8.00 4.0 |
| AO, | 04/30 | JENNISON (JENN203) | 032 | INTC | B | 1,500 | 21.68 | n/a | n/a | 60.00 4.0 |
| AO, | 04/30 | JENNISON (JENN789) | 032 | INTC | B | 800 | 21.68 | n/a | n/a | 32.00 4.0 |
| AO, | 04/30 | JENNISON (JENN492) | 032 | INTC | B | 400 | 21.68 | n/a | n/a | 16.00 4.0 |
| AO, | 04/30 | JENNISON (JENN82) | 032 | INTC | B | 300 | 21.68 | n/a | n/a | 12.00 4.0 |
| AO, | 04/30 | JENNISON (JENN786) | 032 | INTC | B | 100 | 21.68 | n/a | n/a | 4.00 4.0 |
| AO, | 04/30 | JENNISON (JENN18) | 032 | INTC | B | 100 | 21.68 | n/a | n/a | 4.00 4.0 |
| AO, | 04/30 | JENNISON (JENN73) | 032 | INTC | B | 600 | 21.68 | n/a | n/a | 24.00 4.0 |
| AO, | 04/30 | JENNISON (JENN785) | 032 | INTC | B | 300 | 21.68 | n/a | n/a | 12.00 4.0 |
| AO, | 04/30 | JENNISON (JENN210) | 032 | INTC | B | 100 | 21.68 | n/a | n/a | 4.00 4.0 |
| AO, | 04/30 | JENNISON (JENN784) | 032 | INTC | B | 100 | 21.68 | n/a | n/a | 4.00 4.0 |
| AO, | 04/30 | JENNISON (JENN491) | 032 | INTC | B | 100 | 21.68 | n/a | n/a | 4.00 4.0 |
| AO, | 04/30 | JENNISON (JENN322) | 032 | INTC | B | 4,300 | 21.68 | n/a | n/a | 172.00 4.0 |
| AO, | 04/30 | JENNISON (JENN481) | 032 | INTC | B | 700 | 21.68 | n/a | n/a | 28.00 4.0 |
| AO, | 04/30 | JENNISON (JENN461) | 032 | INTC | B | 200 | 21.68 | n/a | n/a | 8.00 4.0 |
| AO, | 04/30 | JENNISON (JENN493) | 032 | INTC | B | 300 | 21.68 | n/a | n/a | 12.00 4.0 |
| AO, | 04/30 | JENNISON (JENN832) | 032 | INTC | B | 400 | 21.68 | n/a | n/a | 16.00 4.0 |
| AO, | 04/30 | JENNISON (JENN612) | 032 | INTC | B | 200 | 21.68 | n/a | n/a | 8.00 4.0 |
| AO, | 04/30 | JENNISON (JENN771) | 032 | INTC | B | 100 | 21.68 | n/a | n/a | 4.00 4.0 |
| AO, | 04/30 | JENNISON (JENN831) | 032 | INTC | B | 800 | 21.68 | n/a | n/a | 32.00 4.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------|-------|---------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO, | 04/30 | JENNISON (JENN628) | 032 | INTC | B | 400 | 21.68 | n/a | n/a | 16.00 4.0 |
| AO, | 04/30 | JENNISON (JENN729) | 032 | INTC | B | 7,600 | 21.68 | n/a | n/a | 304.00 4.0 |
| AO, | 04/30 | JENNISON (JENN621) | 032 | INTC | B | 400 | 21.68 | n/a | n/a | 16.00 4.0 |
| AO, | 04/30 | JENNISON (JENN615) | 032 | INTC | B | 100 | 21.68 | n/a | n/a | 4.00 4.0 |
| AO, | 04/30 | JENNISON (JENN610) | 032 | INTC | B | 100 | 21.68 | n/a | n/a | 4.00 4.0 |
| AO, | 04/30 | JENNISON (JENN534) | 032 | INTC | B | 300 | 21.68 | n/a | n/a | 12.00 4.0 |
| AO, | 04/30 | JENNISON (JENN387) | 032 | INTC | B | 100 | 21.68 | n/a | n/a | 4.00 4.0 |
| AO, | 04/30 | JENNISON (JENN564) | 032 | INTC | B | 200 | 21.68 | n/a | n/a | 8.00 4.0 |
| AO, | 04/30 | JENNISON (JENN46) | 032 | INTC | B | 700 | 21.68 | n/a | n/a | 28.00 4.0 |
| AO, | 04/30 | JENNISON (JENN119) | 032 | INTC | B | 3,800 | 21.68 | n/a | n/a | 152.00 4.0 |
| AO, | 04/30 | JENNISON (JENN268) | 032 | INTC | B | 300 | 21.68 | n/a | n/a | 12.00 4.0 |
| AO, | 04/30 | JENNISON (JENN567) | 032 | INTC | B | 1,000 | 21.68 | n/a | n/a | 40.00 4.0 |
| AO, | 04/30 | JENNISON (JENN553) | 032 | INTC | B | 100 | 21.68 | n/a | n/a | 4.00 4.0 |
| AO, | 04/30 | JENNISON (JENN539) | 032 | INTC | B | 100 | 21.68 | n/a | n/a | 4.00 4.0 |
| AO, | 04/30 | JENNISON (JENN697) | 032 | INTC | B | 4,500 | 21.68 | n/a | n/a | 180.00 4.0 |
| AO, | 04/30 | JENNISON (JENN486) | 032 | INTC | B | 400 | 21.68 | n/a | n/a | 16.00 4.0 |
| AO, | 04/30 | JENNISON (JENN636) | 032 | INTC | B | 200 | 21.68 | n/a | n/a | 8.00 4.0 |
| AO, | 04/30 | JENNISON (JENN452) | 032 | INTC | B | 400 | 21.68 | n/a | n/a | 16.00 4.0 |
| AO, | 04/30 | JENNISON (JENN164) | 032 | INTC | B | 3,000 | 21.68 | n/a | n/a | 120.00 4.0 |
| AO, | 04/30 | JENNISON (JENN710) | 032 | INTC | B | 100 | 21.68 | n/a | n/a | 4.00 4.0 |
| AO, | 04/30 | JENNISON (JENN0440) | 032 | INTC | B | 600 | 21.68 | n/a | n/a | 24.00 4.0 |
| AO, | 04/30 | JENNISON (JENN641) | 032 | INTC | B | 900 | 21.68 | n/a | n/a | 36.00 4.0 |
| AO, | 04/30 | JENNISON (JENN443) | 032 | INTC | B | 3,200 | 21.68 | n/a | n/a | 128.00 4.0 |
| AO, | 04/30 | JENNISON (JENN619) | 032 | INTC | B | 100 | 21.68 | n/a | n/a | 4.00 4.0 |
| AO, | 04/30 | JENNISON (JENN426) | 032 | INTC | B | 1,800 | 21.68 | n/a | n/a | 72.00 4.0 |
| AO, | 04/30 | JENNISON (JENN0857) | 032 | INTC | B | 500 | 21.68 | n/a | n/a | 20.00 4.0 |
| AO, | 04/30 | JENNISON (JENN393) | 032 | INTC | B | 100 | 21.68 | n/a | n/a | 4.00 4.0 |
| AO, | 04/30 | JENNISON (JENN686) | 032 | INTC | B | 73,200 | 21.68 | n/a | n/a | 2928.00 4.0 |
| AO, | 04/30 | JENNISON (JENN841) | 032 | INTC | B | 500 | 21.68 | n/a | n/a | 20.00 4.0 |
| AO, | 04/30 | JENNISON (JENN685) | 032 | INTC | B | 23,400 | 21.68 | n/a | n/a | 936.00 4.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|-------------------------------|------|--------|-----|--------|-------|-----|----------|------------------|
| AO, | 04/30 | JENNISON (JENN404) | 032 | INTC | B | 100 | 21.68 | n/a | n/a | 4.00 4.0 |
| AO, | 04/30 | JENNISON (JENN684) | 032 | INTC | B | 37,800 | 21.68 | n/a | n/a | 1512.00 4.0 |
| AO, | 04/30 | JENNISON (JENN835) | 032 | INTC | B | 500 | 21.68 | n/a | n/a | 20.00 4.0 |
| AO, | 04/30 | JENNISON (JENN540) | 032 | INTC | B | 400 | 21.68 | n/a | n/a | 16.00 4.0 |
| AO, | 04/30 | JENNISON (JENN662) | 032 | INTC | B | 1,400 | 21.68 | n/a | n/a | 56.00 4.0 |
| AO, | 04/30 | JENNISON (JENN548) | 032 | INTC | B | 200 | 21.68 | n/a | n/a | 8.00 4.0 |
| AO, | 04/30 | JENNISON (JENN556) | 032 | INTC | B | 100 | 21.68 | n/a | n/a | 4.00 4.0 |
| AO, | 04/30 | JENNISON (JENN826) | 032 | INTC | B | 2,700 | 21.68 | n/a | n/a | 108.00 4.0 |
| AO, | 04/30 | JENNISON (JENN536) | 032 | INTC | B | 800 | 21.68 | n/a | n/a | 32.00 4.0 |
| AO, | 04/30 | JENNISON (JENN541) | 032 | INTC | B | 400 | 21.68 | n/a | n/a | 16.00 4.0 |
| AO, | 04/30 | JENNISON (JENN821) | 032 | INTC | B | 100 | 21.68 | n/a | n/a | 4.00 4.0 |
| AO, | 04/30 | JENNISON (JENN354) | 032 | INTC | B | 1,400 | 21.68 | n/a | n/a | 56.00 4.0 |
| AO, | 04/30 | JENNISON (JENN516) | 032 | INTC | B | 2,800 | 21.68 | n/a | n/a | 112.00 4.0 |
| AO, | 04/30 | JENNISON (JENN814) | 032 | INTC | B | 300 | 21.68 | n/a | n/a | 12.00 4.0 |
| AO, | 04/30 | JENNISON (JENN144) | 032 | INTC | B | 1,900 | 21.68 | n/a | n/a | 76.00 4.0 |
| AO, | 04/30 | JENNISON (JENN503) | 032 | INTC | B | 300 | 21.68 | n/a | n/a | 12.00 4.0 |
| AO, | 04/30 | NCM CAPITAL MGMT (NCMCNEVBAR) | 035 | PTI | S | 8,400 | 26.57 | n/a | n/a | 420.00 5.0 |
| AO, | 04/30 | ASCEND PARTNERS (ASCEML) | 033 | TYC | B | 1,860 | 32.72 | n/a | 6-Feb | 93.00 5.0 |
| AO, | 04/30 | ASCEND PARTNERS (ASCECITI) | 033 | TYC | B | 11,332 | 32.72 | n/a | 6-Feb | 566.60 5.0 |
| AO, | 04/30 | ASCEND PARTNERS (ASCEMSPB) | 033 | TYC | B | 36,184 | 32.72 | n/a | 6-Feb | 1809.20 5.0 |
| AO, | 04/30 | ASCEND PARTNERS (ASCEBANC O) | 033 | TYC | B | 15,624 | 32.72 | n/a | 6-Feb | 781.20 5.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 11,438.00 |

TOTAL (Trade Date):

224,409.38

TOTAL (AO, CXL, CRT):

11,438.00

TOTAL (RUN DATE) / NFS:

235,847.38

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