

Daily Compliance Activity Report Trade Date: 12/23/2011

${\bf POTENTIAL\ ANALYST\ TRADE\ VIOLATIONS:0}$

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Sh	r.
WOODWAY FINANCIAL	031	AAPL	S	15	401.79	n/a	n/a	0.90 6.	0
WOODWAY FINANCIAL	031	ABB	S	250	18.66	n/a	n/a	15.00 6.	0
CATAPULT	040	ABD	В	1,245	9.81	n/a	n/a	49.80 4.	0
WOODWAY FINANCIAL	031	ABX	S	100	45.94	n/a	n/a	6.00 6.	0
WOODWAY FINANCIAL	031	ADP	S	75	54.20	n/a	n/a	4.50 6.	0
WOODWAY FINANCIAL	031	ALB	S	100	51.18	n/a	n/a	6.00 6.	0
IVORY CAPITAL	034	AMTD	В	25,000	15.55	n/a	n/a	1,250.00 5.	0
CATAPULT	040	ANF	В	325	48.92	n/a	17-Nov	13.00 4.	0
WOODWAY FINANCIAL	031	AON	S	50	47.05	n/a	n/a	3.00 6.	0
WOODWAY FINANCIAL	031	APA	S	40	90.73	n/a	22-Dec	2.40 6.	0
CATAPULT	040	ARG	В	615	79.74	n/a	12-Dec	24.60 4.	0
CATAPULT	040	ATI	В	436	47.98	n/a	28-Nov	17.44 4.	0
MTB INV ADV	034	AT	В	20,600	14.16	n/a	n/a	824.00 4.	0
TRELLUS PARTNERS LP	028	AXL	SS	7,600	9.76	n/a	31-0ct	228.00 3.	0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
CATAPULT	040	BA	В	265	73.76	n/a	29-Nov	10.60	4.0
PATTEN & PATTEN	025	BBY	S	150	23.24	n/a	n/a	7.50	5.0
WOODWAY FINANCIAL	031	BTU	S	75	34.10	n/a	n/a	4.50	6.0
CATAPULT	040	CAS	В	1,260	9.34	n/a	n/a	50.40	4.0
WOODWAY FINANCIAL	031	CAT	S	65	91.85	n/a	21-Dec	3.90	6.0
CATAPULT	040	CBE	В	622	54.70	n/a	21-0ct	24.88	4.0
CATAPULT	040	CMG	В	145	332.65	n/a	21-0ct	5.80	4.0
SANDLER O'NEILL ASSET	031	COF	S	21,782	43.00	n/a	22-Dec	1,089.10	5.0
WOODWAY FINANCIAL	031	СОН	S	50	60.81	n/a	26-0ct	3.00	6.0
WOODWAY FINANCIAL	031	COV	S	75	45.32	n/a	n/a	4.50	6.0
CATAPULT	040	CPO	В	429	52.65	n/a	n/a	17.16	4.0
WOODWAY FINANCIAL	031	CSCO	S	150	18.21	n/a	n/a	9.00	6.0
MUHLENKAMP FUND	046	С	В	80,000	27.66	n/a	22-Dec	4,000.00	5.0
PATTEN & PATTEN	025	DD	В	210	46.02	n/a	20-Dec	10.50	5.0
WOODWAY FINANCIAL	031	DEO	S	60	86.11	n/a	n/a	3.60	6.0
	CATAPULT PATTEN & PATTEN WOODWAY FINANCIAL CATAPULT WOODWAY FINANCIAL CATAPULT SANDLER O'NEILL ASSET WOODWAY FINANCIAL WOODWAY FINANCIAL CATAPULT WOODWAY FINANCIAL MUHLENKAMP FUND PATTEN & PATTEN	CATAPULT 040 PATTEN & PATTEN 025 WOODWAY FINANCIAL 031 CATAPULT 040 WOODWAY FINANCIAL 031 CATAPULT 040 SANDLER O'NEILL ASSET 031 WOODWAY FINANCIAL 031 WOODWAY FINANCIAL 031 CATAPULT 040 WOODWAY FINANCIAL 031 MOODWAY FINANCIAL 031 MOODWAY FINANCIAL 031 MUHLENKAMP FUND 046 PATTEN & PATTEN 025	CATAPULT 040 BA PATTEN & PATTEN 025 BBY WOODWAY FINANCIAL 031 BTU CATAPULT 040 CAS WOODWAY FINANCIAL 031 CAT CATAPULT 040 CBE CATAPULT 040 CMG SANDLER O'NEILL ASSET 031 COF WOODWAY FINANCIAL 031 COH WOODWAY FINANCIAL 031 COV CATAPULT 040 CPO WOODWAY FINANCIAL 031 CSCO MUHLENKAMP FUND 046 C PATTEN & PATTEN 025 DD	CATAPULT 040 BA B PATTEN & PATTEN 025 BBY S WOODWAY FINANCIAL 031 BTU S CATAPULT 040 CAS B WOODWAY FINANCIAL 031 CAT S CATAPULT 040 CBE B CATAPULT 040 CMG B SANDLER O'NEILL ASSET 031 COF S WOODWAY FINANCIAL 031 COH S WOODWAY FINANCIAL 031 COV S CATAPULT 040 CPO B WOODWAY FINANCIAL 031 CSCO S MUHLENKAMP FUND 046 C B PATTEN & PATTEN 025 DD B	CATAPULT 040 BA B 265 PATTEN & PATTEN 025 BBY S 150 WOODWAY FINANCIAL 031 BTU S 75 CATAPULT 040 CAS B 1,260 WOODWAY FINANCIAL 031 CAT S 65 CATAPULT 040 CBE B 622 CATAPULT 040 CMG B 145 SANDLER O'NEILL ASSET 031 COF S 21,782 WOODWAY FINANCIAL 031 COF S 50 WOODWAY FINANCIAL 031 COV S 75 CATAPULT 040 CPO B 429 WOODWAY FINANCIAL 031 CSCO S 150 MUHLENKAMP FUND 046 C B 80,000 PATTEN & PATTEN 025 DD B 210	CATAPULT 040 BA B 265 73.76 PATTEN & PATTEN 025 BBY S 150 23.24 WOODWAY FINANCIAL 031 BTU S 75 34.10 CATAPULT 040 CAS B 1,260 9.34 WOODWAY FINANCIAL 031 CAT S 65 91.85 CATAPULT 040 CBE B 622 54.70 CATAPULT 040 CMG B 145 332.65 SANDLER O'NEILL ASSET 031 COF S 21,782 43.00 WOODWAY FINANCIAL 031 COV S 75 45.32 CATAPULT 040 CPO B 429 52.65 WOODWAY FINANCIAL 031 CSCO S 150 18.21 MUHLENKAMP FUND 046 C B 80,000 27.66 PATTEN & PATTEN 025 DD B 210 46.02	CATAPULT 040 BA B 265 73.76 n/a PATTEN & PATTEN 025 BBY S 150 23.24 n/a WOODWAY FINANCIAL 031 BTU S 75 34.10 n/a CATAPULT 040 CAS B 1,260 9.34 n/a WOODWAY FINANCIAL 031 CAT S 65 91.85 n/a CATAPULT 040 CBE B 622 54.70 n/a CATAPULT 040 CMG B 145 332.65 n/a SANDLER O'NEILL ASSET 031 COF S 21,782 43.00 n/a WOODWAY FINANCIAL 031 COH S 50 60.81 n/a WOODWAY FINANCIAL 031 COV S 75 45.32 n/a CATAPULT 040 CPO B 429 52.65 n/a WOODWAY FINANCIAL 031 CSCO S 150 18.21 n/a MUODWAY FINANCIAL 031 CSCO S 150 18.21 n/a MUODWAY FINANCIAL 031 CSCO S 150 18.21 n/a MUODWAY FINANCIAL 031 CSCO S 150 18.21 n/a MUHLENKAMP FUND 046 C B 80,000 27.66 n/a PATTEN & PATTEN 025 DD B 210 46.02 n/a	CATAPULT 040 BA B 265 73.76 n/a 29-Nov PATTEN & PATTEN 025 BBY S 150 23.24 n/a n/a WOODWAY FINANCIAL 031 BTU S 75 34.10 n/a n/a WOODWAY FINANCIAL 031 CAS B 1,260 9.34 n/a n/a WOODWAY FINANCIAL 031 CAT S 65 91.85 n/a 21-Dec CATAPULT 040 CBE B 622 54.70 n/a 21-Oet CATAPULT 040 CMG B 145 332.65 n/a 21-Oet SANDLER O'NEILL ASSET 031 COF S 21,782 43.00 n/a 22-Dec WOODWAY FINANCIAL 031 COV S 75 45.32 n/a n/a CATAPULT 040 CPO B 429 52.65 n/a n/a WOODWAY FINANCIAL 031 COV S 150 18.21 n/a n/a WOODWAY FINANCIAL 031 CSCO S 150 18.21 n/a n/a MUHLENKAMP FUND 046 C B 80,000 27.66 n/a 22-Dec PATTEN & PATTEN 025 DD B 210 46.02 n/a 20-Dec	CATAPULT 040 BA B 265 73.76

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
WOODWAY FINANCIAL	031	DIS	S	150	37.36	n/a	n/a	9.00	6.0
CATAPULT	040	DNKN	В	2 , 558	24.61	n/a	n/a	102.32	4.0
PATTEN & PATTEN	025	DOW	S	350	28.64	n/a	14-Dec	17.50	5.0
CATAPULT	040	ЕСНО	В	880	16.80	n/a	n/a	35.20	4.0
PATTEN & PATTEN	025	EEM	S	250	38.43	n/a	n/a	12.50	5.0
PATTEN & PATTEN	025	EMR	S	200	46.00	n/a	n/a	10.00	5.0
CATAPULT	040	FCN	В	615	43.59	n/a	n/a	24.60	4.0
WOODWAY FINANCIAL	031	FCX	S	125	38.18	n/a	n/a	7.50	6.0
CATAPULT	040	FDO	В	540	58.73	n/a	29-Sep	21.60	4.0
SURVEYOR CAPITAL	251	FINL	В	56,458	19.71	n/a	22-Dec	1,693.74	3.0
CATAPULT	040	FLS	В	269	101.41	n/a	n/a	10.76	4.0
CATAPULT	040	FMC	В	410	86.85	n/a	8-Dec	16.40	4.0
CATAPULT	040	FXCM	В	1,205	9.26	n/a	n/a	48.20	4.0
WOODWAY FINANCIAL	031	GIS	S	50	40.48	n/a	n/a	3.00	6.0
WOODWAY FINANCIAL	031	GLW	S	500	13.32	n/a	12-Dec	30.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
BNP PARIBAS SEC	040	GM GM	SS SS	30,000 25,000	20.63	n/a n/a	2-Dec 2-Dec	1,500.00 1,250.00	5.0 5.0
WOODWAY FINANCIAL	031	GOOG	S		631.07	n/a	n/a	0.30	6.0
CATAPULT	040	HAL	В	373	33.52	n/a	n/a	14.92	4.0
CATAPULT	040	HD	В	653	42.01	n/a	8-Dec	26.12	4.0
CATAPULT	040	HON	В	4	54.69	n/a	15-Dec	0.16	4.0
CATAPULT	040	HRS	В	1,114	36.68	n/a	27-Oct	44.56	4.0
CATAPULT	040	HSY	В	608	61.24	n/a	n/a	24.32	4.0
WOODWAY FINANCIAL	031	IBM	S	30	184.27	n/a	n/a	1.80	6.0
WOODWAY FINANCIAL	031	INTC	S	75	24.37	n/a	n/a	4.50	6.0
CATAPULT	040	ITW	В	401	47.32	n/a	5-Dec	16.04	4.0
WOODWAY FINANCIAL	031	ITW	S	75	47.66	n/a	5-Dec	4.50	6.0
PATTEN & PATTEN	025	IYG	S	320	45.90	n/a	n/a	16.00	5.0
WOODWAY FINANCIAL	031	JEC	S	50	40.73	n/a	n/a	3.00	6.0
WOODWAY FINANCIAL	031	JNJ	S	75	65.77	n/a	n/a	4.50	6.0
WOODWAY FINANCIAL	031	JPM	S	100	33.37	n/a	22-Dec	6.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
CATAPULT	040	KBR	В	480	28.37	n/a	n/a	19.20	4.0
CATAPULT	040	LII	В	886	34.02	n/a	n/a	35.44	4.0
CATAPULT	040	LLY	В	829	41.30	n/a	n/a	33.16	4.0
KACELA CAPITAL	034	LOW	S	75 , 000	25.20	n/a	7-Dec	3,000.00	4.0
ROSEDALE CAPITAL	046	LPX	S	2,100	8.16	n/a	7-Nov	63.00	3.0
WOODWAY FINANCIAL	031	MCD	S	50	99.91	n/a	8-Dec	3.00	6.0
WOODWAY FINANCIAL	031	MCK	S	75	78.57	n/a	n/a	4.50	6.0
CATAPULT	040	MDR	В	960	11.96	n/a	n/a	38.40	4.0
CATAPULT	040	MHK	В	554	59.64	n/a	n/a	22.16	4.0
WOODWAY FINANCIAL	031	MMM	S	65	81.96	n/a	12-Dec	3.90	6.0
WOODWAY FINANCIAL	031	MO	S	175	29.80	n/a	n/a	10.50	6.0
WOODWAI FINANCIAL	031	MO	3	175	29.00	II/ a	II/ a	10.50	0.0
CATAPULT	040	MRK	В	785	37.88	n/a	n/a	31.40	4.0
WOODWAY FINANCIAL	031	MRK	S	100	37.80	n/a	n/a	6.00	6.0
CATAPULT	040	MSA	В	594	33.96	n/a	n/a	23.76	4.0
CATAPULT	040	MSM	В	24	70.88	n/a	n/a	0.96	4.0
DE SHAW	070	М	В	100,000	31.99	n/a	2-Dec	3,000.00	3.0

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WOODWAY FINANCIAL	031	NKE	S	75	96.56	n/a	21-Dec	4.50	6.0
WOODWAY FINANCIAL	031	NOV	S	50	68.36	n/a	n/a	3.00	6.0
WOODWAY FINANCIAL	031	NVS	S	50	56.79	n/a	n/a	3.00	6.0
WOODWAY FINANCIAL	031	PEP	S	125	66.53	n/a	n/a	7.50	6.0
WOODWAY FINANCIAL	031	PETM	S	95	51.81	n/a	n/a	5.70	6.0
CATAPULT	040	PFE	В	1,279	21.69	n/a	n/a	51.16	4.0
WOODWAY FINANCIAL	031	PG	S	75	66.59	n/a	16-Nov	4.50	6.0
CATAPULT	040	PII	В	292	55.71	n/a	n/a	11.68	4.0
CATAPULT	040	RHI	В	660	28.47	n/a	n/a	26.40	4.0
PATTEN & PATTEN	025	RSG	S	450	27.72	n/a	n/a	22.50	5.0
CATAPULT	040	SEE	В	600	16.97	n/a	2-Jun	24.00	4.0
WOODWAY FINANCIAL	031	SLB	S	50	68.87	n/a	n/a	3.00	6.0
RIDGECREST INV MGMT LLC	028	SPY	SS	30,000	126.13	n/a	n/a	900.00	3.0
EPOCH INV MGMT	030	SSD	S	5,000	34.07	n/a	n/a	150.00	3.0
WOODWAY FINANCIAL	031	TEF	S	125	17.25	n/a	n/a	7.50	6.0
	WOODWAY FINANCIAL WOODWAY FINANCIAL WOODWAY FINANCIAL WOODWAY FINANCIAL CATAPULT WOODWAY FINANCIAL CATAPULT CATAPULT CATAPULT PATTEN & PATTEN CATAPULT WOODWAY FINANCIAL RIDGECREST INV MGMT LLC EPOCH INV MGMT	WOODWAY FINANCIAL WOODWAY FINANCIAL WOODWAY FINANCIAL WOODWAY FINANCIAL WOODWAY FINANCIAL O31 CATAPULT O40 WOODWAY FINANCIAL O31 CATAPULT O40 CATAPULT O40 PATTEN & PATTEN O25 CATAPULT O40 WOODWAY FINANCIAL O31 RIDGECREST INV MGMT LLC O28 EPOCH INV MGMT O31	WOODWAY FINANCIAL WOODWAY FINANCIAL WOODWAY FINANCIAL WOODWAY FINANCIAL WOODWAY FINANCIAL WOODWAY FINANCIAL CATAPULT WOODWAY FINANCIAL CATAPULT CAT	WOODWAY FINANCIAL O31 PEP S WOODWAY FINANCIAL O31 PETM S CATAPULT O40 PFE B WOODWAY FINANCIAL O31 PG S CATAPULT O40 PII B CATAPULT O40 RHI B PATTEN & PATTEN O25 RSG S CATAPULT O40 SEE B WOODWAY FINANCIAL O31 SLB S RIDGECREST INV MGMT LLC O28 SPY SS EPOCH INV MGMT O30 SSD S	WOODWAY FINANCIAL 031 NKE S 75 WOODWAY FINANCIAL 031 NVS S 50 WOODWAY FINANCIAL 031 PEP S 125 WOODWAY FINANCIAL 031 PETM S 95 CATAPULT 040 PFE B 1,279 WOODWAY FINANCIAL 031 PG S 75 CATAPULT 040 PII B 292 CATAPULT 040 RHI B 660 PATTEN & PATTEN 025 RSG S 450 CATAPULT 040 SEE B 600 WOODWAY FINANCIAL 031 SLB S 50 RIDGECREST INV MGMT LLC 028 SPY SS 30,000 EPOCH INV MGMT 030 SSD S 5,000	WOODWAY FINANCIAL 031 NKE S 75 96.56 WOODWAY FINANCIAL 031 NOV S 50 68.36 WOODWAY FINANCIAL 031 NVS S 50 56.79 WOODWAY FINANCIAL 031 PEP S 125 66.53 WOODWAY FINANCIAL 031 PETM S 95 51.81 CATAPULT 040 PFE B 1,279 21.69 WOODWAY FINANCIAL 031 PG S 75 66.59 CATAPULT 040 PII B 292 55.71 CATAPULT 040 RHI B 660 28.47 PATTEN & PATTEN 025 RSG S 450 27.72 CATAPULT 040 SEE B 600 16.97 WOODWAY FINANCIAL 031 SLB S 50 68.87 RIGHER STANCIAL 031 SLB S 50 68.87 R	WOODWAY FINANCIAL 031 NKE S 75 96.56 n/a WOODWAY FINANCIAL 031 NOV S 50 68.36 n/a WOODWAY FINANCIAL 031 NVS S 50 56.79 n/a WOODWAY FINANCIAL 031 PEP S 125 66.53 n/a WOODWAY FINANCIAL 031 PETM S 95 51.81 n/a WOODWAY FINANCIAL 031 PG S 75 66.59 n/a CATAPULT 040 PII B 292 55.71 n/a CATAPULT 040 RHI B 660 28.47 n/a CATAPULT 040 SEE B 600 16.97 n/a WOODWAY FINANCIAL 031 SLB S 50 68.87 n/a RIGHER ST INV MGMT LLC 028 SPY SS 30,000 126.13 n/a RIGHER ST INV MGMT 030 SSD	WOODWAY FINANCIAL 031 NKE S 75 96.56 n/a 21-Dec WOODWAY FINANCIAL 031 NOV S 50 68.36 n/a n/a WOODWAY FINANCIAL 031 NVS S 50 56.79 n/a n/a WOODWAY FINANCIAL 031 PEP S 125 66.53 n/a n/a CATAPULT 040 PFE B 1,279 21.69 n/a n/a WOODWAY FINANCIAL 031 PG S 75 66.59 n/a 16-Nov CATAPULT 040 PII B 292 55.71 n/a n/a CATAPULT 040 RHI B 660 28.47 n/a n/a CATAPULT 040 SEE B 600 16.97 n/a 2-Jun WOODWAY FINANCIAL 031 SLB S 50 68.87 n/a n/a CATAPULT 040 <t< td=""><td>WOODWAY FINANCIAL 031 NKE S 75 96.56 n/a 21-Dec 4.50 WOODWAY FINANCIAL 031 NOV S 50 68.36 n/a n/a 3.00 WOODWAY FINANCIAL 031 NVS S 50 56.79 n/a n/a 3.00 WOODWAY FINANCIAL 031 PEP S 125 66.53 n/a n/a 7.50 CATAPULT 040 PEF B 1,279 21.69 n/a n/a 51.16 WOODWAY FINANCIAL 031 PG S 75 66.59 n/a n/a 16-Nov 4.50 CATAPULT 040 PII B 292 55.71 n/a n/a 26.40 PATTEN & PATTEN 025 RSG S 450 27.72 n/a n/a 22.50 CATAPULT 040 SEE B 600 16.97 n/a n/a 3.00 WOODWAY FINANCIAL<</td></t<>	WOODWAY FINANCIAL 031 NKE S 75 96.56 n/a 21-Dec 4.50 WOODWAY FINANCIAL 031 NOV S 50 68.36 n/a n/a 3.00 WOODWAY FINANCIAL 031 NVS S 50 56.79 n/a n/a 3.00 WOODWAY FINANCIAL 031 PEP S 125 66.53 n/a n/a 7.50 CATAPULT 040 PEF B 1,279 21.69 n/a n/a 51.16 WOODWAY FINANCIAL 031 PG S 75 66.59 n/a n/a 16-Nov 4.50 CATAPULT 040 PII B 292 55.71 n/a n/a 26.40 PATTEN & PATTEN 025 RSG S 450 27.72 n/a n/a 22.50 CATAPULT 040 SEE B 600 16.97 n/a n/a 3.00 WOODWAY FINANCIAL<

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PATTEN & PATTEN WOODWAY FINANCIAL	025 031	TEVA TEVA	S S	325 100	41.73 41.42	n/a n/a	22-Dec 22-Dec	16.25 6.00	5.0 6.0
RAINIER INV MGMT	035	THOR	В	37,050	33.01	n/a	n/a	1,482.00	4.0
CATAPULT	040	TKR	В	352	38.36	n/a	n/a	14.08	4.0
WOODWAY FINANCIAL	031	TMO	S	110	45.58	n/a	n/a	6.60	6.0
WOODWAY FINANCIAL	031	TOT	S	150	50.41	n/a	n/a	9.00	6.0
CATAPULT	040	TPX	В	561	53.37	n/a	n/a	22.44	4.0
CATAPULT	040	TYC	В	963	46.80	n/a	16-Nov	38.52	4.0
CATAPULT	040	VAC	В	2,934	17.28	n/a	n/a	117.36	4.0
PATTEN & PATTEN	025	VWO	В	225	38.66	n/a	n/a	11.25	5.0
WOODWAY FINANCIAL	031	VZ	S	100	39.63	n/a	n/a	6.00	6.0
WOODWAY FINANCIAL	031	WAG	S	275	35.12	n/a	n/a	16.50	6.0
CATAPULT	040	WBC	В	535	43.22	n/a	5-Dec	21.40	4.0
CATAPULT	040	WCC	В	576	53.73	n/a	n/a	23.04	4.0
SCOPUS FUND	041	WCN	SS	20,000	32.47	n/a	n/a	800.00	4.0
CATAPULT	040	WMT	В	755	59.55	n/a	16-Nov	30.20	4.0

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WOODWAY FINANCIAL	031	TMW	S	25	59.90	n/a	16-Nov	1.50	6.0
SASCO	033	WM	S	115,000	32.75	n/a	n/a	4,600.00	4.0
WOODWAY FINANCIAL	031	MM	S	100	32.64	n/a	n/a	6.00	6.0
WOODWAY FINANCIAL	031	XBI	S	45	65.56	n/a	n/a	2.70	6.0
PATTEN & PATTEN	025	XLF	В	1,100	13.16	n/a	n/a	55.00	5.0
WOODWAY FINANCIAL	031	XLK	S	300	25.38	n/a	n/a	18.00	6.0
WOODWAY FINANCIAL	031	XLU	S	175	35.82	n/a	n/a	10.50	6.0
WOODWAY FINANCIAL	031	XOM	S	50	84.89	n/a	n/a	3.00	6.0
CATAPULT	040	XPO	В	1,450	12.34	n/a	n/a	58.00	4.0

TOTAL (Trade Date): 27,543.28

Cancel/Corrects and As-Of Trades

	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
AO,CXL	12/22	MTB INV ADV (MTBIMAIN O)	034	CVGI	S	575	9.30	n/a	n/a	28.75	5.0
AO, CRT	12/22	MTB INV ADV (MTBIMAIN O)	034	CVGI	S	575	9.30	n/a	n/a	17.25	3.0
AO,CXL	12/22	MTB INV ADV (MTBISMCAP)	034	CVGI	S	20,000	9.30	n/a	n/a	1000.00	5.0
AO, CRT	12/22	MTB INV ADV (MTBISMCAP)	034	CVGI	S	20,000	9.30	n/a	n/a	600.00	3.0
AO,CXL	12/21	FARALLON CAP MGMT (FARACS)	040	ORCL	В	250,000	25.39	n/a	n/a	10000.00	4.0
AO, CRT	12/21	FARALLON CAP MGMT (FARACS)	040	ORCL	В	250,000	25.39	n/a	n/a	7500.00	3.0
AO, CXL	12/22	EGS ASSOCIATES LP (EGASBANC O)	091	PVH	В	7,000	68.83	n/a	2-Dec	350.00	5.0
AO, CRT	12/22	EGS ASSOCIATES LP (EGASBANC O)	091	PVH	В	7,000	68.83	n/a	2-Dec	420.00	6.0
AO,CXL	12/19	RIDGECREST INV MGMT LLC (RIDCMSPB)	028	QQQ	SS	10,000	54.39	n/a	n/a	500.00	5.0
AO, CRT	12/19	RIDGECREST INV MGMT LLC (RIDCMSPB)	028	QQQ	SS	10,000	54.39	n/a	n/a	300.00	3.0

TOTAL (RUN DATE) / NFS:	24,501.78
TOTAL (AO, CXL, CRT):	-3,041.50
TOTAL (Trade Date):	27,543.28

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