



Daily Compliance Activity Report

Trade Date: 04/13/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|------|--------|-----|--------|--------|--------|----------|-------------|-----|
| Ö Glenn Redemann | | AAPL | B | 7 | 0.4900 | n/a | n/a | 0.00 | 0.0 |
| Ö Glenn Redemann | | AAPL | B | 7 | 0.6200 | n/a | n/a | 0.00 | 0.0 |
| Ö Glenn Redemann | | AAPL | S | 7 | 1.2800 | n/a | n/a | 0.00 | 0.0 |
| Ö Glenn Redemann | | AAPL | S | 7 | 1.3300 | n/a | n/a | 0.00 | 0.0 |
| BONANZA PARTNERS | 031 | ABD | SS | 40,900 | 24.77 | n/a | n/a | 2,045.00 | 5.0 |
| UBS OCONNOR | 031 | ABG | SS | 4,700 | 27.11 | n/a | 13-Apr | 141.00 | 3.0 |
| MORGAN STANLEY PRINC 2 | 040 | AMGN | B | 50,000 | 59.24 | n/a | 26-Jan | 2,000.00 | 4.0 |
| SNYDER CAPITAL | 038 | AM | S | 18,600 | 23.75 | n/a | n/a | 744.00 | 4.0 |
| COLUMBIA MGMT | 035 | ANST | B | 500 | 32.46 | n/a | n/a | 20.00 | 4.0 |
| LUCID PARTNERS | 067 | AOS | B | 300 | 38.00 | 21-Dec | 8-Feb | 15.00 | 5.0 |
| COLUMBIA MGMT | 035 | ARB | B | 1,100 | 48.41 | n/a | n/a | 44.00 | 4.0 |
| COLUMBIA MGMT | 035 | ARRS | B | 1,700 | 14.85 | n/a | n/a | 68.00 | 4.0 |
| CATAPULT | 040 | AVZ | B | 5,000 | 23.19 | 5-Mar | 11-Apr | 250.00 | 5.0 |
| CATAPULT | 040 | AXP | S | 10,000 | 57.41 | n/a | n/a | 500.00 | 5.0 |
| COLUMBIA MGMT | 035 | BARE | B | 1,500 | 38.98 | n/a | n/a | 60.00 | 4.0 |
| COLUMBIA MGMT | 035 | BBBB | B | 1,200 | 33.48 | n/a | n/a | 48.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|----------|---------------|--------------|---------------|---------------|---------------|------------|
| MILLENIUM PARTNERS | 028 | BBI | SS | 10,000 | 6.51 | n/a | n/a | 500.00 | 5.0 |
| MISSOURI VALLEY PART | 046 | BBW | S | 10,000 | 26.76 | 19-Mar | 19-Mar | 500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | BBY | B | 10,000 | 46.70 | 13-Dec | 5-Apr | 400.00 | 4.0 |
| COLUMBIA MGMT | 035 | BCSI | B | 600 | 35.57 | n/a | n/a | 24.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | BID | S | 15,000 | 48.26 | n/a | n/a | 600.00 | 4.0 |
| ASCEND PARTNERS | 033 | BIG | SS | 43,000 | 32.27 | 9-Mar | 12-Apr | 2,150.00 | 5.0 |
| COLUMBIA MGMT | 035 | BMRN | B | 2,200 | 17.64 | n/a | n/a | 88.00 | 4.0 |
| CENTURION PARTNERS | 233 | BONT | B | 3,000 | 51.52 | 9-Mar | 13-Apr | 150.00 | 5.0 |
| PENN CAPITAL MGMT | 033 | BRL | B | 32,195 | 47.97 | 1-Mar | 12-Apr | 1,287.80 | 4.0 |
| BEAR STEARNS ASSET MGMT. | 033 | CAT | SS | 20,000 | 66.40 | n/a | n/a | 800.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | CBK | S | 15,000 | 18.02 | 30-Mar | 13-Apr | 600.00 | 4.0 |
| BARR | 096 | CCOI | S | 400 | 25.99 | n/a | n/a | 0.00 | 0.0 |
| DC CAPITAL | 044 | CFC | S | 39,600 | 33.65 | n/a | n/a | 1,980.00 | 5.0 |
| NCM CAPITAL MGMT | 035 | CHH | B | 13,150 | 35.60 | n/a | n/a | 657.50 | 5.0 |
| BUCK CAPITAL MGMT | 001 | CHS | S | 5,000 | 27.15 | 27-Mar | 13-Apr | 200.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|------|--------|-----|---------|--------|--------|----------|--------------|-----|
| COLUMBIA MGMT | 035 | CHTT | B | 500 | 59.52 | 11-Apr | 11-Apr | 20.00 | 4.0 |
| CATAPULT | 040 | CMA | B | 2,500 | 59.41 | n/a | n/a | 125.00 | 5.0 |
| Õ Glenn Redemann | | CMC | B | 4 | 0.4500 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | CMC | B | 4 | 0.6000 | n/a | n/a | 0.00 | 0.0 |
| COLUMBIA MGMT | 035 | CMG | B | 800 | 64.45 | 16-Feb | 16-Feb | 32.00 | 4.0 |
| A.I.M. ADVISORS INC | 222 | COH | B | 19,864 | 51.82 | 23-Feb | 23-Feb | 794.56 | 4.0 |
| BUCK CAPITAL MGMT | 001 | COH | S | 140,000 | 52.02 | 23-Feb | 23-Feb | 5,600.00 | 4.0 |
| PAKLER | N22 | CPNLQ | B | 243 | 3.01 | n/a | 8-Mar | 0.00 | 0.0 |
| COLUMBIA MGMT | 035 | CPTS | B | 800 | 20.50 | n/a | n/a | 32.00 | 4.0 |
| COLUMBIA MGMT | 035 | CRZO | B | 1,700 | 36.99 | n/a | n/a | 68.00 | 4.0 |
| PATTEN & PATTEN | 067 | CVX | B | 100 | 76.99 | n/a | n/a | 5.00 | 5.0 |
| COLUMBIA MGMT | 035 | CYNO | B | 300 | 28.81 | n/a | n/a | 12.00 | 4.0 |
| CATAPULT | 040 | C | B | 5,000 | 51.60 | 11-Jan | 12-Apr | 250.00 | 5.0 |
| AMATURO | 018 | DAWUW | B | 10 | 3.83 | n/a | n/a | 0.00 | 0.0 |
| WASHINGTON ASSET | 048 | DBRN | B | 15,000 | 21.85 | n/a | n/a | 750.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | DDS | B | 10,000 | 34.50 | n/a | n/a | 400.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|---------------|---------------|---------------|------------|
| COLUMBIA MGMT | 035 | DECK | B | 900 | 71.35 | n/a | n/a | 36.00 | 4.0 |
| MORGAN LEWIS/MLH | 046 | DELL | B | 30,000 | 25.07 | n/a | n/a | 1,500.00 | 5.0 |
| GALLEON MGMT LP | 033 | DIA | C | 10,000 | 126.02 | n/a | n/a | 500.00 | 5.0 |
| COLUMBIA MGMT | 035 | DIVX | B | 1,000 | 22.25 | n/a | n/a | 40.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | DKS | B | 5,000 | 57.65 | n/a | n/a | 200.00 | 4.0 |
| NEUBERGER BERMAN | 036 | DW | B | 5,300 | 28.24 | n/a | n/a | 265.00 | 5.0 |
| MAZAMA CAPITAL MGMT. | 035 | EME | B | 15,000 | 62.68 | n/a | n/a | 600.00 | 4.0 |
| COLUMBIA MGMT | 035 | EQIX | B | 100 | 88.70 | n/a | n/a | 4.00 | 4.0 |
| COLUMBIA MGMT | 035 | FACE | B | 1,700 | 18.47 | n/a | n/a | 68.00 | 4.0 |
| BEAR STEARNS ASSET MGMT. | 033 | FD | SS | 20,000 | 45.09 | 26-Jan | 13-Apr | 800.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | FD | B | 20,000 | 45.10 | 26-Jan | 13-Apr | 800.00 | 4.0 |
| COLUMBIA MGMT | 035 | FSLR | B | 700 | 63.30 | n/a | n/a | 28.00 | 4.0 |
| COLUMBIA MGMT | 035 | FWLT | B | 1,200 | 65.53 | n/a | n/a | 48.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | GCO | B | 10,000 | 41.14 | n/a | 10-Jan | 400.00 | 4.0 |
| COLUMBIA MGMT | 035 | GEO | B | 800 | 49.90 | n/a | n/a | 32.00 | 4.0 |
| BULL PATH CAPITAL | 044 | GHL | B | 17,500 | 60.33 | n/a | n/a | 875.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|----------|--------------|--------------|------------|------------|-------------|------------|
| MAZAMA CAPITAL MGMT. | 035 | GHL | B | 25,000 | 60.24 | n/a | n/a | 1,000.00 | 4.0 |
| BARR | 096 | GLD | B | 125 | 67.50 | n/a | n/a | 0.00 | 0.0 |
| COUGAR TRADING | 044 | GPI | B | 5,000 | 41.50 | n/a | 13-Apr | 250.00 | 5.0 |
| MORTAR ROCK | 033 | GPI | B | 10,000 | 41.69 | n/a | 13-Apr | 500.00 | 5.0 |
| UBS OCONNOR | 031 | GPI | B | 15,000 | 41.62 | n/a | 13-Apr | 450.00 | 3.0 |
| BEAR STEARNS ASSET MGMT. | 033 | GR | S | 20,000 | 51.65 | 17-Jan | 1-Feb | 800.00 | 4.0 |
| AMBER CAPITAL | 046 | GVA | B | 18,400 | 56.97 | n/a | n/a | 736.00 | 4.0 |
| AAD CAPITAL | 048 | GWW | B | 40,300 | 79.22 | 26-Jan | 12-Mar | 1,612.00 | 4.0 |
| AVESTA CAP | 229 | GWW | B | 25,000 | 79.50 | 26-Jan | 12-Mar | 1,250.00 | 5.0 |
| IRIDIAN ASSET MGMT. | 036 | HAL | B | 20,700 | 32.67 | n/a | n/a | 1,035.00 | 5.0 |
| OGORMAN | 146 | HCGI | S | 3,000 | 0.90 | n/a | n/a | 0.00 | 0.0 |
| COLUMBIA MGMT | 035 | HLEX | B | 400 | 30.24 | n/a | n/a | 16.00 | 4.0 |
| COLUMBIA MGMT | 035 | HOLX | B | 700 | 59.63 | n/a | n/a | 28.00 | 4.0 |
| CAXTON PART | 040 | HUM | C | 39,500 | 62.39 | n/a | n/a | 1,580.00 | 4.0 |
| COLUMBIA MGMT | 035 | HURN | B | 500 | 64.68 | n/a | n/a | 20.00 | 4.0 |
| COLUMBIA MGMT | 035 | ICON | B | 7,900 | 20.51 | n/a | n/a | 316.00 | 4.0 |
| NEUBERGER BERMAN | 036 | IDC | B | 8,100 | 25.10 | n/a | n/a | 405.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|-------------|----------|---------------|--------------|---------------|---------------|-----------------|------------|
| COLUMBIA MGMT | 035 | IFS | B | 1,300 | 31.65 | n/a | n/a | 52.00 | 4.0 |
| COLUMBIA MGMT | 035 | IHS | B | 800 | 40.78 | n/a | n/a | 32.00 | 4.0 |
| COLUMBIA MGMT | 035 | INAP | B | 1,000 | 17.01 | n/a | n/a | 40.00 | 4.0 |
| HARVEST MGMT | 039 | IP | SS | 40,000 | 36.93 | 20-Mar | 20-Mar | 2,000.00 | 5.0 |
| BUCK | 015 | ISPH | B | 2,200 | 6.89 | n/a | n/a | 0.00 | 0.0 |
| COLUMBIA MGMT | 035 | ISSC | B | 500 | 25.98 | n/a | n/a | 20.00 | 4.0 |
| COLUMBIA MGMT | 035 | ITC | B | 1,000 | 42.39 | n/a | n/a | 40.00 | 4.0 |
| PALMYRA CAPITAL | 048 | IWM | S | 150,000 | 81.14 | n/a | n/a | 4,500.00 | 3.0 |
| CATAPULT | 040 | JNS | B | 15,000 | 24.23 | 5-Apr | 10-Apr | 750.00 | 5.0 |
| COLUMBIA MGMT | 035 | JSDA | B | 100 | 26.60 | n/a | n/a | 4.00 | 4.0 |
| MS PRINCIPAL STRATEGIES | 040 | KEY | SS | 18,242 | 37.50 | n/a | n/a | 912.10 | 5.0 |
| MORRISON & FRASIER | 040 | KGC | B | 128,300 | 14.49 | n/a | n/a | 6,415.00 | 5.0 |
| NCM CAPITAL MGMT | 035 | KG | S | 65,250 | 20.36 | n/a | n/a | 3,262.50 | 5.0 |
| BUCK CAPITAL MGMT | 001 | KSS | S | 50,000 | 77.07 | 27-Dec | 12-Apr | 2,000.00 | 4.0 |
| LEVIN CAPITAL STRATEGIES | 012 | KSS | SS | 2,500 | 77.66 | 27-Dec | 12-Apr | 100.00 | 4.0 |
| COLUMBIA MGMT | 035 | KYPH | B | 200 | 47.87 | n/a | n/a | 8.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|------|------------|----------|------------|----------------|------------|------------|-------------|------------|
| T. ROWE PRICE | 243 | LM | B | 76,800 | 95.22 | 10-Apr | 10-Apr | 3,072.00 | 4.0 |
| CAMBIAR CAP | 046 | LTD | B | 38,140 | 25.81 | 2-Mar | 13-Apr | 1,525.60 | 4.0 |
| GEORGE WEISS | 034 | LVS | C | 25,000 | 87.16 | n/a | n/a | 1,000.00 | 4.0 |
| COLUMBIA MGMT | 035 | MBLX | B | 900 | 17.11 | n/a | n/a | 36.00 | 4.0 |
| COLUMBUS CIRCLE | 036 | MCD | B | 534,802 | 47.56 | 11-Apr | 13-Apr | 21,392.08 | 4.0 |
| COLUMBIA MGMT | 035 | MDRX | B | 2,100 | 26.99 | n/a | n/a | 84.00 | 4.0 |
| Ö Glenn Redemann | | MFV | S | 930 | 10.7100 | n/a | n/a | 0.00 | 0.0 |
| COLUMBIA MGMT | 035 | MSCC | B | 500 | 22.74 | n/a | n/a | 20.00 | 4.0 |
| CAXTON PART | 040 | MSFT | B | 232,557 | 28.46 | n/a | 3-Apr | 9,302.28 | 4.0 |
| COLONIAL FUND LLC | 036 | MWV | S | 25,000 | 32.56 | 20-Mar | 20-Mar | 1,250.00 | 5.0 |
| HARVEST MGMT | 039 | MWV | B | 75,000 | 32.71 | 20-Mar | 20-Mar | 3,750.00 | 5.0 |
| COLUMBIA MGMT | 035 | NCMI | B | 600 | 26.37 | n/a | n/a | 24.00 | 4.0 |
| COLUMBIA MGMT | 035 | NETL | B | 200 | 28.74 | n/a | n/a | 8.00 | 4.0 |
| COLUMBIA MGMT | 035 | NICE | B | 1,300 | 35.37 | n/a | n/a | 52.00 | 4.0 |
| COLUMBIA MGMT | 035 | NUAN | B | 4,900 | 16.40 | n/a | n/a | 196.00 | 4.0 |
| COLUMBIA MGMT | 035 | NUVA | B | 1,700 | 24.66 | n/a | n/a | 68.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|-------------|-----------|---------------|----------------|------------|---------------|---------------|------------|
| GALLEON MGMT LP | 033 | NVLS | SS | 10,000 | 33.11 | n/a | n/a | 500.00 | 5.0 |
| PORTER-ORLIN-FELDMAN | 044 | NVLS | B | 50,000 | 33.03 | n/a | n/a | 2,500.00 | 5.0 |
| COLUMBIA MGMT | 035 | OMRI | B | 300 | 37.45 | n/a | n/a | 12.00 | 4.0 |
| COLUMBIA MGMT | 035 | OMTR | B | 2,800 | 18.39 | n/a | n/a | 112.00 | 4.0 |
| COLUMBIA MGMT | 035 | PCLN | B | 400 | 55.06 | n/a | n/a | 16.00 | 4.0 |
| GALLEON MGMT LP | 033 | PFE | SS | 50,000 | 26.94 | n/a | 31-Mar | 2,500.00 | 5.0 |
| MAZAMA CAPITAL MGMT. | 035 | PJC | B | 25,000 | 65.38 | n/a | n/a | 1,000.00 | 4.0 |
| COLUMBIA MGMT | 035 | PMTI | B | 400 | 39.60 | n/a | n/a | 16.00 | 4.0 |
| Õ Henry Ngan | | PSUN | S | 600 | 23.0200 | n/a | 13-Apr | 0.00 | 0.0 |
| NCM CAPITAL MGMT | 035 | PTEN | B | 28,275 | 24.24 | n/a | n/a | 1,413.75 | 5.0 |
| COLUMBIA MGMT | 035 | RADS | B | 1,100 | 13.26 | n/a | n/a | 44.00 | 4.0 |
| STADIA CAPITAL | 035 | RL | B | 22,000 | 93.61 | 2-Feb | 13-Apr | 880.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | RSH | SS | 10,000 | 27.78 | n/a | n/a | 400.00 | 4.0 |
| COLUMBIA MGMT | 035 | SBAC | B | 1,600 | 30.53 | n/a | n/a | 64.00 | 4.0 |
| LEDDY | 035 | SDS | B | 600 | 56.29 | n/a | n/a | 0.00 | 0.0 |
| KORMAN | 003 | SEED | B | 3,000 | 8.96 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|---------------|------------|
| COLUMBIA MGMT | 035 | SIMO | B | 600 | 22.29 | n/a | n/a | 24.00 | 4.0 |
| NOLAN | 067 | SKNN | S | 100 | 1.16 | n/a | n/a | 0.00 | 0.0 |
| COLUMBIA MGMT | 035 | SKX | B | 800 | 35.41 | n/a | 13-Mar | 32.00 | 4.0 |
| WOOSTER CAPITAL | 035 | SLM | B | 100,000 | 45.63 | n/a | n/a | 5,000.00 | 5.0 |
| COLUMBIA MGMT | 035 | SONS | B | 1,000 | 8.24 | n/a | 22-Mar | 40.00 | 4.0 |
| GALLEON MGMT LP | 033 | SPY | C | 5,000 | 145.14 | n/a | n/a | 250.00 | 5.0 |
| PORTER-ORLIN-FELDMAN | 044 | SPY | B | 150,000 | 144.78 | n/a | n/a | 7,500.00 | 5.0 |
| COLUMBIA MGMT | 035 | SVVS | B | 1,000 | 47.45 | n/a | n/a | 40.00 | 4.0 |
| COLUMBIA MGMT | 035 | SWIM | B | 1,600 | 15.05 | n/a | n/a | 64.00 | 4.0 |
| COLUMBIA MGMT | 035 | SYNT | B | 300 | 35.80 | n/a | n/a | 12.00 | 4.0 |
| COLUMBIA MGMT | 035 | TDG | B | 800 | 38.59 | n/a | n/a | 32.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | TGT | B | 20,000 | 59.09 | n/a | 12-Apr | 800.00 | 4.0 |
| COLUMBIA MGMT | 035 | THQI | B | 800 | 36.43 | n/a | n/a | 32.00 | 4.0 |
| CSFB GLOBAL PROPRIETARY | 035 | TIN | B | 20,000 | 59.73 | 26-Feb | 20-Mar | 1,000.00 | 5.0 |
| COLUMBIA MGMT | 035 | TRAK | B | 1,900 | 32.10 | n/a | n/a | 76.00 | 4.0 |
| MILLENIUM PARTNERS | 028 | TWTC | B | 15,000 | 21.54 | 8-Feb | 4-Apr | 750.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------------|------------|--------------|----------|----------|-------------|------------|-------------------|--------------|------------|
| GASNER | 025 | UADPJ | B | 5 | 1.20 | n/a | n/a | 0.00 | 0.0 |
| CSFB GLOBAL PROPRIETARY | 035 | UFS | S | 50,000 | 9.80 | n/a | n/a | 2,500.00 | 5.0 |
| COLUMBIA MGMT | 035 | VDSI | B | 1,100 | 17.89 | n/a | n/a | 44.00 | 4.0 |
| COLUMBIA MGMT | 035 | VOCS | B | 300 | 23.97 | n/a | n/a | 12.00 | 4.0 |
| COLUMBIA MGMT | 035 | VPRT | B | 500 | 38.39 | n/a | n/a | 20.00 | 4.0 |
| GALLEON MGMT LP | 033 | WINN | SS | 15,000 | 19.36 | n/a | n/a | 750.00 | 5.0 |
| CATAPULT | 040 | WM | B | 40,000 | 39.45 | n/a | n/a | 2,000.00 | 5.0 |
| BEAR STEARNS ASSET MGMT. | 033 | WSM | SS | 40,000 | 35.75 | n/a | n/a | 1,600.00 | 4.0 |
| COLUMBIA MGMT | 035 | WW | B | 900 | 48.37 | n/a | n/a | 36.00 | 4.0 |
| GEORGE WEISS | 034 | WYNN | SS | 20,000 | 99.66 | n/a | n/a | 600.00 | 3.0 |
| COLUMBIA MGMT | 035 | ZUMZ | B | 1,000 | 41.09 | n/a | n/a | 40.00 | 4.0 |
| TOTAL (Trade Date) : | | | | | | | 134,782.17 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|-------|-------------------------------|------|--------|-----|--------|-------|-------|----------|-----------------|-----|
| AO,CXL | 04/12 | BONANZA PARTNERS (BONZBAC PB) | 031 | ABD | SS | 88,500 | 24.86 | n/a | n/a | 1.24 | 0.0 |
| AO,CRT | 04/12 | BONANZA PARTNERS (BONZBAC PB) | 031 | ABD | SS | 88,500 | 24.86 | n/a | n/a | 4425.00 | 5.0 |
| AO,CXL | 04/12 | CATAPULT (CATAMSPB) | 040 | AVZ | B | 5,000 | 23.00 | 5-Mar | 11-Apr | 200.00 | 4.0 |
| AO,CRT | 04/12 | CATAPULT (CATAMSPB) | 040 | AVZ | B | 5,000 | 23.00 | 5-Mar | 11-Apr | 250.00 | 5.0 |
| AO,CXL | 04/12 | CATAPULT (CATAMSPB) | 040 | AXP | S | 5,000 | 56.40 | n/a | n/a | 200.00 | 4.0 |
| AO,CRT | 04/12 | CATAPULT (CATAMSPB) | 040 | AXP | S | 5,000 | 56.40 | n/a | n/a | 250.00 | 5.0 |
| AO,CXL | 04/12 | EMP ERROR (EMP ERROR) | 099 | HCR | S | 200 | 64.05 | n/a | 11-Apr | 0.00 | 0.0 |
| AO,CRT | 04/12 | LUCHANSKY1 (LUCHANSKY1) | 036 | HCR | S | 200 | 64.05 | n/a | 11-Apr | 0.00 | 0.0 |
| AO,CXL | 04/12 | CATAPULT (CATAMSPB) | 040 | ITG | S | 8,100 | 37.52 | n/a | n/a | 324.00 | 4.0 |
| AO,CRT | 04/12 | CATAPULT (CATAMSPB) | 040 | ITG | S | 8,100 | 37.52 | n/a | n/a | 405.00 | 5.0 |
| AO,CXL | 04/12 | CATAPULT (CATAMSPB) | 040 | UB | SS | 25,000 | 61.95 | n/a | n/a | 1000.00 | 4.0 |
| AO,CRT | 04/12 | CATAPULT (CATAMSPB) | 040 | UB | SS | 25,000 | 61.95 | n/a | n/a | 1250.00 | 5.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 4,854.76 | |

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|------------------------|------------|
| TOTAL (Trade Date) : | 134,782.17 |
| TOTAL (AO, CXL, CRT) : | 4,854.76 |

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|--------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS: | 139,636.93 |
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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