



# Daily Compliance Activity Report

Trade Date: 08/08/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

| Account                  | RR #       | Symbol     | B/S      | Shares        | Price         | MRI           | Research     | Comm. ¢/Shr.    |            |
|--------------------------|------------|------------|----------|---------------|---------------|---------------|--------------|-----------------|------------|
| BRIGHTPOINT CAP          | 067        | AAP        | B        | 15,000        | 33.33         | n/a           | n/a          | 750.00          | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>AEO</b> | <b>S</b> | <b>40,000</b> | <b>23.84</b>  | <b>10-Jul</b> | <b>6-Aug</b> | <b>1,600.00</b> | <b>4.0</b> |
| COUGAR TRADING           | 044        | AEO        | S        | 10,000        | 24.13         | 10-Jul        | 6-Aug        | 500.00          | 5.0        |
| <b>KORMAN</b>            | <b>003</b> | <b>AEO</b> | <b>S</b> | <b>2,000</b>  | <b>24.25</b>  | <b>10-Jul</b> | <b>6-Aug</b> | <b>0.00</b>     | <b>0.0</b> |
| AMBER CAPITAL            | 046        | AIN        | S        | 529,200       | 40.55         | n/a           | n/a          | 21,168.00       | 4.0        |
| REICH AND TANG           | 067        | AIN        | S        | 25,000        | 40.66         | n/a           | n/a          | 1,250.00        | 5.0        |
| BALYASNY ASSET MGMT      | 044        | AMG        | B        | 15,000        | 121.94        | 25-Jul        | 8-Aug        | 750.00          | 5.0        |
| BALYASNY ASSET MGMT      | 044        | AMG        | SS       | 30,000        | 116.90        | 25-Jul        | 8-Aug        | 1,500.00        | 5.0        |
| BALYASNY ASSET MGMT      | 044        | ANF        | S        | 15,000        | 74.48         | 12-Jul        | 6-Aug        | 750.00          | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>ANF</b> | <b>S</b> | <b>10,000</b> | <b>73.96</b>  | <b>12-Jul</b> | <b>6-Aug</b> | <b>400.00</b>   | <b>4.0</b> |
| WHALE ROCK CAP           | 030        | ANF        | B        | 50,000        | 73.67         | 12-Jul        | 6-Aug        | 2,000.00        | 4.0        |
| BALYASNY ASSET MGMT      | 044        | ARO        | B        | 10,000        | 36.82         | n/a           | 6-Aug        | 500.00          | 5.0        |
| COUGAR TRADING           | 044        | ARO        | SS       | 10,000        | 35.42         | n/a           | 6-Aug        | 500.00          | 5.0        |
| THE JAY GOLDMAN          | 034        | ARO        | B        | 69,500        | 35.65         | n/a           | 6-Aug        | 2,780.00        | 4.0        |
| REICH AND TANG           | 067        | ASH        | B        | 15,000        | 56.46         | 9-Jul         | 26-Jul       | 750.00          | 5.0        |
| Ö <b>Glenn Redemann</b>  |            | <b>ATK</b> | <b>B</b> | <b>2</b>      | <b>1.3400</b> | <b>n/a</b>    | <b>n/a</b>   | <b>0.00</b>     | <b>0.0</b> |
| Ö <b>Glenn Redemann</b>  |            | <b>ATK</b> | <b>B</b> | <b>2</b>      | <b>1.5300</b> | <b>n/a</b>    | <b>n/a</b>   | <b>0.00</b>     | <b>0.0</b> |
| NEUBERGER BERMAN         | 036        | ATVI       | B        | 30,400        | 19.14         | n/a           | n/a          | 1,216.00        | 4.0        |
| <b>STRK</b>              | <b>091</b> | <b>AXL</b> | <b>S</b> | <b>79,320</b> | <b>23.98</b>  | <b>n/a</b>    | <b>n/a</b>   | <b>3,172.80</b> | <b>4.0</b> |

| Account                  | RR #       | Symbol      | B/S      | Shares        | Price        | MRI           | Research      | Comm.¢/Shr.     |            |
|--------------------------|------------|-------------|----------|---------------|--------------|---------------|---------------|-----------------|------------|
| CAPITAL GROWTH MGMT.     | 241        | BAC         | B        | 129,000       | 49.67        | 20-Apr        | 20-Jul        | 6,450.00        | 5.0        |
| <b>BUCK</b>              | <b>015</b> | <b>BAC</b>  | <b>B</b> | <b>500</b>    | <b>49.32</b> | <b>20-Apr</b> | <b>20-Jul</b> | <b>0.00</b>     | <b>0.0</b> |
| HUNTER GLOBAL INVESTOR   | 067        | BA          | B        | 34,800        | 101.02       | n/a           | n/a           | 1,740.00        | 5.0        |
| PATTEN & PATTEN          | 067        | BBY         | S        | 50            | 45.41        | 1-May         | 27-Jul        | 2.50            | 5.0        |
| PIVOT CAP                | 034        | BBY         | S        | 4,500         | 45.10        | 1-May         | 27-Jul        | 225.00          | 5.0        |
| SAC TRADING HOWARD       | 038        | BBY         | SS       | 25,000        | 45.30        | 1-May         | 27-Jul        | 1,250.00        | 5.0        |
| BALYASNY ASSET MGMT      | 044        | BEN         | S        | 15,000        | 129.23       | 8-Aug         | 8-Aug         | 750.00          | 5.0        |
| Õ Glenn Redemann         |            | BGC         | B        | 300           | 75.0000      | n/a           | n/a           | 0.00            | 0.0        |
| Õ Glenn Redemann         |            | BGC         | S        | 300           | 60.4100      | n/a           | n/a           | 0.00            | 0.0        |
| Õ Glenn Redemann         |            | BGC         | S        | 3             | 9.7000       | n/a           | n/a           | 0.00            | 0.0        |
| <b>LEDDY</b>             | <b>035</b> | <b>BONT</b> | <b>B</b> | <b>1,200</b>  | <b>22.88</b> | <b>3-Aug</b>  | <b>6-Aug</b>  | <b>0.00</b>     | <b>0.0</b> |
| PATTEN & PATTEN          | 067        | BP          | S        | 35            | 67.96        | n/a           | n/a           | 1.75            | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>BWS</b>  | <b>B</b> | <b>30,000</b> | <b>20.79</b> | <b>n/a</b>    | <b>n/a</b>    | <b>1,200.00</b> | <b>4.0</b> |
| <b>WYCKOFF</b>           | <b>013</b> | <b>BWS</b>  | <b>B</b> | <b>200</b>    | <b>20.70</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| BALYASNY ASSET MGMT      | 044        | BX          | B        | 50,000        | 25.83        | n/a           | n/a           | 2,500.00        | 5.0        |
| MTB INV ADV              | 034        | CACH        | S        | 14,260        | 17.51        | n/a           | n/a           | 713.00          | 5.0        |
| DSG CAPITAL              | 225        | CCMP        | B        | 3,000         | 43.83        | 18-Jul        | 26-Jul        | 150.00          | 5.0        |
| Õ Glenn Redemann         |            | CELG        | B        | 2             | 0.6300       | n/a           | n/a           | 0.00            | 0.0        |

|   | Account             | RR # | Symbol | B/S | Shares  | Price  | MRI    | Research | Comm.¢/Shr. |     |
|---|---------------------|------|--------|-----|---------|--------|--------|----------|-------------|-----|
| Ö | Glenn Redemann      |      | CELG   | B   | 2       | 1.2700 | n/a    | n/a      | 0.00        | 0.0 |
|   | LEDDY               | 035  | CHCG   | B   | 1,000   | 6.52   | n/a    | n/a      | 0.00        | 0.0 |
|   | ZOLIDIS             | 011  | CHS    | SS  | 1,000   | 20.09  | 12-Jul | 6-Aug    | 0.00        | 0.0 |
|   | REICH AND TANG      | 067  | CMC    | B   | 25,000  | 29.33  | n/a    | n/a      | 1,250.00    | 5.0 |
|   | NICHOLAS ADVISORS   | 034  | CMGB   | S   | 7,000   | 98.15  | n/a    | n/a      | 350.00      | 5.0 |
|   | CROWLEY             | 061  | CMU    | B   | 2,100   | 5.72   | n/a    | n/a      | 0.00        | 0.0 |
|   | APEX CAPITAL MGMT.  | 091  | CNW    | B   | 50,000  | 46.19  | n/a    | n/a      | 2,500.00    | 5.0 |
|   | BUCK CAPITAL MGMT   | 001  | COH    | B   | 20,000  | 46.25  | n/a    | 1-Aug    | 800.00      | 4.0 |
|   | KAICHER             | 064  | COLY   | S   | 1,000   | 3.26   | n/a    | n/a      | 0.00        | 0.0 |
|   | PAKLER              | N22  | CROX   | B   | 108     | 58.77  | n/a    | n/a      | 0.00        | 0.0 |
|   | PAKLER              | N22  | CROX   | S   | 88      | 56.75  | n/a    | n/a      | 0.00        | 0.0 |
|   | GALLEON MGMT LP     | 033  | CSCO   | S   | 20,000  | 31.48  | n/a    | 22-Mar   | 1,000.00    | 5.0 |
|   | BALYASNY ASSET MGMT | 044  | CSE    | B   | 30,000  | 20.40  | n/a    | n/a      | 1,500.00    | 5.0 |
|   | ZOLIDIS             | 011  | CWTR   | SS  | 500     | 21.80  | n/a    | n/a      | 0.00        | 0.0 |
|   | J L F ASSET MGMT    | 039  | DELL   | B   | 200,000 | 27.84  | n/a    | n/a      | 8,000.00    | 4.0 |
|   | BALYASNY ASSET MGMT | 044  | DFS    | S   | 40,000  | 24.22  | n/a    | n/a      | 2,000.00    | 5.0 |

| Account                  | RR # | Symbol | B/S | Shares  | Price  | MRI    | Research | Comm.¢/Shr. |     |
|--------------------------|------|--------|-----|---------|--------|--------|----------|-------------|-----|
| MTB INV ADV              | 034  | DLTR   | S   | 13,570  | 41.66  | 30-May | 7-Aug    | 678.50      | 5.0 |
| HUNTER GLOBAL INVESTOR   | 067  | EAT    | B   | 250,000 | 26.95  | 24-Apr | 24-Apr   | 12,500.00   | 5.0 |
| LISTED ERR               | 097  | EAT    | B   | 50,000  | 26.51  | 24-Apr | 24-Apr   | 0.00        | 0.0 |
| LISTED ERR               | 099  | EAT    | S   | 50,000  | 26.51  | 24-Apr | 24-Apr   | 0.00        | 0.0 |
| BALYASNY ASSET MGMT      | 044  | EDA    | B   | 10,000  | 10.65  | n/a    | n/a      | 500.00      | 5.0 |
| PORTER-ORLIN-FELDMAN     | 044  | EEM    | B   | 49,000  | 135.97 | n/a    | n/a      | 2,450.00    | 5.0 |
| BALYASNY ASSET MGMT      | 044  | ESPD   | B   | 75,000  | 7.38   | n/a    | n/a      | 3,750.00    | 5.0 |
| LUCHANSKY2               | 036  | EVST   | C   | 300     | 31.95  | n/a    | n/a      | 0.00        | 0.0 |
| BALYASNY ASSET MGMT      | 044  | EV     | SS  | 10,000  | 45.84  | 23-May | 8-Aug    | 500.00      | 5.0 |
| THIRD POINT MGMT         | 044  | EV     | C   | 175,000 | 46.35  | 23-May | 8-Aug    | 7,000.00    | 4.0 |
| BALYASNY ASSET MGMT      | 044  | FBCM   | B   | 30,000  | 13.14  | n/a    | n/a      | 1,500.00    | 5.0 |
| TRIBECA/DOUG             | 040  | FITB   | SS  | 20,000  | 40.31  | n/a    | n/a      | 800.00      | 4.0 |
| BUCK CAPITAL MGMT        | 001  | FL     | B   | 8,900   | 16.38  | 24-May | 2-Aug    | 356.00      | 4.0 |
| CAPITAL GROWTH MGMT.     | 241  | FNM    | B   | 50,000  | 65.45  | n/a    | n/a      | 2,500.00    | 5.0 |
| LEVIN CAPITAL STRATEGIES | 012  | F      | S   | 21,754  | 8.58   | n/a    | 2-Aug    | 652.62      | 3.0 |
| BAIRD INVESTMENT         | 031  | GLF    | B   | 7,095   | 45.21  | n/a    | n/a      | 354.75      | 5.0 |
| LOOMIS SALES/BOSTON      | 036  | HAS    | C   | 262,700 | 26.88  | n/a    | n/a      | 10,508.00   | 4.0 |

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|--------------------------|------------|-------------|----------|---------------|--------------|---------------|---------------|---------------|------------|
| <b>LEDDY</b>             | <b>035</b> | <b>HBI</b>  | <b>C</b> | <b>1,000</b>  | <b>29.77</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |
| BALYASNY ASSET MGMT      | 044        | HIG         | B        | 20,000        | 91.61        | n/a           | n/a           | 1,000.00      | 5.0        |
| HIGHBRIDGE CAPITAL       | 038        | HIRE        | S        | 100,000       | 14.09        | n/a           | n/a           | 5,000.00      | 5.0        |
| <b>ZOLIDIS</b>           | <b>011</b> | <b>HLYS</b> | <b>B</b> | <b>500</b>    | <b>12.15</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |
| <b>WYCKOFF</b>           | <b>013</b> | <b>HLYS</b> | <b>B</b> | <b>300</b>    | <b>12.14</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |
| <b>LEDDY</b>             | <b>035</b> | <b>HLYS</b> | <b>B</b> | <b>800</b>    | <b>12.37</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |
| TRIBECA/DOUG             | 040        | HRH         | S        | 12,500        | 47.81        | n/a           | n/a           | 500.00        | 4.0        |
| <b>LUCHANSKY</b>         | <b>036</b> | <b>IGT</b>  | <b>B</b> | <b>500</b>    | <b>35.65</b> | <b>n/a</b>    | <b>20-Jul</b> | <b>0.00</b>   | <b>0.0</b> |
| MORGAN LEWIS/MLH         | 046        | INSU        | B        | 25,000        | 18.07        | n/a           | n/a           | 1,250.00      | 5.0        |
| PORTER-ORLIN-FELDMAN     | 044        | INTC        | B        | 200,000       | 24.46        | n/a           | n/a           | 10,000.00     | 5.0        |
| BALYASNY ASSET MGMT      | 044        | IVZ         | B        | 50,000        | 25.62        | 8-Aug         | 8-Aug         | 2,500.00      | 5.0        |
| PHILADELPHIA FINANCIAL   | 033        | IVZ         | B        | 19,281        | 25.54        | 8-Aug         | 8-Aug         | 964.05        | 5.0        |
| MORGENS WATERFALL        | 040        | IWM         | SS       | 250,000       | 79.00        | n/a           | n/a           | 7,500.00      | 3.0        |
| <b>LEDDY</b>             | <b>035</b> | <b>JADE</b> | <b>B</b> | <b>2,200</b>  | <b>6.50</b>  | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |
| SYSTEMATIC FINANCIAL MGT | 035        | JBX         | B        | 22,175        | 62.87        | 24-Apr        | 24-Apr        | 831.57        | 3.8        |
| COUGAR TRADING           | 044        | JCG         | S        | 5,000         | 53.87        | 22-Jun        | 6-Aug         | 250.00        | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>JCP</b>  | <b>B</b> | <b>10,000</b> | <b>68.69</b> | <b>21-Jun</b> | <b>6-Aug</b>  | <b>400.00</b> | <b>4.0</b> |

| Account                  | RR #       | Symbol     | B/S       | Shares        | Price        | MRI           | Research      | Comm.¢/Shr.   |            |
|--------------------------|------------|------------|-----------|---------------|--------------|---------------|---------------|---------------|------------|
| COUGAR TRADING           | 044        | JCP        | B         | 5,000         | 68.65        | 21-Jun        | 6-Aug         | 250.00        | 5.0        |
| ROSEDALE CAPITAL         | 046        | JCP        | B         | 10,000        | 68.93        | 21-Jun        | 6-Aug         | 500.00        | 5.0        |
| HIGHFIELDS CAP MGMT      | 039        | JNS        | S         | 180,500       | 31.00        | 27-Jul        | 8-Aug         | 9,025.00      | 5.0        |
| THIRD POINT MGMT         | 044        | JNS        | C         | 300,000       | 30.96        | 27-Jul        | 8-Aug         | 12,000.00     | 4.0        |
| BALYASNY ASSET MGMT      | 044        | JPM        | B         | 100,000       | 46.51        | n/a           | 19-Jul        | 5,000.00      | 5.0        |
| PORTER-ORLIN-FELDMAN     | 044        | JPM        | SS        | 30,000        | 46.28        | n/a           | 19-Jul        | 1,500.00      | 5.0        |
| <b>BUCK</b>              | <b>015</b> | <b>JPM</b> | <b>SS</b> | <b>300</b>    | <b>46.21</b> | <b>n/a</b>    | <b>19-Jul</b> | <b>0.00</b>   | <b>0.0</b> |
| COUGAR TRADING           | 044        | JWN        | B         | 5,000         | 48.94        | 12-Jul        | 6-Aug         | 250.00        | 5.0        |
| COUGAR TRADING           | 044        | JWN        | S         | 5,000         | 50.27        | 12-Jul        | 6-Aug         | 250.00        | 5.0        |
| PIVOT CAP                | 034        | JWN        | S         | 11,000        | 50.54        | 12-Jul        | 6-Aug         | 550.00        | 5.0        |
| BALYASNY ASSET MGMT      | 044        | KEY        | B         | 50,000        | 36.77        | n/a           | n/a           | 2,500.00      | 5.0        |
| HUNTER GLOBAL INVESTOR   | 067        | KR         | B         | 200,000       | 25.42        | n/a           | n/a           | 10,000.00     | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>KSS</b> | <b>B</b>  | <b>10,000</b> | <b>59.13</b> | <b>14-Jun</b> | <b>27-Jul</b> | <b>400.00</b> | <b>4.0</b> |
| GENERAL ELECTIC CO       | 033        | LBTYK      | S         | 86,575        | 40.96        | n/a           | n/a           | 3,895.88      | 4.5        |
| REICH AND TANG           | 067        | LDL        | B         | 64,000        | 9.16         | n/a           | n/a           | 1,280.00      | 2.0        |
| U.S.TRUST COMPANY        | 012        | LEH        | B         | 25,000        | 65.34        | 12-Jun        | 2-Aug         | 1,125.00      | 4.5        |
| BALYASNY ASSET MGMT      | 044        | LM         | B         | 25,000        | 88.35        | 24-Jul        | 8-Aug         | 1,250.00      | 5.0        |
| ROBX                     | 033        | LSI        | B         | 226,000       | 6.21         | n/a           | n/a           | 6,780.00      | 3.0        |
| PROSPECTOR PARTNERS LLC  | 036        | LUK        | S         | 10,000        | 46.07        | n/a           | n/a           | 500.00        | 5.0        |

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|-----------------------|------------|-------------|-----------|--------------|---------------|---------------|--------------|-------------|------------|
| TRELLUS PARTNERS LP   | 028        | MCCC        | B         | 100,000      | 7.78          | 7-Aug         | 8-Aug        | 5,000.00    | 5.0        |
| BALYASNY ASSET MGMT   | 044        | MCO         | SS        | 15,000       | 57.93         | n/a           | n/a          | 750.00      | 5.0        |
| NEUBERGER BERMAN      | 036        | MDTH        | S         | 51,000       | 26.59         | n/a           | n/a          | 2,040.00    | 4.0        |
| <b>BARR</b>           | <b>096</b> | <b>MENT</b> | <b>B</b>  | <b>3,000</b> | <b>11.52</b>  | <b>n/a</b>    | <b>n/a</b>   | <b>0.00</b> | <b>0.0</b> |
| PATTEN & PATTEN       | 067        | MS          | B         | 25           | 64.62         | 2-Jul         | 2-Aug        | 1.25        | 5.0        |
| SARAS CAPITAL         | 038        | MS          | B         | 45,000       | 66.42         | 2-Jul         | 2-Aug        | 2,250.00    | 5.0        |
| <b>BARR</b>           | <b>096</b> | <b>MTG</b>  | <b>SS</b> | <b>200</b>   | <b>39.25</b>  | <b>n/a</b>    | <b>n/a</b>   | <b>0.00</b> | <b>0.0</b> |
| MILTON PARTNERS       | 060        | MTMD        | B         | 100,000      | 6.00          | n/a           | n/a          | 2,000.00    | 2.0        |
| BARON ASSET MGMT*     | 012        | MVL         | B         | 80,000       | 23.12         | n/a           | n/a          | 4,000.00    | 5.0        |
| <b>LUCHANSKY4</b>     | <b>036</b> | <b>MWV</b>  | <b>S</b>  | <b>300</b>   | <b>32.48</b>  | <b>31-Jul</b> | <b>2-Aug</b> | <b>0.00</b> | <b>0.0</b> |
| J L F ASSET MGMT      | 039        | M           | B         | 44,900       | 34.95         | 13-Jul        | 6-Aug        | 1,796.00    | 4.0        |
| BALYASNY ASSET MGMT   | 044        | NCT         | B         | 12,200       | 17.90         | n/a           | n/a          | 610.00      | 5.0        |
| PROVIDENT INV COUNSEL | 048        | NETL        | B         | 59,600       | 30.13         | n/a           | n/a          | 2,980.00    | 5.0        |
| <b>BUCK</b>           | <b>015</b> | <b>NMX</b>  | <b>B</b>  | <b>200</b>   | <b>132.16</b> | <b>n/a</b>    | <b>n/a</b>   | <b>0.00</b> | <b>0.0</b> |
| DSG CAPITAL           | 225        | NPO         | B         | 3,000        | 34.09         | n/a           | n/a          | 150.00      | 5.0        |
| COUGAR TRADING        | 044        | NWY         | S         | 20,000       | 9.41          | 25-May        | 6-Aug        | 1,000.00    | 5.0        |

| Account                  | RR #       | Symbol      | B/S       | Shares         | Price          | MRI           | Research      | Comm.¢/Shr.      |            |
|--------------------------|------------|-------------|-----------|----------------|----------------|---------------|---------------|------------------|------------|
| REICH AND TANG           | 067        | OMG         | B         | 50,000         | 40.96          | n/a           | n/a           | 2,500.00         | 5.0        |
| <b>NOLAN</b>             | <b>067</b> | <b>PANL</b> | <b>B</b>  | <b>40</b>      | <b>17.00</b>   | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>      | <b>0.0</b> |
| PATTEN & PATTEN          | 067        | PBW         | B         | 125            | 23.19          | n/a           | n/a           | 6.25             | 5.0        |
| <b>KERN</b>              | <b>050</b> | <b>PCU</b>  | <b>B</b>  | <b>100</b>     | <b>104.64</b>  | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>      | <b>0.0</b> |
| <b>BUCK</b>              | <b>015</b> | <b>PFCB</b> | <b>C</b>  | <b>500</b>     | <b>37.01</b>   | <b>24-Apr</b> | <b>24-Apr</b> | <b>0.00</b>      | <b>0.0</b> |
| BALYASNY ASSET MGMT      | 044        | PJC         | SS        | 10,000         | 58.81          | n/a           | n/a           | 500.00           | 5.0        |
| Õ Glenn Redemann         |            | <b>PMTI</b> | <b>B</b>  | <b>300</b>     | <b>35.0000</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>      | <b>0.0</b> |
| Õ Glenn Redemann         |            | <b>PMTI</b> | <b>SS</b> | <b>3</b>       | <b>5.9000</b>  | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>      | <b>0.0</b> |
| Õ Glenn Redemann         |            | <b>PMTI</b> | <b>S</b>  | <b>300</b>     | <b>29.0100</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>      | <b>0.0</b> |
| <b>BUCK</b>              | <b>015</b> | <b>PNRA</b> | <b>SS</b> | <b>400</b>     | <b>47.61</b>   | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>      | <b>0.0</b> |
| ASCEND PARTNERS          | 033        | PRXL        | C         | 48,080         | 42.31          | n/a           | n/a           | 2,404.00         | 5.0        |
| COUGAR TRADING           | 044        | PSUN        | B         | 5,000          | 16.98          | n/a           | 6-Aug         | 250.00           | 5.0        |
| COUGAR TRADING           | 044        | PSUN        | SS        | 5,000          | 18.31          | n/a           | 6-Aug         | 250.00           | 5.0        |
| HIGHFIELDS CAP MGMT      | 039        | QCOM        | B         | 585,000        | 39.93          | n/a           | n/a           | 23,400.00        | 4.0        |
| PATTEN & PATTEN          | 067        | RHHBY       | B         | 25             | 90.15          | n/a           | n/a           | 1.25             | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>RL</b>   | <b>B</b>  | <b>338,600</b> | <b>84.64</b>   | <b>21-Jun</b> | <b>7-Aug</b>  | <b>13,544.00</b> | <b>4.0</b> |
| COUGAR TRADING           | 044        | RL          | B         | 900            | 84.11          | 21-Jun        | 7-Aug         | 45.00            | 5.0        |



| Account                  | RR #       | Symbol       | B/S      | Shares        | Price        | MRI          | Research     | Comm.¢/Shr.   |            |
|--------------------------|------------|--------------|----------|---------------|--------------|--------------|--------------|---------------|------------|
| COUGAR TRADING           | 044        | RL           | SS       | 900           | 85.71        | 21-Jun       | 7-Aug        | 45.00         | 5.0        |
| STADIA CAPITAL           | 035        | RL           | S        | 10,000        | 80.66        | 21-Jun       | 7-Aug        | 400.00        | 4.0        |
| WAGONHOUND               | 048        | RL           | B        | 1,240         | 80.17        | 21-Jun       | 7-Aug        | 49.60         | 4.0        |
| WOOSTER CAPITAL          | 035        | RL           | B        | 50,000        | 84.32        | 21-Jun       | 7-Aug        | 2,500.00      | 5.0        |
| REINHART & MAHONEY       | 031        | RX           | S        | 48,235        | 31.69        | n/a          | n/a          | 2,411.75      | 5.0        |
| <b>PAKLER</b>            | <b>N22</b> | <b>SAM</b>   | <b>S</b> | <b>141</b>    | <b>45.10</b> | <b>n/a</b>   | <b>n/a</b>   | <b>0.00</b>   | <b>0.0</b> |
| BALYASNY ASSET MGMT      | 044        | SKS          | S        | 30,000        | 20.48        | n/a          | n/a          | 1,500.00      | 5.0        |
| <b>KERN</b>              | <b>050</b> | <b>SLB</b>   | <b>B</b> | <b>100</b>    | <b>89.37</b> | <b>n/a</b>   | <b>n/a</b>   | <b>0.00</b>   | <b>0.0</b> |
| PORTER-ORLIN-FELDMAN     | 044        | SLGN         | B        | 29,600        | 53.73        | n/a          | n/a          | 1,480.00      | 5.0        |
| <b>MKT MAKER</b>         | <b>099</b> | <b>SLGN</b>  | <b>B</b> | <b>13</b>     | <b>53.73</b> | <b>n/a</b>   | <b>n/a</b>   | <b>0.65</b>   | <b>5.0</b> |
| BELMONT GLOBAL ADV       | 248        | SMBL         | B        | 20,000        | 9.00         | n/a          | n/a          | 1,000.00      | 5.0        |
| <b>DEMARTINI</b>         | <b>065</b> | <b>SMGIX</b> | <b>S</b> | <b>25</b>     | <b>5.00</b>  | <b>n/a</b>   | <b>n/a</b>   | <b>0.00</b>   | <b>0.0</b> |
| SYSTEMATIC FINANCIAL MGT | 035        | SNA          | B        | 87,600        | 51.38        | n/a          | n/a          | 3,285.00      | 3.8        |
| PATTEN & PATTEN          | 067        | SRZ          | B        | 75            | 39.70        | n/a          | n/a          | 3.75          | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>SSI</b>   | <b>S</b> | <b>20,000</b> | <b>17.80</b> | <b>3-Aug</b> | <b>6-Aug</b> | <b>800.00</b> | <b>4.0</b> |
| <b>PAKLER</b>            | <b>N22</b> | <b>STKL</b>  | <b>B</b> | <b>370</b>    | <b>13.39</b> | <b>n/a</b>   | <b>n/a</b>   | <b>0.00</b>   | <b>0.0</b> |
| BALYASNY ASSET MGMT      | 044        | STT          | S        | 40,000        | 70.82        | n/a          | n/a          | 2,000.00      | 5.0        |
| <b>KERN</b>              | <b>050</b> | <b>SUPG</b>  | <b>S</b> | <b>500</b>    | <b>4.28</b>  | <b>n/a</b>   | <b>n/a</b>   | <b>0.00</b>   | <b>0.0</b> |

| Account              | RR # | Symbol | B/S | Shares | Price | MRI    | Research | Comm.¢/Shr. |     |
|----------------------|------|--------|-----|--------|-------|--------|----------|-------------|-----|
| BARR                 | 096  | SWIM   | C   | 1,000  | 13.94 | n/a    | n/a      | 0.00        | 0.0 |
| BARR                 | 096  | SWIM   | SS  | 1,000  | 14.16 | n/a    | n/a      | 0.00        | 0.0 |
| LUCHANSKY2           | 036  | S      | C   | 1,000  | 20.76 | n/a    | n/a      | 0.00        | 0.0 |
| SARAS CAPITAL        | 038  | TEL    | B   | 20,000 | 34.02 | n/a    | n/a      | 1,000.00    | 5.0 |
| PORTER-ORLIN-FELDMAN | 044  | TGIC   | B   | 35,700 | 25.65 | n/a    | n/a      | 1,785.00    | 5.0 |
| MKT MAKER            | 099  | TGIC   | B   | 13     | 25.65 | n/a    | n/a      | 0.00        | 0.0 |
| JP MORGAN VENTURES   | 046  | TIF    | C   | 14,300 | 45.80 | 1-Jun  | 13-Jun   | 715.00      | 5.0 |
| PIVOT CAP            | 034  | TRLG   | S   | 9,790  | 21.58 | n/a    | n/a      | 489.50      | 5.0 |
| MILTON PARTNERS      | 060  | TW     | S   | 55,600 | 21.98 | n/a    | n/a      | 1,668.00    | 3.0 |
| BULL PATH CAPITAL    | 044  | URBN   | S   | 70,000 | 24.32 | 31-Jul | 7-Aug    | 3,500.00    | 5.0 |
| MKT MAKER            | 099  | URBN   | B   | 5,000  | 23.88 | 31-Jul | 7-Aug    | 0.00        | 0.0 |
| CROWLEY              | 061  | VTJ    | S   | 1,000  | 15.70 | n/a    | n/a      | 0.00        | 0.0 |
| BALYASNY ASSET MGMT  | 044  | WABC   | SS  | 10,000 | 45.70 | n/a    | n/a      | 500.00      | 5.0 |
| BALYASNY ASSET MGMT  | 044  | WB     | B   | 50,000 | 48.58 | n/a    | n/a      | 2,500.00    | 5.0 |
| KAICHER              | 064  | WHT    | S   | 2,500  | 2.91  | n/a    | n/a      | 0.00        | 0.0 |
| PATTEN & PATTEN      | 067  | WMB    | B   | 75     | 32.91 | n/a    | n/a      | 3.75        | 5.0 |
| SUTERA               | 160  | WRES   | S   | 1,000  | 13.80 | n/a    | n/a      | 0.00        | 0.0 |

| Account                    | RR #       | Symbol      | B/S      | Shares       | Price        | MRI        | Research   | Comm. ¢/Shr.      |            |
|----------------------------|------------|-------------|----------|--------------|--------------|------------|------------|-------------------|------------|
| BENCHMARK                  | 028        | WTW         | B        | 5,000        | 56.46        | n/a        | n/a        | 250.00            | 5.0        |
| BENCHMARK                  | 028        | XLF         | B        | 5,000        | 35.00        | n/a        | n/a        | 250.00            | 5.0        |
| <b>KAICHER</b>             | <b>064</b> | <b>ZHNE</b> | <b>B</b> | <b>5,000</b> | <b>1.13</b>  | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>       | <b>0.0</b> |
| PATTEN & PATTEN            | 067        | ZMH         | B        | 65           | 79.43        | n/a        | n/a        | 3.25              | 5.0        |
| COUGAR TRADING             | 044        | ZQK         | S        | 10,000       | 15.16        | 9-Mar      | 27-Jun     | 500.00            | 5.0        |
| PIVOT CAP                  | 034        | ZQK         | S        | 38,550       | 14.88        | 9-Mar      | 27-Jun     | 1,156.50          | 3.0        |
| <b>ZOLIDIS</b>             | <b>011</b> | <b>ZUMZ</b> | <b>S</b> | <b>250</b>   | <b>45.93</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>       | <b>0.0</b> |
| <b>TOTAL (Trade Date):</b> |            |             |          |              |              |            |            | <b>298,544.92</b> |            |

### Cancel/Corrects and As-Of Trades

| Type   | Date  | Account                              | RR # | Symbol | B/S | Shares  | Price | MRI    | Research | Comm.¢/Shr. |
|--------|-------|--------------------------------------|------|--------|-----|---------|-------|--------|----------|-------------|
| AO,    | 08/07 | ROTHSCHILD ASSET (ROTH000479)        | 040  | EAT    | S   | 730     | 27.54 | 24-Apr | 24-Apr   | 32.85 4.5   |
| AO,    | 08/07 | ROTHSCHILD ASSET (ROTH471-2)         | 040  | EAT    | S   | 640     | 27.54 | 24-Apr | 24-Apr   | 28.80 4.5   |
| AO,    | 08/07 | ROTHSCHILD ASSET (ROTH471-1)         | 040  | EAT    | S   | 1,730   | 27.54 | 24-Apr | 24-Apr   | 77.85 4.5   |
| AO,    | 08/07 | ROTHSCHILD ASSET (ROTH471)           | 040  | EAT    | S   | 3,200   | 27.54 | 24-Apr | 24-Apr   | 144.00 4.5  |
| AO,    | 08/07 | ROTHSCHILD ASSET (ROTH470)           | 040  | EAT    | S   | 2,410   | 27.54 | 24-Apr | 24-Apr   | 108.45 4.5  |
| AO,    | 08/07 | ROTHSCHILD ASSET (ROTH450)           | 040  | EAT    | S   | 6,020   | 27.54 | 24-Apr | 24-Apr   | 270.90 4.5  |
| AO,    | 08/07 | ROTHSCHILD ASSET (ROTH386)           | 040  | EAT    | S   | 430     | 27.54 | 24-Apr | 24-Apr   | 19.35 4.5   |
| AO,    | 08/07 | ROTHSCHILD ASSET (ROTH340)           | 040  | EAT    | S   | 10,970  | 27.54 | 24-Apr | 24-Apr   | 493.65 4.5  |
| AO,    | 08/07 | ROTHSCHILD ASSET (ROTH348)           | 040  | EAT    | S   | 780     | 27.54 | 24-Apr | 24-Apr   | 35.10 4.5   |
| AO,    | 08/07 | ROTHSCHILD ASSET (ROTH333)           | 040  | EAT    | S   | 1,620   | 27.54 | 24-Apr | 24-Apr   | 72.90 4.5   |
| AO,    | 08/07 | ROTHSCHILD ASSET (ROTH360-2)         | 040  | EAT    | S   | 1,470   | 27.54 | 24-Apr | 24-Apr   | 66.15 4.5   |
| AO,    | 08/07 | THIRD POINT MGMT (THIRBSPB)          | 044  | EV     | C   | 125,000 | 43.66 | 23-May | 8-Aug    | 5000.00 4.0 |
| AO,CRT | 08/03 | PROSPECTOR PARTNERS LLC (PROSSIRIRH) | 036  | GFI    | B   | 500     | 15.84 | n/a    | n/a      | 25.00 5.0   |
| AO,    | 08/03 | PROSPECTOR PARTNERS LLC (PROSFULLYM) | 036  | GFI    | B   | 700     | 15.84 | n/a    | n/a      | 35.00 5.0   |
| AO,CXL | 08/03 | PROSPECTOR PARTNERS LLC (PROSFOLKKO) | 036  | GFI    | B   | 700     | 15.84 | n/a    | n/a      | 35.00 5.0   |
| AO,CXL | 08/03 | PROSPECTOR PARTNERS LLC (PROSSIRIUS) | 036  | GFI    | B   | 500     | 15.84 | n/a    | n/a      | 25.00 5.0   |
| AO,    | 08/07 | COMMISSUM CAPITAL (COMMBS#1)         | 067  | IVZ    | B   | 5,000   | 24.29 | 8-Aug  | 8-Aug    | 250.00 5.0  |
| AO,    | 08/07 | THIRD POINT MGMT (THIRCITI)          | 044  | JNS    | C   | 139,000 | 30.38 | 27-Jul | 8-Aug    | 5560.00 4.0 |
| AO,    | 08/07 | THIRD POINT MGMT (THIRGOLDMA)        | 044  | JNS    | C   | 11,000  | 30.38 | 27-Jul | 8-Aug    | 440.00 4.0  |
| AO,    | 08/07 | RAINIER INV MGMT (RAINFORDLL)        | 035  | SLB    | B   | 40      | 88.48 | n/a    | n/a      | 2.00 5.0    |
| AO,    | 08/07 | RAINIER INV MGMT (RAINNASH)          | 035  | SLB    | B   | 60      | 88.48 | n/a    | n/a      | 3.00 5.0    |
| AO,    | 08/07 | RAINIER INV MGMT (RAINFRANK)         | 035  | SLB    | B   | 300     | 88.48 | n/a    | n/a      | 15.00 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINFORD)          | 035  | SLB    | B   | 80      | 88.48 | n/a    | n/a      | 4.00 5.0    |
| AO,    | 08/07 | RAINIER INV MGMT (RAINFRANKT)        | 035  | SLB    | B   | 150     | 88.48 | n/a    | n/a      | 7.50 5.0    |
| AO,    | 08/07 | RAINIER INV MGMT (RAINRIMGRT)        | 035  | SLB    | B   | 950     | 88.48 | n/a    | n/a      | 47.50 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINODT)           | 035  | SLB    | B   | 80      | 88.48 | n/a    | n/a      | 4.00 5.0    |
| AO,    | 08/07 | RAINIER INV MGMT (RAINTURLOC)        | 035  | SLB    | B   | 100     | 88.48 | n/a    | n/a      | 5.00 5.0    |

| Type | Date  | Account                       | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------|-------|-------------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO,  | 08/07 | RAINIER INV MGMT (RAINVNEURO) | 035  | SLB    | B   | 140    | 88.48 | n/a | n/a      | 7.00 5.0    |
| AO,  | 08/07 | RAINIER INV MGMT (RAINMCKESS) | 035  | SLB    | B   | 300    | 88.48 | n/a | n/a      | 15.00 5.0   |
| AO,  | 08/07 | RAINIER INV MGMT (RAINWINSEL) | 035  | SLB    | B   | 100    | 88.48 | n/a | n/a      | 5.00 5.0    |
| AO,  | 08/07 | RAINIER INV MGMT (RAINWINPOO) | 035  | SLB    | B   | 150    | 88.48 | n/a | n/a      | 7.50 5.0    |
| AO,  | 08/07 | RAINIER INV MGMT (RAINWINPEN) | 035  | SLB    | B   | 600    | 88.48 | n/a | n/a      | 30.00 5.0   |
| AO,  | 08/07 | RAINIER INV MGMT (RAINNAVAJO) | 035  | SLB    | B   | 300    | 88.48 | n/a | n/a      | 15.00 5.0   |
| AO,  | 08/07 | RAINIER INV MGMT (RAINCAIRON) | 035  | SLB    | B   | 1,100  | 88.48 | n/a | n/a      | 55.00 5.0   |
| AO,  | 08/07 | RAINIER INV MGMT (RAINORSHEE) | 035  | SLB    | B   | 500    | 88.48 | n/a | n/a      | 25.00 5.0   |
| AO,  | 08/07 | RAINIER INV MGMT (RAINALCANU) | 035  | SLB    | B   | 4,750  | 88.48 | n/a | n/a      | 237.50 5.0  |
| AO,  | 08/07 | RAINIER INV MGMT (RAINHALIFA) | 035  | SLB    | B   | 600    | 88.48 | n/a | n/a      | 30.00 5.0   |
| AO,  | 08/07 | RAINIER INV MGMT (RAINMCAREP) | 035  | SLB    | B   | 450    | 88.48 | n/a | n/a      | 22.50 5.0   |
| AO,  | 08/07 | RAINIER INV MGMT (RAINARM)    | 035  | SLB    | B   | 1,150  | 88.48 | n/a | n/a      | 57.50 5.0   |
| AO,  | 08/07 | RAINIER INV MGMT (RAINSANDIA) | 035  | SLB    | B   | 350    | 88.48 | n/a | n/a      | 17.50 5.0   |
| AO,  | 08/07 | RAINIER INV MGMT (RAINDUN)    | 035  | SLB    | B   | 1,100  | 88.48 | n/a | n/a      | 55.00 5.0   |
| AO,  | 08/07 | RAINIER INV MGMT (RAINTIMBER) | 035  | SLB    | B   | 450    | 88.48 | n/a | n/a      | 22.50 5.0   |
| AO,  | 08/07 | RAINIER INV MGMT (RAINZZ PLI) | 035  | SLB    | B   | 250    | 88.48 | n/a | n/a      | 12.50 5.0   |
| AO,  | 08/07 | RAINIER INV MGMT (RAINALCAN)  | 035  | SLB    | B   | 5,450  | 88.48 | n/a | n/a      | 272.50 5.0  |
| AO,  | 08/07 | RAINIER INV MGMT (RAINHYDRO1) | 035  | SLB    | B   | 1,150  | 88.48 | n/a | n/a      | 57.50 5.0   |
| AO,  | 08/07 | RAINIER INV MGMT (RAINWICTA)  | 035  | SLB    | B   | 550    | 88.48 | n/a | n/a      | 27.50 5.0   |
| AO,  | 08/07 | RAINIER INV MGMT (RAINOPCORE) | 035  | SLB    | B   | 1,900  | 88.48 | n/a | n/a      | 95.00 5.0   |
| AO,  | 08/07 | RAINIER INV MGMT (RAINAGBU)   | 035  | SLB    | B   | 100    | 88.48 | n/a | n/a      | 5.00 5.0    |
| AO,  | 08/07 | RAINIER INV MGMT (RAINNCPHAR) | 035  | SLB    | B   | 100    | 88.48 | n/a | n/a      | 5.00 5.0    |
| AO,  | 08/07 | RAINIER INV MGMT (RAINZZ LAB) | 035  | SLB    | B   | 250    | 88.48 | n/a | n/a      | 12.50 5.0   |
| AO,  | 08/07 | RAINIER INV MGMT (RAINSIS)    | 035  | SLB    | B   | 350    | 88.48 | n/a | n/a      | 17.50 5.0   |
| AO,  | 08/07 | RAINIER INV MGMT (RAINCHSUG)  | 035  | SLB    | B   | 150    | 88.48 | n/a | n/a      | 7.50 5.0    |
| AO,  | 08/07 | RAINIER INV MGMT (RAINAKHERE) | 035  | SLB    | B   | 100    | 88.48 | n/a | n/a      | 5.00 5.0    |
| AO,  | 08/07 | RAINIER INV MGMT (RAINALEX)   | 035  | SLB    | B   | 350    | 88.48 | n/a | n/a      | 17.50 5.0   |
| AO,  | 08/07 | RAINIER INV MGMT (RAINDETROI) | 035  | SLB    | B   | 500    | 88.48 | n/a | n/a      | 25.00 5.0   |
| AO,  | 08/07 | RAINIER INV MGMT (RAINWW LAB) | 035  | SLB    | B   | 850    | 88.48 | n/a | n/a      | 42.50 5.0   |
| AO,  | 08/07 | RAINIER INV MGMT (RAINVMCOR)  | 035  | SLB    | B   | 150    | 88.48 | n/a | n/a      | 7.50 5.0    |

| Type   | Date  | Account                        | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|--------------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO,    | 08/07 | RAINIER INV MGMT (RAINMONTLA)  | 035  | SLB    | B   | 250    | 88.48 | n/a | n/a      | 12.50 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINRETEQ)   | 035  | SLB    | B   | 700    | 88.48 | n/a | n/a      | 35.00 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINPACCOA)  | 035  | SLB    | B   | 750    | 88.48 | n/a | n/a      | 37.50 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINLONGVI)  | 035  | SLB    | B   | 450    | 88.48 | n/a | n/a      | 22.50 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINZZ QUE)  | 035  | SLB    | B   | 150    | 88.48 | n/a | n/a      | 7.50 5.0    |
| AO,    | 08/07 | RAINIER INV MGMT (RAINBAPTIS)  | 035  | SLB    | B   | 600    | 88.48 | n/a | n/a      | 30.00 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINMIELPE)  | 035  | SLB    | B   | 200    | 88.48 | n/a | n/a      | 10.00 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINWHITW)   | 035  | SLB    | B   | 100    | 88.48 | n/a | n/a      | 5.00 5.0    |
| AO,    | 08/07 | RAINIER INV MGMT (RAINPLUMCR)  | 035  | SLB    | B   | 75     | 88.48 | n/a | n/a      | 3.75 5.0    |
| AO,    | 08/07 | RAINIER INV MGMT (RAINZZ STE)  | 035  | SLB    | B   | 200    | 88.48 | n/a | n/a      | 10.00 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINRIMBAL)  | 035  | SLB    | B   | 450    | 88.48 | n/a | n/a      | 22.50 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINPUGETE)  | 035  | SLB    | B   | 550    | 88.48 | n/a | n/a      | 27.50 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINNWSHEE)  | 035  | SLB    | B   | 350    | 88.48 | n/a | n/a      | 17.50 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINLEUPMO)  | 035  | SLB    | B   | 100    | 88.48 | n/a | n/a      | 5.00 5.0    |
| AO,    | 08/07 | RAINIER INV MGMT (RAINZM CAR)  | 035  | SLB    | B   | 550    | 88.48 | n/a | n/a      | 27.50 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINWMETAL)  | 035  | SLB    | B   | 1,000  | 88.48 | n/a | n/a      | 50.00 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINWIMCAR)  | 035  | SLB    | B   | 250    | 88.48 | n/a | n/a      | 12.50 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINRIMCOR)  | 035  | SLB    | B   | 6,550  | 88.48 | n/a | n/a      | 327.50 5.0  |
| AO,    | 08/07 | RAINIER INV MGMT (RAINRDRUG)   | 035  | SLB    | B   | 100    | 88.48 | n/a | n/a      | 5.00 5.0    |
| AO,    | 08/07 | RAINIER INV MGMT (RAINOREBUT)  | 035  | SLB    | B   | 750    | 88.48 | n/a | n/a      | 37.50 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINORONMA)  | 035  | SLB    | B   | 300    | 88.48 | n/a | n/a      | 15.00 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINMONTNA)  | 035  | SLB    | B   | 1,000  | 88.48 | n/a | n/a      | 50.00 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINNEUNIV)  | 035  | SLB    | B   | 450    | 88.48 | n/a | n/a      | 22.50 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINSDTRAN)  | 035  | SLB    | B   | 150    | 88.48 | n/a | n/a      | 7.50 5.0    |
| AO,    | 08/07 | RAINIER INV MGMT (RAINSONVCU)  | 035  | SLB    | B   | 1,050  | 88.48 | n/a | n/a      | 52.50 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINCEM502)  | 035  | SLB    | B   | 300    | 88.48 | n/a | n/a      | 15.00 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINATHENS)  | 035  | SLB    | B   | 250    | 88.48 | n/a | n/a      | 12.50 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINHORMEL)  | 035  | SLB    | B   | 750    | 88.48 | n/a | n/a      | 37.50 5.0   |
| AO,    | 08/07 | RAINIER INV MGMT (RAINEVAMED)  | 035  | SLB    | B   | 100    | 88.48 | n/a | n/a      | 5.00 5.0    |
| AO,CRT | 08/06 | BARROW HANLEY MEWHINNEY (BARR) | 096  | SUNW   | B   | 2,700  | 4.97  | n/a | n/a      | 0.00 0.0    |

| Type                          | Date  | Account                        | RR # | Symbol | B/S | Shares  | Price | MRI | Research         | Comm.¢/Shr. |
|-------------------------------|-------|--------------------------------|------|--------|-----|---------|-------|-----|------------------|-------------|
| AO,CXL                        | 08/06 | BARROW HANLEY MEWHINNEY (BARR) | 096  | SUNW   | B   | 2,700   | 4.97  | n/a | n/a              | 0.00 0.0    |
| AO,                           | 08/07 | THIRD POINT MGMT (THIRGOLDMA)  | 044  | TROW   | C   | 100,000 | 53.59 | n/a | 8-Aug            | 4000.00 4.0 |
| <b>TOTAL (AO, CXL, CRT) :</b> |       |                                |      |        |     |         |       |     | <b>18,823.75</b> |             |

|                        |            |
|------------------------|------------|
| TOTAL (Trade Date) :   | 298,544.92 |
| TOTAL (AO, CXL, CRT) : | 18,823.75  |

|                                 |                   |
|---------------------------------|-------------------|
| <b>TOTAL (RUN DATE) / NFS :</b> | <b>317,368.67</b> |
|---------------------------------|-------------------|

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