



## Daily Compliance Activity Report

Trade Date: 08/22/2007

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	AAPL	B	10	131.30	n/a	n/a	0.40	4.0
NEUBERGER BERMAN	036	ABT	B	15	52.75	n/a	22-Apr	0.75	5.0
BALYASNY ASSET MGMT	044	AB	S	10,000	82.30	9-Aug	22-Aug	500.00	5.0
WOOSTER CAPITAL	035	AB	B	25,000	83.65	9-Aug	22-Aug	1,250.00	5.0
NEUBERGER BERMAN	036	ADBE	B	20	40.40	n/a	n/a	0.80	4.0
DSG CAPITAL	225	AEO	B	10,000	23.11	10-Jul	21-Aug	500.00	5.0
RH CAPITAL ASSOCIATES	060	AEO	B	50,000	23.28	10-Jul	21-Aug	2,500.00	5.0
NEUBERGER BERMAN	036	AMT	B	15	38.33	n/a	n/a	0.75	5.0
COUGAR TRADING	044	ANF	SS	10,000	77.22	12-Jul	10-Aug	500.00	5.0
COUGAR TRADING	044	ANF	S	5,000	78.87	12-Jul	10-Aug	250.00	5.0
NEUBERGER BERMAN	036	ANF	B	5	79.55	12-Jul	10-Aug	0.25	5.0
BALYASNY ASSET MGMT	044	ARO	B	15,000	23.50	n/a	15-Aug	750.00	5.0
COUGAR TRADING	044	ARO	B	5,000	23.50	n/a	15-Aug	250.00	5.0
COUGAR TRADING	044	ARO	SS	5,000	23.52	n/a	15-Aug	250.00	5.0
ROTHSCHILD ASSET	040	ARO	S	2,540	23.45	n/a	15-Aug	114.30	4.5
NEUBERGER BERMAN	036	AXP	B	15	59.42	n/a	n/a	0.75	5.0
NEUBERGER BERMAN	036	BAX	B	15	51.00	n/a	22-Apr	0.75	5.0
NEUBERGER BERMAN	036	BDX	B	10	77.90	n/a	22-Apr	0.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	BHP	B	200	59.49	n/a	n/a	10.00	5.0
NEUBERGER BERMAN	036	BIIB	B	5	59.94	n/a	n/a	0.20	4.0
NEUBERGER BERMAN	036	BNI	B	5	80.71	n/a	n/a	0.25	5.0
PATTEN & PATTEN	067	CAT	S	50	75.33	n/a	n/a	2.50	5.0
ROTHSCHILD ASSET	040	CLF	S	12,550	69.78	n/a	n/a	564.75	4.5
NEUBERGER BERMAN	036	CL	B	15	67.00	n/a	25-Jul	0.75	5.0
MORGENS WATERFALL	040	CMA	SS	10,000	58.18	n/a	n/a	500.00	5.0
HARVEST MGMT	039	CMRG	B	25,000	11.43	n/a	n/a	1,250.00	5.0
NEUBERGER BERMAN	036	CNQ	B	15	64.75	n/a	n/a	0.75	5.0
COUGAR TRADING	044	COH	S	5,000	43.20	n/a	1-Aug	250.00	5.0
NEUBERGER BERMAN	036	CPLA	B	2,600	48.28	n/a	n/a	104.00	4.0
NEUBERGER BERMAN	036	CSCO	B	40	30.45	n/a	22-Mar	1.60	4.0
<b>BACKUS</b>	<b>005</b>	<b>CSCT</b>	<b>S</b>	<b>6,000</b>	<b>17.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CHILTON CAPITAL MGMT.	036	CSX	C	141,669	43.82	n/a	n/a	5,666.76	4.0
PATTEN & PATTEN	067	CVA	B	525	22.15	n/a	n/a	26.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IRIDIAN ASSET MGMT.	036	C	B	52,540	47.93	n/a	16-Aug	2,627.00	5.0
NEUBERGER BERMAN	036	C	B	10	48.50	n/a	16-Aug	0.50	5.0
NEUBERGER BERMAN	036	DHR	B	5	76.64	n/a	n/a	0.25	5.0
NEUBERGER BERMAN	036	DOX	B	15	35.00	n/a	n/a	0.75	5.0
PAW PARTNERS	033	DSW	B	30,000	33.07	2-Aug	10-Aug	1,500.00	5.0
NEUBERGER BERMAN	036	EMC	B	45	19.70	n/a	n/a	2.25	5.0
NEUBERGER BERMAN	036	EMR	B	10	46.67	n/a	n/a	0.50	5.0
NEUBERGER BERMAN	036	EOG	B	5	68.80	n/a	n/a	0.25	5.0
NEUBERGER BERMAN	036	ERIC	B	15	35.87	n/a	n/a	0.60	4.0
PATTEN & PATTEN	067	ERTS	B	100	51.87	n/a	n/a	5.00	5.0
<b>BACKUS</b>	<b>005</b>	<b>EVST</b>	<b>S</b>	<b>2,000</b>	<b>32.11</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SATELLITE ASSET MGMT	012	EV	SS	20,000	40.03	23-May	22-Aug	800.00	4.0
PATTEN & PATTEN	067	EWG	S	375	31.40	n/a	n/a	18.75	5.0
PATTEN & PATTEN	067	EWH	B	150	17.68	n/a	n/a	7.50	5.0
NEUBERGER BERMAN	036	EXC	B	10	71.80	n/a	n/a	0.50	5.0
<b>GRONET</b>	<b>030</b>	<b>EXH</b>	<b>S</b>	<b>400</b>	<b>77.70</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.	
NEUBERGER BERMAN	036	FCN	B	800	53.07	n/a	n/a	40.00	5.0
HARVEST MGMT	039	FRED	B	50,000	10.92	n/a	10-Aug	2,500.00	5.0
<b>BACKUS</b>	<b>005</b>	<b>GCO</b>	<b>S</b>	<b>1,000</b>	<b>51.70</b>	<b>n/a</b>	<b>10-Jan</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	GD	B	5	77.96	n/a	n/a	0.25	5.0
NEUBERGER BERMAN	036	GE	B	10	38.72	n/a	n/a	0.50	5.0
NEUBERGER BERMAN	036	GG	B	15	22.25	n/a	n/a	0.75	5.0
COLONIAL FUND LLC	036	GIII	B	10,000	15.19	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	GLW	B	450	23.52	n/a	21-Aug	22.50	5.0
ADAGE CAPITAL MGMT	030	GPS	B	34,500	17.58	n/a	10-Aug	1,380.00	4.0
ROTHSCHILD ASSET	040	GPS	B	130,490	17.69	n/a	10-Aug	5,872.05	4.5
MUHLENKAMP FUND	046	GT	B	208,762	29.31	n/a	n/a	10,438.10	5.0
COLONIAL FUND LLC	036	GYMB	B	25,000	41.51	10-Aug	21-Aug	1,250.00	5.0
SSI INVESTORS	048	GYMB	B	11,700	41.86	10-Aug	21-Aug	468.00	4.0
NEUBERGER BERMAN	036	HPQ	B	15	46.54	n/a	n/a	0.75	5.0
NEUBERGER BERMAN	036	IBM	B	5	110.09	n/a	n/a	0.25	5.0
<b>BACKUS</b>	<b>005</b>	<b>ICON</b>	<b>S</b>	<b>5,000</b>	<b>20.19</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.	
<b>KORMAN</b>	<b>003</b>	<b>IMBUC</b>	<b>S</b>	<b>100</b>	<b>1.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>IMBUV</b>	<b>S</b>	<b>100</b>	<b>0.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	INTC	B	35	24.05	n/a	n/a	1.40	4.0
NEUBERGER BERMAN	036	INTU	B	20	28.76	n/a	n/a	0.80	4.0
MILLENIUM PARTNERS	028	IP	SS	1,000	33.78	4-May	20-Aug	50.00	5.0
<b>BACKUS</b>	<b>005</b>	<b>ISE</b>	<b>S</b>	<b>1,000</b>	<b>66.09</b>	<b>30-Apr</b>	<b>16-Aug</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	ITT	B	10	63.07	n/a	27-Jul	0.50	5.0
PATTEN & PATTEN	067	ITT	B	50	64.19	n/a	27-Jul	2.50	5.0
COUGAR TRADING	044	JCG	S	5,000	49.30	22-Jun	6-Aug	250.00	5.0
NEUBERGER BERMAN	036	JCI	B	5	113.10	19-Jul	19-Jul	0.25	5.0
NEUBERGER BERMAN	036	JNJ	B	5	61.70	n/a	22-Apr	0.25	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>5,000</b>	<b>46.61</b>	<b>12-Jul</b>	<b>17-Aug</b>	<b>200.00</b>	<b>4.0</b>
NEUBERGER BERMAN	036	KFT	B	10	31.66	n/a	n/a	0.50	5.0
NEUBERGER BERMAN	036	KO	B	15	54.37	n/a	n/a	0.75	5.0
CAPITAL GROWTH MGMT.	241	KR	S	20,000	26.31	n/a	n/a	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>10,000</b>	<b>59.51</b>	<b>14-Jun</b>	<b>27-Jul</b>	<b>400.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	LLL	B	5	98.53	n/a	n/a	0.25	5.0
NEUBERGER BERMAN	036	MCD	B	15	48.93	24-Apr	24-Apr	0.75	5.0
CHARTER OAK	033	MDT	B	48,301	52.37	n/a	22-Apr	2,415.05	5.0
NEUBERGER BERMAN	036	MDT	B	15	52.40	n/a	22-Apr	0.75	5.0
PATTEN & PATTEN	067	MDT	S	75	52.57	n/a	22-Apr	3.75	5.0
<b>BARR</b>	<b>096</b>	<b>MENT</b>	<b>B</b>	<b>3,000</b>	<b>12.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	MHP	S	250	50.06	n/a	n/a	12.50	5.0
PATTEN & PATTEN	067	MMC	S	600	26.91	n/a	n/a	30.00	5.0
NEUBERGER BERMAN	036	MON	B	15	64.85	n/a	21-Aug	0.75	5.0
NEUBERGER BERMAN	036	MO	B	10	67.90	n/a	n/a	0.50	5.0
<b>AMATURO</b>	<b>018</b>	<b>MPXL</b>	<b>S</b>	<b>4,000</b>	<b>12.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	MSFT	B	30	28.20	n/a	3-Apr	1.20	4.0
PATTEN & PATTEN	067	MS	B	125	63.90	2-Jul	16-Aug	6.25	5.0
MILLENIUM PARTNERS	028	MWV	B	2,000	31.25	31-Jul	20-Aug	100.00	5.0
CHILTON CAPITAL MGMT.	036	MW	C	150,000	51.75	n/a	n/a	6,000.00	4.0
ROXBURY CAPITAL MGMT	035	MW	S	128,000	51.71	n/a	n/a	5,120.00	4.0
<b>MAGUIRE</b>	<b>090</b>	<b>MZZ</b>	<b>B</b>	<b>5,000</b>	<b>56.95</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.	
<b>BARR</b>	<b>096</b>	<b>MZZ</b>	<b>B</b>	<b>800</b>	<b>57.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>NCC</b>	<b>SS</b>	<b>1,000</b>	<b>27.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>NEXC</b>	<b>B</b>	<b>2,300</b>	<b>6.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	NKE	B	5	54.35	n/a	n/a	0.25	5.0
NEUBERGER BERMAN	036	NOV	B	5	112.99	n/a	n/a	0.25	5.0
COUGAR TRADING	044	NWY	S	30,000	7.54	25-May	10-Aug	1,500.00	5.0
NEUBERGER BERMAN	036	OEI	B	2,100	47.50	n/a	n/a	105.00	5.0
PATTEN & PATTEN	067	OIH	S	100	168.32	n/a	n/a	5.00	5.0
MERRILL ASSET	032	ONB	S	34,700	16.44	n/a	n/a	1,561.50	4.5
NEUBERGER BERMAN	036	OXY	B	5	54.98	n/a	n/a	0.25	5.0
STRONG/WELL HOWARD	038	PBG	S	35,000	34.88	n/a	n/a	1,400.00	4.0
NEUBERGER BERMAN	036	PBR	B	5	55.44	n/a	n/a	0.25	5.0
NEUBERGER BERMAN	036	PCP	B	5	132.04	n/a	n/a	0.25	5.0
<b>BARR</b>	<b>096</b>	<b>PDFS</b>	<b>B</b>	<b>1,000</b>	<b>9.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	PEP	B	10	68.63	n/a	n/a	0.50	5.0
NEUBERGER BERMAN	036	PG	B	15	64.99	n/a	3-Aug	0.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHARTER OAK	033	PRXI	B	35,546	15.01	n/a	n/a	1,777.30	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>92,900</b>	<b>53.13</b>	<b>13-Aug</b>	<b>13-Aug</b>	<b>3,716.00</b>	<b>4.0</b>
PATTEN & PATTEN	067	PWR	B	400	26.40	n/a	n/a	20.00	5.0
HIGHBRIDGE CAPITAL	038	RBC	SS	30,600	51.09	n/a	n/a	1,530.00	5.0
COUGAR TRADING	044	RL	S	5,000	78.73	9-Aug	9-Aug	250.00	5.0
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>ROST</b>	<b>B</b>	<b>150,000</b>	<b>27.26</b>	<b>n/a</b>	<b>n/a</b>	<b>7,500.00</b>	<b>5.0</b>
PATTEN & PATTEN	067	RSG	S	90	30.30	n/a	n/a	4.50	5.0
NEUBERGER BERMAN	036	SE	B	15	22.04	n/a	n/a	0.75	5.0
NEUBERGER BERMAN	036	SLB	B	10	90.57	n/a	n/a	0.50	5.0
CUMBERLAND	038	SLG	S	10,000	113.32	n/a	n/a	400.00	4.0
<b>MENCKE</b>	<b>055</b>	<b>SMSI</b>	<b>S</b>	<b>100</b>	<b>13.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GALLEON MGMT LP	033	SSCC	S	80,000	10.97	4-May	20-Aug	4,000.00	5.0
NEUBERGER BERMAN	036	STT	B	10	63.40	n/a	n/a	0.50	5.0
PATTEN & PATTEN	067	SWN	B	225	37.12	n/a	3-Aug	11.25	5.0
NEUBERGER BERMAN	036	TCK	B	17,900	42.49	n/a	n/a	716.00	4.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	TGT	B	10	61.36	n/a	27-Jul	0.50	5.0
WOOSTER CAPITAL	035	TGT	B	50,000	61.79	n/a	27-Jul	2,500.00	5.0
ASCEND PARTNERS	033	TJX	S	25,000	29.66	13-Jul	15-Aug	1,250.00	5.0
WESTLANE CAPITAL	044	TJX	S	10,000	29.93	13-Jul	15-Aug	500.00	5.0
NEUBERGER BERMAN	036	TMO	B	15	51.04	n/a	n/a	0.75	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TWB</b>	<b>B</b>	<b>20,000</b>	<b>28.15</b>	<b>2-Jul</b>	<b>16-Aug</b>	<b>800.00</b>	<b>4.0</b>
GOLD SACHS SPECIAL SIT	030	TWB	B	75,000	29.83	2-Jul	16-Aug	3,750.00	5.0
PATTEN & PATTEN	067	TWTC	B	150	21.43	4-May	16-Aug	7.50	5.0
NEUBERGER BERMAN	036	TWX	B	25	18.81	n/a	n/a	1.25	5.0
NEUBERGER BERMAN	036	TXN	B	25	33.99	n/a	n/a	1.25	5.0
NEUBERGER BERMAN	036	T	B	15	39.14	25-Jul	16-Aug	0.75	5.0
NEUBERGER BERMAN	036	UNH	B	10	49.00	n/a	n/a	0.50	5.0
NEUBERGER BERMAN	036	UTX	B	10	73.14	n/a	n/a	0.50	5.0
SAXON WOODS ADVISORS	038	UTX	S	10,000	73.20	n/a	n/a	500.00	5.0
<b>MENCKE</b>	<b>055</b>	<b>VIP</b>	<b>B</b>	<b>75</b>	<b>21.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAPITAL	038	VMC	B	3,000	90.25	n/a	n/a	150.00	5.0
MERRILL ASSET	032	WBS	S	20,400	43.56	n/a	n/a	1,020.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	WFR	B	10	60.40	n/a	n/a	0.50	5.0
NEUBERGER BERMAN	036	WLT	S	80,700	23.75	n/a	n/a	4,035.00	5.0
SUN AMERICA ASSET MGMT	030	WYE	B	56,200	46.02	n/a	31-Mar	2,810.00	5.0
PATTEN & PATTEN	067	XBI	S	490	54.27	n/a	n/a	24.50	5.0
SATELLITE ASSET MGMT	012	ZION	B	5,000	73.95	n/a	n/a	200.00	4.0
<b>BACKUS</b>	<b>005</b>	<b>ZQK</b>	<b>S</b>	<b>4,750</b>	<b>13.84</b>	<b>9-Mar</b>	<b>27-Jun</b>	<b>0.00</b>	<b>0.0</b>
HARVEST MGMT	039	ZUMZ	B	10,000	47.02	n/a	n/a	500.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>100,836.56</b>	

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	08/22	COUGAR TRADING (COUGPB MS)	044	ANF	SS	10,000	77.22	12-Jul	10-Aug	500.00 5.0
CRT	08/22	COUGAR TRADING (COUGPB MS)	044	ARO	SS	5,000	23.52	n/a	15-Aug	250.00 5.0
AO,CRT	08/13	EMP ERROR (EMP ERROR)	099	CROX	S	108	52.12	n/a	n/a	0.00 0.0
AO,CXL	08/13	OTC ERROR (OTC ERROR)	099	CROX	S	108	52.12	n/a	n/a	0.00 0.0
AO,	08/21	MANNING & NAPIER (MANNMJ5411)	034	CVC	S	400	32.87	8-Aug	16-Aug	16.00 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ6121)	034	CVC	S	990	32.87	8-Aug	16-Aug	39.60 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ6320)	034	CVC	S	190	32.87	8-Aug	16-Aug	7.60 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ1658)	034	CVC	S	240	32.87	8-Aug	16-Aug	9.60 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ6120)	034	CVC	S	2,460	32.87	8-Aug	16-Aug	98.40 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ6620)	034	CVC	S	80	32.87	8-Aug	16-Aug	3.20 4.0
AO,	08/21	MANNING & NAPIER (MANNCD1935)	034	CVC	S	840	32.87	8-Aug	16-Aug	33.60 4.0
AO,	08/21	MANNING & NAPIER (MANNGR4606)	034	CVC	S	410	32.87	8-Aug	16-Aug	16.40 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ6621)	034	CVC	S	3,240	32.87	8-Aug	16-Aug	129.60 4.0
AO,	08/21	MANNING & NAPIER (MANNGR8756)	034	CVC	S	790	32.87	8-Aug	16-Aug	31.60 4.0
AO,	08/21	MANNING & NAPIER (MANNGR4605)	034	CVC	S	450	32.87	8-Aug	16-Aug	18.00 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ8400)	034	CVC	S	120	32.87	8-Aug	16-Aug	4.80 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ7581)	034	CVC	S	190	32.87	8-Aug	16-Aug	7.60 4.0
AO,	08/21	MANNING & NAPIER (MANNGR6028)	034	CVC	S	580	32.87	8-Aug	16-Aug	23.20 4.0
AO,	08/21	MANNING & NAPIER (MANNJS0069)	034	CVC	S	2,300	32.87	8-Aug	16-Aug	92.00 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ8485)	034	CVC	S	490	32.87	8-Aug	16-Aug	19.60 4.0
AO,	08/21	MANNING & NAPIER (MANNCD1101)	034	CVC	S	310	32.87	8-Aug	16-Aug	12.40 4.0
AO,	08/21	MANNING & NAPIER (MANNJS0072)	034	CVC	S	350	32.87	8-Aug	16-Aug	14.00 4.0
AO,	08/21	MANNING & NAPIER (MANNGR4912)	034	CVC	S	1,230	32.87	8-Aug	16-Aug	49.20 4.0
AO,	08/21	MANNING & NAPIER (MANNCD1092)	034	CVC	S	4,000	32.87	8-Aug	16-Aug	160.00 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ0284)	034	CVC	S	920	32.87	8-Aug	16-Aug	36.80 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ7540)	034	CVC	S	1,080	32.87	8-Aug	16-Aug	43.20 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/21	MANNING & NAPIER (MANNCD1759)	034	CVC	S	1,820	32.87	8-Aug	16-Aug	72.80 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ3135)	034	CVC	S	380	32.87	8-Aug	16-Aug	15.20 4.0
AO,	08/21	MANNING & NAPIER (MANNGR9640)	034	CVC	S	1,320	32.87	8-Aug	16-Aug	52.80 4.0
AO,	08/21	MANNING & NAPIER (MANNMU2030)	034	CVC	S	99,884	32.87	8-Aug	16-Aug	3995.36 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ5142)	034	CVC	S	3,200	32.87	8-Aug	16-Aug	128.00 4.0
AO,	08/21	MANNING & NAPIER (MANNCD2657)	034	CVC	S	1,970	32.87	8-Aug	16-Aug	78.80 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ7512)	034	CVC	S	220	32.87	8-Aug	16-Aug	8.80 4.0
AO,	08/21	MANNING & NAPIER (MANNGR1104)	034	CVC	S	180	32.87	8-Aug	16-Aug	7.20 4.0
AO,	08/21	MANNING & NAPIER (MANNCD0364)	034	CVC	S	490	32.87	8-Aug	16-Aug	19.60 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ5629)	034	CVC	S	320	32.87	8-Aug	16-Aug	12.80 4.0
AO,	08/21	MANNING & NAPIER (MANNGR1103)	034	CVC	S	280	32.87	8-Aug	16-Aug	11.20 4.0
AO,	08/21	MANNING & NAPIER (MANNGR8785)	034	CVC	S	710	32.87	8-Aug	16-Aug	28.40 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ2886)	034	CVC	S	4,110	32.87	8-Aug	16-Aug	164.40 4.0
AO,	08/21	MANNING & NAPIER (MANNGR9862)	034	CVC	S	270	32.87	8-Aug	16-Aug	10.80 4.0
AO,	08/21	MANNING & NAPIER (MANNCD0363)	034	CVC	S	480	32.87	8-Aug	16-Aug	19.20 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ4514)	034	CVC	S	160	32.87	8-Aug	16-Aug	6.40 4.0
AO,	08/21	MANNING & NAPIER (MANNCD9905)	034	CVC	S	120	32.87	8-Aug	16-Aug	4.80 4.0
AO,	08/21	MANNING & NAPIER (MANNCD1009)	034	CVC	S	380	32.87	8-Aug	16-Aug	15.20 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ1348)	034	CVC	S	100	32.87	8-Aug	16-Aug	4.00 4.0
AO,	08/21	MANNING & NAPIER (MANNCD9906)	034	CVC	S	170	32.87	8-Aug	16-Aug	6.80 4.0
AO,	08/21	MANNING & NAPIER (MANNCD0501)	034	CVC	S	450	32.87	8-Aug	16-Aug	18.00 4.0
AO,	08/21	MANNING & NAPIER (MANNCD4322)	034	CVC	S	320	32.87	8-Aug	16-Aug	12.80 4.0
AO,	08/21	MANNING & NAPIER (MANNCD1081)	034	CVC	S	11,240	32.87	8-Aug	16-Aug	449.60 4.0
AO,	08/21	MANNING & NAPIER (MANNCD1311)	034	CVC	S	200	32.87	8-Aug	16-Aug	8.00 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ0241)	034	CVC	S	1,190	32.87	8-Aug	16-Aug	47.60 4.0
AO,	08/21	MANNING & NAPIER (MANNCD4321)	034	CVC	S	600	32.87	8-Aug	16-Aug	24.00 4.0
AO,	08/21	MANNING & NAPIER (MANNGR4780)	034	CVC	S	120	32.87	8-Aug	16-Aug	4.80 4.0
AO,	08/21	MANNING & NAPIER (MANNCD1310)	034	CVC	S	920	32.87	8-Aug	16-Aug	36.80 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ0242)	034	CVC	S	620	32.87	8-Aug	16-Aug	24.80 4.0
AO,	08/21	MANNING & NAPIER (MANNCD1795)	034	CVC	S	3,940	32.87	8-Aug	16-Aug	157.60 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/21	MANNING & NAPIER (MANNEQ8458)	034	CVC	S	70	32.87	8-Aug	16-Aug	2.80 4.0
AO,	08/21	MANNING & NAPIER (MANNCD0255)	034	CVC	S	90	32.87	8-Aug	16-Aug	3.60 4.0
AO,	08/21	MANNING & NAPIER (MANNCD1757)	034	CVC	S	400	32.87	8-Aug	16-Aug	16.00 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ3450)	034	CVC	S	500	32.87	8-Aug	16-Aug	20.00 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ2707)	034	CVC	S	120	32.87	8-Aug	16-Aug	4.80 4.0
AO,	08/21	MANNING & NAPIER (MANNCD0029)	034	CVC	S	490	32.87	8-Aug	16-Aug	19.60 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ0008)	034	CVC	S	350	32.87	8-Aug	16-Aug	14.00 4.0
AO,	08/21	MANNING & NAPIER (MANNGR5220)	034	CVC	S	12,870	32.87	8-Aug	16-Aug	514.80 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ2706)	034	CVC	S	80	32.87	8-Aug	16-Aug	3.20 4.0
AO,	08/21	MANNING & NAPIER (MANNCD9108)	034	CVC	S	410	32.87	8-Aug	16-Aug	16.40 4.0
AO,	08/21	MANNING & NAPIER (MANNGR6056)	034	CVC	S	860	32.87	8-Aug	16-Aug	34.40 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ0032)	034	CVC	S	580	32.87	8-Aug	16-Aug	23.20 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ2885)	034	CVC	S	1,030	32.87	8-Aug	16-Aug	41.20 4.0
AO,	08/21	MANNING & NAPIER (MANNGR6850)	034	CVC	S	1,530	32.87	8-Aug	16-Aug	61.20 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ8746)	034	CVC	S	500	32.87	8-Aug	16-Aug	20.00 4.0
AO,	08/21	MANNING & NAPIER (MANNGR9856)	034	CVC	S	3,890	32.87	8-Aug	16-Aug	155.60 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ1660)	034	CVC	S	430	32.87	8-Aug	16-Aug	17.20 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ8751)	034	CVC	S	1,020	32.87	8-Aug	16-Aug	40.80 4.0
AO,	08/21	MANNING & NAPIER (MANNGR6470)	034	CVC	S	1,290	32.87	8-Aug	16-Aug	51.60 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ1663)	034	CVC	S	320	32.87	8-Aug	16-Aug	12.80 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ2326)	034	CVC	S	110	32.87	8-Aug	16-Aug	4.40 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ4313)	034	CVC	S	670	32.87	8-Aug	16-Aug	26.80 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ4344)	034	CVC	S	540	32.87	8-Aug	16-Aug	21.60 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ2325)	034	CVC	S	320	32.87	8-Aug	16-Aug	12.80 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ4314)	034	CVC	S	570	32.87	8-Aug	16-Aug	22.80 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ4345)	034	CVC	S	2,130	32.87	8-Aug	16-Aug	85.20 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ3994)	034	CVC	S	8,590	32.87	8-Aug	16-Aug	343.60 4.0
AO,	08/21	MANNING & NAPIER (MANNGR1890)	034	CVC	S	920	32.87	8-Aug	16-Aug	36.80 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ5200)	034	CVC	S	150	32.87	8-Aug	16-Aug	6.00 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ1868)	034	CVC	S	200	32.87	8-Aug	16-Aug	8.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/21	MANNING & NAPIER (MANNGR3452)	034	CVC	S	240	32.87	8-Aug	16-Aug	9.60 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ7511)	034	CVC	S	460	32.87	8-Aug	16-Aug	18.40 4.0
AO,	08/21	MANNING & NAPIER (MANNGR7522)	034	CVC	S	1,490	32.87	8-Aug	16-Aug	59.60 4.0
AO,	08/21	MANNING & NAPIER (MANNGR1812)	034	CVC	S	220	32.87	8-Aug	16-Aug	8.80 4.0
AO,	08/21	MANNING & NAPIER (MANNGR4011)	034	CVC	S	290	32.87	8-Aug	16-Aug	11.60 4.0
AO,	08/21	MANNING & NAPIER (MANNGR7521)	034	CVC	S	390	32.87	8-Aug	16-Aug	15.60 4.0
AO,	08/21	MANNING & NAPIER (MANNCD1876)	034	CVC	S	920	32.87	8-Aug	16-Aug	36.80 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ8459)	034	CVC	S	130	32.87	8-Aug	16-Aug	5.20 4.0
AO,	08/21	MANNING & NAPIER (MANNGR4010)	034	CVC	S	310	32.87	8-Aug	16-Aug	12.40 4.0
AO,	08/21	MANNING & NAPIER (MANNGR7520)	034	CVC	S	340	32.87	8-Aug	16-Aug	13.60 4.0
AO,	08/21	MANNING & NAPIER (MANNCD3003)	034	CVC	S	230	32.87	8-Aug	16-Aug	9.20 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ8356)	034	CVC	S	290	32.87	8-Aug	16-Aug	11.60 4.0
AO,	08/21	MANNING & NAPIER (MANNCD3005)	034	CVC	S	560	32.87	8-Aug	16-Aug	22.40 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ5632)	034	CVC	S	180	32.87	8-Aug	16-Aug	7.20 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ7587)	034	CVC	S	250	32.87	8-Aug	16-Aug	10.00 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ3241)	034	CVC	S	860	32.87	8-Aug	16-Aug	34.40 4.0
AO,	08/21	MANNING & NAPIER (MANNCD3004)	034	CVC	S	80	32.87	8-Aug	16-Aug	3.20 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ5631)	034	CVC	S	560	32.87	8-Aug	16-Aug	22.40 4.0
AO,	08/21	MANNING & NAPIER (MANNGR0108)	034	CVC	S	840	32.87	8-Aug	16-Aug	33.60 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ8295)	034	CVC	S	1,290	32.87	8-Aug	16-Aug	51.60 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ5630)	034	CVC	S	1,010	32.87	8-Aug	16-Aug	40.40 4.0
AO,	08/21	MANNING & NAPIER (MANNGR1891)	034	CVC	S	130	32.87	8-Aug	16-Aug	5.20 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ7588)	034	CVC	S	470	32.87	8-Aug	16-Aug	18.80 4.0
AO,	08/21	MANNING & NAPIER (MANNGR9350)	034	CVC	S	900	32.87	8-Aug	16-Aug	36.00 4.0
AO,	08/21	MANNING & NAPIER (MANNJS1064)	034	CVC	S	830	32.87	8-Aug	16-Aug	33.20 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ8326)	034	CVC	S	170	32.87	8-Aug	16-Aug	6.80 4.0
AO,	08/21	MANNING & NAPIER (MANNGR5125)	034	CVC	S	970	32.87	8-Aug	16-Aug	38.80 4.0
AO,	08/21	MANNING & NAPIER (MANNJS1065)	034	CVC	S	210	32.87	8-Aug	16-Aug	8.40 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ7310)	034	CVC	S	130	32.87	8-Aug	16-Aug	5.20 4.0
AO,	08/21	MANNING & NAPIER (MANNGR2425)	034	CVC	S	210	32.87	8-Aug	16-Aug	8.40 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/21	MANNING & NAPIER (MANNJS1166)	034	CVC	S	210	32.87	8-Aug	16-Aug	8.40 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ1661)	034	CVC	S	240	32.87	8-Aug	16-Aug	9.60 4.0
AO,	08/21	MANNING & NAPIER (MANNGR7441)	034	CVC	S	160	32.87	8-Aug	16-Aug	6.40 4.0
AO,	08/21	MANNING & NAPIER (MANNJS2027)	034	CVC	S	210	32.87	8-Aug	16-Aug	8.40 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ1664)	034	CVC	S	400	32.87	8-Aug	16-Aug	16.00 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ7595)	034	CVC	S	910	32.87	8-Aug	16-Aug	36.40 4.0
AO,	08/21	MANNING & NAPIER (MANNJS3031)	034	CVC	S	210	32.87	8-Aug	16-Aug	8.40 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ1646)	034	CVC	S	70	32.87	8-Aug	16-Aug	2.80 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ6530)	034	CVC	S	90	32.87	8-Aug	16-Aug	3.60 4.0
AO,	08/21	MANNING & NAPIER (MANNJS5028)	034	CVC	S	1,240	32.87	8-Aug	16-Aug	49.60 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ7100)	034	CVC	S	130	32.87	8-Aug	16-Aug	5.20 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ4365)	034	CVC	S	200	32.87	8-Aug	16-Aug	8.00 4.0
AO,	08/21	MANNING & NAPIER (MANNJS5029)	034	CVC	S	830	32.87	8-Aug	16-Aug	33.20 4.0
AO,	08/21	MANNING & NAPIER (MANNGR1781)	034	CVC	S	810	32.87	8-Aug	16-Aug	32.40 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ3865)	034	CVC	S	750	32.87	8-Aug	16-Aug	30.00 4.0
AO,	08/21	MANNING & NAPIER (MANNJS5031)	034	CVC	S	420	32.87	8-Aug	16-Aug	16.80 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ1890)	034	CVC	S	2,170	32.87	8-Aug	16-Aug	86.80 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ2501)	034	CVC	S	550	32.87	8-Aug	16-Aug	22.00 4.0
AO,	08/21	MANNING & NAPIER (MANNJS5032)	034	CVC	S	420	32.87	8-Aug	16-Aug	16.80 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ0004)	034	CVC	S	1,330	32.87	8-Aug	16-Aug	53.20 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ2190)	034	CVC	S	290	32.87	8-Aug	16-Aug	11.60 4.0
AO,	08/21	MANNING & NAPIER (MANNGR1009)	034	CVC	S	340	32.87	8-Aug	16-Aug	13.60 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ1120)	034	CVC	S	790	32.87	8-Aug	16-Aug	31.60 4.0
AO,	08/21	MANNING & NAPIER (MANNJS5033)	034	CVC	S	420	32.87	8-Aug	16-Aug	16.80 4.0
AO,	08/21	MANNING & NAPIER (MANNJS0145)	034	CVC	S	490	32.87	8-Aug	16-Aug	19.60 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ0234)	034	CVC	S	5,620	32.87	8-Aug	16-Aug	224.80 4.0
AO,	08/21	MANNING & NAPIER (MANNJS5314)	034	CVC	S	60	32.87	8-Aug	16-Aug	2.40 4.0
AO,	08/21	MANNING & NAPIER (MANNJS0140)	034	CVC	S	210	32.87	8-Aug	16-Aug	8.40 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ6184)	034	CVC	S	370	32.87	8-Aug	16-Aug	14.80 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ1652)	034	CVC	S	170	32.87	8-Aug	16-Aug	6.80 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/21	MANNING & NAPIER (MANNJS0045)	034	CVC	S	520	32.87	8-Aug	16-Aug	20.80 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ3240)	034	CVC	S	1,000	32.87	8-Aug	16-Aug	40.00 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ2710)	034	CVC	S	6,920	32.87	8-Aug	16-Aug	276.80 4.0
AO,	08/21	MANNING & NAPIER (MANNJS0040)	034	CVC	S	290	32.87	8-Aug	16-Aug	11.60 4.0
AO,	08/21	MANNING & NAPIER (MANNCD7128)	034	CVC	S	3,000	32.87	8-Aug	16-Aug	120.00 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ2711)	034	CVC	S	1,150	32.87	8-Aug	16-Aug	46.00 4.0
AO,	08/21	MANNING & NAPIER (MANNCD9650)	034	CVC	S	7,460	32.87	8-Aug	16-Aug	298.40 4.0
AO,	08/21	MANNING & NAPIER (MANNCD4561)	034	CVC	S	300	32.87	8-Aug	16-Aug	12.00 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ2714)	034	CVC	S	80	32.87	8-Aug	16-Aug	3.20 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ4315)	034	CVC	S	270	32.87	8-Aug	16-Aug	10.80 4.0
AO,	08/21	MANNING & NAPIER (MANNCD2233)	034	CVC	S	2,060	32.87	8-Aug	16-Aug	82.40 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ2718)	034	CVC	S	90	32.87	8-Aug	16-Aug	3.60 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ4547)	034	CVC	S	480	32.87	8-Aug	16-Aug	19.20 4.0
AO,	08/21	MANNING & NAPIER (MANNCD1323)	034	CVC	S	3,740	32.87	8-Aug	16-Aug	149.60 4.0
AO,	08/21	MANNING & NAPIER (MANNCD0493)	034	CVC	S	1,100	32.87	8-Aug	16-Aug	44.00 4.0
AO,	08/21	MANNING & NAPIER (MANNJS8913)	034	CVC	S	3,030	32.87	8-Aug	16-Aug	121.20 4.0
AO,	08/21	MANNING & NAPIER (MANNCD2656)	034	CVC	S	2,656	32.87	8-Aug	16-Aug	106.24 4.0
AO,	08/21	MANNING & NAPIER (MANN1325)	034	CVC	S	4,270	32.87	8-Aug	16-Aug	170.80 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ3019)	034	CVC	S	290	32.87	8-Aug	16-Aug	11.60 4.0
AO,	08/21	MANNING & NAPIER (MANNGR8301)	034	CVC	S	300	32.87	8-Aug	16-Aug	12.00 4.0
AO,	08/21	MANNING & NAPIER (MANNCD1787)	034	CVC	S	820	32.87	8-Aug	16-Aug	32.80 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ1668)	034	CVC	S	920	32.87	8-Aug	16-Aug	36.80 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ7580)	034	CVC	S	520	32.87	8-Aug	16-Aug	20.80 4.0
AO,	08/21	MANNING & NAPIER (MANNCD1838)	034	CVC	S	150	32.87	8-Aug	16-Aug	6.00 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ1662)	034	CVC	S	850	32.87	8-Aug	16-Aug	34.00 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ1650)	034	CVC	S	460	32.87	8-Aug	16-Aug	18.40 4.0
AO,	08/21	MANNING & NAPIER (MANNCD2306)	034	CVC	S	180	32.87	8-Aug	16-Aug	7.20 4.0
AO,	08/21	MANNING & NAPIER (MANNGR0014)	034	CVC	S	160	32.87	8-Aug	16-Aug	6.40 4.0
AO,	08/21	MANNING & NAPIER (MANNCD6715)	034	CVC	S	210	32.87	8-Aug	16-Aug	8.40 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ7586)	034	CVC	S	390	32.87	8-Aug	16-Aug	15.60 4.0



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/21	MANNING & NAPIER (MANNGR0028)	034	CVC	S	140	32.87	8-Aug	16-Aug	5.60 4.0
AO,	08/21	MANNING & NAPIER (MANNCD1113)	034	CVC	S	500	32.87	8-Aug	16-Aug	20.00 4.0
AO,	08/21	MANNING & NAPIER (MANNGR1039)	034	CVC	S	2,310	32.87	8-Aug	16-Aug	92.40 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ0024)	034	CVC	S	410	32.87	8-Aug	16-Aug	16.40 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ1860)	034	CVC	S	810	32.87	8-Aug	16-Aug	32.40 4.0
AO,	08/21	MANNING & NAPIER (MANNCD1776)	034	CVC	S	160	32.87	8-Aug	16-Aug	6.40 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ0405)	034	CVC	S	12,650	32.87	8-Aug	16-Aug	506.00 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ5201)	034	CVC	S	160	32.87	8-Aug	16-Aug	6.40 4.0
AO,	08/21	MANNING & NAPIER (MANNCD0017)	034	CVC	S	270	32.87	8-Aug	16-Aug	10.80 4.0
AO,	08/21	MANNING & NAPIER (MANNGR7326)	034	CVC	S	810	32.87	8-Aug	16-Aug	32.40 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ4762)	034	CVC	S	880	32.87	8-Aug	16-Aug	35.20 4.0
AO,	08/21	MANNING & NAPIER (MANNJS1300)	034	CVC	S	410	32.87	8-Aug	16-Aug	16.40 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ3145)	034	CVC	S	2,280	32.87	8-Aug	16-Aug	91.20 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ4765)	034	CVC	S	820	32.87	8-Aug	16-Aug	32.80 4.0
AO,	08/21	MANNING & NAPIER (MANNGR5219)	034	CVC	S	2,960	32.87	8-Aug	16-Aug	118.40 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ5410)	034	CVC	S	920	32.87	8-Aug	16-Aug	36.80 4.0
AO,	08/21	MANNING & NAPIER (MANNGR6010)	034	CVC	S	620	32.87	8-Aug	16-Aug	24.80 4.0
AO,	08/21	MANNING & NAPIER (MANNCD0016)	034	CVC	S	160	32.87	8-Aug	16-Aug	6.40 4.0
AO,	08/21	MANNING & NAPIER (MANNGR7523)	034	CVC	S	330	32.87	8-Aug	16-Aug	13.20 4.0
AO,	08/21	MANNING & NAPIER (MANNCD1206)	034	CVC	S	1,480	32.87	8-Aug	16-Aug	59.20 4.0
AO,	08/21	MANNING & NAPIER (MANNCD4633)	034	CVC	S	950	32.87	8-Aug	16-Aug	38.00 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ1648)	034	CVC	S	490	32.87	8-Aug	16-Aug	19.60 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ5104)	034	CVC	S	480	32.87	8-Aug	16-Aug	19.20 4.0
AO,	08/21	MANNING & NAPIER (MANNCD9109)	034	CVC	S	130	32.87	8-Aug	16-Aug	5.20 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ1649)	034	CVC	S	460	32.87	8-Aug	16-Aug	18.40 4.0
AO,	08/21	MANNING & NAPIER (MANNMJ5103)	034	CVC	S	730	32.87	8-Aug	16-Aug	29.20 4.0
AO,	08/21	MANNING & NAPIER (MANNEQ2437)	034	CVC	S	90	32.87	8-Aug	16-Aug	3.60 4.0
AO,CRT	08/14	EMP ERROR (EMP ERROR)	099	JADE	B	2,500	6.83	n/a	n/a	0.00 0.0
AO,CXL	08/14	OTC ERROR (OTC ERROR)	099	JADE	B	2,500	6.83	n/a	n/a	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	08/15	OTC ERROR (OTC ERROR)	099	JADE	S	2,500	6.46	n/a	n/a	0.00	0.0
AO,CRT	08/15	OTC ERROR (OTC ERROR)	099	JADE	S	2,500	6.46	n/a	n/a	0.00	0.0
AO,	08/21	ROTHSCHILD ASSET (ROTH500110)	040	LYV	B	600	20.64	n/a	n/a	27.00	4.5
AO,	08/21	ROTHSCHILD ASSET (ROTH500100)	040	LYV	B	110	20.64	n/a	n/a	4.95	4.5
AO,	08/21	ROTHSCHILD ASSET (ROTH344)	040	LYV	B	260	20.64	n/a	n/a	11.70	4.5
AO,	08/21	ROTHSCHILD ASSET (ROTH000331)	040	LYV	B	420	20.64	n/a	n/a	18.90	4.5
AO,	08/21	ROTHSCHILD ASSET (ROTH347)	040	LYV	B	30	20.64	n/a	n/a	1.35	4.5
AO,	08/21	ROTHSCHILD ASSET (ROTH346)	040	LYV	B	130	20.64	n/a	n/a	5.85	4.5
AO,	08/21	ROTHSCHILD ASSET (ROTH309)	040	LYV	B	2,090	20.64	n/a	n/a	94.05	4.5
AO,	08/21	ROTHSCHILD ASSET (ROTH306)	040	LYV	B	390	20.64	n/a	n/a	17.55	4.5
AO,	08/21	ROTHSCHILD ASSET (ROTH396)	040	LYV	B	2,870	20.64	n/a	n/a	129.15	4.5
AO,	08/21	ROTHSCHILD ASSET (ROTH304)	040	LYV	B	1,000	20.64	n/a	n/a	45.00	4.5
AO,CXL	08/21	BALYASNY ASSET MGMT (BALY)	044	NWY	S	20,000	7.39	25-May	10-Aug	1000.00	5.0
AO,CRT	08/21	BALYASNY ASSET MGMT (BALY)	044	NWY	S	20,000	7.39	25-May	10-Aug	800.00	4.0
AO,	08/21	US BANCORP (USBCALFASM)	030	NWY	S	3,691	7.42	25-May	10-Aug	184.55	5.0
AO,	08/21	US BANCORP (USBCSTPELP)	030	NWY	S	3,077	7.42	25-May	10-Aug	153.85	5.0
AO,	08/21	US BANCORP (USBCSTPELS)	030	NWY	S	2,097	7.42	25-May	10-Aug	104.85	5.0
AO,	08/21	US BANCORP (USBCBURROU)	030	NWY	S	21,778	7.42	25-May	10-Aug	1088.90	5.0
AO,	08/21	US BANCORP (USBCFRMPX)	030	NWY	S	151,426	7.42	25-May	10-Aug	7571.30	5.0
AO,	08/21	US BANCORP (USBCSIMS)	030	NWY	S	5,731	7.42	25-May	10-Aug	286.55	5.0
AO,CXL	08/21	ACT II PARTNERS (ACT2-GOLDM)	067	TWTC	B	20,000	20.64	4-May	16-Aug	1000.00	5.0
AO,CXL	08/21	ACT II PARTNERS (ACT2-GOLDM)	067	TWTC	B	20,000	20.64	4-May	16-Aug	1000.00	5.0
AO,CRT	08/21	ACT II PARTNERS (ACT2-GOLDM)	067	TWTC	B	20,000	20.64	4-May	16-Aug	1000.00	5.0
AO,	08/06	MKT MAKER (MKT MAKER)	099	URBN	S	55	20.89	31-Jul	10-Aug	0.00	0.0
AO,CXL	08/06	OTC ERROR (OTC ERROR)	099	URBN	S	20,455	20.89	31-Jul	10-Aug	0.00	0.0
AO,	08/06	OTC ERROR (OTC ERROR)	099	URBN	S	20,400	20.89	31-Jul	10-Aug	0.00	0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
<b>TOTAL (AO, CXL, CRT) :</b>									<b>21,695.50</b>
TOTAL (Trade Date) :									100,836.56
TOTAL (AO, CXL, CRT) :									21,695.50
<b>TOTAL (RUN DATE) / NFS :</b>									<b>122,532.06</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