



Daily Compliance Activity Report

Trade Date: 12/18/2006

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------|------|--------|-----|---------|--------|--------|----------|--------------|-----|
| PATTEN & PATTEN | 067 | ACL | B | 300 | 111.88 | 25-Jul | 18-Dec | 15.00 | 5.0 |
| WHITE PINE CAPITAL | 030 | AGO | S | 75 | 26.44 | n/a | n/a | 3.75 | 5.0 |
| WHITE PINE CAPITAL | 030 | AGU | S | 900 | 29.76 | n/a | n/a | 45.00 | 5.0 |
| WHITE PINE CAPITAL | 030 | AIN | S | 275 | 33.10 | n/a | n/a | 13.75 | 5.0 |
| Ö Glenn Redemann | | AKAM | B | 5 | 0.28 | n/a | n/a | 0.00 | 0.0 |
| Ö Glenn Redemann | | AKAM | B | 5 | 0.34 | n/a | n/a | 0.00 | 0.0 |
| Ö Glenn Redemann | | AKAM | S | 5 | 0.86 | n/a | n/a | 0.00 | 0.0 |
| Ö Glenn Redemann | | AKAM | S | 5 | 1.01 | n/a | n/a | 0.00 | 0.0 |
| SEASONS CAPITAL | 040 | AMAT | SS | 100,000 | 18.33 | n/a | n/a | 5,000.00 | 5.0 |
| ARTISAN PARTNERS LP | 031 | AMD | B | 200,000 | 21.89 | n/a | n/a | 10,000.00 | 5.0 |
| J L F ASSET MGMT | 039 | ANF | SS | 43,400 | 68.64 | 3-Nov | 1-Dec | 1,736.00 | 4.0 |
| FARBER/WEISS PECK | 012 | ANN | SS | 8,500 | 33.70 | n/a | 1-Dec | 425.00 | 5.0 |
| CAXTON PART | 040 | AOC | S | 70,000 | 36.10 | n/a | n/a | 2,800.00 | 4.0 |
| NWQ INVESTMENT MGMT CO | 048 | APA | B | 10,000 | 66.95 | 7-Aug | 8-Dec | 400.00 | 4.0 |
| BACKUS | 005 | APC | S | 2,000 | 43.95 | 1-Sep | 13-Dec | 0.00 | 0.0 |
| SCHEINER | 037 | APC | S | 750 | 44.03 | 1-Sep | 13-Dec | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------------|-------------|-----------|--------------|--------------|---------------|---------------|--------------|------------|
| COUGAR TRADING | 044 | ARO | S | 10,000 | 30.87 | 23-Oct | 1-Dec | 500.00 | 5.0 |
| FARBER/WEISS PECK | 012 | ARO | SS | 30,000 | 31.02 | 23-Oct | 1-Dec | 1,500.00 | 5.0 |
| J L F ASSET MGMT | 039 | ARO | S | 63,300 | 31.22 | 23-Oct | 1-Dec | 2,532.00 | 4.0 |
| RIDGECRST PARTNERS | 035 | ATHR | SS | 5,000 | 21.55 | n/a | n/a | 250.00 | 5.0 |
| PATTEN & PATTEN | 067 | BBH | S | 500 | 186.37 | n/a | n/a | 25.00 | 5.0 |
| Ö Glenn Redemann | | BEP | B | 2000 | 18.27 | n/a | n/a | 0.00 | 0.0 |
| SAILFISH | 037 | BID | B | 10,000 | 32.15 | n/a | n/a | 500.00 | 5.0 |
| ROYCE TRADING | 216 | BKE | S | 2,200 | 52.54 | n/a | n/a | 110.00 | 5.0 |
| WHITE PINE CAPITAL | 030 | BONT | S | 350 | 34.35 | 23-Oct | 1-Dec | 17.50 | 5.0 |
| WOOSTER CAPITAL | 035 | BONT | B | 25,000 | 34.14 | 23-Oct | 1-Dec | 1,250.00 | 5.0 |
| LEDDY | 035 | BONT | B | 1,000 | 34.93 | 23-Oct | 1-Dec | 0.00 | 0.0 |
| XYLEM GLOBAL | 024 | BOW | B | 48,300 | 22.37 | 27-Oct | 14-Dec | 2,415.00 | 5.0 |
| WHITE PINE CAPITAL | 030 | BRL | S | 175 | 51.62 | 15-Aug | 18-Dec | 8.75 | 5.0 |
| WILLIAM BLAIR | 031 | BSX | S | 1,500 | 16.16 | n/a | 22-Apr | 60.00 | 4.0 |
| REINHART & MAHONEY | 031 | BWA | B | 7,655 | 57.39 | n/a | n/a | 355.62 | 4.7 |
| NWQ INVESTMENT MGMT CO | 048 | CA | B | 35,000 | 22.75 | n/a | n/a | 1,400.00 | 4.0 |
| SINCLAIR | 031 | CBK | SS | 500 | 18.37 | 11-Dec | 11-Dec | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|----------|---------------|--------------|--------------|--------------|-----------------|------------|
| NWQ INVESTMENT MGMT CO | 048 | CCU | B | 10,000 | 35.54 | n/a | n/a | 400.00 | 4.0 |
| TRIVIUM CAP MGMT | 028 | CC | C | 50,000 | 22.88 | n/a | 8-Dec | 2,000.00 | 4.0 |
| NWQ INVESTMENT MGMT CO | 048 | CFC | B | 10,000 | 41.62 | n/a | n/a | 400.00 | 4.0 |
| GRANAHAN INV | 039 | CHRS | B | 100,000 | 14.10 | n/a | 16-Nov | 4,000.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | COH | B | 90,000 | 42.60 | 7-Dec | 7-Dec | 3,600.00 | 4.0 |
| THE BOSTON COMPANY | 214 | COH | S | 21,000 | 43.29 | 7-Dec | 7-Dec | 1,050.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | CRI | B | 40,000 | 26.73 | n/a | n/a | 1,600.00 | 4.0 |
| WHITE PINE CAPITAL | 030 | CSE | S | 521 | 27.86 | n/a | n/a | 26.05 | 5.0 |
| SCHWARZWAL | N18 | CXTI | B | 2,000 | 4.90 | n/a | n/a | 0.00 | 0.0 |
| WHITE PINE CAPITAL | 030 | CYN | S | 175 | 69.23 | n/a | n/a | 8.75 | 5.0 |
| WHITE PINE CAPITAL | 030 | DRC | S | 300 | 25.21 | n/a | n/a | 15.00 | 5.0 |
| WILLIAM BLAIR | 031 | ECA | S | 28,400 | 47.55 | n/a | n/a | 1,136.00 | 4.0 |
| WILLIAM BLAIR | 031 | ERTS | B | 2,500 | 53.70 | n/a | n/a | 100.00 | 4.0 |
| BACKUS | 005 | EVST | S | 1,000 | 18.40 | n/a | n/a | 0.00 | 0.0 |
| WHITE PINE CAPITAL | 030 | FAF | S | 500 | 41.22 | n/a | n/a | 25.00 | 5.0 |
| BENNETT LAWRENCE | 044 | FAST | S | 2,100 | 35.28 | n/a | n/a | 105.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------|------------|------------|----------|--------------|--------------|------------|---------------|-------------|------------|
| WILLIAM BLAIR | 031 | FAST | B | 21,650 | 35.50 | n/a | n/a | 866.00 | 4.0 |
| WHITE PINE CAPITAL | 030 | FLEX | S | 2,798 | 11.86 | n/a | n/a | 139.90 | 5.0 |
| EGS ASSOCIATES LP | 059 | FL | S | 3,500 | 22.30 | n/a | 7-Dec | 210.00 | 6.0 |
| EIDELMAN,FINGER & CO | 046 | FRED | B | 10,000 | 12.11 | 30-Nov | 1-Dec | 500.00 | 5.0 |
| PATTEN & PATTEN | 067 | GE | B | 200 | 37.98 | n/a | n/a | 10.00 | 5.0 |
| WHITE PINE CAPITAL | 030 | GGG | S | 175 | 40.26 | n/a | n/a | 8.75 | 5.0 |
| WILLIAM BLAIR | 031 | GILD | B | 11,600 | 64.56 | n/a | n/a | 464.00 | 4.0 |
| WHITE PINE CAPITAL | 030 | GLBL | S | 625 | 13.92 | n/a | n/a | 31.25 | 5.0 |
| BARR | 096 | GLD | S | 200 | 61.04 | n/a | n/a | 0.00 | 0.0 |
| PATTEN & PATTEN | 067 | GLW | B | 1,800 | 19.80 | n/a | 18-Dec | 90.00 | 5.0 |
| SCHEINER | 037 | GLW | S | 3,700 | 19.53 | n/a | 18-Dec | 0.00 | 0.0 |
| WHITE PINE CAPITAL | 030 | GMRK | S | 1,375 | 38.06 | n/a | n/a | 68.75 | 5.0 |
| FRIESS MGMT | 042 | GRP | B | 244,400 | 42.10 | n/a | n/a | 10,998.00 | 4.5 |
| WHITE PINE CAPITAL | 030 | GTRC | S | 475 | 44.72 | n/a | n/a | 23.75 | 5.0 |
| STRAUSS ASSET MGMT | 040 | GW | B | 25,000 | 7.28 | n/a | n/a | 1,000.00 | 4.0 |
| RIDGECRST PARTNERS | 035 | GYMB | SS | 5,000 | 37.64 | 1-Dec | 1-Dec | 250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| RIDGECRST PARTNERS | 035 | HET | B | 5,000 | 82.27 | 3-Oct | 26-Oct | 250.00 | 5.0 |
| J L F ASSET MGMT | 039 | HIBB | S | 38,038 | 31.28 | n/a | n/a | 1,521.52 | 4.0 |
| WHITE PINE CAPITAL | 030 | HMX | S | 1,850 | 6.99 | n/a | n/a | 92.50 | 5.0 |
| HIGHBRIDGE CAPITAL | 038 | HOT | SS | 15,000 | 63.04 | n/a | n/a | 750.00 | 5.0 |
| MAZAMA CAPITAL MGMT. | 035 | HPY | S | 1,500 | 29.12 | n/a | n/a | 60.00 | 4.0 |
| PATTEN & PATTEN | 067 | IAR | S | 15 | 27.22 | n/a | n/a | 0.75 | 5.0 |
| WHITE PINE CAPITAL | 030 | IFF | S | 650 | 48.68 | 10-Nov | 22-Nov | 32.50 | 5.0 |
| WHITE PINE CAPITAL | 030 | IO | S | 850 | 13.06 | n/a | n/a | 42.50 | 5.0 |
| XYLEM GLOBAL | 024 | IP | SS | 50,000 | 34.26 | n/a | 14-Dec | 2,500.00 | 5.0 |
| WILLIAM BLAIR | 031 | IRM | S | 30,000 | 41.48 | n/a | n/a | 1,200.00 | 4.0 |
| NWQ INVESTMENT MGMT CO | 048 | IR | B | 25,000 | 39.35 | n/a | n/a | 1,000.00 | 4.0 |
| RIVER RUN MGMT | 031 | ITCD | B | 23,800 | 2.59 | n/a | n/a | 0.00 | 0.0 |
| WHITE PINE CAPITAL | 030 | JCS | S | 1,600 | 9.96 | n/a | n/a | 80.00 | 5.0 |
| MAZAMA CAPITAL MGMT. | 035 | KNL | S | 5,600 | 20.36 | n/a | n/a | 224.00 | 4.0 |
| GENERAL ELECTIC CO | 033 | KO | S | 100,000 | 48.96 | n/a | n/a | 4,500.08 | 4.5 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|--------------|--------------|---------------|------------|
| CUMBERLAND | 038 | KSS | B | 56,500 | 71.75 | 10-Nov | 1-Dec | 2,260.00 | 4.0 |
| MAGNETAR FINANCIAL | 247 | KWK | B | 92,000 | 38.80 | n/a | n/a | 3,680.00 | 4.0 |
| BENNETT LAWRENCE | 044 | LIFC | S | 2,200 | 21.70 | n/a | n/a | 110.00 | 5.0 |
| BENNETT LAWRENCE | 044 | MDRX | B | 36,450 | 28.00 | n/a | n/a | 1,822.50 | 5.0 |
| PATTEN & PATTEN | 067 | MDT | S | 1,750 | 54.10 | n/a | 22-Apr | 87.50 | 5.0 |
| MAZAMA CAPITAL MGMT. | 035 | MTZ | S | 5,400 | 11.68 | n/a | n/a | 216.00 | 4.0 |
| J L F ASSET MGMT | 039 | MW | SS | 26,500 | 37.74 | n/a | n/a | 1,060.00 | 4.0 |
| REICH AND TANG | 037 | NAV | S | 85,000 | 31.80 | n/a | n/a | 4,250.00 | 5.0 |
| WHITE PINE CAPITAL | 030 | NBL | S | 300 | 50.54 | n/a | n/a | 15.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | NDN | S | 20,000 | 12.24 | n/a | 1-Dec | 800.00 | 4.0 |
| PATTEN & PATTEN | 067 | NEM | B | 2,200 | 47.20 | n/a | n/a | 110.00 | 5.0 |
| WASHINGTON ASSET | 048 | NKTR | S | 25,000 | 16.16 | n/a | n/a | 1,250.00 | 5.0 |
| PATTEN & PATTEN | 067 | NOK | S | 2,800 | 20.50 | n/a | n/a | 140.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | NWY | S | 10,000 | 13.94 | 1-Dec | 1-Dec | 400.00 | 4.0 |
| Õ Glenn Redemann | | NYX | B | 6 | 0.91 | n/a | n/a | 0.00 | 0.0 |

| | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---|--------------------|------|--------|-----|--------|-------|--------|----------|-------------|-----|
| Õ | Glenn Redemann | | NYX | B | 6 | 1.01 | n/a | n/a | 0.00 | 0.0 |
| Õ | Glenn Redemann | | NYX | S | 6 | 1.56 | n/a | n/a | 0.00 | 0.0 |
| Õ | Glenn Redemann | | NYX | S | 6 | 1.96 | n/a | n/a | 0.00 | 0.0 |
| | WHITE PINE CAPITAL | 030 | OLN | S | 850 | 16.81 | n/a | 27-Oct | 42.50 | 5.0 |
| | BUCK CAPITAL MGMT | 001 | OXM | B | 5,000 | 49.70 | n/a | n/a | 200.00 | 4.0 |
| | LUCHANSKY4 | 036 | PCL | B | 200 | 38.29 | 24-Oct | 14-Dec | 0.00 | 0.0 |
| | WHITE PINE CAPITAL | 030 | PERY | S | 350 | 42.22 | n/a | n/a | 17.50 | 5.0 |
| | WILLIAM BLAIR | 031 | PETM | B | 2,300 | 29.87 | n/a | n/a | 92.00 | 4.0 |
| | PATTEN & PATTEN | 067 | PHO | B | 800 | 18.51 | n/a | n/a | 40.00 | 5.0 |
| | BENNETT LAWRENCE | 044 | PLCM | B | 1,050 | 31.01 | n/a | 22-Mar | 52.50 | 5.0 |
| | REINHART & MAHONEY | 031 | PPDI | B | 31,185 | 32.55 | n/a | n/a | 1,559.25 | 5.0 |
| | WILLIAM BLAIR | 031 | PPDI | B | 12,400 | 32.55 | n/a | n/a | 496.00 | 4.0 |
| | CARDINAL CAPITAL | 044 | PSS | B | 21,700 | 32.73 | n/a | n/a | 1,085.00 | 5.0 |
| | BUCK CAPITAL MGMT | 001 | PVH | B | 60,000 | 51.30 | 22-Nov | 22-Nov | 2,400.00 | 4.0 |
| | COLUMBIA PARTNERS | 028 | PVH | B | 26,871 | 51.65 | 22-Nov | 22-Nov | 1,074.84 | 4.0 |
| | WILLIAM BLAIR | 031 | PX | S | 22,000 | 62.10 | n/a | 25-Oct | 880.00 | 4.0 |
| | WHITE PINE CAPITAL | 030 | RAH | S | 600 | 50.61 | n/a | n/a | 30.00 | 5.0 |
| | WHITE PINE CAPITAL | 030 | RCKY | S | 500 | 17.29 | n/a | n/a | 25.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|----------|---------------|--------------|---------------|--------------|-----------------|------------|
| PATTEN & PATTEN | 067 | RF | S | 637 | 37.26 | n/a | n/a | 31.85 | 5.0 |
| BUCK CAPITAL MGMT | 001 | RL | B | 75,000 | 77.80 | 7-Dec | 7-Dec | 3,000.00 | 4.0 |
| WHITE PINE CAPITAL | 030 | ROP | S | 450 | 50.73 | n/a | n/a | 22.50 | 5.0 |
| J L F ASSET MGMT | 039 | RSH | SS | 86,800 | 17.16 | n/a | n/a | 3,472.00 | 4.0 |
| WHITE PINE CAPITAL | 030 | RVI | S | 875 | 19.09 | n/a | n/a | 43.75 | 5.0 |
| BACKUS | 005 | RVI | S | 1,000 | 19.05 | n/a | n/a | 0.00 | 0.0 |
| WILLIAM BLAIR | 031 | SCHW | B | 53,650 | 19.23 | n/a | n/a | 2,146.00 | 4.0 |
| J L F ASSET MGMT | 039 | SCSS | SS | 57,500 | 17.29 | n/a | n/a | 2,300.00 | 4.0 |
| MFP INVESTORS | 032 | SKS | S | 20,000 | 18.00 | n/a | n/a | 1,000.00 | 5.0 |
| WHITE PINE CAPITAL | 030 | SM | S | 875 | 37.38 | n/a | n/a | 43.75 | 5.0 |
| PALMYRA CAPITAL | 048 | S | S | 147,000 | 19.21 | n/a | n/a | 7,350.00 | 5.0 |
| WHITE PINE CAPITAL | 030 | TCB | S | 1,000 | 26.99 | n/a | n/a | 50.00 | 5.0 |
| IRONBOUND CAPITAL | 012 | TIN | B | 82,400 | 44.99 | n/a | 15-Dec | 4,120.00 | 5.0 |
| BACKUS | 005 | TRI | S | 1,000 | 40.79 | 17-Oct | 1-Dec | 0.00 | 0.0 |
| SAB CAPITAL | 034 | TRLG | B | 51,800 | 15.51 | n/a | n/a | 2,590.00 | 5.0 |
| MKT MAKER | 099 | TRLG | B | 14 | 15.51 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------------|--------------|----------|------------|--------------|------------|------------|--------------|------------|
| WHITE PINE CAPITAL | 030 | TUNE | S | 3,400 | 4.70 | n/a | n/a | 136.00 | 4.0 |
| GASNER | 025 | UADMI | S | 4 | 0.80 | n/a | n/a | 0.00 | 0.0 |
| CAXTON PART | 040 | UAUA | S | 25,000 | 44.50 | n/a | n/a | 1,000.00 | 4.0 |
| Õ Glenn Redemann | | UAUA | B | 5 | 0.17 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | UAUA | B | 5 | 0.32 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | UAUA | S | 5 | 0.72 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | UAUA | S | 5 | 0.92 | n/a | n/a | 0.00 | 0.0 |
| WHITE PINE CAPITAL | 030 | UCO | S | 250 | 62.39 | 11-Oct | 29-Nov | 12.50 | 5.0 |
| ARTISAN PARTNERS LP | 031 | UNFI | S | 2,800 | 37.02 | n/a | n/a | 140.00 | 5.0 |
| MKT MAKER | 099 | UNFI | S | 95 | 37.02 | n/a | n/a | 0.00 | 0.0 |
| CAXTON PART | 040 | USB | S | 10,000 | 35.96 | n/a | n/a | 400.00 | 4.0 |
| SAILFISH | 037 | USB | B | 5,000 | 35.79 | n/a | n/a | 250.00 | 5.0 |
| WHITE PINE CAPITAL | 030 | VAL | S | 750 | 28.17 | n/a | n/a | 37.50 | 5.0 |
| LINCOLN FUNDS | 031 | VZ | S | 3,000 | 36.57 | 7-Dec | 11-Dec | 120.00 | 4.0 |
| LUCHANSKY1 | 036 | WCI | B | 500 | 17.71 | n/a | n/a | 0.00 | 0.0 |
| SUNOVA CAPITAL | 031 | WDR | B | 50,000 | 26.87 | 15-Dec | 15-Dec | 2,500.00 | 5.0 |
| PATTEN & PATTEN | 067 | WYE | B | 2,300 | 51.18 | n/a | 31-Mar | 115.00 | 5.0 |

TOTAL (Trade Date):

127,818.86

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------|-------|--------------------------------|------|--------|-----|--------|--------|--------|----------|-------------|-----|
| AO,CXL | 12/15 | BUCK CAPITAL MGMT (BUCKMSMAIN) | 001 | ANF | S | 49,900 | 69.88 | 3-Nov | 1-Dec | 2495.00 | 5.0 |
| AO,CRT | 12/15 | BUCK CAPITAL MGMT (BUCKMSMAIN) | 001 | ANF | S | 49,900 | 69.88 | 3-Nov | 1-Dec | 1996.00 | 4.0 |
| AO,CXL | 12/15 | ROBERTSON STEVENS BC (RSBC210) | 033 | APOL | B | 100 | 38.84 | n/a | n/a | 4.00 | 4.0 |
| AO, | 12/15 | ROBERTSON STEVENS BC (RSBC188) | 033 | APOL | B | 100 | 38.84 | n/a | n/a | 4.00 | 4.0 |
| AO,CXL | 12/14 | SANDLER O'NEILL ASSET (SANO) | 031 | BEN | S | 5,000 | 114.01 | 9-Nov | 12-Dec | 2.50 | 0.1 |
| AO,CRT | 12/14 | SANDLER O'NEILL ASSET (SANO) | 031 | BEN | S | 5,000 | 114.01 | 9-Nov | 12-Dec | 250.00 | 5.0 |
| AO, | 12/15 | ROTHSCHILD ASSET (ROTH471-2) | 040 | CPF | B | 180 | 37.62 | n/a | n/a | 8.10 | 4.5 |
| AO, | 12/15 | ROTHSCHILD ASSET (ROTH471-1) | 040 | CPF | B | 460 | 37.62 | n/a | n/a | 20.70 | 4.5 |
| AO, | 12/15 | ROTHSCHILD ASSET (ROTH471) | 040 | CPF | B | 970 | 37.62 | n/a | n/a | 43.65 | 4.5 |
| AO, | 12/15 | ROTHSCHILD ASSET (ROTH470) | 040 | CPF | B | 700 | 37.62 | n/a | n/a | 31.50 | 4.5 |
| AO, | 12/15 | ROTHSCHILD ASSET (ROTH450) | 040 | CPF | B | 2,160 | 37.62 | n/a | n/a | 97.20 | 4.5 |
| AO, | 12/15 | ROTHSCHILD ASSET (ROTH386) | 040 | CPF | B | 110 | 37.62 | n/a | n/a | 4.95 | 4.5 |
| AO, | 12/15 | ROTHSCHILD ASSET (ROTH340) | 040 | CPF | B | 2,980 | 37.62 | n/a | n/a | 134.10 | 4.5 |
| AO, | 12/15 | ROTHSCHILD ASSET (ROTH348) | 040 | CPF | B | 210 | 37.62 | n/a | n/a | 9.45 | 4.5 |
| AO, | 12/15 | ROTHSCHILD ASSET (ROTH333) | 040 | CPF | B | 430 | 37.62 | n/a | n/a | 19.35 | 4.5 |
| AO,CXL | 12/15 | NEEDHAM CAP (NEEDSMALLC) | 067 | FOSL | SS | 500 | 22.30 | 15-Nov | 15-Nov | 20.00 | 4.0 |
| AO, | 12/15 | NEEDHAM CAP (NEEDSMALLC) | 067 | FOSL | SS | 450 | 22.30 | 15-Nov | 15-Nov | 18.00 | 4.0 |
| AO,CXL | 12/11 | RIVER RUN MGMT (RIVEGSPB) | 031 | ITCD | B | 5,000 | 2.48 | n/a | n/a | 150.00 | 3.0 |
| AO, | 12/11 | RIVER RUN MGMT (RIVEGSPB) | 031 | ITCD | B | 5,000 | 2.49 | n/a | n/a | 100.00 | 2.0 |
| AO,CXL | 12/15 | FRANKLIN FUNDS N J (FFNJ4910) | 035 | NFP | S | 29,300 | 42.51 | n/a | n/a | 1465.00 | 5.0 |
| AO,CXL | 12/15 | FRANKLIN FUNDS N J (FFNJ4807) | 035 | NFP | S | 1,500 | 42.51 | n/a | n/a | 75.00 | 5.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|--------------------------------|------|--------|-----|--------|-------|--------|----------|-------------|
| AO,CXL | 12/15 | FRANKLIN FUNDS N J (FFNJ4800) | 035 | NFP | S | 4,300 | 42.51 | n/a | n/a | 215.00 5.0 |
| AO, | 12/15 | FRANKLIN FUNDS N J (FFNJ4910) | 033 | NFP | S | 29,300 | 42.51 | n/a | n/a | 1465.00 5.0 |
| AO, | 12/15 | FRANKLIN FUNDS N J (FFNJ4807) | 033 | NFP | S | 1,500 | 42.51 | n/a | n/a | 75.00 5.0 |
| AO, | 12/15 | FRANKLIN FUNDS N J (FFNJ4800) | 033 | NFP | S | 4,300 | 42.51 | n/a | n/a | 215.00 5.0 |
| AO, | 12/15 | WILLIAM BLAIR (WBLA12VANM) | 031 | PETM | B | 84,400 | 30.10 | n/a | n/a | 3376.00 4.0 |
| AO,CXL | 12/15 | COLUMBIA PARTNERS (COLP338NEB) | 098 | PVH | B | 30,825 | 51.56 | 22-Nov | 22-Nov | 1233.00 4.0 |
| AO,CXL | 12/15 | COLUMBIA PARTNERS (COLP436TEC) | 098 | PVH | B | 74 | 51.56 | 22-Nov | 22-Nov | 2.96 4.0 |
| AO, | 12/15 | COLUMBIA PARTNERS (COLP338NEB) | 028 | PVH | B | 30,825 | 51.56 | 22-Nov | 22-Nov | 1233.00 4.0 |
| AO, | 12/15 | COLUMBIA PARTNERS (COLP436TEC) | 028 | PVH | B | 74 | 51.56 | 22-Nov | 22-Nov | 2.96 4.0 |
| AO, | 12/15 | DOUBLE V/PBX (DOVVMORGAN) | 044 | WEBM | B | 4,400 | 7.10 | n/a | 3-Apr | 220.00 5.0 |

TOTAL (AO, CXL, CRT) : **3,661.50**

TOTAL (Trade Date) : 127,818.86
TOTAL (AO, CXL, CRT) : 3,661.50

TOTAL (RUN DATE) / NFS: **131,480.36**

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