

Daily Compliance Activity Report Trade Date: 08/31/2009

POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	:/Shr.
WINSLOW CAPITAL	030	AAPL	S	400	168.10	n/a	n/a	16.00	4.0
WINSLOW CAPITAL	030	ADBE	S	600	31.30	n/a	n/a	24.00	4.0
WAGONHOUND/NIC	048	ADI	S	900	28.21	n/a	n/a	27.00	3.0
WAGONHOUND/NIC	048	ADS	S	700	55.52	n/a	n/a	21.00	3.0
BASIX	033	AEO	В	31,000	13.55	25-Jun	27-Aug	930.00	3.0
WAGONHOUND/NIC	048	AES	S	4,000	13.66	n/a	n/a	120.00	3.0
WAGONHOUND/NIC	048	AGO	В	2 , 971	19.33	n/a	n/a	89.13	3.0
WAGONHOUND/NIC	048	AGP	В	1,406	23.52	n/a	n/a	42.18	3.0
CASTLEROCK	040	AIG	SS	49,412	46.89	n/a	n/a	496.52	2.0
WAGONHOUND/NIC	048	ALV	S	900	31.90	10-Jun	22-Jul	27.00	3.0
WAGONHOUND/NIC	048	AMR	S	4,800	5.46	n/a	n/a	144.00	3.0
WAGONHOUND/NIC	048	AMSC	В	740	32.32	n/a	n/a	22.20	3.0
WAGONHOUND/NIC	048	ANEN	В	1,747	16.13	n/a	n/a	52.41	3.0
BUCK CAPITAL MGMT	001	ANF	S	180,000	32.51	3-Jun	27-Aug	7,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
WAGONHOUND/NIC	048	ANW	В	1,469	20.80	n/a	n/a	44.07	3.0
WAGONHOUND/NIC	048	APP	В	3,318	3.73	n/a	n/a	99.54	3.0
WAGONHOUND/NIC	048	ARD	В	949	30.58	n/a	n/a	28.47	3.0
WAGONHOUND/NIC	048	ARG	S	900	46.45	6-Aug	24-Aug	27.00	3.0
WAGONHOUND/NIC	048	ASIA	В	3,096	17.17	n/a	n/a	92.88	3.0
WAGONHOUND/NIC	048	ATHN	В	449	40.11	n/a	n/a	13.47	3.0
WAGONHOUND/NIC	048	AVT	S	2,600	26.38	n/a	n/a	78.00	3.0
WAGONHOUND/NIC	048	AWH	В	607	46.15	n/a	n/a	18.21	3.0
LAGRANGE CAP ADV	048	AXL	В	10,000	6.20	19-Aug	19-Aug	500.00	5.0
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SCHOTTENFELD ASSOC	041	AXL	S	30,000	6.34	19-Aug	19-Aug	900.00	3.0
WAGONHOUND/NIC	048	AXL	В	6,013	6.22	19-Aug	19-Aug	180.39	3.0
SIGMA CAPITAL ASSOCIATES	041	BBY	S	50,000	36.18	n/a	27-Jul	2,000.00	4.0
WAGONHOUND/NIC	048	BFB	S	750	44.69	n/a	n/a	22.50	3.0
WINSLOW CAPITAL	030	BIDU	S	100	329.25	n/a	n/a	4.00	4.0
M&I FUNDS	047	BIG	В	38,059	25.62	25-Aug	25-Aug	1,522.36	4.0
WAGONHOUND/NIC	048	BRCD	В	4,284	7.25	n/a	n/a	128.52	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	Shr.
WAGONHOUND/NIC	048	BRCM	S	1,200	28.34	n/a	n/a	36.00	3.0
WAGONHOUND/NIC	048	BUCY	S	1,300	29.86	n/a	27-Jul	39.00	3.0
SCOPUS FUND	041	BWA	SS	7,500	29.68	3-Aug	24-Aug	375.00	5.0
WAGONHOUND/NIC	048	CAM	S	900	35.48	n/a	n/a	27.00	3.0
WAGONHOUND/NIC	048	CEC	В	1,316	26.69	n/a	n/a	39.48	3.0
WAGONHOUND/NIC	048	CEDC	В	1,044	32.02	n/a	n/a	31.32	3.0
WAGONHOUND/NIC	048	CENX	В	876	10.30	n/a	n/a	26.28	3.0
WAGONHOUND/NIC	048	CE	S	800	25.48	n/a	n/a	24.00	3.0
WAGONHOUND/NIC	048	CHD	S	900	57.14	5-Aug	5-Aug	27.00	3.0
WINSLOW CAPITAL	030	CHRW	S	300	56.21	n/a	n/a	12.00	4.0
WAGONHOUND/NIC	048	CLS	В	4,505	8.52	n/a	n/a	135.15	3.0
BUCK CAPITAL MGMT	001	CMG	В	5,000	84.10	23-Jul	23-Jul	200.00	4.0
WAGONHOUND/NIC	048	CMI	S	1,500	45.11	7–Aug	7-Aug	45.00	3.0
WAGONHOUND/NIC	048	СОН	S	2,600	28.32	n/a	29-Jul	78.00	3.0
JP MORGAN VENTURES	046	CPWR	В	42,100	7.17	n/a	n/a	1,263.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
WAGONHOUND/NIC	048	CPWR	S	3,000	7.18	n/a	n/a	90.00	3.0
WINSLOW CAPITAL	030	CSCO	S	2,300	21.59	n/a	22-Mar	92.00	4.0
WAGONHOUND/NIC	048	CSX	S	900	42.36	n/a	n/a	27.00	3.0
WINSLOW CAPITAL	030	CTSH	S	1,800	34.80	n/a	n/a	72.00	4.0
WAGONHOUND/NIC	048	CUTR	В	3,600	8.78	n/a	n/a	108.00	3.0
WAGONHOUND/NIC	048	CXG	S	1,300	28.14	n/a	n/a	39.00	3.0
WAGONHOUND/NIC	048	CXO	В	1,038	32.40	n/a	n/a	31.14	3.0
WAGONHOUND/NIC	048	CYBS	В	1,960	15.31	n/a	n/a	58.80	3.0
WAGONHOUND/NIC	048	CYOU	В	909	37.81	n/a	n/a	27.27	3.0
WAGONHOUND/NIC	048	CY	В	2,700	10.13	n/a	n/a	81.00	3.0
WAGONHOUND/NIC	048	DECK	В	610	68.09	n/a	n/a	18.30	3.0
WAGONHOUND/NIC	048	DNB	S	900	73.01	n/a	n/a	27.00	3.0
WAGONHOUND/NIC	048	DOV	S	1,600	34.52	n/a	n/a	48.00	3.0
WAGONHOUND/NIC	048	DRC	S	1,800	29.66	n/a	n/a	54.00	3.0
WAGONHOUND/NIC	048	DRQ	В	1,022	42.48	n/a	n/a	30.66	3.0
WAGONHOUND/NIC	048	DSX	В	1,478	13.00	n/a	n/a	44.34	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	:/Shr.
STRAUSS ASSET MGMT	040	DUG	В	15,000	16.38	n/a	n/a	600.00	4.0
WAGONHOUND/NIC	048	DXCM	В	4,197	7.76	n/a	n/a	125.91	3.0
WAGONHOUND/NIC	048	ECLP	В	1,025	16.71	n/a	n/a	30.75	3.0
WAGONHOUND/NIC	048	ELY	В	7,804	7.10	n/a	n/a	234.12	3.0
STRAUSS ASSET MGMT	040	ENER	S	20,000	11.32	n/a	n/a	800.00	4.0
WINSLOW CAPITAL	030	EQIX	S	400	84.30	n/a	n/a	16.00	4.0
WAGONHOUND/NIC	048	ESRX	S	1,100	72.07	n/a	n/a	33.00	3.0
WAGONHOUND/NIC	048	ESV	S	300	36.88	n/a	n/a	9.00	3.0
WINSLOW CAPITAL	030	EXPD	S	400	32.71	n/a	n/a	16.00	4.0
WAGONHOUND/NIC	048	EXPE	S	2,600	22.94	n/a	n/a	78.00	3.0
WINSLOW CAPITAL	030	FAST	S	600	36.20	n/a	n/a	24.00	4.0
WAGONHOUND/NIC	048	FDO	S	1,100	30.25	n/a	4-Aug	33.00	3.0
WAGONHOUND/NIC	048	FIRE	В	1,982	18.97	n/a	n/a	59.46	3.0
WAGONHOUND/NIC	048	FLR	S	1,600	52.68	n/a	n/a	48.00	3.0
WAGONHOUND/NIC	048	FMC	S	900	47.66	n/a	n/a	27.00	3.0
	STRAUSS ASSET MGMT WAGONHOUND/NIC WAGONHOUND/NIC STRAUSS ASSET MGMT WINSLOW CAPITAL WAGONHOUND/NIC WAGONHOUND/NIC WAGONHOUND/NIC	STRAUSS ASSET MGMT 040 WAGONHOUND/NIC 048 WAGONHOUND/NIC 048 WAGONHOUND/NIC 048 STRAUSS ASSET MGMT 040 WINSLOW CAPITAL 030 WAGONHOUND/NIC 048 WINSLOW CAPITAL 030 WAGONHOUND/NIC 048 WINSLOW CAPITAL 030 WAGONHOUND/NIC 048 WAGONHOUND/NIC 048 WAGONHOUND/NIC 048 WAGONHOUND/NIC 048 WAGONHOUND/NIC 048 WAGONHOUND/NIC 048	STRAUSS ASSET MGMT 040 DUG WAGONHOUND/NIC 048 ECLP WAGONHOUND/NIC 048 ELY STRAUSS ASSET MGMT 040 ENER WINSLOW CAPITAL 030 EQIX WAGONHOUND/NIC 048 ESY WAGONHOUND/NIC 048 ESV WINSLOW CAPITAL 030 EXPD WAGONHOUND/NIC 048 EXPE WINSLOW CAPITAL 030 FAST WAGONHOUND/NIC 048 FDO WAGONHOUND/NIC 048 FIRE WAGONHOUND/NIC 048 FIRE WAGONHOUND/NIC 048 FIRE WAGONHOUND/NIC 048 FIRE	STRAUSS ASSET MGMT 040 DUG B WAGONHOUND/NIC 048 DXCM B WAGONHOUND/NIC 048 ECLP B STRAUSS ASSET MGMT 040 ENER S WINSLOW CAPITAL 030 EQIX S WAGONHOUND/NIC 048 ESV S WAGONHOUND/NIC 048 ESV S WINSLOW CAPITAL 030 EXPD S WINSLOW CAPITAL 030 EXPD S WAGONHOUND/NIC 048 EXPE S WAGONHOUND/NIC 048 EXPE S WAGONHOUND/NIC 048 FDO S WAGONHOUND/NIC 048 FDO S WAGONHOUND/NIC 048 FDO S WAGONHOUND/NIC 048 FIRE B WAGONHOUND/NIC 048 FIRE S	STRAUSS ASSET MGMT 040 DUG B 15,000 WAGONHOUND/NIC 048 DXCM B 4,197 WAGONHOUND/NIC 048 ECLP B 1,025 WAGONHOUND/NIC 048 ELY B 7,804 STRAUSS ASSET MGMT 040 ENER S 20,000 WINSLOW CAPITAL 030 EQIX S 400 WAGONHOUND/NIC 048 ESV S 300 WINSLOW CAPITAL 030 EXPD S 400 WAGONHOUND/NIC 048 EXPE S 2,600 WAGONHOUND/NIC 048 FDO S 1,100 WAGONHOUND/NIC 048 FIRE B 1,982 WAGONHOUND/NIC 048 FIRE B 1,600	STRAUSS ASSET MGMT 040 DUG B 15,000 16.38 WAGONHOUND/NIC 048 DXCM B 4,197 7.76 WAGONHOUND/NIC 048 ECLP B 1,025 16.71 WAGONHOUND/NIC 048 ELY B 7,804 7.10 STRAUSS ASSET MGMT 040 ENER S 20,000 11.32 WINSLOW CAPITAL 030 EQIX S 400 84.30 WAGONHOUND/NIC 048 ESRX S 1,100 72.07 WAGONHOUND/NIC 048 ESV S 300 36.88 WINSLOW CAPITAL 030 EXPD S 400 32.71 WAGONHOUND/NIC 048 EXPE S 2,600 22.94 WINSLOW CAPITAL 030 FAST S 600 36.20 WAGONHOUND/NIC 048 FDO S 1,100 30.25 WAGONHOUND/NIC 048 FIRE B 1,982 18.97 WAGONHOUND/NIC 048 FIRE S 1,600 52.68	STRAUSS ASSET MGMT 040 DUG B 15,000 16.38 n/a WAGONHOUND/NIC 048 DXCM B 4,197 7.76 n/a WAGONHOUND/NIC 048 ECLP B 1,025 16.71 n/a WAGONHOUND/NIC 048 ELY B 7,804 7.10 n/a STRAUSS ASSET MGMT 040 ENER S 20,000 11.32 n/a WINSLOW CAPITAL 030 EQIX S 400 84.30 n/a WAGONHOUND/NIC 048 ESRX S 1,100 72.07 n/a WAGONHOUND/NIC 048 ESV S 300 36.88 n/a WINSLOW CAPITAL 030 EXPD S 400 32.71 n/a WAGONHOUND/NIC 048 EXPE S 2,600 22.94 n/a WINSLOW CAPITAL 030 FAST S 600 36.20 n/a WAGONHOUND/NIC 048 FDO S 1,100 30.25 n/a WAGONHOUND/NIC 048 FDO S 1,100 30.25 n/a WAGONHOUND/NIC 048 FIRE B 1,982 18.97 n/a WAGONHOUND/NIC 048 FIRE B 1,982 18.97 n/a WAGONHOUND/NIC 048 FIRE B 1,982 18.97 n/a	STRAUSS ASSET MGMT 040 DUG B 15,000 16.38 n/a n/a WAGONHOUND/NIC 048 DXCM B 4,197 7.76 n/a n/a WAGONHOUND/NIC 048 ECLP B 1,025 16.71 n/a n/a WAGONHOUND/NIC 048 ELY B 7,804 7.10 n/a n/a STRAUSS ASSET MGMT 040 ENER S 20,000 11.32 n/a n/a WINSLOW CAPITAL 030 EQIX S 400 84.30 n/a n/a WAGONHOUND/NIC 048 ESV S 300 36.38 n/a n/a WINSLOW CAPITAL 030 EXPD S 400 32.71 n/a n/a WAGONHOUND/NIC 048 EXPE S 2,600 22.94 n/a n/a WINSLOW CAPITAL 030 FAST S 600 36.20 n/a n/a WINSLOW CAPITAL 030 FAST S 600 36.20 n/a n/a WINSLOW CAPITAL 030 FAST S 600 36.20 n/a n/a WAGONHOUND/NIC 048 FDO S 1,100 30.25 n/a 4-Aug WAGONHOUND/NIC 048 FIRE B 1,982 18.97 n/a n/a WAGONHOUND/NIC 048 FIRE B 1,982 18.97 n/a n/a WAGONHOUND/NIC 048 FIRE B 1,982 18.97 n/a n/a	STRAUSS ASSET MGMT 040 DUG B 15,000 16.38 n/a n/a 600.00 WAGONHOUND/NIC 048 DXCM B 4,197 7.76 n/a n/a 125.91 WAGONHOUND/NIC 048 ECLP B 1,025 16.71 n/a n/a 30.75 WAGONHOUND/NIC 048 ELY B 7,804 7.10 n/a n/a 234.12 STRAUSS ASSET MGMT 040 ENER S 20,000 11.32 n/a n/a 800.00 WINSLOW CAPITAL 030 EQIX S 400 84.30 n/a n/a 16.00 WAGONHOUND/NIC 048 ESRX S 1,100 72.07 n/a n/a 33.00 WAGONHOUND/NIC 048 ESV S 300 36.88 n/a n/a 9.00 WINSLOW CAPITAL 030 EXPD S 400 32.71 n/a n/a 78.00 WAGONHOUND/NIC 048 EXPE S 2,600 22.94 n/a n/a 78.00 WINSLOW CAPITAL 030 FAST S 600 36.20 n/a n/a 24.00 WAGONHOUND/NIC 048 FIRE B 1,982 18.97 n/a n/a 59.46 WAGONHOUND/NIC 048 FIRE B 1,982 18.97 n/a n/a 59.46 WAGONHOUND/NIC 048 FIRE B 1,982 18.97 n/a n/a 48.00

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BTIG/KDI ADV	039	FOR	В	24,600	14.27	6-Aug	6-Aug	984.00	4.0
WAGONHOUND/NIC	048	FRX	S	1,900	29.22	25-Aug	25-Aug	57.00	3.0
WAGONHOUND/NIC	048	FSC	В	2,910	10.32	n/a	n/a	87.30	3.0
WAGONHOUND/NIC	048	FUQI	В	1,493	25.78	n/a	n/a	44.79	3.0
COOPER CREEK PART	028	F	В	31,000	7.56	27-Aug	31-Aug	930.00	3.0
SCOPUS FUND	041	F	S	65,000	7.57	27-Aug	31-Aug	3,250.00	5.0
WAGONHOUND/NIC	048	GEOY	В	1,511	25.40	n/a	n/a	45.33	3.0
WAGONHOUND/NIC	048	GET	В	1,743	20.35	n/a	n/a	52.29	3.0
WINSLOW CAPITAL	030	GILD	S	900	45.10	n/a	n/a	36.00	4.0
WAGONHOUND/NIC	048	GME	S	400	23.82	n/a	n/a	12.00	3.0
WAGONHOUND/NIC	048	GNA	В	4,713	7.28	n/a	n/a	141.39	3.0
WINSLOW CAPITAL	030	GOOG	S	200	460.07	n/a	n/a	8.00	4.0
WAGONHOUND/NIC	048	GPC	S	1,300	37.00	n/a	n/a	39.00	3.0
WAGONHOUND/NIC	048	GPS	S	2,800	19.64	n/a	30-Jan	84.00	3.0
WAGONHOUND/NIC	048	GTI	В	3,006	14.32	n/a	n/a	90.18	3.0
BUCK CAPITAL MGMT	001	HBI	В	20,000	20.96	n/a	n/a	800.00	4.0

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JP MORGAN VENTURES	046	HD	S	30,000	27.24	10-Aug	19-Aug	1,500.00	5.0
KLEINHEINZ CAP PART	031	HLF	S	75,000	30.29	n/a	n/a	3,750.00	5.0
WAGONHOUND/NIC	048	HMSY	В	817	37.51	n/a	n/a	24.51	3.0
BUCK CAPITAL MGMT	001	HOG	В	50,000	23.78	n/a	n/a	2,000.00	4.0
WAGONHOUND/NIC	048	HRBN	В	2,118	12.38	n/a	n/a	63.54	3.0
WAGONHOUND/NIC	048	HRB	S	900	17.25	n/a	n/a	27.00	3.0
WAGONHOUND/NIC	048	HRC	S	1,300	20.44	n/a	n/a	39.00	3.0
WAGONHOUND/NIC	048	HRS	S	900	34.63	13-Aug	13-Aug	27.00	3.0
WAGONHOUND/NIC	048	HSC	В	1,531	31.11	29-Jul	29-Jul	45.93	3.0
WAGONHOUND/NIC	048	HSP	S	1,300	39.23	n/a	22-Apr	39.00	3.0
WAGONHOUND/NIC	048	HSTX	S	223	6.04	n/a	n/a	6.69	3.0
WAGONHOUND/NIC	048	HUBB	S	900	38.45	n/a	n/a	27.00	3.0
LONG OAR GLOBAL INV	041	HUN	В	80,000	8.54	n/a	n/a	2,400.00	3.0
WAGONHOUND/NIC	048	IBM	В	200	117.52	n/a	n/a	6.00	3.0
WAGONHOUND/NIC	048	IBM	S	200	117.53	n/a	n/a	6.00	3.0
WAGONHOUND/NIC	048	ICFI	В	1,537	27.28	n/a	n/a	46.11	3.0

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WAGONHOUND/NIC	048	ILMN	S	1,000	35.20	n/a	n/a	30.00	3.0
WINSLOW CAPITAL	030	ILMN	S	400	35.25	n/a	n/a	16.00	4.0
WAGONHOUND/NIC	048	IMA	В	1,513	35.53	n/a	n/a	45.39	3.0
WAGONHOUND/NIC	048	IMGN	В	4,873	7.20	n/a	n/a	146.19	3.0
WAGONHOUND/NIC	048	INCY	В	5,155	6.57	n/a	n/a	154.65	3.0
WAGONHOUND/NIC	048	INFA	В	1,971	17.86	n/a	n/a	59.13	3.0
WAGONHOUND/NIC	048	IOC	В	1,040	30.34	n/a	n/a	31.20	3.0
WAGONHOUND/NIC	048	IPCM	В	1,174	29.34	n/a	n/a	35.22	3.0
WAGONHOUND/NIC	048	IPG	S	3,700	6.26	n/a	n/a	111.00	3.0
WAGONHOUND/NIC	048	IPI	В	1,305	23.59	n/a	n/a	39.15	3.0
JP MORGAN VENTURES	046	IWM	SS	17,500	57.07	n/a	n/a	875.00	5.0
WAGONHOUND/NIC	048	JNPR	S	1,500	23.05	n/a	22-Mar	45.00	3.0
WINSLOW CAPITAL	030	JNPR	S	800	23.09	n/a	22-Mar	32.00	4.0
WAGONHOUND/NIC	048	JRCC	В	1,334	16.59	n/a	n/a	40.02	3.0
SCOPUS FUND	041	JWN	В	10,000	28.24	n/a	27-Aug	500.00	5.0
WAGONHOUND/NIC	048	KBH	В	2,591	18.11	n/a	n/a	77.73	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
WAGONHOUND/NIC	048	KMT	S	1,400	22.04	30-Jul	30-Jul	42.00	3.0
SCOGGIN CAP	039	KNX	В	24,400	16.25	n/a	n/a	732.00	3.0
JP MORGAN VENTURES	046	KR	В	10,000	21.66	n/a	n/a	500.00	5.0
WAGONHOUND/NIC	048	LAZ	В	1,682	38.86	n/a	30-Jul	50.46	3.0
WAGONHOUND/NIC	048	LLL	S	750	74.22	n/a	n/a	22.50	3.0
WAGONHOUND/NIC	048	LMIA	В	3,184	9.12	n/a	n/a	95.52	3.0
UBS OCONNOR	031	LM	SS	75,000	28.38	3-Aug	19-Aug	2,250.00	3.0
WAGONHOUND/NIC	048	LTD	S	3,700	14.88	n/a	30-Jan	111.00	3.0
WAGONHOUND/NIC	048	LULU	В	1,800	19.95	n/a	n/a	54.00	3.0
WAGONHOUND/NIC	048	LZ	S	1,100	63.88	n/a	n/a	33.00	3.0
WAGONHOUND/NIC	048	MAKO	В	4,686	8.47	n/a	n/a	140.58	3.0
WAGONHOUND/NIC	048	MANT	В	394	52.66	n/a	n/a	11.82	3.0
SCOPUS FUND	041	MCD	S	5,000	55.77	n/a	10-Aug	250.00	5.0
WAGONHOUND/NIC	048	MDAS	В	1,744	22.37	n/a	n/a	52.32	3.0
WAGONHOUND/NIC	048	MDCA	В	5 , 538	6.05	n/a	n/a	166.14	3.0

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WAGONHOUND/NIC	048	MDRX	В	1,099	14.82	n/a	n/a	32.97 3	.0
WAGONHOUND/NIC	048	MELI	В	941	31.20	n/a	n/a	28.23 3	.0
WAGONHOUND/NIC	048	MHLD	В	4,282	7.53	n/a	n/a	128.46 3	.0
WAGONHOUND/NIC	048	MRTN	В	2,408	16.95	n/a	n/a	72.24 3	.0
WINSLOW CAPITAL	030	MRVL	S	1,100	15.19	n/a	n/a	44.00 4	.0
WINSLOW CAPITAL	030	MSFT	S	1,200	24.58	n/a	3-Apr	48.00 4	.0
WAGONHOUND/NIC	048	MTD	S	500	87.34	n/a	n/a	15.00 3	.0
WAGONHOUND/NIC	048	MYGN	S	1,600	30.44	n/a	n/a	48.00 3	.0
WAGONHOUND/NIC	048	MYRX	S	400	4.52	n/a	n/a	12.00 3	.0
WAGONHOUND/NIC	048	NAV	S	1,500	43.01	n/a	n/a	45.00 3	.0
WAGONHOUND/NIC	048	NBL	S	1,300	60.16	n/a	n/a	39.00 3	.0
WAGONHOUND/NIC	048	NCR	S	1,900	13.35	n/a	n/a	57.00 3	.0
WAGONHOUND/NIC	048	NDSN	В	784	53.56	n/a	n/a	23.52 3	.0
WAGONHOUND/NIC	048	NETL	В	1,476	43.91	n/a	n/a	44.28 3	.0
WAGONHOUND/NIC	048	NKTR	В	5,968	8.26	n/a	n/a	179.04 3	.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
WAGONHOUND/NIC	048	NLY	S	1,400	17.32	n/a	n/a	42.00	3.0
WAGONHOUND/NIC	048	NOV	S	1,500	36.26	n/a	n/a	45.00	3.0
WAGONHOUND/NIC	048	NUVA	В	664	40.02	n/a	n/a	19.92	3.0
LATEFF MGMT	035	NYB	S	1,500	10.72	n/a	26-Aug	165.00	11.0
WAGONHOUND/NIC	048	OI	S	800	33.79	n/a	n/a	24.00	3.0
WAGONHOUND/NIC	048	OMPI	В	2,372	9.51	n/a	n/a	71.16	3.0
WAGONHOUND/NIC	048	ONNN	В	5 , 273	8.07	n/a	n/a	158.19	3.0
WINSLOW CAPITAL	030	ORCL	S	1,700	21.87	n/a	n/a	68.00	4.0
WINSLOW CAPITAL	030	ORLY	S	400	38.28	n/a	n/a	16.00	4.0
WAGONHOUND/NIC	048	ORN	В	1,482	20.35	n/a	n/a	44.46	3.0
WINSLOW CAPITAL	030	PCLN	S	300	153.76	n/a	n/a	12.00	4.0
WAGONHOUND/NIC	048	PCX	S	400	8.79	n/a	n/a	12.00	3.0
WAGONHOUND/NIC	048	PFCB	В	999	32.13	22-Jul	22-Jul	29.97	3.0
WAGONHOUND/NIC	048	PGN	S	1,300	39.42	n/a	n/a	39.00	3.0
WAGONHOUND/NIC	048	PHM	S	5,502	12.72	n/a	n/a	165.06	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.
WAGONHOUND/NIC	048	РН	S	350	48.34	n/a	31-Jul	10.50	3.0
CSFB GLOBAL PROPRIETARY	041	PKG	В	26,000	20.40	21-Jul	21-Jul	1,300.00	5.0
GOLD SACHS SPECIAL SIT	030 041	PLCE PLCE	В	120,000 12,000	30.34	n/a n/a	27-Aug 27-Aug	6,000.00 600.00	5.0 5.0
WAGONHOUND/NIC	048	PLD	S	500	11.00	n/a	n/a	15.00	3.0
WAGONHOUND/NIC	048	PNRA	S	500	52.21	30-Jul	30-Jul	15.00	3.0
WAGONHOUND/NIC	048	PNR	В	837	28.27	n/a	n/a	25.11	3.0
WAGONHOUND/NIC	048	PPDI	S	500	20.05	n/a	n/a	15.00	3.0
WINSLOW CAPITAL	030	QCOM	S	1,600	46.33	n/a	n/a	64.00	4.0
WAGONHOUND/NIC	048	REGN	В	641	22.52	n/a	n/a	19.23	3.0
WINSLOW CAPITAL	030	RIMM	S	300	73.04	n/a	n/a	12.00	4.0
WAGONHOUND/NIC	048	RL	S	800	66.22	6-Aug	6-Aug	24.00	3.0
WAGONHOUND/NIC	048	ROL	S	3,800	17.77	n/a	n/a	114.00	3.0
WAGONHOUND/NIC	048	ROST	S	1,700	46.53	n/a	n/a	51.00	3.0
WAGONHOUND/NIC	048	RSTI	В	1,638	22.70	n/a	n/a	49.14	3.0
WAGONHOUND/NIC	048	RS	S	1,100	36.86	n/a	n/a	33.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
WAGONHOUND/NIC	048	RTI	В	1,316	19.06	n/a	n/a	39.48	3.0
WAGONHOUND/NIC	048	RVBD	В	1,432	19.30	n/a	n/a	42.96	3.0
WAGONHOUND/NIC	048	RVSN	В	4,180	9.16	n/a	n/a	125.40	3.0
WAGONHOUND/NIC	048	SBUX	S	2,800	18.93	n/a	21-Jul	84.00	3.0
WAGONHOUND/NIC	048	SCG	S	1,700	34.69	n/a	n/a	51.00	3.0
WINSLOW CAPITAL	030	SCHW	S	2,400	18.05	n/a	n/a	96.00	4.0
WAGONHOUND/NIC	048	SEPR	S	2,000	18.12	n/a	n/a	60.00	3.0
WAGONHOUND/NIC	048	SFSF	В	4,855	11.86	n/a	n/a	145.65	3.0
WAGONHOUND/NIC	048	SGEN	В	5 , 350	12.15	n/a	n/a	160.50	3.0
WAGONHOUND/NIC	048	SHAW	S	2,600	29.23	n/a	n/a	78.00	3.0
WAGONHOUND/NIC	048	SHFL	В	4,927	7.52	n/a	n/a	147.81	3.0
WAGONHOUND/NIC	048	SHOO	В	1,362	32.07	n/a	n/a	40.86	3.0
WAGONHOUND/NIC	048	SIAL	S	1,100	50.69	2-Jun	23-Jul	33.00	3.0
WAGONHOUND/NIC	048	SIRO	В	1,461	26.25	n/a	n/a	43.83	3.0
SCOPUS FUND	041	SKS	SS	50,000	6.11	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
WAGONHOUND/NIC	048	SKX	В	1,712	17.53	n/a	13-Mar	51.36	3.0
WAGONHOUND/NIC	048	SLAB	В	1,191	45.04	n/a	n/a	35.73	3.0
WAGONHOUND/NIC	048	SNA	S	1,100	37.22	n/a	n/a	33.00	3.0
JP MORGAN VENTURES	046	SNV	S	50,000	3.64	n/a	n/a	1,500.00	3.0
KENNEDY CAPITAL	046	SOA	S	50,000	12.01	n/a	n/a	2,000.00	4.0
WAGONHOUND/NIC	048	SPN	S	1,400	18.10	n/a	n/a	42.00	3.0
WAGONHOUND/NIC	048	STAR	В	1,741	20.27	n/a	n/a	52.23	3.0
WAGONHOUND/NIC	048	STJ	S	1,600	38.43	n/a	n/a	48.00	3.0
WAGONHOUND/NIC	048	SWI	В	938	18.59	n/a	n/a	28.14	3.0
WAGONHOUND/NIC	048	SWKS	В	2 , 978	11.65	n/a	n/a	89.34	3.0
WAGONHOUND/NIC	048	SYNO	В	3,333	15.61	n/a	n/a	99.99	3.0
WAGONHOUND/NIC	048	SYY	S	2,000	25.41	n/a	24-Apr	60.00	3.0
WAGONHOUND/NIC	048	SY	В	1,016	34.68	n/a	n/a	30.48	3.0
WINSLOW CAPITAL	030	TEVA	S	1,000	51.53	29-Jul	25-Aug	40.00	4.0
WAGONHOUND/NIC	048	TFX	S	800	45.34	n/a	n/a	24.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.	-
WAGONHOUND/NIC	048	TGH	В	4,311	14.31	n/a	n/a	129.33	3.0	
SCOPUS FUND	041	TIN	В	28,600	16.85	14-Aug	14-Aug	1,430.00	5.0	
JP MORGAN VENTURES	046	TJX	SS	15,000	36.24	28-Jul	27-Aug	750.00	5.0	
WAGONHOUND/NIC	048	TKR	В	1,725	21.07	n/a	n/a	51.75	3.0	
WAGONHOUND/NIC	048	TMK	S	700	42.38	n/a	n/a	21.00	3.0	
WAGONHOUND/NIC	048	TNDM	В	1,432	25.07	n/a	n/a	42.96	3.0	
WAGONHOUND/NIC	048	TOL	S	1,700	22.66	n/a	n/a	51.00	3.0	
WAGONHOUND/NIC	048	TRAD	В	3,665	7.16	n/a	n/a	109.95	3.0	
BMO NESBITT BURNS	041	UFS	SS	25 , 000	35.15	n/a	n/a	1,250.00	5.0	
WAGONHOUND/NIC	048	UNT	S	1,100	37.26	n/a	28-Aug	33.00	3.0	
WAGONHOUND/NIC	048	VAR	S	600	42.59	n/a	n/a	18.00	3.0	
WAGONHOUND/NIC	048	VMED	В	3,094	11.45	n/a	n/a	92.82	3.0	
CAVU CAP ADV	028	VMW	S	15,000	35.21	n/a	n/a	750.00	5.0	
WAGONHOUND/NIC	048	VRTX	S	800	37.24	n/a	n/a	24.00	3.0	
WAGONHOUND/NIC	048	WAB	В	865	37.61	n/a	n/a	25.95	3.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
WAGONHOUND/NIC	048	WAC	S	271	14.49	n/a	n/a	8.13	3.0
WAGONHOUND/NIC	048	WAL	В	5,822	7.29	n/a	n/a	174.66	3.0
WAGONHOUND/NIC	048	WATG	В	3,975	8.94	n/a	n/a	119.25	3.0
WAGONHOUND/NIC	048	WFR	S	600	15.99	n/a	n/a	18.00	3.0
WAGONHOUND/NIC	048	WGOV	В	1,410	20.90	n/a	n/a	42.30	3.0
WAGONHOUND/NIC	048	WLL	В	729	48.43	n/a	n/a	21.87	3.0
WAGONHOUND/NIC	048	WLT	S	700	52.09	n/a	n/a	21.00	3.0
WAGONHOUND/NIC	048	WMS	В	746	42.25	n/a	n/a	22.38	3.0
WAGONHOUND/NIC	048	WM	S	500	29.74	n/a	n/a	15.00	3.0
WAGONHOUND/NIC	048	WPI	S	2,100	35.19	n/a	25-Aug	63.00	3.0
WAGONHOUND/NIC	048	WPRT	В	3,668	10.22	n/a	n/a	110.04	3.0
WAGONHOUND/NIC	048	WRB	S	1,392	25.55	n/a	n/a	41.76	3.0
WAGONHOUND/NIC	048	WRC	В	1,149	38.08	28-Jul	12-Aug	34.47	3.0
WAGONHOUND/NIC	048	WTI	S	1,100	9.89	n/a	n/a	33.00	3.0
WAGONHOUND/NIC	048	XLNX	S	1,500	22.15	n/a	n/a	45.00	3.0
	WAGONHOUND/NIC	WAGONHOUND/NIC 048 WAGONHOUND/NIC 048	WAGONHOUND/NIC 048 WAL WAGONHOUND/NIC 048 WATG WAGONHOUND/NIC 048 WFR WAGONHOUND/NIC 048 WGOV WAGONHOUND/NIC 048 WLL WAGONHOUND/NIC 048 WLT WAGONHOUND/NIC 048 WMS WAGONHOUND/NIC 048 WMS WAGONHOUND/NIC 048 WM WAGONHOUND/NIC 048 WM WAGONHOUND/NIC 048 WPI WAGONHOUND/NIC 048 WPI WAGONHOUND/NIC 048 WPRT WAGONHOUND/NIC 048 WRB WAGONHOUND/NIC 048 WRB WAGONHOUND/NIC 048 WRB WAGONHOUND/NIC 048 WRC WAGONHOUND/NIC 048 WRC	WAGONHOUND/NIC 048 WAC S WAGONHOUND/NIC 048 WAL B WAGONHOUND/NIC 048 WATG B WAGONHOUND/NIC 048 WGOV B WAGONHOUND/NIC 048 WLL B WAGONHOUND/NIC 048 WHT S WAGONHOUND/NIC 048 WM S WAGONHOUND/NIC 048 WPI S WAGONHOUND/NIC 048 WRT B WAGONHOUND/NIC 048 WRB S WAGONHOUND/NIC 048 WRC B WAGONHOUND/NIC 048 WRC B WAGONHOUND/NIC 048 WRC B	WAGONHOUND/NIC 048 WAC S 271 WAGONHOUND/NIC 048 WAL B 5,822 WAGONHOUND/NIC 048 WATG B 3,975 WAGONHOUND/NIC 048 WFR S 600 WAGONHOUND/NIC 048 WLL B 729 WAGONHOUND/NIC 048 WLT S 700 WAGONHOUND/NIC 048 WM S 500 WAGONHOUND/NIC 048 WPI S 2,100 WAGONHOUND/NIC 048 WPRT B 3,668 WAGONHOUND/NIC 048 WRB S 1,392 WAGONHOUND/NIC 048 WRC B 1,149 WAGONHOUND/NIC 048 WRC B 1,149 WAGONHOUND/NIC 048 WRC B 1,149	WAGONHOUND/NIC 048 WAL B 5,822 7.29 WAGONHOUND/NIC 048 WATG B 3,975 8.94 WAGONHOUND/NIC 048 WFR S 600 15.99 WAGONHOUND/NIC 048 WGOV B 1,410 20.90 WAGONHOUND/NIC 048 WLL B 729 48.43 WAGONHOUND/NIC 048 WLT S 700 52.09 WAGONHOUND/NIC 048 WMS B 746 42.25 WAGONHOUND/NIC 048 WPI S 500 29.74 WAGONHOUND/NIC 048 WPI S 2,100 35.19 WAGONHOUND/NIC 048 WPI B 3,668 10.22 WAGONHOUND/NIC 048 WRB S 1,392 25.55 WAGONHOUND/NIC 048 WRC B 1,149 38.08 WAGONHOUND/NIC 048 WRC B 1,149 38.08 WAGONHOUND/NIC 048 WRTI S 1,100 9.89	WAGONHOUND/NIC 048 WAC S 271 14.49 n/a WAGONHOUND/NIC 048 WAL B 5,822 7.29 n/a WAGONHOUND/NIC 048 WATG B 3,975 8.94 n/a WAGONHOUND/NIC 048 WFR S 600 15.99 n/a WAGONHOUND/NIC 048 WGOV B 1,410 20.90 n/a WAGONHOUND/NIC 048 WLL B 729 48.43 n/a WAGONHOUND/NIC 048 WHT S 700 52.09 n/a WAGONHOUND/NIC 048 WM S 500 29.74 n/a WAGONHOUND/NIC 048 WPI S 2,100 35.19 n/a WAGONHOUND/NIC 048 WRB S 1,392 25.55 n/a WAGONHOUND/NIC 048 WRC B 1,149 38.08 28-Jul WAGONHOUND/NIC 048 WRC	WAGONHOUND/NIC 048 WAC S 271 14.49 n/a n/a WAGONHOUND/NIC 048 WAI B 5,822 7.29 n/a n/a WAGONHOUND/NIC 048 WATG B 3,975 8.94 n/a n/a WAGONHOUND/NIC 048 WFR S 600 15.99 n/a n/a WAGONHOUND/NIC 048 WGOV B 1,410 20.90 n/a n/a WAGONHOUND/NIC 048 WLL B 729 48.43 n/a n/a WAGONHOUND/NIC 048 WHT S 700 52.09 n/a n/a WAGONHOUND/NIC 048 WM S 500 29.74 n/a n/a WAGONHOUND/NIC 048 WPI S 2,100 35.19 n/a 25-Aug WAGONHOUND/NIC 048 WRB S 1,392 25.55 n/a n/a WAGONHOUND/NIC <td< td=""><td>WAGONHOUND/NIC 048 WAC S 271 14.49 n/a n/a 8.13 WAGONHOUND/NIC 048 WAL B 5,822 7.29 n/a n/a 174.66 WAGONHOUND/NIC 048 WATG B 3,975 8.94 n/a n/a 119.25 WAGONHOUND/NIC 048 WFR S 600 15.99 n/a n/a 18.00 WAGONHOUND/NIC 048 WGOV B 1,410 20.90 n/a n/a 42.30 WAGONHOUND/NIC 048 WILL B 729 48.43 n/a n/a 21.87 WAGONHOUND/NIC 048 WLT S 700 52.09 n/a n/a 21.00 WAGONHOUND/NIC 048 WMS B 746 42.25 n/a n/a 22.38 WAGONHOUND/NIC 048 WM S 500 29.74 n/a n/a 15.00 WAGONHOUND/NIC 048 WFI S 2,100 35.19 n/a 25-Aug 63.00 WAGONHOUND/NIC 048 WFI B 3,668 10.22 n/a n/a 110.04 WAGONHOUND/NIC 048 WFR S 1,392 25.55 n/a n/a 1.40 WAGONHOUND/NIC 048 WRB S 1,392 25.55 n/a n/a 34.47 WAGONHOUND/NIC 048 WRC B 1,149 38.08 28-Jul 12-Aug 34.47 WAGONHOUND/NIC 048 WRC B 1,149 38.08 28-Jul 12-Aug 34.47</td></td<>	WAGONHOUND/NIC 048 WAC S 271 14.49 n/a n/a 8.13 WAGONHOUND/NIC 048 WAL B 5,822 7.29 n/a n/a 174.66 WAGONHOUND/NIC 048 WATG B 3,975 8.94 n/a n/a 119.25 WAGONHOUND/NIC 048 WFR S 600 15.99 n/a n/a 18.00 WAGONHOUND/NIC 048 WGOV B 1,410 20.90 n/a n/a 42.30 WAGONHOUND/NIC 048 WILL B 729 48.43 n/a n/a 21.87 WAGONHOUND/NIC 048 WLT S 700 52.09 n/a n/a 21.00 WAGONHOUND/NIC 048 WMS B 746 42.25 n/a n/a 22.38 WAGONHOUND/NIC 048 WM S 500 29.74 n/a n/a 15.00 WAGONHOUND/NIC 048 WFI S 2,100 35.19 n/a 25-Aug 63.00 WAGONHOUND/NIC 048 WFI B 3,668 10.22 n/a n/a 110.04 WAGONHOUND/NIC 048 WFR S 1,392 25.55 n/a n/a 1.40 WAGONHOUND/NIC 048 WRB S 1,392 25.55 n/a n/a 34.47 WAGONHOUND/NIC 048 WRC B 1,149 38.08 28-Jul 12-Aug 34.47 WAGONHOUND/NIC 048 WRC B 1,149 38.08 28-Jul 12-Aug 34.47

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
WAGONHOUND/NIC	048	ZBRA	В	1,375	25.06	n/a	n/a	41.25 3.0
TOTAL (Trade Date):								67,079.02

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	08/28	BTIG/KDI ADV (BTIGKDI)	039	FOR	В	2 , 789	14.10	6-Aug	6-Aug	139.45	5.0
AO, CRT	08/28	BTIG/KDI ADV (BTIGKDI)	039	FOR	В	2,789	14.10	6-Aug	6-Aug	111.56	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMZ41346)	036	JBT	S	218	17.36	n/a	n/a	8.72	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMQ40546)	036	JBT	S	60	17.36	n/a	n/a	2.40	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMQ40744)	036	JBT	S	67	17.36	n/a	n/a	2.68	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMQ41643)	036	JBT	S	67	17.36	n/a	n/a	2.68	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMZ41742)	036	JBT	S	37	17.36	n/a	n/a	1.48	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMZ42047)	036	JBT	S	15	17.36	n/a	n/a	0.60	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMZ41544)	036	JBT	S	30	17.36	n/a	n/a	1.20	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMZ42245)	036	JBT	S	114	17.36	n/a	n/a	4.56	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMZ42344)	036	JBT	S	54	17.36	n/a	n/a	2.16	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMZ42443)	036	JBT	S	43	17.36	n/a	n/a	1.72	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMZ42849)	036	JBT	S	68	17.36	n/a	n/a	2.72	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMZ43045)	036	JBT	S	36	17.36	n/a	n/a	1.44	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMZ43342)	036	JBT	S	131	17.36	n/a	n/a	5.24	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMZ43441)	036	JBT	S	820	17.36	n/a	n/a	32.80	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMZ43144)	036	JBT	S	32	17.36	n/a	n/a	1.28	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMZ43540)	036	JBT	S	132	17.36	n/a	n/a	5.28	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMZ43649)	036	JBT	S	128	17.36	n/a	n/a	5.12	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMZ43748)	036	JBT	S	134	17.36	n/a	n/a	5.36	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMQ43045)	036	JBT	S	240	17.36	n/a	n/a	9.60	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMM40842)	036	JBT	S	845	17.36	n/a	n/a	33.80	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMZ41148)	036	JBT	S	347	17.36	n/a	n/a	13.88	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMQ41742)	036	JBT	S	71	17.36	n/a	n/a	2.84	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMQ43144)	036	JBT	S	107	17.36	n/a	n/a	4.28	4.0
AO,	08/28	LOOMIS SALES/BOSTON (LOOMQ42146)	036	JBT	S	42	17.36	n/a	n/a	1.68	4.0

08/28	LOOMIS SALES/BOSTON (LOOMM42145)	036								
	•	0.36	JBT	S	350	17.36	n/a	n/a	14.00	4.0
08/28	LOOMIS SALES/BOSTON (LOOMQ42344)	036	JBT	S	581	17.36	n/a	n/a	23.24	4.0
08/28	LOOMIS SALES/BOSTON (LOOMQ43342)	036	JBT	S	23	17.36	n/a	n/a	0.92	4.0
08/28	LOOMIS SALES/BOSTON (LOOMQ42443)	036	JBT	S	56	17.36	n/a	n/a	2.24	4.0
08/28	LOOMIS SALES/BOSTON (LOOMM40644)	036	JBT	S	833	17.36	n/a	n/a	33.32	4.0
08/28	LOOMIS SALES/BOSTON (LOOMM40446)	036	JBT	S	756	17.36	n/a	n/a	30.24	4.0
08/28	LOOMIS SALES/BOSTON (LOOMM40149)	036	JBT	S	3,255	17.36	n/a	n/a	130.20	4.0
08/28	LOOMIS SALES/BOSTON (LOOMQ42740)	036	JBT	S	56	17.36	n/a	n/a	2.24	4.0
08/26	SENATOR INVESTMENT GROUP (SENAJPMORG)	036	SLT	В	11,250	13.87	n/a	n/a	337.50	3.0
08/26	SENATOR INVESTMENT GROUP (SENAJPMORG)	036	SLT	В	11,250	13.87	n/a	n/a	450.00	4.0
08/25	EMERSON CAPITAL MGMT (EMERGSPB)	048	SPLS	В	8,000	21.80	n/a	27-Jul	320.00	4.0
08/25	EMERSON CAPITAL MGMT (EMERGSPB)	048	SPLS	В	8,000	21.80	n/a	27-Jul	240.00	3.0
08/28	CUMBERLAND (CUMBMS04)	038	SPY	SS	30,000	103.45	n/a	n/a	1200.00	4.0
08/28	CUMBERLAND (CUMBMS04)	038	SPY	SS	30,000	103.45	n/a	n/a	900.00	3.0
	08/28 08/28 08/28 08/28 08/28 08/26 08/26 08/25 08/25	08/28 LOOMIS SALES/BOSTON (LOOMQ42443) 08/28 LOOMIS SALES/BOSTON (LOOMM40644) 08/28 LOOMIS SALES/BOSTON (LOOMM40446) 08/28 LOOMIS SALES/BOSTON (LOOMM40149) 08/28 LOOMIS SALES/BOSTON (LOOMQ42740) 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 08/26 EMERSON CAPITAL MGMT (EMERGSPB) 08/25 EMERSON CAPITAL MGMT (EMERGSPB) 08/28 CUMBERLAND (CUMBMS04)	08/28 LOOMIS SALES/BOSTON (LOOMQ42443) 036 08/28 LOOMIS SALES/BOSTON (LOOMM40644) 036 08/28 LOOMIS SALES/BOSTON (LOOMM40446) 036 08/28 LOOMIS SALES/BOSTON (LOOMM40149) 036 08/28 LOOMIS SALES/BOSTON (LOOMQ42740) 036 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 036 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 036 08/25 EMERSON CAPITAL MGMT (EMERGSPB) 048 08/25 EMERSON CAPITAL MGMT (EMERGSPB) 048 08/28 CUMBERLAND (CUMBMS04) 038	08/28 LOOMIS SALES/BOSTON (LOOMQ42443) 036 JBT 08/28 LOOMIS SALES/BOSTON (LOOMM40644) 036 JBT 08/28 LOOMIS SALES/BOSTON (LOOMM40446) 036 JBT 08/28 LOOMIS SALES/BOSTON (LOOMM40149) 036 JBT 08/28 LOOMIS SALES/BOSTON (LOOMQ42740) 036 JBT 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 036 SLT 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 036 SLT 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 036 SLT 08/25 EMERSON CAPITAL MGMT (EMERGSPB) 048 SPLS 08/25 EMERSON CAPITAL MGMT (EMERGSPB) 048 SPLS 08/28 CUMBERLAND (CUMBMS04) 038 SPY	08/28 LOOMIS SALES/BOSTON (LOOMQ42443) 036 JBT S 08/28 LOOMIS SALES/BOSTON (LOOMM40644) 036 JBT S 08/28 LOOMIS SALES/BOSTON (LOOMM40446) 036 JBT S 08/28 LOOMIS SALES/BOSTON (LOOMM40149) 036 JBT S 08/28 LOOMIS SALES/BOSTON (LOOMQ42740) 036 JBT S 08/28 LOOMIS SALES/BOSTON (LOOMQ42740) 036 JBT S 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 036 SLT B 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 036 SLT B 08/25 EMERSON CAPITAL MGMT (EMERGSPB) 048 SPLS B 08/25 EMERSON CAPITAL MGMT (EMERGSPB) 048 SPLS B	08/28 LOOMIS SALES/BOSTON (LOOMQ42443) 036 JBT S 56 08/28 LOOMIS SALES/BOSTON (LOOMM40644) 036 JBT S 833 08/28 LOOMIS SALES/BOSTON (LOOMM40446) 036 JBT S 756 08/28 LOOMIS SALES/BOSTON (LOOMM40149) 036 JBT S 3,255 08/28 LOOMIS SALES/BOSTON (LOOMQ42740) 036 JBT S 56 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 036 SLT B 11,250 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 036 SLT B 11,250 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 036 SLT B 11,250 08/25 EMERSON CAPITAL MGMT (EMERGSPB) 048 SPLS B 8,000 08/25 EMERSON CAPITAL MGMT (EMERGSPB) 048 SPLS B 8,000 08/28 CUMBERLAND (CUMBMS04) 038 SPY SS 30,000	08/28 LOOMIS SALES/BOSTON (LOOMQ42443) 036 JBT S 56 17.36 08/28 LOOMIS SALES/BOSTON (LOOMM40644) 036 JBT S 833 17.36 08/28 LOOMIS SALES/BOSTON (LOOMM40446) 036 JBT S 756 17.36 08/28 LOOMIS SALES/BOSTON (LOOMM40149) 036 JBT S 3,255 17.36 08/28 LOOMIS SALES/BOSTON (LOOMQ42740) 036 JBT S 56 17.36 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 036 SLT B 11,250 13.87 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 036 SLT B 11,250 13.87 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 036 SLT B 11,250 13.87 08/25 EMERSON CAPITAL MGMT (EMERGSPB) 048 SPLS B 8,000 21.80 08/28 CUMBERLAND (CUMBMS04) 038 SPY SS 30,000 103.45	08/28 LOOMIS SALES/BOSTON (LOOMQ42443) 036 JBT S 56 17.36 n/a 08/28 LOOMIS SALES/BOSTON (LOOMM40644) 036 JBT S 833 17.36 n/a 08/28 LOOMIS SALES/BOSTON (LOOMM40446) 036 JBT S 756 17.36 n/a 08/28 LOOMIS SALES/BOSTON (LOOMM40149) 036 JBT S 3,255 17.36 n/a 08/28 LOOMIS SALES/BOSTON (LOOMQ42740) 036 JBT S 56 17.36 n/a 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 036 SLT B 11,250 13.87 n/a 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 036 SLT B 11,250 13.87 n/a 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 036 SLT B 11,250 13.87 n/a 08/26 SEMERSON CAPITAL MGMT (EMERGSPB) 048 SPLS B 8,000 21.80 n/a 08/28 CUMBERLAND (CUMBMS04) 038 SPY SS 30,000 103.45 n/a	08/28 LOOMIS SALES/BOSTON (LOOMQ42443) 036 JBT S 56 17.36 n/a n/a 08/28 LOOMIS SALES/BOSTON (LOOMM40644) 036 JBT S 833 17.36 n/a n/a 08/28 LOOMIS SALES/BOSTON (LOOMM40146) 036 JBT S 756 17.36 n/a n/a 08/28 LOOMIS SALES/BOSTON (LOOMM40149) 036 JBT S 3,255 17.36 n/a n/a 08/28 LOOMIS SALES/BOSTON (LOOMQ42740) 036 JBT S 56 17.36 n/a n/a 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 036 SLT B 11,250 13.87 n/a n/a 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 036 SLT B 11,250 13.87 n/a n/a 08/25 EMERSON CAPITAL MGMT (EMERGSPB) 048 SPLS B 8,000 21.80 n/a 27-Jul 08/28 CUMBERLAND (CUMBMS04) 038 SPY <td>08/28 LOOMIS SALES/BOSTON (LOOMQ42443) 036 JBT S 56 17.36 n/a n/a 2.24 08/28 LOOMIS SALES/BOSTON (LOOMM40644) 036 JBT S 833 17.36 n/a n/a 33.32 08/28 LOOMIS SALES/BOSTON (LOOMM40446) 036 JBT S 756 17.36 n/a n/a 30.24 08/28 LOOMIS SALES/BOSTON (LOOMM40149) 036 JBT S 3,255 17.36 n/a n/a 130.20 08/28 LOOMIS SALES/BOSTON (LOOMM40149) 036 JBT S 3,255 17.36 n/a n/a 130.20 08/28 LOOMIS SALES/BOSTON (LOOMQ42740) 036 JBT S 56 17.36 n/a n/a 2.24 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 036 SLT B 11,250 13.87 n/a n/a 337.50 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 036 SLT B 11,250 13.87 n/a n/a 450.00 08/25 EMERSON CAPITAL MGMT (EMERGSPB) 048 SPLS B 8,000 21.80 n/a 27-Jul 320.00 08/25 EMERSON CAPITAL MGMT (EMERGSPB) 048 SPLS B 8,000 21.80 n/a 27-Jul 240.00 08/28 CUMBERLAND (CUMBMS04) 038 SPY SS 30,000 103.45 n/a n/a 1200.00</td>	08/28 LOOMIS SALES/BOSTON (LOOMQ42443) 036 JBT S 56 17.36 n/a n/a 2.24 08/28 LOOMIS SALES/BOSTON (LOOMM40644) 036 JBT S 833 17.36 n/a n/a 33.32 08/28 LOOMIS SALES/BOSTON (LOOMM40446) 036 JBT S 756 17.36 n/a n/a 30.24 08/28 LOOMIS SALES/BOSTON (LOOMM40149) 036 JBT S 3,255 17.36 n/a n/a 130.20 08/28 LOOMIS SALES/BOSTON (LOOMM40149) 036 JBT S 3,255 17.36 n/a n/a 130.20 08/28 LOOMIS SALES/BOSTON (LOOMQ42740) 036 JBT S 56 17.36 n/a n/a 2.24 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 036 SLT B 11,250 13.87 n/a n/a 337.50 08/26 SENATOR INVESTMENT GROUP (SENAJPMORG) 036 SLT B 11,250 13.87 n/a n/a 450.00 08/25 EMERSON CAPITAL MGMT (EMERGSPB) 048 SPLS B 8,000 21.80 n/a 27-Jul 320.00 08/25 EMERSON CAPITAL MGMT (EMERGSPB) 048 SPLS B 8,000 21.80 n/a 27-Jul 240.00 08/28 CUMBERLAND (CUMBMS04) 038 SPY SS 30,000 103.45 n/a n/a 1200.00

TOTAL (RUN DATE) / NFS:	67,173.55
TOTAL (AO, CXL, CRT):	94.53
TOTAL (Trade Date):	67,079.02

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