

Daily Compliance Activity Report Trade Date: 06/26/2007

POTENTIAL ANALYST TRADE VIOLATIONS: 0

| | | | | | 101 | | MALLIOI | Heibt vio | E 21110110 : 0 |
|--------------------------|------|--------|-----|-----------------|---------|--------|----------|-----------|-----------------------|
| Account | RR # | Symbol | B/S | Shares | s Price | MRI | Research | Comm. | ¢/Shr. |
| CHILTON CAPITAL MGMT. | 036 | ABD | С | 46,600 | 23.63 | n/a | n/a | 1,864.00 | 4.0 |
| SAXON WOODS ADVISORS | 038 | ACV | S | 20,000 | 23.71 | n/a | n/a | 1,000.00 | 5.0 |
| ROARING BLUE LION MGMT | 012 | AEO | В | 9,600 | 25.86 | n/a | 12-Jun | 480.00 | 5.0 |
| MAZAMA CAPITAL MGMT. | 035 | AMG | В | 71,350 | 126.78 | 25-Apr | 25-Jun | 2,854.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | ANF | s | 70,000 | 71.66 | n/a | 8-Jun | 2,800.00 | 4.0 |
| TRIVIUM CAP MGMT | 028 | ANF | С | 75 , 000 | 71.63 | n/a | 8-Jun | 3,000.00 | 4.0 |
| LUCHANSKY1 | 036 | APC | SS | 500 | 52.30 | 22-Jun | 22-Jun | 0.00 | 0.0 |
| LUCHANSKY | 036 | APC | S | 200 | 52.03 | 22-Jun | 22-Jun | 0.00 | 0.0 |
| WD PARTNERS ILP | 067 | ASD | В | 400 | 57.70 | 31-May | 25-Jun | 20.00 | 5.0 |
| LUCHANSKY | 036 | BJS | s | 600 | 27.84 | n/a | n/a | 0.00 | 0.0 |
| GRUBER MACBAINE | 033 | BLK | В | 6 , 500 | 156.17 | 26-Jun | 26-Jun | 260.00 | 4.0 |
| SUNOVA CAPITAL | 031 | BLK | В | 20,000 | 156.83 | 26-Jun | 26-Jun | 1,000.00 | 5.0 |
| MENCKE | 055 | вх | S | 100 | 31.15 | n/a | n/a | 0.00 | 0.0 |
| PAKLER | N22 | вх | S | 105 | 30.53 | n/a | n/a | 0.00 | 0.0 |
| BEAR STEARNS ASSET MGMT. | 033 | CHS | SS | 20,000 | 24.58 | 31-May | 8-Jun | 800.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | CHS | SS | 10,000 | 24.62 | 31-May | 8-Jun | 400.00 | 4.0 |
| TRIBECA | 038 | CHTT | В | 3,200 | 62.60 | 29-May | 1-Jun | 128.00 | 4.0 |

| | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢ | ;/Shr. |
|---|----------------------|------|--------|-----|---------|--------|--------|----------|----------|--------|
| | TRIBECA | 038 | CLX | В | 3,200 | 62.38 | 9-May | 25-May | 128.00 | 4.0 |
| | MAZAMA CAPITAL MGMT. | 035 | CNS | В | 43,300 | 43.29 | n/a | n/a | 1,732.00 | 4.0 |
| | J.W. SELIGMAN | 032 | COF | S | 133,700 | 79.08 | n/a | n/a | 5,348.00 | 4.0 |
| | AVESTA CAP | 229 | CSCO | В | 50,000 | 27.28 | n/a | 22-Mar | 2,500.00 | 5.0 |
| | WHITE PINE CAPITAL | 030 | CSCO | S | 600 | 27.32 | n/a | 22-Mar | 30.00 | 5.0 |
| | CASEY CAPITAL | 067 | CTR | В | 7,000 | 21.33 | n/a | n/a | 350.00 | 5.0 |
| õ | Glenn Redemann | | СХ | В | 2 | 0.8400 | n/a | n/a | 0.00 | 0.0 |
| õ | Glenn Redemann | | СХ | В | 2 | 0.8600 | n/a | n/a | 0.00 | 0.0 |
| | WHITE PINE CAPITAL | 030 | DAKT | S | 500 | 20.61 | n/a | n/a | 25.00 | 5.0 |
| | BARR | 096 | DITC | S | 2,700 | 8.01 | n/a | n/a | 0.00 | 0.0 |
| | FIRST INV MGMT CORP | 036 | DJ | S | 10,000 | 58.01 | n/a | n/a | 500.00 | 5.0 |
| | SAC TRADING HOWARD | 038 | DLTR | В | 15,000 | 43.58 | 30-May | 15-Jun | 750.00 | 5.0 |
| | BUCK CAPITAL MGMT | 001 | DSW | В | 40,000 | 34.03 | 7-May | 7–Jun | 1,600.00 | 4.0 |
| | FIRST INV MGMT CORP | 036 | DVR | В | 5,000 | 16.43 | n/a | n/a | 250.00 | 5.0 |
| | J.W. SELIGMAN | 032 | DYN | В | 30,000 | 9.55 | n/a | n/a | 1,200.00 | 4.0 |
| | J.W. SELIGMAN | 032 | EAS | S | 20,500 | 26.41 | n/a | n/a | 820.00 | 4.0 |

| Acco | punt | RR # | Symbol | B/S | 3 | Shares | Price | MRI | Research | Comm. | ¢/Shr. | _ |
|------|-----------------------|------|--------|-----|---|-----------------|--------|--------|----------|----------|--------|---|
| SYS | FEMATIC FINANCIAL MGT | 035 | ELY | В | | 15,300 | 17.75 | n/a | n/a | 573.75 | 3.8 | |
| BARI | R | 096 | EMKR | | s | 2,000 | 5.30 | n/a | n/a | 0.00 | 0.0 | |
| METI | ROPOLITAN CAPITAL | 044 | FL | В | | 82 , 500 | 21.95 | 24-May | 21-Jun | 4,125.00 | 5.0 | |
| MAZA | AMA CAPITAL MGMT. | 035 | FMR | В | | 40,000 | 20.63 | n/a | n/a | 1,600.00 | 4.0 | |
| LUCI | HANSKY | 036 | FSLR | | s | 100 | 85.59 | n/a | n/a | 0.00 | 0.0 | |
| KOR | MAN | 003 | FSYS | | s | 7,000 | 15.44 | n/a | n/a | 0.00 | 0.0 | |
| NUM | I | 060 | GE | | S | 116,100 | 38.06 | n/a | n/a | 3,483.00 | 3.0 | |
| NWQ | INVESTMENT MGMT CO | 048 | GFF | В | | 40,900 | 22.00 | n/a | n/a | 1,636.00 | 4.0 | |
| BLAG | CKROCK/BOSTON | 039 | GME | | S | 153,400 | 39.68 | n/a | n/a | 6,903.00 | 4.5 | |
| FRII | ESS MGMT | 042 | GME | В | | 145,100 | 39.92 | n/a | n/a | 6,529.50 | 4.5 | |
| PAKI | LER | N22 | GOOG | В | | 4 | 530.82 | n/a | n/a | 0.00 | 0.0 | |
| TRII | BECA | 038 | GTRC | В | | 2,900 | 50.25 | n/a | n/a | 116.00 | 4.0 | |
| TRII | BECA | 038 | HANS | В | | 4,100 | 42.80 | n/a | n/a | 164.00 | 4.0 | |
| MAT | THES CAPITAL MGMT | 033 | HBI | В | | 21,000 | 26.47 | n/a | n/a | 840.00 | 4.0 | |
| TROU | JBH PART | 067 | HBI | | S | 20,000 | 26.50 | n/a | n/a | 1,000.00 | 5.0 | |
| TRII | BECA | 038 | HLT | В | | 4,500 | 34.03 | n/a | n/a | 180.00 | 4.0 | |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | Shr. | _ |
|--------------------------|------|--------|-----|----------|-------|--------|----------|----------|------|---|
| MKT MAKER | 099 | HPOL | S | 12 | 5.31 | n/a | n/a | 0.00 | 0.0 | |
| WHEELER | 008 | HSTX | S | 1,554 | 18.17 | n/a | n/a | 0.00 | 0.0 | |
| WHITE PINE CAPITAL | 030 | IFF | S | 500 | 50.92 | 3-Мау | 21-Jun | 25.00 | 5.0 | |
| TRIBECA | 038 | IGT | В | 3,300 | 39.04 | n/a | 20-Apr | 132.00 | 4.0 | |
| PROSPECTOR PARTNERS LLC | 036 | IOSP | S | 5,000 | 60.75 | n/a | n/a | 200.00 | 4.0 | |
| GALLEON MGMT LP | 033 | IYR | S | S 5,000 | 76.79 | n/a | n/a | 250.00 | 5.0 | |
| TRIBECA | 038 | JAH | В | 5,200 | 43.07 | n/a | n/a | 208.00 | 4.0 | |
| BUCK CAPITAL MGMT | 001 | JCP | В | 5,000 | 70.06 | 21-Jun | 21-Jun | 200.00 | 4.0 | |
| WHITE PINE CAPITAL | 030 | JPM | S | 400 | 48.52 | n/a | 14-Jun | 20.00 | 5.0 | |
| STANDARD PACIFIC CAPITAL | 040 | KR | S | 169,650 | 27.96 | n/a | n/a | 8,482.50 | 5.0 | |
| BUCK CAPITAL MGMT | 001 | KSS | В | 15,000 | 68.75 | 14-Jun | 14-Jun | 600.00 | 4.0 | |
| MKT MAKER | 099 | LAVA | В | 7 | 14.42 | n/a | n/a | 0.00 | 0.0 | |
| MKT MAKER | 099 | LBTYA | В | 23 | 40.21 | n/a | n/a | 0.00 | 0.0 | |
| BALYASNY ASSET MGMT | 044 | LM | S | S 15,000 | 96.84 | 9-May | 26-Jun | 750.00 | 5.0 | |
| BARR | 096 | LPSN | S | s 2,500 | 5.28 | n/a | n/a | 0.00 | 0.0 | |

| | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | \$/Shr. |
|---|-------------------------|------|--------|-----|--------|--------|--------|----------|----------|---------|
| | BUCK CAPITAL MGMT | 001 | LTM | В | 20,000 | 53.38 | n/a | n/a | 800.00 | 4.0 |
| õ | Glenn Redemann | | LVS | В | 3 | 0.9100 | n/a | n/a | 0.00 | 0.0 |
| õ | Glenn Redemann | | LVS | В | 3 | 1.8200 | n/a | n/a | 0.00 | 0.0 |
| õ | Glenn Redemann | | LVS | SS | 3 | 1.8700 | n/a | n/a | 0.00 | 0.0 |
| Õ | Glenn Redemann | | LVS | SS | 3 | 3.0100 | n/a | n/a | 0.00 | 0.0 |
| | MS PRINCIPAL STRATEGIES | 040 | MAR | В | 25,000 | 43.96 | n/a | n/a | 1,250.00 | 5.0 |
| õ | Glenn Redemann | | MBT | В | 3 | 0.4100 | n/a | n/a | 0.00 | 0.0 |
| õ | Glenn Redemann | | MBT | В | 3 | 0.4200 | n/a | n/a | 0.00 | 0.0 |
| õ | Glenn Redemann | | MBT | SS | 3 | 1.0400 | n/a | n/a | 0.00 | 0.0 |
| Õ | Glenn Redemann | | MBT | SS | 3 | 1.2900 | n/a | n/a | 0.00 | 0.0 |
| | CATAPULT | 040 | MS | В | 2,500 | 84.33 | 21-Jun | 21-Jun | 125.00 | 5.0 |
| | PILOT ADV | 038 | М | S | 35,000 | 40.42 | 17-May | 8-Jun | 1,400.00 | 4.0 |
| | BARR | 096 | OPXT | s | 800 | 13.15 | n/a | n/a | 0.00 | 0.0 |
| | LUCHANSKY | 036 | OPY | S | 100 | 48.67 | n/a | n/a | 0.00 | 0.0 |
| | BUCK CAPITAL MGMT | 001 | OXM | S | 10,000 | 44.11 | n/a | n/a | 400.00 | 4.0 |
| | CAPITAL GROWTH MGMT. | 241 | PCU | S | 20,000 | 94.28 | n/a | n/a | 1,000.00 | 5.0 |
| | MKT MAKER | 099 | PERY | В | 21 | 29.20 | n/a | n/a | 0.00 | 0.0 |
| | MKT MAKER | 099 | PFCB | S | 100 | 35.29 | 24-Apr | 24-Apr | 0.00 | 0.0 |

| | Account | RR # | Symbol | B/S | Shares | : Price | MRI | Research | Comm. | \$/Shr. |
|---|------------------------|------|--------|-----|-----------------|---------|-------|----------|----------|---------|
| | KARSCH CAPITAL | 034 | PG | С | 215,000 | 61.19 | n/a | 25-Jun | 6,450.00 | 3.0 |
| | WHITE PINE CAPITAL | 030 | PRU | S | 500 | 97.14 | n/a | n/a | 25.00 | 5.0 |
| | LEDDY | 035 | QID | s | 800 | 46.42 | n/a | n/a | 0.00 | 0.0 |
| | TRIBECA | 038 | RCL | В | 3,500 | 42.39 | n/a | 2-May | 140.00 | 4.0 |
| | KORMAN | 003 | RQI | s | 100 | 20.24 | n/a | n/a | 0.00 | 0.0 |
| | WHEELER | 800 | SCKT | s | 25,000 | 0.84 | n/a | n/a | 0.00 | 0.0 |
| | LUCHANSKY | 036 | SHOO | s | 300 | 32.43 | n/a | n/a | 0.00 | 0.0 |
| õ | Glenn Redemann | | SI | В | 1 | 1.5500 | n/a | n/a | 0.00 | 0.0 |
| õ | Glenn Redemann | | SI | В | 1 | 1.8000 | n/a | n/a | 0.00 | 0.0 |
| | FRIESS MGMT | 042 | SKS | В | 197,900 | 21.02 | n/a | n/a | 8,905.50 | 4.5 |
| | PIVOT CAP | 034 | SKS | S | 11,250 | 20.88 | n/a | n/a | 562.50 | 5.0 |
| | MENCKE | 055 | SMSI | В | 100 | 15.59 | n/a | n/a | 0.00 | 0.0 |
| | LEDDY | 035 | SNEN | В | 3,500 | 2.50 | n/a | n/a | 0.00 | 0.0 |
| | REINHART & MAHONEY | 031 | SRE | В | 14,340 | 58.93 | n/a | n/a | 717.00 | 5.0 |
| | NWQ INVESTMENT MGMT CO | 048 | SSCC | В | 55 , 700 | 13.11 | 4-May | 14-Jun | 1,671.00 | 3.0 |
| | CATAPULT | 040 | STT | В | 2,500 | 67.84 | n/a | n/a | 125.00 | 5.0 |

| Account | RR # | Symbol | в/: | s | Shares | Price | MRI | Research | Comm. | ¢/Shr. | |
|--------------------------|---|---|---|--|--|--|--|--|---|---|--|
| BARR | 096 | SWIM | С | | 4,400 | 10.01 | n/a | n/a | 0.00 | 0.0 | |
| DAVIS SELECT ADV | 040 | S | | S | 179,600 | 22.10 | n/a | n/a | 5,388.00 | 3.0 | |
| WHEELER | 008 | TBAC | | s | 481 | 12.79 | n/a | n/a | 0.00 | 0.0 | |
| STADIA CAPITAL | 035 | TGT | | SS | 25,000 | 63.26 | n/a | 7-Jun | 1,000.00 | 4.0 | |
| PORTER-ORLIN-FELDMAN | 044 | TOL | | SS | 50,000 | 25.69 | n/a | n/a | 2,500.00 | 5.0 | |
| BUCK CAPITAL MGMT | 001 | TWB | В | | 50,000 | 43.26 | 23-May | 23-May | 2,000.00 | 4.0 | |
| TRIBECA | 038 | TWC | В | | 6,400 | 39.38 | n/a | 22-Jun | 256.00 | 4.0 | |
| FRIESS MGMT | 042 | URBN | В | | 195,100 | 23.61 | 2-Apr | 11-May | 8,779.50 | 4.5 | |
| J.W. SELIGMAN | 032 | USB | В | | 20,700 | 33.46 | n/a | n/a | 828.00 | 4.0 | |
| STANDARD PACIFIC CAPITAL | 040 | VNO | | S | 31,000 | 107.49 | n/a | n/a | 1,550.00 | 5.0 | |
| MKT MAKER | 099 | WFMI | | s | 300 | 38.22 | n/a | n/a | 0.00 | 0.0 | |
| ROBX | 302 | WU | В | | 210,700 | 20.47 | n/a | n/a | 8,428.00 | 4.0 | |
| TRIBECA | 038 | WWY | В | | 2,600 | 54.80 | n/a | n/a | 104.00 | 4.0 | |
| JP MORGAN VENTURES | 046 | ХОНО | В | | 25,000 | 4.40 | n/a | n/a | 1,000.00 | 4.0 | |
| BALYASNY ASSET MGMT | 044 | ZION | | SS | 10,000 | 77.96 | n/a | n/a | 500.00 | 5.0 | |
| | BARR DAVIS SELECT ADV WHEELER STADIA CAPITAL PORTER-ORLIN-FELDMAN BUCK CAPITAL MGMT TRIBECA FRIESS MGMT J.W. SELIGMAN STANDARD PACIFIC CAPITAL MKT MAKER ROBX TRIBECA JP MORGAN VENTURES | BARR 096 DAVIS SELECT ADV 040 WHEELER 008 STADIA CAPITAL 035 PORTER-ORLIN-FELDMAN 044 BUCK CAPITAL MGMT 001 TRIBECA 038 FRIESS MGMT 042 J.W. SELIGMAN 032 STANDARD PACIFIC CAPITAL 040 MKT MAKER 099 ROBX 302 TRIBECA 038 JP MORGAN VENTURES 046 | BARR 096 SWIM DAVIS SELECT ADV 040 S WHEELER 008 TBAC STADIA CAPITAL 035 TGT PORTER-ORLIN-FELDMAN 044 TOL BUCK CAPITAL MGMT 001 TWB TRIBECA 038 TWC FRIESS MGMT 042 URBN J.W. SELIGMAN 032 USB STANDARD PACIFIC CAPITAL 040 VNO MKT MAKER 099 WFMI ROBX 302 WU TRIBECA 038 WWY JP MORGAN VENTURES 046 XOHO | BARR 096 SWIM C DAVIS SELECT ADV 040 S WHEELER 008 TBAC STADIA CAPITAL 035 TGT PORTER-ORLIN-FELDMAN 044 TOL BUCK CAPITAL MGMT 001 TWB B TRIBECA 038 TWC B FRIESS MGMT 042 URBN B J.W. SELIGMAN 032 USB B STANDARD PACIFIC CAPITAL 040 VNO MKT MAKER 099 WFMI ROBX 302 WU B TRIBECA 038 WWY B JP MORGAN VENTURES 046 XOHO B | BARR 096 SWIM C DAVIS SELECT ADV 040 S S WHEELER 008 TBAC S STADIA CAPITAL 035 TGT SS PORTER-ORLIN-FELDMAN 044 TOL SS BUCK CAPITAL MGMT 001 TWB B TRIBECA 038 TWC B FRIESS MGMT 042 URBN B J.W. SELIGMAN 032 USB B STANDARD PACIFIC CAPITAL 040 VNO S MKT MAKER 099 WFMI S ROBX 302 WU B TRIBECA 038 WWY B JP MORGAN VENTURES 046 XOHO B | BARR 096 SWIM C 4,400 DAVIS SELECT ADV 040 S S 179,600 WHEELER 008 TBAC S 481 STADIA CAPITAL 035 TGT SS 25,000 PORTER-ORLIN-FELDMAN 044 TOL SS 50,000 BUCK CAPITAL MGMT 001 TWB B 50,000 TRIBECA 038 TWC B 6,400 FRIESS MGMT 042 URBN B 195,100 J.W. SELIGMAN 032 USB B 20,700 STANDARD PACIFIC CAPITAL 040 VNO S 31,000 MKT MAKER 099 WFMI S 300 ROBX 302 WU B 210,700 TRIBECA 038 WWY B 2,600 JP MORGAN VENTURES 046 XOHO B 25,000 | BARR 096 SWIM C 4,400 10.01 DAVIS SELECT ADV 040 S S 179,600 22.10 WHEELER 008 TBAC S 481 12.79 STADIA CAPITAL 035 TGT SS 25,000 63.26 PORTER-ORLIN-FELDMAN 044 TOL SS 50,000 25.69 BUCK CAPITAL MGMT 001 TWB B 50,000 43.26 TRIBECA 038 TWC B 6,400 39.38 FRIESS MGMT 042 URBN B 195,100 23.61 J.W. SELIGMAN 032 USB B 20,700 33.46 STANDARD PACIFIC CAPITAL 040 VNO S 31,000 107.49 MKT MAKER 099 WFMI S 300 38.22 ROBX 302 WU B 210,700 20.47 TRIBECA 038 WWY B 2,600 54.80 | BARR 096 SWIM C 4,400 10.01 n/a DAVIS SELECT ADV 040 S S 179,600 22.10 n/a WHEELER 008 TBAC S 481 12.79 n/a STADIA CAPITAL 035 TGT SS 25,000 63.26 n/a PORTER-ORLIN-FELDMAN 044 TOL SS 50,000 25.69 n/a BUCK CAPITAL MGMT 001 TWB B 50,000 43.26 23-May TRIBECA 038 TWC B 6,400 39.38 n/a J.W. SELIGMAN 042 URBN B 195,100 23.61 2-Apr J.W. SELIGMAN 032 USB B 20,700 33.46 n/a MKT MAKER 099 WFMI S 300 38.22 n/a ROBX 302 WU B 210,700 20.47 n/a JP MORGAN VENTURES 046 X0HO | BARR 096 SNIM C 4,400 10.01 n/a n/a DAVIS SELECT ADV 040 S 8 179,600 22.10 n/a n/a WHEELER 008 TBAC S 481 12.79 n/a n/a STADIA CAPITAL 035 TGT SS 25,000 63.26 n/a 7-Jun PORTER-ORLIN-FELDMAN 044 TOL SS 50,000 25.69 n/a n/a BUCK CAPITAL MGMT 001 TWB B 50,000 43.26 23-May 23-May TRIBECA 038 TWC B 6,400 39.38 n/a 22-Jun FRIESS MGMT 042 URBN B 195,100 23.61 2-Apr 11-May J.W. SELIGMAN 032 USB B 20,700 33.46 n/a n/a STANDARD PACIFIC CAPITAL 040 VNO S 31,000 107.49 n/a n/a ROB | BARR 096 SWIM C 4,400 10.01 n/a n/a 0.00 DAVIS SELECT ADV 040 S S 179,600 22.10 n/a n/a 5,388.00 WHEELER 008 TBAC S 481 12.79 n/a n/a 0.00 STADIA CAPITAL 035 TGT SS 25,000 63.26 n/a 7-Jun 1,000.00 PORTER-ORLIN-FELDMAN 044 TOL SS 50,000 25.69 n/a n/a 2,500.00 BUCK CAPITAL MGMT 01 TWB B 50,000 43.26 23-May 23-May 2,000.00 TRIBECA 038 TWC B 6,400 39.38 n/a 22-Jun 256.00 J.W. SELIGMAN 032 USB B 20,700 33.46 n/a n/a 1,550.00 MKT MAKER 099 WFMI S 300 38.22 n/a n/a 1,425.00 FOB | BARR 096 SWIM C 4,400 10.01 n/a n/a 0.00 0.00 DAVIS SELECT ADV 040 S S 179,600 22.10 n/a n/a 5,388.00 3.0 WHEELER 088 TBAC S 481 12.79 n/a n/a 0.00 0.0 STADIA CAPITAL 035 TCT SS 25,000 63.26 n/a 7-Jun 1,000.00 4.0 PORTER-ORLIN-FELDMAN 044 TOL SS 50,000 25.69 n/a n/a 2,500.00 5.0 BUCK CAPITAL MGMT 01 TWB B 50,000 43.26 23-May 23-May 2,000.00 4.0 TRIBECA 038 TWC B 6,400 39.38 n/a 22-Jun 256.00 4.5 J.W. SELIGMAN 032 USB B 20,700 33.46 n/a n/a 1,550.00 5.0 KKT MAKER 099 WFMI </td |

TOTAL (Trade Date): 123,761.25

Cancel/Corrects and As-Of Trades

| Туре | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI R | esearch | Comm. | ¢/Shr. |
|---------|-------|-------------------------------------|------|--------|-----|--------|-------|-------|---------|--------|--------|
| AO, | 06/25 | NICOLAS APPLEGATE (APPL761) | 048 | CMCO | В | 23,100 | 33.13 | n/a | n/a | 924.00 | 4.0 |
| AO, | 06/25 | BEAR STEARNS ASSET MGMT. (BSAM7091) | 033 | CPWM | SS | 1,000 | 8.07 | n/a | n/a | 40.00 | 4.0 |
| AO, | 06/25 | BEAR STEARNS ASSET MGMT. (BSAM888) | | CPWM | SS | 19,000 | 8.07 | n/a | n/a | 760.00 | 4.0 |
| AO,CXL | 06/21 | NEUBERGER BERMAN (NBER9W16) | 036 | EFII | S | 7,000 | 29.08 | n/a | n/a | 2.80 | 0.0 |
| AO, CRT | 06/21 | NEUBERGER BERMAN (NBER9W16) | 036 | EFII | S | 7,000 | 29.08 | n/a | n/a | 280.00 | 4.0 |
| AO,CXL | 06/25 | SSI INVESTORS (SSIISTATE) | 048 | NSR | В | 12,325 | 27.85 | n/a | n/a | 493.00 | 4.0 |
| AO, CRT | 06/25 | SSI INVESTORS (SSIIUBS PA) | 048 | NSR | В | 9,125 | 27.85 | n/a | n/a | 365.00 | 4.0 |
| AO, CXL | 06/25 | SSI INVESTORS (SSIISMITH) | 048 | NSR | В | 9,125 | 27.85 | n/a | n/a | 365.00 | 4.0 |
| AO, CRT | 06/25 | SSI INVESTORS (SSIISMITH) | 048 | NSR | В | 12,325 | 27.85 | n/a | n/a | 493.00 | 4.0 |
| AO, | 06/25 | REINHART & MAHONEY (REINSMITBA) | 031 | PKI | S | 80 | 25.88 | n/a | n/a | 4.00 | 5.0 |
| AO, | 06/25 | REINHART & MAHONEY (REINSOFMAR) | 031 | PKI | S | 275 | 25.88 | n/a | n/a | 13.75 | 5.0 |
| AO, | 06/25 | REINHART & MAHONEY (REINSOFRES) | 031 | PKI | S | 275 | 25.88 | n/a | n/a | 13.75 | 5.0 |
| ΑΟ, | 06/25 | REINHART & MAHONEY (REINWIGANN) | 031 | PKI | S | 270 | 25.88 | n/a | n/a | 13.50 | 5.0 |
| CRT | 06/26 | PIVOT CAP (PIVOMS) | | SKS | S | 11,250 | 20.88 | n/a | n/a | 562.50 | 5.0 |

| TOTAL | (AO, | CXL, | CRT): | 2,608. | 70 |
|-------|------|------|-------|--------|----|
| | | | | | |

| TOTAL (Trade Date): | 123,761.25 | |
|-----------------------|------------|--|
| TOTAL (AO, CXL, CRT): | 2,608.70 | |

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