



## Daily Compliance Activity Report

Trade Date: 12/04/2008

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account                  | RR # | Symbol | B/S | Shares  | Price | MRI    | Research | Comm. ¢/Shr. |     |
|--------------------------|------|--------|-----|---------|-------|--------|----------|--------------|-----|
| BARCLEYS CAP (OLD LEHM)  | 041  | AAPL   | S   | 25,000  | 93.74 | n/a    | n/a      | 1,000.00     | 4.0 |
| WINSLOW CAPITAL          | 030  | AAPL   | B   | 1,900   | 93.66 | n/a    | n/a      | 76.00        | 4.0 |
| SCOPUS FUND              | 041  | AAP    | B   | 5,000   | 30.01 | n/a    | n/a      | 250.00       | 5.0 |
| PERFORMANCE PART LP #2   | 041  | ACI    | B   | 10,000  | 13.33 | n/a    | n/a      | 300.00       | 3.0 |
| MATRIX ASSET ADV.        | 036  | ADI    | B   | 10,000  | 16.05 | n/a    | n/a      | 300.00       | 3.0 |
| CATAPULT                 | 040  | ALV    | S   | 10,815  | 19.29 | 26-Nov | 26-Nov   | 540.75       | 5.0 |
| BALYASNY ASSET MGMT      | 044  | AMG    | B   | 10,000  | 27.41 | 13-Nov | 2-Dec    | 500.00       | 5.0 |
| COUGAR TRADING           | 044  | AN     | B   | 5,000   | 10.09 | 7-Nov  | 7-Nov    | 250.00       | 5.0 |
| COUGAR TRADING           | 044  | AN     | SS  | 5,000   | 9.04  | 7-Nov  | 7-Nov    | 200.00       | 4.0 |
| WINSLOW CAPITAL          | 030  | APOL   | B   | 200     | 75.36 | n/a    | n/a      | 8.00         | 4.0 |
| SYSTEMATIC FINANCIAL MGT | 035  | ARO    | B   | 14,075  | 16.79 | n/a    | 4-Dec    | 526.41       | 3.7 |
| SANDLER O'NEILL ASSET    | 031  | BAC    | B   | 100,000 | 14.58 | 15-Oct | 17-Nov   | 5,000.00     | 5.0 |
| CADIAN CAPITAL           | 067  | BBBY   | B   | 42,800  | 23.16 | n/a    | n/a      | 1,712.00     | 4.0 |
| CADIAN CAPITAL           | 067  | BBBY   | S   | 2,800   | 23.17 | n/a    | n/a      | 112.00       | 4.0 |
| CADIAN CAPITAL           | 067  | BIG    | B   | 150,000 | 17.84 | n/a    | 2-Dec    | 6,000.00     | 4.0 |
| SCOPUS FUND              | 041  | BIG    | SS  | 39,900  | 16.97 | n/a    | 2-Dec    | 1,995.00     | 5.0 |

| Account                  | RR #       | Symbol     | B/S       | Shares        | Price        | MRI          | Research      | Comm. ¢/Shr.    |            |
|--------------------------|------------|------------|-----------|---------------|--------------|--------------|---------------|-----------------|------------|
| THIRD POINT MGMT         | 044        | BIG        | C         | 345,000       | 16.63        | n/a          | 2-Dec         | 13,800.00       | 4.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>BKE</b> | <b>B</b>  | <b>25,000</b> | <b>22.36</b> | <b>n/a</b>   | <b>n/a</b>    | <b>1,000.00</b> | <b>4.0</b> |
| AVESTA CAP               | 229        | BTU        | SS        | 20,000        | 20.85        | n/a          | n/a           | 1,000.00        | 5.0        |
| COUGAR TRADING           | 044        | BWA        | SS        | 5,000         | 20.78        | 26-Nov       | 26-Nov        | 250.00          | 5.0        |
| TRELLUS PARTNERS LP      | 028        | BWA        | SS        | 10,000        | 21.92        | 26-Nov       | 26-Nov        | 500.00          | 5.0        |
| PORTER-ORLIN-FELDMAN     | 044        | CHKP       | S         | 74,500        | 18.67        | n/a          | 3-Apr         | 2,235.00        | 3.0        |
| COUGAR TRADING           | 044        | CMG        | B         | 2,000         | 51.04        | 23-Oct       | 23-Oct        | 100.00          | 5.0        |
| CR INTRINIC INVESTMENT   | 044        | COH        | B         | 3,300         | 18.30        | 8-Oct        | 22-Oct        | 165.00          | 5.0        |
| <b>LISTED ERR</b>        | <b>099</b> | <b>COH</b> | <b>B</b>  | <b>300</b>    | <b>18.57</b> | <b>8-Oct</b> | <b>22-Oct</b> | <b>0.00</b>     | <b>0.0</b> |
| <b>LISTED ERR</b>        | <b>099</b> | <b>COH</b> | <b>S</b>  | <b>300</b>    | <b>18.60</b> | <b>8-Oct</b> | <b>22-Oct</b> | <b>0.00</b>     | <b>0.0</b> |
| ARTX                     | 304        | CRZO       | B         | 36,100        | 14.84        | n/a          | n/a           | 1,805.00        | 5.0        |
| WINSLOW CAPITAL          | 030        | CSCO       | B         | 13,400        | 15.97        | n/a          | 22-Mar        | 536.00          | 4.0        |
| WINSLOW CAPITAL          | 030        | CTSH       | B         | 10,200        | 17.85        | n/a          | n/a           | 408.00          | 4.0        |
| SANDLER O'NEILL ASSET    | 031        | C          | SS        | 25,000        | 8.08         | 15-Sep       | 24-Nov        | 750.00          | 3.0        |
| CENTURION GLOBAL MGMT LL | 041        | DELL       | B         | 18,300        | 10.31        | n/a          | n/a           | 549.00          | 3.0        |
| PILOT ADV                | 038        | DGX        | SS        | 6,000         | 45.41        | n/a          | n/a           | 240.00          | 4.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>DIN</b> | <b>SS</b> | <b>10,000</b> | <b>12.05</b> | <b>n/a</b>   | <b>n/a</b>    | <b>400.00</b>   | <b>4.0</b> |

| Account                  | RR #       | Symbol     | B/S      | Shares         | Price        | MRI        | Research      | Comm.¢/Shr.     |            |
|--------------------------|------------|------------|----------|----------------|--------------|------------|---------------|-----------------|------------|
| BENNETT LAWRENCE         | 045        | DNR        | S        | 53,950         | 8.72         | n/a        | n/a           | 2,427.75        | 4.5        |
| COUGAR TRADING           | 044        | DRI        | S        | 3,000          | 18.35        | 2-Dec      | 2-Dec         | 150.00          | 5.0        |
| VISIUM/BALY HOWARD       | 038        | DSW        | SS       | 20,000         | 10.09        | 14-Nov     | 25-Nov        | 1,000.00        | 5.0        |
| CATAPULT                 | 040        | EXP        | B        | 3,900          | 19.74        | n/a        | n/a           | 195.00          | 5.0        |
| WINSLOW CAPITAL          | 030        | FAST       | B        | 600            | 33.07        | n/a        | n/a           | 24.00           | 4.0        |
| SCOPUS FUND              | 041        | FDO        | SS       | 35,000         | 23.86        | 23-Jul     | 2-Dec         | 1,750.00        | 5.0        |
| TRELLUS PARTNERS LP      | 028        | FDO        | C        | 19,000         | 24.07        | 23-Jul     | 2-Dec         | 950.00          | 5.0        |
| SYSTEMATIC FINANCIAL MGT | 035        | FDP        | B        | 30,000         | 22.96        | n/a        | n/a           | 1,125.00        | 3.8        |
| GRISANTI BROWN & PARTNER | 048        | FDX        | B        | 36,690         | 71.11        | n/a        | n/a           | 1,834.50        | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>GCO</b> | <b>S</b> | <b>100,000</b> | <b>14.65</b> | <b>n/a</b> | <b>10-Jan</b> | <b>4,000.00</b> | <b>4.0</b> |
| WINSLOW CAPITAL          | 030        | GENZ       | B        | 800            | 62.45        | n/a        | n/a           | 32.00           | 4.0        |
| SIGMA CAPITAL ASSOCIATES | 237        | GES        | S        | 25,000         | 13.82        | n/a        | n/a           | 1,250.00        | 5.0        |
| WINSLOW CAPITAL          | 030        | GILD       | B        | 1,200          | 46.65        | n/a        | n/a           | 48.00           | 4.0        |
| WINSLOW CAPITAL          | 030        | GOOG       | B        | 200            | 280.47       | n/a        | n/a           | 8.00            | 4.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>GPS</b> | <b>B</b> | <b>150,000</b> | <b>13.25</b> | <b>n/a</b> | <b>2-Dec</b>  | <b>6,000.00</b> | <b>4.0</b> |
| CR INTRINIC INVESTMENT   | 044        | GPS        | S        | 50,000         | 13.73        | n/a        | 2-Dec         | 2,500.00        | 5.0        |

| Account                   | RR #       | Symbol     | B/S       | Shares         | Price        | MRI           | Research     | Comm. ¢/Shr.    |            |
|---------------------------|------------|------------|-----------|----------------|--------------|---------------|--------------|-----------------|------------|
| AELTUS/ING INVESTMENT MGT | 215        | GR         | B         | 27,840         | 33.04        | 23-Oct        | 18-Nov       | 974.40          | 3.5        |
| PORTER-ORLIN-FELDMAN      | 044        | GS         | B         | 30,000         | 69.95        | 15-Sep        | 3-Dec        | 900.00          | 3.0        |
| <b>BUCK CAPITAL MGMT</b>  | <b>001</b> | <b>HBI</b> | <b>B</b>  | <b>100,000</b> | <b>12.75</b> | <b>n/a</b>    | <b>n/a</b>   | <b>4,000.00</b> | <b>4.0</b> |
| KLEINHEINZ CAP PART       | 031        | HRB        | B         | 200,000        | 20.62        | n/a           | n/a          | 10,000.00       | 5.0        |
| SIGMA CAPITAL ASSOCIATES  | 237        | ICON       | SS        | 25,000         | 8.84         | n/a           | n/a          | 1,250.00        | 5.0        |
| CUMBERLAND                | 038        | JBHT       | SS        | 15,000         | 26.77        | n/a           | n/a          | 600.00          | 4.0        |
| <b>BUCK CAPITAL MGMT</b>  | <b>001</b> | <b>JCG</b> | <b>B</b>  | <b>100,000</b> | <b>11.77</b> | <b>n/a</b>    | <b>2-Dec</b> | <b>4,000.00</b> | <b>4.0</b> |
| SLS CAPITAL LLC           | 224        | JCG        | B         | 128,289        | 11.86        | n/a           | 2-Dec        | 5,131.56        | 4.0        |
| <b>BUCK CAPITAL MGMT</b>  | <b>001</b> | <b>JCP</b> | <b>SS</b> | <b>80,000</b>  | <b>20.10</b> | <b>17-Nov</b> | <b>2-Dec</b> | <b>3,200.00</b> | <b>4.0</b> |
| COUGAR TRADING            | 044        | JCP        | SS        | 15,000         | 20.51        | 17-Nov        | 2-Dec        | 750.00          | 5.0        |
| COBALT                    | 041        | JPM        | B         | 200,000        | 31.90        | 26-Sep        | 20-Nov       | 10,000.00       | 5.0        |
| <b>BUCK CAPITAL MGMT</b>  | <b>001</b> | <b>JWN</b> | <b>B</b>  | <b>100,000</b> | <b>12.47</b> | <b>14-Nov</b> | <b>2-Dec</b> | <b>4,000.00</b> | <b>4.0</b> |
| WHITE PINE CAPITAL        | 030        | KEG        | B         | 575            | 3.89         | n/a           | 20-Nov       | 17.25           | 3.0        |
| AVESTA CAP                | 229        | KIM        | B         | 25,000         | 15.95        | n/a           | n/a          | 1,250.00        | 5.0        |
| CASTLE ARK                | 031        | KSS        | B         | 131,630        | 34.57        | n/a           | 2-Dec        | 7,897.80        | 6.0        |
| COUGAR TRADING            | 044        | LM         | S         | 5,000          | 16.84        | 29-Oct        | 3-Dec        | 250.00          | 5.0        |

| Account                   | RR #       | Symbol     | B/S       | Shares        | Price        | MRI        | Research   | Comm. ¢/Shr.    |            |
|---------------------------|------------|------------|-----------|---------------|--------------|------------|------------|-----------------|------------|
| GRANAHAN INV              | 039        | LTD        | S         | 29,400        | 9.19         | 18-Nov     | 2-Dec      | 882.00          | 3.0        |
| SAXON WOODS ADVISORS      | 038        | MCK        | S         | 200,000       | 32.98        | n/a        | n/a        | 8,000.00        | 4.0        |
| PRINCIPLE CAPITAL         | 040        | MSFT       | S         | 68,500        | 19.47        | n/a        | 3-Apr      | 2,055.00        | 3.0        |
| WINSLOW CAPITAL           | 030        | MSFT       | B         | 8,900         | 19.78        | n/a        | 3-Apr      | 356.00          | 4.0        |
| CR INTRINIC INVESTMENT    | 044        | MYL        | SS        | 25,000        | 9.55         | n/a        | 2-Dec      | 1,250.00        | 5.0        |
| BARCLEYS CAP (OLD LEHM)   | 041        | M          | B         | 25,000        | 8.23         | 12-Aug     | 2-Dec      | 1,000.00        | 4.0        |
| AVESTA CAP                | 229        | NKE        | SS        | 20,000        | 51.64        | n/a        | n/a        | 1,000.00        | 5.0        |
| <b>BUCK CAPITAL MGMT</b>  | <b>001</b> | <b>NKE</b> | <b>SS</b> | <b>50,000</b> | <b>51.99</b> | <b>n/a</b> | <b>n/a</b> | <b>2,000.00</b> | <b>4.0</b> |
| AELTUS/ING INVESTMENT MGT | 215        | NOC        | B         | 27,740        | 40.12        | n/a        | n/a        | 970.90          | 3.5        |
| WINSLOW CAPITAL           | 030        | ORCL       | B         | 2,000         | 15.94        | n/a        | n/a        | 80.00           | 4.0        |
| TRELLUS PARTNERS LP       | 028        | PAG        | SS        | 10,000        | 6.82         | n/a        | 31-Oct     | 300.00          | 3.0        |
| PORTER-ORLIN-FELDMAN      | 044        | PCP        | S         | 11,600        | 53.01        | n/a        | n/a        | 348.00          | 3.0        |
| SUFFOLK CAPITAL MGMT      | 040        | PG         | S         | 200,000       | 62.35        | 10-Oct     | 25-Nov     | 8,000.00        | 4.0        |
| CRAMER ROSENTHAL/SCOTT    | 012        | PLCE       | B         | 12,500        | 20.50        | 21-Nov     | 4-Dec      | 500.00          | 4.0        |
| CR INTRINIC INVESTMENT    | 044        | PRGO       | SS        | 4,500         | 33.30        | n/a        | n/a        | 225.00          | 5.0        |
| WINSLOW CAPITAL           | 030        | QCOM       | B         | 1,700         | 31.04        | n/a        | n/a        | 68.00           | 4.0        |

| Account                | RR # | Symbol | B/S | Shares | Price | MRI    | Research | Comm. ¢/Shr. |     |
|------------------------|------|--------|-----|--------|-------|--------|----------|--------------|-----|
| BUCK CAPITAL MGMT      | 001  | RL     | B   | 20,000 | 46.19 | n/a    | 6-Nov    | 800.00       | 4.0 |
| WINSLOW CAPITAL        | 030  | SCHW   | B   | 8,200  | 17.25 | n/a    | n/a      | 328.00       | 4.0 |
| DEMARTINI              | 065  | SDS    | S   | 500    | 94.96 | n/a    | n/a      | 0.00         | 0.0 |
| NOMURA CAPITAL         | 045  | SGLP   | S   | 43,800 | 2.95  | n/a    | n/a      | 1,314.00     | 3.0 |
| PERFORMANCE PART LP #2 | 041  | SLV    | B   | 25,000 | 9.39  | n/a    | n/a      | 750.00       | 3.0 |
| WHITE PINE CAPITAL     | 030  | SMBL   | B   | 400    | 5.38  | n/a    | n/a      | 20.00        | 5.0 |
| CATAPULT               | 040  | SON    | S   | 4,381  | 24.85 | n/a    | n/a      | 219.05       | 5.0 |
| STRAUSS ASSET MGMT     | 040  | SPN    | B   | 10,000 | 13.05 | n/a    | n/a      | 400.00       | 4.0 |
| GRANAHAN INV           | 039  | STNR   | S   | 4,500  | 26.71 | n/a    | n/a      | 180.00       | 4.0 |
| MAGNETAR FINANCIAL     | 031  | STZ    | B   | 25,000 | 13.11 | n/a    | n/a      | 750.00       | 3.0 |
| PNC/MERCANTILE         | 028  | S      | S   | 18,515 | 2.58  | n/a    | n/a      | 370.30       | 2.0 |
| WINSLOW CAPITAL        | 030  | TEVA   | B   | 1,200  | 42.46 | 20-Oct | 2-Dec    | 48.00        | 4.0 |
| CATAPULT               | 040  | TFX    | S   | 2,800  | 46.41 | n/a    | n/a      | 140.00       | 5.0 |
| RBC CAPITAL MARKETS    | 034  | TGT    | SS  | 10,000 | 33.78 | 17-Nov | 4-Dec    | 400.00       | 4.0 |
| SCOPUS FUND            | 041  | TGT    | SS  | 10,000 | 34.33 | 17-Nov | 4-Dec    | 500.00       | 5.0 |
| COUGAR TRADING         | 044  | TJX    | SS  | 10,000 | 20.01 | 11-Aug | 2-Dec    | 500.00       | 5.0 |

| Account                | RR # | Symbol | B/S | Shares  | Price | MRI    | Research | Comm.¢/Shr. |     |
|------------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| DENVER INST. ADV       | 046  | TJX    | S   | 74,000  | 19.40 | 11-Aug | 2-Dec    | 2,960.00    | 4.0 |
| CATAPULT               | 040  | TRA    | B   | 7,000   | 12.91 | n/a    | n/a      | 350.00      | 5.0 |
| ROARING BLUE LION MGMT | 012  | TSCO   | SS  | 7,200   | 37.89 | n/a    | n/a      | 288.00      | 4.0 |
| COUGAR TRADING         | 044  | TWB    | S   | 7,000   | 4.20  | n/a    | 2-Dec    | 280.00      | 4.0 |
| PNC/MERCANTILE         | 028  | UNH    | S   | 18,255  | 20.11 | n/a    | n/a      | 912.75      | 5.0 |
| CATAPULT               | 040  | UTIW   | B   | 5,667   | 10.33 | n/a    | n/a      | 283.35      | 5.0 |
| LISTED ERR             | 099  | UTIW   | B   | 1,500   | 11.57 | n/a    | n/a      | 0.00        | 0.0 |
| LISTED ERR             | 099  | UTIW   | S   | 1,500   | 10.01 | n/a    | n/a      | 0.00        | 0.0 |
| PERFORMANCE PART LP #2 | 041  | UYG    | B   | 20,000  | 5.38  | n/a    | n/a      | 600.00      | 3.0 |
| BUCK CAPITAL MGMT      | 001  | VNO    | S   | 30,000  | 54.05 | n/a    | n/a      | 1,200.00    | 4.0 |
| PNC/MERCANTILE         | 028  | VOD    | S   | 15,648  | 18.22 | n/a    | n/a      | 782.40      | 5.0 |
| PNC/MERCANTILE         | 028  | WB     | S   | 15,971  | 5.46  | n/a    | n/a      | 798.55      | 5.0 |
| RBC CAPITAL MARKETS    | 034  | WMT    | B   | 5,000   | 54.54 | 10-Oct | 2-Dec    | 200.00      | 4.0 |
| BUCK CAPITAL MGMT      | 001  | WRC    | B   | 50,000  | 18.21 | 7-Nov  | 7-Nov    | 2,000.00    | 4.0 |
| 1798 CAPITAL MGMT      | 040  | WSM    | SS  | 100,000 | 8.44  | n/a    | n/a      | 3,000.00    | 3.0 |
| ASCEND PARTNERS        | 033  | XLP    | C   | 70,000  | 23.18 | n/a    | n/a      | 3,500.00    | 5.0 |
| BUCK CAPITAL MGMT      | 001  | YUM    | SS  | 20,000  | 27.66 | 14-Aug | 4-Dec    | 800.00      | 4.0 |

| Account                    | RR # | Symbol | B/S | Shares | Price | MRI    | Research | Comm. ¢/Shr.      |     |
|----------------------------|------|--------|-----|--------|-------|--------|----------|-------------------|-----|
| COUGAR TRADING             | 044  | YUM    | B   | 2,000  | 28.10 | 14-Aug | 4-Dec    | 100.00            | 5.0 |
| COUGAR TRADING             | 044  | YUM    | SS  | 5,000  | 27.27 | 14-Aug | 4-Dec    | 250.00            | 5.0 |
| COUGAR TRADING             | 044  | ZQK    | S   | 10,000 | 1.27  | 3-Nov  | 3-Nov    | 200.00            | 2.0 |
| <b>TOTAL (Trade Date):</b> |      |        |     |        |       |        |          | <b>172,282.72</b> |     |



**Cancel/Corrects and As-Of Trades**

| Type                          | Date         | Account                          | RR #       | Symbol      | B/S      | Shares       | Price        | MRI        | Research   | Comm.¢/Shr.     |
|-------------------------------|--------------|----------------------------------|------------|-------------|----------|--------------|--------------|------------|------------|-----------------|
| AO,                           | 12/03        | FORWARD MGMT (FORWMIDVAL)        | 033        | FCS         | S        | 4,700        | 3.70         | n/a        | n/a        | 235.00 5.0      |
| AO,                           | 12/03        | NOMURA CAPITAL (NOMUSTRATE)      | 045        | HAYZ        | S        | 23,706       | 0.40         | n/a        | n/a        | 474.12 2.0      |
| AO,                           | 12/03        | NOMURA CAPITAL (NOMUBATT2)       | 045        | HAYZ        | S        | 25,349       | 0.40         | n/a        | n/a        | 506.98 2.0      |
| AO,                           | 12/03        | NOMURA CAPITAL (NOMUBSMAIN)      | 045        | HAYZ        | S        | 28,594       | 0.40         | n/a        | n/a        | 571.88 2.0      |
| AO,                           | 12/03        | FORWARD MGMT (FORWMIDVAL)        | 033        | JBT         | B        | 7,500        | 7.85         | n/a        | n/a        | 375.00 5.0      |
| AO,CXL                        | 12/03        | 1798 CAPITAL MGMT (1798MS)       | 040        | JPM         | S        | 10,000       | 28.72        | 26-Sep     | 20-Nov     | 300.00 3.0      |
| AO,                           | 12/03        | 1798 CAPITAL MGMT (1798MS)       | 040        | JPM         | S        | 10,000       | 28.72        | 26-Sep     | 20-Nov     | 500.00 5.0      |
| AO,                           | 12/03        | CADIAN CAPITAL (CADIGS)          | 067        | JWN         | B        | 25,000       | 10.70        | 14-Nov     | 2-Dec      | 750.00 3.0      |
| AO,CXL                        | 12/03        | CADIAN CAPITAL (CADIMS)          | 067        | JWN         | B        | 125,000      | 10.70        | 14-Nov     | 2-Dec      | 3750.00 3.0     |
| AO,CRT                        | 12/03        | CADIAN CAPITAL (CADIMS)          | 067        | JWN         | B        | 100,000      | 10.70        | 14-Nov     | 2-Dec      | 3000.00 3.0     |
| AO,                           | 12/03        | FORWARD MGMT (FORWMIDVAL)        | 033        | KSS         | S        | 1,300        | 32.84        | n/a        | 2-Dec      | 65.00 5.0       |
| <b>CRT</b>                    | <b>12/04</b> | <b>LISTED ERR (LISTED ERR)</b>   | <b>099</b> | <b>UTIW</b> | <b>S</b> | <b>1,500</b> | <b>10.01</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00 0.0</b> |
| AO,                           | 12/03        | DIAMONDBACK CAP MGMT (DIAMJPMBS) | 232        | WSM         | SS       | 5,400        | 7.31         | n/a        | n/a        | 270.00 5.0      |
| AO,                           | 12/03        | DIAMONDBACK CAP MGMT (DIAMJPMBS) | 232        | WSM         | SS       | 12,500       | 7.30         | n/a        | n/a        | 625.00 5.0      |
| AO,                           | 12/03        | DIAMONDBACK CAP MGMT (DIAMJPMBS) | 232        | WSM         | SS       | 7,100        | 7.26         | n/a        | n/a        | 355.00 5.0      |
| <b>TOTAL (AO, CXL, CRT) :</b> |              |                                  |            |             |          |              |              |            |            | <b>3,677.98</b> |

TOTAL (Trade Date):

172,282.72

TOTAL (AO, CXL, CRT):

3,677.98

**TOTAL (RUN DATE) / NFS:**

**175,960.70**

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