



Daily Compliance Activity Report

Trade Date: 08/02/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------|------------|------------|----------|------------|--------------|--------------|---------------|--------------|------------|
| PATTEN & PATTEN | 067 | AB | B | 50 | 84.22 | 25-Jul | 2-Aug | 2.50 | 5.0 |
| COUGAR TRADING | 044 | AEO | S | 10,000 | 24.89 | 10-Jul | 13-Jul | 500.00 | 5.0 |
| COUGAR TRADING | 044 | ANF | S | 5,000 | 71.81 | 12-Jul | 13-Jul | 250.00 | 5.0 |
| SARAS CAPITAL | 038 | AN | SS | 10,000 | 19.30 | n/a | 27-Jul | 500.00 | 5.0 |
| MAZAMA CAPITAL MGMT. | 035 | AOS | S | 20,000 | 49.82 | 18-Jul | 18-Jul | 800.00 | 4.0 |
| COUGAR TRADING | 044 | ARO | SS | 5,000 | 38.17 | n/a | 13-Jul | 250.00 | 5.0 |
| ROBERTSON OPP CAPITAL | 031 | ASD | S | 10,000 | 38.02 | 18-Jul | 23-Jul | 400.00 | 4.0 |
| PATTEN & PATTEN | 067 | BAC | B | 200 | 47.80 | 20-Apr | 20-Jul | 10.00 | 5.0 |
| CAPITAL GROWTH MGMT. | 241 | BA | B | 10,000 | 105.70 | n/a | n/a | 500.00 | 5.0 |
| LUCHANSKY2 | 036 | BIG | C | 200 | 26.42 | 9-Mar | 27-Jul | 0.00 | 0.0 |
| ROTHSCHILD ASSET | 040 | BMR | S | 75,000 | 22.04 | n/a | n/a | 3,375.00 | 4.5 |
| MAGNETAR FINANCIAL | 247 | BWTR | S | 25,000 | 10.56 | n/a | n/a | 1,000.00 | 4.0 |
| FARALLON CAP MGMT | 040 | CBS | SS | 79,700 | 32.49 | n/a | n/a | 3,188.00 | 4.0 |
| THIRD COAST CAPITAL | 035 | COH | B | 12,500 | 47.66 | n/a | 1-Aug | 625.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------|------|--------|-----|---------|--------|--------|----------|-------------|-----|
| TRUST CO/COWEN/CALF. | 040 | CSE | B | 83,140 | 19.70 | n/a | n/a | 3,325.60 | 4.0 |
| AVESTA CAP | 229 | CVS | B | 25,000 | 36.50 | n/a | n/a | 1,250.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | CVS | B | 15,000 | 36.43 | n/a | n/a | 750.00 | 5.0 |
| Õ Glenn Redemann | | DE | B | 4 | 1.8900 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | DE | B | 4 | 3.1800 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | DE | SS | 4 | 3.1900 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | DE | SS | 4 | 4.5800 | n/a | n/a | 0.00 | 0.0 |
| WELLS/STRONG LEDDY | 035 | DRAX | B | 10,600 | 5.07 | n/a | n/a | 424.00 | 4.0 |
| JP MORGAN VENTURES | 046 | DSW | B | 15,000 | 34.12 | 2-Aug | 2-Aug | 750.00 | 5.0 |
| SATELLITE ASSET MGMT | 012 | DSW | B | 26,300 | 33.46 | 2-Aug | 2-Aug | 1,052.00 | 4.0 |
| CAPITAL GROWTH MGMT. | 241 | DVN | B | 3,500 | 78.37 | 18-Jul | 20-Jul | 175.00 | 5.0 |
| ROTHSCHILD ASSET | 040 | EAT | S | 23,150 | 27.21 | 24-Apr | 24-Apr | 1,041.75 | 4.5 |
| BALYASNY ASSET MGMT | 044 | EL | SS | 5,000 | 44.91 | 11-Jun | 11-Jun | 250.00 | 5.0 |
| PATTEN & PATTEN | 067 | EPR | S | 150 | 44.85 | n/a | n/a | 7.50 | 5.0 |
| BLACKROCK/BOSTON | 039 | EXLS | B | 300 | 17.52 | n/a | n/a | 13.50 | 4.5 |
| WHEELER | 008 | EXTR | S | 27,543 | 4.02 | n/a | 22-Mar | 0.00 | 0.0 |
| PATTEN & PATTEN | 067 | FPL | B | 75 | 59.88 | n/a | n/a | 3.75 | 5.0 |
| EATON VANCE MGMT | 039 | GE | B | 163,320 | 38.80 | n/a | n/a | 4,899.60 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|-----------|----------------|--------------|---------------|---------------|---------------|------------|
| COUGAR TRADING | 044 | GIL | S | 10,000 | 33.56 | 21-Jun | 2-Aug | 500.00 | 5.0 |
| EGS ASSOCIATES LP | 091 | GIL | SS | 5,000 | 33.00 | 21-Jun | 2-Aug | 300.00 | 6.0 |
| CAXTON PART | 040 | GLW | S | 200,230 | 23.87 | n/a | 1-Aug | 8,009.20 | 4.0 |
| SANDLER CAPITAL | 038 | GRP | S | 63,400 | 53.33 | n/a | n/a | 3,804.00 | 6.0 |
| PATTEN & PATTEN | 067 | HON | B | 100 | 58.93 | 19-Jul | 19-Jul | 5.00 | 5.0 |
| PROSPECTOR PARTNERS LLC | 036 | HRB | B | 25,000 | 20.19 | n/a | n/a | 1,000.00 | 4.0 |
| STRAUSS ASSET MGMT | 040 | HYC | S | 30,000 | 4.78 | n/a | n/a | 1,500.00 | 5.0 |
| CAPITAL GROWTH MGMT. | 241 | IHP | B | 15,000 | 64.58 | n/a | n/a | 750.00 | 5.0 |
| WHEELER | 008 | IMMC | B | 127,100 | 1.27 | n/a | n/a | 0.00 | 0.0 |
| KARSCH CAPITAL | 034 | IWM | C | 450,000 | 77.98 | n/a | n/a | 13,500.00 | 3.0 |
| BALYASNY ASSET MGMT | 044 | JCP | B | 15,000 | 68.70 | 21-Jun | 13-Jul | 750.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | JWN | B | 20,000 | 48.01 | 12-Jul | 26-Jul | 800.00 | 4.0 |
| PATTEN & PATTEN | 067 | KO | B | 200 | 53.59 | n/a | n/a | 10.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | KSS | B | 10,000 | 60.42 | 14-Jun | 27-Jul | 400.00 | 4.0 |
| DISCIPLINED GROWTH INV. | 030 | LVL | B | 11,300 | 5.50 | 26-Jul | 27-Jul | 565.00 | 5.0 |
| TRIBECA | 038 | MCO | SS | 10,000 | 57.03 | n/a | n/a | 400.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|--------|--------|----------|-------------|-----|
| PATTEN & PATTEN | 067 | MIC | B | 75 | 40.36 | n/a | n/a | 3.75 | 5.0 |
| LAPIDES ASSET MGMT | 034 | MOLX | B | 17,000 | 25.00 | n/a | n/a | 680.00 | 4.0 |
| MATRIX ASSET ADV. | 036 | MS | B | 2,000 | 63.50 | 2-Jul | 2-Aug | 80.00 | 4.0 |
| BULL PATH CAPITAL | 044 | MW | B | 33,500 | 49.79 | n/a | n/a | 1,675.00 | 5.0 |
| DAVIDSON KEMPNER ADVISOR | 217 | NCC | SS | 168,000 | 29.65 | n/a | n/a | 8,400.00 | 5.0 |
| Õ Glenn Redemann | | NE | B | 3 | 0.5300 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | NE | B | 3 | 0.5600 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | NE | SS | 3 | 1.2100 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | NE | SS | 3 | 1.5500 | n/a | n/a | 0.00 | 0.0 |
| CARLYLE BLUE WAVE PR MG | 224 | NWS | SS | 14,000 | 22.95 | n/a | n/a | 700.00 | 5.0 |
| MAZAMA CAPITAL MGMT. | 035 | NZ | S | 14,700 | 16.10 | n/a | n/a | 588.00 | 4.0 |
| JP MORGAN VENTURES | 046 | OXM | S | 25,000 | 40.09 | n/a | n/a | 1,250.00 | 5.0 |
| PATTEN & PATTEN | 067 | PCL | S | 250 | 39.82 | 10-Jul | 24-Jul | 12.50 | 5.0 |
| BALYASNY ASSET MGMT | 044 | PG | B | 10,000 | 62.97 | n/a | 30-Jul | 500.00 | 5.0 |
| CR INTRINIC INVESTMENT | 044 | QQQQ | B | 200,000 | 48.17 | n/a | n/a | 6,000.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | RL | S | 10,000 | 89.04 | 21-Jun | 27-Jun | 400.00 | 4.0 |
| PATTEN & PATTEN | 067 | RYN | S | 300 | 42.94 | n/a | 2-Aug | 15.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|-------------|----------|------------|-------------|------------|------------|--------------|------------|
| MATTHES CAPITAL MGMT | 033 | SHOO | SS | 20,000 | 27.51 | n/a | n/a | 1,000.00 | 5.0 |
| PATTEN & PATTEN | 067 | SRE | B | 250 | 56.05 | n/a | n/a | 12.50 | 5.0 |
| COUGAR TRADING | 044 | SSI | SS | 5,000 | 17.71 | 25-May | 13-Jul | 250.00 | 5.0 |
| KERN | 050 | SUPG | S | 500 | 5.00 | n/a | n/a | 0.00 | 0.0 |
| DAVIDSON KEMPNER ADVISOR | 217 | TIN | B | 25,000 | 56.59 | 25-Jul | 26-Jul | 1,250.00 | 5.0 |
| DISCIPLINED GROWTH INV. | 030 | TJX | B | 3,500 | 28.15 | 13-Jul | 13-Jul | 175.00 | 5.0 |
| THE BOSTON COMPANY | 214 | TJX | B | 42,000 | 28.03 | 13-Jul | 13-Jul | 1,680.00 | 4.0 |
| JP MORGAN VENTURES | 046 | TLB | SS | 20,000 | 22.39 | n/a | 17-Jul | 1,000.00 | 5.0 |
| RIVER RUN MGMT | 031 | TRMP | B | 30,060 | 5.94 | n/a | n/a | 1,202.40 | 4.0 |
| SANDLER O'NEILL ASSET | 031 | TROW | S | 20,000 | 50.96 | n/a | 2-Aug | 1,000.00 | 5.0 |
| PRINCIPLE CAPITAL | 040 | TUP | SS | 56,000 | 31.98 | n/a | n/a | 1,680.00 | 3.0 |
| Õ Glenn Redemann | | TXI | B | 3 | 0.9000 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | TXI | B | 3 | 1.7700 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | TXI | SS | 3 | 1.7500 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | TXI | SS | 3 | 2.7100 | n/a | n/a | 0.00 | 0.0 |
| ROSEDALE CAPITAL | 046 | UNT | B | 10,000 | 53.79 | n/a | 20-Jul | 500.00 | 5.0 |
| TRIVIUM CAP MGMT | 028 | URBN | B | 150,000 | 21.22 | 31-Jul | 31-Jul | 6,000.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------|------|--------|-----|---------|-------|--------|----------|--------------|-----|
| HIGHBRIDGE CAPITAL | 038 | URS | B | 10,000 | 49.51 | n/a | n/a | 500.00 | 5.0 |
| FARALLON CAP MGMT | 040 | WAG | S | 266,000 | 44.82 | n/a | n/a | 10,640.00 | 4.0 |
| ROBERTSON OPP CAPITAL | 031 | WBC | B | 10,000 | 48.23 | n/a | n/a | 400.00 | 4.0 |
| PATTEN & PATTEN | 067 | WLP | S | 100 | 75.49 | n/a | n/a | 5.00 | 5.0 |
| WHEELER | 008 | WVLAP | S | 30 | 15.50 | n/a | n/a | 0.00 | 0.0 |
| LEDDY | 035 | WY | B | 400 | 69.39 | 13-Jul | 13-Jul | 0.00 | 0.0 |
| TOTAL (Trade Date): | | | | | | | | 105,235.55 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------|-------|------------------------------|------|--------|-----|--------|-------|--------|----------|-------------|
| AO, | 08/01 | ARIENCE CAPITAL (ARIEMORGAN) | 036 | BYD | B | 31,200 | 42.24 | 2-Aug | 2-Aug | 1560.00 5.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC1681) | 036 | CMG | B | 300 | 96.64 | 24-Apr | 24-Apr | 12.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC1400) | 036 | CMG | B | 150 | 96.64 | 24-Apr | 24-Apr | 6.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC1210) | 036 | CMG | B | 60 | 96.64 | 24-Apr | 24-Apr | 2.40 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC0700) | 036 | CMG | B | 2,000 | 96.64 | 24-Apr | 24-Apr | 80.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC4900) | 036 | CMG | B | 400 | 96.64 | 24-Apr | 24-Apr | 16.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC6630) | 036 | CMG | B | 200 | 96.64 | 24-Apr | 24-Apr | 8.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC1200) | 036 | CMG | B | 200 | 96.64 | 24-Apr | 24-Apr | 8.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLNC01) | 036 | CMG | B | 200 | 96.64 | 24-Apr | 24-Apr | 8.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLNC02) | 036 | CMG | B | 100 | 96.64 | 24-Apr | 24-Apr | 4.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR26) | 036 | CMG | B | 50 | 96.64 | 24-Apr | 24-Apr | 2.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC6810) | 036 | CMG | B | 30 | 96.64 | 24-Apr | 24-Apr | 1.20 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR27) | 036 | CMG | B | 30 | 96.64 | 24-Apr | 24-Apr | 1.20 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC1320) | 036 | CMG | B | 6,000 | 96.64 | 24-Apr | 24-Apr | 240.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR28) | 036 | CMG | B | 40 | 96.64 | 24-Apr | 24-Apr | 1.60 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCL0058) | 036 | CMG | B | 30 | 96.64 | 24-Apr | 24-Apr | 1.20 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR29) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR56) | 036 | CMG | B | 50 | 96.64 | 24-Apr | 24-Apr | 2.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR32) | 036 | CMG | B | 10 | 96.64 | 24-Apr | 24-Apr | 0.40 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR57) | 036 | CMG | B | 50 | 96.64 | 24-Apr | 24-Apr | 2.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR31) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLB052) | 036 | CMG | B | 11 | 96.64 | 24-Apr | 24-Apr | 0.44 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLB053) | 036 | CMG | B | 13 | 96.64 | 24-Apr | 24-Apr | 0.52 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR24) | 036 | CMG | B | 14 | 96.64 | 24-Apr | 24-Apr | 0.56 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLB054) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR25) | 036 | CMG | B | 30 | 96.64 | 24-Apr | 24-Apr | 1.20 4.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------|-------|------------------------------|------|--------|-----|--------|-------|--------|----------|-------------|
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLB051) | 036 | CMG | B | 17 | 96.64 | 24-Apr | 24-Apr | 0.68 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR30) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLB055) | 036 | CMG | B | 10 | 96.64 | 24-Apr | 24-Apr | 0.40 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCLB050) | 036 | CMG | B | 13 | 96.64 | 24-Apr | 24-Apr | 0.52 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLNC04) | 036 | CMG | B | 600 | 96.64 | 24-Apr | 24-Apr | 24.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCBK0022) | 036 | CMG | B | 7 | 96.64 | 24-Apr | 24-Apr | 0.28 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC4026) | 036 | CMG | B | 300 | 96.64 | 24-Apr | 24-Apr | 12.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR23) | 036 | CMG | B | 30 | 96.64 | 24-Apr | 24-Apr | 1.20 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLB039) | 036 | CMG | B | 40 | 96.64 | 24-Apr | 24-Apr | 1.60 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR22) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLB040) | 036 | CMG | B | 30 | 96.64 | 24-Apr | 24-Apr | 1.20 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR21) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLB041) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCALL01) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLB042) | 036 | CMG | B | 10 | 96.64 | 24-Apr | 24-Apr | 0.40 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCBKON14) | 036 | CMG | B | 14 | 96.64 | 24-Apr | 24-Apr | 0.56 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLB043) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC4470) | 036 | CMG | B | 40 | 96.64 | 24-Apr | 24-Apr | 1.60 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLB044) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR20) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLB045) | 036 | CMG | B | 10 | 96.64 | 24-Apr | 24-Apr | 0.40 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR19) | 036 | CMG | B | 40 | 96.64 | 24-Apr | 24-Apr | 1.60 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLB046) | 036 | CMG | B | 10 | 96.64 | 24-Apr | 24-Apr | 0.40 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR18) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLB047) | 036 | CMG | B | 10 | 96.64 | 24-Apr | 24-Apr | 0.40 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR17) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLB048) | 036 | CMG | B | 10 | 96.64 | 24-Apr | 24-Apr | 0.40 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCBKON12) | 036 | CMG | B | 7 | 96.64 | 24-Apr | 24-Apr | 0.28 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLB049) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCBKON8) | 036 | CMG | B | 9 | 96.64 | 24-Apr | 24-Apr | 0.36 4.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------|-------|------------------------------|------|--------|-----|--------|-------|--------|----------|-------------|
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLB038) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCBKON7) | 036 | CMG | B | 9 | 96.64 | 24-Apr | 24-Apr | 0.36 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLB037) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC6800) | 036 | CMG | B | 100 | 96.64 | 24-Apr | 24-Apr | 4.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLB036) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR14) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLB035) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR12) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCBK0021) | 036 | CMG | B | 5 | 96.64 | 24-Apr | 24-Apr | 0.20 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR11) | 036 | CMG | B | 70 | 96.64 | 24-Apr | 24-Apr | 2.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC0260) | 036 | CMG | B | 150 | 96.64 | 24-Apr | 24-Apr | 6.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR9) | 036 | CMG | B | 10 | 96.64 | 24-Apr | 24-Apr | 0.40 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR33) | 036 | CMG | B | 16 | 96.64 | 24-Apr | 24-Apr | 0.64 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR8) | 036 | CMG | B | 30 | 96.64 | 24-Apr | 24-Apr | 1.20 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR34) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR7) | 036 | CMG | B | 60 | 96.64 | 24-Apr | 24-Apr | 2.40 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR5) | 036 | CMG | B | 50 | 96.64 | 24-Apr | 24-Apr | 2.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCBKON2) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCBKON1) | 036 | CMG | B | 4 | 96.64 | 24-Apr | 24-Apr | 0.16 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC4460) | 036 | CMG | B | 3,000 | 96.64 | 24-Apr | 24-Apr | 120.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC4430) | 036 | CMG | B | 500 | 96.64 | 24-Apr | 24-Apr | 20.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC2100) | 036 | CMG | B | 4,000 | 96.64 | 24-Apr | 24-Apr | 160.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC1540) | 036 | CMG | B | 200 | 96.64 | 24-Apr | 24-Apr | 8.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR4) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR3) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR2) | 036 | CMG | B | 90 | 96.64 | 24-Apr | 24-Apr | 3.60 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCCLBR1) | 036 | CMG | B | 30 | 96.64 | 24-Apr | 24-Apr | 1.20 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC3720) | 036 | CMG | B | 100 | 96.64 | 24-Apr | 24-Apr | 4.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLCBKON18) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC4005) | 036 | CMG | B | 4,500 | 96.64 | 24-Apr | 24-Apr | 180.00 4.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|-------------------------------------|------|--------|-----|---------|-------|--------|----------|-----------------|
| AO, | 08/01 | COLUMBUS CIRCLE (COLC5370) | 036 | CMG | B | 1,200 | 96.64 | 24-Apr | 24-Apr | 48.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC4930) | 036 | CMG | B | 20 | 96.64 | 24-Apr | 24-Apr | 0.80 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC4690) | 036 | CMG | B | 50 | 96.64 | 24-Apr | 24-Apr | 2.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC4680) | 036 | CMG | B | 300 | 96.64 | 24-Apr | 24-Apr | 12.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC0200) | 036 | CMG | B | 600 | 96.64 | 24-Apr | 24-Apr | 24.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC4700) | 036 | CMG | B | 200 | 96.64 | 24-Apr | 24-Apr | 8.00 4.0 |
| AO, | 08/01 | COLUMBUS CIRCLE (COLC4051) | 036 | CMG | B | 1,000 | 96.64 | 24-Apr | 24-Apr | 40.00 4.0 |
| AO,CXL | 08/01 | SENECA CAPITAL LP NY (SENEMORGAN) | 028 | IWM | B | 140,000 | 77.65 | n/a | n/a | 7000.00 5.0 |
| AO, | 08/01 | SENECA CAPITAL LP NY (SENEMORGAN) | 028 | IWM | B | 104,000 | 77.65 | n/a | n/a | 5200.00 5.0 |
| AO, | 08/01 | WILLIAM BLAIR (WBLA57MUND) | 031 | KNX | S | 3,350 | 17.87 | n/a | n/a | 134.00 4.0 |
| AO, | 08/01 | WILLIAM BLAIR (WBLA57WALR) | 031 | KNX | S | 3,727 | 17.87 | n/a | n/a | 149.08 4.0 |
| AO, | 08/01 | WILLIAM BLAIR (WBLA57MUNP) | 031 | KNX | S | 3,052 | 17.87 | n/a | n/a | 122.08 4.0 |
| AO, | 08/01 | WILLIAM BLAIR (WBLA54DUKP) | 031 | KNX | S | 5,565 | 17.87 | n/a | n/a | 222.60 4.0 |
| AO, | 08/01 | WILLIAM BLAIR (WBLA54REGE) | 031 | KNX | S | 2,470 | 17.87 | n/a | n/a | 98.80 4.0 |
| AO, | 08/01 | WILLIAM BLAIR (WBLA57FIEL) | 031 | KNX | S | 2,930 | 17.87 | n/a | n/a | 117.20 4.0 |
| AO, | 08/01 | WILLIAM BLAIR (WBLA54CARL) | 031 | KNX | S | 5,802 | 17.87 | n/a | n/a | 232.08 4.0 |
| AO, | 08/01 | WILLIAM BLAIR (WBLA54KERF) | 031 | KNX | S | 3,340 | 17.87 | n/a | n/a | 133.60 4.0 |
| AO, | 08/01 | CRYSTAL ROCK CAP MGMT (CRYSBEARPB) | 031 | KO | B | 11,900 | 52.61 | n/a | n/a | 595.00 5.0 |
| AO, | 08/01 | PIVOT CAP (PIVOMS) | 034 | KSS | S | 5,000 | 59.04 | 14-Jun | 27-Jul | 250.00 5.0 |
| AO,CXL | 07/27 | ROARING BLUE LION MGMT (ROAR4CENTS) | 012 | SHOO | SS | 12,000 | 30.01 | n/a | n/a | 600.00 5.0 |
| AO,CRT | 07/27 | ROARING BLUE LION MGMT (ROAR4CENTS) | 012 | SHOO | SS | 12,000 | 30.01 | n/a | n/a | 480.00 4.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 2,813.20 |

TOTAL (Trade Date):

105,235.55

TOTAL (AO, CXL, CRT):

2,813.20

TOTAL (RUN DATE) / NFS:

108,048.75

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