

**FINANCIAL INDUSTRY REGULATORY AUTHORITY
LETTER OF ACCEPTANCE, WAIVER AND CONSENT
NO. 20050031852-02**

TO: Department of Market Regulation
Financial Industry Regulatory Authority ("FINRA")

RE: **Domestic Securities, Inc.**, Respondent
Broker-Dealer
CRD No. 34721

Pursuant to FINRA Rule 9216 of FINRA's Code of Procedure, Domestic Securities, Inc. (the "firm") submits this Letter of Acceptance, Waiver and Consent ("AWC") for the purpose of proposing a settlement of the alleged rule violations described below. This AWC is submitted on the condition that, if accepted, FINRA will not bring any future actions against the firm alleging violations based on the same factual findings described herein.

I.

ACCEPTANCE AND CONSENT

- A. The firm hereby accepts and consents, without admitting or denying the findings, and solely for the purposes of this proceeding and any other proceeding brought by or on behalf of FINRA, or to which FINRA is a party, prior to a hearing and without an adjudication of any issue of law or fact, to the entry of the following findings by FINRA:

BACKGROUND

The firm has been a member of FINRA since May 6, 1994. The firm's registration remains in effect.

RELEVANT DISCIPLINARY HISTORY

On October 13, 2008, an AWC became final wherein DOMS was censured, fined \$15,000 for trade reporting and supervision violations, and required to update the firm's written supervisory procedures. On January 9, 2007, an AWC became final wherein DOMS was censured, fined \$28,000 for ACT reporting, supervision, and trade reporting violations, and required to update the firm's procedures.

SUMMARY

This matter arose out of the following reviews:

- 20050031852, wherein the Market Regulation Department staff (the "staff") reviewed the firm's compliance with limit order protection ("LOP") requirements during the period July 1, 2005 through September 30, 2005 (the "3rd quarter 2005 LOP review period").
- 20060060099, wherein the staff reviewed the firm's compliance with NASD Rule 2111 during the period January 9, 2006 through March 31, 2006 (the "1st quarter 2006 MOP review period").
- 20070084195, wherein the staff reviewed the firm's handling and execution of market orders during the period October 1, 2006 through December 31, 2006 (the "4th quarter 2006 market order timeliness review period").
- 20080130348, wherein the staff reviewed the firm's handling and execution of market orders during the period July 1, 2007 through September 30, 2007 (the "3rd quarter 2007 market order review period").
- 20080132035, wherein the staff reviewed the firm's compliance with market order protection ("MOP") during the period January 1, 2007 through June 30, 2007 (the "1st half 2007 MOP review period").
- 20080141264, the 2008 Trading and Market Making Surveillance examination of the firm conducted by the staff, wherein the staff reviewed the items set forth on Exhibit A. Unless otherwise stated, the samples were from trade dates June 17, 2008 and June 18, 2008 (the "2008 TMMS review period").
- 20080152797, wherein the staff reviewed the firm's compliance with limit order protection during the period January 1, 2008 through March 31, 2008 (the "1st quarter 2008 LOP review period").
- 20090173232, where in the staff reviewed the firm's compliance with SEC Rule 605 for the reports covering November 2008 through January 2009.
- 20090175646, wherein the staff reviewed the firm's compliance with limit order protection requirements during the period October 1, 2008 through December 31, 2008 (the "4th quarter 2008 LOP review period").

FACTS AND VIOLATIVE CONDUCT

20050031852

1. In 43 instances during the 3rd quarter 2005 LOP review period, the firm failed to execute 27 customer limit orders in 10 Nasdaq securities after it traded each subject security for its own market-making account at a price that would have satisfied each customer's limit order. In 25 instances during the 2005 LOP review period, the firm failed to contemporaneously or partially execute 17 customer limit orders in nine Nasdaq securities after it traded each subject security for its own market-making account at a price that would have satisfied each customer's limit order. The conduct described in this paragraph constitutes separate and distinct violations of NASD Rule 2110 and IM-2110-2.

20060060099

2. In 22 instances during the 1st quarter 2006 MOP review period, the firm accepted and held customer market orders, traded for its own account at prices that would have satisfied the customer market orders, and failed to immediately thereafter execute the customer market orders up to the size and at the same price at which it traded for its own account or at a better price. The instances are reflected on Exhibit B. The conduct described in this paragraph constitutes separate and distinct violations of NASD Rules 2110 and 2111(b).

20070084195

3. In 87 instances during the 4th quarter 2006 market order timeliness review period, the firm failed to execute orders fully and promptly. The conduct described in this paragraph constitutes separate and distinct violations of NASD Rules 2110 and 2111(a).
4. In 28 transactions for or with a customer during the 4th quarter 2006 market order timeliness review period, the firm failed to use reasonable diligence to ascertain the best inter-dealer market and failed to buy or sell in such market so that the resultant price to its customer was as favorable as possible under prevailing market conditions, as reflected on Exhibit C which is attached. The conduct described in this paragraph constitutes separate and distinct violations of NASD Rules 2110 and 2320.

20070130348

5. In 50 instances during the 3rd quarter 2007 market order review period, the firm failed to execute orders fully and promptly. The conduct described in this paragraph constitutes separate and distinct violations of NASD Rules 2110 and 2111(a).
6. In 20 transactions for or with a customer during the 3rd quarter 2007 market order review period, the firm failed to use reasonable diligence to ascertain the best inter-dealer market and failed to buy or sell in such market so that the resultant price to its customer was as favorable as possible under prevailing market conditions, as reflected on Exhibit D which is attached. The conduct described in this paragraph constitutes separate and distinct violations of NASD Rules 2110 and 2320.

20080132035

7. In 229 instances during the 1st half 2007 MOP review period, the firm accepted and held customer market orders, traded for its own account at prices that would have satisfied the customer market orders, and failed to immediately thereafter execute the customer market orders up to the size and at the same price at which it traded for its own account or at a better price. The instances are reflected on Exhibit E. The conduct described in this paragraph constitutes separate and distinct violations of NASD Rules 2110 and 2111(b).

20080141264

8. During the 2008 TMMS review period, the firm executed one short sale transactions and failed to report this transaction to the FINRA/Nasdaq Trade Reporting Facility with a short sale modifier. During the 2008 TMMS review period, the firm executed 96 short sale transactions and failed to report each of these transactions to the FINRA/Nasdaq Trade Reporting Facility with the correct symbol indicating whether the transaction was a buy, sell, sell short, or cross for 96 transactions in Reportable Securities. The conduct described in this paragraph constitutes separate and distinct violations of NASD Rule 6130(d).
9. The firm's supervisory system did not provide for supervision reasonably designed to achieve compliance with respect to certain applicable securities laws and regulations, and/or the Rules of NASD.

At a minimum, adequate written supervisory procedures addressing quality of markets topics should describe the following:

- (a) specific identification of the individual(s) responsible for supervision;
- (b) the supervisory steps and reviews to be taken by the appropriate supervisor;
- (c) the frequency of such reviews; and
- (d) how such reviews shall be documented.

The firm's written supervisory procedures failed to provide for one or more of the four above-cited minimum requirements for adequate written supervisory procedures, in the following subject areas: market order protection and Nasdaq Rule 4755 [a, b, c and d]; trade reporting, riskless principal transactions and best execution, not held orders and riskless principal transactions [b]; and best execution, principal transactions [d]. The conduct described in this paragraph constitutes a violation of NASD Rules 2110 and 3010.

20090173232

10. For the months of November 2008, December 2008 and January 2009, the firm made available reports on the covered orders in national market system securities that it received for execution from any person. These reports included incorrect information as to: the average realized spread for eight securities; the average effective spread for seven securities; price improved shares for two securities; price improved average amount for three securities; at the quote shares for two securities; at the quote average time for two securities; and price improved average time for one security. The conduct described in this paragraph constitutes separate and distinct violations of SEC Rule 605 of Regulation NMS.
11. The firm's supervisory system did not provide for supervision reasonably designed to achieve compliance with respect to the applicable securities laws and regulations, and the Rules of NASD concerning disclosure of order execution information. Specifically, the firm's supervisory system did not include written supervisory procedures providing for: a statement of the supervisory step(s) to be taken by the person(s) responsible for supervision with respect to the applicable rules. The conduct described in this paragraph constitutes a violation of NASD Rules 2110 and 3010.

20050031852, 20060060099, 20070130348, 20080132035, 20080152797 and 20090175646

12. From July 1, 2005 through at least December 31, 2008, the firm failed to document the terms and conditions of all orders received from one of their customers. Specifically, during the 3rd quarter 2005 LOP review period, the 1st quarter 2006 MOP review period, the 3rd quarter 2007 market order review period, the 1st half 2007 MOP review period, the 1st quarter 2008 LOP review period and the 4th quarter 2008 LOP review period, the firm failed to show the terms and conditions on the memorandum of 110 brokerage orders from this customer for orders that were sampled in the reviews. The conduct described in this paragraph constitutes separate and distinct violations of SEC Rule 17a-3 and NASD Rule 3110.

B. The firm also consents to the imposition of the following sanctions:

- A censure,
- a fine of \$142,500 (composed of a \$5,000 fine for the violations in 20050031852; a \$10,000 fine for the violations in 20060060099; a \$12,500 fine for the violations in 20070084195; a \$10,000 fine for the violations in 20070130348; a \$20,000 fine for the violations in 20080132035; a \$10,000 fine for the short sale reporting violations in 20080141264; a \$5,000 fine for the supervision violation in 20080141264; a \$15,000 fine for the SEC Rule 605 violations in 20090173232; a \$5,000 fine for the supervision violation in 20090173232; and a \$50,000 fine for the record keeping violations in 20050031852, 20060060099, 20070130348, 20080132035, 20080152797, and 20090175646);
- restitution by Respondent to the investors listed on Exhibits B, C, D, and E, which are attached, in the total amount of \$4,046.82, plus interest at the rate set forth in Section 6621(a) of the Internal Revenue Code, 26 U.S.C. 6621(a)(2), from the date of the violative conduct until the date this AWC is accepted by the National Adjudicatory Council. A registered principal of the firm shall submit satisfactory proof of payment of the restitution, or of reasonable and documented efforts undertaken to effect restitution, to the COMPLIANCE ASSISTANT, LEGAL SECTION, MARKET REGULATION DEPARTMENT, 9509 KEY WEST AVENUE, ROCKVILLE, MD 20850 or in an e-mail from a work-related account of the registered principal to **MarketRegulationComp@finra.org**, no later than 120 days after

acceptance of this AWC. If for any reason, Respondent cannot locate any customer after reasonable and documented efforts within such period, or such additional period agreed to by the staff, Respondent shall forward any undistributed restitution and interest to the appropriate escheat, unclaimed-property or abandoned-property fund for the state in which the customer is known to have last resided, and

- an undertaking to revise the firm's written supervisory procedures with respect to the area described in paragraphs nine and 11. Within 30 business days of acceptance of this AWC by the NAC, a registered principal of the Respondent shall submit to the **COMPLIANCE ASSISTANT, LEGAL SECTION, MARKET REGULATION DEPARTMENT, 9509 KEY WEST AVENUE, ROCKVILLE, MD 20850**, a signed, dated letter, or an e-mail from a work-related account of the registered principal to MarketRegulationComp@finra.org, providing the following information: (1) a reference to this matter; (2) a representation that the firm has revised its written supervisory procedures to address the deficiencies described in paragraphs nine and 11; and, (3) the date the revised procedures were implemented.

The firm agrees to pay the monetary sanction(s) upon notice that this AWC has been accepted and that such payment(s) are due and payable. It has submitted an Election of Payment form showing the method by which it proposes to pay the fine imposed.

The firm specifically and voluntarily waives any right to claim that it is unable to pay, now or at any time hereafter, the monetary sanction(s) imposed in this matter.

The sanctions imposed herein shall be effective on a date set by FINRA staff.

II.

WAIVER OF PROCEDURAL RIGHTS

The firm specifically and voluntarily waives the following rights granted under FINRA's Code of Procedure:

- A. To have a Complaint issued specifying the allegations against the firm;
- B. To be notified of the Complaint and have the opportunity to answer the allegations in writing;
- C. To defend against the allegations in a disciplinary hearing before a hearing panel, to have a written record of the hearing made and to have a written decision issued; and
- D. To appeal any such decision to the National Adjudicatory Council ("NAC") and then to the U.S. Securities and Exchange Commission and a U.S. Court of Appeals.

Further, the firm specifically and voluntarily waives any right to claim bias or prejudgment of the General Counsel, the NAC, or any member of the NAC, in connection with such person's or body's participation in discussions regarding the terms and conditions of this AWC, or other consideration of this AWC, including acceptance or rejection of this AWC.

The firm further specifically and voluntarily waives any right to claim that a person violated the ex parte prohibitions of FINRA Rule 9143 or the separation of functions prohibitions of FINRA Rule 9144, in connection with such person's or body's participation in discussions regarding the terms and conditions of this AWC, or other consideration of this AWC, including its acceptance or rejection.

III.

OTHER MATTERS

The firm understands that:

- A. Submission of this AWC is voluntary and will not resolve this matter unless and until it has been reviewed and accepted by the NAC, a Review Subcommittee of the NAC, or the Office of Disciplinary Affairs ("ODA"), pursuant to FINRA Rule 9216;
- B. If this AWC is not accepted, its submission will not be used as evidence to prove any of the allegations against the firm; and
- C. If accepted:
 - 1. this AWC will become part of the firm's permanent disciplinary record and may be considered in any future actions brought by FINRA or any other regulator against the firm;
 - 2. this AWC will be made available through FINRA's public disclosure program in response to public inquiries about the firm's disciplinary record;
 - 3. FINRA may make a public announcement concerning this agreement and the subject matter thereof in accordance with FINRA Rule 8313; and
 - 4. The firm may not take any action or make or permit to be made any public statement, including in regulatory filings or otherwise, denying, directly or indirectly, any finding in this AWC or create the impression that the AWC is without factual basis. The firm may not take any position in any proceeding brought by or on behalf of FINRA, or to which FINRA is a party, that is inconsistent with any part of this AWC. Nothing in this provision affects the firm's right to take legal or factual positions in litigation or other legal proceedings in which FINRA is not a party.
- D. The firm may attach a Corrective Action Statement to this AWC that is a statement of demonstrable corrective steps taken to prevent future misconduct. The firm understands that it may not deny the charges or make any statement that is inconsistent with the AWC in this Statement. This Statement does not constitute factual or legal findings by FINRA, nor does it reflect the views of FINRA or its staff.

The undersigned, on behalf of the Firm, certifies that a person duly authorized to act on its behalf has read and understands all of the provisions of this AWC and has been given a full opportunity to ask questions about it; that it has agreed to the AWC's provisions voluntarily; and that no offer, threat, inducement, or promise of any kind, other than the terms set forth herein and the prospect of avoiding the issuance of a Complaint, has been made to induce the firm to submit it.

12-2-2010.
Date

Respondent	Domestic Securities, Inc.
------------	---------------------------

Domestic Securities, Inc.
By: [Signature]

Name: MARK Sheft

Title: PRESIDENT

Reviewed by:

Counsel for Respondent

Accepted by FINRA:

1/5/11
Date

Signed on behalf of the
Director of ODA, by delegated authority

Thomas R. Gira
Thomas R. Gira
Executive Vice President
Department of Market Regulation

Exhibit A**No. 20080141264 – The staff reviewed the following samples during the examination:**

<u>Sample Size</u>	<u>Review Area</u>	<u>Sample Source</u>
583	customer and proprietary sales, for compliance with NASD Rule 6130,	from trade dates June 17 and 18, 2008,
8	cancelled transactions for compliance with the requirement to cancel trade reports within ninety seconds of cancellation from books and records,	from trade dates June 17 and 18, 2008,
107	limit and market orders, for compliance with NASD Rules 2110 (and IM-2110-2) 2111, 6440, 6541 and 2320, and SEC Rules 601 and 604,	from trade dates June 17 and 18, 2008,
13	Orders entered in the NASDAQ SingleBook system for compliance with the order entry requirements of NASD Rule 4755,	from trade dates June 17 and 18, 2008,
25	orders in securities for which the firm was a market center, for compliance with the order size/type classification requirements of SEC Rule 605,	from trade dates June 17 and 18, 2008,
28 orders (4 categories)	security/size/order data statistics published on the firm's monthly order execution report, for compliance with SEC Rule 605,	from the statistics published for the May of 2007,
N/A	data published on the firm's quarterly order routing report, for compliance with SEC Rule 606,	from the report published for the 1st quarter of 2008,
50	orders in NNM or SC securities submitted to OATS, for compliance with NASD Rule 6955,	from trade dates June 17 and 18, 2008,
1	open buy limit orders and stop sell limit orders in securities traded ex-dividend, for compliance with NASD Rule 3220,	from trade dates June 17 and 18, 2008,
30	trades reported to ACT or TRACS with the .RO modifier, for general compliance with NASD Trade Reporting and ACT rules,	from trade dates June 17 and 18, 2008,
993	trades reported to ACT or TRACS in connection with the above samples, for general compliance with NASD Trade Reporting and TRF rules,	from trade dates June 17 and 18, 2008,
224	order/trade records prepared and maintained in connection with the above samples, for general compliance with NASD Rule 3110 and SEC Rules 17a-3 and 17a-4,	from trade dates June 17 and 18, 2008,
0	customer trade confirmations reviewed in connection with the above samples, for compliance with SEC Rule 10b-10,	from trade dates June 17 and 18, 2008,
N/A	Member's supervisory and operational policies and procedures and documentation evidencing execution of the policies and procedures for compliance with SEC Regulation NMS Rules 610, 611, and 612,	based on WSPs in effect during June of 2008,
N/A	the firm's establishment and implementation of "regular & rigorous" reviews of the execution quality of orders sent to other market centers and internalized, for compliance with NASD Rules 2320 and 3010,	based on WSPs in effect during June of 2008,
N/A	the firm's establishment and implementation of a supervisory system and written supervisory procedures, for compliance with NASD Rule 3010.	based on WSPs in effect during June of 2008.

Domestic Securities, Inc.
Matter No. 20060060099

Exhibit B

Item No.	Date	Issue	Quantity	Trade Time	Trade Price	Restitution
1	1/9/2006	GLGC	1,000	15:05:49	3.61	\$ 26.62
2	1/11/2006	CNTF	1,000	10:58:36	15.9	\$ 10.00
3	1/11/2006	CNTF	400	10:58:44	15.8	\$ 4.00
4	1/11/2006	DPTR	500	15:41:12	22.86	\$ 4.00
5	1/17/2006	AXTI	1,100	10:24:26	2.26	\$ 9.00
6	1/17/2006	MTMC	100	13:26:05	3.95	\$ 5.00
7	1/17/2006	NXXI	1,150	9:36:52	1.21	\$ 11.50
8	1/17/2006	NXXI	300	9:36:54	1.21	\$ 3.00
9	1/17/2006	NXXI	500	9:36:59	1.21	\$ 7.00
10	1/19/2006	CNTF	500	9:39:17	14.7	\$ 35.00
11	1/19/2006	NGAS	400	10:45:05	11.63	\$ 8.00
12	1/26/2006	CNTF	500	14:27:19	15.46	\$ 8.00
13	1/31/2006	TRCI	225	12:38:38	7.34	\$ 9.00
14	2/2/2006	CNTF	100	10:30:31	17.07	\$ 12.00
15	2/2/2006	CNTF	800	10:30:35	17.07	\$ 60.00
16	2/2/2006	CNTF	400	10:42:17	16.49	\$ 4.00
17	2/2/2006	TXCO	400	9:38:53	9.89	\$ 8.00
18	2/27/2006	CNTF	400	15:58:27	12.94	\$ 3.00
19	3/7/2006	SYMC	100	12:29:11	15.95	\$ 1.00
20	3/7/2006	SYMC	200	12:30:01	15.94	\$ 2.00
21	3/9/2006	CHNR	300	10:53:56	12.14	\$ 18.00
22	3/24/2006	NXXI	600	10:01:08	1.49	\$ 6.00
Total:						\$ 254.12

Domestic Securities, Inc.
Matter No. 20070084195

Exhibit C

Item No.	Date	Issue	Quantity	Trade Time	Trade Price	Restitution
1	11/9/2006	TFSM	2,600	13:32:41	8.29	\$ 137.00
2	11/17/2006	AXTI	701	14:04:46	5.40	\$ 11.01
3	11/20/2006	GOLD	155	11:10:12	21.87	\$ 9.65
4	11/20/2006	PRFT	100	13:33:12	19.26	\$ 37.00
5	11/27/2006	GNVC	1,000	15:37:59	1.39	\$ 20.00
6	11/28/2006	SIRO	1,000	14:20:57	36.01	\$ 350.68
7	11/28/2006	SMDI	1,488	11:09:50	8.71	\$ 254.28
8	11/29/2006	IXYS	20	15:04:54	9.35	\$ 2.50
9	11/29/2006	SMDI	2,700	11:57:25	8.71	\$ 213.00
10	11/29/2006	VSEA	70	14:06:54	39.12	\$ 2.40
11	12/5/2006	CVGI	900	11:12:15	23.23	\$ 44.55
12	12/6/2006	SNIC	131	11:05:49	16.31	\$ 2.53
13	12/7/2006	SMRT	100	10:02:26	15.33	\$ 3.00
14	12/8/2006	CVGI	560	13:49:41	22.01	\$ 1.00
15	12/11/2006	ANDW	200	11:09:24	10.33	\$ 39.72
16	12/14/2006	JBSS	100	14:04:10	11.42	\$ 1.98
17	12/14/2006	LRCX	41	14:04:13	53.52	\$ 2.46
18	12/18/2006	IAAC	425	11:14:11	42.67	\$ 108.75
19	12/19/2006	PTNR	758	14:25:23	11.94	\$ 7.58
20	12/20/2006	TFONY	448	14:37:12	27.27	\$ 120.96
21	12/21/2006	CRYP	172	11:06:35	19.97	\$ 3.72
22	12/22/2006	TRIB	175	14:49:54	8.45	\$ 8.75
23	12/22/2006	WINN	100	12:38:10	14.13	\$ 8.00
24	12/26/2006	ASTSF	337	14:03:17	9.97	\$ 3.37
25	12/28/2006	APAT	200	15:51:32	1.40	\$ 15.00
26	12/28/2006	ASTSF	74	11:13:32	10.17	\$ 2.96
27	12/29/2006	FORG	200	9:56:49	1.67	\$ 18.00
28	12/29/2006	POZN	1,887	15:06:51	16.93	\$ 367.00
					Total:	\$ 1,796.85

**Domestic Securities, Inc.
Matter No. 20080130348**

Exhibit D

Item No.	Date	Issue	Quantity	Trade Time	Trade Price	Restitution
1	07/03/07	HOKU	800	9:59:17	10.76	\$ 128.00
2	07/06/07	NTEC	615	14:09:11	2.35	\$ 6.15
3	07/13/07	MIGP	400	14:07:25	20.8101	\$ 19.96
4	07/16/07	GTSI	100 88	11:12:17	12.85 12.82	\$ 6.40
5	07/19/07	GLDD	675	10:37:25	8.61	\$ 6.75
6	07/25/07	REXX	1,500	10:17:06	10.35	\$ 75.00
7	08/01/07	NITE	200	11:03:49	13.93	\$ 2.00
8	08/03/07	QNTA	100 492	14:19:59	2.8 2.81	\$ 16.76
9	08/06/07	OMRI	100 40	10:00:53	28.20 28.19	\$ 1.80
10	08/13/07	NIHD	200 32 168	9:35:27	76.75 76.76 76.693	\$ 49.26
11	08/17/07	PNTR	800	12:24:52	8.29	\$ 8.00
12	08/22/07	DDDC	200	11:04:41	0.82	\$ 2.00
13	08/30/07	CRNT	150 100 600	10:50:06	16.69 16.68 16.67	\$ 12.50
14	09/07/07	STLD	141	11:09:20	43.49	\$ 2.82
15	09/11/07	EDAC	300 400 100	14:38:24	7.47 7.48 7.49	\$ 66.00
16	09/13/07	TARR	400	9:31:52	2.13	\$ 12.00
17	09/24/07	VLCCF	665 200	9:54:12	26.75 26.91	\$ 115.05
18	09/26/07	CSCO	45	9:30:42	32.73	\$ 2.25
19	09/26/07	APAT	1,100	15:40:27	1.01	\$ 11.00
20	09/28/07	CREE	100	10:51:38	31.05	\$ 3.00
Total:						\$ 546.70

**Domestic Securities, Inc.
Matter No. 20080132035**

Exhibit E

Item No.	Date	Issue	Quantity	Trade Time	Trade Price	Restitution
1	01/04/2007	ACGY	100	15:33:24	17.7	\$5.00
2	01/04/2007	ACGY	100	15:33:24	17.7	
3	01/04/2007	ACGY	100	15:33:24	17.7	
4	01/04/2007	ACGY	100	15:33:24	17.7	
5	01/04/2007	ACGY	100	15:33:24	17.7	
6	01/05/2007	GOLD	100	11:07:45	21.2	\$28.00
7	01/05/2007	GOLD	100	11:07:45	21.22	
8	01/05/2007	GOLD	100	11:07:45	21.21	
9	01/05/2007	GOLD	300	11:07:45	21.21	
10	01/05/2007	GOLD	100	11:07:45	21.21	
11	01/29/2007	BJGP	100	9:46:15	8.95	\$28.00
12	01/29/2007	BJGP	200	9:46:15	8.95	
13	01/29/2007	BJGP	100	9:46:18	8.95	
14	01/29/2007	BJGP	100	9:46:18	8.95	
15	01/29/2007	BJGP	100	9:46:33	8.97	
16	01/29/2007	BJGP	100	09:46:47	8.97	
17	01/29/2007	BJGP	100	09:46:47	8.97	
18	01/29/2007	BJGP	100	09:46:47	8.97	
19	01/29/2007	BJGP	400	09:46:47	8.97	
20	02/02/2007	CPST	100	12:00:06	0.8857	\$2.60
21	02/02/2007	CPST	800	12:00:06	0.8857	
22	02/02/2007	CPST	400	12:00:09	0.8889	
23	02/02/2007	CPST	400	12:00:12	0.8889	
24	02/02/2007	CPST	200	12:00:12	0.8889	
25	02/06/2007	TWTR	1500	11:02:47	1.41	\$19.00
26	02/06/2007	TWTR	100	11:02:47	1.41	
27	02/06/2007	TWTR	200	11:03:11	1.41	
28	02/06/2007	TWTR	100	11:03:11	1.41	
29	02/15/2007	ONSM	100	13:07:55	3.55	\$89.98
30	02/15/2007	ONSM	1000	13:08:11	3.55	
31	02/15/2007	ONSM	3149	13:08:19	3.55	
32	02/15/2007	ONSM	500	13:08:19	3.56	
33	02/20/2007	PALM	100	11:08:12	15.94	\$8.00
34	02/20/2007	PALM	100	11:08:12	15.94	
35	02/23/2007	PALM	100	10:34:19	16.16	\$54.00
36	02/23/2007	PALM	100	10:34:19	16.16	
37	02/23/2007	PALM	100	10:34:19	16.16	
38	02/23/2007	PALM	200	10:34:19	16.16	
39	02/23/2007	PALM	100	10:34:19	16.16	
40	02/23/2007	PALM	100	10:34:19	16.16	
41	02/23/2007	PALM	100	10:34:19	16.16	
42	02/23/2007	PALM	100	10:34:19	16.16	
43	02/23/2007	PALM	100	10:34:20	16.16	
44	02/23/2007	PALM	100	10:34:20	16.16	
45	02/23/2007	PALM	100	10:34:20	16.16	
46	02/23/2007	PALM	100	10:34:20	16.16	

**Domestic Securities, Inc.
Matter No. 20080132035**

Exhibit E

Item No.	Date	Issue	Quantity	Trade Time	Trade Price	Restitution
47	02/23/2007	PALM	100	10:34:20	16.16	
48	02/23/2007	PALM	100	10:34:20	16.16	
49	02/23/2007	PALM	100	10:34:20	16.16	
50	02/23/2007	PALM	500	10:34:20	16.16	
51	02/23/2007	PALM	100	10:34:20	16.16	
52	02/23/2007	PALM	100	10:34:20	16.16	
53	02/23/2007	PALM	400	10:34:20	16.16	
54	02/23/2007	PALM	100	10:34:20	16.16	
55	02/23/2007	PALM	100	10:34:20	16.16	
56	02/23/2007	PALM	100	10:34:20	16.16	
57	02/23/2007	PALM	600	10:34:20	16.16	
58	02/23/2007	PALM	100	10:34:20	16.16	
59	02/23/2007	PALM	100	10:34:20	16.16	
60	02/23/2007	PALM	400	10:34:20	16.16	
61	02/23/2007	PALM	100	10:34:20	16.16	
62	02/23/2007	PALM	200	10:34:20	16.16	
63	02/23/2007	PALM	100	10:34:20	16.16	
64	02/23/2007	PALM	100	10:34:20	16.16	
65	02/23/2007	PALM	100	10:34:20	16.16	
66	02/23/2007	PALM	100	10:34:20	16.16	
67	02/23/2007	PALM	100	10:34:20	16.16	
68	02/23/2007	PALM	100	10:34:20	16.16	
69	02/23/2007	PALM	100	10:34:20	16.16	
70	02/23/2007	PALM	200	10:34:23	16.16	
71	03/02/2007	FUJI	100	12:02:02	40.45	\$1.00
72	03/02/2007	TSTC	100	13:14:48	7.21	\$1.00
73	03/23/2007	CPHL	100	10:59:34	15.9	\$323.00
74	03/23/2007	CPHL	100	10:59:34	15.9	
75	03/23/2007	CPHL	100	10:59:35	15.9	
76	03/23/2007	CPHL	200	10:59:35	15.9	
77	03/23/2007	CPHL	100	10:59:36	15.9	
78	03/23/2007	CPHL	200	10:59:36	15.9	
79	03/23/2007	CPHL	100	10:59:37	15.9	
80	03/23/2007	CPHL	100	10:59:37	15.9	
81	03/23/2007	CPHL	100	10:59:37	15.9	
82	03/23/2007	CPHL	100	10:59:38	15.9	
83	03/23/2007	CPHL	100	10:59:38	15.9	
84	03/23/2007	CPHL	100	10:59:45	15.9	
85	03/23/2007	CPHL	600	10:59:45	15.9	
86	03/23/2007	CPHL	100	11:00:04	15.92	
87	03/23/2007	CPHL	1100	11:00:04	15.92	
88	03/23/2007	CPHL	100	11:00:04	15.92	
89	03/23/2007	CPHL	2800	11:00:04	15.92	
90	03/23/2007	CPHL	100	11:00:46	15.92	

**Domestic Securities, Inc.
Matter No. 20080132035**

Exhibit E

Item No.	Date	Issue	Quantity	Trade Time	Trade Price	Restitution
91	03/23/2007	CPHL	100	11:00:46	15.92	
92	03/23/2007	CPHL	100	11:00:50	15.92	
93	03/23/2007	CPHL	900	11:00:50	15.92	
94	03/23/2007	CPHL	100	11:00:57	15.89	
95	03/23/2007	CPHL	100	11:00:57	15.89	
96	03/23/2007	CPHL	100	11:00:57	15.89	
97	03/23/2007	CPHL	100	11:00:57	15.89	
98	03/23/2007	CPHL	100	11:00:57	15.89	
99	03/23/2007	CPHL	100	11:00:58	15.89	
100	03/23/2007	CPHL	1900	11:00:58	15.89	
101	03/23/2007	CPHL	100	11:00:59	15.89	
102	03/23/2007	CPHL	100	11:01:00	15.89	
103	04/23/2007	VELC	200	15:32:35	18.11	\$124.00
104	04/23/2007	VELC	100	15:35:49	17.76	
105	04/23/2007	VELC	100	15:35:49	17.76	
106	04/23/2007	VELC	100	15:35:49	17.76	
107	04/23/2007	VELC	100	15:35:49	17.75	
108	04/23/2007	VELC	400	15:35:49	17.75	
109	04/23/2007	VELC	100	15:35:49	17.76	
110	04/23/2007	VELC	100	15:35:53	17.75	
111	04/23/2007	VELC	100	15:35:55	17.75	
112	04/23/2007	VELC	200	15:37:40	17.65	
113	04/23/2007	VELC	200	15:37:40	17.65	
114	04/23/2007	VELC	100	15:37:40	17.64	
115	04/23/2007	VELC	100	15:37:40	17.63	
116	04/23/2007	VELC	100	15:37:40	17.62	
117	04/23/2007	VELC	100	15:37:40	17.59	
118	04/23/2007	VELC	400	15:37:40	17.59	
119	04/23/2007	VELC	500	15:37:40	17.58	
120	04/23/2007	VELC	100	15:37:40	17.56	
121	04/23/2007	VELC	100	15:37:40	17.56	
122	04/23/2007	VELC	200	15:37:40	17.56	
123	04/23/2007	VELC	100	15:37:40	17.51	
124	04/23/2007	VELC	100	15:37:40	17.51	
125	04/23/2007	VELC	100	15:37:40	17.5	
126	04/23/2007	VELC	100	15:37:40	17.5	
127	04/23/2007	VELC	100	15:37:41	17.5	
128	04/23/2007	VELC	400	15:37:41	17.5	
129	04/23/2007	VELC	100	15:37:45	17.5	
130	04/24/2007	PRKR	600	12:07:16	12.62	\$22.00
131	04/26/2007	AFFY	198	15:00:02	34.01	\$13.94
132	04/26/2007	AFFY	100	15:00:05	34.03	
133	04/26/2007	AFFY	100	15:00:06	34.04	\$145.05
134	05/04/2007	IBKR	100	10:45:19	32.68	

**Domestic Securities, Inc.
Matter No. 20080132035**

Exhibit E

Item No.	Date	Issue	Quantity	Trade Time	Trade Price	Restitution
135	05/04/2007	IBKR	100	10:45:19	32.68	
136	05/04/2007	IBKR	100	10:45:20	32.68	
137	05/04/2007	IBKR	100	10:45:22	32.68	
138	05/04/2007	IBKR	100	10:45:22	32.68	
139	05/04/2007	IBKR	100	10:45:22	32.68	
140	05/04/2007	IBKR	300	10:45:22	32.68	
141	05/04/2007	IBKR	100	10:45:22	32.68	
142	05/04/2007	IBKR	200	10:45:22	32.68	
143	05/04/2007	IBKR	100	10:45:22	32.68	
144	05/04/2007	IBKR	100	10:45:22	32.68	
145	05/04/2007	IBKR	100	10:45:22	32.68	
146	05/04/2007	IBKR	300	10:45:22	32.68	
147	05/04/2007	IBKR	100	10:45:22	32.68	
148	05/04/2007	IBKR	300	10:45:22	32.68	
149	05/04/2007	IBKR	100	10:45:22	32.68	
150	05/04/2007	IBKR	300	10:45:22	32.68	
151	05/04/2007	IBKR	100	10:45:22	32.68	
152	05/04/2007	IBKR	100	10:45:22	32.68	
153	05/04/2007	IBKR	100	10:45:22	32.68	
154	05/04/2007	IBKR	100	10:45:22	32.68	
155	05/04/2007	IBKR	100	10:45:23	32.68	
156	05/04/2007	IBKR	100	10:45:23	32.68	
157	05/04/2007	IBKR	100	10:45:23	32.68	
158	05/04/2007	IBKR	100	10:45:23	32.68	
159	05/04/2007	IBKR	200	10:45:23	32.68	
160	05/04/2007	IBKR	100	10:45:23	32.68	
161	05/04/2007	IBKR	100	10:45:23	32.68	
162	05/04/2007	IBKR	100	10:45:23	32.68	
163	05/04/2007	IBKR	100	10:45:35	32.69	
164	05/04/2007	IBKR	390	10:45:35	32.69	
165	05/04/2007	IBKR	100	10:45:35	32.69	
166	05/04/2007	IBKR	100	10:45:35	32.69	
167	05/04/2007	IBKR	100	10:45:35	32.69	
168	05/04/2007	IBKR	200	10:45:35	32.69	
169	05/04/2007	IBKR	100	10:45:35	32.69	
170	05/04/2007	IBKR	125	10:45:45	32.65	
171	05/04/2007	IBKR	100	10:45:45	32.63	
172	05/04/2007	IBKR	100	10:45:46	32.63	
173	05/04/2007	IBKR	100	10:45:46	32.63	
174	05/04/2007	IBKR	100	10:45:46	32.63	
175	05/04/2007	IBKR	100	10:45:47	32.63	
176	05/04/2007	IBKR	900	10:45:47	32.63	
177	05/04/2007	IBKR	100	10:45:48	32.63	
178	05/04/2007	IBKR	475	10:45:48	32.63	

Domestic Securities, Inc.
Matter No. 20080132035

Exhibit E

Item No.	Date	Issue	Quantity	Trade Time	Trade Price	Restitution
179	05/04/2007	IBKR	300	10:46:26	32.46	\$227.00
180	05/04/2007	IBKR	200	10:46:26	32.46	
181	05/04/2007	IBKR	100	10:46:26	32.46	
182	05/04/2007	IBKR	100	10:46:26	32.46	
183	05/04/2007	IBKR	100	10:46:26	32.46	
184	05/04/2007	IBKR	1200	10:46:26	32.46	
185	05/04/2007	IBKR	100	10:46:26	32.46	
186	05/04/2007	IBKR	100	10:46:49	32.33	
187	05/04/2007	IBKR	600	10:46:49	32.33	
188	05/04/2007	IBKR	1000	10:47:01	32.3	
189	05/04/2007	IBKR	100	10:50:11	32.77	\$304.00
190	05/04/2007	IBKR	100	10:50:11	32.77	
191	05/04/2007	IBKR	100	10:50:11	32.77	
192	05/04/2007	IBKR	100	10:50:11	32.77	
193	05/04/2007	IBKR	100	10:50:12	32.77	
194	05/04/2007	IBKR	100	10:50:12	32.77	
195	05/04/2007	IBKR	700	10:50:12	32.77	
196	05/04/2007	IBKR	2800	10:50:12	32.77	
197	05/04/2007	IBKR	100	10:50:34	32.76	
198	05/04/2007	IBKR	100	10:50:34	32.76	
199	05/04/2007	IBKR	100	10:50:34	32.76	
200	05/04/2007	IBKR	100	10:50:34	32.76	
201	05/04/2007	IBKR	100	10:50:34	32.76	
202	05/04/2007	IBKR	100	10:50:34	32.76	
203	05/04/2007	IBKR	900	10:50:34	32.76	
204	05/04/2007	IBKR	100	10:50:35	32.76	
205	05/04/2007	IBKR	200	10:50:35	32.76	
206	05/04/2007	IBKR	100	10:50:35	32.76	
207	05/04/2007	IBKR	1200	10:50:35	32.76	
208	05/04/2007	IBKR	900	10:50:43	32.73	
209	05/16/2007	FAST	100	11:19:42	41.16	\$12.00
210	05/16/2007	FAST	200	11:19:42	41.16	
211	05/16/2007	FAST	100	11:19:43	41.16	
212	05/16/2007	FAST	100	11:19:43	41.16	
213	05/16/2007	FAST	100	11:19:48	41.16	
214	05/16/2007	FAST	100	11:19:48	41.16	
215	05/16/2007	FAST	100	11:19:48	41.16	
216	05/16/2007	FAST	100	11:19:48	41.16	
217	05/16/2007	FAST	100	11:19:48	41.16	
218	05/16/2007	FAST	100	11:19:48	41.16	
219	05/16/2007	FAST	100	11:19:48	41.16	
220	05/17/2007	PTNR	131	14:05:55	17.31	\$32.58
221	05/17/2007	PTNR	131	14:05:55	17.31	
222	05/17/2007	PTNR	938	14:05:55	17.31	

**Domestic Securities, Inc.
Matter No. 20080132035**

Exhibit E

Item No.	Date	Issue	Quantity	Trade Time	Trade Price	Restitution
223	05/31/2007	JSDA	500	13:03:00	18.78	N/A
224	05/31/2007	JSDA	500	13:03:00	18.78	
225	06/26/2007	DXCM	100	13:19:03	8.13	\$9.00
226	06/26/2007	DXCM	100	13:19:14	8.13	
227	06/26/2007	DXCM	200	13:19:37	8.12	
228	06/26/2007	DXCM	100	13:19:37	8.12	
229	06/26/2007	DXCM	100	13:20:12	8.13	
					Total:	\$ 1,449.15