

**FINANCIAL INDUSTRY REGULATORY AUTHORITY
OFFICE OF HEARING OFFICERS**

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REGISTRATION & DISCLOSURE

Department of Enforcement,

Complainant,

v.

Scott Thomas Valente,
CRD No. 1177354,

Respondent.

Disciplinary Proceeding
No. 2006007370402

Hearing Officer – SNB

**ORDER ACCEPTING OFFER OF
SETTLEMENT**

Date: April 24, 2009

INTRODUCTION

Disciplinary Proceeding No. 2006007370402 was filed on February 12, 2009, by the Department of Enforcement of the Financial Industry Regulatory Authority (FINRA) (Complainant).

Respondent Scott Thomas Valente submitted an Offer of Settlement (Offer) to Complainant on April 6, 2009. Pursuant to FINRA Rule 9270(e), the Complainant and the National Adjudicatory Council (NAC), a Review Subcommittee of the NAC, or the Office of Disciplinary Affairs (ODA) have accepted the uncontested Offer. Accordingly, this Order now is issued pursuant to FINRA Rule 9270(e)(3). The findings, conclusions and sanctions set forth in this Order are those stated in the Offer as accepted by the Complainant and approved by the NAC.

Under the terms of the Offer, Respondent has consented, without admitting or denying the allegations of the Complaint, 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, to the entry of findings and violations consistent with the allegations of the Complaint, and to the imposition of

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the sanctions set forth below, and fully understands that this Order will become part of Respondent's permanent disciplinary record and may be considered in any future actions brought by FINRA.

BACKGROUND

On November 2, 1998, Valente first became registered with FINRA as an Investment Company and Variable Products Representative through a member firm. On May 20, 1989, Valente also became registered as a General Securities Representative. From July 1996 through February 5, 2009, Valente was registered with Purshe Kaplan Sterling Investments, Inc. (the firm). He is not currently associated with a member firm.

FINDINGS AND CONCLUSIONS

It has been determined that the Offer be accepted and that findings be made as follows:

OVERVIEW

1. At various times from January 2003 through March 2005, Valente engaged in excessive and unsuitable trading in the accounts of eight customers, VS, ES, AB, GP/JP (joint account), JAD, and JD/BD (joint account), resulting in significant commission income for Valente and losses for his customers. In addition, Valente exercised discretion in those accounts without written authorization from the customers and acceptance by his employer member firm of the accounts as discretionary.

Excessive Trading/Unsuitable Transactions (Customer VS) (NASD Conduct Rules 2310 and 2110 and IM-2310-2)

2. In 2002, customer VS opened two brokerage accounts with Valente at his employer member firm: a regular account (Account 1) and an IRA account

(Account 2). VS was 44 years old and owned a jewelry store at the time he opened these accounts. VS gave Valente approximately \$300,000 to invest, which represented almost all of his liquid assets. VS was a conservative investor with limited investment experience.

3. On the new account documents, Valente listed VS's investment objectives as "income" for Account 1 and "capital appreciation" for Account 2. Valente further identified VS's risk tolerance as "moderate" for Account 1 and "Moderate and Aggressive" for Account 2. On the account opening documents Valente listed VS's annual income as "over \$100,000" with an estimated net worth of \$100,001-\$500,000.

4. Valente exercised discretion in both of VS's accounts and rarely consulted with him prior to trades. Thus, he controlled the trading activity in the accounts.

Account 1

5. From July 2003 through September 2004, Valente recommended to VS and effected or caused to be effected in this account approximately 173 transactions in stocks and other securities as more fully detailed in Exhibit A attached hereto and incorporated herein by reference. The average monthly equity in VS's account during this time period was approximately \$129,000.
6. Valente recommended and effected the transactions in VS's account, as detailed on Exhibit A, without having reasonable grounds for believing that such transactions were suitable for VS in view of the size and frequency of the transactions, the transaction costs incurred, and in light of the customer's financial situation, investment objectives and needs.

7. The transactions referred to in paragraph 5 were excessive in number, resulting in an annualized turnover ratio of approximately 11 and an annualized cost-to-equity ratio (converted to a percentage) of approximately 25%. Accordingly, during this time period, VS's account would have had to earn at least an annual 25% return just to break even.
8. Valente engaged in short-term, in-and-out trading in this account. He sold approximately 78% of the securities in the account within thirty (30) days of purchase, and approximately 95% of the securities in the account within sixty (60) days of purchase.
9. During this period, VS lost approximately \$64,000 through the excessive trading in his account, while Valente received approximately \$14,000 in net commissions.

Account 2

10. Valente engaged in a similar pattern of trading in Account 2. From July 2003 through September 2004, Valente recommended to VS and effected or caused to be effected in the account approximately 189 transactions in stocks in other securities in his account as more fully detailed in Exhibit A. The average monthly equity in the account during this time period was approximately \$135,000.
11. Valente recommended and effected the transactions in Account 2, as detailed on Exhibit A, without having reasonable grounds for believing that such transactions were suitable for VS in view of the size and frequency of the transactions, the transaction costs incurred, and in light of the customer's financial situation, investment objectives and needs.

12. The transactions referred to in paragraph 10 were excessive in number, resulting in an annualized turnover ratio of approximately 4 and an annualized cost-to-equity ratio (converted to a percentage) of approximately 14%. Accordingly, during this time period, VS's account would have had to earn an annual return of at least 14% just to break even.
13. Valente engaged in short-term, in-and-out trading in this account. He sold approximately 71% of the securities in the account within thirty (30) days of purchase, and approximately 81% of the securities in the account within sixty (60) days of purchase.
14. During this period, VS gained approximately \$2,000 through the excessive trading in this account, while Valente received approximately \$6,000 in net commissions.

**Discretionary Trading Without Written Authority (Customer VS)
(NASD Conduct Rules 2510 and 2110)**

15. From July 2003 through September 2004, Valente exercised discretion in effecting many of the securities transactions in both of VS's accounts.
16. Valente failed to obtain prior written authorization from customer VS to exercise discretion in his accounts. He also failed to obtain written acceptance of the account as discretionary by his employer member firm.

**Excessive Trading/Unsuitable Transactions (Customer ES)
(NASD Conduct Rules 2310 and 2110 and IM-2310-2)**

17. In 2001, customer ES (and his wife) opened four accounts with Valente at his employer member firm. ES invested a total of approximately \$530,000 with Valente, representing approximately all of the retirement funds of ES and his wife.

18. ES is 65 years old. He retired shortly after opening his accounts with Valente. ES was a conservative investor with minimal prior investment experience. Due to ES's age and retirement financial needs, he did not want to incur significant risks in his account.
19. On the new account documents, Valente listed ES's investment objectives as "long term growth" and "income" with a "moderate" risk tolerance. He also identified ES's investment knowledge as "limited" and listed his net worth as "\$100,001-\$500,000" with an annual income of "\$50,000-\$100,000."
20. Valente exercised discretion in ES's IRA account (account number ending in [REDACTED]) and rarely consulted with him prior to trades. Thus, he controlled the trading activity in the account.
21. From June 2003 through January 2005, Valente recommended to ES and effected or caused to be effected in that IRA account approximately 305 transactions in stocks in other securities as more fully detailed in Exhibit B attached hereto and incorporated herein by reference. The average monthly equity in ES's account during this time period was approximately \$160,000.
22. Valente recommended and effected the transactions in ES's account, as detailed on Exhibit B, without having reasonable grounds for believing that such transactions were suitable for ES in view of the size and frequency of the transactions, the transaction costs incurred, and in light of the customer's financial situation, investment objectives and needs.
23. The transactions referred to in paragraph 21 were excessive in number, resulting in an annualized turnover ratio of approximately 12 and an annualized cost-to-

equity ratio (converted to a percentage) of approximately 27%. Accordingly, during this time period, ES's account would have had to earn at least an annual 27% return just to break even.

24. Valente engaged in short-term, in-and-out trading in this account. With the exception of ten stocks, he sold all of the positions in the account within thirty (30) days of purchase.
25. During this period, ES lost approximately \$87,000 through the excessive trading in his account, while Valente received approximately \$25,000 in net commissions.

**Discretionary Trading Without Written Authority (Customer ES)
(NASD Conduct Rules 2510 and 2110)**

26. From June 2003 through January 2005, Valente exercised discretion in effecting many of the securities transactions in ES's IRA account.
27. Valente failed to obtain prior written authorization from customer ES to exercise discretion in his IRA account. He also failed to obtain written acceptance of the account as discretionary by his employer member firm.

**Excessive Trading/Unsuitable Transactions (Customer AB)
(NASD Conduct Rules 2310 and 2110 and IM-2310-2)**

28. In 2000, customer AB (and her husband) opened three accounts with Valente at his employer member firm.
29. AB is 61 years old and employed by a utility company. On AB's new account documents, Valente listed her annual income as "over \$100,000" with a net worth of "100,001-500,000." Valente also identified AB's investment objectives as "capital appreciation" with a "moderate/aggressive" risk tolerance.

30. AB was a conservative investor with limited prior investment experience. Due to AB's age and financial needs, she did not want to incur significant risks in her account.
31. Valente exercised discretion in AB's IRA account (account number ending with [REDACTED] and rarely consulted with her prior to trades. Thus, he controlled the trading activity in the account.
32. From January 2004 through December 2004, Valente recommended to AB and effected or caused to be effected in that IRA account approximately 199 transactions in stocks in other securities as more fully detailed in Exhibit C attached hereto and incorporated herein by reference. The average monthly equity in AB's account during this time period was approximately \$802,000.
33. Valente recommended and effected the transactions in AB's account, as detailed on Exhibit C, without having reasonable grounds for believing that such transactions were suitable for AB in view of the size and frequency of the transactions, the transaction costs incurred, and in light of the customer's financial situation, investment objectives and needs.
34. The transactions referred to in paragraph 32 above were excessive in number, resulting in an annualized turnover ratio of approximately 4 and an annualized cost-to-equity ratio (converted to a percentage) of approximately 10. Accordingly, during this time period, AB's account would have had to earn at least an annual 10% return just to break even.

35. Valente engaged in short-term, in-and-out trading in this account. He sold 78% of the securities in the account within 30 days of purchase and 92% within 60 days of purchase.
36. During this period, AB lost approximately \$73,000 through the excessive trading in her account, while Valente received approximately \$28,000 in net commissions.

**Discretionary Trading Without Written Authority (Customer AB)
(NASD Conduct Rules 2510 and 2110)**

37. From January 2004 through March 2005, Valente exercised discretion in effecting many of the securities transactions in AB's IRA account.
38. Valente failed to obtain prior written authorization from customer AB to exercise discretion in her IRA account. He also failed to obtain written acceptance of the account as discretionary by his employer member firm.

**Excessive Trading/Unsuitable Transactions (GP/JP Joint Account)
(NASD Conduct Rules 2310 and 2110 and IM-2310-2)**

39. In 2001, customer GP and his wife, JP, opened several accounts with Valente at his employer member firm. GP/JP invested a total of approximately \$600,000 with Valente, representing approximately all of their retirement funds.
40. GP is a 65-year-old electrician who retired in 2004. JP is a homemaker. GP/JP were conservative investors with limited prior investment experience. Due to their ages and retirement financial needs, they did not want to incur significant risks in their account.
41. On the new account documents, Valente listed GP/JP's investment objectives as "preservation of capital" and "income" with a "moderate" risk tolerance. He also

identified their annual income as "\$50,001-\$100,000" with a net worth between "\$100,000-\$500, 000," and characterized their investment knowledge as "limited."

42. Valente exercised discretion in one of their joint accounts (account number ending in [REDACTED] and rarely consulted with GP/JP prior to trades. Thus, he controlled the trading activity in the account.
43. From January 2003 through April 2004, Valente recommended to GP/JP and effected or caused to be effected in that joint account approximately 175 transactions in stocks and other securities as more fully detailed in Exhibit D attached hereto and incorporated herein by reference. The average monthly equity in the joint account during this time period was approximately \$60,000.
44. There were four instances in 2004 where Valente sold Class B mutual fund shares in the account resulting in contingent-deferred sales charges of \$2,800. In each instance, Valente used the proceeds of sale to buy another mutual fund.
45. Valente recommended and effected the transactions in the joint account, as detailed on Exhibit D, without having reasonable grounds for believing that such transactions were suitable for GP/JP in view of the size and frequency of the transactions, the transaction costs incurred, and in light of the customer's financial situation, investment objectives and needs.
46. The transactions referred to in paragraph 43 above were excessive in number, resulting in an annualized turnover ratio of approximately 4 and an annualized cost-to-equity ratio (converted to a percentage) of approximately 13%.

Accordingly, during this time period, the joint account would have had to earn at least an annual 13% return just to break even.

47. Valente engaged in short-term, in-and-out trading in this account. He sold all of the securities positions in the account within thirty (30) days of purchase.
48. During this period, the GP/JP joint account lost approximately \$6,000 through the excessive trading in his account, while Valente received approximately \$3,200 in net commissions.

**Discretionary Trading Without Written Authority (Customer GP/JP Joint Account)
(NASD Conduct Rules 2510 and 2110)**

49. From January 2003 through April 2004, Valente exercised discretion in effecting many of the securities transactions in the GP/JP joint account (account number ending in 916).
50. Valente failed to obtain prior written authorization from customers GP or JP to use discretion in their account. He also failed to obtain written acceptance of the account as discretionary by his employer member firm.

**Excessive Trading/Unsuitable Transactions (Customer JAD)
(NASD Conduct Rules 2310 and 2110 and IM-2310-2)**

51. Customer JAD opened two brokerage accounts with Valente at his employer member firm in April 2003. JAD invested approximately \$200,000 with Valente. JAD is 53 years old and manages a country club. She is a conservative investor with limited prior investment experience.
52. On the new account documents, Valente identified JAD's investment objectives as "capital appreciation" with a "moderate" risk tolerance. He also listed JAD's

annual income as "over \$100,000" with a net worth "over \$100,000," and characterized her investment knowledge as "limited."

53. Valente exercised discretion in one of JAD's accounts (account number ending in [REDACTED] and rarely consulted with her prior to trades. Thus, he controlled the trading activity in the account.
54. From July 2003 through July 2004, Valente recommended to JAD and effected or caused to be effected in that account approximately 170 transactions in stocks in other securities as more fully detailed in Exhibit E attached hereto and incorporated herein by reference. The average monthly equity in JAD's account during this time period was approximately \$187,000.
55. Valente recommended and effected the transactions in JAD's account, as detailed on Exhibit E, without having reasonable grounds for believing that such transactions were suitable for JAD in view of the size and frequency of the transactions, the transaction costs incurred, and in light of the customer's financial situation, investment objectives and needs.
56. The transactions referred to in paragraph 54 were excessive in number, resulting in an annualized turnover ratio of approximately 16 and an annualized cost-to-equity ratio (converted to a percentage) of approximately 40%. Accordingly, during this time period, JAD's account would have had to earn at least an annual 40% return just to break even.
57. Valente engaged in short-term, in-and-out trading in this account. He sold approximately 90% of the stocks in the account within thirty (30) days of

purchase. Furthermore, he sold approximately 35% of the stocks within seven (7) days of purchase.

58. During this period, JAD lost approximately \$77,000 through the excessive trading in his account, while Valente received approximately \$29,000 in net commissions.

**Discretionary Trading Without Written Authority (Customer JAD)
(NASD Conduct Rules 2510 and 2110)**

59. From July 2003 through July 2004, Valente exercised discretion in effecting many of the securities transactions in JAD's account (account number ending in [REDACTED])
60. Valente failed to obtain prior written authorization from customer JAD to exercise discretion in her account. He also failed to obtain written acceptance of the account as discretionary by his employer member firm.

**Excessive Trading/Unsuitable Transactions (JD/BD Joint Account)
(NASD Conduct Rules 2310 and 2110 and IM-2310-2)**

61. In 1999, customer JD and his wife, BD, opened five accounts with Valente at his employer member firm.
62. JD and BD are in their fifties and own a nursery. Both were conservative investors with limited prior investment experience. They did not want to incur significant risks in their account and had no prior experience investing in stocks.
63. On the new account documents, Valente listed JD/BD's investment objectives as "capital appreciation" with a "moderate" risk tolerance. He also listed their annual income as "\$50,001- \$100,000" with a net worth between "\$100,001"- "\$500, 000," and characterized their investment knowledge as "limited."
64. Valente exercised discretion in one of their joint accounts (account number ending in [REDACTED]) which was originally opened in 1999 under a different account number)

and rarely consulted with JD/BD prior to trades. Thus, he controlled the trading activity in the account.

65. From July 2003 through April 2004, Valente recommended to JD/BD and effected or caused to be effected in that joint account approximately 188 transactions in stocks and other securities as more fully detailed in Exhibit F attached hereto and incorporated herein by reference. The average monthly equity in the joint account during this time period was approximately \$69,000.
66. Valente recommended and effected the transactions in the joint account, as detailed on Exhibit F, without having reasonable grounds for believing that such transactions were suitable for JD/BD in view of the size and frequency of the transactions, the transaction costs incurred, and in light of the customer's financial situation, investment objectives and needs.
67. The transactions referred to in paragraph 65 were excessive in number, resulting in an annualized turnover ratio of approximately 15 and an annualized cost-to-equity ratio (converted to a percentage) of approximately 40%. Accordingly, during this time period, the joint account would have had to earn at least an annual 40% return just to break even.
68. Valente engaged in short-term, in-and-out trading in this account. He sold all of the securities positions in the account within thirty (30) days of purchase. Furthermore, he sold approximately 50% of the stocks within a week of purchase.
69. During this period, the JD/BD joint account lost approximately \$32,000 through the excessive trading in his account, while Valente received approximately \$8,000 in net commissions.

**Discretionary Trading Without Written Authority (Customer JD/BD Joint Account)
(NASD Conduct Rules 2510 and 2110)**

70. From July 2003 through April 2004, Valente exercised discretion in effecting many of the securities transactions in the JD/BD joint account (account number ending in 984).
71. Valente failed to obtain prior written authorization from JD or BD to exercise discretion in their account. He also failed to obtain written acceptance of the account as discretionary by his employer member firm.

**Falsified Documents
(NASD Conduct Rule 2110)**

72. On or about April 25, 2006, Valente met with customer ES and his wife to review the performance of their four accounts. During this meeting, Valente provided ES and his wife a handwritten note that he prepared on his employer member firm's letterhead representing that the total value of their accounts/investments was \$501,000. Further, one of the investments that Valente listed on the handwritten note was a purported "Eaton Vance IRA" with a value of \$179,000.
73. This information was false. The total value of the accounts/investments that ES and his wife held at the firm in April 2006 was approximately \$330,000. Further, in April 2006, ES and his wife did not have an "Eaton Vance IRA" investment worth \$179,000. At that time, ES and his wife owned two Eaton Vance mutual funds, one of which was in an IRA account, with a combined value of approximately \$25,000.

Based on the foregoing, Respondent violated NASD Conduct Rules 2310, 2510 and 2110 and IM-2310-2.

Based on these considerations, the sanctions hereby imposed by the acceptance of the Offer are in the public interest, are sufficiently remedial to deter Respondent from any future misconduct, and represent a proper discharge by FINRA, of its regulatory responsibility under the Securities Exchange Act of 1934.

SANCTIONS

It is ordered that Respondent be barred from association with any FINRA member in any capacity.

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

Pursuant to FINRA Rule 8313(e), a bar or expulsion shall become effective upon approval or acceptance of this Order.

SO ORDERED.

FINRA

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



Michael J. Newman
Senior Regional Counsel
FINRA Department of Enforcement
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Exhibit A to Scott Valente Complaint

Schedule of Transactions for Customer VS Account # 1

Customer VS
Account # 1

Date	Buy/Sell	Security	Quantity	Amount
3/12/2003	B	Pimco Real Return CI B	1277.683	\$ 15,000.00
3/17/2003	B	Pimco Real Return CI B	851.084	\$ 10,000.00
3/17/2003	B	Pimco Short Term CI C	1098.006	\$ 11,013.00
5/1/2003	S	Pimco Short Term CI C	626.866	\$ 6,237.28
5/1/2003	B	JetBlue Airways Corp	200	\$ 6,210.00
6/25/2003	(Cancel)S	JetBlue Airways Corp	200	\$ 7,707.13
7/24/2003	B	Diamonds Trust Series 1	300	\$ 28,457.88
7/24/2003	B	Van Kampen American Cap SR Inc	3700	\$ 30,282.38
8/11/2003	S	Diamonds Trust Series 1	300	\$ 27,069.23
8/12/2003	B	S&P 500 Depository Receipt	270	\$ 27,034.20
8/21/2003	S	S&P 500 Depository Receipt	270	\$ 27,048.23
8/26/2003	B	FleetBoston Finl Corp	300	\$ 9,451.60
8/26/2003	B	Ishares Inc MSCI Hong Kong Index	1000	\$ 9,134.50
8/27/2003	B	Ishares TR Dow Jones US Health	200	\$ 10,824.50
9/8/2003	S	Ishares Inc MSCI Hong Kong Index	1000	\$ 9,366.06
9/12/2003	S	FleetBoston Finl Corp	300	\$ 8,873.79
9/15/2003	S	Ishares Tr Dow Jones US Health	200	\$ 10,914.98
9/19/2003	B	Ishares Russell 3000 Index	400	\$ 24,040.50
9/19/2003	S	Van Kampen American Cap SR Inc	3700	\$ 29,660.72
9/22/2003	B	Bank of America	500	\$ 40,134.50
9/25/2003	B	IBM	100	\$ 9,366.83
10/1/2003	S	Ishares Russell 3000 Index	400	\$ 22,594.44
10/8/2003	S	IBM	100	\$ 9,147.07
10/9/2003	S	Bank of America	500	\$ 40,123.62
10/9/2003	B	Newmont Mng Corp	300	\$ 11,914.50
10/14/2003	B	SBC Communications	1500	\$ 34,579.50
10/16/2003	S	SBC Communications	1500	\$ 32,438.98
10/20/2003	B	Centerpoint Energy	2000	\$ 19,844.50
10/21/2003	S	Newmont Mng Corp	300	\$ 12,009.83
10/22/2003	B	Ishares TR smallcap 600/Barr Ind	300	\$ 28,963.51
10/30/2003	B	Bank of America	400	\$ 30,588.50
11/3/2003	S	Centerpoint Energy	2000	\$ 19,914.56
11/12/2003	S	Ishares TR smallcap 600/Barr Ind	300	\$ 28,986.14
11/14/2003	B	Nuveen Diversified Divd & Inc FD	1500	\$ 23,100.15
11/20/2003	B	Centerpoint Energy	2000	\$ 19,723.30
11/24/2003	S	Bank of America	400	\$ 29,542.11
11/26/2003	B	Merck & Co	500	\$ 21,979.50
12/1/2003	S	Merck & Co	500	\$ 20,854.53
12/2/2003	B	Fortune Brands Inc	400	\$ 28,110.90
12/10/2003	S	Centerpoint Energy	2000	\$ 19,154.80
12/10/2003	S	JetBlue Airways Corp	300	\$ 8,026.12
12/15/2003	S	Fortune Brands Inc	400	\$ 27,175.22
12/16/2003	B	Lennar Corp CI A	500	\$ 46,439.50
12/19/2003	B	Goldcorp Inc	1000	\$ 18,874.50
12/22/2003	S	Lennar Corp CI A	500	\$ 46,833.80
12/23/2003	S	Goldcorp Inc	1000	\$ 15,104.79
12/23/2003	B	Ishares Tr Dow Jones US Health	400	\$ 23,240.50

Customer VS
Account # 1

Date	Buy/Sell	Security	Quantity	Amount
12/23/2003	B	NASDAQ 100 TR	1000	\$ 36,834.50
12/26/2003	S	NASDAQ 100 TR	1000	\$ 35,283.84
12/26/2003	B	Boston PPTYS Inc	500	\$ 24,887.05
12/29/2003	B	Phelps Dodge Corp	100	\$ 7,868.50
1/8/2004	S	Boston PPTYS Inc	500	\$ 24,202.26
1/9/2004	B	L-3 Communications Hldgs	500	\$ 26,609.50
1/12/2004	S	Phelps Dodge Corp	100	\$ 7,682.71
1/13/2004	S	Ishares Tr Dow Jones US Health	400	\$ 23,050.82
1/14/2004	B	JP Morgan Chase & Co	1000	\$ 39,654.50
1/15/2004	S	L-3 Communications Hldgs	500	\$ 25,399.31
1/15/2004	B	Internap Networks Svcs Corp	4000	\$ 10,553.70
1/15/2004	B	Siliconware Precision Inds	2000	\$ 11,884.30
1/16/2004	B	Newmont MNG Corp HLDG CO	700	\$ 33,218.22
1/20/2004	B	Internap Networks Svcs Corp	4000	\$ 8,783.30
1/21/2004	S	Newmont MNG Corp HLDG CO	700	\$ 30,338.07
1/23/2004	B	Nortel Networks	2000	\$ 15,004.50
1/23/2004	S	Nortel Networks	2000	\$ 13,854.85
1/26/2004	B	North American Palladium Ltd	2000	\$ 17,942.70
1/27/2004	S	Internap Networks Svcs Corp	8000	\$ 18,994.68
1/27/2004	S	North American Palladium Ltd	2000	\$ 18,954.81
1/29/2004	B	Phelps Dodge Corp	200	\$ 15,434.50
1/29/2004	S	JP Morgan Chase & Co	1000	\$ 40,143.62
1/30/2004	B	Lennar Corp Cl A	500	\$ 23,978.50
2/5/2004	S	Nuveen Diversified Divd & Inc FD	1500	\$ 23,725.13
2/5/2004	B	Eli Lilly & Co	500	\$ 35,474.50
2/9/2004	S	Phelps Dodge Corp	200	\$ 14,532.81
2/9/2004	B	Siliconware Precision Inds	2000	\$ 11,529.10
2/10/2004	S	Lennar Corp Cl A	500	\$ 21,269.00
2/10/2004	B	Dow Chemical Co	500	\$ 21,437.25
2/11/2004	S	Fortune Brands Inc	500	\$ 35,783.97
2/12/2004	B	Home Depot	1000	\$ 37,274.50
2/13/2004	S	Home Depot	1000	\$ 35,783.97
2/13/2004	S	Eli Lilly & Co	500	\$ 37,093.76
2/17/2004	S	Dow Chemical Co	500	\$ 21,804.47
2/17/2004	B	Eaton Vance Large Cap Value Cl-B	564.972	\$ 10,000.00
2/17/2004	B	Ligand Pharm. Inc	1000	\$ 15,784.50
2/17/2004	B	Munder Small Cap Value Cl-B	226.449	\$ 5,000.00
2/18/2004	B	Siliconware Precision Inds	2000	\$ 10,841.50
2/18/2004	B	Merck & Co	1000	\$ 49,384.50
2/23/2004	S	Ligand Pharm. Inc	1000	\$ 16,114.74
2/24/2004	B	Z Tel technologies	2500	\$ 11,534.25
2/25/2004	B	S&P Mid Cap 400 Dep Rec Mid	200	\$ 22,272.50
2/25/2004	B	Z Tel technologies	2500	\$ 10,458.50
2/25/2004	S	Merck & Co	1000	\$ 48,783.21
2/26/2004	B	Ligand Pharm. Inc	1000	\$ 15,630.50
3/4/2004	S	Ligand Pharm. Inc	1000	\$ 15,804.88
3/4/2004	S	S&P Mid Cap 400 Dep Rec Mid	200	\$ 22,358.62

Customer VS
Account # 1

Date	Buy/Sell	Security	Quantity	Amount
3/5/2004	B	Newmont MNG Corp HLDG CO	500	\$ 21,974.50
3/8/2004	S	Newmont MNG Corp HLDG CO	500	\$ 20,929.68
3/8/2004	B	Alvarion Ltd	1000	\$ 15,759.60
3/10/2004	S	Alvarion Ltd	1000	\$ 16,397.36
3/10/2004	S	Z Tel technologies	5000	\$ 13,971.45
3/10/2004	B	Berna Gold Corp	10000	\$ 35,104.50
3/12/2004	S	Berna Gold Corp	10000	\$ 35,813.10
3/17/2004	B	Dell	1000	\$ 33,654.60
3/24/2004	S	Dell	1000	\$ 32,909.21
3/25/2004	B	Alvarion Ltd	1000	\$ 13,502.60
3/25/2004	B	General Electric	500	\$ 14,864.50
3/31/2004	S	General Electric	500	\$ 15,089.91
4/5/2004	B	IBM	300	\$ 28,195.28
4/6/2004	S	Pinco High Yield CIB	1093.675	\$ 10,205.18
4/6/2004	B	Jabil Circuit Inc	500	\$ 14,904.50
4/14/2004	S	IBM	300	\$ 28,194.84
4/15/2004	S	Jabil Circuit Inc	500	\$ 15,120.14
4/15/2004	B	Sirius Sat radio	6000	\$ 19,754.00
4/22/2004	B	Intel Corp	1000	\$ 26,994.50
4/26/2004	S	Sirius Sat radio	5000	\$ 17,085.89
4/27/2004	S	Intel Corp	1000	\$ 25,904.89
4/27/2004	B	Bell Corp	200	\$ 14,172.50
4/30/2004	B	Autodesk Inc	500	\$ 17,704.50
5/3/2004	S	Alvarion Ltd	2000	\$ 22,264.77
5/3/2004	B	Chesapeake Energy Corp	1000	\$ 14,604.50
5/6/2004	B	Engineered Support Sys Inc	400	\$ 19,328.00
5/6/2004	B	Engineered Support Sys Inc	100	\$ 4,840.50
5/6/2004	S	Pinco Real Return Cl C	440.295	\$ 4,935.71
5/10/2004	S	Chesapeake Energy Corp	1000	\$ 13,845.88
5/10/2004	B	Transaction Systems Architects	542	\$ 12,389.20
5/11/2004	S	Bell Corp	200	\$ 13,020.59
5/18/2004	S	Siliconware Precision Inds	3000	\$ 11,083.44
5/20/2004	S	Transaction Systems Architects	542	\$ 10,374.55
5/20/2004	B	General Electric	1000	\$ 30,384.50
5/21/2004	S	Autodesk Inc	500	\$ 16,810.20
5/21/2004	B	AU Optronics Corp	1000	\$ 20,404.50
5/27/2004	S	AU Optronics Corp	1000	\$ 21,494.99
5/27/2004	B	Adobe Systems	500	\$ 22,279.60
5/28/2004	S	General Electric	1000	\$ 30,934.77
5/28/2004	B	Johnson Cts Inc	500	\$ 27,304.55
6/2/2004	S	Adobe Systems	500	\$ 22,019.98
6/2/2004	B	AU Optronics Corp	1000	\$ 23,577.80
6/4/2004	S	AU Optronics Corp	1000	\$ 19,895.03
6/10/2004	S	Johnson Cts Inc	500	\$ 27,407.20
6/10/2004	B	AU Optronics Corp	2000	\$ 41,344.50
6/14/2004	S	AU Optronics Corp	2000	\$ 38,680.79
6/14/2004	B	Sempra Energy	1000	\$ 34,698.50

Customer VS
Account # 1

Date	Buy/Sell	Security	Quantity	Amount
6/17/2004	S	Siliconware Precision Inds	3000	\$ 10,423.55
6/17/2004	B	Ventiv Health Inc	1000	\$ 17,784.50
6/23/2004	B	NASDAQ 100 TR	1000	\$ 37,974.50
6/23/2004	S	Sempra Energy	1000	\$ 34,344.69
7/8/2004	S	Pimco Real Return Class C	2.34	\$ 26.70
7/13/2004	S	Ventiv Health Inc	1000	\$ 13,341.78
7/20/2004	S	Engineered Support Sys Inc	500	\$ 28,229.83
7/23/2004	B	Microsoft Corp	500	\$ 14,457.50
7/23/2004	B	Navarree Corp	1000	\$ 15,514.10
7/28/2004	B	Nextel Comm Inc Cl A	500	\$ 12,687.90
7/27/2004	S	Navarree Corp	1000	\$ 13,472.98
7/28/2004	S	NASDAQ 100 TR	1000	\$ 34,415.49
7/29/2004	S	Nextel Comm Inc Cl A	500	\$ 11,378.63
8/8/2004	B	Ventiv Health Inc	2700 @ 14.81	\$ 40,081.50
8/8/2004	B	Ventiv Health Inc	300 @ 14.80	\$ 4,449.99
8/10/2004	B	Scudder Strategic Mun Income Tr	200	\$ 2,445.90
8/10/2004	B	Scudder Strategic Mun Income Tr	1000	\$ 12,282.89
8/19/2004	S	Microsoft Corp	500	\$ 13,520.18
8/24/2004	B	National Grid Transco PLC Repsng	200	\$ 8,422.32
8/30/2004	S	Ventiv Health Inc	3000	\$ 42,364.50
9/1/2004	B	Aquila Inc Com	5000	\$ 14,154.50
9/17/2004	B	PIMCO PEA Ren Class B	224.921	\$ 5,000.00
9/17/2004	B	American Capital World Grow+Inc B	486.066	\$ 15,000.00
9/23/2004	S	National Grid Transco PLC Repsng	200	\$ 8,227.30
9/24/2004	B	Munder Small Cap Value Cl-B	215.054	\$ 5,000.00
9/27/2004	B	Research In Motion	200	\$ 15,051.90
10/4/2004	S	Eaton Vance Large Cap Value Cl-B	566.912	\$ 9,574.09
10/4/2004	S	Aquila Inc Com	5000	\$ 14,845.15
10/4/2004	S	Research In Motion	200	\$ 15,343.13
10/4/2004	S	PIMCO PEA Ren Class B	45.167	\$ 995.41
10/4/2004	S	Scudder Strategic Mun Income Tr	1200	\$ 14,957.14
11/16/2004	S	American Capital World Grow+Inc B	488.903	\$ 15,383.80
11/16/2004	S	Munder Small Cap Value Cl-B	451.095	\$ 10,080.61
11/16/2004	S	PIMCO PEA Ren Class B	872.995	\$ 19,758.51

Exhibit A to Scott Valente Complaint

Schedule of Transactions for Customer VS Account # 2

Customer VS
account # 2

Date	Buy/Sell	Security	Quantity	Amount
3/12/2003	B	PIMCO REAL RETURN CLASS B	1,277.683	15,000.00
3/17/2003	B	PIMCO REAL RETURN CLASS B	851.064	10,000.00
3/17/2003	B	PIMCO SHORT TERM CLASS C	1,098.006	11,013.00
4/25/2003	B	PIMCO HIGH YIELD CLASS B	2,610.249	23,883.78
4/25/2003	S	PIMCO REAL RETURN CLASS B	2,134.386	23,883.78
5/1/2003	B	JETBLUE AWYS CORP	200.000	6,210.00
5/1/2003	S	PIMCO SHORT TERM CLASS C	626.866	6,237.28
5/19/2003	B	PIMCO REAL RETURN CLASS B	429.186	5,000.00
5/19/2003	S	PIMCO HIGH YIELD CLASS B	537.057	5,000.00
6/25/2003	S	JETBLUE AWYS CORP	200.000	7,707.13
7/24/2003	B	DIAMONDS TRUST SER I	300.000	28,457.88
7/24/2003	B	VAN KAMPEN AMERN CAP SR INCOME	3,700.000	30,282.36
8/11/2003	S	DIAMONDS TRUST SER I	300.000	27,069.23
8/12/2003	B	S&P 500 DEPOSITORY RECEIPT	270.000	27,034.20
8/21/2003	S	S&P 500 DEPOSITORY RECEIPT	270.000	27,048.23
8/26/2003	B	FLEETBOSTON FINL CORP	300.000	9,451.60
8/26/2003	B	ISHARES INC MSCI HONG KONG INDEX	1,000.000	9,134.60
8/27/2003	B	ISHARES TR DOW JONES US HEALTHCARE SECTOR	200.000	10,824.60
9/8/2003	S	ISHARES INC MSCI HONG KONG INDEX	1,000.000	9,366.06
9/12/2003	S	FLEETBOSTON FINL CORP	300.000	8,873.79
9/15/2003	S	ISHARES TR DOW JONES US HEALTHCARE SECTOR	200.000	10,914.98
9/17/2003	B	PIMCO REAL RETURN CLASS C	417.128	4,771.94
9/17/2003	S	PIMCO SHORT TERM CLASS C	474.820	4,771.91
9/19/2003	B	ISHARES TR RUSSELL 3000 INDEX	400.000	24,040.50
9/19/2003	S	VAN KAMPEN AMERN CAP SR INCOME TR	3,700.000	29,650.72
9/22/2003	B	BANK OF AMERICA CORP	500.000	40,134.50
9/25/2003	B	INTL BUSINESS MACHINES	100.000	9,386.83
10/1/2003	S	ISHARES TR RUSSELL 3000 INDEX	400.000	22,594.44
10/8/2003	S	INTL BUSINESS MACHINES	100.000	9,147.07
10/9/2003	B	NEWMONT MNG CORP	300.000	11,914.50
10/9/2003	S	BANK OF AMERICA	500.000	40,123.62
10/14/2003	B	SBC COMMUNICATIONS	1,500.000	34,578.60
10/16/2003	S	SBC COMMUNICATIONS	1,500.000	32,438.98
10/20/2003	B	CENTERPOINT ENERGY INC	2,000.000	19,844.50
10/21/2003	S	NEWMONT MNG CORP	300.000	12,009.83
10/22/2003	B	ISHARES TR S&P SMALLCAP 600/BARRA VALUE IND	300.000	28,953.51
10/30/2003	B	BANK OF AMERICA	400.000	30,588.60
11/3/2003	S	CENTERPOINT ENERGY INC	2,000.000	19,914.56
11/12/2003	S	ISHARES TR S&P SMALLCAP 600/BARRA VALUE IND	300.000	28,986.14
11/14/2003	B	NUVEEN DIVERSIFIED DIVID & INCOME FD	1,500.000	23,100.15
11/20/2003	B	CENTERPOINT ENERGY INC	2,000.000	19,723.30
11/24/2003	S	BANK OF AMERICA CORP	400.000	29,542.11
11/26/2003	B	MERCK & CO INC	500.000	21,979.60
12/1/2003	S	MERCK & CO INC	500.000	20,854.53
12/2/2003	B	FORTUNE BRANDS INC	400.000	28,110.80
12/10/2003	S	CENTERPOINT ENERGY INC	2,000.000	19,154.60
12/10/2003	S	JETBLUE AWYS CORP	300.000	8,028.12
12/15/2003	S	FORTUNE BRANDS INC	400.000	27,175.22

Customer VS
account # 2

Date	Buy/Sell	Security	Quantity	Amount
12/18/2003	B	LENNAR CORP CL A	500.000	46,439.50
12/18/2003	B	PIMCO HIGH YIELD CLASS B	525.356	5,095.95
12/18/2003	S	PIMCO REAL RETURN CLASS B	453.378	5,095.95
12/19/2003	B	GOLDCORP INC	1,000.000	16,874.50
12/22/2003	S	LENNAR CORP CL A	500.000	46,833.80
12/23/2003	B	ISHARES TR DOW JONES US HEALTHCARE SECTOR	400.000	23,240.50
12/23/2003	B	NASDAQ 100 TR	1,000.000	36,834.50
12/23/2003	S	GOLDCORP INC	1,000.000	16,104.79
12/26/2003	B	BOSTON PPTYS INC	500.000	24,887.05
12/26/2003	S	NASDAQ 100 TR	1,000.000	35,283.84
12/29/2003	B	PHELPS DODGE CORP	100.000	7,868.50
1/8/2004	S	BOSTON PPTYS INC	500.000	24,202.26
1/9/2004	B	L3 COMMUNICATIONS HLDGS INC	500.000	25,809.50
1/12/2004	S	PHELPS DODGE CORP	100.000	7,882.71
1/13/2004	S	ISHARES TR DOW JONES US HEALTHCARE SECTOR	400.000	23,060.62
1/14/2004	B	JP MORGAN CHASE & CO	1,000.000	39,864.50
1/15/2004	B	INTERNAP NETWORK SVCS CORP	4,000.000	10,553.70
1/15/2004	B	SILICONWARE PRECISION INDS LTD	2,000.000	11,884.30
1/15/2004	S	L3 COMMUNICATIONS HLDGS INC	500.000	25,389.31
1/18/2004	B	NEWMONT MNG CORP	700.000	33,219.22
1/20/2004	B	INTERNAP NETWORK SVCS CORP	4,000.000	8,783.30
1/21/2004	S	NEWMONT MNG CORP	700.000	30,339.07
1/23/2004	B	NORTEL NETWORKS CORP	2,000.000	15,004.50
1/23/2004	S	NORTEL NETWORKS CORP	2,000.000	13,854.85
1/26/2004	B	NORTH AMERICAN PALLADIUM LTD	2,000.000	17,942.70
1/27/2004	S	INTERNAP NETWORK SVCS CORP	8,000.000	19,994.56
1/27/2004	S	NORTH AMERICAN PALLADIUM LTD	2,000.000	18,954.61
1/28/2004	B	FORTUNE BRANDS INC	500.000	36,744.00
1/29/2004	B	PHELPS DODGE CORP	200.000	15,434.50
1/29/2004	S	JP MORGAN CHASE & CO	1,000.000	40,143.62
1/30/2004	B	LENNAR CORP	500.000	23,979.50
2/5/2004	B	LILLY ELI & CO	500.000	35,474.50
2/5/2004	S	NUVEEN DIVERSIFIED DIVID & INCOME FD	1,500.000	23,725.13
2/9/2004	B	SILICONWARE PRECISION INDS LTD	2,000.000	11,629.10
2/9/2004	S	PHELPS DODGE CORP	200.000	14,532.81
2/10/2004	B	DOW CHEMICAL CO	500.000	21,437.25
2/10/2004	S	LENNAR CORP	500.000	21,269.00
2/11/2004	S	FORTUNE BRANDS INC	500.000	35,783.97
2/12/2004	B	HOME DEPOT INC	1,000.000	37,274.50
2/13/2004	B	PIMCO PEA RENAISSANCE CL B	893.241	16,000.00
2/13/2004	S	HOME DEPOT INC	1,000.000	35,793.82
2/13/2004	S	LILLY ELI & CO	500.000	37,093.76
2/13/2004	S	PIMCO HIGH YIELD CLASS B	1,841.026	16,000.00
2/17/2004	B	EATON VANCE LARGE-CAP VALUE CL B	584.972	10,000.00
2/17/2004	B	LIGAND PHARMACEUTL INC	1,000.000	15,784.50
2/17/2004	B	MUNDER SMALL CAP VALUE CL B	226.449	5,000.00
2/17/2004	S	DOW CHEMICAL CO	500.000	21,804.47
2/18/2004	B	MERCK & CO	1,000.000	49,384.50

Customer VS
account # 2

Date	Buy/Sell	Security	Quantity	Amount
2/18/2004	B	SILICONWARE PRECISION INDS LTD	1,200.000	8,567.00
2/18/2004	B	SILICONWARE PRECISION INDS LTD	800.000	4,374.50
2/23/2004	S	LIGAND PHARMACEUTL INC	1,000.000	16,114.74
2/24/2004	B	Z TEL TECHNOLOGIES	2,500.000	11,534.25
2/25/2004	B	S&P MID CAP 400 DEP	200.000	22,272.50
2/25/2004	B	Z TEL TECHNOLOGIES	2,200.000	9,200.40
2/25/2004	B	Z TEL TECHNOLOGIES	300.000	1,258.10
2/25/2004	S	MERCK & CO	1,000.000	48,783.21
2/26/2004	B	LIGAND PHARMACEUTL INC	1,000.000	15,630.50
3/4/2004	S	LIGAND PHARMACEUTL INC	1,000.000	15,804.88
3/4/2004	S	S&P MID CAP 400 DEP	200.000	22,358.82
3/5/2004	B	NEWMONT MNG CORP	500.000	21,974.50
3/8/2004	B	ALVARION LTD	1,000.000	15,759.80
3/8/2004	S	NEWMONT MNG CORP	500.000	20,929.88
3/10/2004	B	BEMA GOLD CORP	10,000.000	35,104.50
3/10/2004	S	ALVARION LTD	1,000.000	18,397.38
3/10/2004	S	Z TEL TECHNOLOGIES	5,000.000	13,971.45
3/12/2004	B	ALVARION LTD	1,000.000	15,364.50
3/12/2004	S	BEMA GOLD CORP	10,000.000	35,813.10
3/17/2004	B	DELL INC	1,000.000	33,654.50
3/24/2004	S	DELL INC	1,000.000	32,909.21
3/25/2004	B	ALVARION LTD	1,000.000	13,502.80
3/25/2004	B	GENERAL ELECTRIC CO	500.000	14,864.50
3/31/2004	S	GENERAL ELECTRIC CO	500.000	15,069.91
4/5/2004	B	INTL BUSINESS MACHINES	300.000	28,195.26
4/6/2004	B	JABIL CIRCUIT	500.000	14,904.50
4/6/2004	S	PIMCO HIGH YIELD CL B	1,083.575	10,205.16
4/14/2004	S	INTL BUSINESS MACHINES	300.000	28,194.84
4/15/2004	B	SIRIUS SATELLITE RADIO	5,000.000	19,754.00
4/15/2004	S	JABIL CIRCUIT INC	500.000	15,120.14
4/22/2004	B	INTEL CORP	1,000.000	26,994.60
4/26/2004	S	SIRIUS SATELLITE RADIO	5,000.000	17,095.59
4/27/2004	B	BALL CORP	200.000	14,172.50
4/27/2004	S	INTEL CORP	1,000.000	25,804.89
4/30/2004	B	AUTODESK INC	500.000	17,704.50
5/3/2004	B	CHESAPEAKE ENERGY CORP	1,000.000	14,804.50
5/3/2004	S	ALVARION LTD	2,000.000	22,254.77
5/6/2004	B	ENGINEERED SUPPORT SYS	400.000	19,328.00
5/6/2004	B	ENGINEERED SUPPORT SYS	100.000	4,840.80
5/6/2004	S	PIMCO REAL RETURN CL G	440.296	4,936.71
5/10/2004	B	TRANSACTION SYSTEMS ARCHITECTS INC	542.000	12,389.20
5/10/2004	S	CHESAPEAKE ENERGY CORP	1,000.000	13,645.88
5/11/2004	S	BALL CORP	200.000	13,020.59
5/18/2004	S	SILICONWARE PRECISION INDS LTD	3,000.000	11,033.44
5/20/2004	B	GENERAL ELECTRIC CO	1,000.000	30,384.50
5/20/2004	S	TRANSACTION SYSTEMS ARCHITECTS INC	542.000	10,374.65
5/21/2004	B	AU OPTRONICS CORP	1,000.000	20,404.80
5/21/2004	S	AUTODESK INC	500.000	16,810.20

Customer VS
account # 2

Date	Buy/Sell	Security	Quantity	Amount
6/27/2004	B	ADOBE SYS INC	500.000	22,279.80
6/27/2004	S	AU OPTRONICS CORP	1,000.000	21,494.99
6/28/2004	B	JOHNSON CTLS INC	600.000	27,304.56
6/28/2004	S	GENERAL ELECTRIC CO	1,000.000	30,934.77
6/2/2004	B	AU OPTRONICS CORP	1,000.000	23,577.80
6/2/2004	S	ADOBE SYS INC	500.000	22,019.98
6/4/2004	S	AU OPTRONICS CORP	1,000.000	19,895.03
6/10/2004	S	JOHNSON CTLS INC	500.000	27,407.20
6/10/2004	B	AU OPTRONICS CORP	2,000.000	41,344.50
6/14/2004	B	SEMPRA ENERGY	1,000.000	34,898.50
6/14/2004	S	AU OPTRONICS CORP	2,000.000	38,860.79
6/17/2004	B	VENTIV HEALTH INC	1,000.000	17,784.50
6/17/2004	S	SILICONWARE PRECISION INDS LTD	3,000.000	10,423.55
6/23/2004	B	NASDAQ 100 TR	1,000.000	37,974.50
6/23/2004	S	SEMPRA ENERGY	1,000.000	34,344.88
7/8/2004	S	PIMCO REAL RETURN CL C	2.340	26.70
7/13/2004	S	VENTIV HEALTH INC	1,000.000	13,341.78
7/20/2004	S	ENGINEERED SUPPORT SYS INC	500.000	28,229.83
7/23/2004	B	MICROSOFT CORP	500.000	14,457.50
7/23/2004	B	NAVARREE CORP	1,000.000	15,514.10
7/26/2004	B	NEXTEL COMM INC	800.000	12,687.90
7/27/2004	S	NAVARREE CORP	1,000.000	13,472.88
7/28/2004	S	NASDAQ 100 TR	1,000.000	34,415.48
7/29/2004	S	NEXTEL COMM INC	600.000	11,378.83
8/9/2004	B	VENTIVE HEALTH INC	2,700.000	40,081.50
8/9/2004	B	VENTIVE HEALTH INC	300.000	4,449.89
8/10/2004	B	SCUDDER STRATEGIC MUN INCOME TR	1,000.000	12,282.89
8/10/2004	B	SCUDDER STRATEGIC MUN INCOME TR	200.000	2,445.90
8/19/2004	S	MICROSOFT CORP	500.000	13,520.18
8/24/2004	B	NATIONAL GRID TRANSCO PLC	200.000	8,422.32
8/30/2004	S	VENTIVE HEALTH INC	3,000.000	42,354.50
9/1/2004	B	AQUILA COM	5,000.000	14,154.50
9/17/2004	B	AMERICAN CAPITAL WORLD GROWTH & INC CL B	486.066	15,000.00
9/17/2004	B	PIMCO PEA RENAISSANCE CL B	224.921	5,000.00
9/23/2004	S	NATIONAL GRID TRANSCO PLC	200.000	8,227.30
9/24/2004	B	MUNDER SMALL CAP VALUE CL B	215.054	5,000.00
9/27/2004	B	RESEARCH IN MOTION	200.000	15,051.80
10/4/2004	S	AQUILA COM	5,000.000	14,845.15
10/4/2004	S	EATON VANCE LARGE CAP VALUE CL B	688.812	9,574.03
10/4/2004	S	RESEARCH IN MOTION	200.000	15,343.13
10/5/2004	S	PIMCO PEA RENAISSANCE CL B	45.167	995.41
10/5/2004	S	SCUDDER STRATEGIC MUN INCOME TR	1,200.000	14,957.14
11/16/2004	S	AMERICAN CAPITAL WORLD GROWTH & INC CL B	488.903	15,383.80
11/16/2004	S	MUNDER SMALL CAP VALUE CL B	451.085	10,080.61
11/16/2004	S	PIMCO PEA RENAISSANCE CL B	872.895	19,758.51

Exhibit B to Scott Valente Complaint

Schedule of Transactions for Customer ES Account

Customer ES

Date	Buy/Sell	Security	Quantity	Amount
6/2/2003	B	Honeywell Intl Corp	400	\$ 10,552.60
6/4/2003	B	Pixar Inc	100	\$ 5,779.82
6/5/2003	S	Honeywell Intl Corp	400	\$ 10,539.00
6/5/2003	S	Pixar Inc	100	\$ 5,916.12
6/9/2003	B	Intel Corp	400	\$ 8,578.26
6/10/2003	S	Intel Corp	400	\$ 8,691.45
6/16/2003	B	Microsoft Corp	400	\$ 10,184.50
6/16/2003	B	Pfizer Inc	300	\$ 10,285.50
6/20/2003	S	Pfizer Inc	300	\$ 10,585.00
6/23/2003	S	Microsoft Corp	400	\$ 10,383.01
6/24/2003	B	Cisco	500	\$ 9,609.50
6/24/2003	B	Merck & Co	300	\$ 19,333.50
6/26/2003	S	Cisco	500	\$ 8,820.43
6/27/2003	B	Bank of America	300	\$ 23,782.50
7/1/2003	S	Merck & Co	300	\$ 18,111.85
7/10/2003	S	Bank of America	300	\$ 24,099.52
7/11/2003	B	First Data Corp	300	\$ 13,091.04
7/14/2003	B	Dell	400	\$ 13,696.50
7/17/2003	B	General Electric	400	\$ 11,728.50
7/21/2003	S	General Electric	400	\$ 10,894.98
7/22/2003	S	First Data Corp	300	\$ 12,067.93
7/23/2003	B	Pimco Corp Opp Fund	1000	\$ 16,704.50
7/25/2003	S	Pimco Corp Opp Fund	1000	\$ 16,664.76
7/25/2003	B	Wal-Mart Stores	400	\$ 22,977.02
8/1/2003	B	Eastman Kodak	500	\$ 14,280.50
8/8/2003	S	Dell	400	\$ 12,767.30
8/8/2003	S	Eastman Kodak	500	\$ 13,475.36
8/11/2003	B	Toil Brothers Inc	400	\$ 11,068.98
8/13/2003	S	Toil Brothers Inc	400	\$ 11,334.86
8/13/2003	S	Wal-Mart Stores	400	\$ 22,970.42
8/15/2003	B	Adobe Systems	500	\$ 17,208.20
8/15/2003	B	Johnson & Johnson	300	\$ 16,853.50
8/18/2003	B	Toil Brothers Inc	300	\$ 8,555.28
8/21/2003	S	Adobe Systems	500	\$ 17,594.87
8/21/2003	S	Johnson & Johnson	300	\$ 15,188.78
8/22/2003	B	Home Depot	400	\$ 13,364.50
8/26/2003	B	Ishares Inc MSCI Hong Kong Index	200	\$ 1,630.50
8/28/2003	S	Toil Brothers Inc	300	\$ 8,755.09
8/29/2003	B	Abbott Laboratories	300	\$ 12,178.50
8/29/2003	B	Bank of America	300	\$ 23,748.50
9/8/2003	S	Abbott Laboratories	300	\$ 12,396.91
9/8/2003	S	Home Depot	400	\$ 12,788.90
9/8/2003	S	Ishares Inc MSCI Hong Kong Index	200	\$ 1,867.41
9/9/2003	B	Nokia	500	\$ 8,634.50
9/9/2003	B	Servicemaster Co	500	\$ 5,342.55
9/12/2003	S	Nokia	500	\$ 7,955.12
9/15/2003	S	Bank of America	300	\$ 22,628.18

Customer ES

Date	Buy/Sell	Security	Quantity	Amount
9/15/2003	B	IBM	200	\$ 18,040.50
9/18/2003	S	Servicemaster Co	500	\$ 4,950.28
9/18/2003	B	General Electric	500	\$ 16,149.25
9/22/2003	S	IBM	200	\$ 18,144.85
9/22/2003	B	Centerpoint Energy	1000	\$ 9,093.70
9/23/2003	B	KB Home	300	\$ 17,971.50
9/25/2003	B	Ishares MSCI Japan Index Fd	1000	\$ 9,184.50
9/26/2003	B	SBC Communications	500	\$ 11,479.50
9/30/2003	S	General Electric	500	\$ 16,119.79
10/6/2003	S	KB Home	300	\$ 18,284.54
10/8/2003	S	Ishares MSCI Japan Index Fd	1000	\$ 9,385.06
10/9/2003	S	Centerpoint Energy	1000	\$ 9,265.06
10/10/2003	B	Merck & Co	500	\$ 25,551.75
10/14/2003	B	Symantec Corp	200	\$ 13,484.22
10/16/2003	S	SBC Communications	500	\$ 10,934.98
10/16/2003	S	Symantec Corp	200	\$ 12,572.79
10/16/2003	B	Computer Assoc. Int'l	400	\$ 10,160.50
10/16/2003	B	Goldcorp Inc	400	\$ 5,985.58
10/17/2003	S	Merck & Co	500	\$ 24,679.34
10/20/2003	B	Micron Tech	1500	\$ 20,044.50
10/21/2003	S	Micron Tech	1500	\$ 18,729.62
10/21/2003	B	IBM	200	\$ 18,228.50
10/23/2003	B	Kinetics New Paradigm Cl A	2127.66	\$ 30,000.00
10/24/2003	S	Goldcorp Inc	400	\$ 6,059.37
10/27/2003	S	Pimco High Yield ClB	3364.879	\$ 31,365.12
10/27/2003	B	Leapfrog Enterprises	500	\$ 18,169.50
10/28/2003	S	Computer Assoc. Int'l	400	\$ 9,327.06
10/28/2003	S	IBM	200	\$ 17,486.68
10/28/2003	B	Fortune Brands Inc	300	\$ 19,324.47
10/29/2003	S	Leapfrog Enterprises	500	\$ 16,804.72
10/29/2003	B	Intel Corp	500	\$ 15,594.50
10/31/2003	S	Intel Corp	500	\$ 15,905.35
11/6/2003	S	Fortune Brands Inc	300	\$ 19,800.57
11/10/2003	B	Cisco	800	\$ 17,589.54
11/12/2003	S	Cisco	800	\$ 18,221.28
11/13/2003	B	Diamonds Trust Series 1	200	\$ 20,230.50
11/14/2003	B	Corning Inc	5000	\$ 62,564.50
11/17/2003	B	Goldcorp Inc	1000	\$ 15,934.50
11/19/2003	S	Corning Inc	6000	\$ 68,620.75
11/19/2003	S	Goldcorp Inc	1000	\$ 16,314.73
11/20/2003	B	Corning Inc	3000	\$ 32,914.50
11/21/2003	B	Symantec Corp	300	\$ 19,221.93
11/24/2003	S	Diamonds Trust Series 1	200	\$ 19,292.59
11/24/2003	S	Symantec Corp	300	\$ 17,850.18
11/25/2003	S	Corning Inc	3000	\$ 33,533.93
11/25/2003	B	Corning Inc	1450	\$ 16,234.35
11/26/2003	B	Ishares MSCI Japan Index Fd	1000	\$ 8,924.50

Customer ES

Date	Buy/Sell	Security	Quantity	Amount
11/28/2003	S	Coming Inc	1450	\$ 16,292.73
11/28/2003	B	Ishares Tr Russel 2000 Index	800	\$ 65,872.50
11/28/2003	B	Micron Tech	1500	\$ 19,401.30
12/4/2003	S	Ishares MSCI Japan Index Fd	1000	\$ 9,095.07
12/5/2003	S	Ishares Tr Russel 2000 Index	800	\$ 66,520.38
12/9/2003	S	Micron Tech	1500	\$ 18,129.66
12/10/2003	B	Goldcorp Inc	1500	\$ 26,608.35
12/10/2003	B	Johnson & Johnson	300	\$ 15,215.91
12/11/2003	B	Intel Corp	500	\$ 16,424.50
12/12/2003	S	Intel Corp	500	\$ 15,406.27
12/12/2003	B	ISHARES TR S&P small cap	400	\$ 39,568.50
12/15/2003	S	Goldcorp Inc	1500	\$ 24,792.48
12/19/2003	S	Johnson & Johnson	300	\$ 14,773.73
12/19/2003	B	ESS Technology Inc	1000	\$ 16,414.00
12/23/2003	S	ISHARES TR S&P small cap	400	\$ 39,493.65
12/23/2003	B	Ishares Tr Dow Jones US Health	500	\$ 29,049.50
12/24/2003	B	Newmont MNG Corp HLDG CO	800	\$ 37,974.50
12/28/2003	S	ESS Technology Inc	1000	\$ 14,331.62
12/29/2003	B	L-3 Communications Hldgs	800	\$ 40,226.50
12/31/2003	B	Bristol Myers Squibb	500	\$ 14,189.50
1/2/2004	S	Newmont MNG Corp HLDG CO	800	\$ 39,150.38
1/8/2004	S	Bristol Myers Squibb	500	\$ 14,744.80
1/9/2004	S	Goldcorp Inc	1000	\$ 15,544.97
1/9/2004	S	L-3 Communications Hldgs	800	\$ 41,534.03
1/9/2004	B	Goldcorp Inc	1000	\$ 16,594.80
1/12/2004	B	JP Morgan Chase & Co	700	\$ 26,980.26
1/13/2004	S	Ishares Tr Dow Jones US Health	500	\$ 28,806.95
1/14/2004	B	Nokia	1000	\$ 21,084.50
1/16/2004	B	Magnum Hunter Res Inc	1200	\$ 11,644.50
1/16/2004	B	Intel Corp	800	\$ 27,900.50
1/21/2004	S	Magnum Hunter Res Inc	1200	\$ 11,047.94
1/22/2004	S	Intel Corp	800	\$ 26,314.26
1/23/2004	S	Nortel Networks	1600	\$ 11,050.98
1/23/2004	B	Nortel Networks	1500	\$ 12,058.50
1/23/2004	B	Phelps Dodge Corp	400	\$ 30,235.98
1/26/2004	S	Nokia	1000	\$ 20,434.54
1/26/2004	S	JP Morgan Chase & Co	700	\$ 27,700.20
1/26/2004	S	Phelps Dodge Corp	400	\$ 31,086.04
1/26/2004	B	LCC Intl Inc	1000	\$ 8,874.50
1/27/2004	B	Nortel Networks	1100	\$ 7,286.50
1/28/2004	S	Nortel Networks	1100	\$ 6,538.18
1/28/2004	S	North American Palladium Ltd	1000	\$ 8,745.09
1/28/2004	B	AT&T Corp	1000	\$ 20,272.70
1/28/2004	B	North American Palladium Ltd	1000	\$ 9,713.20
1/29/2004	S	LCC Intl Inc	1000	\$ 7,924.32
1/29/2004	B	Kimberly Clark Corp	300	\$ 17,585.79
1/29/2004	B	MFC Bancorp Ltd	1200	\$ 31,949.46

Customer ES

Date	Buy/Sell	Security	Quantity	Amount
2/2/2004	B	Bank of America	500	\$ 40,824.50
2/5/2004	S	AT&T Corp	1000	\$ 19,214.60
2/5/2004	S	MFC Bancorp Ltd	500	\$ 10,685.79
2/6/2004	S	MFC Bancorp Ltd	700	\$ 14,813.80
2/6/2004	B	Take-Two Interactive	700	\$ 21,257.76
2/9/2004	S	Take-Two Interactive	700	\$ 19,903.59
2/9/2004	B	Dow Chemical Co	800	\$ 38,088.40
2/10/2004	S	Kimberly Clark Corp	300	\$ 17,989.76
2/10/2004	B	Ishares MSCI Japan Index Fd	1500	\$ 14,584.50
2/11/2004	S	Bank of America	500	\$ 40,993.58
2/11/2004	B	Nextel Comm Inc Cl A	700	\$ 18,634.30
2/17/2004	S	Dow Chemical Co	900	\$ 38,089.87
2/17/2004	S	Nextel Comm Inc Cl A	700	\$ 18,980.22
2/18/2004	B	Intel Corp	1000	\$ 31,814.50
2/19/2004	S	Intel Corp	1000	\$ 30,516.17
2/19/2004	B	Dell	700	\$ 24,687.90
2/23/2004	Cancld B	PIMCO PEA Ren Class B	1682.934	\$ 38,707.48
2/23/2004	Cancld S	Pimco PEA Growth Class B	2284.409	\$ 38,707.48
2/23/2004	B	Nextel Comm Inc Cl A	1000	\$ 28,371.60
2/24/2004	S	Nextel Comm Inc Cl A	1000	\$ 27,588.50
2/24/2004	B	Sirius Sat radio	10000	\$ 29,229.50
2/25/2004	S	Dell	700	\$ 23,833.39
2/25/2004	B	Dow Chemical Co	600	\$ 26,202.72
2/26/2004	B	Intel Corp	800	\$ 24,076.42
2/27/2004	S	Ishares MSCI Japan Index Fd	1500	\$ 14,078.00
2/27/2004	B	Sirius Sat radio	10000	\$ 26,829.50
3/3/2004	S	Intel Corp	800	\$ 23,370.58
3/4/2004	B	Exxon Mobil Corp	300	\$ 13,036.60
3/5/2004	B	General Electric	100	\$ 3,340.00
3/6/2004	S	Exxon Mobil Corp	300	\$ 12,547.34
3/10/2004	S	Dow Chemical Co	600	\$ 25,862.49
3/10/2004	B	Nextel Comm Inc Cl A	400	\$ 10,873.90
3/11/2004	S	Nextel Comm Inc Cl A	400	\$ 10,271.81
3/11/2004	B	JetBlue Airways Corp	700	\$ 17,297.85
3/12/2004	S	General Electric	100	\$ 3,135.37
3/12/2004	S	JetBlue Airways Corp	700	\$ 16,291.14
3/12/2004	B	Alvarion Ltd	1000	\$ 15,384.50
3/15/2004	B	Siliconware Precision Inds	1000	\$ 5,539.40
3/16/2004	S	Siliconware Precision Inds	1000	\$ 5,157.49
3/16/2004	B	General Electric	500	\$ 15,704.50
3/17/2004	B	Dell	300	\$ 10,089.50
3/22/2004	S	General Electric	500	\$ 15,224.90
3/22/2004	B	ChevronTexaco Corp	200	\$ 18,268.50
3/24/2004	S	Pimco High Yield CIB	412.371	\$ 3,918.15
3/24/2004	S	Dell	300	\$ 9,869.61
3/25/2004	S	Kinetics New Paradigm Cl A	95.109	\$ 1,400.00
3/25/2004	B	Alvarion Ltd	1000	\$ 13,502.60

Customer ES

Date	Buy/Sell	Security	Quantity	Amount
3/31/2004	S	ChevronTexaco Corp	200	\$ 16,895.28
4/5/2004	B	IBM	100	\$ 9,401.42
4/6/2004	S	Pimco High Yield CIB	4557.578	\$ 42,863.69
4/6/2004	B	Verizon Communications	300	\$ 11,467.50
4/7/2004	S	Sirius Sat radio	20000	\$ 72,091.81
4/13/2004	B	General Electric	500	\$ 16,059.50
4/13/2004	B	Lucent Tech	10000	\$ 43,404.50
4/14/2004	S	IBM	100	\$ 9,395.28
4/15/2004	B	Sirius Sat radio	10000	\$ 39,503.50
4/19/2004	S	General Electric	500	\$ 15,145.14
4/19/2004	S	Verizon Communications	300	\$ 11,122.23
4/22/2004	B	Intel Corp	1000	\$ 26,994.50
4/28/2004	S	Sirius Sat radio	10000	\$ 34,195.69
4/27/2004	S	Intel Corp	1000	\$ 25,904.89
4/27/2004	B	Bell Corp	200	\$ 14,172.50
4/30/2004	S	Lucent Tech	10000	\$ 37,594.62
4/30/2004	B	Autodesk Inc	1000	\$ 35,404.50
4/30/2004	B	Ventiv Health Inc	2000	\$ 32,384.50
5/3/2004	S	Alvarion Ltd	2000	\$ 22,254.77
5/4/2004	B	Coca Cola Ent.	1000	\$ 26,795.50
5/7/2004	S	Coca Cola Ent.	1000	\$ 26,254.88
5/10/2004	B	Phelps Dodge Corp	800	\$ 40,750.50
5/11/2004	S	Bell Corp	200	\$ 13,020.59
5/11/2004	B	Microsoft Corp	500	\$ 13,362.45
5/12/2004	B	Transaction Systems Architects	1000	\$ 22,639.62
5/12/2004	S	Phelps Dodge Corp	800	\$ 38,412.60
5/13/2004	B	Newmont MNG Corp HLDG CO	300	\$ 11,007.63
5/20/2004	S	Microsoft Corp	500	\$ 12,695.20
5/20/2004	S	Transaction Systems Architects	1000	\$ 19,145.05
5/20/2004	B	General Electric	1000	\$ 30,384.50
5/21/2004	S	Autodesk Inc	1000	\$ 33,624.91
5/21/2004	S	Newmont MNG Corp HLDG CO	300	\$ 11,155.23
5/21/2004	B	Sirius Sat radio	5000	\$ 15,604.50
5/24/2004	B	Autodesk Inc	1000	\$ 32,804.50
5/25/2004	B	Ishares MSCI Japan Index Fd	1000	\$ 9,784.50
5/28/2004	S	Autodesk Inc	1000	\$ 33,233.32
5/28/2004	S	General Electric	1000	\$ 30,934.77
5/28/2004	B	Johnson Cts Inc	1000	\$ 54,804.60
6/2/2004	B	AU Optronics Corp	600	\$ 13,926.00
6/2/2004	S	Sirius Sat radio	5000	\$ 15,395.12
6/2/2004	S	Ishares MSCI Japan Index Fd	1000	\$ 9,815.25
6/2/2004	B	AU Optronics Corp	400	\$ 9,304.50
6/7/2004	S	AU Optronics Corp	1000	\$ 19,774.03
6/7/2004	B	Commercial Metals CO	1000	\$ 32,554.50
6/10/2004	S	Johnson Cts Inc	1000	\$ 54,818.91
6/10/2004	B	AU Optronics Corp	2000	\$ 41,344.50
6/11/2004	S	Ventiv Health Inc	2000	\$ 34,281.69

Customer ES

Date	Buy/Sell	Security	Quantity	Amount
6/11/2004	B	Autodesk Inc	1000	\$ 38,854.50
6/14/2004	S	AI Optonics Corp	2000	\$ 38,660.79
6/14/2004	B	Sempra Energy	1000	\$ 34,696.50
6/15/2004	S	Commercial Metals CO	1000	\$ 29,784.80
6/17/2004	B	Ventiv Health Inc	1000	\$ 17,784.50
6/18/2004	B	Panera Bread Co Cl A	500	\$ 17,837.90
6/21/2004	S	Autodesk Inc	1000	\$ 39,174.58
6/22/2004	S	Panera Bread Co Cl A	500	\$ 17,896.07
6/23/2004	Canceled B	NASDAQ 100 TR	1000	\$ 37,974.50
6/23/2004	S	Sempra Energy	1000	\$ 34,344.59
6/23/2004	B	Occidental Petroleum	1000	\$ 50,004.50
6/29/2004	S	Pinco High Yield CIB	30.854	\$ 279.01
7/1/2004	S	Occidental Petroleum	1000	\$ 48,464.36
7/2/2004	B	Autodesk Inc	1000	\$ 41,904.50
7/6/2004	S	Autodesk Inc	1000	\$ 42,734.49
7/6/2004	B	Flextronics Intl Inc	2000	\$ 32,524.50
7/13/2004	S	Ventiv Health Inc	1000	\$ 13,341.78
7/15/2004	S	Flextronics Intl Inc	2000	\$ 27,655.65
7/20/2004	B	First Eagle Global Cl C	880.082	\$ 30,030.50
7/23/2004	B	Navarree Corp	1000	\$ 15,514.10
7/27/2004	S	Navarree Corp	1000	\$ 13,472.98
7/28/2004	S	NASDAQ 100 TR	1000	\$ 34,415.49
7/29/2004	B	JP Morgan Chase & Co	300	\$ 11,126.50
7/30/2004	B	IBM	200	\$ 17,490.50
8/5/2004	B	Pfizer Inc	300	\$ 9,780.50
8/12/2004	S	IBM	200	\$ 16,541.27
8/13/2004	B	Amedisys Inc	800	\$ 17,415.18
8/16/2004	B	Cisco	1000	\$ 16,574.50
8/19/2004	S	JP Morgan Chase & Co	300	\$ 11,275.23
8/20/2004	B	Lowe's Companies	200	\$ 10,124.50
8/23/2004	S	Pfizer Inc	300	\$ 9,298.79
8/23/2004	B	Teekay Shipping Corp	200	\$ 7,098.50
8/25/2004	S	Amedisys Inc	800	\$ 16,170.64
8/26/2004	B	Aquila Inc Com	5000	\$ 13,301.00
8/27/2004	S	Cisco	1000	\$ 16,925.05
8/31/2004	S	Teekay Shipping Corp	200	\$ 7,185.33
8/31/2004	B	King Pharmaceuticals	2000	\$ 25,668.50
9/1/2004	B	Monster Worldwide Inc	400	\$ 8,236.50
9/7/2004	S	Lowe's Companies	200	\$ 9,983.26
9/7/2004	B	Coach Inc	200	\$ 8,536.50
9/8/2004	S	Aquila Inc Com	5000	\$ 14,845.15
9/8/2004	S	Monster Worldwide Inc	400	\$ 8,627.29
9/13/2004	S	Coach Inc	200	\$ 8,765.29
9/13/2004	B	New York Community Bank	400	\$ 8,804.50
9/13/2004	B	Penney J C Co Inc	200	\$ 7,937.86
9/13/2004	B	Staples Inc	500	\$ 15,004.50
9/20/2004	S	Penney J C Co Inc	200	\$ 7,425.32

Customer ES

Date	Buy/Sell	Security	Quantity	Amount
9/24/2004	B	Caremark RX Inc	200	\$ 6,184.50
9/28/2004	S	New York Community Bank	400	\$ 7,975.31
10/4/2004	S	Caremark RX Inc	200	\$ 6,395.35
10/7/2004	B	Allete Inc	300	\$ 10,072.62
10/18/2004	S	King Pharmaceuticals	2000	\$ 22,934.96
10/19/2004	B	Alcoa Inc	700	\$ 23,089.50
10/28/2004	S	Staples Inc	500	\$ 13,955.17
10/29/2004	B	Elan Corp	400	\$ 10,278.74
11/8/2004	S	Allete Inc	300	\$ 10,153.28
11/8/2004	S	Elan Corp	400	\$ 10,715.24
11/9/2004	S	Alcoa Inc	700	\$ 23,094.96
11/16/2004	B	II VI Inc	500	\$ 19,806.95
11/18/2004	S	II VI Inc	500	\$ 21,394.99
11/19/2004	B	Advanced Micro Dev Inc	1000	\$ 21,034.50
11/22/2004	S	Advanced Micro Dev Inc	1000	\$ 22,104.98
11/23/2004	B	Countrywide Financial	600	\$ 20,212.50
11/23/2004	B	Electronic Data Systems	1000	\$ 23,164.50
11/29/2004	S	Countrywide Financial	600	\$ 18,328.07
12/2/2004	B	BHP Hilton Ltd	880	\$ 21,801.72
12/14/2004	S	BHP Hilton Ltd	880	\$ 19,328.84
12/15/2004	S	Electronic Data Systems	1000	\$ 21,394.99
12/16/2004	B	Unisys Corp	1900	\$ 18,952.63
12/20/2004	B	Genentech Inc	360	\$ 17,569.89
12/23/2004	S	Genentech Inc	360	\$ 18,470.26
12/29/2004	B	Elan Corp	700	\$ 18,274.50
1/14/2005	S	Elan Corp	700	\$ 18,678.85
1/14/2005	S	Unisys Corp	1900	\$ 16,562.95
1/19/2005	B	Bank of America	360	\$ 16,409.70
1/19/2005	B	Valueclick Inc	1500	\$ 19,485.15

Exhibit C to Scott Valente Complaint

Schedule of Transactions for Customer AB Account

Customer AB

Date	Buy/Sell	Security	Quantity	Amount
1/2/2004	S	Newmont	1500	\$ 73,410.91
1/8/2004	S	Bristol Mayer	1200	\$ 35,393.84
1/9/2004	B	Goldcorp	1000	\$ 16,594.50
1/9/2004	S	Goldcorp	1000	\$ 15,544.97
1/9/2004	S	L-3 Comm	900	\$ 48,726.35
1/12/2004	B	JP Morgan	800	\$ 30,833.94
1/13/2004	S	Ishares Healthcare	700	\$ 40,331.53
1/14/2004	B	Nokia	1500	\$ 31,624.50
1/15/2004	B	Magnum	1200	\$ 11,644.50
1/16/2004	B	Intel	1000	\$ 34,874.50
1/21/2004	S	Magnum	1200	\$ 11,047.94
1/22/2004	S	Intel	1000	\$ 32,893.88
1/23/2004	B	Nortel	2000	\$ 15,044.50
1/23/2004	B	Phelps Dodge	700	\$ 52,909.59
1/23/2004	S	Nortel	2000	\$ 13,814.85
1/23/2004	S	Pimco Low Dur - B	4.9	\$ 48.39
1/26/2004	B	LCC	1500	\$ 13,309.50
1/26/2004	S	JP Morgan	800	\$ 31,858.01
1/26/2004	S	Nokia	1500	\$ 30,854.08
1/26/2004	S	Phelps Dodge	700	\$ 54,368.95
1/27/2004	B	Nortel	1200	\$ 7,948.50
1/28/2004	B	AT&T	1200	\$ 24,326.34
1/28/2004	B	North American	1200	\$ 11,864.94
1/28/2004	S	Nortel	1200	\$ 7,243.16
1/28/2004	S	North American	1200	\$ 10,495.00
1/29/2004	B	Kimberly Clark	400	\$ 23,446.22
1/29/2004	B	MFC Bancorp	1800	\$ 47,921.94
1/29/2004	S	LCC	1500	\$ 11,888.74
1/30/2004	B	Sirius Satellite	5000	\$ 15,004.50
2/2/2004	B	Bank of America	1000	\$ 81,644.50
2/4/2004	S	MFC Bancorp	420	\$ 9,230.86
2/5/2004	S	AT&T	1200	\$ 23,058.42
2/5/2004	S	MFC Bancorp	1380	\$ 28,528.32
2/6/2004	B	Take - Two	1000	\$ 30,366.30
2/9/2004	B	Dow Chemical	1000	\$ 42,295.50
2/9/2004	S	Take - Two	1000	\$ 28,292.77
2/10/2004	B	Ishares MSCI Japan	1000	\$ 9,724.50
2/10/2004	S	Kimberly Clark	400	\$ 23,987.85
2/11/2004	B	Nexel	700	\$ 18,634.30
2/11/2004	B	Pimco PEA B - Free	2,115.47	\$ 48,000.00
2/11/2004	S	Bank of America	1000	\$ 81,991.68
2/11/2004	S	Pimco High Yield B	4923.077	\$ 48,000.00
2/17/2004	B	Ligand Pharm	500	\$ 7,894.50
2/17/2004	S	Dow Chemical	1000	\$ 43,433.46
2/17/2004	S	Nexel	700	\$ 18,960.22
2/18/2004	B	Intel	1000	\$ 31,614.50
2/19/2004	B	Dell	800	\$ 28,214.16

Customer AB

Date	Buy/Sell	Security	Quantity	Amount
2/19/2004	S	Intel	1000	\$ 30,516.17
2/23/2004	B	Nextel	1000	\$ 29,371.60
2/23/2004	S	Ligand B	500	\$ 8,055.12
2/24/2004	S	Nextel	1000	\$ 27,586.50
2/25/2004	B	Dow Chemical	700	\$ 30,569.09
2/25/2004	S	Dell	800	\$ 27,010.23
2/26/2004	B	Intel	1300	\$ 39,121.37
2/27/2004	B	Jetblue	2000	\$ 47,595.10
2/27/2004	S	Ishares MSCI Japan	1000	\$ 9,383.83
3/3/2004	S	Intel	1300	\$ 37,980.01
3/4/2004	B	Exxon	1000	\$ 43,444.50
3/4/2004	S	Jetblue	2000	\$ 48,662.80
3/5/2004	B	GE	1800	\$ 53,372.50
3/8/2004	S	Exxon	1000	\$ 41,834.96
3/10/2004	B	Nextel	800	\$ 16,306.60
3/10/2004	S	Dow Chemical	700	\$ 29,940.33
3/11/2004	B	Jetblue	1000	\$ 24,709.00
3/11/2004	S	Nextel	600	\$ 15,409.97
3/12/2004	B	Alvarion	2000	\$ 30,724.50
3/12/2004	S	GE	1800	\$ 50,233.54
3/12/2004	S	Jetblue	1000	\$ 23,274.99
3/15/2004	B	Siliconware	2000	\$ 11,074.30
3/16/2004	B	GE	500	\$ 15,704.50
3/16/2004	S	Siliconware	2000	\$ 10,319.49
3/17/2004	B	Dell	500	\$ 16,629.50
3/22/2004	B	Chevron	500	\$ 45,864.50
3/22/2004	S	GE	500	\$ 15,224.90
3/23/2004	B	Jabil	1000	\$ 29,047.70
3/24/2004	B	Lilly	500	\$ 35,436.30
3/24/2004	S	Dell	500	\$ 16,425.35
3/25/2004	B	Alvarion	2000	\$ 27,000.70
3/25/2004	B	GE	500	\$ 14,864.50
3/25/2004	S	Lilly	500	\$ 33,768.18
3/25/2004	S	Pimco High Yield B	3099.174	\$ 29,503.83
3/31/2004	B	Electronic Data	1000	\$ 19,804.50
3/31/2004	S	Chevron	500	\$ 42,244.90
3/31/2004	S	GE	500	\$ 15,089.91
4/5/2004	S	Pimco High Yield CL B	5417.957	\$ 50,540.87
4/5/2004	B	IBM	600	\$ 56,366.02
4/5/2004	B	Templeton Foreign B	4578.755	\$ 50,000.00
4/6/2004	B	Verizon Communications	1000	\$ 36,214.50
4/6/2004	S	Jabil Circuit Inc	1000	\$ 29,664.80
4/7/2004	S	Sirius Sat radio	5000	\$ 18,019.57
4/8/2004	S	Electronic Data Systems	1000	\$ 20,255.02
4/13/2004	B	General Electric	1000	\$ 32,114.50
4/14/2004	S	IBM	600	\$ 56,394.18
4/15/2004	B	Sirius Sat radio	10000	\$ 39,503.59

Customer AB

Date	Buy/Sell	Security	Quantity	Amount
4/19/2004	S	General Electric	1000	\$ 30,294.79
4/19/2004	S	Verizon Communications	1000	\$ 37,084.83
4/22/2004	B	Intel Corp	1000	\$ 26,994.50
4/22/2004	B	Lucent	5000	\$ 21,804.50
4/23/2004	B	Lucent	5000	\$ 20,504.50
4/26/2004	S	Sirius Sat radio	10000	\$ 34,195.89
4/27/2004	B	Bell Corp	300	\$ 21,258.50
4/27/2004	S	Intel Corp	1000	\$ 25,904.89
4/30/2004	B	Autodesk Inc	2000	\$ 70,804.50
4/30/2004	B	Ventiv Health Inc	2000	\$ 32,384.50
4/30/2004	S	Lucent	10000	\$ 37,594.82
5/3/2004	S	Alvarion Ltd	4000	\$ 44,514.05
5/4/2004	B	Coca Cola Ent.	1000	\$ 26,796.60
5/7/2004	S	Coca Cola Ent.	1000	\$ 26,254.88
5/10/2004	B	Transaction Systems Architects	1000	\$ 22,854.50
5/13/2004	S	Pimco Total Return CI B	1899.335	\$ 19,281.28
5/13/2004	B	Microsoft Corp	700	\$ 18,080.60
5/13/2004	B	Newmont MNG Corp HLDG CO	300	\$ 11,007.63
5/20/2004	S	Transaction Systems Architects	1000	\$ 19,145.05
5/21/2004	B	AU Optronics Corp	2000	\$ 40,804.50
5/21/2004	B	Sirius Sat radio	5000	\$ 15,604.50
5/21/2004	S	Autodesk Inc	2000	\$ 67,254.32
5/21/2004	S	Newmont MNG Corp HLDG CO	300	\$ 11,155.23
5/24/2004	B	Autodesk Inc	1000	\$ 32,804.50
5/26/2004	B	Ishares MSCI Japan Index Fd	1000	\$ 9,784.50
5/26/2004	S	Pimco Total Return CI B	3030.303	\$ 30,720.00
5/26/2004	B	Eaton Vance Tax Adv. Div Inc Fund	1800	\$ 30,564.50
5/27/2004	B	Adobe Systems	1000	\$ 44,554.70
5/27/2004	S	AU Optronics Corp	2000	\$ 42,984.49
5/28/2004	S	Pimco Total Return CI B	1135.289	\$ 11,640.00
5/28/2004	B	Johnson Ctls Inc	1000	\$ 54,604.80
5/28/2004	S	Autodesk Inc	1000	\$ 38,233.32
6/1/2004	S	Pimco High Yield CI B	321.643	\$ 2,980.61
6/2/2004	B	AU Optronics Corp	1000	\$ 23,577.80
6/2/2004	S	Adobe Systems	1000	\$ 44,044.46
6/3/2004	S	Ishares MSCI Japan Index Fd	1000	\$ 9,895.76
6/4/2004	S	AU Optronics Corp	1000	\$ 19,895.03
6/7/2004	B	Commercial Metals CO	1000	\$ 32,554.50
6/8/2004	S	Microsoft Corp	700	\$ 16,221.07
6/10/2004	B	AU Optronics Corp	2000	\$ 41,344.50
6/10/2004	S	Johnson Ctls Inc	1000	\$ 54,818.91
6/11/2004	B	Autodesk Inc	1000	\$ 38,854.50
6/11/2004	S	Ventiv Health Inc	2000	\$ 34,281.69
6/14/2004	B	Sempra Energy	1000	\$ 34,696.50
6/14/2004	S	AU Optronics Corp	2000	\$ 38,660.79
6/14/2004	S	Commercial Metals CO	1000	\$ 30,464.78
6/17/2004	B	Ventiv Health Inc	2000	\$ 35,564.50

Customer AB

Date	Buy/Sell	Security	Quantity	Amount
6/18/2004	B	Panera Bread Co Cl A	1000	\$ 35,671.30
6/18/2004	S	Eaton Vance Tax Adv. Div Inc Fund	1600	\$ 29,626.80
6/21/2004	B	Adobe Systems	1000	\$ 45,504.50
6/21/2004	S	Autodesk Inc	1000	\$ 39,174.58
6/21/2004	S	Sirius Sat radio	5000	\$ 15,795.13
6/22/2004	S	Panera Bread Co Cl A	1000	\$ 35,994.65
6/23/2004	Candd B	NASDAQ 100 TR	1000	\$ 37,974.50
6/23/2004	B	Occidental Petroleum	1000	\$ 50,004.50
6/23/2004	S	Sempra Energy	1000	\$ 34,344.89
6/24/2004	B	Sirius Sat radio	5000	\$ 16,204.50
6/25/2004	B	Tyco Int'l	1000	\$ 33,034.50
6/25/2004	S	Fortune Brands Inc	400	\$ 29,544.80
6/29/2004	S	Pimco Total Return Cl B	1720.026	\$ 17,737.36
6/29/2004	B	Ventiv Health Inc	2000	\$ 33,991.90
6/29/2004	S	Pimco Real Return Cl C	533.333	\$ 6,000.00
7/1/2004	S	Occidental Petroleum	1000	\$ 48,464.35
7/2/2004	B	Autodesk Inc	1000	\$ 41,804.50
7/6/2004	B	Flextronics Intl Inc	3000	\$ 48,784.50
7/6/2004	S	Adobe Systems	1000	\$ 45,734.42
7/6/2004	S	Autodesk Inc	1000	\$ 42,734.49
7/15/2004	S	Flextronics Intl Inc	3000	\$ 41,485.72
7/23/2004	B	Navarree Corp	1000	\$ 15,514.10
7/23/2004	S	Tyco Int'l	1000	\$ 31,465.76
7/28/2004	B	Nextel Comm Inc Cl A	500	\$ 12,687.90
7/27/2004	S	Navarree Corp	1000	\$ 13,472.98
7/28/2004	B	Centerpoint Energy Inc	2000	\$ 23,169.81
7/28/2004	S	NASDAQ 100 TR	1000	\$ 34,415.49
7/29/2004	B	JP Morgan Chase & Co	500	\$ 18,544.50
7/29/2004	S	Nextel Comm Inc Cl A	500	\$ 11,378.63
7/30/2004	S	Sirius Sat radio	5000	\$ 12,145.21
8/11/2004	B	General Electric	1000	\$ 32,404.50
8/16/2004	B	Cisco	1000	\$ 18,574.50
8/18/2004	S	JP Morgan Chase & Co	500	\$ 18,795.06
8/20/2004	B	Lowes	400	\$ 20,244.80
8/23/2004	S	Pfizer Inc	500	\$ 15,500.98
8/24/2004	B	National Grid Transco PLC Repang	500	\$ 21,049.05
8/25/2004	B	Aquila Inc Com	8000	\$ 15,960.30
8/25/2004	S	Kinetics New Paradigm Cl A	3353.454	\$ 50,000.00
8/26/2004	S	Pimco High Yield Cl B	12304.32	\$ 114,725.13
8/27/2004	B	Bank of America	1000	\$ 80,364.50
8/27/2004	B	First Eagle Global Class A	1385.042	\$ 60,000.00
8/27/2004	S	Cisco	1000	\$ 18,825.05
8/31/2004	B	King Pharmaceuticals	3000	\$ 38,497.50
9/1/2004	B	Monster Worldwide Inc	1500	\$ 30,874.50
9/1/2004	S	Ventiv Health Inc	4000	\$ 66,114.18
9/7/2004	B	Coech Inc	1000	\$ 42,664.50
9/7/2004	S	Lowes	400	\$ 19,931.03

Customer AB

Date	Buy/Sell	Security	Quantity	Amount
9/8/2004	S	Aquila Inc Com	6000	\$ 17,575.08
9/8/2004	S	Monster Worldwide Inc	1500	\$ 32,364.74
9/13/2004	B	New York Community Bank	3200	\$ 70,404.50
9/13/2004	B	Penney J C Co Inc	1000	\$ 39,671.30
9/13/2004	B	Staples Inc	600	\$ 18,004.50
9/13/2004	S	Coach Inc	1000	\$ 43,844.47
9/20/2004	S	Penney J C Co Inc	1000	\$ 37,144.63
9/23/2004	B	American Bond Fund of America A	5353.319	\$ 76,000.00
9/23/2004	B	National Grid Transco PLC Reprsng	500	\$ 21,029.60
9/23/2004	S	Ball Corp	600	\$ 21,724.99
9/23/2004	S	Centerpoint Energy Inc	2000	\$ 21,285.00
9/23/2004	S	General Electric	1000	\$ 33,944.70
9/28/2004	S	New York Community Bank	3200	\$ 63,634.00
9/29/2004	B	American Bond Fund of America A	1784.44	\$ 25,000.00
10/7/2004	B	UTSTARCOM Inc	1300	\$ 23,595.00
10/7/2004	B	UTSTARCOM Inc	700	\$ 12,716.50
10/18/2004	S	King Pharmaceuticals	3000	\$ 34,404.69
10/21/2004	S	PIMCO PEA Ren Class B	2294.631	\$ 48,726.78
10/21/2004	B	Putnam Master Inter Inc. Tr SH	7000	\$ 48,558.60
10/27/2004	B	Research in Motion	500	\$ 43,831.00
10/28/2004	S	Staples Inc	600	\$ 16,747.10
11/1/2004	S	UTSTARCOM Inc	2000	\$ 33,344.70
12/16/2004	S	Putnam Master Inter Inc. Tr SH	8600	\$ 42,908.41
12/16/2004	S	Putnam Master Inter Inc. Tr SH	400	\$ 2,604.00
12/16/2004	B	General Electric	2000	\$ 76,044.50
12/16/2004	S	Bank of America	2000	\$ 91,663.35
12/17/2004	B	Kinetix New Paradigm Cl A	2797.865	\$ 60,000.00
12/17/2004	S	Research in Motion	500	\$ 48,731.60
12/22/2004	B	Ivy Global Nat Res Cl A	1551.418	\$ 35,000.00

Exhibit D to Scott Valente Complaint

Schedule of Transactions for Customer's GP and JP/Joint Account

Costumers GP and JP

Date	Buy/Sell	Security	Quantity	Amount
1/2/2003	S	Hewlett-Packard	160	\$ 2,845.01
1/3/2003	S	FleetBoston Finl	175	\$ 4,128.87
1/6/2003	B	Tyco Intl Ltd	100	\$ 1,721.50
1/7/2003	B	Raytheon Co	200	\$ 6,474.00
1/9/2003	B	Alcoa Inc	200	\$ 4,970.50
1/13/2003	S	Alcoa Inc	200	\$ 4,385.36
1/17/2003	B	El Paso Corp	200	\$ 2,038.50
1/17/2003	S	Tyco Intl Ltd	100	\$ 1,738.44
1/22/2003	B	Biogen Inc	120	\$ 5,152.16
1/23/2003	S	Biogen Inc	120	\$ 4,713.21
1/24/2003	B	General Motors	100	\$ 4,149.50
1/27/2003	S	El Paso Corp	200	\$ 1,805.44
1/27/2003	S	Raytheon Co	200	\$ 5,735.32
1/28/2003	B	Newmont MNG Corp HLDG CO	100	\$ 3,080.50
1/30/2003	S	General Motors	100	\$ 3,853.38
2/3/2003	B	Merrill Lynch & CO	100	\$ 3,549.50
2/12/2003	S	Merrill Lynch & CO	100	\$ 3,331.39
2/13/2003	S	Newmont MNG Corp HLDG CO	100	\$ 2,739.41
2/14/2003	B	Abercrombie & Fitch	100	\$ 2,959.00
2/14/2003	B	Johnson & Johnson	200	\$ 10,748.50
2/19/2003	B	Fox Ent. Group	100	\$ 2,633.53
2/20/2003	S	Abercrombie & Fitch	100	\$ 2,593.42
2/21/2003	S	Fox Ent. Group	100	\$ 2,785.41
2/21/2003	S	Johnson & Johnson	200	\$ 10,559.18
2/24/2003	B	Symantec Corp	100	\$ 4,662.80
2/26/2003	S	Symantec Corp	100	\$ 4,755.44
2/27/2003	B	Bank of America	100	\$ 7,044.50
2/28/2003	B	Fox Ent. Group	100	\$ 2,665.33
3/4/2003	B	Newmont MNG Corp HLDG CO	100	\$ 2,749.50
3/14/2003	S	Bank of America	100	\$ 6,582.88
3/14/2003	S	Newmont MNG Corp HLDG CO	100	\$ 2,459.42
3/17/2003	S	Fox Ent. Group	100	\$ 2,480.22
3/18/2003	B	Amazon.com	100	\$ 2,410.50
3/20/2003	B	Adobe Systems	100	\$ 3,157.50
3/20/2003	S	Adobe Systems	100	\$ 3,293.80
3/20/2003	S	Amazon.com	100	\$ 2,478.02
3/21/2003	B	Nokia	100	\$ 1,552.50
3/28/2003	B	Diamonds Trust Series 1	100	\$ 8,399.50
4/4/2003	B	Pfizer Inc	100	\$ 3,266.50
4/10/2003	S	Pfizer Inc	100	\$ 3,257.34
4/11/2003	S	Nokia	100	\$ 1,482.43
4/14/2003	B	EMC Corp	300	\$ 2,422.50
4/14/2003	B	Mylan Labs	100	\$ 2,947.21
4/16/2003	S	Mylan Labs	100	\$ 2,578.37
4/17/2003	S	Diamonds Trust Series 1	100	\$ 8,341.60
4/23/2003	B	Microsoft Corp	100	\$ 2,511.30
4/23/2003	S	EMC Corp	300	\$ 2,416.38

Costumers GP and JP

Date	Buy/Sell	Security	Quantity	Amount
4/24/2003	B	Citigroup Inc	100	\$ 3,989.50
5/8/2003	B	Abbott Laboratories	100	\$ 4,311.03
5/12/2003	S	ASAF Pimco Total Ret Cl B	100	\$ 10,908.98
5/15/2003	S	Microsoft Corp	100	\$ 2,601.17
5/19/2003	B	Block H&R Inc	100	\$ 3,958.50
5/20/2003	S	Abbott Laboratories	100	\$ 4,343.29
5/22/2003	S	Block H&R Inc	100	\$ 3,630.32
5/22/2003	S	Citigroup Inc	100	\$ 3,828.32
5/23/2003	B	Wendy's Intl	100	\$ 3,168.50
5/23/2003	S	Wendy's Intl	100	\$ 2,880.36
5/27/2003	B	McDonald's Corp	200	\$ 3,568.90
6/2/2003	B	Honeywell Intl Inc	100	\$ 2,841.50
6/2/2003	S	McDonald's Corp	200	\$ 3,855.32
6/4/2003	B	Pixar Inc	100	\$ 5,779.82
6/6/2003	S	Honeywell Intl Inc	100	\$ 2,631.37
6/5/2003	S	Pixar Inc	100	\$ 5,916.12
6/9/2003	B	Intel Corp	100	\$ 2,147.94
6/10/2003	S	Intel Corp	100	\$ 2,168.48
6/16/2003	B	Microsoft Corp	100	\$ 2,549.50
6/16/2003	B	Pfizer Inc	100	\$ 3,431.50
6/20/2003	S	Pfizer Inc	100	\$ 3,525.33
6/23/2003	S	Microsoft Corp	100	\$ 2,582.37
6/24/2003	B	Cisco	200	\$ 3,846.50
6/24/2003	B	Merck & Co	100	\$ 6,447.50
6/28/2003	S	Cisco	200	\$ 3,525.47
6/27/2003	B	Bank of America	100	\$ 7,930.50
7/1/2003	S	Merck & Co	100	\$ 8,034.21
7/10/2003	S	Bank of America	100	\$ 8,030.17
7/11/2003	B	First Data Corp	100	\$ 4,356.68
7/14/2003	B	Dell	100	\$ 3,427.50
7/17/2003	B	General Electric	100	\$ 2,935.50
7/21/2003	S	General Electric	100	\$ 2,720.37
7/22/2003	S	First Data Corp	100	\$ 4,026.31
7/23/2003	B	Pimco Corp Opp Fund	200	\$ 3,344.50
7/25/2003	B	Wal-Mart Stores	100	\$ 5,747.63
7/25/2003	S	Pimco Corp Opp Fund	200	\$ 3,127.35
7/30/2003	S	Kinetics New Paradigm Cl A	829.187	\$ 10,000.00
8/1/2003	S	Van Kampen NY Tax Free Cl B	689.855	\$ 10,637.24
8/1/2003	B	Eastman Kodak	100	\$ 2,881.50
8/1/2003	S	General Electric	200	\$ 5,673.23
8/8/2003	S	Dell	100	\$ 3,188.45
8/8/2003	S	Eastman Kodak	100	\$ 2,691.47
8/11/2003	B	Toil Brothers Inc	100	\$ 2,770.62
8/13/2003	S	Toil Brothers Inc	100	\$ 2,830.36
8/13/2003	S	Wal-Mart Stores	100	\$ 5,739.23
8/15/2003	B	Adobe Systems	100	\$ 3,445.24
8/15/2003	B	Johnson & Johnson	100	\$ 5,287.50

Costumers GP and JP

Date	Buy/Sell	Security	Quantity	Amount
8/18/2003	B	Toll Brothers Inc	100	\$ 2,854.78
8/21/2003	S	Adobe Systems	100	\$ 3,515.83
8/21/2003	S	Johnson & Johnson	100	\$ 5,059.28
8/22/2003	B	Home Depot	100	\$ 3,344.50
8/28/2003	B	Ishares Inc MSCI Hong Kong Index	200	\$ 1,830.50
8/28/2003	S	Toll Brothers Inc	100	\$ 2,915.36
8/29/2003	B	Bank of America	100	\$ 7,918.50
9/8/2003	S	Home Depot	100	\$ 3,193.35
9/8/2003	S	Ishares Inc MSCI Hong Kong Index	200	\$ 1,887.41
9/9/2003	B	Nokia	200	\$ 3,458.50
9/9/2003	B	Servicemaster Co	200	\$ 2,139.72
9/12/2003	S	Nokia	200	\$ 3,179.35
9/15/2003	S	Bank of America	100	\$ 7,539.72
9/18/2003	B	General Electric	100	\$ 3,233.45
9/18/2003	S	Servicemaster Co	200	\$ 1,977.40
9/23/2003	B	KB Home	100	\$ 5,993.60
9/25/2003	B	Ishares MSCI Japan Index Fd	300	\$ 2,758.50
9/26/2003	B	SBC Communications	200	\$ 4,594.50
9/30/2003	S	General Electric	100	\$ 3,020.95
10/6/2003	S	KB Home	100	\$ 6,085.21
10/8/2003	S	Ishares MSCI Japan Index Fd	300	\$ 2,815.38
10/10/2003	B	Merck & Co	100	\$ 5,113.95
10/14/2003	B	Symantec Corp	100	\$ 6,749.36
10/16/2003	B	Computer Assoc. Int'l	100	\$ 2,543.60
10/16/2003	B	Goldcorp Inc	100	\$ 1,489.77
10/16/2003	S	SBC Communications	200	\$ 4,371.29
10/16/2003	S	Symantec Corp	100	\$ 6,284.14
10/17/2003	S	Merck & Co	100	\$ 4,932.26
10/20/2003	B	Micron Tech	300	\$ 4,012.50
10/21/2003	B	IBM	100	\$ 9,116.50
10/21/2003	S	Micron Tech	300	\$ 3,742.32
10/24/2003	S	Goldcorp Inc	100	\$ 1,511.46
10/28/2003	B	Fortune Brands Inc	100	\$ 6,444.49
10/28/2003	S	Computer Assoc. Int'l	100	\$ 2,328.39
10/28/2003	S	IBM	100	\$ 8,741.09
10/29/2003	B	Intel Corp	100	\$ 3,122.50
10/31/2003	S	Intel Corp	100	\$ 3,177.47
11/8/2003	S	Fortune Brands Inc	100	\$ 6,597.19
11/10/2003	B	Cisco	200	\$ 4,403.26
11/12/2003	S	Cisco	200	\$ 4,561.94
11/13/2003	B	Munder Small Cap Value Cl B	354.81	\$ 7,000.00
11/21/2003	B	Symantec Corp	100	\$ 6,410.31
11/24/2003	S	Symantec Corp	100	\$ 5,947.08
11/26/2003	B	Ishares MSCI Japan Index Fd	300	\$ 2,680.50
12/4/2003	S	Ishares MSCI Japan Index Fd	300	\$ 2,725.37
12/10/2003	B	Johnson & Johnson	100	\$ 6,074.97
12/19/2003	B	ESS Technology Inc	100	\$ 1,545.45

Costumers GP and JP

Date	Buy/Sell	Security	Quantity	Amount
12/19/2003	S	Johnson & Johnson	100	\$ 4,921.57
12/23/2003	B	Ishares Tr Dow Jones US Health	100	\$ 5,813.50
12/25/2003	S	ESS Technology Inc	100	\$ 1,429.11
12/31/2003	B	Bristol Myers Squibb	100	\$ 2,841.50
1/8/2004	S	Bristol Myers Squibb	100	\$ 2,945.36
1/9/2004	B	Goldcorp Inc	200	\$ 3,322.50
1/9/2004	S	Goldcorp Inc	200	\$ 3,105.39
1/19/2004	S	Ishares Tr Dow Jones US Health	100	\$ 5,757.79
1/14/2004	B	Nokia	100	\$ 2,112.50
1/16/2004	B	Intel Corp	100	\$ 3,491.50
1/22/2004	S	Intel Corp	100	\$ 3,285.34
1/23/2004	B	Nortel Networks	300	\$ 2,280.50
1/23/2004	S	Nortel Networks	300	\$ 2,088.40
1/26/2004	S	Nokia	100	\$ 2,039.40
1/28/2004	B	LCC Intl Inc	500	\$ 4,439.50
1/27/2004	B	Nortel Networks	300	\$ 1,990.50
1/28/2004	B	North American Palladium Ltd	200	\$ 1,948.24
1/28/2004	S	Nortel Networks	300	\$ 1,807.41
1/28/2004	S	North American Palladium Ltd	200	\$ 1,745.41
1/29/2004	B	MFC Bancorp Ltd	100	\$ 2,666.58
1/29/2004	S	LCC Intl Inc	500	\$ 3,959.91
2/9/2004	B	Dow Chemical Co	100	\$ 4,233.60
2/9/2004	S	MFC Bancorp Ltd	100	\$ 2,112.40
2/11/2004	B	Nextel Comm Inc Cl A	100	\$ 2,885.80
2/17/2004	S	Dow Chemical Co	100	\$ 4,339.29
2/17/2004	S	Nextel Comm Inc Cl A	100	\$ 2,707.80
2/23/2004	B	Nextel Comm Inc Cl A	100	\$ 2,941.21
2/24/2004	S	Nextel Comm Inc Cl A	100	\$ 2,754.50
2/25/2004	B	Dow Chemical Co	100	\$ 4,370.87
2/27/2004	B	JetBlue Airways Corp	100	\$ 2,384.03
3/4/2004	S	JetBlue Airways Corp	100	\$ 2,428.86
3/10/2004	B	Nextel Comm Inc Cl A	200	\$ 5,439.20
3/10/2004	S	Dow Chemical Co	100	\$ 4,273.33
3/11/2004	B	JetBlue Airways Corp	100	\$ 2,474.95
3/11/2004	S	Nextel Comm Inc Cl A	200	\$ 5,133.65
3/12/2004	S	JetBlue Airways Corp	100	\$ 2,323.44
3/23/2004	B	Jabil Circuit Inc	200	\$ 5,813.14
4/6/2004	B	Verizon Communications	200	\$ 7,646.50
4/6/2004	S	Jabil Circuit Inc	200	\$ 5,925.36
4/6/2004	S	Van Kampen NY Tax Free Cl B	220.723	\$ 3,480.50
4/19/2004	S	Verizon Communications	200	\$ 7,413.32

Exhibit B to Scott Valente Complaint

Schedule of Transactions for Customer JD Account

Customer JD

Date	Buy/Sell	Security	Quantity	Amount
7/24/2003	B	Diamonds Trust Ser 1	1100	\$ 104,333.56
7/24/2003	B	Van Kampen Amern Cap Sr Inc	12,800	\$ 104,680.34
8/11/2003	S	Diamonds Trust Ser 1	1100	\$ 99,286.85
8/12/2003	B	S&P 500 Depository Receipt	980	\$ 99,113.40
8/21/2003	S	S&P 500 Depository Receipt	990	\$ 99,188.85
8/26/2003	B	FleetBoston Finl Corp	1100	\$ 34,643.50
8/26/2003	B	Ishares Inc MSCI Hing Kong Ind	3000	\$ 27,384.50
8/27/2003	B	Ishares TR Dow Jones US Health	500	\$ 27,064.50
9/8/2003	S	Ishares Inc MSCI Hing Kong Ind	3000	\$ 28,074.18
9/12/2003	S	FleetBoston Finl Corp	1100	\$ 32,549.24
9/15/2003	S	Ishares TR Dow Jones US Health	500	\$ 27,294.22
9/19/2003	B	Ishares Russell 3000 Index	700	\$ 42,087.50
9/19/2003	S	Van Kampen Amern Cap Sr Inc	12800	\$ 102,588.53
9/22/2003	B	Bank of America	500	\$ 40,134.50
9/25/2003	B	IBM	1000	\$ 93,627.80
10/1/2003	S	Ishares Russell 3000 Index	700	\$ 39,543.84
10/8/2003	S	IBM	1000	\$ 91,511.21
10/9/2003	S	Bank of America	500	\$ 40,123.62
10/9/2003	B	Newmont MNG Corp HLDG CO	1500	\$ 59,554.50
10/14/2003	B	SBC Communications	1500	\$ 34,678.50
10/16/2003	S	SBC Communications	1500	\$ 32,438.98
10/20/2003	B	Centerpoint Energy	5000	\$ 49,604.50
10/21/2003	S	Newmont MNG Corp HLDG CO	1500	\$ 60,087.68
10/22/2003	B	ISHARES TR S&P small cap	500	\$ 48,252.85
10/30/2003	B	Bank of America	1000	\$ 76,464.50
11/3/2003	S	Centerpoint Energy	5000	\$ 49,793.16
11/12/2003	S	ISHARES TR S&P small cap	500	\$ 48,313.23
11/14/2003	B	Nuveen Diversified Divid & Inc FD	1800	\$ 24,839.86
11/20/2003	B	Centerpoint Energy	5000	\$ 48,301.50
11/24/2003	S	Bank of America	1000	\$ 73,862.04
11/26/2003	B	Merck & Co	1000	\$ 43,954.50
12/1/2003	S	Merck & Co	1000	\$ 41,313.56
12/2/2003	B	Fortune Brands Inc	1000	\$ 70,270.50
12/10/2003	S	Centerpoint Energy	5000	\$ 47,893.25
12/15/2003	S	Fortune Brands Inc	1000	\$ 67,944.81
12/16/2003	B	Lennar Corp Cl A	1000	\$ 92,874.50
12/19/2003	B	Goldcorp Inc	2000	\$ 33,744.50
12/22/2003	S	Lennar Corp Cl A	1000	\$ 93,672.11
12/23/2003	S	Goldcorp Inc	2000	\$ 30,214.08
12/23/2003	B	NASDAQ 100 TR	2000	\$ 73,654.50
12/26/2003	S	NASDAQ 100 TR	2000	\$ 70,572.19
12/26/2003	B	Boston PPTYS Inc	1000	\$ 49,789.60
12/29/2003	B	Phelps Dodge Corp	400	\$ 31,460.50
1/8/2004	S	Boston PPTYS Inc	1000	\$ 48,409.03
1/9/2004	B	L-3 Communications Hldgs	1000	\$ 53,214.50
1/12/2004	S	Phelps Dodge Corp	400	\$ 30,744.34
1/13/2004	S	Ishares TR Dow Jones US Health	1300	\$ 74,924.84

Customer JD

Date	Buy/Sell	Security	Quantity	Amount
1/14/2004	B	JP Morgan Chase & Co	1000	\$ 39,854.50
1/15/2004	S	L-3 Communications Hldgs	1000	\$ 50,803.12
1/15/2004	B	Internap Networks Svcs Corp	4000	\$ 10,553.70
1/16/2004	B	Newmont MNG Corp HLDG CO	1000	\$ 47,454.10
1/20/2004	B	Internap Networks Svcs Corp	4000	\$ 8,783.30
1/21/2004	S	Newmont MNG Corp HLDG CO	1000	\$ 43,343.47
1/23/2004	B	Nortel Networks	4000	\$ 30,004.50
1/23/2004	S	Nortel Networks	4000	\$ 27,714.20
1/28/2004	B	North American Palladium Ltd	5000	\$ 44,850.00
1/27/2004	S	Internap Networks Svcs Corp	8000	\$ 19,994.56
1/27/2004	S	North American Palladium Ltd	5000	\$ 47,393.28
1/28/2004	B	Fortune Brands Inc	500	\$ 35,744.00
1/29/2004	S	JP Morgan Chase & Co	1000	\$ 40,143.62
1/29/2004	B	Phelps Dodge Corp	700	\$ 54,008.50
1/30/2004	B	Lennar Corp Cl A	1000	\$ 47,954.50
2/5/2004	S	Nuveen Diversified Divid & Inc FD	1800	\$ 25,307.11
2/5/2004	B	Eli Lilly & Co	700	\$ 49,662.50
2/9/2004	S	Phelps Dodge Corp	700	\$ 50,876.11
2/10/2004	S	Lennar Corp Cl A	1000	\$ 42,542.50
2/10/2004	B	Dow Chemical Co	1000	\$ 42,870.00
2/11/2004	S	Fortune Brands Inc	500	\$ 35,783.97
2/12/2004	B	Home Depot	1000	\$ 37,274.50
2/13/2004	S	Home Depot	1000	\$ 35,793.82
2/13/2004	S	Eli Lilly & Co	700	\$ 51,933.08
2/17/2004	S	Dow Chemical Co	1000	\$ 43,613.45
2/17/2004	B	Ligand Pharm. Inc	1000	\$ 15,784.50
2/17/2004	B	Templeton Foreign B	1630.435	\$ 18,000.00
2/18/2004	B	Merck & Co	1000	\$ 49,384.50
2/19/2004	B	Nextel Comm Inc Cl A	1000	\$ 27,774.50
2/20/2004	S	Nextel Comm Inc Cl A	1000	\$ 28,794.15
2/23/2004	S	Ligand Pharm. Inc	1000	\$ 16,114.74
2/23/2004	B	Newmont MNG Corp HLDG CO	1000	\$ 45,617.80
2/24/2004	S	Newmont MNG Corp HLDG CO	1000	\$ 43,273.47
2/25/2004	S	Merck & Co	1000	\$ 48,783.21
2/25/2004	B	S&P Mid Cap 400 Dep Rec Mid	600	\$ 66,806.50
2/26/2004	B	Ligand Pharm. Inc	1000	\$ 15,630.50
3/1/2004	B	Lucent	8000	\$ 32,884.50
3/4/2004	S	Ligand Pharm. Inc	1000	\$ 15,804.88
3/4/2004	S	Lucent	8000	\$ 33,354.19
3/4/2004	S	S&P Mid Cap 400 Dep Rec Mid	800	\$ 67,064.88
3/4/2004	B	American Fundamental Investors B	666.001	\$ 20,000.00
3/5/2004	B	Newmont MNG Corp HLDG CO	1000	\$ 43,994.50
3/8/2004	S	Newmont MNG Corp HLDG CO	1000	\$ 41,883.86
3/8/2004	B	Alvarion Ltd	2000	\$ 31,514.70
3/8/2004	B	IBM	500	\$ 48,849.50
3/10/2004	S	Alvarion Ltd	2000	\$ 32,799.22
3/12/2004	B	Alvarion Ltd	2000	\$ 30,724.50

Customer JD

Date	Buy/Sell	Security	Quantity	Amount
3/12/2004	S	IBM	500	\$ 47,114.50
3/16/2004	S	IBM	1000	\$ 92,841.48
3/17/2004	B	Dell	1000	\$ 33,854.50
3/22/2004	B	ChevronTexaco	500	\$ 45,664.50
3/23/2004	B	Jabil Circuit Inc	500	\$ 14,628.10
3/24/2004	S	Dell	1000	\$ 32,909.21
3/25/2004	B	Alvarion Ltd	2000	\$ 27,000.70
3/25/2004	B	General Electric	500	\$ 14,864.50
3/31/2003	S	ChevronTexaco	500	\$ 42,244.90
3/31/2003	S	General Electric	500	\$ 15,069.91
4/5/2004	B	IBM	400	\$ 37,592.18
4/6/2004	B	Verizon Comm.	700	\$ 26,751.50
4/6/2004	S	Jabil Circuit Inc	500	\$ 14,820.15
4/13/2004	B	General Electric	400	\$ 12,848.50
4/14/2004	S	IBM	400	\$ 37,594.82
4/15/2004	B	Sirius Sat radio	5000	\$ 19,754.00
4/19/2004	S	General Electric	400	\$ 12,115.21
4/19/2004	S	Verizon Comm.	700	\$ 25,957.89
4/22/2004	B	Intel Corp	1000	\$ 28,994.50
4/26/2004	S	Sirius Sat radio	5000	\$ 17,095.69
4/27/2004	B	Bell Corp	500	\$ 35,424.50
4/27/2004	S	Intel Corp	1000	\$ 25,904.89
4/30/2004	B	Autodesk Inc	500	\$ 17,704.50
4/30/2004	B	Ventiv Health Inc	1000	\$ 16,184.50
5/3/2004	B	Chesapeake Energy Corp	1000	\$ 14,604.50
5/3/2004	S	Alvarion Ltd	4000	\$ 44,514.05
5/4/2004	B	Coca Cola Ent.	1000	\$ 26,795.50
5/7/2004	S	Coca Cola Ent.	1000	\$ 26,254.88
5/10/2004	S	Chesapeake Energy Corp	1000	\$ 13,645.88
5/10/2004	B	Transaction Systems Architects	1000	\$ 22,854.50
5/11/2004	B	Microsoft Corp	1000	\$ 26,700.40
5/11/2004	S	Bell Corp	500	\$ 32,558.23
5/13/2004	B	Newmont MNG Corp HLDG CO	500	\$ 18,343.05
5/20/2004	B	General Electric	1000	\$ 30,384.50
5/20/2004	S	Microsoft Corp	1000	\$ 25,394.90
5/20/2004	S	Transaction Systems Architects	1000	\$ 19,145.05
5/21/2004	B	AU Optronics Corp	1000	\$ 20,404.50
5/21/2004	S	Autodesk Inc	500	\$ 16,810.20
5/21/2004	S	Newmont MNG Corp HLDG CO	500	\$ 18,596.06
5/24/2004	B	Autodesk Inc	1000	\$ 82,804.50
5/27/2004	B	Adobe Systems	500	\$ 22,279.60
5/27/2004	S	AU Optronics Corp	1000	\$ 21,494.99
5/28/2004	B	Johnson Ctl's Inc	1000	\$ 54,604.80
5/28/2004	S	Autodesk Inc	1000	\$ 33,233.32
5/28/2004	S	General Electric	1000	\$ 30,934.77
6/2/2004	S	Adobe Systems	500	\$ 22,019.98
6/2/2004	B	AU Optronics Corp	1000	\$ 23,677.80

Customer JD

Date	Buy/Sell	Security	Quantity	Amount
6/4/2004	S	AU Optronics Corp	1000	\$ 19,895.03
6/7/2004	B	Commercial Metals CO	1000	\$ 32,554.50
6/10/2004	S	Johnson Cils Inc	1000	\$ 54,818.81
6/10/2004	B	AU Optronics Corp	2000	\$ 41,344.50
6/11/2004	S	Ventiv Health Inc	1000	\$ 17,138.59
6/14/2004	S	AU Optronics Corp	2000	\$ 38,680.79
6/14/2004	B	Sempra Energy	1000	\$ 34,696.50
6/15/2004	S	Commercial Metals CO	1000	\$ 29,784.80
6/17/2004	B	Ventiv Health Inc	1000	\$ 17,764.50
6/18/2004	B	Panera Bread Co Cl A	1000	\$ 35,671.30
6/22/2004	S	Panera Bread Co Cl A	1000	\$ 35,994.85
6/23/2004	B	NASDAQ 100 TR	500	\$ 18,989.50
6/23/2004	S	Sempra Energy	1000	\$ 34,344.89
6/23/2004	B	Occidental Petroleum	1000	\$ 50,004.50
7/1/2004	S	Occidental Petroleum	1000	\$ 48,484.38
7/2/2004	B	Autodesk Inc	1000	\$ 41,904.50
7/6/2004	S	Autodesk Inc	1000	\$ 42,734.48
7/6/2004	B	Flextronics Intl Inc	2000	\$ 32,524.50
7/13/2004	S	Ventiv Health Inc	1000	\$ 13,341.78
7/15/2004	S	Flextronics Intl Inc	2000	\$ 27,655.85
7/22/2004	B	First Eagle Global Cl A	539.957	\$ 20,000.00
7/23/2004	B	Navarre Corp	1000	\$ 15,514.10
7/27/2004	S	Navarre Corp	1000	\$ 13,472.98
7/28/2004	S	NASDAQ 100 TR	500	\$ 17,205.49
7/30/2004	S	American Fundamental Investors B	666.968	\$ 18,047.43
7/30/2004	S	Templeton Foreign B	1630.435	\$ 16,262.81
7/30/2004	S	First Eagle Global Cl A	539.957	\$ 18,208.32

Exhibit F to Scott Valente Complaint

Schedule of Transactions for Customer's JD and BD/Joint Account

Customer JD and BD

Date	Buy/Sell	Security	Quantity	Amount
7/7/2003	S	Unilever N V	150	\$ 7,962.82
7/8/2003	B	Centerpoint Energy	600	\$ 5,062.50
7/11/2003	B	First Data Corp	200	\$ 8,728.86
7/14/2003	B	Dell	300	\$ 10,273.50
7/17/2003	B	General Electric	300	\$ 8,797.50
7/18/2003	S	Centerpoint Energy	600	\$ 4,825.27
7/21/2003	S	General Electric	300	\$ 8,170.11
7/21/2003	B	SBC Communications	200	\$ 4,994.50
7/22/2003	S	First Data Corp	200	\$ 8,057.12
7/22/2003	S	SBC Communications	200	\$ 4,633.28
7/23/2003	B	Pimco Corp Opp fund	300	\$ 5,014.50
7/25/2003	S	Pimco Corp Opp Fund	300	\$ 4,683.28
7/25/2003	B	Merck & Co	130	\$ 7,834.40
7/25/2003	B	Wal-Mart Stores	200	\$ 11,480.76
7/30/2003	S	Merck & Co	130	\$ 7,901.15
8/1/2003	B	Eastman Kodak	200	\$ 5,718.50
8/8/2003	S	Dell	300	\$ 9,574.36
8/8/2003	S	Eastman Kodak	200	\$ 5,367.44
8/11/2003	B	Toll Brothers Inc	400	\$ 11,068.98
8/13/2003	S	Toll Brothers Inc	400	\$ 11,334.98
8/13/2003	S	Wal-Mart Stores	200	\$ 11,482.96
8/15/2003	B	Adobe Systems	200	\$ 6,885.98
8/15/2003	B	Johnson & Johnson	200	\$ 10,570.50
8/18/2003	B	Toll Brothers Inc	200	\$ 5,705.02
8/21/2003	S	Adobe Systems	200	\$ 7,035.17
8/21/2003	S	Johnson & Johnson	200	\$ 10,123.02
8/22/2003	B	Home Depot	200	\$ 6,684.50
8/28/2003	B	Ishares Inc MSCI Hong Kong Index	300	\$ 2,743.50
8/28/2003	S	Toll Brothers Inc	200	\$ 5,835.22
8/29/2003	B	Abbott Laboratories	200	\$ 8,120.50
8/29/2003	B	Bank of America	200	\$ 15,832.50
9/8/2003	S	Abbott Laboratories	200	\$ 8,263.11
9/8/2003	S	Home Depot	200	\$ 6,391.20
9/8/2003	S	Ishares Inc MSCI Hong Kong Index	300	\$ 2,803.38
9/9/2003	B	Nokia	300	\$ 5,182.50
9/9/2003	B	Servicemaster Co	300	\$ 3,207.33
9/12/2003	S	Nokia	300	\$ 4,771.27
9/15/2003	S	Bank of America	200	\$ 15,083.95
9/15/2003	B	IBM	200	\$ 18,040.50
9/18/2003	S	Servicemaster Co	300	\$ 2,968.38
9/18/2003	B	General Electric	300	\$ 9,691.35
9/22/2003	S	IBM	200	\$ 18,144.65
9/22/2003	B	Centerpoint Energy	1000	\$ 9,083.70
9/23/2003	B	KB Home	200	\$ 11,982.50
9/25/2003	B	Ishares MSCI Japan Index Fd	1000	\$ 9,184.50
9/26/2003	B	SBC Communications	400	\$ 9,184.80
9/30/2003	S	General Electric	300	\$ 9,078.07

Customer JD and BD

Date	Buy/Sell	Security	Quantity	Amount
10/8/2003	S	KB Home	200	\$ 12,174.82
10/7/2003	B	Kinetics New Paradigm Cl A	790,798	\$ 11,000.00
10/8/2003	S	Ishares MSCI Japan Index Fd	1000	\$ 9,395.06
10/9/2003	S	Pinco High Yield Cl A	1165.254	\$ 11,000.00
10/9/2003	S	Centerpoint Energy	1000	\$ 9,286.08
10/9/2003	B	American Europacific Cl B	181.884	\$ 5,000.00
10/10/2003	B	Merck & Co	300	\$ 15,332.85
10/14/2003	B	Symantec Corp	200	\$ 13,494.22
10/18/2003	S	SBC Communications	400	\$ 8,747.09
10/16/2003	S	Symantec Corp	200	\$ 12,572.79
10/16/2003	B	Computer Assoc. Int'l	400	\$ 10,180.50
10/16/2003	B	Goldcorp Inc	300	\$ 4,490.31
10/17/2003	S	Merck & Co	300	\$ 14,805.80
10/20/2003	B	Micron Tech	500	\$ 6,884.50
10/21/2003	S	Micron Tech	500	\$ 6,240.20
10/21/2003	B	IBM	200	\$ 18,228.50
10/24/2003	S	Goldcorp Inc	300	\$ 4,543.40
10/27/2003	B	Leapfrog Enterprises	200	\$ 7,270.50
10/28/2003	S	Computer Assoc. Int'l	400	\$ 9,327.08
10/28/2003	S	IBM	200	\$ 17,488.68
10/28/2003	B	Fortune Brands Inc	200	\$ 12,884.48
10/29/2003	S	Leapfrog Enterprises	200	\$ 6,639.18
10/29/2003	B	Intel Corp	200	\$ 6,240.50
10/31/2003	S	Intel Corp	200	\$ 6,359.44
11/6/2003	S	Fortune Brands Inc	200	\$ 13,188.88
11/10/2003	B	Cisco	300	\$ 6,602.64
11/12/2003	S	Cisco	300	\$ 6,830.17
11/13/2003	B	Diamonds Trust Series 1	200	\$ 20,230.50
11/17/2003	B	Goldcorp Inc	300	\$ 4,783.50
11/19/2003	S	Goldcorp Inc	300	\$ 4,891.27
11/21/2003	B	Symantec Corp	200	\$ 12,816.12
11/24/2003	S	Diamonds Trust Series 1	200	\$ 19,292.58
11/24/2003	S	Symantec Corp	200	\$ 11,898.62
11/25/2003	B	Corning Inc	500	\$ 5,801.00
11/26/2003	B	Ishares MSCI Japan Index Fd	500	\$ 4,464.50
11/28/2003	S	Corning Inc	500	\$ 5,615.23
11/28/2003	B	Ishares Tr Russel 2000 Index	100	\$ 10,982.50
11/28/2003	B	Micron Tech	1000	\$ 12,935.70
12/4/2003	S	Ishares MSCI Japan Index Fd	500	\$ 4,545.28
12/5/2003	S	Ishares Tr Russel 2000 Index	100	\$ 11,082.98
12/8/2003	S	Micron Tech	1000	\$ 12,084.93
12/10/2003	B	Goldcorp Inc	500	\$ 8,872.45
12/10/2003	B	Johnson & Johnson	200	\$ 10,145.44
12/11/2003	B	Intel Corp	200	\$ 8,572.50
12/12/2003	S	Intel Corp	200	\$ 6,159.81
12/12/2003	B	ISHARES TR S&P small cap	100	\$ 9,895.90
12/15/2003	S	Goldcorp Inc	500	\$ 8,261.16

Customer JD and BD

Date	Buy/Sell	Security	Quantity	Amount
12/19/2003	S	Johnson & Johnson	200	\$ 9,847.65
12/19/2003	B	ESS Technology Inc	400	\$ 6,168.30
12/23/2003	S	ISHARES TR S&P small cap	100	\$ 9,870.03
12/23/2003	B	Ishares Tr Dow Jones US Health	200	\$ 11,622.50
12/24/2003	B	Newmont MNG Corp HLDG CO	200	\$ 9,497.00
12/26/2003	S	ESS Technology Inc	400	\$ 5,729.95
12/29/2003	B	L-3 Communications Hldgs	200	\$ 10,060.50
12/31/2003	B	Bristol Myers Squibb	200	\$ 5,678.50
1/2/2004	S	Newmont MNG Corp HLDG CO	200	\$ 9,784.22
1/8/2004	S	Bristol Myers Squibb	200	\$ 5,895.22
1/9/2004	S	Goldcorp Inc	500	\$ 7,770.23
1/9/2004	S	L-3 Communications Hldgs	200	\$ 10,380.13
1/9/2004	B	Goldcorp Inc	500	\$ 8,299.50
1/12/2004	B	JP Morgan Chase & Co	300	\$ 11,565.64
1/13/2004	S	Ishares Tr Dow Jones US Health	200	\$ 11,520.08
1/14/2004	B	Nokia	300	\$ 8,328.50
1/16/2004	B	Magnum Hunter Res Inc	500	\$ 4,864.50
1/16/2004	B	Intel Corp	200	\$ 6,978.50
1/21/2004	S	Magnum Hunter Res Inc	500	\$ 4,600.68
1/22/2004	S	Intel Corp	200	\$ 8,575.19
1/23/2004	S	Nortel Networks	1000	\$ 6,905.17
1/23/2004	B	Nortel Networks	1000	\$ 7,524.50
1/23/2004	B	Phelps Dodge Corp	100	\$ 7,582.37
1/26/2004	S	Nokia	300	\$ 6,127.21
1/28/2004	S	JP Morgan Chase & Co	300	\$ 11,868.94
1/28/2004	S	Phelps Dodge Corp	100	\$ 7,763.13
1/28/2004	B	LCC Intl Inc	500	\$ 4,439.50
1/27/2004	B	Nortel Networks	500	\$ 3,314.50
1/28/2004	S	Nortel Networks	500	\$ 3,015.35
1/28/2004	S	North American Palladium Ltd	500	\$ 4,370.29
1/28/2004	B	AT&T Corp	500	\$ 10,138.80
1/28/2004	B	North American Palladium Ltd	500	\$ 4,658.85
1/28/2004	S	LCC Intl Inc	500	\$ 3,959.91
1/29/2004	B	Kimberly Clark Corp	200	\$ 11,725.36
1/29/2004	B	MFC Bancorp Ltd	200	\$ 5,328.86
2/5/2004	S	AT&T Corp	500	\$ 9,805.05
2/6/2004	B	Take-Two Interactive	300	\$ 9,113.04
2/9/2004	S	MFC Bancorp Ltd	200	\$ 4,229.30
2/9/2004	S	Take-Two Interactive	300	\$ 8,484.88
2/9/2004	B	Dow Chemical Co	200	\$ 8,462.70
2/10/2004	S	Kimberly Clark Corp	200	\$ 11,991.87
2/10/2004	B	Ishares MSCI Japan Index Fd	1000	\$ 9,724.50
2/11/2004	B	Nextel Comm Inc Cl A	200	\$ 5,327.30
2/17/2004	S	Dow Chemical Co	200	\$ 8,683.09
2/17/2004	S	Nextel Comm Inc Cl A	200	\$ 5,419.70
2/17/2004	B	Ligand Pharm. Inc	300	\$ 4,738.50
2/18/2004	B	Intel Corp	200	\$ 6,326.50

Customer JD and BD

Date	Buy/Sell	Security	Quantity	Amount
2/19/2004	S	Intel Corp	200	\$ 6,099.63
2/19/2004	B	Dell	300	\$ 10,583.10
2/23/2004	S	Ligand Pharm. Inc	300	\$ 4,831.27
2/23/2004	B	Nextel Comm Inc Cl A	200	\$ 5,877.92
2/24/2004	S	Nextel Comm Inc Cl A	200	\$ 5,513.70
2/25/2004	S	Dell	300	\$ 10,126.02
2/25/2004	B	Dow Chemical Co	300	\$ 13,103.61
2/26/2004	B	Intel Corp	200	\$ 6,022.48
2/27/2004	S	Ishares MSCI Japan Index Fd	1000	\$ 9,383.83
2/27/2004	B	JetBlue Airways Corp	400	\$ 9,522.62
3/3/2004	S	Intel Corp	200	\$ 5,839.27
3/4/2004	S	JetBlue Airways Corp	400	\$ 9,728.98
3/4/2004	B	Exxon Mobil Corp	300	\$ 13,036.50
3/5/2004	B	General Electric	200	\$ 6,675.50
3/8/2004	S	Exxon Mobil Corp	300	\$ 12,547.34
3/10/2004	S	Dow Chemical Co	300	\$ 12,828.99
3/10/2004	B	Nextel Comm Inc Cl A	300	\$ 8,156.55
3/11/2004	S	Nextel Comm Inc Cl A	300	\$ 7,702.73
3/11/2004	B	JetBlue Airways Corp	300	\$ 7,415.85
3/12/2004	S	General Electric	200	\$ 6,275.25
3/12/2004	S	JetBlue Airways Corp	300	\$ 6,979.34
3/15/2004	B	Siliconware Precision Inds	1000	\$ 5,539.40
3/16/2004	S	Siliconware Precision Inds	1000	\$ 5,157.49
3/16/2004	B	General Electric	500	\$ 15,704.50
3/17/2004	B	Dell	300	\$ 10,099.50
3/22/2004	S	General Electric	500	\$ 15,224.90
3/22/2004	B	ChevronTexaco Corp	200	\$ 18,268.50
3/23/2004	B	Jabil Circuit Inc	100	\$ 2,908.82
3/24/2004	S	Dell	300	\$ 9,869.61
3/24/2004	B	Eli Lilly & Co	100	\$ 7,091.46
3/25/2004	S	Eli Lilly & Co	100	\$ 6,748.23
3/25/2004	B	General Electric	200	\$ 5,948.50
3/31/2004	S	ChevronTexaco Corp	200	\$ 16,895.26
3/31/2004	S	General Electric	200	\$ 6,025.28
3/31/2004	B	Electronic Data Systems	700	\$ 13,864.50
4/2/2004	S	Pimco High Yield Cl A	1156.446	\$ 11,194.40
4/2/2004	B	Computer Network Technology Corp	1480	\$ 11,674.30
4/5/2004	B	Computer Network Technology Corp	520	\$ 4,178.90
4/6/2004	S	Jabil Circuit Inc	100	\$ 2,960.43
4/8/2004	B	Verizon Communications	200	\$ 7,646.80
4/8/2004	S	Electronic Data Systems	700	\$ 14,177.16
4/13/2004	B	General Electric	500	\$ 16,059.50
4/15/2004	S	General Electric	500	\$ 15,785.12
4/15/2004	S	Verizon Communications	200	\$ 7,447.32
4/15/2004	B	Sirius Sat radio	5000	\$ 19,754.00
4/28/2004	S	Sirius Sat radio	5000	\$ 17,095.59
4/27/2004	B	Bell Corp	200	\$ 14,172.50

Customer JD and BD

Date	Buy/Sell	Security	Quantity	Amount
4/30/2004	S	Computer Network Technology Corp	2000	\$ 15,035.11
4/30/2004	B	Ventiv Health Inc	1000	\$ 16,184.50