

FINANCIAL INDUSTRY REGULATORY AUTHORITY
LETTER OF ACCEPTANCE, WAIVER AND CONSENT
NO. 20100213904-01

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

RE: Canaccord Genuity Securities LLC
f/k/a Collins Stewart LLC., Respondent
Broker-Dealer
CRD No. 24790

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

I.

ACCEPTANCE AND CONSENT

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

BACKGROUND

The firm has been a member of FINRA since July 28, 1989, and its registration remains in effect. The firm has no relevant disciplinary history.

SUMMARY

In connection with review no. 20100213904, the Customer Issues Group of the Department of Market Regulation reviewed the firm's trading activity during the period November 11, 2008 through December 31, 2009 (the "review period").

FACTS AND VIOLATIVE CONDUCT

In 461 instances during the review period, the firm failed to contemporaneously or partially execute 348 customer limit orders in 162 OTC securities after it traded each subject security for its own market-making account at a price that would have satisfied each customer's limit order. The instances are reflected on Exhibits A & B. The conduct described in this paragraph constitutes separate and distinct violations of FINRA Rule 2010 and NASD IM-2110-2 and NASD Rule 2110 (for conduct before December 15, 2008).

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

A censure, fine of \$20,000, and restitution by Respondent to the customers listed on Exhibit B, which is attached, in the total amount of \$22,600.03, plus interest at the rate set forth in Section 6621(a) of the Internal Revenue Code, 26 U.S.C. 6621(a)(2), from the date of the violative conduct until the date this AWC is accepted by the National Adjudicatory Council. A registered principal of the firm shall submit satisfactory proof of payment of the restitution, or of reasonable and documented efforts undertaken to effect restitution, to the COMPLIANCE ASSISTANT, LEGAL SECTION, MARKET REGULATION DEPARTMENT, 9509 KEY WEST AVENUE, ROCKVILLE, MD 20850 or in an e-mail from a work-related account of the registered principal to MarketRegulationComp@finra.org, no later than 120 days after acceptance of this AWC. If for any reason, Respondent cannot locate any customer after reasonable and documented efforts within such period, or such additional period agreed to by the staff, Respondent shall forward any undistributed restitution and interest to the appropriate escheat, unclaimed-property or abandoned-property fund for the state in which the customer is known to have last resided.

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

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

The sanctions imposed herein shall be effective on a date set by FINRA staff. Pursuant to FINRA Rule 8313(e), a bar or expulsion shall become effective upon approval or acceptance of this AWC.

II.

WAIVER OF PROCEDURAL RIGHTS

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

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

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

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

III.

OTHER MATTERS

The firm understands that:

- A. Submission of this AWC is voluntary and will not resolve this matter unless and until it has been reviewed and accepted by the NAC, a Review Subcommittee of the NAC, or the Office of Disciplinary Affairs ("ODA"), pursuant to FINRA Rule 9216;
- B. If this AWC is not accepted, its submission will not be used as evidence to prove any of the allegations against the firm; and
- C. If accepted:

1. this AWC will become part of the firm's permanent disciplinary record and may be considered in any future actions brought by FINRA or any other regulator against the firm;
 2. this AWC will be made available through FINRA's public disclosure program in response to public inquiries about the firm's disciplinary record;
 3. FINRA may make a public announcement concerning this agreement and the subject matter thereof in accordance with FINRA Rule 8313; and
 4. The firm may not take any action or make or permit to be made any public statement, including in regulatory filings or otherwise, denying, directly or indirectly, any finding in this AWC or create the impression that the AWC is without factual basis. The firm may not take any position in any proceeding brought by or on behalf of FINRA, or to which FINRA is a party, that is inconsistent with any part of this AWC. Nothing in this provision affects the firm's right to take legal or factual positions in litigation or other legal proceedings in which FINRA is not a party.
- D. The firm may attach a Corrective Action Statement to this AWC that is a statement of demonstrable corrective steps taken to prevent future misconduct. The firm understands that it may not deny the charges or make any statement that is inconsistent with the AWC in this Statement. This Statement does not constitute factual or legal findings by FINRA, nor does it reflect the views of FINRA or its staff.

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

July 18, 2012
Date

Respondent
Canaccord Genuity Securities LLC f/k/a
Collins Stewart LLC.

By:

Name: Richard A. Sorrentino

Title: Chief Compliance Officer

Reviewed by:

Maria Melissa Ashdill
Attorney Name
Counsel for Respondent

Accepted by FINRA:

7/20/12
Date

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

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

Collins Stewart LLC ("STEW")
Limit Order Protection Review for OTC Securities

Part I: Triggering Transaction Details										Part II: Order Details								
Number	Trade Report Date	Trade Report Time	Execution Time	MPID	Side	Capacity	Trade Vol	Issue Symbol	Trade Price	Order Received Date	Order Received Time	MPID	Order to Buy/Sell	Quantity	Issue Symbol	Limit Price	TIF	
1	11/11/2008	13:59:15	13:59:15	STEW	S	P	200	ESOCF	6.9000	11/11/2008	07:25:07	STEW	SL	500	ESOCF	6.9000	GTC	
2	11/12/2008	10:29:34	10:29:34	STEW	B	P	10,000	BOTRF	0.0350	11/03/2008	15:22:15	STEW	B	3,000	BOTRF	0.0400	GTC	
3	11/13/2008	13:20:47	13:20:47	STEW	B	P	600	GELYF	0.0400	11/05/2008	08:30:53	STEW	B	5,000	GELYF	0.0500	GTC	
4	11/13/2008	13:36:11	13:36:11	STEW	B	P	2,000	SDRLF	8.0000	11/13/2008	11:08:05	STEW	B	100,000	GELYF	0.0450	GTC	
										11/12/2008	15:31:45	STEW	B	2,000	SDRLF	8.0000	GTC	
5	11/13/2008	13:54:04	13:54:04	STEW	B	P	1,500	SDRLF	8.0000	11/13/2008	10:06:59	STEW	B	2,000	SDRLF	8.0000	DAY	
										11/13/2008	10:06:59	STEW	B	2,000	SDRLF	8.0000	DAY	
6	11/14/2008	10:30:03	10:30:02	STEW	B	P	10,000	COPY	0.4600	11/14/2008	10:26:28	STEW	B	25,000	COPY	0.4600	DAY	
7	11/14/2008	10:57:34	10:57:34	STEW	B	P	5,000	COPY	0.4600									
8	11/18/2008	09:31:35	09:31:35	STEW	B	P	1,000	BYDDF	1.6000	10/29/2008	08:51:29	STEW	B	500	BYDDF	1.6000	GTC	
										10/29/2008	11:32:51	STEW	B	500	BYDDF	1.6100	GTC	
9	11/18/2008	12:08:05	12:08:05	STEW	B	P	215	SCGLY	8.9200	11/18/2008	12:06:22	STEW	B	235	SCGLY	8.9200	DAY	
10	11/19/2008	10:05:50	10:05:50	STEW	B	P	2,000	SDRLF	7.7000	11/13/2008	12:41:49	STEW	B	300	SDRLF	7.9000	GTC	
11	11/20/2008	09:32:06	09:32:06	STEW	B	P	5,000	MGWSF	0.0500	11/20/2008	08:49:51	STEW	B	18,000	MGWSF	0.0500	GTC	
12	11/20/2008	09:35:16	09:35:15	STEW	B	P	13,000	MGWSF	0.0500									
13	11/20/2008	09:40:36	09:40:36	STEW	B	P	47,950	SRSR	0.0135	11/20/2008	09:39:43	STEW	B	367,000	SRSR	0.0155	GTD	
14	11/20/2008	09:40:57	09:40:55	STEW	B	P	100,000	SRSR	0.0140									
15	11/20/2008	09:41:03	09:41:00	STEW	B	P	50,000	SRSR	0.0140									
16	11/20/2008	09:41:11	09:41:11	STEW	B	P	38,000	SRSR	0.0150									
17	11/20/2008	10:30:39	10:30:39	STEW	B	P	3,000	MMTIF	0.8600	11/20/2008	10:17:06	STEW	B	46,500	MMTIF	0.9000	DAY	
18	11/20/2008	10:31:25	10:31:25	STEW	B	P	10,000	MMTIF	0.8600									
19	11/20/2008	10:37:16	10:37:16	STEW	S	P	120,000	NCOA	0.0022	11/20/2008	08:56:42	STEW	SL	500,000	NCOA	0.0022	GTD	
20	11/20/2008	12:53:53	12:53:53	STEW	B	P	10,000	ATTUF	0.1800	11/20/2008	12:45:59	STEW	B	100,000	ATTUF	0.1800	GTD	
21	11/20/2008	15:31:17	15:31:17	STEW	B	P	280	GDFZY	38.5000	11/12/2008	12:18:29	STEW	B	200	GDFZY	38.5000	GTC	
										11/17/2008	07:25:03	STEW	B	200	GDFZY	39.0000	GTC	
22	11/20/2008	15:41:55	15:41:55	STEW	B	P	142	GDFZY	39.0000	11/17/2008	07:25:03	STEW	B	200	GDFZY	39.0000	GTC	
23	11/20/2008	15:46:49	15:46:49	STEW	B	P	1,084	SDRLF	6.0000	11/20/2008	10:50:26	STEW	B	100	SDRLF	6.0000	DAY	
										11/20/2008	15:08:01	STEW	B	1,500	SDRLF	6.0000	DAY	
24	11/20/2008	15:56:10	15:56:10	STEW	B	P	1,000	SDRLF	5.9000	11/20/2008	15:08:01	STEW	B	1,500	SDRLF	6.0000	DAY	
25	11/26/2008	09:42:34	09:42:34	STEW	S	P	10,000	BCKBF	0.0350	11/24/2008	14:51:44	STEW	SL	5,000	BCKBF	0.0300	GTC	
26	11/28/2008	09:36:06	09:36:06	STEW	B	P	500,000	VMHIF	0.0035	11/28/2008	09:23:55	STEW	B	1,000,000	VMHIF	0.0035	DAY	
27	11/28/2008	09:53:04	09:53:04	STEW	B	P	296	LVMUY	10.1000	11/28/2008	09:38:14	STEW	B	1,300	LVMUY	10.1000	DAY	
28	12/01/2008	10:08:47	10:08:47	STEW	S	P	907	CCEL	0.5500	12/01/2008	09:59:58	STEW	SL	20,000	CCEL	0.5000	GTD	
29	12/01/2008	15:37:48	15:37:48	STEW	B	P	1,000	SDRLF	6.5000	12/01/2008	11:35:42	STEW	B	800	SDRLF	6.7000	DAY	
30	12/03/2008	09:36:43	09:36:43	STEW	B	P	871	ENLAY	5.3000	11/24/2008	09:29:08	STEW	B	1,800	ENLAY	5.3300	GTC	

Collins Stewart LLC ("STEW")
Limit Order Protection Review for OTC Securities

Part I: Triggering Transaction Details										Part II: Order Details							
Number	Trade Report Date	Trade Report Time	Execution Time	MPID	Side	Capacity	Trade Vol	Issue Symbol	Trade Price	Order Received Date	Order Received Time	MPID	Order to Buy/Sell	Quantity	Issue Symbol	Limit Price	TIF
31	12/04/2008	10:41:06	10:41:06	STEW	S	P	180	ISNPY	17.1100	12/04/2008	09:43:00	STEW	SL	300	ISNPY	17.1000	DAY
32	12/04/2008	14:15:36	14:15:35	STEW	B	P	89,000	SLGLF	0.0119	12/04/2008	13:55:21	STEW	B	89,000	SLGLF	0.0119	GTC
33	12/05/2008	12:58:05	12:58:05	STEW	B	P	2,000	BCKBF	0.0400	12/05/2008	08:03:09	STEW	B	43,200	BCKBF	0.0500	GTC
34	12/05/2008	14:08:06	14:08:06	STEW	S	P	345	SDRLF	6.2500	12/05/2008	11:19:43	STEW	SL	500	SDRLF	6.0800	DAY
										12/05/2008	10:35:16	STEW	SL	100	SDRLF	6.1000	GTC
35	12/08/2008	09:46:16	09:46:16	STEW	B	P	75,000	GSRE	0.0042	12/08/2008	09:44:01	STEW	B	75,000	GSRE	0.0042	DAY
36	12/08/2008	12:40:49	12:40:49	STEW	B	P	1,400	IDAR	0.1200	12/08/2008	10:13:18	STEW	B	10,000	IDAR	0.1200	DAY
37	12/08/2008	15:16:23	15:16:23	STEW	B	P	33,300	IDAR	0.1300	12/08/2008	15:15:07	STEW	B	100,000	IDAR	0.1350	DAY
38	12/08/2008	15:16:29	15:16:28	STEW	B	P	10,000	IDAR	0.1300								
39	12/09/2008	13:42:37	13:42:37	STEW	B	P	2,000	BCKBF	0.0350	12/09/2008	08:54:23	STEW	B	50,000	BCKBF	0.0450	DAY
40	12/09/2008	15:09:19	15:09:19	STEW	B	P	100,000	FNH	0.0013	12/09/2008	15:08:28	STEW	B	100,000	FNH	0.0013	DAY
41	12/10/2008	10:23:38	10:23:38	STEW	B	P	3,000	GWPRF	0.3900	11/03/2008	08:24:03	STEW	B	1,000	GWPRF	0.4600	GTC
42	12/10/2008	10:34:50	10:34:50	STEW	B	P	205	MURGY	15.2500	12/10/2008	09:31:22	STEW	B	1,900	MURGY	15.2500	DAY
43	12/10/2008	12:23:26	12:23:26	STEW	S	P	50,000	HRAL	0.0300	12/10/2008	12:16:35	STEW	SL	200,000	HRAL	0.0300	GTC
44	12/10/2008	12:23:33	12:23:33	STEW	S	P	36,000	HRAL	0.0300								
45	12/10/2008	12:23:35	12:23:35	STEW	S	P	50,000	HRAL	0.0300								
46	12/10/2008	12:23:38	12:23:38	STEW	S	P	5,000	HRAL	0.0300								
47	12/10/2008	14:21:56	14:21:55	STEW	S	P	19,000	NBBTF	0.1600	12/10/2008	12:13:18	STEW	SL	3,000	NBBTF	0.1500	GTC
48	12/10/2008	15:05:59	15:05:59	STEW	S	P	50,000	VMHIF	0.0020	12/10/2008	15:04:40	STEW	SL	250,000	VMHIF	0.0020	DAY
49	12/10/2008	15:08:26	15:08:26	STEW	S	P	50,000	VMHIF	0.0020								
50	12/12/2008	09:45:47	09:45:47	STEW	B	P	715	TUWLF	8.8500	12/11/2008	12:13:38	STEW	B	350	TUWLF	9.0000	GTC
51	12/12/2008	14:41:29	14:41:29	STEW	S	P	10,000	HRAL	0.0280	12/12/2008	10:55:21	STEW	SL	190,000	HRAL	0.0280	GTC
52	12/16/2008	13:32:21	13:32:21	STEW	B	P	5,000	SUNV	0.3100	12/16/2008	10:59:33	STEW	B	250,000	SUNV	0.3100	DAY
53	12/16/2008	15:15:21	15:15:21	STEW	S	P	30,000	LEHMQ	0.0350	12/16/2008	15:13:10	STEW	SL	405,000	LEHMQ	0.0350	DAY
54	12/16/2008	15:15:35	15:15:35	STEW	S	P	135,000	LEHMQ	0.0350								
55	12/16/2008	15:15:44	15:15:44	STEW	S	P	5,000	LEHMQ	0.0350								
56	12/16/2008	15:43:24	15:43:24	STEW	B	P	40,000	DNYFF	0.0150	12/16/2008	15:41:40	STEW	B	60,000	DNYFF	0.0150	DAY
57	12/22/2008	09:35:23	09:35:23	STEW	S	P	5,000	RNCH	0.0400	12/18/2008	14:07:15	STEW	SL	50,000	RNCH	0.0400	GTC
58	12/22/2008	14:09:08	14:09:08	STEW	B	P	10,000	IDAR	0.0900	12/08/2008	09:11:51	STEW	B	100,000	IDAR	0.0900	GTC
59	12/23/2008	12:19:02	12:19:02	STEW	B	P	1,500	WOSLY	5.7000	12/23/2008	12:17:13	STEW	B	17,768	WOSLY	5.7000	DAY
60	12/23/2008	13:24:06	13:24:06	STEW	S	P	5,000	CCBEF	0.2100	12/23/2008	13:17:02	STEW	SL	42,518	CCBEF	0.2000	DAY
61	12/23/2008	15:36:10	15:36:10	STEW	B	P	5,000	NNLX	0.0700	12/23/2008	12:02:22	STEW	B	10,000	NNLX	0.0700	DAY
62	12/23/2008	15:40:34	15:40:34	STEW	B	P	300,000	UVSE	0.0001	12/15/2008	08:39:10	STEW	B	8,000,000	UVSE	0.0001	GTC
										12/22/2008	08:38:43	STEW	B	3,000,000	UVSE	0.0001	GTD
63	12/24/2008	09:30:55	09:30:55	STEW	B	P	25,000	SLGLF	0.0100	12/22/2008	15:06:55	STEW	B	25,000	SLGLF	0.0100	GTC

Collins Stewart LLC ("STEW")
Limit Order Protection Review for OTC Securities

Part I: Triggering Transaction Details										Part II: Order Details								
Number	Trade Report Date	Trade Report Time	Execution Time	MPID	Side	Capacity	Trade Vol	Issue Symbol	Trade Price	Order Received Date	Order Received Time	MPID	Order to Buy/Sell	Quantity	Issue Symbol	Limit Price	TIF	
64	12/29/2008	09:40:46	09:40:46	STEW	S	P	10,000	BCKBF	0.0700	12/24/2008	08:45:53	STEW	SL	20,000	BCKBF	0.0600	GTC	
										12/24/2008	10:58:11	STEW	SL	3,000	BCKBF	0.0600	GTC	
										12/26/2008	10:09:58	STEW	SL	2,000	BCKBF	0.0600	GTC	
65	12/30/2008	13:21:34	13:21:34	STEW	B	P	5,000	SUNV	0.1700	12/30/2008	11:46:44	STEW	B	500,000	SUNV	0.1700	DAY	
66	12/31/2008	10:19:14	10:19:14	STEW	B	P	20,000	WGAT	0.3800	12/31/2008	10:17:48	STEW	B	30,000	WGAT	0.3800	GTC	
67	12/31/2008	12:36:41	12:36:41	STEW	B	P	200	NCMGY	23.7500	12/31/2008	12:35:27	STEW	B	3,944	NCMGY	23.9100	DAY	
68	12/31/2008	13:42:31	13:42:31	STEW	B	P	272	SKHSY	8.6600	12/31/2008	12:45:26	STEW	B	20,917	SKHSY	8.6600	DAY	
69	12/31/2008	14:50:29	14:50:29	STEW	B	P	150	STBUY	5.8000	12/31/2008	14:33:17	STEW	B	19,712	STBUY	5.8000	DAY	
70	12/31/2008	15:40:31	15:40:31	STEW	B	P	5,000	NVDTF	0.7890	12/31/2008	10:32:00	STEW	B	10,000	NVDTF	0.8000	DAY	
71	01/02/2009	13:10:47	13:10:46	STEW	B	P	5,000	WGAT	0.3700	12/31/2008	10:28:32	STEW	B	36,500	WGAT	0.3700	GTC	
72	01/02/2009	14:29:37	14:29:36	STEW	B	P	7,300	AAGH	0.0250	01/02/2009	14:28:09	STEW	B	50,000	AAGH	0.0250	DAY	
73	01/02/2009	14:30:26	14:30:25	STEW	B	P	5,000	AAGH	0.0250									
74	01/05/2009	09:34:19	09:34:19	STEW	B	P	2,000	HLDVF	3.8500	01/02/2009	15:50:22	STEW	B	1,000	HLDVF	3.9500	GTC	
75	01/05/2009	11:26:01	11:26:01	STEW	B	P	5,000	WGAT	0.3400	01/05/2009	11:21:34	STEW	B	40,000	WGAT	0.3400	GTC	
76	01/05/2009	11:26:18	11:26:18	STEW	B	P	20,000	WGAT	0.3400									
77	01/05/2009	11:28:22	11:28:20	STEW	B	P	25,000	SOEN	0.2000	01/05/2009	10:13:43	STEW	B	50,000	SOEN	0.2000	DAY	
78	01/05/2009	11:28:45	11:28:43	STEW	B	P	5,663	SOEN	0.2000									
79	01/05/2009	14:46:10	14:46:10	STEW	S	P	25,000	GSRE	0.0037	01/05/2009	14:34:00	STEW	SL	200,000	GSRE	0.0037	DAY	
80	01/05/2009	14:46:16	14:46:16	STEW	S	P	20,000	GSRE	0.0037									
81	01/06/2009	10:56:14	10:56:14	STEW	B	P	27,500	XOHO	0.2000	01/06/2009	09:45:00	STEW	B	400,000	XOHO	0.2000	DAY	
82	01/06/2009	10:40:18	10:40:18	STEW	B	P	1,700	IMCX	0.0013	01/02/2009	08:51:07	STEW	B	300,000	IMCX	0.0013	GTD	
83	01/07/2009	14:20:06	14:20:06	STEW	B	P	530	MSIGY	13.5500	01/07/2009	14:13:38	STEW	B	1,168	MSIGY	14.3800	DAY	
84	01/08/2009	14:48:25	14:48:25	STEW	B	P	200	DMNOY	2.2000	01/08/2009	10:16:07	STEW	B	100	DMNOY	2.2000	GTC	
85	01/13/2009	09:30:12	09:30:12	STEW	B	P	200	LVMUY	12.1000	01/13/2009	07:57:33	STEW	B	209	LVMUY	12.1000	GTC	
86	01/15/2009	15:43:08	15:43:07	STEW	B	P	2,500	CANUY	2.1000	01/15/2009	10:30:44	STEW	B	5,000	CANUY	2.2000	DAY	
										01/15/2009	10:32:52	STEW	B	4,000	CANUY	2.1000	DAY	
87	01/22/2009	12:53:27	12:53:27	STEW	B	P	200	MSIGY	12.9400	01/22/2009	12:50:29	STEW	B	3,097	MSIGY	13.4800	DAY	
88	01/22/2009	12:54:11	12:54:11	STEW	B	P	200	MSIGY	12.9400									
89	01/26/2009	11:32:41	11:31:02	STEW	S	P	13,000	SCUEF	0.0100	01/23/2009	14:02:27	STEW	SL	13,000	SCUEF	0.0100	GTC	
90	01/27/2009	13:52:23	13:52:23	STEW	S	P	250	AUTNF	16.2000	01/26/2009	09:13:24	STEW	SL	1,800	AUTNF	15.5000	GTC	
91	01/28/2009	10:02:50	10:02:49	STEW	S	P	231	TMRAY	3.6000	01/26/2009	07:37:16	STEW	SL	176	TMRAY	3.6000	GTC	
92	01/28/2009	10:37:33	10:37:33	STEW	B	P	5,000	DANKY	0.0700	01/28/2009	10:34:30	STEW	B	80,000	DANKY	0.0700	DAY	
93	01/28/2009	10:37:35	10:37:35	STEW	B	P	23,475	DANKY	0.0700									
94	01/28/2009	11:34:52	11:34:52	STEW	S	P	3,000	GDOCF	0.8100	01/15/2009	08:28:33	STEW	SL	3,000	GDOCF	0.8000	GTC	
95	02/04/2009	12:20:58	12:20:58	STEW	B	P	35,000	GNTA	0.0158	02/04/2009	12:20:05	STEW	B	35,000	GNTA	0.0158	DAY	

Collins Stewart LLC ("STEW")
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Part I: Triggering Transaction Details										Part II: Order Details								
Number	Trade Report Date	Trade Report Time	Execution Time	MPID	Side	Capacity	Trade Vol	Issue Symbol	Trade Price	Order Received Date	Order Received Time	MPID	Order to Buy/Sell	Quantity	Issue Symbol	Limit Price	TIF	
96	02/05/2009	13:21:49	13:21:49	STEW	B	P	967	SGAMY	2.9600	02/05/2009	12:31:23	STEW	B	576	SGAMY	3.0200	DAY	
97	02/06/2009	15:15:36	15:15:35	STEW	B	P	459	EXPGY	6.7500	02/06/2009	12:58:00	STEW	B	21,105	EXPGY	6.7500	DAY	
98	02/17/2009	11:35:45	11:35:45	STEW	B	P	218	ISNPY	15.9000	02/17/2009	11:28:22	STEW	B	2,000	ISNPY	15.9500	DAY	
99	02/20/2009	15:04:28	15:04:28	STEW	B	P	5,000	SLGLF	0.0100	02/18/2009	10:19:24	STEW	B	50,000	SLGLF	0.0100	GTC	
100	02/20/2009	15:41:22	15:41:22	STEW	B	P	58,000	WNBD	0.0080	02/20/2009	10:35:49	STEW	B	200,000	WNBD	0.0080	DAY	
101	02/24/2009	15:22:15	15:22:15	STEW	S	P	10,000	BIOHF	0.0150	02/24/2009	14:03:09	STEW	SL	42,000	BIOHF	0.0150	DAY	
102	03/02/2009	09:31:25	09:31:25	STEW	S	P	5,000	VCTPF	0.0800	03/02/2009	09:10:50	STEW	SL	40,000	VCTPF	0.0800	DAY	
103	03/02/2009	13:28:06	13:28:06	STEW	B	P	500	CXCHF	10.0500	03/02/2009	11:31:34	STEW	B	500	CXCHF	10.3000	DAY	
104	03/03/2009	13:35:04	13:35:04	STEW	B	P	200	AHBIF	23.5000	03/03/2009	12:15:00	STEW	B	300	AHBIF	24.1000	DAY	
105	03/05/2009	10:40:44	10:40:44	STEW	S	P	10,000	SEOAY	3.7500	03/05/2009	10:35:49	STEW	SL	50,000	SEOAY	3.7500	DAY	
106	03/09/2009	09:32:28	09:32:28	STEW	B	P	1,800	AUTNF	15.8500	03/06/2009	10:44:44	STEW	B	1,000	AUTNF	16.5300	GTC	
107	03/09/2009	15:03:24	15:03:24	STEW	B	P	119	ESLOY	16.6600	03/09/2009	15:01:04	STEW	B	192	ESLOY	16.7500	DAY	
108	03/12/2009	12:53:54	12:53:54	STEW	B	P	882	CANUY	8.5000	03/12/2009	12:16:37	STEW	B	5,000	CANUY	9.0000	DAY	
109	03/17/2009	10:52:22	10:52:22	STEW	S	P	1,516	CAOVF	1.6300	03/17/2009	08:33:53	STEW	SL	6,000	CAOVF	1.5800	DAY	
110	03/18/2009	14:40:12	14:40:12	STEW	S	P	500	SPXCF	3.1500	03/18/2009	12:52:10	STEW	SL	1,000	SPXCF	3.1500	DAY	
111	03/26/2009	15:52:37	15:52:37	STEW	B	P	300,000	UVSE	0.0004	03/26/2009	15:27:06	STEW	B	250,000	UVSE	0.0004	DAY	
112	03/31/2009	11:47:42	11:47:42	STEW	S	P	100	RBGPY	7.7000	03/31/2009	11:25:15	STEW	SL	228	RBGPY	7.5500	DAY	
113	04/01/2009	10:59:20	10:59:20	STEW	S	P	1,000	SLXCF	0.2900	03/19/2009	08:28:14	STEW	SL	20,000	SLXCF	0.2900	GTC	
114	04/02/2009	09:54:14	09:54:14	STEW	B	P	66,000	SLGLF	0.0130	04/02/2009	09:20:52	STEW	B	110,000	SLGLF	0.0130	DAY	
115	04/03/2009	11:54:55	11:54:55	STEW	B	P	1,000	GWPRF	1.0500	04/03/2009	10:00:00	STEW	B	500	GWPRF	1.1500	DAY	
116	04/08/2009	15:35:20	15:35:20	STEW	B	P	170	MSIGY	11.8500	04/08/2009	12:10:05	STEW	B	119	MSIGY	11.9500	DAY	
117	04/13/2009	11:07:34	11:07:33	STEW	B	P	5,000	CRSVF	0.0100	04/13/2009	08:52:01	STEW	B	4,425,000	CRSVF	0.0100	GTC	
118	04/15/2009	09:30:28	09:30:14	STEW	B	P	5,000	CRSVF	0.0140	04/13/2009	15:46:28	STEW	B	2,388,480	CRSVF	0.0150	GTC	
119	04/15/2009	09:30:35	09:30:15	STEW	B	P	50,000	CRSVF	0.0140									
120	04/15/2009	09:31:31	09:31:31	STEW	B	P	25,000	CRSVF	0.0150									
121	04/15/2009	15:57:34	15:57:34	STEW	B	P	6,000	NBFA	0.0400	04/15/2009	14:45:46	STEW	B	200,000	NBFA	0.0400	DAY	
122	04/16/2009	11:40:09	11:40:09	STEW	S	P	10,000	GELYP	0.1300	04/16/2009	10:38:24	STEW	SL	10,000	GELYP	0.1299	DAY	
123	04/17/2009	11:29:21	11:29:19	STEW	B	P	200	HKXCF	11.4000	04/17/2009	09:35:25	STEW	B	19,650	HKXCF	11.4500	DAY	
124	04/24/2009	09:43:15	09:43:15	STEW	S	P	2,400	GBRC	1.3100	04/23/2009	10:21:46	STEW	SL	10,000	GBRC	1.3000	GTC	
125	04/24/2009	10:37:06	10:37:06	STEW	B	P	250,000	SLGLF	0.0110	04/24/2009	10:00:21	STEW	B	300,000	SLGLF	0.0110	DAY	
126	04/24/2009	13:28:47	13:28:47	STEW	B	P	330	MSIGY	12.9400	04/24/2009	12:49:10	STEW	B	564	MSIGY	12.9500	DAY	
127	04/29/2009	12:54:40	12:54:40	STEW	B	P	5,000	MQRSF	1.2500	04/03/2009	10:15:46	STEW	B	12,500	MQRSF	1.2600	GTC	
128	04/29/2009	15:31:38	15:31:38	STEW	B	P	482	SVNDY	43.8500	04/29/2009	12:10:11	STEW	B	236	SVNDY	44.0300	DAY	
129	04/30/2009	14:55:45	14:55:45	STEW	B	P	263	SGAMY	2.3400	04/30/2009	14:18:34	STEW	B	6,495	SGAMY	2.3400	DAY	

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Number	Trade Report Date	Trade Report Time	Execution Time	MPID	Side	Capacity	Trade Vol	Issue Symbol	Trade Price	Order Received Date	Order Received Time	MPID	Order to Buy/Sell	Quantity	Issue Symbol	Limit Price	TIF	
130	05/01/2009	15:16:42	15:16:42	STEW	S	P	500	RHDGF	4.2500	05/01/2009	15:14:53	STEW	SL	10,203	RHDGF	4.0000	DAY	
										05/01/2009	15:14:59	STEW	SL	6,235	RHDGF	4.0000	DAY	
										05/01/2009	15:15:05	STEW	SL	2,225	RHDGF	4.0000	DAY	
131	05/01/2009	15:17:11	15:17:11	STEW	S	P	500	RHDGF	4.1000	05/01/2009	15:14:53	STEW	SL	10,203	RHDGF	4.0000	DAY	
										05/01/2009	15:14:59	STEW	SL	6,235	RHDGF	4.0000	DAY	
										05/01/2009	15:15:05	STEW	SL	2,225	RHDGF	4.0000	DAY	
132	05/04/2009	12:50:10	12:50:10	STEW	B	P	269	SGAMY	2.4000	05/04/2009	12:46:00	STEW	B	1,172	SGAMY	2.4000	DAY	
133	05/07/2009	09:32:08	09:32:08	STEW	B	P	10,000	BYDDF	3.4000	05/05/2009	13:12:32	STEW	B	5,000	BYDDF	3.4000	GTC	
										05/05/2009	10:42:00	STEW	B	1,000	BYDDF	3.4000	GTC	
										05/06/2009	11:08:31	STEW	B	2,000	BYDDF	3.6700	GTC	
										05/06/2009	15:26:24	STEW	B	1,300	BYDDF	3.7000	GTC	
										05/06/2009	15:25:17	STEW	B	2,000	BYDDF	3.7400	GTC	
										05/07/2009	09:28:16	STEW	B	1,000	BYDDF	3.5000	GTC	
134	05/07/2009	09:35:14	09:35:13	STEW	B	P	10,000	MRDAF	0.1400	05/05/2009	10:57:08	STEW	B	25,000	MRDAF	0.1400	GTC	
135	05/07/2009	09:46:40	09:46:40	STEW	B	P	150	RHHBY	31.6800	05/06/2009	15:49:39	STEW	B	800	RHHBY	31.7500	GTC	
136	05/07/2009	15:23:34	15:23:34	STEW	B	P	500	LLXLY	1.2600	05/07/2009	15:22:18	STEW	B	5,500	LLXLY	1.2600	DAY	
137	05/08/2009	15:05:14	15:05:14	STEW	S	P	30,000	GELVF	0.1750	05/08/2009	14:17:11	STEW	SL	50,000	GELVF	0.1700	GTC	
138	05/13/2009	15:21:56	15:21:55	STEW	B	P	3,000	WOSCY	2.0000	05/13/2009	15:19:54	STEW	B	100,000	WOSCY	2.0000	DAY	
139	05/13/2009	15:24:21	15:24:21	STEW	B	P	1,500	WOSCY	2.0000									
140	05/13/2009	15:24:22	15:24:22	STEW	B	P	1,500	WOSCY	2.0000									
141	05/14/2009	12:50:18	12:50:18	STEW	B	P	355	SGAMY	2.6300	05/14/2009	11:44:43	STEW	B	3,533	SGAMY	2.6300	DAY	
142	05/14/2009	15:23:33	15:23:33	STEW	B	P	901	SGAMY	2.6300									
143	05/14/2009	14:37:33	14:37:33	STEW	S	P	2,000	NSATF	0.6200	05/12/2009	09:26:10	STEW	SL	118,500	NSATF	0.6000	GTD	
144	05/19/2009	14:48:33	14:48:33	STEW	B	P	196	SSUMY	9.8000	05/19/2009	10:12:56	STEW	B	297	SSUMY	9.8000	DAY	
145	05/19/2009	15:47:56	15:47:56	STEW	B	P	5,000	CENJF	2.7760	05/19/2009	12:55:40	STEW	B	1,800	CENJF	2.7800	GTC	
146	05/20/2009	11:42:11	11:42:11	STEW	B	P	40,000	SPNG	0.0400	05/20/2009	11:33:52	STEW	B	300,000	SPNG	0.0400	DAY	
147	05/20/2009	11:42:14	11:42:13	STEW	B	P	40,000	SPNG	0.0400									
148	05/20/2009	11:42:14	11:42:13	STEW	B	P	10,000	SPNG	0.0400									
149	05/20/2009	11:42:16	11:42:16	STEW	B	P	12,100	SPNG	0.0400									
150	05/20/2009	12:05:57	12:05:57	STEW	S	P	20,000	SPNG	0.0420	05/20/2009	12:05:30	STEW	SL	300,000	SPNG	0.0420	DAY	
151	05/20/2009	12:06:30	12:06:30	STEW	S	P	5,000	SPNG	0.0420									
152	05/21/2009	10:43:01	10:43:00	STEW	B	P	2,000	MMTIF	1.2500	05/21/2009	10:41:46	STEW	B	2,000	MMTIF	1.2500	DAY	
153	05/21/2009	12:39:49	12:39:49	STEW	B	P	65,000	SRSR	0.0420	05/21/2009	12:32:18	STEW	B	66,000	SRSR	0.0420	GTC	
154	05/21/2009	15:32:35	15:32:35	STEW	B	P	252	NILSY	10.8400	05/21/2009	15:00:43	STEW	B	1,000	NILSY	10.8400	DAY	
155	05/22/2009	12:16:14	12:16:14	STEW	S	P	5,000	FBTXQ	0.0180	05/22/2009	08:26:14	STEW	SL	90,000	FBTXQ	0.0180	GTD	

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156	05/26/2009	09:59:10	09:59:10	STEW	S	P	55,333	GMDTF	0.1500	05/26/2009	09:57:20	STEW	SL	75,000	GMDTF	0.1500	DAY
157	05/26/2009	11:47:18	11:47:18	STEW	B	P	500	MYSL	1.1800	05/26/2009	11:45:40	STEW	B	50,000	MYSL	1.1800	DAY
158	05/26/2009	11:48:29	11:48:29	STEW	B	P	10,000	MYSL	1.1800								
159	05/26/2009	12:18:20	12:18:18	STEW	B	P	347	SGAMY	2.9200	05/26/2009	11:32:47	STEW	B	3,366	SGAMY	2.9200	DAY
160	05/26/2009	13:54:42	13:54:42	STEW	B	P	330	MSIGY	14.7700	05/26/2009	13:21:14	STEW	B	241	MSIGY	14.7900	DAY
161	05/27/2009	13:11:06	13:11:06	STEW	B	P	450	SGAMY	2.8300	05/27/2009	13:03:40	STEW	B	1,086	SGAMY	2.8300	DAY
162	05/27/2009	13:52:16	13:52:16	STEW	B	P	118	SCGLY	11.3700	05/27/2009	12:57:06	STEW	B	174	SCGLY	11.4100	DAY
163	05/27/2009	15:41:54	15:41:53	STEW	B	P	20,000	ARAFF	0.5250	05/27/2009	09:18:47	STEW	B	10,000	ARAFF	0.5300	DAY
										05/27/2009	13:49:20	STEW	B	2,000	ARAFF	0.5650	DAY
										05/27/2009	15:40:47	STEW	B	5,000	ARAFF	0.6000	DAY
164	05/28/2009	14:46:20	14:46:20	STEW	B	P	95,000	WNBD	0.0040	05/28/2009	09:20:18	STEW	B	100,000	WNBD	0.0040	DAY
165	05/29/2009	11:09:44	11:09:44	STEW	S	P	10,000	SPXCF	5.0000	05/29/2009	10:55:10	STEW	SL	75,000	SPXCF	4.9000	GTC
166	06/01/2009	10:52:28	10:52:28	STEW	B	P	100	SDRLF	14.8500	06/01/2009	09:47:51	STEW	B	1,000	SDRLF	15.0000	DAY
167	06/01/2009	13:46:50	13:46:50	STEW	B	P	10,000	MDMN	0.0253	06/01/2009	12:17:48	STEW	B	75,000	MDMN	0.0300	DAY
168	06/01/2009	14:48:03	14:48:03	STEW	B	P	190	ECIFY	10.4000	06/01/2009	11:31:49	STEW	B	137	ECIFY	10.4000	DAY
169	06/02/2009	15:55:51	15:55:51	STEW	S	P	10,000	MYMNF	0.3600	05/21/2009	08:15:01	STEW	SL	100	MYMNF	0.3500	GTC
										05/21/2009	08:15:01	STEW	SL	100	MYMNF	0.3600	GTC
170	06/03/2009	14:54:23	14:54:23	STEW	S	P	10,000	QBRWF	0.0300	06/03/2009	13:08:41	STEW	SL	200,000	QBRWF	0.0300	GTC
171	06/03/2009	13:35:23	13:35:23	STEW	S	P	5,000	CENJF	2.8300	06/02/2009	10:19:19	STEW	SL	10,000	CENJF	2.8000	GTC
172	06/08/2009	09:30:39	09:30:39	STEW	B	P	106	NTDOY	32.6100	06/08/2009	09:29:07	STEW	B	750	NTDOY	32.7000	GTC
										06/08/2009	09:29:53	STEW	B	1,900	NTDOY	32.7000	GTC
173	06/08/2009	09:30:39	09:30:39	STEW	B	P	287	GVDNY	12.9100	06/08/2009	08:25:32	STEW	B	1,000	GVDNY	13.0000	DAY
174	06/08/2009	09:30:57	09:30:56	STEW	B	P	500	WMMVF	2.8800	06/05/2009	14:36:58	STEW	B	5,000	WMMVF	2.8800	GTC
175	06/08/2009	09:33:37	09:33:36	STEW	B	P	10,000	QBRWF	0.0300	06/05/2009	15:40:04	STEW	B	10,000	QBRWF	0.0300	GTC
176	06/09/2009	10:23:41	10:23:38	STEW	B	P	1,000	GMGMQ	1.7200	06/09/2009	10:23:10	STEW	B	157,000	GMGMQ	1.7300	DAY
177	06/09/2009	10:25:18	10:25:17	STEW	B	P	5,000	GMGMQ	1.7200								
178	06/09/2009	15:40:12	15:40:12	STEW	S	P	300	HTGLF	10.0000	06/09/2009	13:19:14	STEW	SL	10,000	HTGLF	9.8000	DAY
179	06/09/2009	15:49:41	15:49:41	STEW	S	P	10,000	CEMJQ	0.3200	06/09/2009	15:46:24	STEW	SL	175,000	CEMJQ	0.3200	DAY
180	06/11/2009	13:28:46	13:28:46	STEW	S	P	4,500	SCRWF	1.8300	06/11/2009	13:24:14	STEW	SL	10,000	SCRWF	1.8300	GTC
181	06/12/2009	13:40:50	13:40:50	STEW	S	P	2,500	GMGMQ	1.1100	06/12/2009	13:36:22	STEW	SL	40,700	GMGMQ	1.1100	DAY
182	06/12/2009	13:41:19	13:41:19	STEW	S	P	2,500	GMGMQ	1.1100								
183	06/12/2009	13:41:51	13:41:51	STEW	S	P	1,000	GMGMQ	1.1100								
184	06/12/2009	14:27:40	14:27:40	STEW	S	P	5,000	SPNG	0.1500	06/12/2009	14:25:23	STEW	SL	100,000	SPNG	0.1500	DAY
										06/12/2009	14:26:26	STEW	SL	25,000	SPNG	0.1500	DAY

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185	06/12/2009	14:27:56	14:27:56	STEW	S	P	5,000	SPNG	0.1500	06/12/2009	14:25:23	STEW	SL	100,000	SPNG	0.1500	DAY	
										06/12/2009	14:26:26	STEW	SL	25,000	SPNG	0.1500	DAY	
186	06/15/2009	14:56:29	14:56:29	STEW	S	P	35,000	WNBD	0.0220	06/15/2009	14:55:46	STEW	SL	100,000	WNBD	0.0220	DAY	
										06/15/2009	14:18:32	STEW	SL	250,000	WNBD	0.0220	GTC	
187	06/16/2009	10:58:25	10:58:25	STEW	S	P	25,000	BRCI	0.0500	06/16/2009	10:56:34	STEW	SL	25,000	BRCI	0.0500	GTC	
188	06/16/2009	14:48:37	14:48:37	STEW	S	P	1,000	BYDDF	3.9500	06/16/2009	14:27:37	STEW	SL	1,500	BYDDF	3.9500	DAY	
189	06/24/2009	10:14:18	10:14:18	STEW	B	P	280,000	GNTA	0.0087	06/24/2009	10:10:25	STEW	B	300,000	GNTA	0.0087	DAY	
190	06/24/2009	15:46:40	15:46:40	STEW	S	P	5,000	GMGMQ	1.1100	06/24/2009	15:00:40	STEW	SL	40,000	GMGMQ	1.1100	DAY	
191	06/30/2009	10:58:53	10:58:53	STEW	S	P	16,600	QBRWF	0.0205	06/30/2009	10:42:04	STEW	SL	270,000	QBRWF	0.0200	DAY	
192	06/30/2009	11:01:54	11:01:54	STEW	S	P	72,900	QBRWF	0.0205									
193	07/06/2009	11:51:00	11:51:00	STEW	S	P	5,000	NNLX	0.3500	07/06/2009	11:12:47	STEW	SL	3,000	NNLX	0.3500	DAY	
194	07/07/2009	15:02:24	15:02:24	STEW	B	P	346	ENLAY	4.5000	07/07/2009	14:10:30	STEW	B	1,000	ENLAY	4.5600	DAY	
195	07/08/2009	15:45:39	15:45:39	STEW	B	P	250	IRVSF	4.1500	06/29/2009	08:15:02	STEW	B	100	IRVSF	4.5000	GTC	
196	07/14/2009	13:43:54	13:43:54	STEW	B	P	2,000	AGQNF	2.8300	07/14/2009	13:39:35	STEW	B	2,000	AGQNF	2.8300	DAY	
197	07/15/2009	09:30:19	09:30:16	STEW	S	P	169	LKREF	2.3500	07/15/2009	07:57:19	STEW	SL	3,000	LKREF	2.3000	GTC	
198	07/15/2009	11:01:30	11:01:30	STEW	S	P	500	LKREF	2.3500									
199	07/16/2009	09:30:51	09:30:51	STEW	S	P	10,000	GELF	0.2500	07/15/2009	12:03:35	STEW	SL	20,000	GELF	0.2400	GTC	
200	07/16/2009	10:21:53	10:21:53	STEW	B	P	5,000	ADLS	0.5000	07/16/2009	09:58:50	STEW	B	10,000	ADLS	0.5000	DAY	
201	07/17/2009	09:30:56	09:30:54	STEW	B	P	10,000	MTLQQ	0.3300	07/16/2009	10:07:27	STEW	B	10,000	MTLQQ	0.3400	GTC	
202	07/17/2009	12:04:42	12:04:42	STEW	S	P	120	NSRGY	40.3900	07/17/2009	11:41:43	STEW	SL	100	NSRGY	40.3400	DAY	
203	07/17/2009	15:30:14	15:30:14	STEW	B	P	572	STBUY	4.7400	07/17/2009	13:28:09	STEW	B	135	STBUY	4.8700	DAY	
204	07/17/2009	15:46:54	15:46:54	STEW	B	P	250,000	WNBD	0.0165	07/17/2009	15:44:35	STEW	B	250,000	WNBD	0.0165	DAY	
205	07/20/2009	09:33:44	09:33:44	STEW	S	P	166	GDFZY	37.1500	07/16/2009	08:15:01	STEW	SL	1,500	GDFZY	37.0000	GTC	
206	07/20/2009	13:13:39	13:13:39	STEW	S	P	1,000	HBCYF	9.3200	07/15/2009	07:57:15	STEW	SL	5,000	HBCYF	9.0000	GTC	
207	07/20/2009	14:46:41	14:46:41	STEW	B	P	170	ESLOY	25.9900	07/20/2009	14:32:00	STEW	B	150	ESLOY	26.0000	DAY	
208	07/20/2009	15:12:06	15:12:06	STEW	S	P	5,000	SOIGF	0.7500	07/20/2009	15:00:58	STEW	SL	98,400	SOIGF	0.7500	DAY	
209	07/20/2009	15:12:19	15:12:19	STEW	S	P	5,000	SOIGF	0.7500									
210	07/21/2009	09:40:08	09:40:07	STEW	B	P	50,000	SLGLF	0.0188	07/21/2009	09:35:23	STEW	B	350,000	SLGLF	0.0190	DAY	
211	07/22/2009	14:42:36	14:42:36	STEW	B	P	730	CXCHF	14.7000	07/22/2009	08:53:06	STEW	B	100	CXCHF	15.0000	GTC	
212	07/27/2009	09:30:17	09:30:10	STEW	S	P	1,000	KPEQF	6.6500	06/26/2009	09:54:12	STEW	SL	2,000	KPEQF	6.5000	GTC	
213	07/27/2009	09:30:42	09:30:38	STEW	B	P	241	LVMUY	17.4100	07/27/2009	07:55:20	STEW	B	123	LVMUY	17.8000	DAY	
214	07/27/2009	09:33:19	09:33:17	STEW	B	P	2,500	ADLS	0.7500	07/27/2009	09:33:08	STEW	B	5,000	ADLS	1.7300	DAY	
215	07/27/2009	14:23:23	14:23:23	STEW	B	P	2,400	VCVOF	1.7000	07/27/2009	12:44:02	STEW	B	8,000	VCVOF	1.7600	GTC	
216	07/27/2009	14:23:32	14:23:32	STEW	B	P	6,000	VCVOF	1.6500	07/27/2009	12:44:02	STEW	B	8,000	VCVOF	1.7600	GTC	
										07/27/2009	13:45:11	STEW	B	15,000	VCVOF	1.6900	GTC	

Collins Stewart LLC ("STEW")
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Part I: Triggering Transaction Details										Part II: Order Details							
Number	Trade Report Date	Trade Report Time	Execution Time	MPID	Side	Capacity	Trade Vol	Issue Symbol	Trade Price	Order Received Date	Order Received Time	MPID	Order to Buy/Sell	Quantity	Issue Symbol	Limit Price	TIF
217	07/29/2009	12:15:10	12:15:10	STEW	B	P	331	STBUY	5.1600	07/29/2009	11:55:30	STEW	B	172	STBUY	5.2500	DAY
218	07/29/2009	15:23:13	15:23:13	STEW	B	P	1,732	STBUY	5.1100	07/29/2009	15:14:58	STEW	B	538	STBUY	5.2200	DAY
219	07/30/2009	12:59:27	12:59:27	STEW	B	P	5,000	WNBD	0.0149	07/30/2009	12:56:59	STEW	B	300,000	WNBD	0.0149	GTC
220	07/30/2009	13:06:46	13:06:46	STEW	S	P	10,000	BKYI	0.1200	07/30/2009	09:51:23	STEW	SL	10,000	BKYI	0.1200	DAY
221	07/31/2009	14:27:27	14:27:27	STEW	B	P	696	BGAOY	7.1500	07/31/2009	13:30:08	STEW	B	1,109	BGAOY	7.1900	DAY
222	08/03/2009	15:05:10	15:05:10	STEW	S	P	3,000	LYSCF	0.3750	08/03/2009	13:31:59	STEW	SL	20,000	LYSCF	0.3700	GTC
223	08/03/2009	15:32:52	15:32:52	STEW	S	P	900	LYSCF	0.3750								
224	08/03/2009	15:35:09	15:35:09	STEW	S	P	1,000	LYSCF	0.3750								
225	08/03/2009	15:37:53	15:37:53	STEW	S	P	1,000	LYSCF	0.3750								
226	08/04/2009	10:52:33	10:52:32	STEW	B	P	50,000	XYNH	0.0052	08/04/2009	10:50:27	STEW	B	300,000	XYNH	0.0052	DAY
227	08/04/2009	10:52:33	10:52:33	STEW	B	P	150,000	XYNH	0.0052								
228	08/04/2009	12:11:09	12:11:09	STEW	S	P	500	LYSCF	0.3750	08/03/2009	13:31:59	STEW	SL	20,000	LYSCF	0.3700	GTC
229	08/04/2009	12:21:05	12:21:04	STEW	B	P	5,000	WNBD	0.0145	08/04/2009	12:07:58	STEW	B	1,000,000	WNBD	0.0145	DAY
230	08/05/2009	12:36:26	12:36:26	STEW	B	P	400,000	XYNH	0.0054	08/05/2009	11:06:47	STEW	B	400,000	XYNH	0.0054	DAY
231	08/05/2009	14:34:12	14:34:12	STEW	S	P	500	NADVF	1.6000	08/05/2009	13:32:17	STEW	SL	10,000	NADVF	1.6000	DAY
232	08/06/2009	13:33:28	13:33:28	STEW	B	P	447	SGAMY	3.2300	08/06/2009	12:27:41	STEW	B	920	SGAMY	3.2300	DAY
233	08/07/2009	15:34:23	15:34:23	STEW	S	P	5,000	BLGM	0.0400	08/07/2009	15:33:41	STEW	SL	30,000	BLGM	0.0400	DAY
234	08/10/2009	09:33:02	09:33:02	STEW	B	P	8,475	ARAFF	0.4100	08/10/2009	08:15:03	STEW	B	5,000	ARAFF	0.4100	DAY
235	08/10/2009	15:35:11	15:35:11	STEW	S	P	5,000	SYNJ	0.0031	08/10/2009	15:31:30	STEW	SL	1,000,000	SYNJ	0.0031	DAY
236	08/10/2009	15:46:41	15:46:40	STEW	S	P	522,500	SYNJ	0.0030	08/10/2009	15:45:37	STEW	SL	2,000,000	SYNJ	0.0030	DAY
237	08/10/2009	15:46:40	15:46:40	STEW	S	P	522,500	SYNJ	0.0030								
238	08/11/2009	12:19:59	12:19:59	STEW	B	P	4,325	LVMUY	17.6000	08/11/2009	12:17:40	STEW	B	200	LVMUY	17.6500	DAY
239	08/11/2009	15:31:23	15:31:23	STEW	S	P	500	UUGRY	14.7500	08/11/2009	14:53:38	STEW	SL	41,025	UUGRY	14.7500	DAY
240	08/12/2009	11:03:55	11:03:55	STEW	B	P	2,000	LYSCF	0.3500	07/23/2009	09:00:19	STEW	B	1,000	LYSCF	0.3500	GTC
										07/24/2009	12:28:28	STEW	B	500	LYSCF	0.3500	GTC
										08/05/2009	08:23:56	STEW	B	3,000	LYSCF	0.3550	GTC
										08/10/2009	08:15:01	STEW	B	6,000	LYSCF	0.3600	GTC
241	08/12/2009	12:10:28	12:10:28	STEW	B	P	1,428,600	ARIO	0.0001	08/10/2009	09:52:51	STEW	B	10,000,000	ARIO	0.0001	GTC
242	08/12/2009	14:33:45	14:33:45	STEW	B	P	2,500	WOSCY	2.3500	08/12/2009	14:31:12	STEW	B	1,000	WOSCY	2.3500	GTC
243	08/13/2009	14:48:26	14:48:26	STEW	S	P	1,000	TOSBF	4.9500	08/13/2009	10:23:01	STEW	SL	1,500	TOSBF	4.9500	DAY
244	08/31/2009	15:53:56	15:53:56	STEW	S	P	82,800	BIEL	0.0680	08/31/2009	15:44:03	STEW	SL	200,000	BIEL	0.0678	DAY
245	10/28/2009	11:03:44	11:03:44	STEW	S	P	500	KEME	1.0500	10/28/2009	10:59:31	STEW	SL	10,000	KEME	1.0500	DAY
246	10/28/2009	11:03:44	11:03:44	STEW	S	P	8,800	KEME	1.0500								

Collins Stewart LLC ("STEW")
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Part I: Triggering Transaction Details										Part II: Order Details									
Number	Trade Report Date	Trade Report Time	Execution Time	MPID	Side	Capacity	Trade Vol	Issue Symbol	Trade Price	Order Received Date	Order Received Time	MPID	Order to Buy/Sell	Quantity	Issue Symbol	Limit Price	TIF	Restitution Amount	
1	11/12/2008	09:48:09	09:48:08	STEW	B	P	5,000	DNYFF	0.0080	11/05/2008	09:47:54	STEW	B	100,000	DNYFF	0.0100	GTC	\$10.00	
										11/06/2008	11:10:11	STEW	B	60,000	DNYFF	0.0100	GTC	N/A	
2	11/12/2008	12:55:37	12:55:37	STEW	B	P	900	KPELF	3.0000	11/10/2008	09:02:07	STEW	B	1,000	KPELF	3.1000	GTC	\$90.00	
3	11/18/2008	12:02:33	12:02:33	STEW	B	P	108	SCGLY	8.9300	11/18/2008	11:52:12	STEW	B	117	SCGLY	8.9700	DAY	\$4.32	
4	11/18/2008	14:05:30	14:05:30	STEW	B	P	200	INBVF	36.2500	11/18/2008	12:28:15	STEW	B	150	INBVF	37.3500	DAY	\$165.00	
5	11/19/2008	12:01:36	12:01:36	STEW	B	P	500	SDRLF	7.1000	10/30/2008	07:25:06	STEW	B	1,000	SDRLF	7.6000	GTC	\$250.00	
6	11/19/2008	14:12:54	14:12:54	STEW	B	P	1,000	BCKBF	0.0200	11/18/2008	13:37:17	STEW	B	9,000	BCKBF	0.0300	GTC	\$10.00	
										11/19/2008	14:12:32	STEW	B	50,000	BCKBF	0.0300	GTC	N/A	
7	11/20/2008	10:56:13	10:56:13	STEW	S	P	675	WOSLY	3.8700	11/20/2008	09:50:31	STEW	SL	700	WOSLY	3.8200	DAY	N/A	
8	11/20/2008	11:01:23	11:01:23	STEW	S	P	525	WOSLY	3.9000									\$31.50	
9	11/20/2008	11:32:18	11:32:18	STEW	S	P	230	WOSLY	3.9000									\$10.50	
10	11/20/2008	11:18:45	11:18:45	STEW	B	P	10,000	VTOPF	0.8000	11/17/2008	11:47:43	STEW	B	5,000	VTOPF	0.9000	GTC	\$500.00	
11	11/20/2008	13:39:05	13:39:05	STEW	S	P	30,000	UVSE	0.0006	11/20/2008	12:04:21	STEW	SL	1,800,000	UVSE	0.0006	GTC	\$1.50	
12	11/20/2008	15:45:00	15:44:59	STEW	B	P	10,000	ATTUF	0.1700	11/20/2008	12:45:59	STEW	B	100,000	ATTUF	0.1800	GTD	\$100.00	
13	11/28/2008	09:35:05	09:35:05	STEW	B	P	6,800	VMHIF	0.0031	11/28/2008	09:23:55	STEW	B	1,000,000	VMHIF	0.0035	DAY	\$2.72	
14	12/03/2008	13:02:13	13:02:13	STEW	B	P	3,451	LVMUY	10.8500	12/03/2008	11:45:02	STEW	B	1,000	LVMUY	11.0000	GTC	\$100.00	
15	12/08/2008	12:11:44	12:11:44	STEW	B	P	35,000	BCGYF	0.0300	11/25/2008	15:33:58	STEW	B	100,000	BCGYF	0.0400	GTC	\$350.00	
16	12/08/2008	12:50:51	12:50:51	STEW	B	P	2,000	BCKBF	0.0400	12/05/2008	08:03:09	STEW	B	43,200	BCKBF	0.0500	GTC	\$20.00	
17	12/10/2008	14:16:09	14:16:09	STEW	B	P	20,000	NBBTF	0.1450	11/04/2008	09:26:34	STEW	B	19,000	NBBTF	0.1600	GTC	\$285.00	
										12/03/2008	14:42:47	STEW	B	10,000	NBBTF	0.1500	GTC	N/A	
18	12/16/2008	15:01:15	15:01:15	STEW	B	P	2,000	SUNV	0.3000	12/16/2008	10:59:33	STEW	B	250,000	SUNV	0.3100	DAY	\$20.00	
19	12/16/2008	15:46:30	15:46:30	STEW	B	P	6,000	SUNV	0.3000									\$60.00	
20	12/18/2008	15:13:59	15:13:59	STEW	B	P	2,500	CICHF	0.5800	12/18/2008	10:40:10	STEW	B	10,000	CICHF	0.5850	DAY	\$12.50	
21	12/19/2008	09:38:43	09:38:43	STEW	B	P	1,000	BCKBF	0.0400	12/18/2008	08:56:06	STEW	B	40,000	BCKBF	0.0450	GTC	\$5.00	
22	12/19/2008	15:51:27	15:51:27	STEW	B	P	1,000	WGAT	0.3110	12/19/2008	15:01:52	STEW	B	115,000	WGAT	0.3200	GTC	\$9.00	
23	12/19/2008	15:52:13	15:52:13	STEW	B	P	167	SZEVY	8.5000	12/19/2008	12:36:11	STEW	B	500	SZEVY	9.0000	DAY	\$83.50	
24	12/23/2008	13:25:08	13:25:08	STEW	S	P	10,000	CCBEF	0.2125	12/23/2008	13:17:02	STEW	SL	42,518	CCBEF	0.2000	DAY	\$25.00	
25	12/26/2008	13:02:25	13:02:25	STEW	S	P	1,500	BCKBF	0.0800	12/22/2008	14:07:07	STEW	SL	6,250	BCKBF	0.0600	GTC	\$30.00	
26	12/26/2008	13:52:30	13:52:30	STEW	S	P	8,800	NSOL	0.0120	12/26/2008	13:51:08	STEW	SL	122,378	NSOL	0.0100	DAY	\$1.60	
27	12/29/2008	15:10:24	15:10:24	STEW	B	P	10,000	SEOAY	7.7000	12/29/2008	15:06:06	STEW	B	23,971	SEOAY	7.8600	DAY	\$100.00	
28	12/30/2008	09:55:08	09:55:08	STEW	B	P	10,000	OTTEF	0.0900	10/24/2008	13:42:18	STEW	B	10,000	OTTEF	0.1000	GTC	\$100.00	
29	01/02/2009	14:29:13	14:29:11	STEW	B	P	2,000	SEOAY	8.1800	01/02/2009	14:28:02	STEW	B	42,146	SEOAY	8.2500	DAY	\$384.84	
30	01/02/2009	14:29:30	14:29:29	STEW	B	P	5,000	SEOAY	8.1900										
31	01/02/2009	14:29:38	14:29:37	STEW	B	P	2,500	SEOAY	8.1900										

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32	01/02/2009	14:30:42	14:30:41	STEW	B	P	7,500	SEOAY	8.1900										
33	01/02/2009	14:31:11	14:31:10	STEW	B	P	3,665	SEOAY	8.1800										
34	01/02/2009	14:32:17	14:32:16	STEW	B	P	900	SEOAY	8.1800										
35	01/02/2009	14:33:51	14:33:50	STEW	B	P	5,000	SEOAY	8.1900										
36	01/02/2009	14:34:03	14:34:02	STEW	B	P	5,000	SEOAY	8.1900										
37	01/02/2009	14:34:12	14:34:11	STEW	B	P	2,500	SEOAY	8.1900										
38	01/02/2009	14:32:08	14:32:07	STEW	B	P	500	SKHSY	8.8200	01/02/2009	14:28:21	STEW	B	16,510	SKHSY	8.8800	DAY	\$30.00	
39	01/02/2009	14:32:40	14:32:39	STEW	B	P	380	STBUY	5.9300	01/02/2009	14:25:09	STEW	B	19,393	STBUY	5.9400	DAY	\$3.80	
40	01/05/2009	11:17:53	11:17:53	STEW	S	P	5,000	RBGPY	7.6300	01/05/2009	09:47:31	STEW	SL	73,845	RBGPY	7.6000	DAY	\$1,900.00	
41	01/05/2009	11:18:13	11:18:13	STEW	S	P	5,000	RBGPY	7.6500										
42	01/05/2009	11:18:53	11:18:52	STEW	S	P	5,000	RBGPY	7.6500										
43	01/05/2009	11:20:26	11:20:26	STEW	S	P	5,000	RBGPY	7.6500										
44	01/05/2009	11:20:51	11:20:51	STEW	S	P	10,000	RBGPY	7.6500										
45	01/05/2009	11:21:28	11:21:28	STEW	S	P	20,000	RBGPY	7.6500										
46	01/06/2009	10:55:40	10:55:40	STEW	B	P	1,470	MSIGY	13.8600	01/06/2009	10:24:18	STEW	B	3,355	MSIGY	14.0500	DAY	\$279.30	
47	01/07/2009	10:26:46	10:26:46	STEW	S	P	200	BAYRY	59.3000	01/07/2009	10:24:41	STEW	SL	10,000	BAYRY	59.2500	DAY	\$10.00	
48	01/08/2009	11:24:39	11:24:39	STEW	S	P	50,000	HRAL	0.0340	01/08/2009	09:40:45	STEW	SL	50,000	HRAL	0.0280	GTC	\$30.00	
49	01/08/2009	11:27:10	11:27:10	STEW	S	P	500	CAGC	1.3000	01/08/2009	09:31:22	STEW	SL	24,400	CAGC	1.2900	DAY	\$5.00	
50	01/12/2009	14:20:04	14:20:04	STEW	S	P	10,000	BNTNF	0.2400	01/12/2009	14:16:53	STEW	SL	20,000	BNTNF	0.2300	DAY	\$100.00	
51	01/15/2009	13:51:49	13:51:49	STEW	B	P	300	MSIGY	13.3000	01/15/2009	13:42:56	STEW	B	1,662	MSIGY	13.6200	DAY	\$60.00	
52	01/23/2009	15:17:09	15:17:09	STEW	B	P	247	SCGLY	7.1400	01/23/2009	14:37:40	STEW	B	265	SCGLY	7.1500	DAY	\$2.47	
53	01/26/2009	15:56:13	15:56:13	STEW	S	P	25,000	SSTP	0.0300	01/26/2009	14:43:13	STEW	SL	100,000	SSTP	0.0295	GTC	\$12.50	
54	01/27/2009	14:37:49	14:37:49	STEW	B	P	100	CANUY	2.2000	01/27/2009	11:37:21	STEW	B	4,000	CANUY	2.3500	DAY	\$15.00	
55	01/28/2009	10:21:38	10:21:38	STEW	B	P	5,000	MRDAF	0.1600	01/28/2009	09:17:09	STEW	B	11,500	MRDAF	0.1700	GTC	\$50.00	
56	02/05/2009	15:03:45	15:03:45	STEW	B	P	376	SCGLY	7.8500	02/05/2009	14:19:49	STEW	B	168	SCGLY	7.8700	DAY	\$3.36	
57	02/17/2009	15:25:12	15:25:12	STEW	B	P	50,000	WNBD	0.0080	02/17/2009	14:57:37	STEW	B	500,000	WNBD	0.0085	DAY	\$25.00	
58	02/24/2009	14:23:41	14:23:41	STEW	S	P	10,000	DNSKY	3.2300	02/24/2009	14:21:11	STEW	SL	235,550	DNSKY	3.1500	DAY	\$800.00	
59	02/24/2009	14:23:53	14:23:53	STEW	S	P	10,000	DNSKY	3.2300									\$800.00	
60	02/24/2009	14:24:16	14:24:16	STEW	S	P	50,000	DNSKY	3.2300									\$4,000.00	
61	02/24/2009	14:24:41	14:24:41	STEW	S	P	10,000	DNSKY	3.2100									\$600.00	
62	02/24/2009	14:24:54	14:24:54	STEW	S	P	10,000	DNSKY	3.1800									\$300.00	

Collins Stewart LLC ("STEW")
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Part I: Triggering Transaction Details										Part II: Order Details									Restitution Amount
Number	Trade Report Date	Trade Report Time	Execution Time	MPID	Side	Capacity	Trade Vol	Issue Symbol	Trade Price	Order Received Date	Order Received Time	MPID	Order to Buy/Sell	Quantity	Issue Symbol	Limit Price	TIF		
63	03/02/2009	14:46:38	14:46:38	STEW	B	P	113	TKPHY	19.3000	03/02/2009	14:46:01	STEW	B	74,020	TKPHY	19.5500	DAY	\$28.25	
64	03/02/2009	14:46:40	14:46:40	STEW	B	P	2,000	TKPHY	19.4000									\$300.00	
65	03/02/2009	14:56:32	14:56:32	STEW	B	P	832	TKPHY	19.3500									\$166.40	
66	03/02/2009	15:03:42	15:03:42	STEW	B	P	341	TKPHY	19.4000									\$51.15	
67	03/02/2009	15:06:32	15:06:32	STEW	B	P	153	TKPHY	19.4000									\$22.95	
68	03/02/2009	15:08:43	15:08:43	STEW	B	P	141	TKPHY	19.4000									\$21.15	
69	03/02/2009	15:15:04	15:15:03	STEW	B	P	6,831	TKPHY	19.4000									\$1,024.65	
70	03/02/2009	15:18:57	15:18:57	STEW	B	P	342	TKPHY	19.4000									\$51.30	
71	03/02/2009	15:21:21	15:21:21	STEW	B	P	162	TKPHY	19.4000									\$24.30	
72	03/02/2009	15:26:13	15:26:13	STEW	B	P	113	TKPHY	19.4000									\$16.95	
73	03/02/2009	15:26:24	15:26:24	STEW	B	P	514	TKPHY	19.4500									\$51.40	
74	03/02/2009	15:26:43	15:26:43	STEW	B	P	614	TKPHY	19.4000									\$92.10	
75	03/02/2009	15:28:44	15:28:44	STEW	B	P	108	TKPHY	19.3000									\$27.00	
76	03/02/2009	15:33:58	15:33:56	STEW	B	P	230	TKPHY	19.3000									\$57.50	
77	03/02/2009	15:35:35	15:35:34	STEW	B	P	5,000	TKPHY	19.3000									\$1,250.00	
78	03/02/2009	15:39:56	15:39:56	STEW	B	P	155	TKPHY	19.2500									\$46.50	
79	03/02/2009	15:40:00	15:40:00	STEW	B	P	200	TKPHY	19.2500									\$60.00	
80	03/02/2009	15:42:30	15:42:29	STEW	B	P	4,226	TKPHY	19.2500									\$1,267.80	
81	03/02/2009	15:44:25	15:44:25	STEW	B	P	350	TKPHY	19.2000									\$122.50	
82	03/02/2009	15:49:00	15:49:00	STEW	B	P	154	TKPHY	19.2000									\$53.90	
83	03/02/2009	15:51:47	15:51:47	STEW	B	P	627	TKPHY	19.2500									\$188.10	
84	03/02/2009	15:52:01	15:52:01	STEW	B	P	755	TKPHY	19.3500									\$151.00	
85	03/02/2009	15:52:39	15:52:39	STEW	B	P	260	TKPHY	19.3500									\$52.00	
86	03/02/2009	15:53:04	15:53:02	STEW	B	P	110	TKPHY	19.3500									\$22.00	
87	03/02/2009	15:55:36	15:55:36	STEW	B	P	148	TKPHY	19.4500									\$14.80	
88	03/02/2009	15:55:50	15:55:49	STEW	B	P	210	TKPHY	19.4500									\$21.00	
89	03/03/2009	14:53:53	14:53:53	STEW	B	P	425	SCGLY	5.6100	03/03/2009	14:42:16	STEW	B	154	SCGLY	5.6300	DAY	\$3.08	
90	03/05/2009	10:40:20	10:40:20	STEW	S	P	5,000	SEOAY	3.7600	03/05/2009	10:35:49	STEW	SL	50,000	SEOAY	3.7500	DAY	\$50.00	
91	03/05/2009	10:41:16	10:41:16	STEW	S	P	2,500	SEOAY	3.7700									\$50.00	
92	03/05/2009	10:41:18	10:41:18	STEW	S	P	2,500	SEOAY	3.7700									\$50.00	
93	03/05/2009	10:41:38	10:41:38	STEW	S	P	2,500	SEOAY	3.7700									\$50.00	
94	03/05/2009	10:41:57	10:41:57	STEW	S	P	2,500	SEOAY	3.7700									\$50.00	
95	03/05/2009	10:43:31	10:43:31	STEW	S	P	2,500	SEOAY	3.7700	03/05/2009	10:42:38	STEW	SL	40,000	SEOAY	3.7500	DAY	\$50.00	
96	03/05/2009	10:43:33	10:43:33	STEW	S	P	2,500	SEOAY	3.7700									\$50.00	

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97	03/05/2009	10:43:39	10:43:39	STEW	S	P	2,500	SEOAY	3.7700									\$50.00	
98	03/05/2009	10:43:44	10:43:44	STEW	S	P	2,500	SEOAY	3.7700									\$50.00	
99	03/19/2009	10:09:12	10:09:12	STEW	B	P	2,000	RHHBY	32.1700	03/19/2009	10:06:55	STEW	B	3,807	RHHBY	32.2300	DAY	\$120.00	
100	03/27/2009	13:18:25	13:18:23	STEW	B	P	500	SGAMY	2.3500	03/27/2009	13:14:21	STEW	B	620	SGAMY	2.3600	DAY	\$5.00	
101	04/01/2009	10:21:54	10:21:54	STEW	S	P	5,000	KGPHY	4.4800	04/01/2009	10:19:59	STEW	SL	16,000	KGPHY	4.4500	DAY	\$100.00	
102	04/01/2009	10:24:31	10:24:30	STEW	S	P	2,000	KGPHY	4.4800									\$40.00	
103	04/02/2009	10:53:56	10:53:56	STEW	B	P	5,000	THMR	0.0130	04/02/2009	10:17:46	STEW	B	100,000	THMR	0.0135	DAY	\$2.50	
104	04/02/2009	12:30:01	12:30:01	STEW	S	P	2,000	RHHBY	35.3300	04/02/2009	12:29:39	STEW	SL	5,500	RHHBY	35.2500	DAY	\$160.00	
105	04/08/2009	15:59:14	15:59:13	STEW	B	P	500	AUCAF	0.0500	04/07/2009	08:49:32	STEW	B	15,000	AUCAF	0.0600	GTC	\$5.00	
106	04/15/2009	13:28:36	13:28:36	STEW	B	P	100,000	NBFA	0.0300	04/15/2009	13:28:14	STEW	B	130,000	NBFA	0.0350	DAY	\$500.00	
107	04/15/2009	13:29:56	13:29:56	STEW	S	P	130,000	NBFA	0.0350	04/15/2009	13:28:14	STEW	SL	17,200	NBFA	0.0300	DAY	\$86.00	
108	04/17/2009	11:37:19	11:37:19	STEW	B	P	396	HKXCF	11.4000	04/17/2009	09:35:25	STEW	B	19,650	HKXCF	11.4500	DAY	\$19.80	
109	04/17/2009	14:24:05	14:24:05	STEW	S	P	100	BYDDY	24.3500	04/17/2009	14:23:19	STEW	SL	5,000	BYDDY	24.3000	DAY	\$5.00	
110	04/28/2009	12:54:04	12:54:04	STEW	B	P	200,000	KWBTE	0.0060	04/28/2009	12:52:00	STEW	B	200,000	KWBTE	0.0065	DAY	\$100.00	
111	04/29/2009	11:59:52	11:59:52	STEW	B	P	5,000	EMFP	0.1600	04/29/2009	11:59:08	STEW	B	6,000	EMFP	0.1800	DAY	\$50.00	
112	04/29/2009	14:25:43	14:25:43	STEW	S	P	500	AHBIF	31.2500	04/08/2009	14:08:33	STEW	SL	500	AHBIF	30.3800	GTC	\$435.00	
113	04/29/2009	15:42:46	15:42:46	STEW	B	P	500	ITYBY	45.8500	04/29/2009	13:50:08	STEW	B	2,000	ITYBY	46.0000	GTC	\$75.00	
114	04/30/2009	09:59:51	09:59:51	STEW	B	P	275	RHHBY	31.8500	04/30/2009	09:40:20	STEW	B	156	RHHBY	31.9500	DAY	\$12.48	
115	05/01/2009	14:14:44	14:14:44	STEW	B	P	170	MSIGY	13.0000	05/01/2009	13:19:50	STEW	B	194	MSIGY	13.1700	DAY	\$10.20	
116	05/04/2009	09:41:57	09:41:57	STEW	B	P	40,000	BOARF	0.0900	05/01/2009	15:22:03	STEW	B	20,000	BOARF	0.1000	GTC	\$100.00	
117	05/04/2009	09:50:20	09:50:20	STEW	B	P	11,000	NGLPF	0.5450	05/04/2009	09:41:31	STEW	B	50,000	NGLPF	0.5500	DAY	\$34.00	
118	05/08/2009	14:32:36	14:32:33	STEW	B	P	500	HKXCF	15.1000	05/08/2009	14:32:08	STEW	B	500	HKXCF	15.5500	DAY	\$225.00	
119	05/11/2009	09:56:43	09:56:43	STEW	S	P	5,000	NSRGY	35.3000	05/11/2009	09:55:38	STEW	SL	20,000	NSRGY	35.2500	DAY	\$5.28	
120	05/11/2009	09:56:45	09:56:45	STEW	S	P	5,000	NSRGY	35.3000									\$100.00	
121	05/11/2009	09:57:07	09:57:07	STEW	S	P	5,000	NSRGY	35.3100									\$150.00	
122	05/11/2009	09:57:35	09:57:35	STEW	S	P	100	NSRGY	35.3100									\$3.00	
123	05/12/2009	11:01:57	11:01:57	STEW	B	P	5,000	CONC	0.1450	05/12/2009	11:00:49	STEW	B	48,717	CONC	0.1500	DAY	\$25.00	
124	05/12/2009	11:02:02	11:02:02	STEW	B	P	2,500	CONC	0.1450									\$12.50	
125	05/19/2009	10:12:13	10:12:13	STEW	B	P	5,000	CHBO	0.0055	05/19/2009	08:30:26	STEW	B	100,000	CHBO	0.0056	GTD	N/A	
126	05/27/2009	10:30:21	10:30:21	STEW	B	P	50,000	GNTA	0.0139	05/27/2009	10:23:41	STEW	B	400,000	GNTA	0.0140	DAY	\$5.00	
127	05/27/2009	11:48:22	11:48:21	STEW	B	P	4,000	BYDDF	4.3600	05/27/2009	11:02:09	STEW	B	150	BYDDF	4.4000	GTC	\$6.00	
128	05/28/2009	09:31:07	09:31:05	STEW	B	P	25,000	CEMJQ	0.2740	05/28/2009	08:48:45	STEW	B	160,000	CEMJQ	0.2750	GTC	\$25.00	
129	05/28/2009	09:50:44	09:50:44	STEW	B	P	300,000	GNTA	0.0162	05/28/2009	09:50:41	STEW	B	20,000	GNTA	0.0170	DAY	\$2.00	
130	05/28/2009	14:52:43	14:52:43	STEW	S	P	12,500	GNTA	0.0151	05/28/2009	14:49:23	STEW	SL	1,300,000	GNTA	0.0150	DAY	\$1.25	

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131	05/29/2009	09:35:03	09:35:03	STEW	S	P	50,000	GNTA	0.0120	05/29/2009	09:34:14	STEW	SL	100,000	GNTA	0.0110	DAY	\$40.00
132	05/29/2009	09:35:14	09:35:14	STEW	S	P	50,000	GNTA	0.0117									\$25.00
133	05/29/2009	11:13:31	11:13:31	STEW	S	P	4,000	SPXCF	5.0500	05/29/2009	10:55:10	STEW	SL	75,000	SPXCF	4.9000	GTC	\$600.00
134	05/29/2009	11:56:08	11:56:08	STEW	S	P	500	SCRWF	1.4400	05/27/2009	12:52:45	STEW	SL	27,500	SCRWF	1.4000	GTC	\$20.00
135	06/01/2009	10:10:56	10:10:56	STEW	B	P	35,000	GNTA	0.0133	06/01/2009	10:02:38	STEW	B	50,000	GNTA	0.0135	DAY	\$3.50
136	06/01/2009	13:48:34	13:48:33	STEW	B	P	10,000	MDMN	0.0257	06/01/2009	12:17:48	STEW	B	75,000	MDMN	0.0300	DAY	\$3.00
137	06/01/2009	13:49:09	13:49:09	STEW	B	P	50,000	MDMN	0.0258									\$10.00
138	06/02/2009	14:21:58	14:21:58	STEW	S	P	500	NTDOY	34.7900	06/02/2009	14:05:47	STEW	SL	6,920	NTDOY	34.7700	DAY	\$6.00

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Part I: Triggering Transaction Details										Part II: Order Details									
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139	06/02/2009	14:26:02	14:26:02	STEW	S	P	1,325	SSDOY	16.8500	06/02/2009	14:25:39	STEW	SL	30,346	SSDOY	16.5400	DAY	\$48.75	
140	06/02/2009	14:26:50	14:26:50	STEW	S	P	200	SSDOY	16.8100									\$22.00	
141	06/02/2009	14:27:49	14:27:49	STEW	S	P	2,300	SSDOY	16.8100									\$143.00	
142	06/02/2009	14:29:08	14:29:08	STEW	S	P	2,000	SSDOY	16.7500									\$100.00	
143	06/02/2009	14:29:08	14:29:08	STEW	S	P	2,000	SSDOY	16.7500									\$100.00	
144	06/02/2009	14:29:11	14:29:11	STEW	S	P	500	SSDOY	16.7500									\$25.00	
145	06/02/2009	14:29:13	14:29:13	STEW	S	P	300	SSDOY	16.7500									\$15.00	
146	06/02/2009	14:29:44	14:29:44	STEW	S	P	200	SSDOY	16.7500									\$10.00	
147	06/02/2009	14:30:25	14:30:25	STEW	S	P	2,000	SSDOY	16.7500									\$100.00	
148	06/02/2009	14:30:27	14:30:27	STEW	S	P	500	SSDOY	16.7500									\$25.00	
149	06/02/2009	14:57:29	14:57:29	STEW	B	P	2,500	SSDOY	16.9000	06/02/2009	14:54:30	STEW	B	34,241	SSDOY	16.9700	DAY	\$18.13	
150	06/02/2009	14:58:00	14:58:00	STEW	B	P	200	SSDOY	16.9100									\$12.00	
151	06/02/2009	14:58:09	14:58:09	STEW	B	P	2,300	SSDOY	16.9100									\$138.00	
152	06/02/2009	14:58:25	14:58:25	STEW	B	P	200	SSDOY	16.9300									\$8.00	
153	06/02/2009	14:58:27	14:58:27	STEW	B	P	1,000	SSDOY	16.9300									\$40.00	
154	06/02/2009	14:59:27	14:59:27	STEW	B	P	200	SSDOY	16.9500									\$4.00	
155	06/02/2009	14:59:38	14:59:38	STEW	B	P	2,300	SSDOY	16.9500									\$6.00	
156	06/02/2009	15:42:49	15:42:49	STEW	B	P	600	BYDDF	4.4200	06/02/2009	15:42:04	STEW	B	1,000	BYDDF	4.5000	DAY	\$48.00	
157	06/02/2009	15:59:53	15:59:53	STEW	S	P	1,500	ENLAY	6.3000	06/02/2009	14:18:57	STEW	SL	5,000	ENLAY	6.2500	DAY	\$75.00	
158	06/03/2009	13:15:07	13:15:07	STEW	S	P	50,000	QBRWF	0.0304	06/03/2009	13:08:41	STEW	SL	200,000	QBRWF	0.0300	GTC	\$20.00	
159	06/04/2009	09:50:04	09:50:03	STEW	B	P	5,000	IXOG	0.0500	05/26/2009	09:09:52	STEW	B	200,000	IXOG	0.0550	GTC	\$25.00	
160	06/04/2009	13:40:46	13:40:46	STEW	B	P	200,000	BIEL	0.0077	06/04/2009	13:39:46	STEW	B	325,000	BIEL	0.0080	DAY	\$60.00	
161	06/04/2009	14:39:07	14:39:07	STEW	B	P	181	ROHCY	32.7500	06/04/2009	14:38:17	STEW	B	2,120	ROHCY	32.8500	DAY	\$18.10	
162	06/04/2009	14:50:45	14:50:44	STEW	B	P	31,800	GNTA	0.0100	06/04/2009	11:09:33	STEW	B	400,000	GNTA	0.0101	DAY	\$3.18	
163	06/05/2009	13:40:24	13:40:24	STEW	S	P	6,500	ARAFF	0.6050	06/05/2009	10:00:01	STEW	SL	10,000	ARAFF	0.6000	DAY	\$32.50	
164	06/05/2009	15:26:37	15:26:37	STEW	S	P	200,000	QBRWF	0.0300	06/05/2009	10:27:55	STEW	SL	200,000	QBRWF	0.0298	GTC	\$40.00	
165	06/08/2009	09:35:09	09:35:09	STEW	B	P	2,000	NTDOY	32.5900	06/08/2009	09:29:29	STEW	B	31,800	NTDOY	32.6000	GTC	\$20.00	
166	06/11/2009	11:19:00	11:18:58	STEW	B	P	5,000	SPNG	0.2090	06/11/2009	11:15:42	STEW	B	20,000	SPNG	0.2100	DAY	N/A	
										06/11/2009	11:12:20	STEW	B	10,000	SPNG	0.2100	DAY	\$5.00	
167	06/12/2009	13:45:01	13:45:01	STEW	S	P	500	GMGMQ	1.1050	06/12/2009	13:44:52	STEW	SL	26,304	GMGMQ	1.1000	DAY	\$2.50	
168	06/12/2009	14:02:29	14:02:29	STEW	B	P	5,000	SPNG	0.1079	06/12/2009	14:02:03	STEW	B	6,000	SPNG	0.9900	DAY	\$9.50	
169	06/12/2009	14:26:27	14:26:27	STEW	S	P	5,000	SPNG	0.1501	06/12/2009	14:25:23	STEW	SL	100,000	SPNG	0.1500	DAY	\$0.50	
170	06/12/2009	14:26:31	14:26:31	STEW	S	P	5,000	SPNG	0.1501	06/12/2009	14:25:23	STEW	SL	100,000	SPNG	0.1500	DAY	\$0.50	
171	06/12/2009	14:26:36	14:26:36	STEW	S	P	5,000	SPNG	0.1501	06/12/2009	14:25:23	STEW	SL	100,000	SPNG	0.1500	DAY	\$0.50	

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172	06/12/2009	14:29:55	14:29:55	STEW	S	P	10,000	SPNG	0.1401	06/12/2009	14:26:26	STEW	SL	25,000	SPNG	0.1500	DAY	N/A	
										06/12/2009	14:29:34	STEW	SL	25,000	SPNG	0.1400	DAY	N/A	
										06/12/2009	14:29:39	STEW	SL	6,000	SPNG	0.1400	DAY	N/A	
173	06/12/2009	14:34:18	14:34:18	STEW	S	P	5,000	SPNG	0.1201	06/12/2009	14:34:04	STEW	SL	78,487	SPNG	0.1100	DAY	\$5.50	
174	06/12/2009	14:36:10	14:36:10	STEW	S	P	10,000	SPNG	0.1150									\$27.00	
175	06/12/2009	14:36:50	14:36:49	STEW	S	P	5,000	SPNG	0.1199									\$38.00	
176	06/12/2009	14:37:42	14:37:42	STEW	S	P	10,000	SPNG	0.1124									\$1.00	
177	06/16/2009	10:35:17	10:35:17	STEW	S	P	5,000	NADVF	0.9610	06/16/2009	10:34:28	STEW	SL	5,000	NADVF	0.9500	GTC	\$55.00	
178	06/18/2009	09:30:16	09:30:13	STEW	B	P	10,000	JNIP	0.0003	06/18/2009	08:29:21	STEW	B	3,000,000	JNIP	0.0004	DAY	N/A	
179	06/23/2009	15:02:03	15:02:03	STEW	B	P	1,398	SCGLY	10.7800	06/23/2009	12:37:58	STEW	B	112	SCGLY	10.7900	DAY	\$1.12	
180	06/24/2009	13:25:10	13:25:09	STEW	B	P	5,000	WNBD	0.0178	06/24/2009	09:45:30	STEW	B	300,000	WNBD	0.0180	DAY	\$1.00	
181	06/26/2009	13:59:19	13:59:19	STEW	B	P	50,000	IBXG	0.0026	06/26/2009	13:44:47	STEW	B	250,000	IBXG	0.0029	DAY	\$9.50	
182	06/26/2009	13:59:23	13:59:23	STEW	B	P	5,000	IBXG	0.0026										
183	06/26/2009	13:59:33	13:59:33	STEW	B	P	40,000	IBXG	0.0026										
184	06/30/2009	11:20:27	11:20:26	STEW	S	P	100,000	MDBS	0.0085	06/30/2009	11:19:48	STEW	SL	124,900	MDBS	0.0081	DAY	\$40.00	
185	06/30/2009	14:23:41	14:23:40	STEW	S	P	5,000	SWME	0.0110	06/30/2009	14:22:13	STEW	SL	407,000	SWME	0.0100	DAY	\$5.00	
186	07/06/2009	09:54:58	09:54:58	STEW	B	P	1,000	ARAFF	0.4750	05/27/2009	13:40:30	STEW	B	5,000	ARAFF	0.5000		\$25.00	
187	07/06/2009	12:53:12	12:53:10	STEW	B	P	9,000	NNLX	0.3250	07/06/2009	12:23:37	STEW	B	1,375	NNLX	0.3300	GTC	\$6.88	
188	07/07/2009	11:17:19	11:17:19	STEW	B	P	217	ISNPY	18.6800	07/07/2009	11:05:03	STEW	B	175	ISNPY	18.7000	DAY	\$3.50	
189	07/07/2009	15:58:09	15:58:08	STEW	B	P	500	ENLAY	4.4800	07/07/2009	15:38:57	STEW	B	200	ENLAY	4.5000	DAY	\$4.00	
190	07/08/2009	12:31:53	12:31:53	STEW	S	P	5,000	LDBKY	2.7800	07/08/2009	12:31:25	STEW	SL	7,500	LDBKY	2.7500	DAY	\$100.00	
191	07/08/2009	15:46:31	15:46:31	STEW	S	P	1,000	UOVEY	19.1400	07/08/2009	15:45:56	STEW	SL	10,000	UOVEY	19.0500	DAY	\$40.00	
192	07/08/2009	15:46:38	15:46:37	STEW	S	P	2,800	UOVEY	19.1200									\$56.00	
193	07/10/2009	14:50:09	14:50:09	STEW	B	P	1,725	ARAFF	0.4600	07/10/2009	12:55:55	STEW	B	2,500	ARAFF	0.4800	DAY	\$4.50	
194	07/17/2009	14:26:19	14:26:19	STEW	B	P	3,500	OILXF	0.0180	07/17/2009	12:21:53	STEW	B	3,500	OILXF	0.0223	DAY	\$3.50	
195	07/20/2009	10:48:16	10:48:16	STEW	B	P	1,500	GMBXF	1.1700	07/20/2009	10:48:04	STEW	B	1,500	GMBXF	1.1800	DAY	\$15.00	
196	07/24/2009	11:19:13	11:19:13	STEW	B	P	100,000	IGNT	0.0065	07/24/2009	11:12:08	STEW	B	150,000	IGNT	0.0066	DAY	\$15.00	
197	07/24/2009	11:19:19	11:19:19	STEW	B	P	50,000	IGNT	0.0065										
198	07/27/2009	09:36:51	09:36:51	STEW	B	P	398	LVMUY	17.3400	07/27/2009	08:41:19	STEW	B	200	LVMUY	17.4000	DAY	\$12.00	
199	07/27/2009	14:14:12	14:14:11	STEW	S	P	200	LVMUY	17.4000	07/27/2009	13:59:09	STEW	SL	200	LVMUY	17.3000	DAY	\$20.00	
200	07/30/2009	10:38:17	10:38:17	STEW	S	P	1,000	NADVF	1.1400	07/30/2009	10:36:46	STEW	SL	4,000	NADVF	1.1300	GTC	\$10.00	
201	07/30/2009	14:57:35	14:57:34	STEW	B	P	90,000	WNBD	0.0148	07/30/2009	12:56:59	STEW	B	300,000	WNBD	0.0149	GTC	\$9.00	
202	07/31/2009	12:47:43	12:47:43	STEW	B	P	4,000	VCVOF	1.7000	07/31/2009	12:46:56	STEW	B	60,000	VCVOF	1.7500	GTC	\$200.00	
203	08/03/2009	09:30:46	09:30:30	STEW	B	P	10,000	ARAFF	0.4300	07/15/2009	07:57:12	STEW	B	1,260	ARAFF	0.4500	GTC	\$12.60	

Collins Stewart LLC ("STEW")
Limit Order Protection Review for OTC Securities

Part I: Triggering Transaction Details										Part II: Order Details								Restitution Amount
Number	Trade Report Date	Trade Report Time	Execution Time	MPID	Side	Capacity	Trade Vol	Issue Symbol	Trade Price	Order Received Date	Order Received Time	MPID	Order to Buy/Sell	Quantity	Issue Symbol	Limit Price	TIF	
204	08/06/2009	09:53:47	09:53:47	STEW	S	P	2,500	MTLQQ	0.5590	08/04/2009	09:50:52	STEW	SL	10,000	MTLQQ	0.5570	GTC	\$5.00
205	08/06/2009	10:35:41	10:35:41	STEW	B	P	3,200,000	ARIO	0.0002	08/06/2009	10:33:37	STEW	B	10,000,000	ARIO	0.0002	GTC	\$100.00
206	08/06/2009	10:36:28	10:36:28	STEW	B	P	6,800,000	ARIO	0.0002									
207	08/06/2009	11:58:39	11:58:39	STEW	B	P	100	XSRF	13.7000	08/05/2009	11:03:32	STEW	B	200	XSRF	13.7500	GTC	\$5.00
208	08/06/2009	13:33:30	13:33:30	STEW	B	P	208	STBUY	5.3700	08/06/2009	13:33:26	STEW	B	124	STBUY	5.5200	DAY	\$13.64
209	08/07/2009	09:38:04	09:38:04	STEW	S	P	2,500	MTLQQ	0.6900	08/04/2009	09:53:42	STEW	SL	10,000	MTLQQ	0.6700	GTC	N/A
210	08/11/2009	10:28:49	10:28:49	STEW	B	P	639	LVMUY	17.4900	08/04/2009	08:35:02	STEW	B	400	LVMUY	17.5000	GTD	\$4.00
211	08/12/2009	14:47:50	14:47:50	STEW	B	P	188	WOSCY	2.3100	08/12/2009	07:30:06	STEW	B	550	WOSCY	2.3200	DAY	\$1.88
212	08/13/2009	11:24:38	11:24:38	STEW	B	P	237	STBUY	5.5600	08/13/2009	10:53:07	STEW	B	215	STBUY	5.6700	DAY	\$2.15
213	08/31/2009	15:52:53	15:52:52	STEW	S	P	18,800	BIEL	0.0685	08/31/2009	15:44:03	STEW	SL	200,000	BIEL	0.0678	DAY	\$9.40
214	10/13/2009	12:26:06	12:26:06	STEW	B	P	500	GCHT	1.6800	10/13/2009	12:25:19	STEW	B	5,000	GCHT	1.7000	DAY	\$5.00
215	10/30/2009	09:30:06	09:30:06	STEW	B	P	5,000	DYMTF	0.1890	10/30/2009	09:08:12	STEW	B	100,000	DYMTF	0.1900	GTD	\$5.00
Total Restitution Amount:																		\$22,600.03