

**FINANCIAL INDUSTRY REGULATORY AUTHORITY  
LETTER OF ACCEPTANCE, WAIVER AND CONSENT**

**NO. 20100237747-01**

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

**RE:** Collins Stewart LLC (n/k/a Canaccord Genuity Inc.), Respondent  
Broker-Dealer  
CRD No. 24790 (now 1020)

Pursuant to FINRA Rule 9216 of FINRA's Code of Procedure, 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 became a FINRA member on July 28, 1989. On March 26, 2012, the firm changed its name to Canaccord Genuity Securities LLC. On November 28, 2012, Canaccord Genuity Securities LLC terminated its FINRA registration following the sale of its broker-dealer assets to Canaccord Genuity Inc., an affiliate broker-dealer that is a current member of FINRA.

**RELEVANT DISCIPLINARY HISTORY**

The firm has no relevant disciplinary history.

## **SUMMARY**

In connection with 20100237747, the Market Analysis Section of FINRA's Department of Market Regulation reviewed the firm's compliance with SEC Rule 611 of Regulation NMS during the period of January 1, 2010 through March 31, 2010 (the "first quarter 2010 review period").

In connection with 20110260926 and 20110260986, the Customer Issues Section of FINRA's Department of Market Regulation reviewed the firm's compliance with FINRA Rules related to market order protection ("MOP") and limit order protection ("LOP"), respectively, during the period of April 1, 2009 through June 30, 2009 (the "second quarter 2009 review period").

## **FACTS AND VIOLATIVE CONDUCT**

### **20100237747**

1. During the first quarter 2010 review period, the firm failed to establish, maintain, and enforce written policies and procedures that were reasonably designed to prevent trade-throughs of protected quotations in NMS stocks that do not fall within any applicable exception, and if relying on an exception, were reasonably designed to assure compliance with the terms of the exception. The conduct described in this paragraph constitutes a violation of SEC Rule 611(a) of Regulation NMS, NASD Rule 3010, and FINRA Rule 2010.
2. During the first quarter 2010 review period, the firm, in 25 instances, inaccurately appended modifiers to transaction reports submitted to the FINRA/NASDAQ Trade Reporting Facility identifying such transactions as qualifying for an exception from SEC Rule 611 of Regulation NMS. The conduct described in this paragraph constitutes separate and distinct violations of FINRA Rule 6380A(a)(5)(i).

### **20110260926**

3. In 157 instances during the second quarter 2009 review period, the firm accepted and held customer market orders, traded for its own account at prices that would have satisfied the customer market orders, and failed to immediately thereafter execute the customer market orders up to the size and at the same price at which it traded for its own account or at a better price. The instances are reflected on Exhibit A of the AWC. The conduct described in this paragraph constitutes separate and distinct violations of FINRA Rule 2010 and NASD Rule 2111(b).

4. In four instances during the period reviewed, the firm accepted and held customer market orders, traded for its own account at a price that would have satisfied the customer market orders, and failed to immediately thereafter execute the customer market orders. The instances are reflected on Exhibit A of the AWC. The conduct described in this paragraph constitutes separate and distinct violation of FINRA Rule 2010 and NASD Rule 2111(b).

**20110260986**

5. In 21 instances during the second quarter 2009 review period, the firm failed to contemporaneously or partially execute a customer limit order in seven Nasdaq securities after it traded each subject security for its own market-making account at a price that would have satisfied each customer's limit order or at a better price. The instances are reflected on Exhibit B of the AWC. The conduct described in this paragraph constitutes separate and distinct violations of FINRA Rule 2010 and NASD IM-2110-2.
6. In 27 instances during the second quarter 2009 review period, the firm failed to contemporaneously or partially execute a customer limit order in twelve Nasdaq securities after it traded each subject security for its own market-making account at a price that would have satisfied each customer's limit order. The instances are reflected on Exhibit B of the AWC. The conduct described in this paragraph constitutes separate and distinct violations of FINRA Rule 2010 and NASD IM-2110-2.

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

A censure; a fine of \$30,000 (comprised of \$7,500 for the SEC Rule 611 violation, \$7,500 for the equity trade reporting violations, \$7,500 for the MOP violations and \$7,500 for the LOP violations); an undertaking to revise the firm's written supervisory procedures ("WSPs") with respect to the areas described in paragraph one; and restitution is ordered to be paid to the customers in connection with the transactions listed on Exhibits A and B, which are attached, in the total amount of 445.68, 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 ("NAC").

The imposition of a restitution order or any other monetary sanction herein, and the timing of such ordered payments, does not preclude customers from pursuing their own actions to obtain restitution or other remedies.

Within 120 days after acceptance of this AWC by the NAC, 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. If for any reason, Respondent cannot locate any customer identified in Exhibits A and B after reasonable and documented efforts within 120 days from the date the AWC is accepted, or such additional period agreed to by FINRA staff in writing, 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. Respondent shall provide satisfactory proof of such action to FINRA in the manner described above, within 14 days of forwarding the undistributed restitution and interest to the appropriate state authority.

Within 30 business days of acceptance of this AWC by the NAC, a registered principal of the Respondent shall submit to the **COMPLIANCE ASSISTANT, LEGAL SECTION, MARKET REGULATION DEPARTMENT, 9509 KEY WEST AVENUE, ROCKVILLE, MD 20850**, a signed, dated letter, or an e-mail from a work-related account of the registered principal to MarketRegulationComp@finra.org, providing the following information:

- (1) a reference to this matter;
- (2) a representation that the firm has revised its WSPs to address the deficiencies described in paragraph one; and
- (3) the date the revised procedures were implemented.

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

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

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

## II.

### WAIVER OF PROCEDURAL RIGHTS

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

- A. To have a Complaint issued specifying the allegations against the firm;
- B. To be notified of the Complaint and have the opportunity to answer the allegations in writing;

- C. To defend against the allegations in a disciplinary hearing before a hearing panel, to have a written record of the hearing made and to have a written decision issued; and
- D. To appeal any such decision to the 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 Chief Legal Officer, 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:

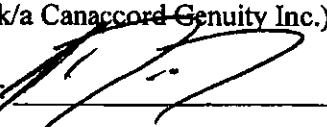
- A. Submission of this AWC is voluntary and will not resolve this matter unless and until it has been reviewed and accepted by the NAC, a Review Subcommittee of the NAC, or the Office of Disciplinary Affairs ("ODA"), pursuant to FINRA Rule 9216;
- B. If this AWC is not accepted, its submission will 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: (i) testimonial obligations; or (ii) 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.

8/15/14  
Date

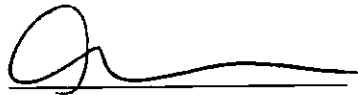
Respondent  
Collins Stewart LLC  
(n/k/a Canaccord Genuity Inc.)

By: 

Name: Daniel DANIAL

Title: President

Reviewed by:



Attorney Name: Andrew F. Viles  
Counsel for Respondent  
Collins Stewart LLC

Accepted by FINRA:

8/18/14  
Date

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

  
Tina Salehi Gubb  
Chief Counsel  
Department of Market Regulation

Collins Stewart LLC. ("CSTI")  
2nd Quarter 2009 Market Order Protection Review

| Part I: Triggering Transaction Details |                      |                   |                   |                |      |      |          |           |              |             |                   |               |                | Part II: Order Details |                     |                     |      |                   |          |              |            |               |                   |     | Resolution Amount |
|----------------------------------------|----------------------|-------------------|-------------------|----------------|------|------|----------|-----------|--------------|-------------|-------------------|---------------|----------------|------------------------|---------------------|---------------------|------|-------------------|----------|--------------|------------|---------------|-------------------|-----|-------------------|
| Exception #                            | Original Exception # | Trade Report Date | Trade Report Time | Execution Time | MPID | Side | Capacity | Trade Vol | Issue Symbol | Trade Price | Counterparty MPID | Market Center | Exception Type | Order #                | Order Received Date | Order Received Time | MPID | Order to Buy/Sell | Quantity | Issue Symbol | Order Type | Firm Order ID | Routing Firm MPID | TIF |                   |
| 1                                      | 1                    | 04/02/2009        | 10:33:42          | 10:33:42       | CSTI | B    | P        | 9,500     | RAME         | 0.7900      | NASDAQ Exchange   | Q             | Quantity       | 1-1                    | 04/02/2009          | 10:32:30            | CSTI | B                 | 15,000   | RAME         | M          | OC0030CECSTI  | NBSI              |     | N/A               |
| 2                                      | 4                    | 06/11/2009        | 15:39:06          | 15:39:06       | CSTI | S    | P        | 2,300     | TPUT         | 0.3120      | NASDAQ Exchange   | Q             | Price          | 4-1                    | 06/11/2009          | 15:36:51            | CSTI | SL                | 14,000   | TPUT         | M          | E02C4E87CSTI  | NBSI              |     | \$4.60            |
| 3                                      |                      | 06/12/2009        | 09:39:57          | 09:39:57       | CSTI | B    | P        | 1,128     | PPHM         | 0.8600      | NASDAQ Exchange   | Q             | Price          | 6-1                    | 06/12/2009          | 09:40:13            | CSTI | B                 | 20,000   | PPHM         | M          | E03B90BACSTI  | NBSI              |     | \$236.15          |
| 4                                      |                      | 06/12/2009        | 09:39:57          | 09:39:57       | CSTI | B    | P        | 90        | PPHM         | 0.8600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 5                                      |                      | 06/12/2009        | 09:39:57          | 09:39:57       | CSTI | B    | P        | 100       | PPHM         | 0.8600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 6                                      |                      | 06/12/2009        | 09:39:57          | 09:39:57       | CSTI | B    | P        | 10        | PPHM         | 0.8600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 7                                      |                      | 06/12/2009        | 09:39:57          | 09:39:57       | CSTI | B    | P        | 100       | PPHM         | 0.8600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 8                                      |                      | 06/12/2009        | 09:39:57          | 09:39:57       | CSTI | B    | P        | 300       | PPHM         | 0.8600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 9                                      |                      | 06/12/2009        | 09:39:58          | 09:39:58       | CSTI | B    | P        | 100       | PPHM         | 0.8600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 10                                     |                      | 06/12/2009        | 09:39:58          | 09:39:58       | CSTI | B    | P        | 1,100     | PPHM         | 0.8600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 11                                     |                      | 06/12/2009        | 09:39:59          | 09:39:59       | CSTI | B    | P        | 300       | PPHM         | 0.8600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 12                                     |                      | 06/12/2009        | 09:39:59          | 09:39:59       | CSTI | B    | P        | 100       | PPHM         | 0.8600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 13                                     |                      | 06/12/2009        | 09:39:59          | 09:39:59       | CSTI | B    | P        | 100       | PPHM         | 0.8600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 14                                     |                      | 06/12/2009        | 09:39:59          | 09:39:59       | CSTI | B    | P        | 700       | PPHM         | 0.8600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 15                                     |                      | 06/12/2009        | 09:39:59          | 09:39:59       | CSTI | B    | P        | 100       | PPHM         | 0.8600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 16                                     |                      | 06/12/2009        | 09:39:59          | 09:39:59       | CSTI | B    | P        | 100       | PPHM         | 0.8600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 17                                     |                      | 06/12/2009        | 09:39:59          | 09:39:59       | CSTI | B    | P        | 300       | PPHM         | 0.8600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 18                                     |                      | 06/12/2009        | 09:39:59          | 09:39:59       | CSTI | B    | P        | 100       | PPHM         | 0.8600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 19                                     |                      | 06/12/2009        | 09:40:00          | 09:40:00       | CSTI | B    | P        | 100       | PPHM         | 0.8600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 20                                     |                      | 06/12/2009        | 09:40:00          | 09:40:00       | CSTI | B    | P        | 172       | PPHM         | 0.8600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 21                                     |                      | 06/12/2009        | 09:41:28          | 09:41:28       | CSTI | B    | P        | 200       | PPHM         | 0.8599      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 22                                     |                      | 06/12/2009        | 09:41:28          | 09:41:28       | CSTI | B    | P        | 900       | PPHM         | 0.8599      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 23                                     |                      | 06/12/2009        | 09:41:28          | 09:41:28       | CSTI | B    | P        | 1,600     | PPHM         | 0.8599      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 24                                     | 5                    | 06/12/2009        | 09:41:28          | 09:41:28       | CSTI | B    | P        | 500       | PPHM         | 0.8599      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 25                                     | 7                    | 06/12/2009        | 09:41:28          | 09:41:28       | CSTI | B    | P        | 100       | PPHM         | 0.8599      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 26                                     | 8                    | 06/12/2009        | 09:41:28          | 09:41:28       | CSTI | B    | P        | 200       | PPHM         | 0.8599      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 27                                     |                      | 06/12/2009        | 09:41:29          | 09:41:29       | CSTI | B    | P        | 100       | PPHM         | 0.8600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 28                                     |                      | 06/12/2009        | 09:41:29          | 09:41:29       | CSTI | B    | P        | 2,500     | PPHM         | 0.8600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 29                                     |                      | 06/12/2009        | 09:41:30          | 09:41:30       | CSTI | B    | P        | 100       | PPHM         | 0.8695      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 30                                     |                      | 06/12/2009        | 09:41:30          | 09:41:30       | CSTI | B    | P        | 600       | PPHM         | 0.8695      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 31                                     | 9                    | 06/12/2009        | 09:41:30          | 09:41:30       | CSTI | B    | P        | 700       | PPHM         | 0.8695      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 32                                     |                      | 06/12/2009        | 09:41:32          | 09:41:32       | CSTI | B    | P        | 1,000     | PPHM         | 0.8550      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 33                                     |                      | 06/12/2009        | 09:41:32          | 09:41:32       | CSTI | B    | P        | 2,700     | PPHM         | 0.8550      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 34                                     | 10                   | 06/12/2009        | 09:41:32          | 09:41:32       | CSTI | B    | P        | 4,600     | PPHM         | 0.8550      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |

Collins Stewart LLC ("CSTI")  
2nd Quarter 2009 Market Order Protection Review

AWC Exhibit A

| Part I: Triggering Transaction Details |                      |                   |                   |                |      |      |          |           |              |                 |                   |               |                | Part II: Order Details |                     |                     |      |                   |          |              |            |               |                   |        |  | Resolution Amount |
|----------------------------------------|----------------------|-------------------|-------------------|----------------|------|------|----------|-----------|--------------|-----------------|-------------------|---------------|----------------|------------------------|---------------------|---------------------|------|-------------------|----------|--------------|------------|---------------|-------------------|--------|--|-------------------|
| Exception #                            | Original Exception # | Trade Report Date | Trade Report Time | Execution Time | MPID | Side | Capacity | Trade Vol | Issue Symbol | Trade Price     | Counterparty MPID | Market Center | Exception Type | Order #                | Order Received Date | Order Received Time | MPID | Order to Buy/Sell | Quantity | Issue Symbol | Order Type | Firm Order ID | Routing Firm MPID | TIF    |  |                   |
| 35                                     | 26                   | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 1,000     | DSCO         | 1.1700          | NASDAQ Exchange   | Q             | Price          | 12-1                   | 06/17/2009          | 13:56:52            | CSTI | SL                | 30,000   | DSCO         | M          | E087D8FOCSTI  | NBSI              | \$2.01 |  |                   |
| 36                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 200       | DSCO         | 1.1700          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 37                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 1,000     | DSCO         | 1.1700          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 38                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 100       | DSCO         | 1.1700          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 39                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 100       | DSCO         | 1.1700          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 40                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 1,000     | DSCO         | 1.1700          | ARCA              |               | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 41                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 900       | DSCO         | 1.1700          | ARCA              |               | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 42                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 200       | DSCO         | 1.1700          | ARCA              |               | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 43                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 100       | DSCO         | 1.1700          | ARCA              |               | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 44                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 100       | DSCO         | 1.1600          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 45                                     | 06/17/2009           | 13:57:18          | 13:57:18          | CSTI           | S    | P    | 100      | DSCO      | 1.1600       | NASDAQ Exchange | Q                 | Price         |                |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 46                                     | 06/17/2009           | 13:57:18          | 13:57:18          | CSTI           | S    | P    | 100      | DSCO      | 1.1600       | NASDAQ Exchange | Q                 | Price         |                |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 47                                     | 06/17/2009           | 13:57:18          | 13:57:18          | CSTI           | S    | P    | 100      | DSCO      | 1.1600       | NASDAQ Exchange | Q                 | Price         |                |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 48                                     | 06/17/2009           | 13:57:18          | 13:57:18          | CSTI           | S    | P    | 1,000    | DSCO      | 1.1600       | NASDAQ Exchange | Q                 | Price         |                |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 49                                     | 06/17/2009           | 13:57:18          | 13:57:18          | CSTI           | S    | P    | 100      | DSCO      | 1.1600       | NASDAQ Exchange | Q                 | Price         |                |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 50                                     | 06/17/2009           | 13:57:18          | 13:57:18          | CSTI           | S    | P    | 100      | DSCO      | 1.1600       | NASDAQ Exchange | Q                 | Price         |                |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 51                                     | 06/17/2009           | 13:57:18          | 13:57:18          | CSTI           | S    | P    | 100      | DSCO      | 1.1600       | NASDAQ Exchange | Q                 | Price         |                |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 52                                     | 06/17/2009           | 13:57:18          | 13:57:18          | CSTI           | S    | P    | 100      | DSCO      | 1.1600       | NASDAQ Exchange | Q                 | Price         |                |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 53                                     | 06/17/2009           | 13:57:18          | 13:57:18          | CSTI           | S    | P    | 100      | DSCO      | 1.1600       | NASDAQ Exchange | Q                 | Price         |                |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 54                                     | 27                   | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 2,000     | DSCO         | 1.1600          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 55                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 100       | DSCO         | 1.1600          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 56                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 100       | DSCO         | 1.1600          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 57                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 100       | DSCO         | 1.1600          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 58                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 100       | DSCO         | 1.1600          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 59                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 100       | DSCO         | 1.1500          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 60                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 1,000     | DSCO         | 1.1500          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 61                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 3,000     | DSCO         | 1.1500          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 62                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 200       | DSCO         | 1.1500          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 63                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 100       | DSCO         | 1.1500          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 64                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 100       | DSCO         | 1.1500          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 65                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 5,000     | DSCO         | 1.1500          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 66                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 200       | DSCO         | 1.1500          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 67                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 100       | DSCO         | 1.1500          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 68                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 100       | DSCO         | 1.1500          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 69                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 200       | DSCO         | 1.1500          | ARCA              |               | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 70                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 100       | DSCO         | 1.1500          | ARCA              |               | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 71                                     |                      | 06/17/2009        | 13:57:18          | 13:57:18       | CSTI | S    | P        | 100       | DSCO         | 1.1500          | ARCA              |               | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 72                                     |                      | 06/17/2009        | 13:57:35          | 13:57:35       | CSTI | S    | P        | 1,000     | DSCO         | 1.1500          | ARCA              |               | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 73                                     |                      | 06/17/2009        | 13:57:35          | 13:57:35       | CSTI | S    | P        | 1,000     | DSCO         | 1.1500          | ARCA              |               | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 74                                     |                      | 06/17/2009        | 13:57:35          | 13:57:35       | CSTI | S    | P        | 100       | DSCO         | 1.1500          | ARCA              |               | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 75                                     |                      | 06/17/2009        | 13:57:35          | 13:57:35       | CSTI | S    | P        | 100       | DSCO         | 1.1500          | ARCA              |               | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 76                                     |                      | 06/17/2009        | 13:57:35          | 13:57:35       | CSTI | S    | P        | 1,000     | DSCO         | 1.1500          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 77                                     |                      | 06/17/2009        | 13:57:35          | 13:57:35       | CSTI | S    | P        | 100       | DSCO         | 1.1500          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 78                                     |                      | 06/17/2009        | 13:57:35          | 13:57:35       | CSTI | S    | P        | 100       | DSCO         | 1.1500          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 79                                     |                      | 06/17/2009        | 13:57:35          | 13:57:35       | CSTI | S    | P        | 100       | DSCO         | 1.1500          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 80                                     |                      | 06/17/2009        | 13:57:35          | 13:57:35       | CSTI | S    | P        | 1,000     | DSCO         | 1.1500          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 81                                     |                      | 06/17/2009        | 13:57:35          | 13:57:35       | CSTI | S    | P        | 200       | DSCO         | 1.1500          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 82                                     |                      | 06/17/2009        | 13:57:35          | 13:57:35       | CSTI | S    | P        | 60        | DSCO         | 1.1500          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 83                                     |                      | 06/17/2009        | 13:57:35          | 13:57:35       | CSTI | S    | P        | 100       | DSCO         | 1.1500          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 84                                     |                      | 06/17/2009        | 13:57:35          | 13:57:35       | CSTI | S    | P        | 1,000     | DSCO         | 1.1500          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 85                                     |                      | 06/17/2009        | 13:57:35          | 13:57:35       | CSTI | S    | P        | 100       | DSCO         | 1.1400          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 86                                     |                      | 06/17/2009        | 13:57:35          | 13:57:35       | CSTI | S    | P        | 1,000     | DSCO         | 1.1400          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 87                                     |                      | 06/17/2009        | 13:57:35          | 13:57:35       | CSTI | S    | P        | 1,000     | DSCO         | 1.1400          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 88                                     |                      | 06/17/2009        | 13:57:35          | 13:57:35       | CSTI | S    | P        | 1,000     | DSCO         | 1.1400          | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 89                                     |                      | 06/17/2009        | 13:57:35          | 13:57:35       | CSTI | S    | P        | 1,000     | DSCO         | 1.1400          | ARCA              |               | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 90                                     |                      | 06/17/2009        | 13:57:35          | 13:57:35       | CSTI | S    | P        | 100       | DSCO         | 1.1400          | ARCA              |               | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |
| 91                                     |                      | 06/17/2009        | 13:57:35          | 13:57:35       | CSTI | S    | P        | 100       | DSCO         | 1.1400          | ARCA              |               | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |        |  |                   |

| Part I: Triggering Transaction Details |                      |                   |                   |                |      |      |          |           |              |             |                   |               |                | Part II: Order Details |                     |                     |      |                   |          |              |            |               |                   |     | Restitution Amount |
|----------------------------------------|----------------------|-------------------|-------------------|----------------|------|------|----------|-----------|--------------|-------------|-------------------|---------------|----------------|------------------------|---------------------|---------------------|------|-------------------|----------|--------------|------------|---------------|-------------------|-----|--------------------|
| Exception #                            | Original Exception # | Trade Report Date | Trade Report Time | Execution Time | MPID | Side | Capacity | Trade Vol | Issue Symbol | Trade Price | Counterparty MPID | Market Center | Exception Type | Order #                | Order Received Date | Order Received Time | MPID | Order to Buy/Sell | Quantity | Issue Symbol | Order Type | Firm Order ID | Routing Firm MPID | TIF |                    |
| 92                                     |                      | 06/17/2009        | 13:57:35          | 13:57:35       | CSTI | S    | P        | 640       | DSCO         | 1.1500      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 93                                     |                      | 06/18/2009        | 09:34:30          | 09:34:30       | CSTI | S    | P        | 1,000     | TSTR         | 1.1100      | NASDAQ Exchange   | Q             | Price/Quantity | 14-1                   | 06/18/2009          | 09:33:59            | CSTI | SL                | 47,744   | TSTR         | M          | E0971E1DCSTI  | NBSI              |     | \$3.87             |
| 94                                     |                      | 06/18/2009        | 09:34:30          | 09:34:30       | CSTI | S    | P        | 200       | TSTR         | 1.1100      | NASDAQ Exchange   | Q             | Price/Quantity |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 95                                     |                      | 06/18/2009        | 09:34:30          | 09:34:30       | CSTI | S    | P        | 100       | TSTR         | 1.1100      | NASDAQ Exchange   | Q             | Price/Quantity |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 96                                     |                      | 06/18/2009        | 09:34:30          | 09:34:30       | CSTI | S    | P        | 100       | TSTR         | 1.1100      | NASDAQ Exchange   | Q             | Price/Quantity |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 97                                     |                      | 06/18/2009        | 09:34:30          | 09:34:30       | CSTI | S    | P        | 809       | TSTR         | 1.1100      | NASDAQ Exchange   | Q             | Price/Quantity |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 98                                     |                      | 06/18/2009        | 09:34:30          | 09:34:30       | CSTI | S    | P        | 100       | TSTR         | 1.1000      | NASDAQ Exchange   | Q             | Price/Quantity |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 99                                     |                      | 06/18/2009        | 09:35:24          | 09:35:24       | CSTI | S    | P        | 900       | TSTR         | 1.1000      | NASDAQ Exchange   | Q             | Price/Quantity |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 100                                    |                      | 06/18/2009        | 09:35:24          | 09:35:24       | CSTI | S    | P        | 100       | TSTR         | 1.1000      | NASDAQ Exchange   | Q             | Price/Quantity |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 101                                    |                      | 06/18/2009        | 09:35:39          | 09:35:39       | CSTI | S    | P        | 900       | TSTR         | 1.1000      | NASDAQ Exchange   | Q             | Price/Quantity |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 102                                    |                      | 06/18/2009        | 09:35:39          | 09:35:39       | CSTI | S    | P        | 100       | TSTR         | 1.1000      | NASDAQ Exchange   | Q             | Price/Quantity |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 103                                    | 32                   | 06/18/2009        | 09:35:47          | 09:35:47       | CSTI | S    | P        | 100       | TSTR         | 1.1000      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 104                                    |                      | 06/18/2009        | 09:35:56          | 09:35:56       | CSTI | S    | P        | 100       | TSTR         | 1.0900      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 105                                    |                      | 06/18/2009        | 09:35:56          | 09:35:56       | CSTI | S    | P        | 600       | TSTR         | 1.0900      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 106                                    |                      | 06/18/2009        | 09:35:56          | 09:35:56       | CSTI | S    | P        | 100       | TSTR         | 1.0900      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 107                                    |                      | 06/18/2009        | 09:35:56          | 09:35:56       | CSTI | S    | P        | 200       | TSTR         | 1.0900      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 108                                    |                      | 06/18/2009        | 09:35:56          | 09:35:56       | CSTI | S    | P        | 1,000     | TSTR         | 1.0900      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 109                                    |                      | 06/18/2009        | 09:35:56          | 09:35:56       | CSTI | S    | P        | 600       | TSTR         | 1.0900      | ARCA              |               | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 110                                    |                      | 06/18/2009        | 09:35:56          | 09:35:56       | CSTI | S    | P        | 1,000     | TSTR         | 1.0700      | ARCA              |               | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 111                                    |                      | 06/18/2009        | 09:35:56          | 09:35:56       | CSTI | S    | P        | 200       | TSTR         | 1.0700      | ARCA              |               | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 112                                    |                      | 06/18/2009        | 09:35:56          | 09:35:56       | CSTI | S    | P        | 1,000     | TSTR         | 1.0600      | ARCA              |               | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 113                                    |                      | 06/18/2009        | 09:35:56          | 09:35:56       | CSTI | S    | P        | 200       | TSTR         | 1.0600      | ARCA              |               | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 114                                    |                      | 06/18/2009        | 09:35:56          | 09:35:56       | CSTI | S    | P        | 1,000     | TSTR         | 1.0600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 115                                    |                      | 06/18/2009        | 09:35:56          | 09:35:56       | CSTI | S    | P        | 200       | TSTR         | 1.0600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 116                                    |                      | 06/18/2009        | 09:35:56          | 09:35:56       | CSTI | S    | P        | 1,000     | TSTR         | 1.0600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 117                                    |                      | 06/18/2009        | 09:35:56          | 09:35:56       | CSTI | S    | P        | 3,000     | TSTR         | 1.0600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 118                                    |                      | 06/18/2009        | 09:35:56          | 09:35:56       | CSTI | S    | P        | 3,200     | TSTR         | 1.0600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 119                                    |                      | 06/18/2009        | 09:35:56          | 09:35:56       | CSTI | S    | P        | 100       | TSTR         | 1.0800      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 120                                    |                      | 06/18/2009        | 09:35:58          | 09:35:58       | CSTI | S    | P        | 1,000     | TSTR         | 1.0900      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 121                                    |                      | 06/18/2009        | 09:35:58          | 09:35:58       | CSTI | S    | P        | 300       | TSTR         | 1.0600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 122                                    |                      | 06/18/2009        | 09:35:59          | 09:35:59       | CSTI | S    | P        | 200       | TSTR         | 1.0700      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 123                                    |                      | 06/18/2009        | 09:35:59          | 09:35:59       | CSTI | S    | P        | 600       | TSTR         | 1.0700      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 124                                    |                      | 06/18/2009        | 09:35:59          | 09:35:59       | CSTI | S    | P        | 200       | TSTR         | 1.0700      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 125                                    |                      | 06/18/2009        | 09:35:59          | 09:35:59       | CSTI | S    | P        | 100       | TSTR         | 1.0600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 126                                    |                      | 06/18/2009        | 09:35:59          | 09:35:59       | CSTI | S    | P        | 100       | TSTR         | 1.0600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 127                                    |                      | 06/18/2009        | 09:36:10          | 09:36:10       | CSTI | S    | P        | 200       | TSTR         | 1.0600      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 128                                    |                      | 06/18/2009        | 09:36:10          | 09:36:10       | CSTI | S    | P        | 15,000    | TSTR         | 1.0500      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 129                                    |                      | 06/18/2009        | 09:36:10          | 09:36:10       | CSTI | S    | P        | 3,000     | TSTR         | 1.0500      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 130                                    |                      | 06/18/2009        | 09:36:10          | 09:36:10       | CSTI | S    | P        | 900       | TSTR         | 1.0500      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 131                                    |                      | 06/18/2009        | 09:36:10          | 09:36:10       | CSTI | S    | P        | 800       | TSTR         | 1.0500      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 132                                    |                      | 06/18/2009        | 09:36:10          | 09:36:10       | CSTI | S    | P        | 2,100     | TSTR         | 1.0500      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 133                                    |                      | 06/18/2009        | 09:36:10          | 09:36:10       | CSTI | S    | P        | 5,700     | TSTR         | 1.0500      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 134                                    |                      | 06/18/2009        | 09:36:10          | 09:36:10       | CSTI | S    | P        | 100       | TSTR         | 1.0500      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 135                                    |                      | 06/18/2009        | 09:36:10          | 09:36:10       | CSTI | S    | P        | 1,500     | TSTR         | 1.0500      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 136                                    |                      | 06/19/2009        | 09:34:19          | 09:34:19       | CSTI | S    | P        | 483       | CORS         | 0.2800      | NASDAQ Exchange   | Q             | Price/Quantity | 17-1                   | 06/19/2009          | 09:34:06            | CSTI | SL                | 10,000   | CORS         | M          | E0A66048CSTI  | NBSI              |     | \$100.00           |
| 137                                    | 36                   | 06/19/2009        | 09:34:19          | 09:34:19       | CSTI | S    | P        | 150       | CORS         | 0.2800      | NASDAQ Exchange   | Q             | Price/Quantity |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 138                                    |                      | 06/19/2009        | 09:34:19          | 09:34:19       | CSTI | S    | P        | 750       | CORS         | 0.2800      | NASDAQ Exchange   | Q             | Price/Quantity |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 139                                    |                      | 06/19/2009        | 09:35:22          | 09:35:22       | CSTI | S    | P        | 9,000     | CORS         | 0.2800      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 140                                    |                      | 06/24/2009        | 11:08:39          | 11:08:39       | CSTI | S    | P        | 4,874     | ARWR         | 0.6000      | NASDAQ Exchange   | Q             | Price          | 21-1                   | 06/24/2009          | 11:08:16            | CSTI | SL                | 11,900   | ARWR         | M          | E0F2AB96CSTI  | NBSI              |     | \$1.02             |
| 141                                    |                      | 06/24/2009        | 11:08:39          | 11:08:39       | CSTI | S    | P        | 4,026     | ARWR         | 0.6000      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 142                                    |                      | 06/24/2009        | 11:08:39          | 11:08:39       | CSTI | S    | P        | 2,000     | ARWR         | 0.6000      | ARCA              |               | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 143                                    | 42                   | 06/24/2009        | 11:08:39          | 11:08:39       | CSTI | S    | P        | 567       | ARWR         | 0.6000      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 144                                    |                      | 06/24/2009        | 11:08:39          | 11:08:39       | CSTI | S    | P        | 400       | ARWR         | 0.6000      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |
| 145                                    | 44                   | 06/25/2009        | 10:18:49          | 10:18:49       | CSTI | S    | P        | 100       | SIRI         | 0.4102      | NASDAQ Exchange   | Q             | Quantity       | 23-1                   | 06/25/2009          | 10:17:07            | CSTI | SL                | 90,000   | SIRI         | M          | E101E005CSTI  | NBSI              |     | N/A                |
| 146                                    | 45                   | 06/25/2009        | 10:19:01          | 10:19:01       | CSTI | S    | P        | 9,700     | SIRI         | 0.4102      | NASDAQ Exchange   | Q             | Quantity       |                        |                     |                     |      |                   |          |              |            |               |                   |     |                    |

Collins Stewart LLC. ("CST")  
2nd Quarter 2009 Market Order Protection Review

| Part I: Triggering Transaction Details |                      |                   |                   |                |      |      |          |           |              |             |                   |               |                | Part II: Order Details                 |                     |                     |      |                   |          |              |            |               |                   |     | Resitution Amount |
|----------------------------------------|----------------------|-------------------|-------------------|----------------|------|------|----------|-----------|--------------|-------------|-------------------|---------------|----------------|----------------------------------------|---------------------|---------------------|------|-------------------|----------|--------------|------------|---------------|-------------------|-----|-------------------|
| Exception #                            | Original Exception # | Trade Report Date | Trade Report Time | Execution Time | MPID | Side | Capacity | Trade Vol | Issue Symbol | Trade Price | Counterparty MPID | Market Center | Exception Type | Order #                                | Order Received Date | Order Received Time | MPID | Order lb Buy/Sell | Quantity | Issue Symbol | Order Type | Firm Order ID | Routing Firm MPID | TIF |                   |
| 147                                    |                      | 06/29/2009        | 09:48:15          | 09:48:15       | CSTI | S    | P        | 100       | CYOU         | 42.8000     | NASDAQ Exchange   | Q             | Price          | 24-1                                   | 06/29/2009          | 09:46:38            | CSTI | SL                | 2,500    | CYOU         | M          | E13EF6CECSTI  | NBSI              |     | \$57.00           |
| 148                                    | 46                   | 06/29/2009        | 09:48:25          | 09:48:25       | CSTI | S    | P        | 100       | CYOU         | 42.7500     | NASDAQ Exchange   | Q             | Price          |                                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 149                                    |                      | 06/29/2009        | 09:48:25          | 09:48:25       | CSTI | S    | P        | 100       | CYOU         | 42.7500     | NASDAQ Exchange   | Q             | Price          |                                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 150                                    |                      | 06/29/2009        | 09:48:25          | 09:48:25       | CSTI | S    | P        | 100       | CYOU         | 42.7500     | NASDAQ Exchange   | Q             | Price          |                                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 151                                    |                      | 06/29/2009        | 09:48:25          | 09:48:25       | CSTI | S    | P        | 100       | CYOU         | 42.7500     | NASDAQ Exchange   | Q             | Price          |                                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 152                                    |                      | 06/29/2009        | 09:48:25          | 09:48:25       | CSTI | S    | P        | 100       | CYOU         | 42.7500     | NASDAQ Exchange   | Q             | Price          |                                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 153                                    |                      | 06/29/2009        | 09:48:25          | 09:48:25       | CSTI | S    | P        | 100       | CYOU         | 42.7500     | NASDAQ Exchange   | Q             | Price          |                                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 154                                    |                      | 06/29/2009        | 09:48:25          | 09:48:25       | CSTI | S    | P        | 100       | CYOU         | 42.7500     | NASDAQ Exchange   | Q             | Price          |                                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 155                                    |                      | 06/29/2009        | 09:48:26          | 09:48:26       | CSTI | S    | P        | 100       | CYOU         | 42.7500     | NASDAQ Exchange   | Q             | Price          |                                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 156                                    |                      | 06/29/2009        | 09:48:26          | 09:48:26       | CSTI | S    | P        | 100       | CYOU         | 42.7500     | NASDAQ Exchange   | Q             | Price          |                                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 157                                    |                      | 06/29/2009        | 09:48:31          | 09:48:31       | CSTI | S    | P        | 100       | CYOU         | 42.7500     | NASDAQ Exchange   | Q             | Price          |                                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 158                                    |                      | 06/29/2009        | 09:48:31          | 09:48:31       | CSTI | S    | P        | 100       | CYOU         | 42.7500     | NASDAQ Exchange   | Q             | Price          |                                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 159                                    |                      | 06/29/2009        | 09:48:31          | 09:48:31       | CSTI | S    | P        | 100       | CYOU         | 42.7500     | NASDAQ Exchange   | Q             | Price          |                                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 160                                    |                      | 06/29/2009        | 09:48:31          | 09:48:31       | CSTI | S    | P        | 100       | CYOU         | 42.7500     | NASDAQ Exchange   | Q             | Price          |                                        |                     |                     |      |                   |          |              |            |               |                   |     |                   |
| 161                                    | 47                   | 06/29/2009        | 13:10:14          | 13:10:14       | CSTI | S    | P        | 100       | HOXI         | 0.2508      | NASDAQ Exchange   | Q             | Quantity       | 25-1                                   | 06/29/2009          | 13:07:07            | CSTI | SL                | 65,000   | HOXI         | M          | E13EF6D4CSTI  | NBSI              |     | N/A               |
|                                        |                      |                   |                   |                |      |      |          |           |              |             |                   |               |                | No. of MOP Violations:                 |                     |                     |      |                   |          |              |            |               |                   |     | 161               |
|                                        |                      |                   |                   |                |      |      |          |           |              |             |                   |               |                | No. of OMOs related to MOP Violations: |                     |                     |      |                   |          |              |            |               |                   |     | 10                |
|                                        |                      |                   |                   |                |      |      |          |           |              |             |                   |               |                | Total Restitution Amount:              |                     |                     |      |                   |          |              |            |               |                   |     | \$404.65          |

| Part I: Triggering Transaction Details |                      |                   |                   |                |      |      |          |           |              |             |                   |               |                | Part II: Order Details |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  | Resolution Amount |
|----------------------------------------|----------------------|-------------------|-------------------|----------------|------|------|----------|-----------|--------------|-------------|-------------------|---------------|----------------|------------------------|---------------------|---------------------|------|-------------------|----------|--------------|------------|-------------|---------------|-------------------|---------|---------|--|-------------------|
| Exception #                            | Original Exception # | Trade Report Date | Trade Report Time | Execution Time | MPID | Side | Capacity | Trade Vol | Issue Symbol | Trade Price | Counterparty MPID | Market Center | Exception Type | Order #                | Order Received Date | Order Received Time | MPID | Order to Buy/Sell | Quantity | Issue Symbol | Order Type | Order Price | Firm Order ID | Routing Firm MPID | TIF     |         |  |                   |
| 1                                      | 1                    | 06/11/2009        | 13:34:37          | 13:34:37       | CSTI | S    | P        | 100       | JASO         | 5.8500      | NASDAQ Exchange   | Q             | Quantity       | 1-1                    | 06/11/2009          | 13:32:09            | CSTI | SL                | 10,000   | JASO         | L          | 5.8500      | E02C4E6ACSTI  | NBSI              | DAY     | N/A     |  |                   |
| 2                                      | 2                    | 06/11/2009        | 13:34:37          | 13:34:37       | CSTI | S    | P        | 100       | JASO         | 5.8500      | NASDAQ Exchange   | Q             | Quantity       |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 3                                      | 3                    | 06/11/2009        | 13:34:38          | 13:34:38       | CSTI | S    | P        | 100       | JASO         | 5.8500      | NASDAQ Exchange   | Q             | Quantity       |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 4                                      | 4                    | 06/11/2009        | 13:38:38          | 13:38:38       | CSTI | B    | P        | 100       | BEXP         | 4.1800      | NASDAQ Exchange   | Q             | Quantity       | 2-1                    | 06/11/2009          | 13:28:13            | CSTI | B                 | 10,000   | BEXP         | L          | 4.1800      | E02C4E69CSTI  | NBSI              | DAY     | N/A     |  |                   |
| 5                                      |                      | 06/11/2009        | 13:38:38          | 13:38:38       | CSTI | B    | P        | 200       | BEXP         | 4.1800      | NASDAQ Exchange   | Q             | Quantity       |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 6                                      | 8                    | 06/11/2009        | 14:19:02          | 14:19:02       | CSTI | B    | P        | 200       | ESLR         | 2.8100      | NASDAQ Exchange   | Q             | Quantity       | 5-1                    | 06/11/2009          | 13:06:53            | CSTI | B                 | 10,000   | ESLR         | L          | 2.8100      | E02C4E65CSTI  | NBSI              | DAY     | N/A     |  |                   |
| 7                                      | 11                   | 06/11/2009        | 15:03:38          | 15:03:38       | CSTI | S    | P        | 300       | CVGI         | 1.2700      | NASDAQ Exchange   | Q             | Quantity       | 7-1                    | 06/11/2009          | 15:03:06            | CSTI | SL                | 24,000   | CVGI         | L          | 1.2700      | E02C4E80CSTI  | NBSI              | DAY     | N/A     |  |                   |
| 8                                      | 19                   | 06/12/2009        | 11:02:55          | 11:02:55       | CSTI | B    | P        | 300       | HYNY         | 1.6400      | NASDAQ Exchange   | Q             | Quantity       | 13-1                   | 06/12/2009          | 11:01:28            | CSTI | B                 | 20,000   | HYNY         | L          | 1.6500      | E03B9002CSTI  | NBSI              | GTC     | N/A     |  |                   |
| 9                                      | 20                   | 06/12/2009        | 15:20:37          | 15:20:37       | CSTI | B    | P        | 100       | HYNY         | 1.6500      | NASDAQ Exchange   | Q             | Quantity       |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 10                                     | 21                   | 06/12/2009        | 15:37:10          | 15:37:10       | CSTI | S    | P        | 100       | ESLR         | 2.6100      | NASDAQ Exchange   | Q             | Quantity       | 14-1                   | 06/12/2009          | 13:03:19            | CSTI | B                 | 25,000   | ESLR         | L          | 2.6100      | E03B900FCSTI  | NBSI              | DAY     | N/A     |  |                   |
| 11                                     | 22                   | 06/12/2009        | 15:37:14          | 15:37:14       | CSTI | S    | P        | 100       | ANCI         | 2.1100      | NASDAQ Exchange   | Q             | Price/Quantity | 15-1                   | 06/12/2009          | 15:36:37            | CSTI | SL                | 18,000   | ANCI         | L          | 2.0800      | E03B900FCSTI  | NBSI              | GTC     | \$3.00  |  |                   |
| 12                                     | 24                   | 06/15/2009        | 09:35:01          | 09:35:01       | CSTI | B    | P        | 500       | WSTL         | 0.6100      | NASDAQ Exchange   | Q             | Price          | 17-1                   | 06/15/2009          | 09:34:41            | CSTI | B                 | 5,000    | WSTL         | L          | 0.6300      | E0695754CSTI  | NBSI              | DAY     | \$33.75 |  |                   |
| 13                                     |                      | 06/15/2009        | 09:35:01          | 09:35:01       | CSTI | B    | P        | 300       | WSTL         | 0.6100      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 14                                     |                      | 06/15/2009        | 09:35:01          | 09:35:01       | CSTI | B    | P        | 300       | WSTL         | 0.6100      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 15                                     |                      | 06/15/2009        | 09:35:01          | 09:35:01       | CSTI | B    | P        | 450       | WSTL         | 0.6100      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 16                                     |                      | 06/15/2009        | 09:35:37          | 09:35:37       | CSTI | B    | P        | 1,600     | WSTL         | 0.6100      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 17                                     | 24                   | 06/15/2009        | 09:35:01          | 09:35:01       | CSTI | B    | P        | 500       | WSTL         | 0.6100      | NASDAQ Exchange   | Q             | Price/Quantity | 17-2                   | 06/15/2009          | 09:34:41            | CSTI | B                 | 5,000    | WSTL         | L          | 0.6400      | E0695753CSTI  | NBSI              | DAY     | N/A     |  |                   |
| 18                                     |                      | 06/15/2009        | 09:35:01          | 09:35:01       | CSTI | B    | P        | 300       | WSTL         | 0.6100      | NASDAQ Exchange   | Q             | Price/Quantity |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 19                                     |                      | 06/15/2009        | 09:35:01          | 09:35:01       | CSTI | B    | P        | 300       | WSTL         | 0.6100      | NASDAQ Exchange   | Q             | Price/Quantity |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 20                                     |                      | 06/15/2009        | 09:35:37          | 09:35:37       | CSTI | B    | P        | 1,600     | WSTL         | 0.6100      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 21                                     | 26                   | 06/15/2009        | 10:00:48          | 10:00:48       | CSTI | S    | P        | 1,000     | BPUR         | 0.2604      | NASDAQ Exchange   | Q             | Price          | 19-1                   | 06/15/2009          | 10:00:05            | CSTI | SL                | 50,000   | BPUR         | L          | 0.2600      | E0695753CSTI  | NBSI              | DAY     | \$1.32  |  |                   |
| 22                                     | 27                   | 06/16/2009        | 14:54:11          | 14:54:11       | CSTI | B    | P        | 200       | ESLR         | 2.4300      | NASDAQ Exchange   | Q             | Quantity       | 20-1                   | 06/16/2009          | 14:50:29            | CSTI | B                 | 25,000   | ESLR         | L          | 2.4300      | E0789992CSTI  | NBSI              | DAY     | N/A     |  |                   |
| 23                                     | 28                   | 06/16/2009        | 14:54:11          | 14:54:11       | CSTI | B    | P        | 1,910     | ESLR         | 2.4300      | NASDAQ Exchange   | Q             | Quantity       |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 24                                     | 29                   | 06/16/2009        | 14:54:11          | 14:54:11       | CSTI | B    | P        | 600       | ESLR         | 2.4300      | NASDAQ Exchange   | Q             | Quantity       |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 25                                     | 30                   | 06/16/2009        | 14:54:11          | 14:54:11       | CSTI | B    | P        | 200       | ESLR         | 2.4300      | NASDAQ Exchange   | Q             | Quantity       |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 26                                     | 31                   | 06/16/2009        | 14:54:11          | 14:54:11       | CSTI | B    | P        | 100       | ESLR         | 2.4300      | NASDAQ Exchange   | Q             | Quantity       |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 27                                     | 32                   | 06/16/2009        | 14:54:11          | 14:54:11       | CSTI | B    | P        | 200       | ESLR         | 2.4300      | NASDAQ Exchange   | Q             | Quantity       |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 28                                     | 33                   | 06/17/2009        | 13:55:14          | 13:55:14       | CSTI | B    | P        | 100       | TSTR         | 1.0400      | NASDAQ Exchange   | Q             | Quantity       | 21-1                   | 06/17/2009          | 11:43:30            | CSTI | B                 | 60,000   | TSTR         | L          | 1.0400      | E087DBD0CSTI  | NBSI              | DAY     | N/A     |  |                   |
| 29                                     | 34                   | 06/17/2009        | 13:56:47          | 13:56:47       | CSTI | B    | P        | 100       | TSTR         | 1.0400      | NASDAQ Exchange   | Q             | Quantity       |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 30                                     | 35                   | 06/17/2009        | 15:38:20          | 15:38:20       | CSTI | B    | P        | 100       | TSTR         | 1.0500      | NASDAQ Exchange   | Q             | Quantity       | 22-1                   | 06/17/2009          | 15:00:12            | CSTI | B                 | 52,500   | TSTR         | L          | 1.0500      | E087DBF7CSTI  | NBSI              | DAY     | N/A     |  |                   |
| 31                                     | 36                   | 06/17/2009        | 15:38:28          | 15:38:28       | CSTI | B    | P        | 100       | TSTR         | 1.0500      | NASDAQ Exchange   | Q             | Quantity       |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 32                                     | 38                   | 06/18/2009        | 09:35:47          | 09:35:47       | CSTI | S    | P        | 100       | TSTR         | 1.1000      | NASDAQ Exchange   | Q             | Quantity       | 23-1                   | 06/18/2009          | 09:35:25            | CSTI | SL                | 9,000    | TSTR         | L          | 1.1000      | E0971E1ECSTI  | NBSI              | DAY     | N/A     |  |                   |
| 33                                     | 39                   | 06/18/2009        | 13:57:28          | 13:57:28       | CSTI | B    | P        | 500       | DSTI         | 0.9200      | NASDAQ Exchange   | Q             | Quantity       | 24-1                   | 06/18/2009          | 11:50:23            | CSTI | B                 | 5,000    | DSTI         | L          | 0.9200      | E0971E2ACSTI  | NBSI              | GTC     | N/A     |  |                   |
| 34                                     | 40                   | 06/18/2009        | 13:57:59          | 13:57:59       | CSTI | B    | P        | 500       | DSTI         | 0.9200      | NASDAQ Exchange   | Q             | Quantity       |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 35                                     | 41                   | 06/18/2009        | 13:59:23          | 13:59:23       | CSTI | B    | P        | 200       | DSTI         | 0.9200      | NASDAQ Exchange   | Q             | Quantity       |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 36                                     | 42                   | 06/23/2009        | 10:48:55          | 10:48:55       | CSTI | S    | P        | 9,000     | BPUR         | 0.2561      | NASDAQ Exchange   | Q             | Price          | 25-1                   | 06/23/2009          | 10:47:54            | CSTI | SL                | 20,000   | BPUR         | L          | 0.2500      | E0E36955CSTI  | NBSI              | DAY     | N/A     |  |                   |
| 37                                     | 43                   | 06/23/2009        | 14:36:04          | 14:36:04       | CSTI | S    | P        | 600       | OSCI         | 0.2125      | NASDAQ Exchange   | Q             | Price          | 26-1                   | 06/23/2009          | 14:35:04            | CSTI | SL                | 35,000   | OSCI         | L          | 0.2100      | E0E36955CSTI  | NBSI              | DAY     | \$2.96  |  |                   |
| 38                                     |                      | 06/23/2009        | 14:36:04          | 14:36:04       | CSTI | S    | P        | 141       | OSCI         | 0.2125      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 39                                     |                      | 06/23/2009        | 14:36:04          | 14:36:04       | CSTI | S    | P        | 1,500     | OSCI         | 0.2125      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 40                                     |                      | 06/23/2009        | 14:36:04          | 14:36:04       | CSTI | S    | P        | 4,900     | OSCI         | 0.2121      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 41                                     |                      | 06/23/2009        | 14:36:04          | 14:36:04       | CSTI | S    | P        | 300       | OSCI         | 0.2125      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 42                                     |                      | 06/23/2009        | 14:36:04          | 14:36:04       | CSTI | S    | P        | 100       | OSCI         | 0.2125      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 43                                     |                      | 06/23/2009        | 14:36:04          | 14:36:04       | CSTI | S    | P        | 2,000     | OSCI         | 0.2125      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 44                                     |                      | 06/23/2009        | 14:36:04          | 14:36:04       | CSTI | S    | P        | 4,900     | OSCI         | 0.2125      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 45                                     |                      | 06/23/2009        | 14:36:04          | 14:36:04       | CSTI | S    | P        | 6,200     | OSCI         | 0.2125      | NASDAQ Exchange   | Q             | Price          |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 46                                     |                      | 06/24/2009        | 11:04:31          | 11:04:31       | CSTI | S    | P        | 100       | JASO         | 4.5900      | NASDAQ Exchange   | Q             | Quantity       | 27-1                   | 06/24/2009          | 10:51:55            | CSTI | SL                | 10,000   | JASO         | L          | 4.5900      | E0F2AB94CSTI  | NBSI              | DAY     | N/A     |  |                   |
| 47                                     |                      | 06/24/2009        | 11:04:35          | 11:04:35       | CSTI | S    | P        | 100       | JASO         | 4.5900      | NASDAQ Exchange   | Q             | Quantity       |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 48                                     |                      | 06/24/2009        | 11:04:46          | 11:04:46       | CSTI | S    | P        | 100       | JASO         | 4.5900      | NASDAQ Exchange   | Q             | Quantity       |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| 49                                     |                      | 06/24/2009        | 11:15:51          | 11:15:51       | CSTI | S    | P        | 100       | JASO         | 4.5900      | NASDAQ Exchange   | Q             | Price/Quantity |                        |                     |                     |      |                   |          |              |            |             |               |                   |         |         |  |                   |
| Total Resolution Amount:               |                      |                   |                   |                |      |      |          |           |              |             |                   |               |                |                        |                     |                     |      |                   |          |              |            |             |               |                   | \$41.03 |         |  |                   |