

**FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA)
OFFICE OF HEARING OFFICERS**

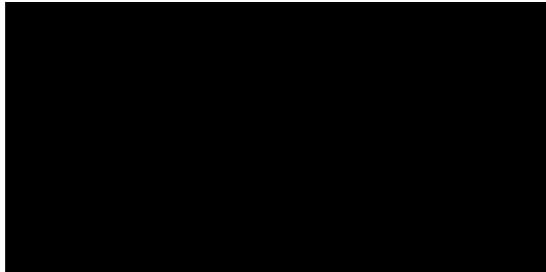
DEPARTMENT OF ENFORCEMENT,

COMPLAINANT,

v.

AURA FINANCIAL SERVICES, INC.
[CRD No. 42822]

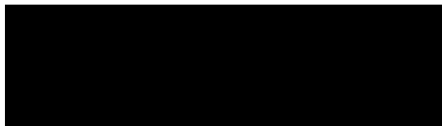
AND



AND

JONATHAN FENTON,
General Securities Principal and General
Securities Representative
[CRD No. 2781807]

AND



RESPONDENTS.

DISCIPLINARY PROCEEDING
No. E052005000702

HEARING OFFICER: _____

COMPLAINT

The Department of Enforcement alleges:

Complaint

Case No. E052005000702

Aura Financial Services, Inc.,

██████████ Jonathan Fenton

and ██████████

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1. Respondent Aura Financial Services, Inc. ("Aura") has been a member of FINRA (f/k/a National Association of Securities Dealers, Inc. or NASD) since April 25, 1997. During all periods mentioned herein, Aura was a registered broker-dealer with the United States Securities and Exchange Commission (the "Commission") and a member of FINRA, which registration and membership remain currently in effect.
2. Respondent ██████████ entered the securities industry on November 7, 1994 as a General Securities Representative with member firm DMG Securities, Inc. During all periods mentioned herein, ██████████ was registered with FINRA under Article V of the By-Laws as an Equity Trader, Financial and Operations Principal, Municipal Securities Representative, Registered Operations Principal, General Securities Principal, and General Securities Representative of Aura Financial Services, Inc., which registrations remain currently in effect. From April 1997 to present, ██████████ has served as the president of Aura.
3. Respondent Jonathan Fenton entered the securities industry on November 19, 1996 as an Investment Company and Variable Contracts Products Representative and as a General Securities Representative with member firm Ascend Financial Services (n/k/a Securian Financial Services, Inc.). On May 11, 2001, Fenton became

licensed as a General Securities Principal. During all periods mentioned herein, Fenton was registered with FINRA under Article V of the By-Laws as a General Securities Principal, and as a General Securities Representative of Aura. Aura terminated Fenton's registration on October 6, 2003, and Fenton became and remains associated with another member firm.

4. Respondent [REDACTED] entered the securities industry on September 12, 1997, as a Financial and Operations Principal with Aura. During all periods mentioned herein, [REDACTED] was registered with FINRA under Article V of the By-Laws as a Financial and Operations Principal, which registration remains currently in effect.
5. On December 20, 2005, Aura and [REDACTED] without admitting or denying the allegations, consented to a finding by FINRA that Aura and [REDACTED] had violated NASD Conduct Rules 3010(a) and 2110 by failing to establish and maintain a system reasonably designed to achieve compliance with applicable laws, regulations, and NASD rules. Among other things, the firm had no procedures in place under which turnover ratios or other measures of account activity could be considered; the compliance officer reviewed all securities transactions conducted at the firm on a daily basis, but had no guidance on what he was looking for and there were no guidelines set up in the written supervisory procedures on what the review

should entail; there was no system to flag large trades; and the written supervisory procedures were not reasonably designed to prevent and detect churning. Aura consented to a censure and a fine of \$15,000 imposed jointly and severally on Aura and [REDACTED]. In addition, [REDACTED] consented to a 5-business day suspension in a principal capacity.

6. On September 8, 2005, the Alabama Securities Commission issued a Show Cause Order against Aura and [REDACTED] asserting that Aura had failed to enforce an adequate supervisory system and failed to keep books and records in accordance with Alabama law, SEC rules and regulations, and NASD rules. That action remains pending.

SUMMARY

7. The charges against Aura include unsuitable hedge fund recommendations to four customers or whom three lost their investments, failure to supervise the sale of hedge funds, inaccurate trade reporting, and failure to properly handle receipt of customer funds. In addition, Aura is charged with failure to report customer complaints and failure to hold compliance conferences. The failure to properly

handle receipt of customer funds resulted in net capital, books and records, and FOCUS report violations.

8. [REDACTED] is charged with failure to reasonably supervise the sale of hedge fund investments.
9. Fenton is charged with making unsuitable hedge fund recommendations.
10. [REDACTED] is charged with causing Aura to be in violation of the net capital rule, the rule requiring accurate FOCUS report filings, and the books and records rule.

FIRST CAUSE OF ACTION
NASD Conduct Rules 2110 and 2310: Suitability,
Against Respondents Aura and Fenton

11. During the period from on or about February 26, 2002, to on or about May 13, 2003, Aura, acting through its registered representative Jonathan Fenton, recommended and effected the purchase of limited partnership interests in the hedge funds Futera Advantage Fund L.P. ("Futera") and Hedgers Advantage Fund L.P. ("Hedgers") by public customers AM, AP, and RK, without having reasonable grounds for believing that the recommendations and resultant transactions were suitable for the customers.

12. In addition, during the period from on or about January 25, 2002, to on or about April 2, 2003, Aura, acting through its registered representative Stephen Richmond, recommended and effected the purchase of limited partner interests in the hedge fund Hedgers by public customer RC without having reasonable grounds for believing that the recommendation and resultant transaction was suitable for the customer.¹

13. Specifically, Aura's recommendations were unsuitable for the following reasons:

- AP was a sixty-two year-old retired building operations and maintenance supervisor with an annual income of \$46,500 and liquid net worth of \$275,000. He had a stated need for income. His prior investment experience was limited to purchase of his employer's stock and investment in 401(k) program. Based upon Fenton's recommendation, AP invested 73% of his retirement savings in Futera and Hedgers on April 19, 2002. AP had no means of replacing any retirement funds he lost and depended upon the proceeds of his investments to pay his living expenses during retirement. Both hedge

¹ The Office of Hearing Officers has entered a judgment for a bar against Richmond for violation of NASD Conduct Rule 3040 and NASD Procedural Rule 8210. *DOE v. Richmond*, Disciplinary Proceeding No. C05050012, (OHO Aug. 22, 2005).

funds employed high-risk trading strategies that were unsuitable for an investor requiring protection of principal and guaranteed monthly income. Given AP's financial condition and needs, Fenton had no reasonable basis for recommending these investments by AP in Futera Fund or Hedgers. AP lost a total of \$183,204.11.

- AM was a fifty-nine year-old self-employed certified public accountant with retirement savings of \$675,000 and annual income of \$200,000.

At the time she opened a self-directed IRA account at Aura, she indicated that she was on a leave of absence from work. Fenton recommended that she invest \$195,000, or 28% of her retirement savings, in Futera and Hedgers. AM invested \$100,000 in Futera on February 26, 2002 and \$95,000 in Futera on March 20, 2002. AM had no means of replacing any retirement funds she lost and was dependent upon the proceeds of her investments to pay living expenses during retirement. The hedge fund employed high-risk trading strategies that were unsuitable for an investor approaching retirement and seeking to use the funds to provide income during retirement. Given AM's financial condition and needs, Fenton had no reasonable basis for

recommending investment by AM in Futera. AM lost the entire investment.

- RK was a fifty-eight year-old self-employed consultant with a net worth of over \$500,000 and annual income between \$100,000 and \$250,000. Based upon Fenton's recommendation, he opened an IRA account with Aura and invested \$19,853.74 in Hedgers on May 13, 2003. Fenton's recommendation was unsuitable because at that time Hedgers was on the verge of financial failure. At the time of the recommendation, Hedgers had lost significant value. In November 2002, the Hedgers account was worth \$83,553.77. Despite subsequent infusions of cash, by March 2003, the Hedgers account was worth only \$48,303.50. The account had lost money through investment losses, through unexplained wire transfers, and through a series of unexplained withdrawals to a homeowners association, to Temple Kormi, and to Home Depot. The account was also subject to almost daily house calls due to margin activity. The recommendation was unsuitable because Fenton knew that Hedgers was failing and could have no reasonable

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expectation that RK would realize any financial benefit from the investment.

- RC was a fifty-one year-old nurse with an annual income between \$50,000 and \$100,000. Although his new account form stated net worth of \$100,000 to \$250,000, his actual net worth was negative. The entirety of his funds available for retirement was his checking account of less than \$25,000, a \$10,400 variable annuity, and a 401(k) worth between \$3,000 and \$4,000. He opened an IRA account with Aura at the recommendation of Stephen Richmond and invested \$10,400 in Hedgers on September 9, 2002. On his new account form he indicated an investment objective of capital appreciation. Hedgers employed a high-risk trading strategy that was unsuitable for investment of retirement funds. Given RC's financial condition and needs, Aura, acting through Richmond, had no reasonable basis for recommending investment by RC in Hedgers. RC lost the entire investment.
- Each of the customers purchased the limited partnership interests in the hedge funds inside their Individual Retirement Accounts ("IRAs").

Due to the unique tax treatment of income from these hedge funds, ownership of the hedge fund investments are not suitable within IRA accounts where the hedge funds use leverage to purchase securities. Futera and Hedgers both used leverage to purchase investments. When this strategy is used, the investments can generate unrelated business taxable income and cause an IRA that owns interest in the funds to be subject to taxation under Section 512 of the Internal Revenue Code. Consequently, by recommending investment by public customers AM, AP, RK, and RC in the hedge funds through their IRAs, Fenton and Richmond exposed the customers to taxation risk to which they otherwise would have no exposure.

14. Such acts, practices, and conduct constitute separate and distinct violations of NASD Conduct Rules 2310 and 2110 by Aura Financial Services, Inc. and Jonathan Fenton.

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SECOND CAUSE OF ACTION
NASD Conduct Rules 3010(a) and (b) and 2110: Failure to Supervise and Failure to Enforce
Written Supervisory Procedures, Against Respondents Aura and [REDACTED]

15. During the period February 26, 2002 to on or about May 13, 2003, Aura Financial Services, Inc., acting through its president [REDACTED] failed to reasonably supervise the sale of hedge fund investments by Jonathan Fenton and Stephen Richmond.
16. Aura was the prime broker for the private placement of Futera and was one of the brokers for Hedgers.
17. Under Aura's written supervisory procedures, [REDACTED] or a designated principal was responsible for supervision of private placements. The procedures do not designate anyone other than [REDACTED]
18. [REDACTED] responsibilities specifically included maintenance of procedures concerning client suitability and review of client information including investment experience, occupation, current financial information, investor questionnaire, and the project in which the client is a partner.
19. [REDACTED] conducted no due diligence regarding the private placements of Futera and Hedgers.
20. Not only did Aura, through [REDACTED] fail to perform due diligence on the hedge

funds, but Aura also failed to have any method for principal review of the hedge fund purchases by Aura customers. Although Aura did have procedures for principal review of new account forms, Aura had no procedures to review customer investments made via journal entries. In each instance involving investment by an Aura customer in either Futera or Hedgers, the initial transaction in the new customer accounts consisted of a large purchase of a limited partnership interest in either Futera or Hedgers. The purchases were accomplished through a letter of authorization sent by Fenton or Richmond to the customer. The form authorized Sterne, Agee, and Leach Inc. (Aura's clearing firm) to purchase limited partnership interests in Futera or Hedgers using funds in the customer's IRA account. The form was signed by the customer and forwarded to Fenton or Richmond. Fenton or Richmond then forwarded the form to a non-registered person in Aura's main office, who then effected the transaction via a journal entry from the customer's account to the account of Futera or Hedgers. Aura had no procedure for supervisory review of these transactions. The transactions were accomplished via a signature from the customer and were entered by a non-associated person. Thus, neither [REDACTED] nor any other Aura principal compared the purchases to the information provided on the account forms to determine suitability.

21. Both funds engaged in transactions that appeared inconsistent with their stated strategies of "capital appreciation" and "achieving high total returns." For instance, Futera routinely transferred large amounts to Hedgers. Within the month of September 2002, Futera transferred to Hedgers over \$26,000 in four separate transactions. In August 2002, Hedgers wire-transferred \$28,448 to a person or entity "Ion Cangea." The general partner issued checks from Hedgers to Sears Roebuck, Home Depot, and a homeowners association, and account records for Hedgers showed numerous cash withdrawals. The Futera transfers were signed by Fenton and the fund manager and were not reviewed by anyone else at Aura.
22. Such acts, practices, and conduct constitute separate and distinct violations of NASD Conduct Rules 2110 and 3010(a) and (b) by Respondents Aura Financial Services, Inc. and [REDACTED]

THIRD CAUSE OF ACTION
NASD Conduct Rules 3010 (a) and (b) and 2110: Failure to Supervise and Failure to Enforce
Written Supervisory Procedures, Against Respondent Aura

23. In 2003, in lieu of an actual meeting with each registered representative, the firm planned to discuss compliance with each registered representative over the phone. The firm sent a compliance questionnaire to each registered representative and a

form requiring certification that the registered representative had reviewed the compliance manual. The circulation of the questionnaire and certification form did not satisfy the requirement for an annual meeting. Although a phone call to discuss compliance may satisfy the requirement of an annual meeting, Aura had no documentation confirming that each registered representative had attended the annual meeting or participated in a phone call, as required by NASD Conduct Rules 3010(a) and (b).

24. Such acts, practices, and conduct constitute separate and distinct violations of NASD Conduct Rules 3010(a) and (b) and 2110 by Respondent Aura Financial Services, Inc.

FOURTH CAUSE OF ACTION
MSRB Rules G-14 and G-15: Failure to Accurately Report
Municipal Securities Transactions, Against Respondent Aura

25. During the period from on or about June 1, 2002, through on or about June 30, 2004, Aura failed to accurately report to the MSRB 40 of 40 municipal securities transactions selected from a random sample. The trades at issue are listed in Exhibit A attached to this Complaint. Aura executed a total of 60 municipal securities transactions during the time period. The 40 transactions reviewed were

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chosen via random sampling. For each of the 40 selected, Aura incorrectly reported transactions conducted on an agency basis as principal trades, and Aura incorrectly identified the transactions as principal trades on all 40 of the customer confirmations.

26. Aura apparently relied on its clearing firm to determine the capacity of the trades based upon the type of account effecting the transaction. Aura, however, had no systems in place to check whether its municipal trades had been accurately reported, and for two years failed to detect the error. Aura had participated in an Exit Conference with FINRA staff in May 2002 and the resulting Compliance Conference with FINRA (then NASD) in June 2003 in which FINRA cited Aura for failing to report any of its municipal securities transactions. At that time, Aura blamed its clearing firm for the failure. Despite this notice of its clearing firm's shortcomings, Aura did not institute systems to verify accurate reporting.
27. Such acts, practices, and conduct constitute separate and distinct violations of MSRB Rules G-14 and G-15 by Respondent Aura Financial Services, Inc.

FIFTH CAUSE OF ACTION
NASD Conduct Rules 2110, 4632, 4642 and 5430:
Failure to Report Trades, Against Respondent Aura

28. During the period from on or about March 1, 2004, through on or about May 31, 2004, Aura failed to report through the Automated Transaction Commission Reporting Service any last sale reports or non-tape, non-clearing reports for its riskless principal transactions in Nasdaq securities. For the three-month period, Aura failed to report over 1,458 riskless principal transactions. The trades are listed in Exhibit B attached to this Complaint. The transactions were unreported because Aura failed to activate its Market Participation Identifying Symbol ("MPID"). Aura never verified that its trades were being reported. Furthermore, Aura was on notice of the need to activate its MPID, because it had experienced a similar problem with its municipal trading activation in 2002.
29. Such acts, practices, and conduct constitute separate and distinct violations of NASD Conduct Rules 2110, 4632, 4642 and 5430 by Respondent Aura Financial Services, Inc.

SIXTH CAUSE OF ACTION
NASD Conduct Rules 2110 and 6230:
Failure to Accurately Record Agency Trades, Against Respondent Aura

30. For TRACE-eligible securities, FINRA staff reviewed the order tickets and

confirmations for all reported trades for the period June 1, 2003 through June 30, 2004. Aura reported all customer trades as principal and confirmed the trades to its customers as principal. The firm executed a total of 39 TRACE-eligible securities transactions for the period. In each instance, the trades were incorrectly characterized as principal transactions. The trades at issue are listed in Exhibit C attached to this Complaint.

31. Such acts, practices, and conduct constitute separate and distinct violations of NASD Conduct Rules 2110 and 6230 by Respondent Aura Financial Services, Inc.

SEVENTH CAUSE OF ACTION
NASD Conduct Rules 3070(c) and 2110:
Failure to Report Customer Complaints, Against Respondent Aura

32. During the period from on or about May 7, 2004, to on or about January 24, 2005, Aura failed to report 14 written customer complaints to FINRA by the fifteenth day of the month following the calendar quarter in which the complaint was received. The customer complaints at issue are listed in Exhibit D attached to this Complaint.
33. Such acts, practices, and conduct constitute separate and distinct violations of NASD Conduct Rules 2110 and 3070(c) by Respondent Aura Financial Services, Inc.

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EIGHTH CAUSE OF ACTION

SEC Rules 15c3-1, 15c3-3, 17a-3(a)(ii), 17a-5 and 17a-11 and NASD Conduct Rules 2110 and 3110: Net Capital Violations, Customer Protection Rule Violations, Books and Records Violations and Inaccurate FOCUS Filings, Against Respondent Aura; Causing Aura to be in Net Capital Violation, Books and Records Violations and Causing Aura to Make Inaccurate FOCUS filings, Against Respondent [REDACTED]

34. During the period from on or about March 1, 2004, through on or about May 18, 2004, Aura received customer checks issued to the firm and failed to promptly forward the customer checks on nine occasions.
35. By receiving checks made payable to itself and by failing to promptly forward customer checks to its clearing firm, Aura became a broker or dealer that receives or holds funds for customers, requiring the firm to maintain a net capital of \$250,000. Aura also became subject to the requirement that it establish a reserve bank account for customer protection.
36. During the entire time period at issue, [REDACTED] was Aura's Financial and Operations Principal.
37. Aura conducted a securities business on the following days:
- March 1, 2004 through March 4, 2004
 - April 2, 2004
 - April 8, 2004 through April 11, 2004
 - May 3, 2004
 - May 10, 2004 through May 16, 2004

May 18, 2004

38. For these time periods, Aura's net capital, as computed by FINRA staff, was below the required minimum, as prescribed by SEC Rule 15c3-1.

39. For these time periods, Aura lost its 15c3-3(k)(2)(ii) exemption and was required to have a special reserve account for customers' protection as prescribed by SEC Rule 15c3-3.

40. Aura, in contravention of SEC Rule 15c3-1, engaged in a securities business when the firm's net capital was below the required minimum, as prescribed by SEC Rule 15c3-1. As a consequence, the firm's FOCUS Part IIA Report for the quarter-ending period of March 31, 2004, and its books and records for the period from on or about March 1 2004 through on or about May 18, 2004, were inaccurate. As described above, the inaccuracies resulted from the firm's receipt of customer checks made payable to Aura.

41. Aura, acting through [REDACTED] in contravention of SEC Rule 15c3-3, engaged in a securities business without establishing a reserve bank account or qualifying for an exemption, on the dates set forth in paragraph 37. As described above, the failure to qualify for the exemption resulted from the firm's failure to promptly forward customer checks made payable to Aura.

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42. Such acts, practices and conduct constitute separate and distinct violations of SEC Rules 15c3-1, 15c3-3, 17a-11, 17a-3, 17a-4 and 17a-5 and NASD Conduct Rules 2110 and 2110 by Aura Financial Services Inc., and of NASD Conduct Rules 3110 and 2110 by Respondent [REDACTED]

RELIEF REQUESTED

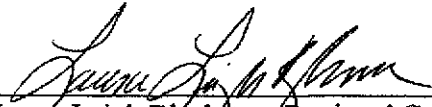
WHEREFORE, the Department respectfully requests that the Panel:

- A. order that one or more of the sanctions provided under NASD Rule 8310(a) be imposed, including that the Respondents be required to disgorge fully any and all ill-gotten gains and/or make full and complete restitution, together with interest.
- B. order that the Respondents bear such costs of proceeding as are deemed fair and appropriate under the circumstances in accordance with NASD Rule 8330.

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Date: December 5, 2007


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SCHEDULE OF MUNICIPAL TRADES WITH INCORRECT CAPACITY REPORTED										
Item Number	Trade Type	CUSIP	Security Description	Trade Date	Time of Trade	Customer Buy/Sell	Par	Price	Yield	Capacity Reported
1	Customer	090929EB-2	BIRMINGHAM 5.0 06/01/2027	6/24/2002	1300	Buy	5,000	100.0000	5.0000	Principal
2	Customer	091036AL-2	BIRMINGHAM 4.7 01/01/2029	6/23/2003	1512	Sell	20,000	98.3750	4.8620	Principal
3	Customer	091163BD-6	BIRMINGHAM 4.0 07/01/2011	7/28/2003	1041	Buy	10,000	98.0000	4.3000	Principal
4	Customer	107417JW-8	BREVARD CNT 5.6 09/01/2021	7/19/2002	0011	Sell	10,000	99.2500	6.7190	Principal
5	Customer	123355AC-3	BUTLER ALA 5.9 12/01/2012	11/21/2003	1545	Buy	5,000	99.5000	5.9720	Principal
6	Customer	162042FE-0	CHATHAM CNT 4.2 08/01/2015	8/02/2002	1246	Buy	50,000	100.9940	4.1000	Principal
7	Customer	162042FE-0	CHATHAM CNT 4.2 08/01/2015	4/15/2003	1136	Sell	50,000	101.1510	4.0790	Principal
8	Customer	167562GC-5	CHICAGO ILL 5.1 01/01/2031	9/17/2003	1614	Sell	10,000	96.8100	5.3370	Principal
9	Customer	190828UM-3	COBB CNTY G 5.1 07/01/2007	8/28/2002	1359	Buy	20,000	107.9790	1.7500	Principal
10	Customer	190828UM-3	COBB CNTY G 5.1 07/01/2007	4/15/2003	1136	Sell	20,000	105.2670	2.2880	Principal
11	Customer	220121AS-6	CORPUS CHR 5.3 03/01/2020	5/27/2003	1358	Sell	25,000	104.7500	4.6370	Principal
12	Customer	223658MU-6	COWETA CNTY 8.5 07/01/2029	7/25/2003	1445	Sell	15,000	91.5000	9.3770	Principal
13	Customer	259030MS-0	DOUGLAS CNT 3.3 10/01/2009	8/20/2002	1011	Buy	25,000	100.8410	3.1500	Principal
14	Customer	403763PW-9	WINNETT CN 4.9 08/01/2006	4/15/2003	1136	Sell	10,000	104.8740	2.5460	Principal
15	Customer	441879BR-3	HOUSTON CNT 5.5 10/01/2019	7/08/2003	1531	Sell	10,000	99.7800	5.5200	Principal
16	Customer	447024SL-0	HUNTSVILLE 5.1 05/01/2021	6/30/2003	1230	Sell	30,000	103.6880	4.6860	Principal
17	Customer	44706HBN-6	HUNTSVILLE 5.7 06/01/2032	11/01/2002	1412	Buy	15,000	103.6010	5.3000	Principal
18	Customer	44706HCC-9	HUNTSVILLE 5.5 06/01/2027	6/30/2003	1230	Sell	65,000	105.7160	4.8170	Principal
19	Customer	472682GA-5	JEFFERSON C 5.1 02/01/2029	6/23/2003	1512	Sell	20,000	112.2500	2.9030	Principal
20	Customer	472682GA-5	JEFFERSON C 5.1 02/01/2029	6/30/2003	1230	Sell	20,000	112.2010	2.9060	Principal
21	Customer	472682GA-5	JEFFERSON C 5.1 02/01/2029	7/01/2003	1351	Sell	10,000	112.2010	2.9020	Principal
22	Customer	472682JR-5	JEFFERSON C 5.0 02/01/2041	6/12/2002	1458	Buy	30,000	97.4900	5.1500	Principal
23	Customer	509632BH-7	LAKE ELSINO 7.5 10/01/2020	7/24/2002	1450	Sell	15,000	99.4580	7.5540	Principal
24	Customer	569027EF-8	MARION CNTY 5.0 06/01/2027	5/27/2003	1358	Sell	10,000	98.6440	5.0990	Principal
25	Customer	577635AH-8	MAURY CNTY 6.5 09/01/2024	5/05/2003	1319	Sell	5,000	101.5000	5.9900	Principal
26	Customer	607114E3-5	MOBILE ALA 0.08/15/2020	3/25/2004	1130	Buy	100,000	47.4880	2.9970	Principal
27	Customer	607284PT-7	MOBILE CNTY 5.1 03/01/2026	7/01/2003	1401	Sell	30,000	101.2190	4.9310	Principal
28	Customer	607284PT-7	MOBILE CNTY 5.1 03/01/2026	7/01/2003	1401	Sell	20,000	101.2190	4.9310	Principal
29	Customer	613041GH-9	MONTGOMERY 5.0 11/15/2029	6/05/2002	1514	Buy	30,000	100.0000	4.9990	Principal
30	Customer	613041GH-9	MONTGOMERY 5.0 11/15/2029	6/07/2002	0011	Buy	20,000	100.0000	4.9990	Principal
31	Customer	631481LM-8	NASHVILLE T 3.5 08/01/2004	6/03/2003	1050	Sell	15,000	99.1290	4.2790	Principal
32	Customer	847199FA-1	NEW MEXICO 5.4 07/01/2018	9/17/2003	1614	Sell	35,000	100.5000	5.3040	Principal
33	Customer	847199LC-0	NEW MEXICO 5.1 09/01/2019	9/17/2003	1614	Sell	25,000	100.1000	5.1320	Principal
34	Customer	650033NY-5	NEW YORK ST 0.0 07/01/2006	11/07/2003	1223	Sell	10,000	93.0380	3.4110	Principal
35	Customer	716220AU-2	PETERSBURG 5.4 08/01/2017	12/23/2003	1505	Sell	30,000	96.6800	5.7550	Principal
36	Customer	745190AV-0	PUERTO RICO 0.0 07/01/2018	11/20/2003	1117	Buy	20,000	54.7500	4.1690	Principal
37	Customer	897825BJ-3	TRUCKEE MEA 5.0 07/01/2025	5/27/2003	1416	Sell	15,000	100.6330	4.9040	Principal
38	Customer	93877MAS-5	WASHINGTON 4.7 10/01/2028	5/27/2003	1417	Sell	25,000	99.7960	4.7640	Principal
39	Customer	940545AB-2	WASHINGTON 5.2 06/15/2004	7/10/2002	1449	Buy	10,000	100.0000	5.1320	Principal
40	Customer	944314HK-2	WAYNE CHART 5.0 12/01/2022	10/24/2003	1245	Sell	10,000	96.7500	5.2720	Principal

Unreported Equity Trades

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Rep ACCT	Security Description	Trade Date	Quantity Long	Quantity Short	Value Cost	Value Proceeds	Customer Account	Contract Price	Settlement Date
	SCIENTIFIC GAMES CORP	3/30/2004		5000		97746.18		19.5500	040204
	SCIENTIFIC GAMES CORP	3/31/2004		5000		96246.24		19.2500	040504
	VAXGEN INC NEW	3/30/2004	5000		50,000.00			10.0000	040204
	BALLY TOTAL FITNESS	3/19/2004		5000		32648.72		6.5300	032404
	MIDWAY GAMES INC	3/8/2004	1800		11,160.00			6.2000	031104
	SILICON GRAPHICS INC	3/8/2004		5000		15699.38		3.1400	031104
	SILICON GRAPHICS INC	3/30/2004	10000		24,800.00			2.4800	040204
	SIRIUS SATELLITE RADIO	3/30/2004		7000		24009.06		3.4300	040204
	ABAXIS INC	3/9/2004		650		12655.00		19.4700	031204
	ABAXIS INC	3/10/2004		550		10488.09		19.0700	031504
	ABAXIS INC	3/10/2004		450		8581.16		19.0700	031504
	ABAXIS INC	3/23/2004	550		10,274.00			18.6800	032604
	ABAXIS INC	3/26/2004		700		14237.44		20.3400	033104
	BERRY PETE CO CLASS A	3/26/2004		550		14398.43		26.1800	033104
	BERRY PETE CO CLASS A	3/26/2004		550		14398.43		26.1800	033104
	EDGE PETE CORP	3/23/2004	500		7,005.00			14.0100	032604
	GENERAL MARITIME CORP	3/9/2004		700		15266.40		21.8100	031204
	GENERAL MARITIME CORP	3/9/2004		1000		21229.17		21.2300	031204
	GENERAL MARITIME CORP	3/9/2004		1000		21079.17		21.0800	031204
	GENERAL MARITIME CORP	3/11/2004		550		11263.56		20.4800	031604
	GENERAL MARITIME CORP	3/11/2004		450		9215.64		20.4800	031604
	GENERAL MARITIME CORP	3/23/2004	550		10,972.50			19.9500	032604
	GRAFTECH INTL LTD	3/26/2004		700		10436.59		14.9100	033104
	GRAFTECH INTL LTD	3/26/2004		790		11778.44		14.9100	033104
	GRAFTECH INTL LTD	3/26/2004		500		7454.70		14.9100	033104
	KCS ENERGY INC	NEV 3/9/2004		700		7968.48		11.3840	031204
	KCS ENERGY INC	NEV 3/9/2004		650		7396.71		11.3800	031204
	KCS ENERGY INC	NEV 3/9/2004		1000		11199.56		11.2000	031204
	KCS ENERGY INC	NEV 3/10/2004		550		6132.26		11.1500	031504
	KCS ENERGY INC	NEV 3/9/2004		1000		11049.56		11.0500	031204
	KCS ENERGY INC	NEV 3/23/2004	550		5,665.00			10.3000	032604
	KCS ENERGY INC	NEV 3/26/2004		700		7188.71		10.2700	033104
	KCS ENERGY INC	NEV 3/26/2004		790		8112.98		10.2700	033104
	KCS ENERGY INC	NEV 3/26/2004		550		5648.27		10.2700	033104
	KCS ENERGY INC	NEV 3/26/2004		550		5648.27		10.2700	033104
	RAYOVAC CORP	3/26/2004		500		13894.45		27.7900	033104
	SWIFT ENERGY CO	3/23/2004	480		8,539.20			17.7900	032604
	SWIFT ENERGY CO	3/26/2004		700		12768.20		18.2410	033104
	BIOLASE TECHNOLOGY IN	3/1/2004	40		736.77			18.4193	030404
	BIOLASE TECHNOLOGY IN	2/27/2004		1070		20692.99		19.3400	030304
	BIOLASE TECHNOLOGY IN	3/31/2004	1070		18,495.06			17.2851	040504
	BIOLASE TECHNOLOGY IN	3/31/2004	1200		20,742.12			17.2851	040504
	BIOLASE TECHNOLOGY IN	3/31/2004	1033		17,855.51			17.2851	040504
	CHIPMOS TECH BERMUDA	3/1/2004	33		366.28			11.0994	030404
	CHIPMOS TECH BERMUDA	3/31/2004	1100		11,255.31			10.2321	040504
	CHIPMOS TECH BERMUDA	3/31/2004	2000		20,464.20			10.2321	040504
	CHIPMOS TECH BERMUDA	3/31/2004	1690		17,292.25			10.2321	040504
	HRPT PPTY TR SBI	* 3/31/2004		2540		30148.62		11.8700	040504
	HRPT PPTY TR SBI	* 3/31/2004		1863		22112.94		11.8700	040504
	LUMINENT MORTGAGE	3/31/2004		2030		30022.52		14.7900	040504
	LUMINENT MORTGAGE	3/31/2004		1475		21814.39		14.7900	040504
	LUMINENT MORTGAGE	3/31/2004		1827		27020.27		14.7900	040504
	MFA MTG INVT INC	* 3/31/2004		2800		29551.44		10.5545	040504
	MFA MTG INVT INC	* 3/31/2004		2035		21477.57		10.5545	040504
	MFA MTG INVT INC	* 3/31/2004		2520		26596.30		10.5545	040504
	OMEGA HEALTHCARE	3/31/2004		877		9962.33		11.3600	040504

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	OMEGA HEALTHCARE		3/31/2004		1229		13960.89		11.3600	040504
	TASER INTL INC		3/26/2004	190		12,919.49			67.9973	033104
	TASER INTL INC		3/26/2004	370		25,159.00			67.9973	033104
	TASER INTL INC		3/26/2004	440		29,918.81			67.9973	033104
	TASER INTL INC		3/26/2004	730		49,638.03			67.9973	033104
	ANNALY MTG MGMT INC		3/30/2004	225		4,153.32			18.4592	040204
	ANWORTH MTG ASSET CO		3/30/2004	325		4,309.31			13.2594	040204
	ARIAD PHARMACEUTICALS		3/31/2004		2149		21616.59		10.0593	040504
	ARIAD PHARMACEUTICALS		3/31/2004		1900		19111.92		10.0593	040504
	AVAYA INC		3/30/2004	2		30.79			15.3950	040204
	AZCO MINING INC		3/30/2004	1000		110.00			0.1100	040204
	BRIGHAM EXPLORATION		3/25/2004	128		896.00			7.0000	033004
	CALEDONIA MINING CORP		3/30/2004	665		170.91			0.2570	040204
	COMCAST CORP NEW CL		3/30/2004	9		260.53			28.9478	040204
	ERICSSON L M TEL CO		3/30/2004	82		2,161.43			26.3589	040204
	EDGE PETE CORP		3/31/2004		1412		21597.10		15.2960	040504
	EDGE PETE CORP		3/31/2004		1300		19884.02		15.2960	040504
	EUROPEAN MINERALS CO		3/30/2004	250		185.00			0.7400	040204
	FLIGHT SAFETY		3/30/2004	333		667.96			2.0059	040204
	HOPEWELL HOLDINGS LTD		3/30/2004	67		127.29			1.8999	040204
	HUMAN GENOME SCIENCE		3/30/2004	100		1,208.99			12.0899	040204
	LUCENT TECHNOLOGIES		3/30/2004	25		102.49			4.0996	040204
	MATTSON TECHNOLOGY		3/31/2004		1730		21501.33		12.4290	040504
	MATTSON TECHNOLOGY		3/31/2004		1600		19885.62		12.4290	040504
	NEWMONT MINING CORP		3/30/2004	200		8,957.64			44.7882	040204
	PATRIOT GOLD CORP		3/30/2004	2000		3,628.81			1.8144	040204
	PERUSSAHAAN PERSONAL		3/30/2004	141		2,935.49			20.8191	040204
	QUALCOMM INC		3/30/2004	25		1,559.93			62.3972	040204
	QUIDEL CORP		2/24/2004		6048		73056.99		12.0800	022704
	SINO FOREST CORP		3/30/2004	1000		2,196.40			2.1964	040204
	SINO FOREST CORP		3/31/2004		1392		21589.07		15.5100	040504
	SINO FOREST CORP		3/31/2004		1289		19991.61		15.5100	040504
	VAN KAMPEN PA VALUE		3/30/2004	300		4,817.79			16.0593	040204
	WITNESS SYSTEMS INC		3/31/2004		1590		21609.79		13.5916	040504
	WITNESS SYSTEMS INC		3/31/2004		1470		19978.87		13.5916	040504
	BIO REFERENCE LABS INC		2/24/2004		4004		73030.11		18.2400	022704
	BIOLASE TECHNOLOGY INC		2/24/2004		3892		71726.76		18.4300	022704
	CHIPMOS TECH BERMUDA		2/24/2004		6849		72665.05		10.6100	022704
	DITECH COMMNS CORP		2/24/2004		4109		72110.13		17.5500	022704
	HARVARD BIOSCIENCE INC		3/10/2004	200		1,963.92			9.8196	031504
	NUTRACEUTICAL INTL CO		2/24/2004		4315		72575.46		16.8200	022704
	QLT INC		2/24/2004		3260		72727.76		22.3100	022704
	WITNESS SYSTEMS INC		2/24/2004		6162		72215.82		11.7200	022704
	ANWORTH MTG ASSET CO		3/30/2004	470		6,231.92			13.2594	040204
	APHTON CORP		3/22/2004	1136		5,725.21			5.0398	032504
	APHTON CORP		3/22/2004	200		1,025.96			5.1298	032504
	ASSOCIATED ESTATES RL		3/24/2004		920		8895.68		9.6696	032904
	ASSOCIATED ESTATES RL		3/24/2004		1000		9669.22		9.6696	032904
	ASSOCIATED ESTATES RL		3/24/2004		885		8557.26		9.6696	032904
	BOYKIN LODGING CO		3/24/2004		900		8947.45		9.9420	032904
	BOYKIN LODGING CO		3/24/2004		990		9842.19		9.9420	032904
	BOYKIN LODGING CO		3/24/2004		870		8649.20		9.9420	032904
	BOYKIN LODGING CO		3/30/2004	900		8,198.64			9.1096	040204
	BOYKIN LODGING CO		3/30/2004	990		9,018.50			9.1096	040204
	BOYKIN LODGING CO		3/30/2004	870		7,925.35			9.1096	040204
	CAPSTEAD MTG CORP PFT		3/22/2004	940		12,557.93			13.3595	032504

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	CAPSTEAD MTG CORP PFD		3/23/2004	580		7,771.71			13.3995	032604
	CITY TELECOM HK LTD		3/22/2004	1200		7,307.76			6.0898	032504
	CORILLIAN CORP		3/11/2004	1033		4,939.81			4.7820	031604
	CORILLIAN CORP		3/22/2004	1102		4,914.70			4.4598	032504
	CORNERSTONE REALTY		3/30/2004		1000		9683.12		9.6835	040204
	CORNERSTONE REALTY		3/30/2004		650		6294.03		9.6835	040204
	CYBERGUARD CORP		3/24/2004	1530		14,243.69			9.3096	032904
	CYBERGUARD CORP		3/24/2004	1254		11,674.24			9.3096	032904
	DECODE GENETICS INC		3/9/2004	841		9,309.03			11.0690	031204
	DECODE GENETICS INC		3/9/2004	456		5,976.70			13.1068	031204
	DECODE GENETICS INC		3/9/2004	400		5,242.72			13.1068	031204
	DOCUCORP INTL INC		3/9/2004	1099		14,349.42			13.0568	031204
	DOCUCORP INTL INC		3/9/2004	550		6,610.45			12.0190	031204
	DOCUCORP INTL INC		3/9/2004	550		7,208.74			13.1068	031204
	ESCALON MED CORP	N	3/1/2004	569		7,601.38			13.3592	030404
	ESCALON MED CORP	N	3/1/2004	629		8,402.94			13.3592	030404
	ESCALON MED CORP	N	3/1/2004	888		11,862.97			13.3592	030404
	HRPT PPTY TR SBI	*	3/30/2004		750		8826.40		11.7690	040204
	LUMINENT MORTGAGE		3/24/2004		650		9699.90		14.9235	032904
	LUMINENT MORTGAGE		3/31/2004		1500		22147.83		14.7658	040504
	LUMINENT MORTGAGE		3/31/2004		1500		22147.83		14.7658	040504
	MFA MTG INVTS INC	*	3/24/2004		890		9647.22		10.8400	032904
	OMEGA HEALTHCARE		3/30/2004		900		10163.03		11.2927	040204
	OMEGA HEALTHCARE		3/30/2004		700		7904.58		11.2927	040204
	OMEGA HEALTHCARE		3/30/2004		800		9033.80		11.2927	040204
	OMEGA HEALTHCARE		3/30/2004		700		7904.58		11.2927	040204
	PENGROWTH ENERGY TR		3/23/2004	570		7,700.42			13.5095	032604
	PERMIAN BASIN RTY TR L		3/24/2004		900		8796.34		9.7741	032904
	PERMIAN BASIN RTY TR L		3/24/2004		990		9675.98		9.7741	032904
	PERMIAN BASIN RTY TR L		3/24/2004		870		8503.13		9.7741	032904
	PERMIAN BASIN RTY TR L		3/30/2004	990		8,672.00			8.7596	040204
	QUIDEL CORP		3/19/2004	400		2,902.32			7.2558	032404
	QUIDEL CORP		3/19/2004	400		2,902.32			7.2558	032404
	QUIDEL CORP		3/19/2004	563		4,085.02			7.2558	032404
	QUIDEL CORP		3/19/2004	624		4,527.62			7.2558	032404
	SPRINT CORP	C	3/23/2004	890		8,730.54			9.8096	032604
	TELESYSTEM INTL WIREL		3/22/2004	850		8,033.18			9.4508	032504
	TELESYSTEM INTL WIREL		3/22/2004	850		8,033.18			9.4508	032504
	WITNESS SYSTEMS INC		3/11/2004	1000		12,896.50			12.8965	031604
	WITNESS SYSTEMS INC		3/11/2004	1000		12,896.50			12.8965	031604
	ADOBE SYSTEMS INC		3/29/2004	300		11,744.52			39.1484	040104
	ADVANCED MICRO DEVS		3/25/2004	2000		31,298.80			15.6494	033004
	BEST BUY CO INC		3/29/2004		400		20339.20		50.8500	040104
	BEST BUY CO INC		3/31/2004	400		20,439.20			51.0980	040504
	BIG LOTS INC		3/25/2004	870		11,822.78			13.5894	033004
	BOSTON SCIENTIFIC COR		3/5/2004		900		41128.39		45.7000	031004
	BOSTON SCIENTIFIC COR		3/5/2004		600		26878.95		44.8000	031004
	BOSTON SCIENTIFIC COR		3/5/2004		600		26872.95		44.7900	031004
	BOSTON SCIENTIFIC COR		3/19/2004		700		29076.86		41.5400	032404
	BOSTON SCIENTIFIC COR		3/29/2004	700		29,566.81			42.2383	040104
	CARMAX INC		3/29/2004		1000		30098.82		30.1000	040104
	CIENA CORP		3/1/2004		1500		9089.64		6.0600	030404
	CORNING INC		3/19/2004		500		5569.78		11.1400	032404
	CORNING INC		3/22/2004		1000		10729.58		10.7300	032504
	CORNING INC		3/23/2004		1300		14572.43		11.2100	032604
	EXTREME NETWORKS INC		3/16/2004	1000		6,549.70			6.5497	031904

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	EXTREME NETWORKS INC		3/18/2004			1000		6979.72		6.9800	032304
	EXTREME NETWORKS INC		3/19/2004			1000		6839.73		6.8400	032404
	EXTREME NETWORKS INC		3/19/2004			2000		14039.45		7.0200	032404
	EXTREME NETWORKS INC		3/25/2004			1000		6945.72		6.9460	033004
	EXTREME NETWORKS INC		3/31/2004			2000		15099.41		7.5500	040504
	FOUNDRY NETWORKS INC		3/9/2004			1000		20999.18		21.0000	031204
	FOUNDRY NETWORKS INC		3/10/2004			1000		20539.19		20.5400	031504
	FOUNDRY NETWORKS INC		3/24/2004			600		10085.60		16.8100	032904
	FOUNDRY NETWORKS INC		3/25/2004			500		8364.67		16.7300	033004
	FOUNDRY NETWORKS INC		3/26/2004			750		13341.97		17.7900	033104
	GENERAL ELECTRIC CO		3/29/2004			400		12635.50		31.5900	040104
	GENERAL ELECTRIC CO		3/29/2004			350		11063.06		31.6100	040104
	JABIL CIRCUIT INC		3/29/2004		390		11,106.77			28.4789	040104
	MCDATA CORP CL A		3/8/2004			2000		17819.30		8.9100	031104
	MICROSOFT CORP		3/22/2004			500		12734.50		25.4700	032504
	NETWORK APPLIANCE INC		3/24/2004		1000		19,964.20			19.9642	032904
	NETWORK APPLIANCE INC		3/29/2004		1500		31,438.65			20.9591	040104
	NORTEL NETWORKS CRP		3/1/2004			2500		20674.19		8.2700	030404
	NORTEL NETWORKS CRP		3/2/2004			2000		16299.36		8.1500	030504
	NORTEL NETWORKS CRP		3/3/2004			2000		16170.16		8.0854	030804
	NORTEL NETWORKS CRP		3/3/2004			2500		20212.71		8.0854	030804
	NORTEL NETWORKS CRP		3/3/2004			2000		16170.16		8.0854	030804
	NORTEL NETWORKS CRP		3/9/2004			1500		11099.56		7.4000	031204
	NORTEL NETWORKS CRP		3/23/2004			2000		11239.56		5.6200	032604
	SEPRACOR INC		3/1/2004		2000		75,299.80			37.6499	030404
	AMGEN INC		3/5/2004			500		32656.22		65.3150	031004
	AMGEN INC		3/5/2004			500		32656.22		65.3150	031004
	AMGEN INC		3/8/2004			500		32483.73		64.9700	031104
	AMGEN INC		3/30/2004			385		23484.08		61.0000	040204
	CIENA CORP		3/1/2004			1000		6056.76		6.0570	030404
	CIENA CORP		3/10/2004		1000		5,369.80			5.3698	031504
	CIENA CORP		3/18/2004			3000		15629.39		5.2100	032304
	CIENA CORP		3/29/2004		1000		4,829.80			4.8298	040104
	CISCO SYSTEMS INC		3/16/2004		1000		22,029.10			22.0291	031904
	CORNING INC		3/25/2004			2000		22359.12		11.1800	033004
	CORNING INC		3/25/2004			1000		11389.55		11.3900	033004
	CORNING INC		3/30/2004			1000		11769.54		11.7700	040204
	DELTA PETROLEUM CORP		3/9/2004			1000		9628.92		9.6293	031204
	DELTA PETROLEUM CORP		3/9/2004			1000		9628.92		9.6293	031204
	DELTA PETROLEUM CORP		3/9/2004			1000		9628.92		9.6293	031204
	DIGITAL RIV INC		3/2/2004			1000		22869.10		22.8700	030504
	DUKE ENERGY CORP		3/17/2004			1000		22879.10		22.8800	032204
	DUKE ENERGY CORP		3/16/2004		1000		12,079.50			12.0795	031904
	DUKE ENERGY CORP		3/9/2004			1000		7499.70		7.5000	031204
	DUKE ENERGY CORP		3/9/2004			1000		7499.70		7.5000	031204
	EXTREME NETWORKS INC		3/30/2004			1000		7649.70		7.6500	040204
	FOUNDRY NETWORKS INC		3/10/2004			500		10279.59		20.5600	031504
	FOUNDRY NETWORKS INC		3/10/2004			500		10289.59		20.5800	031504
	FOUNDRY NETWORKS INC		3/10/2004			500		10289.59		20.5800	031504
	FOUNDRY NETWORKS INC		3/10/2004			1000		20579.19		20.5800	031504
	FOUNDRY NETWORKS INC		3/10/2004			1000		20579.19		20.5800	031504
	GENERAL ELECTRIC CO		3/29/2004			1000		32008.75		32.0100	040104
	GENERAL ELECTRIC CO		3/29/2004			500		15944.37		31.8900	040104
	GENERAL ELECTRIC CO		3/30/2004			500		15784.38		31.5700	040204
	GENERAL ELECTRIC CO		3/31/2004			500		15984.37		31.9700	040504
	GENERAL ELECTRIC CO		3/31/2004			300		9560.62		31.8700	040504

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	INTEL CORP		3/5/2004		500		15044.41		30.0900	031004
	MAXTOR CORP NEW		3/16/2004	1000		8,809.60			8.8096	031904
	MCDATA CORP CL A		3/1/2004		1000		8499.66		8.5000	030404
	MCDATA CORP CL A		3/8/2004		2000		17750.50		8.8756	031104
	MCDATA CORP CL A		3/8/2004		1000		8875.25		8.8756	031104
	MCDATA CORP CL A		3/8/2004		1000		8875.25		8.8756	031104
	MCDATA CORP CL A		3/8/2004		1000		8875.25		8.8756	031104
	MERISTAR HOSPITALITY		3/16/2004	500		3,201.85			6.4037	031904
	MIKOHN GAMING CORP		3/29/2004		1300		5784.77		4.4500	040104
	NEV GLD & CASINO INC N		3/2/2004		1000		16239.36		16.2400	030504
	NEV GLD & CASINO INC N		3/2/2004		1000		16239.36		16.2400	030504
	NEV GLD & CASINO INC N		3/2/2004		1000		16239.36		16.2400	030504
	NOKIA CORP SPONS ADR		3/23/2004		1000		20479.20		20.4800	032604
	NOKIA CORP SPONS ADR		3/23/2004		1000		20309.20		20.3100	032604
	NORTEL NETWORKS CRP		3/3/2004		1000		7929.69		7.9300	030804
	NORTEL NETWORKS CRP		3/3/2004		500		3974.84		7.9500	030804
	NORTEL NETWORKS CRP		3/3/2004		2000		15899.37		7.9500	030804
	NORTEL NETWORKS CRP		3/3/2004		2500		19999.22		8.0000	030804
	NORTEL NETWORKS CRP		3/8/2004		2000		15719.38		7.8600	031104
	NORTEL NETWORKS CRP		3/9/2004		2000		14739.42		7.3700	031204
	NORTEL NETWORKS CRP		3/15/2004		1000		5749.77		5.7500	031804
	NORTEL NETWORKS CRP		3/16/2004		2000		11219.56		5.6100	031904
	NORTEL NETWORKS CRP		3/22/2004		2000		11079.56		5.5400	032504
	NORTEL NETWORKS CRP		3/30/2004		1000		6389.75		6.3900	040204
	NORTEL NETWORKS CRP		3/31/2004	2000		12,279.60			6.1398	040504
	SANMINA-SCI CORPORATE		3/16/2004	1000		10,507.50			10.5075	031904
	SEAGATE TECHNOLOGY		3/16/2004	500		7,614.70			15.2294	031904
	VERITAS SOFTWARE CORP		3/29/2004		500		14265.44		28.5320	040104
	YAHOO INC		3/31/2004		1000		50417.03		50.4190	040504
	WINN-DIXIE STORES INC		3/10/2004		2000		14559.43		7.2800	031504
	WINN-DIXIE STORES INC		3/10/2004		1000		7279.71		7.2800	031504
	WINN-DIXIE STORES INC		3/10/2004		3500		25479.00		7.2800	031504
	WINN-DIXIE STORES INC		3/10/2004		3500		25479.00		7.2800	031504
	BALLY TOTAL FITNESS		3/19/2004		5000		32498.73		6.5000	032404
	MIDWAY GAMES INC		3/19/2004	5000		32,000.00			6.4000	032404
	LEXAR MEDIA INC		3/8/2004		4000		62597.55		15.6500	031104
	LEXAR MEDIA INC		3/29/2004	4000		64,600.00			16.1500	040104
	SCIENTIFIC GAMES CORP		3/29/2004		3000		59997.66		20.0000	040104
	AMGEN INC		3/5/2004		250		16374.36		65.5000	031004
	AMGEN INC		3/31/2004		500		30168.82		60.3400	040504
	AMGEN INC		3/31/2004		215		13002.69		60.4800	040504
	AMGEN INC		3/31/2004		480		29029.26		60.4800	040504
	BOSTON SCIENTIFIC CORP		3/9/2004		500		21824.14		43.6500	031204
	CIENA CORP		3/8/2004		3000		18209.28		6.0700	031104
	CIENA CORP		3/9/2004		3000		17819.30		5.9400	031204
	CIENA CORP		3/16/2004		5000		24549.04		4.9100	031904
	CIENA CORP		3/22/2004		900		4526.82		5.0300	032504
	CORNING INC		3/26/2004		800		9239.63		11.5500	033104
	COSTCO WHOLESALE CORP		3/29/2004		500		19124.25		38.2500	040104
	COSTCO WHOLESALE CORP		3/23/2004	2000		24,499.00			12.2495	032604
	FOUNDRY NETWORKS INC		3/10/2004		500		10164.60		20.3300	031504
	GENERAL ELECTRIC CO		3/16/2004		1000		30878.79		30.8800	031904
	GENERAL ELECTRIC CO		3/23/2004		400		11971.53		29.9300	032604
	GENERAL ELECTRIC CO		3/25/2004		450		13805.46		30.6800	033004
	GENERAL ELECTRIC CO		3/29/2004		600		18995.25		31.6600	040104

Unreported Equity Trades

Formal Complaint
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Rep ACCT	Security	Description	Trade Date	Quantity Long	Quantity Short	Value Cost	Value Proceeds	Customer Account	Contract Price	Settlement Date
	GENERAL ELECTRIC CO		3/30/2004		500		15449.39		30.9000	040204
	INTEL CORP		3/22/2004		554		14918.63		26.9300	032504
	LUCENT TECHNOLOGIES		3/1/2004		3000		12929.49		4.3100	030404
	LUCENT TECHNOLOGIES		3/23/2004		3275		13394.22		4.0900	032604
	LUCENT TECHNOLOGIES		3/25/2004		1500		6149.76		4.1000	033004
	MCDATA CORP		3/8/2004		1500		13169.48		8.7800	031104
	MCDATA CORP		3/8/2004		1500		13169.48		8.7800	031104
	MIKOHN GAMING CORP		3/26/2004		800		3783.85		4.7300	033104
	MIKOHN GAMING CORP		3/26/2004		1000		4759.81		4.7600	033104
	NEV GLD & CASINO INC N		3/2/2004		1000		16239.36		16.2400	030504
	NORTEL NETWORKS CRP		3/3/2004		764		6149.96		8.0500	030804
	NORTEL NETWORKS CRP		3/3/2004		1500		11999.53		8.0000	030804
	NORTEL NETWORKS CRP		3/5/2004		2000		15939.37		7.9700	031004
	NORTEL NETWORKS CRP		3/16/2004	5000		26,550.00			5.3100	031904
	NORTEL NETWORKS CRP		3/17/2004		950		5604.78		5.9000	032204
	NORTEL NETWORKS CRP		3/18/2004		1000		5819.77		5.8200	032304
	CIBER INC		3/30/2004		520		5995.36		11.5300	040204
	NETWOLVES CORP		3/29/2004	2500		3,075.00			1.2300	040104
	FOUNDRY NETWORKS INC		3/4/2004		1500		38218.50		25.4800	030904
	FOUNDRY NETWORKS INC		3/4/2004		1500		36418.57		24.2800	030904
	FOUNDRY NETWORKS INC		3/4/2004		1500		36418.57		24.2800	030904
	LIGAND PHARM INC CL B		3/3/2004	2500		45,575.00			18.2300	030804
	LIGAND PHARM INC CL B		3/3/2004	5000		91,150.00			18.2300	030804
	MARTHA STEWART LIVING		3/3/2004		5000		75247.06		15.0500	030804
	MARTHA STEWART LIVING		3/4/2004		1000		14419.43		14.4200	030904
	MARTHA STEWART LIVING		3/4/2004		1000		13769.46		13.7700	030904
	MARTHA STEWART LIVING		3/5/2004	1000		11,300.00			11.3000	031004
	MIDWAY GAMES INC		3/4/2004		3500		22259.13		6.3600	030904
	MIDWAY GAMES INC		3/4/2004		1000		6359.75		6.3600	030904
	MIDWAY GAMES INC		3/4/2004		1000		6359.75		6.3600	030904
	MIDWAY GAMES INC		3/4/2004		1500		9539.62		6.3600	030904
	MIDWAY GAMES INC		3/4/2004		2000		12719.50		6.3600	030904
	MIDWAY GAMES INC		3/4/2004		1000		6359.75		6.3600	030904
	MIDWAY GAMES INC		3/5/2004		10000		70397.25		7.0400	031004
	MIDWAY GAMES INC		3/5/2004		9000		63357.52		7.0400	031004
	MIDWAY GAMES INC		3/12/2004		10000		66294.41		6.6297	031704
	MIDWAY GAMES INC		3/12/2004		5000		33147.20		6.6297	031704
	MIDWAY GAMES INC		3/15/2004		4000		28198.90		7.0500	031804
	MIDWAY GAMES INC		3/15/2004		1000		7049.72		7.0500	031804
	MIDWAY GAMES INC		3/19/2004	5000		31,600.00			6.3200	032404
	MIDWAY GAMES INC		3/19/2004	10000		63,000.00			6.3000	032404
	MIDWAY GAMES INC		3/19/2004	5000		31,500.00			6.3000	032404
	MIDWAY GAMES INC		3/19/2004	2500		15,750.00			6.3000	032404
	MIDWAY GAMES INC		3/19/2004	5000		31,500.00			6.3000	032404
	MIDWAY GAMES INC		3/19/2004	5000		31,500.00			6.3000	032404
	MIDWAY GAMES INC		3/19/2004		500		3149.87		6.3000	032404
	MIDWAY GAMES INC		3/22/2004	7500		46,575.00			6.2100	032504
	MIDWAY GAMES INC		3/22/2004	2000		12,420.00			6.2100	032504
	MIDWAY GAMES INC		3/22/2004	5000		31,050.00			6.2100	032504
	MIDWAY GAMES INC		3/22/2004	2500		15,525.00			6.2100	032504
	MIDWAY GAMES INC		3/22/2004	1000		5,910.00			5.9100	032504
	MIDWAY GAMES INC		3/15/2004		1000		7049.72		7.0500	031804
	MIDWAY GAMES INC		3/23/2004		500		3124.87		6.2500	032604
	NASTECH PHARM INC		3/31/2004		500		6889.73		13.7800	040504
	PIONEER DRILLING CO		3/2/2004		2000		15079.41		7.5400	030504
	PIONEER DRILLING CO		3/3/2004		13000		94506.31		7.2700	030804

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Rep ACCT	Security	Description	Trade Date	Quantity Long	Quantity Short	Value Cost	Value Proceeds	Customer Account	Contract Price	Settlement Date
	PIONEER DRILLING CO		3/8/2004		2000		14791.42	1255 8642 3412	7.3960	031104
	PIONEER DRILLING CO		3/17/2004	4000		24,800.00			6.2000	032204
	VAXGEN INC NEW		3/12/2004		2500		30181.32		12.0730	031704
	VAXGEN INC NEW		3/12/2004		3000		36217.58		12.0730	031704
	VAXGEN INC NEW		3/12/2004		5000		60362.64		12.0730	031704
	VAXGEN INC NEW		3/12/2004		5000		60362.64		12.0730	031704
	VAXGEN INC NEW		3/12/2004		5000		60362.64		12.0730	031704
	VAXGEN INC NEW		3/12/2004		10000		120725.29		12.0730	031704
	VAXGEN INC NEW		3/12/2004		2500		30181.32		12.0730	031704
	VAXGEN INC NEW		3/15/2004		2500		28198.90		11.2800	031804
	VAXGEN INC NEW		3/15/2004		1500		16919.34		11.2800	031804
	VAXGEN INC NEW		3/17/2004		2000		22159.13		11.0800	032204
	VAXGEN INC NEW		3/19/2004	5000		49,220.00			9.8440	032404
	VAXGEN INC NEW		3/19/2004	7500		73,125.00			9.7500	032404
	VAXGEN INC NEW		3/22/2004		2500		26611.46		10.6450	032504
	VAXGEN INC NEW		3/22/2004		1000		10509.59		10.5100	032504
	VAXGEN INC NEW		3/22/2004		1000		10509.59		10.5100	032504
	VAXGEN INC NEW		3/22/2004		1000		10509.59		10.5100	032504
	VAXGEN INC NEW		3/22/2004		2000		21019.18		10.5100	032504
	VAXGEN INC NEW		3/22/2004	2000		20,020.00			10.0100	032504
	VAXGEN INC NEW		3/31/2004		750		8902.15		11.8700	040504
	VAXGEN INC NEW		3/31/2004		1750		20771.68		11.8700	040504
	VASO ACTIVE		3/17/2004		5000		42893.32		8.5790	032204
	LCC INTL INC CL A		3/3/2004	3500		22,785.00			6.5100	030804
	LCC INTL INC CL A		3/3/2004	2500		16,275.00			6.5100	030804
	LCC INTL INC CL A		3/3/2004	2000		13,020.00			6.5100	030804
	LCC INTL INC CL A		3/3/2004	7500		48,825.00			6.5100	030804
	LCC INTL INC CL A		3/3/2004	1000		6,510.00			6.5100	030804
	LCC INTL INC CL A		3/3/2004	5000		32,550.00			6.5100	030804
	MARTHA STEWART LIVING		3/5/2004	5000		56,500.00			11.3000	031004
	MARTHA STEWART LIVING		3/5/2004	1000		11,300.00			11.3000	031004
	MARTHA STEWART LIVING		3/5/2004	1000		11,300.00			11.3000	031004
	MARTHA STEWART LIVING		3/5/2004	1000		11,300.00			11.3000	031004
	MIDWAY GAMES INC		3/8/2004	1500		10,050.00			6.7000	031104
	MIDWAY GAMES INC		3/8/2004	3500		23,450.00			6.7000	031104
	MIDWAY GAMES INC		3/8/2004	2000		13,400.00			6.7000	031104
	MIDWAY GAMES INC		3/11/2004		5000		31498.77		6.3000	031604
	MIDWAY GAMES INC		3/11/2004		2000		13039.49		6.5200	031604
	MIDWAY GAMES INC		3/11/2004		2500		16299.36		6.5200	031604
	MIDWAY GAMES INC		3/26/2004		500		3309.87		6.6200	033104
	MIDWAY GAMES INC		3/30/2004		500		3519.86		7.0400	040204
	MIDWAY GAMES INC		3/30/2004		500		3519.86		7.0400	040204
	MIDWAY GAMES INC		3/31/2004		1000		7239.71		7.2400	040504
	PIONEER DRILLING CO		3/9/2004	1000		6,900.00			6.9000	031204
	PIONEER DRILLING CO		3/9/2004	4000		27,008.00			6.7520	031204
	PIONEER DRILLING CO		3/9/2004	6000		40,500.00			6.7500	031204
	PIONEER DRILLING CO		3/9/2004	2500		16,182.50			6.4730	031204
	PIONEER DRILLING CO		3/9/2004	2500		16,182.50			6.4730	031204
	PIONEER DRILLING CO		3/9/2004	2500		16,187.50			6.4750	031204
	PIONEER DRILLING CO		3/9/2004	2500		16,187.50			6.4750	031204
	PIONEER DRILLING CO		3/12/2004	5000		32,430.00			6.4860	031704
	PIONEER DRILLING CO		3/12/2004	10000		64,860.00			6.4860	031704
	PIONEER DRILLING CO		3/12/2004	5000		32,430.00			6.4860	031704
	PIONEER DRILLING CO		3/12/2004	2500		16,215.00			6.4860	031704
	PIONEER DRILLING CO		3/12/2004	6500		42,159.00			6.4860	031704
	PIONEER DRILLING CO		3/12/2004	650		4,215.90			6.4860	031704

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Rep ACCT.	Security	Description	Trade Date	Quantity Long	Quantity Short	Value Cost	Value Proceeds	Customer Account	Contract Price	Settlement Date
	PIONEER DRILLING CO		3/12/2004	500		3,325.00			6.6500	031704
	PIONEER DRILLING CO		3/15/2004	5000		33,025.00			6.6050	031804
	PIONEER DRILLING CO		3/15/2004	2000		13,210.00			6.6050	031804
	VAXGEN INC NEW		3/31/2004		2000		23679.07		11.8400	040504
	ALTAIR NANOTECHNOLOG		2/27/2004	3000		9,300.00			3.1000	030304
	BALLY TOTAL FITNESS		3/19/2004		5000		32498.73		6.5000	032404
	BALLY TOTAL FITNESS		3/19/2004		5000		32498.73		6.5000	032404
	GATEWAY INC		3/31/2004		2000		10779.57		5.3900	040504
	LEXAR MEDIA INC		3/4/2004		5000		77996.95		15.6000	030904
	LEXAR MEDIA INC		3/12/2004		7500		110995.67		14.8000	031704
	LEXAR MEDIA INC		3/17/2004		2500		37498.53		15.0000	032204
	LEXAR MEDIA INC		3/30/2004	5000		81,000.00			16.2000	040204
	LEXAR MEDIA INC		3/30/2004		1500		24929.02		16.6200	040204
	LEXAR MEDIA INC		3/30/2004	25000		404,500.00			16.1800	040204
	MICRON TECHNOLOGY IN		3/24/2004		4000		65997.42		16.5000	032904
	MICRON TECHNOLOGY IN		3/24/2004		10000		163993.60		16.4000	032904
	MICRON TECHNOLOGY IN		3/31/2004		10000		174993.17		17.5000	040504
	MIDWAY GAMES INC		3/25/2004	4000		24,600.00			6.1500	033004
	MIDWAY GAMES INC		3/30/2004	2000		13,100.00			6.5500	040204
	MIDWAY GAMES INC		3/31/2004	1000		7,050.00			7.0500	040504
	MOTOROLA INCORPORAT		3/19/2004	2500		40,625.00			16.2500	032404
	NANOGEN INC		3/9/2004		1100		8876.65		8.0700	031204
	NANOGEN INC		3/19/2004		5000		40498.42		8.1000	032404
	NANOGEN INC		3/19/2004		5000		40498.42		8.1000	032404
	NANOGEN INC		3/25/2004		2500		20624.19		8.2500	033004
	NANOGEN INC		3/30/2004		1500		12374.51		8.2500	040204
	SCIENTIFIC GAMES CORP		3/24/2004		10000		183492.84		18.3500	032904
	SCIENTIFIC GAMES CORP		3/26/2004		5000		96746.22		19.3500	033104
	SCIENTIFIC GAMES CORP		3/29/2004		5000		96996.21		19.4000	040104
	VAXGEN INC NEW		3/12/2004		15000		179692.99		11.9800	031704
	VAXGEN INC NEW		3/29/2004	10000		100,000.00			10.0000	040104
	WIND RIV SYS INC		3/30/2004		10000		114995.51		11.5000	040204
	ALTAIR NANOTECHNOLOG		3/12/2004	7500		18,750.00			2.5000	031704
	ALTAIR NANOTECHNOLOG		3/15/2004	9000		22,860.00			2.5400	031804
	BALLY TOTAL FITNESS		3/19/2004		15000		97496.19		6.5000	032404
	BALLY TOTAL FITNESS		3/19/2004		5000		33248.70		6.6500	032404
	BALLY TOTAL FITNESS		3/29/2004		1800		11159.56		6.2000	040104
	BALLY TOTAL FITNESS		3/29/2004		1300		7994.68		6.1500	040104
	BALLY TOTAL FITNESS		3/31/2004		2000		12359.51		6.1800	040504
	BROCADE COMMUNICATI		3/30/2004	1000		6,790.00			6.7900	040204
	GATEWAY INC		3/24/2004	5000		24,750.00			4.9500	032904
	GATEWAY INC		3/31/2004	3000		15,300.00			5.1000	040504
	LEXAR MEDIA INC		3/5/2004		10000		154993.95		15.5000	031004
	LEXAR MEDIA INC		3/12/2004		7500		110995.67		14.8000	031704
	LEXAR MEDIA INC		3/31/2004	5000		81,500.00			16.3000	040504
	LEXAR MEDIA INC		3/31/2004		5000		84496.70		16.9000	040504
	MIDWAY GAMES INC		3/2/2004		5000		27648.92		5.5300	030504
	MIDWAY GAMES INC		3/2/2004		3500		19354.24		5.5300	030504
	MIDWAY GAMES INC		3/8/2004	5000		32,000.00			6.4000	031104
	MIDWAY GAMES INC		3/9/2004	3500		21,000.00			6.0000	031204
	MIDWAY GAMES INC		3/10/2004		7500		48148.12		6.4200	031504
	MIDWAY GAMES INC		3/19/2004	5000		31,750.00			6.3500	032404
	MIDWAY GAMES INC		3/29/2004	1700		10,625.00			6.2500	040104
	MIDWAY GAMES INC		3/31/2004	7500		53,625.00			7.1500	040504
	NANOMETRICS INC		3/23/2004	5000		68,000.00			13.6000	032604
	NANOGEN INC		3/8/2004		4000		34398.65		8.6000	031104

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Rep ACCT.	Security	Description	Trade Date	Quantity Long	Quantity Short	Value Cost	Value Proceeds	Customer Account	Contract Price	Settlement Date
	NANOGEN INC		3/10/2004		2000		16199.36		8.1000	031504
	NANOGEN INC		3/16/2004		10000		69997.27		7.0000	031904
	NANOGEN INC		3/19/2004		2500		20249.21		8.1000	032404
	NANOGEN INC		3/19/2004		5000		40498.42		8.1000	032404
	NANOGEN INC		3/19/2004		5000		40498.42		8.1000	032404
	NANOGEN INC		3/24/2004		3000		22349.12		7.4500	032904
	NANOGEN INC		3/24/2004		3000		22499.12		7.5000	032904
	NANOGEN INC		3/25/2004		2500		20624.19		8.2500	033004
	NANOGEN INC		3/30/2004		1000		8249.67		8.2500	040204
	NANOGEN INC		3/31/2004	3500		26,250.00			7.5000	040504
	NANOGEN INC		3/31/2004	2000		15,000.00			7.5000	040504
	NANOGEN INC		3/31/2004		1000		7849.69		7.8500	040504
	NANOGEN INC		3/31/2004		7500		59247.68		7.9000	040504
	SCIENTIFIC GAMES CORP		3/26/2004		5000		96996.21		19.4000	033104
	SCIENTIFIC GAMES CORP		3/26/2004		5000		96996.21		19.4000	033104
	SCIENTIFIC GAMES CORP		3/26/2004		5000		96996.21		19.4000	033104
	SCIENTIFIC GAMES CORP		3/30/2004		3000		59097.69		19.7000	040204
	SCIENTIFIC GAMES CORP		3/30/2004		5000		98246.16		19.6500	040204
	SCIENTIFIC GAMES CORP		3/31/2004		6000		114595.53		19.1000	040504
	SINA CORP		3/24/2004	5000		177,500.00			35.5000	032904
	TASER INTL INC		3/29/2004	1000		72,500.00			72.5000	040104
	VAXGEN INC NEW		3/5/2004		10000		119995.32		12.0000	031004
	VAXGEN INC NEW		3/8/2004		7500		90371.47		12.0500	031104
	VAXGEN INC NEW		3/8/2004		2500		30498.81		12.2000	031104
	VAXGEN INC NEW		3/8/2004		1300		15599.39		12.0000	031104
	VAXGEN INC NEW		3/12/2004		7500		87371.59		11.6500	031704
	VAXGEN INC NEW		3/16/2004		10000		105995.86		10.6000	031904
	VAXGEN INC NEW		3/23/2004	10000		91,000.00			9.1000	032604
	VAXGEN INC NEW		3/24/2004	7500		70,500.00			9.4000	032904
	VAXGEN INC NEW		3/24/2004	2500		23,000.00			9.2000	032904
	VAXGEN INC NEW		3/24/2004	15000		142,500.00			9.5000	032904
	VAXGEN INC NEW		3/24/2004	15000		142,500.00			9.5000	032904
	VAXGEN INC NEW		3/29/2004	4000		40,000.00			10.0000	040104
	VAXGEN INC NEW		3/31/2004	1300		13,650.00			10.5000	040504
	WIND RIV SYS INC		3/29/2004		3000		33898.67		11.3000	040104
	WIND RIV SYS INC		3/30/2004		10000		114995.51		11.5000	040204
	WIND RIV SYS INC		3/31/2004		2000		21999.14		11.0000	040504
	WIND RIV SYS INC		3/31/2004		2000		21719.15		10.8600	040504
	AGERE SYSTEMS INC CL B		3/5/2004		574		2123.71		3.7000	031004
	AMGEN INC		3/30/2004		200		12005.53		60.0300	040204
	CHEESECAKE FACTORY INC		3/24/2004		500		22499.12		45.0000	032904
	CIENA CORP		3/29/2004	1880		9,286.82			4.9398	040104
	CIENA CORP		3/31/2004		1000		7389.71		7.3900	040504
	HARTMARX CORP		3/30/2004		1500		9224.64		6.1500	040204
	LUCENT TECHNOLOGIES		3/2/2004		2000		8579.66		4.2900	030504
	LUCENT TECHNOLOGIES		3/4/2004		1500		6404.75		4.2700	030904
	LUCENT TECHNOLOGIES		3/30/2004		850		3603.85		4.2400	040204
	MIKOHN GAMING CORP		3/29/2004		2000		9259.63		4.6300	040104
	NEV GLD & CASINO INC		3/23/2004	550		9,168.12			16.6693	032604
	NORTEL NETWORKS CRP		3/30/2004		1600		9615.62		6.0100	040204
	QLOGIC CORP		3/31/2004		200		6779.73		33.9000	040504
	SIRIUS SATELLITE RADIO		3/31/2004	7000		22,750.00			3.2500	040504
	VERSO TECHNOLOGIES INC		3/29/2004		3100		5052.80		1.6300	040104
	XTO ENERGY INC		3/24/2004		550		13457.97		24.4700	032904
	BALLY TOTAL FITNESS		3/25/2004		8000		49998.05		6.2500	033004
	BALLY TOTAL FITNESS		3/29/2004		8000		49998.05		6.2500	040104

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Rep ACCT	Security	Description	Trade Date	Quantity Long	Quantity Short	Value Cost	Value Proceeds	Customer Account	Contract Price	Settlement Date
	BALLY TOTAL FITNESS		3/30/2004		3500		21699.15		6.2000	040204
	BALLY TOTAL FITNESS		3/30/2004		11000		67097.38		6.1000	040204
	GATEWAY INC		3/3/2004		2200		13199.48		6.0000	030804
	GATEWAY INC		3/3/2004		2000		11999.53		6.0000	030804
	GATEWAY INC		3/30/2004		3000		16949.33		5.6500	040204
	MIDWAY GAMES INC		3/3/2004		2300		13109.48		5.7000	030804
	MIDWAY GAMES INC		3/3/2004		2200		12539.51		5.7000	030804
	MIDWAY GAMES INC		3/4/2004		7500		45748.21		6.1000	030904
	MIDWAY GAMES INC		3/10/2004		10000		67097.38		6.7100	031504
	MIDWAY GAMES INC		3/10/2004		6000		38518.49		6.4200	031504
	MIDWAY GAMES INC		3/25/2004	6000		36,180.00			6.0300	033004
	MIDWAY GAMES INC		3/29/2004	7500		48,750.00			6.5000	040104
	MIDWAY GAMES INC		3/30/2004	3300		21,780.00			6.6000	040204
	MIDWAY GAMES INC		3/30/2004	10000		69,500.00			6.9500	040204
	SILICON GRAPHICS INC		3/10/2004		5000		14249.44		2.8500	031504
	SILICON GRAPHICS INC		3/30/2004		4500		12194.52		2.7100	040204
	SPRINT CORP PCS GRP CO		3/10/2004	5000		44,250.00			8.8500	031504
	AMGEN INC		3/4/2004		401		25971.75		64.7700	030904
	AMGEN INC		3/4/2004		300		19361.24		64.5400	030904
	AMGEN INC		3/4/2004		263		16983.87		64.5800	030904
	AMGEN INC		3/31/2004		289		17443.35		60.3600	040504
	AMGEN INC		3/31/2004		300		18104.29		60.3500	040504
	BRISTOL MYERS SQUIBB		3/22/2004		500		12779.50		25.5600	032504
	BRISTOL MYERS SQUIBB		3/22/2004		500		12844.49		25.6900	032504
	CIENA CORP		3/8/2004		2500		15049.41		6.0200	031104
	CIENA CORP		3/16/2004		1391		6982.54		5.0200	031904
	CORNING INC		3/24/2004		900		9890.61		10.9900	032904
	CORNING INC		3/25/2004		700		7972.68		11.3900	033004
	CORNING INC		3/26/2004		650		7598.20		11.6900	033104
	COSTCO WHOLESALE CORP		3/29/2004		500		19214.25		38.4300	040104
	COSTCO WHOLESALE CORP		3/29/2004		700		26878.95		38.4000	040104
	COSTCO WHOLESALE CORP		3/29/2004		500		19174.25		38.3500	040104
	COSTCO WHOLESALE CORP		3/29/2004		700		26626.96		38.0400	040104
	COSTCO WHOLESALE CORP		1/16/2004		1500		23668.89		15.7800	012204
	FOUNDRY NETWORKS INC		3/10/2004		586		11994.95		20.4700	031504
	FOUNDRY NETWORKS INC		3/29/2004		1261		22381.87		17.7500	040104
	GENERAL ELECTRIC CO		3/23/2004		400		12123.52		30.3100	032604
	GENERAL ELECTRIC CO		3/24/2004		420		12641.50		30.1000	032904
	GENERAL ELECTRIC CO		3/24/2004		500		14839.42		29.6800	032904
	GENERAL ELECTRIC CO		3/25/2004		500		15189.40		30.3800	033004
	GENERAL ELECTRIC CO		3/25/2004		800		24175.05		30.2200	033004
	GENERAL ELECTRIC CO		3/26/2004		1000		30938.79		30.9400	033104
	GENERAL ELECTRIC CO		3/29/2004		400		12667.50		31.6700	040104
	GENERAL ELECTRIC CO		3/29/2004		200		6331.75		31.6600	040104
	GENERAL ELECTRIC CO		3/30/2004		800		24735.03		30.9200	040204
	GENERAL ELECTRIC CO		3/31/2004		550		17021.83		30.9500	040504
	LUCENT TECHNOLOGIES		3/1/2004		3000		13199.48		4.4000	030404
	LUCENT TECHNOLOGIES		3/23/2004		2000		8259.67		4.1300	032604
	MIKOHN GAMING CORP		3/26/2004		1000		4669.81		4.6700	033104
	NEV GLD & CASINO INC N		3/3/2004		795		12997.74		16.3500	030804
	NORTEL NETWORKS CRP		3/3/2004		625		5031.05		8.0500	030804
	NORTEL NETWORKS CRP		3/5/2004		2000		15999.37		8.0000	031004
	NORTEL NETWORKS CRP		3/3/2004		625		5031.05		8.0500	030804
	NORTEL NETWORKS CRP		3/17/2004		950		5538.28		5.8300	032204
	NORTEL NETWORKS CRP		3/18/2004		2000		11699.54		5.8500	032304
	WASHINGTON MUTUAL IN		12/4/2003		1000		44867.90		44.8700	120903

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Rep	Security	Description	Trade	Date	Quantity	Quantity	Value	Cost	Value	Customer Account	Contract	Settlement
ACCT					Long	Short			Proceeds		Price	Date
		WATSON PHARM INC		3/10/2004		300			13688.46		45.6300	031504

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Rep	Security	Description	Trade	Date	Quantity Long	Quantity Short	Value	Cost	Value Proceeds	Customer	Account	Contract Price	Settlement Date
ACCI	SIRIUS SATELLITE RADIO			4/29/2004		7100			23358.45			3.2900	050404
	GENTA INC	NEW		4/30/2004	5000		45,450.00					9.0900	050504
	GENTA INC	NEW		4/30/2004	1000		9,000.00					9.0000	050504
	MAGAL SECURITY SYS LTD			4/14/2004		3000			94947.77			31.6500	041904
	MAGAL SECURITY SYS LTD			4/26/2004		4500			100122.65			22.2500	042904
	SCIENTIFIC GAMES CORP			4/14/2004	2500		47,500.00					19.0000	041904
	SCIENTIFIC GAMES CORP			4/26/2004	7500		147,375.00					19.6500	042904
	BALLY TOTAL FITNESS			4/14/2004	5000		29,000.00					5.8000	041904
	IVILLAGE INC			4/14/2004		3000			25499.40			8.5000	041904
	MACE SEC INTL INC			4/12/2004		1000			8599.79			8.6000	041504
	WAVE SYSTEMS CORP CL A			4/16/2004		17500			26249.38			1.5000	042104
	ABAXIS INC			4/13/2004	700		14,924.00					21.3200	041604
	COPART INC			4/27/2004		1000			21939.48			21.9400	043004
	GRAFTECH INTL LTD			4/13/2004	700		10,080.00					14.4000	041604
	KCS ENERGY INC	NEW		4/13/2004	700		7,805.00					11.1500	041604
	MEDICAL ACTION INDS INC			4/27/2004		1000			21829.48			21.8300	043004
	NORTEL NETWORKS CRP N			4/6/2004		2000			11779.72			5.8900	041204
	SECURE COMPUTING CORP			4/27/2004		780			8735.79			11.2000	043004
	SUPPORTSOFT INC			4/27/2004		780			9102.38			11.6700	043004
	SWIFT ENERGY CO			4/13/2004	700		13,391.00					19.1300	041604
	WILSHIRE ST BK CALIF			4/6/2004		650			15333.14			23.5900	041204
	WILSHIRE ST BK CALIF			4/6/2004		620			14625.45			23.5900	041204
	DHB INDUSTRIES INC			4/27/2004		1824			19990.57			10.9600	043004
	DHB INDUSTRIES INC			4/27/2004		1733			18993.23			10.9600	043004
	DHB INDUSTRIES INC			4/27/2004		2919			31991.49			10.9600	043004
	HRPT PPTY TR SBI	*		4/26/2004	2540		24,325.83					9.5771	042904
	HRPT PPTY TR SBI	*		4/26/2004	1863		17,842.14					9.5771	042904
	LUMINENT MORTGAGE			4/26/2004	1475		19,497.29					13.2185	042904
	LUMINENT MORTGAGE			4/26/2004	1827		24,150.20					13.2185	042904
	LUMINENT MORTGAGE			4/26/2004	2030		26,833.56					13.2185	042904
	MFA MTG INVT INC	*		4/26/2004	2035		18,337.59					9.0111	042904
	MFA MTG INVT INC	*		4/26/2004	2520		22,707.97					9.0111	042904
	MFA MTG INVT INC	*		4/26/2004	2800		25,231.08					9.0111	042904
	NMS COMMUNICATIONS CL			4/30/2004		2719			22240.89			8.1800	050504
	NMS COMMUNICATIONS CL			4/30/2004		1130			9243.18			8.1800	050504
	NMS COMMUNICATIONS CL			4/30/2004		2200			17995.57			8.1800	050504
	NAVARRE CORP			4/30/2004		3877			36094.02			9.3100	050504
	NAVARRE CORP			4/30/2004		763			7103.36			9.3100	050504
	NAVARRE CORP			4/30/2004		1569			14607.04			9.3100	050504
	OMEGA HEALTHCARE	*		4/26/2004	1229		11,613.80					9.4498	042904
	OMEGA HEALTHCARE	*		4/26/2004	877		8,287.47					9.4498	042904
	ARIAD PHARMACEUTICALS			4/26/2004	2149		28,761.79					13.3838	042904
	DHB INDUSTRIES INC			4/27/2004		3200			35135.17			10.9800	043004
	DHB INDUSTRIES INC			4/30/2004	1600		14,443.68					9.0273	050504
	EDGE PETE CORP			4/30/2004	1412		20,239.33					14.3338	050504
	GOODY'S FAMILY CLOTHIN			4/30/2004		1760			23277.21			13.2260	050504
	INDUSTRIAL SVCS AMERIC			4/30/2004		1360			22927.43			16.8588	050504
	LIFECCELL IND			4/30/2004		1320			12504.06			9.4730	050504
	MATTSON TECHNOLOGY IF			4/30/2004	1730		17,097.59					9.8830	050504
	NMS COMMUNICATIONS CL			4/30/2004		2850			23309.32			8.1789	050504
	NATURAL ALTERNATIVES N			4/30/2004		1080			12634.62			11.6990	050504
	NATURAL ALTERNATIVES N			4/30/2004		2025			23689.92			11.6990	050504
	NAVARRE CORP			4/30/2004		1350			12632.46			9.3576	050504
	NAVARRE CORP			4/30/2004	1392		20,653.94					14.8376	050504
	WITNESS SYSTEMS INC			4/30/2004	1590		21,920.85					13.7867	050504
	ARIAD PHARMACEUTICALS			4/22/2004		765			8835.54			11.5500	042704

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Rep Acct	Security	Description	Trade Date	Quantity Long	Quantity Short	Value	Cost	Value Proceeds	Customer	Account	Contract Price	Settlement Date
	ARIAD PHARMACEUTICALS		4/22/2004		1650			19057.05			11.5500	042704
	ARIAD PHARMACEUTICALS		4/26/2004	1650		20,707.50					12.5500	042904
	ARIAD PHARMACEUTICALS		4/26/2004	765		9,600.75					12.5500	042904
	DHB INDUSTRIES INC		4/27/2004		1800			19727.53			10.9600	043004
	DHB INDUSTRIES INC		4/27/2004		900			9863.76			10.9600	043004
	HARVARD BIOSCIENCE INC		4/5/2004	600		5,856.00					9.7600	040804
	QUIDEL CORP		4/5/2004		1100			7578.82			6.8900	040804
	QUIDEL CORP		4/21/2004	1100		8,800.00					8.0000	042604
	ABIOMED INC		4/30/2004		900			10772.20			11.9694	050504
	ANWORTH MTG ASSET CO		4/12/2004	400		4,803.88					12.0097	041504
	ANWORTH MTG ASSET CO		4/12/2004	600		7,205.82					12.0097	041504
	ARIAD PHARMACEUTICALS		4/21/2004		1000			11309.43			11.3097	042604
	ARIAD PHARMACEUTICALS		4/21/2004		1000			11309.43			11.3097	042604
	ARIAD PHARMACEUTICALS		4/21/2004		1000			11309.43			11.3097	042604
	ARIAD PHARMACEUTICALS		4/26/2004	1000		12,590.00					12.5900	042904
	ARIAD PHARMACEUTICALS		4/26/2004	1000		12,590.00					12.5900	042904
	ARIAD PHARMACEUTICALS		4/26/2004	1000		12,590.00					12.5900	042904
	ASSOCIATED ESTATES RLT		4/12/2004	1000		7,859.80					7.8598	041504
	ASSOCIATED ESTATES RLT		4/12/2004	885		6,955.92					7.8598	041504
	ASSOCIATED ESTATES RLT		4/12/2004	920		7,231.02					7.8598	041504
	CORNERSTONE REALTY		4/13/2004	1000		7,901.60					7.9016	041604
	CORNERSTONE REALTY		4/13/2004	650		5,090.54					7.8316	041604
	DHB INDUSTRIES INC		4/23/2004		950			10185.38			10.7217	042804
	DHB INDUSTRIES INC		4/23/2004		760			8148.29			10.7217	042804
	DHB INDUSTRIES INC		4/23/2004		732			7848.09			10.7217	042804
	DHB INDUSTRIES INC		4/30/2004	760		6,771.45					8.9098	050504
	DHB INDUSTRIES INC		4/30/2004	732		6,521.97					8.9098	050504
	DHB INDUSTRIES INC		4/30/2004	950		8,502.31					8.9498	050504
	FORD MOTOR CO NEW		4/21/2004		1000			15496.93			15.4973	042604
	FORD MOTOR CO NEW		4/30/2004	1000		15,299.60					15.2996	050504
	HRPT PPTY TR SBI *		4/6/2004	750		7,582.35					10.1098	041204
	INDEVUS PHARMACEUTICA		4/29/2004		1000			8359.80			8.3600	050404
	INDEVUS PHARMACEUTICA		4/30/2004	1000		7,209.80					7.2098	050504
	INDUSTRIAL SVCS AMERIC		4/30/2004		890			14842.36			16.6772	050504
	JUPITERMEDIA CORP		4/29/2004		1000			9988.16			9.9884	050404
	JUPITERMEDIA CORP		4/29/2004		1300			12984.61			9.9884	050404
	JUPITERMEDIA CORP		4/30/2004	1000		8,499.80					8.4998	050504
	JUPITERMEDIA CORP		4/30/2004	1300		11,063.00					8.5100	050504
	LUMINENT MORTGAGE		4/12/2004	750		10,019.78					13.3597	041504
	LUMINENT MORTGAGE		4/12/2004	750		10,019.78					13.3597	041504
	LUMINENT MORTGAGE		4/13/2004	750		9,787.28					13.0497	041604
	LUMINENT MORTGAGE		4/13/2004	750		9,787.28					13.0497	041604
	LUMINENT MORTGAGE		4/21/2004	650		8,586.31					13.2097	042604
	MFA MTG INVTS INC *		4/13/2004	890		7,858.52					8.8298	041604
	MOTOROLA INCORPORATE		4/21/2004		1000			20129.52			20.1300	042604
	MOTOROLA INCORPORATE		4/26/2004	1000		20,000.00					20.0000	042904
	NMS COMMUNICATIONS CI		4/30/2004		900			7379.82			8.2000	050504
	NATURAL ALTERNATIVES		4/30/2004		750			8810.79			11.7480	050504
	NATURAL ALTERNATIVES		4/30/2004		966			11348.30			11.7480	050504
	NAVARRE CORP		4/30/2004		727			6811.18			9.3691	050504
	NAVARRE CORP		4/30/2004		900			8045.81			8.9400	050504
	OMEGA HEALTHCARE		4/6/2004	800		7,945.60					9.9320	041204
	OMEGA HEALTHCARE		4/6/2004	700		6,952.40					9.9320	041204
	OMEGA HEALTHCARE		4/6/2004	700		6,952.40					9.9320	041204
	OMEGA HEALTHCARE		4/13/2004	900		8,135.82					9.0398	041604
	PERMIAN BASIN RTY TR U		4/13/2004	870		7,742.83					8.8998	041604

Unreported Equity Trades

Formal Complaint

Exhibit B

Case No. E052005000702

Rep	Security	Description	Trade Date	Quantity	Quantity	Value	Cost	Value	Customer	Account	Contract	Settlement
ACCT				Long	Short			Proceeds			Price	Date
	PERMIAN BASIN RTY TR UN		4/13/2004	900		8,009.82					8.8998	041604
	PIMCO MUNI INC FD 3		4/13/2004	1440		19,813.54					13.7594	041604
	TECO ENERGY INC		4/14/2004	955		13,762.70					14.4112	041904
	TECO ENERGY INC		4/14/2004	820		11,817.18					14.4112	041904
	VIISAGE TECH INC		4/23/2004		700			8168.80			11.6700	042804
	ADVANCED MICRO DEVS		4/23/2004		1000			17079.60			17.0800	042804
	ADVANCED MICRO DEVS		4/27/2004	1500		23,729.40					15.8196	043004
	BIG LOTS INC		4/19/2004	600		8,663.82					14.4397	042204
	BIG LOTS INC		4/19/2004	600		8,663.82					14.4397	042204
	BOSTON SCIENTIFIC CORP		4/26/2004		650			28202.84			43.3900	042904
	CORNING INC		4/14/2004		800			9215.78			11.5200	041904
	CORNING INC		4/14/2004		1000			11269.73			11.2700	041904
	CORNING INC		4/19/2004		1100			11956.72			10.8700	042204
	CORNING INC		4/19/2004		700			7608.82			10.8700	042204
	CORNING INC		4/21/2004		1000			10649.75			10.6500	042604
	CORNING INC		4/30/2004		700			8014.81			11.4500	050504
	CORNING INC		4/30/2004		425			4904.38			11.5400	050504
	COST INC		4/5/2004		900			5534.87			6.1500	040804
	DIGITAL LIGHTWAVE INC		4/7/2004	1000		2,985.90					2.9859	041304
	EXTREME NETWORKS INC		4/13/2004		290			2180.74			7.5200	041604
	EXTREME NETWORKS INC		4/16/2004		1500			10649.75			7.1000	042104
	EXTREME NETWORKS INC		4/16/2004		2000			14567.65			7.2840	042104
	EXTREME NETWORKS INC		4/16/2004		1500			10857.79			7.2387	042104
	EXTREME NETWORKS INC		4/16/2004		2000			14239.66			7.1200	042104
	EXTREME NETWORKS INC		4/27/2004		1285			8930.54			6.9500	043004
	EXTREME NETWORKS INC		4/29/2004		400			2503.74			6.2595	050404
	EXTREME NETWORKS INC		4/29/2004		1500			9389.03			6.2595	050404
	FIRST TENNESSEE XXX		4/16/2004		350			15900.12			45.4300	042104
	FLEXTRONICS INTL LTD		4/27/2004		1000			18629.56			18.6300	043004
	FLEXTRONICS INTL LTD		4/27/2004		1000			18649.56			18.6500	043004
	FLEXTRONICS INTL LTD		4/27/2004		480			9020.80			18.7938	043004
	GENERAL ELECTRIC COMP		4/7/2004		300			9773.77			32.5800	041304
	GENERAL ELECTRIC COMP		4/7/2004		400			12967.69			32.4200	041304
	GENERAL ELECTRIC COMP		4/14/2004		270			8615.49			31.9100	041904
	GENERAL ELECTRIC COMP		4/21/2004		270			8431.90			31.2300	042604
	LUCENT TECHNOLOGIES IN		4/21/2004		3000			12179.71			4.0600	042604
	LUCENT TECHNOLOGIES IN		4/21/2004		1000			4049.90			4.0500	042604
	LUCENT TECHNOLOGIES IN		4/21/2004		2500			10249.76			4.1000	042604
	LUCENT TECHNOLOGIES IN		4/23/2004		1000			4039.90			4.0400	042804
	LUCENT TECHNOLOGIES IN		4/23/2004		2900			11570.72			3.9900	042804
	LUCENT TECHNOLOGIES IN		4/27/2004		2975			11899.72			4.0000	043004
	MBNA CORP		4/28/2004		300			7667.82			25.5600	050304
	NETWORK APPLIANCE INC		4/20/2004	480		10,727.76					22.3495	042304
	NETWORK APPLIANCE INC		4/27/2004	500		10,294.75					20.5895	043004
	NOKIA CORP SPONS ADR		4/20/2004		680			10641.75			15.6500	042304
	NOKIA CORP SPONS ADR		4/22/2004		700			10688.74			15.2700	042704
	NOKIA CORP SPONS ADR		4/22/2004		1000			15709.63			15.7100	042704
	NOKIA CORP SPONS ADR		4/22/2004		1000			15719.63			15.7200	042704
	NOKIA CORP SPONS ADR		4/23/2004		1000			15779.63			15.7800	042804
	NOKIA CORP SPONS ADR		4/26/2004		1000			15499.63			15.5000	042904
	NOKIA CORP SPONS ADR		4/28/2004		300			4568.89			15.2300	050304
	NOKIA CORP SPONS ADR		4/20/2004		1000			15717.63			15.7180	042304
	NOKIA CORP SPONS ADR		4/30/2004		200			2951.93			14.7600	050504
	NORTEL NETWORKS CRP N		4/6/2004		2000			12099.71			6.0500	041204
	OLOGIC CORP		4/1/2004		300			9776.77			32.5900	040604
	SANDISK CORP		4/8/2004		1000			34309.19			34.3100	041404

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Rep Acct	Security	Description	Trade Date	Quantity Long	Quantity Short	Value Cost	Value Proceeds	Customer	Account	Contract Price	Settlement Date
	SANDISK CORP		4/8/2004		1000		34109.20			34.1100	041404
	SANDISK CORP		4/8/2004		500		17114.59			34.2300	041404
	SCHERING PLOUGH CORP		4/13/2004	100		1,631.96				16.3196	041604
	SEAGATE TECHNOLOGY		4/5/2004		500		8174.80			16.3500	040804
	ADVANCED MICRO DEVS		4/20/2004		1000		17169.59			17.1700	042304
	ADVANCED MICRO DEVS		4/20/2004		1000		17169.59			17.1700	042304
	ADVANCED MICRO DEVS		4/23/2004		1000		17019.60			17.0200	042804
	ATP OIL & GAS CORP		4/7/2004		800		5515.87			6.8950	041304
	BOSTON SCIENTIFIC CORP		4/26/2004		500		21389.49			42.7800	042904
	BOSTON SCIENTIFIC CORP		4/27/2004		500		20872.51			41.7460	043004
	CORNING INC		4/7/2004		1000		11678.72			11.6790	041304
	CORNING INC		4/7/2004		1000		11678.72			11.6790	041304
	CORNING INC		4/27/2004	1000		11,649.70				11.6497	043004
	COSI INC		4/5/2004		1000		6443.94			6.4441	040804
	COSI INC		4/5/2004		2000		12587.90			6.2941	040804
	COSI INC		4/5/2004		1000		6443.94			6.4441	040804
	COSI INC		4/5/2004		1000		6443.94			6.4441	040804
	EXTREME NETWORKS INC		4/16/2004		2000		14599.65			7.3000	042104
	EXTREME NETWORKS INC		4/29/2004		2000		12239.71			6.1200	050404
	EXTREME NETWORKS INC		4/30/2004		1000		6054.85			6.0550	050504
	FIRST TENNESSEE	XXX	4/16/2004		500		22734.46			45.4700	042104
	FIRST TENNESSEE	XXX	4/16/2004		500		22734.46			45.4700	042104
	FLEXTRONICS INTL LTD		4/26/2004		500		9634.12			19.2687	042904
	FLEXTRONICS INTL LTD		4/26/2004		1000		19268.24			19.2687	042904
	FLEXTRONICS INTL LTD		4/26/2004		1000		19049.55			19.0500	042904
	FLEXTRONICS INTL LTD		4/27/2004		500		9644.77			19.2900	043004
	FLEXTRONICS INTL LTD		4/27/2004		500		9569.77			19.1400	043004
	FOUNDRY NETWORKS INC		4/12/2004		1000		19062.55			19.0630	041504
	FOUNDRY NETWORKS INC		4/13/2004		1000		18279.57			18.2800	041604
	FOUNDRY NETWORKS INC		4/13/2004		1000		18279.57			18.2800	041604
	LUCENT TECHNOLOGIES IN		4/21/2004		3400		14075.67			4.1400	042604
	LUCENT TECHNOLOGIES IN		4/21/2004		2100		8672.79			4.1300	042604
	LUCENT TECHNOLOGIES IN		4/23/2004		1500		6089.85			4.0600	042804
	LUCENT TECHNOLOGIES IN		4/26/2004		1350		5413.37			4.0100	042904
	LUCENT TECHNOLOGIES IN		4/29/2004		2200		8007.81			3.6400	050404
	LUCENT TECHNOLOGIES IN		4/29/2004		1000		3629.91			3.6300	050404
	MAPINFO CORP		4/23/2004		1000		12309.71			12.3100	042804
	MICROSOFT CORP		4/29/2004	100		2,558.93				25.5893	050404
	MICROSOFT CORP		4/30/2004	100		2,567.93				25.6793	050504
	MIKOHN GAMING CORP		4/26/2004	1300		5,317.00				4.0900	042904
	NOKIA CORP SPONS ADR		4/20/2004		1000		15949.62			15.9500	042304
	NOKIA CORP SPONS ADR		4/20/2004		1000		15839.62			15.8400	042304
	NOKIA CORP SPONS ADR		4/23/2004		1000		15919.62			15.9200	042804
	NOKIA CORP SPONS ADR		4/23/2004		1000		15919.62			15.9200	042804
	NOKIA CORP SPONS ADR		4/28/2004		1000		14989.64			14.9900	050304
	NOKIA CORP SPONS ADR		4/28/2004		1000		15089.64			15.0900	050304
	NORTEL NETWORKS CRP N		4/6/2004		2000		11779.72			5.8900	041204
	NORTEL NETWORKS CRP N		4/30/2004	1000		3,819.90				3.8199	050504
	PEOPLESOF INC		4/27/2004	500		9,014.80				18.0296	043004
	QLOGIC CORP		4/5/2004		500		16829.60			33.6600	040804
	SANDISK CORP		4/8/2004		1000		34310.19			34.3110	041404
	SANDISK CORP		4/12/2004		500		16909.60			33.8200	041504
	SANDISK CORP		4/13/2004		500		16459.61			32.9200	041604
	SANDISK CORP		4/13/2004		500		16459.61			32.9200	041604
	SIEBEL SYSTEMS INC		4/19/2004		1000		11939.72			11.9400	042204
	SMITH & WOLLENSKY		4/5/2004		1000		7606.12			7.6063	040804

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Rep ACCT	Security	Description	Trade Date	Quantity Long	Quantity Short	Value Cost	Value Proceeds	Customer	Account	Contract Price	Settlement Date
	SMITH & WOLLENSKY		4/5/2004		1000		7606.12			7.6063	040804
	SMITH & WOLLENSKY		4/5/2004		1000		7606.12			7.6063	040804
	WINN-DIXIE STORES INC		4/12/2004		8500		70538.14			8.2988	041504
	WINN-DIXIE STORES INC		4/12/2004		500		4149.30			8.2988	041504
	WINN-DIXIE STORES INC		4/12/2004		1000		8298.60			8.2988	041504
	WINN-DIXIE STORES INC		4/12/2004		10000		83211.05			8.3213	041504
	GENTA INC	NEW	4/29/2004		2500		38499.09			15.4000	050404
	MAGAL SECURITY SYS LTD		4/14/2004		1900		60323.58			31.7500	041904
	SCIENTIFIC GAMES CORP		4/14/2004	3000		55,500.00				18.5000	041904
	GENERAL ELECTRIC COMP		4/7/2004		600		19547.54			32.5800	041304
	GENERAL ELECTRIC COMP		4/19/2004	450		13,567.50				30.1500	042204
	HARBOR FL BANCSHARES		4/15/2004		500		14369.66			28.7400	042004
	LUCENT TECHNOLOGIES IN		4/6/2004	3275		14,049.75				4.2900	041204
	LUCENT TECHNOLOGIES IN		4/15/2004		1500		6629.84			4.4200	042004
	LUCENT TECHNOLOGIES IN		4/21/2004		5000		20499.52			4.1000	042604
	LUCENT TECHNOLOGIES IN		4/22/2004		5000		20399.52			4.0800	042704
	LUCENT TECHNOLOGIES IN		4/26/2004		3366		13396.36			3.9800	042904
	LUCENT TECHNOLOGIES IN		4/27/2004		2000		7679.82			3.8400	043004
	MCDATA CORP		4/20/2004		800		4719.88			5.9000	042304
	MICROSOFT CORP		4/26/2004		400		11287.73			28.2200	042904
	MICROSOFT CORP		4/27/2004		500		14054.67			28.1100	043004
	MIKOHN GAMING CORP		4/19/2004	1000		4,020.00				4.0200	042204
	NOKIA CORP SPONS ADR		4/20/2004		1000		15669.63			15.6700	042304
	SANDISK CORP		4/13/2004		500		16539.61			33.0800	041604
	SMITH & WOLLENSKY		4/6/2004		1000		7649.82			7.6500	041204
	CIBER INC		4/28/2004	520		4,747.08				9.1290	050304
	AMERICAN ECOLOGY CORP		4/2/2004		2500		26211.88			10.4850	040704
	FORBES MEDI-TECH INC		4/2/2004		4000		32479.23			8.1200	040704
	FORBES MEDI-TECH INC		4/2/2004		1000		8109.81			8.1100	040704
	FORBES MEDI-TECH INC		4/2/2004		1500		12404.70			8.2700	040704
	FORBES MEDI-TECH INC		4/2/2004		1500		12404.70			8.2700	040704
	FORBES MEDI-TECH INC		4/5/2004		2000		16939.60			8.4700	040804
	FORBES MEDI-TECH INC		4/5/2004		1000		8469.80			8.4700	040804
	FORBES MEDI-TECH INC		4/5/2004		1500		12704.70			8.4700	040804
	FORBES MEDI-TECH INC		4/5/2004		1000		8469.80			8.4700	040804
	FORBES MEDI-TECH INC		4/5/2004		1000		8469.80			8.4700	040804
	FORBES MEDI-TECH INC		4/5/2004		2000		16939.60			8.4700	040804
	FORBES MEDI-TECH INC		4/5/2004		1500		12704.70			8.4700	040804
	MARTHA STEWART LIVING		3/3/2004		5000		75247.06			15.0500	030804
	METRO GOLDWYN MAYER		4/23/2004		1000		20979.50			20.9800	042804
	MIDWAY GAMES INC		4/29/2004		9000		75598.23			8.4000	050404
	MIDWAY GAMES INC		4/30/2004		5000		43298.98			8.6600	050504
	MIDWAY GAMES INC		4/30/2004		5000		43298.98			8.6600	050504
	MIDWAY GAMES INC		4/30/2004		3000		25979.39			8.6600	050504
	MIDWAY GAMES INC		4/30/2004		1900		16453.61			8.6600	050504
	MIDWAY GAMES INC		4/30/2004		2500		21649.49			8.6600	050504
	MIDWAY GAMES INC		4/30/2004		1750		15154.64			8.6600	050504
	MIDWAY GAMES INC		4/30/2004		850		7105.83			8.3600	050504
	PORTAL SOFTWARE INC NI		4/20/2004		2000		13883.67			6.9420	042304
	RITA MEDICAL SYS INC DE		4/2/2004		5000		32649.23			6.5300	040704
	RITA MEDICAL SYS INC DE		4/8/2004		1500		10679.75			7.1200	041404
	VAXGEN INC NEW		4/13/2004		3000		37649.11			12.5500	041604
	VAXGEN INC NEW		4/13/2004		2000		25099.41			12.5500	041604
	VAXGEN INC NEW		4/22/2004		1000		13449.68			13.4500	042704
	VAXGEN INC NEW		4/27/2004	2000		27,500.00				13.7500	043004
	VAXGEN INC NEW		4/27/2004	1000		13,260.00				13.2600	043004

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Rep	Security	Description	Trade	Date	Quantity	Quantity	Value	Cost	Value	Customer	Account	Contract	Settlement
ACCT					Long	Short			Proceeds			Price	Date
	VAXGEN INC NEW			4/27/2004	4000		53,040.00					13.2600	043004
	VAXGEN INC NEW			4/27/2004	4000		53,040.00					13.2600	043004
	VAXGEN INC NEW			4/29/2004	3500		46,550.00					13.3000	050404
	VAXGEN INC NEW			4/29/2004	2000		26,600.00					13.3000	050404
	VAXGEN INC NEW			4/29/2004	3000		39,900.00					13.3000	050404
	VASO ACTIVE	PH		3/17/2004		5000			42893.32			8.5790	032204
	METRO GOLDWYN MAYER			4/23/2004		500			10484.75			20.9700	042804
	METRO GOLDWYN MAYER			4/28/2004		2500			55373.70			22.1500	050304
	METRO GOLDWYN MAYER			4/28/2004		3000			66448.44			22.1500	050304
	METRO GOLDWYN MAYER			4/28/2004		2000			44298.96			22.1500	050304
	MIDWAY GAMES INC			4/14/2004		250			2062.45			8.2500	041904
	MIDWAY GAMES INC			4/28/2004		500			4869.88			9.7400	050304
	PIONEER DRILLING CO			3/9/2004	2500		16,187.50					6.4750	031204
	PIONEER DRILLING CO			3/9/2004	2500		16,182.50					6.4730	031204
	VAXGEN INC NEW			4/5/2004	1000		11,060.00					11.0600	040804
	VAXGEN INC NEW			4/5/2004	1500		16,560.00					11.0400	040804
	VAXGEN INC NEW			4/5/2004	1000		11,040.00					11.0400	040804
	VAXGEN INC NEW			4/22/2004		1000			13129.69			13.1300	042704
	WHISTLER INVESTMENTS			4/8/2004		1000			6349.85			6.3500	041404
	EUROTRUST A/S			4/13/2004		3000			20249.52			6.7500	041604
	EUROTRUST A/S			4/13/2004		2000			13499.68			6.7500	041604
	EUROTRUST A/S			4/13/2004		2000			13599.68			6.8000	041604
	EUROTRUST A/S			4/13/2004		400			2719.93			6.8000	041604
	EUROTRUST A/S			4/13/2004		600			4079.90			6.8000	041604
	EUROTRUST A/S			4/13/2004		600			4079.90			6.8000	041604
	EUROTRUST A/S			4/13/2004		400			2719.93			6.8000	041604
	EUROTRUST A/S			4/13/2004		500			3399.92			6.8000	041604
	EUROTRUST A/S			4/13/2004		500			3399.92			6.8000	041604
	EUROTRUST A/S			4/13/2004		500			3349.92			6.7000	041604
	EUROTRUST A/S			4/13/2004		600			4079.90			6.8000	041604
	EUROTRUST A/S			4/26/2004	3000		10,800.00					3.6000	042904
	EUROTRUST A/S			4/26/2004	2000		7,100.00					3.5500	042904
	EVCI CAREER COLLEGES IN			4/7/2004		10000			144996.60			14.5000	041304
	GENTA INC	NEW		4/28/2004		5000			82498.06			16.5000	050304
	GENTA INC	NEW		4/28/2004		2000			32999.22			16.5000	050304
	GENTA INC	NEW		4/29/2004		20000			304992.86			15.2500	050404
	GENTA INC	NEW		4/29/2004		4000			57398.65			14.3500	050404
	GENTA INC	NEW		4/30/2004	5000		44,750.00					8.9500	050504
	GENTA INC	NEW		4/30/2004	5000		45,000.00					9.0000	050504
	GENTA INC	NEW		4/30/2004	5000		44,750.00					8.9500	050504
	GENTA INC	NEW		4/30/2004	10000		90,500.00					9.0500	050504
	IPIX CORP			4/8/2004		10000			162496.19			16.2500	041404
	IPIX CORP			4/12/2004	10000		220,000.00					22.0000	041504
	IPIX CORP			4/20/2004		10000			259993.91			26.0000	042304
	LUCENT TECHNOLOGIES IN			4/8/2004		2600			12219.71			4.7000	041404
	MACE SEC INTL INC			4/12/2004		1100			8612.79			7.8300	041504
	MACE SEC INTL INC			4/12/2004		1600			11839.72			7.4000	041504
	MACE SEC INTL INC			4/13/2004	1600		19,120.00					11.9500	041604
	MACE SEC INTL INC			4/13/2004	1100		13,145.00					11.9500	041604
	MACE SEC INTL INC			4/13/2004	10000		112,500.00					11.2500	041604
	MACE SEC INTL INC			4/15/2004		20000			179995.78			9.0000	042004
	MACE SEC INTL INC			4/20/2004		2500			19374.54			7.7500	042304
	MACE SEC INTL INC			4/26/2004		2000			10979.74			5.4900	042904
	MACE SEC INTL INC			4/26/2004		1300			7136.83			5.4900	042904
	MACE SEC INTL INC			4/29/2004	2500		9,750.00					3.9000	050404
	MAGAL SECURITY SYS LTD			4/13/2004		10000			339992.04			34.0000	041604

Unreported Equity Trades

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Rep	Security	Description	Trade	Date	Quantity	Quantity	Value	Cost	Value	Customer	Account	Contract	Settlement
ACCT					Long	Short			Proceeds			Price	Date
	MAGAL SECURITY SYS LTD			4/14/2004		2500			78748.15			31.5000	041904
	MAGAL SECURITY SYS LTD			4/16/2004		10000			307492.80			30.7500	042104
	MAGAL SECURITY SYS LTD			4/16/2004		5000			158746.28			31.7500	042104
	MIDWAY GAMES INC			4/26/2004		40000			397990.68			9.9500	042904
	NANOGEN INCORPERATED			4/8/2004	5000		44,000.00					8.8000	041404
	NANOGEN INCORPERATED			4/20/2004	2500		19,750.00					7.9000	042304
	PHOTOMEDEX INC			4/12/2004		10000			33499.21			3.3500	041504
	RESEARCH IN MOTION LTD			4/7/2004		2500			282493.38			113.0000	041304
	SCIENTIFIC GAMES CORP			4/13/2004	10000		198,500.00					19.8500	041604
	SCIENTIFIC GAMES CORP			4/13/2004	10000		193,000.00					19.3000	041604
	SCIENTIFIC GAMES CORP			4/14/2004	3000		57,000.00					19.0000	041904
	SCIENTIFIC GAMES CORP			4/26/2004	5000		97,500.00					19.5000	042904
	WIND RIV SYS INC			4/8/2004	20000		244,000.00					12.2000	041404
	BALLY TOTAL FITNESS			4/5/2004		15000			92997.82			6.2000	040804
	BALLY TOTAL FITNESS			4/14/2004	15000		88,050.00					5.8700	041904
	EVCI CAREER COLLEGES IN			4/6/2004		1800			26549.37			14.7500	041204
	EVCI CAREER COLLEGES IN			4/7/2004		5000			71998.31			14.4000	041304
	EVCI CAREER COLLEGES IN			4/7/2004		5000			71998.31			14.4000	041304
	EVCI CAREER COLLEGES IN			4/8/2004		1000			14499.66			14.5000	041404
	EVCI CAREER COLLEGES IN			4/8/2004		1000			14399.66			14.4000	041404
	EVCI CAREER COLLEGES IN			4/8/2004		3000			43198.98			14.4000	041404
	EVCI CAREER COLLEGES IN			4/12/2004		1000			14299.66			14.3000	041504
	EVCI CAREER COLLEGES IN			4/19/2004		5000			63748.50			12.7500	042204
	EVCI CAREER COLLEGES IN			4/28/2004	5000		58,000.00					11.6000	050304
	GENTA INC	NEW		4/28/2004		2000			33199.22			16.6000	050304
	GENTA INC	NEW		4/28/2004		6000			98997.68			16.5000	050304
	GENTA INC	NEW		4/28/2004		5000			82498.06			16.5000	050304
	GENTA INC	NEW		4/28/2004		10000			162996.18			16.3000	050304
	GENTA INC	NEW		4/29/2004		1500			24599.42			16.4000	050404
	GENTA INC	NEW		4/30/2004	15000		120,000.00					8.0000	050504
	ICTS INTERNATIONAL NV			4/12/2004		10000			87497.95			8.7500	041504
	IVILLAGE INC			4/13/2004		10000			93497.81			9.3500	041604
	IVILLAGE INC			4/14/2004		2500			21874.48			8.7500	041904
	IVILLAGE INC			4/14/2004		3000			26639.37			8.8800	041904
	LEXAR MEDIA INC			4/5/2004	5000		87,500.00					17.5000	040804
	LEXAR MEDIA INC			4/15/2004		20000			314992.62			15.7500	042004
	LUCENT TECHNOLOGIES IN			4/27/2004	10000		35,500.00					3.5500	043004
	MACE SEC INTL INC			4/12/2004		10000			69998.36			7.0000	041504
	MACE SEC INTL INC			4/15/2004		5000			44998.94			9.0000	042004
	MAGAL SECURITY SYS LTD			4/14/2004		3000			94197.79			31.4000	041904
	MAGAL SECURITY SYS LTD			4/19/2004		3000			98397.69			32.8000	042204
	MAGAL SECURITY SYS LTD			4/19/2004		3000			101247.63			33.7500	042204
	MAGAL SECURITY SYS LTD			4/26/2004		2500			57498.65			23.0000	042904
	MIDWAY GAMES INC			4/27/2004		4000			40599.04			10.1500	043004
	MIDWAY GAMES INC			4/27/2004		10000			99497.67			9.9500	043004
	NANOGEN INCORPERATED			4/6/2004	3000		26,550.00					8.8500	041204
	NANOGEN INCORPERATED			4/7/2004	7500		67,500.00					9.0000	041304
	NANOGEN INCORPERATED			4/8/2004	3000		27,300.00					9.1000	041404
	NANOGEN INCORPERATED			4/19/2004	5000		39,750.00					7.9500	042204
	OMNIVISION TECH INC			4/22/2004		10000			274993.56			27.5000	042704
	SCIENTIFIC GAMES CORP			4/14/2004	5000		95,500.00					19.1000	041904
	SCIENTIFIC GAMES CORP			4/28/2004	5000		96,100.00					19.2200	050304
	SPECTRUM SIGNAL			4/13/2004		10000			39499.07			3.9500	041604
	WAVE SYSTEMS CORP CL A			4/13/2004		10000			21499.49			2.1500	041604
	WIND RIV SYS INC			4/14/2004	2000		23,400.00					11.7000	041904
	WIND RIV SYS INC			4/14/2004	2000		23,400.00					11.7000	041904

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Rep Acct	Security	Description	Trade Date	Quantity Long	Quantity Short	Value	Cost	Value Proceeds	Customer	Account	Contract Price	Settlement Date
	ADVANCED MICRO DEVS		4/28/2004		1000			16099.62			16.1000	050304
	BEA SYSTEMS INC		4/26/2004	1000		11,679.70					11.6797	042904
	CIENA CORP		4/13/2004	1000		4,939.90					4.9399	041604
	CORNING INC		4/14/2004	500		5,240.00					10.4800	041904
	EXTREME NETWORKS INC		4/27/2004		1200			8219.80			6.8500	043004
	FIRST TENNESSEE XXX		4/16/2004		280			12582.90			44.9400	042104
	FLEXTRONICS INTL LTD		4/27/2004		1000			18639.56			18.6400	043004
	FLEXTRONICS INTL LTD		4/27/2004		800			14863.65			18.5800	043004
	JOHNSON & JOHNSON CORP		4/12/2004		210			10711.84			51.0100	041504
	LUCENT TECHNOLOGIES INC		4/20/2004	1000		3,760.00					3.7600	042304
	NORTEL NETWORKS CRP		4/27/2004	1000		5,490.00					5.4900	043004
	RAMBUS INC		4/13/2004		275			7812.56			28.4100	041604
	XOMA LTD		4/30/2004	1000		4,000.00					4.0000	050504
	ALTAIR NANOTECHNOLOG		4/28/2004	4300		12,470.00					2.9000	050304
	ALTAIR NANOTECHNOLOG		4/28/2004	15000		42,750.00					2.8500	050304
	BALLY TOTAL FITNESS		4/2/2004		2700			16199.62			6.0000	040704
	BALLY TOTAL FITNESS		4/28/2004	2000		10,700.00					5.3500	050304
	BALLY TOTAL FITNESS		4/28/2004	4900		26,215.00					5.3500	050304
	BALLY TOTAL FITNESS		4/28/2004	3500		19,075.00					5.4500	050304
	BALLY TOTAL FITNESS		4/28/2004	8000		42,800.00					5.3500	050304
	BALLY TOTAL FITNESS		4/28/2004	2700		14,310.00					5.3000	050304
	BROCADE COMMUNICATIO		4/28/2004		4000			24799.41			6.2000	050304
	GATEWAY INC		4/28/2004	2200		11,660.00					5.3000	050304
	GATEWAY INC		4/28/2004	2000		10,700.00					5.3500	050304
	JMAR TECHNOLOGIES INC		4/28/2004	2100		4,830.00					2.3000	050304
	LUCENT TECHNOLOGIES INC		4/28/2004		6500			23724.44			3.6500	050304
	LUCENT TECHNOLOGIES INC		4/28/2004		10000			36099.15			3.6100	050304
	LUCENT TECHNOLOGIES INC		4/28/2004		4000			14599.65			3.6500	050304
	LUCENT TECHNOLOGIES INC		4/28/2004		7000			25129.41			3.5900	050304
	MIDWAY GAMES INC		4/2/2004	2300		16,100.00					7.0000	040704
	SCIENTIFIC GAMES CORP		4/28/2004		3000			59638.60			19.8800	050304
	SILICON GRAPHICS INC		4/28/2004	4500		9,450.00					2.1000	050304
	SILICON GRAPHICS INC		4/28/2004		2100			4766.88			2.2700	050304
	SUN MICROSYSTEMS INC		4/28/2004		3900			17042.60			4.3700	050304
	AMGEN INC		4/14/2004		250			15257.14			61.0300	041904
	AMGEN INC		4/22/2004		200			11799.72			59.0000	042704
	AMGEN INC		4/22/2004		300			17606.58			58.6900	042704
	ANAREN INC		4/28/2004		1000			16609.61			16.6100	050304
	BANK OF NEW YORK CO IN		4/26/2004		588			18339.29			31.1900	042904
	BOSTON SCIENTIFIC CORP		4/26/2004		400			17299.59			43.2500	042904
	BOSTON SCIENTIFIC CORP		4/26/2004		560			23693.04			42.3100	042904
	BOSTON SCIENTIFIC CORP		4/26/2004		350			14892.15			42.5500	042904
	CORNING INC		4/7/2004		2000			23339.45			11.6700	041304
	CORNING INC		4/8/2004		1000			11929.72			11.9300	041404
	CORNING INC		4/14/2004		500			5694.86			11.3900	041904
	COST INC		4/5/2004		2000			11999.71			6.0000	040804
	FLEXTRONICS INTL LTD		4/27/2004		1000			18899.55			18.9000	043004
	HARBOR FL BANCSHARES		4/15/2004		600			17243.59			28.7400	042004
	HARBOR FL BANCSHARES		4/15/2004		500			14269.66			28.5400	042004
	HARBOR FL BANCSHARES		4/15/2004		700			19977.53			28.5400	042004
	HARTMARX CORP		4/16/2004		1500			8939.79			5.9600	042104
	HARTMARX CORP		4/16/2004		2000			11899.72			5.9500	042104
	HARTMARX CORP		4/16/2004		1300			7734.81			5.9500	042104
	HARTMARX CORP		4/19/2004		1400			8371.80			5.9800	042204
	HARTMARX CORP		4/21/2004		1500			9059.78			6.0400	042604
	JETBLUE AIRWAYS CORP		4/26/2004	700		19,635.00					28.0500	042904

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Rep	Security	Description	Trade	Date	Quantity	Quantity	Value	Cost	Value	Customer	Account	Contract	Settlement
ACCT					Long	Short			Proceeds			Price	Date
	JOHNSON & JOHNSON COR			4/22/2004		290			16033.72			55.2900	042704
	JOHNSON & JOHNSON COR			4/23/2004		435			23976.63			55.1200	042804
	LUCENT TECHNOLOGIES II			4/14/2004		1000			4449.89			4.4500	041904
	LUCENT TECHNOLOGIES II			4/23/2004		5000			20199.52			4.0400	042804
	LUCENT TECHNOLOGIES II			4/27/2004		2500			9674.77			3.8700	043004
	LUCENT TECHNOLOGIES II			4/29/2004		10000			35499.16			3.5500	050404
	LUCENT TECHNOLOGIES II			4/29/2004		3000			10649.75			3.5500	050404
	LUCENT TECHNOLOGIES II			4/29/2004		3000			10649.75			3.5500	050404
	MAPINFO CORP			4/23/2004		1000			12499.70			12.5000	042804
	NOKIA CORP SPONS ADR			4/20/2004		800			12591.70			15.7400	042304
	NOKIA CORP SPONS ADR			4/23/2004		500			7914.81			15.8300	042804
	NOKIA CORP SPONS ADR			4/26/2004		1144			17994.69			15.7300	042904
	QLOGIC CORP			4/5/2004		1000			32999.22			33.0000	040804
	SANDISK CORP			4/8/2004		500			17034.60			34.0700	041404
	SANDISK CORP			4/8/2004		500			16944.60			33.8900	041404
	SANDISK CORP			4/13/2004		500			16369.61			32.7400	041604
	SANDISK CORP			4/13/2004		700			22742.46			32.4900	041604
	SMITH & WOLLENSKY			4/5/2004		1300			9905.76			7.6200	040804
	SMITH & WOLLENSKY			4/5/2004		2000			15239.64			7.6200	040804
	SMITH & WOLLENSKY			4/6/2004		2000			15999.62			8.0000	041204
	SMITH & WOLLENSKY			4/7/2004		1200			9743.77			8.1200	041304
	SMITH & WOLLENSKY			4/13/2004		500			4144.90			8.2900	041604
	STAPLES INC			4/27/2004		400			11287.73			28.2200	043004
	COSI INC			4/5/2004		500			3129.92			6.2600	040804
	COSI INC			4/6/2004		1500			9299.78			6.2000	041204
	ADVANCED MICRO DEVS			4/23/2004		780			13535.64			17.3538	042804
	ADVANCED MICRO DEVS			4/23/2004		620			10787.74			17.4000	042804
	BEA SYSTEMS INC			4/14/2004		700			9043.78			12.9200	041904
	CORNING INC			4/21/2004		900			9620.77			10.6900	042604
	CORNING INC			4/23/2004	900		10,439.73					11.5997	042804
	CORNING INC			4/28/2004		500			5999.85			12.0000	050304
	CORNING INC			4/29/2004		1000			11969.71			11.9700	050404
	EXTREME NETWORKS INC			4/29/2004		1000			6109.85			6.1100	050404
	GOLDEN STAR RES LTD CL			4/27/2004	3000		16,246.50					5.4155	043004
	LUCENT TECHNOLOGIES II			4/27/2004		2100			8252.80			3.9300	043004
	MICROSOFT CORP			4/14/2004		400			10627.75			26.5700	041904
	MICROSOFT CORP			4/23/2004		400			11427.73			28.5700	042804
	NOKIA CORP SPONS ADR			4/22/2004		1000			15309.64			15.3100	042704
	NOKIA CORP SPONS ADR			4/27/2004		600			9419.77			15.7000	043004
	SIEBEL SYSTEMS INC			4/27/2004	1000		10,969.70					10.9697	043004

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Rep ACCT	Security Description	Trade Date	Quantity Long	Quantity	Value	Cost	Value Proceeds	Customer Account	Contract Price	Settlement Date
	EUROTRUST A/S	5/20/2004	2000		6,900.00				3.4500	052504
	GENTA INC	5/27/2004		4500			11294.73		2.5100	060204
	IVILLAGE INC	5/10/2004	3000		17,250.00				5.7500	051304
	IVILLAGE INC	5/10/2004	3000		17,640.00				5.8800	051304
	MACE SEC INTL INC	5/20/2004		1900			8758.79		4.6100	052504
	MACE SEC INTL INC	5/27/2004	1900		11,495.00				6.0500	060204
	BERRY PETE CO CLAS	5/25/2004		500			14549.65		29.1000	052804
	NBTY INC	5/25/2004		530			20166.02		38.0500	052804
	TRANSACT TECH INC	5/25/2004		540			17938.38		33.2200	052804
	ALAMOSA HOLDINGS	5/28/2004		2291			16930.09		7.3900	060304
	ALAMOSA HOLDINGS	5/28/2004		2291			16930.09		7.3900	060304
	ALAMOSA HOLDINGS	5/28/2004		1347			9954.09		7.3900	060304
	ALAMOSA HOLDINGS	5/28/2004		1000			7389.82		7.3900	060304
	CHARMING SHOPPES	5/28/2004		1088			9508.89		8.7400	060304
	CHARMING SHOPPES	5/28/2004		1145			10007.06		8.7400	060304
	CHARMING SHOPPES	5/28/2004		2061			18012.71		8.7400	060304
	CHARMING SHOPPES	5/28/2004		1947			17016.38		8.7400	060304
	DHB INDUSTRIES INC	5/27/2004	1824		16,847.19				9.2364	060204
	DHB INDUSTRIES INC	5/27/2004	2919		26,961.05				9.2364	060204
	DHB INDUSTRIES INC	5/27/2004	1733		16,006.68				9.2364	060204
	LIFECCELL IND	5/28/2004		1675			17838.33		10.6500	060304
	LIFECCELL IND	5/28/2004		930			9904.26		10.6500	060304
	NMS COMMUNICATIO	5/28/2004	2719		23,005.46				8.4610	060304
	NMS COMMUNICATIO	5/28/2004	2200		18,614.20				8.4610	060304
	NMS COMMUNICATIO	5/28/2004	1130		9,560.93				8.4610	060304
	NAVARRE CORP	5/20/2004	1569		15,705.22				10.0097	052504
	NAVARRE CORP	5/20/2004	763		7,637.40				10.0097	052504
	NAVARRE CORP	5/20/2004	3877		38,807.61				10.0097	052504
	ALAMOSA HOLDINGS	5/28/2004		3589			26593.86		7.4100	060304
	ANIKA THERAPEUTIC	5/28/2004		1035			15045.54		14.5371	060304
	CHARMING SHOPPES	5/28/2004		3043			26467.39		8.6980	060304
	DHB INDUSTRIES INC	5/28/2004	1600		14,863.20				9.2895	060304
	GOODY'S FAMILY CL	5/28/2004	1760		20,825.02				11.8324	060304
	INDUSTRIAL SVCS A	5/28/2004	680		6,906.62				10.1568	060304
	LIFECCELL IND	5/19/2004	1320		13,606.16				10.3077	052404
	LIFECCELL IND	5/28/2004		2476			26626.77		10.7542	060304
	NMS COMMUNICATIO	5/26/2004	2850		24,731.73				8.6778	060104
	NATURAL ALTERNAT	5/19/2004	1080		13,812.23				12.7891	052404
	NATURAL ALTERNAT	5/19/2004	2025		25,889.02				12.7847	052404
	NAVARRE CORP	5/19/2004	1350		13,245.80				9.8117	052404
	PENGROWTH ENERG	5/28/2004		729			9994.35		13.7100	060304
	SPRINT CORP	5/28/2004		1000			9999.76		10.0000	060304
	CHARMING SHOPPES	5/28/2004		850			7394.82		8.7000	060304
	CHARMING SHOPPES	5/28/2004		1730			15050.64		8.7000	060304

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Rep ACCT	Security Description	Trade Date	Quantity Long	Quantity	Value	Cost	Value Proceeds	Customer Account	Contract Price	Settlement Date
	COLONIAL BANCRO	5/26/2004	150		2,662.43				17.7495	060104
	DHB INDUSTRIES INC	5/25/2004	1800		15,732.00				8.7400	052804
	DHB INDUSTRIES INC	5/25/2004	900		7,866.00				8.7400	052804
	HEALTH CARE REIT	5/26/2004	100		3,153.00				31.5300	060104
	NATURAL ALTERNAT	5/25/2004		1380			15980.02		11.5800	052804
	NATURAL ALTERNAT	5/25/2004		690			7990.01		11.5800	052804
	NATURAL ALTERNAT	5/28/2004	690		7,534.80				10.9200	060304
	NATURAL ALTERNAT	5/28/2004	1380		15,069.60				10.9200	060304
	ABIOMED INC	4/30/2004		900			10727.74		11.9200	050504
	ABIOMED INC	5/27/2004	900		11,555.73				12.8397	060204
	AETERNA LABS INC	5/18/2004		1200			9604.45		8.0039	052104
	AETERNA LABS INC	5/18/2004		1280			10244.75		8.0039	052104
	AETERNA LABS INC	5/18/2004		1280			10244.75		8.0039	052104
	AETERNA LABS INC	5/18/2004		1200			9575.77		7.9800	052104
	AETERNA LABS INC	5/18/2004		1280			10214.16		7.9800	052104
	AETERNA LABS INC	5/18/2004		1280			10214.16		7.9800	052104
	AETERNA LABS INC	5/24/2004	1200		9,360.36				7.8003	052704
	AETERNA LABS INC	5/24/2004	1280		9,984.38				7.8003	052704
	AETERNA LABS INC	5/24/2004	1280		9,984.38				7.8003	052704
	CHARMING SHOPPES	5/28/2004		1359			11843.81		8.7153	060304
	CHARMING SHOPPES	5/28/2004		1018			8871.97		8.7153	060304
	CHARMING SHOPPES	5/28/2004		968			8436.21		8.7153	060304
	COLONIAL BANCRO	5/26/2004	150		2,662.43				17.7495	060104
	CONSECO INC NEW	5/26/2004	19		348.46				18.3400	060104
	DELTA PETROLEUM	5/26/2004		890			12310.37		13.8322	060104
	DELTA PETROLEUM	5/26/2004		700			9652.77		13.7900	060104
	ESCALON MED CORP	5/20/2004		195			3158.92		16.2000	052504
	HEALTH CARE REIT	5/26/2004	100		3,153.00				31.5300	060104
	INDUSTRIAL SVCS AM	5/3/2004	890		13,578.02				15.2562	050604
	LIFECCELL IND	5/18/2004		900			9798.88		10.8879	052104
	LIFECCELL IND	5/18/2004		940			10234.39		10.8879	052104
	LIFECCELL IND	5/18/2004		910			9907.75		10.8879	052104
	LIFECCELL IND	5/18/2004		940			10198.76		10.8500	052104
	LIFECCELL IND	5/18/2004		910			9873.26		10.8500	052104
	LIFECCELL IND	5/18/2004		900			9764.77		10.8500	052104
	LIFECCELL IND	5/24/2004	910		8,378.46				9.2071	052704
	LIFECCELL IND	5/24/2004	940		8,654.67				9.2071	052704
	NMS COMMUNICATIO	5/24/2004	900		7,379.82				8.1998	052704
	NATURAL ALTERNAT	5/6/2004	750		9,637.50				12.8500	051104
	NATURAL ALTERNAT	5/6/2004	966		12,413.10				12.8500	051104
	NATURAL ALTERNAT	5/25/2004		1100			12800.73		11.6373	052804
	NATURAL ALTERNAT	5/25/2004		790			9193.25		11.6373	052804
	NATURAL ALTERNAT	5/25/2004		830			9658.73		11.6373	052804
	NATURAL ALTERNAT	5/25/2004		830			9586.27		11.5500	052804

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Rep ACCT	Security Description	Trade Date	Quantity Long	Quantity	Value	Cost	Value Proceeds	Customer Account	Contract Price	Settlement Date
	NATURAL ALTERNAT	5/25/2004		1100			12704.70		11.5500	052804
	NATURAL ALTERNAT	5/25/2004		790			9124.28		11.5500	052804
	NATURAL ALTERNAT	5/27/2004		550			6258.85		11.3800	060204
	NATURAL ALTERNAT	5/28/2004	1100		11,779.79				10.7089	060304
	NATURAL ALTERNAT	5/28/2004	830		8,888.39				10.7089	060304
	NATURAL ALTERNAT	5/28/2004	790		8,460.03				10.7089	060304
	NAVARRE CORP	4/30/2004		900			8045.81		8.9400	050504
	NAVARRE CORP	5/6/2004	600		5,825.82				9.7097	051104
	NAVARRE CORP	5/7/2004	700		7,146.86				10.2098	051204
	NAVARRE CORP	5/7/2004	300		3,086.94				10.2898	051204
	NETIQ CORP	5/26/2004		890			12239.79		13.7529	060104
	NETIQ CORP	5/28/2004	914		9,541.89				10.4397	060304
	NETIQ CORP	5/28/2004	914		9,541.89				10.4397	060304
	NETIQ CORP	5/28/2004	732		7,641.86				10.4397	060304
	PROVIDENT ENERGY	5/26/2004		1200			10412.63		8.6774	060104
	PROVIDENT ENERGY	5/26/2004		1200			10412.63		8.6774	060104
	PROVIDENT ENERGY	5/27/2004	940		7,632.61				8.1198	060204
	SPRINT CORP	5/25/2004	1160		10,915.37				9.4098	052804
	ADVANCED MICRO D	5/5/2004		500			7544.82		15.0900	051004
	ALTRIA GROUP INC	5/25/2004		300			14009.67		46.7000	052804
	AMGEN INC	5/10/2004		400			23511.44		58.7800	051304
	AMGEN INC	5/18/2004		450			25932.89		57.6300	052104
	AMGEN INC	5/27/2004		250			13949.67		55.8000	060204
	BOSTON SCIENTIFIC	5/4/2004		500			20674.51		41.3500	050704
	BOSTON SCIENTIFIC	5/6/2004		150			6167.85		41.1200	051104
	BOSTON SCIENTIFIC	5/11/2004		500			20359.52		40.7200	051404
	BOSTON SCIENTIFIC	5/13/2004		425			17033.60		40.0800	051804
	BOSTON SCIENTIFIC	5/18/2004		300			12140.71		40.4700	052104
	BOSTON SCIENTIFIC	5/20/2004		330			12896.09		39.0800	052504
	BOSTON SCIENTIFIC	5/26/2004	425		17,726.03				41.7083	060104
	BOSTON SCIENTIFIC	5/26/2004	330		13,664.74				41.4083	060104
	BOSTON SCIENTIFIC	5/26/2004	500		21,049.50				42.0990	060104
	BOSTON SCIENTIFIC	5/26/2004	300		12,629.70				42.0990	060104
	BOSTON SCIENTIFIC	5/27/2004	500		22,149.45				44.2989	060204
	BOSTON SCIENTIFIC	5/27/2004	500		21,739.50				43.4790	060204
	BOSTON SCIENTIFIC	5/27/2004	200		8,875.78				44.3789	060204
	BRISTOL MYERS SQ	5/26/2004		700			17989.57		25.7000	060104
	BRISTOL MYERS SQ	5/26/2004		1000			26223.38		26.2240	060104
	BRISTOL MYERS SQ	5/26/2004		600			15629.63		26.0500	060104
	BRISTOL MYERS SQ	5/26/2004		379			9796.92		25.8500	060104
	BRISTOL MYERS SQ	5/27/2004		350			9012.28		25.7500	060204
	BRISTOL MYERS SQ	5/27/2004		500			12799.70		25.6000	060204
	CIENA CORP	5/10/2004	1000		3,529.90				3.5299	051304
	CISCO SYSTEMS INC	5/13/2004		500			11159.73		22.3200	051804

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Rep ACCT	Security Description	Trade Date	Quantity Long	Quantity by	Value Cost	Value Proceeds	Customer Account	Contract Price	Settlement Date
	CISCO SYSTEMS INC	5/13/2004		500		11219.73		22.4400	051804
	CISCO SYSTEMS INC	5/21/2004		500		11294.73		22.5900	052604
	CISCO SYSTEMS INC	5/24/2004		422		9638.25		22.8400	052704
	CORNING INC	5/13/2004		510		6094.35		11.9500	051804
	CORNING INC	5/17/2004		860		9932.76		11.5500	052004
	CORNING INC	5/24/2004	800		9,599.76			11.9997	052704
	CORNING INC	5/24/2004	700		8,413.79			12.0197	052704
	CORNING INC	5/26/2004	860		10,715.34			12.4597	060104
	CRAY INC	5/10/2004	1000		6,249.80			6.2498	051304
	EXTREME NETWORK	5/5/2004		1000		6059.85		6.0600	051004
	EXTREME NETWORK	5/5/2004	1500		8,399.85			5.5999	051004
	EXTREME NETWORK	5/19/2004		450		2425.44		5.3900	052404
	EXTREME NETWORK	5/25/2004		2000		10739.74		5.3700	052804
	FLEXTRONICS INTL	5/4/2004		600		10019.76		16.7000	050704
	FOUNDRY NETWORK	5/13/2004	485		5,834.40			12.0297	051804
	FOUNDRY NETWORK	5/21/2004	600		6,683.82			11.1397	052604
	LUCENT TECHNOLOG	5/7/2004		2000		7099.83		3.5500	051204
	LUCENT TECHNOLOG	5/13/2004		1650		5824.36		3.5300	051804
	MBNA CORP	5/24/2004		475		12283.21		25.8600	052704
	MICROSOFT CORP	5/19/2004	100		2,517.93			25.1793	052404
	MICROSOFT CORP	5/24/2004	100		2,491.93			24.9193	052704
	NETWORK APPLIANC	5/3/2004	1100		21,152.45			19.2295	050604
	NETWORK APPLIANC	5/11/2004	1300		25,758.59			19.8143	051404
	NETWORK APPLIANC	5/17/2004	700		14,411.67			20.5881	052004
	NETWORK APPLIANC	5/18/2004	1300		26,371.16			20.2855	052104
	NOKIA CORP SPONS	5/13/2004	1000		13,084.70			13.0847	051804
	NOKIA CORP SPONS	5/20/2004	1000		13,019.70			13.0197	052504
	NORTEL NETWORKS	5/4/2004	2000		7,389.80			3.6949	050704
	NORTEL NETWORKS	5/4/2004	2000		7,349.80			3.6749	050704
	PEOPLESOF INC	5/10/2004	700		11,906.72			17.0096	051304
	PEOPLESOF INC	5/13/2004	1000		17,369.60			17.3696	051804
	PEOPLESOF INC	5/10/2004	2340		4,427.98			1.8923	051304
	WATSON PHARM INC	5/27/2004		500		19379.54		38.7600	060204
	ADVANCED MICRO D	5/28/2004	3000		45,523.80			15.1746	060304
	AMGEN INC	5/27/2004		500		28654.32		57.3100	060204
	BOSTON SCIENTIFIC	5/27/2004	500		22,304.45			44.6089	060204
	BRISTOL MYERS SQL	5/25/2004		500		13124.69		26.2500	052804
	BRISTOL MYERS SQL	5/26/2004		1000		26235.38		26.2360	060104
	BRISTOL MYERS SQL	5/26/2004		1000		26299.38		26.3000	060104
	BRISTOL MYERS SQL	5/27/2004		500		12809.70		25.6200	060204
	BRISTOL MYERS SQL	5/27/2004		700		18514.56		26.4500	060204
	BRISTOL MYERS SQL	5/28/2004		1000		26439.38		26.4400	060304
	CISCO SYSTEMS INC	5/21/2004		300		6809.84		22.7000	052604
	CISCO SYSTEMS INC	5/21/2004		1000		22569.47		22.5700	052604

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	CISCO SYSTEMS INC	5/25/2004		500			11414.73		22.8300	052804
	CISCO SYSTEMS INC	5/28/2004		1000			22919.46		22.9200	060304
	CITIGROUP INC	5/27/2004		500			23624.44		47.2500	060204
	CORINTHIAN COLLEC	5/28/2004		500			14669.65		29.3400	060304
	CORNING INC	5/13/2004		1500			18314.57		12.2100	051804
	CORNING INC	5/18/2004		500			5819.86		11.6400	052104
	CORNING INC	5/20/2004		2000			23999.43		12.0000	052504
	CORNING INC	5/20/2004		1000			11999.71		12.0000	052504
	EXTREME NETWORKS	5/5/2004		2000			12159.71		6.0800	051004
	EXTREME NETWORKS	5/6/2004		5000			28929.32		5.7860	051104
	EXTREME NETWORKS	5/6/2004		5000			29179.31		5.8360	051104
	HOME DEPOT INC	5/17/2004		500			17299.59		34.6000	052004
	HOME DEPOT INC	5/25/2004		500			18109.57		36.2200	052804
	HOME DEPOT INC	5/26/2004		500			18354.57		36.7100	060104
	MBNA CORP	5/18/2004		1000			24959.41		24.9600	052104
	MBNA CORP	5/18/2004		1000			25009.41		25.0100	052104
	MAXTOR CORP NEW	5/21/2004	1000		6,239.80				6.2398	052604
	NETWORK APPLIANC	5/21/2004	1000		18,339.60				18.3396	052604
	NOKIA CORP SPONS	5/4/2004		500			7339.82		14.6800	050704
	RAMBUS INC	5/4/2004	2000		39,707.00				19.8535	050704
	RAMBUS INC	5/24/2004	500		8,904.80				17.8096	052704
	TSAKOS ENERGY NA	5/19/2004		1000			30098.29		30.0990	052404
	TIDEWATER INC	5/13/2004		500			13998.17		27.9970	051804
	TIDEWATER INC	5/13/2004		500			13998.17		27.9970	051804
	TIDEWATER INC	5/21/2004	500		12,769.70				25.5394	052604
	WATSON PHARM INC	5/19/2004		500			18979.55		37.9600	052404
	WINN-DIXIE STORES	5/17/2004	10000		60,113.00				6.0113	052004
	AMGEN INC	5/5/2004		260			15599.63		60.0000	051004
	BRISTOL MYERS SQU	5/26/2004		600			15653.63		26.0900	060104
	BRISTOL MYERS SQU	5/28/2004		1000			25619.40		25.6200	060304
	CIENA CORP	5/24/2004		4400			14783.65		3.3600	052704
	CIENA CORP	5/26/2004		2600			9047.78		3.4800	060104
	CITIGROUP INC	5/13/2004		1000			48298.86		48.3000	051804
	CORNING INC	5/20/2004		950			11352.23		11.9500	052504
	COSI INC	5/28/2004		4000			24636.62		6.1593	060304
	EXTREME NETWORKS	5/5/2004		3000			17849.58		5.9500	051004
	EXTREME NETWORKS	5/5/2004		3300			19558.64		5.9270	051004
	EXTREME NETWORKS	5/25/2004		3000			16049.62		5.3500	052804
	HOME DEPOT INC	5/18/2004		425			14963.89		35.2100	052104
	HOME DEPOT INC	5/18/2004		339			11979.97		35.3400	052104
	HOME DEPOT INC	5/19/2004		600			21323.50		35.5400	052404
	HOME DEPOT INC	5/20/2004		500			17449.59		34.9000	052504
	HOME DEPOT INC	5/20/2004		500			17349.59		34.7000	052504
	HOME DEPOT INC	5/24/2004		400			14355.66		35.8900	052704

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	HOME DEPOT INC	5/24/2004		400		14263.66		35.6600	052704
	LUCENT TECHNOLOG	5/5/2004		5000		17999.57		3.6000	051004
	LUCENT TECHNOLOG	5/28/2004		5000		18649.56		3.7300	060304
	MICROSOFT CORP	5/17/2004	500		12,510.00			25.0200	052004
	NOKIA CORP SPONS	5/13/2004	1000		13,149.70			13.1497	051804
	ALAMOS HOLDINGS	5/28/2004		1200		8879.79		7.4000	060304
	CHARMING SHOPPES	5/28/2004		1030		8857.79		8.6000	060304
	CONEXANT SYSTEMS	5/27/2004	2500		12,150.00			4.8600	060204
	CONEXANT SYSTEMS	5/27/2004	500		5,650.00			11.3000	060204
	CYTOKINETICS INC	5/27/2004		1500		23129.45		15.4200	060204
	CYTOKINETICS INC	5/27/2004		1000		16019.62		16.0200	060204
	CYTOKINETICS INC	5/27/2004		1000		16019.62		16.0200	060204
	CYTOKINETICS INC	5/28/2004		1000		16159.62		16.1600	060304
	CYTOKINETICS INC	5/28/2004		1000		16038.62		16.0390	060304
	CYTOKINETICS INC	5/28/2004		1000		16389.61		16.3900	060304
	CYTOKINETICS INC	5/28/2004		1500		24591.92		16.3950	060304
	CYTOKINETICS INC	5/28/2004		2000		32679.23		16.3400	060304
	CYTOKINETICS INC	5/28/2004		1000		15786.63		15.7870	060304
	METRO GOLDWYN M	5/19/2004	3000		36,000.00			12.0000	052404
	METRO GOLDWYN M	5/19/2004	2500		30,000.00			12.0000	052404
	METRO GOLDWYN M	5/19/2004	2000		24,000.00			12.0000	052404
	METRO GOLDWYN M	5/19/2004	1000		12,000.00			12.0000	052404
	MIDWAY GAMES INC	4/30/2004		1900		16168.62		8.5100	050504
	MIDWAY GAMES INC	5/10/2004		7000		61668.55		8.8100	051304
	MIDWAY GAMES INC	5/10/2004		2000		17619.58		8.8100	051304
	MIDWAY GAMES INC	5/10/2004		2500		22024.48		8.8100	051304
	MIDWAY GAMES INC	5/26/2004	1900		18,050.00			9.5000	060104
	MIDWAY GAMES INC	5/26/2004	5000		47,500.00			9.5000	060104
	MIDWAY GAMES INC	5/26/2004	2000		19,000.00			9.5000	060104
	MIDWAY GAMES INC	5/27/2004	2000		19,540.00			9.7700	060204
	MIDWAY GAMES INC	5/25/2004	1000		9,300.00			9.3000	052804
	SOVEREIGN BANCOR	5/25/2004	750		15,097.50			20.1300	052804
	SOVEREIGN BANCOR	5/25/2004	750		15,097.50			20.1300	052804
	VAXGEN INC NEW	5/3/2004	1000		15,000.00			15.0000	050604
	VAXGEN INC NEW	5/3/2004	1000		15,000.00			15.0000	050604
	VAXGEN INC NEW	5/18/2004		2500		39874.06		15.9500	052104
	VAXGEN INC NEW	5/18/2004		2500		39799.06		15.9200	052104
	VAXGEN INC NEW	5/19/2004		3000		50728.81		16.9100	052404
	VAXGEN INC NEW	5/19/2004		4000		67638.41		16.9100	052404
	VAXGEN INC NEW	5/19/2004		2000		33819.20		16.9100	052404
	VAXGEN INC NEW	5/19/2004		1000		16909.60		16.9100	052404
	VAXGEN INC NEW	5/27/2004		4000		66438.44		16.6100	060204
	VAXGEN INC NEW	5/28/2004	1000		15,580.00			15.5800	060304
	VAXGEN INC NEW	5/28/2004	500		7,795.00			15.5900	060304

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	VAXGEN INC NEW	5/28/2004	2500		38,975.00			15.5900	060304
	EVCI CAREER COLLE	5/11/2004	3000		30,000.00			10.0000	051404
	GENTA INC	5/26/2004		3000		7424.82		2.4750	060104
	GENTA INC	5/27/2004		4800		12191.71		2.5400	060204
	GENTA INC	5/27/2004		4800		11951.72		2.4900	060204
	IPIX CORP	5/11/2004		4000		34999.18		8.7500	051404
	IPIX CORP	5/25/2004	4000		31,400.00			7.8500	052804
	LEXAR MEDIA INC	5/19/2004		2500		24874.41		9.9500	052404
	MACE SEC INTL INC	5/26/2004	1300		7,150.00			5.5000	060104
	MACE SEC INTL INC	5/27/2004	2000		12,000.00			6.0000	060204
	MIDWAY GAMES INC	5/20/2004		2500		23499.45		9.4000	052504
	MIDWAY GAMES INC	5/27/2004	1000		10,000.00			10.0000	060204
	MIDWAY GAMES INC	5/27/2004		2000		21199.50		10.6000	060204
	MOTOROLA INCORP	5/27/2004	1000		19,450.00			19.4500	060204
	NANOGEN INCORPOR	5/10/2004	5000		28,000.00			5.6000	051304
	SILICON GRAPHICS I	5/27/2004	2700		4,806.00			1.7800	060204
	SOHU COM INC	5/10/2004	2000		30,000.00			15.0000	051304
	SOHU COM INC	5/10/2004	1000		14,600.00			14.6000	051304
	SOHU COM INC	5/11/2004	4000		65,600.00			16.4000	051404
	SOHU COM INC	5/27/2004		2500		51748.78		20.7000	060204
	SPRINT CORP	5/20/2004	750		12,600.00			16.8000	052504
	SPRINT CORP	5/27/2004	250		4,350.00			17.4000	060204
	WAVE SYSTEMS COR	5/27/2004	6700		7,303.00			1.0900	060204
	BALLY TOTAL FITNESS	5/17/2004	2000		7,280.00			3.6400	052004
	EVCI CAREER COLLE	5/11/2004	5000		49,000.00			9.8000	051404
	EVCI CAREER COLLE	5/13/2004	1800		16,740.00			9.3000	051804
	GATEWAY INC	5/25/2004		7500		30599.28		4.0800	052804
	GENTA INC	5/27/2004		7500		18749.56		2.5000	060204
	GENTA INC	5/27/2004		2000		4879.88		2.4400	060204
	GENTA INC	5/27/2004		1000		2439.94		2.4400	060204
	IPIX CORP	5/11/2004		1000		8399.80		8.4000	051404
	IPIX CORP	5/13/2004		1400		12039.71		8.6000	051804
	IPIX CORP	5/26/2004	1400		11,760.00			8.4000	060104
	IVILLAGE INC	5/11/2004	2500		14,625.00			5.8500	051404
	IVILLAGE INC	5/13/2004	3000		17,850.00			5.9500	051804
	LEXAR MEDIA INC	5/26/2004		1000		10099.76		10.1000	060104
	LUCENT TECHNOLOG	5/5/2004	10000		34,500.00			3.4500	051004
	MACE SEC INTL INC	5/13/2004		1700		9349.78		5.5000	051804
	MACE SEC INTL INC	5/13/2004		3200		16991.60		5.3100	051804
	MACE SEC INTL INC	5/27/2004	3200		18,400.00			5.7500	060204
	MAGAL SECURITIES	5/5/2004		2500		40999.04		16.4000	051004
	MAGAL SECURITIES	5/11/2004		1000		13849.67		13.8500	051404
	MAGAL SECURITIES	5/11/2004		1000		13849.67		13.8500	051404
	MAGAL SECURITIES	5/27/2004	2500		52,500.00			21.0000	060204

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Rep ACCT	Security Description	Trade Date	Quantity Long	Quantity	Value	Cost	Value Proceeds	Customer Account	Contract Price	Settlement Date
	MIDWAY GAMES INC	5/11/2004	1000		8,380.00				8.3800	051404
	MIDWAY GAMES INC	5/27/2004		5000			52748.76		10.5500	060204
	SCIENTIFIC GAMES	5/13/2004		2000			40499.05		20.2500	051804
	SCIENTIFIC GAMES	5/26/2004		2000			37999.11		19.0000	060104
	SOHU COM INC	5/11/2004	1000		15,250.00				15.2500	051404
	SOHU COM INC	5/13/2004	2000		37,000.00				18.5000	051804
	SOHU COM INC	5/13/2004	4000		74,000.00				18.5000	051804
	SOHU COM INC	5/13/2004	4000		71,000.00				17.7500	051804
	SOHU COM INC	5/13/2004	2000		35,500.00				17.7500	051804
	SOHU COM INC	5/17/2004		8000			141996.67		17.7500	052004
	SOHU COM INC	5/17/2004		4000			70998.33		17.7500	052004
	SOHU COM INC	5/27/2004		5000			106247.51		21.2500	060204
	SUN MICROSYSTEMS	5/5/2004	10000		38,500.00				3.8500	051004
	TASER INTERNATIONAL	5/5/2004		1000			33749.21		33.7500	051004
	TASER INTERNATIONAL	5/27/2004	1000		28,000.00				28.0000	060204
	CHESAPEAKE ENERG	5/27/2004		700			9582.77		13.6900	060204
	CISCO SYSTEMS INC	5/28/2004		1000			23259.45		23.2600	060304
	CORINTHIAN COLLEGE	5/28/2004		750			21651.99		28.8700	060304
	EXTREME NETWORKS	5/18/2004		1500			7754.81		5.1700	052104
	FOUNDRY NETWORKS	5/26/2004	500		6,125.00				12.2500	060104
	FOUNDRY NETWORKS	5/27/2004		900			11258.73		12.5100	060204
	MICROSOFT CORP	5/26/2004		100			2690.93		26.9100	060104
	MIKOHN GAMING CO	5/27/2004	2000		9,560.00				4.7800	060204
	QLOGIC CORP	5/26/2004	900		24,759.00				27.5100	060104
	RAMBUS INC	5/28/2004		800			14199.66		17.7500	060304
	RED HAT INC	5/21/2004		900			22805.46		25.3400	052604
	BALLY TOTAL FITNESS	5/13/2004	8000		29,600.00				3.7000	051804
	BALLY TOTAL FITNESS	5/24/2004	11000		43,450.00				3.9500	052704
	GATEWAY INC	5/13/2004	3000		11,850.00				3.9500	051804
	GENTA INC	5/26/2004		2500			6374.85		2.5500	060104
	LUCENT TECHNOLOG	5/24/2004		13800			46918.90		3.4000	052704
	LUCENT TECHNOLOG	5/26/2004	7000		22,890.00				3.2700	060104
	LUCENT TECHNOLOG	5/26/2004	6500		21,255.00				3.2700	060104
	LUCENT TECHNOLOG	5/26/2004	10000		32,700.00				3.2700	060104
	SCIENTIFIC GAMES	5/13/2004		2000			40499.05		20.2500	051804
	SCIENTIFIC GAMES	5/26/2004	2000		35,500.00				17.7500	060104
	XEROX CORP	5/26/2004		2300			32659.23		14.2000	060104
	XEROX CORP	5/26/2004		1500			21209.50		14.1400	060104
	XEROX CORP	5/26/2004		1500			21374.49		14.2500	060104
	XEROX CORP	5/26/2004		2000			28499.33		14.2500	060104
	XEROX CORP	5/26/2004		1000			13749.67		13.7500	060104
	AMGEN INC	5/13/2004		300			17849.58		59.5000	051804
	AMGEN INC	5/19/2004		600			34553.19		57.5900	052404
	BRISTOL MYERS SQU	5/25/2004		600			15641.63		26.0700	052804

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Rep ACCT	Security Description	Trade Date	Quantity Long	Quantity	Value	Cost	Value Proceeds	Customer Account	Contract Price	Settlement Date
	BRISTOL MYERS SQU	5/26/2004		600			15635.63		26.0600	060104
	BRISTOL MYERS SQU	5/26/2004		900			23588.44		26.2100	060104
	BRISTOL MYERS SQU	5/27/2004		600			15647.63		26.0800	060204
	BRISTOL MYERS SQU	5/27/2004		600			15797.63		26.3300	060204
	BRISTOL MYERS SQU	5/27/2004		550			14492.16		26.3500	060204
	BRISTOL MYERS SQU	5/27/2004		640			16927.60		26.4500	060204
	CIENA CORP	5/24/2004		3300			11021.74		3.3400	052704
	CIENA CORP	5/24/2004		3000			10049.76		3.3500	052704
	CIENA CORP	5/25/2004		3800			12729.70		3.3500	052804
	CIENA CORP	5/26/2004		2300			8003.81		3.4800	060104
	CIENA CORP	5/28/2004		1170			4293.79		3.6700	060304
	CISCO SYSTEMS INC	5/17/2004	500		10,159.75				20.3195	052004
	EXTREME NETWORKS	5/5/2004		3000			17699.58		5.9000	051004
	EXTREME NETWORKS	5/6/2004		5000			28869.32		5.7740	051104
	EXTREME NETWORKS	5/6/2004		2500			14374.66		5.7500	051104
	EXTREME NETWORKS	5/6/2004		3000			17519.59		5.8400	051104
	EXTREME NETWORKS	5/10/2004		1800			10043.76		5.5800	051304
	EXTREME NETWORKS	5/11/2004		2500			14249.66		5.7000	051404
	EXTREME NETWORKS	5/28/2004	1000		5,079.90				5.0799	060304
	EXTREME NETWORKS	5/28/2004	800		4,031.20				5.0390	060304
	GENERAL ELECTRIC	5/14/2004		300			9410.77		31.3700	051904
	GENERAL ELECTRIC	5/28/2004	250		7,522.30				30.0892	060304
	HOME DEPOT INC	5/14/2004		650			22320.47		34.3400	051904
	HOME DEPOT INC	5/14/2004		550			19189.05		34.8900	051904
	HOME DEPOT INC	5/17/2004		245			8489.05		34.6500	052004
	HOME DEPOT INC	5/17/2004		288			9999.12		34.7200	052004
	HOME DEPOT INC	5/19/2004		350			12407.20		35.4500	052404
	HOME DEPOT INC	5/21/2004		620			21804.88		35.1700	052604
	HOME DEPOT INC	5/21/2004		450			16033.12		35.6300	052604
	HOME DEPOT INC	5/24/2004		500			17729.58		35.4600	052704
	HOME DEPOT INC	5/25/2004		500			17979.57		35.9600	052804
	HOME DEPOT INC	5/25/2004		400			14395.66		35.9900	052804
	LUCENT TECHNOLOG	5/6/2004		5000			17249.59		3.4500	051104
	LUCENT TECHNOLOG	5/11/2004	3000		9,629.70				3.2099	051404
	LUCENT TECHNOLOG	5/20/2004		3000			9989.76		3.3300	052504
	MICROSOFT CORP	5/11/2004	500		12,604.70				25.2094	051404
	NATIONAL CITY COR	5/27/2004		700			25563.40		36.5200	060204
	NATIONAL CITY COR	5/27/2004		500			18154.57		36.3100	060204
	BRISTOL MYERS SQU	5/26/2004		500			13049.69		26.1000	060104
	BRISTOL MYERS SQU	5/28/2004		500			12999.69		26.0000	060304
	CISCO SYSTEMS INC	5/21/2004		360			8096.21		22.4900	052604
	CISCO SYSTEMS INC	5/21/2004		265			5959.71		22.4900	052604
	CORNING INC	5/6/2004		1000			11999.71		12.0000	051104
	CORNING INC	5/10/2004		500			5704.86		11.4100	051304

Unreported Equity Trades

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Rep ACCT.	Security Description	Trade Date	Quantity Long	Quantity	Value	Cost	Value Proceeds	Customer Account	Contract Price	Settlement Date
	CORNING INC	5/14/2004		1000			11799.72		11.8000	051904
	CORNING INC	5/14/2004		1000			11799.72		11.8000	051904
	EXTREME NETWORK	5/7/2004		5000			29699.30		5.9400	051204
	EXTREME NETWORK	5/11/2004		2400			13602.64		5.6679	051404
	EXTREME NETWORK	5/11/2004		2000			11359.73		5.6800	051404
	EXTREME NETWORK	5/11/2004		500			2824.93		5.6500	051404
	LUCENT TECHNOLOG	5/17/2004	2000		5,939.80				2.9699	052004
	MBNA CORP	5/21/2004		500			12759.70		25.5200	052604
	NOKIA CORP SPONS	4/22/2004		1000			15309.64		15.3100	042704
	NOKIA CORP SPONS	5/21/2004	600		7,679.82				12.7997	052604
	SCANSOFT INC	5/7/2004	750		3,614.85				4.8198	051204
	LUCENT TECHNOLOG	5/25/2004		2000			6739.84		3.3700	052804
	MICROSOFT CORP	5/14/2004		300			8009.81		26.7000	051904

SCHEDULE OF TRACE TRADES WITH INCORRECT CAPACITY REPORTED										
Item Number	Trade Date	Trade Time	MPID	Capacity Reported	Buy/Sell	Issue Symbol	CUSIP	Entered Price	Yield	Volume
1	6/24/2003	12:04:00	AURA	Principal	B	F.IS	345397TX10	105.0000	4.9560	10
2	6/27/2003	10:40:00	AURA	Principal	B	RBO.S.GE	638539AH90	120.6250	3.6510	9
3	6/27/2003	11:31:00	AURA	Principal	B	WMB.HY	969457BF60	94.0000	8.1430	9
4	6/27/2003	11:45:00	AURA	Principal	B	TYC.HK	125577AK20	108.8750	3.2600	8
5	6/27/2003	11:46:00	AURA	Principal	B	GS.KJ	38141GAZ70	115.5630	4.4240	9
6	6/27/2003	11:54:00	AURA	Principal	B	GMAC.HF	370425RZ50	97.8750	8.1920	10
7	6/27/2003	11:58:00	AURA	Principal	B	TYC.JW	902118AY40	103.2500	6.2070	11
8	6/27/2003	16:29:00	AURA	Principal	B	Q.GP	74913EAC40	89.5000	11.8670	9
9	6/27/2003	16:32:00	AURA	Principal	B	TYC.JW	902118AY40	103.2500	6.2070	9
10	7/1/2003	13:19:00	AURA	Principal	B	Q.HB	912912AQ50	64.0000	11.1840	11
11	7/15/2003	14:23:00	AURA	Principal	B	CMS.ZU	125893VZ60	91.0000	9.4680	11
12	7/15/2003	14:24:00	AURA	Principal	B	AES.GJ	00130HAY70	94.5000	10.1980	17
13	8/13/2003	15:39:00	AURA	Principal	B	CMS.IK	125896AP50	96.0000	11.0930	40
14	8/15/2003	10:51:00	AURA	Principal	B	F.I.L	345397SU80	106.2500	4.2210	9
15	9/15/2003	14:47:00	AURA	Principal	B	DE.GC	244199AW50	102.0000	6.3890	30
16	9/15/2003	14:47:00	AURA	Principal	B	GMAC.GPZ	37042GPL40	99.0000	7.1190	25
17	9/15/2003	14:47:00	AURA	Principal	B	MBI.GF	55262CAH30	98.2500	6.5620	5
18	9/15/2003	14:47:00	AURA	Principal	B	PGR.GD	743315AJ20	105.0000	6.2300	30
19	9/22/2003	11:18:00	AURA	Principal	B	CMS.WG	125890S840	97.0000	9.3830	15
20	9/22/2003	11:19:00	AURA	Principal	B	CMS.WG	125890S640	94.0000	10.5560	10
21	9/22/2003	11:58:00	AURA	Principal	B	SCEP.GH	842400DX80	97.0000	7.8150	15
22	9/26/2003	16:24:00	AURA	Principal	B	AOL.GB	00184AAB10	109.0000	5.2870	9
23	11/4/2003	14:59:00	AURA	Principal	B	JPM.LZ	48625HAJ90	110.5000	5.0000	9
24	11/4/2003	15:06:00	AURA	Principal	B	JPM.LZ	48625HAJ90	110.5000	5.0000	9
25	12/8/2003	10:41:45	AURA	Principal	B	AOL.GF	02364JAC80	61.7500	3.6240	60
26	12/18/2003	11:16:03	AURA	Principal	B	HI.KT	441812GK40	113.0000	3.5260	8
27	12/18/2003	11:17:56	AURA	Principal	B	MO.GS	718154CJ40	103.5000	4.6470	9
28	1/12/2004	17:03:55	AURA	Principal	B	MWD.IX	617446GL70	107.0000	2.8630	9
29	1/12/2004	17:04:48	AURA	Principal	B	RTN.GA	755111AB70	105.0000	3.0840	9
30	1/14/2004	13:41:03	AURA	Principal	B	C.OF	172967BH30	107.1250	2.5970	9
31	3/17/2004	16:09:30	AURA	Principal	S	GMAC.IQH	3704A0HS40	100.0000	5.9980	15
32	3/17/2004	16:10:28	AURA	Principal	S	GMAC.IDH	3704A0HS40	100.0000	5.9990	15
33	3/17/2004	16:11:26	AURA	Principal	S	GMAC.IDH	3704A0HS40	100.0000	5.9990	20
34	3/17/2004	16:12:17	AURA	Principal	S	GMAC.IDH	3704A0HS40	100.0000	5.9990	20
35	3/17/2004	16:13:25	AURA	Principal	S	GMAC.IDH	3704A0HS40	100.0000	5.9990	25
36	4/15/2004	12:43:58	AURA	Principal	S	UNM.GC	743862AD60	99.0000	7.1110	20
37	4/16/2004	15:23:20	AURA	Principal	S	UNM.GC	743862AD60	99.0000	7.1110	50
38	4/16/2004	15:23:20	AURA	Principal	S	UNM.GC	743862AD60	99.0000	7.1110	50
39	6/15/2004	14:54:54	AURA	Principal	S	GMAC.GWF	37042GVF90	101.7070	5.0010	5

Formal Complaint
Exhibit D
Case No. E052005000702

Customer Complaints

	Customer Name	Date of Complaint	Type of Filing	Date Required to be Filed	Date Filed	Days Late
1		5/7/2004	Quarterly	7/15/2004	3/11/2005	239
2		5/12/2004	Quarterly	7/15/2004	3/11/2005	239
3		6/1/2004	Quarterly	7/15/2004	3/10/2005	238
4		6/1/2004	Quarterly	7/15/2004	3/31/2005	259
5		7/20/2004	Quarterly	10/15/2004	3/31/2005	167
6		8/9/2004	Quarterly	10/15/2004	3/31/2005	167
7		8/10/2004	Quarterly	10/15/2004	3/11/2005	147
8		8/25/2004	Quarterly	10/15/2004	3/10/2005	146
9		8/27/2004	Quarterly	10/15/2004	3/31/2005	167
10		9/30/2004	Quarterly	10/15/2004	3/11/2005	147
11		10/5/2004	Quarterly	1/18/2005	3/11/2005	52
12		11/2/2004	Quarterly	1/18/2005	3/11/2005	52
13		11/17/2004	Quarterly	1/18/2005	3/10/2005	51
14		11/23/2004	Quarterly	1/18/2005	3/10/2005	51