RSEC 03003651

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

OFFICE OF THE
GENERAL COUNSEL

Marcus
Dunne
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Foleman

July 30, 2003

BY HAND DELIVERY

Daniel Marcus
General Counsel
National Commission on Terrorist Attacks Upon the United States
301 7th Street SW, Room 5125
Washington, D.C. 20407

Re: Securities and Exchange Commission

Dear Mr. Marcus:

Enclosed is a copy of the document responsive to the 9/11 Commission's access request to the Securities and Exchange Commission ("SEC"). The responsive document is an Information Memorandum, dated May 15, 2002, from the Division of Enforcement to the SEC Chairman and Commissioners with Exhibits A through F. The Information Memorandum contains a list of the exhibits.

Sincerely,

Richard M. Humes
Associate General Counsel

cc w/o enclosures: John Knepper, DOJ

Privileged and Confidential

RSEC 03003652

INFORMATION MEMORANDUM

File No.: HO-9325

TO: The Commission

FROM: The Division of Enforcement

RE: Pre-September 11, 2001 Trading Review

DATE: May 15, 2002

PERSONS TO CONTACT:

(b)(6), (b)(7)(C)	942-4570
Joseph J. Cella III	942-4559
(b)(6), (b)(7)(C)	942-4567
	942-4692
	942-4765

I. Introduction

On September 12, 2001, the Division of Enforcement began a review of trading in U.S. securities markets to investigate whether there was evidence that anyone who had advance knowledge of the terrorist attacks on September 11 sought to profit from that knowledge by trading in United States securities markets. Our review expanded quickly to cover trading in a broad range of financial instruments here and abroad. Generally, the review covered trading during the period from August 20 to September 11, 2001. In furtherance of that review, we worked with, and sought information from, self-regulatory organizations, securities firms and other financial institutions, other government regulators in the U.S. and abroad, and criminal law enforcement agencies. At various times, over 40 Commission staff from the Division of Enforcement and the Office of International Affairs worked on different aspects of the investigation.[1]

In the course of our investigation, we examined over 9.5 million securities transactions. Commission staff, or staff of self-regulatory organizations with whom we cooperated, reviewed trading in securities and derivative products of 103 companies in six industry groups with trading in 7 markets. We also reviewed trading in 32 exchange traded funds and broad and narrow indices. To supplement this review, we requested that the legal and compliance departments at the largest securities firms, and foreign financial regulators determine whether any unusual trading activity had been observed by their staffs in the period prior to September 11.

Our review is now complete. We have not developed any evidence suggesting that those who had advance knowledge of the September 11 attacks traded on the basis of that information. In every instance where we noticed unusual trading before the attack,

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[1] A list of Commission staff who worked on this investigation is attached as Appendix A

we were able to determine -- either through direct communication with those responsible for the trading or a review of trading records -- that the trading was consistent with a legitimate trading strategy. All of the information developed in this trading review has been made available to the Department of Justice and to the Department of the Treasury.[2]

We are providing this memorandum to the Commission to summarize the scope and the results of our investigation. The Commission may wish to consider whether to issue a statement notifying the public of those results. We have spoken to the Department of Justice and the Department of the Treasury, and they have no objection to the Commission making such a statement.

II. Overview

A. Summary of Trading Review

Initially, we focused on the securities of companies that were directly involved in the events of September 11: UAL Corp. and AMR Corp. (the parent companies of United Airlines and American Airlines, respectively); publicly traded companies with substantial operations in the World Trade Center; and insurers with substantial loss exposure as a result of the events. We identified various types of securities available for trading in these issuers and the markets in which they were traded, and analyzed price and volume activity for aberrational movements. For those securities for which listed options were traded, we reviewed large option position reports (LOPRs)[3] for any unusual accounts or activity. We also requested that the National Association of Securities Dealers Regulation Inc. (NASDR) review similar reports filed with that organization with respect to conventional options[4] and to review reported trading activity in the NASDR's Fixed Income Pricing System for eligible high yield securities of affected companies.

Shortly after September 12, we began a more comprehensive review. Analysts in the Division's Office of Market Surveillance were assigned specific industry groups to review. The staff analyzed the impact of the events on the trading activity of the companies within each group. The following industry groups were selected for a more detailed review and analysis:

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[2] Both the Department of Justice (including various United States Attorney's Offices and Federal Bureau of Investigation Field Offices) and the Department of the Treasury were granted access to this investigation. Pursuant to Commission authorization, we also briefed staff members of the Senate Banking Committee. We also briefed staff of the National Security Council.

[3] The rules of each of the markets on which options trade require that member firms submit identifying information to the exchange for surveillance purposes for any customer or proprietary account that accumulates a position of 200 contracts or more on either side of the market in a particular class of options. This information is reported in the LOPR.

[4] A conventional option is any option contract not issued or subject to issuance by the Options Clearing Corporation.

1. Airlines;
2. Insurers;
3. Financial Services;
4. Defense and Aerospace;
5. Security Providers; and
6. Travel and Leisure Services.

In addition to the six industry groups identified above, we also reviewed trading in certain financial products, including exchange traded funds[5] and broad and narrow indices (*e.g.* Dow Jones Industrial Average, Nasdaq 100, and the American Stock Exchange Airline Index).

Together with the market surveillance groups at several self regulatory organizations (SROs), including the New York Stock Exchange (NYSE), the American Stock Exchange (Amex), the Chicago Board Options Exchange (CBOE), the Pacific Exchange (PSE), the Philadelphia Stock Exchange (PHLX), and the NASDR, we obtained the identity of numerous accounts that traded in a total of 103 individual securities and 32 indices or exchange traded funds. We reviewed and analyzed trading records for those accounts to determine whether trades made during the period prior to September 11 were consistent with earlier trading. When possible, we interviewed the individuals responsible for the investment decisions and/or the traders who placed the trades.

We focused particular attention on short-selling activity. In order to identify short sales, in addition to reviewing bluesheet information, we obtained data about short sales from the Depository Trust Company, the National Securities Clearing Corporation and from LoanNet Inc.[6] In addition, NYSE staff performed a detailed analysis of changes in reported short interest positions for the affected securities.

In addition to the review of domestic trading in corporate securities and related derivative products by the Commission staff and the SROs, we contacted others to assist in a larger review of securities trading here and abroad.[7] First, from September 18 through September 20, we contacted the legal and compliance staff at 20 of the largest securities firms and requested (a) that they survey each business group within their

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[5] Exchange traded funds hold a portfolio of common stocks intended to provide investment results that generally track the price performance and yield of a specific index.

[6] LoanNet facilitates lending of securities to deliver to complete a short sale transaction. Counsel for SunGuard Securities Finance Inc., LoanNet's parent company, notified the staff that a subpoena would be required for the production of any records. Accordingly, the staff sought a formal order of investigation from the Commission on September 28, 2001.

[7] The CFTC initiated a similar review of trading in financial futures products.

respective firms to determine if any unusual activity had been noted in the weeks prior to September 11, and (b) that on a continuing basis, they notify the Commission in the event they observe any unusual trading activity that might suggest the possibility of future attacks.[8]

Second, we consulted with the staff of the Federal Reserve Bank of New York (FRBNY) to ask them to determine whether there had been any unusual movements in the secondary market for United States Treasury securities before September 11. Although we did not review trading records ourselves, we were told by the FRBNY that they did not detect any evidence of unusual trading that would indicate advance knowledge of the events of September 11.

Third, the Commission's Office of International Affairs (OIA) contacted securities regulatory authorities in ten countries.[9] Initially, those foreign regulators were asked to review trading in all U.S.-registered stocks and derivatives based on U.S.-registered stocks that were traded on their markets during the period from August 27, 2001 through September 11, 2001, and to identify any unusual trading. The foreign regulators were asked to pay special attention to any unusual trading in the securities of airlines, hotels, brokerage firms, bank holding companies, and insurance and re-insurance companies. At the request of the foreign regulators, Commission staff compiled a list of thirty-eight companies for review to determine if there was any unusual trading activity.[10] In addition to the broad reviews described above, OIA sought the assistance of various regulatory authorities[11] in obtaining information about specific trades or patterns of trading that we identified in the course of our investigation.

B. Coordination with the Department of Justice, the Department of The Treasury and Other Federal Agencies

Early in the investigation, we consulted with the Department of Justice, the FBI, other criminal law enforcement agencies, the Department of The Treasury and other federal financial regulators, to coordinate investigative activities. On Monday, September 17, senior staff from the Division of Enforcement and OIA, along with other

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[8] Similarly, at the request of the FBI, staff of the Office of Market Surveillance requested that the surveillance staffs of each of the domestic marketplaces be alert to unusual movements in individual securities, industry groups or index products that may provide an early warning sign of an imminent terrorist event. In October, two anomalous trading situations were noted and passed on to the FBI. In each instance, subsequent inquiry determined that the increased, unexplained activity was due to recommendations from an established options newsletter publication. A third situation, involving substantial put options purchases in a publicly traded utility company that owns and operates three nuclear power facilities, is currently being investigated.

[9] Australia, Canada (British Columbia, Ontario, and Quebec), France, Germany, Hong Kong, Italy, Japan, Singapore, Switzerland, and the United Kingdom.

[10] The list of companies is attached as Appendix B.

[11] Canada (Alberta, British Columbia, and Ontario), Costa Rica, France, Germany, Netherlands, Switzerland, and the United Kingdom.

federal regulators, met with the Department of Justice's Financial Review Group (FRG),[12] and were briefed on the criminal investigation as it related to the terrorists' use of the financial system. The primary purpose of the meeting was to establish a central location to which potential investigative leads could be directed. Thereafter, we consulted regularly with designated FBI agents and Assistant U.S. Attorneys from the Eastern and Southern Districts of New York assigned to the investigation. All of the information developed in this trading review has been shared with the Department of Justice and made available to the Department of the Treasury.

In addition to reviewing trading activity, the Division initially attempted to determine if any of the 19 identified hijackers had accounts with securities brokerage firms and subsequently coordinated the dissemination to securities-related entities of a broader list of individuals wanted for questioning by criminal law enforcement authorities. On September 26, the SEC asked all securities-related entities, whether or not regulated by the SEC, to review their records for any relationships or transactions with any individuals or organizations identified on two lists: an executive order signed by President Bush freezing assets and blocking transactions with 27 individuals and organizations; and a FBI list of people under investigation in connections with the World Trade Center and Pentagon Attacks.[13] OIA contacted securities regulatory authorities in the ten countries identified earlier so that those regulators could contact financial institutions in their jurisdictions to determine whether they had accounts in the names of any of the 27 persons and entities identified in the Executive Order issued by President Bush on September 24, 2001 or in the names of the alleged hijackers.

In the initial stages of the investigation, the FBI compiled and distributed to other law enforcement and regulatory agencies, including the Commission, a list entitled the "Watch List" that contained names of several hundred individuals or entities about which the FBI was seeking information. This initial list and frequent updates were used by the Division and by the SROs to check for matches against both historical records and records obtained during the course of the inquiry into pre-September 11 trading activity.

By the end of September, securities firms (particularly those with international operations) were receiving requests for information (including administrative and grand jury subpoenas) from a number of sources, including the Division, SROs and various FBI field offices and United States Attorneys offices (and from foreign regulators), many of which were redundant or overlapping. In an effort to reduce the burden and the confusion caused by these requests, the Division, representatives of the FRG and the Department of the Treasury met on October 4 with a broad cross-section of industry representatives. At that meeting, the Division agreed to serve as the primary point of contact for requests for information directed to securities firms.

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[12] The FRG is a multi-agency task force coordinated by the DOJ and FBI that was formed to investigate all financial aspects of the events. In addition to working with the FRG, since September 12, we have responded to numerous requests for assistance in specific inquiries being conducted by FBI field offices and U.S. Attorney's offices throughout the country.

[13] Commission Press Release 2001-103.

Following the October 4 meeting, the FBI narrowed the original "Watch List" into a more focused list of individuals and entities in which the FBI was interested, entitled the "Control List". In coordination with the Department of Justice, the Commission issued a press release on October 18, 2001, soliciting the voluntary cooperation of securities-related entities to search their account records for matches to the names on the Control List[14]. Nearly 2000 entities responded to this request and approximately 1,800 were provided a copy of the Control List.[15] The Office of Market Surveillance subsequently coordinated the receipt of positive responses, requests for documentation relevant to the positive responses and dissemination of this documentation to the Assistant U.S. Attorneys and FBI agents conducting the criminal investigation. To date, we have received positive responses from over 25 entities involving over 200 accounts and have sought additional information with respect to more than 100 of these accounts.

Through OIA and the Department of Justice, the Control List was shared with the same ten foreign regulatory authorities that we had contacted previously to review trading, so that those (b)(5) - Attorney Work-Product, (b)(7)(E) [redacted] In November, OIA canvassed its foreign counterparts and (b)(5) - Attorney Work-Product, (b)(7)(E) [redacted] Ultimately, no foreign authority identified any trades or accounts connected to any person directly or indirectly involved in the September 11 terrorist attacks or whose name appeared on any of the lists that were circulated by U.S. law enforcement and regulatory authorities.[16]

This cooperative effort continues. When we receive a report that an institution has identified an account holder matching a name on the control list, we notify the Department of Justice. The control list was updated recently, and we circulated the updated version. At the request of the Department of Justice, the market surveillance units at the SRO's continue to survey their markets for unusual trading activity that may signal terrorist attacks.[17]

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[14] Commission Press Release 2001-115. The same list was distributed to all United States banking institutions by the Federal Reserve Bank of New York.

[15] The staff of the Division and DOJ personnel reviewed each of the responding entities to determine whether the Control List should be provided to them.

[16] A senior official of the Financial Services Authority of the United Kingdom stated publicly on September 25, 2001: "So far it has been possible to establish rapidly for a number of these cases (of unusual trading) that there is a ready explanation." German officials have told us that their inquiry has not uncovered any unusual trading.

[17] See, e.g., footnote 8 *supra*.

C. Recommendations for Improvement

While we were generally able to obtain information in an expeditious fashion, particularly in light of limitations resulting from the September 11 attacks, we have noted several areas where improvements could be made. Even before the attacks, we had noted a need for a way to communicate with SRO surveillance departments in a secure electronic fashion. The disruption in mail service caused by concerns about additional anthrax attacks has heightened that need. The Office of Market Surveillance has discussed this subject with all of the SROs and has requested that the Office of Information Technology consider the development of a secure method of communication between the SEC and the SROs.

We are also working with the Division of Market Regulation, the Northeast Regional Office and the Midwest Regional Office to create back-up market surveillance sites in Washington area, New York and Chicago, in the event of a disaster at 450 Fifth Street.

III. Review of Trading by Industry Group

The review of trading in the securities effected by the events of September 11 must be considered in the context of the general market conditions then prevailing. A slowdown in business activity, debate over whether the economy was actually in a recession, and political disagreement over appropriate corrective measures had negatively affected the secondary trading markets. Both the Dow Jones Industrial and the NASDAQ Composite Averages had steadily declined from mid-August through September 10 on worsening economic news. In particular, the airline industry was hit hard by a decrease in business travel and an increase in oil prices. On September 6, an influential airline industry analyst lowered his earnings estimates for several major airlines.[18] On the following day, AMR warned that the company expected larger second half losses than previously expected. That announcement caused a further lowering of expected industry earnings by analysts on September 10, 2001.

A. Airline Industry

We reviewed trading in the securities of 21 airline companies.[19] The securities of Boeing Company, manufacturer of the planes used in the attacks, were also reviewed.

Following the reopening of the markets on September 17, shares of AMR and UAL were down 43 percent and 40 percent, respectively. Similar price declines from their September 10 close were experienced by other airline companies. Trading in equities, equity options and options on an airline index were reviewed by both Commission and SRO surveillance staff. Particular attention was paid to the purchase of put options and the short selling of common stock.

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[18] Glenn Engel of Goldman Sachs & Co.

[19] See Appendix C for a complete list of all companies reviewed.

With respect to options trading, Table 1 sets forth the volume of contracts traded in UAL and AMR during the period August 20, 2001 through September 10, 2001.[20] There was no material increase in the volume of either UAL or AMR put options with two exceptions: (1) volume in UAL put options increased substantially on September 6 to 2,075 contracts; and (2) volume in AMR put options increased substantially on September 10 to 2,282 contracts. Those increases are identified in bold below.

Table 1
UAL and AMR Option Volume: August 20 – September 10, 2001

Date	UAL Call Volume	UAL Put Volume	AMR Call Volume	AMR Put Volume
08/20/2001	291	21	445	16
08/21/2001	249	246	161	15
08/22/2001	249	256	254	30
08/23/2001	706	1,205	268	200
08/24/2001	358	238	1,487	93
08/27/2001	201	30	482	62
08/28/2001	199	2	145	174
08/29/2001	590	31	122	89
08/30/2001	424	281	2,365	200
08/31/2001	127	26	732	598
09/04/2001	55	105	545	133
09/05/2001	111	605	114	131
09/06/2001	87	**2,075***	142	98
09/07/2001	111	606	700	485
09/10/2001	426	186	375	**2,282***

(Source: the Options Clearing Corporation)

An investment adviser registered with the Commission and based in the United States purchased 2,000 UAL October 30 put options on September 6. That trade constituted 96 percent of UAL put option volume for the day. We interviewed both the

[20] August 20, 2001 was the first trading day after the expiration of the August 2001 series of options.

CEO of the adviser and the trader who executed the transaction.[21] We also reviewed account statements for the adviser. Both the CEO and the trader stated that they manage several hedge funds and have a total of $5.3 billion under management. Both also stated that they make the investment decisions for the accounts they advise (and that they do not accept client recommendations. They said the 2,000 contract purchase was part of a series of transactions they had effected in airline related securities. They were bearish on the airline industry due to several factors, including recently released on-time departure figures, which suggested planes were not carrying as many passengers, and recently disclosed news by AMR reflecting poor fundamentals.

As part of its strategy, the adviser sold short 1,800 shares of AMR, 8,700 shares of Continental Airlines, and 18,500 shares of Delta Airlines on September 6. The adviser sold short an additional 3,800 shares of Delta on September 7 and 10, and 500 shares of Northwest Airlines on September 10. On September 10, it purchased 115,000 shares of AMR, believing the price reflected recently released financial information and sold short 117,000 shares of UAL.

The substantial increase in AMR put volume on September 10 was based largely on a surge in volume in the October 30 put series. Purchases of the October 30 puts appear to have been triggered by a recommendation to purchase made by *Options Hotline*, a California newsletter; 1535 contracts of the October 30 put series traded on September 10, constituting 67 percent of the total volume of 2,282 puts traded on the day.

We interviewed 28 individuals who purchased the October 30 put series and 26 of them cited the "Options Hotline" recommendation as their basis for purchasing. They purchased 388 contracts. An additional 27 individuals whose names appeared on the "Options Hotline" subscriber list purchased another 365 contracts, bringing the total to 763 contracts. The remaining contracts were purchased in small amounts by previously established accounts in widely dispersed locations primarily in the United States.

We interviewed the editor of *Options Hotline*, Steve Sarnoff. Sarnoff told us that his recommendation was distributed by e-mail and facsimile on Sunday, September 9, to approximately 2,000 subscribers. Sarnoff stated that his recommendation was based upon his review of the results of stock scans using both bullish and bearish technical indicators that he performed using tools found in StockCharts.com. From this output, Sarnoff then applied technical chart analyses using primarily Japanese candlestick patterns to the companies output from the scan, and based his recommendation on AMR on the character of the historical price movement in the underlying stock and expectations of a large downward price movement. Specifically, for AMR, Sarnoff discerned bearish patterns for "multiple days" up to and including September 7, and believed the stock could move lower still. Sarnoff recommended the October series because his interpretation of the charts predicted a near-term decline, but more time was needed than could be provided by the September options due to expiration. Sarnoff wrote, in pertinent part, the following:

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[21] The FBI also conducted interviews of these individuals.

> So, without further ado, here's...
>
> This week's Option Recommendation
>
> Buy the AMR October $30 put for $170, or less, good this week.
>
> Shares of AMR Corp. trade on the New York Stock Exchange under the symbol "AMR." The symbol for this option reco [*sic*] is "AMRVF." American Airlines closed the week at $30.15. The 52-week range for AMR is $27.62 - $43.93. My downside price target is $22 - $26.
>
> The major airline is under pressure. At $25, each $30 put would have $500 of intrinsic value. If AMR is at or above $30 on the third Friday in October, your option will expire worthless. That is your risk.. Set your stop-loss at $100, to preserve capital, in case my expectations go awry.

In addition to investigating the reason for increased option volume in the October 30s discussed above, we obtained information from SROs that assisted in determining the universe of bearish option trading and positions in the period from August 20 to September 10, 2001. Using two reports, the Customer/Firm Market Watch Report[22] and the LOPR, as well as electronic bluesheet information, we identified all bearish retail and non-market making institutional option trading and positions in the weeks prior to September 11. This data was used to construct a database of all opening put option purchases and call option sales in UAL and AMR in the period of August 20 to September 10. We also contacted and/or referred to the FBI the 21 individuals and entities who held large bearish positions (i.e., 200 or more puts or calls) in either UAL or AMR on September 10, regardless of when the positions were established. The relevant accounts were identified on the LOPR report obtained by the staff from the Pacific Exchange. Our own interviews did not provide us with any information to suggest that the trades were inconsistent with other account activity, or were otherwise unusual.

Both the NYSE and NASDR surveillance staffs requested trading data for secondary market activity in the common stock of airline companies in their markets. As described more fully in their reports, attached as Appendix D and E, respectively, any transactions that were considered unusual in terms of size, name or location of account or timing were discussed with Commission staff as trading data was received from the executing broker-dealers and appropriate additional inquiry was undertaken. All short sales were reviewed by SRO staff and any unusual trades were referred to the Division's Office of Market Surveillance. These unusual trades were investigated by the Division. Instances in which we could not ascertain the beneficial owner of the account or could not interview the person making the investment decision (because the accounts and owners were located overseas) were referred to the FRG. Based on discussions with the FRG, we do not believe that there is evidence that the traders or the beneficial owners for those accounts had advance knowledge of the attacks.

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[22] This report lists, by broker-dealer, all transactions in a given class of options contracts for a specified period of time.

The AMEX trades options on an index consisting of airline companies, including UAL and AMR. The AMEX staff review of activity in this product revealed minimal activity in the weeks preceding the events and no unusual trades.

B. Insurers

Along with the SROs, we reviewed trading in the common stock, options and American Depository Receipts (ADRs)[23] of 42 insurance companies to see if we could identify any unusual increase in volume and/or decrease in price during the three-week period prior to the events (August 20 through September 11, 2001). This review resulted in the identification of securities of 24 insurance companies that experienced atypical price or volume movement. Because this large result suggested an industry-wide downturn in insurance company securities due to factors other than anticipation of the events, we sought to identify insurance companies that could have been reasonably expected to suffer as a result of the events.

A September 17, 2001 Bloomberg News article entitled *Insurers' World Trade Center Loss Estimates Reach $8.4 Billion* identified the top six underwriters by potential losses:

1. Munich Reinsurance Co. (Munich Re): $910 million;
2. Swiss Reinsurance Co. (Swiss Re): $720 million;
3. XL Capital Ltd.: $700 million;
4. Allianz AG: $635 million;
5. American International Group, Inc. (AIG): $500 million.
6. Citigroup, Inc. (C): $500 million.

Initially, we examined trading in the securities of those six companies. In addition, we looked at trading in two additional insurance companies that suffered significant direct losses as a result of their presence in the World Trade Center: AON Corp. and Marsh & McLennan Companies, Inc. ("Marsh & McLennan"). With the exception of Munich Re[24], each of these companies have securities that are traded on U.S. markets, and each experienced an increase in volume and/or an unusual decrease in price in the period prior to the events of September 11.

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[23] American Depository Receipts are receipts issued by a U.S. bank for the shares of a foreign corporation held by the bank in it's vault. These receipts are publicly traded in the U.S. markets.

[24] Although the U.S. markets were not the primary market for Swiss Re, which is traded on the VirtX, and Allianz AG, which trades on the Frankfurt Stock Exchange, trading in the American Depository Receipts (ADR's) of these companies was reviewed.

We made immediate efforts to identify firms responsible for increased activity and to identify the accounts at those firms that were responsible for the activity. We obtained LOPRs in order to identify any accounts that effected timely options positions prior to the events.

1. Swiss Re

Swiss Reinsurance Co. is a global insurance company located in Zurich. The primary market for Swiss Re common stock is the VirtX.[25] However, Swiss Re ADRs are traded over-the-counter, albeit infrequently, in the United States. There are no options on Swiss Re common stock or ADRs traded in U.S. markets. There was no unusual increase in volume and/or anomalous decrease in price in the three-week period prior to September 11. However, there was an unusual surge in volume in Swiss Re ADRs in early August 2001. Bluesheet information for the period of August 1 through September 21, 2001 was obtained for three firms (Merrill Lynch, Pierce, Fenner & Smith Inc., Herzog Heine, Geduld, Inc. and SG Cowen Securities Corp.) where there were accounts that appeared to engage in bearish trading in early August. A review of accounts responsible for the sell side activity in August revealed that accounts of institutions well known to staff were largely responsible for the increase in volume and that there were news items regarding the company and industry that appeared to justify the increase in volume.

2. XL Capital

XL Capital Ltd., located in Bermuda, is a global insurance and financial services provider. XL Capital common stock is traded on the NYSE and options are listed on the PHLX. XL Capital common stock volume increased on August 31, 2001 and XL Capital put option volume increased on September 10, 2001. The NYSE obtained bluesheet information for XL Capital common stock for the period of September 4, 2001 through September 10, 2001 from a total of 65 firms. The PHLX obtained bluesheet information for XL Capital options for the period of August 27 through September 10, 2001.

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[25] VirtX, located in London, is a pan-European electronic exchange.

Table 2
XL Capital Option Volume

Date	Calls	Puts
08/27/01	5	5
08/28/01	1,856	43
08/29/01	0	0
08/30/01	114	65
08/31/01	1,747	0
09/04/01	610	302
09/05/01	75	73
09/06/01	155	0
09/07/01	0	0
09/10/01	9	100

Neither the NYSE nor the PHLX identified any suspicious activity in XL Capital common stock or options prior to the events.

3. Allianz AG

Allianz AG is a global insurance company located in Munich, Germany. Allianz AG ADRs are traded on the NYSE. There are no options on either Allianz AG common stock or ADRs traded in U.S. markets. Between August 31 and September 10, 2001 the price of Allianz AG ADRs dropped 15.6 percent from $28.20 to $23.79 and the volume on September 10, 2001 (38,500) was more than double the average daily volume for the preceding ten trading days (14,300). The NYSE obtained bluesheet information for Allianz AG ADRs for the period of September 4, 2001 through September 10, 2001 from four firms. After review of this information, the NYSE did not identify any suspicious activity in Allianz AG common stock prior to the events.

4. AIG

American International Group, Inc., located in New York City, is a holding company with insurance and financial services operations. AIG common stock is traded on the NYSE and AIG options are traded on the CBOE, the AMEX, PHLX, and the PSE. AIG call option volume increased on September 5 and 10, 2001. The NYSE obtained bluesheet information for AIG common stock for the period of September 4, 2001

through September 10, 2001 from 43 firms. The CBOE obtained bluesheet information for AIG options for the period of August 27 through September 10, 2001 from all firms that executed AIG options transactions during the period.

Table 3
AIG Option Volume

Date	Calls	Puts
08/27/01	10,142	2,342
08/28/01	8,475	2,880
08/29/01	5,686	1,934
08/30/01	8,284	3,411
08/31/01	902	891
09/04/01	1,449	1,815
09/05/01	16,801	4,634
09/06/01	4,587	1,045
09/07/01	3,700	2,299
09/10/01	5,093	990

Following the review by the NYSE in AIG common stock, we interviewed traders of several large institutional accounts responsible for large transactions in AIG options prior to September 11. In each instance, the traders for the institutional accounts stated that AIG options were either purchased as part of an established hedging strategy against a long stock position or a hedge against a long stock position was triggered by the availability of inexpensive options in the days prior to the events. A review of account statements and market data supported the statement by the traders.

5. Citigroup

Citigroup Inc., located in New York City, is a financial services holding company whose operations include Travelers Insurance Group plc. Citigroup common stock is traded on the NYSE and Citigroup options are traded on the CBOE, AMEX, PHLX, PSE and the International Securities Exchange (ISE). Citigroup put option volume spiked on August 29 and September 5 through 10, 2001 and there was an increase in Citigroup call option volume on September 10. The CBOE obtained bluesheet information for Citigroup options for the period of August 27 through September 10, 2001 from all firms that executed Citigroup options transactions during the period. The NYSE reviewed equity trading, including short-selling. Following a review of those trading records

neither the NYSE nor the CBOE identified any suspicious activity in Citigroup common stock or options prior to the events of September 11.

Table 4
Citigroup Option Volume

Date	Calls	Puts
08/27/01	10,170	2,849
08/28/01	7,393	8,328
08/29/01	10,173	23,016
08/30/01	11,606	17,927
08/31/01	10,062	11,558
09/04/01	9,206	5,347
09/05/01	10,242	26,583
09/06/01	13,778	28,964
09/07/01	11,717	28,409
09/10/01	39,238	21,965

6. AON Corp.

Aon Corp. is an insurance holding company headquartered in Chicago. Aon had substantial operations in the World Trade Center. Aon common stock is traded on the NYSE and options are traded on the CBOE and the PSE. Aon put option volume increased on September 7, 2001. The CBOE obtained bluesheet information for Aon Corp. options for the period of August 27 through September 10, 2001 from all firms that executed Aon Corp. options during the period. Following a review of the trading information, neither the NYSE nor the CBOE identified any suspicious activity in AON Corp. common stock or options prior to the events of September 11.

Table 5
AON Corp. Option Volume

Date	Calls	Puts
08/27/01	0	0
08/28/01	0	0
08/29/01	21	20
08/30/01	228	20
08/31/01	41	6
09/04/01	279	0
09/05/01	20	0
09/06/01	0	0
09/07/01	0	550
09/10/01	10	0

7. Marsh & McLennan

Marsh & McLennan is an insurance holding company headquartered in New York City. The firm had substantial operations at the World Trade Center. Marsh & McLennan common stock is traded on the NYSE and options are traded on the AMEX, CBOE, ISE, PSE, and the PHLX. Marsh & McLennan put option volume increased on September 5, 6 and 10, 2001. The CBOE obtained bluesheet information for Marsh & McLennan options for the period of August 27 through September 10, 2001 from all of the firms that executed Marsh & McLennan options transactions during the period. The NYSE obtained bluesheet information for Marsh & McLennan common stock for the period of September 4, 2001 through September 10, 2001 from 10 firms.[26]

[26] These firms were selected based on either the volume of selling activity or a shift in concentration from buying activity prior to the review period to selling activity during the review period.

Table 6
Marsh McLennan Option Volume

Date	Calls	Puts
08/27/01	407	85
08/28/01	163	223
08/29/01	408	93
08/30/01	373	80
08/31/01	22	38
09/04/01	133	197
09/05/01	79	849
09/06/01	203	1,265
09/07/01	217	307
09/10/01	400	2,782

We interviewed traders for several institutional accounts responsible for large and timely options transactions in Marsh & McLennan options prior to the events. The explanations provided by these institutional accounts were fairly consistent and credible. The Marsh & McLennan options were either purchased as part of an established hedging strategy against a long stock position or as a hedge against a long stock position that was triggered by the availability of inexpensive options and/or a decline in the price of Marsh & McLennan common stock in the week prior to the events. A review of account statements and market data supported the traders' statements.

8. Coordination of Review by SROs

In addition to the securities of the above seven companies, the Office of Market Surveillance also coordinated the SRO's review of trading in the following 15 securities of insurance companies:

- Aegeon N.V. (common stock: NYSE);
- Allstate Corp. (options: CBOE);
- AXA SA (options: CBOE; common stock: NYSE);
- Chubb Corp. (options: CBOE);

- Cigna Corp. (options: CBOE);
- CNA Financial Corp. (options: AMEX);
- Conseco Inc.(options: CBOE; common stock: NYSE);
- Hartford Financial Services Group., Inc. (options: CBOE; common stock: NYSE);
- IPC Holdings Ltd. (common stock: NASDR);
- John Hancock Financial Services Inc. (options: CBOE);
- Lincoln National Corp. (options: AMEX);
- MetLife Inc.(options: CBOE);
- Progressive Corp. (options: CBOE);
- Royal & Sun Alliance Insurance Group plc (common stock: NYSE); and,
- Trenwick Group Ltd. (common stock: NYSE).

The SROs reviewed trading in the common stock and options of the above 15 companies and referred to the Division's Office of Market Surveillance accounts that they determined warranted further review. Although a number of the accounts referred had large timely trades, based on interviews that we conducted with accounts responsible for sizeable activity, we determined that the option activity effected by these institutional accounts was due to hedging long stock positions. The reasons offered by the traders interviewed for hedging their long stock positions included one or more of the following:

- Options transactions were part of an established hedging strategy against a long stock position;
- Options transactions were the result of a hedge against a long stock position triggered by the availability of relatively inexpensive options (verified); and,
- Options transactions were effected to hedge long stock position because of recent downturn in insurance company stock prices (verified).

We found no direct link between any accounts with timely activity in insurance company securities prior to the events with any of the persons or organizations on any of the DOJ lists.

C. Other Industry Groups

For each of these industry groups, the Division and/or the relevant SRO reviewed trading in individual common stocks, equity options, and ETFs and similar products.

1. Financial services

Trading in the securities of financial services companies was reviewed due to the substantial physical damage sustained by the industry on September 11 and the impact on anticipated industry revenues and earnings by a further weakening economy due to the events. A review of trading in these securities by SRO and Commission staff revealed no unusual, unexplained activity.

2. Defense and Aerospace

Purchasing activity in these securities was reviewed due to the general rise in prices of these securities following the events based on the expectation of increased spending by the U.S. government on defense in reaction to the terrorist attacks. The review of purchasing activity by SRO and Commission staff revealed no unusual, unexplained activity in these securities.

3. Security Providers

Similar to the defense and aerospace industry, prices of securities in this industry increased post-September 11. The review of purchasing activity by SRO and Commission staff revealed no unusual, unexplained activity in these securities.

4. Travel and Leisure Services

The securities of companies in these industries were affected negatively by the events, particularly the securities of hotel and cruise line companies. No unusual, unexplained activity was revealed by the review conducted by SRO and Commission staff.

D. Narrow and Broad Based Indices and Exchange Traded Funds

Trading in all index products and exchange traded funds was reviewed and requests for account identifying information were sent to securities brokerage firms with respect to 32 of these products. Particular attention was paid to the trading in products based on the Dow Jones Industrial Average, Standard & Poor's One Hundred and Five Hundred Indexes and the NASDAQ One Hundred Index. Initially, LOPR reports for options trading on these indices were reviewed by both SRO and Commission staff. Over 4 million transactions in options and underlying equities were subsequently reviewed by SRO and Commission staff. No unusual, unexplained activity was revealed as a result of these reviews.

IV. Conclusion

The Division of Enforcement has completed its investigation of trading in securities to determine whether there was evidence that anyone who had advance knowledge of the terrorist attacks on September 11 sought to profit from that knowledge by trading in United States securities markets. We have not developed any evidence that suggests that those who had advance knowledge of the attacks traded on the basis of that information. In every instance where we noticed unusual trading before the attack, we were able to determine, either through speaking directly with those responsible for the trading, or by reviewing trading records, that the trading was consistent with a legitimate trading strategy.

We are providing this memorandum to the Commission so that you will know the results of our investigation and so that you can decide whether to issue a statement notifying the public that we have not uncovered any evidence that anyone who had advance knowledge of the attack sought to profit from the information by trading securities.

APPENDICES

A. Commission Staff who worked on the investigation

B. List of Securities Reviewed by Foreign Regulators

C. List of All Securities Reviewed

D. Databases Created

E. NYSE Report

F. NASDR Report

Note that, due to their size, Appendices E and F are being distributed only to the Commission. Copies for review are available from the Division of Enforcement, Office of Market Surveillance.

Appendix A: Staff Who Worked on the Investigation

Division of Enforcement

Office of Market Surveillance

Joseph Cella
(b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

Office of International Affairs

(b)(6), (b)(7)(C)

RSEC 0300 3652B

Ticker	Company	Industry
BA	Boeing Co.	Aerospace
LMT	Lockheed Martin Corporation	Aerospace/Defense
RTN	Raytheon Company	Aerospace/Defense
LLL	L-3 Communications Holdings	Aerospace/Defense (Military Electronics)
AMR	AMR Corp.	Airlines
CAL	Continental Airlines, Inc.	Airlines
DAL	Delta Airlines, Inc.	Airlines
NWAC	Northwest Airlines Corp.	Airlines
LUV	Southwest Airlines Co.	Airlines
UAL	UAL Corp.	Airlines
U	US Airways Group, Inc.	Airlines
GM	General Motors Corp.	Automotive (GMAC-Mortgage Securities)
BAC	Bank of America	Banks
BK	Bank of New York	Banks
ONE	Bank One	Banks
HPC	Hercules, Inc.	Chemicals
GRA	W.R. Grace & Co.	Chemicals
CCL	Carnival Corporation	Cruise Lines
RCL	Royal Caribbean	Cruise Lines
AHP	American Express	Diversified Financial Services
C	Citigroup, Inc.	Diversified Financial Services
BSC	Bear, Stearns & Co.	Diversified Financial Services (Investment Banker/Broker)
LEH	Lehman Brothers Holdings, Inc.	Diversified Financial Services (Investment Banker/Broker)
MWD	Morgan Stanley Dean Witter & Co.	Diversified Financial Services (Investment Banker/Broker)
C N A	C N A Financial	Insurance
CI	Cigna Corp.	Insurance
JHF	John Hancock Financial	Insurance
PGR	Progressive Corp.	Insurance
RSA	Royal & Son Alliance	Insurance
XL	XL Capital, Ltd.	Insurance
AIG	American International Group, Inc.	Insurance (Multi-line)
AXA	Axa-Spons ADR	Insurance (Multi-line)
MET	MetLife, Inc.	Insurance (Multi-line)
CB	Chubb Corporation (The)	Insurance (Property/Casualty)
MMC	Marsh & McLennan Companies, Inc.	Insurance Brokers
VNO	Vornado Realty Trust	Real Estate Investment Trusts
LSS	Lone Star Technologies, Inc.	Steel
LTV	LTV Corp.	Steel

Appendix C: Databases Created

The Office of Market Surveillance, along with information technology staff from the Division of Enforcement created the following databases in the course of its inquiry.

1. Watch List database: This database was used to check the names of individuals or entities that came up in trading inquiries against the list of names in which the FBI was interested.

2. MaST database: A database containing the names of accounts which were selected for follow-up review was compiled. This database contains account identifying data, description of trading activity, type of follow-up action and disposition as to each account.

3. Control List database: This database contains a list of the nearly 1800 entities that responded to the Commission's October 18, 2001 request and to which the Control List and any updates were sent. Commission staff has retained a separate record of all responses and follow-up actions taken.

4. Electronic Bluesheet database: All trading data obtained by surveillance staffs of the SRO's in electronic form* has been obtained by the staff and compiled into a single database, a copy of which has been provided to the DOJ and the FBI.

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* A small percentage of broker/dealers were unable to respond in electronic format and responded in hard copy. These materials have also been provided to the DOJ and FBI.

Issuer	Sro	Issuer Name	Date Range Requested
AAI	NYSE	Airtran Holdings	09/04/2001-09/10/2001
AEG	NYSE	Aegon N.V.	09/04/2001-09/10/2001
AH	NYSE	Armor Holdings	09/04/2001-09/10/2001
AIG	NYSE	American International Group	09/04/2001-09/10/2001
ALK	NYSE	Alaska Air Group	09/04/2001-09/10/2001
AMR	NYSE	AMR Corp	08/13/2001-09/10/2001
AWA	NYSE	America West Holdings	09/04/2001-09/10/2001
AXA	NYSE	AXA	09/04/2001-09/10/2001
AZ	NYSE	Allianz Atkieng	09/04/2001-09/10/2001
BA	NYSE	Boeing Co	09/04/2001-09/10/2001
CAL	NYSE	Continental Airlines B	09/04/2001-09/10/2001
CNC	NYSE	Conseco Inc	09/04/2001-09/10/2001
DAL	NYSE	Delta Airlines	08/27/2001-09/10/2001
EDO	NYSE	EDO Corp	09/04/2001-09/10/2001
FHRWI	NYSE	Fairmont Hotels (When Issued)	09/04/2001-09/10/2001
HLT	NYSE	Hilton Hotels Corp	09/04/2001-09/10/2001
HOT	NYSE	Starwood Hotels	09/04/2001-09/10/2001
LEH	NYSE	Lehman Brothers	09/04/2001-09/10/2001
LLL	NYSE	L-3 Communications Holdings	09/04/2001-09/10/2001
LUV	NYSE	Southwest Airlines Co	09/04/2001-09/10/2001
MEH	NYSE	Midwest Express Holdings	09/04/2001-09/10/2001
MMC	NYSE	Marsh McLennan Co's	09/04/2001-09/10/2001
MWD	NYSE	Morgan Stanley	09/04/2001-09/10/2001
PUK	NYSE	Prudential PLC	09/04/2001-09/10/2001
RSA	NYSE	Royal Sun Alliance	09/04/2001-09/10/2001
RTN	NYSE	Raytheon Company	09/04/2001-09/10/2001
SWS	NYSE	Southwest Securities Group	09/04/2001-09/10/2001
TWE	NYSE	TD Waterhouse Group	09/04/2001-09/10/2001
TWK	NYSE	Trenwick Group Ltd	09/04/2001-09/10/2001
U	NYSE	US Airways Group	09/04/2001-09/10/2001

NYSE CONTACT: John Cappo (212) 656-5085
CBOE Contact: Pat Sizemore (312) 786-7752
NASDR Contact: Jim Dolan (240) 386-5007

UAL	NYSE	UAL Corporation	08/13/2001-09/10/2001
ZNH	NYSE	China Southern Airlines	09/04/2001-09/10/2001
KLM	NYSE	KLM Royal Dutch Airlines	09/04/2001-09/10/2001
ACAI	NASDR	Atlantic Coast Airlines	07/01/2001-09/17/2001
ACAP	NASDR	American Physicians Cap Inc.	07/01/2001-09/17/2001
AGII	NASDR	Argonaut Group Inc.	07/01/2001-09/17/2001
ALFA	NASDR	Alfa Corp	07/01/2001-09/17/2001
AMR	NASDR	AMR Corp	07/01/2001-09/17/2001
AMTR	NASDR	Amtran Inc	07/01/2001-09/17/2001
ANCX	NASDR	AHC Rental Corp	07/01/2001-09/17/2001
APSG	NASDR	Applied Signal Technology	07/01/2001-09/17/2001
APWR	NASDR	Astropower Inc.	07/01/2001-09/17/2001
BEAV	NASDR	Be Aerospace Inc	07/01/2001-09/17/2001
CAL	NASDR	Continental Airlines Cl B	07/01/2001-09/17/2001
CHRW	NASDR	C.H. Robinson Worldwide	07/01/2001-09/17/2001
CLKB	NASDR	Clark/Bardes Inc.	07/01/2001-09/17/2001
DAL	NASDR	Delta Airlines	07/01/2001-09/17/2001
EAGL	NASDR	EGL Inc.	07/01/2001-09/17/2001
EASI	NASDR	Engineered Suppport Systems	07/01/2001-09/17/2001
ERIE	NASDR	Erie Indemnity Company Cl A	07/01/2001-09/17/2001
ESREF	NASDR	ESG Re Ltd	07/01/2001-09/17/2001
EXPD	NASDR	Expeditors Intl Wash Inc.	07/01/2001-09/17/2001
FLYR	NASDR	Navigant International	07/01/2001-09/17/2001
FPIC	NASDR	FPIC Insurance Group Inc.	07/01/2001-09/17/2001
FRNT	NASDR	Frontier Airlines Inc.	07/01/2001-09/17/2001
FWRD	NASDR	Forward Air Corp	07/01/2001-09/17/2001
INVN	NASDR	Invision Technologies Inc.	07/01/2001-09/17/2001
IPCR	NASDR	Incara Pharmaceuticals Corp	07/01/2001-09/17/2001
LPNT	NASDR	Life Point Hospitals Inc.	07/01/2001-09/17/2001
LUV	NASDR	Southwest Airlines Co	07/01/2001-09/17/2001
MAIR	NASDR	Mesaba Holdings Inc.	07/01/2001-09/17/2001
MESA	NASDR	Mesa Air Group	07/01/2001-09/17/2001

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MRCY	NASDR	Mercury Computer Systems	07/01/2001-09/17/2001
NWAC	NASDR	Northwest Airlines Corp	07/01/2001-09/17/2001
NWLIA	NASDR	National western Life Insurance	07/01/2001-09/17/2001
OLOG	NASDR	Offshore Logistics Inc.	07/01/2001-09/17/2001
OSIS	NASDR	OSI Systems	07/01/2001-09/17/2001
PCLN	NASDR	Priceline.com Inc.	07/01/2001-09/17/2001
PHLY	NASDR	Philadelphia Coms Hldg Co.	07/01/2001-09/17/2001
PLCM	NASDR	Polycom Inc.	07/01/2001-09/17/2001
RYAAY	NASDR	Ryanair Holdings PLC-Sp ADR	07/01/2001-09/17/2001
SAFC	NASDR	Safeco Group	07/01/2001-09/17/2001
SIGI	NASDR	Selective Insurance Group	07/01/2001-09/17/2001
SKYW	NASDR	Skywest Inc.	07/01/2001-09/17/2001
STFC	NASDR	State Auto Financial Corp	07/01/2001-09/17/2001
TGIC	NASDR	Triad Guaranty Inc.	07/01/2001-09/17/2001
TKIOY	NASDR	Tokio Marine & Fire Sp ADR	07/01/2001-09/17/2001
TVLY	NASDR	Travelocity.com Inc	07/01/2001-09/17/2001
U	NASDR	US Airways Group	07/01/2001-09/17/2001
UAL	NASDR	UAL Corporation	07/01/2001-09/17/2001
UTIW	NASDR	UTI Worldwide Inc.	07/01/2001-09/17/2001
VNGD	NASDR	Van Guard Airlines, Inc.	07/01/2001-09/17/2001
VSNX	NASDR	Visionics Corp	07/01/2001-09/17/2001
GHA	CBOE	GTSI Software Index	08/27/2001-09/10/2001
GHO	CBOE	GTSI Software Index	08/27/2001-09/10/2001
GHZ	CBOE	GTSI Software Index	08/27/2001-09/10/2001
GSO	CBOE	NASDAQ 100 Index Tracking Stock	08/27/2001-09/10/2001
GAW	CBOE	NASDAQ 100 Index Tracking Stock	08/27/2001-09/10/2001
GOO	CBOE	NASDAQ 100 Index Tracking Stock	08/27/2001-09/10/2001
GSZ	CBOE	NASDAQ 100 Index Tracking Stock	08/27/2001-09/10/2001
OEX	CBOE	S&P 100 Index	08/27/2001-09/10/2001
OXB	CBOE	S&P 100 Index	08/27/2001-09/10/2001
OEB	CBOE	S&P 100 Index	08/27/2001-09/10/2001
OEY	CBOE	S&P 100 Index	08/27/2001-09/10/2001

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OEZ	CBOE	S&P 100 Index	08/27/2001-09/10/2001
SPX	CBOE	S&P 500 Index	08/27/2001-09/10/2001
NDX	CBOE	NASDAQ 100 Index	08/27/2001-09/10/2001
NDV	CBOE	NASDAQ 100 Index	08/27/2001-09/10/2001
NDY	CBOE	NASDAQ 100 Index	08/27/2001-09/10/2001
RUT	CBOE	Russell 2000 Index	08/27/2001-09/10/2001
RUW	CBOE	Russell 2000 Index	08/27/2001-09/10/2001
RLS	CBOE	Russell 2000 Index	08/27/2001-09/10/2001
DJX	CBOE	Dow Jones Industrial Average Index	08/27/2001-09/10/2001
DTX	CBOE	Dow Jones Transportation Index	08/27/2001-09/10/2001
TYK	CBOE	Interest Rate 30 year yield	08/27/2001-09/10/2001
MNX	CBOE	Mini NASDAQ Index	08/27/2001-09/10/2001
AIG	CBOE	American International Group	08/27/2001-09/10/2001
AXA	CBOE	AXA Spons ADR	08/27/2001-09/10/2001
BVF	CBOE	Biovail Corporation	08/27/2001-09/10/2001
C	CBOE	Citigroup Inc	08/27/2001-09/10/2001
CAL	CBOE	Continental Airlines Inc	08/27/2001-09/10/2001
CB	CBOE	Chubb Corp	08/27/2001-09/10/2001
CCL	CBOE	Carnival Corp	08/27/2001-09/10/2001
DAL	CBOE	Delta Airlines	08/27/2001-09/10/2001
EK	CBOE	Eastman Kodak	08/27/2001-09/10/2001
FCEL	CBOE	Fuel Cell Energy Inc	08/27/2001-09/10/2001
GM	CBOE	General Motors Corp	08/27/2001-09/10/2001
HON	CBOE	Honeywell International Inc.	08/27/2001-09/10/2001
KLM	CBOE	KLM Royal Dutch Airlines	08/27/2001-09/10/2001
LEH	CBOE	Lehman Brothers Holdings Inc	08/27/2001-09/10/2001
LLL	CBOE	L-3 Communications Holdings	08/27/2001-09/10/2001
LMT	CBOE	Lockeed Martin Corp	08/27/2001-09/10/2001
LUV	CBOE	Southwest Airlines Co	08/27/2001-09/10/2001
MET	CBOE	MetLife Inc	08/27/2001-09/10/2001
MMC	CBOE	Marsh McLennan Co's	08/27/2001-09/10/2001
MWD	CBOE	Morgan Stanley	08/27/2001-09/10/2001

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NOLC	CBOE	Northrop Grumman Corp	08/27/2001-09/10/2001
NWAC	CBOE	Northwest Airlines Corp	08/27/2001-09/10/2001
PLCM	CBOE	Polycom Inc.	08/27/2001-09/10/2001
RCL	CBOE	Royal Caribbean Cruises	08/27/2001-09/10/2001
RTN	CBOE	Raytheon Company	08/27/2001-09/10/2001
S	CBOE	Sears Roebuck & Co	08/27/2001-09/10/2001
U	CBOE	US Airways Group	08/27/2001-09/10/2001
XOM	CBOE	Exxon Mobil Corporation	08/27/2001-09/10/2001
XLY	AMEX	SPDR-Cyclical/Transportation	08/20/2001-09/10/2001
IDX	AMEX	Identix Inc.	08/20/2001-09/10/2001
QQQ	AMEX	Nasdaq-100 Index	08/20/2001-09/10/2001
XLE	AMEX	SPDR-Energy	08/20/2001-09/10/2001
DIA	AMEX	Diamonds (Dow Based)	08/20/2001-09/10/2001
SFT	AMEX	Stratesec Inc.	08/20/2001-09/10/2001
OIH	AMEX	Oil Service Holding Co. ADR	08/20/2001-09/10/2001
IDN	AMEX	Intelli-Check Inc.	08/20/2001-09/10/2001
EWZ	AMEX	iShares MSCI-Brazil	08/20/2001-09/10/2001
BBH	AMEX	BioTech Holding Co. ADR	08/20/2001-09/10/2001
HHH	AMEX	Internet Holding Co. ADR	08/20/2001-09/10/2001
XBD	AMEX	Securities Broker/Dealer Index	08/20/2001-09/10/2001
XMI	AMEX	Major Market Index	08/20/2001-09/10/2001
MID	AMEX	S&P MidCap 400 Index	08/20/2001-09/10/2001
SPY	AMEX	SPDR Trust Series I	08/20/2001-09/10/2001
HOT	AMEX	Starwood Hotels & Resorts	08/30/2001-09/10/2001
RCL	AMEX	Royal Caribbean Cruises	08/27/2001-09/10/2001
AMR	PSE	AMR Corp	08/20/2001-09/10/2001
UAL	PSE	United Airlines	08/20/2001-09/10/2001
XL	PHLX	XL Capital	08/27/2001-09/10/2001
BKX	PHLX	Philadelphia Banking Index	08/27/2001-09/10/2001

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Exhibit A

Individuals on the Special Task Force who investigated trading and others who assisted in document/information gathering and systems support:

Market Trading Analysis:
(b)(6), (b)(7)(C)

Special Counsel:
(b)(6), (b)(7)(C)

Regulatory Technology:
(b)(6), (b)(7)(C)

Regulatory Systems:
(b)(6), (b)(7)(C)

Enforcement:
(b)(6), (b)(7)(C)

Member Firm Regulation:
(b)(6), (b)(7)(C)

Member Trading
(b)(6), (b)(7)(C)

SIAC:
(b)(6), (b)(7)(C)

Exhibit B

Bluesheet Requests:
Sorted by Symbol

| Symbol | | |

Bluesheet Requests:
Sorted by Symbol

| Symbol | | |

Exhibit C

Bluesheet Requests:
Sorted by Clearing Member

Clearing Member																													
0005	AH	AIG	AMR	AXA	BA	CAL	CNC	DAL	HLT	HOT	LEH	LLL	LUV	MMC	RTN	U	UAL	XL											
0010	LUV	RTN	XL																										
0012	DAL	LLL	LUV	RTN	UAL																								
0013	AIG	AMR	CNC	DAL	HOT	LUV	RTN	UAL	XL																				
0015	AMR	AXA	CAL	DAL	EDO	LLL	LUV	RTN	U	UAL	XL																		
0017	AIG	AMR	AZ	CAL	CNC	DAL	LLL	LUV	RTN	U	UAL	XL																	
0022	AIG	AMR	BA	CAL	CNC	HLT	HOT	LEH	LUV	UAL	XL																		
0030	AAI	AAR	AIG	AMR	AXA	BA	CAL	CNC	DAL	DNT	HLN	HLT	LLL	LUV	RSA	RTN	U	UAL	XL										
0031	LLL																												
0043	AMR	DAL	LUV	RTN	XL																								
0044	AH	AIG	AMR	AXA	CAL	DAL	EDO	HLT	LLL	LUV	RTN	U	UAL	XL															
0045	TWE	XL																											
0049	AH	AMR	BA	DAL	EDO	LLL	LUV	RTN	U	UAL	XL																		
0050	AH	AIG	ALK	AMR	AWA	BA	CAL	CNC	DAL	EDO	HOT	LLL	LUV	RTN	U	UAL	XL												
0055	AMR																												
0057	AMR	AXA	DAL	LUV	RTN	U	UAL																						
0060	AIG	AMR	AXA	BA	CAL	CNC	DAL	HLT	HOT	LLL	LUV	RTN	UAL	XL															
0064	AMR	AXA	CAL	DAL	EDO	LLL	LUV	U	UAL	XL																			
0074	AH	AIG	AMR	AXA	BA	CAL	CNC	DAL	EDO	HOT	LLL	LUV	RTN	U	UAL	XL													
0078	LLL																												
0100	AAI	AEG	AIG	ALK	AMR	AXA	BA	CAL	CNC	DAL	HLT	HOT	LEH	LLL	LUV	RTN	U	UAL	XL										
0103	AMR	AXA	DAL	LUV	RTN																								
0107	AMR	AXA	LUV	RTN	U	UAL																							
0119	AH	AXA	BA	LUV	RTN	XL																							
0126	AMR																												
0136	LUV																												
0141	AIG	AMR	AXA	CAL	CNC	DAL	HOT	LLL	LUV	MWD	RTN	U	UAL																
0148	BA																												
0155	AAI	AIG	AMR	CNC	DAL	LLL	LUV	UAL	XL																				
0158	AEG	AIG	AMR	BA	CAL	CNC	DAL	HOT	LEH	LLL	LUV	MWD	RSA	RTN	U	UAL	XL												
0161	AAI	AEG	AH	AIG	ALK	AMR	AXA	BA	CAL	CNC	DAL	EDO	HLT	HOT	LLL	LUV	MEH	MMC	RTN	TWK	U	UAL	VDA	XL					
0164	AAI	AH	AIG	AMR	AXA	BA	CAL	CNC	DAL	EDO	HLT	LLL	LUV	RTN	U	UAL	XL												
0180	AMR	BA	CAL	DAL	LLL	LUV	RTN	U	UAL	XL																			
0184	XL																												
0200	BA	LUV	MWD																										
0201	AIG	AMR	AXA	CAL	DAL	LLL	LUV	RTN	U	UAL	XL																		
0213	LUV	MWD																											
0215	CAL	XL																											
0221	AAI	AH	AIG	AXA	BA	CAL	CNC	DAL	EDO	HLT	HOT	LLL	LUV	MMC	RTN	U	UAL	XL											
0226	AH	AIG	ALK	AMR	AXA	CAL	CB	CNC	DAL	EDO	LLL	LMT	LUV	MMC	RTN	U	UAL	XL											
0233	AIG	AMR	BA	DAL	HLT	HOT	LLL	LUV	RTN	UAL	XL																		
0235	AMR	AXA	LLL	LUV	RTN	UAL	XL																						
0250	AIG	AMR	CAL	CNC	DAL	HOT	LLL	MWD	UAL	VAL	XL																		
0251	CNC																												
0262	AIG	AMR	CAL	CNC	DAL	EDO	FHR	LUV	RTN	U	UAL	XL																	
0272	AMR	AXA	EDO	LLL	LUV	UAL																							
0274	BA	DAL	LLL	U	UAL	XL																							
0277	AIG	AXA	BA	CNC	DAL	EDO	LUV	RTN	UAL	XL																			
0279	AMR	DAL	LLL	LUV	RTN																								
0286	AIG	AMR	AXA	BA	CAL	CNC	DAL	HLT	LLL	LUV	RTN	U	UAL	XL															
0308	UAL	XL																											

Bluesheet Requests:
Sorted by Clearing Member

Clearing Member																											
0311	AMR	AXA	CAL	DAL	EDO	LUV	RTN	TWK	U	UAL	XL																
0325	AH	AMR	AXA	BA	CNC	DAL	HLT	LLL	LUV	MWD	RTN	U	UAL	XL													
0346	AMR	AXA	DAL	LUV	RTN	UAL	XL																				
0352	AAI	AEG	AH	AIG	ALK	AMR	AWA	AXA	BA	CAL	CNC	DAL	EDO	FHR	FHRWI	HLT	HOT	LEH	LLL	LUV	MMC	MWD	RTN	SWS	U	UAL	XL
0355	AH	AIG	ALK	AMR	AXA	BA	CAL	DAL	EDO	HLT	HOT	LLL	LUV	RTN	U	UAL	XL										
0374	AMR	AXA	CAL	DAL	LUV	RTN	U	UAL																			
0384	AAI	AMR	DAL	RTN																							
0403	AMR	UAL																									
0407	AMR	AXA	LLL	UAL	XL																						
0418	AAI	AEG	AH	AIG	AMR	AXA	BA	CAL	CNC	DAL	EDO	HLT	HOT	LLL	LUV	MWD	RTN	U	UAL	XL							
0419	CNC	DAL	LUV																								
0420	AMR	CAL	UAL																								
0425	AAI	AMR	CNC	DAL	LLL	LUV	U	UAL	XL																		
0438	AIG	AMR	AXA	BA	CNC	DAL	HLT	LLL	LUV	RTN	U	UAL	XL														
0443	AAR	AH	AIG	ALK	AMR	AXA	BA	BGS	CAL	CNC	DAL	DNT	EDO	HOT	LEH	LEQ	LUV	MMC	MWD	RTN	TWE	TWK	U	UAL	XL		
0445	AMR	DAL	U																								
0475	AEG	AXA	DAL	LUV	XL																						
0501	AAI	AIG	ALK	AMR	AWA	AXA	BA	CAL	CNC	DAL	HLT	HOT	LEH	LLL	LUV	MWD	RTN	SWS	U	UAL	XL	ZNH					
0512	AEG	AIG	AWA	AXA	DAL	LUV	RTN	U	UAL																		
0535	AAI	AH	AIG	AMR	BA	CAL	CNC	COCO	DAL	EDO	FHRWI	HOT	LLL	LMT	LUV	MET	RTN	TWK	U	UAL	XL						
0547	AIG	AXA	DAL	LUV	RTN	UAL	XL																				
0551	AAI	AIG	AMR	AXA	AZ	BA	CAL	CNC	DAL	EDO	HLT	HOT	KLM	LEH	LLL	LUV	MMC	MWD	RTN	U	UAL	XL					
0569	AMR	AXA	CNC	PUK	RTN	TWK	UAL																				
0571	AMR	RTN	UAL																								
0573	AH	AIG	AMR	AWA	AXA	BA	CAL	CNC	DAL	EDO	HLT	LEH	LLL	LUV	MMC	MWD	PUK	RSA	RTN	U	UAL	XL					
0574	RTN	U																									
0580	RTN																										
0587	AIG	AMR	AXA	BA	CAL	CNC	DAL	EDO	FHRWI	LLL	LUV	RTN	U	UAL	XL												
0606	AH	AIG	AMR	AWA	AXA	AZ	BA	CAL	CNC	DAL	EDO	HLT	HOT	LLL	LUV	RTN	TWK	U	UAL	ALPRT	XL						
0631	AMR	DAL	LUV	RTN	U																						
0632	AXA	LUV	U	XL																							
0642	AH	AIG	AMR	AXA	BA	CAL	CNC	DAL	EDO	HLT	HOT	LLL	LUV	RTN	U	UAL	XL										
0647	LUV																										
0671	AMR																										
0690	AH	AIG	AMR	AXA	BA	CAL	CNC	DAL	EDO	HLT	HOT	LEH	LLL	LUV	MWD	RTN	TWK	U	UAL	XL							
0695	AIG	AMR	CAL	DAL	LLL	UAL																					
0702	AMR	RTN	XL																								
0703	LUV																										
0705	AMR	CAL	DAL	EDO	LUV	RTN	U	UAL	XL																		
0715	DAL	LUV	XL																								
0725	AIG	AMR	AXA	DAL	LUV	RTN	U	UAL	XL																		
0727	UAL																										
0733	AMR	AXA	LUV	RTN	UAL																						
0740	AMR	AXA	CAL	DAL	DNT	LUV	MMC	RTN	U	UAL	UNK	XL															
0750	AXA	DAL																									
0755	AMR	BA	CNC	RTN																							
0756	AMR	AXA	BA	CAL	CNC	DAL	LUV	RTN	U	UAL	UNK																
0768	AMR	AXA	CNC	LUV	U	UAL																					
0771	AMR	PUK																									
0773	AEG	AIG	AMR	AXA	BA	CAL	CNC	DAL	HLT	LLL	LUV	MMC	RTN	TWK	U	UAL	XL										
0780	AIG	AMR	AXA	CNC	LUV	RTN																					

Bluesheet Requests:
Sorted by Clearing Member

Clearing Member																												
0785	AMR	AXA	CAL	DAL	LUV	RTN	U	UAL	XL																			
0792	AIG	AMR	AWE	AXA	AZ	BA	CNC	DAL	HOT	LLL	LUV	RTN	U	UAL	XL													
0793	AMR	DAL	LUV	RTN	U																							
0799	AMR	AXA	DAL	LUV	RTN	UAL	XL																					

Exhibit D

11/02/01 3:32 PM QUERY: Results

NCUST(14/40/01);INVNO=01241^BS=SS,S,B;SUM

SYMBOL	SSELLS	SELLS	BUYS	RECORDS
AAI	15198	6679601	5178985	2498
AAR	0	36656	31121	74
AEG	37100	804367	724023	1698
AH	27550	152231	215813	536
AIG	11990137	146285806	153226582	106209
ALK	120314	1791643	1706356	2510
AMR	2789960	33160714	34926662	59462
AWA	5500	562655	315279	925
AWE	0	157897	159838	113
AXA	172198	9432629	11284643	10132
AZ	2400	50800	22763	135
BA	2524788	44240471	48206179	52042
BGS	0	0	2500	3
CAL	497730	6263955	6145339	8392
CALCI	0	0	33	2
CALOH	0	15	0	1
CALUI	0	0	2	1
CALVH	0	0	2	1
CB	0	1014988	501500	182
CDDD	0	11200	18200	20
CNC	18381928	62575880	68729411	22942
CNCPRG	2800	1100	3600	14
CNCPRH	1200	5900	4600	19
CNCPRT	1900	0	2200	8
CNCPRV	1700	2800	5900	16
COCO	6200	73950	162050	317
DAL	1978137	14650425	16418360	29809
DNT	0	27126	34109	123
EDO	94216	407678	665899	1579
FHR	212600	852800	1021850	233
FHR WI	206300	617600	823650	110
FHRWI	212600	918000	1031050	335
HLN	0	25400	13517	21
HLT	2592730	8977752	10965872	7845
HOT	2580570	20713259	23117613	16502
KLM	13000	138000	5800	77
LEH	2354895	11122811	15080006	25129
LEQ	0	2080	8500	10
LLL	785264	5827835	7210173	16177
LMT	52170	3044787	5821290	1272
LUV	3986828	23083685	24462024	24599
MEH	0	14527	1528	84
MET	39656	1009100	952294	607
MMC	950674	7819027	8017292	14535
MWD	2399265	25653815	27904158	39980
PUK	2100	20150	9800	38
RSA	2500	7645	4200	12
RTN	2088927	13139494	15834934	22561
SWS	77492	355834	354223	1489
TWE	0	99400	77418	140
TWK	27300	257555	234544	3993
U	486417	3415049	3440015	7359
UAL	6618131	13465252	17665279	24305
UALPRT	0	0	25	1
UNK	0	10223	1200	15

11/02/01 3:32 PM QUERY: Results

NCUST(14/40/01);INVNO=01241^BS=SS,S,B;SUM

SYMBOL	SSELLS	SELLS	BUYS	RECORDS
VAL	0	4800	4800	10
VDA	0	0	300	1
XL	5148897	20762655	26426886	24827
ZNH	20000	140	20140	9
	69509272	489749162	539202330	532039

Exhibit E

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Buy(B) Short(SS)/ Long(S)	Volume	Price	SEC Contact Date	Followup
(b)(4)	(Btopls) A/C# (b)(4)	Morgan Stanley & Co 1221 Ave of the Americas New York, NY	W&D Securities	0535	(b) (4)	08/24/01	DAL	08/27/01	SS	1,200	40.41	10/08/01	Discussed with SEC
	(Btopls) A/C#	Morgan Stanley & Co 1221 Ave of the Americas New York, NY	W&D Securities	0535		08/24/01	UAL	08/24/01	SS	480	33.35	10/08/01	Discussed with SEC
	(Btopls) A/C#	Morgan Stanley & Co 1221 Ave of the Americas New York, NY	W&D Securities	0535		08/24/01	UAL	08/23/01	SS	1,320	33.15	10/08/01	Discussed with SEC
	(Btopls) A/C#	Morgan Stanley & Co 1221 Ave of the Americas New York, NY	W&D Securities	0535		08/24/01	UAL	08/27/01	SS	1,600	34.01	10/08/01	Discussed with SEC
	(Dcashls) A/C# (b)(4)	Morgan Stanley & Co 1221 Ave of the Americas New York, NY	W&D Securities	0535	(b) (4)	08/23/01	DAL	08/27/01	N	600	40.41	10/08/01	Discussed with SEC
	(Dcashls) A/C#	Morgan Stanley & Co 1221 Ave of the Americas New York, NY	W&D Securities	0535		08/23/01	UAL	08/24/01	SS	240	33.35	10/08/01	Discussed with SEC
	(Dcashls) A/C#	Morgan Stanley & Co 1221 Ave of the Americas New York, NY	W&D Securities	0535		08/23/01	UAL	08/23/01	SS	660	33.15	10/08/01	Discussed with SEC
	(Dcashls) A/C#	Morgan Stanley & Co 1221 Ave of the Americas New York, NY	W&D Securities	0535		08/23/01	UAL	08/27/01	SS	800	34.01	10/08/01	Discussed with SEC
(b)(4)	21161S1	PO Box 1616 Tacoma, WA 98402	W & D Securities, Inc.	0535	(b)(4)	08/16/01	AIG	9/4/01-9/10/01	S	82,004		11/14/01	
	21161S1	PO Box 1616 Tacoma, WA 98402	W & D Securities, Inc.	0535		08/16/01	AMR	8/30/01-9/10/01	S	26,723		11/14/01	
	21161S1	PO Box 1616 Tacoma, WA 98402	W & D Securities, Inc.	0535		08/16/01	BA	9/4/01-9/10-01	S	29900		11/14/01	
	21161S1	PO Box 1616 Tacoma, WA 98402	W & D Securities, Inc.	0535		08/16/01	CAL	09/04/01-09/07/01	S	1800		11/14/01	
	21161S1	PO Box 1616 Tacoma, WA 98402	W & D Securities, Inc.	0535		08/16/01	CNC	09/04/01-09/10/01	S	71650		11/14/01	
	21161S1	PO Box 1616 Tacoma, WA 98402	W & D Securities, Inc.	0535		08/16/01	DAL	8/30/01-9/10/01	S	15204		11/14/01	
	21161S1	PO Box 1616 Tacoma, WA 98402	W & D Securities, Inc.	0535		08/16/01	HOT	09/04/01-09/10/01	S	27856		11/14/01	
	21161S1	PO Box 1616 Tacoma, WA 98402	W & D Securities, Inc.	0535		08/16/01	LLL	09/04/01-09/06/01	S	1200		11/14/01	
	21161S1	PO Box 1616 Tacoma, WA 98402	W & D Securities, Inc.	0535		08/16/01	LMT	09/04/01-09/06/01	S	7,621		11/14/01	
	21161S1	PO Box 1616 Tacoma, WA 98402	W & D Securities, Inc.	0535		08/16/01	LUV	09/04/01-09/10/01	S	21,839		11/14/01	
	21161S1	PO Box 1616 Tacoma, WA 98402	W & D Securities, Inc.	0535		08/16/01	MET	09/04/01-09/10/01	S	21600		11/14/01	
	21161S1	PO Box 1616 Tacoma, WA 98402	W & D Securities, Inc.	0535		08/16/01	RTN	09/04/01-09/10/01	S	25605		11/14/01	

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Buy(B) Short(SS)/ Long(S)	Volume	Price	SEC Contact Date	Followup
(b)(4)	21161S1	PO Box 1616 Tacoma, WA 98402	W & D Securities, Inc.	0535	(b)(4)	08/16/01	U	09/04/01-09/07/01	S	2800		11/14/01	
	21161S1	PO Box 1616 Tacoma, WA 98402	W & D Securities, Inc.	0535		08/16/01	UAL	08/30/01-09/10/01	S	10200		11/14/01	
(b)(4)	A.G. Edwards & Sons Custodian for (b) (6), (b) (7)(C)	16500 Matilija Drive Los Gatos, CA 95030	A.G. Edwards & Sons	0201	(b)(4)	08/03/98	AIG	09/07/01	S	210	73.5	10/15/01	Discussed with SEC
	A.G. Edwards & Sons Custodian for (b) (6), (b) (7)(C)	16500 Matilija Drive Los Gatos, CA 95030	A.G. Edwards & Sons	0201		08/03/98	LUV	09/07/01	S	262	17.12	10/15/01	Discussed with SEC
(b) (4)	A/C Special/Deutsche Bk SP Attn: (b) (6), (b) (7)(C) SEC Operations Dept.	1-2-2 Yurakucho Chiyoda-Ku Tokyo 100 Japan	Salomon Smith Barney	0418	(b) (4)	08/16/01	AIG	09/06/01	S	3830	75.0325	11/14/01	
	A/C Special/Deutsche Bk SP Attn: (b) (6), (b) (7)(C) SEC Operations Dept.	1-2-2 Yurakucho Chiyoda-Ku Tokyo 100 Japan	Salomon Smith Barney	0418		08/16/01	HOT	09/06/01	S	8820	31.3622	11/14/01	
(b) (4)	a/c: (b) (4)	State Street Bank & Trust Boston, MA	Spear Leeds & Kellogg	501	(b) (4)	05/05/97	AIG	09/05/01	S	1300	74.75	11/14/01	
	a/c:	State Street Bank & Trust Boston, MA	Spear Leeds & Kellogg	501		05/05/97	BA	09/05/01	S	700	50.27	11/14/01	
	a/c:	State Street Bank & Trust Boston, MA	Spear Leeds & Kellogg	501		05/05/97	HOT	09/05/01	S	600	33.58	11/14/01	
	a/c:	State Street Bank & Trust Boston, MA	Spear Leeds & Kellogg	501		05/05/97	MWD	09/05/01	S	700	52.51	11/14/01	
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	Charles Schwab & Co., Inc.	0164	(b) (6), (b) (7)(C)	04/07/99	CNC	09/10/01	S	10000	7.68	11/14/01	
			Salomon Smith Barney	0418		11/11/93	AXA	09/07/01	S	440	23.17	10/01/01	Discussed with SEC
			CIBC World Markets	0438		07/29/88	CNC	09/10/01	S	200	7.6	09/24/01	Account statements faxed to SEC on 9/28/01
			UBS Painewebber Inc.	0221		09/22/00	HLT	09/06/01	SS	2,000	12.11	10/03/01	
			Salomon Smith Barney	0418		02/17/00	AIG	09/07/01	S	107	74.45	10/03/01	
			Salomon Smith Barney	0418		03/01/00	AEG	09/07/01	S	115	25.51	10/03/01	
			Salomon Smith Barney	0418		03/01/00	AXA	09/07/01	S	110	23.54	10/03/01	
(b) (4)	ADV NT Quantitative ADVS	Northern Trust Co A/C CVF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030	(b) (4)	08/11/99	AIG	09/06/01	S	1880	75.55	10/23/01	Discussed with SEC

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Buy(B) Short(SS)/ Long(S)	Volume	Price	SEC Contact Date	Followup
(b) (4)	ADV NT Quantitative ADVS	Northern Trust Co A/C CVF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030	(b)(4)	08/11/99	AMR	09/06/01	S	38	31.15	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C CVF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		08/11/99	BA	09/06/01	S	1238	48.84	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C CVF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		08/11/99	CNC	09/06/01	S	221	8	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C CVF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		08/11/99	DAL	09/06/01	S	112	37.89	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C CVF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		08/11/99	HLT	09/06/01	S	240	11.99	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C CVF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		08/11/99	LUV	09/06/01	S	380	17.75	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C CVF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		08/11/99	RTN	09/06/01	S	111	25.97	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C CVF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		08/11/99	XL	09/06/01	S	200	81.31	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C DCIF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		12/03/99	AIG	09/05/01	S	8900	73.99	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C DCIF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		12/03/99	AIG	09/06/01	S	3020	75.55	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C DCIF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		12/03/99	AMR	09/05/01	S	600	31.99	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C DCIF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		12/03/99	AMR	09/06/01	S	62	31.15	10/23/01	Discussed with SEC

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Buy(B) Short(SS)/ Long(S)	Volume	Price	SEC Contact Date	Followup
(b) (4)	ADV NT Quantitative ADVS	Northern Trust Co A/C DCIF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030	(b)(4)	12/03/99	BA	09/05/01	S	2900	50.61	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C DCIF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		12/03/99	BA	09/06/01	S	2062	48.84	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C DCIF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		12/03/99	CNC	09/05/01	S	1200	8.09	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C DCIF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		12/03/99	CNC	09/06/01	S	379	8	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C DCIF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		12/03/99	DAL	09/05/01	S	400	38.95	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C DCIF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		12/03/99	DAL	09/06/01	S	188	37.89	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C DCIF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		12/03/99	HLT	09/05/01	S	1300	12.46	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C DCIF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		12/03/99	HLT	09/06/01	S	360	11.99	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C DCIF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		12/03/99	LUV	09/05/01	S	2600	17.78	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C DCIF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		12/03/99	LUV	09/06/01	S	620	17.75	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C DCIF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		12/03/99	RTN	09/05/01	S	1300	26.9	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C DCIF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		12/03/99	RTN	09/06/01	S	189	25.97	10/23/01	Discussed with SEC

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(b) (4)	ADV NT Quantitative ADVS	Northern Trust Co A/C DCIF 20-73530 XXXXX Do Not Mail	Prudential Securities	0030	(b) (4)	12/03/99	UAL	09/05/01	S	200	12.62	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C DCIF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		12/03/99	XL	09/06/01	S	500	81.31	10/23/01	Discussed with SEC
	ADV NT Quantitative ADVS	Northern Trust Co A/C DCIF (b)(4) XXXXX Do Not Mail	Prudential Securities	0030		12/03/99	XL	09/05/01	S	400	82.1	10/23/01	Discussed with SEC
(b) (6), (b) (7)(C)	Advisor Mid Cap Fund Brown Brothers Harriman (b)(4)	Att (b) (6), (b) (7)(C) 3 Havover St. Ground FL. New York, 10005 Parent=Fidelity Adv Direct Bus	Credit Suisse First Boston	0355	(b) (6), (b) (7)(C)	02/22/96	HLT	09/05/01	S	100,000	12.4721	10/08/01	
	Advisor Mid Cap Fund Brown Brothers Harriman (b)(4)	Att (b) (6), (b) (7)(C) 3 Havover St. Ground FL. New York, 10005 Parent=Fidelity Adv Direct Bus	Credit Suisse First Boston	0355		02/22/96	HLT	09/06/01	S	131,100	12.0665	10/08/01	
(b) (4)	Advisory US Equity Market Neutral Fund	International Fund Services 12 East 49th Street New York, NY	Morgan Stanley	0050	(b) (4)	12/22/98	AIG	09/04/01	B	2000	77.7	10/23/01	Discussed with SEC
	Advisory US Equity Market Neutral Fund	International Fund Services 12 East 49th Street New York, NY	Morgan Stanley	0050		12/22/98	DAL	09/04/01	B	4000	39.69	10/23/01	Discussed with SEC
	Advisory US Equity Market Neutral Fund	International Fund Services 12 East 49th Street New York, NY	Morgan Stanley	0050		12/22/98	UAL	08/20/01	SS	27500	34.5	10/23/01	Discussed with SEC
	Advisory US Equity Market Neutral Fund	International Fund Services 12 East 49th Street New York, NY	Morgan Stanley	0050		12/22/98	UAL	09/04/01	SS	5000	32.7	10/23/01	Discussed with SEC
	Advisory US Equity Market Neutral Fund	International Fund Services Harcourt Centre Dublin, Ireland	Morgan Stanley	0050		09/28/99	UAL	08/20/01	SS	67000	34.5	10/23/01	Discussed with SEC
(b) (4)	Aetna Get Fund Series E, A/C# (b)(4) C/O Aeltus Investment	10 State House Square, Hartford, CT 06103	W & D Securities	0535	(b) (4)	09/22/99	AIG	09/07/01	S	3,900	75.1721	11/14/01	
	Aetna Get Fund Series E, A/C# (b)(4) C/O Aeltus Investment	10 State House Square, Hartford, CT 06103	W & D Securities	0535		09/22/99	BA	09/07/01	S	3,400	47.2766	11/14/01	

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(b) (4)	Aetna Get Fund Series E, A/C#(b)(4) C/O Aeltus Investment	10 State House Square, Hartford, CT 06103	W & D Securities	0535	(b)(4)	09/22/99	LMT	09/07/01	S	1,900	38.9822	11/14/01	
	Aetna Get Fund Series E, A/C#(b)(4) C/O Aeltus Investment	10 State House Square, Hartford, CT 06103	W & D Securities	0535		09/22/99	LUV	09/07/01	S	2,600	17.5869	11/14/01	
	Aetna Get Fund Series E, A/C#(b)(4) C/O Aeltus Investment	10 State House Square, Hartford, CT 06103	W & D Securities	0535		09/22/99	MET	09/07/01	S	2,300	28.52	11/14/01	
	Aetna Index Plus Protection Fund A/C# (b)(4) C/O Aetna Investment MGMT	10 State House Square, Hartford, CT 06103	W & D Securities	0535		12/26/00	AIG	09/10/01	S	290	73.48	11/14/01	
	Aetna Index Plus Protection Fund A/C# (b)(4) C/O Aetna Investment MGMT	10 State House Square, Hartford, CT 06103	W & D Securities	0535		12/26/00	BA	09/10/01	S	200	45.21	11/14/01	
	Aetna Index Plus Protection Fund A/C#(b)(4) C/O Aetna Investment MGMT	10 State House Square, Hartford, CT 06103	W & D Securities	0535		12/26/00	LMT	09/10/01	S	140	38.74	11/14/01	
	Aetna Index Plus Protection Fund A/C#(b)(4) C/O Aetna Investment MGMT	10 State House Square, Hartford, CT 06103	W & D Securities	0535		12/26/00	LUV	09/10/01	S	170	17	11/14/01	
	Aetna Index Plus Protection Fund A/C# (b)(4) C/O Aetna Investment MGMT	10 State House Square, Hartford, CT 06103	W & D Securities	0535		12/26/00	MET	09/10/01	S	160	28.8523	11/14/01	
	Aetna Principal Protection FD, A/C# (b)(4) C/O Aeltus Inv Mgmt Inc	10 State House Square, Hartford, CT 06103	W & D Securities	0535		10/25/99	AIG	09/10/01	S	880	73.48	11/14/01	
	Aetna Principal Protection FD, A/C#(b)(4) C/O Aeltus Inv Mgmt Inc	10 State House Square, Hartford, CT 06103	W & D Securities	0535		10/25/99	AMR	08/15/01	S	400	33.5715	11/14/01	
	Aetna Principal Protection FD, A/C#(b)(4) C/O Aeltus Inv Mgmt Inc	10 State House Square, Hartford, CT 06103	W & D Securities	0535		10/25/99	BA	09/05/01	S	50	50.2165	11/14/01	
	Aetna Principal Protection FD, A/C#(b)(4) C/O Aeltus Inv Mgmt Inc	10 State House Square, Hartford, CT 06103	W & D Securities	0535		10/25/99	BA	09/10/01	S	540	45.21	11/14/01	
	Aetna Principal Protection FD, A/C#(b)(4) C/O Aeltus Inv Mgmt Inc	10 State House Square, Hartford, CT 06103	W & D Securities	0535		10/25/99	LMT	09/10/01	S	440	38.74	11/14/01	
	Aetna Principal Protection FD, A/C#(b)(4) C/O Aeltus Inv Mgmt Inc	10 State House Square, Hartford, CT 06103	W & D Securities	0535		10/25/99	LUV	09/10/01	S	680	17.0058	11/14/01	
	Aetna Principal Protection FD, A/C#(b)(4) C/O Aeltus Inv Mgmt Inc	10 State House Square, Hartford, CT 06103	W & D Securities	0535		10/25/99	MET	09/10/01	S	560	28.8523	11/14/01	
	Aetna Principal Protection FD, A/C#(b)(4) C/O Aeltus Inv Mgmt Inc	10 State House Square, Hartford, CT 06103	W & D Securities	0535		10/25/99	RTN	09/10/01	S	420	24.58	11/14/01	

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	12/07/99	AIG	09/10/01	S	30	74.13	10/08/01	
			Salomon Smith Barney	0418		12/07/99	LUV	09/10/01	S	708	17.06	10/08/01	
(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	06/08/99	AXA	09/07/01	S	40	23.17	10/01/01	Discussed with SEC
			Charles Schwab & Co.	0164		07/10/98	HLT	09/07/01	S	600	11.58	09/24/01	Address provided to SEC
(b) (4)	Aid Association for Lutherans	4321 N. Ballard Rd. Appleton, WI 54913-7729	UBS Warburg	0642	(b) (4)	11/27/00	AIG	09/04/01	S	700	77.86	11/14/01	
	Aid Association for Lutherans	4321 N. Ballard Rd. Appleton, WI 54913-7729	UBS Warburg	0642		11/27/00	AMR	08/23/01	S	100	32.09	11/14/01	
	Aid Association for Lutherans	4321 N. Ballard Rd. Appleton, WI 54913-7729	UBS Warburg	0642		11/27/00	AMR	09/04/01	S	200	32.6	11/14/01	
	Aid Association for Lutherans	4321 N. Ballard Rd. Appleton, WI 54913-7729	UBS Warburg	0642		11/27/00	BA	09/04/01	S	300	51.62	11/14/01	
	Aid Association for Lutherans	4321 N. Ballard Rd. Appleton, WI 54913-7729	UBS Warburg	0642		11/27/00	CNC	09/04/01	S	600	8.87	11/14/01	
	Aid Association for Lutherans	4321 N. Ballard Rd. Appleton, WI 54913-7729	UBS Warburg	0642		11/27/00	DAL	09/04/01	S	200	39.63	11/14/01	
	Aid Association for Lutherans	4321 N. Ballard Rd. Appleton, WI 54913-7729	UBS Warburg	0642		11/27/00	HOT	09/04/01	S	200	33.83	11/14/01	
	Aid Association for Lutherans	4321 N. Ballard Rd. Appleton, WI 54913-7729	UBS Warburg	0642		11/27/00	LUV	09/04/01	S	300	18.71	11/14/01	
(b) (6), (b) (7)(C)			H&R Block Financial Advisors, Inc.	0756	(b) (6), (b) (7)(C)	01/10/00	AMR	08/29/01	S	210	32.67	10/08/01	
(b) (4)	AL-AHLI BANK OF QATAR QSC	MAIN BRANCH SALWA ROAD	UBS Painewebber Inc.	0221	(b) (4)	06/19/95	U	09/06/01	S	100	12.17	10/02/01	
	Alaska	Deutsche Asset MGMT Bankers Trust 280 Park Ave New York	Banc of America Securities Montgomery Division	0773		05/10/00	AIG	09/07/01	S	61400	73.15	10/31/01	Discussed with SEC
	Alaska	Deutsche Asset MGMT Bankers Trust 280 Park Ave New York	Banc of America Securities Montgomery Division	0773		05/10/00	AMR	09/07/01	S	3200	30.15	10/31/01	Discussed with SEC
	Alaska	Deutsche Asset MGMT Bankers Trust 280 Park Ave New York	Banc of America Securities Montgomery Division	0773		05/10/00	BA	09/07/01	S	19200	45.18	10/31/01	Discussed with SEC

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(b) (4)	Alaska	Deutsche Asset MGMT Bankers Trust 280 Park Ave New York	Banc of America Securities Montgomery Division	0773	(b) (4)	05/10/00	CNC	09/07/01	S	7300	7.11	10/31/01	Discussed with SEC
	Alaska	Deutsche Asset MGMT Bankers Trust 280 Park Ave New York	Banc of America Securities Montgomery Division	0773		05/10/00	DAL	09/07/01	S	2700	37.08	10/31/01	Discussed with SEC
	Alaska	Deutsche Asset MGMT Bankers Trust 280 Park Ave New York	Banc of America Securities Montgomery Division	0773		05/10/00	HLT	09/07/01	S	5800	11.44	10/31/01	Discussed with SEC
	Alaska	Deutsche Asset MGMT Bankers Trust 280 Park Ave New York	Banc of America Securities Montgomery Division	0773		05/10/00	LUV	09/07/01	S	16600	16.94	10/31/01	Discussed with SEC
	Alaska	Deutsche Asset MGMT Bankers Trust 280 Park Ave New York	Banc of America Securities Montgomery Division	0773		05/10/00	MMC	09/07/01	S	5900	87.11	10/31/01	Discussed with SEC
	Alaska	Deutsche Asset MGMT Bankers Trust 280 Park Ave New York	Banc of America Securities Montgomery Division	0773		05/10/00	RTN	09/07/01	S	7700	24.85	10/31/01	Discussed with SEC
	Alaska	Deutsche Asset MGMT Bankers Trust 280 Park Ave New York	Banc of America Securities Montgomery Division	0773		05/10/00	U	09/07/01	S	1900	11.9	10/31/01	Discussed with SEC
	Alaska	Deutsche Asset MGMT Bankers Trust 280 Park Ave New York	Banc of America Securities Montgomery Division	0773		05/10/00	XL	09/07/01	S	2400	80.8	10/31/01	Discussed with SEC
	Alaska Permanent	Putnam Advisory Co #1WI* 99 High St Boston, MA	Banc of America Securities Montgomery Division	0773		07/08/98	AIG	9/4/01 - 9/6/01	S	28500		10/31/01	Discussed with SEC
(b) (6), (b) (7)(C)			UBS Painewebber Inc.	0221	(b) (6), (b) (7)(C)	05/08/01	AIG	09/10/01	S	300	74.3	10/03/01	
			UBS Painewebber Inc.	0221		07/13/99	CNC	09/10/01 09/10/01	S S	14000 16000	7.64 7.64	10/03/01	
(b) (4)	ALFRED P SLOAN FOUNDATION IAM #156	IRIDIAN ASSET MGMT LLC #0156 WESTPORT CT06880470	Spear Leeds & Kellogg	0501	(b) (4)	3/31/99	CNC	09/07/01	S	7,400	7.0483	10/08/01	

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(b) (4)	ALFRED P SLOAN FDTN	A/C #(b)(4) C/O IRIDIAN ASSET MGMT LLC 276 POST ROAD WEST-STE 100 WESTPORT CT 06880-4704	W & D Securities	0535	(b) (4)	3/31/99	CNC	09/07/01	S	100	7.42	10/08/01	
	ALFRED P SLOAN FDTN	A/C #(b)(4) C/O IRIDIAN ASSET MGMT LLC 276 POST ROAD WEST-STE 100 WESTPORT CT 06880-4704	W & D Securities	0535		4/1/99	CNC	09/06/01	S	4,300	8.0116	10/08/01	
	ALFRED P SLOAN FOUNDATION	MARSICO CAPITAL DENVER CO80202	Spear Leeds & Kellogg	0501		4/20/99	BA	09/10/01	S	46,845	44.0397	10/08/01	
	ALFRED P SLOAN FOUNDATION IAM #(b)(4)	C/O IRIDIAN ASSET MGMT LLC 276 POST ROAD WEST - STE #100 WESTPORT CT 06880-4704	Neuberger Berman, LLC	0155		4/15/99	CNC	09/07/01	S	9,700	6.9789	10/08/01	
	ALFRED P. SLOAN FDTN (b)(4)	A/C: (b)(4) BOSTON SAFE 3 MELLON BANK CTR PITTSBURGH PA 15259	Merrill Lynch, Inc.	0161		5/25/99	BA	09/07/01	S	4,002	45.9981	10/08/01	
	ALFRED P. SLOAN FOUNDATION	C/O IRIDIAN ASSET MANAGEMENT L 276 POST ROAD WEST SUITE 100 WESTPORT CT 06880	First Union Capital Markets	0250		10/5/00	CNC	09/05/01	S	3,000	8.0582	10/08/01	
(b) (6), (b) (7)(C)			Bear Stearns & Co.	0352	(b) (6), (b) (7)(C)	09/24/92	MWD	09/05/01	S	600	51.9001	09/25/01	
(b) (4)	Allan W. Van De Mark, Inc. Special Acct 1	500 Mill Street Lockport, NY 14094	Merrill Lynch, Pierce, Fenner & Smith Inc.	0161	(b) (4)	11/20/98	BA	09/04/01	S	21	51.5	11/14/01	
	Allan W. Van De Mark, Inc. Special Acct 1	500 Mill Street Lockport, NY 14094	Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		11/20/98	DAL	08/30/01	S	12	38.8654	11/14/01	
	Allan W. Van De Mark, Inc. Special Acct 1	500 Mill Street Lockport, NY 14094	Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		11/20/98	HLT	09/04/01	S	71	12.82	11/14/01	
(b) (4)	Allcheer Enterprices Ltd.	Rm 2001-7, Wing Shan Tower, 84-86 Connaught Road, Central Hong Kong	Salomon Smith Barney	0418	(b) (4)	08/03/01	RTN	09/04/01	B	1,110	27.05	10/10/01	
	Alliance Development Fund Inc.	FS - Invesco Flex Attn: (b) (6), (b) (7)(C) Colorado Springs, CO	Salomon Smith Barney	0418		04/30/97	AIG	09/07/01	S	1,291	75.55	10/08/01	

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(b) (4)	Alliance Development Fund Inc.	FS - Invesco Flex Attn: (b) (6), (b) (7)(C) Colorado Springs, CO	Salomon Smith Barney	0418	(b) (4)	04/30/97	MWD	09/07/01	S	650	49.05	10/08/01	
	Almarc Trading LLC	Bear Stearns One Metrotech Center	Bear Stearns	0352		04/26/01	AMR	08/21/01	S	1000	32.59	10/31/01	Discussed with SEC
	Almarc Trading LLC	225 Ne Mizner BLVD Boca Raton, FL	Bear Stearns	0352		12/27/95	FHR	9/4/01 - 9/10/01	S	6000		10/31/01	Discussed with SEC
	Almarc Trading LLC	225 Ne Mizner BLVD Boca Raton, FL	Bear Stearns	0352		12/17/96	FHR	9/6/01 - 9/10/01	S	2500		10/31/01	Discussed with SEC
	Almarc Trading LLC	225 Ne Mizner BLVD Boca Raton, FL	Bear Stearns	0352		09/12/97	U	09/07/01	S	2000	12.02	10/31/01	Discussed with SEC
(b) (4)	Alpha US Sub Fund II	Attn: (b) (6), (b) (7)(C) 499 Park Avenue New York, NY	Morgan Stanley	0050	(b) (4)	10/12/00	AMR	08/17/01	S	1,000	32.5	10/08/01	Discussed with SEC
	Alpha US Sub Fund II	Attn (b) (6), (b) (7)(C) 499 Park Avenue New York, NY	Morgan Stanley	0050		10/12/00	BA	09/10/01	B	300	44.85	10/08/01	Discussed with SEC
	Alpha US Sub Fund II	Attn: (b) (6), (b) (7)(C) 499 Park Avenue New York, NY	Morgan Stanley	0050		10/12/00	HOT	09/10/01	B	200	29.65	10/08/01	Discussed with SEC
	Alpha US Sub Fund II	Attn: (b) (6), (b) (7)(C) 499 Park Avenue New York, NY	Morgan Stanley	0050		10/12/00	HOT	09/06/01	SS	200	32.05	10/08/01	Discussed with SEC
	Alpha US Sub Fund III	Morgan Stanley & Co 555 California Street San Francisco, CA	Salomon Smith Barney	0418		07/06/95	HLT	09/05/01	SS	10,000	12.51	10/08/01	Discussed with SEC
	Alpha US Sub Fund III	Morgan Stanley & Co 555 California Street San Francisco, CA	Salomon Smith Barney	0418		07/06/95	HLT	09/05/01	SS	11,553	12.31	10/08/01	Discussed with SEC
	Alpha US Sub Fund III	Morgan Stanley & Co 555 California Street San Francisco, CA	Salomon Smith Barney	0418		07/06/95	HOT	09/05/01	SS	16,135	33.25	10/08/01	Discussed with SEC
	Alpha US Sub Fund IV	499 Park Avenue New York, NY	Bear Stearns	0352		01/11/01	AIG	09/10/01	S	2,320	73.86	10/08/01	Discussed with SEC
	Alpha US Sub Fund IV	499 Park Avenue New York, NY	Bear Stearns	0352		01/11/01	AIG	09/04/01	SS	9,200	111	10/08/01	Discussed with SEC
	Alpha US Sub Fund VIII	Attn: (b) (6), (b) (7)(C) 499 Park Avenue New York, NY	Morgan Stanley	0050		10/09/00	LLL	09/05/01	B	300	64.8	10/08/01	Discussed with SEC
	Alpha US Sub Fund VIII	Attn: (b) (6), (b) (7)(C) 499 Park Avenue New York, NY	Morgan Stanley	0050		10/09/00	XL	09/04/01	SS	100	82.59	10/08/01	Discussed with SEC
	Alpha US Sub Fund VIII	Attn: (b) (6), (b) (7)(C) 499 Park Avenue New York, NY	Morgan Stanley	0050		10/09/00	XL	09/04/01	SS	400	82.56	10/08/01	Discussed with SEC
	Alpha US Sub Fund VIII	Attn: (b) (6), (b) (7)(C) 499 Park Avenue New York, NY	Morgan Stanley	0050		10/09/00	XL	09/04/01	SS	400	82.59	10/08/01	Discussed with SEC

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(b) (4)	Alpha US Sub Fund VIII	Attn: (b) (6), (b) (7)(C) 499 Park Avenue New York, NY	Morgan Stanley	0050	(b) (4)	10/09/00	XL	09/05/01	SS	500	82.01	10/08/01	Discussed with SEC
	Alpha US Sub Fund VIII	Attn: (b) (6), (b) (7)(C) 499 Park Avenue New York, NY	Morgan Stanley	0050		10/09/00	XL	09/04/01	SS	500	82.18	10/08/01	Discussed with SEC
	Alpha US Sub Fund VIII	Attn: (b) (6), (b) (7)(C) 499 Park Avenue New York, NY	Morgan Stanley	0050		10/09/00	XL	09/04/01	SS	500	82.87	10/08/01	Discussed with SEC
	Alpha US Sub Fund VIII	Attn: (b) (6), (b) (7)(C) 499 Park Avenue New York, NY	Morgan Stanley	0050		10/09/00	XL	09/04/01	SS	500	83	10/08/01	Discussed with SEC
	Alpha US Sub Fund VIII	Attn: (b) (6), (b) (7)(C) 499 Park Avenue New York, NY	Morgan Stanley	0050		10/09/00	XL	09/04/01	SS	600	82.75	10/08/01	Discussed with SEC
	Alpha US Sub Fund VIII	Attn: (b) (6), (b) (7)(C) 499 Park Avenue New York, NY	Morgan Stanley	0050		10/09/00	XL	09/04/01	SS	1,000	82.65	10/08/01	Discussed with SEC
(b) (4)	Alpine Assoc	120 Broadway, Suite 913, New York, NY 10271	Bear Stearns	0352	(b) (4)	11/12/84	LLL	09/06/01	B	44,200	63.65	10/10/01	Discussed with SEC
	Alpine Assoc	120 Broadway, Suite 913, New York, NY 10271	Bear Stearns	0352		11/26/97	AIG	09/04/01	S	14,700	76.5	10/10/01	Discussed with SEC
	Alpine Assoc	120 Broadway, Suite 913, New York, NY 10271	Bear Stearns	0352		11/26/97	AIG	09/04/01	S	15,700	76.25	10/10/01	Discussed with SEC
	Alpine Assoc	120 Broadway, Suite 913, New York, NY 10271	Bear Stearns	0352		11/26/97	AIG	09/04/01	S	19,600	76	10/10/01	Discussed with SEC
	Alpine Assoc	120 Broadway, Suite 913, New York, NY 10271	Bear Stearns	0352		11/26/97	AIG	09/05/01	S	25,000	74.75	10/10/01	Discussed with SEC
	Alpine Assoc	120 Broadway, Suite 913, New York, NY 10271	Bear Stearns	0352		11/26/97	AIG	09/05/01	S	25,000	75	10/10/01	Discussed with SEC
	Alpine Assoc	120 Broadway, Suite 913, New York, NY 10271	Bear Stearns	0352		11/26/97	AIG	09/04/01	S	25,000	76.8	10/10/01	Discussed with SEC
	Alpine Assoc	120 Broadway, Suite 913, New York, NY 10271	Bear Stearns	0352		11/26/97	AIG	09/04/01	S	25,000	76.9	10/10/01	Discussed with SEC
	Alpine Assoc	120 Broadway, Suite 913, New York, NY 10271	Bear Stearns	0352		11/26/97	LLL	09/04/01	B	1,700	66.06	10/10/01	Discussed with SEC
	Alpine Assoc	120 Broadway, Suite 913, New York, NY 10271	Bear Stearns	0352		11/26/97	LLL	09/04/01	B	2,400	66.0483	10/10/01	Discussed with SEC
(b) (6), (b) (7)(C)			Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	10/09/00	AIG	09/07/01	S	80	73.7	09/27/01	
(b) (4)	American Baptist Churches (Ministers and Missionaries Benefit Board of American Baptist Churches)	475 Riverside Drive, New York, NY 10115-0049	Goldman Sachs & Co	0005	(b) (4)	12/31/99	CNC	09/07/01	S	31,900	7.057	11/14/01	
	American Baptist Churches (Ministers and Missionaries Benefit Board of American Baptist Churches)	475 Riverside Drive, New York, NY 10115-0049	Goldman Sachs & Co	0005		12/31/99	CNC	09/07/01	S	3,100	7.1435	11/14/01	

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(b) (4)	American Baptist Churches (Ministers and Missionaries Benefit Board of American Baptist Churches*)	Treasurer's Office Room 1700475 Riverside Drive, New York, NY 10115-0049	Bear Stearns & Co.	0352	(b) (4)	01/16/98	UAL	08/15/01	SS	4,900	34.08	11/14/01	
	American Baptist Churches (Ministers and Missionaries Benefit Board of American Baptist Churches*)	Treasurer's Office Room 1700475 Riverside Drive, New York, NY 10115-0049	Bear Stearns & Co.	0352		01/16/98	UAL	08/15/01	SS	100	33.65	11/14/01	
(b) (4)	American Capital Pace Fund	ATT Custody Services PO Box 3528 Houston, TX 77253 Parent=American Capital Asset	Credit Suisse First Boston	0355	(b) (4)	01/01/00	HOT	09/07/01	S	398,100	29.9832	10/08/01	Discussed with SEC
	American Capital Pace Fund att Custody Services	P.O. Box 3528, Houston, TX 77253	Credit Suisse First Boston	0355			HOT	09/07/01	S	398,100	29.9832	10/08/01	Discussed with SEC
(b) (4)	American Express AXP-VP New Dimenions Fund	P.O. Box 554, Minneapolis, MN 55440	Merrill Lynch	0161		05/14/96	BA	09/10/01	S	57,500	45.0191	10/08/01	
	American Express AXP-VP New Dimenions Fund	P.O. Box 554, Minneapolis, MN 55440	Merrill Lynch	0161		05/14/96	BA	09/07/01	S	58,700	45.2529	10/08/01	
(b) (4)	American Express Financial Adv a/c Advisory US Equity Market Overseas Fund LTD	754 AXP Financial Center Minneapolis, MN 55474	Credit Suisse First Boston	0355		10/07/99	UAL	08/20/01	SS	67,000	34.5	10/08/01	
(b) (4)	American Masters Fund	245 Park Ave, 26th Floor, New York, NY 10167-	Bear Stearns	0352		09/01/99	RTN	09/10/01	B	11,200	24.562	10/10/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Weiss, Peck & Greer	0022	(b) (6), (b) (7)(C)	01/10/85	HLT	09/06/01	S	1,000	12	10/03/01	Discussed with SEC
			Weiss, Peck & Greer	0022		12/09/87	HLT	09/06/01	S	1,000	12	10/03/01	Discussed with SEC
			Weiss, Peck & Greer	0022		04/09/81	HLT	09/06/01	S	10,000	12	10/03/01	Discussed with SEC
			Weiss, Peck & Greer	0022		01/24/92	HLT	09/06/01	S	1,000	12	10/03/01	Discussed with SEC
			Credit Suisse First Boston Corp.	0443		09/03/99	AIG	09/05/01	S	480	74.65	10/03/01	
(b) (4)	Angelfish Corpoartion	Flat B, 7/F, Block 8, Phase III Beacon Heights, Lung Ping Road, Kowloon, Hong Kong	Salomon Smith Barney	0418	(b) (4)	07/05/01	RTN	09/04/01	B	555	27.12	10/10/01	Discussed with SEC
(b) (4)	Apollon One Corp.	Attn: (b) (6), (b) (7)(C) 1401 S Federal Highway Deerfield Beach, FL	Salomon Smith Barney	0418		07/29/99	HLT	09/06/01	S	829	12.07	10/08/01	
	Apollon One Corp.	Attn: (b) (6), (b) (7)(C) 1401 S Federal Highway Deerfield Beach, FL	Salomon Smith Barney	0418		07/29/99	HOT	09/05/01	S	200	32.78	10/08/01	

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(b) (4)	ARAGON INVESTMENT LTD	ARAGON INVESTMENT LTD C/O LEEDS MGMT SVCS LTD 129 FRONT STREET HAMILTON HM12 BERMUDA	Bear Stearns & Co.	0352	(b) (4)	10/25/00	AIG	09/04/01	S	204,887	76.95	10/23/01	Discussed with SEC
(b) (4)	Arca 27 A/C (b) (4) Attn: (b) (6), (b) (6), (b) (6), (b) (7)(C) via Mose Bianchi 6	c/o Sede Sociale in Milano 20149 Milano Italy	W & D Securities	0535	(b) (4)	08/28/95	UAL	08/22/01	S	28,800	33.52	11/02/01	
	Arca Azioni America # (b) (4) Attn: (b) (6), (b) (7)(C) via Mose Bianchi 6	c/o Sede Sociale in Milano 20149 Milano Italy	W & D Securities	0535		08/28/95	UAL	08/22/01	S	38,700	33.52	11/02/01	
	Arca BB A/C (b) (4) Attn: (b) (6), (b) (6), (b) (6), (b) (7)(C) via Mose Bianchi 6	c/o Sede Sociale in Milano 20149 Milano Italy	W & D Securities	0535		08/28/95	UAL	08/22/01	S	31,100	33.52	11/02/01	
	Arca S.P.A. BPB Rubens (b) (4) via Mose Bianchi 6	Attn: (b) (6), (b) (7)(C) 20149 Milano	W & D Securities	0535		09/22/95	UAL	09/22/01	S	8,300	33.52	11/02/01	
	Arca TE A/C (b) (4) Attn: (b) (6), (b) (6), (b) (6), (b) (7)(C) via Mose Bianchi 6	c/o Sede Sociale in Milano 20149 Milano Italy	W & D Securities	0535		08/28/95	UAL	08/22/01	S	26,000	33.52	11/02/01	
(b) (4)	Arcadia Investments Limited	Citibank Building, 2nd Floor, PO Box N-1576, Nassau, Bahamas	Salomon Smith Barney	0418	(b) (4)	08/27/01	RTN	09/07/01	B	580	25.96	10/10/01	Discussed with SEC
	Argentona Investments	Apartado Postal 61576, Chacao, Caracas, Venezuela	Merrill Lynch	0161	(b) (4)	06/06/01	RTN	09/05/01	B	220	26.9187	10/10/01	Discussed with SEC
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)		Lewco Securities	0277	(b) (6), (b) (7)(C)	03/29/00	AIG	09/07/01	S	225	73.05	10/23/01	Discussed with SEC
			Lewco Securities	0277		03/29/00	BA	09/07/01	S	280	44.95	10/23/01	Discussed with SEC
			Lewco Securities	0277		03/29/00	LUV	09/07/01	S	262	17.01	10/23/01	Discussed with SEC
			Lewco Securities	0277		03/29/00	AIG	09/07/01	S	305	73	10/23/01	Discussed with SEC
			Salomon Smith Barney	0418		12/03/99	AXA	09/04/01	S	98	25.84	10/01/01	
			Merrill Lynch, Inc.	0161		5/9/01	RTN	09/04/01	B	140	27.1	09/27/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		11/25/97	AIG	09/07/01	S	289	73.4	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		11/25/97	AMR	09/07/01	S	600	29.9	11/14/01	

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(b) (6), (b) (7)(C)			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161	(b) (6), (b) (7)(C)	11/25/97	DAL	09/07/01	S	400	37.36	11/14/01	
			TD Waterhouse	0044		07/02/99	HLT	09/10/01	S	1,000	11.18	09/25/01	
(b) (4)	Ashburton Global FDS LTD a/c Intl EQ Sterling Fund	3rd floor Analyst House, 20-26 Peel Road Douglas IM1 4LZ Isle of Man, England	Legg Mason Walker Wood	0740	(b) (4)	01/18/01	MMC	09/07/01	S	9,500	87.5307	10/10/01	Discussed with SEC
	Ashburton Global FDS LTD a/c Intl Equity US Dollar Fund	3rd floor Analyst House, 20-26 Peel Road Douglas IM1 4LZ Isle of Man, England	Legg Mason Walker Wood	0740		01/18/01	MMC	09/07/01	S	4,000	87.5307	10/10/01	Discussed with SEC
	Ashburton Global Funds Limited a/c Dollar Intl Equity	3rd floor Analyst House, 20-26 Peel Road Douglas IM1 4LZ Isle of Man, England	Lehman Brothers	0074		11/01/99	AIG	09/07/01	S	6,500	73.9239	10/10/01	Discussed with SEC
	Ashburton Global Funds Limited a/c Sterling Intl Equity	Victory House Prospect Hill 20-26 Peel Road, Douglas IM1 4LZ Isle of Man	Lehman Brothers	0074		11/01/99	AIG	09/07/01	S	13,000	73.9239	10/10/01	Discussed with SEC
	Ashburton Global Funds LTD a/c Asset Management Fund	3rd floor Analyst House, 20-26 Peel Road Douglas IM1 4LZ Isle of Man, England	Lehman Brothers	0074		04/25/00	AIG	09/07/01	S	2,100	73.9239	10/10/01	Discussed with SEC
	Ashburton Global Funds LTD a/c Asset Management Fund	3rd floor Analyst House, 20-26 Peel Road Douglas IM1 4LZ Isle of Man, England	Legg Mason Walker Wood	0740		01/18/01	MMC	09/07/01	S	1,500	87.5307	10/10/01	Discussed with SEC
	Ashburton Intl Mgmt LTD a/c Americas Fund	P.O. Box 239, 17 Hilary Street, St Helier Jey 8SJ Jersey, England	Legg Mason Walker Wood	0740		01/18/01	MMC	09/07/01	S	12,000	87.5307	10/10/01	Discussed with SEC
	Ashburton Securities (Jersey) a/c Ashburton Americas Fund	P.O. Box 239, 17 Hilary Street, St Helier Jey 8SJ Jersey, Channel Islands	Lehman Brothers	0074		11/01/99	AIG	09/07/01	S	12,500	73.9239	10/10/01	Discussed with SEC
(b) (4)	Ashland University (Ashland University Endow Fund ATTN (b) (6), (b) (7)(C) Suggest - Templeton Fund)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418	(b) (4)	03/04/94	AXA	09/06/01	S	1,215	23.5616	11/14/01	
(b) (4)	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	AIG	09/06/01	S	1	75.1	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	AIG	09/06/01	S	8	75.1	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	AIG	09/06/01	S	14	75.1	11/14/01	

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(b) (4)	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418	(b) (4)	02/01/00	AIG	09/06/01	S	1,246	75.1	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	AMR	09/06/01	S	1	31.26	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	AMR	09/06/01	S	4	31.26	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	AMR	09/06/01	S	9	31.26	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	AMR	09/06/01	S	11	31.26	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	AMR	09/06/01	S	60	31.26	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	BA	09/06/01	S	21	50.15	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	BA	09/06/01	S	398	50.15	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	CNC	09/06/01	S	7	7.99	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	CNC	09/06/01	S	10	7.99	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	CNC	09/06/01	S	41	7.99	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	CNC	09/06/01	S	54	7.99	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	CNC	09/06/01	S	65	7.99	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	DAL	09/06/01	S	3	38.32	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	DAL	09/06/01	S	6	38.32	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	DAL	09/06/01	S	57	38.32	11/14/01	

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(b) (4)	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418	(b) (4)	02/01/00	HLT	09/06/01	S	3	12.16	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	HLT	09/06/01	S	14	12.16	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	HLT	09/06/01	S	38	12.16	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	HLT	09/06/01	S	59	12.16	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	HLT	09/06/01	S	66	12.16	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	HOT	09/06/01	S	5	31.72	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	HOT	09/06/01	S	15	31.72	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	HOT	09/06/01	S	18	31.72	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	HOT	09/06/01	S	45	31.72	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	LUV	09/06/01	S	6	17.79	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	LUV	09/06/01	S	37	17.79	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	LUV	09/06/01	S	61	17.79	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	LUV	09/06/01	S	70	17.79	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	LUV	09/06/01	S	185	17.79	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	MWD	09/06/01	S	1	51.2	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	MWD	09/06/01	S	43	51.2	11/14/01	

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(b) (4)	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418	(b) (4)	02/01/00	MWD	09/06/01	S	51	51.2	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	MWD	09/06/01	S	53	51.2	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	MWD	09/06/01	S	103	51.2	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	MWD	09/06/01	S	291	51.2	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	RTN	09/06/01	S	8	26.54	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	RTN	09/06/01	S	56	26.54	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	RTN	09/06/01	S	127	26.54	11/14/01	
	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	Salomon Smith Barney	0418		02/01/00	XL	09/06/01	S	46	81.65	11/14/01	
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	CIBC World Markets	0438	(b) (6), (b) (7)(C)	07/14/99	CNC	09/04/01	S	25,000	9.02	09/24/01	Account Statements faxed to SEC on 9/26/01. Trade run 7/01 to 9/01 faxed to SEC on 10/10/01
(b) (4)	Authority Pension-Scudder	COLS Regional Healthcare Attn: (b) (6), (b) (7)(C) PO Box 790 Columbus, GA	Salomon Smith Barney	0418	(b) (4)	08/21/01	AIG	09/06/01	S	1,500	74.84	10/08/01	
	Authority Pension-Scudder	COLS Regional Healthcare Attn: (b) (6), (b) (7)(C) PO Box 790 Columbus, GA	Salomon Smith Barney	0418		08/21/01	MWD	09/06/01	S	1,225	50.28	10/08/01	
	Avadan Partners LP	100 Shoreline Highway Building A Suite 185 Mill Valley CA 94941	Bear Stearns & Co.	0352		12/15/92	SWS	09/06/01	SS	15,000	20.0503	10/01/01	
	Avalon (APB 1999 irrev UAD (b) (6), (b) (7)(C) core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	13	77.5	10/31/01	Discussed with SEC
	Avalon (APB 1999 irrev UAD (b) (6), (b) (7)(C) core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	12	74.2	10/31/01	Discussed with SEC

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Buy(B) Short(SS)/ Long(S)	Volume	Price	SEC Contact Date	Followup
(b) (4)	Avalon (APB 1999 irrev UAD (b) (6), (b) (7)(C) Core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005	(b) (4)	04/19/01	AMR	08/15/01	S	55	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	2757	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	2782	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	12586	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		06/07/01	AIG	09/04/01	S	854	77.5	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) (b) (6), (b) (7)(C) core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		06/07/01	AIG	09/07/01	S	853	74.2	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) (b) (6), (b) (7)(C) core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		06/07/01	AMR	08/15/01	S	1330	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) Foundation core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	807	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) Foundation core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/07/01	S	806	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) Foundation core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AMR	08/15/01	S	1042	33.42	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) (b) (6), (b) (7)(C) JTWROS - Core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	160	77.5	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) (b) (6), (b) (7)(C) JTWROS - Core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/07/01	S	160	74.2	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) (b) (6), (b) (7)(C) JTWROS - Core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AMR	08/15/01	S	343	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (Core) c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	15	77.5	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) (Core) c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	14	74.2	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) (Core) c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	5	33.42	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) (Core) c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	41	77.5	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) (Core) c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/07/01	S	40	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (Core) c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AMR	08/15/01	S	88	33.42	10/31/01	Discussed with SEC

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(b) (4)	Avalon ((b) (6), (b) (7)(C) cust (b) (6), (b) (7)(C) UGMA Core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005	(b) (4)	04/20/01	AIG	09/04/01	S	3	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) cust (b) (6), (b) (7)(C) UGMA Core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/07/01	S	3	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) cust (b) (6), (b) (7)(C) UGMA Core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AMR	08/15/01	S	14	33.42	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) cust (b) (6), (b) (7)(C) UGTMA Core a/c c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	4	77.5	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) cust (b) (6), (b) (7)(C) UGTMA Core a/c c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/07/01	S	4	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) cust (b) (6), (b) (7)(C) UGTMA Core a/c c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AMR	08/15/01	S	17	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) cust (b) (6), (b) (7)(C) UGTMA Core a/c c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/30/01	AIG	09/04/01	S	5	77.8	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) cust (b) (6), (b) (7)(C) UGTMA Core a/c c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/30/01	AIG	09/07/01	S	4	74.22	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) cust (b) (6), (b) (7)(C) UGTMA Core a/c c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/30/01	AMR	08/15/01	S	19	33.4198	10/31/01	Discussed with SEC
	Avalon (Delaware Charter Guarantee & Tr co. ttee FBO (b) (6), (b) (7)(C) IRA core a/c c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	146	33.42	10/31/01	Discussed with SEC
	Avalon (Delaware Charter Guarantee & Tr co. ttee FBO (b) (6), (b) (7)(C) IRA core a/c c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	69	77.5	10/31/01	Discussed with SEC
	Avalon (Delaware Charter Guarantee & Tr co. ttee FBO (b) (6), (b) (7)(C) IRA core a/c c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	69	74.2	10/31/01	Discussed with SEC
	Avalon (Delaware Charter Guarantee & Tr co. ttee FBO (b) (6), (b) (7)(C) IRA core a/c c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	146	33.42	10/31/01	Discussed with SEC
	Avalon (Delaware Charter Guarantee & Tr co. ttee FBO (b) (6), (b) (7)(C) IRA r/o core a/c c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	78	77.5	10/31/01	Discussed with SEC

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(b) (4)	Avalon (Delaware Charter Guarantee & Tr co. ttee FBO (b) (6), (b) (7)(C) IRA r/o core a/c c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005	(b) (4)	04/20/01	AIG	09/07/01	S	78	74.2	10/31/01	Discussed with SEC
	Avalon (Delaware Charter Guarantee & Tr co. ttee FBO (b) (6), (b) (7)(C) IRA r/o core a/c c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AMR	08/15/01	S	167	33.42	10/31/01	Discussed with SEC
	Avalon (Delaware Charter Guarantee & Tr co. ttee FBO (b) (6), (b) (7)(C) IRA core a/c c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	63	77.5	10/31/01	Discussed with SEC
	Avalon (Delaware Charter Guarantee & Tr co. ttee FBO (b) (6), (b) (7)(C) IRA core a/c c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	63	74.2	10/31/01	Discussed with SEC
	Avalon (Delaware Charter Guarantee & Tr co. ttee FBO (b) (6), (b) (7)(C) IRA core a/c c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	130	33.42	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) IRREV TRUST UAD (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) ttee Core Account)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	13	77.5	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) IRREV TRUST UAD (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) ttee Core Account)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	12	74.2	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) IRREV TRUST UAD 3/15/99 RK McKean ttee Core Account)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	55	33.4198	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Family Trust UAD (b) (6), (b) (7)(C) ttee Core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	104	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Family Trust UAD (b) (6), (b) (7)(C) ttee Core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	103	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Family Trust UAD (b) (6), (b) (7)(C) ttee Core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	441	33.4198	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	48	77.5	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/07/01	S	47	74.2	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AMR	08/15/01	S	130	33.42	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) Remainder Unitrust- core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	547	77.5	10/31/01	Discussed with SEC

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(b) (4)	Avalon (b) (6), (b) (7)(C) Remainder Unitrust- core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005	(b) (4)	04/20/01	AIG	09/07/01	S	546	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Remainder Unitrust- core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AMR	08/15/01	S	668	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) Family Trust Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	556	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) Family Trust Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	555	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) Family Trust Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	900	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Family Trust fbo (b) (6), (b) (7)(C) ttee Core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		05/14/01	AIG	09/04/01	S	11	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Family Trust fbo (b) (6), (b) (7)(C) ttee Core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		05/14/01	AIG	09/07/01	S	10	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Family Trust fbo (b) (6), (b) (7)(C) ttee Core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		05/14/01	AMR	08/15/01	S	45	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) JTTIC Core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	36	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) JTTIC Core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	36	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) JTTIC Core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	100	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Irrev Trust UAD (b) (6), (b) (7)(C) ITTEE Core Account C/O Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	13	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Irrev Trust UAD (b) (6), (b) (7)(C) ITTEE Core Account C/O Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	12	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Irrev Trust UAD (b) (6), (b) (7)(C) ITTEE Core Account C/O Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	55	33.42	10/31/01	Discussed with SEC
	Avalon (Gothca Covered Profit Sharing Plan u/a 1/1/94 core a/c (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) ttees c/o Avalon	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	12	77.5	10/31/01	Discussed with SEC

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Buy(B) Short(SS)/ Long(S)	Volume	Price	SEC Contact Date	Followup
(b) (4)	Avalon (Gothca Covered Profit Sharing Plan u/a 1/1/94 core a/c (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) ttees c/o Avalon	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005	(b) (4)	04/20/01	AIG	09/07/01	S	11	74.2	10/31/01	Discussed with SEC
	Avalon (Gothca Covered Profit Sharing Plan u/a 1/1/94 core a/c (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) ttees c/o Avalon	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AMR	08/15/01	S	38	33.42	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) (b) (6), (b) (7)(C) Jttic Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	573	77.5	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) (b) (6), (b) (7)(C) Jttic Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	573	74.2	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) (b) (6), (b) (7)(C) Jttic Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	258	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) JTTIC core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	409	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) JTTIC core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	409	74.2	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) (b) (6), (b) (7)(C) JTTIC core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	633	33.42	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	163	77.5	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/07/01	S	162	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AMR	08/15/01	S	344	33.42	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	11	77.5	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	11	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	47	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Core Accounts c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	95	77.5	10/31/01	Discussed with SEC
	Avalon ((b) (6), (b) (7)(C) Core Accounts c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	95	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Core Accounts c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	638	33.42	10/31/01	Discussed with SEC
	Avalon (Loveless Enterprises LTD core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	126	77.5	10/31/01	Discussed with SEC
	Avalon (Loveless Enterprises LTD core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/07/01	S	126	74.2	10/31/01	Discussed with SEC

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(b) (4)	Avalon (Loveless Enterprises LTD core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005	(b) (4)	04/20/01	AMR	08/15/01	S	322	33.42	10/31/01	Discussed with SEC
	Avalon (M&M Investments core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	11	77.5	10/31/01	Discussed with SEC
	Avalon (M&M Investments core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	11	74.2	10/31/01	Discussed with SEC
	Avalon (M&M Investments core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	61	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) Foundation core Acct c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	61	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) Foundation core Acct c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	61	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) Foundation core Acct c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	183	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) JTTIC core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	129	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) JTTIC core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/07/01	S	128	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) JTTIC core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AMR	08/15/01	S	235	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) Foundation Inc. core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	57	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) Foundation Inc. core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	57	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) Foundation Inc. core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	308	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) JTTIC Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	641	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) JTTIC Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	640	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) JTTIC Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	1670	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Limited core a/c c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		06/18/01	AIG	09/04/01	S	54	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Limited core a/c c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		06/18/01	AIG	09/07/01	S	53	74.2	10/31/01	Discussed with SEC

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(b) (4)	Avalon (b) (6), (b) (7)(C) Limited core a/c c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005	(b) (4)	06/18/01	AMR	08/15/01	S	24	33.42	10/31/01	Discussed with SEC
	Avalon (Nuevo Capital Partners LP (core) c/o Avalon	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	910	77.5	10/31/01	Discussed with SEC
	Avalon (Nuevo Capital Partners LP (core) c/o Avalon	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/07/01	S	910	74.2	10/31/01	Discussed with SEC
	Avalon (Nuevo Capital Partners LP (core) c/o Avalon	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AMR	08/15/01	S	1288	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) JTTIC Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	167	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) JTTIC Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/07/01	S	166	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) JTTIC Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AMR	08/15/01	S	190	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) JTTIC Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	LUV	09/07/01	S	73	17.03	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) JTTIC Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	XL	09/07/01	S	31	80.61	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Cust for (b) (6), (b) (7)(C) UGMA?TX-core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	5	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Cust for (b) (6), (b) (7)(C) UGMA?TX-core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/07/01	S	4	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Cust for (b) (6), (b) (7)(C) UGMA?TX-core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AMR	08/15/01	S	5	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) cust for (b) (6), (b) (7)(C) UGMA/TX Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	14	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) cust for (b) (6), (b) (7)(C) UGMA/TX Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/07/01	S	14	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) cust for (b) (6), (b) (7)(C) UGMA/TX Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AMR	08/15/01	S	16	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Cust for (b) (6), (b) (7)(C) UGMA/TX Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	12	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Cust for (b) (6), (b) (7)(C) UGMA/TX Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/07/01	S	12	74.2	10/31/01	Discussed with SEC

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(b) (4)	Avalon (b) (6), (b) (7)(C) Cust for (b) (6), (b) (7)(C) UGMA/TX Core Account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005	(b) (4)	04/20/01	AMR	08/15/01	S	12	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) JTTIC core equity account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	139	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) JTTIC core equity account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	138	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) JTTIC core equity account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	272	33.42	10/31/01	Discussed with SEC
	Avalon (PDMM Investment LTD core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	15	77.5	10/31/01	Discussed with SEC
	Avalon (PDMM Investment LTD core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	15	74.2	10/31/01	Discussed with SEC
	Avalon (PDMM Investment LTD core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	42	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	339	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/07/01	S	338	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AMR	08/15/01	S	915	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	70	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/07/01	S	70	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AMR	08/15/01	S	183	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) jttic (core) c/o Avalon	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	257	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) jttic (core) c/o Avalon	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	257	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) jttic (core) c/o Avalon	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	430	33.42	10/31/01	Discussed with SEC
	Avalon (Second Baptist Church Rabbi Trust FBO (b) (6), (b) (7)(C) (b) (6), (b) u/a (b) (6), (b) (7)(C) ttee core c/o Avalon	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	18	77.5	10/31/01	Discussed with SEC
	Avalon (Second Baptist Church Rabbi Trust FBO (b) (6), (b) (7)(C) (b) (6), (b) u/a (b) (6), (b) (7)(C) ttee core c/o Avalon	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/07/01	S	17	74.2	10/31/01	Discussed with SEC

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(b) (4)	Avalon (Second Baptist Church Rabbi Trust FBO (b) (6), (b) (7)(C) (b) (6), (b) (u/a (b) (6), (b) (7)(C) ttee core c/o Avalon	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005	(b) (4)	04/20/01	AMR	08/15/01	S	47	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) core a/c c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	536	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) core a/c c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/07/01	S	535	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) core a/c c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AMR	08/15/01	S	1019	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	83	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/07/01	S	82	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) Core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AMR	08/15/01	S	166	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) ((Core) c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	54	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7 Core) c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	54	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) ((Core) c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	295	33.42	10/31/01	Discussed with SEC
	Avalon (Waggoner Investment Partnership LTD core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	322	33.42	10/31/01	Discussed with SEC
	Avalon (Westwind Interest LTD core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/04/01	S	151	77.5	10/31/01	Discussed with SEC
	Avalon (Westwind Interest LTD core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	151	74.2	10/31/01	Discussed with SEC
	Avalon (Westwind Interest LTD core account c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	157	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) JTTIC Core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	5	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) JTTIC Core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/07/01	S	4	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) JTTIC Core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AMR	08/15/01	S	11	33.42	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) JTTIC Core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/04/01	S	39	77.5	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) JTTIC Core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AIG	09/07/01	S	39	74.2	10/31/01	Discussed with SEC
	Avalon (b) (6), (b) (7)(C) (b) (6), (b) (JTTIC Core c/o Avalon)	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/20/01	AMR	08/15/01	S	91	33.42	10/31/01	Discussed with SEC

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Buy(B) Short(SS)/ Long(S)	Volume	Price	SEC Contact Date	Followup
(b) (4)	Avery International Master Fund LTD	Attn: (b) (6), (b) (7)(C) 909 3rd ave New York, NY	Bear Stearns	0352	(b) (4)	08/31/98	AIG	09/04/01	S	33	77.9	10/31/01	Discussed with SEC
	Avery International Master Fund LTD	Attn: (b) (6), (b) (7)(C) 909 3rd ave New York, NY	Bear Stearns	0352		08/31/98	FHR	09/06/01	SS	9875	34.4	10/31/01	Discussed with SEC
	Avery International Master Fund LTD	Attn: (b) (6), (b) (7)(C) 909 3rd ave New York, NY	Bear Stearns	0352		08/31/98	FHR	09/06/01	SS	4938	35.01	10/31/01	Discussed with SEC
	Avery International Master Fund LTD	Attn: (b) (6), (b) (7)(C) 909 3rd ave New York, NY	Bear Stearns	0352		08/31/98	FHR	09/07/01	SS	2963	33	10/31/01	Discussed with SEC
	Avery Partners	909 3rd ave New York, NY	Bear Stearns	0352		9/29/00	AIG	09/04/01	S	8	77.9	10/23/01	Discussed with SEC
	Avery Partners	909 3rd ave New York, NY	Bear Stearns	0352		9/29/00	FHR	09/06/01	SS	2625	34.4	10/23/01	Discussed with SEC
	Avery Partners	909 3rd ave New York, NY	Bear Stearns	0352		9/29/00	FHR	09/06/01	SS	1312	35.01	10/23/01	Discussed with SEC
	Avery Partners	909 3rd ave New York, NY	Bear Stearns	0352		9/29/00	FHR	09/07/01	SS	787	33	10/23/01	Discussed with SEC
(b) (6), (b) (7)(C)			UBS Painewebber Inc.	0221	(b) (6), (b) (7)(C)	11/14/95	AIG	09/06/01	S	65	75.17	10/02/01	
			UBS Painewebber Inc.	0221		11/14/95	AIG	09/06/01	S	15	75.17	10/02/01	
			UBS Painewebber Inc.	0221		05/22/98	AIG	09/06/01	S	20	75.17	10/02/01	
			UBS Painewebber Inc.	0221		12/02/99	AIG	09/06/01	S	40	75.17	10/02/01	
			UBS Painewebber	0221		06/22/00	DAL	09/05/01	S	62	38.8	10/08/01	Discussed with SEC
(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	07/06/98	HOT	09/06/01	S	3	32.05	10/01/01	Discussed with SEC
			Salomon Smith Barney	0418		07/06/98	HOT	09/04/01	S	4	33.9	10/01/01	Discussed with SEC
			Salomon Smith Barney	0418		09/29/00	AXA	09/06/01	S	84	23.58	10/01/01	
(b) (4)	BAC LCL 3 PEN PL X065 McMorgan	475 Sansome Street 11th Fl San Francisco, CA	Merrill Lynch, Inc.	0161	(b) (4)	04/12/01	AIG	09/04/01	S	800	77.6	10/01/01	
	BAC LCL 3 PEN PL X065 McMorgan	475 Sansome Street 11th Fl San Francisco, CA	Merrill Lynch, Inc.	0161		04/12/01	AMR	09/04/01	S	500	32.5	10/01/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Raymond James & Associates	0725	(b) (6), (b) (7)(C)	04/16/99	AIG	09/04/01	S	68	77.75	10/03/01	
			Raymond James & Associates	0725		04/16/99	DAL	09/07/01	S	10	36.99	10/03/01	

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Raymond James & Associates	0725	(b) (6), (b) (7)(C)	04/16/99	U	09/07/01	S	185	11.82	10/03/01	
			First Clearing Corp.	0141		08/29/01	RTN	09/06/01	B	110	25.87	11/14/01	
			Lehman Brothers	0074		02/02/01	HOT	09/07/01	S	250	30.2	11/14/01	
			Morgan Stanley	0050		07/18/95	BA	09/10/01	S	2400	43.9189	11/14/01	
		(b) (6), (b) (7)(C)	Lehman Brothers	0074	(b) (6), (b) (7)(C)	05/27/98	AIG	09/04/01	S	800	77.67	11/14/01	
			Merrill Lynch	0161		03/25/98	LLL	09/06/01	B	50	63.99	11/14/01	
			Merrill Lynch	0161		03/25/98	RTN	09/06/01	B	200	25.92	11/14/01	
			Merrill Lynch	0161		01/18/82	LLL	09/06/01	B	200	63.85	11/14/01	
			Merrill Lynch	0161		01/18/82	RTN	09/06/01	B	500	25.87	11/14/01	
			Merrill Lynch	0161		09/08/83	LLL	09/06/01	B	50	63.85	11/14/01	
			Merrill Lynch	0161		09/08/83	RTN	09/06/01	B	200	25.85	11/14/01	
(b) (4)	Baker Properties Limited Partn, Attn (b) (6), (b) (7)(C)	485 Washington Ave, Pleasantville, NY 10570	JP Morgan Securities	0060	(b) (4)	03/24/97	AIG	09/04/01	S	9700	77.3021	11/14/01	
	Baker Properties Limited Partn, Attn (b) (6), (b) (7)(C)	485 Washington Ave, Pleasantville, NY 10570	JP Morgan Securities	0060		03/24/97	AMR	09/04/01	S	400	32.01	11/14/01	
	Baker Properties Limited Partn, Attn (b) (6), (b) (7)(C)	485 Washington Ave, Pleasantville, NY 10570	JP Morgan Securities	0060		03/24/97	BA	09/04/01	S	2600	50.6962	11/14/01	
	Baker Properties Limited Partn, Attn (b) (6), (b) (7)(C)	485 Washington Ave, Pleasantville, NY 10570	JP Morgan Securities	0060		03/24/97	DAL	09/04/01	S	2520	38.8005	11/14/01	

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(b) (4)	Baker Properties Limited Partn, Attn (b) (6), (b) (7)(C)	485 Washington Ave, Pleasantville, NY 10570	JP Morgan Securities	0060	(b) (4)	03/24/97	LUV	09/04/01	S	4555	18.0706	11/14/01	
	Baker Properties Limited Partn, Attn (b) (6), (b) (7)(C)	485 Washington Ave, Pleasantville, NY 10570	JP Morgan Securities	0060		03/24/97	RTN	09/04/01	S	455	26.79	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Credit Suisse First Boston Corp.	0443	(b) (6), (b) (7)(C)	04/29/98	AMR	08/23/01	S	400	32.14	10/08/01	
(b) (4)	Balboa (Lexington Balboa Fund LTD Intermanagement Services)	ATTN: (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) 22 Boulevard Royal, L-2449 Luxembourg, Luxembourg	Morgan Stanley	0050	(b) (4)	07/07/00	HOT	09/10/01	SS	76	29.595	10/10/01	
	Balboa Fund (Lyxor Master FD/ Balboa Acct c/o SG Hambros Trust Co Attn: (b) (6), (b) (7)(C)	17 Cours Valmy Tour Societe Puteaux 92800, France	Banc of America Securities	0773		07/20/01	HLT	09/10/01	SS	5,236	11.18	10/10/01	
	Balboa Fund Execution	Morgan Stanley & Co. Inc. 1221 Ave of Americas 28Th Fl. New York, NY 10020	Bank of America	0773		12/01/00	HLT	09/10/01	S	4,569	11.1796	10/01/01	
	Balboa Fund Execution attn (b) (6), (b) (6), (b) (7)(C)	12636 High Bluff Drive Suite 350, San Diego, CA 92130-3018	Morgan Stanley	0050		07/13/92	HOT	09/10/01	SS	1,789	29.595	10/10/01	
	Balboa Fund LTD	12636 High Bluff Dr. Ste. 350 San Diego, CA 92130	Bank of America	0773		12/01/00	HLT	09/10/01	SS	4,604	11.1796	10/01/01	Discussed with SEC
(b) (4)	Balboa Fund LTD	C/O Citco Fd Svcs (Cayman Isld) LTD Corp Centre West Bay Road Grand Cayman Cayman Islands	Bank of America	0773	(b) (4)	12/01/00	HLT	09/10/01	SS	21,414	11.1796	10/01/01	Discussed with SEC
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	05/05/99	AIG	09/10/01	S	76	74.41	09/27/01	
			Merrill Lynch, Inc.	0161		05/05/99	LUV	09/10/01	S	120	17.17	09/27/01	
(b) (4)	Banc Caribe Ltd.	Corner of Cancfield Rd and Imperial Highway, PO Box 2222, Roseau	Merrill Lynch	0161	(b) (4)	08/14/01	RTN	09/04/01	B	1,180	27.1	10/10/01	
	Banca Aletti Co.	Via Santo Spirito 14 Milano, Italy	Legg Mason Wood Walker, Inc.	0740		07/24/01	MMC	09/06/01	S	5,000	91.19	10/08/01	Discussed with SEC
	Banca Aletti Co.	Via Santo Spirito 14 Milano, Italy	Legg Mason Wood Walker, Inc.	0740		07/24/01	RTN	09/06/01	S	15,000	26.52	10/08/01	Discussed with SEC
	Banca Della Svizzera Italiana	Piazza Manzoni 5 CH 6901 Lugano Switzerland	Credit Suisse First Boston Corp.	0443		02/21/91	CNC	09/05/01	S	2000	8.45	10/03/01	Discussed with SEC
	Banca Dello Stato Del Cantone Ticino	Viale Guisan 5 CH-6500 Bellinzona Switzerland	Credit Suisse First Boston Corp.	0443		03/21/91	BA	09/06/01	S	100	50.1	10/08/01	Discussed with SEC
	Banca Popolare di Brescia	74 Bia Leonardo da Vinci Ufficio 25100 Italy	W & D Securities	0535		03/31/98	XL	09/07/01	S	1,200	80.9	10/08/01	Discussed with SEC

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(b) (4)	Banco Atlantico	East Bay Street P.O. Box 556289 Nassau, Bahamas	Credit Suisse First Boston Corp.	0443	(b) (4)	08/27/01	AIG	09/07/01	S	194	72.78	10/08/01	Discussed with SEC
	Banco Atlantico	East Bay Street P.O. Box 556289 Nassau, Bahamas	Credit Suisse First Boston Corp.	0443		08/27/01	MWD	09/07/01	S	102	47.94	10/08/01	Discussed with SEC
	Banco Bilbao Vizcaya	P.O. Box 1115 Georgetown Cayman Islands	Credit Suisse First Boston Corp.	0443		10/28/96	AAR	08/16/01	S	1,000	24.83	10/08/01	Discussed with SEC
	Bank America Securities FAO Healy Circle Partners	655 Montgomery St 19th Floor San Francisco, CA 94115	Spear Leeds & Kellogg	0501		05/25/01	CNC	09/04/01	SS	20,000	8.7	10/08/01	
	Bank Austria	Two Artillery Court Shedden Road P.O. Box 31362 SMD Georgetown Grand Cayman, Cayman Islands	Goldman Sachs & Co.	0005		12/21/99	XL	09/04/01 09/04/01	SS SS	6600 5944	82.4 83	10/23/01	Discussed with SEC
(b) (4)	Bank of NY - FAO Lydian Capital Advisors	677 Washington Blvd., 6th Floor, Stamford, CT 06901-3707	Painewebber Inc.	0221	(b) (4)	06/16/00	LLL	09/05/01	B	5,000	64.6736	10/10/01	
	Bankers Trust A/C College Retirement Equities Fund	16 Wall Street New York, NY 10005	Merrill Lynch Inc.	0551		03/09/01	XL	09/06/01	S	44,800	81.76	10/10/01	Discussed with SEC
	Bankers Trust as TTEE of the BT Pyramid Quantitative EQTY DVLPMNT FD BT#110370 QEDJAN, Attn: (b) (6), (b) (7)(C) MS#2235	130 Liberty Street, 23rd Floor, New York, NY 10006-1105	Bear Stearns	0352		12/13/94	DAL	08/27/01	SS	1200	40.405	11/14/01	
	Bankers Trust as TTEE of the BT Pyramid Quantitative EQTY DVLPMNT FD BT#110370 QEDJAN, Attn: (b) (6), (b) (7)(C) MS#2235	130 Liberty Street, 23rd Floor, New York, NY 10006-1105	Bear Stearns	0352		12/13/94	UAL	08/23/01	SS	1320	33.147	11/14/01	
	Bankers Trust as TTEE of the BT Pyramid Quantitative EQTY DVLPMNT FD BT#110370 QEDJAN, Attn: (b) (6), (b) (7)(C) MS#2235	130 Liberty Street, 23rd Floor, New York, NY 10006-1105	Bear Stearns	0352		12/13/94	UAL	08/24/01	SS	480	33.3504	11/14/01	
	Bankers Trust as TTEE of the BT Pyramid Quantitative EQTY DVLPMNT FD BT#110370 QEDJAN, Attn: (b) (6), (b) (7)(C) MS#2235	130 Liberty Street, 23rd Floor, New York, NY 10006-1105	Bear Stearns	0352		12/13/94	UAL	08/27/01	SS	1600	34.007	11/14/01	
	Bankgesellschaft	Berlin Brunnenstrabe 111 D-13355	Spear, Leeds & Kellog	0501		09/16/99	AIG	09/07/01	S	1000	75.8	10/03/01	Discussed with SEC
	Barclays Capital FAO Deephaven Capital Management	222 Broadway, New York, NY 10038-2510	Bear Stearns	0352		05/10/01	XL	09/04/01	S	6,900	82.56	10/15/01	
	Barclays Capital FAO Deephaven Capital Management	222 Broadway, New York, NY 10038-2510	Bear Stearns	0352		05/10/01	XL	09/05/01	S	7,700	82.01	10/15/01	

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(b) (4)	Barclays Global Investors	FBO Canton of Zurich - PNA R/S A/C (b) (4) Attn: (b) (6), (b) (7)(C) Sacramento, CA	W&D Securities	0535	(b) (4)	08/03/01	AMR	08/14/01	S	3000	33.84	10/31/01	
	Barclays Global Investors	FBO Canton of Zurich - PNA R/S A/C (b) (4) Attn: (b) (6), (b) (7)(C) Sacramento, CA	W&D Securities	0535		08/03/01	UAL	08/14/01	S	1000	34.86	10/31/01	
	Barclays Global Investors	FBO Conoco Inc. A/C (b) (4) Attn: (b) (6), (b) (7)(C) Sacramento, CA	W&D Securities	0535		08/29/01	AIG	09/06/01	S	1331	74.82	10/31/01	
	Barclays Global Investors	FBO Conoco Inc. A/C (b) (4) Attn: (b) (6), (b) (7)(C) Sacramento, CA	W&D Securities	0535		08/29/01	AMR	08/31/01	S	620	31.99	10/31/01	
	Barclays Global Investors	A/C (b) (4) 161 Bay St Totonto Canada	Goldman Sachs	0005		09/07/01	AIG	09/07/01	S	349	75.05	10/31/01	
	Barclays Global Investors	A/C (b) (4) 161 Bay St Totonto Canada	Goldman Sachs	0005		09/07/01	DAL	09/07/01	S	500	37.86	10/31/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	MS Dean Witter	0015	(b) (6), (b) (7)(C)	12/17/98	AMR	08/22/01	S	30	32.4	10/31/01	
			MS Dean Witter	0015		12/17/98	AMR	09/05/01	S	46	31.86	10/31/01	
			MS Dean Witter	0015		12/17/98	LUV	09/05/01	S	83	17.97	10/31/01	
			MS Dean Witter	0015		12/17/98	AMR	08/22/01	S	30	32.01	10/31/01	
			MS Dean Witter	0015		12/17/98	AMR	09/05/01	S	45	31.77	10/31/01	
			MS Dean Witter	0015		12/17/98	LUV	09/05/01	S	81	17.83	10/31/01	
			MS Dean Witter	0015		12/17/98	XL	09/05/01	S	18	81.84	10/31/01	
			MS Dean Witter	0015		01/25/99	XL	09/05/01	S	19	81.86	10/31/01	

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(b) (4)	Barr Rosenburg Market Neutral Fund	Bear Stearns Securities 1 Metrotech Center North Brooklyn, NY	SG Cowen	0286	(b) (4)	12/16/97	CNC	09/07/01	S	4,200	7.11	10/15/01	Discussed with SEC
	Barr Rosenburg Market Neutral Fund	Bear Stearns Securities 1 Metrotech Center North Brooklyn, NY	SG Cowen	0286		12/16/97	CNC	09/05/01	S	5,400	8.13	10/15/01	Discussed with SEC
	Barr Rosenburg Market Neutral Fund	Bear Stearns Securities 1 Metrotech Center North Brooklyn, NY	SG Cowen	0286		12/16/97	CNC	09/06/01	S	7,200	8.02	10/15/01	Discussed with SEC
	Barr Rosenburg Market Neutral Fund	Bear Stearns Securities, 1 Metrotech Center North Brooklyn, NY	SG Cowen	0286		12/16/97	CNC	09/10/01	S	9,600	7.63	10/15/01	Discussed with SEC
	Barr Rosenburg Market Neutral Fund	Bear Stearns Securities 1 Metrotech Center North Brooklyn, NY	SG Cowen	0286		12/16/97	CNC	09/04/01	S	25,200	8.87	10/15/01	Discussed with SEC
	Barr Rosenburg Market Neutral Fund	Bear Stearns 1 Metrotech Center North Brooklyn, NY	DLJ	0443		12/16/97	TWE	09/10/01	S	2,000	7.31	10/15/01	Discussed with SEC
	Barr Rosenburg Market Neutral Fund	Bear Stearns 1 Metrotech Center North Brooklyn, NY	DLJ	0443		12/16/97	TWE	09/07/01	S	8,000	7.3	10/15/01	Discussed with SEC
(b) (4)	Barracuda Holdings Limited	265 East 66th New York, NY	Goldman Sachs	0005	(b) (4)	03/25/99	AIG	09/05/01	S	615	74.65	10/31/01	
	Barracuda Holdings Limited	265 East 66th New York, NY	Goldman Sachs	0005		03/25/99	HOT	09/05/01	S	560	32.83	10/31/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	02/20/01	AIG	09/04/01	S	562	76	10/03/01	Discussed with SEC
			Salomon Smith Barney	0418		02/20/01	MWD	09/06/01	S	800	50	10/03/01	Discussed with SEC
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Prudential Securities	0030	(b) (6), (b) (7)(C)	12/28/93	HLT	09/10/01	S	2,000	11.18	09/24/01	Address provided to SEC on 9/26/01
(b) (4)	BATHON Char Remainder Unitrust Core a/c c/o Avalon	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005	(b) (4)	04/19/01	AIG	09/04/01	S	81	77.5	10/31/01	
	BATHON Char Remainder Unitrust Core a/c c/o Avalon	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AIG	09/07/01	S	81	74.2	10/31/01	
	BATHON Char Remainder Unitrust Core a/c c/o Avalon	700 Louisiana Suite 2610 Houston, TX 77002	Goldman Sachs & Co	0005		04/19/01	AMR	08/15/01	S	356	33.42	10/31/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	11/21/00	AIG	09/07/01	S	4	75.55	10/08/01	New account documents sent to SEC on 10/23/01
			Merrill Lynch, Inc.	0161		11/21/00	LUV	09/07/01	S	19	17.53	10/08/01	See Above
			Merrill Lynch, Inc.	0161		11/21/00	MMC	09/07/01	S	4	87	10/08/01	See Above
			Merrill Lynch, Inc.	0161		11/21/00	ALK	09/07/01	S	11	30.96	10/08/01	See Above
			Merrill Lynch, Inc.	0161		11/21/00	AIG	09/07/01	S	1	72.87	10/08/01	See Above

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	11/21/00	AXA	09/07/01	S	3	23.12	10/08/01	See Above
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)		Merrill Lynch	0161		11/21/00	AIG	09/07/01	S	4	75.55	11/14/01	
			Merrill Lynch	0161		11/21/00	LUV	09/07/01	S	19	17.53	11/14/01	
			Merrill Lynch	0161		11/21/00	MMC	09/07/01	S	4	87	11/14/01	
			Merrill Lynch	0161		11/21/00	AIG	09/07/01	S	1	72.87	11/14/01	
			Merrill Lynch	0161		11/21/00	AXA	09/07/01	S	3	23.12	11/14/01	
			Merrill Lynch	0161		11/21/00	ALK	09/07/01	S	11	30.96	11/14/01	
(b) (4)	BBVA Privanza Bank	Zeltweg 63 Postfach 3930 CH-8021 Zurich Switzerland	UBS Painewebber Inc.	0221	(b) (4)	09/03/99	AIG	09/06/01 09/07/01 09/10/01	S S S	80 150 300	75.14 75.47 72.5	10/03/01	Discussed with SEC
(b) (4)	BEAR STEARNS GLOBAL EQUITY	BEAR STEARNS GLOBAL EQUITY ARBITRAGE FUND LP ATTN: (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) 245 PARK AVENUE 2ND FL NEW YORK NY 10167-0002	Bear Stearns & Co.	0352	(b) (4)	05/26/00	AIG	09/04/01 09/05/01	SS S	800 1,076	77.38 74.8492	10/23/01	Discussed with SEC
(b) (4)	BEAR STEARNS GLOBAL EQUITY	BEAR STEARNS GLOBAL EQUITY ARBITRAGE FUND OFFSHORE LP ATTN: (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) C/O 245 PARK AVENUE 2ND FLOOR NEW YORK NY 10167	Bear Stearns & Co.	0352	(b) (4)	02/21/01	FHR FHRWI	09/04/01-09/10/01	SS SS	93,400 93,400		10/23/01	Discussed with SEC
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	Deutsche Banc Alex Brown	0573	(b) (6), (b) (7)(C)	02/18/99	AIG	09/07/01	S	313	73.55	10/31/01	
			Deutsche Banc Alex Brown	0573		02/18/99	MWD	09/07/01	S	265	48	10/31/01	
			Deutsche Banc Alex Brown	0573		10/25/00	AIG	09/07/01	S	351	73.55	10/31/01	
			Deutsche Banc Alex Brown	0573		10/25/00	MWD	09/07/01	S	307	48	10/31/01	

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(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	Deutsche Banc Alex. Brown Inc.	0573	(b) (6), (b) (7)(C)	04/25/01	AIG	09/10/01	S	110	74.03	11/14/01	
			Deutsche Banc Alex. Brown Inc.	0573		04/25/01	AIG	09/10/01	S	110	74.2	11/14/01	
			Deutsche Banc Alex. Brown Inc.	0573		04/25/01	BA	09/10/01	S	155	44.5	11/14/01	
			Deutsche Banc Alex. Brown Inc.	0573		04/25/01	LUV	09/10/01	S	140	16.99	11/14/01	
			Deutsche Banc Alex. Brown Inc.	0573		04/25/01	MMC	09/10/01	S	120	86.9	11/14/01	
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	06/13/00	AEG	09/10/01	S	190	25.9	11/14/01	
			Salomon Smith Barney	0418		06/13/00	AXA	09/10/01	S	170	23.45	11/14/01	
			Salomon Smith Barney	0418		06/13/00	AIG	09/10/01	S	95	74.48	11/14/01	
			Salomon Smith Barney	0418		06/13/00	BA	09/10/01	S	135	44.31	11/14/01	
			Salomon Smith Barney	0418		06/13/00	LUV	09/10/01	S	135	17.1	11/14/01	
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	Credit Suisse First Boston Corp.	0443	(b) (6), (b) (7)(C)	08/10/01	AIG	09/05/01	S	98	76.5	10/08/01	See Above
			Credit Suisse First Boston Corp.	0443		08/10/01	ALK	09/05/01	S	70	32.5	10/08/01	See Above
			Credit Suisse First Boston Corp.	0443		08/10/01	AXA	09/05/01	S	100	25.5	10/08/01	See Above
			Credit Suisse First Boston Corp.	0443		08/10/01	LEH	09/05/01	S	30	66.65	10/08/01	See Above
			Credit Suisse First Boston Corp.	0443		08/10/01	MWD	09/05/01	S	20	52.5	10/08/01	SEC requested new account documents. (b)(6), (b)(7)(C) account with non-NYSE firm. SEC informed 10/10/01.

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	DLJ	0443	(b) (6), (b) (7)(C)	08/10/01	AIG	09/05/01	S	98	76.5	11/14/01	
			DLJ	0443		08/10/01	ALK	09/05/01	S	70	32.5	11/14/01	
			DLJ	0443		08/10/01	AXA	09/05/01	S	100	25.5	11/14/01	
			DLJ	0443		08/10/01	LEH	09/05/01	S	30	66.65	11/14/01	
			DLJ	0443		08/10/01	MWD	09/05/01	S	20	52.5	11/14/01	
(b) (4)	Bellsouth	Alliance C/O SSB Cust Boston, MA	Merrill Lynch	0161	(b) (4)	12/08/99	AMR	08/27/01	S	200	33.49	10/31/01	Discussed with SEC
	Bellsouth	Alliance C/O SSB Cust Boston, MA	Merrill Lynch	0161		12/08/99	DAL	08/27/01	S	200	40.44	10/31/01	Discussed with SEC
	Bellsouth	c/o Wachovia Bank Winston Salem, NC	Merrill Lynch	0161		07/06/01	DAL	08/31/01	S	100	38.6	10/31/01	Discussed with SEC
	Bellsouth	A/C #(b) (4) C/O Veredus Asset MGMT 660 Dutchmans Lane Louisville, KY	W&D Securities	0535		12/22/00	AAI	09/05/01	S	2500	6.14	10/31/01	Discussed with SEC
	Bellsouth	A/C #(b) (4) C/O Veredus Asset MGMT 660 Dutchmans Lane Louisville, KY	W&D Securities	0535		12/22/00	AAI	09/06/01	S	100	6.15	10/31/01	Discussed with SEC
	Bellsouth	A/C #(b) (4) C/O Veredus Asset MGMT 660 Dutchmans Lane Louisville, KY	W&D Securities	0535		12/22/00	AAI	09/07/01	S	800	6.1	10/31/01	Discussed with SEC
	Bellsouth	A/C #(b) (4) C/O Veredus Asset MGMT 660 Dutchmans Lane Louisville, KY	W&D Securities	0535		12/22/00	AAI	09/10/01	S	6700	5.74	10/31/01	Discussed with SEC
	Bellsouth	Master Pension a/c (b) (4) 1 Metrotech Center Brooklyn, NY	Goldman Sachs	0005		06/12/98	UAL	09/06/01	SS	15800	31.85	10/31/01	Discussed with SEC
	Bellsouth	Bear Stearns Employee Health Care 1 Metrotech Center Brooklyn, NY	Goldman Sachs	0005		06/12/98	UAL	09/06/01	SS	2100	31.85	10/31/01	Discussed with SEC

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(b) (4)	Bellsouth	Master Pension 1 Metrotech Center Brooklyn, NY	Weiss Peck & Greer	0022	(b) (4)	02/05/97	LUV	09/06/01	S	94100	17.72	10/31/01	Discussed with SEC
	Bellsouth	State Street Bank Bellsouth Retirement SVGS 4220 Waterford Drive Suwanee, GA	Charles Schwab	0164		10/13/99	AIG	09/06/01	B	100	74	10/31/01	Discussed with SEC
	Bellsouth	Bellsouth /Master Pension Trust State Street Bank & Trust One Enterprise Drive N Quincy, MA	Goldman Sachs	0005		03/09/94	HLT	09/06/01	B	5000	12.13	10/31/01	Discussed with SEC
	Bellsouth	Bellsouth /Master Pension Trust State Street Bank & Trust One Enterprise Drive N Quincy, MA	Goldman Sachs	0005		03/09/94	RTN	09/06/01	B	1000	26.78	10/31/01	Discussed with SEC
	Bellsouth	C/O Westpeak Inv Advisors 1011 Walnut Street Boulder, CO	Bear Stearns	0352		01/31/97	BA	09/06/01	B	1500	49.65	10/31/01	Discussed with SEC
	Bellsouth	C/O Westpeak Inv Advisors 1011 Walnut Street Boulder, CO	Bear Stearns	0352		01/31/97	DAL	09/06/01	SS	5200	38.2	10/31/01	Discussed with SEC
	Bellsouth	C/O Westpeak Inv Advisors 1011 Walnut Street Boulder, CO	Bear Stearns	0352		01/31/97	LUV	09/06/01	SS	94100	17.72	10/31/01	Discussed with SEC
	Bellsouth	C/O Westpeak Inv Advisors 1011 Walnut Street Boulder, CO	Bear Stearns	0352		01/31/97	UAL	09/06/01	SS	15800	31.85	10/31/01	Discussed with SEC
	Bellsouth	C/O Clarion CRA Securities 259 Radnor Chester Road Randor, PA	First Union Securities	0250		06/10/99	HOT	09/07/01	S	3300	29.99	10/31/01	Discussed with SEC
	Bellsouth	C/O Clarion CRA Securities 259 Radnor Chester Road Randor, PA	First Union Securities	0250		06/10/99	HOT	09/01/01	S	12200	29.23	10/31/01	Discussed with SEC
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	10/24/91	AMR	09/07/01 09/07/01	S S	2000 5000	30.08 30.25	10/08/01	New account documents; statements provided to SEC 10/23/01
			Merrill Lynch	0161		03/14/00	AIG	09/10/01	S	36	74.26	11/14/01	

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch	0161	(b) (6), (b) (7)(C)	03/14/00	BA	09/10/01	S	21	43.75	11/14/01	
			Merrill Lynch	0161		03/14/00	DAL	08/30/01	S	12	38.8654	11/14/01	
			Merrill Lynch	0161		03/14/00	HLT	09/10/01	S	74	11.32	11/14/01	
			Merrill Lynch	0161		03/14/00	XL	09/10/01	S	18	81.42	11/14/01	
(b) (4)	Big Wall Limited Ref:Co-30361	Cititrust (Bahamas) Limited, PO Box N-1576, Bahamas	Salomon Smith Barney	0418	(b) (4)	09/04/01	RTN	09/10/01	B	310	24.39	10/10/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	PaineWebber Inc.	0221	(b) (6), (b) (7)(C)	09/22/00	AIG	09/10/01	S	55	72.5	11/14/01	
			PaineWebber Inc.	0221		09/22/00	AIG	09/10/01	S	30	72.5	11/14/01	
			PaineWebber Inc.	0221		09/22/00	BA	09/10/01	S	45	44.9	11/14/01	
			PaineWebber Inc.	0221		09/22/00	LUV	09/10/01	S	45	16.74	11/14/01	
			PaineWebber Inc.	0221		09/22/00	MMC	09/10/01	S	35	86	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	08/03/01	RTN	09/06/01	B	60	25.97	11/14/01	
			Salomon Smith Barney	0418		08/03/01	RTN	09/06/01	B	60	25.97	11/14/01	
(b) (4)	Bipiemme Gestioni Sgr Spa A/C America	Gallevia de Cristoferis 1 Milan 20122 Italy	Deutsche Bank Alex Brown Inc.	0573	(b) (4)	12/04/00	XL	09/10/01	S	30000	81.5	10/31/01	New Account documents and occupation sent to SEC on
	Bipiemme Gestioni Sgr Spa A/C Globale	Gallevia de Cristoferis 1 Milan 20122 Italy	Deutsche Bank Alex Brown Inc.	0573		12/04/00	XL	09/10/01	S	13000	81.5	10/31/01	Discussed with SEC
	Bipiemme Gestioni Sgr Spa A/C Internazionale	Gallevia de Cristoferis 1 Milan 20122 Italy	Deutsche Bank Alex Brown Inc.	0573		12/04/00	XL	09/10/01	S	16000	81.5	10/31/01	Discussed with SEC
	Bipiemme Gestioni Sgr Spa A/C Visconto	Gallevia de Cristoferis 1 Milan 20122 Italy	Deutsche Bank Alex Brown Inc.	0573		12/04/00	XL	09/10/01	S	7000	81.5	10/31/01	Discussed with SEC
(b)(4)	Bizar D'Alessandro Shustak and Martin Profit Sharing Trust U/A 12/01/1988	1350 Avenue of the Americas, New York, NY 10019	Merrill Lynch	0161	(b)(4)	03/19/93	AIG	09/06/01	S	16	75.02	11/14/01	
	Bizar D'Alessandro Shustak and Martin Profit Sharing Trust U/A 12/01/1988	1350 Avenue of the Americas, New York, NY 10019	Merrill Lynch	0161		03/19/93	BA	09/06/01	S	9	49.55	11/14/01	
	Bizar D'Alessandro Shustak and Martin Profit Sharing Trust U/A 12/01/1988	1350 Avenue of the Americas, New York, NY 10019	Merrill Lynch	0161		03/19/93	DAL	08/31/01	S	6	38.646	11/14/01	
	Bizar D'Alessandro Shustak and Martin Profit Sharing Trust U/A 12/01/1988	1350 Avenue of the Americas, New York, NY 10019	Merrill Lynch	0161		03/19/93	HLT	09/06/01	S	33	12.04	11/14/01	

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(b)(4)	Bizar D'Alessandro Shustak and Martin Profit Sharing Trust U/A 12/01/1988	1350 Avenue of the Americas, New York, NY 10019	Merrill Lynch	0161	(b)(4)	03/19/93	XL	09/06/01	S	8	81.27	11/14/01	
(b) (4)	Blazer	Morgan Stanley & Co One Pierrepont Plaza Brooklyn, NY	SG Cowen Securities	0286	(b) (4)	05/29/98	CNC	09/07/01	S	6,300	7.11	10/08/01	Discussed with SEC
	Blazer	Morgan Stanley & Co One Pierrepont Plaza Brooklyn, NY	SG Cowen Securities	0286		05/29/98	CNC	09/06/01	S	10,800	8.02	10/08/01	Discussed with SEC
	Blazer	Morgan Stanley & Co One Pierrepont Plaza Brooklyn, NY	SG Cowen Securities	0286		05/29/98	CNC	09/05/01	S	12,600	8.13	10/08/01	Discussed with SEC
	Blazer	Morgan Stanley & Co One Pierrepont Plaza Brooklyn, NY	SG Cowen Securities	0286		05/29/98	CNC	09/10/01	S	13,500	7.63	10/08/01	Discussed with SEC
	BNP Securities Inc.	Block Trading Account Attn: (b) (6), (b) (7)(C) 555 Croton Road King of Prussia, PA	BNP Paribas Brokerage Service	0049		05/29/98	BA	09/07/01	S	10,400	46.7	10/08/01	
	BNP Securities Inc.	Block Trading Account Attn: (b) (6), (b) (7)(C) 555 Croton Road King of Prussia, PA	BNP Paribas Brokerage Service	0049		05/29/98	BA	09/07/01	S	14,600	46.7	10/08/01	
(b) (4)	BOO Capital Management	Banc of America Securities 655 Montgomery St San Francisco, CA	Deutsche Banc Alex Brown	0573	(b) (4)	10/03/00	DAL	09/07/01	SS	2700	37.06	10/23/01	Discussed with SEC
	BOO Capital Management	Banc of America Securities 655 Montgomery St San Francisco, CA	Deutsche Banc Alex Brown	0573		10/03/00	UAL	09/10/01	SS	6500	30.46	10/23/01	Discussed with SEC
(b) (6), (b) (7)(C)			DLJ	0443	(b) (6), (b) (7)(C)		AMR	9/7/01	S	1,250		09/28/01	Account Statements from 6/01 to 9/01; new account doucments sent to SEC on 10/10/01
(b) (4)	BOSTON SAFE DEPOSIT & TRUST CU FAO IRIDIAN ASSET MGMT-0156	A/C (b) (4) 135 SANTILLI HWY EVERETT MA 02149-1906	Credit Suisse First Boston Corp.	0443	(b) (4)	2/16/00	CNC	09/07/01	S	700	6.945	10/08/01	
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690	(b) (4)	06/20/01	HOT	09/05/01	B	100	32.71	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/10/01	SS	200	29.6	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/07/01	B	200	29.99	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/10/01	SS	400	29.9	10/10/01	Discussed with SEC

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(b) (4)	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690	(b)(4)	06/20/01	HOT	09/07/01	B	500	30.22	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/07/01	B	1,000	30.2	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/06/01	B	1,000	31.03	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/06/01	B	1,000	31.16	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/06/01	B	1,000	31.85	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/06/01	B	1,000	32.02	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/06/01	B	1,000	32.05	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/06/01	B	1,000	32.1	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/05/01	B	1,000	32.63	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/07/01	B	1,100	30	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/10/01	SS	1,300	29.71	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/10/01	SS	1,500	29.91	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/10/01	SS	1,600	29.92	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/10/01	SS	2,000	29.23	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/10/01	SS	2,000	29.3	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/10/01	SS	2,000	29.35	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/10/01	SS	2,000	29.41	10/10/01	Discussed with SEC
(b) (4)	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/10/01	SS	2,000	29.53	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/10/01	SS	2,000	29.7	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/10/01	SS	2,000	29.85	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/10/01	SS	2,500	29.86	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/06/01	B	2,500	31.08	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		06/20/01	HOT	09/06/01	B	3,000	31.1	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690	(b) (4)	06/20/01	HOT	09/06/01	S	16,000	31.1	10/10/01	Discussed with SEC

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(b) (4)	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690	(b) (4)	05/03/01	LEH	09/06/01	S	200	64.44	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		05/03/01	LEH	09/06/01	S	800	64.07	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		05/03/01	MWD	09/06/01	S	340	50.1	10/10/01	Discussed with SEC
	Bowery Capital LLC G4J	440 S. LaSalle Street, Chicago, IL 60605	First Options of Chicago	0690		05/03/01	MWD	09/06/01	S	900	50.1	10/10/01	Discussed with SEC
	Brandis Investment Partners LP	San Diego, CA & Geneva , Switzerland	MULTIPLE FIRMS		389 Account #s		MULT		B/S			10/02/01	Faxed information on Brandes accounts to SEC on 10/15/01
(b) (4)	Bridge R Capital	Morgan Stanley & Co 1221 Ave of the Americas New York, NY	Spear Leads & Kellogg	0501	(b) (4)	06/27/00	CNC	09/07/01	SS	50000	7.41	10/23/01	Discussed with SEC
	Bridge R Capital	Morgan Stanley & Co 1221 Ave of the Americas New York, NY	Spear Leads & Kellogg	0501		06/27/00	CNC	09/10/01	SS	50000	7.5	10/23/01	Discussed with SEC
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	UBS Painewebber Inc.	0221	(b) (6), (b) (7)(C)	11/21/96	CNC	9/5/01 9/10/01 9/10/01	SS SS SS	1000 2000 1000	8.15 7.39 7.59	10/01/01	
(b) (4)	BT Pyramid Diversied Sash Fund, Attn: (b) (6), (b) (7)(C)	130 Liberty Street, 23rd Floor, New York, NY 10006-1105	Morgan Stanley and Co.	0050	(b) (4)	05/20/96	DAL	08/27/01	SS	600	40.405	11/14/01	
	BT Pyramid Diversied Sash Fund, Attn (b) (6), (b) (7)(C)	130 Liberty Street, 23rd Floor, New York, NY 10006-1105	Morgan Stanley and Co.	0050		05/20/96	UAL	08/23/01	S	660	33.147	11/14/01	
	BT Pyramid Diversied Sash Fund, Attn (b) (6), (b) (7)(C)	130 Liberty Street, 23rd Floor, New York, NY 10006-1105	Morgan Stanley and Co.	0050		05/20/96	UAL	08/24/01	S	240	33.3504	11/14/01	
	BT Pyramid Diversied Sash Fund, Attn: (b) (6), (b) (7)(C)	130 Liberty Street, 23rd Floor, New York, NY 10006-1105	Morgan Stanley and Co.	0050		05/20/96	UAL	08/27/01	SS	800	34.007	11/14/01	
(b) (6), (b) (7)(C)		Dean Witter Reynolds Cust IRA Rollover dated 3/6/00 9171 Oak Tree Court Frederick, MD	MS Dean Witter	0015	(b) (6), (b) (7)(C)	03/06/00	AXA	09/07/01	S	80	23.25	10/31/01	
(b) (6), (b) (7)(C)		Dean Witter Reynolds Cust IRA Standard dated 5/10/00 (b)(6), (b)(7) (b)(6), (b)(7)(C)	MS Dean Witter	0015	(b) (6), (b) (7)(C)	05/10/00	LUV	09/07/01	S	90	17.53	10/31/01	
(b) (6), (b) (7)(C)		Dean Witter Reynolds Cust IRA Standard dated 5/10/00 (b)(6), (b)(7) (b)(6), (b)(7)(C)	MS Dean Witter	0015	(b) (6), (b) (7)(C)	05/10/00	AXA	09/07/01	S	32	23.25	10/31/01	

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(b) (6), (b) (7)(C)		SSB IRA Custodian SSB Large Growth Managed (b)(6), (b)(6), (b) (7)(C) b)(7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	05/17/01	AIG	09/07/01	S	200	73.37	10/08/01	
		SSB IRA Custodian (b)(6), (b) (7)(C)	Salomon Smith Barney	0418		06/29/00	AIG	09/07/01	S	103	73.44	10/08/01	
		SSB IRA Custodian (b)(6), (b)(7) (C)	Salomon Smith Barney	0418		06/29/00	MWD	09/07/01	S	90	48.01	10/08/01	
		SSB IRA Custodian Lazard International (b)(6), (b) (7)(C)	Salomon Smith Barney	0418		07/18/00	AEG	09/07/01	S	110	25.6	10/08/01	
		SSB IRA Custodian Lazard International (b)(6), (b)(7) (C)	Salomon Smith Barney	0418		07/18/00	AXA	09/07/01	S	100	23.46	10/08/01	
		SSB IRA Custodian Lord Abbott (b)(6), (b) (7)(C)	Salomon Smith Barney	0418		07/18/00	AMR	09/07/01	S	143	30.23	10/08/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	06/29/00	AIG	09/07/01	S	103	73.4399	11/14/01	
			Salomon Smith Barney	0418		06/29/00	MWD	09/07/01	S	90	48.0134	11/14/01	
			Salomon Smith Barney	0418		07/18/00	AEG	09/07/01	S	110	25.6	11/14/01	
			Salomon Smith Barney	0418		07/18/00	AXA	09/07/01	S	100	23.46	11/14/01	
			Salomon Smith Barney	0418		05/17/01	AIG	09/07/01	S	220	73.37	11/14/01	
			Salomon Smith Barney	0418		07/18/00	AMR	09/07/01	S	143	30.23	11/14/01	
(b) (4)	Cabato Sim Spa	VIA Arrigo Boito 7, 20121 Milian, Italy	Bear Stearns	0352	(b) (4)	11/15/00	LLL	09/10/01	B	370	62.7	10/10/01	Discussed with SEC
	Camden Asset	Attn: St. Albans Partners 1049 Century Park E Ste. 330 Los Angeles, CA 90067	Salomon Smith Barney	0418	(b) (4)	08/12/97	HOT	09/10/01	SS	35,600	29.85	10/01/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch	0161	(b) (6), (b) (7)(C)	01/18/82	LLL	09/04/01	B	50	66.1	11/14/01	
			Merrill Lynch	0161		01/18/82	RTN	09/04/01	B	100	26.93	11/14/01	

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(b) (4)	Capital Guardian The Falkirk Counsel - Scotland	AC (b) (4) PO Box 30347 Los Angeles, CA 90030	UBS Warburg	0642	(b) (4)	08/15/01	RTN	09/04/01	B	32,000	26.9578	09/28/01	Discussed with SEC
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	418	(b) (6), (b) (7)(C)	02/17/99	AIG BA BA BA DAL MWD MWD RTN	09/07/01 09/07/01 09/07/01 09/07/01 09/07/01 09/07/01 09/07/01 09/07/01	S S S S S S S B	59 14 40 43 46 2 89 47	73.45 45.3 45.3 45.3 37.67 47.85 47.85 24.85	11/14/01	
(b) (4)	Carlson Capital Omnibus Merrill Lynch	ATTN Prime Brokerage Divison 100 Church St. 18Th Fl. Boston MA 02132	Fleet Securities, Inc.	0158	(b) (4)	07/26/99	LEH	09/07/01	S	45,000	62.1633	10/08/01	
(b) (4)	Carr Shepards Crosthwaite LTD	2 Gresham St EC2V 7QN	Spear Leeds & Kellogg	0501	(b) (4)	06/22/98	AIG	09/10/01	S	150	72.5	11/14/01	
	Carr Shepards Crosthwaite LTD	2 Gresham St EC2V 7QN	Spear Leeds & Kellogg	0501		06/22/98	LEH	09/07/01	S	600	62.85	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	08/04/99	AIG	09/07/01	S	152	72.84	10/08/01	
			Salomon Smith Barney	0418		08/04/99	MWD	09/07/01	S	270	47.61	10/08/01	
(b) (4)	Catholic Healthcare	Putnam Fiduciary Trust TR #3JX 99 High St Boston MA	Banc of America Securities Montgomery Division	0773	(b) (4)	10/26/99	AIG	9/4/01 - 9/6/01	S	1600		10/31/01	
	Catholic Healthcare	Mellon Equity Assoc Investment Trust 500 Grant st Pittsburgh, PA	Goldman Sachs	0005		04/29/98	AMR	08/31/01	S	100	31.99	10/31/01	
	Catholic Healthcare	Mellon Equity Assoc Investment Trust 500 Grant st Pittsburgh, PA	Goldman Sachs	0005		04/29/98	DAL	08/31/01	S	100	38.6	10/31/01	
	Catholic Healthcare	Mellon Equity Assoc Investment Trust 500 Grant st Pittsburgh, PA	Goldman Sachs	0005		10/13/98	AIG	09/05/01	S	1300	73.99	10/31/01	
	Catholic Healthcare	Mellon Equity Assoc Investment Trust 500 Grant st Pittsburgh, PA	Goldman Sachs	0005		10/13/98	AMR	09/05/01	S	100	31.99	10/31/01	
	Catholic Healthcare	Mellon Equity Assoc Investment Trust 500 Grant st Pittsburgh, PA	Goldman Sachs	0005		10/13/98	DAL	09/05/01	S	100	38.95	10/31/01	

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(b) (4)	Catholic Healthcare	Mellon Equity Assoc Investment Trust 500 Grant st Pittsburgh, PA	Goldman Sachs	0005	(b) (4)	10/13/98	LUV	09/05/01	S	400	17.78	10/31/01	
	Catholic Healthcare	Mellon Equity Assoc Investment Trust 500 Grant st Pittsburgh, PA	Goldman Sachs	0005		10/13/98	MMC	09/05/01	S	100	91.88	10/31/01	
	CDC-LTD Attn: (b) (6), (b) (7)(C)	De Ruyterkade 62 P.O. Box 812, Curacao Netherlands Antilles	Morgan Stanley	0050		12/06/91	UAL	08/30/01	SS	2,300	32.5374	11/14/01	
	CDC-LTD Attn: (b) (6), (b) (7)(C)	De Ruyterkade 62 P.O. Box 812, Curacao Netherlands Antilles	Morgan Stanley	0050		12/06/91	UAL	09/05/01	SS	3,400	32.31	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	UBS PaineWebber	0221	(b) (6), (b) (7)(C)	05/20/99	U	09/07/01	SS	700	11.91	11/14/01	
			UBS PaineWebber	0221		05/20/99	U	09/07/01	SS	100	11.96	11/14/01	
			UBS PaineWebber	0221		05/20/99	UAL	09/07/01	SS	500	31.57	11/14/01	
(b) (4)	Centurion Partners LP	Morgan Stanley 1221 Ave of Americas 28th FL New York, NY 10020	Bear Stearns & Co.	0352	(b)(4)	11/07/96	HLT	09/07/01	SS	55,500	11.7527	10/01/01	Discussed with SEC
	Centurion Partners LP	Morgan Stanley 1221 Ave of Americas 28th FL New York, NY 10020	Bear Stearns & Co.	0352		11/07/96	HLT	09/06/01	SS	94,500	11.9948	10/01/01	Discussed with SEC
	Centurion Partners LP	Attn: (b) (6), (b) (7)(C) 152 West 57th St. 38Fl. New York, NY 10019	Morgan Stanley & Co.	0050		04/02/96	HOT	09/06/01	SS	15,000	31.5929	10/01/01	Discussed with SEC
	Centurion Partners LP Execution	Attn: (b) (6), (b) (7)(C) One Pierpoint Plaza, 10Th Fl. Brooklyn, NY 11201	Morgan Stanley & Co.	0050		04/02/96	HOT	09/06/01	SS	40,000	31.5929	10/01/01	Discussed with SEC
	Cerro Ltd Ref Lazards	2 Raffles Link, Marina Bayfront, Singapore 039392	Merrill Lynch	0161		03/21/97	AEG	09/04/01	S	745	28.5	10/15/01	Discussed with SEC
	Cerro Ltd Ref Lazards	2 Raffles Link, Marina Bayfront, Singapore 039392	Merrill Lynch	0161		03/21/97	RTN	09/05/01	B	1,330	26.9187	10/15/01	Discussed with SEC
	Chancellor Dougall & Co Inc.	DGLS C/O Silverman Brothers	US Clearing Corp.	0158		03/26/97	BA	09/04/01	S	15000	49.95	10/23/01	
	Chase Bank (UIT's)	Attn: (b) (6), (b) (7)(C) 4 New York PLZ 6th Fl New York, NY	US Clearing Corp.	158	35 Accounts 10 Securities	Accounts opened in March and September 2001	Details Faxed to the SEC on October 10, 2001					11/14/01	

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(b) (4)	CHASE LINCOLN FIRST	CHASE LINCOLN FIRST, NA SECURITY OPERATIONS PO BOX 1412 ROCHESTER NY 14603	Merrill Lynch & Co.	161	(b) (4)	01/08/93	AIG BA	09/05/01 09/10/01	B S	100 2500	74 44.42	11/14/01	
(b) (4)	CHASE LINCOLN FIRST BANK	CHASE LINCOLN FIRST BANK TRADING DESK P.O. BOX 1412	BNY, ESI & Co.	100	(b) (4)	04/25/91	AMR DAL AIG AIG AIG AIG XL AIG AIG AIG AIG BA DAL	08/23/01 08/29/01 09/05/01 09/07/01 09/07/01 09/07/01 09/07/01 09/10/01 09/10/01 09/10/01 09/10/01 09/10/01 09/10/01	S S S S S S S S S S S S S	50 200 300 93 187 100 51 300 137 100 300 200 200	32.1 39.22 73.9 73.1 75 75.55 80.8 73.5 74 74.1 74.43 43.96 37.46	11/14/01	
(b) (4)	CHASE LINCOLN FIRST BANK ROCHE	CHASE LINCOLN FIRST BANK ROCHE 28E MISC. ATTN: SECURITIES OPERATIONS P O BOX 1412	BNY, ESI & Co.	100	(b) (4)	03/20/90	AIG	09/10/01	B	800	74.19	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Prudential Securities	0030	(b) (6), (b) (7)(C)	08/24/01	RTN	09/06/01	B	225	26	11/14/01	
			Salomon Smith Barney	0418		08/31/01	RTN	09/10/01	B	245	24.55	10/15/01	Discussed with SEC
(b) (4)	(b) (6), (b) (7)(C) - Chen Hsong Holdings Ltd.	9-15 Dai Wang Street, Tai Po Industral Estate, Tai Po, N.T. Hong Kong	Salomon Smith Barney	0418	(b) (4)	08/21/01	RTN	09/07/01	B	210	25.96	10/15/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Raymond James & Associates, Inc.	0725	(b) (6), (b) (7)(C)	01/21/99	LUV	09/10/01	S	45	17.09	10/08/01	
			Raymond James & Associates, Inc.	0725		09/06/01	RTN	09/07/01	B	105	25.95	10/08/01	
(b) (4)	Chicago Securities Group Layoff Account # 38	Attn: (b) (6), (b) (7)(C) 101 Montgomery St. San Francisco, CA 94104	Charles Schwab & Co.	0164	(b) (4)	04/13/94	BA	09/04/01-09/10/01	S	55,200		09/27/01	See Above
	Chicago Securities Group Layoff Account # 38	Attn: (b) (6), (b) (7)(C) 101 Montgomery St. San Francisco, CA 94104	Charles Schwab & Co.	0164		04/13/94	BA	09/04/01-09/10/01	B	55,200		09/27/01	See Above
	Chicago Securities Group Layoff Account # 38	Attn: (b) (6), (b) (7)(C) 101 Montgomery St. San Francisco, CA 94104	Charles Schwab & Co.	0164		04/13/94	DAL	09/04/01-09/10/01	B	18,100		09/27/01	See Above
	Chicago Securities Group Layoff Account # 38	Attn: (b) (6), (b) (7)(C) 101 Montgomery St. San Francisco, CA 94104	Charles Schwab & Co.	0164		04/13/94	DAL	09/04/01-09/10/01	S	18,100		09/27/01	See Above

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(b) (4)	Chicago Securities Group Layoff Account # 38	Attn: (b) (6), (b) (7)(C) 101 Montgomery St. San Francisco, CA 94104	Charles Schwab & Co.	0164	(b) (4)	04/13/94	U	09/04/01-09/10/01	B	4,500		09/27/01	Intercase Analysis sent to SEC on 9/27/01
	Chicago Securities Group Layoff Account # 38	Attn (b) (6), (b) (7)(C) 101 Montgomery St. San Francisco, CA 94104	Charles Schwab & Co.	0164		04/13/94	U	09/04/01-09/10/01	S	4,500		09/27/01	See Above
	Children's Defense Fund ATTN: (b) (6), (b) (7)(C)	25. E. St., NW Washington DC 200011522	Morgan Stanley	0050		03/03/95	AMR	08/22/01	SS	1,200	32.0031	11/14/01	
	Children's Defense Fund ATTN: (b) (6), (b) (7)(C)	25. E. St., NW Washington DC 200011522	Morgan Stanley	0050		03/03/95	UAL	08/22/01	SS	1,100	33.74	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	08/29/01	RTN	09/05/01	B	55	27.13	11/14/01	
			Salomon Smith Barney	0418		08/29/01	RTN	09/05/01	B	55	27.13	11/14/01	
(b) (4)	CIL 4537 - Spicers Fund Ut 28	333 South Hope Street, Los Angeles, CA 90071	W & D Securities	0535	(b) (4)	11/26/99	RTN	09/04/01	B	4,100	26.6	10/15/01	Discussed with SEC
(b) (4)	Citadel Equi	Bear Sterns FAO Citadel Equi C/O Bear Sterns Securities Co. One Metro Tech North Prime Broker Department, 5TH FL Brooklyn, NY 11201	First Union Capital Markets	0250	(b) (4)	04/30/01	AIG	09/04/01	S	870,823	76.75	10/23/01	Discussed with SEC
(b) (4)	Citadel Equi	Goldman Sachs FAO Citadel Equi C/O Goldman Sachs & Co. Global Securities Srvcs/Prime PO Box 1113, Church St. Sta. New York, NY 10008	First Union Capital Markets	0250	(b) (4)	05/01/01	AIG	09/04/01	S	1,307,511	76.75	10/23/01	Discussed with SEC
(b) (4)	Citadel Equity Fund (CEF) Citadel Investment Group, LLC	Citadel Equity Fund (CEF) Citadel Investment Group, LLC 129 Front St. Hamilton HM12, Bermuda	Salomon Smith Barney, Inc	0418	(b) (4)	03/30/01	AIG	09/04/01 09/04/01	S S	41,573 45,913	76.75 76.95	10/23/01	Discussed with SEC
(b) (4)	Citadel Equity Fund LTD	Bear Sterns P/B Citadel Equity Fund LTD One Metro Tech North Brooklyn, NY 11201	UBS Warburg LLC	0642	(b) (4)	04/27/01	AIG	09/06/01	S	471,222	73 99	10/23/01	Discussed with SEC

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(b) (4)	Citadel Equity Fund LTD	Salomon Smith Barney FAO Citadel Equity Fund LTD ATTN (b) (6), (b) (7)(C) Prime Broker Services 390 Greenwich St. 4TH FL. New York, NY 10013	Bear Stearns & Co.	0352	(b) (4)	06/20/01	AIG	09/04/01	S	45,913	76.95	10/23/01	Discussed with SEC
(b) (4)	Citadel Investment	Salomon Smith Barney FAO Citadel Investment ATTN (b) (6), (b) (7)(C) Prime Broker Svcs 390 Greenwich St. 4TH FL. New York, NY 10013	Bear Stearns & Co.	0352	(b) (4)	03/20/00	AIG	09/04/01	S	49,800	76.95	10/23/01	Discussed with SEC
(b) (4)	Citco Fund Services	Acct 3 Kaya Flamboyan Willemstad, Curacao Netherlands Antilles	Goldman Sachs	0005	(b) (4)	07/10/92	CNC	9/4/01 - 9/10/01	SS	316200		10/31/01	Discussed with SEC
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	07/26/01	AXA	09/06/01	S	240	23.58	10/15/01	
			Salomon Smith Barney	0418		07/26/01	XL	09/06/01	S	65	81.58	10/15/01	
(b) (4)	City of Pittsburgh Pension A/C (b) (4) C/O Mellon Bank	Po Box 360-602M Pittsburgh, PA 15230	W & D Securities, Inc.	0535	(b) (4)	12/13/94	AIG	09/04/01	S	1200	77.4995	11/14/01	
	City of Pittsburgh Pension A/C (b) (4) C/O Mellon Bank	Po Box 360-602M Pittsburgh, PA 15230	W & D Securities, Inc.	0535		12/13/94	AIG	09/05/01	S	1200	74.5567	11/14/01	
	City of Pittsburgh Pension A/C (b) (4) C/O Mellon Bank	Po Box 360-602M Pittsburgh, PA 15230	W & D Securities, Inc.	0535		12/13/94	BA	09/04/01	S	2500	50.8608	11/14/01	
	City of Pittsburgh Pension A/C (b) (4) C/O Mellon Bank	Po Box 360-602M Pittsburgh, PA 15230	W & D Securities, Inc.	0535		12/13/94	BA	09/05/01	S	2500	50.178	11/14/01	
	City of Pittsburgh Pension A/C (b) (4) C/O Mellon Bank	Po Box 360-602M Pittsburgh, PA 15230	W & D Securities, Inc.	0535		12/13/94	CAL	09/04/01	S	1100	44.2073	11/14/01	
	City of Pittsburgh Pension A/C (b) (4) C/O Mellon Bank	Po Box 360-602M Pittsburgh, PA 15230	W & D Securities, Inc.	0535		12/13/94	CAL	09/05/01	S	1100	43.1873	11/14/01	
	City of Pittsburgh Pension A/C (b) (4) C/O Mellon Bank	Po Box 360-602M Pittsburgh, PA 15230	W & D Securities, Inc.	0535		12/13/94	LLL	09/04/01	S	600	66.4217	11/14/01	

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(b) (4)	City of Pittsburgh Pension A/C (b) (4) C/O Mellon Bank	Po Box 360-602M Pittsburgh, PA 15230	W & D Securities, Inc.	0535	(b) (4)	12/13/94	LLL	09/05/01	S	700	65.5821	11/14/01	
	City of Pittsburgh Pension A/C (b) (4) C/O Mellon Bank	Po Box 360-602M Pittsburgh, PA 15230	W & D Securities, Inc.	0535		12/13/94	LUV	09/04/01	S	2800	18.5654	11/14/01	
	City of Pittsburgh Pension A/C (b) (4) C/O Mellon Bank	Po Box 360-602M Pittsburgh, PA 15230	W & D Securities, Inc.	0535		12/13/94	LUV	09/05/01	S	2900	17.77	11/14/01	
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	UBS Painewebber	0221	(b) (6), (b) (7)(C)	01/23/01	AIG	09/10/01	S	20	73.96	10/08/01	
			UBS Painewebber	0221		01/23/01	BA	09/10/01	S	30	45.11	10/08/01	
			UBS Painewebber	0221		01/23/01	LUV	09/10/01	S	22	17.02	10/08/01	
			UBS Painewebber	0221		01/23/01	MMC	09/10/01	S	25	87.41	10/08/01	
			UBS Painewebber	0221		01/23/01	LUV	09/10/01	S	150	17.02	10/08/01	
			UBS Painewebber	0221		08/21/98	BA	09/07/01	S	10	46.89	10/08/01	
(b) (4)	Clariden Bank	Postfach 5080 Claridenstr 26 CH-8022 Zurich	Credit Suisse First Boston Corp.	0443	(b) (4)	04/30/98	CNC	09/04/01	S	500	8.89	10/08/01	Discussed with SEC
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)		Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	08/28/01	AMR	08/29/01	S	20,000	32.5	11/14/01	
			Salomon Smith Barney	0418		08/28/01	AMR	08/29/01	S	20,000	32.6	11/14/01	
			Salomon Smith Barney	0418		08/28/01	AMR	08/30/01	S	100,000	32.0679	11/14/01	
			Salomon Smith Barney	0418		08/28/01	UAL	08/29/01	S	10,000	32.65	11/14/01	
			Salomon Smith Barney	0418		08/28/01	UAL	08/29/01	S	10,000	32.7008	11/14/01	
			Salomon Smith Barney	0418		08/28/01	UAL	08/29/01	S	2,500	32.7024	11/14/01	

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	08/28/01	UAL	08/30/01	S	5,000	32.52	11/14/01	
			Salomon Smith Barney	0418		08/28/01	UAL	08/30/01	S	3,500	32.53	11/14/01	
			Salomon Smith Barney	0418		08/28/01	UAL	08/30/01	S	800	32.7	11/14/01	
			Salomon Smith Barney	0418		08/28/01	UAL	08/30/01	S	700	32.72	11/14/01	
			Salomon Smith Barney	0418		08/28/01	UAL	08/31/01	S	988	32.66	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	US Clearing Corp.	0158	(b) (6), (b) (7)(C)	02/07/83	LUV	09/06/01	S	1,000	17.56	10/10/01	
			US Clearing Corp.	0158		02/07/83	MWD	09/06/01	S	317	51.1	10/10/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	PaineWebber Inc.	0221	(b) (6), (b) (7)(C)	09/13/00	AIG	09/04/01	S	77	77.7	11/14/01	
			PaineWebber Inc.	0221		09/13/00	BA	09/04/01	S	105	51.11	11/14/01	
			PaineWebber Inc.	0221		09/13/00	LUV	09/04/01	S	117	18.65	11/14/01	
			PaineWebber Inc.	0221		09/13/00	MMC	09/04/01	S	80	94.05	11/14/01	
(b) (4)	CMU3 State Street Global	2 International Place Boston, MA	Morgan Stanley & Co	0050	(b) (4)	05/30/00	BA	09/04/01	SS	9,900	50.92	09/25/01	Discussed with SEC
	CMU3 State Street Global	2 International Place Boston, MA	Morgan Stanley & Co.	0050		05/30/00	LLL	09/04/01	B	500	66.07	09/25/01	Discussed with SEC
	Cobalt Partners LP	C/O ABN AMRO Securities Attn (b) (6), (b) (7)(C) 350 Park Avenue New York, NY	ABN AMRO Securities	0425		12/09/94	UAL	08/23/01	S	9,700	33.01	10/15/01	Information on contact for Cobalt sent to SEC on 10/23/01

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Buy(B) Short(SS)/ Long(S)	Volume	Price	SEC Contact Date	Followup
(b) (4)	Cobalt Partners LP	C/O ABN AMRO Securities Attn: (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) 350 Park Avenue New York, NY	ABN AMRO Securities	0425	(b) (4)	12/09/94	UAL	09/10/01	S	9,700	30.66	10/15/01	See Above
(b) (4)	Coldstream Capital (Charles Schwab Prime Broker a/c Coldstream Capital a/c (b) (4) (b) (4)	P.O. Box 52013, Phoenix AZ 85072-2013	Deutsche Bank Alex Brown	0573)	(b) (4)	06/24/98	AIG	09/06/01	S	450	75.14	11/14/01	
(b) (4)	Coldstream Capital (Charles Schwab Prime Broker a/c Coldstream Capital a/c (b) (4) (b) (4)	P.O. Box 52013, Phoenix AZ 85072-2013	Deutsche Bank Alex Brown	0573	(b) (4)	06/24/98	MMC	09/06/01	S	400	90.1	11/14/01	
(b) (6), (b) (7)(C)			Merrill Lynch Pierce Fenner & Smith	0161	(b) (6), (b) (7)(C)	07/08/99	AIG	09/04/01	S	46	77.6	11/14/01	
			Merrill Lynch Pierce Fenner & Smith	0161		07/08/99	LLL	09/05/01	B	10	66.05	11/14/01	
			Merrill Lynch Pierce Fenner & Smith	0161		07/08/99	LUV	09/04/01	S	65	18.04	11/14/01	
			Merrill Lynch Pierce Fenner & Smith	0161		07/08/99	AEG	09/04/01	S	70	28.68	11/14/01	
(b) (6), (b) (7)(C)			Charles Schwab & Co.	0164	(b) (6), (b) (7)(C)	03/07/00	AMR	09/07/01	S	250	29.75	10/08/01	
			Charles Schwab & Co.	0164		03/07/00	BA	09/06/01	S	150	48.87	10/08/01	
(b) (4)	Concord Urology PA Pension/PFT Sharing Trust DTD (b) (6), (b) (7)(C) PAS/Account	248 Pleasant St., Suite 2900 ?,? 03301	Edward (A.G.) & Sons., Inc.	0201	(b) (4)	10/04/00	AIG	09/07/01	S	210	73.09	11/14/01	
	Concord Urology PA Pension/PFT Sharing Trust DTD (b) (6), (b) (7)(C) PAS/Account	248 Pleasant St., Suite 2900 ?,? 03301	Edward (A.G.) & Sons., Inc.	0201		10/04/00	LUV	09/07/01	S	262	16.99	11/14/01	
	Concord Urology PA Pension/PFT Sharing Trust DTD (b) (6), (b) (7)(C) PAS/Account	248 Pleasant St., Suite 2900 ?,? 03301	Edward (A.G.) & Sons., Inc.	0201		10/04/00	AIG	09/07/01	S	190	74.05	11/14/01	
	Concord Urology PA Pension/PFT Sharing Trust DTD (b) (6), (b) (7)(C) PAS/Lazard	248 Pleasant St., Suite 2900 ?,? 03301	Edward (A.G.) & Sons., Inc.	0201		10/04/00	AXA	09/07/01	S	90	23.4	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Prudential Securities, Inc.	0030	(b) (6), (b) (7)(C)	01/01/79	AMR	08/17/01	S	7,000	32.52	10/08/01	See Above

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Prudential Securities, Inc.	0030	(b) (6), (b) (7)(C)	01/01/79	U	09/10/01	S	3,000	11.8	10/08/01	New account documents; statements 7/01-9/01 sent to SEC on 10/16/01
			Prudential Securities, Inc.	0030		01/01/79	UAL	08/17/01	S	4,000	34.25	10/08/01	See Above
			Prudential Securities, Inc.	0030		12/03/84	AMR	08/17/01	S	3,000	32.29	10/08/01	See Above
			Prudential Securities, Inc.	0030		12/03/84	UAL	08/17/01 08/17/01	S S	5700 300	34.12 34.13	10/08/01	See Above
(b) (4)	Consul 20077 LTD	C/O Merrill Lynch Int Bank Ltd. Trust Dep't 2 Raffles Link Marina Bayfront Singapore 039392	Merrill Lynch	0161	(b) (4)	07/27/01	RTN	09/04/01	B	110	27.0452	11/14/01	
	Consul 20120 LTD.	C/O Merrill Lynch Int Bank Ltd. Trust Dep't 2 Raffles Link Marina Bayfront Singapore 039392	Merrill Lynch	0161		03/12/01	RTN	09/04/01	B	80	27.1	11/14/01	
	Consul 20183 LTD.	C/O Merrill Lynch Int Bank Ltd. Trust Dep't 2 Raffles Link Marina Bayfront Singapore 039392	Merrill Lynch	0161		08/29/01	RTN	09/06/01	B	140	26.06	11/14/01	
	Continenetal	Short Account Basket Hedge	Goldman Sachs	0005	(b) (4)	08/27/01	AMR	8/27/01 - 9/7/01	SS	68000		10/31/01	Account information
	Continenetal	Short Account Basket Hedge	Goldman Sachs	0005		08/27/01	DAL	8/27/01 - 9/7/01	SS	254000		10/31/01	See Above
	Continenetal	Short Account Basket Hedge	Goldman Sachs	0005		08/27/01	U	8/27/01 - 9/7/01	SS	70000		10/31/01	See Above
	Continenetal	Short Account Basket Hedge	Goldman Sachs	0005		08/27/01	UAL	8/27/01 - 9/7/01	SS	483600		10/31/01	See Above
	Continental Assurance Company	CNA Plaza Chicago, IL 60685	Merrill Lynch Inc	0161		08/06/96	XL	09/04/01 09/10/01	SS B	5300 300	83 80.14	10/10/01	
	Continental Casualty Co.	P.O. Box 717 Chicago, IL 60690	Merrill Lynch Inc.	0161		04/16/98	XL	09/04/01 09/10/01	SS B	26400 1400	83 80.14	10/10/01	
	Continental Casualty Co.	P.O. Box 717 Chicago, IL 60690	Merrill Lynch Inc.	0161		07/10/95	XL	09/04/01 09/10/01	SS B	5300 300	83 80.14	10/10/01	Discussed with SEC
	Continental Casualty Co. A/C Separate Equity	P.O. Box 717 Chicago, IL 60690	Credit Suisse First Boston Corp	0355		04/17/98	UAL	09/07/01	S	15,000	31.3	10/10/01	Discussed with SEC
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Prudential Securities	0030	(b) (6), (b) (7)(C)	08/29/01	RTN	09/10/01	B	240	24.6	11/14/01	

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(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	Merrill Lynch Pierce Fenner & Smith	0161	(b) (6), (b) (7)(C)	04/26/01	AIG	09/07/01	S	35	74.95	11/14/01	
			Merrill Lynch Pierce Fenner & Smith	0161		04/26/01	LUV	09/07/01	S	75	17.5	11/14/01	
			Merrill Lynch Pierce Fenner & Smith	0161		04/26/01	XL	09/07/01	S	25	80.8	11/14/01	
			Merrill Lynch Pierce Fenner & Smith	0161		04/26/01	AIG	09/07/01	S	39	73.06	11/14/01	
			Merrill Lynch Pierce Fenner & Smith	0161		04/26/01	BA	09/07/01	S	24	44.89	11/14/01	
			Merrill Lynch Pierce Fenner & Smith	0161		04/26/01	DAL	08/30/01	S	14	38.8654	11/14/01	
			Merrill Lynch Pierce Fenner & Smith	0161		04/26/01	HLT	09/07/01	S	83	11.46	11/14/01	
			Merrill Lynch Pierce Fenner & Smith	0161		04/26/01	XL	09/07/01	S	21	80.3	11/14/01	
(b) (4)	Cortopassi Partners, L.P.	11292 North Alpine Road, Stockton, CA 95212-9325	Salomon Smith Barney	0418	(b) (4)	08/01/01	MWD	09/07/01	SS	100	49.06	10/08/01	
	Cortopassi Partners, L.P.	11292 North Alpine Road, Stockton, CA 95212-9325	Salomon Smith Barney	0418		08/01/01	MWD	09/07/01	SS	1,500	49.04	10/08/01	
	Cortopassi Partners, L.P.	11292 North Alpine Road, Stockton, CA 95212-9325	Salomon Smith Barney	0418		08/01/01	MWD	09/07/01	SS	8,400	49.02	10/08/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch	161	(b) (6), (b) (7)(C)	12/21/99	XL	09/06/01	S	38	81.39	11/14/01	
			Merrill Lynch	161		12/21/99	AXA	09/06/01	S	52	23.5	11/14/01	
			Merrill Lynch	161		01/28/00	AEG	09/06/01	S	33	26.76	11/14/01	
			Merrill Lynch	161		01/28/00	AXA	09/06/01	S	30	23.52	11/14/01	
			Merrill Lynch	161		01/28/00	AIG	09/06/01	S	47	75	11/14/01	

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Buy(B) Short(SS)/ Long(S)	Volume	Price	SEC Contact Date	Followup
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	A.G. Edwards & Sons	0201	(b) (6), (b) (7)(C)	08/03/98	AIG	09/07/01 09/10/01	S S	410 215	73.5 74.49	10/15/01	Sent new account documents an account statements from 7/01 to 9/01 to SEC on 10/23/01
			A.G. Edwards & Sons	0201		08/03/98	LUV	09/07/01 09/10/01	S S	530 270	17.12 17.12	10/15/01	See above
(b) (4)	Craig Drill Capital LP Attn: (b) (6), (b) (7)(C)	767 Fifth Ave New York, NY	Morgan Stanley & Co.	0050	(b) (4)	01/27/88	LUV	09/10/01	S	12000	16.92	09/27/01	See above
	Craig Drill Capital LP Attn: (b) (6), (b) (7)(C)	767 Fifth Ave New York, NY	Morgan Stanley & Co.	0050		01/27/88	UAL	09/10/01	SS	6000	30.91	09/27/01	Information on order cancellations sent to SEC on 10/23/01
	Craig Drill Capital LP Attn: (b) (6), (b) (7)(C)	767 Fifth Ave New York, NY	Morgan Stanley & Co.	0050		01/27/88	UAL	08/30/01	SS	6100	32.54	09/27/01	See above
	Craig Drill Capital LP Attn: (b) (6), (b) (7)(C)	767 Fifth Ave New York, NY	Morgan Stanley & Co.	0050		01/27/88	UAL	09/05/01	SS	8900	32.31	09/27/01	See above
	Credit Suisse FB Prime Broker FAO Hampshire Sam Investments	5 World Trade Center 7th Floor New York, NY 10048	Merrill Lynch Inc.	0161		07/20/01	XL	09/04/01	S	46,200	83	10/10/01	Contact name and number sent to SEC on 10/25/01
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch	161	(b) (6), (b) (7)(C)	03/18/99	AIG	09/10/01	S	30	74.42	11/14/01	
			Merrill Lynch	161		03/18/99	AXA	09/10/01	S	25	23.9	11/14/01	
			Merrill Lynch	161		03/18/99	BA	09/10/01	S	20	44.16	11/14/01	
			Merrill Lynch	161		03/18/99	MMC	09/10/01	S	10	86.84	11/14/01	
(b) (4)	Crossbow Partners LP	Attn: (b) (6), (b) (7)(C) 660 Newport Center Drive Newport Beach, CA	Bear Stearns	0352	(b) (4)	05/26/00	FHR	09/04/01	SS	3200	23.62	10/31/01	Discussed with SEC
(b) (6), (b) (7)(C)			Charles Schwab & Co	0164	(b) (6), (b) (7)(C)	06/24/98	AMR	09/07/01	SS	100	29.66	11/14/01	
			Charles Schwab & Co	0164		06/24/98	AMR	09/07/01	SS	150	29.66	11/14/01	
			Charles Schwab & Co	0164		06/24/98	UAL	09/07/01	SS	300	31.09	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	UBS Painewebber Inc.	0221	(b) (6), (b) (7)(C)	07/12/01	AMR	09/04/01	S	110	32.36	10/03/01	Discussed with SEC
			UBS Painewebber Inc.	0221		07/12/01	LUV	09/04/01	S	210	18.4	10/03/01	Discussed with SEC

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	UBS Painewebber Inc.	0221	(b) (6), (b) (7)(C)	07/12/01	RTN	09/04/01	B	150	27.05	10/03/01	Discussed with SEC
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	UBS Painewebber	0221	(b) (6), (b) (7)(C)	08/22/00	HOT	09/04/01	SS	5,000	33.43	10/08/01	
			Charles Schwab & Co	0164		04/13/00	AIG	09/05/01	S	1,000	74.75	11/14/01	
			Charles Schwab & Co	0164		04/13/00	AIG	09/10/01	S	1,000	72.75	11/14/01	
			Charles Schwab & Co	0164		04/13/00	XL	09/04/01	SS	100	82.34	11/14/01	
			Charles Schwab & Co	0164		04/13/00	XL	09/04/01	SS	600	82.34	11/14/01	
			Charles Schwab & Co	0164		04/13/00	XL	09/04/01	SS	100	82.36	11/14/01	
			Charles Schwab & Co	0164		04/13/00	XL	09/04/01	SS	500	82.36	11/14/01	
			Charles Schwab & Co	0164		04/13/00	XL	09/04/01	SS	1200	82.36	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Charles Schwab & Co	0164	(b) (6), (b) (7)(C)	06/13/00	AIG	09/05/01	S	1,000	73.84	11/14/01	
(b) (4)	CYMI-LTD	NTQA(b) (4) PO BOX 92923 Chicago, IL	Salomon Smith Barney	0418	(b) (4)	12/02/99	AIG	09/06/01	S	3,700	75.12	10/08/01	Discussed with SEC
	CYMI-LTD	NTQA(b) (4) PO BOX 92923 Chicago, IL	Salomon Smith Barney	0418		12/02/99	AMR	09/06/01	S	100	31.25	10/08/01	Discussed with SEC
	CYMI-LTD	NTQA(b) (4) PO BOX 92923 Chicago, IL	Salomon Smith Barney	0418		12/02/99	CNC	09/06/01	S	1,100	8	10/08/01	Discussed with SEC
	CYMI-LTD	NTQA(b) (4) PO BOX 92923 Chicago, IL	Salomon Smith Barney	0418		12/02/99	HLT	09/06/01	B	100	12.15	10/08/01	Discussed with SEC
	CYMI-LTD	NTQA(b) (4) PO BOX 92923 Chicago, IL	Salomon Smith Barney	0418		12/02/99	LUV	09/06/01	S	900	17.66	10/08/01	Discussed with SEC
	CYMI-LTD	NTQA(b) (4) PO BOX 92923 Chicago, IL	Salomon Smith Barney	0418		12/02/99	MWD	09/06/01	S	2,900	51.08	10/08/01	Discussed with SEC
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	UBS Painewebber Inc.	0221	(b) (6), (b) (7)(C)	07/19/01	AIG	09/05/01	S	55	75.1	10/01/01	
			Brown & Co. Securities	0785		08/26/99	XL	09/10/01	S	100	80.05	10/03/01	
(b) (4)	Daleo Blue Ltd	PO Box N-1576, Nassau, Bahamas	Salomon Smith Barney	0418	(b) (4)	11/07/00	LLL	09/06/01	B	310	64.85	10/15/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	06/24/97	AIG	09/04/01	S	20	76.96	11/14/01	

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	05/09/97	AIG	09/07/01	S	25	75.55	11/14/01	
			Salomon Smith Barney	0418		05/09/97	LLL	09/07/01	B	35	62.4	11/14/01	
			Salomon Smith Barney	0418		05/09/97	LUV	09/07/01	S	292	17.53	11/14/01	
			Salomon Smith Barney	0418		05/09/97	MWD	09/07/01	S	220	49.05	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	PaineWebber Inc.	0221	(b) (6), (b) (7)(C)	05/15/00	AIG	09/07/00	S	855	75.55	11/14/01	
			PaineWebber Inc.	0221		05/15/00	LUV	09/07/00	S	1000	17.53	11/14/01	
			PaineWebber Inc.	0221		05/15/00	AMR	09/07/00	S	530	30.7	11/14/01	
			PaineWebber Inc.	0221		05/15/00	LUV	09/07/00	S	1010	17.53	11/14/01	
(b) (6), (b) (7)(C)			MS Dean Witter	0015	(b) (6), (b) (7)(C)	07/20/00	AXA	09/05/01	S	78	25.6	10/31/01	
			MS Dean Witter	0015		07/20/00	LUV	09/06/01	S	300	17.51	10/31/01	
			MS Dean Witter	0015		07/20/00	AXA	09/05/01	S	78	25.6	10/31/01	
			MS Dean Witter	0015		07/20/00	LUV	09/06/01	S	300	17.51	10/31/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	UBS PaineWebber	0221	(b) (6), (b) (7)(C)	02/17/00	AIG	09/04/01	S	65	77.5	10/08/01	See Above
			UBS PaineWebber	0221		02/17/00	MMC	09/04/01	S	60	92.88	10/08/01	New account documents and telephone # faxed to SEC on 10/09/01.
			UBS PaineWebber	0221		02/17/00	AXA	09/04/01	S	460	26.15	10/08/01	See Above
			UBS PaineWebber	0221		02/17/00	AIG	09/04/01	S	252	77.5	10/08/01	See Above
			UBS PaineWebber	0221		02/17/00	BA	09/04/01	S	345	51.11	10/08/01	See Above

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	UBS PaineWebber	0221	(b) (6), (b) (7)(C)	02/17/00	LUV	09/04/01	S	312	18.09	10/08/01	See Above
			UBS PaineWebber	0221		02/17/00	MMC	09/04/01	S	275	92.88	10/08/01	See Above
(b) (4)	DBAG MAPS #65, Deephaven Stat Arb Basket	31 W 52nd Street, New York, NY 10019	Deutsche Banc Alex Brown	0573	(b) (4)	06/19/01	CAL	09/04/01	S	100	44.09	10/15/01	
	DBAG MAPS #65, Deephaven Stat Arb Basket	31 W 52nd Street, New York, NY 10019	Deutsche Banc Alex Brown	0573		06/19/01	CAL	09/04/01	S	100	44.21	10/15/01	
	DBAG MAPS #65, Deephaven Stat Arb Basket	31 W 52nd Street, New York, NY 10019	Deutsche Banc Alex Brown	0573		06/19/01	CAL	09/04/01	S	100	44.22	10/15/01	
	DBAG MAPS #67, Deephaven Stat Arb Smith	31 W 52nd Street, New York, NY 10019	Deutsche Banc Alex Brown	0573		06/19/01	AMR	09/10/01	SS	1,300	29.88	10/15/01	
(b) (6), (b) (7)(C)			Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	12/02/99	AIG	09/10/01	S	92	74.17	09/28/01	Discussed with SEC
(b) (6), (b) (7)(C)			Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	12/02/99	MMC	09/10/01	S	60	86.99	09/28/01	New Account documents; account documents 7/01 to 8/01 sent to SEC on 10/10/01. Account documents 6/01 & 9/01 sent to Sec on
(b)(6), (b) (7)(C)	Dean Witter Reynolds Cust. For (b)(6), (b)(7)(C)	2220A Nelson Ave. Redondo Beach, CA 90278-2410	Dean Witter Reynolds Inc.	0015	23301471700	09/19/00	AXA	09/05/01	S	90	25.11	11/14/01	
	Dean Witter Reynolds Cust. For (b)(6), (b)(7)(C)	2220A Nelson Ave. Redondo Beach, CA 90278-2410	Dean Witter Reynolds Inc.	0015	23301471700	09/19/00	RTN	09/05/01	B	80	26.9779	11/14/01	
(b)(4)	Decatur (Delaware Group Decatur Fund Decatur I Series attn Fund Accounting Dept.)	1818 Market Street, 7th floor, Philadelphia PA 19103	Goldman Sachs & Co	0005	(b)(4)	11/15/93	HOT	09/07/01	S	101,300	30.0976	10/08/01	
	Decatur (Delaware Group Decatur Fund Decatur I Series attn Fund Accounting Dept.)	1818 Market Street, 7th floor, Philadelphia PA 19103	Goldman Sachs & Co	0005		11/15/93	HOT	09/06/01	S	175,700	31.2539	10/08/01	
	Decatur (Manufacturers Hanover Trust Decatur II Series attn (b)(6), (b)(6), (b)(7)(C)	450 W 33rd St 15th Floor, New York, NY 10001	Goldman Sachs & Co	0005		01/21/87	HOT	09/07/01	S	60,900	30.0976	10/08/01	
	Decatur (Manufacturers Hanover Trust Decatur II Series attn. (b)(6), (b)(6), (b)(7)(C)	450 W 33rd St 15th Floor, New York, NY 10001	Goldman Sachs & Co	0005		01/21/87	HOT	09/06/01	S	105,600	31.2539	10/08/01	
	Deephaven Capital Mangement, LLC	130 Cheshire Lane, Suite 102, Minnetonka, MN 55305-1052	Morgan Stanley	0050		10/06/00	XL	09/04/01	SS	100	82.59	10/15/01	Discussed with SEC
	Deephaven Capital Mangement, LLC	130 Cheshire Lane, Suite 102, Minnetonka, MN 55305-1052	Morgan Stanley	0050		10/06/00	XL	09/04/01	SS	400	82.56	10/15/01	Discussed with SEC

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(b) (4)	Deephaven Capital Mangement, LLC	130 Cheshire Lane, Suite 102, Minnetonka, MN 55305-1052	Morgan Stanley	0050	(b)(4)	10/06/00	XL	09/04/01	SS	400	82.59	10/15/01	Discussed with SEC
	Deephaven Capital Mangement, LLC	130 Cheshire Lane, Suite 102, Minnetonka, MN 55305-1052	Morgan Stanley	0050		10/06/00	XL	09/04/01	SS	500	82.18	10/15/01	Discussed with SEC
	Deephaven Capital Mangement, LLC	130 Cheshire Lane, Suite 102, Minnetonka, MN 55305-1052	Morgan Stanley	0050		10/06/00	XL	09/04/01	SS	500	82.87	10/15/01	Discussed with SEC
	Deephaven Capital Mangement, LLC	130 Cheshire Lane, Suite 102, Minnetonka, MN 55305-1052	Morgan Stanley	0050		10/06/00	XL	09/04/01	SS	500	83	10/15/01	Discussed with SEC
	Deephaven Capital Mangement, LLC	130 Cheshire Lane, Suite 102, Minnetonka, MN 55305-1052	Morgan Stanley	0050		10/06/00	XL	09/05/01	SS	500	82.01	10/15/01	Discussed with SEC
	Deephaven Capital Mangement, LLC	130 Cheshire Lane, Suite 102, Minnetonka, MN 55305-1052	Morgan Stanley	0050		10/06/00	XL	09/04/01	SS	600	82.75	10/15/01	Discussed with SEC
(b) (4)	Deephaven Capital Mangement, LLC	130 Cheshire Lane, Suite 102, Minnetonka, MN 55305-1052	Morgan Stanley	0050		10/06/00	XL	09/04/01	SS	1,000	82.65	10/15/01	Discussed with SEC
	Deka Account Deutsche Girozentrale Deutsche Kommunal Bank	Taunusanlage 10 Frankfurt, Germany	Merrill Lynch, Inc.	0161		09/19/84	AIG	09/05/01	S	200	73.85	10/01/01	Discussed with SEC
	Deka Account Deutsche Girozentrale Deutsche Kommunal Bank	Taunusanlage 10 Frankfurt, Germany	Merrill Lynch, Inc.	0161		09/19/84	AIG	09/05/01	S	350	73.85	10/01/01	Discussed with SEC
	Deka Account Deutsche Girozentrale Deutsche Kommunal Bank	Taunusanlage 10 Frankfurt, Germany	Merrill Lynch, Inc.	0161		09/19/84	HOT	09/07/01	S	2500	30.07	10/01/01	Discussed with SEC
	Deka Account Deutsche Girozentrale Deutsche Kommunal Bank	Taunusanlage 10 Frankfurt, Germany	Merrill Lynch, Inc.	0161		09/19/84	HOT	09/07/01	S	4000	30.07	10/01/01	
(b) (4)	Deka Investment Mgmt A/C West LB		Bernstein (Sanford C.) & Co., Inc.	0013		03/19/01	AMR	08/21/01	S	80000	32.518	11/14/01	
	Deka Investment MGT A/C BAV	Mainzer Landstrasse 50 Frankfurt, Germany	UBS Warburg	0642		08/11/99	AIG	09/04/01	S	500	77.9	10/01/01	
	Deka Investment MGT A/C DGZ Frankfurt	Mainzer Landstrasse 50 Frankfurt, Germany	UBS Warburg	0642		02/26/01	AIG	09/06/01	S	300	74.75	10/01/01	
	Deka Investment MGT A/C DGZ Frankfurt	Mainzer Landstrasse 50 Frankfurt, Germany	UBS Warburg	0642		02/26/01	AIG	09/06/01	S	500	74.75	10/01/01	
	Deka Investment MGT A/C LUX/Global Value	Mainzer Landstrasse 50 Frankfurt, Germany	UBS Warburg	0642		03/04/99	CNC	09/05/01	S	26025	8.19	10/01/01	
	Deka Investment MGT A/C LUX/Global Value	Mainzer Landstrasse 50 Frankfurt, Germany	UBS Warburg	0642		03/04/99	CNC	09/04/01	S	494475	8.83	10/01/01	
	Delroy Corp	653 West Palmaire Drive Pompano Beach FL	Merrill Lynch, Inc.	0161		08/21/01	AIG	09/07/01	B	30	73.16	09/28/01	See Above

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(b) (4)	Delroy Corp	653 West Palmaire Drive Pompano Beach, FL	Merrill Lynch	0161	(b) (4)	08/21/01	CAL	09/06/01	S	200	42.9	10/23/01	New account documents and statements from 8/01 sent to SEC on 10/10/01
	Delroy Corp	653 West Palmaire Drive Pompano Beach FL	Merrill Lynch, Inc.	0161		08/21/01	LUV	09/06/01	S	112	17.63	09/28/01	See Above
	Delroy Corp	653 West Palmaire Drive Pompano Beach FL	Merrill Lynch, Inc.	0161		08/21/01	LUV	09/06/01	S	900	17.61	09/28/01	See Above
	Delroy Corp	653 West Palmaire Drive Pompano Beach FL	Merrill Lynch, Inc.	0161		08/09/01	RTN	09/07/01	B	120	24.75	09/28/01	See Above
	Delroy Corp	653 West Palmaire Drive Pompano Beach, FL	Merrill Lynch	0161		08/09/01	XL	09/06/01	B	35	81.86	10/23/01	See Above
(b) (4)	Delsol Limited	Attn: (b) (6), (b) (7)(C) Leroqueville A7 Suite N11 BD Princess Charlotte Monaco	Salomon Smith Barney	0418	(b) (4)	08/15/00	AIG	09/05/01	S	63	74.27	10/08/01	Discussed with SEC
	Delsol Limited	Attn: (b) (6), (b) (7)(C) Leroqueville A7 Suite N11 BD Princess Charlotte Monaco	Salomon Smith Barney	0418	(b) (4)	08/15/00	MWD	09/05/01	S	45	52.42	10/08/01	Discussed with SEC
	Delsol Limited	Attn: (b) (6), (b) (7)(C) Leroqueville A7 Suite N11 BD Princess Charlotte Monaco	Salomon Smith Barney	0418	(b) (4)	08/15/00	AXA	09/05/01	S	60	25.43	10/08/01	Discussed with SEC
	Delsol Limited	Attn: (b) (6), (b) (7)(C) Leroqueville A7 Suite N11 BD Princess Charlotte Monaco	Salomon Smith Barney	0418	(b) (4)	08/15/00	AIG	09/05/01	S	124	74.29	10/08/01	Discussed with SEC
(b) (4)	Delsol Limited	Attn: (b) (6), (b) (7)(C) Leroqueville A7 Suite N11 BD Princess Charlotte Monaco	Salomon Smith Barney	0418	(b) (4)	08/15/00	MWD	09/05/01	S	125	52.45	10/08/01	Discussed with SEC
	Denali Advisors	4350 La Jolla Village Dr. San Diego, CA 92122-1243	Deutsche Bank Alex Brown Inc.	0573	(b) (4)	05/25/01	CNC	09/04/01	S	50500	8.85	10/03/01	
(b)(6), (b)(7)(C)	(b)(6), (b)(7)(C) Acct: Lazard International	(b)(6), (b)(7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	02/03/00	AEG	09/07/01	S	160	25.69	11/14/01	
	(b)(6), (b)(7)(C) Acct: Lazard International (b)(6), (b)(7)(C)		Salomon Smith Barney	0418		02/03/00	AXA	09/07/01	S	180	23.4	11/14/01	
			Prudential Securities Incorporated	0030		12/30/88	AIG	09/10/01	S	200	73.28	11/14/01	
(b) (4)	Desert Power Corpoartion	PO Box 34, Durell House, 28 New Street St. Helier, Jersey JE4 8NW, Channel Islands	Salomon Smith Barney	0418	(b) (4)	07/12/01	RTN	09/04/01	B	220	27.1	10/15/01	Discussed with SEC

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(b) (6), (b) (7)(C)		(b)(6), (b)(7)(C)	Morgan Stanley & Co.	0050	(b) (6), (b) (7)(C)	01/01/00	HOT	09/07/01	S	1,143	30.11	09/27/01	
		C. Schwab IRA Rollover (b)(6), (b)(7)(C)	Charles Schwab	0164		04/19/01	CAL	09/05/01	S	250	42.92	10/08/01	
		SAM: Brandes Inv Partners (b)(6), (b)(7)(C) (b)(6), (b)(7)(C)	Charles Schwab	0164		04/19/01	RTN	09/04/01	B	80	27.06	10/08/01	
(b) (4)	Deutsche Asset Management	Bankers Trust 16 Wall Street - 4th Floor Cage New York, NY 10004	Bank of America Securities	0773	(b) (4)	12/29/00	UAL	08/21/01	S	5700	34.05	11/14/01	
	Deutsche Asset Management	Bankers Trust 16 Wall Street - 4th Floor Cage New York, NY 10004	Bank of America Securities	0773		09/06/01	AIG	09/06/01	S	1900	75.55	11/14/01	
	Deutsche Asset Management	Bankers Trust 16 Wall Street - 4th Floor Cage New York, NY 10004	Bank of America Securities	0773		09/06/01	BA	09/06/01	S	7200	48.84	11/14/01	
	Deutsche Asset Management	Bankers Trust 16 Wall Street - 4th Floor Cage New York, NY 10004	Bank of America Securities	0773		08/27/01	AIG	09/06/01	S	1800	75.55	11/14/01	
	Deutsche Asset Management	Bankers Trust 16 Wall Street - 4th Floor Cage New York, NY 10004	Bank of America Securities	0773		08/27/01	AMR	08/27/01	S	1800	33.55	11/14/01	
	Deutsche Asset Management	Bankers Trust 16 Wall Street - 4th Floor Cage New York, NY 10004	Bank of America Securities	0773		08/27/01	BA	09/06/01	S	15900	48.84	11/14/01	
	Deutsche Asset Management	Bankers Trust 16 Wall Street - 4th Floor Cage New York, NY 10004	Bank of America Securities	0773		08/27/01	CNC	09/06/01	B	5900	8	11/14/01	
	Deutsche Asset Management	Bankers Trust 16 Wall Street - 4th Floor Cage New York, NY 10004	Bank of America Securities	0773		08/27/01	DAL	08/27/01	S	1500	40.44	11/14/01	
	Deutsche Asset Management	Bankers Trust 16 Wall Street - 4th Floor Cage New York, NY 10004	Bank of America Securities	0773		08/27/01	MMC	09/06/01	S	400	89.65	11/14/01	
	Deutsche Asset Management, A/C (b) (4), Bankers Trust Company	16 Wall Street, 4th Floor Rec Cage, New York, NY 10004	Bank of America	0773		06/13/01	AIG	09/06/01	S	25800	75.55	11/14/01	
	Deutsche Asset Management, A/C (b) (4) Bankers Trust Company	16 Wall Street, 4th Floor Rec Cage, New York, NY 10004	Bank of America	0773		06/13/01	BA	09/06/01	S	2600	48.84	11/14/01	
	Deutsche Asset Management, A/C (b) (4), Bankers Trust Company	16 Wall Street, 4th Floor Rec Cage, New York, NY 10004	Bank of America	0773		06/13/01	MMC	09/06/01	S	2100	89.65	11/14/01	
(b) (4)	DGZ Deka Bank A/C Luxembourg	35 Wilson St London, UK	UBS Painewebber Inc.	0221	(b) (4)	09/05/01	AIG	09/05/01	S	70000	74.27	10/02/01	Discussed with SEC
	DGZ DekaBank A/C Deka DGZ	Taunusanlage 10 Frankfurt, Germany	Morgan Stanley & Co.	0050		01/06/94	AIG	09/04/01	S	200	77.3	10/01/01	Discussed with SEC

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(b) (4)	DGZ DekaBank A/C Deka DGZ	Taunusanlage 10 Frankfurt, Germany	Morgan Stanley & Co.	0050	(b) (4)	01/06/94	AIG	09/04/01	S	450	77.3	10/01/01	Discussed with SEC
	DGZ DekaBank A/C Deka DGZ	Taunusanlage 10 Frankfurt, Germany	Morgan Stanley & Co.	0050		01/06/94	HOT	09/06/01	S	600	31.06	10/01/01	Discussed with SEC
	DGZ DekaBank A/C Deka DGZ	Taunusanlage 10 Frankfurt, Germany	Morgan Stanley & Co.	0050		01/06/94	HOT	09/06/01	S	1200	31.06	10/01/01	Discussed with SEC
(b)(6), (b)(7)(C)	(b)(6), (b)(7)(C) Bear Stearns SEC Corp Cust.	(b)(6), (b)(7)(C)	Bear Stearns	0352	(b) (6), (b) (7)(C)	08/31/00	AIG	09/04/01	S	30	77.85	11/14/01	
	(b)(6), (b)(7)(C) Bear Stearns SEC Corp Cust.		Bear Stearns	0352		11/13/98	AIG	09/04/01	S	35	77.85	11/14/01	
	(b)(6), (b)(7)(C) Bear Stearns SEC Corp Cust.		Bear Stearns	0352		11/13/98	BA	09/04/01	S	50	51.67	11/14/01	
	(b)(6), (b)(7)(C) Bear Stearns SEC Corp Cust.		Bear Stearns	0352		11/13/98	LUV	09/04/01	S	45	18.68	11/14/01	
	(b)(6), (b)(7)(C) Bear Stearns SEC Corp Cust.		Bear Stearns	0352		11/13/98	MMC	09/04/01	S	40	94.45	11/14/01	
(b)(6), (b)(7)(C)		Merrill Lynch Trust Attn: (b)(6), (b)(7) (b)(6), (b)(7)(C)	Merrill Lynch	0161	(b) (6), (b) (7)(C)	06/23/00	AIG	09/10/01	S	200	74.57	10/15/01	
		Merrill Lynch Trust Attn: (b)(6), (b)(7) (b)(6), (b)(7)(C)	Merrill Lynch	0161		06/23/00	MMC	09/10/01	S	150	87	10/15/01	
		(b)(6), (b)(7)(C)	Salomon Smith Barney	0418		08/11/98	MWD	09/07/01	S	40	48.05	10/08/01	
			Salomon Smith Barney	0418		08/11/98	MWD	09/07/01	S	94	48.05	10/08/01	
			Salomon Smith Barney	0418		02/12/99	MWD	09/07/01	S	62	48.01	10/08/01	
			Salomon Smith Barney	0418		01/09/95	HLT	09/07/01	S	298	11.42	10/08/01	
		SSB IRA Rollover Custodian (b)(6), (b)(7)(C) (b)(6), (b)(7)(C)	Salomon Smith Barney	0418		07/14/99	MWD	09/07/01	S	38	48.16	10/08/01	
(b) (4)	DNB Investment Postbanken Kombispar	P.O. Box 1614 Vika 0119 Oslo, Norway	Salomon Smith Barney	0418	(b) (4)	06/08/01	XL	09/10/01	S	500	80.32	10/15/01	Discussed with SEC
	DNB Investors DNB Combi Corporate	P.O. Box 1614 Vika 0119 Oslo, Norway	Salomon Smith Barney	0418		10/11/95	XL	09/10/01	S	4,000	80.32	10/15/01	Discussed with SEC

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(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	04/25/01	AIG	09/04/01	S	450	77.41	11/14/01	
			Salomon Smith Barney	0418		04/25/01	DAL	09/04/01	S	900	38.65	11/14/01	
			Salomon Smith Barney	0418		04/25/01	MWD	09/04/01	S	600	53.47	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		11/29/96	AXA	09/07/01	S	50	23.37	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		11/29/96	BA	09/07/01	S	40	44.89	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		03/08/99	AIG	09/07/01	S	70	72.82	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		05/15/98	ALK	09/07/01	S	37	30.46	11/14/01	
			PaineWebber Inc.	0221		02/03/00	CNC	09/07/01	S	1320	7.67	11/14/01	
			Credit Suisse First Boston	0355		01/01/00	BA	09/10/01	B	5,000	45.096	10/08/01	
			Credit Suisse First Boston	0355		01/01/00	HLT	09/06/01	S	10,000	12.11	10/08/01	
			Credit Suisse First Boston	0355		01/01/00	RTN	09/06/01	B	5,000	25.9	10/08/01	
			Charles Schwab & Co.	0164		04/22/85	HLT	09/07/01	S	1,000	11.47	09/24/01	Address provided to SEC on 9/26/01
(b) (4)	DP111		Goldman Sachs	0005	(b) (4)	09/26/90	AMR	8/27/01 - 9/10/01	S	5900		10/31/01	Discussed with SEC
	DP111		Goldman Sachs	0005		09/26/90	CAL	8/27/01 - 9/10/01	S	2000		10/31/01	Discussed with SEC
	DP111		Goldman Sachs	0005		09/26/90	DAL	8/27/01 - 9/10/01	S	3000		10/31/01	Discussed with SEC
(b) (6), (b) (7)(C)			Merrill Lynch	0161	(b) (6), (b) (7)(C)	08/06/01	RTN	09/04/01	B	340	27.1	10/15/01	
			Salomon Smith Barney	0418		04/02/98	AIG	09/04/01	S	94	76.95	10/08/01	
			Salomon Smith Barney	0418		04/02/98	BA	09/04/01	S	49	50.33	10/08/01	
			Salomon Smith Barney	0418		04/02/98	DAL	09/04/01	S	5	39.19	10/08/01	
			Salomon Smith Barney	0418		04/02/98	MWD	09/04/01	S	35	52.82	10/08/01	

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(b) (4)	Dresdner RCM Global Investors	Lifeyrissjodur Starfsmanna Rik Lifeyriss Jodurinn Framsyn PO Box 191 10 Fenchurch Street London	JP Morgan	0060	(b) (4)	01/06/00	XL	09/05/01	S	4350	81.9	10/23/01	
	Dreyfus Stock Index FD - DRSI c/o Mellon Equity Associates	3 Mellon Bank Center, Pittsburgh PA 15259-0001	Salomon Smith Barney	0418		08/06/98	AIG	09/10/01	S	2,600	74.2446	11/14/01	
	Dreyfus Stock Index FD - DRSI c/o Mellon Equity Associates	3 Mellon Bank Center, Pittsburgh PA 15259-0001	Salomon Smith Barney	0418		08/06/98	AMR	09/10/01	S	100	29.73	11/14/01	
	Dreyfus Stock Index FD - DRSI c/o Mellon Equity Associates	3 Mellon Bank Center, Pittsburgh PA 15259-0001	Salomon Smith Barney	0418		08/06/98	BA	09/10/01	S	900	43.9689	11/14/01	
	Dreyfus Stock Index FD - DRSI c/o Mellon Equity Associates	3 Mellon Bank Center, Pittsburgh PA 15259-0001	Salomon Smith Barney	0418		08/06/98	CNC	09/10/01	S	100	7.6267	11/14/01	
	Dreyfus Stock Index FD - DRSI c/o Mellon Equity Associates	3 Mellon Bank Center, Pittsburgh PA 15259-0001	Salomon Smith Barney	0418		08/06/98	DAL	09/10/01	S	100	37.37	11/14/01	
	Dreyfus Stock Index FD - DRSI c/o Mellon Equity Associates	3 Mellon Bank Center, Pittsburgh PA 15259-0001	Salomon Smith Barney	0418		08/06/98	HLT	09/10/01	S	400	11.285	11/14/01	
	Dreyfus Stock Index FD - DRSI c/o Mellon Equity Associates	3 Mellon Bank Center, Pittsburgh PA 15259-0001	Salomon Smith Barney	0418		08/06/98	HOT	09/10/01	S	200	29.93	11/14/01	
	Dreyfus Stock Index FD - DRSI c/o Mellon Equity Associates	3 Mellon Bank Center, Pittsburgh PA 15259-0001	Salomon Smith Barney	0418		08/06/98	LUV	09/10/01	S	700	17.1257	11/14/01	
	Dreyfus Stock Index FD - DRSI c/o Mellon Equity Associates	3 Mellon Bank Center, Pittsburgh PA 15259-0001	Salomon Smith Barney	0418		08/06/98	MWD	09/10/01	S	1,100	49.0391	11/14/01	
	Dreyfus Stock Index FD - DRSI c/o Mellon Equity Associates	3 Mellon Bank Center, Pittsburgh PA 15259-0001	Salomon Smith Barney	0418		08/06/98	RTN	09/10/01	S	300	24.47	11/14/01	
	Dreyfus Stock Index FD - DRSI c/o Mellon Equity Associates	3 Mellon Bank Center, Pittsburgh PA 15259-0001	Salomon Smith Barney	0418		08/06/98	XL	09/10/01	S	100	81.45	11/14/01	
(b) (4)	DSPT A Shell Pension Fund	Shell Centre York Road London SE1 7NA	Merrill Lynch, Inc.	0161	(b) (4)	01/07/98	AMR	08/31/01	S	1975	32.01	10/01/01	
	DSPT A Shell Pension Fund	Shell Centre York Road London SE1 7NA	Merrill Lynch, Inc.	0161		01/07/98	DAL	08/31/01	S	1422	38.61	10/01/01	
(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	05/13/98	AIG	09/10/01	S	112	74.44	10/08/01	
			Salomon Smith Barney	0418		05/13/98	HOT	09/10/01	S	65	29.43	10/08/01	
			Salomon Smith Barney	0418		05/13/98	AIG	09/10/01	S	105	74.45	10/08/01	
			Salomon Smith Barney	0418		05/13/98	HOT	09/10/01	S	55	29.43	10/08/01	
			Salomon Smith Barney	0418		05/13/98	CNC	09/10/01	S	250	7.65	10/08/01	

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[redacted]			US Clearing Corp.	0158	[redacted]	04/15/97	AIG	09/05/01	S	100	74.67	10/23/01	
			US Clearing Corp.	0158		04/15/97	BA	09/07/01	S	100	45.92	10/23/01	
[redacted]	Duquesne Capital Management (Goldman Sachs & Co/ Courtesy A/C Duquesne Omnibus #[redacted] att Bernice Equity Ops	85 Broad St 9fl, New York, NY 10004	Lehman Brothers	0074	[redacted]	12/27/89	CNC	09/05/01	S	50,000	8.115	10/08/01	
[redacted]	Duquesne Capital Management (Goldman Sachs /Duquesne Capital Management LLC)	2579 Washington Road Suite 332, Pittsburgh, PA 15241-2563	Credit Suisse First Boston/ DLJ	0443	[redacted]	09/29/99	MWD	09/07/01	SS	10,000	47.567	10/08/01	
	Duquesne Capital Management (Goldman Sachs FBO Prime Borkerage Services Duquesne Capital Management LLC)	One New York Plaza, New York, NY 10004	US Bancorp Piper Jaffray	0311		09/12/00	CAL	09/10/01	S	5,000	39.38	10/08/01	
	Duquesne Capital Management (NO Margin Fund LP c/o Duquesne Capital Management	2579 Washington Road Suite 332, Pittsburgh, PA 15241-2563	Goldman Sachs & Co	0005		12/27/91	HOT	09/05/01	SS	2,800	33.22	10/08/01	
	Duquesne Capital Management (NO Margin Fund LP c/o Duquesne Capital Management	2579 Washington Road Suite 332, Pittsburgh, PA 15241-2563	Goldman Sachs & Co	0005		08/22/01	CNC	09/05/01	SS	2,800	8.115	10/08/01	
[redacted]	Duquesne Fund LP	C/O Duquesne Capital Mgmt., LLC 2579 Washington Rd. Ste.322 Pittsburgh, PA 15241	Goldman Sachs & Co.	0005	[redacted]	11/30/93	HOT	09/05/01	SS	10,400	33.22	10/01/01	
	Durango Investment Execution	2201 E. Lamar Arlington, TX	Morgan Stanley	0050		03/27/01	AIG	09/05/01	SS	14,230	74.9	10/08/01	Discussed with SEC
	Durango Investment L.P	Morgan Stanley & Co Master Fund 1221 Ave of Americas New York, NY	Goldman Sachs	0005		04/11/01	AIG	09/05/01	S	14,230	74.9	10/08/01	Discussed with SEC
	Durango Investment LP	C/O Inter'l Fund Admin LTD Att:[redacted] 48 Par-La_Ville Road Hamilton, Bermuda	Morgan Stanley	0050		03/30/01	AIG	09/05/01	SS	14,230	74.9	10/08/01	Discussed with SEC
[redacted]			A.G. Edwards & Sons	0201	[redacted]	12/04/97	AIG	09/06/01 09/10/01	S S	20 32	75.35 74.59	10/08/01	
			A.G. Edwards & Sons	0201		12/04/97	LUV	09/06/01 09/10/01	S S	20 43	17.93 17.08	10/08/01	

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(b) (4)	Eagle Asset Management (Credit Suisse First Boston FAO Eagle Asset Management/(b) (4)	5 World Trade Center	BNY-Esi Clearing Services	0100	(b) (4)	02/13/01	LEH	09/05/01	S	10,000	64.825	10/08/01	
	EBF Associates	Goldman Sachs Prime 1 NY Plaza New York, NY	Merrill Lynch	0161		08/01/00	XL	09/04/01	S	7000	83	10/23/01	Discussed with SEC
	EBF Associates	Goldman Sachs Prime 1 NY Plaza New York, NY	Merrill Lynch	0161		08/01/00	XL	09/04/01	S	1600	83	10/23/01	Discussed with SEC
(b) (6), (b) (7)(C)			Edward (A.G.) & Sons., Inc.	0201	(b) (6), (b) (7)(C)	10/27/00	AIG	09/06/01	S	114	74.75	11/14/01	
			Edward (A.G.) & Sons., Inc.	0201		10/27/00	AIG	09/06/01	S	80	75.35	11/14/01	
			Edward (A.G.) & Sons., Inc.	0201		11/10/00	AIG	09/07/01	S	33	75.19	11/14/01	
			Edward (A.G.) & Sons., Inc.	0201		11/10/00	LUV	09/07/01	S	45	17.75	11/14/01	
			Edward (A.G.) & Sons., Inc.	0201		10/27/00	AXA	09/06/01	S	104	23.48	11/14/01	
			Salomon Smith Barney	0418		09/23/91	BA	09/07/01	S	99	44.94	11/14/01	
			Salomon Smith Barney	0418		09/23/91	DAL	09/07/01	S	131	37.15	11/14/01	
			Salomon Smith Barney	0418		09/23/91	MWD	09/07/01	S	89	47.57	11/14/01	
			Salomon Smith Barney	0418		01/09/01	AIG	09/07/01	S	35	72.89	11/14/01	
			Salomon Smith Barney	0418		03/04/93	AIG	09/07/01	S	28	73.19	11/14/01	
			Salomon Smith Barney	0418		03/04/93	MWD	09/07/01	S	30	47.59	11/14/01	
(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	05/27/94	UAL	08/16/01	S	410	34.1	10/23/01	New Account documents; statements from 01/01 to 9/01 sent to SEC on 11/02/01
(b) (4)	El Fuerte Ltd c/o Merrill Lynch Int Bank	2 Raffles Link Singapore	Merrill Lynch, Inc.	0161	(b) (4)	04/15/96	AMR	09/07/01	S	151	30.24	10/01/01	
	El Fuerte Ltd c/o Merrill Lynch Int Bank	2 Raffles Link Singapore	Merrill Lynch, Inc.	0161		01/17/97	AIG	09/07/01	S	530	73	10/01/01	

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(b) (4)	El Fuerte Ltd c/o Merrill Lynch Int Bank	2 Raffles Link Singapore	Merrill Lynch, Inc.	0161	(b) (4)	03/06/97	AIG	09/07/01	S	95	73	10/01/01	
	El Fuerte Ltd c/o Merrill Lynch Int Bank	2 Raffles Link Singapore	Merrill Lynch, Inc.	0161		04/15/96	AIG	09/07/01	S	60	73.1	10/01/01	
	El Fuerte Ltd c/o Merrill Lynch Int Bank	2 Raffles Link Singapore	Merrill Lynch, Inc.	0161		04/15/96	AXA	09/07/01	S	66	23.37	10/01/01	
(b) (6), (b) (7)(C)			DLJ	0443	(b) (6), (b) (7)(C)	08/29/01	RTN	09/07/01	B	305	25.62	11/14/01	
(b) (4)	EMJayco Corporated TTEE 1/12/96 as Amended Dubuque Emer Physicians PC Profit Sharing Plan 77	Po Box 170910 Milwaukee, WI, 53217-0909	Pershing Division of Donaldson, Lufkin, & Jenrette Securities Corporation	0443	(b) (4)	09/17/98	AMR	09/07/01	S	900	29.857	11/14/01	
	EMJayco Corporated TTEE 1/12/96 as Amended Dubuque Emer Physicians PC Profit Sharing Plan 77	Po Box 170910 Milwaukee, WI, 53217-0909	Pershing Division of Donaldson, Lufkin, & Jenrette Securities Corporation	0443		09/17/98	BA	09/06/01	S	900	48.66	11/14/01	
	EMJayco Corporated TTEE FBO Dubuque Emer Physicians Money Purchase Plan #777	Po Box 170910 Milwaukee, WI, 53217-0909	Pershing Division of Donaldson, Lufkin, & Jenrette Securities Corporation	0443		09/17/98	HOT	09/06/01	S	600	30.8224	11/14/01	
	EMJayco FBO Leonetti & Assoc. Profit Sharing Pl. #6327 Lous A Maier III TTEE	Po Box 17909 Milwaukee, WI, 53217-0909	Pershing Division of Donaldson, Lufkin, & Jenrette Securities Corporation	0443		05/04/98	BA	09/06/01	S	500	48.6602	11/14/01	
(b) (4)	Empresas Penta S.A.	Miraflores 222 Piso 20, Sanitago/ Chile	Merrill Lynch	0161	(b) (4)	06/06/01	RTN	09/04/01	B	1,360	27.1	10/15/01	
	Equitable Capital Aloha Airlines Non-Pilots #689	135 W. 50th Street 6th Floor New York, NY 10020-1201	Salomon Smith Barney	0418		12/09/91	HLT	09/06/01	S	11,500	12.1	10/15/01	
	Equitable Capital Management A/C Aloha Airlines Pilots #690	135 W. 50th Street 6th Floor New York, NY 10020-1201	Salomon Smith Barney	0418		12/09/91	HLT	09/06/01	S	7,000	12.1	10/15/01	
	Erasmus Management	Sabelgatan 6, S-25467, Helsingborg, Sweeden	Merrill Lynch	0161		08/17/01	RTN	09/06/01	B	240	26.06	10/15/01	
(b) (4)	(b) (6), (b) (7)(C) Alliance Capital Management A/C Aloha Airlines #691	135 W. 50th Street 6th Floor New York, NY 10020-1201	Salomon Smith Barney	0418	(b) (4)	12/09/91	HLT	09/06/01	S	8,500	12.1	10/15/01	
(b) (6), (b) (7)(C)			UBS PaineWebber	0221	(b) (6), (b) (7)(C)	08/16/01	BA	09/10/01	S	105	44.25	11/14/01	
			UBS PaineWebber	0221		08/16/01	LUV	09/10/01	S	265	17.08	11/14/01	

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(b) (6), (b) (7)(C)			UBS PaineWebber	0221	(b) (6), (b) (7)(C)	08/16/01	LUV	09/10/01	S	200	17.04	11/14/01	
			UBS PaineWebber	0221		08/16/01	RTN	09/10/01	B	135	24.5984	11/14/01	
			Salomon Smith Barney	0418		07/12/01	RTN	09/07/01	B	60	25.92	10/15/01	
(b) (4)	Essex Alpha Fund	125 High Street C77 Boston, MA	Morgan Stanley & Co.	0050	(b) (4)	03/28/00	AMR	08/22/01	SS	1,800	32	09/25/01	Discussed with SEC
	Essex Alpha Fund	125 High Street Boston, MA	Morgan Stanley & Co.	0050		03/28/00	UAL	08/22/01	SS	1,700	33.74	09/25/01	Discussed with SEC
	Essex Investment Mgmt Execution	125 High Street Boston, MA 02110-2704	Morgan Stanley & Co.	0050		12/27/90	AMR	08/22/01	SS	57,775	32.0031	09/25/01	Discussed with SEC
	Essex Investment Mgmt Execution	125 High Street Boston, MA 02110-2704	Morgan Stanley & Co.	0050		12/27/90	UAL	08/22/01	SS	54,252	33.74	09/25/01	Discussed with SEC
	Essex Performance Fund	125 High Street Boston, MA	Morgan Stanley & Co.	0050		02/27/91	AMR	08/22/01	SS	24,900	32	09/25/01	Discussed with SEC
	Essex Performance Fund	125 High Street Boston, MA	Morgan Stanley & Co.	0050		02/27/91	UAL	08/22/01	SS	47,000	33.74	09/25/01	Discussed with SEC
(b) (6), (b) (7)(C)			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161	(b) (6), (b) (7)(C)	08/31/00	AIG	09/04/01	S	65	77.45	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		08/31/00	AXA	09/04/01	S	70	26.3	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		08/31/00	BA	09/04/01	S	70	51.61	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		08/31/00	MMC	09/04/01	S	25	93.5	11/14/01	
			DLJ	0443			BA	9/6/01	S	100		09/28/01	
			DLJ	0443			HOT	9/6/01	S	300		09/28/01	
			Salomon Smith Barney	0418		02/27/01	RTN	09/10/01	S	60	24.33	10/01/01	
			Salomon Smith Barney	0418		02/27/01	AIG	09/10/01	S	21	74.21	10/01/01	
			Salomon Smith Barney	0418		02/27/01	LUV	09/10/01	S	80	16.81	10/01/01	
			Credit Suisse First Boston/ DLJ	0443		04/29/98	CNC	09/06/01	SS	8,000	7.99	10/08/01	
			Credit Suisse First Boston/ DLJ	0443		04/29/98	HOT	09/06/01	SS	8,000	31.28	10/08/01	

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(b) (4)	EVMS Foundatiuon - Met West Sun Trust - Metropolitan West Capital Mgmt	PO Box 105504 M/C 3131, Atlanta, GA 30348	Merrill Lynch	0161	(b) (4)	01/19/01	RTN	09/04/01	B	1200	27.2	10/31/01	
(b) (6), (b) (7)(C)			Merrill Lynch	0161	(b) (6), (b) (7)(C)	06/20/01	RTN	09/05/01	B	100	26.94	10/15/01	
(b) (4)	Fagenson & Co. Inc. A/C Watermill Asset Management Corp.	420 E 55th Street New York, NY 10022	Van der Moolen Specialists	0251	(b) (4)	04/26/01	CNC	09/05/01	S	10,500	8.1	10/15/01	
(b) (6), (b) (7)(C)			Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	05/25/01	ALK	09/10/01	S	53	30.41	10/01/01	Clarified MLNF account on 10/15/01
			Merrill Lynch, Inc.	0161		05/25/01	AIG	09/10/01	S	30	74.43	10/01/01	See Above
			Merrill Lynch, Inc.	0161		05/25/01	AMR	09/10/01	S	106	29.69	10/01/01	See Above
			Merrill Lynch, Inc.	0161		05/25/01	LUV	09/10/01	S	430	17	10/01/01	See Above
(b) (4)	Fechtor Detwiler & Co. Inc.	225 Franklin Street 20th Floor Boston, MA 02110	Credit Suisse First Boston Corp.	0443	(b) (4)	04/12/00	CNC	09/04/01 09/04/01 09/04/01 09/04/01 09/06/01	SS SS SS SS SS	25000 14900 25000 8000 50000	8.74 8.75 8.76 8.77 7.98	10/03/01	Discussed with SEC
(b) (4)	Felix Incorporated	Attn: La Sect Head "CC1174" Deutsche Bank PO Box 634 St Paul's Gate New Street, St Helier Jersey Island	Salomon Smith Barney	0418	(b) (4)	04/27/01	AIG	09/04/01	S	200	77.5	10/08/01	
	Felix Incorporated	Attn: La Sect Head "CC1174" Deutsche Bank PO Box 634 St Paul's Gate New Street, St Helier Jersey Island	Salomon Smith Barney	0418		04/27/01	AXA	09/04/01	S	175	26.26	10/08/01	Faxed information on Flight plan software to SEC on 10/09/01
(b) (4)	Ferox Capital UBS	66 St. James's Street London SW1A 1NE England	Salomon Smith Barney	0418	(b) (4)	07/24/01	XL	09/04/01 09/04/01	SS SS	28000 20000	82.51 82.52	10/15/01	
	Ferox Capital Mgmt. Ltd. A/C UBS	66 St. James Street London, United Kingdom	Merrill Lynch Inc.	0161		08/09/01	XL	09/04/01	S	32,000	83	10/10/01	Discussed with SEC
(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	10/30/96	CNC	09/07/01	SS	3500	6.9	10/01/01	
(b) (4)	Firemen's fund Insurance Co. c/o Allianz of America	P.O. Box 5160, 55 Greens Farms Road, Westport, CT 06881-5160	Bear, Stearns & Co.	0352	(b) (4)	01/22/96	LEH	09/10/01	S	310.800	61.7068	10/08/01	

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(b) (4)	First Union Natl Bank A/C Long Asylum (b) (4)	100 N. Queen Street, Lancaster, PA 17603-3550	Prudential Securities Incorporated	0030	(b) (4)	03/14/90	LLL	09/07/01	B	200	63.68	11/14/01	
	First Union Natl Bank A/C Long Asylum (b) (4)	100 N. Queen Street, Lancaster, PA 17603-3550	Prudential Securities Incorporated	0030		03/14/90	LUV	09/07/01	S	662	17.7	11/14/01	
	First Union Natl Bank A/C Long Asylum (b) (4)	100 N. Queen Street, Lancaster, PA 17603-3550	Prudential Securities Incorporated	0030		03/14/90	LUV	09/07/01	S	400	17.71	11/14/01	
	First Union Natl Bank A/C Long Asylum (b) (4)	100 N. Queen Street, Lancaster, PA 17603-3550	Prudential Securities Incorporated	0030		03/14/90	RTN	09/07/01	B	500	25.4	11/14/01	
	FK Capital LLC Attention: (b) (6), (b) (7)(C)	15 Myrtle Avenue 3A Sconset Square Westport, CT 06880	LEK Securities	0512		01/01/00	AIG	09/10/01	S	51775	73.19	10/23/01	Discussed with SEC
(b) (4)	FLA Intl LTD	Morgan Stanley Sub A/C Intl Fund Adm Attn: (b) (6), (b) (7)(C) Brooklyn, NY	US Clearing Corp.	0158	(b) (4)	07/16/97	AMR	08/31/01	S	3000	32.06	10/31/01	
	FLA Intl LTD	Morgan Stanley Sub A/C Intl Fund Adm Attn: (b) (6), (b) (7)(C) Brooklyn, NY	US Clearing Corp.	0158		07/16/97	DAL	08/31/01	S	3000	38.65	10/31/01	
	Flex Fund, LP	1457 Edgewater Club Rd. Willmington NC 28411	Spear Leeds & Kellogg	0501		07/06/98	AMR	09/07/01	SS	900	30.08	10/08/01	
	Flex Fund, LP	1457 Edgewater Club Rd. Willmington NC 28411	Spear Leeds & Kellogg	0501		07/06/98	DAL	09/07/01	SS	250	37.08	10/08/01	
	Flex Fund, LP	1457 Edgewater Club Rd. Willmington NC 28411	Spear Leeds & Kellogg	0501		07/06/98	UAL	09/07/01	SS	300	31.41	10/08/01	
(b) (4)	Fondo America	Galleria de Cristoforis Milan, Italy	Merrill Lynch Inc.	0161		02/13/97	XL	09/06/01	S	30,000	81.57	10/10/01	Discussed with SEC
	Foreign and Colonial	Exchange House Primrose Street London EC2A 2NY United Kingdom	Sanford C. Bernstein & Co.	0013		08/17/01	AIG	09/05/01	S	14,103	73.97	09/26/01	
	Forest MGMT	Bear Stearns Metrotech Center Brooklyn, NY	W&D Securities	0535		09/22/93	AIG	09/06/01	SS	9600	75.02	10/31/01	Discussed with SEC
	Forest MGMT	Bear Stearns Metrotech Center Brooklyn, NY	W&D Securities	0535		09/22/93	AIG	09/07/01	SS	9600	73	10/31/01	Discussed with SEC
(b)(4)	Forstmann Leff (Morgan Stanley & Co Inc. Forstmann Leff	590 Madison Ave 39th Floor, New York, NY 10022	Credit Suisse First Boston/ DLJ	0443	(b)(4)	06/08/00	HOT	09/05/01	S	8,000	32.7	10/08/01	
(b) (4)	Forum Financial Corp (Sound Shore Fund Inc c/o Forum Financial Corp.	ATT (b) (6), (b) (7)(C) 2 Portland Square, Portland ME, 04101-4088	Neuberger Berman LLC	0155	(b) (4)	08/05/85	DAL	08/28/01	S	12,300	40.4346	10/31/01	Discussed with SEC
	Forum Financial Corp a/c Sound Shore Fund	2 Portland Square, Portland ME 04101-4049	Bear Stearns & Co	0352		05/30/01	DAL	08/30/01	S	7,600	38.7893	10/31/01	Discussed with SEC
	Forum Financial Corp a/c Sound Shore Fund	2 Portland Square, Portland ME 04101-4049	Bear Stearns & Co	0352		05/30/01	DAL	09/04/01	S	39,900	39.222	10/31/01	Discussed with SEC

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(b)(6), (b)(7)(C)	(b)(6), (b)(7)(C)	(b)(6), (b)(7)(C)	Deutsche Banc Alex Brown, Inc.	573	(b)(6), (b)(7)(C)	6/18/01	AIG	9/10/01	S	40	74.41	11/14/01	
			Deutsche Banc Alex Brown, Inc.	573		6/18/01	AIG MWD	09/10/01 09/10/01	S S	30 25	74.19 49.12	11/14/01	
			Deutsche Banc Alex Brown, Inc.	573		6/18/01	AIG	09/10/01	S	60	74.07	11/14/01	
	(b)(6), (b)(7)(C) (b)(6), (b)(7)(C) Brandes Global Equity		Salomon Smith Barney	0418		02/21/97	AXA	09/06/01	S	340	23.55	11/14/01	
	(b)(6), (b)(7)(C) (b)(6), (b)(7)(C) Brandes Global Equity		Salomon Smith Barney	0418		02/21/97	RTN	09/06/01	B	590	25.89	11/14/01	
	(b)(6), (b)(7)(C) (b)(6), (b)(7)(C) Brandes Global Equity		Salomon Smith Barney	0418		02/21/97	XL	09/06/01	S	135	81.29	11/14/01	
(b)(4)	Franklin Valuemark Mutual Shares Securities Fund A/C #998846 ATTN (b)(6), (b)(7)(C)	51 JPK Parkway, Short Hills, NJ 07078	Weiss, Peck & Greer	0022	(b)(4)	12/06/96	HOT	09/07/01	S	9,800	30.0032	10/03/01	Discussed with SEC
(b) (6), (b) (7)(C)			Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	12/10/99	AIG	09/06/01	S	92	75.12	09/28/01	New account doucments; statements from 7/01 to 8/01sent to SEC on 10/10/01
(b) (6), (b) (7)(C)			Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	12/10/99	LUV	09/06/01 09/10/01	S S	270 300	17.96 16.79	09/28/01	See Above
			Merrill Lynch, Inc.	0161		12/10/99	AEG	09/10/01	S	80	25.86	09/28/01	See Above
			Merrill Lynch, Inc.	0161		12/10/99	AXA	09/10/01	S	90	23.9	09/28/01	See Above
(b) (4)	Frost National Bank	State Street Omnibus PO Box 2950 San Antonio, TX	Salomon Smith Barney	0418	(b) (4)	09/05/01	AIG	09/05/01	S	10000	74.1	10/23/01	Discussed with SEC
	Frost National Bank	State Street Omnibus PO Box 2950 San Antonio, TX	JP Morgan	0060		04/10/01	BA	09/07/01	S	20000	47.18	10/23/01	Discussed with SEC

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(b) (4)	Frost National Bank	State Street Omnibus PO Box 2950 San Antonio, TX	Salomon Smith Barney	0418	(b)(4)	09/05/01	BA	09/05/01	S	28500	50.16	10/23/01	Discussed with SEC
	Frost National Bank	State Street Omnibus PO Box 2950 San Antonio, TX	Weiss Peck Greer	0022		03/24/98	BA	09/04/01	S	3000	51.22	10/23/01	Discussed with SEC
	FSP Air Transportation	82 Devonshire Street Boston MA 02109	Bear Stearns & Co.	0352		11/24/86	AAI	09/04/01	S	1,900	6.57	09/25/01	See Above
	FSP Air Transportation	82 Devonshire Street Boston MA 02109	Bear Stearns & Co.	0352		11/24/86	AAI	09/10/01	S	2,200	5.91	09/25/01	See Above
	FSP Air Transportation	82 Devonshire Street Boston MA 02109	Bear Stearns & Co.	0352		11/24/86	ALK	09/04/01	S	600	32.55	09/25/01	New Account documents faxed to SEC on 9/28/01
	FSP Air Transportation	82 Devonshire Street Boston MA 02109	Bear Stearns & Co.	0352		11/24/86	ALK	09/10/01	S	700	30.4	09/25/01	See Above
	FSP Air Transportation	82 Devonshire Street Boston MA 02109	Bear Stearns & Co.	0352		11/24/86	AMR	09/04/01	S	2,500	32.03	09/25/01	See Above
	FSP Air Transportation	82 Devonshire Street Boston MA 02109	Bear Stearns & Co.	0352		11/24/86	AMR	09/10/01	S	2,900	29.95	09/25/01	See Above
	FSP Air Transportation	82 Devonshire Street Boston MA 02109	Bear Stearns & Co.	0352		11/24/86	CAL	09/04/01	S	1,400	43.8	09/25/01	See Above
	FSP Air Transportation	82 Devonshire Street Boston MA 02109	Bear Stearns & Co.	0352		11/24/86	DAL	09/04/01	S	2,300	38.71	09/25/01	See Above
	FSP Air Transportation	82 Devonshire Street Boston MA 02109	Bear Stearns & Co.	0352		11/24/86	DAL	09/10/01	S	2,700	37	09/25/01	See Above
	FSP Air Transportation	82 Devonshire Street Boston MA 02109	Bear Stearns & Co.	0352		11/24/86	LUV	09/04/01	S	1,800	17.87	09/25/01	See Above
	FSP Air Transportation	82 Devonshire Street Boston MA 02109	Bear Stearns & Co.	0352		11/24/86	LUV	09/10/01	S	2,100	16.74	09/25/01	See Above
	FSP Air Transportation	82 Devonshire Street Boston MA 02109	Bear Stearns & Co.	0352		11/24/86	UAL	09/04/01	S	2,100	32.57	09/25/01	See Above
	FSP Air Transportation	82 Devonshire Street Boston MA 02109	Bear Stearns & Co.	0352		11/24/86	UAL	08/28/01	S	3,000	33.75	09/25/01	See Above
(b) (4)	Fuji Investment Management	8-1 Nihonbashi Kobunacho Chuo-Ku, Tokyo	Goldman Sachs	0005		2/29/96 - 4/7/98	XL	9/4/01 - 9/5/01	S	6090		10/31/01	Discussed with SEC
	Fuji Investment Management	A/C (b) (4) A/C (b) (4) 8-1 Nihonbashi Kobunacho Chuo-Ku, Tokyo	Goldman Sachs	0005		04/01/96	AIG	09/05/01	S	150	76.5	10/31/01	Discussed with SEC
	Fuji Investment Management	A/C (b) (4) A/C (b) (4) 8-1 Nihonbashi Kobunacho Chuo-Ku, Tokyo	Goldman Sachs	0005		04/01/96	LUV	09/05/01	S	500	17.86	10/31/01	Discussed with SEC
	Fuji Investment Management	A/C (b) (4) A/C (b) (4) 8-1 Nihonbashi Kobunacho Chuo-Ku, Tokyo	Goldman Sachs	0005		04/01/96	XL	09/05/01	S	500	81.93	10/31/01	Discussed with SEC

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(b) (4)	Fundacion High Tower	PO Box 87-3504, Panama 7, Panama City	Salomon Smith Barney	0418	(b) (4)	08/21/01	LLL	09/07/01	B	60	63.35	10/15/01	Discussed with SEC
	Fundacion High Tower	PO Box 87-3504, Panama 7, Panama City	Salomon Smith Barney	0418		08/21/01	LLL	09/05/01	B	248	65.28	10/15/01	Discussed with SEC
	Fundacion High Tower	PO Box 87-3504, Panama 7, Panama City	Salomon Smith Barney	0418		08/21/01	RTN	09/05/01	B	501	27.02	10/15/01	Discussed with SEC
	Fundacion Luna Rossa	Apartado 55-2459, Paitilla 0831, Panams	Salomon Smith Barney	0418		08/21/01	LLL	09/05/01	B	100	65.5	10/15/01	Discussed with SEC
	Fundacion Luna Rossa	Apartado 55-2459, Paitilla 0831, Panams	Salomon Smith Barney	0418		08/21/01	RTN	09/05/01	B	193	27.02	10/15/01	Discussed with SEC
	Fundacion Para Estabilizacion Y Fortaleximiento De Fedpa	Apartado Postal 6-5737, El Dorado, Panma, Rep De Panama	Merrill Lynch	0161	(b) (4)	12/02/99	AIG	09/06/01	S	24	75.02	10/15/01	Discussed with SEC
	Fundacion Para Estabilizacion Y Fortaleximiento De Fedpa	Apartado Postal 6-5737, El Dorado, Panma, Rep De Panama	Merrill Lynch	0161		12/02/99	BA	09/06/01	S	14	49.55	10/15/01	Discussed with SEC
	Fundacion Para Estabilizacion Y Fortaleximiento De Fedpa	Apartado Postal 6-5737, El Dorado, Panma, Rep De Panama	Merrill Lynch	0161		12/02/99	DAL	08/30/01	S	8	38.8654	10/15/01	Discussed with SEC
	Fundacion Para Estabilizacion Y Fortaleximiento De Fedpa	Apartado Postal 6-5737, El Dorado, Panma, Rep De Panama	Merrill Lynch	0161		12/02/99	HLT	09/06/01	S	50	12.04	10/15/01	Discussed with SEC
	Fundacion Para Estabilizacion Y Fortaleximiento De Fedpa	Apartado Postal 6-5737, El Dorado, Panma, Rep De Panama	Merrill Lynch	0161		12/02/99	XL	09/06/01	S	12	81.27	10/15/01	Discussed with SEC
	Fundacion Para Estabilizacion Y Fortaleximiento De Fedpa	Apartado Postal 6-5737, El Dorado, Panma, Rep De Panama	Merrill Lynch	0161		12/02/99	AIG	09/05/01	S	45	76.01	10/15/01	Discussed with SEC
	Furman Selz FAO Castle Rock Partners	New York, NY 10017	Spear Leeds & Kellogg	0501		05/30/01	CNC	09/05/01	S	562,700	8.05	10/08/01	
(b) (6), (b) (7)(C)			Credit Suisse First Boston Corp.	0443	(b) (6), (b) (7)(C)	01/19/99	AIG	09/05/01	S	375	73.97	10/08/01	
			Credit Suisse First Boston Corp.	0443		01/19/99	BA	09/05/01	S	130	50.18	10/08/01	
			Credit Suisse First Boston Corp.	0443		01/19/99	MMC	09/05/01	S	100	91.6	10/08/01	
			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	10/15/97	AIG	09/06/01	S	2	74	10/01/01	
			Salomon Smith Barney	0418		10/21/97	AIG	09/06/01	S	21	74	10/01/01	
			UBS Painewebber Inc.	0221		08/14/01	AIG	09/06/01	S	175	75.38	10/01/01	

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(b) (6), (b) (7)(C)			Prudential Securites Inc.	0030	(b) (6), (b) (7)(C)	08/17/01	XL	09/10/01	S	200	82	10/08/01	Discussed with SEC
			TD Waterhouse	0044		02/12/97	LUV	09/04/01	S	200	18.35	11/14/01	
			TD Waterhouse	0044		02/12/97	UAL	08/14/01	SS	100	34.71	11/14/01	
(b)(4)	Gerard Klauer Mattison & Co-MPPP, (b)(6), (b)(7)(C) (b)(6), (b)(7)(C) ITEES, Metropolitan West Capital Mgmt	529 5th Ave., New York, NY 10017-4608	Lewco	0277	(b)(4)	08/28/01	RTN	09/10/01	B	1000	24.45	10/31/01	
(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	04/08/99	MWD	09/10/01	SS	3,000	48.75	10/08/01	
			Salomon Smith Barney	0418		07/07/99	AIG	09/07/01	S	17	74.93	10/01/01	
			National Financial Services	0226	(b) (6), (b) (7)(C)	09/28/98	AIG	09/10/01	S	151	72.5	09/27/01	
			Morgan Stanley & Co.	0050		05/04/92	UAL	08/27/01-08/30/01	SS	141,400	32.452-33.925	09/25/01	Discussed with SEC
			UBS Painewebber Inc.	0221	(b) (6), (b) (7)(C)	08/09/01	AIG	09/05/01	S	1000	74	10/01/01	New account documents; account activity 6/01to 9/01 given to SEC on 10/04/01
			UBS Painewebber Inc.	0221	(b) (6), (b) (7)(C)	08/09/01	AIG	09/05/01 09/06/01	S S	2000 1000	74 75.02	10/01/01	
			Salomon Smith Barney	0418		09/25/00	AXA	09/07/01	S	66	23.27	10/02/01	
			Merrill Lynch, Inc.	0161		04/27/98	TWK	09/05/01	S	11	13.8	10/15/01	
(b) (6), (b) (7)(C)			Deutsche Bank Alex Brown Inc.	0573	(b) (6), (b) (7)(C)	04/09/99	AIG	09/10/01	S	130	74.4	10/15/01	Discussed with SEC
			Deutsche Bank Alex Brown Inc.	0573		04/09/99	BA	09/10/01	S	180	44.33	10/15/01	Discussed with Sec
			Deutsche Bank Alex Brown Inc.	0573		04/09/99	LUV	09/10/01	S	160	17.01	10/15/01	Discussed with SEC
			Deutsche Bank Alex Brown Inc.	0573		04/09/99	MMC	09/10/01	S	145	86.76	10/15/01	Discussed with SEC
			Deutsche Bank Alex Brown Inc.	0573		04/09/99	AIG	09/10/01	S	175	74.23	10/15/01	Discussed with SEC
(b) (4)	Gold/Eastman Kodak	Bear Stearns Metrotech Center Brooklyn, NY	SG Cowen	0286	(b) (4)	06/05/98	CNC	09/04/01	S	4800	8.86	10/31/01	
	Gold/Eastman Kodak	Bear Stearns Metrotech Center Brooklyn, NY	SG Cowen	0286		06/05/98	CNC	09/05/01	S	49100	8.12	10/31/01	

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(b) (4)	Gold/Eastman Kodak	Bear Stearns Metrotech Center Brooklyn, NY	SG Cowen	0286	(b) (4)	06/05/98	CNC	09/06/01	S	61200	8.01	10/31/01	
	Gold/Eastman Kodak	Bear Stearns Metrotech Center Brooklyn, NY	SG Cowen	0286		06/05/98	CNC	09/07/01	S	33200	7.11	10/31/01	
	Gold/Eastman Kodak	Bear Stearns Metrotech Center Brooklyn, NY	SG Cowen	0286		06/05/98	CNC	09/10/01	S	45700	7.63	10/31/01	
	Gold/Eastman Kodak	Bear Stearns Metrotech Center Brooklyn, NY	SG Cowen	0286		06/12/98	TWE	09/10/01	S	2200	7.3	10/31/01	
(b) (6), (b) (7)(C)			First Clearing Corp.	0141	(b) (6), (b) (7)(C)	02/14/01	AIG	09/05/01	S	100	73.86	10/03/01	Discussed with Sec
			First Clearing Corp.	0141		02/14/01	MWD	09/05/01	S	65	51.67	10/03/01	Discussed with SEC
			First Clearing Corp.	0141		02/14/01	AIG	09/05/01	S	180	73.92	10/03/01	Discussed with SEC
			First Clearing Corp.	0141		02/14/01	LUV	09/05/01	S	605	17.68	10/03/01	Discussed with SEC
			First Clearing Corp.	0141		02/27/01	AIG	09/05/01	S	50	74.7	10/03/01	Discussed with SEC
			First Clearing Corp.	0141		02/27/01	MWD	09/05/01	S	35	52.1	10/03/01	Discussed with SEC
			First Clearing Corp.	0141		02/14/01	AIG	09/05/01	S	155	74.1	10/03/01	Discussed with SEC
			First Clearing Corp.	0141		02/14/01	MWD	09/05/01	S	195	51.45	10/03/01	Discussed with SEC
(b) (4)	Goldman Sachs & Co. Prime Broker FAO Hampshire Company	1 NY Plaza 48th Floor New York, NY 10004	Merrill Lynch Inc.	0161	(b) (4)	02/02/00	XL	09/04/01	S	18,500	83	10/10/01	
	Goldman Sachs FAO Deephaven Captial Management	PO Box 64, New York, NY 10274	Spear Leeds	0501		03/21/00	LLL	09/05/01	B	2,500	64.8	10/15/01	
(b) (6), (b) (7)(C)			Raymond James & Associates, Inc.	0725	(b) (6), (b) (7)(C)	01/18/01	AIG	09/04/01	S	45	77.75	10/08/01	
			Raymond James & Associates, Inc.	0725		01/18/01	DAL	09/07/01	S	5	36.99	10/08/01	
			Raymond James & Associates, Inc.	0725		01/18/01	U	09/07/01	S	115	11.82	10/08/01	
(b) (4)	Government Investment Corp. c/o The Northern Trust Co.	Singapore Branch UOB Plaza 1 80 Raffles Plance #46-02 048624 Singapore	Bear Stearns Company	0352	(b) (4)	07/31/98	XL	09/06/01	S	15,700	81.35	10/15/01	Discussed with SEC
	Government of Singapore	168 Robinson Road #37-01 Capital Tower Singapore 068912	Sanford C. Bernstein & Co.	0013		08/21/92	AIG	09/07/01	S	64,600	74.17	09/26/01	Discussed with SEC

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(b) (4)	Government of Singapore	168 Robinson Road #37-01 Capital Tower Singapore 068912	Sanford C. Bernstein & Co.	0013	(b)(4)	08/21/92	AIG	09/07/01	S	10,900	74.17	09/26/01	Discussed with SEC
	Government of Singapore	168 Robinson Road #37-01 Capital Tower Singapore 068912	Sanford C. Bernstein & Co.	0013		08/29/94	AIG	09/07/01	S	14,800	74.17	09/26/01	Discussed with SEC
	Government of Singapore	16 Wall Street, 5th Floor New York, NY 10005-1901	Morgan Stanley & Co.	0050		11/28/97	AIG	09/06/01	S	7,900	75.22	09/26/01	Discussed with SEC
	Government of Singapore	#33-00 Raffles City Tower Singapore 179101 Singapore	Merrill Lynch Inc.	0161		08/01/00	MMC	09/07/01	S	15,800	87.29	10/10/01	Discussed with SEC
	Government of Singapore	#33-00 Raffles City Tower Singapore 179101 Singapore	Merrill Lynch Inc.	0161		08/01/00	RTN	09/07/01	S	4,700	25.36	10/10/01	Discussed with SEC
	Government of Singapore	#33-00 Raffles City Tower Singapore 179101 Singapore	Merrill Lynch Inc.	0161		08/01/00	XL	09/07/01	S	34,200	80.68	10/10/01	Discussed with SEC
	Government of Singapore	#33-00 Raffles City Tower Singapore 179101 Singapore	Merrill Lynch Inc.	0161		08/01/00	MMC	09/07/01	S	3,900	87.29	10/10/01	Discussed with SEC
	Government of Singapore	#33-00 Raffles City Tower Singapore 179101 Singapore	Merrill Lynch Inc.	0161		08/01/00	XL	09/07/01	S	8,500	80.68	10/10/01	Discussed with SEC
(b) (4)	Government of Singapore	#33-00 Raffles City Tower Singapore 179101 Singapore	Merrill Lynch Inc.	0161		08/01/00	MMC	09/07/01	S	2,800	87.29	10/10/01	Discussed with SEC
	Government of Singapore	#33-00 Raffles City Tower Singapore 179101 Singapore	Merrill Lynch Inc.	0161		08/01/00	RTN	09/07/01	S	1,100	25.36	10/10/01	Discussed with SEC
	Government of Singapore	#33-00 Raffles City Tower Singapore 179101 Singapore	Merrill Lynch Inc.	0161		08/01/00	XL	09/07/01	S	6,100	80.68	10/10/01	Discussed with SEC
	Government of Singapore	250 North Bridge Road Raffles City Tower Singapore 0617	Morgan Stanley & Co.	0050		10/03/00	AIG	09/06/01	S	21,100	75.22	09/26/01	Discussed with SEC
	Government of Singapore	#33-00 Raffles City Tower Singapore 179101 Singapore	Merrill Lynch Inc.	0161		10/06/00	MMC	09/07/01	S	4,600	87.29	10/10/01	Discussed with SEC
	Government of Singapore	#33-00 Raffles City Tower Singapore 179101 Singapore	Merrill Lynch Inc.	0161		10/06/00	XL	09/07/01	S	9,600	80.68	10/10/01	Discussed with SEC
	Government of Singapore	168 Robinson Road #37-01 Capital Tower Singapore 068912	Sanford C. Bernstein & Co.	0013		09/28/00	AIG	09/07/01	S	19,400	74.17	09/26/01	Discussed with SEC

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(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	02/20/98	DAL	08/30/01	S	68	38.81	10/10/01	Discussed with SEC
			Salomon Smith Barney	0418		09/05/01	AIG	09/07/01	S	198	75.2	10/10/01	
			Salomon Smith Barney	0418		09/05/01	BA	09/07/01	S	118	47.62	10/10/01	
			Salomon Smith Barney	0418		09/05/01	HLT	09/07/01	S	417	11.6	10/10/01	
			Salomon Smith Barney	0418		09/05/01	MWD	09/07/01	S	126	49.28	10/10/01	
			Sanford C. Bernstein & Co.	0013	(b) (6), (b) (7)(C)	08/13/01	AIG	09/10/01	S	1,000	74.47	09/26/01	
			MS Dean Witter	0015		04/26/00	LUV	09/10/01	S	165	17.03	10/31/01	
			MS Dean Witter	0015		04/26/00	AXA	09/10/01	S	310	23.62	10/31/01	
			Credit Suisse First Boston Corp.	0443		08/25/98	CNC	09/07/01	SS	1,000	7.25	10/08/01	
			Credt Suisse First Boston/ DLJ	0443		10/15/98	MWD	09/07/01	SS	400	47.26	10/08/01	
			Credt Suisse First Boston/ DLJ	0443		10/15/98	MWD	09/07/01	SS	1,100	47.26	10/08/01	
(b) (4)	Grosvenor Investment LTD	PO Box 211 Butterfield House, The Grange St Peter Port, Guernsey GY1 3NQ, Channel Islands	Goldman Sachs & Co.	0005	(b) (4)	8/31/99	LEH	9/5/01	SS	3,443	66.6434	09/26/01	Discussed with SEC
	Grosvenor Investment LTD	PO Box 896, George Town, Grand Cayman, Cayman Islands	Goldman Sachs & Co.	0005		12/21/99	HLT	9/7/01	SS	44,800	11.6967	09/26/01	Discussed with SEC
	Grosvenor Investment LTD	PO Box 896, George Town, Grand Cayman, Cayman Islands	Goldman Sachs & Co.	0005		12/21/99	RTN	9/4/01	SS	4,800	27.095	09/26/01	Discussed with SEC

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Buy(B) Short(SS)/ Long(S)	Volume	Price	SEC Contact Date	Followup
(b) (4)	Grosvenor Investment LTD	PO Box 896, George Town, Grand Cayman, Cayman Islands	Goldman Sachs & Co.	0005	(b) (4)	12/21/99	RTN	9/10/01	B	7,700	24.2834	09/26/01	Discussed with SEC
	Grosvenor Investment LTD	PO Box 896, George Town, Grand Cayman, Cayman Islands	Goldman Sachs & Co.	0005		12/21/99	RTN	9/7/01	B	8,400	25.5838	09/26/01	Discussed with SEC
	Gruppo Monte Paschi Asset Mgmt Equity Consumer Cyclical	Via Vigna 6 Milan 20123 Italy	Deutsche Banc Alex. Brown Inc.	0573		09/04/01	LUV	09/04/01	S	1203	17.89	11/14/01	
	Gulf International Bank	One Knights Bridge London, England	Morgan Keegan & Co.	0780		07/24/98	AIG	09/05/01	S	20,000	73.84	09/24/01	Sent new account documents; contact name and telephone # to SEC on 9/26/01.
(b) (6), (b) (7)(C)			Charles Schwab & Co.	0164	(b) (6), (b) (7)(C)	12/23/94	AIG	09/07/01	SS	2000	75.02	09/28/01	Discussed with SEC
			Merrill Lynch	0161		08/04/99	AIG	09/06/01	S	1200	74.8	10/23/01	Discussed with SEC
			Merrill Lynch	0161		08/04/99	AIG	09/06/01	S	300	74.8	10/23/01	Discussed with SEC
			Merrill Lynch	0161		08/04/99	BA	09/06/01	S	1100	49.91	10/23/01	Discussed with SEC
			Merrill Lynch	0161		08/04/99	CNC	09/06/01	S	200	7.96	10/23/01	Discussed with SEC
			Merrill Lynch	0161		08/04/99	DAL	09/06/01	S	400	38.35	10/23/01	Discussed with SEC
			Merrill Lynch	0161		08/04/99	HOT	09/06/01	B	100	31.17	10/23/01	Discussed with SEC
			Merrill Lynch	0161		08/04/99	MMC	09/06/01	S	300	90.76	10/23/01	Discussed with SEC
			Merrill Lynch	0161		08/04/99	UAL	09/06/01	S	200	31.86	10/23/01	Discussed with SEC
			Merrill Lynch, Inc.	0161		01/10/95	AMR	09/10/01	S	136	29.7	10/08/01	New account documents sent to SEC on 10/23/01

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(b) (6), (b) (7)(C)			Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	01/10/95	AXA	09/05/01	S	150	25	10/08/01	See Above
			Merrill Lynch, Inc.	0161		01/10/95	RTN	09/06/01	B	330	26.06	10/08/01	See Above
			Merrill Lynch, Inc.	0161		04/07/93	DAL	08/31/01	S	54	38.65	10/08/01	See Above
			Salomon Smith Barney	0418		11/29/95	MWD	09/06/01	SS	170	50.1	10/08/01	
(b) (4)	Harbert Management Corp f/a/o Prime Brokerage	One Riverchase Parkway South, Birmingham AL 35244-2008	Morgan Stanley	0050	(b) (4)	08/01/01	HOT	09/07/01	SS	11,000	30.1	10/08/01	Discussed with SEC
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch	0161	(b) (6), (b) (7)(C)	09/16/97	AIG	09/07/01	S	92	75.35	10/08/01	Discussed with SEC
			Merrill Lynch	0161		09/16/97	LUV	09/07/01	S	657	17.61	10/08/01	Discussed with SEC
			Merrill Lynch	0161		09/16/97	AEG	09/07/01	S	115	25.5	10/08/01	Discussed with SEC
			Merrill Lynch	0161		09/16/97	AXA	09/07/01	S	160	23.17	10/08/01	Discussed with SEC
			Merrill Lynch	0161		09/05/00	ALK	09/07/01	S	34	30.97	10/08/01	Discussed with SEC
(b) (4)	Harbinger Long/Short Equity	P.O. Box 1297, Birmingham, AL 35201	Morgan Stanley	0050	(b) (4)	08/01/01	HOT	09/07/01	SS	11,000	30.1	10/31/01	
	Harvest Capital	C/O Merril Lynch Int Bank Ltd. 2 Raffles Link Marina Bayfront Singapore	Merrill Lynch	0161		08/24/01	RTN	09/05/01	B	110	27.1	11/14/01	
	Hawaiian Trust Co. Ltd. A/C Fed States of Micronesia Comp Act-Atalanta (b) (4)	P.O. Box 3170 Honolulu, HI 96802-3170	Salomon Smith Barney	0418		06/13/95	XL	09/05/01	S	300	81.69	10/15/01	Discussed with SEC
(b)(6), (b)(7)(C)	(b)(6), (b)(7) Large Cap Value	(b)(6), (b)(7)(C)	CIBC World Markets	0438	(b) (6), (b) (7)(C)	07/05/00	AIG	09/07/01	S	35	73.69	11/14/01	
	(b)(6), (b)(7) Large Cap Value		CIBC World Markets	0438		07/05/00	BA	09/07/01	S	45	45.96	11/14/01	
	(b)(6), (b)(7) Large Cap Value		CIBC World Markets	0438		07/05/00	LUV	09/07/01	S	37	17.03	11/14/01	
(b) (6), (b) (7)(C)			Merrill Lynch	0161	(b) (6), (b) (7)(C)	10/23/98	TWK	09/05/01	S	16	13.8	11/14/01	
			CIBC World Markets	0438		04/05/00	AIG	09/07/01	S	30	73.5	11/14/01	
			CIBC World Markets	0438		04/05/00	AXA	09/07/01	S	80	23.25	11/14/01	
			CIBC World Markets	0438		04/05/00	AIG	09/07/01	S	37	73.55	11/14/01	

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(b) (6), (b) (7)(C)			CIBC World Markets	0438	(b) (6), (b) (7)(C)	04/05/00	BA	09/07/01	S	45	45.79	11/14/01	
			CIBC World Markets	0438		04/05/00	LUV	09/07/01	S	45	17.03	11/14/01	
(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	02/08/00	RTN	09/07/01	B	400	25.1	11/14/01	
			Salomon Smith Barney	0418		02/08/00	RTN	09/07/01	B	400	25.1	10/10/01	
			UBS Painewebber Inc.	0221		08/22/01	AIG	09/05/01	S	52	75.1	10/01/01	
(b) (4)	Hershey Partners LLC	4041 Picardy Drive Northbrook, IL 60062-2145	Bear Stearns Company	0352	(b) (4)	12/24/98	XL	09/04/01	SS	1,500	82.5	10/15/01	Discussed with SEC
(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	03/07/01	MWD	09/07/01	S	22,980	47.6046	10/08/01	New account documents sent to SEC on 10/09/01
			Salomon Smith Barney	0418		03/07/01	MWD	09/06/01	S	50,000	50.973	10/08/01	See Above
			Salomon Smith Barney	0418		03/08/01	MWD	09/06/01	S	1,000	50.7	10/08/01	See Above
(b) (4)	1111 Managed Account 7 LTD c/o Zweig Intl Managers	900 Third Ave,30th Floor New York, NY 10022-4728	UBS Painewebber Inc.	0221	(b) (4)	02/02/94	CNC	09/04/01 09/07/01	SS SS	900 8100	8.76 7.47	10/01/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Banc of America Securities Montgomery Division	0773	(b) (6), (b) (7)(C)	05/25/01	AEG	09/04/01	S	1269	28.8	10/31/01	Discussed with SEC
			Banc of America Securities Montgomery Division	0773		05/25/01	LUV	09/04/01	S	2250	18.25	10/31/01	Discussed with SEC
(b) (6), (b) (7)(C)		B of A Private Investments attn: (b)(6), (b)(7) 100 N Broadway 10th FL St Louis, Mo	Banc of America Securities Montgomery Division	0773	(b) (6), (b) (7)(C)	07/06/00	AEG	09/04/01	S	1269	28.8	10/31/01	Discussed with SEC
		B of A Private Investments attn: (b)(6), (b)(7)(C) 100 N Broadway 10th FL St Louis, Mo	Banc of America Securities Montgomery Division	0773		07/06/00	LUV	09/04/01	S	2250	18.25	10/31/01	Discussed with SEC
		Banc of America Boatmens #(b)(6), (b)(7)(C) 800 Market Street St Louis, MO	Banc of America Securities Montgomery Division	0773		05/25/01	AEG	09/04/01	S	1269	28.8	10/31/01	Discussed with SEC

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(b) (6), (b) (7)(C)		Banc of America Boatmens #(b)(6), (b)(7)(C) 800 Market Street St Louis, MO	Banc of America Securities Montgomery Division	0773	(b) (6), (b) (7)(C)	05/25/01	LUV	09/04/01	S	2250	18.25	10/31/01	Discussed with SEC
		B of A Private Investments attn:(b)(6), (b)(7)(C) 100 N Broadway 10th FL St Louis, Mo	Banc of America Securities Montgomery Division	0773		07/06/00	AEG	09/04/01	S	1269	28.8	10/31/01	Discussed with SEC
		B of A Private Investments attn:(b)(6), (b)(7)(C) 100 N Broadway 10th FL St Louis, Mo	Banc of America Securities Montgomery Division	0773		07/06/00	LUV	09/04/01	S	2250	18.25	10/31/01	Discussed with SEC
(b) (6), (b) (7)(C)		Banc of America Boatmens #(b)(6), (b)(7)(C) 800 Market Street St Louis, MO	Banc of America Securities Montgomery Division	0773	(b) (6), (b) (7)(C)	05/25/01	AEG	09/04/01	S	1269	28.8	10/31/01	Discussed with SEC
		Banc of America Boatmens #(b)(6), (b)(7)(C) 800 Market Street St Louis, MO	Banc of America Securities Montgomery Division	0773		05/25/01	LUV	09/04/01	S	2250	18.25	10/31/01	Discussed with SEC
(b) (6), (b) (7)(C)		B of A Private Investments attn:(b)(6), (b)(7)(C) 100 N Broadway 10th FL St Louis, Mo	Banc of America Securities Montgomery Division	0773	(b) (6), (b) (7)(C)	07/06/00	AEG	09/04/01	S	1269	28.8	10/31/01	Discussed with SEC
(b) (6), (b) (7)(C)		B of A Private Investments attn:(b)(6), (b)(7)(C) 100 N Broadway 10th FL St Louis, Mo	Banc of America Securities Montgomery Division	0773	(b) (6), (b) (7)(C)	07/06/00	LUV	09/04/01	S	2250	18.25	10/31/01	Discussed with SEC
(b) (4)	High River Limited	Attn:(b) (6), (b) (7)(C) 1 Wall Street Court New York, NY	Merrill Lynch	0161	(b) (4)	08/12/96	AMR	08/29/01	SS	100000	32 92	10/23/01	Discussed with SEC
	High River Limited	Attn:(b) (6), (b) (7)(C) 1 Wall Street Court New York, NY	Merrill Lynch	0161		08/12/96	AMR	08/30/01	SS	2900	32.82	10/23/01	
	Highline Capital Intl. LTD	C/O Highline Advisors LLC 1270 Ave of Americas, 4th Fl. New York, NY 10020	Goldman Sachs & Co.	0005		06/07/00	HLT	09/07/01	SS	48,100	11 6767	10/01/01	Telephone # for Highline Advisors sent to SEC on 10/10/01and UCO information sent on 10/09/01
	Highline Capital Intl. LTD	Bison Court PO Box 3460 Road Town Tortola, British Virgin Islands	Goldman Sachs & Co.	0005		06/19/00	HLT	09/07/01	SS	33,300	11.6967	10/01/01	See Above

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(b) (4)	Highline Capital QP LP	1270 Ave of Americas, 4 th Fl. New York, NY 10020	Goldman Sachs & Co.	0005	(b) (4)	12/14/00	HLT	09/07/01	SS	18,300	11.6767	10/01/01	See Above
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Charles Schwab & Co., Inc.	164	(b) (6), (b) (7)(C)	09/19/91	AIG AXA BA CNC LUV RTN	09/10/01 09/10/01 09/10/01 09/10/01 09/10/01 09/10/01	S S S S S S	579 500 500 1000 500 100	73.29 23.44 44.77 7.48 16.84 24.54	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	01/26/01	XL	09/04/01	S	675	82.86	10/15/01	
			Merrill Lynch, Inc.	0161		09/04/01	XL	09/04/01 09/04/01	S S	100 4017	82.65 82.7	10/15/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	10/01/99	CNC	09/07/01	SS	1900	6.89	10/01/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	MS Dean Witter	0015	(b) (6), (b) (7)(C)	11/13/00	AXA	09/07/01	S	90	23.12	10/31/01	
			MS Dean Witter	0015		11/13/00	AXA	09/07/01	S	220	23.12	10/31/01	
			MS Dean Witter	0015		11/13/00	LUV	09/07/01	S	315	16.95	10/31/01	
(b) (4)	Hollis Capital	Bear Stearns Prime Broker 1 Metrotech Center North Brooklyn, NY	Merrill Lynch	0161	(b) (4)	12/19/00	LUV	09/07/01	S	10,000	17.18	10/15/01	Discussed with SEC
	Hollis Capital	c/o (b) (6), (b) (7)(C) 1 Sansome Street San Francisco, CA	Bear Stearns	0352		09/01/92	HLT	09/05/01	S	15,000	12.29	10/15/01	Discussed with SEC
	Hollis Capital	c/o (b) (6), (b) (7)(C) 1 Sansome Street San Francisco, CA	Bear Stearns	0352		09/01/92	HLT	09/10/01	S	15,000	11.18	10/15/01	Discussed with SEC
	Hollis Capital	c/o (b) (6), (b) (7)(C) 1 Sansome Street San Francisco, CA	Bear Stearns	0352		09/01/92	LUV	09/07/01	S	10,000	17.18	10/15/01	Discussed with SEC
	Hollis Capital	c/o (b) (6), (b) (7)(C) 1 Sansome Street San Francisco, CA	Bear Stearns	0352		09/01/92	LUV	09/10/01	S	25,000	16.7	10/15/01	Discussed with SEC

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(b) (4)	Hollis Capital	Bear Stearns Secs Corp C/O (b) (6), (b) (7)(C) 1 Metrotech Center North Brooklyn, NY	Bear Stearns	0352	(b) (4)	03/25/94	HLT	09/05/01	S	1,200	12.29	10/15/01	Discussed with Sec
	Hollis Capital	Bear Stearns Secs Corp C/O (b) (6), (b) (7)(C) 1 Metrotech Center North Brooklyn, NY	Bear Stearns	0352		03/25/94	HLT	09/05/01	S	1,400	12.27	10/15/01	Discussed with SEC
	Hollis Capital	Bear Stearns Secs Corp C/O (b) (6), (b) (7)(C) 1 Metrotech Center North Brooklyn, NY	Bear Stearns	0352		03/25/94	HLT	09/05/01	S	1,400	12.28	10/15/01	Discussed with SEC
	Hollis Capital	Bear Stearns Secs Corp C/O (b) (6), (b) (7)(C) 1 Metrotech Center North Brooklyn, NY	Bear Stearns	0352		03/25/94	HLT	09/05/01	S	11,000	12.3	10/15/01	Discussed with SEC
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	UBS PaineWebber	0221	(b) (6), (b) (7)(C)	11/08/00	LUV	09/10/01	S	200	16.74	10/08/01	
			UBS PaineWebber	0221		05/21/01	AIG	09/10/01	S	30	72.5	10/08/01	
			UBS PaineWebber	0221		05/21/01	BA	09/10/01	S	40	44.9	10/08/01	
			UBS PaineWebber	0221		05/21/01	LUV	09/10/01	S	35	16.74	10/08/01	
			UBS PaineWebber	0221		05/21/01	MMC	09/10/01	S	30	86	10/08/01	
(b) (4)	Home Growth Ltd	C/O Merrill Lynch Int Bank Ltd. Trust Dep't 2 Raffles Link Marina Bayfront Singapore 039392	Merrill Lynch	0161	(b) (4)	06/08/01	RTN	09/06/01	B	120	26.06	11/14/01	
(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	12/20/00	AIG	09/10/01	S	52	74.38	11/14/01	
			Salomon Smith Barney	0418		12/20/00	MWD	09/10/01	S	15	49.09	11/14/01	
			Salomon Smith Barney	0418		12/20/01	AIG	09/10/01	S	30	74.36	11/14/01	
			Salomon Smith Barney	0418		12/20/01	AEG	09/10/01	S	90	25.92	11/14/01	
			Salomon Smith Barney	0418		12/20/01	AXA	09/10/01	S	100	24	11/14/01	
			Salomon Smith Barney	0418		07/22/97	AIG	09/06/01	S	150	75.78	10/08/01	

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(b)(6), (b)(7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b)(6), (b)(7)(C)	07/22/97	AXA	09/06/01	S	140	23.5	10/08/01	
			Salomon Smith Barney	0418		07/22/97	MWD	09/06/01	S	120	49.44	10/08/01	
			Salomon Smith Barney	0418		01/11/00	AEG	09/04/01	S	410	28.22	10/08/01	
			Salomon Smith Barney	0418		01/11/00	AXA	09/04/01	S	440	26	10/08/01	
			Salomon Smith Barney	0418		01/12/00	AIG	09/10/01	S	526	74.04	10/08/01	
			CIBC World Markets Corp.	0438		08/24/01	AIG	09/05/01	S	46	73	11/14/01	
			CIBC World Markets Corp.	0438		08/24/01	AIG	09/10/01	S	25	74.59	11/14/01	
			CIBC World Markets Corp.	0438		08/24/01	AIG	09/10/01	S	43	74.24	11/14/01	
			CIBC World Markets Corp.	0438		08/24/01	AIG	09/04/01	S	87	76.75	11/14/01	
			CIBC World Markets Corp.	0438		08/24/01	AIG	09/04/01	S	100	76.75	11/14/01	
(b)(4)	Hutchins, Mitchell, Wuantitiative Allo. Prtnrs, LP	120 Broadway, 13th Floor, New York, NY 10005-1007	Morgan Stanley and Co.	0050	(b)(4)	06/30/00	AIG	09/07/01	S	500	73.15	11/14/01	
	Hutchins, Mitchell, Wuantitiative Allo. Prtnrs, LP	120 Broadway, 13th Floor, New York, NY 10005-1007	Morgan Stanley and Co.	0050		06/30/00	AMR	09/07/01	S	100	30.15	11/14/01	
	Hutchins, Mitchell, Wuantitiative Allo. Prtnrs, LP	120 Broadway, 13th Floor, New York, NY 10005-1007	Morgan Stanley and Co.	0050		06/30/00	BA	09/07/01	S	200	45.18	11/14/01	
	Hutchins, Mitchell, Wuantitiative Allo. Prtnrs, LP	120 Broadway, 13th Floor, New York, NY 10005-1007	Morgan Stanley and Co.	0050		06/30/00	HOT	09/07/01	S	100	29.81	11/14/01	
	Hutchins, Mitchell, Wuantitiative Allo. Prtnrs, LP	120 Broadway, 13th Floor, New York, NY 10005-1007	Morgan Stanley and Co.	0050		06/30/00	LUV	09/07/01	S	200	16.94	11/14/01	
	Hutchins, Mitchell, Wuantitiative Allo. Prtnrs, LP	120 Broadway, 13th Floor, New York, NY 10005-1007	Morgan Stanley and Co.	0050		06/30/00	RTN	9/7/091	S	100	24.85	11/14/01	
(b)(6), (b)(7)(C)	Hwa, Jen Kwong	(b)(6), (b)(7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	02/12/99	AIG	09/05/01	S	41	74.2	11/14/01	

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	02/12/99	MWD	09/05/01	S	41		11/14/01	
			Salomon Smith Barney	0418		02/12/99	RTN	09/05/01	B	85	26.98	11/14/01	
			Salomon Smith Barney	0418		02/12/99	RTN	09/07/01	B	90	25.21	11/14/01	
			Salomon Smith Barney	0418		02/12/99	RTN	09/05/01	B	85	26.98	11/14/01	
			Salomon Smith Barney	0418		02/12/99	RTN	09/07/01	B	90	25.21	11/14/01	
			Deutsche Bank Alex Brown Inc.	0573		07/31/01	AXA	09/04/01	S	80	26	10/08/01	
(b) (4)	IAS Netting Account	Attn: P&S Dept	Raymond James Assoc.	0725	(b) (4)	03/08/88	AIG	09/04/01	S	3,682	77.75	10/08/01	
	IAS Netting Account	Attn: P&S Dept	Raymond James Assoc.	0725		03/08/88	AIG	09/07/01	S	5,086	73.4	10/08/01	
	IAS Netting Account	Attn: P&S Dept	Raymond James Assoc.	0725		03/08/88	DAL	09/07/01	S	500	36.99	10/08/01	
	IAS Netting Account	Attn: P&S Dept	Raymond James Assoc.	0725		03/08/88	U	09/07/01	S	9,360	11.82	10/08/01	
	Iavesco Bermuda Asset Management A/C Bermuda Government Contribution Fund	12 Bermudiana Road P.O. Box HM66 Hamilton_HM AX Bermuda	UBS Painewebber Inc.	0221		06/08/98	XL	09/05/01	S	2,304	82.08	10/15/01	Discussed with SEC
	Iavesco Bermuda Asset Management FAO The Government of Bermuda Superannuation Fund	12 Bermudiana Road P.O. Box HM66 HM AX Hamilton Bermuda	UBS Painewebber Inc.	0221		03/08/01	XL	09/05/01	S	896	82.08	10/15/01	Discussed with SEC
	IBM Pension	P97963/IH FRC 1000 3 Chase Metrotech Center Brooklyn, NY	Lehman Brothers	0074		06/29/00	BA	09/04/01	S	49683	49.74	10/23/01	Discussed with SEC
	IBM Pension	P97963/IH FRC 1000 3 Chase Metrotech Center Brooklyn, NY	Lehman Brothers	0074		06/29/00	LLL	09/04/01	B	2314	67.07	10/23/01	Discussed with SEC
	IBM Pension	P97963/IH FRC 1000 3 Chase Metrotech Center Brooklyn, NY	Lehman Brothers	0074		06/29/00	RTN	09/04/01	B	12931	26.6	10/23/01	Discussed with SEC
	Iceberg Fund	C/O Matthes Capital MGMT 1 Maritime Plaza San Francisco, CA	Goldman Sachs	0005		03/03/97	CNC	09/10/01	SS	20000	7.64	10/31/01	Discussed with SEC

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Buy(B) Short(SS)/ Long(S)	Volume	Price	SEC Contact Date	Followup
(b) (4)	Iguacu Fund LLP	3201 New Mexico Avenue Ste 350, Washington DC 20016-2739	Banc of America Securities	0773	(b) (4)	09/28/00	DAL	09/07/01	SS	2,700	37.06	11/14/01	
	Iguacu Fund LLP	3201 New Mexico Avenue Ste 350, Washington DC 20016-2739	Banc of America Securities	0773		09/28/00	UAL	09/10/01	SS	6,500	30.4637	11/14/01	
	Illini Holdings Limited, C/O (b) (6), (b) (7)(C)	976 NE 90th St #24531, Miami, FL 33138	Merrill Lynch	0161		06/01/01	RTN	09/04/01	B	40	27.1	10/31/01	
	Intellis Market Neutral Fund	Morgan Stanley & Co A/C# (b) (4) Ave of the Amercas New York, NY	W&D Securities	0535		04/20/01	AMR	08/31/01	SS	1,000	31.97	10/08/01	
	Intellis Market Neutral Fund	Morgan Stanley & Co A/C# (b) (4) Ave of the Amercas New York, NY	W&D Securities	0535		04/20/01	TWK	09/10/01	SS	1,300	13.69	10/08/01	Discussed with SEC
	Intellis Market Neutral Fund	Morgan Stanley & Co A/C# (b) (4) Ave of the Amercas New York, NY	W&D Securities	0535		04/20/01	UAL	08/31/01	SS	800	32.53	10/08/01	Discussed with SEC
	Intellis Market Neutral Fund	Morgan Stanley & Co A/C# (b) (4) Ave of the Amercas New York, NY	W&D Securities	0535		04/20/01	UAL	08/24/01	SS	800	33.86	10/08/01	Discussed with SEC
	International Fund of Agricultural Development	c/o Putnam Investments 1Post Office Square Boston, MA 02109-2106	W& D Securities	0535		02/03/00	XL	09/06/01	S	1,250	81.3	11/06/01	
	Intesa Asset Management A/C Finanza	Foro Buonparte 35 Milan 20121 Italy	UBS Painewebber Inc.	0221		03/01/01	XL	09/05/01	S	32,000	81.87	10/15/01	Discussed with SEC
	INTL Risk Arb:PRU/Amergen	Attn: (b) (6), (b) (7)(C) Risk Arbitrage 245 Park Ave	Bear Stearns	0352		05/02/96	AIG	09/04/01	SS	1500	77.38	10/31/01	
	INTL Risk Arb:PRU/Amergen	Attn: (b) (6), (b) (7)(C) Risk Arbitrage 245 Park Ave	Bear Stearns	0352		05/02/96	AIG	09/05/01	S	2039	74.84	10/31/01	
	INTL Risk Arb/Canadian PAC	Attn: (b) (6), (b) (7)(C) Risk Arbitrage 245 Park Ave	Bear Stearns	0352		02/14/95	FHR	09/04/01	S	24900	36.82	10/31/01	
	INTL Risk Arb/Canadian PAC	Attn: (b) (6), (b) (7)(C) Risk Arbitrage 245 Park Ave	Bear Stearns	0352		02/14/95	FHR	09/05/01	S	25000	37.04	10/31/01	
	INTL Risk Arb/Canadian PAC	Attn (b) (6), (b) (7)(C) Risk Arbitrage 245 Park Ave	Bear Stearns	0352		02/14/95	FHR	09/06/01	S	450000	34.96	10/31/01	
	INTL Risk Arb/Canadian PAC	Attn: (b) (6), (b) (7)(C) Risk Arbitrage 245 Park Ave	Bear Stearns	0352		02/14/95	FHR	09/07/01	S	38600	33.05	10/31/01	

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(b) (4)	INTL Risk Arb/Canadian PAC	Attn: (b) (6), (b) (7)(C) Risk Arbitrage 245 Park Ave	Bear Stearns	0352	(b) (4)	02/14/95	FHR	09/10/01	S	50000	31.89	10/31/01	
	IPB US Domestic	A/C MPB Investment Fund Ltd. 25 Cabot Square Canary Wharf London E14 4QA United Kingdom	Morgan Stanley & Co.	0050		10/15/99	LUV	09/10/01	B	30,000	16.6137	09/28/01	Discussed with SEC
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)		Pershing Division of Donaldson, Lufkin, & Jenrette Securities Corporation	0443	(b) (6), (b) (7)(C)	01/13/00	AMR	09/07/01	S	700	29.857	11/14/01	
			Pershing Division of Donaldson, Lufkin, & Jenrette Securities Corporation	0443		01/13/00	BA	09/06/01	S	400	48.6602	11/14/01	
			Pershing Division of Donaldson, Lufkin, & Jenrette Securities Corporation	0443		01/13/00	HOT	09/06/01	S	1000	30.8224	11/14/01	
			Pershing Division of Donaldson, Lufkin, & Jenrette Securities Corporation	0443		11/11/99	AMR	09/07/01	S	300	29.857	11/14/01	
			Pershing Division of Donaldson, Lufkin, & Jenrette Securities Corporation	0443		11/11/99	BA	09/06/01	S	200	48.6602	11/14/01	
			Pershing Division of Donaldson, Lufkin, & Jenrette Securities Corporation	0443		11/11/99	HOT	09/06/01	S	600	30.8224	11/14/01	
(b) (4)	IRIDIAN ASSET MGMT LLC	A/C IAM 0156 A P SLOAN FDTN 276 POST RD W STE 100 WESTPORT CT 06880-4703	UBS Warburg LLC	0642	(b) (4)	4/1/99	CNC	09/05/01	S	3,000	7.8328	10/08/01	Discussed with SEC
	IRIDIAN ASSET MGMT LLC	A/C IAM 0156 A P SLOAN FDTN 276 POST RD W STE 100 WESTPORT CT 06880-4703	UBS Warburg LLC	0642		4/1/99	CNC	09/06/01	S	4,500	7.9853	10/08/01	Discussed with SEC

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(b) (4)	IRIDIAN ASSET MGMT LLC	A/C ALFRED P SLOAN FOUNDATION* 276 POST RD WEST WESTPORT CT 06880-4703	Bank of America Securities	0773	(b)(4)	10/31/00	CNC	09/07/01	S	3,000	7.7985	10/08/01	Discussed with SEC
	IRIDIAN ASSET MGMT LLC	A/C ALFRED P SLOAN FOUNDATION* 276 POST RD WEST WESTPORT CT 06880-4703	Bank of America Securities	0773		10/31/00	CNC	09/06/01	S	3,000	8.0064	10/08/01	Discussed with SEC
	IRIDIAN ASSET MGMT LLC	A/C ALFRED P SLOAN FOUNDATION* 276 POST RD WEST WESTPORT CT 06880-4703	Bank of America Securities	0773		10/31/00	CNC	09/05/01	S	3,000	8.0124	10/08/01	Discussed with SEC
	IRISH TRUST COMPANY (CAYMAN) LTD.	4000 IRISH TRUST COMPANY (CAYMAN) LTD. P O BOX 10657 APO 5TH FL GEORGE TOWN GRAND CAYMAN CAYMAN ISLANDS	UBS PaineWebber, Inc.	0221		09/25/95	LUV	09/06/01	SS	411,700	17.8152	10/23/01	Discussed with SEC
(b) (4)	I-Rival	Barclays Global Investor 45 Freemont Street San Francisco, CA	Salomon Smith Barney	418		11/22/00	AIG	09/04/01	S	204	77.46	11/14/01	
	I-Rival	Barclays Global Investor 45 Freemont Street San Francisco, CA	Salomon Smith Barney	418		11/22/00	AMR	08/23/01	B	25	32.25	11/14/01	
	I-Rival	Barclays Global Investor 45 Freemont Street San Francisco, CA	Salomon Smith Barney	418		11/22/00	BA	09/04/01	S	2889	51.5	11/14/01	
	I-Rival	Barclays Global Investor 45 Freemont Street San Francisco, CA	Salomon Smith Barney	418		11/22/00	DAL	09/04/01	S	23	39.37	11/14/01	
	I-Rival	Barclays Global Investor 45 Freemont Street San Francisco, CA	Salomon Smith Barney	418		11/22/00	HLT	09/04/01	S	36	12.87	11/14/01	
	I-Rival	Barclays Global Investor 45 Freemont Street San Francisco, CA	Salomon Smith Barney	418		11/22/00	HOT	09/04/01	S	25	33.85	11/14/01	
	I-Rival	Barclays Global Investor 45 Freemont Street San Francisco, CA	Salomon Smith Barney	418		11/22/00	MWD	09/04/01	S	150	54.16	11/14/01	

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(b) (4)	I-Rival	Barclays Global Investor 45 Freemont Street San Francisco, CA	Salomon Smith Barney	418	(b) (4)	11/22/00	U	09/04/01	S	2	13.05	11/14/01	
(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	09/28/90	AIG	09/10/01	S	112	74.06	11/14/01	
			Salomon Smith Barney	0418		09/28/90	MWD	09/10/01	S	60	48.32	11/14/01	
			Salomon Smith Barney	0418		02/14/00	AEG	09/10/01	S	55	25.93	11/14/01	
			Salomon Smith Barney	0418		02/14/00	CNC	09/10/01	S	63	7.41	11/14/01	
(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	12/08/00	AIG	09/10/01	S	45	74.06	11/14/01	
			Salomon Smith Barney	0418		12/08/00	BA	09/10/01	S	60	45.2	11/14/01	
			Salomon Smith Barney	0418		12/08/00	LUV	09/10/01	S	52	17.03	11/14/01	
			Salomon Smith Barney	0418		03/22/99	AIG	09/07/01	S	72	73.15	11/14/01	
			Salomon Smith Barney	0418		03/22/99	CNC	09/06/01	S	214	8	11/14/01	
(b) (4)	Jackson Laboratory attn: (b)(6), (b)(7)(C)	600 Maine, Bar Harbor ME 046091523	Morgan Stanley	0050	(b) (4)	04/23/99	AMR	08/22/01	SS	2600	32.0031	11/14/01	
	Jackson Laboratory attn: (b)(6), (b)(7)(C)	600 Maine, Bar Harbor ME 046091523	Morgan Stanley	0050		04/23/99	UAL	08/22/01	SS	2400	33.74	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Wachovia Securities	0346	(b) (6), (b) (7)(C)	03/05/98	RTN	09/06/01	B	120	26.05	10/31/01	
			CIBC World Markets	0438		02/24/93	AIG	09/07/01	S	65	73.35	10/31/01	
			CIBC World Markets	0438		02/24/93	BA	09/07/01	S	95	45.26	10/31/01	
			CIBC World Markets	0438		02/24/93	LUV	09/07/01	S	97	17.16	10/31/01	
			McDonald Investments, Inc.	0799		03/26/91	LUV	09/04/01	S	16,462	17.8978	09/25/01	Sent new account documents, telephone # to SEC on 9/26/0
			Bear Stearns	0352		09/07/00	AIG	09/10/01	S	355	74.6	11/14/01	

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(b)(6),(b)(7)(c)			Bear Stearns	0352	(b)(6),(b)(7)(c)	09/07/00	MWD	09/10/01	S	275	49.3	11/14/01	
			Bear Stearns	0352		09/07/00	AIG	09/10/01	S	440	74.22	11/14/01	
			Bear Stearns	0352		09/07/00	LEH	09/10/01	S	335	61.45	11/14/01	
			PaineWebber Inc.	0221		12/01/00	AIG	09/04/01	S	35	77.5	11/14/01	
			PaineWebber Inc.	0221		12/01/00	BA	09/04/01	S	45	51.11	11/14/01	
			PaineWebber Inc.	0221		12/01/00	LUV	09/04/01	S	45	18.09	11/14/01	
			PaineWebber Inc.	0221		12/01/00	MMC	09/04/01	S	35	92.88	11/14/01	
			Salomon Smith Barney	0418		12/14/99	AEG	09/06/01	S	1,175	26.66	10/03/01	
			Salomon Smith Barney	0418		12/14/99	AXA	09/06/01	S	1,230	24	10/03/01	
			First Clearing Corporation	0141		02/14/01	AIG	09/05/01	S	100	73.86	11/14/01	
			First Clearing Corporation	0141		02/14/01	MWD	09/05/01	S	65	51.67	11/14/01	
			First Clearing Corporation	0141		02/14/01	AIG	09/05/01	S	180	73.92	11/14/01	
			First Clearing Corporation	0141		02/14/01	LUV	09/05/01	S	605	17.68	11/14/01	
			First Clearing Corporation	0141		02/27/01	AIG	09/05/01	S	50	74.7	11/14/01	
			First Clearing Corporation	0141		02/27/01	MWD	09/05/01	S	35	52.1	11/14/01	
			First Clearing Corporation	0141		02/14/01	AIG	09/05/01	S	155	74.1	11/14/01	
			First Clearing Corporation	0141		02/14/01	MWD	09/05/01	S	195	51.45	11/14/01	

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(b) (4)	Januscap/01 Janus Fund	100 Fillmore St Suite 300 Denver CO 80206-4921	Lehman Brothers	0074	(b) (4)	04/27/99	HOT	09/04/01	S	101,360	33.8192	10/08/01	Discussed with SEC
	Januscap/01 Janus Fund	100 Fillmore St Suite 300 Denver CO 80206-4921	Lehman Brothers	0074		04/27/99	HOT	09/05/01	S	204,425	32.9468	10/08/01	Discussed with SEC
	Januscap/01 Janus Fund	100 Fillmore St Suite 300 Denver CO 80206-4921	Lehman Brothers	0074		04/27/99	HOT	09/06/01	S	1,101,280	31.3288	10/08/01	Discussed with SEC
(b) (4)	Japan Trustee Services Bank	8-11 Harumi 1-Chome Chuo-Ku Tokyo 104-6107 Japan	Salomon Smith Barney	0418	(b) (4)	08/16/01	AIG	09/10/01	S	200	73.38	10/15/01	Discussed with SEC
	Japan Trustee Services Bank	8-11 Harumi 1-Chome Chuo-Ku Tokyo 104-6107 Japan	Salomon Smith Barney	0418		08/16/01	LUV	09/10/01	S	600	16.99	10/15/01	Discussed with SEC
	Japan Trustee Services Bank	8-11 Harumi 1-Chome Chuo-Ku Tokyo 104-6107 Japan	Salomon Smith Barney	0418		08/16/01	XL	09/10/01	S	100	80.55	10/15/01	Discussed with SEC
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	05/15/98	AIG	09/07/01	S	12	73.45	10/01/01	
			Salomon Smith Barney	0418		05/15/98	MWD	09/07/01	S	26	47.85	10/01/01	
			Salomon Smith Barney	0418		03/24/00	AIG	09/05/01	S	41	74.05	10/01/01	
			Salomon Smith Barney	0418		03/24/00	MWD	09/05/01	S	43	51.5	10/01/01	
(b) (4)	Jenson Partners I LP	PO Box 265 Boca Grande, FL	Raymond James Assoc.	0725	(b) (4)	05/11/99	AIG	09/04/01	S	175	77.75	10/08/01	
	Jenson Partners I LP	PO Box 265 Boca Grande, FL	Raymond James Assoc.	0725		05/11/99	DAL	09/07/01	S	105	36.99	10/08/01	
	Jenson Partners I LP	PO Box 265 Boca Grande, FL	Raymond James Assoc.	0725		05/11/99	U	09/07/01	S	470	11.82	10/08/01	
(b) (4)	Jetcap Partners Ref Morgan Stanley -(b) (4)	44 Gillespie Ave, Fair Haven, NJ 07704	Prudential Securities	0030	(b) (4)	09/07/01	HLT	09/10/01	S	8,600	11.34	10/03/01	New account documents; trading run , contact person sent to SEC on 10/09/01
	Jetcap Partners Ref Morgan Stanley -(b) (4)	44 Gillespie Ave, Fair Haven, NJ 07704	Prudential Securities	0030	(b) (4)	09/07/01	HLT	09/07/01	S	21,400	11.4584	10/03/01	
(b) (4)	JGM Equity Partners	C/O Parametric Portfolio Association 1151 Fairview Ave. N #200 Seattle, WA 98109-4418	W & D Securities, Inc.	0535	(b) (4)	09/07/01	AIG	09/07/01	S	333	73.69	11/14/01	
	JGM Equity Partners	C/O Parametric Portfolio Association 1151 Fairview Ave. N #200 Seattle, WA 98109-4418	W & D Securities, Inc.	0535		09/07/01	BA	09/07/01	S	125	45.95	11/14/01	
	JGM Equity Partners	C/O Parametric Portfolio Association 1151 Fairview Ave. N #200 Seattle, WA 98109-4418	W & D Securities, Inc.	0535		09/07/01	CNC	09/07/01	S	100	7.4	11/14/01	

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(b) (4)	JGM Equity Partners	C/O Parametric Portfolio Association 1151 Fairview Ave. N #200 Seattle, WA 98109-4418	W & D Securities, Inc.	0535	(b) (4)	09/07/01	HLT	09/07/01	S	10	11.56	11/14/01	
	JGM Equity Partners	C/O Parametric Portfolio Association 1151 Fairview Ave. N #200 Seattle, WA 98109-4418	W & D Securities, Inc.	0535		09/07/01	HOT	09/07/01	S	90	30.01	11/14/01	
	JGM Equity Partners	C/O Parametric Portfolio Association 1151 Fairview Ave. N #200 Seattle, WA 98109-4418	W & D Securities, Inc.	0535		09/07/01	LUV	09/07/01	S	165	17.22	11/14/01	
	JGM Equity Partners	C/O Parametric Portfolio Association 1151 Fairview Ave. N #200 Seattle, WA 98109-4418	W & D Securities, Inc.	0535		07/07/00	UAL	08/30/01	S	50	32.6	11/14/01	
(b) (4)	JLF Asset Mgmt. LLC Goldman Sachs & Co.	ATTN Prime Brokerage Desk PO Box 64 Bowling Green Sta New York, NY 10274	Fleet Securities, Inc.	0158	(b) (4)	07/12/99	AIG	09/07/01	S	119,400	74.6153	10/08/01	
	JLF Asset Mgmt. LLC Goldman Sachs & Co.	ATTN Prime Brokerage Desk PO Box 64 Bowling Green Sta New York, NY 10274	Fleet Securities, Inc.	0158		07/12/99	AIG	09/04/01	S*	184,600	76.9768	10/08/01	
	JLF Asset Mgmt. LLC Goldman Sachs & Co.	ATTN Prime Brokerage Desk PO Box 64 Bowling Green Sta New York, NY 10274	Fleet Securities, Inc.	0158		07/12/99	MWD	09/07/01	S	80,000	48.7698	10/08/01	
	JLF Asset Mgmt. LLC Goldman Sachs & Co.	ATTN Prime Brokerage Desk PO Box 64 Bowling Green Sta New York, NY 10274	Fleet Securities, Inc.	0158		07/12/99	XL	09/04/01	S	4,000	82.24	10/08/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch, Pierce, Fenner & Smith Inc.	0161	(b) (6), (b) (7)(C)	07/07/00	BA	09/06/01	S	14	50.17	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		07/07/00	DAL	09/06/01	S	8	38.1	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		07/07/00	HLT	09/06/01	S	50	12.13	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		07/07/00	XL	09/06/01	S	12	81.89	11/14/01	

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(b)(6),(b)(7)(c)			Deutsche Banc Alex Brown, Inc.	573	(b) (6), (b) (7)(C)	07/07/00	AIG BA DAL LEH MWD RTN	09/07/01 09/07/01 09/07/01 09/07/01 09/07/01 09/07/01	S S S S S S	1339 470 60 150 631 178	72.8 45.03 37.14 60.81 47.65 25.55	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		03/14/00	AIG	09/07/01	S	27	74.6	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		03/14/00	AXA	09/07/01	S	23	23.41	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		03/14/00	BA	09/07/01	S	15	46.61	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		03/14/00	MMC	09/07/01	S	8	86.7	11/14/01	
			Goldman Sachs	0005		07/30/98	UAL	09/05/01	SS	2100	32.4	10/31/01	
			Wachovia Securities	0346		09/08/99	RTN	09/10/01	B	220	24.57	10/31/01	
			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	05/14/97	HOT	09/06/01	S,	43	32.05	10/01/01	New acount documents sent on 10/12; statements for (b)(6), (b) (7)(C) accounts rom 6/01 to 9/01sent to SEC on 10/15/01
			Salomon Smith Barney	0418		05/14/97	HOT	09/04/01	S	43	33.9	10/01/01	See Above
			Salomon Smith Barney	0418		2/20/97	HOT	09/04/01	S	10	33.9	10/01/01	See Above
			Salomon Smith Barney	0418		5/10/96	HOT	09/06/01	S	79	32.05	10/01/01	See Above
			Salomon Smith Barney	0418		5/10/96	HOT	09/04/01	S	79	33.9	10/01/01	See Above
			Salomon Smith Barney	0418		2/20/97	HOT	09/06/01	S	9	32.05	10/01/01	See Above

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Buy(B) Short(SS)/ Long(S)	Volume	Price	SEC Contact Date	Followup
(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	2/3/98	HOT	09/06/01	S	30	32.05	10/01/01	See Above
			Salomon Smith Barney	0418		2/3/98	HOT	09/04/01	S	30	33.9	10/01/01	See Above
			Salomon Smith Barney	0418		5/10/96	HOT	09/06/01	S	117	32.05	10/01/01	See Above
			Salomon Smith Barney	0418		5/10/96	HOT	09/04/01	S	118	33.9	10/01/01	See Above
			Salomon Smith Barney	0418		2/20/97	HOT	09/06/01	S	15	32.05	10/01/01	See Above
			Salomon Smith Barney	0418		2/20/97	HOT	09/04/01	S	15	33.9	10/01/01	See Above
			Salomon Smith Barney	0418		2/3/98	HOT	09/06/01	S	37	32.05	10/01/01	See Above
			Salomon Smith Barney	0418		2/3/98	HOT	09/04/01	S	37	33.9	10/01/01	See Above
(b) (4)	John Levin & Co, Inc.	One Pierrepont Plaza 10T Brooklyn, NY 11201-2776	Morgan Stanley & Co.	0050	(b) (4)	01/13/99	AIG	09/04/01	SS	1,700		09/24/01	
	John Levin & Co, Inc.	One Pierrepont Plaza 10T Brooklyn, NY 11201-2776	Morgan Stanley & Co.	0050		01/13/99	AIG	09/05/01	SS	3,500		09/24/01	
	John Levin & Co, Inc.	One Pierrepont Plaza 10T Brooklyn, NY 11201-2776	Morgan Stanley & Co.	0050		01/13/99	AIG	09/10/01	SS	21,500		09/24/01	
	John Levin & Co, Inc.	One Pierrepont Plaza 10T Brooklyn, NY 11201-2776	Morgan Stanley & Co.	0050		01/13/99	CNC	09/05/01	SS	119,600		09/24/01	
	John Levin & Co, Inc.	One Pierrepont Plaza 10T Brooklyn, NY 11201-2776	Morgan Stanley & Co.	0050		01/13/99	DAL	08/30/01	SS	5,000		09/24/01	
	John Levin & Co, Inc.	One Pierrepont Plaza 10T Brooklyn, NY 11201-2776	Morgan Stanley & Co.	0050		01/13/99	HOT	09/04/01	SS	12,100		09/24/01	
	John Levin & Co, Inc.	One Pierrepont Plaza 10T Brooklyn, NY 11201-2776	Morgan Stanley & Co.	0050		01/13/99	RTN	09/04/01	SS	11,200		09/24/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	02/07/97	AIG	09/04/01	S	185	77.82	11/14/01	
			Salomon Smith Barney	0418		02/07/97	LUV	09/04/01	S	607	18.71	11/14/01	
			Salomon Smith Barney	0418		02/07/97	MWD	09/04/01	S	151	54.12	11/14/01	

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	07/24/92	HOT	09/06/01	S	453	32.05	10/01/01	See Above
			Salomon Smith Barney	0418		07/24/92	HOT	09/04/01	S	454	33.9	10/01/01	See Above
			Salomon Smith Barney	0418		01/23/88	HOT	09/06/01	S	245	32.05	10/01/01	See Above
			Salomon Smith Barney	0418		01/23/88	HOT	09/04/01	S	245	33.9	10/01/01	See Above
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		02/19/99	AIG	09/04/01	S	50	76.8	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		02/19/99	LUV	09/04/01	S	207	17.9	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		02/19/99	XL	09/04/01	S	70	82.58	11/14/01	
			Salomon Smith Barney	0418		05/06/97	HOT	09/06/01	S	2	32.05	10/01/01	See Above
			Salomon Smith Barney	0418		05/06/97	HOT	09/04/01	S	2	33.9	10/01/01	See Above
			Salomon Smith Barney	0418		5/6/97	HOT	09/06/01	S	1	32.05	10/01/01	See Above
			Salomon Smith Barney	0418		5/6/97	HOT	09/04/01	S	2	33.9	10/01/01	See Above
(b) (4)	KAHN CAPITAL MGMT	NATIONS BANK MONTGOMERY SOC LLC 600 MONTGOMERY 8TH FLOOR SAN FRANCISCO CA94111	Spear Leeds & Kellogg	0501	(b) (4)	04/05/01	LLL	09/05/01	B	6,000	64.6813	10/08/01	Discussed with SEC
(b) (4)	KAHN CAPITAL MGMT	NATIONS BANK MONTGOMERY SOC LLC	Spear Leeds & Kellogg	0501		04/05/01	LLL	09/05/01	B	6,000	64.6813	10/08/01	Discussed with SEC
	KAHN CAPITAL MGMT	NATIONS BANK MONTGOMERY SOC LLC	Spear Leeds & Kellogg	0501		04/05/01	LLL	09/06/01	B	9,000	63.7389	10/08/01	Discussed with SEC
	KAHN CAPITAL MGMT	NATIONS BANK MONTGOMERY SOC LLC	Spear Leeds & Kellogg	0501		04/05/01	LLL	09/06/01	B	9,000	63.7389	10/08/01	Discussed with SEC
	KAHN CAPITAL MGMT	NATIONS BANK MONTGOMERY SOC LLC	Spear Leeds & Kellogg	0501		04/05/01	LLL	09/10/01	B	10,000	61.7158	10/08/01	Discussed with SEC
	KAHN CAPITAL MGMT	NATIONS BANK MONTGOMERY SOC LLC	Spear Leeds & Kellogg	0501		04/05/01	LLL	09/10/01	B	10,000	61.7158	10/08/01	Discussed with SEC
	Kahn Capital Partners	5506 Worsham Court Windmere, FL 34786-8901	Bank of America Securities	0773	(b) (4)	04/01/98	LLL	09/05/01 09/06/01 09/10/01	B B B	6000 9000 10000	64.68 63.74 61.72	10/08/01	

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(b) (4)	Kairos SA	Fort Box (9019), Gorlero ESQ, 30 Santos Dumont, Local 12 CP 20110, Punta Del Este/Uruguay	Merrill Lynch	0161	(b) (4)	08/20/01	RTN	09/06/01	B	580	26.6	10/31/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	3/29/00	RTN	9/7/01	B	84	25	09/27/01	
			Merrill Lynch, Inc.	0161		3/31/00	RTN	9/7/01	B	1000	25	09/27/01	
			Merrill Lynch, Inc.	0161		3/29/00	RTN	9/7/01	B	100	24.7	09/27/01	
			Merrill Lynch, Inc.	0161		3/28/00	RTN	9/7/01	B	40	25	09/27/01	
			Merrill Lynch, Inc.	0161		3/31/00	RTN	9/7/01	B	600	25	09/27/01	
		(b) (6), (b) (7)(C)	Credit Suisse First Boston Corp.	0443		02/01/99	CNC	09/07/01	SS	1,000	7.76	10/08/01	
			Merrill Lynch, Inc.	0161		05/25/94	AIG	09/05/01	S	137	75	09/27/01	
			Merrill Lynch, Inc.	0161		05/25/94	MMC	09/05/01	S	65	91.31	09/27/01	SEC asked whether Merrill Lynch had a research opinion
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	12/08/97	AIG	09/10/01	S	43	74.26	10/08/01	
			Salomon Smith Barney	0418		12/08/97	LUV	09/10/01	S	153	17.02	10/08/01	
			Salomon Smith Barney	0418		12/08/97	AEG	09/10/01	S	95	25.9	10/08/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	12/08/97	AIG	09/10/01	S	63	74.35	10/08/01	
			Salomon Smith Barney	0418		12/08/97	AIG	09/10/01	S	55	74.38	10/08/01	
			Salomon Smith Barney	0418		08/10/01	RTN	09/10/01	B	115	24.63	10/08/01	
(b) (6), (b) (7)(C)			Credit Suisse First Boston Corp.	0443	(b) (6), (b) (7)(C)	07/02/01	CNC	09/10/01	S	900	7.5	10/08/01	

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(b)(6),(b)(7)(c)			Bank of America	0773	(b)(6),(b)(7)(c)	04/09/98	CNC	09/07/01	SS	4000	7.76	09/27/01	
			UBS Warburg	0642		04/15/92	AIG	09/05/01	S	900	74.65	11/14/01	
			UBS Warburg	0642		04/15/92	AMR	09/05/01	S	100	31.75	11/14/01	
			UBS Warburg	0642		04/15/92	BA	09/05/01	S	300	51.19	11/14/01	
			UBS Warburg	0642		04/15/92	CNC	09/05/01	S	100	8.07	11/14/01	
			UBS Warburg	0642		04/15/92	HLT	09/05/01	S	100	12.27	11/14/01	
			UBS Warburg	0642		04/15/92	HOT	09/05/01	S	100	32.9	11/14/01	
			UBS Warburg	0642		04/15/92	LUV	09/05/01	S	300	17.76	11/14/01	
			Salomon Smith Barney	0418		08/28/01	LLL	09/06/01	B	30	64.7056	10/10/01	
			Salomon Smith Barney	0418		12/22/99	AIG	09/07/01	S	6	73.45	11/14/01	
			Salomon Smith Barney	0418		12/22/99	DAL	09/07/01	S	5	37.67	11/14/01	
			Salomon Smith Barney	0418		12/22/99	MWD	09/07/01	S	5	47.85	11/14/01	
			Salomon Smith Barney	0418		12/22/99	MWD	09/07/01	S	8	47.85	11/14/01	
			Salomon Smith Barney	0418		12/22/99	RTN	09/07/01	B	7	24.85	11/14/01	
			Salomon Smith Barney	0418		12/22/99	BA	09/07/01	S	1	45.3	11/14/01	
			Bear, Stearns & Co.	0352		03/24/97	AMR	08/20/01	S	100	32.8961	10/08/01	
			Bear, Stearns & Co.	0352		03/24/97	AMR	08/28/01	S	200	33.32	10/08/01	
			Bear, Stearns & Co.	0352		03/06/97	AMR	08/20/01	S	2,400	32.8961	10/08/01	
			Bear, Stearns & Co.	0352		03/06/97	AMR	08/28/01	S	2,600	33.3204	10/08/01	
			Bear, Stearns & Co.	0352		03/06/97	AMR	08/20/01	S	800	32.8961	10/08/01	

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Bear, Stearns & Co.	0352	(b) (6), (b) (7)(C)	03/06/97	AMR	08/28/01	S	900	33.3204	10/08/01	
			Credit Suisse First Boston Corp.	0443		03/01/99	AIG	09/10/01	S	50	72.5	10/03/01	
			Credit Suisse First Boston Corp.	0443		05/23/01	CNC	09/04/01	S	1000	8.8	10/03/01	
			Salomon Smith Barney	0418		09/04/01	AXA	09/04/01	S	38	25.84	10/01/01	
			H&R Block Financial Advisors, Inc.	0756		09/29/89	CNC	09/05/01	S	100	7.81	09/24/01	Discussed with SEC
(b) (4)	Khattar Holdings PTE Ltd.	80 Raffles Place, #25-01 UOB Plaza, Singapore, 048624	Smith Barney	0418	(b) (4)	08/15/01	LLL	09/04/01	B	300	67.1813	10/31/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	08/31/01	RTN	09/10/01	B	245	24.55	11/14/01	
			Salomon Smith Barney	0418		11/09/99	MWD	09/04/01	S	3	54.03	10/08/01	
			Salomon Smith Barney	0418		11/09/99	AIG	09/04/01	S	12	77.45	10/08/01	
			Salomon Smith Barney	0418		08/10/99	AIG	09/04/01	S	25	77.6	10/08/01	
			Salomon Smith Barney	0418		08/10/99	MWD	09/04/01	S	15	52.9	10/08/01	
(b) (4)	Kingcross Investments	Cititrust (Switzerland) LTD Reitergasse 9-11 PO Box 131 REF: 4857, CH-8027 Zurich, Switzerland	Salomon Smith Barney	0418	(b) (4)	08/14/01	AIG	09/07/01	S	6,000	73.07	11/14/01	
	Kingcross Investments	Cititrust (Switzerland) LTD Reitergasse 9-11 PO Box 131 REF: 4857, CH-8027 Zurich, Switzerland	Salomon Smith Barney	0418		08/14/01	MWD	09/07/01	S	6,645	47.6	11/14/01	
	Kingcross Investments	Cititrust (Switzerland) LTD Reitergasse 9-11 PO Box 131 REF: 4857, CH-8027 Zurich, Switzerland	Salomon Smith Barney	0418		08/14/01	LLL	09/07/01	B	2,980	62.4	11/14/01	
(b) (4)	KingCross Investments Co. Ltd. Cititrust (Switzeland) Ltd.	Reitergasse 9-11, PO Box 131, Ref:4857, Ch-8027, Zurich, Switzerland	Smith Barney	0418	(b) (4)	08/14/01	AIG	09/07/01	S	6000	73.074	10/31/01	
	KingCross Investments Co. Ltd Cititrust (Switzeland) Ltd.	Reitergasse 9-11, PO Box 131, Ref:4857, Ch-8027, Zurich, Switzerland	Smith Barney	0418		08/14/01	MWD	09/07/01	S	6645	47.6044	10/31/01	

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(b) (4)	KingCross Investments Co. Ltd. Cititrust (Switzeland) Ltd.	Reitergasse 9-11, PO Box 131, Ref:4857, Ch-8027, Zurich, Switzerland	Smith Barney	0418	(b) (4)	08/14/01	LLL	09/07/01	B	2980	62.4	10/31/01	
(b) (4)	Kingtech Enterprises LTD	Sung Chiang Road Taipei, Taiwan	Salomon Smith Barney	0418	(b) (4)	05/24/01	AIG	09/05/01	S	113	74.02	10/01/01	New Account documents sent to SEC on 10/12/01; account staements from 6/01 to 9/01 sent to SEC on 10/15/01.
(b) (4)	Kingtech Enterprises LTD	Sung Chiang Road Taipei, Taiwan	Salomon Smith Barney	0418	(b) (4)	05/24/01	MWD	09/05/01	S	115	51.57	10/01/01	See Above
	Kingtech Enterprises LTD	Sung Chiang Road Taipei, Taiwan	Salomon Smith Barney	0418		05/24/01	AEG	09/05/01	S	500	28.05	10/01/01	See Above
	Kingtech Enterprises LTD	Sung Chiang Road Taipei, Taiwan	Salomon Smith Barney	0418		05/24/01	AXA	09/05/01	S	500	25.1	10/01/01	See Above
(b) (4)	Knight Financial Products LLC G70	440 S. Lasalle Street Chicago, IL 60605	First Options of Chicago, Inc.	0690	(b) (4)	02/28/00	XL	09/04/01 09/04/01 09/04/01 09/04/01 09/04/01 09/04/01 09/04/01	SS SS SS SS SS SS SS	700 500 1800 500 1500 800 500	82.21 82.5 82.55 82.58 82.59 82.65 83.2	10/15/01	
(b) (4)	Knight Securities LP Conversion Bond Arbitrage	525 Washington Blvd. Newport Tower 23rd Floor Jersey City, NJ 07310	Merrill Lynch Inc.	0551	(b) (4)	06/05/01	XL	09/04/01 09/05/01	SS SS SS SS SS SS SS SS	700 600 1000 2000 1000 1000 800 700	82.18 82.56 82.59 82.65 82.75 82.87 83 82.01	10/10/01	Discussed with SEC
(b) (4)	Knight Securities LP Prime Brokerage	20 Broad Street 13th Floor New York, NY 10005	Merrill Lynch Inc.	0161	(b) (4)	06/06/01	XL	09/04/01	S	800	83	10/10/01	Discussed with SEC
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)		Credit Suisse First Boston Corp.	0443	(b) (6), (b) (7)(C)	03/26/01	AIG	09/05/01	S	3000	73	10/03/01	
(b) (4)	Knowledgeworks Foundation, Lord Abbett	700 Walnut Street Suite 600 Cincinnati, OH 45202-2027	Salomon Smith Barney	0418	(b) (4)	07/02/01	XL	09/04/01	S	401	82.59	10/15/01	
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)		UBS Painewebber	0221	(b) (6), (b) (7)(C)	09/17/99	DAL	08/28/01	S	220	40.3	10/08/01	
(b) (4)	Kodiak Capital LP	Attn:(b) (6), (b) (7)(C) (b) (6), (b) (7)(C) 1801 Century Park E Ste. 460 Los Angeles CA 90067	Goldman Sachs & Co.	0005	(b) (4)	01/13/94	LEH	09/05/01	SS	3,355	66.6434	10/01/01	

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(b) (4)	Kodiak Capital Offshore LTD	West Bay Road PO Box 31106 SMB Grand Cayman, Cayman Islands	Goldman Sachs & Co.	0005	(b) (4)	06/30/00	LEH	09/05/01	SS	15,234	66.6434	10/01/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Morgan Stanley & Co.	0050	(b) (6), (b) (7)(C)	05/30/96	HOT	09/06/01	SS	25,000	31.5929	09/27/01	
			DLJ	0443		08/27/01	RTN	09/06/01	B	55	25.98	11/14/01	
			Salomon Smith Barney	0418		10/30/00	AIG	09/10/01	S	103	73.59	10/02/01	
			Salomon Smith Barney	0418		10/30/00	MWD	09/10/01	S	105	48.22	10/02/01	
			National Financial Services	0226		10/18/99	AIG	09/05/01	S	451	75.1	09/27/01	
(b) (4)	Kuwait Fund for Arab Economic Development	667 Madison Ave - 16TH FL New York, NY 10021	W & D Securities, Inc.	0535	(b) (4)	07/06/00	HOT	09/07/01	S	1,600	29.97	09/24/01	Address provided to SEC on 09/26/01
	Kuwait Investment Authority	668 Madison Ave - 16TH FL New York, NY 10021	W & D Securities, Inc.	0535		07/06/00	HOT	09/07/01	S	400	29.97	09/24/01	Address provided to SEC on 09/26/01
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Smith Barney	0418	(b) (6), (b) (7)(C)	02/12/99	AIG	09/05/01	S	41	74.2	10/31/01	Discussed with SEC
			Smith Barney	0418		02/12/99	MWD	09/05/01	S	41	51.21	10/31/01	Discussed with SEC
			Smith Barney	0418		02/12/99	RTN	09/05/01	B	85	26.98	10/31/01	Discussed with SEC
			Smith Barney	0418		02/12/99	RTN	09/06/01	B	90	25.21	10/31/01	Discussed with SEC
			UBS PaineWebber	0221		02/12/01	RTN	09/06/01	S	70	25.9	10/08/01	
			UBS PaineWebber	0221		02/12/01	AIG	09/06/01	S	85	75.81	10/08/01	
			UBS PaineWebber	0221		02/12/01	MMC	09/06/01	S	70	90.46	10/08/01	
			UBS PaineWebber	0221		02/12/01	LUV	09/06/01	S	500	17.94	10/08/01	
			UBS PaineWebber	0221		02/12/01	AMR	09/06/01	S	90	31.14	10/08/01	
			UBS PaineWebber	0221		02/12/01	LUV	09/06/01	S	170	17.93	10/08/01	

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Buy(B) Short(SS)/ Long(S)	Volume	Price	SEC Contact Date	Followup
(b)(6),(b)(7)(c)		(b)(6),(b)(7)(c)	UBS PaineWebber	0221	(b) (6), (b) (7)(C)	02/12/01	AIG	09/06/01	S	55	75.25	10/08/01	
(b) (4)	Lakefront Capital Investors	Lakefront Captial Investors 6 Parklane Blvd-Suite 511 Dearborn, MI 78126	Morgan Stanley & Co.	0050	(b) (4)	09/15/00	DAL DAL DAL	09/04/01 09/04/01 09/04/01	S S S	75 2,000 4,000	39.67 39.67 39.7	10/23/01	Discussed with SEC
(b) (4)	Lakefront Captial	Ohio Bureau of Worker Comp A/O Lakefront Capital 30 W Spring St. Columbus OH 43266	McDonald Investments, Inc.	0799	(b) (4)	07/15/98	AMR DAL	09/04/01 09/04/01	S S	4,650 2,020	32.5435 39.6751	10/23/01	Discussed with SEC
(b) (4)	Lakefront Captial Investors	Lakefront Captial Investors State Street Corp. Texas Permanent School Fund 6 Parklane Blvd-Suite 511 Dearborn, MI 78126	Salomon Smith Barney, Inc	0418	(b) (4)	02/08/01	AMR	09/04/01	S	12,570	32.55	10/23/01	Discussed with SEC
(b) (4)	Lakefront Captial Investors	Lakefront Captial Investors FAO #107 6 Parklane Blvd-Suite 511 Dearborn, MI 78126	Morgan Stanley & Co.	0050	(b) (4)	02/05/01	DAL	09/04/01	S	5,270	39.6898	10/23/01	Discussed with SEC
(b) (4)	Lakefront Captial Investors	Lakefront Captial Investors Bankers Trust First Energy 6 Parklane Blvd-Suite 511 Dearborn, MI 78126	Salomon Smith Barney, Inc	0418	(b) (4)	08/23/00	AMR	09/04/01	S	1,780	32.55	10/23/01	Discussed with SEC
(b) (4)	Lakefront Captial Investors	Lakefront Captial Investors FAO #102 6 Parklane Blvd-Suite 511 Dearborn, MI 78126	Morgan Stanley & Co.	0050	(b) (4)	09/15/00	DAL	09/04/01	S	805	39.6898	10/23/01	Discussed with SEC
(b)(6),(b)(7)(c)		(b)(6),(b)(7)(c)	Charles Schwab & Co.	0164	(b) (6), (b) (7)(C)	04/22/93	AMR	09/07/01	SS	200	31	10/08/01	
			Charles Schwab & Co.	0164		04/22/93	AMR	08/27/01	SS	300	33.63	10/08/01	
			Charles Schwab & Co.	0164		04/22/93	BA	09/07/01	B	100	46.17	10/08/01	
			Charles Schwab & Co.	0164		04/22/93	BA	09/07/01	B	100	47.8	10/08/01	
			Charles Schwab & Co.	0164		04/22/93	BA	09/05/01	B	100	48.55	10/08/01	
			Charles Schwab & Co.	0164		04/22/93	BA	09/04/01	B	100	49.75	10/08/01	
			Charles Schwab & Co.	0164		04/22/93	CAL	09/07/01	SS	100	41.01	10/08/01	

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(b)(6),(b)(7)(c)			Charles Schwab & Co.	0164	(b) (6), (b) (7)(C)	04/22/93	UAL	08/27/01	SS	200	34.31	10/08/01	
			Charles Schwab & Co.	0164		04/22/93	UAL	09/07/01	SS	300	31.36	10/08/01	
			Charles Schwab & Co.	0164		01/24/91	BA	09/04/01	B	100	49.75	10/08/01	
			Credit Suisse First Boston Corp.	0443		06/09/98	CNC	09/10/01	S	500	7.62	10/08/01	
(b) (4)	LandesBank Baden-Wuerttemberg A/C (b) (4)	AM Hauptbahnhof 02 Stuttgart, Germany	Morgan Stanley & Co.	0050	(b) (4)	07/26/01	AIG	09/07/01	S	140	75.23	10/01/01	Discussed with SEC
	LandesBank Baden-Wuerttemberg A/C (b) (4)	AM Hauptbahnhof 02 Stuttgart, Germany	Morgan Stanley & Co.	0050		07/26/01	AIG	09/07/01	S	80	75.23	10/01/01	Discussed with SEC
(b) (4)	LandesBank Baden-Wuerttemberg Deka Frankfurt	Mainzer Landstrasse 50 Frankfurt, Germany	Morgan Stanley & Co.	0050	(b) (4)	12/29/00	AMR	09/06/01	S	240000	31.18	10/01/01	Discussed with SEC
(b)(6),(b)(7)(c)		(b)(6),(b)(7)(c)	UBS PaineWebber, Inc.	221	(b) (6), (b) (7)(C)	04/09/98	AIG	9/4/01	S	159	77.9	11/14/01	
(b)(6),(b)(7)(c)			UBS PaineWebber, Inc.	221		04/07/00	AIG BA LUV MMC	09/04/01 09/04/01 09/04/01 09/04/01	S S S S	115 160 145 125	77.9 49.75 17.89 92.95	11/14/01	
(b)(6),(b)(7)(c)			UBS PaineWebber, Inc.	221		04/13/00	HLT	9/4/01	S	220	12.68	11/14/01	
(b)(6),(b)(7)(c)			UBS PaineWebber, Inc.	221		04/13/00	RTN	09/04/01	S	200	26.6	11/14/01	

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(b)(6),(b)(7)(c)			UBS PaineWebber, Inc.	221	(b)(6),(b)(7)(c)	04/13/00	LUV	09/04/01	S	175	17.89	11/14/01	
			LIT Division of First Options	0325		02/01/96	AMR	09/07/01	SS	510	30.96	10/23/01	Discussed with SEC
			LIT Division of First Options	0325		02/01/96	AMR	08/31/01	S	509	32.04	10/23/01	Discussed with SEC
			LIT Division of First Options	0325		02/01/96	BA	09/07/01	S	2889	47.37	10/23/01	Discussed with SEC
			LIT Division of First Options	0325		02/01/96	CNC	09/07/01	SS	1119	7.63	10/23/01	Discussed with SEC
			LIT Division of First Options	0325		02/01/96	DAL	08/31/01	S	408	38.7	10/23/01	Discussed with SEC
			LIT Division of First Options	0325		02/01/96	DAL	09/07/01	SS	408	37.79	10/23/01	Discussed with SEC
			LIT Division of First Options	0325		02/01/96	HLT	09/07/01	SS	1221	11.59	10/23/01	Discussed with SEC
			First Options of Chicago	0690		02/01/96	HLT	09/07/01	SS	1221	11.59	10/23/01	Discussed with SEC
			LIT Division of First Options	0325		02/01/96	LUV	09/07/01	SS	2523	17.73	10/23/01	Discussed with SEC
			LIT Division of First Options	0325		02/01/96	MWD	09/07/01	SS	3687	48.41	10/23/01	Discussed with SEC
			LIT Division of First Options	0325		02/01/96	RTN	09/07/01	SS	1179	25.95	10/23/01	Discussed with SEC
			LIT Division of First Options	0325		02/01/96	U	09/07/01	SS	222	12.02	10/23/01	Discussed with SEC
			LIT Division of First Options	0325		02/01/96	XL	09/07/01	SS	417	80.8	10/23/01	Discussed with SEC

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(b)(6),(b)(7)(c)			First Options of Chicago	0690	(b)(6),(b)(7)(c)	02/01/96	XL	09/07/01	SS	417	80.8	10/23/01	Discussed with SEC
			Charles Schwab & Co., Inc.	0164		09/22/99	AIG	09/04/01	S	46	77.2	11/14/01	
			Charles Schwab & Co., Inc.	0164		09/22/99	AIG	09/04/01	S	1060	77.1	11/14/01	
			Charles Schwab & Co., Inc.	0164		09/22/99	CNC	09/04/01	S	100	8.74	11/14/01	
			Charles Schwab & Co., Inc.	0164		09/22/99	LUV	09/04/01	S	1900	18.4	11/14/01	
			Charles Schwab & Co., Inc.	0164		09/22/99	LUV	09/04/01	S	157	18.42	11/14/01	
			Charles Schwab & Co., Inc.	0164		09/22/99	RTN	09/04/01	B	485	27.01	11/14/01	
			Charles Schwab & Co.	0164		01/31/89	AMR	08/29/01	S	500	32.56	10/08/01	
			Charles Schwab & Co.	0164		01/31/89	UAL	08/22/01	S	1,600	33.93	10/08/01	Discussed with SEC
			Charles Schwab & Co.	0164		01/31/89	UAL	08/31/01	S	200	32.46	10/08/01	
			Charles Schwab & Co.	0164		01/31/89	UAL	08/31/01	S	200	32.47	10/08/01	
			Charles Schwab & Co.	0164		01/31/89	UAL	08/31/01	S	600	32.4	10/08/01	
			Salomon Smith Barney	0418		05/25/00	AIG	09/07/01	S	15	75.55	10/01/01	

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(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	08/30/01	RTN	09/06/01	B	60	26	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161	(b) (6), (b) (7)(C)	11/26/99	AIG	09/10/01	S	60	74.41	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		11/26/99	LUV	09/10/01	S	90	17.17	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		11/26/99	LUV	09/10/01	S	360	17.06	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		11/26/99	AEG	09/10/01	S	40	25.89	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		11/26/99	AXA	09/10/01	S	38	23.4	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		10/16/00	AEG	09/10/01	S	85	25.86	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		10/16/00	AXA	09/10/01	S	100	23.9	11/14/01	
(b) (4)	Lawshare Ltd.	1 Meadow Road Tunbridge Wells Kent TN1 2YG United Kingdom	Brown Brothers Harriman & Co.	0010	(b) (4)	11/07/00	XL	09/05/01	S	190	81.85	10/23/01	
	Lebam Ltd.	C/O Merril Lynch Int Bank Ltd. 2 Raffles Link Marina Bayfront Singapore	Merrill Lynch	0161		08/07/01	RTN	09/06/01	B	120	26.06	11/14/01	
(b) (4)	Lehman Brothers Intl. Equity FAO Man Quintet	1 Broadgate 4th Floor London EC2M 7HA England	Lehman Brothers, Inc.	0074		04/03/01	XL	09/05/01	SS	500	82.1	10/15/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	06/28/01	AIG	09/04/01	S	135	77.53	10/08/01	

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	06/28/01	MWD	09/04/01	S	135	54.3	10/08/01	
			Salomon Smith Barney	0418		06/28/01	AEG	09/04/01	S	140	28.5	10/08/01	
			Salomon Smith Barney	0418		06/28/01	AXA	09/04/01	S	141	26.3	10/08/01	
			Salomon Smith Barney	0418		06/28/01	AMR	09/04/01	S	208	32.56	10/08/01	
			Salomon Smith Barney	0418		07/10/98	AIG	09/06/01 09/10/01	S S	337 600	74.81 72.5	10/08/01	
			Merrill Lynch	0161		05/30/01	XL	09/10/01	S	90	81.33	10/23/01	
			Merrill Lynch	0161		05/30/01	BA	09/10/01	S	115	45.34	10/23/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	UBS Painewebber Inc.	0221	(b) (6), (b) (7)(C)	08/17/01	AIG	09/07/01	S	75	73.45	10/02/01	Discussed with SEC
			UBS Painewebber Inc.	0221		08/17/01	CNC	09/05/01	S	205	8.08	10/02/01	Discussed with SEC
			Credit Suisse First Boston Corp.	0443		10/01/98	CNC	09/05/01	S	400	8.19	10/03/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		01/02/01	DAL	08/31/01	S	47	38.646	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		01/02/01	AIG	09/10/01	S	6	74.45	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		01/02/01	LUV	09/10/01	S	16	17.01	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		01/02/01	MMC	09/10/01	S	3	86.92	11/14/01	
			Merrill Lynch	0161		08/17/01	RTN	09/05/01	B	120	27	11/14/01	
			First Clearing Corporation	0141		08/24/00	AIG	09/06/01	S	150	75.41	11/14/01	
			First Clearing Corporation	0141		08/24/00	AMR	09/07/01	S	310	29.88	11/14/01	

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	First Clearing Corporation	0141	(b) (6), (b) (7)(C)	08/24/00	LUV	09/07/01	S	1500	17.15	11/14/01	
			First Clearing Corporation	0141		08/24/00	LUV	09/07/01	S	1500	17.17	11/14/01	
			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	08/14/01	AIG	09/05/01	S	73	74.2429	11/14/01	
			Salomon Smith Barney	0418		08/14/01	BA	09/05/01	S	17	50.196	11/14/01	
			Salomon Smith Barney	0418		08/14/01	DAL	09/05/01	S	10	38.36	11/14/01	
			Salomon Smith Barney	0418		08/14/01	HLT	09/05/01	S	61	12.61	11/14/01	
			Salomon Smith Barney	0418		08/14/01	MWD	09/05/01	S	18	52.3831	11/14/01	
			Salomon Smith Barney	0418		08/14/01	XL	09/05/01	S	14	81.9	11/14/01	
(b) (4)	Logan Capital Mgmt Inc. A/C Brotherhood Mutual Ins. Co.	One Liberty Place, Suite 5200, Philadelphia, PA 19116-1536	Pershing Division of Donaldson, Lufkin, & Jenrette Securities Corporation	0443	(b) (4)	11/15/00	AIG	09/07/01	S	2000	74.85	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	First Clearing Corp.	0141	(b) (6), (b) (7)(C)	08/13/01	AIG	09/07/01	S	25	74.41	10/08/01	
			First Clearing Corp.	0141		08/13/01	CNC	09/07/01	S	60	7.57	10/08/01	
(b) (4)	LONE BALSAM LP	C/O (b) (6), (b) (7)(C)	UBS Painewebber Inc.	0221	(b) (4)	04/25/00	U	09/06/01	SS	1975	12.408	10/02/01	See Above
	LONE BALSAM LP	C/O	UBS Painewebber Inc.	0221		04/25/00	U	09/04/01	SS	1975	13.0641	10/02/01	See Above
	LONE BALSAM LP	C/O (b) (6), (b) (7)(C)	UBS Painewebber Inc.	0221		04/25/00	U	09/10/01	SS	1043	11.62	10/02/01	Sent Contact information to SEC on 10/02/01
	LONE CYPRESS LTD	GOLDMAN SACHS CAYMAN TR LTD	UBS Painewebber Inc.	0221		04/25/00	U	09/10/01	SS	10811	11.62	10/02/01	See Above
	LONE CYPRESS LTD	GOLDMAN SACHS CAYMAN TR LTD	UBS Painewebber Inc.	0221		04/25/00	U	09/06/01	SS	20475	12.408	10/02/01	See Above
	LONE CYPRESS LTD	GOLDMAN SACHS CAYMAN TR LTD	UBS Painewebber Inc.	0221		04/25/00	U	09/04/01	SS	20475	13.064	10/02/01	See Above
	Lone Pine (b) (4)	Paine Webber Prime Broker Div New York, NY	US Clearing Corp.	0158		06/15/00	U	09/04/01	S	25000	13.06	10/23/01	See Above

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(b) (4)	Lone Pine #(b) (4)	Paine Webber Prime Broker Div New York, NY	US Clearing Corp.	0158	(b) (4)	06/15/00	U	09/06/01	S	25000	12.4	10/23/01	See Above
	Lone Pine #(b) (4)	Paine Webber Prime Broker Div New York, NY	US Clearing Corp.	0158		06/15/00	U	09/10/01	S	13200	11.62	10/23/01	See Abpve
(b) (4)	LONE SEQUOIA LP	C/O (b) (6), (b) (7)(C)	UBS Painewebber Inc.	0221	(b) (4)	04/25/00	U	09/10/01	SS	871	11.62	10/02/01	See Above
	LONE SEQUOIA LP	C/O	UBS Painewebber Inc.	0221		04/25/00	U	09/06/01	SS	1650	12.408	10/02/01	See Above
	LONE SEQUOIA LP	C/O	UBS Painewebber Inc.	0221		04/25/00	U	09/04/01	SS	1650	13.0641	10/02/01	See Above
	LONE SPRUCE LP	C/O	UBS Painewebber Inc.	0221		04/25/00	U	09/10/01	SS	475	11.62	10/02/01	See Above
	LONE SPRUCE LP	C/O	UBS Painewebber Inc.	0221		04/25/00	U	09/06/01	SS	900	12.408	10/02/01	See Above
	LONE SPRUCE LP	C/O	UBS Painewebber Inc.	0221		04/25/00	U	09/04/01	SS	1650	13.0641	10/02/01	See Above
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)		UBS Painwebber	0221	(b) (6), (b) (7)(C)	02/28/00	AXA	09/06/01	S	100	24.15	11/14/01	
			UBS Painwebber	0221		02/28/00	AIG	09/06/01	S	60	74	11/14/01	
			UBS Painwebber	0221		02/28/00	BA	09/06/01	S	80	50.1	11/14/01	
			UBS Painwebber	0221		02/28/00	LUV	09/06/01	S	82	17.7	11/14/01	
			UBS Painwebber	0221		02/28/00	MMC	09/06/01	S	65	90.8	11/14/01	
(b) (4)	Long/Short ARB SWAPS Book 8 Attn:(b) (6), (b) (7)(C)		Deutsche Banc Alex. Brown Inc.	0573	(b) (4)	12/03/98	RTN	09/07/01	B	41,580	25.97	11/14/01	
	Long/Short ARB SWAPS Book 8 Attn:(b) (6), (b) (7)(C)		Deutsche Banc Alex. Brown Inc.	0573		12/03/98	RTN	09/07/01	B	50820	25.97	11/14/01	
	Long/Short ARB SWAPS Book 8 Attn:(b) (6), (b) (7)(C)		Deutsche Banc Alex. Brown Inc.	0573		12/03/98	XL	09/04/01	SS	11250	83	11/14/01	
	Long/Short ARB SWAPS Book 8 Attn:(b) (6), (b) (7)(C)		Deutsche Banc Alex. Brown Inc.	0573		12/03/98	XL	09/04/01	SS	13750	83	11/14/01	
	Long/Short ARB SWAPS Book 8 Attn: (b) (6), (b) (7)(C)		Deutsche Banc Alex. Brown Inc.	0573		12/03/98	XL	09/05/01	SS	10800	82.01	11/14/01	
	Long/Short ARB SWAPS Book 8 Attn:(b) (6), (b) (7)(C)		Deutsche Banc Alex. Brown Inc.	0573		12/03/98	XL	09/05/01	SS	16,200	82.01	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	08/29/01	RTN	09/05/01	B	55	27.14	11/14/01	
			UBS Painewebber Inc.	0221		12/09/99	AIG	09/10/01	S	105	74.29	10/03/01	
			UBS Painewebber Inc.	0221		12/09/99	RTN	09/10/01	B	120	24.6	10/03/01	
(b) (4)	Luger Investments, LTD.	C/O Merrill Lynch Int Bank Ltd. Trust Dep't 2 Raffles Link Marina Bayfront Singapore 039392	Merrill Lynch	0161	(b) (4)	08/10/01	RTN	09/10/01	B	120	24.45	11/14/01	

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	01/09/00	ALK	09/05/01	S	40	32.25	10/08/01	
			Merrill Lynch, Inc.	0161		01/09/01	MEH	09/05/01	S	26	18.25	10/08/01	
			Merrill Lynch, Inc.	0161		01/09/01	TWK	09/05/01 09/10/01	S	6 30	13.8 13.76	10/08/01	
			Merrill Lynch, Inc.	0161		01/09/01	AMR	09/05/01	S	58	31.97	10/08/01	
(b) (4)	Lutheran Brotherhood/RF00 RF00 Portfolio LBVIP Series Fund Inc. Growth	625 Fourth Avenue South, Minneapolis MN 55415-1665	Lehman Brothers	0074	(b) (4)	11/16/88	HOT	09/06/01	S	42,600	32.3361	10/08/01	
	Lutheran Brotherhood/RF00 RF00 Portfolio LBVIP Series Fund Inc. Growth	625 Fourth Avenue South, Minneapolis MN 55415-1665	Lehman Brothers	0074		11/16/88	HOT	09/04/01	S	52,800	33.4932	10/08/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Goldman Sachs	0005	(b) (6), (b) (7)(C)	04/20/01	AIG	09/04/01	S	78	78	10/31/01	
			Goldman Sachs	0005		04/20/01	AIG	09/07/01	S	78	78	10/31/01	
			Goldman Sachs	0005		04/20/01	AMR	08/15/01	S	167	33.41	10/31/01	
(b) (4)	M H Davidson & Co.	A/C of Corres A/C Under IRC 1236 & 475 attn: (b) (6), (b) (7)(C) 885 Third Ave New York, NY	Bear Stearns	0352	(b) (4)	06/25/91	AIG	09/05/01	SS	630	74.34	10/15/01	Discussed with SEC
	M H Davidson & Co.	A/C of Corres A/C Under IRC 1236 & 475 attn: (b) (6), (b) (7)(C) 885 Third Ave New York, NY	Bear Stearns	0352		06/25/91	AIG	09/04/01	SS	26,200	111	10/15/01	Discussed with SEC
	M H Davidson & Co.	A/C of Corres A/C Under IRC 1236 & 475 attn (b) (6), (b) (7)(C) 885 Third Ave New York, NY	Bear Stearns	0352		06/25/91	CAL	09/10/01	SS	95	39.26	10/15/01	Discused with SEC NASD Member
	M H Davidson & Co.	A/C of Corres A/C Under IRC 1236 & 475 attn: (b) (6), (b) (7)(C) 885 Third Ave New York, NY	Bear Stearns	0352		06/25/91	CAL	09/06/01	SS	159	42.2	10/15/01	Discussed with SEC

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Buy(B) Short(SS)/ Long(S)	Volume	Price	SEC Contact Date	Followup
(b) (4)	M H Davidson & Co.	Bear Stearns FAO MH David Acct # (b) (4) Attn: Prime Broker Dept One Metrotech Center North Brooklyn, NY	Bear Stearns	0352	(b)(4)	05/23/96	CAL	09/10/01	S	5,000	39.26	10/15/01	Discussed with SEC
	M H Davidson & Co.	Bear Stearns FAO MH David (b) (4) Attn: Prime Broker Dept One Metrotech Center North Brooklyn, NY	Bear Stearns	0352		05/16/97	AIG	09/04/01	S	106,100	111	10/15/01	Discussed with SEC
(b) (4)	M H Davidson & Co.	Bear Stearns FAO MH David # (b) (4) Attn: Prime Broker Dept One Metrotech Center North Brooklyn, NY	Bear Stearns	0352		05/16/97	AIG	09/04/01	S	250,000	111	10/15/01	Discussed with SEC
	M H Davidson & Co.	Davidson Building Omnibus Account 16 Third Street North PO Box 5015 Great Falls, MT	Bear Stearns	0352		02/14/78	AMR TG	08/16/01	B	5	2.2	10/15/01	Discussed with SEC
	M H Davidson & Co.	Davidson Building Omnibus Account 16 Third Street North PO Box 5015 Great Falls, MT	Bear Stearns	0352		02/14/78	AMR WD	08/31/01	B	20	0.15	10/15/01	Discussed with SEC
	M H Davidson & Co.	Davidson Building Omnibus Account 16 Third Street North PO Box 5015 Great Falls, MT	Bear Stearns	0352		02/14/78	AMR WF	08/22/01	B	5	1.25	10/15/01	Discussed with SEC
	M H Davidson & Co.	Davidson Building Omnibus Account 16 Third Street North PO Box 5015 Great Falls, MT	Bear Stearns	0352		02/14/78	UAL TG	08/16/01	B	5	9	10/15/01	Discussed with SEC
	M H Davidson & Co.	Davidson Building Omnibus Account 16 Third Street North PO Box 5015 Great Falls, MT	Bear Stearns	0352		02/14/78	UAL WF	08/22/01	B	5	0.9	10/15/01	Discussed with SEC
	M H Davidson & Co.	Serena Limited A/C Of Corr B/D M H Davidson & Co LLC 9 West 57th Street New York, NY	Bear Stearns	0352		06/02/00	AIG	09/05/01	SS	1,015	74.34	10/15/01	Discussed with SEC

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(b) (4)	M H Davidson & Co.	Serena Limited A/C Of Corr B/D M H Davidson & Co LLC 9 West 57th Street New York, NY	Bear Stearns	0352	(b) (4)	06/02/00	AIG	09/04/01	SS	41,800	111	10/15/01	Discussed with SEC
	M H Davidson & Co.	MH Davidson & Co 885 Third Ave New York, NY	Morgan Stanley	0050		05/09/97	AIG	09/10/01	S	20	73.97	10/15/01	Discussed with SEC
	M H Davidson & Co.	MH Davidson & Co 885 Third Ave New York, NY	Morgan Stanley	0050		05/09/97	AIG	09/10/01	S	100	73.94	10/15/01	Discussed with SEC
	M H Davidson & Co.	MH Davidson & Co 885 Third Ave New York, NY	Morgan Stanley	0050		05/09/97	AIG	09/10/01	S	200	73.97	10/15/01	Discussed with SEC
	M H Davidson & Co.	MH Davidson & Co 885 Third Ave New York, NY	Morgan Stanley	0050		05/09/97	AIG	09/10/01	S	300	73.9	10/15/01	Discussed with SEC
	M H Davidson & Co.	MH Davidson & Co 885 Third Ave New York, NY	Morgan Stanley	0050		05/09/97	AIG	09/10/01	S	500	73.75	10/15/01	Discussed with SEC
	M H Davidson & Co.	MH Davidson & Co 885 Third Ave New York, NY	Morgan Stanley	0050		05/09/97	AIG	09/10/01	S	500	73.76	10/15/01	Discussed with SEC
	M H Davidson & Co.	MH Davidson & Co 885 Third Ave New York, NY	Morgan Stanley	0050		05/09/97	AIG	09/10/01	S	700	73.96	10/15/01	Discussed with SEC
(b) (4)	MAC 211 McCullough Andrews & Cappiello Inc.	101 California St. Suite 4250 San Francisco, CA 94111-5844	Credit Suisse First Boston Corp.	0443	(b) (4)	07/26/01	MMC	09/04/01	S	800	93.99	10/03/01	
	MAC 226 McCullough Andrews & Cappiello Inc.	101 California St. Suite 4250 San Francisco, CA 94111-5844	Credit Suisse First Boston Corp.	0443		07/26/01	MMC	09/04/01	S	800	93.99	10/03/01	
	MAC 81 McCullough Andrews & Cappiello Inc.	101 California St. Suite 4250 San Francisco, CA 94111-5844	Credit Suisse First Boston Corp.	0443		07/26/01	MMC	09/04/01	S	4000	93.99	10/03/01	
(b) (4)	Macarthur Foundation	140 S. Dearborn, Ste 1100, Chicago, IL 60603-5202	Morgan Stanley	0050		09/22/99	RTN	09/04/01	B	10000	27.18	10/31/01	
	Macarthur Foundation	140 S. Dearborn, Ste 1100, Chicago, IL 60603-5202	Morgan Stanley	0050		09/22/99	RTN	09/07/01	B	5000	25.05	10/31/01	
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)		Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	03/13/01	AIG	09/10/01	S	45	74.2	11/14/01	
			Salomon Smith Barney	0418		03/13/01	BA	09/10/01	S	28	45.4	11/14/01	

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(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)		Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	03/13/01	DAL	08/31/01	S	16	38.394	11/14/01	
			Salomon Smith Barney	0418		03/13/01	MWD	09/10/01	S	29	49.35	11/14/01	
			Salomon Smith Barney	0418		03/13/01	XL	09/10/01	S	23	81.56	11/14/01	
(b) (4)	Maguel, Inc.	C/O Merrill Lynch Int Bank Ltd. Trust Dep't 2 Raffles Link Marina Bayfront Singapore 039392	Merrill Lynch	0161	(b) (4)	08/02/01	RTN	09/06/01	B	120	26.06	11/14/01	
(b) (4)	Mainstream Asset Management (Banc of America Securities a/c Mainstream Asset Mgmt)	600 Montgomery St/34th Flr, San Francsico CA 94111-2702	Banc of America Securities	0773	(b) (4)	12/26/97	HLT	09/05/01	S	17,000	12.4111	10/10/01	Discussed with SEC
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	08/27/01	RTN	09/10/01	B	110	24.45	09/27/01	SEC asked if Merrill Lynch have a research opinion
			Merrill Lynch, Inc.	0161		08/27/01	RTN	09/10/01	B	110	24.45	09/27/01	See Above
			Merrill Lynch, Inc.	0161		08/27/01	AIG	09/07/01	S	145	74.45	09/27/01	See Above
			Merrill Lynch	0161		07/12/93	UAL	08/27/01	S	3,700	33.35	11/14/01	
			Merrill Lynch	0161		07/12/93	UAL	08/27/01	S	300	33.62	11/14/01	
			DLJ	0443			HOT	09/06/01	S	2,000	30.822	09/28/01	New Account documents; statements 6/01 to 9/01 sent to SEC on 10/10/01
			Bear Stearns & Co.	0352		08/01/79	SWS	09/07/01	SS	10,000	19	10/01/01	
			Merrill Lynch, Inc.	0161		08/08/96	AIG	09/10/01	S	400	72.77	10/08/01	
(b) (4)	Marathon Global Equity Fund Ltd. c/o Marathon Asset Management	230 Park Ave. 7th Floor New York, NY 10169	Goldman Sachs & Co.	0005	(b) (4)	04/30/01	XL	09/04/01	SS	4400	83	10/23/01	
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	Merrill Lynch, Pierce, Fenner & Smith Inc.	0161	(b) (6), (b) (7)(C)	12/12/00	AIG	09/06/01	S	100	75	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		12/12/00	BA	09/06/01	S	200	50.15	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		12/12/00	CNC	09/06/01	S	500	8.01	11/14/01	

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch, Pierce, Fenner & Smith Inc.	0161	(b) (6), (b) (7)(C)	12/12/00	MMC	09/06/01	S	150	91.41	11/14/01	
			Salomon Smith Barney	0418		08/23/00	AIG	09/07/01	S	11	74.9	11/14/01	
			Salomon Smith Barney	0418		08/23/00	LUV	09/07/01	S	15	17.53	11/14/01	
			Salomon Smith Barney	0418		08/23/00	MWD	09/07/01	S	12	48.8	11/14/01	
			Salomon Smith Barney	0418		08/23/00	UAL	09/07/01	S	41	31.4	11/14/01	
			Merrill Lynch, Inc.	0161		08/23/01	RTN	09/04/01	B	270	27.1	09/27/01	
			Merrill Lynch, Inc.	0161		08/23/01	AMR	08/29/01	S	250	32.55	09/27/01	
(b) (4)	MARSICO CAPITAL ALFRED P. SLOAN	ALFRED P. SLOAN 1200 17TH STREET SUITE 1300 DENVER, CO 80202	Merrill Lynch, Inc.	0161	(b) (4)	10/19/00	BA	09/07/01	S	4,004	45.9981	10/08/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	PaineWebber Inc.	0221	(b) (6), (b) (7)(C)	06/13/00	AIG	09/04/01	S	700	77.3	11/14/01	
			PaineWebber Inc.	0221		06/13/00	CAL	09/07/01	S	100	41.5	11/14/01	
			PaineWebber Inc.	0221		06/13/00	LUV	09/07/01	S	100	17.24	11/14/01	
			UBS Painewebber Inc.	0221		06/05/01	AIG	09/07/01	S	55	73.54	10/02/01	
			UBS Painewebber Inc.	0221		06/05/01	AIG	09/06/01	S	25	75.65	10/02/01	
			Merrill Lynch, Inc.	0161		7/16/01	RTN	9/4/01	B	230	27.1	09/27/01	
			Raymond James & Associates, Inc.	0725		10/13/00	AIG	09/04/01	S	20	77.75	10/08/01	
			Raymond James & Associates, Inc.	0725		10/13/00	DAL	09/07/01	S	10	36.99	10/08/01	
			Raymond James & Associates, Inc.	0725		10/13/00	U	09/07/01	S	55	11.82	10/08/01	
(b) (4)	Maverick Capital Corp Execution	1 Pierrepont Plaza Brooklyn, NY 11201	Morgan Stanley & Co.	0050	(b) (4)	11/27/96	LUV	09/07/01	SS	254,800	16.9975	09/28/01	

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(b) (4)	Maverick Fund II, LTC	Attn: (b) (6), (b) (7)(C) Ugland House PO Box 30868 South Church Street Georgetown Grand Cayman British West Indies	Morgan Stanley & Co.	0050	(b) (4)	06/29/98	LUV	09/07/01	SS	14,700	16.9975	09/28/01	Contact Name and telephone # sent to SEC on 10/12/01
(b) (4)	Maverick Fund USA, Ltd.	Attn: (b) (6), (b) (7)(C) 300 Crescent Court- Suite 1850 Dallas, TX 75201	Goldman Sachs & Co.	0005	(b) (4)	04/22/98	CNC	09/10/01	B	106,400	7.6799	09/28/01	See Above
	Maverick Fund USA, Ltd.	Attn: (b) (6), (b) (7)(C) 300 Crescent Court Dallas, TX 75201	Morgan Stanley & Co.	0050		05/13/97	LUV	09/10/01	SS	71,400	16.9975	09/28/01	See Above
	Maverick Fund USA, Ltd.	18th Floor 300 Crescent Court Dallas, TX 75201	Merrill Lynch, Inc.	0161		10/18/94	LUV	09/07/01	SS	84,800	17.4919	09/28/01	See Above
(b) (4)	Maverick Fund, II LTD	c/o The Irish Trust Co. (Cayman) Ltd. Box 10658 APO-5th Floor Ugland House Grand Cayman BWI Cayman Islands	Morgan Stanley & Co.	0050	(b) (4)	06/30/98	LUV	09/07/01	SS	17,100	17.4919	09/28/01	See Above
(b) (4)	Maverick Fund, LDC	Attn: (b) (6), (b) (7)(C) c/o The Irish Trust Co. Ltd. PO Box 30868 SMB-5th Floor Ugland House Georgetown Grand Cayman British West Indies	Morgan Stanley & Co.	0050	(b) (4)	05/13/97	LUV	09/10/01	SS	168,700	16.9975	09/28/01	See Above
(b) (4)	Maverick Fund, LDC	PO Box 2003/British American Center Phase 3/De Roy Drive Georgetown Grand Cayman British West Indies Cayman Islands	Merrill Lynch, Inc.	0161	(b) (4)	10/18/94	LUV	09/07/01	SS	198,100	17.4919	09/28/01	See Above

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(b) (6), (b) (7)(C)			Credit Suisse First Boston/ DLJ	0443	(b) (6), (b) (7)(C)	05/20/99	AMR	09/07/01	S	650	29.857	10/08/01	
			Credit Suisse First Boston/ DLJ	0443		05/20/99	BA	09/06/01	S	500	48.6602	10/08/01	
			Credit Suisse First Boston/ DLJ	0443		05/20/99	HOT	09/06/01	S	1,100	30.8224	10/08/01	
			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	10/20/99	AIG	09/07/01	S	115	73.45	10/15/01	
			Salomon Smith Barney	0418		10/20/99	XL	09/07/01	S	76	80.65	10/15/01	
			Salomon Smith Barney	0418		10/20/99	XL	09/07/01	S	130	80.65	10/15/01	
			Salomon Smith Barney	0418		10/20/99	XL	09/07/01	S	124	80.65	10/15/01	
(b) (6), (b) (7)(C)			PaineWebber	221	(b) (6), (b) (7)(C)	06/16/00	AIG	09/07/01	S	50	75	11/14/01	
			PaineWebber	221		06/16/00	BA	09/07/01	S	50	47.7	11/14/01	
			PaineWebber	221		06/16/00	LUV	09/07/01	S	60	17.53	11/14/01	
			PaineWebber	221		06/16/00	MMC	09/07/01	S	40	87.1	11/14/01	
(b) (4)	Mees Pierson NV	Rokin 55 1012 KK Amsterdam The Netherlands	BNY ESI & Co., Inc.	0100	1000901022104D	02/18/01	AXA	09/04/010 9/06/0109 /10/01	S (Buy: 9000)	29,900		09/24/01	New Account documents; explanation of trade mechanics; current telephone # sent to SEC on 9/26/01
(b)(4)	Mellon Bank Acct. Number (b)(4) (b)(4) Attn: (b)(6), (b)(7)(C)	28 Penn Square, Lancaster, PA 17603-3870	Prudential Securities Incorporated	0030	(b)(4)	10/24/94	LLL	09/07/01	B	100	63.29	11/14/01	
	Mellon Bank Acct. Number (b)(4) (b)(4) Attn: (b)(6), (b)(7)(C)	28 Penn Square, Lancaster, PA 17603-3870	Prudential Securities Incorporated	0030		10/24/94	RTN	09/07/01	B	200	25.77	11/14/01	

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(b)(4)	Mellon Bank NA Acct. Number (b)(4)	3 Mellon Bank Center, Philadelphia, PA 19101	Prudential Securities Incorporated	0030	(b)(4)	03/21/86	LLL	09/07/01	B	100	63.29	11/14/01	
	Mellon Bank NA Acct. Number (b)(4)	3 Mellon Bank Center, Philadelphia, PA 19101	Prudential Securities Incorporated	0030		03/21/86	RTN	09/07/01	B	100	25.77	11/14/01	
	Mellon Bank NA Acct. Number (b)(4)	3 Mellon Bank Center, Philadelphia, PA 19101	Prudential Securities Incorporated	0030		03/21/86	RTN	09/07/01	B	100	25.8	11/14/01	
(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	08/08/01	AIG	09/06/01	S	110	74.8345	11/14/01	
			Salomon Smith Barney	0418		08/08/01	BA	09/06/01	S	70	50	11/14/01	
			Salomon Smith Barney	0418		08/08/01	LUV	09/06/01	S	65	17.8	11/14/01	
			Salomon Smith Barney	0418		08/08/01	MWD	09/06/01	S	60	50.35	11/14/01	
			Merrill Lynch, Inc.	0161		08/21/74	AIG	09/05/01	S	20,000	74.6	10/03/01	
(b) (4)	Mercury Asset MGMT	A/C MSS A/C (b) (4) London UK	Bernstein & Co	0013	(b) (4)	02/23/98	AIG	09/07/01	S	2370	75.3	10/31/01	
	Mercury Asset MGMT	A/C Mitmco New York Fund	Bernstein & Co	0013		09/27/99	AIG	09/07/01	S	130	75.3	10/31/01	
	Mercury Asset MGMT	A/C MAM Main One 67 Lombard Street London England	Bernstein & Co	0013		11/04/99	AIG	09/07/01	S	3620	75.3	10/31/01	
(b) (4)	Mercury Asset MGMT	A/C MLIMAIN 150 Independent Control 67 Lombard Street London England	Bernstein & Co	0013	(b) (4)	11/13/00	AIG	09/07/01	S	12650	75.3	10/31/01	
	Merrill Lynch International Equity Derivatives Group	Ropemaker Place 25 Ropemaker St. London, UK	Merrill Lynch, Inc.	0161		12/31/96	AIG	09/04/01 09/04/01 09/05/01 09/10/01	B B B B	3438 93 12000 3000	77.15 77.5 73.18 73.6	09/28/01	
	Merrill Lynch International Equity Derivatives Group	Ropemaker Place 25 Ropemaker St. London, UK	Merrill Lynch, Inc.	0161		12/31/96	CNC	09/05/01 09/10/01 09/10/01	SS SS SS	20700 50000 50000	8.5 7.5 7.6	09/28/01	
	Merrill Lynch International Equity Financing & Swaps	Ropemaker Place 25 Ropemaker St. London, UK	Merrill Lynch, Inc.	0161		12/31/96	AIG	09/05/01	SS	961950	74.38	09/28/01	
(b) (4)	Merrill Lynch International Equity Financing & Swaps	Ropemaker Place 25 Ropemaker St. London, UK	Merrill Lynch, Inc.	0161	(b) (4)	12/31/96	ALK	09/06/01	B	11200	31.66	09/28/01	
	Merrill Lynch International Equity Financing & Swaps	Ropemaker Place 25 Ropemaker St. London, UK	Merrill Lynch, Inc.	0161		12/31/96	AMR	09/06/01	B	10587	31.2	09/28/01	
	Merrill Lynch International Equity Financing & Swaps	Ropemaker Place 25 Ropemaker St. London, UK	Merrill Lynch, Inc.	0161		12/31/96	DAL	09/06/01	B	959	38.26	09/28/01	

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(b) (4)	Merrill Lynch International Equity Financing & Swaps	Ropemaker Place 25 Ropemaker St. London, UK	Merrill Lynch, Inc.	0161	(b) (4)	12/31/96	LUV	09/06/01	SS	1578	17.81	09/28/01	
	Merrill Lynch Professional	101 Hudson Street, 7th Floor	Bank of America	0773			RTN	9/4/01	B	30,000		09/28/01	
(b) (4)	Metropolitan Life Commingled G Sep Acct 88 ATT (b) (6), (b) (7)(C) Wquity Inve	334 Madison Avenue P.O. Box 63 Convent Station NJ 07961	Credit Suisse First Boston	0355	(b) (4)	01/11/00	AIG	09/04/01	S	7,900	76.5	11/14/01	
	Metropolitan Life Commingled G Sep Acct 88 ATT (b) (6), (b) (7)(C) Wquity Inve	334 Madison Avenue P.O. Box 63 Convent Station NJ 07961	Credit Suisse First Boston	0355		01/11/00	AMR	09/04/01	S	500	32.38	11/14/01	
	Metropolitan Life Commingled G Sep Acct 88 ATT (b) (6), (b) (7)(C) Wquity Inve	334 Madison Avenue P.O. Box 63 Convent Station NJ 07961	Credit Suisse First Boston	0355		01/11/00	BA	09/04/01	S	2,600	49.95	11/14/01	
	Metropolitan Life Commingled G Sep Acct 88 ATT (b)(6), (b)(7)(C) Wquity Inve	334 Madison Avenue P.O. Box 63 Convent Station NJ 07961	Credit Suisse First Boston	0355		01/11/00	DAL	09/04/01	S	400	39	11/14/01	
	Metropolitan Life Commingled G Sep Acct 88 ATT (b) (6), (b) (7)(C) Wquity Inve	334 Madison Avenue P.O. Box 63 Convent Station NJ 07961	Credit Suisse First Boston	0355		01/11/00	HLT	09/04/01	S	1,200	12.65	11/14/01	
	Metropolitan Life Commingled G Sep Acct 88 ATT (b) (6), (b) (7)(C) Wquity Inve	334 Madison Avenue P.O. Box 63 Convent Station NJ 07961	Credit Suisse First Boston	0355		01/11/00	HOT	09/04/01	S	600	33.75	11/14/01	
	Metropolitan Life Commingled G Sep Acct 88 ATT (b) (6), (b) (7)(C) Wquity Inve	334 Madison Avenue P.O. Box 63 Convent Station NJ 07961	Credit Suisse First Boston	0355		01/11/00	LUV	09/04/01	S	2,400	18.25	11/14/01	
	Metropolitan Life Commingled G Sep Acct 88 ATT (b) (6), (b) (7)(C) Wquity Inve	334 Madison Avenue P.O. Box 63 Convent Station NJ 07961	Credit Suisse First Boston	0355		01/11/00	RTN	09/04/01	S	1,100	26.96	11/14/01	
	Metropolitan Life Commingled G Sep Acct 88 ATT (b) (6), (b) (7)(C) Wquity Inve	334 Madison Avenue P.O. Box 63 Convent Station NJ 07961	Credit Suisse First Boston	0355		01/11/00	XL	09/04/01	S	400	82.01	11/14/01	
(b) (4)	Metropolitan West Capital Management, A/C (b)(6), (b)(7)(C) (b)(6), (b)(7)(C)	610 Newport Center Dr. Ste 1000, Newport Beach, CA 92660	Goldman Sachs	0005	(b) (4)	09/05/01	RTN	09/05/01	B	1100	26.95	10/31/01	Discussed with SEC
	Metropolitan West Capital Management, A/C (b) (6), (b) (7)(C)	610 Newport Center Dr. Ste 1000, Newport Beach, CA 92660	Goldman Sachs	0005		09/06/01	RTN	09/06/01	B	250	26.08	10/31/01	Discussed with SEC
	Metropolitan West Capital Mgmt	10880 Wilshire Blvd. Ste 2020, Los Angeles, CA 90024-4121	Morgan Stanley	0050		10/13/97	RTN	09/06/01	B	1700	25.86	10/31/01	Discussed with SEC
	Metropolitan West Capital MGMT, Latrobe Area Hospital	610 Newport Center Dr. Ste 1000, Newport Beach, CA 92660	Deutsche Banc Alex Brown	0573		09/10/01	RTN	09/10/01	B	7000	24.69	10/31/01	Discussed with SEC
	Metropolitan West Securities Inc. A/C Metwest -820	10880 Wilshire Blvd. Ste 2020, Los Angeles, CA 90024-4121	Morgan Stanley	0050		09/06/01	RTN	09/06/01	B	3400	25.86	10/31/01	Discussed with SEC

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(b) (4)	Metropolitan West Securities, A/C 850 Texas Presbyterian Foundation	11766 Wilshire Blvd. Ste 1580, Los Angeles, CA 90025	UBS Warburg	0642	(b) (4)	08/29/01	RTN	09/04/01	B	25500	26.931	10/31/01	Discussed with SEC
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	PaineWebber Inc.	0221	(b) (6), (b) (7)(C)	08/24/99	AIG	09/10/01	S	90	74.2	11/14/01	
			PaineWebber Inc.	0221		08/24/99	BA	09/10/01	S	45	43.68	11/14/01	
			PaineWebber Inc.	0221		08/24/99	CNC	09/10/01	S	175	7.62	11/14/01	
			PaineWebber Inc.	0221		08/24/99	AIG	09/10/01	S	150	50.93	11/14/01	
			PaineWebber Inc.	0221		08/24/99	AIG	09/10/01	S	75	74.2	11/14/01	
			Credit Suisse First Boston Corp.	0443		09/17/98	BA	09/06/01	S	150	48.66	10/08/01	
(b) (4)	MIDATLANTIC CARDIO. ASSOCIATES	MIDATLANTIC CARDIO. ASSOCIATES PROFIT SHARING PLAN AND TRUST ATTN: (b) (6), (b) (7)(C) LAZARD INTERNATIONAL-EUROPEAN 1838 GREENE TREE RD. STE.250 BALTIMORE MD 21208-7108	Salomon Smith Barney	418	(b) (4)	1/22/99	AEG AXA	09/04/01 09/04/01	S S	555 610	28.7 25.92	11/14/01	
(b) (4)	MIDATLANTIC CARDIO. ASSOCIATES	MIDATLANTIC CARDIO. ASSOCIATES PROFIT SHARING PLAN AND TRUST ATTN: (b) (6), (b) (7)(C) 1838 MANAGEMENT 1838 GREENE TREE RD. STE.535 BALTIMORE MD 21208-7104	Salomon Smith Barney	418	(b) (4)	2/2/00	AIG	9/4/01	S	1050	77	11/14/01	

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(b) (4)	MIDATLANTIC CARDIO. ASSOCIATES	MIDATLANTIC CARDIO. ASSOCIATES PROFIT SHARING PLAN AND TRUST ATTN: (b) (6), (b) (7)(C) NICHOLAS APPLEGATE MGMT. 1838 GREENE TREE RD. STE.250 BALTIMORE MD 21208-7108	Salomon Smith Barney	418	(b) (4)	05/23/00	AEG AXA	09/04/01 09/04/01	S S	374 338	28.5 25.87	11/14/01	
(b) (4)	MIDATLANTIC CARDIO. ASSOCIATES	MIDATLANTIC CARDIO. ASSOCIATES PROFIT SHARING PLAN AND TRUST ATTN: (b) (6), (b) (7)(C) LAUREL CAPITAL ADVISORS 1838 GREENE TREE RD. STE.250 BALTIMORE MD 21208-7108	Salomon Smith Barney	418	(b) (4)	09/27/00	AIG MWD	09/04/01 09/04/01	S S	667 206	77.1 53.24	11/14/01	
(b) (4)	MIDATLANTIC CARDIOVASC. ASSOC. PROFIT SHARING PLAN & TRUST	MIDATLANTIC CARDIOVASC. ASSOC. PROFIT SHARING PLAN & TRUST TEMPLETON PORTFOLIO ADV INC ATTN: (b) (6), (b) (7)(C) 1838 GREENE TREE RD - STE 250 BALTIMORE MD 21208-7108	Salomon Smith Barney	418	(b) (4)	09/15/93	AXA XL	09/04/01 09/04/01	S S	820 290	26.12 82.5	11/14/01	
(b) (4)	Midtown Research	1 Pierpoint Plaza Brooklyn, NY 11201	Morgan Stanley & Co.	0050	(b) (4)	07/29/98	DAL	09/04/01-09/06/01	SS	49,400	NA	09/25/01	See Above
	Midtown Research	1 Pierpoint Plaza Brooklyn, NY 11201	Morgan Stanley & Co.	0050		07/29/98	HOT	09/06/01	SS	100,000	30.9185	09/26/01	Gave SEC account information on 10/08/01
	Millenco/Agah	666 Fifth Avenue, 8th Floor, NY, NY 10103	DLJ	0443			LEH	9/5/01	SS	15,000		09/28/01	
(b) (6), (b) (7)(C)		Oppenheimer Capital C/O Vitale, Caturano & Co. Attn: (b)(6), (b)(7)(C) (b)(6), (b)(7)(C)	Salomon Smith Barney	418	(b) (6), (b) (7)(C)	04/12/00	MWD	09/07/01	S	45	47.95	11/14/01	

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(b) (6), (b) (7)(C)		Lord Abbett MID CAP C/O Vitale, Caturano & Co. Attn: (b)(6), (b)(7)(C) (b)(6), (b)(7)(C)	Salomon Smith Barney	418	(b) (6), (b) (7)(C)	04/12/00	XL	09/04/01	S	23	82.59	11/14/01	
		TCW Small Cap Growth C/O Vitale, Caturano & Co. Attn: (b)(6), (b)(7)(C) (b)(6), (b)(7)(C)	Salomon Smith Barney	418		03/03/92	CNC	09/07/01	S	100	6.95	11/14/01	
		Ivory & Sime International C/O Vitale, Caturano & Co. Attn: Michael Smith 210 Commercial Street Boston, MA (b)(6), (b)(7)(C)	Salomon Smith Barney	418		03/03/92	AXA	09/07/01	S	75	23.17	11/14/01	
		C/O Vitale, Caturano & Co. Attn: (b)(6), (b)(7)(C) (b)(6), (b)(7)(C)	Salomon Smith Barney	418		11/20/92	AXA	09/05/01	S	120	25.02	11/14/01	
(b) (6), (b) (7)(C)			Lewco Securities Corp.	0277	(b) (6), (b) (7)(C)	12/03/99	AXA	09/04/01 09/06/01 09/07/01	S S S	165 195 270	26.25 23.58 23.69	10/15/01	New Account documentsfor 7/01-9/01; Infospace News Article;moneyline reports sent to SEC on 10/31/01 & 11/01/01 (b)(6), (b)(7)(C) (b)(6), (b)(7)(C)
			Lewco Securities Corp.	0277		06/01/99	AIG	09/04/01 09/05/01 09/06/01 09/07/01	S S S S	120 150 115 344	77.71 73.99 75.05 74.82	10/15/01	See Above
			Lewco Securities Corp.	0277		03/07/00	AIG	09/04/01 09/05/01 09/06/01 09/07/01	S S S S	65 20 15 50	76.95 74.63 75.04 74.93	10/15/01	See Above
			Morgan Stanley & Co.	0050		05/25/99	CNC	09/04/01 09/06/01	S S	10,000 20,000	8.84 7.9926	10/23/01	Discussed with SEC
(b) (4)	Mitsubishi Trust & Banking Cor	A/C Pension 12 /Att (b) (6), (b) (6), (b) (7)(C) Tokyo, Japan	Credit Suisse First Boston	0355	(b) (4)	01/24/92	AIG	09/04/01	S	20000	77.24	10/23/01	
	Mitsubishi Trust & Banking Cor	A/C Pension 12 /Att (b) (6), (b) (6), (b) (7)(C) Tokyo, Japan	Credit Suisse First Boston	0355		01/24/92	BA	09/04/01	S	6400	50.99	10/23/01	

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(b) (4)	Mitsubishi Trust & Banking Cor	A/C Pension 12 /Att (b) (6), (b) (7)(C) Tokyo, Japan	Credit Suisse First Boston	0355	(b) (4)	01/24/92	LUV	09/04/01	S	14200	18.27	10/23/01	
	Mitsui Mutual Life Insurance	A/C General (Dannen) account Attn: Securities ADM Office 123, Otemachi Chiyoda-Ku, Tokyo	Goldman Sachs	0005		06/12/96	AIG	09/07/01	S	14600	74.17	10/31/01	
	Mitsui Mutual Life Insurance	A/C General (Dannen) account Attn: Securities ADM Office 123, Otemachi Chiyoda-Ku, Tokyo	Goldman Sachs	0005		06/12/96	DAL	09/07/01	S	8000	37.61	10/31/01	
	Mitsui Mutual Life Insurance	A/C General (Dannen) account Attn: Securities ADM Office 123, Otemachi Chiyoda-Ku, Tokyo	Goldman Sachs	0005		05/13/97	DAL	08/30/01	S	8000	38.8	10/31/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch, Pierce, Fenner & Smith Inc.	0161	(b) (6), (b) (7)(C)	02/09/00	AIG	09/10/01	S	65	74.28	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		02/09/00	ALK	09/07/01	S	309	30.25	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		06/11/98	AXA	09/10/01	S	320	23.55	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		06/11/98	TWK	09/05/01	S	38	13.8	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		08/02/01	AIG	09/04/01	S	100	77.34	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		08/02/01	LUV	09/04/01	S	140	18.57	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		08/02/01	MMC	09/04/01	S	75	93.9	11/14/01	
			Merrill Lynch, Inc.	0161		12/16/96	AIG	09/07/01	S	225	72.69	09/28/01	
			Merrill Lynch, Inc.	0161		12/16/96	MMC	09/07/01	S	100	87.4	09/28/01	
(b) (4)	MMM-SP NTQA (b) (4)	P.O. Box 92923 Chicago IL 60675-2923	Salomon Smith Barney	0418	(b) (4)	10/29/99	AAI	09/04/01	S	700	6.5786	11/14/01	
	MMM-SP NTQA (b) (4)	P.O. Box 92923 Chicago IL 60675-2923	Salomon Smith Barney	0418		10/29/99	AIG	09/04/01	S	4,000	77.5388	11/14/01	
	MMM-SP NTQA (b) (4)	P.O. Box 92923 Chicago IL 60675-2923	Salomon Smith Barney	0418		10/29/99	CNC	09/04/01	S	4,600	8.88	11/14/01	

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(b) (4)	MMM-SP NTQA#(b) (4)	P.O. Box 92923 Chicago IL 60675-2923	Salomon Smith Barney	0418	(b)(4)	10/29/99	DAL	09/04/01	S	2,616	39.6624	11/14/01	
	MMM-SP NTQA#(b) (4)	P.O. Box 92923 Chicago IL 60675-2923	Salomon Smith Barney	0418		10/29/99	MWD	09/04/01	S	8,124	54.0078	11/14/01	
	MMM-SP NTQA#(b) (4)	P.O. Box 92923 Chicago IL 60675-2923	Salomon Smith Barney	0418		10/29/99	U	09/04/01	S	1,500	13.128	11/14/01	
	Monetary Authority of Singapore c/o RCM Capital Management	4 Embarcadero Center San Francisco, CA 94111-4106	Bear Stearns Company	0352		10/10/00	XL	09/06/01	S	16,000	81.35	10/15/01	Discussed with SEC
	Monitor Capital Advisors a/c Mainstay Euity Index Fund a/c MSGEQ	504 Carnegie Center, Princeton, NJ 08540-6242	Morgan Stanley & Co.	0050		02/01/00	AIG	09/04/01	S	7,621	76.5	11/14/01	
	Monitor Capital Advisors a/c Mainstay Euity Index Fund a/c MSGEQ	504 Carnegie Center, Princeton, NJ 08540-6242	Morgan Stanley & Co.	0050		02/01/00	AMR	09/04/01	S	447	32.28	11/14/01	
	Monitor Capital Advisors a/c Mainstay Euity Index Fund a/c MSGEQ	504 Carnegie Center, Princeton, NJ 08540-6242	Morgan Stanley & Co.	0050		02/01/00	BA	09/04/01	S	2,538	49.95	11/14/01	
	Monitor Capital Advisors a/c Mainstay Euity Index Fund a/c MSGEQ	504 Carnegie Center, Princeton, NJ 08540-6242	Morgan Stanley & Co.	0050		02/01/00	CNC	09/04/01	S	983	8.45	11/14/01	
	Monitor Capital Advisors a/c Mainstay Euity Index Fund a/c MSGEQ	504 Carnegie Center, Princeton, NJ 08540-6242	Morgan Stanley & Co.	0050		02/01/00	DAL	09/04/01	S	358	39	11/14/01	
	Monitor Capital Advisors a/c Mainstay Euity Index Fund a/c MSGEQ	504 Carnegie Center, Princeton, NJ 08540-6242	Morgan Stanley & Co.	0050		02/01/00	HOT	09/04/01	S	578	33.75	11/14/01	
	Monitor Capital Advisors a/c Mainstay Euity Index Fund a/c MSGEQ	504 Carnegie Center, Princeton, NJ 08540-6242	Morgan Stanley & Co.	0050		02/01/00	LUV	09/04/01	S	2,216	18.25	11/14/01	
	Monitor Capital Advisors a/c Mainstay Euity Index Fund a/c MSGEQ	504 Carnegie Center, Princeton, NJ 08540-6242	Morgan Stanley & Co.	0050		02/01/00	RTN	09/04/01	S	1,034	26.96	11/14/01	
	Monitor Capital Advisors a/c Mainstay Euity Index Fund a/c MSGEQ	504 Carnegie Center, Princeton, NJ 08540-6242	Morgan Stanley & Co.	0050		02/01/00	U	09/04/01	S	195	12.9	11/14/01	
	Monitor Capital Advisors a/c Mainstay Euity Index Fund a/c MSGEQ	504 Carnegie Center, Princeton, NJ 08540-6242	Morgan Stanley & Co.	0050		02/01/00	XL	09/04/01	S	366	82.01	11/14/01	
	Monte Paschi Asset Management A/C Ducato Euro Plus 03 Ducato Gestioni SPA	Via Vigna 6 Milan 20123 Italy	UBS Warburg L.L.C.	0642		09/04/01	AIG	09/04/01	S	1050	77.33	11/14/01	
	Monte Paschi Asset Management A/C Ducato Euro Plus 03 Ducato Gestioni SPA	Via Vigna 6 Milan 20123 Italy	UBS Warburg L.L.C.	0642		09/04/01	BA	09/04/01	S	700	51.14	11/14/01	
	Monte Paschi Asset Management A/C MPS Ducato Azionario Int'l	Via San Vittore 37 Milan 20123 Italy	UBS Warburg L.L.C.	0642		09/04/01	AIG	09/04/01	S	3700	77.329	11/14/01	

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(b) (4)	Monte Paschi Asset Management A/C MPS Ducato Azionario Int'l	Via San Vittore 37 Milan 20123 Italy	UBS Warburg L.L.C.	0642	(b) (4)	09/04/01	BA	09/04/01	S	2350	51.1417	11/14/01	
	Monte Paschi Asset Management A/C MPS Ducato Bilanciato Globale (093300)	Via San Vittore 37 Milan 20123 Italy	UBS Warburg L.L.C.	0642		09/04/01	AIG	09/04/01	S	8200	77.329	11/14/01	
	Monte Paschi Asset Management A/C MPS Ducato Bilanciato Globale (093300)	Via San Vittore 37 Milan 20123 Italy	UBS Warburg L.L.C.	0642		09/04/01	BA	09/04/01	S	5250	51.14	11/14/01	
	Monte Paschi Asset Management A/C MPS Ducato Crescita Globale (093301)	Via San Vittore 37 Milan 20123 Italy	UBS Warburg L.L.C.	0642		09/04/01	AIG	09/04/01	S	5450	77.329	11/14/01	
	Monte Paschi Asset Management A/C MPS Ducato Crescita Globale (093301)	Via San Vittore 37 Milan 20123 Italy	UBS Warburg L.L.C.	0642		09/04/01	BA	09/04/01	S	3500	51.1417	11/14/01	
	Monte Paschi Asset Management A/C MPS Ducato Reddito Globale (093302)	Via San Vittore 37 Milan 20123 Italy	UBS Warburg L.L.C.	0642		09/04/01	AIG	09/04/01	S	5300	77.329	11/14/01	
	Monte Paschi Asset Management A/C MPS Ducato Reddito Globale (093302)	Via San Vittore 37 Milan 20123 Italy	UBS Warburg L.L.C.	0642		09/04/01	BA	09/04/01	S	3400	51.1417	11/14/01	
	Monte Paschi Asset Management A/C Quadrifoglio Bilancato Internazionale	Via San Vittore 37 Milan 20123 Italy	UBS Warburg L.L.C.	0642		09/04/01	AIG	09/04/01	S	150	77.33	11/14/01	
	Monte Paschi Asset Management A/C Quadrifoglio Bilancato Internazionale	Via San Vittore 37 Milan 20123 Italy	UBS Warburg L.L.C.	0642		09/04/01	BA	09/04/01	S	100	51.14	11/14/01	
	Monte Paschi Asset Management A/C Quadrifoglio Obbligazionario Misto	Via San Vittore N37 Milan 20123 Italy	UBS Warburg L.L.C.	0642		09/04/01	AIG	09/04/01	S	1700	77.33	11/14/01	
	Monte Paschi Asset Management A/C Quadrifoglio Obbligazionario Misto	Via San Vittore N37 Milan 20123 Italy	UBS Warburg L.L.C.	0642		09/04/01	BA	09/04/01	S	1150	51.14	11/14/01	
(b) (6), (b) (7)(C)			Charles Schwab & Co.	0164	(b) (6), (b) (7)(C)	03/28/00	HLT	09/10/01	S	2,000	11.12	10/03/01	
			Charles Schwab & Co.	0164		03/28/00	HLT	09/10/01	S	2,000	11.15	10/03/01	
			Charles Schwab & Co.	0164		03/28/00	HLT	09/10/01	S	2,000	11.17	10/03/01	
			Salomon Smith Barney	0418		06/22/99	AIG	09/07/01	S	91	73.02	10/08/01	Discussed with SEC
			Salomon Smith Barney	0418		06/21/00	AMR	09/07/01	S	184	29.83	10/08/01	Discussed with SEC
			Salomon Smith Barney	0418		06/21/00	AEG	09/07/01	S	170	25.6	10/08/01	Discussed with SEC
			Salomon Smith Barney	0418		06/21/00	AXA	09/07/01	S	142	23.33	10/08/01	Discussed with SEC

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(b) (4)	Morgan Stanley & Co. Int'l	A/C MPB Investment Fund Ltd. A/C (b) (4) (b) (4) 25 Cabot Square Canary Wharf London E14 4QA United Kingdom	Morgan Stanley & Co.	0050	(b) (4)	10/15/99	LUV	09/10/01	SS	30,000	16.6843	09/28/01	
(b) (4)	Morgan Stanley Primer Broker F/A/O Pequot Capital MGMT	One Pierrepont Plaza Brooklyn, NY	Merrill Lynch, Inc.	0161	(b) (4)	01/05/99	AIG	09/07/01	S	62,600	73.13	09/28/01	
	MPB Investment Fund Limited	PO Box SS-5539 Windermere House 404 East Bay Street Nassau Bahamas	Morgan Stanley & Co.	0050		10/15/99	LUV	09/10/01	S	30,000	16.6137	09/28/01	
(b) (6), (b) (7)(C)			PaineWebber Inc.	0221	(b) (6), (b) (7)(C)	11/25/97	AIG	09/07/01	S	1312	74.65	11/14/01	
			PaineWebber Inc.	0221		11/25/97	MMC	09/07/01	S	500	87.15	11/14/01	
			PaineWebber Inc.	0221		11/25/97	MMC	09/07/01	S	100	87.25	11/14/01	
			Prudential Securities Incorporated	0030		03/19/01	AIG	09/07/01	S	500	73.03	11/14/01	
			Prudential Securities Incorporated	0030		03/19/01	AIG	09/07/01	S	250	73.04	11/14/01	
			Prudential Securities Incorporated	0030		03/19/01	LUV	09/07/01	S	2625	17	11/14/01	
			Prudential Securities Incorporated	0030		03/03/00	CNC	09/05/01	S	66	8.07	11/14/01	
			Prudential Securities Incorporated	0030		03/03/00	AIG	09/05/01	S	56	74	11/14/01	
			Prudential Securities Incorporated	0030		03/03/00	AXA	09/05/01	S	88	25.07	11/14/01	
			Prudential Securities Incorporated	0030		03/03/00	AIG	09/05/01	S	79	73.95	11/14/01	
			Prudential Securities Incorporated	0030		09/14/00	AIG	09/07/01	S	1437	73	11/14/01	

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(b) (6), (b) (7)(C)			Prudential Securities Incorporated	0030	(b) (6), (b) (7)(C)	09/20/00	CNC	09/07/01	S	252	7.05	11/14/01	
			Prudential Securities Incorporated	0030		08/22/01	AXA	09/04/01	S	58	26.25	11/14/01	
			Prudential Securities Incorporated	0030		08/22/01	CNC	09/04/01	S	68	8.85	11/14/01	
			Prudential Securities Incorporated	0030		08/22/01	RTN	09/04/01	B	115	27.24	11/14/01	
			Prudential Securities Incorporated	0030		08/22/01	AIG	09/05/01	S	54	73	11/14/01	
			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	10/01/96	AXA	09/05/01	S	82	25.017	11/14/01	
			Salomon Smith Barney	0418		10/01/96	RTN	09/10/01	B	110	24.59	11/14/01	
			Salomon Smith Barney	0418		10/01/96	CNC	09/10/01	S	128	7.6	11/14/01	
			Salomon Smith Barney	0418		10/01/96	LLL	09/10/01	B	40	62.3591	11/14/01	
(b) (6), (b) (7)(C)			Salomon Smith Barney	0418		11/01/79	HLT	09/10/01	S	102	11.12	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161	(b) (6), (b) (7)(C)	02/16/01	DAL	08/31/01	S	9	38.646	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		02/16/01	LLL	09/07/01	B	1	62	11/14/01	
(b) (4)	MRG Nucleus fund	C/O Midtwon Research Group, LLC Attn: (b) (6), (b) (7)(C) 565 Fifth Ave, 11th Fl. New York, NY 10017	Morgan Stanley & Co.	0050	(b) (4)	06/12/98	DAL	09/04/01	SS	5,530	39.01	10/08/01	Discussed with SEC
(b) (4)	MRG Nucleus fund	C/O Midtwon Research Group, LLC Attn: (b) (6), (b) (7)(C) 565 Fifth Ave, 11th Fl. New York, NY 10017	Morgan Stanley & Co.	0050		06/12/98	DAL	09/06/01	SS	12,200	38.2984	10/08/01	Discussed with SEC
(b) (4)	MRG Nucleus Fund II, LP c/o Midtown Research Group ATTN: (b) (6), (b) (7)(C)	565 Fifth Avenue, 11th Floor, New York, NY 100172413	Morgan Stanley	0050		12/27/00	DAL	09/04/01	SS	1,690	39.01	11/14/01	
	MRG Nucleus Fund II, LP c/o Midtown Research Group ATTN: (b) (6), (b) (7)(C)	565 Fifth Avenue, 11th Floor, New York, NY 100172413	Morgan Stanley	0050		12/27/00	DAL	09/06/01	SS	5,730	38.2984	11/14/01	

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(b) (4)	MRG Nucleus Fund II, LP c/o Midtown Research Group ATTN: (b) (6), (b) (7)(C)	565 Fifth Avenue, 11th Floor, New York, NY 100172413	Morgan Stanley	0050	(b) (4)	12/27/00	HOT	09/06/01	SS	13,320	30.9185	11/14/01	
	MRG Nucleus Fund LP	C/O Midtwon Research Group, LLC Attn (b) (6), (b) (7)(C) 565 Fifth Ave, 11th Fl. New York, NY 10017	Morgan Stanley & Co.	0050		06/12/98	HOT	09/06/01	SS	37,200	30.9185	10/01/01	Discussed with SEC
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	01/31/00	AIG	09/10/01	S	36	74.0704	11/14/01	
			Salomon Smith Barney	0418		01/31/00	AXA	09/10/01	S	20	23.9	11/14/01	
			Salomon Smith Barney	0418		01/31/00	LLL	09/10/01	B	30	62.22	11/14/01	
			Salomon Smith Barney	0419		02/01/00	MWD	09/10/01	S	56	49.4726	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161	(b) (6), (b) (7)(C)	10/06/86	AIG	09/04/01	S	377	77.8	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		10/06/86	LUV	09/04/01	S	231	18.73	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		10/06/86	MMC	09/04/01	S	254	94.06	11/14/01	
(b) (4)	MSCI World Active	Morgan Stanley Asset MGM MSIP / State Street T&B Shibuya-Ku Tokyo	Goldman Sachs	0005	(b) (4)	05/15/01	AIG	09/05/01	S	100	74.39	10/31/01	Discussed with SEC
	MSCI World Active	Morgan Stanley Asset MGM MSIP / State Street T&B Shibuya-Ku Tokyo	Goldman Sachs	0005		05/15/01	BA	09/05/01	S	100	50.31	10/31/01	Discussed with SEC
	MSCI World Active	Morgan Stanley Asset MGM MSIP / State Street T&B Shibuya-Ku Tokyo	Goldman Sachs	0005		05/15/01	HLT	09/05/01	S	100	12.47	10/31/01	Discussed with SEC
(b) (4)	MUTUAL OF AMERICA CAP MGMT	MUTUAL OF AMERICA CAP MGMT A/C ALL AMERICA INDEX 320 PARK AVE 9FL NEW YORK NY 10022-6839	CIBC World Markets Corp.	438	(b) (4)	10/12/99	AIG BA CNC DAL HLT LUV RTN U	09/10/01 09/10/01 09/10/01 09/10/01 09/10/01 09/10/01 09/10/01 09/10/01	S S S S S S S S	1332 444 172 63 188 387 181 34	72.5 44.9 7.25 37 11.34 16.74 24.25 11.8	11/14/01	
	Mutual Shares	51 JFK Parkway, Short Hills, NJ 07078	Morgan Stanley & Co	0050		09/10/92	HOT	09/10/01	S	100	29.92	10/03/01	Discussed with SEC
	Mutual Shares	51 JFK Parkway, Short Hills, NJ 07078	Morgan Stanley & Co	0050		09/10/92	HOT	09/10/01	S	900	29.95	10/03/01	Discussed with SEC

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(b) (4)	Mutual Shares	51 JFK Parkway, Short Hills, NJ 07078	Morgan Stanley & Co	0050	(b) (4)	09/10/92	HOT	09/10/01	S	1,000	30.01	10/03/01	Discussed with SEC
	Mutual Shares	51 JFK Parkway, Short Hills, NJ 07078	Morgan Stanley & Co	0050		09/10/92	HOT	09/10/01	S	2,300	29.91	10/03/01	Discussed with SEC
	Mutual Shares	51 JFK Parkway, Short Hills, NJ 07078	Morgan Stanley & Co	0050		09/10/92	HOT	09/10/01	S	2,500	30.03	10/03/01	Discussed with SEC
	Mutual Shares	51 JFK Parkway, Short Hills, NJ 07078	Morgan Stanley & Co	0050		09/10/92	HOT	09/10/01	S	4,700	30.04	10/03/01	Discussed with SEC
	Mutual Shares	51 JFK Parkway, Short Hills, NJ 07078	Morgan Stanley & Co	0050		09/10/92	HOT	09/10/01	S	6100	30.05	10/03/01	Discussed with SEC
	Mutual Shares	51 JFK Parkway, Short Hills, NJ 07078	Morgan Stanley & Co	0050		09/10/92	HOT	09/10/01	S	10,700	30.02	10/03/01	Discussed with SEC
	Mutual Shares	51 JFK Parkway, Short Hills, NJ 07078	Morgan Stanley & Co	0050		09/10/92	HOT	09/10/01	S	20,100	30	10/03/01	Discussed with SEC
	Mutual Shares	51 JFK Parkway, Short Hills, NJ 07078	Morgan Stanley & Co	0050		09/10/92	HOT	09/10/01	S	26,600	29.9	10/03/01	Discussed with SEC
	Mutual Shares #15	51 JFK Parkway, Short Hills, NJ 07078	UBS Painewebber Inc.	0221		10/07/99	HOT	09/07/01	S	4,400	30	10/03/01	Discussed with SEC
	Mutual Shares #17	51 JFK Parkway, Short Hills, NJ 07078	UBS Painewebber Inc.	0221		10/07/99	HOT	09/07/01	S	500	30	10/03/01	Discussed with SEC
	Mutual Shares #3	51 JFK Parkway, Short Hills, NJ 07078	UBS Painewebber Inc.	0221		10/07/99	HOT	09/07/01	S	62900	30	10/03/01	Discussed with SEC
	Mutual Shares #5	51 JFK Parkway, Short Hills, NJ 07078	UBS Painewebber Inc.	0221		10/07/99	HOT	09/07/01	S	32,200	30	10/03/01	Discussed with SEC
(b) (4)	Mutual Shares Corp. (Franklin Valuemark Mutual	51 JFK Parkway, Short Hills, NJ 07078	Credit Suisse First Boston	0355	(b) (4)	11/21/96	HOT	09/07/01	S	2,200	30	10/08/01	Discussed with SEC
	Mutual Shares Corp. att (b) (6), (b) (7)(C)	51 JFK Parkway, Short Hills, NJ 07078	Credit Suisse First Boston	0355		03/13/79	HOT	09/07/01	S	31,400	30.0004	10/08/01	Discussed with SEC
	Mutual Shares Fund A/C (b) (4) ATTN (b) (6), (b) (7)(C)	51 JFK Parkway, Short Hills, NJ 07078	Weiss, Peck & Greer	0022		02/09/96	HOT	09/07/01	S	140,200	30.0032	10/03/01	Discussed with SEC
(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	07/19/99	AMR	09/10/01	S	2	29.46	10/01/01	
			Salomon Smith Barney	0418		07/19/99	AIG	09/06/01	S	47	74	10/01/01	
			Salomon Smith Barney	0418		11/30/99	AIG	09/06/01	S	12	74	10/01/01	
			Salomon Smith Barney	0418		07/19/99	AMR	09/10/01	S	3	29.46	10/01/01	
			Salomon Smith Barney	0418		07/19/99	AMR	09/10/01	S	1	29.46	10/01/01	
			Salomon Smith Barney	0418		07/19/99	AMR	09/10/01	S	2	29.46	10/01/01	
			PaineWebber Inc.	0221		12/01/00	AIG	09/10/01	S	20	72.5	11/14/01	
			PaineWebber Inc.	0221		12/01/00	MMC	09/10/01	S	17	86	11/14/01	
			PaineWebber Inc	0221		12/01/00	AIG	09/10/01	S	35	72.5	11/14/01	

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(b) (6), (b) (7)(C)			PaineWebber Inc.	0221	(b) (6), (b) (7)(C)	12/01/00	BA	09/10/01	S	45	44.9	11/14/01	
			PaineWebber Inc.	0221		12/01/00	LUV	09/10/01	S	45	16.74	11/14/01	
			PaineWebber Inc.	0221		12/01/00	MMC	09/10/01	S	35	86	11/14/01	
(b) (4)	Nassauische Sparkasse	Wertpapierverkehr Z.H. Herrn Manfred Graef Zeil 127	Prudential Securities	0030	(b) (4)	01/28/97	AIG	09/06/01	S	9,000	74.77	9/25/01	
	Nassauische Sparkasse	Wertpapierverkehr Z.H. Herrn Manfred Graef Zeil 127	Prudential Securities	0030		01/28/97	AMR	09/0601	S	22,000	31.24	9/25/01	
(b) (4)	NCM Capital Mgmt.	103 West Main St. 4th FL Durham, NC 27701	First Providence Financial Group, LLC	0286	(b) (4)	05/08/96	UAL	09/05/01	S	3,450	NA	09/25/01	New account documents; name of contact person and telephone # sent to SEC on 09/26/01
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	CIBC World Markets	0438	(b) (6), (b) (7)(C)	01/11/00	HLT	09/05/01	SS	500	12.42	09/24/01	Address provided to SEC on 09/26/01
(b) (4)	New Castle Millenium II	Main * 575 Lexington Ave. New York, NY 10022	Bear Stearns & Co.	0352	(b) (4)	03/31/99	MWD	09/10/01	SS	21,900	48.794	10/01/01	See Above
	New Castle Millenium II	Main * 575 Lexington Ave. New York, NY 10022	Bear Stearns & Co.	0352		03/31/99	MWD	09/10/01	SS	21,900	48.7094	10/01/01	Telephone # for Bear Stearns Asset Mgt, telephone # and contact number given to SEC on 10/09/01. Account spreadsheet faxed to SEC on 10/02/01.
(b) (4)	New Castle Millenium LP	C/O Bear Stearns Asset Mgmt. 575 Lexington Ave. 10 FL. New York, NY 10022	Bear Stearns & Co.	0352	(b) (4)	12/26/96	MWD	09/10/01	SS	27,400	48.7094	10/01/01	See Above
	New Castle Millenium LP	C/O Bear Stearns Asset Mgmt. 575 Lexington Ave. 10 FL. New York, NY 10022	Bear Stearns & Co.	0352		12/26/96	MWD	09/10/01	SS	27,400	48.794	10/01/01	See Above
	New Castle Partners Market Neutral Fund LP	C/O Bear Stearns Asset Mgmt. 575 Lexington Ave. 10 FL. New York, NY 10022	Bear Stearns & Co.	0352		06/02/98	LEH	09/06/01	SS	26,600	65.0033	10/01/01	See Above
	New Castle Partners Market Neutral Fund LP	C/O Bear Stearns Asset Mgmt. 575 Lexington Ave. 10 FL. New York, NY 10022	Bear Stearns & Co.	0352		06/02/98	LEH	09/05/01	SS	44,300	64.6446	10/01/01	See Above

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(b) (4)	New Castle Partners Market Neutral Fund LP	C/O Bear Stearns Asset Mgmt. 575 Lexington Ave. 10 FL. New York, NY 10022	Bear Stearns & Co.	0352	(b) (4)	06/02/98	LEH	09/07/01	SS	44,400	60.8843	10/01/01	See Above
	New Castle Partners Market Neutral Fund LP	C/O Bear Stearns Asset Mgmt. 575 Lexington Ave 10 FL. New York, NY 10022	Bear Stearns & Co.	0352		06/02/98	RTN	09/05/01	B	48,000	27.0053	10/01/01	See Above
	New Discovery Fund	Argyle House West Cedar Ave. Hamilton Bermuda	Morgan Stanley & Co.	0050		05/14/91	AMR	08/22/01	SS	13,400	32.0031	09/25/01	Discussed with SEC
	New Discovery Fund	Argyle House West Cedar Ave. Hamilton Bermuda	Morgan Stanley & Co.	0050		05/14/91	UAL	08/22/01	SS	25,400	33.74	09/25/01	Discussed with SEC
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	UBS Painewebber Inc.	0221	(b) (6), (b) (7)(C)	07/17/01	AIG	09/04/01	S	129	77.38	10/01/01	
			UBS Painewebber Inc.	0221		07/17/01	BA	09/04/01	S	45	51.56	10/01/01	
			UBS Painewebber Inc.	0221		07/17/01	LUV	09/04/01	S	45	18.5	10/01/01	
			UBS Painewebber Inc.	0221		07/17/01	MMC	09/04/01	S	46	93.65	10/01/01	
			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	09/13/00	AIG	09/07/01	S	113	74.45	10/15/01	See Above
			Salomon Smith Barney	0418		09/13/00	BA	09/07/01	S	106	45.3	10/15/01	Account Statements 6/01 to present; new account documents sent to SEC on 10/18/01
			Salomon Smith Barney	0418		09/13/00	DAL	09/07/01	S	46	37.67	10/15/01	
			Salomon Smith Barney	0418		09/13/00	MWD	09/07/01	S	127	47.85	10/15/01	See Above
			Salomon Smith Barney	0418		09/13/00	RTN	09/07/01	B	152	24.85	10/15/01	See Above
(b) (4)	Nippon Life Insurance A/C Pension (b) (4)	1-2-2 Yurakucho Chiyoda-Ku 100 Tokyo, Japan	Goldman, Sachs & Co.	0005	(b) (4)	01/22/97	HOT	09/06/01	S	27330	31.3657	11/14/01	

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(b) (4)	Nippon Life Insurance Co. (b) (4)	ATT (b) (6), (b) (7)(C) Invest 1-2-2 Yurakucho Chiyoda-KU 100 Tokyo, Japan	Credit Suisse First Boston	0355	(b) (4)	01/23/97	HOT	09/07/01	S	43,760	30.0275	10/08/01	
	Nippon Life Insurance Co. (b) (4) Attn: (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) Int'l Invest	1-2-2 Yurakucho Chiyoda-Ku 100 Tokyo, Japan Parent=Nippon Mutual Life Insurance	Credit Suisse First Boston Corporation	0355		01/23/97	HOT	09/07/01	S	43760	30.0275	11/14/01	
	Nippon Life Insurance Co. A/C Pension Equity: (b) (4) Attn: Securities Operations Dept.	1-2-2 Yurakucho Chiyoda-Ku Tokyo 100-8444 Japan	Morgan Stanley & Co. Incorporated	0050		01/23/97	HOT	09/07/01	S	1969	29.97	11/14/01	
	Nippon Life Insurance Co. Tokyo S/A Pension	1-2-2 Yurakucho Chiyoda-Ku Tokyo 100 Japan	Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		06/07/99	AIG	09/06/01	S	66890	75.0981	11/14/01	
	Nippon Life Insurance Co. Tokyo S/A Pension	1-2-2 Yurakucho Chiyoda-Ku Tokyo 100 Japan	Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		06/07/99	HOT	09/06/01	S	58330	31.2533	11/14/01	
	Nippon Life Insurance Co. Tokyo S/A Pension	1-2-2 Yurakucho Chiyoda-Ku Tokyo 100 Japan	Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		06/07/99	RTN	09/05/01	B	160	26.9857	11/14/01	
(b) (4)	Nippon Sharyo USA Inc	375 Park Ave. #2806 New York, NY 10152	Merrill Lynch, Pierce, Fenner & Smith Inc.	0161	(b) (4)	06/12/92	DAL	08/30/01	S	7	38.8654	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney, Inc	0418	(b) (6), (b) (7)(C)	02/02/83	UAL	08/17/01	S	100	34.13	10/23/01	
(b) (4)	Nominee New England Mutual Life Insurance Co. A/C Jamaica & Co.	501 Boylston Street Boston, MA 02117	Bank of America Securities	0773	(b) (4)	01/01/00	XL	09/10/01	S	20000	81.59	10/23/01	
(b) (4)	Nomura International PLC	Clients Account Attn: (b) (6), (b) (7)(C) Nomura House 1st Martins Le-Grand London	Nomura Securities	0180	(b) (4)	11/22/76	AMR	08/30/01	S	61662	32.34	10/23/01	Discussed with SEC
	Nomura International PLC	Clients Account Attn: (b) (6), (b) (7)(C) Nomura House 1st Martins Le-Grand London	Nomura Securities	0180		11/22/76	AMR	08/29/01	S	11142	32.64	10/23/01	Discussed with SEC
	Nomura International PLC	Clients Account Attn: (b) (6), (b) (7)(C) Nomura House 1st Martins Le-Grand London	Nomura Securities	0180		11/22/76	DAL	08/30/01	S	47556	38.8	10/23/01	Discussed with SEC
	Nomura International PLC	Clients Account Attn: (b) (6), (b) (7)(C) Nomura House 1st Martins Le-Grand London	Nomura Securities	0180		11/22/76	DAL	08/29/01	S	9092	39.31	10/23/01	Discussed with SEC

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(b) (4)	Nomura International PLC	Clients Account Attn: (b) (6), (b) (7)(C) Nomura House 1st Martins Le-Grand London	Nomura Securities	0180	(b) (4)	11/22/76	UAL	08/30/01	S	18496	32.54	10/23/01	Discussed with SEC
(b) (4)	Nomura International PLC	Clients Account Attn: (b) (6), (b) (7)(C) Nomura House 1st Martins Le-Grand London	Nomura Securities	0180	(b) (4)	11/22/76	UAL	08/29/01	S	3902	32.89	10/23/01	Discussed with SEC
(b) (4)	NTQA	A/C (b) (4) 50 s Lasalle St Chicago,IL	Goldman Sachs	0005	(b) (4)	08/31/01	DAL	08/31/01	S	187	38.6	10/23/01	
	NTQA	A/C (b) (4) 50 s Lasalle St Chicago,IL	Goldman Sachs	0005		08/31/01	UAL	08/31/01	S	361	32.68	10/23/01	
	NTQA	MMM-SP PO Box 92923 Chicago, IL	Salomon Smith Barney	0418	(b) (4)	10/29/99	AAI	09/04/01	S	700	6.57	10/23/01	
	NTQA	MMM-SP PO Box 92923 Chicago, IL	Salomon Smith Barney	0418		10/29/99	AIG	09/04/01	S	4000	77.53	10/23/01	
	NTQA	MMM-SP PO Box 92923 Chicago, IL	Salomon Smith Barney	0418		10/29/99	CNC	09/04/01	S	4600	8.88	10/23/01	
	NTQA	MMM-SP PO Box 92923 Chicago, IL	Salomon Smith Barney	0418		10/29/99	DAL	09/04/01	S	2616	39.66	10/23/01	
	NTQA	MMM-SP PO Box 92923 Chicago, IL	Salomon Smith Barney	0418		10/29/99	MWD	09/04/01	S	8124	54.07	10/23/01	
	NTQA	MMM-SP PO Box 92923 Chicago, IL	Salomon Smith Barney	0418		10/29/99	U	09/04/01	S	1500	13.12	10/23/01	
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)		Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	02/17/94	AIG	09/07/01	B	6	73.45	11/14/01	
			Salomon Smith Barney	0418		02/17/94	AMR	09/07/01	S	14	30.2	11/14/01	
			Salomon Smith Barney	0418		02/17/94	BA	09/07/01	S	18	45.3	11/14/01	
			Salomon Smith Barney	0418		02/17/94	DAL	09/07/01	S	3	37.67	11/14/01	
			Salomon Smith Barney	0418		02/17/94	DAL	09/07/01	S	8	37.67	11/14/01	
			Salomon Smith Barney	0418		02/17/94	MWD	09/07/01	S	4	47.85	11/14/01	
			Salomon Smith Barney	0418		02/17/94	MWD	09/07/01	S	7	47.85	11/14/01	

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Buy(B) Short(SS)/ Long(S)	Volume	Price	SEC Contact Date	Followup
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	02/17/94	MWD	09/07/01	S	11	47.85	11/14/01	
			Salomon Smith Barney	0418		02/17/94	RTN	09/07/01	B	6	24.85	11/14/01	
			Salomon Smith Barney	0418		02/17/94	XL	09/07/01	S	2	80.6	11/14/01	
(b) (4)	ODYSSEY TRANSPORTATION, INC OF NEVADA	ODYSSEY TRANSPORTATION, INC OF NEVADA PO BOX 579 SAN CLEMENTE CA 92674	Charles Schwab & Co., Inc.	164	(b) (4)	03/16/94	AMR	09/04/01	SS	100	32	11/14/01	
							AMR	09/04/01	SS	200	32		
							AMR	09/04/01	SS	300	32		
							AMR	09/04/01	SS	350	32		
							CAL	09/04/01	SS	1150	43.91		
							DAL	09/04/01	SS	100	38.71		
							DAL	09/04/01	SS	800	38.71		
							DAL	09/04/01	SS	300	38.75		
							LUV	09/04/01	S	1000	18.2		
							LUV	09/04/01	S	1000	18.23		
							LUV	09/04/01	S	1900	18.23		
							LUV	09/04/01	S	1100	18.24		
							UAL	09/04/01	SS	400	32.68		
							UAL	09/04/01	SS	500	32.68		
							UAL	09/04/01	SS	650	32.68		
(b) (4)	OHSF Hedge I LP c/o Seaport Secs Corp att: Prime Broker Desk	1 Metrotech Center North c/o Office	Bear, Stearns & Co.	0352	(b) (4)		HOT	09/10/01	S	11,725	29.8952	10/08/01	
	OHSF Hedge I LP c/o Seaport Secs Corp att: Prime Broker Desk	1 Metrotech Center North c/o Office	Bear, Stearns & Co.	0352			HOT	09/05/01	S	11,750	33	10/08/01	
(b) (4)	Okabena Partnership	5140 Norwest Ctr 90 S 7th Street Minneapolis, MN 55402	Goldman Sachs & Co.	0005	(b) (4)	11/13/00	AIG	09/05/01	SS	25,000	74.27	09/27/01	Discussed with SEC
(b) (4)	Okapi Investment Co.	C/O (b) (6), (b) (7)(C) PO Box 153 Zanroc Chemin De Ballegue 1066 Epalinges Switzerland	Morgan Stanley & Co.	0050	(b) (4)	08/12/92	AMR	08/22/01	SS	1,100	32.0031	09/25/01	Gave SEC short sale information on 9/26/01 and Zanroc address location. Information given to SEC on 10/04/01. New account documents sent to SEC on 10/03/01 & 10/24/01.
(b) (4)	Okapi Investment Co.	C/O (b) (6), (b) (7)(C) PO Box 153 Zanroc Chemin De Ballegue 1066 Epalinges Switzerland	Morgan Stanley & Co.	0050	(b) (4)	08/12/92	UAL	08/22/01	SS	2,000	33.74	09/25/01	See Above
(b) (4)	Olivieri LP	C/O Merrill Lynch Int Bank Ltd. Trust Dep't 2 Raffles Link Marina Bayfront Singapore 039392	Merrill Lynch	0161	(b) (4)	08/23/01	RTN	09/07/01	B	750	24.61	11/14/01	

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Buy(B) Short(SS)/ Long(S)	Volume	Price	SEC Contact Date	Followup
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	07/18/95	HOT	09/06/01	S	12	32.05	10/01/01	New account documents sent to SEC on 10/15/01
			Salomon Smith Barney	0418		07/18/95	HOT	09/04/01	S	13	33.9	10/01/01	See Above
(b) (4)	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	Merrill Lynch Professional	0551	(b) (4)	03/04/92	AMR	09/07/01	S	2,000	29.78	10/08/01	SEC will contact CBOE & AMEX
	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	Merrill Lynch Professional	0551		03/04/92	AMR	08/22/01	S	5,000	31.75	10/08/01	See Above
	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	Merrill Lynch Professional	0551		03/04/92	BA	09/07/01	S	2,000	47.31	10/08/01	See Above
	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	Merrill Lynch Professional	0551		03/04/92	BA	09/06/01	S	2,500	49.98	10/08/01	See Above
	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	Merrill Lynch Professional	0551		03/04/92	BA	09/05/01	S	5,000	50.16	10/08/01	See Above
(b) (4)	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	Merrill Lynch Professional	0551		03/04/92	BA	09/07/01	S	63,000	48.84	10/08/01	See Above
	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	Merrill Lynch Professional	0551		03/04/92	DAL	09/07/01	S	5,000	37.7	10/08/01	See Above
	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	Merrill Lynch Professional	0551		03/04/92	HLT	09/06/01	S	5,000	12.17	10/08/01	See Above
	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	Merrill Lynch Professional	0551		03/04/92	HLT	09/06/01	S	10,000	12.11	10/08/01	See Above
	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	Merrill Lynch Professional	0551		03/04/92	HLT	09/06/01	S	20,000	12.46	10/08/01	See Above
	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	Merrill Lynch Professional	0551		03/04/92	HOT	09/06/01	S	10,000	33.04	10/08/01	See Above
	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	Merrill Lynch Professional	0551		03/04/92	HOT	09/06/01	S	50,000	32.36	10/08/01	See Above
	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	Merrill Lynch Professional	0551		03/04/92	LEH	09/05/01	S	5,000	66.91	10/08/01	See Above
	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	Merrill Lynch Professional	0551		03/04/92	LUV	09/07/01	S	3,000	17.4	10/08/01	See Above

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Buy(B) Short(SS)/ Long(S)	Volume	Price	SEC Contact Date	Followup
(b) (4)	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	Merrill Lynch Professional	0551	(b) (4)	03/04/92	LUV	09/07/01	S	5,000	17.51	10/08/01	See Above
	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	Merrill Lynch Professional	0551		03/04/92	MMC	09/07/01	S	20,000	89.65	10/08/01	See Above
	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	Merrill Lynch Professional	0551		03/04/92	MWD	09/05/01	S	5,000	51.36	10/08/01	See Above
	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	Merrill Lynch Professional	0551		03/04/92	MWD	09/04/01	S	5,000	52.41	10/08/01	See Above
	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	Merrill Lynch Professional	0551		03/04/92	MWD	09/10/01	S	17,000	48.6	10/08/01	See Above
	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	Merrill Lynch Professional	0551		03/04/92	UAL	08/21/01	S	2,000	33.98	10/08/01	See Above
	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	Merrill Lynch Professional	0551		03/04/92	UAL	09/07/01	S	5,000	31.35	10/08/01	See Above
	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	Merrill Lynch Professional	0551		03/04/92	UAL	09/07/01	S	5,000	31.61	10/08/01	See Above
(b) (6), (b) (7)(C)			Deutsche Bank Alex Brown Inc.	0573	(b) (6), (b) (7)(C)	07/03/01	AXA	09/07/01	S	826	23.75	10/03/01	
(b) (4)	Orient Star Holdings, LLC c/o Office of (b) (6), (b) (7)(C)	1000 Louisiana Ste 565, Houston TX 77002	Goldman Sachs & Co	0005	(b) (4)	01/03/00	AIG	09/07/01	SS	50,000	73.5	10/03/01	Discussed with SEC
(b) (6), (b) (7)(C)			Morgan Stanley & Co.	0050	(b) (6), (b) (7)(C)	01/24/92	AMR	08/22/01	SS	1,000	32	09/26/01	
			Morgan Stanley & Co.	0050		01/24/92	UAL	08/22/01	SS	900	33.74	09/26/01	
			Morgan Stanley	0050		12/20/99	AMR	08/22/01	SS	225	32.0031	11/14/01	
			Morgan Stanley	0050		12/20/99	UAL	08/22/01	SS	200	33.74	11/14/01	
			Merrill Lynch	0161		03/16/95	AIG	09/06/01	S	30	75.02	11/14/01	
			Merrill Lynch	0161		03/16/95	BA	09/06/01	S	18	49.55	11/14/01	
			Merrill Lynch	0161		03/16/95	DAL	08/30/01	S	10	38.8654	11/14/01	

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Buy(B) Short(SS)/ Long(S)	Volume	Price	SEC Contact Date	Followup
[redacted]			Merrill Lynch	0161	[redacted]	03/16/95	HLT	09/06/01	S	63	12.04	11/14/01	
			Merrill Lynch	0161		03/16/95	XL	09/06/01	S	15	81.27	11/14/01	
[redacted]	Oscar Reyna, Inc	328 Weldon Street Latrobe, PA 15650	Merrill Lynch	0161	[redacted]	04/04/95	AIG	09/05/01	S	52	74	11/14/01	
	Oscar Reyna, Inc	328 Weldon Street Latrobe, PA 15650	Merrill Lynch	0161		04/04/95	BA	09/05/01	S	30	50.75	11/14/01	
	Oscar Reyna, Inc	328 Weldon Street Latrobe, PA 15650	Merrill Lynch	0161		04/04/95	DAL	09/05/01	S	18	38.9	11/14/01	
	Oscar Reyna, Inc	328 Weldon Street Latrobe, PA 15650	Merrill Lynch	0161		04/04/95	HLT	09/05/01	S	109	12.35	11/14/01	
	Oscar Reyna, Inc	328 Weldon Street Latrobe, PA 15650	Merrill Lynch	0161		04/04/95	XL	09/05/01	S	25	81.82	11/14/01	
	Oscar Reyna, Inc	328 Weldon Street Latrobe, PA 15650	Merrill Lynch	0161		04/21/95	RTN	09/04/01	B	110	27.1	11/14/01	
[redacted]		[redacted]	Salomon Smith Barney	0418	[redacted]	01/11/00	DAL	08/31/01	S	60	38.39	10/31/01	Discussed with SEC
			Banc of America Securities Montgomery Division	0773		08/24/98	AIG	09/06/01	S	418	75.04	10/31/01	Discussed with SEC
			Banc of America Securities Montgomery Division	0773		08/24/98	MMC	09/06/01	S	270	89.8	10/31/01	Discussed with SEC
[redacted]	Oz Master Fund Ltd. c/o OCH-ZIFF Capital Management	9 West 57th Street 39th Floor New York, NY 10019	Goldman Sachs & Co.	0005	[redacted]	03/30/98	AIG	09/05/01	SS	16000	74.1	10/23/01	Discussed with SEC
	Oz Master Fund Ltd. c/o OCH-ZIFF Capital Management	9 West 57th Street 39th Floor New York, NY 10019	Goldman Sachs & Co.	0005		03/30/98	XL	09/04/01 09/04/01 09/04/01	SS SS SS	7900 6600 52800	82.25 82.56 82.84	10/23/01	Discussed with SEC
[redacted]	Pacific Century Trust Aloha Airlines Pilots Equity Ret. Plan	P.O. Box 888 Honolulu, HI 96808-0888	Salomon Smith Barney	0418	[redacted]	07/09/01	XL	09/05/01	S	300	81.76	10/15/01	Discussed with SEC
	Pacific Century Trust Aloha Airlines Pilots Fixed Ret. Plan	P.O. Box 888 Honolulu, HI 96808-0888	Salomon Smith Barney	0418		07/09/01	XL	09/05/01	S	200	81.76	10/15/01	Discussed with SEC
[redacted]	Pacific Century Trust Hawaiian Airlines Inc. PP 150152171 for Employees Represented by the International Assn. Of Machinists	P.O. Box 3170 Honolulu, HI 96802-3170	Salomon Smith Barney	0418		07/20/00	XL	09/05/01	S	600	81.76	10/15/01	Discussed with SEC
[redacted]	Pacific Century Trust Hawaiian Airlines Inc. PP 150152221 for Salaried Employees	P.O. Box 3170 Honolulu, HI 96802-3170	Salomon Smith Barney	0418		07/20/00	XL	09/05/01	S	100	81.76	10/15/01	Discussed with SEC
	Pacific Century Trust Ret. Plan for Pilots of Hawaiian Airlines-[redacted]	P.O. Box 3170 Honolulu, HI 96802-3170	Salomon Smith Barney	0418		07/20/00	XL	09/05/01	S	1,000	81.76	10/15/01	Discussed with SEC

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(b) (4)	Pacific Grove LTD.	C/O Merrill Lynch Int Bank Ltd. Trust Dep't 2 Raffles Link Marina Bayfront Singapore	Merrill Lynch	0161	(b) (4)	08/10/01	RTN	09/05/01	B	120	27	11/14/01	
(b) (6), (b) (7)(C)		(b) (4) (b) (6), (b) (7)(C)	UBS Painewebber Inc.	0221	(b) (6), (b) (7)(C)	01/31/01	AIG	09/10/01	S	60	72.5	10/03/01	New account documents faxed to SEC On 10/08/01
			UBS Painewebber Inc.	0221		01/31/01	AIG	09/06/01	S	40	74	10/03/01	See Above
			UBS Painewebber Inc	0221		01/31/01	BA	09/06/01	S	55	50.1	10/03/01	See Above
			UBS Painewebber Inc.	0221		01/31/01	LUV	09/06/01	S	50	17.7	10/03/01	See Above
			UBS Painewebber Inc.	0221		01/31/01	MMC	09/06/01	S	45	90.8	10/03/01	See Above
(b) (4)	Panagora Asset Mgmt a/c S5TRW Putnam S&P 500 Index Portf/TRW	120 Broadway 33rd Floor, New York, NY 10271-0002	Lehman Brothers	0074	(b) (4)	07/22/99	AIG	09/07/01	S	3,300	73.15	11/14/01	
	Panagora Asset Mgmt a/c S5TRW Putnam S&P 500 Index Portf/TRW	120 Broadway 33rd Floor, New York, NY 10271-0002	Lehman Brothers	0074		07/22/99	AMR	09/07/01	S	100	30.15	11/14/01	
	Panagora Asset Mgmt a/c S5TRW Putnam S&P 500 Index Portf/TRW	120 Broadway 33rd Floor, New York, NY 10271-0002	Lehman Brothers	0074		07/22/99	BA	09/07/01	S	1,200	45.18	11/14/01	
	Panagora Asset Mgmt a/c S5TRW Putnam S&P 500 Index Portf/TRW	120 Broadway 33rd Floor, New York, NY 10271-0002	Lehman Brothers	0074		07/22/99	CNC	09/07/01	S	400	7.11	11/14/01	
	Panagora Asset Mgmt a/c S5TRW Putnam S&P 500 Index Portf/TRW	120 Broadway 33rd Floor, New York, NY 10271-0002	Lehman Brothers	0074		07/22/99	DAL	09/07/01	S	200	37.08	11/14/01	
	Panagora Asset Mgmt a/c S5TRW Putnam S&P 500 Index Portf/TRW	120 Broadway 33rd Floor, New York, NY 10271-0002	Lehman Brothers	0074		07/22/99	HOT	09/07/01	S	300	29.81	11/14/01	
	Panagora Asset Mgmt a/c S5TRW Putnam S&P 500 Index Portf/TRW	120 Broadway 33rd Floor, New York, NY 10271-0002	Lehman Brothers	0074		07/22/99	LUV	09/07/01	S	1,100	16.94	11/14/01	
	Panagora Asset Mgmt a/c S5TRW Putnam S&P 500 Index Portf/TRW	120 Broadway 33rd Floor, New York, NY 10271-0002	Lehman Brothers	0074		07/22/99	RTN	09/07/01	S	500	24.85	11/14/01	
	Panagora Asset Mgmt a/c S5TRW Putnam S&P 500 Index Portf/TRW	120 Broadway 33rd Floor, New York, NY 10271-0002	Lehman Brothers	0074		07/22/99	U	09/07/01	S	100	11.9	11/14/01	

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(b) (4)	Panagora Asset Mgmt a/c S5TRW Putnam S&P 500 Index Portf/TRW	120 Broadway 33rd Floor, New York, NY 10271-0002	Lehman Brothers	0074	(b) (4)	07/22/99	XL	09/07/01	S	200	80.8	11/14/01	
	Paragon Ranch, Inc.	1 Tabor Center 1200 17th St. Suite 2660 Denver, CO 80202	Goldman Sachs & Co.	0005		01/25/89	CNC	09/07/01 09/10/01	S S	12000 3400	6.95 7.47	10/02/01	Faxed information to SEC on 10/02/01
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	National Financial Services	0226	(b) (6), (b) (7)(C)	07/17/01	XL	09/04/01	S	220	83	10/08/01	
			DLJ	0443			MWD	09/07/01	S	556	47.99	09/28/01	New account documents; statements 7/01 to present sent to SEC on 10/11/01
			Salomon Smith Barney	0418		11/04/99	AIG	09/07/01	S	250	73.05	10/03/01	
			Salomon Smith Barney	0418		11/04/99	MWD	09/07/01	S	85	48.15	10/03/01	
			DLJ	0443			HOT	09/06/01	S	1,000	31.06	09/28/01	New account documents; statements 7/01 to present sent to SEC on 10/11/01
			Charles Schwab & Co.	0164		12/27/94	HLT	09/04/01	S	222	12.7	09/24/01	Address provided to SEC on 9/26/01
			Credit Suisse First Boston Corp.	0443		09/15/98	CNC	09/07/01	S	1000	7.55	10/03/01	
			Salomon Smith Barney	0418		10/11/00	AIG	09/04/01	S	28	77.16	10/08/01	
			Salomon Smith Barney	0418		10/11/00	AIG	09/07/01	S	136	75.6	10/08/01	
			Salomon Smith Barney	0418		10/11/00	LUV	09/04/01	S	100	18.55	10/08/01	
			Salomon Smith Barney	0418		10/11/00	LUV	09/07/01	S	846	17.69	10/08/01	
			Bear Stearns	0352		06/15/00	AEG	09/10/01	S	130	25.61	11/14/01	
			Bear Stearns	0352		06/15/00	AXA	09/10/01	S	125	23.37	11/14/01	

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[redacted]			Bear Stearns	0352	[redacted]	11/01/99	CNC	09/10/01	S	565	7.48	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		09/07/00	AIG	09/05/01	S	50	74.6	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		09/07/00	ALK	09/05/01	S	36	32.04	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		09/07/00	AEG	09/05/01	S	80	27.86	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		09/07/00	AXA	09/05/01	S	90	25	11/14/01	
			Salomon Smith Barney	0418	[redacted]	11/22/96	AMR	08/20/01	S	200	32.54	11/14/01	
			Salomon Smith Barney	0418		11/22/96	UAL	08/20/01	S	300	34.16	11/14/01	
			Salomon Smith Barney	0418		08/24/01	AMR	08/31/01 08/31/01	S S	1000 1000	32 32.02	10/31/01	
			Salomon Smith Barney	0418		08/24/01	DAL	08/31/01	S	2000	38.65	10/31/01	
[redacted]	PCM Growth & Income Fund - A #420 a/c [redacted] c/o Putnam Fiduciary Tr Co. Portfolio Control Dept D-10-C	1 Post Office Sq, Boston MA 02109-2106	W & D Securities	0535	[redacted]	02/11/94	AIG	09/10/01	S	1,100	74.08	11/14/01	
	PCM Growth & Income Fund - A #420 a/c [redacted] c/o Putnam Fiduciary Tr Co. Portfolio Control Dept D-10-C	1 Post Office Sq, Boston MA 02109-2106	W & D Securities	0535		02/11/94	AMR	08/14/01	S	100	33.97	11/14/01	
	PCM Growth & Income Fund - A #420 a/c [redacted] c/o Putnam Fiduciary Tr Co. Portfolio Control Dept D-10-C	1 Post Office Sq, Boston MA 02109-2106	W & D Securities	0535		02/11/94	AMR	08/23/01	S	300	32.22	11/14/01	
	PCM Growth & Income Fund - A #420 a/c [redacted] c/o Putnam Fiduciary Tr Co. Portfolio Control Dept D-10-C	1 Post Office Sq, Boston MA 02109-2106	W & D Securities	0535		02/11/94	AMR	09/10/01	S	200	29.7	11/14/01	
	PCM Growth & Income Fund - A #420 a/c [redacted] c/o Putnam Fiduciary Tr Co. Portfolio Control Dept D-10-C	1 Post Office Sq, Boston MA 02109-2106	W & D Securities	0535		02/11/94	DAL	09/10/01	S	400	37.28	11/14/01	
	PCM Growth & Income Fund - A #420 a/c [redacted] c/o Putnam Fiduciary Tr Co. Portfolio Control Dept D-10-C	1 Post Office Sq, Boston MA 02109-2106	W & D Securities	0535		02/11/94	HOT	09/10/01	S	700	29.85	11/14/01	

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(b) (4)	PCM Growth & Income Fund - A #420 a/c (b) (4) c/o Putnam Fiduciary Tr Co. Portfolio Control Dept D-10-C	1 Post Office Sq, Boston MA 02109-2106	W & D Securities	0535	(b) (4)	02/11/94	LMT	09/10/01	S	800	38.5414	11/14/01	
	PCM Growth & Income Fund - A #420 a/c (b) (4) c/o Putnam Fiduciary Tr Co. Portfolio Control Dept D-10-C	1 Post Office Sq, Boston MA 02109-2106	W & D Securities	0535		02/11/94	LUV	09/10/01	S	2,000	16.9264	11/14/01	
(b) (4)	Pension-Scudder (Authority)	COLS Regional Healthcare Attn: (b) (6), (b) (6), (b) (7)(C) PO Box 790 Columbus, GA	Salomon Smith Barney	0418	(b) (4)	08/21/01	RTN	09/06/01	B	1,500	26.01	10/08/01	Discussed with SEC
	Pension-Scudder (CRHS)	COLS Regional Healthcare Attn: (b) (6), (b) (6), (b) (7)(C) PO Box 790 Columbus, GA	Salomon Smith Barney	0418		08/21/01	AIG	09/06/01	S	2,683	74.84	10/08/01	Discussed with SEC
	Pension-Scudder (CRHS)	COLS Regional Healthcare Attn: (b) (6), (b) (6), (b) (7)(C) PO Box 790 Columbus, GA	Salomon Smith Barney	0418		08/21/01	MWD	09/06/01	S	1,775	50.28	10/08/01	Discussed with SEC
	Pension-Scudder (CRHS)	COLS Regional Healthcare Attn: (b) (6), (b) (6), (b) (7)(C) PO Box 790 Columbus, GA	Salomon Smith Barney	0418		08/21/01	RTN	09/06/01	B	2,300	26.01	10/08/01	Discussed with SEC
(b) (4)	People's Benefit Life (Lehman Brothers Prime Brokerage)	3 World Financial Center, 6th floor, New York, NY 10285	Salomon Smith Barney	0418	(b) (4)	10/07/99	HOT	09/10/01	SS	35,700	29.85	10/08/01	
(b) (4)	Peoples Benefit Life Insurance (Peoples Benefit Life Insurance Company c/o Camden Asset Mgmt LP ATTN (b) (6), (b) (7)(C) (b) (6), (b) (7)(C)	2049 Century Park East, Los Angeles CA 90067-3101	Lehman Brothers	0074	(b) (4)	01/13/98	AIG	09/04/01	S	900	77.6	11/14/01	
	Peoples Benefit Life Insurance (Peoples Benefit Life Insurance Teamsters Separate Account ATTN (b) (6), (b) (7)(C)	2049 Century Park East Ste 330, Los Angeles CA 90067-3105	Lehman Brothers	0074		09/03/99	AIG	09/04/01	S	450	77.6	11/14/01	
	Peoples Benefit Life Insurance (Peoples Benefit Life Insurance Teamsters Separate Account ATTN (b) (6), (b) (7)(C)	2049 Century Park East Ste 330, Los Angeles CA 90067-3105	Lehman Brothers	0074		09/03/99	HOT	09/10/01	SS	35,700	29.85	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch Pierce Fenner & Smith	0161	(b) (6), (b) (7)(C)	08/04/99	AIG	09/06/01	S	108	75.05	11/14/01	
			Merrill Lynch Pierce Fenner & Smith	0161		12/15/98	ALK	09/05/01	S	30	32.04	11/14/01	

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch Pierce Fenner & Smith	0161	(b) (6), (b) (7)(C)	12/15/98	ALK	09/06/01	S	54	31.51	11/14/01	
			Merrill Lynch Pierce Fenner & Smith	0161		12/15/98	MEH	09/06/01	S	34	18.1	11/14/01	
			Merrill Lynch Pierce Fenner & Smith	0161		12/15/98	TWK	09/05/01	S	7	13.8	11/14/01	
			Merrill Lynch Pierce Fenner & Smith	0161		12/15/98	TWK	09/06/01	S	40	13.78	11/14/01	
(b) (4)	Pharos Investments Co. LTD Attn: (b) (6), (b) (7)(C)	Zanroc Chemin De Ballegue 1066 Epalinges Switzerland	Morgan Stanley & Co. Incorporated	0050	(b) (4)	04/06/94	AMR	08/22/01	SS	350	32.0031	11/14/01	
	Pharos Investments Co. LTD Attn: (b) (6), (b) (7)(C)	Zanroc Chemin De Ballegue 1066 Epalinges Switzerland	Morgan Stanley & Co. Incorporated	0050		04/06/94	UAL	08/22/01	SS	325	33.74	11/14/01	
(b) (6), (b) (7)(C)			Prudential Securites Inc.	0030	(b) (6), (b) (7)(C)	07/13/01	XL	09/04/01	S	16	82.51	10/08/01	Discussed with SEC
(b) (4)	Phoenix Duff & Phelps	A/C Aberdeen Prolife American 56 Prospect Street Hartford, CT	Credit Suisse First Boston	0355	(b) (4)	05/16/89	CAL	09/05/01	S	3600	42.92	10/23/01	
	Phoenix Duff & Phelps	A/C Aberdeen Prolife American 56 Prospect Street Hartford, CT	Credit Suisse First Boston	0355		05/16/89	U	09/05/01	S	3000	12.61	10/23/01	
	Phoenix Duff & Phelps	A/C Phoenix Edge Theme Fund Attn: (b) (6), (b) (7)(C) 56 Prospect Street Hartford, CT	Credit Suisse First Boston	0355		01/11/91	AIG	09/05/01	S	1500	73.7	10/23/01	
	Phoenix Duff & Phelps	A/C Phoenix Edge Value Attn: (b) (6), (b) (7)(C) 56 Prospect Street Hartford, CT	Credit Suisse First Boston	0355		05/12/98	AIG	09/05/01	S	5000	74.4	10/23/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	06/08/01	AIG	09/10/01	S	15	74.33	10/02/01	Discussed with SEC
			Salomon Smith Barney	0418		05/25/01	AIG	09/10/01	S	20	74.24	10/02/01	Discussed with SEC
			Salomon Smith Barney	0418		05/25/01	AXA	09/10/01	S	50	23.8	10/02/01	Discussed with SEC
			Salomon Smith Barney	0418		05/25/01	AIG	09/10/01	S	57	74.4	10/02/01	Discussed with SEC

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	05/25/01	MWD	09/10/01	S	56	49.05	10/02/01	Discussed with SEC
			Salomon Smith Barney	0418		05/25/01	AMR	09/10/01	S	65	29.67	10/02/01	Discussed with SEC
			Salomon Smith Barney	0418		05/25/01	AEG	09/10/01	S	110	25.87	10/02/01	Discussed with SEC
			Salomon Smith Barney	0418		05/25/01	AXA	09/10/01	S	105	23.6	10/02/01	Discussed with SEC
(b) (4)	Pioneer (Europlus Euromix 3 Pioneer Investment LTD)	3 Custom House Plaza, Intl Financial Serv center, Dublin, 1 Ireland	Merrill Lynch	0161	(b) (4)	12/08/99	AIG	09/04/01	B	10,986	77.9	10/08/01	
	Pioneer Investment Management LTD	3 Custom House Plaza, Intl Financial Serv center, Dublin, 1 Ireland	Banc of America	0773		06/14/00	BA	09/06/01	S	45,821	49.5399	10/08/01	
	Pioneer Management a/c Pioneer Midcap Value Fund	60 State Street, 18th floor, Boston MA, 02109-1800	Credit Suisse First Boston/ DLJ	0443		04/10/01	LEH	09/10/01	S	50,000	61.2042	10/08/01	
	Pioneer Management a/c Pioneer variable Contracts Mid Cap Value	60 State Street, 18th floor, Boston MA, 02109-1800	Credit Suisse First Boston/ DLJ	0443		04/09/01	LEH	09/10/01	S	4,000	61.2042	10/08/01	
(b) (4)	POINCARE OFFSHORE LTD	POINCARE OFFSHORE LTD C/O FRACTAL CAPITAL MGMT 16 WEST MISSION ST STE F SANTA BARBARA CA 93101	Goldman Sachs	5	(b) (4)	01/29/01	CNC CNC CNC	09/07/01 09/10/01 09/10/01	SS SS SS	640 3200 2560	7 7.62 7.7999	11/14/01	
(b) (4)	POINCARE PARTNERS LP	POINCARE PARTNERS LP C/O FRACTAL CAPITAL MGMT 16 W MISSION STE F SANTA BARBARA CA 93101	Goldman Sachs	5	(b) (4)	08/10/00	CNC CNC CNC	09/07/01 09/10/01 09/10/01	SS SS SS	360 1800 1440	7 7.62 7.7999	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Credit Suisse First Boston Corp.	0443	(b) (6), (b) (7)(C)	07/18/01	AIG	09/07/01	S	100	75.55	10/03/01	
			MS Dean Witter	0015		03/10/95	AMR	09/10/01	S	200	29.71	10/31/01	

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	MS Dean Witter	0015	(b) (6), (b) (7)(C)	03/10/95	LUV	09/10/01	S	300	17	10/31/01	
(b) (4)	Pritzker	Goldman Sachs Asset MGMT attn: Mergim Elezi 32 Old Slip 20th Fl New York, NY	Salomon Smith Barney	0418	(b) (4)	02/11/00	AIG	09/04/01	S	900	77.09	10/08/01	
	Pritzker	Goldman Sachs Asset MGMT attn: (b) (6), (b) (7)(C) 32 Old Slip 20th Fl New York, NY	Salomon Smith Barney	0418		02/11/00	AIG	09/04/01	S	4,400	78.2	10/08/01	
	Pritzker	Goldman Sachs Asset MGMT attn: (b) (6), (b) (7)(C) 32 Old Slip 20th Fl New York, NY	Salomon Smith Barney	0418		02/11/00	MWD	09/04/01	S	2,200	53.35	10/08/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	04/27/99	MWD	09/10/01	S	120	49	10/08/01	
(b) (4)	Proactive Asset MGMT	ING Barings LLC 350 Park Ave New York, NY	Prudential Securities	0030	(b) (4)	04/18/01	AMR	08/17/01	SS	4,000	32.43	10/15/01	
	Proactive Asset MGMT	ING Barings LLC 350 Park Ave New York, NY	Prudential Securities	0030		04/18/01	BA	09/06/01	SS	2,000	50.4	10/15/01	
	Prudent Bear Fund Inc.	8140 Walnut Hill Lane Suite 300, Dallas, TX 75231-4328	UBS PaineWebber	0221		04/11/97	AIG	09/07/01	SS	2,000	74.97	11/14/01	
	Prudent Bear Fund Inc.	8140 Walnut Hill Lane Suite 300, Dallas, TX 75231-4328	UBS PaineWebber	0221		04/11/97	HOT	09/06/01	SS	5,000	31.8	11/14/01	
	Prudent Bear Fund Inc.	8140 Walnut Hill Lane Suite 300, Dallas, TX 75231-4328	UBS PaineWebber	0221		04/11/97	HOT	09/10/01	SS	4,000	29.617	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Prudential Securites Inc.	0030	(b) (6), (b) (7)(C)	06/09/88	XL	09/10/01	S	75	80.12	10/08/01	Discussed with SEC
			Prudential Securities Incorporated	0030		05/10/99	AXA	09/06/01	S	240	23.75	11/14/01	
			Prudential Securities Incorporated	0030		05/10/99	RSA	09/06/01	S	100	33.25	11/14/01	
			Prudential Securities Incorporated	0030		08/20/98	AIG	09/06/01	S	219	74.8	11/14/01	

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(b) (6), (b) (7)(C)			Prudential Securities Incorporated	0030	(b) (6), (b) (7)(C)	08/20/98	AIG	09/06/01	S	60	74.8	11/14/01	
			Prudential Securities Incorporated	0030		08/20/98	CNC	09/06/01	S	99	7.96	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Lehman Brothers	74	(b) (6), (b) (7)(C)	11/13/00	AXA	09/07/01	S	38	23.15	11/14/01	
			Lehman Brothers	74		11/13/00	AIG	09/07/01	S	40	73.05	11/14/01	
			Lehman Brothers	74		11/13/00	BA	09/07/01	S	55	45.26	11/14/01	
			Lehman Brothers	74		11/13/00	LUV	09/07/01	S	53	17.1	11/14/01	
			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	09/04/01	AIG	09/05/01	S	16	73.3	10/01/01	
			Raymond James & Associates, Inc.	0725		05/24/01	AIG	09/04/01	S	25	77.75	10/08/01	
			Raymond James & Associates, Inc.	0725		05/24/01	U	09/07/01	S	65	11.82	10/08/01	
(b) (4)	Putnam 1ED, 3JE	Cisalpina/Putnam USA Equity Fund Sleeve #1 C/O Putnam Advisory Seven Shattuck Road Andover, MA	Salomon Smith Barney	0418	(b) (4)	09/21/99	AIG	09/06/01	S	13,900	75.31	10/08/01	
	Putnam 1ED, 3JE	Cisalpina/Putnam USA Equity Fund Sleeve #1 C/O Putnam Advisory Seven Shattuck Road Andover, MA	Salomon Smith Barney	0418		09/21/99	MWD	09/06/01	S	11,900	49.72	10/08/01	
	Putnam 3GG - Spicers Global Core Equity FD	Seven Shattuck Road, Andover, MA 01810-2450	Salomon Smith Barney	0418		04/05/99	MWD	09/05/01	S	12,100	52.147	10/15/01	
	Putnam Fiduciary Trust Co	A/C Putnam for GTH & Income 99 High Street Boston, MA	Deutsche Banc Alex Brown	573		07/17/00	AIG	09/05/01	S	600	76.5	11/14/01	
	Putnam Fiduciary Trust Co	A/C Putnam for GTH & Income 99 High Street Boston, MA	Deutsche Banc Alex Brown	573		07/17/00	AMR	09/05/01	S	100	32.15	11/14/01	

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(b) (4)	Putnam Fiduciary Trust Co	A/C Putnam for GTH & Income 99 High Street Boston, MA	Deutsche Banc Alex Brown	573	(b) (4)	07/17/00	BA	09/05/01	S	1600	50.2	11/14/01	
	Putnam Fiduciary Trust Co	A/C Putnam for GTH & Income 99 High Street Boston, MA	Deutsche Banc Alex Brown	573		07/17/00	DAL	09/05/01	S	200	38.8	11/14/01	
	Putnam Fiduciary Trust Co	A/C Putnam for GTH & Income 99 High Street Boston, MA	Deutsche Banc Alex Brown	573		07/17/00	LEH	09/05/01	S	400	66.65	11/14/01	
	Putnam Fiduciary Trust Co	A/C Putnam for GTH & Income 99 High Street Boston, MA	Deutsche Banc Alex Brown	573		07/17/00	LUV	09/05/01	S	1000	18.05	11/14/01	
	Putnam Fiduciary Trust Co	A/C Putnam for GTH & Income 99 High Street Boston, MA	Deutsche Banc Alex Brown	573		07/17/00	MWD	09/05/01	S	2300	52.5	11/14/01	
(b) (4)	QED Fund (Bankers Trust)	Bear Stearns & Co FTAO Bankers Trust QED Fund A/C# (b) (4) 1 Metrotech Center North Brooklyn, NY	W&D Securities	0535		08/23/01	DAL	08/27/01	SS	1,200	40.4	10/15/01	
	QED Fund (Bankers Trust)	Bear Stearns & Co FTAO Bankers Trust QED Fund A/C# (b) (4) 1 Metrotech Center North Brooklyn, NY	W&D Securities	0535		08/23/01	UAL	08/24/01	SS	480	33.35	10/15/01	
	QED Fund (Bankers Trust)	Bear Stearns & Co FTAO Bankers Trust QED Fund A/C# (b) (4) 1 Metrotech Center North Brooklyn, NY	W&D Securities	0535		08/23/01	UAL	08/23/01	SS	1,320	33.14	10/15/01	
	QED Fund (Bankers Trust)	Bear Stearns & Co FTAO Bankers Trust QED Fund A/C# (b) (4) 1 Metrotech Center North Brooklyn, NY	W&D Securities	0535		08/23/01	UAL	08/27/01	SS	1,600	34	10/15/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	418	(b) (6), (b) (7)(C)	01/10/00	AIG	09/05/01	S	4	73.6	11/14/01	
			Salomon Smith Barney	418		01/10/00	BA	09/05/01	S	16	50.49	11/14/01	
			Salomon Smith Barney	418		01/10/00	MWD	09/05/01	S	19	51.6	11/14/01	

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	418	(b) (6), (b) (7)(C)	01/10/00	U	09/05/01	S	9	12.7	11/14/01	
			Salomon Smith Barney	0418		11/20/00	AIG	09/04/01	S	42	77.01	11/14/01	
			Salomon Smith Barney	0418		11/20/00	LUV	09/04/01	S	62	18.39	11/14/01	
			Salomon Smith Barney	0418		11/20/00	UAL	09/04/01	S	103	32.84	11/14/01	
			Salomon Smith Barney	0418		09/04/01	RTN	09/10/01	B	60	24.4	11/14/01	
(b) (4)	R124162	C/O Goldman Sachs 1NY Plaza New York, NY	Merrill Lynch	0161	(b) (4)	09/06/01	AIG	09/05/01	S	1400	73.94	10/23/01	Discussed with SEC
	R124162	C/O Goldman Sachs 1NY Plaza New York, NY	Merrill Lynch	0161		09/06/01	AMR	09/05/01	S	2900	31.94	10/23/01	Discussed with SEC
	R124162	C/O Goldman Sachs 1NY Plaza New York, NY	Merrill Lynch	0161		09/06/01	UAL	09/05/01	S	4500	32.65	10/23/01	Discussed with SEC
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	7/23/96	RTN	9/4/01	B	40	27.1	09/27/01	
			Merrill Lynch, Inc.	0161		11/4/97	TWK	9/5/01	S	13	13.8	09/27/01	
			Prudential Securities	0030		02/11/97	AIG	09/10/01	S	10	73.98	10/31/01	Discussed with SEC
			Prudential Securities	0030		08/24/01	AIG	09/04/01	S	38	77.54	10/31/01	Discussed with SEC
			Prudential Securities	0030		08/24/01	RTN	09/04/01	B	135	27.24	10/31/01	Discussed with SEC
			Prudential Securities	0030		08/24/01	XL	09/04/01	S	4	82.51	10/31/01	
			Prudential Securities	0030		06/05/00	AXA	09/05/01	S	150	25.17	09/26/01	
			Prudential Securities	0030		01/17/01	AIG	09/05/01	S	85	73.99	09/26/01	
			CIBC World Markets	0438		04/22/98	CNC	09/05/01	S	1,000	8.17	09/24/01	Account Statements faxed to SEC on 9/28/01
(b) (4)	Ram Trading Ltd.	210 E State Street Batavia, IL 60510-2607	Bear Stearns Company	0352	(b) (4)	01/25/00	XL	09/04/01 09/04/01	SS SS	5000 5400	82.48 83	10/15/01	Discussed with SEC
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	03/28/00	AIG	09/06/01	S	47	75.31	10/01/01	Discussed with SEC

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	03/28/00	MWD	09/06/01	S	45	50.72	10/01/01	Discussed with SEC
			Salomon Smith Barney	0418		12/11/00	AIG	09/06/01	S	43	75.2	10/01/01	Discussed with SEC
			Salomon Smith Barney	0418		12/11/00	LUV	09/06/01	S	120	17.86	10/01/01	Discussed with SEC
			Salomon Smith Barney	0418		12/11/00	AIG	09/06/01	S	110	75.28	10/01/01	Discussed with SEC
			Salomon Smith Barney	0418		12/11/00	MWD	09/06/01	S	34	50.8	10/01/01	Discussed with SEC
			Salomon Smith Barney	0418		09/15/95	AIG	09/06/01	S	82	75.55	10/01/01	Discussed with SEC
			Salomon Smith Barney	0418		09/15/95	LUV	09/06/01	S	108	17.75	10/01/01	Discussed with SEC
(b) (4)	Ramius Capital Group LLC	666 Third Ave. 26th Floor New York, NY 10017	Goldman Sachs & Co.	0005	(b) (4)	01/16/01	XL	09/04/01	SS	831	83	10/31/01	Discussed with SEC
	Ramius Capital Group LLC	Goldman Sachs Prime Broker Bowling Green Station New York, NY	Merrill Lynch	0161		01/10/00	XL	09/04/01	SS	6,600	82.4	10/15/01	Discussed with SEC
	Ramius Capital Group LLC	Goldman Sachs Prime Broker Bowling Green Station New York, NY	Merrill Lynch	0161		01/10/00	XL	09/04/01	S	10,100	83	10/15/01	Discussed with SEC
	Ramius Securities LLC	666 3rd Ave 26th Floor New York, NY 10017-4011	Bear Stearns & Co.	0352		07/15/97	AIG	09/04/01	S SS SS	1,500 1,500 1,500	76.75 76.77 77	09/27/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	7/30/01	RTN	9/5/01	B	110	27	09/27/01	
			Smith Barney	0418	(b) (6), (b) (7)(C)	06/19/01	LLL	09/04/01	B	20	66.99	10/31/01	
			Interactive Brokers, Inc.	0017	(b) (6), (b) (7)(C)	08/13/01	CNC	09/10/01	SS	100	7.26	09/24/01	New Account Documents; Current Telephone # were sent to SEC on 9/25/01
(b)(6), (b)(7)(C)	(b)(6), (b)(7)(C) Rorer Asset MGMT	(b)(6), (b)(7)(C)	Bear Stearns & Co.	0352	(b)(6), (b)(7)(C)	03/22/00	AIG	09/10/01	S	97	74.27	09/26/01	
	(b)(6), (b)(7)(C) Rorer Asset MGMT		Bear Stearns & Co.	0352		03/22/00	LUV	09/10/01	S	127	17.02	09/26/01	
	(b)(6), (b)(7)(C) Rorer Asset MGMT		Bear Stearns & Co.	0352		03/22/00	MMC	09/10/01	S	110	86.6	09/26/01	

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	National Financial Services	0226	(b) (6), (b) (7)(C)	04/20/01	AIG	09/10/01	S	200	74.06	09/27/01	
(b) (4)	Raytheon Enhanced S&P500	Wilhire Asset Management 12990 Ocean Avenue Santa Monica, CA	Salomon Smith Barney	418	(b) (4)	08/01/01	AIG	09/04/01	S	4600	77.48	11/14/01	
	Raytheon Enhanced S&P500	Wilhire Asset Management 12990 Ocean Avenue Santa Monica, CA	Salomon Smith Barney	418		08/01/01	CNC	09/04/01	S	100	8.88	11/14/01	
	Raytheon Enhanced S&P500	Wilhire Asset Management 12990 Ocean Avenue Santa Monica, CA	Salomon Smith Barney	418		08/01/01	MWD	09/04/01	S	24700	53.77	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	11/04/96	AIG	09/07/01	S	185	72.9	10/01/01	Contact telephone # given to SEC on 10/23. Whether (b)(6), (b) (7)(C) has investment decision authority discussed with SEC on 10/31/01.
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	11/04/96	LUV	09/07/01	S	883	17.02	10/01/01	
			Merrill Lynch, Inc.	0161		05/21/98	AEG	09/07/01	S	30	25.5	10/01/01	
			Merrill Lynch, Inc.	0161		05/21/98	AXA	09/07/01	S	80	23.17	10/01/01	
(b) (4)	RCG Multi-Strategy Citco Fund Services Ltd	Corporate Center West Bay Road Grand Cayman, Cayman Islands	Goldman Sachs & Co	0005	(b) (4)	07/13/01	XL	09/04/01	SS	333	83	10/23/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Credit Suisse First Boston Corp.	0443	(b) (6), (b) (7)(C)	06/16/00	AXA	09/10/01	S	118	23.2	10/08/01	
			Merrill Lynch, Inc.	0161		06/16/98	AIG	09/07/01	S	92	73.4	10/01/01	
			Merrill Lynch, Inc.	0161		06/16/98	AXA	09/07/01	S	214	23.17	10/01/01	
			Merrill Lynch, Inc.	0161		06/16/98	AIG	09/07/01	S	82	74.9	10/01/01	
			Merrill Lynch, Inc.	0161		06/16/98	MMC	09/07/01	S	25	87.25	10/01/01	
			National Financial Services	0226	(b) (6), (b) (7)(C)	08/09/99	AIG	09/05/01	S	451	75.1	09/27/01	
			Salomon Smith Barney	418		03/01/01	XL	09/05/01	S	10	81.58	11/14/01	

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	418	(b) (6), (b) (7)(C)	03/01/01	AIG	09/07/01	S	85	74.65	11/14/01	
			Salomon Smith Barney	418		03/01/01	MWD	09/07/01	S	55	48.15	11/14/01	
			Salomon Smith Barney	418		04/20/98	LLL	09/06/01	B	10	64.6	11/14/01	
			Salomon Smith Barney	418		04/20/98	LLL	09/07/01	B	55	63.15	11/14/01	
			Salomon Smith Barney	418		04/20/98	LLL	09/07/01	B	60	63.39	11/14/01	
			UBS Painewebber	0221		03/12/01	AIG	09/10/01	S	175	74.2	10/08/01	
			UBS Painewebber	0221		03/12/01	MMC	09/10/01	S	125	86.7	10/08/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	PaineWebber Inc.	0221	(b) (6), (b) (7)(C)	08/25/99	AIG	09/04/01	S	100	77.5	11/14/01	
			PaineWebber Inc.	0221		08/25/99	BA	09/04/01	S	50	50.97	11/14/01	
			PaineWebber Inc.	0221		08/25/99	CNC	09/04/01	S	190	8.78	11/14/01	
			PaineWebber Inc.	0221		11/01/00	MMC	09/04/01	S	50	92.35	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	UBS Painewebber Inc.	0221	(b) (6), (b) (7)(C)	07/31/00	AXA	09/07/01	S	210	23.52	10/03/01	
			UBS Painewebber Inc.	0221		07/31/00	RTN	09/07/01	B	250	25.95	10/03/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	04/18/00	AIG	09/06/01	S	415	74.88	10/08/01	
			Salomon Smith Barney	0418		04/18/00	MWD	09/06/01	S	580	50.37	10/08/01	
			Salomon Smith Barney	0418		11/01/99	AEG	09/04/01	S	195	28.79	10/08/01	

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	11/01/99	AXA	09/04/01	S	200	26.36	10/08/01	
			Credit Suisse First Boston Corp.	0443		09/02/98	CNC	09/07/01	S	200	7	10/03/01	
(b) (4)	Robeco	Settlements Department PO BOX 973 3000 AZ Rotterdam The Netherlands	Salomon Smith Barney	418	(b) (4)	11/15/74	AIG	09/05/01	S	50000	74.03	11/14/01	
	Robeco	A/C (b) (4) PO BOX 973 3000 AZ Rotterdam The Netherlands	W&D Securities	535		12/19/94	AIG	09/04/01	S	50000	77.36	11/14/01	
	Robeco	RG Capital Growth 58 Boulevard Grande-Duchesse Luxembourg	Salomon Smith Barney	418	(b) (4)	12/23/97	AIG	09/06/01	S	15800	75.17	11/14/01	
	Robeco	A/C Stockholm PO BOX 973 3000 AZ Rotterdam The Netherlands	Salomon Smith Barney	418	(b) (4)	03/22/00	AIG	09/06/01	S	1000	75.17	11/14/01	
	Robeco	A/C New York PO BOX 973 3000 AZ Rotterdam The Netherlands	Salomon Smith Barney	418	(b) (4)	04/04/00	AIG	09/06/01	S	5700	75.17	11/14/01	
(b) (4)	Robeco	A/C Azur-GMF PO BOX 973 3000 AZ Rotterdam The Netherlands	Salomon Smith Barney	418	(b) (4)	06/14/00	AIG	09/06/01	S	2800	75.17	11/14/01	
	Robeco	A/C RGAMER PO BOX 973 3000 AZ Rotterdam The Netherlands	Salomon Smith Barney	418	(b) (4)	08/03/00	AIG	09/06/01	S	48100	75.17	11/14/01	
(b) (4)	Robeco	RAIM A/C Guitar Coolsingel Rotterdam 3011 Netherlands	Merrill Lynch	161	(b) (4)	09/28/98	AIG	09/04/01	S	947	76.5	11/14/01	
(b) (4)	Robeco	RIAM A/C Mederic Nouveau 58 Boulevard Grande-Duchesse Luxembourg	Salomon Smith Barney	418	(b) (4)	09/06/01	AIG	09/06/01	S	2300	75.17	11/14/01	
(b) (6), (b) (7)(C)			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161	(b) (6), (b) (7)(C)	09/07/99	AIG	09/10/01	S	20	74.27	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		09/07/99	MMC	09/10/01	S	10	86.79	11/14/01	

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(b) (6), (b) (7)(C)			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161	(b) (6), (b) (7)(C)	09/07/99	XL	09/10/01	S	60	80.09	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		09/07/99	HOT	09/10/01	S	166	29.65	11/14/01	
(b) (6), (b) (7)(C)			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161	(b) (6), (b) (7)(C)	01/03/01	AIG	09/10/01	S	33	74.17	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		01/03/01	TWK	09/05/01	S	6	13.8	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		01/03/01	AXA	09/07/01	S	82	23.42	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		01/03/01	RTN	09/10/01	B	90	24.45	11/14/01	
(b) (4)	Rocker	GOLDMAN SACHS & CO F/A/O (b) (6), (b) (7)(C) NEW YORK NY 10111-1799 • 85 BROAD STREET NEW YORK NY 10004-2456	Bear Stearns & Co.	0352	(b) (4)	04/22/99	CNC	09/06/01 09/07/01	S SS	100,000 100,000	8.0091 7.76	10/23/01	Discussed with SEC
(b) (4)	Rocker Management	ACCT. 1 C/O ROCKER MANAGEMENT (b) (6), (b) (7)(C) 51 JFK PKY 3RD FL SHORT HILLS NJ 07078	Goldman Sachs & Co.	0005	(b) (4)	07/10/32	CNC	09/04/01-09/10/01	SS	1,375,200		10/23/01	Discussed with SEC
(b) (4)	Rocker Partners	Goldman Sachs & CODTC Prime Broker FAO Rocker Partners att: (b) (6), (b) (7)(C) 45 Rockefeller PLZ, Suite 1759 New York, NY	Salomon Smith Barney	0418	(b) (4)	04/09/85	CNC	09/07/01	SS	50000	7.62	10/02/01	Discussed with SEC
(b) (4)	Rocker Partners	Goldman Sachs & CODTC Prime Broker FAO Rocker Partners att: (b) (6), (b) (7)(C) 45 Rockefeller PLZ, Suite 1759 New York, NY	Salomon Smith Barney	0418	(b) (4)	04/09/85	CNC	09/05/01	SS	50000	8.12	10/02/01	Discussed with SEC
(b) (4)	Rocker Partners	Goldman Sachs & CODTC Prime Broker FAO Rocker Partners att: (b) (6), (b) (7)(C) 45 Rockefeller PLZ, Suite 1759 New York, NY	Salomon Smith Barney	0418	(b) (4)	04/09/85	CNC	09/04/01	SS	50000	8.8	10/02/01	Discussed with SEC
(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	08/13/96	AXA	09/04/01	S	202	26.08	11/14/01	

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(b)(6),(b)(7)(c)			Salomon Smith Barney	0418	(b)(6),(b)(7)(c)	09/18/98	MWD	09/05/01	S	75	52.36	11/14/01	
			Salomon Smith Barney	0418		09/17/97	AEG	09/04/01	S	340	28.7371	11/14/01	
			Salomon Smith Barney	0418		09/17/97	AXA	09/04/01	S	490	26.36	11/14/01	
			Salomon Smith Barney	0418		08/13/96	AIG	09/04/01	S	400	77.5	11/14/01	
			First Clearing Corp.	0141		05/25/89	AMR	08/31/01	S	100	32.06	09/27/01	Discussed with SEC
			First Clearing Corp.	0141		05/25/89	AMR	08/31/01	S	500	32.19	09/27/01	Discussed with SEC
			First Clearing Corp.	0141		05/25/89	AMR	08/31/01	S	1000	32.1	09/27/01	Discussed with SEC
			First Clearing Corp.	0141		05/25/89	AMR	08/31/01	S	3200	32	09/27/01	Discussed with SEC
			First Clearing Corp.	0141		05/25/89	AMR	08/31/01	S	6300	32.04	09/27/01	Discussed with SEC
			First Clearing Corp.	0141		05/25/89	AMR	08/31/01	S	8900	31.9	09/27/01	Discussed with SEC
			First Clearing Corp.	0141		05/25/89	AMR	08/31/01	S	10000	32	09/27/01	Discussed with SEC
			First Clearing Corp.	0141		05/25/89	AMR	08/31/01	S	14000	32.12	09/27/01	Discussed with SEC
			First Clearing Corp.	0141		05/25/89	UAL	08/31/01	S	500	32.51	09/27/01	Discussed with SEC
			First Clearing Corp.	0141		05/25/89	UAL	08/31/01	S	800	32.46	09/27/01	Discussed with SEC
			First Clearing Corp.	0141		05/25/89	UAL	08/31/01	S	9200	32.05	09/27/01	Discussed with SEC
			First Clearing Corp.	0141		05/25/89	UAL	08/31/01	S	9500	32.3	09/27/01	Discussed with SEC
			First Clearing Corp.	0141		05/25/89	UAL	08/31/01	S	10000	32.46	09/27/01	Discussed with SEC
			First Clearing Corp.	0141		05/25/89	UAL	08/31/01	S	10000	32.46	09/27/01	Discussed with SEC
			PaineWebber Inc.	0221		01/28/99	AIG	09/04/01	S	35	77.9	11/14/01	
			PaineWebber Inc.	0221		01/28/99	BA	09/04/01	S	45	49.75	11/14/01	
			PaineWebber Inc.	0221		01/28/99	LUV	09/04/01	S	45	17.89	11/14/01	

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(b)(6),(b)(7)(c)			PaineWebber Inc.	0221	(b)(6),(b)(7)(c)	01/28/99	MMC	09/04/01	S	35	92.95	11/14/01	
			Merrill Lynch	0161		03/07/00	AEG	09/10/01	S	80	25.5	11/14/01	
			Merrill Lynch	0161		03/07/00	AIG	09/10/01	S	162	73.21	11/14/01	
			Merrill Lynch	0161		03/07/00	AXA	09/10/01	S	130	23.15	11/14/01	
			Merrill Lynch	0161		03/07/00	BA	09/10/01	B	250	43.67	11/14/01	
			Merrill Lynch	0161		03/07/00	LUV	09/10/01	S	175	16.6	11/14/01	
			Merrill Lynch	0161		03/07/00	XL	9/10/01	S	97	80.1	11/14/01	
			Salomon Smith Barney	0418		01/23/88	LLL	09/05/01	B	50	65.32	11/14/01	
			Salomon Smith Barney	0418		01/23/88	RTN	09/05/01	B	200	27.03	11/14/01	
			Salomon Smith Barney	0418		08/06/96	MWD	09/06/01	S	600	49.4	10/08/01	
			Salomon Smith Barney	0418		08/06/96	AEG	09/06/01	S	2,065	26.41	10/08/01	
			Salomon Smith Barney	0418		08/06/01	HOT	09/06/01	S	843	30.93	10/08/01	
			UBS Painewebber	0221		06/21/00	AIG	09/05/01	S	50	76.5	10/08/01	
			UBS Painewebber	0221		10/20/00	AIG	09/05/01	S	50	76.5	10/08/01	

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(b) (6), (b) (7)(C)			UBS Painewebber	0221	(b) (6), (b) (7)(C)	10/20/00	AXA	09/05/01	S	110	25.5	10/08/01	
			UBS Painwebber	0221		12/04/00	AXA	09/07/01	S	175	23.4	11/14/01	
			UBS Painwebber	0221		12/04/00	AIG	09/10/01	S	60	74.45	11/14/01	
			UBS Painwebber	0221		12/02/01	AIG	09/07/01	S	40	73.4	11/14/01	
			UBS Painwebber	0221		12/02/01	BA	09/07/01	S	30	45.37	11/14/01	
			UBS Painwebber	0221		12/02/01	LUV	09/07/01	S	30	17.13	11/14/01	
			UBS Painwebber	0221		12/02/01	MMC	09/07/01	S	30	87.14	11/14/01	
(b) (4)	Roundwood Capital	25800 Science Park Drive Cleveland, OH	Merrill Lynch, Inc.	0161	(b) (4)	03/23/95	AMR	09/07/01	SS	1000	30.54	09/28/01	Contact name and telephone # were sent to SEC on 10/10/01
	Roundwood Capital	25800 Science Park Drive Cleveland, OH	Merrill Lynch, Inc.	0161		03/23/95	AMR	08/29/01	SS	1100	32.38	09/28/01	See Above
	Roundwood Capital	25800 Science Park Drive Cleveland, OH	Merrill Lynch, Inc.	0161		03/23/95	AMR	08/29/01	SS	2900	32.37	09/28/01	See Above
	Roundwood Capital	25800 Science Park Drive Cleveland, OH	Merrill Lynch, Inc.	0161		03/23/95	DAL	09/07/01	SS	1000	37.76	09/28/01	See Above
	Roundwood Capital	25800 Science Park Drive Cleveland, OH	Merrill Lynch, Inc.	0161		03/23/95	DAL	08/29/01	SS	1200	39.34	09/28/01	See Above
	Roundwood Capital	25800 Science Park Drive Cleveland, OH	Merrill Lynch, Inc.	0161		03/23/95	DAL	08/29/01	SS	2800	39.33	09/28/01	See Above
	Roundwood Capital	25800 Science Park Drive Cleveland, OH	Merrill Lynch, Inc.	0161		05/10/00	AMR	09/07/01	SS	1000	30.35	09/28/01	See Above
	Roundwood Capital	25800 Science Park Drive Cleveland, OH	Merrill Lynch, Inc.	0161		05/10/00	AMR	08/29/01	SS	4000	32.37	09/28/01	See Above
	Roundwood Capital	25800 Science Park Drive Cleveland, OH	Merrill Lynch, Inc.	0161		05/10/00	DAL	09/07/01	SS	1000	37.76	09/28/01	See Above
	Roundwood Capital	25800 Science Park Drive Cleveland, OH	Merrill Lynch, Inc.	0161		05/10/00	DAL	08/29/01	SS	4000	39.33	09/28/01	See Above
(b)(6), (b)(7)(C)		C/O Ganduxer	Merrill Lynch	0161	(b) (6), (b) (7)(C)	12/30/98	AIG	09/04/01	S	74	77.78	11/14/01	
		C/O Ganduxer	Merrill Lynch	0161		12/30/98	AEG	09/04/01	S	195	28.83	11/14/01	
		C/O Ganduxer	Merrill Lynch	0161		12/31/98	AXA	09/04/01	S	170	26.27	11/14/01	
(b) (4)	Roxbury Capital Management	100 Wilshire Boulevard Santa Monica, CA	Morgan Stanley	0050	(b) (4)	08/02/99	AIG	09/07/01	SS	15,000	73	10/08/01	
(b) (4)	RSP Partners A Partnership C/O Helman & Neustadt	One Hollis Street, Suite 243 Wellesley, MA 02482-4672	Salomon Smith Barney	0418	(b) (4)	08/30/01	AIG	09/10/01	S	100	73.77	11/14/01	

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(b) (4)	RSP Partners A Partnership C/O Helman & Neustadt	One Hollis Street, Suite 243 Wellesley, MA 02482-4672	Salomon Smith Barney	0418	(b) (4)	08/30/01	LUV	09/10/01	S	105	17	11/14/01	
	RSP Partners A Partnership C/O Helman & Neustadt	One Hollis Street, Suite 243 Wellesley, MA 02482-4672	Salomon Smith Barney	0418		08/30/01	MWD	09/10/01	S	110	48.87	11/14/01	
	RSP Partners A Partnership C/O Helman & Neustadt	One Hollis Street, Suite 243 Wellesley, MA 02482-4672	Salomon Smith Barney	0418		08/31/01	RTN	09/06/01	B	65	26	11/14/01	
(b) (6), (b) (7)(C)			Credit Suisse First Boston Corp.	0443	(b) (6), (b) (7)(C)	03/02/98	CNC	09/07/01	S	1000	7.65	10/03/01	
			Merrill Lynch, Inc.	0161		06/28/01	AIG	09/05/01	S	281,347	74.4	10/08/01	Discussed with SEC
			Wachovia Securities	0346		02/01/00	RTN	09/10/01	B	750	24.59	10/31/01	
(b) (4)	Sab Gamma Limited Partnership	16590 Senterra Drive Delray Beach, FL 33484	Merrill Lynch, Inc.	0161	(b) (4)	12/28/00	AIG	09/10/01	S	885	74	10/08/01	Identity of principals of Sab Gamma given to SEC on 10/11/01. Client Contact given on 10/23/01
	Sab Gamma Limited Partnership	16590 Senterra Drive Delray Beach, FL 33484	Merrill Lynch, Inc.	0161		12/28/00	AIG	09/10/01	S	228	74.45	10/08/01	See Above
	Sab Gamma Limited Partnership	16590 Senterra Drive Delray Beach, FL 33484	Merrill Lynch, Inc.	0161		12/28/00	LUV	09/10/01	S	773	17.04	10/08/01	See Above
	Sab Gamma Limited Partnership	16590 Senterra Drive Delray Beach, FL 33484	Merrill Lynch, Inc.	0161		12/28/00	ALK	09/10/01	S	479	30.21	10/08/01	
(b) (4)	SAB Overseas Fund LTD c/o SAB Capital Group	650 Madison Avenue 26th Floor, New York, NY 10022	Goldman Sachs & Co	0005	(b) (4)	06/28/00	MMC	09/07/01	SS	4,842	89.65	10/08/01	
	SAC Capital Management (Spear Leeds & Kellogg)	120 Broadway, New York, NY 10271	Salomon Smith Barney	0418	(b) (4)	07/31/92	BA	09/04/01	S	50,000	49.75	10/08/01	
(b) (6), (b) (7)(C)			Bear Stearns & Co.	0352	(b) (6), (b) (7)(C)	09/28/93	MWD	09/05/01	S	2,160	51.9	09/25/01	
(b) (4)	Sage Asset Mgmt	NATIONSBANC MONTGOMERY SECS PR SAGE ASSET MANAGEMENT F/A/O SAGE ASSET MGMT A/C (b) (4) * DO NOT MAIL * NY 99999	Robertson Stephens, Inc.	0755	(b) (4)	06/15/00	CNC	09/07/01	S	89,300	7.5081	10/08/01	

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Buy(B) Short(SS)/ Long(S)	Volume	Price	SEC Contact Date	Followup
(b) (4)	SAGE OPPORTUNITY FUND	BANC OF AMERICA SECS LLC FAO SAGE OPPORTUNITY FUND PRIME BROKERAGE SVCS 655 MONTGOMERY ST 19TH FL SAN FRANCISCO CA 94115	Weiss, Peck & Greer	0022	(b) (4)	07/20/99	CNC	09/04/01	S	149,000	8.9772	10/08/01	
(b) (4)	SAGE OPPORTUNITY FUND	BANC OF AMERICA SEC LLC	W & D Securities	0535	(b) (4)	09/21/99	CNC	09/07/01	S	25,700	7.755	10/08/01	
	SAGE OPPORTUNITY FUND	BANC OF AMERICA SEC LLC	W & D Securities	0535		09/21/99	CNC	09/06/01	S	30,900	7.985	10/08/01	
(b) (4)	SAGE OPPORTUNITY FUND	BANC OF AMERICA SEC LLC FTAO SAGE OPPORTUNITY FUND A/C (b) (4) ATTN PRIME BROKERAGE SERVICES 655 MONTGOMERY ST 19TH FL SAN FRANCISCO CA	W & D Securities	0535	(b) (4)	09/21/99	CNC	09/04/01	S	43,500	9.085	10/08/01	
(b) (4)	SAGE OPPORTUNITY FUND	BANC OF AMERICA SEC LLC	W & D Securities	0535	(b) (4)	09/21/99	CNC	09/05/01	S	90,000	8.2318	10/08/01	
(b) (4)	Sam Investments, LDC	Caledonian House, Mary Street 48 Par La Ville Road Suite 464 Grand Cayman Cayman Islands	Credit Suisse First Boston Corp.	0355	(b) (4)	06/28/01	XL	09/04/01	SS	27,500	82.65	10/10/01	Contact person and short sale information sent to SEC on 10/28/01
(b) (6), (b) (7)(C)			Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	06/28/99	CNC	09/10/01	SS	1,900 14,900 33,200	7.26 7.33 7.25	09/27/01	Discussed with SEC
			Merrill Lynch, Inc.	0161		06/28/99	CNC	09/07/01	SS	50,000 100,000	7.11 7.00	09/27/01	Discussed with SEC
			Salomon Smith Barney	0418		02/13/97	AMR	08/22/01	S	33	32.35	11/14/01	
			Salomon Smith Barney	0418		10/26/99	AIG	09/06/01	S	16	75.7	11/14/01	
			Salomon Smith Barney	0418		10/26/99	AIG	09/10/01	S	7	74.36	11/14/01	
			Salomon Smith Barney	0418		10/26/99	LUV	09/06/01	S	43	17.79	11/14/01	

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	10/26/99	LUV	09/10/01	S	19	17.01	11/14/01	
			Salomon Smith Barney	0418		10/26/99	MWD	09/06/01	S	12	49.18	11/14/01	
			Salomon Smith Barney	0418		10/26/99	MWD	09/10/01	S	5	48.9	11/14/01	
			Charles Schwab & Co.	0164		06/13/00	AXA	09/05/01	S	250	25.9	10/02/01	New account documents & statements from 6/01 given to SEC on 10/04/01
			Weiss, Peck & Greer	0022		11/16/89	HLT	09/07/01	S	1,000	11.4	09/26/01	
			Weiss, Peck & Greer	0022		11/16/89	HLT	09/07/01	S	1,000	11.47	09/26/01	
			Weiss, Peck & Greer	0022		11/16/89	HLT	09/07/01	S	2,000	11.4	09/26/01	
			Weiss, Peck & Greer	0022		11/16/89	HLT	09/07/01	S	2,000	11.47	09/26/01	
			Weiss, Peck & Greer	0022		11/16/89	HLT	09/07/01	S	2,000	11.48	09/26/01	
			Weiss, Peck & Greer	0022		11/16/89	HLT	09/06/01	S	2,000	12.06	09/26/01	
			Weiss, Peck & Greer	0022		11/16/89	LEH	09/07/01	SS	1,000	60.87	09/26/01	
			Weiss, Peck & Greer	0022		11/16/89	HLT	09/06/01-09/07/01	S	10,000	NA	09/25/01	
			Weiss, Peck & Greer	0022		11/16/89	LEH	09/07/01	SS	1,000	60.87	09/25/01	
			Smith Barney	0418		07/20/01	LUV	09/06/01	S	100	17.96	10/31/01	
(b) (4)	Savitz Mgmt Company LLC	50 Perkins Road, Greenwich CT 06830	Goldman Sachs & Co	0005	(b) (4)	08/31/01	CAL	09/04/01	SS	400	44.38	11/14/01	
	Savitz Mgmt Company LLC	50 Perkins Road, Greenwich CT 06830	Goldman Sachs & Co	0005		08/31/01	UAL	09/04/01	SS	600	32.7	11/14/01	
(b) (6), (b) (7)(C)			First Clearing Corp.	0141	(b) (6), (b) (7)(C)	11/22/99	HOT	09/06/01	SS	10,000	31.2966	10/01/01	
			Merrill Lynch Pierce Fenner & Smith	0161		11/24/86	HLT	09/04/01	S	1000	12.1	11/14/01	

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(b) (6), (b) (7)(C)			Merrill Lynch Pierce Fenner & Smith	0161	(b) (6), (b) (7)(C)	11/24/86	UAL	09/04/01	SS	1000	32.75	11/14/01	
(b) (4)	Scotia Cassels Investment	1 Queen St. E. Ste 1200 P.O. Box 85 Toronto, Ontario M5C 2W5	A.G. Edwards & Sons, Inc.	0201	(b) (4)	08/30/01	AIG	09/05/01	S	3,100	74.27	09/26/01	
(b) (4)	Scotia Cassels Investment	1 Queen St. E. Ste 1200 P.O. Box 85 Toronto, Ontario M5C 2W5	A.G. Edwards & Sons, Inc.	0201		09/05/01	AIG	09/05/01	S	450	74.27	09/26/01	
	Scotia Cassels Investment	Scotia Plaza Ste 602 44 King Street West Toronto, Canada	Merrill Lynch, Inc.	0161		09/21/98	MMC	09/07/01	S	26,500	87.11	09/26/01	
(b) (6), (b) (7)(C)			Fleet Securities, Inc.	0158	(b) (6), (b) (7)(C)	06/22/98	MWD	09/10/01	S	15,000	47.1061	10/08/01	
(b) (4)	Scout Capital LLC	335 Montgomery St. San Francisco, CA 94111	Bank of America	0773	(b) (4)	08/04/99	BA	09/07/01	S	39,000	45.4498	09/25/01	Discussed with SEC
(b) (4)	Scout Capital Partners LP		W & D Securities, Inc.	0535	(b) (4)	8/29/01	LLL	9/7/01	B	16,300	63.4132	09/26/01	Discussed with SEC
	Scout Capital Partners LP		W & D Securities, Inc.	0535		9/22/99	LLL	9/7/01	B	58,700	63.4132	09/26/01	Discusssed with SEC
(b) (4)	Seabream Ltd.	C/O Merrill Lynch Int Bank Ltd. Trust Dep't 2 Raffles Link Marina Bayfront Singapore 039392	Merrill Lynch	0161	(b) (4)	04/25/01	RTN	09/04/01	B	40	27.1	11/14/01	
(b)(6), (b)(7)(C)			Charles Schwab & Co	0164	(b) (6), (b) (7)(C)	01/19/01	UAL	08/30/01	SS	200	32.54	11/14/01	
			TD Waterhouse	0044		04/07/98	HLT	09/07/01	SS	300	11.69	11/14/01	
			Credit Suisse First Boston Corp.	0443		08/16/01	CNC	09/07/01	S	1000	7.5	10/03/01	
			Charles Schwab & Co.	0164		07/17/96	AAI	09/07/01	S	6,000	5.96	10/08/01	
(b)(6), (b)(7)(C)	Seyfarth, Shaw, Fairweather & Geraldson (La Salle National Bank ttee Seyfarth Shaw Fairweather Gera FBO (b)(6), (b)(6), (b)(7)(C)	55 E Monroe St Suite 4200, Chicago	Morgan Stanley DW	0015		12/22/98	XL	09/05/01	S	10	81.61	11/14/01	
(b)(6), (b)(7)(C)	Seyfarth, Shaw, Fairweather & Geraldson (Seyfarth, Shaw, Fairweather & Geraldson Retirement Plan (b)(6), (b)(7)(C) (b)(6), (b)(7)(C))	(b)(6), (b)(7)(C)	Credit Suisse First Boston/ DLJ	0443		09/17/98	AMR	09/07/01	S	350	29.857	11/14/01	

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(b)(6), (b)(7)(C)	Seyfarth, Shaw, Fairweather & Geraldson (Seyfarth, Shaw, Fairweather & Geraldson Retirement Plan (b)(6), (b)(7)(C) (b)(6), (b)(7)(C)	(b)(6), (b)(7)(C)	Credit Suisse First Boston/ DLJ	0443	(b) (6), (b) (7)(C)	09/17/98	BA	09/06/01	S	300	48.6602	11/14/01	
	Seyfarth, Shaw, Fairweather & Geraldson (SSF&G Retirement Plan FBO (b)(6), (b)(7)(C) (b)(6), Mid/ Small (b)(6), (b)(7)(C) ATTN (b)(6), (b)(7)(C)	55 E Monroe St Suite 4200, Chicago	Salomon Smith Barney	0418		07/31/01	UAL	08/20/01	S	300	33.8	11/14/01	
	Seyfarth, Shaw, Fairweather & Geraldson (SSF&G Retirement Plan U/A/D (b)(6), (b)(7)(C) FBO (b)(6), (b)(6), (b)(7)(C) ATTN (b)(6), (b)(6), (b)(7)(C) (b)(6), (b)(7)(C)	55 E Monroe St Suite 4300, Chicago	Merrill Lynch Pierce Fenner & Smith	0161		04/27/89	UAL	08/29/01	S	100	32.87	11/14/01	
	Seyfarth, Shaw, Fairweather & Geraldson (SSF&G Retirement Plan (b)(6), (b)(7)(C) FBO (b)(6), (b)(7)(C)	(b)(6), (b)(7)(C)	Merrill Lynch Pierce Fenner & Smith	0161		07/12/01	RTN	09/04/01	B	40	27.1	11/14/01	
	SEYFARTH,SHAW, FAIRWEATHER,GERA	LA SALLE NATIONAL BANK TTEE SEYFARTH,SHAW,FAIR WEATHER,GERA FBO (b)(6), (b)(7)(C) (b)(6), (b)(7)(C) (b) (6) E MONROE ST SUITE 4200 CHICAGO IL 60603-5810	Morgan Stanely DW, INC.	15		12/22/98	XL	09/05/01	S	10	81.61	11/14/01	
(b)(6), (b)(7)(C)	SEYFARTH,SHAW,FAIRWEATHER &GERALDSON RETIREMENT PLAN	SEYFARTH,SHAW,FAIR WEATHER &GERALDSON RETIREMENT PLAN (b)(6), (b)(7)(C)	Credit Suisse First Boston	443	(b) (6), (b) (7)(C)	09/17/98	BA AMR	09/06/01 09/07/01	S S	300 350	48.66 29.857	11/14/01	
	(b)(6), (b)(7)(C)		Salomon Smith Barney	0418		03/21/00	CNC	09/04/01	S	60	8.87	10/01/01	
			Salomon Smith Barney	0418		03/21/00	AIG	09/04/01	S	22	77.16	10/01/01	
			Merrill Lynch, Inc.	0161		06/14/01	DAL	08/28/01	S	200	40.25	10/01/01	
			Merrill Lynch, Inc.	0161		06/14/01	UAL	08/28/01	S	100	33.5	10/01/01	

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(b)(6), (b)(7)(C)			Deutsche Banc Alex. Brown Inc.	0573	(b)(6), (b)(7)(C)	05/18/00	AIG	09/04/01	S	132	77.04	11/14/01	
			Deutsche Banc Alex. Brown Inc.	0573		05/18/00	BA	09/04/01	S	180	50.61	11/14/01	
			Deutsche Banc Alex. Brown Inc.	0573		05/18/00	LUV	09/04/01	S	165	18.33	11/14/01	
			Deutsche Banc Alex. Brown Inc.	0573		05/18/00	MMC	09/04/01	S	145	93.18	11/14/01	
			Deutsche Banc Alex. Brown Inc.	0573		05/18/00	AIG	09/05/01	S	95	75.95	11/14/01	
			Charles Schwab & Co	0164		07/31/85	AMR	09/07/01	SS	100	29.9	11/14/01	
			Charles Schwab & Co	0164		07/31/85	AMR	09/07/01	SS	200	29.9	11/14/01	
			Charles Schwab & Co	0164		07/31/85	UAL	08/29/01	SS	100	32.97	11/14/01	
			Charles Schwab & Co.	0164		01/08/99	CNC	09/10/01	SS	1,000	7.25	09/25/01	Discussed with SEC
(b)(4)	Short Book 4	Att (b)(6), (b)(7)(C) 31 W. 52nd St New York, NY	DB Alex Brown	0535	(b)(4)		AIG	9/6/01	SS	6,400		09/28/01	Discussed with SEC
	Short Book 4	Att (b)(6), (b)(7)(C) 31 W. 52nd St New York, NY	DB Alex Brown	0535			AIG	9/4/01	SS	6,400		09/28/01	Discussed with SEC
	Short Book 4	Att (b)(6), (b)(7)(C) 31 W. 52nd St New York, NY	DB Alex Brown	0535			AIG	9/5/01	SS	9,600		09/28/01	Discussed with SEC
	Short Book 4	Att (b)(6), (b)(7)(C) 31 W. 52nd St New York, NY	DB Alex Brown	0535			CNC	9/6/01	SS	12,200		09/28/01	Discussed with SEC
	Short Book 4	Att (b)(6), (b)(7)(C) 31 W. 52nd St New York, NY	DB Alex Brown	0535			CNC	9/4/01	SS	12,200		09/28/01	Discussed with SEC
	Short Book 4	Att (b)(6), (b)(7)(C) 31 W. 52nd St New York, NY	DB Alex Brown	0535			CNC	9/5/01	SS	18,300		09/28/01	Discussed with SEC
(b)(6), (b)(7)(C)			Salomon Smith Barney	0418	(b)(6), (b)(7)(C)	08/16/01	RTN	09/04/01	B	55	27.13	11/14/01	
			CIBC World Markets	0438		07/20/99	CNC	09/04/01	S	1,000	8.88	09/24/01	Faxed Interpol information and intercase analysis to SEC on 9/26/01.Account statements faxed to SEC on 9/28/01
			CIBC World Markets	0438		07/15/99	CNC	09/04/01	S	1,000	8.85	09/24/01	See Above
			Raymond James & Associates, Inc.	0725		05/20/99	AIG	09/04/01	S	30	77.75	10/08/01	
			Raymond James & Associates, Inc.	0725		05/20/99	DAL	09/07/01	S	5	36.99	10/08/01	

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(b) (6), (b) (7)(C)			Raymond James & Associates, Inc.	0725	(b) (6), (b) (7)(C)	05/20/99	U	09/07/01	S	85	11.82	10/08/01	
(b) (4)	Sirios Capital Management (Morgan Stanley & Co)	One Pierrepont Plaza 10th fl, Brooklyn, NY 11201	Credt Suisse First Boston/ DLJ	0443	(b) (4)	06/09/99	MWD	09/04/01	S	10,000	52.5	10/08/01	
	SMITH BARNEY	SMITH BARNEY FIN 99B 388 GREENWICH STREET 23RD FLOOR NEW YORK NY 100132375	Morgan Stanely & Co.	50		03/25/98	AIG AXA XL AIG AXA XL	09/05/01 09/05/01 09/05/01 09/07/01 09/07/01 09/07/01	S S S S S S	107 38 39 165 59 60	73.99 25.97 82.1 73.15 23.4 80.8	11/14/01	
	Software Enterprise Trading	Susquehanna Ireland Limited 401 City Line Ave Bala Cynwyd, PA	Merrill Pro	0551		06/04/01	KLM	09/07/01	SS	100	12.39	10/08/01	Discussed with SEC
	Software Enterprise Trading	Susquehanna Ireland Limited 401 City Line Ave Bala Cynwyd, PA	Merrill Pro	0551		06/04/01	KLM	09/05/01	SS	100	13.84	10/08/01	Discussed with SEC
(b) (4)	Software Enterprise Trading	Susquehanna Ireland Limited 401 City Line Ave Bala Cynwyd, PA	Merrill Pro	0551	(b) (4)	06/04/01	KLM	09/05/01	SS	D	13.71	10/08/01	Discussed with SEC
	Software Enterprise Trading	Susquehanna Ireland Limited 401 City Line Ave Bala Cynwyd, PA	Merrill Pro	0551		06/04/01	KLM	09/05/01	SS	400	13.84	10/08/01	Discussed with SEC
	Software Enterprise Trading	Susquehanna Ireland Limited 401 City Line Ave Bala Cynwyd, PA	Merrill Pro	0551		06/04/01	KLM	09/07/01	SS	600	12.62	10/08/01	Discussed with SEC
	Software Enterprise Trading	Susquehanna Ireland Limited 401 City Line Ave Bala Cynwyd, PA	Merrill Pro	0551		06/04/01	KLM	09/07/01	SS	900	12.5	10/08/01	Discussed with SEC
	Software Enterprise Trading	Susquehanna Ireland Limited 401 City Line Ave Bala Cynwyd, PA	Merrill Pro	0551		06/04/01	KLM	09/07/01	SS	1,100	12.5	10/08/01	Discussed with SEC
(b) (4)	Software Enterprise Trading	Susquehanna Ireland Limited 401 City Line Ave Bala Cynwyd, PA	Merrill Pro	0551	(b) (4)	06/04/01	KLM	09/07/01	SS	1,500	12.39	10/08/01	Discussed with SEC
	Software Enterprise Trading	Susquehanna Ireland Limited 401 City Line Ave Bala Cynwyd, PA	Merrill Pro	0551		06/04/01	KLM	09/07/01	SS	2,000	12.9	10/08/01	Discussed with SEC

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(b) (4)	Software Enterprise Trading	Susquehanna Ireland Limited 401 City Line Ave Bala Cynwyd, PA	Merrill Pro	0551	(b) (4)	06/04/01	KLM	09/10/01	SS	2,500	12.09	10/08/01	Discussed with SEC
	Software Enterprise Trading	Susquehanna Ireland Limited 401 City Line Ave Bala Cynwyd, PA	Merrill Pro	0551		06/04/01	KLM	09/10/01	SS	3,000	12.11	10/08/01	Discussed with SEC
	Software Enterprise Trading	Susquehanna Ireland Limited 401 City Line Ave Bala Cynwyd, PA	Merrill Pro	0551		06/04/01	KLM	09/07/01	SS	400	12.39	10/08/01	Discusssed with SEC
(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	3/28/89	MWD	09/05/01	S	5,000	50.21	10/01/01	Discusssed with SEC
			Salomon Smith Barney	0418		3/28/89	MWD	09/05/01	S	8,000	51.21	10/01/01	Discusssed with SEC
			Salomon Smith Barney, Inc	0418		03/28/89	BA	09/05/01	S	10,000	50.214	10/23/01	Discusssed with SEC
(b) (4)	Solitair Corp.	411 West Putnam Ave. STE 125 Greenwhich, CT	Bear Stearns & Co.	0352	(b) (4)	09/28/98	MWD	09/05/01	S	100	52.15	09/27/01	
	Solitair Corp.	411 West Putnam Ave. STE 125 Greenwhich, CT	Bear Stearns & Co.	0352		09/28/98	MWD	09/04/01	S	350	53.85	09/27/01	
	Solitair Corp.	411 West Putnam Ave. STE 125 Greenwhich, CT	Bear Stearns & Co.	0352		09/28/98	UAL	08/13/01	SS	3300	34.18	09/27/01	
(b) (6), (b) (7)(C)			Charles Schwab & Co.	0164	(b) (6), (b) (7)(C)	11/17/95	AAI	09/06/01	S	1,300	6.02	09/26/01	New account documents; 6 months account statements sent to SEC on 10/01/01
			Charles Schwab & Co.	0164		11/17/95	CNC	09/06/01	S	1,500	8	09/26/01	See Above
			Charles Schwab & Co.	0164		02/13/86	AAI	09/05/01	S	1,500	6.15	09/26/01	See Above
			Charles Schwab & Co.	0164		02/13/86	HLT	09/05/01	S	2,000	12.29	09/24/01	See Above
			Charles Schwab & Co.	0164		02/13/86	HLT	09/05/01	S	2,000	12.29	09/26/01	See Above

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Buy(B) Short(SS)/ Long(S)	Volume	Price	SEC Contact Date	Followup
(b) (4)	Spear Leeds & Kellogg FAO Tibe Rius Master Fund	120 Broadway New York, NY 10271	Spear, Leeds & Kellog	0501	(b) (4)	08/07/01	AIG	09/07/01	SS	2000	73	10/03/01	
	Spirit Fund, Ltd.	1819 Goodwin St Jacksonville, FL 32204	Goldman Sachs & Co.	0005	(b) (4)	12/29/95	CNC	09/04/01 09/06/01 09/07/01	SS SS SS	40,000 40,000 40,000	8.675 7.99 7.40	09/27/01	Discusssed with SEC and sent information on UCO trades to SEC on 10/09/01
	Spring Grove Ltd.	C/O Merril Lynch Int Bank Ltd. 2 Raffles Link Marina Bayfront Singapore	Merrill Lynch	0161	(b) (4)	08/20/01	RTN	09/04/01	B	110	27.1	11/14/01	
(b)(6), (b)(7)(C)	(b)(6), (b)(7)(C) Consults - Credit Suisse	(b)(6), (b)(7)(C)	Merrill Lynch, Inc.	0161	(b)(6), (b)(7)(C)	01/02/01	AXA	09/07/01	S	107	23.37	09/28/01	
	(b)(6), (b)(7)(C) Consults - Franklin		Merrill Lynch, Inc.	0161		01/02/01	ALK	09/07/01	S	49	30.46	09/28/01	
(b)(6), (b)(7)(C)	SSF& G RETIREMENT PLAN	SSF& G RETIREMENT PLAN U/A/D (b)(6), (b)(7)(C) FBO (b)(6), (b)(7)(C) ATTN (b)(6), (b)(7)(C) 55 E MONROE ST # 4300 CHICAGO IL 60603	Merrill Lynch & Co.	161	(b) (6), (b) (7)(C)	04/27/89	UAL	08/29/01	S	100	32.87	11/14/01	
	SSF& G RETIREMENT PLAN	SSF& G RETIREMENT PLAN U/A (b)(6), (b)(7)(C) FBO (b)(6), (b)(7)(C)	Merrill Lynch & Co.	161	(b) (6), (b) (7)(C)	07/12/01	RTN	09/04/01	B	40	27.1	11/14/01	
	SSF&G RETIREMENT PLAN	SSF&G RETIREMENT PLAN FBO (b)(6), (b)(7)(C) (b)(6), (b)(7)(C) - MID/SMALL (b)(6), (b)(7)(C) ATTN (b)(6), (b)(7)(C) 55 E. MONROE SUITE 4200 CHICAGO IL 60603-5810	Salomon Smith Barney	418	(b)(6), (b)(7)(C)	07/31/01	UAL	08/20/01	S	300	33.8	11/14/01	
(b) (4)	St. Albans Partners, LTD	C/O Citco Canada, Inc. Attn: (b) (6), (b) (7)(C) 33 Bloor St. East Suite 1101 Toronto, ON M4W 3H1 Canada	Lehman Brothers & Co.	0074	(b) (4)	03/27/97	HOT	09/10/01	SS	35,600	29.85	10/01/01	
(b) (4)	Standard Pacific Capital Offshore Fund, LTD	423 California St. San Francisco, CA 94104	Morgan Stanley & Co.	0050	(b) (4)	10/03/95	HOT	09/05/01	SS	14,604	33.2479	10/01/01	

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(b) (4)	Standard Pacific Strategies Execution	423 California St. 26th Fl. San Francisco, CA 94104	Morgan Stanley & Co.	0050	(b) (4)	06/16/95	HOT	09/05/01	SS	16,135	33.2479	10/01/01	
(b)(6), (b)(7)(C)		Bear Stearns Sec Corp 1 Metrotech Brooklyn, NY	SG Cowen	0286	(b) (6), (b) (7)(C)	06/16/00	CNC	09/06/01	S	21600	8.01	10/23/01	
		Bear Stearns Sec Corp 1 Metrotech Brooklyn, NY	SG Cowen	0286		06/16/00	CNC	09/10/01	S	17400	7.63	10/23/01	
		Bear Stearns Sec Corp 1 Metrotech Brooklyn, NY	SG Cowen	0286		06/16/00	CNC	09/05/01	S	16200	8.12	10/23/01	
		Bear Stearns Sec Corp 1 Metrotech Brooklyn, NY	SG Cowen	0286		06/16/00	CNC	09/07/01	S	4200	7.11	10/23/01	
(b) (4)	STATE MUTUAL SEPARATE ACCOUNT	STATE MUTUAL SEPARATE ACCOUNT C/O FIRST DATA SERVICES ATTN CHARLIE FUND ACCOUNTING 4400 COMPUTER DRIVE WESETBOROUGH MA 01580-0001	Credit Suisse First Boston	443	(b) (4)	10/01/96	AIG BA LEH MMC AIG BA MMC AIG BA LEH MMC	09/04/01 09/04/01 09/04/01 09/04/01 09/06/01 09/06/01 09/06/01 09/07/01 09/07/01 09/07/01 09/07/01	S S S S S S S S S S S	600 200 100 100 500 200 100 1200 400 100 600	77.73 51.11 67.05 94.03 74.91 49.6 90.04 73 44.88 60.55 86.87	11/14/01	
(b) (4)	State St. Bank & Trust CM83	225 Franklin St. Boston, MA 02110	W & D Securities, Inc.	0535	(b) (4)	10/11/94	BA	09/04/01	S	12500	50.9155	11/14/01	
	State Street Baml & Trust Norfolk Employee Retirement	P.O. Box 9130 Boston, MA 02209	Merrill Lynch Inc.	0161		11/07/00	XL	09/04/01	S	28,000	82.64	10/10/01	
	State Street Bank & Trust	A/C (b) (4) Attn (b) (6), (b) (7)(C) 225 Franklin St Boston, MA	Goldman Sachs	0005		10/05/98	LEH	09/10/01	S	13400	61.71	10/31/01	Discusssed with SEC
	State Street Bank & Trust	A/C (b) (4) Attn (b) (6), (b) (7)(C) 225 Franklin St Boston, MA	Goldman Sachs	0005		10/05/98	MMC	09/10/01	S	7600	86.92	10/31/01	Discusssed with SEC
(b) (4)	State Street Bank & Trust a/c Evergren 100	P>O - Box 1713, Boston MA 02105	First Clearing Corp.	0141	(b) (4)	11/10/00	HOT	09/07/01	S	85,000	30.2212	10/08/01	Discusssed with SEC
	State Street Bank & Trust a/c Evergren 100	P>O> Box 1713, Boston MA 02105	First Clearing Corp.	0141		11/10/00	HOT	09/10/01	S	100,000	29.8059	10/08/01	Discusssed with SEC
	State Street Bank & Trust a/c HJXW Master Trust Division	Boston, MA 02105199	Spear, Leeds & Kellogg	0501		11/08/00	HOT	09/06/01	S	57,600	31.9899	10/10/01	Discusssed with SEC
	State Street Bank & Trust a/c HJXW State Street Bank & Trust Master Trust Division	P.O. Box 1992, Boston MA, 02105-1992	UBS PaineWebber	0221		08/13/01	HOT	09/06/01	S	142,400	31.9899	10/10/01	Discusssed with SEC
	State Street Bank & Trust CM11	Attn (b) (6), (b) (7)(C) PO Box 351 Boston, MA 02101-0351	Deutsche Bank	0573		04/14/93	AMR	08/29/01	S	1469	32.66	11/14/01	

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(b) (4)	State Street Bank & Trust CM11	Attn:(b) (6), (b) (7)(C) PO Box 351 Boston, MA 02101-0351	Deutsche Bank	0573	(b) (4)	04/14/93	AMR	08/31/01	S	1310	32	11/14/01	
	State Street Bank & Trust CM11	Attn:(b) (6), (b) (7)(C) PO Box 351 Boston, MA 02101-0351	Deutsche Bank	0573		04/14/93	DAL	08/29/01	S	1176	39.07	11/14/01	
	State Street Bank & Trust CM11	Attn:(b) (6), (b) (7)(C) PO Box 351 Boston, MA 02101-0351	Deutsche Bank	0573		04/14/93	DAL	08/31/01	S	1049	38.61	11/14/01	
(b) (4)	State Street Bank & Trust Co. A/C Neuberger Berman Century Portfolio	55 Water Street Plaza LVL 3rd Floor Boston, MA 02105	Merrill Lynch Corp.	0551	(b) (4)	09/10/01	AIG	09/10/01	S	400	73.63	10/03/01	Discusssed with SEC
	State Street Bank & Trust Co. A/C Neuberger Berman Century Portfolio	55 Water Street Plaza LVL 3rd Floor Boston, MA 02105	Merrill Lynch Corp.	0551		09/10/01	MMC	09/10/01	S	600	86.52	10/03/01	Discusssed with SEC
	State Street Bank & Trust Co. Putnam Research Fund	P.O. Box 9130 Boston, MA 02209	Merrill Lynch Inc.	0161		05/03/01	XL	09/04/01	S	287	82.64	10/10/01	Discusssed with SEC
	State Street Bank & Trust Co. A/C Fuji IM #(b) (4)	4-3-1 Toranomon Minato-Ku Tokyo 105-0001 Japan	Salomon Smith Barney	0418	(b) (4)	08/16/01	XL	09/04/01	S	240	82.38	10/15/01	Discusssed with SEC
(b) (4)	State Street Bank Summit Fund	1776 Heritage Dr. Quincy, MA 02171	BNY ESI & Co., Inc.	0100	(b) (4)	06/25/91	AXA	09/10/01	S	68,620	25.5813	09/25/01	Discusssed with SEC
	State Street Global Advisors	225 Franklin St. Boston, MA 02110	W & D Securities, Inc.	0535	(b) (4)	01/02/96	LLL	09/04/01	B	1600	66:0733	11/14/01	
	State Street Global Advisors	225 Franklin St. Boston, MA 02110	W & D Securities, Inc.	0535		09/06/96	AIG	09/07/01	S	3700	73.6187	11/14/01	
	State Street Global Advisors	225 Franklin St. Boston, MA 02110	W & D Securities, Inc.	0535		09/06/96	BA	09/04/01	S	31700	50.9155	11/14/01	
	State Street Global Advisors	225 Franklin St. Boston, MA 02110	W & D Securities, Inc.	0535		09/06/96	MET	09/04/01	S	8200	30.3172	11/14/01	
	State Street Global Advisors a/c (b) (4)	2 International Place - 32nd Floor Boston, MA 02110	Morgan Stanley	0050	(b) (4)	04/05/01	AIG	09/05/01	S	3900	73.99	11/14/01	
(b) (4)	State Street Global Advisors a/c (b) (4)	2 International Place - 32nd Floor Boston, MA 02110	Morgan Stanley	0050		04/05/01	AMR	08/31/01	S	200	31.99	11/14/01	
(b) (4)	State Street Global Advisors a/c (b) (4)	2 International Place - 32nd Floor Boston, MA 02110	Morgan Stanley	0050		04/05/01	AMR	09/05/01	S	400	31.99	11/14/01	
(b) (4)	State Street Global Advisors a/c (b) (4)	2 International Place - 32nd Floor Boston, MA 02110	Morgan Stanley	0050		04/05/01	DAL	08/31/01	S	300	38.6	11/14/01	
(b) (4)	State Street Global Advisors a/c (b) (4)	2 International Place - 32nd Floor Boston, MA 02110	Morgan Stanley	0050		04/05/01	DAL	09/05/01	S	200	38.95	11/14/01	
(b) (4)	State Street Global Advisors a/c (b) (4)	2 International Place - 32nd Floor Boston, MA 02110	Morgan Stanley	0050		04/05/01	LUV	09/05/01	S	1600	17.78	11/14/01	

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(b) (4)	State Street Global Advisors a/c (b) (4)	2 International Place - 32nd Floor Boston, MA 02110	Morgan Stanley	0050	(b) (4)	04/05/01	UAL	09/05/01	S	300	32.7	11/14/01	
	State Street Global Advisors a/c (b) (4)	2 International Place - 32nd Floor Boston, MA 02110	Deutsche Bank	0573		01/09/01	AIG	09/04/01	S	1600	77.74	11/14/01	
	State Street Global Advisors a/c (b) (4)	2 International Place - 32nd Floor Boston, MA 02110	Deutsche Bank	0573		01/09/01	MMC	09/04/01	S	300	93.91	11/14/01	
(b) (4)	Steeler Fund LTD	C/O Duquesne Capital MGMT 2579 Washington Road Pittsburgh, PA	Goldman Sachs	0005	(b) (4)	08/22/01	CNC	09/05/01	SS	36800	8.11	10/31/01	Discusssed with SEC
	Steeler Fund LTD	C/O Duquesne Capital MGMT 2579 Washington Road Pittsburgh, PA	Goldman Sachs	0005		01/02/01	CAL	09/07/01	SS	14700	40.19	10/31/01	Discusssed with SEC
(b) (4)	Steeler Fund LTD	C/O Duquesne Capital MGMT 2579 Washington Road Pittsburgh, PA	Goldman Sachs	0005	(b) (4)	01/02/01	CAL	09/10/01	SS	3700	39.38	10/31/01	Discusssed with SEC
	Steeler Fund, LTD	C/O Duquesne Capital Mgmt., LLC 2579 Washington Rd. Ste.322 Pittsburgh, PA 15241	Goldman Sachs & Co.	0005		12/26/95	HOT	09/05/01	SS*	36,800	33.22	10/01/01	Discusssed with SEC
(b)(6), (b)(7)(C)		(b) (6), (b) (7)(C)	PaineWebber Inc.	0221	(b) (6), (b) (7)(C)	03/19/01	AIG	09/05/01	S	70	76.5	11/14/01	
			PaineWebber Inc.	0221		03/19/01	AIG	09/05/01	S	40	76.5	11/14/01	
			PaineWebber Inc.	0221		03/19/01	BA	09/05/01	S	55	50.2	11/14/01	
			PaineWebber Inc.	0221		03/19/01	LUV	09/05/01	S	50	18.05	11/14/01	
			PaineWebber Inc.	0221		03/19/01	MMC	09/05/01	S	45	92.2	11/14/01	
(b)(6), (b)(7)(C)	(b)(6), (b)(7)(C) Trust C/O Goldman Sachs Asset Mgmt Attn: AMS Portfolio Admin.		Goldman, Sachs & Co.	0005		09/15/99	AIG	09/10/01	S	1200	74.4	11/14/01	
	(b)(6), (b)(7)(C) Trust C/O Goldman Sachs Asset Mgmt Attn: AMS Portfolio Admin.		Goldman, Sachs & Co.	0005		09/15/99	HOT	09/10/01	S	1070	29.97	11/14/01	

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(b) (6), (b) (7)(C)			PaineWebber Inc	0221	(b) (6), (b) (7)(C)	19/21/99	AIG	09/10/01	S	2365	74.014	11/14/01	
			PaineWebber Inc.	0221		19/21/99	DAL	09/10/01	S	1995	37.1549	11/14/01	
			PaineWebber Inc.	0221		10/21/99	AIG	09/10/01	S	765	74.014	11/14/01	
			PaineWebber Inc.	0221		10/21/99	DAL	09/10/01	S	715	37.15	11/14/01	
			Merrill Lynch, Inc.	0161		8/6/01	RTN	9/4/01	B	170	27.1	09/27/01	Discusssed with SEC
			Salomon Smith Barney	418	(b) (6), (b) (7)(C)	01/10/01	AIG	09/05/01	S	15	74.95	11/14/01	
			Salomon Smith Barney	418		01/10/01	AXA	09/05/01	S	35	25.43	11/14/01	
			Salomon Smith Barney	418		01/10/01	LLL	09/05/01	B	105	65.52	11/14/01	
			Salomon Smith Barney	418		08/27/01	XL	09/04/01	S	7	82.59	11/14/01	
(b) (4)	Strong Capital Mgmt	A/C Mellon Bank NA (b) (4) 100 Heritage Reserve PO Box 2936 Milwaukee, WI 53201	Bank of America	0773	(b) (4)	08/10/00	HLT	09/10/01	S	4,500	11.1912	10/01/01	
	Strong Capital Mgmt	A/C (b) (4) 100 Heritage Reserve PO Box 2936 Milwaukee, WI 53201	Bank of America	0773	(b) (4)	01/12/98	HLT	09/10/01	S	9,500	11.1912	10/01/01	
(b) (4)	Strong Capital Mgmt	A/C Mellon Trust (b) (4) 100 Heritage Reserve PO Box 2936 Milwaukee, WI 53201	Bank of America	0773	(b) (4)	05/06/97	HLT	09/10/01	S	10,600	11.1912	10/01/01	
	Strong Capital Mgmt	A/C (b) (4) 100 Heritage Reserve Menomonee Falls, WI 53051	Bank of America	0773		05/12/89	HLT	09/10/01	S	4,700	11.1912	10/01/01	

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(b) (4)	Strong Capital Mgmt	A/C (b) (4) 100 Heritage Reserve Menomonee Falls, WI 53051	Bank of America	0773	(b) (4)	01/13/94	HLT	09/10/01	S	400,000	11.1912	10/01/01	
(b) (4)	Strong Capital Mgmt	A/C (b) (4) 100 Heritage Reserve PO Box 2936 Milwaukee, WI 53201	Bank of America	0773	(b) (4)	02/01/96	HLT	09/10/01	S	1,500	11.1912	10/01/01	
(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	08/04/98	HLT	09/07/01	S	100	11.65	10/01/01	
			Salomon Smith Barney	0418		08/04/98	HLT	09/07/01	S	100	11.65	10/01/01	
			Merrill Lynch, Inc.	0161		08/18/99	AIG	09/04/01	S	50	77.79	09/27/01	SEC asked if Merrill Lynch had research
			Merrill Lynch, Inc.	0161		08/18/99	MMC	09/05/01	B	205	91.95	09/27/01	See Above
			Merrill Lynch, Inc.	0161		08/18/99	AIG	09/04/01	S	34	77.5	09/27/01	See Above
			Merrill Lynch, Inc.	0161		08/18/99	AXA	09/04/01	S	40	26.11	09/27/01	See Above
			Merrill Lynch, Inc.	0161		08/18/99	AXA	09/06/01	S	188	23.68	09/27/01	See Above
			Merrill Lynch, Inc.	0161		08/18/99	RTN	09/06/01	B	40	25.85	09/27/01	See Above
			Merrill Lynch, Inc.	0161		08/18/99	RTN	09/05/01	B	140	26.96	09/27/01	See Above
			Merrill Lynch, Inc.	0161		08/18/99	RTN	09/05/01	B	140	26.96	09/27/01	See Above
			Merrill Lynch, Inc.	0161		08/18/99	RTN	09/07/01	B	170	25.41	09/27/01	See Above
			Merrill Lynch, Inc.	0161		08/18/99	RTN	09/07/01	B	170	25.41	09/27/01	See Above
(b) (4)	Sunrise Partners LLC c/o Paloma Partners	2 American Lane Greenwich, CT 06831-2551	Bear Stearns Company	0352	(b) (4)	08/24/98	XL	09/07/01	SS	3,950	80.9	10/15/01	
(b) (4)	Susquehanna Financial GRP	Trading Account 401 City Line Ave Bala Cynwyd, PA	Merrill Lynch Pro	0551	(b) (4)	12/22/97	AIG	8/22/01-9/7/01	SS	34500		10/23/01	
	Susquehanna Financial GRP	Trading Account 401 City Line Ave Bala Cynwyd, PA	Merrill Lynch Pro	0551		12/22/97	AMR	8/29/01-9/7/01	SS	43000		10/23/01	
	Susquehanna Financial GRP	Trading Account 401 City Line Ave Bala Cynwyd, PA	Merrill Lynch Pro	0551		12/22/97	BA	9/5/01-9/6/01	SS	69000		10/23/01	
	Susquehanna Financial GRP	Trading Account 401 City Line Ave Bala Cynwyd, PA	Merrill Lynch Pro	0551		12/22/97	CAL	9/4/01-9/6/01	SS	12000		10/23/01	

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(b) (4)	Susquehanna Financial GRP	Trading Account 401 City Line Ave Bala Cynwyd, PA	Merrill Lynch Pro	0551	(b) (4)	12/22/97	DAL	9/6/01-9/7/01	SS	22500		10/23/01	
	Susquehanna Financial GRP	Trading Account 401 City Line Ave Bala Cynwyd, PA	Merrill Lynch Pro	0551		12/22/97	HLT	09/06/01	SS	5000		10/23/01	
	Susquehanna Financial GRP	Trading Account 401 City Line Ave Bala Cynwyd, PA	Merrill Lynch Pro	0551		12/22/97	LUV	09/07/01	SS	8500		10/23/01	
	Susquehanna Financial GRP	Trading Account 401 City Line Ave Bala Cynwyd, PA	Merrill Lynch Pro	0551		12/22/97	MWD	9/4/01-9/7/01	SS	12000		10/23/01	
	Susquehanna Financial GRP	Trading Account 401 City Line Ave Bala Cynwyd, PA	Merrill Lynch Pro	0551		12/22/97	UAL	8/22/01-9/7/01	SS	11000		10/23/01	
	Susquehanna Financial GRP	Trading Account 401 City Line Ave Bala Cynwyd, PA	Merrill Lynch Pro	0551		12/22/97	XL	9/4/01-9/7/01	SS	53500		10/23/01	
(b) (4)	Swiss Reinsurance Co. Ltd.	35 Wilson Street London, United Kingdom	Merrill Lynch Inc.	0161	(b) (4)	03/29/00	XL	09/04/01	S	2,800	83	10/10/01	
(b) (6), (b) (7)(C)			BNY Clearing Services	0262	(b) (6), (b) (7)(C)	05/29/01	LUV	09/06/01	S	300	17.9	10/08/01	
(b) (4)	Tactical Partners	Morgan Stanley & Co One Pierrepont Plaza Brooklyn, NY	ABN AMRO Inc.	0792	(b) (4)	03/07/89	AWE	09/04/01	S	18,847	14.9	10/08/01	
	Tactical Partners	Morgan Stanley & Co One Pierrepont Plaza Brooklyn, NY	ABN AMRO Inc.	0792		03/07/89	AWE	09/05/01	S	23,179	14.43	10/08/01	
	Tactical Partners	Morgan Stanley & Co One Pierrepont Plaza Brooklyn, NY	ABN AMRO Inc.	0792		03/07/89	AWE	09/07/01	S	23,627	13.5	10/08/01	
(b) (6), (b) (7)(C)			National Financial Services	0226	(b) (6), (b) (7)(C)	08/12/97	AMR	09/07/01	SS	1,000	29.9	10/01/01	Discusssed with SEC
			Salomon Smith Barney	0418		04/30/88	HLT	09/07/01	S	300	11.65	10/01/01	Discusssed with SEC
			Salomon Smith Barney	0418		04/30/88	HLT	09/07/01	S	1200	11.65	10/01/01	Discusssed with SEC
			Bear Stearns & Co.	0352		10/29/90	MWD	09/05/01	SS	14,000	52.5	09/27/01	
(b) (4)	Taos Limited C/O Merrill Lynch Int. Bank Ltd.	2 Raffles Link Marina Bayfront Singapore 039392	Merrill Lynch Inc.	0161	(b) (4)	03/27/00	XL	09/06/01	S	17	81.27	10/10/01	Discusssed with SEC
(b) (6), (b) (7)(C)			Charles Schwab & Co.	0164	(b) (6), (b) (7)(C)	05/05/94	CNC	09/07/01	SS	10,000	7.61	09/25/01	Discusssed with SEC
(b) (4)	Taylor Holding, LP Nicholas Applegate International	12 Malaga Court Palm Coast, FL 32137	Merrill Lynch, Inc.	0161	(b) (4)	12/26/00	AEG	09/04/01	S	40	28.83	10/08/01	
	Taylor Holding, LP Nicholas Applegate International	12 Malaga Court Palm Coast, FL 32137	Merrill Lynch, Inc.	0161		12/26/00	AXA	09/04/01	S	40	26.18	10/08/01	

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(b) (4)	Taylor Holding, LP Lord Abbett	12 Malaga Court Palm Coast, FL 32137	Merrill Lynch, Inc.	0161	(b) (4)	12/26/00	ALK	09/04/01	S	11	32.69	10/08/01	
	Taylor Holding, LP Lord Abbett	13 Malaga Court Palm Coast, FL 32137	Merrill Lynch, Inc.	0161		12/26/00	MEH	09/04/01	S	7	18.61	10/08/01	
	Taylor Holding, LP Lord Abbett	14 Malaga Court Palm Coast, FL 32137	Merrill Lynch, Inc.	0161		12/26/00	TWK	09/04/01 09/05/01	S S	10 37	13.96 13.8	10/08/01	
	Taylor Holding, LP Neuberger & Berman	12 Malaga Court Palm Coast, FL 32137	Merrill Lynch, Inc.	0161		12/26/00	AIG	09/04/01	S	92	77.5	10/08/01	
	Taylor Holding, LP Neuberger & Berman	12 Malaga Court Palm Coast, FL 32137	Merrill Lynch, Inc.	0161		12/26/00	BA	09/04/01	S	45	51.5	10/08/01	
	Taylor Holding, LP Neuberger & Berman	12 Malaga Court Palm Coast, FL 32137	Merrill Lynch, Inc.	0161		12/26/00	DAL	08/30/01	S	265	38.87	10/08/01	
	Taylor Holding, LP Neuberger & Berman	12 Malaga Court Palm Coast, FL 32137	Merrill Lynch, Inc.	0161		12/26/00	HLT	09/04/01	S	76	12.82	10/08/01	
(b) (4)	TD Securities Inc.	31 West 52nd Street 21st Floor New York, NY 10019-6101	Goldman Sachs & Co.	0005	(b) (4)	01/12/01	XL	09/04/01 09/04/01	SS SS	6600 6700	82.6 83	10/23/01	
(b) (6), (b) (7)(C)			Robb Peck & McCooey	0403	(b) (6), (b) (7)(C)	07/19/99	UAL	08/30/01	SS	400	32.43	10/02/01	
			Robb Peck & McCooey	0403		07/19/99	UAL	08/30/01	SS	1600	32.38	10/02/01	
(b)(6), (b)(7)(C)	Tehochem Labs Inc. P/S Trust DTD (b) (6), (b) (7)(C) (b) (6), (b) (7)(C)	(b)(6), (b)(7)(C)	First Clearing Corp.	0141	(b)(6), (b)(7)(C)	05/22/01	AIG	09/07/01	S	354	74.5	09/28/01	Account activity since July sent to SEC
	Tehochem Labs Inc. P/S Trust DTD (b) (6), (b) (7)(C) (b) (6), (b) (7)(C)		First Clearing Corp.	0141		05/22/01	CNC	09/07/01	S	1000	7.6	09/28/01	
	Tehochem Labs Inc. P/S Trust DTD (b) (6), (b) (7)(C) (b) (6), (b) (7)(C)		First Clearing Corp.	0141		05/22/01	CNC	09/10/01	S	750	7.59	09/28/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch	161	(b) (6), (b) (7)(C)	03/08/01	AIG	09/04/01	S	55	76.7	11/14/01	
			Merrill Lynch	161		03/08/01	AXA	09/04/01	S	50	26	11/14/01	
			Merrill Lynch	161		03/08/01	BA	09/04/01	S	40	49.83	11/14/01	
			Merrill Lynch	161		03/08/01	MMC	09/04/01	S	20	92.08	11/14/01	
(b) (4)	Texas Commerce Bank		Sanford C. Bernstein & Co.	0013	(b) (4)	10/05/99	AIG	09/05/01	S	51941 19363	74 74.30	09/26/01	

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(b) (4)	Texas Commerce Bank	P.O. Box 2558 Houston, TX 77252-2558	Credit Suisse First Boston Corp.	0443	(b)(4)	05/13/99	AIG	09/07/01	S	500	73.53	10/03/01	
	TFM Investment	G3D NOM 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/31/93	LUV	09/10/01	S	500	16.78	10/08/01	
	TFM Investment	G3D NOM 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/31/93	LUV	09/10/01	S	10,000	16.6	10/08/01	
	TFM Investment	G3D NOM 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/31/93	LUV	09/07/01	S	35,000	16.94	10/08/01	
	TFM Investment	(b)(6), (b)(7)(C) 1900 Market Street Philadelphia, PA	ABN AMRO Chicago Corp.	0606		NA	CAL	05/14/01	B	500	42.49	10/08/01	
	TFM Investment	(b)(6), (b)(7)(C) 1900 Market Street Philadelphia, PA	ABN AMRO Chicago Corp.	0606		NA	CAL	05/14/01	B	500	42.51	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/06/01	SS	100	49.45	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/04/01	B	100	54.2	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/07/01	SS	200	47.7	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/07/01	SS	200	48.45	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/06/01	SS	200	49.34	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/10/01	SS	300	47.8	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/07/01	SS	300	48.2	10/08/01	
(b) (4)	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/06/01	SS	300	49.44	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/06/01	SS	300	49.45	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/07/01	SS	500	47.7	10/08/01	

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(b) (4)	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690	(b)(4)	08/09/00	MWD	09/07/01	SS	500	48.2	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/07/01	SS	500	48.89	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/06/01	SS	500	49.34	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/05/01	SS	500	50.52	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/05/01	SS	500	51.06	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/05/01	SS	500	51.41	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/05/01	SS	500	52.18	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/04/01	S	500	54.01	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/05/01	SS	700	51.45	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/04/01	B	700	54.2	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/10/01	B	800	48.84	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/06/01	SS	1,000	49.9	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/06/01	SS	1,000	50.1	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/05/01	SS	1,000	50.9	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/05/01	B	1,000	51.43	10/08/01	
	TFM Investment	G3D 440 S. Lasalle Street Chicago, IL	First Options of Chicago	0690		08/09/00	MWD	09/04/01	SS	1,500	52.2	10/08/01	

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Dreyfus Brokerage Services	0272	(b) (6), (b) (7)(C)	03/22/90	AMR	09/05/01	SS	200	31.58	11/14/01	
			Dreyfus Brokerage Services	0272		03/22/90	LLL	09/07/01	SS	100	62.02	11/14/01	
			Dreyfus Brokerage Services	0272		03/22/90	LLL	09/07/01	B	100	63.11	11/14/01	
(b) (4)	Thales Holdings Ltd.	140 Broadway 45 Th Fl. New York NY 10005	Bear Stearns & Co.	0352	(b) (4)	02/19/99	AIG	09/06/01-09/07/01	SS	95,400	NA	09/25/01	Discussed with SEC
	Thales Holdings Ltd.	140 Broadway 45 Th Fl. New York NY 10005	Bear Stearns & Co.	0352		02/19/99	CNC	09/04/01-09/06/01	SS	97,000	NA	09/25/01	Discussed with SEC
	Thales Holdings Ltd.	140 Broadway 45 Th Fl. New York NY 10005	Bear Stearns & Co.	0352		02/19/99	MMC	09/04/01-09/06/01	SS	236,600	NA	09/25/01	Discussed with SEC
(b) (4)	The New Zealand Guardian Trust Co Ltd c/o Dresdner RCM Global A/C NZGT FE	4 Embarcadero Center Suite 2800 San Francisco, CA 94111-5988	Bear Stearns Company	0352	(b) (4)	07/27/00	XL	09/06/01	S	4,825	81.35	10/15/01	
(b) (4)	The Northern Trust Co	A/C (b) (4) Box 92923 Chicago, IL	Merrill Lynch, Inc.	0161	(b) (4)	10/05/99	AIG	09/10/01	S	6500	74.2	10/01/01	
	The Northern Trust Co	A/C (b) (4) Box 92923 Chicago, IL	Merrill Lynch, Inc.	0161		10/05/99	AMR	09/10/01	S	3000	29.69	10/01/01	
	The Northern Trust Co	A/C (b) (4) Box 92923 Chicago, IL	Merrill Lynch, Inc.	0161		10/05/99	DAL	09/10/01	S	2900	37.37	10/01/01	
	The Northern Trust Co	A/C (b) (4) Box 92923 Chicago, IL	Merrill Lynch, Inc.	0161		10/05/99	MMC	09/10/01	S	5800	86.8	10/01/01	
(b) (4)	The One Group Equity	Banc one Investment Adv. Equity Trading PO Box 710211 1111 Polaris PKY	Goldman Sachs	0005	(b) (4)	12/15/94	AIG	09/04/01	S	6394	76.5	10/31/01	Discussed with SEC
	The One Group Equity	Banc one Investment Adv. Equity Trading PO Box 710211 1111 Polaris PKY	Goldman Sachs	0005		12/15/94	AMR	09/04/01	S	375	32.28	10/31/01	Discussed with SEC
	The One Group Equity	Banc one Investment Adv. Equity Trading PO Box 710211 1111 Polaris PKY	Goldman Sachs	0005		12/15/94	BA	09/04/01	S	2127	49.95	10/31/01	Discussed with SEC
	The One Group Equity	Banc one Investment Adv. Equity Trading PO Box 710211 1111 Polaris PKY	Goldman Sachs	0005		12/15/94	CNC	09/04/01	S	823	8.45	10/31/01	Discussed with SEC

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(b) (4)	The One Group Equity	Banc one Investment Adv. Equity Trading PO Box 710211 1111 Polaris PKY	Goldman Sachs	0005	(b) (4)	12/15/94	DAL	09/04/01	S	300	39	10/31/01	Discussed with SEC
	The One Group Equity	Banc one Investment Adv. Equity Trading PO Box 710211 1111 Polaris PKY	Goldman Sachs	0005		12/15/94	HLT	09/04/01	S	899	12.65	10/31/01	Discussed with SEC
	The One Group Equity	Banc one Investment Adv. Equity Trading PO Box 710211 1111 Polaris PKY	Goldman Sachs	0005		12/15/94	HOT	09/04/01	S	483	33.75	10/31/01	Discussed with SEC
	The One Group Equity	Banc one Investment Adv. Equity Trading PO Box 710211 1111 Polaris PKY	Goldman Sachs	0005		12/15/94	LEH	09/04/01	S	599	66.13	10/31/01	Discussed with SEC
	The One Group Equity	Banc one Investment Adv. Equity Trading PO Box 710211 1111 Polaris PKY	Goldman Sachs	0005		12/15/94	LUV	09/04/01	S	1858	18.25	10/31/01	Discussed with SEC
	The One Group Equity	Banc one Investment Adv. Equity Trading PO Box 710211 1111 Polaris PKY	Goldman Sachs	0005		12/15/94	MMC	09/04/01	S	672	92.18	10/31/01	Discussed with SEC
	The One Group Equity	Banc one Investment Adv. Equity Trading PO Box 710211 1111 Polaris PKY	Goldman Sachs	0005		12/15/94	RTN	09/04/01	S	866	26.96	10/31/01	Discussed with SEC
	The One Group Equity	Banc one Investment Adv. Equity Trading PO Box 710211 1111 Polaris PKY	Goldman Sachs	0005		12/15/94	U	09/04/01	S	164	12.9	10/31/01	Discussed with SEC
	The One Group Equity	Banc one Investment Adv. Equity Trading PO Box 710211 1111 Polaris PKY	Goldman Sachs	0005		12/15/94	XL	09/04/01	S	305	82.01	10/31/01	Discussed with SEC
(b) (4)	The Phillips-Osborne School	150 Gillette Painesville, OH	MS Dean Witter	0015	(b) (4)	12/06/99	AXA	09/06/01	S	81	23.82	10/31/01	
	The Phillips-Osborne School	150 Gillette Painesville, OH	MS Dean Witter	0015		12/06/99	LUV	09/06/01	S	217	17.64	10/31/01	

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(b) (4)	The Phillips-Osborne School	150 Gillette Painesville, OH	MS Dean Witter	0015	(b) (4)	12/06/99	AXA	09/06/01	S	55	23.82	10/31/01	
	The Phillips-Osborne School	150 Gillette Painesville, OH	MS Dean Witter	0015		12/06/99	LUV	09/06/01	S	172	17.64	10/31/01	
	The Phillips-Osborne School	150 Gillette Painesville, OH	MS Dean Witter	0015		12/06/99	AXA	09/06/01	S	75	23.81	10/31/01	
	The Phillips-Osborne School	150 Gillette Painesville, OH	MS Dean Witter	0015		12/06/99	LUV	09/06/01	S	190	17.63	10/31/01	
(b) (6), (b) (7)(C)			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161	(b) (6), (b) (7)(C)	03/27/98	XL	09/05/01	S	15	82.05	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		03/27/98	ALK	09/05/01	S	41	32.2	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		03/27/98	AIG	09/05/01	S	5	73.7	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		03/27/98	AXA	09/05/01	S	5	25.1	11/14/01	
			Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		03/27/98	AIG	09/05/01	S	15	73.6	11/14/01	
(b) (4)	Tiberius Master Fund Ltd.	120 Broadway 7th Floor Suite 3032 New York, NY 10271	Spear Leeds & Kellogg	0501	(b) (4)	04/02/01	BA	09/10/01	SS	1,000	44.8	10/08/01	Discussed with SEC
	Tiberius Master Fund Ltd.	120 Broadway 7th Floor Suite 3032 New York, NY 10271	Spear Leeds & Kellogg	0501		04/06/01	BA	09/07/01	SS	1,000	46.78	10/08/01	Discussed with SEC
(b) (4)	Tidewater Value	Virgina Retirement System	Bear Stearns	0352	(b) (4)	01/11/99	AIG	09/10/01	S	300	73.5	10/31/01	
	Tidewater Value	Virgina Retirement System	Bear Stearns	0352		01/11/99	BA	09/10/01	S	7500	45.42	10/31/01	
(b) (4)	Tiger Management (Morgan Stanley & Co inc a/c Tiger management LLC execution account)	1221 Avenue of the Americas, New York, NY 10020	Goldman Sachs & Co	0005	(b) (4)	09/07/01	HLT	09/10/01	S	101,800	11.294	10/08/01	
	Tiger Management (Morgan Stanley & Co inc a/c Tiger management LLC execution account)	1221 Avenue of the Americas, New York, NY 10020	Goldman Sachs & Co	0005		09/07/01	HLT	09/07/01	S	103,200	11.4773	10/08/01	
(b) (4)	Tiger Management (Morgan Stanley P/B FAO Tiger Management attn (b) (6), (b) (7)(C)	1221 Avenue of the Americas, New York, NY 10020	UBS Warburg	0642	(b) (4)	01/18/01	UAL	09/04/01	S	62,600	32.7814	10/08/01	
	Tiger Partners LP	101 Park Ave New York NY	Morgan Stanley & Co.	0050		07/11/00	DAL	08/29/01	SS	7,900	39.19	09/26/01	Discussed with SEC
	Tiger Partners LP	101 Park Ave New York NY	Morgan Stanley & Co.	0050		07/11/00	DAL	08/30/01	SS	69,200	38.9	09/26/01	Discussed with SEC
	Tiger Partners LP	101 Park Ave New York NY	Morgan Stanley & Co.	0050		07/11/00	UAL	08/29/01	SS	11,700	32.68	09/26/01	Discussed with SEC
	Tiger Partners LP	101 Park Ave New York NY	Morgan Stanley & Co.	0050		07/11/00	UAL	09/04/01	SS	62,600	32.78	09/26/01	Discussed with SEC

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(b) (4)	Tiger Partners LP	101 Park Ave New York NY	Morgan Stanley & Co.	0050	(b) (4)	07/11/00	UAL	08/30/01	SS	83,100	32.58	09/26/01	Discussed with SEC
	Tiger/Jaguar	Morgan Stanley & Co. Attn: Prime Broker Services 1221 Ave of Americas New York, NY	Goldman Sachs	0005		10/01/85	UAL	08/29/01	SS	189600	32.68	10/31/01	Discussed with SEC
(b) (4)	Timber Hill LLC	465 Columbus Ave. Sutton Park North Valhalla, NY 10595	Interactive Brokers, Inc.	0017	(b) (4)	11/01/00	AIG	09/04/01-09/10/01	SS	22,363	NA	09/25/01	See Above
	Timber Hill LLC	465 Columbus Ave. Sutton Park North Valhalla, NY 10595	Interactive Brokers, Inc.	0017		11/01/00	AIG	09/04/01-09/10/01	S	131,861	NA	09/25/01	See Above
	Timber Hill LLC	465 Columbus Ave. Sutton Park North Valhalla, NY 10595	Interactive Brokers, Inc.	0017		11/01/00	AIG	09/04/01-09/10/01	B	279,103	NA	09/25/01	See Above
	Timber Hill LLC	465 Columbus Ave. Sutton Park North Valhalla, NY 10595	Interactive Brokers, Inc.	0017		11/01/00	AZ	09/04/01-09/10/01	SS	2,400	NA	09/25/01	See Above
	Timber Hill LLC	465 Columbus Ave. Sutton Park North Valhalla, NY 10595	Interactive Brokers, Inc.	0017		11/01/00	AZ	09/04/01-09/10/01	S	7,000	NA	09/25/01	See Above
	Timber Hill LLC	465 Columbus Ave. Sutton Park North Valhalla, NY 10595	Interactive Brokers, Inc.	0017		11/01/00	AZ	09/04/01-09/10/01	B	9,400	NA	09/25/01	See Above
	Timber Hill LLC	465 Columbus Ave. Sutton Park North Valhalla, NY 10595	Interactive Brokers, Inc.	0017		11/01/00	CNC	09/04/01-09/10/01	S	0	NA	09/25/01	SEC given name of contact person and name of person authorized to place trades
(b) (4)	Timber Hill LLC	465 Columbus Ave. Sutton Park North Valhalla, NY 10595	Interactive Brokers, Inc.	0017	(b) (4)	11/01/00	CNC	09/04/01-09/10/01	B	3,500	NA	09/25/01	See Above
	Timber Hill LLC	465 Columbus Ave. Sutton Park North Valhalla, NY 10595	Interactive Brokers, Inc.	0017		11/01/00	CNC	09/04/01-09/10/01	SS	66,760	NA	09/25/01	See Above
(b) (4)	Touma Foundation attn (b) (6), (b) (7)(C)	(b) (6), (b) (7)(C) (b)(6), (b)(7)(C)	Salomon Smith Barney	0418	(b) (4)	7/6/94	HOT	09/06/01	S	91	32.05	10/01/01	See Other Touma Accounts
	Touma Foundation attn (b) (6), (b) (7)(C)		Salomon Smith Barney	0418		7/6/94	HOT	09/04/01	S	91	33.9	10/01/01	See Other Touma Accounts
(b) (4)	Tour Societe General	17 Cours Valmy Paris, France	First Providence Financial Group, LLC	0286	(b) (4)	06/26/98	UAL	08/16/01-09/10/01	SS	35,000	NA	09/25/01	Account details faxed to SEC on 9/27/01
	Tour Societe General	17 Cours Valmy Paris, France	First Providence Financial Group, LLC	0286		06/26/98	UAL	08/16/01-09/10/01	S	38,900	NA	09/25/01	See Above
	Tour Societe General	17 Cours Valmy Paris, France	First Providence Financial Group, LLC	0286		06/26/98	UAL	08/16/01-09/10/01	B	122,200	NA	09/25/01	See Above

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(b) (4)	Trenza LP Merrill Lynch Int. Bank & Trust Co.	2 Raffles Link Marina Bayfront Singapore 039392	Merrill Lynch Inc.	0161	(b) (4)	04/05/01	XL	09/05/01	S	5	81.71	10/10/01	Discussed with SEC
(b) (6), (b) (7)(C)			Credit Suisse First Boston Corp.	0443	(b) (6), (b) (7)(C)	10/13/00	AXA	09/04/01	S	102	26.27	10/02/01	New Account documents; statements from 6/01to 8/01 sent to SEC on 10/10/01
(b) (4)	Trident Global Investors Portfolio LTD	PO Box 2003 British American Centre, Phase 3 (b)(6), (b)(7)(C) Georgetown Grand Cayman, Cayman Islands	Bear Stearns & Co.	0352	(b) (4)	11/25/98	HOT	09/07/01	SS	6,800	29.76	10/01/01	Contact number & who places orders for them given to SEC. Also discussed with SEC in connection with UCO short sale review
(b) (4)	Trident Global Investors Portfolio LTD	PO Box 2003 British American Centre, Phase 3 (b)(6), (b)(7)(C) Georgetown Grand Cayman, Cayman Islands	Bear Stearns & Co.	0352	(b) (4)	11/25/98	UAL	09/07/01	SS	6,800	31.05	10/01/01	See Above
(b) (4)	Trident Global Investors Portfolio LTD	151 Yonge St. 11FL Toronto, ON M5C 2W7 Canada	Bear Stearns & Co.	0352		03/02/01	HOT	09/07/01	SS	1,200	29.76	10/01/01	See Above
	Trident Global Investors Portfolio LTD	151 Yonge St. 11FL Toronto, ON M5C 2W7 Canada	Bear Stearns & Co.	0352		03/02/01	UAL	09/07/01	SS	1,200	31.05	10/01/01	See Above
	Trinity Fund, Ltd.	1819 Goodwin St Jacksonville, FL 32204	Goldman Sachs & Co.	0005		06/20/95	CNC	09/04/01 09/06/01 09/07/01	SS SS SS	160,000 160,000 160,000	8.675 7.99 7.40	09/27/01	Discussed with SEC and sent information on UCO trades to SEC on 10/09/01
(b) (6), (b) (7)(C)			Charles Schwab & Co.	0164	(b) (6), (b) (7)(C)	12/04/99	AXA	09/06/01 09/06/01	SS SS	400 100	23.72 23.69	10/02/01	
(b) (4)	Turner Investment Partners	Turner A/C (b) (4) 1235 Westlakes Drive Berwyn, PA	Salomon Smith Barney	0418	(b) (4)	01/08/97	AIG	09/06/01	S	610	75.5	10/08/01	
	Turner Investment Partners	Turner A/C (b) (4) 1235 Westlakes Drive Berwyn, PA	Salomon Smith Barney	0418		01/08/97	AMR	09/06/01	S	240	31.27	10/08/01	
	Turner Investment Partners	Turner A/C (b) (4) 1235 Westlakes Drive Berwyn, PA	Salomon Smith Barney	0418		01/08/97	LUV	09/06/01	S	490	17.97	10/08/01	
	Turner Investment Partners	Turner A/C (b) (4) 1235 Westlakes Drive Berwyn, PA	Salomon Smith Barney	0418		01/08/97	MWD	09/06/01	S	260	50.02	10/08/01	

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(b) (4)	UBS AG FBO UBS O'Connor	227 Elgin Avenue P.O. Box 852 Georgetown Grand Cayman, Cayman Islands	UBS Warburg LLC	0642	(b)(4)	05/30/00	XL	09/04/01	SS	27,000	82.69	10/08/01	Discussed with SEC
	UBS AG London	100 Liverpool Street London EC2M 2RH United Kingdom	UBS Warburg LLC	0642		06/29/99	XL	09/04/01	S	507	82.01	10/08/01	
	UBS Brinson A/C Schroder . Muchmeyere Hengst	1 New York Plaza 48th Floor New York, NY 10004	UBS Warburg LLC	0642		07/18/01	XL	09/07/01	S	600	80.8	10/08/01	
	UBS Luxembourg Brown Brothers Harriman	525 Washington Blvd. 11th Floor Jersey City, NJ 07310	Merrill Lynch Inc.	0161		03/23/01	XL	09/04/01	S	700	83	10/10/01	
(b) (4)	UFJ Asset Management	A/C (b) (4) Nihonbashi-Muromachi Center 3-2-15 Nihonbashi-Muromachi Chuo-Ku Tokyo	Goldman Sachs	0005		07/16/98	AIG	09/05/01	S	50	74.43	10/31/01	
(b) (4)	UFJ Asset Management	A/C (b) (4) Nihonbashi-Muromachi Center 3-2-15 Nihonbashi-Muromachi Chuo-Ku Tokyo	Goldman Sachs	0005		07/16/98	BA	09/05/01	S	50	50.41	10/31/01	
(b) (4)	UFJ Asset Management	A/C (b) (4) Nihonbashi-Muromachi Center 3-2-15 Nihonbashi-Muromachi Chuo-Ku Tokyo	Goldman Sachs	0005		01/21/99	BA	09/05/01	S	2500	50.41	10/31/01	
(b) (4)	UFJ Asset Management	A/C (b) (4) Nihonbashi-Muromachi Center 3-2-15 Nihonbashi-Muromachi Chuo-Ku Tokyo	Goldman Sachs	0005		01/21/99	DAL	09/05/01	S	800	38.84	10/31/01	
(b) (4)	UFJ Asset Management	A/C (b) (4) Nihonbashi-Muromachi Center 3-2-15 Nihonbashi-Muromachi Chuo-Ku Tokyo	Goldman Sachs	0005		01/21/99	MMC	09/05/01	S	500	91.97	10/31/01	
(b) (4)	UFJ Asset Management	A/C (b) (4) Nihonbashi-Muromachi Center 3-2-15 Nihonbashi-Muromachi Chuo-Ku Tokyo	Goldman Sachs	0005		01/21/99	AIG	09/05/01	S	100	74.43	10/31/01	Discussed with SEC

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(b) (4)	UFJ Asset Management	A/C (b) (4) Nihonbashi-Muromachi Center 3-2-15 Nihonbashi-Muromachi Chuo-Ku Tokyo	Goldman Sachs	0005	(b)(4)	01/21/99	BA	09/05/01	S	100	50.41	10/31/01	Discussed with SEC
	UFJ Asset Management	A/C (b) (4) Nihonbashi-Muromachi Center 3-2-15 Nihonbashi-Muromachi Chuo-Ku Tokyo	Goldman Sachs	0005		10/10/00	AIG	09/05/01	S	100	74.43	10/31/01	Discussed with SEC
	UFJ Asset Management	A/C (b) (4) Nihonbashi-Muromachi Center 3-2-15 Nihonbashi-Muromachi Chuo-Ku Tokyo	Goldman Sachs	0005		10/10/00	BA	09/05/01	S	100	50.41	10/31/01	Discussed with SEC
	UFJ Asset Management	A/C (b) (4) Nihonbashi-Muromachi Center 3-2-15 Nihonbashi-Muromachi Chuo-Ku Tokyo	Goldman Sachs	0005		09/11/00	BA	09/05/01	S	100	50.41	10/31/01	Discussed with SEC
(b) (4)	UFJ Asset Management	A/C (b) (4) Nihonbashi-Muromachi Center 3-2-15 Nihonbashi-Muromachi Chuo-Ku Tokyo	Goldman Sachs	0005		09/11/00	MMC	09/05/01	S	100	91.97	10/31/01	Discussed with SEC
	UFJ Asset Management	A/C (b) (4) Nihonbashi-Muromachi Center 3-2-15 Nihonbashi-Muromachi Chuo-Ku Tokyo	Goldman Sachs	0005		11/15/01	AIG	09/05/01	S	100	74.43	10/31/01	Discussed with SEC
	UFJ Asset Management	A/C (b) (4) (b) (4) Nihonbashi-Muromachi Center 3-2-15 Nihonbashi-Muromachi Chuo-Ku Tokyo	Goldman Sachs	0005		09/05/01	AIG	09/05/01	S	200	74.43	10/31/01	Discussed with SEC
	UFJ Asset Management	A/C (b) (4) (b) (4) Nihonbashi-Muromachi Center 3-2-15 Nihonbashi-Muromachi Chuo-Ku Tokyo	Goldman Sachs	0005		09/05/01	BA	09/05/01	S	200	50.41	10/31/01	Discussed with SEC

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(b) (4)	UFJ Asset Management	A/C (b) (4) Nihonbashi-Muromachi Center 3-2-15 Nihonbashi-Muromachi Chuo-Ku Tokyo	Goldman Sachs	0005	(b)(4)	09/21/00	BA	09/05/01	S	300	50.41	10/31/01	Discussed with SEC
	UNION BANK OF SWITZERLAND	UNION BANK OF SWITZERLAND BAHNHOFSTR 45 OGI3 8021 ZURICH SWITZERLAND	Salomon Smith Barney, Inc	0418		06/30/76	BA	09/05/01	S	204,199	50.4658	10/23/01	Discussed with SEC
	Uptown	JP Morgan Investment Management 522 5th Ave 11th Fl (b)(6), (b)(7)(C) New York, NY	NFS	0226		08/08/96	AIG	09/06/01	S	300	75.1	10/23/01	
	Uptown	JP Morgan Investment Management 522 5th Ave 11th Fl (b)(6), (b)(7)(C) New York, NY	NFS	0226		08/08/96	AIG	09/07/01	S	300	75	10/23/01	
	Uptown	JP Morgan Investment Management 522 5th Ave 11th Fl (b)(6), (b)(7)(C) New York, NY	NFS	0226		08/08/96	LUV	09/07/01	S *	600	17.53	10/23/01	
	Uptown	JP Morgan Investment Management 522 5th Ave 11th Fl (b)(6), (b)(7)(C) New York, NY	NFS	0226		08/08/96	MMC	09/06/01	S	5400	89.77	10/23/01	
(b) (4)	va-1 Stock Index Account	Bankers Trust New York, NY	Spear Leeds & Kellogg	501		10/26/95	AIG	09/05/01	S	400	75.1	11/14/01	
	va-1 Stock Index Account	Bankers Trust New York, NY	Spear Leeds & Kellogg	501		10/26/95	AIG	09/07/01	S	1200	75.06	11/14/01	
	va-1 Stock Index Account	Bankers Trust New York, NY	Spear Leeds & Kellogg	501		10/26/95	AMR	09/07/01	S	100	31.07	11/14/01	
	va-1 Stock Index Account	Bankers Trust New York, NY	Spear Leeds & Kellogg	501		10/26/95	BA	09/05/01	S	5000	50.03	11/14/01	
	va-1 Stock Index Account	Bankers Trust New York, NY	Spear Leeds & Kellogg	501		10/26/95	BA	09/07/01	S	400	47.52	11/14/01	
	va-1 Stock Index Account	Bankers Trust New York, NY	Spear Leeds & Kellogg	501		10/26/95	HOT	09/07/01	S	100	30.12	11/14/01	
	va-1 Stock Index Account	Bankers Trust New York, NY	Spear Leeds & Kellogg	501		10/26/95	LEH	09/07/01	S	500	61.17	11/14/01	
	va-1 Stock Index Account	Bankers Trust New York, NY	Spear Leeds & Kellogg	501		10/26/95	LUV	09/07/01	S	400	17.69	11/14/01	
	va-1 Stock Index Account	Bankers Trust New York, NY	Spear Leeds & Kellogg	501		10/26/95	MWD	09/06/01	S	100	50.92	11/14/01	

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(b) (4)	va-1 Stock Index Account	Bankers Trust New York, NY	Spear Leeds & Kellogg	501	(b) (4)	10/26/95	MWD	09/07/01	S	600	48.55	11/14/01	
	va-1 Stock Index Account	Bankers Trust New York, NY	Spear Leeds & Kellogg	501		10/26/95	U	09/05/01	B	100	12.86	11/14/01	
(b) (6), (b) (7)(C)			DLJ	0443	(b) (6), (b) (7)(C)		HOT	09/06/01	S	500	31.06	09/28/01	New account documents; statements from 7/01 to present sent to SEC on 10/11/01
(b) (4)	Value Line Inc a/c Leveraged Growth Investor	220 East 42nd Street, New York, NY 10017	Deutsche Bank Alex Brown	0573	(b) (4)	03/14/96	LEH	09/05/01	S	89,000	65.2828	10/08/01	
	Value Line Leveraged Growth Investors Inc Fund 5825 ATTN (b) (6), (b) (7)(C)	220 East 42nd Street, New York, NY 10017	Credt Suisse First Boston/ DLJ	0443		09/29/99	BA	09/05/01	S	90,000	50.5067	10/08/01	
(b) (6), (b) (7)(C)			W & D Securities, Inc.	0535	(b) (6), (b) (7)(C)		CAL	9/7/01	S	200		09/28/01	Discussed with SEC
			W & D Securities, Inc.	0535			RTN	9/7/01	B	500		09/28/01	Discussed with SEC
(b) (4)	Varikino	7305 San Dario Avenue PMB 379 Laredo, TX 78045-7216	Bear Stearns & Co.	0352	(b) (4)	12/17/99	CNC	09/07/01	SS	137,000	7.058	09/27/01	Discussed with SEC
(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	06/09/93	AXA	09/04/01	S	54	26.08	10/02/01	
			Merrill Lynch, Inc.	0161		01/02/01	ALK	09/07/01	S	49	30.46	10/01/01	
			Merrill Lynch, Inc.	0161		01/02/01	AXA	09/07/01	S	107	23.37	10/01/01	
			Bear Stearns & Co.	0352		11/10/95	MWD	09/05/01	S	180	51.9001	09/27/01	
			Bear Stearns & Co.	0352		11/10/95	MWD	09/05/01	S	760	51.9001	09/27/01	
			Salomon Smith Barney	0418		03/12/01	AIG	09/07/01	S	500	72.92	10/08/01	
			Salomon Smith Barney	0418		03/12/01	MWD	09/07/01	S	750	47.76	10/08/01	
(b) (4)	Villanova Capital A/C Capital Strategy North America Fund	1200 River Road Conshohocken, PA 19428	Goldman, Sachs & Co.	0005	(b) (4)	06/21/01	AIG	09/07/01	S	390	75.455	11/14/01	
	Villanova Capital A/C Capital Strategy North America Fund	1200 River Road Conshohocken, PA 19428	Goldman, Sachs & Co.	0005		06/21/01	AMR	09/07/01	S	620	30.855	11/14/01	
	Villanova Capital A/C Capital Strategy North America Fund	1200 River Road Conshohocken, PA 19428	Goldman, Sachs & Co.	0005		06/21/01	BA	09/07/01	S	200	47.345	11/14/01	
	Villanova Capital A/C Capital Strategy North America Fund	1200 River Road Conshohocken, PA 19428	Goldman, Sachs & Co.	0005		06/21/01	LUV	09/07/01	S	1010	17.6366	11/14/01	
	Villanova Capital A/C Gartmore American Growth Fund	1200 River Road Conshohocken, PA 19428	Goldman, Sachs & Co.	0005		06/20/01	AIG	09/04/01	S	1300	77.4646	11/14/01	

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(b) (4)	Villanova Capital A/C Gartmore American Growth Fund	1200 River Road Conshohocken, PA 19428	Goldman, Sachs & Co.	0005	(b)(4)	06/20/01	AIG	09/07/01	S	600	75.455	11/14/01	
	Villanova Capital A/C Gartmore American Growth Fund	1200 River Road Conshohocken, PA 19428	Goldman, Sachs & Co.	0005		06/20/01	AMR	09/04/01	S	2000	32.2705	11/14/01	
	Villanova Capital A/C Gartmore American Growth Fund	1200 River Road Conshohocken, PA 19428	Goldman, Sachs & Co.	0005		06/20/01	AMR	09/07/01	S	900	30.855	11/14/01	
	Villanova Capital A/C Gartmore American Growth Fund	1200 River Road Conshohocken, PA 19428	Goldman, Sachs & Co.	0005		06/20/01	BA	09/04/01	S	600	51.0583	11/14/01	
	Villanova Capital A/C Gartmore American Growth Fund	1200 River Road Conshohocken, PA 19428	Goldman, Sachs & Co.	0005		06/20/01	BA	09/07/01	S	300	47.345	11/14/01	
	Villanova Capital A/C Gartmore American Growth Fund	1200 River Road Conshohocken, PA 19428	Goldman, Sachs & Co.	0005		06/20/01	LUV	09/04/01	S	3300	18.3212	11/14/01	
	Villanova Capital A/C Gartmore American Growth Fund	1200 River Road Conshohocken, PA 19428	Goldman, Sachs & Co.	0005		06/20/01	LUV	09/07/01	S	1500	17.6366	11/14/01	
	Villanova Capital A/C Long Term Balanced Strat Fund	1200 River Road Conshohocken, PA 19428	Goldman, Sachs & Co.	0005		06/20/01	AMR	08/23/01	B	650	32.3922	11/14/01	
	Villanova Capital A/C Medium Term Balanced Strat Fund	1200 River Road Conshohocken, PA 19428	Goldman, Sachs & Co.	0005		06/20/01	AMR	08/23/01	B	20	32.3922	11/14/01	
	Vinik Asset Management	1 Pierrepont Plaza Brooklyn, NY 11201	Morgan Stanley & Co.	0050		07/30/96	AIG	09/04/01	S	4,400	77.8041	09/28/01	
	Vinik Asset Management	1 Pierrepont Plaza Brooklyn, NY 11201	Morgan Stanley & Co.	0050		07/30/96	AIG	09/04/01	S	5,600	77.7	09/28/01	
	Vinik Asset Management	1 Pierrepont Plaza Brooklyn, NY 11201	Morgan Stanley & Co.	0050		07/30/96	AIG	09/04/01	S	10,000	77.7056	09/28/01	
	Vinik Asset Management	1 Pierrepont Plaza Brooklyn, NY 11201	Morgan Stanley & Co.	0050		07/30/96	AIG	09/04/01	S	20,000	77.7013	09/28/01	
	Vinik Asset Management	1 Pierrepont Plaza Brooklyn, NY 11201	Morgan Stanley & Co.	0050		07/30/96	AIG	09/04/01	B	20,000	77.8	09/28/01	
	Vinik Asset Management	1 Pierrepont Plaza Brooklyn, NY 11201	Morgan Stanley & Co.	0050		07/30/96	AIG	09/04/01	S	20,000	77.81	09/28/01	
	Vinik Asset Management	1 Pierrepont Plaza Brooklyn, NY 11201	Morgan Stanley & Co.	0050		07/30/96	AIG	09/06/01	S	25,000	74.3	09/28/01	
	Vinik Asset Management	1 Pierrepont Plaza Brooklyn, NY 11201	Morgan Stanley & Co.	0050		07/30/96	AIG	09/06/01	S	45,000	73	09/28/01	
	Vinik Asset Management	1 Pierrepont Plaza Brooklyn, NY 11201	Morgan Stanley & Co.	0050		07/30/96	LUV	09/10/01	S	20,000	16.74	09/28/01	
	Vinik Asset Management	1 Pierrepont Plaza Brooklyn, NY 11201	Morgan Stanley & Co.	0050		07/30/96	LUV	09/06/01	B	25,000	17.54	09/28/01	

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(b) (4)	Vinik Asset Management	1 Pierrepont Plaza Brooklyn, NY 11201	Morgan Stanley & Co.	0050	(b) (4)	07/30/96	LUV	09/06/01	B	50,000	17.5601	09/28/01	
	Vinik Asset Management	1 Pierrepont Plaza Brooklyn, NY 11201	Morgan Stanley & Co.	0050		07/30/96	LUV	09/06/01	B	150,000	17.8817	09/28/01	
	Vinik Asset Management	1 Pierrepont Plaza Brooklyn, NY 11201	Morgan Stanley & Co.	0050		07/30/96	LUV	09/06/01	S	200,000	17.1185	09/28/01	
	Vinik Overseas Fund LTD	C/O Citgo Fund Services	Morgan Stanley & Co.	0050		10/23/96	AIG	09/04/01	S	4,100	77.8041	09/28/01	
	Vinik Overseas Fund LTD	C/O Citgo Fund Services	Morgan Stanley & Co.	0050		10/23/96	AIG	09/04/01	S	5,200	77.7	09/28/01	
	Vinik Overseas Fund LTD	C/O Citgo Fund Services	Morgan Stanley & Co.	0050		10/23/96	AIG	09/04/01	S	9,200	77.7056	09/28/01	
	Vinik Overseas Fund LTD	C/O Citgo Fund Services	Morgan Stanley & Co.	0050		10/23/96	AIG	09/04/01	S	18,400	77.7013	09/28/01	
	Vinik Overseas Fund LTD	C/O Citgo Fund Services (Cayman Islands) Ltd. PO Box 31106 SMB West Bay Road Grand Cayman Cayman Islands BWI	Morgan Stanley & Co.	0050		10/23/96	AIG	09/04/01	B	18,400	77.8	09/28/01	
	Vinik Overseas Fund LTD	C/O Citgo Fund Services	Morgan Stanley & Co.	0050		10/23/96	AIG	09/04/01	S	18,400	77.81	09/28/01	
	Vinik Overseas Fund LTD	C/O Citgo Fund Services	Morgan Stanley & Co.	0050		10/23/96	AIG	09/07/01	S	23,000	74.3	09/28/01	
	Vinik Overseas Fund LTD	C/O Citgo Fund Services	Morgan Stanley & Co.	0050		10/23/96	AIG	09/07/01	S	41,500	73	09/28/01	
	Vinik Overseas Fund LTD	C/O Citgo Fund Services	Morgan Stanley & Co.	0050		10/23/96	LUV	09/06/01	B	46,100	17.561	09/28/01	
	Vinik Overseas Fund LTD	C/O Citgo Fund Services	Morgan Stanley & Co.	0050		10/23/96	LUV	09/06/01	B	92,200	17.8817	09/28/01	
	Vinik Overseas Fund LTD	C/O Citgo Fund Services	Morgan Stanley & Co.	0050		10/23/96	LUV	09/07/01	S	138,300	17.1185	09/28/01	
	VIP Money Market	82 Devonshire Street	BNY-Esi Clearing Services	0100		10/21/96	HOT	09/10/01	S	23,200	29.9269	10/08/01	
	VIP Money Market	82 Devonshire Street	BNY-Esi Clearing Services	0100		10/21/96	HOT	09/04/01	S	38,700	33.9186	10/08/01	
(b) (6), (b) (7)(C)			DLJ	0443	(b) (6), (b) (7)(C)		LEH	9/10/01	S	200		09/28/01	See Above
			DLJ	0443			MMC	9/10/01	S	100		09/28/01	New account documents sent to SEC on 10/12/01
			DLJ	0443			MWD	9/10/01	S	200		09/28/01	See Above

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(b) (6), (b) (7)(C)			DLJ	0443	(b) (6), (b) (7)(C)		RTN	9/6/01	B	400		09/28/01	See Above
			Wachovia Securities	0346		02/22/00	RTN	09/10/01	B	190	24.57	10/31/01	
			Spear Leeds & Kellogg	0501		1/4/01	LEH	09/05/01	S	400	66.9	10/08/01	
			Spear Leeds & Kellogg	0501		1/4/01	LEH	09/04/01	S	400	67.37	10/08/01	
			Spear Leeds & Kellogg	0501		1/4/01	MWD	09/05/01	S	400	52.4	10/08/01	
			Spear Leeds & Kellogg	0501		1/4/01	MWD	09/04/01	S	400	54	10/08/01	
			Deutsche Banc Alex Brown	573		02/10/00	AIG	09/10/01	S	300	72.8	11/14/01	
			Deutsche Banc Alex Brown	573		02/10/00	BA	09/10/01	S	400	44.79	11/14/01	
			Deutsche Banc Alex Brown	573		02/10/00	LUV	09/10/01	S	360	16.74	11/14/01	
			Deutsche Banc Alex Brown	573		02/10/00	MMC	09/10/01	S	280	86	11/14/01	
(b) (4)	Watermill Asset Management	60 Broad Street 39th Floor New York, NY 10004	Van der Moolen Specialists	0251	(b) (4)	04/23/01	CNC	09/05/01 09/05/01	S S	25900 3600	8.07 8.11	10/15/01	Discussed with SEC
	Weiss Asset Management (Merrill Lynch a/c Weiss Asset Management LP Omniubus Account a/c (b) (4)	101 Hudson Street 7th floor, Jersey City NJ 07302	Goldman Sachs & Co	0005		05/23/96	AIG	09/10/01	S	25,000	74.39	10/08/01	
	Weiss Asset Management (Merrill Lynch a/c Weiss Asset Management LP Omniubus Account a/c (b) (4)	101 Hudson Street 7th floor, Jersey City NJ 07302	Goldman Sachs & Co	0005		05/23/96	HOT	09/04/01	S	11,500	33.9	10/08/01	
	Weiss Asset Management (Merrill Lynch Prime broker a/c Weiss Asset Management LP att: Prime Broker svcs)	101 Hudson Street 7th floor, Jersey City NJ 07302	Deutsche Bank Alex Brown	0573		07/17/00	EDO	09/10/01	B	900	19.7988	10/08/01	
(b)(4)	(b)(6), (b)(7)(C) (b)(6), (b)(7)(C) TTEE Northern Produce Inc Mushroom Inc PSP Trust Dtd (b)(6), (b)(7)(C) MGD Nicholas Applegate Intl)	5354 E Slauson, Commerce CA 90040-2917	Bear Stearns & Co.	0352	(b)(4)	04/28/00	AEG	09/05/01	S	32	28.03	11/14/01	

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(b)(4)	(b)(6), (b)(7)(C) (b)(6), (b)(7)(C) TTEE Northern Produce Inc Mushroom Inc PSP Trust Dtd (b)(6), (b)(7)(C) MGD Nicholas Applegate Intl)	5354 E Slauson, Commerce CA 90040-2917	Bear Stearns & Co.	0352	(b)(4)	04/28/00	AXA	09/05/01	S	30	25.1	11/14/01	
	(b)(6), (b)(7)(C) (b)(6), (b)(7)(C) TTEE Northern Produce Inc Mushroom Inc PSP Trust Dtd (b)(6), (b)(7)(C) TCW Asset Mgmt - LG Cap)	5354 E Slauson, Commerce CA 90040-2917	Bear Stearns & Co.	0352		04/28/00	AIG	09/07/01	S	67	73.5	11/14/01	
	(b)(6), (b)(7)(C) (b)(6), (b)(7)(C) TTEE Northern Produce Inc Mushroom Inc PSP Trust Dtd (b)(6), TCW Asset Mgmt - LG Cap)	5354 E Slauson, Commerce CA 90040-2917	Bear Stearns & Co.	0352		04/28/00	LUV	09/07/01	S	232	17.1635	11/14/01	
	(b)(6), (b)(7)(C) (b)(6), (b)(7)(C) TTEE Northern Produce Inc/ Mushroom Inc P/S Trust Dtd (b)(6), (b)(7)(C) MGD Rorer Asset Mgmt LG Cap)	5354 E Slauson, Commerce CA 90040-2917	Bear Stearns & Co.	0352		03/27/00	AIG	09/07/01	S	60	73.5	11/14/01	
	(b)(6), (b)(7)(C) (b)(6), (b)(7)(C) TTEE Northern Produce Inc/ Mushroom Inc P/S Trust Dtd (b)(6), (b)(7)(C) MGD Rorer Asset Mgmt LG Cap)	5354 E Slauson, Commerce CA 90040-2917	Bear Stearns & Co.	0352		03/27/00	BA	09/07/01	S	85	45.34	11/14/01	
	(b)(6), (b)(7)(C) (b)(6), (b)(7)(C) TTEE Northern Produce Inc/ Mushroom Inc P/S Trust Dtd (b)(6), (b)(7)(C) MGD Rorer Asset Mgmt LG Cap)	5354 E Slauson, Commerce CA 90040-2917	Bear Stearns & Co.	0352		03/27/00	LUV	09/07/01	S	75	17.1635	11/14/01	
	(b)(6), (b)(7)(C) (b)(6), (b)(7)(C) TTEE Northern Produce Inc/ Mushroom Inc P/S Trust Dtd (b)(6), (b)(7)(C) MGD Rorer Asset Mgmt LG Cap)	5354 E Slauson, Commerce CA 90040-2917	Bear Stearns & Co.	0352		03/27/00	MMC	09/07/01	S	65	87.13	11/14/01	
(b) (4)	Weiss, Peck & Greer/WPG-Farber Prescent Institutional Fund	One New York Plaza, New York, NY 10004	DLJ	0443	(b) (4)	10/08/99	LLL	09/05/01	B	6175	65.3378	10/03/01	Contact person name & telephone # given to SEC on 10/08/01
	Weiss, Peck & Greer/WPG-Farber Present Fund LP WP G02	One New York Plaza, New York, NY 10005	DLJ	0443		09/29/99	LLL	09/05/01	B	41,535	65.3378	10/03/01	See Above

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(b) (4)	Weiss, Peck & Greer/WPG-Farber Present Overseas LP WP G15	One New York Plaza, New York, NY 10005	DLJ	0443	(b) (4)	09/29/99	LLL	09/05/01	B	9,425	65.3378	10/03/01	See Above
	Weiss, Peck & Greer/WPG-Farber Present QP Fund	One New York Plaza, New York, NY 10004	DLJ	0443		09/29/99	LLL	09/05/01	B	7,865	65.3378	10/03/01	See Above
	Wellington Mgmt	A/C Raytheon Technology Equity Hedged Morgan Stanley 1221 Ave of Americas 28th FL New York, NY 10020	Goldman Sachs & Co.	0005		09/01/00	LEH	09/04/01	SS	50,700	66.1339	10/01/01	
(b) (6), (b) (7)(C)			MS Dean Witter	0015	(b) (6), (b) (7)(C)	12/26/97	AXA	09/07/01	S	150	23.12	10/31/01	
			MS Dean Witter	0015		03/02/98	LUV	09/07/01	S	99	16.95	10/31/01	
(b) (4)	William D Witter Partners LP	C/O William D Witter Inc. One Citicorp Senter 153 East 53rd Street New York, NY	Goldman Sachs	0005	(b) (4)	02/01/01	DAL	09/07/01	SS	3,000	37.36	10/15/01	
(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	03/21/00	AIG	09/07/01	S	13	73.45	11/14/01	
			Salomon Smith Barney	0418		03/21/00	DAL	09/07/01	S	22	37.67	11/14/01	
			Salomon Smith Barney	0418		03/21/00	MWD	09/07/01	S	26	47.85	11/14/01	
			Salomon Smith Barney	0418		03/21/00	RTN	09/07/01	B	11	24.85	11/14/01	
(b) (4)	Williams Comm GRP PEN	Merrill Lynch Trust Co Chase Inv Counsel Attn: Central Region PO Box 30532 New Brunswick, NJ	Merrill Lynch	0161	(b) (4)	08/29/01	AIG	09/07/01	S	3,113	73.7	10/15/01	Discussed with SEC
	Williams Comm GRP PEN	Merrill Lynch Trust Co Chase Inv Counsel Attn: Central Region PO Box 30532 New Brunswick, NJ	Merrill Lynch	0161		08/29/01	AMR	09/07/01	S	1,208	30	10/15/01	Discussed with SEC

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(b) (4)	Williams Comm GRP PEN	Merrill Lynch Trust Co Chase Inv Counsel Attn: Central Region PO Box 30532 New Brunswick, NJ	Merrill Lynch	0161	(b) (4)	08/29/01	BA	09/07/01	S	1,625	45.33	10/15/01	Discussed with SEC
	Williams Comm GRP PEN	Merrill Lynch Trust Co Wentworth Hauser Attn: Central Region PO Box 30532 New Brunswick, NJ	Merrill Lynch	0161		08/29/01	CAL	09/07/01	S	437	40.05	10/15/01	Discussed with SEC
	Williams Comm GRP PEN	Merrill Lynch Trust Co Armstrong Shaw Attn: Central Region PO Box 30532 New Brunswick, NJ	Merrill Lynch	0161		08/29/01	MMC	09/07/01	S	1,131	87.8	10/15/01	Discussed with SEC
	Williamson Mcaree Morgan Stanley	1221 Ave. Of Americas 28 Fl. New York, NY 10020	Credit Suisse First Boston	0355		11/06/00	HLT	09/07/01	SS	25,000	11.75	10/08/01	See Above
	Williamson Mcaree Morgan Stanley	1221 Ave. Of Americas 28 Fl. New York, NY 10020	Credit Suisse First Boston	0355		11/06/00	HLT	09/06/01	SS	30,000	12.0541	10/08/01	See Above
	Williamson Mcaree Morgan Stanley	1221 Ave. Of Americas 28 Fl. New York, NY 10020	Credit Suisse First Boston	0355		11/06/00	UAL	08/29/01	SS	4,700	32.9538	10/08/01	Discussed with SEC
	Williamson Mcaree Morgan Stanley	1221 Ave. Of Americas 28 Fl. New York, NY 10020	Credit Suisse First Boston	0355		11/06/00	UAL	08/28/01	SS	12,000	33.652	10/08/01	See Above
	Williamson Mcaree Morgan Stanley	1221 Ave. Of Americas 28 Fl. New York, NY 10020	Credit Suisse First Boston	0355		11/06/00	UAL	08/27/01	SS	12,000	34	10/08/01	See Above
	Williamson McAree (Morgan Stanley F/A/O Williamson McAree)	1221 Avenue of the Americas, New York, NY 10020	Credit Suisse First Boston	0355		11/06/00	HLT	09/07/01	SS	25,000	11.75	10/08/01	See Above
	Williamson McAree (Morgan Stanley F/A/O Williamson McAree)	1221 Avenue of the Americas, New York, NY 10020	Credit Suisse First Boston	0355		11/06/00	HLT	09/06/01	SS	30,000	12.0541	10/08/01	See Above
	Williamson McAree (Morgan Stanley F/A/O Williamson McAree)	1221 Avenue of the Americas, New York, NY 10020	Credit Suisse First Boston	0355		11/06/00	UAL	08/29/01	SS	4,700	32.95	10/08/01	See Above
	Williamson McAree (Morgan Stanley F/A/O Williamson McAree)	1221 Avenue of the Americas, New York, NY 10020	Credit Suisse First Boston	0355		11/06/00	UAL	08/28/01	SS	12,000	33.652	10/08/01	See Above
	Williamson McAree (Morgan Stanley F/A/O Williamson McAree)	1221 Avenue of the Americas, New York, NY 10020	Credit Suisse First Boston	0355		11/06/00	UAL	08/27/01	SS	12,000	34	10/08/01	See Above
	Wisemind Assets LTD	15 Gardenia Road Singapore 578822	Salomon Smith Barney	0418	(b) (4)	02/23/01	RTN	09/06/01	B	875	25.89	11/14/01	
	Wisemind Assets LTD	15 Gardenia Road Singapore 578822	Salomon Smith Barney	0418		02/23/01	RTN	09/06/01	B	875	25.89	11/14/01	

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(b) (6), (b) (7)(C)			Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	08/22/01	RTN	09/05/01	B	10	26.81	11/14/01	
(b) (4)	WPG -Farber, Present Overseas LP c/o The bank of Bermuda (New York) LTD c/o WPG Hedge Fund Accounting	One New York Plaza, New York, NY 10004	Weiss, Peck & Greer	0022	(b) (4)	09/26/96	AIG	09/06/01	SS	2,610	75	10/03/01	Discussed with SEC
	WPG -Farber, Present Overseas LP c/o The bank of Bermuda (New York) LTD c/o WPG Hedge Fund Accounting	One New York Plaza, New York, NY 10004	Weiss, Peck & Greer	0022		09/26/96	AIG	09/05/01	SS	5,800	75	10/03/01	Discussed with SEC
	WPG -Farber, Present Overseas LP c/o The bank of Bermuda (New York) LTD c/o WPG Hedge Fund Accounting	One New York Plaza, New York, NY 10005	Weiss, Peck & Greer	0022		09/26/96	HOT	09/07/01	SS	8,700	29.96	10/03/01	Discussed with SEC
	WPG -Farber, Present Overseas LP c/o The bank of Bermuda (New York) LTD c/o WPG Hedge Fund Accounting	One New York Plaza, New York, NY 10004	Weiss, Peck & Greer	0022		09/26/96	HOT	09/06/01	SS	8,700	31.175	10/03/01	Discussed with SEC
	WPG_Farber Present Fund LP c/o Weiss Peck & Greer attn: (b) (6), (b) (7)(C)	One New York Plaza, New York, NY 10004	Weiss, Peck & Greer	0022		03/14/86	AIG	09/06/01	SS	11,502	75	10/03/01	Discussed with SEC
	WPG_Farber Present Fund LP c/o Weiss Peck & Greer attn: (b) (6), (b) (7)(C)	One New York Plaza, New York, NY 10004	Weiss, Peck & Greer	0022		03/14/86	AIG	09/05/01	SS+	25,560	75	10/03/01	Discussed with SEC
	WPG_Farber Present Fund LP c/o Weiss Peck & Greer attn (b) (6), (b) (7)(C)	One New York Plaza, New York, NY 10004	Weiss, Peck & Greer	0022		03/14/86	HOT	09/07/01	SS	38340	29.96	10/03/01	Discussed with SEC
	WPG_Farber Present Fund LP c/o Weiss Peck & Greer attn (b) (6), (b) (7)(C)	One New York Plaza, New York, NY 10004	Weiss, Peck & Greer	0022		03/14/86	HOT	09/06/01	SS	38340	31.175	10/03/01	Discussed with SEC
	WPG_Farber Present Fund LP c/o Weiss Peck & Greer attn: (b) (6), (b) (7)(C)	One New York Plaza, New York, NY 10004	Weiss, Peck & Greer	0022		11/23/98	AIG	09/06/01	SS	2,178	75	10/03/01	Discussed with SEC
	WPG_Farber Present Fund LP c/o Weiss Peck & Greer attn (b) (6), (b) (7)(C)	One New York Plaza, New York, NY 10004	Weiss, Peck & Greer	0022		11/23/98	AIG	09/05/01	SS	4,840	75	10/03/01	Discussed with SEC
	WPG_Farber Present International Fund Fund LP	One New York Plaza, New York, NY 10004	Weiss, Peck & Greer	0022		08/27/99	HOT	97/2001	SS	5,700	29.96	10/03/01	Discussed with SEC
	WPG_Farber Present International Fund Fund LP	One New York Plaza, New York, NY 10004	Weiss, Peck & Greer	0022		08/27/99	HOT	09/06/01	SS	5,700	31.175	10/03/01	Discussed with SEC
	WPG_Farber Present QP Fund LP c/o Weiss Peck & Greer attn: (b) (6), (b) (7)(C)	One New York Plaza, New York, NY 10004	Weiss, Peck & Greer	0022		11/23/98	HOT	09/07/01	SS	7,260	29.96	10/03/01	Discussed with SEC
	WPG_Farber Present QP Fund LP c/o Weiss Peck & Greer attn: (b) (6), (b) (7)(C)	One New York Plaza, New York, NY 10004	Weiss, Peck & Greer	0022		11/23/98	HOT	09/06/01	SS	7,260	31.175	10/03/01	Discussed with SEC

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	02/09/00	AIG	09/04/01	S	47	77.47	10/08/01	
			Salomon Smith Barney	0418		02/09/00	MWD	09/04/01	S	50	53.9	10/08/01	
			Salomon Smith Barney	0418		02/09/00	AEG	09/04/01	S	105	28.53	10/08/01	
			Salomon Smith Barney	0418		02/09/00	AXA	09/04/01	S	105	26.4	10/08/01	
			Salomon Smith Barney	0418		03/15/01	AIG	09/04/01	S	5	77.09	10/08/01	
			Salomon Smith Barney	0418		03/28/00	CNC	09/05/01	S	83	8.09	10/08/01	
			Salomon Smith Barney	0418		04/14/00	AXA	09/05/01	S	90	25	10/08/01	
			Salomon Smith Barney	0418		10/30/95	AIG	09/05/01	S	275	74.62	10/08/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	06/30/99	LUV	09/10/01	S	2,000	17.1	09/27/01	New account documents; statements from 7/01 to 9/01 given to SEC on 10/04/01
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	10/04/99	CNC	09/07/01	SS	5,000	7.64	09/27/01	See Above
			Merrill Lynch, Inc.	0161		06/12/95	AMR	08/13/01	S	300	33.84	09/27/01	See Above
			Merrill Lynch, Inc.	0161		06/12/95	AMR	08/13/01	S	1200	33.75	09/27/01	See Above
			Merrill Lynch, Inc.	0161		06/12/95	CNC	09/07/01	SS	5000	7.64	09/27/01	See Above
			Merrill Lynch, Inc.	0161		06/30/99	LUV	09/10/01	S	2000	17.1	09/27/01	
			UBS Painewebber Inc.	0221		08/25/00	AIG	09/05/01	S	400	75	10/02/01	
			Salomon Smith Barney	0418		08/07/98	MWD	09/04/01	S	125	53.62	10/02/01	

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(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	08/28/01	RTN	09/04/01	B	175	27.25	10/02/01	
			Salomon Smith Barney	0418		02/27/96	CNC	09/04/01	S	155	8.86	10/02/01	
			UBS Painewebber Inc.	0221		08/08/01	AIG	09/05/01	S	29	73.73	10/02/01	
			Salomon Smith Barney	0418		06/12/01	RTN	09/10/01	B	65	24.7	11/14/01	
			Salomon Smith Barney	0418		06/12/01	RTN	09/10/01	B	65	24.7	11/14/01	
(b) (4)	Yield Strategies Fund I c/o Camden Asset Management	2049 Century Park East Suite 330 Los Angeles, CA 90067	Goldman Sachs & Co.	0005	(b) (4)	05/17/01	XL	09/04/01	SS	11100	83	10/23/01	Discussed with SEC
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	07/16/98	AIG	09/07/01 09/10/01	S S	69 9	73.51 74.23	10/02/01	
			Salomon Smith Barney	0418		07/16/98	MWD	09/07/01 09/10/01	S S	21 3	47.98 48.9	10/02/01	
			Morgan Stanley & Co.	0050		05/16/01	AIG	09/06/01	S	110	75.21	09/26/01	
			Morgan Stanley & Co.	0050		05/16/01	AMR	09/06/01	S	120	31.08	09/26/01	
(b) (4)	York Harbour Ltd.	C/O Merrill Lynch Int Bank Ltd. Trust Dep't 2 Raffles Link Marina Bayfront Singapore 039392	Merrill Lynch	0161	(b) (4)	07/31/01	RTN	09/04/01	B	110	27.0452	11/14/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	08/22/01	RTN	09/06/01	B	60	25.99	11/14/01	
			National Financial Services	0226		05/23/96	CNC	09/06/01	SS	500	7.99	09/26/01	
			Salomon Smith Barney	0418		12/15/98	AXA	09/07/01	S	80	23.17	10/02/01	
(b) (4)	Ziff Asset Management	1221 Avenue of Americas, 28th Floor New York, NY 10020	Goldman Sachs & Co.	0005	(b) (4)	11/19/99	HLT	09/07/01	SS	400,000	11.59	09/26/01	
	Ziff Asset Management	9 West 57th Street 39th Floor New York, NY 10019	Merrill Lynch, Inc.	0161		02/17/98	AIG	9/5/01	S	700	74.05	09/26/01	

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(b) (4)	Ziff Asset Management	283 Greenwich Avenue Greenwich, CT 06830-6534	Morgan Stanley & Co.	0050	(b) (4)	11/10/99	CNC	09/07/01	SS	200,000	7.44	09/26/01	
	Ziff Asset Management	153 East 53rd Street 43rd Floor New York, NY 10022-4611	Morgan Stanley & Co.	0050		11/05/99	CNC	9/7/01	SS	200,000	7.44	09/26/01	
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Salomon Smith Barney	0418	(b) (6), (b) (7)(C)	05/17/01	AXA	09/07/01	S	100	23.29	10/08/01	
			Salomon Smith Barney	0418		05/17/01	RTN	09/07/01	B	215	25.81	10/08/01	
			UBS Painewebber Inc.	0221		04/19/93	AIG	09/06/01	SS	500	75.45	10/02/01	
			Charles Schwab & Co	0164		03/08/99	AMR	09/07/01	SS	100	30.94	11/14/01	
			Charles Schwab & Co	0164		03/08/99	AMR	09/07/01	SS	400	30.94	11/14/01	
			Charles Schwab & Co	0164		03/08/99	DAL	09/07/01	SS	400	37.84	11/14/01	
(b) (4)	Zweig-Dimenna International LTD	900 Third Ave,30th Floor New York, NY 10022-4728	UBS Painewebber Inc.	0221	(b) (4)	02/02/94	CNC	09/04/01 09/07/01	SS SS	12900 116000	8.76 7.47	10/01/01	
	Zweig-Dimenna Investors, LP	900 Third Ave,30th Floor New York, NY 10022-4728	UBS Painewebber Inc.	0221		04/21/98	CNC	09/04/01 09/07/01	SS SS	200 1900	8.76 7.47	10/01/01	
	Zweig-Dimenna Partners, LP	900 Third Ave,30th Floor New York, NY 10022-4728	UBS Painewebber Inc.	0221		02/02/94	CNC	09/04/01 09/07/01	SS SS	6400 57700	8.76 7.47	10/01/01	
	Zweig-Dimenna Select LP	900 Third Ave.30th Floor New York, NY 10022-4728	UBS Painewebber Inc.	0221		06/22/98	CNC	09/04/01 09/07/01	SS SS	1000 8900	8.76 7.47	10/01/01	
	Zweig-Dimenna Special OPP, LP	900 Third Ave,30th Floor New York, NY 10022-4728	UBS Painewebber Inc.	0221		02/02/94	CNC	09/04/01 09/07/01	SS SS	2200 19900	8.76 7.47	10/01/01	

Exhibit F

Account Number	Name (Last, First)	Address	Account Open Date	Number Of Securities Traded
(b) (4)	21161S1	PO Box 1616 Tacoma, WA 98402	08/16/01	14
(b) (4)	The One Group Equity	Banc one Investment Adv. Equity Trading PO Box 710211 1111 Polaris PKY	12/15/94	13
(b) (4)	Alaska	Deutsche Asset MGMT Bankers Trust 280 Park Ave New York	05/10/00	11
(b) (4)	Ashland University (Ashland University Endowment Fund - Parametric (b) (6), (b) (7)(C)	401 College Ave Ashland OH 44805-3702	02/01/00	11
(b) (4)	Dreyfus Stock Index FD - DRSI c/o Mellon Equity Associates	3 Mellon Bank Center, Pittsburgh PA 15259-0001	08/06/98	11
(b) (4)	ADV NT Quantitative ADVS	Northern Trust Co A/C DCIF (b) (4) XXXXX Do Not Mail	12/03/99	10
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	02/01/96	10
(b) (4)	Monitor Capital Advisors a/c Mainstay Euity Index Fund a/c MSGEQ	504 Carnegie Center, Princeton, NJ 08540-6242	02/01/00	10
(b) (4)	Options Trading Association LLC Trading Acct-OTC Options	One Manhattenville Road, Purchase, NY 10577	03/04/92	10
(b) (4)	Panagora Asset Mgmt a/c S5TRW Putnam S&P 500 Index Portf/TRW	120 Broadway 33rd Floor, New York, NY 10271-0002	07/22/99	10
(b) (4)	Susquehanna Financial GRP	Trading Account 401 City Line Ave Bala Cynwyd, PA	12/22/97	10
(b) (4)	ADV NT Quantitative ADVS	Northern Trust Co A/C CVF (b) (4) XXXXX Do Not Mail	08/11/99	9

Account Number	Name (Last, First)	Address	Account Open Date	Number Of Securities Traded
(b) (4)	Metropolitan Life Commingled G. Sep Acct (b) (4) ATT (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) Wquity Inve	334 Madison Avenue P.O. Box 63 Convent Station NJ 07961	01/11/00	9
(b) (4)	I-Rival	Barclays Global Investor 45 Freemont Street San Francisco, CA	11/22/00	8
(b) (4)	MUTUAL OF AMERICA CAP MGMT	MUTUAL OF AMERICA CAP MGMT A/C ALL AMERICA INDEX 320 PARK AVE 9FL NEW YORK NY 10022-6839	10/12/99	8
(b) (4)	va-1 Stock Index Account	Bankers Trust New York, NY	10/26/95	8
(b) (4)	Aetna Principal Protection FD, A/C# (b) (4) C/O Aeltus Inv Mgmt Inc	10 State House Square, Hartford, CT 06103	10/25/99	7
(b) (4)	Aid Association for Lutherans	4321 N. Ballard Rd. Appleton, WI 54913-7729	11/27/00	7
(b) (4)	FSP Air Transportation	82 Devonshire Street Boston MA 02109	11/24/86	7
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	Merrill Lynch Attn: (b)(6), (b)(7)(C) (b)(6), (b)(7)(C)	08/04/99	7
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	04/15/92	7
(b) (4)	NTQA	MMM-SP PO Box 92923 Chicago, IL	10/29/99	7
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	02/17/94	7
(b) (4)	Putnam Fiduciary Trust Co	A/C Putnam for GTH & Income 99 High Street Boston, MA	07/17/00	7
(b) (4)	Baker Properties Limited Partn, Attn (b) (6), (b) (7)(C)	(b)(6), (b)(7)(C)	03/24/97	6

Account Number	Name (Last, First)	Address	Account Open Date	Number Of Securities Traded
(b) (4)	CHASE LINCOLN FIRST BANK	CHASE LINCOLN FIRST BANK TRADING DESK P.O. BOX 1412	04/25/91	6
(b) (4)	CYMI-LTD	NTQA 26-04637 PO BOX 92923 Chicago, IL	12/02/99	6
(b) (4)	Deutsche Asset Management	Bankers Trust 16 Wall Street - 4th Floor Cage New York, NY 10004	08/27/01	6
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	09/19/91	6
(b) (4)	Hutchins, Mitchell, Wuantitiative Allo. Prtnrs, LP	120 Broadway, 13th Floor, New York, NY 10005-1007	06/30/00	6
(b) (4)	JGM Equity Partners	C/O Parametric Portfolio Association 1151 Fairview Ave. N #200 Seattle, WA 98109-4418	09/07/01	6
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	07/07/00	6
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	08/14/01	6
(b) (4)	PCM Growth & Income Fund - A #420 a/c (b) (4) c/o Putnam Fiduciary Tr Co. Portfolio Control Dept D-10-C	1 Post Office Sq, Boston MA 02109-2106	02/11/94	6

Account Number	Name (Last, First)	Address	Account Open Date	Number Of Securities Traded
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	03/07/00	6
(b) (4)	Aetna Get Fund Series E, A/C# (b) (4) C/O Aeltus Investment	10 State House Square, Hartford, CT 06103	09/22/99	5
(b) (4)	Aetna Index Plus Protection Fund A/C# (b) (4) C/O Aetna Investment MGMT	10 State House Square, Hartford, CT 06103	12/26/00	5
(b) (4)	Barr Rosenburg Market Neutral Fund	Bear Stearns Securities 1 Metrotech Center North Brooklyn, NY	12/16/97	5
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	11/21/00	5
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	08/10/01	5
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	03/14/00	5
(b)(4)	Bizar D'Alessandro Shustak and Martin Profit Sharing Trust U/A 12/01/1988	1350 Avenue of the Americas, New York, NY 10019	03/19/93	5
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	02/17/99	5
(b) (4)	Catholic Healthcare	Mellon Equity Assoc Investment Trust 500 Grant st Pittsburgh, PA	10/13/98	5
(b) (4)	City of Pittsburgh Pension A/C (b) (4) C/O Mellon Bank	Po Box 360-602M Pittsburgh, PA 15230	12/13/94	5
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	04/26/01	5

Account Number	Name (Last, First)	Address	Account Open Date	Number Of Securities Traded
(b) (4)	Fundacion Para Estabilizacion Y Fortaleximiento De Fedpa	Apartado Postal 6-5737, El Dorado, Panma, Rep De Panama	12/02/99	5
(b) (4)	John Levin & Co, Inc.	One Pierrepont Plaza 10T Brooklyn, NY 11201-2776	01/13/99	5
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	12/22/99	5
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	03/13/01	5
(b) (4)	Merrill Lynch International Equity Financing & Swaps	Ropemaker Place 25 Ropemaker St. London, UK	12/31/96	5
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	09/13/00	5
(b) (4)	ODYSSEY TRANSPORTATION, INC OF NEVADA	ODYSSEY TRANSPORTATION, INC OF NEVADA PO BOX 579 SAN CLEMENTE CA 92674	03/16/94	5
(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	(b) (6), (b) (7)(C)	03/16/95	5
(b) (4)	Oscar Reyna, Inc	328 Weldon Street Latrobe, PA 15650	04/04/95	5
(b) (4)	State Street Global Advisors a/c 03820 2	2 International Place - 32nd Floor Boston, MA 02110	04/05/01	5
(b) (4)	Villanova Capital A/C Gartmore American Growth Fund	1200 River Road Conshohocken, PA 19428	06/20/01	5

Account Number	Name (Last, First)	Address	Account Open Date	Number Of Securities Traded
(b) (4)	Williams Comm GRP PEN	Merrill Lynch Trust Co Armstrong Shaw Attn: Central Region PO Box 30532 New Brunswick, NJ	08/29/01	5

Exhibit G

Significant Geographic Locations

Domestic:

Florida -	Daytona Beach, Vero Beach, Del Ray Beach, Miami, Hollywood, Fort Lauderdale, Lake Worth, Punta Gorda, Sarasota, Deerfield Beach, Coral Springs, Venice, Pompano Beach
Arizona -	Mesa, Tempe, Phoenix
California -	Los Angeles, Santa Ana, San Diego, La Mesa, Lemon Grove
Virginia -	Alexandria, Falls Church, Norfolk
Alabama -	Birmingham
Indiana -	Indianapolis
Pennsylvania –	Pittsburgh
Texas -	Lackland AFB, Arlington, San Antonio, Houston, Dallas, Brownsville
Maryland -	Laurel, Baltimore, College Park
Ohio -	Dublin, Akron
New Jersey -	Fort Lee, Orange, Jersey City, Passaic, Paterson
Michigan -	Dearborn
Massachusetts -	Dorchester, Watertown
Kansas –	Wichita
Wisconsin –	Milwaukee
North Carolina –	Boone
New Hampshire -	Hollow Hanover
Arkansas -	Fort Smith
Washington -	Spokane

Foreign:

Germany
Saudi Arabia
France
Vancouver, British Columbia
United Kingdom

Exhibit H

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Short(SS) / Long(S)	Volume	Price	SEC Contact	Comments
(b) (6), (b) (7)(C)		(b) (6), (b) (7)(C)	Merrill Lynch, Inc.	0161	(b) (6), (b) (7)(C)	8/6/01	RTN	9/4/01	B	170	27.1	09/27/01	Discusssed with SEC
(b) (4)	Deka Account Deutsche Girozentrale Deutsche Kommunal Bank	Taunusanlage 10 Frankfurt, Germany	Merrill Lynch, Inc.	0161	(b) (4)	09/19/84	AIG	09/05/01	S	200	73.85	10/01/01	Discussed with SEC
	Deka Account Deutsche Girozentrale Deutsche Kommunal Bank	Taunusanlage 10 Frankfurt, Germany	Merrill Lynch, Inc.	0161		09/19/84	AIG	09/05/01	S	350	73.85	10/01/01	Discussed with SEC
	Deka Account Deutsche Girozentrale Deutsche Kommunal Bank	Taunusanlage 10 Frankfurt, Germany	Merrill Lynch, Inc.	0161		09/19/84	HOT	09/07/01	S	2500	30.07	10/01/01	Discussed with SEC
	Deka Account Deutsche Girozentrale Deutsche Kommunal Bank	Taunusanlage 10 Frankfurt, Germany	Merrill Lynch, Inc.	0161		09/19/84	HOT	09/07/01	S	4000	30.07	10/01/01	
	Deka Account Deutsche Girozentrale Deutsche Kommunal Bank	Taunusanlage 10 60329 Frankfurt, Germany	Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		09/19/84	AIG	09/05/01	S	200	73.85		
	Deka Account Deutsche Girozentrale Deutsche Kommunal Bank	Taunusanlage 10 60329 Frankfurt, Germany	Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		09/19/84	AIG	09/05/01	S	350	73.85		
	Deka Account Deutsche Girozentrale Deutsche Kommunal Bank	Taunusanlage 10 60329 Frankfurt, Germany	Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		09/19/84	HOT	09/07/01	S	2,500	30.0651		
	Deka Account Deutsche Girozentrale Deutsche Kommunal Bank	Taunusanlage 10 60329 Frankfurt, Germany	Merrill Lynch, Pierce, Fenner & Smith Inc.	0161		09/19/84	HOT	09/07/01	S	4,000	30.0651		
(b) (4)	Deka Investment Management A/C Bav	Mainzer Landstrasse 50 Frankfurt 60325 Germany	UBS Warburg L.L.C.	0642	(b) (4)	08/11/99	AIG	09/04/01	S	500	77.9		
	Deka Investment Mgmt A/C DGZ Frankfurt	Mainzer Landstrasse 50 Frankfurt 60325 Germany	UBS Warburg L.L.C.	0642		02/26/01	AIG	09/06/01	S	300	74.75		
	Deka Investment Mgmt A/C DGZ Frankfurt	Mainzer Landstrasse 50 Frankfurt 60325 Germany	UBS Warburg L.L.C.	0642		02/26/01	AIG	09/06/01	S	500	74.75		
	Deka Investment Mgmt A/C West LB		Bernstein (Sanford C.) & Co., Inc.	0013		03/19/01	AMR	08/21/01	S	80000	32.518		

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Short(SS) / Long(S)	Volume	Price	SEC Contact	Comments
(b) (4)	Deka Investment MGT A/C BAV	Mainzer Landstrasse 50 Frankfurt, Germany	UBS Warburg	0642	(b)(4)	08/11/99	AIG	09/04/01	S	500	77.9	10/01/01	
	Deka Investment MGT A/C DGZ Frankfurt	Mainzer Landstrasse 50 Frankfurt, Germany	UBS Warburg	0642		02/26/01	AIG	09/06/01	S	300	74.75	10/01/01	
	Deka Investment MGT A/C DGZ Frankfurt	Mainzer Landstrasse 50 Frankfurt, Germany	UBS Warburg	0642		02/26/01	AIG	09/06/01	S	500	74.75	10/01/01	
	Deka Investment MGT A/C LUX/Global Value	Mainzer Landstrasse 50 Frankfurt, Germany	UBS Warburg	0642		03/04/99	CNC	09/05/01	S	26025	8.19	10/01/01	
	Deka Investment MGT A/C LUX/Global Value	Mainzer Landstrasse 50 Frankfurt, Germany	UBS Warburg	0642		03/04/99	CNC	09/04/01	S	494475	8.83	10/01/01	
	Deka Investment Mgt A/C Lux/Global Value	Mainzer Landstrasse 50 Frankfurt 60325 Germany	UBS Warburg L.L.C.	0642		03/04/99	CNC	09/04/01	S	494,475	8.8327		
	Deka Investment Mgt A/C Lux/Global Value	Mainzer Landstrasse 50 Frankfurt 60325 Germany	UBS Warburg L.L.C.	0642		03/04/99	CNC	09/04/01	S	473,655	8.8385		
	Deka Investment Mgt A/C Lux/Global Value	Mainzer Landstrasse 50 Frankfurt 60325 Germany	UBS Warburg L.L.C.	0642		03/04/99	CNC	09/05/01	S	26,025	8.1851		
	Deka Investment Mgt A/C Lux/Global Value	Mainzer Landstrasse 50 Frankfurt 60325 Germany	UBS Warburg L.L.C.	0642		03/04/99	CNC	09/05/01	S	46,845	8.1851		
	DGZ DekaBank A/C Deka DGZ	Taunusanlage 10 Frankfurt, Germany	Morgan Stanley & Co.	0050		01/06/94	AIG	09/04/01	S	200	77.3	10/01/01	Discussed with SEC
	DGZ DekaBank A/C Deka DGZ	Taunusanlage 10 Frankfurt, Germany	Morgan Stanley & Co.	0050		01/06/94	AIG	09/04/01	S	450	77.3	10/01/01	Discussed with SEC
	DGZ DekaBank A/C Deka DGZ	Taunusanlage 10 Frankfurt, Germany	Morgan Stanley & Co.	0050		01/06/94	HOT	09/06/01	S	600	31.06	10/01/01	Discussed with SEC
	DGZ DekaBank A/C Deka DGZ	Taunusanlage 10 Frankfurt, Germany	Morgan Stanley & Co.	0050		01/06/94	HOT	09/06/01	S	1200	31.06	10/01/01	Discussed with SEC
(b) (4)	LandesBank Baden-Wuerttemberg A/C DEKAFN02	AM Hauptbahnhof 02 Stuttgart, Germany	Morgan Stanley & Co.	0050		07/26/01	AIG	09/07/01	S	140	75.23	10/01/01	Discussed with SEC
	LandesBank Baden-Wuerttemberg A/C DEKAFN05	AM Hauptbahnhof 02 Stuttgart, Germany	Morgan Stanley & Co.	0050		07/26/01	AIG	09/07/01	S	80	75.23	10/01/01	Discussed with SEC
	LandesBank Baden-Wuerttemberg Deka Frankfurt	Mainzer Landstrasse 50 Frankfurt, Germany	Morgan Stanley & Co.	0050		12/29/00	AMR	09/06/01	S	240000	31.18	10/01/01	Discussed with SEC

Exhibit I

BRANDES INVESTMENT PARTNERS, L.P.

San Diego, CA & Geneva, Switzerland

In review of the buy side activity that had taken place from 9/4/01 – 9/10/01, staff noted a concentration with accounts being managed by Brandes Investment Partners ("BIP"). In further review, staff compiled a list of all accounts with the name "Brandes" in their account title. In total, there were 389 accounts that fit that description. These accounts executed a total of 435 transactions. A breakdown of the transactions are as follows:

Issue	B/S	Volume	# of Transactions of the 435
RTN	B	97,760	327
RTN	S	11,555	41
LUV	S	1,100	2
MWD	S	189	5
AXA	S	4,289	22
AIG	S	1,381	21
AMR	S	480	1
AEG	S	1,516	5
HOT	S	386	3
MMC	S	60	1
BA	S	100	1
BA	B	3140	2 – 1 account
AIG	B	214	2 – 2 individual accounts that did not purchase RTN
LLL	S	11	1 – Sold AIG and MWD as well
MWD	B	5	1 – 1 account that did not purchase RTN

33 accounts Purchased RTN while selling one of the issues noted below RTN in the chart. These accounts had suspicious account open dates ranging from 7/01/01 through 9/7/01. A majority of the other accounts were noted purchasing RTN only.

BIP is a Global investment firm that manages assets for institutional and private clients worldwide. They apply a value oriented securities selection process. They identify investment opportunities with a long-term context. The firm is managed by five Managing Partners and is headquartered in Geneva, Switzerland. They employ about 417 individuals.

Exhibit J

Unexecuted Short Selling and
Put Call Transactions

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Trade Type	Volume	Price	SEC Contact Date	Followup
(b) (4)	Bright Trading, LLC	4850 Harrison Dr. Las Vegas NV 89121	First Options of Chicago	690			AMR	09/04/01	Uexecuted SS	26,900			
	G-Bar, LP	440 S. LaSalle St. 6th Fl. Chicago IL 60605	First Options of Chicago	690			AMR	09/04/01	Uexecuted SS	1,000			
	GDK Inc.	GDK Inc. G-07-1-001 C/O Prime Management Limited Mechanics Building 12 Church St. Hamilton HM11 Bermuda	Merrill Lynch Professional Clearing Corp.	551	(b) (4)		UAL	09/05/01	Uexecuted SS	11,700		11/12/01	
	Timber Hill LLC		Interactive Brokers	17			LUV	09/05/01	Uexecuted SS	34,192			
	(b) (6), (b) (7)(C)		Interactive Brokers	17			LUV	09/05/01	Uexecuted SS	100			
			Interactive Brokers	17			LUV	09/05/01	Uexecuted SS	100			
	Lone Pine Prime Broker		Fleet Securities, Inc	158			U	09/07/01	Uexecuted SS	25,000			
	Credit Suisse First Boston Proprietary Program Trading Account		Credit Suisse First Boston	443	(b) (4)		LUV	09/04/01	Uexecuted SS	10,900			
	Credit Suisse First Boston Proprietary Program Trading Account		Credit Suisse First Boston	443			LUV	09/05/01	Uexecuted SS	11,200			
	Credit Suisse First Boston Proprietary Program Trading Account		Credit Suisse First Boston	443			LUV	09/10/01	Uexecuted SS	11,700			
	(b) (6), (b) (7)(C) Bear Hunter Specialists OR Bear Hunter Structured Products Trading LLC		KV Execution Services LLC	407			AMR	09/07/01	Uexecuted SS	11,014			
	PAX Clearing Corp.		Lawrence Helfant, Inc.	587			AMR	09/07/01	Uexecuted SS	4,000			
	Island Securities LLC		Lawrence Helfant, Inc.	587			AMR	09/07/01	Uexecuted SS	11,200			
	(b) (6), (b) (7)(C)		AG Edwards & Sons, Inc	201	(b) (6), (b) (7)(C)		AIG	08/29/01	Uexecuted SS	2,500			
		(b) (6), (b) (7)(C)	Jefferies & Co., Inc	19			LUV		Uexecuted SS	100			
			Morgan Keegan & Co, Inc.	780	(b) (6), (b) (7)(C)		CNC		Uexecuted SS	1,500			
			Morgan Keegan & Co, Inc.	780			CNC		Uexecuted SS	2,500			
			Morgan Keegan & Co, Inc.	780			CNC		Uexecuted SS	2,000			
		(b) (6), (b) (7)(C)	First Union Securities	141									

Customer ID	Name (Last, First)	Address	Firm	Clearing Number	Account Number	Account Open Date	Stock Symbol	Trade Date	Trade Type	Volume	Price	SEC Contact Date	Followup
	(b) (6), (b) (7)(C)		National Financial Services, Inc.	226			AIG	09/10/01	Bought PUTS			09/21/01	
			National Financial Services, Inc.	226			AIG	09/10/01	Bought PUTS			09/21/01	
			National Financial Services, Inc.	226			AIG	09/06/01	Sold CALLS			09/21/01	
			National Financial Services, Inc.	226			AIG	09/04/01	Sold CALLS			09/21/01	
			National Financial Services, Inc.	226			CNC	09/04/01	Sold CALLS			09/21/01	
			National Financial Services, Inc.	226			CNC	09/10/01	Sold CALLS			09/21/01	

Exhibit K

EXHIBIT K

Accounts for which follow up account information was obtained.

Account Name	Account Name	Account Name
(b)(6), (b)(7)(C)	(b)(6), (b)(7)(C)	
Arca Accounts		
(b)(6), (b)		
Biepemme Gestioni	Brandes Accounts	Chase Bank Accounts
Chicago Securities	Cobalt Partners/Omega Investment Advisors	(b)(6), (b)(7)(C)
Continental	(b)(6), (b)(7)(C)	Craig Drill Capital
(b)(6), (b)(7)(C)		Delroy Corporation
		Farber Funds
Friedman, Itschak & Ana		Gulf International Bank
(b)(6), (b)		Highline Capital
IPB US Domestic/Anova Master Fund		JetCap Partners
(b)(6), (b)(7)(C)	Kingtech Accounts	Kuwait Fund
Kuwait Investment Authority	Lone Balsam, etc.	(b)(6), (b)(7)(C)
Maverick Fund	Mees Pierson	Midtown Research
(b)(6), (b)	NCM Capital Management	(b)(6), (b)(7)(C)
Newcastle Millenium LP	(b)(6), (b)(7)(C)	
Okapi Investments		Paragon Ranch
(b)(6), (b)(7)(C)		(b)(6), (b)(7)(C)
		Roundwood Capital
Sab Gamma Limited Partnership	Sam Investments	(b)(6), (b)(7)(C)
(b)(6), (b)(7)(C)	(b)(6), (b)(7)(C)	
	Tehochem Labs	Timber Hill
(b)(6), (b)(7)(C) Accounts	Tour Societe Generale	(b)(6), (b)(7)(C)
Trident Global Investors	(b)(6), (b)	

Memorandum

NYSE

Case Opened: September 17, 2001

To: Aldo Martinez and Judith Bryngil

From: Special Task Force via Lisa Mehler, John Kulig and Barbara Krupinski

Date: December 3, 2001

Re: Special Investigation #01241 – Post Terrorist Attack Review and #01641 – Short Interest Review; Closed – SEC Referrals

Case Closed: December 3, 2001

Introduction

In the aftermath of the events of September 11, 2001, and on September 17, 2001, when the New York Stock Exchange (the "Exchange" or "NYSE") opened for business for the first time since that day, the NYSE initiated a review of certain trading prior to September 11. On September 17, NYSE Market Surveillance staff received a call from the SEC Division of Enforcement staff regarding the possibility that entities or individuals may have profited by trading in certain stocks while having prior knowledge of the events that unfolded.

A Special Task Force was convened to conduct the investigation into trading activity and the short interest review. A total of 25 individuals in Market Surveillance, including 2 Officers, 5 Directors, 12 analysts in Market Trading Analysis I and II, 2 attorneys from Special Counsel and 3 in Member Trading (1 Officer, 1 Director and 1 analyst) gathered and analyzed trading information and account documentation. In the early stages of the investigation, two attorneys from NYSE Enforcement assisted in obtaining follow up account information. Throughout these investigations numerous individuals made significant contributions. Member Trading staff questioned certain Trading Floor specialists. Market Surveillance's Regulatory, Legal & Technical Support assisted with internal Surveillance systems and the various reports utilized as tools in the trading review. Member Firm Regulation assisted by locating the member firms displaced after September 11 and provided to Market Surveillance contact names, telephone and fax numbers, and addresses to which correspondence and bluesheet (trading information) requests could be directed. Two individuals from the Securities Industry Automation Corporation ("SIAC") assisted NYSE staff on the technical side of the bluesheeting process, to the extent any firm's ability to electronically provide bluesheets to SIAC was impacted. Once all bluesheet data was received, Regulatory Systems assisted in transmitting that data to SEC Staff. A list of the individuals involved in these investigations is attached hereto as **Exhibit A.**

Initially, the NYSE and SEC staff discussed the review criteria and the selected securities. The review also included buy-side trading in other issues on September 17. Overall, the trading in 47 issues was reviewed. The sell-side Review Period was September 4 through 10, 2001.

The 42 securities that experienced price depreciation were components of the following 4 industries: (a) Airlines (b) Lodging (c) Insurance (d) Brokerage. The 5 securities that experienced price appreciation on September 17 were in the Defense industry. One thousand ninety eight (1,098) bluesheets were requested. A list of securities bluesheeted is attached as **Exhibit B**. A list of Clearing Members bluesheeted is attached as **Exhibit C**. In total, over 500,000 records representing over 1 billion shares were reviewed (see **Exhibit D**).

Staff also reviewed sell and sell short program trading activity in the airline and insurance industries from September 4 through September 10, 2001, to determine if any patterns emerged regarding execution of programs restricted to these industries. Analysis did not reveal any activity that in and of itself warranted further review. The large sales noted were executed by the firms that are typically in the top ten in program trading weekly volume (Morgan Stanley, UBS Warburg, Lehman, Goldman Sachs). Additionally, the programs would typically include stocks beyond those stocks within these two industries. There were a couple of large trades executed by firms in single stocks; however, these trades did not warrant further review as the firms noted had already been contacted by staff for bluesheet information in those stocks.

Trading Review

Methodology

During the course of the review, a two-prong approach was utilized to detect suspicious trading. The first approach reviewed bluesheet data in each security and the trading was reviewed one security at a time. In the second, combined bluesheet data for all 47 securities was reviewed in one collective report.

The single stock approach focused on large short sales and large sales in individual securities that experienced price depreciation prior to September 11, and large purchases in those stocks that experienced price appreciation prior to September 11. The securities were reviewed using the Integrated Computer Assisted Surveillance System ("ICASS"), the Surveillance Trade and Reporting System ("STARS"), and Bluesheet Finder.

The second approach focused on accounts that traded multiple securities on the correct side of the market (e.g. accounts selling AMR or buying RTN prior to September 11) and/or individuals/entities that traded through multiple accounts. The accounts were reviewed using a Frequency Report that displayed trading details for all customer ID numbers ("CustIds")[1] that traded in more than one security. The STARS and Bluesheet Finder programs were also utilized in the analysis.

Both approaches reviewed and evaluated the trading with consideration for the date of the trades, account open date, account geographic location, and similarities to names provided to the NYSE via the SEC from the FBI (the "FBI Name List"). These criteria were used to determine if an account was suspicious and/or should be included in list of accounts sent to SEC staff for their consideration.

Findings

During the course of the review, staff forwarded a total of 1,360 accounts with a total of 935 different CustIds to SEC staff for their consideration. A Master List of those accounts is attached as **Exhibit E**. These accounts were forwarded to the SEC Staff with the understanding that the selected accounts were to facilitate their review of trading prior to September 11, 2001. The accounts were forwarded via fax to SEC staff as they were reviewed. As discussed in *ISG/SEC and other Government Contact*, staff held routine discussions with SEC staff relating to the accounts forwarded for their consideration. In some cases, SEC staff stated they would follow up on specific accounts and in others, they requested staff to obtain further information (see Account Follow-up).

Of the accounts forwarded to the SEC, 511 traded in multiple securities during the Review Period. The 849 remaining accounts traded in only one security. A total of 58 accounts forwarded to the SEC traded in more than 5 securities. A separate list of these accounts is attached as **Exhibit F**.

As discussed above, in addition to accounts that traded in multiple securities, overall trading was reviewed to detect accounts with large transactions and accounts with suspicious account characteristics such as the account open

[1] Social Security number or TaxID number

dates, geographic location, and names similar to those appearing on the FBI Name List. A higher level of scrutiny was employed on accounts based on these criteria, and except for large transactions an account had to meet two of the above criteria to be forwarded to the SEC. Below are examples of the applied review criteria.

Large Short Sale/Profit Potential – Based on the potential profit by selling short specific securities prior to September 11, accounts that sold short a large number of shares were forwarded to the SEC. For example, staff forwarded two Maverick Fund accounts (Merrill Lynch account #(b)(4) and Morgan Stanley account #(b)(4), that sold short a total of 215,200 shares of Southwest Airlines (LUV) on September 7, 2001 at an average price of 17.492. Based on the LUV closing price of 13 on September 17, profit potential for the account was $966,678. (See Master List.)

Large Sale/Buy Volume – Staff believed that individuals/entities possibly trading on advance knowledge of the terrorist attacks could possibly attempt to deceive regulators by entering short sales as long sales. Further, those with knowledge of terrorist activities would liquidate existing long positions or increase existing short positions in stocks whose industries were detrimentally affected and/or establish long positions or cover existing short positions with large purchases in stocks whose industries would be positively impacted. That being considered, large purchases and/or sales on the vantage side of the market were forwarded to the SEC. Accounts that met other criteria discussed herein were reviewed as more suspicious. For example, staff referred the account of Frost National Bank, State Street Omnibus, PO Box 2950, San Antonio, TX which sold 28,500 shares of BA on September 5, 2001. This account had a large sale, the date of which was close in time to September 11. It was also located in Texas, a state of interest during the early part of this review.

Recent Account Open Date - A total of 465 accounts were forwarded to the SEC that had an account open date after May 1, 2001 (approx. 4 ½ months prior to September 11). The closer the account open date was to the first trade date, the more suspicious the account was regarded. Accounts that appear to have been opened to facilitate the trade(s) in question were deemed the most suspicious. The accounts forwarded also had timely trading or additional suspicious characteristics (i.e. sold/sold short/bought large volume on the vantage side of the market; had a suspicious geographic location; or had an account name that showed an apparent similarity to the names on the FBI Name List). For example, the account of (b)(6), (b)(7)(C), Cambiar Investors MGD, (b)(6), (b)(6), (b)(7)(C) was forwarded to the SEC. This account was opened on September 5, 2001. The account sold 118 shares of BA, 126 shares of MWD, 198 shares of AIG and 417 shares of HLT on September 7 (see Master List). The account had no foreign nexus and no similarity to the names on the FBI Name List. However, the account was forwarded to the SEC due to the fact that there was a recent account open date and selling occurred on the vantage side of the market in multiple securities..

Similar Names – Account names were matched against a list of possible terrorist or terrorist organizations which was provided on the FBI Name List. The names of the accounts that traded were reviewed for matches or similarities to that list. No fine matches (match of first and last name) were discovered. However, several accounts were forwarded based on commonality of surnames. For example, the account of (b)(6), (b)(7)(C) (b)(6), (b)(7)(C), sold short 100 shares of CNC on September 10, 2001 and had an account open date of June 19, 2001 (see Master List). Because of the foreign dialect of the last name, the non-U.S. domicile of the account and because the account had executed a timely short sale, this account was forwarded to the SEC.

Geographic Location – Accounts that were located in areas matching a list of geographic locations provided to the Exchange by the SEC (**Exhibit G**) were also considered with a high degree of suspicion. This list included both locations within the United States and in several foreign countries. Staff concentrated efforts on compiling accounts that were geographically suspicious. The weight of geographic suspicion was based on whether accounts were in locations alleged to have a connection to terrorist activities, terrorist domiciles or were cities and states located in

the United States that had been identified as such by authorities. These accounts were also forwarded only if they were noted on the vantage side of the market and had a sell, sell short or buy date relative in time to the September 11 attacks. Staff forwarded accounts with account addresses located in United States, Western Europe, Middle East, Asia, and various islands with less stringent securities laws as in the U.S. (i.e. the Cayman Islands.) For example, staff forwarded the trading in the account of (b)(6), (b)(7)(C), located in the (b)(6), (b)(7)(C) The account sold 25,000 shares of CNC on September 4 (see Master List).

During the course of this investigation, a news magazine had reported significant developments with respect to the discovery of a major terrorist cell in Milan, Italy. Two Milan-based accounts – Bipiemme Gestioni SGR SPA and ARCA – were forwarded to the SEC and follow up account information was requested. Bipiemmi sold 66,000 shares of XL on September 10, and ARCA sold 132,900 shares of UAL on August 22 (see Master List).

Due to several news stories detailing alleged terrorist concentrations based in Germany, staff forwarded to SEC staff a total of twelve (12) accounts located within Germany. Of these accounts, 9 were based in Frankfurt, Germany. These accounts were noted selling 6 different securities. Other localities to note within Germany were the cities of Stuttgart and Koblenz. These accounts were seen on both the sell-side and buy-side of our review. A document detailing these accounts is attached as **Exhibit H**.

This review did not disclose any activity that was concentrated within specific zip codes. Notable activity based on size and/or timeliness that appeared in zip code data had already been included in the Master List of accounts discussed with and forwarded to the SEC. The SEC requested a report of trading in England which was faxed on October 31, 2001.

Concentration From Money Managers - On initial review of accounts, staff noted that some accounts were managed by the same money manager and had similar trading patterns. When reviewing the buy side for trading in the defense stocks, staff noted a concentration by one money manager. This concentration in trading was facilitated through various clearing members but all had the commonality of being managed by Brandes Investment Partners LLP ("Brandes"). The accounts purchased Raytheon (RTN) or had a combination of buying RTN and selling one of the other 29 issues. (See **Exhibit I**). Brandes has offices in San Diego, CA and Geneva, Switzerland. This information was forwarded to the SEC on October 2, 2001.

Unexecuted Short Sale Orders - Clearing Members who were bluesheeted were asked to provide information concerning any large short sale orders that were entered, but not executed during the Review Period. A spreadsheet, attached as **Exhibit J**, identifies the accounts that were reported as having entered short sale orders that were not executed.

GDK Inc., which had an unexecuted order to sell short 11,700 shares of UAL on September 5, 2001, was brought to the attention of the SEC on November 12, 2001. Other unexecuted short sales were either for small volume or were through sellers which already appeared on the bluesheets due to executed sales and already appeared or were added to the Master List. It should be noted that an unexecuted short order to sell 26,900 shares of AMR on September 4, 2001 through Bright Trading was not added to the Master List because the entity had intraday activity on both sides of the market.

Included in **Exhibit J** are several names that were reported for options activity in AIG and CNC[2]. The options activity in AIG and CNC (6 accounts) that was on the vantage side of the market was forwarded to the SEC on September 21, 2001.

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[2] Along with the extensive bluesheet submissions for common stock, staff was also inadvertently sent a few bluesheets for options activity.

The complete Master List of accounts was sent to the SEC on November 14, 2001.

Short Interest Review

Following the events of September 11, Market Trading Analysis analyzed the September 2001 Open Short Interest figures on 47 listed issues impacted by the events of September 11, 2001. In addition to the issues reviewed by the Special Task Force, other issues were included due to company inquiries and/or financial media coverage. Of the 47 issues that were the initial focus of this analysis, which included a review back to June 2001, the list was pared down as follows:

1. Issues decreasing in value 10% or more between September 4 and September 10 and whose August Open Short Interest figure increased by more than 10% were selected for further review (20).
2. Issues in the defense or security business sectors that advanced in price on September 17 by 40% or more were reviewed further (5).

For those issues meeting the criteria for issues selected under #1 above, Exchange member organizations that reported an overall increase in their August Open Short Interest figure of more than 10,000 shares were identified. These firms were then requested to submit information to the Exchange on the accounts that caused the increase in September's Open Short Interest figure. On the five issues that were analyzed pursuant to #2 above, any Exchange member organization that reported a decrease in their September Open Short Interest figure of more than 50% were requested to furnish information on accounts that caused the decline in September's Short Interest figure.

Resulting from this initial analysis, staff requested the information to complete its review from 36 NYSE member organizations. The information received from these member organizations was reviewed to ascertain whether any of the accounts in question warranted immediate follow-up. The information was input into a spreadsheet application to facilitate data management and review. On November 9, 2001, staff forwarded a copy of its findings to SEC staff. The information provided was subsequently discussed in a conference call with SEC staff.

Accounts that surfaced in other September 11 reviews of trading were identified in this conference call and staff was asked to provide additional data on the following three accounts:

GDK Inc.
c/o Prime Management Limited
Mechanics Building
12 Church Street
Hamilton HM11 Bermuda

Eline Investments BV
(b)(6), (b)(7)(C)
PF/311-IM
Postbox 65, 2501 CB
The Hague Netherlands

Amerosec (b)(6), (b)(7)(C) #2
(Attn: (b)(6), (b)(7)(C))
PO Box N-4837
Nassau, Bahamas

Staff provided separate reports on the trading by GDK, Inc. and Eline Investments to SEC staff as both accounts traded in several issues. On Amerosec – (b)(6), (b)(7)(C) #2, staff was asked to obtain additional information from Neuberger & Berman as the account was opened on September 10, 2001. All of the information requested by SEC staff was forwarded to them by November 13, 2001.

Name Searches

As previously discussed, Staff matched the FBI Name List against our bluesheets. The comparison resulted in 7 possible first and last name matches, as well as numerous last name matches. This information was forwarded to SEC staff. Additionally, staff matched those names on the list with Social Security numbers, as well as additional names without Social Security numbers, if interest was expressed by the SEC, against the Autotrack/Faces of the Nation database for background information. This information was also provided to SEC staff. Staff also matched the initial list of terrorist entities (September 24, 2001) against the Unusual Activity File, with a result of no direct matches. For certain accounts on the Master List which had either traded a large number of shares, traded in more than one security, or were considered with a higher degree of suspicion due to any of the other criteria considered in this investigation, name searches were conducted on the Internet. Any resulting matches of note were discussed with SEC Staff.

ISG/SEC and Other Government Contact

Intermarket Surveillance Group (ISG) – During the week of September 17, staff contacted the Chicago Board of Options Exchange (CBOE) staff to discuss the need for possible coordination and status of current review as well as future investigative steps.

Staff learned of the scope of the CBOE review and since the SEC staff was coordinating this review, ISG coordination did not appear to be necessary. However, staff included additional securities in the "bluesheeting" efforts as a result of these discussions. Staff also exchanged with the CBOE lists of the issues bluesheeted in the respective reviews.

The NASD Regulation Inc. (NASDR) initially contacted us to inform us that it was bluesheeting in numerous issues including 6 NYSE listings. Staff had already bluesheeted the 6 issues for a two month period going back to July. The NASDR informed staff it would provide these bluesheets to staff once received by them.

Securities and Exchange Commission (SEC) – On September 17, staff discussed the scope and criteria of the NYSE review with the SEC staff. A protocol was agreed with the SEC staff to brief them on a daily basis. These daily meetings continued for three weeks until staff had completed approximately 95% of the trading to be reviewed. Two additional weekly meetings were held until staff completed 100% of the trading review.

Task Force members and SEC staff (Joseph Cella and Mark Lineberry) participated in conference calls on the 21st, 24th, 25th, 26th, 27th and 28th of September, the 1st, 2nd, 3rd, 8th 10th, 15th, 23rd and 31st of October, and the 9th of November. The conference calls were held to discuss accounts that had large and timely selling or short selling (or buying in the defense stocks) or other suspicious activity based on the daily analyses of bluesheets being conducted by the Task Force. During these conference calls, NYSE staff discussed accounts of interest and appropriate follow-up with NYSE member firms. These follow-ups included requests for new account information, monthly account statements, and contact persons for the account. Typically, the SEC staff directly looked into international accounts, and we split the follow-up on relevant domestic accounts.

Other meetings were held to discuss specific noted trading, for example trading by (b)(6), (b)(7)(C) (see Account Follow Up) and two individuals whose names matched 2 people wanted by Interpol for murder.

U.S.Attorney – On September 29, Ken Breen, Assistant U.S. Attorney for the Eastern District of New York, contacted staff. Mr. Breen had been assigned to the Financial Review Group, reviewing and coordinating capital market issues in connection with the terrorist attacks.

Mr. Breen had been working with the SEC and he informed staff that findings should continue to be given to the

SEC staff. Additionally, a protocol was discussed to immediately facilitate information to him should the need arise. This protocol would involve the Market Surveillance Special Counsel Unit.

Account Follow Up

Prior to each conference call with SEC staff, a list of the accounts to be discussed was faxed to Mr. Cella. During the conversations, staff identified accounts within the list that had elevated suspicion levels due to factors such as recent account open dates, trading in multiple securities, foreign location or high volume transactions.

At the request of the SEC, additional information for 71 accounts was obtained. This information included, among other data, new account documents, account statements, contact names and telephone numbers, order information and/or bluesheet intercase analyses, etc. The information was faxed or mailed to the SEC as received or, when appropriate, related verbally.

Additional follow up was conducted on the accounts listed in a schedule attached as **Exhibit K**. If account statements were obtained, Task Force members reviewed those statements for any suspicious activity. Where activity of note existed, such as large portfolio liquidations or money transfers, SEC staff was informed.

SEC staff also requested information concerning specific concentrations of activity. In response, staff faxed additional data including a report of all activity through Texas Commerce Bank; a summary of 389 accounts that had "Brandes" (Brandes Investment Partners), in their account title with summarized account activity; information on Tour Societe Generale trading; an Intercase Analysis search of activity by Chicago Securities and a spreadsheet of trading by New Castle Millenium and related accounts through Bear Stearns Asset Management.

See the Master List (**Exhibit E**) for annotations containing the specific follow up conducted. New account documents and other account information provided to the SEC are incorporated by reference herein and are available for inspection in the investigative file. Accounts that were discussed during the conference call but for which MTA staff was not requested to obtain additional data are also annotated on the Master List.

(b)(6), (b)(7)(C)

Three accounts belonging to (b)(6), (b)(7)(C) sold a total of 879 shares of AIG and 630 shares of AXA. The accounts, held at Lewco Securities Corp. (A/C# (b)(6), (b)(7)(C), (b)(6), (b)(7)(C) were discussed with the SEC during a conference call, at which time it was decided the Exchange would request account information relating to the three accounts.

New account documents and monthly account statements for July, August, and September were requested from Lewco Securities Corp. Based on proclamations made on the new account documents and the trading in these accounts prior to September 11, 2001, the accounts appeared suspicious.

New account document revealed (b)(6), (b)(7)(C) earning (b)(6), (b)(7)(C) per year with a net worth of (b)(6), (b)(7)(C) dollars. A net worth of (b)(6), (b)(7)(C) seemed excessive for a (b)(6), (b)(7)(C)-old individual earning (b)(6), (b)(7)(C) per year. In addition, a review of monthly account statements revealed that between September 4, 2001 and September 7, 2001 the three accounts liquidated 100% of their equity position (a dollar value of more than $2.3 million). Subsequently, on September 17 and 18, 2001, when trading resumed, the accounts purchased over $1.5 million in debt security. The timing of these trades, which presents a huge tax consequence (forced individual to take profit or loss for all equities in one year) and the accounts decision to wait to re-invest the money until September 17, 2001 demonstrated suspicious trading behavior.

Our findings were discussed with SEC staff. Follow up on this trading was conducted by the SEC staff.

Specialist Surveillance

At the beginning of this investigation, staff, via the Member Trading Department (Specialist Surveillance) of Market Surveillance, obtained information from the relevant specialists regarding unusual sales and/or short sales in various U.S. airlines stocks during the period immediately preceding September 11. The information which Specialist Surveillance gathered was ultimately supplemented by more extensive bluesheet information as well as information about large unexecuted short sales from the firms which were bluesheeted. This initial information assisted staff in identifying at an early stage those firms with significant activity in these issues.

Other Related Reviews

Six Flags, Inc. – On October 12, 2001, LaBranche & Co., the specialist in Six Flags, Inc. ("Six Flags"), contacted Senior Exchange management to apprise the staff that there was uncharacteristic short selling in Six Flags Common Stock ("PKS"). Given the concern about a possible terrorist biological attack (Anthrax), staff reviewed the trading in PKS and the Series B Preferred Stock ("PKSPrB") for possible impropriety. Using additional information obtained by the Exchange's On Floor Surveillance Unit, staff requested that Bear Stearns & Co. and Deutsche Bank Alex. Brown LLC, submit their trading in PKS for the period of October 5 – 12, 2001 to the Exchange for review. Lehman Brothers, Inc. was requested to submit similar data on their trading of PKS and PKSPrB. Staff's review of the information that was furnished resulted in identifying the following accounts that sold 5,000 shares or more of PKS short during the period reviewed:

Firm	Account	# Shares of PKS Sold Short
DB Alex Brown	Ziff Asset Mgmt LP	500,000
Bear Stearns	Paloma Partners LLC Prospect Partners	37,500
DB Alex Brown	Trout Trading	13,908
DB Alex Brown	Sigma Capital Assoc.	10,000
Lehman Brothers	Program Trading	8,200
Bear Stearns	Paloma Partners LLC Empirica NT	5,600
Bear Stearns	Tycho Investors LP	5,000

On November 1, 2001, staff discussed Ziff Asset Management LP with SEC staff. They advised NYSE staff that this account was part of Och-Ziff Capital Management. Staff found no other trading that it deemed suspicious and, therefore, did not conduct any further analysis in this area.

HSBC Holdings PLC – On October 8, 2001, the SEC contacted NYSE staff regarding unusual bearish put option activity in HSBC Holdings PLC ("HBC"). Staff reviewed the selling in NYSE-listed HBC common stock in the wake of the events of September 11, as HBC is headquartered in London, England, which was rumored to be the next target for terrorism.

Upon review of the HBC stock activity, Staff closed the review with no further action due to the lack of foreign based accounts and concentrated short selling through any one firm, and the non-commonality between put purchasers and short sellers.

Southwest Securities Inc. - Trading by clearing member SouthWest Securities branch 19X was examined at the request of the SEC. Through the use of STARS and Bluesheet Viewer it was determined that branch 19X was not present in any of the bluesheets received. The SEC was informed of our findings and no further request was made regarding this branch query.

Special Review – On November 6, 2001, the SEC asked that we search the name [redacted] in our bluesheets. Searches were made via STARS with no direct matches found. The account of [redacted] was brought to the SEC's attention and details were faxed on November 6, 2001. This account had not traded in the securities involved in our investigation, but had activity on December 18, 2000 in an investigation concerning UPS.

Conclusion

The Special Task Force has completed its review with all relevant information forwarded to SEC staff. This matter is being closed at this time. A copy of this memorandum is being forwarded to SEC staff for their information.

The above information is being sent to the SEC for surveillance purposes only, and confidential treatment is being requested pursuant to the Freedom of Information Act and the applicable SEC Rules thereunder. Such treatment is requested on the grounds, among others, that the information submitted may contain confidential financial data of private parties, as well as sensitive surveillance data whose disclosure may significantly impair the effectiveness of the Exchange's self-regulatory mechanism. Accordingly, should any request be made for disclosure of these materials, or their contents, it is asked that the Exchange be notified of this fact immediately, giving us a chance to interpose our objections.

C: Joseph Cella/ US Securities and Exchange Commission – Washington, DC

EXHIBITS

Exhibit A	List of individuals involved in the investigation of trading and who assisted in the gathering of documents/information, as well as systems support.
Exhibit B	Spreadsheet sorted by symbol which identifies all securities bluesheeted in this investigation.
Exhibit C	Spreadsheet sorted by Firm which identifies all Exchange member firms from which bluesheets were requested in this investigation.
Exhibit D	List of securities for which bluesheets were received. This list shows the number of records received and the number of shares represented on those bluesheets (categorized by buys, sales, and short sales).
Exhibit E	Master List of accounts discussed and forwarded to the SEC. Includes annotations of account follow up.
Exhibit F	List of 58 accounts which traded in 5 or more securities. All were discussed with the SEC.
Exhibit G	List of significant geographic locations provided by the SEC.
Exhibit H	A list of accounts concentrated in Germany which appeared on the buy and sell sides of our review.
Exhibit I	Accounts that both bought and sold securities that were the subject of this investigation and which were managed by Brandes Investment Partners, LLP.
Exhibit J	Spreadsheet of accounts which entered short sale orders but were not executed. Included in this spreadsheet are several account names that were reported for options activity in AIG and CNC.
Exhibit K	List of accounts for which follow up was conducted.

RSEC 0300365 2F

James C. Dolan
Assistant Director

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February 13, 2002

Via Overnight Mail

Mr. Joseph Cella
Division of Enforcement
U.S. Securities and Exchange Commission
450 5th Street NW, Mail Stop 0804
Washington, DC 20549

Re: Pre-September 11 Trading Analysis
Case Number: MRD200131207

Dear Joe:

Enclosed please find a Referral Report summarizing the staff's findings regarding the trading in certain securities surrounding the terrorist attacks of September 11, 2001. The staff will shortly forward to the SEC a CD containing an analysis of trading by accounts that effected transactions in multiple securities prior to September 11th.

NASD Regulation, Inc. considers the enclosed material, bate stamped 1- 112, to be confidential and requests that the Commission maintain it in a nonpublic file and treat it as confidential in accordance with 17 C.F.R. § 200.83. The enclosed material is exempt from disclosure under the Freedom of Information Act ("FOIA") pursuant to the exemptions set forth in 5 USC § 552(b), including, but not limited to Section 552(b)(7).

If a FOIA request is made for any of the enclosed documents, NASD Regulation, Inc. requests that it be allowed to comment upon such request before a final decision on the request is made by the Commission. Notification of any such request should be delivered to the Chief Counsel of the Legal Section within the Market Regulation Department.

Should you have any questions regarding this matter, please contact me at (240) 386-5007.

Sincerely,

James C. Dolan
Assistant Director
Market Regulation

cc: FOIA Officer (Letter Only)

Atlantic Coast Airlines Holdings, Inc. ("ACAI")

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: U.S. Airline
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, ACAI closed at a last sale of $17.02, down $9.50 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*[1]
Name: Corriente *New York, NY USA* *Social Security #:* N/A *Firm:* Spear Leeds & Kellogg Securities, Inc. ("SILK") *Account Number:* (b)(4) *Date Account Opened:* 8/6/01	9/10/01	Short Sale ("SS")	2,000	Unknown	$26.07	$52,140	$18,100

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: ABAXBANK SPA *Milano, Italy* *Social Security # OR Tax ID.:* N/A *Firm:* Bear Stearns ("BEST") *Account Number:* (b)(4)	8/7/01	SS	19,800	Unknown	$26.83	$531,234	$389,466
	8/9/01	SS	12,100	Unknown	$27.06	$327,426	$119,790
	8/17/01	SS	28,000	Unknown	$24.44	$684,320	$203,840
	8/21/01	SS	11,900	Unknown	$24.95	$296,905	$92,701
	8/22/01	SS	8,600	Unknown	$24.96	$214,656	$67,080
	Total		80,400				**$872,877**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6), (b)(7)(C) (b)(6), (b)(7)(C) *Social Security #:* N/A *Firm:* iClearing LLC ("ICLR") *Account Number:* (b)(6), (b)(7)(C)	9/10/01	Sell	40	Unknown	$26.11	$1,044	$758

[1] Potential profit for this and the following accounts is based on ACAI's September 17, 2001 closing last sale price of $17.02.

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Sturgeon Limited *Hamilton, Bermuda* *Social Security # OR Tax ID.:* N/A *Firm:* BEST *Account Number:* (b)(4)	7/24/01	SS	300	Unknown	$27.34	$8,202	$3,054
	7/25/01	SS	230	Unknown	$26.97	$6,203	$2,256
	7/25/01	SS	180	Unknown	$26.99	$4,858	$1,769
	7/27/01	SS	400	Unknown	$28.78	$11,512	$4,648
	7/31/01	SS	690	Unknown	$28.69	$19,796	$7,955
	8/1/01	SS	660	Unknown	$29.08	$19,192	$7,867
	8/3/01	SS	1,020	Unknown	$27.98	$28,539	$11,036
	8/6/01	SS	390	Unknown	$28.02	$10,927	$4,235
	8/16/01	SS	360	Unknown	$24.82	$8,935	$2,757
	8/20/01	SS	1,530	Unknown	$24.35	$37,255	$11,000
	Total		**5,760**				**$56,577**

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6), (b)(7)(C) (b)(6), (b)(7)(C) *Social Security #:* (b)(6), (b)(7)(C) *Firm:* BEST *Account Number:* (b)(6), (b)(7)(C)	7/17/01	SS	55,100	Unknown	$27.66	$1,524,066	$578,550
	7/18/01	SS	34,900	Unknown	$27.91	$974,059	$375,175
	7/20/01	SS	21,400	Unknown	$27.59	$590,426	$223,202
	Total		**111,400**				**$1,176,927**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: S.A.C. Capital *Stamford, CT USA* *Tax ID.:* 13-5515160 *Firm:* Credit Suisse First Boston Corporation ("FBCO") *Account Number:* (b)(4)	7/27/01	SS	20,000	Unknown	$28.96	$579,200	$236,000

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: S.A.C. Capital *Stamford, CT USA* *Tax ID.:* 13-3860197 *Firm:* Spear, Leeds & Kellogg,	7/11/01	SS	20,000	Unknown	$29.20	$584,000	$240,800

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Inc. ("SILK") ***Account Number:*** (b)(4) [redacted]							

Account Information	***Trade Date***	***Buy/ Sell***	***No. of Shares***	***Sol/ Unsol***	***Price***	***Trade Value***	***Potential Profit***
Name: Trout Trading ***New York, NY USA*** ***Tax ID.:*** 13-2730828 ***Firm:*** Deutsche Banc Securities Corporation ("DBAB") ***Account Number:*** (b)(4) [redacted]	9/10/01	SS	15,000	Unknown	$26.04	$390,600	$133,200

05

American Physicians Capital ("ACAP")

CONFIDENTIAL TREATMENT REQUESTED BY NASD REGULATION, INC.

Industry: Insurance
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, ACAP closed at a last sale of $20.95, down $0.75 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*[1]
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* UBS PaineWebber Inc. ("PWJC") *Account Number:* (b)(6),(b)(7)(c) *Date Account Opened:* 9/10/01	9/10/01	Sell	1,108	Unknown	$21.9004	$24,265	$1,053

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: Shaker Tower Master Fund LP A/C Admiral Administration Ltd. *City, State, Country:* Cayman Islands, British West Indies *Tax ID.:* N/A *Firm:* Banc of America Securities LLC ("MONT") *Account Number:* (b)(4)	8/16/01	Sell	5,000	Unknown	$22.1708	$110,854	$6,104

[1] Loss avoidance for this and the following accounts is based on ACAP's September 17, 2001 closing last sale price of $20.95.

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CONFIDENTIAL TREATMENT REQUESTED BY NASD REGULATION, INC.

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: The Saudi Investment Bank ***City, State, Country:*** Riyadh, Saudi Arabia ***Tax ID.:*** N/A ***Firm:*** Pershing Division of Donaldson, Lufkin & Jenrette Securities Corp. ("PERS") ***Account Number:*** (b)(4)	8/3/01	Sell	100	Unknown	$22.00	$2,200	$105

PROFIT SORT

The following is a summary of the institutional accounts with the highest loss avoidance based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: Gerald Klauer Mattison Co. Inc. ***City, State, Country:*** New York, NY ***Tax ID.:*** 13-3459853 ***Firm:*** Bear Stearns Securities Corp. ("BSSC") ***Account Number:*** (b)(4)	9/5/01 9/6/01	Sell Sell	15,000 11,975	Unknown Unknown	$22.37 $22.3467	$335,550 $267,601	$21,300 $16,725
		Total	**26,975**				**$38,025**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: North Star Partners LP ***City, State, Country:*** New York, NY ***OR Tax ID.:*** 13-3863788 ***Firm:*** BSSC ***Account Number:*** (b)(4)	8/22/01 8/24/01	Sell Sell	6,700 5,200	Unknown Unknown	$22.2552 $22.4373	$149,109 $116,673	$8,745 $7,734
		Total	**11,900**				**$16,479**

Argonaut Group, Inc. ("AGII")

CONFIDENTIAL TREATMENT REQUESTED BY NASD REGULATION, INC.

Industry: Specialty Insurance
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, AGII closed at a last sale of $15.50, down $1.02 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

No transactions with a profit or loss avoidance potential of more than $5,000 by accounts opened during the review period were noted.

FOREIGN ACCOUNT SORT

No foreign accounts with a profit or loss avoidance potential of more than $5,000 during the review period were noted.

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest loss avoidance and/or profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*[1]
Name: Jemini Securities LLC *City, State, Country:* New York, NY U.S.A. *Tax ID #:* 13-4011690 *Firm:* Spear, Leeds & Kellogg ("SILK") *Account Number:* (b)(4)	08/28/01	Sell	8,800	Unsol	$18.05	$158,840	$22,440

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Profit Potential*
Name: Merrill Lynch / (b)(6), (b)(7)(C) *City, State, Country:* (b)(6), (b)(7)(C) U.S.A. *Social Security #:* (b)(6), (b)(7) *Firm:* Lehman Brothers Inc. ("LEHM") *Account Number:* (b)(4),(b)(6),(b)(7)(c)	07/6/01	Short Sell	4,273	Unsol	$18.6243	$79,581	$13,350

[1] Loss avoidance and/or profit potential for this and the following accounts is based on AGII's September 17, 2001 closing last sale price of $15.50.

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Alfa Corporation ("ALFA")

CONFIDENTIAL TREATMENT REQUESTED BY NASD REGULATION, INC.

Industry: Insurance
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, ALFA closed at a last sale of $20.36, down $2.89 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*[1]
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* Edward D. Jones & Co. ("EDJO") *Account Number:* (b)(6),(b)(7)(c) *Date Account Opened:* 7/9/01	7/13/01 7/31/01	Sell Sell	1,600 1,600	Unknown Unknown	$23.00 $24.0535	$36,800 $38,485	$4,224 $5,910
	Total		**3,200**				**$10,134**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* UBS PaineWebber Inc. ("PWJC") *Account Number:* (b)(6),(b)(7)(c) *Date Account Opened:* 7/18/01	7/26/01	Sell	2,000	Unknown	$24.00	$48,000	$7,280

FOREIGN ACCOUNT SORT

No foreign accounts with a potential loss avoidance of more than $5,000 during the review period were noted.

[1] Loss avoidance for this and the following accounts is based on ALFA's September 17, 2001 closing last sale price of $20.36.

09

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest loss avoidance based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* Salomon Smith Barney Inc. *Account Number:* (b)(6),(b)(7)(c)	08/21/01	Sell	11,500	Unsol	$24.20	$278,300	$44,160
	08/23/01	Sell	4,000	Unsol	$24.165	$96,660	$15,220
	Total		**15,500**			**$374,960**	**$59,380**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: Profunds Advisors *City, State, Country:* Bethesda, MD, U.S.A. *Tax ID.:* 311-67-9253 *Firm:* Lehman Brothers Inc. *Account Number:* (b)(4)	08/03/01	Sell	4,005	Unsol	$24.35	$97,522	$15,980

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: U.S. Airline
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, AMR closed at a last sale of $18.00, down $11.70 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*[1]
Name: Commerzbznk Int'l Capital Mgmt *City, State, Country:* Frankfurt, Germany *Tax ID.:* None *Firm:* Salomon Smith Barney, Inc. ("SBSH") *Account Number:* (b)(4) *Date Account Opened:* 07/26/01	07/26/01	SS[2]	7,900	Unknown	$35.81	$282,899	$140,699

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Spear Leeds & Kellogg FAO Saphire Partners, LLC *City, State, Country:* New York, NY *Tax ID.:* 135-51-5160 *Firm:* Jeffries & Co., Inc. ("JEFF") *Account Number:* (b)(4) *Date Account Opened:* 07/31/01	08/22/01	SS	1,100	Unknown	$32.01	$35,211	$15,411

1 Profit potential for this and the following accounts is based on AMR's September 17, 2001 last sale price of $18.00.

2 Short Sell will be indicated throughout the rest of this report as "SS".

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit*[3]
Name: Makor Issues & Rights, Ltd.	09/07/01	SS	4,900	Unknown	$30.05	$147,245	$62,676
City, State, Country: Jerusalem, Israel	09/07/01	SS	100	Unknown	$29.89	$2,989	$1,268
Tax ID.: None	09/17/01	Buy	4,800	Unknown	$17.26	$82,848	
Firm: Instinet Clearing Services, Inc. ("ICSG")	09/17/01	Buy	100	Unknown	$17.21	$1,721	
Account Number: (b)(4) redacted	09/17/01	Buy	100	Unknown	$17.21	$1,721	
	Total		5,000				**$63,944**

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Zander Capital Management	09/10/01	SS	3,600	Unknown	$29.90	$107,640	$42,840
City, State, Country: New York, NY	09/10/01	SS	1,400	" "	$29.81	$41,734	$16,534
Tax ID.: None	09/10/01	SS	900		$29.75	$26,775	$10,575
Firm: Morgan Stanley & Co. ("MSCO")	09/10/01	SS	1,200		$29.72	$35,664	$14,064
Account Number: (b)(4) redacted	09/10/01	SS	2,100		$29.70	$62,370	$24,570
	09/10/01	SS	1,000		$29.69	$29,690	$11,690
	09/10/01	SS	4,000		$29.66	$118,640	$46,640
	09/10/01	SS	2,000		$29.66	$59,320	$23,320
	09/10/01	SS	300		$29.77	$8,931	$3,531
	09/10/01	SS	500		$29.74	$14,870	$5,870
	Total		17,000				**$199,634**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: The Jackson Laboratory	08/22/01	SS	2,600	Unknown	$32.00	$83,200	$36,408
City, State, Country: Bar Harbor, ME							
Tax ID.: 01-0211513							
Firm: Morgan Stanley & Co., Inc. ("MSCO")							
Account Number: (b)(4) redacted							

[3] Realized profit was calculated using the First In First Out method of accounting.

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AMR Corporation ("AMR")

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c)	08/07/01	SS	200	Unsol.	$34.12	$6,824	$3,224
City, State, Country: (b)(6),(b)(7)(c)	08/07/01	SS	100	Unsol.	$34.12	$3,412	$1,612
Social Security #: (b)(6),(b)(7)(c)	08/07/01	SS	200	Unsol.	$34.12	$6,824	$3,224
Firm: Charles Schwab & Co., Inc. ("CHAS")	08/07/01	SS	100	Unsol.	$34.12	$3,412	$1,612
	08/10/01	SS	100	Unsol.	$33.40	$3,340	$1,540
Account Number: (b)(6),(b)(7)(c)	08/10/01	SS	100	Unsol.	$33.40	$3,340	$1,540
	08/10/01	SS	100	Unsol.	$33.40	$3,340	$1,540
	08/10/01	SS	100	Unsol.	$33.40	$3,340	$1,540
	08/27/01	SS	300	Unsol.	$33.63	$10,089	$4,689
	08/27/01	SS	300	Unsol.	$33.63	$10,089	$4,689
	09/07/01	SS	200	Unsol.	$31.00	$6,200	$2,600
	Total		1,800				**$27,810**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit*
Name: (b)(6),(b)(7)(c)	09/07/01	SS	4,000	Unsol.	$30.00	$120,000	$48,000
City, State, Country: (b)(6),(b)(7)(c)	09/17/01	Buy	4,000	Unsol.	$18.00	$72,000	
Tax ID.: (b)(6),(b)(7)(c)							
Firm: CHAS							
Account Number: (b)(6),(b)(7)(c)							

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Amtran Inc. ("AMTR")

CONFIDENTIAL TREATMENT REQUESTED BY NASD REGULATION, INC.

Industry: U.S. Airline
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, AMTR closed at a last sale of $11.75, down $10.79 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*[1]
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6), (b)(7) U.S.A. *Social Security #:* (b)(6),(b)(7)(c) *Firm:* McDonald Investments Inc. ("MDLD") *Account Number:* (b)(6),(b)(7)(c) *Date Account Opened:* 08/31/01	08/31/01	Sell	10,200	Unsol	$22.096	$225,379	$105,535

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) U.S.A. *Social Security #:* (b)(6),(b)(7)(c) *Firm:* MDLD *Account Number:* (b)(6),(b)(7)(c) *Date Account Opened:* 08/03/01	08/03/01	Sell	1,200	Unsol	$22.40	$26,880	$12,780
	08/06/01	Sell	4,131	Unsol	$22.40	$92,534	$44,006
	Total		**5,331**			**$119,414**	**$56,786**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) U.S.A. *Social Security #:* (b)(6),(b)(7)(c) *Firm:* MDLD *Account Number:* (b)(6),(b)(7)(c) *Date Account Opened:* 09/10/01	09/10/01	Sell	4,266	Unsol	$22.5	$95,985	$45,860

[1] Loss avoidance and/or profit potential for this and the following accounts is based on AMTR's September 17, 2001 closing last sale price of $11.75.

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: Werko Limited *City, State, Country:* Renfrewshire, Scotland *Tax ID.:* None *Firm:* Ingalls & Snyder, LLC ("INGS") *Account Number:* (b)(4)	08/03/01	Sell	2,400	Unsol	$22.19	$53,256	$25,064

PROFIT SORT

The following is a summary of the retail accounts with the highest loss avoidance based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* Charles Schwab & Co., Inc. ("CHAS") *Account Number:* (b)(6),(b)(7)(c)	8/30/01	Sell	3,400	Unsol.	$22.50	$76,500	$36,550
	8/30/01	Sell	200	Unsol.	$22.51	$4,502	$2,152
	8/30/01	Sell	9,800	Unsol.	$22.56	$221,088	$105,938
	8/30/01	Sell	2,800	Unsol.	$22.55	$63,140	$29,340
	9/6/01	Sell	5,000	Unsol.	$22.43	$112,150	$53,400
	9/10/01	Sell	6,500	Unsol.	$22.50	$146,250	$69,875
	9/10/01	Sell	1,500	Unsol.	$22.52	$33,780	$16,155
		Total	**29,200**				**$313,410**

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: Car Rental
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, ANCX closed at a last sale of $1.75 down $1.77 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*[1]
Name: Capital Resources Financial Services *City, State, Country:* Chicago, IL, U.S.A. *Tax ID #:* 57-6099236 *Firm:* Pershing Divison of Donaldson, Lufkin & Jenrette Securities Corp. ("PERS") *Account Number:* (b)(4) *Date Account Opened:* 08/23/01	08/27/01	Sell	63,700	Unsol.	$3.66	$233,142	$121,731

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: Lyxor Master Fund *City, State, Country:* St. Helier Jersey, Channel Islands. *Tax ID.:* None *Firm:* Bear, Stearns Securities Corp. ("BEST") *Account Number:* (b)(4)	07/03/01	Sell	1,400	Unsol	$3.9726	$5,561	$3,112
	07/05/01	Sell	7,800	Unsol	$3.9726	$77,786	$17,336
	07/06/01	Sell	7,300	Unsol	$4.22	$30,806	$18,014
	07/20/01	Sell	12,200	Unsol	$4.17	$50,874	$29,542
	09/10/01	Sell	8,700	Unsol	$3.50	$30,450	$15,256
	Total		**37,400**			**$195,477**	**$83,260**

[1] Loss avoidance and/or profit potential for this and the following accounts is based on ANCX's September 17, 2001 closing last sale price of $1.75.

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

PROFIT SORT

The following is a summary of the retail accounts with the highest loss avoidance and/or profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* Neuberger Berman Inc. ("NEUB") *Account Number:* (b)(6),(b)(7)(c)	9/4/01 9/6/01	Sell Sell	7,700 22,300	Unknown Unknown	$4.00 $4.0083	$30,800 $89,385	$17,325 $50,360
	Total		**30,000**				**$67,685**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Profit Potential*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) U.S.A. *Social Security #:* (b)(6),(b)(7)(c) *Firm:* Banc of America Securities, LLC ("MONT") *Account Number:* (b)(6),(b)(7)(c)	7/30/01 7/31/01 8/1/01 8/17/01	Short Sale Short Sale Short Sale Short Sale	1,600 17,400 800 1,600	Unknown Unknown Unknown Unknown	$4.10 $4.107 $4.10 $4.10	$6,560 $71,461 $3,280 $6,560	$3,760 $41,011 $1,880 $3,760
	Total		**21,400**				**$50,411**

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: Telecommunications Signal Processing
Review Period: July 2, 2001 through September 17, 2001
Price Movement (last sale): On September 17, 2001, APSG closed at a last sale price of $7.25 per share, up $2.06 from the close on September 10, 2001.

CHRONOLOGY MATCH:

No material matches were noted.

DATE ACCOUNT OPENED SORT

No transactions with a profit potential of more than $5,000 by accounts opened during the review period were noted.

FOREIGN ACCOUNT SORT

No foreign accounts with a profit potential of more than $5,000 during the review period were noted.

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

PROFIT SORT

The following is a summary of the institutional accounts with the highest potential profit based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*[1]
Name: M. E. R. S. of Michigan ***City, State, Country:*** Lansing, MI U.S.A. ***Tax ID.:*** 38-1957940 ***Firm:*** Instinet Corp. ("INCA") ***Account Number:*** (b)(4)	7/26/2001	Buy	92800	Unsol	$6.67690	$619.616.32	$53,183.68
	7/30/2001	Buy	8300	Unsol	$6.52790	$54,181.57	$5,993.43
	7/31/2001	Buy	13000	Unsol	$6.19920	$80,589.60	$13,660.40
	8/10/2001	Buy	30400	Unsol	$6.45610	$196,265.44	$24,134.56
	8/14/2001	Buy	2300	Unsol	$5.89000	$13,547.00	$3,128.00
	8/21/2001	Buy	3100	Unsol	$5.58510	$17,313.81	$5,161.19
	8/22/2001	Buy	16900	Unsol	$5.08790	$85,985.51	$36,539.49
	TOTAL		**166,800**				**$141,800.75**
Firm: National Financial Services Corp. ("NFSC") ***Account Number:*** (b)(4)	8/23/2001	Buy	15000	Unsol	$4.99460	$74,919.00	$33,831.00
	8/24/2001	Buy	1900	Unsol	$5.03120	$9,559.28	$4,215.72
	8/27/2001	Buy	14100	Unsol	$5.13120	$72,349.92	$29,875.08
	8/29/2001	Buy	10800	Unsol	$5.18125	$55,957.50	$22,342.50
	8/30/2001	Buy	12900	Unsol	$5.18125	$66,838.13	$26,686.88
	9/5/2001	Buy	5975	Unsol	$5.19060	$31,013.84	$12,304.92
	9/6/2001	Buy	6100	Unsol	$5.23120	$31,910.32	$12,314.68
	9/10/2001	Buy	9800	Unsol	$5.22850	$51,239.30	$19,810.70
			76,575				**$161,381.47**
	TOTAL		**243,375**				**$303,182.22**

[1] Potential profit for this and the following account is based on APSG's September 17, 2001 closing last sale price of $7.25 per share.

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC

Industry: Alternative Energy
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, APWR closed with a last sale price of $37.10, up $1.87 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

No transactions with a profit potential of more than $5,000 were noted by accounts opened during the review period.

FOREIGN ACCOUNT SORT

The following is a summary or certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*[1]
Name: CIS Unit Trust Managers A/C Enviro Trust Attention Andy Guthrie *City, State, Country:* Manchester, England *Tax ID.:* N/A *Firm:* Raymond James & Associates Inc. ("RAJA") *Account Number:* (b)(4)	8/20/01	Buy	15,000	Unsol.	$32.661	$489,915	$66,585

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Intrepid Capital Management *City, State, Country:* Brooklyn, NY *Tax ID.:* N/A *Firm:* Morgan Stanley & Co., Inc. ("MSCO") *Account Number:* (b)(4)	8/20/01	Buy	50,000	Unsol.	$32.426	$1,621,300	$233,700

[1] Potential profit for this and the following account is based on APWR's September 17, 2001 closing last sale price of $37.10 per share.

AstroPower, Inc. ("APWR")

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Dawson Giammalva *City, State, Country:* Southport, CT *Social Security #.:* N/A *Firm:* MSCO *Account Number:* (b)(4)	8/22/01	Buy	41,400	Unsol.	$33.441	$1,384,457	$151,445

BE Aerospace Inc. ("BEAV")

CONFIDENTIAL TREATMENT REQUESTED BY NASD REGULATION, INC.

Industry: U.S. Airline Contractor
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, BEAV closed at a last sale of $6.752, down $7.82 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*[1]
Name: GMG Seneca Capital Management ***City, State, Country:*** San Francisco, CA, U.S.A. ***Tax ID.:*** 363-01-0241 ***Firm:*** Instinet Clearing Services Inc. ("ICSG") ***Account Number:*** (b)(4) [redacted] ***Date Account Opened:*** 08/06/01	08/09/01	Sell	14,000	Unsol	$17.2314	$241,234	$146,712

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: Westcap Investors A/C Teamsters Local 705 ***City, State, Country:*** Los Angeles, CA, U.S.A. ***Tax ID.:*** 411-54-7380 ***Firm:*** ICSG ***Account Number:*** (b)(4) [redacted] ***Date Account Opened:*** 8/14/01	08/14/01	Sell	10,900	Unsol	$17.87	$194,783	$121,187

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

[1] Loss avoidance for this and the following accounts is based on BEAV's September 17, 2001 closing last sale price of $6.752.

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: (b)(4) (b)(4) *City, State, Country:* (b)(4) (b)(4) *Social Security #:* None *Firm:* Dean Witter Reynolds Inc. ("DEAN") *Account Number:* (b)(4)	07/30/01	Sell	300	Unsol	$18.25	$5,475	$3,449

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: Vinik Overseas Fund Ltd. *City, State, Country:* Grand Cayman Islands *Tax ID.:* None *Firm:* Morgan Stanley & Co., Inc. ("MSCO") *Account Number:* (b)(4)	07/10/01 through 09/17/01	Sell	193,700 total	Unsol	Various	N/A	$847,216

PROFIT SORT

The following is a summary of the institutional accounts with the highest loss avoidance based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: Vinik Partners LP *City, State, Country:* Boston, MA, U.S.A. *Tax ID #:* 04-3331213 *Firm:* MSCO *Account Number:* (b)(4)	07/10/01 through 09/17/01	Sell	16,300 Total	Unsol.	Various	N/A	$71,194

Continental Airlines, Inc. ("CAL")

CONFIDENTIAL TREATMENT REQUESTED BY NASD REGULATION, INC.

Industry: U.S. Airline
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, CAL closed at a last sale of $20.05, down $19.59 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit and Loss Avoidance*[1]
Name: Sturgeon Limited (EVA) Attn: (b)(6), (b)(7)(C) *City, State, Country:* Hamilton, Bermuda *Tax ID.:* None *Firm:* Morgan Stanley & Co. ("MSCO") *Account Number:* (b)(4),(b)(6),(b)(7)(c) *Date Account Opened:* 7/25/01	9/7/01	SS[2]	4,800	Unknown	$40.83	$195,984	$99,998
	9/10/01	SS	1,000	Unknown	$39.48	$39,480	$19,486
	9/17/01	SS	7,000	Unknown	$20.00	$140,000	N/A
Name: Sturgeon Limited (EVA) Attn: (b)(6), (b)(7)(C) *City, State, Country:* Hamilton, Bermuda *Tax ID.:* None *Firm:* MSCO *Account Number:* (b)(4),(b)(6),(b)(7)(c) *Date Account Opened:* 7/25/01	8/3/01	Buy	500	Unknown	$48.60	$24,300	N/A
	8/6/01	Buy	900	Unknown	$47.77	$42,993	N/A
	8/10/01	Buy	400	Unknown	$45.33	$18,132	N/A
	8/16/01	Buy	300	Unknown	$44.55	$13,365	N/A
	9/4/01	Sell	500	Unknown	$44.40	$22,200	$12,200
	9/7/01	Sell	1,600	Unknown	$41.49	$66,384	$34,384
	Total		5,800[3]				**$166,068**

1 Profit potential and loss avoidance were calculated using CAL's September 17, 2001 last sale price of $20.05.
2 "SS" indicates a short sell.
3 Total short sales prior to September 17, 2001.

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Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Spear Leeds & Kellogg FAO Saphire Partners, LLC ***City, State, Country:*** New York, NY ***Tax ID.:*** 135-51-5160 ***Firm:*** Jeffries & Co., Inc. ("JEFF") ***Account Number:*** (b)(4) [redacted] ***Date Account Opened:*** 7/31/01	8/22/01	SS	900	Unknown	$42.29	$38,061	$20,067

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit*[4]
Name: Managed Quantitative Advisors Strategic Value Trading Co. ***City, State, Country:*** Grand Cayman ***Tax ID.:*** 08-1585226 ***Firm:*** Bear, Stearns Securities Corp. ("BSSC") ***Account Number:*** (b)(4) [redacted] ***Date Account Opened:*** 8/9/01	8/23/01 9/4/01 9/5/01 9/17/01 9/17/01	SS SS SS Buy Buy	8,290 894 175 4,359 5,000	Unknown Unknown Unknown Unknown Unknown	$41.99 $44.22 $44.07 $19.60 $19.00	$348,097 $39,532 $7,712 $85,436 $95,000	 $97,598 $117,306
	Total		9,359				**$214,904**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Bear Stearns & Co., FTAO Bankers Trust QED Fund A/C #28865019 ***City, State, Country:*** Brooklyn, NY ***Tax ID.:*** 13-3604093 ***Firm:*** JEFF ***Account Number:*** (b)(4) [redacted] ***Date Account Opened:*** 8/23/01	8/23/01 8/27/01	SS SS	1,200 1,000	Unknown Unknown	$42.24 $44.48	$50,688 $44,480	$26,690 $24,485
	Total		2,200				**$51,175**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Morgan Stanley & Co., FTAO BTOPLS A/C #38D1070 ***City, State, Country:*** New York, NY ***Tax ID.:*** 13-2655998 ***Firm:*** JEFF ***Account Number:*** (b)(4) [redacted] ***Date Account Opened:*** 8/24/01	8/23/01 8/27/01	SS SS	1,200 1,000	Unknown Unknown	$42.24 $44.48	$50,688 $44,480	$26,690 $24,485
	Total		2,200				**$51,175**

[4] Realized profit was calculated using the First In First Out method of accounting.

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Davidson Kemper Intl., Ltd. A/C Corres B/D MH Davidson , *City, State, Country:* Curacao, Netherlands Antilles *Tax ID.:* None *Firm:* BSSC *Account Number:* (b)(4)	7/12/01	SS	8,381	Unknown	$50.40	$422,402	$254,836
	8/31/01	SS	2,440	Unknown	$43.39	$105,871	$57,072
	9/6/01	SS	2,346	Unknown	$42.20	$99,001	$52,088
	9/10/01	SS	1,560	Unknown	$39.26	$61,245	$30,046
	9/17/01	SS	3,089	Unknown	$19.01	$58,721	N/A
	Total		14,727[5]				**$394,042**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential and Realized Profit*
Name: Tie Limited *City, State, Country:* Hamilton, Bermuda *Tax ID.:* None *Firm:* BSSC *Account Number:* (b)(4)	7/24/01	SS	1,600	Unknown	$50.09	$80,144	$47,328
	8/22/01	SS	1,200	Unknown	$42.16	$50,592	$26,348[6]
	9/17/01	Buy	2,000	Unknown	$20.51	$41,020	
	Total		2,800				**$73,676**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: MD US Equity Fund *City, State, Country:* Minneapolis, MN *Tax ID.:* None *Firm:* BSSC *Account Number:* (b)(4)	8/14/01	Sell	26,000	Unknown	$44.86	$1,166,360	$646,412

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: New Discipline Value Fund *City, State, Country"* New York, NY *Tax ID.:* None *Firm:* BSSC *Account Number:* (b)(4)	8/9/01	Sell	25,000	Unknown	$45.67	$1,141,750	$641,870

[5] Total number of shares shorted prior to September 17, 2001.

[6] Combined realized profit on 400 shares and potential profit on remaining 800 shares.

CONFIDENTIAL TREATMENT
REQUESTED BY
REGULATION, INC.

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Tiger Partners	8/30/01	SS	46,500	Unknown	$42.56	$1,979,040	$1,049,449
City, State, Country: New York, NY	8/31/01	SS	23,400	Unknown	$43.38	$1,015,092	$547,190
Tax ID.: None							
Firm: MSCO							
Account Number: (b)(4)							
	Total						**$1,596,639**

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c)	8/6/01	SS	1,900	Unknown	$47.67	$90,573	$52,537
City, State, Country: (b)(6),(b)(7)(c)	8/6/01	SS	1,100	Unknown	$47.74	$52,514	$30,514
Social Security #: (b)(6),(b)(7)(c)	8/17/01	SS	1,300	Unknown	$44.00	$57,200	$31,200
Firm: U.S. Clearing Corp. ("QRCC")	8/17/01	SS	800	Unknown	$44.01	$35,208	$19,208
Account Number: (b)(6),(b)(7)(c)	8/17/01	SS	800	Unknown	$44.00	$35,200	$19,200
	8/17/01	SS	100	Unknown	$44.00	$4,400	$2,400
	8/29/01	SS	1,800	Unknown	$43.05	$77,490	$41,490
	8/29/01	SS	200	Unknown	$43.07	$8,614	$4,614
	Total		8,000				**$201,163**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c)	7/12/01	SS	2,000	Unsol.	$49.60	$99,200	$59,200
City, State, Country: (b)(6),(b)(7)(c)	7/12/01	SS	2,000	Unsol.	$49.60	$99,200	$59,200
Social Security #: (b)(6),(b)(7)(c)							
Firm: Charles Schwab, Inc. ("CHAS")							
Account Number: (b)(6),(b)(7)(c)							
	Total		4,000				**$118,400**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c)	8/7/01	SS	100	Unsol.	$47.65	$4,765	$2,765
City, State, Country: (b)(6),(b)(7)(c)	8/7/01	SS	100	Unsol.	$47.65	$4,765	$2,765
Social Security#: (b)(6),(b)(7)(c)	8/30/01	SS	100	Unsol.	$42.99	$4,299	$2,299
Firm: CHAS	8/30/01	SS	100	Unsol.	$42.99	$4,299	$2,299
Account Number: (b)(6),(b)(7)(c)	9/7/01	SS	100	Unsol.	$41.01	$4,101	$2,101
	Total		500				**$12,229**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Alpine Associates *City, State, Country:* Unknown *Tax ID.:* 06-0944931 *Firm:* Prudential Securities, Inc. ("PRUS") *Account Number:* (b)(4)	7/31/01	SS	4,900	Unknown	$48.44	$237,356	$139,356

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* CHAS *Account Number:* (b)(6),(b)(7)(c)	9/5/01	SS	500	Unsol.	$42.94	$21,470	$11,820
	9/5/01	SS	200	Unsol.	$42.94	$8,588	$4,708
	9/5/01	SS	100	Unsol.	$42.94	$4,294	$2,344
	9/5/01	SS	100	Unsol.	$42.94	$4,294	$2,344
	9/5/01	SS	100	Unsol.	$42.94	$4,294	$2,344
	9/17/01	Buy	600	Unsol.	$19.30	$11,580	
	9/17/01	Buy	400	Unsol.	$19.50	$7,800	
	Total		1,000				**$23,560**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential and Realized Profit*
Name: Leuthold Funds, Inc. (Grizzly Short Fund) *City, State, Country:* Minneapolis, MN *Tax ID.:* 41-1975426 *Firm:* Pershing Division of Donaldson, Lufkin Jenrette ("DLJP") *Account Number:* (b)(4)	8/13/01	SS	400	Unsol.	$45.15	$18,060	$9,856
	8/17/01	SS	900	Unsol.	$44.16	$39,744	$21,285
	8/17/01	SS	300	Unsol.	$44.16	$13,248	$7,095
	8/22/01	SS	1,500	Unsol.	$42.16	$63,240	$32,475
	8/24/01	SS	300	Unsol.	$43.13	$12,939	$6,939[7]
	9/6/01	SS	800	Unsol.	$42.81	$34,248	$18,248[7]
	9/17/01	Buy	3,100	Unsol.	$20.51	$63,581	
	Total		4,200				**$95,898**

[7] Potential profit.

C.H. Robinson Worldwide ("CHRW")

CONFIDENTIAL TREATMENT REQUESTED BY NASD REGULATION, INC.

Industry: U.S. Airline
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, CHRW closed at a last sale price of $28.02 per share, up $0.02 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

No transactions with a profit potential or loss avoidance of more than $5,000 were noted by accounts opened during the review period.

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*[1]
Name: DIT ATTN KS ZGA,WP-SERVICE AUSLAND *City, State, Country:* Frankfurt, Germany *Social Security #:* N/A *Firm:* Salomon Smith Barney Inc. ("SBSH") *Account Number:* (b)(4)	08/28/01	Sell	75,000	Unsol.	$29.538	$2,215,350	$113,835

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) *City, State:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* H&R Block Financial Advisors ("OLDE") *Account Number:* (b)(6),(b)(7)(c)	08/30/01	Short Sale	10,000	Unsol.	$30.95	$309,500	$29,300

[1] Loss avoidance/profit potential for this and the following accounts is based on CHRW's September 17, 2001 closing last sale price of $28.02 per share.

C.H. Robinson Worldwide ("CHRW")

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Shaker Investments ***City, State, Country:*** Cleveland, OH ***Tax ID.:*** 742-98-0532 ***Firm:*** Banc of America Montgomery ("MONT") ***Account Number:*** (b)(4)	09/04/01	Short Sale	8,600	Unsol.	$30.899	$265,731	$24,767

CONFIDENTIAL TREATMENT
REQUESTED BY
[illegible]ATION, INC

Industry: Insurance
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, CLKB closed at a last sale price of $18.95 per share, down $3.75 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy / Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*[1]
Name: (b)(6),(b)(7)(c) *City, State:* (b)(6),(b)(7)(c) *Tax ID.:* (b)(6),(b)(7)(c) *Firm:* Bear Stearns Securities Corp. ("BSSC") *Account Number:* (b)(6),(b)(7)(c) *Date Account Opened:* 8/6/01	08/06/01	Sell	10,000	Unsol.	$22.45	$224,500	$35,000

Account Information	*Trade Date*	*Buy / Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: (b)(6),(b)(7)(c) *City, State:* (b)(6),(b)(7)(c) *Tax ID.:* (b)(6),(b)(7)(c) *Firm:* BSSC *Account Number:* (b)(6),(b)(7)(c) *Date Account Opened:* 8/20/01	08/24/01	Sell	8,000	Unsol.	$25.351	$202,808	$51,209

[1] Loss avoidance for this and the following accounts is based on CLKB's September 17, 2001 closing last sale price of $18.95 per share.

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: Singer & Friedlander A/C Hiscox Hip Fund *City, State, Country:* London England *Tax ID.:* N/A *Firm:* Credit Suisse First Boston Corporation ("FBCO") *Account Number:* (b)(4)	07/31/01 8/1/01 8/14/01	Sell Sell Sell	6,000 1,000 3,000	Unsol. Unsol. Unsol.	$32.083 $32.18 $25.50	$192,498 $32,180 $76,500	$78,800 $13,230 $19,650
			10,000				**$111,680**

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential or loss avoidance based on noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: Prospector Partners LLC *City, State:* Brooklyn, NY *Tax ID.:* N/A *Firm:* Morgan Stanley & Co. Inc. ("MSCO") *Account Number:* (b)(4)	07/17/01	Sell	24,000	Unsol	$29.3083	$703,399	$248,599

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: (b)(6),(b)(7)(c) *City, State:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* Charles Schwab & Co. Inc. ("CHAS") *Account Number:* (b)(6),(b)(7)(c)	07/12/01	Sell	9,800	Unsol.	$25.00	$245,000	$59,290

Delta Air Lines, Inc. ("DAL")

CONFIDENTIAL TREATMENT REQUESTED BY NASD REGULATION, INC.

Industry: U.S. Airline
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, DAL closed at a last sale price of $20.64, down $16.61 from the close on September 10, 2001.

CHRONOLOGY MATCH:

The following is a summary of certain accounts which matched one or more names in the U.S. Government's list of noteworthy individuals or entities:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*[1]
Name: (b)(6), (b)(6), (b)(7)(C) (b)(7) [2] *City, State, Country:* (b)(6), (b)(7)(C) *Social Security #:* (b)(6), (b)(7)(C) *Firm:* Merrill Lynch, Pierce, Fenner & Smith, Inc. ("MLCO") *Account Number:* (b)(4),(b)(6),(b)(7)(c)	8/31/01	Sell	54	Unknown	$38.64	$2,086	$972

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Spear Leeds &Kellogg FAO Saphire Partners, LLC *City, State, Country: New York, NY* *Tax ID.:* 13-5515160 *Firm:* Jefferies & Co., Inc. ("JEFF") *Account Number:* (b)(4) *Date Account Opened:* 7/31/01	8/22/01	SS	1,100	Unknown	$38.91	$42,801	$20,100

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1 Loss avoidance and/or potential profit for this and the following accounts is based on DAL's September 17, 2001 closing last sale of $20.64.

2 Matches last name of (b)(6),(b)(7)(c) from September 24, 2001 Executive Order.

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CONFIDENTIAL TREATMENT
REQUESTED BY
MASS REGULATION, INC.

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* BSSC *Account Number:* (b)(6),(b)(7)(c) *Date Account Opened:* 8/16/01	8/24/01	SS	2,000	unknown	$40.90	$81,800	$40,520

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Approx. Potential and Realized Profit*
Name: CAL Continental Short Account Basket Hedge *City, State, Country:* not indicated *Tax ID.:* None *Firm:* Goldman Sachs & Co., Inc. ("GSCO") *Account Number:* (b)(4) *Date Account Opened:* 8/27/01	8/31/01 through 9/6/01 9/17/01	SS Buy	Total of 63,500 Total of 30,000	Unknown Unknown	From $38.00 to $40.86	Various	$1,176,600

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Winchester Frontier Ltd. *City, State, Country:* Hamilton, Bermuda *Tax ID.:* None *Firm:* BSSC *Account Number:* (b)(4)	8/22/01	SS	6,200	Unknown	$38.77	$240,374	$112,437

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Roundwood Capital, LP *City, State, Country:* Cleveland, OH *Tax ID.:* 341-79-6680 *Firm:* Bernard L. Madoff Investment Securities, LLC ("MADF") *Account Number:* (b)(4)	9/7/01	SS	1,000	Unknown	$37.76	$37,760	$17,120
Name: Roundwood Capital, LP *City, State, Country:* Cleveland, OH *Tax ID.:* 341-79-6680 *Firm:* MADF *Account Number:* (b)(4)	8/29/01 8/29/01	SS SS	1,200 2,800	Unknown Unknown	$39.34 $39.33	$47,208 $110,124	$22,440 $52,332
	Total		5,000				**$91,892**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Trident Investment Management *City, State, Country:* New York, NY *Tax ID.:* None *Firm:* Credit Suisse First Boston ("FBCO") *Account Number:* (b)(4)	7/6/01	SS	2,000	Unknown	$43.10	$86,200	$44,930

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit*
Name: Iguacu Fund, LLP *City, State, Country:* Washington, D.C. *Tax ID.:* 52-2146462 *Firm:* Ragen, Mackenzie, Inc. ("RAGN") *Account Number:* (b)(4)	9/7/01	SS	2,700	Unknown	$37.06	$100,062	
Name: Iguacu Fund, LLP *City, State, Country:* Washington, D.C. *Tax ID.:* 52-2146462 *Firm:* RAGN *Account Number:* (b)(4)	9/17/01	Buy	2,700	Unknown	$20.00	$54,000	$46,062

Delta Air Lines, Inc. ("DAL")

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Odyssey Transportation, Inc.	9/4/01	SS	100	Unsol.	$38.71	$3,871	$1,807
City, State, Country: San Clemente, CA	9/4/01	SS	100	Unsol.	$38.71	$3,871	$1,807
Tax ID.: 88-0300723	9/4/01	SS	300	Unsol.	$38.75	$11,625	$5,433
Firm: CHAS	9/4/01	SS	800	Unsol.	$38.71	$30,968	$14,456
Account Number: (b)(4)	**Total**		1,300				**$23,503**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized and Potential Profit*
Name: (b)(6),(b)(7)(c)	8/7/01	SS	100	Unsol.	$43.86	$4,386	$2,138[3]
City, State, Country: (b)(6),(b)(7)(c)	8/7/01	SS	100	Unsol.	$43.86	$4,386	$2,322
Social Security #: (b)(6),(b)(7)(c)	8/29/01	SS	100	Unsol.	$39.39	$3,939	$1,875
Firm: CHAS	8/29/01	SS	100	Unsol.	$39.39	$3,939	$1,875
Account Number: (b)(6),(b)(7)(c)	8/30/01	SS	100	Unsol.	$39.07	$3,907	$1,843
	8/30/01	SS	100	Unsol.	$39.07	$3,907	$1,843
	9/17/01	Buy	100	Unsol.	$22.48	$2,248	
	Total	SS	600				**$10,237**

[3] Realized profit was calculated using the First In First Out method of accounting.

EGL, Inc. ("EAGL")

CONFIDENTIAL TREATMENT REQUESTED BY NASD REGULATION, INC.

Industry: U.S. Airline
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, EAGL closed at a last sale price of $10.75 per share, down $1.66 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Date Account Opened*	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Potential Profit*[1]
Name: Offshore Market Neutral Fund ***City, State, Country:*** Hamilton, Bermuda ***Tax ID.:*** N/A ***Firm:*** Morgan Stanley & Co. Inc. ("MSCO") ***Account Number:*** (b)(4)	07/06/01	8/1 - 9/5/01	Short Sale	18,500	Unsol.	$12.573-$13.165	$39,440
Account Information	***Date Account Opened***	***Trade Date***	***Buy/ Sell***	***No. of Shares***	***Sol/ Unsol***	***Price***	***Potential Profit***
Name: RBC Alternative Assets ***City, State, Country:*** New York, NY ***Tax ID.:*** 134-15-8510 ***Firm:*** MSCO ***Account Number:*** (b)(4)	07/24/01	8/1 - 8/28/01	Short Sale	8,000	Unsol.	$12.072-$13.821	$18,520

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Ultra Hermes Fund Ltd. ***City, State, Country:*** Hamilton, Bermuda ***Tax ID.:*** N/A ***Firm:*** MSCO ***Account Number:*** (b)(4)	8/1 – 8/28/01	Short Sale	88,000	Unsol.	$12.072 - $13.821		$203,715

[1] Profit potential for this and the following accounts is based on EAGL's September 17, 2001 closing last sale price of $10.75 per share.

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

PROFIT SORT

The following is a summary of the institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Lincoln Capital Management *City, State, Country:* Chicago, IL *Tax ID.:* 362-63-9565 *Firm:* MSCO *Account Number:* Various	07/19/01	Short Sale	88,500	Unsol.	$13.160-$14.15		$275,840

Engineered Support Systems, Inc. ("EASI")

CONFIDENTIAL TREATMENT REQUESTED BY NASD REGULATION, INC.

Industry: Defense Contractor
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, EASI closed at a last sale of $41.71, up $9.41 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Profit Potential*[1]
Name: Emerald Advisors Lancaster, PA *Tax ID.:* 23-6003133 *Firm:* UBS PaineWebber, Inc. ("PWJC") *Account Number:* (b)(4) **Date Account Opened:** 07/23/01	7/23/01	Buy	4,500	Unknown	$39.19	$176,355	$11,299

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Profit Potential*
Name: (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* Pershing Division of Donaldson Lufkin & Jenrette Securities Corporation ("PERS") *Account Number:* (b)(6),(b)(7)(c) **Date Account Opened:** 08/20/01	8/20/01	Buy	8,200	Unknown	$37.84	$310,288	$31,667

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Profit Potential*
Name: Frank Russell Securities Tacoma, WA *Tax Id.:* 31-6159380 *Firm:* UBS Warburg, LLC ("UBSW") *Account Number:* (b)(4) **Date Account Opened:** 08/27/01	9/10/01	Buy	1,300	Unknown	$31.83	$41,379	$12,839

[1] Profit potential for this and the following accounts is based on EASI's September 17, 2001 closing last sale price of $41.71.

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Profit Potential*
Name: City of St. Peters Police Off Charlotte, NC *Tax Id.:* 59-6143399 *Firm:* E*Trade Securities, Inc. ("ETRS") *Account Number:* (b)(4) **Date Account Opened:** 08/28/01	8/27/01	Buy	1,700	Unknown	$31.42	$53,414	$17,486

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Profit Potential*
Name: Diversified Investment Advisors Boston, MA *Tax Id.:* 13-3781867 *Firm:* Goldman Sachs & Co., Inc. ("GSCO") *Account Number:* (b)(4) **Date Account Opened:** 09/05/01	9/5/01	Buy	4,900	Unknown	$34.00	$166,600	$37,779

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Profit Potential*
Name: IPB US Domestics London, England *Tax Id.:* N/A *Firm:* Morgan Stanley & Co., Inc. ("MSCO") *Account Number:* (b)(4)	7/2/01	Buy	14,600	Unknown	$35.44	$517,424	$91,434

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Profit Potential*
Name: TriSun Offshore Fund Ltd. Hamilton, Bermuda *Tax Id.:* N/A *Firm:* Banc of America Securities LLC, Montgomery Division ("MONT") *Account Number:* (b)(4)	8/23/01	Buy	9,500	Unknown	$33.00	$313,500	$82,681

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

PROFIT SORT

The following is a summary of the retail accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Profit Potential*
Name: (b)(6),(b)(7)(c) *Tax ID.:* (b)(6),(b)(7)(c) *Firm:* Prudential Securities, Inc. ("PRUS") *Account Number:* (b)(6),(b)(7)(c)	9/10/01	Buy	5,000	Unknown	$31.50	$157.500	$51.050

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: Insurance
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, ERIE closed at a last sale price of $35.75 per share, down $1.24 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

No transactions with a profit or loss avoidance potential of more than $5,000 by accounts opened during the review period were noted.

FOREIGN ACCOUNT SORT

No noteworthy transactions with a profit potential or loss avoidance of more than $5,000 were noted by foreign accounts during the review period.

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*[1]
Name: Williams Financial *City, State, Country:* Jersey City, NJ *Tax ID.:* 952-62-2900 *Firm:* Jeffries & Co., Inc. ("JEFF") *Account Number:* (b)(4)	08/08/01	Short Sale	10,000	Unsol.	$36.90	$369,000	$11,500

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Trout Trading *City, State, Country:* New York City, NY *Tax ID.:* 132-73-0828 *Firm:* Deutsche Bank Alex Brown ("DBAB") *Account Number:* (b)(4)	08/22/01	Short Sale	2,200	Unsol.	$37.72	$82,984	$4,334
	08/27/01	Short Sale	1,100	Unsol.	$37.898	$41,868	$2,362
	08/28/01	Short Sale	900	Unsol.	$37.954	$34,159	$1,984
	Total		**4,200**				**$8,680**

[1] Potential profit for this and the following account is based on ERIE's September 17, 2001 closing last sale price of $35.75 per share.

ESG Re Limited ("ESREF")

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: Insurance
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 18, 2001, ESREF closed at a last sale price of $3.25 per share, down $0.24 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

No transactions with a profit or loss avoidance potential of more than $5,000 by accounts opened during the review period were noted.

FOREIGN ACCOUNT SORT

No foreign accounts with a profit potential or loss avoidance of more than $5,000 during the review period were noted.

PROFIT SORT

No retail or institutional accounts with a profit potential or loss avoidance of more than $5,000 during the review period were noted.

Expeditors International of Washington, Inc. ("EXPD")

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: U.S. Airline
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, EXPD closed at a last sale price of $48.26 per share, down $6.14 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*[1]
Name: WM Advisors, Sun America *City, State, Country:* Seattle, WA *Tax ID.:* N/A *Firm:* Sunamerica Securities Inc. ("SUNA") *Account Number:* (b)(4) *Date Account Opened:* 7/2/01	09/07/01	Sell	900	Unsol.	$54.017	$48,615	$5,181

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Minuetto Fund *City, State, Country:* Hamilton, Bermuda *Tax ID.:* N/A *Firm:* Morgan Stanley & Co. Inc. ("MSCO") *Account Number:* (b)(4)	08/01/01	Short Sale	300	Unsol.	$56.885	$17,066	$2,588
	08/02/01	Short Sale	300	Unsol.	$56.221	$16,866	$2,388
	08/03/01	Short Sale	300	Unsol.	$55.143	$16,543	$2,065
	08/06/01	Short Sale	400	Unsol.	$55.087	$22,035	$2,731
	Total		1,000				**$9,772**

[1] Loss avoidance/potential profit for this and the following accounts is based on EXPD's September 17, 2001 closing last sale price of $48.26 per share.

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Pequot Navigator Offshore Fund *City, State, Country:* Hamilton, Bermuda *Tax ID.:* N/A *Firm:* Paine Webber Inc. ("PWJC") *Account Number:* (b)(4)	08/31/01	Short Sale	17,000	Unsol.	$52.368	$890,256	$69,833

PROFIT SORT

The following is a summary of the institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Tudor Partners *City, State, Country:* New York, NY *Tax ID.:* 132-65-5898 *Firm:* Morgan Stanley & Co. Inc. ("MSCO") *Account Number:* (b)(4)	08/31/01	Short Sale	100,000	Unsol.	$54.904	$5,490,400	$664,390

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Goldman Sachs A/C Kynikos *City, State, Country:* New York, NY *Tax ID.:* 135-10-8880 *Firm:* Goldman Sachs Inc. ("GSCO") *Account Number:* (b)(4)	09/05/01	Short Sale	129,000	Unsol.	$51.388	$6,629,052	$403,448

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: U.S. Airline
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, FLYR closed at a last sale price of $7.60, down $7.03 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

No transactions with a profit or loss avoidance potential of more than $5,000 by accounts opened during the review period were noted.

FOREIGN ACCOUNT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*[1]
Name: GDK Inc. *City, State, Country:* Hamilton, Bermuda *Tax ID.:* N/A *Firm:* Merrill Lynch Professional Clearing ("PRST") *Account Number:* (b)(4)	7/9 – 8/24/01	Short Sales	Approx 74,000	Unsol.	$12.79-$16.82	$1,129,532	$564,852

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential or loss avoidance based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: Red Coat Capital Management *City, State, Country:* Brooklyn, NY *Tax ID.:* N/A *Firm:* Morgan Stanley & Co,. Inc. ("MSCO") *Account Number:* (b)(4)	8/01/01	Sell	75,000	Unsol.	$15.94	$1,195,500	$625,500

[1] Potential profit/loss avoidance for this and the following accounts is based on FLYR's September 17, 2001 closing last sale price of $7.60 per share.

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Tax ID.:* (b)(6),(b)(7)(c) *Firm:* BNY Clearing Services Inc. ("BNYC") *Account Number:* (b)(6),(b)(7)(c)	08/17/01	Sell	8,800	Unsol.	$15.70	$138,160	$71,280

FPIC Insurance Group, Inc. ("FPIC")

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: Insurance
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, FPIC closed at a last sale price of $10.81 per share, down $1.26 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*[1]
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) U.S.A. *Tax ID.:* (b)(6),(b)(7)(c) *Firm:* A.G. Edwards & Sons, Inc. ("AGED") *Account Number:* (b)(6),(b)(7)(c) *Date Opened:* 07/27/01	08/21/01	Sale	1,000	Unsol	$15.00	$15.00	$4,190

FOREIGN ACCOUNT SORT

No foreign accounts with a profit or loss avoidance potential of more than $5,000 during the review period were noted.

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Susquehanna Capital Group *City, State, Country:* Bala Cynwyd, PA, U.S.A. *Tax ID.:* 232-79-5205 *Firm:* Merrill Lynch Professional Clearing Corporation ("PRST") *Account Number:* (b)(4)	09/10/01	Short Sale	11,100	Unsol	$12.10	$13,431	$14,319

1 Loss avoidance/profit potential for this and the following account is based on FPIC's September 17, 2001 closing last sale price of $10.81 per share.

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Frontier Airlines ("FRNT")

Industry: U.S. Airline
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, FRNT closed at a last sale price of $8.25 per share, down $3.90 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*[1]
Name: Artemis Investment Management *City, State, Country:* New York, NY, U.S.A. *Social Security #:* None *Firm:* Morgan Stanley & Co., Inc. ("MSCO") *Account Number:* (b)(4) *Account Opened:* 08/15/01	08/23/01	Short Sale	720	Unsol	$13.31	$9,583	$3,642
	08/30/01	Short Sale	610	Unsol	$12.26	$7,479	$2,446
	Total		**1,330**			**$17,062**	**$6,088**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Lyxor Master Fund *City, State, Country:* New York, NY, U.S.A. *Tax ID.:* 980-33-6161 *Firm:* MSCO *Account Number:* (b)(4) *Account Opened:* 08/10/01	09/04/01	Short Sale	225	Unsol	$12.49	$2,810	$954

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: PFPCT+C FBO Armstrust *City, State, Country:* Dublin, Ireland *Tax ID.:* None *Firm:* Bear, Stearns & Co., Inc. ("BEST") *Account Number:* (b)(4)	08/21/01 through 08/30/01	Short Sale	Total of 3,600	Unsol	Various	~$48,600	$17,446

[1] Potential profit for this and the following accounts is based on FRNT's September 17, 2001 closing last sale price of $8.25 per share.

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Empirica Kurtosis LP *City, State, Country:* Greenwich, CT, U.S.A. *Tax ID.:* None *Firm:* BEST *Account Number:* (b)(4)	09/06/01	Short Sale	37,400	Unsol	$11.98	$448,052	$139,602
Name: New York Retail Control Account *City, State, Country:* New York, NY, U.S.A. *Tax ID.:* None *Firm:* MSCO *Account Number:* (b)(4)	08/10/01	Short Sale	18,500	Unsol	$14.27	$263,995	$111,370
Name: Dietche & Field Advisors *City, State, Country:* New York, NY, U.S.A. *Tax ID.:* 751-23-2789 *Firm:* MSCO *Account Number:* (b)(4)	08/10/01	Short Sale	18,130	Unsol	$14.27	$258,715	$109,143
Name: Artemis Investments *City, State, Country:* New York, NY, U.S.A. *Tax ID.:* None *Firm:* MSCO *Account Number:* (b)(4)	08/10/01	Short Sale	8,200	Unsol	$14.27	$117,014	$49,364
Name: Credit Suisse First Boston *City, State, Country:* New York, NY, U.S.A. *Tax ID.:* 999-99-9999 *Firm:* Credit Suisse First Boston ("FBCO") *Account Number:* (b)(4)	08/22/01	Short Sale	9,000	Unsol	$13.53	$121,770	$47,520
Name: Wolverine TR LP Lawrence Berman Nominee *City, State, Country:* Chicago, IL, U.S.A. *Tax ID.:* 363-95-7309 *Firm:* Spear, Leeds & Kellogg ("SILK") *Account Number:* (b)(4)	08/13/01	Short Sale	6,500	Unsol	$13.45	$87,425	$33,800
Name: Earning Momentum Strategy *City, State, Country:* New York, NY, U.S.A. *Tax ID.:* None *Firm:* BEST *Account Number:* (b)(4)	09/07/01	Short Sale	6,900	Unsol	$12.03	$83,007	$26,118
Name: Web Associates Inc. *City, State, Country:* Boca Raton, FL, U.S.A. *Tax ID.:* 134-05-5206 *Firm:* BEST *Account Number:* (b)(4)	08/07/01	Short Sale	3,600	Unsol	$15.15	$54,540	$24,840

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Name: JETCAP Capital ***City, State, Country:*** Fair Haven, NJ, U.S.A. ***Tax ID.:*** None ***Firm:*** MSCO ***Account Number:*** (b)(4)	07/19/01	Short Sale	4,000	Unsol	$14.45	$57,800	$24,834
Name: Deutsche Bank Alex Brown ***City, State, Country:*** New York, NY, U.S.A. ***Tax ID.:*** 132-73-0828 ***Firm:*** Instinet Clearing Corporation, Inc. ("ICSG") ***Account Number:*** (b)(4)	07/27/01	Short Sale	3,300	Unsol	$15.35	$50,655	$23,418
Name: (b)(6),(b)(7)(c) ***City, State, Country:*** (b)(6),(b)(7)(c) ***Tax ID.:*** (b)(6),(b)(7)(c) ***Firm:*** Salomon Smith Barney, Inc. ("SBSH") ***Account Number:*** (b)(6),(b)(7)(c)	08/24/01	Short Sale	5,000	Sol	$12.77	$63,850	$22,600

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CO
REQUESTED BY
NASD REGULATION, INC.

Forward Air Corporation ("FWRD")

Industry: U.S. Airline
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, FWRD closed at a last sale price of $25.33 per share, down $0.17 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

No transactions with a profit or loss avoidance potential of more than $5,000 by accounts opened during the review period were noted.

FOREIGN ACCOUNT SORT

No foreign accounts with a profit or loss avoidance potential of more than $5,000 during the review period were noted.

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*[1]
Name: Hermes Partners LP *City, State, Country:* San Diego, CA, U.S.A. *Tax ID.:* 680-32-2525 *Firm:* MSCO *Account Number:* (b)(4)	09/05/01	Short	13,480	Unsol	$26.13	$352,232	$10,761
Name: RBC Alternative Assets *City, State, Country:* New York, NY, U.S.A. *Tax ID.:* 134-15-8510 *Firm:* MSCO *Account Number:* (b)(4)	07/31/01	Short	4,250	Unsol	$27.65	$117,513	$9,860
Name: Commonwealth of Virginia *City, State, Country:* Philadelphia, PA, U.S.A. *Tax ID.:* 546-00-1808 *Firm:* GSCO *Account Number:* (b)(4)	08/31/01	Short	4,100	Unsol	$27.60	$113,160	$9,307

[1] Potential profit for this and the following accounts is based on FWRD's September 17, 2001 closing last sale price of $25.33 per share.

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Name: Deutsche Bank Alex Brown *City, State, Country:* New York, NY, U.S.A. *Tax ID.:* None *Firm:* ICSG *Account Number:* (b)(4)	07/02/01	Short	3,400	Unsol	$27.99	$95,166	$9,054
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* MOKE *Account Number:* (b)(6),(b)(7)(c)	08/15/01	Short	10,000	Unsol	$26.10	$261,000	$7,700

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: Explosive Detection Technology
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, INVN closed at a last sale price of $8.25, up $5.14 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* BNY Clearing Services, LLC ("BNYC") *Account Number:* (b)(6),(b)(7)(c) *Date Account Opened:* 7/2/01	8/27/01	Buy	1,000	Unknown	$3.43	$3,430	$4,819[1]

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* National Financial Services Corporation ("NFSC") *Account Number:* (b)(6),(b)(7)(c) *Date Account Opened:* 7/20/01	7/25/01	Buy	550	Unknown	$3.69	$3,690	$2,508

[1] Profit potential for this and the following accounts is based on INVN's September 17, 2001 last sale price of $8.25.

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit*[2]
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* None *Firm:* E*Trade Securities, Inc. ("ETRS") *Account Number:* (b)(6),(b)(7)(c)	8/23/01	Buy	100	Unsol.	$3.13	$313	$547
	9/17/01	Sell	100	Unsol.	$8.60	$860	

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: TM50 *City, State, Country:* Santa Monica, CA *Tax ID.:* None *Firm:* Jeffries & Co., Inc. ("JEFF") *Account Number:* (b)(4)	7/17/01	Buy	2,900	Unknown	$3.40	$9,860	$14,063
	7/19/01	Buy	2,700	Unknown	$3.63	$9,801	$12,472
	7/20/01	Buy	2,200	Unknown	$3.64	$8,008	$10,142
	8/15/01	Buy	200	Unknown	$3.30	$660	$990
	8/16/01	Buy	1,400	Unknown	$3.25	$4,550	$6,988
	8/24/01	Buy	2,400	Unknown	$3.33	$7,992	$11,793
	8/29/01	Buy	2,500	Unknown	$3.55	$8,875	$11,750
	9/4/01	Buy	600	Unknown	$3.28	$1,968	$2,980
	9/7/01	Buy	3,800	Unknown	$3.15	$11,970	$19,370
	9/10/01	Buy	2,400	Unknown	$3.06	$7,344	$12,440
	Total		21,100				**$102,988**

[2] Realized profit was calculated using the First In First Out method of accounting.

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

InVision Technologies, Inc. ("INVN")

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit*
Name: Coghill Capital Management, LLC	7/6/01	Buy	900	Unknown	$3.30	$2,970	$6,201
City, State, Country: Chicago, IL	8/29/01	Buy	100	Unknown	$3.59	$359	$660
Tax ID.: None	8/30/01	Buy	2,000	Unknown	$3.31	$6,620	$13,760
Firm: Morgan Stanley & Co., Inc.("MSCO")	9/17/01	Sell	25,000	Unknown	$10.19		
Account Number: (b)(4)	9/17/01	Sell	15,000	Unknown	$8.17		
	Total	Buys	3,000				**$20,621**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c)	7/20/01	Buy	3,000	Unknown	$3.63	$10,890	$13,838
City, State, Country: (b)(6),(b)(7)(c)							
Social Security #: (b)(6),(b)(7)(c)							
Firm: Paine Webber, Inc. ("PWJC")							
Account Number: (b)(6),(b)(7)(c)							

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

IPC Holdings, Inc. ("IPCR")

Industry: Insurance Company
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, IPCR closed at a last sale price of $19.60 per share, down $4.45 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

No transactions with a profit or loss avoidance potential of more than $5,000 by accounts opened during the review period were noted.

FOREIGN ACCOUNT SORT

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*[1]
Name: Diamond Partners Offshore Fund Ltd.	07/03/01	Sell	500	Unsol	$23.85	$11,925	$2,125
City, State, Country: Hamilton, Bermuda	07/10/01	Sell	700	Unsol	$23.00	$16,100	$2,380
Tax ID.: None							
Firm: Morgan Stanley & Co., Inc.. ("MSCO")	07/25/01	Sell	900	Unsol	$23.96	$21,564	$3,928
Account Number: (b)(4)	07/26/01	Sell	2,000	Unsol	$24.08	$48,160	$8,960
	Total		**4,100**			**$97,749**	**$17,393**

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Crossbow Partners LP *City, State, Country:* Newport Beach, CA, U.S.A. *Tax ID.:* 330-90-8380 *Firm:* Bear, Stearns & Co. Inc. ("BEST") *Account Number:* (b)(4)	09/04/01	Short Sale	1,500	Unsol	$24.30	$36,450	$7,050

1 Loss avoidance/profit potential for this and the following accounts is based on IPCR's September 17, 2001 closing last sale price of $19.60 per share.

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: Insurance
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, LPNT closed at a last sale of $39.65 per share, down $2.12 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*[1]
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Tax ID.:* (b)(6),(b)(7)(c) *Firm:* SBSH *Account Number:* (b)(6),(b)(7)(c) *Account Opened:* 08/07/01	08/10/01 through 09/04/01	Short Sale	4,876 Total	Unsol	Various	~$22,917	$27,753

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Zurich Institutional *City, State, Country:* Hamilton, Bermuda *Tax ID.:* None *Firm:* BEST *Account Number:* (b)(4)	09/05/01	Short Sale	1,800	Unsol	$43.02	$77,436	$6,066

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

[1] Potential profit for this and the following accounts is based on LPNT's September 17, 2001 closing last sale price of $39.65 per share.

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Rudman Partners ***City, State, Country:*** New York, NY, U.S.A. ***Tax ID.:*** 133-36-7586 ***Firm:*** NEUB ***Account Number:*** (b)(4)	08/16/01 through 08/21/01	Short Sale	103,400 Total	Unsol	Various	~$4,653,000	$627,735
Name: Galleon Partners ***City, State, Country:*** New York, NY, U.S.A. ***Tax ID.:*** None ***Firm:*** MSCO ***Account Number:*** (b)(4)	07/17/01	Short Sale	15,000	Unsol	$44.85	$672,750	$78,000
Name: UBS AG FBO UBS O'Connor ***City, State, Country:*** Georgetown, Cayman Islands ***Tax ID.:*** None ***Firm:*** WARR ***Account Number:*** (b)(4)	08/09/01	Short Sale	34,600	Unsol	$41.67	$1,441,782	$69,015

Southwest Airlines Company ("LUV")

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: U.S. Airline
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, LUV closed at a last sale of $13.00, down $4.12 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* Banc of America Securities, LLC, Montgomery Division ("MONT") *Account Number:* (b)(6),(b)(7)(c) *Date Account Opened:* 7/31/01	08/07/01 09/17/01	SS[1] Buy	775 775	Unknown Unknown	$19.39 $11.25	$15,027 $8,718	$6,309

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*[2]
Name: Maillot Jaune Partners, LP *City, State, Country:* Nassau, Bahamas *Tax ID.:* None *Firm:* Bear, Stearns Securities Corp. ("BSSC") *Account Number:* (b)(4)	09/04/01 09/05/01	SS SS	6,600 1,774	Unknown Unknown	$18.03 $17.77	$120,780 $31,523	$34,993 $8,472
	Total		8,374				**$43,465**

1 Short Sell will be indicated throughout the rest of this report as "SS".
2 Profit potential for this and the following accounts is based on LUV's September 17, 2001 last sale price of $13.00.

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Irish Trust Company *City, State, Country*: Georgetown, Grand Cayman *Tax ID.:* None *Firm:* Paine Webber, Inc. ("PWJC") *Account Number:* (b)(4)	09/06/01	SS	411,700	Unknown	$17.81	$7,332,377	$1,982,418
Name: Irish Trust Company *City, State, Country*: Georgetown, Grand Cayman *Tax ID.:* None *Firm:* PWJC *Account Number:* (b)(4)	09/06/01	SS	35,500	Unknown	$17.81	$632,255	$170,940
	Total		76,670				**$2,153,358**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Maverick Fund, LDC, Attn: (b)(6), (b)(7)(C) *City, State, Country:* Georgetown, Grand Cayman *Tax ID.:* None *Firm:* Morgan, Stanley & Co., ("MSCO") *Account Number:* (b)(4),(b)(6),(b)(7)(c)	09/10/01	SS	168,700	Unknown	$16.99	$2,866,213	$674,378
Name: Maverick Fund II, Ltd., Attn: (b)(6), (b)(7)(C) *City, State, Country:* Georgetown, Grand Cayman *Tax ID.:* None *Firm:* Morgan, Stanley & Co., ("MSCO") *Account Number:* (b)(4),(b)(6),(b)(7)(c)	09/10/01	SS	14,700	Unknown	$16.99	$249,753	$58,763
Name: Maverick Capital Corporation *City, State, Country:* Brooklyn, NY *Tax ID.:* None *Firm:* MSCO *Account Number:* (b)(4)	09/10/01	SS	254,800	Unknown	$16.99	$4,329,052	$1,018,563
	Total		438,200				**$1,751,704**

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Marathon Partners, LP ***City, State, Country:*** Dallas, TX ***Tax ID.:*** 75-2002462 ***Firm:*** MONT ***Account Number:*** (b)(4)	09/10/01	SS	10,000	Unknown	$16.61	$166,100	$36,100

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: SAC Capital ***City, State, Country:*** Stamford, CT ***Tax ID.:*** None ***Firm:*** MSCO ***Account Number:*** (b)(4)	07/13/01	SS	60,000	Unknown	$18.00	$1,080,000	$300,000
	07/13/01	SS	17,500	Unknown	$19.70	$344,750	$117,250
	07/13/01	SS	10,000	Unknown	$19.90	$199,000	$69,000
	07/13/01	SS	7,500		$19.75	$148,125	$50,625
	Total		95,000				**$536,875**

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: U.S. Airline
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, MAIR closed at a last sale price of $7.10 per share, down $1.93 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

No transactions with a profit or loss avoidance potential of more than $5,000 by accounts opened during the review period were noted.

FOREIGN ACCOUNT SORT

No foreign accounts with a profit or loss avoidance potential of more than $5,000 during the review period were noted.

PROFIT SORT

No retail or institutional accounts with a profit or loss avoidance potential of more than $5,000 during the review period were noted.

Mesa Air Group, Inc. ("MESA")

CONFIDENTIAL TREATMENT REQUESTED BY NASD REGULATION, INC.

Industry: U.S. Airline
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, MESA closed at a last sale price of $5.62 per share, down $9.28 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit and Potential Profit*[1]
Name: HFR Blockthorn Master Trust *City, State, Country:* Hamilton, Bermuda *Tax ID.:* None *Firm:* BEST *Account Number:* (b)(4) *Date Opened:* 07/26/01	08/20/01 through 09/05/01	Short Sale	951	Unsol	Various	~$14,715	$4,604[2]
	09/17/01	Buy	450	Unsol	$7.28	$3,276	$3,388

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit*
Name: HFR Blockthorn Master Trust *City, State, Country:* Hamilton, Bermuda *Tax ID.:* None *Firm:* BEST *Account Number:* (b)(4)	08/20/01 through 09/05/01	Short Sale	951	Unsol	Various	~$14,715	
	09/17/01	Buy	450	Unsol	$7.28	$3,276	$3,388

1 Potential profit for this and the following account is based on MESA's September 17, 2001 closing last sale price of $5.62 per share.

2 Profit potential on remaining 501 shares.

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: SAC Capital Management *City, State, Country:* Stamford, CT, U.S.A. *Tax ID.:* 135-51-5160 *Firm:* FBCO *Account Number:* (b)(4)	08/15/01	Short Sale	25,000	Unsol	$15.59	$389,750	$224,200
	08/28/01	Short Sale	45,000	Unsol	$15.05	$677,250	$424,350
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* FCCP *Account Number:* (b)(6),(b)(7)(c)	08/16/01	Short Sale	20,000	Unsol	$14.95	$299,000	$186,600
Name: Ritchi Capital Investment *City, State, Country:* *Tax ID.:* 980-18-0345 *Firm:* BEST *Account Number:* (b)(4)	09/06/01	Short Sale	17,598	Unsol	$15.15	$266,609	$169,649

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: Face Recognition Technology
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, MRCY closed with a last sale price of $37.05 per share, up $11.50 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*[1]
Name: Trout Trading *City, State, Country:* New York, NY *Tax ID.:* N/A *Firm:* Deutsche Bank Alex Brown ("DBAB") *Account Number:* (b)(4) *Date Acct Opened:* 7/24/01	8/28/01	Buy	10,700	Unsol.	$28.477	$304,704	$91,728

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) *Social Security # :* (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) *Firm:* William Blair & Co. ("WBLR") *Account Number:* (b)(6),(b)(7)(c) *Date Acct Opened:* 8/1/01	8/1/01	Buy	15,000	Unsol.	$33.00	$495,000	$60,750

[1] Potential profit for this and the following accounts is based on MRCY's September 17, 2001 closing last sale price of $37.05 per share.

Mercury Computer Systems ("MRCY")

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Peco Energy ***City, State, Country:*** Everett, MA ***Tax ID.:*** N/A ***Firm:*** DBAB ***Account Number:*** (b)(4) [redacted] ***Date Acct Opened:*** 9/4/01	9/5/01 9/6/01 9/7/01	Buy Buy Buy	10,000 17,000 18,000	Unsol. Unsol. Unsol.	$25.91 $25.372 $26.04	$259,100 $431,324 $468,720	$111,400 $198,519 $198,180
	Total		**45,000**				**$508,099**

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Aegon Asset Management ***City, State, Country:*** Edinburgh, Scotland ***Tax ID.:*** N/A ***Firm:*** William Blair & Co. ("WBLR") ***Account Number:*** (b)(4) [redacted]	7/31/01	Buy	25,000	Unsol.	$32.24	$806,000	$120,250

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: EGM Capital ***City, State, Country:*** San Francisco, CA ***Tax ID.:*** N/A ***Firm:*** Morgan Stanley & Co. Inc. ("MSCO") ***Account Number:*** (b)(4) [redacted]	8/1/01	Buy	231,700	Unsol.	$33.011	$7,648,649	$935,813

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #.:* (b)(6),(b)(7)(c) *Firm:* Paine Webber Inc. ("PWJC") *Account Number:* (b)(6),(b)(7)(c)	8/1/01	Buy	8,000	Unsol.	$33.00	$264,000	$32,400

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: U.S. Airline
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, NWAC closed at a last sale of $12.42, down $7.20 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit and Profit Potential*[1]
Name: Continental Short Account-Basket Hedge *City, State, Country:* unknown *Social Security #:* 00000000 *Firm:* Goldman Sachs, & Co. ("GSCO") *Account Number:* (b)(4) *Date Account Open:* 08/27/01	08/27/01-09/07/01	Short Sale	202,800	unknown	$20.94 average price	$4,246,632	$379,735 based on amount covered
	09/17/01	Buy	43,900	unknown	$12.29 average price	$539,531	$1,353,828
	Total		202,800				**$1,733,563**

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit*
Name: Digital (IMA) Limited-Investorcorp House Diplomatic *City, State, Country:* Manama, Bahrain *Social Security #:* 0000000 *Firm:* Bear Stearns Securities Corp. ("BSSC") *Account Number:* (b)(4)	07/02/01	Short Sale	1,400	Unsol.	$24.26	$33,964	
	07/09/01	Short Sale	2,800	Unsol.	$23.60	$66,080	
	09/17/01	Buy	3,400	Unsol.	$13.55	$46,070	
	09/17/01	Buy	1,900	Unsol.	$13.27	$25,213	
	Total		4,200				**$43,666**

[1] Profit potential is based on NWAC's September 17, 2001 closing last sale price of $12.42.

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit*
Name: Eline Investments BV *City, State, Country:* Netherlands *Social Security #.:* 00000000 *Firm:* ("BSSC") *Account Number:* (b)(4)	07/02/01	Short Sale	12,400	Unsol.	$24.26	$12,424	
	07/03/01	Short Sale	600	Unsol.	$24.21	$14,526	
	07/03/01	Short Sale	500	Unsol.	$24.25	$12,125	
	07/09/01	Short Sale	20,800	Unsol.	$23.60	$490,880	
	09/17/01	Buy	14,500	Unsol.	$13.27	$192,415	
	09/17/01	Buy	30,400	Unsol.	$13.55	$411,920	
	Total		34,300				**$376,650**

PROFIT SORT

Other than those referenced above, no retail or institutional accounts with a profit or loss avoidance potential of more than $5,000 during the review period were noted.

National Western Life Insurance Company ("NWLIA")

CONFIDENTIAL TREATMENT REQUESTED BY NASD REGULATION, INC.

Industry: Insurance
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, NWLIA closed at a last sale of $103.92, down $9.58 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

No transactions with a profit or loss avoidance potential of more than $5,000 by accounts opened during the review period were noted.

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*[1]
Name: Fortis Bank Luxembourg *City, State, Country:* Luxembourg *Social Security #:* 0000000 *Firm:* BNY Clearing Services ("BHFS") *Account Number:* (b)(4)	08/13/01 08/17/01	Sell Sell	1,000 2,000	Unknown Unknown	$116.50 $111.80	$116,500 $223,600	$12,580 $15,760
	Total		3,000				**$28,340**

PROFIT SORT

Other than that referenced above, no retail or institutional accounts with a profit or loss avoidance potential of more than $5,000 during the review period were noted.

[1] Loss avoidance potential is based on NWLIA's September 17, 2001 closing last sale price of $103.92.

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Offshore Logistics, Inc. ("OLOG")

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: U.S. Airline
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, OLOG closed at a last sale of $19.20, down $0.14 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

No transactions with a profit or loss avoidance potential of more than $5,000 by accounts opened during the review period were noted.

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential[1] Profit*
Name: Diamond Partners Offshore Fund *City, Country:* Hamilton, Bermuda *Tax ID.:* N/A *Firm:* Morgan Stanley & Co. Inc. ("MSCO") *Account Number:* (b)(4)	08/01/01	Short Sale	1,000	Unsol.	$19.34	$19,340	$140
	08/08/01	Short Sale	3,400	Unsol.	$19.64	$66,805	$1,525
	08/08/01	Short Sale	800	Unsol.	$19.96	$15,968	$608
	Total		**5,300**				**$2,273**

PROFIT SORT

The following is a summary of the institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Forest Global Convertible Fund *City, State, Country:* Greenwich, CT *Tax ID.:* N/A *Firm:* Bear Stearns Securities Corp. ("BSSC") *Account Number:* (b)(4)	07/30/01	Short Sale	26,178	Unsol.	$20.76	$543,455	$40,838

[1] Profit potential for this and the following account is based on OLOG's September 17, 2001 closing last sale price of $19.20.

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OSI Systems, Inc. ("OSIS")

CONFIDENTIAL TREATMENT REQUESTED BY NASD REGULATION, INC.

Industry: Optoelectronic devices for medical diagnostics and aerospace
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, OSIS closed at a last sale of $7.16, up $3.09 from the close on September 10, 2001.

CHRONOLOGY MATCH

The following is a summary of certain accounts which matched one or more names in the U.S. Government's list of suspicious individuals or entities:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*[1]
Name: (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* National Investor Services Corporation ("NISC") *Account Number:* (b)(6),(b)(7)(c)	8/30/01	Buy	50	Unknown	$3.70	$185	$173

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Benson Associates LLC *Portland, OR USA* *Social Security #:* 752-91-1473 *Firm:* Instinet Corporation ("INCA") *Account Number:* (b)(4) *Date Account Opened:* 8/23/01	8/24/01	Buy	4,100	Unknown	$3.48	$14,268	$15,088

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* First Clearing Corporation ("FCCP") *Account Number:* (b)(6),(b)(7)(c) *Date Account Opened:* 7/3/01	7/3/01	Buy	1,000	Unknown	$3.80	$3,800	$3,360

1 Potential profit for this and the following accounts is based on OSIS's September 17, 2001 closing last sale price of $7.16.

2 Matches last name of (b)(6), (b)(7)(C) from September 24, 2001 Executive Order.

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* FCCP *Account Number:* (b)(6),(b)(7)(c) *Date Account Opened:* 8/13/01	8/21/01	Buy	300	Unknown	$3.40	$1,020	$1,128
	8/24/01	Buy	300	Unknown	$3.49	$1,047	$1,101
	8/31/01	Buy	200	Unknown	$4.09	$818	$614
	8/31/01	Buy	100	Unknown	$4.19	$419	$297
	8/31/01	Buy	100	Unknown	$4.24	$424	$292
	Total		800				**$3,432**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* E*Trade Securities, Inc. ("ETRS") *Account Number:* (b)(6),(b)(7)(c) *Date Account Opened:* 8/31/01	9/6/01	Buy	1,000	Unknown	$3.95	$3,950	$3,210

FOREIGN ACCOUNT SORT

No foreign accounts with a profit or loss avoidance potential of more than $5,000 during the review period were noted.

PROFIT SORT

The following is a summary of the retail accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* AG Edwards & Sons, Inc. ("AGED") *Account Number:* (b)(6),(b)(7)(c) (b)(6),(b)(7)(c)	8/1/01	Buy	2,000	Unknown	$3.15	$6,300	$8,020
	8/2/01	Buy	4,300	Unknown	$3.17	$13,631	$17,157
	8/3/01	Buy	370	Unknown	$3.15	$1,165	$1,483
	8/6/01	Buy	1,330	Unknown	$3.16	$4,202	$5,320
	Total						**$31,980**

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* ETRS *Account Number:* (b)(6),(b)(7)(c)	7/25/01 7/26/01 8/1/01	Buy Buy Buy	1,400 1,000 2,000	Unknown Unknown Unknown	$3.30 $3.19 $3.13	$4,620 $3,190 $6,260	$5,404 $3,970 $8,060
	Total		4,400				**$17,434**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* Charles Schwab & Co., Inc. ("CHAS") *Account Number:* (b)(6),(b)(7)(c)	8/31/01 8/31/01	Buy Buy	3,000 3,000	Unknown Unknown	$4.06 $4.16	$12,180 $12,480	$9,300 $9,000
	Total		6,000				**$18,300**

Priceline.com Incorporated ("PCLN")

CONFIDENTIAL TREATMENT REQUESTED BY NASD REGULATION, INC.

Industry: U.S. Airline Ticket Industry
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, PCLN closed at a last sale of $3.01, down $1.99 from the close on September 10, 2001.

CHRONOLOGY MATCH

The following is a summary of certain accounts which matched one or more names in the U.S. Government's list of suspicious individuals or entities:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*[1]
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security # :* 00000000 *Firm:* Bear Stearns Securities Corp. ("BSSC") *Account Number:* (b)(6),(b)(7)(c)	07/31/01	Short Sale	1,000	Unknown	$8.92	$8,920	$5,910
	07/31/01	Short Sale	1,000	Unknown	$9.63	$9,630	$6,620
	Total		2,000				**$12,530**

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #.:* (b)(6),(b)(7)(c) *Firm:* Advanced Clearing Corp. ("FOMA") *Account Number:* (b)(6),(b)(7)(c) *Date Account Opened:* 07/02/01	07/05/01	Short Sale	1,400	Unsol.	$8.39	$23,492	$7,532
	07/05/01	Short Sale	600	Unsol.	$8.40	$5,040	$3,234
	Total		2,000				**$10,766**

1 Potential profit for this and the following accounts is based on PCLN's September 17, 2001 closing last sale of $3.01.

2 Indirect match with (b)(6), (b)(7)(C) from December 19, 2001 Control List.

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Irish Trust Co. *City, State, Country:* Grand Cayman *Social Security #.:* 00000000 *Firm:* Paine Webber Incorporated ("PWJC") *Account Number:* (b)(4)	07/02/01	Short Sale	10,140	Unsol.	$9.76	$98,966	$68,470
	07/02/01	Short Sale	38,025	Unsol.	$9.73	$369,983	$255,349
	07/03/01	Short Sale	10,140	Unsol.	$9.76	$98,966	$68,470
	07/09/01	Short Sale	18,900	Unsol.	$8.04	$151,956	$95,016
	07/09/01	Short Sale	249,900	Unsol.	$8.04	$2,009,196	$1,256,322
	Total		327,105				**$1,743,627**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6), (b)(7)(C) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #.:* 00000000 *Firm:* National Investor Services Corp. ("NISC") *Account Number:* (b)(6),(b)(7)(c)	07/10/01	Short Sale	1,200	Unsol.	$7.87	$9,444	$5,832

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #.:* 0000000 *Firm:* Instinet Clearing Services Inc. ("ICSG") *Account Number:* (b)(6),(b)(7)(c)	07/02/01	Short Sale	1,000	Unsol.	$9.81	$19,620	$13,600

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* 0000000 *Firm:* E Trade Securities Inc. ("ETRS") *Account Number:* (b)(6),(b)(7)(c)	07/17/01	Short Sale	2,000	Unsol.	$8.50	$17,000	$10,980

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: ABN Amro Bank Schweiz/Private Banking *City, State, Country:* Zurich, Switzerland *Social Security #:* 00000000 *Firm:* ABN Amro Securities Inc. ("AANA")	07/20/01	Short Sale	2,000	Unsol.	$7.50	$15,000	$8,980

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Account Number: (b)(4)							

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:*00000000 *Firm:* Interactive Brokers LLC ("INKR") *Account Number:* (b)(6),(b)(7)(c)	08/24/01	Short Sale	1,000	Unsol.	$5.80	$5,800	$2,790

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:*00000000 *Firm:* Interactive Brokers LLC ("INKR") *Account Number:* (b)(6),(b)(7)(c)	08/17/01	Short Sale	400	Unsol.	$6.75	$2,700	$1,496

PROFIT SORT

The following is a summary of the retail accounts with the highest profit potential based upon suspicious transactions in the subject security.

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* Morgan Stanley Dean Witter ("AMSCO") *Account Number:* (b)(6),(b)(7)(c)	07/27/01	Short Sale	80,000	Unsol.	$8.13	$650,400	$409,888

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Philadelphia Consolidated Holding Corp. ("PHLY")

Industry: Insurance
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, PHLY closed at a last sale of $29.30, down $0.80 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

No transactions with a profit or loss avoidance potential of more than $5,000 by accounts opened during the review period were noted.

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*[1]
Name: Shadwell Master Fund Ltd. *City, State, Country:* Bermuda *Social Security #:* 0000000 *Firm:* Bear Stearns Securities Corp. ("BSSC") *Account Number:* (b)(4)	07/12/01	Short Sale	35,000	Unsol.	$36.92	$1,292,220	$266,627
	07/12/01	Short Sale	20,000	Unsol.	$37.00	$740,000	$154,000
	07/13/01	Short Sale	9,100	Unsol.	$36.93	$336,063	$69,388
	07/13/01	Short Sale	7,900	Unsol.	$36.69	$289,851	$58,420
	07/16/01	Short Sale	8,000	Unsol.	$36.35	$290,800	$56,360
	07/18/01	Short Sale	28,000	Unsol.	$36.02	$1,008,560	$188,289
	07/20/01	Short Sale	14,000	Unsol.	$36.07	$504,980	$94,840
	Total		122,000				**$887,924**

PROFIT SORT

Other than that noted above, no retail or institutional accounts with a profit or loss avoidance potential of more than $5,000 during the review period were noted.

[1] Profit potential is based on PHLY's September 17, 2001 closing last sale price of $29.30.

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: Communications Equipment
Review Period: July 2 through September 17, 2001.
Price Movement (last sale): On September 17, 2001, PLCM closed at a last sale price of $25.45, up $6.31 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*[1]
Name: Sandia Foundation *City, State:* New York, NY *Social Security #:* 135-51-5160 *Firm:* Speer, Leeds & Kellogg ("SILK") *Account Number:* (b)(4) *Account Opened:* 09/05/2001	09/05/2001	Buy	1,800	Unknown	$18.70	$33,660	$12,150

FOREIGN ACCOUNT SORT

No foreign accounts with a profit or loss avoidance potential of more than $5,000 during the review period were noted.

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Caxton International C/O Caxton Corporation *City, State:* Princeton, NJ and Plainsboro, NJ *Social Security #:* 133-24-7006 *Firm:* Speer, Leeds & Kellogg ("SILK") *Account Number:* (b)(4)	07/03/2001	Buy	7,500	Unknown	$21.29	$159,675	$31,200
	07/03/2001	Buy	7,500	Unknown	$21.29	$159,675	$31,200
	07/13/2001	Buy	13,000	Unknown	$21.65	$281,450	$49,400
	07/13/2001	Buy	13,000	Unknown	$21.65	$281,450	$49,400
	08/16/2001	Buy	3,000	Unknown	$19.84	$59,520	$76,350
	08/16/2001	Buy	3,000	Unknown	$19.84	$59,520	$76,350
	08/24/2001	Buy	3,100	Unknown	$21.29	$65,999	$78,895
	08/24/2001	Buy	3,100	Unknown	$21.29	$65,999	$78,895
	08/31/2001	Buy	9,000	Unknown	$20.35	$183,150	$229,050
	08/31/2001	Buy	9,000		$20.35	$183,150	$229,050
	Total		71,200				**$929,790**

[1] Potential profit for this and the following accounts is based on the closing last sale price of $25.45 on September 17, 2001.

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: Foreign Airline
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, RYAAY closed at a last sale of $40.50, down $6.29 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

No transactions with a profit or loss avoidance potential of more than $5,000 by accounts opened during the review period were noted.

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*[1]
Name: NCB Stockbrokers Limited Dublin, Ireland *Social Security # OR Tax ID.:* N/A *Firm:* UBS PaineWebber, Inc. ("PWJC") *Account Number:* (b)(4)	7/2/01 – 8/7/01	Sell	4,500	Unknown	$52.24	$235,221	$52,971

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest loss avoidance based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* Pershing Division of Donaldson Lufkin & Jenrette Securities Corporation ("PERS") *Account Number:* (b)(6),(b)(7)(c)	8/1/01	Sell	10,521	Unknown	$54.41	$572,447	$146,349

[1] Loss avoidance for this and the following accounts is based on RYAAY's September 17, 2001 closing last sale price of $40.50.

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* E*Trade Securities, Inc. ("ETRS") *Account Number:* (b)(6),(b)(7)(c)	8/20/01	Sell	9,450	Unknown	$50.88	$480.816	$98,091

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: Putnam 2AL Fund II Boston, MA *Tax ID.:* 04-6661046 *Firm:* Morgan Stanley & Co., Inc. ("MSCO") *Account Number:* (b)(4)	8/10/01	Sell	48,300	Unknown	$50.87	$2,457,021	$501,228

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*
Name: Wellington Management Boston, MA *Tax ID.:* 06-1448870 *Firm:* Commerzbank Capital Markets Corporation ("CCMC") *Account Number:* (b)(4)	9/7/01	Sell	65,500	Unknown	$47.40	$3,104,700	$451,950

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: Insurance
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, SAFC closed at a last sale of $28.92, down $0.80 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

No transactions with a profit or loss avoidance potential of more than $5,000 by accounts opened during the review period were noted.

FOREIGN ACCOUNT SORT

No foreign accounts with a profit or loss avoidance potential of more than $5,000 during the review period were noted.

PROFIT SORT

The following is a summary of the institutional accounts with the highest profit potential based upon suspicious transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential [1] Profit*
Name: George Weiss Associates *City, State, Country:* New York, NY *Social Security #:* 135-67-4085 *Firm:* Instinet Clearing Services ("ICSG") *Account Number:* (b)(4)	08/02/01	Short Sale	36,700	Unknown	$31.00	$1,137,700	$76,336

[1] Profit potential is based on SAFC's September 17, 2001 closing last sale price of $28.92.

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CONFIDENTIAL TREATMENT REQUESTED BY NASD REGULATION, INC.

Industry: Insurance
Review Period: July 2, 2001 through September 17, 2001.
Price Movement (last sale): On September 17, 2001, SIGI closed at a last sale price of $22.50, down $2.12 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

No transactions with a profit or loss avoidance potential of more than $5,000 by accounts opened during the review period were noted.

FOREIGN ACCOUNT SORT

No foreign accounts with a profit or loss avoidance potential of more than $5,000 during the review period were noted.

PROFIT SORT

The following is a summary of the institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*[1]
Name: Ice Bear, Inc. *City, State:* Bellevue, WA *Social Security #:* 920-11-4245 *Firm:* ABN AMRO Inc. ("AANA ") *Account Number:* (b)(4)	09/10/2001	Short Sell	1,300	Unknown	$25.127	$32,666	$3,416

[1] Potential profit for this account is based on the closing last sale price of $22.50 on September 17, 2001.

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: Airline
Review Period: July 2, 2001 through September 17, 2001.
Price Movement (last sale): On September 17, 2001, SKYW closed at a last sale price of $19.15, down $12.50 from the close on September 10, 2001.

CHRONOLOGY MATCH

The following is a summary of certain accounts which matched one or more names in the U.S. Government's list of noteworthy individuals or entities:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit*[1]
Name: (b)(6),(b)(7)(c) *City, Country:* (b)(6),(b)(7)(c) *Social Security #:* 000000000 *Firm:* Pershing Division of Donaldson, Lufkin & Jenrette Securities Corp. ("PERS") *Account Number:* (b)(6),(b)(7)(c)	09/17/2001 09/17/2001 09/17/2001 09/17/2001	Sell Buy Sell Buy	230 230 100 100	Unknown Unknown Unknown Unknown	$20.31 $17.74 $20.00 $17.75	$4,671 $4,080 $2,000 $1,775	 $591 $225
	Total		660				**$816**

DATE ACCOUNT OPENED SORT

No transactions with a profit or loss avoidance potential of more than $5,000 by accounts opened during the review period were notd.

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*[3]
Name: Irish Life Center *City,Country:* Dublin, Ireland *Social Security #:* 000000000 *Firm:* BSSC *Account Number:* (b)(4)	07/18/2001	Short Sell	1,200	Unknown	$30.54	$36,648	$13,668

[1] Realized profit is calculated on a first-in, first-out basis.
[2] Indirect match to (b)(6), (b)(7)(C) from Executive Order of September 24, 2001.
[3] Potential profit for this and the following accounts is based SKYW's closing last sale price of $19.15 on September 17, 2001.

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit*
Name: (b)(6),(b)(7)(c) *City, State:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* Bear Stearns Securities Corp. ("BSSC") *Account Number:* (b)(6),(b)(7)(c)	07/17/2001 09/17/2001 09/17/2001	Short Sell Buy Buy	25,000 15,000 10,000	Unknown Unknown Unknown	$30.74 $19.50 $19.50	$768,500 $292,500 $195,000	 $281,000
	Total		50,000				**$281,000**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Maillot Juane Partners *City, State: Nassau, Bahamas* *Social Security #:* 000000000 *Firm:* BSSC *Account Number:* (b)(4)	09/04/2001 09/05/2001	Short Sell Short Sell	1,700 238	Unknown Unknown	$32.26 $32.52	$54,842 $7,740	$22,287 $3,182
	Total		1,938				**$25,469**

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: Property and Casualty Insurance
Review Period: July 2 through September 17, 2001.
Price Movement (last sale): On September 17, 2001, STFC closed at a last sale price of $15.00, down $0.86 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

No transactions with a profit or loss avoidance potential of more than $5,000 by accounts opened during the review period were noted.

FOREIGN ACCOUNT SORT

No foreign accounts with a profit or loss avoidance potential of more than $5,000 during the review period were noted.

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

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CONFIDENTIAL TREATMENT REQUESTED BY NASD REGULATION, INC.

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: BNP Paribas Equity Strategies ***City, State, Country:*** Delaware ***Social Security #:*** 133-66-1436 ***Firm:*** BNP Paribas Brokerage Services ("BNPS") ***Account Number:*** (b)(4)	06/29/2001	Short Sell	810	Unknown	$16.39	$1,328	$1,125
	07/05/2001	Short Sell	748	Unknown	$17.67	$13,217	$1,997
	07/06/2001	Short Sell	700	Unknown	$16.29	$11,403	$903
	07/09/2001	Short Sell	100	Unknown	$15.97	$1,597	$97
	07/09/2001	Short Sell	100	Unknown	$15.96	$1,596	$96
	07/13/2001	Short Sell	500	Unknown	$17.19	$8,595	$1,095
	07/16/2001	Short Sell	300	Unknown	$16.98	$5,094	$594
	07/16/2001	Short Sell	100	Unknown	$16.97	$1,697	$197
	07/23/2001	Short Sell	600	Unknown	$16.04	$9,624	$624
	07/23/2001	Short Sell	200	Unknown	$16.02	$3,204	$204
	07/24/2001	Short Sell	1,000	Unknown	$15.92	$15,920	$920
	07/25/2001	Short Sell	100	Unknown	$15.16	$1,516	$16
	08/09/2001	Short Sell	100	Unknown	15.38$	$1,538	$38
	08/09/2001	Short Sell	200	Unknown	$15.35	$3,070	$35
	08/16/2001	Short Sell	700	Unknown	$15.795	$11,057	$556
	08/16/2001	Short Sell	600	Unknown	$15.875	$9,525	$525
	08/17/2001	Short Sell	500	Unknown	$15.585	$7,793	$293
	08/17/2001	Short Sell	300	Unknown	$15.615	$4,685	$184
	08/17/2001	Short Sell	200	Unknown	$15.625	$3,125	$125
	08/20/2001	Short Sell	1,200	Unknown	$15.40	$18,480	$480
	08/20/2001	Short Sell	100	Unknown	$15.355	$1,5336	$36
	08/21/2001	Short Sell	1,100	Unknown	$15.89	$17,479	$979
	08/23/2001	Short Sell	1,000	Unknown	$15.95	$15,950	$950
	08/27/2001	Short Sell	3,200	Unknown	$15.081	$48,259	$258
	08/27/2001	Short Sell	100	Unknown	$15.35	$1,535	$113
	09/10/2001	Short Sell	100	Unknown	$15.15	$1,515	$52
	Total		**11,500**				**$12,492**

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: Insurance
Review Period: July 2, 2001 through September 17, 2001.
Price Movement (last sale): On September 17, 2001, TGIC closed at a last sale price of $34.35, down $1.35 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

No transactions with a profit or loss avoidance potential of more than $5,000 by accounts opened during the review period were noted.

FOREIGN ACCOUNT SORT

No foreign accounts with a profit or loss avoidance potential of more than $5,000 during the review period were noted.

PROFIT SORT

No retail or institutional accounts with a profit or loss avoidance potential of more than $5,000 during the review period were noted.

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: Property and Casualty Insurance
Review Period: July 2 through September 17, 2001.
Price Movement (last sale): On September 17, 2001, TKIOY closed at a last sale price of $47.51, down $2.74 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

No transactions with a profit or loss avoidance potential of more than $5,000 by accounts opened during the review period were noted.

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*[1]
Name: Sangamon International LTD 1.5X1 C/O Private Trust Corporation *City, State, Country:* Charlotte House, Nassau, Bahamas *Social Security #:* 999999999 *Firm:* SILK *Account Number:* (b)(4)	08/22/2001	Short Sell	169	Unknown	$50.99	$8,617	$588
	08/22/2001	Short Sell	139	Unknown	$51.19	$7,115	$512
	08/22/2001	Short Sell	45	Unknown	$51.10	$2,229	$162
	08/22/2001	Short Sell	46	Unknown	$50.94	$2,343	$158
	08/23/2001	Short Sell	1,146	Unknown	$51.69	$59,236	$4,790
	08/23/2001	Short Sell	459	Unknown	$51.51	$23,643	$1,836
	08/23/2001	Short Sell	277	Unknown	$51.49	$14,263	$1,102
	08/23/2001	Short Sell	274	Unknown	$51.29	$14,053	$1,036
	08/24/2001	Short Sell	1,146	Unknown	$52.49	$60,154	$5,707
	08/24/2001	Short Sell	277	Unknown	$52.59	$14,567	$1,407
	08/24/2001	Short Sell	459	Unknown	$52.28	$23,997	$2,189
	08/27/2001	Short Sell	366	Unknown	$52.90	$19,361	$1,972
	08/27/2001	Short Sell	46	Unknown	$52.91	$2,433	$248
	08/27/2001	Short Sell	47	Unknown	$52.95	$2,489	$256
	08/27/2001	Short Sell	276	Unknown	$52.99	$14,625	$1,512
	08/27/2001	Short Sell	185	Unknown	$53.00	$9,805	$1,015

[1] Profit potential for this and the following accounts is based on a closing last sale price of $47.51 on September 17, 2001.

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

	08/27/2001	Short Sell	137	Unknown	$53.01	$7,262	$754
	08/28/2001	Short Sell	687	Unknown	$53.00	$36,411	$3,771
	08/31/2001	Short Sell	684	Unknown	$52.25	$35,739	$3,242
	09/04/2001	Short Sell	698	Unknown	$52.59	$36,708	$3,546
	Total		**7,563**				**$35,806**

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Sangamon Partners (1.5X1) LP *City, State:* Chicago, IL *Social Security #:* 364-27-8639 *Firm:* Speer, Leeds & Kellogg ("SILK") *Account Number:* (b)(4)	08/22/2001	Short Sell	55	Unknown	$50.99	$2804	$191
	08/22/2001	Short Sell	19	Unknown	$51.19	$973	$70
	08/22/2001	Short Sell	7	Unknown	$51.10	$358	$25
	08/22/2001	Short Sell	6	Unknown	$50.94	$306	$21
	08/23/2001	Short Sell	158	Unknown	$51.69	$8,167	$660
	08/23/2001	Short Sell	63	Unknown	$51.51	$3245	$252
	08/23/2001	Short Sell	37	Unknown	$51.49	$1,905	$147
	08/23/2001	Short Sell	38	Unknown	$51.29	$1,949	$143
	08/24/2001	Short Sell	157	Unknown	$52.49	$8,241	$782
	08/24/2001	Short Sell	38	Unknown	$52.59	$1,998	$193
	08/24/2001	Short Sell	38	Unknown	$52.28	$1,987	$181
	08/24/2001	Short Sell	25	Unknown	$52.28	$1,307	$119
	08/27/2001	Short Sell	38	Unknown	$52.99	$2,014	$208
	08/27/2001	Short Sell	25	Unknown	$53.00	$1,325	$137
	08/27/2001	Short Sell	19	Unknown	$53.01	$1,007	$105
	08/27/2001	Short Sell	7	Unknown	$52.95	$371	$38
	08/27/2001	Short Sell	7	Unknown	$52.90	$370	$38
	08/27/2001	Short Sell	7	Unknown	$52.90	$370	$38
	08/27/2001	Short Sell	36	Unknown	$52.90	$1,904	$194
	08/27/2001	Short Sell	6	Unknown	$52.91	$317	$32
	08/28/2001	Short Sell	95	Unknown	$53.00	$5,035	$522

Tokio Marine & Fire Insurance Company ("TKIO")

	08/31/2001	Short Sell	94	Unknown	$52.25	$4,912	$446
	08/31/2001	Short Sell	63	Unknown	$52.25	$3,292	$299
	09/04/2001	Short Sell	96	Unknown	$52.59	$5,049	$488
	Total		**1,134**				**$5,329**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Sangamon Partners *City, State:* Chicago, IL *Social Security #:* 363-77-6630 *Firm:* SILK *Account Number:* (b)(4)	08/22/2001	Short Sell	340	Unsol.	$50.99	$17,337	$1,183
	08/22/2001	Short Sell	125	Unsol.	$51.19	$6,399	$460
	08/22/2001	Short Sell	42	Unsol.	$51.10	$2,146	$151
	08/22/2001	Short Sell	42	Unsol.	$50.94	$2,139	$144
	08/23/2001	Short Sell	1,048	Unsol.	$51.69	$54,171	$4,381
	08/23/2001	Short Sell	419	Unsol.	$51.51	$21,583	$1,676
	08/23/2001	Short Sell	251	Unsol.	$51.49	$12,924	$999
	08/23/2001	Short Sell	252	Unsol.	$51.29	$12,925	$952
	08/24/2001	Short Sell	1,048	Unsol.	$51.49	$53,961	$4,171
	08/24/2001	Short Sell	251	Unsol.	$52.59	$13,200	$1,275
	08/24/2001	Short Sell	251	Unsol.	$52.28	$13,122	$1,197
	08/24/2001	Short Sell	168	Unsol.	$52.28	$8,783	$801
	08/27/2001	Short Sell	251	Unsol.	$52.99	$13,300	$1,375
	08/27/2001	Short Sell	167	Unsol.	$53.00	$24,751	$917
	08/27/2001	Short Sell	126	Unsol.	$53.01	$6,679	$693
	08/27/2001	Short Sell	42	Unsol.	$52.91	$2,222	$227
	08/27/2001	Short Sell	336	Unsol.	$52.90	$17,774	$1,811
	08/27/2001	Short Sell	41	Unsol.	$52.95	$2,170	$223
	08/28/2001	Short Sell	629	Unsol.	$53.00	$33,337	$3,453
	08/31/2001	Short Sell	628	Unsol.	$52.25	$32,813	$2,977
	08/31/2001	Short Sell	419	Unsol.	$52.25	$21,892	$1,986
	09/04/2001	Short Sell	638	Unsol.	$52.59	$33,552	$3,241
	Total		**7,514**				**$34,293**

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: Personal Services
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, TVLY closed at a last sale price of $12.56, down $9.46 from the close on September 10, 2001.

CHRONOLOGY MATCH

The following is a summary of certain accounts which matched one or more names in the U.S. Government's list of noteworthy individuals or entities:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*[1]
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* 000-00-0000 *Firm:* Charles Schwab & Co., Inc. ("CHAS") *Account Number:* (b)(6),(b)(7)(c)	08/14/2001	Short Sell	2,000	Unknown	$24.85	$49,700	$24,580

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Villcap A/C 38880 F/A/O Capital Global Tech LS *City, State:* Conshohocken, PA *Social Security #:* 135-10-8880 *Firm:* Salomon Smith Barney, Inc. ("SBSH") *Account Number:* (b)(4) *Account Opened:* 07/02/2001	09/10/2001	Short Sell	6,100	Unknown	$22.03	$134,383	$57,767
	09/10/2001	Short Sell	4,400	Unknown	$23.30	$102,520	$47,256
	Total		**10,500**				**$105,023**

[1] Potential profit for this and the following accounts is based on TVLY's closing last sale price of $12.56 on September 17, 2001.
[2] Indirect match to Osama Bin Laden from Executive Order of September 24, 2001.

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REQUESTED BY
NASD REGULATION, INC.

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit*[3]
Name: Andor Technology Aggressive Offshore Fund *City, State, Country:* Hamilton, Bermuda *Social Security #:* 999999998 *Firm:* Goldman, Sachs & Co. ("GSCO") *Account Number:* (b)(4)	08/29/2001	Short Sell	1,500	Unknown	$27.03	$40,545	$19,575
	08/29/2001	Short Sell	10,700	Unknown	$27.03	$289,221	$139,635
	08/29/2001	Short Sell	65,300	Unknown	$26.98	$1,761,794	$848,900
	08/29/2001	Short Sell	7,500	Unknown	$26.98	$202,350	$97,500
	08/30/2001	Short Sell	11,500	Unknown	$25.61	$294,515	$133,745
	08/30/2001	Short Sell	1,500	Unknown	$25.61	$38,415	$17,445
	09/04/2001	Short Sell	1,500	Unknown	$25.00	$37,500	$16,530
	09/04/2001	Short Sell	15,500	Unknown	$25.00	$387,500	$170,810
	09/06/2001	Short Sell	25,000	Unknown	$24.00	$600,000	$250,500
	09/06/2001	Short Sell	3,000	Unknown	$24.00	$72,000	$30,060
	09/17/2001	Buy	143,000	Unknown	$13.98	$1,999,140	
	Total		**286,000**				**$1,724,700**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Green Cay Asset Management *City, State, Country:* Cable Beach, Nassau, Bahamas *Social Security #:* Not Applicable *Firm:* Morgan Stanley & Co., Inc. ("MSCO") *Account Number:* (b)(4)	07/19/2001	Short Sell	40,000	Unknown	$28.18	$1,127,200	$624,800

[3] Realized profit is calculated on a first-in, first-out basis.

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CONFIDENTIAL TREATMENT
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Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: The Siebels Emerging Market Attn: (b)(4),(b)(6),(b)(7)(c) *City, State, Country:* Nassau, Bahamas *Social Security #:* Not Applicable *Firm:* MSCO *Account Number:* (b)(4),(b)(6),(b)(7)(c)	07/19/2001	Short Sell	40,000	Unknown	$28.18	$1,127,200	$624,840

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit*
Name: Andor Technology Aggressive Fund LP *City, State:* Stamford, CT *Social Security #:* 061557697 *Firm:* CHAS *Account Number:* (b)(4)	08/29/2001	Short Sell	1,500	Unknown	$27.03	$40,545	$19,575
	08/29/2001	Short Sell	15,000	Unknown	$27.03	$405,450	$195,750
	08/29/2001	Short Sell	86,500	Unknown	$26.98	$2,333,770	$1,124,500
	08/29/2001	Short Sell	10,000	Unknown	$26.98	$269,800	$130,000
	08/30/2001	Short Sell	15,000	Unknown	$25.61	$384,150	$174,450
	08/30/2001	Short Sell	2,000	Unknown	$25.61	$51,220	$29,260
	09/04/2001	Short Sell	2,500	Unknown	$25.00	$62,500	$27,550
	09/04/2001	Short Sell	20,500	Unknown	$25.00	$512,500	$225,910
	09/06/2001	Short Sell	33,000	Unknown	$24.00	$792,000	$330,660
	09/06/2001	Short Sell	4,000	Unknown	$24.00	$96,000	$40,072
	09/17/2001	Buy	190,000	Unknown	$13.98	$2,656,200	
	Total		380,000				**$2,297,727**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol.*	*Price*	*Trade Value*	*Potential/ Realized Profit*
Name: Zam-Ziff Asset Management Execution *City, State:* New York, NY *Social Security #:* Not Applicable *Firm:* MSCO *Account Number:* (b)(4)	07/23/2001	Short Sell	100,000	Unknown	$27.03	$2,703,000	$1,292,000
	07/30/2001	Short Sell	85,000	Unknown	$25.58	$2,174,300	$974,950
	07/31/2001	Short Sell	115,000	Unknown	$23.44	$2,695,600	$1,072,950[4]

CONFIDENTIAL TREATMENT REQUESTED BY NASD REGULATION, INC.

	08/10/2001	Short Sell	50,000	Unknown	$23.79	$1,189,500	$484,000
	08/13/2001	Short Sell	50,000	Unknown	$23.88	$1,194,000	$488,500
	09/17/2001	Buy	200,000	Unknown	$14.11	$2,822,000	
	Total						**$2,406,900**

Name: Goldman Sachs & Co, Inc. F/A/O Duquesne Capital Management #002-1006 ***City, State:*** Pittsburgh. PA ***Social Security #:*** 135-10-8880 ***Firm:*** Instinet Clearing Services Incorporated ("ICSG") ***Account Number:*** (b)(4)	08/20/2001	Short Sell	10,000	Unknown	$24.03	$240,000	$114,400

Name: Goldman Sachs/Duquesne Capital Management, LLC ***City, State***: Pittsburgh, PA ***Social Security #:*** 135-10-8880 ***Firm:*** Pershing Division of Donaldson, Lufkin & Jenrette Securities Corporation ("PERS") ***Account Number:*** (b)(4)	08/08/2001	Short Sell	66,000	Unknown	$24.00	$1,584,000	$755,040
	08/09/2001	Short Sell	52,200	Unknown	$25.58	$1,335,276	$679,654
	Total						**$1,434,694**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential/ Realized Profit*
Name: No Margin Fund LP C/O Duquesne Capital Management, LLC ***City, State:*** Pittsburgh, PA ***Social Security #:*** 251673028 ***Firm:*** GSCO ***Account Number:*** (b)(4)	08/03/2001	Short Sell	1,100	Unknown	$26.20	$28,820	
	08/06/2001	Short Sell	1,100	Unknown	$26.00	$28,600	$10,752[5]
	08/08/2001	Short Sell	2,900	Unknown	$25.58	$74,182	$37,758
	08/09/2001	Short Sell	3,600	Unknown	$24.00	$86,400	$41,184
	08/20/2001	Short Sell	600	Unknown	$24.03	$14,418	$7,968
	09/17/2001	Buy	1,400	Unknown	$10.75	$15,050	$21,570
	Total						**$119,232**

[4] 15,000 shares were used to calculated realized profit using the first-in, first-out method; profit potential was calculated for the remaining 100,000 shares of this trade.

[5] 300 shares were used to calculate realized profit using the first-in, first-out method; profit potential was calculated for the remaining 800 shares.

Name: Duquesne Fund LP C/O Duquesne Capital Management, LLC *City, State:* Pittsburgh, PA *Social Security #:* 650-45-3030 *Firm:* GSCO *Account Number:* (b)(4)	08/08/2001 08/09/2001	Short Sell Short Sell	10,900 13,700	Unknown Unknown	$25.58 $24.00	$278,822 $328,800	$141,918 $156,728
	Total						**$298,646**

Name: Duquesne Fund LP C/O Duquesne Capital Management, LLC *City, State:* Pittsburgh, PA *Social Security #:* 650-45-3030 *Firm:* GSCO *Account Number:* (b)(4)	08/03/2001 08/06/2001 08/20/2001 09/17/2001	Short Sell Short Sell Short Sell Buy	4,200 4,200 2,100 5,300	Unknown Unknown Unknown Unknown	$26.20 $26.00 $24.03 $10.75	$110,040 $109,200 $50,463 $56,975	 $41,664[6] $24,087 $81,665
	Total						**$147,416**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential/ Realized Profit*
Name: Steeler Fund, LTD. C/O Duquesne Capital Management, LLC *City, State:* Pittsburgh, PA *Social Security #:* 999-99-9998 *Firm:* GSCO *Account Number:* (b)(4)	08/03/2001 08/06/2001 08/20/2001 09/17/2001	Short Sell Short Sell Short Sell Buy	14,700 14,700 7,300 18,300	Unknown Unknown Unknown Unknown	$26.20 $26.00 $24.03 $10.75	$385,140 $382,200 $175,419 $196,725	 $149,184[7] $83,731 $282,015
	Total						**$514,930**
Name: Steeler Fund, LTD. C/O Duquesne Capital Management, LLC *City, State:* Pittsburgh, PA *Social Security #:* 999-99-9998 *Firm:* GSCO *Account Number:* (b)(4)	08/08/2001 08/09/2001	Short Sell Short Sell	38,400 48,700	Unknown Unknown	$25.58 $24.00	$982,272 $1,168,800	$499,968 $557,128
	Total		87,100				**$1,057,096**
	TOTAL						**$3,686,414**

Name: (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) *City, State:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* Charles Schwab & Co., Inc. ("CHAS") *Account Number:* (b)(6),(b)(7)(c)	08/13/2001 08/27/2001	Short Sell Short Sell	2,000 2,000	Unknown Unknown	$23.76 $27.33	$47,520 $54,660	$22,400 $29,540

[6] 1,100 shares were used to calculate realized profit using the first-in, first-out method; profit potential was calculated for the remaining 3,100 shares.

[7] 3,600 shares were used to calculate realized profit using the first-in, first-out method; profit potential was calculated for the remaining 11,100 shares.

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Total			**$51,940**

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CONFIDENTIAL TREATMENT
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NASD REGULATION, INC.

Industry: U.S. Airline
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, U closed at a last sale of $5.57, down $6.05 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

No transactions with a profit or loss avoidance potential of more than $12,000 by accounts opened during the review period were noted.

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*[1]
Name: Rava Sociedad de Bolsa, S.A. Attn:(b)(6), (b)(7)(C)	8/23/01	SS[2]	350	Unsol.	$14.00	$4,900	$2,951
	8/30/01	SS	200	Unsol.	$12.81	$2,562	$1,448
City, State, Country: Buenos Aires	8/30/01	SS	100	Unsol.	$12.81	$1,281	$724
Tax ID.: None	8/30/01	SS	100	Unsol.	$12.81	$1,281	$724
Firm: Charles Schwab & Co., Inc. ("CHAS")							
Account Number: (b)(6),(b)(7)(c)							
	Total		750				**$5,847**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Prism Partners I Offshore Fund	8/21/01	SS	2,500	Unknown	$14.96	$37,400	$23,475
City, State, Country: Georgetown, Cayman Islands	8/23/01	SS	2,500	Unknown	$14.00	$35,000	$21,075
Tax ID.: None							
Firm: Banc of America Securities, LLC, Montgomery Division ("MONT")							
Account Number: (b)(4)							

1 Profit potential for this and the following accounts is based on U's September 17, 2001 last sale price of $5.57.

2 "SS" indicates a short sale.

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Name: Prism Partners II Offshore Fund *City, State, Country:* Hamilton, Bermuda *Tax ID.:* None *Firm:* MONT *Account Number:* (b)(4)	8/21/01 8/23/01	SS SS	8,750 8,750	Unknown Unknown	$14.96 $14.00	$130,900 $122,500	$82,163 $73,763
	Total		22,500				**$200,476**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Zola Partners LP *City, State, Country:* British Virgin Islands *Tax ID.:* None *Firm:* Bear Stearns Securities Corp. ("BSSC") *Account Number:* (b)(4)	8/6/01	SS	1,000	Unknown	$17.76	$17,760	$12,190

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit*
Name: (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* None *Firm:* E*Trade Securities, Inc. ("ETRS") *Account Number:* (b)(6),(b)(7)(c)	9/10/01 9/17/01	SS Buy	1,530 1,530	Unsol. Unsol.	$11.56 $6.51	$17,686 $9,960	$7,726

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* Morgan Stanley Dean Witter Online, Inc. ("DBDM") *Account Number:* (b)(6),(b)(7)(c)	7/9/01 7/9/01 7/9/01 7/9/01	SS SS SS SS	500 300 300 100	Unknown Unknown Unknown Unknown	$16.28 $16.41 $16.41 $16.41	$8,140 $4,923 $4,923 $1,641	$5,355 $3,252 $3,252 $1,084
	Total		1,200				**$12,943**

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Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit*
Name: (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* Advanced Clearing Corp. ("FOMA") *Account Number:* (b)(6),(b)(7)(c)	7/23/01	SS	1,000	Unsol.	$19.60	$19,600	$12,880
	8/6/01	SS	1,000	Unsol.	$18.48	$18,480	$11,760
	9/17/01	Buy	2,000	Unsol.	$6.72	$13,440	
	Total	SS	2,000				**$24,640**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: SDS Merchant Fund, LP *City, State, Country:* Greenwich, CT *Tax ID.:* 44-4444444 *Firm:* Salomon Smith Barney, Inc. ("SBSH") *Account Number:* (b)(4)	8/6/01	SS	15,000	Unknown	$18.42	$276,300	$192,800

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential and Realized Profit*
Name: (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* CHAS *Account Number:* (b)(6),(b)(7)(c)	8/16/01	SS	1,000	Unsol.	$16.18	$16,180	$10,175[3]
	8/16/01	SS	1,000	Unsol.	$16.18	$16,180	$10,180[2]
	8/16/01	SS	400	Unsol.	$16.18	$6,472	$4,244
	8/16/01	SS	300	Unsol.	$16.18	$4,854	$3,183
	8/16/01	SS	300	Unsol.	$16.18	$4,854	$3,183
	9/17/01	Buy	1,000	Unsol.	$6.05	$6,005	
	9/17/01	Buy	1,000	Unsol.	$6.00	$6,000	
	Total	SS	3,000				**$30,965**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* Penson Financial Services, Inc. ("PFSI") *Account Number:* (b)(6),(b)(7)(c)	9/6/01	SS	500	Unknown	$12.35	$6,175	$3,390

[3] Realized profit was calculated using the First In First Out method of accounting.

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NASD REGULATION, INC.

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit*
Name: Leigh H. Norgren & CO.	8/31/01	SS	1,300	Unsol.	$12.70	$16,510	$8,138
City, State, Country: Mesquite, NV	8/31/01	SS	800	Unsol.	$12.74	$10,192	$4,992
Tax ID.: 52-3202653	8/31/01	SS	700	Unsol.	$12.69	$8,883	$4,333
Firm: CHAS	8/31/01	SS	400	Unsol.	$12.66	$5,064	$2,464
Account Number: (b)(4)	8/31/01	SS	200	Unsol.	$12.66	$2,532	$1,232
	8/31/01	SS	100	Unsol.	$12.80	$1,280	$630
	8/31/01	SS	100	Unsol.	$12.74	$1,274	$624
	8/31/01	SS	100	Unsol.	$12.74	$1,274	$624
	8/31/01	SS	100	Unsol.	$12.66	$1,266	$616
	9/17/01	Buy	1,300	Unsol.	$6.44	$8,372	
	9/17/01	Buy	2,500	Unsol.	$6.50	$16,250	
	Total	SS	3,800				**$23,653**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) (b)(6),(b)(7)(c)	7/9/01	SS	800	Unsol.	$16.28	$13,024	$8,568
City, State, Country: (b)(6),(b)(7)(c)	7/9/01	SS	600	Unsol.	$16.28	$9,768	$6,426
Social Security #: (b)(6),(b)(7)(c)	7/9/01	SS	500	Unsol.	$16.28	$8,140	$5,355
Firm: CHAS	7/9/01	SS	100	Unsol.	$16.28	$1,628	$1,071
Account Number: (b)(6),(b)(7)(c)							
	Total		2,000				**$21,420**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) (b)(6),(b)(7)(c)	8/23/01	SS	1,000	Unsol.	$14.12	$14,120	$8,550
City, State, Country: (b)(6),(b)(7)(c)	8/24/01	SS	1,000	Unsol.	$14.20	$14,200	$8,630
Tax ID.: (b)(6),(b)(7)(c)	8/24/01	SS	1,000	Unsol.	$14.19	$14,190	$8,620
Firm: CHAS	8/24/01	SS	1,000	Unsol.	$14.15	$14,150	$8,580
Account Number: (b)(6),(b)(7)(c)	8/31/01	SS	2,300	Unsol.	$12.76	$29,348	$16,537
	8/31/01	SS	2,300	Unsol.	$12.72	$29,256	$16,445
	8/31/01	SS	800	Unsol.	$12.70	$10,160	$5,704
	8/31/01	SS	300	Unsol.	$12.72	$3,816	$2,145
	8/31/01	SS	200	Unsol.	$12.70	$2,540	$1,426
	8/31/01	SS	100	Unsol.	$12.72	$1,272	$715
	9/5/01	SS	2,000	Unsol.	$12.69	$25,380	$14,240
	9/7/01	SS	1,000	Unsol.	$11.90	$11,900	$6,330
	9/7/01	SS	500	Unsol.	$11.80	$5,900	$3,115
	9/7/01	SS	400	Unsol.	$11.86	$4,744	$2,516
	9/7/01	SS	400	Unsol.	$11.86	$4,744	$2,516
	9/7/01	SS	300	Unsol.	$11.85	$3,555	$1,884
	9/7/01	SS	200	Unsol.	$11.85	$2,370	$1,256
	9/7/01	SS	100	Unsol.	$11.86	$1,186	$629

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	9/7/01	SS	100	Unsol.	$11.86	$1,186	$629
	9/10/01	SS	700	Unsol.	$11.64	$8,148	$4,249
	9/10/01	SS	400	Unsol.	$11.61	$4,644	$2,416
	9/10/01	SS	300	Unsol.	$11.64	$3,492	$1,821
	9/10/01	SS	300	Unsol.	$11.64	$3,492	$1,821
	9/10/01	SS	100	Unsol.	$11.64	$1,164	$607
	9/10/01	SS	100	Unsol.	$11.64	$1,164	$607
	9/10/01	SS	100	Unsol.	$11.63	$1,163	$606
	Total		17,000				**$122,594**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* CHAS *Account Number:* (b)(6),(b)(7)(c)	7/9/01	SS	2,000	Unsol.	$16.28	$32,560	$21,420

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* CHAS *Account Number:* (b)(6),(b)(7)(c)	7/9/01	SS	1,800	Unsol.	$16.32	$29,376	$19,350

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC

Industry: U.S. Airline
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, UAL closed at a last sale of $17.50, down $13.32 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*[1]
Name: (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* Advanced Clearing, Inc. ("FOMA") *Account Number:* (b)(6),(b)(7)(c) *Date Account Opened:* 7/3/01	07/18/01	Short Sell[2]	400	Unsol.	$34.98	$13,992	$6,992
	07/18/01	SS	600	Unsol.	$34.98	$20,988	$10,488
	Total		1,000				**$17,480**

[1] Profit potential for this and the following accounts is based on UAL's September 17, 2001 last sale price of $17.50.

[2] Short Sell will be indicated throughout the rest of this report as "SS".

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

FOREIGN ACCOUNT SORT

The following is a summary of certain foreign accounts which effected noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Digital (IMA) Limited Investorcorp House Diplomatic *City, State, Country:* Manama, Bahrain *Tax ID.:* None *Firm:* Bear, Stearns Securities Corp. ("BSSC") *Account Number:* (b)(4)	07/09/01 07/10/01 09/04/01 09/05/01	SS SS SS SS	1,400 900 1,400 1,000	Unknown Unknown Unknown Unknown	$34.18 $33.95 $32.69 $32.15	$47,852 $30,555 $45,766 $32,150	$23,352 $14,805 $21,266 $14,650
	Total		4,700				**$74,073**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Winchester Frontier, Ltd. *City, State, Country:* Hamilton, Bermuda *Tax ID.:* None *Firm:* BSSC *Account Number:* (b)(4)	08/22/01	SS	7,100	Unknown	$33.60	$238,560	$114,310

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Eline Investments BV Frits Valkenhoff *City, State, Country:* The Hague, Netherlands *Tax ID.:* None *Firm:* BSSC *Account Number:* (b)(4)	08/15/01	SS	10,000	Unknown	$34.08	$340,800	$165,800

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Eline Investments BV Frits Valkenhoff *City, State, Country:* The Hague, Netherlands *Tax ID.:* None *Firm:* BSSC *Account Number:* (b)(4)	07/09/01 07/10/01	SS SS	9,700 7,700	Unknown Unknown	$34.18 $33.95	$331,546 $261,415	$161,796 $126,665
	Total		17,400				**$288,461**

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized and Potential Profit*
Name: Chilton International, L.P. *City, State, Country:* New Canaan, CT *Tax ID.:* None *Firm:* Morgan, Stanley & Co., Inc. ("MSCO") *Account Number:* (b)(4)	8/27/01 8/28/01 8/29/01 9/07/01 9/17/01	SS SS SS SS	2,000 2,000 800 600	Unknown Unknown Unknown Unknown	$34.00 $33.65 $32.95 $31.51	$68,000 $67,300 $26,360 $18,906	$22,610[3] $12,360 $8,406
		Buy	2,600	Unknown	$18.62		$39,778
	Total		5,400				**$83,154**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit*
Name: Dawson Giammalva *City, State, Country:* Southport, CT *Tax ID.:* None *Firm:* MSCO *Account Number:* (b)(4)	08/27/01 08/28/01 08/30/01	SS SS SS	12,000 24,000 34,700	Unknown Unknown Unknown	$33.92 $33.63 $32.45	$407,040 $807,120 $1,126,015	$183,000 $359,040 $478,166
	09/17/01	Buy	70,700	Unknown	$18.67	$1,319,969	
	Total		70,700				**$1,020,206**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Delta Lloyd Nuts Ohra N.V. *City, State, Country:* Amsterdam, Netherlands *Tax ID.:* None *Firm:* MSCO *Account Number:* (b)(4)	07/09/01 07/10/01 09/04/01 09/05/01	SS SS SS SS	1,200 800 1,200 900	Unknown Unknown Unknown Unknown	$34.18 $33.95 $32.69 $32.15	$41,016 $27,160 $39,228 $28,935	$20,025 $13,168 $18,234 $13,190
	Total						**$64,617**

[3] Profit potential calculated for 1,400 shares of this trade. The other 600 shares were used to calculate realized profit using First In First Out method of accounting.

CONFIDENTIAL TREATMENT
REQUESTED BY
MSD REGULATION, INC.

Account Information	Trade Date	Buy/ Sell	No. of Shares	Sol/ Unsol	Price	Trade Value	Potential Profit
Name: The Jackson Laboratory, Attn: (b)(6), (b)(7)(C) *City, State, Country:* Bar Harbor, ME *Tax ID.:* 010-21-1513 *Firm:* MSCO *Account Number:* (b)(4)	08/22/01	SS	2,400	Unknown	$33.74	$80,976	$38,976

Account Information	Trade Date	Buy/ Sell	No. of Shares	Sol/ Unsol	Price	Trade Value	Potential and Realized Profit
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* Charles Schwab & Co., Inc. ("CHAS") *Account Number:* (b)(6),(b)(7)(c)	8/07/01	SS	300	Unsol.	$34.01	$10,203	$4,728[4]
	8/07/01	SS	300	Unsol.	$34.01	$10,203	$4,728[3]
	8/10/01	SS	100	Unsol.	$34.03	$3,403	$1,653
	8/10/01	SS	100	Unsol.	$34.03	$3,403	$1,653
	8/27/01	SS	200	Unsol.	$34.31	$6,862	$3,362
	8/27/01	SS	200	Unsol.	$34.31	$6,862	$3,362
	9/7/01	SS	300	Unsol.	$31.36	$9,408	$4,158
	9/17/01	Buy	300	Unsol.	$18.25	$5,475	
	9/17/01	Buy	100	Unsol.	$18.25	$1,825	
	9/17/01	Buy	200	Unsol.	$18.25	$3,650	
	Total		1,500				**$23,644**

Account Information	Trade Date	Buy/ Sell	No. of Shares	Sol/ Unsol	Price	Trade Value	Potential Profit
Name: RCAB Collective Investment Partnership, Attn: (b)(6), (b)(7) *City, State, Country:* Brighton, MA *Tax ID.:* 04-3292720 *Firm:* MSCO *Account Number:* (b)(4)	7/09/01	SS	1,500	Unknown	$34.18	$51,270	$25,031
	7/10/01	SS	1,200	Unknown	$33.95	$40,740	$19,752
	9/04/01	SS	4,900	Unknown	$32.67	$160,083	$74,333
	9/04/01	SS	700	Unknown	$32.69	$22,883	$10,636
	9/05/01	SS	1,700	Unknown	$32.15	$54,655	$24,914
	Total		10,000				**$154,666**

Account Information	Trade Date	Buy/ Sell	No. of Shares	Sol/ Unsol	Price	Trade Value	Realized Profit
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* E*Trade Securities, Inc. ("ETRS") *Account Number:* (b)(6),(b)(7)(c)	8/16/01	SS	400	Unsol.	$34.13	$13,652	
	9/17/01	Buy	400	Unsol.	$18.14	$7,256	$6,396

[4] Realized profit.

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit*
Name: Iguacu Fund, LLP ***City, State, Country:*** Washington, D.C. ***Tax ID.:*** 522-14-6462 ***Firm:*** Banc of America Securities, Inc., Montgomery Division ("MONT") ***Account Number:*** (b)(4)	9/10/01	SS	6,500	Unknown	$30.46	$197,990	
	9/17/01	Buy	6,500	Unknown	$18.20	$118,300	$79,690

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: Odyssey Transportation, Inc. of Nevada ***City, State, Country:*** San Clemente, CA ***Tax ID.:*** 88-0300723 ***Firm:*** CHAS ***Account Number:*** (b)(4)	9/4/01	SS	650	Unsol.	$32.68	$21,242	$9,867
	9/4/01	SS	500	Unsol.	$32.68	$16,340	$7,590
	9/4/01	SS	400	Unsol.	$32.68	$13,072	$6,072
	Total		1,550				**$23,529**

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

UTI Worldwide, Inc. ("UTIW")

Industry: Supply Chain Management
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, UTIW closed at a last sale price of $14.40, down $2.01 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

No transactions with a profit or loss avoidance potential of more than $5,000 by accounts opened during the review period were noted.

FOREIGN ACCOUNT SORT

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Loss Avoidance*[1]
Name: Curran Management Co. LTD *City, State, Country:* Road Town Tortola, British Virgin Islands *Social Security # OR Tax ID.:* GNNO-TIN *Firm:* Instinet Clearing Services, Inc. ("ICLS") *Account Number:* (b)(4)	08/09/01 through 08/24/01	Sell	51,299	Unknown	$16.01 to $18.00	$872,339	$132,732
	Total						**$132,732**

PROFIT SORT

Other than that referenced above, no retail or institutional accounts with a profit or loss avoidance potential of more than $5,000 during the review period were noted.

[1] Loss avoidance for this account is based on the closing last sale price of $14.40 on September 17, 2001.

CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Vanguard Airlines ("VNGD")

Industry: Airline
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, VNGD closed at a last sale of $0.70, unchanged from the close on September 10, 2001.

CHRONOLOGY MATCH
No material matches were noted.

DATE ACCOUNT OPENED SORT
No transactions with a profit or loss avoidance potential of more than $500 by accounts opened during the review period were noted.

FOREIGN ACCOUNT SORT
No foreign accounts with a profit or loss avoidance potential of more than $5,000 during the review period were noted.

PROFIT SORT
No retail or institutional accounts with a profit or loss avoidance potential of more than $5,000 during the review period were noted.

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

Industry: Identification and Face Recognition Technology
Review Period: July 2 through September 17, 2001
Price Movement (last sale): On September 17, 2001, VSNX closed at a last sale of $8.25, up $3.98 from the close on September 10, 2001.

CHRONOLOGY MATCH

No material matches were noted.

DATE ACCOUNT OPENED SORT

The following is a summary of certain accounts opened during the review period which effected noteworthy transactions in the subject security:

Account Information	*Date Account Opened*	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*[1]
Name: Turner Inv. Partners *City, State, Country:* Berwyn, PA *Tax ID.:* 04-3172773 *Firm:* Miller, Johnson & Kuehn, Inc. ("MJKI") *Account Number:* (b)(4)	7/19/01	7/19/01 7/20/01 7/23/01	Buy Buy Buy	14,520 18,050 6,290	Unknown Unknown Unknown	$6.57 $6.71 $6.77	$95,396 $121,115 $42,583	$24,273 $27,723 $9,309
Name: Turner Inv. Partners *City, State, Country:* Berwyn, PA *Tax ID.:* 23-3064654 *Firm:* MJKI *Account Number:* (b)(4)	7/19/01	7/19/01 7/20/01 7/23/01	Buy Buy Buy	480 600 210	Unknown Unknown Unknown	$6.57 $6.71 $6.77	$3,153 $4,026 $1,421	$802 $922 $311
		Total		40,150				**$63,340**

FOREIGN ACCOUNT SORT

No foreign accounts with a profit potential of more than $5,000 during the review period were noted.

[1] Profit potential for this and the following accounts is based on VSNX's September 17, 2001 last sale price of $8.25.

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CONFIDENTIAL TREATMENT
REQUESTED BY
NASD REGULATION, INC.

PROFIT SORT

The following is a summary of the retail and institutional accounts with the highest profit potential based upon noteworthy transactions in the subject security:

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit*
Name: (b)(6),(b)(7)(c) (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* Salomon Smith Barney, Inc. ("SBSH") *Account Number:* (b)(6),(b)(7)(c)	7/12/01	Buy	10,000	Unknown	$6.85	$68.500	$19,000
	7/31/01	Buy	100	Unknown	$5.80	$580	$357
	7/31/01	Buy	200	Unknown	$5.80	$1,160	$714
	7/31/01	Buy	1,700	Unknown	$5.80	$9,860	$6,069
	7/31/01	Buy	2,200	Unknown	$5.90	$12,980	$7,634
	7/31/01	Buy	2,800	Unknown	$5.90	$16,520	$9,716
	7/31/01	Buy	3,000	Unknown	$5.80	$17,400	$10,710
	9/17/01	Sell	10,000	Unknown	$8.75	$87,500	
	9/17/01	Sell	10,000	Unknown	$9.37	$93,700	
	Total	Buys	20,000				**$54,200**

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Realized Profit*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* Bear Stearns Securities Corp. ("BSSC") *Account Number:* (b)(6),(b)(7)(c)	9/5/01	Buy	10,000	Unknown	$4.90	$49,000	$33,700
	9/17/01	Sell	10,000	Unknown	$8.27	$82,700	

Account Information	*Trade Date*	*Buy/ Sell*	*No. of Shares*	*Sol/ Unsol*	*Price*	*Trade Value*	*Potential Profit*
Name: (b)(6),(b)(7)(c) *City, State, Country:* (b)(6),(b)(7)(c) *Social Security #:* (b)(6),(b)(7)(c) *Firm:* MJKI *Account Number:* (b)(6),(b)(7)(c)	8/9/01	Buy	1,000	Unknown	$5.85	$5,850	$2,400
	8/10/01	Buy	5,000	Unknown	$6.00	$30,000	$11,250
	8/21/01	Buy	1,400	Unknown	$5.85	$8,190	$3,360
	8/22/01	Buy	100	Unknown	$5.85	$585	$240
	8/22/01	Buy	1,000	Unknown	$5.85	$5,850	$2,400
	8/22/01	Buy	1,000	Unknown	$5.85	$5,850	$2,400
	8/22/01	Buy	1,500	Unknown	$5.85	$8,775	$3,600
	8/22/01	Buy	2,000	Unknown	$5.85	$11,700	$4,800
	8/22/01	Buy	1,000	Unknown	$5.85	$5,850	$2,400
	8/22/01	Buy	700	Unknown	$5.85	$4,095	$1,680
	8/22/01	Buy	300	Unknown	$5.85	$1,755	$720
	9/7/01	Buy	5,100	Unknown	$4.40	$22,440	$19,635
	9/7/01	Buy	1,000		$4.35	$4,350	$3,900
	9/10/01	Buy	300	Unknown	$4.20	$1,260	$1,215
	9/10/01	Buy	500	Unknown	$4.20	$2,100	$2,025
				Unknown			
	Total		21,900				**$62,025**

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Marcus
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Greenburg
Goleman

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

OFFICE OF THE
GENERAL COUNSEL

July 22, 2003

Daniel Marcus
General Counsel
National Commission on Terrorist Attacks Upon the United States.
301 7th Street SW, Room 5125
Washington, D.C. 20407

Dear Mr. Marcus:

Re: Securities and Exchange Commission

This will confirm my conversation of today with Mr. Greenburg of your staff regarding the access request that the 9/11 Commission has made to the SEC. Specifically, we agreed that the 9/11 Commission would notify the SEC if the documents we produce are requested by private parties and would give the SEC advance notice if the 9/11 Commission determines to publicly disclose the SEC's documents.

Sincerely,

Richard M. Humes
Associate General Counsel

cc: John Knepper, DOJ

Facsimile Transmittal Cover
U.S. SECURITIES AND EXCHANGE COMMISSION RSec 0300 ~~6678~~ 9710

Office of International Affairs
450 5th Street N.W.
Washington, DC 20549-1104

TO: Doug Greenberg FAX NO.: 296-5545

FROM: Elizabeth Jacks

SUBJECT: 1 of 2

DATE: 10/10/03 TOTAL 69 PAGES

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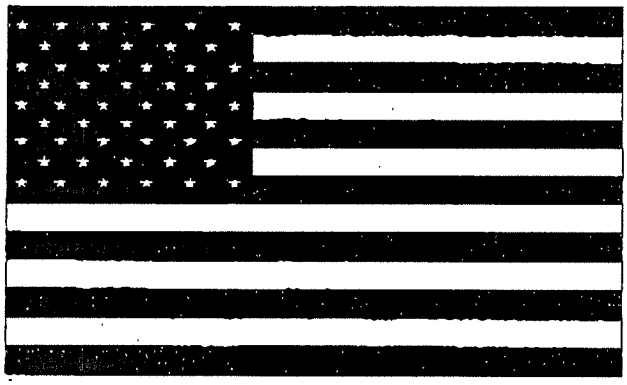
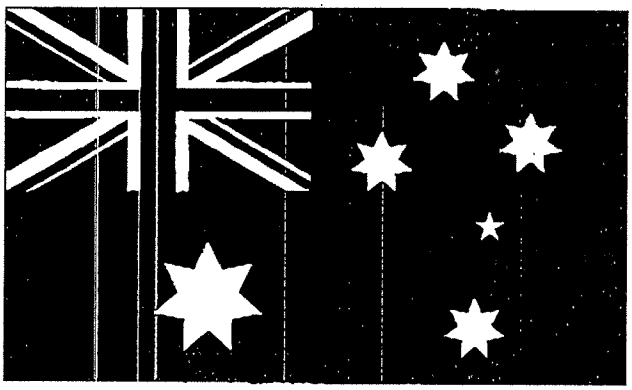
MEMORANDUM OF UNDERSTANDING





The United States Securities and Exchange Commission

The Australian Securities Commission

Concerning Consultation and Cooperation in the Administration and Enforcement of Securities Laws

October 20, 1993

MEMORANDUM OF UNDERSTANDING

BETWEEN THE UNITED STATES SECURITIES AND EXCHANGE COMMISSION AND THE AUSTRALIAN SECURITIES COMMISSION

CONCERNING CONSULTATION AND COOPERATION IN THE ADMINISTRATION AND ENFORCEMENT OF SECURITIES LAWS

October 20, 1993

The United States Securities and Exchange Commission and the Australian Securities Commission, recognizing the increasing international activity in the securities markets and the corresponding need for mutual cooperation as a means for improving their effectiveness in administering and enforcing the securities laws of their respective countries, have reached the following understanding:

Clause 1: Definitions

1. For the purposes of this Memorandum of Understanding:

(a) "Authority" means:

(i) the Securities and Exchange Commission of the United States; or

(ii) the Australian Securities Commission.

The United States Securities and Exchange Commission (SEC) was established pursuant to the Securities Exchange Act of 1934. The SEC is the U.S. national regulator responsible for implementing, administering and enforcing the Securities Act of 1933; the Securities Exchange Act of 1934; the Public Utility Holding Company Act of 1935; the Trust Indenture Act of 1939; the Investment Company Act of 1940; and the Investment Advisers Act of 1940, which regulate the issuance and trading of securities in the U.S. and the activities of securities professionals and investment companies. The Australian Securities Commission (ASC) is the national corporate and securities regulator established under the Australian Securities Commission Act 1989. The ASC is

responsible for administering and enforcing the Corporations Law and the Australian Securities Commission Act 1989 which provide for the regulation of corporations and the securities and futures industries. The ASC's ability to exercise coercive powers on behalf of foreign regulators is governed by the Mutual Assistance in Business Regulation Act 1992.

(b) "requested Authority" means an Authority to whom a request is made under this Memorandum of Understanding.

(c) "requesting Authority" means an Authority making a request under this Memorandum of Understanding.

(d) "person" includes a natural person, unincorporated association, partnership, or body corporate, government or political subdivision, agency, or instrumentality of a government.

(e) "issuer" means a person who issues or proposes to issue any securities.

(f) "investment businesses" means any business which involves, in whole or in part, effecting transactions in securities for the accounts of others; buying and selling securities for one's own account; advising others for compensation, either directly or through publications or listings, as to the value of securities or as to the desirability of investing in, purchasing or selling securities; engaging on behalf of an issuer of securities in matters relating to the issuance, registration, exchange and transfer of such securities; the management,

promotion, offer or sale of any investment company or collective investment scheme; or equivalent activities conducted by persons or entities;

(g) "securities processing businesses" means a clearing corporation or securities transfer agent.

(h) "securities market" means an exchange or other market, including an over-the-counter market, for equity securities, debt securities, bonds, options or any other securities that is recognized, regulated or supervised by the Authorities; and

(i) "laws or regulations" means:

(i) the provisions of the laws, or regulations promulgated thereunder, of the United States; and

(ii) the provisions of the laws, or regulations promulgated thereunder, of Australia, including those laws, and regulations or other delegated legislation, promulgated thereunder, of any Australian State or Territory, which are from time to time administered by the Australian Securities Commission;

concerning:

(a) insider trading, misrepresentation or the use of fraudulent, deceptive, or manipulative practices in connection with the offer, purchase or sale of any security or the conduct of investment businesses;

(b) the duties of persons to comply with periodic reporting requirements or requirements relating to changes in corporate control;

(c) acquisitions of and notifications of interests in securities (including powers to control the voting rights attached to securities and powers to dispose of securities), and associations and agreements in relation to securities and control over bodies corporate;

(d) the making of a false or misleading statement or any material omission in any application or report made to the Authorities;

(e) the duties of persons, issuers or investment businesses to make full and fair disclosure of information relevant to investors;

(f) the duties of investment businesses and securities processing businesses pertaining to their financial, operational or other requirements and their duties of fair dealing in the offer and sale of securities, the execution of transactions and the conduct of their businesses; and

(g) the financial and other qualifications of those engaged in, or in control of, issuers, investment businesses, securities markets or securities processing businesses.

2. The parties will consult, pursuant to Clause 9, in the event of a dispute over the meaning of any term used in this Memorandum of Understanding.

Clause 2: Establishment of a Framework for Consultations Regarding Matters of Mutual Interest

The Authorities intend to engage in consultations about matters of mutual interest designed to further enhance cooperation and to protect investors by ensuring the stability, efficiency, and integrity of the securities markets of the United States and Australia. Such consultations will also enhance the exercise of market oversight functions and the administration of United States and Australian securities laws.

The purpose of such consultations is to assist in the development of mutually acceptable approaches for strengthening the securities markets of the United States and Australia, while avoiding, whenever possible, conflicts that may arise from the application of differing regulatory practices.

Clause 3: General Principles

1. This Memorandum of Understanding sets forth a statement of intent of the Authorities to establish a framework for mutual assistance and to facilitate the exchange of information between the Authorities to enforce or secure compliance with any law or regulation, as that term is defined herein, and does not impose any legally binding obligation on the Authorities or supersede domestic law. This Memorandum of Understanding does not, however, create

any enforceable rights, and does not modify or supersede any laws or regulations in force in, or applying to, the United States or Australia.

2. The entry into effect of this Memorandum of Understanding does not affect any right of either Authority arising under the law of its State or any other arrangement to take measures otherwise than as provided herein to obtain information necessary to ensure compliance with, or to enforce, the laws or regulations of its State. In particular, this Memorandum of Understanding does not affect any right of either Authority to communicate with, or obtain information or documents from, any person, on a voluntary basis, in the State of the other Authority.

3. Where one Authority wishes to make enquiries of, or seek information from, a person within the territory of another Authority on a voluntary basis, the enquiries will be conducted in accordance with arrangements agreed between the Authorities.

4. This Memorandum of Understanding is intended solely for mutual legal assistance between the Authorities. No provision of this MOU shall be construed as conferring the right to ask for, or challenge, the execution of a request for assistance upon any person other than those designated herein.

5. The Authorities recognize the need for and the desirability of providing mutual assistance and exchanging information to assist each other in securing compliance with the laws or regulations of their respective States. The requested

Authority may, however, deny assistance requested under this Memorandum of Understanding on the ground that:

(a) provision of the assistance would be contrary to the national or public interest or the law of the State of the requested Authority; or

(b) the request is not in accordance with the provisions of this Memorandum of Understanding.

Clause 4: Scope of Assistance

1. The Authorities will provide the fullest mutual assistance, within the framework of this Memorandum of Understanding. Such assistance will be provided to facilitate the administration and enforcement of the laws or regulations applicable to securities. Such assistance may be provided notwithstanding that the type of conduct described in the request for assistance would not constitute a violation of the laws or regulations of the State of the requested Authority.

2. Assistance available under this Memorandum of Understanding may include:

(a) providing access to information in the files of the requested Authority;

(b) taking the testimony and statements of persons;

(c) obtaining information and documents from persons; and

(d) conducting compliance inspections or examinations of investment businesses, securities processing businesses and securities markets.

Clause 5: Requests for Assistance

1. Requests for assistance will be made in writing and addressed to the requested Authority's contact officer listed in Appendix A.

2. A request for assistance will specify the following:

(a) a general description of both the subject matter of the request and the purpose for which the information and/or testimony is sought;

(b) a general description of the assistance, information, documents or testimony of persons sought by the requesting Authority;

(c) information in the possession of the requesting Authority that might assist the requested Authority in identifying the persons or entities believed by the requesting Authority to possess the information sought, or the places where such information may be obtained;

(d) the legal provisions pertaining to the matter that is the subject of the request;

(e) the desired time period for the reply; and

(f) information in the possession of the requesting Authority that supports an inference that the subject matter of the request concerns a breach of the law administered by the requesting Authority.

3. In urgent circumstances, a request for assistance and a reply to such a request may be effected by summary procedures or by means of communication other than the exchange of letters, provided that they are confirmed in the manner prescribed in this Clause.

Clause 6: Execution of Requests

1. Access to information held in the files of the requested Authority will be provided upon the request of the requesting Authority.

2. The requested Authority will, in response to a request, take the testimony of persons involved, directly or indirectly, in the activities underlying the request, or holding information that may assist in carrying out the request. The requesting Authority may, in its discretion, request the taking of the testimony or statements of specific persons. The requested Authority also may require the production of other evidence from any other person or persons designated by the requesting Authority.

3. The testimony of persons will be taken in accordance with the laws and practices of the State of the requested Authority. Any person providing information or evidence as a result of a request made under this Memorandum of Understanding will be entitled to all of the rights and protections of the laws of the State of the requested Authority. Where assertions are made regarding other rights and privileges arising exclusively pursuant to the law of the State of the requesting Authority, the

Authorities will consult to determine the appropriate way to proceed.

4. When requested by the requesting Authority, testimony or statements will be taken under oath or affirmation and a transcript will be made. In addition, a representative of the requesting Authority may be present at the taking of testimony or statements and may prescribe specific questions to be asked of any witness.

5. When requested by the requesting Authority, an inspection or examination will be conducted of the books and records of an investment business or its custodian or agent, a securities market or a securities processing business. In addition, a representative of the requesting Authority may be present at the inspection or examination and, subject to approval by the requested Authority, may participate in conducting that inspection or examination.

6. In addition to assisting in the taking of testimony or statements pursuant to paragraph 4, or an inspection or examination pursuant to paragraph 5 of this Section, the requesting Authority may submit to the requested Authority a request, with reasons, that a person or persons designated by the requesting Authority be permitted to conduct the testimony or take a statement of any person, or conduct an inspection or examination.

(a) The request may be granted, modified or denied by the requested Authority in its discretion. The requested Authority may impose such conditions on the participation of the requesting Authority as it deems appropriate.

(b) Where a request specifies that the laws of the State of the requesting Authority require the opportunity for counsel for the witness or any party to the proceeding, to pose questions to the witness, the requested Authority will use its best efforts to ensure that such an opportunity will be given.

(c) Clause 9 applies to the denial of a request referred to in this Clause.

Clause 7: Permissible Use of Information

1. The requesting Authority may use the information furnished pursuant to this Memorandum of Understanding solely:

(a) for the purposes stated in the request, including ensuring compliance with or enforcement of the laws or regulations of the requesting Authority specified in the request, and related provisions; and

(b) for related purposes, including conducting a civil or administrative enforcement proceeding, assisting in a self-regulatory enforcement proceeding, conducting or assisting in a criminal prosecution, or conducting any investigation related thereto for any general charge applicable to the violation of the provision specified in the request.

2. To use the information furnished for any purpose other than those stated in paragraph 1 of this Clause, the requesting Authority will first inform the requested Authority of its

intention and provide the requested Authority the opportunity to oppose such use. The requested Authority will raise its objections to such use, if any, within 14 days of receipt of the requesting Authority's notice. If the requested Authority opposes such use of the information the Authorities agree to consult pursuant to Clause 9 concerning the reasons for the objections.

Clause 8: Confidentiality of Requests

1. To the extent permitted by law, except for disclosures in accordance with Clause 7, or those necessary for the furtherance of the request:

(a) each Authority will keep confidential requests made under this Memorandum of Understanding, the contents of such requests, and any other matters arising during the operation of this Memorandum of Understanding, including consultations between the Authorities and unsolicited assistance; and

(b) the requesting Authority will keep confidential any information received pursuant to this Memorandum of Understanding.

2. Except as contemplated by Clause 7, the requesting Authority will not offer the information to, and will use its best efforts to ensure that it is not obtained by, any other person.

Unless otherwise agreed, in the event that any other person obtains such information the requesting Authority will use its best efforts to ensure that such information is not used by that person in any way that involves disclosure to any other person.

3. The requesting Authority will notify the requested Authority of any legally enforceable demand for information prior to complying with the demand and will assert such appropriate legal exemptions or privileges with respect to such information as may be available.

4. In response to a request by the requested Authority and to the extent permitted by law, as soon as the requesting Authority has terminated the matter for which assistance has been requested under this Memorandum of Understanding, it will return to the requested Authority all documents and copies thereof not already disclosed in proceedings referred to in Clause 7 and other material disclosing the contents of such documents, other than material generated as part of the deliberative or internal analytical processes of the requesting Authority, which may be retained.

Clause 9: Consultations Regarding Mutual Assistance Pursuant to this Memorandum of Understanding

1. The Authorities will keep the operation of this Memorandum of Understanding under continuous review and will consult with a view to improving its operation and resolving any matters which may arise. In particular, the Authorities will consult upon request in the event of:

(a) a denial by one Authority of, or opposition by one Authority to, a request or proposal made by the other Authority pursuant to this Memorandum of Understanding; or

(b) a change in market or business conditions, or in the laws and regulations of the State of either Authority, or any other development which makes it necessary to amend or extend this Memorandum of Understanding in order to achieve its purposes.

2. In cases where the requested Authority is the SEC, denial of a request under Clause 3(5)(a) will be made by its Commission after consultation with relevant officials within the United States Government, and in cases where the requested Authority is the ASC, such a denial will be made by its Commission, or by the Australian Attorney-General, or his or her delegate ("Attorney-General"), in consultation with the ASC. If the Attorney-General denies assistance, the ASC will forward to the SEC the reasons given by the Attorney-General (if any) for such denial.

3. The Authorities may determine such practical measures as may be necessary to facilitate the implementation of this Memorandum of Understanding.

4. Any of the terms of this Memorandum of Understanding may be amended, relaxed or waived by mutual consent.

Clause 10: Unsolicited Assistance

To the extent permitted by law, each Authority will use reasonable efforts to provide the other Authority with any information it discovers that gives rise to a suspicion of a breach, or anticipated breach, of the laws or regulations of the other Authority.

Clause 11: Costs of Investigation

If it appears to the requested Authority that it will incur substantial costs in responding to a request for assistance under this Memorandum of Understanding, the requested Authority and the requesting Authority will establish a cost sharing arrangement before continuing to respond to such request for assistance.

Clause 12: Effective Date

This Memorandum of Understanding will be effective from the date of its signature by the Authorities.

Clause 13: Termination

This Memorandum of Understanding will continue in effect until the expiration of 30 days after either Authority gives written notice to the other Authority of its intention to terminate the Memorandum of Understanding. If either Authority gives such notice, this Memorandum of Understanding will continue to have effect with respect to all requests for assistance that were made before the effective date of notification until the requesting

Authority terminates the matter for which assistance was requested.

DATED this 20th day of October 1993 in Washington, D.C.

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

by: _____
ARTHUR LEVITT
CHAIRMAN

AUSTRALIAN SECURITIES COMMISSION

by: _____
ALAN CAMERON
CHAIRMAN

APPENDIX A

CONTACT OFFICERS

United States Securities and Exchange Commission
450 Fifth Street, N.W.
Washington, D.C. 20549
U.S.A.

Attention: Director, Office of International Affairs

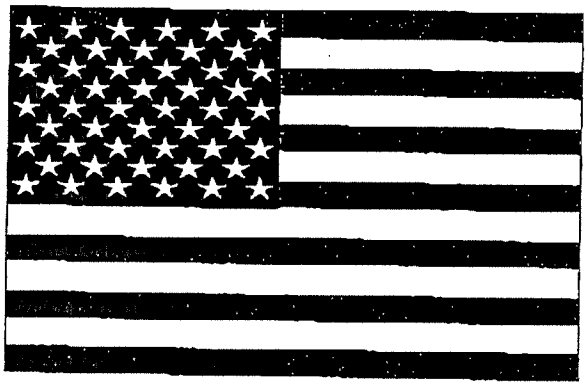
Tel: (202) 272-2306
FAX: (202) 504-2282

Australian Securities Commission
Norwich House
6-10 O'Connell Street
Sydney NSW 2001
AUSTRALIA

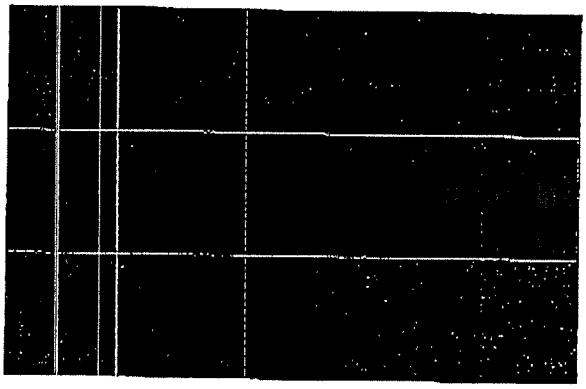
Attention: Director, Policy & International

Tel: (612) 911-2075
Fax: (612) 911-2634

MEMORANDUM OF UNDERSTANDING



The United States Securities and Exchange Commission



The German Bundesaufsichtsamt für den Wertpapierhandel

Concerning Consultation and Cooperation in the Administration and Enforcement of Securities Laws

Washington, D.C.
October 17, 1997

MEMORANDUM OF UNDERSTANDING

BETWEEN THE

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

AND THE

GERMAN BUNDESAUFSICHTSAMT FÜR DEN WERTPAPIERHANDEL

CONCERNING CONSULTATION

AND COOPERATION IN THE

ADMINISTRATION AND ENFORCEMENT OF

SECURITIES LAWS

Washington, D.C. -- October 17, 1997

The United States Securities and Exchange Commission and the German Bundesaufsichtsamt für den Wertpapierhandel, recognizing the increasing international activity in the securities markets and the corresponding need for mutual cooperation as a means for improving their effectiveness in administering and enforcing the securities laws of their respective countries, have reached the following understanding:

ARTICLE I: DEFINITIONS

For the purposes of this Memorandum of Understanding:

(a) "Authority" means:

(i) the Securities and Exchange Commission of the United States, or

(ii) the Bundesaufsichtsamt für den Wertpapierhandel of Germany. The Bundesaufsichtsamt für den Wertpapierhandel is responsible, among other things, for cooperation with foreign authorities in matters relating to the supervision of securities exchanges, which are generally in the competence of the respective German states (Länder) where the exchanges are located.

(b) (i) "requested Authority" means an Authority to whom a request is made under this Memorandum of Understanding.

(ii) "requesting Authority" means an Authority making a request under this Memorandum of Understanding.

(c) Except where otherwise noted, "State" means:

(i) the United States of America, or

(ii) the Federal Republic of Germany.

(d) "person" means a natural person, unincorporated association, partnership or body corporate; or a government, political subdivision, agency, instrumentality of a government, or any equivalent authority.

(e) "issuer" means a person who issues or proposes to issue any security.

(f) "investment business" means any business that involves, in whole or in part, effecting transactions in securities for the accounts of others; buying and selling securities for one's own account; advising others, for compensation, either directly or through publications or listings, as to the value of securities or as to the desirability of investing in, purchasing or selling securities; engaging on behalf of an issuer of securities in matters relating to the issuance, registration, exchange, or transfer of such securities; the management, promotion, offer or sale of any investment company or collective investment scheme; or equivalent activities conducted by persons or entities.

(g) "securities processing business" means a clearing agency or securities transfer agent.

(h) "securities market" means an exchange or other market, including an over-the-counter market, for equity securities, debt securities, options, or any other

security that is recognized, regulated or supervised by the Authorities.

(i) "laws or regulations" means the provisions of the laws, or regulations promulgated thereunder, of the United States and/or Germany, concerning:

(i) insider trading;

(ii) misrepresentation or the use of fraudulent, deceptive, or manipulative practices in connection with the offer, purchase, or sale of any security, or in the conduct of investment businesses;

(iii) the duties of persons to comply with reporting requirements or requirements relating to changes in corporate control;

(iv) acquisitions of and notifications of interests in securities (including powers to control the voting rights attached to securities and powers to dispose of securities), and associations and agreements in relation to securities and control over bodies corporate;

(v) the making of a false or misleading statement or any material omission in any application or report made to the Authorities;

(vi) the duties of persons, issuers, or firms conducting investment businesses to make full

and fair disclosure of information relevant to investors;

(vii) the duties of securities markets, firms conducting investment businesses and securities processing businesses, pertaining to their financial, operational or other requirements, and their duties of fair dealing in the offer and sale of securities, the execution of transactions, and the conduct of their businesses; and

(viii) the financial and other qualifications of those engaged in, or in control of, issuers, securities markets, or securities processing businesses.

The laws or regulations identified in subparagraphs (i) - (viii) represent examples of matters for which assistance will be available under this Memorandum of Understanding and are not intended to limit the Memorandum of Understanding as it may apply to other laws, regulations, and regulatory policies of the States of the Authorities concerning securities.

ARTICLE II: ESTABLISHMENT OF A FRAMEWORK FOR CONSULTATIONS REGARDING MATTERS OF MUTUAL INTEREST

The Authorities intend to consult periodically about matters of mutual interest in order to enhance cooperation and to protect investors by ensuring the stability, efficiency, and integrity of the securities markets of the United States and Germany; the

coordination of market oversight; and the administration of United States and German securities laws or regulations.

ARTICLE III: MUTUAL ASSISTANCE FOR THE EXCHANGE OF INFORMATION

Section 1: SCOPE OF ASSISTANCE

1. The Authorities will provide the fullest mutual assistance, to the extent permitted by the laws of the United States and Germany, within the framework of this Memorandum of Understanding. Such assistance will be provided to facilitate the enforcement of the laws or regulations applicable to securities markets and their members; market surveillance and oversight; the granting of licenses, authorizations, waivers or exemptions for the conduct of investment businesses; the inspection or examination of investment businesses; and the conduct of investigations, litigation or prosecution where information located within the jurisdiction of the requested Authority is needed to determine whether, or prove that, the laws or regulations of the State of the requesting Authority may have been violated. Such assistance will be provided without regard to whether the type of conduct described in the request for assistance would constitute a violation of the laws or regulations of the State of the requested Authority.

2. Assistance available pursuant to this Memorandum of Understanding includes, but is not limited to:

(a) providing access to information in the files of the requested Authority;

(b) taking statements of persons;

(c) obtaining information and documents from persons; and

(d) conducting compliance inspections or examinations of investment businesses, securities processing businesses, and securities markets.

3. Where a request for assistance is made pursuant to this Memorandum of Understanding, and the requested Authority does not have the power to provide the requested assistance, the requested Authority will use all reasonable efforts to obtain the aid of other governmental agencies in order to provide the requested assistance.

Section 2: GENERAL PRINCIPLES FOR PROVIDING ASSISTANCE

1. This Memorandum of Understanding sets forth a statement of intent of the Authorities to establish a framework for mutual assistance and to facilitate the exchange of information between the Authorities to enforce or secure compliance with any laws or regulations of their respective jurisdictions, as defined herein. This Memorandum of Understanding does not impose any legally binding obligation on the Authorities or supersede domestic law.

2. This Memorandum of Understanding does not affect any right of either Authority arising under the law of its State or any other arrangement to take measures otherwise than as provided herein to obtain information necessary to ensure compliance with, or to enforce, the laws or regulations of its State.

3. No provision of this Memorandum of Understanding shall be construed as conferring upon any person or authority other than those designated herein a right, directly or indirectly, to

obtain, suppress or exclude any information or to challenge the execution of a request for assistance under this Memorandum of Understanding.

4. The Authorities recognize the need for and desirability of providing mutual assistance and exchanging information to assist each other in securing compliance with the laws or regulations of their respective States. A request for assistance may be denied, however, by the requested Authority:

(a) where the request would require the requested Authority to act in a manner that would violate the laws of the State of the requested Authority;

(b) where the request is not in accordance with the provisions of this Memorandum of Understanding;

(c) if the release of the information could affect the sovereignty, the security or the public order of the requested Authority; or

(d) in insider trading cases, if a criminal proceeding has already been initiated in the State of the requested Authority based upon the same facts and against the same persons, or the same persons have already been finally sanctioned on the same charges by the competent authorities of the State of the requested Authority. If the requesting Authority can demonstrate that the relief or sanctions sought in any such proceeding would not be duplicative of any relief or sanctions obtained in the State of the requested Authority, the

authorities will consult regarding the issue of cooperation.

Where a request for assistance is denied or opposed, or where assistance is not available under the law of the State of the requested Authority, the requested Authority will provide the reasons why the assistance is not being granted, and consult pursuant to Section 7.

Section 3: **REQUESTS FOR ASSISTANCE**

1. Requests for assistance will be made in writing and addressed to the requested Authority's contact officer listed in Appendix A.

2. Requests will specify:

(a) a general description of both the subject matter of the request and the purpose for which the assistance or information is sought;

(b) a general description of the assistance, documents, information, or statements of persons sought by the requesting Authority;

(c) any information in the possession of the requesting Authority that might assist the requested Authority in identifying the persons or entities believed by the requesting Authority to possess the information sought, or the places where such information may be obtained;

(d) the legal provisions pertaining to the matter that is the subject of the request; and

(e) the desired time period for the reply.

3. In urgent circumstances, a request for assistance and a reply to such request may be effected by summary procedures or by means of communication other than the exchange of letters, provided that all such communications are confirmed in writing in the manner prescribed in this Section.

Section 4: **EXECUTION OF REQUESTS**

1. Access to information held in the files of the requested Authority will be provided upon the request of the requesting Authority pursuant to Section 3 of this Article.

2. When requested by the requesting Authority, the requested Authority will take the statements of persons involved, directly or indirectly, in the activities underlying the request, or possessing information that may assist in carrying out the request. The requesting Authority may, in its discretion, request a transcript of the statement. The requested Authority also may require the production of other evidence from other parties designated by the requesting Authority.

3. The obtaining of statements, the gathering of documents, and the response to a request under this Memorandum of Understanding will be conducted in accordance with the procedures of the requested Authority and by persons designated by the requested Authority, unless otherwise agreed by the Authorities.

4. Notwithstanding any other provision of this Memorandum of Understanding, any person providing statements, information, or documents as a result of a request made under this Memorandum of Understanding will be entitled to all the applicable rights

and privileges of the laws of the State of the requested Authority. Assertions regarding rights and privileges arising exclusively pursuant to the laws of the State of the requesting Authority will be preserved for consideration by the courts in the State of the requesting Authority.

5. When requested by the requesting Authority, an examination will be conducted of the books and records of a firm conducting an investment business or its custodian or agent, a securities market, or a securities processing business.

Section 5: PERMISSIBLE USES OF INFORMATION

1. The requesting Authority may use non-public information furnished in response to a request for assistance under this Memorandum of Understanding solely:

(a) for the purposes stated in the request with respect to ensuring compliance with, or enforcement of, the laws or regulations of the requesting Authority, including the legal provisions specified in the request and related provisions; and

(b) for purposes within the general framework of the use stated in the request, including conducting a civil or administrative proceeding, assisting in a self-regulatory organization's surveillance or enforcement activities, assisting in a criminal prosecution, or conducting any investigation related thereto for any general charge applicable to the violation of the provisions specified in the request.

Facsimile Transmittal Cover
U.S. SECURITIES AND EXCHANGE COMMISSION

Office of International Affairs
450 5th Street N.W.
Washington, DC 20549-1104

TO: Doug Greenberg FAX NO.: 296-5545

FROM: Elizabeth Sachs

SUBJECT: 2 of 2

DATE: 10/10/03 TOTAL 69 PAGES

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OIA Fax Nos. (202) 942-9524 or (202) 942-9698
E-Mail : OIA@SEC.GOV
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date.

The Embassy of the United States of America takes this opportunity to renew to the Auswärtiges Amt the assurance of its high consideration.

Embassy of the United States of America

Bonn-Bad Godesberg, November 22, 1993

CON:DCStewart/es

cc. POL (Legal Adviser)
CON
CHRON
Mailroom

No. 714-C

The Embassy of the United States of America presents its compliments to the Auswärtiges Amt and has the honor to request that the Auswärtiges Amt transmit the enclosed letter from the United States Securities and Exchange Commission (SEC) to the Federal Ministry of Justice.

The letter describes in detail the competence and functions of the SEC, a United States law enforcement agency responsible for the federal regulation of United States securities markets and the enforcement of United States securities laws. In response to this letter, the SEC seeks confirmation from the Federal Ministry of Justice that the SEC is an agency qualified to seek legal assistance pursuant to Paragraphs 59 et seq. of the "Gesetz über die Internationale Rechtshilfe in Strafsachen (IRG)" (Bundesgesetzblatt, Volume 1, pages 2071-89, December 23, 1982), and to submit declarations pursuant to Paragraph 66(2) of the IRG. The Embassy looks forward to a response from the Federal Ministry of Justice at the earliest possible

sec news digest

Issue 94-138

July 22, 1994

COMMISSION ANNOUNCEMENTS

CLOSED MEETING - WEDNESDAY JULY 27, 1994 - 10:00 A.M.

The subject matter of the July 27 closed meeting will be: Institution of injunctive actions; Institutions of administrative proceedings of an enforcement nature; and Opinions.

AT TIMES CHANGES IN COMMISSION PRIORITIES REQUIRE ALTERATIONS IN THE SCHEDULING OF MEETING ITEMS. FOR FURTHER INFORMATION AND TO ASCERTAIN WHAT, IF ANY, MATTERS HAVE BEEN ADDED, DELETED OR POSTPONED, PLEASE CONTACT: Felicia Kung (202) 942-0500.

DIPLOMATIC NOTES EXCHANGED BETWEEN THE UNITED STATES AND GERMANY

Today the Commission announced the establishment of the first official mechanism for the Commission to seek legal assistance from Germany for Commission investigations. In a diplomatic note dated March 22, 1994, the German Foreign Office confirmed that the SEC is qualified to obtain assistance through the German Ministry of Justice under the German Law on International Legal Assistance in Law Enforcement Matters (Gesetz über die internationale Rechtshilfe in Strafsachen (IRG)). The IRG authorizes the Justice Ministry to seek through the relevant state (Länder) governments, among other things, documents and testimony on behalf of a foreign law enforcement authority in connection with an investigation. (International Series Rel. 691)

ENFORCEMENT PROCEEDINGS

STEPHEN JAMES MURPHY'S REGISTRATION AS AN INVESTMENT ADVISER REVOKED

On July 21 the Securities and Exchange Commission instituted a public administrative proceeding pursuant to Sections 203(e) and 203(f) of the Investment Adviser Act against Stephen James Murphy (Murphy), a registered investment adviser.

Murphy, without admitting or denying the Commission's findings, has consented to the issuance of an Order by the Commission which finds that

APPENDIX A

CONTACT OFFICERS

United States Securities and Exchange Commission
450 5th Street N.W.
Washington, D.C. 20549
U.S.A.

Attention: Director, Office of International Affairs

Tel.: (202) 942-2770
FAX: (202) 942-9524

German Bundesaufsichtsamt fur den Wertpapierhandel
Nibelungenplatz 3
60318 Frankfurt am Main
GERMANY

Attention: Head of the Division for International Affairs

Tel.: 011-49-69-959-52-128
FAX: 011-49-69-959-52-299

mou\mou.017

of notification until the requesting Authority terminates the matter for which assistance was requested. In the event of termination of this Memorandum of Understanding, information obtained under this Memorandum of Understanding will continue to be treated confidentially in the manner prescribed under Article III, Section 6.

SIGNED in Washington, D.C., this 17th day of October, 1997.

FOR THE SECURITIES AND EXCHANGE COMMISSION OF THE UNITED STATES:

Arthur Levitt
Chairman

FOR THE BUNDESAUFSICHTS-AMT FÜR DEN WERTPAPIER-HANDEL OF GERMANY:

Georg Wittich
President

3. The Authorities may agree on such practical measures as may be necessary to facilitate the implementation of this Memorandum of Understanding.

4. Any of the conditions of this Memorandum of Understanding may be amended, relaxed, or waived by mutual agreement.

Section 8: UNSOLICITED ASSISTANCE

To the extent permitted by the laws or regulations of the respective States, each Authority will use reasonable efforts to provide the other Authority with any information it discovers that gives rise to a suspicion of a breach, or anticipated breach, of the laws or regulations of the State of the other Authority.

ARTICLE IV: FINAL PROVISIONS

Section 1: EFFECTIVE DATE

Cooperation in accordance with this Memorandum of Understanding will begin on the date of its signing by the Authorities.

Section 2: TERMINATION

Cooperation in accordance with this Memorandum of Understanding will continue until the expiration of 30 days after either Authority gives written notice to the other Authority of its intention to discontinue the cooperation. If either Authority gives such notice, cooperation in accordance with this Memorandum of Understanding will continue with respect to all requests for assistance that were made before the effective date

appropriate legal exemptions or privileges with respect to such information as may be available.

4. To the extent permitted by the law, the Authorities may, by mutual agreement, make an exception to the principles set forth in paragraphs 1 through 3 of this Section.

Section 7: CONSULTATION REGARDING MUTUAL ASSISTANCE PURSUANT TO THIS MEMORANDUM OF UNDERSTANDING

1. In any case of dispute over the meaning of any term used in this Memorandum of Understanding, the Authorities will define such term in accordance with the relevant laws of the State of the requesting Authority.

2. The Authorities will consult with each other regarding this Memorandum of Understanding with a view to improving its operation and resolving any matters that may arise. In particular, the Authorities will consult upon request in the event of:

(a) a denial by one Authority of, or opposition by one Authority to, a request or proposal made by the other Authority pursuant to this Memorandum of Understanding; or

(b) a change in market or business conditions, or in the legislation governing the matters set forth in paragraph letter (i) of Article I, or any other circumstance that makes it necessary or appropriate to amend or extend this Memorandum of Understanding in order to achieve its purposes.

2. To use the information for any purpose other than those stated in paragraph 1 of this Section, the requesting Authority must first inform the requested Authority of its intention and provide it the opportunity to oppose the use. If the use of the information is opposed by the requested Authority, the Authorities agree to consult pursuant to Section 7 on the reasons for the refusal and the circumstances under which use of the information might otherwise be allowed.

Section 6: CONFIDENTIALITY OF REQUESTS AND INFORMATION

1. Except for disclosures in accordance with Section 5 of this Article, each Authority will keep confidential to the extent permitted by law requests made under this Memorandum of Understanding, the contents of such requests, and any other matters arising under this Memorandum of Understanding.

2. In all cases, the requesting Authority shall keep confidential any information received pursuant to this Memorandum of Understanding to the same extent as such information would be kept confidential in the territory of the State of the requested Authority, except in the case where the information provided must be disclosed in the course of its use pursuant to Section 5 of this Article.

3. To the extent possible, the requesting Authority will notify the requested Authority of any legally enforceable demand for non-public information furnished under this Memorandum of Understanding prior to compliance, and will assert such

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

OFFICE OF
INTERNATIONAL
AFFAIRS

November 16, 1993

By Diplomatic Channels via the
United States Embassy Bonn

Bundesjustizministerium
c/o Peter Wilkitzki
Abteilung Strafrecht
Heinemannstraße 6
D-53175 Bonn
FEDERAL REPUBLIC OF GERMANY

Re: AZ: II.B.5a-9352E-2B0216/93

Dear Mr. Wilkitzki:

I am writing concerning the Gesetz über die internationale Rechtshilfe in Strafsachen ("IRG"), Bundesgesetzblatt, Volume I, pages 2071-89 (Dec. 23, 1982) and the ability of the United States Securities and Exchange Commission ("Commission") to seek legal assistance pursuant to the provisions of the IRG. The Commission is sending this letter to you for the purpose of explaining the competence and functions of the Commission, the legal authority responsible for the federal regulation of U.S. securities markets and the enforcement of U.S. securities laws, and to seek confirmation that the Commission is an agency qualified to seek legal assistance pursuant to paragraphs 59 et seq. of the IRG, and to submit declarations pursuant to paragraph 66(2), sentence 2, of the IRG.

I. SUMMARY OF COMMISSION AUTHORITY AND FUNCTIONS

The U.S. Congress created the Commission pursuant to the provisions of the Securities Exchange Act of 1934 ("Exchange Act"). The Commission is composed of five members: a Chairman and four Commissioners. All Commission members are appointed by the President, and confirmed by the U.S. Senate, for five-year terms.

The Commission is an independent law enforcement authority, which, among other things, handles matters and proceedings concerning the investigation of, and the imposition of monetary penalties for, certain fraudulent activity. In particular, the Commission's mandate is to administer and enforce U.S. federal securities laws published under title 15 of the United States

Code ("U.S.C."), and regulations promulgated thereunder. 1/ Those laws are intended, among other things, to provide protection for the investing public by facilitating informed investment analyses and decisions. In particular, the laws require the disclosure of material information, and prohibit fraud,2/ in connection with the offer, purchase or sale of securities.

The Commission is empowered to conduct investigations into possible violations of the securities laws. In particular, the Commission has the authority to issue a formal order of investigation ("Formal Order") which broadly authorizes the Commission staff to use compulsory powers to compel the production of documents, and then take or copy produced documents, from any person or entity, and to require the testimony of any person under oath, in connection with an investigation. Pursuant to a Formal Order, the Commission staff has the authority to issue "subpoenas," judicially enforceable writs requiring a particular person or entity to produce particular documents and/or give testimony under oath, at a specific time and place designated in the subpoena.

If a Commission investigation indicates that the securities laws have been violated, the Commission may authorize its staff to, among other things, file a legal action in a United States federal district court seeking cessation of the illegal activity,

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1/ The laws administered and enforced by the SEC include:

-The Securities Act of 1933 (15 U.S.C. §§77a--77aa);
-The Securities Exchange Act of 1934 (15 U.S.C. §§78a--78kk);
-The Public Utility Holding Company Act of 1935 (15 U.S.C. §§79--79z-6);
-The Trust Indenture Act of 1939 (15 U.S.C. §§77aaa--77bbbb);
-The Investment Company Act of 1940 (15 U.S.C. §§80a-1--80a-52); and
-The Investment Advisers Act of 1940 (15 U.S.C. §§80b-1--80b-21).

2/ See section 10(b) of the Exchange Act (15 U.S.C. §78j(b)), Rule 10b-5 promulgated thereunder (17 C.F.R. §240.10b-5), and section 17(a) of the Securities Act of 1933 (15 U.S.C. §77q(a)) ("Securities Act"). Section 206 of the Investment Advisers Act of 1940 (15 U.S.C. §80b-6) ("Advisers Act") prohibits fraud in connection with the rendering of investment advice to current or prospective clients.

the freezing and disgorgement of assets and the imposition of monetary fines. In addition, the Commission may also transmit evidence of acts or practices which may constitute violations of securities laws to the U.S. Attorney General. See, e.g., Exchange Act §§21(d)(1) & 32(a). The Attorney General may, in his or her discretion, also institute proceedings against persons for engaging in conduct violative of the securities law. Sanctions that may be imposed under suits instituted by the Attorney General include terms of imprisonment, probation, restitution of ill-gotten gains and fines. The Commission may also initiate proceedings before its own "in-house" administrative law judges who have the authority to issue orders regarding the cessation of unlawful conduct and imposition of monetary fines.

The Commission is not required to consult with, or seek the approval of, the United States Department of Justice, or any other U.S. government authority, to institute proceedings seeking the cessation of illegal conduct, disgorgement or the imposition of monetary fines. This is distinguishable from certain other U.S. agencies which may not bring actions before federal courts without representation by or the approval of the U.S. Department of Justice.

II. STATUTORY AUTHORITY FOR COMMISSION INVESTIGATIONS AND COURT ACTIONS

Among other provisions, section 21 of the Exchange Act (15 U.S.C. §78u), section 20 of the Securities Act (15 U.S.C. §77t), and section 209 of the Advisers Act (15 U.S.C. §80b-9) specify the competence of the Commission to: (1) conduct investigations; (2) seek judicial injunctions; (3) prosecute violations of these laws in U.S. federal courts; and (4) seek money penalties. In summary, these sections provide that:

1. The Commission may make such investigations as it deems necessary to determine whether any person has violated, is violating, or is about to violate any provision of the Exchange Act, Securities Act or Advisers Act (Exchange Act §21(a)(1); Securities Act §20(a); Advisers Act §209(a));

2. The Commission is empowered to administer oaths and affirmations, subpoena witnesses, compel their attendance, take evidence, and require the production of any books, papers, correspondence, memoranda, or other records, including bank records (Exchange Act §21(b); Securities Act §20(a); Advisers Act §209(b));

3. If a person refuses to obey a subpoena issued by the Commission staff, the Commission may request the appropriate U.S. federal court to force compliance with the subpoena. In any such proceeding brought by the Commission, the person who has failed or refused to provide testimony or produce documents pursuant to the Commission subpoena in principle shall be subject to a fine imposed by the court of not more than $1000 or to imprisonment for a term of not more than one year, or both (Exchange Act §21(c); Advisers Act §209(c). See also Securities Act §20(c));

4. Whenever it appears to the Commission that any person is engaged or is about to engage in any acts or practices constituting a violation of any provision of the Exchange Act, Securities Act or Advisers Act, the Commission is authorized to bring an action in the appropriate U.S. district court to enjoin such acts or practices. Where the Commission has made a proper showing to the court, a permanent or temporary injunction or restraining order shall be granted (e.g., freezing assets) (Exchange Act §21(d)(1); Securities Act §20(b); Advisers Act §209(d));

5. Whenever it appears to the Commission that any person has violated any provision of the Exchange Act, Securities Act or Advisers Act, the Commission may bring an action in the appropriate U.S. district court to seek a money penalty to be paid by the person who committed such violation. In non-insider trading cases, the Commission may seek money penalties of up to $100,000 per violation for a natural person or $500,000 per violation for any other person, or the gross amount of pecuniary gain to such defendant as a result of the violation (Exchange Act §21(d)(3); Securities Act §20(d); Advisers Act §209(e)). In cases of insider trading, the Commission may seek penalties in the amount of three times the profit gained or loss avoided or, in certain cases, up to $1 million (Exchange Act §21A(a)). The court decides the exact amount of the penalty;

6. The Commission is authorized, pursuant to section 21B of the Exchange Act (15 U.S.C. §78u-2), to assess independently (without going to a U.S. federal court) money penalties of up to $500,000 per act or omission in connection with any proceeding instituted pursuant to Exchange Act sections 15(b)(4) & (6)(relating to prohibited activities of brokers and dealers); section

15B (relating to prohibited activities of municipal securities dealers); section 15C (relating to prohibited activities of government securities brokers and government securities dealers); and 17A (relating to prohibited activities of clearing agencies). The Commission has its own administrative law judges who may enter an order imposing such money penalties after a hearing has been held on the matter; and

7. The Commission is authorized, pursuant to section 21C of the Exchange Act (15 U.S.C. §78u-3), to enter an order requiring a person to "cease and desist" from committing or causing acts which violate the securities laws. The order may also require the person to comply, or to take steps to effect compliance with, the law. Additionally, in any cease and desist proceeding, the Commission may enter an order requiring an accounting and disgorgement, including reasonable interest. Such orders are issued by one of the Commission's administrative law judges after the judge has held a hearing on the matter.

8. Whenever it appears that a person has engaged in acts or practices that constitute a violation of the securities laws, the Commission may transmit the evidence to the Attorney General for appropriate action. See, e.g., 15 U.S.C. 77t(b).

III. STATUTORY AUTHORITY FOR THE COMMISSION TO ASSIST, AND USE COMPULSORY POWERS ON BEHALF OF, FOREIGN AUTHORITIES

Section 21(a)(2) of the Exchange Act (15 U.S.C. §78u(a)(2)) provides that the SEC may use its compulsory powers to assist a foreign securities authority. The term "foreign securities authority" is broadly defined in §3(a)(50) of the Exchange Act (15 U.S.C. §78c(a)(50)) to include "any foreign government, or any governmental body or regulatory organization empowered by a foreign government to administer or enforce its laws as they relate to securities matters." The Commission may provide assistance to the foreign securities authority in connection with an investigation being conducted by the authority to determine whether any person has violated, is violating, or is about to violate any laws or rules that the authority administers or enforces relating to securities matters. Section 21(a)(2) further provides that, as part of this assistance, the Commission may issue a Formal Order and conduct an investigation to collect information and evidence, including, for example, bank records, pertinent to the foreign securities authority's request for assistance.

Bundesjustizministerium
November 16, 1993

Section 21(a)(2) requires that, in considering whether to issue a Formal Order on behalf of a foreign securities authority, the Commission determine a) whether the requesting authority has agreed to provide reciprocal assistance in securities matters to the United States; and b) whether compliance with the request would prejudice the public interest of the United States. Under this provision, the Commission would be able to utilize its compulsory powers under the securities laws to provide to German law enforcement authorities legal assistance in securities matters at least to the extent that similar assistance is available to the Commission under the IRG.

IV. COMMISSION'S ABILITY TO REQUEST LEGAL ASSISTANCE FROM FOREIGN AUTHORITIES AND ENTER INTO MEMORANDA OF UNDERSTANDING

The increasing internationalization of the world's securities markets has raised many new and complex issues that affect the Commission's ability to enforce U.S. federal securities laws. Frequently, information required by the Commission to complete an investigation is located abroad. The Commission is able to initiate independently contacts with foreign authorities and in most instances request assistance directly from those authorities. 3/ In 1992 alone, the Commission made approximately 200 requests for assistance to foreign governments. The Commission frequently consults with the U.S. Department of Justice and the U.S. Department of State concerning relations with foreign authorities and the negotiation of bilateral information-sharing arrangements such as Memoranda of Understanding ("MOU"). Such MOUs facilitate the Commission's ability to assist, and receive assistance from, foreign authorities in law enforcement matters involving securities.

In general, although most MOUs are not legally binding, they contemplate that the signatory authorities will utilize all available authority to provide assistance to each other, including: providing access to information in files; questioning or taking the testimony of designated persons; obtaining specified information and documents from persons; conducting compliance inspections or examinations of investment businesses; and permitting the representatives of the requesting authority to

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3/ 17 C.F.R. §203.2 specifically authorizes the Commission staff to discuss "with representatives of...foreign governmental authorities...[and] foreign securities authorities...information obtained in individual investigations, including examinations and formal investigations pursuant to Commission order."

participate in the conduct of inquiries made by the requested authority. In many cases, the authorities have agreed to use compulsory powers, where necessary, to obtain requested information.

V. CHANNELS OF COMMUNICATION AND CONCURRENCE OF THE U.S. DEPARTMENT OF JUSTICE

Commission requests under the IRG will be transmitted to German authorities either through diplomatic channels or through the United States Department of Justice, Office of International Affairs ("DOJ"). The DOJ has reviewed the contents of this letter and concurs in both the letter's contents and its submission to German authorities.

On the basis of the facts as described above, we respectfully request the Federal Ministry of Justice to confirm that the Commission is an agency qualified to seek legal assistance pursuant to paragraphs 59 et seq. of the IRG, and to submit declarations pursuant to paragraph 66(2), sentence 2, of the IRG.

We look forward to receiving your response at the earliest possible date.

Sincerely yours,

Michael D. Mann
Director

Enclosure: German Translation of this letter

UNCLASSIFIED

INCOMING

ACTION

EAP/L CARDS CENTER

PAGE 01 BONN 07388 281553Z 066487 0058308
ACTION: L/LEI (01)

INFO: LEUR (01) LCA (01)

ACTION L-00 ----------28/1554Z AS DMT (TOTAL COPIES: 003)

INFO LOG-00 AMAD-01 CA-02 OASY-00 EUR-00 TEDE-00 JUSE-00
ADS-00 OCS-00 /011W

P 281553Z MAR 94 ----------363885 281553Z /38
FM AMEMBASSY BONN
TO SECSTATE WASHDC PRIORITY 2422

UNCLAS BONN 07388

FOR L/LEI AND CA/OCS/CCS/EUR

E.O. 12356: N/A
TAGS: CJAN, GM
SUBJECT: LETTER FROM SEC TO MOJ

REF: (A) 93 BONN 31386; (B) 93 STATE 347845

1. EMBASSY HAS RECEIVED A DIPLOMATIC NOTE FROM THE GERMAN FOREIGN MINISTRY IN RESPONSE TO THE EMBASSY'S NOTE VERBALE OF NOVEMBER 22, 1993 TRANSMITTING A LETTER FROM SEC TO THE GERMAN JUSTICE MINISTRY. AN INFORMAL TRANSLATION OF THE FOREIGN MINISTRY'S NOTE FOLLOWS FOR THE DEPARTMENT'S INFORMATION/ACTION:

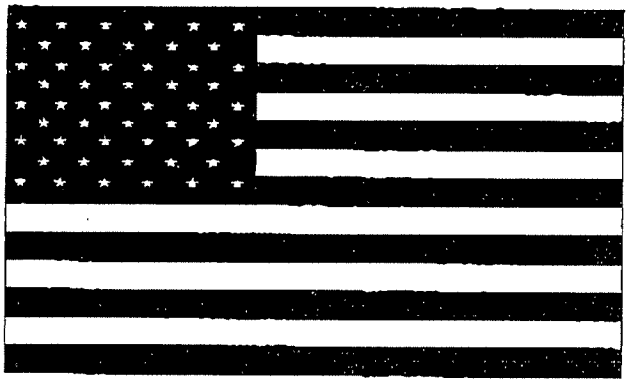
2. QUOTE
THE AUSWAERTIGES AMT HAS THE HONOR TO REFER TO ITS NOTE VERBALE NO. 511-531.41/7 USA DATED NOVEMBER 30, 1993, AND TO THE EMBASSY'S NOTE VERBALE NO. 714-C DATED

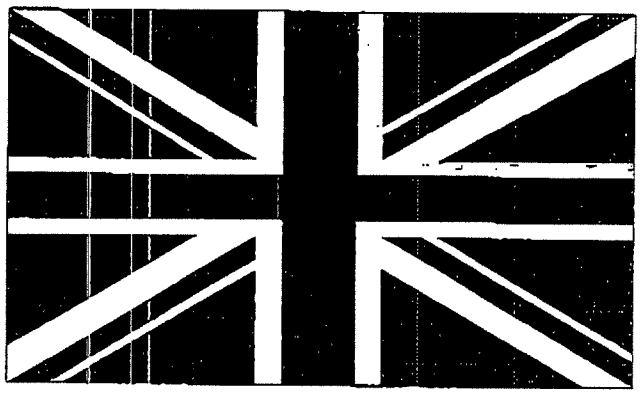
NOVEMBER 22, 1993, CONCERNING THE JUDICIAL ASSISTANCE REQUEST IN THE MATTER OF THE UNITED STATES SECURITIES AND EXCHANGE COMMISSION, AND TO INFORM THE EMBASSY OF THE UNITED STATES OF AMERICA THAT, WITH REGARD TO THE EMBASSY'S NOTE OF NOVEMBER 22, 1993, THE GERMAN GOVERNMENT HAS NO OBJECTIONS TO THE SEC SUBMITTING JUDICIAL ASSISTANCE REQUESTS IN CRIMINAL MATTERS TO GERMAN JUDICIAL AUTHORITIES. HOWEVER, IT IS POINTED OUT THAT UNDER GERMAN LAW, THE STATE GOVERNMENTS OR THE SUBORDINATE BODIES DESIGNATED BY THEM ARE RESPONSIBLE FOR GRANTING THE JUDICIAL ASSISTANCE. WITH REGARD TO THE CHANNELS FOR SUBMISSION OF THE JUDICIAL ASSISTANCE REQUESTS, REFERENCE IS MADE TO THE GERMAN-AMERICAN AGREEMENT CONCERNING JUDICIAL ASSISTANCE IN CRIMINAL MATTERS AND THE RELEASE OF INFORMATION FROM THE CRIMINAL REGISTER OF NOVEMBER 7/DECEMBER 28, 1960/JANUARY 3, 1961.

THE AUSWAERTIGES AMT TAKES THIS OPPORTUNITY TO RENEW TO THE EMBASSY OF THE UNITED STATES OF AMERICA THE ASSURANCE OF ITS HIGH CONSIDERATION.
UNQUOTE.
HOLBROOKE

UNCLASSIFIED

MEMORANDUM OF UNDERSTANDING





The United States
Securities and Exchange Commission
and
Commodity Futures Trading Commission

The United Kingdom
Department of Trade and Industry
and
Securities and Investments Board

ON MUTUAL ASSISTANCE AND THE EXCHANGE OF INFORMATION

Washington, D.C.
September 25, 1991

MEMORANDUM OF UNDERSTANDING ON MUTUAL ASSISTANCE AND THE EXCHANGE OF INFORMATION BETWEEN THE UNITED STATES SECURITIES AND EXCHANGE COMMISSION AND COMMODITY FUTURES TRADING COMMISSION AND THE UNITED KINGDOM DEPARTMENT OF TRADE AND INDUSTRY AND SECURITIES AND INVESTMENTS BOARD

The United States Securities and Exchange Commission and Commodity Futures Trading Commission on the one hand, and the United Kingdom Department of Trade and Industry and Securities and Investments Board on the other hand, recognising the increasing international activity in the securities, futures and investments markets and the corresponding need for mutual cooperation between the relevant national authorities, have reached the following understanding:

Definitions

1. For purposes of this Memorandum of Understanding,

(a) "Authority" means

(i) for the United States, the Securities and Exchange Commission ("SEC") or the Commodity Futures Trading Commission ("CFTC") acting with respect to their respective areas of jurisdiction;

(ii) for the United Kingdom, the Department of Trade and Industry ("DTI") or the Securities and Investments Board ("SIB") acting with respect to their respective areas of responsibility.

(b) "Investment Businesses" means investment businesses, investment companies, other collective investment undertakings and their equivalents, investment banks, merchant banks, brokers, dealers, jobbers, investment advisers and investor advisory services and exchanges.

(c) "Securities Processing Businesses" means clearing corporations or securities transfer agents.

(d) "Futures Businesses" means commodity trading advisors, commodity pool operators, futures commission merchants, introducing brokers, associated persons and floor brokers, floor traders, clearing corporations, futures and options brokers and dealers and exchanges.

(e) "person" means a natural person, unincorporated association, or body corporate, government, or political subdivision, agency, or instrumentality of a government.

(f) "issuer" means a person who issues or proposes to issue any security.

(g) (1) "requested Authority" means an Authority to whom a request under this Memorandum is addressed;

(2) "requesting Authority" means an Authority making a request under this Memorandum.

(h) "legal rule or requirement" means:

(1) for securities, those laws, regulations and requirements of the United States and the United Kingdom relating to:

(A) insider trading in relation to any security;

(B) misrepresentation or the use of fraudulent, deceptive or manipulative practices in connection with the offer, purchase or sale of any security;

(C) the making of a false or misleading statement or any material omission in any application or report made to the Authorities;

(D) the conduct of Investment or Securities Processing Businesses or reporting requirements imposed on such Businesses;

(E) the financial and other qualifications of those engaged in or in control of Investment or Securities Processing Businesses;

(F) the duty to comply with reporting requirements of persons whose securities or sponsored depository receipts in respect of such securities are registered or publicly traded;

(G) the disclosure of interests in the securities of companies; and

(H) the duties of issuers of and offerors for securities to make full and fair disclosure of information relevant to investors.

(2) for futures, those laws, regulations and requirements of the United States and the United Kingdom relating to:

(A) misrepresentation or the use of fraudulent, deceptive or manipulative practices in connection with the offer, purchase or sale of any futures or options contract;

(B) the making of a false or misleading statement or any material omission in any application or report made to the Authorities.

(C) the conduct of futures or options trading on, or subject to the rules of, the markets of the requesting Authority;

(D) the conduct of Futures Businesses or reporting requirements imposed upon such Businesses; and

(E) the financial and other qualifications of those engaged in or in control of Futures Businesses.

2. The parties recognise that while in their laws, regulations and requirements they may define terms differently, requests for assistance will not be denied solely on the grounds of differences in the definitions used by the requesting and requested Authorities.

Part I: Consultations on Matters of Mutual Interest

3. The Authorities intend to engage in consultations about mutually agreeable approaches designed to enhance the integrity and efficiency of the securities and futures markets of the United States and the United Kingdom, the exercise of market oversight functions and the protection of investors, while avoiding the conflicts that may arise from the application of differing regulatory laws, regulations and practices.

Part II: General Principles

4. This Memorandum sets forth the basis upon which the United States Authorities and the United Kingdom Authorities reciprocally propose to provide assistance for the purpose of facilitating the performance of their respective functions regarding the laws, regulations and requirements of the United States and the United Kingdom. Such assistance will be provided even where the subject matter of the request for assistance does not constitute a violation of the laws, regulations and requirements of the requested Authority. In these circumstances the requesting Authority will determine whether particular conduct could be a violation of its laws, regulations and requirements.

5. This Memorandum sets forth a statement of intent of the Authorities regarding mutual assistance and the exchange of information between the Authorities. Accordingly, the provisions of this Memorandum will not give rise to a right on the part of any private person, directly or indirectly, to obtain, suppress or exclude any evidence or to challenge the execution of a request for assistance under this Memorandum.

6. In response to requests that satisfy the terms of Part III of this Memorandum, and subject to the conditions set out in Part IV, each Authority will provide the fullest possible measure of mutual assistance to the other subject to its law and national policy. Such assistance may include:

   (a) providing access to information in the files of the requested Authority;

   (b) questioning or taking the testimony of persons designated by the requesting Authority;

   (c) obtaining specified information and documents from persons;

   (d) conducting compliance inspections or examinations of Investment or Futures Businesses; and

   (e) permitting the representatives of the requesting Authority to participate in the conduct of the enquiries made by the requested Authority pursuant to (b) through (d) of this paragraph.

7. The Authorities recognise the need and desirability of providing mutual assistance and exchanging information to assist each other in securing compliance with their respective legal rules or requirements. However, assistance may be denied on grounds of public interest.

8. The Authorities have defined "legal rule or requirement" to ensure that assistance will be provided in the maximum number of circumstances. However, the Authorities acknowledge that certain requests may relate to a possible breach of laws, regulations and requirements that involve an assertion of jurisdiction not recognised by a requested Authority. Where a requested Authority considers that an assertion of jurisdiction in a matter that is the subject of a request would conflict seriously with and prejudice its sovereign interests the request will be denied.

9. The Authorities recognise that, so long as there are differences in the scope of the laws, regulations and requirements applied in each country, conduct prohibited by the Authorities in one country may not be prohibited by the Authorities in the other. The Authorities intend to engage in consultations about individual cases falling outside the scope of the definition of legal rule or requirement to determine whether assistance will be provided in such cases.

10. Either the DTI or the SIB may refer a request to the other and, if it does so, it will at the same time notify the requesting Authority.

11. This Memorandum does not extend to information held by the DTI solely by virtue of powers and functions that relate to matters other than securities, investments, futures or company law.

Part III: Requests for Information

12. Any request for information made under this Memorandum will satisfy the following requirements:

(a) wherever possible it will be in writing but in cases of urgency it may be oral, and confirmed in writing within 10 days;

(b) it will clearly specify the following:

(i) the information requested;

(ii) the general purpose for which the information is sought, indicating in particular the legal rule or requirement pertaining to the matter that is the subject of the request;

(iii) a description of the conduct and its connection with the jurisdiction of the requesting Authority. However, where the legal rule or requirement in question is that a person be fit or qualified to set up or carry on an Investment, Securities Processing or Futures Business, or otherwise involves the conduct or qualifications of an Investment, Securities Processing or Futures Business, it is sufficient compliance with this subparagraph to specify that information is sought for that purpose;

(iv) the identity of the person, if known, whose conduct causes concern. However, where the relevant rule or requirement falls within paragraph 1(h)(1)(A) through (C) or 1(h)(2)(A) and (B) above, it is sufficient compliance with this subparagraph to specify that information is sought concerning the purpose specified in accordance with (ii) above in order to identify the person(s) against whom proceedings or actions are to be, or may be, taken; and

(v) where it is apparent to the requesting Authority that another person may obtain the information for a purpose other than securing compliance with or enforcing the legal rule or requirement specified under subparagraph (ii) above in respect of the person(s) (if any) specified under subparagraph (iv) above, to the extent permitted by the laws of the jurisdiction of the requesting Authority, the particulars of that person and that person's interest; and

(vi) particular procedures contemplated in Part IV of this Memorandum that it requests be utilised for questioning, taking testimony or conducting inspections;

(c) it will be addressed to one of the requested Authority's contact officers listed in Annex I, or that person's nominee, pursuant to written notice to the requesting Authority; and

(d) the requested information must be reasonably relevant to securing compliance with the legal rule or requirement specified in the request.

In any case where a requested Authority is not satisfied that a request fully complies with the requirements of this paragraph, it may require the Director of the Office of International Affairs of the SEC or the Director of the Division of Enforcement of the CFTC, or the Under Secretary, Financial Services Division, DTI, or the Group Director, Compliance and Enforcement of the SIB, where applicable, to certify that the request is cognisable under the terms of this Memorandum. A requested Authority may not challenge such a certification except on substantial grounds which will be fully stated in writing.

Part IV: Procedures for questioning or taking testimony and conducting inspections

13. In accordance with paragraph 6:

(a) questioning or taking the testimony of persons, if requested, will be conducted in the same manner and to the same extent as investigations or other proceedings under the laws of the jurisdiction of the requested Authority;

(b) when requested by the requesting Authority, questioning or taking testimony will be conducted under oath and a transcript will be made;

(c) a representative of the requesting Authority may be present at the questioning or testimony, may prescribe specific questions to be asked of any witness and, pursuant to paragraph 14 of this Memorandum, may otherwise participate in the examination of any witness.

14. Subject to the following conditions, a requested Authority may grant a request made by the requesting Authority that a person or persons designated by the requesting Authority, including representatives of the requesting Authority, be permitted to conduct the interrogation of any person, or participate in the inspection or examination of the books and records of an Investment or Futures Business or its custodian or agent:

(a) the requesting Authority must specify the reasons for this request;

(b) the request may be granted or denied by the requested Authority in its discretion. The requested Authority may impose such conditions on the participation of the requesting Authority as it deems appropriate;

(c) if the request is granted and the laws of the jurisdiction of the requesting Authority require the opportunity for the witness to consult with legal counsel, or for counsel to the witness to pose questions to the witness, such participation will, subject to (b) above, be permitted; and

(d) if the request is denied, the Authorities agree to consult pursuant to paragraph 24 of this Memorandum concerning the reasons for the denial and the circumstances under which the request might be granted.

15. Notwithstanding any other provision of this Memorandum, any person providing testimony, information or documents as a result of a request made under this Memorandum will be entitled to all the rights and protections of the laws of the jurisdiction of the requested Authority. Where assertions are made regarding other rights and privileges arising exclusively pursuant to the laws of the jurisdiction of the requesting Authority, the Authorities will consult to determine the most appropriate way to proceed.

Part V: Permissible Uses and Confidentiality

16. Information received will be used solely for the purpose of:

(a) securing, through enquiries, investigations or litigation, compliance with or enforcement of the legal rule or requirement specified in the request, provided that the information may be used to secure compliance with or enforcement of other applicable legal rules or requirements in proceedings in which a violation of the legal rule or requirement specified in the request is alleged;

(b) securing compliance with or enforcement of a legal rule or requirement that was not specified in the request in proceedings in which a violation of the legal rule or requirement specified in the request is not alleged, if prior to such use, the requesting Authority informs the requested Authority of its intention to use the information for such purposes and the requested Authority does not object; or

(c) conducting civil or administrative enforcement proceedings, assisting in a criminal prosecution, or conducting any investigation related thereto for any general charge applicable to the violation of the legal rule or requirement identified in the request.

17. The requesting Authority will keep confidential any information provided under this Memorandum subject to the terms of this paragraph, unless it is disclosed in furtherance of the purpose for which it was requested under paragraph 16 above:

(a) except as contemplated by paragraph 16 above, the requesting Authority will not offer the information to, and will use its best efforts to ensure that it is not obtained by, any other person. Unless otherwise agreed, in the event that such information is obtained by any public body, the requesting Authority will use its best efforts to ensure that it will not be used by that body in any way that involves its disclosure to any other person;

(b) if the requesting Authority becomes aware that the information has been or is likely to be disclosed otherwise than as contemplated by paragraph 16 above, it will inform the requested Authority of the situation; and

(c) after the requesting Authority has terminated the matter for which assistance has been requested under this Memorandum, upon request of the requested Authority, it will return to the requested Authority, to the extent permitted by the laws of the jurisdiction of the requesting Authority, all documents and copies thereof not already disclosed in proceedings referred to in paragraph 16 above, and other material disclosing the content of such documents, other than material generated as part of the deliberative, investigative, internal or analytical process of the requesting Authority, which may be retained.

18. Any document or other material provided by an Authority in response to a request under this Memorandum and any copies or other material disclosing its content, other than material generated as part of the deliberative, investigative, internal or analytical process of the requesting Authority, will not become the property of the requesting Authority, and must be redelivered to the requested Authority without delay on demand to the extent permitted by the laws of the jurisdiction of the requesting Authority; provided that such demand may be made only if the requested Authority has reason to believe that the information has been or is likely to be disclosed or used otherwise than as contemplated by paragraph 16 above.

19. Each Authority will keep confidential to the extent permitted by law any request for information made under this Memorandum and any matters arising in the course of its operation, including consultation under this Part or Part I of this Memorandum, unless:

(a) such disclosure is absolutely necessary to carry out the request; or

(b) the other Authority waives such confidentiality.

A requesting Authority may specify that if the requested Authority considers such disclosure to be absolutely necessary, then the Authorities will consult before such disclosure is made.

This paragraph does not apply to general matters of proper public interest relating to the operation of this Memorandum.

Part VI: Other Means of Obtaining Information

20. The Authorities have various powers to obtain information in the exercise of regulatory functions that are within the scope of this Memorandum. If, in the exercise of its

powers, any Authority obtains information that it recognises as clearly giving rise to a suspicion of a breach of any legal rule or requirement of any other Authority, then it will, to the extent permitted by law, offer to provide such information to such Authority for any purpose, and subject to compliance by the other with any conditions that would have been applicable had a request pursuant to this Memorandum been made.

21. Where one Authority wishes to make enquiries of, or seek information from, a person within the territory of another Authority on a voluntary basis, the enquiries will be conducted in accordance with arrangements agreed between the Authorities.

22. The execution of this Memorandum will not prejudice the respective positions of the Authorities concerning the use of procedures for obtaining information other than as provided for in this Memorandum.

Part VII: Costs

23. When the costs of providing or obtaining information under this Memorandum are substantial, the requested Authority may require the requesting Authority to undertake to pay those costs. In such an event the relevant Authorities will consult on the issue at the request of either Authority.

Part VIII: Consultations and Waiver

24. The Authorities will keep the operation of this Memorandum under continuous review and consult with a view to improving its operation and resolving any matters. In particular, any Authority will consult another Authority upon request in the event of:

(a) a request being denied in whole or in part;

(b) a change in market or business conditions or in the laws, regulations or requirements governing the matters mentioned in paragraph 1(h) above, or any other difficulty arising which makes it necessary to amend or extend this Memorandum in order to achieve its purposes; or

(c) an assertion by the requested Authority that the provision of assistance would be so burdensome as to disrupt the proper performance of its functions.

25. Where the specific conduct set out in the request for assistance may constitute a breach of a legal rule or requirement in both the territory of the requesting and the

requested Authorities, the relevant Authorities will consult in order to determine the most appropriate means for each Authority to provide assistance.

26. In cases where the requested Authority is either the SEC or CFTC, denial of a request under paragraph 7 or 8 will be made by its respective Commission after consultation with relevant officials within the United States Government, and in cases where the requested Authority is a UK Authority, such a denial will be made by the Secretary of State.

27. Any of the conditions of this Memorandum may be relaxed or waived by mutual agreement.

Part IX: Termination

28. This Memorandum will continue to have effect unless terminated by the SEC and CFTC, on the one hand, or the DTI and SIB, on the other hand, by giving 30 days advance written notice to the other Authorities that the understandings set out herein are no longer to have effect. Such notice may in particular be given in consequence of a change in the laws or regulations applicable to any matter governed by this Memorandum which is regarded by an Authority as material and in the absence of an agreed amendment to take account of the change. The SEC, CFTC, DTI or SIB may withdraw from participation in this MOU only with respect to areas of the Memorandum regarding that Authority's areas of competence and the arrangements relating thereto. Termination by the DTI may take effect with respect to the areas within the competence of the SEC and/or the CFTC and the arrangements relating thereto and will be so specified.

Part X: Entry into Effect

29. This Memorandum will be effective from the date of its signature by the United States Securities and Exchange Commission, the United States Commodity Futures Trading Commission, the United Kingdom Department of Trade and Industry and the United Kingdom Securities and Investments Board.

SIGNED THIS 25th DAY OF September 1991

SECURITIES AND EXCHANGE COMMISSION

Richard C. Breeden
Chairman

DEPARTMENT OF TRADE AND INDUSTRY

John Redwood
Minister of State for Corporate Affairs

COMMODITY FUTURES TRADING COMMISSION

Wendy Gramm
Chairman

SECURITIES AND INVESTMENTS BOARD

Sir David Walker
Chairman

ANNEX I

CONTACT OFFICERS

DTI:

Under Secretary, Financial Services Division
Department of Trade and Industry
10-18 Victoria Street
London SW1H ONN
UNITED KINGDOM
Telephone: 44 71 215 3160
Fax: 44 71 215 3508

SIB:

Group Director, Compliance and Enforcement
Securities and Investments Board
Gavrelle House
2-14 Bunhill Row
London EC1Y 8RA
UNITED KINGDOM
Telephone: 44 71 638 1240
Fax: 44 71 382 5900

SEC:

Director, Office of International Affairs
Securities and Exchange Commission
450 5th Street, N.W.
Washington, D.C. 20549
UNITED STATES OF AMERICA
Telephone: 1 (202) 272 2306
Fax: 1 (202) 504 2282

CFTC:

Director, Division of Enforcement
Commodity Futures Trading Commission
2033 K Street, N.W.
Washington, D.C. 20581
UNITED STATES OF AMERICA
Telephone: 1 (202) 254 9501
Fax: 1 (202) 254 3534

RSEC 030010224

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION

OFFICE OF THE GENERAL COUNSEL
450 5TH STREET, N.W.
WASHINGTON, D.C. 20549

DATE: October 15, 2003

TO: Daniel Marcus
Doug Greenburg

OFFICE: 9-11 Commission

PHONE NO.:

FAX NO.: 202-296-5545

SUBJECT: SEC Document Request No. 2

FROM: Melinda Hardy

PHONE NO.: 202-942-0877

FAX NO.: 202-942-9537

TOTAL PAGES (incl. cover): 3

NOTES:

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UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

OFFICE OF THE
GENERAL COUNSEL

RSEC 03010224

October 15, 2003

Via Facsimile and Mail

Daniel Marcus
General Counsel
National Commission on Terrorist Attacks Upon the United States
301 7th St. SW, Room 5125
Washington, DC 20407
202-296-5545 (facsimile)

Dear Mr. Marcus:

I am writing to memorialize a telephone call I had with Doug Greenburg on 10 October 2003. Staff from the Securities and Exchange Commission's ("SEC") Office of International Affairs were also on the telephone call. That telephone call concerned your 26 September 2003 request for documents relating to the investigation by the SEC into trading activity potentially designed to profit from, or avoid losses from, the 11 September terrorist attacks ("SEC Document Request No. 2"). Specifically, you asked for information received from any foreign government agency or entity.

A review of our files revealed that information responsive to SEC Document Request No. 2 includes non-public information we received from foreign securities authorities pursuant to our bilateral Memoranda of Understanding and other information-sharing arrangements. As we discussed with Mr. Greenburg, we requested non-public information from foreign securities authorities pursuant to these MOUs, which have standard provisions on use and confidentiality of information (see MOUs previously sent to Mr. Greenburg).

Non-public information provided to us under these MOUs is generally subject to limitations on disclosure in the jurisdiction of the requested authority. In this regard, the foreign securities authorities provide non-public information to us with the understanding that the information's use would be limited to enforcing the federal statutes administered by the SEC (e.g., bringing civil and administrative proceedings, and assisting in a criminal prosecution of securities related offenses). If the information is used for any other purpose, we are obliged pursuant to the MOUs to "inform the [foreign securities authority] of [the SEC's] intention and provide the [foreign securities authority] the opportunity to oppose such use." (See, for example, Clause 7 of the MOU with the Australian Securities Commission; Section 5 of the MOU with the German Bundesaufsichtsamt fur den Wertpapierhandel; and Part V of the MOU with the UK Securities and Investments Board.)

At the time we made our requests for assistance to the foreign securities authorities, the National Commission on Terrorist Attacks Upon the United States ("NCTA") had not yet been created, and our requests did not contemplate that the information would be used for the purposes set out in the NCTA's mandate. We are under an obligation to inform the foreign securities authorities of the NCTA's request and seek their consent under the MOU prior to any disclosure of the information.

We understand the critical need for the NCTA to have this information, and anticipate that our counterparts will appreciate the importance of the NCTA's investigation. We propose to obtain their consent as expeditiously as possible. This process also will enable us to honor our commitments and to preserve our relationship with our counterparts so that we can continue to obtain effective and prompt cooperation in connection with the investigation and prosecution of violations of the federal securities laws.

Please do not hesitate to contact me if you would like to discuss this matter further. We will be in touch with you to update you on the progress of our discussions with our foreign counterparts.

Very truly yours,

Melinda Hardy
Assistant General Counsel
202-942-0877

cc: Doug Greenburg

Ethiopis Tafara
Director, SEC Office of International Affairs

RSEC 03010226

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION

OFFICE OF THE GENERAL COUNSEL
450 5TH STREET, N.W.
WASHINGTON D.C. 20549

Marcus
Dunne
Greenberg
Coleman

DATE: 10/22/03

FAX#: 202-942-9625

TO: Daniel Marcus

OFFICE: General Counsel **PHONE#**

TOTAL PAGES: (INCL FAX COVER) 2 **FAX#** (202) 296-5545

SUBJECT:

FROM: Giovanni Prezioso **PHONE#** (202) 942-0900

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UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

OFFICE OF THE
GENERAL COUNSEL

October 22, 2003

Via Facsimile and Mail
(202) 296-5545

Daniel Marcus
General Counsel
National Commission on Terrorist Attacks Upon the United States
301 7th Street SW, Room 5125
Washington, DC 20407

Dear Mr. Marcus:

I am writing to follow up on your letter of October 16, 2003, and to confirm my understanding of the approach that the Commission staff will be taking regarding the matter addressed in the letter (Item No. 2 of SEC Document Request No. 2). As discussed with Doug Greenburg of your staff, we are in the process of asking the foreign regulators from whom we received reports to authorize us to disclose those reports to you. The staff of the Commission's Office of International Affairs is advising the foreign regulators that if they do not object by October 24, 2003, SEC staff will provide the requested materials to the 9-11 Commission. It is possible, of course, that foreign regulators will want further information regarding the 9-11 Commission or will propose terms or circumstances for disclosure of their documents to the Commission. We will keep Mr. Greenburg abreast of any such developments and will seek to resolve any objections promptly.

We appreciate the efforts of you and your staff to seek a constructive approach to resolving this matter consistent with the various important policy objectives that must be taken into account. Please do not hesitate to contact me at (202) 942-0900 if you should have any questions or would like to discuss this matter further.

Sincerely yours,

Giovanni Prezioso

cc: Doug Greenburg
Counsel, National Commission on Terrorist Attacks

Ethiopis Tafara
Director, SEC Office of International Affairs

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

OFFICE OF THE
GENERAL COUNSEL

RSEC030107 22

November 4, 2003

BY HAND DELIVERY

Daniel Marcus
General Counsel
National Commission on Terrorist Attacks Upon the United States
301 7th Street SW, Room 5125
Washington, D.C. 20407

Re: SEC Document Request No. 2

Dear Mr. Marcus:

Enclosed are copies of documents (including a CD containing the MaST database) responsive to the 9-11 Commission's second document request to the Securities and Exchange Commission. As we discussed, with respect to your request for written reports or summaries from foreign government agencies, most of the responsive materials are enclosed. Included with this group of materials is a letter from the Australian Securities & Investments Commission ("ASIC") authorizing us to produce responsive materials and requesting that we forward ASIC's letter to you. Responsive documents from three countries are not enclosed. We have agreed to make documents from one of those countries (Japan) available for you to review at our office at your convenience. We are still awaiting final responses from two other countries (the United Kingdom and Italy); as we discussed, we are hopeful that we will soon be able to make responsive documents from these countries available for your review.

Sincerely,

Melinda Hardy
Assistant General Counsel

Enclosures

Cella, Joseph J.

RSEC 03010725D

From: (b)(6), (b)(7)(C)
Sent: Monday, October 01, 2001 9:16 AM
To: Cella, Joseph J
Cc: (b)(6), (b)(7)(C)
Subject: FW: REV J JACKSON JR, DYMALLY, MARCHESE, DEAK, TEAMSTERS & BIN-LADEN

This was on my E mail this am. (b)(5) - Attorney Work-Product
(b)(5) - Attorney Work-Product

(b)(6), (b)(7)(C)

-----Original Message-----
From: PugsTKO@aol.com [mailto:PugsTKO@aol.com]
Sent: Friday, September 28, 2001 6:16 PM
To: (b)(6), (b)(7)@sec.gov; (b)(6), (b)(7)(C)
Cc: (b)(6), (b)(7)(C) newyork@fbi.gov; (b)(6), @sec.gov
Subject: REV J JACKSON JR, DYMALLY, MARCHESE, DEAK, TEAMSTERS & BIN-LADEN

MERVYN DYMALLY & REV. JESSE JACKSON WITHIN THE AMERIVET - ACCESS TRADEONE
PARADIGM 9/27/01

by Gary Dobry

It was June of 1984 and Mervyn Dymally was accompanying the Reverend Jesse Jackson, a presidential candidate at the time, to Cuba to meet with Fidel Castro. That meeting resulted in Castro offering to release 27 "political prisoners" and 22 Americans who had been arrested for entering into, and drug trafficking in, Cuban waters.

" You don't refuse a customer just because his money isn't clean."

Nicholas Deak, as quoted by Jeffrey Robinson in 'The Laundrymen'

Nicholas Deak may very well be one of the most infamous money launderers of all time. Deak & Co. was a CIA ops and Deak assisted the CIA by providing laundry services to finance re-instating the Shah in Iran. Moreso, in 1982, just two years before Jackson's bid for the presidency, Humberto and Eduardo Orozco, with Deak's assistance, laundered $151 million, cash money, drug proceeds, through eleven New York banks. There were 232 unreported cash deposits by the Orozcos at Deak-Perera exchanges. Deak-Perera was a subsidiary of Deak and Company. Deak and Company, and its' Deak-Perera subsidiary, entered bankruptcy proceedings in 1984, the very same year Reverend Jesse Jackson ran for the presidency of the United States. In 1985 Nicholas Deak was murdered. Who were the "27 political prisoners" and "22 Americans" arrested for drug trafficking in Cuban waters and why were

Dymally
and Jackson lobbying for their release?

On the Raging Bull message boards, circa 1999, there was a poster going by
the name of "deak-perera". Some of his posts were signed, "Robbie Deak",

others were signed, "Deak-Perera Capital Markets", and in one post, "deak-perera" posted his home address as "3100 The Strand, Manhattan Beach,
California".

But, didn't Deak & Co, along with the Deak-Perera subsidiary, go BK in 1984,
the year Jackson was bidding for the presidency?

Triangle Broadcast (GAAY)

By: deak-perera $$$$
Reply To: None Monday, 13 Sep 1999 at 1:02 PM EDT
Post # of 70296

Mrs. D

We are the investment group that bought the worlds largest currency exchange
company after its problem. Yes, people do buy defunct companies even if they
are 87 years old. Answer your question?

Jones Day performed a multijurisdictional bankruptcy and chapter 11 sale of
Deak-Perera Group's Swiss bank and currency exchange businesses. So who is
the "investment group" that "bought the worlds largest currency exchange

after its problem"?

Robert Deak, of New York, served as President and Chief Executive Officer of
Deak-Perera until its sale in 1985. "Robbie Deak" also signed off on numerous
"deak-perera" posts on the Raging Bull message boards that were also signed
off by "Deak-Perera Capital Mkts.", leading one to believe that "Robbie Deak"
of Deak-Perera Capital Mkts, circa 1999, was the same Robert Deak who was at
the helm up to the 1985 sale.

Robert Deak was also the Chairman and Chief Executive Officer of American
National Bank of New York, the originator of the Secured Credit Card and

Managing Director of National Loan Recoveries, LLC, one of the leading receivables management companies in the United States. Robert Deak also goes
as , "Leslie Deak" and "Robert Leslie Deak". Leslie Deak is the Director of
Campaign Finance for the Teamsters.

JESSE JACKSON JR (D-IL)
Top Contributors

1 Keep Hope Alive PAC $10,000
2 United Auto Workers $9,500
3 Laborers Union $8,500
3 Service Employees International Union $8,500
5 Assn of Trial Lawyers of America $8,000
6 Teamsters Union $7,500
7 ABN Amro $7,000
7 Machinists/Aerospace Workers Union $7,000
7 United Transportation Union $7,000
10 SBC Communications $6,207
11 Itex Corp $5,250
12 United Food & Commercial Workers Union $5,000
12 United Steelworkers $5,000
14 Schwartz, Cooper et al $4,900
15 American Fedn of St/Cnty/Munic Employees $4,500
15 National Assn of Realtors $4,500
17 Communications Workers of America $4,300
18 Abbott Laboratories $4,200
19 American Dental Assn $4,000
19 American Federation of Teachers $4,000
19 Ironworkers Union $4,000
19 National Education Assn $4,000

Dymally is an officer in numerous financial corps including Amerivet-Dymally.
Eleven reputed members of New York's Colombo organized crime family, including the man authorities say is the acting boss, Alphonse Persico, were
indicted on federal racketeering charges. Federal authorities in Brooklyn
accused the defendants of a variety of criminal acts, including loansharking,
money laundering, gambling, drug dealing, securities fraud and extortion. The
securities fraud charges stem from the sale of securities at numerous firms
including Amerivet Dymally Securities. It appears that a pink-sheet company
called, "Access TradeOne" is a front for Amerivet:

Access TradeONE Commodities Inc. 9800 S. Sepulveda Blvd., Suite 820, Los

Angeles, CA 90045; (888) 641-2374, fax (310) 641-6368. E-mail: amerivet@earthlink.net. Web: www. accesstradeone.com. Elton Johnson Jr.,

president (CTA, IB, CPO)

Looking closer at Access TradeOne, and at it's 11/99 10SB SEC filing, we see
that "Deak-Perera Capital Mkts." is a beneficial owner of Class B Prefered,
Voting, stock:

Preferred Deak-Perera Capital Mkts., Ltd. 44,000(2)

68.8%
Class B 211-212 Piccadilly
(affiliate)
London, England W1V 9LD

The other two owners of the Class B Prefered, Voting stock are, "Thomas Marchese", who's son, Richard Marchese, resided at the "3100 The Strand,

Manhattan Beach, California" address posted by "deak-perera" as his "home
address" on the Raging Bull message boards, and "Signature

Entertainment",
whose president just happens to be Richard Marchese's live-in girlfriend that
resided with him at 3100 The Strand. Joseph Pittera, the Chairman of Access
TradeOne, by the way, also resided at a residence on The Strand. Now, what
about the address given for "Deak-Perera Capital Mkts, Ltd." in the SEC

filing by Access TradeOne, "211-212 Piccadilly, London, England W1V 9LD"?
Deak-Perera Capital Mkts, Ltd is not at the Piccadilly address in the SEC
filing, and according to all public records and the results of an
investigation by hired private investigators, never has been. What is
there?

The Sudan Foundation
212 Piccadilly
London WC1V 9LD
United Kingdom

Former US Representative Mervyn Dymally was a paid lobbyist to the Sudan.
Iraq and Bin Laden both separately forged links with Sudan, in north Africa,
a decade ago. Bin-Laden spent five years living in Sudan building his complex
web of business and finance. Saddam Hussein is said to be one of the biggest
money launderers of all time, skimming Iraqi oil sales into Western Capital
markets and Yossef Bodansky, Chairman of the US Congress's Task Force on

Terrorism and Unconventional Warfare, said that evidence is mounting that a
secret pact was forged between Osama bin Laden, Iraq and Sudan to wage a

terrorist war against the US.

The Taliban were rewarded $43 million, by the US, for destroying the opium
crops in Afghanistan. Those crops represented 70% of the world's heroin
trade, sending the business to CIA controlled Burma (and Colombia). The
destruction of the crops was an act of war, economic war. President Bush has
been very vocal about "following the money". No bombs have been dropped on
Afghanistan to flush out Bin-Laden, but 70% of the world's heroin trade has
shifted to CIA control and the estimated $200-$500 billion dollars that was
laundered through Western Capital markets and Wall Street via a "complex web
of business and finance interests" has been dramatically cut. Afghan opium
stock has increased in value several fold. As the value of Afghan opium
rises, so does the pace of US federal agents in unraveling Bin-Laden's "money
trail", and so does the Taliban's desire to "deal".

Who do the Taliban call to "deal" with? Could it be the same guy that dealt
with Fidel Castro with former US representative, Mervyn Dymally, the Reverend
Jesse Jackson? The same Jackson that was financed, in part, by Teamster
campaign contributions? Who were the "27 political prisoners" and "22

Americans" arrested for drug trafficking in Cuban waters? And, why were Dymally and Jackson lobbying for their release? Why do the Taliban go to Jackson to deal? If $43 million was a reward for burning opium crops, how much will the head of Ossam Bin-Laden bring? Does the Reverend Jackson still have presidential aspirations? There may be a "complex web of business and finance interests" that hope he does.

RSEC 0301727

In the Matter of Certain Transactions, File No. HO-9325
DESCRIPTION OF INVESTIGATION

Information gathered from domestic sources:

September 12 and Continuing	Office of Market Surveillance (OMS) began review of trading in common stock and derivative securities in various sectors. Identified following sectors for more detailed review and analysis: airlines and aerospace; insurance; financial services; banks; defense; security providers; index products; and certain cruise lines. Initial focus on large transactions in the options markets related to identified companies. Review, however, includes trading of even one contract with respect to certain securities. Bluesheet requests made as well. Requests for information made to following domestic exchanges/SRO's: Chicago Board Options Exchange; New York Stock Exchange; American Stock Exchange; Philadelphia Stock Exchange; Pacific Exchange; and NASDR. Requests for identification of short positions made to: Depository Trust Company and the National Securities Clearing Corp. Subpoena later sent to SunGard Securities Finance Inc., formerly Loanet, Inc., for similar information. (Formal Order issued September 28.)
September 18-20	Request made to major brokerage firms that they survey trading desks for any actual or proposed unusual activity. Request that they extend inquiry to global desks and foreign affiliates. Following firms contacted: PaineWebber; UBS Warburg; Morgan Stanley Dean Witter; Goldman Sachs; Bear Stearns; A.G. Edwards; DLJ; Credit Suisse First Boston; Deutsche Bank Alex Brown; Raymond James; SG Cowen; Merrill; J.P. Morgan; Charles Schwab; Salomon; National Financial; Lehman; Prudential; Jefferies; and Bank of America. Request to Market Surveillance Unit of the New York Fed that they review treasury markets for any unusual activity Have received unsolicited information from variety of sources (hedge funds, attorneys, other individuals), reporting suspected unusual trading activity.

Efforts to Locate Accounts of Suspected Terrorists

Week after September 12	Checked names of identified hijackers through McDonald's Information Service. Obtained account documents, including new account documentation, account statements, and documents reflecting any deposits or transfers.
September 20-21	Account documents of suspected terrorists provided to FBI/FRG.
September 26	Issued Press Release 2001-103 publicizing information contained in the Executive Order and FBI list. Requested that securities entities voluntarily search records and notify Commission of any accounts or transactions with persons or organizations identified on lists. Established electronic mailbox (Enf-Search@sec.gov) to receive information and identified mail stop for hard copy responses.

Investigation after Unusual Transaction/Account Identified

Typically, have obtained additional information, including account opening documentation and account statements. Identified entity/person behind the transaction. Conducted interviews either of person at firm handling transaction or person placing order. In some instances, through access grant have provided information to the FBI.

Requests for Foreign Assistance

September 18 — Requested that foreign regulators review trading in their markets. Asked that they: 1) provide trading data for any suspicious transactions involving U.S. registered stocks and derivatives based on U.S. registered stocks; and 2) provide trading data for the stocks and derivatives of all U.S. registered companies in certain sectors (airlines, hotels, brokerage firms, bank holding companies, and insurance and re-insurance companies). Following foreign regulators contacted:

(b)(6), (b)(7)(C)
(b)(6), (b)(7)(C) International Enforcement
Australian Securities and Investments Commission

(b)(6), (b)(7)(C)
(b)(6), (b)(7)(C) International Affairs
Bundesaufsichtsamt fur den Wetpapierhandel

(b)(6), (b)(7)(C)
(b)(6), (b)(7)(C) Service de l'Inspection
Commission des Operations de Bourse
France

(b)(6), (b)(7)(C)
International Relations Office
Commissione Nazionale per le Societa e la Borsa
Italy

(b)(6), (b)(7)(C)
(b)(6), (b)(7)(C) International Relations Department
Commission des Valeurs Mobilieres du Quebec
Canada

(b)(6), (b)(7)(C)
(b)(6), (b)(7)(C) Enforcement and International
Hong Kong Securities and Futures Commission

(b)(6), (b)(7)(C)
(b)(6), (b)(7)(C) International Financial Markets
Japan Financial Services Authority

(b)(6), (b)(7)(C)
Securities and Futures Department
Financial Supervision Group
Monetary Authority of Singapore

(b)(6), (b)(7)(C) Enforcement
Ontario Securities Commission
Canada

(b)(6), (b)(7)(C)
(b)(6), (b)(7)(C) Enforcement Law and Policy
The Financial Services Authority
United Kingdom

September 24 — Same request made to Swiss Federal Banking Commission:

(b)(6), (b)(7)(C)
(b)(6), (b)(7)(C) Exchange/Markets
Swiss Federal Banking Commission

	In addition, list identifying particular list of securities supplied to Swiss and foreign regulators contacted previously.
October 9	Response from Swiss Federal Banking Commission. **(Check with OIA before sharing information with other agencies.)** Complete list of U.S. registered stocks and derivatives traded in Switzerland provided. Surveillance offices of Swiss exchanges are analyzing market data for unusual trading. SFBC with then determine customer identifications. Provided press communication issued on October 2 by SFBC ordering freeze and reporting on terrorist accounts.

Systems Used or Created to Track Information

September	Created internal database to record and search names provided by FBI – instituted system to update database on timely basis with information from FBI
September	Created computer system to log identified accounts/transactions and any inquiry or analysis undertaken by SEC staff.

Meeting with Other Government Officials/Agencies and Access Grants

September 17	Meeting held at FBI headquarters with FBI and other criminal authorities and regulators. Coordination to ensure all potentially relevant information reported to contact at FBI headquarters. Effort to ensure that central database has all relevant information, including information provided to local USAO's or FBI offices pursuant to access grants. For part of meeting, SEC met separately with FBI representative and other regulators (CFTC and NASDR). Described our review.
September 20	Meeting with FBI agents (b)(6), (b)(7)(C) , and William Mackey, now representing the Financial Review Group.
September 25	Meeting with FBI, USAO of SDNY, and AUSA Ken Breen from EDNY who is principal contact person for Financial Review Group.
September 26	Briefed representative (Joseph M. Myers) from National Security Council.
September 28	Briefed staff of Senate Banking Committee.

Numerous contacts both in person and by telephone with AUSA Breen, principal contact person for Financial Review Group. In addition, we have been in frequent contact with AUSA Khuzami, detailed to the New York Command Center.

Meeting with Industry Groups and Others

October 4	Met with SIA members, DOJ representatives, FBI and Secret Service agents. Topic: whether requests for information can be more detailed and streamlined

Prophylactic Steps

Asked exchanges to notify Commission if detect any unusual activity in a particular sectors, *e.g.*, pharmaceuticals.

(b)(5) - Attorney Work-Product, (b)(5) - Deliberative Process, (b)(6), (b)(7)(C)

(b)(5) - Attorney Work-Product, (b)(5) - Deliberative Process, (b)(6), (b)(7)(C)

(b)(5) - Attorney Work-Product, (b)(5) - Deliberative Process, (b)(6), (b)(7)(C)

(b)(5) - Attorney Work-Product, (b)(5) - Deliberative Process, (b)(6), (b)(7)(C)

(b)(5) - Attorney Work-Product, (b)(5) - Deliberative Process, (b)(6), (b)(7)(C)

(b)(5) - Attorney Work-Product, (b)(5) - Deliberative Process, (b)(6), (b)(7)(C)

(b)(5) - Attorney Work-Product

(b)(5) - Attorney Work-Product, (b)(6), (b)(7)(C)

(b)(3), (b)(6), (b)(7)(C)

(b)(3), (b)(6), (b)(7)(C)

(b)(3)

(b)(3)

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SALOMON SMITH BARNEY
A member of citigroup

(b)(6), (b)(7)(C)

8/28

RECEIVED AUG 2 7 2001

August 23, 2001

Reference # (b)(6), (b)(7)(C)

Fiduciary Services Unaffiliated Manager Program
CG New Accounts Package/Financial Consultant Checklist

Account Number: (b)(6), (b)(7)(C) **Your Financial Consultant:** (b)(6), (b)(7)(C)

A. ACCOUNT SPECIFICS

Name(s) (b)(6), (b)(7)(C)

FC Telephone Number: (b)(6), (b)(7)(C)

FC Wire Code: (b)(6),

Taxable / Non Taxable: Taxable

State or Country:

Is account a transfer (due to status or branch change)? If Yes, previous Managed Account No.:

Is account part of SSB Trust Company Account? No

Selected Sweep Fund: EATON VANCE MONEY FUND LTD-USD

Level of Service: FIDUCIARY SERVICES

Product: F.S. UNAFFILIATED MA

Investment Manager: BRANDES GLOBAL EQUITY

Manager Code: BRA1

Style: Global Equity

Anticipated Inception Value: $100,000.00

If applicable, Provide Existing original: F.S. UNAFFILIATED MANAGERS

Manager Program account number for client: (b)(6), (b)(7)(C)

List CUSIP(s) or Ticker Symbol(s) for assets to be held as Unsupervised (If applicable):

List CUSIP(s) or Ticker Symbol(s) or Industries for asset Restrictions:
**Not for Use with PM, GPM, CES and IMS Level Of Service Accounts*

C FULL

(b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

SALOMON SMITH BARNEY

A member of citigroup

August 23, 2001

Reference # (b)(6), (b)(7)

Fiduciary Services Unaffiliated Manager Program
CG New Accounts Package/Financial Consultant Checklist

Account Number: (b)(6), (b)(7)(C) Your Financial Consultant: (b)(6), (b)(7)(C)

B. Documentation to be attached to this checklist

Document(s) Required:

C. Quarterly Review

Performance Reported: Gross or Both: Both
Check for Fiscal Year Monitor:
Fiscal Year End Month:
Bill Client or Bill FC Gross?

D. Billing Information

FIDUCIARY SERVICES FEE SCHEDULES UNAFFILIATED MANAGER PROGRAM

For Equity and Balanced Accounts Only

Account Asset Value	Recommended Fee	FC Designated Discount	Fee to Client	Advisor Fee	FC Gross
On the First $500,000	3.00000%	0.00000%	3.00000%	0.45000%	2.55000%
On the First $500,000	2.20000%	0.00000%	2.20000%	0.45000%	1.75000%
On the First $1,000,000	1.90000%	0.00000%	1.90000%	0.45000%	1.45000%
On assets over $2,000,000	1.70000%	0.00000%	1.70000%	0.45000%	1.25000%

(Accounts over $5,000,000 are fully negotiable with the Client upon approval of the Consulting Group.)

BILLING (ERISA and NON-ERISA accounts may not be combined for related billing)

Check Accordingly:
Do Not Combine Billing:
-or-
Combine Related Accounts: X

List CG Account Number(s) to be Related (only if Combined Related accounts is checked) :

(b)(6), (b)(7)(C)

Combine Related Accounts; Debit each proportionately:

Combine Related Accounts; debit this account number: (b)(6), (b)(7)(C)

Bill Current Quarter Only (for Inception billing): YES

Notice: To Fiduciary Services Manager this client has been sent a copy of your ADV II on: 08/22/2001

Approved by Branch Manager (Signature): _____ Date: ___/___/___

Send via the CG New Account (Orange & White) Envelope "ENV8006"
TO: Managed Account Operations - Account Services
Salomon Smith Barney Inc.
333 West 34th Street, 8th Floor
New York, NY 10001

SALOMON SMITH BARNEY

A member of citigroup

August 23, 2001

Reference # (b)(6), (b)(7)(C)

Fiduciary Services Unaffiliated Manager Program Confidential Client Information

Account Number: (b)(6), (b)(7)(C) **Your Financial Consultant(s):** (b)(6), (b)(7)(C)

Name(s): (b)(6), (b)(7)(C)

Mailing Address: (b)(6), (b)(7)(C)

Social Security number(s):

Home Telephone Number: (b)(6), (b)(7)(C) **Business Telephone Number:** (b)(6), (b)(7)(C)

Total Portfolio Value: $784,000.00 **as of (date):** 08-22-2001

Assets Placed Under Management (# of shares and security): NONE

Are any of the above securities restricted for management (i.e. - to be held as unsupervised)? No
If yes, specify:

Is Client a "Controlling person" with respect to any publicly held company? No
If yes, specify:

SALOMON SMITH BARNEY

A member of citigroup

August 23, 2001

Reference # (b)(6), (b)(7)(C)

Fiduciary Services Unaffiliated Manager Program Confidential Client Information

Account Number: (b)(6), (b)(7)(C) Your Financial Consultant: (b)(6), (b)(7)(C)

For Individual Investors Only

(including Individuals, accounts set up as Living Trusts, IRAs, IRA Rollovers and Keoghs)

Legal Residence(s) or Trust Situs (city and state): (b)(6), (b)(7)(C)

Date of Birth (Mo/Day/Yr): (b)(6), (b)(7)(C)

Citizenship: (b)(6), (b)(7)(C)

Occupation(s): ?

Prior Investment Experience: Investing Since:
?

Was there any prior investment activity by any beneficial owner?
If yes, for which owner(s)?

Investing History: Have you ever had accounts with other firms?
If yes, which firm(s)?

Relationship(s) and date of birth(s) of Dependent(s):

Are you covered by a Retirement Plan: No
If yes, describe Plan:

Planned Retirement Date(s):

Value of Real Estate (net of mortgages):

Cash Amount in Bank:

Total net worth (excluding real estate, furnishings and personal items, e.g. art, jewelry):

Do Assets to be placed under management constitute your entire securities portfolio? No
If No, percent to be managed:
If No, amount to be managed: $100,000.00

Bank Name and Address:

Type of Account:

Salary (Approximate before taxes):

Dividends and Interest:

Other:

Total Annual Income: $640,000.00

Approximate Maximum Federal Tax Bracket This Year:

Approximate Maximum Federal Tax Bracket Next Year: About the same

Describe any anticipated changes in your overall financial circumstances in the foreseeable future?
(Any changes to income, net worth or investment objectives require you to provide us with an updated copy of this information.)

Do you desire periodic withdrawals from your account?
If yes, specify frequency and amount:

Will securities/cash be added to account at a later date?
If yes, indicate the amount When

Was the account solicited?

Does client want to receive proxy documents?

FOR FC USE ONLY: *The State of Connecticut requires that if a client resides in that state, the client must receive a copy of this page.*

Date copy of this page given to Client by FC: N FC Initials:

SALOMON SMITH BARNEY

A member of citigroup

August 23, 2001

Reference #: (b)(6), (b)(7)(C)

Fiduciary Services Unaffiliated Investment Questionnaire

Account Number: (b)(6), (b)(7)(C) **Your Financial Consultant:** (b)(6), (b)(7)(C)

Name(s): (b)(6), (b)(7)(C)

In order to assist you in selecting the most appropriate manager(s) for your account(s), please answer the following questions. **Answers for individual accounts (for questions 2 through 10) should be specific to the assets placed in each account and thus may differ from each other and the overall investment objectives.**

1. **The assets to be placed in this account represent:**
one component of the investment portfolio. Please describe the objectives and components of the overall investment portfolio:
BUILD WEALTH

2. **The investment time horizon most appropriate for these assets:**
(The time horizon used in evaluating investment return has significant impact on the probability of realizing the stated return objectives. The longer the time period, the better the chance that up and down periods within market cycles will average out and your desired return can be achieved. If your time horizon is three years or less, you should consider other investment alternatives.)
5 to 10 years

3. **The investment objective for this portfolio over a market cycle is:**
Growth of capital. (Exposure to increased levels of price volatility with expectations to outperform an equity index.)

4. **The current income requirements from these assets (the portion of total return which should come from dividends/interest) is:** None - No need for current income.

5. **Tax-free income is required from these assets:**
No

6. **With regard to these assets, the Client's tolerance for capital fluctuation would be best described as:**
High - Can accept negative annual returns during difficult phases in a market cycle.

7. **With regard to these assets, the Client's Risk/Return profile would best be described as follows:**
The Risk/Return chart illustrates the historical trade-off between volatility and investment return in the capital markets. Historically, to achieve higher rates of return, investors have had to accept greater fluctuations in portfolio value. The higher the position on the chart, the higher the rate of return expected to be earned by the portfolio and the greater the volatility in periodic returns.

R
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T
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R
N

_ Most Aggressive
X Aggressive
_ S&P 500
_ Moderate
_ Conservative
_ Most Conservative

R I	S K	>>> >>>
Capital preservation oriented. Total return oriented, but may have higher current income. Suitable for short time horizon (3 to 5 years).	Capital appreciation oriented. Minimal income needs. Increasing equity exposure. Longer time horizon - at least a market cycle (5 years or more).	Aggressive growth oriented. No current income consideration. Greater volatility than broad stock market. Longest time horizon (10+ years).

aggressive

Fiduciary Services Unaffiliated Investment Questionnaire

Account Number: (b)(6), (b)(7)(C) **Your Financial Consultant:** (b)(6), (b)(7)(C)

Name(s): (b)(6), (b)(7)(C)

8. Based on the answers to the previous questions, the following portfolio structure is appropriate for these assets:
Equities and Cash Equivalents - Manager uses stocks predominantly, but may also use cash equivalents to reduce portfolio volatility.

9. Market Capitalization (equity investments only).
Market capitalization is the value of a corporation as determined by the market price of its issues and outstanding common stock.
Large capitalization companies (more than $2 billion)

10. Investment Style (equity investments only):
The following characteristics are appropriate
* International Mangement style
Managers buys securities in international markets, including Japan, Asia, Europe, etc.

International Management style

11. Preferred size of the investment management organization:
no preference

12. The Client's investment guidelines for these assets prohibit investments in certain securities or industry groups:
Yes, restriction as follows:

BRANDES
INVESTMENT PARTNERS, L.P.

(1)

September 10, 2001

Salomon Smith Barney
(b)(6), (b)(7)(C)
Berkeley Square 8/9th FL
London W1X 5LA
UK

Reference: (b)(6), (b)(7)(C)

Dear (b)(6), (b)(7)(C)

Thank you for opening the above referenced account with our firm. We will do our utmost to provide your client with the best service possible.

If you have questions regarding the *management* of the account, please contact the sub-advisory department at Brandes. Additionally, our staff is prepared to support you in a variety of marketing endeavors, including supplying brochures or a speaker for a seminar.

Please call me at (b)(6), (b)(7)(C) if you have questions or suggestions. We look forward to building a long and profitable relationship.

Sincerely,

(b)(6), (b)(7)(C)

11988 El Camino Real | Suite 500 | P.O. Box 919048 | San Diego, CA 92191-9048
858.755.0239 | 800.237.7119 | Fax 858.755.0916
www.brandes.com | info@brandes.com

(b)(3), (b)(6), (b)(7)(C)

(b)(3), (b)(6), (b)(7)(C)

(b)(3)

(b)(3)

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(b)(3)

SALOMON SMITH BARNEY
A member of citigroup

(b)(6), (b)(7)(C)

December 6, 1999

Reference # (b)(6), (b)(7)(C)

Fiduciary Services Unaffiliated Manager Program
CG New Accounts Package/Financial Consultant Checklist

Account Number: (b)(6), (b)(7)(C)

Your Financial Consultant: (b)(6), (b)(7)(C)

A. ACCOUNT SPECIFICS

Name(s): (b)(6), (b)(7)(C)

FC Telephone Number: (b)(6), (b)(7)(C)

FC Wire Code (b)(6), (b)(7)(C)

Taxable / Non Taxable: Taxable

State or Country: (b)(6), (b)(7)(C)

Is account a transfer (due to status or branch change)? If Yes, previous Managed Account No.:

BY: DEC - 8 1999

Is account part of SSB Trust Company Account? No

Selected Sweep Fund: SB MONEY FUND CASH PORT CL A (SBCX)

Level of Service: FIDUCIARY SERVICES

Product: F.S. UNAFFILIATED MA

Investment Manager: BRANDES GLOBAL EQUITY

Manager Code: BRA1

Style: Global Equity

Anticipated Inception Value: ~~$100,000.00~~ 100,156

If applicable, Provide Existing original: F.S. UNAFFILIATED MANAGERS

Manager Program account number for client: (b)(6), (b)(7)(C)

List CUSIP(s) or Ticker Symbol(s) for assets to be held as Unsupervised (If applicable):

List CUSIP(s) or Ticker Symbol(s) or Industries for asset Restrictions:
**Not for Use with PM, GPM, CES and IMS Level Of Service Accounts*

SALOMON SMITH BARNEY

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December 6, 1999

Reference # (b)(6), (b)(7)(C)

Fiduciary Services Unaffiliated Manager Program
CG New Accounts Package/Financial Consultant Checklist

Account Number: (b)(6), (b)(7)(C) Your Financial Consultant: (b)(6), (b)(7)(C)

B. Documentation to be attached to this checklist

Document(s) Required:

- Consulting Group Agreement
- Copy of Complete Plan & Trust Agreement (if applicable)
- Copy of UGMA documents (if applicable)

C. Quarterly Review

Performance Reported: Gross or Both: GROSS
Check for Fiscal Year Monitor: Yes
Fiscal Year End Month:
Bill Client or Bill FC Gross? Bill Client

D. Billing Information

FIDUCIARY SERVICES FEE SCHEDULES UNAFFILIATED MANAGER PROGRAM

For Equity and Balanced Accounts Only

Account Asset Value	Recommended Fee	FC Designated Discount	Fee to Client	Advisor Fee	FC Gross
On the First $500,000	3.00000%	33.00000%	2.01000%	0.45000%	1.56000%
On the First $500,000	2.20000%	33.00000%	1.47400%	0.45000%	1.02400%
On the First $1,000,000	1.90000%	33.00000%	1.27300%	0.45000%	0.82300%
On assets over $2,000,000	1.70000%	33.00000%	1.13900%	0.45000%	0.68900%

(Accounts over $5,000,000 are fully negotiable with the Client upon approval of the Consulting Group.)

BILLING (ERISA and NON-ERISA accounts may not be combined for related billing)

Check Accordingly:
Do Not Combine Billing:
-or-
Combine Related Accounts:X

List CG Account Number(s) to be Related (only if Combined Related accounts is checked) :
(b)(6), (b)(7)(C)

Combine Related Accounts; Debit each proportionately:

Combine Related Accounts; debit this account number: (b)(6), (b)(7)(C)

Bill Current Quarter Only (for Inception billing): YES

Notice: To Fiduciary Services Manager this client has been sent a copy of your ADVII on: 12/03/1999

Approved by Branch Manager (Signature):_____ Date: ____/____/____

Send via the CG New Account (Orange & White) Envelope "ENV8006"
TO: Managed Account Operations - Account Services
Salomon Smith Barney Inc.
333 West 34th Street, 2nd Floor
New York, NY 10001

SALOMON SMITH BARNEY

A member of citigroup

December 6, 1999

Reference # (b)(6), (b)(7)(C)

Fiduciary Services Unaffiliated Manager Program Confidential Client Information

Account Number: (b)(6), (b)(7)(C)
Name(s): (b)(6), (b)(7)(C)

Your Financial Consultant(s): (b)(6), (b)(7)(C)

Mailing Address: (b)(6), (b)(7)(C)

Social Security number(s): (b)(6), (b)(7)(C)

Home Telephone Number: (b)(6), (b)(7)(C)

Business Telephone Number: (b)(6), (b)(7)(C)

Total Portfolio Value: $650,000.00 as of (date): 11-30-1999

Assets Placed Under Management (# of shares and security): 100000

Are any of the above securities restricted for management (i.e. - to be held as unsupervised)? No
If yes, specify:

Is Client a "Controlling person" with respect to any publicly held company? No
If yes, specify:

SALOMON SMITH BARNEY
A member of citigroup

December 6, 1999

Reference # (b)(6), (b)(7)(C)

Fiduciary Services Unaffiliated Manager Program Confidential Client Information

Account Number: (b)(6), (b)(7)(C) **Your Financial Consultant:** (b)(6), (b)(7)(C)

For Individual Investors Only

(including Individuals, accounts set up as Living Trusts, IRAs, IRA Rollovers and Keoghs)

Legal Residence(s) or Trust Situs (city and state):
(b)(6), (b)(7)(C)

Date of Birth (Mo/Day/Yr): (b)(6), (b)(7)(C)

Citizenship (b)(6), (b)(7)(C)

Occupation(s): (b)(6), (b)(7)(C)

Prior Investment Experience: Investing Since:
NONE

Was there any prior investment activity by any beneficial owner? No
If yes, for which owner(s)?

Investing History: Have you ever had accounts with other firms?
If yes, which firm(s)?

Relationship(s) and date of birth(s) of Dependent(s):

Are you covered by a Retirement Plan:
If yes, describe Plan:

Planned Retirement Date(s):

Value of Real Estate (net of mortgages):

Cash Amount in Bank:

Total net worth (excluding real estate, furnishings and personal items, e.g. art, jewelry):

Do Assets to be placed under management constitute your entire securities portfolio?
If No, percent to be managed:
If No, amount to be managed:

Bank Name and Address:

Type of Account:

Salary (Approximate before taxes):

Dividends and Interest:

Other:

Total Annual Income:

Approximate Maximum Federal Tax Bracket This Year:

Approximate Maximum Federal Tax Bracket Next Year: About the same

Describe any anticipated changes in your overall financial circumstances in the foreseeable future?
(Any changes to income, net worth or investment objectives require you to provide us with an updated copy of this information.)

Do you desire periodic withdrawals from your account?
If yes, specify frequency and amount:

Will securities/cash be added to account at a later date?
If yes, indicate the amount **When**

Was the account solicited? Yes

FOR FC USE ONLY: *The State of Connecticut requires that if a client resides in that state, the client must receive a copy of this page.*

Date copy of this page given to Client by FC:_____ FC Initials:_____

SALOMON SMITH BARNEY

A member of citigroup

December 6, 1999

Reference # (b)(6), (b)(7)(C)

Fiduciary Services Unaffiliated Investment Questionnaire

Account Number: (b)(6), (b)(7)(C) **Your Financial Consultant** (b)(6), (b)(7)(C)

Name(s): (b)(6), (b)(7)(C)

In order to assist you in selecting the most appropriate manager(s) for your account(s), please answer the following questions. **Answers for individual accounts (for questions 2 through 10) should be specific to the assets placed in each account and thus may differ from each other and the overall investment objectives.**

1. The assets to be placed in this account represent:
one component of the investment portfolio. Please describe the objectives and components of the overall investment portfolio:
LT GROWTH WITH PROFESSIONAL MONEY MGR REP DIFF ASS

2. The investment time horizon most appropriate for these assets:
(The time horizon used in evaluating investment return has significant impact on the probability of realizing the stated return objectives. The longer the time period, the better the chance that up and down periods within market cycles will average out and your desired return can be achieved. If your time horizon is three years or less, you should consider other investment alternatives.)
10 years or more

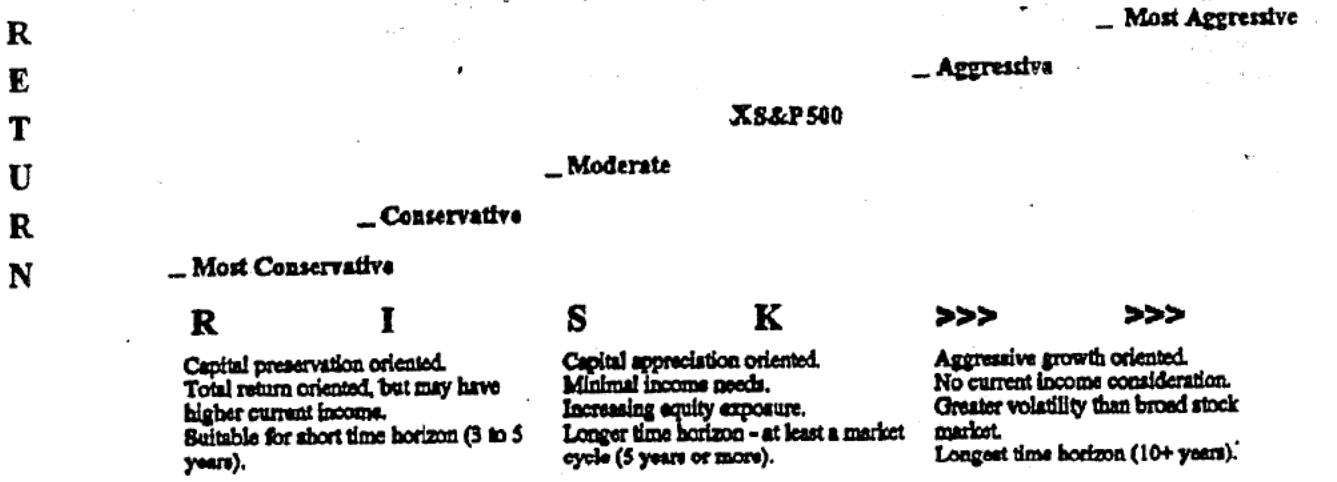
3. The investment objective for this portfolio over a market cycle is:
Growth of capital. (Exposure to increased levels of price volatility with expectations to outperform an equity index.)

4. The current income requirements from these assets (the portion of total return which should come from dividends/interest) is: None - No need for current income.

5. Tax-free income is required from these assets:
No.

6. With regard to these assets, the Client's tolerance for capital fluctuation would be best described as:
Moderate - Can accept a number of quarters of negative returns during difficult phases in a market cycle.

7. With regard to these assets, the Client's Risk/Return profile would best be described as follows:
The Risk/Return chart illustrates the historical trade-off between volatility and investment return in the capital markets. Historically, to achieve higher rates of return, investors have had to accept greater fluctuations in portfolio value. The higher the position on the chart, the higher the rate of return expected to be earned by the portfolio and the greater the volatility in periodic returns.



Capital preservation oriented. Total return oriented, but may have higher current income. Suitable for short time horizon (3 to 5 years).	Capital appreciation oriented. Minimal income needs. Increasing equity exposure. Longer time horizon - at least a market cycle (5 years or more).	Aggressive growth oriented. No current income consideration. Greater volatility than broad stock market. Longest time horizon (10+ years).	

S&P 500

SALOMON SMITH BARNEY

A member of citigroup

December 6, 1999

Reference # (b)(6), (b)(7)(C)

Fiduciary Services Unaffiliated Investment Questionnaire

Account Number: (b)(6), (b)(7)(C) **Your Financial Consultant:** (b)(6), (b)(7)(C)

Name(s): (b)(6), (b)(7)(C)

8. Based on the answers to the previous questions, the following portfolio structure is appropriate for these assets:
Fully invested in Equities - Manager uses stocks exclusively, and remains fully invested under all market conditions.

9. Market Capitalization (equity investments only).
Market capitalization is the value of a corporation as determined by the market price of its issues and outstanding common stock.
Large capitalization companies (more than $2 billion)

10. Investment Style (equity investments only):
The following characteristics are appropriate
- International Mangement style

Managers buys securities in international markets, including Japan, Asia, Europe, etc.

International Management style

11. Preferred size of the investment management organization:
no preference

12. The Client's investment guidelines for these assets prohibit investments in certain securities or industry groups:
No

WRAP ACCOUNT DATA SHEET

DATE RECD: 12/8/99 OPENING DATE: 12/9/99 CLIENT ID: (b)(6), (b)(7)(C)

FAX INFORMATION

TO: FROM: (b)(6), (b)(7)(C) DATE:

FIRM: SB FIRM: Brandes Investment Partners PAGES:

APPROVAL / QUICK WRAP INFORMATION

ACCOUNT #: (b)(6), (b)(7)(C)

ACCOUNT TITLE: (b)(6), (b)(7)(C)

STYLE: ___ (IN) International Equity X (GL) Global Equity ___ (BL) Global Balanced ___ (DM) Domestic Equity

___ (EM) Emerging Markets

ACCOUNT VALUE: 100,156 CASH / SECURITIES / BOTH (circle one)

RESTRICTIONS: YES (NO)

WITHDRAWALS: YES (NO)

% NET WORTH: 13%

COMMENTS: Per (b)(6), (b)(7)(C) wt 750,000 @ 12/17/99

1-6-00 Sent to OPSCAN w/out ltr. being sent due to open date. ls

MAIN WRAP INFORMATION

CLIENT INFORMATION

CONTACT PERSON: (b)(6), (b)(7)(C) HOME PHONE:

ADDRESS: WORK PHONE:

FAX:

ACCOUNT TYPE: ERISA ENDOW CORP FNDTN IRA TRUST IND JT (circle one)

WRAP PROGRAM CODE: SBP

BROKER INFORMATION

BROKER NAME: (b)(6), (b)(7)(C) PHONE: (b)(6), (b)(7)(C)

BROKER ID: FAX:

FIRM: SB ASST:

ADDRESS: SALES REP: AJ MJ EB JC CY JM EI AM VT LB (b)(6), (b)(7)(C)

Approved by: (b)(6), (b)(7)(C) O-Wrapped by: (b)(6), (b)(7)(C) Main Wrapped by:

WRAP.DOC bz:9/3/98

TRANSFER/UPDATE CHECKLIST
WRAP ACCOUNTS

2

Completed B [redacted]

☐ TRANSITION

☐ Full to WRAP Transfer ☐ w/ number change ☐ w/ title change ☐ w/ broker change ☐ w/ style change

☒ WRAP

☐ WRAP to WRAP Transfer ☐ Special Handling ☐ Re-Open Account ☐ Other _____

☐ Style Change ☒ Number Change ☐ Title Change

Client ID [redacted] Date Notified: 8-7-00 Inception Date: 8-7-00

Date Given to Trans (if applicable): 08-08-00P01:03 RCVD Date Placed on NO TRDS: —

Old Account #: [redacted] New Account #: [redacted]

Old Broker ID: [redacted] New Broker ID: —

Old Account Title: [redacted]

New Account Title: _____

Old Address: _____

New Address: _____

Update Client/Broker Relationships? ☐ Yes ☒ No If yes, please initial and date here: _____

Transfer From: Old firm SBP Old Team (if applicable) — To: —

Style Change From: GL To: —

Re-Open Account? ☐ Yes ☒ No If re-opened, please initial and date here: —

SUITABILITY INFORMATION

Acct Value: $102,945.00

Restrictions: YES/NO _____

Withdrawals: YES/NO _____

% Net Worth: 66670 Approved by [redacted]

Notes/Comments:

COMPLETED 8-8 [redacted]

HATES MONEY MANAGER: (b)(6), (b)(7)(C)

MANAGER	MANAGER NAME	ACCOUNT	FROM ACCOUNT	MARKET VALUE
BRA1	BRANDES GLOBAL EQUITY	(b)(6), (b)(7)(C)		102,945.00
			TOTAL: 1	102,945.00

END OF REPORT END OF REPORT END OF REPORT

SALOMON SMITH BARNEY

A member of citigroup

Ref: (b)(6), (b)(7)(C)

Preferred Client Statement
July 1 - July 31, 2001

104G01802043690000000250IP 301212MM01 INADB001A
BRANDES INVESTMENT PARTNERS
11988 EL CAMINO REAL
SUITE 500
SAN DIEGO CA 92130-2594

14

SALOMON SMITH BARNEY INC.
Your Financial Consultant
(b)(6), (b)(7)(C)
200 CRESCENT COURT
SUITE 900
DALLAS TX 75201
(b)(6), (b)(7)(C)
Preferred Client Service Center: 800-232-4454
International: 800-378-1736
Email: (b)(6), (b)(7)(C)

Account number (b)(6), (b)(7)(C)

Copies of this statement have also been sent to:
BRANDES INVESTMENT PARTNERS

Copy for the account of: (b)(6), (b)(7)(C) (b)(6), (b)(7)(C) MOD- BRANDES/GLOBAL EQUITY

Account value

	Last period	This period	%
Cash balance	$ 60.49	$ 47.89	.04
Money funds	2,988.18	2,060.42	1.68
Accrued money fund dividends	12.53	5.85	
Common stocks & options	120,051.33	120,347.10	98.27
Net value	$ 123,112.53	$ 122,461.26	100

Earnings summary

	This period	This year Taxable	This year Non-taxable
Dividends	$ 357.10	$ 1,995.18	$ 0.00
Money funds earnings	16.45	95.59	0.00
Total	$ 373.55	$ 2,090.77	$ 0.00

Additional summary information

	This period	This year
FRGN tax withheld	$ 40.66	$ 125.08

Gain/loss summary

	This period	This year
Realized gain or (loss)	$ 1,377.41	$ 6,680.10 LT $ 285.66 ST
Unrealized gain or (loss)	4,346.92	*Not applicable*

2032481 (17k9t)

Important Statement Information

Salomon Smith Barney is a service mark of Salomon Smith Barney Inc.

All dates of transactions appearing on this statement are settlement dates. Information with regard to commission and other charges incurred in connection with the execution of transactions for your account is included in confirmations of these transactions previously furnished to you. This information will be made available to you promptly upon request.

Promptly advise us of any material change in your investment objectives or financial situation.

If your Client Statement indicates a security was delivered to you or your designated representative, and it was not received within three weeks, you must notify your branch immediately. If you fail to notify your branch within five months of the statement delivery date, Salomon Smith Barney Inc. will not be responsible for cost of posting a replacement bond.

All checks written for deposit to your account must be made payable to Salomon Smith Barney Inc. Checks may not be made payable to Salomon Smith Barney employees.

If you believe your statement is not correct, you must, within ten (10) days, contact either the Manager of the branch servicing your account or Salomon Smith Barney Inc., Attention: Compliance Department, 7 World Trade Center, 30th Floor, New York, NY 10048.

Sweep Transactions
With the exception of initial transactions, for which you will receive a confirmation, whereby cash is "swept" into a Money Market Fund Portfolio or a Depository Institution under either the IDA Program or Bank Deposit Program, all subsequent transactions will be reflected on your client statement in lieu of a confirmation.

Amortization and accretion
Both amortization of bond premiums and accretion of OID income are calculated using the constant yield method. If an election to amortize the premium on a taxable bond is not made, a capital loss is realized upon disposition. Unrealized or Realized gains and losses have been adjusted to account for the accretion of OID, the amortization of premium, and/or the accretion of market discount. Any gain will generally be taxed as ordinary interest income to the extent of the amount of market discount that accrued during the time the bond is held. This amount is shown separate and distinct from the capital gain portion of the total gain. An election may be made to report the accrued discount annually instead of in the year of disposition. Foreign debt securities that are not traded in U.S. dollars will not be adjusted.

Called issues
Call features shown indicate the next regularly scheduled call date and price. Your holdings may be subject to other redemption features including sinking funds or extraordinary calls. All securities held by Salomon Smith Barney Inc., but which are not registered in your name, are commingled with identical securities being held for other clients. In the event any securities so held are "called" by the issuer, Salomon Smith Barney Inc. will determine the beneficial ownership thereof by an impartial random selection system as required by New York Stock Exchange rules. Unless registered in the name of your Qualified Plan, securities belonging to your Qualified Plan will be held by Salomon Smith Barney Inc. with identical securities belonging to other clients. Such securities will not, however, be commingled for investment with any other securities.

Bank Deposit Program and Insured Deposit Account
Cash in each of your deposit accounts at the Depository Institutions participating in these Programs are insured by the Federal Deposit Insurance Corporation (FDIC) to a total of $100,000 per depositor in each insurable capacity.

Certificates of deposit
Certificates of deposit are federally insured to $100,000 combined pursuant to FDIC rules, principal and interest. Zero Coupon Certificates of deposit are FDIC insured only to their accreted value up to $100,000 per depositor in each insurable capacity. Certificates of deposit are carried at face amount and do not reflect accrued or unpaid interest. If Certificates of deposit or other fixed income securities are sold prior to maturity, the proceeds may be more or less than the face amount depending upon market conditions. Accreted value may be higher or lower than current market value.

Credit balances
A free credit balance in any securities account may be paid to you on demand. Although properly accounted for on our books and records, these funds may be used for our business purposes.

Dividend Yield
Dividend yield is the estimated annual income, assuming the current dividend, divided by the security's market price at the end of the statement period. Current dividend for mutual funds not sponsored by Salomon Smith Barney is based on information provided by an outside vendor and is not verified by Salomon Smith Barney.

Market Values
Generally, the market values of securities have been obtained from various quotation services, whose appraisals are based either on the closing prices, the mean between the bid and asking price, or a matrix based on interest rates for similar securities (pricing may reflect round lot/odd lot differentials). Where prices are not available from quotation services, Salomon Smith Barney Inc. may use such prices which in its judgment reflect the market prices of the securities. In either case, Salomon Smith Barney Inc. does not guarantee the accuracy of such prices. These prices should not be considered to constitute firm bids or offers and may be subject to fluctuations in market conditions. Mutual funds shares are valued at their net asset value as of the last day of the statement period. If a more current valuation is necessary, please contact your Financial Consultant.

TAX WITHHOLDING NOTICE
IRA, SEP & SIMPLE-IRA account distribution payments:
If you have made withdrawals from this account (including IRA checks you may have written) and have elected not to have taxes withheld, or if not enough taxes were withheld, you may be responsible for the payment of quarterly estimated tax. You may incur penalties under the estimated tax rules if your withholding and estimated tax payments are insufficient. See IRS Publication 505, Tax Withholding and Estimated Tax or your tax advisor. Each time you wish to have taxes withheld for IRA checks you have written, you must complete a distribution form specifying the dollar amount of taxes to be withheld. Contact your Salomon Smith Barney Financial Consultant if you wish to make, change or revoke a withholding election.

Roth and Education IRA distribution payments:
Withdrawals made from Roth and Education IRAs which meet certain criteria generally are not subject to federal income tax, therefore, no tax withholding is required.

Keogh and 403(b) plan distribution payments:
Federal tax laws require that 20% federal income tax be withheld from certain eligible rollover distributions from this account. Distributions may also be subject to required state tax withholding. For distributions where withholding is not required, you may elect NOT to have federal or state withholding apply. However, you may be responsible for payment of quarterly estimated tax. You may incur penalties under the estimated tax rules if your withholding and estimated tax payments are insufficient. Contact your Financial Consultant if you wish to make, change or revoke a withholding election.

Research ratings of Salomon Smith Barney, Standard and Poor's, and Moody's Investors Service may be shown for certain securities. All research ratings represent the "opinions" of the research provider and should not be construed as representations or guarantees of performance. *The Robinson-Humphrey Company, LLC, a wholly owned subsidiary of Salomon Smith Barney, may carry ratings on securities which differ with those of Salomon Smith Barney. The Robinson-Humphrey research ratings are not reflected on this statement.* Your Financial Consultant will be pleased to provide you with further information or assistance in interpreting research ratings.

KEY TO SALOMON SMITH BARNEY RESEARCH RATING SYSTEM

STOCK RATING Risk Description *(denoted by the letter)*
Predictability of earnings/dividends; Price Volatility

L. Low Risk	High predictability; Low Volatility
M. Moderate Risk	Moderate predictability; Volatility
H. High Risk	Low predictability; High Volatility
S. Speculative	Exceptionally low predictability; highest risk
V. Venture	Risk and return consistent with venture capital; only for well-diversified portfolios.

Performance *(denoted by the number)*

Rating/ Recommendation	Total Return (Capital Gain/Loss Plus Dividends) Expected Over the Next 12-18 Months			
	Low Risk	Moderate Risk	High Risk	Speculative
1. Buy	Over 15 %	Over 20%	Over 25%	Over 30%
2. Outperform	+5% to+15%	+5% to+20%	+10% to+25%	+10% to+30%
3. Neutral	-5% to+5%	-5% to+5%	-10% to+10%	-10% to+10%
4. Underperform	-5% to-15%	-5% to-15%	-10% to-20%	-10% to-20%
5. Sell	-15% or Worse	-15% or Worse	-20% or Worse	-20% or Worse

Closed-End Investment Companies
Risk Description *(denoted by the letter)*
Degree of Risk Goal of Fund

L. Low Risk	Capital preservation; conservative income
M. Moderate Risk	Conservative growth or moderate current income
H. High Risk	Aggressive growth/capital appreciation or high income
A. Aggressive	Maximum return potential (possibly entailing high price volatility)

Performance *(denoted by the number)*
Rating/Recommendation

1. Buy	Aggressive buy recommendation
2. Accumulate	Buy recommendation
3. Hold	Hold without additional purchases at this time
4. Avoid	Not recommended
5. Sell	Sell recommended

Member of Securities Investor Protection Corporation (SIPC).
Salomon Smith Barney is a member of SIPC. Assets in your account are protected by SIPC up to $500,000, of which $100,000 may be cash. In addition to the coverage provided by SIPC, assets of all accounts held at Salomon Smith Barney in "street name" are protected up to the full net equity value of the assets held in those accounts as a result of Salomon Smith Barney having purchased additional SIPC-like protection from Gulf Insurance Company (a wholly-owned subsidiary of Citigroup Inc., the ultimate parent company of Salomon Smith Barney) and Asset Guarantee Insurance Company. For assets up to $50,000,000, Salomon Smith Barney provides supplemental protection of up to $49,500,000 through Gulf Insurance Company ($1,000,000 cash limitation). For assets over $50,000,000, Salomon Smith Barney has purchased up to an additional $100,000,000 in excess protection from Asset Guarantee Insurance Company ($1,000,000 cash limitation). For assets above $150,000,000, excess protection is provided through Gulf Insurance Company ($1,000,000 cash limitation). All coverage is provided at no cost to you. Protection will apply only to securities and cash on deposit in "street name" in securities accounts. Commodities and futures accounts are not covered. Repurchase and reverse repurchase transactions, as well as, securities lending and borrowing transactions, may not be covered. Cash that you have on deposit at Depository Institutions through the Bank Deposit Program or the IDA or from purchases of Certificates of Deposit through Salomon Smith Barney are insured by the FDIC rather than SIPC. Please ask your Financial Consultant for further information.

Ref: (b)(6), (b)(7)(C)

Preferred Client Statement
July 1 - July 31, 2001

(b)(6), (b)(7)(C) Account number (b)(6), (b)(7)(C)

Cash, Money funds and Bank deposits

	This period	This year
Opening balance	$ 3,048.67	
Securities bought and other subtractions	-4,659.30	
Securities sold and other additions	4,009.91	
Deposits	0.00	40.74
Withdrawals	-623.66	-1,848.52
Dividends credited	316.24	
Money funds earnings reinvested	16.45	
Closing balance	$ 2,108.31	

Portfolio summary

	This period	Year-to-date as of 03/01
Opening value of securities	123,052.04	125,675.29
+ Opening cash balance	60.49	0.00
= Opening portfolio balance	123,112.53	125,675.29
Securities deposited/withdrawn net	0.00	0.00
Capital deposited/withdrawn net	-623.66	-1,222.73
Adjusted opening value	122,488.87	124,452.56
Closing value of securities	122,413.37	122,413.37
+ Closing cash balance	47.89	47.89
= Closing portfolio value	122,461.26	122,461.26

Note: Securities deposited/withdrawn net = The value of securities on the day they were debited from or credited to the account as reflected in the "Other security activity" section.
Capital deposited/withdrawn net = Cash withdrawals and deposits, credit card payments, FMA Card activity, checks written, and Money funds/Insured Deposit Account[SM] transfers.

Portfolio details

The values of your holdings are as of 07/31/01. Please note: Unrealized gain/(loss) is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Money funds

Number of shares	Description	Current value	Accrued dividends	Annualized % dividend Yield/Anticipated income (annualized)
2,060.42	SB MONEY FUNDS CASH PORT CL A	$ 2,060.42	$ 5.85	3.53% $ 72.73
Total money funds		$ 2,060.42	$ 5.85	3.521 $ 72.73

Common stocks & options

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated income (annualized)
65	AIR PRODUCTS & CHEMICALS INC SYMBOL: APD/RATING: A-	12/09/99	$ 2,019.06	$ 31.062	$ 40.83	$ 2,653.95	$ 634.89	LT	1.959% $ 52.00
15	ALCATEL SA ADR SYMBOL: ALA	05/25/01	414.68	27.645	17.40	261.00	(153.68)	ST	2.08 5.43
40	AMERICA MOVIL SA DE CV, MEXICO-MXN SPONS ADR SER L SYMBOL: AMX	12/09/99	818.57	20.464	19.74	789.60	(28.97)	LT	
20		08/09/00	395.99	19.949	19.74	394.80	(4.19)	LT	
30		04/30/01	552.34	18.411	19.74	592.20	39.86	ST	
90			1,769.90	19.666		1,776.60	6.70		.309 5.49

(b)(6), (b)(7)(C) Account number (b)(6), (b)(7)(C)

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated income (annualized)
204	ARCHER-DANIELS-MIDLAND CO SYMBOL: ADM/RATING: B+	12/09/99	$ 2,637.86	$ 12.486	$ 13.39	$ 2,731.56	$ 193.70	LT	1.493% $ 40.80
180	AVAYA INC SYMBOL: AV	01/16/01	2,881.26	15.895	12.53	2,255.40	(606.86)	ST	
100	BAE SYSTEMS PLC SPON ADR SYMBOL: BAESY	04/18/01	2,005.11	20.051	21.278	2,127.80	122.69	ST	2.255 48.00
30	BASF AG SPONS ADR SYMBOL: BF	12/09/99	1,410.00	47.00	40.65	1,219.50	(190.50)	LT	
45	BANK ONE CORP COM SYMBOL: ONE/RATING: A-	01/19/00	1,420.31	31.562	38.71	1,741.95	321.64	LT	
25		03/28/00	839.06	33.562	38.71	967.75	128.69	LT	
70			2,259.37	32.277		2,709.70	450.33		2.189 58.80
10	BRASIL TELECOM PARTICIPACO : SA SPONSORED ADR REPSTG PFD SH SYMBOL: BRP	06/27/01	411.61	41.16	36.50	365.00	(46.61)	ST	
45		07/18/01	1,659.09	36.868	36.50	1,642.50	(16.59)	ST	
55			2,070.70	37.649		2,007.50	(63.20)		2.219 44.55
170	BRITISH AMERICAN TOBACCO	12/09/99	2,029.38	11.937	16.61	2,823.70	794.32	LT	
25	PLC ADR-GBP SYMBOL: BTI	09/26/00	301.35	12.054	16.61	415.25	113.90	ST	
195	Exchange rate: 1.4257000 Shares traded in: Pound sterling		2,330.73	11.952		3,238.95	908.22		4.828 156.39
15	BRITISH TELECOM PLC ADR FULLY PAID SHS SYMBOL: BTY	07/31/00	1,948.77	129.918	69.45	1,041.75	(907.02)	ST	
5		08/15/00	638.75	127.75	69.45	347.25	(291.50)	ST	
5		11/14/00	519.24	103.847	69.45	347.25	(171.99)	ST	
5		03/13/01	399.20	79.84	69.45	347.25	(51.95)	ST	
10		06/19/01	615.76	61.575	69.45	694.50	78.74	ST	
9		06/20/01	381.69	42.432	69.45	625.05	243.16	ST	
49			4,503.61	91.91		3,403.05	(1,100.56)		4.453 151.56
205	CENTRAIS ELETRICAS BRASILEIRAS SP ADR SA REP COM -USD- SYMBOL: CAIFY	12/09/99	2,024.38	9.875	7.308	1,498.14	(526.24)	LT	3.653 54.74

Preferred Client Statement
July 1 - July 31, 2001

Ref: (b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

Account number (b)(6), (b)(7)(C)

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
120	CONAGRA FOODS INC	03/07/00	$ 1,864.73	$ 15.539	$ 21.49	$ 2,578.80	$ 714.07	LT	
25	SYMBOL: CAG/RATING: A	04/30/01	522.17	20.886	21.49	537.25	15.08	ST	
145			2,386.90	16.461		3,116.05	729.15		4.187 130.50
45	DEUTSCHE TELEKOM AG SPON	09/20/00	1,591.65	35.374	21.71	976.95	(614.90)	ST	
15	ADR	02/12/01	446.29	29.752	21.71	325.65	(120.64)	ST	
25	SYMBOL: DT	05/21/01	570.22	22.808	21.71	542.75	(27.47)	ST	
85			2,608.36	30.687		1,845.35	(763.01)		1.801 33.24
60	DIAGEO PLC SPONSORED ADR	12/09/99	2,096.25	34.937	40.84	2,450.40	354.15	LT	
30	NEW	06/08/00	1,046.25	34.875	40.84	1,225.20	178.95	LT	
90	SYMBOL: DEO		3,142.50	34.917		3,675.60	533.10		3.009 110.61
30	ENI SPA SPONSORED ADR	12/09/99	1,591.88	53.062	61.20	1,836.00	244.12	LT	
10	SYMBOL: E	08/18/00	604.87	60.486	61.20	612.00	7.13	ST	
40			2,196.75	54.919		2,448.00	251.25		2.153 52.72
60	EASTMAN KODAK CO	10/24/00	2,448.23	40.803	43.31	2,598.60	150.37	ST	4.063 105.60
	SYMBOL: EK/RATING: B+								
70	GOODYEAR TIRE & RUBBER CO	12/09/99	1,990.63	28.437	28.58	2,000.60	9.97	LT	
25	SYMBOL: GT/RATING: B+	07/10/00	541.43	21.657	28.58	714.50	173.07	LT	
95			2,532.06	26.653		2,715.10	183.04		4.188 114.00
40	GREAT LAKES CHEMICAL CORP	12/09/99	1,487.50	37.187	28.39	1,135.60	(351.90)	LT	
15	SYMBOL: GLK/RATING: A-	09/14/00	484.24	32.282	28.39	425.85	(58.39)	ST	
55			1,971.74	35.85		1,561.45	(410.29)		1.127 17.60
15	HITACHI LTD-ADR-10 COM-NEW USD	12/09/99	2,058.75	137.25	83.50	1,252.50	(806.25)	LT	.949 11.90
	SYMBOL: HIT								
150	INVENSYS PLC SPONS ADR	12/09/99	1,461.25	9.675	2.43	364.50	(1,116.75)	LT	
280	SYMBOL: IVNSY	10/24/00	1,218.62	4.352	2.43	680.40	(538.22)	ST	
430	Exchange rate: 1.4257000 Shares traded in: Pound sterling		2,699.87	6.279		1,044.90	(1,654.97)		8.024 83.85

(b)(6), (b)(7)(C) Account number (b)(6), (b)(7)(C)

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
400	JARDINE STRATEGIC HLDGS LTD SPONSORED ADR SYMBOL: JDSHY	01/07/00	$ 1,583.92	$ 3.959	$ 5.50	$ 2,200.00	$ 616.08	LT	4.818% $ 106.00
135	LOCKHEED MARTIN CORP SYMBOL: LMT/RATING: B	12/09/99	2,691.57	19.937	39.62	5,348.70	2,657.13	LT	1.11 59.40
50	LOEWS CORP SYMBOL: LTR/RATING: B	12/09/99	1,559.38	31.187	56.76	2,838.00	1,278.62	LT	1.057 30.00
55	LUBRIZOL CORP SYMBOL: LZ/RATING: B+	12/09/99	1,548.88	28.125	34.88	1,918.40	371.52	LT	2.981 57.20
85	MARKS & SPENCER LTD	12/09/99	2,210.00	26.00	21.188	1,800.81	(409.19)	LT	
25	SPONSORED ADR -USD-	07/26/00	519.26	20.77	21.188	529.65	10.39	LT	
110	SYMBOL: MASPY		2,729.26	24.811		2,330.46	(398.80)		2.681 65.80
150	MATSUSHITA ELEC INDL ADR SYMBOL: MC	06/06/01	2,688.32	17.922	13.80	2,070.00	(618.32)	ST	.652 13.50
25	MCDONALDS CORP SYMBOL: MCD/RATING: A+	07/17/01	689.32	27.572	29.14	728.50	39.18	ST	.737 5.38
30	MERCK & CO INC SYMBOL: MRK/RATING: A+	07/17/01	1,899.28	63.309	67.98	2,039.40	140.12	ST	2.059 42.00
120	MITSUBISHI TOKYO FINANCIAL	10/18/00	1,457.59	12.146	8.05	966.00	(491.59)	ST	
40	GRO SPONS ADR-JPY	10/25/00	477.73	11.943	8.05	322.00	(155.73)	ST	
160	SYMBOL: MTF		1,935.32	12.096		1,288.00	(647.32)		.787 9.76
120	MOTOROLA INC DE SYMBOL: MOT/RATING: A	04/25/01	1,783.82	14.863	18.69	2,242.80	459.18	ST	.856 19.20
50	NIPPON TELEPHONE &	10/26/00	2,353.39	47.067	25.45	1,272.50	(1,080.89)	ST	
10	TELEGRAPH CORP ADR RPSTG 1/200	11/21/00	419.29	41.929	25.45	254.50	(164.79)	ST	
75	OF ORD SH -USD-	06/12/01	2,166.71	28.889	25.45	1,908.75	(257.96)	ST	
135	SYMBOL: NTT		4,939.39	36.588		3,435.75	(1,503.64)		.703 24.17
75	P G & E CORPORATION SYMBOL: PCG/RATING: B	01/04/00	1,552.40	20.698	14.87	1,115.25	(437.15)	LT	

Preferred Client Statement
July 1 - July 31, 2001

Ref (b)(6), (b)(7)(C)

(b)(6), (b)(7)(C) Account number (b)(6), (b)(7)(C)

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
65	PETROLEO BRASILEIRO SA ADR SYMBOL: PBRA	12/09/99	$ 1,397.50	$ 21.50	$ 21.93	$ 1,425.45	$ 27.95	LT	6.393 % $ 91.13
60	PHILIP MORRIS COS INC SYMBOL: MO/RATING: A	12/09/99	1,462.50	24.375	45.50	2,730.00	1,267.50	LT	4.659 127.20
105	RAYTHEON COMPANY NEW	12/09/99	3,051.56	29.062	28.88	3,032.40	(19.16)	LT	
60	SYMBOL: RTN	01/19/00	1,172.47	19.541	28.88	1,732.80	560.33	LT	
165			4,224.03	25.60		4,765.20	541.17		2.77 132.00
50	REPSOL S A SPONSORED ADR -USD- SYMBOL: REP	05/08/01	910.81	18.218	16.52	826.00	(84.81)	ST	2.191 18.10
40	SBC COMMUNICATIONS INC	02/16/00	1,590.00	39.75	45.03	1,801.20	211.20	LT	
20	SYMBOL: SBC/RATING: A-	07/25/00	879.60	43.98	45.03	900.60	21.00	LT	
10		08/15/00	424.38	42.437	45.03	450.30	25.92	ST	
70			2,893.98	41.343		3,152.10	258.12		2.276 71.75
60	SAFECO CORP SYMBOL: SAFC/RATING: B	12/09/99	1,410.00	23.50	31.72	1,903.20	493.20	LT	2.332 44.40
215	SERVICE CORP INTERNATIONAL SYMBOL: SRV/RATING: C	12/09/99	1,505.00	7.00	7.90	1,698.50	193.50	LT	
70	SHERWIN WILLIAMS CO	12/09/99	1,465.63	20.937	22.89	1,602.30	136.67	LT	2.533
	SYMBOL: SHW/RATING: A								40.60
125	SPRINT CORP SYMBOL: FON/RATING: B	06/20/01	2,499.90	19.999	23.34	2,917.50	417.60	ST	2.142 62.50
235	SWIRE PACIFIC LTD SPONS ADR REPSTG 1 CL A SHS SYMBOL: SWRAY	12/09/99	1,556.88	6.625	5.347	1,256.55	(300.33)	LT	2.393 30.08
20	TELECOMUNICACOES	12/09/99	871.90	43.595	39.61	792.20	(79.70)	LT	
15	BRASILEIRAS SA TELEBRAS	12/14/00	1,075.23	71.682	39.61	594.15	(481.08)	ST	
35	*TELB-BRL SYMBOL: TBH		1,947.13	55.632		1,386.35	(560.78)		2.158 29.83
16.0759	TELEFONICA S.A.	12/09/99	756.33	47.566	36.30	583.56	(174.77)	LT	
31.0718	SPONS ADR SYMBOL: TEF	07/12/00	1,927.76	62.456	36.30	1,127.90	(799.86)	LT	

(b)(6), (b)(7)(C)

Account number (b)(6), (b)(7)(C)

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated income (annualized)
10.8525	TELEFONICA S.A.	07/12/00	$ 673.32	$ 62.456	$ 36.30	$ 393.95	($ 279.37)	LT	
58	SPONS ADR		3,359.41	57.921		2,105.41	(1,254.00)		
	SYMBOL: TEF								
40	TELEFONOS DE MEXICO S A	12/09/99	1,331.43	33.285	34.68	1,387.20	55.77	LT	
20	SPONSORED ADR REPSTG SH SR L	08/09/00	648.98	32.449	34.68	693.60	44.62	LT	
15	SYMBOL: TMX	03/06/01	506.54	33.769	34.68	520.20	13.66	ST	
75			2,486.95	33.159		2,601.00	114.05		2.656 69.08
35	TOKIO MARINE & FIRE	12/09/99	2,091.25	59.75	46.371	1,622.99	(468.26)	LT	.623 10.12
	INSURANCE ADR (NEW)								
	SYMBOL: TKIOY								
110	TOYS R US INC	12/09/99	1,705.00	15.50	23.03	2,533.30	828.30	LT	
	SYMBOL: TOY/RATING: B								
60	UST INC	12/09/99	1,507.50	25.125	30.95	1,857.00	349.50	LT	
35	SYMBOL: UST/RATING: A+	07/11/00	534.41	15.268	30.95	1,083.25	548.84	LT	
95			2,041.91	21.494		2,940.25	898.34		5.945 174.80
60	UNILEVER PLC SPONS ADR NEW	12/14/99	1,582.15	26.369	34.40	2,064.00	481.85	LT	
60	-USD	07/12/00	1,480.92	24.682	34.40	2,064.00	583.08	LT	
120	SYMBOL: UL		3,063.07	25.526		4,128.00	1,064.93		2.194 90.60
135	UNISYS CORP	10/24/00	1,650.60	12.225	11.45	1,545.75	(104.75)	ST	
	SYMBOL: UIS/RATING: B-								
120	WASTE MGMT INC DEL	12/09/99	1,867.50	15.562	31.00	3,720.00	1,852.50	LT	.032 1.20
	SYMBOL: WMI/RATING: C								
39	ZURICH FINANCIAL SERVICES	12/09/99	2,082.50	53.397	33.172	1,293.71	(788.79)	LT	
15	SPONS ADR	04/25/01	528.15	35.21	33.172	497.58	(30.57)	ST	
54	SYMBOL: ZFSVY		2,610.65	48.345		1,791.29	(819.36)		2.426 43.47
	Exchange rate: .5788175								
	Shares traded in:								
	Swiss francs								
Total common stocks and options			$ 116,000.18			$ 120,247.10	($ 5,208.82)	ST	2.29
							$ 9,555.74	LT	$ 2,767.15
Total portfolio value			$ 118,060.60			$ 122,407.62	($ 5,208.82)	ST	2.32
							$ 9,555.74	LT	$ 2,839.88

SALOMON SMITH BARNEY
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Preferred Client Statement
July 1 - July 31, 2001

Ref: (b)(6), (b)(7)(C)

(b)(6), (b)(7)(C) Account number (b)(6), (b)(7)(C)

Transaction details

Investment activity

Date	Activity	Description	Quantity	Price	Amount
07/02/01	Bought	BRASIL TELECOM PARTICIPACO SA SPONSORED ADR REPSTG PFD SH We acted as your agent in this transaction. TRADE AS OF 06/27/01	10	$ 41.16	$ -411.61
07/12/01	Sold	WASTE MGMT INC DEL We acted as your agent in this transaction.	-40	30.043	1,201.70
07/16/01	Sold	IBP INC We acted as your agent in this transaction.	-110	25.53	2,808.21
07/20/01	Bought	MCDONALDS CORP We acted as your agent in this transaction.	25	27.572	-689.32
07/20/01	Bought	MERCK & CO INC We acted as your agent in this transaction.	30	63.309	-1,899.28
07/23/01	Bought	BRASIL TELECOM PARTICIPACO SA SPONSORED ADR REPSTG PFD SH We acted as your agent in this transaction.	45	36.868	-1,659.09
Total securities bought and other subtractions					$ -4,659.30
Total securities sold and other additions					$ 4,009.81

Withdrawals

Date	Description	Reference no.	Amount
07/20/01	CONSULTING & ADVISORY SERVICES FROM 07/01/01 TO 09/30/01		623.68

Money funds activity

Opening money funds balance $ 2,868.18

Date	Activity	Description	Amount
07/02/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-240.21
07/09/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	1.83
07/10/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	25.48
07/11/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	31.80
07/13/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	1,207.55
07/16/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	9.57

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
07/17/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	2,818.18
07/20/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-3,212.26
07/23/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-1,634.45
07/26/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-10.53
07/30/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	60.83
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	16.45
		Closing balance	$ 2,060.42

(b)(6), (b)(7)(C)

Account number (b)(6), (b)(7)(C)

Earnings details

The tax status of earnings is reliable to the best of our knowledge. Taxable and non-taxable designations refer to the federal income tax status of your securities, not of your account.

Dividends

Date	Description	Comment	Taxable	Non-taxable	Amount
07/02/01	ALLSTATE CORP	CASH DIV ON 90.0000 SHS	$ 17.10		$ 17.10
07/02/01	BANK ONE CORP COM	CASH DIV ON 70.0000 SHS	14.70		14.70
07/02/01	ENI SPA SPONSORED ADR	FOREIGN TAX W/HELD $ 19.50 CASH DIV ON 40.0000 SHS TAX HELD BY FGN GOVTS 19.50	72.21		52.71
07/02/01	EASTMAN KODAK CO	CASH DIV ON 60.0000 SHS	26.40		26.40
07/06/01	AMERICA MOVIL SA DE CV, MEXICO-MXN SPONS ADR SER L	FOREIGN TAX W/HELD $ 0.15 CASH DIV ON 90.0000 SHS TAX HELD BY FGN GOVTS .15	1.98		1.83
07/09/01	BANK OF TOKYO MITSUBISHI ADR-USD	FOREIGN TAX W/HELD $ 0.82 CASH DIV ON – 160.0000 SHS TAX HELD BY FGN GOVTS .82	5.44		4.62
07/09/01	HITACHI LTD-ADR-10 COM-NEW USD	FOREIGN TAX W/HELD $ 0.99 CASH DIV ON 15.0000 SHS TAX HELD BY FGN GOVTS .99	6.61		5.62
07/09/01	NIPPON TELEPHONE & TELEGRAPH CORP ADR RPSTG 1/200 OF ORD SH -USD-	FOREIGN TAX W/HELD $ 0.90 CASH DIV ON 60.0000 SHS TAX HELD BY FGN GOVTS .90	6.01		5.11
07/09/01	TOKIO MARINE & FIRE INSURANCE ADR (NEW)	FOREIGN TAX W/HELD $ 1.79 CASH DIV ON 35.0000 SHS TAX HELD BY FGN GOVTS 1.79	11.92		10.13
07/10/01	PHILIP MORRIS COS INC	CASH DIV ON 60.0000 SHS	31.80		31.80
07/12/01	TELECOMUNICACOES BRASILEIRAS SA TELEBRAS *TELB-BRL	FOREIGN TAX W/HELD $ 1.04 CASH DIV ON 35.0000 SHS RECORD 12/28/00 PAY 07/11/01 TAX HELD BY FGN GOVTS 1.04	6.80		5.76
07/12/01	TELECOMUNICACOES BRASILEIRAS SA TELEBRAS *TELB-BRL	FOREIGN TAX W/HELD $ 0.02 CASH DIV ON 35.0000 SHS RECORD 12/29/00 PAY 07/10/01 TAX HELD BY FGN GOVTS .02	.11		.09
07/13/01	TELECOMUNICACOES BRASILEIRAS SA TELEBRAS *TELB-BRL	CASH DIV ON 35.0000 SHS RECORD 05/09/01 PAY 07/12/01 TAX HELD BY FGN GOVTS .00	9.57		9.57
07/16/01	IBP INC	CASH DIV ON 110.0000 SHS	2.75		2.75
07/16/01	MOTOROLA INC DE	CASH DIV ON 120.0000 SHS	4.80		4.80
07/18/01	TELECOMUNICACOES BRASILEIRAS SA TELEBRAS *TELB-BRL*	CASH DIV ON 35.0000 SHS TAX HELD BY FGN GOVTS .00	.42		.42
07/23/01	REPSOL S A SPONSORED ADR -USD-	FOREIGN TAX W/HELD $ 3.61 CASH DIV ON 50.0000 SHS TAX HELD BY FGN GOVTS 3.61	14.42		10.81

Preferred Client Statement
July 1 - July 31, 2001

Ref: (b)(6), (b)(7)(C)

(b)(6), (b)(7)(C) Account number (b)(6), (b)(7)(C)

Dividends *continued*

Date	Description	Comment	Taxable	Non-taxable	Amount
07/23/01	SAFECO CORP	CASH DIV ON 60.0000 SHS	$ 11.10		$ 11.10
07/23/01	TELECOMUNICACOES BRASILEIRAS SA TELEBRAS *TELB-BRL	CASH DIV ON 35.0000 SHS RECORD 05/02/01 PAY 07/20/01 TAX HELD BY FGN GOVTS .00	2.73		2.73
07/25/01	TELECOMUNICACOES BRASILEIRAS SA TELEBRAS *TELB-BRL	FOREIGN TAX W/HELD $ 0.05 CASH DIV ON 35.0000 SHS RECORD 12/29/00 PAY 07/19/01 TAX HELD BY FGN GOVTS .05	.33		.28
07/26/01	REPSOL S A SPONSORED ADR -USD-	FOREIGN TAX W/HELD $ 3.81 REV DIV ON 50.0000 SHS TAX HELD BY FGN GOVTS 3.81	-14.42		-10.61
07/27/01	MARKS & SPENCER LTD SPONSORED ADR -USD-	FOREIGN TAX W/HELD $ 5.55 CASH DIV ON 110.0000 SHS TAX HELD BY FGN GOVTS 5.55	55.45		49.90
07/27/01	REPSOL S A SPONSORED ADR -USD-	FOREIGN TAX W/HELD $ 2.37 CASH DIV ON 50.0000 SHS RECORD 07/11/01 PAY 07/23/01 TAX HELD BY FGN GOVTS 2.37	13.19		10.82
07/27/01	TELECOMUNICACOES BRASILEIRAS SA TELEBRAS *TELB-BRL	CASH DIV ON 35.0000 SHS RECORD 04/30/01 PAY 07/25/01 TAX HELD BY FGN GOVTS .00	.11		.11
07/31/01	GREAT LAKES CHEMICAL CORP	CASH DIV ON 55.0000 SHS	4.40		4.40
07/31/01	ZURICH FINANCIAL SERVICES SPONS ADR	FOREIGN TAX W/HELD $ 7.68 CASH DIV ON 54.0000 SHS TAX HELD BY FGN GOVTS 7.68	51.17		43.49
Total dividends credited to account					$ 316.24
FRGN tax withheld					40.86
Total dividends earned			$ 357.10	$ 0.00	$ 357.10

Money funds earnings

Date	Description	Comment	Taxable	Non-taxable	Amount
07/13/01	SB MONEY FUNDS CASH PORT CL A	REINVESTED FOR PERIOD 06/11/01-07/15/01 35 DAYS AVERAGE YIELD 3.75 %.	$ 16.45		$ 16.45
Total earnings from money funds			$ 16.45	$ 0.00	$ 16.45

Gain/loss details

Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor. Trades are allocated using the FIFO (first in-first out) method. Day traders should therefore not rely on this section for day trading results.

Realized gain or loss

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)	
ALLSTATE CORP We acted as your agent in this transaction.	12/09/99	06/05/01 Sold	75	$ 26.875	$ 43.276	$ 2,015.63	$ 3,245.76	$ 1,230.13	LT
	02/16/00	06/05/01 Sold	15	21.562	43.276	323.74	649.15	325.41	LT
	Total		90			$ 2,339.37	$ 3,894.91	$ 1,555.54	
DE BEERS CONS MINES LTD: ADR FOR DEF REGD RAND .05 PV	12/09/99	05/11/01 Sold	55	$ 28.375	$ 42.764	$ 1,560.63	$ 2,351.98	$ 791.35	LT
ENTERGY CORPORATION-NEW	12/09/99	04/12/01 Sold	60	25.562	38.535	1,533.75	2,312.03	778.28	LT
EXELON CORP	12/09/99	04/24/01 Sold	35	35.928	69.547	1,257.49	2,434.09	1,176.60	LT
IBP INC We acted as your agent in this transaction.	12/09/99	07/11/01 Sold	80	19.125	25.53	1,530.00	2,042.33	512.33	LT
	04/30/01	07/11/01 Sold	30	15.999	25.53	480.00	765.88	285.88	ST
	Total		110			$ 2,010.00	$ 2,808.21	$ 798.21	
ING GROEP NV SPONS ADR	12/09/99	04/24/01 Sold	35	$ 57.875	$ 66.796	$ 2,025.63	$ 2,337.81	$ 312.18	LT
PHILIP MORRIS COS INC	12/09/99	01/30/01 Sold	20	24.375	44.667	487.50	893.32	405.82	LT
POWERGEN PLC SPONSORED ADR FINAL INSTALMENT We acted as your agent in this transaction.	12/09/99	06/04/01 Sold	65	31.75	40.348	2,063.75	2,622.43	558.68	LT
TOYS R US INC	12/09/99	02/14/01 Sold	20	15.50	26.007	310.00	520.12	210.12	LT

Ref: (b)(6), (b)(7)(C)

Preferred Client Statement
July 1 - July 31, 2001

(b)(6), (b)(7)(C) Account number (b)(6), (b)(7)(C)

Realized gain or loss
continued

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)
WASTE MGMT INC DEL We acted as your agent in this transaction.	12/09/99	07/09/01 Sold	40	$ 15.562	$ 30.043	$ 622.50	$ 1,201.70	$ 579.20 LT
Total Long Term this period								**$ 1,091.53**
Total Short Term this period								**$ 285.88**
Total realized gain or (loss) - this period						**$ 2,632.50**	**$ 4,009.91**	**$ 1,377.41**
Total Long Term - year-to-date								**$ 6,880.10**
Total Short Term - year-to-date								**$ 285.88**
Total realized gain or (loss) - year-to-date						**$ 14,210.62**	**$ 21,376.60**	**$ 7,165.98**

Message: *We have available at no cost brochures describing our investment advisory services and those of any other investment advisors managing your account. If you would like copies, please ask your Salomon Smith Barney Financial Consultant or Salomon Smith Barney Portfolio Manager.*

Message: *Please contact your Salomon Smith Barney Financial Consultant or Salomon Smith Barney Portfolio Manager if there have been any changes in your financial situation or investment objective, or if you wish to impose any restrictions or modify existing restrictions on the management of your account.*

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Ref: (b)(6), (b)(7)(C)

Preferred Client Statement

August 1 - August 31, 2001

104H018020436900000290IP 301243MM01 INADB001A
BRANDES INVESTMENT PARTNERS
11988 EL CAMINO REAL
SUITE 500
SAN DIEGO CA 92130-2594

12

Account number (b)(6), (b)(7)(C)

SALOMON SMITH BARNEY INC.
Your Financial Consultant
(b)(6), (b)(7)(C)
200 CRESCENT COURT
SUITE 900
DALLAS TX 75201
(b)(6), (b)(7)(C)
Preferred Client Service Center: 800-232-4454

Email: (b)(6), (b)(7)(C)

Copies of this statement have also been sent to:

BRANDES INVESTMENT PARTNERS

Copy for the account of: (b)(6), (b)(7)(C) MGD- BRANDES/GLOBAL EQUITY (b)(6), (b)(7)(C)

Account value

	Last period	This period	%
Cash balance	$ 47.89	$ 1,583.86	1.33
Money funds	2,060.42	2,202.96	1.85
Accrued money fund dividends	5.85	4.17	
Common stocks & options	120,347.10	115,507.40	96.82
Net value	$ 122,461.26	$ 119,298.09	100

Earnings summary

	This period	This year Taxable	This year Non-taxable
Dividends	$ 94.79	$ 2,089.97	$ 0.00
Money funds earnings	8.15	103.74	0.00
Total	$ 102.94	$ 2,193.71	$ 0.00

Additional summary information

	This period	This year
FRGN tax withheld	$ 4.00	$ 129.06

Gain/loss summary

	This period	This year
Realized gain or (loss)	$ 781.77	$ 7,661.87 LT $ 285.88 ST
Unrealized gain or (loss)	304.72	*Not applicable*

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Important Statement Information

Salomon Smith Barney is a service mark of Salomon Smith Barney Inc.

All dates of transactions appearing on this statement are settlement dates. Information with regard to commission and other charges incurred in connection with the execution of transactions for your account is included in confirmations of these transactions previously furnished to you. This information will be made available to you promptly upon request.

Promptly advise us of any material change in your investment objectives or financial situation.

If your Client Statement indicates a security was delivered to you or your designated representative, and it was not received within three weeks, you must notify your branch immediately. If you fail to notify your branch within five months of the statement delivery date, Salomon Smith Barney Inc. will not be responsible for cost of posting a replacement bond.

All checks written for deposit to your account must be made payable to Salomon Smith Barney Inc. Checks may not be made payable to Salomon Smith Barney employees.

If you believe your statement is not correct, you must, within ten (10) days, contact either the Manager of the branch servicing your account or Salomon Smith Barney Inc., Attention: Compliance Department, 7 World Trade Center, 30th Floor, New York, NY 10048.

Sweep Transactions
With the exception of initial transactions, for which you will receive a confirmation, **whereby cash is "swept" into a Money Market Fund Portfolio or a Depository Institution under either the IDA Program or Bank Deposit Program, all subsequent transactions will be reflected on your client statement in lieu of a confirmation.**

Amortization and accretion
Both amortization of bond premiums and accretion of OID income are calculated using the constant yield method. If an election to amortize the premium on a taxable bond is not made, a capital loss is realized upon disposition. Unrealized or Realized gains and losses have been adjusted to account for the accretion of OID, the amortization of premium, and/or the accretion of market discount. Any gain will generally be taxed as ordinary interest income to the extent of the amount of market discount that accrued during the time the bond is held. This amount is shown separate and distinct from the capital gain portion of the total gain. An election may be made to report the accrued discount annually instead of in the year of disposition. Foreign debt securities that are not traded in U.S. dollars will not be adjusted.

Called issues
Call features shown indicate the next regularly scheduled call date and price. Your holdings may be subject to other redemption features including sinking funds or extraordinary calls. All securities held by Salomon Smith Barney Inc., but which are not registered in your name, are commingled with identical securities being held for other clients. In the event any securities so held are "called" by the issuer, Salomon Smith Barney Inc. will determine the beneficial ownership thereof by an impartial random selection system as required by New York Stock Exchange rules. Unless registered in the name of your Qualified Plan, securities belonging to your Qualified Plan will be held by Salomon Smith Barney Inc. with identical securities belonging to other clients. Such securities will not, however, be commingled for investment with any other securities.

Bank Deposit Program and Insured Deposit Account
Cash in each of your deposit accounts at the Depository Institutions participating in these Programs are insured by the Federal Deposit Insurance Corporation (FDIC) to a total of $100,000 per depositor in each insurable capacity.

Certificates of deposit
Certificates of deposit are federally insured to $100,000 combined pursuant to FDIC rules, principal and interest. Zero Coupon Certificates of deposit are FDIC insured only to their accreted value up to $100,000 per depositor in each insurable capacity. Certificates of deposit are carried at face amount and do not reflect accrued or unpaid interest. If Certificates of deposit or other fixed income securities are sold prior to maturity, the proceeds may be more or less than the face amount depending upon market conditions. Accreted value may be higher or lower than current market value.

Credit balances
A free credit balance in any securities account may be paid to you on demand. Although properly accounted for on our books and records, these funds may be used for our business purposes.

Dividend Yield
Dividend yield is the estimated annual income, assuming the current dividend, divided by the security's market price at the end of the statement period. Current dividend for mutual funds not sponsored by Salomon Smith Barney is based on information provided by an outside vendor and is not verified by Salomon Smith Barney.

Market Values
Generally, the market values of securities have been obtained from various quotation services, whose appraisals are based either on the closing prices, the mean between the bid and asking price, or a matrix based on interest rates for similar securities (pricing may reflect round lot/odd lot differentials). Where prices are not available from quotation services, Salomon Smith Barney Inc. may use such prices which in its judgment reflect the market prices of the securities. In either case, Salomon Smith Barney Inc. does not guarantee the accuracy of such prices. These prices should not be considered to constitute firm bids or offers and may be subject to fluctuations in market conditions. Mutual funds shares are valued at their net asset value as of the last day of the statement period. If a more current valuation is necessary, please contact your Financial Consultant.

TAX WITHHOLDING NOTICE
IRA, SEP & SIMPLE-IRA account distribution payments:
If you have made withdrawals from this account (including IRA checks you may have written) and have elected not to have taxes withheld, or if not enough taxes were withheld, you may be responsible for the payment of quarterly estimated tax. You may incur penalties under the estimated tax rules if your withholding and estimated tax payments are insufficient. See IRS Publication 505, Tax Withholding and Estimated Tax or your tax advisor. Each time you wish to have taxes withheld for IRA checks you have written, you must complete a distribution form specifying the dollar amount of taxes to be withheld. Contact your Salomon Smith Barney Financial Consultant if you wish to make, change or revoke a withholding election.

Roth and Education IRA distribution payments:
Withdrawals made from Roth and Education IRAs which meet certain criteria generally are not subject to federal income tax, therefore, no tax withholding is required.

Keogh and 403(b) plan distribution payments:
Federal tax laws require that 20% federal income tax be withheld from certain eligible rollover distributions from this account. Distributions may also be subject to required state tax withholding. For distributions where withholding is not required, you may elect NOT to have federal or state withholding apply. However, you may be responsible for payment of quarterly estimated tax. You may incur penalties under the estimated tax rules if your withholding and estimated tax payments are insufficient. Contact your Financial Consultant if you wish to make, change or revoke a withholding election.

Research ratings of Salomon Smith Barney, Standard and Poor's, and Moody's Investors Service may be shown for certain securities. All research ratings represent the "opinions" of the research provider and should not be construed as representations or guarantees of performance. The Robinson-Humphrey Company, LLC, a wholly owned subsidiary of Salomon Smith Barney, may carry ratings on securities which differ with those of Salomon Smith Barney. The Robinson-Humphrey research ratings are not reflected on this statement. Your Financial Consultant will be pleased to provide you with further information or assistance in interpreting research ratings.

KEY TO SALOMON SMITH BARNEY RESEARCH RATING SYSTEM

STOCK RATING Risk Description *(denoted by the letter)*

	Predictability of earnings/dividends: Price Volatility
L. Low Risk	High predictability: Low Volatility
M. Moderate Risk	Moderate predictability: Volatility
H. High Risk	Low predictability: High Volatility
S. Speculative	Exceptionally low predictability: highest risk
V. Venture	Risk and return consistent with venture capital: only for well-diversified portfolios.

Performance (denoted by the number)

Rating/ Recommendation	Total Return (Capital Gain/Loss Plus Dividends) Expected Over the Next 12-18 Months			
	Low Risk	Moderate Risk	High Risk	Speculative
1. Buy	Over 15 %	Over 20%	Over 25%	Over 30%
2. Outperform	+5% to+15%	+5% to+20%	+10% to+25%	+10% to+30%
3. Neutral	-5% to+5%	-5% to+5%	-10% to+10%	-10% to+10%
4. Underperform	-5% to-15%	-5% to-15%	-10% to-20%	-10% to-20%
5. Sell	-15% or Worse	-15% or Worse	-20% or Worse	-20% or Worse

Closed-End Investment Companies

Risk Description *(denoted by the letter)*

Degree of Risk	Goal of Fund
L. Low Risk	Capital preservation: conservative income
M. Moderate Risk	Conservative growth or moderate current income
H. High Risk	Aggressive growth/capital appreciation or high income
A. Aggressive	Maximum return potential (possibly entailing high price volatility)

Performance (denoted by the number)

Rating/Recommendation	
1. Buy	Aggressive buy recommendation
2. Accumulate	Buy recommendation
3. Hold	Hold without additional purchases at this time
4. Avoid	Not recommended
5. Sell	Sell recommended

Member of Securities Investor Protection Corporation (SIPC).
Salomon Smith Barney is a member of SIPC. Assets in your account are protected by SIPC up to $500,000, of which $100,000 may be cash. In addition to the coverage provided by SIPC, assets of all accounts held at Salomon Smith Barney in "street name" are protected up to the full net equity value of the assets held in those accounts as a result of Salomon Smith Barney having purchased additional SIPC-like protection from Gulf Insurance Company (a wholly-owned subsidiary of Citigroup Inc., the ultimate parent company of Salomon Smith Barney) and Asset Guarantee Insurance Company. For assets up to $50,000,000, Salomon Smith Barney provides supplemental protection of up to $49,500,000 through Gulf Insurance Company ($1,000,000 cash limitation). For assets over $50,000,000, Salomon Smith Barney has purchased up to an additional $100,000,000 in excess protection from Asset Guarantee Insurance Company ($1,000,000 cash limitation). For assets above $150,000,000, excess protection is provided through Gulf Insurance Company ($1,000,000 cash limitation). All coverage is provided at no cost to you. Protection will apply only to securities and cash on deposit in "street name" in securities accounts. Commodities and futures accounts are not covered. Repurchase and reverse repurchase transactions, as well as, securities lending and borrowing transactions, may not be covered. Cash that you have on deposit at Depository Institutions through the Bank Deposit Program or the IDA or from purchases of Certificates of Deposit through Salomon Smith Barney are insured by the FDIC rather than SIPC. Please ask your Financial Consultant for further information.

Ref: (b)(6), (b)(7)(C)

Preferred Client Statement
August 1 - August 31, 2001

(b)(6), (b)(7)(C)

Account number (b)(6), (b)(7)(C)

Cash, Money funds and Bank deposits

	This period	This year
Opening balance	$ 2,106.31	
Securities bought and other subtractions	0.00	
Securities sold and other additions	1,579.27	
Deposits	0.00	40.74
Withdrawals	0.00	-1,848.52
Dividends credited	90.79	
Money funds earnings reinvested	8.15	
Closing balance	$ 3,786.52	

Portfolio summary

	This period	Year-to-date as of 03/01
Opening value of securities	122,413.37	125,675.29
+ Opening cash balance	47.89	0.00
= Opening portfolio balance	122,461.26	125,675.29
Securities deposited/withdrawn net	0.00	0.00
Capital deposited/withdrawn net	0.00	-1,222.73
Adjusted opening value	122,461.26	124,452.56
Closing value of securities	117,714.23	117,714.23
+ Closing cash balance	1,583.86	1,583.86
= Closing portfolio value	119,298.09	119,298.09

Note: Securities deposited/withdrawn net = The value of securities on the day they were debited from or credited to the account as reflected in the "Other security activity" section.
Capital deposited/withdrawn net = Cash withdrawals and deposits, credit card payments, FMA Card activity, checks written, and Money funds/Insured Deposit Account[SM] transfers.

Portfolio details

The values of your holdings are as of 08/31/01. Please note, unrealized gain/(loss) is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Money funds

Number of shares	Description	Current value	Accrued dividends	Annualized % dividend Yield/Anticipated income (annualized)
2,202.66	SB MONEY FUNDS CASH PORT CL A	$ 2,202.66	$ 4.17	3.19 % $ 70.26
Total money funds		$ 2,202.66	$ 4.17	3.18 $ 70.26

Common stocks & options

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated income (annualized)
65	AIR PRODUCTS'& CHEMICALS INC SYMBOL: APD/RATING: A-	12/09/99	$ 2,019.06	$ 31.062	$ 42.40	$ 2,756.00	$ 736.94	LT	1.886 % $ 52.00
15	ALCATEL SA ADR SYMBOL: ALA	05/25/01	414.68	27.645	15.60	234.00	(180.68)	ST	2.32 5.43
40	AMERICA MOVIL SA DE CV, MEXICO-MXN SPONS ADR SER L SYMBOL: AMX	12/09/99	618.57	20.464	16.84	673.60	(144.97)	LT	
20		06/08/00	398.89	19.849	16.84	336.80	(62.18)	LT	
30		04/30/01	552.34	18.411	16.84	505.20	(47.14)	ST	
90			1,789.90	19.888		1,515.60	(254.30)		.362 5.49

(b)(6), (b)(7)(C)

Account number (b)(6), (b)(7)(C)

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Shares cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated income (annualized)
204	ARCHER-DANIELS-MIDLAND CO SYMBOL: ADM/RATING: B+	12/09/99	$ 2,537.86	$ 12.486	$ 13.43	$ 2,739.72	$ 201.86	LT	1.469 % $ 40.80
180	AVAYA INC SYMBOL: AV	01/16/01	2,861.26	15.895	11.36	2,044.80	(816.46)	ST	
100	BAE SYSTEMS PLC SPON ADR SYMBOL: BAESY	04/18/01	2,005.11	20.051	19.161	1,916.10	(89.01)	ST	2.505 48.00
30	BASF AG SPONS ADR SYMBOL: BF	12/09/99	1,410.00	47.00	41.08	1,232.40	(177.60)	LT	
45	BANK ONE CORP COM SYMBOL: ONE/RATING: A-	01/18/00	1,420.31	31.562	34.69	1,561.05	140.74	LT	
25		03/28/00	839.06	33.562	34.69	867.25	28.19	LT	
70			2,259.37	32.277		2,428.30	168.93		2.421 58.80
10	BRASIL TELECOM PARTICIPACO SA SPONSORED ADR REPSTG PFD SH SYMBOL: BRP	06/27/01	411.61	41.16	29.20	292.00	(119.61)	ST	
45		07/18/01	1,659.09	36.868	29.20	1,314.00	(345.09)	ST	
55			2,070.70	37.649		1,606.00	(464.70)		2.773 44.55
170	BRITISH AMERICAN TOBACCO PLC ADR-GBP SYMBOL: BTI Exchange rate: 1.4541500 Shares traded in: Pound sterling	12/09/99	2,029.38	11.937	17.40	2,958.00	928.62	LT	
25		09/26/00	301.35	12.054	17.40	435.00	133.65	ST	
195			2,330.73	11.952		3,393.00	1,062.27		4.741 160.88
15	BRITISH TELECOM PLC ADR FULLY PAID SHS SYMBOL: BTY	07/31/00	1,948.77	129.918	62.61	939.15	(1,009.62)	LT	
5		08/15/00	638.75	127.75	62.61	313.05	(325.70)	LT	
5		11/14/00	519.24	103.847	62.61	313.05	(206.19)	ST	
5		03/13/01	399.20	79.84	62.61	313.05	(86.15)	ST	
10		06/19/01	615.76	61.575	62.61	626.10	10.34	ST	
9		06/20/01	381.69	42.432	62.61	563.49	181.80	ST	
49			4,503.61	91.91		3,067.89	(1,435.72)		4.94 151.56
205	CENTRAIS ELETRICAS BRASILEIRAS SP ADR SA REP COM -USD- SYMBOL: CAIFY	12/09/99	2,024.38	9.875	7.056	1,446.48	(577.90)	LT	3.794 54.74

Ref: (b)(6), (b)(7)(C)

Preferred Client Statement
August 1 - August 31, 2001

(b)(6), (b)(7)(C) Account number (b)(6), (b)(7)(C)

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
120	CONAGRA FOODS INC	03/07/00	$ 1,864.73	$ 15.539	$ 22.95	$ 2,754.00	$ 889.27	LT	
25	SYMBOL: CAG/RATING: A	04/30/01	522.17	20.886	22.95	573.75	51.58	ST	
145			2,388.90	16.461		3,327.75	940.85		3.921
									130.50
45	DEUTSCHE TELEKOM AG SPON ADR	09/20/00	1,591.85	35.374	15.55	699.75	(892.10)	ST	
15	SYMBOL: DT	02/12/01	446.29	29.752	15.55	233.25	(213.04)	ST	
25		05/21/01	570.22	22.808	15.55	388.75	(181.47)	ST	
85			2,608.36	30.687		1,321.75	(1,286.61)		2.514
									33.24
60	DIAGEO PLC SPONSORED ADR NEW	12/09/99	2,096.25	34.937	40.59	2,435.40	339.15	LT	
30	SYMBOL: DEO	06/08/00	1,046.25	34.875	40.59	1,217.70	171.45	LT	
90			3,142.50	34.917		3,653.10	510.60		3.027
									110.61
30	ENI SPA SPONSORED ADR	12/09/99	1,591.88	53.062	67.40	2,022.00	430.12	LT	
10	SYMBOL: E	08/18/00	604.87	60.486	67.40	674.00	69.13	LT	
40			2,196.75	54.919		2,696.00	499.25		1.955
									52.72
60	EASTMAN KODAK CO	10/24/00	2,448.23	40.803	44.67	2,680.20	231.97	ST	3.84
	SYMBOL: EK/RATING: B+								105.60
70	GOODYEAR TIRE & RUBBER CO	12/09/99	1,990.63	28.437	24.50	1,715.00	(275.63)	LT	
25	SYMBOL: GT/RATING: B+	07/10/00	541.43	21.657	24.50	612.50	71.07	LT	
95			2,532.06	26.653		2,327.50	(204.56)		4.897
									114.00
40	GREAT LAKES CHEMICAL CORP	12/09/99	1,487.50	37.187	24.95	998.00	(489.50)	LT	
15	SYMBOL: GLK/RATING: A-	09/14/00	484.24	32.282	24.95	374.25	(109.99)	ST	
55			1,971.74	35.85		1,372.25	(599.49)		1.282
									17.60
15	HITACHI LTD-ADR-10 COM-NEW USD	12/09/99	2,058.75	137.25	80.05	1,200.75	(858.00)	LT	.99
	SYMBOL: HIT								11.90
150	INVENSYS PLC SPONS ADR	12/09/99	1,481.25	9.875	2.84	396.00	(1,085.25)	LT	
280	SYMBOL: IVNSY	10/24/00	1,218.62	4.352	2.84	739.20	(479.42)	ST	
430	Exchange rate: 1.4541500		2,699.87	6.279		1,135.20	(1,564.67)		7.386
	Shares traded in: Pound sterling								83.85

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
400	JARDINE STRATEGIC HLDGS LTD SPONSORED ADR SYMBOL: JDSHY	01/07/00	$ 1,583.92	$ 3.959	$ 5.56	$ 2,224.00	$ 640.08	LT	4.766% $ 106.00
95	LOCKHEED MARTIN CORP SYMBOL: LMT/RATING: B	12/09/99	1,864.07	19.937	39.66	3,768.70	1,892.63	LT	1.103 41.80
50	LOEWS CORP SYMBOL: LTR/RATING: B	12/09/99	1,559.38	31.187	48.82	2,441.00	881.62	LT	1.229 30.00
55	LUBRIZOL CORP SYMBOL: LZ/RATING: B+	12/09/99	1,546.88	28.125	35.98	1,978.90	432.02	LT	2.89 57.20
85	MARKS & SPENCER LTD SPONSORED ADR -USD- SYMBOL: MASPY	12/09/99	2,210.00	26.00	23.563	2,002.86	(207.14)	LT	
25		07/26/00	519.26	20.77	23.563	589.08	69.82	LT	
110			2,729.26	24.811		2,591.94	(137.32)		3.31 85.80
150	MATSUSHITA ELEC INDL ADR SYMBOL: MC	06/06/01	2,688.32	17.922	15.06	2,259.00	(429.32)	ST	.597 13.50
25	MCDONALDS CORP SYMBOL: MCD/RATING: A+	07/17/01	689.32	27.572	30.03	750.75	61.43	ST	.715 5.38
30	MERCK & CO INC SYMBOL: MRK/RATING: A+	07/17/01	1,899.28	63.309	65.10	1,953.00	53.72	ST	2.15 42.00
120	MITSUBISHI TOKYO FINANCIAL GRO SPONS ADR-JPY SYMBOL: MTF	10/18/00	1,457.59	12.146	8.46	1,017.60	(439.99)	ST	
40		10/25/00	477.73	11.943	8.46	338.20	(139.53)	ST	
160			1,935.32	12.096		1,356.80	(578.52)		.719 9.76
120	MOTOROLA INC DE SYMBOL: MOT/RATING: A	04/25/01	1,783.82	14.863	17.40	2,088.00	304.38	ST	.919 19.20
50	NIPPON TELEPHONE & TELEGRAPH CORP ADR RPSTG 1/200 OF ORD SH -USD- SYMBOL: NTT	10/26/00	2,353.39	47.067	22.59	1,129.50	(1,223.89)	ST	
10		11/21/00	419.29	41.929	22.59	225.90	(193.39)	ST	
75		06/12/01	2,166.71	28.889	22.59	1,694.25	(472.46)	ST	
135			4,939.39	36.588		3,049.65	(1,889.74)		.792 24.17
75	P G & E CORPORATION SYMBOL: PCG/RATING: B	01/04/00	1,552.40	20.698	16.40	1,230.00	(322.40)	LT	

Ref: (b)(6), (b)(7)(C)

Preferred Client Statement
August 1 - August 31, 2001

Account number (b)(6), (b)(7)(C)

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated income (annualized)
65	PETROLEO BRASILEIRO SA ADR SYMBOL: PBRA	12/09/99	$ 1,397.50	$ 21.50	$ 21.41	$ 1,391.65	($ 5.85)	LT	6.735% $ 93.73
60	PHILIP MORRIS COS INC SYMBOL: MO/RATING: A	12/09/99	1,462.50	24.375	47.40	2,844.00	1,381.50	LT	4.894 139.20
105	RAYTHEON COMPANY NEW SYMBOL: RTN	12/09/99	3,051.56	29.062	26.29	2,760.45	(291.11)	LT	
80		01/19/00	1,172.47	19.541	26.29	1,577.40	404.93	LT	
185			4,224.03	25.60		4,337.85	113.82		3.042 132.00
50	REPSOL S A SPONSORED ADR -USD- SYMBOL: REP	05/08/01	910.91	18.218	16.91	845.50	(65.41)	ST	2.14 18.10
40	SBC COMMUNICATIONS INC SYMBOL: SBC/RATING: A-	02/16/00	1,590.00	39.75	40.91	1,636.40	46.40	LT	
20		07/25/00	879.60	43.98	40.91	818.20	(61.40)	LT	
10		06/15/00	424.38	42.437	40.91	409.10	(15.28)	LT	
70			2,893.98	41.343		2,863.70	(30.28)		2.505 71.75
60	SAFECO CORP SYMBOL: SAFC/RATING: B	12/09/99	1,410.00	23.50	30.08	1,804.80	394.80	LT	2.46 44.40
215	SERVICE CORP INTERNATIONAL SYMBOL: SRV/RATING: C	12/09/99	1,505.00	7.00	6.93	1,489.95	(15.05)	LT	
70	SHERWIN WILLIAMS CO SYMBOL: SHW/RATING: A	12/09/99	1,465.63	20.937	22.65	1,585.50	119.87	LT	2.56 40.60
125	SPRINT CORP SYMBOL: FON/RATING: B	06/20/01	2,499.90	19.999	23.34	2,917.50	417.60	ST	2.142 62.50
235	SWIRE PACIFIC LTD SPONS ADR REPSTG 1 CL A SHS SYMBOL: SWRAY	12/09/99	1,556.89	6.625	4.859	1,141.87	(415.01)	LT	2.634 30.08
20	TELECOMUNICACOES BRASILEIRAS SA TELEBRAS *TELB-BRL SYMBOL: TBH	12/09/99	871.90	43.595	32.76	655.20	(216.70)	LT	
15		12/14/00	1,075.23	71.682	32.76	491.40	(583.83)	ST	
35			1,947.13	55.632		1,146.60	(800.53)		2.184 25.17
16.0759	TELEFONICA S.A. SPONS ADR SYMBOL: TEF	12/09/99	758.33	47.586	35.25	566.68	(191.65)	LT	
31.0716		07/12/00	1,927.76	62.456	35.25	1,095.27	(832.49)	LT	

Preferred Client Statement
August 1 - August 31, 2001

Re: (b)(6), (b)(7)(C)

Account number (b)(6), (b)(7)(C)

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
10.8525	TELEFONICA S.A.	07/12/00	$ 673.32	$ 62.456	$ 35.25	$ 382.55	($ 290.77)	LT	
58	SPONS ADR SYMBOL: TEF		3,359.41	57.921		2,044.50	(1,314.91)		
40	TELEFONOS DE MEXICO S A	12/09/99	1,331.43	33.285	36.50	1,460.00	128.57	LT	
20	SPONSORED ADR REPSTG 5H SR L	06/09/00	648.98	32.449	36.50	730.00	81.02	LT	
15	SYMBOL: TMX	03/06/01	506.54	33.769	36.50	547.50	40.96	ST	
75			2,486.95	33.159		2,737.50	250.55		2.80 71.18
35	TOKIO MARINE & FIRE INSURANCE ADR (NEW) SYMBOL: TKIOY	12/09/99	2,081.25	59.75	52.11	1,823.85	(257.40)	LT	.564 10.12
110	TOYS R US INC SYMBOL: TOY/RATING: B	12/09/99	1,705.00	15.50	23.93	2,632.30	927.30	LT	
60	UST INC	12/09/99	1,507.50	25.125	33.00	1,980.00	472.50	LT	
35	SYMBOL: UST/RATING: A+	07/11/00	534.41	15.268	33.00	1,155.00	620.59	LT	
95			2,041.91	21.494		3,135.00	1,093.09		5.575 174.80
60	UNILEVER PLC SPONS ADR NEW	12/14/99	1,582.15	26.369	34.40	2,064.00	481.85	LT	
60	-USD	07/12/00	1,480.92	24.682	34.40	2,064.00	583.08	LT	
120	SYMBOL: UL		3,063.07	25.526		4,128.00	1,064.93		2.194 90.60
135	UNISYS CORP SYMBOL: UIS/RATING: B-	10/24/00	1,650.50	12.225	11.82	1,595.70	(54.80)	ST	
120	WASTE MGMT INC DEL SYMBOL: WMI/RATING: C	12/09/99	1,867.50	15.562	30.93	3,711.60	1,844.10	LT	.032 1.20
39	ZURICH FINANCIAL SERVICES	12/09/99	2,082.50	53.397	28.25	1,101.75	(980.75)	LT	
15	SPONS ADR	04/25/01	528.15	35.21	28.25	423.75	(104.40)	ST	
54	SYMBOL: ZFSVY Exchange rate: .5894521 Shares traded in: Swiss francs		2,610.65	48.345		1,525.50	(1,085.15)		2.849 43.47
Total common stocks and options			$ 115,202.68			$ 115,607.40	($ 5,985.14)	ST	2.39
							$ 6,288.86	LT	$ 2,765.88
Total portfolio value			$ 117,406.34			$ 117,710.08	($ 5,985.14)	ST	2.40
							$ 6,288.86	LT	$ 2,836.24

Ref: (b)(6), (b)(7)(C)

Preferred Client Statement
August 1 - August 31, 2001

(b)(6), (b)(7)(C) Account number (b)(6), (b)(7)(C)

Transaction details

Investment activity

Date	Activity	Description	Quantity	Price	Amount
08/31/01	Sold	LOCKHEED MARTIN CORP We acted as your agent in this transaction.	-40	$ 39.483	$ 1,579.27
Total securities bought and other subtractions					**$ 0.00**
Total securities sold and other additions					**$ 1,579.27**

Money funds activity

		Opening money funds balance	$ 2,060.42
Date	Activity	Description	Amount
08/01/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	47.89
08/02/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	18.08
08/07/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	33.00

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
08/14/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	13.00
08/30/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	22.12
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	8.15
		Closing balance	**$ 2,202.66**

Earnings details

The tax status of earnings is reliable to the best of our knowledge. Taxable and non-taxable designations refer to the federal income tax status of your securities, not of your account.

Dividends

Date	Description	Comment	Taxable	Non-taxable	Amount
08/01/01	SBC COMMUNICATIONS INC	CASH DIV ON 70.0000 SHS	$ 17.94		$ 17.94
08/01/01	TELECOMUNICACOES BRASILEIRAS SA TELEBRAS *TELB-BRL	CASH DIV ON 35.0000 SHS TAX HELD BY FGN GOVTS .00	.14		.14
08/06/01	RAYTHEON COMPANY NEW	CASH DIV ON 165.0000 SHS	33.00		33.00
08/13/01	AIR PRODUCTS & CHEMICALS INC	CASH DIV ON 65.0000 SHS	13.00		13.00
08/29/01	PETROLEO BRASILEIRO SA ADR	FOREIGN TAX W/HELD $ 4.00 CASH DIV ON 65.0000 SHS TAX HELD BY FGN GOVTS 4.00	26.12		22.12
08/31/01	PETROLEO BRASILEIRO SA ADR	CASH DIV ON 65.0000 SHS TAX HELD BY FGN GOVTS .00	4.59		4.59
Total dividends credited to account					**$ 90.79**
FRGN tax withheld					**4.00**
Total dividends earned			**$ 94.79**	**$ 0.00**	**$ 94.79**

Money funds earnings

Date	Description	Comment	Taxable	Non-taxable	Amount
08/10/01	SB MONEY FUNDS CASH PORT CL A	REINVESTED FOR PERIOD 07/16/01-08/12/01 28 DAYS AVERAGE YIELD 3.36 %.	$ 8.15		$ 8.15
Total earnings from money funds			**$ 8.15**	**$ 0.00**	**$ 8.15**

Ref: (b)(6), (b)(7)(C)

Preferred Client Statement
August 1 - August 31, 2001

(b)(6), (b)(7)(C)

Account number (b)(6), (b)(7)(C)

Gain/loss details

Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor. Trades are allocated using the FIFO (first in-first out) method. Day traders should therefore not rely on this section for day trading results.

Realized gain or loss

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)	
ALLSTATE CORP We acted as your agent in this transaction.	12/09/99	06/05/01 Sold	75	$ 28.875	$ 43.278	$ 2,015.63	$ 3,245.76	$ 1,230.13	LT
	02/16/00	06/05/01 Sold	15	21.582	43.278	323.74	649.15	325.41	LT
	Total		**90**			**$ 2,339.37**	**$ 3,894.91**	**$ 1,555.54**	
DE BEERS CONS MINES LTD ADR FOR DEF REGD RAND .05 PV	12/09/99	05/11/01 Sold	55	$ 28.375	$ 42.764	$ 1,560.63	$ 2,351.98	$ 791.35	LT
ENTERGY CORPORATION-NEW	12/09/99	04/12/01 Sold	60	25.562	38.535	1,533.75	2,312.03	778.28	LT
EXELON CORP	12/09/99	04/24/01 Sold	35	35.926	69.547	1,257.49	2,434.09	1,176.60	LT
IBP INC We acted as your agent in this transaction.	12/09/99	07/11/01 Sold	80	19.125	25.53	1,530.00	2,042.33	512.33	LT
	04/30/01	07/11/01 Sold	30	15.999	25.53	480.00	765.88	285.88	ST
	Total		**110**			**$ 2,010.00**	**$ 2,808.21**	**$ 798.21**	
ING GROEP NV SPONS ADR	12/09/99	04/24/01 Sold	35	$ 57.875	$ 66.786	$ 2,025.63	$ 2,337.81	$ 312.18	LT
LOCKHEED MARTIN CORP We acted as your agent in this transaction.	12/09/99	08/28/01 Sold	40	19.937	39.463	797.50	1,579.27	781.77	LT
PHILIP MORRIS COS INC	12/09/99	01/30/01 Sold	20	24.375	44.667	487.50	893.32	405.82	LT
POWERGEN PLC SPONSORED ADR FINAL INSTALMENT We acted as your agent in this transaction.	12/09/99	06/04/01 Sold	65	31.75	40.346	2,063.75	2,622.43	558.68	LT
TOYS R US INC	12/09/99	02/14/01 Sold	20	15.50	26.007	310.00	520.12	210.12	LT

Ref: (b)(6), (b)(7)(C)

Preferred Client Statement
August 1 - August 31, 2001

(b)(6), (b)(7)(C)

Account number (b)(6), (b)(7)(C)

Realized gain or loss
continued

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)
WASTE MGMT INC DEL We acted as your agent In this transaction.	12/09/99	07/09/01 Sold	40	$ 15.562	$ 30.043	$ 622.50	$ 1,201.70	$ 579.20 LT
Total Long Term this period								**$ 781.77**
Total realized gain or (loss) - this period						**$ 797.50**	**$ 1,579.27**	**$ 781.77**
Total Long Term - year-to-date								**$ 7,661.97**
Total Short Term - year-to-date								**$ 285.88**
Total realized gain or (loss) - year-to-date						**$ 15,008.12**	**$ 22,955.87**	**$ 7,947.75**

Message: *We have available at no cost brochures describing our investment advisory services and those of any other investment advisors managing your account. If you would like copies, please ask your Salomon Smith Barney Financial Consultant or Salomon Smith Barney Portfolio Manager.*

Message: *Please contact your Salomon Smith Barney Financial Consultant or Salomon Smith Barney Portfolio Manager if there have been any changes in your financial situation or investment objective, or if you wish to impose any restrictions or modify existing restrictions on the management of your account.*

Commission des valeurs mobilières du Québec

Inspection and Investigation

September 27, 2001

CONFIDENTIAL
AND URGENT
BY FAX

(b)(6), (b)(7)(C)
Société en commandite Partenaires en Placement Brandes

Re: Request for information
Our ref.: S.E. 3472

Under the delegation of power prescribed in decision 2001-C-0091 of February 13, 2001, and in accordance with section 237 of the *Securities Act* (hereinafter cited as "the Act"), I request that you identify all the individuals among those enumerated in the appended list for whom accounts are active or were active for the period from August 1, 2001 to date, the balance to date for the said accounts and the name and coordinates of the trustee where the securities are held.

This information must reach us by fax at 514-873-4130 before September 28, 2001 at 5 p.m.

For all the individuals identified, we request that you provide us with the opening form or forms for the account or accounts, whether active or inactive, during the period from August 1, 2001 to date and the statements for that same period.

Please send me these documents before October 1, 2001 at 5 p.m.

ORDER:

Under section 245 of the Act, I issue an order prohibiting you from disclosing to anyone, except your attorney, any information related to this request, including the fact and a request for information has been addressed to you.

We are aware that certain members of your personnel will work with you to provide us with the information. The order under section 245 of the Act applies to all the persons you will have mandated.

For any additional information, call the undersigned at the telephone number appearing at the bottom of this letter or (b)(6), (b)(7)(C) at (b)(6), (b)(7)(C) extension (b)(6), (b)(7)(C)

Yours truly,

The (b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

encl.

Commission
des valeurs mobilières
du Québec

Inspection et
enquêtes

Télécopie

Destinataire : (b)(6), (b)(7)(C)
Société en commandite
Partenaires en Placement
Brandes

Numéro de télécopieur : 858-755-0916

Expéditeur : (b)(6), (b)(7)(C)
(b)(6), (b)(7)(C) Service de
l'inspection et des enquêtes

Numéro de téléphone : (b)(6), (b)(7)(C)
Numéro de télécopieur : (514) 873-4130

Objet :

Date : 27 septembre 2001

Page(s) : 6
(cette page incluse)

☑ Urgent ☐ Pour avis ☐ Commentaires ☐ Répondre SVP

NOTES :

URGENT

VEUILLEZ NOUS CONFIRMER LA RÉCEPTION DE CE FAX EN TÉLÉPHONANT IMMÉDIATEMENT AU (b)(6), (b)(7)(C) POSTE (b)(6), (b)(7)(C)

CONFIDENTIEL

L'information transmise avec cette fiche est de nature confidentielle. Si vous n'êtes pas le destinataire visé, nous vous demandons de nous aviser immédiatement et de détruire ce document.

PAGE 1/6 * RCVD AT 9/27/01 1:35:18 PM [Pacific Daylight Time] * SVR:SRRIGHTFAX2/3 * DNIS:1010 * CSID:514 873 4130 * DURATION (mm-ss):01-54

Commission
des valeurs mobilières
du Québec

Inspection et
enquêtes

Le 27 septembre 2001

CONFIDENTIEL
ET URGENT
PAR FAX

(b)(6), (b)(7)(C)
Société en commandite Partenaires en Placement Brandes

Objet : Demande d'information
N/Réf. : S.E. 3472

En vertu de la délégation de pouvoir prévue à la décision 2001-C-0091 du 13 février 2001, et conformément à l'article 237 de la *Loi sur les valeurs mobilières* (ci-après citée : la « Loi »), je vous demande d'identifier tous les individus parmi ceux énumérés dans la liste en annexe pour lesquels des comptes sont actifs ou ont été actifs pour la période du 1er août 2001 à ce jour, le solde à jour pour cesdits comptes ainsi que le nom et les coordonnées du fiduciaire où les valeurs sont détenues.

Cette information devra nous être parvenue par télécopieur au numéro 514-873-4130 avant le **28 septembre 2001, 17h00.**

Pour tous les individus identifiés, nous vous demandons de nous fournir le ou les formulaires d'ouverture du ou des comptes actifs ou non durant la période du 1er août 2001 à ce jour et les relevés de compte pour cette même période.

Vous voudrez bien me faire parvenir ces documents avant le **1er octobre 2001, 17h00.**

800, square Victoria, 22e étage, Tour de la Bourse, C. P. 246, Montréal, (Québec) H4Z 1G3
Téléphone : (b)(6), (b)(7)(C) Télécopieur : (514) 873-4130

Al Qaida/Islamic Army

Abu Sayyaf Group

Armed Islamic Group (GIA)

Harakat ul-Mujahidin (HUM)

Al-Jihad (Egyptian Islamic Jihad)

Islamic Movement of Uzbekistan (IMU)

Asbat al-Ansar

Salafist Group for Call and Combat (GSPC)

Libyan Islamic Fighting Group

Al-Itihaad al-Islamiya (AIAI)

Islamic Army of Aden

Usama bin Laden

Muhammad Atif (aka, Subhi Abu Sitta,

Abu Hafs Al Masri)

Sayf al-Adl

Shaykh Sai'id (aka, Mustafa Muhammad Ahmad)

Abu Hafs the Mauritanian (aka, Mahfouz Ould al-Walid, Khalid Al-Shanqiti)

Ibn Al-Shaykh al-Libi

Abu Zubaydah (aka, Zayn al-Abidin Muhammad Husayn, Tariq)

Abd al-Hadi al-Iraqi (aka, Abu Abdallah)

Khalid Al Midhar

Majed Moqed

Nawaq Alhamzi

Salem Alhamzi

Hani Hanjour

Satam Al Suqami

Waleed M. Alshehri

Wail Alshehri

Mohamed Atta

Abdulaziz Alomari

Marwan Al-Shehhi

Fayez Ahmed

Ahmed Alghamdi

Hamza Alghamdi

Mohald Alshehri

Saeed Alghamdi

Ahmed Alhaznawi

Ahmed Alnami

Ziad Jarrahi

###

Ayman al-Zawahiri

Thirwat Salah Shihata

Tariq Anwar al-Sayyid Ahmad (aka, Fathi, Amr al-Fatih)

Muhammad Salah (aka, Nasr Fahmi Nasr Hasanayn)

Makhtab Al-Khidamat/Al Kifah

Wafa Humanitarian Organization

Al Rashid Trust

Mamoun Darkazanli Import-Export Company

###

ORDONNANCE :

En vertu de l'article 245 de la Loi, je rends une ordonnance vous interdisant de communiquer à quiconque, si ce n'est à votre avocat, toute information reliée à la présente demande, incluant le fait qu'une demande d'information vous a été adressée.

Nous sommes conscients que certains membres de votre personnel travailleront en collaboration avec vous pour nous fournir l'information. L'ordonnance de l'article 245 de la Loi s'applique à toutes les personnes que vous aurez mandatées.

Pour toute information supplémentaire, communiquez avec le soussigné au numéro de téléphone apparaissant au bas de la présente ou avec (b)(6), (b)(7)(C) ((b)(6), (b)(7)(C) poste (b)(6), (b)(7)(C)

Veuillez agréer l'expression de nos sentiments les meilleurs.

(b)(6), (b)(7)(C) Service de l'inspection
et des enquêtes,
(b)(6), (b)(7)(C)

p.j.

BRANDES
INVESTMENT PARTNERS, L.P.

October 9, 2001

(b)(6), (b)(7)(C)
Commission des valeurs mobilieres du Quebec
C.P. 246, Tour de la bourse
Montreal QC H4Z 1G3
CANADA

Dear (b)(6), (b)(7)(C)

We are in receipt of your letter dated September 27, 2001 which contained a list of individuals presumably being investigated by Quebec authorities and a request for any and all information Brandes may have pertaining to or potentially pertaining to such individuals. We have reviewed our files for information in response to your letter. The client information we are providing to you appears to conform to some extent to four of the suspects on your list, although we cannot determine with certainty whether the clients reported below or their associated accounts relate exactly to the person who is the subject of your query. We are, nevertheless, providing to you their names and all account documentation and information in our possession to aid in your investigation.

Listed Individuals by Quebec Securities Commission	Brandes' Client Name	Active/Inactive
Salem Alhamzi	(b)(6), (b)(7)(C)	Active
Abdulaziz Alomari		Active
Hamza Alghamdi		Inactive (closed 9/12/01)
Abu Zubaydah		Active

Please call me or (b)(6), (b)(7)(C) at (b)(6), (b)(7)(C) if you have any questions or need further information.

Sincerely yours,

(b)(6), (b)(7)(C)

Cc: (b)(6), (b)(7)(C) (w/o enclosures)
(b)(6), (b)(7)(C) (w/ enclosures)

11988 El Camino Real | Suite 500 | P.O. Box 919048 | San Diego, CA 92191-9048
858.755.0239 | 800.237.7119 | Fax 858.755.0916
www.brandes.com | info@brandes.com

(b)(6), (b)(7)(C)

SALOMON SMITH BARNEY
A member of citigroup

RECEIVED MAY 21 2001

May 18, 2001

Reference # (b)(6), (b)(7)(C)

Fiduciary Services Unaffiliated Manager Program
CG New Accounts Package/Financial Consultant Checklist

Account Number (b)(6), (b)(7)(C) Your Financial Consultant (b)(6), (b)(7)(C)

A. ACCOUNT SPECIFICS

Name(s): (b)(6), (b)(7)(C)

FC Telephone Number: (b)(6), (b)(7)(C)

FC Wire Code (b)(6), (b)(7)(C)

6D

Taxable / Non Taxable: Taxable

State or Country:

Is account a transfer (due to status or branch change)? If Yes, previous Managed Account No.:

Is account part of SSB Trust Company Account? No

Selected Sweep Fund: EATON VANCE MONEY FUND LTD-USD

Level of Service: FIDUCIARY SERVICES

Product: F.S. UNAFFILIATED MA

Investment Manager: BRANDES GLOBAL EQUITY

Manager Code: BRAI

Style: Global Equity

Anticipated Inception Value: $1,500,000.00

If applicable, Provide Existing original: F.S. UNAFFILIATED MANAGERS

Manager Program account number for client: (b)(6), (b)(7)(C)

List CUSIP(s) or Ticker Symbol(s) for assets to be held as Unsupervised (if applicable):

List CUSIP(s) or Ticker Symbol(s) or Industries for asset Restrictions:
**Not for Use with PM, GPM, CES and IMS Level Of Service Accounts*

C FULL

(b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

SALOMON SMITH BARNEY
A member of citigroup

May 18, 2001

Reference: (b)(6), (b)(7)(C)

Fiduciary Services Unaffiliated Manager Program
CG New Accounts Package/Financial Consultant Checklist

Account Number: (b)(6), (b)(7)(C) Your Financial Consultant: (b)(6), (b)(7)(C)

B. Documentation to be attached to this checklist

Document(s) Required:

C. Quarterly Review

Performance Reported: Gross or Both: Both
Check for Fiscal Year Monitor:
Fiscal Year End Month:
Bill Client or Bill FC Gross?

D. Billing Information

FIDUCIARY SERVICES FEE SCHEDULES UNAFFILIATED MANAGER PROGRAM

For Equity and Balanced Accounts Only

Account Asset Value	Recommended Fee	FC Designated Discount	Fee to Client	Advisor Fee	FC Gross
On the First $500,000	3.00000%	0.00000%	1.25000%	0.45000%	0.80000%
On the First $500,000	2.20000%	0.00000%	0.00000%	0.45000%	0.00000%
On the First $1,000,000	1.90000%	0.00000%	0.00000%	0.45000%	0.00000%
On assets over $2,000,000	1.70000%	0.00000%	0.00000%	0.45000%	0.00000%

(Accounts over $5,000,000 are fully negotiable with the Client upon approval of the Consulting Group.)

BILLING (ERISA and NON-ERISA accounts may not be combined for related billing)

Check Accordingly:
Do Not Combine Billing:
-or-
Combine Related Accounts: X

List CG Account Number(s) to be Related (only if Combined Related accounts is checked):

(b)(6), (b)(7)(C)

Combine Related Accounts; Debit each proportionately:

Combine Related Accounts; debit this account number: (b)(6), (b)(7)(C)

Bill Current Quarter Only (for Inception billing): YES

Notice: To Fiduciary Services Manager this client has been sent a copy of your ADVII on: 05/14/2001

Approved by Branch Manager (Signature): _____ Date: ___/___/___

Send via the CG New Account (Orange & White) Envelope "ENV8006"
TO: Managed Account Operations - Account Services
Salomon Smith Barney Inc.
333 West 34th Street, 8th Floor
New York, NY 10001

SALOMON SMITH BARNEY
A member of citigroup

May 18, 2001

Reference #: (b)(6), (b)(7)(C)

Fiduciary Services Unaffiliated Manager Program Confidential Client Information

Account Number: (b)(6), (b)(7)(C) Your Financial Consultant(s): (b)(6), (b)(7)(C)

Name(s): (b)(6), (b)(7)(C)

Mailing Address: (b)(6), (b)(7)(C) Social Security number(s):

Home Telephone Number: (b)(6), (b)(7)(C) Business Telephone Number: (b)(6), (b)(7)(C)

Total Portfolio Value: $13,000,000.00 as of (date): 05-14-2001

Assets Placed Under Management (# of shares and security): NONE

Are any of the above securities restricted for management (i.e. - to be held as unsupervised)? No
If yes, specify:

Is Client a "Controlling person" with respect to any publicly held company? No
If yes, specify:

SALOMON SMITH BARNEY
A member of citigroup

May 18, 2001

Reference # (b)(6), (b)(7)(C)

Fiduciary Services Unaffiliated Manager Program Confidential Client Information

Account Number: (b)(6), (b)(7)(C) Your Financial Consultant: (b)(6), (b)(7)(C)

For Individual Investors Only

(including Individuals, accounts set up as Living Trusts, IRAs, IRA Rollovers and Keoghs)

Legal Residence(s) or Trust Situs (city and state): (b)(6), (b)(7)(C)

Date of Birth (Mo/Day/Yr): (b)(6), (b)(7)(C)

Citizenship (b)(6), (b)(7)(C)

Occupation(s): Account Not Found On CPI

Prior Investment Experience: Investing Since: Account Not Found On CPI

Was there any prior investment activity by any beneficial owner?
If yes, for which owner(s)?

Investing History: Have you ever had accounts with other firms?
If yes, which firm(s)?

Relationship(s) and date of birth(s) of Dependent(s):

Are you covered by a Retirement Plan:
If yes, describe Plan:

Planned Retirement Date(s):

Value of Real Estate (net of mortgages):

Cash Amount in Bank:

Total net worth (excluding real estate, furnishings and personal items, e.g. art, jewelry):

Do Assets to be placed under management constitute your entire securities portfolio? No
If No, percent to be managed:
If No, amount to be managed: $3,000,000.00

Bank Name and Address:

Type of Account:

Salary (Approximate before taxes):

Dividends and Interest:

Other:

Total Annual Income:

Approximate Maximum Federal Tax Bracket This Year:

Approximate Maximum Federal Tax Bracket Next Year: About the same

Describe any anticipated changes in your overall financial circumstances in the foreseeable future?
(Any changes to income, net worth or investment objectives require you to provide us with an updated copy of this information.)

Do you desire periodic withdrawals from your account?
If yes, specify frequency and amount:

Will securities/cash be added to account at a later date?
If yes, indicate the amount When

Was the account solicited?

Does client want to receive proxy documents? NO

FOR FC USE ONLY: *The State of Connecticut requires that if a client resides in that state, the client must receive a copy of this page.*

Date copy of this page given to Client by FC: N FC Initials:

SALOMON SMITH BARNEY

A member of citigroup

May 18, 2001

Reference: (b)(6), (b)(7)(C)

Fiduciary Services Unaffiliated Investment Questionnaire

Account Number: (b)(6), (b)(7)(C) Your Financial Consultant: (b)(6), (b)(7)(C)

Name(s): (b)(6), (b)(7)(C)

In order to assist you in selecting the most appropriate manager(s) for your account(s), please answer the following questions. Answers for individual accounts (for questions 2 through 10) should be specific to the assets placed in each account and thus may differ from each other and the overall investment objectives.

1. **The assets to be placed in this account represent:**
   one component of the investment portfolio. Please describe the objectives and components of the overall investment portfolio:
   BUILD WEALTH

2. **The investment time horizon most appropriate for these assets:**
   (The time horizon used in evaluating investment return has significant impact on the probability of realizing the stated return objectives. The longer the time period, the better the chance that up and down periods within market cycles will average out and your desired return can be achieved. If your time horizon is three years or less, you should consider other investment alternatives.)
   5 to 10 years

3. **The investment objective for this portfolio over a market cycle is:**
   Growth of capital. (Exposure to increased levels of price volatility with expectations to outperform an equity index.)

4. **The current income requirements from these assets (the portion of total return which should come from dividends/interest) is:** None - No need for current income.

5. **Tax-free income is required from these assets:**
   No

6. **With regard to these assets, the Client's tolerance for capital fluctuation would be best described as:**
   High - Can accept negative annual returns during difficult phases in a market cycle.

7. **With regard to these assets, the Client's Risk/Return profile would best be described as follows:**
   The Risk/Return chart illustrates the historical trade-off between volatility and investment return in the capital markets. Historically, to achieve higher rates of return, investors have had to accept greater fluctuations in portfolio value. The higher the position on the chart, the higher the rate of return expected to be earned by the portfolio and the greater the volatility in periodic returns.

RETURN

_ Most Aggressive

X Aggressive

_ S&P 500

_ Moderate

_ Conservative

_ Most Conservative

RISK >>> >>>

R I	S K	>>> >>>
Capital preservation oriented. Total return oriented, but may have higher current income. Suitable for short time horizon (3 to 5 years).	Capital appreciation oriented. Minimal income needs. Increasing equity exposure. Longer time horizon - at least a market cycle (5 years or more).	Aggressive growth oriented. No current income consideration. Greater volatility than broad stock market. Longest time horizon (10+ years).

aggressive

SALOMON SMITH BARNEY

A member of citigroup

May 18, 2001

Reference # (b)(6), (b)(7)(C)

Fiduciary Services Unaffiliated Investment Questionnaire

Account Number: (b)(6), (b)(7)(C) Your Financial Consultant: MOFIDI SHAWN

Name(s): (b)(6), (b)(7)(C)

8. Based on the answers to the previous questions, the following portfolio structure is appropriate for these assets:
Equities and Cash Equivalents - Manager uses stocks predominantly, but may also use cash equivalents to reduce portfolio volatility.

9. Market Capitalization (equity investments only).
Market capitalization is the value of a corporation as determined by the market price of its issues and outstanding common stock.
Large capitalization companies (more than $2 billion)

10. Investment Style (equity investments only):
The following characteristics are appropriate
* International Mangement style
Managers buys securities in international markets, including Japan, Asia, Europe, etc.

International Management style

11. Preferred size of the investment management organization:
no preference

12. The Client's investment guidelines for these assets prohibit investments in certain securities or industry groups:
Yes; restriction as follows:

(b)(6), (b)(7)(C)

Managed Assets Consulting Services Client Agreement

Brandes (10)

Prudential Securities

The undersigned (the "Client") hereby retains Prudential Securities Incorporated ("PSI") to provide the services described below with respect to the cash, securities and any other investments (collectively, the "Assets") held by Client in the Managed Assets Consulting Services ("MACS") program (the "Program Assets" in accordance with the terms and conditions set forth in this Agreement. Client understands that this Agreement does not become effective until it is reviewed and approved by Investment Management Services ("IMS"), a division of PSI in New York. Client's receipt of a copy of this Agreement will serve as affirmation of IMS' review and approval of this Agreement. Client understands that PSI may choose not to accept this Agreement until such time as Client delivers Program Assets into PSI's custody as described in section 1(g) of this Agreement. PSI reserves the right to refuse to accept this Agreement in its sole discretion and for any reason.

(b)(6), (b)(7)(C)

10/26/99

RECEIVED OCT 28 1999

1. SERVICES OF PSI

(a) Investment Planning Services. Client has selected one of the following MACS program proposals and intends to invest in the MACS program at least the specified minimum amount of Assets for that proposal: (i) the Single Manager Search Proposal ($100,000); (ii) the Domestic Equity Manager Pair Search Proposal ($200,000); or (iii) the Asset Allocation Proposal ($300,000). By responding to an investor profile questionnaire (the "Questionnaire") provided to Client by PSI, Client has informed PSI of Client's investment objective, risk tolerance and investment time horizon for the Program Assets, any reasonable restrictions as described in section 1(c) of this Agreement that Client wishes to impose on the management of Program Assets and other information ("Questionnaire Responses"). Client has received from PSI an investment policy statement (the "Investment Policy Statement") that provides Client with a proposed investment plan that is based upon an analysis of Questionnaire Responses. Client has also informed PSI of Client's financial situation in the Questionnaire.

(b) Asset Allocation Services. If Client has selected the Asset Allocation Proposal, the Investment Policy Statement Client has received from PSI contains a proposed long-term strategy for allocating the Program Assets Client initially designated for the MACS program among a combination of the major asset classes in the capital markets that is based upon an analysis of Questionnaire Responses. Client acknowledges that the proposed allocation is based upon and objectively correlated to Questionnaire Responses, is provided to assist Client in making informed asset allocation decisions and does not constitute fiduciary investment advice under the Employee Retirement Income Security Act of 1974, as amended ("ERISA"), or the Internal Revenue Code of 1986, as amended ("IRC"). In determining whether to adopt, modify or reject a proposed asset allocation, Client should consider all of Client's assets, income and investments.

In response to the Questionnaire, Client may impose a maximum on the percentage of Program Assets PSI should propose be allocated to certain asset classes. Client understands and acknowledges that any maximum Client imposes on an allocation to a particular asset class may result in the development of an asset allocation proposal for Client that deviates from the allocation PSI would otherwise propose.

(c) Manager Review, Evaluation and Presentation Services. The Investment Policy Statement Client has received from PSI may contain a presentation of several investment managers participating in the MACS program. The managers were presented based upon an analysis of the compatibility of Questionnaire Responses with the investment philosophy of the managers. The MACS program includes managers that are unaffiliated with PSI and managers that are affiliated with PSI. Such managers have been presented on the following basis: (i) if Client is subject to ERISA or the provisions of Section 4975 of the IRC, Client has only been presented with affiliated managers if Client affirmatively elected to be presented with affiliated managers, otherwise only unaffiliated managers have been presented and (ii) if Client is not subject to ERISA or the provisions of Section 4975 of the IRC, Client has been presented with either affiliated managers, unaffiliated managers or a combination of such managers.

If Client has selected the Asset Allocation Proposal, Client will be presented with investment managers to manage the Assets in each asset class for which an investment of $100,000 or more was proposed in the Asset Allocation Proposal. Client has selected from the managers presented to Client by PSI, and engages subject to the terms and conditions of this Agreement, each investment manager (a "Manager") listed on Exhibit A hereto to manage exclusively the portion of the Program Assets Client has designated to be managed by such Manager (the "Manager Assets"). The managers participating in the MACS program are continually reviewed and evaluated by PSI or its affiliate. However, PSI makes no representations as to the success of any investment strategy of, or security recommended by, any Manager.

The Manager Assets managed by a Manager will be held at PSI in the account appearing on Exhibit A hereto next to such Manager's name. In no event will PSI exercise investment discretion over Manager Assets, although an affiliated Manager may exercise such discretion over the Manager Assets Client has designated to be managed by such affiliated Manager. Instead, PSI, as broker-dealer, will only effect transactions for Manager Assets at the direction of the Manager managing the Manager Assets. Client understands and agrees that PSI will automatically invest all uninvested cash balances of Manager Assets in a money market fund sponsored by affiliates of PSI in the manner described in the money market fund's Prospectus. Client understands that any money market fund in which Manager Assets are invested will charge separate fees and expenses as described in section 3(a) of this Agreement and the money market fund's Prospectus. PSI will provide Client with thirty (30) days' notice before the fees paid to PSI or its affiliates increase, in the aggregate, as a result of the automatic investment of uninvested cash balances in a money market fund sponsored by affiliates of PSI.

Client may impose reasonable restrictions on the management of Manager Assets, including designating in response to the Questionnaire particular securities that should not be purchased for Client, or that should be sold if held by Client; provided, however, that Client may not require that particular securities be purchased with Manager Assets. Client understands and acknowledges that any restrictions Client imposes on the management of Manager Assets may cause a Manager to deviate from investment decisions it would otherwise make in managing Manager Assets.

Client may change a Manager only as provided herein. Client must give PSI a written revocation of the power of attorney Client gave to the previous Manager and execute an amendment to this Agreement that will grant a new power of attorney to the new Manager. Client understands and agrees that, for any period of time between the written revocation and the grant of the new power of attorney, Client will be solely responsible for the investment of the Manager Assets managed by the previous Manager and that PSI will not exercise any investment discretion over such Manager Assets. If PSI, in its sole discretion, determines that the investment philosophy of a new Manager selected by Client is not compatible with Client's most recent Questionnaire Responses, Client may be required to re-respond to the Questionnaire and complete other documentation.

PSI reserves the right to terminate the participation of any Manager in the MACS program at any time and in any manner. While PSI may discuss with Client whether a change in Managers is necessary or desirable, PSI is under no obligation to do so. In the event of any such termination, Client will be given reasonable advance notice of the termination and the opportunity to select, from managers presented to Client by PSI, a new Manager to manage the Manager Assets managed by the terminated Manager and will execute an amendment to this Agreement that will grant a new power of attorney to the new Manager. If Client fails to select a new a Manager after receiving such notice, Client directs PSI to transfer the Manager Assets managed by the terminated Manager to a PSI brokerage account which is not managed by the terminated Manager and over which PSI exercises no investment discretion. Alternatively, Client may elect to continue to engage the terminated Manager to manage the Manager Assets through another program offered by PSI upon agreement of each of PSI and the terminated Manager. PSI may refuse, without penalty, to honor instructions as to Manager Assets issued by a Manager who has been terminated from the MACS program, notwithstanding the fact that PSI has not yet received a written revocation of the power of attorney from Client.

consultation regarding the management of the Manager Assets by such Manager. PSI, its employees and agents shall not be liable for any misstatement or omission contained in any written disclosure statement or other materials prepared by a Manager for distribution to its clients, or any loss, liability, claim, damage or expense, whatsoever, as incurred, arising out of or attributable to such misstatement or omission.

(d) Mutual Fund Review, Evaluation and Presentation Services. If Client has selected the Asset Allocation Proposal, the Investment Policy Statement Client has received from PSI may contain a presentation of several mutual funds participating in the MACS program for Client to invest the Assets in each asset class for which an investment of less than $100,000 was proposed in the Asset Allocation Proposal, except that only one mutual fund will be presented for the Cash Asset Class. The mutual funds presented to Client with respect to each asset class (other than the Cash Asset Class) will include certain no-load classes of the Prudential Mutual Funds sponsored by affiliates of PSI ("Proprietary Funds") and certain no-load and load-waived classes of mutual funds that are unaffiliated with PSI ("Third Party Funds"), (each Proprietary Fund or Third Party Fund is herein called a "Fund" and collectively referred to as "Funds"). Only a Proprietary Fund will be presented to Client for the Cash Asset Class. PSI or an affiliate is principal underwriter to the Proprietary Funds. This affiliation does not limit your Financial Advisor's authority to provide information about any available investment vehicles, including Third Party Funds. The Funds participating in the MACS program are continually reviewed and evaluated by PSI or its affiliate.

PSI will effect purchases and sales of shares of Funds as directed by Client. PSI reserves the right to terminate the availability of any Fund in the MACS program at any time and in any manner. While PSI may discuss with Client whether a change in Funds is necessary or desirable, it is under no obligation to do so. In the event of any such termination, Client will be given reasonable notice of the termination and the opportunity to select, from mutual funds presented to Client by PSI, a new Fund to invest the assets that Client has invested in the terminated Fund. PSI may refuse, without penalty, to honor instructions from Client to effect new purchases of shares of a terminated Fund and may transfer shares of a terminated Fund held in the MACS program out of the MACS program. However, PSI will in no event redeem shares of a terminated Fund except upon the Client's direction.

(e) Performance Measurement and Transactional Reporting Services. On a quarterly basis, PSI will provide Client with a statement comparing the performance of the Program Assets against generally recognized objective indices of investment performance. Client will be furnished with confirmations of all securities transactions with respect to Program Assets and periodic statements indicating, among other things, the valuation of the Program Assets.

(f) Execution and Custodial Services. PSI will effect the execution services described below and maintain custody of the Program Assets. PSI will reinvest any Fund dividends in such Fund unless Client elects to receive such dividends in cash to the extent permitted by law.

In the absence of written instructions to the contrary from Client and agreed to by PSI, and to the extent consistent with a Manager's obligation to obtain best execution, Client hereby authorizes each Manager to effect transactions with respect to Manager Assets through PSI, as broker-dealer. Client understands that since the fee described in section 3 of this Agreement does not cover charges for brokerage transactions not executed through PSI, the Managers will generally effect transactions for Client through PSI so as to avoid incurring incremental charges that would be invoked by use of other brokers. Client understands that by generally effecting transactions through PSI, Client may be foregoing any benefit from savings on execution costs that a Manager could otherwise obtain through, for example, negotiating volume discounts on batched orders. In certain instances, PSI may aggregate orders to purchase or sell a particular security for a Client and other clients for purposes of obtaining best execution. It is frequently not possible to receive the same price or time of execution for all of the securities purchased or sold and the aggregated order may therefore be executed in one or more transactions at varying prices. When this occurs, PSI will average the various prices and charge or credit Client with the average price.

Client hereby authorizes PSI to effect transactions with respect to Manager Assets as directed by the Manager managing the Manager Assets and Program Assets invested in Funds ("Fund Assets") as directed by Client. In no event is PSI obligated to effect any transaction for Client which PSI believes would violate any applicable state or federal law, rule or regulation, or the regulations of any regulatory or self regulatory body and PSI may decline to accept any orders with respect to Program Assets or PSI may deliver out Program Assets or PSI may require that Client transfer its Program Assets from PSI. Client understands that if it does not promptly transfer its Program Assets upon PSI's demand, PSI reserves the right to liquidate at PSI's discretion.

(g) General. Client acknowledges that management of Manager Assets by a Manager will generally not commence until such time as Client delivers into PSI's custody at least $100,000 in Assets to be managed by such Manager. There will be no minimum requirement on the amount of Assets that must be delivered into PSI's custody prior to PSI effecting purchases and sales of shares of Funds as directed by Client; provided, however, that Client will be subject to any minimum investment requirement imposed by a Fund Client selects. If Client has selected the Asset Allocation Proposal and initially delivers into PSI's custody any amounts of Assets that in the aggregate will be less than the amount of Assets upon which the Asset Allocation Proposal was based, Client acknowledges that Client is solely responsible for directing any Program Assets Client delivers into PSI's custody to the particular Managers or Funds selected by Client.

Client acknowledges that in providing services under this Agreement, PSI is relying on the Investment Policy Statement that is based upon Questionnaire Responses that Client most recently furnished to PSI. PSI, its employees and agents shall not be liable for any misstatement or omission contained in the Questionnaire, or any loss, liability, claim, damage or expense, whatsoever, as incurred, arising out of or attributable to such misstatement or omission. Client may, at any time, re-respond to the Questionnaire and PSI will prepare a new Investment Policy Statement, based on new Questionnaire Responses provided to PSI by Client. Client understands that certain information from the Questionnaire, Investment Policy Statement, and any amendments thereto, will be furnished to each Manager selected by Client. Client understands that there can be no assurance that its investment objective as stated as a Questionnaire Response can be achieved.

A PSI Financial Advisor will be reasonably available to Client for consultation regarding Program Assets. Client understands; however, that PSI, its employees and agents have no investment or other discretion with respect to Program Assets, will perform no discretionary acts with respect to Program Assets, will effect only such transactions as it is instructed to by each Manager selected by Client with respect to the Manager Assets managed by such Manager and by Client with respect to Fund Assets and will provide no advice as to the voting of proxies, except as described in section 9(b) of this Agreement.

Client acknowledges that PSI and its affiliates may perform, among other things: investment planning; asset allocation; manager review, evaluation and presentation; mutual fund review, evaluation and presentation; performance measurement reporting; execution; custodial and other services for other clients and earn fees, brokerage commissions and other consideration therefor. Client recognizes and agrees that PSI may give advice and take action in the performance of its duties to any other clients that may differ from the advice given or the timing or nature of the action taken, with respect to the Program Assets. In addition, Client acknowledges that each Manager Client selects may perform, among other things, investment management services for other clients and earn fees and other consideration therefor. Client also recognizes and agrees that each Manager Client selects may take action in the performance of its duties to any other clients that may differ from the timing or nature of the action taken with respect to the Manager Assets it manages and if Client selects more than one Manager, the Client understands that each Manager may take action with respect to Manager Assets it manages that may differ from the timing or nature of action taken, by another Manager with respect to Manager Assets it manages. Thus, a particular security purchased for Client by one Manager may be sold for Client by another Manager. This may result in Client realizing a taxable gain or loss. If a loss is realized it may be subject to, and disallowed under, the "wash sales rule" under the IRC. Client should consult Client's independent tax advisor regarding taxation matters.

In the course of investment banking or other activities, PSI and its affiliates may acquire confidential or material non-public information. Client acknowledges and agrees that PSI is not free to divulge to Client or to any Manager, or to act upon, such information with respect to its performance of this Agreement.

There may be periods when a Manager may not be able to effect for clients in the MACS program certain types of transactions in securities of companies for which PSI is performing investment banking or other services. For example, during certain periods when PSI is engaged in an underwriting or other distribution of securities of a company, a Manager may be prohibited from effecting the purchase of certain securities of that company for its clients in the MACS program.

2. POWER OF ATTORNEY AUTHORIZATIONS TO MANAGERS

(a) Client hereby grants each Manager engaged by Client and listed on Exhibit A hereto complete and unlimited discretionary trading authorization on the Manager Assets in the account appearing on Exhibit A hereto next to such Manager's name, and designates each such Manager as Client's agent and attorney-in-fact with respect to such Manager Assets. Accordingly, each Manager is hereby designated the true and lawful agent of Client for and in the name, place and stead of Client to operate and conduct the account in which the Manager Assets are held, and in conjunction therewith, and in its sole discretion, and at Client's risk, to purchase, sell, exchange, convert, tender and otherwise trade the Manager Assets, and to act on behalf of Client in all other matters necessary or incidental to the handling of the Manager Assets and all transactions with respect thereto. Client hereby ratifies and confirms any and all orders, instructions and/or acts of each Manager hereafter given or performed and executed by the Manager with respect to the Manager Assets.

(b) PSI is hereby fully authorized to act and rely on the authority and power vested pursuant hereto in each Manager. Client confirms that each Manager is the sole agent pursuant to the respective power of attorney of Client, and understands that said agent is in no respect an agent or representative of PSI, and that all acts and transactions of the Manager are solely for the Manager Assets it manages and are the responsibility of the Client. Without imposing any obligation on PSI, nothing herein contained is intended to require PSI to act on any instructions of any Manager in any instance in which PSI for any reason desires not to act on any such instructions. Instructions from a Manager to PSI regarding Manager Assets and transactions with respect thereto shall be conveyed to PSI by the Manager in a manner and in accordance with procedures acceptable to PSI.

(c) These powers of attorney are durable and shall not be affected by the subsequent disability or incapacity of Client and, if Client is an individual acting on Client's own behalf, shall terminate upon the Client's death. Otherwise, this authority with respect to each Manager shall remain in full force and effect until Client gives PSI a written revocation of the authority. Client agrees that Client or Client's estate shall be liable for any debit balance or loss in any account that may be sustained by reason of the completion of transactions initiated by the Manager managing the Manager Assets in the account prior to the receipt by PSI of written revocation of the authority or of written notice of Client's death and to hold PSI and the Manager harmless against any claim or action arising directly or indirectly from the completion of such transactions.

3. FEES

(a) Fees for the services provided by the Managers and PSI to Client under this Agreement ("Program Fees") will be according to the schedule attached hereto as Exhibit B. Client understands that the Funds selected by Client as well as any investment company in which Manager Assets may be invested, including, but not limited to, money market funds in which uninvested cash balances of Manager Assets may be invested (as described in section 1(c) of this Agreement), the Foreign Fund, Inc. (WEBS) and the SPDR Trust (SPDRs) (as defined in section 4 of this Agreement) and similar investment companies, and closed-end investment companies, will charge separate fees and expenses as set forth in their Prospectuses, as they may be amended from time to time. These fees and expenses are paid by those Funds or investment companies but ultimately borne by Client as a shareholder. These fees and expenses may include investment advisory, administrative, distribution, transfer agent, custodial, legal, audit and other customary fees and expenses related to investment in investment companies, are in addition to Program Fees and will generally not be deducted from Program Fees.

Client understands that PSI and its affiliates are compensated for providing certain of these services, including investment advisory, administrative and transfer agent services, to the Proprietary Funds. The compensation received by PSI or its affiliates from Proprietary Funds (which is specifically disclosed in the Prospectuses of the Proprietary Funds) will vary depending on the Proprietary Funds in which Client invests. Neither PSI nor its affiliates will receive any sales commissions or charges, fees, discounts, penalties or adjustments in connection with the purchase, holding, exchange, termination or sale of any shares of the Proprietary Funds other than investment advisory, administrative and transfer agent fees. Client also understands that PSI or its affiliates receive a fee in the amount of .25 of 1% of Fund Assets invested in the Third Party Funds from the Third Party Funds or their affiliates for certain record keeping and shareholder communication services. In order to take into account the fees paid to PSI or its affiliates from the Funds or their affiliates, PSI provides Client with a credit to the Program Fee applicable to Fund Assets, as described on Exhibit B attached hereto. PSI or its affiliates may also receive fees, including investment advisory, administrative, transfer agency or distribution fees, from investment companies in which Manager Assets are invested, including money market funds, or their affiliates. If a portion of such fees are so paid to PSI, PSI may adjust the Program Fees payable by Client.

In addition, Client understands that if Manager Assets are invested in American Depository Receipts (ADRs), Global Depository Receipts (GDRs) or Real Estate Investment Trusts (REITs) (as defined in section 4 of this Agreement), Client will bear, in addition to the Program Fee, its proportionate share of fees and expenses associated with those investments and may also bear any fees and expenses associated with converting non-U.S. securities into ADRs and GDRs.

Client may be able to purchase shares of the Funds, including the Proprietary Funds, outside of the MACS program directly from the mutual fund complex issuing them, its principal underwriter or distributor without paying the Program Fee on such shares (but subject to any applicable sales charges). Certain of the Funds are offered generally to the public without a sales charge. In the case of those Funds that are offered generally to the public with a sales charge, the prevailing sales charge (as described in a Fund's Prospectus) may be more or less than the applicable Program Fee.

Apart from any Program Fees payable hereunder, PSI or its affiliate may receive a fee from certain employee benefit plans that have hired PSI or its affiliate to be the plans' record-keeper. In addition, PSI or its affiliate may receive fees for acting as custodian or passive trustee to certain individual retirement accounts or employee benefit plans or as trustee to certain trust accounts.

(b) Program Fees are calculated quarterly based on the market value of the Program Assets as of the last business day of the preceding calendar quarter. In computing the market value of Fund Assets, shares of the Funds shall be valued at their respective net asset values as calculated on the valuation date in accordance with each Fund's Prospectus. Any such valuation shall not be deemed a guarantee of any kind whatsoever with respect to the value of those Fund Assets. The quarterly Program Fee will be payable in advance on or about the fifteenth (15th) day after the commencement of each quarter (or, in the case of Client's first quarter of Client's first year, on the date a Manager commences management of Manager Assets or PSI effects purchases of shares of Funds as directed by Client). In the event a Manager commences management of Manager Assets or PSI effects purchases of shares of Funds as directed by Client after the first day of a calendar quarter, the Program Fee for such quarter shall be calculated proportionately with respect to the number of days remaining in such quarter and based on the market value of such Program Assets as of the date such management commences or purchases are effected. In the event this Agreement is terminated prior to the last day of a calendar quarter, a pro rata portion, based upon the number of days remaining in such quarter, of the quarterly Program Fee with respect to such Program Assets paid in advance will be refunded to Client. All Program Fees will be reflected in the periodic statements sent to Client; however, fees and expenses charged by the Funds selected by Client or any investment company in which Manager Assets are invested will not be so reflected.

Each time that Assets in the amount of $10,000 or more are added to, or withdrawn from, the MACS program during the quarter, *a pro rata portion, based upon* the market value of the Program Assets at such time and the number of days remaining in such quarter, of the quarterly Program Fee with respect to the Program Assets added or withdrawn will be payable by, or refunded to, Client as applicable.

(c) Program Fees cover investment management services provided by the Managers and investment planning, asset allocation (if applicable), manager review, evaluation and presentation, mutual fund review, evaluation and presentation (if applicable), performance measurement and transactional reporting, execution and custodial and other account-related services provided by PSI, but do not cover any margin interest, national securities exchange fees, charges for transactions not executed through PSI, costs associated with exchanging currencies, fees and expenses charged by Funds selected by Client or any investment company in which Manager Assets may be invested (as described in section 3(a) of this Agreement), wire transfer fees or other fees required by law. Client also understands that mark-ups, mark-downs and spreads charged by a dealer unaffiliated with PSI may be included in the price of certain transactions executed on behalf of Client. Client will pay the public offering price on securities purchased from an underwriter or dealer involved in a distribution, a portion of which may be paid to PSI.

(d) Some Program Fees may be negotiated. To the extent that Program Fees charged are negotiable, they may differ from client to client based upon a number of factors, including, but not limited to, the investment styles utilized by the Managers selected by Client, the amount of the Program Assets and the client-related services to be provided to the Client. Moreover, Program Fees may vary as a result of the application of prior fee schedules depending upon a client's program inception date. In addition, different fee schedules for the MACS program may apply to clients who also participate in other PSI programs.

Employees of PSI and its affiliates and members of the families of such persons who maintain an "employee related" account at PSI may participate in the MACS program without the imposition of the Program Fees to Fund Assets. In addition, the Program Fees on Fund Assets may be waived in whole or in part for, among others, certain banks, trust companies or unaffiliated investment advisers who maintain securities accounts with PSI as well as personal trusts which are part of The Prudential Bank Personal Trust Program administered by Prudential Bank & Trust (as trustee) or an affiliate thereof.

Client understands that a portion of the Program Fee will be paid by PSI to the Managers managing Manager Assets, including Managers affiliated with PSI, and the PSI Financial Advisor servicing Client. Client understands that selection of a Manager affiliated with PSI will result in PSI and its affiliate receiving, in the aggregate, a greater portion of the Program Fee. Such payments will be made as long as this Agreement remains in effect. With respect to the Program Fee on Fund Assets, amounts paid to the Financial Advisor remain the same whether Client selects Proprietary Funds or Third Party Funds.

4. SPECIAL INVESTMENT CONSIDERATIONS

(a) If Client has selected a Manager to manage Manager Assets utilizing an international or global investment style, Client understands and agrees that the Manager may invest all, or a portion of, the Manager Assets it manages in (i) American Depository Receipts, which are receipts issued by a U.S. bank or trust company that evidence ownership of non-U.S. securities and are traded on a U.S. exchange or in the over-the-counter market ("ADRs"); (ii) Global Depository Receipts, which are receipts issued generally by a non-U.S. bank or trust company that evidence ownership of non-U.S. securities ("GDRs"); (iii) World Equity Benchmark Shares ("WEBS"), which are shares of Foreign Fund, Inc., an open-end investment company organized in series, each of which invests primarily in non-U.S. common stocks in an effort to track the performance of a specified foreign country equity market index compiled by Morgan Stanley Capital International (MSCI); or (iv) closed-end investment companies that invest a substantial portion of their assets in the securities of specified foreign countries ("closed-end country funds"). Client understands and acknowledges that as described in section 3(a) of this Agreement there may be fees and expenses, in addition to the Program Fees, associated with investing in ADRs, GDRs, WEBS and closed-end country funds, as well as fees and expenses associated with converting non-U.S. securities in ADRs and GDRs, and that selecting a Manager that utilizes an international or global investment style to manage Manager Assets may cause Client to incur such additional fees and expenses on all such Manager Assets, or on a greater portion of such Manager Assets than if Client selected a Manager that utilizes another investment style to manage those Manager Assets.

Client understands and acknowledges that the ADRs and GDRs in which Manager Assets may be invested may not be (i) subject to U.S. securities registration, disclosure or accounting requirements; (ii) listed or traded on any U.S. stock exchange or the NASDAQ/NMS market; and (iii) registered for sale with securities regulatory authorities in the United States ("unregistered ADRs" or "unregistered GDRs", respectively). Client understands that a Manager may direct purchases or sales of unregistered ADRs or unregistered GDRs with respect to Manager Assets in reliance on exemptions from securities registration requirements. Client understands that a Manager, or PSI as executing broker, may be required to sell unregistered ADRs or unregistered GDRs only to other broker-dealers or institutional buyers. Client authorizes Managers to provide to PSI or any other executing broker an appropriate acknowledgment when a purchase of an unregistered ADR or an unregistered GDR with respect to Manager Assets was not solicited by the executing broker.

Client understands and acknowledges that (i) WEBS may be issued or redeemed only in aggregations of a specified number of shares, each called a "Creation Unit"; (ii) except when aggregated in Creation Units, WEBS are not redeemable securities; and (iii) WEBS not redeemed as part of Creation Units are listed on the American Stock Exchange, Inc. WEBS may trade in the secondary market at a discount or premium to their net asset value.

Client understands that shares of closed-end country funds, which trade in the secondary market, may also trade at a discount or premium to their net asset values.

(b) If Client has selected a Manager to manage Manager Assets or a Fund that invests utilizing an international or global investment style, Client understands and acknowledges that the risks of investing in non-U.S. securities either directly or indirectly through Funds, ADRs, GDRs, WEBS or closed-end country funds are different and may be greater than the risks involved in investing in securities issued by U.S. companies. Securities issued by non-U.S. companies may not be subject to United States securities registration, disclosure or accounting requirements.

(c) If Client has selected a Manager to manage Manager Assets utilizing Real Estate Investment Trusts ("REITs"), Client understands and acknowledges that REITs are corporations or business trusts, whose shares are usually traded publicly, that invest primarily in income producing real estate and/or real estate related loans or mortgages and that REITs are subject to risks similar to those associated with direct ownership of real estate which include, but are not limited to, economic conditions, declines in real estate values, changes in government regulations, increases in property taxes and defaults by borrowers. Client understands and acknowledges that due to their concentration in the real estate industry, REIT portfolios may be riskier and more volatile than a portfolio of common stocks that is not concentrated in a particular industry or group of industries. Client further understands and acknowledges that as described in section 3(a) of this Agreement there may be fees and expenses, in addition to the Program Fees, associated with investing in REITs and that selecting a Manager that utilizes REITs to manage Manager Assets may cause Client to incur such additional fees and expenses on all such Manager Assets, or on a greater portion of such Manager Assets than if Client selected a Manager that utilizes another investment style to manage those Manager Assets.

(d) If Client has selected a Manager to manage Manager Assets utilizing a U.S. equity investment style, Client understands and acknowledges that the Manager may also invest, on a more limited basis, the Manager Assets it manages in ADRs or REITs.

(e) If Client has selected a Manager to manage Manager Assets utilizing Standard & Poor's Depository Receipts ("SPDRs"), which are units of interest in SPDR Trust, a unit investment trust consisting of substantially all of the common stocks, in substantially the same weighting, contained in the Standard & Poor's 500 Index, Client understands and acknowledges that the value of the securities held by the SPDR Trust, and consequently the value of SPDRs, will fluctuate. Client

understands and acknowledges that as described in section 3(a) of this Agreement there may be fees and expenses, in addition to the Program Fees, associated with investing in SPDRs and that selecting a Manager that utilizes SPDRs to manage Manager Assets may cause Client to incur such additional fees and expenses on all such Manager Assets, or on a greater portion of such Manager Assets than if Client selected a Manager that utilizes another investment style to manage those Manager Assets.

Client understands and acknowledges that (i) SPDRs may be issued or redeemed only in aggregations of a specified number of shares, each called a "Creation Unit"; (ii) except when aggregated in Creation Units, SPDRs are not redeemable securities; and (iii) SPDRs not redeemed as part of Creation Units are listed on the American Stock Exchange, Inc. SPDRs may trade in the secondary market at a discount or premium to their net asset value.

(f) If Client has selected a Manager to manage Manager Assets utilizing a concentrated investment style, Client understands and acknowledges that concentrated portfolios generally hold the securities of a limited number of companies and, therefore may be more volatile because the risk specific to each company may represent a larger part of the Manager Assets managed by the Manager. Client also understands that it is likely that the performance of these portfolios will differ significantly from that of the broad equity market.

(g) Client understands and acknowledges that a Manager, in managing Manager Assets, or a Fund selected by Client, may at any time hold a significant portion of Program Assets designated to it in cash or cash equivalents. The portion of Program Assets held in cash and/or cash equivalents by one Manager or Fund will not be taken into account by any other Manager in managing Manager Assets, nor will it be taken into account in any calculation of the portion of Program Assets proposed to Client for investment in cash in any Asset Allocation Proposal made to Client.

5. REPRESENTATIONS

(a) Client hereby represents and warrants that Client is of full age and has full power, authority and capacity to execute and deliver this Agreement and all documents relating to the Program Assets, and that this Agreement constitutes a legal, valid and binding obligation of Client enforceable against Client in accordance with its terms except as enforcement may be limited by bankruptcy, insolvency, moratorium or other laws affecting the enforcement of creditors' rights generally. Client agrees to advise PSI of any event which might affect this authority or the propriety of this Agreement.

(b) Client hereby represents and warrants that unless Client gives PSI written notice to the contrary, Client is not and will not be an employee of any exchange or a member firm of any exchange or the National Association of Securities Dealers, Inc. ("NASD"), and no one other than Client who has such affiliation has or will have a direct or indirect interest in the Program Assets.

(c) Client understands that PSI brokerage accounts are protected by the Securities Investor Protection Corporation ("SIPC") and PSI's excess securities protection. Federal Deposit Insurance Corporation ("FDIC") rules require that Client be informed that PSI is not a bank and that securities offered through PSI are not backed or guaranteed by any bank or insured by the FDIC unless otherwise expressly indicated.

(d) Client represents and warrants that Client has responded to a Questionnaire, that the Questionnaire Responses and financial situation information provided in the Questionnaire are complete and accurate in all respects, that Client has read the Investment Policy Statement and agrees that the investor profile information contained therein is complete and accurate in all respects and reflects the proposal Client has chosen, that Client will notify PSI of any material change in Client's circumstances which might affect the manner in which Program Assets should be invested, and that Client will provide to PSI any such information as it shall request from time to time.

(e) Client agrees and acknowledges that the investment services, information and materials provided by PSI and the Financial Advisor under this Agreement are provided to enable Client to design and assess a personalized investment plan and asset allocation, if applicable, and to select suitable Managers and/or Funds and monitor the performance of the Program Assets.

(f) Client represents that Client has determined that each Manager and Fund Client has selected is suitable for Client and that Client has had the opportunity to review and understands the investment styles of each such Manager and Fund and the methodologies and risk factors related to such styles.

(g) Client acknowledges that the Program Fee will be imposed on all Fund shares that Client designates as Fund Assets, including Fund shares on which Client may have previously paid a sales charge. Also, to the extent that cash used for investment in Funds comes from redemptions of Client's other non-MACS program mutual fund investments, Client should consider the costs, if any, of sales charges previously paid and redemption fees that would be incurred. Such redemption fees would be in addition to the MACS Program Fee on those Fund Assets. Client should be aware that redemptions and exchanges between Funds may have tax consequences which should be discussed with Client's independent tax advisor.

(h) Client understands that PSI shall have a general lien to the extent allowed by law on all properties that Client may have on deposit with PSI, either singly or jointly with another or otherwise, and may without notice to Client or its successors, at PSI's discretion, liquidate or transfer any such property in order to satisfy any indebtedness Client may have to PSI or to relieve PSI of any risk of a deficit existing in any of Client's accounts. Client shall be liable for any remaining deficiency in any of its accounts and PSI may conduct all transactions for Client in accordance with the customs and usages of securities firms and the various exchanges.

(i) PSI represents that it is a registered investment adviser under the Investment Advisers Act of 1940, as amended (the "Advisers Act").

6. FURTHER REPRESENTATIONS MADE BY CLIENTS SUBJECT TO ERISA AND THE IRC

(a) If Client is executing this Agreement on behalf of an "employee benefit plan" as that term is defined in ERISA, Client represents and warrants that: (i) it is a "named fiduciary" with the general responsibility for the appointment, performance, review and removal of investment managers under such plan ("the Plan"); (ii) the Plan and its governing instruments provide for the appointment of an "investment manager" as that term is defined in Section 3 (38) of ERISA; and (iii) the execution, delivery and performance of this Agreement will not violate any provisions of the Plan or its trust and will not violate or result in any default under its certificate of incorporation or by-laws (or equivalent constituent documents), any contract or other agreement to which the Client is a party or by which it or its assets may be bound or any statute or any rule, regulation or order of any government agency or body.

Client further represents and warrants that participation in the MACS program is in compliance with applicable law and the funding, investment and diversification policies for the Plan. Client has concluded that the Program Fees payable hereunder are reasonable and in the best interests of the Plan, its participants and beneficiaries. Client has considered the risk/return factors of investing Assets in the MACS program and the effect of participation in the MACS program on the diversification, liquidity and cash flow needs of the Plan and the ability of the Plan to meet its funding objectives. Client has concluded that participation in the MACS program is prudent and has determined that each Manager is a suitable investment manager for the Plan and each Fund is a suitable investment for the Plan.

Client acknowledges that Client has appointed each Manager listed on Exhibit A hereto to manage the Manager Assets it manages pursuant to Section 402(c)(3) of ERISA and the terms of the Plan. Client further acknowledges that it has delegated to each Manager full power to exercise the investment discretion described herein and to supervise and direct the investment and reinvestment of the Manager Assets it manages. Except as set forth in the Investment Policy Statement, there are no limitations on securities under the Plan that may be purchased or held as Manager Assets.

(b) If Client has selected the Asset Allocation Proposal, by signing this Agreement, Client authorizes PSI to effect purchases and sales of shares of Third Party Funds for the Plan, subject to the terms and conditions of Department of Labor Prohibited Transaction Exemption 86-128 ("PTE 86-128"). Client understands that this authorization is terminable at will, without penalty to Client, upon PSI's receipt of written notice from Client. Client also understands that this authorization is a continuing one and shall remain in full force and effect until terminated by Client. Client acknowledges receipt of a copy of (i) PTE 86-128 and (ii) a form letter that provides an election to terminate this authorization. Client further acknowledges that with respect to the purchase and sale of shares of Third Party Funds, PSI's brokerage practice is to effect transactions in Third Party Funds on behalf of Client consistent with the requirements of the Investment Company Act of 1940, as amended, and the National Association of Securities Dealers, Inc. Rules of Fair Practice. This provision does not limit and is not intended to restrict employee benefits plans from the purchase and sale of Proprietary Funds.

(c) Client acknowledges that if the Program Assets represent only a portion of the assets of the Plan, PSI does not have knowledge of the investment made by or for other assets of the Plan and that PSI has no obligation with respect to such other assets.

(d) Client agrees to obtain and maintain, for the period of this Agreement, any bond required pursuant to the provisions of ERISA or other applicable law and to include within the coverage of such bond PSI and any of its officers, directors, employees and agents, whose inclusion is required by law. Client agrees to promptly provide PSI with appropriate documentation evidencing such coverage upon request.

(e) PSI represents and warrants, and Client understands and acknowledges, that PSI is a fiduciary as defined under ERISA and the IRC in performing manager review, evaluation and presentation services under this Agreement only to the extent Client is presented exclusively with unaffiliated managers in accordance with the services provided pursuant to section 1(c). PSI further represents and warrants on behalf of each Manager selected by Client, and Client understands and acknowledges, that the Manager accepts appointment as investment manager of the Manager Assets it manages and that the Manager is the sole fiduciary as defined under ERISA and the IRC in performing investment management services and exercising discretionary authority over the Manager Assets it manages under this Agreement.

(f) Client understands and acknowledges that PSI and its Financial Advisors are not fiduciaries as defined under ERISA and the IRC when PSI presents affiliated managers to Clients subject to ERISA or the provisions of Section 4975 of the IRC in accordance with the services provided pursuant to section 1(c). When PSI presents affiliated managers to such Clients, PSI represents and warrants, and Client understands and acknowledges that PSI and its Financial Advisors have not recommended or advised Client to select any manager presented and; therefore, such services do not constitute fiduciary investment advice by PSI or its Financial Advisors under ERISA or the IRC. Client further acknowledges that Client has selected each Manager after its own careful consideration.

(g) Client understands and acknowledges that PSI and its Financial Advisors are not fiduciaries as defined under ERISA and the IRC in performing asset allocation services under this Agreement. The asset allocation services do not constitute fiduciary investment advice by PSI or its Financial Advisors under ERISA and the IRC. Such services are provided only to assist Client in making informed asset allocation decisions. Any deviation made now or in the future from the asset allocation proposed by PSI is made solely at the Client's own initiative. Neither PSI nor its Financial Advisors are authorized to give fiduciary investment advice regarding asset allocation services.

7. ASSIGNMENT, AMENDMENT OR TERMINATION OF AGREEMENT

(a) This Agreement may not be assigned (within the meaning of the Advisers Act) by either party to this Agreement without the prior written consent of the other.

(b) PSI shall have the right to amend this Agreement upon thirty (30) days' notice to Client by modifying or rescinding any of its existing provisions or by adding a new provision. Any such amendment shall be effective as of a date to be established by PSI. This Agreement contains the entire agreement between the parties.

(c) This Agreement may be terminated at will by either party upon written notice to the other. Notwithstanding anything to the contrary herein, if Client terminates this Agreement within five (5) business days of PSI's acceptance of this Agreement, Client will receive a full refund of all Program Fees paid hereunder. Any termination of this Agreement will become effective upon receipt of such notice by PSI. Upon termination of this Agreement by either party, neither PSI nor any Manager will be under any obligation to provide further services with regard to Program Assets and Client will be solely responsible for the investment of Manager Assets and for instructing PSI in writing regarding any Program Assets. Client agrees that any termination of this Agreement will not affect the liabilities or obligations of the parties under this Agreement which arise from transactions initiated prior to termination, including the provisions regarding arbitration, which shall survive any termination of this Agreement. PSI retains the right to complete any transactions open as of the termination date and to retain any amounts of Program Assets sufficient to effect such completion.

If this Agreement is terminated by either party, all Third Party Fund shares held in the MACS program will be transferred out of the MACS program, unless PSI is otherwise instructed by Client; and all Proprietary Fund shares held in the MACS program will be converted from Class Z shares to Class A shares, unless PSI is instructed by the Client to redeem the shares (there is no charge for converting from Class Z to Class A shares, but, unlike Class Z shares, Class A shares are subject to certain sales charges and asset-based distribution and service fees). If Client is an employee benefit plan that elects to terminate PSI's authority to purchase and sell Third Party Fund shares pursuant to section 6(b) of this Agreement, all Third Party Fund shares held in the MACS program will be transferred out of the MACS program, unless PSI is instructed otherwise by Client.

Client understands and acknowledges that if all Program Assets are Fund Assets, PSI, in its sole discretion, may restrict the ability of Client to purchase new shares of Funds and may take such other measures as it deems appropriate, including terminating this Agreement.

8. GOVERNING LAW; ARBITRATION

(a) Arbitration is final and binding on the parties.
(b) The parties are waiving their right to seek remedies in court, including the right to jury trial.
(c) Pre-arbitration discovery is generally more limited than and different from court proceedings.
(d) The arbitrators' award is not required to include factual findings or legal reasoning and any party's right to appear or to seek modification of rulings by the arbitrators is strictly limited.
(e) The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.

This Agreement shall be governed by the laws of the State of New York, and shall inure to the benefit of PSI successors and assigns, and shall be binding on Client and/or Client's representatives, attorneys-in-fact, heirs, executors, administrators and assigns. In the event of Client's death, any

order which Client had given PSI shall be binding on Client's estate representative until PSI receives actual notice thereof. Unless unenforceable under applicable law, any controversy arising out of or relating to Client's Program Assets, to transactions with Client, for Client or to this Agreement or the breach thereof, shall be settled by arbitration pursuant to the Federal Arbitration Act and in accordance with the rules, then in effect, of the NASD or the Board of Directors of the New York Stock Exchange, Inc. as Client may elect. If Client does not make the above election by registered mail addressed to PSI at PSI's main office within five (5) days after demand by PSI that Client make such election, then PSI may make such election. The foregoing shall apply to controversies with any of PSI's present or former employees or affiliates relating to Client's Program Assets and transactions with PSI. Notice primarily to, in conjunction with, or incident to arbitration may be sent to Client by mail and personal service is hereby waived. Judgement upon any award rendered by the arbitrators may be entered in any court of competent jurisdiction. No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action; or who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until: (i) the class certification is denied; (ii) the class is decertified; or (iii) the customer is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this Agreement except to the extent stated herein.

9. MISCELLANEOUS

(a) It is understood that Client may make additions to and withdrawals of Program Assets. Notice shall be directed to the PSI Branch Office servicing Client.

(b) Unless Client checks the appropriate box(es) below, Client hereby delegates the right and obligation to vote any proxies relating to securities held as Manager Assets to the Manager managing such Manager Assets and in connection therewith hereby authorizes PSI to send the materials listed below to such Manager. If Client has so delegated the right and obligation to vote any such proxies and Client is the named fiduciary of a Plan, Client hereby represents that the Plan instrument either states that the Plan's investment managers will vote proxies or is silent with respect to the voting of proxies. Both boxes must be checked if Client wishes to retain its proxy voting rights and obligations and to receive the materials listed below.

[ ] Client does not authorize PSI to send any proxy related materials, including voting cards and announcements or annual reports to the Manager managing the Manager Assets and to have such Manager vote proxies on its behalf. Client does wish to receive such materials.

[ ] Client does not authorize PSI to send interim reports such as quarterly reports and shareholder letters to the Manager managing the Manager Assets. Client does wish to receive such materials.

Certain material such as court ordered notices will be sent to Client. Client may rescind these designations upon written notice to PSI.

Consistent with applicable rules and regulations of the New York Stock Exchange, Inc. relating to the giving of proxies by member organizations, if Client is not an individual retirement account or a Plan, PSI may vote proxies relating to securities held as Program Assets, if PSI has transmitted proxy soliciting material to Client or, if the material relates to securities held as Manager Assets the Manager to which Client has delegated the right and obligation to vote any proxies relating to such securities, solicited voting instructions from Client or the Manager, as applicable, and not received instructions from Client or the Manager, as applicable, by the date specified in the proxy statement. If Client is an individual retirement account or a Plan, Client understands and acknowledges that PSI will in no event vote proxies with regard to Program Assets and PSI shall not incur any liability for failure to exercise any such proxy. PSI shall not take any action or render any advice with respect to the voting of proxies relating to securities held as Program Assets, except to the extent otherwise required by law or provided herein.

(c) Unless Client objects in writing, Client authorizes PSI to share financial and other information concerning Client with its affiliates. All information furnished to Client by PSI pursuant to the MACS program shall be treated as confidential by Client.

(d) If any provision or condition of this Agreement shall be held to be invalid or unenforceable by any court, regulatory or self-regulatory agency or body, such invalidity or unenforceability shall attach only to such provision or condition. PSI's failure to insist at any time upon strict compliance with this Agreement or with any of its terms or any continued course of such conduct on its part shall not constitute or be considered a waiver by PSI of any of its rights.

(e) Except as otherwise provided herein, all written communications to PSI pursuant to this Agreement shall be sent to the PSI Branch Office servicing Client. All communications mailed, wired, or telegraphed to Client at the address specified by Client, with the exception of notices pursuant to section 8 of this Agreement, shall, until PSI has received notice in writing from Client of a different address, be deemed to have been personally delivered to Client and Client agrees to waive all claims resulting from failure to receive such communications.

(f) Client understands that Client retains the right to proceed directly as a security holder against any issuer of any security that constitutes Program Assets and shall not be obligated to join any person involved in the operation of the MACS program or any other client in the MACS program as a condition precedent to initiating any such proceeding.

(g) By signing this Agreement, Client acknowledges receipt of a copy of this Agreement, PSI's Wrap Fee Sponsor Brochure as required by Rule 204-3 under the Advisers Act and the Disclosure Document or Form ADV, Part II of each Manager selected by Client as required by Rule 204-3 under the Advisers Act. If the Client was solicited by an unaffiliated person, Client also acknowledges receiving a copy of the disclosure statement of that person.

(h) All section headings of this Agreement are for convenience only, and do not affect the meaning or interpretation of this Agreement.

Title of Account(s) (Please Print): (b)(6), (b)(7)(C) Date: _____

EXHIBIT A – Managers Selected by Client

Manager	Account Number
BRANDES	(b)(6), (b)(7)(C)

EXHIBIT B - Fee Schedules

Single Manager Search Proposal

Equity, Balanced and Convertible Securities Investment Styles

$ Value of Program Assets	Annualized Fee
$0 - 500,000	3.00%
Next $500,000	2.50%
Next $1,500,000	2.00%
Next $2,500,000	1.50%
Over $5,000,000	1.00%

Fixed Income Investment Styles

$ Value of Program Assets	Annualized Fee
$0 - 500,000	1.25%
Next $500,000	1.00%
Next $1,000,000	0.85%
Next $3,000,000	0.75%
Next $5,000,000	0.50%
Over $10,000,000	0.375%

Domestic Equity Manager Pair Search Proposal

$Value of Program Assets	Annualized Fee
$0 - 500,000	3.00%
Next $500,000	2.50%
Next $1,500,000	2.00%
Next $2,500,000	1.50%
Next $5,000,000	1.00%

Asset Allocation Proposal

Managers		Funds
$Value of Manager Assets	Annualized Fee	Annualized Fee
$0 - 500,000	3.00%	2.00% of $ Value of Fund Assets
Next $500,000	2.50%	Less (-) 0.75%* of $ Value of Fund Assets
Next $1,500,000	2.00%	Equals (=) 1.25% of $ Value of Fund Assets
Next $2,500,000	1.50%	
Next $5,000,000	1.00%	

*This credit is provided to offset certain compensation received by PSI and its affiliates from the Funds or their affiliates for providing various services to the Funds.

This Agreement contains a pre-dispute arbitration clause found in section 8, page Governing Law; Arbitration.

X (b)(6), (b)(7)(C)

Client Signatur **Client Signature** **Date**

(b)(6), (b)(7)(C)

Print Name and Title **Print Name and Title**

If signing as the appropriate named fiduciary of an employee benefit plan, please indicate the capacity in which you are acting (i.e. Trustee, administrator)

Original Copy

Client Copy (This copy will be mailed to client upon IMS acceptance)

Investment Manager Copy

Branch Copy

Financial Advisor: These account opening instructions are intended to assist branch personnel involved in the opening of these accounts. Please indicate MACS Managers and Mutual Fun (if applicable) selected by the client. The completed instructions should be forwarded to IMS Operations along with the MACS Client Agreement, Questionnaire and Proposal.

MANAGED ASSETS CONSULTING SERVICES
ACCOUNT(S) OPENING INSTRUCTIONS
Single Manager Search Proposal

FA NAME: (b)(6), (b)(7)(C) FA NUMBER: (b)(6), (b)(7)(C)
CLIENT NAME: (b)(6), (b)(7)(C)
DATE PREPARED: October 4, 1999

TAG #: (b)(6), (b)(7)(C)

Please indicate below which MACS Manager or Mutual Fund (if applicable) the client selected for each asset class. Open one account(s) on the Client Profile (CP) system for each MACS Manager selected. Please populate the managed account field "MC", and the Power of Attorney field "OT".

An account number will be assigned in the MACS ledger.

Next, please code each account with the appropriate investment objective and risk tolerance as indicated below. Please remember to insert the new account number(s) assigned by the CP System.

ACCOUNT NUMBER: (b)(6), (b)(7)(C) 20

Manager Selection			Investment Objective	Risk Tolerance	Target Balance
___ INVESCO	- GLOBAL EQUITY	MAC0H1	Growth	Moderately Aggressive	$_____
___ LAZARD	- GLOBAL EQUITY	MAC048	Growth	Moderately Aggressive	$_____
✓ BRANDES	- GLOBAL EQUITY	MAC049	Growth	Moderately Aggressive	$150,000

(2)

SUMMARY OF THE MACS QUESTIONNAIRE RESPONSES

October 4, 1999 TAG#: (b)(6), (b)(7)(C)

Dear MACS Manager:
This is a summary of the client's Questionnaire responses for its MACS account(s). Please note that you may not be the only manager the client has hired within the program, and that the overall investment objective and risk tolerance for the client applies to the client's total portfolio within the Program. In these cases, the Type of MACS relationship will read ASSET ALLOCATION or DOMESTIC EQUITY PAIR in the table below.

Client Name: (b)(6), (b)(7)(C)
Tax ID:
Client DOB:

Type of client: Individual
Address: (b)(6), (b)(7)(C)

Type of MACS Relationship: Single Manager
Purpose: General investment purposes
Investment Objective: Growth Risk Tolerance: Moderately Aggressive
Time Horizon: 3-5 Years
Net Worth: $2,500,000
Total Assets considered for MACS: $200,000
Expected Withdrawals to exceed 10%: Starting when:
Future Financial Situation: Same

Security Restrictions: There are no individual security restrictions on the management of this Portfolio.

Financial Advisor: (b)(6), (b)(7)(C)
Branch: branch Phone:
Address: LONDON WEST END (INTERNATIONAL)
PRUDENTIAL-BACHE SECURITIES (U.K.) INC.
GRAND BUILDINGS
1-3 THE STRAND
TRAFALGAR SQUARE

A copy of a MACS Questionnaire and a standard Investment Policy Statement (IPS) for your investment style, including investment guidelines, has been previously provided to you. The client's completed questionnaire and individualized Investment Policy Statement is available upon request. If there is additional information you may require regarding the account, please contact the Financial Advisor.

MACS INVESTMENT QUESTIONNAIRE RESPONSES - DOCUMENT CODE 51

1. (B) INVESTMENT OBJECTIVE (A or B) (3)ACCOUNT TYPE (1 to 4)

A. Income
1. Tax Exempt Fixed
2. Taxable Fixed

B. Growth
1. Balanced
2. Equity
3. Global Equity
4. International Equity

2. (7)RISK COMFORT LEVEL (1 - 10) 3. (9)MAXIMUM RISK LEVEL (1 - 10)

Less Risk More Risk

1 ---2---3---4---5---6---7---8---9--- 10

More Conservative More Aggressive

4. (D)RISK TOLERANCE WITHIN INVESTMENT OBJECTIVE (A - E)

A. Conservative
B. Moderately Conservative
C. Moderate
D. Moderately Aggressive
E. Aggressive

5. (B)TIME HORIZON (A - F)

A. 1 - 3 years
B. 3 - 5 years
C. 5 - 10 years
D. 10 - 15 years
E. 15 - 20 years
F. 20+ years

6. (C)PORTFOLIO MANAGEMENT (A - D)

A. Minimize Losses - Low Risk/Return
B. Pace the Market - Moderate Risk/Return
C. Beat the Market - High Risk/Return
D. Maximize Return - Maximum Risk/Return

7. (C)INVESTMENT CONSISTENCY (A - C)

A. Important
B. Somewhat Important
C. Not Important

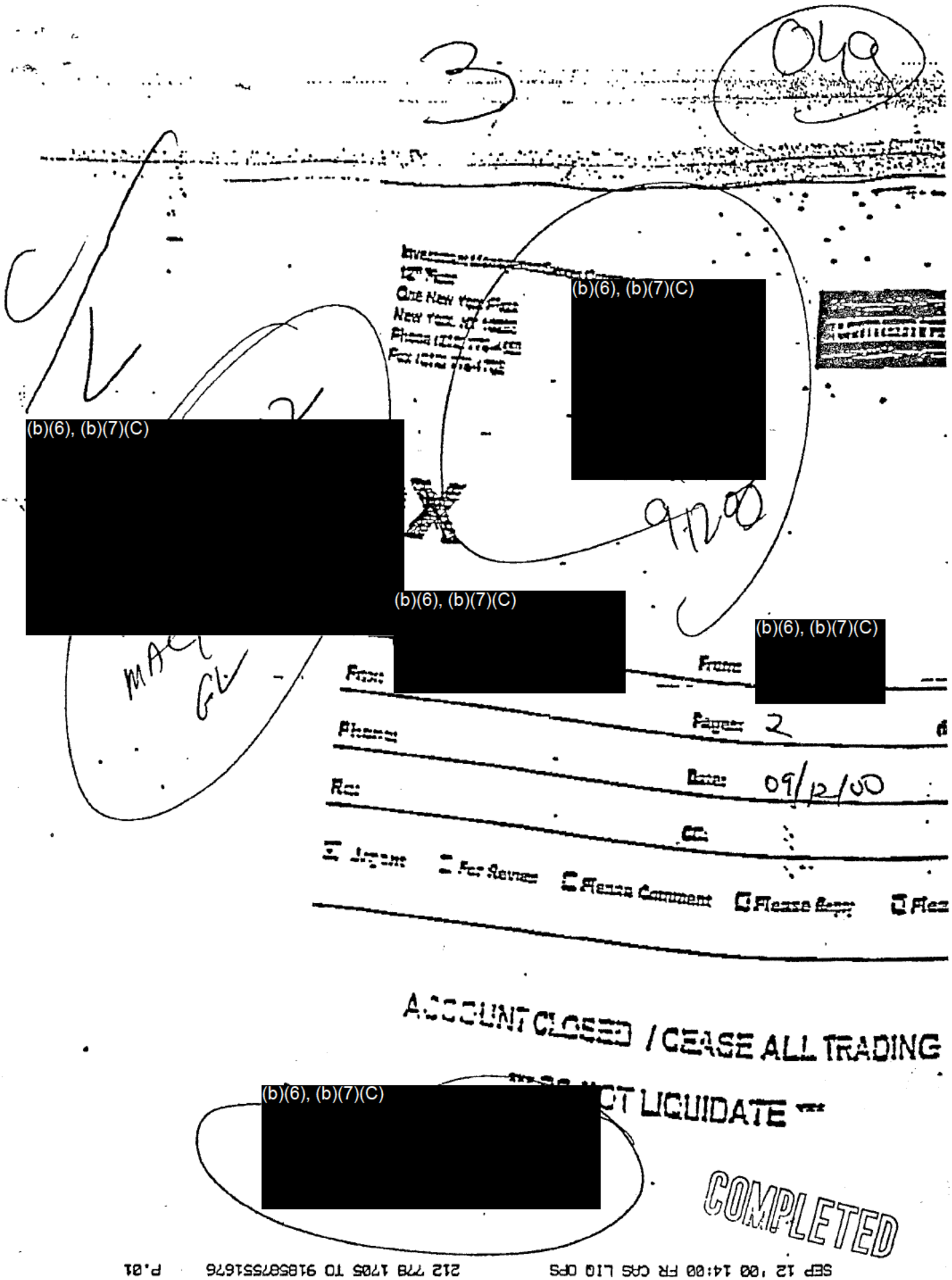
8. (C)VIEW OF INVESTMENT RISK: A.Inflation B.Income C.Target Return D.Volatility

9. SELECT THE HYPOTHETICAL PORTFOLIO THAT MOST SUITS YOUR INVESTMENT PROFILE: (A)

	init inv	end 1st yr	end 2nd yr	end 3rd yr	end 4th yr	end 5th yr
Portfolio A	$100K	$87K	$129K	$165K	$153K	$187K
Portfolio B	$100K	$94K	$127K	$158K	$147K	$176K
Portfolio C	$100K	$95K	$125K	$149K	$141K	$161K
Portfolio D	$100K	$109K	$121K	$138K	$139K	$147K
Portfolio E	$100K	$110K	$117K	$126K	$128K	$134K

10. WOULD YOU LIKE TO BE PRESENTED WITH CONVERIBLE SECURITIES MANAGERS (Y/N): (N)

11. WOULD YOU LIKE TO BE PRESENTED WITH CONCENTRATED EQUITY MANAGERS (Y/N): (Y)



SEP 12 '00 14:00 FR CRS LIO OPS 212 778 1705 TO 918587551676 P.01

FROM : PRUDENTIAL-BACHE INT'L Fax:020

(b)(6), (b)(7)(C)

Prudential-Bache (b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

1-5 Strand, Trafalgar Square, London WC2N 5HR
Tel +44 (0)20 7425 4181 Fax +44 (0)20 7437 5110

10

REVOCATION OF POWER OF ATTORNEY

(b)(6), (b)(7)(C)

RE ACCOUNT TITLE:

ACCOUNT NUMBER:

I (We) hereby revoke and cancel the power of attorney constituting and appointing Brandes - Global as agent and attorney in fact for the above referenced account. This revocation is effective immediately.

Any authorization delegated to the above investment manager, including but not limited to, discretionary trading authority, the right and obligation to vote proxies, make tender offer determinations, and/or receive interim reports on my behalf is herewith rescinded.

I (We) direct the disposition of the assets in the account as follows

___ Transfer all securities and cash in kind to account number _____

✓ Liquidate all securities and transfer proceeds on settlement date to account number (b)(6), (b)(7)(C)

___ Other (Partial Liquidation and Partial Transfer). Specific instructions per security are attached. Please note: PSI cannot act on the partial liquidation/partial transfer election unless complete written instructions regarding the disposition of each position are provided.

___ Maintain assets in existing account. (Only for Clients Selecting New MACS Manager) I (We) understand and agree that for any period of time between this revocation and the grant of a new power of attorney to the new MACS manager, I (we) am (are) solely responsible for the investment of assets in the account.

Reason for closing account : Family reasons/circumstances

By signing below, I (we) attest that I (we) am (are) authorized to sign this document.

X (b)(6), (b)(7)(C) _____

Signature of Client Date

(b)(6), (b)(7)(C)

Print Name and Title

(b)(6), (b)(7)(C) _____

Signature of Client Date

(b)(6), (b)(7)(C)

Print Name and Title

(b)(6), (b)(7)(C)

Closing b/c

176,106.53

Member of the London Stock Exchange
Regulated by the Securities and Futures Authority Limited
Member of SFA, the London Stock Exchange, LIFFE and IPE
A Member of the Prudential Financial Services Company of America

User Id: LMAC045
WinMACS Version 1.2.1

Date: 9/12/00 Time: 11:08:37 AM
Prudential Securities Inc.

PAMM (F1-HELP) Portfolio Calculator Trading System MAC049
Selection: Account Model Maintenance 09/12/00
Model: CLOS Start From Account : (b)(6), (b)(7)(C) Cont
Model Transfer(Y): New Model:

Enter "T" To Transfer Accounts From This Model To Another Model:

TRF	Account	MDL	TRF	Account	MDL	TRF	Account	MDL
_	(b)(6), (b)(7)(C)		_			_		
_			_			_		
_			_			_		
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Selected Accounts = 1506 Total Accounts = 1506

325W-Last page for model number
F7 - Prev F8 - Next F9 - PACT F10 - Main Menu

WRAP ACCOUNT DATA SHEET

1

DATE RECD: 10/28/99 OPENING DATE: 10/28/99 CLIENT ID: (b)(6), (b)(7)(C)

FAX INFORMATION

TO: FROM: (b)(6), (b)(7)(C) DATE:

FIRM: FR FIRM: Brandes Investment Partners PAGES:

APPROVAL / QUICK WRAP INFORMATION

ACCOUNT #: (b)(6), (b)(7)(C)

ACCOUNT TITLE: (b)(6), (b)(7)(C)

STYLE: ___ (IN) International Equity ___ (GL) Global Equity ___ (BL) Global Balanced ___ (DM) Domestic Equity

___ (EM) Emerging Markets

ACCOUNT VALUE: 149,470 CASH / SECURITIES / BOTH (circle one)

RESTRICTIONS: YES / NO

WITHDRAWALS: YES / NO

% NET WORTH: 60%

COMMENTS: *Geneva Act

MAIN WRAP INFORMATION

CLIENT INFORMATION

CONTACT PERSON: HOME PHONE:

ADDRESS: WORK PHONE:

FAX:

ACCOUNT TYPE: ERISA ENDOW CORP FNDTN IRA TRUST IND JT (circle one)

WRAP PROGRAM CODE: MAC

BROKER INFORMATION (b)(6), (b)(7)(C)

BROKER NAME: PHONE:

BROKER ID: FAX:

FIRM: ASST:

ADDRESS: SALES REP: AJ MJ EB JC CY JM EI AM VT LB

Approved by: Q-Wrapped by: Main Wrapped by: QC'd B (b)(6), (b)(7)(C)

WRAP.DOC bz:9/3/98

User Id: LMAC045
WinMACS Version 1.2.1

Date: 10/28/99 Time: 6:36:22 AM
Prudential Securities Inc.

1

New Account

Pru-4

PORT

Portfolio Calculator Trading System
Positions Detail

MAC049
10/28/99
09:36:21

Account: (b)(6), (b)(7)(C) ===> (b)(6), (b)(7)(C) 165 Model: A

Equity	Fixed Income	Cash	Portfolio	Unreal G/L	WI
N/A	N/A	$149,470	$149,470	N/A	Balance
N/A	N/A	100.00%	100.00%		N/A

Quantity	Price	Avg-Cost	Mkt-Value	Gain/Loss	E/F %	Port %
150,000	PRUMERICA LIQ/R USD			PLRDX		
	$1	$1	$150,000	$0+	N/A	C 100.35

***** End of PORT Print Report on 10/28/99 at 09:36:21 *****

ATTN: TEAM B

(b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

September 10, 2001

Brandes Investment Partners
11988 El Camino Real
Suite 500
San Diego, California 92191-9048

Dear Sir:

I am terminating Brandes investment management agreement for account (b)(6), (b)(7)(C) (b)(6), (b)(7)(C) Please liquidate all security positions. Instructions for the disposition of the assets will follow.

Thank you for your prompt service.

Sincerely,

(b)(6), (b)(7)(C)

ATTN: TEAM B

(b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

September 10, 2001

Brandes Investment Partners
11988 El Camino Real
Suite 500
San Diego, California 92191-9048

Dear Sir:

We are terminating Brandes investment management agreement for account (b)(6), (b)(7)(C) (b)(6), (b)(7)(C) Please liquidate all security positions. Instructions for the disposition of the assets will follow.

Thank you for your prompt service.

Sincerely,

(b)(6), (b)(7)(C)

(b)(5), (b)(6), (b)(7)(C)

A

Exxon Mobil Corporation
5959 Las Colinas Boulevard
Irving, Texas 75039-2298

(b)(6), (b)(7)(C)

ExxonMobil

FEDERAL EXPRESS

October 5, 2001

(b)(6), (b)(7)(C)

Securities and Exchange Commission
Division of Enforcement
450 Fifth Street, NW
Washington, DC 20549-0801

September 17 ExxonMobil Stock Transaction

Dear (b)(6), (b)(7)(C)

Per our telephone conversation, attached is the information about an apparent large sell transaction in ExxonMobil on September 17 that was brought to our attention by a stock watch firm. I discussed it with the NYSE and they suggested we provide the information to the SEC as the NYSE does not have the depository firm, Bank of New York, where this transaction originated. It is hard to understand how a sale of this magnitude could have occurred without it attracting attention, but the stock watch firm maintains it was a market transaction on that day.

If we can be of any further help, please feel free to give me a call at (b)(6), (b)(7)(C)

Sincerely,

(b)(6), (b)(7)(C)

TPT/dll
Attachments – Based on the volume of material
we are sending this by overnight mail.

ExxonMobil Trading on September 17, 2001

Citigate Dewe Rogerson (CDR) is a New Jersey based stock watch firm that has recently begun providing stock watch information to Exxon Mobil Corporation. After reviewing depository information, CDR identified the following:

- On the settlement listing for September 17th trading, a large transaction of roughly 8 million XOM shares is shown decreasing for a single account. (Bank of NY 9/20-9/21 DTC settlement, Attachment I)

- A recent non-objecting beneficiary owner (NOBO) listing identified the account as belonging to Credit Arigole Indosuez Grand Cayman which had 8.9 million shares as of 8-27-01 (Attachment II).

- The custodian provided additional information to CDR showing that the account only had around 400k shares remaining as of 9-26-01 (Attachment III).

- ExxonMobil queried CDR several times about the nature of this transaction. CDR insists that the transaction represents a market sale rather than a stock loan or change in depository.

- CDR also observed a large increase of about the same magnitude in another custodian's account, Deutsche Bank Alex Brown. CDR contacted this custodian and confirmed that one of the firm's own trading accounts increased by roughly 7 million shares on the same transaction date. (Bank of NY 9/20-9/21 DTC settlement, Attachment I)

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Despite the statements made by CDR, ExxonMobil is skeptical that a market transaction of this magnitude could have occurred discretely. The NYSE trading information summary (Attachment IV) indicates that on 9-17-01 no one clearing member handled a number of sales transactions that approached 8 million shares. In order for a sale of this size to go largely unnoticed, the transaction would have to be split between many clearing firms which raises the question of how the seller could have coordinated such a complicated market sale.

There are several indications that 9-17-01 was an unusual trading day:

- Block volume was just over 9 million shares. The two largest single transactions were 897,000 and 545,000 shares
- Overall volume was extremely heavy at 16.7 million shares, nearly double the average volume of the preceding sessions
- The NYSEnet reports show that the top 10 clearing members sold over 8 million shares (Attachment IV)
- Bloomberg reports indicate that there were 32 trades larger than 50,000 shares, 8 trades larger than 10,000 shares, and two large trades over 500,000 shares (Attachments V, VI)

While the17th was unusual, a single transaction for nearly half the total volume of XOM stock seems unlikely. However, given recent events and our inability to disprove CDR's interpretations, ExxonMobil was concerned. Consequently, we brought this to the attention of the NYSE. They recommended that we contact the SEC, since the matter involved DTC data and was outside their jurisdiction.
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B

10/25/01 12:39 PM QUERY: Results

R4108(10/24/01);SFIRM=0573-TDATE=20010918-SYMBOL=XOM;SORT

TDATE	SDATE	CTLNO	ACTION	TTIM	BS	SIZ	SYMBOL	PRICE	EX	CTRY	ACCTYP	CM	CTRACM	COMMENTS
20010918	20010924	21575	A	752	C	8000000	XOM	40.15000000	XX	GB	A	0573	0573	AGENCY CROSS

Deutsche Banc Alex. Brown

Deutsche Bank

Deutsche Banc Alex. Brown Inc.
31 West 52nd Street
New York, NY 10019

Via Facsimile

November 2, 2001

(b)(6), (b)(7)(C)

US Securities and Exchange Commission
Division of Enforcement
450 Fifth Street, N.W.
Washington, DC 20549-0804

Compliance
Direct Tel (b)(6), (b)(7)(C)
Direct Fax

Re : In the Matter of Exxon Mobil Corporation ("XOM")

Dear Mr. Glascoe:

This letter is in response to your letter dated October 18, 2001 regarding the above-noted matter. According to our records, Deutsche Banc Alex. Brown ("DBAB") effected an agency cross transaction of 8,000,000 shares of XOM @ 40.15 on September 18, 2001.

- The account purchasing the shares was #(b)(4) Asset Swaps Short External Cpty, which is a proprietary account for our affiliate, Deutsche Bank AG London ("DBAG").
- The account selling the shares was #(b)(4) Credit Agricole Indosuez (b)(4)
- The shares were credited to DBAB's Depository Trust Company account on settlement date September 20, 2001. Credit Agricole had held the shares at another broker-dealer.
- The cross transaction was effected "off-board" on the Bermuda Stock Exchange and reported to the New York Stock Exchange ("NYSE") under NYSE Rule 410B.
- It is our understanding that the purpose of XOM transaction from DBAG's prospective was to facilitate the unwind of a hedge for a large derivative transaction.
- The DBAB trader who handled the transaction was (b)(6), (b)(7)(C)

If you have any questions, please contact the right-hand signatory at the above number.

Sincerely,

(b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

(b)(5), (b)(6), (b)(7)(C)

(b)(5)

Comp/CLOSE/PRICE

[illegible] CA [illegible] PRICE [illegible] N $ DELAYED

HI 69.9375 ON 12/ 8/00
AVE 60.282 VL 3772338
LOW 35.80 ON 9/17/01

Range [illegible] to [illegible] Period Daily
USD Market Trade

	DATE	PRICE	VOLUME		DATE	PRICE	VOLUME		DATE	PRICE	VOLUME
F				F	8/31	51.20	1939700	F	8/10	56.85	2330500
T				T	8/30	50.50	2545200	T	8/ 9	56.36	3755500
W				W	8/29	50.70	3541600	W	8/ 8	56.61	2982800
T				T	8/28	51.65	4484400	T	8/ 7	57.50	4131900
M	[illegible]	35.80	21274300	M	8/27	53.06	1694300	M	8/ 6	58.40	2732600
F	9/14			F	8/24	53.63	2361300	F	8/ 3	59.21	1947300
T	9/13			T	8/23	52.17	1604200	T	8/ 2	58.82	2348200
W	9/12			W	8/22	52.30	4198300	W	8/ 1	59.00	2175100
T	9/11			T	8/21	51.94	3330300	T	7/31	58.53	2661300
M	9/10	43.46	6618500	M	8/20	53.34	3248000	M	7/30	57.40	2634300
F	9/ 7	45.18	8116600	F	8/17	54.00	2413700	F	7/27	58.14	2612400
T	9/ 6	48.84	3942700	T	8/16	55.13	2962100	T	7/26	58.11	2311900
W	9/ 5	50.61	3355600	W	8/15	54.44	3336500	W	7/25	56.67	1590500
T	9/ 4	49.95	3245700	T	8/14	55.89	2119000	T	7/24	55.26	2178000
M	9/ 3			M	8/13	56.45	1641800	M	7/23	56.25	2123900

Australia 61 2 9777 8655 Brazil 5511 3048 4500 Europe 44 20 7330 7575 Germany 49 69 92041210
Hong Kong 852 2977 6200 Japan 81 3 3201 8880 Singapore 65 212 1234 U.S. 1 212 318 2000 Copyright 2001 Bloomberg L.P.
I689-291-0 18-Sep-01 9:33:44

Bloomberg PROFESSIONAL

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Historical Contract Volume Query

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Options contract volume on **BA** for activity date 08/31/2001.

Please note: All values stated in this report represent contract sides (1 side long, 1 side short). Therefore to get a number that reflects the total number of contracts (both long and short combined as 1 contract), you must divide the total exchange volume shown by 2.

For example: ISE reports 1400 contract sides, the actual number of contracts would be 700. (1400 divided by 2 is 700).

Options Symbol	Exchange Volume					Call/Put Volume		Transaction Type		
	AMEX	CBOE	ISE	PCX	PHLX	Calls	Puts	Cust	MM	Firm
BA	640	1,534	670	216	0	1,606	1,454	1,240	1,800	20
LBO	2	30	0	0	0	32	0	18	14	0
VBO	0	88	0	200	0	288	0	144	144	0
Totals	**642**	**1,652**	**670**	**416**	**0**	**1,926**	**1,454**	**1,402**	**1,958**	**20**
Percent*	**19%**	**49%**	**20%**	**12%**	**0%**	**57%**	**43%**	**41%**	**58%**	**1%**

***Percentages may not equal 100% due to rounding**

P/C Ratio
0.75 Puts to 1 Call

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Options contract volume on **BA** for activity date 09/04/2001.

Please note: All values stated in this report represent contract sides (1 side long, 1 side short). Therefore to get a number that reflects the total number of contracts (both long and short combined as 1 contract), you must divide the total exchange volume shown by 2.

For example: ISE reports 1400 contract sides, the actual number of contracts would be 700. (1400 divided by 2 is 700).

Options Symbol	Exchange Volume					Call/Put Volume		Transaction Type		
	AMEX	CBOE	ISE	PCX	PHLX	Calls	Puts	Cust	MM	Firm
BA	3,112	5,774	772	102	64	4,318	5,506	4,701	3,348	1,775
LBO	0	0	0	14	0	14	0	7	7	0
VBO	0	42	0	0	2	44	0	23	21	0
Totals	**3,112**	**5,816**	**772**	**116**	**66**	**4,376**	**5,506**	**4,731**	**3,376**	**1,775**
Percent*	**31%**	**59%**	**8%**	**1%**	**1%**	**44%**	**56%**	**48%**	**34%**	**18%**

***Percentages may not equal 100% due to rounding**

P/C Ratio
1.25 Puts to 1 Call

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Options contract volume on **BA** for activity date 09/05/2001.

Please note: All values stated in this report represent contract sides (1 side long, 1 side short). Therefore to get a number that reflects the total number of contracts (both long and short combined as 1 contract), you must divide the total exchange volume shown by 2.

For example: ISE reports 1400 contract sides, the actual number of contracts would be 700. (1400 divided by 2 is 700).

Options Symbol	Exchange Volume					Call/Put Volume		Transaction Type		
	AMEX	CBOE	ISE	PCX	PHLX	Calls	Puts	Cust	MM	Firm
BA	4,202	3,482	834	2,428	4	1,904	9,046	6,486	3,604	860
LBO	0	2	440	0	80	282	240	81	441	0
VBO	6	94	0	0	0	60	40	52	48	0
Totals	**4,208**	**3,578**	**1,274**	**2,428**	**84**	**2,246**	**9,326**	**6,619**	**4,093**	**860**
Percent*	**36%**	**31%**	**11%**	**21%**	**1%**	**19%**	**81%**	**57%**	**35%**	**7%**

***Percentages may not equal 100% due to rounding**

P/C Ratio
4.15 Puts to 1 Call

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Options contract volume on **BA** for activity date 09/06/2001.

Please note: All values stated in this report represent contract sides (1 side long, 1 side short). Therefore to get a number that reflects the total number of contracts (both long and short combined as 1 contract), you must divide the total exchange volume shown by 2.

For example: ISE reports 1400 contract sides, the actual number of contracts would be 700. (1400 divided by 2 is 700).

Options Symbol	Exchange Volume					Call/Put Volume		Transaction Type		
	AMEX	CBOE	ISE	PCX	PHLX	Calls	Puts	Cust	MM	Firm
BA	14,600	1,402	946	1,086	0	1,296	16,738	8,650	2,678	6,706
LBO	8	0	0	0	0	2	6	4	4	0
VBO	14,252	11,262	300	80	4,000	15,506	14,388	15,942	4,365	9,587
Totals	**28,860**	**12,664**	**1,246**	**1,166**	**4,000**	**16,804**	**31,132**	**24,596**	**7,047**	**16,293**
Percent*	**60%**	**26%**	**3%**	**2%**	**8%**	**35%**	**65%**	**51%**	**15%**	**34%**

***Percentages may not equal 100% due to rounding**

P/C Ratio
1.85 Puts to 1 Call

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Options contract volume on **BA** for activity date 09/07/2001.

Please note: All values stated in this report represent contract sides (1 side long, 1 side short). Therefore to get a number that reflects the total number of contracts (both long and short combined as 1 contract), you must divide the total exchange volume shown by 2.

For example: ISE reports 1400 contract sides, the actual number of contracts would be 700. (1400 divided by 2 is 700).

Options Symbol	Exchange Volume					Call/Put Volume		Transaction Type		
	AMEX	CBOE	ISE	PCX	PHLX	Calls	Puts	Cust	MM	Firm
BA	1,784	13,356	7,284	5,556	15,870	16,556	27,294	19,828	16,369	7,653
LBO	28	92	122	0	0	108	134	80	162	0
VBO	5,600	10,134	606	22	122	15,366	1,118	10,290	2,344	3,850
Totals	**7,412**	**23,582**	**8,012**	**5,578**	**15,992**	**32,030**	**28,546**	**30,198**	**18,875**	**11,503**
Percent*	**12%**	**39%**	**13%**	**9%**	**26%**	**53%**	**47%**	**50%**	**31%**	**19%**

***Percentages may not equal 100% due to rounding**

P/C Ratio
0.89 Puts to 1 Call

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Options contract volume on **BA** for activity date 09/10/2001.

Please note: All values stated in this report represent contract sides (1 side long, 1 side short). Therefore to get a number that reflects the total number of contracts (both long and short combined as 1 contract), you must divide the total exchange volume shown by 2.

For example: ISE reports 1400 contract sides, the actual number of contracts would be 700. (1400 divided by 2 is 700).

Options Symbol	Exchange Volume					Call/Put Volume		Transaction Type		
	AMEX	CBOE	ISE	PCX	PHLX	Calls	Puts	Cust	MM	Firm
BA	2,648	38,600	2,956	2,920	82	30,188	17,018	22,893	20,699	3,614
LBO	0	168	0	2	12	150	32	94	88	0
VBO	6,960	12,846	112	20	15,400	21,006	14,332	27,535	3,144	4,659
Totals	**9,608**	**51,614**	**3,068**	**2,942**	**15,494**	**51,344**	**31,382**	**50,522**	**23,931**	**8,273**
Percent*	**12%**	**62%**	**4%**	**4%**	**19%**	**62%**	**38%**	**61%**	**29%**	**10%**

***Percentages may not equal 100% due to rounding**

P/C Ratio
0.61 Puts to 1 Call

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Options contract volume on **BA** for period 08/13/2001 thru 8/17/2001.

Please note: All values stated in this report represent contract sides (1 side long, 1 side short). Therefore to get a number that reflects the total number of contracts (both long and short combined as 1 contract), you must divide the total exchange volume shown by 2.

For example: ISE reports 1400 contract sides, the actual number of contracts would be 700. (1400 divided by 2 is 700).

Options Symbol	Exchange Volume					Call/Put Volume		Transaction Type		
	AMEX	CBOE	ISE	PCX	PHLX	Calls	Puts	Cust	MM	Firm
BA	6,716	25,776	12,114	4,934	2,482	17,074	34,948	21,311	29,109	1,602
LBO	22	98	426	40	0	476	110	161	425	0
VBO	1,432	690	608	0	7,400	10,026	104	5,149	3,781	1,200
Totals	**8,170**	**26,564**	**13,148**	**4,974**	**9,882**	**27,576**	**35,162**	**26,621**	**33,315**	**2,802**
Percent*	**13%**	**42%**	**21%**	**8%**	**16%**	**44%**	**56%**	**42%**	**53%**	**4%**

100% 30%

*Percentages may not equal 100% due to rounding

P/C Ratio
1.27 Puts to 1 Call

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Options contract volume on **BA** for period 08/27/2001 thru 8/31/2001.

Please note: All values stated in this report represent contract sides (1 side long, 1 side short). Therefore to get a number that reflects the total number of contracts (both long and short combined as 1 contract), you must divide the total exchange volume shown by 2.

For example: ISE reports 1400 contract sides, the actual number of contracts would be 700. (1400 divided by 2 is 700).

Options Symbol	Exchange Volume					Call/Put Volume		Transaction Type		
	AMEX	CBOE	ISE	PCX	PHLX	Calls	Puts	Cust	MM	Firm
BA	8,542	16,356	8,298	2,556	1,314	12,034	25,032	14,587	17,686	4,793
LBO	52	292	0	70	0	204	210	209	205	0
VBO	98	846	206	220	10	1,120	260	635	744	1
Totals	**8,692**	**17,494**	**8,504**	**2,846**	**1,324**	**13,358**	**25,502**	**15,431**	**18,635**	**4,794**
Percent*	**22%**	**45%**	**22%**	**7%**	**3%**	**34%**	**66%**	**40%**	**48%**	**12%**

***Percentages may not equal 100% due to rounding**

P/C Ratio
1.90 Puts to 1 Call

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Options contract volume on **BA** for period 09/03/2001 thru 9/7/2001.

Please note: All values stated in this report represent contract sides (1 side long, 1 side short). Therefore to get a number that reflects the total number of contracts (both long and short combined as 1 contract), you must divide the total exchange volume shown by 2.

For example: ISE reports 1400 contract sides, the actual number of contracts would be 700. (1400 divided by 2 is 700).

Options Symbol	Exchange Volume					Call/Put Volume		Transaction Type		
	AMEX	CBOE	ISE	PCX	PHLX	Calls	Puts	Cust	MM	Firm
BA	23,698	24,014	9,836	9,172	15,938	24,074	58,584	39,665	25,999	16,994
LBO	36	94	562	14	80	406	380	172	614	0
VBO	19,858	21,532	906	102	4,124	30,976	15,546	26,307	6,778	13,437
Totals	**43,592**	**45,640**	**11,304**	**9,288**	**20,142**	**55,456**	**74,510**	**66,144**	**33,391**	**30,431**
Percent*	**34%**	**35%**	**9%**	**7%**	**15%**	**43%**	**57%**	**51%**	**26%**	**23%**

***Percentages may not equal 100% due to rounding**

P/C Ratio 1.34 Puts to 1 Call

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Options contract volume on **BA** for period 09/10/2001 thru 9/14/2001.

Please note: All values stated in this report represent contract sides (1 side long, 1 side short). Therefore to get a number that reflects the total number of contracts (both long and short combined as 1 contract), you must divide the total exchange volume shown by 2.

For example: ISE reports 1400 contract sides, the actual number of contracts would be 700. (1400 divided by 2 is 700).

Options Symbol	Exchange Volume					Call/Put Volume		Transaction Type		
	AMEX	CBOE	ISE	PCX	PHLX	Calls	Puts	Cust	MM	Firm
BA	2,648	38,600	2,956	2,920	82	30,188	17,018	22,893	20,699	3,614
LBO	0	168	0	2	12	150	32	94	88	0
VBO	6,960	12,846	112	20	15,400	21,006	14,332	27,535	3,144	4,659
Totals	**9,608**	**51,614**	**3,068**	**2,942**	**15,494**	**51,344**	**31,382**	**50,522**	**23,931**	**8,273**
Percent*	**12%**	**62%**	**4%**	**4%**	**19%**	**62%**	**38%**	**61%**	**29%**	**10%**

UNCH ✓ 100%

*Percentages may not equal 100% due to rounding

P/C Ratio
0.61 Puts to 1 Call

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RSEC 0301030

Australia

ASIC

Australian Securities & Investments Commission

Level 13, CGU Tower
485 La Trobe Street
GPO Box 9827 Melbourne VIC 3001
DX 423 Melbourne

Telephone: (03) 9280 3200
Facsimile: (03) 9280 3444

Our Reference:
Your Reference:

24 October 2003

Mr Ethiopis Tafara
Director – Office of International Affairs
US Securities and Exchange Commission
450 5th Street NW
WASHINGTON DC 20549 – 1104
UNITED STATES

Fax: +1 202 942 9524

Dear Mr Tafara

REQUEST FOR CONSENT TO RELEASE OF INFORMATION

I refer to your letter of 21 October 2003 requesting ASIC's consent to the release of information provided to the Securities and Exchange Commission ("SEC") pursuant to section 127(4)(c) of the *Australian Securities and Investments Commission Act* ("ASIC Act") to the National Commission on Terrorist Attacks Upon the United States ("9-11 Commission").

The information that ASIC provided to the SEC concerned its inquiries into whether there was any unusual trading in stocks with the US connection, that were traded on Australian markets prior to the September 11 terrorist attacks.

I am duly authorised as delegate of the Chairman under subsection 127(5) of the ASC Act to release confidential information to foreign agencies under subsection 127(4) of that Act.

In my capacity as a duly authorised delegate of the Chairman of ASIC, I advise you that I am satisfied, in accordance with paragraph 127(4)(c) of the ASC Act, that the disclosure of the information provided to the SEC will enable or assist the 9-11 Commission to perform or exercise one or more of their functions or powers conferred under a law of the United States.

Accordingly, and in my capacity as a delegate of the Chairman of the ASIC, I release of the information ASIC provided to the SEC to the 9-11 Commission.

You are requested to forward the information to the 9-11 Commission with a copy of this letter. The information is released to the 9-11 Commission, on the following condition:

> *The information furnished pursuant to this request can only be used for the purpose of enabling or assisting the 9-11 Commission to perform or exercise one or more of their functions or powers conferred under United States law and for no other purpose, including ensuring compliance with or enforcement of the laws or regulations of the 9-11 Commission.*

I request that the 9-11 Commission take reasonable steps to maintain the confidentiality of the information. If the 9-11 Commission consider that it is necessary to disclose the information to other agencies, persons or entities, then I request that the 9-11 Commission seek ASIC's consent before you disclose the information.

If the 9-11 Commission or any other recipient is subject to a subpoena or other lawful process possibly requiring disclosure of the information, then I request that the 9-11 Commission immediately notify ASIC of that requirement.

If you wish to discuss this matter, or have any queries in relation to the context of this letter, please contact (b)(6), (b)(7)(C) fax 61 3 9280 3339) or by email at (b)(6), (b)(7)(C)*@asic.gov.au*".

Yours sincerely,

(b)(6), (b)(7)(C)

Enforcement

Memo

ASIC

Australian Securities & Investments Commission

TO: (b)(6), (b)(7)(C)

CC: (b)(6), (b)(7)(C)

FROM: (b)(6), (b)(7)(C)

RE: **U.S. SECURITIES AND EXCHANGE COMMISSION REQUEST FOR INFORMATION RE: U.S. PRESIDENTIAL EXECUTIVE ORDER OF SEPTEMBER 24 2001**

FILE REF: NOS 2001/22448

DATE: 8 November 2001

Background

The RMU received a copy of the a fax to (b)(6), (b)(7)(C) from the US Securities and Exchange Commission seeking information related a list entities of interest who may be associated with the terrorists attacks of 11 September 2001.

The RMU (through (b)(6), (b)(7) has sought some clarification of the details provided in the list particularly as a number of the entities are organisations. Our enquiries needed to identify principles of these organisations if we were to provide any information of value. Unfortunately, while (b)(6), (b)(7) has made a number of requests for further clarification, no further information has been received by ASIC.

The RMU also made a number of enquiries with other intelligence (ASIO) and law enforcement agencies (AFP & NCA) which would be undertaking similar enquiries. These agencies were unable to provide any further information other than to confirm that they were undertaking enquiries relating to the matter (NCA had not been requested for information).

The AFP (Federal Agent (b)(6), (b)(7)(C) - Sydney) also asked if ASIC could provide him with a copy of any information we revealed as a result of our enquiries.

Summary of Results

From the information provided we were unable to match any direct association with the names of persons and entities contained on the list provided by the US Securities and Exchange Commission. There were however, a number of indirect associations identified due to the general nature of the details provided.

ASIC-1-000001

CONFIDENTIAL

These are summarised below:

The first reference of a possible indirect association is

Al-Jihad (Egyptian Islamic Jihad) ASCertain reference Al Jihad International Trading Company.

The (b)(6), (b)(7)(C) between 06/05/93-06/07/94 are:
(b)(6), (b)(7)(C)

(b)(6), (b)(7)(C) is linked to 65 other Investment Type Companies.

The second reference of a possible indirect association is

Abu Zubaydah (aka Zayn Al Abidin Muhammad Husayn, Tariq) ASCertain reference (b)(6), (b)(7)(C)
(b)(6), (b)(7)(C) is linked to Oriental Food International since 30/10/00

The third reference of a possible indirect association is

Mamaoun Darkazannli Import-Export Company, ASCertain reference Mamounia Pty Ltd (b)(6), (b)(7)(C) Family Trust).

The only active (b)(6), (b)(7)(C) since 24/10/88 is (b)(6), (b)(7)(C)

The fourth reference of a possible indirect association is

Islamic Peoples Conference of Sydney, ASCertain reference revealed that this company was struck off.

The Directors/Secretary between 22/04/85-00/00/92 are:
(b)(6), (b)(7)(C) . (b)(6), has also been linked with Tristar Travel Service Centre, World International Travel Australia Pty Ltd and Midfield International. He is currently associated with Sam's Welding Corporation.

(b)(6), (b)(7)(C) ASCertain searches reveal a (b)(6), (b) is recorded in Melbourne, where as the initial address record is (b)(6), (b)(7)(C) and is not recorded.
(b)(6), (b)(7)(C) was linked with Ledston Pty Ltd between 26/08/87-13/06/96.

(b)(6), (b)(7)(C) is now linked to Radiant Bobcat & Tipper Hire Pty Ltd since 06/07/00.

I have attached a copy of a spreadsheet detailing the searches made by RMU staff.

It is not possible to draw any direct association with the entities listed in the US Presidential Order and the entities or individuals listed above. This will require more detailed information to be supplied from the US or a comparison of information held by other Australian Government agencies.

You may consider releasing this information to the AFP to assist them with their enquiries into the matter. I am unsure whether the information would be of value to the US without further clarification and/or investigation.

Please advise me how you wish me to proceed.

(b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

Subject: FW: Pre-11 September trading

****
****
Please note that the information contained in the e-mail below, and all attachments thereto, is
CONFIDENTIAL PURSUANT TO SECTION 24(d) OF THE SECURITIES EXCHANGE ACT OF 1934.
Please ensure that this message is attached to all print-outs of the message and its attachments.
****
****

-----Original Message-----
From: (b)(6), (b)(7)(C) [mailto: (b)(6), (b)(7)(C) @asic.gov.au]
Sent: Tuesday, September 25, 2001 9:18 AM
To: (b)(6), (b)(7)(C) @sec.gov
Subject: Pre-11 September trading

Dear (b)(6), (b)(7)(C)

My colleague, (b)(6), (b)(7)(C) our (b)(6), (b)(7)(C) Market Regulation has asked me to pass on the following information in response to your supplemental information to the request for assistance.

None of the securities in the list supplied trade directly on the Australian market. Some (set out in the list below) are accessible to Australian investors by way of a service operated by the ASX known as the
"World Link" service. This service routes orders from Australian brokers,
through a licensed securities dealer operated by the ASX, to Bloomberg Tradebook. The orders are then placed by Bloomberg into a series of US markets. Australian investors who use this service do not receive direct shareholdings, but rather foreign depository interests which give them a right to dividends, but not title in the securities. The advantage of the
service is that it allows a simple mechanism for Australian retail investors to access US securities, while settling in Australian dollars and
without the need to put in place their own custody arrangements. Any trading done through this service, which has not been widely used, ought to
be recorded in trading on the relevant US markets as the orders are routed
there.

The US securities accessible by this service which also appear on your list
are :

Boeing Co
Raytheon Company
L-3 Communications Holdings
Delta Airlines Inc.
General Motors Corp
Bank of America
Bank of New York
Bank One

American Express
Citigroup, Inc.
Lehman Brothers Holdings, Inc.
Morgan Stanley Dean Witter & Co.
Cigna Corp
American International Group, Inc.
Axa

In order to obtain client level information with any certainty, we would need to seek information from participating organisations of the ASX - there are over 80 such brokers. This would clearly incur some risk of breach of confidentiality. Alternatively, we could seek assistance from ASX
to search the names supplied against CHESS registers. This would identify
some, but not necessarily all, client information.

It might be perceived that there is a slight risk of any relevant trading
having taken place in Australia in view of the fact that none of the listed
stocks trade directly on our markets but we are happy to continue if you
would like us to pursue any client records in attempting to identify any of
the persons listed in your supplemental information.
All best wishes,
(b)(6), (b)(7)(C)

****
****
Please note that the information contained in the e-mail below, and all attachments thereto, is
CONFIDENTIAL PURSUANT TO SECTION 24(d) OF THE SECURITIES EXCHANGE ACT OF 1934.
Please ensure that this message is attached to all print-outs of the message and its attachments.
****
****

(b)(6), (b)(7)(C)

From: Cella, Joseph J.
Sent: Wednesday, September 19, 2001 8:34 AM
To: (b)(6), (b)(7)(C)
Subject: FW: Possible Short Selling prior to Terrorist Attack.

Importance: High
Sensitivity: Confidential

FYI
----Original Message-----
From: (b)(6), (b)(7) [mailto:(b)(6), (b)(7)(C)@asx.com.au]
Sent: Tuesday, September 18, 2001 11:51 PM
To: (b)(6), (b)(7)@londonstockexchange.com; cellaj@sec.gov; (b)(6), (b)(7)(C)@nyse.com
Subject: Re: Possible Short Selling prior to Terrorist Attack.
Importance: High
Sensitivity: Confidential

Good Morning

Following press reports regarding the possible short selling and/or buying
of puts in stocks prior to the terrorist attacks on America, we are currently in the process of investigating whether any unusual activity took
place in any ASX listed stocks.

To date we have found no evidence to support this theory, but will continue
with our preliminary enquiries. If in the event we uncover anything suspicious we will notify you as soon as possible.

Regards
(b)(6), (b)(7)(C)

Australian Stock Exchange Ltd
20 Bridge Street
Sydney NSW 2000
Direct (b)(6), (b)(7)(C)
email (b)(6), (b)(7)(C)@asx.com.au

(b)(6), (b)(7)(C)

From: (b)(6), (b)(7)(C)
Sent: Monday, November 12, 2001 8:35 AM
To: (b)(6), (b)(7)(C)
Subject: Fw: President's Executive Order: Release of Confidential Information

Initial_results.doc

(b)(6), (b)(7)(C)
Office of International Affairs

-----Original Message-----
From: (b)(6), (b)(7)(C) @asic.gov.au>
To: (b)(6), (b)(7)(C) @SEC.GOV>
Sent: Mon Nov 12 07:03:55 2001
Subject: President's Executive Order: Release of Confidential Information

Dear (b)(6), (b)(7)(C)

Following your request for any information held by ASIC relating to individuals and entities suspected of being connected with the events of 11 September, our (b)(6), (b)(7)(C) has prepared a report covering the initial results of his Unit's enquiries.

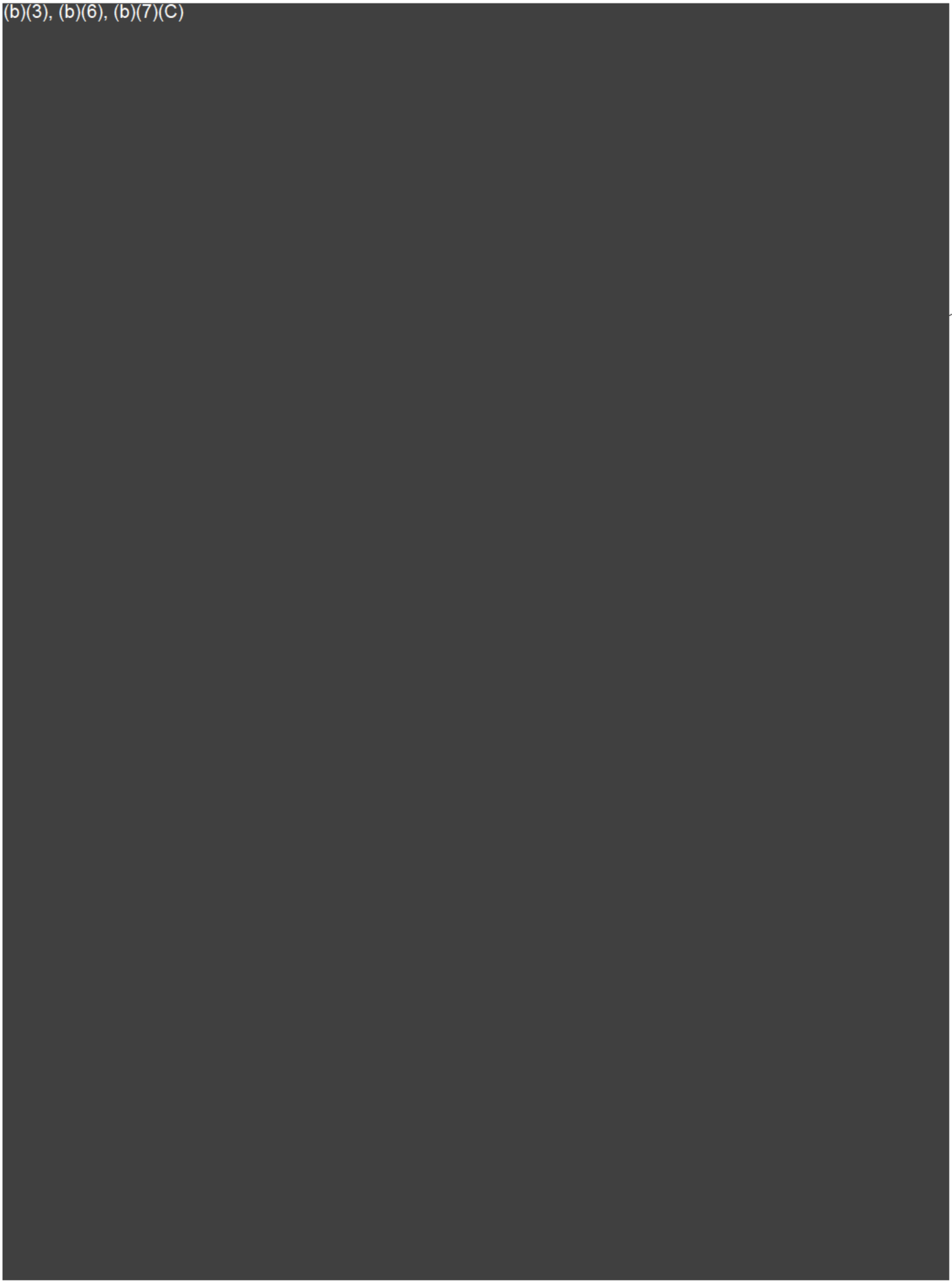
ASIC's delegate (b)(6), (b)(7)(C) authorises the release of this report pursuant to paragraph 127(4)(c) of the ASIC Act. As the report contains confidential information it is released on the basis that the information will assist the SEC, the Department of Justice and the FBI with the exercise of their functions and powers and that the information will only be used for those purposes or functions. Should the information need to be further distributed ASIC's consent will have to be sought.

I trust this is the sort of information requested and that it is useful. Please do not hesitate to contact me should you need any clarification or supplementary information.

with kind regards,
(b)(6), (b)(7)(C)

(See attached file: Initial_results.doc)

RSEC 030107304



CONFIDENTIAL PURSUANT
TO SECTION 24 (d)
BAWE-3-00001

(b)(3), (b)(6), (b)(7)(C)

(b)(3)

RSEC03010730B
1/30

Schwanengasse 12
P.O.Box
CH-3001 Berne
Phone +41 31 322 69 11
Fax +41 31 322 69 26
info@ebk.admin.ch
www.sfbc.admin.ch

Switzerland

Eidgenössische Bankenkommission
Commission fédérale des banques
Commissione federale delle banche
Swiss Federal Banking Commission

Date: October 4, 2001
Responsible: (b)(6), (b)(7)(C)
Department: Exchanges and Markets
Direct phone: (b)(6), (b)(7)(C)
Direct e-mail: (b)(6), (b)(7)(C)@ebk.admin.ch
Reference: 297-3.2

Via fax n° 001 202 942 9524 and air mail
U.S. Securities and Exchange Commission
Office of International Affairs
(b)(6), (b)(7)(C)
450 Fifth Street, N.W., Stop 11-4
Washington D.C. 20549
USA

Request for assistance / Reference OIA No. 2001-0894-11-C

Dear (b)(6), (b)(7)(C)

We refer to your letter of September 24, 2001 concerning the above-captioned request of the U.S. Securities Exchange Commission.

As first information and pursuant to paragraph (1) of your request of September 24, 2001 please find enclosed the complete list of all U.S registered stocks and derivatives traded in Switzerland (i.e. stocks and warrants traded on the SWX Swiss Exchange, Zurich; there are no respective derivatives traded on Eurex Zurich AG)

Upon receipt of your request last week, we immediately ordered respective specific investigations (in addition to already ongoing investigations) with the surveillance offices of our exchanges, which are responsible for the front-line monitoring of the markets. These analyses of market data are at present being carried out and we expect to receive the conclusions and data concerning possible unusual trading in U.S registered stocks and derivatives by the end of this week. We then will carry out the necessary investigations with the involved securities dealers in order to determine customer identifications.

We will contact you as soon as we have any information concerning the requested data. In the meantime, please do not hesitate to contact (b)(6), (b)(7)(C) by phone (+(b)(6), (b)(7)(C) (b)(6), (b)(7)(C), by fax (+41 31 322 69 26) or by E-Mail ((b)(6), (b)(7)(C)@ebk.admin.ch) if

there is any point you would like to discuss. As an additional information, please find enclosed a press communication the SFBC published yesterday concerning the latest activities in this matter.

Very truly yours

Secretariat of the
Swiss Federal Banking Commission

(b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

Exchanges and Markets

Enclosures mentioned

Schwanengasse 12
Postfach
CH-3001 Bern
Telefon +41 31 322 69 11
Telefax +41 31 322 69 26
info@ebk.admin.ch
www.ebk.admin.ch

Eidgenössische Bankenkommission
Commission fédérale des banques
Commissione federale delle banche
Swiss Federal Banking Commission

Press communication: Embargo, Tuesday October 2, 2001, 11 am

Swiss Banking Commission orders freeze and reporting on terrorist accounts and investigates insider trading

The Swiss Federal Banking Commission (SFBC) today orders all Swiss banks and securities' dealers under its supervision to track down banking relationships maintained with individuals and organizations listed by the U.S. President last week for being linked to terrorism. All such business relationships have to be reported to the Money Laundering Reporting Office, and funds are to be frozen. Banks may ask questions informally to the task force lately set up by the Federal Office of Police.

In the aftermath of the September 11 terrorist attacks on New York and Washington D.C., police and criminal investigators all over the world are busy identifying suspects, thus attempting to prevent further terrorist action, i.a. by tracking down terrorists' traces in the financial system.

To promote such investigations, the SFBC is ordering all banks and securities' dealers under its supervision by a letter sent off today to track down business relationships with 27 individuals and organizations whose assets had been frozen by the President of the U.S. effective as from September 24. The list had already been transmitted to the banks by the Swiss Bankers' Association on September 25.

In this letter the SFBC asks to report business relationships maintained in the names of listed individuals or organizations or, in fact, whose beneficial owners they are, to the Money Laundering Reporting Office immediately. According to the Federal Act against Money Laundering, individuals concerned may not be advised. Also, any funds reported on will remain frozen for a maximum of the following five working days. Criminal investigation authorities will have to pronounce themselves during these five days on whether such freeze is to be maintained.

The SFBC expressly welcomes the initiative taken by the Swiss Federal Attorney to set up a central contact desk within the Federal Police assigned to clarify questions arising in this context. The desk may contact any foreign authorities encharged to conduct criminal investigations against terrorists for further clarification. It will also be an important player following this week's establishment of an additional coordinated list drawn up by the Basle Committee on Banking Supervision within the Bank for International Settlements (BIS). The SFBC will forward this list to the banks and securities' dealers under its supervision to be used as a working instrument.

RStC 0 3010730

Folha de São Paulo (SP) , 09/21/01

USA investigates oscillation on Embraer shares

Sérgio Ripardo
Elaine Cotta
Ivone Portes
From Folha Online

Embraer shares, fourth largest aircraft manufacturer in the world and Brazil's largest exporter, had a strong fall on the day before the US was attacked by terrorists.
The expressive oscillation of Embraer's securities, and other companies in this field, brought the attention of the capital market sheriffs from around the world, who investigate the suspicion that groups linked to the terrorists might have had profit with privileged information on the event of the terrorist attack.
Last Monday, the day before the attack, the preferred shares (non-voting) of the company dropped 10% at Bovespa. Embraer's papers negotiated in NY, known as ADRs, dropped 43,7% from the beginning of the month until yesterday, according to Economática.
Between September 6th and 10th alone, the company's ADRs had 11% devaluation, dropping from US$27 to US$24.
The names of the investigated entities are under secrecy, and the investigation does not have a date to finish, affirmed John Nester, SEC's spokesman, the agency that regulates the American financial market.
In Brazil, the CVM is also monitoring the case. The agency's chief of staff, Ana Maria França says ,thus, that still there are not enough elements to correlate the oscillation of Embraer's papers and the attack. She affirmed that investigations are always held when shares oscillate too much.
Embraer's financial vice-president, Antonio Luiz Pizarro Manso, says its "completely improbable" that the paper's drop have a relation with the supposed terrorist operation.

Brazil

R3EC 030107300

Bourse de Montréal

VIA FACSIMILE

September 21, 2001

(b)(6), (b)(7)(C)
(b)(6), (b)(7)(C) Inspection and Investigations Department
Commission des Valeurs Mobilières du Québec
800 Square Victoria
P.O. Box 246
Montreal, Quebec
Canada H4Z 1G3

Quebec

Dear (b)(6), (b)(7)(C)

Re: S.E.C. request for assistance – OIA No.2001-0894-05-C

As per our previous discussions regarding the United States Securities and Exchange Commission ("SEC") urgent request for assistance, regarding possible unusual trading patterns for the stocks and derivatives of U.S. registered companies that are traded on Bourse de Montréal Inc. ("the Bourse") markets, we are now in position to report the following.

The Bourse is essentially a derivatives exchange and do not have any U.S. registered stock listed on its market. However, the Bourse has currently stock options contracts on 33 U.S.-Canada interlisted companies. You will find enclosed a list of those interlisted stock options.

Out of these 33 stocks, only one is U.S. based: TD Waterhouse Group Inc., which is a discount brokerage firm. After a review of the market activity during the period from August 27, 2001 through and including September 11, 2001, we hereby report that we have not identified any unusual trading patterns in the TD Waterhouse Group stock options market for the identified period.

The Bourse is nevertheless reviewing the trading activity in all its other futures and options markets and we will report the results of our investigation as soon as possible.

Should you require additional information, please do not hesitate to communicate with the undersigned at (b)(6), (b)(7)(C)

Yours truly,

(b)(6), (b)(7)(C)

(b)(6), (b)(7)(C) Market Surveillance

Pursuant to Section 24(d)

Tour de la Bourse
C. P. 61, 800, square Victoria, Montréal (Québec) H4Z 1A9
Téléphone : (514) 871-2424, sans frais au Canada : 1 800 361-5353
Courriel : info@me.org

Commission
des valeurs mobilières
du Québec

Inspection et
enquêtes

43

December 17, 2001

(b)(6), (b)(7)(C)

Office of International Affairs
Mail Stop 11-4
U.S. Securities & Exchange Commission
450 Fifth Street N.W.
Washington D.C. 20549-1104

Subject: Your Request for Assistance Related to the Events of September 11th
Our ref.: S.E. 3472

Dear (b)(6), (b)(7)(C)

Following your request for assistance of September 18, 2001, we wish to forward you the results of the review undertaken by the *Bourse de Montréal Inc.* on its market.

They report no unusual trading activity for the period from August 27, 2001 to September 11, 2001.

If we can be of any additional assistance in this matter, please do not hesitate to let us know.

(b)(6), (b)(7)(C)

Encl.\

800, square Victoria, 22e étage, Tour de la Bourse, C. P. 246, Montréal (Québec) H4Z 1G3
Téléphone : (514) 940-2199, poste 4329 • télécopieur : (514) 873-4130 • courriel : isabelle.maillette@cvmq.com

Bourse de Montréal Inc.

REÇU
12 DEC 2001
SERVICE DE L'[illegible]
ET DES EN[illegible]
C.V.M.Q.

CONFIDENTIAL

December 12, 2001

(b)(6), (b)(7)(C)
(b)(6), (b)(7) Inspection and Investigations Department
Commission des Valeurs Mobilières du Québec
800 Square Victoria
P.O. Box 246
Montreal, Quebec
Canada H4Z 1G3

Re: **S.E.C. request for assistance – OIA No.2001-0894-05-C**

Dear (b)(6), (b)(7)(C)

Following our letter dated September 21, 2001, Bourse de Montréal Inc. (the "Bourse") has completed the review of the trading activity in all its listed markets in order to detect any unusual trading patterns during the period from August 27, 2001 through and including September 11, 2001. This review was undertaken at your demand, following the request for assistance (OIA No. 2001-0894-05-C) that the Commission des Valeurs Mobilières du Québec received from the United States Securities and Exchange Commission ("SEC").

After completing our review of the trading activities in all our futures and options listed markets, we hereby report that we have not identified any unusual trading activity for the identified period.

Should you require additional information, please do not hesitate to communicate with the undersigned at (b)(6), (b)(7)(C)

Yours truly,

(b)(6), (b)(7)(C)

(b)(6), (b)(7)(C) Market Surveillance

Tour de la Bourse
C. P. 61, 800, square Victoria, Montréal (Québec) H4Z 1A9
Téléphone : (514) 871-2424
Sans frais au Canada et aux États-Unis : 1 800 361-5353
Courriel : info@boursedemontreal.com
Site Internet : www.boursedemontreal.com

Tour de la Bourse
P.O. Box 61, 800 Victoria Square, Montréal, Quebec H4Z 1A9
Telephone: (514) 871-2424
Toll-free within Canada and the U.S.A.: 1 800 361-5353
E-mail: info@boursedemontreal.com
Website: www.boursedemontreal.com

Commission
des valeurs mobilières
du Québec

Direction de la
conformité et de
l'application

By fax: (202) 942-9524

September 28, 2001

(b)(6), (b)(7)(C)

Office of International Affairs
Mail Stop 11-4
US Securities & Exchange Commission
450, Fifth Street N.W.
Washington D.C. 20549-1104

Subject : Request for assistance, OIA No. 2001-0894-05C
Our/ref S.E. 3472

Dear (b)(6), (b)(7)(C)

Further to your requests regarding the above mentioned file, please be informed as follow:

1. Concerning the Bourse de Montréal's trading on derivative the analysis is still going on and as of now, no suspicious trading has been detected.

2. Concerning the second list of stocks that was provided with your fax of September 24th 2001, the Exchange informed us that none of those companies were listed or traded on their floor.

3. Concerning you fax of September 26th 2001, we have send an official request to all Registered Brokers and to all Registered Advisors. We have issued to each of them, according to section 245 of our Act an order prohibiting them to disclose any information related to this request including the fact that such a request was made. We are in the process of receiving the answers. As of now, we have not identified any individual or organization having an account in Québec but is some cases we have instances of similarities, with variation in spelling. In order to make a positive identification it would be necessary to obtain from you the **Date of birth and place of birth** of the following individuals:

.../2

800, square Victoria, 22e étage, Tour de la Bourse, C. P. 246, Montréal (Québec) H4Z 1G3
Téléphone : (514) 940-2199, poste 4321 • télécopieur : (514) 873-4130 • courriel : jeannot.montminy@cvmq.com

- Mohamed Atta
- Tariq Anwar al-Sayyid Ahmad (aka, Fathi, Amr al-Fatih)
- Muhammad Atif (aka, Subhi Abu Sitta, Abu Hafs Al Masri)

Yours truly,

(b)(6), (b)(7)(C)

(b)(6), (b)(7)(C) *du Service de l'inspection et des enquêtes*

encl.

c.c. (b)(6), (b)(7)(C)

Monetary Authority of Singapore
10 Shenton Way MAS Building Singapore 079117 Telephone 65 225 5577 Facsimile 65 229 9229

FSG ENFD 10/2001

BY FACSIMILE

17 October 2001

DID: (65) 229 9004

(b)(6), (b)(7)(C)

Office of International Affairs
Securities and Exchange Commission
450 Fifth Street N.W.
Washington D.C 20549
United States of America

Singapore

Dear Madam

REQUEST FOR ASSISTANCE (OIA No. 2001-0894-08-C)

We refer to your letter dated 18 September 2001.

2. The following U.S. registered securities are traded on the Singapore Exchange:

- Creative Technology Ltd
- Chartered Semiconductor Manufacturing Ltd ("CSM")
- ST Assembly Test Services Ltd
- Yageo Corp (quoted on CLOB, not listed in Singapore)
- SPDR Trust Series I
- DIAMONDS Trust Series I
- iShares MSCI – Singapore (Free)
- iShares Dow Jones U.S. Technology Sector Index Fund
- iShares S&P Index Fund

3. In terms of price and volume information, we have not found anything unusual during trading of the above securities from 27 August 2001 to 11 September 2001. However, we are going further to study trading records and will notify you if we find any unusual or suspicious activity. You may wish to know that none of the stocks and derivatives of the companies mentioned in paragraph 3 of your letter is traded on our markets.

4. We hope that the above information will be useful for your investigation. Please let us know if you require any further assistance in this matter.

Yours faithfully

(b)(6), (b)(7)(C)

(ENFORCEMENT)
SECURITIES AND FUTURES DEPARTMENT
FINANCIAL SUPERVISION GROUP

R E P U B L I Q U E F R A N Ç A I S E

RSec 030107308

RE : AXA (SLAB) (I 2001.572)

N° COB 09116

COB France

(b)(6), (b)(7)(C)

Office of International Affairs
SECURITIES AND EXCHANGE
COMMISSION
450, 5th Street NW
WASHINGTON DC 20549
ETATS-UNIS

L'Adjoint au Chef
du Service
de l'Inspection

Paris, le 16 octobre 2001

Dear (b)(6), (b)(7)(C)

Following the criminal attacks perpetrated on the American territory on September 11, 2001, the Commission des Opérations de Bourse has decided to open an investigation in order to find out whether market operators trading on eight French securities (AIR FRANCE, EADS, ACCOR, PINAULT PRINTEMPS REDOUTE, LVMH, AXA, VIVENDI UNIVERSAL, CARREFOUR) prior to September 11, 2001, could have been in possession of insider information related to the reprehensible acts above mentioned and their foreseeable impact on the market.

In the course of its investigation, the COB has investigated movements performed on the SLAB system which is the French delivery system by bilateral agreement which gathers several movements types such as OTC transactions, securities lending, transfers between accounts.

You will find enclosed a table gathering the most important deliveries of AXA shares which were carried out by American firms (customers of BNP PARIBAS SECURITIES SERVICE in Paris) between August 28 and September 11, 2001 to different counterparts.

The objective of this investigation is to detect whether or not there has been any breach of French laws or regulations applicable to insider dealing.

Within the scope of this investigation, and in accordance to the particular urgency of this matter, the COB solicits again the assistance of the SEC in order to obtain the following information :

- Identity of the beneficial owner(s).
- Type of each movement (OTC transactions, securities lending, transfers between accounts... Please could you particularly specify sales movements).

COB

This information is requested under the terms of the Administrative Agreement signed between the COB and the SEC on December 14, 1989.

We would greatly appreciate receiving any information you might have as soon as possible.

Your assistance in this matter is of the utmost importance.

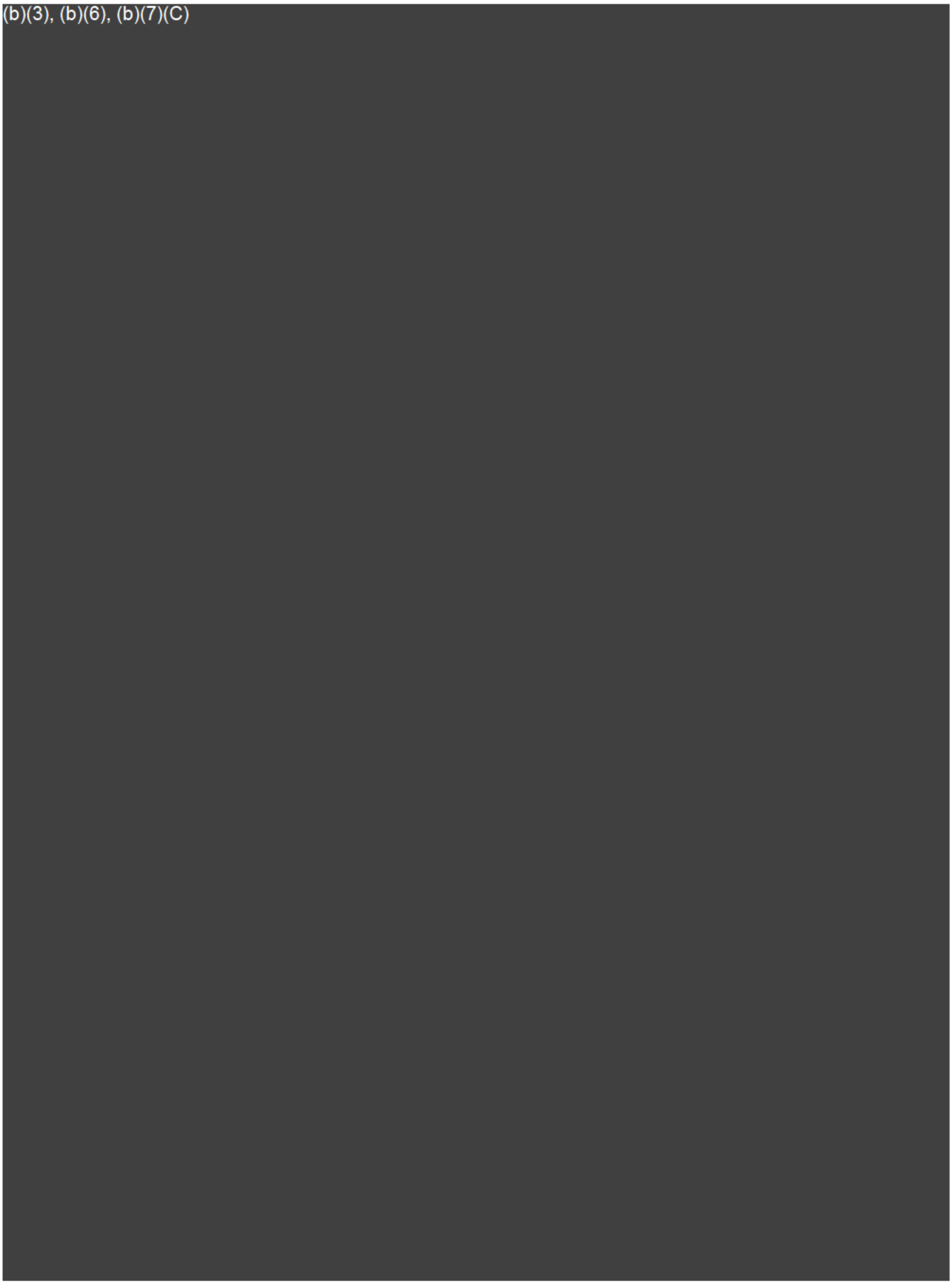
Please do not hesitate to contact (b)(6), (b)(7)(C) (at (b)(6), (b)(7)(C)) should you require additional information.

Yours sincerely,

(b)(6), (b)(7)(C)

Enclosure (1 page)

RSEC03010730 4



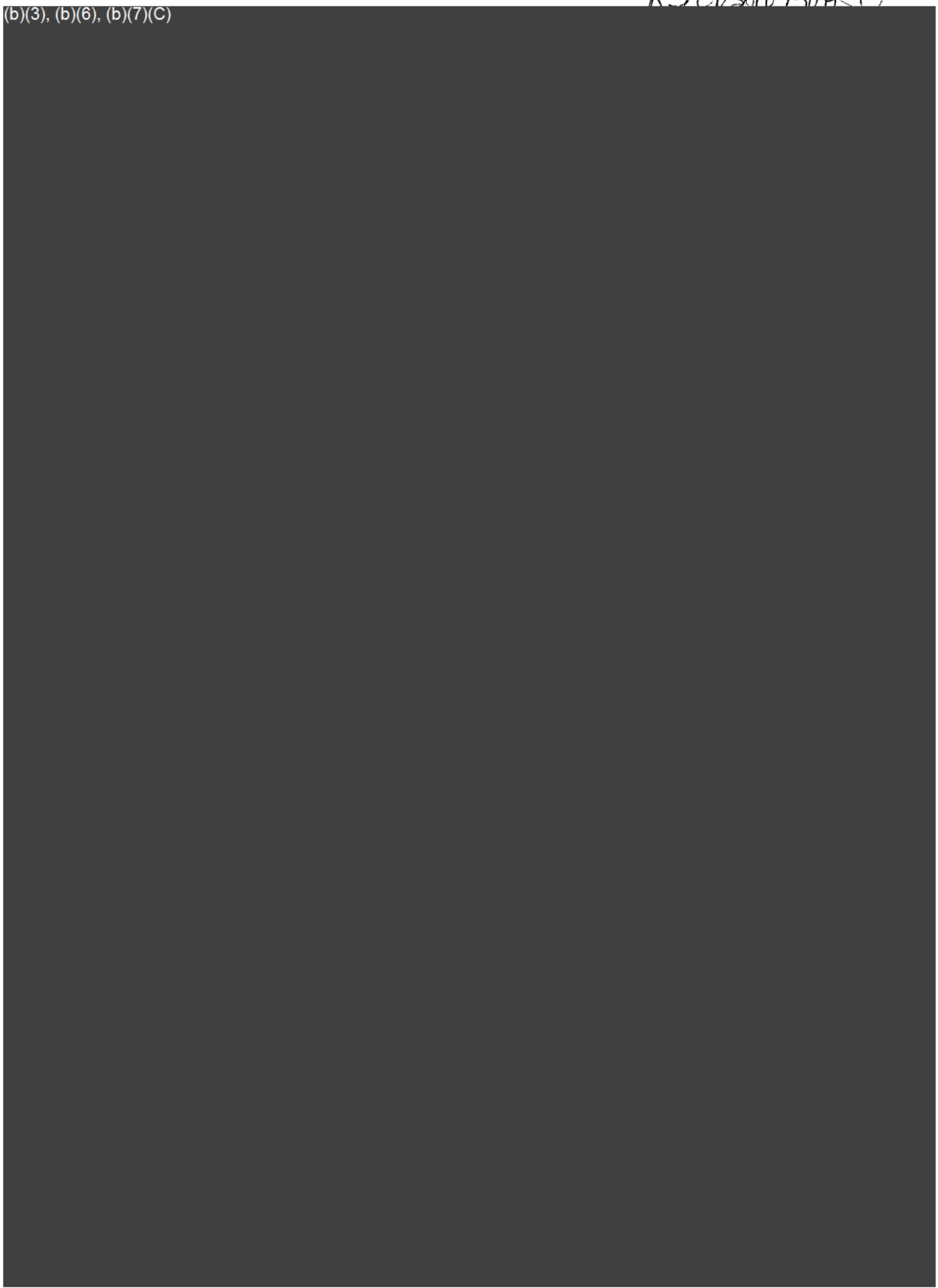
CONFIDENTIAL PURSUANT
TO SECTION 24 (d)

(b)(3), (b)(6), (b)(7)(C)

(b)(3), (b)(6), (b)(7)(C)

(b)(3), (b)(6), (b)(7)(C)

(b)(3), (b)(6), (b)(7)(C)



(b)(3), (b)(6), (b)(7)(C)

(b)(3), (b)(6), (b)(7)(C)

(b)(3), (b)(6), (b)(7)(C)

(b)(3), (b)(6), (b)(7)(C)

SECURITIES AND FUTURES COMMISSION 證券及期貨事務監察委員會
12th Floor, Edinburgh Tower, The Landmark, 15 Queen's Road Central, Hong Kong
香港中環皇后大道中十五號置地廣場公爵大廈十二樓

ANNEX 1

TO THE BUSINESS EDITOR
FOR IMMEDIATE RELEASE

27 September 2001

Press Release

Executive Director of Enforcement Illegally Touted by Persons Claiming to Represent Kearns Investments Inc.

On 24 September, Mr Paul Bailey, Executive Director of Enforcement was telephoned by a Robert Tankai purporting to represent a company called Kearns Investments Inc. ("Kearns"). Mr Tankai said Kearns was based in Japan and asked if Mr Bailey was interested in investment in US stocks and outlined briefly the services Kearns could offer. Following a brief conversation, Mr Tankai said he would have one of his senior consultants to call him.

Two days later, on 26 September a person identifying himself as Mr Maxwell Kane telephoned Mr Bailey. He explained that Kearns offered investment services - although they liked clients to invest 95% of their funds in blue chips shares and fixed income products, they also offered investments in venture capital companies. Mr Kane then identified a company with shares quoted on the NASDAQ over-the-counter market. He said he had some inside information from someone in the company that being in the business of fire resistant building materials, the company was about to obtain contracts to rebuild the area around the World Trade Centre in New York. He explained that when the market in New York dropped 100 points on 25 September, they had managed to acquire a few million shares in the company at US$0.5 each. The market then rebounded and the share price closed at US$0.75.

Mr Kane said he could offer Mr Bailey 100,000 shares of the company at US$0.5 each, on the basis that this was an incentive for Mr Bailey to open an account with Kearns. He could not however explain why Kearns was willing to give up the US$0.25 profit per share they had already made. When asked about the registration status of Kearns in Japan for conducting a business of dealing in securities, Mr Kane was unable to answer. He cut the call short saying he would call Mr Bailey back.

A check of the trading of the company on NASDAQ indicated that during the period 20 to 25 September, the daily turnover never exceeded 200,000 shares and at no time did the share price hit US$0.5.

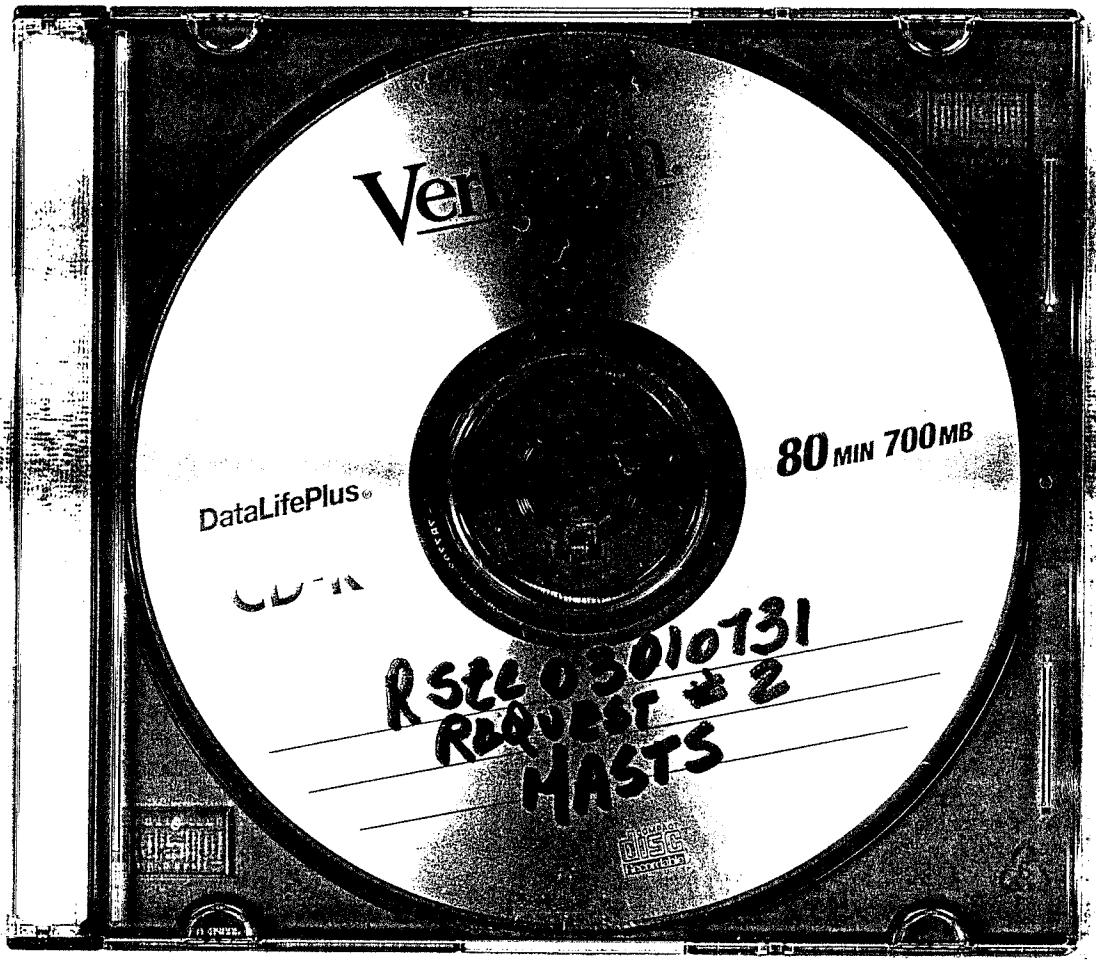
Comment on this occurrence, Mr Bailey said, "This event is factual but raises a number of issues. Firstly, it is illegal for a person to attempt to induce people in Hong Kong to purchase, or deal in any way, in securities without being registered with the Commission. Kearns nor Mr Tankai nor Mr Kane is registered in any capacity with the Commission. Secondly, the representations made in this case appear factually incorrect, especially as to the source of shares. Also, one would question why Kearns would be willing to sell to an unknown person, and a person who was not a client of Kearns, shares at such a deep discount to the market price apparently enabling the buyer to make an instant profit. However, looking at the trading pattern of the NASDAQ company, and given the large number of shares apparently available from Kearns, those seeking to sell may find this could have a considerable downward impact on the share price."

Mr Bailey added, "It is important that investors, or any member of the public, receiving such calls make proper inquiry. For example, they should –

- check whether the company soliciting business is properly licensed in the jurisdiction they operate and the country which they target their business;
- check the background of the company whose shares are being offered and whether or not their sales pitch is true. Nowadays many financial websites give access to quotes of shares traded on overseas markets and information/news concerning these companies;
- beware of anyone who says they have inside information. Insider dealing is a criminal offence or civil wrongdoing in all major financial markets;
- beware of any investment under offer that appears to give you an immediate promise of large profit; and finally
- do not remit money or agree to anything until you have made proper inquiry."

For enquiries, please contact Yue Sin Yui at 2842-7605, Katherine Wang at 2283-6861 or Ernest Lau at 2840-9470.

CC\01PRXX



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(b)(5), (b)(6), (b)(7)(C)

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

OFFICE OF THE
GENERAL COUNSEL

RSEC0301169

November 17, 2003

BY HAND DELIVERY

Douglas Greenburg
National Commission on Terrorist Attacks Upon the United States
301 7th St. SW, Room 5125
Washington, DC 20407

Dear Mr. Greenburg:

Enclosed are the attachments to the German, French, and Hong Kong reports that you requested in your November 13, 2003 e:mail.

With respect to the other items in your November 13 e:mail, I am writing to confirm the steps that we have taken or are in the process of taking and that we discussed earlier today. First, you asked us to confirm that we have no additional memos or other reports of interviews. We are not aware of any additional memos or reports. However, we have handwritten notes that were never summarized in memos and reports. We understand that you will notify us if you are interested in receiving any of those notes.

Second, you asked if any of the foreign reports were supplemented and asked for any correspondence that might relate to the existence of further reports. Although we have not found any supplemental reports, in reviewing our files for any correspondence that may relate to reports, we have found some correspondence that may be relevant. We are contacting foreign regulators to obtain permission to release that correspondence.

Third, you asked about the status of reports from the United Kingdom and Italy. We have now received permission to show those to you at the SEC (along with the report from Japan). I can make arrangements to show those to you at any time this week.

Thank you for your assistance in this matter. Please do not hesitate to contact me if you would like to discuss this matter further.

Very truly yours,

Melinda Hardy
Assistant General Counsel
202-942-0877

Enclosures
foreign language enclosures - not scanned

AXA

RSEC03011670

Deliveries from August 28 to September 11, 2001

"SLAB" deliveries carried out by American firms (customers of BNP Paribas Securities Service in Paris) to different counterparts

AMERICAN FIRMS	DATE	QUANTITY	NET AMOUNT in euros	COUNTERPARTS
BEAR STEARNS SECURITIES CORPORATION ATT C O DONNEL 4TH FLOOR 1 METROTECH CENTER NORTH BROOKLYN NY 11201 3859	30/08/2001	163 900	5 209 397,60	CDC BOURSE
	04/09/2001	115 000	3 335 631,78	BPSS
	05/09/2001	350 000	0	CITIBANK N.A. CUSTODY
	05/09/2001	60 136	1 726 390,30	PAREL
	11/09/2001	68 700	0	STATE STREET BK&TRUST CO
BANK OF NEW YORK ATT BOB KELLET CRAIG FIATA 101 BARCLAYS STREET 22 W NEW YORK NY 102 86	29/08/2001	338 500	0	BEAR STEARNS SEC.CORP.
BANKERS TRUST COMPANY BTNY SERV INC GLOB SECU SERV 34 EXCHANGE PLACE 3W JERSEY CITY NEW JERSEY 07302	29/08/2001	330 000	0	THE CHASE MANHATTAN BANK
	03/09/2001	325 000	0	BKERS TRUST CO/CLIENTS
	05/09/2001	99 491	2 809 092,68	SOCIETE GENERALE
	07/09/2001	187 400	0	DEUTSCHE BANK AG
	07/09/2001	62 572	0	DEUTSCHE BANK AG
BHF SECURITIES CORPORATION ATT RICHARD GATTA 28TH FLOOR 590 MADISON AVENUE NEW YORK NY 10022	06/09/2001	165 000	4 390 626,08	CNCA GESTION
DEUTSCHE BANC ALEX. BROWN INC ATTN JENNY LASCANO 26TH FLOOR 1251 AVENUE OF THE AMERICA NEW YORK NY 10020	31/08/2001	2 891 416	0	STATE STREET BK&TRUST CO
	31/08/2001	57 992	0	CREDIT AGRICOLE INDOSUEZ
GOLDMAN SACHS AND CO 1 NEW YORK PLAZA 44TH FLOOR NEW YORK NY 10004	28/08/2001	459 132	15 086 995,66	BANQUE NSMD
	29/08/2001	128 119	4 157 694,45	BANQUE NSMD
	31/08/2001	120 000	0	BOSTON SAFE DEP.TRUST CY
	04/09/2001	100 000	2 955 127,90	SOCIETE GENERALE
	07/09/2001	100 000	2 608 772,00	DRESD.KLEINWORT WASSER.S
ING BARINGS CORP 350 PARK AVENUE NEW YORK NEW YORK 10022	30/08/2001	71 932	0	PAREL
	04/09/2001	680 000	0	THE CHASE MANHATTAN BANK
	06/09/2001	237 932	0	ING BARINGS LIMITED
	06/09/2001	183 000	0	PAREL
PRANCE (ATTACHMT) **STATE STREET BANK AND TRUST CO** 225 FRANKLIN STREET BOSTON MASSACHUSETTS 02105	28/08/2001	121 031	3 954 191,70	MORGAN GRENFELL & CO LTD
	29/08/2001	73 490	2 366 033,33	DRESD.KLEINWORT WASSER.S
	30/08/2001	68 700	0	BEAR STEARNS SEC.CORP.
	31/08/2001	115 801	0	STATE STREET BK&TRUST CO
	31/08/2001	110 691	3 345 163,64	SALOMON BROTHERS INT.LTD
	31/08/2001	55 640	1 694 442,48	MERRILL LYNCH INTERN.
	04/09/2001	156 071	4 565 433,53	MERRILL LYNCH INTERN.
	04/09/2001	105 975	3 096 329,63	WARBURG DILLON READ (FR)
	05/09/2001	197 201	5 567 899,48	SOCIETE GENERALE
	05/09/2001	79 157	2 234 969,50	SOCIETE GENERALE
	05/09/2001	64 948	1 833 783,48	SOCIETE GENERALE
	06/09/2001	128 578	3 467 241,86	SOCIETE GENERALE
	06/09/2001	81 030	2 262 588,40	INSTINET FRANCE SA
	06/09/2001	56 263	1 517 191,34	SOCIETE GENERALE
	06/09/2001	53 273	1 436 562,83	SOCIETE GENERALE
	07/09/2001	133 736	0	STATE STREET BK&TRUST CO
	07/09/2001	68 890	1 813 345,60	INSTINET FRANCE SA

RSEC 03012124

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION

OFFICE OF THE GENERAL COUNSEL
450 5TH STREET, N.W.
WASHINGTON D.C. 20549

Marcus
Dunne
Greenburg
Coleman

DATE: 10/22/03

FAX#: 202-942-9625

TO: Daniel Marcus

OFFICE: General Counsel PHONE#

TOTAL PAGES: (INCL FAX COVER) 2 FAX# (202) 296-5545

SUBJECT:

FROM: Giovanni Prezioso PHONE# (202) 942-0900

NOTES:

THIS MESSAGE IS INTENDED ONLY FOR THE USE OF THE INDIVIDUAL OR ENTITY TO WHOM OR WHICH IT IS ADDRESSED.IT MAY CONTAIN INFORMATION THAT IS PRIVILEGED OR CONFIDENTIAL. IF THE READER OF THIS MESSAGE IS NOT THE INTENDED RECIPIENT OR AN EMPLOYEE OR AGENT RESPONSIBLE FOR DELIVERING THE MESSAGE TO THE INTENDED RECIPIENT, YOU ARE HEREBY NOTIFIED THAT ANY DISSEMINATION, DISTRIBUTION, OR COPYING OF THIS COMMUNICATION IS STRICTLY PROHIBITED AND MAY VIOLATE APPLICABLE LAW. IF YOU HAVE RECEIVED THIS COMMUNICATION IN ERROR, PLEASE NOTIFY US IMMEDIATELY BY TELEPHONE AND DESTROY THE ORIGINAL MESSAGE. THANK YOU.

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

OFFICE OF THE
GENERAL COUNSEL

October 22, 2003

Via Facsimile and Mail
(202) 296-5545

Daniel Marcus
General Counsel
National Commission on Terrorist Attacks Upon the United States
301 7th Street SW, Room 5125
Washington, DC 20407

Dear Mr. Marcus:

I am writing to follow up on your letter of October 16, 2003, and to confirm my understanding of the approach that the Commission staff will be taking regarding the matter addressed in the letter (Item No. 2 of SEC Document Request No. 2). As discussed with Doug Greenburg of your staff, we are in the process of asking the foreign regulators from whom we received reports to authorize us to disclose those reports to you. The staff of the Commission's Office of International Affairs is advising the foreign regulators that if they do not object by October 24, 2003, SEC staff will provide the requested materials to the 9-11 Commission. It is possible, of course, that foreign regulators will want further information regarding the 9-11 Commission or will propose terms or circumstances for disclosure of their documents to the Commission. We will keep Mr. Greenburg abreast of any such developments and will seek to resolve any objections promptly.

We appreciate the efforts of you and your staff to seek a constructive approach to resolving this matter consistent with the various important policy objectives that must be taken into account. Please do not hesitate to contact me at (202) 942-0900 if you should have any questions or would like to discuss this matter further.

Sincerely yours,

Giovanni Prezioso

cc: Doug Greenburg
Counsel, National Commission on Terrorist Attacks

Ethiopis Tafara
Director, SEC Office of International Affairs

RSEC ~~030120~~ 13
030124 18

Commission
des valeurs mobilières
du Québec

Inspection et
enquêtes

October 10, 2001

QUEBEC

(b)(6), (b)(7)(C)

Office of International Affairs
Mail Stop 11-4
US Securities & Exchange Commission
450, Fifth Street N.W.
Washington D.C. 20549-1104

Subject : Request for assistance, OIA No. 2001-0894-05C
O/Ref. : S.E. 3472

Dear (b)(6), (b)(7)(C):

Since our last letter of September 28, 2001, we have more names of clients with brokerage accounts in Quebec that are very similar to the ones on the list you have provided us.

In order to make a positive identification, it would be necessary to obtain from you the date of birth and place of birth of Mustafa Muhammad Ahmad.

One broker also has an account opened to the name W.A.F.A. Investment Corporation, which has a location at the following address:

721 SE 17th Street Suite 200
Fort Lauderdale, Florida 33316

The (b)(6), (b)(7)(C) of that organization is (b)(6), (b)(7)(C) In order to determine if this entity is related to Wafa Humanitarian Organization, we need to have the names of the individuals behind Wafa Humanitarian Organization as well as their date of birth and place of birth.

The analysis of the Bourse de Montréal Inc. is still ongoing, and as for now, no suspicious transaction has been detected.

Sincerely,

(b)(6), (b)(7)(C)

(b)(6), (b)(7)(C) *du Service de l'inspection et des enquêtes*

800, square Victoria, 22e étage, Tour de la Bourse, C. P. 246, Montréal (C
Téléphone : (514) 940-2199 , poste 4321 • télécopieur : (514) 873-4130 • courriel : j

D,
Please Bates i copy
for me. Do Not Scan.
Thx
(b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

R Sec 03/12/19

From: Cella, Joseph J.
Sent: Thursday, September 20, 2001 12:31 PM
To: (b)(6), (b)(7)(C)
Subject: RE: Request for information

(b)(5)

AUSTRALIA

-----Original Message-----
From: (b)(6), (b)(7)(C)
Sent: Thursday, September 20, 2001 11:51 AM
To: Cella, Joseph J.
Subject: FW: Request for information

FYI. (b)(5)
(b)(5)

-----Original Message-----
From: (b)(6), (b)(7)(C)
Sent: Thursday, September 20, 2001 8:19 AM
To: (b)(6), (b)(7)(C)
Cc: Tafara, Ethiopis
Subject: FW: Request for information

(b)(5)

-----Original Message-----
From: (b)(6), (b)(7)(C) mailto:(b)(6), (b)(7)(C)@asic.gov.au]
Sent: Wednesday, September 19, 2001 9:55 PM
To: (b)(6), (b)(7)(C)@SEC.GOV
Cc: TafaraE@SEC.GOV; (b)(6), (b)(7)(C)
Subject: Request for information

Dear (b)(6), (b)(7)(C)

Thank you for your fax to (b)(6), (b)(7) dated 18 September. We continue to think of
you all and hope that each day becomes a little easier.

As to your request, we are happy to do all we can.

You may have seen an email which I sent Ethiopis on Tuesday (your Monday evening) concerning the nature of current trading in US stocks on the Australian Stock Exchange. No US-registered companies in the sectors of particular concern (airlines, insurance, hotels, banks and brokerage firms)
trade in our market, and in particular none of the companies listed on para
(2) of your letter trade here. We do have a handful of other US companies
which trade, perhaps most notably Westfield America which we believe had its head office in the World Trade Centre. There are also a number of warrants over US indices which trade on the ASX.

As ASIC does not hold trading information and cannot access historical

trading data through our systems, we need to speak to the ASX to obtain the trading, price and volume information you seek. ASX systems do not have client-level information, but we can obtain it by serving notices directly on brokers.

We spoke to the ASX yesterday about the trading information you are seeking. The ASX have advised that, following press reports regarding the possible short selling and/or buying of puts in stocks prior to the terrorist attacks on America, they had independently commenced the process of investigating whether any unusual activity took place in any ASX listed stocks. To date they have found no evidence to support the press reports, but they are continuing with their enquiries. At this stage we have not served any formal notices on the ASX to require them to provide this information, as it appears unnecessary.

Our primary concern with serving notices on people outside ASIC is one of confidentiality. While investigations in a number of jurisdictions into trading ahead of last week's events seem to be public knowledge, or at least widely speculated about in the press here, it is clear that any action by us might raise the level of credibility of those stories and we are sensitive to your note that this enquiry is "nonpublic." We will of course impress on the ASX and any brokers who we contact that this request is confidential, but a wide spread of notices may make it difficult to maintain its confidentiality. I thought I should mention that, before we start issueing any notices to brokers for client-level information, in case it raises a concern for you. (I note that the SEC acting Enforcement Director has issued a statement alluding to the investigations taking place in the US and elsewhere, so it may be that this is not a significant concern.)

Secondly, I'd be grateful if you could confirm for me one aspect of the request. In terms of your para (1), would you like details of all trades in those stocks and derivatives, or just those which appear unusual? Obviously the former is a much larger exercise but it would give the complete picture of all trades over the relevant period.

Kind regards,

(b)(6), (b)(7)(C)

U.S. registered stocks and derivatives based on U.S. registered stocks traded in Switzerland

ISIN-Number	Valor (SWX)	Last listed date	Name Issuer	Titel (Stock / Warrant)
US6516391066	956952	31.12.99	Newmont Mining Corporation, Denver	Namen-Stammaktien zu je USD 1.60 nom.
AN8068571086	555100	31.12.99	Schlumberger Limited, Cura□ao	Namenaktien zu je USD 0.01 nom.
US0028241000	903037	31.12.99	Abbott Laboratories, North. Chicago	Namen-Stammaktien ohne Nennwert
US0138171014	986052	31.12.99	ALCOA INC., Pittsburgh	Namen-Stammaktien zu je USD 1.- nom.
US3496311016	531424	31.12.99	Fortune Brands, Inc., New York	Namen-Stammaktien zu je USD 3.125 nom.
US0258161092	906153	31.12.99	American Express Company, New York	Namen-Stammaktien zu je USD 0.60 nom.
US0268741073	906483	31.12.99	American International Group, Inc., New York	Namen-Stammaktien zu je USD 2.50 nom.
US0019571092	230973	31.12.99	American Telephone & Telegraph Co., New York	Namen-Stammaktien zu je USD 1.- nom.
US0017651060	907616	31.12.99	AMR Corporation, Fort Worth	Namen-Stammaktien zu je USD 1.- nom.
US0352291035	908039	31.12.99	Anheuser-Busch Companies, Inc., St. Louis	Namen-Stammaktien zu je USD 1.- nom.
US0394831020	908597	31.12.99	Archer-Daniels-Midland Company, Decatur	Namen-Stammaktien ohne Nennwert
US0572241075	910918	31.12.99	Baker Hughes Inc., Houston	Namen-Stammaktien zu je USD 1.- nom.
US0718131099	911702	31.12.99	Baxter International Inc., Deerfield	Namen-Stammaktien zu je USD 1.- nom.
US0798601029	912243	31.12.99	BellSouth Corporation, Atlanta	Namen-Stammaktien zu je USD 1.- nom.
US0970231058	913253	31.12.99	The Boeing Company, Seattle	Namen-Stammaktien zu je USD 5.- nom.
US1344291091	915875	31.12.99	Campbell Soup Company, Camden	Namen-Stammaktien zu je USD 0.075 nom.
US1491231015	916546	31.12.99	Caterpillar Inc., Illinois	Namen-Stammaktien zu je USD 1.- nom.
US1667511075	918025	31.12.99	Chevron Corporation, San Francisco	Namen-Stammaktien zu je USD 1.50 nom.
US1912161007	919390	31.12.99	The Coca Cola Company, Wilmington	Namen-Stammaktien zu je USD 0.25 nom.
US1941621039	919477	31.12.99	Colgate-Palmolive Company, New York	Namen-Stammaktien zu je USD 1.- nom.
US2193501051	921667	31.12.99	Corning Incorporated, Corning	Namen-Stammaktien zu je USD 1.- nom.
US1264081035	923022	31.12.99	CSX Corporation, Richmond	Namen-Stammaktien zu je USD 1.- nom.
US2605431038	925686	31.12.99	Dow Chemical Company, Midland	Namen-Stammaktien zu je 2.50 nom.
US2635341090	927399	31.12.99	E.I. du Pont de Nemours & Co., Wilmington	Namen-Stammaktien zu je USD 0.30 nom.
US2928451044	928470	31.12.99	Engelhard Corporation, Edison	Namen-Stammaktien zu je USD 1.- nom.
US3696041033	933071	31.12.99	General Electric Co., Schenectady	Namenaktien zu je USD 0.16 nom.
US3704421052	933261	31.12.99	General Motors Corporation, Detroit (Michigan)	Namenaktien zu je USD 1.666 nom.
US3825501014	935430	31.12.99	Goodyear Tire & Rubber Co., Akron (Ohio)	Namenaktien ohne Nennwert
US4062161017	937414	31.12.99	Halliburton Company, Dallas (Texas)	Namen-Stammaktien zu je USD 2.50 nom.
US4270561065	938535	31.12.99	Hercules Incorporated, Wilmington	Namen-Stammaktien ohne Nennwert
US4376141002	939385	31.12.99	Homestake Mining Company, Wilmington	Namenaktien zu je USD 1.- nom.
US4581401001	941595	31.12.99	Intel Corporation, Santa Clara	Namen-Stammaktien zu je USD 0.001 nom.
US4592001014	941800	31.12.99	IBM Internat. Business Machines Corp., New York	Namen-Stammaktien zu je USD 0.50 nom.
US4601461035	942105	31.12.99	International Paper Company, New York	Namen-Stammaktien zu je USD 1.- nom.
US5324571083	947556	31.12.99	Lilly (Eli) and Company, Indianapolis	Namen-Stammaktien zu je USD 0.62 nom.
US5801351017	950605	31.12.99	McDonald's Corporation, Oak Brook (Illinois)	Namen-Stammaktien ohne Nennwert
US6040591058	952509	31.12.99	Minnesota Mining & Manufacturing Co., St. Paul	Namen-Stammaktien ohne Nennwert
US69331C1080	567472	31.12.99	PG & E Corporation, San Francisco	Namenaktien zu je USD 5.- nom.
US7134481081	961618	31.12.99	PepsiCo Inc., Purchase	Namen-Stammaktien zu je USD 0.0167 nom.

Translation:
Stammaktie = common stock
Namenaktie = personal share
Optionen = options
Nennwert = par value

SWITZERLAND (ATTACHMT TO 10/4/01 LETTER)

RSEC 0301420

U.S. registered stocks and derivatives based on U.S. registered stocks traded in Switzerland

US7170811035	962004	31.12.99	Pfizer Inc., New York	Namen-Stammaktien zu je USD 0.05 nom.
US7181541076	962220	31.12.99	Philip Morris Companies Inc., New York	Stammaktien zu je USD 1.- nom.
US7185071062	962290	31.12.99	Phillips Petroleum Company, Bartlesville	Namen - Stammaktien zu je USD 1.25 nom.
US7427181091	963896	31.12.99	Procter & Gamble Company, Cincinnati (Ohio)	Namen - Stammaktien ohne Nennwert
US8031111037	968372	31.12.99	Sara Lee Corporation, Chicago	Namen - Stammaktien zu je USD 1.333 nom.
US8123871084	969309	31.12.99	Sears, Roebuck and Co., Chicago	Namen - Stammaktien zu je USD 0.75 nom.
US78387G1031	330544	31.12.99	SBC Communications Inc., St. Louis	Namen - Stammaktien zu je USD 1.- nom.
US8816941038	976617	31.12.99	Texaco Inc., New York	Namen - Stammaktien zu je USD 3.125 nom.
US8825081040	976910	31.12.99	Texas Instruments, Dallas	Namen - Stammaktien zu je USD 1.- nom.
US9092141087	979946	31.12.99	Unisys Corporation, Wilmington	Namen - Stammaktien zu je USD 0.01 nom.
US9130171096	980943	31.12.99	United Technologies Corporation, Hartford	Namen - Stammaktien zu je USD 5.- nom.
US9029058271	948877	31.12.99	USX-Marathon Group Inc., Wilmington	Namenaktie zu je USD 1.- nom.
US9152891027	982304	31.12.99	Unocal Corporation, Los Angeles	Namen - Stammaktien zu je USD 1.- nom.
US9229441038	915211	31.12.99	Venator Group Inc., New York	Namen - Stammaktien zu je USD 0.01 nom.
US9841211033	987530	31.12.99	Xerox Corporation, Rochester	Namen - Stammaktien zu je USD 1.- nom.
US7954771082	968313	31.12.99	Salomon Brothers Fund Inc., New York	Namenaktien zu je USD 1.- nom.
CH0004513930	451393	14.12.01	S & P 500 Index/UBS AG 99-01	Call - Optionen 1999 - 2001 auf S & P 500 Index
US87162M1027	559417	31.12.99	Synthes-Stratec Inc., Wilmington	Namenaktien zu je CHF 0.01 nom.
US09061G1013	729021	31.12.99	Biomarin Pharmaceutical Inc., Wilmington	Namenaktien zu je USD 0.001 nom. (New Market)
GB0058330969	1023670	05.12.01	AOL Time Warner Inc/Goldman Sachs 99-01	Call - Optionen 1999 - 2001 auf AOL Time Warner Inc
GB0058328997	1023695	05.12.01	McDonald's Corp./Goldman Sachs 99-01	Call - Optionen 1999 - 2001 auf McDonald's Corp.
GB0058329292	1023688	05.12.01	Oracle/Goldman Sachs 99-01	Call - Optionen 1999 - 2001 auf Oracle
GB0058332239	1023667	05.12.01	Apple Computer/Goldman Sachs 99-01	Call - Optionen 1999 - 2001 auf Apple Computer
GB0058328336	1023698	05.12.01	Gateway/Goldman Sachs 99-01	Call - Optionen 1999 - 2001 auf Gateway
GB0058333195	1023691	05.12.01	Philip Morris/Goldman Sachs 99-01	Call - Optionen 1999 - 2001 auf Philip Morris
GB0058329524	1023678	05.12.01	Qualcomm Inc./Goldman Sachs 99-01	Call - Optionen 1999 - 2001 auf Qualcomm Inc.
GB0058330308	1023675	05.12.01	Yahoo Inc./Goldman Sachs 99-01	Call - Optionen 1999 - 2001 auf Yahoo Inc.
GB0058331595	1023664	05.12.01	Citigroup Inc./Goldman Sachs 99-01	Call - Optionen 1999 - 2001 auf Citigroup Inc.
GB0058328666	1023702	05.12.01	General Electric/Goldman Sachs 99-01	Call - Opt. 1999 - 2001 auf General Electric
GB0058329854	1023681	05.12.01	Wal-Mart Stores/Goldman Sachs 99-01	Call - Optionen 1999 - 2001 auf Wal-Mart Stores
GB0058332890	1023660	05.12.01	Ebay Inc./Goldman Sachs 99-01	Call - Optionen 1999 - 2001 auf Ebay Inc.
CH0010131321	1013132	07.11.01	CSFB Technology Index/CSFB 99-01	CSFB Technology Index Certificates 1999 - 2001
DE0008247594	1043056	25.09.01	Broadvision/Citibank, N.A. 00-01	Call - Optionen 2000 - 2001 auf Broadvision
DE0008247602	1043057	25.09.01	Broadvision/Citibank, N.A. 00-01	Call - Optionen 2000 - 2001 auf Broadvision
CH0010551254	1055125	27.03.03	Lucent/UBS AG 00-03	TRACER - Certificates 2000 - 2003 auf Lucent
CH0010551221	1055122	27.03.03	Cisco Systems/UBS AG 00-03	TRACER - Certificates 2000 - 2003 auf Cisco Systems
CH0010551213	1055121	27.03.03	America Online/UBS AG 00-03	TRACER - Certificates 2000 - 2003 auf America Online
ANN8120P7842	1066352	21.09.01	Procter & Gamble Co./SGA 00-01	Call - Optionen 2000 - 2001 auf Procter & Gamble Co.
ANN8120P8006	1066350	21.09.01	Qualcomm Inc./SGA 00-01	Call - Optionen 2000 - 2001 auf Qualcomm Inc.
ANN8120P7503	1066532	21.09.01	Palm Inc./SGA 00-01	Call - Optionen 2000 - 2001 auf Palm Inc.
ANN8120P7354	1066535	21.09.01	Oracle Corp./SGA 00-01	Call - Optionen 2000 - 2001 auf Oracle Corp.

U.S. registered stocks and derivatives based on U.S. registered stocks traded in Switzerland

ANN8120P7685	1066540	21.09.01	Doubleclick Inc./SGA 00-01	Call - Optionen 2000 - 2001 auf Doubleclick Inc.
ANN8120P6364	1066551	21.09.01	CMGI Inc./SGA 00-01	Call - Optionen 2000 - 2001 auf CMGI Inc.
ANN8120P6109	1066554	21.09.01	America Online/SGA 00-01	Call - Optionen 2000 - 2001 auf America Online
ANN8120P6513	1066544	21.09.01	Commerce One/SGA 00-01	Call - Optionen 2000 - 2001 auf Commerce One
CH0010359294	1035929	31.12.99	Real Media Inc., New York	Namenaktien zu je USD 0.001 nom. (New Market)
CH0010551288	1055128	27.03.03	Compaq/UBS AG 00-03	TRACER - Certificates 2000 - 2003 auf Compaq
CH0010551262	1055126	27.03.03	Oracle/UBS AG 00-03	TRACER - Certificates 2000 - 2003 auf Oracle
CH0010551239	1055123	27.03.03	Yahoo/UBS AG 00-03	TRACER - Certificates 2000 - 2003 auf Yahoo Inc.
GB0059488048	1073805	05.04.02	GS US Tech "Super 7" Basket/Goldman Sachs 00-02	GS US Tech "Super 7" Basket Certificates 2000 - 2002
GB0059506054	1074917	16.10.01	Immunex Corp./Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Immunex Corp.
GB0059505429	1074913	16.10.01	Ariba Inc./Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Ariba Inc.
GB0059505643	1074911	16.10.01	Amgen/Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Amgen
GB0059746726	1085126	05.12.01	Clear Channel Comm. Inc./Goldman Sachs 00-01	Call - Optionen 00 - 01 auf Clear Channel Comm. Inc.
GB0059746270	1085121	05.12.01	Altera Corp./Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Altera Corp.
GB0059748987	1085132	05.12.01	Procter & Gamble Co./Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Procter & Gamble Co.
GB0059748540	1085128	05.12.01	CMGI Inc./Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf CMGI Inc.
GB0059872720	1091490	09.01.02	Gateway/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Gateway
GB0059872167	1091486	09.01.02	Ebay Inc./Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Ebay Inc.
GB0059872381	1091488	09.01.02	EMC Corp./Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf EMC Corp.
GB0059873132	1091495	09.01.02	IBM/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf IBM
GB0059874213	1091502	09.01.02	Oracle/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Oracle
GB0059875285	1091506	09.01.02	Worldcom Inc./Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Worldcom Inc.
GB0059873918	1091500	09.01.02	Lucent/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Lucent
GB0059872506	1091508	09.01.02	Exxon Mobil Corp./Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Exxon Mobil Corp.
GB0059874650	1091504	09.01.02	Pfizer/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Pfizer
GB0059873462	1091498	09.01.02	J.P. Morgan & Co. Inc./Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf J.P. Morgan & Co. Inc
GB0059872944	1091492	09.01.02	Hewlett Packard/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Hewlett Packard Co.
GB0059871979	1091484	09.01.02	Walt Disney Company/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Walt Disney Company
DE0004513809	1046632	17.02.04	Linux Technology Basket/SGA 00-04	Linux Technology Basket Certificates 2000 - 2004
DE0003529475	1016839	25.11.03	Biotech Basket/SGA 00-03	Biotech Basket Certificates 2000 - 2003
DE0004521265	1049027	11.02.04	B2B Basket/SGA 00-04	B2B Basket Certificate 2000 - 2004
US92343V1044	1095642	31.12.99	Verizon Communications Inc., New York	Namen-Stammaktien zu je USD 1.- nom.
GB0040899196	1102973	02.05.02	Applied Materials Inc./Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Applied Materials Inc
GB0040898560	1102969	04.10.01	Applied Materials Inc./Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Applied Materials Inc
GB0040896309	1102964	03.04.02	Amazon Com./Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Amazon Com.
GB0040900853	1102978	05.12.01	Ebay Inc./Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Ebay Inc.
GB0041134098	1107192	05.12.01	Cisco Systems/Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Cisco Systems
CH0011055057	1105505	30.11.01	American Biotech Basket/Bank Vontobel AG 00-01	VONCERT - Optionen 00-01 auf American Biotech Basket
CH0011089742	1108974	21.12.01	S & P 500 Index/ZŸrcher Kantonalbank 00-01	Call - Optionen 2000 - 2001 auf S & P 500 Index
CH0011089825	1108982	21.12.01	S & P 500 Index/ZŸrcher Kantonalbank 00-01	Put - Optionen 2000 - 2001 auf S & P 500 Index
US3453708600	1106820	31.12.99	Ford Motor Company, Dearborn (Michigan)	Namen-Stammaktien zu je USD 0.01 nom.

U.S. registered stocks and derivatives based on U.S. registered stocks traded in Switzerland

CH0011132203	1113220	21.12.01	Microsoft/ZŸrcher Kantonalbank 00-01	Call - Optionen 2000 - 2001 auf Microsoft
CH0011160014	1116001	21.09.01	Dell Computer/ZŸrcher Kantonalbank 00-01	Call - Optionen 2000 - 2001 auf Dell Computer
CH0011157192	1115719	20.09.01	S & P 500 Index/CSFB 00-01	Call - Optionen 2000 - 2001 auf S & P 500 Index
CH0011157184	1115718	20.09.01	S & P 500 Index/CSFB 00-01	Call - Optionen 2000 - 2001 auf S & P 500 Index
CH0011157200	1115720	20.09.01	S & P 500 Index/CSFB 00-01	Put - Optionen 2000 - 2001 auf S & P 500 Index
CH0011157218	1115721	20.09.01	S & P 500 Index/CSFB 00-01	Put - Optionen 2000 - 2001 auf S & P 500 Index
US26830H1032	1101814	31.12.99	e-centives Inc.,Bethesda, Maryland (USA)	Namenaktien zu je USD 0.01 nom. (New Market)
CH0011151302	1115130	21.12.01	Compaq/Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf Compaq
CH0011151351	1115135	21.12.01	Lucent/Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf Lucent
CH0011151377	1115137	21.12.01	IBM Corp./Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf IBM Corp.
CH0011151310	1115131	21.12.01	America Online/Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf America Online
CH0011151419	1115141	21.12.01	Cisco Systems/Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf Cisco Systems
CH0011151427	1115142	21.12.01	Oracle/Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf Oracle
CH0011151336	1115133	21.12.01	AT&T/Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf AT&T
GB0042705193	1117105	05.12.01	Motorola Inc./Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Motorola Inc.
GB0042704568	1117104	05.12.01	Motorola Inc./Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Motorola Inc.
CH0011151344	1115134	21.12.01	Intel Corporation/Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf Intel Corporation
GB0042704014	1117103	03.01.02	Lucent/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Lucent
CH0011193734	1119373	18.06.03	Microsoft/Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf Microsoft
CH0011193684	1119368	18.06.03	Dell Computer/Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf Dell Computer
CH0011193700	1119370	18.06.03	IBM Corp./Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf IBM Corp.
CH0011193411	1119341	18.06.03	Oracle/Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf Oracle
CH0011193395	1119339	18.06.03	Intel Corporation/Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf Intel Corporation
CH0011193379	1119337	18.06.03	Worldcom Inc./Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf Worldcom Inc.
GB0043164358	1120883	16.10.01	Ariba Inc./Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Ariba Inc.
CH0011213953	1121395	08.08.02	Synthes-Stratec N/Bank Vontobel AG 00-02	Call - Optionen 2000 - 2002 auf Synthes-Stratec Namen
GB0043193373	1121088	21.12.01	Biomarin Pharmaceutical Inc./CrŽdit Lyonnais Fin. Prod.0	Call - Optionen 00-01 auf Biomarin Pharmaceutical Inc
GB0043201572	1121018	21.12.01	Biomarin Pharmaceutical Inc./CrŽdit Lyonnais Fin. Prod.0	Call - Optionen 00-01 auf Biomarin Pharmaceutical Inc
GB0043622231	1123205	05.12.01	Altera Corp./Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Altera Corp.
GB0043632370	1123203	03.04.02	JDS Uniphase/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf JDS Uniphase
GB0043625804	1123337	05.12.01	Citigroup Inc./Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Citigroup Inc.
CH0011269112	1126911	21.09.01	Genentech Inc./ZŸrcher Kantonalbank 00-01	Call - Optionen 2000 - 2001 auf Genentech Inc.
CH0011267314	1126731	21.09.01	NASDAQ 100 Index/Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf NASDAQ 100 Index
CH0011267322	1126732	21.09.01	NASDAQ 100 Index/Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf NASDAQ 100 Index
CH0011267330	1126733	21.09.01	NASDAQ 100 Index/Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf NASDAQ 100 Index
CH0011267363	1126736	21.09.01	NASDAQ 100 Index/Merrill Lynch Cap. 00-01	Put - Optionen 2000 - 2001 auf NASDAQ 100 Index
CH0011267348	1126734	21.09.01	NASDAQ 100 Index/Merrill Lynch Cap. 00-01	Put - Optionen 2000 - 2001 auf NASDAQ 100 Index
CH0011267371	1126737	21.09.01	NASDAQ 100 Index/Merrill Lynch Cap. 00-01	Put - Optionen 2000 - 2001 auf NASDAQ 100 Index
GB0044076528	1127163	09.01.02	Compaq/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Compaq
CH0011274054	1127405	18.06.03	Citigroup Inc./Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf Citigroup Inc.
CH0011274013	1127401	18.06.03	Boeing/Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf Boeing

CH0011272876	1127287	18.06.03	American Express Company/Bank Vontobel AG 00-03	Call - Opt. 2000 - 2003 auf American Express Company
CH0011273965	1127396	18.06.03	Caterpillar Inc./Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf Caterpillar Inc.
CH0011273981	1127398	18.06.03	AT&T/Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf AT & T
CH0011273874	1127387	18.06.03	General Electric/Bank Vontobel AG 00-03	Call - Opt. 2000 - 2003 auf General Electric
CH0011273932	1127393	18.06.03	Coca-Cola Company/Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf Coca-Cola Company
CH0011273916	1127391	18.06.03	Du Pont/Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf Du Pont
CH0011273890	1127389	18.06.03	Exxon Mobil Corp./Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf Exxon Mobil Corp.
CH0011274039	1127403	18.06.03	General Motors Corp./Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf General Motors Corp.
CH0011274294	1127429	18.06.03	Philip Morris/Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf Philip Morris
CH0011274088	1127408	18.06.03	Hewlett Packard/Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf Hewlett Packard Co.
CH0011274278	1127427	18.06.03	J.P. Morgan Chase & Co./Bank Vontobel AG 00-03	Call - Opt. 00-03 auf J.P. Morgan Chase & Co.
CH0011274120	1127412	18.06.03	Honeywell International Inc./Bank Vontobel AG 00-03	Call - Opt. 2000 - 2003 auf Honeywell Intern. Inc.
CH0011274203	1127420	18.06.03	McDonald's Corp./Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf McDonald's Corp.
CH0011274310	1127431	18.06.03	Procter & Gamble Co./Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf Procter & Gamble Co.
CH0011274393	1127439	18.06.03	Wal-Mart Stores/Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf Wal-Mart Stores
CH0011274351	1127435	18.06.03	SBC Communication Inc./Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf SBC Communication Inc
CH0011274229	1127422	18.06.03	Merck & Co./Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf Merck & Co.
CH0011299549	1129954	21.09.01	Rambus Inc./ZŸrcher Kantonalbank 00-01	Call - Optionen 2000 - 2001 auf Rambus Inc.
CH0011301386	1130138	21.09.01	S & P 500 Index/Merrill Lynch Cap. 00-01	Put - Optionen 2000 - 2001 auf S & P 500 Index
CH0011301410	1130141	21.09.01	S & P 500 Index/Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf S & P 500 Index
CH0011301360	1130136	21.09.01	S & P 500 Index/Merrill Lynch Cap. 00-01	Put - Optionen 2000 - 2001 auf S & P 500 Index
CH0011301394	1130139	21.09.01	S & P 500 Index/Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf S & P 500 Index
CH0011312102	1131210	21.09.01	Xerox Corp./ZŸrcher Kantonalbank 00-01	Call - Optionen 2000 - 2001 auf Xerox Corp.
CH0011243216	1124321	21.09.01	Intel Corporation/CSFB 00-01	TORO - Optionen 2000 - 2001 auf Intel Corporation
CH0011243257	1124325	21.09.01	Cisco Systems/CSFB 00-01	TORO - Optionen 2000 - 2001 auf Cisco Systems
CH0011317713	1131771	19.10.01	Synthes-Stratec N/Bank Sarasin & Cie. 00-01	Call - Optionen 2000 - 2001 auf Synthes-Stratec Namen
GB0044649142	1131314	02.10.01	Medimmune Inc./Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Medimmune Inc.
GB0044653045	1131319	06.02.02	SDL Inc./Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf SDL Inc.
GB0044649472	1131315	06.02.02	Medimmune Inc./Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Medimmune Inc.
GB0044647211	1131312	02.10.01	General Motors Corp./Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf General Motors Corp.
GB0044648953	1131313	06.02.02	General Motors Corp./Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf General Motors Corp.
GB0044650702	1131318	02.10.01	SDL Inc./Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf SDL Inc.
GB0044656725	1131316	02.10.01	Sprint Corp/Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Sprint Corp
GB0044657350	1131317	06.02.02	Sprint Corp/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Sprint Corp
CH0011332480	1133248	18.06.03	Sun Microsystems/Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf Sun Microsystems
CH0011336515	1133651	19.09.01	Microsoft/Bank Vontobel AG 00-01	Call - Optionen 2000 - 2001 auf Microsoft
CH0011334601	1133460	19.09.01	Intel Corporation/Bank Vontobel AG 00-01	Call - Optionen 2000 - 2001 auf Intel Corporation
CH0011340566	1134056	02.10.01	Intel Corporation/Merrill Lynch Cap. 00-01	COSO - Optionen 2000 - 2001 auf Intel Corporation
CH0011332506	1133250	18.06.03	EMC Corp./Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf EMC Corp.
CH0011354815	1135481	21.09.01	Pfizer/ZŸrcher Kantonalbank 00-01	Call - Optionen 2000 - 2001 auf Pfizer
CH0011354849	1135484	21.09.01	Lucent/ZŸrcher Kantonalbank 00-01	Call - Optionen 2000 - 2001 auf Lucent

CH0011352413	1135241	18.06.03	Cisco Systems/Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf Cisco Systems
CH0011352447	1135244	18.06.03	Motorola Inc./Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf Motorola Inc.
CH0011310924	1131092	24.09.01	TMT (Tech. Media Telec.) Recovery Basket/CSFB 00-01	TMT (Tech. Media Telec.) Recovery Basket Cert. 00-01
DE0005755961	1134453	21.09.01	S & P 500 Index/Citibank AG 00-01	Put - Optionen 2000 - 2001 auf S & P 500 Index
DE0005755979	1134454	21.09.01	S & P 500 Index/Citibank AG 00-01	Put - Optionen 2000 - 2001 auf S & P 500 Index
DE0005755987	1134455	21.09.01	S & P 500 Index/Citibank AG 00-01	Put - Optionen 2000 - 2001 auf S & P 500 Index
DE0005755870	1134411	19.09.01	NASDAQ 100 Index/Citibank AG 00-01	Put - Optionen 2000 - 2001 auf NASDAQ 100 Index
DE0005755904	1134414	19.09.01	NASDAQ 100 Index/Citibank AG 00-01	Call - Optionen 2000 - 2001 auf NASDAQ 100 Index
DE0005755912	1134415	19.09.01	NASDAQ 100 Index/Citibank AG 00-01	Call - Optionen 2000 - 2001 auf NASDAQ 100 Index
DE0005755888	1134412	19.09.01	NASDAQ 100 Index/Citibank AG 00-01	Put - Optionen 2000 - 2001 auf NASDAQ 100 Index
DE0005755896	1134413	19.09.01	NASDAQ 100 Index/Citibank AG 00-01	Call - Optionen 2000 - 2001 auf NASDAQ 100 Index
CH0011358477	1135847	19.09.01	Yahoo Inc./Bank Vontobel AG 00-01	Call - Optionen 2000 - 2001 auf Yahoo Inc.
CH0011358485	1135848	19.09.01	Eastman Kodak Co./Bank Vontobel AG 00-01	Call - Optionen 2000 - 2001 auf Eastman Kodak Co.
CH0011358501	1135850	18.09.03	Eastman Kodak Co./Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf Eastman Kodak Co.
CH0011368450	1136845	19.09.01	Apple Computer/Bank Vontobel AG 00-01	Call - Optionen 2000 - 2001 auf Apple Computer
CH0011368468	1136846	18.09.03	Apple Computer/Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf Apple Computer
CH0011372312	1137231	02.10.01	Apple Computer/Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf Apple Computer
GB0045026324	1136306	03.04.02	AT&T/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf AT & T
CH0011382212	1138221	21.09.01	Dow Chemical Co./ZŸrcher Kantonalbank 00-01	Call - Optionen 2000 - 2001 auf Dow Chemical Co.
DE0005755920	1134448	21.09.01	S & P 500 Index/Citibank AG 00-01	Call - Optionen 2000 - 2001 auf S & P 500 Index
DE0005755938	1134449	21.09.01	S & P 500 Index/Citibank AG 00-01	Call - Optionen 2000 - 2001 auf S & P 500 Index
DE0005755946	1134450	21.09.01	S & P 500 Index/Citibank AG 00-01	Call - Optionen 2000 - 2001 auf S & P 500 Index
DE0005755953	1134452	21.09.01	S & P 500 Index/Citibank AG 00-01	Call - Optionen 2000 - 2001 auf S & P 500 Index
CH0011393128	1139312	19.06.02	NASDAQ 100 Index/Bank Vontobel AG 00-02	Put - Optionen 2000 - 2002 auf NASDAQ 100 Index
CH0011393136	1139313	18.06.03	NASDAQ 100 Index/Bank Vontobel AG 00-03	Put - Optionen 2000 - 2003 auf NASDAQ 100 Index
CH0011393110	1139311	18.06.03	NASDAQ 100 Index/Bank Vontobel AG 00-03	Call - Optionen 2000 - 2003 auf NASDAQ 100 Index
CH0011393102	1139310	19.06.02	NASDAQ 100 Index/Bank Vontobel AG 00-02	Call - Optionen 2000 - 2002 auf NASDAQ 100 Index
CH0011403901	1140390	19.10.01	NASDAQ 100 Index/Merrill Lynch Cap. 00-01	Put - Optionen 2000 - 2001 auf NASDAQ 100 Index
CH0011403919	1140391	19.10.01	NASDAQ 100 Index/Merrill Lynch Cap. 00-01	Put - Optionen 2000 - 2001 auf NASDAQ 100 Index
CH0011403885	1140388	19.10.01	NASDAQ 100 Index/Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf NASDAQ 100 Index
CH0011403877	1140387	19.10.01	NASDAQ 100 Index/Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf NASDAQ 100 Index
CH0011405385	1140538	21.09.01	CMGI Inc./ZŸrcher Kantonalbank 00-01	Call - Optionen 2000 - 2001 auf CMGI Inc.
CH0011405377	1140537	21.09.01	Yahoo Inc./ZŸrcher Kantonalbank 00-01	Call - Optionen 2000 - 2001 auf Yahoo Inc.
GB0045827200	1139849	31.12.01	NASDAQ 100 Index/ Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf NASDAQ 100 Index
GB0045827317	1139850	31.12.01	NASDAQ 100 Index/ Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf NASDAQ 100 Index
GB0045833703	1139856	31.12.01	NASDAQ 100 Index/ Goldman Sachs 00-01	Put - Optionen 2000 - 2001 auf NASDAQ 100 Index
GB0045836714	1139857	31.12.01	NASDAQ 100 Index/ Goldman Sachs 00-01	Put - Optionen 2000 - 2001 auf NASDAQ 100 Index
CH0011410351	1141035	19.09.01	Lucent/Bank Vontobel AG 00-01	Call - Optionen 2000 - 2001 auf Lucent
CH0011404479	1140447	18.10.02	Dow Jones STOXX 50/Bank Vontobel AG 00-02	VONCERT - Optionen 2000 - 2002 auf Dow Jones STOXX 50
GB0046039664	1142043	26.09.01	Lucent/Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Lucent
GB0046039771	1142044	26.09.01	Lucent/Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Lucent

GB0046039995	1142045	27.03.02	Lucent/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Lucent
GB0046040001	1142046	27.03.02	Lucent/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Lucent
CH0011493241	1149324	21.09.01	Intel Corporation/ZŸrcher Kantonalbank 00-01	Call - Optionen 2000 - 2001 auf Intel Corporation
CH0011493274	1149327	21.09.01	Worldcom Inc./ZŸrcher Kantonalbank 00-01	Call - Optionen 2000 - 2001 auf Worldcom Inc.
CH0011498075	1149807	16.11.01	Synthes-Stratec N/Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf Synthes-Stratec Na.
CH0011442008	1144200	06.12.01	Intel Corporation/UBS AG London 00-01	Call - Optionen 2000 - 2001 auf Intel Corporation
ANN8122D2431	1146805	21.12.01	Intel Corporation/SGA 00-01	Call - Optionen 2000 - 2001 auf Intel Corporation
CH0011441976	1144197	06.12.01	Cisco Systems/UBS AG London 00-01	Call - Optionen 2000 - 2001 auf Cisco Systems
ANN8122D5996	1146798	21.09.01	Intel Corporation/SGA 00-01	Call - Optionen 2000 - 2001 auf Intel Corporation
CH0011441992	1144199	06.12.01	IBM/UBS AG London 00-01	Call - Optionen 2000 - 2001 auf IBM
CH0011441968	1144196	06.12.01	Apple Computer/UBS AG London 00-01	Call - Optionen 2000 - 2001 auf Apple Computer
CH0011442024	1144202	06.12.01	Motorola Inc./UBS AG London 00-01	Call - Optionen 2000 - 2001 auf Motorola Inc.
CH0011442040	1144204	06.12.01	Yahoo Inc./UBS AG London 00-01	Call - Optionen 2000 - 2001 auf Yahoo Inc.
CH0011442016	1144201	06.12.01	Lucent/UBS AG London 00-01	Call - Optionen 2000 - 2001 auf Lucent
CH0010163902	1016390	26.11.01	REVEXUS-Lucent/CSFB 00-01	REVEXUS 2000 - 2001 auf Lucent
CH0004062441	406244	13.03.02	REVEXUS-IBM/CSFB 00-02	REVEXUS 2000 - 2002 auf IBM
CH0011315055	1131505	10.11.03	Caterpillar Inc./Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf Caterpillar Inc.
CH0010389614	1038961	08.02.02	REVEXUS-Philip Morris/CSFB 00-02	REVEXUS 2000 - 2002 auf Philip Morris
CH0011315022	1131502	10.11.03	AT&T/Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf AT&T
CH0011315048	1131504	10.11.03	Alcoa Inc./Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf Alcoa Inc.
CH0011315105	1131510	10.11.03	Eastman Kodak Co./Bank Vontobel AG 00-03	VONCERT - Opt. 2000 - 2003 auf Eastman Kodak Co.
CH0011315089	1131508	10.11.03	Walt Disney Company/Bank Vontobel AG 00-03	VONCERT - Opt. 2000 - 2003 auf Walt Disney Company
CH0011315097	1131509	10.11.03	Du Pont/Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf Du Pont
CH0011315030	1131503	10.11.03	Boeing/Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf Boeing
CH0011315063	1131506	10.11.03	Citigroup Inc./Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf Citigroup Inc.
CH0011315014	1131501	10.11.03	American Express Company/Bank Vontobel AG 00-03	VONCERT - Opt. 2000 - 2003 auf American Express Co.
CH0011315121	1131512	10.11.03	Home Depot Inc./Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf Home Depot Inc.
CH0011315071	1131507	10.11.03	Coca-Cola Company/Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf Coca-Cola Company
CH0011315113	1131511	10.11.03	Exxon Mobil Corp./Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf Exxon Mobil Corp.
CH0011296883	1129688	10.11.03	IBM Corp./Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf IBM Corp.
CH0011315139	1131513	10.11.03	General Electric/Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf General Electric
CH0011315147	1131514	10.11.03	General Motors Corp./Bank Vontobel AG 00-03	VONCERT - Opt. 2000 - 2003 auf General Motors Corp.
CH0011315154	1131515	10.11.03	Hewlett Packard/Bank Vontobel AG 00-03	VONCERT- Optionen 2000 - 2003 auf Hewlett Packard Co.
CH0011315162	1131516	10.11.03	Intel Corporation/Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf Intel Corporation
CH0011315170	1131517	10.11.03	Honeywell International Inc./Bank Vontobel AG 00-03	VONCERT- Opt. 2000 - 2003 auf Honeywell Intern. Inc.
CH0011315188	1131518	10.11.03	McDonald's Corp./Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf McDonald's Corp.
CH0011315220	1131522	10.11.03	International Paper Company/Bank Vontobel AG 00-03	VONCERT- Opt. 00 - 03 auf International Paper Co.
CH0011315238	1131523	10.11.03	Johnson & Johnson/Bank Vontobel AG 00-03	VONCERT - Opt. 2000 - 2003 auf Johnson & Johnson
CH0011315204	1131520	10.11.03	Microsoft/Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf Microsoft
CH0011315253	1131525	10.11.03	Procter & Gamble Co./Bank Vontobel AG 00-03	VONCERT - Opt. 2000 - 2003 auf Procter & Gamble Co.
CH0011315196	1131519	10.11.03	Merck & Co./Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf Merck & Co.

U.S. registered stocks and derivatives based on U.S. registered stocks traded in Switzerland

CH0011315212	1131521	10.11.03	3M Co./Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf 3M Co.
CH0011315261	1131526	10.11.03	SBC Communication Inc./Bank Vontobel AG 00-03	VONCERT - Opt. 00 - 03 auf SBC Comm. Inc.
CH0011315287	1131528	10.11.03	Wal-Mart Stores/Bank Vontobel AG 00-03	VONCERT - Opt. 2000 - 2003 auf Wal-Mart Stores
CH0011315295	1131529	10.11.03	United Technologies Corp./Bank Vontobel AG 00-03	VONCERT - Opt. 00 - 03 auf United Technologies Corp.
GB0046803895	1149826	05.12.01	Apple Computer/Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Apple Computer
GB0046793096	1149825	26.09.01	Apple Computer/Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Apple Computer
GB0046807987	1149827	27.03.02	Apple Computer/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Apple Computer
GB0046759543	1149824	27.03.02	Philip Morris/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Philip Morris
GB0046743711	1149822	26.09.01	Philip Morris/Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Philip Morris
CH0011315246	1131524	10.11.03	Philip Morris/Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf Philip Morris
CH0011315279	1131527	10.11.03	J.P. Morgan Chase & Co./Bank Vontobel AG 00-03	VONCERT - Opt. 00-03 auf J.P. Morgan Chase & Co.
GB0046736244	1149815	26.09.01	Yahoo Inc./Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Yahoo Inc.
GB0046737093	1149816	26.09.01	Yahoo Inc./Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Yahoo Inc.
GB0046740360	1149819	27.03.02	Yahoo Inc./Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Yahoo Inc.
DE0005767628	1150441	16.01.02	Lucent/Citibank AG 00-02	Call - Optionen 2000 - 2002 auf Lucent
DE0005767610	1150440	16.01.02	Lucent/Citibank AG 00-02	Call - Optionen 2000 - 2002 auf Lucent
DE0005767594	1150438	16.01.02	Lucent/Citibank AG 00-02	Call - Optionen 2000 - 2002 auf Lucent
DE0005767586	1150437	16.01.02	Lucent/Citibank AG 00-02	Call - Optionen 2000 - 2002 auf Lucent
CH0011531594	1153159	09.11.01	Vontobel Bush-Basket/Bank Vontobel AG 00-01	Call - Optionen 2000 - 2001 auf Vontobel Bush-Basket
CH0011532956	1153295	09.11.01	Vontobel Bush-Basket/Bank Vontobel AG 00-01	Put - Optionen 2000 - 2001 auf Vontobel Bush-Basket
CH0011531511	1153151	09.11.01	Vontobel Al Gore-Basket/Bank Vontobel AG 00-01	Put - Opt. 2000 - 2001 auf Vontobel Al Gore-Basket
CH0011532972	1153297	09.11.01	Vontobel Al Gore-Basket/Bank Vontobel AG 00-01	Call - Opt. 2000 - 2001 auf Vontobel Al Gore-Basket
CH0011529531	1152953	14.11.01	Vontobel Bush-Basket/Bank Vontobel AG 00-01	VONCERT - Opt. 00-01 auf Vontobel Bush-Basket
CH0011529556	1152955	14.11.01	Vontobel Al Gore-Basket/Bank Vontobel AG 00-01	VONCERT - Opt. 00 - 01 auf Vontobel Al Gore-Basket
GB0047010755	1153476	15.03.02	Chevron Corp./CrŽdit Lyonnais Fin. Prod. 00-02	Call - Optionen 2000 - 2002 auf Chevron Corp.
GB0047011506	1153478	19.04.02	Eli Lilly/CrŽdit Lyonnais Fin. Prod. 00-02	Call - Optionen 2000 - 2002 auf Eli Lilly
GB0047011837	1153482	19.04.02	Exxon Mobil Corp./CrŽdit Lyonnais Fin. Prod. 00-02	Call - Optionen 2000 - 2002 auf Exxon Mobil Corp.
GB0047012462	1153521	19.04.02	Merck & Co./CrŽdit Lyonnais Fin. Prod. 00-02	Call - Optionen 2000 - 2002 auf Merck & Co.
GB0047012355	1153519	19.04.02	Halliburton Co./CrŽdit Lyonnais Fin. Prod. 00-02	Call - Optionen 2000 - 2002 auf Halliburton Co.
GB0047012686	1153524	15.03.02	Pfizer/CrŽdit Lyonnais Fin. Prod. 00-02	Call - Optionen 2000 - 2002 auf Pfizer
GB0047013098	1153527	15.02.02	Schlumberger/CrŽdit Lyonnais Fin. Prod. 00-02	Call - Optionen 2000 - 2002 auf Schlumberger
GB0047013544	1153528	19.04.02	Texaco/CrŽdit Lyonnais Fin. Prod. 00-02	Call - Optionen 2000 - 2002 auf Texaco
GB0047003172	1153474	15.02.02	Abbott Laboratories/CrŽdit Lyonnais Fin. Prod. 00-02	Call - Optionen 2000 - 2002 auf Abbott Laboratories
DE0007301186	1156260	18.09.02	Citibank US Biotechnology-Basket/Citibank AG 00-02	Call - Opt. 00 - 02 auf Citibank US Biotechn.-Basket
DE0007301178	1156259	18.09.02	Citibank US Biotechnology-Basket/Citibank AG 00-02	Call - Opt. 00 - 02 auf Citibank US Biotechn.-Basket
DE0007301160	1156258	18.09.02	Citibank US Biotechnology-Basket/Citibank AG 00-02	Call - Opt. 00 - 02 auf Citibank US Biotechn.-Basket
DE0007301194	1156229	23.09.02	Citibank US Internet Infrastruktur-Basket/Citibank AG 00-I	TRACKER-Opt. 00-02 Citib.US Internet Infrastr.-Basket
DE0007301152	1156257	23.09.02	Citibank US Biotechnology-Basket/Citibank AG 00-02	TRACKER - Opt. 00 - 02 Citibank US Biotechn.-Basket
DE0007301228	1156153	18.09.02	Citibank US Internet Infrastruktur-Basket/Citibank AG 00-I	Call-Opt. 00-02 Citibank US Internet Infrastr.-Basket
DE0007301202	1156151	18.09.02	Citibank US Internet Infrastruktur-Basket/Citibank AG 00-I	Call-Opt. 00-02 Citibank US Internet Infrastr.-Basket
DE0007301210	1156152	18.09.02	Citibank US Internet Infrastruktur-Basket/Citibank AG 00-I	Call-Opt. 00-02 Citibank US Internet Infrastr.-Basket

GB0047274021	1156830	22.03.01	EMC Corp./Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf EMC Corp.
GB0047201339	1156574	31.12.01	NASDAQ 100 Index/Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf NASDAQ 100 Index
GB0047201990	1156576	28.12.01	NASDAQ 100 Index/Goldman Sachs 00-01	Put - Optionen 2000 - 2001 auf NASDAQ 100 Index
GB0047275986	1157075	03.04.02	JDS Uniphase/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf JDS Uniphase
GB0047273056	1157073	05.12.01	Cisco Systems/Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Cisco Systems
CH0011580476	1158047	20.09.01	NASDAQ 100 Index/CSFB 00-01	Call - Optionen 2000 - 2001 auf NASDAQ 100 Index
CH0011580575	1158057	20.09.01	NASDAQ 100 Index/CSFB 00-01	Call - Optionen 2000 - 2001 auf NASDAQ 100 Index
CH0011580641	1158064	20.09.01	NASDAQ 100 Index/CSFB 00-01	Put - Optionen 2000 - 2001 auf NASDAQ 100 Index
CH0011580666	1158066	20.09.01	NASDAQ 100 Index/CSFB 00-01	Put - Optionen 2000 - 2001 auf NASDAQ 100 Index
CH0011597249	1159724	21.12.01	JDS Uniphase/ZŸrcher Kantonalbank 00-01	Call - Optionen 2000 - 2001 auf JDS Uniphase
CH0011597256	1159725	21.12.01	Worldcom Inc./ZŸrcher Kantonalbank 00-01	Call - Optionen 2000 - 2001 auf Worldcom Inc.
CH0011597231	1159723	21.12.01	CMGI Inc./ZŸrcher Kantonalbank 00-01	Call - Optionen 2000 - 2001 auf CMGI Inc.
CH0011595235	1159523	19.09.01	S & P 500 Index/Bank Vontobel AG 00-01	Call - Optionen 2000 - 2001 auf S & P 500 Index
CH0011595268	1159526	19.09.01	S & P 500 Index/Bank Vontobel AG 00-01	Put - Optionen 2000 - 2001 auf S & P 500 Index
CH0011609481	1160948	21.12.01	Lucent/ZŸrcher Kantonalbank 00-01	Call - Optionen 2000 - 2001 auf Lucent
CH0011595904	1159590	19.09.01	S & P 500 Index/Bank Vontobel AG 00-01	Call - Optionen 2000 - 2001 auf S & P 500 Index
CH0011595912	1159591	19.09.01	S & P 500 Index/Bank Vontobel AG 00-01	Put - Optionen 2000 - 2001 auf S & P 500 Index
GB0047671630	1160289	16.10.01	Ariba Inc./Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Ariba Inc.
GB0047669220	1160290	26.09.01	Transmeta Corp./Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Transmeta Corp.
GB0047669667	1160291	27.03.02	Transmeta Corp./Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Transmeta Corp.
CH0011615371	1161537	19.12.01	Yahoo Inc./Bank Vontobel AG 00-01	Call - Optionen 2000 - 2001 auf Yahoo Inc.
CH0011615280	1161528	19.12.01	Worldcom Inc./Bank Vontobel AG 00-01	Call - Optionen 2000 - 2001 auf Worldcom Inc.
CH0011615298	1161529	19.12.01	Sun Microsystems/Bank Vontobel AG 00-01	Call - Optionen 2000 - 2001 auf Sun Microsystems
CH0011615306	1161530	19.12.01	IBM Co./Bank Vontobel AG 00-01	Call - Optionen 2000 - 2001 auf IBM Co.
CH0011615314	1161531	19.12.01	Dell Computer/Bank Vontobel AG 00-01	Call - Optionen 2000 - 2001 auf Dell Computer
CH0011615322	1161532	19.12.01	Cisco Systems/Bank Vontobel AG 00-01	Call - Optionen 2000 - 2001 auf Cisco Systems
CH0011615355	1161535	19.12.01	Oracle/Bank Vontobel AG 00-01	Call - Optionen 2000 - 2001 auf Oracle
CH0011615330	1161533	19.12.01	Hewlett Packard/Bank Vontobel AG 00-01	Call - Optionen 2000 - 2001 auf Hewlett Packard Co.
CH0011615348	1161534	19.12.01	Lucent/Bank Vontobel AG 00-01	Call - Optionen 2000 - 2001 auf Lucent
CH0011615363	1161536	19.12.01	Motorola Inc./Bank Vontobel AG 00-01	Call - Optionen 2000 - 2001 auf Motorola Inc.
CH0011635809	1163580	21.09.01	NASDAQ 100 Index/ZŸrcher Kantonalbank 00-01	Put - Optionen 2000 - 2001 auf NASDAQ 100 Index
CH0011635783	1163578	21.09.01	NASDAQ 100 Index/ZŸrcher Kantonalbank 00-01	Call - Optionen 2000 - 2001 auf NASDAQ 100 Index
CH0011472773	1147277	10.11.03	Starbucks Corp./Bank Vontobel AG 00-03	VONCERT- Optionen 2000 - 2003 auf Starbucks Corp.
CH0011472765	1147276	10.11.03	Siebel Systems Inc./Bank Vontobel AG 00-03	VONCERT - Opt. 2000 - 2003 auf Siebel Systems Inc.
CH0011472781	1147278	10.11.03	Sun Microsystems/Bank Vontobel AG 00-03	VONCERT- Optionen 2000 - 2003 auf Sun Microsystems
CH0011472757	1147275	10.11.03	SDL Inc./Bank Vontobel AG 00-03	VONCERT - Opt. 2000 - 2003 auf SDL Inc.
CH0011599740	1159974	10.11.03	Lucent/Bank Vontobel AG 00-03	VONCERT- Optionen 2000 - 2003 auf Lucent
CH0011472807	1147280	10.11.03	Worldcom Inc./Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf Worldcom Inc.
CH0011472732	1147273	10.11.03	PMC-Sierra Inc./Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf PMC-Sierra Inc.
CH0011472815	1147281	10.11.03	Yahoo Inc./Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf Yahoo Inc.
CH0011601686	1160168	10.11.03	America Online/Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf America Online

CH0011472740	1147274	10.11.03	Qualcomm Inc./Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf Qualcomm Inc.
CH0011472617	1147261	10.11.03	3Com/Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf 3Com
CH0011472633	1147263	10.11.03	Dell Computer/Bank Vontobel AG 00-03	VONCERT- Optionen 2000 - 2003 auf Dell Computer
CH0011472625	1147262	10.11.03	CMGI Inc./Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf CMGI Inc.
CH0011472641	1147264	10.11.03	Ebay Inc./Bank Vontobel AG 00-03	VONCERT- Optionen 2000 - 2003 auf Ebay Inc.
CH0011472682	1147268	10.11.03	Maxim Integrated Corp./Bank Vontobel AG 00-03	VONCERT - Opt. 2000 - 2003 auf Maxim Integrated Corp.
CH0011472658	1147265	10.11.03	JDS Uniphase/Bank Vontobel AG 00-03	VONCERT- Optionen 2000 - 2003 auf JDS Uniphase
CH0011472666	1147266	10.11.03	Linear Technology Corp./Bank Vontobel AG 00-03	VONCERT - Opt. 00 - 03 auf Linear Technology Corp.
CH0011472534	1147253	10.11.03	Amazon Com./Bank Vontobel AG 00-03	VONCERT- Optionen 2000 - 2003 auf Amazon Com.
CH0011472708	1147270	10.11.03	Nextel Communications Inc./Bank Vontobel AG 00-03	VONCERT - Opt. 00-03 auf Nextel Communications Inc.
CH0011472690	1147269	10.11.03	Network Appliance Inc./Bank Vontobel AG 00-03	VONCERT - Opt. 2000 - 2003 auf Network Appliance Inc.
CH0011472542	1147254	10.11.03	Amgen/Bank Vontobel AG 00-03	VONCERT- Optionen 2000 - 2003 auf Amgen
CH0011472559	1147255	10.11.03	Apple Computer/Bank Vontobel AG 00-03	VONCERT- Optionen 2000 - 2003 auf Apple Computer
CH0011472609	1147260	10.11.03	Cisco Systems/Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf Cisco Systems
CH0011472591	1147259	10.11.03	Ciena Corp./Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf Ciena Corp.
CH0011629299	1162929	10.11.03	ICN Pharmaceuticals Inc./Bank Vontobel AG 00-03	VONCERT - Opt. 00 - 03 auf ICN Pharmaceutical Inc.
CH0011472724	1147272	10.11.03	Oracle/Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf Oracle
CH0011472567	1147256	10.11.03	Applied Materials Inc./Bank Vontobel AG 00-03	VONCERT- Opt 2000 - 2003 auf Applied Materials Inc.
CH0011472575	1147257	10.11.03	At Home/Bank Vontobel AG 00-03	VONCERT- Optionen 2000 - 2003 auf At Home
CH0011472716	1147271	10.11.03	Novell/Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf Novell
CH0011629273	1162927	10.11.03	Colgate-Palmolive Co./Bank Vontobel AG 00-03	VONCERT- Opt. 2000 - 2003 auf Colgate-Palmolive Co.
CH0011629224	1162922	10.11.03	Gillette Co./Bank Vontobel AG 00-03	VONCERT- Optionen 2000 - 2003 auf Gillette Co.
CH0011634117	1163411	10.11.03	BellSouth Corp./Bank Vontobel AG 00-03	VONCERT- Optionen 2000 - 2003 auf BellSouth
CH0011634067	1163406	10.11.03	Pfizer/Bank Vontobel AG 00-03	VONCERT- Optionen 2000 - 2003 auf Pfizer
CH0011472583	1147258	10.11.03	Biogen/Bank Vontobel AG 00-03	VONCERT- Optionen 2000 - 2003 auf Biogen
CH0011472526	1147252	10.11.03	Altera Corp./Bank Vontobel 00-03	VONCERT - Optionen 2000 - 2003 auf Altera Corp.
CH0011634059	1163405	10.11.03	Compaq/Bank Vontobel AG 00-03	VONCERT- Optionen 2000 - 2003 auf Compaq
CH0011634026	1163402	10.11.03	Sara Lee Corp./Bank Vontobel AG 00-03	VONCERT- Optionen 2000 - 2003 auf Sara Lee Corp.
CH0011634018	1163401	10.11.03	Gannett Co./Bank Vontobel AG 00-03	VONCERT- Optionen 2000 - 2003 auf Gannett Co.
CH0011634000	1163400	10.11.03	Centex Corp./Bank Vontobel AG 00-03	VONCERT- Optionen 2000 - 2003 auf Centex Corp.
CH0011633994	1163399	10.11.03	Illinois Tool Works Inc./Bank Vontobel AG 00-03	VONCERT - Opt. 00 - 03 auf Illinois Tool Works Inc.
CH0011633986	1163398	10.11.03	Schlumberger/Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf Schlumberger
CH0011633978	1163397	10.11.03	Chevron Corp./Bank Vontobel AG 00-03	VONCERT- Optionen 2000 - 2003 auf Chevron Corp.
CH0011634042	1163404	10.11.03	Bristol Myers Squibb Co./Bank Vontobel AG 00-03	VONCERT- Opt 2000 - 2003 auf Bristol Myers Squibb Co.
CH0011634083	1163408	10.11.03	Bank of America Corp./Bank Vontobel AG 00-03	VONCERT- Opt 2000 - 2003 auf Bank of America Corp.
CH0011634091	1163409	10.11.03	Fannie Mae/Bank Vontobel AG 00-03	VONCERT- Optionen 2000 - 2003 auf Fannie Mae
CH0011634075	1163407	10.11.03	Allstate Corp./Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf Allstate Corp.
CH0011634109	1163410	10.11.03	EMC Corp./Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf EMC Corp.
GB0048005309	1162967	27.03.02	Advanced Micro Devices/Goldman Sachs 00-02	Call - Optionen 2000-2002 auf Advanced Micro Devices
GB0047998215	1162692	09.01.02	IBM/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf IBM
GB0048003585	1162695	05.06.02	AOL Time Warner Inc./Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf AOL Time Warner Inc

U.S. registered stocks and derivatives based on U.S. registered stocks traded in Switzerland

ANN8122F6364	1166195	21.12.01	NASDAQ 100 Index/SGA 00-01	Call - Optionen 2000 - 2001 auf NASDAQ 100 Index
ANN8122F6778	1166202	21.12.01	NASDAQ 100 Index/SGA 00-01	Call - Optionen 2000 - 2001 auf NASDAQ 100 Index
GB0048003924	1162966	26.09.01	Advanced Micro Devices/Goldman Sachs 00-01	Call - Optionen 2000 - 2001 Advanced Micro Devices
GB0048003817	1162696	05.06.02	AOLTime Warner Inc./Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf AOLTime Warner Inc
ANN8122F6513	1166200	21.12.01	NASDAQ 100 Index/SGA 00-01	Call - Optionen 2000 - 2001 auf NASDAQ 100 Index
ANN8122F6695	1166201	21.12.01	NASDAQ 100 Index/SGA 00-01	Put - Optionen 2000 - 2001 auf NASDAQ 100 Index
ANN8122F6851	1166203	21.12.01	NASDAQ 100 Index/SGA 00-01	Put - Optionen 2000 - 2001 auf NASDAQ 100 Index
ANN8122F6448	1166197	21.12.01	NASDAQ 100 Index/SGA 00-01	Call - Optionen 2000 - 2001 auf NASDAQ 100 Index
CH0011661631	1166163	19.12.03	S & P 500 Index/Bank Vontobel AG 00-03	VONCERT - Opt. 2000 - 2003 auf S & P 500 Index
CH0011650543	1165054	10.11.03	Motorola Inc./Bank Vontobel AG 00-03	VONCERT - Optionen 2000 - 2003 auf Motorola Inc.
CH0011661144	1166114	21.12.01	Hewlett Packard/Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf Hewlett Packard Co.
CH0011661169	1166116	21.12.01	Sun Microsystems/Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf Sun Microsystems
CH0011661177	1166117	21.12.01	Dell Computer/Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf Dell Computer
CH0011661102	1166110	21.12.01	Intel Corporation/Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf Intel Corporation
CH0011661128	1166112	21.12.01	AT&T/Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf AT&T
CH0011660914	1166091	21.12.01	NASDAQ 100 Index/Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf NASDAQ 100 Index
CH0011661185	1166118	21.12.01	Worldcom Inc./Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf Worldcom Inc.
CH0011661193	1166119	21.12.01	Motorola Inc./Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf Motorola Inc.
CH0011661227	1166122	21.12.01	Yahoo Inc./Merrill Lynch Cap. 00-01	Call - Optionen 2000 - 2001 auf Yahoo Inc.
CH0011661763	1166176	30.11.01	Fallen Angels I-Basket/Bank Vontobel AG 00-01	VONCERT - Opt. 00-01 auf Fallen Angels I-Basket
ANN8122F7354	1166214	19.10.01	Intel Corporation/SGA 00-01	Call - Optionen 2000 - 2001 auf Intel Corporation
ANN8122F7198	1166210	19.10.01	Dell Computer/SGA 00-01	Call - Optionen 2000 - 2001 auf Dell Computer
ANN8122F7016	1166207	19.10.01	Cisco Systems/SGA 00-01	Call - Optionen 2000 - 2001 auf Cisco Systems
ANN8122F7438	1166216	19.10.01	Microsoft/SGA 00-01	Call - Optionen 2000 - 2001 auf Microsoft
ANN8122F6935	1166205	19.10.01	Apple Computer/SGA 00-01	Call - Optionen 2000 - 2001 auf Apple Computer
ANN8122F7271	1166212	19.10.01	Hewlett Packard/SGA 00-01	Call - Optionen 2000 - 2001 auf Hewlett Packard Co.
ANN8122F7503	1166218	19.10.01	Motorola Inc./SGA 00-01	Call - Optionen 2000 - 2001 auf Motorola Inc.
CH0011683569	1168356	21.12.01	Yahoo Inc./ZŸrcher Kantonalbank 00-01	Call - Optionen 2000 - 2001 auf Yahoo Inc.
ANN8122F7685	1166220	19.10.01	Oracle Corp./SGA 00-01	Call - Optionen 2000 - 2001 auf Oracle Corp.
ANN8122F7768	1166221	19.10.01	Worldcom Inc./SGA 00-01	Call - Optionen 2000 -2001 Worldcom Inc.
ANN8122F7842	1166222	19.10.01	Yahoo Inc./SGA 00-01	Call - Optionen 2000 - 2001 auf Yahoo Inc.
CH0011683551	1168355	21.12.01	Motorola Inc./ZŸrcher Kantonalbank 00-01	Call - Optionen 2000 - 2001 auf Motorola Inc.
CH0011683536	1168353	21.12.01	Commerce One/ZŸrcher Kantonalbank 00-01	Call - Optionen 2000 - 2001 auf Commerce One
CH0011683544	1168354	21.12.01	Dell Computer/ZŸrcher Kantonalbank 00-01	Call - Optionen 2000 - 2001 auf Dell Computer
CH0010865829	1086582	19.09.02	NASDAQ 100 Index/CSFB 00-02	NASDAQ 100 Index Certificates 2000 - 2002
GB0048410343	1167431	05.06.02	Motorola Inc./Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Motorola Inc.
GB0048409568	1167430	05.12.01	Motorola Inc./Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Motorola Inc.
GB0048412059	1167433	26.09.01	Millennium Pharmaceuticals Inc./Goldman Sachs 00-01	Call - Opt. 00 - 01 auf Millennium Pharmaceuticals
GB0048412380	1167434	27.03.02	Millennium Pharmaceuticals Inc./Goldman Sachs 00-02	Call - Opt. 00 - 02 auf Millennium Pharmaceuticals
CH0011688162	1168816	19.09.01	NASDAQ 100 Index/Bank Vontobel AG 00-01	Put - Optionen 2000 - 2001 auf NASDAQ 100 Index
CH0011688147	1168814	19.09.01	NASDAQ 100 Index/Bank Vontobel AG 00-01	Call - Optionen 2000 - 2001 auf NASDAQ 100 Index

GB0048627789	1168038	27.03.02	Yahoo Inc./Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Yahoo Inc.
GB0048624331	1168037	26.09.01	Yahoo Inc./Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Yahoo Inc.
GB0048630502	1168036	27.03.02	Rambus Inc./Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Rambus Inc.
GB0048629611	1168034	26.09.01	Rambus Inc./Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Rambus Inc.
GB0048627904	1168031	09.01.02	Hewlett-Packard/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Hewlett-Packard Co.
GB0048628423	1168032	05.06.02	Hewlett Packard/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Hewlett-Packard Co.
DE0007302366	1167697	18.01.02	AT&T/Citibank AG 00-02	Call - Optionen 2000 - 2002 auf AT & T
DE0007302440	1167705	20.12.01	Inktomi/Citibank AG 00-01	Call - Optionen 2000 - 2001 auf Inktomi
DE0007302457	1167706	20.12.01	Inktomi/Citibank AG 00-01	Call - Optionen 2000 - 2001 auf Inktomi
DE0007302358	1167696	18.01.02	AT&T/Citibank AG 00-02	Call - Optionen 2000 - 2002 auf AT & T
DE0007302465	1167708	16.01.02	JDS Uniphase/Citibank AG 00-02	Call - Optionen 2000 - 2002 auf JDS Uniphase
DE0007302424	1167702	23.01.02	Compaq/Citibank AG 00-02	Call - Optionen 2000 - 2002 auf Compaq
DE0007302416	1167736	16.01.02	Commerce One/Citibank AG 00-02	Call - Optionen 2000 - 2002 auf Commerce One
DE0007302432	1167703	23.01.02	Compaq/Citibank AG 00-02	Call - Optionen 2000 - 2002 auf Compaq
DE0007302317	1167689	18.09.01	Amgen/Citibank AG 00-01	Call - Optionen 2000 - 2001 auf Amgen
DE0007302374	1167698	16.01.02	Cisco Systems/Citibank AG 00-02	Call - Optionen 2000 - 2002 auf Cisco Systems
DE0007302325	1167690	22.01.02	Apple Computer/Citibank AG 00-02	Call - Optionen 2000 - 2002 auf Apple Computer
DE0007302333	1167692	16.01.02	Ariba Inc./Citibank AG 00-02	Call - Optionen 2000 - 2002 auf Ariba Inc.
DE0007302341	1167693	16.01.02	Ariba Inc./Citibank AG 00-02	Call - Optionen 2000 - 2002 auf Ariba Inc.
DE0007302473	1167709	16.01.02	JDS Uniphase/Citibank AG 00-02	Call - Optionen 2000 - 2002 auf JDS Uniphase
DE0007302382	1167699	16.01.02	Cisco Systems/Citibank AG 00-02	Call - Optionen 2000 - 2002 auf Cisco Systems
DE0007302507	1167713	16.01.02	Oracle/Citibank AG 00-02	Call - Optionen 2000 - 2002 auf Oracle
DE0007302515	1167714	16.01.02	Yahoo Inc./Citibank AG 00-02	Call - Optionen 2000 - 2002 auf Yahoo Inc.
DE0007302523	1167715	16.01.02	Yahoo Inc./Citibank AG 00-02	Call - Optionen 2000 - 2002 auf Yahoo Inc.
DE0007302408	1167701	16.01.02	Commerce One/Citibank AG 00-02	Call - Optionen 2000 - 2002 auf Commerce One
DE0007302499	1167712	16.01.02	Oracle/Citibank AG 00-02	Call - Optionen 2000 - 2002 auf Oracle
DE0007302390	1167700	18.12.01	CMGI Inc./Citibank AG 00-01	Call - Optionen 2000 - 2001 auf CMGI Inc.
CH0011613905	1161390	21.03.03	S & P 500 Index/CSFB 00-03	S & P 500 Index Certificates 2000 - 2003
CH0011616130	1161613	21.03.03	S & P 100 Index/CSFB 00-03	S & P 100 Index Certificates 2000 - 2003
CH0011721591	1172159	18.01.02	Microsoft/ZŸrcher Kantonalbank 00-02	Call - Optionen 2000 - 2002 auf Microsoft
GB0048893464	1171270	26.09.01	Commerce One/Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Commerce One
GB0048894322	1171271	27.03.02	Commerce One/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Commerce One
GB0048894439	1171272	27.03.02	Commerce One/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Commerce One
GB0048995491	1171622	05.12.01	Gateway/Goldman Sachs 00-01	Call - Optionen 2000 - 2001 auf Gateway
GB0048995509	1171623	05.06.02	Gateway/Goldman Sachs 00-02	Call - Optionen 2000 - 2002 auf Gateway
CH0011727036	1172703	19.09.01	NASDAQ 100 Index/Bank Vontobel AG 00-01	Call - Optionen 2000 - 2001 auf NASDAQ 100 Index
CH0011727044	1172704	19.09.01	NASDAQ 100 Index/Bank Vontobel AG 00-01	Put - Optionen 2000 - 2001 auf NASDAQ 100 Index
CH0011729651	1172965	20.09.01	NASDAQ 100 Index/CSFB 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0011729677	1172967	20.09.01	NASDAQ 100 Index/CSFB 2001	Put - Optionen 2001 auf NASDAQ 100 Index
CH0011766141	1176614	14.12.01	NASDAQ 100 Index/Merrill Lynch Cap. 2001	Put - Optionen 2001 auf NASDAQ 100 Index
CH0011766133	1176613	14.12.01	NASDAQ 100 Index/Merrill Lynch Cap. 2001	Put - Optionen 2001 auf NASDAQ 100 Index

CH0011766125	1176612	14.12.01	NASDAQ 100 Index/Merrill Lynch Cap. 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0011768436	1176843	21.12.01	Sun Microsystems/ZŸrcher Kantonalbank 2001	Call - Optionen 2001 auf Sun Microsystems
CH0011768428	1176842	21.12.01	Cisco Systems/ZŸrcher Kantonalbank 2001	Call - Optionen 2001 auf Cisco Systems
GB0070192702	1178500	03.04.02	Amazon Com./Goldman Sachs 01-02	Call - Optionen 2001-2002 auf Amazon Com.
CH0011790513	1179051	21.12.01	Texas Instruments/ZŸrcher Kantonalbank 2001	Call - Optionen 2001 auf Texas Instruments
CH0011790455	1179045	21.12.01	AT&T/ZŸrcher Kantonalbank 2001	Call - Optionen 2001 auf AT&T
GB0070192256	1178501	05.12.01	Cisco Systems/Goldman Sachs 2001	Call - Optionen 2001 auf Cisco Systems
GB0070192363	1178503	05.06.02	Cisco Systems/Goldman Sachs 01-02	Call - Optionen 2001-2002 auf Cisco Systems
CH0011789846	1178984	18.01.02	Yahoo Inc./Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Yahoo Inc.
CH0011789853	1178985	18.01.02	Sun Microsystems/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Sun Microsystems
CH0011789788	1178978	18.01.02	Apple Computer/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Apple Computer
CH0011789770	1178977	18.01.02	AT&T/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf AT & T
CH0011789804	1178980	18.01.02	EMC Corp./Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf EMC Corp.
CH0011789796	1178979	18.01.02	Cisco Systems/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Cisco Systems
CH0011789838	1178983	18.01.02	Microsoft/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Microsoft
DE0007303174	1177771	19.09.01	NASDAQ 100 Index/Citibank AG 2001	Call - Optionen 2001 auf NASDAQ 100 Index
DE0007303158	1177761	19.09.01	NASDAQ 100 Index/Citibank AG 2001	Call - Optionen 2001 auf NASDAQ 100 Index
DE0007303141	1177760	19.09.01	NASDAQ 100 Index/Citibank AG 2001	Put - Optionen 2001 auf NASDAQ 100 Index
CH0011789812	1178981	18.01.02	Intel Corporation/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Intel Corporation
DE0007303166	1177763	19.09.01	NASDAQ 100 Index/Citibank AG 2001	Put - Optionen 2001 auf NASDAQ 100 Index
DE0007303182	1177772	19.09.01	NASDAQ 100 Index/Citibank AG 2001	Call - Optionen 2001 auf NASDAQ 100 Index
DE0007303208	1177774	19.12.01	NASDAQ 100 Index/Citibank AG 2001	Call - Optionen 2001 auf NASDAQ 100 Index
DE0007303224	1177778	19.12.01	NASDAQ 100 Index/Citibank AG 2001	Call - Optionen 2001 auf NASDAQ 100 Index
DE0007303216	1177776	19.12.01	NASDAQ 100 Index/Citibank AG 2001	Put - Optionen 2001 auf NASDAQ 100 Index
DE0007303190	1177773	19.12.01	NASDAQ 100 Index/Citibank AG 2001	Put - Optionen 2001 auf NASDAQ 100 Index
DE0007303232	1177779	19.12.01	NASDAQ 100 Index/Citibank AG 2001	Put - Optionen 2001 auf NASDAQ 100 Index
DE0007303240	1177780	19.12.01	NASDAQ 100 Index/Citibank AG 2001	Call - Optionen 2001 auf NASDAQ 100 Index
DE0007303257	1177782	19.12.01	NASDAQ 100 Index/Citibank AG 2001	Call - Optionen 2001 auf NASDAQ 100 Index
DE0007303539	1181447	16.01.02	Ariba Inc./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Ariba Inc.
DE0007303521	1181446	16.01.02	Ariba Inc./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Ariba Inc.
DE0007303513	1181445	19.02.02	Abbott Laboratories/Citibank AG 01-02	Call - Optionen 2000 - 2002 auf Abbott Laboratories
DE0007303612	1181461	18.09.01	IBM Corp./Citibank AG 2001	Call - Optionen 2001 auf IBM Corp.
DE0007303653	1181467	23.01.02	Motorola Inc./Citibank AG 01-02	Call - Optionen 2001- 2002 auf Motorola Inc.
DE0007303604	1181460	19.02.02	Hewlett Packard/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Hewlett Packard Co.
DE0007303646	1181466	23.01.02	Motorola Inc./Citibank AG 01-02	Call - Optionen 2001- 2002 auf Motorola Inc.
DE0007303638	1181464	23.01.02	Motorola Inc./Citibank AG 01-02	Call - Optionen 2001- 2002 auf Motorola Inc.
DE0007303620	1181462	16.01.02	Immunex Corp./Citibank AG 01-02	Call - Optionen 2001- 2002 auf Immunex Corp.
DE0007303596	1181459	19.02.02	Hewlett Packard/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Hewlett Packard Co.
DE0007303695	1181471	16.01.02	Novell/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Novell
DE0007303570	1181453	22.01.02	Biogen/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Biogen
DE0007303687	1181470	16.01.02	Novell/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Novell

DE0007303562	1181452	22.01.02	Biogen/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Biogen
DE0007303752	1181477	23.04.02	Sun Microsystems/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Sun Microsystems
DE0007303760	1181478	22.01.02	Worldcom/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Worldcom
DE0007303778	1181479	22.01.02	Worldcom/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Worldcom
DE0007303703	1181472	18.09.01	Peoplesoft/Citibank AG 2001	Call - Optionen 2001 auf Peoplesoft
DE0007303745	1181476	23.04.02	Sun Microsystems/Citibank AG 01-02	Call - Optionen 2001- 2002 auf Sun Microsystems
DE0007303737	1181475	16.01.02	Rambus Inc./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Rambus Inc.
DE0007303729	1181474	18.12.01	Philip Morris/Citibank AG 2001	Call - Optionen 2001auf Philip Morris
DE0007303711	1181473	18.09.01	Pfizer/Citibank AG 2001	Call - Optionen 2001 auf Pfizer
CH0011834709	1183470	28.01.02	Advanced Micro Devices/CSFB 01-02	TORO - Opt. 2001 - 2002 auf Advanced Micro Devices
CH0011840946	1184094	21.06.02	Worldcom Inc./ZŸrcher Kantonalbank 01-02	Call - Optionen 2001 - 2002 auf Worldcom Inc.
CH0011849301	1184930	20.12.02	Synthes-Stratec N/Bank Sarasin & Cie. 01-02	Call - Optionen 2001 - 2002 auf Synthes-Stratec Namen
CH0011849293	1184929	21.12.01	Synthes-Stratec N/Bank Sarasin & Cie. 2001	Call - Optionen 2001 auf Synthes-Stratec Namen
CH0011834162	1183416	19.07.02	Fallen Angels Too-Basket/Bank Vontobel AG 01-02	VONCERT - Opt. 01 - 02 auf Fallen Angels Too-Basket
CH0011823546	1182354	28.03.03	REVEXUS-IBM/CSFB London Branch 01-03	REVEXUS 2001 - 2003 auf IBM
CH0011819163	1181916	17.12.01	Software HOLDRS/Merrill Lynch Cap. 2001	COSO - Optionen 2001 auf Software HOLDRS
CH0011819171	1181917	17.12.01	Telecom HOLDRS/Merrill Lynch Cap. 2001	COSO - Optionen 2001 auf Telecom HOLDRS
CH0011819056	1181905	17.12.01	Biotech HOLDRS/Merrill Lynch Cap. 2001	COSO - Optionen 2001 auf Biotech HOLDRS
CH0011819064	1181906	17.12.01	Broadband HOLDRS/Merrill Lynch Cap. 2001	COSO - Optionen 2001 auf Broadband HOLDRS
CH0011796973	1179697	21.12.01	Ariba Inc./ZŸrcher Kantonalbank 2001	Call - Optionen 2001 auf Ariba Inc.
CH0011819189	1181918	17.12.01	Utilities HOLDRS/Merrill Lynch Cap. 2001	COSO - Optionen 2001 auf Utilities HOLDRS Trust
CH0011819197	1181919	17.12.01	Wireless HOLDRS/Merrill Lynch Cap. 2001	COSO - Optionen 2001 auf Wireless HOLDRS
CH0011819205	1181920	17.12.01	Nasdaq 100 Trust/Merrill Lynch Cap. 2001	COSO - Optionen 2001 auf Nasdaq 100 Trust
CH0011819213	1181921	17.12.01	S&P500 Depository Receipts/Merrill Lynch Cap. 2001	COSO - Optionen 2001 auf S&P500 Depository Receipts
CH0011819221	1181922	17.12.01	Diamonds Trust/Merrill Lynch Cap. 2001	COSO - Optionen 2001 auf Diamonds Trust
CH0011819098	1181909	17.12.01	Internet HOLDRS/Merrill Lynch Cap. 2001	COSO - Optionen 2001 auf Internet HOLDRS
CH0011819114	1181911	17.12.01	Internet Infrastructure HOLDRS/Merrill Lynch Cap. 2001	COSO - Opt. 2001 auf Internet Infrastructure HOLDRS
CH0011819106	1181910	17.12.01	Internet Architecture HOLDRS/Merrill Lynch Cap. 2001	COSO - Optionen 2001 auf Internet Architecture HOLDRS
CH0011819122	1181912	17.12.01	Market 2000+ HOLDRS/Merrill Lynch Cap. 2001	COSO - Optionen 2001 auf Market 2000+ HOLDRS
CH0011819130	1181913	17.12.01	Pharmaceutical HOLDRS/Merrill Lynch Cap. 2001	COSO - Optionen 2001 auf Pharmaceutical HOLDRS
CH0011819148	1181914	17.12.01	Regional Bank HOLDRS Trust/Merrill Lynch Cap. 2001	COSO - Optionen 2001 auf Regional Bank HOLDRS Trust
CH0011819072	1181907	17.12.01	B2B Internet HOLDRS/Merrill Lynch Cap. 2001	COSO - Optionen 2001 auf B2B Internet HOLDRS
CH0011819155	1181915	17.12.01	Semiconductor HOLDRS/Merrill Lynch Cap. 2001	COSO - Optionen 2001 auf Semiconductor HOLDRS
CH0011819247	1181924	17.12.01	DJ EU STOXX 50 LDRS/Merrill Lynch Cap. 2001	COSO - Optionen 2001 auf DJ EU STOXX 50 LDRS
CH0011843478	1184347	21.12.01	Microsoft/CSFB 2001	Call - Optionen 2001 auf Microsoft
CH0011843452	1184345	21.12.01	Intel Corporation/CSFB 2001	Call - Optionen 2001 auf Intel Corporation
CH0011850622	1185062	24.01.03	NASDAQ 100 Index Tracker/ZŸrcher Kantonalbank 01-03	INDEX TRACKER Certificates 01-03 auf NASDAQ 100 Index
CH0011879993	1187999	26.01.04	Leu US Tech Basket/Bank Leu 01-04	Leu US Tech Basket Certificates 2001 - 2004
DE0007305260	1185743	14.01.02	S & P 500 Index/Citibank AG 01-02	CITITRACKER - Certificates 01 - 02 auf S&P 500 Index
DE0007305278	1185744	14.01.02	Dow Jones-Index/Citibank AG 01-02	CITITRACKER - Certificates 01-02 auf Dow Jones-Index
GB0070365472	1187106	05.06.02	Ariba Inc./Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Ariba Inc.

GB0070365258	1187105	16.10.01	Ariba Inc./Goldman Sachs 2001	Call - Optionen 2001 auf Ariba Inc.
GB0070362800	1187111	05.12.01	Palm Inc./Goldman Sachs 2001	Call - Optionen 2001 auf Palm Inc.
GB0070364178	1187108	05.06.02	Caterpillar Inc./Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Caterpillar Inc.
GB0070363097	1187107	05.12.01	Caterpillar Inc./Goldman Sachs 2001	Call - Optionen 2001 auf Caterpillar Inc.
GB0070364400	1187112	05.06.02	Palm Inc./Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Palm Inc.
GB0070362461	1187109	05.12.01	Micron Technology/Goldman Sachs 2001	Call - Optionen 2001 auf Micron Technology
GB0070362792	1187110	05.06.02	Micron Technology/Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Micron Technology
GB0070364731	1187113	05.12.01	Protein Design Labs Inc./Goldman Sachs 2001	Call - Optionen 2001 auf Protein Design Labs Inc.
GB0070364954	1187114	05.06.02	Protein Design Labs Inc./Goldman Sachs 01-02	Call - Opt. 2001 - 2002 auf Protein Design Labs Inc.
CH0011890628	1189062	21.12.01	Gold Aktien-Basket/Merrill Lynch Cap. 2001	Call - Optionen 2001 auf Gold Aktien-Basket
CH0011887442	1188744	18.01.02	Compaq/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Compaq
CH0011887459	1188745	18.06.03	Compaq/Bank Vontobel AG 01-03	Call - Optionen 2001 - 2003 auf Compaq
CH0011887418	1188741	18.01.02	American Express Company/Bank Vontobel AG 01-02	Call - Opt. 2001 - 2002 auf American Express Company
CH0011887434	1188743	18.01.02	Phillip Morris Co./Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Phillip Morris Co.
CH0011803399	1180339	01.06.01	US Pharma Basket/CSFB 01-02	US Pharma Basket Certificates 2001 - 2002
CH0011903652	1190365	16.08.02	S & P 500 Index/Bank Vontobel AG 01-02	VONCERT - Certificates 01 - 02 auf S & P 500 Index
CH0011903637	1190363	16.08.02	NASDAQ 100 Index/Bank Vontobel AG 01-02	VONCERT - Optionen 2001-2002 auf NASDAQ 100 Index
CH0011917322	1191732	18.01.02	Computer Associates Int./ZŸrcher Kantonalbank 01-02	Call - Opt. 2001 - 2002 auf Computer Associates Int.
GB0070420830	1189364	05.06.02	Human Genome Sciences/Goldman Sachs 01-02	Call - Optionen 01-02 auf Human Genome Sciences Inc.
GB0070420491	1189360	05.12.01	Medarex Inc./Goldman Sachs 2001	Call - Optionen 2001 auf Medarex Inc.
GB0070420509	1189361	05.06.02	Medarex Inc./Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Medarex Inc.
GB0070427371	1189965	12.11.01	Jomed NV I/Goldman Sachs 2001	Call - Optionen 2001 auf Jomed NV Inh.
GB0070427595	1189966	31.01.02	Jomed NV I/Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Jomed NV Inh.
GB0070420723	1189363	05.12.01	Human Genome Sciences/Goldman Sachs 2001	Call - Optionen 2001 auf Human Genome Sciences Inc.
CH0011925713	1192571	08.06.01	Cisco Systems/Merrill Lynch Cap. 01-02	Call - Optionen 2001 - 2002 auf Cisco Systems
CH0011925697	1192569	21.09.01	Cisco Systems/Merrill Lynch Cap. 2001	Call - Optionen 2001 auf Cisco Systems
GB0070465793	1191990	15.03.02	Ariba Inc./J.P. Morgan Int. Derivatives 01-02	Call - Optionen 2001 - 2002 auf Ariba Inc.
CH0011935308	1193530	21.12.01	JDS Uniphase/Bank Vontobel AG 2001	Call - Optionen 2001 auf JDS Uniphase
CH0011935324	1193532	18.06.03	JDS Uniphase/Bank Vontobel AG 01-03	Call - Optionen 2001-2003 auf JDS Uniphase
CH0011935290	1193529	22.03.02	Cisco Systems/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Cisco Systems
GB0070466213	1192129	15.03.02	Intel Corporation/J.P. Morgan Int. Derivatives 01-02	Call - Optionen 2001 - 2002 auf Intel Corporation
GB0070466767	1192491	19.03.02	NASDAQ 100 Index/J.P.Morgan Int. Derivatives 01-04	Morgan Bear-Certificates auf NASDAQ 100 Index 01-04
GB0070467393	1192100	19.03.04	NASDAQ 100 Index/J.P.Morgan Int. Derivatives 01-04	Morgan Bull-Certificates auf NASDAQ 100 Index 01-04
CH0011802227	1180222	01.06.01	Venture Capital Basket II/CSFB 01-02	Venture Capital Basket II Certificates 2001 - 2002
CH0012052392	1205239	19.06.02	NASDAQ 100 Index/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf NASDAQ 100 Index
CH0011994693	1199469	18.01.02	Commerce One/ZŸrcher Kantonalbank 01-02	Call - Optionen 2001 - 2002 auf Commerce One
CH0011994644	1199464	18.01.02	Microsoft/ZŸrcher Kantonalbank 01-02	Call - Optionen 2001 - 2002 auf Microsoft
CH0011994784	1199478	18.01.02	Lucent/ZŸrcher Kantonalbank 01-02	Call - Optionen 2001 - 2002 auf Lucent
CH0011994743	1199474	18.01.02	Yahoo Inc./ZŸrcher Kantonalbank 01-02	Call - Optionen 2001 - 2002 auf Yahoo Inc.
CH0012006836	1200683	19.09.01	NASDAQ 100 Index/Bank Vontobel AG 2001	Put - Optionen 2001 auf NASDAQ 100 Index
CH0012006828	1200682	19.09.01	NASDAQ 100 Index/Bank Vontobel AG 2001	Call - Optionen 2001 auf NASDAQ 100 Index

CH0012007966	1200796	15.03.02	Intel Corporation/Merrill Lynch Cap. 01-02	Call - Optionen 2001 - 2002 auf Intel Corporation
CH0012007990	1200799	15.03.02	General Motors Corp./Merrill Lynch Cap. 01-02	Call - Optionen 2001 - 2002 auf General Motors Corp.
CH0012008022	1200802	15.03.02	EMC Corporation/Merrill Lynch Cap. 01-02	Call - Optionen 2001 - 2002 auf EMC Corp.
CH0012008006	1200800	15.03.02	Philip Morris/Merrill Lynch Cap. 01-02	Call - Optionen 2001 - 2002 auf Philip Morris
CH0012007925	1200792	15.03.02	Ariba Inc./Merrill Lynch Cap. 01-02	Call - Optionen 2001-2002 auf Ariba Inc.
CH0012008030	1200803	15.03.02	JDS Uniphase/Merrill Lynch Cap. 01-02	Call - Optionen 2001-2002 auf JDS Uniphase
CH0012009053	1200905	21.12.01	NASDAQ 100 Index/Merrill Lynch Cap. 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012008089	1200808	15.03.02	Coca-Cola Company/Merrill Lynch Cap. 01-02	Call - Optionen 2001 - 2002 auf Coca-Cola Company
CH0012009046	1200904	21.09.01	NASDAQ 100 Index/Merrill Lynch Cap. 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012009038	1200903	21.12.01	NASDAQ 100 Index/Merrill Lynch Cap. 2001	Put - Optionen 2001 auf NASDAQ 100 Index
CH0012018161	1201816	21.09.01	NASDAQ 100 Index/ZŸrcher Kantonalbank 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012018179	1201817	21.09.01	NASDAQ 100 Index/ZŸrcher Kantonalbank 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012018187	1201818	21.09.01	NASDAQ 100 Index/ZŸrcher Kantonalbank 2001	Put- Optionen 2001 auf NASDAQ 100 Index
CH0012018195	1201819	21.09.01	NASDAQ 100 Index/ZŸrcher Kantonalbank 2001	Put - Optionen 2001 auf NASDAQ 100 Index
CH0012027790	1202779	20.09.02	Synthes-Stratec N/Bank Sarasin & Cie. 01-02	Call - Optionen 2001 - 2002 auf Synthes-Stratec Namen
CH0012009186	1200918	26.02.03	US Utilities Basket/CSFB 01-03	US Utilities Basket Certificates 2001 - 2003
CH0012006851	1200685	20.09.01	NASDAQ 100 Index/CSFB 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012006885	1200688	20.09.01	NASDAQ 100 Index/CSFB 2001	Knock-Out - Optionen 2001 auf NASDAQ 100 Index
CH0012031040	1203104	15.02.02	EMC Corp./Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf EMC Corp.
CH0012031032	1203103	15.02.02	General Electric/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf General Electric
CH0012031065	1203106	15.02.02	Citigroup Inc./Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Citigroup Inc.
CH0012031024	1203102	15.02.02	Boeing/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Boeing
CH0012031008	1203100	15.02.02	General Motors Corp./Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf General Motors Corp.
CH0012034002	1203400	15.02.02	Johnson & Johnson/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Johnson & Johnson
CH0012031057	1203105	15.02.02	Hewlett Packard/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Hewlett Packard Co.
CH0012034028	1203402	15.02.02	Merck & Co./Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Merck & Co.
CH0012033996	1203399	15.02.02	JDS Uniphase/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf JDS Uniphase
CH0012034010	1203401	15.02.02	Lucent/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Lucent
CH0012034051	1203405	15.02.02	McDonald's Corp./Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf McDonald's Corp.
DE0007335564	1202489	23.04.02	Amgen/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Amgen
DE0007335572	1202490	23.04.02	Amgen/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Amgen
DE0007335663	1202499	20.03.02	IBM Corp./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf IBM Corp.
DE0007335614	1202494	01.06.01	Chiron/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Chiron
DE0007335580	1202491	16.01.02	Ariba Inc./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Ariba Inc.
DE0007335606	1202493	24.07.02	Chiron/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Chiron
DE0007335622	1202495	16.01.02	Cisco Systems/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Cisco Systems
DE0007335630	1202496	16.01.02	Cisco Systems/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Cisco Systems
DE0007335648	1202497	01.06.01	Commerce One/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Commerce One
DE0007335655	1202498	01.06.01	Commerce One/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Commerce One
DE0007335598	1202492	16.01.02	Ariba Inc./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Ariba Inc.
DE0007335689	1202501	16.01.02	JDS Uniphase/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf JDS Uniphase

DE0007335671	1202500	16.01.02	JDS Uniphase/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf JDS Uniphase
CH0012034044	1203404	15.02.02	Motorola Inc./Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Motorola Inc.
CH0012034077	1203407	15.02.02	Sun Microsystems/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Sun Microsystems
CH0012034085	1203408	15.02.02	Yahoo Inc./Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Yahoo Inc.
CH0012034069	1203406	15.02.02	Eli Lilly/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Eli Lilly
GB0070656938	1202653	26.09.01	Lucent/Goldman Sachs 2001	Call - Optionen 2001 auf Lucent
GB0070657340	1202654	27.03.02	Lucent/Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Lucent
GB0070658868	1202663	03.04.02	JDS Uniphase/Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf JDS Uniphase
GB0070659270	1202665	05.06.02	EMC Corp./Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf EMC Corp.
GB0070659163	1202664	09.01.02	EMC Corp./Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf EMC Corp.
GB0070657670	1202655	05.12.01	Cisco Systems/Goldman Sachs 2001	Call - Optionen 2001 auf Cisco Systems
GB0070657787	1202656	26.09.01	Yahoo Inc./Goldman Sachs 2001	Call - Optionen 2001 auf Yahoo Inc.
GB0070658082	1202657	27.03.02	Yahoo Inc./Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Yahoo Inc.
CH0012044647	1204464	15.03.02	Synthes-Stratec N/Merrill Lynch Cap. 01-02	Call - Optionen 2001 - 2002 auf Synthes-Stratec Na.
CH0012052376	1205237	19.12.01	NASDAQ 100 Index/Bank Vontobel AG 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012055692	1205569	19.09.01	AMEX Biotech Index/Bank Vontobel AG 2001	Call - Optionen 2001 auf AMEX Biotech Index
CH0012055742	1205574	19.09.01	AMEX Biotech Index/Bank Vontobel AG 2001	Put - Optionen 2001 auf AMEX Biotech Index
CH0012072085	1207208	21.06.02	Starbucks Corp./ZŸrcher Kantonalbank 01-02	Call - Optionen 2001 - 2002 auf Starbucks Corp.
CH0012069669	1206966	21.06.02	Yahoo Inc./ZŸrcher Kantonalbank 01-02	Call - Optionen 2001 - 2002 auf Yahoo Inc.
CH0012076318	1207631	20.12.01	NASDAQ 100 Index/CSFB 2001	Call - Optionen 2001 auf NASDAQ 100 Index
GB0070679906	1204624	28.12.01	NASDAQ 100 Index/Goldman Sachs 2001	Call - Optionen 2001 auf NASDAQ 100 Index
GB0070680235	1204627	28.12.01	NASDAQ 100 Index/Goldman Sachs 2001	Put - Optionen 2001 auf NASDAQ 100 Index
GB0070680128	1204626	28.12.01	NASDAQ 100 Index/Goldman Sachs 2001	Put - Optionen 2001 auf NASDAQ 100 Index
GB0070680011	1204625	28.12.01	NASDAQ 100 Index/Goldman Sachs 2001	Put - Optionen 2001 auf NASDAQ 100 Index
GB0070679781	1204622	28.12.01	NASDAQ 100 Index/Goldman Sachs 2001	Call - Optionen 2001 auf NASDAQ 100 Index
GB0070679898	1204623	28.12.01	NASDAQ 100 Index/Goldman Sachs 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012093008	1209300	19.09.01	NASDAQ 100 Index/Bank Vontobel AG 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012093024	1209302	19.12.01	NASDAQ 100 Index/Bank Vontobel AG 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012093032	1209303	19.12.01	NASDAQ 100 Index/Bank Vontobel AG 2001	Put - Optionen 2001 auf NASDAQ 100 Index
CH0012093016	1209301	19.09.01	NASDAQ 100 Index/Bank Vontobel AG 2001	Put - Optionen 2001 auf NASDAQ 100 Index
CH0012111081	1211108	17.10.01	NASDAQ 100 Index/Bank Vontobel AG 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012111115	1211111	20.03.02	NASDAQ 100 Index/Bank Vontobel AG 01-02	Call - Optionen 2001- 2002 auf NASDAQ 100 Index
CH0012111107	1211110	17.10.01	NASDAQ 100 Index/Bank Vontobel AG 2001	Put - Optionen 2001 auf NASDAQ 100 Index
CH0012125578	1212557	15.03.02	Rambus Inc./ZŸrcher Kantonalbank 01-02	Call - Optionen 2001 - 2002 auf Rambus Inc.
CH0012124761	1212476	22.03.02	Cisco Systems/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Cisco Systems
GB0070775910	1211984	16.10.01	Ariba Inc./Goldman Sachs 2001	Call - Optionen 2001 auf Ariba Inc.
GB0070776090	1211985	16.10.01	Ariba Inc./Goldman Sachs 2001	Call - Optionen 2001 auf Ariba Inc.
GB0070776769	1211986	09.01.02	Compaq/Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Compaq
GB0070776876	1211987	09.01.02	Compaq/Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Compaq
GB0070777841	1211992	05.12.01	Qualcomm Inc./Goldman Sachs 2001	Call - Optionen 2001 auf Qualcomm Inc.
GB0070778039	1211993	06.12.01	Sun Microsystems/Goldman Sachs 2001	Call - Optionen 2001 auf Sun Microsystems

GB0070777171	1211991	09.01.02	EMC Corp./Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf EMC Corp.
GB0070776983	1211990	05.12.01	Ebay Inc./Goldman Sachs 2001	Call - Optionen 2001 auf Ebay Inc.
GB0070778146	1211994	05.12.01	Sun Microsystems/Goldman Sachs 2001	Call - Optionen 2001 auf Sun Microsystems
GB0070776322	1211989	26.09.01	Commerce One/Goldman Sachs 2001	Call - Optionen 2001 auf Commerce One
GB0070776108	1211988	05.12.01	Cisco Systems/Goldman Sachs 2001	Call - Optionen 2001 auf Cisco Systems
GB0070778369	1211995	09.01.02	Worldcom Inc./Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Worlcom Inc.
GB0070777288	1211996	05.12.01	Motorola Inc./Goldman Sachs 2001	Call - Optionen 2001 auf Motorola Inc.
GB0070777510	1211997	06.12.01	Philip Morris/Goldman Sachs 2001	Call - Optionen 2001 auf Philip Morris
GB0070777734	1211998	27.03.02	Philip Morris/Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Philip Morris
CH0012127467	1212746	15.03.02	Cisco Systems/ZŸrcher Kantonalbank 01-02	Call - Optionen 2001 - 2002 auf Cisco Systems
GB0070777957	1211999	27.03.02	Starbucks Corp./Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Starbucks Corp.
GB0070778476	1212000	05.12.01	Wal-Mart Stores/Goldman Sachs 2001	Call - Optionen 2001 auf Wal-Mart Stores
GB0070778252	1212001	27.03.02	United Technologies Corp./Goldman Sachs 01-02	Call-Opt. 2001 - 2002 auf United Technologies Corp.
DE0007336703	1211967	19.09.01	NASDAQ 100 Index/Citibank AG 2001	Put - Optionen 2001 auf NASDAQ 100 Index
DE0007336778	1211976	08.06.01	NASDAQ 100 Index/Citibank AG 2001	Put - Optionen 2001 auf NASDAQ 100 Index
DE0007336745	1211972	08.06.01	NASDAQ 100 Index/Citibank AG 2001	Put - Optionen 2001 auf NASDAQ 100 Index
DE0007336711	1211969	19.09.01	NASDAQ 100 Index/Citibank AG 2001	Call - Optionen 2001 auf NASDAQ 100 Index
DE0007336729	1211970	19.09.01	NASDAQ 100 Index/Citibank AG 2001	Call - Optionen 2001 auf NASDAQ 100 Index
DE0007336737	1211971	08.06.01	NASDAQ 100 Index/Citibank AG 2001	Call - Optionen 2001 auf NASDAQ 100 Index
DE0007336752	1211973	08.06.01	NASDAQ 100 Index/Citibank AG 2001	Call - Optionen 2001 auf NASDAQ 100 Index
DE0007336760	1211974	08.06.01	NASDAQ 100 Index/Citibank AG 2001	Call - Optionen 2001 auf NASDAQ 100 Index
DE0007336786	1211977	08.06.01	NASDAQ 100 Index/Citibank AG 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012151293	1215129	21.09.01	NASDAQ 100 Index/Merrill Lynch Cap. 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012151301	1215130	21.12.01	NASDAQ 100 Index/Merrill Lynch Cap. 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012158280	1215828	21.12.01	Oracle/Merrill Lynch Cap. 2001	Call - Optionen 2001 auf Oracle
CH0012164981	1216498	21.12.01	NASDAQ 100 Index/ZŸrcher Kantonalbank 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012158298	1215829	20.12.01	Cisco Systems/Merrill Lynch Cap. 2001	Call - Optionen 2001 auf Cisco Systems
CH0012158272	1215827	21.12.01	Sun Microsystems/Merrill Lynch Cap. 2001	Call - Optionen 2001 auf Sun Microsystems
CH0012164999	1216499	21.12.01	NASDAQ 100 Index/ZŸrcher Kantonalbank 2001	Call - Optionen 2001 auf NASDAQ 100 Index
ANN8122Z7319	1216985	15.03.02	Amazon Com./SGA 01-02	Call - Optionen 2001 - 2002 auf Amazon Com.
CH0012180110	1218011	21.12.01	NASDAQ 100 Index/Merrill Lynch Cap. 2001	Call - Optionen 2001 auf NASDAQ 100 Index
ANN8123A2300	1216983	15.03.02	Amazon Com./SGA 01-02	Call - Optionen 2001 - 2002 auf Amazon Com.
ANN8122Z8143	1216949	15.03.02	Amgen/SGA 01-02	Call - Optionen 2001 - 2002 auf Amgen
ANN8123A2482	1216950	15.03.02	Amgen/SGA 01-02	Call - Optionen 2001 - 2002 auf Amgen
ANN8122Z7566	1216955	15.03.02	Biogen/SGA 01-02	Call - Optionen 2001 - 2002 auf Biogen
ANN8122Z7640	1216956	15.03.02	Biogen/SGA 01-02	Call - Optionen 2001 - 2002 auf Biogen
ANN8123A1237	1216960	15.03.02	Cisco Systems/SGA 01-02	Call - Optionen 2001 - 2002 auf Cisco Systems
ANN8123A2227	1216962	15.03.02	Cisco Systems/SGA 01-02	Call - Optionen 2001 - 2002 auf Cisco Systems
ANN8123A1492	1216965	15.03.02	Juniper Networks/SGA 01-02	Call - Optionen 2001 - 2002 auf Juniper Networks
ANN8123A2144	1216966	15.03.02	Juniper Networks/SGA 01-02	Call - Optionen 2001 - 2002 auf Juniper Networks
ANN8122Z7079	1216967	15.03.02	Lucent Technologies/SGA 01-02	Call - Optionen 2001 - 2002 auf Lucent Technologies

U.S. registered stocks and derivatives based on U.S. registered stocks traded in Switzerland

ANN8123A1070	1216968	15.03.02	Lucent Technologies/SGA 01-02	Call - Optionen 2001 - 2002 auf Lucent Technologies
ANN8123A2557	1216979	15.03.02	Worldcom Inc./SGA 01-02	Call - Optionen 2001 - 2002 Worldcom Inc.
ANN8122Z7152	1216981	15.03.02	Worldcom Inc./SGA 01-02	Call - Optionen 2001 - 2002 Worldcom Inc.
ANN8123A2060	1216946	15.03.02	Yahoo Inc./SGA 01-02	Call - Optionen 2001 - 2002 auf Yahoo Inc.
ANN8122Z8226	1216948	15.03.02	Yahoo Inc./SGA 01-02	Call - Optionen 2001 - 2002 auf Yahoo Inc.
ANN8123A1153	1216975	15.03.02	Verisign/SGA 01-02	Call - Optionen 2001 - 2002 auf Verisign
ANN8122Z7491	1216977	15.03.02	Verisign/SGA 01-02	Call - Optionen 2001 - 2002 auf Verisign
CH0012094931	1209493	26.03.04	S&P 500 Index/Bank Vontobel Cayman 2004	Vontobel Units auf den S&P 500 Index 2004
CH0012093503	1209350	26.03.04	DJ EURO STOXX 50 Index/Bank Vontobel Cayman 2004	Vontobel Units auf den DJ EURO STOXX 50 Index 2004
CH0012191778	1219177	21.12.01	NASDAQ 100 Index/Merrill Lynch Cap. 2001	Put - Optionen 2001 auf NASDAQ 100 Index
CH0012198393	1219839	20.12.01	NASDAQ 100 Index/CSFB 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012198401	1219840	20.12.01	NASDAQ 100 Index/CSFB 2001	Put - Optionen 2001 auf NASDAQ 100 Index
GB0070830483	1214062	21.03.03	EUR DJ Euro Stoxx Telecom. Index/Goldman Sachs 01-(	EUR DJ Euro Stoxx Telecom. Index Cert. 2001 - 2003
GB0070830715	1214058	21.03.03	EUR DJ Euro Stoxx Consumer Cycl. Index/Goldman Sacl	EUR DJ Euro Stoxx Consumer Cycl. Index Cert. 01 - 03
GB0070830608	1214059	21.03.03	EUR DJ Euro Stoxx Healthcare Index/Goldman Sachs 01	EUR DJ Euro Stoxx Healthcare Index Cert. 01 - 03
CH0012181985	1218198	20.12.01	NASDAQ 100 Index/CSFB 2001	Put - Optionen 2001 auf NASDAQ 100 Index
CH0012181969	1218196	20.12.01	NASDAQ 100 Index/CSFB 2001	Call - Optionen 2001 auf NASDAQ 100 Index
GB0070865190	1214590	26.11.01	AOL Time Warner Inc./Goldman Sachs 2001	YOS-Warrants 2001 auf AOLTime Warner Inc
GB0070863930	1214599	26.11.01	Sun Microsystems/Goldman Sachs 2001	YOS-Warrants 2001 auf Sun Microsystems
GB0070864342	1214598	17.12.01	QQQ NASDAQ-100/Goldman Sachs 2001	YOS-Warrants 2001 auf QQQ NASDAQ-100
GB0070864458	1214597	26.11.01	QQQ NASDAQ-100/Goldman Sachs 2001	YOS-Warrants 2001 auf QQQ NASDAQ-100
GB0070864565	1214596	26.11.01	McDonald's Corp./Goldman Sachs 2001	YOS-Warrants 2001 auf McDonald's Corp.
GB0070864672	1214595	26.11.01	Johnson & Johnson/Goldman Sachs 2001	YOS-Warrants 2001 auf Johnson & Johnson
CH0012165384	1216538	14.12.01	REVEXUS-NASDAQ 100 Index/CSFB London Branch 20	REVEXUS 2001 auf NASDAQ 100 Index
GB0070864789	1214593	26.11.01	General Electric/Goldman Sachs 2001	YOS-Warrants 2001 auf General Electric
GB0070864896	1214600	26.11.01	Walt Disney Company/Goldman Sachs 2001	YOS-Warrants 2001 auf Walt Disney Company
GB0070864904	1214592	26.11.01	Du Pont/Goldman Sachs 2001	YOS-Warrants 2001 auf Du Pont
GB0070865083	1214591	26.11.01	Cisco Systems/Goldman Sachs 2001	YOS-Warrants 2001 auf Cisco Systems
ANN8122Z1601	1214012	21.01.02	EUR - USD/SGA 01-02	Devisen - Call - Optionen 2001 - 2002 EUR/USD
DE0007338113	1218946	16.01.02	Micron Technology/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Micron Technology
DE0007338121	1218947	16.01.02	Micron Technology/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Micron Technology
DE0007338212	1218957	16.01.02	Yahoo Inc./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Yahoo Inc.
DE0007338220	1218958	16.01.02	Yahoo Inc./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Yahoo Inc.
DE0007337990	1218944	16.01.02	Advanced Micro Devices/Citibank AG 01-02	Call - Optionen 01-02 auf Advanced Micro Devices
DE0007338154	1218950	16.01.02	Oracle/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Oracle
DE0007338105	1218945	16.01.02	Amazon Com./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Amazon Com.
DE0007338162	1218952	20.03.02	Peoplesoft/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Peoplesoft
DE0007338170	1218953	20.03.02	Pfizer/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Pfizer
DE0007338188	1218954	16.01.02	Qualcomm Inc./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Qualcomm Inc.
DE0007338196	1218955	18.12.01	Siebel Systems Inc./Citibank AG 2001	Call - Opt. 2001 auf Siebel Systems Inc.
DE0007338204	1218956	17.07.02	Vertex Pharmaceuticals/Citibank AG 01-02	Call - Optionen 01 - 02 auf Vertex Pharmaceuticals

ANN8122Z5255	1214038	08.02.02	Crude Oil Future March 02/SGA 01-02	Call - Opt. 2001 - 2002 auf Crude Oil Fut. March 02
ANN8122Z5172	1214054	08.02.02	Crude Oil Future March 02/SGA 01-02	Call - Opt. 2001 - 2002 auf Crude Oil Fut. March 02
ANN8122Z3763	1214063	08.02.02	Crude Oil Future March 02/SGA 01-02	Call - Opt. 2001 - 2002 auf Crude Oil Fut. March 02
ANN8122Z3680	1214068	08.02.02	Crude Oil Future March 02/SGA 01-02	Put - Opt. 2001 - 2002 auf Crude Oil Fut. March 02
ANN8122Z5339	1214077	08.02.02	Crude Oil Future March 02/SGA 01-02	Put - Opt. 2001 - 2002 auf Crude Oil Fut. March 02
ANN8122Z5412	1214071	08.02.02	Crude Oil Future March 02/SGA 01-02	Put - Opt. 2001 - 2002 auf Crude Oil Fut. March 02
ANN8123A2714	1217588	15.03.02	NASDAQ 100 Index/SGA 01-02	Call - Optionen 2001 - 2002 auf NASDAQ 100 Index
ANN8123A3050	1217591	15.03.02	NASDAQ 100 Index/SGA 01-02	Call - Optionen 2001 - 2002 auf NASDAQ 100 Index
ANN8123A3217	1217593	15.03.02	NASDAQ 100 Index/SGA 01-02	Call - Optionen 2001 - 2002 auf NASDAQ 100 Index
ANN8123A3134	1217597	15.03.02	NASDAQ 100 Index/SGA 01-02	Call - Optionen 2001 - 2002 auf NASDAQ 100 Index
ANN8123A2631	1217600	15.03.02	NASDAQ 100 Index/SGA 01-02	Put - Optionen 2001 - 2002 auf NASDAQ 100 Index
ANN8123A2979	1217607	15.03.02	NASDAQ 100 Index/SGA 01-02	Put - Optionen 2001 - 2002 auf NASDAQ 100 Index
ANN8123A2896	1217612	15.03.02	NASDAQ 100 Index/SGA 01-02	Put - Optionen 2001 - 2002 auf NASDAQ 100 Index
CH0012198526	1219852	19.12.01	NASDAQ 100 Index/Bank Vontobel AG 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012198500	1219850	19.09.01	NASDAQ 100 Index/Bank Vontobel AG 2001	Put - Optionen 2001 auf NASDAQ 100 Index
CH0012198518	1219851	19.09.01	NASDAQ 100 Index/Bank Vontobel AG 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012198849	1219884	19.09.01	S & P 500 Index/Bank Vontobel AG 2001	Call - Optionen 2001 auf S & P 500 Index
CH0012198815	1219881	19.12.01	S & P 500 Index/Bank Vontobel AG 2001	Call - Optionen 2001 auf S & P 500 Index
CH0012198872	1219887	19.09.01	S & P 500 Index/Bank Vontobel AG 2001	Put - Optionen 2001 auf S & P 500 Index
CH0012198864	1219886	19.12.01	S & P 500 Index/Bank Vontobel AG 2001	Put - Optionen 2001 auf S & P 500 Index
GB0070866834	1217874	21.12.01	S & P 500 Index/Goldman Sachs 2001	Call - Optionen 2001 auf S & P 500 Index
GB0070867139	1217876	21.12.01	S & P 500 Index/Goldman Sachs 2001	Call - Optionen 2001 auf S & P 500 Index
GB0070867246	1217877	21.12.01	S & P 500 Index/Goldman Sachs 2001	Call - Optionen 2001 auf S & P 500 Index
GB0070867576	1217879	21.12.01	S & P 500 Index/Goldman Sachs 2001	Put - Optionen 2001 auf S & P 500 Index
GB0070867683	1217880	21.12.01	S & P 500 Index/Goldman Sachs 2001	Put - Optionen 2001 auf S & P 500 Index
GB0070867790	1217881	21.12.01	S & P 500 Index/Goldman Sachs 2001	Put - Optionen 2001 auf S & P 500 Index
GB0070858062	1216339	27.03.02	GS US Technology Basket/Goldman Sachs 01-02	GS US Technology Basket Certificates 2001 - 2002
GB0070971022	1223224	19.07.02	AOL Time Warner Inc./CrŽdit Lyonnais Fin. Prod. 01-02	Call - Optionen 2001 - 2002 auf AOL Time Warner Inc.
GB0070971808	1223234	19.07.02	Dell Computer/CrŽdit Lyonnais Fin. Prod. 01-02	Call - Optionen 2001 - 2002 auf Dell Computer
GB0070970941	1223223	19.07.02	Dell Computer/CrŽdit Lyonnais Fin. Prod. 01-02	Call - Optionen 2001 - 2002 auf Dell Computer
GB0070970834	1223222	19.07.02	Microsoft/CrŽdit Lyonnais Fin. Prod. 01-02	Call - Optionen 2001 - 2002 auf Microsoft
GB0070970727	1223221	19.07.02	Microsoft/CrŽdit Lyonnais Fin. Prod. 01-02	Call - Optionen 2001 - 2002 auf Microsoft
GB0070995625	1223220	21.12.01	Sun Microsystems/CrŽdit Lyonnais Fin. Prod. 2001	Call - Optionen 2001 auf Sun Microsystems
CH0012260649	1226064	18.01.02	Pfizer/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Pfizer
CH0012260656	1226065	19.06.02	Pfizer/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Pfizer
CH0012230519	1223051	18.12.01	NASDAQ 100 Index/UBS AG London 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012230527	1223052	18.12.01	NASDAQ 100 Index/UBS AG London 2001	Put - Optionen 2001 auf NASDAQ 100 Index
CH0012238702	1223870	19.12.01	AMEX Biotech Index/Bank Vontobel AG 2001	Call - Optionen 2001 auf AMEX Biotech Index
CH0012238710	1223871	19.12.01	AMEX Biotech Index/Bank Vontobel AG 2001	Put - Optionen 2001 auf AMEX Biotech Index
CH0012268063	1226806	21.09.01	Dow Jones Global Titans Index/Bank Vontobel AG 01-02	Put - Opt. 2001 auf Dow Jones Global Titans Index
CH0012268089	1226808	15.03.02	Dow Jones Global Titans Index/Bank Vontobel AG 01-02	Put - Opt. 01-02 auf Dow Jones Global Titans Index

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CH0012268071	1226807	15.03.02	Dow Jones Global Titans Index/Bank Vontobel SA 01-02	Call - Opt. 01-02 auf Dow Jones Global Titans Index
CH0012268048	1226804	21.09.01	Dow Jones Global Titans Index/Bank Vontobel AG 2001	Call - Opt. 2001 auf Dow Jones Global Titans Index
CH0012189640	1218964	27.06.02	Intel Corporation/UBS AG London Branch 01-02	Call - Optionen 2001 - 2002 auf Intel Corporation
CH0012189657	1218965	19.09.03	Intel Corporation/UBS AG London Branch 01-03	Call - Optionen 2001 - 2003 auf Intel Corporation
CH0012189665	1218966	27.06.02	Amazon Com./UBS AG London Branch 01-02	Call - Optionen 2001 - 2002 auf Amazon Com.
CH0012189749	1218974	27.06.02	JDS Uniphase/UBS AG, London Branch 01-02	Call - Optionen 2001 - 2002 auf JDS Uniphase
CH0012189731	1218973	27.06.02	Ebay Inc./UBS AG London Branch 01-02	Call - Optionen 2001-2002 auf Ebay Inc.
CH0012189723	1218972	27.06.02	Commerce One/UBS AG London Branch 01-02	Call - Optionen 2001 - 2002 auf Commerce One
CH0012189699	1218969	27.06.02	Apple Computer/UBS AG London Branch 01-02	Call - Optionen 2001 - 2002 auf Apple Computer
CH0012189681	1218968	27.06.02	AT&T/UBS AG, London Branch 01-02	Call - Optionen 2001 - 2002 auf AT & T
CH0012189764	1218976	27.06.02	Lucent Technologies/UBS AG London Branch 01-02	Call - Optionen 2001 - 2002 auf Lucent Technologies
CH0012189673	1218967	27.06.02	Ariba Inc./UBS AG London Branch 01-02	Call - Optionen 2001-2002 auf Ariba Inc.
CH0012189707	1218970	27.06.02	Cisco Systems/UBS AG London Branch 01-02	Call - Optionen 2001 - 2002 auf Cisco Systems
CH0012280118	1228011	19.12.01	Ciena Corp./Bank Vontobel AG 2001	Call - Optionen 2001 auf Ciena Corp.
CH0012280092	1228009	19.12.01	Siebel Systems Inc./Bank Vontobel AG 2001	Call - Optionen 2001 auf Siebel Systems Inc.
CH0012275290	1227529	17.10.01	Du Pont/Bank Vontobel AG 2001	Call - Optionen 2001 auf Du Pont
CH0012275308	1227530	18.01.02	Du Pont/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Du Pont
CH0012189905	1218990	19.09.03	Cisco Systems/UBS AG London Branch 01-03	Call - Optionen 2001 - 2003 auf Cisco Systems
CH0012189913	1218991	19.09.02	Lucent Technologies/UBS AG London Branch 01-03	Call - Optionen 2001 - 2003 auf Lucent Technologies
CH0012189921	1218992	19.09.03	Sun Microsystems/UBS AG London Branch 01-03	Call - Optionen 2001 - 2003 auf Sun Microsystems
CH0012189939	1218993	19.09.03	Worldcom Inc./UBS AG London Branch 01-03	Call - Optionen 2001 - 2003 auf Worldcom Inc.
CH0012189947	1218994	19.09.03	Yahoo Inc./UBS AG London Branch 01-03	Call - Optionen 2001 - 2003 auf Yahoo Inc.
CH0012189962	1218996	19.09.03	Ariba Inc./UBS AG London Branch 01-03	Call - Optionen 01-03 auf Ariba Inc.
CH0012189806	1218980	27.06.02	Sun Microsystems/UBS AG, London Branch 01-02	Call - Optionen 2001 - 2002 auf Sun Microsystems
CH0012189814	1218981	27.06.02	Worldcom Inc./UBS AG London Branch 01-02	Call - Optionen 2001 - 2002 Worldcom Inc.
CH0012189970	1218997	19.09.03	JDS Uniphase/UBS AG London Branch 01-03	Call - Optionen 2001 - 2003 auf JDS Uniphase
CH0012189798	1218979	27.06.02	Rambus Inc./UBS AG, London Branch 01-02	Call - Optionen 2001 - 2002 auf Rambus Inc.
CH0012189822	1218982	27.06.02	Yahoo Inc./UBS AG London Branch 01-02	Call - Optionen 2001 - 2002 auf Yahoo Inc.
CH0012189830	1218983	27.06.02	Biogen/UBS AG London Branch 01-02	Call - Optionen 2001 - 2002 auf Biogen
CH0012189780	1218978	27.06.02	Oracle Corp./UBS AG, London Branch 01-02	Call - Optionen 2001 - 2002 auf Oracle Corp.
CH0012189855	1218985	19.09.03	IBM/UBS AG, London Branch 01-03	Call - Optionen 2001 - 2003 auf IBM
CH0012189863	1218986	19.09.03	Compaq/UBS AG London Branch 01-03	Call - Optionen 2001 - 2003 auf Compaq
CH0012189871	1218987	19.09.03	Motorola Inc./UBS AG London 01-03	Call - Optionen 2001 - 2003 auf Motorola Inc.
CH0012189889	1218988	19.09.03	Philip Morris/UBS AG London Branch 01-03	Call - Optionen 2001 - 2003 auf Philip Morris
CH0012189897	1218989	19.09.03	AT&T/UBS AG London Branch 01-03	Call - Optionen 2001 - 2003 auf AT & T
CH0012189996	1218999	19.09.03	Oracle Corp./UBS AG, London Branch 01-03	Call - Optionen 2001 - 2003 auf Oracle Corp.
CH0012190002	1219000	19.09.03	Qualcomm Inc./UBS AG London Branch 01-03	Call - Optionen 2001 - 2003 auf Qualcomm Inc.
GB0071053390	1226126	06.06.02	General Electric/Goldman Sachs 01-02	Call - Opt. 2001 - 2002 auf General Electric
GB0071053952	1226118	05.12.01	Altera Corp./Goldman Sachs 2001	Call - Optionen 2001 auf Altera Corp.
GB0071051915	1226132	27.03.02	Millennium Pharmaceuticals Inc./Goldman Sachs 01-02	Call - Opt. 01 - 02 auf Millennium Pharmaceuticals
GB0071051576	1226127	05.12.01	Oracle/Goldman Sachs 2001	Call - Optionen 2001 auf Oracle

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GB0071049505	1226129	05.12.01	Yahoo Inc./Goldman Sachs 2001	Call - Optionen 2001 auf Yahoo Inc.
GB0071050057	1226130	05.12.01	Rambus Inc./Goldman Sachs 2001	Call - Optionen 2001 auf Rambus Inc.
GB0071050495	1226128	05.12.01	Palm Inc./Goldman Sachs 2001	Call - Optionen 2001 auf Palm Inc.
GB0071053408	1226124	27.03.02	Ebay Inc./Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Ebay Inc.
GB0071053846	1226123	27.03.02	Ariba Inc./Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Ariba Inc.
GB0071053069	1226120	03.04.02	JDS Uniphase/Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf JDS Uniphase
GB0071053739	1226122	05.12.01	Cisco Systems/Goldman Sachs 2001	Call - Optionen 2001 auf Cisco Systems
GB0071052764	1226125	27.03.02	Lucent/Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Lucent
CH0012287162	1228716	21.06.02	Worldcom Inc./ZŸrcher Kantonalbank 01-02	Call - Optionen 2001 - 2002 auf Worldcom Inc.
CH0012287154	1228715	21.06.02	Sun Microsystems/ZŸrcher Kantonalbank 01-02	Call - Optionen 2001 - 2002 auf Sun Microsystems
CH0012287147	1228714	21.06.02	Dell Computer/ZŸrcher Kantonalbank 01-02	Call - Optionen 2001 - 2002 auf Dell Computer
CH0012268006	1226800	21.08.02	Dow Jones Global Titans 50 Index/Bank Vontobel AG 01-	VONCERT - Optionen 2001 - 2002 auf Dow Jones Global T
CH0012306103	1230610	15.03.02	Qualcomm Inc./Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Qualcomm Inc.
CH0012268907	1226890	15.03.02	Dow Jones Global Titans 50 Index/Bank Vontobel AG 01-	Voncore - Opt. 01-02 auf DJ Global Titans 50 Index
CH0012306038	1230603	21.06.02	Worldcom Inc./Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Worldcom Inc.
CH0012306046	1230604	15.03.02	Microsoft/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Microsoft
CH0012306087	1230608	15.03.02	Dell Computer/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Dell Computer
DE0007338899	1228996	16.01.02	AOL Time Warner/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf AOL Time Warner
DE0007338907	1228997	16.01.02	AOL Time Warner/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf AOL Time Warner
DE0007338915	1228998	25.06.02	Bristol Myers Squibb Co./Citibank AG 01-02	Call - Opt 2001 - 2002 auf Bristol Myers Squibb Co.
DE0007338923	1228999	24.07.02	Eli Lilly/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Eli Lilly
DE0007338931	1229000	24.07.02	General Electric/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf General Electric
DE0007338949	1229002	24.07.02	General Electric/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf General Electric
DE0007338956	1229003	22.01.02	Gillette Co./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Gillette Co.
DE0007338964	1229004	24.07.02	Merck & Co./Citibank AG 01-02	Call - Optionen 2000 - 2001 auf Merck & Co.
DE0007338972	1229005	19.02.02	National Semiconductor/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf National Semiconducto
DE0007338998	1229007	17.07.02	Oracle/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Oracle
DE0007339145	1229012	24.07.02	Walt Disney Company/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Walt Disney Company
DE0007339111	1229009	24.07.02	SBC Communication Inc./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf SBC Communication Inc
DE0007339129	1229010	24.07.02	Schering-Plough/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Schering-Plough
DE0007339137	1229011	17.07.02	Siebel Systems Inc./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Siebel Systems Inc.
DE0007339103	1229008	24.07.02	Procter & Gamble Co./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Procter & Gamble Co.
CH0012309685	1230968	19.04.02	S&P 500 Index/Bank Vontobel AG 01 - 02	Voncore - Optionen 2001 - 2002 auf S&P 500 Index
CH0012309693	1230969	19.04.02	NASDAQ 100 Index/Bank Vontobel AG 01-02	Voncore - Optionen 2001 - 2002 auf NASDAQ 100 Index
ANN8123D3339	1229884	21.06.02	Compaq/SGA 2001-2002	Call - Optionen 2001 - 2002 auf Compaq
ANN8123D3099	1229889	20.09.02	Intel Corporation/SGA 01-02	Call - Optionen 2001 - 2002 auf Intel Corporation
ANN8123D3172	1229887	21.06.02	Intel Corporation/SGA 01-02	Call - Optionen 2001 - 2002 auf Intel Corporation
ANN8123D2422	1229957	21.06.02	JDS Uniphase/SGA 01-02	Call - Optionen 2001 - 2002 auf JDS Uniphase
ANN8123D6308	1229891	20.09.02	JDS Uniphase/SGA 01-02	Call - Optionen 2001 - 2002 auf JDS Uniphase
ANN8123D6142	1229896	20.09.02	Pfizer/SGA 2001-2002	Call - Optionen 2001 - 2002 auf Pfizer
ANN8123D6225	1229895	21.06.02	Pfizer/SGA 2001-2002	Call - Optionen 2001 - 2002 auf Pfizer

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ANN8123D3255	1229886	20.09.02	Compaq/SGA 01-02	Call - Optionen 2001 - 2002 auf Compaq
CH0012274756	1227475	15.11.02	DJ Global Titans 50 Index/Bank Vontobel AG 01 - 02	Vontobel Units auf DJ Global Titans 50 Index 01 - 02
GB0070904577	1216996	03.04.02	S & P 500 Index/Goldman Sachs 01-02	USD 90 % Principal Prot. Cert. 01-02 auf S&P500 Index
GB0071161607	1233028	28.12.01	NASDAQ 100 Index/Goldman Sachs 2001	Put - Optionen 2001 auf NASDAQ 100 Index
GB0071161599	1233027	28.12.01	NASDAQ 100 Index/Goldman Sachs 2001	Call - Optionen 2001 auf NASDAQ 100 Index
DE0007339566	1234565	25.03.02	S&P 500 Index/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf S&P 500 Index
GB0071162233	1233031	21.06.02	NASDAQ 100 Index/Goldman Sachs 01-02	Put - Optionen 2001 - 2002 auf NASDAQ 100 Index
DE0007339558	1234564	25.03.02	S&P 500 Index/Citibank AG 01-02	Put - Optionen 2001 - 2002 auf S&P 500 Index
GB0071161714	1233029	21.06.02	NASDAQ 100 Index/Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf NASDAQ 100 Index
GB0071161821	1233030	21.06.02	NASDAQ 100 Index/Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf NASDAQ 100 Index
GB0071162456	1233032	21.06.02	NASDAQ 100 Index/Goldman Sachs 01-02	Put - Optionen 2001 - 2002 auf NASDAQ 100 Index
DE0007339574	1234566	25.03.02	S&P 500 Index/Citibank AG 01-02	Put - Optionen 2001 - 2002 auf S&P 500 Index
DE0007339582	1234568	25.03.02	S&P 500 Index/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf S&P 500 Index
DE0007339608	1234571	25.03.02	Dow Jones-Index/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Dow Jones-Index
DE0007339624	1234574	25.03.02	Dow Jones-Index/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Dow Jones-Index
DE0007339590	1234570	25.03.02	Dow Jones-Index/Citibank AG 01-02	Put - Optionen 2001 - 2002 auf Dow Jones-Index
DE0007339665	1234578	13.03.02	NASDAQ 100 Index/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf NASDAQ 100 Index
DE0007339657	1234577	13.03.02	NASDAQ 100 Index/Citibank AG 01-02	Put - Optionen 2001 - 2002 auf NASDAQ 100 Index
DE0007339640	1234878	25.03.02	Dow Jones-Index/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Dow Jones-Index
DE0007339632	1234575	25.03.02	Dow Jones-Index/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Dow Jones-Index
DE0007339673	1234579	13.03.02	NASDAQ 100 Index/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf NASDAQ 100 Index
DE0007339699	1234582	13.03.02	NASDAQ 100 Index/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf NASDAQ 100 Index
DE0007339681	1234580	13.03.02	NASDAQ 100 Index/Citibank AG 01-02	Put - Optionen 2001 - 2002 auf NASDAQ 100 Index
DE0007339616	1234573	25.03.02	Dow Jones-Index/Citibank AG 01-02	Put - Optionen 2001 - 2002 auf Dow Jones-Index
GB0071178627	1233696	02.05.02	Applied Materials Inc./Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Applied Materials Inc
GB0071178734	1233695	27.03.02	Advanced Micro Devices/Goldman Sachs 01-02	Call - Optionen 2001 - 2002 Advanced Micro Devices
GB0071178403	1233698	05.06.02	Biogen /Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Biogen
GB0071178288	1233697	05.06.02	Biogen /Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Biogen
GB0071177769	1233701	05.06.02	Wal-Mart Stores/Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Wal-Mart Stores
GB0071177876	1233699	27.03.02	Immunex Corp./Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Immunex Corp.
CH0012350929	1235092	15.11.02	US Financial Basket/Bank Vontobel AG 01-02	VONCERT - Opt. 2001 - 2002 auf US Financial Basket
CH0012396161	1239616	21.06.02	Advanced Micro Devices/ZŸrcher Kantonalbank 01-02	Call - Optionen 2001 - 2002 Advanced Micro Devices
GB0071233539	1236695	27.03.02	Emulex Corp./Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Emulex Corp.
GB0071233646	1236697	27.03.02	Enron Corp./Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Enron Corp.
GB0071233752	1236698	27.03.02	Electronic Data Systems Corp. Inc./Goldman Sachs 01-0	Call - Optionen 2001-2002 auf Electronic Data System
GB0071233869	1236699	05.06.02	CMGI Inc./Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf CMGI Inc.
GB0071233976	1236700	05.06.02	The Boeing Company/Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf The Boeing Company
GB71234057	1236701	20.12.02	Sun Microsystems/Goldman Sachs 01-02	Call - Optionen 2001 - 2002 auf Sun Microsystems
CH0012400401	1240040	18.01.02	Lucent/ZŸrcher Kantonalbank 01-02	Call - Optionen 2001 - 2002 auf Lucent
CH0012418387	1241838	21.12.01	NASDAQ 100 Index/ZŸrcher Kantonalbank 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012418395	1241839	21.12.01	NASDAQ 100 Index/ZŸrcher Kantonalbank 2001	Call - Optionen 2001 auf NASDAQ 100 Index

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CH0012418700	1241870	19.09.03	Synthes-Stratec N/Bank Sarasin & Cie. 01-03	Call - Optionen 2001 - 2003 auf Synthes-Stratec Namen
CH0012403678	1240367	08.11.01	Crude Oil Future December 01/Bank Vontobel AG 2001	Call - Optionen 2001 auf Crude Oil Fut. Dec 01
CH0012403686	1240368	08.11.01	Crude Oil Future December 01/Bank Vontobel AG 2001	Put - Optionen 2001 auf Crude Oil Fut. Dec 01
CH0012442213	1244221	31.05.02	Advanced Micro Systems/UBS AG 01-02	BLOC - Optionen 2001 - 2002 auf Advanced Micro System
GB0071322076	1244080	31.07.02	IBM/J.P. Morgan Int. Derivat. 01-02	Morgan Call-Warrants 2001 - 2002 auf IBM
GB0071321557	1244047	31.07.02	Dell Computer/J.P. Morgan Int. Derivat. 01-02	Morgan Call-Warrants 2001 - 2002 auf Dell Computer
GB0071320922	1243856	31.07.02	Cisco Systems/J.P. Morgan Int. Derivat. 01-02	Morgan Call-Warrants 2001 - 2002 auf Cisco Systems
GB0071321110	1243881	31.01.03	Cisco Systems/J.P. Morgan Int. Derivat. 01-03	Morgan Call-Warrants 2001 - 2003 auf Cisco Systems
GB0071320815	1244021	31.01.03	AT&T/J.P. Morgan Int. Derivat. 01-03	Morgan Call-Warrants 2001 - 2003 auf AT&T
GB0071320583	1243974	31.07.02	AT&T/J.P. Morgan Int. Derivat. 01-02	Morgan Call-Warrants 2001 - 2002 auf AT&T
CH0012457609	1245760	14.11.01	NASDAQ 100 Index/Bank Vontobel AG 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012457617	1245761	14.11.01	NASDAQ 100 Index/Bank Vontobel AG 2001	Put - Optionen 2001 auf NASDAQ 100 Index
GB0071322852	1244354	21.06.02	NASDAQ 100 Index/J.P. Morgan Int. Derivat. 01-02	Morgan Call-Warrants 2001 - 2002 auf NASDAQ 100 Index
CH0012486913	1248691	21.09.01	NASDAQ 100 Index/Merrill Lynch Cap. 2001	Put - Optionen 2001 auf NASDAQ 100 Index
CH0012486905	1248690	21.12.01	NASDAQ 100 Index/Merrill Lynch Cap. 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012486889	1248688	21.09.01	NASDAQ 100 Index/Merrill Lynch Cap. 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012483969	1248396	27.06.02	IBM/UBS AG, London Branch 01-02	Call - Optionen 2001 - 2002 auf IBM
CH0012483951	1248395	27.06.02	Qualcomm Inc./UBS AG London Branch 01-02	Call - Optionen 2001 - 2002 auf Qualcomm Inc.
CH0012483977	1248397	27.06.02	Compaq/UBS AG London Branch 01-02	Call - Optionen 2001 - 2002 auf Compaq
CH0012484009	1248400	27.06.02	Motorola Inc./UBS AG London Branch 01-02	Call - Optionen 2001 - 2002 auf Motorola Inc.
CH0012483993	1248399	27.06.02	Philip Morris/UBS AG London Branch 01-02	Call - Optionen 2001 - 2002 auf Philip Morris
GB0071323041	1244464	21.06.02	NASDAQ 100 Index/J.P. Morgan Int. Derivat. 01-02	Morgan Put-Warrants 2001 - 2002 auf NASDAQ 100 Index
GB0071322969	1244361	21.06.02	NASDAQ 100 Index/J.P. Morgan Int. Derivat. 01-02	Morgan Put-Warrants 2001 - 2002 auf NASDAQ 100 Index
GB0071322746	1244337	21.06.02	NASDAQ 100 Index/J.P. Morgan Int. Derivat. 01-02	Morgan Call-Warrants 2001 - 2002 auf NASDAQ 100 Index
GB0071322639	1244196	21.06.02	NASDAQ 100 Index/J.P. Morgan Int. Derivat. 01-02	Morgan Call-Warrants 2001 - 2002 auf NASDAQ 100 Index
GB0071322415	1244156	21.06.02	NASDAQ 100 Index/J.P. Morgan Int. Derivat. 01-02	Morgan Call-Warrants 2001 - 2002 auf NASDAQ 100 Index
GB0071325194	1244478	31.01.03	Yahoo Inc./J.P. Morgan Int. Derivat. 01-03	Morgan Call-Warrants 2001 - 2003 auf Yahoo Inc.
GB0071324890	1244475	31.07.02	Yahoo Inc./J.P. Morgan Int. Derivat. 01-02	Morgan Call-Warrants 2001 - 2002 auf Yahoo Inc.
CH0012494669	1249466	20.06.02	American Express Company/Bank Vontobel AG 01-02	Call - Opt. 2001 - 2002 auf American Express Company
CH0012494685	1249468	20.06.02	AT&T/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf AT&T
CH0012494750	1249475	20.06.02	Dell Computer/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Dell Computer
CH0012494727	1249472	20.06.02	Cisco Systems/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Cisco Systems
CH0012494743	1249474	20.06.02	Citigroup Inc./Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Citigroup Inc.
CH0012494693	1249469	20.06.02	Caterpillar Inc./Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Caterpillar Inc.
DE0007343154	1247712	19.02.02	Abbott Laboratories/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Abbott Laboratories
DE0007343162	1247714	16.01.02	Amazon Com./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Amazon Com.
GB0071325319	1244471	31.07.02	Sun Microsystems/J.P. Morgan Int. Derivat. 01-02	Morgan Call-Warrants 2001 - 2002 auf Sun Microsystems
DE0007343170	1247715	17.07.02	AOL Time Warner/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf AOL Time Warner
DE0007343188	1247716	22.01.02	Apple Computer / Citibank AG 01-02	
Apple Computer / C OW		Call - Optionen 2001 - 2002 auf Apple Computer		
DE0007343196	1247717	18.12.01	CMGI Inc./Citibank AG 2001	Call - Optionen 2001 auf CMGI Inc.

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GB0071322308	1244139	31.07.02	Microsoft/J.P. Morgan Int. Derivat. 01-02	Morgan Call-Warrants 2001 - 2002 auf Microsoft
DE0007343204	1247718	17.10.01	EMC Corp./Citibank AG 2001	Call - Optionen 2001 auf EMC Corp.
GB0071323827	1244360	31.07.02	Oracle/J.P. Morgan Int. Derivat. 01-02	Morgan Call-Warrants 2001 - 2002 auf Oracle
DE0007343212	1247742	17.04.02	EMC Corp./Citibank AG 01 - 02	Call - Optionen 2001 - 2002 auf EMC Corp.
DE0007093718	1196832	31.12.99	DJ-Index-X-pert/Deutsche Bank London 01-Open End	X-pert Cert. 01-Open End auf DJ Euro Stoxx Healthcar
DE0007343238	1247721	16.01.02	Qualcomm Inc./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Qualcomm Inc.
DE0007343279	1247725	17.07.02	Vertex Pharmaceuticals/Citibank AG 01-02	Call - Optionen 01 - 02 auf Vertex Pharmaceuticals
DE0007343253	1247724	16.01.02	Texas Instruments / Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Texas Instruments
DE0007343246	1247722	19.12.02	Sun Microsystems/Citibank AG 01-02	Call - Optionen 2001- 2002 auf Sun Microsystems
DE0007343261	1247743	16.01.02	Texas Instruments / Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Texas Instruments
DE0007343287	1247726	17.07.02	Yahoo Inc./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Yahoo Inc.
CH0012488620	1248862	11.06.02	IBM Corp./ZŸrcher Kantonalbank 01-02	CASUAL - Optionen 2001 - 2002 auf IBM Corp.
CH0012488554	1248855	11.06.02	Philip Morris/ZŸrcher Kantonalbank 01-02	CASUAL - Optionen 2001 - 2002 auf Philip Morris
CH0012488646	1248864	11.06.02	Microsoft/ZŸrcher Kantonalbank 01-02	CASUAL - Optionen 2001 - 2002 auf Microsoft
CH0012488604	1248860	11.06.02	Intel Corporation/ZŸrcher Kantonalbank 01-02	CASUAL - Optionen 2001 - 2002 auf Intel Corporation
CH0012488661	1248866	11.06.02	Genentech/ZŸrcher Kantonalbank 01-02	CASUAL - Optionen 2001 - 2002 auf Genentech
CH0012529662	1252966	15.03.02	Kraft Foods/ZŸrcher Kantonalbank 01-02	Call - Optionen 2001 - 2002 auf Kraft Foods Inc.
CH0012525769	1252576	20.06.02	Kraft Foods/Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Kraft Foods Inc.
DE0007343808	1251638	20.08.02	Ariba Inc./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Ariba Inc.
CH0011254197	1254197	21.06.02	Xerox Corp./ZŸrcher Kantonalbank 01-02	Call - Optionen 2001 - 2002 auf Xerox Corp.
DE0007343931	1251652	26.06.02	Intel Corporation/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Intel Corporation
DE0007343923	1251651	26.06.02	Intel Corporation/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Intel Corporation
DE0007343915	1251650	18.12.01	Intel Corporation/Citibank AG 2001	Call - Optionen 2001 auf Intel Corporation
DE0007343857	1251644	23.10.02	EMC Corp./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf EMC Corp.
DE0007343840	1251643	23.10.02	EMC Corp./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf EMC Corp.
DE0007343832	1251642	17.07.02	Commerce One/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Commerce One
DE0007343824	1251641	17.07.02	Commerce One/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Commerce One
DE0007343816	1251639	20.08.02	Ariba Inc./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Ariba Inc.
CH0012526635	1252663	20.06.02	Exxon Mobil Corp./Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf Exxon Mobil Corp.
DE0007343873	1251646	26.06.02	Goldman Sachs/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Goldman Sachs
DE0007343865	1251645	26.06.02	Goldman Sachs/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Goldman Sachs
DE0007343881	1251647	17.07.02	Human Genome Science/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Human Genome Science
DE0007343907	1251649	18.12.01	Intel Corporation/Citibank AG 2001	Call - Optionen 2001 auf Intel Corporation
DE0007343899	1251648	17.07.02	Human Genome Science/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Human Genome Science
DE0007343980	1251657	26.06.02	Nike/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Nike
DE0007343972	1251656	26.06.02	J.P. Morgan Chase & Co./Citibank AG 01-02	Call - Opt. 2001 - 2002 auf J.P. Morgan Chase & Co.
CH0012526619	1252661	20.06.02	IBM Corp./Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf IBM Corp.
DE0007343949	1251653	17.07.02	JDS Uniphase/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf JDS Uniphase
CH0012526601	1252660	20.06.02	EMC Corp./Bank Vontobel AG 01-02	Call - Optionen 2001 - 2002 auf EMC Corp.
DE0007457103	1251659	26.06.02	PepsiCo/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf PepsiCo
DE0007343998	1251658	26.06.02	PepsiCo/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf PepsiCo

U.S. registered stocks and derivatives based on U.S. registered stocks traded in Switzerland

DE0007457111	1251660	22.05.02	Rambus Inc./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Rambus Inc.
DE0007457129	1251661	22.05.02	Rambus Inc./Citibank AG 01-02	Call - Optionen 2001 - 2002 auf Rambus Inc.
DE0007343964	1251655	23.01.02	J.P. Morgan Chase & Co./Citibank AG 01-02	Call - Opt. 2001 - 2002 auf J.P. Morgan Chase & Co.
DE0007343956	1251654	17.07.02	JDS Uniphase/Citibank AG 01-02	Call - Optionen 2001 - 2002 auf JDS Uniphase
CH0012552516	1255251	19.07.02	Synthes-Stratec N/OZ Bankers 01-02	Put - Optionen 2001 - 2002 auf Synthes-Strate
CH0012517253	1251725	14.12.01	Vontobel "Hard Landing"-Basket II/Bank Vontobel AG 20(	Put - Opt. 2001 auf Vontobel "Hard Landing"-Basket II
CH0012607997	1260799	21.06.02	Intel Corporation/ZŸrcher Kantonalbank 01-02	Call - Optionen 2001- 2002 auf Intel Corporation
CH0012618069	1261806	14.11.01	NASDAQ 100 Index/Bank Vontobel AG 2001	Call - Optionen 2001 auf NASDAQ 100 Index
CH0012618176	1261817	19.12.01	NASDAQ 100 Index/Bank Vontobel AG 2001	Put - Optionen 2001 auf NASDAQ 100 Index
CH0012618093	1261809	14.11.01	NASDAQ 100 Index/Bank Vontobel AG 2001	Put - Optionen 2001 - 2002 auf NASDAQ 100 Index
CH0012636764	1263676	17.07.02	Worldcom Inc./CSFB 01-02	TORO - Optionen 2001 - 2002 auf Worldcom Inc.
CH0012714314	1271431	21.06.02	AT&T Wireless Services Inc./ZŸrcher Kantonalbank 01-0:	Call - Optionen 01-02 auf AT&T Wireless Services Inc.
CH0012725674	1272567	21.06.02	NASDAQ 100 Index/ZŸrcher Kantonalbank 01-02	Put - Optionen 2001 - 2002 auf NASDAQ 100 Index
CH0012725633	1272563	15.03.02	NASDAQ 100 Index/ZŸrcher Kantonalbank 01-02	Put - Optionen 2001 - 2002 auf NASDAQ 100 Index
CH0012725625	1272562	15.03.02	NASDAQ 100 Index/ZŸrcher Kantonalbank 01-02	Call - Optionen 2001 - 2002 auf NASDAQ 100 Index
CH0012725609	1272560	21.06.02	NASDAQ 100 Index/ZŸrcher Kantonalbank 01-02	Call - Optionen 2001 - 2002 auf NASDAQ 100 Index

RSEC 03012422

Cella, Joseph J.

From: (b)(6), (b)(7)(C)
Sent: Friday, September 21, 2001 11:52 AM
To: (b)(6), (b)(7)(C) Cella, Joseph J.
Subject: FW: US Securities

Pardon me if you already have this, but this came in yesterday from the French regulator. Take note that the attachment runs over 580 pages in length.

(b)(6), (b)(7)(C)

FRANCE

-----Original Message-----
From: (b)(6), (b)(7)(C)
Sent: Thursday, September 20, 2001 11:32 AM
To: (b)(6), (b)(7)(C)
Cc: Tafara, Ethiopis
Subject: FW: US Securities

-----Original Message-----
From: (b)(6), (b)(7)(C) [mailto:(b)(6), (b)(7)(C)@cob.fr]
Sent: Thursday, September 20, 2001 11:24 AM
To: (b)(6), (b) @sec.gov'
Cc: (b)(6), (b)(7)(C)
Subject: US Securities

Dear (b)(6), (b) (7)(C)

Following your request dated 9/18/01, you will find attached a file with all the information related to US securities. This is a Excel file with three pages : market trades, off session trades and clearing settlement data.

Please note that you have also the information for trades after 09/11/01.

For further information, do not hesitate to phone me.

Best regards

(b)(6), (b)(7)(C)
(b)(6), (b)(7)(C) Enforcement Division
Phone : (b)(6), (b)(7)(C)
Fax : 33-1-53-45-64-47

<<us securities since 2708.xls>>

RSEC-03012423

(b)(6), (b)(7)(C)

From: (b)(6), (b)(7)(C)
Sent: Wednesday, October 03, 2001 12:11 PM
To: (b)(6), (b)(7)(C)
Subject: FW: SEC request for assistance (September 24, 2001)

Not sure whether I forwarded this to you previously. I just saw it. (b)(6), (b)(7)(C)

-----Original Message-----
From: (b)(6), (b)(7)(C) [mailto:(b)(6), (b)(7)(C)@cob.fr]
Sent: Wednesday, October 03, 2001 9:05 AM
To: (b)(6), (b)(7)(C) (E-mail)
Cc: (b)(6), (b)(7)(C)
Subject: SEC request for assistance (September 24, 2001)

Dear (b)(6), (b)(7)(C)

Following your request dated September 24, please find attached three files. The first one is based on the list you sent concerning the securities for which you wanted to know whether they were listed on the French market. Only four securities are listed. However, with the exception of AXA, nothing unusual has been noticed.

The second and third files are a summary of what happened on the French market in regards to US securities (either shares or covered warrants).

For further information, please do not hesitate to phone me.

Best regards

(b)(6), (b)(7)(C)
(b)(6), (b)(7)(C) Enforcement Division
Phone : (b)(6), (b)(7)(C)
Fax : 33-1-53-45-64-47

<<SEC list.xls>>

<<US shares (27 August-25 September).xls>> <<US warrants (options) (27 August-25 September).xls>>

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Seuls les écrits sur support papier ou les messages électroniques signés par une personne habilitée expriment la position de la COB. Pour plus de précisions, veuillez contacter l'auteur de ce message, votre correspondant habituel ou le Secrétariat Général de la COB.**

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Only documents written on paper or electronic mail, duly signed by one authorized person, may express the views of the Commission. For any enquiry regarding that matter, please contact either the author of the document or your usual contact with the COB or the Secrétariat Général of the Commission. »**

Ticker	Company	Industry	Listed in France (Y/N)
BA	Boeing Co.	Aerospace	NO
LMT	Lockheed Martin Corporation	Aerospace/Defense	NO
RTN	Raytheon Company	Aerospace/Defense	NO
LLL	L-3 Communications Holdings	Aerospace/Defense (Military Electonics)	NO
AMR	AMR Corp.	Airlines	NO
CAL	Continental Airlines, Inc.	Airlines	NO
DAL	Delta Airlines, Inc.	Airlines	NO
NWAC	Northwest Airlines Corp.	Airlines	NO
LUV	Soutwest Airlines Co.	Airlines	NO
UAL	UAL Corp.	Airlines	NO
UAL	US Airways Group, Inc.	Airlines	NO
GM	General Motors Corp.	Automotive (GMAC-Mortgage Securities)	YES (French code 12944)
BAC	Bank of America	Banks	NO
BK	Bank of New York	Banks	NO
ONE	Bank One	Banks	NO
HPC	Hercules, Inc.	Chemicals	NO
GRA	W.R. Grace & Co.	Chemicals	NO
CCL	Carnival Corporation	Cruise Lines	NO
RCL	Royal Caribbean	Cruise Lines	NO
AHP	American Express	Diversified Financial Services	YES (French code 12917)
C	Citigroup, Inc.	Diversified Financial Services	NO
BSC	Bear, Stearns & Co.	Diversified Financial Services (Investment Banker/Broke	NO
LEH	Lehman Brothers Holdings, Inc.	Diversified Financial Services (Investment Banker/Broke	NO
MWD	Morgan Stanley Dean Witter & Co	Diversified Financial Services (Investment Banker/Broke	NO
CNA	C N A Financial	Insurance	NO
CI	Gigna Corp.	Insurance	NO
JHF	John Hancock Financial	Insurance	NO
PGR	Progressive Corp.	Insurance	NO
RSA	Royal & Son Alliance	Insurance	NO
XL	XL Capital, Ltd.	Insurance	NO
AIG	American International Group, Inc	Insurance (Multi-line)	YES (French code 14197)
AXA	Axa ~~Spons ADR~~	Insurance (Multi-line)	YES (French code 12062)
MET	Metlife, Inc.	Insurance (Multi-line)	NO
CB	Chubb Corporation (The)	Insurance (Property/Casualty)	NO
MMC	Marsh & McLennan Companies, In	Insurance Brokers	NO
VNO	Vornado Realty Trust	Real Estate Investment Trusts	NO
LSS	Lone Star Technologies, Inc.	Steel	NO
LTV	LTV Corp.	Steel	NO

French share cod	Share name	buyer	quantity	PERCENT
5656	ANHEUSER SICO.	573	455	52.72
5656	ANHEUSER SICO.	518	324	37.54
5783	GENUITY CL.A SICO.	585	4539	42.29
5783	GENUITY CL.A SICO.	560	2190	20.41
5783	GENUITY CL.A SICO.	519	2000	18.64
5783	GENUITY CL.A SICO.	518	1002	9.34
5783	GENUITY CL.A SICO.	573	750	6.99
5938	GOODYEAR TIRE SICO	483	7568	89.65
5938	GOODYEAR TIRE SICO	573	505	5.98
5941	PFIZER SICO.	545	66414	47.24
5941	PFIZER SICO.	536	25066	17.83
5941	PFIZER SICO.	577	15937	11.34
5941	PFIZER SICO.	483	12850	9.14
5971	COLGATE PALM.SICO.	512	7992	37.91
5971	COLGATE PALM.SICO.	538	4267	20.24
5971	COLGATE PALM.SICO.	483	2915	13.83
5971	COLGATE PALM.SICO.	545	2466	11.70
5971	COLGATE PALM.SICO.	548	1732	8.22
5976	CATERPILLAR SICO.	573	496	48.58
5981	DOW CHEMICAL SICO.	483	32624	79.70
5981	DOW CHEMICAL SICO.	573	4000	9.77
5981	DOW CHEMICAL SICO.	545	2877	7.03
5989	OXIS INTL SICO.	536	14000	67.16
5989	OXIS INTL SICO.	521	6500	31.18
12203	ATMEL SICO.	512	15400	60.53
12203	ATMEL SICO.	545	2482	9.75
12203	ATMEL SICO.	536	1758	6.91
12741	DU PONT DE NEMOUR	545	15031	44.17
12741	DU PONT DE NEMOUR	577	7967	23.41
12741	DU PONT DE NEMOUR	573	7277	21.38
12909	MERCK SICO.	545	45545	35.71
12909	MERCK SICO.	577	42696	33.47
12909	MERCK SICO.	512	17040	13.36
12909	MERCK SICO.	504	7457	5.85
12917	AMER.EXPRESS SICO.	483	70181	46.19
12917	AMER.EXPRESS SICO.	545	48739	32.08
12917	AMER.EXPRESS SICO.	577	21425	14.10
12920	UNITED TECHN.SICO.	545	8986	36.16
12920	UNITED TECHN.SICO.	577	6354	25.57
12920	UNITED TECHN.SICO.	536	1589	6.39

12920	UNITED TECHN.SICO.	530	1465	5.90
12920	UNITED TECHN.SICO.	512	1260	5.07
12928	PHILIP MORRIS SICO	577	132985	48.65
12928	PHILIP MORRIS SICO	545	66920	24.48
12928	PHILIP MORRIS SICO	483	31949	11.69
12928	PHILIP MORRIS SICO	518	15045	5.50
12940	AT AND T SICO.	577	95596	37.36
12940	AT AND T SICO.	545	74798	29.23
12940	AT AND T SICO.	483	49622	19.39
12943	GENERAL ELEC.SICO.	577	168026	28.70
12943	GENERAL ELEC.SICO.	545	161157	27.53
12943	GENERAL ELEC.SICO.	518	53916	9.21
12943	GENERAL ELEC.SICO.	504	40745	6.96
12943	GENERAL ELEC.SICO.	519	34574	5.91
12944	GEN.MOTORS SICO.	577	4403	42.21
12944	GEN.MOTORS SICO.	483	2085	19.99
12944	GEN.MOTORS SICO.	545	1642	15.74
12944	GEN.MOTORS SICO.	519	665	6.38
12948	MCDONALDS SICO.	545	62239	46.35
12948	MCDONALDS SICO.	577	39058	29.09
12948	MCDONALDS SICO.	483	22289	16.60
12957	PROCTER GAMB.SICO.	545	13915	42.59
12957	PROCTER GAMB.SICO.	577	11996	36.72
12957	PROCTER GAMB.SICO.	538	2293	7.02
12960	ITT IND.SICO	577	1430	63.64
12960	ITT IND.SICO	573	525	23.36
12960	ITT IND.SICO	538	242	10.77
12964	IBM SICO.	545	86851	30.99
12964	IBM SICO.	577	77246	27.56
12964	IBM SICO.	504	22618	8.07
12964	IBM SICO.	539	15000	5.35
12972	CROWN CORK ORD.	560	4649	21.04
12972	CROWN CORK ORD.	536	3250	14.71
12972	CROWN CORK ORD.	518	2810	12.72
12972	CROWN CORK ORD.	530	2560	11.59
12972	CROWN CORK ORD.	201	1800	8.15
12972	CROWN CORK ORD.	519	1256	5.68
13956	FORD MOTOR SICO.	483	23031	36.86
13956	FORD MOTOR SICO.	545	22136	35.43
13956	FORD MOTOR SICO.	577	15146	24.24
14177	SARA LEE SICO.	536	700	47.91

14177	SARA LEE SICO.	573	394	26.97
14177	SARA LEE SICO.	518	367	25.12
14197	AMER.INTL GRP.SICO	545	2250	87.21
86145	IBM CORP. SEP1	518	355	63.96

buyer name	transactions made
AUREL LEVEN - ACTIONS	6
E I F B	6
ODDO ET CIE	12
C D C IXIS SECURITIES	6
B* CAPITAL	6
E I F B	5
AUREL LEVEN - ACTIONS	1
TIMBER HILL EUROPE AG	14
AUREL LEVEN - ACTIONS	2
ABN AMRO SECURITIES FRANC	144
CAIC	56
ING FERRI SA	139
TIMBER HILL EUROPE AG	8
CLC BOURSE	40
INSTINET FRANCE S.A.	5
TIMBER HILL EUROPE AG	7
ABN AMRO SECURITIES FRANC	34
DRKW SECURITIES FRANCE	4
AUREL LEVEN - ACTIONS	4
TIMBER HILL EUROPE AG	25
AUREL LEVEN - ACTIONS	2
ABN AMRO SECURITIES FRANC	14
CAIC	4
NATEXIS CAPITAL	6
CLC BOURSE	9
ABN AMRO SECURITIES FRANC	19
CAIC	13
ABN AMRO SECURITIES FRANC	76
ING FERRI SA	78
AUREL LEVEN - ACTIONS	5
ABN AMRO SECURITIES FRANC	275
ING FERRI SA	282
CLC BOURSE	47
S G SECURITIES (PARIS) SA	75
TIMBER HILL EUROPE AG	48
ABN AMRO SECURITIES FRANC	140
ING FERRI SA	122
ABN AMRO SECURITIES FRANC	57
ING FERRI SA	73
CAIC	40

XEOD SERVICES COMPENSATE	12
CLC BOURSE	8
ING FERRI SA	366
ABN AMRO SECURITIES FRANC	179
TIMBER HILL EUROPE AG	16
E I F B	24
ING FERRI SA	293
ABN AMRO SECURITIES FRANC	244
TIMBER HILL EUROPE AG	34
ING FERRI SA	856
ABN AMRO SECURITIES FRANC	619
E I F B	147
S G SECURITIES (PARIS) SA	220
B* CAPITAL	236
ING FERRI SA	57
TIMBER HILL EUROPE AG	7
ABN AMRO SECURITIES FRANC	30
B* CAPITAL	4
ABN AMRO SECURITIES FRANC	154
ING FERRI SA	249
TIMBER HILL EUROPE AG	24
ABN AMRO SECURITIES FRANC	167
ING FERRI SA	124
INSTINET FRANCE S.A.	21
ING FERRI SA	43
AUREL LEVEN - ACTIONS	6
INSTINET FRANCE S.A.	4
ABN AMRO SECURITIES FRANC	466
ING FERRI SA	690
S G SECURITIES (PARIS) SA	215
PARESCO FUTURES	20
C D C IXIS SECURITIES	5
CAIC	9
E I F B	8
XEOD SERVICES COMPENSATE	5
BANQUE CORTAL	8
B* CAPITAL	10
TIMBER HILL EUROPE AG	21
ABN AMRO SECURITIES FRANC	28
ING FERRI SA	44
CAIC	1

AUREL LEVEN - ACTIONS	7
E I F B	3
ABN AMRO SECURITIES FRANC	2
E I F B	3

RSEC04019095

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
450 5TH ST., N.W.
Washington, D.C. 20549

FROM: JOSEPH J. CELLA III, CHIEF
OFFICE OF MARKET SURVEILLANCE
DIVISION OF ENFORCEMENT

Telephone Number: (202) 942-4559
Fax Number: (202) 942-9618

PLEASE DELIVER THE FOLLOWING PAGES TO:

Name: **Doug Greenburg**

Firm: **Commission on Terrorist Attacks**

Telephone:

Fax Number: (202) 296-5545

Date: May 10, 2004

Re: **AMR/UAL Options Data**

Total Number of Pages, Including Cover Sheet: [4]

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The Options Clearing Corporation

Historical Contract Volume Query

home / market / options contract volume / search results

Options contract volume on **UAL** for activity date 09/06/2001.

Please note: All values stated in this report represent contract sides (1 side long, 1 side short). Therefore to get a number that reflects the total number of contracts (both long and short combined as 1 contract), you must divide the total exchange volume shown by 2.

For example: ISE reports 1400 contract sides. the actual number of contracts would be 700. (1400 divided by 2 is 700).

Options Symbol	Exchange Volume					Call/Put Volume		Transaction Type		
	AMEX	CBOE	ISE	PCX	PHLX	Calls	Puts	Cust	MM	Firm
LEAP LUA	0	40	0	0	0	40	0	20	20	0
UAL	500	560	0	1,500	660	70	3,150	1,535	1,160	525
LEAP VUA	0	14	0	0	0	14	0	7	7	0
Totals	**500**	**614**	**0**	**1,500**	**660**	**124**	**3,150**	**1,562**	**1,187**	**525**
Percent*	**15%**	**19%**	**0%**	**46%**	**20%**	**4%** (22)	**96%** (1,575)	**48%**	**36%**	**16%**

*Percentages may not equal 100% due to rounding

P/C Ratio
25.4 Puts to 1 Call

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Clear Firm	Date	B/S	O/C	Series		Qty	Series Percentage	Premium	Time	Cost/Revenue	Optimal	Profit	Optional Data	Exch code
416 C	08/30/0	S	O	VUA	01/16/0	40.00 C	150	600.00	3.1	00:00:00	$46,500.00	$11,250.00	$35,250.00	BUZ5259	PHLX
						Series Total	150	600.00					$35,250.00		
416 F	08/23/0	B	O	UAL	09/22/0	40.00 P	50	11.76	7	14:25:00	$36,000.00	$108,496.10	$73,496.10	580PKB 1580	CBOE
	08/23/0	B	O	UAL	09/22/0	40.00 P	25	5.88	7	10:10:00	$17,500.00	$54,248.05	$36,748.05	580PKB 1550	CBOE
						Series Total	75	17.65					$110,244.15		
551 B	08/23/0	S	O	UAL	10/20/0	35.00 C	200	29.63	1.2	14:30:00	$24,000.00	$15,000.00	$9,000.00	0475 CHIB	CBOE
						Series Total	200	29.63					$9,000.00		
632 C	08/29/0	S	O	UAL	02/16/0	40.00 C	50	4,999.95	0.95	00:00:00	$4,750.00	$3,750.00	$1,000.00	FND3028632	PHLX
						Series Total	50	4999.95					$1,000.00		
642 C	09/06/0	B	O	UAL	10/20/0	30.00 P	200	28.57	0.9	13:24:00	$18,000.00	$223,984.40	$205,984.40	310245 C6	CBOE
	09/06/0	B	O	UAL	10/20/0	30.00 P	100	14.28	0.9	00:00:00	$9,000.00	$111,992.20	$102,992.20		AMEX
	09/06/0	B	O	UAL	10/20/0	30.00 P	250	35.71	0.9	00:00:00	$22,500.00	$279,980.50	$257,480.50		PSE
	09/06/0	B	O	UAL	10/20/0	30.00 P	100	14.28	0.9	00:00:00	$9,000.00	$111,992.20	$102,992.20	164	PHLX
	09/06/0	B	O	UAL	10/20/0	30.00 P	500	71.43	0.95	13:59:00	$47,500.00	$559,961.00	$512,461.00	311246 C6	CBOE
	09/06/0	B	O	UAL	10/20/0	30.00 P	150	21.43	0.95	00:00:00	$14,250.00	$167,988.30	$153,738.30		AMEX
	09/06/0	B	O	UAL	10/20/0	30.00 P	500	71.43	0.95	00:00:00	$47,500.00	$559,961.00	$512,461.00	CXL 500	PSE
	09/06/0	B	O	UAL	10/20/0	30.00 P	200	28.57	0.95	00:00:00	$19,000.00	$223,984.40	$204,984.40	154	PHLX
						Series Total	2000	285.71					$2,053,094.00		
671 F	08/23/0	S	O	UAL	10/20/0	35.00 C	250	37.04	1.2	14:32:00	$30,000.00	$18,750.00	$11,250.00	6850 ZXV00	CBOE
						Series Total	250	37.04					$11,250.00		

Sep. 6, 2001 UAL October 30 puts

Sent By: Pacific Exchange; 393 4087; Sep-19-01 9:20AM; Page 10/10
05/10/2004 16:15 FAX 202 942 9618
09/18/2001 12:48 FAX 312 755 7982 MARKET SURV 003

The Options Clearing Corporation

Historical Contract Volume Query

home / market / options contract volume / search results

Options contract volume on **AMR** for activity date 09/10/2001.

Please note: All values stated in this report represent contract sides (1 side long, 1 side short). Therefore to get a number that reflects the total number of contracts (both long and short combined as 1 contract), you must divide the total exchange volume shown by 2.

For example: ISE reports 1400 contract sides, the actual number of contracts would be 700. (1400 divided by 2 is 700).

Options Symbol	Exchange Volume					Call/Put Volume		Transaction Type		
	AMEX	CBOE	ISE	PCX	PHLX	Calls	Puts	Cust	MM	Firm
AMR	2,642	256	872	224	1,270	748	4,516	2,385	2,879	0
LEAP VMR	40	0	0	0	0	0	40	20	20	0
Totals	**2,682**	**256**	**872**	**224**	**1,270**	**748** 375	**4,556** 2,278	**2,405**	**2,899**	**0**
Percent*	**51%**	**5%**	**16%**	**4%**	**24%**	**14%**	**86%**	**45%**	**55%**	**0%**

*Percentages may not equal 100% due to rounding

P/C Ratio
6.09 Puts to 1 Call

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UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

OFFICE OF THE
GENERAL COUNSEL
Stop 0204

August 6, 2004

Marcia Dianna

VIA FACSIMILE AND U.S. MAIL

Ms. Dianna Compagna
Manager of Operations
9-11 Commission
301 Seventh Street, NW, Room 5125
Washington, DC 20407

Dear Ms. Compagna:

The US Securities and Exchange Commission ("SEC") has received a letter from the National Archives and Records Administration ("NARA") dated July 7, 2004, advising that the 9-11 Commission will transfer its records to NARA following the issuance of the 9-11 Commission's final report. Among the records the 9-11 Commission will transfer are the written reports and summaries of the SEC's investigation into pre-September 11, 2001 trading and records received from foreign government agencies (hereinafter "foreign records") as well as records subject to confidential treatment requests under the SEC's regulation, 17 CFR 200.83.

Upon receiving the 9-11 Commission's request to produce the foreign records, SEC staff contacted the appropriate foreign government agencies to seek their consent to provide the 9-11 Commission with those documents.[1] The foreign government agencies provided their consent based on the following assurances of confidentiality:

- The 9-11 Commission will establish and maintain such safeguards as are necessary and appropriate to protect the confidentiality of files to which access is granted;[2]
- The 9-11 Commission will give the SEC notice of any request for the documents by private parties;[3]
- The 9-11 Commission will provide the SEC with notice if the 9-11 Commission decides to disclose the documents publicly;[4] and
- The 9-11 Commission is not required to produce documents under the Freedom of Information Act, legislation that enables the public to request the disclosure of records maintained by many US federal government agencies.[5]

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[1] As we explained to staff of the 9-11 Commission at the time of their request for the foreign records, materials provided to the SEC by foreign authorities are, generally, subject to confidentiality conditions, including that the records will not be publicly disclosed other than for purposes of SEC investigations and proceedings.

[2] See letter from Daniel Marcus to Richard Humes dated July 16, 2003.

[3] See letter from Richard Humes to Daniel Marcus dated July 22, 2003

[4] Id.

[5] Because the 9-11 Commission is not an "agency" subject to FOIA, the SEC understood that the 9-11 Commission should not be required to produce the SEC's documents pursuant to FOIA.

The SEC provided these foreign records to the 9-11 Commission, on November 4 and 17, 2003, subject to these conditions. Attached is an index of the foreign records that were produced to the 9-11 Commission by letter from Melinda Hardy to Daniel Marcus dated November 4, 2003, and by letter from Melinda Hardy to Douglas Greenburg dated November 17, 2003.

Maintaining the confidentiality of the foreign records as agreed is critical to ensure that the conditions upon which the foreign records were provided to the SEC and subsequently to the 9-11 Commission are fulfilled. Failure to comply with those conditions could seriously harm the SEC's ability to obtain assistance from foreign government agencies. Accordingly, we are writing to confirm our understanding that the assurances provided to the SEC by the 9-11 Commission regarding the confidentiality of foreign records will continue to apply after those records are produced to NARA by the 9-11 Commission. To that end, we request that, in advance of transferring the foreign records to NARA, the 9-11 Commission advise NARA of the limitations on disclosure of the foreign records, as described herein, by providing NARA with a copy of this letter and by attaching the limitations (as set forth in this letter) to each of the foreign records produced by the SEC as well as any copies made of such records. NARA should also be advised that other records are subject to confidentiality requests under the SEC's rules. We also request that the 9-11 Commission provide the SEC with copies of correspondence to NARA regarding this matter.

We understand that the 9-11 Commission will soon transfer its records to NARA and would greatly appreciate the 9-11 Commission's views on these issues as early as possible. We would, of course, be happy to discuss this further at your convenience.

Sincerely,

Celia Jacoby

Celia L. Jacoby
Senior Counsel

Attachment

cc: Ethiopis Tafara
SEC Office of International Affairs

FOREIGN REGULATORS' REPORTS PRODUCED TO THE 9-11 COMMISSION

Country	Regulator	Document
Australia	Australian Securities & Investments Commission	-E-mail message dated September 18, 2001 from (b)(6), (b)(7) to Joe Cella -E-mail message dated September 19, 2001 from (b)(6), (b)(7)(C) -Memo dated November 8, 2001 from (b)(6), (b)(7)(C) -E-mail message dated November 12, 2001 from (b)(6), (b)(7)(C) -Letter dated October 24, 2003 from (b)(6), (b)(7) to Ethiopis Tafara
Brazil	Comissao de Valores Mobiliarios	-English translation of press article dated September 21, 2001 in *Folha de Sao Paulo* newspaper
France	Commission des Operations de Bourse	-E-mail message dated September 20, 2001 from (b)(6), (b)(7)(C) to (b)(6), (b)(7)(C) (with attachments) -E-mail message dated October 3, 2001 from (b)(6), (b)(7)(C) to (b)(6), (b)(7)(C) (with attachments) -Letter dated October 16, 2001 from (b)(6), (b)(7)(C) (b)(6), (b)
Germany	Bundesanstalt fur Finanzdiensteistungsaufsicht	-Letter dated December 5, 2001 from (b)(6), (b)(7)(C) (sic) (with attachments) -Letter dated April 29, 2002 from (b)(6), (b)(7)(C)
Hong Kong	Securities and Futures Commission	-Letter dated September 21, 20001 from (b)(6), (b)(7)(C) (with attachments) -Letter dated September 27, 2001 from (b)(6), (b)(7)(C) (with attachments) -Letter dated September 28, 2001 from (b)(6), (b)(7)(C)
Netherlands	Authority for the Financial Markets	-Letter dated January 14, 2002 from (b)(6), (b)(7)(C) -Letter dated January 17, 2002 from (b)(6), (b)(7)(C)

Quebec	Commission des valeurs mobilieres du Quebec	-Letter dated September 21, 2001 from (b)(6), (b)(7)(C) (b)(6), (b) -Letter dated September 28, 2001 from (b)(6), (b)(7)(C) (b -Letter dated October 10, 2001 from (b)(6), (b)(7)(C) (b)(6), (b) -Letter dated December 17, 2001 from (b)(6), (b)(7)(C) (b)(6), (b)(7)(C) (with attachments)
Singapore	Monetary Authority of Singapore	-Letter dated October 17, 2001 from (b)(6), (b)(7)(C)
Switzerland	Swiss Federal Banking Commission	-Letter dated October 4, 2001 from (b)(6), (b)(7)(C) (b)(6), (b)(7)(C) (with attachments)

FOREIGN REGULATORS' REPORTS NOT PRODUCED TO THE 9-11 COMMISSION REVIEWED AT THE SEC'S OFFICES

Country	Regulator	Document
Italy	Commissione Nazionale per le Societa e la Borsa	-Letter dated September 25, 2001 from (b)(6), (b)(7)(C) (6) (with attachments) -Letter dated October 30, 2001 from (b)(6), (b)(7)(C) (b)(6), (b)(7)(C)
Japan	Securities & Exchange Surveillance Commission	-Letter dated September 21, 2001 from (b)(6), (b)(6), (b)(7)(C) (with attachments) -Letter dated September 27, 2001 from (b)(6), (b)(6), (b)(7)(C) -Letter dated October 3, 2001 from (b)(6), (b)(6), (b)(7)(C)
Japan	Financial Services Authority	-Letter dated October 1, 2001 from Hironobu Naka (b)(6), (b)(7)(C), Ethiopis Tafara and (b) (b)(6), (b)(7)(C)
Switzerland	Swiss Federal Banking Commission	-Letter dated March 8, 2002 from (b)(6), (b)(7)(C) (b)(6), (b)(7)(C)
United Kingdom	Financial Services Authority	-Letter dated September 24, 2001 from (b)(6), (b)(6), (b)(7)(C) (with attachments) -Letter dated November 19, 2001 from (b)(6), (b)(7) (b)(6), (b)(7)(C) (with attachments) -E-mail message dated April 22, 2002 from (b)(6), (b)(6), (b) to Joe Cella