



Daily Compliance Activity Report

Trade Date: 11/09/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHILTON CAPITAL MGMT.	036	ABN	C	10,347	53.25	n/a	n/a	413.88	4.0
SANDLER CAPITAL	038	ACM	S	100,000	29.69	n/a	n/a	6,000.00	6.0
BUCK CAPITAL MGMT	001	AEO	B	40,000	21.43	9-Nov	9-Nov	1,600.00	4.0
COUGAR TRADING	044	AEO	B	30,000	21.65	9-Nov	9-Nov	1,500.00	5.0
WEISS PECK	040	AEO	B	19,300	21.50	9-Nov	9-Nov	965.00	5.0
NEUBERGER BERMAN	036	AIZ	S	3,400	63.97	n/a	n/a	170.00	5.0
COUGAR TRADING	044	ANF	B	5,000	74.63	2-Oct	5-Nov	250.00	5.0
COUGAR TRADING	044	ANF	SS	5,000	74.11	2-Oct	5-Nov	250.00	5.0
BALYASNY ASSET MGMT	044	ARO	S	20,000	22.89	9-Nov	9-Nov	1,000.00	5.0
SYSTEMATIC FINANCIAL MGT	035	ARO	B	45,600	23.28	9-Nov	9-Nov	1,710.00	3.8
MEISENBACH CAP MGMT	041	AVP	S	8,000	40.27	24-Sep	26-Oct	240.00	3.0
CATAPULT	040	BAC	S	5,000	43.55	19-Oct	8-Nov	250.00	5.0
BUCK CAPITAL MGMT	001	BBY	S	190,000	45.12	n/a	27-Jul	7,600.00	4.0
GLG PARTNERS	034	BBY	B	15,000	45.05	n/a	27-Jul	750.00	5.0
COLUMBIA PARTNERS	028	BID	B	25,562	33.13	n/a	n/a	1,022.48	4.0
GRUBER MACBAINE	033	BLK	B	2,000	190.18	17-Oct	6-Nov	80.00	4.0
Glenn Redemann		BMC	B	6	0.2200	n/a	n/a	0.00	0.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ	Glenn Redemann		BMC	B	6	0.3100	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		BMC	SS	4	0.8400	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		BMC	SS	4	1.3100	n/a	n/a	0.00	0.0
	HIGHBRIDGE CAPITAL	038	BNI	B	12,000	84.99	n/a	n/a	600.00	5.0
	COUGAR TRADING	044	BONT	B	10,000	12.63	9-Nov	9-Nov	500.00	5.0
	MKT MAKER	099	BONT	B	100	13.00	9-Nov	9-Nov	0.00	0.0
	BACKUS	005	BSC	S	1,000	96.82	4-Sep	8-Nov	0.00	0.0
	BARR	096	BTU	S	300	54.70	n/a	n/a	0.00	0.0
	MILLER	N23	BX	B	15	24.13	n/a	n/a	0.00	0.0
	HIGHBRIDGE CAPITAL	038	CBS	B	75,000	26.84	n/a	n/a	3,750.00	5.0
	ARIENCE CAPITAL	036	CBT	S	162,030	32.20	9-Jul	1-Nov	8,101.50	5.0
	STRAUSS ASSET MGMT	040	CELL	S	15,000	16.23	n/a	n/a	750.00	5.0
	MKT MAKER	099	CENT	B	100	7.00	n/a	18-Sep	0.00	0.0
	LEDDY	035	CHCG	S	1,000	4.06	n/a	n/a	0.00	0.0
	NEUBERGER BERMAN	036	CNB	S	11,800	17.29	n/a	n/a	590.00	5.0
	BUCK CAPITAL MGMT	001	COH	S	70,000	32.58	24-Oct	24-Oct	2,800.00	4.0
	LEVIN CAPITAL STRATEGIES	012	COH	B	20,000	32.97	24-Oct	24-Oct	800.00	4.0
	SENTINAL CAPITAL	067	COH	S	5,000	32.36	24-Oct	24-Oct	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KAICHER	064	COV	S	15	39.50	n/a	n/a	0.00	0.0
NCM CAPITAL MGMT	035	CROX	B	21,402	39.14	n/a	n/a	1,070.10	5.0
MERRILL ASSET	032	CRR	B	8,000	43.73	25-Oct	25-Oct	360.00	4.5
STRATTON	N21	CSR	B	100	21.15	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	CSX	B	12,000	43.83	n/a	n/a	600.00	5.0
SUFFOLK CAPITAL MGMT	040	CVS	S	215,000	41.85	n/a	n/a	8,600.00	4.0
MERRILL LYNCH STRATEGICI	034	CVX	B	25,000	87.98	n/a	n/a	1,250.00	5.0
WHEELER	008	C	B	5,000	33.20	5-Nov	8-Nov	0.00	0.0
SINCLAIR	031	DAWMY	S	10	4.60	n/a	n/a	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	DF	SS	60,000	26.67	n/a	n/a	2,400.00	4.0
MERRILL LYNCH STRATEGICI	034	DIS	SS	20,000	32.76	n/a	n/a	1,000.00	5.0
PRINCIPLE CAPITAL	040	DKS	B	35,200	27.67	n/a	26-Oct	1,056.00	3.0
NEUBERGER BERMAN	036	DPL	S	7,900	29.81	n/a	n/a	395.00	5.0
DEEPHAVEN	031	DTV	B	15,000	27.06	21-Sep	8-Nov	750.00	5.0
WHEELER	008	DUG	B	3,000	40.97	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL LYNCH STRATEGICI	034	DUK	SS	30,000	19.50	n/a	n/a	1,200.00	4.0
BACKUS	005	DVN	S	1,000	88.89	22-Oct	7-Nov	0.00	0.0
HIGHBRIDGE CAPITAL	038	ETM	B	25,000	17.81	n/a	n/a	1,250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	FCN	S	4,200	55.75	n/a	n/a	157.50	3.8
REICH AND TANG	067	FCS	B	25,000	16.52	n/a	n/a	1,250.00	5.0
NCM CAPITAL MGMT	035	FIS	S	42,235	41.63	n/a	n/a	2,111.75	5.0
LEDDY	035	F	C	2,500	8.37	n/a	9-Nov	0.00	0.0
IRIDIAN ASSET MGMT.	036	GD	S	152,790	88.57	n/a	n/a	7,639.50	5.0
CHILTON CAPITAL MGMT.	036	GE	C	66,205	38.55	n/a	n/a	2,648.20	4.0
SYSTEMATIC FINANCIAL MGT	035	GGL	S	58,500	24.36	n/a	n/a	2,193.75	3.8
BUCK CAPITAL MGMT	001	GIL	S	10,000	40.36	5-Nov	5-Nov	400.00	4.0
DC CAPITAL	044	GLW	B	200,000	21.34	n/a	24-Oct	8,000.00	4.0
MERRILL LYNCH STRATEGICI	034	GLW	S	100,000	21.75	n/a	24-Oct	5,000.00	5.0
BUCK CAPITAL MGMT	001	GPS	B	100,000	19.58	n/a	9-Nov	4,000.00	4.0
NCM CAPITAL MGMT	035	HANS	B	8,235	46.59	n/a	n/a	411.75	5.0
CASTLE ARK	031	HRS	B	45,000	62.75	30-Oct	2-Nov	2,700.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBIA PARTNERS	028	HT	B	94,557	10.37	n/a	n/a	3,782.28	4.0
PROSPECTOR PARTNERS LLC	036	IVZ	B	31,000	26.79	8-Oct	8-Nov	1,240.00	4.0
BUCK CAPITAL MGMT	001	JCG	S	40,000	37.72	24-Oct	24-Oct	1,600.00	4.0
COUGAR TRADING	044	JCG	B	5,000	38.03	24-Oct	24-Oct	250.00	5.0
ADAGE CAPITAL MGMT	030	JCP	B	83,318	47.25	9-Nov	9-Nov	3,332.72	4.0
APEX CAPITAL MGMT.	091	JCP	B	50,000	46.87	9-Nov	9-Nov	2,500.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	10,000	47.32	9-Nov	9-Nov	400.00	4.0
WEISS PECK	040	JCP	S	6,900	47.48	9-Nov	9-Nov	345.00	5.0
BACKUS	005	JCP	B	1,000	46.96	9-Nov	9-Nov	0.00	0.0
IRIDIAN ASSET MGMT.	036	JNJ	B	146,420	65.55	n/a	22-Apr	7,321.00	5.0
BUCK CAPITAL MGMT	001	JNY	SS	20,000	19.74	n/a	1-Nov	800.00	4.0
FINANCIAL STOCK LP	028	KEY	B	40,000	26.17	n/a	n/a	1,404.48	2.7
DIAMONDBACK CAP MGMT	039	KFT	S	17,500	32.87	n/a	n/a	875.00	5.0
BUCK CAPITAL MGMT	001	KMX	SS	100,000	19.29	n/a	10-Jan	4,000.00	4.0
COUGAR TRADING	044	KSS	B	5,000	47.97	9-Nov	9-Nov	250.00	5.0
PERRY PARTNERS	041	LEAP	B	25,000	37.50	n/a	n/a	750.00	3.0
BUCK CAPITAL MGMT	001	LIZ	SS	50,000	26.62	n/a	31-Oct	2,000.00	4.0
NEUBERGER BERMAN	036	LLL	S	1,900	112.07	n/a	n/a	95.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IRIDIAN ASSET MGMT.	036	LMT	B	173,370	109.87	n/a	n/a	8,668.50	5.0
BUCK CAPITAL MGMT	001	LTD	B	10,000	18.88	n/a	17-Oct	400.00	4.0
MS PRINCIPAL STRATEGIES	041	MAR	B	10,000	35.84	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	MBI	S	1,075	34.88	n/a	n/a	53.75	5.0
MANNING & NAPIER	034	MCCC	B	300,000	4.93	7-Nov	7-Nov	9,000.00	3.0
CHILTON CAPITAL MGMT.	036	MGI	C	70,000	16.18	n/a	n/a	2,800.00	4.0
NEUBERGER BERMAN	036	MHP	S	8,900	47.22	n/a	n/a	445.00	5.0
PILOT ROCK	028	MIR	B	100,000	39.03	n/a	n/a	4,000.00	4.0
PRINCIPLE CAPITAL	040	MW	S	49,900	43.50	n/a	n/a	1,996.00	4.0
BUCK CAPITAL MGMT	001	M	B	40,000	28.71	9-Nov	9-Nov	1,600.00	4.0
COUGAR TRADING	044	M	B	20,000	28.58	9-Nov	9-Nov	1,000.00	5.0
PLATTE RIVER CAPITAL	240	M	S	18,500	28.74	9-Nov	9-Nov	740.00	4.0
NEUBERGER BERMAN	036	NLY	S	12,400	17.30	n/a	n/a	620.00	5.0
HIGHBRIDGE CAPITAL	038	NSC	B	20,000	50.73	n/a	n/a	1,000.00	5.0
NCM CAPITAL MGMT	035	OSIP	B	217,182	41.42	n/a	n/a	10,859.10	5.0
NEUBERGER BERMAN	036	PCG	S	4,970	44.69	n/a	n/a	248.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NCM CAPITAL MGMT	035	PCX	S	5,970	34.78	n/a	n/a	298.50	5.0
BLUE HARBOR	036	PLCE	B	36,000	24.64	26-Sep	9-Nov	1,440.00	4.0
COUGAR TRADING	044	PSUN	SS	20,000	15.27	n/a	9-Nov	1,000.00	5.0
COUGAR TRADING	044	PSUN	S	10,000	15.31	n/a	9-Nov	500.00	5.0
PEREGRINE	030	PSUN	S	365,200	15.32	n/a	9-Nov	18,260.00	5.0
MKT MAKER	099	PSUN	S	74	15.45	n/a	9-Nov	0.00	0.0
GENERAL ELECTIC CO	033	QCOM	B	20,000	37.90	n/a	n/a	400.00	2.0
KORMAN	003	QIAKD	B	200	1.95	n/a	n/a	0.00	0.0
BACKUS	005	RAS	S	3,000	8.38	n/a	n/a	0.00	0.0
BACKUS	005	RIG	S	300	126.16	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	B	20,000	67.53	8-Nov	8-Nov	800.00	4.0
COUGAR TRADING	044	RL	SS	5,000	67.42	8-Nov	8-Nov	250.00	5.0
HIGHBRIDGE CAPITAL	038	ROIAC	B	60,000	3.00	n/a	n/a	3,000.00	5.0
NEUBERGER BERMAN	036	SFG	S	3,700	54.80	n/a	n/a	185.00	5.0
NEUBERGER BERMAN	036	SFL	S	7,800	26.14	n/a	n/a	390.00	5.0
NEUBERGER BERMAN	036	SKS	S	10,700	19.42	n/a	n/a	535.00	5.0
KAICHER	064	SNCR	B	45	32.71	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	039	SPLS	C	35,000	20.97	n/a	27-Jul	1,750.00	5.0
Õ Glenn Redemann		SPN	B	6	0.3400	n/a	n/a	0.00	0.0
Õ Glenn Redemann		SPN	B	6	0.4200	n/a	n/a	0.00	0.0
Õ Glenn Redemann		SPN	SS	4	1.3900	n/a	n/a	0.00	0.0
Õ Glenn Redemann		SPN	SS	4	1.4300	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	SPY	SS	60,000	145.89	n/a	n/a	3,000.00	5.0
HIGHBRIDGE CAPITAL	038	SSCC	S	250,000	10.90	n/a	26-Oct	12,500.00	5.0
TRIVIUM CAP MGMT	251	SY	SS	50,000	26.19	n/a	n/a	2,000.00	4.0
KAICHER	064	TEL	S	15	32.99	n/a	n/a	0.00	0.0
WASHINGTON ASSET	048	TEN	B	6,000	32.89	n/a	n/a	300.00	5.0
BEAR STEARNS ASSET MGMT.	033	TGT	B	100,000	56.07	n/a	27-Jul	4,000.00	4.0
BUCK CAPITAL MGMT	001	TGT	B	20,000	56.42	n/a	27-Jul	800.00	4.0
BACKBAY	041	TIN	S	5,000	45.67	9-Nov	9-Nov	250.00	5.0
FIRST NY SEC/CHRIS	041	TIN	S	12,600	45.45	9-Nov	9-Nov	630.00	5.0
SAXON WOODS ADVISORS	038	TIN	B	200,000	46.54	9-Nov	9-Nov	8,000.00	4.0
XYLEM GLOBAL	091	TIN	B	50,000	46.13	9-Nov	9-Nov	2,500.00	5.0
BUCK CAPITAL MGMT	001	TJX	B	20,000	28.69	21-Sep	5-Nov	800.00	4.0
MILLENIUM PARTNERS	028	TROW	B	50,000	59.02	19-Oct	23-Oct	2,500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	TUP	B	16,500	31.45	n/a	n/a	618.75	3.8

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KAICHER	064	TYC	S	15	40.64	9-Nov	9-Nov	0.00	0.0
HIGHBRIDGE CAPITAL	038	T	B	6,000	39.46	21-Sep	9-Nov	300.00	5.0
NEUBERGER BERMAN	036	T	B	4,220	39.21	21-Sep	9-Nov	211.00	5.0
BUCK CAPITAL MGMT	001	UA	SS	40,000	45.53	n/a	n/a	1,600.00	4.0
NEUBERGER BERMAN	036	UDR	S	82,100	21.50	n/a	n/a	4,105.00	5.0
LOCUS WOOD CAPITAL MGMT	044	UNG	SS	50,000	40.24	n/a	n/a	2,000.00	4.0
DAVIDSON TRUST CO	033	USB	B	800	30.88	n/a	n/a	40.00	5.0
MILLENIUM PARTNERS	028	UTX	B	15,000	74.07	n/a	n/a	750.00	5.0
COUGAR TRADING	044	VC	S	25,000	5.18	n/a	1-Nov	1,250.00	5.0
TRELLUS PARTNERS LP	028	VC	B	100,000	5.39	n/a	1-Nov	3,000.00	3.0
LEHMAN PROPRIETARY TRAD	041	VMC	B	30,000	80.12	n/a	n/a	1,200.00	4.0
FORD FDN.	032	WB	S	25,000	41.74	n/a	n/a	1,250.00	5.0
LED DY	035	WCI	S	4,800	4.42	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	WMT	S	200,000	42.90	n/a	27-Jul	8,000.00	4.0
GENERAL ELECTIC CO	033	WMT	B	111,495	43.11	n/a	27-Jul	4,459.80	4.0
SCOPUS FUND	041	WNC	B	14,900	7.71	n/a	n/a	745.00	5.0
COUGAR TRADING	044	WRNC	B	5,000	35.54	6-Nov	6-Nov	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	WRNC	SS	5,000	33.47	6-Nov	6-Nov	250.00	5.0
COLUMBIA PARTNERS	028	WSM	SS	6,700	29.18	n/a	n/a	201.00	3.0
NCM CAPITAL MGMT	035	WYN	S	68,441	29.04	n/a	n/a	3,422.05	5.0
LEDDY	035	WY	S	300	69.92	1-Nov	1-Nov	0.00	0.0
MEISENBACH CAP MGMT	041	YHOO	B	10,000	25.95	n/a	n/a	300.00	3.0
LEHMAN PROPRIETARY TRAD	041	YSI	B	80,000	10.72	n/a	n/a	4,000.00	5.0
PATTEN & PATTEN	067	ZMH	S	1,055	67.06	n/a	n/a	52.75	5.0
TOTAL (Trade Date):								277,356.59	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	11/09	MKT MAKER (MKT MAKER)	099	BONT	B	100	13.00	9-Nov	9-Nov	0.00	0.0
CRT	11/09	MKT MAKER (MKT MAKER)	099	CENT	B	100	7.00	n/a	18-Sep	0.00	0.0
AO,	11/08	TRUSTCO/SUNTRUST (TRUS10275)	040	CHD	S	266	51.03	7-Nov	7-Nov	7.98	3.0
AO,	11/08	TRUSTCO/SUNTRUST (TRUS10238)	040	CHD	S	28	51.03	7-Nov	7-Nov	0.84	3.0
AO,	11/08	TRUSTCO/SUNTRUST (TRUS7895)	040	CHD	S	73	51.03	7-Nov	7-Nov	2.19	3.0
AO,	11/08	TRUSTCO/SUNTRUST (TRUS9019)	040	CHD	S	9	51.03	7-Nov	7-Nov	0.27	3.0
AO,	11/08	TRUSTCO/SUNTRUST (TRUS6306)	040	CHD	S	119	51.03	7-Nov	7-Nov	3.57	3.0
AO,	11/08	TRUSTCO/SUNTRUST (TRUS9050)	040	CHD	S	18	51.03	7-Nov	7-Nov	0.54	3.0
AO,	11/08	TRUSTCO/SUNTRUST (TRUS6300)	040	CHD	S	577	51.03	7-Nov	7-Nov	17.31	3.0
AO,	11/08	TRUSTCO/SUNTRUST (TRUS1706)	040	CHD	S	28	51.03	7-Nov	7-Nov	0.84	3.0
AO,	11/08	TRUSTCO/SUNTRUST (TRUS5093)	040	CHD	S	9	51.03	7-Nov	7-Nov	0.27	3.0
AO,	11/08	TRUSTCO/SUNTRUST (TRUS9062)	040	CHD	S	9	51.03	7-Nov	7-Nov	0.27	3.0
AO,	11/08	TRUSTCO/SUNTRUST (TRUS1706)	040	CHD	S	9	51.03	7-Nov	7-Nov	0.27	3.0
AO,	11/08	TRUSTCO/SUNTRUST (TRUS6579)	040	CHD	S	28	51.03	7-Nov	7-Nov	0.84	3.0
AO,	11/08	TRUSTCO/SUNTRUST (TRUS6308)	040	CHD	S	9	51.03	7-Nov	7-Nov	0.27	3.0
AO,	11/08	TRUSTCO/SUNTRUST (TRUS9056)	040	CHD	S	1,686	51.03	7-Nov	7-Nov	50.58	3.0
AO,	11/08	TRUSTCO/SUNTRUST (TRUS9061)	040	CHD	S	46	51.03	7-Nov	7-Nov	1.38	3.0
AO,	11/08	TRUSTCO/SUNTRUST (TRUS30000)	040	CHD	S	36	51.03	7-Nov	7-Nov	1.08	3.0
CRT	11/09	APEX CAPITAL MGMT. (APEXMORGAN)	091	JCP	B	45,000	46.87	9-Nov	9-Nov	2250.00	5.0
AO,	11/08	STG INVESTORS (STGIGOLDMA)	041	NOK	B	500	40.23	n/a	n/a	20.00	4.0
AO,	11/08	STG INVESTORS (STGIBANC O)	041	NOK	B	7,500	40.23	n/a	n/a	300.00	4.0
AO,	11/08	STG INVESTORS (STGIMAIN.)	041	NOK	B	12,000	40.23	n/a	n/a	480.00	4.0
AO,	11/06	TRELLUS PARTNERS LP (TRELMEER)	028	PLCE	B	2,082	24.28	26-Sep	9-Nov	104.10	5.0
AO,	11/06	TRELLUS PARTNERS LP (TRELGS)	028	PLCE	B	2,082	24.28	26-Sep	9-Nov	104.10	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/06	TRELLUS PARTNERS LP (TRELMAIN)	028	PLCE	B	25,000	24.28	26-Sep	9-Nov	1250.00 5.0
AO,CRT	11/06	TRELLUS PARTNERS LP (TRELMAIN)	028	PLCE	B	20,836	24.28	26-Sep	9-Nov	1041.80 5.0
CRT	11/09	MKT MAKER (MKT MAKER)	099	PSUN	S	74	15.45	n/a	9-Nov	0.00 0.0
AO,CXL	11/07	NOMURA CAPITAL (NOMUBATT2)	045	SCT	S	19,353	2.55	n/a	n/a	967.65 5.0
AO,CRT	11/07	NOMURA CAPITAL (NOMUBATT2)	045	SCT	S	19,353	2.55	n/a	n/a	580.59 3.0
AO,CXL	11/07	NOMURA CAPITAL (NOMUBSMAIN)	045	SCT	S	25,647	2.55	n/a	n/a	1282.35 5.0
AO,CRT	11/07	NOMURA CAPITAL (NOMUBSMAIN)	045	SCT	S	25,647	2.55	n/a	n/a	769.41 3.0
AO,CXL	11/08	NOMURA CAPITAL (NOMUSTRATE)	045	SCT	S	7,543	2.48	n/a	n/a	377.15 5.0
AO,CRT	11/08	NOMURA CAPITAL (NOMUSTRATE)	045	SCT	S	7,543	2.48	n/a	n/a	226.29 3.0
AO,CXL	11/08	NOMURA CAPITAL (NOMUBATT2)	045	SCT	S	9,486	2.48	n/a	n/a	474.30 5.0
AO,CRT	11/08	NOMURA CAPITAL (NOMUBATT2)	045	SCT	S	9,486	2.48	n/a	n/a	284.58 3.0
AO,CXL	11/08	NOMURA CAPITAL (NOMUBSMAIN)	045	SCT	S	12,971	2.48	n/a	n/a	648.55 5.0
AO,CRT	11/08	NOMURA CAPITAL (NOMUBSMAIN)	045	SCT	S	12,971	2.48	n/a	n/a	389.13 3.0
AO,CXL	11/08	NORTHPOINT (NORP99290)	030	SMSI	B	815	9.96	n/a	n/a	32.60 4.0
AO,	11/08	NORTHPOINT (NORP99290)	030	SMSI	B	815	9.96	n/a	n/a	0.00 0.0
AO,	11/06	TRELLUS PARTNERS LP (TRELMMERR)	028	VC	B	1,180	5.80	n/a	1-Nov	35.40 3.0
AO,	11/06	TRELLUS PARTNERS LP (TRELGS)	028	VC	B	1,180	5.80	n/a	1-Nov	35.40 3.0
AO,CXL	11/06	TRELLUS PARTNERS LP (TRELMAIN)	028	VC	B	14,500	5.80	n/a	1-Nov	435.00 3.0
AO,CRT	11/06	TRELLUS PARTNERS LP (TRELMAIN)	028	VC	B	12,140	5.80	n/a	1-Nov	364.20 3.0
AO,CXL	11/08	NORTHPOINT (NORP99280)	030	VTIV	B	630	34.56	n/a	n/a	25.20 4.0
AO,	11/08	NORTHPOINT (NORP99280)	030	VTIV	B	630	34.56	n/a	n/a	0.00 0.0
AO,CXL	11/08	NORTHPOINT (NORP99290)	030	VTIV	B	310	34.56	n/a	n/a	12.40 4.0
AO,	11/08	NORTHPOINT (NORP99290)	030	VTIV	B	310	34.56	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										1,568.30

TOTAL (Trade Date):	277,356.59
TOTAL (AO, CXL, CRT):	1,568.30

TOTAL (RUN DATE) / NFS:	278,924.89
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Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

Blue: Employee, Affiliate (BCM) and Proprietary Trades.

Red: Trades in stocks with same day Research/MRI.

Type: AO = As Of, CXL = Cancel, CRT = Corrected.

POTENTIAL ANALYST TRADE VIOLATION