



## Daily Compliance Activity Report

Trade Date: 07/24/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 2**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>J COHEN</b>	<b>N27</b>	<b>AAPL</b>	<b>B</b>	<b>10</b>	<b>162.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	ABG	B	5,000	13.15	10-Jun	17-Jul	250.00	5.0
COUGAR TRADING	044	AEO	B	10,000	14.71	6-Mar	16-Jul	500.00	5.0
<b>BUCK</b>	<b>015</b>	<b>AET</b>	<b>S</b>	<b>2,000</b>	<b>40.11</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COOKBIELER	028	ALV	B	20,095	39.16	23-Jul	23-Jul	803.80	4.0
<b>BUCK</b>	<b>015</b>	<b>ALV</b>	<b>SS</b>	<b>1,000</b>	<b>37.89</b>	<b>23-Jul</b>	<b>23-Jul</b>	<b>0.00</b>	<b>0.0</b>
TOKIO MARINE ASSET MGMT	045	AMP	B	31,600	42.40	n/a	n/a	1,580.00	5.0
GRISANTI BROWN & PARTNER	048	AMR	B	23,900	9.02	n/a	n/a	717.00	3.0
COUGAR TRADING	044	AN	B	5,000	10.66	2-Jul	17-Jul	250.00	5.0
WHITE PINE CAPITAL	030	APOG	B	1,000	17.50	n/a	n/a	50.00	5.0
TRELLUS PARTNERS LP	028	ARGN	B	10,000	7.38	24-Jun	17-Jul	300.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>S</b>	<b>100,000</b>	<b>32.90</b>	<b>28-Apr</b>	<b>11-Jul</b>	<b>4,000.00</b>	<b>4.0</b>
RBC CAPITAL MARKETS	034	ARO	B	10,000	33.96	28-Apr	11-Jul	400.00	4.0
SIGMA CAPITAL ASSOCIATES	237	ARO	SS	25,000	33.93	28-Apr	11-Jul	1,250.00	5.0
<b>BUCK</b>	<b>015</b>	<b>BACPRL</b>	<b>S</b>	<b>25</b>	<b>949.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	BAC	S	18,123	31.35	n/a	22-Jul	906.15	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	034	BBBY	B	10,000	28.98	n/a	n/a	400.00	4.0
NEUBERGER BERMAN	036	BBG	S	192,700	40.90	n/a	n/a	8,671.50	4.5
RBC CAPITAL MARKETS	034	BJ	B	10,000	36.78	n/a	27-Jul	400.00	4.0
COLUMBIA PARTNERS	028	BWA	SS	39,397	41.28	10-Jun	17-Jul	1,575.88	4.0
<b>LEDDY</b>	<b>035</b>	<b>BWA</b>	<b>SS</b>	<b>500</b>	<b>41.12</b>	<b>10-Jun</b>	<b>17-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>BWS</b>	<b>SS</b>	<b>1,500</b>	<b>16.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NUMERIC	060	BYD	S	6,200	10.55	30-Apr	30-Apr	186.00	3.0
ROTHSCHILD ASSET	040	CAL	S	34,194	13.02	n/a	n/a	1,538.75	4.5
<b>LEDDY</b>	<b>035</b>	<b>CAT</b>	<b>SS</b>	<b>300</b>	<b>70.46</b>	<b>n/a</b>	<b>23-May</b>	<b>0.00</b>	<b>0.0</b>
GALLEON MGMT LP	033	CCL	SS	10,000	38.51	n/a	26-Jan	500.00	5.0
<b>S CAST</b>	<b>016</b>	<b>CHCG</b>	<b>B</b>	<b>1,000</b>	<b>2.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CLX</b>	<b>SS</b>	<b>10,000</b>	<b>54.03</b>	<b>n/a</b>	<b>24-Jun</b>	<b>400.00</b>	<b>4.0</b>
SANDLER CAPITAL	038	CMG	S	40,000	70.08	24-Jul	24-Jul	2,400.00	6.0
<b>LEDDY</b>	<b>035</b>	<b>CMI</b>	<b>C</b>	<b>250</b>	<b>66.38</b>	<b>n/a</b>	<b>23-May</b>	<b>0.00</b>	<b>0.0</b>
RBC CAPITAL MARKETS	034	COST	B	5,000	64.06	n/a	27-Jul	200.00	4.0
RHO CAPITAL MGMT	041	CPST	SS	6,000	2.81	n/a	n/a	150.00	2.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	CSCO	B	100	21.77	n/a	22-Mar	0.00	0.0
LISTED ERR	099	CSCO	S	100	21.73	n/a	22-Mar	0.00	0.0
CATAPULT	040	CVS	S	25,000	38.08	n/a	n/a	1,000.00	4.0
N STRATTON	014	CYBE	B	99	9.19	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DAI	B	2,600	60.91	n/a	n/a	104.00	4.0
BUCK CAPITAL MGMT	001	DAI	SS	100,000	59.64	n/a	n/a	4,000.00	4.0
DIAMONDBACK CAP MGMT	232	DELL	C	100,000	23.71	n/a	n/a	5,000.00	5.0
LAGRANGE CAP ADV	048	DHX	B	1,200	7.95	n/a	n/a	60.00	5.0
CENTURION GLOBAL MGMT LL	041	DUG	B	17,200	36.71	n/a	n/a	516.00	3.0
BLACKSTONE KAILIX ASS.	048	DVN	S	500,000	91.33	7-May	24-Jul	25,000.00	5.0
BAYPOINT TRADING/XYLEM	091	EXP	B	50,000	24.09	n/a	n/a	2,500.00	5.0
LUCHANSKY1	036	FDO	SS	500	23.54	23-Jul	23-Jul	0.00	0.0
BARR	096	FNM	C	8,000	14.50	n/a	n/a	0.00	0.0
BUCK	015	FOLD	B	1,500	14.88	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	F	S	50,000	5.65	23-Jun	17-Jul	2,500.00	5.0
BUCK CAPITAL MGMT	001	GES	B	10,000	32.19	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CUMBERLAND	038	GLBL	B	30,435	12.32	n/a	n/a	1,217.40	4.0
<b>KARPNANCY</b>	<b>023</b>	<b>GLW</b>	<b>B</b>	<b>200</b>	<b>20.31</b>	<b>n/a</b>	<b>9-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>HART</b>	<b>056</b>	<b>GMTS</b>	<b>B</b>	<b>10</b>	<b>0.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRELLUS PARTNERS LP	028	GNTX	SS	21,838	15.23	24-Jun	23-Jul	1,091.90	5.0
COUGAR TRADING	044	GPI	B	5,000	18.57	10-Jun	17-Jul	250.00	5.0
TRELLUS PARTNERS LP	028	GPI	SS	25,000	18.34	10-Jun	17-Jul	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GPS</b>	<b>SS</b>	<b>50,000</b>	<b>16.37</b>	<b>n/a</b>	<b>11-Jul</b>	<b>2,000.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	GPS	SS	10,000	16.50	n/a	11-Jul	500.00	5.0
<b>BUCK</b>	<b>015</b>	<b>GSK</b>	<b>B</b>	<b>1,400</b>	<b>47.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEW JERSEY DIV OF INV.	220	GS	S	55,000	183.46	19-Mar	14-Jul	2,200.00	4.0
TOKIO MARINE ASSET MGMT	045	GS	B	6,800	184.49	19-Mar	14-Jul	340.00	5.0
COUGAR TRADING	044	GYMB	B	10,000	39.53	11-Jul	11-Jul	500.00	5.0
WHITE PINE CAPITAL	030	HALL	B	2,000	9.61	n/a	n/a	100.00	5.0
TOKIO MARINE ASSET MGMT	045	HAL	B	29,000	44.51	n/a	n/a	1,450.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HD</b>	<b>SS</b>	<b>40,000</b>	<b>24.08</b>	<b>n/a</b>	<b>27-Jul</b>	<b>1,600.00</b>	<b>4.0</b>
TOKIO MARINE ASSET MGMT	045	HIG	B	13,200	64.17	n/a	n/a	660.00	5.0
<b>GAULT</b>	<b>063</b>	<b>HRS</b>	<b>S</b>	<b>1,000</b>	<b>51.38</b>	<b>2-Jun</b>	<b>2-Jun</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>ICON</b>	<b>B</b>	<b>5,000</b>	<b>11.90</b>	<b>n/a</b>	<b>n/a</b>	<b>300.00</b>	<b>6.0</b>
SAXON WOODS ADVISORS	038	INTC	B	200,000	21.89	n/a	n/a	8,000.00	4.0
WHITE PINE CAPITAL	030	IO	B	1,200	15.19	n/a	n/a	60.00	5.0
ADALY INV MGMT	067	IP	B	12,500	23.50	16-Jul	16-Jul	562.50	4.5
<b>BAYPOINT TRADING/XYLEM</b>	<b>091</b>	<b>IP</b>	<b>B</b>	<b>200,000</b>	<b>23.91</b>	<b>16-Jul</b>	<b>16-Jul</b>	<b>10,000.00</b>	<b>5.0</b>
KENNEDY CAPITAL	046	JASO	B	66,300	14.05	n/a	n/a	2,652.00	4.0
COUGAR TRADING	044	JCG	B	5,000	30.43	n/a	30-May	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>SS</b>	<b>50,000</b>	<b>31.19</b>	<b>n/a</b>	<b>11-Jul</b>	<b>2,000.00</b>	<b>4.0</b>
RBC CAPITAL MARKETS	034	JCP	B	10,000	32.01	n/a	11-Jul	400.00	4.0
JP MORGAN VENTURES	046	JNY	S	20,000	15.52	n/a	1-May	1,000.00	5.0
<b>OGORMAN</b>	<b>046</b>	<b>JOSB</b>	<b>B</b>	<b>1,000</b>	<b>24.41</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>SS</b>	<b>20,000</b>	<b>30.07</b>	<b>10-Jul</b>	<b>11-Jul</b>	<b>800.00</b>	<b>4.0</b>
COUGAR TRADING	044	JWN	B	20,000	30.29	10-Jul	11-Jul	1,000.00	5.0
JP MORGAN VENTURES	046	JWN	SS	10,000	30.03	10-Jul	11-Jul	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KMB</b>	<b>SS</b>	<b>10,000</b>	<b>55.49</b>	<b>n/a</b>	<b>24-Jul</b>	<b>400.00</b>	<b>4.0</b>
SYSTEMATIC FINANCIAL MGT	035	KO	S	202,800	51.88	n/a	n/a	7,605.00	3.8
BALYASNY ASSET MGMT	044	KSS	S	25,000	44.18	n/a	17-Jul	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	034	KSS	S	10,000	43.76	n/a	17-Jul	400.00	4.0
<b>COLE</b>	<b>N24</b>	<b>LNET</b>	<b>B</b>	<b>300</b>	<b>3.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	LSCC	B	3,000	2.82	n/a	n/a	60.00	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTM</b>	<b>S</b>	<b>20,000</b>	<b>33.53</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
COUGAR TRADING	044	MCD	S	5,000	58.29	9-Jun	23-Jul	250.00	5.0
<b>BUCK</b>	<b>015</b>	<b>MCK</b>	<b>B</b>	<b>1,250</b>	<b>56.29</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WEISS PECK	040	MEE	C	2,700	65.96	n/a	n/a	135.00	5.0
<b>BARR</b>	<b>096</b>	<b>MENT</b>	<b>S</b>	<b>4,000</b>	<b>14.41</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	MMR	B	1,300	23.30	n/a	n/a	65.00	5.0
<b>AMATURO</b>	<b>018</b>	<b>MPEL</b>	<b>B</b>	<b>1,000</b>	<b>7.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>MTW</b>	<b>S</b>	<b>1,500</b>	<b>28.52</b>	<b>n/a</b>	<b>23-May</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>NT</b>	<b>B</b>	<b>100</b>	<b>7.36</b>	<b>n/a</b>	<b>22-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>NT</b>	<b>S</b>	<b>100</b>	<b>7.37</b>	<b>n/a</b>	<b>22-Mar</b>	<b>0.00</b>	<b>0.0</b>
NOMURA CAPITAL	045	NWA	S	11,500	9.56	n/a	n/a	460.00	4.0
JP MORGAN VENTURES	046	NWL	B	20,000	16.63	n/a	n/a	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NWY</b>	<b>SS</b>	<b>40,000</b>	<b>9.58</b>	<b>n/a</b>	<b>22-May</b>	<b>1,600.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHPOINT	030	ODFL	S	47,270	34.49	n/a	n/a	1,890.80	4.0
COUGAR TRADING	044	PAG	B	5,000	14.41	10-Jun	17-Jul	250.00	5.0
<b>KARPNANCY</b>	<b>023</b>	<b>PCAR</b>	<b>B</b>	<b>200</b>	<b>43.27</b>	<b>n/a</b>	<b>23-Jul</b>	<b>0.00</b>	<b>0.0</b>
WEISS PECK	040	PDE	C	4,500	39.56	n/a	n/a	225.00	5.0
WHITE PINE CAPITAL	030	PERY	B	500	23.98	n/a	n/a	25.00	5.0
WEISS PECK	040	PLCE	SS	11,000	37.45	23-Jun	17-Jul	550.00	5.0
COUGAR TRADING	044	PSUN	SS	20,000	8.97	n/a	11-Jul	800.00	4.0
<b>BUCK</b>	<b>015</b>	<b>QQQQ</b>	<b>S</b>	<b>200</b>	<b>45.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PRINCIPLE CAPITAL	040	RCL	SS	46,400	26.05	23-Jul	23-Jul	1,392.00	3.0
STERLING JOHNSTON	035	RDEN	B	55,000	16.72	10-Jun	24-Jun	2,200.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>S</b>	<b>30,000</b>	<b>61.94</b>	<b>7-Feb</b>	<b>29-May</b>	<b>1,200.00</b>	<b>4.0</b>
COUGAR TRADING	044	RL	B	5,000	62.91	7-Feb	29-May	250.00	5.0
VISIUM/BALY HOWARD	038	RL	B	10,000	61.99	7-Feb	29-May	500.00	5.0
GALT INVESTMENT	041	RRGB	B	20,000	25.19	n/a	n/a	1,000.00	5.0
<b>BUCK</b>	<b>015</b>	<b>RYN</b>	<b>S</b>	<b>250</b>	<b>46.97</b>	<b>n/a</b>	<b>24-Jul</b>	<b>0.00</b>	<b>0.0</b>
NOMURA CAPITAL	045	SGLP	B	20,000	7.75	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ZOLIDIS	011	SKX	B	900	19.85	n/a	13-Mar	0.00	0.0
ZOLIDIS	011	SKX	C	1,300	20.38	n/a	13-Mar	0.00	0.0
BUCK	015	SLB	B	100	98.39	n/a	n/a	0.00	0.0
LEDDY	035	SLB	S	150	98.26	n/a	n/a	0.00	0.0
COLE	N24	SNS	B	200	7.31	n/a	n/a	0.00	0.0
LEDDY	035	SSCC	S	2,500	5.39	7-Apr	11-Jul	0.00	0.0
COUGAR TRADING	044	SSO	S	10,000	61.22	n/a	n/a	500.00	5.0
KORMAN	003	TEN	C	13,000	13.17	n/a	n/a	0.00	0.0
MCCARTAN	028	TEX	S	100	47.33	24-Jul	24-Jul	0.00	0.0
PRINCIPLE CAPITAL	040	TIF	SS	29,800	39.12	n/a	2-Jun	894.00	3.0
SCOPUS FUND	041	TIN	B	50,000	13.44	29-Apr	11-Jul	2,500.00	5.0
HOLDEN CAPITAL MGMT	035	TITN	SS	50,000	28.59	n/a	n/a	2,500.00	5.0
J L F ASSET MGMT	039	TJX	S	40,000	33.53	n/a	11-Jul	1,600.00	4.0
RBC CAPITAL MARKETS	034	TJX	B	20,000	33.82	n/a	11-Jul	800.00	4.0
THIRD COAST CAPITAL	035	TJX	S	45,000	33.40	n/a	11-Jul	2,250.00	5.0
RBC CAPITAL MARKETS	034	TLB	SS	50,000	13.28	17-Apr	23-Jul	2,000.00	4.0
CHARTER OAK	033	TLP	S	4,900	23.11	n/a	n/a	245.00	5.0



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PRINCIPLE CAPITAL	040	TPX	S	149,700	10.05	n/a	n/a	4,491.00	3.0
<b>BUCK</b>	<b>015</b>	<b>TRW</b>	<b>SS</b>	<b>1,000</b>	<b>16.62</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>HART</b>	<b>056</b>	<b>TWTC</b>	<b>S</b>	<b>75</b>	<b>15.38</b>	<b>n/a</b>	<b>4-Jan</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	URBN	B	5,000	32.06	15-May	9-Jul	250.00	5.0
WEISS PECK	040	URBN	SS	9,000	31.19	15-May	9-Jul	450.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>URBN</b>	<b>C</b>	<b>2,000</b>	<b>31.30</b>	<b>15-May</b>	<b>9-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>COLE</b>	<b>N24</b>	<b>VC</b>	<b>B</b>	<b>1,500</b>	<b>2.17</b>	<b>n/a</b>	<b>17-Jul</b>	<b>0.00</b>	<b>0.0</b>
ARIENCE CAPITAL	036	WAG	SS	87,000	34.13	n/a	n/a	4,350.00	5.0
RBC CAPITAL MARKETS	034	WAG	B	10,000	34.70	n/a	n/a	400.00	4.0
COUGAR TRADING	044	WMT	SS	5,000	57.46	30-Jun	11-Jul	250.00	5.0
FRONTPOINT CHRIS C	041	WNC	SS	6,700	9.22	n/a	n/a	268.00	4.0
FRONTPOINT CHRIS C	041	WYNN	B	4,000	91.47	n/a	n/a	160.00	4.0
FRONTPOINT CHRIS C	041	X	B	2,400	135.17	n/a	n/a	96.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>158,304.68</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	07/24	WHITE PINE CAPITAL (WPIN1644)	030	BAC	S	5,000	31.35	n/a	22-Jul	250.00 5.0
AO,CRT	07/23	BUCK CAPITAL MGMT (BUCK)	015	BACKH	S	10	1.30	n/a	n/a	0.00 0.0
AO,CXL	07/23	BUCK CAPITAL MGMT (BUCK)	015	BACKH	S	10	1.30	n/a	n/a	0.00 0.0
AO,	07/23	METROPOLITAN CAPITAL (METRHARTZ)	044	DSW	S	2,900	13.50	8-May	9-Jul	145.00 5.0
AO,	07/23	METROPOLITAN CAPITAL (METRDEUTSC)	044	DSW	S	1,250	13.50	8-May	9-Jul	62.50 5.0
AO,	07/23	METROPOLITAN CAPITAL (METRGS BUL)	044	DSW	S	16,100	13.50	8-May	9-Jul	805.00 5.0
AO,	07/23	METROPOLITAN CAPITAL (METRSPEAR)	044	DSW	S	900	13.50	8-May	9-Jul	45.00 5.0
AO,CXL	07/23	MORGAN LEWIS/MLH (MORLBS)	046	FDO	SS	15,000	23.71	23-Jul	23-Jul	750.00 5.0
AO,CRT	07/23	MORTAR ROCK (MORTGSEOSP)	033	FDO	SS	15,000	23.71	23-Jul	23-Jul	750.00 5.0
AO,CXL	07/23	AAD CAPITAL (AADCMSPB)	048	GCI	S	200,000	18.79	n/a	n/a	8000.00 4.0
AO,CRT	07/23	AAD CAPITAL (AADCMSPB)	048	GCI	S	200,000	18.79	n/a	n/a	6000.00 3.0
AO,CXL	07/23	MORGAN LEWIS/MLH (MORLBS)	046	IWM	B	25,000	71.70	n/a	n/a	1250.00 5.0
AO,CRT	07/23	MORTAR ROCK (MORTGSEOSP)	033	IWM	B	25,000	71.70	n/a	n/a	1250.00 5.0
AO,	07/23	LISTED ERR (LISTED ERR)	099	M	B	12,400	19.25	14-Jul	14-Jul	0.00 0.0
AO,	07/23	NEUBERGER BERMAN (NBER770152)	036	ME	S	9,800	27.32	n/a	n/a	441.00 4.5
AO,	07/23	NEUBERGER BERMAN (NBER550030)	036	ME	S	43,800	27.32	n/a	n/a	1971.00 4.5
AO,	07/23	COLUMBUS CIRCLE (COLC4400)	036	NKE	B	68,000	59.29	n/a	n/a	2720.00 4.0
AO,CXL	07/23	MTB INV ADV (MTBISMSLEE)	034	ROST	B	400	39.71	n/a	n/a	16.00 4.0
AO,CRT	07/23	MTB INV ADV (MTBISMSLEE)	034	ROST	B	400	39.71	n/a	n/a	20.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>4,443.50</b>

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TOTAL (Trade Date):	158,304.68
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TOTAL (AO, CXL, CRT):	4,443.50
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>162,748.18</b>
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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