



Daily Compliance Activity Report

Trade Date: 08/09/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Ravi Sadarangani		AAPL	S	100261	18.500	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	AGN	S	400	64.84	n/a	9-Aug	20.00	5.0
EXIS CAPITAL	044	ARO	B	30,000	24.98	n/a	6-Aug	1,500.00	5.0
MILLRACE FUND LP	028	AXL	S	30,300	10.25	n/a	4-Aug	1,212.00	4.0
IRIDIAN ASSET MGMT.	036	BAC	S	14,260	13.79	n/a	19-Jul	713.00	5.0
CASTLE ARK	031	BWA	B	70,000	47.53	n/a	2-Aug	3,500.00	5.0
BMO NESBITT BURNS	041	BZ	S	5,000	6.64	n/a	n/a	250.00	5.0
CHARTER OAK	033	CHD	B	21,400	62.78	n/a	6-Aug	1,070.00	5.0
TROUBH PART	067	COH	B	20,000	39.18	n/a	4-Aug	1,000.00	5.0
IRIDIAN ASSET MGMT.	036	CSX	B	4,290	53.75	n/a	n/a	214.50	5.0
FARALLON CAP MGMT	040	DDS	SS	70,000	22.50	n/a	n/a	2,800.00	4.0
LEVIN CAPITAL STRATEGIES	012	DVN	B	15,000	65.07	n/a	19-Jul	450.00	3.0
OZ MGMT	040	F	B	75,000	13.04	n/a	4-Aug	2,250.00	3.0
BUCK CAPITAL MGMT	001	GCO	B	20,000	26.96	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVEL GLOBAL SHARED ACCT	257	GES	S	50,000	38.99	n/a	19-Jul	1,500.00	3.0
SUFFOLK CAPITAL MGMT	040	GIS	S	366,000	33.67	n/a	n/a	14,640.00	4.0
SAC CHICAGO ANDREW	031	HD	B	25,000	28.72	n/a	20-Jul	875.00	3.5
DAVIDSON KEMPNER ADVISOR	040	HPQ	B	50,000	42.88	n/a	n/a	2,500.00	5.0
SONTERRA CAP	041	HUN	B	55,358	10.15	n/a	n/a	2,214.32	4.0
IRIDIAN ASSET MGMT.	036	IP	B	19,500	24.02	n/a	28-Jul	975.00	5.0
PATTEN & PATTEN	067	ITT	S	800	46.27	n/a	30-Apr	40.00	5.0
PZENA INV ADV	044	JCP	B	5,325	21.60	n/a	6-Aug	186.38	3.5
NEUSTRADA CAP LLC	085	JOE	SS	37,400	26.76	n/a	n/a	1,122.00	3.0
EXIS CAPITAL	044	KSS	SS	5,000	48.59	n/a	6-Aug	250.00	5.0
BNP PARIBAS SEC	040	MCD	S	5,000	72.98	n/a	9-Aug	200.00	4.0
CIRCLE T/SES PART	035	MGM	B	50,000	10.84	n/a	4-Aug	2,000.00	4.0
BASIX	033	M	B	48,000	19.76	n/a	6-Aug	1,440.00	3.0
1798 CAP/LOMBARD ASSET	040	OC	C	29,375	28.61	n/a	n/a	1,468.75	5.0
JP MORGAN VENTURES	046	PG	B	10,000	60.10	n/a	4-Aug	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	PVH	B	5,000	53.55	n/a	19-Jul	250.00	5.0
EXIS CAPITAL	044	ROST	SS	10,000	51.41	n/a	n/a	500.00	5.0
EMERSON CAPITAL MGMT	048	RYL	S	15,000	17.54	n/a	n/a	750.00	5.0
SENATOR INVESTMENT GROUP	036	SLM	S	50,000	12.22	n/a	4-Aug	1,500.00	3.0
1798 CAP/LOMBARD ASSET	040	SPY	SS	7,400	112.65	n/a	n/a	370.00	5.0
DAVIDSON KEMPNER ADVISOR	040	SPY	SS	12,487	112.65	n/a	n/a	624.35	5.0
DAVIDSON KEMPNER ADVISOR	040	TDC	B	25,000	31.74	n/a	n/a	1,250.00	5.0
TROUBH PART	067	TIF	B	10,000	44.29	n/a	n/a	500.00	5.0
GEORGE WEISS	034	TIN	C	1,500	19.10	n/a	27-Jul	60.00	4.0
DAVIDSON KEMPNER ADVISOR	040	TXI	S	30,000	33.52	n/a	n/a	1,500.00	5.0
MATRIX ASSET ADV.	036	TYC	S	5,000	37.86	n/a	29-Jul	200.00	4.0
IRIDIAN ASSET MGMT.	036	WFC	S	7,110	27.57	n/a	22-Jul	355.50	5.0
LEVEL GLOBAL SHARED ACCT	257	WRC	S	50,000	45.25	n/a	6-Aug	1,500.00	3.0
TOTAL (Trade Date) :								55,050.80	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	08/09	TROUBH PART (TROUGOLD)	067	COH	B	20,000	39.18	n/a	4-Aug	1000.00	5.0
AO,	08/06	FRONTIER (FRON1949)	048	JBL	B	3,700	13.34	n/a	n/a	111.00	3.0
AO,	08/06	FRONTIER (FRON1951)	048	JBL	B	1,000	13.34	n/a	n/a	30.00	3.0
AO,	08/06	FRONTIER (FRON1952)	048	JBL	B	7,100	13.34	n/a	n/a	213.00	3.0
AO,	08/06	FRONTIER (FRON1939)	048	JBL	B	4,200	13.34	n/a	n/a	126.00	3.0
AO,	08/06	FRONTIER (FRON1938)	048	JBL	B	5,100	13.34	n/a	n/a	153.00	3.0
AO,	08/06	FRONTIER (FRON1937)	048	JBL	B	3,600	13.34	n/a	n/a	108.00	3.0
AO,	08/06	FRONTIER (FRON1273)	048	JBL	B	1,900	13.34	n/a	n/a	57.00	3.0
AO,	08/06	FRONTIER (FRON1243)	048	JBL	B	700	13.34	n/a	n/a	21.00	3.0
AO,	08/06	FRONTIER (FRON526)	048	JBL	B	6,100	13.34	n/a	n/a	183.00	3.0
AO,	08/06	FRONTIER (FRON847)	048	JBL	B	130	13.34	n/a	n/a	3.90	3.0
AO,	08/06	FRONTIER (FRON153)	048	JBL	B	800	13.34	n/a	n/a	24.00	3.0
AO,	08/06	FRONTIER (FRON143)	048	JBL	B	16,100	13.34	n/a	n/a	483.00	3.0
AO,	08/06	FRONTIER (FRON1244)	048	JBL	B	500	13.34	n/a	n/a	15.00	3.0
AO,	08/06	FRONTIER (FRON1242)	048	JBL	B	1,000	13.34	n/a	n/a	30.00	3.0
AO,	08/06	FRONTIER (FRON1336)	048	JBL	B	6,400	13.34	n/a	n/a	192.00	3.0
AO,	08/06	FRONTIER (FRON932)	048	JBL	B	400	13.34	n/a	n/a	12.00	3.0
AO,	08/06	FRONTIER (FRON1486)	048	JBL	B	10,100	13.34	n/a	n/a	303.00	3.0
AO,	08/06	FRONTIER (FRON113)	048	JBL	B	26,600	13.34	n/a	n/a	798.00	3.0
AO,	08/06	FRONTIER (FRON1561)	048	JBL	B	3,800	13.34	n/a	n/a	114.00	3.0
AO,	08/06	FRONTIER (FRON111)	048	JBL	B	600	13.34	n/a	n/a	18.00	3.0
AO,	08/06	FRONTIER (FRON110)	048	JBL	B	1,000	13.34	n/a	n/a	30.00	3.0
AO,	08/06	FRONTIER (FRON1507)	048	JBL	B	8,900	13.34	n/a	n/a	267.00	3.0
AO,	08/06	FRONTIER (FRON109)	048	JBL	B	15,300	13.34	n/a	n/a	459.00	3.0
AO,	08/06	FRONTIER (FRON1399)	048	JBL	B	4,400	13.34	n/a	n/a	132.00	3.0
AO,	08/06	FRONTIER (FRON107)	048	JBL	B	700	13.34	n/a	n/a	21.00	3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/06	FRONTIER (FRON86)	048	JBL	B	5,400	13.34	n/a	n/a	162.00 3.0
AO,	08/06	FRONTIER (FRON84)	048	JBL	B	1,500	13.34	n/a	n/a	45.00 3.0
AO,	08/06	FRONTIER (FRON1656)	048	JBL	B	1,400	13.34	n/a	n/a	42.00 3.0
AO,	08/06	FRONTIER (FRON74)	048	JBL	B	10,200	13.34	n/a	n/a	306.00 3.0
AO,	08/06	FRONTIER (FRON67)	048	JBL	B	4,600	13.34	n/a	n/a	138.00 3.0
AO,CXL	08/06	BANK OF AMERICA/MERRILL (BAMLML)	259	OC	B	5,000	27.84	n/a	n/a	250.00 5.0
AO,CRT	08/06	BANK OF AMERICA/MERRILL (BAMLML)	259	OC	B	5,000	27.84	n/a	n/a	200.00 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL34)	036	TMO	S	17	45.34	n/a	n/a	0.68 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC5700)	036	TMO	S	12	45.34	n/a	n/a	0.48 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL35)	036	TMO	S	12	45.34	n/a	n/a	0.48 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1491)	036	TMO	S	14	45.34	n/a	n/a	0.56 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL36)	036	TMO	S	13	45.34	n/a	n/a	0.52 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC2740)	036	TMO	S	177	45.34	n/a	n/a	7.08 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1670)	036	TMO	S	196	45.34	n/a	n/a	7.84 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL15)	036	TMO	S	7	45.34	n/a	n/a	0.28 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC3930)	036	TMO	S	36	45.34	n/a	n/a	1.44 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL6)	036	TMO	S	23	45.34	n/a	n/a	0.92 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1020)	036	TMO	S	187	45.34	n/a	n/a	7.48 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4500)	036	TMO	S	504	45.34	n/a	n/a	20.16 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1025)	036	TMO	S	942	45.34	n/a	n/a	37.68 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1495)	036	TMO	S	70	45.34	n/a	n/a	2.80 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC5010)	036	TMO	S	457	45.34	n/a	n/a	18.28 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1489)	036	TMO	S	28	45.34	n/a	n/a	1.12 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC5025)	036	TMO	S	1,296	45.34	n/a	n/a	51.84 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4225)	036	TMO	S	140	45.34	n/a	n/a	5.60 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC5030)	036	TMO	S	532	45.34	n/a	n/a	21.28 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1487)	036	TMO	S	103	45.34	n/a	n/a	4.12 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC5070)	036	TMO	S	2,574	45.34	n/a	n/a	102.96 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1380)	036	TMO	S	2,052	45.34	n/a	n/a	82.08 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/06	COLUMBUS CIRCLE (COLC5090)	036	TMO	S	261	45.34	n/a	n/a	10.44 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1486)	036	TMO	S	38	45.34	n/a	n/a	1.52 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC5360)	036	TMO	S	373	45.34	n/a	n/a	14.92 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1485)	036	TMO	S	410	45.34	n/a	n/a	16.40 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC5600)	036	TMO	S	783	45.34	n/a	n/a	31.32 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1480)	036	TMO	S	47	45.34	n/a	n/a	1.88 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC5710)	036	TMO	S	26	45.34	n/a	n/a	1.04 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC0520)	036	TMO	S	606	45.34	n/a	n/a	24.24 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC6930)	036	TMO	S	280	45.34	n/a	n/a	11.20 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC6910)	036	TMO	S	25	45.34	n/a	n/a	1.00 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC6940)	036	TMO	S	159	45.34	n/a	n/a	6.36 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1493)	036	TMO	S	33	45.34	n/a	n/a	1.32 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC6720)	036	TMO	S	224	45.34	n/a	n/a	8.96 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4210)	036	TMO	S	66	45.34	n/a	n/a	2.64 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC6950)	036	TMO	S	168	45.34	n/a	n/a	6.72 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4320)	036	TMO	S	6	45.34	n/a	n/a	0.24 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL29)	036	TMO	S	8	45.34	n/a	n/a	0.32 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4310)	036	TMO	S	34	45.34	n/a	n/a	1.36 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL39)	036	TMO	S	8	45.34	n/a	n/a	0.32 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1370)	036	TMO	S	187	45.34	n/a	n/a	7.48 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL42)	036	TMO	S	11	45.34	n/a	n/a	0.44 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC3620)	036	TMO	S	24	45.34	n/a	n/a	0.96 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL2)	036	TMO	S	6	45.34	n/a	n/a	0.24 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1680)	036	TMO	S	140	45.34	n/a	n/a	5.60 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC2310)	036	TMO	S	196	45.34	n/a	n/a	7.84 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4590)	036	TMO	S	24	45.34	n/a	n/a	0.96 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4110)	036	TMO	S	15	45.34	n/a	n/a	0.60 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC0500)	036	TMO	S	66	45.34	n/a	n/a	2.64 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC8150)	036	TMO	S	70	45.34	n/a	n/a	2.80 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4120)	036	TMO	S	84	45.34	n/a	n/a	3.36 4.0

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AO,	08/06	COLUMBUS CIRCLE (COLC4650)	036	TMO	S	149	45.34	n/a	n/a	5.96 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCNTRS4)	036	TMO	S	36	45.34	n/a	n/a	1.44 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC6300)	036	TMO	S	168	45.34	n/a	n/a	6.72 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC2900)	036	TMO	S	215	45.34	n/a	n/a	8.60 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCNTRS1)	036	TMO	S	18	45.34	n/a	n/a	0.72 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL38)	036	TMO	S	23	45.34	n/a	n/a	0.92 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL3)	036	TMO	S	11	45.34	n/a	n/a	0.44 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCNTRS3)	036	TMO	S	23	45.34	n/a	n/a	0.92 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4350)	036	TMO	S	75	45.34	n/a	n/a	3.00 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4300)	036	TMO	S	187	45.34	n/a	n/a	7.48 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCNTRS9)	036	TMO	S	14	45.34	n/a	n/a	0.56 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4340)	036	TMO	S	35	45.34	n/a	n/a	1.40 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4330)	036	TMO	S	4	45.34	n/a	n/a	0.16 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL24)	036	TMO	S	21	45.34	n/a	n/a	0.84 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC2220)	036	TMO	S	43	45.34	n/a	n/a	1.72 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC6850)	036	TMO	S	47	45.34	n/a	n/a	1.88 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL28)	036	TMO	S	7	45.34	n/a	n/a	0.28 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4420)	036	TMO	S	1,213	45.34	n/a	n/a	48.52 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC2210)	036	TMO	S	5	45.34	n/a	n/a	0.20 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL26)	036	TMO	S	8	45.34	n/a	n/a	0.32 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1300)	036	TMO	S	66	45.34	n/a	n/a	2.64 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4610)	036	TMO	S	187	45.34	n/a	n/a	7.48 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCNTRS8)	036	TMO	S	14	45.34	n/a	n/a	0.56 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4450)	036	TMO	S	112	45.34	n/a	n/a	4.48 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4200)	036	TMO	S	30	45.34	n/a	n/a	1.20 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL8)	036	TMO	S	27	45.34	n/a	n/a	1.08 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC5800)	036	TMO	S	168	45.34	n/a	n/a	6.72 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1650)	036	TMO	S	42	45.34	n/a	n/a	1.68 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL22)	036	TMO	S	10	45.34	n/a	n/a	0.40 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC6400)	036	TMO	S	84	45.34	n/a	n/a	3.36 4.0

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AO,	08/06	COLUMBUS CIRCLE (COLC6900)	036	TMO	S	1,026	45.34	n/a	n/a	41.04 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL37)	036	TMO	S	21	45.34	n/a	n/a	0.84 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC8100)	036	TMO	S	24	45.34	n/a	n/a	0.96 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC6700)	036	TMO	S	168	45.34	n/a	n/a	6.72 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL21)	036	TMO	S	12	45.34	n/a	n/a	0.48 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1260)	036	TMO	S	2,425	45.34	n/a	n/a	97.00 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4640)	036	TMO	S	84	45.34	n/a	n/a	3.36 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL10)	036	TMO	S	11	45.34	n/a	n/a	0.44 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC3810)	036	TMO	S	66	45.34	n/a	n/a	2.64 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1299)	036	TMO	S	9	45.34	n/a	n/a	0.36 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCNTRS6)	036	TMO	S	101	45.34	n/a	n/a	4.04 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC5040)	036	TMO	S	177	45.34	n/a	n/a	7.08 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC900)	036	TMO	S	560	45.34	n/a	n/a	22.40 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL40)	036	TMO	S	8	45.34	n/a	n/a	0.32 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC5000)	036	TMO	S	457	45.34	n/a	n/a	18.28 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4050)	036	TMO	S	1,399	45.34	n/a	n/a	55.96 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCNTRS5)	036	TMO	S	25	45.34	n/a	n/a	1.00 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC3060)	036	TMO	S	914	45.34	n/a	n/a	36.56 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1501)	036	TMO	S	19	45.34	n/a	n/a	0.76 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCNTRS2)	036	TMO	S	23	45.34	n/a	n/a	0.92 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC5050)	036	TMO	S	3,143	45.34	n/a	n/a	125.72 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC3610)	036	TMO	S	19	45.34	n/a	n/a	0.76 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL27)	036	TMO	S	6	45.34	n/a	n/a	0.24 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4440)	036	TMO	S	8,486	45.34	n/a	n/a	339.44 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1298)	036	TMO	S	89	45.34	n/a	n/a	3.56 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1492)	036	TMO	S	56	45.34	n/a	n/a	2.24 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4400)	036	TMO	S	13,860	45.34	n/a	n/a	554.40 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCNTRS10)	036	TMO	S	15	45.34	n/a	n/a	0.60 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1488)	036	TMO	S	56	45.34	n/a	n/a	2.24 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1640)	036	TMO	S	485	45.34	n/a	n/a	19.40 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/06	COLUMBUS CIRCLE (COLC1494)	036	TMO	S	51	45.34	n/a	n/a	2.04 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4010)	036	TMO	S	420	45.34	n/a	n/a	16.80 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1490)	036	TMO	S	560	45.34	n/a	n/a	22.40 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC6945)	036	TMO	S	66	45.34	n/a	n/a	2.64 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC5080)	036	TMO	S	1,045	45.34	n/a	n/a	41.80 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC8000)	036	TMO	S	1,492	45.34	n/a	n/a	59.68 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1497)	036	TMO	S	27	45.34	n/a	n/a	1.08 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCNTRS11)	036	TMO	S	7	45.34	n/a	n/a	0.28 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC7050)	036	TMO	S	373	45.34	n/a	n/a	14.92 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4220)	036	TMO	S	61	45.34	n/a	n/a	2.44 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC5005)	036	TMO	S	271	45.34	n/a	n/a	10.84 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC5310)	036	TMO	S	24	45.34	n/a	n/a	0.96 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC8050)	036	TMO	S	1,968	45.34	n/a	n/a	78.72 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL11)	036	TMO	S	6	45.34	n/a	n/a	0.24 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC4810)	036	TMO	S	10	45.34	n/a	n/a	0.40 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC5810)	036	TMO	S	21	45.34	n/a	n/a	0.84 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1010)	036	TMO	S	550	45.34	n/a	n/a	22.00 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL14)	036	TMO	S	6	45.34	n/a	n/a	0.24 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1100)	036	TMO	S	746	45.34	n/a	n/a	29.84 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL16)	036	TMO	S	5	45.34	n/a	n/a	0.20 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC2710)	036	TMO	S	42	45.34	n/a	n/a	1.68 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC0710)	036	TMO	S	1,119	45.34	n/a	n/a	44.76 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1496)	036	TMO	S	79	45.34	n/a	n/a	3.16 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL17)	036	TMO	S	17	45.34	n/a	n/a	0.68 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC0510)	036	TMO	S	70	45.34	n/a	n/a	2.80 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL19)	036	TMO	S	7	45.34	n/a	n/a	0.28 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC2730)	036	TMO	S	47	45.34	n/a	n/a	1.88 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL20)	036	TMO	S	3	45.34	n/a	n/a	0.12 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC2720)	036	TMO	S	19	45.34	n/a	n/a	0.76 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL25)	036	TMO	S	13	45.34	n/a	n/a	0.52 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/06	COLUMBUS CIRCLE (COLC1498)	036	TMO	S	30	45.34	n/a	n/a	1.20 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL30)	036	TMO	S	25	45.34	n/a	n/a	1.00 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1499)	036	TMO	S	30	45.34	n/a	n/a	1.20 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL31)	036	TMO	S	6	45.34	n/a	n/a	0.24 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC1500)	036	TMO	S	28	45.34	n/a	n/a	1.12 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCCALL32)	036	TMO	S	4	45.34	n/a	n/a	0.16 4.0
AO,	08/06	COLUMBUS CIRCLE (COLC6500)	036	TMO	S	196	45.34	n/a	n/a	7.84 4.0

TOTAL (AO, CXL, CRT) : **7,946.90**

TOTAL (Trade Date) : 55,050.80
TOTAL (AO, CXL, CRT) : 7,946.90

TOTAL (RUN DATE) / NFS: **62,997.70**

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