



Daily Compliance Activity Report

Trade Date: 05/02/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MICHAEL ALEXANDER SM	FID	AAPL7	S	10	1.66	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AEO	S	200,000	18.75	n/a	2-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	S	50,000	18.64	n/a	2-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	S	55,500	18.67	n/a	2-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	C	100,000	14.64	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	C	41,200	14.70	n/a	n/a	non-brg	4.0
BRONSON POINT	036	ASH	B	25,000	85.56	n/a	n/a	750.00	0.0
f JONATHAN RICHARD HAR	FID	AXL	S	360	13.83	n/a	2-May	0.00	0.0
ROSEDALE CAPITAL	046	AXL	S	20,000	13.66	n/a	2-May	800.00	0.0
TALO	006	AXL	B	25,000	13.75	n/a	2-May	1,250.00	0.0
f CLIFFORD A LONGLEY	FID	BAGL	B	6	14.53	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BBBY	SS	14,000	69.64	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BBBY	SS	40,000	69.38	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	BBW	B	1000	5.95	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BLMN	S	61,883	20.91	n/a	n/a	non-brg	4.0
HIGHFIELDS CAP MGMT	030	CAG	SS	200,000	35.09	n/a	n/a	8,000.00	0.0
CORNERSTONE	030	CSX	S	126,373	24.37	n/a	n/a	3,791.19	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		DAL	S	28,000	17.47	n/a	24-Apr	non-brg	1.0
SCOPUS FUND	041	DG	B	25,000	52.42	n/a	26-Mar	1,000.00	0.0
⚡ BUCK CAPITAL MGMT		EBAY	S	100,000	52.60	n/a	n/a	non-brg	4.0
CR INTRINIC INVESTMENT	044	EMR	B	10,000	55.58	n/a	n/a	300.00	0.0
⚡ GERALD EPHRAM COHEN	FID	ESSX	B	1000	4.33	n/a	n/a	0.00	0.0
PAR CAPITAL	268	EXPE	B	52,900	56.69	n/a	n/a	2,116.00	0.0
⚡ BUCK CAPITAL MGMT		FINL	B	30,000	19.67	n/a	1-May	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FINL	B	30,000	19.75	n/a	1-May	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FNP	B	20,000	20.91	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FNP	B	30,000	20.77	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FNP	B	50,000	20.80	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		FOR	S	14,886	21.70	n/a	26-Mar	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FRAN	B	20,000	26.85	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FRAN	B	5,000	27.15	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		FRAN	B	5,000	27.15	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		FRAN	B	5,000	27.16	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		FRAN	B	5,000	27.16	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		FWM	B	18,731	17.62	n/a	n/a	non-brg	1.0
J. GOLDMAN	028	F	SS	225,000	13.43	n/a	2-May	11,250.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
⚡ BUCK CAPITAL MGMT		GIL	B	30,000	41.36	n/a	2-May	non-brg 4.0
⚡ BUCK CAPITAL MGMT		GM	S	37,000	31.55	n/a	2-May	non-brg 1.0
CAERUS GLOBAL	041	GM	S	32,500	31.36	n/a	2-May	1,300.00 0.0
LEVIN CAPITAL STRATEGIES	041	GM	B	10,000	31.36	n/a	2-May	300.00 0.0
f MICHAEL C PERILLO	FID	GM	S	20	2.84	n/a	2-May	0.00 0.0
⚡ BUCK CAPITAL MGMT		HBI	S	20,000	49.45	n/a	24-Apr	non-brg 4.0
CAMBIAR CAP	046	HBI	S	164,118	49.40	n/a	24-Apr	6,564.72 0.0
KLEINHEINZ CAP PART	031	HOS	B	25,000	48.48	n/a	n/a	1,250.00 0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	33,459	43.59	n/a	2-May	1,672.95 0.0
EPOCH INV MGMT	030	IP	B	359,820	44.56	n/a	2-May	10,794.60 0.0
NOMURA/ANGEL LANE PRINCIPAL	040	IP	B	50,000	43.94	n/a	2-May	1,500.00 0.0
⚡ BUCK CAPITAL MGMT		KEG	B	145,000	5.92	n/a	2-May	non-brg 3.0
⚡ BUCK CAPITAL MGMT		KEG	B	25,000	5.88	n/a	2-May	non-brg 1.0
⚡ BUCK CAPITAL MGMT		KORS	S	30,000	56.59	n/a	22-Apr	non-brg 4.0
FIRST NY SEC/CHRIS	041	LCC	B	19,000	16.85	n/a	24-Apr	950.00 0.0
VERITION	028	LCC	B	10,000	16.84	n/a	24-Apr	300.00 0.0
BALYASNY ASSET MGMT	044	LULU	SS	25,000	76.49	n/a	1-May	1,250.00 0.0
⚡ BUCK CAPITAL MGMT		LULU	S	10,000	76.50	n/a	1-May	non-brg 2.5
BRONSON POINT	036	MAT	C	25,000	45.03	n/a	n/a	750.00 0.0
ELM RIDGE ADVISORS	044	MBI	B	17,811	8.99	n/a	n/a	712.44 0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		MFRM	SS	12,396	37.42	n/a	n/a	non-brg	4.0
CORVEX CAPITAL	041	MWV	B	100,000	33.95	n/a	30-Apr	3,000.00	0.0
PRIMECAP MGMT	084	NUAN	B	50,000	19.00	n/a	n/a	2,000.00	0.0
CR INTRINSIC/CHRIS C	041	PAYX	B	10,000	36.80	n/a	n/a	300.00	0.0
B BUCK CAPITAL MGMT		PII	B	6,000	83.82	n/a	n/a	non-brg	0.8
BALYASNY ASSET MGMT	044	PMT	B	25,000	25.11	n/a	n/a	1,250.00	0.0
B BUCK CAPITAL MGMT		PVH	B	10,000	114.36	n/a	22-Apr	non-brg	4.0
CRAMER ROSENTHAL	070	PVH	B	31,550	114.21	n/a	22-Apr	1,262.00	0.0
SANDLER O'NEILL ASSET	031	RF	B	50,000	8.45	n/a	n/a	1,500.00	0.0
B BUCK CAPITAL MGMT		RLGY	S	57,201	48.10	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		RL	B	10,000	178.80	n/a	22-Apr	non-brg	4.0
DPB CAPITAL	029	SIRI	S	5,000	3.32	n/a	n/a	250.00	0.0
JETSTREAM GLOBAL FUND LP	065	TSO	S	30,000	52.08	n/a	n/a	1,500.00	0.0
B BUCK CAPITAL MGMT		ULTA	S	59,300	88.59	n/a	n/a	non-brg	4.0
ROYCE TRADING	031	UNT	B	10,000	41.65	n/a	2-May	500.00	0.0
NEUBERGER BERMAN	036	UN	S	15,429	42.35	n/a	n/a	617.16	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	VLO	B	2,300	36.54	n/a	n/a	92.00	0.0
MADISON ST PARTNERS LLC	046	VOYA	B	75,000	19.77	n/a	n/a	3,750.00	0.0
B BUCK CAPITAL MGMT		V	S	5,000	175.48	n/a	2-May	non-brg	1.0
FRONTIER	029	WBMD	B	25,000	24.14	n/a	n/a	1,000.00	0.0
f JONATHAN RICHARD HAR	FID	WTSL	B	2276	3.34	n/a	n/a	0.00	0.0
JET CAPITAL/CHRIS	041	XLU	SS	50,000	40.86	n/a	n/a	1,500.00	0.0
RIDGECREST INV MGMT LLC	028	XOP	B	15,000	56.81	n/a	n/a	600.00	0.0
B BUCK CAPITAL MGMT		ZUMZ	C	7,500	28.75	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		ZUMZ	C	7,500	28.82	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):								75,723.06	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/01	PROSPECTOR PARTNERS LLC	036	ABT	B	10,000	37.02	n/a	n/a	400.00 0.0
AO,CXL	05/01	PROSPECTOR PARTNERS LLC	036	ABT	B	10,000	37.02	n/a	n/a	355.20 0.0
AO,	05/01	HOPLITE MGMT	025	ADSK	S	40,962	39.35	n/a	n/a	1638.48 0.0
AO,CXL	05/01	HOPLITE MGMT	025	ADSK	S	40,962	39.35	n/a	n/a	1638.48 0.0
AO,	05/01	LEVIN CAPITAL STRATEGIES	041	ADT	B	21,800	41.41	n/a	n/a	654.00 0.0
AO,CXL	05/01	LEVIN CAPITAL STRATEGIES	041	ADT	B	21,800	41.41	n/a	n/a	654.00 0.0
AO,	05/01	FOCUSED INVESTORS	084	AET	B	200	58.02	n/a	n/a	8.00 0.0
AO,CXL	05/01	FOCUSED INVESTORS	084	AET	B	200	58.02	n/a	n/a	8.00 0.0
AO,CXL	05/01	PAULSON & CO INC	041	AGN	C	73,515	99.55	2-May	2-May	2205.45 0.0
AO,	05/01	PAULSON & CO INC	041	AGN	C	73,515	99.55	2-May	2-May	2205.45 0.0
AO,	05/01	ROSEDALE CAPITAL	046	AMTD	B	15,000	19.35	n/a	n/a	600.00 0.0
AO,CXL	05/01	ROSEDALE CAPITAL	046	AMTD	B	15,000	19.35	n/a	n/a	600.00 0.0
AO,	05/01	STELLIAM INV ADV	086	ARRAY	B	49,000	4.30	n/a	n/a	980.00 0.0
AO,CXL	05/01	STELLIAM INV ADV	086	ARRAY	B	49,000	4.30	n/a	n/a	980.00 0.0
AO,	05/01	GEORGE WEISS	278	AXL	S	10,000	13.48	n/a	2-May	400.00 0.0
AO,CXL	05/01	GEORGE WEISS	278	AXL	S	10,000	13.48	n/a	2-May	400.00 0.0
AO,CXL	05/01	FOCUSED INVESTORS	084	AXP	B	600	68.75	n/a	2-May	24.00 0.0
AO,	05/01	FOCUSED INVESTORS	084	AXP	B	600	68.75	n/a	2-May	24.00 0.0
AO,	05/01	FOCUSED INVESTORS	084	BDX	B	200	94.81	n/a	n/a	8.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/01	FOCUSED INVESTORS	084	BDX	B	200	94.81	n/a	n/a	8.00 0.0
AO,	05/01	CAPITAL GROWTH MGMT.	241	BEE	S	200,000	8.03	n/a	n/a	6000.00 0.0
AO,CXL	05/01	CAPITAL GROWTH MGMT.	241	BEE	S	200,000	8.03	n/a	n/a	6000.00 0.0
AO,CXL	05/01	SAGE ASSET MGMT	025	BZ	B	35,000	7.63	n/a	n/a	1750.00 0.0
AO,	05/01	SAGE ASSET MGMT	025	BZ	B	35,000	7.63	n/a	n/a	1750.00 0.0
AO,	05/01	STELLIAM INV ADV	086	CAH	S	20,000	44.28	n/a	n/a	800.00 0.0
AO,CXL	05/01	STELLIAM INV ADV	086	CAH	S	20,000	44.28	n/a	n/a	800.00 0.0
AO,CRT	05/01	PROSPECTOR PARTNERS LLC	036	CGI	B	14,100	16.45	n/a	n/a	564.00 0.0
AO,CXL	05/01	PROSPECTOR PARTNERS LLC	036	CGI	B	14,100	16.45	n/a	n/a	423.00 0.0
AO,CXL	05/01	FOCUSED INVESTORS	084	CVS	B	500	58.85	n/a	n/a	20.00 0.0
AO,	05/01	FOCUSED INVESTORS	084	CVS	B	500	58.85	n/a	n/a	20.00 0.0
AO,CRT	05/01	PROSPECTOR PARTNERS LLC	036	CW	B	10,000	32.63	n/a	n/a	400.00 0.0
AO,CXL	05/01	PROSPECTOR PARTNERS LLC	036	CW	B	10,000	32.63	n/a	n/a	400.00 0.0
AO,	05/01	OSKIE CAPITAL MGMT	224	CWH	B	40,000	22.10	n/a	n/a	2000.00 0.0
AO,CXL	05/01	OSKIE CAPITAL MGMT	224	CWH	B	40,000	22.10	n/a	n/a	2000.00 0.0
AO,	05/01	CAPITAL GROWTH MGMT.	241	DAL	B	50,000	16.81	n/a	24-Apr	2000.00 0.0
AO,CXL	05/01	CAPITAL GROWTH MGMT.	241	DAL	B	50,000	16.81	n/a	24-Apr	2000.00 0.0
AO,	05/01	LATEEF MGMT	033	DAL	S	850	16.89	n/a	24-Apr	90.00 0.0
AO,CXL	05/01	LATEEF MGMT	033	DAL	S	850	16.89	n/a	24-Apr	90.00 0.0
AO,	05/01	SIGMA CAP BOBBY	044	DRI	B	25,000	51.58	n/a	15-Apr	750.00 0.0
AO,CXL	05/01	SIGMA CAP BOBBY	044	DRI	B	25,000	51.58	n/a	15-Apr	750.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/01	CR INTRINIC INVESTMENT	044	FDX	SS	10,000	92.38	n/a	n/a	300.00 3.0
AO,CXL	05/01	CR INTRINIC INVESTMENT	044	FDX	SS	10,000	92.38	n/a	n/a	350.00 0.0
AO,CRT	05/01	CR INTRINIC INVESTMENT	044	FL	S	10,000	34.73	n/a	1-May	300.00 3.0
AO,CXL	05/01	CR INTRINIC INVESTMENT	044	FL	S	10,000	34.73	n/a	1-May	350.00 0.0
AO,	05/01	MACELLUM CAPITAL	086	FL	B	60,000	34.77	n/a	1-May	0.00 0.0
AO,CXL	05/01	MACELLUM CAPITAL	086	FL	B	60,000	34.77	n/a	1-May	1800.00 0.0
AO,CXL	05/01	CAERUS GLOBAL	041	GM	B	30,000	31.01	n/a	2-May	1200.00 0.0
AO,	05/01	CAERUS GLOBAL	041	GM	B	30,000	31.01	n/a	2-May	0.00 0.0
AO,CXL	05/01	FOCUSED INVESTORS	084	GS	B	200	142.85	n/a	16-Apr	8.00 0.0
AO,	05/01	FOCUSED INVESTORS	084	GS	B	200	142.85	n/a	16-Apr	8.00 0.0
AO,CRT	05/01	CR INTRINSIC/CHRIS C	041	GTLS	SS	25,000	83.54	n/a	n/a	750.00 0.0
AO,CXL	05/01	CR INTRINSIC/CHRIS C	041	GTLS	SS	25,000	83.54	n/a	n/a	875.00 0.0
AO,	05/01	CAMBIAR CAP	046	HBI	S	18,400	49.60	n/a	24-Apr	736.00 0.0
AO,CXL	05/01	CAMBIAR CAP	046	HBI	S	18,400	49.60	n/a	24-Apr	736.00 0.0
AO,CXL	05/01	LOMAS CAPITAL	040	HD	B	22,100	73.33	n/a	n/a	663.00 0.0
AO,	05/01	LOMAS CAPITAL	040	HD	B	22,100	73.33	n/a	n/a	0.00 0.0
AO,	05/01	PAULSON & CO INC	041	HNZ	S	100,000	72.44	n/a	n/a	3000.00 0.0
AO,CXL	05/01	PAULSON & CO INC	041	HNZ	S	100,000	72.44	n/a	n/a	3000.00 0.0
AO,	05/01	PROSPECTOR PARTNERS LLC	036	HSP	B	10,000	32.43	n/a	2-May	0.00 0.0
AO,CXL	05/01	PROSPECTOR PARTNERS LLC	036	HSP	B	10,000	32.43	n/a	2-May	400.00 0.0
AO,	05/01	FOCUSED INVESTORS	084	IBM	B	200	200.79	n/a	n/a	8.00 0.0

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AO,CXL	05/01	FOCUSED INVESTORS	084	IBM	B	200	200.79	n/a	n/a	8.00	0.0
AO,	05/01	MERRILL ASSET/BLACKROCK	297	JLL	B	6,600	100.03	n/a	n/a	264.00	0.0
AO,CXL	05/01	MERRILL ASSET/BLACKROCK	297	JLL	B	6,600	100.03	n/a	n/a	264.00	0.0
AO,	05/01	FOCUSED INVESTORS	084	JNJ	B	400	84.94	n/a	n/a	16.00	0.0
AO,CXL	05/01	FOCUSED INVESTORS	084	JNJ	B	400	84.94	n/a	n/a	16.00	0.0
AO,CXL	05/01	FOCUSED INVESTORS	084	JPM	B	500	48.03	n/a	15-Apr	20.00	0.0
AO,	05/01	FOCUSED INVESTORS	084	JPM	B	500	48.03	n/a	15-Apr	20.00	0.0
AO,	05/01	GATOR CAPITAL MGMT LLC	093	KKR	B	3,475	20.83	n/a	n/a	0.00	0.0
AO,CXL	05/01	GATOR CAPITAL MGMT LLC	093	KKR	B	3,475	20.83	n/a	n/a	104.25	0.0
AO,	05/01	FOCUSED INVESTORS	084	KO	B	800	42.36	n/a	1-May	32.00	0.0
AO,CXL	05/01	FOCUSED INVESTORS	084	KO	B	800	42.36	n/a	1-May	32.00	0.0
AO,CRT	05/01	CYRUS CAPITAL	025	LPX	SS	20,000	17.70	n/a	1-May	600.00	3.0
AO,CXL	05/01	CYRUS CAPITAL	025	LPX	SS	20,000	17.70	n/a	1-May	600.00	0.0
AO,	05/01	FOCUSED INVESTORS	084	MCD	B	400	102.12	n/a	22-Apr	16.00	0.0
AO,CXL	05/01	FOCUSED INVESTORS	084	MCD	B	400	102.12	n/a	22-Apr	16.00	0.0
AO,CXL	05/01	PROSPECTOR PARTNERS LLC	036	MMC	B	10,000	37.90	n/a	n/a	300.00	0.0
AO,	05/01	PROSPECTOR PARTNERS LLC	036	MMC	B	10,000	37.90	n/a	n/a	0.00	0.0
AO,	05/01	FOCUSED INVESTORS	084	MMM	B	200	104.66	n/a	n/a	8.00	0.0
AO,CXL	05/01	FOCUSED INVESTORS	084	MMM	B	200	104.66	n/a	n/a	8.00	0.0
AO,	05/01	GATOR CAPITAL MGMT LLC	093	MS	B	2,360	21.70	n/a	18-Apr	0.00	0.0

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AO,CXL	05/01	GATOR CAPITAL MGMT LLC	093	MS	B	2,360	21.70	n/a	18-Apr	70.80 0.0
AO,	05/01	FOCUSED INVESTORS	084	MSFT	B	1,100	32.71	n/a	n/a	44.00 0.0
AO,CXL	05/01	FOCUSED INVESTORS	084	MSFT	B	1,100	32.71	n/a	n/a	44.00 0.0
AO,	05/01	CSFB GLOBAL PROPRIETARY	041	MWV	B	15,000	33.97	n/a	30-Apr	0.00 0.0
AO,CXL	05/01	CSFB GLOBAL PROPRIETARY	041	MWV	B	15,000	33.97	n/a	30-Apr	750.00 0.0
AO,	05/01	FOCUSED INVESTORS	084	NKE	B	300	64.04	n/a	1-May	12.00 0.0
AO,CXL	05/01	FOCUSED INVESTORS	084	NKE	B	300	64.04	n/a	1-May	12.00 0.0
AO,	05/01	BRIGADE CAPITAL MGMT	029	ORIG	B	30,000	16.23	n/a	n/a	900.00 0.0
AO,CXL	05/01	BRIGADE CAPITAL MGMT	029	ORIG	B	30,000	16.23	n/a	n/a	900.00 0.0
AO,	05/01	FOCUSED INVESTORS	084	PEP	B	500	82.57	n/a	n/a	20.00 0.0
AO,CXL	05/01	FOCUSED INVESTORS	084	PEP	B	500	82.57	n/a	n/a	20.00 0.0
AO,	05/01	FOCUSED INVESTORS	084	PFE	B	700	29.29	n/a	n/a	28.00 0.0
AO,CXL	05/01	FOCUSED INVESTORS	084	PFE	B	700	29.29	n/a	n/a	28.00 0.0
AO,	05/01	FOCUSED INVESTORS	084	PG	B	300	77.40	n/a	2-May	12.00 0.0
AO,CXL	05/01	FOCUSED INVESTORS	084	PG	B	300	77.40	n/a	2-May	12.00 0.0
AO,	05/01	CAPITAL GROWTH MGMT.	241	PHM	B	50,000	20.77	n/a	n/a	0.00 0.0
AO,CXL	05/01	CAPITAL GROWTH MGMT.	241	PHM	B	50,000	20.77	n/a	n/a	2500.00 0.0
AO,	05/01	PRIMECAP MGMT	084	SCHW	B	10,000	16.26	n/a	n/a	400.00 0.0
AO,CXL	05/01	PRIMECAP MGMT	084	SCHW	B	10,000	16.26	n/a	n/a	400.00 0.0
AO,CRT	04/30	TIEDEMANN/TIG ADVISORS LLC	006	SEE	S	20,000	22.02	n/a	2-Jun	600.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/30	TIEDEMANN/TIG ADVISORS LLC	006	SEE	S	20,000	22.02	n/a	2-Jun	600.00 0.0
AO,	05/01	CRAMER ROSENTHAL	070	SJI	B	10,928	61.39	n/a	n/a	437.12 0.0
AO,CXL	05/01	CRAMER ROSENTHAL	070	SJI	B	10,928	61.39	n/a	n/a	437.12 0.0
AO,	05/01	EPOCH INV MGMT	030	SSD	B	47,830	28.04	n/a	n/a	1434.90 0.0
AO,CXL	05/01	EPOCH INV MGMT	030	SSD	B	47,830	28.04	n/a	n/a	1434.90 0.0
AO,CXL	05/01	FOCUSED INVESTORS	084	TGT	B	400	70.65	n/a	18-Apr	16.00 0.0
AO,	05/01	FOCUSED INVESTORS	084	TGT	B	400	70.65	n/a	18-Apr	16.00 0.0
AO,	05/01	COHE & STEERS	041	TPH	B	7,000	18.29	n/a	n/a	210.00 0.0
AO,CXL	05/01	COHE & STEERS	041	TPH	B	7,000	18.29	n/a	n/a	210.00 0.0
AO,CXL	05/01	PIMCO	084	UAL	S	110,000	31.78	n/a	26-Apr	2200.00 0.0
AO,	05/01	PIMCO	084	UAL	S	110,000	31.78	n/a	26-Apr	0.00 0.0
AO,	05/01	FOCUSED INVESTORS	084	UNH	B	300	59.60	n/a	n/a	12.00 0.0
AO,CXL	05/01	FOCUSED INVESTORS	084	UNH	B	300	59.60	n/a	n/a	12.00 0.0
AO,CXL	05/01	SAGE ASSET MGMT	025	VLO	S	6,900	38.84	n/a	n/a	345.00 0.0
AO,	05/01	SAGE ASSET MGMT	025	VLO	S	6,900	38.84	n/a	n/a	0.00 0.0
AO,	05/01	FRONTIER	029	WBMD	B	50,000	23.73	n/a	n/a	2000.00 0.0
AO,CXL	05/01	FRONTIER	029	WBMD	B	50,000	23.73	n/a	n/a	2000.00 0.0
AO,CXL	05/01	FOCUSED INVESTORS	084	WFC	B	600	37.84	n/a	15-Apr	24.00 0.0
AO,	05/01	FOCUSED INVESTORS	084	WFC	B	600	37.84	n/a	15-Apr	24.00 0.0
AO,	05/01	FOCUSED INVESTORS	084	WLP	B	300	72.63	n/a	n/a	12.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/01	FOCUSED INVESTORS	084	WLP	B	300	72.63	n/a	n/a	12.00 0.0
AO,CXL	05/01	FOCUSED INVESTORS	084	WMT	B	700	78.36	n/a	22-Feb	28.00 0.0
AO,	05/01	FOCUSED INVESTORS	084	WMT	B	700	78.36	n/a	22-Feb	28.00 0.0
AO,CXL	04/29	TIEDEMANN/TIG ADVISORS LLC	006	WTSL	S	10,000	3.27	n/a	n/a	300.00 0.0
AO,CRT	04/29	TIEDEMANN/TIG ADVISORS LLC	006	WTSL	S	10,000	3.27	n/a	n/a	300.00 0.0
AO,CXL	04/26	YORK CAPITAL	036	YHOO	B	500	25.04	n/a	n/a	15.00 0.0
AO,CRT	04/26	YORK CAPITAL	036	YHOO	B	500	25.04	n/a	n/a	15.00 0.0
AO,	05/01	FOCUSED INVESTORS	084	ZMH	B	200	76.10	n/a	n/a	8.00 0.0
AO,CXL	05/01	FOCUSED INVESTORS	084	ZMH	B	200	76.10	n/a	n/a	8.00 0.0

TOTAL (AO, CXL, CRT) :	-10,372.25
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TOTAL (Trade Date) :	75,723.06
TOTAL (AO, CXL, CRT) :	-10,372.25

TOTAL (RUN DATE) / NFS :	65,350.81
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 2-May.
NONE

MRI Securities without Trade Activity on 2-May.
BA, ATI, ENR, AGN

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 0%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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

Watch List Trades

f: Employee Trades (Fidelity)