



Daily Compliance Activity Report

Trade Date: 08/20/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	B	3,130	123.37	n/a	n/a	62.60	2.0
PIONEER OAKRIDGE	031	AAPL	S	210	121.86	n/a	n/a	4.20	2.0
PIONEER OAKRIDGE	031	ABT	B	5,250	52.56	n/a	22-Apr	105.00	2.0
PIONEER OAKRIDGE	031	ABT	S	355	52.29	n/a	22-Apr	7.10	2.0
WOOSTER CAPITAL	035	AB	B	25,000	80.50	9-Aug	10-Aug	1,250.00	5.0
PIONEER OAKRIDGE	031	ADBE	B	6,405	40.32	n/a	n/a	128.10	2.0
PIONEER OAKRIDGE	031	ADBE	S	565	40.51	n/a	n/a	11.30	2.0
BALYASNY ASSET MGMT	044	AEO	B	10,000	23.08	10-Jul	15-Aug	500.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	300,000	22.97	10-Jul	15-Aug	12,000.00	4.0
J L F ASSET MGMT	039	AEO	B	26,000	22.68	10-Jul	15-Aug	1,040.00	4.0
PIONEER OAKRIDGE	031	AFL	B	5,540	53.63	n/a	n/a	110.80	2.0
PIONEER OAKRIDGE	031	AFL	S	375	52.48	n/a	n/a	7.50	2.0
PIONEER OAKRIDGE	031	AGN	B	3,845	60.26	1-Aug	20-Aug	76.90	2.0
PIONEER OAKRIDGE	031	AGN	S	260	59.92	1-Aug	20-Aug	5.20	2.0
BARR	096	AMD	SS	800	11.89	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	AMG	B	5	106.62	25-Jul	10-Aug	0.10	2.0
BALYASNY ASSET MGMT	044	ANF	S	5,000	77.98	12-Jul	10-Aug	250.00	5.0
COUGAR TRADING	044	ANF	B	10,000	77.71	12-Jul	10-Aug	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	ANSS	B	15	32.18	n/a	n/a	0.30	2.0
STADIA CAPITAL	035	AN	B	25,000	19.63	n/a	27-Jul	1,000.00	4.0
HIGHBRIDGE CAPITAL	038	APC	B	2,000	49.02	22-Jun	14-Aug	100.00	5.0
COUGAR TRADING	044	ARO	SS	5,000	35.59	n/a	15-Aug	250.00	5.0
DENVER INST. ADV	046	ARO	B	118,700	35.34	n/a	15-Aug	4,748.00	4.0
ROTHSCHILD ASSET	040	ARO	S	11,270	35.39	n/a	15-Aug	507.15	4.5
GOLDMAN SACHS ASSET MGMT	044	ASD	S	52,500	34.60	17-Aug	17-Aug	1,050.00	2.0
PILOT ADV	038	AXE	B	3,700	72.61	24-Jul	24-Jul	148.00	4.0
PIONEER OAKRIDGE	031	AXP	B	4,210	58.53	n/a	n/a	84.20	2.0
PIONEER OAKRIDGE	031	AXP	S	280	58.71	n/a	n/a	5.60	2.0
AVESTA CAP	229	BAC	S	50,000	51.00	20-Apr	16-Aug	2,500.00	5.0
PIONEER OAKRIDGE	031	BA	B	2,880	96.14	n/a	n/a	57.60	2.0
PIONEER OAKRIDGE	031	BA	S	195	96.30	n/a	n/a	3.90	2.0
PIONEER OAKRIDGE	031	BBY	B	4,645	44.23	1-May	27-Jul	92.90	2.0
PIONEER OAKRIDGE	031	BBY	S	315	44.08	1-May	27-Jul	6.30	2.0
STADIA CAPITAL	035	BBY	B	25,000	43.99	1-May	27-Jul	1,000.00	4.0
SYSTEMATIC FINANCIAL MGT	035	BID	B	17,600	37.98	n/a	n/a	660.00	3.8
GLG PARTNERS	034	BKC	B	75,000	23.99	n/a	24-Apr	3,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MKT MAKER	099	BONT	S	100	25.13	3-Aug	15-Aug	0.00	0.0
BALYASNY ASSET MGMT	044	CBRL	SS	10,000	38.91	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	CCL	SS	5,000	44.33	n/a	26-Jan	250.00	5.0
PIONEER OAKRIDGE	031	CELG	B	3,635	58.72	n/a	n/a	72.70	2.0
PIONEER OAKRIDGE	031	CELG	S	245	58.29	n/a	n/a	4.90	2.0
WHEELER	008	CFCPRB	S	5,000	15.75	n/a	n/a	0.00	0.0
BARR	096	CFC	SS	300	19.65	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	CHD	B	10	45.81	n/a	8-Aug	0.20	2.0
FIRST NEW YORK LEDDY	035	CHIC	B	10,000	17.52	n/a	n/a	600.00	6.0
MKT MAKER	099	CHRS	S	100	9.24	n/a	22-Mar	0.00	0.0
ZOLIDIS	011	CHS	SS	500	17.97	10-Aug	10-Aug	0.00	0.0
ACT II PARTNERS	067	CLWR	SS	30,000	24.05	n/a	n/a	1,500.00	5.0
PIONEER OAKRIDGE	031	CMCSA	B	10,025	25.14	5-Apr	16-Aug	200.50	2.0
PIONEER OAKRIDGE	031	CMCSA	S	680	24.72	5-Apr	16-Aug	13.60	2.0
PIONEER OAKRIDGE	031	CME	B	260	536.85	n/a	16-Aug	5.20	2.0
PIONEER OAKRIDGE	031	CME	S	15	537.13	n/a	16-Aug	0.30	2.0
HIGHBRIDGE CAPITAL	038	COG	B	4,000	32.91	n/a	n/a	200.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	COH	B	10,000	44.57	n/a	1-Aug	400.00	4.0
PIONEER OAKRIDGE	031	COH	B	5,670	45.76	n/a	1-Aug	113.40	2.0
PIONEER OAKRIDGE	031	COH	S	385	44.61	n/a	1-Aug	7.70	2.0
BALYASNY ASSET MGMT	044	COST	S	10,000	57.88	n/a	27-Jul	500.00	5.0
BEAR STEARNS ASSET MGMT.	033	CPWM	C	7,800	4.98	n/a	n/a	252.00	3.1
CAPITAL GROWTH MGMT.	241	CSCO	B	5,000	29.91	n/a	22-Mar	250.00	5.0
PIONEER OAKRIDGE	031	CSCO	B	15,330	29.95	n/a	22-Mar	306.60	2.0
PIONEER OAKRIDGE	031	CSCO	S	1,045	29.69	n/a	22-Mar	20.90	2.0
PIONEER OAKRIDGE	031	CTSH	B	4,095	75.34	n/a	n/a	81.90	2.0
PIONEER OAKRIDGE	031	CTSH	S	270	73.74	n/a	n/a	5.40	2.0
BUCK	015	CVXUP	B	7	1.80	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	DHR	B	4,150	77.14	n/a	n/a	83.00	2.0
PIONEER OAKRIDGE	031	DHR	S	270	76.15	n/a	n/a	5.40	2.0
PIONEER OAKRIDGE	031	DNA	B	2,895	72.48	n/a	n/a	57.90	2.0
PIONEER OAKRIDGE	031	DNA	S	200	72.22	n/a	n/a	4.00	2.0
PIONEER OAKRIDGE	031	DOX	B	10	34.45	n/a	n/a	0.20	2.0
BALYASNY ASSET MGMT	044	DSW	B	15,000	33.90	2-Aug	10-Aug	750.00	5.0
PIONEER OAKRIDGE	031	ECL	B	4,765	41.34	n/a	8-Aug	95.30	2.0
PIONEER OAKRIDGE	031	ECL	S	320	40.75	n/a	8-Aug	6.40	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	ERTS	B	5,015	52.49	n/a	n/a	100.30	2.0
PIONEER OAKRIDGE	031	ERTS	S	335	51.19	n/a	n/a	6.70	2.0
MAZAMA CAPITAL MGMT.	035	EVR	B	6,400	21.57	n/a	n/a	256.00	4.0
BARR	096	FLDR	SS	2,000	4.90	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	FL	S	120,300	15.72	24-May	2-Aug	4,812.00	4.0
BUCK	015	GENZ	B	1,300	59.12	n/a	n/a	0.00	0.0
COUGAR TRADING	044	GES	B	5,000	48.96	n/a	n/a	250.00	5.0
PIONEER OAKRIDGE	031	GE	B	12,845	38.04	n/a	n/a	256.90	2.0
PIONEER OAKRIDGE	031	GE	S	870	37.98	n/a	n/a	17.40	2.0
BARR	096	GG	B	400	21.72	n/a	n/a	0.00	0.0
MUHLENKAMP FUND	046	GLW	B	400,000	23.41	n/a	1-Aug	20,000.00	5.0
PIONEER OAKRIDGE	031	GLW	B	9,485	23.29	n/a	1-Aug	189.70	2.0
PIONEER OAKRIDGE	031	GLW	S	650	23.43	n/a	1-Aug	13.00	2.0
PIONEER OAKRIDGE	031	GME	B	15	40.85	n/a	n/a	0.30	2.0
PIONEER OAKRIDGE	031	GOOG	B	765	501.57	n/a	n/a	15.30	2.0
PIONEER OAKRIDGE	031	GOOG	S	55	498.24	n/a	n/a	1.10	2.0
BULL PATH CAPITAL	044	GPS	S	46,000	17.45	n/a	10-Aug	2,300.00	5.0
MUHLENKAMP FUND	046	GT	B	100,000	27.38	n/a	n/a	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	HSIC	B	5	57.98	n/a	n/a	0.10	2.0
PIONEER OAKRIDGE	031	HWAY	B	10	50.40	n/a	n/a	0.20	2.0
SANDLER O'NEILL ASSET	031	IAI	B	25,000	48.33	n/a	n/a	1,250.00	5.0
BUCK	015	IBB	S	600	77.11	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	ICE	S	110,100	138.04	n/a	n/a	5,505.00	5.0
PIONEER OAKRIDGE	031	ICE	B	1,710	136.70	n/a	n/a	34.20	2.0
PIONEER OAKRIDGE	031	IEX	B	10	36.28	n/a	n/a	0.20	2.0
HIGHBRIDGE CAPITAL	038	ILF	B	6,000	188.91	n/a	n/a	300.00	5.0
WHITE PINE CAPITAL	030	IO	B	5,500	12.97	n/a	n/a	275.00	5.0
PIONEER OAKRIDGE	031	IRM	B	4,800	28.55	n/a	n/a	96.00	2.0
PIONEER OAKRIDGE	031	IRM	S	325	28.02	n/a	n/a	6.50	2.0
PHILADELPHIA FINANCIAL	033	IVZ	B	34,712	23.14	8-Aug	10-Aug	1,735.60	5.0
PIONEER OAKRIDGE	031	IVZ	B	10,620	23.11	8-Aug	10-Aug	212.40	2.0
PIONEER OAKRIDGE	031	IVZ	S	720	23.12	8-Aug	10-Aug	14.40	2.0
ROARING BLUE LION MGMT	012	IVZ	B	4,500	22.98	8-Aug	10-Aug	225.00	5.0
LEDDY	035	IVZ	B	1,700	22.97	8-Aug	10-Aug	0.00	0.0
WHITE PINE CAPITAL	030	IXYS	B	3,425	10.09	n/a	n/a	171.25	5.0
PIONEER OAKRIDGE	031	JCOM	B	10	35.06	n/a	n/a	0.20	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	042	JCP	B	5,000	65.76	21-Jun	16-Aug	200.00	4.0
COUGAR TRADING	044	JCP	S	10,000	65.36	21-Jun	16-Aug	500.00	5.0
BUCK	015	JCP	SS	400	66.03	21-Jun	16-Aug	0.00	0.0
WHITE PINE CAPITAL	030	JSDA	B	1,100	10.38	n/a	n/a	55.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	25,000	45.69	12-Jul	17-Aug	1,000.00	4.0
ZOLIDIS	011	JWN	S	200	45.19	12-Jul	17-Aug	0.00	0.0
BUCK	015	KFT	B	1,300	31.57	n/a	n/a	0.00	0.0
HARVEST MGMT	039	KSS	B	15,000	60.84	14-Jun	27-Jul	750.00	5.0
PIONEER OAKRIDGE	031	MAR	B	5,725	42.48	n/a	n/a	114.50	2.0
PIONEER OAKRIDGE	031	MAR	S	385	42.54	n/a	n/a	7.70	2.0
PIONEER OAKRIDGE	031	MBI	B	2,000	61.73	n/a	n/a	40.00	2.0
PIONEER OAKRIDGE	031	MBI	S	135	60.92	n/a	n/a	2.70	2.0
PIONEER OAKRIDGE	031	MCHP	B	7,145	37.73	n/a	n/a	142.90	2.0
PIONEER OAKRIDGE	031	MCHP	S	490	37.79	n/a	n/a	9.80	2.0
BUCK	015	MDY	B	650	153.00	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	MIND	B	5,700	16.79	n/a	n/a	285.00	5.0
WHITE PINE CAPITAL	030	MMR	B	2,300	14.28	n/a	n/a	115.00	5.0
PIONEER OAKRIDGE	031	MSFT	B	16,035	28.49	n/a	3-Apr	320.70	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	MSFT	S	1,090	28.18	n/a	3-Apr	21.80	2.0
SOLARIS INV MGMT	036	MU	S	100,000	11.13	n/a	n/a	4,920.00	4.9
BUCK CAPITAL MGMT	001	M	B	10,000	30.67	13-Jul	16-Aug	400.00	4.0
WOOSTER CAPITAL	035	M	B	100,000	31.01	13-Jul	16-Aug	5,000.00	5.0
BARR	096	NSTK	S	600	14.47	n/a	n/a	0.00	0.0
SOLARIS INV MGMT	036	NTAP	B	50,000	25.74	n/a	n/a	2,500.00	5.0
PIONEER OAKRIDGE	031	NVS	B	4,500	52.23	n/a	n/a	90.00	2.0
PIONEER OAKRIDGE	031	NVS	S	300	52.29	n/a	n/a	6.00	2.0
PIONEER OAKRIDGE	031	NWSA	B	12,420	20.59	n/a	n/a	248.40	2.0
PIONEER OAKRIDGE	031	NWSA	S	840	20.32	n/a	n/a	16.80	2.0
COUGAR TRADING	044	NWY	S	10,000	7.33	25-May	10-Aug	500.00	5.0
MKT MAKER	099	ORCL	B	1,000	19.09	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	ORLY	B	10	33.80	n/a	n/a	0.20	2.0
BARR	096	PAAS	B	1,500	22.03	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	PAYX	B	6,735	44.64	n/a	n/a	134.70	2.0
PIONEER OAKRIDGE	031	PAYX	S	460	44.15	n/a	n/a	9.20	2.0
PIONEER OAKRIDGE	031	PCP	B	2,360	130.44	n/a	n/a	47.20	2.0
PIONEER OAKRIDGE	031	PCP	S	155	127.82	n/a	n/a	3.10	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	PCS	B	7,865	26.12	n/a	n/a	157.30	2.0
PIONEER OAKRIDGE	031	PCS	S	540	25.69	n/a	n/a	10.80	2.0
PIONEER OAKRIDGE	031	PEP	B	4,420	68.74	n/a	n/a	88.40	2.0
PIONEER OAKRIDGE	031	PEP	S	290	68.29	n/a	n/a	5.80	2.0
PIONEER OAKRIDGE	031	PG	B	5,260	65.72	n/a	3-Aug	105.20	2.0
PIONEER OAKRIDGE	031	PG	S	355	64.83	n/a	3-Aug	7.10	2.0
DAVID J GREEN & CO	040	PMC	B	87,900	15.93	n/a	n/a	3,516.00	4.0
BARR	096	PMI	SS	300	29.82	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	PMTI	B	5	30.26	n/a	n/a	0.10	2.0
MKT MAKER	099	PSUN	S	1,100	14.35	n/a	15-Aug	0.00	0.0
BALYASNY ASSET MGMT	044	PVH	S	10,000	51.64	13-Aug	13-Aug	500.00	5.0
PIONEER OAKRIDGE	031	QCOM	B	8,800	37.75	n/a	n/a	176.00	2.0
PIONEER OAKRIDGE	031	QCOM	S	605	37.48	n/a	n/a	12.10	2.0
HIGHBRIDGE CAPITAL	038	RBC	SS	25,000	50.48	n/a	n/a	1,250.00	5.0
COUGAR TRADING	044	RL	S	5,000	77.82	9-Aug	9-Aug	250.00	5.0
PIONEER OAKRIDGE	031	RTN	B	5,085	56.76	n/a	n/a	101.70	2.0
PIONEER OAKRIDGE	031	RTN	S	350	56.82	n/a	n/a	7.00	2.0
MAZAMA CAPITAL MGMT.	035	RYL	S	44,000	32.04	n/a	n/a	1,760.00	4.0

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PIONEER OAKRIDGE	031	SCHW	B	14,635	19.65	n/a	n/a	292.70	2.0
PIONEER OAKRIDGE	031	SCHW	S	1,000	19.24	n/a	n/a	20.00	2.0
HIGHBRIDGE CAPITAL	038	SFY	B	3,000	38.55	n/a	n/a	150.00	5.0
PIONEER OAKRIDGE	031	SLB	B	3,855	89.39	n/a	n/a	77.10	2.0
PIONEER OAKRIDGE	031	SLB	S	260	89.03	n/a	n/a	5.20	2.0
PIONEER OAKRIDGE	031	SPLS	B	11,240	23.42	n/a	27-Jul	224.80	2.0
PIONEER OAKRIDGE	031	SPLS	S	760	23.36	n/a	27-Jul	15.20	2.0
PIONEER OAKRIDGE	031	SRCL	B	10	48.95	n/a	n/a	0.20	2.0
ELM RIDGE ADVISORS	044	SSCC	S	70,000	10.48	4-May	20-Aug	2,100.00	3.0
PIONEER OAKRIDGE	031	SWN	B	15	38.46	n/a	3-Aug	0.30	2.0
WHITE PINE CAPITAL	030	TCBI	B	2,525	22.46	n/a	n/a	126.25	5.0
WHITE PINE CAPITAL	030	TCB	B	2,025	25.83	n/a	n/a	101.25	5.0
WHITE PINE CAPITAL	030	TEG	B	1,275	50.53	n/a	n/a	63.75	5.0
PIONEER OAKRIDGE	031	TGT	B	4,465	61.41	n/a	27-Jul	89.30	2.0
PIONEER OAKRIDGE	031	TGT	S	300	59.97	n/a	27-Jul	6.00	2.0
BUCK	015	TGT	B	500	60.69	n/a	27-Jul	0.00	0.0
MKT MAKER	099	TIBX	S	100	7.64	n/a	3-Apr	0.00	0.0
PIONEER OAKRIDGE	031	TMO	B	5,240	50.43	n/a	n/a	104.80	2.0

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PIONEER OAKRIDGE	031	TMO	S	355	49.40	n/a	n/a	7.10	2.0
PIONEER OAKRIDGE	031	TXN	B	8,680	33.74	n/a	n/a	173.60	2.0
PIONEER OAKRIDGE	031	TXN	S	600	33.64	n/a	n/a	12.00	2.0
WHITE PINE CAPITAL	030	UNT	B	2,700	49.34	n/a	13-Aug	135.00	5.0
MKT MAKER	099	URBN	S	97	22.61	31-Jul	10-Aug	0.00	0.0
PIONEER OAKRIDGE	031	UTX	B	4,685	74.21	n/a	n/a	93.70	2.0
PIONEER OAKRIDGE	031	UTX	S	315	74.06	n/a	n/a	6.30	2.0
HIGHBRIDGE CAPITAL	038	VMC	B	22,000	88.06	n/a	n/a	1,100.00	5.0
PIONEER OAKRIDGE	031	WAG	B	5,680	45.52	n/a	n/a	113.60	2.0
PIONEER OAKRIDGE	031	WAG	S	385	45.13	n/a	n/a	7.70	2.0
PIONEER OAKRIDGE	031	WCN	B	20	29.85	n/a	n/a	0.40	2.0
BALYASNY ASSET MGMT	044	WDR	S	30,000	24.45	13-Jul	10-Aug	1,500.00	5.0
PIONEER OAKRIDGE	031	WLP	B	3,460	79.30	n/a	n/a	69.20	2.0
PIONEER OAKRIDGE	031	WLP	S	230	79.10	n/a	n/a	4.60	2.0
HIGHBRIDGE CAPITAL	038	WY	B	75,000	64.99	13-Jul	20-Aug	3,750.00	5.0
LEDDY	035	XOM	B	200	82.85	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	XTO	B	6,110	54.50	n/a	n/a	122.20	2.0
PIONEER OAKRIDGE	031	XTO	S	415	54.40	n/a	n/a	8.30	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	ZMH	B	3,260	77.61	n/a	n/a	65.20	2.0
PIONEER OAKRIDGE	031	ZMH	S	220	76.76	n/a	n/a	4.40	2.0
COUGAR TRADING	044	ZQK	S	5,000	13.77	9-Mar	27-Jun	250.00	5.0
TOTAL (Trade Date) :								117,543.35	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/08	AMBER CAPITAL (AMBRGS)	046	AIN	S	529,200	40.55	n/a	n/a	21168.00 4.0
AO,CRT	08/08	AMBER CAPITAL (AMBRGS)	046	AIN	S	529,200	40.56	n/a	n/a	21168.00 4.0
CRT	08/20	COUGAR TRADING (COUGPB MS)	044	ARO	SS	5,000	35.59	n/a	15-Aug	250.00 5.0
CRT	08/20	ACT II PARTNERS (ACT2-GOLDM)	067	CLWR	SS	30,000	24.05	n/a	n/a	1500.00 5.0
AO,	08/17	MKT MAKER (MKT MAKER)	099	CPWM	S	37	5.00	n/a	n/a	0.00 0.0
AO,	08/17	BEAR STEARNS ASSET MGMT. (BSAM7275)	033	CPWM	C	2,100	5.00	n/a	n/a	63.00 3.0
AO,	08/17	BEAR STEARNS ASSET MGMT. (BSAM7091)	033	CPWM	C	700	5.00	n/a	n/a	21.00 3.0
AO,	08/17	BEAR STEARNS ASSET MGMT. (BSAM888)	033	CPWM	C	1,500	5.00	n/a	n/a	45.00 3.0
AO,	08/17	BEAR STEARNS ASSET MGMT. (BSAM888)	033	CPWM	C	14,500	5.00	n/a	n/a	435.00 3.0
AO,	08/17	BEAR STEARNS ASSET MGMT. (BSAM888)	033	CPWM	C	7,700	5.00	n/a	n/a	231.00 3.0
AO,	08/17	BEAR STEARNS ASSET MGMT. (BSAM7025)	033	CPWM	C	500	5.00	n/a	n/a	15.00 3.0
AO,	08/17	BEAR STEARNS ASSET MGMT. (BSAM999)	033	CPWM	C	5,700	5.00	n/a	n/a	171.00 3.0
AO,	08/17	BEAR STEARNS ASSET MGMT. (BSAM999)	033	CPWM	C	7,700	5.00	n/a	n/a	231.00 3.0
AO,	08/17	BEAR STEARNS ASSET MGMT. (BSAM999)	033	CPWM	C	20,700	5.00	n/a	n/a	621.00 3.0
AO,CXL	08/08	OTC ERROR (OTC ERROR)	N22	CROX	B	108	58.77	n/a	n/a	0.00 0.0
AO,CRT	08/08	EMP ERROR (EMP ERROR)	099	CROX	B	108	58.77	n/a	n/a	0.00 0.0
AO,	08/17	METROPOLITAN CAPITAL (METRDEUTSC)	044	FL	S	8,300	15.14	24-May	2-Aug	415.00 5.0
AO,CXL	08/17	METROPOLITAN CAPITAL (METRGS BUL)	044	FL	S	125,000	15.14	24-May	2-Aug	6250.00 5.0
AO,CRT	08/17	METROPOLITAN CAPITAL (METRGS BUL)	044	FL	S	111,900	15.14	24-May	2-Aug	5595.00 5.0
AO,	08/17	METROPOLITAN CAPITAL (METRSPEAR)	044	FL	S	4,800	15.14	24-May	2-Aug	240.00 5.0
AO,CXL	08/16	IRONWOOD CAPITAL (IRONQIC)	067	ICOC	B	43,000	8.57	n/a	n/a	1720.00 4.0
AO,	08/16	IRONWOOD CAPITAL (IRONQIC)	067	ICOC	B	43,000	8.57	n/a	n/a	1720.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/17	METROPOLITAN CAPITAL (METRSPEAR)	044	IWM	B	600	78.57	n/a	n/a	30.00 5.0
AO,	08/17	METROPOLITAN CAPITAL (METRDEUTSC)	044	IWM	B	1,000	78.57	n/a	n/a	50.00 5.0
AO,CXL	08/17	METROPOLITAN CAPITAL (METRGS BUL)	044	IWM	B	14,700	78.57	n/a	n/a	735.00 5.0
AO,CRT	08/17	METROPOLITAN CAPITAL (METRGS BUL)	044	IWM	B	13,100	78.57	n/a	n/a	655.00 5.0
AO,	08/17	KORMAN (KORMAN)	003	JADE	B	1,000	10.00	n/a	n/a	0.00 0.0
AO,CRT	08/13	EMP ERROR (EMP ERROR)	035	JADE	S	2,500	6.84	n/a	n/a	0.00 0.0
AO,CXL	08/13	OTC ERROR (OTC ERROR)	035	JADE	S	2,500	6.84	n/a	n/a	0.00 0.0
AO,	08/17	MAZAMA CAPITAL MGMT. (MAZASCHWMG)	035	LAZ	B	1,300	38.58	n/a	n/a	52.00 4.0
AO,CXL	08/17	MAZAMA CAPITAL MGMT. (MAZASCHWSM)	035	LAZ	B	1,300	38.58	n/a	n/a	52.00 4.0
AO,	08/17	HIGHFIELDS CAP MGMT (HIGFMORGAN)	039	LM	SS	80,000	88.72	24-Jul	10-Aug	3200.00 4.0
AO,CXL	08/17	PILOT ROCK (PILRPARTEX)	028	MIR	B	50,000	36.97	n/a	n/a	2000.00 4.0
AO,CXL	08/17	WHITE PINE CAPITAL (WPIN2793)	030	MIR	S	450	36.72	n/a	n/a	22.50 5.0
AO,	08/17	WHITE PINE CAPITAL (WPIN2793)	030	MIR	S	450	36.72	n/a	n/a	18.00 4.0
AO,	08/17	BUCK CAPITAL MGMT (BUCK)	015	NMX	B	300	130.00	n/a	n/a	0.00 0.0
AO,	08/17	BARON ASSET MGMT* (BAROBAF)	012	RL	B	15,000	78.43	9-Aug	9-Aug	750.00 5.0
AO,CXL	08/08	OTC ERROR (OTC ERROR)	N22	STKL	B	370	13.39	n/a	n/a	0.00 0.0
AO,CRT	08/08	EMP ERROR (EMP ERROR)	099	STKL	B	370	13.39	n/a	n/a	0.00 0.0
AO,CRT	08/13	EMP ERROR (EMP ERROR)	099	STKL	S	370	12.38	n/a	n/a	0.00 0.0
AO,CXL	08/13	OTC ERROR (OTC ERROR)	099	STKL	S	370	12.38	n/a	n/a	0.00 0.0
AO,CXL	08/08	MKT MAKER (MKT MAKER)	099	URBN	B	5,000	24.05	31-Jul	10-Aug	0.00 0.0
AO,CXL	08/08	MKT MAKER (MKT MAKER)	099	URBN	B	2,500	23.88	31-Jul	10-Aug	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO, CXL	08/08	MKT MAKER (MKT MAKER)	099	URBN	B	1,000	23.82	31-Jul	10-Aug	0.00 0.0
AO, CXL	08/08	MKT MAKER (MKT MAKER)	099	URBN	B	500	23.75	31-Jul	10-Aug	0.00 0.0
AO, CXL	08/08	MKT MAKER (MKT MAKER)	099	URBN	B	1,000	23.52	31-Jul	10-Aug	0.00 0.0
AO, CRT	08/08	OTC ERROR (OTC ERROR)	099	URBN	B	5,000	24.05	31-Jul	10-Aug	0.00 0.0
AO, CRT	08/08	OTC ERROR (OTC ERROR)	099	URBN	B	2,500	23.88	31-Jul	10-Aug	0.00 0.0
AO, CRT	08/08	OTC ERROR (OTC ERROR)	099	URBN	B	1,000	23.82	31-Jul	10-Aug	0.00 0.0
AO, CRT	08/08	OTC ERROR (OTC ERROR)	099	URBN	B	500	23.75	31-Jul	10-Aug	0.00 0.0
AO, CRT	08/08	OTC ERROR (OTC ERROR)	099	URBN	B	1,000	23.52	31-Jul	10-Aug	0.00 0.0
AO, CXL	08/09	MKT MAKER (MKT MAKER)	099	URBN	B	300	23.97	31-Jul	10-Aug	0.00 0.0
AO, CXL	08/09	MKT MAKER (MKT MAKER)	099	URBN	B	100	23.96	31-Jul	10-Aug	0.00 0.0
AO, CXL	08/09	MKT MAKER (MKT MAKER)	099	URBN	B	400	23.95	31-Jul	10-Aug	0.00 0.0
AO, CXL	08/09	MKT MAKER (MKT MAKER)	099	URBN	B	1,500	23.94	31-Jul	10-Aug	0.00 0.0
AO, CXL	08/09	MKT MAKER (MKT MAKER)	099	URBN	B	200	23.93	31-Jul	10-Aug	0.00 0.0
AO, CXL	08/09	MKT MAKER (MKT MAKER)	099	URBN	B	1,000	23.50	31-Jul	10-Aug	0.00 0.0
AO, CXL	08/09	MKT MAKER (MKT MAKER)	099	URBN	B	2,000	23.30	31-Jul	10-Aug	0.00 0.0
AO, CXL	08/09	MKT MAKER (MKT MAKER)	099	URBN	B	500	23.29	31-Jul	10-Aug	0.00 0.0
AO, CXL	08/09	MKT MAKER (MKT MAKER)	099	URBN	B	300	23.13	31-Jul	10-Aug	0.00 0.0
AO, CXL	08/09	MKT MAKER (MKT MAKER)	099	URBN	B	200	23.12	31-Jul	10-Aug	0.00 0.0
AO, CXL	08/09	MKT MAKER (MKT MAKER)	099	URBN	B	500	22.96	31-Jul	10-Aug	0.00 0.0
AO, CXL	08/09	MKT MAKER (MKT MAKER)	099	URBN	B	100	22.95	31-Jul	10-Aug	0.00 0.0
AO, CXL	08/09	MKT MAKER (MKT MAKER)	099	URBN	B	900	22.94	31-Jul	10-Aug	0.00 0.0
AO, CXL	08/09	MKT MAKER (MKT MAKER)	099	URBN	B	1,000	22.79	31-Jul	10-Aug	0.00 0.0
AO, CXL	08/09	MKT MAKER (MKT MAKER)	099	URBN	B	300	22.65	31-Jul	10-Aug	0.00 0.0
AO, CXL	08/09	MKT MAKER (MKT MAKER)	099	URBN	B	400	22.58	31-Jul	10-Aug	0.00 0.0
AO, CXL	08/09	MKT MAKER (MKT MAKER)	099	URBN	B	600	22.50	31-Jul	10-Aug	0.00 0.0
AO, CRT	08/09	OTC ERROR (OTC ERROR)	099	URBN	B	300	23.97	31-Jul	10-Aug	0.00 0.0
AO, CRT	08/09	OTC ERROR (OTC ERROR)	099	URBN	B	100	23.96	31-Jul	10-Aug	0.00 0.0
AO, CRT	08/09	OTC ERROR (OTC ERROR)	099	URBN	B	400	23.95	31-Jul	10-Aug	0.00 0.0
AO, CRT	08/09	OTC ERROR (OTC ERROR)	099	URBN	B	1,500	23.94	31-Jul	10-Aug	0.00 0.0
AO, CRT	08/09	OTC ERROR (OTC ERROR)	099	URBN	B	200	23.93	31-Jul	10-Aug	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	08/09	OTC ERROR (OTC ERROR)	099	URBN	B	1,000	23.50	31-Jul	10-Aug	0.00	0.0
AO,CRT	08/09	OTC ERROR (OTC ERROR)	099	URBN	B	2,000	23.30	31-Jul	10-Aug	0.00	0.0
AO,CRT	08/09	OTC ERROR (OTC ERROR)	099	URBN	B	500	23.29	31-Jul	10-Aug	0.00	0.0
AO,CRT	08/09	OTC ERROR (OTC ERROR)	099	URBN	B	300	23.13	31-Jul	10-Aug	0.00	0.0
AO,CRT	08/09	OTC ERROR (OTC ERROR)	099	URBN	B	200	23.12	31-Jul	10-Aug	0.00	0.0
AO,CRT	08/09	OTC ERROR (OTC ERROR)	099	URBN	B	500	22.96	31-Jul	10-Aug	0.00	0.0
AO,CRT	08/09	OTC ERROR (OTC ERROR)	099	URBN	B	100	22.95	31-Jul	10-Aug	0.00	0.0
AO,CRT	08/09	OTC ERROR (OTC ERROR)	099	URBN	B	900	22.94	31-Jul	10-Aug	0.00	0.0
AO,CRT	08/09	OTC ERROR (OTC ERROR)	099	URBN	B	1,000	22.79	31-Jul	10-Aug	0.00	0.0
AO,CRT	08/09	OTC ERROR (OTC ERROR)	099	URBN	B	300	22.65	31-Jul	10-Aug	0.00	0.0
AO,CRT	08/09	OTC ERROR (OTC ERROR)	099	URBN	B	400	22.58	31-Jul	10-Aug	0.00	0.0
AO,CRT	08/09	OTC ERROR (OTC ERROR)	099	URBN	B	600	22.50	31-Jul	10-Aug	0.00	0.0
AO,CXL	08/16	MKT MAKER (MKT MAKER)	099	URBN	B	100	21.16	31-Jul	10-Aug	0.00	0.0
AO,CRT	08/16	OTC ERROR (OTC ERROR)	099	URBN	B	100	21.16	31-Jul	10-Aug	0.00	0.0
AO,CXL	08/06	MKT MAKER (MKT MAKER)	099	URBN	S	20,455	20.96	31-Jul	10-Aug	0.00	0.0
AO,	08/06	OTC ERROR (OTC ERROR)	099	URBN	S	20,455	20.89	31-Jul	10-Aug	0.00	0.0
AO,	08/17	MAIRS AND POWER INV (MAIRGROWTH)	030	WFC	S	20,000	36.77	n/a	n/a	800.00	4.0
AO,CXL	08/17	FARALLON CAP MGMT (FARABULK F)	040	WM	SS	132,500	37.57	n/a	n/a	6625.00	5.0
AO,CRT	08/17	FARALLON CAP MGMT (FARABULK F)	040	WM	SS	132,500	37.57	n/a	n/a	5300.00	4.0

TOTAL (AO, CXL, CRT) :

5,003.50

TOTAL (Trade Date):

117,543.35

TOTAL (AO, CXL, CRT):

5,003.50

TOTAL (RUN DATE) / NFS:

122,546.85

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