

Daily Compliance Activity Report Trade Date: 12/17/2008

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	PATTEN & PATTEN	067	AAPL	S	150	89.09	n/a	n/a	7.50	5.0
	BAIRD INVESTMENT	031	AAP	S	1,470	33.05	n/a	n/a	73.50	5.0
	FORWARD MGMT	033	ABCO	В	4,500	22.54	n/a	n/a	225.00	5.0
	BAIRD INVESTMENT	031	ADS	S	215	45.23	n/a	n/a	10.75	5.0
	SCOPUS FUND	041	AEO	В	125,000	9.96	n/a	12-Dec	6,250.00	5.0
õ	COUGAR TRADING Steven Maguire	044	AG AG	В В	10,000 5000	24.69 24.6500	15-Dec	15-Dec	500.00	5.0 0.0
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	COUGAR TRADING	044	ALV	В	5,000	21.74	26-Nov	16-Dec	250.00	5.0
	SCOPUS FUND	041	ANF	В	10,000	22.73	7-Aug	12-Dec	500.00	5.0
	CRAMER ROSENTHAL/SCOTT	012	AOC	В	5,200	42.34	n/a	n/a	208.00	4.0
	PATTEN & PATTEN	067	APC	В	675	39.72	n/a	20-Nov	33.75	5.0
	BAIRD INVESTMENT	031	ARG	S	230	37.43	15-Dec	15-Dec	11.50	5.0
	BAIRD INVESTMENT	031	ATR	S	290	34.03	n/a	n/a	14.50	5.0
	BAIRD INVESTMENT	031	BKC	S	275	20.26	27-0ct	3-Nov	13.75	5.0
	BUCK CAPITAL MGMT	001	BKE	S	125,000	20.78	n/a	n/a	5,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
BAIRD INVESTMENT	031	BUCY	S	205	21.83	n/a	27-Oct	10.25	5.0
COUGAR TRADING PORTER-ORLIN-FELDMAN	0 4 4 0 4 4	BWA BWA	B SS	5,000 75,000	21.64	16-Dec 16-Dec	16-Dec 16-Dec	250.00 2,250.00	5.0
BAIRD INVESTMENT	031	CAM	S	230	21.19	n/a	n/a	11.50	5.0
BAIRD INVESTMENT	031	СЕРН	S	175	77.37	4-Sep	16-Dec	8.75	5.0
STANDARD PACIFIC CAPITAL	040	CE	S	180,000	12.74	n/a	n/a	9,000.00	5.0
SCOPUS FUND	041	CLW	SS	20,000	15.51	n/a	n/a	1,000.00	5.0
MERRILL ASSET	032	CLX	S	7,600	53.40	3-Nov	3-Nov	342.00	4.5
PNC/MERCANTILE	028	CL	S	8,459	62.32	14-Oct	13-Nov	422.95	5.0
PATTEN & PATTEN	067	CMCSK	S	750	15.72	n/a	n/a	37.50	5.0
COUGAR TRADING	044	CMG	В	2,000	61.98	23-Oct	23-Oct	100.00	5.0
CARDINAL CAPITAL	044	CMP	S	33,500	60.01	n/a	n/a	1,620.00	4.9
BAIRD INVESTMENT	031	COGT	В	155	14.09	n/a	n/a	7.75	5.0
PATTEN & PATTEN	067	COST	S	450	54.05	n/a	27-Jul	22.50	5.0
ROBX	302	CRI	S	115,000	19.41	n/a	n/a	4,600.00	4.0
BAIRD INVESTMENT	031	CTXS	S	345	24.65	n/a	n/a	17.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
MERRILL ASSET	032	CVA	S	2,500	22.09	n/a	n/a	112.50	4.5
PATTEN & PATTEN	067	CVS	S	700	27.09	n/a	n/a	35.00	5.0
PATTEN & PATTEN	067	CVX	S	350	78.46	n/a	n/a	17.50	5.0
BAIRD INVESTMENT	031	DKS	S	520	14.25	7-0ct	12-Dec	26.00	5.0
BAIRD INVESTMENT	031	DLB	S	280	32.11	n/a	n/a	14.00	5.0
PATTEN & PATTEN	067	D	В	300	34.71	n/a	n/a	15.00	5.0
BAIRD INVESTMENT	031	ECL	S	235	36.09	10-Nov	13-Nov	11.75	5.0
HUNTER GLOBAL INVESTOR	067	EQIX	В	30,000	52.68	n/a	n/a	1,200.00	4.0
BAIRD INVESTMENT	031	EV	S	290	20.78	26-Nov	17-Dec	14.50	5.0
PATTEN & PATTEN	067	EWH	В	300	11.02	n/a	n/a	15.00	5.0
PATTEN & PATTEN	067	EWZ	S	325	37.41	n/a	n/a	16.25	5.0
PIONEER MICHAEL NOLAN	067	EXH	В	30,000	21.57	28-Aug	16-Dec	900.00	3.0
BAIRD INVESTMENT	031	EXPD	S	190	33.37	n/a	n/a	9.50	5.0
BAIRD INVESTMENT	031	FAST	S	220	34.13	n/a	n/a	11.00	5.0
MARINER/TRICADIA	041	FDML	S	27,300	3.73	n/a	n/a	1,365.00	5.0
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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
WASHINGTON ASSET	048	FDX	S	10,000	64.46	n/a	n/a	500.00	5.0
BAIRD INVESTMENT	031	FFIV	S	280	22.53	n/a	n/a	14.00	5.0
BAIRD INVESTMENT	031	FISV	S	270	36.01	n/a	n/a	13.50	5.0
BUCK CAPITAL MGMT	001	FL	s	50,000	7.52	7-0ct	12-Dec	1,500.00	3.0
TYNDALL	091	FOR	В	62,800	5.06	n/a	3-0ct	1,884.00	3.0
BAIRD INVESTMENT	031	FWLT	S	175	27.68	n/a	n/a	8.75	5.0
EGS ASSOCIATES LP	091	GIL	В	3,000	10.08	11-Dec	12-Dec	180.00	6.0
BAIRD INVESTMENT	031	GME	S	245	25.88	n/a	n/a	12.25	5.0
BAIRD INVESTMENT	031	GPN	S	180	32.85	n/a	n/a	9.00	5.0
ROTHSCHILD ASSET	040	GYMB	S	10,930	23.55	7-Nov	16-Dec	491.85	4.5
BAIRD INVESTMENT	031	HAIN	S	640	17.72	n/a	n/a	32.00	5.0
PATTEN & PATTEN	067	HCF	S	1,000	5.35	n/a	n/a	50.00	5.0
BAIRD INVESTMENT	031	HEW	S	180	27.25	n/a	n/a	9.00	5.0
BAIRD INVESTMENT	031	HOLX	S	635	13.56	n/a	n/a	31.75	5.0
BAIRD INVESTMENT	031	HRS	S	250	36.82	30-Oct	9-Dec	12.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.	
BAIRD INVESTMENT	031	HSC	S	185	25.50	31-0ct	15-Dec	9.25	5.0	
PATTEN & PATTEN	067	HYG	В	150	66.79	n/a	n/a	7.50	5.0	
PATTEN & PATTEN	067	IAI	В	350	19.91	n/a	n/a	17.50	5.0	
MERRILL ASSET	032	ICO	В	167,500	2.79	n/a	n/a	7,537.50	4.5	
PATTEN & PATTEN	067	IGM	S	325	34.39	n/a	n/a	16.25	5.0	
PATTEN & PATTEN	067	ILF	В	430	27.11	n/a	n/a	21.50	5.0	
BAIRD INVESTMENT	031	ILMN	S	125	23.24	n/a	n/a	6.25	5.0	
BAIRD INVESTMENT	031	IRM	S	480	19.97	n/a	n/a	24.00	5.0	
MERRILL ASSET	032	ITG	В	32,600	20.70	n/a	n/a	1,467.00	4.5	
BALYASNY ASSET MGMT	044	IVZ	В	25,000	13.39	13-Nov	17-Dec	1,250.00	5.0	
PATTEN & PATTEN	067	IYW	В	325	36.26	n/a	n/a	16.25	5.0	
BAIRD INVESTMENT	031	JBHT	S	155	24.94	n/a	n/a	7.75	5.0	
UBS OCONNOR	031	JEF	SS	40,000	12.77	n/a	n/a	1,200.00	3.0	
BUCK CAPITAL MGMT	001	JNY	s	80,000	5.46	n/a	30-0ct	2,400.00	3.0	
PATTEN & PATTEN	067	JPM	S	750	31.89	26-Sep	20-Nov	37.50	5.0	

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. (Shr.
	PATTEN & PATTEN	067	KBE	В	1,000	22.54	n/a	n/a	50.00	5.0
	PATTEN & PATTEN	067	KBE	S	300	22.53	n/a	n/a	15.00	5.0
	BUCK CAPITAL MGMT	001	KCP	s	20,000	7.66	n/a	28-Sep	600.00	3.0
	PATTEN & PATTEN	067	KO	S	500	45.72	n/a	n/a	25.00	5.0
	BAIRD INVESTMENT	031	LAMR	S	305	14.17	n/a	n/a	15.25	5.0
	UBS OCONNOR	031	LAZ	В	20,000	28.84	n/a	n/a	600.00	3.0
	BAIRD INVESTMENT	031	LKQX	S	670	10.16	n/a	n/a	33.50	5.0
	SOROS	036	LOW	В	50,233	22.46	n/a	27-Jul	2,009.32	4.0
	PATTEN & PATTEN	067	LQD	В	125	97.94	n/a	n/a	6.25	5.0
	PNC/MERCANTILE	028	MCD	S	5,533	63.04	13-0ct	8-Dec	276.65	5.0
	BAIRD INVESTMENT	031	MCHP	S	360	20.68	n/a	n/a	18.00	5.0
	HOLLIS CAPITAL	033	MDVN	В	5,000	15.94	n/a	n/a	250.00	5.0
õ	Steven Maguire		MGM	В	5000 1	13.8500	n/a	30-Oct	0.00	0.0
	BAIRD INVESTMENT	031	MKC	S	250	30.45	n/a	n/a	12.50	5.0
	PATTEN & PATTEN	067	MSFT	В	200	19.94	n/a	3-Apr	10.00	5.0
	ALGR	035	MSFT	В	145,888	19.73	n/a	3-Apr	5,835.52	4.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
	BUCK CAPITAL MGMT	001	M	s	50,000	8.42	12-Aug	12-Dec	1,500.00	3.0	
	RBC CAPITAL MARKETS	034	М	В	50,000	9.92	12-Aug	12-Dec	2,000.00	4.0	
	ROTHSCHILD ASSET	040	NRG	В	17,045	22.19	n/a	n/a	767.04	4.5	
	BAIRD INVESTMENT	031	NTAP	S	320	14.14	n/a	n/a	16.00	5.0	
	BUCK CAPITAL MGMT	001	NWY	В	75,000	2.10	n/a	12-Dec	2,250.00	3.0	
	BAIRD INVESTMENT	031	OII	S	175	27.20	n/a	n/a	8.75	5.0	
	BAIRD INVESTMENT	031	PAYX	S	145	26.38	n/a	n/a	7.25	5.0	
	PATTEN & PATTEN	067	PEP	В	450	54.58	n/a	n/a	22.50	5.0	
	BAIRD INVESTMENT	031	PETM	S	530	18.04	n/a	n/a	26.50	5.0	
	PNC/MERCANTILE	028	PG	S	8,994	60.78	10-Oct	12-Dec	449.70	5.0	
	PATTEN & PATTEN	067	PTY	В	1,000	8.93	n/a	n/a	50.00	5.0	
	BAIRD INVESTMENT	031	PVH	S	195	19.68	7-Nov	20-Nov	9.75	5.0	
	PATTEN & PATTEN	067	QCOM	В	275	35.28	n/a	n/a	13.75	5.0	
õ	Steven Maguire		RIG	В	5000 5	5.0600	n/a	n/a	0.00	0.0	
	BAIRD INVESTMENT	031	ROP	S	230	42.01	n/a	n/a	11.50	5.0	
	PATTEN & PATTEN	067	SE	S	600	15.72	n/a	n/a	30.00	5.0	

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MERRILL ASSET	032	SF	S	13,500	45.27	n/a	n/a	607.50	4.5	
BAIRD INVESTMENT	031	SII	S	120	25.17	n/a	n/a	6.00	5.0	
FORWARD MGMT	033	SIVB	В	3,400	28.14	n/a	n/a	170.00	5.0	
CATTANI	041	SLV	В	300	11.34	n/a	n/a	0.00	0.0	
BAIRD INVESTMENT	031	SRCL	S	170	54.48	n/a	n/a	8.50	5.0	
PATTEN & PATTEN	067	STI	S	450	29.92	n/a	n/a	22.50	5.0	
BAIRD INVESTMENT	031	SWN	В	3 , 850	28.55	n/a	20-Nov	192.50	5.0	
ROTHSCHILD ASSET	040	TDW	В	11,968	41.73	n/a	n/a	538.58	4.5	
KINGDON ASSET MGMT	041	TER	S	150,000	4.27	n/a	n/a	6,000.00	4.0	
HUNTER GLOBAL INVESTOR	067	TGT	В	50,000	36.00	17-Nov	12-Dec	2,500.00	5.0	
PATTEN & PATTEN	067	TJX	В	600	21.02	11-Aug	5-Dec	30.00	5.0	
BAIRD INVESTMENT	031	TRMB	S	260	21.18	n/a	n/a	13.00	5.0	
BAIRD INVESTMENT	031	TROW	S	115	33.39	19-Sep	17-Dec	5.75	5.0	
SYSTEMATIC FINANCIAL MGT	035	TRV	S	181,700	43.93	n/a	n/a	6,359.50	3.5	
PATTEN & PATTEN	067	TWX	В	1,000	10.50	n/a	n/a	50.00	5.0	
	MERRILL ASSET BAIRD INVESTMENT FORWARD MGMT CATTANI BAIRD INVESTMENT PATTEN & PATTEN BAIRD INVESTMENT BAIRD INVESTMENT ROTHSCHILD ASSET KINGDON ASSET MGMT HUNTER GLOBAL INVESTOR PATTEN & PATTEN BAIRD INVESTMENT BAIRD INVESTMENT SYSTEMATIC FINANCIAL MGT	MERRILL ASSET 032 BAIRD INVESTMENT 031 FORWARD MGMT 033 CATTANI 041 BAIRD INVESTMENT 031 BAIRD INVESTMENT 031 BAIRD INVESTMENT 031 ROTHSCHILD ASSET 040 KINGDON ASSET MGMT 041 HUNTER GLOBAL INVESTOR 067 PATTEN & PATTEN 067 BAIRD INVESTMENT 031 BAIRD INVESTMENT 031 SYSTEMATIC FINANCIAL MGT 035	MERRILL ASSET 032 SF BAIRD INVESTMENT 031 SII FORWARD MGMT 033 SIVB CATTANI 041 SLV BAIRD INVESTMENT 031 SRCL PATTEN & PATTEN 067 STI BAIRD INVESTMENT 031 SWN BAIRD INVESTMENT 031 SWN ROTHSCHILD ASSET 040 TDW KINGDON ASSET MGMT 041 TER HUNTER GLOBAL INVESTOR 067 TGT PATTEN & PATTEN 067 TJX BAIRD INVESTMENT 031 TRMB BAIRD INVESTMENT 031 TRMB BAIRD INVESTMENT 031 TROW SYSTEMATIC FINANCIAL MGT 035 TRV	MERRILL ASSET 032 SF S BAIRD INVESTMENT 031 SII S FORWARD MGMT 033 SIVB B CATTANI 041 SIV B BAIRD INVESTMENT 031 SRCL S PATTEN & PATTEN 067 STI S BAIRD INVESTMENT 031 SWN B BAIRD INVESTMENT 031 SWN S ROTHSCHILD ASSET 040 TDW B KINGDON ASSET MGMT 041 TER S HUNTER GLOBAL INVESTOR 067 TGT B PATTEN & PATTEN 067 TJX B BAIRD INVESTMENT 031 TRMB S BAIRD INVESTMENT 031 TRMB S SYSTEMATIC FINANCIAL MGT 035 TRV S	MERRILL ASSET 032 SF S 13,500 BAIRD INVESTMENT 031 SII S 120 FORWARD MGMT 033 SIVB B 3,400 CATTANI 041 SLV B 300 BAIRD INVESTMENT 031 SRCL S 170 PATTEN & PATTEN 067 STI S 450 BAIRD INVESTMENT 031 SWN B 3,850 BAIRD INVESTMENT 031 SWN S 270 ROTHSCHILD ASSET 040 TDW B 11,968 KINGDON ASSET MGMT 041 TER S 150,000 PATTEN & PATTEN 067 TGT B 50,000 BAIRD INVESTMENT 031 TRMB S 260 BAIRD INVESTMENT 031 TRMB S 260 BAIRD INVESTMENT 031 TRMB S 260 BAIRD INVESTMENT 031 TRMB S 260	MERRILL ASSET 032 SF S 13,500 45.27 BAIRD INVESTMENT 031 SII S 120 25.17 FORWARD MGMT 033 SIVB B 3,400 28.14 CATTANI 041 SLV B 300 11.34 BAIRD INVESTMENT 031 SRCL S 170 54.48 PATTEN & PATTEN 067 STI S 450 29.92 BAIRD INVESTMENT 031 SWN B 3,850 28.55 BAIRD INVESTMENT 031 SWN S 270 27.97 ROTHSCHILD ASSET 040 TDW B 11,968 41.73 KINGDON ASSET MGMT 041 TER S 150,000 4.27 HUNTER GLOBAL INVESTOR 067 TGT B 50,000 36.00 PATTEN & PATTEN 031 TRMB S 260 21.18 BAIRD INVESTMENT 031 TRMB S 260 21	MERRILL ASSET 032 SF S 13,500 45.27 n/a BAIRD INVESTMENT 031 SII S 120 25.17 n/a FORWARD MGMT 033 SIVB B 3,400 28.14 n/a CATTANI 041 SIV B 300 11.34 n/a BAIRD INVESTMENT 031 SRCL S 170 54.48 n/a PATTEN & PATTEN 067 STI S 450 29.92 n/a BAIRD INVESTMENT 031 SWN B 3,850 28.55 n/a BAIRD INVESTMENT 031 SWN S 270 27.97 n/a KINGDON ASSET MGMT 040 TDW B 11,968 41.73 n/a HUNTER GLOBAL INVESTOR 067 TGT B 50,000 36.00 17-Nov PATTEN & PATTEN 067 TJX B 600 21.02 11-Aug BAIRD INVESTMENT 031	MERRILL ASSET 032 SF S 13,500 45.27	MERRILL ASSET 032 SF S 13,500 45.27	MERRILL ASSET 032 SF S 13,500 45.27

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
THOMSON HORSTMAN BRYANT	040	URBN	В	10,000	15.47	5-Nov	12-Dec	500.00	5.0
FORWARD MGMT	033	VAR	В	3,000	36.00	n/a	n/a	150.00	5.0
BAIRD INVESTMENT	031	VSEA	S	330	20.07	n/a	n/a	16.50	5.0
BAIRD INVESTMENT	031	WAB	S	155	43.41	n/a	n/a	7.75	5.0
MATRIX ASSET ADV. PATTEN & PATTEN	036 067	WAG WAG	В	4 , 000	25.80 26.14	n/a n/a	n/a n/a	160.00	4.0
PATTEN & PATTEN	067	WFC	В	275	30.02	n/a	n/a	13.75	
PATTEN & PATTEN	067	WMT	В	225	55.23	10-Oct	12-Dec	11.25	5.0
BAIRD INVESTMENT	031	WOOF	S	435	17.85	n/a	n/a	21.75	
RBC CAPITAL MARKETS	034	WRC	В	25,000	18.79	7-Nov	7-Nov		4.0
BAIRD INVESTMENT	031	ZION	S	225	26.31	n/a	n/a	11.25	5.0

TOTAL (Trade Date): 90,697.86

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	12/12	MARINER/TRICADIA (MARITRICAD)	041	FDML	S	38,200	4.11	n/a	n/a	1910.00	5.0
AO, CRT	12/12	MARINER/TRICADIA (MARITRICAD)	041	FDML	S	38,200	4.11	n/a	n/a	764.00	2.0
AO, CXL	12/15	MARINER/TRICADIA (MARITRICAD)	041	FDML	S	8,300	4.17	n/a	n/a	415.00	5.0
AO, CRT	12/15	MARINER/TRICADIA (MARITRICAD)	041	FDML	S	8,300	4.17	n/a	n/a	166.00	2.0
AO,CXL	12/16	MARINER/TRICADIA (MARITRICAD)	041	FDML	S	3,500	3.60	n/a	n/a	175.00	5.0
AO,CRT	12/16	MARINER/TRICADIA (MARITRICAD)	041	FDML	S	3,500	3.60	n/a	n/a	70.00	2.0
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTSEP465)	215	HON	S	4,400	31.57	3-0ct	18-Nov	154.00	3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTLUXNA)	215	HON	S	14,000	31.57	3-0ct	18-Nov	490.00	3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTSEP588)	215	HON	S	12,650	31.57	3-0ct	18-Nov	442.75	3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTSEP596)	215	HON	S	1,120	31.57	3-0ct	18-Nov	39.20	3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTIMSCI)	215	HON	S	11,000	31.57	3-0ct	18-Nov	385.00	3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTNNA_US)	215	HON	S	80,600	31.57	3-0ct	18-Nov	2821.00	3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTSEPCO3)	215	HON	S	31,500	31.57	3-0ct	18-Nov	1102.50	3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTAIMCCC)	215	HON	S	34,850	31.57	3-0ct	18-Nov	1219.75	3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTGIGAE)	215	HON	S	17,250	31.57	3-0ct	18-Nov	603.75	3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTBALPE)	215	HON	S	37,900	31.57	3-0ct	18-Nov	1326.50	3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTPTCAD)	215	HON	S	3,450	31.57	3-0ct	18-Nov	120.75	3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTBALFE)	215	HON	S	8,550	31.57	3-0ct	18-Nov	299.25	3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTBRICK7)	215	HON	S	900	31.57	3-0ct	18-Nov	31.50	3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTPLCF)	215	HON	S	49,350	31.57	3-0ct	18-Nov	1727.25	3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTPLCP)	215	HON	S	106,850	31.57	3-0ct	18-Nov	3739.75	3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTBERMUQ)	215	HON	S	320	31.57	3-0ct	18-Nov	11.20	3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTLUXECL)	215	HON	S	5,670	31.57	3-0ct	18-Nov	198.45	3.5
AO,CXL	12/11	AELTUS/ING IVESTMENT MGT (AELT31624)	215	URBN	S	141	15.15	5-Nov	12-Dec	4.94	3.5
AO,	12/11	AELTUS/ING IVESTMENT MGT (AELT31623)	215	URBN	S	141	15.15	5-Nov	12-Dec	4.94	3.5

Туре	Date Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL	(AO, CXL, CRT):						13,2	12.60
TOTAL	(Trade Date):						90,6	97.86
TOTAL	(AO, CXL, CRT):						13,2	12.60
TOTAL	(RUN DATE) / NFS:						103,9	10.46

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