

## **Daily Compliance Activity Report** Trade Date: 08/08/2008

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
BUCK	015	ABT	S	300	59.06	n/a	22-Apr	0.00	0.0
TYEE/TYGH	035	AMG	В	22,245	90.85	23-Jul	5-Aug	889.80	4.0
BUCK CAPITAL MGMT	001	ANF	S	110,000	49.62	7-Aug	8-Aug	4,400.00	4.0
COUGAR TRADING	044	ANF	В	20,000	49.28	7-Aug	8-Aug	1,000.00	5.0
PRINCIPLE CAPITAL	040	ANF	SS	62,300	49.73	7-Aug	8-Aug	2,492.00	4.0
BUCK CAPITAL MGMT	001	ANN	SS	20,000	25.25	n/a	11-Jul	800.00	4.0
COUGAR TRADING	044	AN	В	15,000	11.71	25-Jul	28-Jul	750.00	5.0
CAPITAL GROWTH MGMT.	241	APC	S	117,300	53.55	20-Mar	5-Aug	5,865.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	20,000	34.38	28-Apr	8-Aug	800.00	4.0
COUGAR TRADING	044	ARO	S	5,000	33.29	28-Apr	8-Aug	250.00	5.0
ZOLIDIS	011	ARO	S	500	34.00	28-Apr	8-Aug	0.00	0.0
LISTED ERR	099	ARO	В	4,100	32.95	28-Apr	8-Aug	0.00	0.0
LISTED ERR	099	ARO	S	4,100	32.95	28-Apr	8-Aug	0.00	0.0
BMO NESBITT BURNS	041	AVP	В	25,000	43.59	31-Jul	31-Jul	1,250.00	5.0
IRIDIAN ASSET MGMT.	036	AWI	S	38,240	35.26	n/a	n/a	1,912.00	5.0
BUCK CAPITAL MGMT	001	AZO	SS	10,000	138.09	n/a	n/a	400.00	4.0
BUCK	015	BAC	В	200	32.45	n/a	29-Jul	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
LEDDY	035	BIG	SS	1,000	32.84	29-May	8-Aug	0.00	0.0
INDEPENDENCE INV	039	BSX	S	9,000	12.89	n/a	22-Apr	360.00	4.0
LEDDY	035	BWA	SS	300	41.42	10-Jun	1-Aug	0.00	0.0
INDEPENDENCE INV	039	CAM	S	10,100	46.84	n/a	n/a	404.00	4.0
LEDDY	035	CMI	С	300	68.25	n/a	23-May	0.00	0.0
BUCK	015	DIS	В	500	31.99	n/a	n/a	0.00	0.0
WEISS PECK	040	DLM	S	100,000	8.69	n/a	n/a	4,000.00	4.0
INDEPENDENCE INV	039	DOV	S	14,300	48.31	n/a	n/a	572.00	4.0
BUCK CAPITAL MGMT	001	DRI	В	40,000	34.86	n/a	26-Jun	1,600.00	4.0
N STRATTON	014	ESCA	В	250	3.35	n/a	n/a	0.00	0.0
ASCEND PARTNERS	033	FDO	SS	30,000	24.63	23-Jul	8-Aug	1,500.00	5.0
WAGONHOUND/NIC	048	FOSL	В	5 <b>,</b> 173	27.17	n/a	6-Aug	206.92	4.0
KORMAN	003	FSYS	SS	2,000	48.18	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	В	110,000	31.03	n/a	10-Jan	4,400.00	4.0
BUCK CAPITAL MGMT	001	GES	В	37,500	34.80	n/a	n/a	1,500.00	4.0

Account	RR #	Symbol	В/	s	Shares	Price	MRI	Research	Comm.	\$/Shr.	
WOOSTER CAPITAL	035	GIL	В		50,000	26.26	30-Apr	18-Jul	2,500.00	5.0	
LEDDY	035	GNTX		SS	900	15.72	24-Jun	28-Jul	0.00	0.0	
COUGAR TRADING	044	GPI	В		15,000	22.30	10-Jun	30-Jul	750.00	5.0	
COUGAR TRADING	044	GPS		S	5,000	18.10	n/a	8-Aug	250.00	5.0	
BUCK	015	GSK		s	1,400	48.47	n/a	n/a	0.00	0.0	
SANDLER O'NEILL ASSET	031	GS		S	10,000	175.74	19-Mar	14-Jul	500.00	5.0	
INDEPENDENCE INV	039	GWW		S	17,100	87.26	14-Apr	16-Jul	684.00	4.0	
PERRY PARTNERS	041	GW	В		96 <b>,</b> 500	8.61	n/a	n/a	2,895.00	3.0	
PALMYRA CAPITAL	048	GYMB	В		17,500	37.53	11-Jul	8-Aug	875.00	5.0	
WHEELER	008	HAYN		s	1,000	58.13	n/a	n/a	0.00	0.0	
BUCK CAPITAL MGMT	001	HBI	В		100,000	24.72	n/a	n/a	4,000.00	4.0	
WAGONHOUND/NIC	048	HD		S	6,100	26.44	n/a	27-Jul	244.00	4.0	
MAIRS AND POWER INV	030	INTC		S	20,000	23.99	n/a	n/a	1,000.00	5.0	
HIGHBRIDGE CAPITAL	038	IP	В		14,333	28.66	1-Aug	1-Aug	716.65	5.0	
STANDARD PACIFIC CAPITAL	040	JCG		SS	105,000	28.93	n/a	30-May	5,250.00	5.0	
	WOOSTER CAPITAL  LEDDY  COUGAR TRADING  COUGAR TRADING  BUCK  SANDLER O'NEILL ASSET  INDEPENDENCE INV  PERRY PARTNERS  PALMYRA CAPITAL  WHEELER  BUCK CAPITAL MGMT  WAGONHOUND/NIC  MAIRS AND POWER INV  HIGHBRIDGE CAPITAL	WOOSTER CAPITAL 035  LEDDY 035  COUGAR TRADING 044  COUGAR TRADING 044  BUCK 015  SANDLER O'NEILL ASSET 031  INDEPENDENCE INV 039  PERRY PARTNERS 041  PALMYRA CAPITAL 048  WHEELER 008  BUCK CAPITAL MGMT 001  WAGONHOUND/NIC 048  MAIRS AND POWER INV 030  HIGHBRIDGE CAPITAL 038	WOOSTER CAPITAL  LEDDY  035 GNTX  COUGAR TRADING  044 GPI  COUGAR TRADING  044 GPS  BUCK  SANDLER O'NEILL ASSET  1NDEPENDENCE INV  039 GWW  PERRY PARTNERS  041 GW  PALMYRA CAPITAL  WHEELER  008 HAYN  BUCK CAPITAL MGMT  001 HBI  WAGONHOUND/NIC  048 HD  MAIRS AND POWER INV  038 IP	WOOSTER CAPITAL  LEDDY  O35 GNTX  COUGAR TRADING  O44 GPI B  COUGAR TRADING  O44 GPS  BUCK  O15 GSK  SANDLER O'NEILL ASSET  O31 GS  INDEPENDENCE INV  O39 GWW  PERRY PARTNERS  O41 GW B  PALMYRA CAPITAL  O48 GYMB B  WHEELER  O08 HAYN  BUCK CAPITAL MGMT  O01 HBI B  WAGONHOUND/NIC  O48 HD  MAIRS AND POWER INV  O30 INTC  HIGHBRIDGE CAPITAL  O38 IP B	WOOSTER CAPITAL  LEDDY  035 GNTX SS  COUGAR TRADING 044 GPI B  COUGAR TRADING 044 GPS S  BUCK 015 GSK S  SANDLER O'NEILL ASSET 031 GS S  INDEPENDENCE INV 039 GWW S  PERRY PARTNERS 041 GW B  WHEELER 008 HAYN S  BUCK CAPITAL MGMT 001 HBI WAGONHOUND/NIC 048 HD S  MAIRS AND POWER INV 030 INTC S  HIGHBRIDGE CAPITAL 038 IP B	WOOSTER CAPITAL         035         GIL         B         50,000           LEDDY         035         GNTX         SS         900           COUGAR TRADING         044         GPI         B         15,000           COUGAR TRADING         044         GPS         S         5,000           BUCK         015         GSK         S         1,400           SANDLER O'NEILL ASSET         031         GS         S         10,000           INDEPENDENCE INV         039         GWW         S         17,100           PERRY PARTNERS         041         GW         B         96,500           PALMYRA CAPITAL         048         GYMB         B         17,500           WHEELER         008         HAYN         S         1,000           BUCK CAPITAL MGMT         001         HBI         B         100,000           WAGONHOUND/NIC         048         HD         S         6,100           MAIRS AND POWER INV         030         INTC         S         20,000           HIGHBRIDGE CAPITAL         038         IP         B         14,333	WOOSTER CAPITAL         035         GIL         B         50,000         26.26           LEDDY         035         GNTX         SS         900         15.72           COUGAR TRADING         044         GPI         B         15,000         22.30           COUGAR TRADING         044         GPS         S         5,000         18.10           BUCK         015         GSK         S         1,400         48.47           SANDLER O'NEILL ASSET         031         GS         S         10,000         175.74           INDEPENDENCE INV         039         GWW         S         17,100         87.26           PERRY PARTNERS         041         GW         B         96,500         8.61           PALMYRA CAPITAL         048         GYMB         B         17,500         37.53           WHEELER         008         HAYN         S         1,000         58.13           BUCK CAPITAL MGMT         001         HBI         B         100,000         24.72           WAGONHOUND/NIC         048         HD         S         6,100         26.44           MAIRS AND POWER INV         030         INTC         S         20,000         23.99 <td>WOOSTER CAPITAL         035         GIL         B         50,000         26.26         30-Apr           LEDDY         035         GNTX         SS         900         15.72         24-Jun           COUGAR TRADING         044         GPI         B         15,000         22.30         10-Jun           COUGAR TRADING         044         GPS         S         5,000         18.10         n/a           BUCK         015         GSK         S         1,400         48.47         n/a           SANDLER O'NEILL ASSET         031         GS         S         10,000         175.74         19-Mar           INDEPENDENCE INV         039         GWW         S         17,100         87.26         14-Apr           PERRY PARTNERS         041         GW         B         96,500         8.61         n/a           PALMYRA CAPITAL         048         GYMB         B         17,500         37.53         11-Jul           WHEELER         008         HAYN         S         1,000         58.13         n/a           BUCK CAPITAL MGMT         001         HBI         B         100,000         24.72         n/a           WAGONHOUND/NIC         048</td> <td>WOOSTER CAPITAL         035         GIL         B         50,000         26.26         30-Apr         18-Jul           LEDDY         035         GNTX         SS         900         15.72         24-Jun         28-Jul           COUGAR TRADING         044         GPI         B         15,000         22.30         10-Jun         30-Jul           COUGAR TRADING         044         GPS         S         5,000         18.10         n/a         8-Aug           BUCK         015         GSK         S         1,400         48.47         n/a         n/a           SANDLER O'NEILL ASSET         031         GS         S         10,000         175.74         19-Mar         14-Jul           INDEPENDENCE INV         039         GWW         S         17,100         87.26         14-Apr         16-Jul           PERRY PARTNERS         041         GW         B         96,500         8.61         n/a         n/a           WHEELER         008         HAYN         S         1,000         58.13         n/a         n/a           BUCK CAPITAL MGMT         001         HBI         B         100,000         24.72         n/a         n/a           <t< td=""><td>MOOSTER CAPITAL         035         GIL         B         50,000         26.26         30-Apr         18-Jul         2,500.00           LEDDY         035         GNTX         SS         900         15.72         24-Jun         28-Jul         0.00           COUGAR TRADING         044         GPI         B         15,000         22.30         10-Jun         30-Jul         750.00           BUCK         015         GSK         S         5,000         18.10         n/a         8-Aug         250.00           SANDLER O'NEILL ASSET         031         GS         S         10,000         175.74         19-Mar         14-Jul         500.00           TODEPENDENCE INV         039         GWW         S         17,100         87.26         14-Apr         16-Jul         684.00           PERRY PARTNERS         041         GW         B         96,500         8.61         n/a         n/a         2,895.00           PALMYRA CAPITAL         048         GYMB         B         17,500         37.53         11-Jul         8-Aug         875.00           BUCK CAPITAL MGMT         001         HBI         B         100,000         24.72         n/a         n/a         4,000.00&lt;</td><td>MOOSTER CAPITAL         035         GIL         B         50,000         26.26         30-Apr         18-Jul         2,500.00         5.0           LEDDY         035         GNTX         SS         900         15.72         24-Jun         28-Jul         0.00         0.0           COUGAR TRADING         044         GPI         B         15,000         22.30         10-Jun         30-Jul         750.00         5.0           BUCK         015         GSK         S         5,000         18.10         n/a         8-Aug         250.00         5.0           BUCK         015         GSK         S         1,400         48.47         n/a         n/a         0.00         0.0           SANDLER O'NEILL ASSET         031         GS         S         10,000         175.74         19-Mar         14-Jul         500.00         5.0           TINDEPENDENCE INV         039         GWW         S         17,100         87.26         14-Apr         16-Jul         684.00         4.0           PALMYRA CAPITAL         048         GYMB         B         17,500         37.53         11-Jul         8-Aug         85.00         5.0           WHEELER         008</td></t<></td>	WOOSTER CAPITAL         035         GIL         B         50,000         26.26         30-Apr           LEDDY         035         GNTX         SS         900         15.72         24-Jun           COUGAR TRADING         044         GPI         B         15,000         22.30         10-Jun           COUGAR TRADING         044         GPS         S         5,000         18.10         n/a           BUCK         015         GSK         S         1,400         48.47         n/a           SANDLER O'NEILL ASSET         031         GS         S         10,000         175.74         19-Mar           INDEPENDENCE INV         039         GWW         S         17,100         87.26         14-Apr           PERRY PARTNERS         041         GW         B         96,500         8.61         n/a           PALMYRA CAPITAL         048         GYMB         B         17,500         37.53         11-Jul           WHEELER         008         HAYN         S         1,000         58.13         n/a           BUCK CAPITAL MGMT         001         HBI         B         100,000         24.72         n/a           WAGONHOUND/NIC         048	WOOSTER CAPITAL         035         GIL         B         50,000         26.26         30-Apr         18-Jul           LEDDY         035         GNTX         SS         900         15.72         24-Jun         28-Jul           COUGAR TRADING         044         GPI         B         15,000         22.30         10-Jun         30-Jul           COUGAR TRADING         044         GPS         S         5,000         18.10         n/a         8-Aug           BUCK         015         GSK         S         1,400         48.47         n/a         n/a           SANDLER O'NEILL ASSET         031         GS         S         10,000         175.74         19-Mar         14-Jul           INDEPENDENCE INV         039         GWW         S         17,100         87.26         14-Apr         16-Jul           PERRY PARTNERS         041         GW         B         96,500         8.61         n/a         n/a           WHEELER         008         HAYN         S         1,000         58.13         n/a         n/a           BUCK CAPITAL MGMT         001         HBI         B         100,000         24.72         n/a         n/a <t< td=""><td>MOOSTER CAPITAL         035         GIL         B         50,000         26.26         30-Apr         18-Jul         2,500.00           LEDDY         035         GNTX         SS         900         15.72         24-Jun         28-Jul         0.00           COUGAR TRADING         044         GPI         B         15,000         22.30         10-Jun         30-Jul         750.00           BUCK         015         GSK         S         5,000         18.10         n/a         8-Aug         250.00           SANDLER O'NEILL ASSET         031         GS         S         10,000         175.74         19-Mar         14-Jul         500.00           TODEPENDENCE INV         039         GWW         S         17,100         87.26         14-Apr         16-Jul         684.00           PERRY PARTNERS         041         GW         B         96,500         8.61         n/a         n/a         2,895.00           PALMYRA CAPITAL         048         GYMB         B         17,500         37.53         11-Jul         8-Aug         875.00           BUCK CAPITAL MGMT         001         HBI         B         100,000         24.72         n/a         n/a         4,000.00&lt;</td><td>MOOSTER CAPITAL         035         GIL         B         50,000         26.26         30-Apr         18-Jul         2,500.00         5.0           LEDDY         035         GNTX         SS         900         15.72         24-Jun         28-Jul         0.00         0.0           COUGAR TRADING         044         GPI         B         15,000         22.30         10-Jun         30-Jul         750.00         5.0           BUCK         015         GSK         S         5,000         18.10         n/a         8-Aug         250.00         5.0           BUCK         015         GSK         S         1,400         48.47         n/a         n/a         0.00         0.0           SANDLER O'NEILL ASSET         031         GS         S         10,000         175.74         19-Mar         14-Jul         500.00         5.0           TINDEPENDENCE INV         039         GWW         S         17,100         87.26         14-Apr         16-Jul         684.00         4.0           PALMYRA CAPITAL         048         GYMB         B         17,500         37.53         11-Jul         8-Aug         85.00         5.0           WHEELER         008</td></t<>	MOOSTER CAPITAL         035         GIL         B         50,000         26.26         30-Apr         18-Jul         2,500.00           LEDDY         035         GNTX         SS         900         15.72         24-Jun         28-Jul         0.00           COUGAR TRADING         044         GPI         B         15,000         22.30         10-Jun         30-Jul         750.00           BUCK         015         GSK         S         5,000         18.10         n/a         8-Aug         250.00           SANDLER O'NEILL ASSET         031         GS         S         10,000         175.74         19-Mar         14-Jul         500.00           TODEPENDENCE INV         039         GWW         S         17,100         87.26         14-Apr         16-Jul         684.00           PERRY PARTNERS         041         GW         B         96,500         8.61         n/a         n/a         2,895.00           PALMYRA CAPITAL         048         GYMB         B         17,500         37.53         11-Jul         8-Aug         875.00           BUCK CAPITAL MGMT         001         HBI         B         100,000         24.72         n/a         n/a         4,000.00<	MOOSTER CAPITAL         035         GIL         B         50,000         26.26         30-Apr         18-Jul         2,500.00         5.0           LEDDY         035         GNTX         SS         900         15.72         24-Jun         28-Jul         0.00         0.0           COUGAR TRADING         044         GPI         B         15,000         22.30         10-Jun         30-Jul         750.00         5.0           BUCK         015         GSK         S         5,000         18.10         n/a         8-Aug         250.00         5.0           BUCK         015         GSK         S         1,400         48.47         n/a         n/a         0.00         0.0           SANDLER O'NEILL ASSET         031         GS         S         10,000         175.74         19-Mar         14-Jul         500.00         5.0           TINDEPENDENCE INV         039         GWW         S         17,100         87.26         14-Apr         16-Jul         684.00         4.0           PALMYRA CAPITAL         048         GYMB         B         17,500         37.53         11-Jul         8-Aug         85.00         5.0           WHEELER         008

Account	RR #	Symbol	В/	s	Shares	Price	MRI	Research	Comm.	Shr.
COUGAR TRADING	044	JWN		S	5,000	28.93	10-Jul	8-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	KSS	В		95,000	45.73	n/a	8-Aug	3,800.00	4.0
BMO NESBITT BURNS	041	LPX		SS	18,000	9.10	n/a	4-Aug	900.00	5.0
BMO NESBITT BURNS	041	LPX		S	32,000	9.11	n/a	4-Aug	1,600.00	5.0
COUGAR TRADING	044	LTD		S	10,000	18.52	n/a	8-Aug	500.00	5.0
BENCHMARK	028	LUB	В		6,800	6.93	n/a	n/a	340.00	5.0
SECOND CURVE	031	MBI		S	50,000	8.61	n/a	n/a	2,500.00	5.0
MERRILL ASSET	032	MKC	В		13,700	41.13	n/a	n/a	616.50	4.5
BUCK	015	MRK	В		2,300	36.00	n/a	n/a	0.00	0.0
WASHINGTON ASSET	048	MTW	В		12,000	24.65	n/a	23-May	600.00	5.0
BUCK CAPITAL MGMT	001	MW		SS	10,000	22.11	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	м	В		250,000	19.73	8-Aug	8-Aug	10,000.00	4.0
COUGAR TRADING	044	М		S	10,000	20.17	8-Aug	8-Aug	500.00	5.0
GOLDMAN SACHS ASSET MGMT	044	NCMI		S	83,000	12.72	n/a	n/a	1,245.00	1.5
SOROS	036	NILE	В		12,093	43.23	n/a	n/a	483.72	4.0
INDEPENDENCE INV	039	OCR		S	23,300	29.55	1-Aug	1-Aug	932.00	4.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.	
COUGAR TRADING	044	PAG	В	10,000	14.69	10-Jun	1-Aug	500.00	5.0	
US BANCORP	030	PDX		s 132,518	56.50	n/a	n/a	6,625.90	5.0	
INDEPENDENCE INV	039	PH		s 10,200	61.16	1-Aug	1-Aug	408.00	4.0	
TRELLUS PARTNERS LP	028	PKG	В	34,400	24.30	22-Jul	22-Jul	1,720.00	5.0	
PENN CAPITAL MGMT	243	PVH	В	40,585	39.39	5-May	18-Jul	1,623.40	4.0	
ZOLIDIS	011	QUKHF		s 10	0.60	n/a	n/a	0.00	0.0	
ZOLIDIS	011	QUKTD	В	6	3.40	n/a	n/a	0.00	0.0	
FIRST NEW YORK LEDDY	035	Q	В	75 <b>,</b> 000	3.75	n/a	n/a	4,500.00	6.0	
FIRST NEW YORK NICK	029	Q		s 20,000	3.68	n/a	n/a	1,000.00	5.0	
BULL PATH CAPITAL	044	RCL	В	30,000	27.76	23-Jul	23-Jul	1,500.00	5.0	
COUGAR TRADING	044	SAH	В	10,000	11.13	n/a	30-Jul	500.00	5.0	
BUCK	015	SGPPRB		s 50	191.95	n/a	n/a	0.00	0.0	
BUCK	015	SLB	В	200	91.85	n/a	n/a	0.00	0.0	
COUGAR TRADING	044	SMG	В	5,000	23.64	4-Aug	4-Aug	250.00	5.0	
BUCK	015	SPY	В	200	129.73	n/a	n/a	0.00	0.0	
COUGAR TRADING	044	SSO		s 5,000	61.43	n/a	n/a	250.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
INDEPENDENCE INV	039	STT	S	17,300	69.39	n/a	n/a	692.00	4.0
BAIRD INVESTMENT	031	SYNA	S	1,708	53.76	n/a	n/a	85.40	5.0
IRONBOUND CAPITAL	012	TIN	S	2,600	16.96	29-Apr	30-Jul	78.00	3.0
NWQ INVESTMENT MGMT CO	048	TIN	S	67 <b>,</b> 750	16.26	29-Apr	30-Jul	2,710.00	4.0
LISTED ERR	099	TJX	В	1,000	35.68	n/a	8-Aug	0.00	0.0
BUCK CAPITAL MGMT	001	TLB	S	100,000	12.53	7-Aug	8-Aug	4,000.00	4.0
BUCK CAPITAL MGMT	001	TWB	SS	30,000	13.47	17-Mar	22-May	1,200.00	4.0
WHITE PINE CAPITAL	030	UNT	S	20,275	61.35	20-Mar	1-Aug	1,013.75	5.0
WHALE ROCK CAP	030	VISN	S	124,228	20.03	n/a	n/a	4,969.12	4.0
COUGAR TRADING	044	WMT	В	5,000	58.06	8-Aug	8-Aug	250.00	5.0
COUGAR TRADING	044	WMT	SS	5,000	58.14	8-Aug	8-Aug	250.00	5.0
MERRILL LYNCH STRATEGICI	034	WMT	SS	30,000	57.87	8-Aug	8-Aug	1,500.00	5.0
BUCK CAPITAL MGMT	001	WRC	s	25,000	49.28	8-Aug	8-Aug	1,000.00	4.0
RBC CAPITAL MARKETS	034	WRC	S	20,000	50.12	8-Aug	8-Aug	800.00	4.0
BUCK CAPITAL MGMT	001	WWW	SS	18,372	27.16	n/a	13-Mar	734.88	4.0

TOTAL (Trade Date): 117,844.04

Cancel/Corrects and As-Of Trades

Гуре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr
AO,CRT	08/06	PILOT ADV (PILOEXPLOR)	038	CIT	SS	1,000	8.94	n/a	n/a	30.00	3.0
O,CXL	08/06	PILOT ADV (PILOBSOMNI)	038	CIT	SS	1,000	8.94	n/a	n/a	30.00	3.0
O,CXL	08/07	THE JAY GOLDMAN (GOLDGSBULK)	034	DDS	В	25,000	10.16	n/a	n/a	1250.00	5.0
O,CRT	08/07	THE JAY GOLDMAN (GOLDGSBULK)	034	DDS	В	25,000	10.16	n/a	n/a	1000.00	4.0
O,CRT	08/07	STELLIAM INV ADV (STLLGSBULK)	040	DE	SS	5,000	67.55	n/a	23-May	250.00	5.0
O,CXL	08/07	STELLIAM INV ADV (STLLMSEXEC)	040	DE	SS	5,000	67.55	n/a	23-May	250.00	5.0
O,CRT	08/07	GABELLI FUNDS (GABEASSET)	028	EDS	В	100,000	24.87	n/a	n/a	5000.00	5.0
O,CXL	08/07	GABELLI FUNDS (GABEALPHA)	028	EDS	В	100,000	24.87	n/a	n/a	5000.00	5.0
O,CRT	08/06	PILOT ADV (PILOEXPLOR)	038	IM	SS	500	19.26	n/a	n/a	20.00	4.0
O,CXL	08/06	PILOT ADV (PILOBSOMNI)	038	IM	SS	500	19.26	n/a	n/a	20.00	4.0
.0,	08/07	SOUNDPOST CAP MGMT (SOUNGSCOPB)	048	MWA	SS	20,000	10.45	8-Aug	8-Aug	1000.00	5.0
O,CXL	08/07	PERRY PARTNERS (PERRGOLDMA)	041	NFS	S	50,000	51.06	n/a	n/a	2500.00	5.0
O,CRT	08/07	PERRY PARTNERS (PERRGOLDMA)	041	NFS	S	50,000	51.06	n/a	n/a	1500.00	3.0
.0,	08/07	TRELLUS PARTNERS LP (TRELMAIN)	028	PAG	SS	30,000	13.92	10-Jun	1-Aug	1500.00	5.0
RT	08/08	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TWB	SS	30,000	13.47	17-Mar	22-May	1200.00	4.0

TOTAL (AO, CXL, CRT): 2,450.00

TOTAL (RUN DATE) / NFS:	120,294.04
TOTAL (AO, CXL, CRT):	2,450.00
TOTAL (Trade Date):	117,844.04

## Legend:

O: 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