

## **Daily Compliance Activity Report** Trade Date: 01/25/2007

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

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
ELAZAR ADV	034	AAON	В	4,621	27.89	n/a	n/a	231.05	5.0
GLENHILL CAPITAL	038	AEOS	В	50,000	32.56	4-Jan	12-Jan	2,500.00	5.0
MKT MAKER	099	AEOS	В	500	32.50	4-Jan	12-Jan	0.00	0.0
Glenn Redemann		AMAG	В	8	0.3200	n/a	n/a	0.00	0.0
Glenn Redemann		AMAG	В	8	0.5400	n/a	n/a	0.00	0.0
Glenn Redemann		AMAG	S	8	1.0400	n/a	n/a	0.00	0.0
Glenn Redemann		AMAG	S	8	1.1700	n/a	n/a	0.00	0.0
TILLDALE MGMT.	048	AMD	S	15,000	16.30	n/a	n/a	750.00	5.0
BALYASNY ASSET MGMT	044	AMG	В	15,000	112.84	25-Jan	25-Jan	750.00	5.0
BALYASNY ASSET MGMT	044	AMG	SS	5,000	110.63	25-Jan	25-Jan	250.00	5.0
SUNOVA CAPITAL	031	AMG	S	40,000	111.55	25-Jan	25-Jan	2,000.00	5.0
ELAZAR ADV	034	ANF	В	1,310	80.67	3-Nov	5-Jan	65.50	5.0
COUGAR TRADING	044	ANN	S	5,000	32.60	5-Jan	5-Jan	250.00	5.0
ELAZAR ADV	034	APPB	SS	14,444	24.76	n/a	n/a	722.20	5.0
TRIBECA	038	ARO	В	8,200	35.56	23-0ct	5-Jan	328.00	4.0
CAPITAL GROWTH MGMT.	241	BAC	S	50,000	52.40	11-Jan	23-Jan	2,500.00	5.0
BUCK CAPITAL MGMT	001	BBY	S	10,000	49.84	13-Dec	10-Jan	400.00	4.0

Account	RR #	Symbol	B/S	5	Shares	Price	MRI	Research	Comm. (	Shr.
CAPITAL GROWTH MGMT.	241	ВНІ	В		10,000	67.07	n/a	n/a	500.00	5.0
SUN AMERICA ASSET MGMT	030	BJS	В		28,600	27.15	n/a	n/a	1,430.00	5.0
BALYASNY ASSET MGMT	044	BLK		S	8,000	170.84	16-0ct	25-Jan	400.00	5.0
GENERAL ELECTIC CO	033	ВМҮ	В		14,558	26.29	n/a	n/a	655.16	4.5
ROYCE TRADING	216	СВК	В		55,300	18.71	11-Dec	5-Jan	2,765.00	5.0
TILLDALE MGMT.	048	CC		S	10,000	20.57	20-Dec	10-Jan	500.00	5.0
WHEELER	800	СНР	В		30,000	5.15	n/a	n/a	0.00	0.0
BRIGHTPOINT CAP	067	CHS	В		10,000	20.86	5-Jan	5-Jan	500.00	5.0
TRIBECA	038	CKR	В		17,100	19.42	n/a	n/a	684.00	4.0
AVESTA CAP	229	CLX		S	25,000	65.00	5-Dec	5-Dec	1,250.00	5.0
ELAZAR ADV	034	CMG		SS	7,776	57.44	n/a	12-Dec	388.80	5.0
BALYASNY ASSET MGMT	044	CNS	В		5,000	48.58	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	СОН		s	50,000	43.85	24-Jan	24-Jan	2,000.00	4.0
KARSCH CAPITAL	034	COST	В		7,300	55.97	n/a	5-Jan	219.00	3.0
BALYASNY ASSET MGMT	044	COWN		S	10,000	19.80	n/a	n/a	500.00	5.0
	CAPITAL GROWTH MGMT.  SUN AMERICA ASSET MGMT  BALYASNY ASSET MGMT  GENERAL ELECTIC CO  ROYCE TRADING  TILLDALE MGMT.  WHEELER  BRIGHTPOINT CAP  TRIBECA  AVESTA CAP  ELAZAR ADV  BALYASNY ASSET MGMT  BUCK CAPITAL MGMT  KARSCH CAPITAL	CAPITAL GROWTH MGMT. 241  SUN AMERICA ASSET MGMT 030  BALYASNY ASSET MGMT 044  GENERAL ELECTIC CO 033  ROYCE TRADING 216  TILLDALE MGMT. 048  WHEELER 008  BRIGHTPOINT CAP 067  TRIBECA 038  AVESTA CAP 229  ELAZAR ADV 034  BALYASNY ASSET MGMT 044  BUCK CAPITAL MGMT 001  KARSCH CAPITAL MGMT 034	CAPITAL GROWTH MGMT. 241 BHI  SUN AMERICA ASSET MGMT 030 BJS  BALYASNY ASSET MGMT 044 BLK  GENERAL ELECTIC CO 033 BMY  ROYCE TRADING 216 CBK  TILLDALE MGMT. 048 CC  WHEELER 008 CHP  BRIGHTPOINT CAP 067 CHS  TRIBECA 038 CKR  AVESTA CAP 229 CLX  ELAZAR ADV 034 CMG  BALYASNY ASSET MGMT 044 CNS  BUCK CAPITAL MGMT 001 COH  KARSCH CAPITAL MGMT 034 COST	CAPITAL GROWTH MGMT. 241 BHI B SUN AMERICA ASSET MGMT 030 BJS B BALYASNY ASSET MGMT 044 BLK GENERAL ELECTIC CO 033 BMY B ROYCE TRADING 216 CBK B TILLDALE MGMT. 048 CC WHEELER 008 CHP B BRIGHTPOINT CAP 067 CHS B TRIBECA 038 CKR B AVESTA CAP 229 CLX ELAZAR ADV 034 CMG BALYASNY ASSET MGMT 044 CNS B BUCK CAPITAL MGMT 001 COH KARSCH CAPITAL 034 COST B	CAPITAL GROWTH MGMT. 241 BHI B SUN AMERICA ASSET MGMT 030 BJS B BALYASNY ASSET MGMT 044 BLK S GENERAL ELECTIC CO 033 BMY B ROYCE TRADING 216 CBK B TILLDALE MGMT. 048 CC S WHEELER 008 CHP B BRIGHTPOINT CAP 067 CHS B TRIBECA 038 CKR B AVESTA CAP 229 CLX S ELAZAR ADV 034 CMG SS BALYASNY ASSET MGMT 044 CNS B BUCK CAPITAL MGMT 001 COH S KARSCH CAPITAL MGMT 001 COH S	CAPITAL GROWTH MGMT. 241 BHI B 10,000  SUN AMERICA ASSET MGMT 030 BJS B 28,600  BALYASNY ASSET MGMT 044 BLK S 8,000  GENERAL ELECTIC CO 033 BMY B 14,558  ROYCE TRADING 216 CBK B 55,300  TILLDALE MGMT. 048 CC S 10,000  WHEELER 008 CHP B 30,000  BRIGHTPOINT CAP 067 CHS B 10,000  TRIBECA 038 CKR B 17,100  AVESTA CAP 229 CLX S 25,000  ELAZAR ADV 034 CMG SS 7,776  BALYASNY ASSET MGMT 044 CNS B 5,000  BUCK CAPITAL MGMT 001 COH S 50,000  KARSCH CAPITAL MGMT 001 COH S 7,300	CAPITAL GROWTH MGMT. 241 BHI B 10,000 67.07  SUN AMERICA ASSET MGMT 030 BJS B 28,600 27.15  BALYASNY ASSET MGMT 044 BLK S 8,000 170.84  GENERAL ELECTIC CO 033 BMY B 14,558 26.29  ROYCE TRADING 216 CBK B 55,300 18.71  TILLDALE MGMT. 048 CC S 10,000 20.57  WHEELER 008 CHP B 30,000 5.15  BRIGHTPOINT CAP 067 CHS B 10,000 20.86  TRIBECA 038 CKR B 17,100 19.42  AVESTA CAP 229 CLX S 25,000 65.00  ELAZAR ADV 034 CMG SS 7,776 57.44  BALYASNY ASSET MGMT 044 CNS B 5,000 48.58  BUCK CAPITAL MGMT 001 COH S 50,000 43.85  KARSCH CAPITAL MGMT 001 COH B 7,300 55.97	CAPITAL GROWTH MGMT. 241 BHI B 10,000 67.07 n/a  SUN AMERICA ASSET MGMT 030 BJS B 28,600 27.15 n/a  BALYASNY ASSET MGMT 044 BLK S 8,000 170.84 16-Oct  GENERAL ELECTIC CO 033 BMY B 14,558 26.29 n/a  ROYCE TRADING 216 CBK B 55,300 18.71 11-Dec  TILLDALE MGMT. 048 CC S 10,000 20.57 20-Dec  WHEELER 008 CHP B 30,000 5.15 n/a  BRIGHTPOINT CAP 067 CHS B 10,000 20.86 5-Jan  TRIBECA 038 CKR B 17,100 19.42 n/a  AVESTA CAP 229 CLX S 25,000 65.00 5-Dec  ELAZAR ADV 034 CMG SS 7,776 57.44 n/a  BALYASNY ASSET MGMT 044 CNS B 5,000 48.58 n/a  BUCK CAPITAL MGMT 001 COH S 50,000 43.85 24-Jan  KARSCH CAPITAL MGMT 034 COST B 7,300 55.97 n/a	CAPITAL GROWTH MGMT. 241 BHI B 10,000 67.07 n/a n/a SUN AMERICA ASSET MGMT 030 BJS B 28,600 27.15 n/a n/a BALYASNY ASSET MGMT 044 BLK S 8,000 170.84 16-Oct 25-Jan GENERAL ELECTIC CO 033 BMY B 14,558 26.29 n/a n/a ROYCE TRADING 216 CBK B 55,300 18.71 11-Dec 5-Jan TILLDALE MGMT. 048 CC S 10,000 20.57 20-Dec 10-Jan WHEELER 008 CHP B 30,000 5.15 n/a n/a BRIGHTPOINT CAP 067 CHS B 10,000 20.86 5-Jan 5-Jan TRIBECA 038 CKR B 17,100 19.42 n/a n/a AVESTA CAP 229 CLX S 25,000 65.00 5-Dec 5-Dec ELAZAR ADV 034 CMG SS 7,776 57.44 n/a 12-Dec BALYASNY ASSET MGMT 044 CNS B 5,000 48.58 n/a n/a BUCK CAPITAL MGMT 001 COH S 50,000 43.85 24-Jan 24-Jan KARSCH CAPITAL MGMT 034 COST B 7,300 55.97 n/a 5-Jan	CAPITAL GROWTH MGMT. 241 BHI B 10,000 67.07 n/a n/a 500.00  SUN AMERICA ASSET MGMT 030 BJS B 28,600 27.15 n/a n/a 1,430.00  BALYASNY ASSET MGMT 044 BLK S 8,000 170.84 16-Oct 25-Jan 400.00  GENERAL ELECTIC CO 033 BMY B 14,558 26.29 n/a n/a 655.16  ROYCE TRADINC 216 CBK B 55,300 18.71 11-Dec 5-Jan 2,765.00  TILLDALE MGMT. 048 CC S 10,000 20.57 20-Dec 10-Jan 500.00  WHEELER 008 CHP B 30,000 5.15 n/a n/a 0.00  BRIGHTPOINT CAP 067 CHS B 10,000 20.86 5-Jan 5-Jan 500.00  TRIBECA 038 CKR B 17,100 19.42 n/a n/a 684.00  AVESTA CAP 229 CLX S 25,000 65.00 5-Dec 5-Dec 1,250.00  ELAZAR ADV 034 CMG SS 7,776 57.44 n/a 12-Dec 388.80  BALYASNY ASSET MGMT 044 CNS B 5,000 48.58 n/a n/a 250.00  BUCK CAPITAL MGMT 001 COH S 50,000 43.85 24-Jan 24-Jan 2,000.00

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	:/Shr.
ELAZAR ADV	034	CROX	В	3,600	47.90	n/a	n/a	180.00	5.0
ELAZAR ADV	034	CROX	S	11,129	47.79	n/a	n/a	556.45	5.0
AAD CAPITAL	048	CVS	S	65,000	33.00	n/a	n/a	2,600.00	4.0
ELAZAR ADV	034	DHI	SS	15,824	28.13	n/a	n/a	791.20	5.0
DSM CAPITAL PARTNERS	032	DJ	В	6,600	39.99	n/a	n/a	396.00	6.0
MORGAN BANK /JPM	012	DOW	S	7,300	42.43	n/a	25-Jan	219.00	3.0
NEUBERGER BERMAN	238	DVR	В	6,000	11.87	n/a	n/a	300.00	5.0
NEUBERGER BERMAN	238	DW	В	5,200	27.55	n/a	n/a	260.00	5.0
SAXON WOODS ADVISORS	038	EBAY	В	15,000	33.23	n/a	n/a	750.00	5.0
HIGHBRIDGE CAPITAL	038	ECL	В	7,000	43.97	n/a	22-Jan	350.00	5.0
LEDDY	035	EDA	В	1,000	10.69	n/a	n/a	0.00	0.0
SUTERA	160	EDA	В	1,000	10.78	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	238	FDS	В	4,000	57.14	n/a	n/a	200.00	5.0
BUCK CAPITAL MGMT	001	FD	В	50,000	40.27	9-Nov	5-Jan	2,000.00	4.0
ELAZAR ADV	034	FD	В	6,651	39.80	9-Nov	5-Jan	332.55	5.0
ELAZAR ADV	034	FFEX	В	30,431	8.44	n/a	n/a	1,521.55	5.0
ELAZAR ADV	034	FIX	В	43,117	12.35	n/a	n/a	2,155.85	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.
BUCK CAPITAL MGMT	001	FL	S	30,000	21.40	n/a	19-Jan	1,200.00	4.0
ELAZAR ADV	034	FWRD	В	11,887	30.48	n/a	n/a	594.35	5.0
CAPITAL GROWTH MGMT.  MKT MAKER	241 <b>099</b>	F <b>F</b>	В <b>В</b>	150,000 <b>500</b>	8.22 <b>8.18</b>	n/a <b>n/a</b>	n/a <b>n/a</b>	4,500.00 <b>0.00</b>	3.0 <b>0.0</b>
ELAZAR ADV	034	GES	S	1,864	71.54	n/a	n/a	93.20	5.0
MORGAN BANK /JPM	012	GE	S	12,444	36.39	n/a	n/a	373.32	3.0
DOUBLE V/PBX	044	GLW	S	30,000	21.45	n/a	24-Jan	1,500.00	5.0
ELAZAR ADV	034	GPS	В	4,500	19.14	n/a	24-Jan	225.00	5.0
BALYASNY ASSET MGMT	044	GS	S	5,000	219.22	13-Dec	16-Jan	250.00	5.0
ELAZAR ADV	034	GYMB	В	6 <b>,</b> 376	42.28	4-Jan	5-Jan	318.80	5.0
TRIBECA	038	HANS	В	6 <b>,</b> 800	37.27	n/a	n/a	272.00	4.0
NEUBERGER BERMAN	238	HRH	В	8,000	41.39	n/a	n/a	400.00	5.0
MAZAMA CAPITAL MGMT.	035	INT	S	40,000	44.01	n/a	n/a	1,600.00	4.0
MAGUIRE	090	IOWNC	В	75	2.79	n/a	n/a	0.00	0.0
ELAZAR ADV	034	JCG	В	9,947	36.74	25-Jan	25-Jan	497.35	5.0
WAGONHOUND	048	JCG	S	15,020	37.65	25-Jan	25-Jan	600.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.	
SOMERSET ADV	044	JJZ	S	202,613	12.30	n/a	n/a	6,078.39	3.0	
CLOVIS CAPITAL	012	JNS	SS	118,000	20.94	1-Dec	25-Jan	5,900.00	5.0	
DSM CAPITAL PARTNERS	032	JNS	В	9,400	21.58	1-Dec	25-Jan	564.00	6.0	
KEEFE BRUYETTE WOODS A	031	JNS	В	19,900	21.30	1-Dec	25-Jan	995.00	5.0	
SAGE ASSET MGMT	012	JNS	S	76,400	21.39	1-Dec	25-Jan	3,820.00	5.0	
SSI INVESTORS	048	JNS	В	149,287	20.95	1-Dec	25-Jan	6,407.05	4.3	
TILLDALE MGMT.	048	JNS	В	10,000	20.85	1-Dec	25-Jan	500.00	5.0	
TRIBECA/DOUG	040	JNS	SS	10,000	20.83	1-Dec	25-Jan	400.00	4.0	
TRUST CO/COWEN/CALF.	040	JPM	В	423 <b>,</b> 555	50.10	n/a	18-Jan	21,177.75	5.0	
ELAZAR ADV	034	КВН	SS	8 <b>,</b> 638	51.87	n/a	n/a	431.90	5.0	
MERRILL ASSET	032	KBW	В	28,000	29.80	n/a	n/a	1,400.00	5.0	
U.S.TRUST COMPANY	012	KMT	В	10,000	59.39	n/a	n/a	450.00	4.5	
TRIBECA	038	KO	В	8,600	47.95	n/a	n/a	344.00	4.0	
CAPITAL GROWTH MGMT.	241	KR	В	40,000	24.33	n/a	n/a	2,000.00	5.0	
BUCK CAPITAL MGMT	001	KSS	s	15,000	68.75	27-Dec	5-Jan	600.00	4.0	
CUMBERLAND	038	KSS	В	25,000	69.47	27-Dec	5-Jan	1,000.00	4.0	
CATAPULT	040	LF	В	25,000	10.11	n/a	n/a	1,250.00	5.0	
BENCHMARK	028	LIZ	SS	10,000	43.41	n/a	27-Oct	500.00	5.0	
BULL PATH CAPITAL	044	LM	SS	16,500	108.00	n/a	25-Jan	825.00	5.0	

Account	RR #	Symbol	в/:	s	Shares	Price	MRI	Research	Comm.	Shr.
KEEFE BRUYETTE WOODS A	031	LM		SS	5,500	106.99	n/a	25-Jan	275.00	5.0
BUCK CAPITAL MGMT	001	LTD	В		10,000	28.30	5-Jan	5-Jan	400.00	4.0
COUGAR TRADING	044	LTD		S	5,000	28.00	5-Jan	5-Jan	250.00	5.0
DAVID J GREEN & CO	040	MRCY	В		300	13.00	n/a	n/a	16.00	5.3
KORMAN	003	MWRK	В		2,000	33.50	n/a	n/a	0.00	0.0
ZOLIDIS	011	MWRK	В		300	33.19	n/a	n/a	0.00	0.0
MAGUIRE	090	MZZ	В		2,000	60.52	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	040	NAV		SS	28,200	40.36	n/a	n/a	1,128.00	4.0
LEDDY	035	NEXC	В		1,200	8.86	n/a	n/a	0.00	0.0
SUTERA	160	NEXC	В		1,000	9.05	n/a	n/a	0.00	0.0
SUTERA	160	NLS	В		1,000	16.29	n/a	n/a	0.00	0.0
BARROW HANLEY MEWHINNEY	031	NOK		S 2	2,040,600	21.47	n/a	n/a	81,624.00	4.0
ELAZAR ADV	034	NTRI		S	1,453	60.91	n/a	n/a	72.65	5.0
ELAZAR ADV	034	NTY	В		4,889	46.58	n/a	n/a	244.45	5.0
FIRST NEW YORK LEDDY	035	NWY	В		10,000	15.28	1-Dec	10-Jan	600.00	6.0
U.S.TRUST COMPANY	012	OSK	В		20,000	50.48	n/a	n/a	900.00	4.5
S.A.C. CAPITAL MGMT.	044	PBG		S	25,000	31.72	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
ELAZAR ADV	034	PBY	В	5 <b>,</b> 960	15.14	n/a	n/a	298.00	5.0
ELAZAR ADV	034	PCCC	В	50,040	15.92	n/a	n/a	2,502.00	5.0
KORMAN	003	PEET	В	2,000	25.62	n/a	n/a	0.00	0.0
BLUE HARBOR	036	PLCE	В	2,200	53.95	n/a	25-Jan	110.00	5.0
PECONIC PARTNERS	036	PLCE	S	100,000	53.63	n/a	25-Jan	5,000.00	5.0
BENNETT LAWRENCE	044	PMTC	В	3,450	19.37	n/a	n/a	172.50	5.0
BUCK CAPITAL MGMT	001	PVH	S	10,000	53.30	18-Jan	18-Jan	400.00	4.0
MAGUIRE	090	QID	В	1,000	52.32	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	238	RBA	В	6,100	57.33	n/a	n/a	305.00	5.0
NEUBERGER BERMAN	238	RBC	В	3,000	49.39	n/a	n/a	150.00	5.0
NEUBERGER BERMAN	238	RI	В	2,900	28.17	n/a	n/a	145.00	5.0
BUCK CAPITAL MGMT	001	RL	ss	10,000	80.22	7-Dec	8-Jan	400.00	4.0
TRIBECA	038	ROST	В	5,200	31.73	n/a	n/a	208.00	4.0
ELAZAR ADV	034	SBUX	В	5 <b>,</b> 618	34.05	6-0ct	12-Dec	280.90	5.0
ELAZAR ADV	034	SBUX	SS	2,618	33.99	6-0ct	12-Dec	130.90	5.0
REICH AND TANG	037	SCDE	В	6,000	6.37	n/a	n/a	120.00	2.0

											_
Account	RR #	Symbol	в/:	S	Shares	Price	MRI	Research	Comm.	\$/Shr.	
HIGHBRIDGE CAPITAL	038	SIAL	В		10,000	37.98	3-Jan	22-Jan	500.00	5.0	
NOLAN	067	SKNN	В		100	2.00	n/a	n/a	0.00	0.0	
ELAZAR ADV	034	SKX	В		4,000	33.96	n/a	12-Jan	200.00	5.0	
ELAZAR ADV	034	SPY	В		9,156	143.58	n/a	n/a	457.80	5.0	
ELAZAR ADV	034	SPY		SS	4,578	143.06	n/a	n/a	228.90	5.0	
BUCK CAPITAL MGMT	001	SSI	В		5,000	32.32	9-Jan	9-Jan	200.00	4.0	
TRIBECA	038	SVU	В		11,400	36.22	n/a	n/a	456.00	4.0	
WHEELER	800	TBAC		S	3,700	13.20	n/a	n/a	0.00	0.0	
SAILFISH	037	TEVA		S	5,000	34.37	8-Nov	22-Jan	250.00	5.0	
AVESTA CAP	229	TIF		S	25,000	39.07	n/a	11-Jan	1,250.00	5.0	
ELAZAR ADV	034	TLB	В		4,000	23.27	10-Jan	10-Jan	200.00	5.0	
ELAZAR ADV	034	TOL		SS	13,662	32.68	n/a	n/a	683.10	5.0	
MAZAMA CAPITAL MGMT.	035	TWB		S	62,700	33.63	9-Jan	23-Jan	2,508.00	4.0	
SUN AMERICA ASSET MGMT	030	TWB	В		30,800	33.56	9-Jan	23-Jan	1,540.00	5.0	
ELAZAR ADV	034	URBN	В		3,500	23.87	7-Dec	5-Jan	175.00	5.0	
DSM CAPITAL PARTNERS	032	VAR	В		5,000	44.91	n/a	n/a	300.00	6.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/	Shr.
ELAZAR ADV	034	VLCM	В	3,000	32.67	n/a	n/a	150.00	5.0
LUCHANSKY1	036	WCI	S	500	19.74	n/a	n/a	0.00	0.0
ELAZAR ADV	034	WMS	В	1,033	39.87	n/a	n/a	51.65	5.0
ELAZAR ADV	034	WMS	S	1,033	39.86	n/a	n/a	51.65	5.0
COUGAR TRADING	044	WRNC	В	5,000	27.51	18-Jan	18-Jan	250.00	5.0
FINANCIAL STOCK LP	028	WU	В	50,000	21.49	n/a	n/a	2,000.00	4.0
HUNTER GLOBAL INVESTOR	067	XLF	В	144,000	37.07	n/a	n/a	4,320.00	3.0
ELAZAR ADV	034	MUY	В	7 <b>,</b> 565	59.00	12-Dec	17-Jan	378.25	5.0
ELAZAR ADV	034	ZUMZ	В	3 <b>,</b> 500	33.26	n/a	n/a	175.00	5.0

TOTAL (Trade Date): 215,776.97

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	01/22	MERRILL ASSET (MERR45)	032	IO	В	20,000	12.98	n/a	n/a	1000.00	5.0
AO,CXL	01/22	MERRILL ASSET (MERR31)	032	IO	В	20,000	12.98	n/a	n/a	1000.00	5.0
AO,CXL	01/24	BROMPTON CROSS (BROMGS\$.04)	036	NVLS	SS	25 <b>,</b> 000	30.13	n/a	n/a	1000.00	4.0
AO,CRT	01/24	BROMPTON CROSS (BROMGS\$.04)	036	NVLS	SS	25 <b>,</b> 000	30.13	n/a	n/a	1000.00	4.0
AO,CXL	01/24	DSM CAPITAL PARTNERS (DSMCBS)	032	PACR	S	498	29.76	n/a	n/a	29.88	6.0
AO, CRT	01/24	DSM CAPITAL PARTNERS (DSMCBS)	032	PACR	S	498	29.76	n/a	n/a	29.88	6.0
AO,CXL	01/24	DSM CAPITAL PARTNERS (DSMCGREENW)	032	PACR	S	2,450	29.76	n/a	n/a	147.00	6.0
AO, CRT	01/24	DSM CAPITAL PARTNERS (DSMCGREENW)	032	PACR	S	2,450	29.76	n/a	n/a	147.00	6.0
AO,CXL	01/24	DSM CAPITAL PARTNERS (DSMCG.S. B)	032	PACR	S	13,500	29.76	n/a	n/a	810.00	6.0
AO,CRT	01/24	DSM CAPITAL PARTNERS (DSMCG.S. B)	032	PACR	S	13,500	29.76	n/a	n/a	810.00	6.0
	01/01		010		_	100 000	50.50	,	,		0.0
AO,CXL	01/24	IMPALA ASSET MMT (IMPAGOLDMA)	012	RTI	В	102,900	78.58	n/a	n/a	3087.00	3.0
AO,	01/24	IMPALA ASSET MMT (IMPAGOLDMA)	012	RTI	В	102,900	78.58	n/a	n/a	3087.00	3.0
AO, CRT	01/24	MKT MAKER (MKT MAKER)	099	SSCC	s	66	11.15	26-0ct	25-Jan	0.00	0.0
AO, CXL	01/24	IRONBOUND CAPITAL (IROBGS)	012	SSCC	SS	19,700	11.15	26-Oct		591.00	3.0
AO, CRT		IRONBOUND CAPITAL (IROBGS)	012	SSCC	SS	19,700	11.15	26-Oct		591.00	3.0
110, 0111	01,21	11.01.2001.2 01.1 11.1.2 (11.02.00)	012		22	13,700	11.10	20 000	20 0411	031.00	
AO, CRT	01/23	MKT MAKER (MKT MAKER)	099	TRMP	SS	100	17.55	n/a	n/a	0.00	0.0
AO,CXL	01/23	RIVER RUN MGMT (RIVEGSPB)	031	TRMP	SS	50,000	17.50	n/a	n/a	2500.00	5.0
AO, CRT	01/23	RIVER RUN MGMT (RIVEGSPB)	031	TRMP	SS	50,000	17.50	n/a	n/a	2500.00	5.0
AO,CXL	01/23	CHART WELL ADV (CHAT)	234	TWB	S	1,555	34.54	9-Jan	23-Jan	69.98	4.5
AO,CXL	01/23	CHART WELL ADV (CHAT382)	234	TWB	S	1,755	34.54	9-Jan	23-Jan	78.98	4.5
AO,	01/23	CHART WELL ADV (CHAT)	243	TWB	S	1,555	34.54	9-Jan	23-Jan	69.98	4.5

Type	<b>Date</b> 01/23	Account CHART WELL ADV (CHAT382)	<b>RR #</b> 243	Symbol TWB	<b>B/S</b>	<b>Shares</b> 1,755	<b>Price</b> 34.54	MRI Research 9-Jan 23-Jan	Comm.¢/Shi
TOTAL	(AO,	CXL, CRT):							0.00
TOTAL	(Trad	e Date):						215,7	776.97
TOTAL	(AO,	CXL, CRT):							0.00
TOTAL	(RUN	DATE) / NFS:						215,7	776.97

## 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