



## Daily Compliance Activity Report

Trade Date: 01/17/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	031	AAP	S	335	36.33	n/a	n/a	16.75	5.0
BEAR STEARNS ASSET MGMT.	033	ABFS	C	10,000	39.90	n/a	n/a	400.00	4.0
<b>BARR</b>	<b>096</b>	<b>ABK</b>	<b>SS</b>	<b>100</b>	<b>87.21</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	AB	S	10,000	87.37	10-Jan	12-Jan	500.00	5.0
SPRINGBOC	039	ACI	B	87,783	28.03	n/a	n/a	3,511.32	4.0
BAIRD INVESTMENT	031	ADS	S	300	65.48	n/a	n/a	15.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ADTN</b>	<b>SS</b>	<b>20,000</b>	<b>22.72</b>	<b>n/a</b>	<b>22-Mar</b>	<b>non-brg</b>	<b>5.0</b>
BAIRD INVESTMENT	031	ALV	S	210	61.09	n/a	n/a	10.50	5.0
<b>GAULT</b>	<b>063</b>	<b>AMCC</b>	<b>S</b>	<b>2,000</b>	<b>3.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SUNOVA CAPITAL	031	AMG	B	10,000	109.69	12-Jan	12-Jan	500.00	5.0
FIRST INV MGMT CORP	036	AMR	B	2,500	40.47	n/a	n/a	125.00	5.0
STRATIX ASSEST MGMT	035	ANF	B	18,500	78.04	3-Nov	5-Jan	925.00	5.0
ROYAL CAPITAL	039	ANN	B	200,000	34.70	5-Jan	5-Jan	10,000.00	5.0
NEUBERGER BERMAN	238	ARB	S	10,000	46.13	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>LUCHANSKY1</b>	<b>036</b>	<b>ARRS</b>	<b>S</b>	<b>300</b>	<b>13.63</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	031	ATVI	S	770	18.68	n/a	n/a	38.50	5.0
BAIRD INVESTMENT	031	AVID	S	320	37.44	n/a	n/a	16.00	5.0
PHILADELPHIA FINANCIAL	031	AVZ	S	16,776	24.70	29-Dec	12-Jan	838.80	5.0
SAC TRADING HOWARD	038	BARE	S	10,000	37.02	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	BEN	S	13,000	121.22	9-Nov	12-Jan	650.00	5.0
BAIRD INVESTMENT	031	BJS	S	465	26.37	n/a	n/a	23.25	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>BONT</b>	<b>S</b>	<b>113</b>	<b>37.17</b>	<b>23-Oct</b>	<b>5-Jan</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	031	BRC	S	315	36.38	n/a	n/a	15.75	5.0
J.W. SELIGMAN	032	BSX	S	30,000	18.08	n/a	22-Apr	1,200.00	4.0
BAIRD INVESTMENT	031	CAKE	S	410	27.05	n/a	17-Jan	20.50	5.0
<b>MCCARTAN</b>	<b>028</b>	<b>CALPINE CORPB</b>		<b>10,000</b>	<b>80.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>GRONET</b>	<b>030</b>	<b>CALPINE CORPB</b>		<b>50,000</b>	<b>80.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANSKY1</b>	<b>036</b>	<b>CALPINE CORPB</b>		<b>10,000</b>	<b>80.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SCHEINER</b>	<b>037</b>	<b>CALPINE CORPB</b>		<b>100,000</b>	<b>80.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>OGORMAN</b>	<b>046</b>	<b>CALPINE CORPB</b>		<b>10,000</b>	<b>80.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>CALPINE CORPB</b>		<b>60,000</b>	<b>80.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	031	CAM	S	290	50.87	n/a	n/a	14.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	CBK	B	50,000	20.78	11-Dec	5-Jan	2,000.00	4.0
LISTED ERR	099	CCO	B	500	29.62	n/a	n/a	0.00	0.0
LISTED ERR	099	CCO	SS	500	29.69	n/a	n/a	0.00	0.0
CRAMER ROSENTHAL/SCOTT	012	CC	SS	15,500	20.30	20-Dec	10-Jan	775.00	5.0
BAIRD INVESTMENT	031	CEPH	S	195	72.36	10-Aug	17-Jan	9.75	5.0
BAIRD INVESTMENT	031	CHS	S	620	21.69	5-Jan	5-Jan	31.00	5.0
FIRST INV MGMT CORP	036	CIT	B	5,000	56.58	n/a	n/a	250.00	5.0
KORMAN	003	CLUB	B	1,000	18.02	n/a	n/a	0.00	0.0
VICTORIA INVESTORS LP	060	CMG	B	3,100	59.86	n/a	12-Dec	155.00	5.0
B BUCK CAPITAL MGMT		CMRG	B	30,000	13.12	n/a	n/a	non-brg	5.0
GENERAL ELECTIC CO	033	CMX	S	61,299	57.30	n/a	n/a	2,758.47	4.5
PILOT ROCK	028	COP	S	80,000	63.37	n/a	n/a	3,200.00	4.0
NEUBERGER BERMAN	238	CRL	S	20,000	44.65	n/a	n/a	1,000.00	5.0
BAIRD INVESTMENT	031	CTSH	S	120	82.30	n/a	n/a	6.00	5.0
BAIRD INVESTMENT	031	CVD	S	160	62.30	n/a	n/a	8.00	5.0
SAC TRADING HOWARD	038	CVS	B	15,000	32.38	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BEAR STEARNS ASSET MGMT.	033	CWTR	B	15,000	24.07	n/a	n/a	600.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>CWTR</b>	<b>S</b>	<b>80,000</b>	<b>24.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
BAIRD INVESTMENT	031	CYTC	S	645	28.89	13-Dec	16-Jan	32.25	5.0
BAIRD INVESTMENT	031	DKS	S	225	52.13	n/a	n/a	11.25	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>DR</b>	<b>B</b>	<b>161</b>	<b>22.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WILLOW CREEK	033	DSL	SS	5,000	68.65	n/a	n/a	200.00	4.0
MAZAMA CAPITAL MGMT.	035	EDU	S	24,900	34.75	n/a	n/a	996.00	4.0
BAIRD INVESTMENT	031	EV	S	395	34.46	2-Nov	16-Jan	0.00	0.0
BAIRD INVESTMENT	031	EWBC	S	385	36.29	n/a	n/a	19.25	5.0
BAIRD INVESTMENT	031	FAST	S	260	37.95	n/a	n/a	13.00	5.0
COUGAR TRADING	044	FL	B	10,000	21.78	n/a	7-Dec	500.00	5.0
EGS ASSOCIATES LP	059	FL	B	3,500	21.85	n/a	7-Dec	210.00	6.0
SAILFISH	037	FMD	B	10,000	54.09	n/a	n/a	500.00	5.0
J.W. SELIGMAN	032	GE	S	19,000	38.01	n/a	n/a	760.00	4.0
<b>NOLAN</b>	<b>067</b>	<b>GG</b>	<b>B</b>	<b>20</b>	<b>25.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>GG</b>	<b>B</b>	<b>330</b>	<b>25.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>10,000</b>	<b>22.65</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
⌘ BUCK CAPITAL MGMT		GIL	B	87,000	51.76	n/a	n/a	non-brg 5.0
CSFB GLOBAL PROPRIETARY	035	GLW	B	50,000	19.57	n/a	20-Dec	2,500.00 5.0
BAIRD INVESTMENT	031	GNTX	S	865	15.60	n/a	n/a	43.25 5.0
BAIRD INVESTMENT	031	GPN	S	280	38.59	n/a	n/a	14.00 5.0
BAIRD INVESTMENT	031	GPRO	S	215	52.22	n/a	n/a	10.75 5.0
MKT MAKER	099	GYMB	S	4	44.18	4-Jan	5-Jan	0.00 0.0
BAIRD INVESTMENT	031	HAR	S	150	103.32	n/a	n/a	7.50 5.0
GAULT	063	HC	S	500	18.20	28-Jul	11-Jan	0.00 0.0
⌘ BUCK CAPITAL MGMT		HMA	S	20,000	20.85	17-Jan	17-Jan	non-brg 5.0
⌘ BUCK CAPITAL MGMT		HMA	S	60,000	22.46	17-Jan	17-Jan	non-brg 2.0
BAIRD INVESTMENT	031	HOLX	S	135	49.15	n/a	n/a	6.75 5.0
MKT MAKER	099	HOTT	S	16	11.39	n/a	5-Jan	0.00 0.0
BAIRD INVESTMENT	031	HSC	S	145	79.25	n/a	12-Jan	7.25 5.0
BUCK	015	ICEMV	S	5	1.70	n/a	n/a	0.00 0.0
⌘ BUCK CAPITAL MGMT		ICON	B	10,000	20.11	n/a	n/a	non-brg 5.0
BAIRD INVESTMENT	031	IFIN	S	430	45.96	n/a	n/a	21.50 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CROWLEY	061	ILA	B	2,500	4.62	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		INNO	B	90,000	1.12	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		INTC	B	50,000	21.18	n/a	n/a	non-brg	5.0
WHEELER	008	IOM	B	35,000	3.76	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		JCG	B	10,000	37.00	n/a	20-Dec	non-brg	5.0
SAILFISH	037	JNS	SS	5,000	22.06	1-Dec	12-Jan	250.00	5.0
BAIRD INVESTMENT	031	JOYG	S	275	46.57	n/a	n/a	13.75	5.0
⌘ BUCK CAPITAL MGMT		KMT	B	20,000	59.83	n/a	n/a	non-brg	5.0
GAULT	063	KOG	S	1,000	3.96	n/a	n/a	0.00	0.0
GLENHILL CAPITAL	038	KSS	B	72,000	67.81	27-Dec	5-Jan	3,600.00	5.0
EGS ASSOCIATES LP	059	KWD	SS	3,000	32.44	n/a	n/a	180.00	6.0
⌘ BUCK CAPITAL MGMT		LAMR	B	10,000	68.77	n/a	n/a	non-brg	5.0
LEEDS	002	LAMR	B	3,000	68.78	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	LAZ	S	10,000	53.22	n/a	n/a	500.00	5.0
BUCK	015	LESPP	S	5	2.55	n/a	n/a	0.00	0.0
SUN AMERICA ASSET MGMT	030	LLTC	B	42,600	31.48	n/a	n/a	2,130.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>EFSTATHIOU</b>	<b>044</b>	<b>LNCR</b>	<b>S</b>	<b>200</b>	<b>41.48</b>	<b>21-Dec</b>	<b>16-Jan</b>	<b>0.00</b>	<b>0.0</b>
FIRST INV MGMT CORP	036	LUV	B	7,000	16.11	n/a	n/a	350.00	5.0
SAILFISH	037	MA	SS	5,000	108.16	n/a	n/a	250.00	5.0
AVESTA CAP	229	MCD	S	50,000	44.93	12-Oct	17-Jan	2,500.00	5.0
BAIRD INVESTMENT	031	MCHP	S	440	35.96	n/a	n/a	22.00	5.0
RAMIUS CAP	040	MIR	B	50,000	33.44	n/a	n/a	2,500.00	5.0
NEUBERGER BERMAN	238	MNT	S	28,000	51.65	n/a	n/a	1,400.00	5.0
<b>BINDER</b>	<b>007</b>	<b>MPXL</b>	<b>B</b>	<b>400</b>	<b>21.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>MSI</b>	<b>S</b>	<b>2,000</b>	<b>2.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PEREGRINE	030	NDN	B	221,900	14.58	16-Jan	16-Jan	11,095.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>NEXC</b>	<b>B</b>	<b>200,000</b>	<b>8.92</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
REINHART & MAHONEY	031	NE	B	13,025	70.31	n/a	n/a	651.25	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NLS</b>	<b>B</b>	<b>20,000</b>	<b>15.66</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	NTRS	B	10,000	59.92	n/a	18-Jan	500.00	5.0
REINHART & MAHONEY	031	NU	S	13,995	27.57	n/a	n/a	699.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	031	NVT	S	350	32.48	n/a	n/a	17.50	5.0
BAIRD INVESTMENT	031	OSK	S	250	50.01	n/a	n/a	12.50	5.0
KORMAN	003	PEET	B	1,000	25.66	n/a	n/a	0.00	0.0
LEEDSFAMLI	002	PERY	S	3,000	26.98	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		PH	C	15,300	82.15	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		PH	C	4,700	83.31	n/a	n/a	non-brg	5.0
MAZAMA CAPITAL MGMT.	035	PJC	B	10,100	71.32	n/a	n/a	404.00	4.0
CSFB GLOBAL PROPRIETARY	035	PKG	SS	6,537	22.53	27-Oct	14-Dec	326.85	5.0
CSFB GLOBAL PROPRIETARY	035	PKG	S	17,463	22.54	27-Oct	14-Dec	873.15	5.0
ß BUCK CAPITAL MGMT		PLCE	S	21,800	58.11	n/a	5-Jan	non-brg	5.0
ß BUCK CAPITAL MGMT		PLCE	S	44,419	58.30	n/a	5-Jan	non-brg	5.0
ß BUCK CAPITAL MGMT		PLCE	S	50,000	58.40	n/a	5-Jan	non-brg	5.0
BAIRD INVESTMENT	031	PPDI	S	540	34.12	n/a	n/a	27.00	5.0
MAZAMA CAPITAL MGMT.	035	PRX	S	17,600	23.26	n/a	17-Jan	704.00	4.0
BUCK CAPITAL MGMT	001	PTT	B	25,000	7.99	n/a	n/a	1,000.00	4.0
ß BUCK CAPITAL MGMT		PTT	B	88,000	8.15	n/a	n/a	non-brg	4.0
LOOMIS SALES/BOSTON	036	RGR	S	10,000	9.30	n/a	n/a	200.00	2.0
BUCK CAPITAL MGMT	001	RL	SS	10,000	82.76	7-Dec	8-Jan	400.00	4.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RL	S	20,000	83.29	7-Dec	8-Jan	800.00	4.0
BAIRD INVESTMENT	031	RMD	S	305	52.92	n/a	n/a	15.25	5.0
BAIRD INVESTMENT	031	ROK	S	175	61.84	n/a	n/a	8.75	5.0
BAIRD INVESTMENT	031	ROP	S	300	50.40	n/a	n/a	15.00	5.0
WHALE ROCK CAP	030	RTH	B	20,900	102.26	n/a	n/a	836.00	4.0
B BUCK CAPITAL MGMT		SHOO	B	25,000	32.44	n/a	n/a	non-brg	5.0
BAIRD INVESTMENT	031	SII	S	315	37.07	n/a	n/a	15.75	5.0
HIGHBRIDGE CAPITAL	038	SII	SS	2,300	36.65	n/a	n/a	115.00	5.0
STRATIX ASSEST MGMT	035	SIRF	S	10,000	26.13	n/a	n/a	500.00	5.0
MFP INVESTORS	032	SKS	S	2,200	18.90	n/a	n/a	110.00	5.0
BAIRD INVESTMENT	031	SRCL	S	255	75.78	n/a	n/a	12.75	5.0
J.W. SELIGMAN	032	STA	S	13,000	51.08	n/a	n/a	520.00	4.0
SAILFISH	037	STI	B	10,000	83.97	n/a	n/a	500.00	5.0
BAIRD INVESTMENT	031	SWN	S	325	34.26	7-Aug	11-Jan	16.25	5.0
BAIRD INVESTMENT	031	TLAB	S	800	10.27	n/a	22-Mar	40.00	5.0
BAIRD INVESTMENT	031	TSCO	S	335	50.51	n/a	n/a	16.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>KORMAN</b>	<b>003</b>	<b>TXRH</b>	<b>B</b>	<b>100</b>	<b>13.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	031	UNFI	S	400	35.23	n/a	n/a	20.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>30,000</b>	<b>24.73</b>	<b>7-Dec</b>	<b>5-Jan</b>	<b>non-brg</b>	<b>5.0</b>
J.W. SELIGMAN	032	USB	S	20,000	35.93	n/a	n/a	800.00	4.0
BAIRD INVESTMENT	031	VAR	S	195	49.47	n/a	n/a	9.75	5.0
<b>GAULT</b>	<b>063</b>	<b>VG</b>	<b>S</b>	<b>300</b>	<b>6.01</b>	<b>5-Sep</b>	<b>11-Jan</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	WDR	S	15,000	26.74	12-Jan	12-Jan	750.00	5.0
FIRST INV MGMT CORP	036	WFC	B	11,400	36.24	n/a	n/a	570.00	5.0
<b>MAGUIRE</b>	<b>039</b>	<b>WHT</b>	<b>B</b>	<b>1,300</b>	<b>1.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KACELA CAPITAL	034	WRNC	B	10,000	26.68	2-Nov	12-Jan	400.00	4.0
BAIRD INVESTMENT	031	WSM	S	335	34.57	n/a	n/a	16.75	5.0
BAIRD INVESTMENT	031	WIFC	S	315	47.05	n/a	n/a	15.75	5.0
MSP2	040	XMSR	SS	10,000	16.00	n/a	n/a	400.00	4.0
BAIRD INVESTMENT	031	ZBRA	S	335	35.57	n/a	n/a	16.75	5.0
BAIRD INVESTMENT	031	ZION	S	190	83.52	n/a	n/a	9.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AMBER CAPITAL	046	ZLC	B	25,000	27.89	n/a	n/a	1,000.00	4.0
<b>TOTAL (Trade Date):</b>								<b>76,153.59</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	01/16	MAZAMA CAPITAL MGMT.	035	BKD	B	700	49.05	n/a	n/a	28.00	4.0
AO,CXL	01/16	MAZAMA CAPITAL MGMT.	035	BKD	B	700	49.05	n/a	n/a	28.00	4.0
AO,CXL	01/16	PLATTE RIVER CAPITAL	035	BSX	B	10,000	18.21	n/a	22-Apr	400.00	4.0
AO,CRT	01/16	PLATTE RIVER CAPITAL	035	BSX	B	10,000	18.21	n/a	22-Apr	400.00	4.0
AO,CXL	01/10	CAMBIAR CAP	046	ETN	S	525	73.70	16-Oct	12-Jan	21.00	4.0
AO,CRT	01/10	CAMBIAR CAP	046	ETN	S	525	73.70	16-Oct	12-Jan	21.00	4.0
AO,CRT	01/16	CAPITAL GROWTH MGMT.	241	IBM	S	100,000	100.29	n/a	n/a	5000.00	5.0
AO,CXL	01/16	CAPITAL GROWTH MGMT.	241	IBM	S	100,000	100.29	n/a	n/a	5000.00	5.0
AO,CRT	01/16	HAYGROUND COE	039	JCP	B	750	79.50	10-Nov	5-Jan	37.50	5.0
AO,CXL	01/16	HAYGROUND COE	039	JCP	B	750	79.50	10-Nov	5-Jan	0.00	0.0
AO,CRT	01/16	BUCK CAPITAL MGMT	001	LIZ	SS	20,000	45.36	n/a	27-Oct	800.00	4.0
AO,CXL	01/16	BUCK CAPITAL MGMT	001	LIZ	SS	20,000	45.36	n/a	27-Oct	0.00	0.0
AO,	01/16	FRIESS MGMT	042	ORCL	B	473,200	17.36	n/a	n/a	21294.00	4.5
AO,CRT	01/16	UBS O'CONNOR/TOM LEDDY	035	URBN	B	20,000	25.40	7-Dec	5-Jan	800.00	4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>22,931.50</b>	

TOTAL (Trade Date) :

76,153.59

TOTAL (AO, CXL, CRT):

22,931.50

---

TOTAL (RUN DATE) / NFS:

99,085.09

---

MRI Securities with Trade Activity on 17-Jan.

HMA

MRI Securities without Trade Activity on 17-Jan.

GR

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 11%

YTD = 22%

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