

Daily Compliance Activity Report Trade Date: 09/11/2007

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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count	RR #	Symbol	B/S	5	Shares	Price	MRI	Research	Comm.	¢/Shr.
LIDIS	011	AB		S	55	81.23	9-Aug	22-Aug	0.00	0.0
enn Redemann		ACGY	В		4	0.4000	n/a	n/a	0.00	0.0
enn Redemann		ACGY	В		4	0.7500	n/a	n/a	0.00	0.0
ORY CAPITAL	034	AEO	В		100,000	25.06	10-Jul	7-Sep	5,000.00	5.0
ISS PECK	040	AEO	В		36,100	24.84	10-Jul	7-Sep	1,805.00	5.0
NTILLON CAPITAL	040	AMLN	В		50,100	48.53	n/a	n/a	2,505.00	5.0
UGAR TRADING	044	ANF	В		4,200	76.36	23-Aug	7-Sep	210.00	5.0
UGAR TRADING	044	ANF		SS	4,200	77.25	23-Aug	7-Sep	210.00	5.0
L F ASSET MGMT	039	ANF	В		48,400	77.09	23-Aug	7-Sep	1,936.00	4.0
LYASNY ASSET MGMT	044	ANN	В		40,000	30.83	6-Aug	7-Sep	2,000.00	5.0
L F ASSET MGMT	039	ANN	В		51 , 992	30.55	6-Aug	7-Sep	2,079.68	4.0
ZAMA CAPITAL MGMT.	035	ARD		S	18,200	63.15	n/a	n/a	728.00	4.0
CK CAPITAL MGMT	001	ARO	В		20,000	18.93	n/a	7-Sep	800.00	4.0
RTRESS CAPITAL	040	AT	В		19,000	69.02	n/a	n/a	380.00	2.0
RANGO INVESTMENTS	031	BBW	В		25,000	16.25	11-Sep	11-Sep	1,000.00	4.0
S ASSOCIATES LP	091	BBW	В		7,500	16.23	11-Sep	11-Sep	450.00	6.0
ANAHAN INV	039	BBW		S	75 , 000	16.27	11-Sep	11-Sep	3,000.00	4.0
PRMAN	003	BRLC	В		10,000	6.38	n/a	n/a	0.00	0.0
	count LIDIS enn Redemann enn Redemann ORY CAPITAL LISS PECK NTILLON CAPITAL UGAR TRADING UGAR TRADING L F ASSET MGMT LYASNY ASSET MGMT LYASNY ASSET MGMT CK CAPITAL MGMT PRITESS CAPITAL RANGO INVESTMENTS S ASSOCIATES LP ANAHAN INV	enn Redemann enn Redemann ORY CAPITAL SISS PECK O40 NTILLON CAPITAL O40 NUGAR TRADING O44 O44 O45 O45 O45 O45 O45 O45 O45 O45	RR # Symbol LIDIS 011 AB LIDIS 011 ACCY LIDIS 011	COUNT RR # Symbol B/S LIDIS 011 AB enn Redemann ACGY B CORY CAPITAL 034 AEO B CISS PECK 040 AEO B NTILLON CAPITAL 040 AMLN B CUGAR TRADING 044 ANF L F ASSET MGMT 039 ANF B LYASNY ASSET MGMT 039 ANN B LYASNY ASSET MGMT 039 ANN B CK CAPITAL MGMT 035 ARD CK CAPITAL MGMT 040 AT B RANGO INVESTMENTS 031 BBW B	RR # Symbol B/S CLIDIS 011 AB S CENT Redemann ACGY B ACGY B CORY CAPITAL 034 AEO B CISS PECK 040 AEO B CORY CAPITAL 040 AMLN B CUGAR TRADING 044 ANF B CUGAR TRADING 044 ANF SS L F ASSET MGMT 039 ANF B LYASNY ASSET MGMT 049 ANN B L F ASSET MGMT 039 ANN B CK CAPITAL MGMT. 035 ARD S CK CAPITAL MGMT 040 AT B CRANGO INVESTMENTS 031 BBW B CRANGO INVESTMENTS 031 BBW B CANAHAN INV 039 BBW S	Name	COUNT RR # Symbol B/S Shares Price	Note	Count RR # Symbol B/S Shares Price MRI Research	No. No.

Account	RR #	Symbol	в/:	s	Shares	Price	MRI	Research	Comm.	\$/Shr.	
BONANZA PARTNERS MKT MAKER	031 099	CHUX CHUX		S S	20,900 59	15.00 15.00	n/a n/a	n/a n/a	1,045.00 0.00	5.0 0.0	
CAPITAL GROWTH MGMT.	241	CMI		S	25,000	116.58	n/a	n/a	1,250.00	5.0	
HIGHBRIDGE CAPITAL	038	COG	В		4,000	34.45	n/a	n/a	200.00	5.0	
COUGAR TRADING	044	СОН		S	5,000	45.17	n/a	10-Sep	250.00	5.0	
CLOVIS CAPITAL	012	COST		SS	150,000	58.20	n/a	27-Jul	7,500.00	5.0	
WHEELER	008	CPNLQ	В		20,000	1.88	n/a	29-Jun	0.00	0.0	
BUCK CAPITAL MGMT	001	CRI	В		40,000	19.90	n/a	n/a	1,600.00	4.0	
KORMAN	003	CXTIE		s	20,000	1.00	n/a	n/a	0.00	0.0	
WHITTIER CAP	048	DGIT		S	10,000	21.09	n/a	n/a	500.00	5.0	
BARON ASSET MGMT*	012	EV	В		47,500	37.00	23-May	24-Aug	2,375.00	5.0	
MATTHES CAPITAL MGMT	033	FDO		SS	5,000	28.22	9-Aug	7-Sep	200.00	4.0	
BUCK CAPITAL MGMT	001	GES	В		15,000	45.00	n/a	n/a	600.00	4.0	
SANDLER CAPITAL	038	GE	В		100,000	39.38	n/a	n/a	6,000.00	6.0	
MAGNETAR FINANCIAL	247	GMT	В		40,000	41.92	n/a	n/a	800.00	2.0	
MAGNETAR FINANCIAL	247	HCR	В		150,000	64.76	n/a	26-Jul	3,000.00	2.0	

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
FORTRESS CAPITAL	040	HLT	В	37,000	46.05	n/a	n/a	740.00	2.0	
MAZAMA CAPITAL MGMT.	035	НРҮ	S	24,400	28.46	n/a	n/a	976.00	4.0	
CAPITAL GROWTH MGMT.	241	IHP	В	15,000	63.91	n/a	n/a	750.00	5.0	
HIGHBRIDGE CAPITAL	038	IP	SS	20,000	34.38	4-May	20-Aug	1,000.00	5.0	
RAINIER INV MGMT	035	IVZ	В	85,100	23.64	8-Aua	11-Sep	4,255.00	5.0	
TYEE/TYGH	035	IVZ	В	49,900	23.68	8-Aug	11-Sep	1,996.00	4.0	
KORMAN	003	JADE	S	24,000	6.29	n/a	n/a	0.00	0.0	
BALYASNY ASSET MGMT	044	JCG	В	15,000	42.20	22-Jun	6-Sep	750.00	5.0	
BUCK CAPITAL MGMT	001	JCG	В	35,000	42.55	22-Jun	6-Sep	1,400.00	4.0	
BUCK CAPITAL MGMT	001	JCP	В	10,000	63.66	21–Jun	7-Sep	400.00	4.0	
MAGNETAR FINANCIAL	247	JNC	В	100,000	63.02	20-Jun	22-Aug	2,000.00	2.0	
BALYASNY ASSET MGMT	044	JNS	В	30,000	26.81	27-Jul	30-Aug	1,500.00	5.0	
PILOT ROCK	028	KFT	В	191,000	33.69	n/a	n/a	7,640.00	4.0	
BUCK CAPITAL MGMT	001	KSS	В	10,000	53.45	14-Jun	27-Jul	400.00	4.0	
EATON VANCE MGMT	039	LEN	S	100,000	25.70	n/a	n/a	4,000.00	4.0	
ZOLIDIS	011	LVS	S	70	108.70	n/a	n/a	0.00	0.0	
	FORTRESS CAPITAL MAZAMA CAPITAL MGMT. CAPITAL GROWTH MGMT. HIGHBRIDGE CAPITAL RAINIER INV MGMT TYEE/TYGH KORMAN BALYASNY ASSET MGMT BUCK CAPITAL MGMT MAGNETAR FINANCIAL BALYASNY ASSET MGMT PILOT ROCK BUCK CAPITAL MGMT EATON VANCE MGMT	FORTRESS CAPITAL 040 MAZAMA CAPITAL MGMT. 035 CAPITAL GROWTH MGMT. 241 HIGHBRIDGE CAPITAL 038 RAINIER INV MGMT 035 TYEE/TYGH 035 KORMAN 003 BALYASNY ASSET MGMT 044 BUCK CAPITAL MGMT 001 MAGNETAR FINANCIAL 247 BALYASNY ASSET MGMT 044 PILOT ROCK 028 BUCK CAPITAL MGMT 001 EATON VANCE MGMT 039	FORTRESS CAPITAL 040 HLT MAZAMA CAPITAL MGMT. 035 HPY CAPITAL GROWTH MGMT. 241 IHP HIGHBRIDGE CAPITAL 038 IP RAINIER INV MGMT 035 IVZ TYEE/TYGH 035 IVZ KORMAN 003 JADE BALYASNY ASSET MGMT 044 JCG BUCK CAPITAL MGMT 001 JCG BUCK CAPITAL MGMT 001 JCP MAGNETAR FINANCIAL 247 JNC BALYASNY ASSET MGMT 044 JNS PILOT ROCK 028 KFT BUCK CAPITAL MGMT 001 KSS EATON VANCE MGMT 039 LEN	FORTRESS CAPITAL 040 HLT B MAZAMA CAPITAL MGMT. 035 HPY S CAPITAL GROWTH MGMT. 241 IHP B HIGHBRIDGE CAPITAL 038 IP SS RAINIER INV MGMT 035 IVZ B TYEE/TYGH 035 IVZ B KORMAN 003 JADE S BALYASNY ASSET MGMT 044 JCG B BUCK CAPITAL MGMT 001 JCG B BUCK CAPITAL MGMT 001 JCP B MAGNETAR FINANCIAL 247 JNC B BALYASNY ASSET MGMT 044 JNS B PILOT ROCK 028 KFT B BUCK CAPITAL MGMT 001 KSS B EATON VANCE MGMT 039 LEN S	FORTRESS CAPITAL 040 HLT B 37,000 MAZAMA CAPITAL MGMT. 035 HPY S 24,400 CAPITAL GROWTH MGMT. 241 THP B 15,000 HIGHBRIDGE CAPITAL 038 TP SS 20,000 RAINIER INV MGMT 035 IVZ B 85,100 TYEE/TYGH 035 IVZ B 49,900 KORMAN 003 JADE S 24,000 BALYASNY ASSET MGMT 044 JCG B 15,000 BUCK CAPITAL MGMT 001 JCG B 35,000 BUCK CAPITAL MGMT 001 JCP B 100,000 MAGNETAR FINANCIAL 247 JNC B 100,000 BALYASNY ASSET MGMT 044 JNS B 30,000 PILOT ROCK 028 KFT B 191,000 BUCK CAPITAL MGMT 001 KSS B 10,000 BUCK CAPITAL MGMT 001 KSS B 10,000	FORTRESS CAPITAL 040 HLT B 37,000 46.05 MAZAMA CAPITAL MGMT. 035 HPY S 24,400 28.46 CAPITAL GROWTH MGMT. 241 IHP B 15,000 63.91 HIGHBRIDGE CAPITAL 038 IP SS 20,000 34.38 RAINIER INV MGMT 035 IVZ B 85,100 23.64 TYEE/TYGH 035 IVZ B 49,900 23.68 KORMAN 003 JADE S 24,000 6.29 BALYASNY ASSET MGMT 044 JCG B 15,000 42.20 BUCK CAPITAL MGMT 001 JCG B 35,000 42.55 BUCK CAPITAL MGMT 001 JCP B 100,000 63.66 MAGNETAR FINANCIAL 247 JNC B 100,000 63.02 BALYASNY ASSET MGMT 044 JNS B 30,000 26.81 PILOT ROCK 028 KFT B 191,000 33.69 BUCK CAPITAL MGMT 001 KSS B 100,000 53.45 EATON VANCE MGMT 039 LEN S 100,000 25.70	FORTRESS CAPITAL 040 HLT B 37,000 46.05 n/a MAZAMA CAPITAL MGMT. 035 HPY S 24,400 28.46 n/a CAPITAL GROWTH MGMT. 241 HPP B 15,000 63.91 n/a HIGHBRIDGE CAPITAL 038 IP SS 20,000 34.38 4-May RAINIER INV MGMT 035 IVZ B 85,100 23.64 8-Aug TYEE/TYGH 035 IVZ B 49,900 23.68 8-Aug KORMAN 003 JADE S 24,000 6.29 n/a BALYASNY ASSET MGMT 044 JCG B 15,000 42.20 22-Jun BUCK CAPITAL MGMT 001 JCG B 35,000 42.55 22-Jun BUCK CAPITAL MGMT 001 JCP B 100,000 63.66 21-Jun MAGNETAR FINANCIAL 247 JNC B 100,000 63.02 20-Jun BALYASNY ASSET MGMT 044 JNS B 30,000 26.81 27-Jul PILOT ROCK 028 KFT B 191,000 33.69 n/a BUCK CAPITAL MGMT 001 KSS B 100,000 53.45 14-Jun EATON VANCE MGMT 039 LEN S 100,000 25.70 n/a	FORTRESS CAPITAL 040 HLT B 37,000 46.05 n/a n/a MAZAMA CAPITAL MGMT. 035 HPY S 24,400 28.46 n/a n/a CAPITAL GROWTH MGMT. 241 IHP B 15,000 63.91 n/a n/a HIGHBRIDGE CAPITAL 038 TP SS 20,000 34.38 4-May 20-Aug RAINIER INV MGMT 035 IVZ B 85,100 23.64 8-Aug 11-Sep TYEE/TYGH 035 IVZ B 49,900 23.68 8-Aug 11-Sep KORMAN 003 JADE S 24,000 6.29 n/a n/a BALYASNY ASSET MGMT 044 JCG B 15,000 42.20 22-Jun 6-Sep BUCK CAPITAL MGMT 001 JCG B 35,000 42.55 22-Jun 6-Sep BUCK CAPITAL MGMT 001 JCP B 100,000 63.66 21-Jun 7-Sep MAGNETAR FINANCIAL 247 JNC B 100,000 63.02 20-Jun 22-Aug BALYASNY ASSET MGMT 044 JNS B 30,000 26.81 27-Jul 30-Aug PILOT ROCK 028 KFT B 191,000 33.69 n/a n/a BUCK CAPITAL MGMT 001 KSS B 10,000 53.45 14-Jun 27-Jul EATON VANCE MGMT 039 LEN S 100,000 25.70 n/a n/a	FORTRESS CAPITAL 040 HLT B 37,000 46.05 n/a n/a 740.00 MAZAMA CAPITAL MGMT. 035 HPY S 24,400 28.46 n/a n/a 976.00 CAPITAL GROWTH MGMT. 241 IHP B 15,000 63.91 n/a n/a 750.00 HIGHBRIDGE CAPITAL 038 IP SS 20,000 34.38 4-May 20-Aug 1,000.00 RAINIER INV MGMT 035 IVZ B 85,100 23.64 8-Aug 11-Sep 4,255.00 TYRE/TYCH 035 IVZ B 49,900 23.68 8-Aug 11-Sep 1,996.00 KORMAN 003 JADE S 24,000 6.29 n/a n/a 0.00 BALYASNY ASSET MGMT 044 JCG B 15,000 42.20 22-Jun 6-Sep 750.00 BUCK CAPITAL MGMT 001 JCG B 35,000 42.55 22-Jun 6-Sep 1,400.00 BUCK CAPITAL MGMT 001 JCP B 10,000 63.66 21-Jun 7-Sep 400.00 BALYASNY ASSET MCMT 044 JNS B 30,000 26.81 27-Jul 30-Aug 1,500.00 PILOT ROCK 028 KFT B 191,000 33.69 n/a n/a 7,640.00 BUCK CAPITAL MGMT 001 KSS B 100,000 53.45 14-Jun 27-Jul 400.00 BUCK CAPITAL MGMT 039 LEN S 100,000 53.45 14-Jun 27-Jul 400.00	FORTRESS CAPITAL 040 HLT B 37,000 46.05 n/a n/a 740.00 2.0 MAZAMA CAPITAL MGMT. 035 HPY S 24,400 28.46 n/a n/a 976.00 4.0 CAPITAL GROWTH MGMT. 241 IMP B 15,000 63.91 n/a n/a 750.00 5.0 HIGHBRIDGE CAPITAL 038 IP SS 20,000 34.38 4-May 20-Aug 1,000.00 5.0 RAINIER INV MGMT 035 IVZ B 85,100 23.64 8-Aug 11-Sep 4,255.00 5.0 TYEE/TYCH 035 IVZ B 49,900 23.68 8-Aug 11-Sep 1,996.00 4.0 KORMAN 03 JADE S 24,000 6.29 n/a n/a 0.00 0.0 BALYASNY ASSET MGMT 044 JCG B 15,000 42.20 22-Jun 6-Sep 750.00 5.0 BUCK CAPITAL MGMT 001 JCG B 35,000 42.55 22-Jun 6-Sep 1,400.00 4.0 BUCK CAPITAL MGMT 001 JCP B 10,000 63.66 21-Jun 7-Sep 400.00 4.0 MAGNETAR FINANCIAL 247 JNC B 100,000 63.66 21-Jun 7-Sep 400.00 2.0 BALYASNY ASSET MGMT 044 JNS B 30,000 26.81 27-Jul 30-Aug 1,500.00 5.0 PILOT ROCK 028 KFT B 191,000 33.69 n/a n/a 7,640.00 4.0 BUCK CAPITAL MGMT 001 KSS B 100,000 53.45 14-Jun 27-Jul 400.00 4.0 BUCK CAPITAL MGMT 001 KSS B 100,000 53.45 14-Jun 27-Jul 400.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
BELMONT GLOBAL ADV	248	MCO	В	13,000	45.15	n/a	n/a	650.00	5.0
CHILTON CAPITAL MGMT.	036	MET	S	73,332	63.60	n/a	n/a	2,933.28	4.0
JENNISON	032	MRO	В	90,000	53.12	n/a	n/a	3,600.00	4.0
MAGUIRE	090	MZZ	В	5,000	56.31	n/a	n/a	0.00	0.0
LEDDY	035	NEXC	В	2,000	6.40	n/a	n/a	0.00	0.0
FORTRESS CAPITAL	040	NM	В	10,000	12.69	n/a	n/a	200.00	2.0
ARTISAN PARTNERS LP	031	NT	S	267,700	17.01	n/a	22-Mar	13,385.00	5.0
CAPITAL GROWTH MGMT.	241	NUE	В	40,000	53.95	n/a	n/a	2,000.00	5.0
LEDDY	035	ODP	С	2,000	18.62	n/a	27-Jul	0.00	0.0
CSFB GLOBAL PROPRIETARY	035	РСН	В	50,000	41.17	27-Jul	20-Aug	2,500.00	5.0
BUCK CAPITAL MGMT	001	PSS	В	75,000	21.21	n/a	n/a	3,000.00	4.0
EPOCH INV MGMT	030	SAPE	В	82 , 100	6.03	n/a	n/a	3,284.00	4.0
MKT MAKER	099	SAPE	В	59	6.03	n/a	n/a	0.00	0.0
ZOLIDIS	011	SDS	В	400	55.18	n/a	n/a	0.00	0.0
XYLEM GLOBAL	091	SEE	SS	20,000	25.04	n/a	n/a	1,000.00	5.0
PRINCIPLE CAPITAL	040	SHFL	В	80,000	13.98	n/a	n/a	2,400.00	3.0

Account	RR #	Symbol	B/S	5	Shares	Price	MRI	Research	Comm.	\$/Shr.	
MAGUIRE	090	SKF	В		3,000	86.10	n/a	n/a	0.00	0.0	
BALYASNY ASSET MGMT	044	SKS	В		25 , 000	15.83	n/a	n/a	1,250.00	5.0	
FRIESS MGMT	042	SKS		S	386,400	15.46	n/a	n/a	17,388.00	4.5	
BUCK CAPITAL MGMT	001	SKX	В		20,000	18.88	n/a	13-Mar	800.00	4.0	
EMP ERROR	099	SMBL		S	100	11.08	n/a	n/a	0.00	0.0	
STRAUSS ASSET MGMT	040	SMSI	В		15,000	15.95	n/a	n/a	750.00	5.0	
TRELLUS PARTNERS LP	028	STST	В		22,000	17.55	n/a	n/a	1,100.00	5.0	
HOLLIS CAPITAL	033	SWN	В		3,000	38.89	n/a	4-Sep	150.00	5.0	
CAMBIAR CAP	046	TWB		S	45 , 840	27.63	23-Aug	23-Aug	1,833.60	4.0	
CAMBIAR CAP	046	TWB		S	80	27.63	23-Aug	23-Aug	3.20	4.0	
MAGNETAR FINANCIAL	247	TXU	В		500,000	67.87	n/a	n/a	10,000.00	2.0	
BALYASNY ASSET MGMT	044	URBN	В		15,000	21.80	31-Jul	10-Aug	750.00	5.0	
BARON ASSET MGMT*	012	URBN	В		37,800	22.37	31-Jul	10-Aug	1,890.00	5.0	
VISIUM/BALY HOWARD	038	URBN		S	10,000	22.48	31-Jul	10-Aug	500.00	5.0	
BALYASNY ASSET MGMT	044	WDR	В		20,000	24.50	13-Jul	22-Aug	1,000.00	5.0	
ZOLIDIS	011	WYNN		S	50	131.10	n/a	n/a	0.00	0.0	
CHILTON CAPITAL MGMT.	036	YUM	В		45,800	31.81	n/a	24-Apr	1,832.00	4.0	

TOTAL (Trade Date): 149,429.76

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	09/10	POST ROAD CAP (POSTUBS)	068	AEO	В	2,800	23.28	10-Jul	7-Sep	112.00	4.0
AO, CRT	09/10	POST ROAD CAP (POSTUBS)	068	AEO	В	2,800	23.28	10-Jul	7-Sep	84.00	3.0
CRT	09/11	COUGAR TRADING (COUGPB MS)	044	ANF	S	SS 4,200	77.25	23-Aug	7-Sep	210.00	5.0
AO,CXL	09/10	HIGHBRIDGE CAPITAL (HIGBMAIN)	038	BHP	S	SS 50,000	63.12	n/a	n/a	2500.00	5.0
AO,CRT	09/10	HIGHBRIDGE CAPITAL (HIGBMAIN)	038	BHP	S	SS 50,000	63.12	n/a	n/a	2000.00	4.0
AO,CXL	09/10	HIGHBRIDGE CAPITAL (HIGBMAIN)	038	FIS	C	SS 25,000	44.78	n/a	n/a	1250.00	5.0
AO,CRT	09/10	HIGHBRIDGE CAPITAL (HIGBMAIN)	038	FIS	S	SS 25,000	44.78	n/a	n/a	1000.00	4.0
AO,CXL	09/10	POST ROAD CAP (POSTUBS)	068	FMX	В	1,800	34.67	n/a	n/a	72.00	4.0
AO,CRT	09/10	POST ROAD CAP (POSTUBS)	068	FMX	В	1,800	34.67	n/a	n/a	54.00	3.0
AO,CXL	09/10	HIGHBRIDGE CAPITAL (HIGBMAIN)	038	GRP	Š	SS 75,000	51.88	n/a	n/a	3750.00	5.0
AO,CRT	09/10	HIGHBRIDGE CAPITAL (HIGBMAIN)	038	GRP	Š	SS 75,000	51.88	n/a	n/a	3000.00	4.0
AO,CRT	09/10	SUN AMERICA ASSET MGMT (SUNAJU4A)	030	NLY	В	36,000	15.24	n/a	n/a	1800.00	5.0
AO,CXL	09/10	SUN AMERICA ASSET MGMT (SUNAJU47)	030	NLY	В	36,000	15.24	n/a	n/a	1800.00	5.0
AO,CXL	09/10	HIGHBRIDGE CAPITAL (HIGBMAIN)	038	RTI	S	SS 45,751	65.70	n/a	n/a	2287.55	5.0
AO,CRT	09/10	HIGHBRIDGE CAPITAL (HIGBMAIN)	038	RTI	S	SS 45,751	65.70	n/a	n/a	1830.04	4.0
AO,CXL	09/10	HIGHBRIDGE CAPITAL (HIGBMAIN)	038	RTP	S	SS 23,900	289.79	n/a	n/a	1195.00	5.0
AO,CRT	09/10	HIGHBRIDGE CAPITAL (HIGBMAIN)	038	RTP	S	SS 23,900	289.79	n/a	n/a	956.00	4.0
AO, CRT	09/06	EMP ERROR (EMP ERROR)	099	SMBL	В	1,000	10.62	n/a	n/a	0.00	0.0
AO, CRT	09/06	EMP ERROR (EMP ERROR)	099	SMBL	В	100	9.89	n/a	n/a	0.00	0.0
AO,	09/06	OTC ERROR (OTC ERROR)	099	SMBL	В	30,000	10.54	n/a	n/a	0.00	0.0

Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
09/06	LEDDY (LEDDY)	035	SMBL	В	1,000	10.62	n/a	n/a	0.00	0.0
09/06	LEDDY (LEDDY)	035	SMBL	В	1,000	10.85	n/a	n/a	0.00	0.0
09/06	MCCARTAN (MCCARTAN)	028	SMBL	В	100	9.89	n/a	n/a	0.00	0.0
09/06	EMP ERROR (EMP ERROR)	099	SMBL	S	1,000	10.85	n/a	n/a	0.00	0.0
09/06	OTC ERROR (OTC ERROR)	099	SMBL	s	30,000	10.53	n/a	n/a	0.00	0.0
09/06	BELMONT GLOBAL ADV (BELMJEFFPB)	248	SMBL	В	30,000	10.54	n/a	n/a	1500.00	5.0
09/06	BELMONT GLOBAL ADV (BELMJEFFPB)	248	SMBL	В	30,000	10.53	n/a	n/a	1500.00	5.0
09/10	POST ROAD CAP (POSTUBS)	068	YUM	В	1,200	31.47	n/a	24-Apr	48.00	4.0
09/10	POST ROAD CAP (POSTUBS)	068	YUM	В	1,200	31.47	n/a	24-Apr	36.00	3.0
	09/06 09/06 09/06 09/06 09/06 09/06 09/10	09/06 LEDDY (LEDDY) 09/06 LEDDY (LEDDY) 09/06 MCCARTAN (MCCARTAN) 09/06 EMP ERROR (EMP ERROR) 09/06 OTC ERROR (OTC ERROR) 09/06 BELMONT GLOBAL ADV (BELMJEFFPB) 09/06 BELMONT GLOBAL ADV (BELMJEFFPB)	09/06 LEDDY (LEDDY) 035 09/06 LEDDY (LEDDY) 035 09/06 MCCARTAN (MCCARTAN) 028 09/06 EMP ERROR (EMP ERROR) 099 09/06 OTC ERROR (OTC ERROR) 099 09/06 BELMONT GLOBAL ADV (BELMJEFFPB) 248 09/06 BELMONT GLOBAL ADV (BELMJEFFPB) 248 09/10 POST ROAD CAP (POSTUBS) 068	09/06 LEDDY (LEDDY) 035 SMBL 09/06 LEDDY (LEDDY) 035 SMBL 09/06 MCCARTAN (MCCARTAN) 028 SMBL 09/06 EMP ERROR (EMP ERROR) 099 SMBL 09/06 OTC ERROR (OTC ERROR) 099 SMBL 09/06 BELMONT GLOBAL ADV (BELMJEFFPB) 248 SMBL 09/06 BELMONT GLOBAL ADV (BELMJEFFPB) 248 SMBL 09/10 POST ROAD CAP (POSTUBS) 068 YUM	09/06 LEDDY (LEDDY) 035 SMBL B 09/06 LEDDY (LEDDY) 035 SMBL B 09/06 MCCARTAN (MCCARTAN) 028 SMBL B 09/06 EMP ERROR (EMP ERROR) 099 SMBL S 09/06 OTC ERROR (OTC ERROR) 099 SMBL S 09/06 BELMONT GLOBAL ADV (BELMJEFFPB) 248 SMBL B 09/06 BELMONT GLOBAL ADV (BELMJEFFPB) 248 SMBL B 09/10 POST ROAD CAP (POSTUBS) 068 YUM B	09/06 LEDDY (LEDDY) 035 SMBL B 1,000 09/06 LEDDY (LEDDY) 035 SMBL B 1,000 09/06 MCCARTAN (MCCARTAN) 028 SMBL B 100 09/06 EMP ERROR (EMP ERROR) 099 SMBL S 1,000 09/06 OTC ERROR (OTC ERROR) 099 SMBL S 30,000 09/06 BELMONT GLOBAL ADV (BELMJEFFPB) 248 SMBL B 30,000 09/10 POST ROAD CAP (POSTUBS) 068 YUM B 1,200	09/06 LEDDY (LEDDY) 035 SMBL B 1,000 10.62 09/06 LEDDY (LEDDY) 035 SMBL B 1,000 10.85 09/06 MCCARTAN (MCCARTAN) 028 SMBL B 100 9.89 09/06 EMP ERROR (EMP ERROR) 099 SMBL S 1,000 10.85 09/06 OTC ERROR (OTC ERROR) 099 SMBL S 30,000 10.53 09/06 BELMONT GLOBAL ADV (BELMJEFFPB) 248 SMBL B 30,000 10.54 09/06 BELMONT GLOBAL ADV (BELMJEFFPB) 248 SMBL B 30,000 10.53 09/10 POST ROAD CAP (POSTUBS) 068 YUM B 1,200 31.47	09/06 LEDDY (LEDDY) 035 SMBL B 1,000 10.62 n/a 09/06 LEDDY (LEDDY) 035 SMBL B 1,000 10.85 n/a 09/06 MCCARTAN (MCCARTAN) 028 SMBL B 100 9.89 n/a 09/06 EMP ERROR (EMP ERROR) 099 SMBL S 1,000 10.85 n/a 09/06 OTC ERROR (OTC ERROR) 099 SMBL S 30,000 10.53 n/a 09/06 BELMONT GLOBAL ADV (BELMJEFFPB) 248 SMBL B 30,000 10.54 n/a 09/10 POST ROAD CAP (POSTUBS) 068 YUM B 1,200 31.47 n/a	09/06 LEDDY (LEDDY) 035 SMBL B 1,000 10.62 n/a n/a 09/06 LEDDY (LEDDY) 035 SMBL B 1,000 10.85 n/a n/a 09/06 MCCARTAN (MCCARTAN) 028 SMBL B 100 9.89 n/a n/a 09/06 EMP ERROR (EMP ERROR) 099 SMBL S 1,000 10.85 n/a n/a 09/06 OTC ERROR (OTC ERROR) 099 SMBL S 30,000 10.53 n/a n/a 09/06 BELMONT GLOBAL ADV (BELMJEFFPB) 248 SMBL B 30,000 10.54 n/a n/a 09/06 BELMONT GLOBAL ADV (BELMJEFFPB) 248 SMBL B 30,000 10.53 n/a n/a 09/10 POST ROAD CAP (POSTUBS) 068 YUM B 1,200 31.47 n/a 24-Apr	09/06 LEDDY (LEDDY) 035 SMBL B 1,000 10.62 n/a n/a 0.00 09/06 LEDDY (LEDDY) 035 SMBL B 1,000 10.85 n/a n/a 0.00 09/06 MCCARTAN (MCCARTAN) 028 SMBL B 100 9.89 n/a n/a 0.00 09/06 EMP ERROR (EMP ERROR) 099 SMBL S 1,000 10.85 n/a n/a 0.00 09/06 OTC ERROR (OTC ERROR) 099 SMBL S 30,000 10.53 n/a n/a 0.00 09/06 BELMONT GLOBAL ADV (BELMJEFFPB) 248 SMBL B 30,000 10.54 n/a n/a 1500.00 09/06 BELMONT GLOBAL ADV (BELMJEFFPB) 248 SMBL B 30,000 10.53 n/a n/a 1500.00 09/06 POST ROAD CAP (POSTUBS) 068 YUM B 1,200 31.47 n/a 24-Apr 48.00

TOTAL (AO, CXL, CRT): -2,044.51

TOTAL (Trade Date):	149,429.76
TOTAL (AO, CXL, CRT):	-2,044.51

TOTAL (RUN DATE) / NFS: 147,385.25

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