



Daily Compliance Activity Report

Trade Date: 11/20/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	2,780	167.10	n/a	n/a	55.60	2.0
PIONEER OAKRIDGE	031	ABT	S	4,660	55.43	n/a	22-Apr	93.20	2.0
COMMISSUM CAPITAL	067	AB	S	4,000	72.24	25-Oct	16-Nov	200.00	5.0
NORTHPOINT	030	ACM	B	370	30.01	n/a	n/a	14.80	4.0
PIONEER OAKRIDGE	031	ADBE	S	5,680	41.87	n/a	n/a	113.60	2.0
GRISANTI BROWN & PARTNER	048	ADM	S	12,000	35.75	n/a	19-Nov	600.00	5.0
Õ Glenn Redemann		ADSK	B	12	0.7600	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ADSK	B	12	0.8800	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ADSK	SS	8	1.2700	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ADSK	SS	8	1.5400	n/a	n/a	0.00	0.0
LISTED ERR	099	AEO	B	4,100	21.56	9-Nov	20-Nov	0.00	0.0
LISTED ERR	099	AEO	S	4,100	21.56	9-Nov	20-Nov	0.00	0.0
PIONEER OAKRIDGE	031	AFL	S	4,925	60.73	n/a	n/a	98.50	2.0
PIONEER OAKRIDGE	031	AGN	S	3,415	62.49	9-Oct	20-Nov	68.30	2.0
SUNOVA CAPITAL	031	AMG	S	10,000	116.48	8-Nov	8-Nov	500.00	5.0
GRISANTI BROWN & PARTNER	048	AMR	S	13,100	21.01	n/a	n/a	655.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	ANF	B	15,000	74.11	2-Oct	19-Nov	750.00	5.0
BUCK	015	ANF	SS	500	72.76	2-Oct	19-Nov	0.00	0.0
MERRILL LYNCH STRATEGICI	034	APA	B	40,000	101.18	18-Oct	15-Nov	2,400.00	6.0
NOMURA CAPITAL	045	ARII	S	7,600	15.28	n/a	n/a	380.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	10,000	26.16	9-Nov	20-Nov	400.00	4.0
DENVER INST. ADV	046	ARO	S	69,700	26.00	9-Nov	20-Nov	2,788.00	4.0
KAICHER	064	ARYX	S	2,000	7.47	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	AWI	S	5,600	41.12	n/a	n/a	280.00	5.0
RAINIER INV MGMT	035	AXP	B	35,490	56.19	n/a	n/a	1,774.50	5.0
RAMIUS CAP	040	AZO	C	29,700	105.60	n/a	n/a	1,485.00	5.0
PIONEER OAKRIDGE	031	BA	S	2,560	87.72	n/a	n/a	51.20	2.0
PIONEER OAKRIDGE	031	BBY	S	4,130	46.89	n/a	27-Jul	82.60	2.0
BALYASNY ASSET MGMT	044	BEN	B	10,000	117.50	25-Sep	16-Nov	500.00	5.0
ROYCE TRADING	216	BHE	B	5,000	18.24	n/a	n/a	250.00	5.0
BALYASNY ASSET MGMT	044	BIG	B	15,000	19.54	26-Oct	9-Nov	750.00	5.0
MERRILL LYNCH STRATEGICI	034	BJS	B	75,000	24.94	n/a	n/a	3,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WELLS/STRONG LEDDY	035	BLT	S	3,200	11.08	n/a	n/a	128.00	4.0
FORD FDN.	032	BMJ	B	45,000	27.97	n/a	n/a	2,250.00	5.0
LEDDY	035	BONT	B	2,700	12.65	9-Nov	12-Nov	0.00	0.0
MKT MAKER	099	BONT	B	100	12.00	9-Nov	12-Nov	0.00	0.0
OPTIMUM INV ADV	030	BVF	B	25,000	14.24	n/a	n/a	1,000.00	4.0
BRUN	012	CALPINE CORPB		10,000	102.63	n/a	n/a	0.00	0.0
BRUNNER	012	CALPINE CORPB		65,000	102.63	n/a	n/a	0.00	0.0
LEDDY	035	CALPINE CORPB		175,000	102.63	n/a	n/a	0.00	0.0
TURETSKY	038	CALPINE CORPB		50,000	102.63	n/a	n/a	0.00	0.0
GRISANTI BROWN & PARTNER	048	CAL	C	24,400	27.76	n/a	n/a	1,220.00	5.0
GRISANTI BROWN & PARTNER	048	CBI	C	8,000	51.90	n/a	n/a	400.00	5.0
GRUSS CAPITAL	045	CBRL	B	5,000	32.70	n/a	n/a	200.00	4.0
WHEELER	008	CCC	B	4,000	12.31	n/a	n/a	0.00	0.0
PIIONEER OAKRIDGE	031	CELG	S	3,230	64.30	n/a	n/a	64.60	2.0
MKT MAKER	099	CENT	B	100	6.00	n/a	18-Sep	0.00	0.0
NOMURA CAPITAL	045	CKH	S	2,550	90.19	n/a	n/a	127.50	5.0
PIIONEER OAKRIDGE	031	CMCSA	S	8,895	19.25	26-Oct	19-Nov	177.90	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	CME	S	230	649.28	n/a	20-Nov	4.60	2.0
BARR	096	COF	SS	1,100	51.13	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	COH	S	50,000	35.17	24-Oct	24-Oct	2,000.00	4.0
COUGAR TRADING	044	COH	S	10,000	35.40	24-Oct	24-Oct	500.00	5.0
PIONEER OAKRIDGE	031	COH	S	5,040	35.04	24-Oct	24-Oct	100.80	2.0
SANDELL ADV	040	COP	B	50,000	78.23	n/a	n/a	2,500.00	5.0
ROYCE TRADING	216	CR	S	5,000	43.86	n/a	n/a	250.00	5.0
PIONEER OAKRIDGE	031	CSCO	S	13,595	29.03	n/a	22-Mar	271.90	2.0
HIGHBRIDGE CAPITAL	038	CSX	B	6,000	41.96	n/a	n/a	300.00	5.0
WELLS/STRONG LEDDY	035	CTS	S	4,100	11.01	n/a	n/a	164.00	4.0
J.W. SELIGMAN	041	CVX	B	169,500	87.15	n/a	n/a	6,780.00	4.0
MERRILL LYNCH STRATEGICI	034	CY	S	30,000	30.42	n/a	n/a	1,200.00	4.0
KORMAN	003	C	S	2,000	31.00	5-Nov	20-Nov	0.00	0.0
OGORMAN	046	C	S	500	31.00	5-Nov	20-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	DDS	SS	10,000	17.53	n/a	n/a	400.00	4.0
GRUSS CAPITAL	045	DEI	S	10,000	24.35	n/a	n/a	400.00	4.0
J.W. SELIGMAN	041	DFS	S	183,700	16.15	n/a	n/a	7,348.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARR	096	DFS	SS	1,000	16.75	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	DHR	S	3,145	82.88	n/a	n/a	62.90	2.0
STRAUSS ASSET MGMT	040	DKS	B	9,100	31.46	n/a	20-Nov	455.00	5.0
PIONEER OAKRIDGE	031	DNA	S	2,570	74.72	n/a	n/a	51.40	2.0
PIONEER OAKRIDGE	031	ECL	S	4,230	45.55	4-Oct	22-Oct	84.60	2.0
PIONEER OAKRIDGE	031	ERTS	S	4,465	54.59	n/a	n/a	89.30	2.0
BALYASNY ASSET MGMT	044	EV	SS	20,000	45.64	20-Nov	20-Nov	1,000.00	5.0
FIRST NY SEC/CHRIS	041	EV	B	10,000	43.58	20-Nov	20-Nov	600.00	6.0
HUNTER GLOBAL INVESTOR	067	EV	B	74,000	43.37	20-Nov	20-Nov	3,700.00	5.0
SUNOVA CAPITAL	031	EV	SS	50,000	43.08	20-Nov	20-Nov	2,500.00	5.0
NORTHPOINT	030	FGXI	B	2,300	14.37	n/a	n/a	92.00	4.0
BARR	096	FHN	SS	1,000	20.00	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	FII	SS	20,000	38.55	n/a	6-Nov	1,000.00	5.0
ROYCE TRADING	216	FRM	S	10,000	10.32	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	GES	B	30,000	41.14	n/a	n/a	1,200.00	4.0
MAZAMA CAPITAL MGMT.	035	GES	B	83,350	40.99	n/a	n/a	3,334.00	4.0
PIONEER OAKRIDGE	031	GE	S	11,400	37.85	n/a	n/a	228.00	2.0
GRISANTI BROWN & PARTNER	048	GG	C	12,000	31.88	n/a	n/a	600.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	GLW	S	8,415	22.36	n/a	24-Oct	168.30	2.0
AMATURO	018	GMO	S	2,500	9.74	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	GNTX	SS	30,000	19.00	24-Jul	23-Oct	1,500.00	5.0
PIONEER OAKRIDGE	031	GOOG	S	680	640.50	n/a	n/a	13.60	2.0
BUCK CAPITAL MGMT	001	GPS	B	57,900	19.98	n/a	12-Nov	2,316.00	4.0
COUGAR TRADING	044	GPS	B	5,000	19.99	n/a	12-Nov	250.00	5.0
MATRIX ASSET ADV.	036	GPS	S	15,000	19.99	n/a	12-Nov	450.00	3.0
SINCLAIR	031	GPYDF	B	3	20.30	n/a	n/a	0.00	0.0
AMATURO	018	GSI	B	4,000	9.25	n/a	n/a	0.00	0.0
LEDDY	035	GSI	B	1,700	8.77	n/a	n/a	0.00	0.0
AVENUE CAPITAL MGMT	036	GT	B	100,000	26.44	n/a	n/a	3,000.00	3.0
NOMURA CAPITAL	045	GT	S	7,200	26.18	n/a	n/a	360.00	5.0
NORTHPOINT	030	GXDX	B	275	25.42	n/a	n/a	11.00	4.0
GALLEON MGMT LP	033	GYMB	B	10,000	31.70	10-Aug	12-Nov	500.00	5.0
LOCUS WOOD CAPITAL MGMT	044	HCBK	SS	50,000	15.03	n/a	n/a	2,000.00	4.0
WELLS/STRONG LEDDY	035	HCSG	S	4,000	20.83	n/a	n/a	160.00	4.0
COLUMBIA PARTNERS	028	HOV	SS	2,400	9.13	n/a	n/a	72.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	HOV	B	5,000	7.79	n/a	n/a	250.00	5.0
NORTHPOINT	030	HURC	B	216	40.67	n/a	n/a	8.64	4.0
PIONEER OAKRIDGE	031	ICE	S	1,510	170.38	n/a	n/a	30.20	2.0
Õ Manny Korman		ICON	S	10000	21.9000	n/a	n/a	0.00	0.0
Õ Manny Korman		ICON	S	5000	21.3500	n/a	n/a	0.00	0.0
KORMAN	003	ICON	S	4,000	21.10	n/a	n/a	0.00	0.0
ROYCE TRADING	216	IN	B	5,000	20.96	n/a	n/a	250.00	5.0
PIONEER OAKRIDGE	031	IRM	S	4,265	35.23	n/a	n/a	85.30	2.0
COMMISSUM CAPITAL	067	IVZ	S	5,000	25.71	8-Oct	16-Nov	250.00	5.0
DALTON GREINER	012	IVZ	B	17,500	26.02	8-Oct	16-Nov	875.00	5.0
PHILADELPHIA FINANCIAL	033	IVZ	S	20,198	25.88	8-Oct	16-Nov	1,009.90	5.0
PIONEER OAKRIDGE	031	IVZ	S	9,440	25.81	8-Oct	16-Nov	188.80	2.0
GALLEON MGMT LP	033	IWO	C	10,000	79.69	n/a	n/a	500.00	5.0
GRUSS CAPITAL	045	IYR	SS	2,500	67.11	n/a	n/a	100.00	4.0
LEDDY	035	JADE	S	3,000	2.25	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	B	50,000	35.82	24-Oct	24-Oct	2,000.00	4.0
COUGAR TRADING	044	JCG	B	5,000	34.90	24-Oct	24-Oct	250.00	5.0
COUGAR TRADING	044	JCG	S	15,000	36.10	24-Oct	24-Oct	750.00	5.0
PIONEER OAKRIDGE	031	JCI	S	6,005	36.27	6-Nov	6-Nov	120.10	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JCP	S	10,000	40.55	15-Nov	16-Nov	400.00	4.0
MERRILL LYNCH STRATEGICI	034	JCP	S	35,500	42.10	15-Nov	16-Nov	1,775.00	5.0
WELLS/STRONG LEDDY	035	JDAS	S	3,100	20.44	n/a	n/a	124.00	4.0
MAZAMA CAPITAL MGMT.	035	JEF	B	49,300	23.79	n/a	n/a	1,972.00	4.0
BALYASNY ASSET MGMT	044	JNS	SS	20,000	32.51	19-Oct	15-Nov	1,000.00	5.0
ROYCE TRADING	216	JNY	B	10,000	18.34	n/a	1-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	JWN	S	30,000	33.72	20-Nov	20-Nov	1,200.00	4.0
HEALY CIRCLE	044	JWN	SS	10,000	33.84	20-Nov	20-Nov	500.00	5.0
THE JAY GOLDMAN	034	JWN	B	10,000	34.20	20-Nov	20-Nov	400.00	4.0
WELLS/STRONG LEDDY	035	KAMN	S	1,900	31.31	n/a	n/a	76.00	4.0
MERRILL LYNCH STRATEGICI	034	KSS	B	50,000	47.29	9-Nov	16-Nov	2,500.00	5.0
THE JAY GOLDMAN	034	KSS	SS	20,000	49.11	9-Nov	16-Nov	800.00	4.0
BUCK CAPITAL MGMT	001	KWD	B	10,000	15.22	n/a	n/a	400.00	4.0
GRISANTI BROWN & PARTNER	048	LCC	B	18,800	20.06	n/a	n/a	940.00	5.0
SUNOVA CAPITAL	031	LM	S	30,000	69.31	13-Nov	16-Nov	1,500.00	5.0
STRAUSS ASSET MGMT	040	LOJN	B	1,200	16.99	n/a	n/a	60.00	5.0
EGS ASSOCIATES LP	091	LTD	S	3,500	17.41	n/a	13-Nov	210.00	6.0

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BUCK CAPITAL MGMT	001	LTM	S	10,000	49.77	n/a	n/a	400.00	4.0
WELLS/STRONG LEDDY	035	LYTS	S	2,800	19.30	n/a	n/a	112.00	4.0
MS PRINCIPAL STRATEGIES	041	MAR	B	10,000	33.43	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	MAR	S	5,075	33.78	n/a	n/a	101.50	2.0
PIONEER OAKRIDGE	031	MCHP	S	6,330	29.33	n/a	n/a	126.60	2.0
NORTHPOINT	030	MCRI	B	175	27.67	n/a	n/a	7.00	4.0
NORTHPOINT	030	MCRL	B	480	8.63	n/a	n/a	14.40	3.0
ROYCE TRADING	216	MDC	B	5,000	33.65	n/a	n/a	250.00	5.0
NEUBERGER BERMAN	036	MDT	S	10,000	48.69	n/a	22-Apr	500.00	5.0
WELLS/STRONG LEDDY	035	MEI	S	5,000	12.23	n/a	n/a	200.00	4.0
KORMAN	003	MER	S	2,000	53.15	16-Nov	20-Nov	0.00	0.0
WELLS/STRONG LEDDY	035	MFB	S	2,500	12.45	n/a	n/a	100.00	4.0
BUCK	015	MHP	C	1,500	45.91	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	MIR	S	8,800	36.88	n/a	n/a	440.00	5.0
MERRILL LYNCH STRATEGICI	034	MMR	S	20,000	11.33	n/a	n/a	600.00	3.0
MERRILL LYNCH STRATEGICI	034	MON	S	2,300	91.50	n/a	9-Nov	138.00	6.0

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WELLS/STRONG LEDDY	035	MPW	S	3,200	10.91	n/a	n/a	128.00	4.0
PIONEER OAKRIDGE	031	MSFT	S	8,625	34.75	n/a	3-Apr	172.50	2.0
SCOGGIN CAP	044	MSFT	SS	50,000	34.76	n/a	3-Apr	2,500.00	5.0
KORMAN	003	MS	S	2,000	49.20	2-Jul	20-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	30,000	28.60	9-Nov	15-Nov	1,200.00	4.0
COUGAR TRADING	044	M	B	5,000	28.21	9-Nov	15-Nov	250.00	5.0
COUGAR TRADING	044	M	S	5,000	28.63	9-Nov	15-Nov	250.00	5.0
PRINCIPLE CAPITAL	040	M	S	44,700	27.59	9-Nov	15-Nov	1,788.00	4.0
MERRILL LYNCH STRATEGICI	034	NBR	B	20,000	27.09	n/a	n/a	800.00	4.0
MERRILL LYNCH STRATEGICI	034	NE	S	10,000	51.31	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	NVS	S	3,985	52.22	n/a	n/a	79.70	2.0
PIONEER OAKRIDGE	031	NWSA	S	11,020	20.45	n/a	n/a	220.40	2.0
COUGAR TRADING	044	NWY	S	10,000	7.16	n/a	20-Nov	500.00	5.0
MERRILL LYNCH STRATEGICI	034	NXY	S	40,000	30.16	n/a	n/a	1,600.00	4.0
NOMURA CAPITAL	045	OC	S	5,400	22.03	n/a	n/a	270.00	5.0
ESSEX CAP MGMT	067	OIH	C	78,300	182.37	n/a	n/a	3,915.00	5.0
NORTHPOINT	030	ONNN	B	415	8.78	n/a	n/a	12.45	3.0

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BARR	096	OPLK	C	1,000	15.10	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	PAYX	B	5,000	39.48	n/a	n/a	250.00	5.0
PIONEER OAKRIDGE	031	PAYX	S	5,980	39.00	n/a	n/a	119.60	2.0
PIONEER OAKRIDGE	031	PCP	S	1,575	135.48	n/a	n/a	31.50	2.0
PIONEER OAKRIDGE	031	PCS	S	6,975	16.65	n/a	n/a	139.50	2.0
DAVIDSON KEMPNER ADVISOR	217	PDE	S	42,200	32.58	n/a	n/a	2,110.00	5.0
LISTED ERR	099	PDE	B	21	32.53	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	PEP	S	3,920	74.86	n/a	n/a	78.40	2.0
PIONEER OAKRIDGE	031	PG	S	4,665	72.90	25-Oct	31-Oct	93.30	2.0
MAZAMA CAPITAL MGMT.	035	PJC	B	27,000	44.73	n/a	n/a	1,080.00	4.0
OGORMAN	046	PLCE	S	700	23.72	26-Sep	12-Nov	0.00	0.0
MERRILL LYNCH STRATEGICI	034	PLLL	S	10,000	18.81	n/a	n/a	400.00	4.0
COUGAR TRADING	044	PSUN	B	10,000	14.17	n/a	12-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	PVH	S	10,000	40.01	13-Aug	29-Aug	400.00	4.0
VISIUM/BALY HOWARD	038	PVH	SS	10,000	40.61	13-Aug	29-Aug	500.00	5.0
OGORMAN	046	PXG	S	845	1.70	n/a	n/a	0.00	0.0
KEEFE BRUYETTE WOODS A	031	PZN	SS	28,400	12.75	n/a	15-Nov	1,420.00	5.0

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PIONEER OAKRIDGE	031	QCOM	S	7,810	41.24	n/a	n/a	156.20	2.0
KORMAN	003	QIAAD	S	400	2.85	n/a	n/a	0.00	0.0
WELLS/STRONG LEDDY	035	RACK	S	2,200	9.74	n/a	n/a	88.00	4.0
SANDELL ADV	040	RCCC	SS	68,304	43.90	n/a	n/a	3,415.20	5.0
NORTHPOINT	030	RFMD	B	140	5.73	n/a	n/a	4.20	3.0
RAMIUS CAP	040	RHI	SS	83,700	25.59	n/a	n/a	4,185.00	5.0
PECONIC PARTNERS	036	RIO	B	10,000	34.69	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	RL	B	10,000	64.86	8-Nov	8-Nov	400.00	4.0
COUGAR TRADING	044	RL	B	5,000	65.07	8-Nov	8-Nov	250.00	5.0
COUGAR TRADING	044	RL	SS	5,000	64.90	8-Nov	8-Nov	250.00	5.0
SINCLAIR	031	RQWMK	B	20	2.25	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	RTN	S	4,520	61.92	n/a	n/a	90.40	2.0
PIONEER OAKRIDGE	031	SCHW	S	12,985	22.76	n/a	n/a	259.70	2.0
WELLS/STRONG LEDDY	035	SCVL	S	10,000	13.01	n/a	n/a	400.00	4.0
SCOGGIN CAP	044	SFSF	S	5,000	12.95	n/a	n/a	250.00	5.0
MERRILL LYNCH STRATEGICI	034	SGR	SS	5,000	62.57	n/a	n/a	300.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHPOINT	030	SIRF	B	8,670	24.59	n/a	n/a	346.80	4.0
BALYASNY ASSET MGMT	044	SKS	B	60,000	20.42	n/a	n/a	3,000.00	5.0
PIONEER OAKRIDGE	031	SLB	S	3,420	91.85	n/a	n/a	68.40	2.0
PIONEER OAKRIDGE	031	SPLS	S	9,975	20.02	n/a	27-Jul	199.50	2.0
MERRILL LYNCH STRATEGICI	034	SPWR	B	10,000	106.22	n/a	n/a	600.00	6.0
GRISANTI BROWN & PARTNER	048	SPY	C	13,100	144.84	n/a	n/a	655.00	5.0
LOCUS WOOD CAPITAL MGMT	044	SPY	SS	10,000	144.15	n/a	n/a	400.00	4.0
Õ Manny Korman		SRO	S	4400	13.6500	n/a	n/a	0.00	0.0
TOKIO MARINE ASSET MGMT	044	STZ	B	39,000	23.38	n/a	n/a	1,950.00	5.0
ADAGE CAPITAL MGMT	030	TGT	SS	60,000	52.99	n/a	27-Jul	2,400.00	4.0
BUCK CAPITAL MGMT	001	TGT	B	60,000	52.00	n/a	27-Jul	2,400.00	4.0
PIONEER OAKRIDGE	031	TGT	S	3,965	51.24	n/a	27-Jul	79.30	2.0
ROYAL CAPITAL	039	THC	B	244,100	4.00	n/a	6-Nov	7,323.00	3.0
LISTED ERR	099	THC	B	48	4.00	n/a	6-Nov	1.44	3.0
SIGMA CAPITAL ASSOCIATES	237	TIF	S	52,200	45.96	18-Oct	18-Oct	2,610.00	5.0
WAGONHOUND	048	TIF	B	7,330	46.59	18-Oct	18-Oct	293.20	4.0
IRONBOUND CAPITAL	012	TIN	B	20,000	41.98	9-Nov	9-Nov	1,000.00	5.0
PIONEER OAKRIDGE	031	TMO	S	4,650	56.96	n/a	n/a	93.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	TROW	B	15,000	61.40	19-Oct	23-Oct	750.00	5.0
NORTHPOINT	030	TTMI	S	33,230	11.49	n/a	n/a	1,329.20	4.0
PIONEER OAKRIDGE	031	TXN	S	7,695	31.00	n/a	n/a	153.90	2.0
NORTHPOINT	030	TZIX	B	230	15.26	n/a	n/a	9.20	4.0
BUCK	015	UAUA	SS	500	37.08	n/a	n/a	0.00	0.0
RAMIUS CAP	040	UA	SS	43,400	47.92	n/a	n/a	2,170.00	5.0
Õ Glenn Redemann		UNP	B	6	0.3900	n/a	n/a	0.00	0.0
Õ Glenn Redemann		UNP	B	6	0.6900	n/a	n/a	0.00	0.0
Õ Glenn Redemann		UNP	SS	4	1.0200	n/a	n/a	0.00	0.0
Õ Glenn Redemann		UNP	SS	4	1.2900	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	UTX	S	3,235	73.97	n/a	n/a	64.70	2.0
SINCLAIR	031	VCFA	B	80	0.75	n/a	n/a	0.00	0.0
ELM RIDGE ADVISORS	044	VC	B	200,500	3.70	n/a	19-Nov	6,015.00	3.0
MORTAR ROCK	033	VC	B	25,000	3.94	n/a	19-Nov	750.00	3.0
LEDDY	035	VC	B	3,000	3.99	n/a	19-Nov	0.00	0.0
SANDELL ADV	040	VLO	S	100,000	66.80	n/a	n/a	5,000.00	5.0
MERRILL LYNCH STRATEGICI	034	VNO	B	10,000	90.81	n/a	n/a	600.00	6.0
KEEFE BRUYETTE WOODS A	031	WDR	SS	5,500	32.02	6-Nov	6-Nov	275.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TOKIO MARINE ASSET MGMT	044	WERN	B	53,000	17.54	n/a	n/a	2,650.00	5.0
BALYASNY ASSET MGMT	044	WFC	SS	30,000	30.41	n/a	n/a	1,500.00	5.0
PIONEER OAKRIDGE	031	WLP	S	3,075	82.42	n/a	n/a	61.50	2.0
BUCK	015	WLP	S	800	81.90	n/a	n/a	0.00	0.0
BARR	096	WM	SS	1,800	18.00	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	WY	SS	81,000	68.87	1-Nov	1-Nov	4,050.00	5.0
HIGHBRIDGE CAPITAL	038	WY	S	3,000	69.45	1-Nov	1-Nov	150.00	5.0
PIONEER OAKRIDGE	031	XTO	S	5,425	63.07	n/a	n/a	108.50	2.0
PIONEER OAKRIDGE	031	ZMH	S	2,900	64.26	n/a	n/a	58.00	2.0
TOTAL (Trade Date) :								176,861.83	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/19	THE BOSTON COMPANY (BOST546)	214	APD	S	430	92.49	n/a	24-Oct	21.50 5.0
AO,CXL	11/19	THE BOSTON COMPANY (BOST427)	214	APD	S	430	92.49	n/a	24-Oct	21.50 5.0
CRT	11/20	MKT MAKER (MKT MAKER)	099	BONT	B	100	12.00	9-Nov	12-Nov	0.00 0.0
CRT	11/20	MKT MAKER (MKT MAKER)	099	CENT	B	100	6.00	n/a	18-Sep	0.00 0.0
AO,CXL	11/19	SERENGETI MGMT (SEREMSPB)	030	EMC	S	100,000	19.56	n/a	n/a	4000.00 4.0
AO,CRT	11/19	SERENGETI MGMT (SEREMSPB)	030	EMC	S	100,000	19.56	n/a	n/a	5000.00 5.0
AO,CXL	11/15	SERENGETI MGMT (SEREMSPB)	030	FII	SS	100,000	40.17	n/a	6-Nov	4000.00 4.0
AO,CRT	11/15	SERENGETI MGMT (SEREMSPB)	030	FII	SS	100,000	40.17	n/a	6-Nov	5000.00 5.0
AO,CXL	11/16	BUCK CAPITAL MGMT (BUCKSUNAGX)	001	JBX	B	40,000	29.77	n/a	24-Apr	1600.00 4.0
AO,CRT	11/16	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	JBX	B	40,000	29.77	n/a	24-Apr	1600.00 4.0
AO,CXL	11/19	BUCK CAPITAL MGMT (BUCKSUNAGX)	001	JWN	S	30,000	31.53	20-Nov	20-Nov	1200.00 4.0
AO,CRT	11/19	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	JWN	S	30,000	31.53	20-Nov	20-Nov	1200.00 4.0
TOTAL (AO, CXL, CRT) :										2,000.00

TOTAL (Trade Date) :	176,861.83
TOTAL (AO, CXL, CRT) :	2,000.00

TOTAL (RUN DATE) / NFS:	178,861.83
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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