



Daily Compliance Activity Report

Trade Date: 02/09/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	ACL	B	100	130.84	8-Feb	9-Feb	5.00	5.0
J L F ASSET MGMT	039	ADCT	S	30,100	16.74	n/a	n/a	1,204.00	4.0
DIAMONDBACK CAP MGMT	232	ADI	S	25,000	33.34	n/a	n/a	1,250.00	5.0
PATTEN & PATTEN	067	AEE	S	200	53.99	n/a	n/a	10.00	5.0
MAZAMA CAPITAL MGMT.	035	AIQ	S	118,500	7.07	n/a	n/a	4,740.00	4.0
CROWLEY	061	ALVR	B	2,500	7.77	n/a	n/a	0.00	0.0
SUNOVA CAPITAL	031	AMG	S	30,000	111.30	25-Jan	12-Feb	1,500.00	5.0
B BUCK CAPITAL MGMT		ANN	SS	10,000	34.83	5-Jan	9-Feb	non-brg	5.0
NOLAN	067	AOS	B	20	38.85	21-Dec	8-Feb	0.00	0.0
PATTEN & PATTEN	067	APA	S	200	70.41	2-Feb	2-Feb	10.00	5.0
MCCARTAN	028	APC	S	100	41.56	n/a	22-Jan	0.00	0.0
BANK OF NEW YORK	040	ARO	S	18,480	37.22	23-Oct	9-Feb	831.60	4.5
ROBERTSON STEVENS BC	033	ARO	S	6,000	38.00	23-Oct	9-Feb	240.00	4.0
THE JAY GOLDMAN	034	ARO	SS	32,000	37.95	23-Oct	9-Feb	1,280.00	4.0
B BUCK CAPITAL MGMT		ASD	B	10,000	51.87	1-Feb	1-Feb	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MCCARTAN	028	ASD	B	100	51.90	1-Feb	1-Feb	0.00	0.0
DIAMONDBACK CAP MGMT	232	ASML	SS	50,000	25.12	n/a	n/a	2,500.00	5.0
NEUBERGER BERMAN	238	ATR	S	13,600	66.32	n/a	n/a	680.00	5.0
BINDER	007	AUO	S	150	14.81	n/a	n/a	0.00	0.0
SAILFISH	037	AV	B	30,000	13.00	n/a	22-Mar	1,500.00	5.0
T. ROWE PRICE	033	BBY	S	150,000	51.68	13-Dec	10-Jan	6,000.00	4.0
BALYASNY ASSET MGMT	044	BEN	S	14,500	123.52	9-Nov	12-Feb	725.00	5.0
THIRD POINT MGMT	044	BIG	SS	4,600	26.77	16-Nov	9-Feb	184.00	4.0
BAIRD INVESTMENT	031	BJS	S	85,924	27.24	n/a	n/a	4,296.20	5.0
XYLEM GLOBAL	091	BOW	SS	24,400	27.01	27-Oct	7-Feb	1,220.00	5.0
WHEELER	008	BQI	B	10,000	4.35	n/a	n/a	0.00	0.0
LATEFF MGMT	040	BRL	B	1,200	53.41	26-Jan	9-Feb	360.00	30.0
B BUCK CAPITAL MGMT		BWS	SS	5,000	56.00	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		CACH	S	10,000	23.22	n/a	n/a	non-brg	5.0
GALLEON MGMT LP	033	CAG	B	20,000	25.63	n/a	n/a	1,000.00	5.0
DSM CAPITAL PARTNERS	032	CBS	SS	8,900	31.66	n/a	n/a	534.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	CBS	B	500	32.01	n/a	n/a	25.00	5.0
Ö Glenn Redemann		CC	B	5	0.2700	20-Dec	10-Jan	0.00	0.0
Ö Glenn Redemann		CC	B	5	0.6300	20-Dec	10-Jan	0.00	0.0
SUTERA	160	CC	S	2,000	21.45	20-Dec	10-Jan	0.00	0.0
CRAMER ROSENTHAL/SCOTT	012	CENTA	S	85,500	13.27	n/a	n/a	4,275.00	5.0
COUGAR TRADING	044	CHS	B	5,000	21.46	5-Jan	9-Feb	250.00	5.0
BUCK CAPITAL MGMT	001	COH	S	20,000	46.86	24-Jan	24-Jan	800.00	4.0
MAZAMA CAPITAL MGMT.	035	CPX	S	27,100	19.50	n/a	n/a	1,084.00	4.0
PILOT ADV	038	CPX	B	57,600	19.62	n/a	n/a	2,304.00	4.0
ß BUCK CAPITAL MGMT		CRI	S	50,000	24.78	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		CROX	S	10,000	54.39	n/a	n/a	non-brg	5.0
DIAMONDBACK CAP MGMT	232	CTRP	SS	10,000	67.01	n/a	n/a	500.00	5.0
ß BUCK CAPITAL MGMT		CWTR	S	20,000	18.57	n/a	n/a	non-brg	5.0
ZOLIDIS	011	CWTR	SS	200	18.75	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DBRN	B	10,000	21.24	n/a	n/a	non-brg	5.0
LUCHANSKY	036	DCTH	B	1,000	3.84	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	DG	SS	52,300	16.56	n/a	9-Feb	2,092.00	4.0
BINDER	007	DHI	SS	200	28.00	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		DKS	C	30,000	51.59	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		DLTR	B	50,000	33.23	8-Feb	8-Feb	non-brg	5.0
⌘ BUCK CAPITAL MGMT		DLTR	B	50,000	33.26	8-Feb	8-Feb	non-brg	2.0
BULL PATH CAPITAL	044	DTV	B	50,000	25.15	22-Dec	9-Feb	2,500.00	5.0
LEEDS	002	EDGR	B	30,000	3.25	n/a	n/a	0.00	0.0
SCHEINER	037	ELY	S	1,000	15.12	n/a	n/a	0.00	0.0
COHE & STEERS	091	EOP	S	500,000	55.48	n/a	n/a	15,000.00	3.0
DIAMONDBACK CAP MGMT	232	ERIC	SS	25,000	36.57	n/a	n/a	1,250.00	5.0
PATTEN & PATTEN	067	EWC	S	1,200	25.65	n/a	n/a	60.00	5.0
RAMIUS CAP	040	FCX	C	19,143	54.16	n/a	n/a	957.15	5.0
BENCHMARK	028	FDO	SS	12,000	31.21	3-Nov	9-Feb	600.00	5.0
⌘ BUCK CAPITAL MGMT	001	FDO	SS	100,000	31.58	3-Nov	9-Feb	4,000.00	4.0
COUGAR TRADING	044	FDO	SS	10,000	31.79	3-Nov	9-Feb	500.00	5.0
ELAZAR ADV	034	FDO	SS	10,995	31.17	3-Nov	9-Feb	549.75	5.0
MAZAMA CAPITAL MGMT.	035	FIX	S	5,500	13.03	n/a	n/a	220.00	4.0
⌘ BUCK CAPITAL MGMT	001	FL	S	30,000	22.93	n/a	9-Feb	1,200.00	4.0
⌘ BUCK CAPITAL MGMT		FL	S	20,000	23.22	n/a	9-Feb	non-brg	5.0
⌘ BUCK CAPITAL MGMT		GCO	S	20,000	42.34	n/a	10-Jan	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		GIL	B	15,000	52.03	n/a	n/a	non-brg	5.0
LEDDY	035	GIL	B	400	52.00	n/a	n/a	0.00	0.0
DC CAPITAL	044	GLW	B	100,000	21.65	n/a	8-Feb	5,000.00	5.0
SOMERSET ADV	044	GLW	B	25,000	21.65	n/a	8-Feb	1,250.00	5.0
BINDER	007	GLW	S	200	21.75	n/a	8-Feb	0.00	0.0
KERN	050	GLW	S	800	21.78	n/a	8-Feb	0.00	0.0
SUTERA	160	GLW	S	2,000	21.81	n/a	8-Feb	0.00	0.0
MAZAMA CAPITAL MGMT.	035	GRP	B	30,500	41.99	n/a	n/a	1,220.00	4.0
BEAR STEARNS ASSET MGMT.	033	GS	SS	20,000	214.52	13-Dec	16-Jan	800.00	4.0
PATTEN & PATTEN	067	GS	S	100	214.51	13-Dec	16-Jan	5.00	5.0
SCHEINER	037	GS	S	400	212.14	13-Dec	16-Jan	0.00	0.0
⌘ BUCK CAPITAL MGMT		GTRC	S	10,000	46.65	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		GYMB	B	30,000	37.45	4-Jan	9-Feb	non-brg	5.0
MAZAMA CAPITAL MGMT.	035	HAR	B	18,000	101.53	n/a	n/a	720.00	4.0
PIVOT CAP	034	HAS	S	11,205	29.01	n/a	n/a	448.20	4.0
BUCK	015	HMA	S	1,000	20.00	18-Jan	6-Feb	0.00	0.0
DIAMONDBACK CAP MGMT	232	IBM	SS	10,000	98.55	n/a	n/a	500.00	5.0
BUCK	015	ICE	S	150	150.90	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		ICON	S	10,000	19.33	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHARTER OAK	037	IDIX	B	8,100	9.00	n/a	n/a	405.00	5.0
MKT MAKER	099	IDIX	B	51	9.00	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	IDTI	S	25,000	16.38	n/a	n/a	1,250.00	5.0
BUCK	015	ILE	B	5,000	3.36	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		INTC	B	10,000	21.42	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		INTC	B	5,000	21.09	n/a	n/a	non-brg	5.0
DIAMONDBACK CAP MGMT	232	INTC	SS	100,000	21.13	n/a	n/a	5,000.00	5.0
SUTERA	160	ISE	S	1,000	46.41	26-Oct	6-Feb	0.00	0.0
B BUCK CAPITAL MGMT		ITXSM	B	112,900	44.20	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		ITXSM	S	112,900	44.20	n/a	n/a	non-brg	5.0
PATTEN & PATTEN	067	JDSU	B	913	16.27	n/a	n/a	45.65	5.0
B BUCK CAPITAL MGMT		JOSB	B	5,000	30.89	n/a	n/a	non-brg	5.0
GALLEON MGMT LP	033	KFT	SS	20,000	33.29	n/a	n/a	1,000.00	5.0
STRONG/WELL HOWARD	038	KGC	B	477,200	13.22	n/a	n/a	19,088.00	4.0
DIAMONDBACK CAP MGMT	232	KLAC	S	10,000	49.65	n/a	n/a	500.00	5.0
MAZAMA CAPITAL MGMT.	035	KOG	S	63,700	4.50	n/a	n/a	1,911.00	3.0
GLG PARTNERS	034	KO	B	75,000	47.90	n/a	n/a	3,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BEAR STEARNS ASSET MGMT.	033	KSS	SS	30,000	72.50	27-Dec	9-Feb	1,200.00	4.0
NEUBERGER BERMAN	238	KVA	S	14,100	26.00	n/a	n/a	705.00	5.0
Ö Glenn Redemann		LCC	B	3	0.9000	n/a	n/a	0.00	0.0
Ö Glenn Redemann		LCC	B	3	1.2900	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	LEH	B	250,000	82.77	6-Dec	16-Jan	12,500.00	5.0
SCHEINER	037	LEH	S	800	82.27	6-Dec	16-Jan	0.00	0.0
BUCK	015	LESSO	S	10	2.50	n/a	n/a	0.00	0.0
CATAPULT	040	LIZ	B	17,500	45.26	n/a	2-Feb	700.00	4.0
OPPENHEIMER MGMT.	036	LOW	S	80,000	33.53	n/a	16-Jan	3,200.00	4.0
LUCHANSKY	036	MA	B	500	102.87	n/a	n/a	0.00	0.0
LUCHANSKY	036	MA	S	500	103.56	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	MDR	B	25,000	52.49	n/a	n/a	1,250.00	5.0
Б BUCK CAPITAL MGMT		MDTL	SS	10,000	16.92	n/a	n/a	non-brg	5.0
PATTEN & PATTEN	067	MDT	S	500	53.96	n/a	22-Apr	25.00	5.0
RAMIUS CAP	040	MIR	B	50,000	35.41	n/a	n/a	2,500.00	5.0
WHALE ROCK CAP	030	MLNX	S	1,000	20.65	n/a	n/a	40.00	4.0
BUCK	015	MPXL	B	1,000	18.63	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		MSMSBFIN	C	139,000	30.08	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		MSMSBFIN	SS	139,000	30.08	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		MSMSBRTL	C	686,600	26.31	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		MSMSBRTL	SS	686,600	26.31	n/a	n/a	non-brg	5.0
PATTEN & PATTEN	067	MS	S	100	82.44	20-Dec	16-Jan	5.00	5.0
MAZAMA CAPITAL MGMT.	035	MTH	S	40,000	42.73	n/a	n/a	1,600.00	4.0
MAZAMA CAPITAL MGMT.	035	MTZ	S	32,500	11.40	n/a	n/a	1,300.00	4.0
ß BUCK CAPITAL MGMT		MVRX	C	394,100	201.68	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		MVRX	SS	394,100	201.68	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		MVRX	SS	70,000	198.94	n/a	n/a	non-brg	19.9
XYLEM GLOBAL	091	MWV	B	30,000	31.17	8-Jan	1-Feb	1,500.00	5.0
PATTEN & PATTEN	067	NBIX	B	1,000	13.01	n/a	n/a	50.00	5.0
LEDDY	035	NEXC	B	900	9.62	n/a	n/a	0.00	0.0
MAZAMA CAPITAL MGMT.	035	NGS	S	18,800	14.15	n/a	n/a	752.00	4.0
ß BUCK CAPITAL MGMT		NLS	S	10,000	17.99	n/a	n/a	non-brg	5.0
SUTERA	160	NLS	S	1,000	17.87	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	NVLS	SS	20,000	30.66	n/a	n/a	1,000.00	5.0
MKT MAKER	099	NVLS	B	25,000	30.69	n/a	n/a	0.00	0.0

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MKT MAKER	099	NVLS	SS	25,000	30.68	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	NWY	S	10,000	14.76	1-Dec	9-Feb	400.00	4.0
BUCK CAPITAL MGMT		NWY	S	20,000	14.68	1-Dec	9-Feb	non-brg	5.0
J L F ASSET MGMT	039	ODP	SS	67,500	36.60	n/a	23-Jan	2,700.00	4.0
RAMIUS CAP	040	PACR	S	50,000	27.62	n/a	n/a	2,500.00	5.0
BUCK	015	PENN	B	1,000	43.98	n/a	n/a	0.00	0.0
GENERAL ELECTIC CO	033	PEP	B	75,135	63.96	n/a	n/a	3,381.08	4.5
PATTEN & PATTEN	067	PHO	B	300	19.04	n/a	n/a	15.00	5.0
BUCK CAPITAL MGMT		PLCE	S	10,000	56.67	n/a	9-Feb	non-brg	5.0
CAPITAL GROWTH MGMT.	241	PRU	B	65,000	92.08	n/a	n/a	3,250.00	5.0
BUCK CAPITAL MGMT		PSS	C	20,000	31.67	n/a	n/a	non-brg	5.0
COUGAR TRADING	044	PSUN	SS	10,000	19.51	n/a	9-Feb	500.00	5.0
DIAMONDBACK CAP MGMT	232	RACK	S	10,358	17.55	n/a	n/a	517.90	5.0
BINDER	007	RDEN	S	200	21.49	5-Feb	5-Feb	0.00	0.0
BUCK CAPITAL MGMT	001	RL	SS	10,000	83.25	2-Feb	8-Feb	400.00	4.0
BUCK CAPITAL MGMT		RL	S	5,000	83.11	2-Feb	8-Feb	non-brg	5.0
BUCK CAPITAL MGMT		ROST	C	30,100	32.75	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BINDER	007	RSH	S	200	22.66	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	238	RSTI	B	16,300	62.15	n/a	n/a	815.00	5.0
BUCK	015	RTN	B	400	54.80	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	RVBD	S	15,000	28.85	n/a	n/a	750.00	5.0
JEFFERIES ASSET/PARAGON	012	RVI	SS	15,200	20.74	n/a	n/a	608.00	4.0
ß BUCK CAPITAL MGMT		S4RETL	C	77,800	448.81	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		S4RETL	SS	77,800	448.81	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		S6RETL	C	74,600	283.95	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		S6RETL	SS	74,600	283.95	n/a	n/a	non-brg	5.0
STERLING JOHNSTON	035	SBH	S	31,100	9.50	n/a	n/a	1,244.00	4.0
BINDER	007	SDS	B	150	57.18	n/a	n/a	0.00	0.0
BUCK	015	SE	S	500	26.28	n/a	n/a	0.00	0.0
MAGUIRE	090	SFD	B	5,600	27.16	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SHOO	B	5,000	30.64	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	SKX	S	5,000	34.65	n/a	12-Jan	200.00	4.0
PATTEN & PATTEN	067	SLB	B	250	64.55	n/a	n/a	12.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MANNING & NAPIER	034	SMF	S	46,210	19.35	n/a	n/a	1,848.40	4.0
MANNING & NAPIER	034	SMG	S	13,400	54.65	24-Jan	24-Jan	536.00	4.0
NEUBERGER BERMAN	238	SM	S	12,600	36.67	n/a	n/a	630.00	5.0
KAICHER	064	SNCR	S	1,000	15.35	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	044	SNE	SS	25,000	49.09	n/a	n/a	1,250.00	5.0
DIAMONDBACK CAP MGMT	232	SONS	S	50,000	7.36	n/a	22-Mar	2,500.00	5.0
XYLEM GLOBAL	091	SSCC	B	100,000	11.57	26-Oct	25-Jan	4,000.00	4.0
BINDER	007	SWK	SS	100	57.07	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	SWN	B	400	38.53	n/a	22-Jan	20.00	5.0
S.A.C. CAPITAL MGMT.	044	THI	B	15,000	30.92	12-Dec	7-Feb	750.00	5.0
DIAMONDBACK CAP MGMT	232	TKLC	S	20,000	14.26	n/a	22-Mar	1,000.00	5.0
BINDER	007	TOL	S	200	32.18	n/a	n/a	0.00	0.0
RAMIUS CAP	040	TRB	B	25,000	31.00	n/a	n/a	1,250.00	5.0
BENCHMARK	028	TTEC	SS	10,000	32.66	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		TWB	S	20,000	35.26	9-Jan	23-Jan	non-brg	5.0

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B BUCK CAPITAL MGMT		TXN	SS	10,000	30.94	n/a	n/a	non-brg	5.0
DIAMONDBACK CAP MGMT	232	TXN	SS	100,000	30.94	n/a	n/a	5,000.00	5.0
PATTEN & PATTEN	067	T	S	200	37.18	26-Jan	12-Feb	10.00	5.0
GAULT	063	UPL	S	500	52.11	n/a	8-Feb	0.00	0.0
SAILFISH	037	UPS	SS	5,000	73.82	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		URBN	S	50,000	25.04	7-Dec	9-Feb	non-brg	5.0
J L F ASSET MGMT	039	URI	S	81,386	27.82	n/a	n/a	3,255.44	4.0
B BUCK CAPITAL MGMT		VNF+AL	B	125	30.00	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		VNF+AL	S	125	30.00	n/a	n/a	non-brg	5.0
HERMES	048	VSTA	B	10,000	9.84	n/a	n/a	500.00	5.0
BUCK	015	VTIV	S	300	37.06	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	031	WFT	B	33,125	40.38	n/a	n/a	1,656.25	5.0
B BUCK CAPITAL MGMT		WMT	SS	25,000	47.73	n/a	9-Feb	non-brg	5.0
COUGAR TRADING	044	WRNC	SS	10,000	27.18	18-Jan	18-Jan	500.00	5.0
COUGAR TRADING	044	WRNC	S	15,000	27.37	18-Jan	18-Jan	750.00	5.0
B BUCK CAPITAL MGMT		WTSLA	B	40,000	6.07	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ZQK	S	30,000	13.84	9-Feb	9-Feb	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHARTER OAK	037	ZQK	B	20,157	13.54	9-Feb	9-Feb	1,007.85	5.0
TRIBECA	038	ZQK	B	10,000	13.65	9-Feb	9-Feb	400.00	4.0
WEISS PECK	040	ZQK	S	79,970	13.95	9-Feb	9-Feb	3,998.50	5.0
SCHEINER	037	ZQK	C	3,000	13.81	9-Feb	9-Feb	0.00	0.0
TOTAL (Trade Date):								188,362.47	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/08	FIRST PACIFIC ADV	048	CC	B	200,000	21.73	20-Dec	10-Jan	10000.00 5.0
AO,	02/08	MKT MAKER	099	CENT	S	51	84.47	8-Feb	8-Feb	0.00 0.0
AO,CRT	02/08	PALMYRA CAPITAL	048	CENT	B	32,851	12.63	8-Feb	8-Feb	985.53 3.0
AO,CXL	02/08	PALMYRA CAPITAL	048	CENT	B	32,851	12.63	8-Feb	8-Feb	1642.55 5.0
AO,CRT	02/08	GOLDEN TREE	036	FNM	B	11,610	56.21	n/a	n/a	580.50 5.0
AO,CXL	02/08	GOLDEN TREE	036	FNM	B	11,610	56.21	n/a	n/a	2.81 0.0
AO,CRT	02/07	THE JAY GOLDMAN	034	NWY	B	15,000	14.77	1-Dec	9-Feb	600.00 4.0
AO,CXL	02/07	THE JAY GOLDMAN	034	NWY	B	15,000	14.77	1-Dec	9-Feb	0.00 0.0
AO,CRT	02/08	MKT MAKER	099	PSUN	B	4	19.35	n/a	9-Feb	0.00 0.0
AO,CRT	02/08	NEUBERGER BERMAN	238	RSTI	B	10,774	63.02	n/a	n/a	538.70 5.0
AO,CXL	02/08	NEUBERGER BERMAN	238	RSTI	B	10,774	63.02	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :									11,059.37	
TOTAL (Trade Date):									188,362.47	
TOTAL (AO, CXL, CRT):									11,059.37	
TOTAL (RUN DATE) / NFS:									199,421.84	

MRI Securities with Trade Activity on 9-Feb.

ZQK

MRI Securities without Trade Activity on 9-Feb.

BONT, DVN

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

T-Date = 3%

YTD = 19%

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