

Daily Compliance Activity Report Trade Date: 12/05/2006

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
PRIME CAPITAL	048	AA	В	2,700	30.90	n/a	n/a	135.00	5.0
IMPALA ASSET MMT	012	ABX	S	162,500	30.81	n/a	n/a	4,875.00	3.0
KEEFE BRUYETTE WOODS A	031	AB	S	7,500	80.03	25-0ct	28-Nov	375.00	5.0
PATTEN & PATTEN	067	AB	S	100	80.46	25-0ct	28-Nov	5.00	5.0
IMPALA ASSET MMT	012	AEM	В	318,373	44.64	n/a	n/a	9,551.19	3.0
J L F ASSET MGMT	039	AEOS	SS	51,600	47.55	15-Nov	5-Dec	2,064.00	4.0
IMPALA ASSET MMT	012	AG	S	81,000	32.13	n/a	n/a	2,430.00	3.0
IMPALA ASSET MMT	012	ALK	S	61,000	39.86	n/a	n/a	1,830.00	3.0
ANTEUS ASSOC.BAEL	065	ALU	S	24	13.06	n/a	n/a	1.20	5.0
J L F ASSET MGMT	039	ANF	SS	29,400	67.17	3-Nov	1-Dec	1,176.00	4.0
HOOVER INV. MGMT	033	AOB	В	80,000	11.68	n/a	n/a	4,000.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	20,000	30.34	23-0ct	1-Dec	800.00	4.0
BALYASNY ASSET MGMT	044	ASD	S	5,000	45.62	2-0ct	1-Dec	250.00	5.0
PZENA INV ADV	044	AZO	S	7,550	117.36	n/a	n/a	302.00	4.0
PATTEN & PATTEN	067	ВВН	S	100	188.21	n/a	n/a	5.00	5.0

Account	RR #	Symbol	B/	S	Shares	Price	MRI	Research	Comm. (Shr.	
RIVER RUN MGMT	031	BBI		SS	45,000	5.45	n/a	n/a	1,800.00	4.0	
BRIGHTPOINT CAP	067	BIG		SS	7,500	22.61	16-Nov	1-Dec	375.00	5.0	
IMPALA ASSET MMT	012	BLL		S	50,000	43.25	n/a	n/a	1,500.00	3.0	
RIDGECRST PARTNERS	035	BONT	В		2,500	38.40	23-0ct	1-Dec	125.00	5.0	
PZENA INV ADV	044	BP		S	11,175	68.37	n/a	n/a	447.00	4.0	
OGORMAN	146	BSC	В		100	156.11	n/a	13-Nov	0.00	0.0	
GALLEON MGMT LP PRIME CAPITAL	033	BSX BSX	В	S	50,000 6,000	16.35 16.39	n/a n/a	22-Apr 22-Apr	2,500.00	5.0	
BUCK CAPITAL MGMT	001	BWS		SS	10,000	48.99	n/a	n/a	400.00	4.0	
IMPALA ASSET MMT	012	CAL		S	318,700	41.45	n/a	n/a	9,561.00	3.0	
IMPALA ASSET MMT	012	CENX		S	81,000	43.75	n/a	n/a	2,430.00	3.0	
SAB CAPITAL	034	CFC		S	265,000	40.63	n/a	n/a	13,250.00	5.0	
CAPITAL GROWTH MGMT.	241	CLB	В		30,000	90.96	7-Aug	22-Nov	1,500.00	5.0	
IMPALA ASSET MMT	012	CLF		S	71,000	48.19	n/a	n/a	2,130.00	3.0	
PATTEN & PATTEN	067	COP	В		200	67.99	n/a	n/a	10.00	5.0	
RIVER RUN MGMT	031	CORE		S	2,200	33.52	n/a	n/a	110.00	5.0	
	RIVER RUN MGMT BRIGHTPOINT CAP IMPALA ASSET MMT RIDGECRST PARTNERS PZENA INV ADV OGORMAN GALLEON MGMT LP PRIME CAPITAL BUCK CAPITAL MGMT IMPALA ASSET MMT IMPALA ASSET MMT SAB CAPITAL CAPITAL GROWTH MGMT. IMPALA ASSET MMT PATTEN & PATTEN	RIVER RUN MGMT 031 BRIGHTPOINT CAP 067 IMPALA ASSET MMT 012 RIDGECRST PARTNERS 035 PZENA INV ADV 044 OGORMAN 146 GALLEON MGMT LP 033 PRIME CAPITAL 048 BUCK CAPITAL MGMT 001 IMPALA ASSET MMT 012 IMPALA ASSET MMT 012 SAB CAPITAL 034 CAPITAL GROWTH MGMT. 241 IMPALA ASSET MMT 012 PATTEN & PATTEN 067	RIVER RUN MGMT BRIGHTPOINT CAP O67 BIG IMPALA ASSET MMT O12 BLL RIDGECRST PARTNERS O35 BONT PZENA INV ADV O44 BP OGORMAN 146 BSC GALLEON MGMT LP PRIME CAPITAL O48 BSX BUCK CAPITAL MGMT O11 IMPALA ASSET MMT O12 CAL IMPALA ASSET MMT O12 CAL IMPALA ASSET MMT O12 CAL CAPITAL GROWTH MGMT. 241 CLB IMPALA ASSET MMT O12 CLF PATTEN & PATTEN O67 COP	RIVER RUN MGMT BRIGHTPOINT CAP O67 BIG IMPALA ASSET MMT O12 BLL RIDGECRST PARTNERS O35 BONT B PZENA INV ADV O44 BP OGORMAN 146 BSC B GALLEON MGMT LP PRIME CAPITAL O48 BSX B BUCK CAPITAL MGMT O01 BWS IMPALA ASSET MMT O12 CAL IMPALA ASSET MMT O12 CENX SAB CAPITAL O34 CFC CAPITAL GROWTH MGMT. 241 CLB B IMPALA ASSET MMT O12 CLF PATTEN & PATTEN O67 COP B	RIVER RUN MGMT BRIGHTPOINT CAP 067 BIG SS IMPALA ASSET MMT 012 BLL S RIDGECRST PARTNERS 035 BONT B PZENA INV ADV 044 BP S OGORMAN 146 BSC B GALLEON MGMT LP 048 BSX B BUCK CAPITAL MGMT 001 BWS SS IMPALA ASSET MMT 012 CAL S IMPALA ASSET MMT 012 CENX SAB CAPITAL 034 CFC S CAPITAL GROWTH MGMT. 241 CLB B IMPALA ASSET MMT 012 CLF S PATTEN & PATTEN 067 COP B	RIVER RUN MGMT 031 BBI SS 45,000 BRIGHTPOINT CAP 067 BIG SS 7,500 IMPALA ASSET MMT 012 BLL S 50,000 RIDGECRST PARTNERS 035 BONT B 2,500 PZENA INV ADV 044 BP S 11,175 OGORMAN 146 BSC B 100 GALLEON MGMT LP 033 BSX S 50,000 PRIME CAPITAL 048 BSX B 6,000 BUCK CAPITAL MGMT 001 BWS SS 10,000 IMPALA ASSET MMT 012 CAL S 318,700 IMPALA ASSET MMT 012 CENX S 81,000 SAB CAPITAL 034 CFC S 265,000 CAPITAL GROWTH MGMT. 241 CLB B 30,000 IMPALA ASSET MMT 012 CLF S 71,000 PATTEN & PATTEN 067 COP B 200	RIVER RUN MGMT 031 BBI SS 45,000 5.45 BRIGHTPOINT CAP 067 BIG SS 7,500 22.61 IMPALA ASSET MMT 012 BLL S 50,000 43.25 RIDGECRST PARTNERS 035 BONT B 2,500 38.40 PZENA INV ADV 044 BP S 11,175 68.37 OGORMAN 146 BSC B 100 156.11 GALLEON MGMT LP 033 BSX S 50,000 16.35 PRIME CAPITAL 048 BSX B 6,000 16.39 BUCK CAPITAL MGMT 001 BWS SS 10,000 48.99 IMPALA ASSET MMT 012 CAL S 318,700 41.45 IMPALA ASSET MMT 012 CENX S 81,000 43.75 SAB CAPITAL 034 CFC S 265,000 40.63 CAPITAL GROWTH MGMT. 241 CLB B 30,000 90.96 IMPALA ASSET MMT 012 CLF S 71,000 48.19 PATTEN & PATTEN 067 COP B 200 67.99	RIVER RUN MGMT 031 BBI SS 45,000 5.45 n/a BRIGHTPOINT CAP 067 BIG SS 7,500 22.61 16-Nov IMPALA ASSET MMT 012 BLL S 50,000 43.25 n/a RIDGECRST PARTNERS 035 BONT B 2,500 38.40 23-Oct PZENA INV ADV 044 BP S 11,175 68.37 n/a GALLEON MGMT LP 033 BSX BSX B 50,000 16.35 n/a PRIME CAPITAL MGMT 001 BWS SS 10,000 48.99 n/a BUCK CAPITAL MGMT 012 CAL S 318,700 41.45 n/a IMPALA ASSET MMT 012 CENX S 81,000 43.75 n/a SAB CAPITAL 034 CFC S 265,000 40.63 n/a CAPITAL GROWTH MGMT. 241 CLB B 30,000 90.96 7-Aug IMPALA ASSET MMT 012 CLF S 71,000 48.19 n/a PATTEN & PATTEN 067 COP B 200 67.99 n/a	RIVER RUN MGMT 031 BBI SS 45,000 5.45	RIVER RUN MGMT 031 BBI SS 45,000 5.45 n/a n/a 1,800.00 BRIGHTPOINT CAP 067 BIG SS 7,500 22.61 16-Nov 1-Dec 375.00 IMPALA ASSET MMT 012 BLL S 50,000 43.25 n/a n/a 1,500.00 RIDGECRST PARTNERS 035 BONT B 2,500 38.40 23-Oct 1-Dec 125.00 PZENA INV ADV 044 BP S 11,175 68.37 n/a n/a 13-Nov 0.00 GALLEON MGMT LP 033 BSX S 50,000 16.35 n/a 12-Apr 2,500.00 PRIME CAPITAL 048 BSX B 6,000 16.39 n/a 22-Apr 300.00 BUCK CAPITAL MGMT 012 CAL S 318,700 41.45 n/a n/a 9,561.00 IMPALA ASSET MMT 012 CENX S 81,000 49.99 n/a n/a 2,430.00 SAB CAPITAL 034 CFC S 265,000 40.63 n/a n/a 13,250.00 CAPITAL GROWTH MGMT. 241 CLB B 30,000 90.96 7-Aug 22-Nov 1,500.00 IMPALA ASSET MMT 012 CLF S 71,000 48.19 n/a n/a 13,250.00 CAPITAL GROWTH MGMT. 241 CLB B 30,000 90.96 7-Aug 22-Nov 1,500.00 IMPALA ASSET MMT 012 CLF S 71,000 48.19 n/a n/a 2,130.00 PATTEN & PATTEN 607 COP B 200 67.99 n/a n/a n/a 10.00	RIVER RUN MGMT 031 BBI SS 45,000 5.45 n/a n/a 1,800.00 4.0 BRIGHTFOINT CAP 067 BIG SS 7,500 22.61 16-Nov 1-Dec 375.00 5.0 IMPALA ASSET MMT 012 BLIL S 50,000 43.25 n/a n/a 1,500.00 3.0 RIDGECRST PARTNERS 035 BONT B 2,500 38.40 23-Oct 1-Dec 125.00 5.0 PZENA INV ADV 044 BP S 11,175 68.37 n/a n/a 1447.00 4.0 OGONMAN 146 BSC B 100 156.11 n/a 13-Nov 0.00 0.0 CALLEON MGMT LP 033 BSX S 50,000 16.35 n/a 22-Apr 300.00 5.0 PRIME CAPITAL MGMT 012 BNS SS 10,000 16.39 n/a 22-Apr 300.00 5.0 IMPALA ASSET MMT 012 CAL S 318,700 48.99 n/a n/a 400.00 4.0 IMPALA ASSET MMT 012 CENX S 81,000 43.75 n/a n/a 2,430.00 3.0 CAPITAL GROWTH MGMT. 241 CLB B 30,000 90.96 7-Aug 22-Nov 1,500.00 5.0 IMPALA ASSET MMT 012 CLF S 71,000 48.19 n/a n/a 2,430.00 5.0 CAPITAL GROWTH MGMT. 241 CLB B 30,000 90.96 7-Aug 22-Nov 1,500.00 5.0 IMPALA ASSET MMT 012 CLF S 71,000 48.19 n/a n/a 2,430.00 3.0 PATTEN & PATTEN 6 PATTEN 067 COP B 200 67.99 n/a n/a n/a 1.000 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. (Shr.	
INTEGRITY CAPITAL MGMT	039	CRL	S	10,000	43.01	n/a	n/a	400.00	4.0	
MORGAN LEWIS/MLH	046	CTX	В	5,000	56.91	n/a	n/a	250.00	5.0	
OGORMAN	146	СҮН	S	100	35.89	26-0ct	1-Dec	0.00	0.0	
HIGHBRIDGE CAPITAL	038	CZN	В	10,500	14.23	n/a	n/a	525.00	5.0	
PZENA INV ADV	044	С	S	38 , 575	50.32	n/a	13-Nov	1,543.00	4.0	
PATTEN & PATTEN	067	DG	S	2,200	15.74	21-Aug	1-Dec	110.00	5.0	
MOORE CAPITAL	036	DOW	S	47,300	39.97	n/a	26-0ct	1,892.00	4.0	
MERRILL ASSET	032	DRC	S	23,700	24.25	n/a	n/a	1,185.00	5.0	
HIGHFIELDS CAP MGMT	039	DTV	S	380,000	23.09	n/a	28-Nov	11,400.00	3.0	
PATTEN & PATTEN	067	D	S	50	81.09	n/a	n/a	2.50	5.0	
MKT MAKER	099	ENDP	s	88	27.24	18-0ct	4-Dec	0.00	0.0	
SANDELL ADV	040	EQT	В	100,000	43.80	n/a	n/a	4,000.00	4.0	
MAGNETAR FINANCIAL	247	EVC	S	26,000	7.60	n/a	n/a	1,040.00	4.0	
PATTEN & PATTEN	067	EWJ	В	4,100	13.99	n/a	n/a	205.00	5.0	
BALYASNY ASSET MGMT	044	FD	S	15,000	41.17	9-Nov	5-Dec	750.00	5.0	

Account	RR #	Symbol	в/s	3	Shares	Price	MRI	Research	Comm.	¢/Shr.	
BRANDWINE	028	FD	В		23,300	41.32	9-Nov	5-Dec	1,165.00	5.0	
HIGHBRIDGE CAPITAL	038	FWLT	В		25,000	55.48	n/a	n/a	1,250.00	5.0	
MAGNETAR FINANCIAL	247	F		SS	200,000	7.61	n/a	n/a	6,000.00	3.0	
PATTEN & PATTEN	067	GE		S	500	35.15	n/a	n/a	25.00	5.0	
IMPALA ASSET MMT	012	GLW	В		79,400	21.00	n/a	25-Oct	2,382.00	3.0	
IMPALA ASSET MMT	012	GMT		S	59,000	46.02	n/a	n/a	1,770.00	3.0	
FRIESS MGMT	042	GRP	В		97 , 800	44.43	n/a	n/a	4,401.00	4.5	
FORD FDN.	032	GS		S	20,000	199.10	9-Nov	13-Nov	1,000.00	5.0	
IMPALA ASSET MMT	012	GWW		S	33,300	72.09	16-Nov	16-Nov	999.00	3.0	
NCM CAPITAL MGMT	035	HEW	В		48,225	25.05	n/a	n/a	2,411.25	5.0	
PRIME CAPITAL	048	HPQ		S	2,500	39.96	n/a	n/a	125.00	5.0	
PATTEN & PATTEN	067	HST		S	850	25.10	n/a	n/a	42.50	5.0	
PRIME CAPITAL	048	INTC	В		3,600	21.14	n/a	n/a	180.00	5.0	
RIVER RUN MGMT	031	ITCD	В		2,400	2.48	n/a	n/a	72.00	3.0	
IMPALA ASSET MMT	012	JBHT	В		39,300	21.33	n/a	n/a	1,179.00	3.0	
IMPALA ASSET MMT	012	JBHT		S	40,700	21.25	n/a	n/a	1,221.00	3.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	:/Shr.
PRIME CAPITAL	048	JBLU	В	800	13.61	n/a	n/a	40.00	5.0
SAILFISH	037	JNS	SS	15,000	20.65	1-Dec	1-Dec	600.00	4.0
MAGNETAR FINANCIAL	247	KKD	S	20,000	9.67	n/a	n/a	800.00	4.0
IMPALA ASSET MMT	012	KMX	В	47,300	48.14	n/a	10-Jan	1,419.00	3.0
BUCK CAPITAL MGMT	001	KSS	s	20,000	71.09	10-Nov	1-Dec	800.00	4.0
COMMERCE BANK	046	KSS	В	7,400	71.55	10-Nov	1-Dec	444.00	6.0
JEFFRIES MIKE	067	KSS	S	40,000	70.62	10-Nov	1-Dec	2,000.00	5.0
MAZAMA CAPITAL MGMT.	035	LAZ	S	20,975	48.17	n/a	n/a	839.00	4.0
BRANDWINE	028	LIZ	В	13,600	43.44	n/a	27-Oct	680.00	5.0
PRIME CAPITAL	048	LLY	В	13,000	54.65	n/a	n/a	650.00	5.0
MFP INVESTORS	032	LMS	В	75 , 000	24.79	n/a	n/a	3,750.00	5.0
PRIME CAPITAL	048	LUV	В	1,000	15.62	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	MDT	S	600	52.98	n/a	22-Apr	30.00	5.0
PRIME CAPITAL	048	MDT	В	2,000	52.99	n/a	22-Apr	100.00	5.0
HIGHLINE ADV	044	MDY	В	67,100	149.81	n/a	n/a	3,355.00	5.0
UBS OCONNOR	031	MEL	S	50,000	42.97	5-Dec	5-Dec	2,500.00	5.0
PRIME CAPITAL	048	MON	S	5,002	48.51	n/a	11-0ct	250.10	5.0

Ac	count	RR #	Symbol	в/:	s	Shares	Price	MRI	Research	Comm.	Shr.
РА	TTEN & PATTEN	067	NEM	В		1,800	46.93	n/a	n/a	90.00	5.0
мк	T MAKER	099	NILE		s	500	35.09	n/a	n/a	0.00	0.0
PA	TTEN & PATTEN	067	NOK		S	1,100	20.25	n/a	n/a	55.00	5.0
IM	IPALA ASSET MMT	012	NOV	В		70,000	67.25	n/a	n/a	2,100.00	3.0
MS	PRINCIPAL STRATEGIES	040	NUE		SS	37,800	64.06	n/a	n/a	1,890.00	5.0
PA	ATTEN & PATTEN	067	NVS	В		400	57.91	n/a	n/a	20.00	5.0
FR	RIESS MGMT	042	ORCL	В		464,300	18.86	n/a	n/a	20,893.50	4.5
IM	IPALA ASSET MMT	012	OXY		S	50,000	50.27	n/a	n/a	1,500.00	3.0
IM	IPALA ASSET MMT	012	PCAR	В		155,000	67.71	n/a	n/a	4,650.00	3.0
PA	TTEN & PATTEN	067	PCL		S	600	37.17	24-Oct	24-Oct	30.00	5.0
SA	ILFISH	037	PDCO		SS	15,000	37.81	n/a	n/a	600.00	4.0
МО	ORGAN LEWIS/MLH	046	PHM	В		5,000	34.22	n/a	n/a	250.00	5.0
PA	ATTEN & PATTEN	067	РНО	В		1,050	18.56	n/a	n/a	52.50	5.0
TR	RELLUS PARTNERS LP	028	PLCE		SS	30,000	66.44	n/a	30-Nov	1,500.00	5.0
PR	RIME CAPITAL	048	PX	В		700	62.49	n/a	25-Oct	35.00	5.0

Account	RR #	Symbol	B/	s	Shares	Price	MRI	Research	Comm.	\$/Shr.
HIGHBRIDGE CAPITAL	038	Q	В		21,000	7.78	n/a	n/a	1,050.00	5.0
BUCK CAPITAL MGMT	001	RL		SS	15,000	80.20	9-Nov	9-Nov	600.00	4.0
STADIA CAPITAL	035	RL		S	49,000	80.76	9-Nov	9-Nov	1,960.00	4.0
IMPALA ASSET MMT	012	ROK	В		255 , 000	62.18	n/a	n/a	7,650.00	3.0
MORGAN LEWIS/MLH	046	SHLD	В		20,000	173.98	n/a	n/a	1,000.00	5.0
BRIGHTPOINT CAP	067	SHW		SS	3 , 500	62.48	n/a	19-Oct	175.00	5.0
PATTEN & PATTEN	067	SLB	В		50	67.62	n/a	n/a	2.50	5.0
PRIME CAPITAL	048	SLB	В		2,000	67.50	n/a	n/a	100.00	5.0
AMBER CAPITAL	046	SMF	В		14,600	19.00	n/a	n/a	584.00	4.0
MAGUIRE	039	SPC	В		800	9.25	n/a	15-Nov	0.00	0.0
IMPALA ASSET MMT	012	SPWR	В		154,989	37.99	n/a	n/a	4,649.67	3.0
SANDELL ADV	040	SRE		SS	25,000	55.65	n/a	n/a	1,250.00	5.0
SPEARS GRISANTI & BROWN	048	SSCC	В		18,000	11.35	26-0ct	27-Oct	900.00	5.0
PRIME CAPITAL	048	SYMC	В		500	20.48	n/a	3-Apr	25.00	5.0
PRIME CAPITAL	048	S	В		4,200	19.46	n/a	n/a	210.00	5.0
BRANDWINE	028	TGT	В		13,100	58.28	n/a	1-Dec	655.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
IRONBOUND CAPITAL	012	TIN	В	80,000	40.70	n/a	27-Oct	4,000.00	5.0
RAMIUS CAP	040	TIN	В	40,000	41.33	n/a	27-Oct	2,000.00	5.0
MERRILL ASSET	032	TXT	В	122,979	98.18	n/a	n/a	6,148.95	5.0
PATTEN & PATTEN	067	T	S	200	34.50	21-Sep	1-Dec	10.00	5.0
TILLDALE MGMT.	048	Т	S	10,000	34.58	21-Sep	1-Dec	500.00	5.0
MORGAN LEWIS/MLH	046	UARM	SS	5,000	48.97	n/a	n/a	250.00	5.0
IMPALA ASSET MMT	012	UAUA	В	47,637	41.90	n/a	n/a	1,429.11	3.0
PATTEN & PATTEN	067	UNM	S	50	20.45	n/a	n/a	2.50	5.0
COMMERCE BANK	046	UTX	В	13,200	64.91	n/a	n/a	792.00	6.0
TILLDALE MGMT.	048	VZ	В	10,000	34.51	20-Nov	1-Dec	500.00	5.0
SANDLER O'NEILL ASSET	031	WDR	S	20,000	25.96	2-Nov	28-Nov	1,000.00	5.0
PATTEN & PATTEN	067	WFR	В	500	41.69	n/a	n/a	25.00	5.0
HIGHBRIDGE CAPITAL	038	WIN	В	6,000	13.89	n/a	n/a	300.00	5.0
o Ted Wheeler		WLV	S	75	82.50	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	WWY	S	75	52.87	n/a	n/a	3.75	5.0
PATTEN & PATTEN	067	XBI	В	525	50.98	n/a	n/a	26.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
TRIBECA	038	YUM	SS	25,000	63.03	n/a	12-Oct	1,000.00 4.0
TOTAL (Trade Date):							2	02,534.47

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO, CRT	11/30	MKT MAKER (MKT MAKER)	099	AMRN	S	76	2.40	n/a	n/a	0.00	0.0
AO, CRT	12/04	MKT MAKER (MKT MAKER)	099	BONT	В	50	38.54	23-Oct	1-Dec	0.00	0.0
AO, CRT	12/04	MKT MAKER (MKT MAKER)	099	CHIC	В	300	31.45	n/a	n/a	0.00	0.0
AO,	12/04	SAC TRADING HOWARD (SACHGS)	038	CHIC	S	32,500	31.40	n/a	n/a	1625.00	5.0
AO,	12/04	JP MORGAN VENTURES (JPMVGS)	046	CLE	В	14,900	33.32	3-Nov	1-Dec	745.00	5.0
AO,CXL	12/04	DAVIDSON KEMPNER ADVISOR (DAVIBEAR)	217	CVTX	SS	63,000	12.98	n/a	n/a	3150.00	5.0
AO,	12/04	DAVIDSON KEMPNER ADVISOR (DAVIGS)	217	CVTX	SS	63,000	12.98	n/a	n/a	3150.00	5.0
AO,	12/04	IMPALA ASSET MMT (IMPAGOLDMA)	012	EAGL	В	58,497	31.74	n/a	n/a	1754.91	3.0
AO,	12/04	PATTEN & PATTEN (PATTSCHWAB)	067	EWJ	В	700	14.01	n/a	n/a	35.00	5.0
AO,CXL	12/01	SAILFISH (SAILG2)	037	FD	В	25,000	41.00	9-Nov	5-Dec	1250.00	5.0
AO,	12/01	SAILFISH (SAILG2)	037	FD	В	25,000	41.00	9-Nov	5-Dec	1000.00	4.0
AO,CXL	12/04	IMPALA ASSET MMT (IMPAGOLDMA)	012	GMT	S	40,600	49.79	n/a	n/a	1218.00	3.0
AO,	12/04	IMPALA ASSET MMT (IMPAGOLDMA)	012	GMT	S	40,600	45.79	n/a	n/a	1218.00	3.0
AO,CXL	12/04	IMPALA ASSET MMT (IMPAGOLDMA)	012	GS	SS	50,000	79.82	9-Nov	13-Nov	1500.00	3.0
AO,	11/21	OTC ERROR (OTC ERROR)	099	ITCD	S	5,000	2.35	n/a	n/a	0.00	0.0
AO,	11/30	ANTEUS ASSOC.BAEL (ANTAFRBNTR)	065	KO	S	25	46.45	n/a	n/a	1.25	5.0
AO,	11/30	ANTEUS ASSOC.BAEL (ANTASARBTR)	065	KO	S	25	46.45	n/a	n/a	1.25	5.0
AO,	11/30	ANTEUS ASSOC.BAEL (ANTAJBEITR)	065	KO	S	25	46.45	n/a	n/a	1.25	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	11/30	ANTEUS ASSOC.BAEL (ANTAFWBETR)	065	KO	S	25	46.45	n/a	n/a	1.25	5.0
AO,CXL	12/04	BELAY CAPITAL (BELABANC O)	039	KSS	В	9,800	70.67	10-Nov	1-Dec	490.00	5.0
10,	12/04	BELAY CAPITAL (BELABANC O)	039	KSS	В	9,800	70.67	10-Nov	1-Dec	392.00	4.0
AO, CXL	12/01	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ОХМ	SS	30,000	46.68	n/a	n/a	1200.00	4.0
AO,CXL	12/04	HIGHBRIDGE CAPITAL (HIGBNEW)	038	Q	В	60,000	7.81	n/a	n/a	3000.00	5.0
١٥,	12/04	HIGHBRIDGE CAPITAL (HIGBNEW)	038	Q	В	60,000	7.81	n/a	n/a	1800.00	3.0
AO,CXL	12/04	AMBER CAPITAL (AMBRGS)	046	SMF	В	29,700	18.69	n/a	n/a	1188.00	4.0
٥,	12/04	AMBER CAPITAL (AMBRLEH)	046	SMF	В	29,700	18.69	n/a	n/a	1188.00	4.0
١٥,	12/04	IMPALA ASSET MMT (IMPAGOLDMA)	012	SU	SS	50,000	79.82	n/a	n/a	1500.00	3.0
٥,	12/04	FRIESS MGMT (FRISRJIM)	042	TJX	S	100	27.72	6-0ct	1-Dec	4.50	4.5
O,CXL	12/04	FRIESS MGMT (FRISIHP)	042	TJX	S	100	27.72	6-0ct	1-Dec	4.50	4.5

TOTAL (RUN DATE) / NFS:	203,951.38
TOTAL (AO, CXL, CRT):	1,416.91
TOTAL (Trade Date):	202,534.47

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