



## Daily Compliance Activity Report

Trade Date: 09/16/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	865	139.82	n/a	n/a	17.30	2.0
TRUST CO/COWEN/CALF.	040	ABH	B	56,530	5.14	n/a	11-Sep	2,261.20	4.0
BECK MACK & OLIVER LLC	045	ABT	S	1,500	59.23	n/a	22-Apr	75.00	5.0
PIONEER OAKRIDGE	031	ABT	S	2,330	59.37	n/a	22-Apr	46.60	2.0
PIONEER OAKRIDGE	031	ACV	B	1,000	27.74	n/a	n/a	20.00	2.0
PIONEER OAKRIDGE	031	ADBE	S	2,860	38.20	n/a	n/a	57.20	2.0
COUGAR TRADING	044	AEO	S	10,000	16.35	n/a	5-Sep	500.00	5.0
GRISANTI BROWN & PARTNER	048	AEO	S	25,700	16.01	n/a	5-Sep	1,285.00	5.0
PIONEER OAKRIDGE	031	AFL	S	2,475	56.90	n/a	n/a	49.50	2.0
PIONEER OAKRIDGE	031	AGN	S	1,710	58.28	n/a	16-Sep	34.20	2.0
<b>KAICHER</b>	<b>064</b>	<b>AIG</b>	<b>B</b>	<b>2,000</b>	<b>3.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	AIR	B	5,000	15.34	n/a	n/a	100.00	2.0
TRUSTCO/SUNTRUST	040	ALV	B	13,800	35.54	23-Jul	30-Jul	441.60	3.2
COLUMBUS CIRCLE	036	AMGN	B	130,000	64.99	n/a	26-Jan	4,719.78	3.0
<b>ZOLIDIS</b>	<b>011</b>	<b>AMZN</b>	<b>C</b>	<b>200</b>	<b>78.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	ANF	S	5,000	48.79	7-Aug	5-Sep	250.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>ANN</b>	<b>C</b>	<b>5,000</b>	<b>23.85</b>	<b>n/a</b>	<b>22-Aug</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	ARO	B	25,000	35.37	28-Apr	5-Sep	1,250.00	5.0
REICH AND TANG	067	ASH	B	119,800	32.82	14-Jul	16-Sep	5,990.00	5.0
MTB INV ADV	034	ATVI	S	16,150	16.23	n/a	n/a	807.50	5.0
GRUBER MACBAINE	033	BAC	B	15,000	27.88	n/a	16-Sep	600.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BBY</b>	<b>B</b>	<b>50,000</b>	<b>40.38</b>	<b>n/a</b>	<b>27-Jul</b>	<b>2,000.00</b>	<b>4.0</b>
PIONEER OAKRIDGE	031	BBY	S	2,060	41.86	n/a	27-Jul	41.20	2.0
PHILADELPHIA FINANCIAL	033	BEN	S	9,412	89.95	10-Sep	15-Sep	376.48	4.0
GRUBER MACBAINE	033	BJ	SS	20,000	40.27	n/a	27-Jul	800.00	4.0
SIGMA CAPITAL ASSOCIATES	237	BKE	SS	15,000	57.78	n/a	n/a	750.00	5.0
PIONEER OAKRIDGE	031	BLUD	B	1,000	31.85	n/a	n/a	20.00	2.0
CUMBERLAND	038	BNI	SS	20,000	97.28	n/a	n/a	800.00	4.0
BECK MACK & OLIVER LLC	045	BRKB	S	404,089.80		n/a	n/a	2.00	5.0
PIONEER OAKRIDGE	031	BUCY	B	3,000	44.58	5-Sep	5-Sep	60.00	2.0
<b>OGORMAN</b>	<b>046</b>	<b>CAT</b>	<b>C</b>	<b>300</b>	<b>63.98</b>	<b>n/a</b>	<b>18-Aug</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	CEDC	B	1,500	48.43	n/a	n/a	30.00	2.0
PIONEER OAKRIDGE	031	CELG	S	1,630	69.71	n/a	n/a	32.60	2.0
PIONEER OAKRIDGE	031	CHD	B	4,000	62.95	4-Sep	11-Sep	80.00	2.0
MS PRINCIPAL STRATEGIES	041	CLMS	B	24,326	16.59	13-Aug	15-Sep	1,216.30	5.0
<b>BUCK</b>	<b>015</b>	<b>CMA</b>	<b>SS</b>	<b>3,500</b>	<b>31.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	CME	S	115	335.09	n/a	15-Sep	2.30	2.0
TRUST CO/COWEN/CALF.	040	COV	S	91,900	56.07	n/a	n/a	4,595.00	5.0
AMBER CAPITAL	046	CPF	B	62,100	14.57	n/a	n/a	2,484.00	4.0
<b>LUCHANSKY1</b>	<b>036</b>	<b>CPN</b>	<b>S</b>	<b>1,000</b>	<b>13.57</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	CSCO	S	6,820	22.49	n/a	22-Mar	136.40	2.0
ENTRUST CAPITAL	040	DE	S	84,100	59.57	14-Aug	14-Aug	4,205.00	5.0
PIONEER OAKRIDGE	031	DHR	S	1,570	76.07	n/a	n/a	31.40	2.0
<b>MCCARTAN</b>	<b>028</b>	<b>DHR</b>	<b>C</b>	<b>100</b>	<b>76.62</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	DNA	S	1,285	93.32	n/a	n/a	25.70	2.0
<b>OGORMAN</b>	<b>046</b>	<b>DXD</b>	<b>S</b>	<b>300</b>	<b>66.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SOLARIS INV MGMT	029	EBAY	S	30,000	22.53	n/a	n/a	1,400.00	4.6

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	ECL	S	2,115	48.10	3-Jul	15-Sep	42.30	2.0
<b>NORMCHRIS</b>	<b>N09</b>	<b>EFT</b>	<b>B</b>	<b>9</b>	<b>12.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>N STRATTON</b>	<b>014</b>	<b>FBN</b>	<b>SS</b>	<b>125</b>	<b>11.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BECK MACK & OLIVER LLC	045	FDX	S	1,000	90.20	n/a	n/a	50.00	5.0
<b>Õ Alice Longley</b>		<b>GCTAF</b>	<b>S</b>	<b>300</b>	<b>37.5000</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>S</b>	<b>35,000</b>	<b>40.92</b>	<b>n/a</b>	<b>n/a</b>	<b>1,400.00</b>	<b>4.0</b>
AVESTA CAP	229	GE	B	50,000	25.24	n/a	n/a	2,500.00	5.0
SOUTH POINT CAP	067	GE	B	100,000	25.20	n/a	n/a	5,000.00	5.0
PIONEER OAKRIDGE	031	GILD	S	2,155	49.47	n/a	n/a	43.10	2.0
COUGAR TRADING	044	GIL	S	10,000	24.33	8-Sep	8-Sep	500.00	5.0
J L F ASSET MGMT	039	GIS	B	55,400	68.59	n/a	n/a	2,216.00	4.0
MAIRS AND POWER INV	030	GLW	B	20,000	14.87	n/a	15-Sep	1,000.00	5.0
PIONEER OAKRIDGE	031	GLW	S	4,225	15.14	n/a	15-Sep	84.50	2.0
PIONEER OAKRIDGE	031	GOOG	S	340	441.06	n/a	n/a	6.80	2.0
COUGAR TRADING	044	GPS	S	15,000	19.53	n/a	5-Sep	750.00	5.0
GRUBER MACBAINE	033	GS	B	4,500	128.89	15-Sep	15-Sep	180.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	GYMB	S	21,300	38.98	11-Jul	5-Sep	1,065.00	5.0
PIONEER OAKRIDGE	031	HAE	B	3,000	64.35	n/a	n/a	60.00	2.0
LITESPEED	028	HCBK	B	185,000	19.65	n/a	n/a	9,250.00	5.0
BECK MACK & OLIVER LLC	045	HCC	S	4,000	26.71	n/a	n/a	200.00	5.0
<b>N STRATTON</b>	<b>014</b>	<b>HEMGF</b>	<b>B</b>	<b>400</b>	<b>2.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	HK	B	2,000	21.90	n/a	n/a	40.00	2.0
PIONEER OAKRIDGE	031	HK	S	1,980	21.90	n/a	n/a	39.60	2.0
PIONEER OAKRIDGE	031	HOLX	S	3,225	19.47	n/a	n/a	64.50	2.0
PIONEER OAKRIDGE	031	HPQ	S	2,525	48.62	n/a	n/a	50.50	2.0
PIONEER OAKRIDGE	031	HSIC	S	1,885	56.85	n/a	n/a	37.70	2.0
BENCHMARK	028	HTGC	S	5,000	9.57	n/a	n/a	250.00	5.0
PIONEER OAKRIDGE	031	ICE	S	760	72.79	n/a	n/a	15.20	2.0
PIONEER OAKRIDGE	031	IDXX	B	1,000	56.84	n/a	22-Apr	20.00	2.0
PIONEER OAKRIDGE	031	INTC	S	5,135	19.46	n/a	n/a	102.70	2.0
PIONEER OAKRIDGE	031	IRM	S	2,130	25.27	n/a	n/a	42.60	2.0
WHITE PINE CAPITAL	030	ITW	B	14,125	46.97	12-Aug	12-Aug	706.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	IVZ	S	4,730	24.07	4-Aug	15-Sep	94.60	2.0
SCUDDER HEDGE	034	IVZ	S	5,000	23.32	4-Aug	15-Sep	250.00	5.0
COUGAR TRADING	044	JCG	B	10,000	28.95	n/a	27-Aug	500.00	5.0
COUGAR TRADING	044	JCG	S	15,000	28.15	n/a	27-Aug	750.00	5.0
PILOT ADV	038	JCG	B	20,000	29.63	n/a	27-Aug	800.00	4.0
PIONEER OAKRIDGE	031	JCI	S	3,030	31.50	3-Sep	3-Sep	60.60	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>SS</b>	<b>10,000</b>	<b>19.19</b>	<b>n/a</b>	<b>30-Jul</b>	<b>400.00</b>	<b>4.0</b>
THIRD AVE MGMT	030	JOE	S	55,000	38.11	n/a	n/a	2,200.00	4.0
GRUBER MACBAINE	033	JPM	B	4,000	38.38	15-Sep	15-Sep	160.00	4.0
THE BOSTON COMPANY	401	KCP	C	3,000	16.67	n/a	28-Sep	120.00	4.0
COUGAR TRADING	044	KSS	B	15,000	50.65	n/a	5-Sep	750.00	5.0
COUGAR TRADING	044	KSS	SS	15,000	49.67	n/a	5-Sep	750.00	5.0
<b>N STRATTON</b>	<b>014</b>	<b>LEH</b>	<b>S</b>	<b>150</b>	<b>0.21</b>	<b>11-Sep</b>	<b>15-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>LEH</b>	<b>S</b>	<b>3,000</b>	<b>0.24</b>	<b>11-Sep</b>	<b>15-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LIZ</b>	<b>B</b>	<b>100,000</b>	<b>17.59</b>	<b>n/a</b>	<b>28-Aug</b>	<b>4,000.00</b>	<b>4.0</b>
PIONEER OAKRIDGE	031	LKQX	B	5,000	17.77	n/a	n/a	100.00	2.0
COUGAR TRADING	044	LTD	S	25,000	19.65	19-Aug	5-Sep	1,250.00	5.0
BECK MACK & OLIVER LLC	045	LUK	S	2,700	39.24	n/a	n/a	135.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	MCRS	B	10,000	28.11	n/a	n/a	200.00	2.0
NATIONAL BK OF CAN	031	MER	SS	23,000	21.78	24-Jun	16-Sep	920.00	4.0
ROTHSCHILD ASSET	040	MET	S	40,400	52.50	n/a	n/a	1,818.00	4.5
PIONEER OAKRIDGE	031	MIDD	B	5,000	58.59	11-Aug	11-Aug	100.00	2.0
<b>LUCHANSKY1</b>	<b>036</b>	<b>MIR</b>	<b>S</b>	<b>1,000</b>	<b>24.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
JP MORGAN VENTURES	046	MNT	S	51,000	23.40	n/a	n/a	2,550.00	5.0
PIONEER OAKRIDGE	031	MOGA	B	2,000	45.92	n/a	n/a	40.00	2.0
BECK MACK & OLIVER LLC	045	MOLXA	S	1,000	21.94	n/a	n/a	50.00	5.0
PIONEER OAKRIDGE	031	MON	S	460	110.80	n/a	16-Sep	9.20	2.0
PZENA INV ADV	044	MOT	B	105,000	7.42	n/a	n/a	3,675.03	3.5
PIONEER OAKRIDGE	031	MSFT	S	4,355	26.04	n/a	3-Apr	87.10	2.0
GRUBER MACBAINE	033	MS	B	8,000	26.49	15-Sep	15-Sep	320.00	4.0
NATIONAL BK OF CAN	031	MS	B	18,500	28.53	15-Sep	15-Sep	740.00	4.0
<b>BUCK</b>	<b>015</b>	<b>MS</b>	<b>C</b>	<b>1,500</b>	<b>26.60</b>	<b>15-Sep</b>	<b>15-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>EMP ERROR</b>	<b>099</b>	<b>MS</b>	<b>S</b>	<b>3,000</b>	<b>29.39</b>	<b>15-Sep</b>	<b>15-Sep</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	MWIV	B	1,500	39.75	n/a	n/a	30.00	2.0
<b>ZOLIDIS</b>	<b>011</b>	<b>MWO</b>	<b>B</b>	<b>1,000</b>	<b>9.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	MWO	B	1,000	8.94	n/a	n/a	0.00	0.0
OGORMAN	046	MWO	B	2,000	9.25	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	S	25,000	19.65	12-Aug	29-Aug	1,000.00	4.0
COUGAR TRADING	044	M	SS	15,000	19.92	12-Aug	29-Aug	750.00	5.0
THIRD AVE MGMT	030	NAL	S	140,000	14.78	n/a	n/a	5,600.00	4.0
WHEELER	008	NLCIE	B	200	0.05	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	NTRS	B	70,000	80.17	3-Sep	15-Sep	3,500.00	5.0
PIONEER OAKRIDGE	031	NWSA	S	5,525	13.23	n/a	n/a	110.50	2.0
PIONEER OAKRIDGE	031	ORB	B	8,500	24.99	n/a	n/a	170.00	2.0
PIONEER OAKRIDGE	031	PCP	S	790	98.69	n/a	n/a	15.80	2.0
PIONEER OAKRIDGE	031	PEP	S	1,965	72.60	n/a	n/a	39.30	2.0
COUGAR TRADING	044	PFCB	B	3,000	24.52	n/a	6-Aug	150.00	5.0
PIONEER OAKRIDGE	031	PG	S	2,335	72.10	18-Aug	11-Sep	46.70	2.0
GALLEON MGMT LP	033	PLCE	SS	10,000	37.28	21-Aug	5-Sep	500.00	5.0
MTB INV ADV	034	PLCE	S	12,250	36.72	21-Aug	5-Sep	612.50	5.0
BUCK CAPITAL MGMT	001	PSS	B	100,000	17.14	n/a	n/a	4,000.00	4.0
COUGAR TRADING	044	PSUN	S	30,000	6.33	n/a	5-Sep	1,200.00	4.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PENN CAPITAL MGMT	243	PVH	S	28,365	40.90	5-May	28-Aug	1,134.60	4.0
PIONEER OAKRIDGE	031	PWR	B	1,000	28.23	n/a	n/a	20.00	2.0
PIONEER OAKRIDGE	031	QCOM	S	3,920	47.75	n/a	n/a	78.40	2.0
PIONEER OAKRIDGE	031	RATE	B	1,000	36.17	n/a	n/a	20.00	2.0
PIONEER OAKRIDGE	031	REXX	B	2,000	15.02	n/a	n/a	40.00	2.0
NEUBERGER BERMAN	036	RGAA	B	115,850	48.54	n/a	n/a	5,213.25	4.5
PIONEER OAKRIDGE	031	RIG	S	850	116.67	n/a	n/a	17.00	2.0
COUGAR TRADING	044	RL	B	15,000	71.10	n/a	28-Aug	750.00	5.0
MERRILL ASSET	032	RNR	S	90,900	52.75	n/a	n/a	4,211.00	4.6
BECK MACK & OLIVER LLC	045	ROP	S	1,000	57.12	n/a	n/a	50.00	5.0
BULL PATH CAPITAL	044	ROST	SS	55,500	38.46	n/a	n/a	2,775.00	5.0
PIONEER OAKRIDGE	031	RTN	S	2,280	58.32	n/a	n/a	45.60	2.0
PIONEER OAKRIDGE	031	SAP	S	1,965	55.93	n/a	n/a	39.30	2.0
PIONEER OAKRIDGE	031	SCHW	S	5,055	24.20	n/a	n/a	101.10	2.0
<b>ZOLIDIS</b>	<b>011</b>	<b>SDS</b>	<b>S</b>	<b>100</b>	<b>75.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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<b>BUCK</b>	<b>015</b>	<b>SDS</b>	<b>B</b>	<b>500</b>	<b>76.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	SF	B	4,000	42.51	n/a	n/a	80.00	2.0
<b>ZOLIDIS</b>	<b>011</b>	<b>SHOO</b>	<b>SS</b>	<b>500</b>	<b>27.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>120,000</b>	<b>17.47</b>	<b>n/a</b>	<b>13-Mar</b>	<b>4,800.00</b>	<b>4.0</b>
PIONEER OAKRIDGE	031	SLB	S	1,715	83.24	n/a	n/a	34.30	2.0
PIONEER OAKRIDGE	031	SLH	B	2,000	29.09	n/a	n/a	40.00	2.0
STRAUSS ASSET MGMT	040	SNEN	B	2,500	5.68	n/a	n/a	100.00	4.0
PIONEER OAKRIDGE	031	SPLS	S	4,995	24.69	n/a	27-Jul	99.90	2.0
COUGAR TRADING	044	SSO	B	10,000	53.87	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	SWN	S	1,915	29.76	n/a	3-Sep	38.30	2.0
PIONEER OAKRIDGE	031	SWSI	B	12,500	25.74	n/a	n/a	250.00	2.0
PIONEER OAKRIDGE	031	SYK	S	1,690	62.68	n/a	n/a	33.80	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SYX</b>	<b>B</b>	<b>20,000</b>	<b>34.18</b>	<b>n/a</b>	<b>24-Apr</b>	<b>800.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TGT</b>	<b>B</b>	<b>10,000</b>	<b>58.03</b>	<b>n/a</b>	<b>5-Sep</b>	<b>400.00</b>	<b>4.0</b>
MERRILL LYNCH STRATEGICI	034	TGT	SS	10,000	56.48	n/a	5-Sep	500.00	5.0
PIONEER OAKRIDGE	031	TGT	S	1,985	57.34	n/a	5-Sep	39.70	2.0
THIRD POINT MGMT	044	TGT	S	100,000	58.15	n/a	5-Sep	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	TIF	B	5,000	39.02	n/a	28-Aug	250.00	5.0
COUGAR TRADING	044	TJX	SS	10,000	34.09	11-Aug	5-Sep	500.00	5.0
PIONEER OAKRIDGE	031	TMO	S	2,330	56.95	n/a	n/a	46.60	2.0
COUGAR TRADING	044	TWB	S	30,000	10.08	n/a	20-Aug	1,500.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>TWM</b>	<b>S</b>	<b>400</b>	<b>75.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	TXN	S	3,865	22.26	n/a	n/a	77.30	2.0
<b>LEDDY</b>	<b>035</b>	<b>UQM</b>	<b>S</b>	<b>2,200</b>	<b>1.63</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	URBN	B	15,000	35.89	14-Aug	14-Aug	750.00	5.0
MAGNETAR FINANCIAL	031	UST	B	100,000	67.24	n/a	n/a	5,000.00	5.0
PIONEER OAKRIDGE	031	UTX	S	1,620	63.39	n/a	n/a	32.40	2.0
ROSEDALE CAPITAL	046	UYG	S	10,000	18.32	n/a	n/a	500.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>UYG</b>	<b>B</b>	<b>1,000</b>	<b>17.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>UYG</b>	<b>S</b>	<b>1,000</b>	<b>18.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	V	S	930	67.51	n/a	6-Aug	18.60	2.0
AVESTA CAP	229	WB	B	50,000	11.43	n/a	n/a	2,500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	WB	B	1,169,000	10.74	n/a	n/a	43,837.50	3.8
<b>BUCK</b>	<b>015</b>	<b>WB</b>	<b>SS</b>	<b>3,000</b>	<b>9.27</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	WCN	B	4,000	35.45	n/a	n/a	80.00	2.0
MERRILL ASSET	032	WFC	B	56,700	33.74	n/a	n/a	2,551.50	4.5
NATIONAL BK OF CAN	031	WFC	B	30,000	34.59	n/a	n/a	1,200.00	4.0
NATIONAL BK OF CAN	031	WFC	SS	30,000	34.13	n/a	n/a	1,200.00	4.0
<b>OGORMAN</b>	<b>046</b>	<b>WFC</b>	<b>C</b>	<b>500</b>	<b>34.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>OGORMAN</b>	<b>046</b>	<b>WFSL</b>	<b>C</b>	<b>1,000</b>	<b>18.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	WMS	B	5,500	31.20	n/a	n/a	110.00	2.0
AVESTA CAP	229	WMT	B	50,000	62.61	8-Aug	5-Sep	2,500.00	5.0
TPG-AXON	040	WMT	C	513,000	62.39	8-Aug	5-Sep	25,650.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>10,000</b>	<b>48.96</b>	<b>8-Aug</b>	<b>28-Aug</b>	<b>400.00</b>	<b>4.0</b>
COUGAR TRADING	044	WRC	B	5,000	48.99	8-Aug	28-Aug	250.00	5.0
PIONEER OAKRIDGE	031	WXS	B	3,500	28.91	n/a	n/a	70.00	2.0
BMO NESBITT BURNS	041	WY	B	25,000	55.70	n/a	11-Sep	1,250.00	5.0
SCOPUS FUND	041	WY	B	63,400	55.94	n/a	11-Sep	3,170.00	5.0
SSI INVESTORS	048	WY	B	11,900	56.00	n/a	11-Sep	476.00	4.0
BECK MACK & OLIVER LLC	045	XOM	S	300	72.98	n/a	n/a	15.00	5.0
PIONEER OAKRIDGE	031	XTO	S	3,405	48.10	n/a	n/a	68.10	2.0
<b>TOTAL (Trade Date) :</b>								<b>224,078.59</b>	

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	09/15	ROTHSCHILD ASSET (ROTH500140)	040	ABM	S	10	21.85	n/a	n/a	0.45	4.5
AO,	09/15	ROTHSCHILD ASSET (ROTH500130)	040	ABM	S	150	21.85	n/a	n/a	6.75	4.5
AO,	09/15	ROTHSCHILD ASSET (ROTH500110)	040	ABM	S	140	21.85	n/a	n/a	6.30	4.5
AO,	09/15	ROTHSCHILD ASSET (ROTH500100)	040	ABM	S	60	21.85	n/a	n/a	2.70	4.5
AO,	09/15	ROTHSCHILD ASSET (ROTH344)	040	ABM	S	60	21.85	n/a	n/a	2.70	4.5
AO,	09/15	ROTHSCHILD ASSET (ROTH000331)	040	ABM	S	110	21.85	n/a	n/a	4.95	4.5
AO,	09/15	ROTHSCHILD ASSET (ROTH347)	040	ABM	S	10	21.85	n/a	n/a	0.45	4.5
AO,	09/15	ROTHSCHILD ASSET (ROTH346)	040	ABM	S	40	21.85	n/a	n/a	1.80	4.5
AO,	09/15	ROTHSCHILD ASSET (ROTH309)	040	ABM	S	590	21.85	n/a	n/a	26.55	4.5
AO,	09/15	ROTHSCHILD ASSET (ROTH306)	040	ABM	S	60	21.85	n/a	n/a	2.70	4.5
AO,	09/15	ROTHSCHILD ASSET (ROTH396)	040	ABM	S	900	21.85	n/a	n/a	40.50	4.5
AO,	09/15	ROTHSCHILD ASSET (ROTH304)	040	ABM	S	270	21.85	n/a	n/a	12.15	4.5
CRT	09/16	CUMBERLAND (CUMBMS04)	038	BNI	SS	20,000	97.28	n/a	n/a	800.00	4.0
AO,	09/15	GOLDMAN SACHS ASSET MGMT (GSAM3)	044	C	S	140,000	15.55	15-Sep	15-Sep	2100.00	1.5
AO,	09/15	GOLDMAN SACHS ASSET MGMT (GSAM945)	044	C	S	114,000	15.72	15-Sep	15-Sep	4560.00	4.0
AO,	09/15	GOLDMAN SACHS ASSET MGMT (GSAM945)	044	C	S	265,000	15.55	15-Sep	15-Sep	3975.00	1.5
<b>AO,CXL</b>	<b>09/15</b>	<b>BUCK CAPITAL MGMT (BUCKMSMAIN)</b>	<b>001</b>	<b>IVZ</b>	<b>S</b>	<b>75,000</b>	<b>24.54</b>	<b>4-Aug</b>	<b>15-Sep</b>	<b>3000.00</b>	<b>4.0</b>
<b>AO,CRT</b>	<b>09/15</b>	<b>BUCK CAPITAL MGMT (BUCKMSMAIN)</b>	<b>001</b>	<b>IVZ</b>	<b>S</b>	<b>74,700</b>	<b>24.54</b>	<b>4-Aug</b>	<b>15-Sep</b>	<b>2988.00</b>	<b>4.0</b>
<b>AO,</b>	<b>09/15</b>	<b>BUCK CAPITAL MGMT (BUCKGIL)</b>	<b>001</b>	<b>IVZ</b>	<b>S</b>	<b>300</b>	<b>24.54</b>	<b>4-Aug</b>	<b>15-Sep</b>	<b>12.00</b>	<b>4.0</b>
AO,	09/15	GOLDMAN SACHS ASSET MGMT (GSAM945)	044	MER	S	61,000	18.90	24-Jun	16-Sep	2440.00	4.0
AO,	09/15	MERRILL ASSET (MERRBCS_E)	032	RNR	S	700	52.55	n/a	n/a	31.50	4.5
AO,CXL	09/15	MERRILL ASSET (MERR11)	032	RNR	S	700	52.55	n/a	n/a	31.50	4.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,	09/15	THIRD AVE MGMT (THAMARLING)	030	TLAB	B	1,650	4.41	n/a 22-Mar	66.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>									<b>14,049.00</b>

TOTAL (Trade Date):									224,078.59
TOTAL (AO, CXL, CRT):									14,049.00
<b>TOTAL (RUN DATE) / NFS:</b>									<b>238,127.59</b>

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