



Daily Compliance Activity Report

Trade Date: 12/18/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 2

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	AAPL	S	50	183.74	n/a	n/a	2.50	5.0
PATTEN & PATTEN	067	ACL	B	1,600	144.00	26-Oct	18-Dec	80.00	5.0
HIGHBRIDGE CAPITAL	038	ADP	SS	40,000	44.63	n/a	n/a	2,000.00	5.0
SENTINAL CAPITAL	067	ADTN	S	19,300	22.20	n/a	22-Mar	965.00	5.0
BUCK CAPITAL MGMT	001	ANN	B	50,000	26.74	6-Aug	7-Dec	2,000.00	4.0
WHITE PINE CAPITAL	030	ANN	B	10,000	26.80	6-Aug	7-Dec	500.00	5.0
PATTEN & PATTEN	067	APD	S	250	102.31	n/a	24-Oct	12.50	5.0
SYSTEMATIC FINANCIAL MGT	035	ARO	S	23,400	26.10	29-Nov	7-Dec	877.50	3.8
BAIRD INVESTMENT	031	AVP	B	6,300	39.05	11-Dec	11-Dec	315.00	5.0
PATTEN & PATTEN	067	AVY	B	100	50.01	13-Aug	14-Nov	5.00	5.0
PATTEN & PATTEN	067	AVY	S	400	49.99	13-Aug	14-Nov	20.00	5.0
TROOB CAPITAL	067	BBI	S	90,000	3.39	n/a	n/a	2,700.00	3.0
WHITTIER CAP	048	BBY	S	1,515	51.39	n/a	27-Jul	60.60	4.0
PATTEN & PATTEN	067	BGM	S	534	16.02	n/a	n/a	26.70	5.0
FRIESS MGMT	042	BHE	B	132,600	17.41	n/a	n/a	5,967.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MKT MAKER	099	BONT	B	100	11.00	9-Nov	7-Dec	0.00	0.0
SUTERA	160	BQI	B	2,500	4.12	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	BRL	S	200	52.89	8-Aug	18-Dec	10.00	5.0
PATTEN & PATTEN	067	BTU	S	1,000	58.31	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	CAG	B	600	24.48	n/a	n/a	30.00	5.0
PATTEN & PATTEN	067	CAT	S	300	70.74	n/a	n/a	15.00	5.0
BUCK CAPITAL MGMT	001	CBK	B	30,000	13.92	n/a	7-Dec	1,200.00	4.0
PATTEN & PATTEN	067	CBS	S	1,300	26.04	n/a	n/a	65.00	5.0
MARK ASSETMGMT (SR)	040	CFC	B	50,000	9.26	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	067	CFC	S	400	8.89	n/a	n/a	20.00	5.0
HIGHBRIDGE/MS OLDS	041	CHRW	SS	25,057	51.79	n/a	n/a	877.00	3.5
US BANCORP	030	CMC	S	10,573	30.00	n/a	n/a	528.65	5.0
US BANCORP	030	CNB	S	45,754	13.43	n/a	n/a	2,287.70	5.0
THE BOSTON COMPANY	401	COH	B	36,000	32.06	24-Oct	24-Oct	1,800.00	5.0
HOFFMAN	014	CPNLQ	B	5,000	0.27	n/a	29-Jun	0.00	0.0
FRIESS MGMT	042	CPWR	B	505,800	8.71	n/a	n/a	17,703.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET	032	CRR	B	16,400	37.04	25-Oct	30-Nov	738.00	4.5
PATTEN & PATTEN	067	DD	S	400	42.98	n/a	4-Dec	20.00	5.0
PATTEN & PATTEN	067	DELL	S	3,300	23.75	n/a	n/a	165.00	5.0
FORCE CAPITAL MGMT	030	DISCA	B	10,000	25.78	n/a	n/a	500.00	5.0
HIGHBRIDGE/MS OLDS	041	DIS	SS	50,000	33.14	n/a	n/a	1,750.00	3.5
LEVIN CAPITAL STRATEGIES	012	DKS	C	20,000	29.66	n/a	27-Nov	800.00	4.0
PATTEN & PATTEN	067	DNN	S	2,000	8.14	n/a	n/a	100.00	5.0
MERRILL ASSET	032	DRQ	S	29,700	54.16	n/a	n/a	1,485.00	5.0
PATTEN & PATTEN	067	DUK	B	250	20.38	n/a	n/a	12.50	5.0
LEDDY	035	EFT	S	600	15.82	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	EL	SS	25,000	42.99	25-Oct	17-Dec	1,250.00	5.0
PATTEN & PATTEN	067	EPP	B	2,440	154.35	n/a	n/a	122.00	5.0
PATTEN & PATTEN	067	ERTS	S	1,250	57.50	n/a	n/a	62.50	5.0
PATTEN & PATTEN	067	EWG	S	500	34.65	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	EWI	S	200	21.08	n/a	n/a	10.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	EWJ	S	10,400	13.24	n/a	n/a	520.00	5.0
PATTEN & PATTEN	067	EWZ	B	1,400	76.16	n/a	n/a	70.00	5.0
PATTEN & PATTEN	067	EXH	B	403	75.30	n/a	28-Nov	20.15	5.0
STRATTON	N21	FCX	B	20	96.98	n/a	n/a	0.00	0.0
BARROW HANLEY MEWHINNEY	031	FDO	B	346,300	18.70	7-Dec	7-Dec	13,852.00	4.0
HIGHBRIDGE/MS OLDS	041	FDO	B	50,000	18.37	7-Dec	7-Dec	1,750.00	3.5
LOOMIS SALES/BOSTON	036	FDO	SS	55,000	18.56	7-Dec	7-Dec	2,200.00	4.0
PATTEN & PATTEN	067	FHN	B	500	19.27	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	FHN	S	2,000	19.27	n/a	n/a	100.00	5.0
FRIESS MGMT	042	FMC	B	52,900	53.66	n/a	n/a	2,380.50	4.5
FORCE CAPITAL MGMT	030	GCI	SS	5,000	36.26	n/a	n/a	250.00	5.0
LISTED ERR	099	GCI	B	5,000	36.26	n/a	n/a	0.00	0.0
LISTED ERR	099	GCI	S	5,000	36.26	n/a	n/a	0.00	0.0
HIGHBRIDGE/MS OLDS	041	GD	B	12,500	87.93	n/a	n/a	437.50	3.5
BUCK CAPITAL MGMT	001	GES	B	5,000	40.46	n/a	n/a	200.00	4.0
PATTEN & PATTEN	067	GE	S	3,100	36.27	n/a	n/a	155.00	5.0
BUCK CAPITAL MGMT	001	GIL	B	5,000	40.36	5-Nov	11-Dec	200.00	4.0
MAGNETAR FINANCIAL	247	GMT	B	30,000	37.99	n/a	n/a	600.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GPS	B	10,000	21.50	n/a	7-Dec	400.00	4.0
EGS ASSOCIATES LP	091	GPS	B	5,000	21.39	n/a	7-Dec	300.00	6.0
BUCK	015	GPYMD	B	5	23.40	n/a	n/a	0.00	0.0
BUCK	015	GPYSS	S	5	20.40	n/a	n/a	0.00	0.0
TROOB CAPITAL	067	GT	B	15,000	26.72	n/a	n/a	450.00	3.0
PATTEN & PATTEN	067	HMC	S	150	32.32	n/a	n/a	7.50	5.0
BAIRD INVESTMENT	031	HON	B	2,575	60.63	9-Oct	19-Oct	128.75	5.0
U.S.TRUST COMPANY	012	HRS	B	55,000	61.00	30-Oct	2-Nov	2,200.00	4.0
TRIVIUM CAP MGMT	251	IAR	SS	50,000	17.25	n/a	n/a	2,000.00	4.0
CHART WELL ADV	243	IBKR	B	19,900	29.97	n/a	n/a	895.54	4.5
PATTEN & PATTEN	067	ILF	B	300	238.71	n/a	n/a	15.00	5.0
GEORGE WEISS	034	IP	SS	5,000	32.40	n/a	5-Nov	200.00	4.0
PATTEN & PATTEN	067	ITT	B	3,250	60.40	n/a	13-Nov	162.50	5.0
CAPITAL GROWTH MGMT.	241	ITU	B	100,000	25.35	n/a	n/a	5,000.00	5.0
CRAMER ROSENTHAL/SCOTT	012	IVZ	S	25,600	28.31	21-Nov	10-Dec	1,024.00	4.0
PHILADELPHIA FINANCIAL	033	IVZ	S	10,000	29.11	21-Nov	10-Dec	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAB CAPITAL	034	IWM	B	47,000	74.99	n/a	n/a	2,350.00	5.0
BUCK CAPITAL MGMT	001	JAH	B	20,000	23.81	n/a	n/a	800.00	4.0
LUCHANSKY1	036	JCP	B	100	45.51	15-Nov	7-Dec	0.00	0.0
PATTEN & PATTEN	067	JNJ	S	1,000	67.56	n/a	22-Apr	50.00	5.0
HIGHBRIDGE/MS OLDS	041	JOYG	B	25,000	55.01	n/a	n/a	875.00	3.5
PATTEN & PATTEN	067	JPM	S	750	44.05	19-Oct	13-Dec	37.50	5.0
ENTRUST CAPITAL	040	JTX	SS	90,800	30.26	n/a	n/a	4,540.00	5.0
PATTEN & PATTEN	067	JWN	B	17,900	35.01	20-Nov	7-Dec	895.00	5.0
SYSTEMATIC FINANCIAL MGT	035	KCP	B	25,100	17.21	28-Sep	28-Sep	941.25	3.8
HIGHBRIDGE/MS OLDS	041	KMX	B	50,300	20.90	n/a	10-Jan	1,760.50	3.5
MS PRINCIPAL STRATEGIES	041	KND	SS	15,000	24.05	n/a	n/a	750.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	46.69	9-Nov	7-Dec	250.00	5.0
TRINITY/OFI/BABSON	039	LBY	B	5,400	15.61	n/a	n/a	216.00	4.0
KARSCH CAPITAL	034	LEH	SS	50,000	60.42	n/a	14-Dec	1,500.00	3.0
NATIONAL BK OF CAN	031	LEH	S	20,000	61.03	n/a	14-Dec	800.00	4.0
HARVEST MGMT	039	LIZ	B	23,801	21.40	n/a	31-Oct	1,190.05	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	LRCX	S	350	44.53	n/a	n/a	17.50	5.0
LEHMAN PROPRIETARY TRAD	041	LYO	S	50,000	47.77	n/a	14-May	2,000.00	4.0
HIGHBRIDGE/MS OLDS	041	MAS	SS	50,072	21.93	n/a	n/a	1,752.52	3.5
PATTEN & PATTEN	067	MBI	B	100	27.99	n/a	n/a	5.00	5.0
PATTEN & PATTEN	067	MBI	S	750	27.95	n/a	n/a	37.50	5.0
AMBER CAPITAL	046	MCO	SS	200,000	38.17	n/a	n/a	8,000.00	4.0
HIGHBRIDGE/MS OLDS	041	MDR	B	20,000	55.08	n/a	n/a	700.00	3.5
PATTEN & PATTEN	067	MDT	S	175	49.08	n/a	22-Apr	8.75	5.0
PATTEN & PATTEN	067	MHP	S	1,300	44.76	n/a	n/a	65.00	5.0
CAPITAL GROWTH MGMT.	241	MHS	B	26,600	99.92	n/a	n/a	1,330.00	5.0
PATTEN & PATTEN	067	MOT	S	500	16.17	n/a	n/a	25.00	5.0
TPG-AXON	040	MOT	B	300,000	16.13	n/a	n/a	15,000.00	5.0
PATTEN & PATTEN	067	MS	B	700	48.32	5-Dec	13-Dec	35.00	5.0
U.S.TRUST COMPANY	012	MS	B	110,000	48.61	5-Dec	13-Dec	4,950.00	4.5
COUGAR TRADING	044	M	S	19,900	27.24	9-Nov	7-Dec	995.00	5.0
GALLEON MGMT LP	033	NFX	B	10,000	50.52	n/a	n/a	500.00	5.0
STRAUSS ASSET MGMT	040	NILE	B	10,000	67.12	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CARLYLE BLUE WAVE PR MG	224	NLC	S	30,000	21.82	n/a	n/a	1,500.00	5.0
DISCIPLINED GROWTH INV.	030	NLS	S	44,325	6.01	n/a	n/a	2,216.25	5.0
PATTEN & PATTEN	067	NT	S	400	15.59	n/a	22-Mar	20.00	5.0
PATTEN & PATTEN	067	NVS	S	100	53.92	n/a	n/a	5.00	5.0
HIGHBRIDGE/MS OLDS	041	OII	B	30,900	65.12	n/a	n/a	1,081.50	3.5
ROBX	033	OMPI	S	43,300	17.00	n/a	n/a	1,299.00	3.0
PATTEN & PATTEN	067	OSK	B	1,100	46.05	n/a	n/a	55.00	5.0
PATTEN & PATTEN	067	OSK	S	600	46.04	n/a	n/a	30.00	5.0
PATTEN & PATTEN	067	PBE	S	1,500	18.31	n/a	n/a	75.00	5.0
HIGHBRIDGE CAPITAL	038	PCL	B	5,000	44.36	n/a	23-Oct	250.00	5.0
PATTEN & PATTEN	067	PCX	S	400	36.10	n/a	n/a	20.00	5.0
MAZAMA CAPITAL MGMT.	035	PJC	S	30,700	45.33	n/a	n/a	1,228.00	4.0
PATTEN & PATTEN	067	PRU	S	700	91.81	n/a	n/a	35.00	5.0
SERENGETI MGMT	030	PRU	B	25,000	92.91	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	PTT	S	10,000	11.98	n/a	n/a	400.00	4.0
CENTURION PARTNERS	255	PVH	B	50,000	37.50	5-Dec	5-Dec	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MARK ASSETMGMT (SR)	040	QQQQ	SS	240,000	49.28	n/a	n/a	7,200.00	3.0
PATTEN & PATTEN	067	Q	B	200	7.03	n/a	n/a	10.00	5.0
PATTEN & PATTEN	067	Q	S	4,500	7.02	n/a	n/a	225.00	5.0
PATTEN & PATTEN	067	RHHBY	B	300	85.70	n/a	n/a	15.00	5.0
HIGHBRIDGE/MS OLDS	041	RIO	SS	100,272	31.61	n/a	n/a	3,509.52	3.5
COUGAR TRADING	044	RL	B	5,000	64.90	8-Nov	8-Nov	250.00	5.0
PATTEN & PATTEN	067	RSG	S	500	32.12	n/a	n/a	25.00	5.0
BUCK CAPITAL MGMT	001	RVI	B	100,000	4.94	n/a	n/a	4,000.00	4.0
GALLEON MGMT LP	033	SBUX	C	15,000	20.66	n/a	24-Apr	750.00	5.0
ZOLIDIS	011	SDS	S	400	55.82	n/a	n/a	0.00	0.0
SOMERSET ADV	044	SHLD	SS	6,000	104.12	n/a	n/a	240.00	4.0
TROOB CAPITAL	067	SIX	S	50,000	2.39	n/a	n/a	1,500.00	3.0
HIGHBRIDGE/MS OLDS	041	STI	B	16,000	63.43	n/a	n/a	560.00	3.5
&MIL	028	STI	S	50,000	64.06	n/a	n/a	2,500.00	5.0
HIGHBRIDGE/MS OLDS	041	STT	B	39,000	76.36	n/a	n/a	1,365.00	3.5
AVESTA CAP	229	SVU	SS	25,000	36.59	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARR	096	SYNP	B	9,000	5.01	n/a	n/a	0.00	0.0
ZOLIDIS	011	TBL	SS	500	17.27	n/a	13-Mar	0.00	0.0
PATTEN & PATTEN	067	TGT	B	100	51.56	n/a	27-Jul	5.00	5.0
GEORGE WEISS	034	TIN	B	5,000	31.00	11-Dec	11-Dec	200.00	4.0
IRONBOUND CAPITAL	012	TIN	B	21,100	31.26	11-Dec	11-Dec	1,055.00	5.0
ASCEND PARTNERS	033	TJX	S	100,000	29.47	21-Sep	7-Dec	5,000.00	5.0
PATTEN & PATTEN	067	TT	S	1,565	45.47	17-Dec	17-Dec	78.25	5.0
DEMARTINI	065	TT	S	600	45.42	17-Dec	17-Dec	0.00	0.0
BUCK CAPITAL MGMT	001	TWB	S	104,600	23.03	19-Nov	19-Nov	4,184.00	4.0
PATTEN & PATTEN	067	TWTC	B	400	20.04	9-Nov	4-Dec	20.00	5.0
PATTEN & PATTEN	067	TXN	B	500	33.05	n/a	n/a	25.00	5.0
HIGHBRIDGE/MS OLDS	041	T	SS	25,000	40.84	21-Sep	12-Dec	875.00	3.5
PATTEN & PATTEN	067	T	B	800	40.71	21-Sep	12-Dec	40.00	5.0
FRIESS MGMT	042	UAPH	S	217,200	38.51	n/a	n/a	9,774.00	4.5
HIGHBRIDGE/MS OLDS	041	UNP	B	3,000	127.88	n/a	n/a	105.00	3.5
SINCUTMA	031	UNT	B	50	44.00	n/a	30-Nov	0.00	0.0
WHITTIER CAP	048	URBN	S	2,120	26.85	9-Nov	7-Dec	84.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MCCARTAN	028	VC	B	1,400	4.06	n/a	13-Dec	0.00	0.0
LEDDY	035	VC	S	5,500	4.09	n/a	13-Dec	0.00	0.0
HIGHBRIDGE/MS OLDS	041	VFC	B	25,000	69.62	n/a	n/a	875.00	3.5
LEHMAN PROPRIETARY TRAD	041	VMC	SS	10,000	80.16	n/a	n/a	400.00	4.0
HIGHBRIDGE/MS OLDS	041	WAG	SS	50,000	37.09	n/a	n/a	1,750.00	3.5
MCCARTAN	028	WBC	B	100	49.37	n/a	12-Dec	0.00	0.0
SONAR CAP MGMT	039	WDC	SS	80,000	29.01	n/a	n/a	0.00	0.0
FRIESS MGMT	042	WG	B	138,700	34.25	n/a	n/a	6,241.50	4.5
SAB CAPITAL	034	WG	S	146,500	34.42	n/a	n/a	7,325.00	5.0
BUCK CAPITAL MGMT	001	WSM	SS	40,000	27.01	n/a	n/a	1,600.00	4.0
PATTEN & PATTEN	067	WYE	S	2,700	47.16	n/a	31-Mar	135.00	5.0
SERENGETI MGMT	030	WY	B	50,000	70.71	1-Nov	1-Nov	2,000.00	4.0
PATTEN & PATTEN	067	XBI	S	700	58.36	n/a	n/a	35.00	5.0
LEDDY	035	XOHO	S	2,700	2.37	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	ZMH	S	600	66.87	n/a	n/a	30.00	5.0

TOTAL (Trade Date):

215,529.98

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	12/10	PATTEN & PATTEN (PATTAMSOUT)	067	ACL	B	75	147.20	26-Oct	18-Dec	3.75	5.0
AO,CRT	12/10	PATTEN & PATTEN (PATTMERR)	067	ACL	B	75	147.20	26-Oct	18-Dec	3.75	5.0
AO,	12/17	BEAR STEARNS ASSET MGMT. (BSAM7275)	033	BBY	C	9,000	50.88	n/a	27-Jul	360.00	4.0
AO,	12/17	BEAR STEARNS ASSET MGMT. (BSAM7091)	033	BBY	C	4,600	50.88	n/a	27-Jul	184.00	4.0
AO,	12/17	BEAR STEARNS ASSET MGMT. (BSAM888)	033	BBY	C	5,300	50.88	n/a	27-Jul	212.00	4.0
AO,	12/17	BEAR STEARNS ASSET MGMT. (BSAM888)	033	BBY	C	39,500	50.88	n/a	27-Jul	1580.00	4.0
AO,	12/17	BEAR STEARNS ASSET MGMT. (BSAM888)	033	BBY	C	8,200	50.88	n/a	27-Jul	328.00	4.0
AO,	12/17	BEAR STEARNS ASSET MGMT. (BSAM7025)	033	BBY	C	2,000	50.88	n/a	27-Jul	80.00	4.0
AO,	12/17	BEAR STEARNS ASSET MGMT. (BSAM999)	033	BBY	C	4,200	50.88	n/a	27-Jul	168.00	4.0
AO,	12/17	BEAR STEARNS ASSET MGMT. (BSAM999)	033	BBY	C	5,000	50.88	n/a	27-Jul	200.00	4.0
AO,	12/17	BEAR STEARNS ASSET MGMT. (BSAM999)	033	BBY	C	19,800	50.88	n/a	27-Jul	792.00	4.0
CRT	12/18	MKT MAKER (MKT MAKER)	099	BONT	B	100	11.00	9-Nov	7-Dec	0.00	0.0
AO,	12/17	KARSCH CAPITAL (KARSLEHMAN)	034	C	C	4,790	31.10	5-Nov	13-Dec	143.70	3.0
AO,	12/17	KARSCH CAPITAL (KARSGOLDMA)	034	C	C	190,210	31.10	5-Nov	13-Dec	5706.30	3.0
CRT	12/18	HIGHBRIDGE/MS OLDS (HIBCMAIN)	041	CHRW	SS	25,057	51.79	n/a	n/a	877.00	3.5
AO,	12/17	KARSCH CAPITAL (KARSLEHMAN)	034	ETFC	SS	13,700	3.87	n/a	n/a	274.00	2.0
AO,	12/17	KARSCH CAPITAL (KARSGOLDMA)	034	ETFC	SS	544,200	3.87	n/a	n/a	10884.00	2.0
AO,	12/17	GEORGE WEISS (WEISUBS)	034	IP	SS	5,000	31.89	n/a	5-Nov	200.00	4.0
AO,	12/17	GEORGE WEISS (WEISDEUTSC)	034	IP	SS	5,000	31.89	n/a	5-Nov	200.00	4.0
AO,	12/17	KARSCH CAPITAL (KARSLEHMAN)	034	LTM	C	1,930	48.95	n/a	n/a	57.90	3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	12/17	KARSCH CAPITAL (KARSGOLDMA)	034	LTM	C	75,270	48.95	n/a	n/a	2258.10	3.0
AO,	12/17	HIGHBRIDGE CAPITAL (HIGBNEW)	038	MAR	B	7,000	32.94	n/a	n/a	350.00	5.0
AO,CXL	12/14	ROYCE TRADING (ROYC142)	216	PMC	B	1,500	14.08	n/a	n/a	75.00	5.0
AO,	12/14	ROYCE TRADING (ROYC142)	216	PMC	B	1,200	14.08	n/a	n/a	60.00	5.0
AO,CXL	12/14	ROYCE TRADING (ROYC59)	216	PMC	B	5,100	14.08	n/a	n/a	255.00	5.0
AO,	12/14	ROYCE TRADING (ROYC59)	216	PMC	B	5,800	14.08	n/a	n/a	290.00	5.0
AO,CXL	12/14	ROYCE TRADING (ROYC33)	216	PMC	B	3,400	14.08	n/a	n/a	170.00	5.0
AO,	12/14	ROYCE TRADING (ROYC33)	216	PMC	B	3,000	14.08	n/a	n/a	150.00	5.0
AO,CXL	12/17	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	RVI	B	425,000	4.44	n/a	n/a	17000.00	4.0
AO,CRT	12/17	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	RVI	B	425,000	4.44	n/a	n/a	12750.00	3.0
CRT	12/18	IRONBOUND CAPITAL (IROBGS)	012	TIN	B	21,100	31.26	11-Dec	11-Dec	1055.00	5.0
AO,	12/17	FRIESS MGMT (FRISAZNUS)	042	WG	B	6,700	34.00	n/a	n/a	301.50	4.5
AO,	12/17	FRIESS MGMT (FRISMEG)	042	WG	B	1,200	34.00	n/a	n/a	54.00	4.5
AO,	12/17	FRIESS MGMT (FRISCATS)	042	WG	B	4,500	34.00	n/a	n/a	202.50	4.5
AO,	12/17	FRIESS MGMT (FRISPSD)	042	WG	B	1,300	34.00	n/a	n/a	58.50	4.5
AO,	12/17	FRIESS MGMT (FRISNMPP)	042	WG	B	900	34.00	n/a	n/a	40.50	4.5
AO,	12/17	FRIESS MGMT (FRISNEEL)	042	WG	B	1,300	34.00	n/a	n/a	58.50	4.5
AO,	12/17	FRIESS MGMT (FRISSMTR)	042	WG	B	31,200	34.00	n/a	n/a	1404.00	4.5
AO,	12/17	FRIESS MGMT (FRISTEAMNY)	042	WG	B	4,300	34.00	n/a	n/a	193.50	4.5
AO,	12/17	FRIESS MGMT (FRISARCH 2)	042	WG	B	2,900	34.00	n/a	n/a	130.50	4.5
AO,	12/17	FRIESS MGMT (FRISOCE)	042	WG	B	800	34.00	n/a	n/a	36.00	4.5
AO,	12/17	FRIESS MGMT (FRISUDE)	042	WG	B	1,600	34.00	n/a	n/a	72.00	4.5
AO,	12/17	FRIESS MGMT (FRISSKF)	042	WG	B	1,400	34.00	n/a	n/a	63.00	4.5
AO,	12/17	FRIESS MGMT (FRISMASON)	042	WG	B	2,500	34.00	n/a	n/a	112.50	4.5
AO,	12/17	FRIESS MGMT (FRISUNIDEL)	042	WG	B	1,200	34.00	n/a	n/a	54.00	4.5
AO,	12/17	FRIESS MGMT (FRISLOL)	042	WG	B	3,200	34.00	n/a	n/a	144.00	4.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/17	FRIESS MGMT (FRISARM)	042	WG	B	2,100	34.00	n/a	n/a	94.50 4.5
AO,	12/17	FRIESS MGMT (FRISFRT)	042	WG	B	2,600	34.00	n/a	n/a	117.00 4.5
AO,	12/17	FRIESS MGMT (FRISLGH)	042	WG	B	1,500	34.00	n/a	n/a	67.50 4.5
AO,	12/17	FRIESS MGMT (FRISFO)	042	WG	B	1,400	34.00	n/a	n/a	63.00 4.5
AO,	12/17	FRIESS MGMT (FRISJLP)	042	WG	B	5,600	34.00	n/a	n/a	252.00 4.5
AO,	12/17	FRIESS MGMT (FRISKSE1)	042	WG	B	700	34.00	n/a	n/a	31.50 4.5
AO,	12/17	FRIESS MGMT (FRISJFDN)	042	WG	B	2,900	34.00	n/a	n/a	130.50 4.5
AO,	12/17	FRIESS MGMT (FRISKSC)	042	WG	B	4,600	34.00	n/a	n/a	207.00 4.5
AO,	12/17	FRIESS MGMT (FRISCONED)	042	WG	B	8,500	34.00	n/a	n/a	382.50 4.5
AO,	12/17	FRIESS MGMT (FRISKMM)	042	WG	B	1,100	34.00	n/a	n/a	49.50 4.5
AO,	12/17	FRIESS MGMT (FRISUFCW)	042	WG	B	600	34.00	n/a	n/a	27.00 4.5
AO,	12/17	FRIESS MGMT (FRISPHX)	042	WG	B	1,200	34.00	n/a	n/a	54.00 4.5
AO,	12/17	FRIESS MGMT (FRISPEA)	042	WG	B	1,000	34.00	n/a	n/a	45.00 4.5
AO,	12/17	FRIESS MGMT (FRISARCHNY)	042	WG	B	1,500	34.00	n/a	n/a	67.50 4.5
AO,	12/17	FRIESS MGMT (FRISDUKK)	042	WG	B	1,100	34.00	n/a	n/a	49.50 4.5
AO,	12/17	FRIESS MGMT (FRISDUK)	042	WG	B	2,800	34.00	n/a	n/a	126.00 4.5
AO,	12/17	FRIESS MGMT (FRISPHS)	042	WG	B	3,100	34.00	n/a	n/a	139.50 4.5
AO,	12/17	FRIESS MGMT (FRISPHPP)	042	WG	B	1,000	34.00	n/a	n/a	45.00 4.5
AO,	12/17	FRIESS MGMT (FRISBCBSM)	042	WG	B	5,100	34.00	n/a	n/a	229.50 4.5
AO,	12/17	FRIESS MGMT (FRISTEAM)	042	WG	B	2,500	34.00	n/a	n/a	112.50 4.5
AO,	12/17	FRIESS MGMT (FRISNUKE)	042	WG	B	4,900	34.00	n/a	n/a	220.50 4.5
AO,	12/17	FRIESS MGMT (FRISKAUF)	042	WG	B	4,100	34.00	n/a	n/a	184.50 4.5
AO,	12/17	FRIESS MGMT (FRISFOHH)	042	WG	B	1,000	34.00	n/a	n/a	45.00 4.5
AO,	12/17	FRIESS MGMT (FRISAZN)	042	WG	B	11,500	34.00	n/a	n/a	517.50 4.5
TOTAL (AO, CXL, CRT) :										27,843.00

TOTAL (Trade Date):	215,529.98
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TOTAL (AO, CXL, CRT):	27,843.00
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TOTAL (RUN DATE) / NFS:	243,372.98
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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