



# Daily Compliance Activity Report

Trade Date: 12/04/2006

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		ACMR	S	10,000	22.10	n/a	n/a	non-brg 5.0
BUCK CAPITAL MGMT		ADTN	SS	10,000	21.54	n/a	22-Mar	non-brg 5.0
IMPALA ASSET MMT	012	AEM	SS	100,000	44.84	n/a	n/a	3,000.00 3.0
BALYASNY ASSET MGMT	044	AMG	B	5,000	102.99	25-Oct	28-Nov	250.00 5.0
BUCK CAPITAL MGMT	001	ANF	SS	30,000	67.68	3-Nov	1-Dec	1,200.00 4.0
COUGAR TRADING	044	ANF	S	10,000	67.86	3-Nov	1-Dec	500.00 5.0
VISIUM/BALY HOWARD	038	ANN	S	20,000	34.41	n/a	1-Dec	1,000.00 5.0
BUCK CAPITAL MGMT		APC	B	5,000	48.35	1-Sep	22-Nov	non-brg 5.0
BUCK CAPITAL MGMT	001	ARO	S	45,000	30.19	23-Oct	1-Dec	1,800.00 4.0
BUCK CAPITAL MGMT		AVCI	SS	10,000	7.64	n/a	n/a	non-brg 4.0
DEMARTINI	065	AVNX	S	5,000	1.82	n/a	n/a	0.00 0.0
CAMBIAR CAP	046	BAC	B	50,600	52.58	20-Jul	20-Nov	2,024.00 4.0
ROBERTSON STEVENS BC	033	BBW	S	14,200	30.17	n/a	n/a	568.00 4.0
BUCK CAPITAL MGMT		BEBE	B	40,000	20.29	n/a	n/a	non-brg 5.0
JP MORGAN VENTURES	046	BIG	C	15,000	22.96	16-Nov	1-Dec	750.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	034	BJ	B	15,000	32.13	n/a	1-Dec	600.00	4.0
PATTEN & PATTEN	067	BK	S	1,600	38.90	5-Dec	5-Dec	80.00	5.0
IMPALA ASSET MMT	012	BNI	B	40,000	76.71	n/a	n/a	1,200.00	3.0
⌘ BUCK CAPITAL MGMT		BONT	SS	20,000	37.58	23-Oct	1-Dec	non-brg	5.0
⌘ BUCK CAPITAL MGMT		BONT	SS	5,000	38.96	23-Oct	1-Dec	non-brg	5.0
CENTURION PARTNERS	249	BONT	B	7,000	38.05	23-Oct	1-Dec	350.00	5.0
PEREGRINE	030	BONT	S	49,000	39.24	23-Oct	1-Dec	2,450.00	5.0
RIDGECRST PARTNERS	035	BONT	B	10,000	38.43	23-Oct	1-Dec	500.00	5.0
WHALE ROCK CAP	030	BONT	B	110,000	38.54	23-Oct	1-Dec	4,400.00	4.0
WHITE PINE CAPITAL	030	BONT	B	500	38.81	23-Oct	1-Dec	25.00	5.0
⌘ BUCK CAPITAL MGMT		BRL	B	2,800	51.03	15-Aug	4-Dec	non-brg	5.0
BUCK CAPITAL MGMT	001	BWS	SS	20,000	46.88	n/a	n/a	800.00	4.0
⌘ BUCK CAPITAL MGMT		BYD	S	30,000	46.76	n/a	27-Oct	non-brg	5.0
⌘ BUCK CAPITAL MGMT		CAKE	B	7,500	27.25	n/a	1-Dec	non-brg	5.0
IMPALA ASSET MMT	012	CAL	S	135,200	40.58	n/a	n/a	4,056.00	3.0
LEDY	035	CBK	S	800	18.51	3-Nov	1-Dec	0.00	0.0
ADAGE CAPITAL MGMT	030	CC	SS	200,000	25.33	n/a	16-Nov	8,000.00	4.0
IMPALA ASSET MMT	012	CENX	B	117,700	44.66	n/a	n/a	3,531.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CARDINAL CAPITAL	044	CHE	B	700	37.09	n/a	n/a	35.00	5.0
HOOVER INV. MGMT	033	CHIC	B	87,500	31.36	n/a	n/a	4,375.00	5.0
IMPALA ASSET MMT	012	CHRW	S	63,958	43.04	n/a	n/a	1,918.74	3.0
BALYASNY ASSET MGMT	044	CIT	B	15,000	51.86	n/a	n/a	750.00	5.0
CAPITAL GROWTH MGMT.	241	CLB	B	15,000	88.36	7-Aug	22-Nov	750.00	5.0
CASTLE ARK	031	CME	S	6,700	529.69	n/a	13-Nov	402.00	6.0
CAPITAL GROWTH MGMT.	241	CMI	B	25,000	121.72	n/a	n/a	1,250.00	5.0
THE JAY GOLDMAN	034	COST	S	10,000	53.10	n/a	1-Dec	400.00	4.0
DAVIDSON KEMPNER ADVISOR	217	CVTX	SS	63,000	12.98	n/a	n/a	3,150.00	5.0
WHITE PINE CAPITAL	030	CVX	B	400	73.32	n/a	n/a	20.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CYH</b>	<b>B</b>	<b>3,000</b>	<b>36.11</b>	<b>26-Oct</b>	<b>1-Dec</b>	<b>non-brg</b>	<b>5.0</b>
HIGHBRIDGE CAPITAL	038	CZN	B	39,000	14.19	n/a	n/a	1,950.00	5.0
WHITE PINE CAPITAL	030	C	B	500	50.01	n/a	13-Nov	25.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DKS</b>	<b>SS</b>	<b>10,000</b>	<b>55.05</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
KACELA CAPITAL	034	DLIA	S	22,200	10.46	n/a	n/a	888.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BACKUS	005	DSW	S	500	39.27	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		EAT	SS	30,000	30.62	13-Sep	4-Dec	non-brg	5.0
⚡ BUCK CAPITAL MGMT		ENDP	B	2,800	27.45	18-Oct	4-Dec	non-brg	5.0
BARON ASSET MGMT*	012	ET	S	25,000	23.12	n/a	n/a	1,250.00	5.0
DAVIS ADV	040	EXPE	S	50,000	18.52	n/a	n/a	1,500.00	3.0
⚡ BUCK CAPITAL MGMT		FD	SS	25,000	40.97	9-Nov	5-Dec	non-brg	5.0
LOCUS WOOD CAPITAL MGMT	044	FD	S	26,830	41.07	9-Nov	5-Dec	1,341.50	5.0
BALYASNY ASSET MGMT	044	FII	S	20,000	33.11	n/a	28-Nov	1,000.00	5.0
⚡ BUCK CAPITAL MGMT		FLDR	SS	10,000	9.82	n/a	n/a	non-brg	5.0
MAGNETAR FINANCIAL	247	F	SS	600,000	7.94	n/a	n/a	18,000.00	3.0
WHITE PINE CAPITAL	030	GE	B	500	35.46	n/a	n/a	25.00	5.0
MKT MAKER	099	GHCI	B	3	48.34	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		GLW	B	24,700	21.00	n/a	25-Oct	non-brg	5.0
IMPALA ASSET MMT	012	GMT	S	40,600	49.79	n/a	n/a	1,218.00	3.0
FRIESS MGMT	042	GRP	B	195,400	44.41	n/a	n/a	8,793.00	4.5
FORD FDN.	032	GS	S	1,500	196.07	9-Nov	13-Nov	75.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IMPALA ASSET MMT	012	GS	SS	50,000	79.82	9-Nov	13-Nov	1,500.00	3.0
IMPALA ASSET MMT	012	GT	B	75,000	16.68	n/a	n/a	2,250.00	3.0
COUGAR TRADING	044	GYMB	SS	5,000	40.12	1-Dec	1-Dec	250.00	5.0
⚡ BUCK CAPITAL MGMT		HMA	B	6,800	20.52	n/a	1-Dec	non-brg	5.0
⚡ BUCK CAPITAL MGMT		HOS	B	1,500	37.50	n/a	n/a	non-brg	5.0
BACKUS	005	ICON	S	3,900	18.37	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		IKAN	B	6,100	9.40	n/a	n/a	non-brg	5.0
RIVER RUN MGMT	031	ITCD	B	8,500	2.48	n/a	n/a	255.00	3.0
IMPALA ASSET MMT	012	JBHT	B	221,300	21.32	n/a	n/a	6,639.00	3.0
IMPALA ASSET MMT	012	JBLU	B	123,000	13.78	n/a	n/a	3,690.00	3.0
⚡ BUCK CAPITAL MGMT		KEGS	B	13,500	15.13	7-Aug	29-Nov	non-brg	5.0
BELAY CAPITAL	039	KSS	B	9,800	70.67	10-Nov	1-Dec	490.00	5.0
⚡ BUCK CAPITAL MGMT		KSS	SS	30,000	69.94	10-Nov	1-Dec	non-brg	5.0
IMPALA ASSET MMT	012	KWK	B	205,000	42.13	n/a	n/a	6,150.00	3.0
IMPALA ASSET MMT	012	LSTR	SS	46,000	42.45	n/a	n/a	1,380.00	3.0
⚡ BUCK CAPITAL MGMT		LTD	B	3,400	31.20	1-Dec	1-Dec	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		LVL	B	20,100	5.50	18-Oct	1-Dec	non-brg	5.0
IMPALA ASSET MMT	012	MAR	B	179,000	46.38	n/a	n/a	5,370.00	3.0
⌘ BUCK CAPITAL MGMT		MDL	SS	10,000	19.92	n/a	n/a	non-brg	5.0
BACKUS	005	MIR	S	1,000	31.04	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	MRK	S	50,000	44.97	n/a	n/a	2,500.00	5.0
WHITE PINE CAPITAL	030	MSFT	B	1,000	29.42	n/a	3-Apr	50.00	5.0
REICH AND TANG	037	NAV	S	8,000	32.93	n/a	n/a	400.00	5.0
⌘ BUCK CAPITAL MGMT		NDN	B	8,800	10.88	14-Aug	1-Dec	non-brg	5.0
BUCK CAPITAL MGMT	001	NKE	B	9,100	96.79	n/a	n/a	364.00	4.0
BUCK CAPITAL MGMT	001	NKE	SS	20,000	97.24	n/a	n/a	800.00	4.0
RH CAPITAL ASSOCIATES	060	NKTR	B	25,000	16.74	n/a	n/a	1,000.00	4.0
IMPALA ASSET MMT	012	NOV	B	130,000	66.90	n/a	n/a	3,900.00	3.0
MS PRINCIPAL STRATEGIES	040	NUE	SS	12,200	63.65	n/a	n/a	610.00	5.0
BACKUS	005	NWY	S	1,000	13.06	1-Dec	1-Dec	0.00	0.0
⌘ BUCK CAPITAL MGMT		OIH	SS	50,000	146.28	n/a	n/a	non-brg	1.5
BUCK CAPITAL MGMT	001	OXM	S	15,000	51.33	n/a	n/a	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>PERY</b>	<b>SS</b>	<b>5,000</b>	<b>40.13</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
WHITE PINE CAPITAL	030	PFE	B	2,000	24.63	n/a	31-Mar	100.00	5.0
<b>WHEELER</b>	<b>008</b>	<b>PFE</b>	<b>B</b>	<b>5,000</b>	<b>24.67</b>	<b>n/a</b>	<b>31-Mar</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	PG	B	500	63.47	1-Nov	5-Dec	25.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>PLCE</b>	<b>S</b>	<b>100</b>	<b>66.53</b>	<b>n/a</b>	<b>30-Nov</b>	<b>0.00</b>	<b>0.0</b>
LOOMIS SALES/BOSTON	036	PPC	C	129,900	27.87	n/a	n/a	6,495.00	5.0
IMPALA ASSET MMT	012	PPP	B	85,000	53.27	n/a	n/a	2,550.00	3.0
<b>BACKUS</b>	<b>005</b>	<b>PSUN</b>	<b>S</b>	<b>2,250</b>	<b>19.64</b>	<b>3-Aug</b>	<b>1-Dec</b>	<b>0.00</b>	<b>0.0</b>
<b>WHEELER</b>	<b>008</b>	<b>PTNX</b>	<b>S</b>	<b>4,551</b>	<b>12.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAPITAL	038	Q	B	60,000	7.81	n/a	n/a	3,000.00	5.0
WHITE PINE CAPITAL	030	Q	B	1,000	7.87	n/a	n/a	50.00	5.0
IMPALA ASSET MMT	012	RCL	S	95,000	41.54	n/a	1-Nov	2,850.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>SS</b>	<b>13,900</b>	<b>79.62</b>	<b>9-Nov</b>	<b>9-Nov</b>	<b>556.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ROST</b>	<b>SS</b>	<b>25,000</b>	<b>30.78</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
IMPALA ASSET MMT	012	RS	B	225,000	39.06	n/a	n/a	6,750.00	3.0
<b>BACKUS</b>	<b>005</b>	<b>RVI</b>	<b>S</b>	<b>3,000</b>	<b>19.34</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.	
IMPALA ASSET MMT	012	R	S	25,000	52.24	n/a	n/a	750.00	3.0
IMPALA ASSET MMT	012	SAIA	SS	27,366	24.96	n/a	n/a	820.98	3.0
<b>LEDDY</b>	<b>035</b>	<b>SCSS</b>	<b>B</b>	<b>600</b>	<b>18.21</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>SFUN</b>	<b>B</b>	<b>1,000</b>	<b>16.65</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>35,000</b>	<b>30.61</b>	<b>n/a</b>	<b>26-Oct</b>	<b>1,400.00</b>	<b>4.0</b>
PATTEN & PATTEN	067	SLB	B	150	68.81	n/a	n/a	7.50	5.0
OPPENHEIMER MGMT.	036	SLM	B	100,000	46.36	n/a	n/a	4,000.00	4.0
AMBER CAPITAL	046	SMF	B	29,700	18.69	n/a	n/a	1,188.00	4.0
<b>MKT MAKER</b>	<b>099</b>	<b>SPAR</b>	<b>B</b>	<b>702</b>	<b>21.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHLINE ADV	044	SPY	B	90,000	140.54	n/a	n/a	4,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SUNW</b>	<b>B</b>	<b>44,100</b>	<b>5.48</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>BACKUS</b>	<b>005</b>	<b>SWN</b>	<b>S</b>	<b>1,000</b>	<b>41.49</b>	<b>7-Aug</b>	<b>22-Nov</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	S	B	1,500	19.71	n/a	n/a	75.00	5.0
<b>BACKUS</b>	<b>005</b>	<b>TBL</b>	<b>S</b>	<b>3,000</b>	<b>32.22</b>	<b>15-Nov</b>	<b>15-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>THC</b>	<b>B</b>	<b>8,000</b>	<b>7.10</b>	<b>n/a</b>	<b>1-Dec</b>	<b>non-brg</b>	<b>5.0</b>



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		TIN	B	1,800	39.95	n/a	27-Oct	non-brg	5.0
FRIESS MGMT	042	TJX	S	165,400	27.72	6-Oct	1-Dec	7,443.00	4.5
⌘ BUCK CAPITAL MGMT		TLB	B	30,000	24.83	18-Oct	16-Nov	non-brg	5.0
⌘ BUCK CAPITAL MGMT		TRI	B	11,300	41.30	17-Oct	1-Dec	non-brg	5.0
GAULT	063	TRLG	B	1,500	15.19	n/a	n/a	0.00	0.0
DEMARTINI	065	TRLG	B	2,000	15.19	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TWB	SS	20,000	42.71	5-Sep	16-Nov	800.00	4.0
⌘ BUCK CAPITAL MGMT		TWTC	B	14,400	19.78	28-Aug	1-Dec	non-brg	5.0
MAGNETAR FINANCIAL	247	TWTC	SS	13,000	19.66	28-Aug	1-Dec	520.00	4.0
TROUBH PART	067	TWTC	B	20,000	19.50	28-Aug	1-Dec	1,000.00	5.0
IMPALA ASSET MMT	012	UAUA	B	46,800	40.55	n/a	n/a	1,404.00	3.0
⌘ BUCK CAPITAL MGMT		URBN	B	2,900	22.71	6-Oct	10-Nov	non-brg	5.0
BARR	096	VDSI	B	200	11.99	n/a	n/a	0.00	0.0
SAILFISH	037	WAG	SS	10,000	41.27	n/a	n/a	400.00	4.0
HIGHBRIDGE CAPITAL	038	WIN	B	44,000	13.81	n/a	n/a	2,200.00	5.0
DC CAPITAL	044	WMT	S	50,000	46.30	5-Oct	1-Dec	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		WY	B	3,200	65.32	21-Sep	27-Oct	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARBER/WEISS PECK	012	YUM	SS	18,000	60.95	n/a	12-Oct	900.00	5.0
<b>TOTAL (Trade Date):</b>							<b>177,082.72</b>		

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/01	ROBERTSON STEVENS BC (RSBC60)	033	AES	B	104,900	23.41	n/a	n/a	4196.00 4.0
AO,	12/01	ROBERTSON STEVENS BC (RSBC61)	033	AES	B	129,700	23.41	n/a	n/a	5188.00 4.0
AO,	12/01	ROBERTSON STEVENS BC (RSBC300)	033	AES	B	37,300	23.41	n/a	n/a	1492.00 4.0
AO,	12/01	ROBERTSON STEVENS BC (RSBC304)	033	AES	B	16,300	23.41	n/a	n/a	652.00 4.0
AO,	12/01	ROBERTSON STEVENS BC (RSBC60)	033	AES	B	11,800	23.41	n/a	n/a	472.00 4.0
<b>AO,CRT</b>	<b>12/01</b>	<b>MKT MAKER (MKT MAKER)</b>	<b>099</b>	<b>AMRN</b>	<b>S</b>	<b>25</b>	<b>2.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
AO,CXL	12/01	COUGAR TRADING (COUGPB MS)	031	ANF	B	5,000	67.57	3-Nov	1-Dec	250.00 5.0
AO,	12/01	COUGAR TRADING (COUGPB MS)	044	ANF	B	5,000	67.57	3-Nov	1-Dec	250.00 5.0
AO,	12/01	GLG PARTNERS (GLGPMAIN L)	034	ANN	S	50,000	34.20	n/a	1-Dec	2500.00 5.0
AO,CXL	12/01	COUGAR TRADING (COUGPB MS)	031	BIG	SS	5,000	21.82	16-Nov	1-Dec	250.00 5.0
AO,	12/01	COUGAR TRADING (COUGPB MS)	044	BIG	SS	5,000	21.82	16-Nov	1-Dec	250.00 5.0
AO,	12/01	BECK MACK & OLIVER LLC (BMOL2030)	044	BMD	B	1,000	2.74	n/a	n/a	30.00 3.0
AO,CXL	12/01	BECK MACK & OLIVER LLC (BMOL2034)	044	BMD	B	1,000	2.74	n/a	n/a	30.00 3.0
AO,CXL	12/01	SUN AMERICA ASSET MGMT (SUNAJUBG)	030	BSC	B	22,300	151.09	n/a	13-Nov	1115.00 5.0
AO,	12/01	SUN AMERICA ASSET MGMT (SUNAJUBG)	030	BSC	B	22,900	151.09	n/a	13-Nov	1145.00 5.0
<b>AO,</b>	<b>12/01</b>	<b>BUCK CAPITAL MGMT (BUCKMSMAIN)</b>	<b>001</b>	<b>CRI</b>	<b>B</b>	<b>10,000</b>	<b>27.05</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00 4.0</b>
AO,CXL	12/01	SAILFISH (SAILG2)	037	CSX	SS	10,000	36.14	n/a	n/a	500.00 5.0
AO,CXL	12/01	SAILFISH (SAILG2)	037	CSX	SS	15,000	35.82	n/a	n/a	750.00 5.0
AO,	12/01	SAILFISH (SAILG2)	037	CSX	SS	10,000	36.14	n/a	n/a	400.00 4.0
AO,	12/01	SAILFISH (SAILG2)	037	CSX	SS	15,000	35.82	n/a	n/a	600.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/01	SAILFISH (SAILG2)	037	DISH	SS	15,000	36.16	7-Nov	28-Nov	750.00 5.0
AO,	12/01	SAILFISH (SAILG2)	037	DISH	SS	15,000	36.16	7-Nov	28-Nov	600.00 4.0
AO,CXL	12/01	WEISS PECK (PECKOPPVAL)	040	JNS	SS	19,800	20.12	1-Dec	1-Dec	990.00 5.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM225)	036	MHS	B	8,400	49.98	n/a	n/a	336.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM998)	036	MHS	B	8,100	49.08	n/a	n/a	324.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM600)	036	MHS	B	2,100	49.08	n/a	n/a	84.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM998)	036	MHS	B	8,100	49.98	n/a	n/a	324.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM600)	036	MHS	B	2,100	49.98	n/a	n/a	84.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM130)	036	MHS	B	23,200	49.08	n/a	n/a	928.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM642)	036	MHS	B	100	49.08	n/a	n/a	4.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM130)	036	MHS	B	23,200	49.98	n/a	n/a	928.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM642)	036	MHS	B	100	49.98	n/a	n/a	4.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM34)	036	MHS	B	13,000	49.08	n/a	n/a	520.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM950)	036	MHS	B	200	49.08	n/a	n/a	8.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM34)	036	MHS	B	13,000	49.98	n/a	n/a	520.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM950)	036	MHS	B	200	49.98	n/a	n/a	8.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM66)	036	MHS	B	2,100	49.08	n/a	n/a	84.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM92)	036	MHS	B	200	49.08	n/a	n/a	8.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM66)	036	MHS	B	2,100	49.98	n/a	n/a	84.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM92)	036	MHS	B	200	49.98	n/a	n/a	8.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM672)	036	MHS	B	300	49.08	n/a	n/a	12.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM672)	036	MHS	B	300	49.98	n/a	n/a	12.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM9000)	036	MHS	B	300	49.08	n/a	n/a	12.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM9000)	036	MHS	B	300	49.98	n/a	n/a	12.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM997)	036	MHS	B	3,900	49.08	n/a	n/a	156.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM997)	036	MHS	B	3,900	49.98	n/a	n/a	156.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM225)	036	MHS	B	8,400	49.08	n/a	n/a	336.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/01	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	OMX	SS	20,000	46.60	n/a	15-Apr	800.00 4.0
AO,	12/01	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	OMX	SS	30,000	46.68	n/a	15-Apr	1200.00 4.0
AO,	12/01	SUSQUEHANNA CAPITAL (SUSQNO NAM)	033	PKG	S	25,000	22.31	27-Oct	27-Oct	1250.00 5.0
AO,CXL	12/01	HIGHBRIDGE CAPITAL (HIGBNEW)	038	Q	B	56,000	7.59	n/a	n/a	2800.00 5.0
AO,	12/01	HIGHBRIDGE CAPITAL (HIGBNEW)	038	Q	B	56,000	7.59	n/a	n/a	1680.00 3.0
AO,CXL	12/01	BECK MACK & OLIVER LLC (BMOL2044)	044	ROP	B	100	51.16	n/a	n/a	5.00 5.0
AO,	12/01	BECK MACK & OLIVER LLC (BMOL2043)	044	ROP	B	100	51.16	n/a	n/a	5.00 5.0
AO,CXL	11/21	REICH AND TANG (RICHMICROS)	037	SPAR	S	15,000	23.23	n/a	n/a	750.00 5.0
AO,	12/01	LOOMIS SALES/BOSTON (LOOMTBW001)	036	TVL	SS	70	9.03	n/a	n/a	1.40 2.0
AO,	12/01	LOOMIS SALES/BOSTON (LOOMTBW002)	036	TVL	SS	30	9.03	n/a	n/a	0.60 2.0
AO,	12/01	LOOMIS SALES/BOSTON (LOOMTBW003)	036	TVL	SS	65	9.03	n/a	n/a	1.30 2.0
AO,	12/01	LOOMIS SALES/BOSTON (LOOMTBW004)	036	TVL	SS	20	9.03	n/a	n/a	0.40 2.0
AO,	12/01	LOOMIS SALES/BOSTON (LOOMTBW100)	036	TVL	SS	10	9.03	n/a	n/a	0.20 2.0
AO,	12/01	LOOMIS SALES/BOSTON (LOOMTBW200)	036	TVL	SS	5	9.03	n/a	n/a	0.10 2.0
AO,CXL	11/30	BARROW HANLEY MEWHINNEY (BARR)	096	UNFY	B	9,999	0.03	n/a	n/a	0.00 0.0
AO,	11/30	BARROW HANLEY MEWHINNEY (BARR)	096	UNFY	B	9,999	0.33	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										13,324.00

TOTAL (Trade Date) :

177,082.72

TOTAL (AO, CXL, CRT):

13,324.00

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TOTAL (RUN DATE) / NFS:

190,406.72

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

T-Date = 26%

YTD = 23%

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