



Daily Compliance Activity Report

Trade Date: 12/11/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	AA	S	10,000	36.67	n/a	n/a	400.00	4.0
PROSPECTOR PARTNERS LLC	036	AA	S	10,000	37.46	n/a	n/a	400.00	4.0
BALYASNY ASSET MGMT	044	ABB	S	50,000	29.14	n/a	n/a	2,500.00	5.0
B BUCK CAPITAL MGMT		ABG	S	7,300	16.85	31-Oct	4-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	S	50,000	22.08	9-Nov	7-Dec	non-brg	4.0
COUGAR TRADING	044	AEO	B	10,000	22.95	9-Nov	7-Dec	500.00	5.0
LEVIN CAPITAL STRATEGIES	012	AIG	S	10,000	60.20	n/a	n/a	400.00	4.0
DURANGO INVESTMENTS	031	AIMC	S	5,400	17.00	n/a	n/a	216.00	4.0
B BUCK CAPITAL MGMT		AMG	S	1,500	129.56	11-Dec	11-Dec	non-brg	4.0
CASTANEDA	001	AMRN	S	295	0.29	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AMT	S	6,300	43.16	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	ANF	S	10,000	81.67	2-Oct	7-Dec	400.00	4.0
COUGAR TRADING	044	ANF	B	5,000	81.01	2-Oct	7-Dec	250.00	5.0
SIGMA CAPITAL ASSOCIATES	237	ANF	B	25,000	80.75	2-Oct	7-Dec	1,250.00	5.0
B BUCK CAPITAL MGMT		APC	S	3,000	63.33	4-Dec	4-Dec	non-brg	4.0
BUCK CAPITAL MGMT	001	ARO	B	50,000	24.89	29-Nov	7-Dec	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	ARO	B	10,000	24.73	29-Nov	7-Dec	500.00	5.0
MERRILL LYNCH STRATEGICI	034	ATW	SS	5,000	89.92	n/a	n/a	300.00	6.0
MERRILL ASSET	032	AW	B	47,700	11.79	n/a	n/a	2,146.50	4.5
MATRIX ASSET ADV.	036	BAC	B	10,700	46.24	13-Nov	11-Dec	428.00	4.0
AVESTA CAP	229	BBY	B	25,000	51.07	n/a	27-Jul	1,250.00	5.0
GLG PARTNERS	034	BBY	B	25,000	51.90	n/a	27-Jul	1,250.00	5.0
SIGMA CAPITAL ASSOCIATES	237	BEBE	B	25,000	12.83	n/a	n/a	1,250.00	5.0
SUNOVA CAPITAL	031	BEN	S	20,000	119.83	25-Sep	10-Dec	1,000.00	5.0
CARDINAL CAPITAL	044	BE	S	81,200	3.01	n/a	n/a	2,436.00	3.0
ROYCE TRADING	216	BHE	B	5,000	18.03	n/a	n/a	250.00	5.0
⌘ BUCK CAPITAL MGMT		BHI	S	600	85.74	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BONT	S	3,000	14.54	9-Nov	7-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BRL	S	2,000	54.67	8-Aug	11-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BRNC	S	18,100	14.97	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BSC	S	3,100	103.34	5-Dec	11-Dec	non-brg	4.0
MERRILL LYNCH STRATEGICI	034	CAG	SS	50,000	25.61	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUST CO/COWEN/CALF.	040	CAKE	S	28,000	24.16	n/a	24-Apr	840.00	3.0
ROYCE TRADING	216	CBM	B	5,000	8.55	n/a	n/a	250.00	5.0
BENCHMARK	028	CCIX	S	5,000	9.92	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CCI	S	7,800	40.63	n/a	n/a	non-brg	4.0
BRIGHTPOINT CAP	067	CHS	B	155,000	10.88	5-Dec	7-Dec	6,200.00	4.0
H PARTNERS MGMT LLC	031	CMCSK	B	251,945	18.05	n/a	n/a	12,597.25	5.0
J.W. SELIGMAN	041	COH	B	50,000	37.82	24-Oct	24-Oct	2,000.00	4.0
UBS OCONNOR	031	COWN	C	72,400	9.60	n/a	n/a	2,172.00	3.0
MKT MAKER	099	COWN	S	37	9.65	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	CRAY	S	15,000	5.93	n/a	n/a	450.00	3.0
B BUCK CAPITAL MGMT		CROX	B	10,000	43.35	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		CROX	B	20,000	45.18	n/a	n/a	non-brg	4.0
ROYCE TRADING	216	CTS	B	5,000	10.67	n/a	n/a	250.00	5.0
HIGHBRIDGE CAPITAL	038	CVH	SS	3,000	58.88	n/a	n/a	150.00	5.0
MATRIX ASSET ADV.	036	CVX	B	3,200	91.80	n/a	n/a	128.00	4.0
CROWLEY	061	CXE	B	3,280	5.48	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARROW HANLEY MEWHINNEY	031	C	B	2,500,000	34.58	5-Nov	11-Dec	100,000.00	4.0
⌘ BUCK CAPITAL MGMT		C	S	8,900	34.59	5-Nov	11-Dec	non-brg	4.0
GENERAL ELECTIC CO	033	C	S	177,306	34.57	5-Nov	11-Dec	7,092.24	4.0
SANDLER CAPITAL	038	C	SS	270,000	33.49	5-Nov	11-Dec	16,200.00	6.0
FRIESS MGMT	042	DELL	B	634,500	24.94	n/a	n/a	28,552.50	4.5
⌘ BUCK CAPITAL MGMT		DHI	S	3,800	14.70	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DHI	S	50,000	14.49	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DIA	C	4,800	135.70	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DIA	C	45,000	134.60	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DIA	C	50,000	137.47	n/a	n/a	non-brg	2.0
INDEPENDENCE INV	039	DO	S	15,130	128.43	n/a	n/a	605.20	4.0
POST ROAD CAP	045	DTV	B	20,000	24.54	15-Nov	19-Nov	800.00	4.0
⌘ BUCK CAPITAL MGMT		DVN	S	2,800	89.06	22-Oct	30-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		EDA	S	30,000	15.76	n/a	n/a	non-brg	4.0
KERN	050	EDA	B	1,000	15.10	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	EE	S	10,000	26.02	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		EXH	S	3,000	82.08	n/a	28-Nov	non-brg	4.0
IRON HORSE CAPITAL MGMT	038	EXH	S	10,000	82.10	n/a	28-Nov	500.00	5.0
SAC TRADING HOWARD	038	FDO	B	10,000	19.40	7-Dec	7-Dec	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAZAMA CAPITAL MGMT.	035	FMR	S	5,400	22.23	n/a	n/a	216.00	4.0
AAD CAPITAL	048	FOSL	SS	15,000	46.15	13-Nov	13-Nov	600.00	4.0
⌘ BUCK CAPITAL MGMT		FRX	S	3,400	37.31	30-Jul	11-Dec	non-brg	4.0
REINHART & MAHONEY	031	FSP	S	18,115	16.82	n/a	n/a	905.75	5.0
PHILADELPHIA FINANCIAL	033	GBL	SS	16,400	59.88	n/a	26-Nov	820.00	5.0
ROYCE TRADING	216	GDI	B	2,000	35.25	n/a	n/a	100.00	5.0
BUCK CAPITAL MGMT	001	GES	B	15,000	43.15	n/a	n/a	600.00	4.0
⌘ BUCK CAPITAL MGMT		GES	S	2,500	44.79	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GIL	B	10,000	39.84	5-Nov	11-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GIL	B	110,000	39.87	5-Nov	11-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GLW	S	6,600	25.43	n/a	6-Dec	non-brg	4.0
ROYCE TRADING	216	GPK	B	5,000	4.40	n/a	n/a	150.00	3.0
ROYCE TRADING	216	GY	B	5,000	12.33	n/a	n/a	250.00	5.0
INDEPENDENCE INV	039	HAL	S	47,630	38.55	n/a	n/a	1,905.20	4.0
LISTED ERR	099	HES	B	6,000	78.77	n/a	n/a	0.00	0.0
LISTED ERR	099	HES	S	6,000	78.51	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		HSTX	S	50,000	16.49	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAPITAL	038	HST	B	15,000	19.68	n/a	n/a	750.00	5.0
PALMYRA CAPITAL	048	HZO	SS	18,800	16.50	n/a	n/a	564.00	3.0
CHART WELL ADV	243	IBKR	B	19,885	30.98	n/a	n/a	894.85	4.5
INDEPENDENCE INV	039	INTC	B	136,440	27.68	n/a	n/a	5,457.60	4.0
FIRST NY SEC/CHRIS	041	IVZ	B	300	28.00	21-Nov	10-Dec	18.00	6.0
PHILADELPHIA FINANCIAL	033	IVZ	S	20,000	28.01	21-Nov	10-Dec	1,000.00	5.0
GRASSANO	001	IWA	B	175	16.17	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		IWM	C	90,000	79.14	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT	001	JAH	B	30,000	27.62	n/a	n/a	1,200.00	4.0
SCOPUS FUND	041	JCG	SS	21,700	48.48	28-Nov	30-Nov	1,085.00	5.0
BUCK CAPITAL MGMT	001	JCP	S	230,400	47.34	15-Nov	7-Dec	9,216.00	4.0
ROYCE TRADING	216	JNY	B	5,000	18.53	n/a	1-Nov	250.00	5.0
TRUST CO/COWEN/CALF.	040	JNY	S	22,455	18.66	n/a	1-Nov	673.65	3.0
FINANCIAL STOCK LP	028	JPM	S	50,000	46.00	19-Oct	20-Nov	2,000.00	4.0
BENCHMARK	028	JRJC	SS	10,000	25.06	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		JWN	S	10,000	37.10	20-Nov	7-Dec	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	JWN	B	15,000	38.88	20-Nov	7-Dec	750.00	5.0
SUFFOLK CAPITAL MGMT	040	KEY	B	78,000	24.37	n/a	n/a	3,120.00	4.0
⚡ BUCK CAPITAL MGMT		KV/A	B	7,400	28.63	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		LAMR	B	5,000	51.03	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		LEH	S	5,200	64.89	n/a	11-Dec	non-brg	4.0
⚡ BUCK CAPITAL MGMT		LM	S	5,200	78.70	21-Nov	10-Dec	non-brg	4.0
PHILADELPHIA FINANCIAL	033	LM	S	18,797	79.16	21-Nov	10-Dec	939.85	5.0
HIGHBRIDGE CAPITAL	038	MAR	B	22,000	37.39	n/a	n/a	1,100.00	5.0
MS PRINCIPAL STRATEGIES	041	MAR	B	26,200	36.20	n/a	n/a	1,310.00	5.0
STRATTON	N21	MCCC	B	500	4.45	7-Nov	19-Nov	0.00	0.0
TRUST CO/COWEN/CALF.	040	MCO	S	20,600	40.65	n/a	n/a	618.00	3.0
⚡ BUCK CAPITAL MGMT		MDC	S	10,000	40.21	n/a	n/a	non-brg	4.0
MERRILL LYNCH STRATEGICI	034	MEE	SS	10,000	36.29	n/a	n/a	400.00	4.0
⚡ BUCK CAPITAL MGMT		MER	S	6,000	61.13	16-Nov	11-Dec	non-brg	4.0
DIAMONDBACK CAP MGMT	232	MER	B	25,000	62.33	16-Nov	11-Dec	1,250.00	5.0
CROWLEY	061	MFM	S	2,000	7.13	n/a	n/a	0.00	0.0
KERN	050	MHGC	B	500	18.78	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		MIR	S	5,800	39.08	n/a	n/a	non-brg	4.0
TRUST CO/COWEN/CALF.	040	MI	S	9,654	31.32	n/a	n/a	289.62	3.0
ROYCE TRADING	216	MNI	B	5,000	13.27	n/a	n/a	250.00	5.0
MERRILL LYNCH STRATEGICI	034	MRK	S	10,000	60.34	n/a	n/a	600.00	6.0
B BUCK CAPITAL MGMT		MSM	S	4,100	44.37	n/a	n/a	non-brg	4.0
MATRIX ASSET ADV.	036	MS	B	13,500	53.89	5-Dec	11-Dec	540.00	4.0
AMBER CAPITAL	046	M	SS	200,000	29.38	9-Nov	7-Dec	8,000.00	4.0
B BUCK CAPITAL MGMT		M	S	9,800	31.08	9-Nov	7-Dec	non-brg	4.0
COUGAR TRADING	044	M	B	5,000	29.24	9-Nov	7-Dec	250.00	5.0
COUGAR TRADING	044	M	S	10,100	31.06	9-Nov	7-Dec	505.00	5.0
ACT II PARTNERS	067	NIHD	SS	25,000	52.62	n/a	n/a	1,250.00	5.0
DISCIPLINED GROWTH INV.	030	NLS	S	61,100	6.34	n/a	n/a	3,055.00	5.0
ROYCE TRADING	216	NPO	B	10,000	31.63	n/a	n/a	500.00	5.0
SONAR CAP MGMT	039	NVDA	B	25,000	35.10	n/a	n/a	1,250.00	5.0
KERN	050	PBR	B	100	105.74	n/a	n/a	0.00	0.0
ROYCE TRADING	216	PBY	B	5,000	11.66	n/a	n/a	250.00	5.0
STELLIAM INV ADV	040	PDLI	S	25,000	18.39	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		PERY	B	58,607	15.70	n/a	n/a	non-brg	1.0
MAZAMA CAPITAL MGMT.	035	PJC	S	20,000	48.46	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		PLCE	S	3,700	30.41	3-Dec	7-Dec	non-brg	4.0
COUGAR TRADING	044	PSUN	B	10,000	15.33	n/a	7-Dec	500.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	35,000	42.20	5-Dec	5-Dec	1,400.00	4.0
B BUCK CAPITAL MGMT		PVH	S	5,000	41.53	5-Dec	5-Dec	non-brg	4.0
GOLDEN TREE	036	QQQQ	C	83,530	52.69	n/a	n/a	4,176.50	5.0
B BUCK CAPITAL MGMT		RCL	S	2,500	43.39	23-Oct	23-Oct	non-brg	4.0
TRUST CO/COWEN/CALF.	040	RGS	S	18,118	29.06	n/a	n/a	543.54	3.0
BUCK CAPITAL MGMT	001	RL	S	20,000	67.01	8-Nov	8-Nov	800.00	4.0
INDEPENDENCE INV	039	RL	S	34,910	69.80	8-Nov	8-Nov	1,396.40	4.0
CROWLEY	061	RNJ	S	500	16.03	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	RVI	S	7,400	6.80	n/a	n/a	370.00	5.0
B BUCK CAPITAL MGMT		RYL	S	30,000	27.27	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SBAC	S	6,300	35.91	n/a	n/a	non-brg	4.0
BENCHMARK	028	SBLK	S	10,000	13.76	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	237	SCSS	S	200,000	10.18	n/a	n/a	10,000.00	5.0
⌘ BUCK CAPITAL MGMT		SDXC	S	8,000	18.98	n/a	n/a	non-brg	4.0
MAGUIRE	090	SKF	B	1,000	85.96	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKS	B	60,000	19.95	n/a	n/a	2,400.00	4.0
KAICHER	064	SNCR	S	1,000	41.24	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	SO	B	5,000	38.46	n/a	n/a	200.00	4.0
JS ASSET MGMT	028	SPC	S	14,200	5.26	9-Nov	9-Nov	426.00	3.0
⌘ BUCK CAPITAL MGMT		SPY	C	50,000	152.06	n/a	n/a	non-brg	2.0
GOLDEN TREE	036	SPY	C	80,675	152.09	n/a	n/a	4,033.75	5.0
PROSPECTOR PARTNERS LLC	036	SRP	S	25,000	17.29	n/a	n/a	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		SWN	S	6,300	54.63	15-Nov	4-Dec	non-brg	4.0
IRONBOUND CAPITAL	012	TIN	B	75,200	35.40	11-Dec	11-Dec	3,760.00	5.0
⌘ BUCK CAPITAL MGMT		TOL	S	30,000	22.46	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TT	S	5,100	37.08	31-Oct	31-Oct	non-brg	4.0
MAGUIRE	090	TWM	B	1,000	66.01	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		TWTC	S	14,700	23.05	9-Nov	4-Dec	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBUS CIRCLE	036	TXT	S	43,370	71.92	n/a	n/a	1,734.80	4.0
U.S.TRUST COMPANY	012	TYC	B	55,000	41.56	9-Nov	15-Nov	2,475.00	4.5
MORGAN LEWIS/MLH	046	T	S	50,000	39.81	21-Sep	5-Dec	2,500.00	5.0
WYCKOFF	013	ULTA	B	200	21.64	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	UNH	SS	7,000	57.54	n/a	n/a	350.00	5.0
B BUCK CAPITAL MGMT		URBN	B	5,000	27.52	9-Nov	7-Dec	non-brg	1.0
B BUCK CAPITAL MGMT		VIRL	S	20,000	8.63	n/a	n/a	non-brg	1.0
MERRILL ASSET	032	VQ	S	18,400	18.34	n/a	n/a	828.00	4.5
ROYCE TRADING	216	VSH	B	10,000	12.17	n/a	n/a	500.00	5.0
TRUST CO/COWEN/CALF.	040	VSH	S	45,580	12.05	n/a	n/a	1,367.40	3.0
B BUCK CAPITAL MGMT		WBC	S	3,900	48.64	n/a	24-Oct	non-brg	4.0
MERRILL LYNCH STRATEGICI	034	WFR	B	15,000	85.62	n/a	n/a	900.00	6.0
STERLING JOHNSTON	035	WRNC	B	19,500	39.41	6-Nov	12-Nov	975.00	5.0
STELLIAM INV ADV	040	WSM	B	30,000	28.84	n/a	n/a	1,500.00	5.0
MATRIX ASSET ADV.	036	WU	B	12,000	23.23	n/a	n/a	480.00	4.0
HEALY CIRCLE	044	WYN	B	26,000	27.54	n/a	n/a	1,300.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON KEMPNER ADVISOR	217	XLF	B	60,000	30.54	n/a	n/a	3,000.00	5.0
PROSPECTOR PARTNERS LLC	036	XRX	S	25,000	17.35	n/a	n/a	1,000.00	4.0
COUGAR TRADING	044	ZQK	B	5,000	10.52	n/a	11-Dec	250.00	5.0
TOTAL (Trade Date) :								308,913.60	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO, CXL	12/10	MAGUIRE	090	AVNX	S	45,000	1.47	n/a	n/a	12.00 0.0
AO, CRT	12/10	MAGUIRE	090	AVNX	S	45,000	1.47	n/a	n/a	0.00 0.0
AO,	12/10	GOLDMAN SACHS ASSET MGMT	044	C	S	54,000	35.11	5-Nov	11-Dec	2160.00 4.0
AO,	12/10	BARABOO GROWTH	031	CXO	B	7,000	17.08	n/a	n/a	350.00 5.0
AO, CXL	12/10	MAGUIRE	090	DB	B	1,100	134.91	n/a	n/a	12.00 0.0
AO, CRT	12/10	MAGUIRE	090	DB	B	1,100	134.91	n/a	n/a	0.00 0.0
AO, CXL	12/10	AMATURO	018	GSI	B	1,804	10.07	n/a	n/a	0.00 0.0
AO, CRT	12/10	AMATURO	018	GSI	B	1,804	10.07	n/a	n/a	0.00 0.0
AO, CXL	12/10	MAGUIRE	090	ILE	S	20,000	2.85	n/a	n/a	12.00 0.0
AO, CRT	12/10	MAGUIRE	090	ILE	S	20,000	2.85	n/a	n/a	0.00 0.0
AO, CRT	12/10	MAGUIRE	090	MZZ	S	16,500	51.08	n/a	n/a	0.00 0.0
AO, CXL	12/10	MAGUIRE	090	MZZ	S	16,500	51.08	n/a	n/a	12.00 0.0
AO, CRT	12/10	MAGUIRE	090	NMTI	S	10,000	5.78	n/a	n/a	0.00 0.0
AO, CXL	12/10	MAGUIRE	090	NMTI	S	10,000	5.78	n/a	n/a	12.00 0.0
AO,	12/10	BARABOO GROWTH	031	NTG	B	3,000	52.12	n/a	n/a	150.00 5.0
AO, CXL	12/10	MAGUIRE	090	NXG	S	20,000	3.10	n/a	n/a	12.00 0.0
AO, CRT	12/10	MAGUIRE	090	NXG	S	20,000	3.10	n/a	n/a	0.00 0.0
AO, CXL	12/10	MAGUIRE	090	PBH	S	9,600	7.98	n/a	n/a	12.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/10	MAGUIRE	090	PBH	S	9,600	7.98	n/a	n/a	0.00 0.0
AO,CRT	12/10	MAGUIRE	090	PDC	S	20,000	11.70	n/a	n/a	0.00 0.0
AO,CXL	12/10	MAGUIRE	090	PDC	S	20,000	11.70	n/a	n/a	12.00 0.0
AO,	12/10	DEEPHAVEN	031	PHM	B	100,000	12.16	n/a	n/a	5000.00 5.0
AO,CXL	12/10	MAGUIRE	090	XJT	S	12,000	2.80	n/a	n/a	12.00 0.0
AO,CRT	12/10	MAGUIRE	090	XJT	S	12,000	2.80	n/a	n/a	0.00 0.0

TOTAL (AO, CXL, CRT) : **7,552.00**

TOTAL (Trade Date) : 308,913.60
TOTAL (AO, CXL, CRT) : 7,552.00

TOTAL (RUN DATE) / NFS: **316,465.60**

MRI Securities with Trade Activity on 11-Dec.
AMG, TIN

MRI Securities without Trade Activity on 11-Dec.
AVP, CL, PG

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

T-Date = 39%

YTD = 20%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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