



Daily Compliance Activity Report

Trade Date: 12/19/2006

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAPL	B	10,000	86.05	n/a	n/a	non-brg	1.5
PIONEER OAKRIDGE	031	AAPL	B	215	85.67	n/a	n/a	4.30	2.0
PIONEER OAKRIDGE	031	ABT	B	795	48.14	n/a	22-Apr	15.90	2.0
MORGENS WATERFALL	040	ACI	B	15,000	32.65	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT		ACMR	S	10,000	21.56	n/a	n/a	non-brg	5.0
KACELA CAPITAL	034	ACN	S	15,000	34.68	n/a	n/a	600.00	4.0
PIONEER OAKRIDGE	031	ADBE	S	2,070	40.72	n/a	n/a	41.40	2.0
CASTLEROCK	040	ADM	B	70,400	32.59	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		ADTN	SS	5,000	21.67	n/a	22-Mar	non-brg	5.0
BUCK CAPITAL MGMT		AEOS	S	75,000	31.18	15-Nov	5-Dec	non-brg	5.0
PIONEER OAKRIDGE	031	AFL	B	655	45.33	n/a	n/a	13.10	2.0
PIONEER OAKRIDGE	031	AGN	B	270	121.70	n/a	18-Dec	5.40	2.0
MS PRINCIPAL STRATEGIES	040	ALC	SS	108,900	9.30	n/a	n/a	4,356.00	4.0
GAULT	063	AMCC	S	7,000	3.64	n/a	n/a	0.00	0.0
SCHEINER	037	AMGI	S	2,000	2.24	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AMGN	B	350	69.73	n/a	26-Jan	7.00	2.0
SUN AMERICA ASSET MGMT	030	AMTD	B	22,200	16.78	n/a	n/a	1,110.00	5.0
B BUCK CAPITAL MGMT		ANF	S	130,000	69.10	3-Nov	1-Dec	non-brg	5.0
WHITTIER CAP	048	ANF	B	2,720	69.09	3-Nov	1-Dec	108.80	4.0
B BUCK CAPITAL MGMT		ANST	SS	15,000	27.03	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	ARO	S	110,000	30.37	23-Oct	1-Dec	4,400.00	4.0
B BUCK CAPITAL MGMT		ARRS	B	10,000	12.45	n/a	n/a	non-brg	5.0
Õ Glenn Redemann		ATI	B	6	0.68	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ATI	B	6	0.93	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ATI	S	6	1.91	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	AXP	B	510	61.69	n/a	n/a	10.20	2.0
BARON ASSET MGMT*	012	BBW	B	60,000	25.83	n/a	n/a	3,000.00	5.0
WHITTIER CAP	048	BBW	S	26,455	25.73	n/a	n/a	1,058.20	4.0
B BUCK CAPITAL MGMT		BBY	B	10,000	48.65	13-Dec	13-Dec	non-brg	5.0
PIONEER OAKRIDGE	031	BBY	B	700	48.01	13-Dec	13-Dec	14.00	2.0
THIRD COAST CAPITAL	035	BDK	B	10,000	77.49	n/a	n/a	500.00	5.0
ROYCE TRADING	216	BKE	S	100	51.53	n/a	n/a	5.00	5.0
MORGENS WATERFALL	040	BOL	B	25,000	53.29	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		BONT	C	10,000	35.63	23-Oct	1-Dec	non-brg	5.0
CENTURION PARTNERS	249	BONT	B	3,000	34.41	23-Oct	1-Dec	150.00	5.0
PEREGRINE	030	BONT	S	20,000	36.00	23-Oct	1-Dec	1,000.00	5.0
WHALE ROCK CAP	030	BONT	B	50,000	35.81	23-Oct	1-Dec	2,000.00	4.0
WHITE PINE CAPITAL	030	BSC	B	1,800	163.16	15-Dec	15-Dec	90.00	5.0
REINHART & MAHONEY	031	BWA	B	4,640	56.98	n/a	n/a	232.00	5.0
KORMAN	003	CAKE	S	2,000	25.02	n/a	12-Dec	0.00	0.0
PATTEN & PATTEN	067	CBT	S	200	41.48	2-Nov	2-Nov	10.00	5.0
B BUCK CAPITAL MGMT		CC	S	30,000	20.71	20-Dec	20-Dec	non-brg	2.0
SEAROCK CAPITAL MANAGE	012	CC	B	50,000	19.04	20-Dec	20-Dec	2,500.00	5.0
TILLDALE MGMT.	048	CC	B	10,000	19.05	20-Dec	20-Dec	500.00	5.0
WASHINGTON ASSET	048	CC	B	15,000	18.74	20-Dec	20-Dec	750.00	5.0
ROYCE TRADING	216	CEM	S	25,000	9.44	n/a	n/a	1,250.00	5.0
BUCK	015	CFQME	B	10	0.85	n/a	n/a	0.00	0.0
GRANAHAN INV	039	CHRS	B	46,700	13.68	n/a	16-Nov	1,868.00	4.0
COUGAR TRADING	044	CHS	B	5,000	22.01	29-Nov	8-Dec	250.00	5.0
STADIA CAPITAL	035	CHS	SS	44,000	22.04	29-Nov	8-Dec	1,760.00	4.0
WHITTIER CAP	048	CHS	B	17,680	21.94	29-Nov	8-Dec	707.20	4.0
EMP ERROR	099	CHS	S	1,000	21.50	29-Nov	8-Dec	0.00	0.0
EMP ERROR	160	CHS	C	1,000	21.52	29-Nov	8-Dec	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAPITAL GROWTH MGMT.	241	CLB	B	1,100	82.85	6-Dec	6-Dec	55.00	5.0
B BUCK CAPITAL MGMT		CLE	S	60,000	33.07	3-Nov	1-Dec	non-brg	5.0
PIONEER OAKRIDGE	031	CL	S	1,170	64.92	26-Oct	5-Dec	23.40	2.0
PIONEER OAKRIDGE	031	CMCSA	S	95	42.84	27-Jul	29-Nov	1.90	2.0
MAGNETAR FINANCIAL	247	CMG	B	9,000	53.84	n/a	12-Dec	360.00	4.0
PIONEER OAKRIDGE	031	CMX	B	700	55.78	n/a	n/a	14.00	2.0
BUCK CAPITAL MGMT	001	COH	B	70,000	42.67	7-Dec	7-Dec	2,800.00	4.0
J L F ASSET MGMT	039	COH	B	58,000	42.72	7-Dec	7-Dec	2,320.00	4.0
PIONEER OAKRIDGE	031	COH	B	125	42.50	7-Dec	7-Dec	2.50	2.0
THIRD COAST CAPITAL	035	COH	S	9,000	41.86	7-Dec	7-Dec	450.00	5.0
B BUCK CAPITAL MGMT		CRI	B	20,000	26.06	n/a	n/a	non-brg	5.0
PIONEER OAKRIDGE	031	CSCO	S	2,155	27.47	n/a	22-Mar	43.10	2.0
B BUCK CAPITAL MGMT		CTRN	C	30,000	42.30	n/a	n/a	non-brg	5.0
THIRD COAST CAPITAL	035	CTR	B	7,500	23.04	n/a	n/a	375.00	5.0
PIONEER OAKRIDGE	031	CTSH	B	750	77.92	n/a	n/a	15.00	2.0
PIONEER OAKRIDGE	031	CVX	S	940	73.77	n/a	n/a	18.80	2.0
B BUCK CAPITAL MGMT		DBRN	S	30,000	23.12	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		DECK	B	20,000	57.68	n/a	n/a	non-brg	5.0
PIONEER OAKRIDGE	031	DHR	B	495	72.71	n/a	n/a	9.90	2.0
BUCK CAPITAL MGMT	001	DKS	S	50,000	50.00	n/a	n/a	2,000.00	4.0
ß BUCK CAPITAL MGMT		DKS	C	10,000	48.85	n/a	n/a	non-brg	5.0
PIONEER OAKRIDGE	031	DNA	B	515	80.64	n/a	n/a	10.30	2.0
SEAROCK CAPITAL MANAGE	012	DRI	B	40,000	40.08	12-Dec	19-Dec	2,000.00	5.0
ß BUCK CAPITAL MGMT		DVN	B	15,000	68.70	1-Sep	22-Nov	non-brg	5.0
SAB CAPITAL	034	DVR	S	25,000	12.25	n/a	n/a	1,250.00	5.0
ROYCE TRADING	216	DY	S	50,000	21.06	n/a	n/a	2,500.00	5.0
GALLEON MGMT LP	033	ECA	C	20,000	48.16	n/a	n/a	1,000.00	5.0
PIONEER OAKRIDGE	031	ECL	B	545	44.99	n/a	20-Oct	10.90	2.0
ß BUCK CAPITAL MGMT		EDA	B	50,000	8.56	n/a	n/a	non-brg	4.0
PIONEER OAKRIDGE	031	EMC	S	4,800	13.35	n/a	n/a	96.00	2.0
PIONEER OAKRIDGE	031	EMR	S	1,800	42.51	n/a	n/a	36.00	2.0
Õ Glenn Redemann		ENZ	B	14	0.18	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ENZ	B	14	0.63	n/a	n/a	0.00	0.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ	Glenn Redemann		ENZ	S	14	0.68	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		ENZ	S	14	1.13	n/a	n/a	0.00	0.0
	BACKUS	005	EVST	S	2,000	18.34	n/a	n/a	0.00	0.0
	PIONEER OAKRIDGE	031	EXPD	S	1,400	41.55	n/a	n/a	28.00	2.0
	LEDDY	035	FBR	S	100	7.43	n/a	n/a	0.00	0.0
	PIONEER OAKRIDGE	031	FDX	B	250	113.69	n/a	n/a	5.00	2.0
	BUCK CAPITAL MGMT	001	FD	S	400,000	38.47	9-Nov	5-Dec	16,000.00	4.0
	STADIA CAPITAL	035	FD	S	49,000	38.32	9-Nov	5-Dec	1,960.00	4.0
	THIRD COAST CAPITAL	035	FD	S	90,000	38.36	9-Nov	5-Dec	4,500.00	5.0
	ROYCE TRADING	216	FII	B	55,000	33.71	n/a	20-Dec	2,750.00	5.0
	SAB CAPITAL	034	FINL	SS	36,500	13.97	n/a	7-Dec	1,825.00	5.0
	THIRD COAST CAPITAL	035	FL	S	10,000	22.00	n/a	7-Dec	500.00	5.0
ß	BUCK CAPITAL MGMT		GES	B	3,400	60.75	n/a	n/a	non-brg	1.5
	PIONEER OAKRIDGE	031	GE	S	775	37.89	n/a	n/a	15.50	2.0
ß	BUCK CAPITAL MGMT		GIII	S	100	21.53	n/a	n/a	non-brg	2.0
	PIONEER OAKRIDGE	031	GLW	B	1,125	19.01	n/a	18-Dec	22.50	2.0
	KORMAN	003	GLW	S	11,000	18.99	n/a	18-Dec	0.00	0.0
	PIONEER OAKRIDGE	031	GOOG	B	85	464.51	n/a	n/a	1.70	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRIESS MGMT	042	GRP	B	120,300	42.56	n/a	n/a	5,413.50	4.5
B BUCK CAPITAL MGMT		GSF	B	15,000	61.04	n/a	n/a	non-brg	5.0
COUGAR TRADING	044	GYMB	B	5,000	37.71	1-Dec	1-Dec	250.00	5.0
SAILFISH	037	HAL	S	10,000	32.26	n/a	n/a	500.00	5.0
ROYCE TRADING	216	HBI	B	5,000	23.17	n/a	n/a	250.00	5.0
MAGNETAR FINANCIAL	247	HET	B	115,700	82.37	3-Oct	26-Oct	4,628.00	4.0
PIONEER OAKRIDGE	031	HET	B	335	82.11	3-Oct	26-Oct	6.70	2.0
HIGHBRIDGE CAPITAL	038	HOT	SS	10,000	63.02	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	IBM	S	700	95.07	n/a	n/a	14.00	2.0
PIONEER OAKRIDGE	031	INTC	S	3,200	20.55	n/a	n/a	64.00	2.0
PIONEER OAKRIDGE	031	ISCA	S	870	52.06	n/a	n/a	17.40	2.0
B BUCK CAPITAL MGMT		ISIL	SS	20,000	24.52	n/a	n/a	non-brg	5.0
RIVER RUN MGMT	031	ITCD	B	10,300	2.59	n/a	n/a	309.00	3.0
HIGHLINE ADV	044	IWM	SS	160,000	77.46	n/a	n/a	8,000.00	5.0
WHITE PINE CAPITAL	030	IWM	SS	29,600	77.35	n/a	n/a	1,480.00	5.0
PIONEER OAKRIDGE	031	JNJ	S	1,150	66.90	n/a	22-Apr	23.00	2.0

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STADIA CAPITAL	035	JWN	C	22,000	49.42	11-Dec	11-Dec	880.00	4.0
BUCK CAPITAL MGMT	001	KSS	S	80,000	71.22	10-Nov	1-Dec	3,200.00	4.0
SEAROCK CAPITAL MANAGE	012	KSS	B	62,200	71.01	10-Nov	1-Dec	3,110.00	5.0
PIONEER OAKRIDGE	031	LLTC	S	1,800	30.60	n/a	n/a	36.00	2.0
PIONEER OAKRIDGE	031	LLY	S	550	52.81	n/a	n/a	11.00	2.0
B BUCK CAPITAL MGMT		LTD	S	100,000	29.94	1-Dec	1-Dec	non-brg	5.0
PIONEER OAKRIDGE	031	MAR	B	915	46.15	n/a	n/a	18.30	2.0
SENTINAL CAPITAL	067	MCD	S	75,000	43.59	12-Oct	12-Dec	3,750.00	5.0
PIONEER OAKRIDGE	031	MCHP	S	1,500	33.18	n/a	n/a	30.00	2.0
PIONEER OAKRIDGE	031	MDT	S	1,135	54.42	n/a	22-Apr	22.70	2.0
HIGHBRIDGE CAPITAL	038	MMC	S	318,500	30.41	n/a	n/a	15,925.00	5.0
PIONEER OAKRIDGE	031	MMM	S	950	77.87	20-Oct	20-Oct	19.00	2.0
THIRD POINT MGMT	044	MOT	S	50,000	20.41	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		MPEL	B	10,000	19.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		MPEL	B	5,000	19.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		MPEL	S	15,000	22.13	n/a	n/a	non-brg	5.0
ROYCE TRADING	216	MRD	S	25,100	34.00	n/a	n/a	1,255.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	MSFT	S	800	29.81	n/a	3-Apr	16.00	2.0
B BUCK CAPITAL MGMT		MSMSBRTL	SS	900,000	24.51	n/a	n/a	non-brg	2.5
REINHART & MAHONEY	031	MSM	B	4,600	39.16	n/a	n/a	198.00	4.3
B BUCK CAPITAL MGMT		MVRX	SS	200,000	186.64	n/a	n/a	non-brg	18.7
XYLEM GLOBAL	024	MWV	B	23,900	30.18	n/a	14-Dec	1,195.00	5.0
PIONEER OAKRIDGE	031	NATI	S	429	27.72	n/a	n/a	8.58	2.0
B BUCK CAPITAL MGMT		NDN	S	50,000	12.04	n/a	1-Dec	non-brg	5.0
B BUCK CAPITAL MGMT		NDSN	C	15,000	47.76	n/a	n/a	non-brg	5.0
RIDGECRST PARTNERS	035	NLS	SS	5,000	14.31	n/a	n/a	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	NLS	B	27,700	14.49	n/a	n/a	1,108.00	4.0
MAGUIRE	039	NRG	S	100	57.71	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		NTRI	C	5,000	64.82	n/a	n/a	non-brg	5.0
PIONEER OAKRIDGE	031	NVS	B	535	58.67	n/a	n/a	10.70	2.0
PIONEER OAKRIDGE	031	NWSA	B	2,730	21.60	n/a	n/a	54.60	2.0
B BUCK CAPITAL MGMT	001	NWY	S	95,000	13.71	1-Dec	1-Dec	3,800.00	4.0
B BUCK CAPITAL MGMT		NWY	S	25,000	13.72	1-Dec	1-Dec	non-brg	1.5

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J L F ASSET MGMT	039	ODP	SS	85,100	38.99	n/a	1-Dec	3,404.00	4.0
B BUCK CAPITAL MGMT		OIH	C	30,000	145.78	n/a	n/a	non-brg	3.0
J L F ASSET MGMT	039	ONNN	S	86,900	7.30	n/a	n/a	3,476.00	4.0
BENNETT LAWRENCE	044	ORCL	S	59,950	17.10	n/a	n/a	2,997.50	5.0
PIONEER OAKRIDGE	031	ORCL	B	2,230	17.14	n/a	n/a	44.60	2.0
PIONEER OAKRIDGE	031	PAYX	B	980	40.71	n/a	n/a	19.60	2.0
PIONEER OAKRIDGE	031	PCP	S	15	78.55	n/a	n/a	0.30	2.0
PIONEER OAKRIDGE	031	PEP	B	535	63.20	n/a	n/a	10.70	2.0
MORGENS WATERFALL	040	PFE	B	5,000	25.83	n/a	31-Mar	250.00	5.0
LEDDY	035	PFE	B	600	26.00	n/a	31-Mar	0.00	0.0
PIONEER OAKRIDGE	031	PG	B	625	64.13	15-Dec	15-Dec	12.50	2.0
PATTEN & PATTEN	067	PHO	B	1,100	18.26	n/a	n/a	55.00	5.0
B BUCK CAPITAL MGMT		PVH	C	32,400	51.41	22-Nov	22-Nov	non-brg	5.0
PIONEER OAKRIDGE	031	QCOM	B	1,035	38.57	n/a	n/a	20.70	2.0
INDEPENDENCE INV	039	Q	S	250,000	8.07	n/a	n/a	7,500.00	3.0
B BUCK CAPITAL MGMT		RIG	B	15,000	81.75	n/a	n/a	non-brg	5.0

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BUCK CAPITAL MGMT		RL	C	50,000	76.87	7-Dec	7-Dec	non-brg	5.0
BUCK CAPITAL MGMT		RTH	SS	100,000	99.10	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		RTH	SS	200,000	99.26	n/a	n/a	non-brg	1.5
BACKUS	005	RVI	S	4,000	19.05	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	RX	S	900	27.05	n/a	n/a	18.00	2.0
BUCK CAPITAL MGMT		S4RETL	SS	100,000	413.34	n/a	n/a	non-brg	53.8
BUCK CAPITAL MGMT		S6RETL	SS	100,000	272.86	n/a	n/a	non-brg	43.7
PIONEER OAKRIDGE	031	SCHW	B	1,735	18.76	n/a	n/a	34.70	2.0
OPTIMUM INV ADV	030	SHPGY	S	10,000	62.79	14-Dec	18-Dec	400.00	4.0
BUCK CAPITAL MGMT		SKNN	B	50,000	2.26	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		SKX	S	60,000	31.45	n/a	7-Dec	non-brg	5.0
PIONEER OAKRIDGE	031	SLB	B	505	65.27	n/a	n/a	10.10	2.0
MAGUIRE	039	SPC	S	800	10.10	n/a	15-Nov	0.00	0.0
PIONEER OAKRIDGE	031	SPLS	B	1,845	26.76	n/a	15-Nov	36.90	2.0
COMMERCE BANK	046	SPY	S	10,540	141.39	n/a	n/a	632.40	6.0
PIONEER OAKRIDGE	031	STT	S	1,200	67.05	n/a	n/a	24.00	2.0

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SAILFISH	037	SUN	S	5,000	65.43	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		SWN	B	20,000	37.84	7-Aug	18-Dec	non-brg	5.0
PIONEER OAKRIDGE	031	SYK	S	1,700	55.04	n/a	n/a	34.00	2.0
BACKUS	005	TBL	S	500	32.01	15-Nov	7-Dec	0.00	0.0
PIONEER OAKRIDGE	031	TGT	B	175	58.34	n/a	1-Dec	3.50	2.0
THIRD COAST CAPITAL	035	TIF	S	8,000	37.80	n/a	30-Nov	400.00	5.0
IRONBOUND CAPITAL	012	TIN	B	2,600	45.00	n/a	15-Dec	130.00	5.0
J L F ASSET MGMT	039	TJX	SS	28,800	28.69	6-Oct	1-Dec	1,152.00	4.0
COUGAR TRADING	044	TLB	B	5,000	24.35	18-Oct	16-Nov	250.00	5.0
SAB CAPITAL	034	TRLG	B	600	15.25	n/a	n/a	30.00	5.0
MKT MAKER	098	TRLG	B	24	15.25	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	TROW	S	1,500	44.05	16-Oct	20-Dec	30.00	2.0
J L F ASSET MGMT	039	TSCO	SS	11,300	44.84	n/a	n/a	452.00	4.0
B BUCK CAPITAL MGMT		TSL	S	1,500	26.00	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		TWB	C	40,000	41.52	5-Sep	8-Dec	non-brg	5.0
B BUCK CAPITAL MGMT		TWB	S	50,000	41.41	5-Sep	8-Dec	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAGUIRE	039	TWTR	S	900	2.07	n/a	n/a	0.00	0.0
EFSTATHIOU	044	TWTR	S	400	2.07	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	TXN	B	1,030	28.72	n/a	n/a	20.60	2.0
PIONEER OAKRIDGE	031	UCBH	S	2,700	17.07	n/a	n/a	54.00	2.0
B BUCK CAPITAL MGMT		UCO	B	10,000	63.61	11-Oct	29-Nov	non-brg	5.0
PIONEER OAKRIDGE	031	UPS	S	900	75.70	n/a	n/a	18.00	2.0
B BUCK CAPITAL MGMT		URBN	B	50,000	23.68	7-Dec	11-Dec	non-brg	5.0
THIRD COAST CAPITAL	035	URBN	S	15,000	22.86	7-Dec	11-Dec	750.00	5.0
PIONEER OAKRIDGE	031	USB	B	1,105	36.00	n/a	n/a	22.10	2.0
PIONEER OAKRIDGE	031	UTX	B	560	62.08	n/a	n/a	11.20	2.0
ROTHSCHILD ASSET	040	VTS	S	3,900	81.88	n/a	n/a	175.50	4.5
PIONEER OAKRIDGE	031	WAG	B	665	45.34	n/a	n/a	13.30	2.0
PATTEN & PATTEN	067	WB	B	700	57.51	n/a	n/a	35.00	5.0
DOUBLE V/PBX	044	WEBM	B	8,100	7.06	n/a	3-Apr	405.00	5.0
ROYCE TRADING	216	WLT	B	10,000	27.65	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	WPPGY	S	1,400	66.58	n/a	n/a	28.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARBER/WEISS PECK	012	WSM	SS	12,000	32.07	n/a	n/a	600.00	5.0
B BUCK CAPITAL MGMT		WTSLA	S	70,000	7.08	n/a	n/a	non-brg	5.0
PIONEER OAKRIDGE	031	WWY	S	1,025	51.06	n/a	n/a	20.50	2.0
Õ John Marrin		WXCP	B	400	10.25	n/a	n/a	0.00	0.0
FORD FDN.	032	WYE	S	50,000	51.24	n/a	31-Mar	2,500.00	5.0
GALLEON MGMT LP	033	XOM	B	50,000	75.89	n/a	n/a	2,500.00	5.0
PIONEER OAKRIDGE	031	XTO	B	710	49.23	n/a	n/a	14.20	2.0
PIONEER OAKRIDGE	031	ZMH	B	395	76.42	n/a	n/a	7.90	2.0
KORMAN	003	ZOLT	S	9,000	19.21	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	S	50,000	15.40	8-Sep	15-Dec	2,000.00	4.0
TOTAL (Trade Date) :								163,023.28	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/15	BUCK CAPITAL MGMT	001	ANF	S	50,000	69.88	3-Nov	1-Dec	2000.00 4.0
AO,CXL	12/15	BUCK CAPITAL MGMT	001	ANF	S	50,000	69.88	3-Nov	1-Dec	2000.00 4.0
AO,CRT	12/18	REINHART & MAHONEY	031	BWA	B	600	57.39	n/a	n/a	30.00 0.0
AO,CXL	12/18	REINHART & MAHONEY	031	BWA	B	600	57.39	n/a	n/a	2.87 0.0
AO,	12/18	TRIVIUM CAP MGMT	028	CC	B	50,000	22.88	20-Dec	20-Dec	2000.00 4.0
AO,CXL	12/18	TRIVIUM CAP MGMT	028	CC	C	50,000	22.88	20-Dec	20-Dec	2000.00 4.0
AO,CRT	12/15	NEEDHAM CAP	067	FOSL	SS	9,250	22.30	15-Nov	15-Nov	370.00 4.0
AO,CXL	12/15	NEEDHAM CAP	067	FOSL	SS	9,200	22.30	15-Nov	15-Nov	368.00 4.0
AO,CRT	12/18	FRIESS MGMT	042	GRP	B	2,200	42.10	n/a	n/a	99.00 4.5
AO,CXL	12/18	FRIESS MGMT	042	GRP	B	2,200	42.10	n/a	n/a	99.00 4.5
AO,CRT	12/18	RIVER RUN MGMT	031	ITCD	B	23,800	2.59	n/a	n/a	714.00 3.0
AO,CXL	12/18	RIVER RUN MGMT	031	ITCD	B	23,800	2.59	n/a	n/a	0.00 0.0
AO,	12/18	GENERAL ELECTIC CO	033	KO	S	26,000	49.05	n/a	n/a	1170.08 4.5
AO,CXL	12/18	J L F ASSET MGMT	039	SCSS	SS	57,500	17.29	n/a	n/a	2300.00 4.0
AO,CRT	12/18	J L F ASSET MGMT	039	SCSS	SS	57,500	17.29	n/a	n/a	2300.00 4.0
TOTAL (AO, CXL, CRT) :										1,913.21

TOTAL (Trade Date):	163,023.28
TOTAL (AO, CXL, CRT):	1,913.21

TOTAL (RUN DATE) / NFS:	164,936.49
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MRI Securities with Trade Activity on 19-Dec. NONE

MRI Securities without Trade Activity on 19-Dec. NONE
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 8% 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