



Daily Compliance Activity Report

Trade Date: 07/23/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARR	096	AAPL	S	300	167.43	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	AAP	S	14,000	41.23	n/a	n/a	560.00	4.0
BARR	096	ABX	S	1,800	46.02	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	ACC	B	54,300	30.05	n/a	n/a	2,715.00	5.0
BARR	096	ACFN	S	2,000	4.70	n/a	n/a	0.00	0.0
COUGAR TRADING	044	AEO	B	30,000	15.33	6-Mar	16-Jul	1,500.00	5.0
SENECA CAPITAL LP NY	028	AET	S	100,000	39.74	n/a	n/a	5,000.00	5.0
COOKBIELER	028	ALV	B	26,600	39.49	23-Jul	23-Jul	1,064.00	4.0
TRUSTCO/SUNTRUST	040	ALV	B	41,400	39.84	23-Jul	23-Jul	1,324.80	3.2
B BUCK CAPITAL MGMT		AMG	S	10,000	87.32	23-Jul	23-Jul	non-brg	4.0
SUNOVA CAPITAL	031	AMG	B	10,000	89.62	23-Jul	23-Jul	500.00	5.0
FRONTPOINT CHRIS C	041	AMT	B	12,400	39.90	n/a	n/a	496.00	4.0
TRUSTCO/SUNTRUST	040	AM	B	54,300	14.62	n/a	n/a	1,737.60	3.2
BALYASNY ASSET MGMT	044	ANF	S	20,000	62.21	10-Jul	11-Jul	1,000.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	10,000	64.08	10-Jul	11-Jul	400.00	4.0
COUGAR TRADING	044	ANF	B	10,000	62.98	10-Jul	11-Jul	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	ANF	SS	5,000	61.78	10-Jul	11-Jul	250.00	5.0
COUGAR TRADING	044	ANN	B	5,000	25.93	14-Mar	11-Jul	250.00	5.0
PALMYRA CAPITAL	048	ANN	SS	50,000	24.65	14-Mar	11-Jul	2,500.00	5.0
BMO NESBITT BURNS	041	AN	S	50,000	10.11	2-Jul	17-Jul	2,500.00	5.0
COUGAR TRADING	044	AN	B	5,000	10.03	2-Jul	17-Jul	250.00	5.0
BALYASNY ASSET MGMT	044	ARO	B	25,000	34.33	28-Apr	11-Jul	1,250.00	5.0
BALYASNY ASSET MGMT	044	ARO	SS	25,000	34.83	28-Apr	11-Jul	1,250.00	5.0
COUGAR TRADING	044	ARO	B	10,000	35.77	28-Apr	11-Jul	500.00	5.0
COUGAR TRADING	044	ARO	SS	5,000	33.77	28-Apr	11-Jul	250.00	5.0
SIGMA CAPITAL ASSOCIATES	237	ARO	SS	25,000	34.04	28-Apr	11-Jul	1,250.00	5.0
BARR	096	BAA	S	2,500	4.44	n/a	n/a	0.00	0.0
BUCK	015	BACKH	S	10	1.30	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BARE	B	20,000	17.77	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		BBBY	C	100,000	29.77	n/a	n/a	non-brg	4.0
LEVIN CAPITAL STRATEGIES	012	BIG	S	24,778	29.83	29-May	11-Jul	991.12	4.0
MTB INV ADV	034	BIG	B	32,000	30.95	29-May	11-Jul	1,600.00	5.0
B BUCK CAPITAL MGMT		BJ+XF	SS	800	1.73	n/a	n/a	non-brg	300.0
APEX CAPITAL MGMT.	091	BJ	C	215,400	37.04	n/a	27-Jul	10,770.00	5.0
MTB INV ADV	034	BKC	B	16,000	29.29	1-May	2-May	800.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	BLK	SS	10,000	217.06	n/a	22-Jul	500.00	5.0
⌘ BUCK CAPITAL MGMT		BWA	C	40,000	43.95	10-Jun	17-Jul	non-brg	4.0
TRELLUS PARTNERS LP	028	BWA	SS	20,000	43.48	10-Jun	17-Jul	1,000.00	5.0
⌘ BUCK CAPITAL MGMT		BYI	S	34,000	33.35	n/a	n/a	non-brg	4.0
J COHEN	N27	BYI	S	29	34.00	n/a	n/a	0.00	0.0
BARR	096	CAMD	S	3,400	2.95	n/a	n/a	0.00	0.0
CRAMER ROSENTHAL/SCOTT	012	CAR	B	167,900	6.67	n/a	n/a	5,876.50	3.5
BARR	096	CATT	S	400	7.53	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		CEC	C	20,000	36.19	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		CHUX	SS	10,000	11.26	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		CHUX	SS	30,000	11.27	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		CMG	SS	12,196	86.74	24-Jul	16-Jul	non-brg	4.0
⌘ BUCK CAPITAL MGMT		CMG	SS	19,500	83.74	24-Jul	16-Jul	non-brg	1.0
⌘ BUCK CAPITAL MGMT		CMG	SS	9,000	86.71	24-Jul	16-Jul	non-brg	1.0
COUGAR TRADING	044	CMG	SS	1,500	87.63	24-Jul	16-Jul	75.00	5.0
BARR	096	COF	C	1,800	44.35	n/a	21-Jul	0.00	0.0
COUGAR TRADING	044	COH	S	5,000	29.47	4-Apr	18-Jul	250.00	5.0
MERRILL LYNCH STRATEGICI	034	COH	SS	35,000	29.46	4-Apr	18-Jul	1,400.00	4.0
⌘ BUCK CAPITAL MGMT		COLM	C	10,000	41.48	n/a	n/a	non-brg	2.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		COST	C	20,000	62.99	n/a	27-Jul	non-brg	4.0
ß BUCK CAPITAL MGMT		COST	C	45,000	63.83	n/a	27-Jul	non-brg	4.0
GALT INVESTMENT	041	COST	B	30,000	63.50	n/a	27-Jul	1,500.00	5.0
SAC TRADING HOWARD	038	COST	SS	95,000	64.46	n/a	27-Jul	4,750.00	5.0
ß BUCK CAPITAL MGMT		CPKI	SS	20,000	13.49	10-Jul	10-Jul	non-brg	4.0
ß BUCK CAPITAL MGMT		CRI	S	30,300	16.50	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		CRI	S	69,700	16.36	n/a	n/a	non-brg	2.0
ASCEND PARTNERS	033	DE	B	60,500	72.01	n/a	23-May	3,025.00	5.0
BARR	096	DFS	C	2,700	14.95	n/a	21-Jul	0.00	0.0
MCCARTAN	028	DPZ	SS	300	13.86	n/a	24-Apr	0.00	0.0
ß BUCK CAPITAL MGMT		DUG	S	4,250	34.27	n/a	n/a	non-brg	1.0
OGORMAN	046	DUG	S	600	34.59	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		EL	C	30,000	43.94	7-May	24-Jun	non-brg	4.0
CATTANI	041	EL	B	200	44.19	7-May	24-Jun	0.00	0.0
LED DY	035	EPG	S	600	3.90	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FDO+VD	SS	1,000	0.97	n/a	n/a	non-brg	100.0
ASCEND PARTNERS	033	FDO	SS	100,000	23.91	23-Jul	23-Jul	5,000.00	5.0
BALYASNY ASSET MGMT	044	FDO	SS	25,000	23.72	23-Jul	23-Jul	1,250.00	5.0
BUCK CAPITAL MGMT	001	FDO	SS	70,000	23.70	23-Jul	23-Jul	2,800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN LEWIS/MLH	046	FDO	SS	15,000	23.71	23-Jul	23-Jul	750.00	5.0
WEINTRAUB CAPITAL MGT.	040	FDO	SS	50,000	23.73	23-Jul	23-Jul	2,000.00	4.0
J L F ASSET MGMT	039	FINL	S	82,900	10.70	28-Mar	28-Mar	3,316.00	4.0
J L F ASSET MGMT	039	FL	S	54,200	14.32	2-Apr	9-Jul	2,168.00	4.0
BARR	096	FNM	C	5,000	14.90	n/a	n/a	0.00	0.0
COUGAR TRADING	044	FOSL	S	10,000	29.07	n/a	9-Jul	500.00	5.0
⌘ BUCK CAPITAL MGMT		FRED	C	65,900	13.04	27-Mar	27-Mar	non-brg	4.0
BARR	096	FRE	C	11,000	10.98	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GAP	B	30,000	17.89	n/a	n/a	1,200.00	4.0
AAD CAPITAL	048	GCI	S	200,000	18.79	n/a	n/a	8,000.00	4.0
BUCK CAPITAL MGMT	001	GES	B	10,000	34.46	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		GIGM	B	10,000	12.95	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GIL	B	10,000	27.07	30-Apr	18-Jul	non-brg	4.0
BARR	096	GLD	S	500	91.75	n/a	n/a	0.00	0.0
MAGUIRE	039	GLWAE	B	25	0.81	n/a	n/a	0.00	0.0
HEALY CIRCLE	044	GM	SS	25,000	14.91	24-Jun	17-Jul	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GPS	SS	40,000	17.09	n/a	11-Jul	1,600.00	4.0
BUCK CAPITAL MGMT		GPS	C	40,000	17.68	n/a	11-Jul	non-brg	4.0
COUGAR TRADING	044	GPS	B	15,000	16.86	n/a	11-Jul	750.00	5.0
SANDLER O'NEILL ASSET	031	GS	SS	20,000	186.91	19-Mar	14-Jul	1,000.00	5.0
BUCK CAPITAL MGMT		GYMB	S	20,000	40.58	11-Jul	11-Jul	non-brg	4.0
COUGAR TRADING	044	GYMB	S	5,000	41.16	11-Jul	11-Jul	250.00	5.0
BUCK CAPITAL MGMT		HAS+VG	SS	1,000	1.25	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		HBI	B	40,000	27.27	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ICON	B	30,000	12.30	n/a	n/a	non-brg	4.0
RAINIER INV MGMT	035	IO	S	55,000	15.71	n/a	n/a	2,750.00	5.0
STG INVESTORS	041	IP	S	100,000	24.48	16-Jul	16-Jul	4,000.00	4.0
MORGAN LEWIS/MLH	046	IVAC	B	20,000	11.35	n/a	n/a	1,000.00	5.0
SANDLER O'NEILL ASSET	031	IVZ	B	19,900	24.22	15-Jul	22-Jul	995.00	5.0
MORGAN LEWIS/MLH	046	IWM	B	25,000	71.70	n/a	n/a	1,250.00	5.0
ROSEDALE CAPITAL	046	JBLU	S	25,000	5.20	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT		JCG	S	20,000	31.37	n/a	30-May	non-brg	4.0
COUGAR TRADING	044	JCG	B	5,000	32.15	n/a	30-May	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	JCG	SS	5,000	31.57	n/a	30-May	250.00	5.0
KEEFE BRUYETTE WOODS A	031	JEF	B	40,400	20.45	n/a	n/a	2,020.00	5.0
⚡ BUCK CAPITAL MGMT		JNS	S	35,000	27.14	15-Jul	22-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JOSB	B	20,000	25.12	n/a	n/a	non-brg	4.0
EGS ASSOCIATES LP	091	JOSB	B	8,000	25.19	n/a	n/a	480.00	6.0
⚡ BUCK CAPITAL MGMT		JWN	SS	50,000	30.45	10-Jul	11-Jul	non-brg	4.0
BARR	096	KRE	C	2,900	30.65	n/a	n/a	0.00	0.0
COUGAR TRADING	044	KSS	S	5,000	45.23	n/a	17-Jul	250.00	5.0
SLS CAPITAL LLC	224	KSS	B	50,000	43.96	n/a	17-Jul	2,000.00	4.0
⚡ BUCK CAPITAL MGMT		LAMR	S	52,600	37.81	n/a	n/a	non-brg	4.0
BARR	096	LEN	C	2,200	13.85	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	LIZ	B	50,000	14.35	n/a	14-May	2,000.00	4.0
⚡ BUCK CAPITAL MGMT		LM	S	28,000	39.54	1-Jul	22-Jul	non-brg	1.0
BUCK CAPITAL MGMT	001	LOW	B	20,000	21.69	n/a	27-Jul	800.00	4.0
⚡ BUCK CAPITAL MGMT		LTM	B	20,000	37.51	n/a	n/a	non-brg	4.0
STADIA CAPITAL	035	LUX	B	21,810	25.79	n/a	n/a	872.40	4.0
⚡ BUCK CAPITAL MGMT		MCD	S	100,000	59.15	9-Jun	23-Jul	non-brg	4.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		MCD	S	156,200	58.92	9-Jun	23-Jul	non-brg	4.0
	BULL PATH CAPITAL	044	MCD	SS	66,000	58.94	9-Jun	23-Jul	3,300.00	5.0
	BARR	096	MER	C	2,700	34.40	24-Jun	18-Jul	0.00	0.0
ß	BUCK CAPITAL MGMT		MSMSBOIH	C	8,700	104.11	n/a	n/a	non-brg	10.4
	LEDDY	035	MTW	S	500	28.42	n/a	23-May	0.00	0.0
ß	BUCK CAPITAL MGMT		MW	C	10,000	21.61	n/a	n/a	non-brg	4.0
	BALYASNY ASSET MGMT	044	M	S	30,000	19.30	14-Jul	14-Jul	1,500.00	5.0
	BMO NESBITT BURNS	041	M	SS	25,000	19.25	14-Jul	14-Jul	1,250.00	5.0
	BUCK CAPITAL MGMT	001	M	B	120,000	19.46	14-Jul	14-Jul	4,800.00	4.0
	THE JAY GOLDMAN	034	M	S	25,000	19.29	14-Jul	14-Jul	1,000.00	4.0
	LISTED ERR	099	M	S	12,400	19.25	14-Jul	14-Jul	0.00	0.0
	NATIONAL BK OF CAN	031	NCC	B	50,000	4.86	n/a	n/a	1,500.00	3.0
	SERENGETI MGMT	030	NCC	S	300,000	4.98	n/a	n/a	15,000.00	5.0
	BARR	096	NSU	S	8,000	1.58	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		OIH	C	10,000	196.01	n/a	n/a	non-brg	1.0
	RAINIER INV MGMT	035	OI	S	15,000	47.69	n/a	n/a	750.00	5.0
	BUCK CAPITAL MGMT	001	OXM	B	10,000	23.70	n/a	n/a	400.00	4.0
ß	BUCK CAPITAL MGMT		PFCB	C	20,000	25.68	n/a	23-Jul	non-brg	4.0
ß	BUCK CAPITAL MGMT		PFCB	SS	50,000	25.52	n/a	23-Jul	non-brg	4.0

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COUGAR TRADING	044	PFCB	SS	10,000	25.77	n/a	23-Jul	500.00	5.0
CENTURION GLOBAL MGMT LL	041	PFE	B	12,300	19.01	n/a	31-Mar	369.00	3.0
AAD CAPITAL	048	PLCE	SS	55,000	41.96	23-Jun	17-Jul	2,200.00	4.0
⌘ BUCK CAPITAL MGMT		PLCE	S	10,000	40.18	23-Jun	17-Jul	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PLCE	S	10,000	41.40	23-Jun	17-Jul	non-brg	4.0
JMP ASSET MGMT	210	POOL	B	2,700	20.20	n/a	n/a	135.00	5.0
COUGAR TRADING	044	PSUN	SS	20,000	9.05	n/a	11-Jul	1,000.00	5.0
LEHMAN PROPRIETARY TRAD	041	PSUN	S	150,000	9.04	n/a	11-Jul	6,000.00	4.0
FIRST NEW YORK NICK	029	Q	S	10,000	3.79	n/a	n/a	500.00	5.0
STERLING JOHNSTON	035	RDEN	B	30,000	16.86	10-Jun	24-Jun	1,200.00	4.0
COUGAR TRADING	044	RL	S	2,000	65.51	7-Feb	29-May	100.00	5.0
MTB INV ADV	034	ROST	B	25,000	39.71	n/a	n/a	1,246.00	4.7
NEUBERGER BERMAN	036	RRC	S	83,700	54.68	n/a	n/a	3,766.50	4.5
CUMBERLAND	038	RRGB	SS	25,000	26.41	n/a	n/a	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		SBUX	C	70,000	15.43	n/a	24-Apr	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SIG LN	C	250,000	1.05	n/a	n/a	non-brg	0.2
OGORMAN	046	SIJ	S	200	63.00	n/a	n/a	0.00	0.0

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BARR	096	SKF	S	500	118.00	n/a	n/a	0.00	0.0
BARR	096	SLV	S	100	173.38	n/a	n/a	0.00	0.0
NORTHPOINT	030	SNDK	S	90,700	14.35	n/a	n/a	3,628.00	4.0
Ⓐ BUCK CAPITAL MGMT		SPLS	C	50,000	23.70	n/a	27-Jul	non-brg	4.0
WHEELER	008	SPNC	B	2,200	10.70	n/a	n/a	0.00	0.0
BARR	096	SRS	S	500	88.50	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	SSCC	S	40,000	5.64	7-Apr	11-Jul	2,000.00	5.0
GRONET	030	SSCC	S	2,000	5.66	7-Apr	11-Jul	0.00	0.0
COUGAR TRADING	044	SSO	B	5,000	61.68	n/a	n/a	250.00	5.0
BARR	096	STI	C	2,000	43.26	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	TEX	B	20,000	49.71	n/a	10-Jul	1,000.00	5.0
Ⓐ BUCK CAPITAL MGMT		TGT+VG	SS	1,000	0.84	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	THI	SS	20,000	28.41	n/a	24-Apr	800.00	4.0
MTB INV ADV	034	TIF	B	25,000	41.18	n/a	2-Jun	1,250.00	5.0
GAULT	063	TIN	S	3,600	13.73	29-Apr	11-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	TLB	B	20,000	13.07	17-Apr	23-Jul	800.00	4.0

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BUCK CAPITAL MGMT		TLB	S	40,000	12.47	17-Apr	23-Jul	non-brg	4.0
LEDDY	035	TLB	S	1,200	13.17	17-Apr	23-Jul	0.00	0.0
CHARTER OAK	033	TLP	S	2,600	23.50	n/a	n/a	130.00	5.0
HEALY CIRCLE	044	TRK	SS	2,000	20.11	n/a	n/a	100.00	5.0
BUCK CAPITAL MGMT		TRLG	S	10,000	27.75	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		TRLG	S	10,000	28.29	n/a	n/a	non-brg	4.0
HART	056	TUYHH	B	15	1.85	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		TWTC	B	7,400	15.14	n/a	4-Jan	non-brg	4.0
PAKLER	029	TWTC	B	75	16.00	n/a	4-Jan	0.00	0.0
HART	056	TWTC	B	198	15.08	n/a	4-Jan	0.00	0.0
BUCK CAPITAL MGMT		ULTA	B	20,000	11.46	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		URBN	S	35,000	32.91	15-May	9-Jul	non-brg	4.0
COUGAR TRADING	044	URBN	B	5,000	32.66	15-May	9-Jul	250.00	5.0
MTB INV ADV	034	URBN	B	30,300	33.29	15-May	9-Jul	1,515.00	5.0
BUCK CAPITAL MGMT		URQ+LI	SS	1,000	0.62	n/a	n/a	non-brg	100.0
MATRIX ASSET ADV.	036	VLO	B	12,500	34.85	n/a	n/a	500.00	4.0
J COHEN	N27	VLO	S	32	34.78	n/a	n/a	0.00	0.0
BARR	096	VZ	C	700	34.74	n/a	4-Jan	0.00	0.0
OGORMAN	046	WFC	C	800	31.75	n/a	n/a	0.00	0.0

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B BUCK CAPITAL MGMT		WFMI	SS	20,000	23.74	n/a	n/a	non-brg	4.0
OGORMAN	046	WFSL	C	2,000	18.45	n/a	n/a	0.00	0.0
COUGAR TRADING	044	WMT	SS	10,000	57.37	30-Jun	11-Jul	500.00	5.0
JP MORGAN VENTURES	046	WMT	S	15,000	57.88	30-Jun	11-Jul	750.00	5.0
BARR	096	WM	C	3,500	6.05	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WSM	B	20,000	19.75	n/a	n/a	800.00	4.0
GAULT	063	WY	S	1,000	53.53	7-Apr	11-Jul	0.00	0.0
KAICHER	064	XCO	B	1,000	26.20	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		XLE	C	7,350	76.32	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		ZUMZ	C	50,000	15.59	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):							173,525.92		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/22	COLUMBUS CIRCLE	036	AAPL	S	122,000	150.38	n/a	n/a	4880.00 4.0
AO,	07/22	PRIME LOGIC ADV	048	AMV	S	70,000	9.25	n/a	n/a	3500.00 5.0
AO,CXL	07/22	PRIMECAP MGMT	048	AMV	S	70,000	9.25	n/a	n/a	3500.00 5.0
AO,	07/22	TRELLUS PARTNERS LP	028	GPI	SS	30,000	17.83	10-Jun	17-Jul	1500.00 5.0
AO,CXL	07/22	TRELLUS PARTNERS LP	028	GPI	SS	30,000	17.83	10-Jun	17-Jul	1500.00 5.0
AO,	07/22	EMP ERROR	099	JCG	B	400	30.47	n/a	30-May	0.00 0.0
AO,CRT	07/22	EMP ERROR	099	JCG	S	400	30.47	n/a	30-May	0.00 0.0
AO,	07/22	LEDDY	035	JCG	S	400	30.47	n/a	30-May	0.00 0.0
AO,CXL	07/22	LEDDY	035	JCG	S	400	30.47	n/a	30-May	0.00 0.0
AO,CXL	07/22	TRELLUS PARTNERS LP	028	PKG	S	10,000	25.66	22-Jul	22-Jul	500.00 5.0
AO,	07/22	TRELLUS PARTNERS LP	028	PKG	S	10,000	25.66	22-Jul	22-Jul	500.00 5.0
AO,CXL	07/22	VIKING GLOBAL	030	TGT	SS	446,000	44.66	n/a	16-Jul	22300.00 5.0
AO,CRT	07/22	VIKING GLOBAL	030	TGT	SS	446,000	44.66	n/a	16-Jul	22300.00 5.0
AO,	07/22	KARSCH CAPITAL	034	WFC	B	290,000	30.04	n/a	n/a	8700.00 3.0
AO,CXL	07/22	KARSCH CAPITAL	034	WFC	B	290,000	30.04	n/a	n/a	11600.00 4.0
TOTAL (AO, CXL, CRT) :										1,980.00

TOTAL (Trade Date) :

173,525.92

TOTAL (AO, CXL, CRT):

1,980.00

TOTAL (RUN DATE) / NFS:

175,505.92

MRI Securities with Trade Activity on 23-Jul.

ALV, AMG, FDO

MRI Securities without Trade Activity on 23-Jul.

RCL

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

T-Date = 19%

YTD = 17%

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