

Daily Compliance Activity Report Trade Date: 10/02/2007

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
BALYASNY ASSET MGMT	044	ABG	S	5,000	20.14	18-Jun	1-0ct	250.00	5.0
EGS ASSOCIATES LP	091	ABG	В	5,000	19.45	18-Jun	1-0ct	300.00	6.0
WOOSTER CAPITAL	035	ABG	В	50,000	20.52	18-Jun	1-0ct	2,500.00	5.0
EMP ERROR	099	ABG	В	2,700	19.89	18-Jun	1-0ct	0.00	0.0
EMP ERROR	099	ABG	S	3,500	20.56	18-Jun	1-0ct	0.00	0.0
OGORMAN	146	ABG	В	400	19.48	18-Jun	1-0ct	0.00	0.0
KEEFE BRUYETTE WOODS A	031	AB	S	2,700	90.80	9-Aug	28-Sep	135.00	5.0
BALYASNY ASSET MGMT	044	AEO	S	20,000	25.49	10-Jul	7-Sep	1,000.00	5.0
FRIESS MGMT	042	AEO	S	293,100	25.52	10-Jul	7-Sep	13,189.50	4.5
LIGHTHOUSE FIN/QUAD	046	AKAM	S	5,000	29.06	n/a	n/a	250.00	5.0
DEMARTINI	065	AMCC	s	5,000	3.17	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	ANN	В	62,700	33.27	6-Aug	7-Sep	2,508.00	4.0
MEISENBACH CAP MGMT	041	AOC	S	20,000	45.83	n/a	n/a	600.00	3.0
RHO CAPITAL MGMT	041	ARBA	В	3,900	10.91	n/a	n/a	195.00	5.0
BALYASNY ASSET MGMT	044	ARO	В	15,000	20.14	n/a	7-Sep	750.00	5.0
PILOT ADV	038	AXL	В	18,700	26.03	n/a	n/a	748.00	4.0
CATAPULT	040	AXP	В	5,000	60.85	n/a	n/a	250.00	5.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.	
MADIGAN	031	BAC	:	s 150	51.71	20-Apr	20-Sep	0.00	0.0	
NATIONAL BK OF CAN	031	BK	В	30,000	44.94	20-Jul	20-Sep	1,200.00	4.0	
PROSPECTOR PARTNERS LLC	036	BR	:	s 10,000	18.93	n/a	30-Jan	400.00	4.0	
SINCLAIR	031	BSCAG	:	s 36	8.20	n/a	n/a	0.00	0.0	
BALYASNY ASSET MGMT	044	BWA	В	6,500	95.81	7-Sep	7-Sep	325.00	5.0	
JPMSI/TOM LEDDY	035	BWS	:	s 20,000	20.34	n/a	n/a	1,000.00	5.0	
COLUMBIA PARTNERS	028	СВН	С	44,632	39.38	n/a	n/a	1,785.28	4.0	
MORGAN BANK /JPM	012	CCI	В	21,780	39.97	n/a	n/a	653.40	3.0	
BUCK CAPITAL MGMT	001	CEC	В	20,000	27.83	n/a	n/a	800.00	4.0	
GRANAHAN INV	039	CENT	:	s 100,000	9.25	n/a	18-Sep	3,000.00	3.0	
ROARING BLUE LION MGMT	012	CHS	В	27,500	14.66	30-Aug	7-Sep	1,100.00	4.0	
CATAPULT	040	CIT	В	5,000	40.37	n/a	n/a	250.00	5.0	
COUGAR TRADING	044	СОН	В	5,000	47.15	n/a	10-Sep	250.00	5.0	
GLG PARTNERS	034	COST	:	SS 25,000	61.31	n/a	27-Jul	1,250.00	5.0	
J L F ASSET MGMT	039	CVS	В	90,800	38.49	n/a	n/a	3,632.00	4.0	
	MADIGAN NATIONAL BK OF CAN PROSPECTOR PARTNERS LLC SINCLAIR BALYASNY ASSET MGMT JPMSI/TOM LEDDY COLUMBIA PARTNERS MORGAN BANK /JPM BUCK CAPITAL MGMT GRANAHAN INV ROARING BLUE LION MGMT CATAPULT COUGAR TRADING GLG PARTNERS	MADIGAN NATIONAL BK OF CAN PROSPECTOR PARTNERS LLC SINCLAIR BALYASNY ASSET MGMT O44 JPMSI/TOM LEDDY COLUMBIA PARTNERS MORGAN BANK /JPM D12 BUCK CAPITAL MGMT GRANAHAN INV O39 ROARING BLUE LION MGMT COUGAR TRADING GLG PARTNERS O31 O44 O40 COUGAR TRADING O34	MADIGAN NATIONAL BK OF CAN PROSPECTOR PARTNERS LLC SINCLAIR BALYASNY ASSET MGMT O44 BWA JPMSI/TOM LEDDY O35 BWS COLUMBIA PARTNERS O28 CBH MORGAN BANK /JPM O12 CCI BUCK CAPITAL MGMT O01 CEC GRANAHAN INV O39 CENT ROARING BLUE LION MGMT O40 CIT COUGAR TRADING O34 COST	MADIGAN NATIONAL BK OF CAN PROSPECTOR PARTNERS LLC O36 BR SINCLAIR O31 BSCAG BALYASNY ASSET MGMT O44 BWA B JPMSI/TOM LEDDY O35 BWS COLUMBIA PARTNERS O28 CBH C MORGAN BANK /JPM O12 CCI B BUCK CAPITAL MGMT O01 CEC B GRANAHAN INV O39 CENT ROARING BLUE LION MGMT O40 CIT B COUGAR TRADING O44 COH B GLG PARTNERS O34 COST	MADIGAN 031 BAC S 150 NATIONAL BK OF CAN 031 BK B 30,000 PROSPECTOR PARTNERS LLC 036 BR S 10,000 SINCLAIR 031 BSCAG S 36 BALYASNY ASSET MGMT 044 BWA B 6,500 JPMSI/TOM LEDDY 035 BWS S 20,000 COLUMBIA PARTNERS 028 CBH C 44,632 MORGAN BANK /JPM 012 CCI B 21,780 BUCK CAPITAL MGMT 001 CEC B 20,000 GRANAHAN INV 039 CENT S 100,000 ROARING BLUE LION MGMT 012 CHS B 27,500 CATAPULT 040 CIT B 5,000 COUGAR TRADING 044 COH B 5,000 GLG PARTNERS 034 COST SS 25,000	MADIGAN 031 BAC S 150 51.71 NATIONAL BK OF CAN 031 BK B 30,000 44.94 PROSPECTOR PARTNERS LLC 036 BR S 10,000 18.93 SINCLAIR 031 BSCAG S 36 8.20 BALYASNY ASSET MGMT 044 BWA B 6,500 95.81 JPMSI/TOM LEDDY 035 BWS S 20,000 20.34 COLUMBIA PARTNERS 028 CBH C 44,632 39.38 MORGAN BANK /JPM 012 CCI B 21,780 39.97 BUCK CAPITAL MGMT 01 CEC B 20,000 27.83 GRANAHAN INV 039 CENT S 100,000 9.25 ROARING BLUE LION MGMT 012 CHS B 27,500 14.66 CATAPULT 040 CIT B 5,000 47.15 GUGAR TRADING 044 COH B 5,000	MADIGAN 031 BAC S 150 51.71 20-Apr NATIONAL BK OF CAN 031 BK B 30,000 44.94 20-Jul PROSPECTOR PARTNERS LLC 036 BR S 10,000 18.93 n/a SINCLAIR 031 BSCAG S 36 8.20 n/a BALYASNY ASSET MGMT 044 BWA B 6,500 95.91 7-Sep JPMSI/TOM LEDDY 035 BWS S 20,000 20.34 n/a COLUMBIA PARTNERS 028 CBH C 44,632 39.38 n/a MORGAN BANK /JPM 012 CCI B 21,780 39.97 n/a BUCK CAPITAL MGMT 001 CEC B 20,000 27.83 n/a GRANAHAN INV 039 CENT S 100,000 9.25 n/a ROARING BLUE LION MGMT 012 CHS B 27,500 14.66 30-Aug COUGAR TRADING	MADIGAN 031 BAC S 150 51.71 20-Apr 20-Sep NATIONAL BK OF CAN 031 BK B 30,000 44.94 20-Jul 20-Sep PROSPECTOR PARTNERS LLC 036 BR S 10,000 18.93 n/a 30-Jan SINCLAIR 031 BSCAG S 36 8.20 n/a n/a BALYASNY ASSET MGMT 044 BWA B 6,500 95.81 7-Sep 7-Sep JPMSI/TOM LEDDY 035 BWS S 20,000 20.34 n/a n/a n/a COLUMBIA PARTNERS 028 CBH C 44,632 39.38 n/a n/a n/a MORGAN BANK /JPM 012 CCI B 21,780 39.97 n/a n/a BUCK CAPITAL MGMT 001 CEC B 20,000 27.83 n/a n/a GRANAHAN INV 039 CENT S 100,000 9.25 n/a 18-Sep ROARING BLUE LION MGMT 012 CHS B 5,000 40.37 n/a n/a COUGAR TRADING 044 COH B 5,000 47.15 n/a 10-Sep GLG PARTNERS 034 COST SS 25,000 61.31 n/a 27-Jul	MADIGAN 031 BAC S 150 51.71 20-Apx 20-Sep 0.00 NATIONAL BK OF CAN 031 BK B 30,000 44.94 20-Jul 20-Sep 1,200.00 PROSPECTOR PARTNERS LLC 036 BR S 10,000 18.93 N/A 30-Jan 400.00 SIRCLAIR 031 BSCAG S 36 8.20 N/A N/A 0.00 BALYASNY ASSET MCMT 044 BWA B 6,500 95.81 7-Sep 7-Sep 325.00 JEMSI/TOM LEDDY 035 BWS S 20,000 20.34 N/A N/A 1,000.00 COLUMBIA PARTNERS 028 CBH C 44,632 39.38 N/A N/A N/A 653.40 BUCK CAPITAL MCMT 001 CEC B 20,000 27.83 N/A N/A N/A 653.40 BUCK CAPITAL MCMT 012 CCI B 20,000 27.83 N/A N/A 800.00 GRANAHAN INV 039 CENT S 100,000 9.25 N/A 18-Sep 3,000.00 ROARING BLUE LION MCMT 012 CHS B 27,500 14.66 30-Aug 7-Sep 1,100.00 COLUMBIA FARTNERS 044 COH B 5,000 40.37 N/A N/A 250.00 COLUMBIA FARTNERS 044 COH B 5,000 47.15 N/A 10-Sep 250.00 GLG PARTNERS 034 COST SS 25,000 61.31 N/A 27-Jul 1,250.00	MADIGAN 031 BAC S 150 51.71 20-Apr 20-Sep 0.00 0.0 NATIONAL BK OF CAN 031 BK B 30,000 44.94 20-Jul 20-Sep 1,200.00 4.0 PROSPECTOR PARTNERS LLC 036 BR S 10,000 18.93 n/a 30-Jan 400.00 4.0 SINCLATR 031 BSCAG S 36 8.20 n/a n/a 0.00 0.0 BALYASNY ASSET MGMT 044 BWA B 6,500 95.81 7-Sep 7-Sep 325.00 5.0 JPMSI/TOM LEDDY 035 BWS S 20,000 20.34 n/a n/a 1,000.00 5.0 COLUMBIA PARTNERS 028 CBH C 44,632 39.38 n/a n/a 1,785.28 4.0 MORGAN BANK /JPM 012 CCI B 21,760 39.97 n/a n/a 800.00 4.0 GRANAHAN INV 03

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	Shr.	
MORGAN BANK /JPM	012	CX	В	3,400	31.52	n/a	n/a	102.00	3.0	
BUCK CAPITAL MGMT	001	DGX	В	30,000	57.40	n/a	n/a	1,200.00	4.0	
VINIK ASSET MGMT.	030	DLTR	В	90,000	41.57	10-Aug	21-Sep	3,600.00	4.0	
MORGAN BANK /JPM	012	DOV	В	4,900	51.23	n/a	n/a	147.00	3.0	
BUCK CAPITAL MGMT	001	DRI	В	20,000	43.06	n/a	24-Apr	800.00	4.0	
ENTRUST CAPITAL	040	DSW	В	25 , 000	25.83	5-Sep	2-0ct	1,250.00	5.0	
WEINTRAUB CAPITAL MGT.	040	DSW	В	25,000	25.85	5-Sep	2-0ct	1,250.00	5.0	
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ROCKEFELLER & CO.	045	DVN	В	990	82.87	19-Sep	1-0ct	49.50	5.0	
BUCK CAPITAL MGMT	001	EAT	В	20,000	27.89	n/a	24-Apr	800.00	4.0	
COLUMBIA PARTNERS	028	EGLE	В	19,917	26.73	n/a	n/a	796.68	4.0	
BUCK CAPITAL MGMT	001	ELY	В	40,000	16.70	n/a	n/a	1,600.00	4.0	
BUCK CAPITAL MGMT	001	ETH	В	25,000	33.86	n/a	n/a	1,000.00	4.0	
BUCK CAPITAL MGMT	001	FBN	В	100,000	14.41	n/a	n/a	4,000.00	4.0	
AVESTA CAP	229	FDO	В	25 , 000	26.51	9-Aug	2-0ct	1,250.00	5.0	
SINCLAIR	031	FMU	В	100	0.35	n/a	n/a	0.00	0.0	
STRAUSS ASSET MGMT	040	FTK	В	5,000	47.35	n/a	n/a	250.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. C	Shr.
LIGHTHOUSE FIN/QUAD	046	F	В	10,000	8.42	n/a	1-0ct	500.00	5.0
LOOMIS SALES/BOSTON	036	GES	S	46,500	50.50	n/a	n/a	1,860.00	4.0
MORGAN BANK /JPM	012	GE	В	6,000	42.11	n/a	n/a	180.00	3.0
SUN AMERICA ASSET MGMT	030	GE	S	167,800	41.96	n/a	n/a	8,390.00	5.0
LEDDY	035	GM	SS	800	36.72	n/a	1-0ct	0.00	0.0
GEORGE WEISS	034	GPS	S	5,000	18.92	n/a	7-Sep	200.00	4.0
PRINCIPLE CAPITAL	040	GRMN	В	106,400	101.74	n/a	n/a	4,256.00	4.0
MATRIX ASSET ADV.	036	INTC	S	5,000	26.31	n/a	n/a	200.00	4.0
BRIGHTPOINT CAP	067	JCG	SS	15,000	45.01	22-Jun	6-Sep	600.00	4.0
COUGAR TRADING	044	JCG	SS	10,000	45.07	22-Jun	6-Sep	500.00	5.0
COUGAR TRADING	044	JCP	S	10,000	65.55	21-Jun	7-Sep	500.00	5.0
COUGAR TRADING	044	JWN	В	10,000	48.16	12-Jul	7-Sep	500.00	5.0
MORGAN BANK /JPM	012	КВН	S	8,400	26.79	n/a	n/a	252.00	3.0
BUCK	015	КВН	С	1,000	26.96	n/a	n/a	0.00	0.0
COUGAR TRADING	044	KSS	SS	10,000	58.08	27-Sep	27-Sep	500.00	5.0
BUCK CAPITAL MGMT	001	LEG	В	30,000	19.62	n/a	n/a	1,200.00	4.0
CATAPULT	040	LEH	В	5,000	63.40	12-Jun	20-Sep	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
HART	056	LEH	В	25	64.60	12-Jun	20-Sep	0.00	0.0
SUNOVA CAPITAL	031	LM	В	50,000	86.29	19-Sep	28-Sep	2,500.00	5.0
BUCK CAPITAL MGMT	001	LZB	В	25,000	8.03	n/a	n/a	1,000.00	4.0
MS PRINCIPAL STRATEGIES	041	MAR	S	36,300	44.83	n/a	n/a	1,815.00	5.0
ROTHSCHILD ASSET	040	MCK	S	16,780	58.44	n/a	n/a	755.10	4.5
GALLEON MGMT LP	033	MCO	В	30,000	53.26	n/a	n/a	1,500.00	5.0
BUCK	015	MCO	C	700	52.96	n/a	n/a	0.00	0.0
HIGHBRIDGE/MS OLDS	041	MDT	В	157,669	57.48	n/a	22-Apr	6,306.76	4.0
BARR	096	MENT	S	1,000	15.99	n/a	n/a	0.00	0.0
SSI INVESTORS	048	MER	В	35,810	75.62	18-Jul	20-Sep	1,432.40	4.0
BALYASNY ASSET MGMT	044	MGM	S	5,000	94.52	n/a	3-Aug	250.00	5.0
MORGAN BANK /JPM	012	MMM	В	1,100	94.65	27-Sep	27-Sep	33.00	3.0
RHO CAPITAL MGMT	041	MSO	В	500	12.55	n/a	n/a	25.00	5.0
THE JAY GOLDMAN	034	MSO	S	20,000	12.93	n/a	n/a	800.00	4.0
GAULT	063	MSO	В	2,000	13.14	n/a	n/a	0.00	0.0
GAULT	063	MSO	S	2,000	12.69	n/a	n/a	0.00	0.0
LEDDY	035	MZZ	В	600	50.25	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	М	В	200,000	33.97	24-Sep	24-Sep	8,000.00	4.0

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Account	RR #	Symbol	B/S		Shares	Price	MRI	Research	Comm.¢	Shr.	
PRINCIPLE CAPITAL	040	М	В		28,700	34.06	24-Sep	24-Sep	861.00	3.0	
WAGONHOUND	048	М	В		11,020	33.95	24-Sep	24-Sep	440.80	4.0	
MAZAMA CAPITAL MGMT.	035	NGS	S	3	11,700	18.30	n/a	n/a	468.00	4.0	
SOROS	036	ODP	В		44,900	21.61	n/a	27-Jul	2,245.00	5.0	
BUCK CAPITAL MGMT	001	PBY	В		20,900	15.24	n/a	n/a	836.00	4.0	
MATRIX ASSET ADV.	036	PFE	S	3	5,000	24.94	n/a	31-Mar	200.00	4.0	
LUCHANSKY	036	РНМ	В		200	16.11	n/a	n/a	0.00	0.0	
LUCHANSKY	036	PHM	S	5	200	15.72	n/a	n/a	0.00	0.0	
WESTLANE CAPITAL	044	PLCE	В		10,000	24.65	26-Sep	26-Sep	500.00	5.0	
BUCK CAPITAL MGMT	001	PNR	В		20,000	33.48	n/a	n/a	800.00	4.0	
CAPITAL GROWTH MGMT.	241	PRU	В		50,000	99.05	n/a	n/a	2,000.00	4.0	
PAW PARTNERS	041	QCOM	S	5	7,700	41.82	n/a	n/a	385.00	5.0	
DAVIDSON KEMPNER ADVISOR	217	RF	S	SS	50,000	30.47	n/a	n/a	2,500.00	5.0	
BUCK CAPITAL MGMT	001	RL	s	SS	30,000	77.52	9-Aug	29-Aug	1,200.00	4.0	
BUCK CAPITAL MGMT	001	RL	S	3	10,000	77.68	9-Aug	29-Aug	400.00	4.0	
MORGAN BANK /JPM	012	ROH	В		2,100	55.64	n/a	4-Sep	63.00	3.0	
STADIA CAPITAL	035	SFD	S	3	20,000	31.63	n/a	n/a	800.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.
JPMSI/TOM LEDDY	035	SKS	SS	25 , 000	18.02	n/a	n/a	1,250.00	5.0
LEDDY	035	SLB	В	100	106.45	n/a	n/a	0.00	0.0
BRIGHTPOINT CAP	067	SMG	SS	15,000	42.44	9-Jul	18-Sep	600.00	4.0
LUCHANKSY	036	SPLS	S	150	21.94	n/a	27-Jul	0.00	0.0
MORGAN BANK /JPM	012	SPR	В	5,000	38.23	n/a	n/a	150.00	3.0
ROCKEFELLER & CO.	045	SRCL	В	1,440	57.54	n/a	n/a	72.00	5.0
GALLEON MGMT LP	033	SSCC	SS	25 , 000	11.52	4-May	21-Sep	1,250.00	5.0
LUCHANKSY	036	SSI	S	100	18.76	3-Aug	7-Sep	0.00	0.0
CATAPULT	040	STT	В	5,000	68.96	n/a	n/a	250.00	5.0
CATAPULT	040	STT	S	5,000	69.22	n/a	n/a	250.00	5.0
NORTHPOINT	030	TAXI	S	7 , 875	10.96	n/a	n/a	315.00	4.0
CATAPULT	040	TCBI	В	5,000	22.35	n/a	n/a	250.00	5.0
CATAPULT	040	TCB	S	12,500	27.18	n/a	n/a	625.00	5.0
LISTED ERR	099	TCB	В	2,200	27.06	n/a	n/a	0.00	0.0
LISTED ERR	099	TCB	S	2,200	27.05	n/a	n/a	0.00	0.0
LUCHANKSY	036	TEL	S	25	35.99	n/a	n/a	0.00	0.0
MORGAN BANK /JPM	012	TOL	S	26 , 600	21.75	n/a	n/a	798.00	3.0

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PRINCIPLE CAPITAL	040	TPX		S	27,000	36.94	n/a	n/a	810.00	3.0	
DAVIS SELECT ADV	040	TXN	В		256,000	36.68	n/a	n/a	7,680.00	3.0	
WEISS PECK	040	URBN		S	10,200	22.31	31-Jul	10-Aug	510.00	5.0	
MORGAN BANK /JPM	012	UTX	В		3,800	82.31	n/a	n/a	114.00	3.0	
LUCHANSKY4	036	VSL		S	100	23.38	n/a	n/a	0.00	0.0	
LEVIN CAPITAL STRATEGIES	012	VZ		S	15,000	45.41	21-Sep	1-0ct	600.00	4.0	
MORGAN BANK /JPM	012	WBC	В		4,900	48.14	n/a	14-Aug	147.00	3.0	
SLS CAPITAL LLC	224	WBC	В		146,000	48.59	n/a	14-Aug	5,840.00	4.0	
LEDDY	035	WCI	В		1,200	6.52	n/a	n/a	0.00	0.0	
ROCKEFELLER & CO.	045	WFT		S	10,000	69.52	n/a	n/a	500.00	5.0	
JP MORGAN VENTURES	046	WMT	В		10,000	44.98	4-Jun	27-Jul	500.00	5.0	
ZOLIDIS	011	WYNN	В		20	167.33	n/a	n/a	0.00	0.0	
LEDDY	035	хом		s	200	92.20	n/a	n/a	0.00	0.0	
LUCHANSKY1	036	YTEC	В		1,000	11.68	n/a	n/a	0.00	0.0	
COUGAR TRADING	044	ZQK		S	5,000	14.65	n/a	7-Sep	250.00	5.0	
	PRINCIPLE CAPITAL DAVIS SELECT ADV WEISS PECK MORGAN BANK / JPM LUCHANSKY4 LEVIN CAPITAL STRATEGIES MORGAN BANK / JPM SLS CAPITAL LLC LEDDY ROCKEFELLER & CO. JP MORGAN VENTURES ZOLIDIS LEDDY LUCHANSKY1	PRINCIPLE CAPITAL 040 DAVIS SELECT ADV 040 WEISS PECK 040 MORGAN BANK /JPM 012 LUCHANSKY4 036 LEVIN CAPITAL STRATEGIES 012 MORGAN BANK /JPM 012 SLS CAPITAL LLC 224 LEDDY 035 ROCKEFELLER & CO. 045 JP MORGAN VENTURES 046 ZOLIDIS 011 LEDDY 035 LUCHANSKY1 036	PRINCIPLE CAPITAL 040 TPX DAVIS SELECT ADV 040 TXN WEISS PECK 040 URBN MORGAN BANK /JPM 012 UTX LUCHANSKY4 036 VSL LEVIN CAPITAL STRATEGIES 012 VZ MORGAN BANK /JPM 012 WBC SLS CAPITAL LLC 224 WBC LEDDY 035 WCI ROCKEFELLER & CO. 045 WFT JP MORGAN VENTURES 046 WMT ZOLIDIS 011 WYNN LEDDY 035 XOM LUCHANSKY1 036 YTEC	PRINCIPLE CAPITAL 040 TPX DAVIS SELECT ADV 040 TXN B WEISS PECK 040 URBN MORGAN BANK /JPM 012 UTX B LUCHANSKY4 036 VSL LEVIN CAPITAL STRATEGIES 012 VZ MORGAN BANK /JPM 012 WBC B SLS CAPITAL LLC 224 WBC B ROCKEFELLER & CO. 045 WFT JP MORGAN VENTURES 046 WMT B ZOLIDIS 011 WYNN B LEDDY 035 XOM LUCHANSKY1 036 YTEC B	PRINCIPLE CAPITAL DAVIS SELECT ADV WEISS PECK MORGAN BANK /JPM LUCHANSKY4 LEVIN CAPITAL STRATEGIES MORGAN BANK /JPM SLS CAPITAL LLC LEDDY ROCKEFELLER & CO. JP MORGAN VENTURES DAVI S LEDDY DAVIS SELECT ADV OAG VITN B ROCKEFELLER & CO. O45 WFT S JP MORGAN VENTURES O16 WMT B LEDDY B LEDDY O35 MMT B A MMT B MMT MMT B MMT MMT	PRINCIPLE CAPITAL 040 TPX S 27,000 DAVIS SELECT ADV 040 TXN B 256,000 WEISS PECK 040 URBN S 10,200 MORGAN BANK /JPM 012 UTX B 3,800 LUCHANSKY4 036 VSL S 100 LEVIN CAPITAL STRATEGIES 012 VZ S 15,000 MORGAN BANK /JPM 012 WBC B 4,900 SLS CAPITAL LLC 224 WBC B 146,000 LEDDY 035 WCI B 1,200 ROCKEFELLER & CO. 045 WFT S 10,000 ZOLIDIS 011 WYNN B 20 LEDDY 035 XOM S 200 LUCHANSKY1 036 YTEC B 1,000	PRINCIPLE CAPITAL 040 TPX S 27,000 36.94 DAVIS SELECT ADV 040 TXN B 256,000 36.68 WEISS PECK 040 URBN S 10,200 22.31 MORGAN BANK /JPM 012 UTX B 3,800 82.31 LUCHANSKY4 036 VSL S 100 23.38 LEVIN CAPITAL STRATEGIES 012 VZ S 15,000 45.41 MORGAN BANK /JPM 012 WBC B 4,900 48.14 SLS CAPITAL LLC 224 WBC B 146,000 48.59 LEDDY 035 WCI B 1,200 6.52 ROCKEFELLER & CO. 045 WFT S 10,000 69.52 JP MORGAN VENTURES 046 WMT B 10,000 44.98 ZOLIDIS 011 WYNN B 20 167.33 LEDDY 035 XOM S 200 92.20 LUCHANSKY1 036 YTEC B 1,000 11.68	PRINCIPLE CAPITAL 040 TPX S 27,000 36.94 n/a DAVIS SELECT ADV 040 TXN B 256,000 36.68 n/a WEISS PECK 040 URBN S 10,200 22.31 31-Jul MORGAN BANK /JPM 012 UTX B 3,800 82.31 n/a LUCHANSKY4 036 VSL S 100 23.38 n/a LEVIN CAPITAL STRATEGIES 012 VZ S 15,000 45.41 21-Sep MORGAN BANK /JPM 012 WBC B 4,900 48.14 n/a SLS CAPITAL LLC 224 WBC B 146,000 48.59 n/a LEDDY 035 WCI B 1,200 6.52 n/a ROCKEFELLER & CO. 045 WFT S 10,000 69.52 n/a JP MORGAN VENTURES 046 WMT B 10,000 44.98 4-Jun ZOLIDIS 011 WYNN B 20 167.33 n/a LEDDY 035 XOM S 200 92.20 n/a LUCHANSKY1 036 YTEC B 1,000 11.68 n/a	PRINCIPLE CAPITAL 040 TPX S 27,000 36.94 n/a n/a DAVIS SELECT ADV 040 TXN B 256,000 36.68 n/a n/a WEISS PECK 040 URBN S 10,200 22.31 31-Jul 10-Aug MORGAN BANK /JPM 012 UTX B 3,800 82.31 n/a n/a LUCHANSKY4 036 VSL S 100 23.38 n/a n/a LEVIN CAPITAL STRATEGIES 012 VZ S 15,000 45.41 21-Sep 1-Oct MORGAN BANK /JPM 012 WBC B 4,900 48.14 n/a 14-Aug SLS CAPITAL LLC 224 WBC B 146,000 48.59 n/a 14-Aug LEDDY 035 WCI B 1,200 6.52 n/a n/a ROCKEFELLER & CO. 045 WFT S 10,000 69.52 n/a n/a JP MORGAN VENTURES 046 WMT B 10,000 44.98 4-Jun 27-Jul ZOLIDIS 011 WYNN B 20 167.33 n/a n/a LEDDY 035 XOM S 200 92.20 n/a n/a LUCHANSKY1 036 YTEC B 1,000 11.68 n/a n/a	PRINCIPLE CAPITAL 040 TPX S 27,000 36.94 n/a n/a 810.00 DAVIS SELECT ADV 040 TXN B 256,000 36.68 n/a n/a 7,680.00 WEISS PECK 040 URBN S 10,200 22.31 31-Jul 10-Aug 510.00 MORGAN BANK /JPM 012 UTX B 3,800 82.31 n/a n/a 0.00 LUCHANSKY4 036 VSL S 100 23.38 n/a n/a 0.00 LEVIN CAPITAL STRATEGIES 012 VZ S 15,000 45.41 21-Sep 1-Oct 600.00 MORGAN BANK /JPM 012 WBC B 4,900 48.14 n/a 14-Aug 147.00 SLS CAPITAL LLC 224 WBC B 146,000 48.59 n/a 14-Aug 5,840.00 LEDDY 035 WCI B 1,200 6.52 n/a n/a 5,840.00 LEDDY 036 WFT S 10,000 69.52 n/a n/a 500.00 JP MORGAN VENTURES 046 WMT B 10,000 44.98 4-Jun 27-Jul 500.00 ZOLIDIS 011 WYNN B 20 167.33 n/a n/a 0.00 LEDDY 035 XOM S 200 92.20 n/a n/a 0.00 LUCHANSKY1 036 YTEC B 1,000 11.68 n/a n/a 0.00	PRINCIPLE CAPITAL 040 TPX S 27,000 36.94 n/a n/a n/a 810.00 3.0 DAVIS SELECT ADV 040 TXN B 256,000 36.68 n/a n/a 7,680.00 3.0 WEISS PECK 040 URBN S 10,200 22.31 31-Jul 10-Aug 510.00 5.0 MORGAN BANK /JPM 012 UTX B 3,800 82.31 n/a n/a n/a 114.00 3.0 LUCHANSKY4 036 VSL S 100 23.38 n/a n/a n/a 0.00 0.0 LEVIN CAPITAL STRATEGIES 012 VZ S 15,000 45.41 21-Sep 1-Oct 600.00 4.0 SLS CAPITAL LLC 224 WBC B 146,000 48.59 n/a 14-Aug 5,840.00 4.0 LEDDY 035 WCI B 1,200 6.52 n/a n/a 14-Aug 5,840.00 4.0 LEDDY 035 WFT S 10,000 69.52 n/a n/a 0.00 5.0 JP MORGAN VENTURES 046 WMT B 10,000 44.98 4-Jun 27-Jul 500.00 5.0 LEDDY 035 X0M S 200 92.20 n/a n/a n/a 0.00 0.0 LEDDY 035 X0M S 200 92.20 n/a n/a n/a 0.00 0.0 0.0 LEDDY 035 X0M S 200 92.20 n/a n/a n/a 0.00 0.0 0.0 LEDDY 035 X0M S 200 92.20 n/a n/a n/a 0.00 0.0 0.0 0.0 LEDDY 035 X0M S 200 92.20 n/a n/a 0.00 0.0 0.0 0.0 0.0 0.0 0.0 0.0 0.0 0

TOTAL (Trade Date): 137,181.42

Cancel/Corrects and As-Of Trades

		Account	RR #	Symbol	Б/ 5	Shares	Price	MKI	Research	Comm.	¢/Shr.
CRT	10/02	EMP ERROR (EMP ERROR)	030	ABG	В	100	19.89	18-Jun	1-0ct	0.00	0.0
CRT	10/02	EMP ERROR (EMP ERROR)	030	ABG	В	200	19.88	18-Jun	1-0ct	0.00	0.0
CRT	10/02	EMP ERROR (EMP ERROR)	030	ABG	В	100	19.88	18-Jun	1-0ct	0.00	0.0
CRT	10/02	EMP ERROR (EMP ERROR)	030	ABG	В	200	19.88	18-Jun	1-0ct	0.00	0.0
CRT	10/02	EMP ERROR (EMP ERROR)	030	ABG	В	600	19.69	18-Jun	1-0ct	0.00	0.0
CRT	10/02	EMP ERROR (EMP ERROR)	030	ABG	В	100	19.68	18-Jun	1-0ct	0.00	0.0
CRT	10/02	EMP ERROR (EMP ERROR)	030	ABG	В	300	19.68	18-Jun	1-0ct	0.00	0.0
CRT	10/02	EMP ERROR (EMP ERROR)	035	ABG	В	200	19.40	18-Jun	1-0ct	0.00	0.0
CRT	10/02	EMP ERROR (EMP ERROR)	036	ABG	В	400	19.84	18-Jun	1-0ct	0.00	0.0
CRT	10/02	EMP ERROR (EMP ERROR)	036	ABG	В	100	19.82	18-Jun	1-0ct	0.00	0.0
CRT	10/02	EMP ERROR (EMP ERROR)	099	ABG	В	400	19.87	18-Jun	1-0ct	0.00	0.0
CRT	10/02	J L F ASSET MGMT (JLFA\$0.04)	039	ANN	В	62,700	33.27	6-Aug	7-Sep	2508.00	4.0
CRT	10/02	RHO CAPITAL MGMT (RHOCBSPB)	041	ARBA	В	3,900	10.91	n/a	n/a	195.00	5.0
CRT	10/02	GLG PARTNERS (GLGPMAIN L)	034	COST	SS	25 , 000	61.31	n/a	27-Jul	1250.00	5.0
AO,	10/01	COUGAR TRADING (COUGPB MS)	044	JCG	S	6,600	43.54	22-Jun	6-Sep	330.00	5.0
CRT	10/02	MS PRINCIPAL STRATEGIES (MSPSMS)	041	MAR	S	36,300	44.83	n/a	n/a	1815.00	5.0

TOTAL	(AO, CXL	, CRT):	6,098.00
IOIAL	(AC, CAL	i, CRI).	0,098.00

TOTAL (Trade Date): 137,181.42
TOTAL (AO, CXL, CRT): 6,098.00

TOTAL (RUN DATE) / NFS: 143,279.42

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