



## Daily Compliance Activity Report

Trade Date: 10/31/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	AEO	B	20,000	24.15	12-Oct	12-Oct	1,000.00	5.0
COUGAR TRADING	044	AEO	S	15,000	23.92	12-Oct	12-Oct	750.00	5.0
J L F ASSET MGMT	039	AEO	SS	41,000	24.18	12-Oct	12-Oct	1,640.00	4.0
NUMERIC	060	AMD	C	138,700	13.07	n/a	n/a	4,161.00	3.0
COUGAR TRADING	044	ANF	SS	5,000	79.13	2-Oct	25-Oct	250.00	5.0
SARAS CAPITAL	038	AN	B	57,000	17.65	n/a	25-Oct	2,850.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>25,000</b>	<b>22.55</b>	<b>n/a</b>	<b>12-Oct</b>	<b>1,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	ARO	B	15,000	22.74	n/a	12-Oct	750.00	5.0
COUGAR TRADING	044	ARO	S	10,000	22.51	n/a	12-Oct	500.00	5.0
DSG CAPITAL	225	ASD	B	3,000	37.19	31-Oct	31-Oct	150.00	5.0
MAZAMA CAPITAL MGMT.	035	ATW	S	26,000	84.20	n/a	n/a	1,040.00	4.0
HIGHBRIDGE CAPITAL	038	BBT	B	49,000	36.76	n/a	n/a	2,450.00	5.0
<b>XYLEM GLOBAL</b>	<b>091</b>	<b>BMS</b>	<b>B</b>	<b>20,000</b>	<b>28.03</b>	<b>n/a</b>	<b>n/a</b>	<b>1,000.00</b>	<b>5.0</b>
<b>MAGUIRE</b>	<b>090</b>	<b>BONT</b>	<b>B</b>	<b>2,800</b>	<b>17.50</b>	<b>17-Oct</b>	<b>17-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>MKT MAKER</b>	<b>099</b>	<b>BONT</b>	<b>B</b>	<b>50</b>	<b>16.93</b>	<b>17-Oct</b>	<b>17-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>OGORMAN</b>	<b>400</b>	<b>CBK</b>	<b>B</b>	<b>400</b>	<b>13.64</b>	<b>n/a</b>	<b>12-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>MKT MAKER</b>	<b>099</b>	<b>CENT</b>	<b>B</b>	<b>200</b>	<b>8.45</b>	<b>n/a</b>	<b>18-Sep</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	CIU	B	500	100.67	n/a	n/a	25.00	5.0
SAGE ASSET MGMT	012	CMA	SS	82,700	45.95	n/a	n/a	4,135.00	5.0
J.W. SELIGMAN	041	COH	B	87,600	36.22	24-Oct	24-Oct	3,504.00	4.0
DSG CAPITAL	225	COV	S	3,000	41.57	n/a	n/a	150.00	5.0
<b>WHEELER</b>	<b>008</b>	<b>CPNLQ</b>	<b>S</b>	<b>45,000</b>	<b>1.51</b>	<b>n/a</b>	<b>29-Jun</b>	<b>0.00</b>	<b>0.0</b>
NORTHPOINT	030	CROX	S	1,530	73.60	n/a	n/a	61.20	4.0
<b>STRATTON</b>	<b>N21</b>	<b>CSR</b>	<b>B</b>	<b>100</b>	<b>25.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRIVIUM CAP MGMT	251	DELL	B	25,000	30.28	n/a	n/a	1,000.00	4.0
ROBX	302	DUK	S	82,000	19.13	n/a	n/a	2,460.00	3.0
CAPITAL GROWTH MGMT.	241	DVN	B	270,000	92.99	22-Oct	22-Oct	13,500.00	5.0
MAZAMA CAPITAL MGMT.	035	ESS	S	16,200	123.08	n/a	n/a	648.00	4.0
BALYASNY ASSET MGMT	044	FDO	B	10,000	25.67	9-Aug	12-Oct	500.00	5.0
<b>BARR</b>	<b>096</b>	<b>FEIC</b>	<b>B</b>	<b>400</b>	<b>28.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SECOND CURVE	031	GHL	B	3,500	74.18	n/a	n/a	175.00	5.0
STADIA CAPITAL	035	GIL	S	25,000	45.54	19-Sep	19-Sep	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>MAGUIRE</b>	<b>039</b>	<b>GLW</b>	<b>S</b>	<b>300</b>	<b>24.07</b>	<b>n/a</b>	<b>24-Oct</b>	<b>0.00</b>	<b>0.0</b>
TRELLUS PARTNERS LP	028	GM	SS	25,000	38.51	n/a	26-Oct	1,250.00	5.0
NORTHPOINT	030	GPX	B	5,100	11.02	n/a	n/a	204.00	4.0
DSG CAPITAL	225	GR	B	2,000	69.40	25-Oct	25-Oct	100.00	5.0
J L F ASSET MGMT	039	GYMB	B	35,500	34.54	10-Aug	18-Oct	1,420.00	4.0
SARAS CAPITAL	038	IP	SS	65,000	36.71	n/a	18-Oct	3,250.00	5.0
<b>NOLAN</b>	<b>067</b>	<b>IVZ</b>	<b>S</b>	<b>30</b>	<b>30.52</b>	<b>8-Oct</b>	<b>22-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>S</b>	<b>20,000</b>	<b>36.99</b>	<b>24-Oct</b>	<b>24-Oct</b>	<b>800.00</b>	<b>4.0</b>
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>JCP</b>	<b>B</b>	<b>10,000</b>	<b>56.25</b>	<b>12-Oct</b>	<b>12-Oct</b>	<b>500.00</b>	<b>5.0</b>
<b>MAGUIRE</b>	<b>090</b>	<b>JCP</b>	<b>B</b>	<b>2,000</b>	<b>55.92</b>	<b>12-Oct</b>	<b>12-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>WHEELER</b>	<b>008</b>	<b>JNJ</b>	<b>B</b>	<b>3,000</b>	<b>65.10</b>	<b>n/a</b>	<b>22-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>SS</b>	<b>25,000</b>	<b>21.72</b>	<b>n/a</b>	<b>23-Oct</b>	<b>1,000.00</b>	<b>4.0</b>
<b>BUCK</b>	<b>015</b>	<b>JWN</b>	<b>C</b>	<b>500</b>	<b>38.67</b>	<b>12-Oct</b>	<b>12-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>MAGUIRE</b>	<b>039</b>	<b>KEG</b>	<b>S</b>	<b>300</b>	<b>13.73</b>	<b>29-Oct</b>	<b>29-Oct</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAPITAL	038	KEY	B	55,000	28.43	n/a	n/a	2,750.00	5.0
VARDON PARTNERS	035	KMX	B	75,000	20.72	n/a	10-Jan	3,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
APEX CAPITAL MGMT.	091	KO	B	4,800	61.61	n/a	n/a	240.00	5.0
APEX CAPITAL MGMT.	091	KSS	B	6,400	55.03	27-Sep	12-Oct	320.00	5.0
COUGAR TRADING	044	KSS	B	5,000	55.24	27-Sep	12-Oct	250.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	55.01	27-Sep	12-Oct	250.00	5.0
THE JAY GOLDMAN	034	KSS	B	10,000	55.05	27-Sep	12-Oct	400.00	4.0
CHARTER OAK	033	LEH	B	48,305	61.80	12-Jun	16-Oct	2,415.25	5.0
SUNOVA CAPITAL	031	LM	B	40,000	82.77	12-Oct	24-Oct	2,000.00	5.0
APEX CAPITAL MGMT.	091	LOW	B	4,100	26.77	n/a	27-Jul	205.00	5.0
MS PRINCIPAL STRATEGIES	041	MAR	S	95,000	40.44	n/a	n/a	4,750.00	5.0
APEX CAPITAL MGMT.	091	MAT	B	19,700	20.90	n/a	n/a	985.00	5.0
SINCLAIR	031	MERAV	B	15	2.50	n/a	n/a	0.00	0.0
SINCLAIR	031	MERKU	S	5	1.50	n/a	n/a	0.00	0.0
CHILTON CAPITAL MGMT.	036	MFE	B	63,991	40.73	n/a	3-Apr	2,559.64	4.0
MS PRINCIPAL STRATEGIES	041	MWAB	S	29,100	10.58	n/a	n/a	1,455.00	5.0
MS PRINCIPAL STRATEGIES	041	MWA	B	8,200	11.64	n/a	n/a	410.00	5.0
PRINCIPLE CAPITAL	040	MW	S	25,300	41.89	n/a	n/a	1,012.00	4.0
COUGAR TRADING	044	M	B	10,000	31.92	24-Sep	12-Oct	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAGUIRE	090	M	B	2,500	31.82	24-Sep	12-Oct	0.00	0.0
BARR	096	NGI	B	9,950	5.11	n/a	n/a	0.00	0.0
BUCK	015	NMXXB	S	10	2.45	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	091	ODP	B	6,900	18.24	n/a	27-Jul	345.00	5.0
BUCK	015	ONXX	S	800	45.93	n/a	n/a	0.00	0.0
BARR	096	PDFS	B	1,500	7.89	n/a	n/a	0.00	0.0
INDEPENDENCE INV	039	PG	B	5,000	69.49	25-Oct	31-Oct	200.00	4.0
TRELLUS PARTNERS LP	028	PLCE	B	51,600	25.57	26-Sep	18-Oct	2,580.00	5.0
MKT MAKER	099	PLCE	B	172	25.46	26-Sep	18-Oct	0.00	0.0
CHARTER OAK	033	PPO	S	48,305	16.76	n/a	n/a	2,415.25	5.0
WENTWORTH HAUSER VIOLICH	033	PRFT	B	39,225	18.80	n/a	n/a	1,961.25	5.0
BUCK CAPITAL MGMT	001	PSS	S	100,000	18.47	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	46.55	13-Aug	29-Aug	400.00	4.0
COUGAR TRADING	044	PVH	B	5,000	47.17	13-Aug	29-Aug	250.00	5.0
TRUST CO/COWEN/CALF.	040	Q	B	3,204,500	7.13	n/a	n/a	128,180.00	4.0
INDEPENDENCE INV	039	RCL	B	4,100	42.86	23-Oct	23-Oct	164.00	4.0
BUCK CAPITAL MGMT	001	RL	B	155,000	69.13	31-Oct	31-Oct	6,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND	048	RL	SS	10,830	68.64	31-Oct	31-Oct	433.20	4.0
CANTILLON CAPITAL	040	R	SS	304,000	47.86	n/a	n/a	15,200.00	5.0
NEUBERGER BERMAN	036	SKS	S	53,400	21.03	n/a	n/a	2,670.00	5.0
BELMONT GLOBAL ADV	248	SMBL	B	30,000	12.19	n/a	n/a	1,500.00	5.0
WHITE PINE CAPITAL	030	SMBL	B	2,325	11.94	n/a	n/a	116.25	5.0
<b>MAGUIRE</b>	<b>039</b>	<b>SMG</b>	<b>SS</b>	<b>200</b>	<b>45.96</b>	<b>9-Jul</b>	<b>18-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANSKY</b>	<b>036</b>	<b>SWN</b>	<b>B</b>	<b>200</b>	<b>51.07</b>	<b>n/a</b>	<b>1-Oct</b>	<b>0.00</b>	<b>0.0</b>
INDEPENDENCE INV	039	SYMC	B	5,300	18.68	n/a	3-Apr	212.00	4.0
<b>MKT MAKER</b>	<b>099</b>	<b>TAXI</b>	<b>S</b>	<b>1</b>	<b>10.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MKT MAKER</b>	<b>099</b>	<b>TRMP</b>	<b>B</b>	<b>13</b>	<b>8.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CRAMER ROSENTHAL/SCOTT	012	TWB	B	22,700	30.62	2-Oct	2-Oct	908.00	4.0
WHITE PINE CAPITAL	030	UNT	B	1,000	47.02	n/a	5-Oct	50.00	5.0
INDEPENDENCE INV	039	UPS	B	4,200	75.05	n/a	n/a	168.00	4.0
HIGHBRIDGE CAPITAL	038	USB	B	66,000	33.13	n/a	n/a	3,300.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>USTR</b>	<b>B</b>	<b>100</b>	<b>57.38</b>	<b>n/a</b>	<b>27-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>MKT MAKER</b>	<b>099</b>	<b>USTR</b>	<b>S</b>	<b>100</b>	<b>59.44</b>	<b>n/a</b>	<b>27-Jul</b>	<b>0.00</b>	<b>0.0</b>
ELM RIDGE ADVISORS	044	VC	S	60,000	6.16	n/a	25-Oct	1,800.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	WAT	S	15,440	76.19	n/a	n/a	694.80	4.5
INDEPENDENCE INV	039	WB	B	4,700	46.18	n/a	n/a	188.00	4.0
BALYASNY ASSET MGMT	044	WDR	S	30,000	32.91	23-Oct	23-Oct	1,500.00	5.0
WHITE PINE CAPITAL	030	WDR	B	1,125	32.86	23-Oct	23-Oct	56.25	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>WDR</b>	<b>C</b>	<b>200</b>	<b>32.75</b>	<b>23-Oct</b>	<b>23-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>STRATTON</b>	<b>N21</b>	<b>WRVAF</b>	<b>B</b>	<b>2</b>	<b>13.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MORRISON & FRASIER	040	WTS	S	42,500	28.48	n/a	n/a	1,700.00	4.0
<b>WHEELER</b>	<b>008</b>	<b>WVLAP</b>	<b>B</b>	<b>10</b>	<b>22.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>XYLEM GLOBAL</b>	<b>091</b>	<b>WY</b>	<b>S</b>	<b>40,000</b>	<b>75.36</b>	<b>21-Sep</b>	<b>18-Oct</b>	<b>2,000.00</b>	<b>5.0</b>
INDEPENDENCE INV	039	XLNX	B	3,200	24.28	n/a	n/a	128.00	4.0
NORTHPOINT	030	ZINC	B	76,400	22.58	n/a	n/a	3,056.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ZQK</b>	<b>S</b>	<b>100,000</b>	<b>13.45</b>	<b>n/a</b>	<b>31-Oct</b>	<b>4,000.00</b>	<b>4.0</b>
<b>TOTAL (Trade Date):</b>								<b>263,851.09</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/30	DENVER INST. ADV (DENV352)	046	ABK	S	800	39.95	n/a	n/a	32.00 4.0
AO,	10/30	DENVER INST. ADV (DENV568)	046	ABK	S	200	39.95	n/a	n/a	8.00 4.0
AO,	10/30	DENVER INST. ADV (DENV567)	046	ABK	S	1,100	39.95	n/a	n/a	44.00 4.0
AO,	10/30	DENVER INST. ADV (DENV966)	046	ABK	S	4,300	39.95	n/a	n/a	172.00 4.0
AO,	10/30	DENVER INST. ADV (DENV954)	046	ABK	S	1,700	39.95	n/a	n/a	68.00 4.0
AO,	10/30	DENVER INST. ADV (DENV92)	046	ABK	S	7,200	39.95	n/a	n/a	288.00 4.0
AO,	10/30	DENVER INST. ADV (DENV84)	046	ABK	S	9,100	39.95	n/a	n/a	364.00 4.0
AO,	10/30	DENVER INST. ADV (DENV70)	046	ABK	S	27,000	39.95	n/a	n/a	1080.00 4.0
AO,	10/30	DENVER INST. ADV (DENV7)	046	ABK	S	14,700	39.95	n/a	n/a	588.00 4.0
AO,	10/30	DENVER INST. ADV (DENV566)	046	ABK	S	1,800	39.95	n/a	n/a	72.00 4.0
AO,	10/30	DENVER INST. ADV (DENV455)	046	ABK	S	68,200	39.95	n/a	n/a	2728.00 4.0
AO,	10/30	DENVER INST. ADV (DENV454)	046	ABK	S	1,400	39.95	n/a	n/a	56.00 4.0
AO,	10/30	DENVER INST. ADV (DENV412)	046	ABK	S	1,500	39.95	n/a	n/a	60.00 4.0
AO,	10/30	DENVER INST. ADV (DENV411)	046	ABK	S	9,200	39.95	n/a	n/a	368.00 4.0
AO,	10/30	DENVER INST. ADV (DENV410)	046	ABK	S	14,000	39.95	n/a	n/a	560.00 4.0
AO,	10/30	DENVER INST. ADV (DENV401)	046	ABK	S	4,100	39.95	n/a	n/a	164.00 4.0
AO,	10/30	DENVER INST. ADV (DENV379)	046	ABK	S	500	39.95	n/a	n/a	20.00 4.0
AO,	10/30	DENVER INST. ADV (DENV314)	046	ABK	S	4,200	39.95	n/a	n/a	168.00 4.0
AO,	10/30	DENVER INST. ADV (DENV267)	046	ABK	S	2,000	39.95	n/a	n/a	80.00 4.0
AO,	10/30	DENVER INST. ADV (DENV224)	046	ABK	S	2,200	39.95	n/a	n/a	88.00 4.0
AO,	10/30	DENVER INST. ADV (DENV192)	046	ABK	S	30,400	39.95	n/a	n/a	1216.00 4.0
AO,	10/30	DENVER INST. ADV (DENV185)	046	ABK	S	900	39.95	n/a	n/a	36.00 4.0
AO,	10/30	DENVER INST. ADV (DENV15)	046	ABK	S	4,500	39.95	n/a	n/a	180.00 4.0
AO,	10/30	DENVER INST. ADV (DENV375)	046	ABK	S	3,000	39.95	n/a	n/a	120.00 4.0
AO,CRT	10/24	CATTANI (CATTANI)	041	C	B	1,000	41.99	n/a	16-Oct	0.00 0.0
AO,CXL	10/24	CATTANI (CATTANI)	041	C	B	1,000	41.99	n/a	16-Oct	0.00 0.0



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/26	CATTANI (CATTANI)	041	C	S	1,000	42.36	n/a	16-Oct	0.00 0.0
AO,CXL	10/26	CATTANI (CATTANI)	041	C	S	1,000	42.36	n/a	16-Oct	0.00 0.0
AO,	10/30	MERRILL ASSET (MERRBVA_UT)	032	EQ	S	3,300	54.68	n/a	n/a	148.50 4.5
AO,CXL	10/30	MERRILL ASSET (MERR2800)	032	EQ	S	3,300	54.68	n/a	n/a	148.50 4.5
AO,	10/30	HIGHBRIDGE CAPITAL (HIGBCITI)	038	FL	SS	108,570	14.76	22-Aug	4-Sep	5428.50 5.0
AO,CXL	10/30	HIGHBRIDGE CAPITAL (HIGBNEW)	038	FL	SS	108,570	14.76	22-Aug	4-Sep	5428.50 5.0
AO,	10/30	DALTON GREINER (DALT358)	012	IVZ	S	3,200	30.13	8-Oct	22-Oct	160.00 5.0
AO,	10/30	DALTON GREINER (DALT356)	012	IVZ	S	1,300	30.13	8-Oct	22-Oct	65.00 5.0
AO,	10/30	DALTON GREINER (DALT353)	012	IVZ	S	920	30.13	8-Oct	22-Oct	46.00 5.0
AO,	10/30	DALTON GREINER (DALT312)	012	IVZ	S	220	30.13	8-Oct	22-Oct	11.00 5.0
AO,	10/30	DALTON GREINER (DALT321)	012	IVZ	S	4,460	30.13	8-Oct	22-Oct	223.00 5.0
AO,	10/30	DALTON GREINER (DALT314)	012	IVZ	S	23,130	30.13	8-Oct	22-Oct	1156.50 5.0
AO,	10/30	DALTON GREINER (DALT95)	012	IVZ	S	3,260	30.13	8-Oct	22-Oct	163.00 5.0
AO,	10/30	DALTON GREINER (DALT74)	012	IVZ	S	10,150	30.13	8-Oct	22-Oct	507.50 5.0
AO,	10/30	DALTON GREINER (DALT30)	012	IVZ	S	40,370	30.13	8-Oct	22-Oct	2018.50 5.0
AO,	10/30	DALTON GREINER (DALT18)	012	IVZ	S	390	30.13	8-Oct	22-Oct	19.50 5.0
AO,	10/30	DALTON GREINER (DALT7)	012	IVZ	S	10,430	30.13	8-Oct	22-Oct	521.50 5.0
AO,	10/30	NUMERIC (NUMIDB)	060	PMI	B	10,600	17.20	n/a	n/a	318.00 3.0
AO,	10/30	NUMERIC (NUMIPW)	060	PMI	B	900	17.20	n/a	n/a	27.00 3.0
AO,	10/30	NUMERIC (NUMIBS)	060	PMI	B	68,800	17.20	n/a	n/a	2064.00 3.0
AO,	10/30	NUMERIC (NUMISANVAL)	060	PMI	B	3,800	17.20	n/a	n/a	114.00 3.0
AO,	10/30	NUMERIC (NUMIMORGAN)	060	PMI	B	45,900	17.20	n/a	n/a	1377.00 3.0
AO,CXL	10/30	STONERIDGE INV PART (STOR079)	033	SSI	B	2,525	17.59	3-Aug	12-Oct	126.25 5.0
AO,CRT	10/30	STONERIDGE INV PART (STOR070)	033	SSI	B	2,525	17.59	3-Aug	12-Oct	126.25 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>17,351.50</b>

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TOTAL (Trade Date):	263,851.09
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TOTAL (AO, CXL, CRT):	17,351.50
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>281,202.59</b>
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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