



Daily Compliance Activity Report

Trade Date: 10/10/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HUNTER GLOBAL INVESTOR	067	AAPL	SS	20,000	95.31	n/a	n/a	800.00	4.0
LEDDY	035	AAPL	S	200	92.11	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	AEO	B	100,000	9.93	n/a	10-Oct	4,000.00	4.0
JP MORGAN VENTURES	046	AEO	SS	35,000	10.09	n/a	10-Oct	1,750.00	5.0
MERRILL ASSET	032	ANF	B	11,000	25.94	7-Aug	10-Oct	495.00	4.5
BRENCOURT	028	AN	B	113,750	8.12	25-Jul	28-Jul	5,687.50	5.0
SINCLAIR	031	APCKQ	S	5	0.05	n/a	n/a	0.00	0.0
EMP ERROR	099	APC	B	1,000	27.45	n/a	2-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	ARO	S	60,000	25.51	n/a	10-Oct	2,400.00	4.0
MAGUIRE	039	BACAF	B	10	1.75	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	BAC	B	75,000	20.03	n/a	9-Oct	3,000.00	4.0
BUCK	015	BAC	SS	4,000	20.40	n/a	9-Oct	0.00	0.0
HUNTER GLOBAL INVESTOR	067	BAX	B	36,400	54.81	n/a	22-Apr	1,820.00	5.0
HUNTER GLOBAL INVESTOR	067	BCR	S	75,000	79.27	n/a	22-Apr	3,750.00	5.0
BUCK CAPITAL MGMT	001	BIG	SS	20,000	22.36	29-May	9-Oct	800.00	4.0
BUCK CAPITAL MGMT	001	BKE	B	10,000	46.59	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NATIONAL BK OF CAN	031	BOH	S	4,800	44.06	n/a	n/a	192.00	4.0
MILLER	025	BX	S	225	8.30	n/a	n/a	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	CBE	C	25,400	31.26	n/a	3-Oct	1,016.00	4.0
ROYCE TRADING	216	CEM	B	10,000	1.91	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT	001	CHS	S	100,000	3.65	8-Aug	10-Oct	3,000.00	3.0
CENTURION GLOBAL MGMT LL	041	CMCSA	B	15,000	14.58	n/a	4-Jan	450.00	3.0
COUGAR TRADING	044	CMG	B	2,000	48.85	12-Sep	12-Sep	100.00	5.0
OGORMAN	046	CMOBB	S	10	1.15	n/a	n/a	0.00	0.0
OGORMAN	046	CMOBV	B	10	0.40	n/a	n/a	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	CNW	B	40,000	37.79	n/a	n/a	1,600.00	4.0
HUNTER GLOBAL INVESTOR	067	CSCO	B	200,000	16.50	n/a	22-Mar	8,000.00	4.0
HIGHFIELDS CAP MGMT	039	CVS	S	250,000	28.60	n/a	n/a	10,000.00	4.0
SCUDDER HEDGE	034	CVS	S	3,000	30.14	n/a	n/a	150.00	5.0
DIAMONDBACK CAP MGMT	232	C	C	25,000	13.35	15-Sep	9-Oct	1,250.00	5.0
NATIONAL BK OF CAN	031	C	S	35,000	14.04	15-Sep	9-Oct	1,400.00	4.0
AMATURO	018	DAVKI	B	30	6.30	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AMATURO	018	DAVWU	S	30	16.20	n/a	n/a	0.00	0.0
OGORMAN	046	DDM	B	500	30.05	n/a	n/a	0.00	0.0
CATAPULT	040	DE	S	9,000	34.87	14-Aug	14-Aug	450.00	5.0
MAGUIRE	039	DIAKV	B	15	1.28	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	DIA	B	100,000	83.80	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	DIS	SS	20,000	22.33	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	DKS	SS	25,000	15.97	7-Oct	7-Oct	1,000.00	4.0
IRIDIAN ASSET MGMT.	036	DRC	B	14,050	20.92	n/a	n/a	702.50	5.0
BUCK CAPITAL MGMT	001	DV	SS	20,000	43.19	n/a	n/a	800.00	4.0
OGORMAN	046	DXD	S	300	104.00	n/a	n/a	0.00	0.0
EFSTATHIOU	044	EFR	S	1,000	8.06	n/a	n/a	0.00	0.0
COLUMBIA PARTNERS	028	ETH	SS	14,536	22.35	n/a	n/a	581.44	4.0
PILOT ADV	038	FDO	B	8,000	23.33	23-Jul	9-Oct	320.00	4.0
MERRILL ASSET	032	FHN	S	2,000	8.01	n/a	n/a	80.00	4.0
ADAGE CAPITAL MGMT	030	FL	B	100,000	12.47	7-Oct	7-Oct	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	FL	S	150,000	12.58	7-Oct	7-Oct	6,000.00	4.0
SOROS	036	FL	B	160,000	12.62	7-Oct	7-Oct	6,400.00	4.0
BEAR STEARNS ASSET MGMT.	033	FO	C	20,000	42.35	n/a	n/a	800.00	4.0
TRELLUS PARTNERS LP	028	F	C	356,000	2.19	8-Oct	8-Oct	3,560.00	1.0
LEDDY	035	F	C	1,200	2.15	8-Oct	8-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	26.13	n/a	10-Jan	400.00	4.0
BUCK CAPITAL MGMT	001	GES	B	60,000	26.81	n/a	n/a	2,400.00	4.0
SOROS	036	GE	B	485,000	19.12	n/a	n/a	19,400.00	4.0
LEDDY	035	GE	B	600	19.73	n/a	n/a	0.00	0.0
EFSTATHIOU	044	GE	B	500	20.56	n/a	n/a	0.00	0.0
SINCLAIR	031	GLDJM	B	50	2.10	n/a	n/a	0.00	0.0
SINCLAIR	031	GLDJM	S	50	1.05	n/a	n/a	0.00	0.0
HART	056	GMWJ	S	10	3.50	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	GPI	B	25,000	12.88	10-Jun	30-Jul	1,250.00	5.0
TRELLUS PARTNERS LP	028	GPI	C	200,000	12.00	10-Jun	30-Jul	10,000.00	5.0
TRUSTCO/SUNTRUST	040	GPI	B	20,600	11.67	10-Jun	30-Jul	659.20	3.2
NATIONAL BK OF CAN	031	GS	B	5,000	93.69	15-Sep	24-Sep	200.00	4.0
NATIONAL BK OF CAN	031	GS	S	2,500	94.02	15-Sep	24-Sep	100.00	4.0
BUCK	015	GS	SS	500	86.01	15-Sep	24-Sep	0.00	0.0
LEDDY	035	GS	B	100	92.77	15-Sep	24-Sep	0.00	0.0
HOLDEN CAPITAL MGMT	035	HBI	B	17,500	16.08	n/a	n/a	875.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HOLDEN CAPITAL MGMT	035	HBI	C	17,500	16.08	n/a	n/a	875.00	5.0
N STRATTON	014	HEMGF	B	500	1.45	n/a	n/a	0.00	0.0
CENTURION GLOBAL MGMT LL	041	IBM	S	7,500	85.94	n/a	n/a	225.00	3.0
PILOT ADV	038	IBM	B	3,500	88.26	n/a	n/a	140.00	4.0
MERRILL ASSET	032	ITG	S	49,800	21.63	n/a	n/a	2,241.00	4.5
FRONTPOINT CHRIS C	041	ITW	B	13,000	31.33	12-Aug	12-Aug	520.00	4.0
EFSTATHIOU	044	IVZ	B	500	13.97	6-Oct	9-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	JCP	B	50,000	23.47	n/a	10-Oct	2,000.00	4.0
HUNTER GLOBAL INVESTOR	067	JNJ	B	36,000	55.72	n/a	22-Apr	1,800.00	5.0
PZENA INV ADV	044	KFT	S	300	26.68	n/a	n/a	10.50	3.5
BUCK CAPITAL MGMT	001	KIM	S	12,000	25.77	n/a	n/a	480.00	4.0
MS PRINCIPAL STRATEGIES	041	KOG	S	232,300	0.65	n/a	n/a	4,646.00	2.0
BUCK CAPITAL MGMT	001	KSS	B	30,000	32.06	n/a	10-Oct	1,200.00	4.0
HUNTER GLOBAL INVESTOR	067	LO	B	36,000	56.29	n/a	n/a	1,800.00	5.0
SCOPUS FUND	041	LPX	B	100,000	4.69	n/a	11-Sep	5,000.00	5.0
SOLARIS INV MGMT	029	MAS	S	50,000	13.26	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HUNTER GLOBAL INVESTOR	067	MA	B	20,500	145.95	n/a	19-Sep	1,025.00	5.0
FRONTPOINT CHRIS C	041	MCD	SS	5,200	49.62	9-Sep	25-Sep	208.00	4.0
BUCK	015	MET	SS	500	29.40	n/a	n/a	0.00	0.0
PRINCIPLE CAPITAL	040	MHK	SS	24,400	49.12	n/a	n/a	976.00	4.0
KERN	050	MSVH	B	20	0.85	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	MS	S	5,000	10.70	15-Sep	22-Sep	200.00	4.0
OGORMAN	046	MS	SS	3,000	8.22	15-Sep	22-Sep	0.00	0.0
LISTED ERR	099	MS	B	2,500	10.79	15-Sep	22-Sep	0.00	0.0
LISTED ERR	099	MS	S	2,500	10.77	15-Sep	22-Sep	0.00	0.0
LEDDY	035	MWO	B	1,400	5.35	n/a	n/a	0.00	0.0
SOLARIS INV MGMT	029	MYL	S	130,000	6.77	30-May	10-Oct	6,500.00	5.0
BUCK CAPITAL MGMT	001	M	S	198,400	10.21	12-Aug	10-Oct	7,936.00	4.0
SLS CAPITAL LLC	224	M	B	300,000	10.44	12-Aug	10-Oct	11,500.00	3.5
THE JAY GOLDMAN	034	M	B	81,000	10.19	12-Aug	10-Oct	3,240.00	4.0
NATIONAL BK OF CAN	031	NCC	S	100,000	2.05	n/a	n/a	2,000.00	2.0
BUCK CAPITAL MGMT	001	OXM	SS	50,000	15.29	n/a	n/a	2,000.00	4.0
MILLER	025	PBR	S	100	26.06	n/a	n/a	0.00	0.0
MILLER	025	PCAR	B	15	29.36	3-Oct	3-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	PCL	B	500	37.33	n/a	9-Oct	0.00	0.0
AMBER CAPITAL	046	PETM	B	250,000	20.05	n/a	n/a	10,000.00	4.0
HOLDEN CAPITAL MGMT	035	PII	B	7,000	35.09	n/a	n/a	350.00	5.0
HOLDEN CAPITAL MGMT	035	PII	C	3,000	35.09	n/a	n/a	150.00	5.0
IRIDIAN ASSET MGMT.	036	RDC	S	14,940	17.17	n/a	n/a	747.00	5.0
MILLER	025	RIMM	B	10	55.45	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	SS	25,000	48.74	n/a	8-Oct	1,000.00	4.0
NOMURA CAPITAL	045	RT	B	20,000	3.00	n/a	n/a	600.00	3.0
MCCARTAN	028	SDS	S	100	121.31	n/a	n/a	0.00	0.0
OGORMAN	046	SDS	S	200	123.00	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	SIVB	S	10,000	45.95	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	SKX	B	30,000	13.15	n/a	13-Mar	1,200.00	4.0
LEDDY	035	SLB	B	300	58.07	n/a	n/a	0.00	0.0
PERRY PARTNERS	041	SNDK	S	100,000	15.65	n/a	n/a	3,000.00	3.0
KAICHER	064	SPNG	S	63,337	0.02	n/a	n/a	0.00	0.0
KNOTT PARTNERS	044	SSI	B	25,000	9.76	n/a	10-Oct	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LUCHANSKY1	036	SSO	S	500	26.52	n/a	n/a	0.00	0.0
OGORMAN	046	SSO	B	400	26.08	n/a	n/a	0.00	0.0
KERN	050	SSO	B	1,000	29.54	n/a	n/a	0.00	0.0
GAULT	063	SSO	B	3,000	27.02	n/a	n/a	0.00	0.0
DEMARTINI	065	SSO	B	500	26.07	n/a	n/a	0.00	0.0
BUCK	015	STI	C	500	34.59	n/a	n/a	0.00	0.0
MILLRACE FUND LP	028	SUP	B	15,000	13.24	25-Jul	8-Aug	600.00	4.0
TRELLUS PARTNERS LP	028	SUP	C	50,000	13.95	25-Jul	8-Aug	2,500.00	5.0
SINCLAIR	031	SWGKA	S	20	1.60	n/a	n/a	0.00	0.0
SINCLAIR	031	SZCXB	B	20	5.40	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	THI	SS	20,000	23.31	n/a	24-Apr	800.00	4.0
PRINCIPLE CAPITAL	040	TIF	SS	39,200	28.42	n/a	10-Oct	1,176.00	3.0
BUCK CAPITAL MGMT	001	TJX	B	100,000	26.54	11-Aug	10-Oct	4,000.00	4.0
HUNTER GLOBAL INVESTOR	067	TMO	B	50,000	40.07	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	TPX	SS	50,000	8.39	n/a	n/a	2,000.00	4.0
RAIL-SPLITTER	031	TROW	SS	27,300	39.27	19-Sep	9-Oct	1,365.00	5.0
OGORMAN	046	TROW	C	300	35.63	19-Sep	9-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	TWB	B	40,000	8.27	n/a	1-Oct	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DECADE CAPITAL PARTNERS	040	USB	B	25,000	27.94	n/a	n/a	1,250.00	5.0
DECADE CAPITAL PARTNERS	040	USB	S	25,000	30.00	n/a	n/a	1,250.00	5.0
WHEELER	008	UXI	B	4,000	24.90	n/a	n/a	0.00	0.0
LED DY	035	UYG	B	1,200	8.20	n/a	n/a	0.00	0.0
OGORMAN	046	UYG	B	3,000	9.20	n/a	n/a	0.00	0.0
JMP ASSET MGMT	210	VLCM	B	5,700	11.99	n/a	n/a	285.00	5.0
JMP ASSET MGMT	210	WAG	B	3,100	22.49	n/a	n/a	155.00	5.0
CAXTON PART	040	WFC	B	68,341	27.52	n/a	n/a	2,391.94	3.5
ROTHSCHILD ASSET	040	WMI	B	5,209	24.89	n/a	n/a	234.42	4.5
BUCK CAPITAL MGMT	001	WMT	B	150,000	51.80	10-Oct	10-Oct	6,000.00	4.0
CAXTON PART	040	WMT	B	68,341	49.93	10-Oct	10-Oct	2,391.94	3.5
OGORMAN	046	WMT	C	500	51.56	10-Oct	10-Oct	0.00	0.0
TOTAL (Trade Date) :								225,857.44	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	10/09	CHRISTENSE (CHRISTENSE)	022	APC	S	1,000	31.35	n/a	2-Oct	0.00	0.0
AO,CRT	10/09	EMP ERROR (EMP ERROR)	098	APC	S	1,000	31.35	n/a	2-Oct	0.00	0.0
AO,CXL	10/09	EPOCH INV MGMT (EPOCELMIRA)	030	BEN	B	510	66.04	9-Oct	9-Oct	20.40	4.0
AO,	10/09	EPOCH INV MGMT (EPOCELMIRA)	030	BEN	B	510	66.04	9-Oct	9-Oct	20.40	4.0
AO,CXL	10/09	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	CHS	S	50,000	4.04	8-Aug	10-Oct	2000.00	4.0
AO,CRT	10/09	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	CHS	S	50,000	4.04	8-Aug	10-Oct	1500.00	3.0
AO,	10/09	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	DAI	SS	45,300	33.47	n/a	n/a	1812.00	4.0
AO,	10/09	MKT MAKER (MKT MAKER)	099	DISH	S	100	18.57	n/a	4-Jan	0.00	0.0
AO,	10/09	BULL PATH CAPITAL (BULLJPHQ)	044	DRI	S	2,240	22.15	26-Aug	18-Sep	112.00	5.0
AO,CXL	10/09	BULL PATH CAPITAL (BULLPB BOA)	044	DRI	S	23,516	22.15	26-Aug	18-Sep	1175.80	5.0
AO,	10/09	BULL PATH CAPITAL (BULLPB BOA)	044	DRI	S	25,560	22.15	26-Aug	18-Sep	1278.00	5.0
AO,	10/09	MKT MAKER (MKT MAKER)	099	ENDP	S	105	16.42	1-Aug	10-Oct	0.00	0.0
AO,	10/09	MKT MAKER (MKT MAKER)	099	GYMB	S	200	28.95	11-Jul	10-Oct	0.00	0.0
AO,	10/09	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	JCI	SS	85,516	24.48	3-Oct	3-Oct	3420.64	4.0
AO,	10/09	MKT MAKER (MKT MAKER)	099	JNPR	S	100	17.77	n/a	22-Mar	0.00	0.0
AO,	10/09	FRIESS MGMT (FRISARH1LC)	033	JNPR	S	5,000	17.41	n/a	22-Mar	200.00	4.0
AO,	10/09	FRIESS MGMT (FRISARH2LC)	033	JNPR	S	5,600	17.41	n/a	22-Mar	224.00	4.0
AO,CXL	10/09	FRIESS MGMT (FRISARCH 1)	033	JNPR	S	5,000	17.41	n/a	22-Mar	200.00	4.0
AO,CXL	10/09	FRIESS MGMT (FRISARCH 2)	033	JNPR	S	5,600	17.41	n/a	22-Mar	224.00	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/08	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	M	S	60,000	13.31	12-Aug	10-Oct	2400.00 4.0
AO,CRT	10/08	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	M	S	59,900	13.31	12-Aug	10-Oct	2396.00 4.0
AO,	10/08	BUCK CAPITAL MGMT (BUCKGIL)	001	M	S	100	13.31	12-Aug	10-Oct	4.00 4.0
CRT	10/10	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	M	S	197,800	10.21	12-Aug	10-Oct	7912.00 4.0
AO,	10/09	THE BOSTON COMPANY (BOST1174)	098	ROST	B	1,950	29.93	n/a	n/a	78.00 4.0
AO,	10/09	THE BOSTON COMPANY (BOSTLA313)	098	ROST	B	430	29.93	n/a	n/a	17.20 4.0
AO,	10/09	THE BOSTON COMPANY (BOST480)	098	ROST	B	910	29.93	n/a	n/a	36.40 4.0
AO,	10/09	THE BOSTON COMPANY (BOST654)	098	ROST	B	230	29.93	n/a	n/a	9.20 4.0
AO,	10/09	THE BOSTON COMPANY (BOST665)	098	ROST	B	350	29.93	n/a	n/a	14.00 4.0
AO,	10/09	THE BOSTON COMPANY (BOST488)	098	ROST	B	610	29.93	n/a	n/a	24.40 4.0
AO,	10/09	THE BOSTON COMPANY (BOST932)	098	ROST	B	490	29.93	n/a	n/a	19.60 4.0
AO,	10/09	THE BOSTON COMPANY (BOST690)	098	ROST	B	40	29.93	n/a	n/a	1.60 4.0
AO,	10/09	THE BOSTON COMPANY (BOST498)	098	ROST	B	30	29.93	n/a	n/a	1.20 4.0
AO,	10/09	THE BOSTON COMPANY (BOST528)	098	ROST	B	260	29.93	n/a	n/a	10.40 4.0
AO,	10/09	THE BOSTON COMPANY (BOST545)	098	ROST	B	380	29.93	n/a	n/a	15.20 4.0
AO,	10/09	THE BOSTON COMPANY (BOST642)	098	ROST	B	330	29.93	n/a	n/a	13.20 4.0
AO,	10/09	THE BOSTON COMPANY (BOST609)	098	ROST	B	440	29.93	n/a	n/a	17.60 4.0
AO,	10/09	THE BOSTON COMPANY (BOST684)	098	ROST	B	2,440	29.93	n/a	n/a	97.60 4.0
AO,	10/09	THE BOSTON COMPANY (BOST691)	098	ROST	B	30	29.93	n/a	n/a	1.20 4.0
AO,	10/09	THE BOSTON COMPANY (BOST715)	098	ROST	B	11,140	29.93	n/a	n/a	445.60 4.0
AO,	10/09	THE BOSTON COMPANY (BOST820)	098	ROST	B	110	29.93	n/a	n/a	4.40 4.0
AO,	10/09	THE BOSTON COMPANY (BOST1175)	098	ROST	B	320	29.93	n/a	n/a	12.80 4.0
AO,	10/09	THE BOSTON COMPANY (BOST1179)	098	ROST	B	500	29.93	n/a	n/a	20.00 4.0
AO,	10/09	THE BOSTON COMPANY (BOST679)	098	ROST	B	470	29.93	n/a	n/a	18.80 4.0
AO,	10/09	THE BOSTON COMPANY (BOST1055)	098	ROST	B	750	29.93	n/a	n/a	30.00 4.0
AO,	10/09	THE BOSTON COMPANY (BOST404)	098	ROST	B	240	29.93	n/a	n/a	9.60 4.0
AO,	10/09	THE BOSTON COMPANY (BOST808)	098	ROST	B	6,380	29.93	n/a	n/a	255.20 4.0
AO,	10/09	THE BOSTON COMPANY (BOST462)	098	ROST	B	260	29.93	n/a	n/a	10.40 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	10/09	THE BOSTON COMPANY (BOST1100)	098	ROST	B	1,610	29.93	n/a	n/a	64.40	4.0
AO,CRT	10/09	LUCHANSKY1 (LUCHANSKY1)	036	SSO	S	500	34.67	n/a	n/a	0.00	0.0
AO,CXL	10/09	LUCHANSKY1 (LUCHANSKY1)	036	SSO	S	500	34.67	n/a	n/a	0.00	0.0
AO,	10/09	BAIRD INVESTMENT (BAIRWMCLFD)	031	SWN	S	2,225	24.41	n/a	2-Oct	111.25	5.0
AO,	10/09	BAIRD INVESTMENT (BAIRJB473L)	031	SWN	S	1,850	24.41	n/a	2-Oct	92.50	5.0
AO,	10/09	BAIRD INVESTMENT (BAIRBLCFB)	031	SWN	S	3,575	24.41	n/a	2-Oct	178.75	5.0
AO,	10/09	BAIRD INVESTMENT (BAIRVB515)	031	SWN	S	2,000	24.41	n/a	2-Oct	100.00	5.0
AO,	10/09	MKT MAKER (MKT MAKER)	099	TWTC	S	100	7.47	n/a	4-Jan	0.00	0.0
AO,	10/09	MKT MAKER (MKT MAKER)	099	URBN	S	200	24.42	14-Aug	1-Oct	0.00	0.0

TOTAL (AO, CXL, CRT) :	14,569.34
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TOTAL (Trade Date) :	225,857.44
TOTAL (AO, CXL, CRT) :	14,569.34

TOTAL (RUN DATE) / NFS :	240,426.78
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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