

## **Daily Compliance Activity Report** Trade Date: 09/24/2008

## POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ROTHSCHILD ASSET	040	ABM	S	6,100	21.73	n/a	n/a	274.50 4.5
LUCHANSKY	036	ADM	s	100	23.80	18-Aug	18-Sep	0.00 0.0
COUGAR TRADING	044	AEO	В	10,000	15.18	n/a	5-Sep	500.00 5.0
REINHART & MAHONEY	031	AFG	В	3,500	28.36	n/a	n/a	175.00 5.0
GRANITE CAPITAL	045	AIG	S	55,100	5.18	n/a	n/a	2,755.00 5.0
TRUSTCO/SUNTRUST	040	ALV	В	42,200	36.40	23-Jul	30-Jul	1,350.40 3.2
PRINCIPLE CAPITAL	040	AMZN	В	17,800	72.18	n/a	n/a	712.00 4.0
BUCK CAPITAL MGMT	001	ANF	S	1,900	39.32	7-Aug	17-Sep	76.00 4.0
COUGAR TRADING	044	ANF	S	5,000	39.80	7-Aug	17-Sep	250.00 5.0
BRENCOURT	028	AN	SS	25,000	12.89	25-Jul	28-Jul	750.00 3.0
PNC/MERCANTILE	028	APD	S	19,888	73.52	n/a	23-Sep	994.40 5.0
LISTED ERR	099	APD	В	8	73.52	n/a	23-Sep	0.00 0.0
CROWLEY	061	APNS	s	15,000	0.06	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT	001	ARO	S	15,700	30.49	28-Apr	5-Sep	628.00 4.0
COUGAR TRADING	044	ARO	В	10,000	30.43	28-Apr	5-Sep	500.00 5.0
COUGAR TRADING	044	ARO	SS	10,000	30.52	28-Apr	5-Sep	500.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
REINHART & MAHONEY	031	AXE	В	1,500	60.44	n/a	17-Sep	75.00	5.0
SATELITE/BOBBY	044	BBBY	S	10,000	30.88	n/a	n/a	400.00	4.0
JMP ASSET MGMT	210	BBY	В	2,300	37.74	n/a	27-Jul	115.00	5.0
JENNISON	032	BRCM	В	59,200	19.33	n/a	n/a	2,190.40	3.7
PORTER-ORLIN-FELDMAN	044	BRE	В	25,000	47.08	n/a	n/a	1,250.00	5.0
BRENCOURT	028	BWA	В	25,000	34.28	10-Jun	1-Aug	750.00	3.0
OGORMAN	046	BZ	В	5,000	1.85	n/a	n/a	0.00	0.0
COLE	077	BZ	В	500	1.85	n/a	n/a	0.00	0.0
COUGAR TRADING	044	CBT	SS	10,000	31.47	n/a	24-Sep	500.00	5.0
KLEINHEINZ CAP PART	031	СВ	В	100,000	52.79	n/a	n/a	5,000.00	5.0
JMP ASSET MGMT	210	CNH	В	1,700	27.59	n/a	n/a	85.00	5.0
BUCK CAPITAL MGMT	001	СОН	s	30,000	26.61	30-Jul	28-Aug	1,200.00	4.0
KORMAN	003	CPRE	В	2,000	13.00	n/a	n/a	0.00	0.0
ROYAL CAPITAL	039	CREE	В	222,052	26.55	n/a	n/a	11,102.60	5.0
PORTER-ORLIN-FELDMAN	044	CSGP	В	20,000	49.90	n/a	n/a	1,000.00	5.0
GRANITE CAPITAL	045	CVS	S	25 <b>,</b> 000	32.25	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.	-
J L F ASSET MGMT	039	CX	В	55 <b>,</b> 486	18.27	n/a	n/a	2,219.44	4.0	
SATELITE/BOBBY	044	DAL	S	50,000	8.13	n/a	n/a	2,000.00	4.0	
ZOLIDIS	011	DECK	В	200	104.83	n/a	n/a	0.00	0.0	
SINCLAIR	031	DIAWA	В	15	3.75	n/a	n/a	0.00	0.0	
AMATURO	018	DIAWB	В	30	4.65	n/a	n/a	0.00	0.0	
KLEINHEINZ CAP PART	031	DIS	В	150,000	32.31	n/a	n/a	7,500.00	5.0	
SATELITE/BOBBY	044	DRI	В	10,000	28.30	26-Aug	18-Sep	400.00	4.0	
TRIVIUM CAP MGMT	251	DTSI	SS	4,900	30.14	n/a	n/a	196.00	4.0	
SATELITE/BOBBY	044	EAT	В	10,000	17.73	n/a	24-Apr	400.00	4.0	
PROSPECTOR PARTNERS LLC	036	EE	В	10,000	20.52	n/a	n/a	400.00	4.0	
HART	056	EPG	S	1,500	2.64	n/a	n/a	0.00	0.0	
MS PRINCIPAL STRATEGIES	041	ERJ	В	1,300	29.75	n/a	n/a	65.00	5.0	
JENNISON	032	ERTS	В	20,900	39.78	n/a	n/a	773.30	3.7	
SATELITE/BOBBY	044	ERTS	В	9,500	39.13	n/a	n/a	380.00	4.0	
DAVIDSON KEMPNER ADVISOR	040	FCX	В	50,000	68.34	n/a	n/a	2,500.00	5.0	
EATON VANCE MGMT	041	FE	В	75 <b>,</b> 000	65.76	n/a	n/a	2,250.00	3.0	

Account	RR #	Symbol	B/S	5	Shares	Price	MRI	Research	Comm.	\$/Shr.
SATELITE/BOBBY	044	FOSL	В		25,000	26.72	n/a	17-Sep	1,000.00	4.0
BUCK CAPITAL MGMT	001	GES		S	22,200	37.84	n/a	n/a	888.00	4.0
SATELITE/BOBBY	044	GET		SS	25,000	30.47	n/a	n/a	1,000.00	4.0
COUGAR TRADING	044	GIL		S	10,000	23.57	8-Sep	8-Sep	500.00	5.0
JP MORGAN VENTURES	046	GIL		S	20,000	23.73	8-Sep	8-Sep	1,000.00	5.0
ROXBURY CAPITAL MGMT	035	GIL	В		143,000	23.76	8-Sep	8-Sep	5,720.00	4.0
SATELITE/BOBBY	044	GME	В		10,000	34.35	n/a	n/a	400.00	4.0
J L F ASSET MGMT	039	GU	В		66,700	6.39	n/a	n/a	2,668.00	4.0
REINHART & MAHONEY	031	HOLX	В		5,000	19.62	n/a	n/a	250.00	5.0
BAIRD INVESTMENT	031	HSC		S	7,175	39.87	24-Sep	24-Sep	358.75	5.0
KAICHER	064	JASO	В		2,000	14.33	n/a	n/a	0.00	0.0
KAICHER	064	JASO		S	2,000	13.71	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JWN		SS	28,000	29.77	10-Jul	17-Sep	1,120.00	4.0
BMO NESBITT BURNS	041	KMT	В		4,800	30.82	18-Sep	18-Sep	240.00	5.0
REINHART & MAHONEY	031	KMT		S	31,554	30.64	18-Sep	18-Sep	1,577.70	5.0
SIGMA CAPITAL ASSOCIATES	237	KO	В		20,000	50.03	n/a	n/a	1,000.00	5.0
COUGAR TRADING	044	KSS	В		20,000	47.20	n/a	5-Sep	1,000.00	5.0

Account	RR #	Symbol	B/S		Shares	Price	MRI	Research	Comm.¢	:/Shr.	
REINHART & MAHONEY	031	LPS	В		81,100	30.06	n/a	n/a	4,055.00	5.0	
BMO NESBITT BURNS	041	LPX	В		50,000	9.88	n/a	11-Sep	2,500.00	5.0	
GRANITE CAPITAL	045	LULU	В		10,000	23.11	n/a	n/a	500.00	5.0	
WHEELER	008	LZ	В		2,000	46.00	n/a	n/a	0.00	0.0	
REINHART & MAHONEY	031	MAN	В		2,000	44.44	n/a	n/a	100.00	5.0	
SATELITE/BOBBY	044	MAR	Ç	SS	25 <b>,</b> 000	25.59	n/a	n/a	1,000.00	4.0	
COBALT	041	MER	В		100,000	26.49	24-Jun	19-Sep	5,000.00	5.0	
SATELITE/BOBBY	044	MKC	В		20,000	38.57	n/a	n/a	800.00	4.0	
WHEELER	008	MWG	S	S	10,050	13.02	n/a	n/a	0.00	0.0	
PROSPECTOR PARTNERS LLC	036	MWV	В		30,000	24.88	n/a	11-Sep	1,200.00	4.0	
COUGAR TRADING	044	М	В		5,000	17.93	12-Aug	29-Aug	250.00	5.0	
JP MORGAN VENTURES	046	NTY	Ç	S	49,000	29.10	n/a	n/a	2,450.00	5.0	
PORTER-ORLIN-FELDMAN	044	NUE	В		50,000	45.16	n/a	n/a	2,500.00	5.0	
BUCK CAPITAL MGMT	001	NWY	В		40,000	9.79	n/a	17-Sep	1,600.00	4.0	
PORTER-ORLIN-FELDMAN	044	OFC	В		25 <b>,</b> 000	38.86	n/a	n/a	1,250.00	5.0	

ccount	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	Shr.	
COLUMBIA PARTNERS	028	PDCO	SS	26,609	30.27	n/a	n/a	1,064.36	4.0	
RUSTCO/SUNTRUST	040	PKG	В	46,100	23.16	11-Sep	22-Sep	1,475.20	3.2	
OTCHKIS & WILEY	035	PM	В	537,900	49.86	n/a	n/a	26,895.00	5.0	
OUGAR TRADING	044	PSUN	В	10,000	6.61	n/a	5-Sep	400.00	4.0	
S PRINCIPAL STRATEGIES	041	PTNR	В	10,412	19.33	n/a	n/a	520.60	5.0	
ATELITE/BOBBY	044	PZZA	В	6,000	28.06	n/a	24-Apr	240.00	4.0	
OLIDIS	011	QUKJF	В	6	0.60	n/a	n/a	0.00	0.0	
.W. SELIGMAN	041	RIMM	В	50,000	97.09	n/a	n/a	2,000.00	4.0	
ORTER-ORLIN-FELDMAN	044	R	В	30,000	61.30	n/a	n/a	1,500.00	5.0	
EINHART & MAHONEY	031	SEE	В	5,000	22.92	n/a	n/a	250.00	5.0	
AIRD INVESTMENT	031	SII	S	4,720	64.58	n/a	n/a	236.00	5.0	
RUST CO/COWEN/CALF.	040	SLE	В	250,000	13.01	n/a	n/a	10,000.00	4.0	
STRATTON	014	SPRO	В	50	3.55	n/a	n/a	0.00	0.0	
UCHANSKY	036	SPY	В	100	118.21	n/a	n/a	0.00	0.0	
	036	SPY	В	100	118.59	n/a	n/a	0.00	0.0	
NOTT PARTNERS	044	SSI	В	23,900	14.47	n/a	5-Sep	956.00	4.0	
	COLUMBIA PARTNERS CRUSTCO/SUNTRUST COUGAR TRADING COUGAR TRADING COUGAR TRADING COUGAR TRADING COLIDIS	COLUMBIA PARTNERS  COLUMBIA PARTNERS  CRUSTCO/SUNTRUST  040  HOTCHKIS & WILEY  035  COUGAR TRADING  044  MS PRINCIPAL STRATEGIES  041  GATELITE/BOBBY  044  COLIDIS  011  ONE SELIGMAN  041  CORTER-ORLIN-FELDMAN  044  REINHART & MAHONEY  031  CRUST CO/COWEN/CALF.  040  I STRATTON  014  CUCHANSKY  036  CUCHANSKY  036  CUCHANSKY  036  CUCHANSKY  036	COLUMBIA PARTNERS  028 PDCO  CRUSTCO/SUNTRUST  040 PKG  COUGAR TRADING  044 PSUN  AS PRINCIPAL STRATEGIES  041 PTNR  CATELITE/BOBBY  044 PZZA  COLIDIS  011 QUKJF  1.W. SELIGMAN  041 RIMM  CORTER-ORLIN-FELDMAN  044 R  CREINHART & MAHONEY  031 SEE  CRUST CO/COWEN/CALF.  040 SLE  1 STRATTON  014 SPRO  CUCHANSKY  036 SPY  CUCHANSKY  036 SPY  CUCHANSKY  036 SPY  CUCHANSKY  036 SPY  CUCHANSKY  036 SPY	COLUMBIA PARTNERS  028  PDCO  SS  CRUSTCO/SUNTRUST  040  PKG  B  COUGAR TRADING  044  PSUN  B  COUGAR TRADING  044  PTNR  B  COLIDIS  011  QUKJF  B  COLIDIS  041  RIMM  B  CORTER-ORLIN-FELDMAN  044  R  B  CORTER-ORLIN-FELDMAN  B  CORTER-ORLIN	COLUMBIA PARTNERS  028  PDCO  SS  26,609  RRUSTCO/SUNTRUST  040  PKG  B  46,100  ROTCHKIS & WILEY  035  PM  B  537,900  ROUGAR TRADING  044  PSUN  B  10,000  RS PRINCIPAL STRATEGIES  041  PTNR  B  10,412  RATELITE/BOBBY  044  PZZA  B  6,000  ROLIDIS  011  QUKJF  B  6  COLIDIS  041  RIMM  B  50,000  REINHART & MAHONEY  031  SEE  B  5,000  REINHART & MAHONEY  031  SEE  B  5,000  REINHART & MAHONEY  031  SII  S  4,720  REUST CO/COWEN/CALF.  040  SLE  B  50  LUCHANSKY  036  SPY  B  100  LUCHANSKY  036  SPY  B  100  LUCHANSKY  036  SPY  B  100	COLUMBIA PARTNERS 028 PDCO SS 26,609 30.27  CRUSTCO/SUNTRUST 040 PKG B 46,100 23.16  COUGAR TRADING 044 PSUN B 10,000 6.61  COUGAR TRADING 044 PSUN B 10,412 19.33  CATELITE/BOBBY 044 PZZA B 6,000 28.06  COLIDIS 011 QUKJF B 6 0.60  COUGAR TRADING 044 RIMM B 50,000 97.09  CORTER-ORLIN-FELDMAN 044 R B 30,000 61.30  CORTER-ORLIN-FELDMAN 044 R B 5,000 22.92  CAIRD INVESTMENT 031 SII S 4,720 64.58  CRUST CO/COWEN/CALF. 040 SLE B 250,000 13.01  COUGANSKY 036 SPY B 100 118.21  CUCHANSKY 036 SPY B 100 118.21  CUCHANSKY 036 SPY B 100 118.59	COLUMBIA PARTNERS 028 PDCO SS 26,609 30.27 n/a  CRUSTCO/SUNTRUST 040 PKG B 46,100 23.16 11-Sep  COTCHKIS & WILEY 035 PM B 537,900 49.86 n/a  COUGAR TRADING 044 PSUN B 10,000 6.61 n/a  COUGAR TRADING 044 PTUR B 10,412 19.33 n/a  CATELITE/BOBBY 044 PZZA B 6,000 28.06 n/a  COLIDIS 011 QUKJF B 6 0.60 n/a  COLIDIS 011 QUKJF B 6 0.60 n/a  CORTER-ORLIN-FELDMAN 044 R B 30,000 61.30 n/a  CORTER-ORLIN-FELDMAN 044 R B 30,000 61.30 n/a  CORTER-ORLIN-FELDMAN 044 R B 50,000 22.92 n/a  CATELITY & MAHONEY 031 SEE B 5,000 22.92 n/a  COLIDIS 031 SII S 4,720 64.58 n/a  COLIDIS 040 SPY B 100 118.21 n/a  CUCHANSKY 036 SPY B 100 118.21 n/a  CUCHANSKY 036 SPY B 100 118.59 n/a	COLUMBIA PARTNERS  028 PDCO SS 26,609 30.27 n/a n/a  PRUSTCO/SUNTRUST  040 PKG B 46,100 23.16 11-Sep 22-Sep  FOTCHKIS & WILEY  035 PM B 537,900 49.86 n/a n/a  POUGAR TRADING  044 PSUN B 10,000 6.61 n/a 5-Sep  INS PRINCIPAL STRATEGIES  041 PTNR B 10,412 19.33 n/a n/a  FATELITE/BOBBY  044 PZZA B 6,000 28.06 n/a 24-Apr  FOULDIS  011 QUKJF B 6 0.60 n/a n/a  FOULDIS  041 RIMM B 50,000 97.09 n/a n/a  FOULDIS  042 PZZA B 30,000 61.30 n/a n/a  FOULDIS  043 PZZA B 5,000 22.92 n/a n/a  FOULDIS  044 R B 30,000 61.30 n/a n/a  FOULDIS  054 PZZA B 5,000 22.92 n/a n/a  FOULDIS  055 PZ B 50,000 13.01 n/a n/a  FOULDIS  065 PZ B 100 118.21 n/a n/a  FOULDANSKY  066 SPY B 100 118.21 n/a n/a  FOULDANSKY  066 SPY B 100 118.21 n/a n/a  FOULDANSKY  066 SPY B 100 118.59 n/a n/a  FOULDANSKY  067 PKG  11-Sep 22-Sep  11-Sep 22-Sep 22-Sep  11-Sep 22-Sep 22-Sep  11-Sep 22-Sep 22-Sep  11-Sep 22-Sep 22-Sep 22-Sep 22-Sep 22-Sep 22-Sep 22-Sep 22-Sep	COLUMNIA PARTNERS 028 PDCO SS 26,609 30.27 n/a n/a 1,064.36 FRUSTCO/SUNTRUST 040 PKG B 46,100 23.16 11-Sep 22-Sep 1,475.20 FOTCHKIS & WILEY 035 PM B 537,900 49.86 n/a n/a 26,895.00 FOUGAR TRADING 044 PSUN B 10,000 6.61 n/a 5-Sep 400.00 FIS PRINCIPAL STRATEGIES 041 PTNR B 10,412 19.33 n/a n/a 520.60 FRIEDLITE/BORRY 044 PZZA B 6,000 28.06 n/a 24-Apr 240.00 FIN. SELIGMAN 041 RIMM B 50,000 97.09 n/a n/a 0.00 FORTER-ORLIN-FELDMAN 044 R B 30,000 61.30 n/a n/a 1,500.00 FRIEDLINGERY 031 SEE B 5,000 22.92 n/a n/a 250.00 FRIEDLINGERY 031 SII S 4,720 64.58 n/a n/a 236.00 FRUST CO/COWEN/CALF. 040 SLE B 250,000 13.01 n/a n/a 0.00 FRUSTRATION 014 SPRO B 50 3.55 n/a n/a 0.00 FRUSTRATION 014 SPRO B 50 3.55 n/a n/a 0.00 FRUCHANSKY 036 SPY B 100 118.21 n/a n/a 0.00 FRUCHANSKY 036 SPY B 100 118.59 n/a n/a 0.00	SCHUMBIA PARTNERS  028 PDCO  SS 26,609 30.27 n/a n/a 1,064.36 4.0  PRUSTCO/SUNTRUST  040 PKG B 46,100 23.16 11-Sep 22-Sep 1,475.20 3.2  PRUSTCO/SUNTRUST  035 PM B 537,900 49.86 n/a n/a 26,895.00 5.0  PRUGGAR TRADING  044 PSUN B 10,000 6.61 n/a 5-Sep 400.00 4.0  PRUGGAR TRADING  044 PSUN B 10,412 19.33 n/a n/a 520.60 5.0  PRUSTCO/SUNTRUST  044 PZZA B 6,000 28.06 n/a 24-Apr 240.00 4.0  PRUSTCO/SULDIS  011 QUKUF B 6 0.60 n/a n/a 0.00 0.0  PRUST B 30,000 97.09 n/a n/a 2,000.00 4.0  PRUST B 30,000 61.30 n/a n/a 1,500.00 5.0  PRUST B 5,000 22.92 n/a n/a 250.00 5.0  PRUST CO/COWEN/CALF.  040 SIE B 250,000 13.01 n/a n/a 236.00 5.0  PRUST CO/COWEN/CALF.  040 SIE B 250,000 13.01 n/a n/a 10,000.00 4.0  PRUST CO/COWEN/CALF.  040 SIE B 250,000 13.01 n/a n/a 0.00 0.0  PRUST CO/COWEN/CALF.  040 SIE B 50 3.55 n/a n/a 0.00 0.0  PRUST CO/COWEN/CALF.  040 SIE B 50 3.55 n/a n/a 0.00 0.0  PRUST STRATTON  014 SPRO B 50 3.55 n/a n/a 0.00 0.0  PRUST CO/COWEN/CALF.  036 SPY B 100 118.21 n/a n/a 0.00 0.0  PRUST CO/COWEN/CALF.  036 SPY B 100 118.59 n/a n/a 0.00 0.0  PRUST CO/COWEN/CALF.  036 SPY B 100 118.59 n/a n/a 0.00 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
SCOPUS FUND	041	TEN	В	44,800	13.89	n/a	n/a	2,240.00	5.0
COUGAR TRADING	044	TIF	В	100	36.50	n/a	17-Sep	5.00	5.0
BMO NESBITT BURNS	041	TIN	В	25,000	15.95	11-Sep	22-Sep	1,250.00	5.0
COUGAR TRADING	044	TJX	SS	10,000	31.60	11-Aug	5-Sep	500.00	5.0
PROSPECTOR PARTNERS LLC	036	TR	В	10,000	28.93	n/a	n/a	400.00	4.0
AMATURO	016	UQM	s	15,000	2.67	n/a	n/a	0.00	0.0
S CAST	016	UQM	S	775	2.72	n/a	n/a	0.00	0.0
HART	056	UQM	S	1,770	2.70	n/a	n/a	0.00	0.0
CROWLEY	061	UQM	S	6,100	2.69	n/a	n/a	0.00	0.0
KAICHER	064	VMW	S	1,000	29.01	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	45.76	8-Aug	28-Aug	800.00	4.0
SATELITE/BOBBY	044	WTSLA	В	15,000	3.60	n/a	n/a	600.00	4.0
FORD FDN.	032	WYE	В	55,000	36.97	n/a	31-Mar	2,750.00	5.0
COUGAR TRADING	044	YUM	В	2,000	34.72	14-Aug	19-Sep	100.00	5.0

TOTAL (Trade Date): 149,576.65

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO, CRT	09/19	ADAGE CAPITAL MGMT (ADAGMS)	030	AEO	В	462,100	16.85	n/a	5-Sep	18484.00	4.0
AO,CXL	09/19	ADAGE CAPITAL MGMT (ADAGESHORT)	030	AEO	В	462,100	16.85	n/a	5-Sep	18484.00	4.0
AO,CXL	09/23	NOMURA CAPITAL (NOMUSTRATE)	045	CLUB	В	8,100	7.47	n/a	n/a	324.00	4.0
AO,	09/23	NOMURA CAPITAL (NOMUSTRATE)	045	CLUB	В	2,500	7.47	n/a	n/a	100.00	4.0
AO,	09/23	NOMURA CAPITAL (NOMUBATT2)	045	CLUB	В	2,625	7.47	n/a	n/a	105.00	4.0
AO,	09/23	NOMURA CAPITAL (NOMUBSMAIN)	045	CLUB	В	2 <b>,</b> 975	7.47	n/a	n/a	119.00	4.0
AO,CXL	09/23	PILOT ADV (PILOEXPLOR)	038	FDO	SS	500	26.70	23-Jul	5-Sep	0.00	0.0
AO, CRT	09/23	PILOT ADV (PILOEXPLOR)	038	FDO	SS	500	26.70	23-Jul	5-Sep	20.00	4.0
CRT	09/24	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GES	S	22,200	37.84	n/a	n/a	888.00	4.0
AO, CRT	09/17	FORWARD MGMT (FORWMIDVAL)	033	GNW	В	2,000	10.04	n/a	n/a	100.00	5.0
AO,CXL	09/17	FORWARD MGMT (FORWSCVAFD)	033	GNW	В	2,000	10.04	n/a	n/a	100.00	5.0
AO,CXL	09/18	JMP ASSET MGMT (JMPAGS)	210	SNIC	S	7,800	4.81	n/a	n/a	390.00	5.0
AO, CRT	09/18	JMP ASSET MGMT (JMPAGS)	210	SNIC	S	7,800	4.81	n/a	n/a	234.00	3.0
AO,CRT	09/17	FORWARD MGMT (FORWMIDVAL)	033	STZ	S	2,400	21.53	n/a	n/a	120.00	5.0
AO,CXL	09/17	FORWARD MGMT (FORWSCVAFD)	033	STZ	S	2,400	21.53	n/a	n/a	120.00	5.0
AO,CXL	09/23	SANDLER O'NEILL ASSET (SANO)	031	WDR	S	20,000	25.15	15-Jul	19-Sep	600.00	3.0
AO, CRT	09/23	SANDLER O'NEILL ASSET (SANO)	031	WDR	S	20,000	25.15	15-Jul	19-Sep	1000.00	5.0

TOTAL (AO, CXL, CRT): 1,152.00

TOTAL (RUN DATE) / NFS:	150,728.65
TOTAL (Trade Date): TOTAL (AO, CXL, CRT):	149,576.65 1,152.00
TOTAL (Trade Date).	140 576 65

## 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